



**Contracting Authority: Delegation of the European Union to Indonesia**

**European Instrument for Democracy and Human Rights (EIDHR)  
Country Based Support Scheme (CBSS) Indonesia**

**Guidelines  
for grant applicants**

Budget line(s): 21.040100

**Reference: EuropeAid/136-980/DD/ACT/ID**

Deadline for submission of Concept note:

**27 May 2015 at 16:00 hours (Jakarta time)**

## **NOTICE**

This is a restricted Call for Proposals. In the first instance, only Concept Notes must be submitted for evaluation. Thereafter, applicants who have been pre-selected will be invited to submit a Full Application Form. 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 Applicant' sent together with the application.

### **SUSPENSIVE CLAUSE**

The conclusion of grant contracts for actions selected under this Call for Proposals is subject to the adoption of the relevant financing decision, i.e. the adoption of the EIDHR Annual Action Programme 2015.

The adoption of the afore-mentioned programme does not depend only on the European Commission. If the above-mentioned programme is substantially modified and/or does not provide adequate coverage for the proposed action or is not adopted, the present Call for Proposals or some of its allocations may be cancelled and/or replaced by other Calls for Proposals adapted to the finally approved Annual Action Programme.

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# 1. EUROPEAN INSTRUMENT FOR DEMOCRACY AND HUMAN RIGHTS (EIDHR) COUNTRY BASED SUPPORT SCHEME (CBSS) INDONESIA

## 1.1. BACKGROUND

The European Instrument for Democracy and Human Rights (EIDHR) is a self-standing financial instrument of the European Union for the promotion of democracy and human rights worldwide. The EIDHR was adopted by the European Parliament and the Council in December 2006 and entered into force on 1 January 2007. The instrument aims to provide support to civil society to become an effective force for democratic reform and defence of human rights. It offers independence of action, allowing for the delivery of assistance in principle without government consent, which is a critical feature of cooperation with civil society organisations at national level, especially in sensitive areas of democracy and human rights.

The new EIDHR Regulation<sup>1</sup> established five objectives: 1) Support to human rights and human rights defenders in situations where they are most at risk; 2) Support to other priorities of the Union in the field of human rights; 3) Support to democracy; 4) EU Election Observation Missions; and 5) Support to targeted key actors and processes, including international and regional human rights instruments and mechanisms. At national level, objectives 1 to 3 will be supported through the Country Based Support Schemes (CBSS).

EIDHR Country Based Support Schemes (CBSS) are administered directly by EU Delegations in the countries concerned. They are designed to support small-scale and innovative actions by civil society organisations in the field of human rights and democracy. The evaluation of CBSS in 2010 has shown the CBSS constitutes an important source of funding as it can work in a more flexible way, for example without host country government consent. In this way it manages to target the more difficult issues which can be hard to fund under other instruments.<sup>2</sup>

Since 2007, under the CBSS programme the EU Delegation in Indonesia has supported 32 projects with a value of approximately EUR 5.3 million. These projects covered a wide range of issues such as civic education, election monitoring, rights vulnerable groups (people with disabilities, women, children, migrant workers), documentation of human rights abuses, right to education, accountability for past human rights abuses, promotion of religious tolerance and prevention of torture.

The EU is committed to further strengthen its comprehensive partnership with CSOs. In December 2014, the EU Heads of Missions adopted the EU Roadmap for Engagement with Civil Society in Indonesia 2015-2017. It is a joint initiative between the EU and its Member States to strengthen partnership with civil society and providing support to their endeavours.

The Roadmap identified three strategic priorities for EU engagement with civil society in Indonesia for the period 2015-2017:

1. Promoting a conducive legal, regulatory, financial and institutional environment for CSOs.
2. Promoting a constructive and effective participation of civil society across the key social, economic and environmental public policies in Indonesia.
3. Supporting the capacity of CSOs to contribute to poverty reduction and inclusive and equitable economic growth.

## 1.2. OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

The **global objective** of this Call for Proposals is to contribute to the European Union goals in providing assistance to the development and consolidation of democracy and the rule of law, of respect for all human rights and fundamental freedom.

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<sup>1</sup> REGULATION (EU) No 235/2014 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 11 March 2014 establishing a financing instrument for democracy and human rights worldwide.

<sup>2</sup> Multi-Annual Indicative Programme EIDHR 2014-2020 (Section 2.3 Lessons Learnt), available in <http://www.eidhr.eu/events/civil-society-consultation>.

The **specific objective** of this Call for Proposals is to support civil society and human rights defenders in Indonesia in working on human rights (political, civil, economic, social and cultural), and democratisation, so as to:

- i. pursue common agendas for human rights and democratic reform;
- ii. build consensus on disputed or controversial areas of policy;
- iii. enhance political representation and participation;
- iv. enhance the inclusiveness and pluralism of civil society;
- v. increase safety structures for human rights defenders;
- vi. counter the worrying trends of shrinking space for civil society;
- vii. support activities aimed at promoting the issues covered by EU Human Rights guidelines and in the EU's Strategic Framework and Action Plan on Human Rights and Democracy;
- viii. enhance the rule of law and good governance.

Within these aims and in line with the priorities for the EU engagement with the civil society in Indonesia for the period of 2015-2017, the proposed action should be coherent with one of the following **priority issues**:

- 1) Initiatives to enhance **inclusiveness and pluralism** in Indonesia, namely in:
  - a. Combating all forms of discrimination on the grounds of **religion and belief**; or
  - b. Combating all forms of discrimination on the grounds of **disability**.
- 2) Initiatives contributing to the implementation of the United Nations Guiding Principles on **Business and Human Rights** in Indonesia.

Furthermore, depending on the selected priority issue mentioned above, the following value-added methodological approaches are strongly encouraged:

- Actions aiming at supporting particularly marginalised or disadvantaged communities, including women, ethnic, religious or belief minorities, displaced persons and people with disability; namely by contributing to the creation of sustainable livelihoods;
- Actions implemented through wide networks of civil society organisations in Indonesia;
- Actions implemented or co-implemented by civil society organisations at the local level;
- Actions implemented through a participatory approach, in particular by involving the business community/private sector, political actors, youth and women groups;
- Actions incorporating a gender and/or inter-ethnic perspective in their methodology;
- Actions providing financial support to third parties (sub-grantees) in the geographical targeted areas (see section 2.1.4).
- Actions strengthening the capacity of the justice system and law enforcement sector to address human rights violations in Indonesia;
- Actions providing support to human rights defenders to build their capacity and expertise and to strengthen their recognition and protection under national and international law.

Proposed actions should be self-contained operations and results-oriented indicating a coherent set of activities with clearly defined **operational objectives, target groups, tangible outcomes**, within a limited **timeframe**. Proposals outside the identified priority themes will not be considered for funding

Proposed actions must be conceived to produce specific, measurable results which are in response to a particular issue. Actions must have clear objectives based on a strategy and methodology, an integrated approach with various complementary activities and be likely to directly address the issue in question.

The implementation methods should follow this approach and should contain objective and verifiable indicators to be defined for each individual activity proposed. Actions will be selected on the basis of their expected results as well as their potential effectiveness. Each action will present its own indicators of performance and success which must be objective and verifiable.

## General provisions

- **Cross-cutting issues**

Particular attention should be paid to cross-cutting principles such as empowerment, participation and non-discrimination of marginalised or vulnerable groups. Applicants have to make sure that cross-cutting issues such as the environment and climate change, gender equality and children's rights are taken into account in the design, implementation and monitoring of the action. In all priorities, particular attention must be given to rights-based approaches and broad-based participation, with explicit mainstreaming and monitoring of gender equality, children's rights, rights of persons with disabilities, and rights of persons belonging to minorities and indigenous peoples. Proposed actions should anticipate a methodology and an initial set of indicators allowing data gathering and monitoring of the implementation of the said cross-cutting issues throughout the action.

The promotion of gender equality and women's rights is fundamental to this Call for Proposals and a question of social justice, as well as being instrumental in achieving development. With specific regard to gender equality, applicants are invited to analyse relevant gender gaps and to integrate in the proposed actions in support to gender equality and/or women empowerment.

- **Capacity building of local civil society organisations**

Proposed actions should include specific activities aiming at increasing financial, management and organizational capacities of local civil society organisations. Proposed actions should aim at obtaining sustainable results in order to achieve on-going impact beyond the duration of EIDHR funding. Applicants should include in their actions specific activities aimed at increasing financial, management and organizational capacities of local human rights defenders and civil society organizations, in particular grass-roots groups in rural or remote areas, to ensure the continuation of their work in the long term, e.g. training on engagement with donors and fundraising, project cycle management (PCM) and grant proposals writing, sound project financial management, organisational management, communication strategy, etc.

- **Monitoring and evaluation**

Proposed actions must foresee timing plans, human resources, budget and any other appropriate measures for the monitoring and evaluation of the proposed action. Independent/external final evaluation of the action is strongly encouraged to measure the achievement of the objectives and impact of the project towards the beneficiaries. Monitoring activities and the methodology for impact assessment on the proposed action will be specifically evaluated at Full application stage (see Full application evaluation grids in section 2.3 of the present Guidelines).

- **Overlapping of funding**

Every effort should be made to avoid overlapping of funding and duplication of work. The applicant should therefore properly take into account, when identifying the needs and constraints of the target groups, the work done previously or simultaneously by other stakeholders, under EU funding or in the scope of actions financed by other donors.

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

The overall indicative amount made available under this Call for Proposals is **EUR 1 650 000**. The Contracting Authority reserves the right not to award all available funds.

#### Size of grants

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

- minimum amount: **EUR 400 000**
- maximum amount: **EUR 600 000**

Any grant requested under this Call for Proposals must fall between the following [minimum and] maximum percentages of total eligible costs of the action:

- Minimum percentage: **50%** 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<sup>3</sup>.

The grant may cover the entire eligible costs of the action if this is deemed essential to carry it out. If that is the case, the applicant must justify full financing in Section 2.1 of Part B of the grant application form.

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3 Where a grant is financed by the European Development Fund, any mention of European Union financing must be understood as referring to European Development Fund financing.

## 2. RULES FOR THIS CALL FOR PROPOSALS

These guidelines set out the rules for the submission, selection and implementation of the actions financed under this Call, in conformity with the Practical Guide, which is applicable to the present call (available on the Internet at this address: <http://ec.europa.eu/europeaid/prag/document.do?locale=en> ).

### 2.1. ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

(1) the actors:

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

(2) the actions:

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

(3) the costs:

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

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

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

- be legal persons **and**;
- be non-profit-making **and**;
- belong to one of the following categories<sup>4</sup> **and**;
  - a) civil society organisations, including non-governmental organisations and independent political foundations, community based organisations, and private sector agencies, institutions and organisations, and networks thereof at local, national, regional and international level;
  - b) public sector non-profit agencies, institutions and organisations and networks at local, national and regional level.
- be established in<sup>5</sup> an eligible country as laid down in the Common Implementing Regulation (CIR) and defined in the Rules for Participation in Procurement Procedures and Grants (Annex A2a of the PRAG)

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<sup>4</sup> Article 11, Regulation (EU) No 236/2014 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 11 March 2014 laying down common rules and procedures for the implementation of the Union's instruments for financing external action (<http://eur-lex.europa.eu/legal-content/EN/TXT/?qid=1427249007037&uri=CELEX:32014R0236>)

<sup>5</sup> To be determined on the basis of the organisation's statutes, which should demonstrate that it has been established by an instrument governed by the national law of the country concerned and that its head office is located in an eligible country. In this

<http://ec.europa.eu/europeaid/prag/document.do?chapterId=2.3.1.&id=221> and

- be directly responsible for the preparation and management of the action with the co-applicant(s) and affiliated entity(ies), not acting as an intermediary **and**
- (2) The potential applicant may not participate in calls for proposals or be awarded grants if it is in any of the situations listed in Section 2.3.3 of the Practical Guide;

In Part A, section 3 of the grant application form ('Declaration by the applicant'), the applicant must declare that the applicant himself, the co-applicant(s) and affiliated entity(ies) are not in any of these situations.

**Applicants who are established in Indonesia may act individually or with co-applicant(s).** However, partnership with local organisations, especially those working in the geographical targeted areas of the proposed action, is strongly encouraged.

**Applicants who are established in a country other than Indonesia must act with co-applicant(s)** as specified hereafter.

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

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

Applicants who are established in a country other than Indonesia must act with **at least one (1) co-applicant** that is established in Indonesia. Partnership with local organisations, particularly those working in the geographical targeted areas of the proposed actions, is strongly encouraged.

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

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

In addition to the categories referred to in section 2.1.1, the following are however also eligible: national parliamentary bodies and national public sector institutions including National Human Rights Institutions.

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

If awarded the Grant contract, the co-applicant(s) (if any) will become beneficiaries in the Action (together with the Coordinator).

#### **2.1.2. Affiliated entities**

Affiliated entity(ies)

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

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

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respect, any legal entity whose statutes have been established in another country cannot be considered an eligible local organisation, even if the statutes are registered locally or a 'Memorandum of Understanding' has been concluded.

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

This structural link encompasses mainly two notions:

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

Entities affiliated to a beneficiary may hence be:

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

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

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

#### What is not an affiliated entity?

The following are not considered entities affiliated to a beneficiary:

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

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

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

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

If the applicants are awarded a contract, their affiliated entity(ies) will not become Beneficiary(ies) of the Action and signatory(ies) of the Contract. However, they will participate in the design and in the

implementation of the Action and the costs they incur (including those incurred for Implementation Contracts and Financial Support to third parties) may be accepted as eligible costs, provided they comply with all the relevant rules already applicable to the Beneficiary(ies) under the Grant Contract.

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

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

The following entities are not applicant(s) nor affiliated entity(ies) and do not have to sign the "mandate" or "affiliated entities' statement":

- Associates

Other organisations may be involved in the action. Such associates play a real role in the action but may not receive funding from the grant, with the exception of per diem or travel costs. Associates do not have to meet the eligibility criteria referred to in section 2.1.1. Associates must be mentioned in Part B section 6 — ‘Associates of the Applicant participating in the Action’ — of the Grant Application Form.

- Contractors

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

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

Definition:

An action is composed of a set of activities.

#### Duration

The initial planned duration of an action may not be lower than **12 months** nor exceed **36 months**.

Sectors or themes

Action must fall under the themes and priorities described in section 1.2.

#### Location

Actions must take place in **Indonesia**.

#### Types of action

Proposed actions should aim at supporting actions in line with the priority issues of this Call and take into account the general provisions as listed in Section 1.2 above. Moreover, during the evaluation, the value-added methodology as recommended in Section 1.2 will be taken into consideration.

The following types of action are ineligible:

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

- actions concerned only with procurement of equipment
- actions supporting political parties;
- actions including proselytising activities;
- actions which discriminate against individuals or groups of people on grounds of their gender, sexual orientation, religious beliefs or lack of them, or their ethnic origin;
- actions supporting or promoting violence.

### Types of activity

Activities should be designed to meet the specific needs of the target group(s) identified by the project, contributing to the achievement of project objectives. Under this Call for Proposals, the activities eligible for financial support may include the following, but not limited to:

- 1) Public awareness raising:
  - Public communication and media activities;
  - Cultural activities and events to foster inter-ethnic and inter-cultural tolerance and understanding;
  - Commemoration of national and international days related to human rights issues, including International Human Rights Day 10 December;
  - Development of human rights campaigns materials and campaign messages;
  - Public sensitisation activities at local and national levels;
  - Dialogues, public consultations, conferences, seminars, workshops, focus group discussions, etc.;
- 2) Training and capacity building:
  - Training and educational activities including gender and rights-based approaches to organizational development and management and learning exchanges between and among rights-holders and duty-bearers;
  - Capacity building activities for the mobilisation of underrepresented groups and local civil society organisations active in the field of good governance, human rights, law reform, conflict prevention, reconciliation, etc.;
  - Development of training modules/curricula;
  - Strengthening/forming community based groups and promote establishment or effective functioning of participatory association/movements led by community groups;
  - Developing and/or implementing a comprehensive program for human rights education directed towards the young generation and integrating human rights education programmes in the formal education sector, private and public (where possible);
  - Conferences, seminars, workshops, focus group discussions, dialogues, consultations with relevant stakeholders, etc.;
- 3) Advocacy:
  - Legal, medical and psycho-social assistance and other direct forms of support such as relocation/sanctuary to local human rights defenders;
  - Legal support services;
  - Advocacy campaigns;
  - Opinion surveys;
  - Development of analytical papers, drafting of policy or legislation, recommendations for law and policy reform;
- 4) Documentation and publication:
  - Collecting and analysing data, information (statistics) on human rights, including development of surveys, mappings, studies, assessments, observations, early warning system;
  - Development and publication of researches, studies, manuals, modules, etc. on relevant human rights issues and best practices;
  - Support to the improvement of documentation and reporting of human rights violations;

- Participatory research or policy research or media activities as part of a wider range of public advocacy or human rights accountability activities;

5) Networking:

- Activities for strengthening existing civil society platforms, networks and coalitions, including building of information sharing mechanisms and promotion of cohesiveness across NGO community;
- Activities for the institutionalisation of consultation mechanisms between civil society and national or local public institutions as well as the international donor community;
- Support to local civil society organisations or networks, national human rights institutions/commission in the promotion and protection of human rights;
- Establishment and strengthening of sustainable forms of collaboration, synergies, partnerships and association/alliance with relevant stakeholders and duty bearers;
- Dissemination and sharing of best practices, learning and experiences;
- Development or scaling-up of successful innovative approaches for the promotion and protection of human rights, with the active participation of the marginalised and vulnerable groups in policy making dialogue on their fundamental rights;

6) Monitoring and reporting:

- Support efforts in the field of human rights documentation and monitoring, information and advocacy campaigns and claim-making for issues linked to the themes in section 1.2 above;
- Systematic monitoring and collection of data and research-based advocacy;
- Support to monitor and reporting on the implementation of international human rights instruments ratified by Indonesia, as well as laws and policies at national and local levels.

Actions encompassing innovative and creative activities/approaches are strongly encouraged.

The Action should be developed through participatory and grassroots-based approaches and demonstrate clear strategies for effectively involving women and persons from vulnerable groups (as minorities, indigenous peoples and disabled people) in the implementation. These aspects need to be clearly presented as part of the Objectively Verifiable Indicator design and for example in the aggregated presentation of stakeholders, target groups and project beneficiaries.

Activities linked to existing or emerging civil society platforms are encouraged as these platforms provide an opportunity for rapid expansion and scaling-up of impact. Also innovative use of the opportunities provided by the use of social media will be considered as advantage.

Coordination and information sharing are integral part of sustainable project design. Therefore significant coordination efforts already during the design of an action is a requirement and applicants and their partners are requested to ensure that their proposal does not overlap and conflict in terms of beneficiaries and target groups or otherwise with actions implemented by other organisation; instead synergies and complementarities and cooperation with other stakeholders are to be sought. Overlaps would otherwise be considered a distinct disadvantage of an action with negative impact during the evaluation.

Proposed actions should clearly state that the project will development of a communication strategy which ensures the project can reach out to the targeted beneficiaries and relevant stakeholders. The communication strategy should include assessment on the possible situation faced by the proposed actions to ensure that activities and visibility of the project will not cause any harm to the beneficiaries, implementing agencies and the donors. Depending on the assessment of the situation, the proposed actions are encouraged to include activities to increase visibility of the project in their project design.

## Financial support to third parties<sup>6</sup>

Applicants may propose financial support to third parties.

Applicants may propose financial support to third parties in order to help achieving the objectives of the action.

The maximum amount of financial support per third party is **EUR 40 000**.

Under this Call, financial support to third parties may not be the main purpose of the action.

In compliance with the present guidelines and notably of any conditions or restrictions in this section, applicants 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.

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

### **Additional requirement for the provision of financial support to third parties:**

Applicants must specify in their applications the objectives and results to be obtained and the types of entity that will be eligible for financial support.

The financial support should be given to third party(ies) having Indonesian nationality. They should be considered as small-scale grass-root organisations with or without legal personality or natural person(s) working in the fields relevant to the priority issues. They also have to operate in the geographical targeted areas of the proposed action.

A fixed list of the types of activity eligible must be included in the application, together with the criteria for selecting beneficiaries of financial support including the criteria for determining the exact amount of each financial support.

Indicative and non-exhaustive examples of financial support to third parties include:

- organization by the applicants of small "calls for proposals" for which third parties may present applications for a project which can be awarded a mini-grant;
- assistance for small-scale civil society organisations or natural person(s) to implement a small action related to the objectives of the project;
- assistance for small-scale civil society organisations to enhance their financial, operational and management capacity, this may include: training on Project Cycle Management (PCM), proposal writing, negotiation and advocacy skills, monitoring and evaluation (M&E), operational/technical reporting, etc.; development of staff management, career development system, recruitment, team management, time management, etc.; development of communication strategy to promote their works to relevant stakeholders and the general public; development of fund-raising strategies and carry out fund-raising activities; establishment of sound financial management system, including financial management (accounting, archiving, procurement procedures), auditing, financial

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<sup>6</sup> These third parties are neither affiliated entity(ies) nor associates nor contractors.

reporting, etc.; training on technical capacity relating to the thematic areas of intervention of the benefiting organisations in line with the objectives of the Call (e.g. governance and accountability, human rights related issues, rule of law, legal assistance, etc.).

### Monitoring and Evaluation

Proposed actions should allocate foresee timing plans, necessary human resources and appropriate budget to support at least final evaluation of the project. Independent/external evaluation of the action is strongly encouraged to measure the achievement of the objectives and impact of the project.

Proposed action should include any appropriate measures for regular monitoring of the project. The proposed action should clearly indicate in the application forms the monitoring strategy of the project.

### Visibility

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

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

### Number of applications and grants per applicants

The applicant may submit more than 1 (one) application(s) under this Call for Proposals.

The applicant may not be awarded more than 1 (one) grant(s) under this Call for Proposals.

The applicant may be a co-applicant or an affiliated entity in another application at the same time.

A co-applicant may be the applicant or an affiliated entity in another application at the same time.

The affiliated entity(ies) may take part in more than one application.

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

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

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

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

Simplified cost options may take the form of:

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

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

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

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

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

- describe the information and methods used to establish the amounts of unit costs, lump sums and/or flat-rates, to which costs they refer, etc.
- clearly explain the formulas for calculation of the final eligible amount<sup>7</sup>
- identify the beneficiary who will use the simplified cost option (in case of affiliated entity, specify first the beneficiary), in order to verify the maximum amount per each beneficiary (which includes if applicable simplified cost options of its affiliated entity(ies))

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

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

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

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

### Eligible direct costs

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

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<sup>7</sup> Examples:- for staff costs: number of hours or days of work \* hourly or daily rate pre-set according to the category of personnel concerned;- for travel expenses: distance in km \* pre-set cost of transport per km; number of days \* daily allowance pre-set according to the country;- for specific costs arising from the organization of an event: number of participants at the event \* pre-set total cost per participant etc.

### Contingency reserve

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

### Eligible indirect costs

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

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

### Contributions in kind

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

Contributions in kind may not be treated as co-financing.

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

### Ineligible costs

The following costs are not eligible:

- debts and debt service charges (interest);
- provisions for losses or potential future liabilities;
- costs declared by the Beneficiary(ies) and financed by another action or work programme receiving a Union (including through EDF) grant;
- purchases of land or buildings, except where necessary for the direct implementation of the action, in which case ownership must be transferred to the final beneficiaries and/or local Beneficiary(ies), at the latest at the end of the action;
- currency exchange losses;
- credit to third parties;
- salary costs of the personnel of national administrations.

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

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

- **Phase 1, concept note:** Registration in PADOR is obligatory for an applicant applying for grants above EUR 60 000.

Registration is optional though strongly recommended for:

- An applicant applying for grants of EUR 60 000 or less;
- co-applicant(s) and affiliated entity(ies).

- **Phase 2, full proposal:** Registration in PADOR is obligatory for all pre-selected applicants, co-applicant(s) and all their affiliated entity(ies).

PADOR is an on-line database in which organisations register and update their data regularly, through the EuropeAid website: <http://ec.europa.eu/europeaid/pador>.

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

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

On the paper version of the proposal you must give your EuropeAid ID (EID). To get this ID, your organisation must enter PADOR to register, save and ‘sign’ certain obligatory data (the fields shown in orange on each screen) and the related documents (see section 2.4).

However, if it is impossible for the organisation to register in PADOR, it must submit a justification proving that this impossibility is general and beyond the control of the applicant and/or its affiliated entity(ies). In such cases, the applicants and/or affiliated entity(ies) concerned must complete the ‘PADOR off-line form<sup>8</sup>’ attached to these Guidelines and send it by the submission deadline, together with the application, to the address indicated in sections 2.2.2 and 2.2.6. The registration in PADOR will then be carried out by the European Commission service in charge of the Call for Proposals. If, at a later stage, the organisation wishes to update its data itself, it will have to send an access request to the PADOR helpdesk.

All questions related to registration in PADOR should be addressed to the PADOR helpdesk at: <mailto:EuropeAid-IT-support@ec.europa.eu>.

### **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).

Applicants must apply in **English**.

In the Concept Note, applicants must only provide an estimate of the amount of contribution requested from the Contracting Authority and an indicative percentage of that contribution in relation to the total amount of the Action. Only the applicants invited to submit a full application in the second phase will be required to present a detailed budget. The elements outlined in the Concept Note may not be modified by the applicant in the full application form. The EU contribution may not vary from the initial estimate by more than 20%. 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 in section 1.3. Own contributions by the applicants can be replaced by other donors' contributions at any time.

Any error or major discrepancy related to the points listed in 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.

Hand-written Concept Notes will not be accepted.

Please note that 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.

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<sup>8</sup> Which corresponds to Sections 3 and 4 of Part B of the application form.

### ***2.2.2. Where and how to send Concept Notes***

The Concept Note together with its relating Checklist and Declaration by the applicant (to be found in **Part A sections 2 and 3** of the grant application form) must be submitted in one original and **one original and two (2) copies** in A4 size, each bound.

An electronic version of the Concept Note must also be submitted. A CD-Rom with the Concept Note in electronic format will be included, along with the paper version, in a sealed envelope as described below. The electronic file must contain **exactly the same** application as the paper version enclosed. Where applicants send several different Concept Notes (if allowed to do so by the Guidelines of the Call), each one must be sent separately.

The outer envelope must bear the **reference number and the title of the call for proposals**, together with the full name and address of the applicant, and the words "Not to be opened before the opening session" and "*Jangan dibuka sebelum acara pembukaan penawaran diadakan*".

Concept Notes 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:

**Delegation of the European Union to Indonesia, Brunei Darussalam and ASEAN**  
**EIDHR CBSS Programme**  
**Intiland Tower, 16<sup>th</sup> floor**  
**Jl. Jend. Sudirman Kav 32**  
**Jakarta 10220**  
**Indonesia**

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

**Applicants must verify that their Concept Note is complete using the Checklist for Concept Note (Part A section 2 of the grant application form). Incomplete concept notes may be rejected.**

### ***2.2.3. Deadline for submission of Concept Notes***

The deadline for the submission of Concept Notes is **27 May 2015** as 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 hours (Jakarta time)** 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 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 or by fax 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: [Delegation-Indonesia-EIDHR@eeas.europa.eu](mailto:Delegation-Indonesia-EIDHR@eeas.europa.eu)  
Fax: + 62 21 2554 6201

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 applicants, affiliated entity(ies), an action or specific activities.

Questions that may be relevant to other applicants, together with answers and other important notices in the course of the evaluation procedure, will be published on the EuropeAid website <http://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> or [http://eeas.europa.eu/delegations/indonesia/grants\\_tenders/grants/index\\_en.htm](http://eeas.europa.eu/delegations/indonesia/grants_tenders/grants/index_en.htm), as the need arises. 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 PADOR registration should be addressed to the PADOR help desk:

<mailto:EuropeAid-IT-support@ec.europa.eu>

### **2.2.5. Full Application forms**

An applicant invited to submit a full application form following pre-selection of their Concept Note must do so using Part B of the application form annexed to these Guidelines (Annex A). Applicants should then keep strictly to the format of the application form and fill in the paragraphs and pages in order.

The elements outlined in the Concept Note cannot be modified by the applicant in the full application form. The EU contribution may not vary from the initial estimate by more than 20%, although 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.

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

Please complete the full application form carefully and as clearly as possible so that it can be assessed properly.

Any error related to the points listed in the Checklist (Part B, Section 7 of the Grant Application form) or any major inconsistency in the full application form (e.g. if the amounts in the budget worksheets are inconsistent) may lead to the rejection of the application.

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

Hand-written applications will not be accepted.

Please note that only the 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 supplementary annexes should be sent.**

### **2.2.6. Where and how to send Full Application forms**

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:

**Delegation of the European Union to Indonesia, Brunei Darussalam and ASEAN**  
**EIDHR CBSS Programme**  
**Intiland Tower, 16th floor**  
**Jl. Jend. Sudirman Kav 32**  
**Jakarta 10220**  
**Indonesia**

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

Applications must be submitted in one original and **one original and two (2) copies** in A4 size, each bound. The full application form, budget and logical framework must also be supplied in electronic format (CD-

Rom) in a separate and single file (i.e. the full application form must not be split into several different files). The electronic file must contain **exactly the same** application as the paper version.

The Checklist (Section 7 of Part B of the grant application form) and the Declaration by the applicant (Section 8 of Part B of the grant application form) must be stapled separately and enclosed in the envelope. Where applicants send several different applications (if allowed to do so by the Guidelines of the Call), each one must be sent separately.

The outer 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 applicant, and the words "Not to be opened before the opening session" and "*Jangan dibuka sebelum acara pembukaan penawaran diadakan*".

**Applicants must verify that their application is complete using the checklist (Section 7 of Part B of the grant application form). Incomplete applications may be rejected.**

### ***2.2.7. Deadline for submission of Full Application forms***

The deadline for the submission of applications will be indicated in the letter sent to the applicants whose application has been pre-selected.

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

### ***2.2.8. Further information about Full Application forms***

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

E-mail address: [Delegation-Indonesia-EIDHR@eeas.europa.eu](mailto:Delegation-Indonesia-EIDHR@eeas.europa.eu)

Fax: + **62 21 2554 6201**

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

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

To ensure equal treatment of applicants, the Contracting Authority cannot give a prior opinion on the eligibility of applicants, affiliated entity(ies), 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 website <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> or [http://eeas.europa.eu/delegations/indonesia/grants\\_tenders/grants/index\\_en.htm](http://eeas.europa.eu/delegations/indonesia/grants_tenders/grants/index_en.htm). It is therefore advisable to consult the abovementioned website regularly in order to be informed of the questions and answers published.

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

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

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

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

The following will be assessed:

- Compliance with the submission deadline. If the deadline has not been met, the application will automatically be rejected.
- The Concept Note satisfies all the criteria specified in points 1-5 of the Checklist ( Section 2 of Part A of the grant application form). If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

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

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

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

### Scores

| 1. Relevance of the action   | Sub-score | 30 |
|--|-----------|----|
| 1.1 How relevant is the proposal to the objectives and priorities of the Call for Proposals?*  | 5x2**     |    |
| 1.2 How relevant to the particular needs and constraints of the target country(ies) or region(s) is the proposal (including synergy with other EU initiatives and avoidance of duplication)?   | 5x2*      |    |
| 1.3 How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs been clearly defined and does the proposal address them appropriately?  | 5         |    |
| <p>1.4 Does the proposal contain specific added-value elements, such as environmental issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, or innovation and best practices?</p> <p>In line with the priority issue selected, the following value-added methodological approaches are strongly encouraged:</p> <ul style="list-style-type: none"> <li>• <i>Actions aiming at supporting particularly marginalised or disadvantaged communities, including women, ethnic, religious or belief minorities, displaced persons and people with disability; namely by contributing to the creation of sustainable livelihoods;</i></li> <li>• <i>Actions implemented through wide networks of civil society organisations in Indonesia;</i></li> <li>• <i>Actions implemented or co-implemented by civil society organisations at the local level;</i></li> <li>• <i>Actions implemented through a participatory approach, in particular by involving the business community/private sector, political actors, youth and women groups;</i></li> <li>• <i>Actions incorporating a gender and/or inter-ethnic perspective in their</i></li> </ul> | 5         |    |

|   |           |           |
|---|-----------|-----------|
| <i>methodology;</i> <ul style="list-style-type: none"> <li>• <i>Actions providing financial support to third parties (sub-grantees) in the geographical targeted areas (see section 2.1.4).</i></li> <li>• <i>Actions strengthening the capacity of the justice system and law enforcement sector to address human rights violations in Indonesia;</i></li> <li>• <i>Actions providing support to human rights defenders to builds their capacity and expertise and to strengthen their recognition and protection under national and international law.</i></li> </ul> |           |           |
| <b>2. Design of the action</b>  | Sub-score | <b>20</b> |
| 2.1 How coherent is the overall design of the action?<br><br>In particular, does it reflect the analysis of the problems involved, take into account external factors and relevant stakeholders?  | 5x2**     |           |
| 2.2 Is the action feasible and consistent in relation to the objectives and expected results?   | 5x2**     |           |

**TOTAL SCORE**

**50**

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

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

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

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

After the evaluation of Concept Notes, the Contracting Authority will send letters to all applicants, indicating whether their application was submitted by the deadline, informing them of the reference number they have been allocated, whether the Concept Note was evaluated and the results of that evaluation. The pre-selected applicants will subsequently be invited to submit full applications.

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

Firstly, the following will be assessed:

- Compliance with the submission deadline. If the deadline has not been met, the application will automatically be rejected.]
- The full application form satisfies all the criteria specified in points 1-9 of the Checklist (Section 7 of Part B of the grant application form). If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

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

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

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

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

*Scoring:*

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

### Evaluation Grid

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

|   |            |
|---|------------|
| <i>Score transferred from the Concept Note evaluation</i>   |            |
| <b>3. Effectiveness and feasibility of the action</b>   | <b>20</b>  |
| 3.1 Are the activities proposed appropriate, practical, and consistent with the objectives and expected results?  | 5          |
| 3.2 Is the action plan clear and feasible?  | 5          |
| 3.3 Does the proposal contain objectively verifiable indicators for the outcome of the action? Is any evaluation planned?   | 5          |
| 3.4 Is the co-applicant(s)'s and affiliated entity(ies)'s level of involvement and participation in the action satisfactory?  | 5          |
| <b>4. Sustainability of the action</b>  | <b>15</b>  |
| 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?:<br><br>- financially ( <i>how will the activities be financed after the funding ends?</i> )<br><br>- institutionally ( <i>will structures allowing the activities to continue be in place at the end of the action? Will there be local 'ownership' of the results of the action?</i> )<br><br>- at policy level (where applicable) ( <i>what will be the structural impact of the action — e.g. will it lead to improved legislation, codes of conduct, methods, etc?</i> )<br><br>- environmentally (if applicable) ( <i>will the action have a negative/positive environmental impact?</i> ) | 5          |
| <b>5. Budget and cost-effectiveness of the action</b>   | <b>15</b>  |
| 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       |
| <b>Maximum total score</b>  | <b>100</b> |

*Note on section 1. Financial and operational capacity*

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

*Provisional selection*

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

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

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

- The Declaration by the applicant (Section 8 of Part B the grant application form) will be cross-checked with the supporting documents provided by the applicant. Any missing supporting document or any incoherence between the Declaration by the applicant and the supporting documents may lead to the rejection of the application on that sole basis.
- The eligibility of applicants, the affiliated entity(ies), and the action will be verified according to the criteria set out in Sections 2.1.1, 2.1.2 and 2.1.3.

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

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

An applicant that has been provisionally selected or placed on the reserve list will be informed in writing by the Contracting Authority. It will be requested to supply the following documents in order to allow the Contracting Authority to verify the eligibility of the applicant, (if any) of the co-applicant(s) and (if any) of their affiliated entity(ies)<sup>9</sup>:

Supporting documents may/must be provided through PADOR, see Section 2.2.

1. The **statutes or articles of association of the applicant**, (if any) of each co-applicant(s) and (if any) of each affiliated entity(ies)<sup>10</sup>. Where the Contracting Authority has recognised the applicant's, or the co-applicant(s)'s, or their affiliated entity(ies)'s eligibility for another call for proposals under the same budget line within 2 years before the deadline for receipt of applications, it should be submitted, instead of the statutes or articles of association, a copy of the document proving their eligibility in a former Call (e.g. a copy of the special conditions of a grant contract received during the reference period), unless a change in legal status has occurred in the meantime<sup>11</sup>. This obligation does not apply to international organisations which have signed a framework agreement with the European Commission.
2. A copy of the **applicant's latest accounts** (the profit and loss account and the balance sheet for the last financial year for which the accounts have been closed)<sup>12</sup>. A copy of the latest account is neither required from (if any) the co-applicant(s) nor from (if any) affiliated entity(ies)).
3. **Legal entity sheet** (see annex D of these Guidelines) duly completed and signed by each of the applicants (i.e. by the applicant and (if any) by each co-applicant(s)), 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 applicant (not from co-applicant(s)) conforming to the model attached at Annex E of these Guidelines, certified by the bank to which the payments will be made. This bank should be located in the country where the applicant is established. If the applicant has already submitted a financial identification form in the past for a contract where the European Commission was in charge of the payments and intends to use the same bank account, a copy of the previous financial identification form may be provided instead.]

Where the requested supporting documents are not uploaded in PADOR they must be supplied in the form of originals, photocopies or scanned versions (i.e. showing legible stamps, signatures and dates) of the said originals. However, the Legal entity sheet and the financial identification form must always be submitted in original.

Where such documents are not in one of the official languages of the European Union or in Bahasa Indonesia, a translation into English of the relevant parts of these documents proving the applicant(s)'s eligibility, must be attached for the purpose of analysing the application.

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

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

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

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

Where these documents are in an official language of the European Union other than English, it is **strongly** recommended, in order to facilitate the evaluation, to provide a translation of the relevant parts of the documents, proving the applicants' eligibility, into English.

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

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

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

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

### 2.5.1. Content of the decision

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

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

### 2.5.2. Indicative timetable

|   | DATE            | TIME*              |
|---|-----------------|--------------------|
| <b>Deadline for requesting any clarifications from the Contracting Authority</b>                        | 6 May 2015      | 16:00 Jakarta time |
| <b>Last date on which clarifications are issued by the Contracting Authority</b>                        | 16 May 2015     | -                  |
| <b>Deadline for submission of Concept Notes</b>   | 27 May 2015     | 16:00 Jakarta time |
| <b>Information to applicants on opening, administrative checks and concept note evaluation (Step 1)</b> | 29 June 2015*   | -                  |
| <b>Invitations to submit Full Application Form</b>  | 22 June 2015*   | -                  |
| <b>Deadline for submission of Full Application Form</b>   | 10 August 2015* | -                  |

|   | DATE              | TIME* |
|---|-------------------|-------|
| <b>Information to applicants on the evaluation of the Full Application Form (Step 2)<sup>13</sup></b> | 7 September 2015* | -     |
| <b>Notification of award (after the eligibility check) (Step 3)</b>                                   | 12 October 2015*  | -     |
| <b>Contract signature<sup>14</sup></b>  | 20 December 2015* | -     |

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

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

<http://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> or  
[http://eeas.europa.eu/delegations/indonesia/grants\\_tenders/grants/index\\_en.htm](http://eeas.europa.eu/delegations/indonesia/grants_tenders/grants/index_en.htm).

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

Following the decision to award a grant, the Beneficiary(ies) will be offered a contract based on the Contracting Authority's grant contract (see Annex G of these Guidelines<sup>15</sup>). By signing the application form (Annex A of these Guidelines), the applicants agree, if awarded a grant, to accept the contractual conditions of the standard grant contract.

### Implementation contracts

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

## 2.7. EARLY WARNING SYSTEM AND CENTRAL EXCLUSION DATABASE

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

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

their personal details (name, given name (if natural person), address, legal form and name and given name of the persons with powers of representation, decision-making or control (if legal person)) may be registered in the EWS only or both in the EWS and CED, and communicated to the persons and entities listed in the

<sup>13</sup> Note that according to the financial regulation, in direct management, applicants must be notified the outcome of the evaluation of their applications within 6 months following the submission deadline of the full application. This time-limit may be exceeded in exceptional cases, in particular for complex actions (including Multi-beneficiary calls), large number of proposals or in case of delays attributable to the applicants.

<sup>14</sup> Note that according to the financial regulation, in direct management the grant contract must be signed within 3 months following the notification of the award decision. This time-limit may be exceeded in exceptional cases, in particular for complex actions (including Multi-beneficiary calls), large number of proposals or in case of delays attributable to the applicants

<sup>15</sup> Complemented by the provisions in Annex e3h11 where at least one of the beneficiaries is an international organisation.

above-mentioned Decision and Regulation, in relation to the award or the execution of a grant agreement or decision.

### 3. LIST OF ANNEXES

#### DOCUMENTS TO BE COMPLETED

Annex A: Grant Application Form (Word format)

Annex B: Budget (Excel format)

Annex C: Logical Framework (Excel format)<sup>16</sup>

Annex D: Legal Entity Sheet<sup>17</sup>

Annex E: Financial identification form

Annex F: PADOR offline Form<sup>18</sup>

#### DOCUMENTS FOR INFORMATION

Annex G: Standard Grant Contract

- Annex II: General conditions
- Annex IV: contract award procedures
- Annex V: standard request for payment
- Annex VI: model narrative and financial report
- Annex VII: model report of factual findings and terms of reference for an expenditure verification of an EU financed grant contract for external action
- Annex 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/perdiem\\_en](http://ec.europa.eu/europeaid/perdiem_en)

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

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

#### Useful links:

**Project Cycle Management Guidelines** [http://ec.europa.eu/europeaid/aid-delivery-methods-project-cycle-management-guidelines-vol-1\\_en](http://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&locale=en>

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

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16 Optional where the total amount of the grants to be awarded under the Call for Proposals is EUR 100 000 or less.

17 Only applicable where the European Commission is the Contracting Authority or will make the payments under the contracts to be signed.

18 [http://ec.europa.eu/europeaid/pador-line-form-0\\_en](http://ec.europa.eu/europeaid/pador-line-form-0_en) . Only applicable in calls under direct management where PADOR is used.