



Contracting Authority: European Commission

Support to Civil Protection

Guidelines for grant applicants

Budget line: BGUE-B2016-22.020102-C8-ELARG DELBIH

Reference:
EuropeAid/151771/DD/ACT/BA

Deadline for submission¹ of full application:

04/01/2017 at 16:00 (Brussels date and time)

(in order to convert to local time click [here](#)²)

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.

² An example of a time converter tool available: <http://www.timeanddate.com/worldclock/converter.html>

NOTICE

This is an open call for proposals, where all documents are submitted together (concept note – Annex A.1 – and full application form – Annex A.2). In the first instance, only the concept notes will be evaluated. Thereafter, for the applicants who have been pre-selected, the full proposal will be evaluated. After the evaluation of the full proposals, an eligibility check will be performed for those which have been provisionally selected. Eligibility will be checked on the basis of the supporting documents requested by the Contracting Authority and the signed ‘declaration by the lead applicant’ sent together with the application.

Online submission via PROSPECT

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 PROSPECT³.

³ If PROSPECT is unavailable, the IT support can also be reached via email: EuropeAid-IT-support@ec.europa.eu

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1 SUPPORT TO CIVIL PROTECTION

1.1 BACKGROUND

In May 2014, catastrophic floods hit Bosnia and Herzegovina, resulting in several dozens of casualties and causing the destruction of public and private infrastructures, as well as hitting hundreds of thousands of households, leaving many of them, mostly vulnerable groups, without proper shelter. The total economic impact of the disaster is estimated to have reached 3.98 Billion BAM.

Authorities in Bosnia and Herzegovina identified several shortcomings which need to be addressed with regard to the capacity to the civil protection systems in the country to adequately respond to disasters of a similar impact:

Although some cooperation in the civil protection area exists in Bosnia and Herzegovina and has been effective during floods, there is still a lack of cooperation and agreements. Various plans and programmes such as the “Plan of protection and rescue against natural and other disasters” in this area exist. Yet, methodologies applied are different and additional efforts are needed to harmonise planning and to set effective and compatible monitoring systems. All participants in the civil protection system and thus the system as a whole should be strengthened and new models of coordination should be developed observing the constitutional setting and the law. Relevant draft legislation, systems and protocols for protection and rescuing that need to be harmonised with the EU Acquis could be developed together by the various authorities involved to increase efficiency and effectiveness.

Practical exercises are lacking in various civil protection specific actions like rescuing, alarming, mobilising, etc.

Knowledge and skills are lacking for operation staff for radiological, chemical and biological protection, for rescuers and special units including development of guidelines, rescuing in water, rescuing in ruins; safety of rescuers; training of trainers for operation staff (training, practice, certification); training system for operation staff; for coordination of special units (Red Cross, frogmen, fishermen, firemen, etc.); rescuing protocols; and Standard Operational Procedures (SOPs).

Civil protection teams in the recent floods disaster faced a lack of adequate search and rescue equipment which limited their ability to provide a rapid response to the “water tsunami”. The floods damaged considerable portions of civil protection equipment. Furthermore, the civil protection bodies lack equipment to cope with natural disasters other than floods (e.g. forest fires).

The current Action will address the challenges and shortages described above by providing access to large scale practical exercises and modular trainings that will allow intervention teams to practice how to quickly respond if natural and manmade disasters occur. Through this assistance, a Disaster Risk Reduction programmes will be established and the planning process improved. In addition, the Action will support the accession process of the country into the EU Civil Protection Mechanism.

Description

The EU Civil Protection Mechanism⁴ is a framework for cooperation in the field of disaster prevention, preparedness and response among 31 European countries referred to as "Participating States": 28 EU Member States, the countries of the European Economic Area (Iceland and Norway), as well as, the former Yugoslav Republic of Macedonia.

⁴ <http://eur-lex.europa.eu/legal-content/EN/TXT/?qid=1401179579415&uri=CELEX:32013D1313>

Within the Mechanism the Participating States provide mutual assistance during major disasters on a voluntary basis and upon request. They also commit to exchange information, coordinate their operations and where possible share their resources (e.g. transport means) in order to ensure more rapid and efficient disaster response both inside and outside the European Union. The Participating States also use the Mechanism as a platform for improving their disaster prevention and preparedness by developing policy guidelines based on their expertise and best practices, by establishing Europe-wide early warning systems and monitoring tools, by organising joint trainings and exercises, etc.

The Emergency Response Coordination Centre (ERCC) is the operational heart of the Mechanism. It is operated by DG ECHO of the European Commission and accessible 24 hours a day. It gives countries access to a one-stop-shop of civil protection means available amongst the all the participating states. Any country inside or outside the Union affected by a major disaster can make an appeal for assistance through the ERCC. It acts as a communication hub at headquarters level between participating states, the affected country and despatched field experts. It also provides useful and updated information on the actual status of an ongoing emergency. Last but not least, the ERCC plays a co-ordination role by matching offers of assistance put forward by participating states to the needs of the disaster-stricken country.

The Common Emergency and Information System (CECIS) is a reliable web-based alert and notification application created with the intention of facilitating emergency communication among the participating states. It provides an integrated platform to send and receive alerts, details of assistance required, to make offers of help and to view the development of the ongoing emergency as they happen in an online logbook.

The European Commission has so far invested intensively in establishing and improving European and global early warning systems and disaster monitoring tools. With the technical support of the Joint Research Institute, the Participating States to the Mechanism and the Emergency Response Centre of DG ECHO have at their disposal among others the Global Disaster Alert System (GDACS), European Floods Alert System (EFAS), European Forest Fire Information System (EFFIS), Mediterranean tsunami warning system, etc.

The EU Civil Protection Mechanism is open for participation by the EU candidate countries and potential candidates. Bosnia and Herzegovina has already expressed interest to join the Mechanism which was a welcomed step towards the country's approximation and integration with the European Union.

The first progress was made in July 2014, when competent institutions, namely the Ministry of Security of Bosnia and Herzegovina, the Ministry of Interior of Republika Srpska, the Federal Agency for Civil Protection of the Federation of Bosnia and Herzegovina and the Department of Public Security of the Brčko District of Bosnia and Herzegovina signed the *Protocol of Cooperation and Establishment of Focal Point for Cooperation with the EU Civil Protection Mechanism*. The protocol stipulates the way of official internal and external communication, decision-making process and the *modus operandi*.

In order for Bosnia and Herzegovina to become an effective member of the Mechanism the country has to be ready to follow the requirements of the EU civil protection legislation, have in place single point of contact, a system for 24/7 communication with ERCC, national-wide procedures for cooperation with the Mechanism and participation in Mechanism activities, connection to CECIS and the EU monitoring tools and early warning systems.

Therefore, the project "Support to Civil Protection" will seek to facilitate the cooperation of all civil protection actors in Bosnia and Herzegovina for achieving increased coordination, interoperability and effective responsiveness including interventions in neighbouring communities in the region and abroad. In line with the EU Civil Protection Mechanism, the current Action will also support Bosnia and Herzegovina's civil protection system by:

- Providing trainings and exercises for the utilisation of the equipment acquired under the procurement contract; a special focus to be placed on cross-entities joint activities;

- Supporting the practical implementation of the *Protocol of Cooperation and Establishment of Focal Point for Cooperation with the EU Civil Protection Mechanism* (signed July 2014) in order to ensure the effective participation of the country in the Mechanism;
- Providing information and clarification sessions on the EU civil protection legislation and implementing rules. Identification and implementation of concrete actions to support the country in meeting the requirements and obligations under the EU civil protection legislation;
- Providing technical advice on the set-up of the 24 hour a day emergency communication contact point of Bosnia and Herzegovina with the Emergency Response Coordination Centre (ERCC) of the European Commission in order to ensure smooth and continuous communication during disaster response operations;
- Supporting the establishment of a connection with the Common Emergency Communication and Information System (CECIS) to enable communication and sharing of information with ERCC and the civil protection authorities of the EU Member States;
- Supporting the linking of Bosnia and Herzegovina with the EU monitoring tools and early warning systems, where necessary in coordination with the Joint Research Centre of the European Commission, and their effective utilization;
- Providing capacity building activities which will prepare the country to effectively participate in Mechanism activities such as call for proposals, exercises, voluntary pool of European Emergency Response Capacity, transport co-funding, etc.

Link to previous projects and financial assistance

In the past, the EU has funded equipment for the Civil Protection Authorities of both entities for Mine Action (de-mining teams). Technical assistance has been provided for the establishment of a disaster prevention and preparedness system (operational structure) and the drafting of relevant by-laws.

The EU has assisted Bosnia and Herzegovina with the Risk Assessment Analysis as part of the Disaster Preparedness Program Review (DPPR) action.

Under the IPA Multi-beneficiary programme 2008, a Regional Programme on Disaster Risk Reduction (DRR) in South-East Europe has been implemented. It consisted of two main activities implemented by UNDP (Activity 1) and by the WMO (Activity 2). Under Activity 1, the UNDP provided technical assistance to candidate countries and potential candidates for eventual integration/mainstreaming of disaster risk reduction into their National Development Plans, as well as for strengthening the National Platforms, supporting the development of disaster management for authorities and cross-border cooperation and coordination on disaster risk reduction issues. Under Activity 2, the WMO provided assistance to the same beneficiaries for integrating the National Meteorological and Hydrological Services into Disaster Risk Management Planning, as well as for developing the human, technical and institutional capacity needed to support networking and trans-boundary sharing of weather and climate data and information products. The project also envisaged integration of the South East Europe National Meteorological and Hydrological Services (NMHS) into the European Meteorological Networks.

Two previous IPA Multi-beneficiary Programmes on civil protection cooperation for the candidate countries and potential candidates (IPA MB 2009 – phase I and IPA MB 2012 – phase II) aimed at bringing the IPA beneficiaries closer to the EU Civil Protection Mechanism and at enhancing their civil protection capabilities. The programmes include Mechanism-like training programmes with exchanges of experts, regional exercises and policy workshops on relevant topics (e.g. assistance during disasters and host-nation support (HNS), early warning systems, forest fires, etc.).

IPA Multi-beneficiary programme 2011 "Building Resilience to Disasters in Western Balkans and Turkey" was completed in October 2014 and worked towards reducing vulnerability of IPA Beneficiaries to natural disasters and increase their resilience to climate change. Two major results of the programme are the designing of a regional Multi-Hazard Early Warning System and the establishment of an online

Knowledge Management System (KMS) available at <http://seekms.dppi.info/>. The site has been populated with information and knowledge products from multiple stakeholders in IPA beneficiary countries and hosted by DPPI SEE.

The abovementioned projects helped Bosnia and Herzegovina in the commencement of activities in the mentioned areas, but it is necessary to develop these activities further and implement them in Bosnia and Herzegovina accordingly.

To establish Good Practice guidelines that build upon existing knowledge, the Commission has launched a programme entitled “Strengthening the EU disaster management capacity – Good Practices on Disaster Prevention”. The programme collected information from all EU MS across natural and manmade disasters regarding measures taken to prevent disasters and reduce vulnerability. With the understanding that prevention programmes for different disaster risks can benefit from a more integral approach, the Commission has particularly focused on identifying horizontal measures in the area of disaster loss data collection, risk assessment and mapping. The study as well as the established database with good practices is to be utilised for the capacity building activities of the current programme.

Furthermore, the project “Prevention, preparedness and response to floods in the Western Balkans and Turkey” financed from the IPA Multi-beneficiary programme 2013 and the Special Measure for flood recovery and flood risk management aims to increase beneficiaries' capability to develop effective national civil protection systems and collaborate in a coherent manner in dealing with floods at regional and European level (prevention, preparedness and response) and to support beneficiaries in becoming better prepared to cope with the challenges of approximation to and implementation of the EU Floods Directive. All projects should increase the beneficiaries' capacity to ensure proper risk management and reduce the vulnerability of beneficiaries to natural and man-made disasters at local, national and regional levels and increase their resilience to climate change.

The project “Analysis of the system of protection and rescue in Bosnia and Herzegovina” launched in June 2014, financed by EU, developed an analysis of the system of protection and rescue in Bosnia and Herzegovina, which will serve at all levels of decision-making to take appropriate actions to improve preparedness for response to natural or other disasters.

1.2 OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

The **global objective** of this Call for Proposals is to reduce vulnerability to natural and man-made disasters at all levels in Bosnia and Herzegovina.

The **specific objective** of this Call for Proposals is to improve civil protection capacities for emergency response to natural and man-made disasters observing the best regional and European practices.

The action aims to contribute to achieving in close cooperation with the relevant BiH partner institutions the following results:

Result 1: Bosnia and Herzegovina competent institutions developed capacities needed for becoming effective member of the EU Civil Protection Mechanism

Objectively Verifiable Indicators:

1. Level of readiness of Bosnia and Herzegovina for the EU Civil Protection Mechanism membership including the establishment and effective implementation of single point of contact, national-wide procedures for cooperation with the Mechanism and participation in Mechanism activities, awareness and preparedness to comply with the requirements of the EU civil protection legislation, connection to CECIS and EU monitoring tools and early warning systems.
2. Evidence for the practical implementation of the Protocol of Cooperation and Establishment of Focal Point for Cooperation with the EU Civil Protection Mechanism.

Result 2: Civil protection authorities and intervention teams are capable to effectively respond in the

event of major emergency in Bosnia and Herzegovina.

Objectively Verifiable Indicators:

1. Level of readiness / responsiveness of civil protection intervention teams for effective emergency relief operations
2. Trained and exercised civil protection teams

Result 3:

Disaster Risk Reduction approach through integrated risk assessment and preparedness planning established in Civil Protection sector in Bosnia and Herzegovina

Objectively Verifiable Indicators:

1. Number of developed/updated disaster risk reduction plans

During the inception phase of two months the project should:

- Liaise with all relevant stakeholders and establish close working relations
- Analyse the current state of play within all components
- Design a work plan for the activities to be carried out during implementation phase
- Request approval of possible changes in comparison with the activities defined in these guidelines
- Set up the project Steering Committee comprised of representatives of the stakeholders
- Prepare, organise and conduct Kick-off meeting
- Liaise with other project and initiatives in the region

During the implementation phase the project should:

- Execute activities determined in the work plan
- Evaluate results
- Correct possible deviations, close gaps or equalise shortfalls
- Draft and submit regular reports
- Prepare Steering Committee meetings on a quarterly basis or if requested ad hoc
- Closely liaise with the EU Delegation

1.3 FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY

The overall indicative amount made available under this call for proposals is EUR 1,5 M. The Contracting Authority reserves the right not to award all available funds.

Size of grants

Any grant requested under this call for proposals must not exceed the maximum amount:

- maximum amount: EUR 1 500 000

The total eligible costs of the action under this Call for Proposal:

- Maximum percentage: 100 % of the total eligible costs of the action (see also section 2.1.5).

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

2 RULES FOR THIS CALL FOR PROPOSALS

These guidelines set out the rules for the submission, selection and implementation of the actions financed under this call, in conformity with the Practical Guide, which is applicable to the present call (available at <http://ec.europa.eu/europeaid/prag/document.do?locale=en>)⁵.

2.1 ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

(1) the actors:

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

(2) the actions:

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

(3) the costs:

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

2.1.1 Eligibility of applicants (i.e. lead applicant and co-applicant(s))
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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 a Ministry, public sector authority or agency entrusted with responsibilities related to the implementation of activities relevant to the call **and**
- be established in⁶ a Member State of the European Union **and**

⁵ 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 PA Grant Agreement based on the PAGoDA 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 PAGoDA template.

⁶ To be determined on the basis of the organisation's statutes that should demonstrate that it has been established by an instrument governed by the national law of the country concerned and that its head office is located in an eligible country. In this respect, any legal entity whose statutes have been established in another country cannot

- 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

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

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

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

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

Co-applicant(s)

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

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

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

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

2.1.2 Affiliated entities

Affiliated entity(ies)

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 applicant may hence be:

- Entities directly or indirectly controlled by an applicant (daughter companies or first-tier subsidiaries). They may also be entities controlled by an entity controlled by an applicant

be considered an eligible local organisation, even if the statutes are registered locally or a 'Memorandum of Understanding' has been concluded.

(granddaughter companies or second-tier subsidiaries) and the same applies to further tiers of control;

- Entities directly or indirectly controlling the applicant (parent companies). Likewise, they may be entities controlling an entity controlling the applicant;
 - Entities under the same direct or indirect control as the applicant (sister companies).
- (ii) Membership, i.e. the applicant is legally defined as a e.g. network, federation, association in which the proposed affiliated entities also participate or the applicant participates in the same entity (e.g. network, federation, association) as the proposed affiliated entities.

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

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

What is not an affiliated entity?

The following are not considered entities affiliated to an applicant:

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

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

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

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

If the applicants are awarded a grant contract, their affiliated entity(ies) will not become beneficiary(ies) of the action and signatory(ies) of the grant contract. However, they will participate in the design and in the implementation of the action and the costs they incur (including those incurred for implementation

contracts and financial support to third parties) may be accepted as eligible costs, provided they comply with all the relevant rules already applicable to the beneficiary(ies) under the grant contract.

Affiliated entity(ies) must satisfy the same eligibility criteria as the lead applicant and the co-applicant(s). They must sign the affiliated entity(ies) statement in Annex A.2., section 5.

2.1.3 Associates and Contractors

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

- Associates

Other organisations or individuals may be involved in the action. Such associates play a real role in the action but may not receive funding from the grant, with the exception of per diem or travel costs. Associates do not have to meet the eligibility criteria referred to in section 2.1.1. Associates must be mentioned in Annex A.2., section 4 — 'Associates participating in the action'.

- Contractors

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

2.1.4 Eligible actions: actions for which an application may be made

Definition

An action is composed of a set of activities.

Duration

The initial planned duration of the action is 24 months.

Sectors or themes

Civil Protection

Location

Actions must take place in Bosnia and Herzegovina.

Types of action

The proposed action has to include the following components but should not be limited to those:

Component I: Development of civil protection capacity

Component II: Intervention teams

Component III: Disaster risk reduction approach

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;

Types of activity

The Applicant is encouraged to organise and further elaborate the methodology outlined in the above chapter 1.1 Background and Description, as well as the following minimum activities:

Component I: Development of civil protection capacity

1.1. Support the practical implementation of the Protocol of Cooperation and Establishment of Focal Point for Cooperation with the EU Civil Protection Mechanism (signed July 2014)

- Develop procedures and communications in situations of natural or other disasters - inter-communication in the event of natural or other disasters (SOP BiH Ministry of Security - other institutions in the event of natural or other disasters, communication procedures between the institutions which have signed the Protocol).

At least 12 representatives of the Federal Administration of Civil Protection FBiH – FACP, the Civil Protection Administration of Republic of Srpska - RS CPA, Brcko District – BD and the Ministry of Security BiH – MSBiH

1.2. Provide information and clarification sessions on the EU civil protection legislation and implementing rules. Identify and implement concrete actions to support the country in meeting the requirements and obligations under the EU civil protection legislation

- Support the harmonization of existing legislation with the EU acquis.

At least 12 representatives of the Federal Administration of Civil Protection FBiH – FACP, the Civil Protection Administration of Republic of Srpska - RS CPA, Brcko District – BD and the Ministry of Security BiH – MSBiH

1.3. Provide technical advice on the set-up of the 24 hour a day emergency communication contact point of Bosnia and Herzegovina with the Emergency Response Coordination Centre (ERCC) of the European Commission

1.4. Support the establishment of a connection with the Common Emergency Communication and Information System (CECIS) to enable communication and sharing of information with ERCC and the civil protection authorities of the EU Member States

- Support the establishment of communication links between OKCBiH112 and ERCC (network connectivity)
- Preparing the legal framework for the establishment of the sTESTA network (within the competence of other institutions and bodies in BiH)
- Training of staff operational centers on the use of CECIS

At least 23 representatives of the Federal Administration of Civil Protection FBiH – FACP (5), the Civil Protection Administration of Republic of Srpska - RS CPA (5), Brcko District – BD(2) and the Ministry of Security BiH – MSBiH(11).

1.5. Support the linking of Bosnia and Herzegovina with the EU monitoring tools and early warning systems, where necessary in coordination with the Joint Research Centre of the European Commission, and their effective utilization

- Provide training to the employees of the operating centres and hydro-meteorological services for the operation and use of the tools available through the Civil Protection Mechanism of the European Union (EFAs, EFFIS, Copernicus, etc.)

At least 29 representatives of the Federal Administration of Civil Protection FBiH – FACP (5), the Civil Protection Administration of Republic of Srpska - RS CPA (5), Brcko District – BD(2) and the Ministry of Security BiH – MSBiH(11), the Republika Srpska Hydrometeorological Institute (RHMS) (3); Federation Hydrometeorological Institute (FHMZ (3)).

- Develop procedures of analysis and exchange of information between the institutions, which have been received via tools of the EU Civil Protection Mechanism (EFAs, EFFIS, Copernicus, etc.).

At least 29 representatives of the Federal Administration of Civil Protection FBiH – FACP (5), the Civil Protection Administration of Republic of Srpska - RS CPA (5), Brcko District – BD(2) and the Ministry of Security BiH – MSBiH(11) the Republika Srpska Hydrometeorological Institute (RHMS) (3); Federation Hydrometeorological Institute (FHMZ (3)).

1.6. Provide capacity building activities which will prepare the country to effectively participate in Mechanism activities such as call for proposals, exercises, voluntary pool of European Emergency Response Capacity, transport co-funding, etc.

- Introduction to the rights and obligations of participants of the Civil Protection Mechanism of the European Union on the implementation of elements of the Mechanism (eg, reimbursement of transport costs when making international aid) – *for at least 20 participants*
- Training on project development – *for at least 35 participants of the Federal Administration of Civil Protection FBiH – FACP (10), the Civil Protection Administration of Republic of Srpska - RS CPA (10), Brcko District – BD(10) and the Ministry of Security BiH – MSBiH(5)*

In order for Bosnia and Herzegovina to join the mechanism it is necessary to organize trainings on the basics of the Mechanism. This primarily relates to the following courses:

- Introduction to the mechanism (CMI). The overall objective of CMI is to introduce participants to the EU Civil Protection Mechanism and to provide them with basic knowledge and skills in order to prepare for action in the host country, as well as provide them with information on the first international mission of civil protection, both inside and outside the geographic area of the Mechanism – *for at least 35 participants (MSBiH (5), FACP (10), RS CPA (10) BD (10))*
- Training of operational management (OPM). Training in operational management (OPM) is the first specifically aimed training for the future deployment within and outside Europe. It can be considered as the basis for training programs to follow, and as such provides all the essentials that make it possible for the operation as a full member of the Operations Coordination Center (OSOCC - outside Europe) or for the establishment of coordination (in Europe) – *for at least 35 participants (MSBiH (5), FACP (10), CPA (10) BD (10))*

Component II: Intervention teams

2.1. To design and implement the training needs assessment - TNA

Conduct trainings for intervention teams from FBiH, RS and BD:

- Training for the USAR teams to also include their preparation for the classification (total of 90 participants (RACP (38), FACP (38), BD (10), and MoS BiH (4))
- Training for water rescue teams – (total of 37 participants (RACP (11), FACP (11) BD (11), and MoS BiH (4))

- Training on the camp management (total of 41 participants (RACP (15), FACP (15), BD (7), and MoS BiH (4))
- Training of trainers to pass their knowledge on the intervention teams –
(total of 16 participants (RACP (5), FACP (5), BD (2), and MoS BiH (4)).

2.2. Develop and provide a Training programme for the use of equipment, safety and security measures and on the basis of the TNA results

2.3. Organise and deliver practical simulation exercises including alarming, mobilisation, coordination (intervention teams and volunteers) with a special focus on cross-entities interventions

Component III: Disaster risk reduction approach

- 3.1. Organize training on drafting and updating the planning documents for protection and rescue such as the Risk Assessment for natural or other disasters and the Plan of protection and rescue of people and property in case of natural and other disasters taking into account the EU guidelines on risk assessment and mapping as well as EU good practices.
(Note: In accordance with the existing legislation on protection and rescue in Bosnia and Herzegovina each municipality in Bosnia and Herzegovina must have an adopted Risk assessment for natural and other disaster, a Plan of protection and rescue of people and property in case of natural and other disasters, a Fire prevention plan at municipality level and the Development program of protection and rescue from natural and other disaster in the municipality and the city).
- 3.2. Ensure that the municipalities usually affected by fires have drafted fire prevention plans.
Note: According to the law on fire protection plan in the municipality or city must be developed by a specialized company. It is necessary to recruit companies authorized to prepare such documents.
3.1 + 3.2 = minimum for 10 municipalities

3.2. GIS training - 30 participants

Financial support to third parties⁷

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 1 application under this call for proposals.

The lead applicant may not be awarded more than 1 grant under this call for proposals.

⁷ These third parties are neither affiliated entity(ies) nor associates nor contractors.

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

A co-applicant/affiliated entity may not submit more than 1 application under this call for proposals.

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

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

2.1.5 Eligibility of costs: costs that can be included

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

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

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

Simplified cost options may take the form of:

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

The amounts or rates have to be based on estimates using objective data such as statistical data or any other objective means or with reference to certified or auditable historical data of the applicants or the affiliated entity(ies). The methods used to determine the amounts or rates of unit costs, lump sums or flat-rates must comply with the criteria established in Annex K, and especially ensure that the costs correspond fairly to the actual costs incurred by the 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 amount⁸
- identify the beneficiary who will use the simplified cost option (in case of affiliated entity, specify first the beneficiary), in order to verify the maximum amount per each beneficiary (which includes if applicable simplified cost options of its affiliated entity(ies))

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

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

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

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

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

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

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

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

The method of allocation has to be:

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

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

⁸ 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.

The method will be assessed and accepted by the evaluation committee and the Contracting Authority at contracting phase. The applicant is invited to submit (where relevant) the list of contracts to which the methodology proposed had been already applied and for which proper application was confirmed by an expenditure verification.

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

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

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

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 7 % of the estimated total eligible direct costs. Indirect costs are eligible provided that they do not include costs assigned to another budget heading in the standard grant contract. The lead applicant may be asked to justify the percentage requested before the grant contract is signed. However, once the flat rate has been fixed in the Special Conditions of the grant contract, no supporting documents need to be provided.

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

Contributions in kind

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

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

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

Ineligible costs

The following costs are not eligible:

- debts and debt service charges (interest);

- provisions for losses or potential future liabilities;
- costs declared by the beneficiary(ies) and financed by another action or work programme receiving a European Union (including through EDF) grant;
- purchases of land or buildings, except where necessary for the direct implementation of the action, in which case ownership must be transferred, in accordance with Article 7.5 of the General Conditions of the standard grant contract, at the latest at the end of the action;
- currency exchange losses;
- credit to third parties;
- salary costs of the personnel of national administrations.

2.2 HOW TO APPLY AND THE PROCEDURES TO FOLLOW

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

- I. Provide information about the organisations involved in the action. Please note that the registration of this data in **PADOR is obligatory**⁹ for all lead applicants, co-applicant(s) and affiliated entity(ies).

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

- II. Provide information about the action in the documents listed under section 2.2.2. Online submission via **PROSPECT is obligatory** for this call.

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 for the organisation to register online in PADOR for technical reasons, applicants and/or affiliated entity(ies) must complete the 'PADOR off-line form'¹⁰ attached to these guidelines. This form must be sent **together with the application**, by the submission deadline (see section 2.2.2.).

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

2.2.1 Application forms

Applications must be submitted in accordance with the instructions on the grant application form¹¹ annexed to these guidelines (Annexes A.1 and A.2). Applicants must apply in English.

Any error or major discrepancy related to the concept note or any major inconsistency in the application form (e.g. if the amounts in the budget worksheets are inconsistent) may lead to the rejection of the application.

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

2.2.2 Where and how to send applications

Online submission:

Applications **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 the application online, the lead applicant will receive an automatic confirmation of receipt in its PROSPECT profile.

⁹ Natural persons who apply for a grant (if so allowed in the guidelines) do not have to register in PADOR. In this case, the information included in PROSPECT and in the concept note is sufficient.

¹⁰ Which corresponds to sections 3 and 4 of Annex A.2.

¹¹ The grant application form consists of Annex A.1 – concept note – and Annex A.2 – full application form.

If it is impossible for the organisation to submit its application online via PROSPECT for technical reasons, the applicant must send its application in a sealed envelope (Annex A.1: concept note and Annex A.2.: full application form), budget and logical framework. In particular, the lead applicant must send, in a sealed envelope as described below the following items:

a. One original signed copy of the complete application form (Annex A.1: concept note and Annex A.2: full application form), the budget and logical framework. The declaration by the lead applicant (Annex A.2., section 8 of the full form) must be stapled separately and enclosed in the envelope

b. 2 additional copies in A4 size, each bound.

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

The outer envelope must bear the **reference number and the title of the call for proposals**, together with the full name and address of the lead applicant, and the words ‘Not to be opened before the opening session’ and “Ne otvarati prije zvaničnog otvaranja”.

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

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

Postal address

Delegation of the European Union to BiH
Skenderija 3a,
71000 Sarajevo, BiH

Address for hand delivery or by private courier service

Delegation of the European Union to BiH
Skenderija 3a,
71000 Sarajevo, BiH

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

Please note that incomplete applications may be rejected. Lead applicants are advised to verify that their application is complete using the checklist (Annexes A.1 and A.2, Instructions).

2.2.3 Deadline for submission of applications

The deadline for the submission of applications is 04/01/2017 at 16:00 (Brussels date and time). In order to convert this deadline to local time you can use any online time converter tool that takes into account time zones and winter/summer time changes (example available [here](http://www.timeanddate.com/worldclock/converter.html))¹². **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.

¹² For example: <http://www.timeanddate.com/worldclock/converter.html>.

In the exceptional case of submission by post or by hand-delivery (see section 2.2.2), the date of submission is evidenced by the date of dispatch, the postmark or the date of the deposit slip. In the case of hand-deliveries, the deadline for receipt is at 16:00 as evidenced by the signed and dated receipt.

Any application submitted after the deadline will be rejected.

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

2.2.4 Further information about applications

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

E-mail address: delegation-BiH-CfP151771@ec.europa.eu

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

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

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

No individual replies will be given to questions. All questions and answers as well as other important notices to applicants during the course of the evaluation procedure will be published on the EuropeAid website: <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> and the EU DEL in BIH website: http://europa.ba/?page_id=1084. 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 those languages should they wish to benefit from an optimum response time.

2.3 EVALUATION AND SELECTION OF APPLICATIONS

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

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

STEP 1: OPENING & ADMINISTRATIVE CHECKS AND CONCEPT NOTE EVALUATION

During the opening¹³ and administrative check (including the eligibility check of the action), the following will be assessed:

- If the deadline has been met. Otherwise, the application will be automatically rejected.
- If the application satisfies all the criteria specified in the checklist in the instructions included in Annex A.1. This also includes an assessment of the eligibility of the action. If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

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

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

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

Evaluation Grid

Section	Maximum Score
1. Relevance of the action	30
1.1. How relevant is the proposal to the objectives and priorities of the Call for Proposals?*	5x2**
1.2. How relevant to the particular needs and constraints of the target country(ies) or region(s) is the proposal (including synergy with other EU initiatives and avoidance of duplication)?*	5x2**
1.3. How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs been clearly defined and does the proposal address them appropriately?*	5
1.4. Does the proposal contain specific added-value elements, such as environmental issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, or innovation and best practices?*	5
2. Design of the action	20
2.1. How coherent is the overall design of the action? In particular, does it reflect the analysis of the problems involved, take into account external factors and relevant stakeholders?	5x2**
2.2. Is the action feasible and consistent in relation to the objectives and expected results?	5x2**
Maximum total score	50

¹³ Only where some applications have been submitted offline.

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

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

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

Secondly, the number of concept notes will be reduced, taking account of the ranking, to the number of concept notes whose total aggregate amount of requested contributions is equal to at least 200% of the available budget for this call for proposals.

Lead applicants will receive a letter indicating the reference number of their application and the respective results. This letter will automatically appear online in the PROSPECT profile of the lead applicant. Lead applicants who, in exceptional cases (see section 2.2.2), had to submit their application by post or hand-delivery will receive the letter by e-mail or by post, if no e-mail address was provided.

The evaluation committee will then proceed with the lead applicants whose proposals have been pre-selected.

STEP 2: EVALUATION OF THE FULL APPLICATION

Firstly, the following will be assessed:

- If the full application form satisfies all the criteria specified in the checklist in Annex A.2. If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

The full applications that pass this check will be further evaluated on their quality, including the proposed budget and the capacity of the applicants and affiliated entity(ies). The evaluation criteria used are presented in the evaluation grid below. There are two types of evaluation criteria: selection and award criteria.

The selection criteria help to evaluate the applicant(s)'s and affiliated entity(ies)'s operational capacity and the lead applicant's financial capacity and are used to verify that they:

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

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

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

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

Evaluation Grid¹⁴

Section	Maximum Score
1. Financial and operational capacity	20
1.1. Do the applicants and, if applicable, their affiliated entity(ies) have sufficient experience of project management?	5
1.2. Do the applicants and, if applicable, their affiliated entity(ies) have sufficient technical	5

¹⁴ Note that the relevance may be re-evaluated in the cases described in sections 6.5.7 and 6.5.8 of the Practical Guide.

expertise (especially knowledge of the issues to be addressed)?	
1.3. Do the applicants and, if applicable, their affiliated entity(ies) have sufficient management capacity (including staff, equipment and ability to handle the budget for the action)?	5
1.4. Does the lead applicant have stable and sufficient sources of finance?	5
2. Relevance of the action	30
2.1. How relevant is the proposal to the objectives and priorities of the Call for Proposals?	5x2**
2.2. How relevant to the particular needs and constraints of the target country(ies) or region(s) is the proposal (including synergy with other EU initiatives and avoidance of duplication)?	5x2**
2.3. How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs been clearly defined and does the proposal address them appropriately?	5
2.4. Does the proposal contain specific added-value elements, such as environmental issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, or innovation and best practices [and the other additional elements indicated under 1.2. of these guidelines]?	5
3. Effectiveness and feasibility of the action	20
3.1. Are the activities proposed appropriate, practical, and consistent with the objectives and expected results?	5
3.2. Is the action plan clear and feasible?	5
3.3. Does the proposal contain objectively verifiable indicators for the outcome of the action? Is any evaluation planned?	5
3.4. Is the co-applicant(s)'s and affiliated entity(ies)'s level of involvement and participation in the action satisfactory?	5
4. Sustainability of the action	15
4.1. Is the action likely to have a tangible impact on its target groups?	5
4.2. Is the proposal likely to have multiplier effects (including scope for replication, extension and information sharing)?	5
4.3. Are the expected results of the proposed action sustainable?:(1) financially (how will the activities be financed after the funding ends?)(2) institutionally (will structures allowing the activities to continue be in place at the end of the action? Will there be local 'ownership' of the results of the action?)(3) at policy level (where applicable) (what will be the structural impact of the action e.g. will it lead to improved legislation, codes of conduct, methods, etc?)(4) environmentally (if applicable) (will the action have a negative/positive environmental impact?)"	5
5. Budget and cost-effectiveness of the action	15

5.1. Are the activities appropriately reflected in the budget?	5
5.2. Is the ratio between the estimated costs and the expected results satisfactory?	10
Maximum total score	100

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

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

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

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

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

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

- The declaration by the lead applicant (Annex A.2, section 5) will be cross-checked with the supporting documents provided by the lead applicant. Any missing supporting document or any incoherence between the declaration by the lead applicant and the supporting documents may lead to the rejection of the application on that sole basis.
- The eligibility of applicants and the affiliated entity(ies) will be verified according to the criteria set out in sections 2.1.1, 2.1.2 and 2.1.3.

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

2.4 SUBMISSION OF SUPPORTING DOCUMENTS FOR PROVISIONALLY SELECTED APPLICATIONS

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

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

1. The statutes or articles of association of the lead applicant, (if any) of each co-applicant(s) and (if any) of each affiliated entity(ies)¹⁵. 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 meantime¹⁶. This obligation does not apply to international organisations which have signed a framework agreement with the European Commission.
2. An external audit report produced by an approved auditor, certifying the lead applicant's accounts for the last financial year available where the total amount of the requested EU contribution exceeds EUR 750 000. The external audit report is not required from (if any) the co-applicant(s) or affiliated entity(ies).

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

3. 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(s), accompanied by the justifying documents requested there. If the applicants have already signed a contract with the Contracting Authority, instead of the legal entity sheet and supporting documents, the legal entity number may be provided, unless a change in legal status occurred in the meantime.
4. A financial identification form of the lead applicant (not from co-applicant(s), nor from affiliated entity(ies)) conforming to the model attached at Annex E of these guidelines, certified by the bank to which the payments will be made. This bank should be located in the country where the lead applicant is established. If the lead applicant has already submitted a financial identification form in the past for a contract where the European Commission was in charge of the payments and intends to use the same bank account, a copy of the previous financial identification form may be provided instead.

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

Where such documents are not in one of the official languages of the European Union, a translation into English of the relevant parts of these documents proving the lead applicant's and, where applicable, co-

15 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.

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

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.

2.5 NOTIFICATION OF THE CONTRACTING AUTHORITY'S DECISION

2.5.1 <i>Content of the decision</i>

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 e-mail 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.

2.5.2 Indicative timetable

	DATE	TIME
1. Information meeting (if any)	Not applicable	Not applicable
2. Deadline for requesting any clarifications from the Contracting Authority	14/12/2016	-
3. Last date on which clarifications are issued by the Contracting Authority	23/12/2016	-
4. Deadline for submission of applications	04/01/2017	16:00
5. Information to lead applicants on opening, administrative checks and concept note evaluation (Step 1)	February 2017*	-
6. Information to lead applicants on the evaluation of the full application form (Step 2)¹⁷	March 2017*	-
7. Notification of award (after the eligibility check) (Step 3)	April/May 2017*	-
8. Contract signature¹⁸	May/June 2017*	-

* **Provisional date.** All times are in local time.

This indicative timetable refers to provisional dates (except for dates 2, 3 and 4) and may be updated by the Contracting Authority during the procedure. In such cases, the updated timetable will be published on the EuropeAid web site <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>.

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

Following the decision to award a grant, the beneficiary(ies) will be offered a contract based on the standard grant contract (see Annex G of these guidelines). By signing the application form (Annexes A.1 and A.2 of these guidelines), the lead applicant agrees, if awarded a grant, to accept the contractual conditions of the standard grant contract. Where the Coordinator is an organisation whose pillars have been positively assessed, it will sign a PA Grant Agreement based on the PAGoDA template. In this case references to provisions of the standard grant contract and its annexes shall not apply. References in these

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

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

guidelines to the Grant Contract shall be understood as references to the relevant provisions of the PA Grant Agreement.

Implementation contracts

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

2.7 EARLY DETECTION AND EXCLUSION SYSTEM (EDES)

The applicants and, if they are legal entities, the persons who have powers of representation, decision-making or control over them, are informed that, should they be in one of the situations mentioned in section 2.3.3.1 or 2.3.3.2 of the Practical Guide their personal details (name, given name (if natural person), address, legal form and name and given name of the persons with powers of representation, decision-making or control (if legal person)) may be registered in EDES. For further information see section 2.3.3 and 2.3.4 of the Practical Guide.

3 LIST OF ANNEXES

DOCUMENTS TO BE COMPLETED

Annex A: Grant Application Form (Word format)

A.1. Concept Note

A.2. Full Application Form

Annex B: Budget (Excel format)

Annex C: Logical Framework (Word format)

Annex D: Legal Entity Sheet

Annex E: Financial identification form

Annex F: PADOR offline Form¹⁹ (***ONLY IF IMPOSSIBLE TO REGISTER IN PADOR***)

DOCUMENTS FOR INFORMATION

Annex G: Standard Grant Contract

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

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

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

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

Annex L : e-learning :
<https://webgate.ec.europa.eu/europeaid/prospect/external/>

¹⁹ https://ec.europa.eu/europeaid/search/site/pador_en - only applicable in calls under direct management where PADOR is used.

Annex M : user manual for PROSPECT :

<https://webgate.ec.europa.eu/europeaid/prospect/external/>

USEFUL LINKS

Useful links:

Project Cycle Management Guidelines

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

The implementation of grant contracts

A Users' Guide

<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.

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