GUIDANCE NOTE ON APPLICATION FORMS

FULL PROPOSAL GUIDELINES PROSPECT

European NGO confederation for relief and development

CONCORD

Confédération européenne des ONG d'urgence et de développement

FULL PROPOSAL GUIDELINES

> CONTENTS

> INTRODUCTION

In the recent past we have seen Practical Guide (PRAG) updates every year since 2012. Changes introduced have gone from minor wording corrections to introduction of new type of alliances (e.g. affiliated entities), new funding modalities (e.g. financial support to third parties) and major changes in the logical framework.

These guidelines are an attempt by the CONCORD Funding for Development and Relief (FDR) working group to provide advice on how to write a proposal for DEVCO funding. It has been prepared by its Financial Regulation subgroup (FRSG), in particular by Anne-Laure Pignard from Action contre la Faim, Sylvia Franssen from Norwegian Refugee Council (NRC) Europe, Claire Rouffineau from Plan EU Office, Margherita Solca from WWF European Policy Office and, FRSG Chair, Belinda Eguis del Toro from Handicap International Federation.

Scope and limitations of these guidelines:
These guidelines provide general advice on the following chapters of the full proposal: Concept note, Full application form (Description, Methodology and Sustainability), Logical framework and Budget.

They do not cover section 2.2 on experience which is part of the administrative information available on PADOR, the eligibility criteria, the eligibility of costs, nor the action plan.

The template used is that of the PRAG 2015 for submissions on PROSPECT, which is the online submission system used for all new call for proposals. However, the comments and advice are based on experience with previous year's templates, which remain valid today.

Please bear in mind that PRAG 2015 templates are very recent. Minor adjustments in the new 2016 templates can be expected, in particular to harmonize terminology with the 2015 new logical framework. However, key guidance provided here can be used for developing your Concept Note and Full application of upcoming 2016 calls as well.

Moreover, please note that the guidance we provide on the most recent changes to the logical framework[1] is preliminary and we have no experience as how the changes will translate into practice. CONCORD will continue to monitor changes in the logical framework and to advice its members accordingly.

NOTA BENE: *This is not a template for an application form. Please use the one provided with the call for proposals you wish to apply to.*

To ease the reading and tell apart the guidance from the template all comments are highlighted in this font.

1 Guidance provided on the logical framework is the result of a meeting with DEVCO Unit 06 held in November 2015 and the Workshop on Financial and Contractual Management of DEVCO Funded Projects held in January 2016 organised by the FRSG with the facilitation of DEVCO Unit R3, minutes of both are available on Concordnet website.

> STRUCTURE OF THE APPLICATION FORM

Here is a sample of a first page of an application form, the concept note cover:

Contracting Authority: European Commission

Civil Society Organisations and Local Authorities

Annex A.1 – Concept note

Budget line(s): 21 02 08 01 & 21 02 08 02

Reference:
EuropeAid/ 150758 /DD/ACT/SL

Deadline for submission[2] of concept notes:
26/02/2016 at 17:00 (Local time)

Number & title of lot	
Title of the action:	
Name of the lead applicant	

Dossier No (for official use only)	

On this first page, what you need to note is the reference number of the call for proposal, highlighted in yellow: while you are working on your concept note and full proposal, make sure you check regularly the EuropeAid website, for potential updates / changes to the guidelines or deadlines, as well as the published answers to the questions asked by potential applicants.

As it may be useful, it is suggested to keep in mind the assessment criteria and the weight each section has (see PRAG annexes e5a and e5b). Each call for proposals' guidelines will include a similar evaluation criteria and grid, which may be tailored to the priorities and requirements of the specific call.

2 Online submission via PROSPECT is mandatory for this call for proposals (see section 2.2.2 of the guidelines). In PROSPECT all dates and times are expressed in Brussels time. Applicants should note that the IT support is open from Monday to Friday 08:30 to 18:30 Brussels time (except for public holidays).

> ASSESSMENT CRITERIA

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 Concept Note satisfies all the criteria specified in the Checklist for the Concept Note – Section 2). 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 (Annex e5a). 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 subheadings. Each subheading will be given a score between **1 and 5 as follows: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.**

	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?	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**

***these scores are multiplied by 2 because of their importance*
Only the concept notes which have been given a score of a minimum of 30 points will be considered for pre-selection.

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 1-13 (for open procedures) or 1-14 (for restricted procedures) of the Checklist for the Full Application Form (Section 7 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 (Annex e5b). There are two types of evaluation criteria: selection and award criteria.

The **selection criteria** help to evaluate the applicant(s)'s and affiliated entity(ies)'s operational capacity and the applicant's financial capacity and 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 applies 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 maximise the overall effectiveness of the Call for Proposals. They help to select applications which the Contracting Authority can be confident will comply with its objectives and priorities. They cover the relevance of the action, its consistency with the objectives of the Call for Proposals, quality, expected impact, sustainability and cost-effectiveness.

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.

Example of evaluation Grid

This grid may be adapted as per the specific guidelines of the call. They are not always the same.

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

Note 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.

PART A CONCEPT NOTE

> 1. CONCEPT NOTE

Instructions for drafting the concept note are provided at the end of the template – They have been included after each paragraph in these guidelines.

Important: The concept note is a summary of the action. No major changes can be made from the concept note to the full proposal, particularly on the objectives, the design of the action and the expected results. Also the co-applicants identified at concept note stage cannot change, unless under exceptional circumstances and duly justified.

The lead applicant must ensure that the concept note:

- Includes Page 1 of this document, filled in and submitted as a cover page of the concept note
- does not exceed 5 pages (A4 size) of Arial 10 characters with 2 cm margins, single line spacing;
- provides the information requested under the headings below, in the order requested, and in proportion to its relative importance (see the relevant scores in the evaluation grid and in the guidelines for applicants);
- provides full information (as the evaluation will be based solely on the information provided);
- is drafted as clearly as possible to facilitate the evaluation process.

1.1. Description of the action[3]

1.1.1 Fill in the table below:

The table below has been divided in two sections; the first section contains the information to be provided on PROSPECT.

Title of the action:	
Lot: **Please tick the box corresponding to the specific lot for which you are applying:**	**…Lot X** **…Lot Y**
Location(s) of the action: - specify country(ies), region(s) that will benefit from the action	
Total duration of the action (months)	
Requested EU contribution (amount)	[<EUR]/ [<ISO code of currency of the Contracting Authority>] >
Requested EU contribution as a percentage of total budget eligible costs of the action (indicative)[4]	**%**
Below the information that needs to be provided as part of the concept note	
Objectives of the action	**<Overall objective(s)/Impact>** **<Specific objective(s)/Outcome>**
Target group(s)[5]	
Final beneficiaries[6]	
Estimated results/Outputs[7]	
Main activities	

1.1.2 Description of the action: cover all the 5 points in the instructions: (max 1 page)

Please provide all the following information:

I. Give the background to the preparation of the action.

II. Explain the objectives of the action given in the table in section 1.1.1

III. Describe the key stakeholder groups, their attitudes towards the action and any consultations held

IV. Briefly outline the type of activities proposed and specify related outputs and results, including a description of linkages/relationships between activity clusters.

V. Outline the broad timeframe of the action and describe any specific factor taken into account.

3 Cover page as per template in page 1 should be attached as well
4 If applicable, insert an additional % of the total accepted costs
5 "Target groups" are the groups/entities who will directly benefit from the action at the action purpose level
6 "Final beneficiaries" are those who will benefit from the action in the long term at the level of the society or sector at large
7 Please refer to the guidance note on the new logical framework template for more detailed explanation about the results chain approach introduced by the EU.

This section on the description of the action is analysed for coherence and feasibility (see evaluation grid) and is structured like a brief narrative summary of the design.

It is essential at this stage to show a clear and effective logic of intervention. The best approach to develop this section is to draft a logical framework. It will be submitted only at the full application stage but should be the basis for the concept note.

The action should contribute to the achievement of the Overall objective and aims at achieving the project purpose/ specific objective.
Describe the key stakeholder groups, their attitudes towards the action and any consultations held with them.

This section refers to other local organisations, local authorities, etc., which will somehow be involved in the action but will not participate officially as Co-applicants. You should mention here their role in the action and their attitude towards the project, for example: Organisations that are not official co-applicants of the action, but with whom you will collaborate to prepare the training sessions; or organisations that provide you with relevant information. Coordination with other stakeholders might be considered an added value.

Describe the key stakeholder groups, their attitudes towards the action and any consultations held with them.

Briefly, state the type of activities proposed and specify related outputs and results, including a description of linkages / relationships between activity clusters.

Here you have to explain briefly what you want to do. The activities should be related to the different expected results.

You will need to address the question of “Who does what and how?”, but you will have to do so in a succinct manner.

There can be numerous activities but it is important to be very realistic and link activities with resources and costs (no need to mention costs and resources here just make sure that activities are feasible with the indicated budget). An activity always begins with a verb: Deliver, implement, do, distribute, train, etc.

State the broad timeframe for the action and describe any specific factor that has been taken into account.

Here you should indicate the overall timeframe of the project and if appropriate, specify the timing for the different phases of implementation. Make sure that the timeframe falls within the one indicated in the guidelines.

1.2. Relevance of the action (Max 3 pages)

Relevance accounts for 30 points in the evaluation of your concept note and the score on this criterion is directly transferred to the scores of the Full Proposal. Thus you should pay particular attention to this section.

The most important thing you need to explain here is why your project is important / relevant to EuropeAid and to the specific Call for Proposals. You need to match what EuropeAid is looking for, creating a link between the proposed action and the guidelines.

1.2.1. Relevance to the objectives / sectors / themes / topics / specific priorities of the call for proposals

Please provide all the following information:

I. Describe the relevance of the action to the objective(s) and priority (ies) of the call for proposals.

II. Describe the relevance of the action to any specific subthemes/sectors/areas and any other specific requirements stated in the guidelines for applicants, e.g. local ownership etc.

III. Describe which of the expected results referred to in the guidelines for applicants will be addressed.

NB: In exceptional cases where it is impossible to involve national organisations from the target country because of the particular situation in that country, the lead applicant must provide explanations, which will be examined when applying criterion 1.1 of the evaluation grid to the concept note.

Reminder: This subsection gives a score of up to 10 points.

Introduction: Before describing the contents of your action, you should describe its relevance to the call for proposals. Introduce the paragraph with a short sentence explaining the project.

Explicit references to the guidelines: You should attract the evaluator's attention by making explicit references to the central themes and using the key words in the guidelines and by addressing the priorities point by point.

The guidelines do not always make a clear distinction between objectives, priorities, sectors, types of activity, etc. Stick to the language used in the guidelines.

Focus on specific requirements stated in the Call, local ownership is an example, as well as the focus on gender in food security intervention, the targeting of vulnerable groups, etc.

1.2.2. Relevance to the particular needs and constraints of the target country/countries, region(s) and/or relevant sectors (including synergy with other EU initiatives and avoidance of duplication)

Please provide all the following information:

I. State clearly the specific pre-project situation in the target country/countries, region(s) and/or sectors (include quantified data analysis where possible).

II. Provide a detailed analysis of the problems to be addressed by the action and how they are interrelated at all levels.

III. Refer to any significant plans undertaken at national, regional and/or local level relevant to the action and describe how the action will relate to such plans.

IV. Where the action is the continuation of a previous action, clearly indicate how it is intended to build on the activities/results of this previous action; refer to the main conclusions and recommendations of any evaluations carried out.

V. Where the action is part of a larger programme, clearly explain how it fits or is coordinated with that programme or any other planned project. Specify the potential synergies with other initiatives, in particular by the European Commission.

Reminder: This subsection gives a score of up to 10 points.

Country/regional situation - The amount of detail needed on the country's general situation will depend on whether the call for proposals is global or local. For global calls, it is important to give a brief description of the general context of the country in the introduction, as different countries may be replying to the same call. For calls targeting a specific country, this will not be necessary, as the country's general situation will be known.

Problem analysis – This paragraph should reflect your analysis of the problems you are addressing and the barriers faced by your target groups in the country/region.

- Be realistic and only mention the problems that the project intends to address and why you have chosen these problems for consideration (this is the core paragraph of this section)
- Explain the processes used to identify needs (for example data gathered from the field, needs assessments, specific research, etc.) and not just the outcomes of these processes.
- Structure the problems by level of intervention (whether by target group, type of actor, administrative level, etc.)
- Show any causal links between problems

1.2.3. Describe and define the target groups and final beneficiaries, their needs and constraints, and state how the action will address these needs

Please provide all the following information:

I. Give a description of each of the target groups and final beneficiaries (quantified where possible), including selection criteria.

Target groups and final beneficiaries (you should refer to the definitions provided by EuropeAid in the guidelines)

- Target group: directly affected by the project
- Final beneficiaries: who will benefit from the project the long-term at level of the population.

Selection of the target groups and beneficiaries - When describing the target groups and beneficiaries, explain whether their selection involved a particular process with specific criteria (e.g. explain the concept of vulnerability, the SWOT analysis of the associations).

The description of target groups and beneficiaries must be as specific as possible (number, gender, age, type of disability, localisation, social situation, etc.).

II. Identify the needs and constraints of each of the target groups and final beneficiaries.

- Only mention those needs and barriers that the action intends to address.
- Clearly highlight any specific requests for support that have been made by the target groups and beneficiaries.
- Show the impact the action will have on their situation.

III. Demonstrate the relevance of the proposal to the needs and constraints of the target groups and final beneficiaries.

IV. Explain any participatory process ensuring participation by the target groups and final beneficiaries.

Participation of the target groups and beneficiaries - Explain how you will ensure active involvement and participation of the target groups in the project.

8 See footnote 2

1.2.4. Particular added-value elements

Indicate any specific added-value elements, e.g. the promotion or consolidation of public-private partnerships, innovation and best practice, or other cross-cutting issues such as environmental issues, promotion of gender equality and equal opportunities, the needs of disabled people, the rights of minorities and the rights of indigenous peoples.

Refer specifically to any added value of the action in addition to those mentioned in the evaluation grid.
Refer to your existing policies or methodologies and/or good practices (in the country or region). Illustrate how the policies are reflected in the action activities.

If relevant, demonstrate the inclusion of cross cutting issues in the design and how the proposed action will address them.

1.3. Lead applicant, (co-applicants and affiliated entities, if any)

Section 1.3 has to be deleted if applying via PROSPECT

1.4. Project details

Section 1.4 has to be deleted if applying via PROSPECT

> 2. DECLARATION BY THE LEAD APPLICANT

The lead applicant, represented by the undersigned, being the authorised signatory of the lead applicant, and in the context of the present application, representing any co-applicant(s) and affiliated entity(ies) in the proposed action, hereby declares that:

1. the lead applicant has the sources of financing and professional competence and qualifications specified in section 2 of the guidelines for applicants;
2. the lead applicant undertakes to comply with the obligations foreseen in the affiliated entities' statement of the grant application form and with the principles of good partnership practice;
3. the lead applicant is directly responsible for the preparation, management and implementation of the action with the co-applicant(s) and affiliated entity(ies), if any, and is not acting as an intermediary;
4. if the requested amount is above EUR 60.000:[the lead applicant, the co-applicant(s) and the affiliated entity(ies) are not in any of the situations excluding them from participating in contracts which are listed in section 2.3.3 of the Practical Guide (available from the following Internet address: http://ec.europa.eu/europeaid/prag/document.do). Furthermore, it is recognised and accepted that if the lead applicant, co-applicant(s) and affiliated entity(ies) (if any) participate in spite of being in any of these situations, they may be excluded from other procedures in accordance with section 2.3.4 of the Practical Guide;]
5. the lead applicant and each co-applicant and affiliated entity are in a position to deliver immediately, upon request, the supporting documents stipulated under section 2.4 of the guidelines for applicants;
6. **the lead applicant and each co-applicant(s) and affiliated entity(ies) (if any) are eligible in accordance with the criteria set out under sections 2.1.1 and 2.1.2 of the guidelines for applicants;**

7. if recommended to be awarded a grant, the lead applicant, the co-applicant(s) and the affiliated entity(ies) accept the contractual conditions as laid down in the standard grant contract annexed to the guidelines for applicants (Annex G) (or the PA Grant Agreement where the lead applicant is an organisation whose pillars have been positively assessed by the European Commission);
8. the lead applicant, the co-applicant(s) and the affiliated entity(ies) are aware that, for the purposes of safeguarding the financial interests of the European Union, their personal data may be transferred to internal audit services, to the European Court of Auditors, to the Financial Irregularities Panel or to the European Anti-Fraud Office.

The lead applicant acknowledges that according to Article 131 (5) of the Financial Regulation of 25 October 2012 on the financial rules applicable to the general budget of the Union (Official Journal L 298 of 26.10.2012, p. 1) and Article 145 of its Rules of Application (Official Journal L 362, 31.12.2012, p.1) applicants found guilty of misrepresentation may be subject to administrative and financial penalties.

Signed on behalf of the lead applicant
Name
Signature

Position
Date

PART B FULL APPLICATION FORM[9]

The lead applicant, represented by the undersigned, being the authorised signatory of the lead applicant, and in the context of the present application, representing any co-applicant(s) and affiliated entity(ies) in the proposed action, hereby declares that:

> 1. GENERAL INFORMATION

Reference of the Call for Proposals	*Enter EuropeAid reference for the call for proposals*
[Lot number you are applying to:]	**Same as in the Concept Note**
Number of the proposal[10]	*Number/not applicable (open procedures)*
Name of the lead applicant	
Title of the Call for Proposals (to be filled in online via PROSPECT)	*Enter the title of the call for proposals*
Title of the action	**Same as in the Concept Note**
Location of the action	**Same as in the Concept Note** *specify country(ies), region(s) that will benefit from the action* [Do not fill in here if you are applying via PROSPECT]
Duration of the action	[Do not fill in here if you are applying via PROSPECT]

> 2. THE ACTION[11]

2.1. Description of the Action

2.1.1 Description (max 13 pages)

Provide a description of the proposed action, including all the information requested below, referring to the overall objective(s) and specific objective(s), outputs and results described in the concept note:

• Explain the specific results expected, stating how the action will improve the situation of the target groups and final beneficiaries and the technical and management capacities of target groups and/or any local co-applicants and affiliated entity(ies).

The information to be inserted in this section may not differ from the Concept Note. It should consist of both a brief introduction to the action as well as a more detailed elaboration of the information described in the concept note.

• Identify and describe in detail each activity (or work package) to be undertaken to produce results, justifying the choice of activities and specifying the role of each co-applicant and affiliated entity (and associates or contractors or recipients of financial support where applicable) in the activities. Do not repeat the action plan to be provided

9 The full application is composed of this full application form, the budget (Annex B) and the logical framework (Annex C).
10 When the Contracting Authority has evaluated the concept note it informs the lead applicant of the outcome and allocates a proposal number.
11 The evaluation committee will refer to information provided in the concept note as regards objectives and the relevance of the action.

in section 2.1.3, but demonstrate coherence and consistency of project design. In particular, list any publications proposed.

This section is about ‘what you want to do’. You must address the question ‘who does what and how’ and what will the outputs be. A high level of detail is required.

It is advisable to title and organize each activity in correspondence with the logical framework, action plan and budget. This will make it easier for the evaluator to navigate the different parts of the proposal.

Prior to describing the individual activities, you should dedicate some space to explain the corresponding result and how it contributes to the overall objective.

For each activity, you should insert the following information:

• Title

• Detailed narrative describing the activity

• Justification for the activity. Explain why this activity is necessary to address the problems and achieve the corresponding result

• Description of the role of the different stakeholders i.e. Lead applicant, Co-Applicant(s), Affiliated Entity(ies) and others

• The number of the target group(s) and final beneficiaries and how this activity will help improve their situation

• Outputs: For instance publications, buildings, training material etc.

• If there is a possibility for replication and extension of the results of the action, you should mention this. An example could be a website, dissemination of the publications or training of trainers (who will train others = multiplier effect). This can potentially account for 5 points in the evaluation grid.

For example, what kind of training will you provide, for how many people and what is the output and expected result? What specific skills will be taught and what kind of follow up activities are planned?

• If financial support is allowed by the guidelines for applicants, lead applicants wishing to give financial support to third parties must define, in line with the conditions set by the guidelines for applicants the objectives and results to be obtained with financial support, the different types of activities eligible for financial support, on the basis of a fixed list, the types of entity eligible or categories of persons which may receive financial support, the criteria for selecting these entities and giving the financial support, the criteria for determining the exact amount of financial support for each third entity, and the maximum amount which may be given.

In addition to the information required to describe the activity as outlined above, applicants are advised to add a table for the activities covering financial support to third parties and include the following information:

• the objectives and results to be obtained with the financial support

• the different types of activities eligible for financial support

• the types of entity eligible or categories of persons which may receive financial support

• the criteria for selecting these entities and giving the financial support, including the modalities through which the financial support is granted (e.g. following a call for proposals, direct award etc.).

• the criteria for determining the exact amount of financial support for each third entity

• the maximum amount which may be given

• the list of supporting documents. Examples include: contract with third party; monitoring reports; evaluation report – indicate for example that disbursements will take place on the basis of the reports; it is clear if it is linked to an activity– payment when the activity is done, etc.

It is important to check the specific guidelines of the call as the criteria outlined for financial support to third parties may be different from call to call.

As standard practice, the specific conditions (grant contract) will refer to the application form, especially the content of this section.

In some cases the information provided in this paragraph will be copied in the specific conditions.

Only for restricted calls for proposals:

• Describe/highlight eventual changes of the information provided in the concept note

2.1.2 Methodology (max 5 pages)

Describe in detail:

• The methods of implementation and rationale for such methodology;

In this section, the applicant should explain the methodologies, using reference to its organisation's policy document, or international, national or other organisations' protocols for operations. Provide reference to policy documents but also success stories from experiences where such methodology has been implemented. You should show that you are using tested best practices. It's also important to show that you are abiding by internationally accepted standards, and what you aim to use in the context of this action. You can also refer to relevant EuropeAid policy documents http://ec.europa.eu/europeaid/sectors/sectors_en

This is also the place where you show that the methodology is adapted to the local / national context. Is your methodology accepted by the national / local stakeholders? This is where you indicate how you can state that the methodology is accepted by the stakeholders in your project.

In case there are economical or logistical reasons why this methodology is adapted and recommended, explain in terms of cost, quality, access, timing of intervention… This will lead you to state how this methodology is sustainable, and can be further implemented by project' stakeholders after the project ends.

• Where the action continues a previous action, describe how the action is intended to build on the results of the previous action (give the main conclusions and recommendations of any evaluations carried out);

Don't hesitate to share your evaluations of previous actions. Even if these documents are often not published (grey literature), they are relevant to us as implementers, and should be used. In this case, we should ideally ensure that evaluations are made accessible to the reader of our proposal (provide a link, or put an email address of a colleague who can send the report).

This is where you should share the main conclusions and recommendations of ex-post evaluations that have been contacted to assess the previous intervention. In case there is no previous intervention, you should use evaluations of similar interventions in other countries with comparable contexts.

It's important to show here, not only that you have read the evaluation's results, but that you are integrating the recommendations in the design of your intervention.

• Where the action is part of a larger programme, explain how it fits or is coordinated with this programme or any other possibly planned project (please specify potential synergies with other initiatives, in particular by the European Union);

How does your project interact with other existing projects? The EU is primarily concerned with the coordination with its ongoing projects. The EC fears duplication, and inconsistency. You need to conduct enough desk research to identify existing projects, show that you acknowledge them, and that you are willing to adjust your activities to theirs. One way to do this is to include project managers of other similar interventions in the same geographical area in the steering committee of your project. To find out more about other projects financed by the EU in the relevant area, you can consult the following sources:

- The EuropeAid task manager / project manager / head of section at the local EU Delegation (outside of calls for proposals)
- The website of the local EU Delegation
- The National Indicative Programme / country support scheme for the country and the country's Annual Action Programme.

• The procedures for follow up and internal/external evaluation;

Monitoring: in a good proposal you will have explained your monitoring system: who is in charge of the monitoring? What kind of system are you planning to use? A participatory approach is always welcome. For instance, if you are developing health services, then a good way to receive feedback from the beneficiaries is to ask them, right after they have used the services, to assess the service: is it better than before? Is the waiting time shorter? Did you manage to come only once, or did you have to come twice to receive the services? Having a mechanism to get feedback from beneficiaries imbedded in the monitoring system is an asset. Make sure there is a strong link between the logical framework and this section: indicators from the logical framework to be monitored – promote results based monitoring. The monitoring system should also include risk monitoring.

Evaluation: there is a specific budget line for evaluation, and it is recommended to have an external evaluator. The evaluation should be integrated in the action plan, the logical framework and the budget.

• The role and participation in the action of the various actors and stakeholders (co-applicant(s), affiliated entity(ies), target groups, local authorities, etc.), and the reasons why these roles have been assigned to them;

Provide information on the proposed management of the action at the various stages (who will do what): needs assessment, financial and administrative management, implementation of activities, overseeing partnerships, technical assistance, care and maintenance of structures, partner capacity building, monitoring and evaluation of activities, reporting etc.

Try to have a project steering committee, to ensure equal participation of partners (applicants, co-applicants, associates) including key stakeholders such as local authorities, local NGOs or other relevant stakeholders like patient association, or representatives of beneficiaries if appropriate.

Insist upon the quality of partners and associates: from the point of view of knowledge of the issues to be addressed, experience in the country and project management experience, also look at the proximity with the target groups and beneficiaries. Quality of partners also depends on the quality of the relationships with stakeholders and beneficiaries.

Ensure full partnership: involvement in all stages of the action, segregation of duties, seniority relationships and mutual knowledge sharing. The EU doesn't appreciate supporting intermediaries. This means that you need to show how each applicant, co-applicant has an active role to play in the project.

Don’t forget that your target groups and beneficiaries are also part of this action, and as such have a role to play at all stages in your project. This is an essential aspect of a winning proposal. The same thing applies to stakeholders such as local authorities, professional associations, even if they are not co-applicants or associates to your project. The EU doesn’t want to support a project that is isolated from key stakeholders, or that doesn’t make the link between service providers and service users.

• The organisational structure and the team proposed for the implementation of the action (by function: there is no need to include the names of individuals);

Provide a brief description of the staff required for the proposed action. You can use a table, or even an organisational chart here. What you need is:

- The functions of personnel to be employed under the action (managerial, financial, administrative, operational, technical, etc.)
- The qualifications, experience and special skills required for the action for specific technical staff (not for all)
- Status (national and/or international staff)
- Specify any cases where staff will not be 100% dedicated to the project (part time work, or spread over several actions)
- Specify the coordination modalities between the field and Head Office
- Ensure coherence with the information provided in the logical framework under ‘means’, and in the budget.

• The main means proposed for the implementation of the action (equipment, materials, and supplies to be acquired or rented);

It is recommended to present the following information in the form of a table:

Equipment	Mode of acquisition	Cost	Place of use	Comments
	Rental, purchase			
	Depreciation, donation			

Comments: any unusual purchases or those whose cost may seem prohibitive should always be justified. Justifications may include: necessary to achieve the purpose and expected results; high quality; faster delivery time; superior durability guarantees; supplier monopoly; ethical provider (higher price but guaranteed ethical standards, environmental, social, etc.)

Ensure coherence with the information provided in the logical framework under ‘means’, and in the budget.

• The attitudes of all stakeholders towards the action in general and the activities in particular;

Undertake a stakeholder analysis, including final beneficiaries, target groups, as well as local authorities, CSOs, CBOs, users’ groups, patient associations…

Type of stakeholder	Interests/how they are affected by the problem	Motivation for change	Capacity to influence change	Planned contribution to the project

• The planned activities in order to ensure the visibility of the action and the EU funding.

Indicate the following information: general communications strategy, communication activities, indicators, and human and financial resources required (Note: a minimum of 1% of eligible costs of the action /a minimum of EUR 1,000 should be budgeted for visibility). Ideally, there should be a communication and visibility plan integrated in the action plan, logical framework (specific visibility activities are integrated with other activities) and budgeted. The following should be included in your communication and visibility plan: general communication strategy, communication activities, indicators, human and financial means.

Also keep in mind that each EU Delegation has a press and communication officer, who should be contacted before any significant visibility / communication activity. If in your organisation, the proposal writer is different from the project manager, I would recommend this is written in the proposal.

Refer to the Visibility manual: Communication_and_visibility_manual

At the time of project design, you might want to consider alternative methods that go a bit beyond the stickers and project plaques. Drawing competition, theatre for development, radio messages… Visibility doesn't have to be always the same!

2.1.3 Indicative action plan for implementing the action (max 4 pages)

Applicants should not give a specific start-up date for the implementation of the action but simply refer to 'month 1', 'month 2', etc.

It is recommended to base the estimated duration of each activity and the total period on the most probable duration and not on the shortest possible duration, by taking into consideration all relevant factors that may affect the implementation timetable.

The activities stated in the action plan should match those described in detail in section 2.1.1. The implementing body must be either the lead applicant, co-applicant(s) or any of the affiliated entity(ies), associates or contractors. Any months or interim periods without activities must be included in the action plan and count toward the calculation of the total estimated duration of the action.

The action plan for the first 12 months of implementation should be sufficiently detailed to give an overview of the preparation and implementation of each activity. The action plan for each of the subsequent years may be more general and should only list the main activities proposed for those years. To this end, it must be divided into six-month periods (NB: A more detailed action plan for each subsequent year must be submitted before any new pre-financing payments are received under Article 4.1 of the Special Conditions of the grant contract).

The action plan will be drawn up using the following format:

Year 1													
	Half-year 1						**Half-year 2**						
Activity	Month 1	2	3	4	5	6	7	8	9	10	11	12	Implementing body
Example	example												Example
Preparation Activity 1 (title)													co-applicant and/or affiliated entity
Execution Activity 1 (title)													co-applicant and/or affiliated entity
Preparation Activity 2 (title)													co-applicant and/or affiliated entity

For the following years:								
Activity	Half-year 3	4	5	6	7	8	9	10	Implementing body
Example	Example								Example
Execution Activity 1 (title)									co-applicant and/or affiliated entity
Execution Activity 2 (title)									co-applicant and/or affiliated entity
Preparation Activity 3 (title)									co-applicant and/or affiliated entity
Etc.									

2.1.4 Sustainability of the action (max 3 pages)

Reminder: Sustainability accounts for 15 points in the evaluation of your proposal. The key questions are:

Is the action likely to have tangible impact on its target groups? (5 points)

Is the proposal likely to have multiplier effects? (Including scope for replication, extension and information sharing.) (5 points)

Are the expected results of the proposed action sustainable? (5 points)

- financially (how will the activities be financed after the funding ends?)

- institutionally (will structures allowing the activities to continue be in place at the end of the action? Will there be local ‘ownership’ of the results of the action?)

- 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?)

- environmentally (if applicable) (will the action have a negative/positive environmental impact?)

Provide **all the** information requested below:

• Describe the expected impact of the action with quantified data where possible, at technical, economic, social, and policy levels (will it lead to improved legislation, codes of conduct, methods, etc.?).

Always use the logical framework information first to fill in this section. You should then demonstrate how the benefits for the target groups will have a larger effect on a wider population. This is partly where you can make the link between your specific objective and the global objective. How does reaching the specific objective contribute to reaching your global objective?

Don't forget to consider the various aspects:

- Technical;
- Economic and financial;
- Social;
- Policy level.

• Describe a dissemination plan and the possibilities for replication and extension of the action outcomes (multiplier effects), clearly indicating any intended dissemination channel.

A dissemination plan should comprise:

- What is going to be disseminated: is it a specific methodology? Publication from the project such as evaluation, training material? Or success stories from target groups? This should be thought as part of your capitalization plan for the project.

- How are you going to disseminate it? Events at national, provincial, district or village level? Sharing through website / social media, or organizing stakeholder roundtables or debates so that other stakeholders can integrate the methodology and replicate it?

- Why are you disseminating? So that other local actors integrate the methodology and take ownership and use it themselves? (this is always appreciated and should be thought of from the beginning of a project) For visibility and communication purpose? (then, this is part of your visibility plan) Is it so that the Government takes over the training materials and uses them for the ministry staff? (highly appreciated by the Commission)

Thanks to the dissemination plan, you will be able to assess the potential for replication: by whom, where, with what kind of support from your organization?

Multiplier effects are not only those effects due to your dissemination and replication plan. They are also linked to your action. In case you are using a cascade system of training: training trainers of trainers, then supporting those to train trainers, who will further train target groups, then the target group that has been trained are themselves also potentially sharing what they have learned with others in their community. Therefore, if a trainer has trained 20 women in a village, these 20 women will go and talk to at least 5 other women each. Therefore, your multiplier effect is easily quantifiable in this case: if 2 000 women have been trained, then you can consider that the multiplier effect of the training and sharing what has been learned ensures that at least 10 000 women are concerned.

• Provide a detailed risk analysis and contingency plan. This should include a list of risks associated with each proposed action, accompanied by relevant mitigation measures. A good risk analysis will include a range of risk types including physical, environmental, political, economic and social risks.

On the basis of what is indicated in the log frame in terms of risk, you need to show here that main risks have been identified, assessed and are acceptable. Risks should include physical, environmental, political, economic and social risks. For each risk indicated in the logical framework, you need to ask yourself the question: is this a fatal assumption? Make sure you look at your own logical framework with a very critical eye.

For instance, if an identified risk is the willingness (or not) of political stakeholders at district level, to become active in the project, and if in your activities, you have made it clear that your key stakeholder is the district government, then this could be a fatal assumption: in case the district government refuses to collaborate, your project can't be implemented or can't reach the expected results.

For each risk identified, you should have a mitigation plan. You could use a table to fill in this section:

Risk	Likelihood	Influence on the action	Mitigation measure

• Describe the main preconditions and assumptions during and after the implementation phase.

Proceed as above for the preconditions and assumptions.

• Explain how the action will be made sustainable after completion. This may include necessary follow-up activities, built-in strategies, ownership, communication plan, etc. Distinguish between four types of sustainability:

(a) Financial sustainability: e.g. financing of follow-up activities, sources of revenue for covering all future operating and maintenance costs.

In case your project has set up new health services, and the project has paid the health workers, who is going to pay the salaries of eth health workers after the end of the project?

In case you have trained trainers, who is going to pay them as trainers, to train other groups of people, after the end of the project?

In this section, make sure you refer to very practical aspects of your activities, and indicate how these aspects will be dealt with in a very concrete way.

(b) Institutional sustainability: e.g. structures that would allow the results of the action to continue to be in place after the end of the action, capacity building, agreements and local 'ownership' of action outcomes.

A participatory approach is usually key to sustainability. Having traditional, local authorities as well as community based organizations, women groups… involved at all stages of your project is an asset. Within your project implementation duration, you could also have an inbuilt transfer of responsibility to local stakeholders, as a way to guarantee institutional sustainability.

In case you have conducted some training activities, the involvement of the concerned ministry is important: the government could become the ones promoting and using further the training materials, within the ministry, thus making it systematic for the staff to be trained on nutrition for instance.

(c) Policy level sustainability: e.g., where applicable, structural impact (improved legislation, consistency with existing frameworks, codes of conduct, or methods).

What is planned in this project in terms of policy work? This is not limited to designing new policies. Most third countries where we intervene have appropriate policy frameworks. The weaknesses often lie in the policy dissemination and implementation.

What is the project planning to do in terms of communication on existing policies or to promote policy implementation?

(d) Environmental sustainability: what impact will the action have on the environment — have conditions been put in place to avoid negative effects on the natural resources on which the action depends and on the broader natural environment?

This is not only about avoiding printing your reports, not using plastic when binding the proposal, or using internet and social media to communicate to avoid printing.

It is also about the environmental impact of your activities. In case you are planning to build a water earth dam for rain water harvesting, what will be the impact of building it? In case you are planning to build anything, make sure you have planned an environmental impact assessment in your action plan and budget.

In a health project, your environmental impact might be linked to the safe storage and destruction of medical waste.

In a rural development project, you should mainstream adaptation to climate change and preservation of natural resources throughout your project activities.

Mainstreaming the environmental aspect can help you think at all stages of what your environmental impact could be, and review the intervention in case it seems it could have a negative impact.

2.1.5 Logical Framework

Please fill in Annex B[12] to the guidelines for applicants.

Please refer to the guidance note on the new logical framework template in Annex I to this guidance note.

2.1.6 Budget, amount requested from the Contracting Authority and other expected sources of funding

Please fill in Annex C to the guidelines for applicants.

Please refer to the budgeting guidelines in Annex II to this guidance note.

Fill in Annex B to the guidelines for applicants to provide information on:

• the budget of the action (worksheet 1), for the total duration of the action and for its first 12/if more specify months;

• justification of the budget (worksheet 2), for the total duration of the action, and

• amount requested from the Contracting Authority and other expected sources of funding for the action for the total duration (worksheet 3).

For further information, see the guidelines for applicants (Sections 1.3, 2.1.4).

[Where the guidelines for applicants allow the Contracting Authority to finance the action in full, you must justify any request for full financing by showing that it is essential to carry out the action.]

[Please list below the contributions in kind to be provided (please specify), if any (maximum 1 page).]

Please note that the cost of the action and the contribution requested from the Contracting Authority must be stated in EUR

12 Explanations can be found at the following address: http://ec.europa.eu/europeaid/prag/annexes.do?group=E

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Key: **NP** National Platform Member, **NW** Network Member, **AS** Associate Member

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NW Network Member
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NP CONCORD Belgium
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NP Malta: SKOP
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NW Oxfam International
NW Plan International
NP Poland: Grupa Zagranica
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www.concordeurope.org

Twitter: @Concord_Europe

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CONCORD a. i.s.b.l: 10 Rue de l'Industrie – 1000 Brussels, Belgium

Tel.: +32 2 743 87 50 – Fax: + 32 2 732 19 34

European NGO confederation for relief and development
CONCORD
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