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*“Siz Düşünün, Biz Gerçekleştirelim...”*

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[info@kipu.com.tr](mailto:info@kipu.com.tr)

<http://www.kipu.com.tr>

**Merkez.** 273/5 Sok. No:22 Özkanlar - Bornova İzmir  
Tel. 90 232 347 06 90 ■ Faks: 90 232 347 06 90

**Denizli Ofis.** Sırapapılar Mah. 1581/3 Sok. Denizli  
Tel. 90 258 264 91 82 ■ Faks: 90 258 264 91 82

**Ofis Cep Tel.** 0 541 258 5478

info@kipu.com.tr ■ denizli@kipu.com.tr  
<http://www.kipu.com.tr>

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## **Central Finance and Contracts Unit**

# **Civil Society Dialogue -** **Istanbul 2010 European Capital of Culture**

Guidelines  
for grant applicants

EuropeAid/129068/D/ACT/TR

Budget line: BL 22.02.01

Reference: TR0803.03

Deadline for submission of proposals: 2 December 2009

Istanbul 2010 European Capital of Culture Agency is  
responsible for the implementation of  
this programme

CFCU is the Contracting Authority  
of this programme

## **Notice**

This is an open Call for Proposals, where all documents are submitted at one stage (Concept Note and full proposal). However, in the first instance, only the Concept Notes will be evaluated. Thereafter, for the applicants, whose Concept Notes have been pre-selected, evaluation of the full proposal will be carried out. Further to the evaluation of the full proposals, 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.

# Table of contents

<b>1. THE CIVIL SOCIETY DIALOGUE -ISTANBUL 2010 EUROPEAN CAPITAL OF CULTURE</b>	<b>5</b>
1.1 Background.....	5
1.2 Objectives of the programme and priority issues .....	6
1.3 Financial allocation provided by the contracting authority .....	6
<b>2. RULES FOR THIS CALL FOR PROPOSALS</b>	<b>7</b>
2.1 Eligibility criteria.....	7
2.1.1 Eligibility of applicants: who may apply?.....	7
2.1.2 Partnerships and eligibility of partners.....	8
2.1.3 Eligible actions: actions for which an application may be made.....	8
2.1.4 Eligibility of costs: costs which may be taken into consideration for the grant .....	10
2.2 how to apply and the procedures to follow.....	12
2.2.1 Application form.....	12
2.2.2 Where and how to send the Applications .....	12
2.2.3 Deadline for submission of Applications .....	13
2.2.4 Further information for the Application.....	13
2.3 Evaluation and selection of applications .....	14
2.4 Submission of supporting documents for provisionally selected applications .....	18
2.5 Notification of the Contracting Authority's decision .....	20
2.5.1 Content of the decision.....	20
2.5.2 Indicative time table .....	20
2.6 Conditions applicable to implementation of the action following the Contracting Authority's decision to award a grant .....	21
<b>3. LIST OF ANNEXES</b>	<b>22</b>
Project Cycle Management Guidelines .....	21

# 1. THE CIVIL SOCIETY DIALOGUE -ISTANBUL 2010 EUROPEAN CAPITAL OF CULTURE

## 1.1 BACKGROUND

European Capital of Culture is a project launched by European Union to highlight the wealth, variety and shared characteristics of European culture and to contribute to improving the mutual knowledge of European citizens. After it has been adopted by the Council of Ministers and European Parliament every year first one, then a multitude of cities has been designated as European Capital of Culture (ECoC) with the Decision 1419/1999/EC<sup>1</sup>. The decision taken in 2000 enabled the title of European Capital of Culture to be extended to include cities in countries that were not members of the European Union during the period 2005-2019.

This created the opportunity for Istanbul to apply for the title of European Capital of Culture 2010. Istanbul is a fast –changing metropolis with all problems and challenges associated with such large urban forms in developing countries. It is the unofficial capital city in terms of the creative energy and transformative dynamism it generates as a result of being the centre of finance, media, culture and communications and the service industries of Turkey. But at the same time, it is an urban phenomenon of huge contrasts and tensions as a result of the devastating experience of the last three decades of internal and external migrations, economic transformation, and exposure to global financial and speculative flows and growing disparities in wealth and access to resources.

In 2000, the Initiative Group, composed of 13 non-governmental associations and representatives of local government, under the coordination of the Istanbul Foundation for Culture and Arts, began to work on Istanbul becoming European Capital of Culture. This was a totally bottom-up process.

The Turkish Foreign Ministry officially placed Istanbul's bid to become the 2010 ECoC in a letter to the European Commission in 2003 and the Turkish Prime Ministry, in a circular dated 17 March 2005, called upon relevant governmental and non-governmental bodies to support this bid. The Initiative Group applied, with the support of the Prime Ministry, the Ministry for Foreign Affairs, the Ministry for Culture and Tourism, the Istanbul Governorate, the Istanbul Metropolitan Municipality Mayor's Office. The bid document, entitled "Istanbul: City of the Four Elements" was presented to the European Commission General Directorate for Education and Culture in Brussels on 13 December 2005. Upon the Selection Panel's recommendation in line with Decision 1419/1999/EC was ratified by the European Parliament and EU Council of Ministers, on 13 November 2006, Istanbul was declared ECoC for 2010 along with Germany's Essen and Hungary's Pecs.

The draft law to guarantee the necessary funds and create the legal grounds for the establishment of "Istanbul 2010 ECoC Agency" gained Turkish Council of Ministers approval in April 2007 and was enacted on 13 November 2007.

Currently, Istanbul 2010 ECoC Agency is the institution responsible for the coordination and the management of Istanbul 2010 ECoC activities. In order to give support to this project, European Commission allocated 1.500.000 € as a grant scheme under 2008 programming in the framework of Instrument for Pre-accession (IPA) and EUR 78.900 is allocated by Istanbul 2010 EcoC Agency.

The aim of IPA assistance to Turkey is to support the EU pre-accession strategy adopted in the conclusions of the European Council of December 2004, and corresponds to three objectives: progress towards fully meeting the Copenhagen political criteria, adoption and implementation of the *acquis communautaire*, and promotion of an EU-Turkey Civil Society Dialogue.

In addition to contributing to Istanbul 2010 activities, this grant scheme project will strengthen the role of civil society initiatives at the local level and help form multilateral partnerships between the European Union and Turkey in the field of arts and culture. Ultimately these partnerships will result

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<sup>1</sup> <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2006:324:0007:0007:EN:PDF>

in transfer of knowledge, formation of networks and implementation of creative projects in the field of culture and arts.

Istanbul 2010 ECoC Agency is the beneficiary of this grant scheme project responsible for the technical implementation and overall coordination of monitoring of the grants awarded. The Central Finance and Contracts Unit is the contracting authority responsible for the tendering, contracting and payments.

## **1.2 OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES**

The global objective of this Call for Proposals is to enhance Istanbul's role as a cultural catalyst amongst its geopolitical neighbours, strengthening bonds and fostering sustainable collaboration amongst artistic and cultural milieu between Europe and Turkey.

The specific objective of this Call for Proposals is: to support artistic and cultural projects in order to help Istanbul 2010 European Capital of Culture to fulfill its role on its way towards 2010 and demonstrate its cultural legacy and its cultural capacity in building up the metropolis' future.

**In line with the overall and specific objectives all types of actions supported under this programme should promote Civil Society Dialogue between Turkey and EU in culture and arts under the following priorities which are equal rank:**

- 1. Promoting networking activities and sustainable partnerships,**
- 2. Awareness rising, facilitating dialogue and mutual understanding,**
- 3. Promoting innovative initiatives, ideas and productions**

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

The overall indicative amount made available under this call for proposals is EUR 1.578.900. EUR The Contracting Authority reserves the right not to award all available funds.

### Size of grants

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

- **minimum amount: EUR 50.000**
- **maximum amount: EUR 150.000**

A grant may not be for less than 50 % of the total eligible costs of the action.

In addition, no grant may exceed 90% of the total eligible costs of the action (see also section 2.1.4). The balance must be financed from the applicant's or partners' own resources, or from sources other than the European Community budget or the European Development Fund.

## 2. RULES FOR THIS CALL FOR PROPOSALS

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

<b>2.1.1 Eligibility of applicants: who may apply?</b>
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(1) In order to be eligible for a grant, applicants **must**:

- be legal persons **and**
- be non profit making **and**
- be non-governmental organizations (NGOs)<sup>2</sup> operating in the field of culture and arts<sup>3</sup>, **and**
- be nationals<sup>4</sup> of a Member State of the European Union<sup>5</sup> and Turkey **and**
- be directly responsible for the preparation and management of the action with their partners, not acting as an intermediary **and**
- have technical, managerial and financial capacity to ensure the continuity of their organization of their project, and play a part financing it.

(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** (Grounds for Exclusion-Page:15) to contract procedures for EC external actions (available from the following Internet address: [http://ec.europa.eu/europeaid/work/procedures/implementation/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm));

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<sup>2</sup> Non-governmental organization is an organization:

- which are independent of the state as regards to its establishment and/or appointment of its personnel and administrators.;
- which has an autonomous and democratic structure in its financial and administrative affairs;
- which is a non-profit legal entity.

- Under these circumstances, associations, foundations meeting these criteria may apply to this Call for Proposal  
Non-profit companies and non profit cooperatives can not apply to this Call for Proposal.

<sup>3</sup> NGOs operating in the field of culture and arts must demonstrate that the thematic area (culture and arts) of the submitted project is within the working field of the organization as mentioned in its statutes or articles of association.

<sup>4</sup> 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.

<sup>5</sup> The list of member states can be accessed from [http://europa.eu/abc/european\\_countries/eu\\_members/index\\_en.htm](http://europa.eu/abc/european_countries/eu_members/index_en.htm)

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

### 2.1.2 Partnerships and eligibility of partners

**Applicants must act with partner organisations as specified hereafter.**

Partners

**As a pre-condition,** applicants from Turkey should have one eligible partner from EU Member States<sup>6</sup> and applicants from EU Member States should have one eligible partner from Turkey in order to foster EU-Turkey Civil Society Dialogue.

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 IV - “Associates of the Applicant Participating in the Action” of the Grant Application Form.

- Subcontractors

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

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

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

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

Duration

**The planned duration of an action may not be lower than 9 months nor exceed 12 months.**

Sectors or themes

The action proposals must fall under at least one of the priorities of the programme described in section 1.2 of these guidelines.

The programme may support activities in the following thematic areas:

1. Visual Arts
2. Music and Opera

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<sup>6</sup> See footnote 5.

3. Theatre and Performing Arts
4. Literature<sup>7</sup>
5. Urban Culture
6. Traditional Arts
7. Cinema, Documentary, Animation
8. Participation to Planning and New Urban Experiences in Architecture
9. Common Cultural Heritage<sup>8</sup>

In accordance with the objectives and priorities of this programme applicants may present proposals which cover one or more of the priority thematic areas.

#### Location

Actions must take place in one or more of the following countries: Turkey (only Istanbul) and EU member states or candidate countries where the partner(s) of the project is/are located.

#### Types of action

Proposed action (project) should fall in one or more of the priority areas under the field of culture and arts serving to EU-Turkey Civil Society Dialogue:

1. Promoting networking activities and sustainable partnerships,
2. Awareness rising, facilitating dialogue and mutual understanding,
3. Promoting innovative initiatives, ideas and productions

Grants will be made available for the following types of actions:

- Promotion of the transnational mobility of cultural and artistic operators,
- Support for the transnational circulation of cultural and artistic of works and products,
- Promotion of exchange of knowledge and best practices in the field of art and culture,
- Other relevant actions in line with the priorities listed above

#### Types of activity

The projects may include but are not limited to the following activities:

Activities listed under this paragraph will only be considered as eligible if they are part of a comprehensive application.

- festivals,
- fairs/carnivals,
- exhibitions,
- performing arts,
- concerts,
- documentaries,
- congress, conferences, seminars, symposiums, workshops,

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<sup>7</sup> No funding will be provided for literary translations.

<sup>8</sup> Projects promoting common cultural heritage will be supported,, whereas restoration projects will not be funded under this theme.

- competitions and award ceremonies,
- celebrations,
- art collections,
- theatre plays,
- rambling organizations,
- other relevant activities in line with the above mentioned actions.

The following types of action are ineligible:

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences, congresses;
- actions concerned only or mainly with individual scholarships for studies or training courses;
- profit-making activities;
- actions of partisan nature or linked to political parties;
- charitable donations;
- one-off actions such as conferences, round tables, seminars or similar events. These actions can only be funded if they form part of a wider project. For this purpose, preparatory activities for a conference and the publication of proceedings do not in themselves constitute such a wider project;
- projects which fall within the general activities of competent state institution or state administration services, including local government;
- projects with provisions for financing the usual (routine) activities of the local organizations, especially covering their operational costs;
- academic research and feasibility studies (unless part of a broader project);
- long term operational costs;
- commercial activities of organizations;
- re-granting the funds as grants or scholarships;
- actions purely aimed at equipment procurement.

#### Number of applications and grants per applicant

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

Partners may not take part in more than one application.

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

Only "eligible costs" can be taken into account for a grant. 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 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 F of the Guidelines).

**Important Note 1:** Purchase for equipment and supplies specifically for the purposes of the action should be limited to **15 %** of the total eligible cost of the action.

#### Contingency reserve

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

#### Eligible indirect costs (overheads)

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

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

#### Contributions in kind

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

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

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

#### Ineligible costs

The following costs are not eligible:

- debts and provisions for losses or debts;
- interest owed;
- items already financed in another framework;
- purchase and rent of land and existing buildings
- any leasing costs
- bank charges, costs of guarantees and similar charges;
- conversion costs, charges and exchange losses associated with any of the component specific euro accounts, as well as other purely financial expenses;
- taxes including VAT
- purchase of second hand equipment;
- depreciation costs;
- fines, financial penalties and expenses of litigation;
- bank charges, costs of guarantees and similar charges;
- contributions in kind;
- customs and import duties, or any other charges.
- credit to third parties

**Important Note 2: Public officials can not be employed nor they can be paid any salary within the context of this project except when:**

- the cost of these staff assigned to the Action is considered as **co-financing** in the Budget of the Action when paid by the Beneficiary or his partners if they get necessary permissions from their institutions and they are under the payroll of the Beneficiary or his partners or,
- they are **on unpaid leave** from their institution.

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

### **2.2.1 Application form**

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

Applicants must apply in English.

Any error or major discrepancy related to the points listed in the instructions on the Concept Note or any major inconsistency in the application form (e.g. the amounts mentioned in the budget are inconsistent with those mentioned in the application form) 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 application form and the published annexes which have to be filled in (budget, logical framework) will be evaluated. It is therefore of utmost importance that these documents contain ALL relevant information concerning the action. No additional annexes should be sent.

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

Applications must be submitted in one original and 2 copies in A4 size, each bound. The complete application form (part A: concept note and part B: full application form), budget and logical framework must also be supplied in electronic format (CD-Rom) in a separate and unique file (e.g. the application form must not be split into several different files). The electronic format must contain **exactly the same** application as the paper version enclosed.

The Checklist (Section V of part B the grant application form) and the Declaration by the applicant (Section VI of part B of the grant application form) must be stapled separately and enclosed in the envelope

The outer envelope must bear the **reference number and the title of the call for proposals**, together with **“TR0803.03, Civil Society Dialogue - Istanbul 2010 European Capital of Culture”**, the full name and address of the applicant, and the words "Not to be opened before the opening session" and "Açılış toplantısından önce açmayınız".

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

Central Finance and Contracts Unit  
Mr. Muhsin Altun (PAO-CFCU Director)  
Eskişehir Yolu 4.Km 2.Cad.  
(Halkbank Kampüsü) No: 63 C-Blok  
06580 Söğütözü / Ankara / TURKEY

Reference: **TR0803.03, Civil Society Dialogue - Istanbul 2010 European Capital of Culture**

Address for hand delivery or by private courier service

Central Finance and Contracts Unit  
Mr. Muhsin Altun (PAO-CFCU Director)  
Eskişehir Yolu 4.Km 2.Cad.  
(Halkbank Kampüsü) No: 63 C-Blok  
06580 Söğütözü / Ankara / TURKEY

Reference: **TR0803.03, Civil Society Dialogue - Istanbul 2010 European Capital of Culture**

Applications 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 application is complete using the checklist (section V of part B of the grant application form). Incomplete applications may be rejected.**

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

The deadline for the submission of applications is **2 December 2009** 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 **2 December 2009, at 16:00** as evidenced by the signed and dated receipt. Any application submitted after the deadline will automatically be rejected.

However, for reasons of administrative efficiency, the Contracting Authority may reject any application received after the effective date of approval of the first evaluation step (i.e. Concept Note) (see indicative calendar under section 2.5.2)

**2.2.4** *Further information for the Application*

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

E-mail address: **istanbul2010@cfcu.gov.tr**

Fax: +90 312 286 70 72

Replies will be given no later than 11 days before the deadline for the submission of applications. The Contracting Authority has no obligation to provide further clarifications after this date.

In the interest of equal treatment of applicants, the Contracting Authority does not 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, will be published on the internet at the EuropeAid website: <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>, <http://www.cfcu.gov.tr>, <http://www.istanbul2010.org>, Clarifications issued only by the CFCU are binding.

## **2.3 EVALUATION AND SELECTION OF APPLICATIONS**

Applications will be examined and evaluated by the Contracting Authority with the possible assistance of external assessors. All actions submitted by applicants will be assessed according to the following steps and criteria:

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

### **(1) STEP 1: OPENING SESSION AND ADMINISTRATIVE CHECK**

The following will be assessed:

- The submission deadline has been respected. If the deadline has not been respected the application will automatically be rejected.
- The Application Form satisfies all the criteria specified in points 1-5 of the Checklist Section V 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.

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

### **(2) STEP 2: EVALUATION OF THE CONCEPT NOTE**

The evaluation of the Concept Notes that have passed the first administrative check will cover the relevance of the action, its merits and effectiveness, its viability and sustainability. The Contracting Authority reserves the right not to undertake the evaluation of the Concept Notes whenever considered justified (for example when a less than expected number of applications are received) and to go straight to the evaluation of the corresponding full applications.

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

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

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.

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

\*the scores are multiplied by 2 because of their importance

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

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

Secondly, the list of Concept Notes will be reduced in accordance to the ranking to those whose sum of requested contributions amounts to twice the available budget for this Call for proposals, taking into account the indicative financial envelopes foreseen by lot. The Evaluation Committee will subsequently proceed with the applicants whose proposals have been pre-selected.

### **(3) STEP 3: EVALUATION OF THE FULL APPLICATION**

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

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

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

**The award criteria** allow the quality of the 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 and guarantee the visibility of the Community financing (see

[http://ec.europa.eu/europeaid/work/visibility/index\\_en.htm](http://ec.europa.eu/europeaid/work/visibility/index_en.htm)). 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
<b>1. Financial and operational capacity</b>	<b>20</b>
1.1 Do the applicant and, if applicable, partners have sufficient <b>experience of project management</b> ?	5
1.2 Do the applicant and, if applicable partners have sufficient <b>technical expertise</b> ? (notably knowledge of the issues to be addressed.)	5
1.3 Do the applicant and, if applicable, partners have sufficient <b>management capacity</b> ? (including staff, equipment and ability to handle the budget for the action)?	5
1.4 Does the applicant have stable and sufficient sources of <b>finance</b> ?	5
<b>2. Relevance</b>	<b>25</b>
2.1 How relevant is the proposal to the <b>objectives</b> and one or more of the <b>priorities</b> of the call for proposals? Note: A score of 5 (very good) will only be allocated if the proposal specifically addresses at least <b>one priority</b> . Note: A score of 5 (very good) will only be allocated if the proposal contains specific added-value elements, such as promotion of gender equality and equal opportunities...	5 x 2
2.2 How relevant to the particular <b>needs and constraints</b> of the target country/countries or region(s) is the proposal? (including synergy with other EC initiatives and avoidance of duplication.)	5
2.3 How clearly defined and strategically chosen are those involved (final beneficiaries, <b>target groups</b> )? Have their <b>needs</b> been clearly defined and does the proposal address them appropriately?	5 x 2
<b>3. Methodology</b>	<b>25</b>
3.1 Are the <b>activities</b> proposed appropriate, practical, and consistent with the objectives and expected results?	5
3.2 How coherent is the overall design of the action? (in particular, does it reflect the analysis of the problems involved, take into account external factors and anticipate an <b>evaluation</b> ?)	5
3.3 Is the partners' and/or other stakeholders' level of involvement and participation in the action satisfactory?	5
3.4 Is the <b>action plan</b> clear and feasible?	5
3.5 Does the proposal contain <b>objectively verifiable indicators</b> for the outcome of the action?	5
<b>4. Sustainability</b>	<b>15</b>
4.1 Is the action likely to have a tangible <b>impact</b> on its target groups?	5
4.2 Is the proposal likely to have <b>multiplier effects</b> ? (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 <b>sustainable</b> : - financially ( <i>how will the activities be financed after the funding ends?</i> )	5

- 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> )	
<b>5. Budget and cost-effectiveness</b>	<b>15</b>
5.1 is the ratio between the estimated costs and the expected results satisfactory?	5
5.2 Is the proposed expenditure <b>necessary</b> for the implementation of the action?	5 x 2
<b>Maximum total score</b>	<b>100</b>

*Note on Section 1. Financial and operational capacity*

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

*Note on Section 2. Relevance*

If the total average score is less than 20 points for section 2, the application will be rejected.

*Provisional selection*

Only projects scoring equal to or more than **65 points** will be eligible for financing.

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.

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

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

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

- The Declaration by the applicant (Section VI of part B the grant application form) will be cross-checked with the supporting documents provided by the applicant. Any missing supporting document or any incoherence between the Declaration by the applicant and the supporting documents may lead to the rejection of the 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:

1. The statutes or articles of association of the applicant organisation<sup>9</sup> and of each partner organisation. Where the Contracting Authority has recognized the applicant's eligibility for another call for proposals under the same budget line within 2 years before the deadline for receipt of applications, the applicant may submit, instead of its statutes, copy of the document proving the eligibility of the applicant in a former Call (e.g.: copy of the special conditions of a grant contract received during the reference period), unless a change in its legal status has occurred in the meantime.
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)<sup>10</sup>
3. Legal entity sheet (see annex F 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 F 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.
5. The decision of Applicant's managing body to implement the project with a nomination of the person(s) empowered to sign.
6. The decision of Partner(s)'s managing body to implement the project with a nomination of the person(s) empowered to sign.
7. Notarised document with the name(s) of the person(s) empowered to represent the Applicant; a further decision of the Board of Directors, only if the person(s) to be appointed are not empowered with such

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<sup>9</sup> 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

<sup>10</sup> This obligation does not apply when the accounts are in practice the same documents as the external audit report already provided pursuant to section 2.4.2.

responsibility within the Articles of legal status of the applicant; sample of signature(s), registered to the notary for representative(s) should be provided in original.

8. A copy of Applicant's tax registration or a document indicating the tax number from the relevant tax authority. If the Applicants are tax exempted they should prove this with the relevant document.

9. Evidence on the fulfilment of obligations related to the social security contributions and payment of taxes as per the submission date.

10. Certificate of the legal registration of the applicant organisation and, of each partner organisation.

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. However, the Legal entity sheet and the financial identification form must always be submitted in original.

Where such documents are not in one of the official languages of the European Union, 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 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, into 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.

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*
<b>Information meeting (if any)</b>	-	-
<b>Deadline for request for any clarifications from the Contracting Authority</b>	10 November 2009	
<b>Last date on which clarifications are issued by the Contracting Authority</b>	20 November 2009	
<b>Deadline for submission of Application Form</b>	2 December 2009	16:00
<b>Information to applicants on the opening &amp; administrative check (step 1)</b>	21 December 2009*	
<b>Information to applicants on the evaluation of the Concept Notes (step 2)</b>	18 January 2010*	
<b>Information to applicants on the evaluation of the Full Application Form (step 3)</b>	15 February 2010*	
<b>Notification of award (after the eligibility check) (step 4)</b>	8 March 2010*	
<b>Contract signature</b>	5 April 2010*	

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

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

Following the decision to award a grant, the Beneficiary will be offered a contract based on the Contracting Authority's standard contract (see Annex F 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 Contract.

### Implementation contracts

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

### **3. LIST OF ANNEXES**

#### **DOCUMENTS TO BE COMPLETED**

ANNEX A: GRANT APPLICATION FORM (WORD FORMAT)

ANNEX B: BUDGET (EXCEL FORMAT)

ANNEX C: LOGICAL FRAMEWORK (EXCEL FORMAT)

ANNEX H: CV'S OF THE PROJECT COORDINATOR AND OTHER KEY STAFF (WORD FORMAT)

#### **DOCUMENTS FOR INFORMATION**

ANNEX F: STANDARD CONTRACT

- ANNEX II: GENERAL CONDITIONS APPLICABLE TO EUROPEAN COMMUNITY-FINANCED GRANT CONTRACTS FOR EXTERNAL ACTIONS
- ANNEX IV: CONTRACT AWARD PROCEDURES
- ANNEX V: STANDARD REQUEST FOR PAYMENT (LEGAL ENTITY SHEET AND FINANCIAL IDENTIFICATION FORM)
- ANNEX VI: MODEL NARRATIVE AND FINANCIAL REPORT
- ANNEX VII: MODEL REPORT OF FACTUAL FINDINGS AND TERMS OF REFERENCE FOR AN EXPENDITURE VERIFICATION OF AN EC FINANCED GRANT CONTRACT FOR EXTERNAL ACTIONS
- ANNEX VIII: MODEL TAX AND CUSTOMS ARRANGEMENTS

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

[http://ec.europa.eu/europeaid/work/procedures/implementation/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm)

PROJECT CYCLE MANAGEMENT GUIDELINES

[http://ec.europa.eu/europeaid/multimedia/publications/publications/manuals-tools/t101\\_en.htm](http://ec.europa.eu/europeaid/multimedia/publications/publications/manuals-tools/t101_en.htm)