



**Contracting Authority:** European Commission

The Delegation of the European Union to Bosnia and Herzegovina

### **3<sup>rd</sup> Call for Proposals**

**Cross-border programme Bosnia and Herzegovina – Montenegro  
under the Instrument for Pre-accession Assistance (IPA II)**

### **Guidelines for grant applicants**

Budget lines:

BGUE-B2019-22.020401-C1-NEAR DELBIH

BGUE-B2020-22.020401-C1-NEAR DELBIH

Reference: EuropeAid/170435/DD/ACT/BA

Deadline for submission<sup>1</sup> of concept notes : 9<sup>th</sup> February 2021

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<sup>1</sup> 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.

**August 2020**

Guidelines for grant applicants\_Prospect\_restricted20201223-Смјернице за апликанте

# NOTICE

This is a restricted call for proposals. In the first instance, only concept notes (Annex A.1) must be submitted for evaluation. Thereafter, lead applicants who have been pre-selected will be invited to submit a full application. After the evaluation of the full applications, an eligibility check will be performed for those which have been provisionally selected. Eligibility will be checked on the basis of the supporting documents requested by the contracting authority and the signed 'declaration by the lead applicant' sent together with the full application.

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

**Preparation:** Information session and user manuals

To help applicants familiarise themselves with the system before the online submission, an information session will be organised on 12<sup>th</sup> January 2021, online.

Should you be interested in this session, please send an email by 05 01 2021 to [infojts@cbc.bih-mne.org](mailto:infojts@cbc.bih-mne.org) indicating: name, surname, nationality and email address of the persons who are going to participate as well as their organisation (max. two participants per organisation). No costs incurred by the applicants for attending this information session are reimbursable.

All organisations may find more information regarding PROSPECT in the user's manual and the e-learning videos. You may also contact our technical support team via the online support form in PROSPECT<sup>2</sup>.

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<sup>2</sup> If PROSPECT is unavailable, the IT support can also be reached via email: [EuropeAid-IT-support@ec.europa.eu](mailto:EuropeAid-IT-support@ec.europa.eu)

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# 1. CROSS-BORDER PROGRAMME BOSNIA AND HERZEGOVINA - MONTENEGRO

## 1.1. BACKGROUND

These guidelines are intended to be used by those applying for grants under the 3<sup>rd</sup> call for proposals for the 2014-2020 cross-border cooperation programme Bosnia and Herzegovina - Montenegro (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:

- Regulation (EU) No 231/2014 of the European Parliament and of the Council of 11 March 2014 establishing an Instrument for Pre-accession Assistance (IPA II);
- Regulation (EU) No 236/2014 of the European Parliament and of the Council of 11 March 2014 laying down common rules and procedures for the implementation of the Union's instruments for financing external action; and
- Commission Implementing Regulation EU no 447/2014 of 2 May 2014 on the specific rules for implementing the IPA II regulation.

The programme analyses the socio-economic situation of the border region, sets out a common strategy for remedying problems identified and formulates joint thematic priorities for development. As specified in its programme document, its implementation is carried out through calls for proposals such as this one. These calls will be launched at regular intervals in order to fund cross-border cooperation projects that will contribute to achieving the strategic objectives agreed upon by the participating countries.

More details about this 2014-2020 IPA II cross-border cooperation programme can be found on the web page [www.cbc.bih-mne.org/en/program-projekti/](http://www.cbc.bih-mne.org/en/program-projekti/) and are available for download on the web page of the Directorate for European Integration in Bosnia and Herzegovina ([www.dei.gov.ba](http://www.dei.gov.ba)) and on the web page of the European Integration Office in Montenegro ([www.kei.gov.me](http://www.kei.gov.me)).

The programme is implemented jointly by both countries. In Bosnia and Herzegovina, the responsible institution is:

- Directorate for European Integration in Bosnia and Herzegovina, in charge of the overall coordination of the programme, is the operating structure (OS) in this country;

In Montenegro the responsible institution is:

- European Integration Office, responsible for the overall coordination of the programme, is the OS in this country.

All contract and payment issues are the responsibility of the Delegation of the European Union to Bosnia and Herzegovina, the contracting authority (CA).

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 JMC will examine and provide an advisory opinion on the list of operations selected through this call for proposals before the grant award decision.

The CA, the OSs and the JMC are assisted by the joint technical secretariat (JTS) based in Sarajevo, and staffed with experts from Bosnia and Herzegovina and Montenegro. The JTS is the administrative body responsible for the day-to-day management of the programme including support and advice to potential applicants as well as grant beneficiaries. The JTS has an antenna located in Niksic. 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.

## 1.2. 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 contribute to the sustainable development in the cross-border area between Bosnia and Herzegovina and Montenegro by common actions based on an efficient use of the comparative advantages of the programme area.

As a result of a decision made by the JMC of the programme on 26<sup>th</sup> June 2020, out of the three thematic priorities of the programme document,

- ❑ Priority 1: Promoting employment, labour mobility and social and cultural inclusion across the border, with Specific Objectives: 1.1 The access to the labour market and the environment for new employment generation are enhanced and 1.2 Employment opportunities and social inclusion of vulnerable groups are enhanced;
- ❑ Priority 2: Protecting the environment, promoting climate change adaptation and mitigation, risk prevention and management, with Specific Objectives: 2.1 Cross-border coordination and joint actions improve the management and energy efficiency of local water supply, wastewater and solid waste systems, and the protection of the environment; and 2.2 Risk prevention and management and climate change mitigation and adaptation are improved;
- ❑ Priority 3: Encouraging tourism and cultural and natural heritage, with the Specific Objective: 3.1 The quality and diversification of the tourism offer, building on natural and cultural heritage, is improved;

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

SPECIFIC OBJECTIVES	RESULTS
1. The access to the labour market and the environment for new employment generation are enhanced	1.1 Advisory support to and skills of the employment seeking population in the cross border area are advanced
2. Risk prevention and management and climate change mitigation and adaptation are improved.	2.1 The capacity of emergency services for risk prevention and mitigation and adaptation measures to deal with consequences of climate change disasters is strengthened

### **Mainstreaming of cross-cutting issues:**

This call for proposals will take into account the mainstreaming of cross-cutting issues at project level. When developing a project to address any of the specific objectives of the call, cross-cutting issues need to be mainstreamed in the following manner:

- a) Gender equality and promotion of equal opportunities.

Equality between sexes has to be taken into consideration when setting the project objectives, defining activities (e.g. participation in capacity building activities) and expected results. Equal opportunity prevails when women and men have the same rights, obligations and opportunities.

- b) Protection and promotion of ethnic minority rights, including their participation in decision making processes.

Enforcement of equal opportunities has to be secured in the project design in order to promote the integration of ethnic minorities and ensure their participation in decision-making processes in line with project activities and expected results.

- c) Integration of persons with physical and mental disabilities.

Enforcement of equal opportunities has to be secured in the project in order to promote integration of persons affected by disabilities and in securing their participation in project activities (e.g. accessibility to buildings and project sites) and in decision-making processes in line with project activities and expected results.

- d) Safeguard and promotion of children’s rights and promotion of children’s participation in decision-making processes.

The project should involve children as relevant stakeholders where and if appropriate (e.g. in case the specific project objective is in a sector mainly relating to children’s needs, such as education, health, sports and culture, but also in sectors in which the project can indirectly influence their lives).

- e) Democratic standards, anti-discriminatory practices and good governance.

Activities and operations cannot set up barriers in relation to religion or belief, age, gender, sexual orientation, political affiliation, racial or ethnic origin particularly regarding employment and HR policy pursued towards persons who will be employed within the projects implemented under this grant scheme. Actions must secure a wide public participation and consultation, where appropriate, throughout project activities. This may include setting up consultative processes in developing strategies/policies; executing infrastructural works; ensuring inclusion of target groups and a wide range of different stakeholders.

- f) Protection of environment and preservation of natural resources and biodiversity.

The project needs to describe how it will contribute to a better environment or otherwise have a neutral impact on the environment. The concept of environment involves not only issues of pollution, but issues sustainable development (e.g. waste supply chain management and recycling), nature protection and biodiversity, renewable energy, etc.

Please note that mainstreaming cross-cutting issues will be scored in the evaluation methodology of this call as formulated in Section 2.3 below.

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

The overall indicative amount made available under this call for proposals is EUR 2,280,000.00. 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 specific objective/lot:

Specific objective/Lot	Allocation
<b>1. Enhanced access to the labour market and the environment for new employment generation</b>	<b>€ 880,000.00</b>
<b>2. Improved risk prevention and management and climate change mitigation and adaptation</b>	<b>€ 1,400,000.00</b>
<b>Total</b>	<b>€ 2,280,000.00</b>

The applications will compete with each other for the financial resources available within each lot separately.

If the allocation indicated for a specific objective or lot cannot be used due to insufficient quality or number of proposals received, the contracting authority reserves the right to reallocate the remaining funds to that/those application/s being higher-in the ranking of the sole reserve list irrespective of the specific objective or lot.

When the remaining funds per lot will not allow financing another application, the evaluation committee may recommend to the contracting authority to pool these funds and award a grant to the application or applications with the highest scores in the ranking of the sole reserve list irrespective of the specific objective or lot.

### Size of grants

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

<b>Specific objective / Lot</b>	<b>Minimum amount of EU-funded grant</b>	<b>Maximum amount of EU-funded grant</b>
1. Enhanced access to the labour market and the environment for new employment generation.	EUR 200,000.00	EUR 400,000.00
2. Improved risk prevention and management and climate change mitigation and adaptation.	EUR 300,000.00	EUR 500,000.00

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

- Minimum percentage: 20% 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).

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 general budget of the Union or the European Development Fund<sup>3</sup>.

Please note that for applicants which are non-governmental organisations effectively established in Montenegro, their Ministry of Public Administration may provide a co-financing in accordance with the Regulation of the Government of Montenegro on the procedure of co-financing projects and programmes of non-governmental organizations supported by the European Union ("Službeni list Crne Gore", No. 064/18 of 04.10.2018), which can be found on the website of the Ministry: [www.mju.gov.me](http://www.mju.gov.me). For the applicants effectively established in Bosnia and Herzegovina, there is no information on existence of a similar co-financing possibility at the moment of the publication of the Call.

### **SUSPENSIVE CLAUSE**

The present call for proposals is launched with a "suspension clause" (reference Section 2.6.12 of the practical guide).

The conclusion of contracts with applicants resulting from this call for proposals is subject to the fulfilment of the following condition:

The signature of the Financing Agreements between the European Commission and the Government of Bosnia and Herzegovina and the Government of Montenegro concerning the Cross-border Programme for Bosnia and Herzegovina-Montenegro under IPA II for the year 2020.

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

## 2. RULES FOR THIS CALL FOR PROPOSALS

These guidelines set out the rules for the submission, selection and implementation of the actions financed under this call, in conformity with the practical guide, which is applicable to the present call (available on the internet at this address <http://ec.europa.eu/europeaid/prag/document.do?locale=en>)<sup>4</sup>.

### 2.1. ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

(1) the actors:

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

(2) the actions:

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

(3) the costs:

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

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

##### **Lead applicant**

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

- be a legal person, **and**
- be non-profit-making, **and**
- be effectively established<sup>5</sup> in either Bosnia and Herzegovina or Montenegro, **and**

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<sup>4</sup> 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.

<sup>5</sup> To be determined on the basis of the organisation's statutes, which should demonstrate that it has been established by an instrument governed by the national law of the country concerned and that its head office is located in an eligible country. The effective establishment of applicants should be proved not only with the statutes but with the registration certificate. In this respect, any legal entity whose statutes have been established in another country cannot be considered an eligible local organisation, even if the statutes are registered locally or a 'Memorandum of Understanding' has been concluded.

- 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 one of the following institutions or organisations:
  - Lot 1: business development organisations, business associations, employment offices and economic development departments in regional and local governments, high education institutions, vocational education and training institutions, social partners and civil society organisations.
  - Lot 2: Central and regional authorities/institutions with relevant competencies/responsibilities in the eligible area, local governments and their institutions; development agencies; organisations (including NGOs) for nature protection and climate change; public bodies responsible for fire/flood/emergency services, and environmental emergency services.

(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 this respect, provisionally selected lead applicants, co-applicants and affiliated entities are obliged to declare that they are not in one of the exclusion situations through a signed declaration on honour (Annex H) to be sent together with the full application. For grants of EUR 60 000 or less, no declaration on honour is required.

In Section 2 of the Annex A.1 ‘concept note’ and Section 5.1 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 (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 one co-applicant** as specified hereafter.

If the applicant is established in Bosnia and Herzegovina, at least one co-applicant must be established in Montenegro, and vice versa.

**The number of co-applicants that could be involved in the action is not limited.** However, CBC partners must 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 action (see Section 2.1.4 below).

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

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-applicant(s) must satisfy the eligibility criteria as applicable to the lead applicant himself<sup>6</sup>.**

**Co-applicant(s) must sign the mandate in Section 5.2 of Annex A.2 ‘full application form’.**

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

(3) 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<sup>7</sup>.

### **2.1.2. *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.

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<sup>6</sup> In line with the cross-border nature of the programme, please note that the nationality of the lead applicant (either country A or B) automatically determines the nationality of at least one co-applicant (country B if the lead applicant is effectively established in country A or country A if the lead applicant is effectively established in country B).

<sup>7</sup> The updated lists of sanctions are available at [www.sanctionsmap.eu](http://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.

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 5.3 of Annex A.2 ‘full application form’.

### ***2.1.3. 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 Section 4 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.

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

##### Definition:

An action is composed of a set of activities.

##### Duration

The initial planned duration of an action or operation will meet the following requirements depending on the programme's specific objective addressed by the application, namely:

<b>Specific objective / Lot</b>	<b>Minimum number of months</b>	<b>Maximum number of months</b>
1. Enhanced access to the labour market and the environment for new employment generation.	12	30
2. Improved risk prevention and management and climate change mitigation and adaptation	12	24

##### Sectors or themes

As stipulated in Section 1.2 above, actions or operations will fall under only one of the following specific objectives and will have to prove their contribution to attain one or more of their intended results:

<b>SPECIFIC OBJECTIVES/LOT</b>	<b>RESULTS</b>
1. The access to the labour market and the environment for new employment generation are enhanced	1.1 Advisory support to and skills of the employment seeking population in the cross border area are advanced
2. Risk prevention and management and climate change mitigation and adaptation are improved	2.1 The capacity of emergency services for risk prevention and mitigation and adaptation measures to deal with consequences of climate change disasters is strengthened

In their application, the lead applicant and its co-applicant(s) will have to refer the programme'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<sup>8</sup> that will be instrumental to measure the action's success. For the sake of consistency and aggregation, applicants must have the same units to quantify their output, outcome and impact indicators in line with the programme output, outcome and impact indicators.

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<sup>8</sup> Please see recommendation no. 30 of the final report of the 2007-2013 CBC evaluation :

[https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/final\\_approved\\_evaluation\\_report\\_0.pdf](https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/final_approved_evaluation_report_0.pdf)

[https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/follow\\_up\\_action\\_plan\\_ipa\\_cbc\\_evaluation.pdf](https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/follow_up_action_plan_ipa_cbc_evaluation.pdf)

The following **illustrates**<sup>9</sup> the list of indicators that the applicants will have to include, where appropriate, to estimate the project's contribution to the programme's objectives:

**Programme specific objective: The access to the labour market and the environment for new employment generation are enhanced**

IMPACT INDICATORS	Number of businesses still active after two years of their establishment (to be disaggregated by gender and type of vulnerable group of the entrepreneur)
	Number of new services available in the market one year after the project ends
	Number of the unemployed people going through CBC initiatives (to be disaggregated by gender and type of vulnerable group)
	Percentage of the unemployed people going through CBC initiatives who manage to get a job (to be disaggregated by gender, age and type of vulnerable group)
	Percentage of people trained in rural areas who manage to find employment and decide not to move to the cities (to be disaggregated by gender and type of vulnerable group)
OUTCOME INDICATORS	Number of occupational standards and training programmes accredited and validated by relevant institutions in participating countries
	Percentage of increase in the number of unemployed that enter in the training programmes in Vocational Training Centres (VTCs) (to be disaggregated by gender and type of vulnerable group)
	Number of unemployed that enter in the training programmes in VTCs (to be disaggregated by gender and type of vulnerable group)
	Number of trained beneficiaries who start practicing the collection, processing, cultivation and commercialisation of forest-grown fruits and medical herbs (to be disaggregated by age, gender and type of vulnerable group)
	Number of the people being final beneficiaries of the actions registered as active job seekers (to be disaggregated by gender and type of vulnerable group)
OUTPUT INDICATORS	Number of new business development and employment generation initiatives launched and supported
	Number of people trained in rural areas with the aim of increasing their employability (to be disaggregated by gender and type of vulnerable group)
	Number of professionals from labour promotion institutions that participate in capacity building activities (to be disaggregated by gender and type of vulnerable group)
	Number of capacity building events organised (to be disaggregated by type of event: trainings, workshops, seminars, other)
	Number of participants in capacity building events organised (to be disaggregated by type of event, type of vulnerable group and gender)

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<sup>9</sup> The list of Programme indicators is enclosed to this Call .

**Programme specific objective : Climate change adaptation and mitigation measures and risk prevention and management measures are improved**

IMPACT INDICATORS	Number of new services available in the market one year after project ends
	Percentage of decrease in response time of the emergency services confronted with a crisis caused by manmade hazards and natural disasters
	Percentage of the population in the eligible area has been reached by an information campaign
	Percentage of population in the programme area having direct or indirect benefits as a result of the operation undertaken
	Number of new jobs created in relation to prevention or management of disasters (including self-employment initiatives) (to be disaggregated by gender and type of vulnerable group)
OUTCOME INDICATORS	Number of emergency services from both sides of the border with increased capacities through joint initiatives
	Area covered by joint risk measures / management plans for prevention of risks and man-made hazards (ha)
	Number of strategies and action plans adopted on prevention and mitigation of manmade hazards and natural disasters
	Number of joint risk management measures included in the routine of relevant bodies in the cross-border area
	Number of departments within the public administration equipped for improved cross-border management of disasters and dealing with climate change
OUTPUT INDICATORS	Number of inter-sectoral (local authorities-CSOs-private sector-public agencies-research and educational institutions) partnerships implementing this type of projects
	Number of capacity building events organised (to be disaggregated by type of event: trainings, workshops, seminars, other capacity building events)
	Number of information/promotion events organised (to be disaggregated by type of event: conferences, exhibitions, fairs, other types of events)
	Number of participants in information/promotion events (to be disaggregated by type of event, type of vulnerable group and gender)
	Number of sets of equipment purchased and made available to target groups

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<sup>10</sup>.

Applicants are advised that according to the provisions of the Article 4. of the special conditions of the grant contract they will quarterly have to report on the achievement of indicators. These reports will be submitted at regular intervals on 31 March, 30 June, 30 September and 31 December every year all along the period of implementation and then upon the submission of the final report, through an information system. The JTS of the programme will be available for technical support while using this information system and will carry out a sort of verification of the submitted data.

**Baseline data surveys:** All applicants are advised to devote some time 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. Applicants are reminded that expenses such as these, related to the preparation of the application, are ineligible. However, during the period of implementation of the action, the expertise costs associated to the launch of surveys (particularly recommendable for qualitative indicators) and the collection and analysis of statistics to refine or amend the baseline data of the operation indicators may be eligible. The contracting authority strongly recommends that the applicants envisage an amount in the budget for this purpose.

### Location

Actions or operations must have as final beneficiaries the population of the programme area. They must take place in one or more of the following territorial units:

- For Bosnia and Herzegovina: Jablanica, Konjic, Trnovo, Trnovo RS, Pale, Pale (FBiH), Novo Goražde, Goražde, Čajniče, Foča (FBiH), Kalinovik, Rudo, Višegrad, Rogatica, Foča, Gacko, Nevesinje, Mostar, Hadžici, Ist. Ilidža, Ilidža, Široki Brijeg, Ljubuški, Čapljina, Čitluk, Stolac, Berkovići, Bileća, Ljubinje, Neum, Ravno, Istočni Mostar, Trebinje, Prozor/Rama, Kupres, Kupres (RS), Tomislavgrad, Posušje, Grude, Livno, Sokolac, Istočno Novo Sarajevo, Sarajevo Novi Grad, Vogošća, Sarajevo Stari Grad, Sarajevo Istočni Stari Grad, Ilijaš, Vareš, Breza, Visoko, Kiseljak, Fojnica, Kreševo, Centar Sarajevo, Novo Sarajevo, Olovo.
- For Montenegro: Pljevlja, Plužine, Žabljak, Šavnik, Nikšić, Herceg Novi, Kotor, Tivat, Bijelo Polje, Mojkovac, Kolašin, Berane, Petnjica, Danilovgrad.

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<sup>10</sup> This should be carefully treated as the general rule is that **any alteration to the successful applicant's proposal, or negotiation of it, is prohibited.**

As stated in the PRAG (Section 6.5.10.2. Contract preparation and signature), "the contracting authority may decide that other clarifications or minor corrections may be made to the description of the action or to the budget in so far as they do not call into question the grant award decision, do not conflict with equal treatment of applicants, and:

- relate to matters clearly identified by the evaluation committee; or
- aim at taking into consideration changes which have occurred since the date of receipt of the proposal.

Any other alteration to the successful applicant's proposal, or negotiation of it, is prohibited".

## Types of action

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 Bosnia and Herzegovina and/or Montenegro;
- have cross-border impacts and benefits in parts of the programme area of Bosnia and Herzegovina and Montenegro;
- 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 either joint staffing and/or joint financing of activities by the partners resulting in the intensification of neighbourly relations, sustainable partnerships for socio-economic development and/or the removal of obstacles to this development.**

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;
- preparatory studies or preparation of preliminary design for works to be carried out within the project;
- actions without a real cross-border impact;
- actions linked to political parties;
- actions including commercial and profit-making activities<sup>11</sup>;

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<sup>11</sup> 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.

- 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

Indicative types of activities which may be financed under this call for proposals are given below. The following list is not exhaustive and appropriate innovative activities that are not mentioned below may also be considered for financing when they can clearly contribute to the achievement of the call's specific objectives and results. By way of illustration applications could contain a range of the following activities in relation to the programme's results targeted in the call:

**Specific Objective 1:** The access to the labour market and the environment for new employment generation are enhanced

Result:

1.1 Advisory support to and skills of the employment seeking population in the cross border area are advanced

List of activities:

- Identifying labour and skills shortages and establishing efficient labour market information systems;
- Development of vocational training and non-formal and life-long learning programmes;
- Vocational training, non-formal and life-long education activities;
- Internships in existing companies, trades and crafts;
- Introduction of practical curriculum into educational and adult-education institutions;
- Identifying and matching the skills training with real private sector needs;
- Provision of careers advice and guidance services;
- Public private consultations and dialogue aimed at detecting employment opportunities and reducing business barriers;
- Identifying and promoting viable public private partnerships and business linkage schemes with strong potential for generating new employment opportunities;
- Promoting and enhancing business innovation skills for creation of new employment opportunities;
- Organization of joint Job fairs / roundtables/ public education/ promotional events or campaigns;
- Promotion of self-employment activities, including:  
Small-scale demonstration projects on renewable energy use;  
Small-scale infrastructure works and procurement of equipment.

**Specific Objective 2.:** Risk prevention and management and climate change mitigation and adaptation are improved

Result:

2.1 The capacity of emergency services for risk prevention and mitigation and adaptation measures to deal with consequences of climate change disasters is strengthened

List of activities:

- Training and capacity building of environmental emergency services, including for undertaking joint cross border emergency prevention, rescue and recovery actions;
- Upgrading / equipping and improving operational procedures of environmental emergency services;
- Exchange of experiences and best practices among stakeholders in improving risk prevention and managements and climate change mitigation and adaptation capabilities;
- Joint risk management activities (fire, flooding, pollution, etc.)
- Small infrastructure works, ensuring that climate-resilience measures are in place.

## Financial support to third parties<sup>12</sup>

Applicants may not propose financial support to third parties. In other words, sub-granting is not allowed under this call for proposals.

## 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 2018 Communication and Visibility Requirements for EU External Actions: [http://ec.europa.eu/europeaid/funding/communication-and-visibility-manual-eu-external-actions\\_en](http://ec.europa.eu/europeaid/funding/communication-and-visibility-manual-eu-external-actions_en)).

## Number of applications and grants per applicants / affiliated entities:

The lead applicant may not submit more than 1 application per lot under this call for proposals.

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

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

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

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

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

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

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

- actual costs incurred by the beneficiaries 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.

Simplified costs options (SCOs) are divided in two categories:

1. "output or result based SCOs": this category includes costs linked to outputs, results, activities, deliverables in the framework of a specific project (for example the determination of a lump sum for the organization of a conference, or for the realisation of a determined output/activity). Where possible and

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<sup>12</sup> These third parties are neither affiliated entity(ies) nor associates nor contractors.

appropriate, lump sums, unit costs or flat rates shall be determined in such a way to allow their payment upon achievement of concrete outputs and/or results. This type of SCO can be proposed by the Beneficiary (no threshold is applicable) at proposal's stage. In case the evaluation committee and the contracting authority are not satisfied with the quality of the justification provided reimbursement on the basis of actually incurred costs is always possible.

2. "Other SCOs". This second category, which is only applicable to pillar assessed entities, entails simplified cost options embedded in the accounting practices of the beneficiary, for which an ex-ante assessment is deemed necessary, considering the need of a consistent application of the conditions required. In order to enable the use of these SCOs, the beneficiary's cost accounting practices need to have been positively assessed by an audit firm based on standard ToRs provided by the Commission. To obtain reimbursement of this category of SCOs, the beneficiary shall make reference to the previously obtained ex-ante assessment in the budget justification sheet (annex B).

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). Determining SCO is possible also through 'expert judgement' provided by internally available experts or procured in accordance with the applicable rules. Experts must be either commissioned auditors or chartered accountants, or staff of the Commission but cannot be staff of the beneficiary. 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 cost 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 the details of the procedure to be followed depending on the type and amount of the costs to be declared as SCO.

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', '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 for output or result based SCO.
- clearly explain the formulas for calculation of the final eligible amount for output or result based SCO<sup>13</sup>
- make reference to the previously obtained ex-ante assessment for other SCOs.

In case of output or result based SCOs the evaluation committee and the contracting authority decide 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. In case the evaluation committee and the contracting authority are not satisfied with the quality of the justification provided reimbursement on the basis of actually incurred costs is always possible.

No threshold is set ex-ante for the total amount of financing that can be authorised by the contracting authority on the basis of simplified cost options. Other SCOs can be declared only if previously successfully ex-ante assessed.

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<sup>13</sup> Examples:- for staff costs: number of hours or days of work \* hourly or daily rate pre-set according to the category of personnel concerned;- for travel expenses: distance in km \* pre-set cost of transport per km; number of days \* daily allowance pre-set according to the country;- for specific costs arising from the organization of an event: number of participants at the event \* pre-set total cost per participant etc.

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).

**Salary costs of the personnel of national, regional or local administrations, as well as those of other publicly owned or controlled institutions or enterprises**, may be eligible to the extent that they relate to the cost of activities which the relevant public authority would not carry out if the action or operation were not undertaken.

**This personnel shall not receive for the engagement in the project activities any other remuneration than their standard, regular salaries in their respective institutions.**

**The total sum of the salaries of this personnel shall not exceed the amount of co-financing provided by the applicant, co-applicant(s) and affiliated entity(ies).**

Prior to the signature of a grant contract, the contracting authority may require from the relevant beneficiaries the appointment of these staffers by their authorised representative in writing (indicating their names, project function and gross salaries).

Please note that this does not apply to professional staff recruited by the national, regional or local administrations, as well as other publicly owned or controlled institutions or enterprises, for the sole purpose of managing this project resulting from the grant award.

#### 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 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 normally not eligible costs.

As an exception, contributions in kind may include personnel costs for the work carried out by volunteers under an action or work programme (which are eligible costs).

Contributions in kind from third parties in the form of volunteers' work, valued on the basis of unit costs defined and authorised by the contracting authority, shall be presented in the estimated budget, separately from the other eligible costs (i.e. as an accepted costs together with other contributions in kind).

Volunteers' work may comprise up to 50 % of the co-financing. For the purposes of calculating this percentage, contributions in kind in the form of volunteers' work must be based on the unit cost provided by the contracting authority. This type of costs must be presented separately from other eligible costs in the estimated budget. The value of the volunteer's work must always be excluded from the calculation of indirect costs.

When the estimated costs include volunteers' work, the grant shall not exceed the estimated eligible costs other than the costs for volunteers' work.

Other co-financing shall be based on estimates provided by the applicant.

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<sup>14</sup>:

- 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;
- purchase of land and existing buildings. However, purchases of land not built on and land built on in the amount up to 10 % of the total eligible expenditure for the operation concerned shall be eligible for funding if it is justified by the nature of the action and provided in the annual action programme, 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;
- in kind contributions (except for volunteers' work);
- salary costs of the personnel of national administrations, unless otherwise specified in the special conditions and only to the extent that they relate to the cost of activities which the relevant public authority would not carry out if the action were not undertaken;
- performance-based bonuses included in costs of staff;
- fines, financial penalties and expenses of litigation;
- import duties, Value Added Tax and other indirect taxes and levies having equivalent effect.

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<sup>14</sup> The list takes into account the provisions of Section 1.5 of the standard PRAG 2020 template for the guidelines for applicants, the provisions of Article 14.11 of the general conditions for grant contracts (PRAG version 2020), the provisions of Article 6 of the annex II – general conditions of the IPA II financing agreement, Article 15(2)(a) of the IPA II implementing regulation (447/2014) and the provisions of Article 28(1) of the Framework Agreement for IPA II.

## **Ethics Clauses and Code of Conduct**

### (a) 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.

### (b) 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.

### (c) 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.

### (d) 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.

### (e) 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 substantial breach of obligations, irregularities or fraud. If substantial breach of obligations, irregularities or fraud are discovered after the award of the contract, the contracting authority may refrain from concluding the contract.

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

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

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

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

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

- II. Provide information about the action in the documents listed under Sections 2.2.1 (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 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](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’<sup>15</sup> 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](mailto:EuropeAid-IT-support@ec.europa.eu) via the online support form in PROSPECT.

### **2.2.1. Concept note content**

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

**Applicants must apply in English.**

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

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<sup>15</sup> Which corresponds to sections 3 and 4 of the Annex A.2 ‘full application form’.

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 the Section 2.1.1 of the grant application form.

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

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

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

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

Hand-written concept notes will not be accepted.

### **2.2.2. Where and how to send concept notes**

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

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

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

- a. One original of the concept note. The signed declaration by the lead applicant (Annex A.1 Section 2) must be printed and stapled separately and enclosed in the envelope.
- b. One additional copy in A4 size, each bound.
- c. An electronic version (CD-Rom or a USB stick) of the items under point (a). The electronic file must contain **exactly the same** application as the paper version enclosed.

The envelope must bear the **reference number and the title of the call for proposals**, together with the lot number and title, the full name and address of the lead applicant, and the words 'Not to be opened before the opening session' and "Ne otvarati prije pocetka evaluacije".

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.

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

#### Postal address

Delegation of the European Union to Bosnia and Herzegovina

Procurement team

Finance, Contracts and Audit Section

Skenderija 3A

71000 Sarajevo, Bosnia and Herzegovina

Address for hand delivery or by private courier service

Delegation of the European Union to Bosnia and Herzegovina

Procurement team

Finance, Contracts and Audit Section

Skenderija 3A

71000 Sarajevo, Bosnia and Herzegovina

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

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

### ***2.2.3. Deadline for submission of concept notes***

The deadline for the submission of concept notes is **9<sup>th</sup> February 2021 at 16:00** (Brussels date and time). In order to convert this deadline to local time you can use any online time converter tool that takes into account timezones and winter/summer time changes (example available [here](#))<sup>16</sup>. **The lead applicant is strongly advised not to wait until the last day to submit** its concept note, since heavy Internet traffic or a fault with the Internet connection (including electricity failure, etc.) could lead to difficulties in submission. The Contracting Authority cannot be held responsible for any delay due to such afore-mentioned difficulties.

In the exceptional case of submission by post or by hand delivery (see section 2.2.2), the date of submission is evidenced by the date of dispatch, the postmark or the date of the deposit slip. In the case of hand-deliveries, the deadline for receipt is at 16.00 hours local time <sup>17</sup>as evidenced by the signed and dated receipt.

Any concept note submitted after the deadline will be rejected.

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

### ***2.2.4. Further information about concept notes***

Information sessions on this call for proposals will be held online on **12<sup>th</sup> January 2021 at 11.00**.

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-bosnia-and-herzegovina-cfp@eeas.europa.eu](mailto:delegation-bosnia-and-herzegovina-cfp@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.

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<sup>16</sup> For example: <http://www.timeanddate.com/worldclock/converter.html>.

<sup>17</sup> Please use an online time converter tool, such as the one presented in the footnote above.

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 contracting authority [https://europa.ba/?page\\_id=320](https://europa.ba/?page_id=320) and that of the programme [www.cbc.bih-mne.org](http://www.cbc.bih-mne.org), as the need arises. 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](mailto: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.

Please note that the contracting authority may decide to cancel the call for proposals procedure at any stage according to the conditions set out in Section 6.5.9 of the PRAG.

### **2.2.5. Full applications**

Lead applicants invited to submit a full application following pre-selection of their concept note must do so using Annex A.2 ‘full application form’ annexed to these guidelines. 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. These elements are:

- The number and title of the specific objective of the call under which the concept note was submitted;
- the objective(s) of the action;
- its intended results;
- **its target groups and final beneficiaries.**

**The EU contribution in the full application must not vary from the initial estimate in the concept note 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 the Section 2.1.1 of the grant application form.

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 the co-applicant(s) nor from (if any) affiliated entity(ies).

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 (Annex A.2, Instructions of the full 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.2) 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 (if any) affiliated entity.**

No additional annexes being part of the application package should be sent by the applicant. However, when the application includes the undertaking of works, please refer to the provisions under paragraph 7 of section 2.4 of these guidelines which deals with specific supporting documents that must be submitted with the full application.

### **2.2.6. Where and how to send full applications**

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

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

Please note what to do in the following two cases below:

- (a) If the lead applicant submitted the concept note by post / hand delivery (see Section 2.2.2) it must send the full application by the same means (by post or hand delivery);
- (b) If the lead applicant submitted the concept note online via PROSPECT, but it is technically impossible for the organisation to submit the full application online, the lead applicant must send in a sealed envelope, as described below, the following items:
  - a. One original signed copy of the full application form, the budget and the logical framework. The declaration by the lead applicant (Annex A.2, Section 5.1) must be printed and stapled separately and enclosed in the envelope.
  - b. One additional copy in A4 size, each bound.
  - c. An electronic version (CD-Rom or a USB stick) of the items under point (a). The electronic file must contain exactly the same application as the paper version enclosed.

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

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

#### Postal address

Delegation of the European Union to Bosnia and Herzegovina

Procurement team  
Finance, Contracts and Audit Section  
Skenderija 3A  
71000 Sarajevo, Bosnia and Herzegovina

Address for hand delivery or by private courier service

Delegation of the European Union to Bosnia and Herzegovina  
Procurement team  
Finance, Contracts and Audit Section  
Skenderija 3A  
71000 Sarajevo, Bosnia and Herzegovina

The envelope must bear the **reference number and the title of the call for proposals**, together with the number and title of the lot, the full name and address of the lead applicant, and the words 'Not to be opened before the opening session' and "Ne otvarati prije pocetka evaluacije".

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

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

**2.2.7. *Deadline for submission of full applications***

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

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

In the case of submission by post, (see Section 2.2.6), the date of submission is evidenced by the date of dispatch, the postmark or the date of the deposit slip. In the case of hand-deliveries, the deadline for receipt is at 16.00 hrs as evidenced by the signed and dated receipt.

Any application submitted after the deadline will be rejected.

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

**2.2.8. *Further information about full applications***

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

E-mail address: [delegation-bosnia-and-herzegovina-cfp@eeas.europa.eu](mailto:delegation-bosnia-and-herzegovina-cfp@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 contracting authority [https://europa.ba/?page\\_id=320](https://europa.ba/?page_id=320) and that of the programme [www.cbc.bih-mne.org](http://www.cbc.bih-mne.org), as the need arises. It is therefore advisable to consult the abovementioned website regularly in order to be informed of the questions and answers published.

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

### **2.3. 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 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 Annex A.1, Instructions of the concept note 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 Annex A.1, Instructions of the concept note 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.

### **Evaluation Grid**

## Evaluation Grid

### Scores

<b>1. Relevance of the action</b>	Sub-score	<b>20</b>
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 constraints of the eligible programme area and/or relevant sector (including synergy with other EU initiatives, in particular with the EU Strategy for the Danube Region and the one for the Adriatic and Ionian Region, as well as avoidance of duplication)?	5	
1.3 How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs 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)? <i>[and the other additional elements indicated under 1.2. of the guidelines for applicants]</i>	5	
<b>2. Design of the action</b>	Sub-score	<b>30</b>
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 interests and 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 children, support to youth, democratic standards and good governance?	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. Lead applicants who, in exceptional cases (see section 2.2), had to submit their application by post or hand-delivery will receive the letter by email or by post if no e-mail address was provided.

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

## **STEP 2: OPENING AND ADMINISTRATIVE CHECK AND 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 (Annex A.2, Instructions of the full 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
<b>1. Financial and operational capacity</b>	<b>20</b>
1.1 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient in-house <u>experience of project management</u> ?	5
1.2 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient in-house <u>technical expertise</u> ? (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 <u>management capacity</u> ? (Including staff, equipment and ability to handle the budget for the action)?	5
1.4 Does the lead applicant have <u>stable and sufficient sources of finance</u> ?	5
<b>2. Relevance</b>	<b>20</b>
<i>Score transferred from the Concept Note evaluation</i>	
<b>3. Design of the action</b>	<b>15</b>
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)? <sup>18</sup>	5
3.2 Does the full application contain objectively verifiable indicators (at impact, outcome and output level)? Are the project indicators likely to contribute to the achievement of programme indicators? Does the full application/logical framework matrix 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
<b>4. Implementation approach</b>	<b>20</b>
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? Does the proposal involve genuine cross-border cooperation	5x2

<sup>18</sup> If the application includes the execution of works and the information included in Section 2.1.1 of the application form will call into question whether all preconditions to undertake works have been met by the applicants, the score of this question will be seriously affected.

(joint development, joint staffing, joint implementation, joint financing)? Are the activities proposed likely to have a clear cross-border benefit and impact?	
<b>5. Sustainability of the action<sup>19</sup></b>	<b>15</b>
5.1 Is the action likely to have a tangible impact on its target groups at cross-border level? Have assumptions and risks been well assessed?	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?: <ul style="list-style-type: none"> <li>- Financially (<i>e.g. financing of follow-up activities, sources of revenue for covering all future operating and maintenance costs</i>)</li> <li>- Institutionally (<i>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?</i>)</li> <li>- At policy level (where applicable) (<i>what will be the structural impact of the action — e.g. improved legislation, codes of conduct, methods</i>)</li> <li>- Environmentally (if applicable) (<i>will the action have a negative/positive environmental impact?</i>)</li> </ul>	5
<b>6. Budget and cost-effectiveness of the action</b>	<b>10</b>
6.1 Are the activities appropriately reflected in the budget? Are the expenses well justified?	/ 5
6.2 Is the ratio between the estimated costs and the expected results satisfactory? Are the costs estimated based on real market prices?	/ 5
<b>Maximum total score</b>	<b>100</b>

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.

#### *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. Please see Section 1.3 above for more details.

**Applications which had obtained less than 70 points as score in the ranking list will not be recommended for funding by the Evaluation Committee.**

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<sup>19</sup> If the project is not able to demonstrate that it will intensify neighbourly relations, create sustainable cross-border partnerships for socio-economic development and/or remove cross-border obstacles to sustainable development, it is unlikely to have a tangible effect, multiplier effects or sustainable results, and hence should be marked to zero, irrespective of any other merits of the proposal.

## **(2) 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 5 of Annex A.2 ‘full 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 and 2.1.2.

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. Please see the provisions of Section 1.3 above for more details.

## 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, of the co-applicant(s) and (if any) of their affiliated entity(ies)<sup>20</sup>:

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

1. The statutes or articles of association of the lead applicant, (if any) of each co-applicant and (if any) of each affiliated entity<sup>21</sup>. 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<sup>22</sup>. This obligation does not apply to international organisations which have signed a framework agreement with the European Commission.
2. 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.

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

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.

4. 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)<sup>23</sup>. A copy of the latest account is neither required from the co-applicant(s) nor from (if any) affiliated entity(ies).
5. 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 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.
6. 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

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20 No supporting document will be requested for applications for a grant not exceeding € 60,000.

21 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.

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

23 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.

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.

**7. 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:**

- a. 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;
- b. 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;

**8. Furthermore, when an operation contains the execution of works, the following supporting documents shall be submitted before the contract signature:**

- a. All necessary legal authorisations (e.g.: location and construction permits).
- b. 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;
- c. An indicative priced bill of quantities drawn not earlier than 2 years prior to the deadline for submission of full applications – calculated in euro.

**9. The lead applicant as well as all co-applicants and affiliated entities shall fill in and sign the declaration on honour (Annex H) certifying that they are not in one of the exclusion situations (see Section 2.6.10.1 of the PRAG).**

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 or in 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 (with the exception of those submitted for operations containing the execution of works<sup>24</sup>) 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

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<sup>24</sup> Where appropriate, submitted together with the full application form.

submission of the missing documents allowing for its conversion into co-applicant. If all the missing documents for co-applicants are submitted, and provided all necessary eligibility criteria are fulfilled, the above mentioned entity becomes a co-applicant for all purposes. The lead applicant has to submit the application form revised accordingly.

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

### 2.5.1. Content of the decision

The lead applicants will be informed in writing of the contracting authority's decision concerning their application and, if rejected, the reasons for the negative decision. This letter will be sent by e-mail and will appear online automatically in the PROSPECT profile of the user who submitted the application. 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 2.12 of the practical guide.

### 2.5.2. Indicative timetable

	DATE	TIME
<b>1. Information meeting (if any)</b>	12 January 2021	11.00
<b>2. Deadline for requesting any clarifications from the contracting authority</b>	19 01 2021	-
<b>3. Last date on which clarifications are issued by the contracting authority</b>	29 01 2021	-
<b>4. Deadline for submission of concept notes</b>	09 02 2021	16:00
<b>5. Information to lead applicants on opening, administrative checks and concept note evaluation (Step 1)</b>	14 05 2021	-
<b>6. Invitations to submit full applications</b>	14 05 2021	-
<b>7. Deadline for submission of full applications and, where appropriate, supporting documents for the execution of works</b>	30 06 2021	-
<b>8. Information to lead applicants on the evaluation of the full applications (Step 2)</b>	15 09 2021	-
<b>9. Notification of award (after the eligibility check) (Step 3)</b>	15 10 2021	-
<b>10. Contract signature</b>	15 11 2021	-

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 [www.cbc.bih-mne.org](http://www.cbc.bih-mne.org) and the contracting authority [https://europa.ba/?page\\_id=320](https://europa.ba/?page_id=320).

## **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 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 ).

### 3. LIST OF ANNEXES

#### DOCUMENTS TO BE COMPLETED

- Annex A.1: Concept note application form (Word format)  
Annex A.2: Full application form (Word format)  
Annex B: Budget (Excel format)  
Annex C: Logical framework (Word format)  
Annex D: Legal entity sheet<sup>25</sup>  
Annex E: Financial identification form  
Annex F: Organisation data form (*ONLY IF IMPOSSIBLE TO REGISTER IN PADOR*)

#### DOCUMENTS FOR INFORMATION

- Annex G: Standard grant contract
- Annex II: General conditions
  - Annex IV: Contract award rules
  - Annex V: Standard request for payment
  - Annex VI: Model narrative and financial report (incl. the detailed breakdown of expenditure)
  - 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: Declaration on Honour
- Annex I: 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](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 for simplified cost options.
- Annex L: Programme Indicators for TP1 and TP2

#### Useful links:

##### **Project Cycle Management Guidelines**

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

##### **The implementation of grant contracts**

##### **A Users' Guide**

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

##### **Financial Toolkit**

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

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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<sup>25</sup> Only applicable where the European Commission will make the payments under the contracts to be signed.