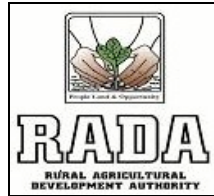




Ministry of Agriculture
European Union Banana Support Programme

193 Old Hope Road, Kingston 6, Jamaica
Tel: (876) 970-3937/3938 Fax: (876) 927-2450
Email: eupmu@cwjamaica.com



Creation of sustainable employment opportunities through economic diversification in the banana producing parishes of Jamaica

Guidelines
for grant applicants

Financing Agreement No. B-B21.03.18/856/04

Financing Agreement No. B-21.06.05/856/04

SFA 2006 & SFA 2007

Reference: SFA 2006/SFA 2007/-2

Deadline for submission of proposals: **30 September 2009**

Table of contents

1. The Creation of sustainable employment opportunities through economic diversification in the banana producing parishes of Jamaica	
1.1 Background	3
1.2 Objectives of the programme and priority issues <>	4
1.3 Financial allocation provided by the Contracting Authority	4
2. RULES OF THIS CALL FOR PROPOSALS	5
2.1 Eligibility criteria	5
2.1.1 Eligibility of applicants: who may apply	5
2.1.2 Partnerships and eligibility of partners	6
2.1.3 Eligible actions: actions for which an application may be made	6
2.1.4 Eligibility of costs: costs which may be taken into consideration for the grant	8
2.2 How to apply, and the procedures to follow	10
2.2.1 Application form	10
2.2.2 Where and how to send the applications	10
2.2.3 Deadline for submission of applications	11
2.2.4 Further information	11
2.3 Evaluation and selection of applications	12
2.4 Submission of supporting documents for provisionally selected proposals	16
2.5 Notification of the Contracting Authority's decision	17
2.5.1 Content of the decision	17
2.5.2 Indicative time table	17
2.6 Conditions applicable to implementation of the action following the Contracting Authority's decision to award a grant	18
3. LIST OF ANNEXES	19

Creation of sustainable employment opportunities through economic diversification in the banana producing parishes of Jamaica

1.1 BACKGROUND

The European Union (EU) has provided support to the banana industry in Jamaica since 1996. The current EU Banana Support Programme (EUBSP) is financed under the 10 year Strategic Framework of Assistance (SFA), **Council Regulation 856/1999 of the European Commission: Special Framework of Assistance (SFA) for Traditional ACP Suppliers of Bananas to the European Union**. Funding from SFAs 1999, 2000 was devoted to improving export competitiveness and improvements in banana production techniques and fruit quality. The assistance provided under the SFA Programme to the Government of Jamaica [GoJ] has since the SFA 2001 Financing Agreement allocated funds for the provision of the following measures:

- (i) To promote the continued improvement in competitiveness of the export banana industry with emphasis being placed on certification and the adoption of international standards
- (ii) To support diversification from banana production to alternative viable and sustainable livelihoods through the provision of assistance for rural diversification.

Over the 10 year life of the SFA programme €40 million has been committed to the programme by the EU, of which approximately €11 m is devoted to rural diversification.

The results achieved so far have been pivotal in enabling the banana industry to overcome a number of serious disease and environmental threats (e.g. *Black Sigatoka*, *Moko disease* and widespread damage caused by hurricanes). A number of key reforms (e.g. improved drainage, improved produce quality, formation of Banana Trade Company, initial phases of GLOBALGAP and Fair Trade compliance) have also been implemented.

Despite that, the sustainability of the banana industry has been challenged in recent years by the increased incidence of natural disasters and by the continuous erosion of the preferential access to the EU market. In the wake of Hurricane Dean that destroyed more than 90% of the banana crop on 19 August 2007, the Government of Jamaica (GoJ) started a review of its strategy for the Banana Improvement Programme of the EUBSP and banana sector in general. The passage of Tropical Storm Gustav in 2008 August has created an even greater urgency for the development of an appropriate policy framework for the banana industry. Banana exports to Europe ceased shortly after that passage of the tropical storm. It should be noted, however that the export banana industry has declined significantly since the start of EU funding under the SFA with production dropping from 39,396 tonnes in 2003 to 17, 473 tonnes in 2007. Domestic consumption is estimated to be in excess of 100,000 tonnes. Plantain production, most of which is consumed domestically varies but is estimated to be above 15,000 tonnes per annum. The banana industry has been impacted by five major hurricanes since 2004. All indications are that re-entry to the export market is now very unlikely. Accordingly, emphasis is being placed upon the domestic banana and plantain markets, and the investigation of other potential markets in the near islands or elsewhere.

Many rural communities have experienced economic decline as a result of the decline in banana production resulting in the displacement of farmers, farm, port, and other workers. Therefore more effort is being devoted in the last year of the EUBSP towards economic diversification and mitigating the social impact of the downturn. During 2008 there were calls for proposals to improve access to rural finance, foster vocational education and training, rehabilitate small social and economic infrastructure, and promote small scale economic activities by organizing the communities and vertically integrating production, technology and the market. This call creates an opportunity to support interventions to complement or build on previous projects.

1.2 OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

The main objective of the EU Banana Support Programme is to maintain living standards of farmers, farm and port workers and their communities in the banana producing areas in the short term and to improve their living standards in the long term.

The specific objective of this Open Call for Proposals is to create income and employment opportunities for former banana farmers, and displaced farm and port workers by promoting economic activities in and around their communities. In compliance with the timeframe of the EC funding, all project activities funded under this initiative must be completed and financial statements audited by December 31st, 2011.

1.3 FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY

The overall indicative amount made available under this call for proposals is **EUR 1.0 million**. The Contracting Authority reserves the right not to award all available funds if it finds there are too few proposals of the quality required to receive a grant.

Similarly, the Contracting Authority may furthermore draw up a reserve list comprising a limited number of proposals in case there will be more proposals of the quality required than the available budget. The reserve list will comprise those proposals having obtained the best scores after those selected for financing.

The proposals included in the reserve list may receive a grant in so far as funds are available.

Size of grants

Any grant awarded under this programme must fall between the following minimum and maximum amounts:

- minimum amount: EUR 200,000
- maximum amount: EUR 500,000

In addition, no grant may exceed 75% of the total eligible costs of the action (see also section 2.1.4). The balance must be financed from the applicant's or partners' own resources, or from sources other than the European Community budget or the European Development Fund.

2. RULES FOR THIS CALL FOR PROPOSALS

These guidelines set out the rules for the submission, selection and implementation of actions financed under this call, in conformity with the provisions of the Practical Guide to contract procedures for EC external actions, which is applicable to the present call (available on the Internet at this address: http://ec.europa.eu/europeaid/work/procedures/index_en.htm).

2.1 ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

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

2.1.1 <i>Eligibility of applicants: who may apply ?</i>

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

- be legal persons [or an entity without legal personality¹] **and**
- be types of organisations such as: non-governmental organisations, growers organisations, public sector operators, local authorities, registered associations and community based organisations, international (inter-governmental) organisations as defined by Article 43 of the Implementing Rules to the EC Financial Regulation ² **and**
- be nationals³ of a Member State of the European Union and the Africa, Caribbean and Pacific (ACP) countries, which include Jamaica. This obligation does not apply to International Organisations.
- be non profit making **and**
- be directly responsible for the preparation and management of the action with their partners, not acting as an intermediary **and**
- have at least managed a project of a similar size to the requested grant in a related field to the actions being proposed in the last three (3) years.⁴

¹ Subject to the prior approval of the relevant services of the European Commission, grant applications may be eligible if submitted by entities which do not have legal personality under the applicable national law, provided that their representatives have the capacity to undertake legal obligations on their behalf, and assume financial liability.

² International organisations are international public-sector organisations set up by intergovernmental agreements as well as specialised agencies set up by them; the International Committee of the Red Cross (ICRC) and the International Federation of National Red Cross and Red Crescent Societies, European Investment Bank (EIB) and European Investment Fund (EIF) are also recognized as international organisations.

³ Such nationality being determined on the basis of the organisation's statutes which should demonstrate that it has been established by an instrument governed by the internal law of the country concerned. In this respect, any legal entity whose statutes have been established in another country cannot be considered an eligible local organisation, even if they are registered locally or accompanied by a "Memorandum of Understanding".

⁴ Criterion assessed on the basis of information provided in the table of section 4 of the application form.

(2) Potential applicants may not participate in calls for proposals or be awarded grants if they are in any of the situations which are listed in Section 2.3.3 of the Practical Guide to contract procedures for EC external actions (available from the following Internet address:

http://ec.europa.eu/europeaid/work/procedures/index_en.htm);

In part B section VI of the grant application form (“Declaration by the applicant”), applicants must declare that they do not fall into any of the situations.

2.1.2 Partnerships and eligibility of partners

Applicants may act individually or with partner organisations.

Applicants’ partners participate in designing and implementing the action, and the costs they incur are eligible in the same way as those incurred by the grant Beneficiary. They must therefore satisfy the same eligibility criteria of the applicant, except for the last 4 bullet points (eligibility criteria in section 2.1.1 above).

Partnership is strongly encouraged. Preference will be given to proposals that demonstrate strategic use of partnerships to maximise benefits to the target group.

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

- Associates

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

- Subcontractors

The grant beneficiaries have the possibility to award contracts to subcontractors. Subcontractors are neither partners nor associates, and are subject to the procurement rules set out in Annex IV to the standard grant contract.

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

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

Definition: An action (or project) is composed of a set of activities.

Duration

The planned duration of an action may not exceed 24 months.

Sectors or themes

The proposals should clearly demonstrate that they will generate sustainable employment opportunities in areas where there has been particular loss of livelihoods, such as in St Mary and St Thomas, due to the down turn of the Jamaican export banana industry. Preference will be given to proposals which will benefit displaced banana workers and utilise land and other resources that were previously in banana.

Of particular importance is the clear demonstration that the action harnesses the strengths of the private sector, its organisations and/or individual companies. Any proposed action should demonstrate links/synergies with organisations playing a key role in rural enterprise development, such as sources of

credit, non-governmental organisations, sources of information etc. Immediate beneficiaries [grant awardees] must be prepared to provide hands-on strengthening and training as required to the final beneficiaries.

Location

Actions must take place in one or more of the parishes of St. Mary, Portland, St. Thomas, Clarendon, St. Catherine and St. James. Preference will be given to actions which benefit banana producing communities.

Types of action

The following types of action may be financed under this call:-

- i) Technical and business advice, including preparation of business plans to be submitted to financial institutions, and help to existing small and medium businesses/enterprises seeking to expand, and to establish new businesses/enterprises, either in or impacting upon the project area: such support may be provided to entities such as producers, marketers, transporters, services providers etc
- ii) The creation of or strengthening of existing quality assurance/control and certification systems for a wide range of traditional and new rural pursuits and testing facilities essential to support such systems
- iii) Creation or enhancement of appropriate production, processing and marketing systems, including advertising and development of advertising/publicity and labelling, for a wide range of traditional and new rural pursuits such as, but not confined to, farm and horticultural products, honey, livestock products, eco and agro-tourism activities and other tourism related activities, small manufacture etc
- iv) Rehabilitation of or provision of small productive rural infrastructure in support of enterprises or communities – this may include, but not be confined to, quality assurance facilities, market facilities, water capture and distribution and feeder/access roads.
- v) Training in support of income generating opportunities
- vi) Management of and improvement to agricultural products following a value chain approach. Projects may focus (but should not be limited to) some specific market driven value chains such as for honey, cassava, cacao (cocoa), vegetable and fruit production for the tourist market and or export, fisheries, livestock, organic farming, etc;
- vii) Organise farmers or community residents in associations (co-ops, agriculture product processing companies, agro-service centres, small farmers trade), including non-traditional banana farmers
- viii) Support to the start-up of market driven initiatives and investments in agriculture diversification (niche crops, organic agriculture, in-farm investment, greenhouses, genetic improvement, etc.) and fisheries.
- ix) Income generating activities for the rural poor, (both on farm and off farm);
- x) Tourism activities including both eco and agro-tourism activities;

Proposals may address one or more of the types of action listed above. The list however is indicative and other actions could be considered when appropriate and contributing to achieving the objectives of the call (Point 1.2).

Priority will be given to proposal that will present an integrated approach and that can show sustainable results within the implementation period. In this context it is recommended that the applicant clearly identifies the target groups and their needs prior to the submission of the proposal. Commitment from the final beneficiaries and/or target communities should be clearly demonstrated in the application form.

The applicant must be able to demonstrate capacity to manage large scale activity corresponding to the size of the project or programme for which a grant is requested and to contribute by way of co-financing.

The proposed interventions should demonstrate coherence and complementarities with existing actions taking place in Jamaica sponsored by the Government, the EU and/or other donors.

Sub-granting

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

In case where the Applicant foresees to award sub-grants, it has to specify in its application the total amount of the grant which may be used for awarding sub-grants as well as the minimum and maximum amount per sub-grant a list with the types of activity which may be eligible for sub-grants must be included in the application, together with the criteria for the selection of the beneficiaries of these sub-grants. The maximum amount of a sub-grant is limited to EUR 10,000 per third party while the total amount which can be awarded as sub-grants to third parties is limited to EUR 100,000.

The following types of action are ineligible:

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences, congresses;
- actions concerned only or mainly with individual scholarships for studies or training courses;
- actions concerned with personal consumption and social welfare needs, and
- actions concerned with political party promotion and mobilization
- establishment or contributions in revolving funds

Number of proposals and grants per applicant

An applicant may not submit more than 1 proposal under this call for proposals.

An applicant may not be awarded more than 1 grant under this call for proposals.

An applicant may not at the same time be partner in another application

Partners may not take part in more than one application

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

Only "eligible costs" can be taken into account for a grant. These are detailed below. The budget is therefore both a cost estimate and a ceiling for "eligible costs". Note that the eligible costs must be based on real costs based on supporting documents (except for subsistence costs and indirect costs where flat-rate funding apply).

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

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

Eligible direct costs

To be eligible under the call for proposals, costs must respect the provisions of article 14 of the General Conditions to the Standard Grant Contract (see Annex F).

Contingency reserve

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

Eligible indirect costs (overheads)

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

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

Contributions in kind

Any contributions in kind are not considered actual expenditure and are not eligible costs. The contributions in kind may not be treated as co-financing by the Beneficiary.

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

Notwithstanding the above, if the description of the action as proposed by the beneficiary foresees the contributions in kind, such contributions have to be provided.

Ineligible costs

The following costs are not eligible:

- debts and provisions for losses or debts;
- interest owed;
- items already financed in another framework;
- purchases of land or buildings, except where necessary for the direct implementation of the action, in which case ownership must be transferred to the final beneficiaries and/or local partners, at the latest by the end of the action;
- currency exchange losses;
- taxes, including GCT, unless the Beneficiary (or the Beneficiary's partners) cannot reclaim them and the applicable regulations do not forbid coverage of taxes;

2.2 HOW TO APPLY AND THE PROCEDURES TO FOLLOW

OPEN CALL FOR PROPOSALS

2.2.1 *Application form*

Applications must be submitted using the application form annexed to these Guidelines (Annex A). This form includes guidance for concept note, which must also be drafted. Applicants should keep strictly to the format of the application and fill in the paragraphs and the pages in order. Please provide budget with round figures.

Applicants must apply in English.

Please complete the application form carefully and as clearly as possible so that it can be assessed properly.

Any error related to the points listed in the Checklist (section V of part B of the grant application form) or any major inconsistency in the application form (e.g. the amounts mentioned in the budget are inconsistent with those mentioned in the application form) may lead to the rejection of the proposal.

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

Hand-written applications will not be accepted.

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

2.2.2 *Where and how to send the Applications*

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) at the address below:

Postal address

The Project Implementation Unit
EU Banana Support Programme
193 Old Hope Road
Kingston 6, Jamaica
Tel: 970-3937-8

Address for hand delivery or by private courier service

The Project Implementation Unit
EU Banana Support Programme
193 Old Hope Road
Kingston 6, Jamaica
Tel: 970-3937-8

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

Applications must be submitted in one original and 4 copies in letter size, each bound. The complete application form (part A: concept note and part B: full application form), budget and logical framework must also be supplied in electronic format (CD-Rom) in a separate and unique file (e.g. the application form must

not be split into several different files). The electronic format must contain **exactly the same** proposal as the paper version enclosed.

The Checklist (Section V of part B the grant application form) and the Declaration by the applicant (Section VI of part B of the grant application form) must be stapled separately and enclosed in the envelope. Where an applicant sends several different proposals (if allowed to do so by the Guidelines of the Call), each one has to be sent separately. This is not being allowed under this call for proposals.

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

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

2.2.3 *Deadline for submission of Applications*

The deadline for submission of applications is **30 September, 2009** as evidenced by the date of dispatch, the postmark or the date of the deposit slip. In the case of hand-deliveries, the deadline for receipt is at **15:00 hours (3:00 p.m.)** as evidenced by the signed and dated receipt. Any application submitted after the deadline will automatically be rejected.

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

2.2.4 *Further information for the Application*

An information session on this call for proposals will be held on **28 August 2009** at 10:00 am

Questions may in addition be sent by e-mail [or by fax] no later than 21 days before the deadline for the submission of proposals to the addressee(s) listed below, indicating clearly the reference of the call for proposals:

E mail: eupmu@cwjamaica.com or eubsp_admin@cwjamaica.com

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

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

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

Questions that may be relevant to other applicants, together with the answers as well as other important notices to applicants during the course of the evaluation procedure, may be published on the internet at the EuropeAid web site <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>, as well in RADA website <http://www.rada.gov.jm>, as the need arises. It is therefore highly recommended to regularly consult the abovementioned website in order to be informed of the questions and answers published.

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

2.3 EVALUATION AND SELECTION OF APPLICATIONS

Applications will be examined and evaluated by the Contracting Authority with the possible assistance of external assessors. All actions submitted by applicants 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 paragraph 2.1.3, the application shall be rejected on this sole basis.

(1) STEP 1: OPENING SESSION AND ADMINISTRATIVE CHECK

The following will be assessed:

- The deadline has been respected. If the deadline has not been respected the proposal will automatically be rejected.
- The Application Form satisfies all the criteria mentioned in the Checklist section V of part B of the grant application form). If any of the requested information is missing or is incorrect, the proposal may be rejected on that sole basis and the proposal will not be evaluated further.

Following the opening session and the administrative check, the Contracting Authority will send a letter to all applicants, indicating whether their application was submitted prior to the deadline, informing them of the reference number they have been allocated and whether they have been recommended for further evaluation.

(2) STEP 2: EVALUATION OF THE CONCEPT NOTE

The evaluation of the Concept Notes that have passed the first administrative check will cover the relevance of the action, its merits and effectiveness, its viability and sustainability. The Contracting Authority reserves the right to skip the evaluation of the Concept Notes whenever considered justified (for example when a less than expected number of proposals are received) and to go straight to the evaluation of the corresponding full applications.

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

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

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

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

	Scores	
1. Relevance of the action	Sub-score	15
1.1 Relevance of the problems to needs and constraints of the country/region to be addressed in general, and to those of the target groups and final beneficiaries in particular	5	
1.2 Relevance to the priorities and objectives mentioned in the Guidelines	5(x2)*	
2. Effectiveness and Feasibility of the action	Sub-score	25
2.1 Assessment of the problem identification and analysis	5	
2.2 Assessment of the proposed activities (practicality and consistency in relation to the objectives, purpose and expected results).	5(x2)*	
2.3 Assessment of the role and involvement of all stakeholders and proposed partners.	5(x2)*	
3. Sustainability of the action	Sub-score	10
3.1 Assessment of the identification of the main assumptions and risks, before the start up and throughout the implementation period.	5	
3.2 Assessment of the identification of long-term sustainable impact on the target groups and final beneficiaries.	5	
TOTAL SCORE		50

*the scores are multiplied by 2 because of their importance

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

Firstly, only the Concept Notes which have been given a score of a minimum of 12 points in the category "Relevance" as well as a minimum total score of 30 points will be considered for pre-selection.

Secondly, the list of Concept Notes will be reduced in accordance to the ranking to those whose sum of requested contributions amounts to three times the available budget for this Call for proposals. The Evaluation Committee will subsequently proceed with the evaluation of the full proposals of the pre-selected applicants.

(3) STEP 3: EVALUATION OF THE FULL APPLICATION

EVALUATION OF THE FULL APPLICATION

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

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

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

The award criteria allow the quality of the proposals submitted to be evaluated in relation to the set objectives and priorities, and grants to be awarded to actions which maximise the overall effectiveness of the call for proposals. They enable the selection of proposals which the Contracting Authority can be confident will comply with its objectives and priorities and guarantee the visibility of the Community financing. They

cover such aspects as the relevance of the action, its consistency with the objectives of the call for proposals, quality, expected impact, sustainability and cost-effectiveness.

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

Scoring:

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

Evaluation Grid

Section	Maximum Score
1. Financial and operational capacity	20
1.1 Do the applicant and partners have sufficient experience of project management ?	5
1.2 Do the applicant and partners have sufficient technical expertise ? (notably knowledge of the issues to be addressed.)	5
1.3 Do the applicant and partners have sufficient management capacity ? (including staff, equipment and ability to handle the budget for the action)?	5
1.4 Does the applicant have stable and sufficient sources of finance ?	5
2. Relevance	25
2.1 How relevant is the proposal to the objectives and one or more of the priorities of the call for proposals? Note: A score of 5 (very good) will only be allocated if the proposal specifically addresses at least one priority . Note: A score of 5 (very good) will only be allocated if the proposal contains specific added-value elements, such as promotion of gender equality and equal opportunities...	5 x 2
2.2 How relevant to the particular needs and constraints of the target country/countries or region(s) is the proposal? (including avoidance of duplication and synergy with other EC initiatives.)	5
2.3 How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs been clearly defined and does the proposal address them appropriately?	5 x 2
3. Methodology	25
3.1 Are the activities proposed appropriate, practical, and consistent with the objectives and expected results?	5
3.2 How coherent is the overall design of the action? (in particular, does it reflect the analysis of the problems involved, take into account external factors and anticipate an evaluation ?)	5
3.3 Is the partners' level of involvement and participation in the action satisfactory? Note: If there are no partners the score will be 1.	5
3.4 Is the action plan clear and feasible?	5
3.5 Does the proposal contain objectively verifiable indicators for the outcome of the action?	5
4. Sustainability	15
4.1 Is the action likely to have a tangible impact on its target groups?	5
4.2 Is the proposal likely to have multiplier effects ? (including scope for replication and extension of the outcome of the action and dissemination of information.)	5

4.3 Are the expected results of the proposed action sustainable : - financially (<i>how will the activities be financed after the funding ends?</i>) - institutionally (<i>will structures allowing the activities to continue be in place at the end of the action? Will there be local “ownership” of the results of the action?</i>) - at policy level (where applicable) (<i>what will be the structural impact of the action — e.g. will it lead to improved legislation, codes of conduct, methods, etc?</i>)?	5
5. Budget and cost-effectiveness	15
5.1 is the ratio between the estimated costs and the expected results satisfactory?	5
5.2 Is the proposed expenditure necessary for the implementation of the action?	5 x 2
Maximum total score	100

Note on Section 1. Financial and operational capacity

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

Note on Section 2. Relevance

If the total average score is less than 20 points for section 2, the Evaluation Committee will reject the proposal.

Provisional selection

Following the evaluation, a table listing the proposals ranked according to their score and within the available financial envelope will be established as well as a reserve list following the same criteria.

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

(4) STEP 4: VERIFICATION OF ELIGIBILITY OF THE APPLICANT AND PARTNERS

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

- The Declaration by the applicant (Section VI of part B the grant application form) will be cross-checked with the supporting documents provided by the applicant. Any missing supporting document or any incoherence between the Declaration by the applicant and the supporting documents may lead to the rejection of the proposal on that sole basis.
- The eligibility of the applicant, the partners, and the action will be verified according to the criteria set out in sections 2.1.1, 2.1.2 and 2.1.3.

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

2.4 SUBMISSION OF SUPPORTING DOCUMENTS FOR PROVISIONALLY SELECTED PROPOSALS

Applicants who have been provisionally selected or listed under the reserve list will be informed in writing by the Contracting Authority. They will be requested to supply the following documents in order to allow the Contracting Authority to verify the eligibility of the applicants and their partners:⁵

1. The statutes or articles of association of the applicant organisation⁶ and of each partner organisation. Where the Contracting Authority has recognized the applicant's eligibility for another call for proposals under the same budget line within 2 years before the deadline for receipt of applications, the applicant may submit, instead of its statutes, copy of the document proving the eligibility of the applicant in a former Call (e.g: copy of the special conditions of a grant contract received during the reference period), unless a change in its legal status has occurred in the meantime.⁷ This obligation does not apply to international organisations which have signed a framework agreement with the European Commission. A list of the relevant framework agreements is available at the following address:

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

2. Copy of the applicant's latest accounts (the profit and loss account and the balance sheet for the previous financial year for which the accounts have been closed)⁸.

3. Legal entity sheet (see annex D) duly completed and signed by the applicant, accompanied by the justifying documents which are requested therein. If the applicant has already signed a contract with the Contracting Authority, instead of the legal entity sheet and its supporting documents the legal entity number may be provided, unless a change in its legal status occurred in the meantime.

4. A financial identification form conforming to the model attached at Annex E, certified by the bank to which the payments will be made. This bank must be located in the country where the applicant is registered. If the applicant has already signed a contract with the European Commission or where the European Commission has been in charge of the payments of a contract, a copy of the previous financial identification form may be provided instead, unless a change in its bank account occurred in the meantime.

5. Recent Annual Reports if available.

The supporting documents requested must be supplied in the form of originals or photocopies of the said originals. However, the Legal entity sheet and the financial identification form must always be submitted in original.

Where such documents are not in one of the official languages of the European Union or in the language of the country where the action is implemented, a translation into the language of the call for proposals of the relevant parts of these documents, proving the applicant's eligibility, must be attached and will prevail for the purpose of analysing the proposal.

Where these documents are in an official language of the European Union other than the language of the call for proposals, it is **strongly** recommended, in order to facilitate the evaluation, to provide a translation of the relevant parts of the documents, proving the applicant's eligibility, into the language of the call for proposals .

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

⁵ No supporting document will be requested for applications for a grant not exceeding EUR 25 000.

⁶ Where the applicant and/or (a) partner(s) is a public body created by a law, a copy of the said law must be provided

⁷ To be inserted only where the eligibility conditions have not changed from one call for proposals to the other.

⁸ This obligation does not apply to natural persons who have received a scholarship, nor to public bodies nor to international organisations. It does not apply either when the accounts are in practice the same documents as the external audit report already provided pursuant to section 2.4.2.

Based on the verification of the supporting documents by the Evaluation Committee it will make a final recommendation to the Contracting Authority which will decide on the award of grants.

2.5 NOTIFICATION OF THE CONTRACTING AUTHORITY'S DECISION

2.5.1 Content of the decision

Applicants will be informed in writing of the Contracting Authority's decision concerning their application and, in case of rejections, the reasons for the negative decision.

Applicants believing that they have been harmed by an error or irregularity during the award process may file a complaint. See further section 2.4.15 of the Practical Guide.

2.5.2 Indicative time table

	DATE	TIME*
Information meeting	August 28, 2009	10:00 am
Deadline for request for any clarifications from the Contracting Authority	September 09, 2009	3:00 pm
Last date on which clarifications are issued by the Contracting Authority	September 19, 2009	3:00 pm
Deadline for submission of Application Form	September 30, 2009	3:00 pm
Information to applicants on the opening & administrative check	October 16, 2009	3:00 pm
Information to applicants on the evaluation of the Concept Notes	October 29 2009	3:00 pm
Information to applicants on the evaluation of the Full Application Form	November 12 2009	3:00 pm
Notification of award (after the eligibility check)	December 11, 2009	3:00 pm
Contract signature	December 17, 2009	10:00 am

*All times are in the time zone of the country of the Contracting Authority

** Provisional date.

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

Following the decision to award a grant, the Beneficiary will be offered a contract based on the Contracting Authority's standard contract (see Annex F). By signing the Application form (Annex A), the applicant declares accepting, in case where it is awarded a grant, the Contractual conditions as laid down in the Standard Contract.

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

Implementation contracts

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

3. LIST OF ANNEXES

DOCUMENTS TO FILL IN

ANNEX A: GRANT APPLICATION FORM (WORD FORMAT)

ANNEX B: BUDGET (EXCEL FORMAT)

[ANNEX C: LOGICAL FRAMEWORK (EXCEL FORMAT)⁹]

[ANNEX D: LEGAL ENTITY SHEET (EXCEL FORMAT)¹⁰]

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

[ANNEX E: FINANCIAL IDENTIFICATION FORM]

DOCUMENTS FOR INFORMATION

ANNEX F: STANDARD CONTRACT

- ANNEX II: GENERAL CONDITIONS APPLICABLE TO EUROPEAN COMMUNITY-FINANCED GRANT CONTRACTS FOR EXTERNAL ACTIONS
- 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 EC FINANCED GRANT CONTRACT FOR EXTERNAL ACTIONS]
- [-ANNEX VIII: MODEL FINANCIAL GUARANTEE]

ANNEX G: DAILY ALLOWANCE RATES (PER DIEM), available at the following address:

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

[ANNEX H: STANDARD CONTRIBUTION AGREEMENT, applicable in case where the beneficiary is an International organisation]

PROJECT CYCLE MANAGEMENT GUIDELINES

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

⁹ Optional where the total amount of the grants to be awarded under the call for proposals is EUR 100 000 or less.

¹⁰ Only applicable where the European Commission is the Contracting Authority or will make the payments under the contracts to be signed.