



Contracting authority: European Commission

European Instrument for Democracy and Human Rights (EIDHR):
Bosnia and Herzegovina - Country Based Support Scheme 2019-2020

Guidelines for grant applicants

Budget line(s): 21.040100

Reference:
EuropeAid/168566/DD/ACT/BA

Deadline for submission¹ of concept note:

28/04/2020 at 16:00 (Brussels date and time)

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

NOTICE

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

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

All organisations 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 PROSPECT².

² If PROSPECT is unavailable, the IT support can also be reached via email: EuropeAid-IT-support@ec.europa.eu

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1. EUROPEAN INSTRUMENT FOR DEMOCRACY AND HUMAN RIGHTS (EIDHR): BOSNIA AND HERZEGOVINA - COUNTRY BASED SUPPORT SCHEME 20190-2020

1.1. BACKGROUND

The European Instrument for Democracy and Human Rights (EIDHR) is a European Union programme that aims to promote democracy and human rights worldwide through support to civil society initiatives. The EIDHR was adopted by the European Parliament and the Council in March 2014 (Regulation No. 235/2014) for the period 2014-2020 by replacing and building upon the EIDHR (2007-2013) and the European Initiative for Democracy and Human Rights (2000-2006).

This instrument is designed to support civil society to become an effective force for political reform and defence of human rights. In doing this, it complements the geographical programmes, which focus on public institution-building. The EIDHR offers independence of action, which is a critical feature of cooperation with civil society organisations at national level, especially in the sensitive areas of democracy and human rights. It offers a great flexibility and an increased capacity to respond to changing circumstances or to support innovation. The EIDHR has considerable independence of action since it does not need the consent of the governments of the countries concerned for the financing of activities.

The EIDHR is global in scope. It operates at national, regional and international levels and supports actions carried out in third countries outside the European Union, throughout the world. The EIDHR regulation defines five main objectives:

- 1) Support to Human Rights and Human Rights Defenders in situations where they are most at risk;
- 2) Support to other EU Human Rights Priorities with main focus on protecting human dignity including abolition of the death penalty, eradication of torture and other cruel, inhuman or degrading treatment or punishment, support to a comprehensive approach to rehabilitation and prevention activities, protection and promotion of children's rights, protection of women's rights, fighting discrimination in all its forms, fighting against impunity, promotion and protection of freedom of religion or belief, promotion of economic, social and cultural rights, promotion of the respect for international humanitarian law;
- 3) Support to Democracy;
- 4) Support to EU Election Observation Missions;
- 5) Support to targeted key actors and processes, including international and regional human rights instruments and mechanisms.

For the period 2018-2020, the EIDHR Multi Indicative Programme and Multi-Annual Action Plan describes the evolving global context and the shrinking civic, democratic and civil society space. This particular call for proposals will mainly work on the objectives 1, 2 and 3.

In the context of the pre-accession process, the focus of the EIDHR is on the role of the CSOs with an emphasis on areas linked to the Copenhagen political criteria. By doing so, EIDHR complements support brought under other instruments. This search for complementarity is fully in line with the Council Conclusions on Democracy Support Agenda for Action.

On the broadest scale, the action will contribute to the realisation of the UN Sustainable Development Goal (SDG) as a whole, and in particular number 16 by promoting peaceful and inclusive societies for sustainable development, access to justice for all and building effective, accountable and inclusive institutions. It is expected to further also the SDG 5 (achieve gender equality and empower all women and girls) and 10 (reduce inequality within and among countries).

1.2. OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

The **overall objective** of this action is to support and strengthen civil society organisations, democracy activists and human rights defenders working on critical human rights and democracy issues in Bosnia and Herzegovina.

The **specific objective(s)** are to:

- Support human rights defenders and civil society in countering **systematic, widespread, and gross human rights violations and attacks against fundamental freedoms.**

A focused attention shall be given to addressing the shrinking civic, democratic and civil society space and most marginalised, stigmatised and isolated human rights defenders, such as LGBTI or indigenous peoples' rights activists, and organisations working on the most sensitive human rights issues in the country.

- Support civil society in furthering **EU human rights priorities** in Bosnia and Herzegovina

This objective will tackle fight against death penalty and torture/ill treatment, fight against discrimination in all its forms with a focus on women and the most vulnerable groups (LGBTI, indigenous peoples, children, migrants/refugees/IDPs, stateless people and other discriminated groups and minorities), promotion of freedom of religion or belief, economic, social and cultural rights (including the responsibility of business), fight against impunity and promotion of accountability, and upholding of **international humanitarian law and the responsibility to protect.**

- Support civil society in strengthening **democracy** in Bosnia and Herzegovina

This objective will include promotion and protection of fundamental freedoms (in particular freedom of expression, freedom of assembly and association), actions aiming at strengthening pluralism in political life and fostering the participation of citizens in decision-making, actions tending to increase accountability, oversight and transparency, and civil society activities related to elections and follow-up to election observation missions.

Proposals and projects funded under this action will have to be designed and implemented according to the **rights-based approach** methodology, as outlined in the 2014 [Tool-box](#) "a Rights-Based Approach, encompassing all human rights, for EU development cooperation"³ and the respective [Council Conclusions](#).

[This action shall also contribute to](#) the implementation of the **EU Gender Action Plan II**⁴ [and include disaggregated data by sex as well as gender sensitive indicators to the extent possible.](#)

On the broadest scale, the action will contribute to the realisation of the UN Sustainable Development Goal (SDG) as a whole, and in particular number 16 by promoting peaceful and inclusive societies for sustainable development, access to justice for all and building effective, accountable and inclusive institutions. It is expected to further also the SDG 5 (achieve gender equality and empower all women and girls) and 10 (reduce inequality within and among countries).

³ https://ec.europa.eu/europeaid/sectors/rights-based-approach-development-cooperation_en

⁴ Staff Working Document "EU Action Plan for Gender Equality and Women's Empowerment in Development for 2016-2020" (SWD(2015)182 final)

The five working principles, applying all rights, participation and access to decision-making, non-discrimination and equal access, accountability and access to rule of law and transparency and access to information, should be implemented as appropriate in relation to any proposed project.

Gender equality is an integral part of the RBA, encompassing the promotion, protection and fulfilment of all human rights. Gender equality constitutes a fundamental human rights principle and a common value of the European Union (EU Treaties, EU Gender Action Plan 2016-2020). Each selected proposal will have to report against relevant "SMART" sex-disaggregated indicators mentioned in the mandatory EU Gender Action Plan 2016-2020.⁵

1.3. FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY

The overall indicative amount made available under this call for proposals is EUR 2,000,000. The contracting authority reserves the right not to award all available funds.

Size of grants

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

- **minimum amount: EUR 150,000**
- **maximum amount: EUR 200,000**

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

- **Minimum percentage: 51 % of the total eligible costs of the action.**
- **Maximum percentage: 95 % of the total eligible costs of the action** (see also Section 2.1.5).

The balance (i.e. the difference between the total cost of the action and the amount requested from the contracting authority) must be financed from sources other than the general budget of the Union or the European Development Fund⁶.

The grant may cover the entire eligible costs of the action if this is deemed essential to carry it out. If that is the case, the lead applicant must justify full financing in Section 2.1 of Annex A2 of the grant application form. The validity of the justification provided will be examined during the evaluation procedure. The absence of any justification may lead to the rejection of the application.

⁵ https://ec.europa.eu/europeaid/joint-staff-working-document-gender-equality-and-womens-empowerment-transforming-lives-girls-and_en

⁶ Where a grant is financed by the European Development Fund, any mention of European Union financing must be understood as referring to European Development Fund financing.

2. RULES FOR THIS CALL FOR PROPOSALS

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

2.1. ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

(1) the actors:

- The **'lead applicant'**, i.e. the entity submitting the application form (2.1.1),
- if any, its **co-applicant(s) (where it is not specified otherwise the 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**
- civil society organisations, including non-governmental non-profit organisations and independent political foundations, community-based organisations, and private-sector non-profit agencies, institutions and organisations and networks thereof at local, national, regional and international level **and**
- be directly responsible for the preparation and management of the action with the co-applicant(s) and affiliated entity(ies), not acting as an intermediary **and**
- be established in⁷ Bosnia and Herzegovina or a Member State of the European Union, or any country, as all are eligible for participation in contracts financed under this Instrument

(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

⁷ To be determined on the basis of the organisation's statutes, which should demonstrate that it has been established by an instrument governed by the national law of the country concerned and that its head office is located in an eligible country. In this 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.

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, 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 (PRAG Annex A14). For grants of EUR 60 000 or less, no declaration on honour is required.

In Part A.1, Section 2 and Part A.2 Section 5 of the grant application form ('declaration(s) 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 (if any) and coordinate the design and implementation of the action.

Co-applicant(s)

If the applicant is established (see footnote 7) in Bosnia and Herzegovina, it must act with at least one (1) co-applicant, with no restrictions concerning co-applicant(s)'s nationality.

If the applicant is not established in Bosnia and Herzegovina, it must act with at least two (2) co-applicants established in Bosnia and Herzegovina.

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

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

Co-applicants must sign the mandate in Part A.2 Section 4 of the grant 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 contract⁸.

2.1.2. Affiliated entities

Affiliated entity(ies)

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

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

⁸ The updated lists of sanctions are available at www.sanctionsmap.eu.

Please note that the sanctions map is an IT tool for identifying the sanctions regimes. The source of the sanctions stems from legal acts published in the Official Journal (OJ). In case of discrepancy between the published legal acts and the updates on the website it is the OJ version that prevails.

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

This structural link encompasses mainly two notions:

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

Entities affiliated to an applicant may hence be:

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

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

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

What is not an affiliated entity?

The following are not considered entities affiliated to an applicant:

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

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

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

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

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

Affiliated entity(ies) must satisfy the same eligibility criteria as the lead applicant and the co-applicant(s). They must sign the affiliated entity(ies) statement in Part A.2 Section 5 of the grant application form.

2.1.3. *Associates and contractors*

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

- Associates

Other organisations or individuals may be involved in the action. Such associates play a real role in the action but may not receive funding from the grant, with the exception of per diem or travel costs. Associates do not have to meet the eligibility criteria referred to in Section 2.1.1. Associates must be mentioned in Part B Section 6 — ‘Associates participating in the action’ — of the grant 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 may not be lower than 24 months nor exceed 36 months.

Sectors or themes

- common agendas for human rights and democratic reform;
- women's rights, gender-based violence, LGBTI rights;
- political representation and participation;
- access to justice, right to fair trial and due process, fight against impunity;
- prevention of torture and ill-treatment;
- improvement of prison system and human rights in prisons;
- freedom of expression;
- freedom of religion or belief;
- freedom of assembly and freedom of association;
- rights of children;

- rights of person with disabilities;
- non-discrimination, minority rights;
- promotion of human rights through sport.;
- business and human rights;
- digitalization and human rights.

This is only an indicative non-exhaustive list.

Location

Actions must take place in Bosnia and Herzegovina. Nevertheless, specific activities related to study tours, participation in events and attendance of NGO representatives to platforms, meetings and conferences, etc. may, if duly justified in the description of the action, take place outside of Bosnia and Herzegovina as long as they clearly contribute to the achievement of the project's overall objectives.

Types of action

Projects should be self-contained operations indicating a coherent set of activities with clearly defined operational objectives, target groups and planned, tangible outcomes, within a limited timeframe. Activities should be designed to meet the specific needs of the target groups identified by the project. Only activities that fall under the priority areas mentioned in section 1.2 are eligible for funding under this Call for Proposals.

The proposed actions should be designed to produce specific, measurable results in response to identified problems. Proposals must be based on concrete, recent, and verifiable information that can clearly identify specific problems and the related constraints (social, economic and political). It is thus necessary to set clear objectives based on a specifically tailored strategies and intervention methodologies that incorporate complementary, consistent activities suitable for tackling the identified problems directly. The means to be deployed should stem logically from this approach.

Actions will be selected on the basis of the expected results and potential effectiveness. Each action should have its own performance and success indicators, which must be objective and verifiable.

The call will finance projects which respect the **rights-based methodology**. The European Consensus on Development commits the EU and its Member States to implementing a rights-based approach (RBA) to development cooperation, encompassing all human rights.

The RBA is a working methodology based on internationally recognised human rights and is directed to promoting and protecting human rights in practice. A RBA integrates the norms, standards and principles of international human rights law into the plans, policies and processes of development programmes and projects and applies to all sectors, all modalities, and each step of the project cycle – identification, formulation, implementation, monitoring and evaluation.

The RBA implies that target groups are considered as 'rights-holders' with legal entitlements, and government institutions are not mere service providers but 'duty-bearers,' who are under an obligation to deliver on people's human rights. In line with a Rights-Based Approach, development cooperation should contribute to the development of the capacities of 'rights-holders' to claim their rights and 'duty-bearers' to meet their obligations. Programmes and projects therefore need to assess the capacities of rights-holders and duty-bearers and develop the appropriate strategies to build these capacities. At the heart of the RBA is the recognition that unequal power relations and social exclusion deny people their human rights and often keep them in poverty. The approach therefore puts strong emphasis on marginalised, disadvantaged, and excluded groups.

Gender equality is an integral part of the RBA, encompassing the promotion, protection and fulfilment of all human rights. Gender equality constitutes a fundamental human rights principle and a common value of the European Union.

Focus on the needs and challenges faced by targeted groups/rights-holders living outside the capitals and in remote areas, and/or encourage the constitution and capacity-building of networks of local organisations and implementing actors, including at regional level should also be taken into account.

Actions must be structured to ensure complementarity, to develop synergies and avoid duplication with other interventions already in place (Governmental or donors' funded). Concrete, recent and verifiable information should be included in the proposal (Full Application Form).

Actions should include appropriate measures for monitoring the proposed activities and to carry out (an) evaluation(s).

The following types of action are ineligible:

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences and congresses;
- actions concerned only or mainly with individual scholarships for studies or training courses;
- actions concerned only or mainly with study visits or participation in international forums;
- purchasing of land and buildings or offices;
- purchasing of vehicles;
- purchasing of equipment (unless necessary for the successful execution of the project: to be clearly indicated in the description of the action and budget justification);
- retroactive financing for projects already in existence or completed;
- actions for the exclusive benefit of individuals or exclusive restricted groups of individuals;
- actions supporting political parties;
- core funding of the applicant or its partners;
- humanitarian activities;
- reconstruction works.

Types of activity

While the type of activities in support to the overall and specific objectives listed in section 1.2 are to be proposed by local civil society, the following non-exhaustive list of examples can be given:

- Advocacy, lobbying and development of strategies by civil society organisations to push for legal reform, to influence policy-making, or to counter restrictions imposed by States on CSOs and other non-state actors;
- Provision of psychosocial, medical, legal assistance and any other type of support;
- Facilitating dialogue processes and mediation activities (such as inter-community, inter-faith and inter-cultural dialogues);
- Documenting and reporting on cases of human rights violations;
- Promoting the signature, ratification and the effective implementation of the relevant international and regional human rights instruments, including fundamental ILO Conventions;
- Monitoring of and reporting on the implementation of the international human rights instruments that the country has ratified;
- Supporting the collection of appropriate information, including statistical and research data, to enable governments to formulate and implement policies;

- Capacity-building through trainings of civil society organisations active in the human rights/democracy field and of human rights defenders;
- Awareness-raising and communication campaigns to inform on specific democracy/human rights issues;
- Ensuring access to remedy for victims, accountability and prosecution of perpetrators;
- Promoting inclusive and strategic partnerships, networking and cooperation with CSOs and other relevant stakeholders or among CSOs;
- Promoting accountability through CSO's activities to monitor and reform the electoral process, including implementation of electoral observers recommendations;
- Supporting CSOs and media in promoting accountability and transparency at national and local level;
- Promoting greater contact and cooperation between civic and political actors, including fostering of structured dialogue mechanisms;
- Promoting the inclusion of women, youth, and other marginalised groups into formal and informal decision making structures, including the political party system;
- Capacity building of civic and political actors to develop responsive policy platforms, adequately representing citizen's interests;
- Sub-granting to local registered and non-registered civil society organisations.

Activities will be designed and implemented following a gender sensitive approach and the data collected during the implementation of each project will be sex-disaggregated.

Financial support to third parties⁹

Applicants may propose financial support to third parties.

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

The maximum amount of financial support per third party is EUR 60 000.

Under this call, financial support to third parties is not considered essential to achieve the objective of the action.

In compliance with the present guidelines and notably of any conditions or restrictions in this Section, the lead applicant should define mandatorily in Section 2.1.1 of the grant application form:

- (i) the overall objectives, the specific objective(s) and the outputs¹⁰ (i.e. the results) to be achieved with the financial support
- (ii) the different types of activities eligible for financial support, on the basis of a fixed list
- (iii) the types of persons or categories of persons which may receive financial support
- (iv) the criteria for selecting these entities and giving the financial support
- (v) the criteria for determining the exact amount of financial support for each third entity, and
- (vi) the maximum amount which may be given.

⁹ These third parties are neither affiliated entity(ies) nor associates nor contractors.

¹⁰ As per OECD DAC definition, the term 'results' includes: 'impact' (overall objective), 'outcome(s)' (specific objective(s) and 'output(s)'.

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

Financial support to third parties is allowed and specific conditions or restrictions apply to this call for proposals:

- Only grass-root organisations covering human rights issues listed in the above priorities are eligible for financial support to third parties;
- Request of co-financing from the third parties is not allowed and 100% financing should be provided.

Visibility

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

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

Number of applications and grants per applicants / affiliated entities

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

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

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

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

A co-applicant/affiliated entity **may not** be awarded more than one (1) grant 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:

- financing not linked to costs of the relevant operations, based on the achievement of results measured by reference to the previously set milestones or through performance indicators,
- actual costs incurred by the beneficiary(ies) and affiliated entity(ies).

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

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

Eligible direct costs

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

Contingency reserve

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

Eligible indirect costs

The indirect costs incurred in carrying out the action may be eligible for flat-rate funding, but the total must not exceed 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).

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:

- debts and debt service charges (interest);
- provisions for losses or potential future liabilities;
- costs declared by the beneficiary(ies) and financed by another action or work programme receiving a European Union (including through EDF) grant;
- purchases of land or buildings, except where necessary for the direct implementation of the action, in which case ownership must be transferred in accordance with Article 7.5 of the general conditions of the standard grant contract, at the latest at the end of the action;

- currency exchange losses;
- credit to third parties;
- salary costs of the personnel of national administrations.

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 breach of obligations, irregularities or fraud. If 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**¹¹ 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 2.2.2 (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

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

If it is impossible to register online in PADOR for technical reasons, the applicants and/or affiliated entity(ies) must complete the 'PADOR off-line form'¹² attached to these guidelines. This form must be sent **together with the application**, by the submission deadline (see sections 2.2.2 and 2.2.5).

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

2.2.1. *Concept note content*

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

Applicants must apply in English.

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.

¹¹ Natural persons who apply for a grant (if so allowed in the guidelines for applicants) do not have to register in PADOR. In this case, the information included in PROSPECT and the grant application form is sufficient.

¹² Which corresponds to sections 3 and 4 of the full application form – Annex A.2.

A detailed budget is to be submitted only by the lead applicants invited to submit a full application in the second phase.

2. The elements outlined in the concept note may not be modified in the full application. The EU contribution may not vary from the initial estimate by more than 20%. Lead applicants are free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in these guidelines in Section 1.3. The lead applicant may replace a co-applicant or an affiliated entity only in duly justified cases (e.g. bankruptcy of initial co-applicant or affiliated entity). In this case the new co-applicant/affiliated entity must be of a similar nature as the initial one. The lead applicant may adjust the duration of the action if unforeseen circumstances outside the scope of the applicants have taken place following the submission of the concept note and require such adaptation (risk of action not being carried out). In such cases the duration must remain within the limits imposed by the guidelines for applicants. An explanation/justification of the relevant replacement/adjustment shall be included in section 2.1.1 of the Annex A.2 – Full application.

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.

Please note that incomplete concept notes may be rejected. Lead applicants are advised to verify that their concept note is complete by 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 **28/04/2020 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](#))¹³. **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 Contacting Authority cannot be held responsible for any delay due to such afore-mentioned difficulties.

Any concept note submitted after the deadline will be rejected.

¹³ For example: <http://www.timeanddate.com/worldclock/converter.html>.

2.2.4. Further information about concept notes

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

E-mail address: **delegation-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.

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 EU Delegation web site http://europa.ba/?page_id=320, 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 **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.

2.2.5. Full applications

Lead applicants invited to submit a full application following pre-selection of their concept note must do so using Part A.2 of the grant application form annexed to these guidelines (Annex A). Lead applicants should then keep strictly to the format of the grant application form and fill in the paragraphs and pages in order.

The elements outlined in the concept note cannot be modified by the lead applicant in the full application. The EU contribution may not vary from the initial estimate by more than 20 %, although lead applicants are free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in these guidelines under Section 1.3. The lead applicant may replace a co-applicant or an affiliated entity only in duly justified cases (e.g. bankruptcy of initial co-applicant or affiliated entity). In this case the new co-applicant/affiliated entity must be of a similar nature as the initial one. The lead applicant may adjust the duration of the action if unforeseen circumstances outside the scope of the applicants have taken place following the submission of the concept note and require such adaptation (risk of action not being carried out). In such cases the duration must remain within the limits imposed by the guidelines for applicants. An explanation/justification of the relevant replacement/adjustment shall be included in section 2.1.1 of the Annex A.2 – Full application

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

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

Any error related to the points listed in the checklist (Part A.2, Section 7 of the grant application form) or any major inconsistency in the full application (e.g. if the amounts in the budget worksheets are inconsistent) may lead to the rejection of the application.

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

Hand-written applications will not be accepted.

Please note that only the full application form and the published annexes which have to be filled in (budget, logical framework) will be transmitted to the evaluators (and assessors, if used). It is therefore of utmost importance that these documents contain ALL the relevant information concerning the action.

With the full application the lead applicant also has to submit completed PADOR registration form (Annex F) for the lead applicant, each (if any) co-applicants and each (if any) affiliated entities¹⁴.

No additional annexes should be sent.

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

Any application submitted after the deadline will be rejected.

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**

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.

¹⁴ Natural persons who apply for a grant (if so allowed in the guidelines for applicants) do not have to provide an organisation data form. In this case, the information included in the grant application form is sufficient.

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 EU Delegation web site http://europa.ba/?page_id=320, 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.

2.3. EVALUATION AND SELECTION OF APPLICATIONS

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

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

(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 – Concept note. This includes also an assessment of the eligibility of the action. If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

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

The concept notes will receive an overall score out of 50 using the breakdown in the evaluation grid below. The evaluation will also check on compliance with the instructions on how to complete the concept note, which can be found in Part A of the grant application form.

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

Evaluation Grid

Maximum Scores

1. Relevance of the action	Sub-score	20
1.1 How relevant is the proposal to the objectives and priorities of the call for proposals and to the specific themes/sectors/areas or any other specific requirement stated in the guidelines for applicants? Are the expected results of the action aligned with the priorities defined in the guidelines for applicants (section 1.2)?	5	
1.2 How relevant is the proposal to the particular needs and constraints of the target country(ies), region(s) and/or relevant sectors (including synergy with other development initiatives and avoidance of duplication)?	5	
1.3 How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs (as rights holders and/or duty bearers) and constraints been clearly defined and does the proposal address them appropriately?	5	
1.4 Does the proposal contain particular added-value elements (e.g. innovation, best practices) and the other additional elements indicated under 1.2. of the guidelines for applicants?	5	
2. Design of the action	Sub-score	30
2.1 How coherent is the overall design of the action? Does the proposal indicate the expected results to be achieved by the action? Does the intervention logic explain the rationale to achieve the expected results?	5x2**	
2.2 Does the design reflect a robust analysis of the problems involved, and the capacities of the relevant stakeholders?	5	
2.3 Does the design take into account external factors (risks and assumptions)?	5	

2.4 Are the activities feasible and consistent in relation to the expected results (including timeframe)? Are results (output, outcome and impact) realistic?	5	
2.5 To which extent does the proposal integrate relevant cross-cutting elements such as environmental/climate change issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, youth, combating HIV/AIDS (if there is a strong prevalence in the target country/region)?	5	
TOTAL SCORE		50

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

Lead applicants will receive a letter indicating the reference number of their application and the respective results. This letter will automatically appear online in the PROSPECT profile of the lead applicant. The pre-selected lead applicants will subsequently be invited to submit full applications.

(2) STEP 2: OPENING & ADMINISTRATIVE CHECKS 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 (Section 6 of Annex A.2 – 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
1. Financial and operational capacity	20
1.1 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient in-house experience of project management?	5
1.2 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient in-house technical expertise? (especially knowledge of the issues to be addressed)	5
1.3 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient in-house management capacity? (Including staff, equipment and ability to handle the budget for the action)?	5
1.4 Does the lead applicant have stable and sufficient sources of finance?	5
2. Relevance	20
<i>Score transferred from the Concept Note evaluation</i>	
3. Design of the action	15
3.1 How coherent is the design of the action? Does the proposal indicate the expected results to be achieved by the action? Does the intervention logic explain the rationale to achieve the expected results? Are the activities proposed appropriate, practical, and consistent with the envisaged outputs and outcome(s)?	5
3.2 Does the proposal/Logical Framework include credible baseline, targets and sources of verification? If not, is a baseline study foreseen (and is the study budgeted appropriately in the proposal)?	5
3.3 Does the design reflect a robust analysis of the problems involved, and the capacities of the relevant stakeholders?	5
4. Implementation approach	15
4.1 Is the action plan for implementing the action clear and feasible? Is the timeline realistic?	5
4.2 Does the proposal include an effective and efficient monitoring system? Is there an evaluation planned (previous, during or/and at the end of the implementation)?	5
4.3 Is the co-applicant(s)'s and affiliated entity(ies)'s level of involvement and participation in the action satisfactory?	5
5. Sustainability of the action	15
5.1 Is the action likely to have a tangible impact on its target groups?	5

5.2 Is the action likely to have multiplier effects, including scope for replication, extension, capitalisation on experience and knowledge sharing?	5
5.3 Are the expected results of the proposed action sustainable?: - Financially (<i>e.g. financing of follow-up activities, sources of revenue for covering all future operating and maintenance costs</i>) - 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>) - At policy level (where applicable) (<i>what will be the structural impact of the action — e.g. improved legislation, codes of conduct, methods</i>) - Environmentally (if applicable) (<i>will the action have a negative/positive environmental impact?</i>)	5
6. Budget and cost-effectiveness of the action	15
6.1 Are the activities appropriately reflected in the budget?	5
6.2 Is the ratio between the estimated costs and the results satisfactory?	5x2**
Maximum total score	100

****:** this scores is multiplied by 2 because of its importance

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

If the lead applicant applies without co-applicants or affiliated entities the score for point 4.3 shall be 5 unless the involvement of co-applicants or affiliated entities is mandatory according to these guidelines for applicants.

Provisional selection

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

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

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

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

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

2.4. SUBMISSION OF SUPPORTING DOCUMENTS FOR PROVISIONALLY SELECTED APPLICATIONS

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

1. The statutes or articles of association of the lead applicant, (if any) of each co-applicant and (if any) of each affiliated entity¹⁶. 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 meantime¹⁷. 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.
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)¹⁸. A copy of the latest account is neither required from (if any) 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 (if any) by each co-applicant), accompanied by the justifying documents requested there. If the applicants have already signed a contract with the contracting authority, instead of the legal entity sheet and supporting documents, the legal entity number may be provided, unless a change in legal status occurred in the meantime.
6. A financial identification form of the lead applicant (not from co-applicant(s)) 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

¹⁵ No supporting document will be requested for applications for a grant not exceeding EUR 60 000.

¹⁶ Where the lead applicant and/or a co-applicant(s) and or an affiliated entity(ies) is a public body created by a law, a copy of the said law must be provided.

¹⁷ To be inserted only where the eligibility conditions have not changed from one call for proposals to the other.

¹⁸ This obligation does not apply to natural persons who have received a scholarship or that are in most need in receipt of direct support, nor to public bodies and to international organisations. It does not apply either when the accounts are in practice the same documents as the external audit report already provided pursuant to Section 2.4.2.

European Commission was in charge of the payments and intends to use the same bank account, a copy of the previous financial identification form may be provided instead.

7. The **lead applicant** as well as all **co-applicants** and **affiliated entities** shall fill in and sign the declaration on honour 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 off-line 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 language of the country where the action is implemented, a translation into English of the relevant parts of these documents proving the lead applicant's and, where applicable, co-applicants' and affiliated entity(ies)' eligibility, must be attached for the purpose of analysing the application.

Where these documents are in an official language of the European Union other than English, it is **strongly** recommended, in order to facilitate the evaluation, to provide a translation of the relevant parts of the documents, proving the lead applicant's and, where applicable, co-applicants' and affiliated entity(ies)' eligibility, into English.

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

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

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

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

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. Therefore, please check regularly your PROSPECT profile, taking into account the indicative timetable below.

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

2.5.2. Indicative timetable

	DATE	TIME
1. Information meeting (if any)	Not foreseen	Not applicable
2. Deadline for requesting any clarifications from the contracting authority	April 7, 2020	-
3. Last date on which clarifications are issued by the contracting authority	April 17, 2020	-
4. Deadline for submission of concept notes	April 28, 2020	16:00
5. Information to lead applicants on opening, administrative checks and concept note evaluation (Step 1)	May/June 2020	-
6. Invitations to submit full applications	June 2020	-
7. Deadline for submission of full applications	August 2020	-
7. Information to lead applicants on the evaluation of the full applications (Step 2)	September/October 2020	-
8. Notification of award (after the eligibility check) (Step 3)	October 2020	-
9. Contract signature	October/November 2020	-

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> EU Delegation web http://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 (Annex A of these guidelines), the applicants agree, if awarded a grant, to accept the contractual conditions of the standard grant contract. Where the coordinator is an organisation whose pillars have been positively assessed, it will sign a contribution agreement based on the contribution agreement template. In this case references to provisions of the standard grant contract and its annexes shall not apply. References in these guidelines to the grant contract shall be understood as references to the relevant provisions of the contribution agreement.

Implementation contracts

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

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

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

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

3. LIST OF ANNEXES

DOCUMENTS TO BE COMPLETED

- Annex A: Grant application form (Word format)
- Annex B: Budget (Excel format)
- Annex C: Logical framework (Excel format)
- Annex D: Legal entity sheet
- Annex E: Financial identification form
- Annex F: PADOR registration form

DOCUMENTS FOR INFORMATION¹⁹

- Annex G: Standard grant contract
 - Annex II: general conditions
 - Annex IV: contract award rules
 - Annex V: standard request for payment
 - Annex VI: model narrative and financial report
 - Annex VII: model report of factual findings and terms of reference for an expenditure verification of an EU financed grant contract for external action
 - Annex VIII: model financial guarantee
 - Annex IX: standard template for transfer of ownership of assets
- Annex H: 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
- Annex J: Information on the tax regime applicable to grant contracts signed under the call.
- Annex K: Guidelines for assessing simplified cost options.

Useful links:

Project Cycle Management Guidelines

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

The implementation of grant contracts

A Users' Guide

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

Financial Toolkit

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

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

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¹⁹ These documents should also be published by the contracting authority.