



**Contracting Authority:** European Commission, Directorate-General for  
Humanitarian Aid and Civil Protection

Programme for Prevention, preparedness and response to floods in the  
Western Balkans and Turkey

Guidelines  
for grant applicants

Instrument for Pre-Accession Assistance (IPA)

Budget line 22.02.07.01: regional and horizontal programmes

Reference: EuropeAid/136006/ACT/DH/Multi

Deadline for submission of full application: **01.09.2014**

## NOTICE

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

## SUSPENSION CLAUSE

**Please note that the award of Lot 2 of this call for proposals is subject to the adoption of a Financing Decision by the European Commission (indicatively in the third quarter of 2014). In the case where no Financing Decision is adopted or is not adopted before the contracting phase of this call for proposals, the Contracting Authority reserves the right to cancel Lot 2.**

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# 1. PROGRAMME FOR PREVENTION, PREPAREDNESS AND RESPONSE TO FLOODS IN THE WESTERN BALKANS AND TURKEY

## 1.1. BACKGROUND

The target region is prone to natural disasters of which floods account for the major share and often significantly challenge the ability of countries to cope with the effects. These natural phenomena often transcend borders and have a cross-boundary character since actions in one country may diminish or aggravate the impact of floods in a neighbouring country. During emergencies the neighbouring countries are also often the first to provide assistance hence joint preparedness for floods response and capacity building will facilitate cooperation and improve effectiveness of disaster relief operations when the need occurs.

Based on the above considerations, this programme is intended to contribute to the reduction of the negative impact that floods have in the Western Balkans and Turkey by facilitating the beneficiaries to better deal with flood risk management. This includes improved flood prevention and creating capacities for effectively and efficiently response to flood hazards in coordination with the Union Civil Protection Mechanism. In order to achieve the objectives, the programme promotes the policy requirements, mechanisms and procedures in force/applied at EU level, as well as the best practices in this area, of the EU Member States and the beneficiary countries. Last but not least, the programme is expected to contribute to the further integration of the EU candidate countries and potential candidates to the Union Civil Protection Mechanism.

## 1.2. OBJECTIVES OF THE PROGRAMME AND EXPECTED RESULTS

The **global objective** of this Call for Proposals is to increase beneficiaries' capacity to ensure proper flood risk management at national, regional and EU levels.

The **specific objectives** of this Call for Proposals are:

*Specific objective 1:* To increase beneficiary countries' capability to develop effective national civil protection systems and collaborate in a coherent manner in dealing with floods at regional and European level (prevention, preparedness and response).

*Specific objective 2:* To support beneficiary countries in becoming better prepared to cope with the challenges posed by approximation to and implementation of the EU Floods Directive.

### **Expected Results:**

*1. Operational multinational civil protection modules for flood response that are able to operate regionally and through the Union Civil Protection Mechanism.*

The modules established (teams with equipment) will be designed and implemented according to the guidelines and requirements of Commission Decision C(2010) 5090 on civil protection modules<sup>1</sup> and based on the best practices and lessons learnt gained through the EU Preparatory Action projects co-financed by the European Commission in 2008, 2009 and 2010<sup>2</sup> and other national/multinational experience. They should work following standard operating procedures established according to the EU Guideline for Standard Operating Procedures and with the help of host nation support protocols in line with the EU Guidelines on Host Nation Support, with the aim to ensure rapid and effective deployment in coordination with the Union Civil Protection Mechanism of the civil protection modules to any affected country from the region or its neighbouring area. In order to make the modules operational, specialized staff of relevant profile will be involved and provided with specific training. A regional field exercise to be organized under the programme should test the quality of the modules and their operability and efficiency in a real life situation.

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<sup>1</sup> <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2010:236:0005:0017:EN:PDF>

<sup>2</sup> [http://ec.europa.eu/echo/civil\\_protection/civil/prote/prep\\_action2009.htm](http://ec.europa.eu/echo/civil_protection/civil/prote/prep_action2009.htm) and [http://ec.europa.eu/echo/civil\\_protection/civil/prote/cp\\_prep\\_action2010.htm](http://ec.europa.eu/echo/civil_protection/civil/prote/cp_prep_action2010.htm)

*2. Improved capacity of beneficiary countries to deal with the requirements of the EU Floods Directive and to address flood prevention.*

This improvement will be based on 3 key outputs of the action:

(i) a "tailored" capacity building programme focussed on practices and practicalities that considers the beneficiaries' needs, on the one hand, and the EU experience and good practices in the area addressed, on the other;

(ii) a guiding document on flood risk management that refer to all relevant requirements, stakeholders, challenges and indicative general costs to be considered in addressing the EU Floods Directive, based on the EU Member States concrete experience and lessons learnt;

(iii) a roadmap for future action in the area of disaster risk management in the target region, with focus on flood risk management and aspects with a multi-beneficiary dimension, which should contribute to the improvement of the relevance and effectiveness of the EU future assistance to the target region in the area addressed.

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

The overall indicative amount made available under this Call for Proposals is **EUR 6 000 000**. The Contracting Authority reserves the right not to award all available funds.

The Programme is divided into two lots:

**Lot 1** should address Specific objective 1 and Specific objective 2, and deliver on both Expected Results 1 and 2 as described above:

*1. Operational multinational civil protection modules for flood response that are able to operate regionally and through the Union Civil Protection Mechanism – whereas the focus should be on the civil protection module Flood rescue using boats.*

*2. Improved capacity of beneficiary countries to deal with the requirements of the EU Floods Directive and to address flood prevention.*

The grant requested under Lot 1 can be of maximum amount: EUR 2 000 000.

**Lot 2** should address Specific objective 1 and deliver on Expected Result 1:

*1. Operational multinational civil protection modules for flood response that are able to operate regionally and through the Union Civil Protection Mechanism – whereas the focus should be on the civil protection modules High capacity pumping and Flood containment.*

The grant requested under Lot 2 can be of maximum amount: EUR 4 000 000.

Please be reminded that Lot 2 is launched under suspension clause linked to the adoption of a Financing Decision.

The grants requested under this Call for Proposals **can be up to 100%** of total eligible costs of the action (see also Section 2.1.5).

The balance (i.e. the difference between the total cost of the action and the amount requested from the Contracting Authority) must be financed from sources other than the European Union Budget or the European Development Fund<sup>3</sup>.

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

## 2. RULES FOR THIS CALL FOR PROPOSALS

These guidelines set out the rules for the submission, selection and implementation of the actions financed under this Call, in conformity with the Practical Guide, which is applicable to the present call (available on the Internet at this address: [http://ec.europa.eu/europeaid/work/procedures/implementation/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm)).

### 2.1. ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

(1) the actors:

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

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

- be a natural and legal persons or, after prior approval by the European Commission, entities which do not have legal personality under the applicable national law, provided that their representatives have the capacity to take on legal obligations on their behalf and that they offer financial and operational guarantees equivalent to those provided by legal persons.
- belong to one of the following categories: private entities, public entities, or international organisations as defined by Article 43 of the Commission Delegated Regulation (EU) No 1268/2012 of 29 October 2012 on the rules of application of Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council on the financial rules applicable to the general budget of the Union ('Rules of Application').
- be established in<sup>4</sup> a Member State of the European Union or an eligible country in accordance with the basic act governing the programme in question<sup>5</sup>.
- 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.

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<sup>4</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. 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.

<sup>5</sup> Council Regulation (EC) No 1085/2006 of 17.7.2006 establishing an Instrument for Pre-Accession Assistance (IPA) — OJ L 210, 31.7.2006

- (2) The potential applicant may not participate in calls for proposals or be awarded grants if it is in any of the situations listed in Section 2.3.3 of the Practical Guide;

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

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

**The applicant shall compose a consortium that includes at least 2 national civil protection authorities or agencies from two different Participating States to the EU Civil Protection Mechanism exercising civil protection responsibilities on nation-wide basis as a central authority or central agency. One of them should be in the lead, submit the application form and become the Coordinator of the programme.**

If awarded the Grant contract, the applicant will become the Beneficiary identified as the Coordinator in annex E3h1 (Special Conditions). The Coordinator is the main interlocutor of the Contracting Authority. It represents and acts on behalf of any other co-beneficiary (if any) and coordinates the design and implementation of the Action.

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

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

If awarded the Grant contract, the co-applicant(s) will become beneficiaries in the Action (together with the Coordinator).

Attention: As stipulated in the Practical Guide<sup>6</sup>, Section 6.1.1 the entity(ies) signing a grant contract is known as the grant beneficiary(ies) and should not be confused with the beneficiary country, the final beneficiary of the action nor with the target groups.

### **2.1.2. *Affiliated entities***

Affiliated entity(ies)

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

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

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

This structural link encompasses mainly two notions:

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

Entities affiliated to a beneficiary may hence be:

- Entities directly or indirectly controlled by the beneficiary (daughter companies or first-tier subsidiaries). They may also be entities controlled by an entity controlled by the beneficiary (granddaughter companies or second-tier subsidiaries) and the same applies to further tiers of control;

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<sup>6</sup> <http://ec.europa.eu/europeaid/prag/>

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

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

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

#### What is not an affiliated entity?

The following are not considered entities affiliated to a beneficiary:

- Entities that have entered into a (procurement) contract or subcontract with a beneficiary, act as concessionaires or delegates for public services for a beneficiary,
- Entities that receive financial support from the beneficiary,
- Entities that cooperate on a regular basis with the beneficiary on the basis of a memorandum of understanding or share some assets,
- Entities that have signed a consortium agreement under the grant contract.

#### How to verify the existence of the required link with the beneficiary?

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

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

If the applicants are awarded a contract, their affiliated entity(ies) will not become Beneficiary(ies) of the Action and signatory(ies) of the Contract. However, they will participate in the design and in the implementation of the Action and the costs they incur (including those incurred for Implementation Contracts and Financial Support to third parties) may be accepted as eligible costs, provided they comply with all the relevant rules already applicable to the Beneficiary(ies) under the Grant Contract.

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

### **2.1.3. Associates and Contractors**

The following entities are not applicant(s) nor affiliated entity(ies) and do not have to sign the "mandate" or "affiliated entities' statement":

- Associates



Other organisations may be involved in the action. Such associates play a real role in the action but may not receive funding from the grant, with the exception of per diem or travel costs. Associates do not have to meet the eligibility criteria referred to in section 2.1.1. Associates must be mentioned in Part B section 6 — ‘Associates of the Applicant participating in the Action’ — of the Grant Application Form.

- **Contractors**

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

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

##### Definition:

An action is composed of a set of activities.

Beneficiary countries: Albania, Bosnia and Herzegovina, Croatia, Kosovo<sup>7</sup>, the former Yugoslav Republic of Macedonia, Montenegro, Serbia and Turkey.

**Croatia** is a beneficiary country **only for Lot 1** and not for Lot 2.

##### Target institutions:

Albania: Inter-Ministerial Committee for Civil Emergencies (Ministry of Interior), Institute of Energy, Water and Environment (IEWE)

Bosnia and Herzegovina: 1) State level: Ministry of Security-Protection and Rescue Sector, Ministry of Civil Affairs, Bosnia and Herzegovina-Sector for Geodetic, Geological and Meteorological Affairs, Ministry of Foreign Trade and Economic Relations- Sector for Natural Resources, Energy and Environment Protection (Department for Water Resources); 2) Republika Srpska: Ministry of Agriculture, Forestry and Water Management, Republic Hydro-meteorological Institute of Republika Srpska, Republika Srpska Water Agencies; 3) Federation of Bosnia and Herzegovina: Federal Ministry of Agriculture, Water Management and Forestry, Agency for River Sava Basin, Agency for Adriatic Sea Water Basin

Croatia: Ministry of Agriculture-Directorate for Water Management and Croatian Waters - Head Center for Defence against Floods

Former Yugoslav Republic of Macedonia: Protection and Rescue Directorate, Republic Hydrometeorological Service

Kosovo: Department of Waters within the Ministry of Environment and Spatial Planning, Kosovo Hydro-meteorological Institute (part of the same Ministry)

Montenegro: Sector for Emergency Situations and Civil Protection (Ministry of Interior), Hydrometeorological Institute of Montenegro

Serbia: Sector for Emergency Situation of Ministry of Interior and Hydrometeorological Service of the Republic of Serbia

Turkey: Prime Ministry Disaster and Emergency Management Presidency (AFAD), Disaster and Emergency Management Provincial Directorates (governorships), Ministry of Forestry and Water Affairs-General Directorate of Water Management, General Directorate for State Hydraulic Works and General Directorate of Meteorological Services.

##### Duration

The duration of the action should be minimum **24 months** and should begin on the day following that on which the second of the two Parties signs the contract. The Final date for implementation of the action cannot be beyond 30 November 2017.

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<sup>7</sup> This designation is without prejudice to positions on status, and is in line with UNSCR 1244 and the ICJ Opinion on the Kosovo Declaration of Independence

## Location

Actions must take place in more than one of the following countries: Albania, Bosnia and Herzegovina, Croatia, Kosovo, the former Yugoslav Republic of Macedonia, Montenegro, Serbia and Turkey.

Actions may also take place in the Members States of the European Union if it is relevant and justified.

## Types of Actions

All actions under this grant should be for the benefit of the beneficiary countries. The results of the programme including ownership of equipment shall be transferred to the target institutions/final beneficiaries of the Action, at the latest when the final report is submitted to the Contracting Authority.

## Types of activity

### **LOT 1**

#### **1. Capacity-building for flood preparedness and response through establishment of multinational civil protection modules for floods response (Flood rescue using boats)**

*1.1. Establish multinational civil protection modules<sup>8</sup> focussed on floods, in line with the EU technical framework and practices.*

The civil protection modules will consist of teams and equipment and will aim to ensure a rapid and effective response to floods according to the guidelines and requirements of Commission Decision C(2010) 5090 on civil protection modules<sup>9</sup> and based on the best practices and lessons learnt gained through the EU Preparatory Action projects co-financed by the European Commission in 2008, 2009 and 2010<sup>10</sup>. Each module will involve at least 3 beneficiary countries.

Based on consultations with the beneficiary countries, the multinational civil protection modules for Flood rescue using boats will be designed, and the necessary equipment will be purchased and handed over to the national civil protection authorities after the activities under point 1.2, 1.3, 1.4 and 1.5 have been completed.

*1.2 Put into operation the civil protection modules by establishing standard operating procedures according to the EU Guideline for Standard Operating Procedures and based on the experience of existing EU (multinational) civil protection modules*

The Guidelines are expected to take into consideration the activation of the Union Civil Protection Mechanism when a country from the region requires the assistance of the multinational modules supported through this programme. In the cases where the national civil protection authorities owning the modules deploy them to a third country affected by a disaster the Guidelines should envisage that this is done in coordination with the Mechanism.

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<sup>8</sup> The modular approach is now firmly established in the European civil protection world as a means to enhance the interoperability, speed of deployment, predictability of response and overall quality and effectiveness of European civil protection interventions. Civil Protection Modules are task and needs driven pre-defined arrangements of resources which (i) are composed of mobile resources that can be deployed abroad, (ii) are self-sufficient, interoperable and can be dispatched at very short notice and (iii) are equipped, trained and operated in accordance with acknowledged international guidelines. The implementing rules for the EU Civil Protection Mechanism's modules provide the technical framework for a total of 17 module types of which the floods related modules are (i) high capacity pumping; (ii) flood containment module; (iii) flood rescue module using boats.

<sup>9</sup> <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2010:236:0005:0017:EN:PDF>

<sup>10</sup> [http://ec.europa.eu/echo/civil\\_protection/civil/prote/cp\\_prep\\_action2010.htm](http://ec.europa.eu/echo/civil_protection/civil/prote/cp_prep_action2010.htm)  
[http://ec.europa.eu/echo/civil\\_protection/civil/prote/prep\\_action2009.htm](http://ec.europa.eu/echo/civil_protection/civil/prote/prep_action2009.htm)  
[http://ec.europa.eu/echo/civil\\_protection/civil/prote/prep\\_action2008.htm](http://ec.europa.eu/echo/civil_protection/civil/prote/prep_action2008.htm)

As a part of this activity the applicant should explore with the national civil protection authorities of the beneficiary countries which are also Participating States to the Mechanism the possibility to register the established multinational civil protection modules for participating in the Mechanism voluntary pool of response capacities and experts<sup>11</sup>.

*1.3 Establish border crossing protocols and Host Nation Support protocols according to the EU Guidelines on Host Nation Support, with the aim to ensure rapid and effective deployment of the civil protection modules to the affected country*

*1.4 Provide specific training to the staff of the multinational civil protection modules*

*1.5 Organize a regional field exercise for the multinational civil protection modules established with the participation of civil protection modules of the same type from the Participating States of the EU Civil Protection Mechanism.*

## **2. Capacity-building and provision of support for the approximation to the EU Floods Directive and the implementation of an integrated approach to flood risk management encompassing prevention, preparedness and response in line with the Council conclusions on Integrated Flood Management**

*2.1 Deliver a capacity building programme regarding approximation to and implementation of the EU Floods Directive*

The programme will be based on the EU Member States' experience and practices in the area, with consideration of all elements relevant in the flood risk management context (prevention, protection, preparedness, emergency response, recovery and lessons learnt) and defined in inception phase of the programme, following a needs assessment/gap analysis of the target beneficiaries that takes into consideration the specifics of this task/activity.

The analysis should take stock of the level of implementation by countries of the EU Floods Directive including assessment of the flood risk mappings and the consistency/comparability of the maps, and provide an overview.

The Programme should especially focus on addressing the gaps/obstacles related to the implementation of the first phase of the EU Floods Directive which requires a preliminary assessment of the river basins and associated coastal areas at risk of flooding. The programme should target the accomplishment of a complete preliminary floods risk assessment map for the region within the existing programme constraints (including financial and time constraints).

Considering the fact that this programme will focus on practical issues and challenges that the beneficiaries might face in their current/future efforts related to the EU Floods Directive requirements, it will include interactive workshops, case studies and exchange of experts.

The Programme should envisage strong presence by the EU Member States and intensive sharing of expertise, experience and best practices. The programme should allow for the beneficiary countries to submit concrete national examples for discussion and problem-solving.

The programme may also include individual technical advice to beneficiaries in addressing the EU Floods Directive, in line with the needs identified throughout the project and subject to the existing financial and time constraints of the programme.

The programme should target both the national authorities responsible for floods prevention in the countries and the civil protection authorities, if the two are different institutions. The programme should aim at contributing to enhanced communication and cooperation among the institutions dealing with floods prevention, preparedness and response.

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<sup>11</sup> See for reference Article 11 of the new EU civil protection legislation  
<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2013:347:0924:0947:EN:PDF>

*2.2 Take stock of existing EU/national guidelines and guidance documents for the implementation of the EU Floods Directive and prepare guidelines for the targeted countries on flood risk management that refer to all relevant requirements, stakeholders, challenges and indicative general costs to be considered in addressing the EU Floods Directive.*

The guidelines will address all stages of the flood risk management, as approached by the EU floods Directive, namely preparation of preliminary assessments, risk mapping, risk management plans and stakeholder involvement and participation, including public participation in the planning process.

The guidelines should be accompanied by relevant examples of good practices in the EU Member States related to floods management with focus on floods prevention<sup>12</sup>.

A survey within the Western Balkan region should try to identify good practices for floods prevention implemented by the targeted countries (max 2 per country) and add them as examples to the above mentioned guidelines.

The results of this task/activity should be presented at the workshops under point 2.1.

*2.3 Prepare a roadmap for future action in the area of disaster risk management in the target region, with focus on flood risk management and aspects with a multi-beneficiary dimension*

The roadmap will be based on an analysis to be performed in the last phase of the project and meant serve as grounds for future interventions in the area and implicitly contribute to the sustainability of this programme.

## **LOT 2**

### **1. Capacity-building for flood preparedness and response through establishment of multinational civil protection modules for floods response (High capacity pumping and Flood containment)**

*1.1. Establish multinational civil protection modules focussed on floods, in line with the EU technical framework and practices.*

The civil protection modules will consist of teams and equipment and will aim to ensure a rapid and effective response to floods according to the guidelines and requirements of Commission Decision C(2010) 5090 on civil protection modules<sup>13</sup> and based on the best practices and lessons learnt gained through the EU Preparatory Action projects co-financed by the European Commission in 2008, 2009 and 2010<sup>14</sup>. Each module will involve at least 3 beneficiary countries.

Based on consultations with the beneficiary countries, the multinational civil protection modules for High capacity pumping and Flood containment will be designed, and the necessary equipment will be purchased and handed over to the national civil protection authorities after the activities under point 1.2, 1.3, 1.4 and 1.5 have been completed.

*1.2 Put into operation the civil protection modules by establishing standard operating procedures according to the EU Guideline for Standard Operating Procedures and based on the experience of existing EU (multinational) civil protection modules*

The Guidelines are expected to take into consideration the activation of the Union Civil Protection Mechanism when a country from the region requires the assistance of the multinational modules supported through this programme. In the cases where the national civil protection authorities owning the modules deploy them to a

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<sup>12</sup> [http://climate-adapt.eea.europa.eu/viewacitem?acitem\\_id=7215](http://climate-adapt.eea.europa.eu/viewacitem?acitem_id=7215)

<sup>13</sup> <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2010:236:0005:0017:EN:PDF>

<sup>14</sup> [http://ec.europa.eu/echo/civil\\_protection/civil/prote/cp\\_prep\\_action2010.htm](http://ec.europa.eu/echo/civil_protection/civil/prote/cp_prep_action2010.htm)  
[http://ec.europa.eu/echo/civil\\_protection/civil/prote/prep\\_action2009.htm](http://ec.europa.eu/echo/civil_protection/civil/prote/prep_action2009.htm)  
[http://ec.europa.eu/echo/civil\\_protection/civil/prote/prep\\_action2008.htm](http://ec.europa.eu/echo/civil_protection/civil/prote/prep_action2008.htm)

third country affected by a disaster the Guidelines should envisage that this is done in coordination with the Mechanism.

As a part of this activity the applicant should explore with the national civil protection authorities of the beneficiary countries which are also Participating States to the Mechanism the possibility to register the established multinational civil protection modules for participating in the Mechanism voluntary pool of response capacities and experts<sup>15</sup>.

*1.3 Establish border crossing protocols and Host Nation Support protocols according to the EU Guidelines on Host Nation Support, with the aim to ensure rapid and effective deployment of the civil protection modules to the affected country*

*1.4 Provide specific training to the staff of the multinational civil protection modules*

*1.5 Organize a regional field exercise for the multinational civil protection modules established with the participation of civil protection modules of the same type from the Participating States of the EU Civil Protection Mechanism.*

### **For both lots:**

#### Visibility

Further eligible activities could be related to the **Promotion and Visibility** of the Programme. The Applicants will be expected to issue an electronic newsletter and press releases with regard to major events and ensure their wide-spread distribution. A production of a video on the programme should be envisaged. The grant beneficiary shall provide the Commission with pictures from the events (especially the exercises) with the necessary rights allowing their further publication.

The Applicants must take all necessary steps to publicise the fact that the European Union has financed the Action. As far as possible, actions that are 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/work/visibility/index\\_en.htm](http://ec.europa.eu/europeaid/work/visibility/index_en.htm)).

**Please note that the two lots are integral parts of the Programme for Prevention, preparedness and response to floods in the Western Balkans and Turkey and in the case where two grants are awarded under the different lots the consistency of their actions should be fully ensured by the respective Coordinators.**

#### Financial support to third parties

Applicants may not propose financial support to third parties.

#### Number of applications and grants per applicants

**Only one grant will be awarded under each Lot of this call for proposals.**

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

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<sup>15</sup> See for reference Article 11 of the new EU civil protection legislation  
<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2013:347:0924:0947:EN:PDF>

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

A co-applicant may not submit more than one application per lot under this Call for Proposals.

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

The affiliated entity(ies) may not take part in more than one application for the same lot.

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

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

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

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

Simplified cost options may take the form of:

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

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

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

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

- describe the information and methods used to establish the amounts of unit costs, lump sums and/or flat-rates, to which costs they refer, etc.
- clearly explain the formulas for calculation of the final eligible amount<sup>16</sup>

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16 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 \*

- identify the beneficiary who will use the simplified cost option (in case of affiliated entity, specify first the beneficiary), in order to verify the maximum amount per each beneficiary (which includes if applicable simplified cost options of its affiliated entity(ies))

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

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

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

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

#### Eligible direct costs

To be eligible under the Call for Proposals, costs must comply with the provisions of Article 14 of the General Conditions to the Standard Grant Contract (see Annex G of the Guidelines).

Salary costs of the personnel of national administrations 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 were not undertaken.

#### Contingency reserve

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

#### Eligible indirect costs

The indirect costs incurred in carrying out the action may be eligible for flat-rate funding, but the total must not exceed 7% of the estimated total eligible direct costs. Indirect costs are eligible provided that they do not include costs assigned to another budget heading in the standard grant contract. The applicant may be asked to justify the percentage requested before the contract is signed. However, once the flat rate has been fixed in the special conditions of the standard grant contract, no supporting documents need to be provided.

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

#### Contributions in kind

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

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

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

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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.

## Ineligible costs

The following costs are not eligible:

- taxes, customs and import duties or other charges emerging in the beneficiary countries and covered by the Framework Agreements between the European Commission and the beneficiary countries regarding the rules for cooperation concerning the provision of financial assistance under the Instrument for Pre-Accession Assistance (IPA);
- debts and debt service charges (interest);
- provisions for losses or potential future liabilities;
- costs declared by the Beneficiary(ies) and financed by another action or work programme receiving a Union (including through EDF) grant;
- purchases of land or buildings, except where necessary for the direct implementation of the action, in which case ownership must be transferred to the final beneficiaries and/or local Beneficiary(ies), at the latest at the end of the action;
- currency exchange losses;
- excessive or reckless expenditure;
- credit to third parties.

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

Prior registration in PADOR for this Call for Proposals is not obligatory. Information in PADOR will not be drawn upon in the present Call.

### **Open Call for Proposals**

#### **2.2.1. Application forms**

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

Applicants must apply in English.

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

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

Hand-written applications will not be accepted.

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

#### **2.2.2. Where and how to send Applications**

Applications must be submitted in one original and 2 copies in A4 size, each bound. The complete application form (Part A: concept note and Part B: full application form), budget and logical framework must also be supplied in electronic format (CD-ROM) in a separate and single file (i.e. the application form must



not be split into several different files). The electronic file must contain **exactly the same** application as the paper version enclosed.

The Checklist (Section 7 of Part B the grant application form) and the Declaration by the applicant (Section 8 of Part B of the grant application form) must be stapled separately and enclosed in the envelope.

Where an applicant sends two different applications for the two different lots, each one has to be sent separately.

The outer envelope must bear the **reference number and the title of the Call for Proposals and the number of the Lot**, together with the full name and address of the applicant, and the words ‘**Not to be opened before the opening session**’.

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

<b><u>By post:</u></b>  <b>European Commission Directorate-General for Humanitarian Aid and Civil Protections - ECHO L-86 B – 1049 Brussels Call for Proposal ref. EuropeAid/136006/ACT/DH/Multi</b>	<b><u>By courier or by hand:</u></b>  <b>European Commission Directorate-General for Humanitarian Aid and Civil Protections - ECHO Avenue du Bourget 1 B-1140 Brussels (Evere) Call for Proposal ref. EuropeAid/136006/ACT/DH/Multi</b>
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Applications sent by any other means (e.g. by fax or by e-mail) or delivered to other addresses will be rejected.

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

### **2.2.3. *Deadline for submission of Applications***

The deadline for the submission of applications is **01.09.2014** as evidenced by the date of dispatch, the postmark or the date of the deposit slip. In the case of hand-deliveries, the deadline for receipt is 16.00 as evidenced by the signed and dated receipt. The opening hours of the Commission's central mail department are from 08.00 to 17.00 Monday to Thursday, and from 8.00 to 16.00 on Fridays. It is closed on Saturdays, Sundays and Commission holidays. Any application submitted after the deadline will automatically be rejected.

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

### **2.2.4. *Further information about Applications***

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

E-mail address: [ECHO-A5@ec.europa.eu](mailto:ECHO-A5@ec.europa.eu)

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

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

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

Questions that may be relevant to other applicants, together with the answers, will be published on the EuropeAid website: <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> and [http://ec.europa.eu/echo/funding/opportunities/proposals\\_en.htm](http://ec.europa.eu/echo/funding/opportunities/proposals_en.htm). 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 actions submitted by applicants will be assessed according to the following steps and criteria.

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

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

The following will be assessed:

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

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

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

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

#### Scores

<b>1. Relevance of the action</b>	Sub-score	<b>30</b>
1.1 How relevant is the proposal to the objectives and the expected results of the Call for Proposals?*	5x2*	
1.2 How relevant to the particular needs and constraints of the target country(ies) or region(s) is the proposal (including synergy with other EU initiatives and avoidance of duplication)?	5x2*	
1.3 Does the proposal address the final beneficiaries/ target groups appropriately? Does the proposal outline a strategy for the involvement of the target groups and relevant stakeholders (including the European Commission) in the planning and implementation of the programme?	5	

1.4 Does the proposal contain specific added-value elements, such as for enhancing the cooperation between the beneficiary countries and countries from the European Union, utilisation of EU best practices, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities etc?	5	
<b>2. Design of the action</b>	Sub-score	<b>20</b>
2.1 How coherent is the overall design of the action?  In particular, does it reflect the analysis of the problems involved, take into account external factors and relevant stakeholders?	5x2*	
2.2 Is the action feasible and consistent in relation to the objectives and expected results?	5x2*	
<b>TOTAL SCORE</b>		<b>50</b>

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

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

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

Secondly, only the Concept Notes with the three first best rankings above 30 points will be pre-selected and only the full proposals of those applicants will be further evaluated.

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

## **(2) STEP 2: EVALUATION OF THE FULL APPLICATION**

Firstly, the following will be assessed:

- The full application form satisfies all the criteria specified in points 1-9 of the Checklist (Section 7 of Part B of the grant application form). If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

The quality of the applications, including the proposed budget and capacity of the applicants and affiliated entity(ies), will be evaluated using the evaluation criteria in the evaluation grid below. There are two types of evaluation criteria: selection and award criteria.

**The selection criteria** help to evaluate the applicant(s)'s and affiliated entity(ies)'s operational capacity and the applicant's financial capacity and to ensure that they:

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

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

*Scoring:*

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

**Evaluation Grid**

<b>Section</b>	<b>Maximum Score</b>
<b>1. Financial and operational capacity</b>	<b>20</b>
1.1 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient experience of project management, including management of international project in the field of disaster management? Do they have experience of cooperation with the beneficiary countries?	5
1.2 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient technical expertise? (especially knowledge of the issues to be addressed)	5
1.3 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient management capacity? (Including staff, equipment and ability to handle the budget for the action)?  Are the proper bodies (management group and other structures) and procedures in place to secure monitoring, decision making, and control of the progress of the programme?	5
1.4 Does the lead applicant have stable and sufficient sources of finance?	5
<b>2. Relevance of the action</b>	<b>30</b>
<i>Score transferred from the Concept Note evaluation</i>	
<b>3. Effectiveness and feasibility of the action</b>	<b>20</b>
3.1 Are the activities proposed appropriate, practical, and consistent with the objectives and expected results?	5
3.2 Is the action plan clear and feasible? Is the time-frame realistic? Have the reporting obligations to the Commission been included? Are the lists of deliverables and milestones comprehensive and consistent with the expected results?	5
3.3 Does the proposal contain objectively verifiable indicators for the outcome of the action? Is any evaluation planned?	5
3.4 Is the co-applicant(s)'s and affiliated entity(ies)'s level of involvement and participation in the action satisfactory? Is it clearly stated how, when and by whom each activity will be undertaken?	5
<b>4. Sustainability of the action</b>	<b>15</b>
4.1 Is the action likely to have a tangible impact on its target groups? Is the proposal likely to have multiplier effects? (Including scope for replication, extension and information sharing.)	5

4.2 Does the proposal contain a detailed risk analysis and contingency plan? Which are the main preconditions and assumptions during and after the implementation phase?	5
4.3 Are the expected results of the proposed action sustainable?:  - financially ( <i>how will the activities be financed after the funding ends?</i> )  - institutionally ( <i>will structures allowing the activities to continue be in place at the end of the action? Will there be local 'ownership' of the results of the action?</i> )  - at policy level (where applicable) ( <i>what will be the structural impact of the action — e.g. will it lead to improved legislation, codes of conduct, methods, etc?</i> )  Does the proposal suggest a strategy for ensuring the sustainability of the action and the achieved results?	5
<b>5. Budget and cost-effectiveness of the action</b>	<b>15</b>
5.1 Are the activities appropriately reflected in the budget?	/ 5
5.2 Is the ratio between the estimated costs and the expected results satisfactory?	/ 10
<b>Maximum total score</b>	<b>100</b>

*Note on section 1. Financial and operational capacity*

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

*Provisional selection*

After the evaluation, a table will be drawn up listing the applications ranked according to their score and within the limits of the funds available.

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

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

The eligibility verification, based on the supporting documents requested by the Contracting Authority (see Section 2.4) will only be performed for the first best ranked application that has been provisionally selected according to its score and within the available financial envelope.

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

Any rejected application will be replaced by the next best placed application on the reserve list that falls within the available financial envelope.

## 2.4. SUBMISSION OF SUPPORTING DOCUMENTS FOR PROVISIONALLY SELECTED APPLICATIONS

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

1. The statutes or articles of association of the applicant, (if any) of each co-applicant(s) and (if any) of each affiliated entity(ies)<sup>17</sup>. Where the Contracting Authority has recognised the applicant's, or the co-applicant(s)'s, or their affiliated entity(ies)'s eligibility for another call for proposals under the same budget line within 2 years before the deadline for receipt of applications, it should be submitted, instead of the statutes or articles of association, a copy of the document proving their eligibility in a former Call (e.g. a copy of the special conditions of a grant contract received during the reference period), unless a change in legal status has occurred in the meantime<sup>18</sup>. This obligation does not apply to international organisations which have signed a framework agreement with the European Commission.
2. An external audit report produced by an approved auditor, certifying the applicant's accounts for the last financial year available where the total amount of the grant exceeds EUR 750 000 (EUR 100 000 for an operating grant). The external audit report is not required from (if any) the co-applicant(s).

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

3. A copy of the applicant's latest accounts (the profit and loss account and the balance sheet for the last financial year for which the accounts have been closed)<sup>19</sup>. A copy of the latest account is neither required from (if any) the co-applicant(s) nor from (if any) affiliated entity(ies).
4. Legal entity sheet (see annex D of these Guidelines) duly completed and signed by each of the applicants (i.e. by the applicant and (if any) by each co-applicant(s)), accompanied by the justifying documents requested there. If the applicants have already signed a contract with the Contracting Authority, instead of the legal entity sheet and supporting documents, the legal entity number may be provided, unless a change in legal status occurred in the meantime.
5. A financial identification form of the applicant (not from co-applicant(s)) conforming to the model attached at Annex E of these Guidelines, certified by the bank to which the payments will be made. This bank should be located in the country where the applicant is established. If the applicant has already submitted a financial identification form in the past for a contract where the European Commission was in charge of the payments and intends to use the same bank account, a copy of the previous financial identification form may be provided instead.

Where such documents are not in one of the official languages of the European Union, a translation into the language of the call for proposals of the relevant parts of these documents proving the applicant(s)'s eligibility, must be attached for the purpose of analysing the application.

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

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

19 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.

Where these documents are in an official language of the European Union other than the language of the call for proposals, it is **strongly** recommended, in order to facilitate the evaluation, to provide a translation of the relevant parts of the documents, proving the applicants' eligibility, into English.

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

After verifying the supporting documents, the Evaluation Committee will make a final recommendation to the Contracting Authority, which will decide on the award of grants.

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

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

### 2.5.1. *Content of the decision*

The applicants will be informed in writing of the Contracting Authority's decision concerning their application and, if rejected, the reasons for the negative decision.

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

### 2.5.2. *Indicative timetable*

	DATE	TIME*
<b>Deadline for requesting any clarifications from the Contracting Authority</b>	11.08.2014	
<b>Last date on which clarifications are issued by the Contracting Authority</b>	21.08.2014	-
<b>Deadline for submission of Application Form</b>	01.09.2014	16:00
<b>Information to applicants on opening, administrative checks and concept note evaluation (Step 1)</b>	24.09.2014*	-
<b>Information to applicants on the evaluation of the Full Application Form (Step 2)<sup>20</sup></b>	30.09.2014*	-

<sup>20</sup> Note that according to the financial regulation, in direct management, applicants must be notified the outcome of the evaluation of their applications within 6 months following the submission deadline of the full application. This time-limit may be exceeded in exceptional cases, in particular for complex actions (including Multi-beneficiary calls), large number of proposals or in case of delays attributable to the applicants.

<b>Notification of award (after the eligibility check) (Step 3)</b>	20.10.2014*	-
<b>Contract signature<sup>21</sup></b>	20.11.2014*	-

\***Provisional date.** All times are in the time zone of the country of the Contracting Authority.

This indicative timetable may be updated by the Contracting Authority during the procedure. In such cases, the updated timetable will be published on the EuropeAid web site <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> and [http://ec.europa.eu/echo/funding/opportunities/proposals\\_en.htm](http://ec.europa.eu/echo/funding/opportunities/proposals_en.htm).

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

Following the decision to award a grant, the Beneficiary(ies) will be offered a contract based on the Contracting Authority's grant contract (see Annex G of these Guidelines<sup>22</sup>). By signing the application form (Annex A of these Guidelines), the applicants agree, if awarded a grant, to accept the contractual conditions of the standard grant contract.

### Implementation contracts

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

## **2.7. EARLY WARNING SYSTEM AND CENTRAL EXCLUSION DATABASE**

The applicants and, if they are legal entities, the persons who have powers of representation, decision-making or control over them, are informed that, should they be in one of the situations mentioned in:

- Commission Decision of 16.12.2008 on the Early Warning System (EWS) for the use of authorising officers of the Commission and the executive agencies (OJ, L 344, 20.12.2008, p.125) or
- Commission Regulation of 17.12.2008 on the Central Exclusion Database (CED) (OJ L344, 20.12.2008, p.12),

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

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<sup>21</sup> **Note that the contract shall be signed by both parties and submitted to the Commission by no means later than 27 November. If the signed contract does not get registered in the Commission's system until 30 November 2014 the budget line will be closed and the Programme will be cancelled.**

<sup>22</sup> Complemented by the provisions in Annex e3h11 where at least one of the beneficiaries is an international organisation.



### 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

#### DOCUMENTS FOR INFORMATION

Annex G: Standard Grant Contract

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

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

#### Useful links:

**Daily allowance rates** (Per diem), available at the following address:

[http://ec.europa.eu/europeaid/work/procedures/implementation/per\\_diems/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/per_diems/index_en.htm)

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

[http://ec.europa.eu/europeaid/multimedia/publications/publications/manuals-tools/t101\\_en.htm](http://ec.europa.eu/europeaid/multimedia/publications/publications/manuals-tools/t101_en.htm)

#### **The implementation of grant contracts - A Users' Guide**

<http://ec.europa.eu/europeaid/companion/document.do?chapterId=497>

#### **Financial Toolkit**

[http://ec.europa.eu/europeaid/work/procedures/financial-management-toolkit\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/financial-management-toolkit_en.htm)

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