



**Contracting Authority: European Commission**  
**Global Public Goods and Challenges**

**Global call for proposals**

«Supporting the participation of Sub-Saharan cities in the Covenant of Mayors»

**Restricted call for proposals**

**Guidelines for grant applicants**

Budget line: 21.020702

Reference:  
EuropeAid/150842/DH/ACT/Multi

Deadline for submission<sup>1</sup> of concept notes: **3 March 2016 at 16:00**  
**(Brussels date and time)**

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

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

We draw your attention to the Article 6.5. of the "General Conditions" (Annexe G to the present Guidelines), which stipulates that the purpose, duration, location and maximum amount of the grant together with the name and address of your organisation and other beneficiaries (i.e. including co-applicants in the application and affiliated entities if any) will be published. Derogation from publication of this information may be granted if it could endanger the beneficiary/ies or harm their interest.

**To apply to this call for proposals organisations must register in PADOR and submit their application through (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.

You can find the e-learning and the PROSPECT users' manual in the Useful Links section of these Guidelines (last page). 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)

A functional mailbox specifically dedicated to this call has been set up:

[EuropeAid-150842@ec.europa.eu](mailto:EuropeAid-150842@ec.europa.eu)

It shall be used exclusively for sending clarification requests within the deadlines set in paragraph 2.2 of these guidelines, No other functional mailbox will be used. The Contracting Authority reserves the right to close this mailbox without prior notice once this call for proposals is closed and not to reply to requests which do not fall under one of the afore-mentioned category.

**Concept notes or full applications submitted via this mailbox will not be considered.**

# IMPORTANT

Even though the verification of eligibility is foreseen to be carried out only for the provisionally selected applicants at the end of the procedure, the Evaluation Committee may decide to verify this point at any previous step of the procedure. Consequently, any proposal found to be non-compliant with all the mandatory conditions set in these guidelines can be automatically rejected on that sole basis, at any stage of the procedure and without any prior notice or clarification request. Applicants are therefore strongly advised to fill in scrupulously the "Check List for Concept Note" (Annex A1) and the "Checklist for the Full Application form" (Annex A.2.). Any missing supporting document or any incoherence between the declarations and the supporting documents may lead to the rejection of the proposal on that sole basis.

**No modification of the partnership between the Concept Note and the Full Application will be allowed, only in exceptional cases, justified by force majeure. Force majeure shall mean any unforeseeable exceptional situation or event beyond the parties' control which prevents either of them from fulfilling any of their obligations, is not attributable to error or negligence on their part and proves insurmountable in spite of all due diligence. In such cases, the applicant must clearly indicate the requested change and justify the request in Annex A.2. section 5. The validity of the justification provided will be examined during the evaluation of the Full Application. Should the justification not be deemed valid, the proposal may be rejected on that sole basis. In the absence of any justification, the proposal will be rejected.**

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# 1 SUPPORTING THE PARTICIPATION OF SUB-SAHARAN CITIES IN THE GLOBAL COVENANT OF MAYORS

## 1.1 BACKGROUND

### **The original version of the Covenant of Mayors in the European Union**

Energy policy is gaining momentum in the political agenda worldwide, not only at the national level but also at the local level, as shown by the success of the EU "Covenant of Mayors (CoM)"<sup>4</sup>. The CoM is a political commitment that was initiated by the European Commission Communication (2006) 545 "Action Plan for Energy Efficiency: Realising the Potential" and which currently counts with over 6 600 signatories in the European Union and beyond since its launch in 2008. The CoM aims at bringing together in a permanent network mayors and local authorities (also including subnational regions).

In the European Union, CoM signatory cities formally commit themselves to go beyond the objectives of EU energy policy in terms of at least 20% reduction of greenhouse emissions by 2020 through the design and implementation of Sustainable Energy Action Plans ("SEAP"). SEAP are streamlined planning tools outlining the practical measures and policies that cities will implement to achieve their objectives. Covenant cities also commit to submit monitoring reports, every two years from the submission of the SEAP, stating the degree of implementation of the programme and the interim results.

In October 2015, the CoM for European Union local authorities has been completed with a new 2030 commitment framework (aiming at Greenhouse Gases – GHG – reductions of at least 40%) and new commitments in terms of Energy access and CC adaptation. SEAPs will therefore become SECAPs (Sustainable Energy and Climate Action Plans).

Individual cities are free to design and implement their SEAP as they wish, accordingly with their local circumstances, capacities, existing policies and choices, as long as they comply with the basic requirements of the CoM and with the commitment signed by the city. In different cities, SEAP may therefore cover different aspects such as building or lighting energy efficiency, urban transportation, urban planning, renewable energy sources, awareness raising and involvement of the private sector.

The success amongst local authorities in the EU has been immediate and the number of signatory cities has regularly increased since then.

### **A quick geographic extension of the model**

The Covenant has been open since the beginning to all cities, not only in the European Union but also outside of it. From the very beginning on, a lot of cities outside the European Union joined the Covenant of Mayors, for example in countries of Eastern Europe or of the Balkans, even in the absence of specifically CoM oriented EU financed projects. The model proved to be very attractive to cities that seized the opportunity to stress their role in energy and climate action and to attract visibility and investments.

Furthermore, in the framework of the European Neighbourhood Partnership Instrument, several programmes of extension took place. There is therefore now a "CoM East" covering Eastern Europe and beyond up to the Caucasus<sup>5</sup> and a "CoM South" covering the Southern Neighbourhood (eastern and southern Mediterranean)<sup>6</sup>. A project led also to preliminary CoM activities in Central Asia.

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<sup>4</sup> See also [www.eumayors.eu](http://www.eumayors.eu)

<sup>5</sup> See for instance <http://eeecu-comogrant.org.ua/en>

<sup>6</sup> Project "CES-MED" in nine countries of the region (<http://www.ces-med.eu/>)

## New perspectives in 2015

Considering this successful initiative and the positive political and technical impact on energy and climate policies as well as on the local investments (in energy efficiency, renewable energy sources, efficient transportation schemes...), the CoM continues going global to export its experience in new areas. In October 2015, a new Global Covenant of Mayors scheme has been unveiled. A project under the Partnership Instrument will cover regions of the Americas and Asia, whereas a project under the Development Cooperation Instrument covers Sub-Saharan Africa (SSA). **The latter constitutes the framework in which the present Call for Proposal takes place.**

Regarding the SSA CoM, important lessons learned from the development cooperation activities of the European Commission and Member States as well as the existing extensions of the CoM were taken into account. There was a clear necessity to consider the particularities as well as the geographical and political circumstances of SSA countries. The main differences that need to be taken into account are:

- Many inhabitants of Sub-Saharan African cities live in poor conditions, do not have access to modern and efficient forms of energy and other urban services. The ambition of Sustainable Energy Plans in the region must therefore contribute, as a primary objective, to the universal energy access, to the development and to the improvement of living conditions and of democracy.
- One of the major development challenges of the coming decades in SSA is the fast urbanisation of the population. According to official outlooks, the urban population will increase from 340 million in 2012 to 645 million in 2030 and to 900 million in 2040 or 2050. Cities are the places where the major part of the energy is consumed, and where most of the greenhouse gases emissions directly or indirectly originate.
- The average energy consumptions and GHG emissions per person are very low in most of the SSA countries and cities, so there is clear evidence that both energy uses and emissions in African cities will grow in the future. What is at stake here is the possibility to achieve development in a way that energy uses and GHG emissions remain under control over the long term. Within the same timeframe, developed cities and countries will have to reduce their energy uses and emissions in order to converge to similar *per capita* levels.
- Major improvements are possible in terms of energy efficiency, including reduction of wasteful processes, organisational settings or behaviours while providing access to energy related urban services. The specific issue of urban planning has a crucial role to play in the setting of future services and of future energy consumption requirements.
- There are strong expectations in Africa that any urban strategy would include sound measures related to climate change adaptation. This is in line with inclusion, in the EU, of CC adaptation objectives in the new Global Covenant of Mayors setting.
- Finally, there is a need for flexibility as, contrary to what happens in the EU, there are no common GHG emission targets in place at the regional level in Africa, but only individual ones (when existing) in different countries.

In line with the objectives of transmitting CoM examples, principles and methodology and being of inspiration for SSA local authorities in their efforts towards universal access to sustainable energy related services and climate change action, an adaptation of the CoM arises from this analysis that draws some aspects of future Sustainable Energy Access and Climate Action Plans (“SEACAPs”).

“Global Public Goods and Challenges” (GPGC) is a thematic programme of the Development Cooperation Instrument (DCI) of the European Commission. In this framework, the project “Covenant of Mayors in Sub-Saharan Africa – Phase I” will finance the adaptation and extension of the CoM to SSA. The objective is to enhance the sustainable energy dimensions of development at both municipal and national levels, to facilitate universal access to sustainable and efficient energy services in cities, and to support transformation towards an inclusive green economy ensuring people-centred inclusive sustainable development within the limits of planetary boundaries.

The overall objective of the programme is to increase the capacities of cities to provide access to sufficient, sustainable and safe energy services to urban and peri-urban populations (specially the poor), with a special attention to energy efficiency as a driver for local and climate resilient development.

The project “Covenant of Mayors in Sub-Saharan Africa – Phase I” consists in two different parts:

- A grant has been awarded (December 2015) to set-up a Local Authorities Platform (coordinating beneficiary: CCRE-CEMR) for knowledge sharing, political advocacy and technical assistance linked to the hereby described Call for Proposals. Its objective is to assist cities as well as national authorities in the design, facilitation and implementation of local strategies for sustainable urban development and climate action in the framework of the forthcoming Covenant of Mayors in Sub-Saharan Africa (CoM SSA).
- The projects issued from the Call for proposal itself, further described below.

The Local Authorities Platform has been assigned the task to support the possible applicants to this Call for Proposals through provision of information as well as limited technical and administrative support.

The overall action is expected to produce major political ownership, both at local level (with a foreseen number of as many as 300 cities voluntarily joining the CoM SSA within the coming years) and at national level as observed in countries covered by the other existing three CoM initiatives.

The provision of sufficient and efficient urban energy services (such as lighting, transportation, water and sanitation, , domestic appliances...) in the booming and mostly to be built cities and districts will not be possible without very strong and organised land and city planning tools that are to be specifically supported by the present Call for Proposals.

Other cities will benefit from the initiative through several channels:

- Subsequent call for proposals or other financing support mechanisms may be put in place by the Commission or other partners to allow other cities to implement similar actions;
- The Local Authorities Platform constitutes a tool that will be at the disposal of all Sub-Saharan local authorities, not only of cities selected in this Call for Proposals;
- Other technical assistance facilities should be able to provide support to cities engaging in the CoM SSA;
- The know-how and good practices developed in the framework of this call should improve the general capacity of national authorities, city networks and other partners to do so, even without specific funding;
- The first successful experiences should arouse interest of investors to support similar plans in other cities, both for their design and for their implementation.

## 1.2 OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

A grant will be allocated to Sub-Saharan African (SSA) cities through this call for proposals that will finance and engage them into sustainable climate-energy planning and local development processes, increase their capacity for planning and acting, access to energy and include them in a regional and global community of engaged cities. Additional cities will possibly be supported at a later stage pending disposable budget.

The project will allow cities of the Sub-Saharan Region to set up efficient planning tools and action plans for their energy, transportation and/or spatial organisation, to improve their legal and institutional framework as well as their technical and resource mobilisation capacities, and will contribute to the dissemination of political ownership and best practices through networks of cities, therefore ensuring the extension and adaptation of the EU CoM initiative in the region.

The **global objective** of this call for proposals is: to increase the capacities of cities to provide access to sufficient, sustainable and safe energy related services to urban and peri-urban populations (especially the poor), with special attention to energy efficiency and renewable energy as drivers for local, low emission, climate resilient, sustainable development.

The **specific objective** of this call for proposals is to increase the local authorities' planning capacities on urban design, mobility and energy.

A **balanced geographical coverage** will be sought in the process of selecting the cities for this call for proposals.



There are four **expected priority results** of this CoM SSA Call for Proposals:

- 1) Sub-Saharan cities set up efficient planning tools and action plans for their energy, transportation and/or urban activities. These include the design and adoption of a Sustainable Energy Access and Climate Action Plan (SEACAP) that includes<sup>7</sup>:
  - (a) immediate action and short/medium term objectives in terms of universal and sustainable energy access, energy efficiency, urban organisation, climate adaptation and related data collection (including in-field measurements), **consistent with**
  - (b) a longer term vision and general commitment of the city to limit its *per capita* energy use and GHG emissions at levels consistent with the UNFCCC objectives (limit global temperature rise well below 2°C, striving to limit it to 1.5°C).
- 2) The related capacities of SSA cities are improved in terms of planning, of stakeholder and public participation process running, of implementation of local activities, of resource mobilisation, of data collection and assessment of policy results and of legal and administrative activities.
- 3) Joint activities and direct city-to-city cooperation are undertaken, especially with EU cities that have capacities and experience in the related fields. City-to-city cooperation should be seen as a way to improve capacities of all involved partners ('South-North' as much as 'South-South' and/or 'North-South').
- 4) Cities implement concrete actions for sustainable energy access, energy efficiency, low emission local development, urban planning and climate resilience.

The following priorities should be taken into account in the applications:

1. "Favourable and supportive multi-level governance policy" should be sought and promoted to support the project:
  - a) National policy on energy and climate change (on access, adaptation and mitigation): regulation / national actions / intended nationally determined contributions at least on energy efficiency and renewable energy sources.
  - b) Local policy or vision on development, urban planning, climate change and energy: projects in the pipeline or already launched, etc.
  - c) Coordinating structures or working parties that allow the applicant city to liaise – together with other cities if relevant – with national authorities on sectoral policies as well as on the legal and institutional framework and empowering environment of local authorities in the national law (based on the principle of subsidiarity).
  - d) General process of decentralisation that can be already ongoing, already foreseen or that could be planned as a part of or in parallel with the proposal.
2. "Cross-sectoral and participatory approach": in order to design strong action plans and to implement them in a quick and successful manner, there is a need to work through a holistic approach, to involve cross-cutting teams and to ensure public participation and stakeholders' involvement (including communities, women and girls representatives, Civil Society Organisations – CSOs – and the private sector). The participation process should be permanently ongoing, formalised, documented, communicated, and monitored in a transparent manner.

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<sup>7</sup> As they constitute new tools yet to be developed, there is neither a complete definition of nor a template for CoM SSA SEACAPs. This is one of the tasks of the Local Authority Platform to provide them later. As SEACAPs are an adaptation of SEAPs and SECAPs (see section 1.1), it is recommended that applicants refer to related documents on the Covenant of Mayors website ([www.eumayors.eu](http://www.eumayors.eu)), including the guidebook "*How to develop a SEAP in South Mediterranean Cities*".

3. “Action consistency”. Cities should commit to include key elements of their SEACAP in all their activities, development planning documents and processes and make sure that all of their actions, policies and activities are consistent with the objectives and arrangements of their SEACAP.
4. “Highest local ownership of the project”: the SEACAP and its design phase are very horizontal and cross-cutting processes that must be at the core of the municipal/city concerns. The Mayor and its direct team (deputies, Mayor's office, directors, etc.) must be involved as much as possible. A dedicated and well identified team must be set-up within the lead beneficiary city services. Ideally, three management-level officials from different departments of the city services with relevance to the project should participate in project activities. One of them should lead the team. Elected officials could also be included. Relevant departments generally include transport, urban planning, buildings, waste, general infrastructure, environment, etc.
5. “Global urban networking”: the projects should contribute to the exchange of knowledge and of know-how among local authorities, governments and other actors involved in urban issues worldwide. Awareness raising, political advocacy and replication of the successes should be pivotal. An existing experience and/or on-going process of city-to-city cooperation will be an asset in the project selection.

Applicants are requested to explain how their proposals will rely on and contribute to the emergence of:

1. “Covenant Coordinators”: local, regional (sub-national) and national public administrations or agencies which may provide strategic guidance, financial and technical support to the selected applicants and to municipalities signing up to the Covenant of Mayors but lacking necessary skills and/or resources to fulfil their requirements.
2. “Covenant Supporters”: these are African, national and regional (sub-national) networks and associations of local authorities and local communities which leverage their lobbying, communication and networking activities to promote the Covenant of Mayors initiative and support the commitments of its signatories, including through liaising with their members, facilitating exchange of experience and defending common interest in the adequate fora<sup>8</sup>.
3. Other supporting structures: e.g. local or regional sustainable energy agencies, urban mobility operators, energy research centres, CSOs, NGOs, private sector efficiency and climate action oriented structures, national and international organisations...

Existing activities in terms of access to energy related services, energy efficiency, renewable energy production, climate mitigation and adaptation as well as sound urban and transportation planning should be taken into account or integrated in the proposed actions

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<sup>8</sup> N.B. The Local Authorities Platform is one of the Covenant Supporters of the CoM SSA that will be available to work with selected cities as well as with signatories of the forthcoming CoM SSA. Please take note that the proposals shall not include financial support to the Platform for already covered activities and that duplication of activities under the mandate of the Platform shall be avoided.

### 1.3 FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY

The overall indicative amount made available under this call for proposals is EUR 5.900.000. The Contracting Authority reserves the right not to award all available funds. Equally, this amount could be increased should more funds become available.

#### Size of grants

Any Requested EU contribution (amount) under this call for proposals must fall between the following minimum and maximum amounts:

- minimum amount: EUR 300 000
- maximum amount: EUR 1 000 000

Any Requested EU contribution (amount) 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: 80 % 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 requested EU contribution from the Contracting Authority) must be financed from sources other than the European Union Budget or the European Development Fund<sup>9</sup>.

## 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>).

### 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).

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<sup>9</sup> 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.

## 2.1.1 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 established<sup>10</sup> in one of the SSA countries<sup>11</sup> **and**
  - be a urban local authority (including greater urban or metropolitan areas)<sup>12</sup> **and**
  - be included in an urban area counting a population of over 500 000 inhabitants – for cities from the islands, the threshold can be reduced to 50 000 inhabitants provided that the city is the capital city of the country – **and**
  - declare the interest of the related municipality(ies) in signing up to the Global Covenant of Mayors (an official statement from relevant authorities will need to be issued and added to the application) **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**
- (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 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 coordinates the design and implementation of the action.

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<sup>10</sup> To be determined on the basis of the organisation's statutes that should demonstrate that it has been established by an instrument governed by the national law of the country concerned and that its head office is located in an eligible country. In this respect, any legal entity whose statutes have been established in another country cannot be considered an eligible local organisation, even if the statutes are registered locally or a 'Memorandum of Understanding' has been concluded.

<sup>11</sup> Countries of Sub-Saharan Africa include: Angola, Benin, Botswana, Burundi, Burkina Faso, Cameroon, Cape Verde, Central African Republic, Chad, Comoros, Congo Brazzaville, Democratic Republic of Congo, Djibouti, Equatorial Guinea, Eritrea, Ethiopia, Gabon, Gambia, Ghana, Guinea, Guinea Bissau, Ivory Coast, Kenya, Lesotho, Liberia, Madagascar, Malawi, Mali, Mauritania, Mauritius, Mozambique, Namibia, Niger, Nigeria, Rwanda, São Tomé and Príncipe, Senegal, Seychelles, Sierra Leone, Somalia, South Africa, South Sudan, Sudan, Swaziland, Tanzania, Togo, Uganda, Zambia, Zimbabwe.

<sup>12</sup> The statutes of the lead applicant should prove that it is a local authority.

## Co-applicant(s)

(1) In order to be eligible for a grant, the co-applicant must:

- be a legal person **and**
- be non-profit-making **and**
- be established<sup>13</sup> in a country eligible under the DCI Instrument<sup>14</sup> **and**
- be a local authority (including greater urban or metropolitan areas) **or** a regional (infra-national), national or international association of local authorities **or** a group of two or more local authorities that have constituted a legal entity (e.g. intercommunality) **or** a relevant local, regional or national public sector agency or operator.

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 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*

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 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).

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<sup>13</sup> To be determined on the basis of the organisation's statutes that should demonstrate that it has been established by an instrument governed by the national law of the country concerned and that its head office is located in an eligible country. In this respect, any legal entity whose statutes have been established in another country cannot be considered an eligible local organisation, even if the statutes are registered locally or a 'Memorandum of Understanding' has been concluded.

<sup>14</sup> Please, refer to Art 9 of Common Implementation Rules  
[http://ec.europa.eu/enlargement/pdf/financial\\_assistance/ipa/2014/236-2014\\_cir.pdf](http://ec.europa.eu/enlargement/pdf/financial_assistance/ipa/2014/236-2014_cir.pdf)

- (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 its (their respective) related 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 24 months nor exceed 36 months.

#### Sectors or themes

The sectors addressed in this call for proposals are all sectors related to sustainable energy and climate resilience in municipalities including energy access (especially for the poor), savings and efficiency in urban areas (buildings, transportation, lighting, appliances, etc.) as well as urban planning and transportation schemes.

#### Location

Actions must take place in the Sub-Saharan African country where the lead-applicant is established – Nevertheless, some activities may, if duly justified, take place in other regions of the world..

#### Types of action

Any action directly related to achieving the objectives and targets of the Global Covenant of Mayors and especially related to the design and effective implementation of the Sustainable Energy Access and Climate Action Plan (SEACAP) as described in section 1.2 (first priority result) and/or any similar or complementary action plan already approved by the applicant.

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;

#### Types of activities

Eligible activities under this call for proposals shall be related to the preparation and implementation of the SEACAPs. The SEACAPs must allow for significant energy savings, improvement of energy access, efficiency and rational use, increasing the use of renewable energies, reduction of CO<sub>2</sub> emissions, climate change adaptation and related urban planning provisions.

The eligible activities cover, amongst others:

1. The support to direct city-to-city cooperation in SSA, including with EU cities that have a sound experience of urban, mobility and climate/energy planning activities, but also with other cities of Africa and of other regions of the world.

2. Participation of the city and its partners (including communities, CSOs, private sector as well as other cities and organisations) to networking activities such as joint working groups, workshops.
3. Capacity building, training, knowledge sharing and management activities that will allow the city – possibly jointly with some of its partners – to plan, engage and act efficiently in the fields of operation. This may include the set-up of a specific dedicated team in the main beneficiary city services.
4. Data gathering, management and modelling including: in-field energy consumption, activity or GHG emissions measurement; pollution monitoring; statistical surveys and modelling of relevant human based or natural processes (e.g. energy uses, local urban transportation under different mobility scenarios, local impacts of climate change and of adaptation measures).
5. Preparation and validation of preliminary studies, baseline, public participation processes and urban or transportation planning documents.
6. Specific early actions to be possibly implemented before the adoption of the SEACAP, provided that they have quick effects and that they demonstrate the benefits of sustainable energy (access) and climate action. Such actions, being implemented at an early stage of the participatory design of the SEACAP, have to be consensual and ideally formally accepted by all involved stakeholders. Examples include: energy audits of public buildings, energy saving campaigns, improvement of urban public or non-motorised transportation, improved public lighting, awareness campaigns, improved measurement and monitoring of energy consumption, etc.
7. Preliminary/feasibility studies can be implemented that will support later or parallel larger scale actions – not be financed by the grant – in order to accelerate the process of their implementation.

All activities under the points 6 and 7 above should not consist in more than 15% of the overall application proposed budget, and the budget allocated to these activities should be identified clearly in the budget table annexed to the application for verification.

The European Commission will pay a particular attention during the assessment of the applications to the demonstration effect of the proposed activities as well as to their replicability in other cities in the region.

#### Financial support to third parties<sup>15</sup>

Applicants may not propose financial support to third parties.

#### 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

The lead applicant may not submit more than 1 application as lead applicant under this call for proposals. Should this be the case, the EC will only consider the first proposal arrived (based on the date and hour of submission), the additional proposal(s) will be rejected.

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

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<sup>15</sup> These third parties are neither affiliated entity(ies) nor associates nor contractors.



A co-applicant/affiliated entity may not submit more than 1 application as such 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>16</sup>
- 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 a 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.

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16 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.

## 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;

## **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>17</sup> for this call for proposals:

**Concept note step:** Registration is obligatory for lead applicants applying for requested EU contributions of more than EUR 60000.

**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>18</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 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). **via the online support form in PROSPECT**

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<sup>17</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>18</sup> Which corresponds to sections 3 and 4 of the full application form – Annex A.2.

### **2.2.1 Concept note content**

Applications must be submitted in accordance with the concept note instructions in the grant application form<sup>19</sup> annexed to these guidelines (Annex A.1). Applicants must apply in English, French or Portuguese. Applicants must apply in the language most commonly used by the target population in the country in which the action takes place.

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. Please note that those values must fulfil the requirements of section 1.3. of the present Guidelines. 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 requested 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.
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. Please note that PROSPECT is unavailable for maintenance every Monday between 14:00 and 15:00 Brussels time.

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. An electronic version 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 full name and address of the lead applicant, and the words 'Not to be opened before the opening session' and «Não abrir antes da sessão de abertura» and «à ne pas ouvrir avant la séance d'ouverture».

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<sup>19</sup> The grant application form consists of Annex A.1 – concept note and Annex A.2 – full application form.

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

European Commission

Directorate-General for Development and Cooperation - EuropeAid

Unit DG B6 Finance, Contracts, Audit – Human and Society Development

Calls for Proposals Sector

Office: J-59 01/33

B-1049 Brussels

BELGIUM

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 03 March 2016 at 16:00 CET (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](#))<sup>20</sup> **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 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 4 pm, Brussels 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***

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: [EuropeAid-150842@ec.europa.eu](mailto:EuropeAid-150842@ec.europa.eu)

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<sup>20</sup> For example: <http://www.timeanddate.com/worldclock/converter.html>.

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. Questions sent directly to Commission staff e-mail addresses will not be taken into consideration. Any direct contact with a member of the Commission staff or any attempt to get privileged information will lead to the rejection of the concept note. No request for individual meeting to discuss the drafting of the concept note will be accepted. 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>, 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) **via the online support form in PROSPECT** Please note that the working languages of the IT support are: English French and Spanish. Therefore users are invited to send their questions in English, French or Spanish should they wish to benefit from an optimum response time.

### **2.2.5 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. Please refer to section "Important" on page 4.
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. Please note that PROSPECT is unavailable for maintenance every Monday between 14:00 and 15:00 Brussels time.

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. 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

European Commission

Directorate-General for Development and Cooperation - EuropeAid

Unit DG B6 Finance, Contracts, Audit – Human and Society Development

Calls for Proposals Sector

Office : J-59 01/33

B-1049 Brussels

BELGIUM

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 «Não abrir antes da sessão de abertura» and «à ne pas ouvrir avant la séance d'ouverture»

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 Contracting 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 4 pm Brussels Time<sup>21</sup> as evidenced by the signed and dated receipt.]

Any application submitted after the deadline will be rejected.

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: [EuropeAid-150842@ec.europa.eu](mailto:EuropeAid-150842@ec.europa.eu)

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

Replies will be given no later than 11 days before the deadline for the submission of 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. Questions sent directly to Commission staff e-mail addresses will not be taken into consideration. Any direct contact with a member of the Commission staff or any attempt to get privileged information will lead to the rejection of the concept note. No request for individual meeting to discuss the drafting of the concept note will be accepted. 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>, 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) **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.

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<sup>21</sup> Please use an online time converter tool, such as <http://www.timeanddate.com/worldclock/converter.html>.



## 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>22</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.

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<sup>22</sup> Only where some applications have been submitted offline.

## Evaluation Grid

### Scores

| <b>1. Relevance of the action</b>   | Sub-score | <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? | 5         |           |
| <b>2. Design of the action</b>  | Sub-score | <b>20</b> |
| 2.1 How coherent is the overall design of the action?<br><br>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**     |           |

**TOTAL SCORE 50**

\*\*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 at least 200 % of the available budget for this call for proposals is reached.

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>23</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; (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 affiliated entity(ies), if any.

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>24</sup>

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

<sup>23</sup> Only where some applications have been submitted offline.

<sup>24</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, affiliated entity(ies) have sufficient management capacity? (including staff, equipment and ability to handle the budget for the action)  | 5                    |
| 1.4 Does the applicant have stable and sufficient sources of finance?   | 5                    |
|   | <b>Maximum Score</b> |
| <b>2. Relevance of the action</b>   | <b>30</b>            |
| <i>Score transferred from the Concept Note evaluation</i>   |                      |
| <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?<br>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 clearly defined?   | 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?:<br>- financially ( <i>how will the activities be financed after the funding ends?</i> )<br>- institutionally ( <i>will structures allowing the activities to continue be in place at the end of the action? Will there be local 'ownership' of the results of the action?</i> )<br>- at policy level (where applicable) ( <i>what will be the structural impact of the action — e.g. will it lead to improved legislation, codes of conduct, methods, etc?</i> )<br>- environmentally (if applicable) ( <i>will the action have a negative/positive environmental impact?</i> ) | 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.

### Re-evaluation of the Relevance.

The evaluation committee or internal assessors evaluating the full applications may re-evaluate the scores given for the relevance at concept note stage.

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

Organisations are required to upload/update the documents listed below in PADOR (see section 2.2) 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)<sup>25</sup>:

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>26</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>27</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 requested EU contribution 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) and the 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.

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), 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, French or Portuguese, it is **strongly** recommended, in order to facilitate the evaluation, to provide a translation of

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25 No supporting document will be requested for applications for a grant not exceeding EUR 60000.

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.

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

the relevant parts of the documents, proving the lead applicants' and, where applicable, co-applicants' and affiliated entity(ies)' eligibility, into one of these languages.

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.

## **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.

Applicants who were unsuccessful at the Opening and Administrative Check stages of the procedure wishing to obtain further information should send their request by letter, indicating the reference of the Call for Proposals and the reference allocated to the proposal, to:

European Commission  
Directorate-General for Development and Cooperation — EuropeAid  
Unit DEVCO B.6 Finance, Contracts, Audit - Human and Society Development  
Attn. Head of Unit  
Office: J-59 01/33  
B-1049 Brussels  
  
Belgium

Applicants who were unsuccessful at the Technical evaluation stages of the procedure or at the Eligibility check stage wishing to obtain further information should send their request, by letter indicating the reference of the Call for Proposals and the reference allocated to the proposal, to:

European Commission  
Directorate-General for Development and Cooperation — EuropeAid  
Unit DEVCO C6  
Attn. Head of Unit  
Office: L-41 03/51  
41 rue de la Loi  
B-1049 Brussels  
  
Belgium

## 2.5.2 Indicative timetable

|  | DATE           | TIME           |
|--|----------------|----------------|
| <b>Information meeting, if any</b> (local time)  | Not applicable | Not applicable |
| <b>Deadline for requesting any clarifications from the Contracting Authority</b>                             | 11/02/2016     | Not applicable |
| <b>Last date on which clarifications are issued by the Contracting Authority</b>                             | 21/02/2016     | -              |
| <b>Deadline for submission of concept notes</b>  | 03/03/2016     | 16:00          |
| <b>Information to lead applicants on opening, administrative checks and concept note evaluation (Step 1)</b> | April 2016     | -              |
| <b>Invitations to submit full applications</b>   | April 2016     | -              |
| <b>Deadline for submission of full applications</b>  | June 2016      | -              |
| <b>Information to lead applicants on the evaluation of the full applications (Step 2)<sup>28</sup></b>       | August 2016    | -              |
| <b>Notification of award (after the eligibility check) (Step 3)</b>  | September 2016 | -              |
| <b>Contract signature<sup>29</sup></b>   | November 2016  | -              |

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>.

28 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.

29 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 PAGO DA 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 contract or decision.

### 3 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)<sup>30</sup>

Annex D: Legal Entity Sheet

Annex E: Financial identification form

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

#### DOCUMENTS FOR INFORMATION<sup>31</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/funding/about-procurement-contracts/procedures-and-practical-guide-prag/diems\\_en](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.

#### USEFUL LINKS

PROSPECT E-LEARNING :

<https://webgate.ec.europa.eu/fpfis/wikis/display/devcoiskb/PROSPECT++E-Learning>

USERS MANUAL FOR PROSPECT

<https://webgate.ec.europa.eu/fpfis/wikis/display/devcoiskb/PROSPECT++Applicants%27+User+Manual>

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30 Optional where the total amount of the grants to be awarded under the call for proposals is EUR 100 000 or less.

<sup>31</sup> These documents should also be published by the Contracting Authority.

## 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)

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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