

**Contracting Authority**: European Commission

EU 4 Youth Programme – Grant Scheme

Guidelines  
for grant applicants

Budget line: 22 04 02 02

Reference:  
EuropeAid/155852/DH/ACT/Multi

Deadline for submission[[1]](#footnote-2) of concept notes:

11/07/2017 at 17:30 (Brussels date and time)

(in order to convert to local time click [here](http://www.timeanddate.com/worldclock/converter.html)[[2]](#footnote-3))

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.

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

All organisations can find the e-learning (Annex L) and the PROSPECT users' manual (Annex M) and the FAQ published together with the documents of this call. You may also contact our technical support team via the online support form in PROSPECT[[3]](#footnote-4).

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1. EU 4 Youth Programme
   1. Background

The **European Neighbourhood Policy** (ENP) provides a framework for closer relations between the EU and its neighbouring countries to the South and to the East. Since 2009 EU relations with the Eastern Neighbourhood further developed through the Eastern Partnership initiative with Armenia, Azerbaijan, Belarus, Georgia, the Republic of Moldova[[4]](#footnote-5) and Ukraine. Support to youth is identified as one of the main focuses of the **2015 European Neighbourhood Policy Review[[5]](#footnote-6)** and a priority area for European Neighbourhood Instrument (ENI) funding 2014-2020 within the **Regional East Strategy Paper[[6]](#footnote-7)**.

**Youth is a top priority also inside the EU**. The EU supports young people’s employment, employability and social inclusion, under its agenda for jobs, growth and investment, the Europe 2020 strategy and through EU funds such as Erasmus+, European Social Fund (ESF) and Youth Employment Initiative YEI.[[7]](#footnote-8) Most recently, the December 2016 Investing in Europe’s Youth initiative[[8]](#footnote-9) strengthens the scope of action in the four areas: employment, mobility (including internships of apprentices), education and solidarity and participation (European Solidarity Corps).

In the Eastern Neighbourhood region lack of opportunity, particularly for youth, is considered to be one of the roots of instability, vulnerability and radicalisation. Economic development and better prospectsfor employment, skills development and civic engagement for youth are seen as key vectors to stabilise societies. Supporting this target group in the Eastern Partnership (EaP) countries is particularly important as all countries are characterised by high unemployment rates of young people and low participation of women in the labour market. According to the latest (August 2015) European Training Foundation (ETF) **Report on Young people not in employment, education or training (NEET): An overview in ETF partner countries[[9]](#footnote-10)** , the NEET rate (15–24 years) represents a more serious problem in the region overall than in the EU. **Youth unemployment is twice or three times higher than overall unemployment**, and much higher than the EU average of about 20% in Armenia (37.2%) and in Georgia (30.8%)[[10]](#footnote-11)even if it recorded some slight improvement in recent years. Although **education** indicators are strong in all EaP countries, stagnation in job creation has resulted in missed opportunities for youth, and educational investments are not fully translated into productive utilisation of human capital. This is due *inter alia* to skills mismatch, insufficient key competences[[11]](#footnote-12) and entrepreneurial spirit, non-inclusive education and training, and lack of active labour market policies and activation strategies[[12]](#footnote-13). Gender inequalities are still present in various countries, visible in wage and career discrepancies, prohibitions of certain occupations for women and in lower **employment rates of women**.

In this context, the objective of the EU4Youth programme[[13]](#footnote-14), of which this call for proposals is part, is to foster the **active participation** of young people in society and improve their **employability** by developing those **skills** that can support them in becoming **leaders** and **entrepreneurs**. The *EU4Youth programme* is made up of three components. Component 1 will empower young people with key competences and skills supporting their active participation in democratic life, and fostering citizenship, entrepreneurship and leadership, including through individual fellowships and mobility schemes. The component is managed by DG EAC and integrated in the Erasmus+ call 2017 that was launched in October 2016. Component 2, which will be implemented by DG NEAR via this Call for Proposals and Component 3 which *will ensure the* effective functioning of the overall programme by delivering on project management coordination and monitoring and carrying out programme-wide communication and visibility activities.

The development of **coherent** and **cross-sectorial youth policies** is of key importance to tackle the challenges facing young generations. Through support to youth workers and youth organisations these entities will gain expertise and capacity to engage in constructive dialogue at national, regional or local level, and support policy development and implementation.This is of pivotal importance, as the achievement of tangible results will require that the EU4Youth is **aligned with relevant** **policy dialogues** supporting reforms and policy actions with impact on young people (e.g. discussions in relevant EaP Platforms and Panels, policy actions supported by ETF, capacity building projects).

In the last years, all EaP countries have put in place **national youth strategies and legislation**, addressing the areas of education, employment, entrepreneurship, social inclusion, and participation in society, which in general terms provide an enabling background for the successful implementation of the EU4Youth programme. Ministries of sports and youth assure the overall coordination of such state youth strategies / programmes, and in several countries the national employment policies / action plans include synchronised measures, e.g. career guidance, internships, support to job placement of young people.

The Eastern partners have **participated in a range of EU youth programmes**. Erasmus+, like its predecessor Youth in Action, fosters cooperation with the Eastern Partnership countries encouraging young people from the region to get involved in international projects in the field of non-formal learning. Civil society initiatives and organisations, including in the youth sector, have developed capacities and networks in most of the countries. The European Youth Forum cooperates with national youth councils (umbrella organisations) in Armenia, Azerbaijan, Georgia, and Moldova, supporting their capacity to participate and lead initiatives at national and sub-national levels.

* 1. Objectives of the programme And priority issues

**General objective**

The **general objective of the EU4Youth programme** is to foster the **employability** and the **active participation** of young people in society and economy, by developing **skills** needed in the labour market and by supporting them in becoming **leaders** and **entrepreneurs**, by facilitating the search for new **professional opportunities.**

**Global objective** of this Call for proposals:

The present EU4Youth Grant Scheme serves the general objective of the action by supporting educational opportunities and employment perspectives for youth[[14]](#footnote-15). In particular it aims to address the key challenges faced by **disadvantaged youth**[[15]](#footnote-16), **including internally displaced youth and youth in conflict-affected areas,** and in the field of youth **entrepreneurship** by identifying actions and actors that may have a potential for **systemic impact in this policy area**.

**Specific objectives** of this Call for proposals:

1. Support creative young people in developing their **entrepreneurial potential** and **ideas** by equipping them with adequate **skills** through non-formal training and practical experiences and innovative approaches to entrepreneurship education.

2. Increase access to education, training opportunities, and the **employability** potential of all youth, including vulnerable, **disadvantaged, internally displaced youth and youth in conflict-affected areas,** by promoting effective employment alliances between leaders and organizations in the education and labour market fields.

3.  **S**upport **national authorities in the formulation of youth policies,** or the improvement of the regulatory framework, by encouraging broader **policy dialogue**, inter-ministerial and inter-institutional cooperation within national administrations and by **developing partnerships for job creation** between relevant authorities and other key stakeholders.

Attention of applicants is drawn to the following **mandatory requirements**:

**Any proposed action must be submitted by a grouping of minimum 3 entities**: one lead applicant + minimum two co-applicants. Please refer to section 2.1.1 below for complete information about eligibility rules under the present call for proposals.

**Any proposed action must be submitted by a grouping made of entities from minimum two Eastern Partnership countries** (Armenia, Azerbaijan, Belarus, Georgia, Moldova and Ukraine)

The following points constitute additional **"added value" elements**. This means that the inclusion in a proposed action of one or several of these "added value elements" may be rewarded by a higher mark for the relevant evaluation criteria (see section 2.3 for complete information about the evaluation rules), due account being also taken of all other elements and characteristics of the proposed action.

* The proposed project creates the necessary links between the education and training system, the labour market and society at large or is based on existing partnerships;
* The project implements actions **in three EaP countries or more (Armenia, Azerbaijan, Belarus, Georgia, Moldova and Ukraine)**;
* The project deals with **sectors of higher appeal** on youth, innovation or environment such as creative industries, green economy, communication, tourism, **social enterprises** etc.;
* The project includes **environmental sustainability**, including climate change mitigation, as a theme in community-based activities.

**Key stakeholders and target groups**:

Key **stakeholders** include:

* **Public or private organisations and civil society organisations** for which youth is a primary target group or which implement activities that address key challenges of skills development and employment: employment services, professional organisations and trade unions, social partners, youth workers, youth centres, advice centres for youth, youth councils on national and sub-national level, youth organisations or youth-led organisations, charity organisations, businesses, business associations.
* **Schools and educational institutions**, out-of-school educational establishments, vocational education and training centres;
* Relevant **national, regional and local authorities.**

Key **target groups** include:

* Young men and young women;
* Young low achievers, early school leavers, young not in education, employment and training (NEETs);
* Disadvantaged youth, internally displaced youth and youth in conflict-affected areas;
* Teachers and trainers;
* Young leaders and entrepreneurs;
* Youth organisation and young workers.
  1. Financial allocation provided by the contracting authority

The overall indicative amount made available under this call for proposals is **EUR 8.5 million**. The Contracting Authority reserves the right not to award all available funds.

**Size of grants**

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

* Minimum amount: EUR 750 000.
* Maximum amount: EUR 1 500 000.

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. The lead applicant shall include this information in the proposed Budget for the Action (not to be submitted with the Concept note but with the Full Application Form).

1. Rules FOR thIS call for proposalS

These guidelines set out the rules for the submission, selection and implementation of the actions financed under this call, in conformity with the Practical Guide, which is applicable to the present call (available on the Internet at this address <http://ec.europa.eu/europeaid/prag/document.do?locale=en>).[[16]](#footnote-17)

* 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);

1. the actions:

* actions for which a grant may be awarded (2.1.4);

1. the costs:

* types of cost that may be taken into account in setting the amount of the grant (2.1.5).
  + 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 (participation is also open to for-profit making entities in exceptional and duly justified cases and as long as the non-profit character of the proposed actions is observed), **and**
* active in the field of youth policy, youth education and employment, or youth entrepreneurship **and**
* be established in an Eastern Partnership country (Armenia, Azerbaijan, Belarus, Georgia, Moldova and Ukraine) or an EU Member State **and**
* be directly responsible for the preparation and management of the action with the co-applicant(s) and affiliated entity(ies), not acting as an intermediary**.**

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

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

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

Projects must involve organisations (as lead applicant or co-applicant) established in at **least two** **Eastern Partnership countries**.In other terms, any proposed action must be submitted by a grouping of minimum 3 entities (i.e. one lead applicant + minimum two co-applicants), with 2 of these entities being registered in two different Eastern Partnership countries (Armenia, Azerbaijan, Belarus, Georgia, Moldova and Ukraine).

Examples of (minimal) configuration matching these requirements:

- a Georgian lead applicant + an Armenian co-applicant + an EU co-applicant

- an EU lead applicant + an Ukrainian co-applicant + a Moldovan co-applicant.

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 coordinates the design and implementation of the action.

**Co-applicant(s)**

At least **two co-applicants** must be involved in the action (i.e. a proposal must be submitted by a group of at least 3 entities: the lead applicant + minimum 2 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.

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

* Specific type of organisation such as: non-governmental organisation, public sector operator, local authority, international (inter-governmental) organisation as defined by Article 43 of the Rules of application of the EU Financial Regulation[[17]](#footnote-18)

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

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

* + 1. Affiliated entities

Affiliated entity(ies)

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

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

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

This structural link encompasses mainly two notions:

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

Entities affiliated to an applicant may hence be:

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

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

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

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

##### What is not an affiliated entity?

The following are not considered entities affiliated to an applicant:

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

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

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

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

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

* + 1. Associates and Contractors

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

* Associates

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

* + 1. 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 24 months nor exceed 48 months.

Sectors or themes

The specific sectors or themes to which the action must relate are described under the section 1.2 above. Actions must fall under at least one of the Objectives (Priorities) listed at 1.2 above and must relate to entrepreneurial skills development, promotion of educational and training opportunities for youth (including disadvantaged youth, internally displaced ) and support to policy development and coordination**.**

Location

Actions must take place in two or more of the following country(ies)[[18]](#footnote-19): Armenia, Azerbaijan, Belarus, Georgia, Moldova, Ukraine. Actions may target the sub-national levels.

**Objective 1**

* Support skills development for entrepreneurship and social entrepreneurship, including digital and other key competences and technical competences;
* Support innovative approaches to entrepreneurial learning in formal and informal education and training;
* Promote entrepreneurship awareness and partnerships, like alliances of young entrepreneurs / youth entrepreneurship organisations, youth entrepreneurship for local development/community work, entrepreneurship in career guidance, or sharing of good practice on innovative approaches to youth entrepreneurship.

**Objective 2**

* Innovative actions to enhance access to formal and non-formal education and training opportunities, with a particular focus on disadvantaged youth, early school leavers and NEETs.
* Introduce effective and adapted approaches for work-based learning (WBL), including, for example, quality assurance, coaching, awareness raising of companies to host learners;
* Support validation and certification of skills acquired through work experiences, non-formal and informal learning, e.g.: in volunteering and community work, informal work.

**Objective 3**

* Innovative actions to promote youth policy coordination and cooperation between ministries and other key stakeholders (including social partners, civil society organisations and training providers) at national, regional and local levels so that policy implementation fosters youth employment, transition from school to work, entrepreneurial skills for youth and young people’s awareness of labour legislation, rights and obligations, health and safety at work;.
* Innovative actions supporting cooperation of employment services (public and private) for effective youth policy measures, including sharing of information on vacancies (sub-national, national and cross-country levels) and career guidance.

Proposals can include actions under one or several objectives.

The following types of action are ineligible:

* Actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences and congresses,
* Credit to third parties.

Types of activities

Activities supported under this call may include, but are not limited to, the following:

* Design, production and application of tools and methodologies (training curricula, handbooks for teachers and trainers, compendia of good practice, virtual libraries, guidelines etc.) and information material,
* Capacity development through workshops and seminars, peer learning visits Coaching and mentoring, training of teachers and trainers and other relevant practitioners.
* Internships, e.g.: on the job-training in companies and NGOs / youth organisations,
* Youth job events and fairs,
* Networks of key stakeholders, like young entrepreneurs, teachers and trainers.
* Competitions: skills, business ideas,
* Creation of digital tools / aps / portals, for example online registration platforms for companies (for WBL and internships);
* Information and awareness raising campaigns and promotional events,
* Community consultations and surveys,
* Analysis and communication of main lessons and good practice from the projects,
* Activities encouraging the policy dialogue in the field of youth,
* Interregional and national mobility schemes implemented via internship assignments, scholarships, trainers and/or practitioners exchanges.

The following activities are not eligible:

* Profit-making activities of whatever type
* Statutory meetings of partner organisations (including the applicant).

Types of actions

Types of action which may be financed under this call:

**Objective 1**

* Support skills development and entrepreneurial learning in formal education and training, and in non-formal learning programmes;
* Support development of technical skills useful on the labour market ;
* Strengthen awareness on social entrepreneurship;
* Support collaborative and digital learning to enhance the outreach and benefits of entrepreneurial learning for youth;
* Share good practice on innovative approaches to youth entrepreneurship;
* Provide career information and guidance, e.g. for learners in formal education and training, young job-seekers (registered and not-registered in public employment services) and young persons seeking to become active.
* Support alliances of young entrepreneurs / youth entrepreneurship;
* Link youth entrepreneurship with social / community work.

**Objective 2**

* Enhance general access to the high-quality teaching and educational opportunities for all, with a particular focus on disadvantaged youth;
* Support access of youth to vocational education and training with a focus on skills and qualifications in demand, provided in quality-assured formal and non-formal contexts;
* Introduce effective and adapted approaches for work-based learning (WBL), including, for example, quality assurance, coaching, awareness raising of companies to host learners;
* Support return of early-school leavers to appropriate education and training pathways, including for getting a qualification;
* Support validation and certification of skills acquired through work experiences, non-formal learning, e.g.: in volunteering and community work, informal work.

**Objective 3**

* Actions to support to national policies for an improved regulatory framework, encourage broader policy dialogue, and promote cross-sectorial approaches and streamlining of youth and youth employment issues at national level;
* Development and implementation of integrated packages of policy responses at local or national level aimed at developing entrepreneurial skills for youth;
* Support cooperation of employment services (public and private) for more effective sharing of information on vacancies (sub-national, national and cross-country levels);
* Enhance young people’s awareness of labour legislation, rights and obligations, health and safety at work;
* Cooperative initiatives involving youth / civil society providing organisations, social partners and/or government institutions in the collection, design, exchange, transfer, dissemination, piloting, implementation and evaluation of actions fostering youth entrepreneurship and employability of disadvantaged youth.

Proposals can include actions under one or several objectives. The number of objectives covered by each proposal will not be an element of assessment by the evaluation committee.

The following types of action are ineligible:

* Actions concerning only or mainly individual sponsorships for participation in workshops, seminars, conferences and congresses;
* Credit to third parties.

Types of activities

Activities supported under this call may include, but are not limited to, the following:

* Design, production and application of tools and methodologies (training curricula, handbooks for teachers and trainers, compendia of good practice, virtual libraries, guidelines etc.) and information material;
* Workshops and seminars;
* On the job-training;
* Internships, e.g.: in companies and NGOs / youth organisations;
* Training and capacity-building of youth workers, youth organisations and multipliers;
* Youth job events and fairs,
* Peer learning visits;
* Coaching and mentoring;
* Networks of teachers and trainers;
* Competitions: skills, business ideas;
* Training of teachers and trainers;
* Creation of digital tools / aps / portals;
* Online registration platforms for companies (for WBL and internships);
* Outreach activities;
* Information and awareness raising campaigns and promotional events;
* Community consultations and surveys;
* Analysis and communication of main lessons and good practice from the projects;
* Activities encouraging the development of partnerships and networks;
* Advice on improved regulatory framework;
* Activities encouraging the policy dialogue in the field of youth;
* Interregional and national mobility schemes across the three objectives, implemented via internship assignments, scholarships, trainers and/or practitioners exchanges.

The following activities are not eligible:

* Profit-making activities of whatever type
* Statutory meetings of partner organisations (including the applicant).

Financial support to third parties[[19]](#footnote-20)

Applicants may propose financial support to third parties.

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:

1. the objectives and results to be obtained with the financial support
2. the different types of activities eligible for financial support, on the basis of a fixed list
3. 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

1. the criteria for determining the exact amount of financial support for each third entity, and
2. the maximum amount which may be given.

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

Visibility

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

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

Number of applications and grants per applicants / affiliated entities

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

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

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

A co-applicant/affiliated entity may submit not more than two applications under this call for proposals, as co-applicant.

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

* + 1. 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", "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[[20]](#footnote-21)
* 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**.

The simplified cost option may also take the form of an apportionment of Field Office's costs.

Field Office means a local infrastructure set up in one of the countries where the action is implemented or a nearby country. (Where the action is implemented in several third countries there can be more than one Field Office). That may consist of costs for local office as well as human resources.

A Field Office may be exclusively dedicated to the action financed (or co-financed) by the EU or may be used for other projects implemented in the partner country. When the Field Office is used for other projects, only the portion of capitalised and operating costs which corresponds to the duration of the action and the rate of actual use of the field office for the purpose of the action may be declared as eligible direct costs.

The portion of costs attributable to the action can be declared as actual costs or determined by the beneficiary(ies) on the basis of a simplified allocation method (apportionment).

The method of allocation has to be:

1. Compliant with the beneficiary's usual accounting and management practices and applied in a consistent manner regardless of the source of funding and

2. Based on an objective, fair and reliable allocation keys. (Please refer to Annex K to have examples of acceptable allocation keys).

A description prepared by the entity of the allocation method used to determine Field Office's costs in accordance with the entity's usual cost accounting and management practices and explaining how the method satisfy condition 1 and 2 indicated above, has to be presented in a separate sheet and annexed to the Budget.

The method will be assessed and accepted by the evaluation committee and the Contracting Authority at contracting phase. The applicant is invited to submit (where relevant) the list of contracts to which the methodology proposed had been already applied and for which proper application was confirmed by an expenditure verification.

At the time of carrying out the expenditure verifications, the auditors will check if the costs reported are compliant with the method described by the beneficiary(ies) and accepted by the Contracting Authority.

Adequate record and documentation must be kept by the beneficiary(ies) to prove the compliance of the simplified allocation method used with the conditions set out above. Upon request of the beneficiary(ies), this compliance can be assessed and approved ex-ante by an independent external auditor. In such a case, the simplified allocation method will be automatically accepted by the evaluation committee and it will not be challenged ex post.

When costs are declared on the basis of such allocation method the amount charged to the action is to be indicated in the column "TOTAL COSTS" and the mention "APPORTIONMENT" is to be indicated in the column "units" (under budget heading 1 (Human resources) and 4 (Local Office) of the Budget).

It has to be noted that the EUR 60.000 limit, otherwise applicable to costs declared on the basis of simplified cost options, is not relevant for costs declared following apportionment of Field Offices.

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;
* salary costs of the personnel of national administrations.
  1. How to apply and the procedures to follow

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

1. Provide information about the organisations involved in the action. Please note that the registration of this data in **PADOR is obligatory[[21]](#footnote-22)** 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.

1. 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>

**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[[22]](#footnote-23) 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 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).

* + 1. Concept note content

Applications must be submitted in accordance with the concept note instructions in the grant application form[[23]](#footnote-24) annexed to these guidelines (Annex A.1). Applicants must apply in English.

Please note that:

1. In the concept note, lead applicants must only provide an estimate of the **requested EU contribution** as well as an indicative percentage of that contribution in relation to the eligible costs of the action. A detailed budget is to be submitted only by the lead applicants invited to submit a full application in the second phase.
2. The elements outlined in the concept note may not be modified in the full application. The EU contribution may not vary from the initial estimate by more than 20 %. Lead applicants are free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in these guidelines in section 1.3. **The lead applicant may replace a co-applicant or an affiliated entity only in duly justified cases (e.g. bankruptcy of initial co-applicant or affiliated entity). In this case the new co-applicant/affiliated entity must be of a similar nature as the initial one. The lead applicant may adjust the duration of the action if unforeseen circumstances outside the scope of the applicants have taken place following the submission of the concept note and require such adaptation (risk of action not being carried out). In such cases the duration must remain within the limits imposed by the guidelines for applicants. An explanation/justification of the relevant replacement/adjustment shall be included in section 2.1.1 of the grant application form**.

Own contributions by the applicants can be replaced by other donors' contributions at any time.

1. 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.

* + 1. 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.

**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).

* + 1. Deadline for submission of concept notes

The deadline for the submission of concept notes is at 11 July 2017 (Brussels date and time). In order to convert this deadline to local time you can use any online time converter tool that takes into account time zones and winter/summer time changes (example available **here)[[24]](#footnote-25). 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 Contacting Authority cannot be held responsible for any delay due to such afore-mentioned difficulties.

Any concept note submitted after the deadline will be rejected.

* + 1. Further information about concept notes

Questions may be sent by e-mail or by fax 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: [**NEAR-ENI-EAST-TENDERS@ec.europa.eu**](mailto:NEAR-ENI-EAST-TENDERS@ec.europa.eu)

Fax number: +32 2 292 14 81

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>. 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) **via the online support form in PROSPECT**: Please note that the working languages of the IT support are: English French and Spanish. Therefore users are invited to send their questions in English, French or Spanish should they wish to benefit from an optimum response time.

* + 1. 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 2. The lead applicant may replace a co-applicant or an affiliated entity only in duly justified cases (e.g. bankruptcy of initial co-applicant or affiliated entity). In this case the new co-applicant/affiliated entity must be of a similar nature as the initial one. **The lead applicant may adjust the duration of the action if unforeseen circumstances outside the scope of the applicants have taken place following the submission of the concept note and require such adaptation (risk of action not being carried out). An explanation/justification of the relevant replacement/adjustment shall be included in section 2.1.1 of the grant application form**.

3. 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 the co-applicant(s) nor from (if any) affiliated entity(ies)).

4. 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.

* + 1. 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](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.

**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).

* + 1. Deadline for submission of full applications

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

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

Any application submitted after the deadline will be rejected.

* + 1. Further information about full applications

Questions may be sent by e-mail or by fax 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: [**NEAR-ENI-EAST-TENDERS@ec.europa.eu**](mailto:NEAR-ENI-EAST-TENDERS@ec.europa.eu)

Fax number: +32 2 292 14 81

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>. 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) **via the online support form in PROSPECT**. Please note that the working languages of the IT support are: English French and Spanish. Therefore users are invited to send their questions in English, French or Spanish should they wish to benefit from an optimum response time.

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

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

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

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

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

The amount of requested contributions of each concept note will be based on the indicative financial envelopes for each lot, where relevant.

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

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

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

During the opening 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 (this only applies to lead applicants);
* have the management capacity, professional competencies and qualifications required to successfully complete the proposed action. This applies to applicants and 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 (i.e. accounts of the latest financial year and external audit report, where applicable) 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[[25]](#footnote-26)**

|  |  |
| --- | --- |
| **Section** | **Maximum Score** |
| **1. Financial and operational capacity** | **20** |
| 1.1. Do the applicants and, if applicable, their affiliated entity(ies) have sufficient experience of project management? | 5 |
| 1.2. Do the applicants and, if applicable, their affiliated entity(ies) have sufficient technical expertise (especially knowledge of the issues to be addressed)? | 5 |
| 1.3. Do the applicants and, if applicable, their affiliated entity(ies) have sufficient management capacity (including staff, equipment and ability to handle the budget for the action)? | 5 |
| 1.4. Does the lead applicant have stable and sufficient sources of finance? | 5 |
| **2. Relevance of the action** | **30** |
| *Score transferred from the Concept Note evaluation*\* |  |
| **3. Effectiveness and feasibility of the action** | **20** |
| 3.1. Are the activities proposed appropriate, practical, and consistent with the objectives and expected results? | 5 |
| 3.2. Is the action plan clear and feasible? | 5 |
| 3.3. Does the proposal contain objectively verifiable indicators for the outcome of the action? Is any evaluation planned? | 5 |
| 3.4. Is the co-applicant(s)'s and affiliated entity(ies)'s level of involvement and participation in the action satisfactory? | 5 |
| **4. Sustainability of the action** | **15** |
| 4.1. Is the action likely to have a tangible impact on its target groups? | 5 |
| 4.2. Is the proposal likely to have multiplier effects (including scope for replication, extension and information sharing)? | 5 |
| 4.3. Are the expected results of the proposed action sustainable?:(1) financially (how will the activities be financed after the funding ends?)(2) institutionally (will structures allowing the activities to continue be in place at the end of the action? Will there be local 'ownership' of the results of the action?)(3) at policy level (where applicable) (what will be the structural impact of the action — e.g. will it lead to improved legislation, codes of conduct, methods, etc?)(4) environmentally (if applicable) (will the action have a negative/positive environmental impact?) | 5 |
| **5. Budget and cost-effectiveness of the action** | **15** |
| 5.1. Are the activities appropriately reflected in the budget? | 5 |
| 5.2. Is the ratio between the estimated costs and the expected results satisfactory? | 10 |
| **Maximum total score** | **100** |

\* Note that (members of) the evaluation committee or internal assessors evaluating the full applications may re-evaluate the scores given for the relevance at concept note stage and transferred to the full application.

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.

* 1. 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)

The statutes or articles of association of the lead applicant, (if any) of each co-applicant and (if any) of each affiliated entity[[26]](#footnote-27). Where the Contracting Authority has recognised the lead applicant’s, or the co-applicant(s)’s, or their affiliated entity(ies)’s eligibility for another call for proposals under the same budget line within 2 years before the deadline for receipt of applications, it should be submitted, instead of the statutes or articles of association, a copy of the document proving their eligibility in a former call (e.g. a copy of the Special Conditions of a grant contract received during the reference period), unless a change in legal status has occurred in the meantime[[27]](#footnote-28). This obligation does not apply to international organisations which have signed a framework agreement with the European Commission.

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. The external audit report is not required from the co-applicant(s) or affiliated entity(ies).

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

This obligation does not apply to secondary and higher education establishments.

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.

A financial identification form of the lead applicant (not from co-applicant(s) nor from affiliated entity(ies)) 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.

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

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.

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

If the abovementioned supporting documents are not provided 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.

* 1. Notification of the Contracting Authority’s decision
     1. Content of the decision

The lead applicants will be informed in writing of the Contracting Authority’s decision concerning their application and, if rejected, the reasons for the negative decision. This letter will be sent by e-mail and will appear online automatically in the PROSPECT profile of the user who submitted the application. Therefore, please check regularly your PROSPECT profile, taking into account the indicative timetable below.

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.

* + 1. Indicative timetable

|  |  |  |
| --- | --- | --- |
|  | **DATE** | **TIME** |
| **Information meeting, if any** (local time) | Not applicable | Not applicable |
| **Deadline for requesting any clarifications from the Contracting Authority** | 20 June 2017 | 17.00 |
| **Last date on which clarifications are issued by the Contracting Authority** | 30 June 2017 | - |
| **Deadline for submission of concept notes** | **11 July 2017** | 12.00 |
| **Information to lead applicants on opening, administrative checks and concept note evaluation (Step 1)** | 1 August 2017 | - |
| **Invitations to submit full applications** | 1 August 2017 | - |
| **Deadline for submission of full applications** | 14 September 2017 | 12.00 |
| **Information to lead applicants on the evaluation of the full applications (Step 2)** | 17 October 2017 | - |
| **Notification of award (after the eligibility check) (Step 3)** | 15 November 2017 | - |
| **Contract signature** | 31 December 2017 at the latest | - |

**All dates and times are expressed in Brussels time**, where it is not specified otherwise.

This indicative timetable refers to provisional dates and 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>.

* 1. 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.

* 1. Early detection and exclusion system (edes)

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 section 2.3.3.1 or 2.3.3.2 of the Practical Guide 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 EDES. For further information see section 2.3.3 and 2.3.4 of the Practical Guide.

1. LIST OF annexes

**Documents to be completed**

Annex A: Grant Application Form (Word format)

A.1 Concept Note

A.2 Full Application Form

Annex B: Budget (Excel format)

Annex C: Logical Framework (Word format)

Annex D: Legal Entity Sheet

Annex E: Financial identification form

Annex F: PADOR off Line Form (***ONLY IF IMPOSSIBLE TO REGISTER IN PADOR***)

**DOCUMENTS FOR INFORMATION**

Annex G: Standard Grant Contract

- Annex II: General conditions

- Annex IV: contract award procedures

- Annex V: standard request for payment

- Annex VI: model narrative and financial report

-Annex VII: model report of factual findings and terms of reference for an expenditure verification of an EU financed grant contract for external action

-Annex VIII: model financial guarantee

-Annex IX: standard template for transfer of ownership of assets

Annex H: Daily allowance rates (Per diem), available at the following address:   
<http://ec.europa.eu/europeaid/funding/about-procurement-contracts/procedures-and-practical-guide-prag/diems_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.

Annex L: e-learning:

<https://webgate.ec.europa.eu/europeaid/prospect/external/>

Annex M: user manual for PROSPECT:

<https://webgate.ec.europa.eu/europeaid/prospect/external/>

**Useful links**

Project Cycle Management Guidelines

[https://ec.europa.eu/europeaid/aid-delivery-methods-project-cycle-management-guidelines-vol-1\_en](http://ec.europa.eu/europeaid/multimedia/publications/publications/manuals-tools/t101_en.htm)

The implementation of grant contracts - A Users' Guide

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

Financial Toolkit

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

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

\* \* \*

1. Online submission via PROSPECT is mandatory for this call for proposals (see Section 2.2.2). In PROSPECT all dates and times are expressed in Brussels time. Applicants should note that the IT support is open Monday to Friday from 08:30 to 18:30 Brussels time (except for public holidays). Applicants should take note of the weekly maintenance hours mentioned in the PROSPECT user manual. [↑](#footnote-ref-2)
2. An example of a time converter tool available online: <http://www.timeanddate.com/worldclock/converter.html> [↑](#footnote-ref-3)
3. 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) [↑](#footnote-ref-4)
4. Hereinafter referred to as Moldova. [↑](#footnote-ref-5)
5. <http://eeas.europa.eu/archives/docs/enp/documents/2015/151118_joint-communication_review-of-the-enp_en.pdf>. [↑](#footnote-ref-6)
6. <http://eeas.europa.eu/archives/docs/enp/pdf/financing-the-enp/regional_east_strategy_paper_2014_2020_and_multiannual_indicative_programme_2014_2017_en_.pdf> [↑](#footnote-ref-7)
7. <http://ec.europa.eu/social/main.jsp?catId=1176>. [↑](#footnote-ref-8)
8. <http://ec.europa.eu/social/main.jsp?catId=950&langId=en>. [↑](#footnote-ref-9)
9. <http://www.etf.europa.eu/web.nsf/pages/NEET_ETF_partner_countries> [↑](#footnote-ref-10)
10. According to the same ETF Report the data on youth unemployment for the other EaP countries are the following: Ukraine 23%, Azerbaijan 13.5%, Belarus 12% and Moldova 9.8%. [↑](#footnote-ref-11)
11. Recommendation [2006/962/EC](http://eur-lex.europa.eu/legal-content/EN/AUTO/?uri=celex:32006H0962) of the European Parliament and of the Council of 18 December 2006 on key competences for lifelong learning [Official Journal L 394 of 30.12.2006]. [↑](#footnote-ref-12)
12. "Active labour market policies and activation strategies were designed to promote labour market integration by reducing job- finding obstacles, thereby increasing the probability of entering employment successfully by providing, for instance, job-related training that improves skills levels and productivity of jobseekers or through hiring subsidies designed to compensate for lack of work experience and other deficits". Source: ILO, Employment Working Paper No. 163 *"Promoting youth employment through activation strategies"*, 2014. <https://www.scribd.com/document/248754136/Promoting-Youth-Employment-Through-Activation-Strategies> [↑](#footnote-ref-13)
13. <https://www.gtai.de/GTAI/Content/DE/Trade/Fachdaten/PRO/2016/09/Anlagen/PRO201609015005.pdf?v=3> [↑](#footnote-ref-14)
14. For the purposes of this call "youth" is defined as any legal person between the age of 15-35 years old and is intended as the ultimate beneficiary of the actions financed through the grants. [↑](#footnote-ref-15)
15. All those young people experiencing personal difficulties/obstacles, limiting/preventing them from taking part in transnational projects. The obstacles/difficulties may be: mental, physical, sensory or other disabilities; education difficulties (learning difficulties, early-school-leavers, etc.); economic obstacles (low standards of living, low income, etc.); cultural differences (immigrants/refugees/their descendants, national/ethnic minorities, etc.); chronic health problems; social obstacles (discrimination due to gender, age, etc.); limited social skills, anti-social or risky behaviours, precarious situations, (ex-)offenders, (ex-)drug or alcohol abusers, young and/or single parents, orphans; geographical obstacles (people from remote rural areas, small islands or peripheral regions). Reference: *Erasmus+ Programme Guide*. [↑](#footnote-ref-16)
16. 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. [↑](#footnote-ref-17)
17. International organisations are international public-sector organisations set up by intergovernmental agreements as well as specialised agencies set up by them; the International Committee of the Red Cross (ICRC) and the International Federation of National Red Cross and Red Crescent Societies are also recognised as international organisations. [↑](#footnote-ref-18)
18. However punctual or limited activities taking place outside the selected countries are eligible provided that this is consistent with the proposed action and that these activities are instrumental to the objectives of the proposed action. [↑](#footnote-ref-19)
19. These third parties are neither affiliated entity(ies) nor associates nor contractors. [↑](#footnote-ref-20)
20. 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. [↑](#footnote-ref-21)
21. 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. [↑](#footnote-ref-22)
22. Which corresponds to sections 3 and 4 of the full application form – Annex A.2. [↑](#footnote-ref-23)
23. The grant application form consists of Annex A.1 – concept note and Annex A.2 – full application form. [↑](#footnote-ref-24)
24. For example: http://www.timeanddate.com/worldclock/converter.html. [↑](#footnote-ref-25)
25. Note that the relevance may be re-evaluated in the cases described in sections 6.5.7 and 6.5.8. of the Practical Guide. [↑](#footnote-ref-26)
26. 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. [↑](#footnote-ref-27)
27. To be inserted only where the eligibility conditions have not changed from one call for proposals to the other. [↑](#footnote-ref-28)