



Contracting Authority

Delegation of the European Union to the Republic of Uzbekistan

European Instrument for Democracy and Human Rights (EIDHR)

Country-Based Support Schemes (CBSS)

Guidelines for grant applicants

Budget lines 21 04 01 of the European Union's General Budget for 2014
and 2015

EIDHR/2014/037-396

EIDHR/2015/038-058

Reference: EuropeAid/137-139/DD/ACT/UZ

Deadline for submission of Full Application Form:

5 October 2015, 17:00 Tashkent time

NOTICE

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

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1. PROGRAMME OF THE EIDHR CBSS FOR UZBEKISTAN

1.1. BACKGROUND

EIDHR is one of the EU's key instruments to fulfil its role in promoting and supporting democracy and human rights worldwide, in line with Article 21 of the Lisbon Treaty, which defines democracy, rule of law and the universality and indivisibility of human rights and fundamental freedoms as guiding principles of the EU's action.

EIDHR succeeds the *European Initiative for Democracy and Human Rights* created by the European Parliament in 1994. The first EIDHR instrument was established for the period 2007-2013 by the *Regulation (EC) No 1889/2006 of the European Parliament and of the Council*. This regulation has now been replaced by the *Regulation (EU) No 235/2014 of 11 March 2014*, which establishes a EIDHR instrument for the period 2014-2020.

According to Article 1 of this new regulation, the EU "shall provide assistance to the development and consolidation of democracy and the rule of law and respect for all human rights and fundamental freedoms". In addition, *Regulation (EU) No 236/2014 of 11 March 2014* lays down common rules and procedures for the implementation of the EIDHR instrument.

The new EIDHR strategy is in line with the 2012 *EU Strategic Framework and Action Plan on Human Rights and Democracy* which "sets out principles, objectives and priorities to improve the effectiveness and consistency of EU policy as a whole". It also "anchors a commitment to genuine partnership with civil society".

CBSS policy is a long-established element of the European Union's human rights and democracy policy under its external action and has been built on experience with CBSS under the EIDHR Strategies 2007-2013 and with micro project under the previous *European Initiative for Democracy and human Rights*. EIDHR 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.

1.2. OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

The global objective of this Call for Proposals is to contribute to the achievement of the global objectives of the 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 by providing EU assistance aimed at:

- a) support, development and consolidation of democracy in third countries, by enhancing participatory and representative democracy, strengthening of the overall democratic cycle, in particular by reinforcing an active role of civil society within this cycle, and the rule of law.
- b) enhancing respect for and observance of human rights and fundamental freedoms, as proclaimed in the UN Universal Declaration of Human Rights and other international and regional human rights instruments, and strengthening their protection, promotion, implementation and monitoring mainly through support to relevant civil society organizations and human rights defenders.

In line with these general objectives, this Call for Proposals aims to support actions promoting a conducive environment for civil society organizations, developing capacity of civil society organizations and human rights defenders and supporting their activities focused on the enhancement of democracy, transparency, accountability and respect for human rights.

The specific objectives of this Call for Proposals are:

(1) To support thematically focused civil society actions in the area of human rights and democracy contributing to:

- Implementation of the recommendations of the Human Rights Council and the international UN Treaty Bodies put forward during the 2013 Universal Periodic Review.
- Advancement of human rights in thematic areas where the EU has a specific thematic commitment (e.g. EU guidelines on human rights adopted by the European Council¹ and *EU Strategic Framework and Action Plan on Human rights Democracy*²), such as:
 - i) Prevention of torture and other cruel, inhuman or degrading treatment or punishment;
 - ii) Protection and promotion of rights of vulnerable groups (e.g. children, women, persons with disabilities, elderly people) and fight against discrimination in all its forms;
 - iii) Strengthening of independence of judiciary and rule of law;
 - iv) Protection and promotion of economic, social and cultural rights
- Protection and promotion of human rights in other thematic areas

(2) To support actions for the development and strengthening of civil society via CSOs, civil society representatives' and human rights defenders' capacity building, support of their activities, networking and cooperation.

Priorities for this Call for Proposal are:

- Actions implemented in cooperation or to the direct benefit of grassroots CSOs, civil society representatives and human rights defenders, preferably in the region.
- Actions promoting a meaningful and structured participation of CSOs, civil society representatives and human rights defenders in domestic policy dialogue.
- Actions based on innovative and creative approaches, those that build upon existing and past initiatives and best practices in the same area.

Projects should not duplicate what has or is already being developed by other actors in the country.

Priorities referred above will be considered as an asset by the evaluation committee.

1.3. FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY

The overall indicative amount made available under this Call for Proposals is EUR 780,000. 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 60,000
- maximum amount: EUR 390,000

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

¹ European Union External Action, EU Guidelines, available at http://eeas.europa.eu/human_rights/guidelines/index_en.htm

² EU Strategic Framework and Action Plan on Human rights Democracy, available at: https://www.consilium.europa.eu/uedocs/cms_data/docs/pressdata/EN/foraff/131181.pdf

- 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 Fund³.

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.

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 (Section 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") (Section 2.1.1),
- and, if any, **affiliated entity(ies)** to the applicant and/or to a co-applicant(s). (Section 2.1.2);

(2) the actions:

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

(3) the costs:

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

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

Applicant

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

- be a legal person or an entity without legal personality⁴ **and**
- belong to one of the following categories:
 - (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) international or regional inter-governmental organisations;⁵
 - (c) natural persons

and

⁴ Grant applications may be eligible if submitted by entities which do not have legal personality under the applicable national law, on the condition that the representatives of that applicant can prove that they have the capacity to undertake legal obligations on behalf of the applicant, and that they offer financial and operational guarantees equivalent to those provided by legal persons

⁵ International organisations are international public-sector organisations set up by intergovernmental agreements as well as specialised agencies set up by them; the International Committee of the Red Cross (ICRC) and the International Federation of National Red Cross and Red Crescent Societies are also recognised as international organisations.

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

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

The applicant may act individually or with co-applicant(s).

If awarded the Grant contract, the applicant will become the Beneficiary identified as the Coordinator in annex e3H11 to these guidelines (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) (if any)

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

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

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

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

2.1.2. Affiliated entities

Affiliated entity(ies)

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

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

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

This structural link encompasses mainly two notions:

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

Entities affiliated to a beneficiary may hence be:

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

The structural link shall as a general rule be neither limited to the action nor established for the sole purpose of its implementation. This means that the link would exist independently of the award of the grant; it should exist before the Call for Proposal 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 entity's(ies) 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
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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

The actions must relate to one of the following themes:

- Support of thematically focused civil society actions in the area of human rights and democracy (see further details in section 1.2).
- Support of actions for the development and strengthening of civil society via CSOs, civil society representatives' and human rights defenders' capacity building, support of their activities, networking and cooperation.

Location

Actions must take place **mainly in Uzbekistan**.

Types of action

The types of action that may be financed under this Call for Proposal are specified in section 1.2.

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 aimed at funding political parties or movement including proselytising activities.

Types of activity

Projects should be self-contained operations indicating a coherent set of activities with clearly defined operational objectives, target groups and planned, tangible outcomes, within a limited timeframe. Activities should be designed to meet the specific needs of the target groups identified by the project.

The eligible activities to be supported under this Call for Proposals include but are not limited to:

- Preparation of monitoring reports, opinion surveys, analytical studies, policy papers or policy recommendations by CSOs, civil society representatives and human rights defenders, awareness raising, communication activities and advocacy;
- Organizations of conferences, seminars, workshops or other events; translation and publishing activities aimed at the dissemination of good practices in priority areas;

- Capacity building activities, technical support, legal aid/expertise and other forms of assistance aimed at strengthening CSOs, civil society representatives and human rights defenders;
- Development and implementation of twinning arrangements for EU and Uzbekistan CSOs, civil society representatives and human rights defenders operating in similar human rights thematic areas;
- Facilitation of dialogue between civil society and national, regional or local authorities with the objective of developing consultation mechanisms and their institutionalization; developing civil society platforms and networks.

Financial support to third parties⁶

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 60 000, except where financial support to third parties is the main purpose of the action in which case no thresholds apply.

Under this Call, financial support to third parties may 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.

In order to be eligible as a third party, the candidate must satisfy the same criteria as the applicant and the co-applicants.

The activities eligible for financial support are as defined in 'Types of activities' in section 2.1.4.

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

⁶ These third parties are neither affiliated entity(ies) nor associates nor contractors.

European Commission at http://ec.europa.eu/europeaid/funding/communication-and-visibility-manual-eu-external-actions_en).

Number of applications and grants per applicants

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

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

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

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

A co-applicant/affiliated entity may not be awarded more than one grant under this Call for Proposals.

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

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 amount⁷
- 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).

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.

⁷ 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.

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.

Registration is obligatory for all applicants, co-applicant(s) and 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’⁸ 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>.

⁸ Which corresponds to Sections 3 and 4 of Part B of the application form.

2.2.1. Application forms

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

Applicants must apply in English.

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

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

Hand-written applications will not be accepted.

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

2.2.2. Where and how to send Applications

Applications must be submitted in one original and 3 copies in A4 size, each bound. The complete application form (Part A: concept note and Part B: full application form), budget and logical framework must also be supplied in electronic format (CD-ROM) in a separate and single file (i.e. the application form must not be split into several different files). The electronic file must contain **exactly the same** application as the paper version enclosed.

The Checklist (Section 7 of Part B 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 an applicant sends several different applications (if allowed to do so by the Guidelines of the Call), each one has to 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 '*Не вскрывать до сессии открытия*'.

Applications must be submitted in a sealed envelope by registered mail, private courier service or by hand-delivery (a signed and dated certificate of receipt will be given to the deliverer) at the address below:

Delegation of the European Union to the Republic of Uzbekistan
International Business Centre, 107B Amir Temur Street, 15th floor
100 084 Tashkent, Uzbekistan

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

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

2.2.3. Deadline for submission of Applications

The deadline for the submission of applications is **5 October 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 **17:00 local time** as evidenced by the signed and dated receipt. Any application submitted after the deadline will automatically be rejected.

However, if accepting concept notes or applications that were submitted on time but arrived late would considerably delay the award procedure or jeopardise decisions already taken and notified, the contracting authority may, for reasons of administrative efficiency, reject any application received after the effective date of approval of the first evaluation step (see indicative calendar under section 2.5.2)

2.2.4. Further information about Applications

Questions may in addition be sent by e-mail no later than 21 days before the deadline for the submission of applications to the below address(es), indicating clearly the reference of the Call for Proposals:

E-mail address: Delegation-uzbekistan-proposal@eeas.europa.eu

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

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

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

Questions that may be relevant to other applicants, together with the answers, will be published on the EuropeAid website: <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> . 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 helpdesk:

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

2.3. EVALUATION AND SELECTION OF APPLICATIONS

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

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

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

The following will be assessed:

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

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

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

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

Scores

1. Relevance of the action		Sub-score	30
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		
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?	5		
2. Design of the action		Sub-score	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**		

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 300% of the available budget for this Call for Proposals. The amount of requested contributions of each concept note will be based on the indicative financial envelopes for each lot.

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

STEP 2: EVALUATION OF THE FULL APPLICATION

Firstly, the following will be assessed:

- The full application form satisfies all the criteria specified in points 1-9 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
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 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?: - financially (<i>how will the activities be financed after the funding ends?</i>) - institutionally (<i>will structures allowing the activities to continue be in place at the end of the action? Will there be local 'ownership' of the results of the action?</i>) - at policy level (where applicable) (<i>what will be the structural impact of the action — e.g. will it lead to improved legislation, codes of conduct, methods, etc?</i>) - environmentally (if applicable) (<i>will the action have a negative/positive environmental impact?</i>)	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

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.

(2) 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)⁹:

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)¹⁰. 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 meantime¹¹. This obligation does not apply to international organisations which have signed a framework agreement with the European Commission.
2. An **external audit report** produced by an approved auditor, certifying the applicant's accounts for the last financial year available where the total amount of the grant exceeds EUR 750 000 (EUR 100 000 for an operating grant). The external audit report is not required from (if any) the co-applicant(s)).

This obligation does not apply to public bodies and international organisations provided that the international organisation in question offers the guarantees provided for in the applicable Financial Regulation, as described in Chapter 6 of the Practical Guide.

3. A copy of the **applicant's latest accounts** (the profit and loss account and the balance sheet for the last financial year for which the accounts have been closed)¹². A copy of the latest account is neither required from (if any) the co-applicant(s) nor from (if any) affiliated entity(ies)).
4. **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.
5. 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.

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.

6. **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.

7. **Proof of experience** may be additionally required.

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.

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

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*
Information meeting (if any)	Not applicable	Not applicable
Deadline for requesting any clarifications from the Contracting Authority	14 September 2015	17:00
Last date on which clarifications are issued by the Contracting Authority	24 September 2015	-
Deadline for submission of Full Application	5 October 2015	17:00

Form		
Information to applicants on opening, administrative checks and concept note evaluation (Step 1)	October 2015*	-
Information to applicants on the evaluation of the Full Application Form (Step 2) ¹³	October 2015*	-
Notification of award (after the eligibility check) (Step 3)	November 2015*	-
Contract signature ¹⁴	November/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>.

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 Guidelines¹⁵). 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

¹³ According to the financial regulation, 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.

¹⁴ According to the financial regulation, 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

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

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

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

3. LIST OF ANNEXES

DOCUMENTS TO BE COMPLETED

Annex A: Grant Application Form (Word format)

Annex B: Budget (Excel format)

Annex C: Logical Framework (Excel format)¹⁶

Annex D: Legal Entity Sheet¹⁷

Annex E: Financial identification form

Annex F: PADOR offline Form¹⁸

DOCUMENTS FOR INFORMATION

Annex G: Standard Grant Contract

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

Annex H: Daily allowance rates (Per diem), available at the following address:
https://ec.europa.eu/europeaid/applicable-rates-diems-framework-ec-funded-external-aid-contracts-05072013_en

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.

Annex e3H11: Derogations for international organizations

Useful links:

Project Cycle Management Guidelines

http://ec.europa.eu/europeaid/aid-delivery-methods-project-cycle-management-guidelines-vol-1_en

The implementation of grant contracts

A Users' Guide

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 . Only applicable in calls under direct management where PADOR is used.

<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

* * *

ACRONYMS

CBSS	Country-Based Support Schemes
CfP	Call for Proposal
CSO	Civil Society Organization
EIDHR	European Instrument for Democracy and Human Rights
EU	European Union
UN	United Nations