



**CPDC**  
Caribbean Policy Development Centre

**Contracting Authority: Caribbean Policy Development Centre**

**Support to Facilitate Participation of CARIFORUM Civil Society in the Regional Development and Integration Process**

**Guidelines for grant applications**

**Budget line: Activity 3.1 Delivery of Sub Grants-Vulnerable Groups**

**Reference: CPDC2016002**

**Deadline for submission of Concept Note: 16<sup>th</sup> December 2016**

## **Notice**

This is an open Call for Concept Notes, where all documents are submitted together (Concept Note and Full Application Form). In the first instance, only the Concept Notes will be evaluated. Thereafter, for the applications that have been pre-selected, the full proposal will be requested. After the evaluation of the full proposals, 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 Applicant” sent together with the application.

# **1. CARIBBEAN POLICY DEVELOPMENT CENTRE: SUPPORT TO FACILITATE PARTICIPATION OF CARIFORUM CIVIL SOCIETY IN THE REGIONAL DEVELOPMENT AND INTEGRATION PROCESS**

## **1.1 BACKGROUND**

### *CPDC's Background*

The Caribbean Policy Development Centre is a legally registered non-profit headquartered in Barbados and established in 1991. CPDC serves as a regional umbrella NGO for organisations comprising of small farmers, women, youth, Indigenous People, rural populations and faith based organisations located across CARICOM. CPDC also has strong networking partnerships with organisations of persons with disabilities, artisans, micro entrepreneurs, human rights, and workers. Altogether it serves some seventeen (17) regional, sub-regional and national (local) NGOs working at the grassroots level in economic, social, and cultural areas in the Caribbean. The Centre also has working relationships with many other NGOs and development partners across the region.

The organization was mandated to work with NGOs and civil society to understand how policies affecting Caribbean people are made; to share information about policies and decision making processes; to work to influence and bring change to the developmental process; and to support and to lobby for policies which improve the lives of Caribbean people. In fulfilling its mandate, the CPDC seeks to build the confidence and the ability of the Caribbean peoples to influence public policy. Our main work modalities are research, training, advocacy, publications, public education, and institutional strengthening. CPDC is officially recognised, both regionally and internationally, as the principle representative of Caribbean NGOs working with such organisations CARICOM/CARIFORUM, Commonwealth Foundation, UN System Agencies, among others.

### *The European Union and CPDC Project*

The Caribbean Policy Development Centre in partnership with the European Union has commenced a joint 3-year grant partnership which will run from January 2016 – October 2019. The project will build the capacity of the Non-Governmental Sector in the Caribbean through the implementation of a number of specific actions. Summarily these actions focus on strengthening the enabling environment within which NGOs presently function. This includes activities that promote NGOs' institutional and organisational capabilities through a number of core thematic areas: - addressing the legislative environment, promoting greater transparency within the sector, project management skills development, enhanced regional policy dialogue and improving access to small grants, to name a few.

The project is a European Union/CPDC partnership that comes against a background of “growing consensus amongst development partners, that meaningful civil society engagement and participation in governance, as independent development actors, is critical for efforts to achieve sustainable development”. However, the meaningful participation of CARIFORUM civil society has been stymied by two main factors; the lack of capacity to effectively engage the policy process, and the lack of an institutionalized mechanism to facilitate dialogue between civil society and CARIFORUM governments. This action is therefore intended to implement activities to address these challenges.

### *Vulnerable Groups*

A vulnerable group is a population that has some specific characteristics that make it at higher risk of falling into poverty than others living in the same area. These groups are often less able to participate effectively and, in some cases, have little negotiating power to articulate their positions. These particular groups have traditionally been victims of violations and accordingly require distinctive protection for the equal and effective enjoyment of their human rights. The project seeks to enhance their capacity to advocate for their specific concerns and issues to be addressed.

Under this project groups identified as vulnerable are:

- a) Elderly men and women;
- b) Indigenous Populations (IPs);
- c) Persons with Disabilities (PWDs);
- d) Children and Youth at risk of social exclusion;
- e) Individuals and households affected with HIV/AIDS;
- f) Women;
- g) Lesbian, Gay, Bisexual, Transgender and Intersex (LGBTI) Groups;
- h) Sex workers;
- i) Victims of sexual exploitation and/or abuse;
- j) Homeless men, women, boys and girls; and
- k) Persons that are excluded because of economic standing, migratory background, ethnicity, cultural beliefs.

### *Criteria for the provision of sub-grants for Vulnerable Groups*

Proposed Actions should be designed to produce specific solutions in response to clearly identified needs and constraints within the priority areas mentioned.

## **1.2 OBJECTIVES OF THE PROJECT**

*Overall Objective:* Regional and national CARIFORUM civil society organisations’ (CSOs) effectiveness in regional development and integration processes improved.

*Programme purpose:* Technical institutional capacity of national and regional CARIFORUM civil society organisations to participate in regional development and integration processes built via implementation of the RSF Action Plan.

Major Objective:

- To strengthen the **voice of the marginalized** social sectors and groups within Caribbean society by providing small scale funding to actions that enable CSOs representing vulnerable groups to be **advocates and lobby** on their behalf.

Specific Objectives:

- To support CSOs seeking to **foster positive social change** in the lives of marginalized social sectors/groups through **the formulation and implementation of advocacy strategies**.
- To support vulnerable groups **to be heard at national, regional and international fora** which address development issues that directly impact on their lives and livelihood.

**Proposals that do not meet these objectives will not be evaluated.**

*Value Added Elements:*

The following elements are considered as significant added value and should be taken into account as far as possible in designing the action:

- Promotion of research based actions that build or strengthen the case for advocacy or lobbying goals and aims for vulnerable groups;
- Ensuring beneficiaries involvement in developing priority issues and programmes;
- Promotion of innovation and implementation of best practices with the potential for further replication at a greater scale;
- Integration of cross-cutting principles of good governance, human rights, gender equality and non-discrimination, advocacy for multilateral norms and standards in these fields and engaging in relevant global networks and campaigns;
- Strengthening of alliances, coalitions, issue based networks, their internal governance and democratic representation and the inclusion and empowerment of their members and constituencies, particularly vulnerable groups.

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

The overall indicative amount made available under this Call for Proposal is EUR 80,000.00. The Contracting Authority reserves the right not to award all available funds. Similarly, this amount could be increased should more funds become available.

*Size of Grants*

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

- Minimum amount: EUR 8,000
- Maximum amount: EUR 10,000

### *Total Eligible Costs*

The grant may not exceed 90% of the total eligible costs of the action. Any grant requested under this Call for Proposals must fall under this stated maximum percentages of total eligible costs of the actions for NGO applicants established in the 14 CARIFORUM countries which are Antigua & Barbuda, the Bahamas, Barbados, Belize, Dominica, Grenada, Guyana, Jamaica, Montserrat, Saint Lucia, Saint Kitts and Nevis, Saint Vincent and Grenadines, Suriname, Trinidad and Tobago.

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

The following guidelines set out the rules for the submission, selection and implementation of the Actions financed under this Call, in conformity with the Practical Guide, which is applicable to the present call (available on the Internet via: <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 **applicant**, i.e. the entity submitting the application form (2.1.1);
- (2) The actions:
  - Actions for which a grant may be awarded (2.1.2);
- (3) The costs:
  - Types of cost that may be taken into account in setting the amount of the grants (2.1.3).

<b>2.1.1. Eligibility of applicants</b>
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### **Applicant**

- (1) In order to be eligible for a grant, the applicant must:
  - Be non-profit-making **and**

- Be a legally registered organisation **and**
- Be established<sup>1</sup> in a Member State of CARIFORUM (Antigua & Barbuda, the Bahamas, Barbados, Belize, Dominica, Grenada, Guyana, Jamaica, Montserrat, Saint Lucia, Saint Kitts and Nevis, Saint Vincent and the Grenadines, Suriname, and Trinidad and Tobago) **and**
- Be directly responsible for the preparation and management of the project **and**
- Proven track record of at least 2 years working with the respective vulnerable group.

**International organisations<sup>2</sup> are NOT eligible.**

<p><b>2.1.2 Eligible actions: actions for which an application may be made</b></p>
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- (2) The potential applicant may not participate in calls for proposals or be awarded grants if it is in any of the situations listed in Section 2.3.3. of the Practical Guide;

In Part B section 8 of the grant application form ('Declaration by the applicant'), the applicant must declare that the applicant, is not in any of these situations.

If awarded the Grant contract, the applicant will become the Beneficiary as identified by the Coordinator. 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.

Definition

An action is composed of a set of activities.

Duration

The initial planned duration of an action may not be lower than 3 months nor exceed 12 months.

Sector or Themes

See section 1.2 of these guidelines for grant applications (objectives of the programme and priority issues).

Location

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<sup>1</sup> To be determined on the basis of the organisation's statutes which 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>2</sup> As per the Rules of Application of the EU Financial Regulations, 'international organisation' means an international public-sector organization set up by intergovernmental agreement, and specialised agencies set up by such organisations. These organisations may have worldwide or regional scope. Organisations created under national law are not international organisations (e.g. a national NGO with several regional or country offices).

Actions must take place in one or more of the following countries: Antigua and Barbuda, the Bahamas, Barbados, Belize, Dominica, Grenada, Guyana, Jamaica, Montserrat, Saint Lucia, Saint Kitts and Nevis, Saint Vincent and Grenadines, Suriname, Trinidad and Tobago.

### Types of action

The types of action which are eligible and may be financed under this call for Concept Note are those directly contributing to the achievement of the objectives of this Call for Concept Note. Actions to be funded must be in the form of coherent and self-contained set of activities designed to achieve the objectives stated in section 1.2 of these guidelines for grant applicants within a specific timeframe. The actions must have clear objectives and target groups, and they must be conceived to produce specific, measurable results with relevant indicators which are in response to a particular issue or issues. Their justification must be based on recent reliable information and broad-based consultation and participation of project target group and other stakeholders. Projects should be designed in such a way that they contribute to a structural change and have long term impact.

*The following types of actions are ineligible:*

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences and congresses unless proven to be an integral part of the project outcome;
- actions concerned only or mainly with individual scholarships for studies or training courses;
- actions which consist exclusively or primarily in capital expenditure, e.g. land, buildings, equipment and vehicles, except in special circumstances;
- actions which discriminate against individuals or groups of people on grounds of their gender, sexual orientation, religious belief or lack of them, or their ethnic origin;
- actions concerned only with one-off conference with no intended follow up. Conferences can only be funded if they form part of a wider range of activities to be implemented in the life time of the project. For these purposes, preparatory activities for a conference and the publication of the proceeding of the conference do not, in themselves, constitute such ‘wider activities’;
- actions supporting individual political parties;
- actions involving proselytism.

### Types of activity

**The applicant is responsible for identifying the appropriate set of activities necessary for the achievement of the action’s objectives.**

Activities should be aimed at the promotion or protection of rights, including through legislative reform, and should have a multiplier effect (i.e. a possibility for replication and extension of the outcomes).

They **may** include [within the objectives of sections 1.2]:

- a) evidence based research to support advocacy and lobbying cases, promotion of legislative reform; budget analysis, expenditure tracking, monitoring of implementation of policies and laws; public procurement monitoring and public access to information, legislation, decision making; anti-corruption initiatives, integrity pacts;



- b) testing of policy innovations and best practices, contribution to policy work and dialogue; participatory budgeting, participatory audits; improving responsiveness of policies to populations' needs; contributing to the improvement of service quality by stimulating informed demand and social accountability initiatives;
- c) economic empowerment of disenfranchised populations and out-of-mainstream segments of society; supporting social-economic initiatives aimed at wealth and job creation, targeting populations with limited opportunities for economic empowerment, including affordable innovations; contributing to the improvement of business environment, practices and economic services' quality by highlighting governance and corporate (social) responsibility and stimulating informed demand and structuring feedback mechanisms, notably using Information and Communication Technologies;
- d) participation in multi-actor partnerships (including outsourcing schemes where public authorities share selected functions and tasks with CSOs and the private sector); research and knowledge dissemination which includes formulation and production of advocacy materials that assist in communicating sector policy position;
- e) networking and structuring of networks and institutional strengthening of CSOs, including on their own accountability, travel to meetings and undertaking targeted lobbying and advocacy actions with an intended relevant goal, training tools and actions that build the capacity of the vulnerable groups to better represent and lobby their rights.

**Please note that this list is not meant to be exhaustive or prescriptive in any way.**

**To achieve sustainable results, all applicants are highly encouraged to include in their actions specific activities aimed at increasing financial, management and organizational capacities of local civil society organisations.**

Applicants must foresee planning, human resources, budget and other appropriate measures to ensure results-oriented monitoring and management of the action. Moreover, all applications should plan the necessary human resources and the appropriate budget to support at least a final evaluation of the action.

#### Visibility

The Applicants must take all necessary steps to publicise the fact that it is a CPDC project in which the European Union has financed or co-financed the Action. As far as possible, the successful applicant must ensure sufficient time and resources are allocated to work with CPDC's Project Team and Communication Specialist to raise awareness about the project work.

CPDC and the successful applicant 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/funding/communication-and-visibility-manual-eu-external-actions\\_en](https://ec.europa.eu/europeaid/funding/communication-and-visibility-manual-eu-external-actions_en)).

#### Number of applications and grants per applicants

The applicant may not submit more than one application under this Call for Proposals.

The applicant may not be awarded more than one grant under this Call for Proposals.

### ***2.1.3 Eligibility of cost: 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’.

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

The total amount of financing on the basis of simplified cost options that can be authorized by the Contracting Authority for any applicants individually cannot exceed EUR 10 000.

Recommendations to award a grant are always subject to the conditions that the checks preceding the signing of the 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 applicant’s interest to provide a **realistic and cost-effective budget**.

#### Eligible direct costs

To be eligible under the Call for Proposals, costs must comply with the provisions of Article 14 of the General Conditions to the Standard Grant Contract (see Annex C of the Guidelines).

Salary costs of the personnel of national administrations may be eligible to the extent that they relate to the cost of activities which the relevant public authority would not carry out if the Action were not undertaken. This cost must not exceed 15% of the grant.

#### 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 15% 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 applicant may be asked to justify the percentage requested before the contract is signed. However, once the flat rate has been fixed in the special conditions of the standard 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 relate to the provision of goods or services to a Beneficiary(ies) or affiliated entity(ies) free of charge by a third party. As contributions in kind do not involve any expenditure for a Beneficiary(ies) or affiliated entity (ies), they are not eligible costs.

Contributions in kind may not be treated as co-financing.

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

#### Ineligible costs

The following costs are not eligible:

- debts and debt service charges (interest);
- provisions for losses or potential future liabilities;
- costs declared by the Beneficiary (ies) and financed by another action or work programme receiving a European Union (including through EDF) grant;
- purchases of land or building, except where necessary for the direct implementation of the action, in which case ownership must be transferred to the final beneficiaries and/or local Beneficiary (ies), at the latest at the end of the action;
- currency exchange losses;
- credit to third parties.

## **2.2 HOW TO APPLY AND THE PROCEDURES TO FOLLOW**

### **2.2.1 Application forms**

Applications must be submitted in accordance with the instructions on the Concept Note and the Full Application form in the Grant Application Form annexes to these Guidelines (Annex A)

Applicants must apply in English.

Any error or major discrepancy related to the points listed in the instructions on the Concept Note or any major inconsistency in the application form (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 the information provided is unclear and thus prevents 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 evaluated. It is therefore of utmost importance that these documents contain ALL the relevant information concerning the action. No additional annexes should be sent.

### **2.2.2 Where and how to send Applications**

Applications must be submitted as an electronic file to [cpdcsubmissions@gmail.com](mailto:cpdcsubmissions@gmail.com).

The checklist (Section 2 of Part B the grant application form) and the Declaration by the applicant (Section 8 of Part B of the grant application form) must be included in the electronic copy.

Applications which do not comply with the instructions for submission will be rejected.

**Applicants must verify that their application is complete using the checklist (Section 2 of Part B of the grant application form). Incomplete applications may be rejected.**

### **2.2.3 Deadline for submission of Applications**

The deadline for the submission of applications is: **16<sup>th</sup> December 2016** 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 16:00 hours local time 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 application sent in due time but received after the effective date of approval of the first evaluation step (i.e. Concept Note) (see indicative calendar under Section 2.5.2).

### **2.2.4 Further information about Applications**

Questions may be sent by e-mail no later than 10 days before the deadline for the submission of applications to the below address(es), indicating clearly the reference of the Call for Proposals:

E-mail address: [cpdcsubmissions@gmail.com](mailto:cpdcsubmissions@gmail.com)

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

Replies will be given no later than 7 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 applicants, affiliated entity (ies), an action or specific activities.

Questions that may be relevant to other applicants, together with the answers, will be published on the CPDC website. It is therefore advisable to consult the abovementioned website regularly in order to be informed of the questions and answers published.

## **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, the application will be rejected on this sole basis.

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

The following will be assessed:

- Compliance with the submission deadline. If the deadline has not been met, the application will automatically be rejected.
- The Application Form satisfies all the criteria specified in points 1-5 of the Checklist (Section 2 of Part B of the grant application form). If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

The Concept Notes that pass the first administrative check will be evaluated on the relevance and design of the proposed action.

The Concept Note will receive an overall score out of 50 using the breakdown in the evaluation grid below. The evaluation will also check on compliance with the instructions on the Concept Note, which can be found in Part A of the Application Form.

The evaluation criteria are divided into headings and subheading. 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.

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

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

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

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

Firstly, only the Concept Note with a score of at least 30 will be considered for pre-selection.

Secondly, the top twenty Concept Notes would be selected given each candidate a 50/50 opportunity to be selected for the final evaluation of Full Proposals.

After the evaluation of Concept Notes, the Contracting Authority will send letters to all applicants, indicating whether their application was submitted by the deadline, informing them of the reference number they have been allocated, whether the Concept Note was evaluated and the results of that evaluation. The Evaluation Committee will then proceed with the applicants whose proposals have been pre-selected.

## **(2) STEP 2: EVALUATION OF THE FULL APPLICATION**

Firstly, the following will be assessed:

- The full application form satisfies all the criteria specified in points 1-9 of the Checklist (Section 2 of Part B of the grant application form). If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

The quality of the applications, including the proposed budget and capacity of the applicants and affiliated entity(ies), will be evaluated using the evaluation criteria 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 operational capacity and the applicant's financial capacity to ensure that they:

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

**The award criteria** help to evaluate the quality of the applications in relation to the objectives and priorities, and to award grants to projects which maximize 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.

*Scoring:*

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

Section	Maximum Score
<b>1. Financial and operational capacity</b>	<b>25</b>
1.1 Do the applicants have sufficient experience in project management?	5
1.2 Do the applicants have sufficient technical expertise? (especially knowledge of the issues to be addressed)	5
1.3 Do the applicants 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
1.5 Does the applicant have audited statements?	5
<b>2. Relevance of the action</b>	<b>30</b>
Score transferred from the Concept Note evaluation	
<b>3. Effectiveness and feasibility of the action</b>	<b>15</b>
3.1 Are the activities proposed appropriate, practical, and consistent with the objectives and expected results?	5
3.2 Is the action plan clear and feasible?	5
3.3 Does the proposal contain objectively verifiable indicators for the outcome of the action? Is any evaluation planned?	5
<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?: <ul style="list-style-type: none"> <li>- Financially (how will the activities be financed after the funding ends?)</li> <li>- Institutionally (will structures allowing the activities to continue to be in place at the end of the action? Will there be local 'ownership' of the results of the action?)</li> <li>- At policy level (where applicable) (what will be the structural impact of the action e.g. will it lead to improved legislation, codes of conduct, methods, etc?)</li> <li>- Environmentally (if applicable) (will the action have a negative/positive environmental impact?)</li> </ul>	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>

### *Note on section 1. Financial and Operational Capacity*

If the total score for section 1 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.

### *Provisional selection*

After the evaluation, a table will be drawn up listing the applications ranked according to their score and within the limits of the funds available. In addition, a reserve list will be drawn up following the same criteria to be used if more funds should become available during the validity period of the reserve list.

### **(3) STEP 3: VERIFICATION OF ELIGIBILITY OF THE APPLICANTS**

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

- The Declaration by the applicant (Section 3 of Part B of the grant application form) will be cross checked with the supporting documents provided by the applicant. **Any missing supporting document or any incoherence between the Declaration by the applicant and the supporting documents may lead to the rejection of the application on that sole basis.**
- The eligibility of applicants, the affiliated entity(ies), and the action will be verified according to the criteria set out in Sections 2.1.1, 2.1.2, 2.1.3.

Any rejected application will be replaced by the next best placed application on the reserve list that falls within the available financial envelope.

### **2.4 SUBMISSION OF SUPPORTING DOCUMENTS FOR PROVISIONALLY SELECTED APPLICATIONS**

An applicant that has been provisionally selected or placed on the reserve list will be informed in writing by the Contracting Authority. It will be requested to supply the following documents in order to allow the Contracting Authority to verify the eligibility of the applicant:

Supporting documents which may/must be provided:

1. The statutes or articles of association of the applicant<sup>3</sup>. Where the Contracting Authority has recognized the applicants for another call for proposals <sup>4</sup>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 the 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.
2. A copy of the applicant's latest accounts (the profit and loss account and the balance sheet for the last financial year for which the accounts have been closed). The provision of an audited financial statement would be highly advantageous in the scoring process.
3. Legal entity sheet (see annex D of these Guidelines) duly completed and signed by each of the applicants, 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 applicant 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 applicant is established. If the applicant has already submitted a financial identification form in the past for a contract where the European Commission was in

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<sup>3</sup> Where the applicant is a public body created by law, a copy of the said law must be provided.

<sup>4</sup> To be inserted only where the eligibility conditions have not changed from one call for proposals to the other.



charge of the payments and intends to use the same bank account, a copy of the previous financial identification form may be provided instead.

5. A Project valued for at least Euros 10 000 or an annual Programme Report for the last two years for an applicant organization having its headquarters in Antigua and Barbuda, The Bahamas, Barbados, Belize, Dominica, Grenada, Guyana, Jamaica, Montserrat, Saint Lucia, Saint Kitts and Nevis, Saint Vincent and Grenadines, Suriname, and Trinidad and Tobago.

Supporting documents must be supplied in form of originals, photocopies or scanned versions (i.e. showing legible stamps, signatures and dates) of the said originals. However, the Legal entity sheet and the financial identification form must always be submitted in original.

If the abovementioned supporting documents are not provided before the deadline indicated in the request for supporting documents sent to the 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.

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

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

If requested, the applicants will be informed in writing of the Contracting Authority's decision concerning their application and, if rejected the reasons for the negative decision.

An applicant believing that it has been harmed by an error or irregularity during the award process may lodge a complaint.

### **2.5.2 Indicative timetable**

	<b>DATE</b>	<b>TIME*</b>
<b>Deadline for requesting any clarification from the Contracting Authority</b>	29 <sup>th</sup> November 2016	5:00pm (UTC/GMT -4)
<b>Last date on which clarifications are issued by the Contracting Authority</b>	9 <sup>th</sup> December 2016	5:00pm (UTC/GMT -4)
<b>Deadline for submission of Full Application Form</b>	16 <sup>th</sup> December 2016	5:00pm (UTC/GMT -4)
<b>Information to applicants on the evaluation of the Full Application Form</b>	17 <sup>th</sup> January 2017	5:00pm (UTC/GMT -4)

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

This indicative timetable may be updated by the Contracting Authority during the procedure.

## **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 Contracting Authority's grant contract. 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.

### **Implementation contracts**

Where implementation of the action requires the Beneficiary(ies) to award procurement contracts, those contracts must be awarded in accordance with best practices which will be outlined to successful organisations.