

Contracting Authority: European Commission

**European Instrument for Democracy and Human
Rights (EIDHR)
2016 Global Call for Proposals**

Guidelines for grant applicants

Budget line 21 04 01

Reference:
EuropeAid/152550/DH/ACT/Multi

Deadline for submission of concept notes:

14/10/2016 at 16:00 (Brussels date and time)

(in order to convert to local time click [here](#))

NOTICE

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

This is a restricted call for proposals. In the first instance, only concept notes (Annex A.1) must be submitted for evaluation. Thereafter, lead applicants who have been pre-selected will be invited to submit a full application. After the evaluation of the full applications, 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 lead applicant' sent together with the full application.

To apply to this call for proposals organisations must register in PADOR and submit their application in PROSPECT (see section 2.2.2 of the guidelines). The aim of PROSPECT is to increase the efficiency of the management of the call for proposals and to offer a better service to civil society organisations through a new panel of functionalities such as the on-line submission and the possibility to follow up online the status of their application.

All organisations can find the e-learning (Annex L) and the PROSPECT users' manual (Annex M) and the FAQ published together with the documents of this call. You may also contact our technical support team via the online support form in PROSPECT.

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 or clarification request. Applicants are therefore strongly advised to fill in scrupulously the "Check List for Concept Note" (Annex A1) and the "Checklist for the Full Application form" (Annex A.2.). 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.

No modification of the partnership between the Concept Note and the Full Application will be allowed, only in exceptional cases, justified by force majeure. Force majeure shall mean any unforeseeable exceptional situation or event beyond the parties' control which prevents either of them from fulfilling any of their obligations, is not attributable to error or negligence on their part and proves insurmountable in spite of all due diligence. In such cases, the applicant must clearly indicate the requested change and justify the request in Annex A.2. section 5. The validity of the justification provided will be examined during the evaluation of the Full Application. Should the justification not be deemed valid, the proposal may be rejected on that sole basis.

A functional mailbox specifically dedicated to this call has been set up: EuropeAid-152550@ec.europa.eu. It shall be used exclusively for the purpose explained in paragraph 2.2 of these guidelines i.e., clarification requests within the set deadline. 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 the aforementioned category. In particular, neither the 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 European Instrument for Democracy and Human Rights (EIDHR): 2016 Global Call for Proposals

1.1 Background

The European Instrument for Democracy and Human Rights (EIDHR) is a European Union programme that aims to promote democracy and human rights worldwide through support to civil society initiatives. The EIDHR was adopted by the European Parliament and the Council in March 2014 (Regulation No. 235/2014) for the period 2014-2020 by replacing and building upon the EIDHR (2007-2013) and the European Initiative for Democracy and Human Rights (2000-2006).

This instrument is designed to support civil society to become an effective force for political reform and defence of human rights. In doing this, it complements the geographical programmes, which 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. It offers a great flexibility and an increased capacity to respond to changing circumstances or to support innovation. The EIDHR has considerable independence of action since it does not need the consent of the governments of the countries concerned for the financing of activities.

The EIDHR is global in scope. It operates at national, regional and international levels and supports actions carried out in third countries outside the European Union, throughout the world. The EIDHR regulation defines five main objectives:

- 1) Support to Human Rights and Human Rights Defenders in situations where they are most at risk;
- 2) Support to other EU Human Rights Priorities with main focus on protecting human dignity including abolition of the death penalty, eradication of torture and other cruel, inhuman or degrading treatment or punishment, support to a comprehensive approach to rehabilitation and prevention activities, protection and promotion of children's rights, protection of women's rights, fighting discrimination in all its forms, fighting against impunity, promotion and protection of freedom of religion or belief, promotion of economic, social and cultural rights, promotion of the respect for international humanitarian law;
- 3) Support to Democracy;
- 4) Support to EU Election Observation Missions;

5) Support to targeted key actors and processes, including international and regional human rights instruments and mechanisms.

Under the 2007-2013 instrument, the EIDHR has delivered on its objectives using global calls for proposals with a single, specific annual focus. While this method allowed moving onwards on key priority themes of action, it has also restrained the scope of actions to be supported yearly. Moreover, it has de facto sequenced the support provided by the EIDHR to the various areas of priority defined by its multiannual strategy. Therefore, in the run-up to the revision of the EIDHR and the adoption of its multiannual programming, it was proposed by the European Commission and agreed by all stakeholders to restructure its system of annual calls for proposals.

In principle, every year, an encompassing EIDHR call for proposals shall be launched and systematically cover core priority themes in the form of five separated lots. These five lots will be recurrent to any of the upcoming EIDHR global calls for 2014-2017 and will cover respectively:

- (i) Human rights and their defenders where they are the most at risk;
- (ii) Economic, Social and Cultural rights;
- (iii) Human Dignity;
- (iv) Discrimination;
- (v) Other priorities planned in the multiannual programming or linked to new unforeseen areas.

1.2 Objectives of the programme and priority issues

The **global objective of this call for proposals** is to support civil society in its actions to support the protection and the promotion of human rights and fundamental freedoms worldwide.

The **specific objectives of this call for proposals** are to support civil society and human rights defenders working outside the EU in five key areas of human rights corresponding to the five recurring lots of 2014-2017 EIDHR global calls for proposals:

- **Lot 1: support to women Human Rights Defenders and/or Human Rights Defenders working for women's and girls' rights where they are the most at risk**
- **Lot 2: support to civil society actions fighting against torture and other cruel, inhuman or degrading treatment or punishment**
- **Lot 3: support to the implementation of the UN Guiding Principles on Business and Human Rights**
- **Lot 4: support to the rights of persons belonging to minorities and persons affected by caste-based discriminations**
- **Lot 5: support to addressing impunity and to transitional justice**

The definition of the objectives of each of the lots of this call for proposals has been subject to a consultation of civil society organisations during the CSO Forum held in Brussels on 17-18 March 2016.

Overarching and working principles

The objectives of this call are aligned with the Policy Coherence for Development, reflecting the EU's priorities as identified in policies and regulations, notably the EU Action Plan on Human Rights and Democracy 2015-2019 as well as in the specific human rights guidelines adopted by the EU.

Moreover, following the adoption in 2014 of the Tool-box "A Rights-Based Approach, encompassing all human rights, for EU development cooperation" and the subsequent adoption in 2014 of the related Council Conclusions, the European Commission committed to move towards a **Rights-Based Approach** for development cooperation. The EIDHR Regulation stipulates that in its implementation, the EU shall apply a Rights-Based Approach (RBA) encompassing all human rights, whether civil, political, economic, social or cultural. The implementation of the five RBA principles: (i) legality, universality and indivisibility of human rights, (ii) participation, (iii) non-discrimination, (iv) accountability, (v)

transparency must be applied in each step of the project cycle from identification, formulation, implementation, monitoring to evaluation. Therefore, all proposals under all lots of this call for proposals must be designed according to a Rights-Based Approach.

Furthermore, **gender equality** is an integral part of the RBA, encompassing the promotion, protection and fulfilment of all human rights. Gender equality constitutes a fundamental human rights principle and a common value of the European Union (EU Treaties, EU Gender Action Plan 2016-2020). Each selected proposal will have to report against relevant "SMART" sex-disaggregated indicators mentioned in the EU Gender Action Plan 2016-2020 (especially priority D: "Political and civil rights", Indicators 17.1 and following; e.g. number of women Human Rights Defenders having received support).

The proposals shall also tackle, whenever relevant, **inter-sectoral discriminations** based on e.g. ethnicity, disability, age, gender identity and/or sexual orientation. In particular, attention should be given to actions empowering the most marginalised and vulnerable groups (indigenous peoples, refugees, cultural minorities, non-skilled workers, etc.) as well as taking into account the different risks and challenges that may be faced by women and men.

Proposals should, whenever relevant, propose **innovative approaches or methodologies**, focus on the needs and challenges faced by targeted groups living **outside the capitals and in remote areas**, and/or encourage the constitution and **capacity-building of networks of local organisations** and implementing actors, including at regional level.

Priority will be given to proposals submitted by local organisations as lead applicants in order to promote ownership and local leadership.

For actions covering more than one country, **the participation of local applicants (as lead or co-applicants) in at least half of the countries where the action will take place** will be considered as an **added value**.

Geographical balance will be taken into account by the European Commission when determining the relevance of the actions.

LOT 1: Support to Women Human Rights Defenders and/or Human Rights Defenders working for women's and girls' rights where they are the most at risk

Gender equality is enshrined within the EU's legal and political framework. The EU has made the protection, the fulfilment and the enjoyment of human rights by women and girls a central aspect of its external action, as set up in the EU Gender Action Plan 2016-2020 and the EU Action Plan on Human Rights and Democracy 2015-2019.

The **general objective of Lot 1** is to provide support to Women Human Rights Defenders and/or Human Rights Defenders working for women's and girls' rights where they are the most at risk.

The **specific objectives of Lot 1** are:

- a) fully in line with UN Resolution 68/181:
 - (i) **to recognise and promote the role of women Human Rights Defenders of all ages** in the protection and promotion of human rights and fundamental freedoms worldwide, and to address the **specific challenges, risks and threats that they may face** in addition to those faced by Human Rights Defenders in general, such as gender-based violence (including rape and other forms of sexual violence), discrimination, harassment, stigmatisation, verbal abuse and attacks on reputation online and offline, etc. – whether by State actors or within their family and/or community, in both public and private spheres, and
 - (ii) **to protect women Human Rights Defenders** from these specific challenges, risks and threats in the short, medium and long-term; and/or
- b) **to support and protect Human Rights Defenders (both men and women) at risk due to their**

work for the promotion and protection of the full enjoyment of women's and girls' rights that may be challenging discriminatory legal frameworks and social norms as well as gender stereotypes in their countries.

Indicative and non-exhaustive list of activities for Lot 1:

- Development of integrated protection systems for women Human Rights Defenders and/or Human Rights Defenders working on women's and girls' rights (both groups referred to hereinafter as W/HRDs) that entail not only their physical protection but also measures that support their wellbeing, comprising psycho-social support and access to health services when needed;
- Provision of medical and psycho-social assistance, legal counselling and any other type of support to W/HRDs, including to those placed in detention or in prison as well as to their relatives;
- Temporary relocation for W/HRDs threatened or in danger (including their family/children);
- Strengthening W/HRDs' capacities and role e.g. through improving the availability of resources and opportunities for W/HRDs to decrease their vulnerability, such as trainings on risk analysis and the formulation of security plans; access to tools for increasing their capacity to face intimidation and harassment (including digital security tools); access to resources in matters of legal defence; improved technical, management, material and financial capacities;
- Training and awareness-building on women's and girls' rights and international law standards as well as of international, regional and national mechanisms for the protection of W/HRDs;
- Training and capacity-building of W/HRDs on negotiation, advocacy, lobbying, litigation, strategies of change, researching, monitoring, documenting and reporting about widespread and systematic violations of women's and girls' rights and impunity;
- Supporting the participation of W/HRDs as accountability agents in legislative and policy-making processes at all levels;
- Advocacy, lobbying and development of strategies to support for change of discriminatory laws and practices and to counter restrictions and sanctions imposed on W/HRDs by States, including defamation, laws on foreign funding and criminalisation of W/HRDs;
- Promoting networking, coordination and cooperation at all levels to break the isolation of W/HRDs acting in the most difficult and repressive countries and situations;
- Building capacities of networks facilitating access of W/HRDs to international support and regional human rights mechanisms, enhancing their participation to public dialogue as well as improving their visibility in local, national, regional and international fora and regional events on women's and girls' rights and/or on human rights in general.

LOT 2: Support to civil society actions fighting against torture and other cruel, inhuman or degrading treatment or punishment

The **general objective of Lot 2** is to provide support to civil society projects contributing to the absolute prohibition of torture and ensuring accountability for torture and other ill treatment outside the EU.

The Guidelines on EU policy towards third countries on torture, and other cruel, inhuman or degrading treatment or punishment provide the general framework for the EIDHR support in this area. For the purpose of this call for proposals, torture and ill treatment mean any act as defined under international human rights norms and standards and existing jurisprudence. The UN Convention against Torture and other Cruel, Inhuman or Degrading Treatment or Punishment (UNCAT), its Optional Protocol, as well as all the applicable international and regional instruments should be referred to as the wider normative framework of all actions supported under this call.

The **specific objective of Lot 2** is to tackle the fight against torture and ill-treatment **in a comprehensive and holistic way, mandatorily encompassing the following three interrelated and mutually reinforcing elements:**

- a) **Prevention of torture and other forms of ill-treatment**, generally aiming at preventing the occurrence of torture and cruel, inhuman and degrading treatment. Particular attention will be placed on the ratification and effective implementation of all aspects of the United Nations

Convention against Torture (UNCAT), as well as its Optional Protocol, and all other applicable international and regional norms and standards; their incorporation in national legislation and effective implementation; advocacy for setting up anti-torture safeguards, the establishment and functioning of domestic or international preventive or monitoring mechanisms; monitoring, advocacy and reporting by NGOs, training sessions for, sensitisation and information campaigns in view of enhancing investigation of torture allegations, against amnesty clauses for torture perpetrators and increasing their prosecution of perpetrators including non-state actors, mobilising public support against torture, etc.; and

- b) Accountability for torture and other ill treatment**, aiming at restoring the victim's right to remedy and reparation and to fight impunity by holding the torture perpetrators accountable. These include provision of direct legal support to torture survivors and their families; support to local lawyers and organisations assisting them; case work; training sessions for lawyers and health staff to increase their skills in documenting torture and providing solid forensic evidence of torture; to analyse the root causes for lack of accountability, etc.; and
- c) Support for rehabilitation of victims of torture**, aiming at rebuilding, in third countries, the victim's and/or his/her family's lives and restoring his/her right to remedy and reparation. Activities should foresee a comprehensive approach to rehabilitation; providing psychological, medical, social services to direct/indirect torture victims. Activities in this area should seek to strengthen local professional capacity and networking and enhance the sustainability of existing health services.

Proposals that do not cover these three elements altogether will be rejected.

Activities may be linked to transitional processes and/or post-conflict agenda of justice and reconciliation or campaigns against a culture of violence in society, including the phenomena of rape and sexual torture, against impunity in cases of domestic violence, trafficking in human beings, against violence in cases of counter-terrorism, de-radicalisation, fight against organised crime and crisis management. Rather than diluting the focus on torture, these broader dimensions should serve to reinforce the effectiveness of action against torture and other forms of ill-treatment.

Actions are encouraged to explore the links between the promotion of economic, social and cultural rights and the eradication of torture and other forms of ill-treatment.

Indicative and non-exhaustive list of activities for Lot 2:

- Promoting the international and regional framework on torture prevention through educational, information and/or awareness-raising programmes on the UN Convention Against Torture (UNCAT) and its Optional Protocol (OPCAT) and other relevant international and/or regional human rights instruments and tools (e.g. the Robben Island Guidelines, the Istanbul Protocol), in view of their adoption, ratification, effective domestication and implementation;
- Promoting and monitoring the implementation of other relevant international standards, such as the revised UN Standard Minimum Rules for the Treatment of Prisoners ('the Nelson Mandela Rules'), the UN Rules for the Treatment of Women Prisoners and Non-custodial Measures for Women Offenders ('the Bangkok Rules'); the UN Standard Minimum Rules for the Administration of Juvenile Justice, often referred to as the 'Beijing Rules', as well as the UN Basic principles on the use of force and firearms by law enforcement officials;
- Promoting and monitoring prevention of torture and ill treatments in the framework of counter-terrorism, the fight of organised crime, crisis situations or unforeseen increase in migration flows as well as promoting and preventing torture and ill-treatment in the streets and during the early phases of arrest and/or detention, perpetrated by State and non-State actors (e.g. militias, private police, guards, etc.);
- Protecting those individuals acting in challenging environments denouncing torture, ensuring their safety and further subsistence and that of their organisations;
- Assistance to torture survivors or to individuals threatened with torture and their families, (excluding financial compensation for victims), including legal assistance to obtain reparation; psychotherapy and psychiatric assistance; other medical care as well as social rehabilitation, such as advice on social assistance, employment, development of social skills, etc.;

- Providing capacity building to civil society organisations or networks of NGOs outside the EU to carry out activities to fight against torture and impunity, its root-causes and/or consequences, including submitting shadow reports to the UN system and to relevant regional mechanisms, monitoring and reporting cases of torture, identifying and protecting vulnerable groups with a higher risk of exposure to torture and ill-treatment, etc.
- Capacity building of relevant State officials, such as staff and professionals within the police, the justice system, the prisons' service, children and youth institutions and medical personnel, on how to prevent, identify and address torture and ill-treatment, including to investigate cases and give protection and tools to resist to those individuals experiencing pressure to execute torture or ill-treatments as part of their work or against their will;
- Strengthening of co-ordination and effectiveness between relevant national institutions (such as Ombudspersons, National Human Rights Commissions or National Preventive Mechanisms), professional organisations and civil society organisations to combat practices of torture and ill treatment in all settings, including by non-state actors;
- Conduct studies, collection, publication and dissemination of information concerning the production and trade of goods and technology that could facilitate or be used for torture or ill-treatment purposes;
- Raise awareness and contribute to an early identification of torture survivors among asylum seekers;
- Prevention and monitoring of torture and/or ill-treatment in migrants' centres or other closed institutions;
- Promoting the principle of non-refoulement, and monitoring the adherence by States to this principle.

LOT 3: Support to the implementation of the UN Guiding Principles on Business and Human Rights

The **general objective of Lot 3** is to ensure Human rights due diligence in global value chains through the promotion and implementation of the UN Guiding Principles on Business and Human Rights endorsed by the Human Rights Council in its resolution 17/4 of 16 June 2011. The reinforcement of their implementation is a key action of the 2015-2019 EU Action Plan for Democracy and Human Rights.

The objective of this lot is to support actions developing capacities, knowledge and monitoring on the implementation of the UN Guiding Principles on Business and Human Rights (UNGPs), Corporate Social Responsibility in respect of human rights and the advocacy for the drafting and implementation of National Action Plans (NAPs) by partner countries.

The **specific objectives of Lot 3** are related to the promotion and implementation of the UNGPs in global value chains, including inter alia:

- a) to promote and contribute to the implementation and monitoring of comprehensive **National Actions Plans (NAP)** outside the European Union; and/or
- b) to raise awareness at national, regional and international levels of the **rights of affected individuals and communities** in the context of corporate-related human rights harm in the global value chains; and/or
- c) to contribute to the respect for **due diligence and prevention/mitigation actions** by all actors for adverse human rights impacts linked to business operations in global value chains; and/or
- d) to support and **empower the organisations representing the most vulnerable groups and/or women** impacted by human rights abuses by business operations in the global value chains; and/or
- e) to contribute to **increased accountability of businesses** and to the promotion of **access to remedy** for victims of business-related human rights abuses.

Indicative and non-exhaustive list of activities for Lot 3:

- Capacity-building activities of relevant actors (community leaders, lawyers, Human Rights Defenders, social partners) on the UNGPs in the context of corporate-related human rights abuses in the global value chains;
- Promotion and implementation of innovative engagement between non-governmental organisations, workers organisations, local communities and business to prevent and address adverse impacts of business on human rights in their global value chain (mediation sessions, negotiation trainings, etc.);
- Disaggregated (including sex-disaggregated) data gathering and studies on the human rights impact of private companies' activities;
- Ensuring access to judicial and non-judicial remedies to victims of corporate abuses at national, regional and international levels;
- Organise consultations and follow-up actions with potentially affected groups (local non-governmental organisations, local communities, women organisations, worker organisations, independent researchers, etc.);
- Promoting and monitoring the implementation of relevant international standards related to human rights abuses by corporations such as the UN Guiding Principles on Business and Human Rights, the OECD Guidelines on Multinationals, the UN Voluntary Guidelines on the Responsible Governance of Tenure of Land, etc.;
- Activities related to the empowerment of women trade unionists in their struggle to ensure a decent wage and work environment.

LOT 4: Support to the rights of persons belonging to minorities and persons affected by caste-based discriminations

The **general objective of Lot 4** is to support the rights of persons belonging to minorities and persons affected by caste-based discriminations outside the EU.

The **specific objectives of Lot 4** are related to the promotion and implementation outside the EU of the 1992 UN Declaration on the Rights of Persons belonging to National or Ethnic, Religious and Linguistic Minorities, and relevant UN initiatives addressing caste-based discrimination, including:

- a) to promote the **adoption and implementation of legislative, policy, dialogue** and other measures based on non-discrimination and equality, including positive action creating an enabling environment for minority cultures to flourish; and/or
- b) to promote **equality before the law and equal access to justice, education and/or other basic services** of persons affected by discrimination on grounds of minority or caste belonging paying particular attention to women and girls; and/or
- c) to promote the **expression in public and private of national, ethnic, cultural, religious, belief and/or linguistic identity**, and to encourage awareness raising of minority cultures in the field of education, media and public life; and/or
- d) to contribute to **effective participation of persons belonging to minorities or affected by caste-based discrimination in societal, economic and public life and in decision-making** concerning the minority/caste to which they belong or the region in which they live, paying particular attention to the participation of women in these processes, ensuring that their voices are heard and taken into consideration; and/or
- e) to promote the **rights of persons belonging to minorities to set up and maintain their own institutions and associations** and to support peaceful contacts, cooperation and networking with other groups at local, regional or international level.

This lot will focus on supporting actions addressing the scope and mandate of the 1992 UN Declaration and/or discrimination related to caste affiliation. While working on minority issues can in certain circumstances coincide with matters relating to Indigenous Peoples, this lot does not address the scope and implementation of the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP).

In line with the 2013 EU Guidelines on Freedom of Religion or Belief, the EU is also committed to promote the rights of persons belonging to religious and belief minorities in an inclusive way, regardless of the theistic, non-theistic or atheistic nature of persons' views.

Proposals may focus on one or more specific thematic minority aspects, i.e. national or ethnic, religious and linguistic minorities, caste affiliation. This lot shall not support or prioritise actions addressing other types of discrimination, except if these relate to multiple and intersectional discrimination.

Actions addressing diaspora groups outside the EU are eligible.

Indicative and non-exhaustive list of activities for Lot 4:

- Awareness raising, training and/or capacity building for affected individuals and groups in their basic rights and means of redress;
- Provision of legal support and assistance for affected, vulnerable individuals;
- Training and capacity building of local civil society organisations, in particular women's organisations, and/or Human Rights Defenders defending the rights of persons belonging to minorities and persons affected by caste-based discrimination;
- Promoting networking and cooperation between representatives of minority/caste groups and/or individuals/organisations defending their cause at local, regional or international levels and identifying and sharing of best practices;
- Awareness raising campaigns to inform general public about the rights and issues of persons belonging to minorities and persons affected by caste-based discriminations;
- Developing community-based approaches including community education and dialogue addressing entrenched ideas of discriminatory nature and aiming at change of mind-sets;
- Activities aiming at documentation of abuses and collection of disaggregated data (including sex-disaggregated);
- Research and studies on the situation of persons belonging to minorities and persons affected by caste-based discrimination, in particular outside of South Asia;
- Advocacy and support for change of discriminatory laws and practices and for the design of legal and public policies or measures on persons belonging to minorities and persons affected by caste-based discriminations (in areas such as access to justice, employment, education and healthcare; criminalisation of discrimination and ill-treatment; fight against impunity of abuses, etc.);
- Advocacy to support the ratification and implementation by States of main relevant international conventions;
- Monitoring and reporting of the level of application of non-discrimination laws and measures for persons belonging to minorities and persons affected by caste-based discriminations;
- Advocacy and redress for and by international, regional and national human rights bodies of the rights of persons belonging to minorities and persons affected by caste-based discriminations.

LOT 5: Support to addressing impunity and to transitional justice

The **general objective of Lot 5** is to support the fight against impunity and to promote transitional justice.

The **specific objectives of Lot 5** are:

- a) to promote **transitional justice mechanisms and processes**.
- b) to promote the **effective functioning of the International Criminal Court and the Rome Statute system**;

Fighting against impunity for serious human rights violations and abuses, crimes of concern to the international community (genocide, war crimes and crimes against humanity) and supporting transitional justice processes and mechanisms linked to accountability, victims' redress and reconciliation, are priorities in the EIDHR Multiannual Indicative Programme for 2014-2017. They follow the 2011 Council Decision and 2012 Action Plan on ICC, the 2013 Joint Staff Working Document on Complementarity and the Council's Conclusions as well as the EU's Policy Framework on Support to Transitional Justice.

Proposed actions should fully take on board the decisions made at the Review Conference of the Rome Statute (Kampala, 2010) and at the ICC Assembly of State Parties.

The EU is a staunch supporter of the International Criminal Court (ICC). The principles of the Rome Statute of the ICC, as well as those governing its functioning, are fully in line with the principles and objectives of the Union. The consolidation of the rule of law and respect for human rights as well as the preservation of peace and the strengthening of international security are of fundamental importance to, and a priority for, the Union, in conformity with the Charter of the United Nations and as provided for in Articles 2 and 3 of the Treaty on European Union.

The following key principles will play a key role in this Lot:

- To support locally owned transitional justice processes which are inclusive, gender sensitive and ensure the participation of victims in their design and implementation.
- To promote a comprehensive and holistic approach to transitional justice, with the aim of achieving peaceful, just and democratic societies based on rule of law and respect for human rights, helping to recognise and redress the harms suffered by victims of human rights and international humanitarian law violations, fighting impunity, fostering trust, contributing to reconciliation and thus preventing repetition of violations or abuses in the future.
- Universality and integrity of the Rome Statute: universal ratification and accession to the Rome Statute is essential for the full effectiveness of the ICC. Initiatives to enhance the acceptance of the Rome Statute are encouraged, provided they are consistent with the letter and spirit of the Rome Statute. An increased number of ratification remains crucial for the ICC to become a truly global actor in the fight against impunity. It is most important that the integrity of the Rome Statute be preserved.
- Independence of the ICC and its effective and efficient functioning: civil society can play an instrumental role in further raising awareness to the States, international organisations, media and general public about the framework in which the ICC and the Rome Statute operate and that the independence and judicial nature of the ICC is acknowledged and respected.
- Co-operation with the ICC: as described in the Rome Statute, the effective functioning of the International Criminal Court requires the cooperation and judicial assistance of the States Parties. Co-operation should not be limited to the described assistance under Part Nine of the Rome Statute (including but not limited to the arrest and surrender of suspects, the protection of witnesses and victims, identification, tracing and freezing or seizure of proceeds, property and assets), but also involve broad political and diplomatic support.
- Implementation of the principle of complementarity: the Rome Statute makes it clear that it is the duty of every State to exercise its criminal jurisdiction over those responsible for the crime of genocide, crimes against humanity and war crimes. It is clear that the ICC is complementary to national jurisdictions and is part of the larger Rome Statute system. The ICC is a court of last resort. Without strengthening domestic prosecution of the most serious crimes, there is a high risk that the culture of impunity will prevail and victims will not see justice.

Indicative and non-exhaustive list of activities for Lot 5:

- Support campaigns on genocide, war crimes and crimes against humanity and the recognition of these crimes, in particular through national campaigns empowering victims groups and grass root organisations to engage with the government;
- Support to transitional justice processes and mechanisms linked to criminal justice and accountability, recognition/redress such as domestic prosecutions, truth seeking initiatives, reparations programmes, institutional reform/guarantees of non-recurrence;
- Activities encouraging States Parties to transfer promptly and in full their assessed contributions in accordance with the decisions taken by the Assembly of States Parties, or to make every effort towards the accession to, or ratification of the Agreement on the Privileges and Immunities of the International Criminal Court;
- Development of training and assistance for judges, prosecutors, officials and counsel in work

- related to the ICC as well as on domestic prosecution of the most serious crimes;
- Provision of legal and psychological assistance to victims;
 - Training and capacity building on addressing impunity and transitional justice;
 - Capacity building partnerships amongst international, regional and national actors;
 - Advocacy and lobbying campaigns;
 - Providing institutional support to relevant officials, judiciary, law enforcement agencies, legal professionals, civil society actors and media;
 - Fact-finding missions, trial monitoring and evidence-gathering;
 - Organisation of seminars, conferences, workshops or other national or international events;
 - Research, production and dissemination of publications, assessment reports, documentaries and brochures.

1.3

Financial allocation provided by the contracting authority

The overall indicative amount made available under this call for proposals is **EUR 31,034,000** (EUR 25,820,000 from the 2016 EU Budget + EUR 5,214,000 from the 2017 EU Budget subject to its adoption). The Contracting Authority reserves the right not to award all available funds. Equally, this amount could be increased should more funds become available.

Indicative allocation of funds by lot:

- Lot 1: EUR 4,650,000
- Lot 2: EUR 13,504,000
- Lot 3: EUR 4,650,000
- Lot 4: EUR 3,580,000
- Lot 5: EUR 4,650,000

If the allocation indicated for a specific lot cannot be used due to insufficient quality or number of proposals received, the Contracting Authority reserves the right to reallocate the remaining funds to (an)other lot(s).

Size of grants

Any grant requested **under Lots 1, 2, 3 and 4** of this call for proposals must fall between the following minimum and maximum amounts:

- minimum amount: EUR 250,000
- maximum amount: EUR 1,000,000

Any grant requested **under Lot 5** of this call for proposals must fall between the following minimum and maximum amounts:

- minimum amount: EUR 1,000,000
- maximum amount: EUR 1,550,000

Any grant requested **under all Lots** of this call for proposals must fall between the following minimum and maximum percentages of total eligible costs of the action:

- minimum percentage: 51% of the 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.

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 lead applicant must justify full financing in annex A.2 Section 2.1. The validity of the justification provided will be examined during the evaluation procedure. The absence of any justification will lead to the rejection of the application.

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 at <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 **lead 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 lead applicant and its co-applicant(s) are hereinafter jointly referred as "applicant(s)"**) (2.1.1),
- and, if any, **affiliated entity(ies)** to the lead 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)

2.1.1 Eligibility of applicants (i.e. lead applicant and co-applicant(s))

Lead applicant

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

- be a legal person or an entity without legal personality or a natural person **and**
- be non-profit-making **and**
- be a specific type of organisation such as:
 - a) civil society organisations, including non-governmental non-profit organisations and independent political foundations, community-based organisations and private-sector non-profit agencies, institutions and organisations and networks thereof at local, national, regional and international level;
 - b) National Human Rights Institutions, Ombudspersons;
 - c) non-profit-making universities **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.

For-profit organisations may also be eligible in exceptional and duly justified cases. Indeed, in situations where registration or receipt of foreign funding as non-profit organisation is made very difficult or might put the entity in danger, civil society organisations may be obliged to register as for-profit organisations to continue operating in the field of human rights. The validity of the justification will be examined by the Evaluation Committee.

International public-sector organisations set up by international agreements, specialised agencies set up by such organisations and other organisations assimilated to such international organisations (i.e. the International Committee of the Red Cross and the International Federation of National Red Cross and Red Crescent Societies) are not eligible under this call for proposals.

No nationality restriction applies to applicants and, if any, to co-applicants and affiliated entities.

- (2) Potential applicants may not participate in calls for proposals or be awarded grants if they are in any of the situations listed in section 2.3.3 of the Practical Guide;

In Annex A.2, section 5 ('declaration by the lead applicant'), the lead applicant must declare that the lead applicant himself, the co-applicant(s) and affiliated entity(ies) are not in any of these situations.

The lead applicant may act individually or with co-applicant(s). However, to be eligible, an action must include at least one local organisation, as lead applicant or co-applicant.

A "local organisation" (with or without legal personality) must be understood as "established" in the country or one of the countries outside EU where the action is taking place. An organisation is considered "local" when its charter demonstrates that the organisation has been established by an instrument governed by the national law of the country concerned (only for entities with legal personality) and that its head office is located in that country.

In situations where registration in the concerned country is made impossible or might put the applicant or co-applicant in danger, the applicant or co-applicant may be registered in another country. The applicant or co-applicant must prove in its statutes or through other supporting documents that the objectives and activities of the said organisation are for the benefit of the targeted country. In the absence of any justification, the proposal will be rejected. The validity of the justification provided will be examined during the evaluation procedure. Should the justification not be deemed valid, the proposal may be rejected on that sole basis.

If awarded the grant contract, the lead 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.

Co-applicant(s)

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

Co-applicants must satisfy the eligibility criteria as applicable to the lead applicant.

Co-applicants must sign the mandate in Annex A.2., section 4.

If awarded the grant contract, the co-applicant(s) (if any) will become beneficiary(ies) in the action (together with the Coordinator).

2.1.2

Affiliated entities

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

Only entities having a structural link with the applicants (i.e. the lead applicant or a co-applicant), in particular a legal or capital link may be considered as affiliated entities to the lead applicant and/or to co-applicant(s).

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 applicant may hence be:

- Entities directly or indirectly controlled by an applicant (daughter companies or first-tier subsidiaries). They may also be entities controlled by an entity controlled by an applicant (granddaughter companies or second-tier subsidiaries) and the same applies to further tiers of control;
- Entities directly or indirectly controlling the applicant (parent companies). Likewise, they may be entities controlling an entity controlling the applicant;
- Entities under the same direct or indirect control as the applicant (sister companies).

- (ii) Membership, i.e. the applicant is legally defined as a e.g. network, federation, association in which the proposed affiliated entities also participate or the applicant 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 an applicant 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 a legal 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 an applicant:

- Entities that have entered into a (procurement) contract or subcontract with an applicant, act as concessionaires or delegates for public services for an applicant,
- Entities that receive financial support from an applicant,
- Entities that cooperate on a regular basis with an applicant on the basis of a memorandum of understanding or share some assets,
- Entities that have signed a consortium agreement under the grant contract (unless this consortium agreement leads to the creation of a "sole applicant" as described above).

How to verify the existence of the required link with an applicant?

The affiliation resulting from control may in particular be proved on the basis of the consolidated accounts of the group of entities the applicant 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 applicant constitutes or in which the applicant participates.

If the applicants are awarded a grant contract, their affiliated entity(ies) will not become beneficiary(ies) of the action and signatory(ies) of the grant 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 lead applicant and the co-applicant(s). They must sign the affiliated entity(ies) statement in Annex A.2., section 5.

2.1.3 Associates and Contractors

The following entities are not applicants nor affiliated entities and do not have to sign the "mandate for co-applicant(s)" or "affiliated entities' statement":

- Associates

Other organisations or individuals 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 Annex A.2., section 6 — 'Associates participating in the action'.

- Contractors

The 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 be lower than 24 months nor exceed 36 months.

Sectors or themes

The specific sectors or themes to which the actions must relate are described for each lot under section 1.2 above.

Location

Actions must take place in **one or more countries outside the European Union**. Nevertheless, punctual activities may, if duly justified in the description of the action, take place in EU countries when they are directly related to situations arising in third countries and for the benefit of those countries, e.g. a seminar or conference, a visit to the European Institutions, an opening or closing of a campaign in an EU Member State, a specific exhibition or other similar single events. These reasons will be examined during the evaluation process.

In particular, actions may take place:

a) in challenging environments (e.g. where there is less or no room for dialogue with national authorities, where the interventions may give the opportunity to set precedents; where expectations regarding final impact must be more modest; where no human rights reports are submitted to UN instances; where UN bodies' recommendations are not given follow-up; for Lot 3, in countries facing increasing business-related human rights abuses; etc.) and/or

b) in countries where a clear impact can be reached at the end of the action (e.g. where law change is feasible; where there is openness for dialogue with authorities, where it is possible to implement training courses for officials; where recommendations from the UN bodies are followed, etc.)

Types of action and activity

The types of action and the indicative and non-exhaustive list of activities which may be financed under this call are described for each lot under section 1.2 above. In any case, the following types of action are not eligible:

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences and 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 during the project;
- action where financial support to third parties is the main purpose of the action;
- actions supporting political parties;
- actions including proselytism.

Financial support to third parties

Applicants may propose financial support to third parties in order to help achieve the objectives of the action. In particular, financial support to third parties is strongly encouraged for proposals submitted by non-local organisations as lead applicants.

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

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

- (i) the objectives and results to be obtained with the financial support
- (ii) the different types of activities eligible for financial support, on the basis of a fixed list
- (iii) the types of persons or categories of persons which may receive financial support
- (iv) the criteria for selecting these entities and giving the financial support
- (v) the criteria for determining the exact amount of financial support for each third entity, and
- (vi) the maximum amount which may be given.

The quality and integration of the financial support to third parties (including in the Budget) will be taken into account at all stages of technical evaluation.

In all events, the mandatory conditions set above for giving financial support (points (i) to (vi)) have to be strictly defined in the grant contract so 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 https://ec.europa.eu/europeaid/communication-and-visibility-manual-eu-external-actions_en).

However, in duly justified circumstances, the EU support may not be made public at the request of applicants due to security or confidentiality concerns of the actors involved.

Number of applications and grants per applicants / affiliated entities

An organisation may not be participating more than once in the present call for proposals as lead applicant or co-applicant. Should this be the case, the EC will only consider the first proposal arrived (based on the date and hour of submission) and any other additional proposal will be rejected. It is the responsibility of each lead applicant to verify that its co-applicants are not involved as lead applicant or co-applicant in other proposals.

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 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.

Applicants 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 applicants 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
- 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 applicants, by analysing factual data of grants carried out by the applicants 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 grant 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 applicants' interest to provide a **realistic and cost-effective budget**

The simplified cost option may also take the form of an apportionment of Field Office's costs.

Field Office means a local infrastructure set up in one of the countries where the action is implemented or a nearby country. (Where the action is implemented in several third countries there can be more than one Field Office). That may consist of costs for local office as well as human resources.

A Field Office may be exclusively dedicated to the action financed (or co-financed) by the EU or may be used for other projects implemented in the partner country. When the Field Office is used for other projects, only the portion of capitalised and operating costs which corresponds to the duration of the action and the rate of actual use of the field office for the purpose of the action may be declared as eligible direct costs.

The portion of costs attributable to the action can be declared as actual costs or determined by the beneficiary(ies) on the basis of a simplified allocation method (apportionment).

The method of allocation has to be:

1. Compliant with the beneficiary's usual accounting and management practices and applied in a consistent manner regardless of the source of funding and
2. Based on an objective, fair and reliable allocation keys. (Please refer to Annex K to have examples of acceptable allocation keys).

A description prepared by the entity of the allocation method used to determine Field Office's costs in accordance with the entity's usual cost accounting and management practices and explaining how the method satisfy condition 1 and 2 indicated above, has to be presented in a separate sheet and annexed to the Budget.

The method will be assessed and accepted by the evaluation committee and the Contracting Authority at

contracting phase. The applicant is invited to submit (where relevant) the list of contracts to which the methodology proposed had been already applied and for which proper application was confirmed by an expenditure verification.

At the time of carrying out the expenditure verifications, the auditors will check if the costs reported are compliant with the method described by the beneficiary(ies) and accepted by the Contracting Authority.

Adequate record and documentation must be kept by the beneficiary(ies) to prove the compliance of the simplified allocation method used with the conditions set out above. Upon request of the beneficiary(ies), this compliance can be assessed and approved ex-ante by an independent external auditor. In such a case, the simplified allocation method will be automatically accepted by the evaluation committee and it will not be challenged ex post.

When costs are declared on the basis of such allocation method the amount charged to the action is to be indicated in the column "TOTAL COSTS" and the mention "APPORTIONMENT" is to be indicated in the column "units" (under budget heading 1 (Human resources) and 4 (Local Office) of the Budget).

It has to be noted that the EUR 60.000 limit, otherwise applicable to costs declared on the basis of simplified cost options, is not relevant for costs declared following apportionment of Field Offices.

Eligible direct costs

To be eligible under this 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).

In case of applicants, co-applicants or affiliated entities with a status of National Human Rights Institution or Ombudsperson, 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 National Human Rights Institution or Ombudsperson would not carry out if the action was 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 lead applicant may be asked to justify the percentage requested before the grant contract is signed. However, once the flat rate has been fixed in the Special Conditions of the 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 beneficiaries or affiliated entities free of charge by a third party. As contributions in kind do not involve any expenditure for beneficiaries or affiliated entities, 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 European 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, in accordance with Article 7.5 of the General Conditions of the standard grant contract, at the latest at the end of the action;
- currency exchange losses;
- credit to third parties;
- salary costs of the personnel of national administrations (except for applicants, co-applicants or affiliated entities with a status of National Human Rights Institution or Ombudsperson).

2.2 How to apply and the procedures to follow

To apply for this call for proposals the lead applicants need to:

- I. Provide information about the organisations involved in the action. Please note that the registration of this data in **PADOR is obligatory** for this call for proposals:

Concept note step: Registration is obligatory for lead applicants applying for EU contributions of more than EUR 60 000.

Full application step: Registration is obligatory for co-applicant(s) and affiliated entity(ies). Lead applicants must make sure that their PADOR profile is up to date.

- II. Provide information about the action in the documents listed under sections 2.2.2 (concept note) and 2.2.5 (full application). Please note that online submission via **PROSPECT is obligatory** for this call,

PADOR is an on-line database in which organisations register and update information concerning their entity. Organisations registered in PADOR get a unique ID (EuropeAid ID) which they **must mention** in their application. PADOR is accessible via the website: http://ec.europa.eu/europeaid/pador_en

It is strongly recommended to register in PADOR well in advance and not to wait until the last minute before the deadline to submit your application in PROSPECT.

If it is impossible to register online in PADOR for technical reasons, the applicants and/or affiliated entity(ies) must complete the 'PADOR off-line form attached to these guidelines. This form must be sent **together with the application**, by the submission deadline (see sections 2.2.2 and 2.2.5).

Before starting using PADOR and PROSPECT, please read the user guides available on the website. All

technical questions related the use of these systems should be addressed to the IT helpdesk at EuropeAid-IT-support@ec.europa.eu via the online support form in PROSPECT.

2.2.1 Concept note content

Applications must be submitted in accordance with the concept note instructions in the grant application form annexed to these guidelines (Annex A.1).

Applicants must apply in English, French or Spanish.

Please note that:

1. In the concept note lead applicants must provide only an estimate of the **requested EU contribution**, as well as an indicative percentage of this contribution in relation to the total eligible costs of the action. A detailed budget is to be submitted only by lead applicants invited to submit a full application in the second phase.

2. The elements outlined in the concept note may not be modified in the full application form. The EU contribution may not vary from the initial estimate by more than 20 %. Lead applicants are free to adapt the requested EU contribution as a percentage of the total eligible costs within the minimum and maximum amounts and percentages provided in section 1.3. The lead applicant may replace a co-applicant or an affiliated entity only in duly justified cases (e.g. bankruptcy of initial co-applicant or affiliated entity). In this case the new co-applicant/affiliated entity must be of a similar nature as the initial one. The lead applicant may adjust the duration of the action if unforeseen circumstances outside the scope of the applicants have taken place following the submission of the concept note and require such adaptation (risk of action not being carried out). In such cases the duration must remain within the limits imposed by the guidelines for applicants. An explanation/justification of the relevant replacement/adjustment shall be included in section 2.1.1 of the grant application form.

Own contributions by the applicants can be replaced by other donors' contributions at any time.

3. Only the concept note form will be evaluated. It is therefore of utmost importance that this document contains **all relevant information** concerning the action. **No additional annexes should be sent.**

Any error or major discrepancy related to the concept note instructions may lead to the rejection of the concept note.

Clarifications will only be requested when information provided is not sufficient to conduct an objective assessment.

2.2.2

Where and how to send concept notes

The concept note together with the declaration by the lead applicant (Annex A.1 section 2) **must be submitted online via PROSPECT** <https://webgate.ec.europa.eu/europeaid/prospect> following the instructions given in the PROSPECT user manual.

Upon submission of a concept note online, the lead applicant will receive an automatic confirmation of receipt in its PROSPECT profile.

If it is impossible for lead applicants to submit their concept note online via PROSPECT for technical reasons, they must send their proposal in a sealed envelope and attach the concept note together with the declaration by the lead applicant (**Annex A.1 section 2**). In particular, the lead applicant must send, in a sealed envelope as described below the following items:

a. One original of the concept note. The signed declaration by the lead applicant (Annex A.1 section 2) must be printed and stapled separately and enclosed in the envelope

b. An electronic version (e.g. CD-Rom) of the items under point (a). The electronic file must contain **exactly the same** application as the paper version enclosed.

The outer envelope must bear the reference and the title of the Call for Proposals, the lot number and title, the full name and address of the applicant, and the words "Not to be opened before the opening session".

Please note that "technical reasons" should be understood ONLY in a situation when PROSPECT is not responding. Paper submission when PROSPECT is working may lead to the rejection of the application.

The validity of the submission off-line will be examined by the Evaluation Committee.

Submission off-line for technical reasons should not be mixed up with paper submission for confidentiality reasons (please see below).

NB: In exceptional cases, when the applicants do not find it appropriate to send the Concept Note through PROSPECT 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 fact that the proposal is sent due to security and confidentiality concerns should also be made clear in the envelope. When the organizations involved in the proposal do not find it appropriate to register in PADOR online due to security and confidentiality concerns, they must complete the 'PADOR off-line form attached to these guidelines. This form must be sent **together with the application**, by the submission deadline (see sections 2.2.2 and 2.2.5.).

To reduce expense and waste, we strongly recommend that you do not use plastic folders or dividers. Please also use double-sided printing if possible.

Postal address

European Commission
Directorate-General for International Cooperation and Development
Unit DEVCO B6 Finance, Contracts, Audit – Human Development and Migration
Calls for Proposals Sector
Office: J-59 01/33
B-1049 Brussels
BELGIUM

Address for hand delivery or by private courier service

European Commission
Directorate-General for International Cooperation and Development
Unit DEVCO B6 Finance, Contracts, Audit – Human Development and Migration
Calls for Proposals Sector

Office: J-59 01/33
Central Mail Service
Avenue du Bourget, 1
B-1140 Brussels (Evere)
BELGIUM

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

Please note that incomplete concept notes may be rejected. Lead applicants are advised to verify that their concept note is complete by using the checklist for concept note (Annex A.1, Instructions).

2.2.3 Deadline for submission of concept notes

The deadline for the submission of concept notes is **14/10/2016 at 16:00** (Brussels date and time). In order to convert this deadline to local time you can use any online time converter tool that takes into account timezones and winter/summer time changes (example available **here**) **The lead applicant is strongly advised not to wait until the last day to submit** its concept note, since heavy Internet traffic or a fault with the Internet connection (including electricity failure, etc.) could lead to difficulties in submission. The Contracting Authority cannot be held responsible for any delay due to such aforementioned difficulties.

In the exceptional case of submission by post or by hand delivery (see section 2.2.2), the date of submission is evidenced by the date of dispatch, the postmark or the date of the deposit slip. In the case of hand-deliveries, the deadline for receipt is at 16h00 local time (Brussels) as evidenced by the signed and dated receipt.

Any concept note submitted after the deadline will be rejected.

However, for reasons of administrative efficiency, the Contracting Authority may also reject any concept note sent in due time but received after the effective date of approval of the concept note evaluation (see indicative calendar under section 2.5.2).

2.2.4 Further information about concept notes

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

E-mail address: **EuropeAid-152550@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 submission of concept notes.

To ensure equal treatment of applicants, the contracting authority cannot give a prior opinion on the eligibility of lead applicants, co-applicants, affiliated entity(ies), 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 https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi_welcome, as appropriate. It is therefore advisable to consult the abovementioned website regularly in order to be informed of the questions and answers published.

All questions related to registration in PADOR or the online submission via PROSPECT should be addressed to the IT helpdesk at EuropeAid-IT-support@ec.europa.eu **via the online support form in PROSPECT**: Please note that the working languages of the IT support are: English, French and Spanish. Therefore users are invited to send their questions in English, French or Spanish should they wish to benefit from an optimum response time.

2.2.5 Full applications

Lead applicants invited to submit a full application following pre-selection of their concept note must do so using the full application form annexed to these guidelines (Annex A.2). Lead applicants should then keep strictly to the format of the grant application form and fill in the paragraphs and pages in order.

Applications must be submitted in accordance with the full application instructions at the end of Annex A. 2. Lead applicants must submit their full applications in the same language as their concept notes.

Please note that:

1. The elements outlined in the concept note cannot be modified by the lead applicant in the full application form. The EU contribution may not vary from the initial estimate by more than 20 %, although lead applicants are free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in these guidelines under section 1.3. The lead applicant may replace a co-applicant or an affiliated entity only in duly justified cases (e.g. bankruptcy of initial co-applicant or affiliated entity). In this case the new co-applicant/affiliated entity must be of a similar nature as the initial one. The lead applicant may adjust the duration of the action if unforeseen circumstances outside the scope of the applicants have taken place following the submission of the concept note and require such adaptation (risk of action not being carried out). In such cases the duration must remain within the limits imposed by the guidelines for applicants. An explanation/justification of the relevant replacement/adjustment shall be included in section 2.1.1 of the grant application form.
2. A copy of the lead applicant's accounts of the latest financial year (the profit and loss account and the balance sheet for the last financial year for which the accounts have been closed) must be uploaded in PADOR by the full application deadline. A copy of the latest account is neither required from (if any) the co-applicant(s) nor from (if any) affiliated entity(ies)).
3. Only the full application form and the published annexes which have to be filled in (budget, logical framework) will be transmitted to the evaluators (and assessors, if used). It is therefore of utmost importance that these documents contain **ALL the relevant information** concerning the action. **No additional annexes should be sent.**

In addition, the supporting documents mentioned under section 2.4 below must also be provided through PADOR by the deadline for submission of the Full Application Form.

Any error or any major inconsistency related to the full application instructions (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 information provided is unclear and thus prevents the Contracting Authority from conducting an objective assessment.

2.2.6

Where and how to send full applications

Full application forms together with the budget, the logical framework and the declaration by the lead applicant must be submitted online via PROSPECT <https://webgate.ec.europa.eu/europeaid/prospect> following the instructions given in the users' manual.

Upon submission of the full application online, the lead applicants will receive an automatic confirmation of receipt in their PROSPECT profile.

(a) If the lead applicant submitted the concept note by post / hand delivery (see section 2.2.3) it must send the full application by the same means (by post or hand delivery).

(b) If the lead applicant submitted the concept note online via PROSPECT but it is technically impossible for the organisation to submit the full application online:

In the above two cases the lead applicant must send by post the application, i.e the full application form, the budget, the logical framework and the declaration by the lead applicant. The lead applicant must send, in a sealed envelope as described below, the following items:

a. One original signed copy of the full application form, the budget and the logical framework. The declaration by the lead applicant (Annex A.2, section 5) must be printed and stapled separately and enclosed in the envelope

b. An electronic version (e.g. CD-Rom) of the items under point (a). The electronic file must contain exactly the same application as the paper version enclosed.

To reduce expense and waste, we strongly recommend that you use only paper for your file (no plastic folders or dividers). Please also use double-sided printing if possible.

Applications must be submitted in a sealed envelope by registered mail, private courier service or by hand-delivery (a signed and dated certificate of receipt will be given to the deliverer) to the address below. Where lead applicants send several applications (if allowed to do so by the guidelines of the call), each one must be sent separately:

Postal address

European Commission
Directorate-General for International Cooperation and Development
Unit DEVCO B6 Finance, Contracts, Audit – Human Development and Migration
Calls for Proposals Sector
Office: J-59 01/33
B-1049 Brussels
BELGIUM

Address for hand delivery or by private courier service

European Commission
Directorate-General for International Cooperation and Development
Unit DEVCO B6 Finance, Contracts, Audit – Human Development and Migration
Calls for Proposals Sector
Office: J-59 01/33
Central Mail Service
Avenue du Bourget, 1
B-1140 Brussels (Evere)
BELGIUM

NB: In exceptional cases, when the applicants do not find it appropriate to send the Full Proposal

through PROSPECT due to security and confidentiality concerns of the actors involved, Full Proposals 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 envelope must bear the **reference number and the title of the Call for proposals**, together with the number and title of the lot, the full name and address of the lead applicant, and the words ‘Not to be opened before the opening session’.

Applications sent by any other means (e.g. by fax or by e-mail) or delivered to other addresses will be rejected. Hand-written applications will not be accepted.

Please note that incomplete applications may be rejected. Lead applicants are advised to verify that their application is complete using the checklist (Annex A.2, Instructions).

2.2.7 Deadline for submission of full applications

The deadline for the submission of full applications will be indicated in the letter sent to the lead applicants whose application has been pre-selected. This letter will appear online automatically in the PROSPECT profile of the lead applicant. Lead applicants who, in exceptional cases (see section 2.2.6) had to submit their application by post or hand-delivery, will receive the letter by email or by post if no e-mail address was provided.

Lead 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 Contacting Authority cannot be held responsible for any delay due to such afore-mentioned difficulties.

In the case of submission by post, (see section 2.2.6), the date of submission is evidenced by the date of dispatch, the postmark or the date of the deposit slip. In the case of hand-deliveries, the deadline for receipt is at 16:00 Brussels time as evidenced by the signed and dated receipt.

Any application submitted after the deadline will be rejected.

However, for reasons of administrative efficiency, the Contracting Authority may also reject any full application sent in due time but received after the effective date of approval of the full application evaluation (see indicative calendar under section 2.5.2).

2.2.8 Further information about full applications

Questions may be sent by e-mail no later than 21 days before the deadline for the submission of full applications to the addresses listed below, indicating clearly the reference of the call for proposals:

E-mail address: **EuropeAid-152550@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 lead applicants, co-applicants, affiliated entity(ies), or an action.

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 <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>, as appropriate. It is therefore advisable to consult the abovementioned website regularly in order to be informed of the questions and answers published.

All questions related to registration in PADOR or the online submission via PROSPECT should be addressed to the IT helpdesk **via the online support form in PROSPECT**. Please note that the working languages of the IT support are: English French and Spanish. Therefore users are invited to send their questions in English, French or Spanish should they wish to benefit from an optimum response time.

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 applications 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 section 2.1, the application will be rejected on this sole basis.

STEP 1: OPENING & ADMINISTRATIVE CHECKS AND CONCEPT NOTE EVALUATION

During the opening and administrative check (including the eligibility check of the action) the following will be assessed:

- ♣ If the deadline has been met. Otherwise, the application will be automatically rejected.
- ♣ If the concept note satisfies all the criteria specified in the checklist in the instructions included in Annex A.1. This includes also an assessment of the eligibility of the action. 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 this check will be evaluated on the relevance and design of the proposed action.

The concept notes will receive an overall score out of 50 in line with the evaluation grid below. The evaluation will also check the compliance with the instructions on how to complete the concept note (Annex A.1).

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.

Evaluation Grid

Section	Maximum Score
1. Relevance of the action	30
1.1. How relevant is the proposal to the objectives and priorities of the Call for Proposals and the objectives of the concerned lot?*	5x2**
1.2. How relevant to the particular needs and constraints of the target country(ies) or region(s) is the proposal (including synergy with other EU initiatives and avoidance of duplication)?*	5x2**
1.3. How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs been clearly defined and does the proposal address them appropriately?*	5
1.4. Does the proposal contain specific added-value elements, such as environmental issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of persons belonging to minorities and rights of indigenous peoples, or innovation and best practices and the other additional elements indicated under 1.1 and 1.2. of these guidelines?	5

2. Design of the action	20
2.1. How coherent is the overall design of the action? In particular, does it reflect the analysis of the problems involved, take into account external factors and relevant stakeholders?	5x2**
2.2. Is the action feasible and consistent in relation to the objectives and expected results?	5x2**
Maximum total score	50

**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.

Concept notes with a score lower than 30 will be rejected.

Concept notes that reach the above threshold will be ranked by score. The highest scoring applications will be pre-selected until the limit of at least 200% of the available budget for this call for proposals is reached.

The amount of requested contributions of each concept note will be based on the indicative financial envelopes for each lot, where relevant.

Lead applicants will receive a letter indicating the reference number of their application and the respective results. This letter will automatically appear online in the PROSPECT profile of the lead applicant. Lead applicants who, in exceptional cases (see section 2.2), had to submit their application by post or hand-delivery will receive the letter by email or by post if no e-mail address was provided.

The pre-selected lead applicants will subsequently be invited to submit full applications.

STEP 2: OPENING & ADMINISTRATIVE CHECK AND EVALUATION OF THE FULL APPLICATION

During the opening and administrative check (including the eligibility check of the action) for full applications the following will be assessed:

- ♣ If the submission deadline has been met. Otherwise, the application will automatically be rejected.
- ♣ If the full application satisfies all the criteria specified in the checklist in Annex A.2. This includes also an assessment of the eligibility of the action. 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 full applications that pass this check will be further evaluated on their quality, including the proposed budget and the capacity of the applicants and affiliated entity(ies). The evaluation criteria used are presented 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 lead applicant's financial capacity and are used to verify 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 (this only applies to lead applicants);
- have the management capacity, professional competencies and qualifications required to

successfully complete the proposed action. This applies to applicants and to any affiliated entity(ies).

For the purpose of the evaluation of the financial capacity, lead applicants must ensure that the relevant information and documents (i.e. accounts of the latest financial year and external audit report, where applicable) in their PADOR profile are up to date. If the information and documents in PADOR are outdated and do not allow for a proper evaluation of the financial capacity, the application may be rejected.

The award criteria help to evaluate the quality of the applications in relation to the objectives and priorities set forth in the guidelines, 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.

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
1. Financial and operational capacity	20
1.1. Do the applicants and, if applicable, their affiliated entity(ies) have sufficient experience of project management?	5
1.2. Do the applicants and, if applicable, their affiliated entity(ies) have sufficient technical expertise (especially knowledge of the issues to be addressed)?	5
1.3. Do the applicants and, if applicable, their affiliated entity(ies) have sufficient management capacity (including staff, equipment and ability to handle the budget for the action)?	5
1.4. Does the lead applicant have stable and sufficient sources of finance?	5
2. Relevance of the action	30
<i>Score transferred from the Concept Note evaluation</i>	
3. Effectiveness and feasibility of the action	20
3.1. Are the activities proposed appropriate, practical, and consistent with the objectives and expected results?	5
3.2. Is the action plan clear and feasible?	5
3.3. Does the proposal contain objectively verifiable SMART disaggregated (including sex-disaggregated) indicators for the outcome of the action? Is any evaluation planned?	5
3.4. Is the co-applicant(s)'s and affiliated entity(ies)'s level of involvement and participation in the action satisfactory?	5
4. Sustainability of the action	15
4.1. Is the action likely to have a tangible impact on its target groups?	5
4.2. Is the proposal likely to have multiplier effects (including scope for replication, extension and information sharing)?	5

4.3. Are the expected results of the proposed action sustainable?:(1) financially (how will the activities be financed after the funding ends?)(2) institutionally (will structures allowing the activities to continue be in place at the end of the action? Will there be local 'ownership' of the results of the action?)(3) at policy level (where applicable) (what will be the structural impact of the action — e.g. will it lead to improved legislation, codes of conduct, methods, etc?)(4) environmentally (if applicable) (will the action have a negative/positive environmental impact?)"	5
5. Budget and cost-effectiveness of the action	15
5.1. Are the activities appropriately reflected in the budget?	5
5.2. Is the ratio between the estimated costs and the expected results satisfactory?	10
Maximum total score	100

If the total score for section 1 (financial and operational capacity) 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.

If the lead applicant applies without co-applicants or affiliated entities the score for point 3.4 shall be 5 unless the involvement of co-applicants or affiliated entities is mandatory according to these guidelines for applicants.

Note that (members of) the evaluation committee or internal assessors evaluating the full applications may re-evaluate the scores given for the relevance at concept note stage and transferred to the full application.

After the evaluation, applications will be ranked according to their score. The highest scoring applications will be provisionally selected until the available budget for this call for proposals is reached.

In addition, a reserve list will be drawn up following the same criteria. This list will be used if more funds become available during the validity period of the reserve list.

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

The eligibility verification will be performed on the basis of the supporting documents requested by the Contracting Authority (see section 2.4). It will only be performed for the applications that have been provisionally selected according to their score and within the available budget for this call for proposals.

- The declaration by the lead applicant (section 5 of Annex A.2) will be cross-checked with the supporting documents provided by the lead applicant. Any missing supporting document or any incoherence between the declaration by the lead applicant and the supporting documents may lead to the rejection of the application on that sole basis.
- The eligibility of applicants and the affiliated entity(ies) 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 budget for this call for proposals.

2.4 Submission of supporting documents for provisionally selected applications

A lead applicant whose application 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 lead applicant, (if any) of the co-applicant(s) and (if any) of their affiliated entity(ies):

Supporting documents must be provided through PADOR (see section 2.2)

1. The statutes or articles of association of the lead applicant, (if any) of each co-applicant and (if any) of each affiliated entity. Where the Contracting Authority has recognised the lead 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. 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 lead applicant's accounts for the last financial year available where the total amount of the requested EU contribution exceeds EUR 750 000 (EUR 100 000 for an operating grant). The external audit report is not required from (if any) the co-applicant(s) or affiliated entity(ies).

This obligation does not apply to public bodies in case of (co-)applicants with a status of National Human Rights Institution or Ombudsperson.

3. Legal entity sheet (see Annex D of these guidelines) duly completed and signed by each of the applicants (i.e. by the lead applicant and (if any) 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.
4. A financial identification form of the lead applicant (not from co-applicant(s), nor from affiliated entity(ies)) 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 lead applicant is established. If the lead 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.

Entities without legal personality must, to the extent possible, submit the documentation listed above. In addition, a letter must be provided by the legal representative certifying his/her capacity to undertake legal obligations on behalf of the entity.

The requested supporting documents (uploaded in PADOR or sent together with the PADOR offline form) must be supplied in the form of originals, photocopies or scanned versions (i.e. showing legible stamps, signatures and dates) of the said originals.

Where such documents are not in one of the official languages of the European Union, a translation into one of the languages of the call for proposals of the relevant parts of these documents proving the lead applicant's and, where applicable, co-applicants' and affiliated entity(ies)' eligibility must be attached for the purpose of analysing the application.

Where these documents are in an official language of the European Union other one of 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 lead applicants' and, where applicable, co-applicants' and affiliated entity(ies)' eligibility, into one of the languages of the call for proposals.

Applicants have to take into consideration the time necessary to obtain official documents from national competent authorities and to translate such documents in the authorised languages while registering their data in PADOR.

If the abovementioned supporting documents are not provided before the deadline indicated in the request for supporting documents sent to the lead 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 lead 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 lead applicants will be informed in writing of the Contracting Authority's decision concerning their application and, if rejected, the reasons for the negative decision. This letter will be sent by e-mail and will appear online automatically in the PROSPECT profile of the user who submitted the application.

Applicants should consult the indicative timetable below.

The users who submitted the application online must check regularly their PROSPECT profile, taking into account the indicative timetable below. Lead applicants who, in exceptional cases (see section 2.2), had to submit their application by post or hand-delivery, will be informed by email or by post if they did not provide any e-mail address. The Contracting Authority cannot be held responsible for non-delivered emails due to issues with the reliability of email providers.

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 International Cooperation and Development
 Unit B.6 Finance, Contracts, Audit - Human Development and Migration
 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 International Cooperation and Development
 Unit B.1 Human Rights, Gender, Democratic Governance
 Attn. Head of Unit
 Office: J-59 05/33
 B-1049 Brussels
 Belgium

2.5.2 *Indicative timetable*

	DATE	TIME
1. Deadline for requesting any clarifications from the Contracting Authority	23 September 2016	16:00
2. Last date on which clarifications are issued by the Contracting Authority	3 October 2016	-
3. Deadline for submission of concept notes	14 October 2016	16:00
4. Information to lead applicants on opening, administrative checks and concept note evaluation (Step 1)	mid-December 2016*	-
5. Invitations to submit full applications	mid-December 2016*	-
6. Deadline for submission of full applications	mid-February 2017*	-
7. Information to lead applicants on the evaluation of the full applications (Step 2)	May 2017*	-
8. Notification of award (after the eligibility check) (Step 3)	June 2017*	-
9. Contract signature	September/October 2017*	-

* **Provisional date.** All times are in the time zone of the country of the Contracting Authority (CET).

This indicative timetable refers to provisional dates (except for dates 2, 3 and 4) and 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 standard 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. Where the Coordinator is an organisation whose pillars have been positively assessed, it will sign a PA Grant Agreement based on the PAGoDA template. In this case references to provisions of the standard grant contract and its annexes shall not apply. References in these guidelines to the grant contract shall be understood as references to the relevant provisions of the PA Grant Agreement.

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 detection and exclusion system (edes)

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 section 2.3.3.1 or 2.3.3.2 of the Practical Guide 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 EDES. For further information see section 2.3.3 and 2.3.4 of the Practical Guide.

LIST OF annexes

Documents to be completed

- Annex A: Grant Application Form (Word format)
- A.1. Concept Note
 - A.2. Full Application Form
- Annex B: Budget (Excel format)
- Annex C: Logical Framework (Word 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 rules
 - 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:
http://ec.europa.eu/europeaid/funding/about-procurement-contracts/procedures-and-practical-guide-prag/diems_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: e-learning : <https://webgate.ec.europa.eu/europeaid/prospect/external/>
- Annex M: user manual for PROSPECT : <https://webgate.ec.europa.eu/europeaid/prospect/external/>

Useful links

Project Cycle Management Guidelines

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

http://ec.europa.eu/europeaid/sites/devco/files/financial-management-toolkit-for-recipients-15112010_en.pdf

Please note: The toolkit is not part of the grant contract and has no legal value. It merely provides general guidance and may in some details differ from the signed grant contract. In order to ensure compliance with their contractual obligations beneficiaries should not exclusively rely on the toolkit but always consult their individual contract documents.

* * *

For information only:

Next year, the five core priority objectives of the **2017** EIDHR Global Call for Proposals will be:

- **Lot 1: Supporting Human Rights Defenders in the area of land-related rights, indigenous peoples, in the context of inter alia 'land grabbing' and climate change;**
- **Lot 2: Fighting against extra judiciary killings and enforced disappearances;**
- **Lot 3: Combating modern forms of forced labour;**
- **Lot 4: Supporting the rights of Persons with disabilities;**
- **Lot 5: Supporting Freedom of Religion or Belief.**

Indicative timing: second quarter 2017