

**Contracting Authority**: European Commission

European Union Office in Kosovo\*

Cross-Border Cooperation Programme Kosovo\*- The Republic of North Macedonia under IPA II 2016 and 2017

Guidelines for grant applicants

Budget line(s): BGUE-B2016-22.020401-C1-NEAR DELKOS

 BGUE-B2017-22.020401-C1-NEAR DELKOS

Reference: EuropeAid/163284/DD/ACT/XK

Deadline for submission[[1]](#footnote-2) of concept notes:

 20/05/2019 at 10:00 (Brussels date and time)

NOTICE

This is a restricted call for proposals. In the first instance, only concept notes (Part A of the grant application form) must be submitted for evaluation. Thereafter, lead applicants who have been pre-selected will be invited to submit a full application. After the evaluation of the full applications, an eligibility check will be performed for those which have been provisionally selected. Eligibility will be checked on the basis of the supporting documents requested by the contracting authority and the signed ‘declaration by the lead applicant’ sent together with the full application.

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| **To apply to this call for proposals organisations must register in PADOR and submit their application in PROSPECT (see Section 2.2.2 of the guidelines).** The aim of PROSPECT is to increase the efficiency of the management of the call for proposals and to offer a better service to civil society organisations through a new panel of functionalities such as the on-line submission and the possibility to follow up online the status of their application. All organisations can find the e-learning (Annex L) and the PROSPECT users' manual (Annex M) and the FAQ published together with the documents of this call. You may also contact our technical support team via the online support form in PROSPECT[[2]](#footnote-3). |

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1. Cross-border programme Kosovo- The Republic of North Macedonia under IPA II 2016 and 2017
	1. Background

These guidelines are intended to be used by those applying for grants under the 3rd call for proposals for the 2014-2020 cross-border cooperation programme Kosovo- The Republic of North Macedonia under IPA II 2016 - 2017 (hereinafter ‘the programme’). The programme is implemented under the framework of the instrument of pre-accession assistance (IPA II) and is the result of joint planning efforts made by the governments and other stakeholders of the two countries. IPA II supports cross-border cooperation with a view to promoting good neighbourly relations, fostering European Union integration and promoting socio-economic development. The legal provisions for its implementation are stipulated in the following pieces of legislation:

(1) On 11 March 2014, the European Parliament and the Council adopted Regulation (EU) No 231/2014 establishing an instrument for pre-accession assistance1 (hereinafter referred to as the “IPA II Regulation”). This instrument constitutes the legal basis for the provision of financial assistance to the beneficiaries listed in Annex I to the IPA II Regulation (hereinafter referred to as the "IPA II beneficiaries") to support them in adopting and implementing the political, institutional, legal, administrative, social and economic reforms required by those beneficiaries in order to comply with the Union's values and to progressively align to the Union's rules, standards, policies and practices, with a view to Union membership.

 (2) On 11 March 2014, the European Parliament and the Council adopted Regulation (EU) No 236/2014 laying down common rules and procedures for the implementation of the Union's instruments for financing external action2 (hereinafter referred to as the “Common Implementing Regulation”).

(3) On 2 May 2014, the Commission adopted a Commission Implementing Regulation (EU) No 447/2014 on the specific rules for implementing Regulation (EU) 231/2014 of the European Parliament and of the Council establishing an Instrument for Pre accession Assistance (IPA II)3 , (hereinafter referred to as the "IPA II Implementing Regulation") setting out the applicable management and control provisions.

(4) The IPA II beneficiary is eligible under IPA II as provided for in the IPA II Regulation.

(5) Article 8 of the IPA II Regulation requires that the Commission and the IPA II beneficiaries conclude Framework Agreements on the implementation of assistance.

(6) It is therefore necessary to set out the rules for implementation of Union financial assistance under IPA II.

The IPA II programme supports cross-border cooperation to promote good neighbourly relations and socio-economic development as well as fostering the European Union accession. The Programme provides the socio-economic situation of the border region, sets out a common strategy for remedying problems identified and formulates joint thematic priorities for development. The programme implementation is carried out through calls for proposals. The calls will be launched at regular intervals in order to fund cross-border cooperation grant projects for achieving the strategic objectives agreed upon by the participating countries.

The European Union Office in Kosovo **will be in charge of all contract and payment** (both countries) issues, acting as the Contracting Authority (CA).

The Programme is implemented jointly by both countries. In the Kosovo, the responsible institution is:

* The Ministry of Local Government Administration (MLGA) in charge of the overall coordination of the programme, acting as the Operating Structure (OS) in this country;

In the Republic of North Macedonia, the responsible institution is:

* The Ministry of Self-Government responsible for the overall coordination of the programme, as the OS in this country.

Moreover, the implementation of the Programme is overseen by a Joint Monitoring Committee (JMC) composed of representatives of both participating countries' institutions and civil society.

The Contracting Authority, the Operating Structures and the JMC are assisted by the Joint Technical Secretariat (JTS) based in Gjilan/Gnjilane (Kosovo) and Antenna Office in Kumanovo (the Republic of North Macedonia). The JTS will assist potential applicants in partner search and project development, organising information days and workshops; develop and maintain a network of stakeholders; advise grant beneficiaries in project implementation; and prepare, conduct and report on monitoring visits to cross-border cooperation operations.

* 1. Objectives of the programme and priority issues

In line with the objectives specified in the programme document the **overall objective** of this call for proposals is to foster co-operation among institutions and organization in the cross-border region in order to support sustainable economic growth and strengthen social cohesion.

As a result of a decision made by the JMC of the programme on 5th December 2018, two thematic priorities of the programme document are selected for this call:

***Priority 2 (Lot 1): Encouraging tourism and cultural and natural heritage*** and

***Priority 3 (Lot 2): Protecting the environment, promoting climate change adaptation and mitigation, risk prevention and management***

The following are the specific objectives and the corresponding results that the applications submitted under this call will contribute to attaining:

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| --- | --- |
| **SPECIFIC OBJECTIVES** | **RESULTS** |
| Priority 2 (Lot 1): Tourism potentials are enhanced and regional values further promoted | 1. The identity of the programme area is strengthened through the enhancement of cultural and natural heritage values |
| Priority 3 (Lot 2): Joint efforts to address environmental pollution issues in the area are enhanced; | 2. The management of solid waste and wastewater as well as sewage systems is improved |
|  |

* 1. Financial allocation provided by the contracting authority

The overall indicative amount made available under this call for proposals is **EUR 2,040,000.00**. The contracting authority reserves the right not to award all available funds.

More specifically, the contracting authority might cancel the call completely or partially when only few good quality applications can be contracted and relaunch the unallocated assets in the next call for the specific objective(s) concerned.

**Indicative EU-funded allocations by lots are:**

| **Lot 1** | **Allocation** |
| --- | --- |
| Priority 2: Encouraging tourism and cultural and natural heritage; | **€ 840,000.00** |
| **Lot 2** |  |
| Priority 3: Protecting the environment, promoting climate change adaptation and mitigation, risk prevention and management | **€ 1,200.000.00** |
| **Total** | **€ 2,040.000.00** |

If the allocation indicated for a specific priority cannot be used due to insufficient quality or number of proposals received, the contracting authority reserves the right to reallocate the remaining funds to other priority.

Size of grants

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

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| --- | --- | --- |
|  | **Minimum amount** **of EU-funded grant** | **Maximum amount** **of EU-funded grant** |
| **Lot 1** |  |  |
| Priority 2: Encouraging tourism and cultural and natural heritage | **EUR 150,000.00** | **EUR 350,000.00** |
| **Lot 2** |  |  |
| Priority 3: Protecting the environment, promoting climate change adaptation and mitigation, risk prevention and management | **EUR 250,000.00** | **EUR 500,000.00** |

Any grant requested under this call for proposals (Lot 1 and Lot 2) must fall between the following minimum and maximum percentages of total eligible costs of the action:

* Minimum percentage: **51%** of the total eligible costs of the action.
* Maximum percentage: **85%** of the total eligible costs of the action (see also section 2.1.5).

**Important notes:**

* **At least 70% of eligible costs should be dedicated to investment(fixed assets, works and equipment), including the cost for design and supervision of works**
* **The costs for Human Resources and Local Office must not exceed the 25% of the total eligible costs. Indirect costs must not exceed 2 % of the estimated total eligible direct costs.**
* **The grant beneficiary will use only PRAG rules**

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. or the European Development Fund[[3]](#footnote-4).

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| **Please note that for applicants established in the Republic of North Macedonia, the Ministry of Local Self-government may provide co-financing (upon project finalisation) up to a maximum of 15% of the total eligible costs of the action. Applicants established in the Kosovo, shall cover by their own resources the co-financing amount.** |

1. 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>).[[4]](#footnote-5)

* 1. Eligibility criteria

There are three sets of eligibility criteria, relating to:

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

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

1. the costs:
* types of cost that may be taken into account in setting the amount of the grant (2.1.5).
	+ 1. Eligibility of applicants (i.e. lead applicant and co-applicant(s))

**Lead applicant**

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

* be a legal person and
* be non-profit-making and
* be effectively established in either Kosovo or the Republic of North Macedonia and
* Be directly responsible for the preparation and management of the action with the co-applicant(s) and affiliated entity(ies), not acting as an intermediary and
* be a specific type of institution or organisation such as:

**As lead applicants:**

Municipalities;

Regional Centres (in North Macedonia only)

Public Utility Entity/Enterprises

National Parks;

Water and waste management authorities;

Public and academic institutions working in the field of the thematic priorities of the Call;

**Please note that profit making organisations and political parties are not eligible, neither as lead applicants nor as co-applicants, nor as affiliated entities.**

 (2) Potential applicants may not participate in calls for proposals or be awarded grants if they are in any of the situations listed in Section 2.6.10.1 of the practical guide.

Lead applicants, co-applicants, affiliated entities and, in case of legal entities, persons who have powers of representation, decision-making or control over the lead applicant, the co-applicants and the affiliated entities are informed that, should they be in one of the situations of early detection or exclusion according to Section 2.6.10.1 of the practical guide, 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 early detection and exclusion system, and communicated to the persons and entities concerned in relation to the award or the execution of a grant contract.

In Section 2 of the Annex A.1 ‘concept note’ and Section 7.1 of the Annex A.2 ‘full application form’ (‘Declaration by the lead applicant’), the lead applicant must declare that the lead applicant himself, the co-applicant(s) and affiliated entity(ies) are not in any of these situations.

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

If awarded the grant contract, the lead applicant will become the beneficiary identified as the coordinator in [Annex G OR 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 and coordinates the design and implementation of the action.

**Co-applicant(s)**

The applicant must act with at least 1 co-applicant as specified hereafter.

Co-applicants shall satisfy the eligibility criteria as applicable to the lead applicant, except for:

* be a specific type of institution or organisation such as:

**As Co-applicants:**

Municipalities;

Regional Centres

Public Utility Entity/Enterprises

National Parks;

Water and waste management authorities;

Public and academic institutions working in the field of the thematic priorities of the Call;

NGOs in the fields related to the call thematic priorities;

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

If the lead applicant is established in Kosovo\* at least one co-applicant must be established in the Republic of North Macedonia, and vice versa.

The maximum number of three (3) of co-applicants are allowed to be involved in the action.

CBC partners shall carefully bear in mind the most appropriate conditions to ensure an intra-project efficient coordination when deciding on this. The number of partners and the composition of the partnership should be coherent with the envisaged objectives and activities of the operation.

In genuine cross-border operations, the applicant and co-applicant(s) shall cooperate in the development and implementation of operation. In addition, they shall cooperate in either the staffing or the financing of operation or both (see section 2.1.4 below).

Applicants included in the lists of EU restrictive measures (see Section 2.4. of the PRAG) at the moment of the award decision cannot be awarded the contract.[[5]](#footnote-6)

Co-applicant(s) must sign the mandate in Section 7.2 of Annex A.2 ‘full application form’. If awarded the grant contract, the co-applicant(s) (if any) will become beneficiary (ies) in the action (together with the Coordinator).

The lead applicant and co-applicant(s) must represent different legal entities.

* + 1. Affiliated entities

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

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

Only entities having a structural link with the applicants (i.e. the lead applicant or a co-applicant), in particular a legal or capital link.

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 an applicant may hence be:

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

(ii) Membership, i.e. the applicant is legally defined as a e.g. network, federation, association in which the proposed affiliated entities also participate or the applicant participates in the same entity (e.g. network, federation, association) as the proposed affiliated entities.

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

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

##### What is not an affiliated entity?

The following are not considered entities affiliated to an applicant:

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

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

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

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

If the applicants are awarded a grant contract, their affiliated entity(ies) will not become beneficiary(ies) of the action and signatory(ies) of the grant contract. However, they will participate in the design and in the implementation of the action and the costs they incur (including those incurred for implementation contracts and financial support to third parties) may be accepted as eligible costs, provided they comply with all the relevant rules already applicable to the beneficiary(ies) under the grant contract.

Affiliated entity(ies) must satisfy the same eligibility criteria as the lead applicant and the co-applicant(s). They must sign the affiliated entity(ies) statement in Section 7.3 of Annex A.2 ‘full application form’

* + 1. Associates and contractors

The following entities are neither applicants nor affiliated entities and do not have to sign the ‘mandate for co-applicant(s)’ or ‘affiliated entities' statement’:

* Associates

Other organisations or individuals may be involved in the action. Such associates play a real role in the action but may not receive funding from the grant, with the exception of per diem or travel costs. Associates do not have to meet the eligibility criteria referred to in Section 2.1.1. Associates must be mentioned in Part B Section 6 of Annex A.2 ‘full application form’.

* Contractors

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

* + 1. Eligible actions: actions for which an application may be made

Definition:

An action is composed of a set of activities.

Actions or operations selected under this cross-border cooperation programme shall deliver clear cross-border impacts and benefits, that is, they must:

* take place in the specific programme area of Kosovo and North Macedonia
* have cross-border impacts and benefits in parts of the programme area of Kosovo and North Macedonia
* foresee cooperation of the cross-border applicant and co-applicant(s) in both:
	+ joint development: applicant and co-applicant(s) cooperate in designing the action, filling in a joint application form and drawing up their respective budget;
	+ joint implementation: grant beneficiaries coordinate, in the frame of the operation, their activities across the border, and carry out most of the project activities together and not as independent, unrelated, mechanically reproduced and country-bound initiatives;
* foresee cooperation of the cross-border applicant and co-applicant(s) in either:
	+ joint staffing: staff on both sides of the border act as one project team (e.g. some staffers carry out their duties for all entities in the partnership: procurement, financial management, overall coordination, training planning, etc.); or
	+ joint financing: activities are financed by the applicant’s and co-applicant(s)’s own budget;
	+ or both joint staffing and financing.

Briefly, following the joint development of an operation by at least two cross-border partners, full cross-border cooperation would mean the joint implementation and financing of activities by the partners resulting in the intensification of neighborly relations, sustainable partnerships for socio-economic development and/or the removal of obstacles to this development.

Duration

**The initial planned duration of an action may not be lower than 12 months nor exceed 24 months**

Sectors or themes

The Cross Border programme 2016-2017 between Kosovo and the Republic of North Macedonia through this call supports:

- Thematic priority II (Lot 1)that includes tourism, cultural and natural heritage, and

- Thematic priority III (Lot 2) that includes protecting the environment, promoting climate change adaptation and mitigation, risk prevention and management.

The specific objectives of these two thematic priorities are:

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| **SPECIFIC OBJECTIVES** | **RESULTS** |
| Thematic priority II (Lot 1) specific objective: Tourism potentials are enhanced and regional values further promoted  | Result 2.3 The identity of the programme area is strengthened through the enhancement of cultural and natural heritage values |
| Thematic priority III (Lot 2) specific objective: Joint efforts to address environmental pollution issues in the area are enhanced | Result 3.2 The management of solid waste and wastewater as well as sewage systems is improved |

In their application, the lead applicant and its co-applicant(s) will have to refer the call’s specific objective under which their action is meant to contribute , as well as the programme’s result(-s) affected by the action, and the programme’s indicators that will be instrumental to measure the action’s success. Applicants must have the same units to quantify their output, outcome and impact indicators in line with the programme output, outcome and impact indicators.

The following illustrates the list of indicators that the applicants will have to include, where appropriate, to estimate the project’s contribution to the programme’s objectives:

**Specific objective of thematic priority II (Lot 1): Tourism potentials are enhanced and regional values further promoted**

**Result 2.3 The identity of the programme area is strengthened through the enhancement of cultural and natural heritage values**

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| **IMPACT INDICATORS:** | Number of supported new products commercialised by the handicraft sector\* |
| Number of visitors visiting supported natural and cultural heritage sites\* |
| Number of direct beneficiaries involved |
|  people with disabilities |
|  youth |
|  long-term unemployed |
|  ethnic minorities |
|  other |
| Number of new jobs related to the opening or upgrading of cultural heritage sites created |
| Number of businesses still active after two years of their establishment |
| Number of new services available in the market one year after project ends |
| Percentage of increase in the number of visitors in the cultural and natural sites as well as to existing cultural and sport events addressed by the programme (to be disaggregated) |
| Number of cultural events that become a regular tradition |
| Number of sport events that become a regular tradition |
| Number of new supported artisans products commercialized |
| Percentage of increase in the workforce providing new products and services within the sector |
| Number of visitors to cultural and sport events addressed by the programme |
| **OUTCOME INDICATORS :**  | Share of young people in the eligible areas participating in the cultural events (to be disaggregated by gender)\* |
| Number of organisations with increased capacities |
| Number of users of digital platforms |
| Number of plans implemented |
| Number of new services commercialised |
| Level of satisfaction of users/clients with new services |
| Level of satisfaction of trainees with new training courses |
| Number of new businesses established as a result of the call |
| Increased level of competences among the trainees |
| Percentage of heritage sites which have improved their visibility |
| Number of professionals in the cultural and sport fields participating in the implementation of operations |
| Number of training courses certified |
| Increased satisfaction of users/clients/visitors/spectators |
| Number of newly established thematic routes |
| Number of cross-border networks between cultural institutions formalized |
| Number of newly included subjects (providers of tourism services) in systems for gathering statistical data related to tourism |
| Number of people living in eligible area participating in cultural exchange activities |
| Number of stakeholders involved in activities |
| **OUTPUT INDICATORS:**  | Number of new joint tourism offers, products and/or services developed/introduced in the programme area (to be disaggregated)\* |
| Number of organizations directly involved in the implementation of this type of projects (to be disaggregated by type of organization) |
|  local government units |
|  national government units (ministries, agencies, offices?) |
|  non-governmental organizations (NGOs, CSOs, associations?) |
|  enterprises |
|  private |
|  publicly owned |
|  regional Development Agencies |
|  educational institutions |
|  cultural institutions |
|  public utility companies |
|  other type (please specify) |
| Number of inter-sectoral (local authorities-CSOs-private sector-public agencies-research and educational institutions) partnerships implementing this type of projects |
| Number of information/promotion campaigns implemented |
| Number of information/promotion events organized |
|  conferences |
|  exhibitions |
|  fairs |
|  other information/promotion events |
| Number of participants in information/promotion events (to be disaggregated by type of event, type of vulnerable group and gender) |
| Number of promotion materials produced and distributed/published/broadcasted (to be disaggregated by type of promotional material) |
| Number of people reached by information/promotion campaigns |
| Number of capacity building events organised (to be disaggregated by type of event) |
|  trainings |
|  workshops |
|  seminars |
|  other capacity building events |
| Number of participants in capacity building events organised (to be disaggregated by type of event, type of vulnerable group and gender) |
| Number of training curricula developed |
| Number of studies developed |
| Number of digital platforms (information systems) developed |
| Number of websites operational |
| Number of sets of equipment purchased and made available to target groups |
| Number of cross-border networks/partnerships formed |
| Number of organisations participating in cross-border networks/partnerships formed |
| Number of cross-border cooperation agreements signed |
| Number of plans developed |
| Number of facilities enhanced |
| Number of manuals, guidelines, handbooks developed |
| Number of study visits organised |
| Number of participants in study visits |
| Number of upgraded natural sites |
| Number of upgraded museum collections |
| Number of new cultural and sport events (tournaments, concerts, festivals, exhibitions, etc.) to connect people of the programme area organised |
| Number of participants in new cultural and sport events organised |
| New digitised collections/library funds created |
| Number of heritage sites in CB area systematically promoted |
| Number of joint programmes for protection, promotion and management of cultural assets and for safeguarding the most valuable heritage monuments and sites developed and implemented |
| Number of knowledge bases established (mapping of resources and potentials, common strategic development concepts) due to, for instance, studies, databases or other |
| Number of cultural heritage sites improved |
| Number of cultural heritage places without or with poor previous touristic activity, requesting support |
| Number of organisations participating in fairs |
| Number of upgraded historical sites and buildings |
| Number of cultural monuments rehabilitated and made accessible to visitors |
| Number of fairs visited |
| Number of participants in fairs visited |

\* Indicators contained in the programme document

**Specific objective of thematic priority III (Lot 2): Joint efforts to address environmental pollution issues in the area are enhanced**

**Result 3.2: The management of solid waste and wastewater as well as sewage systems is improved**

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| **IMPACT INDICATORS :**  | Number of new dwellings/households served in the collection of solid waste in the CBC area as a result of programme intervention\* |
| Number of direct beneficiaries involved (to be disaggregated by gender) |
|  people with disabilities |
|  youth |
|  long-term unemployed |
|  ethnic minorities |
|  other |
| Number of new jobs created by the businesses which received assistance from the scheme (including self-employment initiatives) |
| Number of businesses still active after two years of their establishment |
| Number of new services available in the market one year after project ends |
| Number of municipalities having solved/agreed waste management issues through inter-municipal (regional) initiatives |
| Percentage of waste collected for recycling |
| Number of households benefiting from common waste management and wastewater treatment solutions/measures (to be disaggregated) |
| Percentage of the programme area covered by strategies and action plans (disaggregated by solid waste and wastewater) |
| Number of platforms for furthering the merits of complying with EU water supply, solid waste and wastewater management and environment protection up and running beyond the programme actions |
| Decrease in the number of illegal dumpsites |
| Percentage of municipalities having solved waste management issues through inter-municipal (regional) initiatives |
| **OUTCOME INDICATORS:** | Percentage of areas/sites at risk of soil contamination covered by joint harmonised plans/studies\* |
| Number of organisations with increased capacities |
| Number of users of digital platforms |
| Number of plans implemented |
| Number of new services commercialised |
| Level of satisfaction of users/clients with new services |
| Level of satisfaction of trainees with new training courses |
| Number of new businesses established as a result of the call |
| Increased level of competences among the trainees |
| Percentage of increase in the amount of recycled solid waste |
| Number of participants, as percentage from the local population, in the organized publicity events |
| Number of training courses certified |
| Additional population served by improved water supply and wastewater treatment, as well as solid waste collection |
| Number of improved waste management systems and value chains within the area |
| Number of recycling yards in the territory of municipalities established |
| No of people directly taking part in awareness raising activities - of which young |
| Number of innovative ways to present the monitoring results on environmental quality in place |
| Number of systems for exchange and collection of data on the quantities and composition of the waste generated operational |
| Number of institutions included in joint management initiatives |
| Number of joint solutions for effective waste management and waste water treatment, implemented, in particular in rural areas and along main rivers |
| Number of public enterprises dealing with municipal solid waste and wastewater which have upgraded their operations (to be disaggregated) |
| Percentage of all businesses and organisations participating in joint actions in wastewater and solid waste management (to be disaggregated) |
| Kilometres of new sewage systems included in the investment plans, pre-feasibility and feasibility studies, etc. |
| Percentage of the population covered and sensitized by the awareness raising campaign on the merits of complying with EU water supply, solid waste and wastewater management and environment protection |
| Percentage of the population of the programme area has been target of environment awareness raising activities |
| The control on the levels of pollution has become technically more accurate and regular |
| Percentage of reduction in the number of houses not connected to the existing sewage system |
| Number of kms of new sewage inserted (not designed) in new plans |
| Number of site cleaning action plans completed |
| No of organisations and companies taking part in awareness raising activities |
| Percentage (%) of the population in the target area is aware and benefits of the project |
| **OUTPUT INDICATORS:**  | Number of projects implemented in relation to this specific objective |
| Out of which new initiatives that introduce good practices/ new international practices in the area of solid waste and/or wastewater/sewage systems management\* |
| Number of organisations directly involved in the implementation of this type of projects (to be disaggregated by type of organisation) |
|  local government units |
|  national government units (ministries, agencies, offices?) |
|  non-governmental organisations (NGOs, CSOs, associations?) |
|  enterprises |
|  private |
|  publicly owned |
|  regional Development Agencies |
|  educational institutions |
|  cultural institutions |
|  public utility companies |
|  other type (please specify) |
| Number of inter-sectoral (local authorities-CSOs-private sector-public agencies-research and educational institutions) partnerships implementing this type of projects |
| Number of information/promotion campaigns implemented |
| Number of information/promotion events organised |
|  conferences |
|  exhibitions |
|  fairs |
|  other information/promotion events |
| Number of participants in information/promotion events (to be disaggregated by type of event, type of vulnerable group and gender) |
| Number of promotion materials produced and distributed/published/broadcasted (to be disaggregated by type of promotional material) |
| Number of people reached by information/promotion campaigns |
| Number of capacity building events organised (to be disaggregated by type of event) |
|  trainings |
|  workshops |
|  seminars |
|  other capacity building events |
| Number of participants in capacity building events organised (to be disaggregated by type of event, type of vulnerable group and gender) |
| Number of training curricula developed |
| Number of studies developed |
| Number of digital platforms (information systems) developed |
| Number of websites operational |
| Number of sets of equipment purchased and made available to target groups |
| Number of cross-border networks/partnerships formed |
| Number of organisations participating in cross-border networks/partnerships formed (to be disaggregated by type of organisation) |
| Number of cross-border cooperation agreements signed |
| Number of plans developed |
| Number of new services developed |
| Number of facilities enhanced |
| Number of manuals, guidelines, handbooks developed |
| Number of study visits organised |
| Number of participants in study visits (to be disaggregated by type of vulnerable group and gender) |
| Number of improved waste management systems and value chains within the area |
| Surface area (in ha) covered by improved shared environmental monitoring capacity or common monitoring actions |
| Number of illegal dumps closed/removed |
| Number of NGOs participating in capacity building and networking activities in relation to environmental and nature protection |
| Number of systems for monitoring and exchange of monitoring data developed |
| Number of pollution hot spots identified |
| Number of site cleaning actions implemented |
| Number of upgraded facilities, equipment, procedures and operations of public utilities dealing with wastewater and solid waste disposal |
| Number of public utilities staff whose knowledge and skills have been enhanced |
| Number of planned joint actions, innovative services, etc., for improving the wastewater and solid waste management within the area |
| Number of water, soil and air polluters newly identified |
| Number of water, soil and air polluters newly registered in the cadastres |
| Number of participants in capacity building initiatives for public utility companies to introduce inter-municipal/regional solutions to waste management and wastewater treatment |
| Number of recycling yards in the territory of municipalities identified/planned |
| Number of recycling yards in the territory of municipalities established |
| Number of joint environmental actions planned |
| Number of joint environmental actions implemented |
| Number of municipalities benefiting from waste management and WWT solutions/measures supported by the programme |
| Number of systems for solid waste, wastewater and sewage treatment enhanced |
| Number of local authorities included in exchange of good international practices between local authorities on management of solid waste, wastewater and sewage systems |
| Number of organisations participating in fairs |
| Local population (number of inhabitants) in the area covered by the project |
| Number of people in CBC area made aware of sustainable use of natural resources and environment in key sectors |

\* Indicators contained in the programme document

The contracting authority will discuss with the would-be beneficiaries the **indicators** included in their application form and eventually agree upon their revision prior to the contract signature. This is meant to improve the quality of the project indicators to capture the outcomes at the level of overall objective, specific objective(s) and results[[6]](#footnote-7).

Applicants are advised that according to the provisions of the Article 4.3 of the special conditions of the grant contract they will quarterly have to report on the achievement of indicators to the JTS of the programme. These reports will be submitted at regular intervals and then upon the submission of the final report. The JTS of the programme will provide the grant beneficiaries with the Excel table they will use for this purpose.

**Baseline data surveys:** All applicants will have to devote some time and resources while preparing their application to collect statistics from relevant bodies or conduct surveys by their own in order to determine the baseline data of their indicators. Expenses such as these, related to the preparation of the application, are ineligible.

Location

Actions must take place in one or more of the territorial units:

**Kosovo:**

East Economic Region (eligible area), is composed of the municipalities of Gjilan/Gnjilane, Kamenicë/Kamenica, Viti/Vitina, Novo Bërdë/Novo Brdo, Ferizaj/Uroševac, Kaçanik/Kačanik, Shtërpcë/Štrpce, Hani iElezit/Elez Han, Ranillug/Ranilug , Partesh/Parteš and Kllokot/Klokot .

South Economic Region (eligible area), is composed of the municipalities of Prizren, Suharekë/Suva Reka, Malishevë/Mališevo, Dragash/Dragaš, Rahovec/Orahovac, and Mamusha/Mamuša.

**The Republic of North Macedonia:**

Polog Region (eligible area) includes nine municipalities: Bogovinje, Brvenitsa, GostivarJegunovtse, Mavrovo and Rostusha Teartse, Tetovo, Vrapchishte, and Zhelino.

Northeast Region (eligible area) includes six municipalities: Kratovo, Kriva Palanka, Kumanovo, Lipkovo, Rankovtse and Staro Nagorichane.

Skopje Region ( eligible area) includes 17 municipalities: Arachinovo, Chucher-Sandevo, Iliden, Petrovets, Sopishte, Studenichani, and Zelenikovo. The City of Skopje is an administrative unit and also includes 10 municipalities: Aerodrom,Butel, Chair,Centar, Gazi baba, Gjorche Petrov, Karposh, Kisela Voda, Saraj and Shuto Orizari.

**Types of action**

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 or research;
* actions aimed at the upgrading of infrastructure and equipment in privately owned facilities;
* actions without a real cross-border impact;
* actions linked to political parties;
* actions including commercial and profit-making activities[[7]](#footnote-8);
* actions which fall within the general activities of competent state institutions or state administration services, including local government;
* actions confined to charitable donations;
* actions covered and financed by other EU funded programmes.

**Types of activity**

**Thematic Priority II (Lot 1) - Encouraging tourism and cultural and natural heritage**

The activities targeted in this priority should be related to the valorisation/preservation of the cultural heritage sites in CBC eligibly area:

* Actions encouraging entrepreneurship in tourism, exploiting synergies between promotion of economic activities linked to cultural heritage.
* Identifying the cultural heritage sites and preservation of these sites with appropriate works.
* Identification of the economic activities that will enhance the valorisation of cultural heritage sites.

**Thematic Priority III (Lot 2) - Protecting the environment, promoting climate change adaptation and mitigation, risk prevention and management**

The activities targeted in this priority should be related to:

* Small infrastructure works and procurement of equipment in the fields of solid waste, wastewater and sewage systems;
* Awareness measures on implementation of environmental standards in solid waste, wastewater, sewage and water protection. This activity should support the first one mentioned above.

Financial support to third parties[[8]](#footnote-9)

Applicants may not propose financial support to third parties.

Visibility

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

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

**Number of applications and grants per applicants / affiliated entities**

The lead applicant may not submit more than one (1) application per call for proposals.

The lead applicant may not be awarded more than one (1) grant(s) per call for proposals.

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

A co-applicant/affiliated entity may not be the co-applicant or affiliated entity in more than one (1) application(s) in this call for proposals.

A co-applicant/affiliated entity may not be awarded more than one (1) grant(s) for this call for proposals.

* + 1. Eligibility of costs: costs that can be included

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

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

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

Simplified cost options may take the form of:

* **unit costs:** covering all or certain specific categories of eligible costs which are clearly identified in advance by reference to an amount per unit.
* **lump sums:** covering in global terms all or certain specific categories of eligible costs which are clearly identified in advance.
* **flat-rate financing:** covering specific categories of eligible costs which are clearly identified in advance by applying a percentage fixed ex ante.

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

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

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

* describe the information and methods used to establish the amounts of unit costs, lump sums and/or flat-rates, to which costs they refer, etc.
* clearly explain the formulas for calculation of the final eligible amount[[9]](#footnote-10)
* identify the beneficiary who will use the simplified cost option (in case of affiliated entity, specify first the beneficiary), in order to verify the maximum amount per each beneficiary (which includes if applicable simplified cost options of its affiliated entity(ies))

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

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

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

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

Eligible direct costs

To be eligible under this call for proposals, costs must comply with the provisions of Article 14 of the General Conditions to the standard grant contract (see Annex G of the guidelines).

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 2 % of the estimated total eligible direct costs. Indirect costs are eligible provided that they do not include costs assigned to another budget heading in the standard grant contract. The lead applicant may be asked to justify the percentage requested before the grant contract is signed. However, once the flat rate has been fixed in the Special Conditions of the grant contract, no supporting documents need to be provided.

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

Contributions in kind

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

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

Ineligible costs

According to the provisions of Article 43(2) of Commission implementing regulation (EU) No 447/2014 of 2 May 2014 and those of Article 6 of the General Conditions of the Financing Agreements for the yearly allocations of the programme, the following expenditures **are not eligible[[10]](#footnote-11)** for a contribution from IPA II:

1. value added tax (VAT) except when it is non-recoverable under national VAT legislation;
2. the decommissioning and the construction of nuclear power stations;
3. investment to achieve the reduction of greenhouse gas emissions from activities falling under Annex I to Directive 2003/87/EC of the European Parliament and Council of 13 October 2003;
4. the manufacturing, processing and marketing of tobacco and tobacco products;
5. undertakings in difficulties as defined under Union State aid rules;
6. investment in airport infrastructure unless related to environmental protection or accompanied by investment necessary to mitigate or reduce its negative environmental impact;
7. debts and debt service charges (interest on debt);
8. provisions for losses or potential future liabilities;
9. cost declared by the beneficiaries and financed by another action or work programme receiving a Union grant;
10. currency exchange losses;
11. credits to third parties;
12. fines, financial penalties and expenses of litigation;
13. the purchase of land and existing buildings. However, by way of derogation, the purchase of land not built on and land built on in the amount up of to 10 % of the total eligible expenditure for the operation concerned shall be eligible for funding. For derelict sites and for those formerly in industrial use which comprise buildings, this limit shall be increased to 15 %. In exceptional and duly justified cases, this limit may be raised above the respective preceding percentages for operations concerning environmental conservation.

In addition, the following costs **are not eligible either**:

1. consultant fees between the beneficiaries for services or work carried out within the project;
2. remuneration of any kind for staff of any of the beneficiaries being hired as external experts or freelance consultants;
3. taxes, customs and import duties and levies and/or charges having equivalent effect[[11]](#footnote-12).

**Ethics clauses and Code of Conduct**

1. Absence of conflict of interest

The applicant must not be affected by any conflict of interest and must have no equivalent relation in that respect with other applicants or parties involved in the actions. Any attempt by an applicant to obtain confidential information, enter into unlawful agreements with competitors or influence the evaluation committee or the contracting authority during the process of examining, clarifying, evaluating and comparing applications will lead to the rejection of its application and may result in administrative penalties according to the Financial Regulation in force.

1. Respect for human rights as well as environmental legislation and core labour standards

The applicant and its staff must comply with human rights. In particular and in accordance with the applicable act, applicants who have been awarded contracts must comply with the environmental legislation including multilateral environmental agreements, and with the core labour standards as applicable and as defined in the relevant International Labour Organisation conventions (such as the conventions on freedom of association and collective bargaining; elimination of forced and compulsory labour; abolition of child labour).

**Zero tolerance for sexual exploitation and sexual abuse:**

The European Commission applies a policy of 'zero tolerance' in relation to all wrongful conduct which has an impact on the professional credibility of the applicant.

Physical abuse or punishment, or threats of physical abuse, sexual abuse or exploitation, harassment and verbal abuse, as well as other forms of intimidation shall be prohibited.

1. Anti-corruption and anti-bribery

The applicant shall comply with all applicable laws and regulations and codes relating to anti-bribery and anti-corruption. The European Commission reserves the right to suspend or cancel project financing if corrupt practices of any kind are discovered at any stage of the award process or during the execution of a contract and if the contracting authority fails to take all appropriate measures to remedy the situation. For the purposes of this provision, ‘corrupt practices’ are the offer of a bribe, gift, gratuity or commission to any person as an inducement or reward for performing or refraining from any act relating to the award of a contract or execution of a contract already concluded with the contracting authority.

1. Unusual commercial expenses

Applications will be rejected or contracts terminated if it emerges that the award or execution of a contract has given rise to unusual commercial expenses. Such unusual commercial expenses are commissions not mentioned in the main contract or not stemming from a properly concluded contract referring to the main contract, commissions not paid in return for any actual and legitimate service, commissions remitted to a tax haven, commissions paid to a payee who is not clearly identified or commissions paid to a company which has every appearance of being a front company.

Grant beneficiaries found to have paid unusual commercial expenses on projects funded by the European Union are liable, depending on the seriousness of the facts observed, to have their contracts terminated or to be permanently excluded from receiving EU/EDF funds.

1. Breach of obligations, irregularities or fraud

The contracting authority reserves the right to suspend or cancel the procedure, where the award procedure proves to have been subject to breach of obligations, irregularities or fraud. If breach of obligations, irregularities or fraud is discovered after the award of the contract, the contracting authority may refrain from concluding the contract.

* 1. **How to apply and the procedures to follow**

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

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

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

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

1. Provide information about the action in the documents listed under Sections 2.2.1 (concept note) and 2.2.5 (full application). Please note that online submission via **PROSPECT is obligatory** for this call.

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

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

If it is impossible to register online in PADOR for technical reasons, the applicants and/or affiliated entity(ies) must complete the ‘PADOR off-line form’[[12]](#footnote-13) attached to these guidelines. This form must be sent **together with the application,** by the submission deadline (see sections 2.2.1 and 2.2.5).

Before starting using PADOR and PROSPECT, please read the user guides available on the website. All technical questions related the use of these systems should be addressed to the IT helpdesk at EuropeAid-IT-support@ec.europa.eu **via the online support form in PROSPECT.**

* + 1. Concept note content

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

**Applicants must apply in English**.

Please note that:

1. In the concept note, lead applicants must only provide an estimate of the requested EU contribution as well as an indicative percentage of that contribution in relation to the eligible costs of the action. A detailed budget is to be submitted only by the lead applicants invited to submit a full application in the second phase.
2. The elements outlined in the concept note may not be modified in the full application. The EU contribution may not vary from the initial estimate by more than 20 %. Lead applicants are free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in these guidelines in Section 1.3. The lead applicant may replace a co-applicant or an affiliated entity only in duly justified cases (e.g. bankruptcy of initial co-applicant or affiliated entity). In this case the new co-applicant/affiliated entity must be of a similar nature as the initial one. The lead applicant may adjust the duration of the action if unforeseen circumstances outside the scope of the applicants have taken place following the submission of the concept note and require such adaptation (risk of action not being carried out). In such cases the duration must remain within the limits imposed by the guidelines for applicants. An explanation/justification of the relevant replacement/adjustment shall be included in an accompanying letter or email[[13]](#footnote-14).

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

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

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

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

Hand-written concept notes will not be accepted.

* + 1. Where and how to send concept notes

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

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

**Please note that incomplete concept notes may be rejected.**

**Lead applicants are advised to verify that their concept note is complete using the checklist for concept note (Annex A.1, Instructions).**

* + 1. Deadline for submission of concept notes

The deadline for the submission of applications is **20/05/2019 at 10:00** (Brussels date and time). In order to convert this deadline to local time you can use any online time converter tool that takes into account time zones and winter/summer time changes (example available here[[14]](#footnote-15)) . Lead applicants are strongly advised not to wait until the last day to submit their applications, since heavy Internet traffic or a fault with the Internet connection (including electricity failure, etc.) could lead to difficulties in submission. The contacting authority cannot be held responsible for any delay due to such aforementioned difficulties.

* + 1. Further information about concept notes

Information sessions on this call for proposals will be held in Kosovo and North Macedonia.

* **23 April 2019 from 11:00 – 13:00 in Prizren**, Municipality of Prizren, red hall (salla e kuqe), 3rd floor;
* **25 April 2019 from 11:00 – 13:00 in Skopje**, EU Delegation in North Macedonia, Information Center Skopje

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

E-mail address: DELEGATION-KOSOVO-FINCON@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 submission of concept notes.

To ensure equal treatment of applicants, the contracting authority cannot give a prior opinion on the eligibility of lead applicants, co-applicants, affiliated entity(ies), an action or specific activities.

No individual replies will be given to questions. All questions and answers as well as other important notices to applicants during the course of the evaluation procedure will be published on the website of DG International Cooperation and Development <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> and the website of the programme http://cbc-ks-mk.com/ and the contracting authority <https://eeas.europa.eu/delegations/kosovo_en>.

It is therefore advisable to consult the abovementioned websites regularly in order to be informed of the questions and answers published.

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

* + 1. Full applications

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

The elements outlined in the concept note cannot be modified by the lead applicant in the full application. The EU contribution may not vary from the initial estimate by more than 20 %, although lead applicants are free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in these guidelines under Section 1.3. The lead applicant may replace a co-applicant or an affiliated entity only in duly justified cases (e.g. bankruptcy of initial co-applicant or affiliated entity). In this case the new co-applicant/affiliated entity must be of a similar nature as the initial one. The lead applicant may adjust the duration of the action if unforeseen circumstances outside the scope of the applicants have taken place following the submission of the concept note and require such adaptation (risk of action not being carried out). In such cases the duration must remain within the limits imposed by the guidelines for applicants. An explanation/justification of the relevant replacement/adjustment shall be included in an accompanying letter or email.

Lead applicants must submit their full applications in the same language as their concept notes. A copy of the lead applicant’s accounts of the latest financial year (the profit and loss account and the balance sheet for the last financial year for which the accounts have been closed) must be uploaded in PADOR by the full application deadline. A copy of the latest account is neither required from (if any) the co-applicant(s) nor from (if any) affiliated entity(ies).

For all the applicants whose project involves the execution of works, the following documents will be required in addition to the aforementioned ones:

• Proof of ownership or long term lease (10 years after the signature of the contract) of the land /assets;

• Preliminary works design or detailed works design;

• All necessary legal authorisations (e.g. location and construction permits);

• Indicative priced bill of quantities – calculated in EUR.

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 (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 (annex A) and the published annexes which have to be filled in (budget – annex B, logical framework – annex C) 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.

**With the full application the lead applicant also has to submit completed organisation data forms (Annex F) for the lead applicant, each co-applicant and each affiliated entity.**

**No additional annexes should be sent.**

* + 1. Where and how to send full applications

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

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

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

* + 1. Deadline for submission of full applications

The deadline for the submission of full applications will be indicated in the letter sent to the lead applicants whose application has been pre-selected. This letter will appear online automatically in the PROSPECT profile of the lead applicant

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

Any application submitted after the deadline will be rejected.

* + 1. Further information about full applications

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

E-mail address: DELEGATION-KOSOVO-FINCON@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 full applications.

To ensure equal treatment of applicants, the contracting authority cannot give a prior opinion on the eligibility of lead applicants, co-applicants, affiliated entity(ies), or an action.

No individual replies will be given to questions. All questions and answers as well as other important notices to applicants during the course of the evaluation procedure, will be published on the website of DG International Cooperation and Development <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> and the website of the programme <http://cbc-ks-mk.com/> and the contracting authority <https://eeas.europa.eu/delegations/kosovo_en>.

It is therefore advisable to consult the abovementioned website regularly in order to be informed of the questions and answers published.

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

* 1. Evaluation and selection of applications

Applications will be examined and evaluated by the contracting authority with the possible assistance of external assessors. All applications will be assessed according to the following steps and criteria.

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

1. **STEP 1: OPENING & ADMINISTRATIVE CHECKS AND CONCEPT NOTE EVALUATION**

During the opening and administrative check the following will be assessed:

* + - If the deadline has been met. Otherwise, the application will be automatically rejected.
* If the concept note satisfies all the criteria specified in the checklist in Section 2 of Part A of the grant application form. This includes also an assessment of the eligibility of the action. If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

The concept notes that pass this check will be evaluated on the relevance and design of the proposed action.

The concept notes will receive an overall score out of 50 using the breakdown in the evaluation grid below. The evaluation will also check on compliance with the instructions on how to complete the concept note, which can be found in Part A of the grant 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 | **20**  |
| 1.1 How relevant is the proposal to the objectives and priorities of the call for proposals and to the specific themes/sectors/areas or any other specific requirement stated in the guidelines for applicants? Are the expected results of the action aligned with the priorities defined in the guidelines for applicants (section 1.2)? | 5 |  |
| 1.2 How relevant is the proposal to the particular needs and constraintsof the target country(ies), region(s) and/or relevant sectors (including synergy with other development initiatives and avoidance of duplication)? | 5 |  |
| 1.3 How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs (as rights holders and/or duty bearers) and constraints been clearly defined and does the proposal address them appropriately? | 5 |  |
| 1.4 Does the proposal contain particular added-value elements (e.g. innovation, best practices)? *[and the other additional elements indicated under 1.2. of the guidelines for applicants]*  | 5 |  |
| **2. Design of the action** | Sub-score | **30** |
| 2.1 How coherent is the overall design of the action? Does the proposal indicate the expected results to be achieved by the action? Does the intervention logic explain the rationale to achieve the expected results? | 5x2\*\* |  |
| 2.2 Does the design reflect a robust analysis of the problems involved, and the capacities of the relevant stakeholders? | 5 |  |
| 2.3 Does the design take into account external factors (risks and assumptions)? | 5 |  |
| 2.4 Are the activities feasible and consistent in relation to the expected results (including timeframe)? Are results (output, outcome and impact) realistic? | 5 |  |
| 2.5 To which extent does the proposal integrate relevant cross-cutting elements such as environmental/climate change issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, youth, combating HIV/AIDS (if there is a strong prevalence in the target country/region)?  | 5 |  |
| **TOTAL SCORE** | **50** |

\* Note: A score of 5 (very good) will only be allocated if the concept note clearly demonstrates how it specifically addresses one of the specific objectives of the call as indicated in Section 1.2 (objectives of the programme) of these guidelines.

\*\*This score is multiplied by 2 because of its 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 per lot, to the number of concept notes whose total aggregate amount of requested contributions is equal to at least 200% of the available budget for this call for proposals. The amount of requested contributions of each concept note will be based on the indicative financial envelopes for each lot, where relevant.

Lead applicants will receive a letter indicating the reference number of their application and the respective results. This letter will automatically appear online in the PROSPECT profile of the lead applicant.

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

**STEP 2: EVALUATION OF THE FULL APPLICATION**

Firstly, the following will be assessed:

* If the submission deadline has been met. Otherwise, the application will automatically be rejected.
* If the full application satisfies all the criteria specified in the checklist (Section 7 of Part B of the grant application form). This includes also an assessment of the eligibility of the action. If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

The full applications that pass this check will be further evaluated on their quality, including the proposed budget and capacity of the applicants and affiliated entity(ies). They 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 lead applicant's financial capacity and are used to verify that they:

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

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

**The award criteria** help to evaluate the quality of the applications in relation to the objectives and priorities set forth in the guidelines, and to award grants to projects which maximise the overall effectiveness of the call for proposals. They help to select applications which the contracting authority can be confident will comply with its objectives and priorities. They cover the relevance of the action, its consistency with the objectives of the call for proposals, quality, expected impact, sustainability and cost-effectiveness.

*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 in-house experience of projectmanagement?  | 5 |
| 1.2 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient in-house 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 in-house 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** | **20** |
| *Score transferred from the Concept Note evaluation* |  |
| **3. Design of the action** | **15** |
| 3.1 How coherent is the design of the action? Does the proposal indicate the expected results to be achieved by the action? Does the intervention logic explain the rationale to achieve the expected results? Are the activities proposed appropriate, practical, and consistent with the envisaged outputs and outcome(s)? | 5 |
| 3.2 Does the proposal/Logical Framework include credible baseline, targets and sources of verification? If not, is a baseline study foreseen (and is the study budgeted appropriately in the proposal)? | 5 |
| 3.3 Does the design reflect a robust analysis of the problems involved, and the capacities of the relevant stakeholders? | 5 |
| **4. Implementation approach** | **15** |
| 4.1 Is the action plan for implementing the action clear and feasible? Is the timeline realistic? | 5 |
| 4.2 Does the proposal include an effective and efficient monitoring system? Is there an evaluation planned (previous, during or/and at the end of the implementation)? | 5 |
| 4.3 Is the co-applicant(s)'s and affiliated entity(ies)'s level of involvement and participation in the action satisfactory? | 5 |
| **5. Sustainability of the action**  | **15** |
| 5.1 Is the action likely to have a tangible impact on its target groups? | 5 |
| 5.2 Is the action likely to have multiplier effects, including scope for replication, extension, capitalisation on experience and knowledge sharing? | 5 |
| 5.3 Are the expected results of the proposed action sustainable?:- Financially *(e.g. financing of follow-up activities, sources of revenue for covering all future operating and maintenance costs)*- Institutionally *(will structures allow the results of the action to be sustained at the end of the action? Will there be local ‘ownership’ of the results of the action?)*- At policy level (where applicable) *(what will be the structural impact of the action — e.g. improved legislation, codes of conduct, methods)*- Environmentally (if applicable) *(will the action have a negative/positive environmental impact?)* | 5 |
| **6. Budget and cost-effectiveness of the action** | **15** |
| 6.1 Are the activities appropriately reflected in the budget? | / 5 |
| 6.2 Is the ratio between the estimated costs and the results satisfactory? | / 10 |
| **Maximum total score** | **100** |

If the total score for Section 1 (financial and operational capacity) is less than 12 points, the application will be rejected. If the score for at least one of the subsections under Section 1 is 1, the application will also be rejected.

If the lead applicant applies without co-applicants or affiliated entities the score for point 3.3 shall be 5 unless the involvement of co-applicants of affiliated entities is mandatory according to these guidelines for applicants.

*Provisional selection*

After the evaluation, a table will be drawn up listing the applications ranked according to their score. The highest scoring applications will be provisionally selected until the available budget for this call for proposals is reached. In addition, a reserve list will be drawn up following the same criteria. This list will be used if more funds become available during the validity period of the reserve list.

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

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

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

Any rejected application will be replaced by the next best placed application on the reserve list that falls within the available budget for this call for proposals.

* 1. Submission of supporting documents for provisionally selected applications

A lead applicant whose application has been provisionally selected or placed on the reserve list will be informed in writing by the contracting authority. It will be requested to supply the following documents in order to allow the contracting authority to verify the eligibility of the lead applicant, (if any) of the co-applicant(s) and (if any) of their affiliated entity(ies)[[15]](#footnote-16):

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

The statutes or articles of association of the lead applicant, (if any) of each co-applicant and (if any) of each affiliated entity[[16]](#footnote-17). Where the contracting authority has recognised the lead applicant’s, or the co-applicant(s)’s, or their affiliated entity(ies)’s eligibility for another call for proposals under the same budget line within 2 years before the deadline for receipt of applications, it should be submitted, instead of the statutes or articles of association, a copy of the document proving their eligibility in a former call (e.g. a copy of the special conditions of a grant contract received during the reference period), unless a change in legal status has occurred in the meantime[[17]](#footnote-18). This obligation does not apply to international organisations which have signed a framework agreement with the European Commission.

For action grants exceeding EUR 750 000 and for operating grants above EUR 100 000, the lead applicant must provide an audit report produced by an approved external auditor where it is available, and always in cases where a statutory audit is required by EU or national law. That report shall certify the accounts for up to the last 3 financial years available. In all other cases, the applicant shall provide a self-declaration signed by its authorised representative certifying the validity of its accounts for up to the last 3 financial years available.

This requirement shall apply only to the first application made by a beneficiary to an authorising officer responsible in any one financial year.

The external audit report is not required from (if any) the co-applicant(s)) or affiliated entities.

A copy of the lead 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)[[18]](#footnote-19). A copy of the latest account is neither required from (if any) the co-applicant(s) nor from (if any) affiliated entity(ies).

Legal entity sheet (see Annex D of these guidelines) duly completed and signed by each of the applicants (i.e. by the lead applicant and (if any) by each co-applicant), accompanied by the justifying documents requested there. If the applicants have already signed a contract with the contracting authority, instead of the legal entity sheet and supporting documents, the legal entity number may be provided, unless a change in legal status occurred in the meantime.

A financial identification form of the lead applicant (not from co-applicants) conforming to the model attached as Annex E of these guidelines, certified by the bank to which the payments will be made. This bank should be located in the country where the lead applicant is established. If the lead applicant has already submitted a financial identification form in the past for a contract where the European Commission was in charge of the payments and intends to use the same bank account, a copy of the previous financial identification form may be provided instead.

**Please bear in mind when an operation contains the execution of works, the following supporting documents, submitted along with the full application form, will be necessary**:

1. Proof of ownership or long term lease (at least for 10 years after the signature of the contract) of the land/assets where the works are to be executed;
2. Approved/certified detailed work design or otherwise a statement by the relevant national institution(s) confirming that the national legislation(s) do/does not require the design’s approval for this type of works;
3. A positive decision on environmental impact assessment or otherwise a statement from the relevant public authority(ies) that the latter assessment(s) are/is not needed for the specific project activities;
4. All necessary legal authorisations (e.g.: location and construction permits);
5. An indicative priced bill of quantities issued not earlier than 2 years prior to the deadline for submission of full applications – calculated in euro.

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

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

Where these documents are in an official language of the European Union other 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 lead applicant's and, where applicable, co-applicants' and affiliated entity(ies)' eligibility, into English.

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

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

After verifying the supporting documents, the evaluation committee will make a final recommendation to the contracting authority, which will decide on the award of grants.

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

* 1. Notification of the contracting authority’s decision
		1. Content of the decision

The lead applicants will be informed in writing of the contracting authority’s decision concerning their application and, if rejected, the reasons for the negative decision. This letter will be sent by e-mail and will appear online automatically in the PROSPECT profile of the user who submitted the application. Lead applicants who, in exceptional cases (see Section 2.2), had to submit their application by post or hand-delivery, will be informed by email or by post if they did not provide any e-mail address. Therefore, please check regularly your PROSPECT profile, taking into account the indicative timetable below.

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.

* + 1. Indicative timetable

|  |  |  |
| --- | --- | --- |
|  | **DATE** | **TIME** |
| **1. Information meeting (if any)** | **- 23 April 2019 Prizren**, Municipality Building red hall (salla e kuqe);- **25 April 2019 Skopje**, EU Delegation to North Macedonia, Information Center Skopje  | 11:00 – 13:00  |
| **2. Deadline for requesting any clarifications from the contracting authority** | 29 Apr 2019 | - |
| **3. Last date on which clarifications are issued by the contracting authority** | 8 May 2019 | - |
| **4. Deadline for submission of concept notes** | **20 May 2019** | **10:00** |
| **5. Information to lead applicants on opening, administrative checks and concept note evaluation (Step 1)** | Jun 2019 | - |
| **6. Invitations to submit full applications** | June/July 2019 | - |
| **8. Deadline for submission of full applications and, where appropriate, supporting documents for the execution of works** | Aug/Sep 2019 | - |
| **9. Information to lead applicants on the evaluation of the full applications (Step 2)**  | Sep/Oct 2019 | - |
| **10. Notification of award (after the eligibility check) (Step 3)**  | Oct/Nov 2019 |  |
| **11. Contract signature** | Nov/Dec 2019 | - |

All times are in the time zone of the country of the contracting authority.

This indicative timetable refers to provisional dates (except for dates 2, 3, and 4) and may be updated by the contracting authority during the procedure. In such cases, the updated timetable will be published on the web site of DG International Cooperation and Development <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> and the websites of the programme <http://cbc-ks-mk.com/>and the contracting authority <https://eeas.europa.eu/delegations/kosovo_en>.

* 1. Conditions for implementation after the contracting authority’s decision to award a grant

Following the decision to award a grant, the beneficiary(ies) will be offered a contract based on the standard grant contract (see Annex G of these guidelines). By signing the application form (Annex A of these guidelines), the applicants agree, if awarded a grant, to accept the contractual conditions of the standard grant contract. Where the coordinator is an organisation whose pillars have been positively assessed, it will sign a contribution agreement based on the contribution agreement template. In this case references to provisions of the standard grant contract and its annexes shall not apply. References in these guidelines to the grant contract shall be understood as references to the relevant provisions of the contribution agreement.

Implementation contracts

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

In this context, a distinction should be made between awarding implementation contracts and subcontracting parts of the action described in the proposal, i.e. the description of the action annexed to the grant contract, such subcontracting being subject to additional restrictions (see the general terms and conditions in the model grant contract).

Awarding implementation contracts: implementation contracts relate to the acquisition by beneficiaries of routine services and/or necessary goods and equipment as part of their project management; they do not cover any outsourcing of tasks forming part of the action that are described in the proposal, i.e. in the description of the action annexed to the grant contract .

Subcontracting: Subcontracting is the implementation, by a third party with which one or more beneficiaries have concluded a procurement contract, of specific tasks forming part of the action as described in annex to the grant contract (see also the general terms and conditions in the model grant contract ).

1. LIST OF annexes

**Documents to be completed**

Annex A.1: Grant application form (Word format) – Concept Note

Annex A.2: Grant application form (Word format) – Full Application

Annex B: Budget (Excel format)

Annex C: Logical framework

Annex D: Legal entity sheet[[19]](#footnote-20)

Annex E: Financial identification form

**Documents for information**

Annex G: Standard grant contract

- Annex II: General conditions

- Annex IV: Contract award rules

- Annex V: Standard request for payment

- Annex VI: Model narrative and financial report

- Annex VII: model report of factual findings and terms of reference for an expenditure verification of an EU financed grant contract for external action

-Annex VIII: model financial guarantee – **not applicable**

-Annex IX: standard template for transfer of ownership of assets

Annex H: Daily allowance rates (per diem), available at the following address: <http://ec.europa.eu/europeaid/funding/about-procurement-contracts/procedures-and-practical-guide-prag/diems_en>

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

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

**Useful links:**

**Project Cycle Management Guidelines**

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

**The implementation of grant contracts**

**A Users' Guide**

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

**Financial Toolkit**

<http://ec.europa.eu/europeaid/funding/procedures-beneficiary-countries-and-partners/financial-management-toolkit_en>

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

\* \* \*

1. Online submission via PROSPECT is mandatory for this call for proposals (see Section 2.2.2). In PROSPECT all dates and times are expressed in Brussels time. Applicants should note that the IT support is open Monday to Friday from 08:30 to 18:30 Brussels time (except for public holidays). Applicants should take note of the weekly maintenance hours mentioned in the PROSPECT user manual.

\* This designation is without prejudice to positions on status, and is in line with UNSCR 1244 and the ICJ Opinion on the Kosovo declaration of independence. [↑](#footnote-ref-2)
2. If PROSPECT is unavailable, the IT support can also be reached via email: EuropeAid-IT-support@ec.europa.eu [↑](#footnote-ref-3)
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. [↑](#footnote-ref-4)
4. Note that a lead applicant (i.e. a coordinator) whose pillars have been positively assessed by the European Commission and who is awarded a grant will not sign the standard grant contract published with these guidelines but a contribution agreement based on the contribution agreement template. All references in these guidelines and other documents related to this call to the standard grant contract shall in this case be understood as referring to the relevant provisions of the contribution agreement template. [↑](#footnote-ref-5)
5. The updated lists of sanctions are available at www.sanctionsmap.eu.

Please note that the sanctions map is an IT tool for identifying the sanctions regimes. The source of the sanctions stems from legal acts published in the Official Journal (OJ). In case of discrepancy between the published legal acts and the updates on the website it is the OJ version that prevails. [↑](#footnote-ref-6)
6. [↑](#footnote-ref-7)
7. In case the project generates revenue, it shall be used to finance the operation, together with the other sources of funding. Revenue of an operation means cash in-flows directly paid by users for the goods and services provided by the operation, such as charges borne directly by users for the use of infrastructure, sale or rent of land or buildings, or payment for services incurred during the period of implementation of the operation. [↑](#footnote-ref-8)
8. These third parties are neither affiliated entity(ies) nor associates nor contractors. [↑](#footnote-ref-9)
9. 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. [↑](#footnote-ref-10)
10. Depending on the amendments of the relevant regulations, the contracting authority could extent the list of ineligible costs. [↑](#footnote-ref-11)
11. Please see Article 28(1) of the IPA II framework agreement [↑](#footnote-ref-12)
12. Which corresponds to sections 3 and 4 of the Annex A.2 ‘full application form’. [↑](#footnote-ref-13)
13. [↑](#footnote-ref-14)
14. For example: http://www.timeanddate.com/worldclock/converter.html. [↑](#footnote-ref-15)
15. No supporting document will be requested for applications for a grant not exceeding € 60,000. [↑](#footnote-ref-16)
16. Where the lead 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. [↑](#footnote-ref-17)
17. To be inserted only where the eligibility conditions have not changed from one call for proposals to the other. [↑](#footnote-ref-18)
18. 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. [↑](#footnote-ref-19)
19. Only applicable where the European Commission will make the payments under the contracts to be signed. [↑](#footnote-ref-20)