



**Contracting Authority:** European Commission

**European Instrument for Democracy and Human Rights (EIDHR)  
Establishing a European Union Human Rights Defenders Mechanism**

Open Call for Proposals 2014

Guidelines  
for grant applicants

Budget line 21.04.01

**Reference: EuropeAid/136316/DH/ACT/Multi**

Deadline for submission of Concept notes and Full applications:

**12/03/2015**

**2014**

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Call for Proposals Reference: EuropeAid/136316/DH/ACT/Multi – Guidelines for grant Applicants

## **In case of any discrepancy between the language versions of this call, the English version will prevail**

### **NOTICE**

This is an open Call for Proposals, where all documents are submitted together (Concept Note and Full Application Form). In the first instance, only the Concept Notes will be evaluated. Thereafter, for the applicants who have been pre-selected, the full proposal will be evaluated. After the evaluation of the full proposals, an eligibility check will be performed for those which have been provisionally selected. Eligibility will be checked on the basis of the supporting documents requested by the Contracting Authority and the signed 'Declaration by the Applicant' sent together with the application.

### **IMPORTANT**

Even though the verification of eligibility is foreseen to be carried out only for the provisionally selected applicants at the end of the procedure, the Evaluation Committee may decide to verify this point at any previous step of the procedure. Consequently, any proposal found to be non-compliant with all the mandatory conditions set in these guidelines can be automatically rejected on that sole basis, at any stage of the procedure and without any prior notice nor clarification request. Applicants are therefore strongly advised to fill in scrupulously the "Checklist for the Concept Note" (Annex A, Part A, section 2), the "Checklist for the Full Application form" (Annex A, Part B, section 7) and the first two pages of the application form where most of the prerequisites are required/listed. Any missing supporting document or any incoherence between the declarations and the supporting documents may lead to the rejection of the proposal on that sole basis.

A functional mailbox specifically dedicated to this call has been set up: [EuropeAid-136316HRDMechanism@ec.europa.eu](mailto:EuropeAid-136316HRDMechanism@ec.europa.eu). It shall be used exclusively for the purpose explained in paragraph 2.2 of these guidelines i.e. submission of the Concept Notes, clarification requests within the set deadline, submission of the Full Application and in case the applicant does not receive the confirmation of reception on the date announced in the indicative calendar (as explained in paragraph 2.2.3). No other functional mailbox will be used. The Contracting Authority reserves the right to close this mail box without prior notice once this call for proposals is closed and not to reply to requests which do not fall under one of the aforementioned categories. In particular, neither information regarding the indicative time table nor the content of the decision will be given through this mailbox. In that respect, applicants are requested to follow instruction given in paragraphs 2.5.1 and 2.5.2 of these guidelines.

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

### 1.1. - BACKGROUND

Effective support for human rights and their defenders in situations where they are most at risk has been a European Union (EU) priority since 2004 and a priority of the European Instrument for Democracy and Human Rights (EIDHR) since 2007. It is a key priority under the EU Strategic Framework and Action Plan on Human Rights and Democracy, adopted in June 2012.

The new Regulation (EU) No 235/2014 of the European Parliament and of the Council of 11 March 2014 establishing a financing instrument for democracy and human rights worldwide for 2014-2020<sup>1</sup>, reinforces the commitment to support human rights and their defenders at risk. It foresees a **Human Rights Defenders Mechanism, including long term assistance and access to shelter** (Article 2.1(b) (iii)).

The annex of the EIDHR Regulation makes of this commitment one of the strategic orientations in delivering on the purpose of the EIDHR. Indeed, its “Objective 1 –Support to human rights and human rights defenders in situations where they are most at risk” states that “*actions will provide effective support to human rights defenders (HRDs) that are most at risk and to situations where fundamental freedoms are most endangered. The EIDHR will inter alia contribute to meeting HRDs’ urgent needs; it will also provide medium and long-term support that will enable HRDs and civil society to carry out their work. The actions will take into account the current worrying trend of the shrinking space for civil society*”.

The EIDHR Annual Action Programme 2014 foresees a call “*Ensuring synergies and filling up the gaps: establishing a Human Rights Defenders mechanism*” (annex 1 component 3)<sup>2</sup>. It aims at increasing the efficiency of assistance, urgent support to HRDs in the field 24/7<sup>3</sup>, medium and long-term support to HRDs. It intends, in particular, to ensure synergies between short and long-term support, continuity in the provision of protection, and optimal coordination with other stakeholders and activities.

Actions financed by the EIDHR under this call will be in line with the EU political guidelines on HRDs adopted by the Council of the European Union in 2004 revised in 2008<sup>4</sup> in as well as all other relevant human rights policy documents.

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

The **global objective** of this Call for Proposals is the establishment of a EU comprehensive human rights defenders mechanism addressing the most difficult situations faced by human rights defenders in the world and providing support to the local actors who strive to promote and defend them.

The **specific objectives** of this Call for Proposals are:

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<sup>1</sup> <http://www.eidhr.eu/files/dmfile/EIDHR.2014-2020.pdf>

<sup>2</sup> <http://www.eidhr.eu/files/dmfile/AAP2014-AD1-11.pdf>

<sup>3</sup> 24 hours per day and 7 days per week.

<sup>4</sup> Ensuring protection – European Union Guidelines on Human Rights Defenders. General Affairs Council of 8 December 2008 [Not published in the Official Journal],

<http://www.consilium.europa.eu/uedocs/cmsUpload/16332-re01.en08.pdf>

- (i) to ensure a stable and comprehensive EU support to HRDs;
- (ii) to manage the EU temporary relocation initiative
- (iii) to strengthen the coordination between HRDs initiatives and actors supported by EIDHR.

The establishment of a EU Comprehensive human rights defenders mechanism is meant to be additional to the existing support to HRDs provided by the EIDHR during the period 2007-2013 by call for proposals and that will continue for the period 2014-2020. It is also to be seen in addition to the support provided by potential applicants with other sources of funding, in particular their own funds.

### 1.2.1. PRIORITIES

This call addresses three core priorities. All three priorities must be included in the action.

#### **Priority 1: Focusing on the most difficult situations and the most vulnerable HRDs**

The EU HRDs mechanism should primarily targets

- HRDs in those countries and regions where they are the most persecuted and subject to repression
- HRDs groups particularly targeted, amongst others women, LGBTI, land rights and environmental rights defenders, HRDs defending the rights of indigenous peoples, minorities, migrants and stateless persons, trade unionists promoting labour rights, lawyers, journalists and others promoting fundamental freedoms, HRDs challenging violations of economic, social and cultural rights. This list does not exclude the possibility to focus on new categories of HRDs.
- HRDs working in remote areas
- Forgotten and disenfranchised HRDs

The applicants will be evaluated on (i) their proposed methodology to deliver on this priority 1 reflected in the concept note evaluation grid section 1.4 (ii) their aggregated experience and proven capacity regarding this priority 1 evaluated in the full application evaluation grid section 1.2.

#### **Priority 2: Providing urgent, medium and long term support to HRDs**

The EU HRDs mechanism will be composed of urgent, medium and long term support to HRDs. The elements expected to be a **compulsory** part of the mechanism are listed below. The applicants will be evaluated on their aggregated capacity to achieve the various objectives and to implement the short/medium/long term support expected to be part of the mechanism.

*Short term support to HRDs **must** include, in complementarity with the EIDHR emergency fund<sup>5</sup>:*

- Permanent helpline for HRDs (24h/7)

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<sup>5</sup> The emergency fund for human rights defenders at risk managed under the EIDHR allows the Commission to give direct small grants of up to 10.000 euro per grant to Human Rights Defenders (HRD), be it individuals or organisations, who are in need of urgent support. This urgent support may take any form that is considered necessary, for instance to cover the fees for the legal representation of defenders, to cover medical expenses, to purchase security material for offices or homes, to pay for the evacuation of a HRD to another country, to support the operations of a Human Rights organisation which finds itself in a dire financial situation, etc. For more information, see <http://www.eidhr.eu/side-panels/human-rights-defenders/small-grants>.

- Physical/digital protection
- Urgent relocation
- Medical support and rehabilitation
- Legal support
- Support to families
- Urgent monitoring and reporting, urgent advocacy

*Medium-term support to HRDs must include:*

- Follow-up of individual cases
- Legal support, trial and prison monitoring
- Training on risk prevention and security
- Temporary relocation (including management of the temporary relocation platform currently being designed under the EIDHR programme<sup>6</sup>)

*Long-term support to HRDs must include:*

- Supporting coordination and synergies
- Legal support to lengthy judicial procedures
- Rehabilitation and psychological support
- Monitoring of HRDs situation and early warning
- Strategies to counter restrictions and sanctions, in particular on defamation, funding and criminalization issues
- Advocacy for pro-HRDs legislative frameworks

This list is not exhaustive. However, all the activities listed above are compulsory and must be part of the action. For more information on the respective weight expected for each type of support, see the section 1.2.3 below on the activities of the Mechanism.

The applicants will be evaluated on (i) their proposed methodology to deliver on this priority 2 reflected in the concept note evaluation grid section 1.1 (ii) their aggregated experience and proven capacity regarding this priority 2 evaluated in the full application evaluation grid section 1.2.

### **Priority 3: Ensuring coordination and outreach**

The project will ensure **added value with existing initiatives**, avoiding duplication with on-going programmes/projects and setting up coordination mechanisms to enhance synergies. The application should include a description on how complementarity will be achieved, in particular with other EIDHR funded activities, other EU projects and projects targeting HRDs from other donors.

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<sup>6</sup> For information on the temporary relocation platform, see section 1.2.3 component 6 and Annex L.

It will have a **worldwide coverage**. The applicants must prove their collective capacity and experience to ensure a comprehensive worldwide coverage encompassing the five continents, including in remote areas. The action will take place outside of the European Union, except for part of the temporary relocation component, some coordination and advocacy activities, and any other activity if duly justified.

It will be **open** and ensure a wide **outreach** to grass-roots organisations, local CSOs and activists, inter-alia via financial support to third parties and a communication and outreach strategy. The application should entail a description of the outreach strategy and provide a clear committing methodology on opening access to activities to non-affiliates of the applicant and co-applicants

The applicants will be evaluated on (i) their proposed methodology to deliver on this priority 3 reflected in the concept note evaluation grid section 1.2 (ii) their aggregated experience and proven capacity regarding this priority 3 evaluated in the full application evaluation grid section 1.2.

### **1.2.2. EXPECTED RESULTS**

Taking into account the difficult context in which the action will take place, indicative types of expected results under this call, not listed in a priority order, include:

- **Faster/permanent EU response** to support HRDs
- **Increased** security and safety of HRDs
- **Reduced** isolation of HRDs in remote areas
- **Fully fledged** temporary relocation system in place
- **Enhanced** coordination between HRD initiatives and actors
- **Increased** recognition of the need for protection for HRDs at risk at national/regional/international level
- **Enlarged** number of countries where HRDs legislation is in place and implemented

The proposed action should be designed to produce specific results in response to clearly identified needs and constraints. It is thus necessary to set a list of clear and sharp objectives and expected results as a result of a consistent and strategic logic of intervention.

### **1.2.3 ACTIVITIES**

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

The action and budget **must** be organised around four key types of activities:

- (i) Support to HRDs in the field,
- (ii) Training, monitoring and advocacy activities,
- (iii) Coordination and synergies,
- (iv) Outreach and visibility of the EU HRD mechanism.

Please note that if the four above mentioned types of activities are not part of the description of the action, the proposal will be rejected.

#### **(i) Type of activity 1 - Support to HRDs in the field**

The applicants will be evaluated on (i) their aggregated experience and proven capacity regarding this type of activity 1 and (ii) their proposed methodology to deliver on this type of activity 1. The Concept Note

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should already include details on the methodology, as this type of activity will be evaluated both in the Concept Note and Full Application evaluation grids.

For this first type of activity 1, applicants need to differentiate within each of the component 1, 2 and 3 between (a) support to third parties and (b) direct material support to HRDs.

Financial support to third parties and direct material support to HRDs are an essential part of the Human Rights Defenders Mechanism and **must** figure prominently in the project proposal. It will enable the implementation of the protection activities, outreach and support to local organisations and the implementation of the temporary relocation initiative.

#### ***a) Financial support to third parties***

Third parties are to be understood as entities that are not applicants, nor co-applicants, nor affiliates in the project.

In accordance with the hereafter enclosed section 2.1.4 of these guidelines, applicants must specify in their applications the objectives and results to be obtained and the types of entity that will be eligible for receiving financial support. A fixed list of the types of activity eligible for financial support must be included in the application, together with the criteria for selecting third parties including the criteria for determining the exact amount of each financial support given.

Indicative and non-exhaustive examples of award of financial support include: organization by the applicants of "calls for proposals" for which third parties may present applications for a project which can be awarded financial support; assistance for human rights organizations in need of temporary financial support to ensure its operational functioning; urgent support to human rights defenders or civil society organizations in the form of cash with receipts when the ordinary transfer of funds is not feasible, etc.

The principles of transparency, proportionality, equal treatment and non-discrimination should be observed in the award of financial support to third parties.

**Financial support to third parties will follow the reporting requirements described in the Option 1 of the Article 15 of the "General Conditions" – Annex II to the Standard Grant Contract (Annex G to the present Guidelines)**

#### ***b) Direct material support to HRDs***

In accordance with the hereafter enclosed section 2.1.4 of these guidelines, applicants must specify in their applications the objectives and results to be obtained and the types of entity that will be eligible for receiving direct material support. A fixed list of the types of activity eligible for direct material support must be included in the application, together with the criteria for selecting HRDs including the criteria for determining the exact nature and amount of each direct material support given.

Applicants will provide any kind of assistance to human rights defenders (financial, legal, material, technical, etc) which will be considered as ordinary eligible 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 aid 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, evacuation of HRDs from their countries, etc.

**Receipts, bills, proofs of transfer, plane tickets and any other document justifying the expenses will be backing direct material support to HRDs.** No specific narrative or financial report will be requested for this activity since the related costs incurred will be mentioned into the narrative and financial reports of the Action.



*Support to HRDs in the field **must** have three distinctive components:*

**Component 1 (C1): emergency support to HRDs up to 10 000 euros**

This activity will cover inter alia urgent, physical/digital protection, relocation, medical support and rehabilitation, legal support, including lengthy judicial procedures and support to families of HRDs at risk.

This component 1 including as appropriate financial support to third parties and/or direct material support to HRDs should represent at least 20% of the total budget, out of which at least 70% should be allocated to third parties without existing links to the applicants such as membership, affiliation or partnership.

**Component 2 (C2): support to local HRDs organisations up to 60 000 euros**

This activity will support local HRDs organisations for local activities linked to the priorities of this call, including advocacy and capacity building, in particular in most difficult situations and remote areas.

This component 2 including as appropriate financial support to third parties and/or direct material support to HRDs should represent at least 10 % of the total budget, out of which at least 70% should be allocated to third parties without existing links to the applicants such as membership, affiliation or partnership.

**Component 3 (C3): temporary relocations of HRDs at risk up to 60 000 euros**

This activity will cover the full range of needs that a human rights defender in need of temporary shelter may need in each phase of the "relocation cycle": pre-entry/identification; relocation and placement outside their country, stay in host country; and return and follow-up.

All the stakeholders involved in relocation activities should be eligible for funding, including cities and universities. Members of the HRDs temporary relocation platform (see component 6 below) should have privileged access to funding under this component 3 and the European Commission should be involved in the decision making process. In order to avoid a competition for funds among NGOs, financial support should be attached to individual cases, not to cover administrative or operational costs of an organization.

This component 3 including as appropriate financial support to third parties and/or direct material support to HRDs should represent at least 30 % of the total budget, out of which at least 70% should be allocated to third parties without existing links to the applicants such as membership, affiliation or partnership.

**(ii) Type of activity 2 - Training, monitoring and advocacy**

The applicants will be evaluated on (i) their aggregated experience and proven capacity regarding this type of activity 2 and (ii) their proposed methodology to deliver on this type of activity 2.

*Training, monitoring and advocacy activities **must** have two distinctive components:*

**Component 4 (C4): Training and information to HRDs at risk**

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Under this component, applicants **must** provide a methodology for:

- Trainings on risk prevention and security, with a particular effort to reach out to HRDs in remote places. The trainings and appropriate follow up should take place at local level, ensuring as much as possible a worldwide coverage.
- Permanent helpline for HRDs (24h/7). The helpline should be operational in at least five languages (Arabic, English, French, Russian and Spanish), provide information on the different types of HRDs support that can be offered by the Mechanism and translate into the mobilisation of immediate support and action.

This component 4 should represent at maximum 15 % of the total budget.

### **Component 5 (C5): Monitoring and advocacy**

Under this component, applicants **must** provide a methodology for at least all the following elements:

- Urgent monitoring and reporting, urgent advocacy
- Follow-up of individual cases
- Trial and prison monitoring
- Monitoring of HRDs situation and early warning
- Strategies to counter restrictions and sanctions, in particular on defamation, funding and criminalization issues
- Advocacy for pro-HRDs legislative frameworks

This component 5 should represent at maximum 5 % of the total budget.

### **(iii) Type of activity 3 – Coordination and synergies**

The applicants will be evaluated on (i) their aggregated experience and proven capacity regarding this type of activity 3 and (ii) their proposed methodology to deliver on this type of activity 3.

*Coordination and synergies **must** have two distinctive components:*

### **Component 6 (C6): Management of the HRDs platform**

The HRD Mechanism will ensure continuity with the on-going EIDHR project titled “Enhancing coordination between programmes for temporary relocation of Human Rights Defenders” (EIDHR/2013/336-821 – Terms of Reference in Annex L).

The Platform aims at

- Enhancing the synergies between available existing programmes providing support to HRDs in the form of temporary relocation,
- Enhancing the scope of the network and providing an access point for new actors and programmes interested in joining (e.g. new cities, universities, etc) and,

- Enhancing the communication between stakeholders by creating a digital platform allowing the safe<sup>7</sup> exchange of information among the members of the initiative, to ensure "best-fit" matching of demands and resources.

The main objective of establishing the digital database/platform is to facilitate coordination and collaboration among existing programmes for the temporary relocation of HRDs at risk. While it serves members, the digital platform should also be an access point for new actors and programmes interested in joining and actors interested in getting involved in programmes for the temporary relocation of HRDs.

*Under this component, applicants **must** provide a methodology for:*

- Facilitating decision making within the Platform under EC supervision, including decision making on the financial support to third parties that will be open to members of the Platform.
- Managing and facilitating the online Platform, ensuring that the information is permanently up-to-date, moderating discussion forums, feeding-in good practices, reaching out to new members within and outside the EU and representing different stakeholders (cities, universities, etc), ensuring a living and dynamic communication tool.
- Organising regular meetings of the Platform members, minimum once a year

This component 6 should represent at maximum 7 % of the total budget.

### **Component 7 (C7): Supporting coordination and synergies**

Under this component, applicants **must** provide a methodology for:

- Coordination with other actors active on Human Rights Defenders, including yearly coordination meetings of EIDHR beneficiaries and other relevant actors supporting HRDs (National Human Rights Institutes (NHRIs), regional mechanisms, etc) under EC supervision
- Coordination with the European Commission services, including at minimum weekly meetings and including regular exchanges on financial support to third parties and direct material support to HRDs.

This component 7 should represent at maximum 8 % of the total budget.

### **(iv) Type of activity 4 – Outreach and visibility of the EU HRD mechanism**

The applicants will be evaluated on (i) their aggregated experience and proven capacity regarding this priority 1 (ii) their proposed methodology to deliver on this type of activity 4.

*Outreach and visibility of the EU HRD mechanism **must** have two distinctive components:*

### **Component 8 (C8): Outreach**

Under this component, applicants **must** provide a methodology for:

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<sup>7</sup> While total security cannot be guaranteed, steps will be taken to make the platform as secure as possible.

- An outreach strategy to ensure the project will benefit to the largest possible number of HRDs and grassroots organisations worldwide, in particular the most vulnerable HRDs and those working in remote areas

This component 8 should represent at maximum 3 % of the total budget.

### **Component 9 (C9): Visibility**

Under this component, applicants **must** provide a methodology for:

- The communication strategy of the HRDs Mechanism, its promotion and ensuring EU visibility, including communication on financial support to third parties and on direct material support to HRDs.
- Ensuring confidentiality of sensitive activities performed under the project

This component 9 should represent at maximum 2 % of the total budget.

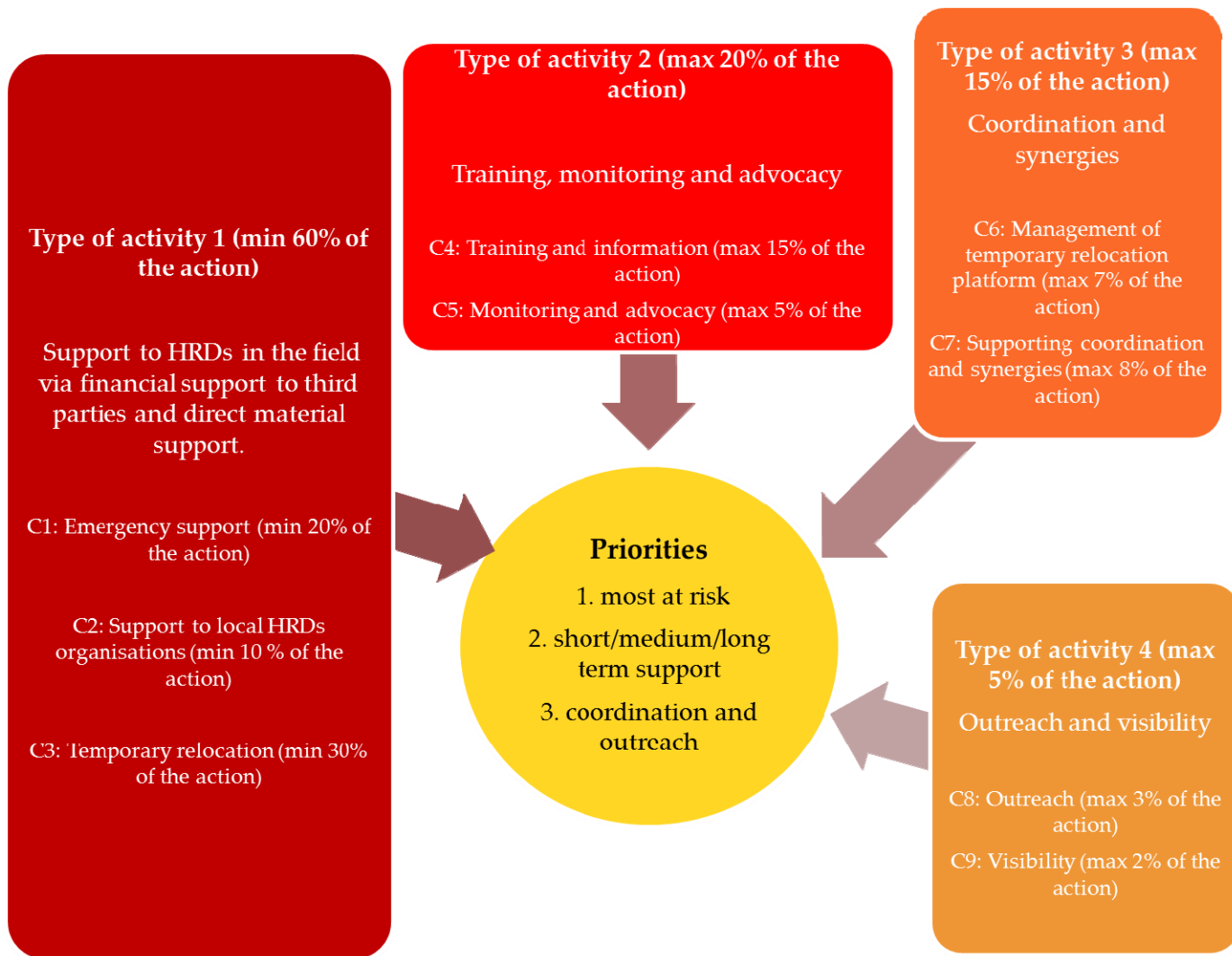
### ***Sustainability of actions***

Finally, 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.

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

The inclusion 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, in particular in section 4 of the evaluation grid (see Evaluation Grids in section 2.3 of the present Guidelines).

The table below summarises the **mandatory elements of the EU Human Rights Defenders Mechanism**.



In order to allow an easy verification of the distribution of the budget as per the requirements summed up in the diagram above, in addition to the standard global budget of the Action (Annex B), applicants must fill in additional worksheets detailing the budget for each of the **four mandatory activities and related components**. (one worksheet per activity). See section 2.1.6. of the Grant Application Form.

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

The overall indicative amount made available under this Call for Proposals is EUR 15 000 000.

#### **Only one contract will be awarded under this call.**

The Contracting Authority reserves the right not to award all available funds.

#### Size of grants

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

- Minimum amount: EUR 14 000 000
- Maximum amount: EUR 15 000 000

Any grant requested under this Call for Proposals cannot exceed the following maximum percentage of total eligible costs of the action:

- Maximum percentage: 95% of the total eligible costs of the action (see also Section 2.1.5).

The balance (i.e. the difference between the total cost of the action and the amount requested from the Contracting Authority) must be financed from sources other than the European Union Budget or the European Development Fund<sup>8</sup>.

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<sup>8</sup> Where a grant is financed by the European Development Fund, any mention of European Union financing must be understood as referring to European Development Fund financing.

## 2. RULES FOR THIS CALL FOR PROPOSALS

These guidelines set out the rules for the submission, selection and implementation of the actions financed under this Call, in conformity with the Practical Guide, which is applicable to the present call (available on the Internet at this address:

<http://ec.europa.eu/europeaid/prag/document.do?locale=en>

### 2.1. ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

(1) the actors:

- The **applicant**, i.e. the entity submitting the application form (2.1.1),
- if any, its **co-applicant(s)** (**where it is not specified otherwise the applicant and its co-applicant(s) are hereinafter jointly referred as the "applicants"**) (2.1.1),
- and, if any, **affiliated entity(ies)** to the applicant and/or to a co-applicant(s). (2.1.2);

(2) the actions:

Actions for which a grant may be awarded (2.1.4);

(3) the costs:

- types of cost that may be taken into account in setting the amount of the grant (2.1.5).

<b>2.1.1. Eligibility of applicants (i.e. applicant and co-applicant(s))</b>
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#### **Applicant**

(1) In order to be eligible for a grant, the applicant must:

- be a legal person **and**
- be non-profit-making **and**
- be a specific type of organisation such as
  - (a) civil society organisations, including non-governmental organisations and independent political foundations ;  
  
community-based organisations;  
  
private-sector agencies, institutions and organisations and networks thereof at local, national, regional and international level;
  - (b) public-sector agencies, institutions and organisations and networks at local, national, regional and international level (**except the National Ministries and International Organisations**) ;
  - (c) national, regional and international parliamentary bodies **and**

- be directly responsible for the preparation and management of the action with the co-applicant(s) and affiliated entity(ies), not acting as an intermediary **and**
- be legally registered for a minimum of three years before the deadline for applications.

In addition to the above-mentioned categories, non-profit making universities are also eligible under the present call for Proposals.

No nationality restriction applies in accordance with the provisions of Article 11 of the Regulation (EU) N° 236/2014 of the European Parliament and of the Council of 11 March 2014 laying down common rules and procedures for the implementation of the Union's instruments for financing external action.

- (2) The potential applicant may not participate in calls for proposals or be awarded grants if it is in any of the situations listed in Section 2.3.3 of the Practical Guide;

In Part B section 8 of the grant application form ('Declaration by the applicant'), the applicant must declare that the applicant himself, the co-applicant(s) and affiliated entity(ies) are not in any of these situations.

The applicant must act with co-applicant(s) as specified hereafter.

If awarded the Grant contract, the applicant will become the Beneficiary identified as the Coordinator in annex E3h1 (Special Conditions). The Coordinator is the main interlocutor of the Contracting Authority. It represents and acts on behalf of any other co-beneficiary (if any) and coordinate the design and implementation of the Action.

Please note that as per Article 1.6 of the "General conditions" – Annex II to the Standard Grant Contract (Annex G to the present Guidelines), the Coordinator has full financial responsibility for ensuring that the Action is implemented in accordance with this Contract.

In other words, if ineligible costs are identified at any time of the implementation period of the project, the Contracting Authority will only turn to the Coordinator to reclaim any sum unduly paid including the costs incurred in awarding financial support to third parties and direct material support to HRDs.

Therefore, it is highly recommended to the Coordinator to take all necessary measures to guarantee the eligibility of funds allocated as financial support and direct material support to HRDs by itself, its co-applicants or affiliated entities.

### **Co-applicant(s)**

**The applicant must act with at least four co-applicants. The applicants will be evaluated on their aggregated proven capacity to deliver on the three priorities of this call for proposals.**

Co-applicant(s) participate in designing and implementing the action, and the costs they incur are eligible in the same way as those incurred by the applicant.

Co-applicant(s) must satisfy the eligibility criteria as applicable to the applicant himself.

Co-applicant(s) must sign the Mandate in Part B section 4 of the grant application form.

If awarded the Grant contract, the co-applicants will become beneficiaries in the Action (together with the Coordinator)



## 2.1.2. *Affiliated entities*

Affiliated entity(ies)

The applicant and its co-applicant(s) may act with affiliated entity(ies)

**Only the following entities may be considered as affiliated entities to the applicant and/or to co-applicant(s):**

Only entities having a structural link with the applicants, in particular a legal or capital link.

This structural link encompasses mainly two notions:

- (i) Control, as defined in Directive 2013/34/EU on the annual financial statements, consolidated financial statements and related reports of certain types of undertakings:

Entities affiliated to a beneficiary may hence be:

- Entities directly or indirectly controlled by the beneficiary (daughter companies or first-tier subsidiaries). They may also be entities controlled by an entity controlled by the beneficiary (granddaughter companies or second-tier subsidiaries) and the same applies to further tiers of control;
  - Entities directly or indirectly controlling the beneficiary (parent companies). Likewise, they may be entities controlling an entity controlling the beneficiary;
  - Entities under the same direct or indirect control as the beneficiary (sister companies).
- (ii) Membership, i.e. the beneficiary is legally defined as a e.g. network, federation, association in which the proposed affiliated entities also participate or the beneficiary participates in the same entity (e.g. network, federation, association) as the proposed affiliated entities.

The structural link shall as a general rule be neither limited to the action nor established for the sole purpose of its implementation. This means that the link would exist independently of the award of the grant; it should exist before the call for proposals and remain valid after the end of the action.

By way of exception, an entity may be considered as affiliated to a beneficiary even if it has a structural link specifically established for the sole purpose of the implementation of the action in the case of so-called “sole applicants” or “sole beneficiaries”. A sole applicant or a sole beneficiary is an entity formed by several entities (a group of entities) which together comply with the criteria for being awarded the grant. For example, an association is formed by its members.

### What is not an affiliated entity?

The following are not considered entities affiliated to a beneficiary:

- Entities that have entered into a (procurement) contract or subcontract with a beneficiary, act as concessionaires or delegates for public services for a beneficiary,
- Entities that receive financial support from the beneficiary,
- Entities that cooperate on a regular basis with the beneficiary on the basis of a memorandum of understanding or share some assets,
- Entities that have signed a consortium agreement under the grant contract.

### How to verify the existence of the required link with the beneficiary?

The affiliation resulting from control may in particular be proved on the basis of the consolidated accounts of the group of entities the beneficiary and its proposed affiliates belong to.

The affiliation resulting from membership may in particular be proved on the basis of the statutes or equivalent act establishing the entity (network, federation, association) which the beneficiary constitutes or in which the beneficiary participates.

If the applicants are awarded a contract, their affiliated entity(ies) will not become Beneficiary(ies) of the Action and signatory(ies) of the Contract. However, they will participate in the design and in the implementation of the Action and the costs they incur (including those incurred for Implementation Contracts and Financial Support to third parties) may be accepted as eligible costs, provided they comply with all the relevant rules already applicable to the Beneficiary(ies) under the Grant Contract.

Affiliated entity(ies) must satisfy the same eligibility criteria as the applicant and the co-applicant(s). They must sign the affiliated entity(ies) statement in Part B section 5 of the grant application form.

### **2.1.3. Associates and Contractors**

The following entities are not applicant(s) nor affiliated entity(ies) and do not have to sign the "mandate" or "affiliated entities' 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. Associates must be mentioned in Part B section 6 — 'Associates of the Applicant participating in the Action' — of the Grant Application Form.

- Contractors

The grant beneficiaries and their affiliated entities are permitted to award contracts. Associates or affiliated entity(ies) cannot be also contractors in the project. Contractors are subject to the procurement rules set out in Annex IV to the standard grant contract.

### **2.1.4. Eligible actions: actions for which an application may be made**

#### Definition:

An action is composed of a set of activities.

#### Duration

The initial planned duration of an action may not exceed 36 Months.

#### Sectors or themes

Specific sectors or themes to which the actions must relate are described in section 1.2.

#### Location

The action must have worldwide coverage. The applicants must prove their collective capacity and experience to ensure a comprehensive worldwide coverage encompassing the five continents, including in remote areas. The action will take place outside of the European Union, except for part of the temporary relocation component, some coordination and advocacy activities, and any other activity if duly justified.

## Types of action

The types of action which may be financed under this call will be composed of four types of activities providing support to HRDs as described in section 1.2. The types of actions eligible include:

- (i) Support to HRDs in the field, including financial support to third parties and direct material support to HRDs
- (ii) Training, monitoring and advocacy activities,
- (iii) Coordination and synergies,
- (iv) Outreach and visibility of the EU HRD mechanism.

The following types of action are **ineligible**:

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences and congresses;
- 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;

## Types of activity

For a non-exhaustive list of activities, please refer to section 1.2.

## Financial support to third parties<sup>9</sup> and direct material support to HRDs

Applicants must propose financial support to third parties and direct material support to HRDs in order to help achieving the objectives of the action.

The maximum amount of financial support per third party is EUR 60 000.

The maximum amount of direct material support to HRDs per third party is EUR 10 000.

In compliance with the present guidelines and notably of any conditions or restrictions in this section, applicants should define exhaustively and mandatorily in section 2.1.1 of the grant application form:

- (i) the objectives and results to be obtained with the financial support and direct material support
- (ii) the different types of activities eligible for financial support and direct material support, on the basis of a fixed list
- (iii) the types of persons or categories of persons which may receive financial support and direct material support
- (iv) the criteria for selecting these entities and giving the financial support and direct material support

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<sup>9</sup> These third parties are neither affiliated entity(ies) nor associates nor contractors.

- (v) the criteria for determining the exact amount of financial support and direct material support for each third entity
- (vi) the maximum amount which may be given and
- (vii) the system of control set up to verify the eligibility of costs.

**To ensure equality of treatment among third parties, at least 70% of the financial support and direct material support should be allocated to third parties without existing links to the applicants such as membership, affiliation or partnership.**

In all events, the mandatory conditions set above for giving financial support (points (i) to (vii)) have to be strictly defined in the contract as to avoid any exercise of discretion.

#### Visibility

The Applicants must take all necessary steps to publicise the fact that the European Union has financed or co-financed the Action. As far as possible, actions that are wholly or partially funded by the European Union must incorporate information and communication activities designed to raise the awareness of specific or general audiences of the reasons for the action and the EU support for the action in the country or region concerned, as well as the results and the impact of this support.

Applicants must comply with the objectives and priorities and guarantee the visibility of the EU financing (see the Communication and Visibility Manual for EU external actions specified and published by the European Commission at [http://ec.europa.eu/europeaid/work/visibility/index\\_en.htm](http://ec.europa.eu/europeaid/work/visibility/index_en.htm))

#### Number of applications and grants per applicants

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

The applicant may not be a co-applicant or an affiliated entity in another application at the same time.

A co-applicant or affiliated entity may not submit more than one application under this Call for Proposals.

A co-applicant or affiliated entity may not be the applicant or a co-applicant or an affiliated entity in another application at the same time.

In conclusion, under this Call, a stakeholder may not apply more than once regardless his role in the implementation of the action. **If a stakeholder applies for more than one application, all applications will be rejected.**

#### ***2.1.5. Eligibility of costs: costs that can be included***

Only 'eligible costs' can be covered by a grant. The categories of costs that are eligible and non-eligible are indicated below. The budget is both a cost estimate and an overall ceiling for 'eligible costs'.

The reimbursement of eligible costs may be based on any or a combination of the following forms:

- actual costs incurred by the Beneficiary(ies) and affiliated entity(ies)
- one or more simplified cost options.

Simplified cost options may take the form of:

- **unit costs:** covering all or certain specific categories of eligible costs which are clearly identified in advance by reference to an amount per unit.
- **lump sums:** covering in global terms all or certain specific categories of eligible costs which are clearly identified in advance.

- **flat-rate financing:** covering specific categories of eligible costs which are clearly identified in advance by applying a percentage fixed ex ante.

The amounts or rates have to be based on estimates using objective data such as statistical data or any other objective means or with reference to certified or auditable historical data of the applicants or the affiliated entity(ies). The methods used to determine the amounts or rates of unit costs, lump sums or flat-rates must comply with the criteria established in Annex K, and especially ensure that the costs correspond fairly to the actual costs incurred by the Grant Beneficiary(ies) and affiliated entity(ies), are in line with their accounting practices, no profit is made and the costs are not already covered by other sources of funding (no double funding). Refer to Annex K for directions and a checklist of controls to assess the minimum necessary conditions that provide reasonable assurance for the acceptance of the proposed amounts.

The applicant proposing this form of reimbursement, must clearly indicate in worksheet no.1 of Annex B, each heading/item of eligible costs concerned by this type of financing, i.e. add the reference in capital letters to "UNIT COST" (per month/flight etc), "LUMPSUM" or "FLAT RATE" in the Unit column. (see example in Annex K)

Additionally in Annex B, in the second column of worksheet no.2, "Justification of the estimated costs" per each of the corresponding budget item or heading the applicant must:

- describe the information and methods used to establish the amounts of unit costs, lump sums and/or flat-rates, to which costs they refer, etc.
- clearly explain the formulas for calculation of the final eligible amount<sup>10</sup>
- identify the beneficiary who will use the simplified cost option (in case of affiliated entity, specify first the beneficiary), in order to verify the maximum amount per each beneficiary (which includes if applicable simplified cost options of its affiliated entity(ies))

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

The total amount of financing on the basis of simplified cost options that can be authorised by the Contracting Authority for any of the applicants individually (including simplified cost options proposed by their own affiliated entities) cannot exceed EUR 60 000 (the indirect costs are not taken into account).

Recommendations to award a grant are always subject to the condition that the checks preceding the signing of the contract do not reveal problems requiring changes to the budget (such as arithmetical errors, inaccuracies, unrealistic costs and ineligible costs). The checks may give rise to requests for clarification and may lead the Contracting Authority to impose modifications or reductions to address such mistakes or inaccuracies. It is not possible to increase the grant or the percentage of EU co-financing as a result of these corrections.

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

#### Eligible direct costs

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

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<sup>10</sup> Examples:- for staff costs: number of hours or days of work \* hourly or daily rate pre-set according to the category of personnel concerned;- for travel expenses: distance in km \* pre-set cost of transport per km; number of days \* daily allowance pre-set according to the country;- for specific costs arising from the organization of an event: number of participants at the event \* pre-set total cost per participant etc.

**Direct costs related to financial support to third parties and direct material support to HRDs must also be incurred during the implementation period of the grant contract issued from the present Call for Proposals. (Please refer to Article 14.1. a) (i) of the "General conditions" – Annex II to the Standard Grant Contract (Annex G to the present Guidelines)**

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

#### Contingency reserve

The budget may include a contingency reserve not exceeding 5% of the estimated direct eligible costs. It can only be used with the **prior written authorisation** of the Contracting Authority.

#### Eligible indirect costs

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

If any of the applicants or affiliated entity(ies) is in receipt of an operating grant financed by the EU, it may not claim indirect costs on its incurred costs within the proposed budget for the action.

#### Contributions in kind

Contributions in kind mean the provision of goods or services to a Beneficiary(ies) or affiliated entity(ies) free of charge by a third party. As contributions in kind do not involve any expenditure for a Beneficiary(ies) or affiliated entity(ies), they are not eligible costs.

Contributions in kind may not be treated as co-financing

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

#### Ineligible costs

The following costs are not eligible:

- debts and debt service charges (interest);
- provisions for losses or potential future liabilities;
- costs declared by the Beneficiary(ies) and financed by another action or work programme receiving a Union (including through EDF) grant;
- 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 Beneficiary(ies), at the latest at the end of the action;
- currency exchange losses;
- credit to third parties.

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

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

Registration is obligatory for all applicants, co-applicant(s) and affiliated entity(ies), if any.

PADOR is an on-line database in which organisations register and update their data regularly, through the EuropeAid website: [http://ec.europa.eu/europeaid/work/onlineservices/pador/index\\_en.htm](http://ec.europa.eu/europeaid/work/onlineservices/pador/index_en.htm)

Before starting to register your organisation in PADOR, please read the ‘Quick guide’ on the website. It explains the registration process.

It is strongly recommended to register in PADOR when you start drafting your proposal and not to wait until just before the deadline of submission.

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

However, if it is impossible for the organisation to register in PADOR, it must submit a justification proving that this impossibility is general and beyond the control of the applicant and/or its affiliated entity(ies). In such cases, the applicants and/or affiliated entity(ies) concerned must complete the ‘PADOR off-line form’<sup>11</sup> attached to these Guidelines and send it by the submission deadline, together with the application, to the address indicated in sections 2.2.2 and 2.2.6. The registration in PADOR will then be carried out by the European Commission service in charge of the Call for Proposals. If, at a later stage, the organisation wishes to update its data itself, it will have to send an access request to the PADOR helpdesk.

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

### **2.2.1. Application forms**

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

Applicants must apply in English, French or Spanish. Applicants must apply in the language most commonly used by the target population in the country in which the action takes place.

Any error or major discrepancy related to the points listed in the instructions on the Concept Note or any major inconsistency in the application form (e.g. if the amounts in the budget worksheets are inconsistent) may lead to the rejection of the application.

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

Hand-written applications will not be accepted.

Please note that only the application form and the published annexes which have to be filled in (budget, logical framework) will be evaluated. It is therefore of utmost importance that these documents contain ALL the relevant information concerning the action. No additional annexes should be sent.

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

The complete Application Form (Part A Concept Note and Part B Full Application Form), budget and logical framework must be submitted **by e-mail only** to the following e-mail address :

[EuropeAid-136316HRDMechanism@ec.europa.eu](mailto:EuropeAid-136316HRDMechanism@ec.europa.eu)

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

Applications sent by any other means (registered mail, courier service, fax, hand delivery, etc) or sent to any other e-mail address will be rejected.

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

The Checklist (Section 7 of Part B of the Grant Application Form) and the Declaration by the applicant (section 8 of Part B of the Grant Application Form) must be included in the e-mail.

The Applicant will receive an automatic acknowledgement of receipt following the submission of its application. If the applicant doesn't receive any confirmation, it must immediately contact the European Commission at the following fax number : +32 2 2920940

Please note that this fax number may only be used in these circumstances.

**Applicants must verify that their application is complete using the checklist (Section 7 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 **12/03/2015 at 16:00 hrs (Brussels date and time)**.

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

**Any Application sent after the deadline will be rejected.**

**The applicant is solely responsible for following-up the delivery.**

The European Commission cannot be held responsible for the non-delivery of any application.

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

Questions may be sent by e-mail no later than 21 days before the deadline for the submission of applications to the address,below :

E-mail address: [EuropeAid-136316HRDMechanism@ec.europa.eu](mailto:EuropeAid-136316HRDMechanism@ec.europa.eu)

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

Replies will be given no later than 11 days before the deadline for the submission of applications.

To ensure equal treatment of applicants, the Contracting Authority cannot give a prior opinion on the eligibility of applicants, affiliated entity(ies) (if any), an action or specific activities.

**No individual replies will be given to questions. All questions and answers, as well as other important notices to applicants during the course of the evaluation procedure, will be published on the EuropeAid website below. It is therefore advisable to consult the website below regularly.**

1. <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?ADSSChck=1417598831970&do=publi.welcome&userlanguage=en>



2. "Search by reference"

3. "136316"

All questions related to PADOR registration should be addressed to the PADOR helpdesk:

[Europeaid-pador@ec.europa.eu](mailto:Europeaid-pador@ec.europa.eu)

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

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

If the examination of the application reveals that the proposed action does not meet the eligibility criteria stated in paragraph 2.1, the application will be rejected on this sole basis.

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

The following will be assessed:

- Compliance with the submission deadline. If the deadline has not been met, the application will automatically be rejected.
- The Application Form satisfies all the criteria specified in points 1-5 of the Checklist Section 7 of Part B of the grant application form). If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

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

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

The evaluation criteria are divided into headings and subheadings. Each subheading will be given a score between 1 and 5 as follows: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

### Scores

1. Relevance of the action	Sub-score	30
<p>1.1 How relevant is the proposal to the objectives and priorities of the Call for Proposals?*</p> <p><i>Includes relevance of the proposal to the general objective, the three specific objectives and the evaluation of the methodology of the applicants on the priorities, in particular priority 2.</i></p>	5x2**	
<p>1.2 How relevant to the particular needs and constraints of the target country(ies) or region(s) is the proposal (including synergy with other EU initiatives and avoidance of duplication)?</p> <p><i>Includes the evaluation of the methodology of the applicants on the priorities, in particular priority 3.</i></p>	5x2*	
<p>1.3 How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs been clearly defined and does the proposal address them appropriately?</p> <p><i>Includes the evaluation of the methodology for financial support to third parties and direct material support.</i></p>	5	
<p>1.4 Does the proposal contain specific added-value elements, such as environmental issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, or innovation and best practices ?</p> <p><i>Includes the evaluation of the methodology of the applicants on the priorities, in particular priority 1.</i></p>	5	

<b>2. Design of the action</b>	Sub-score	<b>20</b>
<p>2.1 How coherent is the overall design of the action?</p> <p>In particular, does it reflect the analysis of the problems involved, take into account external factors and relevant stakeholders?</p> <p><i>Includes the roles of members of the partnership and their added value; overall coherence and complementarity of activities; etc.</i></p>	5x2**	
<p>2.2 Is the action feasible and consistent in relation to the objectives and expected results?</p>	5x2**	

**TOTAL SCORE** **50**

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

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

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

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

Secondly, the number of Concept Notes will be reduced, taking account of the ranking, to the number of Concept Notes whose total aggregate amount of requested contributions is equal to at least 200% of the available budget for this Call for Proposals. The amount of requested contributions of each concept note will be based on the indicative financial envelopes for each lot.

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

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

Firstly, the following will be assessed:

- The full application form satisfies all the criteria specified in points 1-17 of the Checklist (Section 7 of Part B of the grant application form). If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

The quality of the applications, including the proposed budget and capacity of the applicants and affiliated entity(ies), will be evaluated using the evaluation criteria in the evaluation grid below. There are two types of evaluation criteria: selection and award criteria.

**The selection criteria** help to evaluate the applicant(s)'s and affiliated entity(ies)'s operational capacity and the applicant's financial capacity and to ensure that they:

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

**The award criteria** help to evaluate the quality of the applications in relation to the objectives and priorities, and to award grants to projects which maximise the overall effectiveness of the Call for Proposals. They help to select applications which the Contracting Authority can be confident will comply with its objectives and priorities. They cover the relevance of the action, its consistency with the objectives of the Call for Proposals, quality, expected impact, sustainability and cost-effectiveness.

*Scoring:*

The evaluation grid is divided into sections and subsections. Each subsection will be given a score between 1 and 5 as follows: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

### Evaluation Grid

Section	Maximum Score
<b>1. Financial and operational capacity</b>	<b>20</b>
1.1 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient experience of project management?	5
1.2 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient technical expertise? (especially knowledge of the issues to be addressed)  <i>Includes the evaluation of the aggregated experience of the applicants on the priorities 1, 2 and 3.</i>	5
1.3 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient management capacity? (Including staff, equipment and ability to handle the budget for the action)?	5
1.4 Does the lead applicant have stable and sufficient sources of finance?	5
<b>2. Relevance of the action</b>	<b>30</b>

<i>Score transferred from the Concept Note evaluation</i>	
<b>3. Effectiveness and feasibility of the action</b>	<b>20</b>
<p>3.1 Are the activities proposed appropriate, practical, and consistent with the objectives and expected results?</p> <p><i>Inclusion of the four types of activities and nine related components in the proposal (section 1.2), methodology and overall articulation with the objectives and expected results.</i></p>	5
<p>3.2 Is the action plan clear and feasible?</p> <p><i>Includes the detailed description of each activity; clear distribution of activities per expected result and responsibilities per actor; complementarity and logic sequence of the activities; etc.</i></p>	5
<p>3.3 Does the proposal contain objectively verifiable indicators for the outcome of the action? Is any evaluation planned?</p> <p><i>Includes the description of additional monitoring mechanisms such as internal quality control and production of activity reports, etc</i></p>	5
<p>3.4 Is the co-applicant(s)'s and affiliated entity(ies)'s level of involvement and participation in the action satisfactory?</p> <p><i>Includes the description of the partnership and roles in the action; description of adequate governance and management arrangements and mechanisms; description of co-applicants/affiliated entities 'roles in managing, coordinating and monitoring the action and the partnership</i></p>	5
<b>4. Sustainability of the action</b>	<b>15</b>
<p>4.1 Is the action likely to have a tangible impact on its target groups?</p> <p><i>Includes the description of activities conducive to a greater autonomy by the end of the financing period, the inclusion of specific activities aimed at increasing financial, management and organizational capacities of local human rights defenders and local civil society organizations, in particular grass-roots groups in rural or remote areas, to ensure the continuation of their work in the long term.</i></p>	5
<p>4.2 Is the proposal likely to have multiplier effects? (Including scope for replication, extension and information sharing.)</p> <p><i>Includes the evaluation of the outreach and information sharing strategy, inclusion of prospects or activities to interact with similar actions or networks supporting HRDs in the five continents.</i></p>	5
<p>4.3 Are the expected results of the proposed action sustainable?:</p> <p>- financially (<i>how will the activities be financed after the funding ends?</i>)</p>	5

<ul style="list-style-type: none"> <li>- 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>)</li> <li>- 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>)</li> <li>- environmentally (if applicable) (<i>will the action have a negative/positive environmental impact?</i>)</li> </ul>	
<b>5. Budget and cost-effectiveness of the action</b>	<b>15</b>
<p>5.1 Are the activities appropriately reflected in the budget?</p> <p><i>In particular, evaluation of the budget allocations for each component of the action (see section 1.2).</i></p>	/ 5
<p>5.2 Is the ratio between the estimated costs and the expected results satisfactory?</p> <p><i>Particular attention to the ratio between the human resources costs and the total cost of the action.</i></p>	/ 10
<b>Maximum total score</b>	<b>100</b>

*Note on section 1. Financial and operational capacity*

Sections 1.1, 1.2 and 1.3 include the **aggregated evaluation** of the applicants and, affiliated entities, if any.

If the total score for section 1 is less than 12 points, the application will be rejected. If the score for at least one of the subsections under section 1 is 1, the application will also be rejected.

#### *Provisional selection*

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

### **(3) STEP 3: VERIFICATION OF ELIGIBILITY OF THE APPLICANTS AND AFFILIATED ENTITY(IES)**

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 8 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 applicants, the affiliated entity(ies), and the action will be verified according to the criteria set out in Sections 2.1.1, 2.1.2 and 2.1.3.

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

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

An applicant that has been provisionally selected or placed on the reserve list will be informed in writing by the Contracting Authority. It will be requested to supply the following documents in order to allow the Contracting Authority to verify the eligibility of the applicant, (if any) of the co-applicant(s) and (if any) of their affiliated entity(ies)<sup>12</sup>:

Supporting documents must be provided through PADOR, see Section 2.2

1. The statutes or articles of association of the applicant, of each co-applicant(s) and (if any) of each affiliated entity(ies)<sup>13</sup>. Where the Contracting Authority has recognised the applicant's, or the co-applicant(s)'s, or their affiliated entity(ies)'s eligibility for another call for proposals under the same budget line within 2 years before the deadline for receipt of applications, it should be submitted, instead of the statutes or articles of association, a copy of the document proving their eligibility in a former Call (e.g. a copy of the special conditions of a grant contract received during the reference period), unless a change in legal status has occurred in the meantime<sup>14</sup>. This obligation does not apply to international organisations which have signed a framework agreement with the European Commission.
2. An external audit report produced by an approved auditor, certifying the applicant's accounts for the last financial year available where the total amount of the grant exceeds EUR 750 000. The external audit report is not required from the co-applicant(s).

This obligation does not apply to public bodies.

If eligible and depending on the authorising officer's risk assessment : this obligation does not apply to secondary and higher education establishments.

3. A copy of the applicant's latest accounts (the profit and loss account and the balance sheet for the last financial year for which the accounts have been closed)<sup>15</sup>. A copy of the latest account is neither required from the co-applicant(s) nor from (if any) affiliated entity(ies).
4. A Legal entity sheet (see annex D of these Guidelines) duly completed and signed by each of the applicants (i.e. by the applicant and by each co-applicant), accompanied by the justifying documents requested there. If the applicants have already signed a contract with the Contracting Authority, instead of the legal entity sheet and supporting documents, the legal entity number may be provided, unless a change in legal status occurred in the meantime.
5. A financial identification form of the applicant (not from co-applicants) conforming to the model attached at Annex E of these Guidelines, certified by the bank to which the payments will be made. This bank should be located in the country where the applicant is established. If the applicant has already submitted a financial identification form in the past for a contract where the European Commission was in charge of the payments and intends to use the same bank account, a copy of the previous financial identification form may be provided instead.

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12 No supporting document will be requested for applications for a grant not exceeding EUR 60000.

13 Where the applicant and/or a co-applicant(s) and or an affiliated entity(ies) is a public body created by a law, a copy of the said law must be provided.

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

15 This obligation does not apply to natural persons who have received a scholarship or that are in most need in receipt of direct support, nor to public bodies and to international organisations. It does not apply either when the accounts are in practice the same documents as the external audit report already provided pursuant to Section 2.4.2.



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 one of the languages of the call for proposals of the relevant parts of these documents proving the applicants' eligibility (i.e. the applicant, the co-applicants and the affiliated entities, if any) must be attached for the purpose of analysing the application.

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 applicants' eligibility (i.e. the applicant, the co-applicants and the affiliated entities, if any), into one of the languages of the call for proposals.

If the abovementioned supporting documents are not provided before the deadline indicated in the request for supporting documents sent to the applicant by the Contracting Authority, the application may be rejected.

After verifying the supporting documents, the Evaluation Committee will make a final recommendation to the Contracting Authority, which will decide on the award of grants.

NB : In the eventuality that the Contracting Authority is not satisfied with the strength, solidity, and guarantee offered by the structural link between one of the applicants and its affiliated entity, it can require the submission of the missing documents allowing for its conversion into co-applicant. If all the missing documents for co-applicants are submitted, and provided all necessary eligibility criteria are fulfilled, the above mentioned entity becomes a co-applicant for all purposes. The applicant has to submit the application form revised accordingly.

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

### 2.5.1. *Content of the decision*

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

An applicant believing that it has been harmed by an error or irregularity during the award process may lodge a complaint. See further Section 2.4.15 of the Practical Guide.

Applicants who were unsuccessful at the *Opening and Administrative Check stages of the procedure* 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 DGB.6 Finance, Contracts, Audit - Human and Society Development  
Attn. Head of Unit  
Office: J-59 01/33  
B-1049 Brussels  
Belgium

Applicants who were unsuccessful at the *Technical evaluation stages of the procedure or at the Eligibility check stage* 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

**2.5.2. Indicative timetable**

	<b>DATE</b>	<b>TIME*</b>
<b>Information meeting (if any)</b>	Not applicable	Not applicable
<b>Deadline for requesting any clarifications from the Contracting Authority</b>	19/02/2015	-
<b>Last date on which clarifications are issued by the Contracting Authority</b>	27/02/2015	-
<b>Deadline for submission of : Application Form</b>	12/03/2015 (*) (**)	16h00 (*)
<b>Information to applicants on opening, administrative checks and concept note evaluation (Step 1)</b>	April 2015 (***)	-
<b>Information to applicants on the evaluation of the Full Application Form (Step 2)</b>	May 2015 (***)	-
<b>Notification of award (after the eligibility check) (Step 3)</b>	May 2015 (***)	-
<b>Contract signature</b>	May 2015 (***)	-

(\*) All times are in the time zone of the country of the Contracting Authority.

(\*\*) Please note that, as per section 2.2.2, the Applicant will receive an automatic acknowledgement of receipt following the submission of its application. Since as per section 2.2.3 the applicant is solely responsible for following-up the delivery of its proposal, the applicant must immediately contact the European Commission in the event that no acknowledgement of receipt is delivered.

(\*\*\*) Provisional date.

This indicative timetable may be updated by the Contracting Authority during the procedure. In such cases, the updated timetable will be published on the EuropeAid web site :

<https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>.

**2.6. CONDITIONS FOR IMPLEMENTATION AFTER THE CONTRACTING AUTHORITY'S DECISION TO AWARD A GRANT**

Following the decision to award a grant, the Beneficiary(ies) will be offered a contract based on the Contracting Authority's grant contract (see Annex G of these Guidelines). By signing the application form (Annex A of these Guidelines), the applicants agree, if awarded a grant, to accept the contractual conditions of the standard grant contract.

### Implementation contracts

Where implementation of the action requires the Beneficiary(ies) and its affiliated entity(ies) (if any) to award procurement contracts, those contracts must be awarded in accordance with Annex IV to the standard grant contract.

## **2.7. EARLY WARNING SYSTEM AND CENTRAL EXCLUSION DATABASE**

The applicants and, if they are legal entities, the 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:

- 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
- Commission Regulation of 17.12.2008 on the Central Exclusion Database (CED) (OJ L344, 20.12.2008, p.12),

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

### 3. LIST OF ANNEXES

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

- Annex A: Grant Application Form (Word format)  
Annex B: Budget (Excel format)  
Annex C: Logical Framework (Excel format)  
Annex D: Legal Entity Sheet  
Annex E: Financial identification form  
Annex F: PADOR off Line Form (only if impossible to register in PADOR)

#### **DOCUMENTS FOR INFORMATION**

Annex G: Standard Grant Contract

- Annex II: General conditions
- Annex IV: Contract award procedures
- Annex V: Standard request for payment
- Annex VI: Model narrative and financial report
- Annex VII: Model report of factual findings and terms of reference for an expenditure verification of an EU financed grant contract for external action
- Annex VIII: Model financial guarantee
- Annex IX: Standard template for transfer of ownership of assets

Annex H: Daily allowance rates (Per diem), available at the following address:

[https://ec.europa.eu/europeaid/applicable-rates-diems-framework-ec-funded-external-aid-contracts-05072013\\_en](https://ec.europa.eu/europeaid/applicable-rates-diems-framework-ec-funded-external-aid-contracts-05072013_en)

Annex J: Information on the tax regime applicable to grant contracts signed under the call.

Annex K: Guidelines and Checklist for assessing Budget and Simplified cost options.

Annex L: SPECIFIC TERMS OF REFERENCE, FWC Commission 2011– Lot n° 1, REQUEST FOR SERVICES N°2013 / 334502, "Enhancing coordination between programmes for temporary relocation of Human Rights Defenders".

#### **Useful links:**

##### **Project Cycle Management Guidelines**

[https://ec.europa.eu/europeaid/aid-delivery-methods-project-cycle-management-guidelines-vol-1\\_en](https://ec.europa.eu/europeaid/aid-delivery-methods-project-cycle-management-guidelines-vol-1_en)

##### **The implementation of grant contracts - A Users' Guide**

<http://ec.europa.eu/europeaid/companion/document.do?nodeNumber=19>

##### **Financial Toolkit**

[https://ec.europa.eu/europeaid/funding/procedures-beneficiary-countries-and-partners/financial-management-toolkit\\_en](https://ec.europa.eu/europeaid/funding/procedures-beneficiary-countries-and-partners/financial-management-toolkit_en)

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