



**Contracting Authority**  
**Delegation of the European Union to the Republic of Serbia**

**Provision to the improvement of living conditions of IDPs and  
returnees from readmission process in Serbia and support to the  
sustainable return to Kosovo\***

**Guidelines for grant applicants**

Budget line: **22.020101**

**Reference: EuropeAid/154545/DD/ACT/RS**

Deadline for submission<sup>1</sup> of concept notes:

18/04/2017 at 15:00 CET

**at (Brussels date and time)**

(in order to convert to local time click **here**<sup>2</sup>)

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\* This designation is without prejudice to positions on status, and is in line with UNSCR 1244/99 and the ICJ Opinion on the Kosovo declaration of independence.

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

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

## NOTICE

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

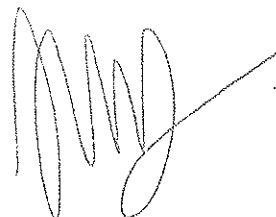
**To apply to this call for proposals organisations must register in PADOR and submit their application in PROSPECT (see section 2.2.2 of the guidelines).** The aim of PROSPECT is to increase the efficiency of the management of the call for proposals and to offer a better service to civil society organisations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

Information session(s) will be organised to help applicants familiarise themselves with the system before the online submission.

The date, time and place of the information session(s) will be announced timely on the EuropeAid website <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> and on the website of the EU Delegation in Serbia [www.europa.rs](http://www.europa.rs)

No costs incurred by the applicants for attending this information session are reimbursable.

All organisations can find the e-learning (Annex L) and the PROSPECT users' manual (Annex M) and the FAQ published together with the documents of this call. You may also contact our technical support team via the online support form in PROSPECT<sup>3</sup>.

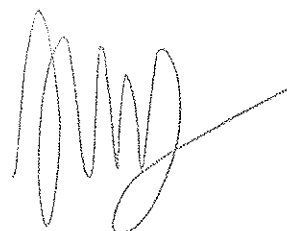


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<sup>3</sup> If PROSPECT is unavailable, the IT support can also be reached via email: [EuropeAid-IT-support@ec.europa.eu](mailto:EuropeAid-IT-support@ec.europa.eu)

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# **1 Provision to the improvement of living conditions of IDPs and returnees from readmission process in Serbia and support to the sustainable return to Kosovo\***

## **1.1 BACKGROUND**

The Republic of Serbia (RS) still provides refuge to some 66,400 refugees and 210,000 IDPs. The worsening of socioeconomic situation within the RS has particularly affected vulnerable social groups, most of all refugees and displaced persons who live in a state of perpetual uncertainty as concerns the possibility of their return and are further exposed to the limited support being offered for the integration of refugees and the improvement of living conditions among IDPs in the RS.

In the MIPD 2011–2013, one of the three major priorities (social inclusion and reconciliation) identified for EU support during this period is the integration of vulnerable groups and minorities, including the Roma as well as refugees, IDPs and returnees, in accordance with the Readmission Agreement. Within the Justice and Home Affairs (JHA) sector objectives it is specified that attention will be given to human rights, the protection of minorities and migrants. This project links directly with these objectives by addressing the need to improve the housing conditions of refugees and IDPs that have chosen to stay in the RS and will contribute to enabling a sustainable return to persons who are considering a return to their home of origin which is guaranteed by numerous human rights instruments.

Specific objectives within the Social Development sector include a continued need to prevent the social exclusion of vulnerable groups, in particular Roma, and an improvement of the living conditions of migrants, refugees and internally displaced persons. The progressive closure of collective centres, the successful reintegration of refugee and IDP populations and the increase in the services being offered to vulnerable persons are included among the indicators that will be used to measure achievements within this field, while in the case of the JHA Sector, improvements within the migration management mechanisms are expected. The MIPD highlights that fighting poverty and the social exclusion of vulnerable groups, in particular Roma, remains a key challenge.

Within the **National Programme for Integration of the Republic of Serbia into the European Union** (2009), one of the priorities emphasised is to provide refugees with the real choice of either integration or sustainable return.

Similarly, the Strategy for Migration Management (2009) comprehensively analyses the overall situation and the problems inherent in migration and calls for “an improvement of the living conditions of IDPs while they are displaced and reintegration of returnees on the basis of the Readmission Agreement.” In its multidimensional approach to improve the living conditions of migrants, the project directly links to the NPI and this Strategy, as well as the **Strategy of Returnees’ Reintegration based on the Readmission Agreement** (2009) and the **National Strategy for Resolving Problems of Refugees and IDPs**.

The “**Strategy for Sustainable Return to Kosovo and Metohija**” includes measures and activities which would enable the return and settlement to the territory of Kosovo, which is also addressed by this project.

The **Poverty Reduction Strategy** (2003) has singled out the problems of refugees and IDPs as being among the most in need of urgent attention. In addressing issues related to the provision of housing solutions, the closure of CCs and the implementation of measures to promote employment, the project links to the PRS by supporting the means by which to decrease the number of refugees and IDPs listed among the poor and reduce the amount of time they spend in a state of poverty.

In the **Strategy for the Improvement of the Status of Roma in the Republic of Serbia** (2016) Roma IDPs are seen as especially vulnerable group. With a considerable portion of the migrants and returnees under the Readmission agreement being from the Roma population, the project links to this strategy by taking steps to provide durable solutions for this target group.

The project links to Priority 1 in the Rule of Law sector of the **Needs of the Republic of Serbia for International Assistance 2011-2013**. More specifically, the project supports Measure 1.4., the

enhancement and implementation of asylum policy and the status of refugees and IDPs. Project activities align with this in their aim to improve the living conditions of refugees and IDPs.

Despite the fact that from the very outset of the refugee situation in 1992, the RS and the international community have directed all available resources towards the resolution of the problems faced by refugees, as well as the problems faced by the IDPs since 1999, assistance for the resolution of the outstanding problems remains imperative. Over the past few years, sustainable housing solutions have been provided for over 14,000 families, amounting to some 50,000 refugees and IDPs.

Studies<sup>4</sup> have shown that the major obstacles to the integration of refugees and the improvement of their standard of living conditions are an inadequate number of available housing solutions and a poor economic standing. Precisely, the analyses of the needs of refugees show that 61% of refugees have not resolved their housing issues; the level of unemployment within this category is 33%; and 29% of refugees have a monthly income of only 48 Euros, putting them in the category of people living below the poverty line.

A targeted survey<sup>5</sup> demonstrates that unemployment among IDPs from Kosovo at 40.7%, 16% of IDP households do not have any source of income, while 39% of households have less than 50 Euros per family member at their disposal per month. Furthermore, 64.2% of Roma IDPs and 25.9% of non Roma IDPs have some form of income on the basis of social protection. Even though more than 1,500 families expressed their wish to return to Kosovo, during 2009 and 2010, only slightly more than 200 people actually returned. In addition to the fact that the return process requires legal, physical and material security, it is also necessary to provide adequate facilities for housing, as well as unimpeded access to income generating opportunities in the places of return.

Despite different projects funded in Kosovo such conditions have not been met yet. Authorities in the Republic of Serbia are duly informed by the EU on the volume and character of support for return and reintegration objectives being provided through the IPA allocation for Kosovo, as no such activity can be funded by the IPA funds allocated to the Republic of Serbia. Thus, the present project for IPA 2014 envisages only the types of support that stimulate returns (information and income-generating activities) and can complement the other more substantial and durable solutions.

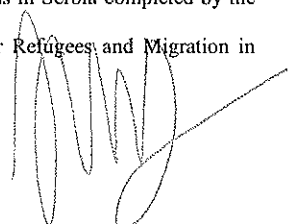
Displaced persons belonging to the Roma community, represent a particularly vulnerable category of IDPs and they have more difficulties attaining their guaranteed rights, citizen status, healthcare, education, employment and accommodation. The housing needs of these migrants remain great: the RAE population make up 20% of those housed in CCs; 31% of the households of IDP Roma who are in a position of social need live in inadequate housing facilities; and 73.1% of Roma IDPs have at their disposal less than 10 square meters of housing space per member of the household. Also, the population in question is the most prominent group within unhygienic and informal settlements, further demonstrating the necessity to provide alternative housing solutions.

The Returnees Needs Assessment Survey, conducted by IOM within the IPA 2010 project, "Capacity Building of the Institutions involved in Migration Management and Reintegration of the Returnees in the Republic of Serbia," shows that the unemployment rate among returnee respondents is 82%, the only income of 35% of households represents financial assistance provided by Centres of Social Welfare, while 80% of respondents consider job finding assistance to be the most desirable solution for improvement of their economic situation. Since 2008 the Commissariat for Refugees and Migration has been encouraging and strengthening the active role of Local Self-Governments (LSGs) to provide housing solutions to returnees and facilitating the implementation of LAPs. Training exercises regarding the development and implementation of LAPs have been organised and were attended by an increasing number of LSG representatives. As envisaged by the Commissariat's initiative, Local Councils for

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<sup>4</sup> Refugee Needs Assessment in the Republic of Serbia and Assessment of needs of internally displaced persons in Serbia completed by the Commissariat for Refugees and Migration in cooperation with the UNHCR and IoM between 2008 and 2010.

<sup>5</sup> The condition and the needs of IDPs in collective centres in the RS, completed by the Commissariat for Refugees and Migration in cooperation with the UNDP in December 2009.



Migration Management and Durable Solutions were established in 146 municipalities, while 126 municipalities have adopted their LAPs so far, including the allocation of specific municipal budget lines for the implementation of the plans in addition to the State budget and the contribution of donors' funds. In total, 128 municipalities have been supported throughout the planning process thus far. Within CBMM project, a total of 107 municipalities/cities have been involved in training for revision of existing LAP's in order to include needs of other migrants groups such as returnees according readmission agreement. In the previous period of time, 24 municipalities cities have adopted revised LAP's while additional 53 municipalities/cities are still in the process of development and adoption. Additional trainings for the representatives of Municipal Councils on Migration and Durable Solutions should continue as to date they have proven to be useful, particularly because the integration and social inclusion of migrant populations is generally facilitated by local-level planning and involvement. LAPs, as similar planning documents, usually consist of a problem analysis, needs assessment, analysis of municipal resources, and finally, a set of activities which should lead to durable solutions for refugees, IDPs and, in some municipalities, returnees according to the Readmission Agreement. Moreover, the existing capacities of LSGs are used for the implementation of activities which further tremendously decreases implementation costs and finally, various specific activities can be planned, as opposed to the general planning that takes place at the central level. While the LAPs **mainly envision housing solutions (provision of building materials, village and prefabricated houses), they also include income generating activities, as also some specific activities such as legal counselling and the facilitation of access to different services.** As virtually all donors' assistance is geared toward the closure of CCs, this is the only mechanism for assisting those living outside the CCs that is financed mainly from the state budget.

Around 210 000 IDPs, mainly residing in Southern and Central Serbia and Belgrade, have been so far registered on the territory of inner Serbia (not including the territory of Kosovo\*). According to UNHCR data, only 17 000 Serbs and other non-Albanians returned to Kosovo\*. It is estimated that only 5 000 persons actually achieved sustainable return. IDPs face numerous problems protecting their land, housing property and other acquired rights in Kosovo due to absence of comprehensive administrative mechanisms for resolving these issues including security concerns.

Given that the RS has provided refuge to more than 700,000 refugees and war affected persons as well as to 210,000 IDPs, most of whom remain in a state of social need and are unable to solve their housing concerns without assistance, there is still a necessity to further support programmes designed to provide durable housing solutions and improved living conditions for those in need. In addition, the RS receives a number of returnees on the basis of the Readmission Agreements which oblige the country to provide the basic living conditions that enable reintegration, it is necessary to provide additional resources for these purposes.

The final beneficiaries of this project will be:

- IDPs – internally displaced persons from Kosovo, both in the process of return and integration;
- Returnees – persons returned to the Republic of Serbia according the Readmission Agreement in the process of reintegration

The strategic framework which enables improvement of living conditions of IDPs and provision of durable solutions has been established.<sup>6</sup> In terms of durable solutions (as stipulated in the Framework on Durable Solutions for Internally Displaced Persons) both return and integration should be left open as an option. However, despite implemented measures a small number of IDPs has returned to Kosovo\* (less than 5% of the total IDP population). According to the UNHCR data 17.000 persons have returned and only 5.000 persons achieved sustainable return due to the lack of security and opportunities to exercise basic human rights. While waiting for standards in place of origin to be reached, such as full respect for acquired rights, the access to property and other rights, as an unalienable part of durable solution, it

\* This designation is without prejudice to positions on status, and is in line with UNSCR 1244/1999 and the ICJ Opinion on the Kosovo declaration of independence.

<sup>6</sup> National Strategy for resolving problems of refugees and internally displaced persons for the period from 2015 to 2020



should be ensured that these persons live with dignity and enjoy their rights while in displacement, by implementing the programs aimed at improving their living conditions.

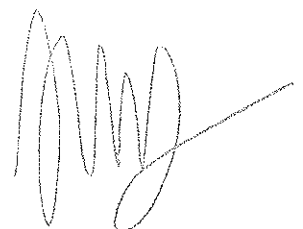
Since 2008, the Commissariat for Refugees and Migration developed decentralized system for planning and implementing projects related to refugees, IDPs and returnees through establishment of local Councils for Migration and development of Local Action Plans. Thus far, 151 municipalities/cities set up municipal/city migration councils, composed of representatives of different local institutions/organizations involved in resolving the problems of refugees, improving living conditions of IDPs and providing sustainable housing solutions to returnees, while 80% municipalities/cities established a special budget line, under which local self-governments, depending on municipality's level of development, co-fund projects with a minimum 5% contribution, while in certain instances such contributions amount to 20–30% of the total project value. The LAPs are strategic and action documents which contain an assessment of the needs existent within the territories of local self-governments, actions that need to be implemented as also the financial resources necessary for the resolving of the housing and other needs of refugees, IDPs and returnees upon the readmission agreements. By June 2016, 147 municipalities have adopted LAPs to provide solutions to different categories of migrants under their jurisdiction, with over 80% having allocated some funds for their implementation. Among them 101 municipality involved returnees upon the readmission agreement. Providing durable and sustainable housing solutions for refugees, IDPs and returnees upon the readmission agreement envisage the allocation of construction material, purchase of village houses and allocation of prefabricated houses. For the most vulnerable migrants housing solution is provided through a program of social housing in protected environment. Support to these migrant categories includes not only assistance in resolving housing issue, but also in livelihood support including vocational training and income generating activities, which is understandable considering that these are the main needs of refugees, IDPs and returnees. According to the Ministry of Interior, total of 4,974 returnees upon the readmission agreement were returned to Serbia in 2015. In the same period, 3,174 people, or 794 families has contacted the Office for Readmission at Belgrade Airport to obtain information and assistance upon return. As stated in the Strategy for Reintegration of Returnees under the Readmission Agreements the active integration of returnees implies effective state policy aimed at integrating returnees into the society in an effective, efficient, viable and comprehensive way, with full enjoyment of returnees' rights and their active inclusion in the process of elaboration and implementation of programs and measures that will make this integration possible, as well as empowering their own capabilities during this process. Records of the Readmission Office at the "Nikola Tesla" airport show that returnees include extremely poor persons, mostly of Roma ethnicity, who are multiply vulnerable. Accepting these persons demands urgent resolving of the issues concerning provision of efficient and high quality returnees' protection.

Surveys show that the common problems of all migrant categories are the lack of appropriate housing solutions and the inability of finding adequate employment. Survey<sup>7</sup> on needs of IDPs showed that around 46% (22, 880 families) of IDP population fall in the category of vulnerable due to the lack of both housing and regular income. Among them, 17.1% are RAE families. Displaced persons belonging to RAE communities (Roma, Ashkali and Egyptians) are particularly vulnerable category of persons experiencing additional difficulties concerning the realisation of their guaranteed rights and citizenship status. In addition, population in question is the most prominent group within unhygienic and informal settlements, further demonstrating the necessity to provide alternative housing solutions. The unemployment rate among IDPs is notably higher in comparison to the local population, as are the burdensome housing problems, especially for RAE community. The Returnees Needs Assessment Survey<sup>8</sup> shows that the unemployment rate among returnee respondents is 82%, the only income of 35% of households represents financial assistance provided by Centres of Social Welfare, while 80% of respondents consider job finding assistance to be the most desirable solution for improvement of their economic situation.

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<sup>7</sup> Survey on needs of IDPs conducted in 2011 by the Commissariat together with UNHCR, Joint IDP Profiling Service from Geneva and Statistical Office of the Republic of Serbia

<sup>8</sup> IPA 2010 project "Capacity Building of the Institutions involved in Migration Management and Reintegration of the Returnees in the Republic of Serbia"



Using a multidimensional approach previously deployed by the Commissariat for Refugees and Migration, this project will endeavour to offer durable housing solutions and employment opportunities through LAPs, with special attention dedicated to extremely vulnerable individuals (EVIs). LAPs have proven to be a useful tool for more efficient planning and utilisation of limited resources for resolving migrant problems for several reasons: primarily, the precise needs of migrants are best known within the local community. Moreover, the existing capacities of LSGs are used for the implementation of activities which further tremendously decreases implementation costs and finally, various specific activities can be planned, as opposed to the general planning that takes place at the central level.

## **1.2 OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES**

The **global objective** of this call for proposals is:

To contribute to the Rule of Law in Serbia by strengthening the migration management and border control

The **specific objectives** of this call for proposals are:

Living conditions of IDPs and returnees from the readmission process in Serbia improved and sustainable return of IDPs to Kosovo supported.

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

The overall indicative amount made available under this Call for Proposals is **EUR 5,650,000**.

The Contracting Authority reserves the right not to award all available funds.

### **Indicative allocation of funds by lot/geographical distribution:**

If the allocation indicated for a specific lot cannot be used due to insufficient quality or number of proposals received, the Contracting Authority reserves the right to reallocate the remaining funds to another lot.

### **LOT 1 –Improvement of living conditions of IDPs and returnees from readmission process in Serbia - EUR 3, 150, 000**

#### Size of grants

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

- Minimum amount: EUR 250.000
- Maximum amount: EUR 500.000

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

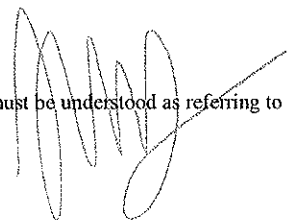
- Minimum percentage: 65 % of the total eligible costs of the action;
- Maximum percentage: 95 % of the total eligible costs of the action (see also section 2.1.5).

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 European Union Budget or the European Development Fund<sup>9</sup>.

### **LOT 2 –Support to return to Kosovo\* - EUR 2, 500, 000**

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<sup>9</sup> Where a grant is financed by the European Development Fund, any mention of European Union financing must be understood as referring to European Development Fund financing.





### Size of grants


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

- Minimum amount: EUR 200.000
- Maximum amount: EUR 500.000

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: 65 % 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 European Union Budget or the European Development Fund<sup>10</sup>.

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<sup>10</sup> Where a grant is financed by the European Development Fund, any mention of European Union financing must be understood as referring to European Development Fund financing.

## 2 RULES FOR THIS CALL FOR PROPOSALS

These guidelines set out the rules for the submission, selection and implementation of the actions financed under this call, in conformity with the Practical Guide, which is applicable to the present call (available at <http://ec.europa.eu/europeaid/prag/document.do?locale=en>)<sup>11</sup>.

### 2.1 ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

(1) the actors:

- The **lead applicant**, i.e. the entity submitting the application form (2.1.1),
- 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 legal persons **and**
- be specific type of organization such as:
  - municipality of the Republic of Serbia, **or** city municipality of the Republic of Serbia, **or** town of the Republic of Serbia (excluding municipalities/city municipalities/towns in the territory of Kosovo\*, as in line with Annex 1 to IPA Regulation 231/2014 of the European Parliament and of the Council of 11 March 2014); **or**
  - non-governmental organisation **and**
- be established in<sup>12</sup> a Member State of the European Union or, in a country covered by the Article 10 of the IPA Regulation<sup>13</sup> **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.

<sup>11</sup> Note that a lead applicant (i.e. a Coordinator) whose pillars have been positively assessed by the European Commission and who is awarded a grant will not sign the standard grant contract published with these guidelines but a PA Grant Agreement based on the PAGO DA template. All references in these guidelines and other documents related to this call to the standard grant contract shall in this case be understood as referring to the relevant provisions of the PAGO DA template.

<sup>12</sup> To be determined on the basis of the organisation's statutes that should demonstrate that it has been established by an instrument governed by the national law of the country concerned and that its head office is located in an eligible country. In this respect, any legal entity whose statutes have been established in another country cannot be considered an eligible local organisation, even if the statutes are registered locally or a 'Memorandum of Understanding' has been concluded.

<sup>13</sup> Regulation (EU) N°236/2014 of the European Parliament and of the Council of 11 March 2014 laying down common rules and procedures for the implementation of the Union's instruments for financing external action

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

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

The lead applicant must act with at least one co-applicant, as specified hereafter.

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

### **Co-applicant(s)**

At least one co-applicant is mandatory for this Call for Proposals.

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.

If the lead applicant is a municipality/city municipality/town of the Republic of Serbia (excluding municipalities/city municipalities/towns in the territory of Kosovo\*, as in line with Annex 1 to IPA Regulation 231/2014 of the European Parliament and of the Council of 11 March 2014), it must act with a non-governmental organisation as co-applicant. Other co-applicants may participate.

If the lead applicant is a non-governmental organisation, it must act with a municipality/city municipality or town of the Republic of Serbia (excluding municipalities/city municipalities/towns in the territory of Kosovo\*, as in line with Annex 1 to IPA Regulation 231/2014 of the European Parliament and of the Council of 11 March 2014) as co-applicant. Other co-applicants may participate.

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

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

### **2.1.2 Affiliated entities**

Affiliated entity(ies)

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

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

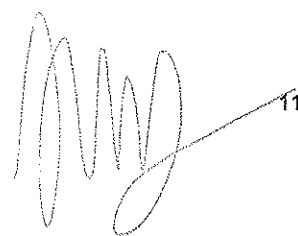
Only entities having a structural link with the applicants (i.e. the lead applicant or a co-applicant), in particular a legal or capital link.

This structural link encompasses mainly two notions:

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

Entities affiliated to applicant may hence be:

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



- Entities under the same direct or indirect control as the applicant (sister companies).
- (ii) Membership, i.e. the applicant is legally defined as a e.g. network, federation, association in which the proposed affiliated entities also participate or the applicant participates in the same entity (e.g. network, federation, association) as the proposed affiliated entities.

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

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

#### What is not an affiliated entity?

The following are not considered entities affiliated to an applicant:

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

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

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

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

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

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

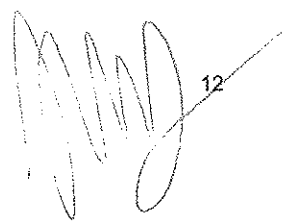
### **2.1.3 Associates and Contractors**

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

- Associates

Other organisations or individuals may be involved in the action. Such associates play a real role in the action but may not receive funding from the grant, with the exception of per diem or travel costs. Associates do not have to meet the eligibility criteria referred to in section 2.1.1. Associates must be mentioned in Annex A.2., section 6 — 'Associates participating in the action'.

- Contractors



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

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

##### **LOT 1 –Improvement of living conditions of IDPs and returnees from readmission process in Serbia**

Definition:

An action is composed of a set of activities.

Sector or themes:

Improvement of the living conditions and social inclusion of IDPs and returnees under the Readmission agreement

Types of activity - Lot 1:

The “*National Strategy for resolving the issues of refugees and IDPs*” foresees return and integration, as the two main directions for solving the issues of these groups. The Strategy envisages the implementation of various projects that would provide housing solutions: building apartments, purchasing village houses, providing assistance for already commenced constructions and accommodation within the social protection system (social institutions and social housing in a protected environment). At the same time it is necessary to realise programmes that will facilitate the employment of IDPs. These programmes should include grants for the basic means for employment self-employment, as well as providing vocational training for IDPs and returnees from readmission in accordance with the requirements of the labour market. The similar actions are foreseen in The Strategy of Returnees Reintegration based on the Readmission Agreement.

Types of activity which may be financed under this lot are the following:

- Execution of housing rehabilitation or repairs or works (such as provision of building material packages to final beneficiaries, provision and installation of prefabricated house, etc.), for IDPs and returnees from readmission process. Furthermore, purchasing of village houses, buildings or land in accordance with Article 7.5 of the General Conditions of the standard grant contract
- Distribution of economic packages (with a purpose to start up, or extend existing business activities) in Serbia for self-sustainable living conditions
- Support to the implementation of 30 Local Action Plans in Serbia for solving the social inclusion issues of IDPs and returnees, in the areas of housing, employment, health care, education etc.

##### **LOT 2 –Support to return**

Definition:

An action is composed of a set of activities.

Sector or themes:

Sustainable Return to Kosovo \* Encouragement and Facilitation

Types of activity – Lot 2:

The “*National Strategy for resolving the issues of refugees and IDPs*” foresees return and integration, as the two main directions for solving the issues of these groups.

The Strategy envisages the implementation of various projects that would provide their living conditions and social inclusion of IDPs. At the same time it is necessary to recognize programmes that will facilitate the employment of IDPs. These programmes should include provision of vocational training for IDPs and returnees from Readmission in accordance with the requirements of the labour market, as well as outreach campaign and assistance regarding administrative issues. The similar actions are foreseen in The Strategy of Returnees Reintegration based on the Readmission Agreement. Activities under LOT 2 should provide

them information about possibilities for return, technical and administrative assistance, as well as economically strengthen them to support sustainability of their return.

Types of activity which may be financed under this call are the following:

- Review and update return-related selection criteria according to the instructions and methodology established in prior IPA grants schemes and identify IDP returnees
- Plan and implement outreach campaign;
- Provide transportation to return spots
- Conduct Go and See Visits to Kosovo\*;
- Provide legal and administrative assistance regarding relocation issues;
- Design and deliver training programmes related to grants for income generation activities (starting up a small business or agriculture-oriented income generation, etc.)
- Provision of grants for income generation activities and assistance kits (excluding the territory of Kosovo\*, as in line with Annex 1 to IPA Regulation 231/2014 of the European Parliament and of the Council of 11 March 2014).

### **For all lots**

#### Location

Actions must take place only in the Republic of Serbia (excluding the territory of Kosovo\*, as in line with Annex 1 to IPA Regulation 231/2014 of the European Parliament and of the Council of 11 March 2014).

#### Duration:

The initial planned duration of an action may not be lower than 18 months nor exceed 24 months.

#### Types of action

Types of action which may be financed under this call:

- Supporting social inclusion of internally displaced persons (IDPs) by providing housing solutions (provision of building material packages to final beneficiaries, purchasing of village houses, provision and installation of prefabricated house, etc.), as well as economic packages for self-sustainable living conditions with a purpose to start up, or extend existing business activities
- Supporting social inclusion of returnees under the Readmission Agreement by providing overall coordinated assistance for their inclusion in the society in the areas of education, employment, housing etc.
- Supporting sustainable return to Kosovo\* by providing grants for income generation activities (starting up a small business or agriculture-oriented income generation, etc.) and training programmes, as well assistance kits in related fields etc.
- Support to local self-governments in Serbia for the implementation of local action plans dealing with social inclusion of IDPs and returnees in the areas covered by LAPs, such as housing, employment, education, health and social welfare etc.
- Protection of social and economic rights, especially for groups particularly vulnerable to discrimination, such as IDPs and returnees under the Readmission Agreement, by providing them support in the areas such as housing, employment, education, health and social welfare etc.

The following types of action are ineligible:

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences or congresses;
- actions concerned only or mainly with individual scholarships for studies or training courses;

- actions aiming predominantly at charitable donations and profit making activities;
- actions which are already funded by other Community programmes and undertaken before the date of contract signature.

#### Financial support to third parties<sup>14</sup>

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.

A maximum of 10% of the action total eligible costs may be dedicated to provide financial support to third parties.

Under this call, financial support to third parties may not be the main purpose 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 objectives and results to be obtained 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.

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.

For the purposes of this Call for Proposals, third parties are IDPs and returnees under the Readmission agreement in the Republic of Serbia, as well as non-governmental organisations representing them.

The types of actions and activities which may be financed under this call are also eligible for financial support to third parties.

#### Visibility

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

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

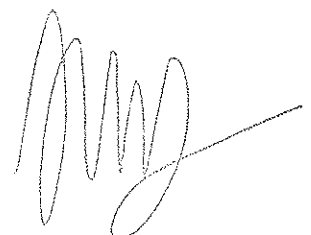
#### Number of applications and grants per applicants / affiliated entities

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

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

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<sup>14</sup> These third parties are neither affiliated entity(ies) nor associates nor contractors.



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

A co-applicant/affiliated entity **may not** submit more than one application per lot under this call for proposals.

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

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

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

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

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

Simplified cost options may take the form of:

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

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

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

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

- describe the information and methods used to establish the amounts of unit costs, lump sums and/or flat-rates, to which costs they refer, etc.
- clearly explain the formulas for calculation of the final eligible amount<sup>15</sup>

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



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

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

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

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

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

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

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

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

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

The method of allocation has to be:

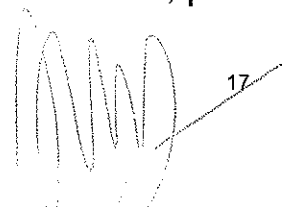
1. Compliant with the beneficiary's usual accounting and management practices and applied in a consistent manner regardless of the source of funding and
2. Based on an objective, fair and reliable allocation keys. (Please refer to Annex K to have examples of acceptable allocation keys).

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

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

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

Adequate record and documentation must be kept by the beneficiary(ies) to prove the compliance of the simplified allocation method used with the conditions set out above. Upon request of the beneficiary(ies), this compliance can be assessed and approved ex-ante by an independent external auditor. In such a case,



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the simplified allocation method will be automatically accepted by the evaluation committee and it will not be challenged ex post.

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

It has to be noted that the EUR 60.000 limit, otherwise applicable to costs declared on the basis of simplified cost options, is not relevant for costs declared following apportionment of Field Offices.

#### Eligible direct costs

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

#### Contingency reserve

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

#### Eligible indirect costs

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

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

#### Contributions in kind

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

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

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

#### Ineligible costs

The following costs are not eligible:

- debts and debt service charges (interest);
- provisions for losses or potential future liabilities;
- costs declared by the beneficiary(ies) and financed by another action or work programme receiving a European Union (including through EDF) grant;
- currency exchange losses;
- credit to third parties;
- salary costs of the personnel of national administrations;
- in kind contributions;
- taxes, including VAT, duties and charges;
- profit or surplus of the receipts over the eligible costs: no grant may give rise to profits, i.e. it must only balance income and expenditure for the action.



Please take special note of the provision of Article 14 of General Conditions with regards to eligible and ineligible costs, as well as rules to be respected set by Annex IV related to all secondary procurement activities.

## 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**<sup>16</sup> 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](http://ec.europa.eu/europeaid/pador_en)

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

If it is impossible to register online in PADOR for technical reasons, the applicants and/or affiliated entity(ies) must complete the 'PADOR off-line form'<sup>17</sup> 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](mailto:EuropeAid-IT-support@ec.europa.eu) **via the online support form in PROSPECT.**

### 2.2.1 *Concept note content*

Applications must be submitted in accordance with the concept note instructions in the grant application form<sup>18</sup> annexed to these guidelines (Annex A.1). Applicants must apply in English.

Please note that:

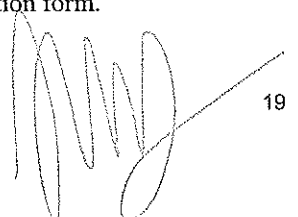
1. In the concept note lead applicants must provide only an estimate of the **requested EU contribution**, as well as an indicative percentage of this contribution in relation to the total eligible costs of the action. A detailed budget is to be submitted only by lead applicants invited to submit a full application in the second phase

2. **The elements outlined in the concept note may not be modified in the full application form.** The EU contribution may not vary from the initial estimate by more than 20%. Lead applicants are free to adapt the requested EU contribution as a percentage of the total eligible costs within the minimum and maximum amounts and percentages provided 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

<sup>16</sup> 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.

<sup>17</sup> Which corresponds to sections 3 and 4 of the full application form – Annex A.2.

<sup>18</sup> The grant application form consists of Annex A.1 – concept note and Annex A.2 – full application form.



explanation/justification of the relevant replacement/adjustment shall be included in section 2.1.1 of the grant application form.

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

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

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

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

### **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 **18/04/2017 at 15:00** (Brussels date and time). In order to convert this deadline to local time you can use any online time converter tool that takes into account time zones and winter/summer time changes (example available [here](#))<sup>19</sup> **The lead applicant is strongly advised not to wait until the last day to submit** its concept note, since heavy Internet traffic or a fault with the Internet connection (including electricity failure, etc.) could lead to difficulties in submission. The Contacting Authority cannot be held responsible for any delay due to such aforementioned difficulties.

Any concept note submitted after the deadline will be rejected.

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

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

Information session on this call for proposals will be held in Belgrade. The schedule of the information session will be published at a later date at the following websites:

- EuropeAid: <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>
- EU Delegation to the Republic of Serbia: [www.europa.rs](http://www.europa.rs)

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-SERBIA-FCS@eeas.europa.eu](mailto:DELEGATION-SERBIA-FCS@eeas.europa.eu)

<sup>19</sup> For example: <http://www.timeanddate.com/worldclock/converter.html>.



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 EuropeAid website <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> and the EU Delegation in Serbia website: <http://europa.rs>, as appropriate. It is therefore advisable to consult the abovementioned website regularly in order to be informed of the questions and answers published.

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

### **2.2.5 Full applications**

Lead applicants invited to submit a full application following pre-selection of their concept note must do so using the full application form annexed to these guidelines (Annex A.2).

Applications must be submitted in accordance with the full application instructions at the end of Annex A.2. Lead applicants must submit their full applications in English.

Please note that:

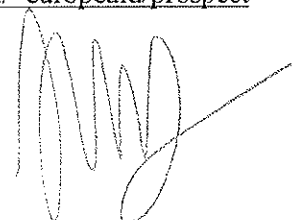
1. The elements outlined in the concept note cannot be modified by the lead applicant in the full application form. The EU contribution may not vary from the initial estimate by more than 20%, although lead applicants are free to adapt the percentage of co-financing required within the minimum and maximum 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). An explanation/justification of the relevant replacement/adjustment shall be included in section 2.1.1 of the grant application form.
2. 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).
3. 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. **No additional annexes should be sent.**

Any error or any major inconsistency related to the full application instructions (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.

### **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 Concept Note 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 Contracting Authority cannot be held responsible for any delay due to such afore-mentioned difficulties.

Any application submitted after the deadline will be rejected.

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

### **2.2.8 Further information about full applications**

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

E-mail address: [DELEGATION-SERBIA-FCS@ec.europa.eu](mailto:DELEGATION-SERBIA-FCS@ec.europa.eu)

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

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

To ensure equal treatment of applicants, the Contracting Authority cannot give a prior opinion on the eligibility of lead applicants, co-applicants, affiliated entity(ies), 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 EuropeAid website <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> and the EU Delegation in Serbia website: <http://europa.rs>, as appropriate. It is therefore advisable to consult the abovementioned website regularly in order to be informed of the questions and answers published.

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



## 2.3 EVALUATION AND SELECTION OF APPLICATIONS

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

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

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

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

- If the deadline has been met. Otherwise, the application will be automatically rejected.
- If the concept note satisfies all the criteria specified in the checklist in the instructions included in Annex A.1. 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 in line with the evaluation grid below. The evaluation will also check the compliance with the instructions on how to complete the concept note (Annex A.1).

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

#### Evaluation Grid

Section	Maximum Score
<b>1. Relevance of the action</b>	<b>30</b>
1.1. How relevant is the proposal to the objectives and priorities of the Call for Proposals?	5x2*
1.2. How relevant to the particular needs and constraints of the target country(ies) or region(s) is the proposal (including synergy with other EU initiatives and avoidance of duplication)?	5x2*
1.3. How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs been clearly defined and does the proposal address them appropriately?	5
1.4. Does the proposal contain specific added-value elements, such as environmental issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, or innovation and best practices?	5
<b>2. Design of the action</b>	<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>Maximum total score</b>	<b>50</b>


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

Concept notes with a score lower than 30 will be rejected.

Concept notes that reach the above threshold will be ranked by score. The highest scoring applications will be pre-selected until the limit of 200% of the available budget for this call for proposals is reached. The amount of requested contributions of each concept note will be based on the indicative financial envelopes for each lot, where relevant.

Lead applicants will receive a letter indicating the reference number of their application and the respective results. This letter will automatically appear online in the PROSPECT profile of the lead applicant. Lead applicants who, in exceptional cases (see section 2.2), had to submit their application by post or hand-delivery will receive the letter by email or by post if no e-mail address was provided.

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

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## STEP 2: OPENING & ADMINISTRATIVE CHECK AND EVALUATION OF THE FULL APPLICATION

During the opening and administrative check (including the eligibility check of the action) for full applications 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 in Annex A.2. 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 the capacity of the applicants and affiliated entity(ies). The evaluation criteria used are presented in the evaluation grid below. There are two types of evaluation criteria: selection and award criteria.

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

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

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

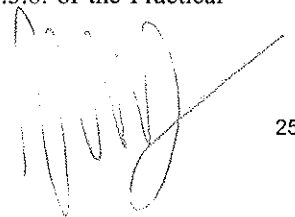
**The award criteria** help to evaluate the quality of the applications in relation to the objectives and priorities set forth in the guidelines, and to award grants to projects which maximise the overall effectiveness of the call for proposals. They help to select applications which the Contracting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

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

### Evaluation Grid<sup>20</sup>

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

<sup>20</sup> Note that the relevance may be re-evaluated in the cases described in sections 6.5.7 and 6.5.8. of the Practical Guide.



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)?	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>
2.1. How relevant is the proposal to the objectives and priorities of the Call for Proposals?	5x2*
2.2. How relevant to the particular needs and constraints of the target country(ies) or region(s) is the proposal (including synergy with other EU initiatives and avoidance of duplication)?	5x2*
2.3. How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs been clearly defined and does the proposal address them appropriately?	5
2.4. Does the proposal contain specific added-value elements, such as environmental issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, or innovation and best practices?	5
<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?	5
3.3. Does the proposal contain objectively verifiable indicators for the outcome of the action? Is any evaluation planned?	5
3.4. Is the co-applicant(s)'s and affiliated entity(ies)'s level of involvement and participation in the action satisfactory?	5
<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?	5
4.2. Is the proposal likely to have multiplier effects (including scope for replication, extension and information sharing)?	5
4.3. Are the expected results of the proposed action sustainable?:(1) financially (how will the activities be financed after the funding ends?)(2) institutionally (will structures allowing the activities to continue be in place at the end of the action? Will there be local 'ownership' of the results of the action?)(3) at policy level (where applicable) (what will be the structural impact of the action — e.g. will it lead to improved legislation, codes of conduct, methods, etc?)(4) environmentally (if applicable) (will the action have a negative/positive environmental impact?)"	5
<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>


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

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

Note that (members of) the evaluation committee or internal assessors evaluating the full applications may re-evaluate the scores given for the relevance at concept note stage and transferred to the full application.

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

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



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

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

- The declaration by the lead applicant (section 5 of Annex A.2) 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.

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## 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)<sup>21</sup>:

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

1. The statutes or articles of association of the lead applicant, (if any) of each co-applicant and (if any) of each affiliated entity<sup>22</sup>. Where the Contracting Authority has recognised the lead applicant's, or the co-applicant(s)'s, or their affiliated entity(ies)'s eligibility for another call for proposals under the same budget line within 2 years before the deadline for receipt of applications, it should be submitted, instead of the statutes or articles of association, a copy of the document proving their eligibility in a former call (e.g. a copy of the Special Conditions of a grant contract received during the reference period), unless a change in legal status has occurred in the meantime<sup>23</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 lead applicant's accounts for the last financial year available where the total amount of the requested EU contribution 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) or affiliated entity(ies).
3. Legal entity sheet (see Annex D of these guidelines) duly completed and signed by each of the applicants (i.e. by the lead applicant and (if any) by each co-applicant), accompanied by the justifying documents requested there. If the applicants have already signed a contract with the Contracting Authority, instead of the legal entity sheet and supporting documents, the legal entity number may be provided, unless a change in legal status occurred in the meantime
4. A financial identification form of the lead applicant (not from co-applicant(s), nor from affiliated entity(ies)) conforming to the model attached at Annex E of these guidelines, certified by the bank to which the payments will be made. This bank should be located in the country where the lead applicant is established. If the lead applicant has already submitted a financial identification form in the past for a contract where the European Commission was in charge of the payments and intends to use the same bank account, a copy of the previous financial identification form may be provided instead.

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

Where such documents are not in one of the official languages of the European Union or in the language of the country where the action is implemented, a translation into the 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.

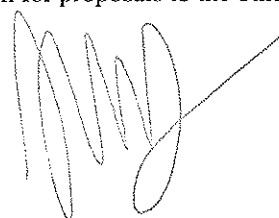
Where these documents are in an official language of the European Union other than English, it is **strongly** recommended, in order to facilitate the evaluation, to provide a translation of the relevant parts of the documents, proving the lead applicants' and, where applicable, co-applicants' and affiliated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

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21 No supporting document will be requested for applications for a grant not exceeding EUR 60000.

22 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.

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



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. Lead applicants who, in exceptional cases (see section 2.2), had to submit their application by post or hand-delivery, will be informed by email or by post if they did not provide any e-mail address. Therefore, please check regularly your PROSPECT profile, taking into account the indicative timetable below.

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

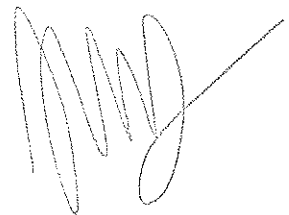


**2.5.2 Indicative timetable**

	<b>DATE</b>	<b>TIME</b>
<b>1. Information meeting, if any (local time)</b>	See Section 2.2.4	See Section 2.2.4
<b>2. Deadline for requesting any clarifications from the Contracting Authority</b>	28/03/2017	16:00 hrs
<b>3. Last date on which clarifications are issued by the Contracting Authority</b>	07/04/2017	-
<b>4. Deadline for submission of concept notes</b>	<b>18/04/2017</b>	<b>15:00 hrs</b>
<b>5. Information to lead applicants on opening, administrative checks and concept note evaluation (Step 1)</b>	May 2017*	-
<b>6. Invitations to submit full applications</b>	June 2017*	-
<b>7. Deadline for submission of full applications</b>	July 2017*	-
<b>8. Information to lead applicants on the evaluation of the full applications (Step 2)<sup>24</sup></b>	September 2017*	-
<b>9. Notification of award (after the eligibility check) (Step 3)</b>	November 2017*	-
<b>10. Contract signature<sup>25</sup></b>	December 2017*	-

All dates and times are expressed in Brussels time, where it is not specified otherwise.

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



<sup>24</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.

<sup>25</sup> Note that according to the financial regulation, in direct management the grant contract must be signed within 3 months following the notification of the award decision. This time-limit may be exceeded in exceptional cases, in particular for complex actions (including multi-beneficiary calls), large number of proposals or in case of delays attributable to the applicants

## **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 PA Grant Agreement based on the PAGO DA 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 PA Grant Agreement.

### Implementation contracts

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

## **2.7 EARLY DETECTION AND EXCLUSION SYSTEM (EDES)**

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

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### 3 LIST OF ANNEXES

#### DOCUMENTS TO BE COMPLETED

- Annex A: Grant Application Form (Word format)
- A.1. Concept Note
  - A.2. Full Application Form
- Annex B: Budget (Excel format)
- Annex C: Logical Framework (Word format)
- Annex D: Legal Entity Sheet
- Annex E: Financial identification form
- Annex F: PADOR off Line Form (**ONLY IF IMPOSSIBLE TO REGISTER IN PADOR**)

#### DOCUMENTS FOR INFORMATION<sup>26</sup>

- Annex G: Standard Grant Contract
- Annex II: general conditions
  - Annex IV: contract award rules
  - Annex V: standard request for payment
  - Annex VI: model narrative and financial report
  - Annex VII: model report of factual findings and terms of reference for an expenditure verification of an EU financed grant contract for external action
  - Annex VIII: model financial guarantee
  - Annex IX: standard template for transfer of ownership of assets
- Annex H: Daily allowance rates (per diem), available at the following address:  
[http://ec.europa.eu/europeaid/funding/about-procurement-contracts/procedures-and-practical-guide-prag/diems\\_en](http://ec.europa.eu/europeaid/funding/about-procurement-contracts/procedures-and-practical-guide-prag/diems_en)
- Annex J: Information on the tax regime applicable to grant contracts signed under the call
- Annex K: Guidelines and Checklist for assessing Budget and Simplified cost options.
- Annex L: e-learning :

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

Annex M : user manual for PROSPECT :

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

#### USEFUL LINKS

#### PROJECT CYCLE MANAGEMENT GUIDELINES



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<sup>26</sup> These documents should also be published by the Contracting Authority.

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

**THE IMPLEMENTATION OF GRANT CONTRACTS - A USERS' GUIDE**

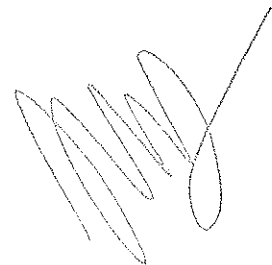
<http://ec.europa.eu/europeaid/companion/document.do?nodeNumber=19>

**FINANCIAL TOOLKIT**

[http://ec.europa.eu/europeaid/sites/devco/files/financial-management-toolkit-for-recipients-15112010\\_en.pdf](http://ec.europa.eu/europeaid/sites/devco/files/financial-management-toolkit-for-recipients-15112010_en.pdf)

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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