



Contracting Authority: European Commission

European Instrument for Democracy and Human Rights (EIDHR)

Country-based Support Scheme (CBSS)

Call for proposals

Viet Nam

Guidelines
for grant applicants

Budget line: 19.04.01

Reference: EuropeAid/132049/L/ACT/VN

Deadline for submission of concept notes: 21/12/2011

NOTICE

This is a restricted Call for Proposals. In the first instance, only Concept Notes must be submitted for evaluation. Thereafter, applicants whose Concept Notes have been pre-selected will be invited to submit a Full Application Form. Further to the evaluation of the Full Applications, an eligibility check will be performed for those which are provisionally selected. This check will be undertaken on the basis of the supporting documents requested by the Contracting Authority and the signed "Declaration by the Applicant" sent together with the application.

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1. EUROPEAN INSTRUMENT FOR DEMOCRACY AND HUMAN RIGHTS

1.1 BACKGROUND

The European Instrument for Democracy and Human Rights (EIDHR)¹ was adopted by the European Parliament and the Council in December 2006 under the Financial Perspectives 2007-2013. This new financing instrument is the successor to the European Initiative for Democracy and Human Rights, established upon the initiative of the European Parliament in 1994. The EIDHR-instrument underscores the high priority which the EU attaches to developing and consolidating democracy, the rule of law, human rights and fundamental freedoms. For third countries, with which the EU has contractual (development aid) relations, the EIDHR establishes the mechanism of Country-Based Support Schemes (CBSS). Under the EIDHR CBSS, periodic Calls for Proposals are organised with the objective of strengthening local civil society to better advocate the rights of interest groups. The EIDHR CBSS focuses on assisting civil society to develop greater cohesion in working on human rights, political pluralism and democratic political participation and representation, as well as equal participation of men and women in social, economic and political life. The overarching aim is to help civil society become an effective force for positive change. In Viet Nam there is indeed wide scope for specific activities in the fields of gender equality, rights of ethnic minorities, the rights of workers, the right of the child, protection of people in vulnerable situations including the rights of migrants and the rights of persons with disabilities. The main added value of the EIDHR CBSS is that the scheme allows the funding of civil society actors without the need for government approval or consent.

In Viet Nam, the first EIDHR CBSS Call for Proposals was launched in late 2005 and periodic Calls have been organised since. Under the instrument, the EU Delegation to Viet Nam has signed grant contracts for a total amount of over €3 million. In addition to the EIDHR, the EU Delegation to Viet Nam is active in the broader field of strengthening good governance and the rule of law. For an overview of projects funded in the democratic governance sector as well as the EU's Country Strategy Paper for Viet Nam, kindly visit the Delegation's website (http://eeas.europa.eu/delegations/vietnam/index_en.htm).

1.2 OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

The **global objective** of this Call for Proposals is to contribute to the development and consolidation of democracy and the rule of law, and respect for all human rights and fundamental freedoms, within the framework of the European Union's policy on development cooperation, and economic, financial and technical cooperation with third countries, and consistent with the European Union's foreign policy as a whole.

The **specific objective** of this Call for Proposals is to help civil society in Viet Nam to become an effective force for political reform and defence of human rights.

Priorities for this Call for Proposals:

i. *Pursuit of common agendas for human rights and democratic reform*

Areas of activities which are suitable for Viet Nam:

- activities to promote women's and children's rights, the rights of persons with disabilities and other vulnerable groups;
- activities to protect the rights of ethnic minorities;
- activities advocating the abolition of the death penalty, the prevention of torture and ill-treatment.

ii. *Building towards consensus on disputed or controversial areas of policy*

Areas of activities which are suitable for Viet Nam:

- activities to share experience and analyse common problems concerning the relationship between religion and the state.

iii. *Enhancing political representation and participation*

Areas of activities which are suitable for Viet Nam:

¹ Regulation (EC) No 1889/2006 of the European Parliament and of the Council, 20.12.2006. OJ L386, 29.12.2006, p.1. http://ec.europa.eu/europeaid/where/worldwide/eidhr/documents/reg_1889_2006_jo_l386_en.pdf

-enhancing political representation and participation, including the empowerment of women, workers and other underrepresented groups, and responsiveness and accountability, by means of initiatives by civil society in dialogue with "political society" (e.g. with the National Assembly of Viet Nam).

iv. *Initiatives to enhance the inclusiveness and pluralism of civil society*

Areas of activities which are suitable for Viet Nam:

-supporting activities and capacity-building of new or fragile civil society organisations formed by groups whose interests are under-represented, or otherwise contributing to the empowerment of such groups (e.g. ethnic minority groups, workers including migrant workers, people with disabilities, rural groups, internally displaced persons, etc), and initiatives to promote independent and responsible media.

v. *Activities aimed at promoting the issues covered by EU guidelines on human rights at local level (human rights dialogue; abolition of the death penalty)*

Areas of activities which are suitable for Viet Nam:

-advocating the abolition of the death penalty.

Special attention should be paid by applicants to formulating project interventions which will create partnerships and/or networking arrangements with local organisations and enhance local participation in the area of human rights. The new mechanism of sub-granting (see section 2.1.3 below) is one way of doing so, in addition to formal partnerships and working with associates (see section 2.1.2 below). Whatever the modalities selected, the focus shall be on local civil society organisations and on strengthening and supporting these organisations.

1.3 FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY

The overall indicative amount made available under this Call for Proposals is EUR 600,000. Subject to the final decision of the budgetary Authority, an additional amount may be allocated to this call for proposals from the 2012 budget. The final amount will be decided by the EU in the EIDHR 2012 Annual Action Programme (AAP). The Contracting Authority reserves the right not to award all available funds.

Size of grants

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

- minimum amount: EUR 100,000
- maximum amount: EUR 300,000

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

- Minimum percentage: 50% of the total estimated eligible costs of the action.

Maximum percentage: 100% of the total eligible costs of the action (see also Section 2.1.4).

Any grant requested under this Call for Proposal must further be limited to 95% of the estimated total accepted costs²³.

The balance (*i.e.* the difference between the total cost of the action and the amount requested from the Contracting Authority) must be financed from the applicant's or partners' own resources, or from sources other than the European Union budget or the European Development Fund.

² Estimated total accepted costs = estimated total eligible costs + taxes, including VAT, where the beneficiary can show it cannot reclaim them (unless one of the exceptions to the proof obligation apply).

³ If there are no taxes or where they may be reclaimed, this percentage will apply to the total eligible costs to ensure the required co-financing.

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 EU external actions, which is applicable to the present call (available on the Internet at this address: http://ec.europa.eu/europeaid/work/procedures/implementation/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 *Eligibility of applicants: who may apply?*

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

- be legal persons **and**
- be non profit making **and**
- be non-governmental organisations, public sector operators, private sector operators, community-based organisations, independent political foundations (not political parties), parliamentary bodies, universities, academic institutions, international (inter-governmental) organisations as defined by Article 43 of the Implementing Rules to the EC Financial Regulation⁴, or regional intergovernmental organisations **and**
- be nationals^{5 6} of a Member State of the European Union, an official EU candidate country as recognised by the European Union, a Member State of the European Economic Area, or other eligible countries covered by the Regulation on establishing a financing instrument for the promotion of democracy and human rights worldwide⁷. This obligation does not apply to international organisations **and**
- be directly responsible for the preparation and management of the action with their partners, not acting as an intermediary.

4 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.

5 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 national 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 the statutes are registered locally or a "Memorandum of Understanding" has been concluded.

6 If the applicant's legal personality has been recognised in a country eligible under this section pursuant to the Council of Europe Convention n. 124 on the Recognition of the Legal Personality of International Non-Governmental Organisations (<http://conventions.coe.int/Treaty/Commun/QueVoulezVous.asp?NT=124&CM=8&DF=07/03/2011&CL=ENG>), the official evidence issued by the country concerned under the said Convention shall determine the nationality of the organisation.

7 Regulation (EC) No 1889/2006 of the European Parliament and of the Council of 20 December 2006 on establishing a financing instrument for the promotion of democracy and human rights worldwide (Official Journal of the European Union no. L 386 of 29 December 2006), available at: http://ec.europa.eu/europeaid/work/procedures/legislation/legal_bases/index_en.htm. See in particular Article 14 ("rules of participation and rules of origin").

(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 EU external actions (available from the following Internet address:

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

In Part A, section 3 of the grant application form (“Declaration by the applicant”), applicants must declare that they do not fall into any of these situations.

2.1.2 Partnerships and eligibility of partners

Applicants must act with partner organisations as specified hereafter.

Partners

Applicants are to team up with at least one local organisation in Viet Nam.

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 eligibility criteria as applicable on the grant beneficiary himself.

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 5 - “Associates of the Applicant participating in the Action” of the Grant Application Form.

- Contractors

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

- Sub-grantees

The grant beneficiaries may award financial support (sub-grants) to third entities (the sub-grantees). Sub-grantees are neither partners nor associates nor contractors. Sub-grantees are subject to the nationality and origin 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 be lower than 18 months nor exceed 36 months.

Sectors or themes

The proposals must contribute directly to the Objectives and Priority issues described in section 1.2.

Location

Actions must take place in Viet Nam.

Types of action

Projects should be self-contained operations indicating a coherent set of activities with clearly defined operational objectives, target groups and planned, tangible outcomes, within a limited timeframe. Activities should be designed to meet the specific needs of the target groups identified by the project. Only activities that fall under the Objectives and Priority Issues described in section 1.2 of these guidelines are eligible for funding under this Call for Proposals. Proposed actions must be conceived to produce specific, measurable results which are in response to a particular issue. Actions must have clear objectives based on a strategy and methodology, an integrated approach with various complimentary activities and be likely to directly address the issue in question. The implementation methods should follow this approach and should contain

objective and verifiable indicators to be defined for each individual activity proposed. Actions will be selected on the basis of their expected results as well as their potential effectiveness. Each action will present its own indicators of performance and success which must be objective and verifiable.

Types of activity

All proposed activities should strive to achieve practical results.

The following is a non-exhaustive list of examples of activities that could be envisaged by applicants:

- Training;
- Awareness campaigns ;
- Advocacy actions to increase the awareness of institutions on human rights promotion and respect;
- Drafting of policy or legislation recommendations by civil society representatives as part of a working group in the law-making institutions;
- Publication of manuals, leaflets on best practices related to the priority themes;
- Promoting innovative approaches in addressing human rights issues, *e.g.* following best practices of other countries;
- Facilitating dialogue, consultation and discussion between different stakeholders;
- Opinion surveys and analytical papers if they form part of a wider range of activities.

Other types of activities not listed above could be envisaged. However, kindly note that the following activities will not be allowed and are strictly **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;
- study-tours or visits outside of Viet Nam;
- one-off conferences. Conferences can only be funded if they form part of a wider range of activities to be implemented in the lifetime of the action. For these purposes, preparatory activities for a conference and the publication of the proceedings of a conference, do not in themselves constitute such “wider activities”;
- actions supporting individual political parties;
- core funding of the applicant or (where relevant) its partners.

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.

Visibility

Note that the 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 laid down and published by the European Commission at (see http://ec.europa.eu/europeaid/work/visibility/index_en.htm).

Number of applications and grants per applicant

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

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

An applicant may at the same time be partner in another application

Partners may take part in more than one application

Only "eligible costs" can be taken into account for a grant. The categories of costs considered as eligible and non-eligible are indicated below. The budget is 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 applies). 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 the EU co-financing as a result of these corrections may not be increased.

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 G of the Guidelines).

Contingency reserve

A contingency reserve not exceeding 5% of the estimated 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 estimated total eligible direct costs. Indirect costs are eligible provided that they do not include costs assigned to another heading of the budget of the standard grant contract. The applicant may be asked to justify the requested percentage before contracting. 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 the applicant is in receipt of an operating grant financed from the EU, no indirect costs may be claimed within the proposed budget for the action.

Contributions in kind

Contributions in kind are not allowed. 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.

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 debt service charges
- provisions for losses or potential future liabilities;
- interest owed;
- costs declared by the beneficiary and covered by another action or work programme;
- 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 VAT. Nevertheless, these may be considered as part of the estimated total accepted costs of the action for the purpose of co-financing where the Beneficiary (or the Beneficiary's partners) can prove it cannot reclaim them. In such cases, the cost should be included in the Budget under the heading "taxes". Please note however that for the purpose of co-financing, taxes are the only ineligible costs that will be considered within the total accepted costs of the action. Information on taxes can be found in Annex J to these Guidelines;

- credit to third parties.

2.2 HOW TO APPLY AND THE PROCEDURES TO FOLLOW

Prior registration in PADOR for this Call for Proposals is obligatory.

- Phase 1, concept note: Registration in PADOR is obligatory for the applicants of grants above EUR 25 000.

Registration is optional but recommended for:

- applicants of grants of EUR 25 000 or less;
- their partners
- Phase 2, full proposal: Registration in PADOR is obligatory for all pre-selected applicants and all their partners.

PADOR is an on-line database in which organisations register themselves and update regularly their data, through the Europeaid website: http://ec.europa.eu/europeaid/work/onlineservices/pador/index_en.htm

Before starting the registration of your organisation in PADOR, please read the "Quick guide" available on the website. It explains the registration process.

You have to indicate on the paper version of the proposal the EuropeAid ID (EID). To get this identification, your organisation must register, save and "sign" (committing your responsibility) in PADOR obligatory data (on each screen the fields written in orange) and the related documents (see section 2.4).

Notwithstanding the above, if the organisation is in a situation where it is impossible to register in PADOR, it shall submit a justification proving that such impossibility is of a general nature and goes beyond the control of the applicant and or its partner(s). In this case, the applicant and/or the partners concerned shall complete the "PADOR off-line form"⁸ in annex of these Guidelines and send it by the submission deadline along with the application to the address indicated in sections 2.2.2 and 2.2.6. Subsequently, the registration in PADOR will be initiated by the European Commission. If, at a later stage, the organisation wishes to update itself its data, an access request will have to be sent to the PADOR helpdesk.

All questions related to the registration in PADOR should be addressed to the PADOR helpdesk at: Europeaid-pador@ec.europa.eu.

2.2.1 Concept Note content

Applications must be submitted in accordance with the instructions on the Concept Note included in the Grant Application Form annexed to these Guidelines (Annex A).

Applicants must apply in English.

In the Concept note, the applicants must only provide an estimate of the amount of contribution requested from the Contracting Authority. Only the applicants invited to submit a full application in the second phase will be required to present a detailed budget. The elements assessed on the basis of the concept note may not be modified by the applicant in the full application form. The EU contribution may not vary from the initial estimate by more than 20%. The applicant is free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in the present Guidelines under section 1.3.

Any error or major discrepancy related to the points listed in the instructions on the Concept Note may lead to the rejection of the Concept Note.

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

Hand-written Concept Notes will not be accepted.

Please note that only the Concept Note form will be evaluated. It is therefore of utmost importance that this document contain ALL relevant information concerning the action. No additional annexes should be sent.

⁸ Which corresponds to Sections 3 and 4 of Part B of the application form.

2.2.2 Where and how to send concept notes

The Concept note together with the Checklist for the Concept Note (Part A section 2 of the grant application form) and the Declaration by the applicant for the Concept Note (Part A section 3 of the grant application form) must be submitted in one original and three copies in A4 size, each bound.

Concept Notes must be submitted as well in electronic format (CD-Rom). The electronic format must contain exactly the same application as the paper version enclosed.

Where an applicant sends several different concept notes (if allowed to do so by the Guidelines of the Call), each one must be sent separately.

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

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) at the address below:

Postal address

Delegation of the European Union to Viet Nam
For the kind attention of the Head of the Finance, Contracts and Audit (FCA) section
17th-18th floor, Pacific Place Office Building (OB)
83B Ly Thuong Kiet street
Ha Noi
S.R. of Viet Nam

Address for hand delivery or by private courier service

Delegation of the European Union to Viet Nam
For the kind attention of the Head of the Finance, Contracts and Audit (FCA) section
17th-18th floor, Pacific Place Office Building (OB)
83B Ly Thuong Kiet street
Ha Noi
S.R. of Viet Nam

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

Applicants must verify that their Concept Note is complete using the Checklist for Concept Note (Part A section 2 of the grant application form). Incomplete concept notes may be rejected.

2.2.3 Deadline for submission of the Concept Notes

The deadline for the submission of Concept Note is 21 December 2011 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 16:30 hrs as evidenced by the signed and dated receipt. Any Concept Note submitted after the deadline will automatically be rejected.

However, for reasons of administrative efficiency, the Contracting Authority may reject any Concept Note 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 Concept Note

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

E-mail address: delegation-vietnam-eidhr@eeas.europa.eu

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 concept notes.

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 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-pador@ec.europa.eu

2.2.5 Full Application form

Applicants invited to submit a full application form following the pre-selection of the Concept Note must do so by using the Part B of the application form annexed to these Guidelines (Annex A). Applicants should keep strictly to the format of the application form and fill in the paragraphs and the pages in order.

The elements assessed on the basis of the concept note cannot be modified by the applicant in the full application form. The EU contribution may not vary from the initial estimate by more than 20%, while the applicant is 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.

Applicants must submit their applications in the same language as their concept note.

Please complete the full 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 (Part B, Section 6 of the Grant Application form) or any major inconsistency in the full application form (e.g. the amounts mentioned in the budget worksheets are inconsistent) may lead to the rejection of the application.

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 full 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.

2.2.6 Where and how to send the Full Application form

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

Delegation of the European Union to Viet Nam
For the kind attention of the Head of the Finance, Contracts and Audit (FCA) section
17th-18th floor, Pacific Place Office Building (OB)
83B Ly Thuong Kiet street
Ha Noi
S.R. of Viet Nam

Address for hand delivery and by private courier service

Delegation of the European Union to Viet Nam
For the kind attention of the Head of the Finance, Contracts and Audit (FCA) section
17th-18th floor, Pacific Place Office Building (OB)
83B Ly Thuong Kiet street
Ha Noi

S.R. of Viet Nam

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 three copies in A4 size, each bound. The 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 full application form must not be split into several different files). The electronic format must contain exactly the same application as the paper version.

The Checklist (Section 6 of Part B of the grant application form) and the Declaration by the applicant (Section 7 of Part B of the grant application form) must be stapled separately and enclosed in the envelope

The outer 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 applicant, and the words "Not to be opened before the opening session" and "Không được mở trước khi mở thầu".

Applicants must verify that their application is complete using the checklist (Section 6 of Part B of the grant application form). Incomplete applications may be rejected.

2.2.7 Deadline for submission of the Full Application form

The deadline for the submission of applications will be indicated in the letter sent to the applicants whose application has been preselected.

However, for reasons of administrative efficiency, the Contracting Authority may reject any application received after the effective date of approval of evaluation report for full applications (see indicative calendar under Section 2.5.2)

2.2.8 Further information for the Full Application form

Questions may be sent by e-mail [or by fax] no later than 21 days before the deadline for the submission of applications to the addresses listed below, indicating clearly the reference of the Call for Proposals:

E-mail address: delegation-vietnam-aidhr@eeas.europa.eu

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 or an action.

Questions that may be relevant to other applicants, together with the answers, will be published on the internet at website <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>

It is therefore highly recommended to regularly consult the abovementioned website 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 2.1.3, the application shall be rejected on this sole basis.

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

The following will be assessed:

- The submission deadline has been respected. If the deadline has not been respected the application will automatically be rejected.
- The Concept Note satisfies all the criteria specified in points 1-5 of the Checklist (Section 2 of Part A 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 evaluation of the Concept Notes that have passed the first administrative check will cover the relevance and design of the action.

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.

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

TOTAL SCORE 50

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

** 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.

First, only the Concept Notes which have been given a score of a minimum 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 EUR 1,200,000 the available budget for this Call for Proposals, taking into account the indicative financial envelope.

Following the Concept Note evaluation, 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 the Concept Note were evaluated and the results of that evaluation. The preselected applicants will subsequently be invited to submit full applications.

(2) STEP 2: EVALUATION OF THE FULL APPLICATION

First, the following will be assessed:

- Te submission deadline has been respected. If the deadline has not been respected the application will automatically be rejected.
- The full application form satisfies all the criteria specified in points 1-8 of the Checklist (Section 6 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.

An evaluation of the quality of the applications, including the proposed budget, and of the capacity of the applicant and its partners, will be subsequently 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 applications 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 applications which the Contracting Authority can be confident will comply with its objectives and priorities. 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.

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, if applicable, partners have sufficient experience of project management?	5
1.2 Do the applicant and, if applicable partners have sufficient technical expertise? (notably knowledge of the issues to be addressed.)	5
1.3 Do the applicant and, if applicable, 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 of the action	30
<i>Score transferred from the Concept Note evaluation</i>	
3. Effectiveness and feasibility of the action	20
3.1 Are the activities proposed appropriate, practical, and consistent with the objectives and expected results?	5
3.2 Is the action plan clear and feasible?	5
3.3 Does the proposal contain objectively verifiable indicators for the outcome of the action? Is evaluation foreseen?	5
3.4 Is the partners' level of involvement and participation in the action satisfactory?	5
4. Sustainability of the action	15
4.1 Is the action likely to have a tangible impact on its target groups?	5
4.2 Is the proposal likely to have multiplier effects? (Including scope for replication and extension of the outcome of the action and dissemination of information.)	5
4.3 Are the expected results of the proposed action sustainable:	5

- 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>) - environmentally (if applicable) (<i>will the action have a negative/positive environmental impact?</i>)	
5. Budget and cost-effectiveness of the action	15
5.1 Are the activities appropriately reflected in the budget?	5x2*
5.2 Is the ratio between the estimated costs and the expected results satisfactory?	5
Maximum total score	100

*the scores are multiplied by 2 because of their importance

Note on Section 1. Financial and operational capacity

If the score is less than 12 points for section 1, the application will be rejected.

Provisional selection

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

(3) STEP 3: 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 applications that have been provisionally selected according to their score and within the available financial envelope.

- The Declaration by the applicant (Section 7 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 application 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 application will be replaced by the next best placed application 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 APPLICATIONS

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:⁹

Supporting documents may/must be provided through PADOR, see Section 2.2.

⁹ No supporting document will be requested for applications for a grant not exceeding EUR 25 000.

1. The statutes or articles of association of the applicant organisation¹⁰ and of each partner organisation¹¹. 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.¹² 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/financing/international_organisations/other_international_organisations/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)¹³.
3. Legal entity sheet (see annex D of these Guidelines) 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 of these Guidelines, 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.

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

Where such documents are not in one of the official languages of the European Union, a translation into English of the relevant parts of these documents, proving the applicant's eligibility, must be attached and will prevail for the purpose of analysing the application.

Where these documents are in an official language of the European Union other than in English, 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, in English.

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.

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.

¹⁰ 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

¹¹ Where Council of Europe Convention n. 124 on the Recognition of the Legal Personality of International Non-Governmental Organisations is applied please refer to footnote **n. 9**.

¹² To be inserted only where the eligibility conditions have not changed from one call for proposals to the other.

¹³ 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.

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 (if any)	Not applicable	Not applicable
Deadline for request for any clarifications from the Contracting Authority	30 November 2011	17:00 hrs
Last date on which clarifications are issued by the Contracting Authority	9 December 2011	-
Deadline for submission of Concept Notes	21 December 2011	16:30 hrs
Information to applicants on the opening & administrative checks and concept note evaluation (step 1)	28 February 2012*	-
Invitations for submission of Full Application Form	16 March 2012*	-
Deadline for submission of Full Application Form	16 May 2012	-
Information to applicants on the evaluation of the Full Application Form (step 2)	30 September 2012*	-
Notification of award (after the eligibility check) (step 3)	10 October 2012	-
Contract signature	1 November 2012*	-

***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. In such case, the updated timetable shall be published on internet at the EuropeAid web site <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>

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 grant contract (see Annex G of these Guidelines). By signing the Application form (Annex A of these Guidelines), the applicant declares accepting, in case where it is awarded a grant, the Contractual conditions as laid down in the standard grant 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 the applicable Financial Regulation, as described in Chapter 6 of the Practical Guide to contract procedures for EU 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 standard grant contract.

2.7 EARLY WARNING SYSTEM AND CENTRAL EXCLUSION DATABASE

The applicants and, if they are legal entities, 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:

- the Commission Decision of 16.12.2008 on the Early Warning System (EWS) for the use of authorising officers of the Commission and the executive agencies (OJ, L 344, 20.12.2008, p.125) or

-the 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 agreement or decision.

3. LIST OF ANNEXES

DOCUMENTS TO BE COMPLETED

ANNEX A: GRANT APPLICATION FORM (WORD FORMAT)

ANNEX B: BUDGET (EXCEL FORMAT)

ANNEX C: LOGICAL FRAMEWORK (EXCEL FORMAT)

ANNEX D: LEGAL ENTITY SHEET

ANNEX E: FINANCIAL IDENTIFICATION FORM

ANNEX F: PADOR OFF-LINE FORM

ANNEXES B, C, D AND E ARE AVAILABLE AT:

[HTTP://EC.EUROPA.EU/EUROPEAID/WORK/PROCEDURES/IMPLEMENTATION/GRANTS/INDEX_EN.HTM](http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index_en.htm) (ANNEX B = E3C; ANNEX C = E3D; ANNEX D = E3E1+2+3; ANNEX E = E3F).

ANNEX F (THE PADOR OFF-LINE FORM) IS AVAILABLE AT:

[HTTP://EC.EUROPA.EU/EUROPEAID/WORK/ONLINESERVICES/PADOR/DISPENSATION_EN.HTM](http://ec.europa.eu/europeaid/work/onlineservices/pador/dispensation_en.htm)

DOCUMENTS FOR INFORMATION

ANNEX G: STANDARD GRANT CONTRACT

- ANNEX II: GENERAL CONDITIONS APPLICABLE TO EUROPEAN UNION-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 EU FINANCED GRANT CONTRACT FOR EXTERNAL ACTIONS
- ANNEX VIII: MODEL FINANCIAL GUARANTEE]
- ANNEX IX: STANDARD TEMPLATE FOR TRANSFER OF OWNERSHIP OF ASSETS

ANNEXES II, IV, V, VI, VII, VIII AND IX ARE AVAILABLE AT:
[HTTP://EC.EUROPA.EU/EUROPEAID/WORK/PROCEDURES/IMPLEMENTATION/GRANTS/INDEX_EN.HTM](http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index_en.htm) (ANNEX II = E3H2; ANNEX IV = E3H3; ANNEX V = E3H4; ANNEX VI = E3H5+6+7; ANNEX VII = E3H8; ANNEX VIII = E3H9; ANNEX IX = E3H10).

ANNEX H: DAILY ALLOWANCE RATES (PER DIEM), available at the following address:
http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm

ANNEX I: STANDARD CONTRIBUTION AGREEMENT, APPLICABLE IN CASE WHERE THE BENEFICIARY IS AN INTERNATIONAL ORGANISATION (AVAILABLE AT:
[HTTP://EC.EUROPA.EU/EUROPEAID/WORK/PROCEDURES/FINANCING/INTERNATIONAL_ORGANISATIONS/INDEX_EN.HTM](http://ec.europa.eu/europeaid/work/procedures/financing/international_organisations/index_en.htm))

ANNEX J: INFORMATION ON THE TAX REGIME APPLICABLE TO GRANT CONTRACTS SIGNED UNDER THE CALL (AVAILABLE AS ANNEX E3A1 AT:
[HTTP://EC.EUROPA.EU/EUROPEAID/WORK/PROCEDURES/IMPLEMENTATION/GRANTS/INDEX_EN.HTM](http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index_en.htm))

PROJECT CYCLE MANAGEMENT GUIDELINES

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