



European Commission

European Instrument for Democracy and Human Rights (EIDHR)

Enhancing respect for human rights and fundamental freedoms where they are most at risk and supporting Human Rights Defenders

Restricted Call for Proposals (2011-2013)

Guidelines for grant applicants

Budget line 19.04.01

Reference: EuropeAid/131086/C/ACT/Multi

Deadline for submission of Concept Notes: 01/08/2011

Notice

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

Considering the particular nature of this Call for Proposals the exchange of information with applicants will be limited and adapted to their needs.

Upon receipt of the application, the European Commission will assign a reference number to it which will be communicated to the applicants.

The applicants will be in position to follow up (i) the results of the evaluation of their proposal (concept note and full application, if applicable) and (ii) the progress of the evaluation procedure, through the notices to be published on the EuropeAid website <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> together with the other documents related to this call. The afore-mentioned notices will include the list of applications identified by the reference number only.

For the purpose of exchanging information with applicants in the context of this Call, the European Commission shall use the email address indicated in the Concept Note to contact applicants who submit their Concept Notes by email. Applicants who submit their Concept Notes through other means are requested to indicate in the Grant application form (Annex A, Part A – Concept Note) the means by which they wish to be contacted by the European Commission. The European Commission reserves the right to contact the applicants through alternative means as the case may be.

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1. THE EUROPEAN INSTRUMENT FOR DEMOCRACY AND HUMAN RIGHTS (EIDHR)

1.1 BACKGROUND

The European Instrument for Democracy and Human Rights (EIDHR)¹ was adopted by the European Parliament and the Council in December 2006. This instrument took the place of the European Initiative for Democracy and Human Rights, which was created at the proposal of the European Parliament in 1994 and makes it possible to give financial support for activities aiming to strengthen democracy and human rights around the world during the 2007-2013 financial perspectives.

Among other objectives, the EIDHR aims at providing support to human rights defenders around the globe, a stance which has long been an integral part of the European Union's external policy on human rights. The European Parliament² has repeatedly recognized the contribution that human rights defenders make to the protection and promotion of human rights, the rule of law, democracy and the prevention of conflicts, and has called upon the EU to ensure their protection and to support their work.

Furthermore, in June 2004 the Council of the European Union adopted the **EU Guidelines on Human Rights Defenders**³, which provide practical recommendations to streamline EU actions in this field. The Guidelines, which build on the UN Declaration on human rights defenders⁴ adopted in 1998, represent the political framework under which financial support is given to defenders through the EIDHR.

1.2 OBJECTIVES OF THE EUROPEAN INSTRUMENT FOR DEMOCRACY AND HUMAN RIGHTS (EIDHR) AND PRIORITY ISSUES

The general objective of the EIDHR is to contribute to the development and consolidation of democracy and the rule of law and respect for all human rights and fundamental freedoms, consistent with the European Union's foreign policy as a whole.

This instrument is designed to help civil society to become an effective force for political reform and defence of human rights. In doing this, it aims to complement the geographical programmes that work through direct cooperation with governments and mostly focus on public institution-building. The EIDHR offers independence of action, which is a critical feature of cooperation with civil society organisations at national level, especially in the sensitive areas of democracy and human rights. Great flexibility and increased capacity to respond to changing circumstances and to support innovation are among its intrinsic features.

¹ Regulation (EC) No 1889/2006 of the European Parliament and of the Council, 20.12.2006, OJ L 386, 29.12.2006, p.1 http://ec.europa.eu/europeaid/where/worldwide/eidhr/documents/reg_1889_2006_jo_l386_en.pdf
http://ec.europa.eu/europeaid/where/worldwide/eidhr/working-documents_en.htm

² EP resolution of 17 June 2010 on EU policies in favour of human rights defenders: <http://www.europarl.europa.eu/sides/getDoc.do?pubRef=-//EP//TEXT+TA+P7-TA-2010-0226+0+DOC+XML+V0//EN>

³ <http://www.consilium.europa.eu/uedocs/cmsUpload/GuidelinesDefenders.pdf>

⁴ <http://daccess-dds-ny.un.org/doc/UNDOC/GEN/N99/770/89/PDF/N9977089.pdf?OpenElement>

1.2.1 Objectives of this Call for Proposals

This Call for Proposals aims at selecting actions with a view to implementing **Objective 1 of the EIDHR Strategy Paper⁵**, i.e.- "Enhancing respect for human rights and fundamental freedoms in countries where they are most at risk" and **Objective 3 of the EIDHR Strategy 2011-2013 aiming at supporting Human Rights Defenders**.

The **overall objective** of this call for proposals is to enhance the respect for human rights and fundamental freedoms in countries and situations where they are most at risk and where human rights defenders and civil society organisations work under severe constraints and are most under pressure.

The **specific objective** of this call is to provide direct support and protection to human rights defenders and to reinforce their capacities to do their work in the short and long-term, as well as to provide tangible support and means of action to local civil society in the promotion of human rights and fundamental freedoms in some of the world's most difficult, dangerous and unpredictable political situations and/or where they are the most vulnerable and threatened.

For the purpose of this call for proposals, **the concept "most at risk"**⁶ refers to countries and situations characterised by a serious lack of respect for human rights and fundamental freedoms; where human rights and fundamental freedoms are systematically violated; where there exists high risk to human security making it difficult for civil society and human rights defenders to operate, and where there is little or no room for political pluralism. Therefore, **the gravity and persistence of the violations together with the effectiveness of the action are two key considerations for assessing and prioritising action proposals**.

⁵[HTTP://EC.EUROPA.EU/EUROPEAID/WHAT/HUMAN-RIGHTS/DOCUMENTS/EIDHR STRATEGY PAPER 2011 2013 COM DECISION 21 APRIL 2011 TEXT PUBLISHED ON INTER NET EN.PDF](http://ec.europa.eu/europeaid/what/human-rights/documents/eidhr_strategy_paper_2011_2013_com_decision_21_april_2011_text_published_on_inter_net_en.pdf)

⁶This can be characterised by the following selected *indicators* relating to violations of basic human rights as contained in the UN Declaration on the Rights of Human Rights Defenders of 9 December 1998:

- i) Limitations on the right to freedom of association (e.g. regular and widespread obstacles to registration of civil society organisations and their independent operation, forced closure of civil society organisations, and physical threats to their members);
- ii) Limitations on the right to freedom of peaceful assembly (e.g. frequent prohibition or violent repression of peaceful protests);
- iii) Limitations on the right to freedom of expression, to information and to communicate (e.g. regular repression of and major reprisals for criticism of public policies, obstacles to collection, publication and dissemination of information on human rights, including access to the Internet; general censorship);
- iv) Threatening and insecure environment, which seriously undermines right to life and physical and mental integrity (e.g. extra-judicial killings, death threats, beatings, torture, rape and ill treatment during questioning or detention).
- v) Limitations on the right to a fair trial and due process (e.g. regular occurrences of disregard of due process, arbitrary arrests and detention, lack of impartial tribunal and appropriate jurisdiction, restrictions on the exercise of legal defence, legal harassment on baseless charges).

Lots under this Call for Proposals:

LOT 1: IN COUNTRY ACTIONS

This lot targets actions taking place in one single country that aim at enhancing respect for human rights and fundamental freedoms and at supporting human rights defenders taking place either in countries either in situations where they are the most at risk. It implements **Objective 1** "Enhancing respect for human rights and fundamental freedoms in countries where they are most at risk" and **Objective 3** "Supporting Human Rights Defenders" of the EIDHR Strategy 2011-2013.

Considering the objective of this call for proposals, **actions should primarily be carried out at the location of the situations targeted.** The actions may affect only a particular group and may also include activities "out of the targeted country" (including with Diasporas and refugee communities) but they must be directly related to the situations and benefit the local population in the targeted country.

In addition, projects may be carried out in relation to a specifically designated area within a country or in an area which lies under the effective control of a third country, where the human rights situation is particularly grave independently of the overall human rights situation in the country concerned (e.g. Territory/area under the control of an occupying power; area under emergency rule, etc.).

While activities in other countries than the one targeted are allowed, these activities must be **directly linked to the country targeted and respond to the specific objectives of this call for proposals.**

Lot 1 does not include any list of focus countries. It is up to the grant applicant to identify it with reference to independent monitoring reports and/or external indicators. The indicators contribute to establishing the relevance of the action: **the graver the situation, the higher the priority.**

Under this lot, partnerships with civil society organisations of the countries targeted (be it formal or informal) are strongly recommended in order to meet the objectives of this Call for proposals. The difference between formal and informal partners is explained under section 2.1.2.

LOT 2: TRANSNATIONAL ACTIONS (global and/or regional)

This lot targets **global and/or regional actions** aiming at enhancing respect for human rights and fundamental freedoms and at supporting human rights defenders taking place either in countries either in situations where they are the most at risk. It implements **Objective 1** "Enhancing respect for human rights and fundamental freedoms in countries where they are most at risk" and **Objective 3** "Supporting Human Rights Defenders" of the EIDHR Strategy 2011-2013.

Actions need to take place in at least two countries having similar issues to be addressed or where human rights defenders face similar types of threats or obstacles to their human rights work. Actions which take place in one single country will not be eligible under this lot.

Applicants are asked to provide in the proposal a clear description of the action (objectives, expected results, activities) as a whole and per country targeted.

Furthermore, **under lot 2, applicants must act in partnership with at least one partner (be it formal or informal) from the countries where the action is going to take place.** The specific role and the involvement of the partners in the implementation of the action will be explicitly evaluated at Concept Note and Full Application stage (see Evaluation Grids in section 2.3 of the present Guidelines).

The difference between formal and informal partners is explained under section 2.1.2.

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Exceptionally, however, where an applicant considers that a partnership is not feasible or appropriate due to the specific constraints of the proposed action, duly justified reasons must be provided. These reasons will be examined in the context of the evaluation.

Main priorities under this Call for Proposals

Regardless of whether the action proposed is national (Lot 1) or transnational (regional or global-Lot 2), the main priorities under this call are the following:

1. **To contribute to improving the situation relating to the following fundamental freedoms:**

- i) the right to freedom of thought, conscience and religion or belief;
- ii) the right to freedom of opinion and expression, including artistic and cultural expression, the right to information and to communicate, including freedom of the media, fight against censorship, and access to the Internet;
- iii) the right to freedom of peaceful assembly and association, including the right to form and join a trade union;
- iv) the right to freedom of movement within the borders of a state, and the right to leave any country, including one's own, and to return to one's country.

In-country activities promoting **indirectly** these fundamental freedoms may be also considered in cases where the environment in which the action will be implemented is extremely difficult.

2. **To provide support and protection to human rights defenders**, in particular those who are the most vulnerable and/or subject to acute repression and discrimination, e.g. women human rights defenders; defenders of lesbian, gay, bisexual and transgender (LGBTI) rights; journalists and media professionals; trade unionists; defenders' lawyers; defenders of environmental, land and other economic, social and cultural rights, defenders of rights of indigenous peoples and human rights defenders living outside the capitals and in remote areas.

Support to human rights defenders under this Call should address the following issues:

- i) the provision of short and long-term direct financial, material and other forms of support and protection to human rights defenders, in particular in situations of emergency or danger.
- ii) the support and reinforcement of human rights defenders' capacities, to carry out their human rights work and to increase their organisational and financial capacities with a view of ensuring the sustainability of their actions in the future.
- iii) the active contribution to breaking the isolation and social exclusion of human rights defenders in their communities by sensitising national and international public opinion about their work and role in the promotion and defence of human rights and by reinforcing their capacities in networking with other human rights civil society organisations on an international, regional and national level.

Actions under this Call for Proposals may address one or both priorities.

Actions may use alternative "**entry points**" by combining projects with other human rights issues linked to, for example, social, economic and cultural rights that offer the possibility to work in a given country/situation. The use of "**entry points**" **must serve as a means to work in extremely difficult local situations and contribute to the objectives of this call for proposals.**

Type of activities

Actions under this Call must ultimately contribute to empowering civil society organisations and human rights defenders in the target country (ies) and regions.

Indicative types of activities eligible under this call include:

- Capacity-building activities in the field of human rights, including advocacy, lobbying, on strategies of change, researching, documenting and writing about violations of human rights and the fight against impunity, in particular with a view of transmitting them to international fora, such as the UN Human Rights Council and its Special Procedures, etc
- Support to independent media and their staff, including providing financial, material and technical support to ensure their ability to operate in difficult political contexts and to reach wider audiences;
- Provision of specific training in security and protection for local human rights organizations and individuals, including the provision of relevant material and equipment, as well as any other type of preventive activities aimed at ensuring the protection and security of human rights defenders;
- Provision of medical and psychological assistance, legal counselling and any other type of support to human rights defenders, including to those placed in detention or in prison, as well as to their relatives', including activities aimed at preventing or denouncing cases of torture and ill-treatment exerted against detained defenders.
- Reinforcement and coordination of advocacy, sensitisation and lobbying capacities of local human rights organisations and civil society organizations in the promotion and respect of human rights before relevant stakeholders in their countries, such as the media, national authorities, regional and international human rights institutions and their participation in international conferences;
- Trial monitoring and prison visits;
- Capacity-building of local partners and target groups including in language and informatics skills to improve the organizations' possibilities to develop links with external stakeholders;
- Monitoring and international investigative and solidarity missions (visits to countries);
- Training and awareness-building of human rights defenders and local civil society organizations, in particular of those living outside the capitals and in remote areas, on international law as well as of international, regional and national mechanisms for the protection of defenders, including the EU Guidelines on human rights defenders: <http://www.consilium.europa.eu/uedocs/cmsUpload/GuidelinesDefenders.pdf>
- Assistance and consolidation of the capacities of human rights defenders who are outside their country of work on a temporary basis for security reasons or until their return to that country is possible and safe.
- Re-granting (see below)

This list of activities is not exhaustive.

Moreover, under Lot 2, all actions must include one of the following specific activities:

a) Direct financial and/or material support to human rights defenders or civil society organisations of the countries targeted. Applicants may provide any kind of assistance to human rights defenders (financial, legal, material, etc) which will be considered as ordinary eligible expenses provided they are financially backed by receipts, bills, proofs of transfer and any other document justifying the expenses. Examples of the use of this tool include: purchasing of equipment, IT and other types of technological or office material for local organizations or individuals; acquisition of window bars, alarms and other infrastructure necessary to secure organization's premises or human rights defenders' homes; coverage of medical or legal fees of individual defenders, financial support to relatives of imprisoned defenders, financial coverage of logistic

expenses for defenders to travel around their countries to monitor human rights violations or to attend conferences or workshops, etc.

Applicants are reminded that partners, formal or informal, can also provide direct support to defenders.

or

b) Sub-granting: one activity specifically aimed at providing financial assistance to third parties in the form of small grants. For more information on sub-granting, please see section 2.1.3 below. Sub-granting may be used to support small actions/projects implemented by individuals or human rights organizations which are **third parties** to the project (and not partners nor beneficiaries). Examples of the use of sub-granting include: organization by the applicant or its partners of small "calls for proposals" for which third parties may present applications for a project which can be awarded a mini-grant; to assist a human rights organization which is in need of temporary financial support to ensure its operational functioning; to provide urgent support to human rights defenders or civil society actors in the form of cash when the ordinary transfer of funds is not feasible (when there is no proof of transfer), etc. Actions supported through sub-granting must in all cases contribute to the achievement of the overall objective of the action implemented by the applicant;

The inclusion of one of the above-mentioned activities and its significance in relation to the rest of the action will be specifically evaluated at Concept Note and Full Application stage (see Evaluation Grids in section 2.3 of the present Guidelines). Exceptionally, however, where an applicant considers that the above-mentioned specific activities are not feasible or appropriate due to the specific constraints of the proposed action, duly justified reasons must be provided. These reasons will be examined in the context of the evaluation.

Innovative activities addressing the priorities of this call are particularly encouraged.

Applicants must demonstrate how the action will address the priorities targeted in this call for proposals through the proposed activities.

Expected results:

Considering the difficult context in which the action will take place, expected results of any action under this call for proposals may include the following (non exhaustive list):

- improved access to information including the internet, or enhanced public awareness and use of methods to bypass restrictions;
- persons at risk, including human rights defenders and journalists brought to trial, receive support to face trial; intimidation and harassment of persons at risk and their families is better faced by victims; human rights defenders and journalists are able to continue their professional activities; improved information about those held in detention;
- strengthened capacities of human rights defenders, e.g. by improved knowledge and resources in matters of legal defence, public mobilisation, monitoring of abuses, access to international support and human rights mechanisms, in their technical, management and financial capacities, etc.;
- local human rights organisations brought out of their isolation; their existence, capacities and activities fostered through participation to international/regional events, provision of financial and material support (office equipment, etc.) organisation of joint activities whenever possible, capacity-building, etc.;
- public discourse on human rights, democracy or specific issues relevant to human rights is fostered and political debate on these issues is opened up;
- the work of human rights defenders and civil society organisations becomes more professional and has more impact at domestic and international levels.

The proposed actions should be designed to produce specific results in response to clearly identified problems. It is thus necessary to set clear objectives based on specifically tailored strategies and intervention methodologies that incorporate complementary, consistent activities suitable for tackling the identified problems directly.

Furthermore, all actions must aim at obtaining sustainable results in order to achieve ongoing impact beyond the duration of EIDHR funding. In particular, applicants are highly encouraged to include in their actions specific activities aimed at increasing **financial, management and organizational capacities** of local human rights defenders and civil society organizations, in particular grass-roots groups in rural or remote areas, to ensure the continuation of their work in the long term, e.g. training on engagement with donors and fundraising, project cycle management (PCM) and grant proposals writing, sound project financial management, organisational management, etc.

Applicants are asked to ensure that the action foresees the necessary human, financial and material resources for the implementation of the activities in the budget.

Monitoring and Evaluation

Applicants must foresee planning, human resources, budget and any other appropriate measures for the monitoring and evaluation of the proposed action. Monitoring activities and evaluation of results and impact of the proposed action will be specifically evaluated at Full application stage (see Full application evaluation grids in section 2.3 of the present Guidelines).

1.3 FINANCIAL ALLOCATION PROVIDED BY THE EUROPEAN COMMISSION

The overall indicative amount made available under this Call for Proposals is EUR 15.700.000 from the 2011 budget.

The European Commission reserves the right not to award all available funds. Equally, this amount could be increased should more funds become available.

Where the indicative financial envelope foreseen for a specific lot cannot be used due to insufficient quality or number of proposals received, the European Commission reserves the right to reallocate the remaining funds to another lot within this Call or to other Call under the EIDHR instrument.

Indicative financial envelope per lot:

The funds will be distributed according to the following indicative allocation per lot:

Lot 1: 60%

Lot 2: 40%

Size of grants

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

- Minimum amount: 150.000 EUR
- Maximum amount: 2.000.000 EUR

A grant may not exceed 100% of the total estimated eligible costs of the action (see also Section 2.1.4).

Any grant awarded under this Call for Proposal must further be limited to 90% of the estimated total accepted costs⁷.

The balance must be financed from the applicant's or partners' own resources, or from sources other than the European Union budget or the European Development Fund.

The grant may exceptionally cover the entire eligible costs of the action if this is deemed essential to carry it out. If that is the case, the applicant must justify any such request in Part B, Section II.2 of the Grant Application Form and the validity of the justification provided will be examined during the evaluation procedure. In the case full financing is granted, the second percentage laid down above (relating to the estimated total accepted costs) will not apply. This provision does not apply to International Organisations.

⁷ Estimated total accepted costs = estimated total eligible costs + taxes, including VAT, where it is not possible for the beneficiary to reclaim them

2. RULES FOR THIS CALL FOR PROPOSALS

These guidelines set out the rules for the submission, selection and implementation of actions financed under this call, in conformity with the provisions of the Practical Guide to contract procedures for EU external actions.

The majority of terms used in the present guidelines are explained in the Glossary to the Practical Guide to contract procedures for EU external actions.

The afore-mentioned Practical Guide and the Glossary can be consulted at the following Internet address:
http://ec.europa.eu/europeaid/work/procedures/implementation/practical_guide/index_en.htm

In addition to the Glossary, the following definitions apply:

Applicant	the organisation responsible for submitting the application
Formal partner	member organisation of the partnership other than the applicant
Informal partner	a partner (this can be an organisation with or without legal personality, a natural person or a group of natural persons) whose participation in the implementation of the action is deemed necessary by the beneficiary of the European Union grant. The informal partner takes part in the implementation of the action but without being a formal member of the partnership
Partnership	the grouping of organisations i.e. the main applicant and its partners for the purpose of implementing the proposed action
Associate	organisation that plays an active role in the action but which cannot benefit from funding under the grant
Subcontractor	organisation contracted by the beneficiary or its partner(s) in accordance with the appropriate procedures in order to execute specific tasks in implementing the action
Sub-granting	financial support that may be given to third parties by the beneficiary of the European Union grant where the implementation of the action so requires, subject to the conditions laid down in the Article 120 of the Financial Regulation and the Article 184a of the Implementing Rules of the Financial Regulation ⁸

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 costs which may be taken into account in setting the amount of the grant (2.1.4).

⁸ http://ec.europa.eu/budget/documents/financial_regulation_en.htm

2.1.1 Eligibility of applicants: who may apply?

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

- be a natural person or an entity without legal personality⁹ **or**
- be a legal person **and**
- be non profit making **and**
- belong to one of the following categories¹⁰:
 - (i) civil society organisations, including non-governmental organisations¹¹ and independent political foundations, community based organisations, and private sector agencies, institutions and organisations, and networks thereof at local, national, regional and international level;
 - (ii) public sector agencies, institutions and organisations and networks at local, national, regional and international level;
 - (iii) national, regional and international parliamentary bodies;
 - (iv) international and regional inter-governmental organisations as defined by Article 43 of the Implementing rules to the EC Financial Regulation¹² **and**
- be directly responsible for the preparation and management of the action with their partners, not acting as an intermediary

(2) No nationality restriction applies to applicants¹³.

⁹ Grant applications may be eligible if submitted by entities which do not have legal personality under the applicable national law, provided that their representatives have the capacity to undertake legal obligations on their behalf, and assume financial liability.

¹⁰ Article 10 (1) of the Regulation (EC) No 1889/2006 of the European Parliament and of the Council, 20.12.2006, OJ L 386, 29.12.2006 on Establishing a Financing Instrument for the Promotion of Democracy and Human Rights worldwide.

¹¹ i.e. Not a state, national or international governmental institution or organisation or an organisation effectively controlled by such an institution. Whether a potential applicant is likely to be considered as effectively controlled by such an institution will depend on the extent to which such an applicant can demonstrate that it is independent of the state as regards decision-making, budgetary control and the appointment of staff (including members of its controlling body).

¹² International organisations are international public-sector organisations set up by intergovernmental agreements as well as specialised agencies set up by them; the International Committee of the Red Cross (ICRC) and the International Federation of National Red Cross and Red Crescent Societies, European Investment Bank (EIB) and European Investment Fund (EIF) are also recognized as international organisations.

¹³ In conformity with provisions of the Article 14.10 of Regulation (EC) No 1889/2006 of the European Parliament and of the Council of 20 December 2006 on Establishing a Financing Instrument for the Promotion of Democracy and Human Rights worldwide.

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

In part A, section IV and if applicable in part B, section VII of the Grant Application Form (“Declaration by the applicant”), applicants must declare that they do not fall into any of the situations.

2.1.2 Partnerships and eligibility of partners

Please refer to section 1.2.1 of the present Guidelines for partnership requirements.

➤ Formal partners

Applicants' formal 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. Formal partners must therefore satisfy the same eligibility criteria as the applicant (see 2.1.1)

Formal partners must sign a partnership statement..

➤ Informal partners

Informal partners who participate in the implementation of the action but are not formal members of the partnership. To this end they are not required to comply with the same eligibility criteria as the applicant nor do they have to sign a partnership statement. They can be non-legal or non-registered organizations.

The expenditure resulting from the activities that informal partners incur to implement the action may be considered an eligible cost and reported as an expenditure incurred by the grant beneficiary (see section 2.1.4). To this end, the applicant will need to include these costs in the estimated overall budget of the action.

Without prejudice to the above, informal partners are not bound by the provisions of Article 1.3 of the General Conditions applicable to European Union Standard Grant Contract. The beneficiary, if awarded a grant, will be required to provide a declaration confirming that Articles 3, 4 and 5 will apply to informal partners.

The beneficiary of the European Union grant shall assume financial and accounting liability for all expenses incurred by the informal partners and shall be responsible for keeping all the necessary supporting documents of the costs incurred by its informal partners in its own accounting of the project (see Article 16.3 of the General conditions applicable to the European Union-financed grant contracts for external actions – Annex F, E3h 2 of the present Guidelines)

In duly justified cases receipts and/or sworn declarations signed by the applicant or by the informal partners may be considered as a valid proof of eligible expenditure.

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 (see Annex F indicated in Section 3 of the present guidelines).

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

➤ Sub-grantees

The grant beneficiaries may award financial support (sub-grants) to third entities (the sub-grantees). Sub-grantees are neither partners nor associates nor contractors. Sub-grantees are subject to the nationality and origin rules set out in Annex IV to the standard grant contract.

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

2.1.3 <i>Eligible actions: actions for which an application may be made</i>

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

Duration

The initial planned duration of an action may not be lower than **24 months** nor exceed **36 months**.

Action location:

Without any geographical restriction, actions under **Lot 1** must take place in one single country. Actions under **Lot 2** must take place in at least two countries. For more information on the action location, please refer to section 1.2.1. of the present Guidelines.

Sub-granting (Please refer to section 1.2.1 above)

In order to **support the achievement of the objectives of the action and** to allow for great flexibility in the implementation of actions in support of human rights in the context of this Call for Proposals, and in particular where the **implementation of the action proposed by the applicant requires financial support to be given to third parties**, the applicant **may** propose awarding sub-grants.

In case where the applicant foresees to award sub-grants, it has to specify in its application the total amount of the grant which may be used for awarding sub-grants as well as the minimum and maximum amount per sub-grant. A list with the types of activities which may be eligible for sub-grants must be included in the application, together with the criteria for the selection of the beneficiaries of these sub-grants.

The maximum amount of a sub-grant is limited to **EUR 10.000 per third party** while the total amount which can be awarded as sub-grants to third parties is limited to **EUR 100.000**.

In no circumstances may sub-granting be the principal activity of the proposed action. However, sub-granting may not be the main purpose of the action.

The following types of action are ineligible:

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences, congresses;
- actions concerned only or mainly with individual scholarships for studies or training courses;
- actions concerned only with one-off conferences. Conferences can only be funded if they form part of a wider range of activities to be implemented in the life-time of the project. For these purposes, preparatory activities for a conference and the publication of the proceedings of the conference do not, in themselves, constitute such “wider activities”;
- actions supporting individual political parties;
- actions including proselytism.

Number of proposals and grants per applicant

An applicant may not submit more than two proposals under this Call for Proposals.

An applicant may not be awarded more than two grants under this Call for Proposals.

An applicant may at the same time be partner in other applications.

Partners may take part in more than one application.

2.1.4 <i>Eligibility of costs: costs which may be taken into consideration for the grant</i>

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 therefore both a cost estimate and a ceiling for "eligible costs". 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 European Commission to impose modifications or reductions to address such mistakes or inaccuracies. The amount of the grant and the percentage of the EU co-financing as a result of these corrections may not be increased.

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

Eligible direct costs

To be eligible under the Call for Proposals, costs must comply with the provisions of article 14 of the General Conditions to the Standard Grant Contract (see Annex F of the present guidelines).

Contingency reserve

Reference: EuropeAid/131086/C/ACT/Multi
Deadline for submission of Concept Notes: 1 August 2011

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

Eligible indirect costs (overheads)

The indirect costs incurred in carrying out the action may be eligible for flat-rate funding fixed at not more than 7% of the estimated total eligible direct costs. Indirect costs are eligible provided that they do not include costs assigned to another heading of the budget of the standard grant contract. The applicant may be asked to justify the requested percentage before contracting. However, once the flat-rate has been fixed in the special conditions of the standard grant contract, no supporting documents need to be provided.

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

Contributions in kind

Contributions in kind are not considered as expenditure and are not eligible costs. 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 partners.

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

Ineligible costs

The following costs are not eligible:

- debts and debt service charges
 - provisions for losses or potential future liabilities;
 - interest owed;
 - costs declared by the beneficiary and covered by another action or work programme;
 - purchases of land or buildings, except where necessary for the direct implementation of the action, in which case ownership must be transferred to the final beneficiaries and/or local partners, at the latest by the end of the action;
 - currency exchange losses;
 - taxes, including VAT. Nevertheless, these may be considered as part of the estimated total accepted costs of the action for the purpose of co-financing where it is not possible for the Beneficiary (or the Beneficiary's partners) to reclaim them. In such cases, the cost should be included in the Budget under the heading "taxes". Please note however that for the purpose of co-financing, taxes are the only ineligible costs that will be considered within the total accepted costs of the action.
- credit to third parties.

2.2 HOW TO APPLY AND THE PROCEDURES TO FOLLOW

This is a restricted Call for Proposals. In the first instance, **only Concept Notes must be submitted for evaluation**. Thereafter, applicants whose Concept Notes have been pre-selected will be invited to submit a Full Application Form.

Prior registration in the PADOR system (Potential Applicant Data On-Line Registration) available at http://ec.europa.eu/europeaid/online-services/pador/index_en.htm is not obligatory under this Call for Proposals. Nevertheless, all organisations that wish and have the possibility both to register and to upload all required supporting documents for this Call for Proposals are strongly invited to do so (see section 2.4). Natural persons should however not register in PADOR.

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

2.2.1 *Concept Note content*

Applications must be submitted using Part A – Concept Note of the Grant Application Form (Annex A), taking care to use the correct application documents for this Call to be downloaded from the EuropeAid website at <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>

Any Concept Note using the applications documents relating to any other Call may be **rejected**.

Concept Notes must be submitted in one of the following EU languages: **English, French, Spanish or Portuguese**, taking into account whichever is the most commonly used in the country(ies) of the target population in which the action takes place.

In the Concept Note, applicants are only required to provide an estimate of the requested amount of the EU contribution. Only the applicants invited to submit a full proposal will be required to present a detailed budget.

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

Clarifications may only be requested when information provided is unclear, thus preventing the European Commission from conducting an objective assessment.

Hand-written Concept Notes will not be accepted.

The Concept Note together with the Checklist (Part A, section III of the Grant Application Form) and the Declaration by the applicant (Part A, section IV of the Grant Application Form) **must be submitted by e-mail¹⁴**.

Only the Concept Note will be evaluated. It is therefore of utmost importance that this document contains ALL relevant information concerning the action. No additional annexes should be submitted.

2.2.2 *Where and how to send Concept Notes*

¹⁴ In exceptional cases (see section 2.2.2 below), Concept Notes may be submitted in one paper original as well as in electronic format (CD-Rom or USB). The electronic version must be identical to the submitted paper version.

Concept Notes **must be submitted by e-mail to the following address:**

EuropeAid-EIDHR131086@ec.europa.eu

The subject field of the e-mail must bear the reference of the Call for Proposals and the name of the applicant organisation.

The Applicant will receive an automatic acknowledgement of receipt following the submission of a Concept Note. Please note that if several Concept Notes are sent from the same e-mail address on the same day, **only one** acknowledgment of receipt will be generated.

This mailbox can **only** be used to submit Concept Notes (see section 2.2.4 for the e-mail addresses to be used for sending questions).

NB: In exceptional cases, when the applicants do not find it appropriate to send the Concept Note by email due to security and confidentiality concerns of the actors involved, Concept Notes can instead be submitted in a sealed envelope by registered mail with delivery confirmation, private courier service or by hand-delivery at the address below (a signed and dated acknowledgement of receipt will be given by the European Commission). The outer envelope must bear the reference and the title of the Call for Proposals, the full name and address of the applicant, and the words "Not to be opened before the opening session".

Postal address

European Commission
Directorate-General for Development and
Cooperation - EuropeAid
Unit DGA2.D.6 Finance, Contracts, Audit – Human
and Society Development
Calls for Proposals Sector
Office : SC 15 05/92
B-1049 Brussels
BELGIUM

Address for hand-delivery or private courier service

European Commission
Directorate-General for Development and
Cooperation - EuropeAid
Unit DGA2.D.6 Finance, Contracts, Audit – Human
and Society Development
Calls for Proposals Sector
Office: SC 15 05/92
Central Mail Service
Avenue du Bourget 1
B-1140 Brussels (Evère)
BELGIUM

Concept Notes sent by fax or delivered to other addresses may be rejected.

Applicants must verify that their Concept Note is complete using the Checklist (Part A, section III of the Grant Application Form). Incomplete Concept Notes may be rejected.

2.2.3 *Deadline for submission of the Concept Notes*

The deadline for the submission of Concept Notes is **1 August 2011 at 16:00 hrs** (Brussels date and time).

Applicants are strongly advised **not to wait until the last day** to submit their concept notes, since heavy Internet traffic or a fault with the Internet connection (including electricity failure, etc.) could lead to difficulties in submission. The EC cannot be held responsible for any delay due to such afore-mentioned difficulties.

Concept Notes submitted after the submission deadline will be rejected.

Reference: EuropeAid/131086/C/ACT/Multi
Deadline for submission of Concept Notes: 1 August 2011

NB: In exceptional cases, when Concept Notes are sent by registered mail or private courier service, the deadline for the submission of Concept Notes is 1 August 2011 (date at place of dispatch) as evidenced by the postmark or the date of the deposit slip. In the case of hand-deliveries, the deadline for receipt is 1 August 2011, at 16:00 hrs (Brussels date and time) as evidenced by the European Commission's signed and dated acknowledgement of receipt.

Any Concept Note received by the European Commission on or after the effective date of completion of the evaluation of the Concept Notes will be treated as having been submitted after the deadline and, therefore, rejected.

The applicant is solely responsible for the choice of means of expedition amongst those indicated in section 2.2.2 and for following-up the delivery. If the applicants who submit their proposals by email do not receive the reference number mentioned in the “Notice” of these Guidelines on the date mentioned in the indicative calendar (see section 2.5.2), they must immediately contact the European Commission to the following email address : EuropeAid-GlobalCalls@ec.europa.eu. The European Commission cannot be held responsible for the non-delivery of any proposal.

2.2.4 *Further information for Concept Note*

Questions (except those related to registration in PADOR) may be sent by e-mail no later than 21 days before the deadline for the submission of Concept Notes to the below address, **indicating clearly the reference of the Call for Proposals:**

E-mail address: EuropeAid-GlobalCalls@ec.europa.eu

Replies will be given no later than 11 days before the deadline for the submission of Concept Notes. The European Commission has no obligation to provide further clarifications after this date.

No individual replies to queries with regard to the status of the selection procedure can be given via this mailbox (see Section 2.5.2 – Indicative calendar).

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

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

All questions related to PADOR registration should be addressed **to the PADOR help desk:**
Europeaid-pador@ec.europa.eu

2.2.5 *Full Application Form*

Applicants invited to submit a Full Application Form following the pre-selection of the Concept Note must do so by using the application documents annexed to the present Guidelines: Annex A, Part B – Full Application Form, Annex B – Budget and Annex C – Logical Framework. These are to be downloaded from the EuropeAid website at the address indicated in section 2.2.1. Applicants should keep strictly to the format of the application form and fill in the paragraphs and pages in order, taking care to use the correct application

Reference: EuropeAid/131086/C/ACT/Multi
Deadline for submission of Concept Notes: 1 August 2011

documents for this Call. Applications submitted on application documents relating to any other call **may be rejected**.

Budgetary information concerning the action should be provided using round figures and be presented only in the Budget (Annex B).

Applicants should note that there are **three worksheets in Annex B** that have to be completed:

Worksheet 1 – "Budget for the action" (worksheet 1 must include **all eligible costs** that are foreseen to be incurred by the action);

Worksheet 2 – "Justification of the budget for the Action" (worksheet 2 must provide a narrative clarification of each budget item demonstrating the necessity of the costs and how they relate to the action and also a justification of the calculation of the estimated costs).

Worksheet 3 – "Expected sources of funding" (worksheet 3 must indicate the amount and percentage of financing per source, i.e. requested EU contribution, applicant's contribution, any other donors' contributions, etc). NB. See section 1.3 for the rules on maximum percentage of EU contribution.

The amount of the requested EU contribution may vary in this detailed budget from the initial Concept Note estimate by not more than 20% but must still respect the limits indicated in section 1.3. Any variation higher than 20% should be duly justified in the Grant Application Form (Annex A, Part B, section II.2).

Applicants must submit their applications in the same language as their Concept Note.

The Full Application Form should be completed carefully and as clearly as possible to facilitate the evaluation. The reference number allocated to the Concept Note by the European Commission should appear on the cover page of the Full Application Form.

The elements contained in the Concept Note cannot be modified in the Full Application Form.

Any error related to the points listed in the Checklist (Part B, section VI of the Grant Application Form) or any major inconsistency in the Full Application Form may lead to the rejection of the application.

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

Hand-written applications will not be accepted.

The Full Application Form, the budget and the logical framework **must** be submitted **by e-mail**¹⁵

Each component of the application (Full Application Form, Budget and Logical Framework) must be submitted in a single, separate electronic file (for example, the application form must not be split into several different electronic files) and should not contain coloured or high resolution graphs, images or diagrams.

Only the Full Application Form and the published annexes which must 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 supplementary annexes should be sent.

¹⁵ In exceptional cases (see section 2.2.6 below), the Full application form may be submitted in one paper original as well as in electronic format (CD-Rom or USB). The electronic version must be identical to the submitted paper version.

2.2.6 *Where and how to send the Full Application Form*

The Full Application Form **must be submitted by e-mail** to the following address:

EuropeAid-EIDHR131086@ec.europa.eu

The subject field of the e-mail must bear the reference of the Call for Proposals, the name of the applicant organisation and the number allocated by the European Commission to the application at Concept Note stage.

The Applicant will receive an automatic acknowledgement of receipt following the submission of a Full Application. Please note that if several Full Applications are sent from the same e-mail address on the same day, **only one** acknowledgment of receipt will be generated.

This mailbox can **only** be used to submit Full Applications (see section 2.2.8 for the e-mail addresses to be used for sending questions).

NB: In exceptional cases, when the applicants do not find appropriate to send the Full Applications Forms by email due to security and confidentiality concerns of the actors involved, Full application forms can instead be submitted in a sealed envelope by registered mail with delivery confirmation, private courier service or by hand-delivery at the address indicated in section 2.2.2 above (a signed and dated acknowledgement of receipt will be given by the European Commission). The outer envelope must bear the reference and the title of the Call for Proposals, the full name and address of the applicant, the number allocated by the European Commission to the application at Concept Note stage and the words "Not to be opened before the opening session".

Full Applications sent by fax or delivered to other addresses may be rejected.

The Checklist (Part B, Section VI of the Grant Application Form) and the Declaration by the applicant (Part B, Section VII of the Grant Application Form) must be enclosed in the e-mail.

Applicants must verify that their application is complete using the Checklist (Part B, section VI of the Grant Application Form). Incomplete applications may be rejected.

2.2.7 *Deadline for submission of the Full Application form*

A notice indicating the deadline for submission of Full Application Forms will be published on the EuropeAid website <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> together with the other documents related to this call.

Applicants are strongly advised **not to wait until the last day** to submit their Full applications, since heavy Internet traffic or a fault with the Internet connection (including electricity failure, etc.) could lead to difficulties in submission. The EC cannot be held responsible for delay due to such afore-mentioned difficulties.

NB: In exceptional cases, when Full application forms are sent by registered mail, private courier service or hand-delivery, submission within the deadline will be evidenced by the postmark or the date of the deposit slip or, in the case of hand-deliveries, by the signed and dated acknowledgement of receipt given to the bearer by the European Commission.

Any Full Application Form received by the European Commission on or after the effective date of completion of the evaluation of the Full Application Forms will be treated as having been submitted after the deadline and, therefore, rejected.

Any Full Application Form sent after the deadline will be rejected.

The applicant is solely responsible for the choice of means of expedition amongst those indicated in Section 2.2.6 and for following-up the delivery.

2.2.8 Further information for the Full Application Form

Questions concerning Full Application Forms (except those related to registration in PADOR) may be sent by e-mail no later than 21 days before the deadline for the submission of applications to the address below, **indicating clearly the reference of the Call for Proposals:**

E-mail address: EuropeAid-GlobalCalls@ec.europa.eu

Replies will be given no later than 11 days before the deadline for the submission of the Full Application Forms. The European Commission has no obligation to provide further clarifications after this date.

No individual replies to queries with regard to the status of the selection procedure can be given via this mailbox. (See Section 2.5.2 - Indicative Calendar)

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

Questions that may be relevant to other applicants, together with the answers, may be published on the internet at website <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>. It is therefore highly recommended to regularly consult the abovementioned website in order to be informed of questions and answers published.

All questions related to PADOR registration should be addressed **to the PADOR help desk:**

Europeaid-pador@ec.europa.eu

2.3 EVALUATION AND SELECTION OF APPLICATIONS

Applications will be examined and evaluated by the European Commission according to the following steps and criteria.

If at any stage in the evaluation process any component of the application (the applicant, a partner or the action) is identified as not fulfilling the eligibility criteria specified in section 2.1.1, 2.1.2 and 2.1.3 of the present guidelines, the application may be rejected on that sole basis.

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

The following will be assessed:

- The submission deadline has been respected. If the deadline has not been respected the application will automatically be rejected.
- The Concept Note satisfies all the criteria specified in points 1-3 of the Checklist (part A, section III of the Grant Application Form). If any of the requested information is missing or is incorrect, the application may be rejected on that sole basis and the application will not be evaluated further.

The evaluation of the Concept Notes that have passed the first administrative check will cover the relevance of the action and its overall design and feasibility.

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

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

Evaluation Grid

	Scores	
	Sub-score	30
1. Relevance of the action¹⁶		
1.1 Relevance of the action to the needs and constraints of the country (ies) / situations to be addressed in general, and to those of the target groups and final beneficiaries in particular.	5 (x2)*	10
1.2 Relevance to the priorities and objectives of the Call for Proposals.	5 (x4)*	20
Note: Under Lot 2, a score of <u>five (5) points</u> will only be allocated if the proposal complies with the activities requirements with regard to direct financial and/or material support to human rights defenders or civil society organisations of the countries targeted or sub-granting , as indicated under section 1.2.1. ¹⁷		
2. Overall design and feasibility of the action	Sub-score	20
2.1 Assessment of the proposed activities (practicality and consistency in relation to the general and the specific objectives and the expected results)	5(x2)*	10
2.2 Assessment of the role and involvement of all stakeholders and proposed partners	5	
Note: For proposals submitted under Lot 2, a score of <u>one (1) point only</u> will be allocated if the applicant does not act in partnership with at least one partner (be it formal or informal) from the countries where the action is going to take place, as indicated in section 1.2.1 of these guidelines ¹⁸ .		
2.3 Assessment of the identification of the main risks, before the start up and throughout the implementation period	5	
TOTAL SCORE		50

*the scores are multiplied by 2 or by 4 because of their importance

First, only Concept Notes which have been given a score of a minimum of 18 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 at least twice the available budget for this Call for Proposals, taking into account the indicative financial envelope foreseen by lot.

Following the Concept Note evaluation, the applicants will be able to follow up in the EuropeAid website (please see "Notice" in the beginning of the present Guidelines) if their application was submitted prior to

¹⁶ As already mentioned in Section 1.2, the applicants have to justify the choice of the location targeted by the action, with reference to independent monitoring reports and/or external indicators. The indicators contribute to establishing the relevance of the action: **the graver the situation, the higher the priority**

¹⁷ As indicated in section 1.2.1, in exceptional cases, where an applicant considers that the inclusion of these specific activities is not feasible or appropriate due to the specific constraints of the proposed action, it must provide duly justified reasons, which will be examined in the context of the evaluation

¹⁸ As indicated in section 1.2.1, in exceptional cases, where an applicant considers that a partnership is not feasible or appropriate due to the specific constraints of the proposed action, it must provide duly justified reasons, which will be examined in the context of the evaluation

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

(2) STEP 2: OPENING & ADMINISTRATIVE CHECKS AND EVALUATION OF THE FULL APPLICATION

First, 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 full application form satisfies all the criteria specified in points 1-6 of the Checklist (Part B, Section VI of the Grant Application Form). If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

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

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

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

The award criteria allow the quality of the applications submitted to be evaluated in relation to the set objectives and priorities, and grants to be awarded to actions which maximise the overall effectiveness of the Call for Proposals. They enable the selection of applications which the European Commission can be confident will comply with its objectives and priorities. They cover such aspects as the relevance of the action, its consistency with the objectives of the Call for Proposals, quality, expected impact, and cost-effectiveness.

Scoring:

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

Evaluation Grid

Section	Maximum Score
1. Financial and operational capacity	15
1.1 Do the applicant and, if applicable, partners have sufficient experience of project management ?	5

1.2 Do the applicant and, if applicable, partners have sufficient technical expertise ? (notably knowledge of the issues to be addressed)	5
1.3 Does the applicant have stable and sufficient sources of finance ?	5
2. Relevance¹⁹	40
2.1 Relevance to the priorities/objectives of the Call for Proposals Note: Under Lot 2, a score of <u>five (5) points</u> will only be allocated if the proposal complies with the activities requirements with regard to direct financial and/or material support to human rights defenders or civil society organisations of the countries targeted or sub-granting , as indicated under section 1.2.1. ²⁰	5(x4)*
2.2 Relevance of the problems to the needs and constraints of the country (ies) / situations to be addressed in the proposal (including synergy with other EC initiatives and avoidance of duplication)	5(x2)*
2.3 How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs been clearly defined and does the proposal address them appropriately? Note: The presentation of the needs of the target groups and the final beneficiaries must include an emphasis on the gravity of the violations of human rights and fundamental freedoms	5(x2)*
3. Methodology	25
3.1 Are the activities proposed appropriate, practical, and consistent with the objectives and expected results?	5(x2)*
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, does it contain verifiable indicators and anticipate an evaluation ?) Note: A score of <u>one (1) point only</u> will be allocated if the applicant does not foresee planning, human resources, budget and any other appropriate measures for the monitoring and evaluation of results and impact of the proposed action.	5
3.3 Is the partners' and other stakeholders' level of involvement and participation in the action satisfactory? Note: For proposals submitted under Lot 2, a score of <u>one (1) point only</u> will be allocated if the applicant does not act in partnership with at least one partner (be it formal of informal) from the countries where the action is going to take place, as indicated in section 1.2.1 of these guidelines. ²¹	5(x2)*
4. Sustainability	10
4.1 Is the action likely to have a tangible impact on its target groups ?	5
4.2 Is the proposal likely to have multiplier effects ? (including scope for replication and extension of the outcome of the action and dissemination of information.)	5
5. Budget and cost-effectiveness	10
5.1 is the ratio between the estimated costs and the expected results satisfactory?	5
5.2 Is the proposed expenditure necessary for the implementation of the action?	5
Maximum total score	100

¹⁹ See footnote 16

²⁰ See footnote 17

²¹ See footnote 18

*the scores are multiplied by 2 or by 4 because of their importance

Note on Section 1. Financial and operational capacity

If the total average score is less than 10 points for section 1, the application will be rejected.

Provisional selection

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

(3) STEP 3 VERIFICATION OF ELIGIBILITY OF THE APPLICANT AND PARTNERS

The eligibility verification, based on the supporting documents requested by the European Commission (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 (Part B, Section VII of the Grant Application Form) will be cross-checked with the supporting documents provided by the applicant. Any missing supporting document or any incoherence between the Declaration by the applicant and the supporting documents may lead to the rejection of the application on that sole basis.
- The eligibility of 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

Applicants are requested to submit the supporting documents listed below in order to allow the European Commission to verify the eligibility of the applicants and their partners by the deadline for submission of the Full Application Form.

Supporting documents must be supplied for the **applicants as well as for each formal partner** by using one of the following methods:

- a) for applicants and partners registered in the PADOR system, all required supporting documents must be **upload into PADOR**. The applicant organisation must indicate its EuropeAid ID number (assigned upon registration), as well as that of any partner organisation in the Concept Note and in the Full application form.
- b) for applicants and partners not registered in PADOR, as well as for natural persons, **all** required supporting **documents must be sent by email** (please see sections 2.2.6 of the Guidelines) together with the Full Application Form.

If the supporting documents are not provided within the deadline above the application may be rejected.

Required supporting documents for the applicant:

1. **The statutes or articles of association of the applicant organisation²²**. Such documents must prove that the organisation in question meets all the required eligibility criteria indicated in section 2.1.1. above. They must bear the stamp of the appropriate authorising body (ministry, lawyer, etc.) or be accompanied by relevant registration documents or other appropriate documentation. Any such accompanying documentation must be uploaded into PADOR in the same electronic file as the statutes or articles of association or, when a PADOR offline form is submitted, must be sent together with the supporting documents.

This obligation does not apply to international organisations which have signed a framework agreement with the European Commission. A list of the relevant framework agreements is available at the following address: http://ec.europa.eu/europeaid/work/procedures/financing/international_organisations/other_international_organisations/index_en.htm

2. Where the grant requested **exceeds EUR 500 000, an external audit report** produced by an approved auditor, certifying the applicant's accounts for the last financial year available. This obligation does not apply to public bodies or to international organisations. It does not apply either to secondary and higher education establishments.

3. **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)**. This obligation does not apply to public bodies or to international organisations. It does not apply either when the accounts are in practice the same documents as the external audit report already provided pursuant to point 2 of the list above.

4. **Legal Entity Sheet** (see annex D of these guidelines) duly completed and signed by the applicant, accompanied by the justifying documents which are requested therein. If the applicant has already signed a contract with the European Commission, 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.

²² When the organisation is a public body created by a law, a copy of the said law or other official document recognizing the body's public status in accordance with the relevant national law must be provided.

Required supporting documents for partners:

The statutes or articles of association of the partner organisation²³. Such documents must prove that the organisation in question meets all the required eligibility criteria indicated in section 2.1.2. above. They must bear the stamp of the appropriate authorising body (ministry, lawyer, etc.) or be accompanied by relevant registration documents or other appropriate documentation. Any such accompanying documentation must be uploaded into PADOR in the same electronic file as the statutes or articles of association or, when a PADOR offline form is submitted, must be sent together with the supporting documents.

This obligation does not apply to international organisations which have signed a framework agreement with the European Commission. A list of the relevant framework agreements is available at the following address: http://ec.europa.eu/europeaid/work/procedures/financing/international_organisations/other_international_organisations/index_en.htm

Required supporting documents for applicants and partners who are natural persons:

A copy of a passport or identity card issued by the relevant national authorities.

Requirements for all supporting documents:

Where such documents are not in one of the official languages of the European Union, a translation into one of the languages of the Call for Proposals (see Section 2.2.1) of the relevant parts of these documents, proving the applicant's and partner's (s') eligibility, must be uploaded into PADOR in the same electronic file as the original language version (or, when a PADOR offline form is submitted, be sent with the supporting documents) and will prevail for the purpose of analysing the proposal.

Where these documents are in an official language of the European Union other than the languages of the Call for Proposals, it is **strongly** recommended, in order to facilitate the evaluation, to provide a translation of the relevant parts of the documents, proving the applicant's and partner's (s') eligibility, into one of the languages of the Call for Proposals. Where such translation is provided, it must be uploaded into PADOR in the same electronic file as the original language version (or, when a "PADOR offline form" is submitted, be sent with the supporting documents).

²³ See footnote 22.

2.5 NOTIFICATION OF THE EUROPEAN COMMISSION'S DECISION

2.5.1 Content of the decision

Applicants will be informed in writing of the European Commission's decision concerning their application and, where applicable, the principal reason(s) for a negative decision.

Applicants who were unsuccessful at the Opening and Administrative Check stages of the procedure (Step 1 and Step 3) or at the Eligibility check stage (Step 5) wishing to obtain further information should send their request by letter, indicating the reference of the Call for Proposals and the reference allocated to the proposal, to:

European Commission
Directorate-General for Development and Cooperation — EuropeAid
Unit DGA2.D.6 Finance, Contracts, Audit - Human and Society Development
Attn. Head of the Calls for Proposals Sector
Office: SC 15 05/93
B-1049 Brussels
Belgium

Applicants who were unsuccessful at the technical evaluation stages of the procedure (Step 2 or Step 4) wishing to obtain further information should send their request, indicating the reference of the Call for Proposals and the reference allocated to the proposal, to:

European Commission
Directorate-General for Development and Cooperation — EuropeAid
Unit DGA2.D.1 Governance, Democracy, Gender, Human Rights - Human and Society Development
Attn. Head of Unit
Office: SC15 03/70
B-1049 Brussels
Belgium

The request for further information should be sent to the European Commission no later than 90 days from the date of receipt of the letter informing the applicants about the negative decision concerning their application.

The European Commission must reply within 90 days of receipt of the request for information.

Thereafter, applicants believing that there has been an error or irregularity during the award process may send a petition no later than 90 days from the date of receipt of the above-mentioned reply from the European Commission, to the following address:

European Commission
Directorate-General for Development and Cooperation — EuropeAid
DEVCO DGA2.D Human and Society Development
Attn. The Director
Office: SC15 04/02
B-1049 Brussels, Belgium

The European Commission must reply within 90 days of receipt of the said petition.

2.5.2 *Indicative time table*

The indicative calendar will be published on EuropeAid website <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> together with the other documents related to this call and will be updated in the course of the evaluation procedure.

2.6 CONDITIONS APPLICABLE TO IMPLEMENTATION OF THE ACTION FOLLOWING THE EUROPEAN COMMISSION'S DECISION TO AWARD A GRANT

Following the decision to award a grant, the Beneficiary will be offered a contract based on the European commission's standard grant 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 grant contract.

If the successful applicant is an international organisation, the model Contribution Agreement with an international organisation or any other contract template agreed between the international organisation concerned and the European commission will be used instead of the standard grant contract provided that the international organisation in question offers the guarantees provided for in the applicable Financial Regulation, as described in Chapter 6 of the Practical Guide to contract procedures for EU external actions.

Implementation contracts

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

2.7 EARLY WARNING SYSTEM AND CENTRAL EXCLUSION DATABASE

The applicants and, if they are legal entities, persons who have powers of representation, decision-making or control over them, are informed that, should they be in one of the situations mentioned in:

- the Commission Decision of 16.12.2008 on the Early Warning System (EWS) for the use of authorising officers of the Commission and the executive agencies (OJ, L 344, 20.12.2008, p.125) or
- the Commission Regulation of 17.12.2008 on the Central Exclusion Database (CED) (OJ L344, 20.12.2008, p.12),

their personal details (name, given name if natural person, address, legal form and name and given name of the persons with powers of representation, decision-making or control, if legal person) may be registered in the EWS only or both in the EWS and CED, and communicated to the persons and entities listed in the above-mentioned Decision and Regulation, in relation to the award or the execution of a grant agreement or decision.

3. LIST OF ANNEXES

DOCUMENTS TO BE COMPLETED

ANNEX A: GRANT APPLICATION FORM (WORD FORMAT)

ANNEX B: BUDGET (EXCEL FORMAT)

ANNEX C: LOGICAL FRAMEWORK (EXCEL FORMAT)

ANNEX D: LEGAL ENTITY SHEET (PDF FORMAT) See document **E3e** available at http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index_en.htm

ANNEX E: PADOR OFF-LINE FORM (FOR ORGANISATIONS THAT WISH TO REGISTER BUT FIND IT IMPOSSIBLE TO DO SO ON LINE)
http://ec.europa.eu/europeaid/work/onlineservices/pador/dispensation_en.htm

DOCUMENTS FOR INFORMATION

ANNEX F: STANDARD CONTRACT (WORD FORMAT) See documents from **E3h_1** to **E3h_9** at http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index_en.htm

E3h_1 SPECIAL CONDITIONS

E3h_2 - ANNEX II: GENERAL CONDITIONS APPLICABLE TO EUROPEAN UNION-FINANCED GRANT CONTRACTS FOR EXTERNAL ACTIONS

E3h_3 - ANNEX IV: CONTRACT AWARD PROCEDURES

E3h_4 - ANNEX V: STANDARD REQUEST FOR PAYMENT AND FINANCIAL IDENTIFICATION FORM

E3h_5 - ANNEX VI: INTERIM NARRATIVE REPORT

E3h_6 - ANNEX VI: FINAL NARRATIVE REPORT

E3h_7 - ANNEX VI: FINANCIAL REPORT

E3h_8 - ANNEX VII: MODEL REPORT OF FACTUAL FINDINGS AND TERMS OF REFERENCE FOR AN EXPENDITURE VERIFICATION OF AN EC FINANCED GRANT CONTRACT FOR EXTERNAL ACTIONS

E3h_9 - ANNEX VIII: MODEL FINANCIAL GUARANTEE

ANNEX G: FINANCIAL IDENTIFICATION FORM

See document **E3f** at http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index_en.htm

ANNEX H: DAILY ALLOWANCE RATES (PER DIEM):

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

ANNEX I: STANDARD CONTRIBUTION AGREEMENT, applicable in case where the Beneficiary is an International organisation

ANNEX J: PROJECT CYCLE MANAGEMENT at

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