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the European Union**



Contracting authority: Central Project Management Agency, Lithuania

EU4 Energy Transition: Covenant of Mayors in the Western Balkans and Türkiye

Small-scale project implementation in the fields of Energy¹, Climate Protection and Transport for municipalities and cities in Türkiye

Guidelines
for grant applicants

Reference: **2020/420-283-01**

Deadline for submission of applications: 1 November 2022

¹ Energy efficiency and Renewable energy systems (RES)

NOTICE

This is an open call for proposals, where all documents are submitted together (concept note and full application). In the first instance, only the concept notes will be evaluated. Thereafter, for the lead applicants who have been pre-selected, the full applications will be evaluated. 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.

Online submission via “SUBMITTABLE”

To apply for this call for proposals, organisations submit their application via electronic platform “Submittable” (see section 2.2.2 of the guidelines). The aim of “Submittable” is to increase the efficiency of the management of the call for proposals and to offer a better service through a new panel of functionalities such as the on-line submission and the possibility to follow up online the status of their application.

All organisations may find more information regarding instructions of the submissions via “Submittable” [HERE](#). For any other uncertainties, the information can be found [HERE](#).

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1. EU4 ENERGY TRANSITION: COVENANT OF MAYORS IN THE WESTERN BALKANS AND TÜRKIYE

1.1. BACKGROUND

“EU4 Energy Transition: Covenant of Mayors in the Western Balkans and Türkiye” (hereinafter – Project) is a multi-donor Project that is jointly co-financed by the European Union and the German Federal Ministry for Economic Cooperation and Development. The Project is implemented by GIZ in Western Balkans and by Central Project Management Agency (hereinafter – CPMA) in Türkiye. The Project is targeting mainly local authorities in Western Balkans and Türkiye. The overall objective of the Project is to deliver on the energy transition and tackle climate change in the Western Balkans and Türkiye. The specific objective is to support the Covenant of Mayors for Climate and Energy Initiative (hereinafter - CoM) cities of the Western Balkans and Türkiye in delivering on their pledges under the energy and climate targets. As an incentive for the municipalities to participate in the fulfilment of the targets set by the CoM, the Project provides the possibility to support the implementation of the Sustainable energy and climate plans (hereinafter – SECAPs).

Within the context of the Project, one of the key activities is the implementation of small-scale projects in the fields of energy, climate protection and transport in municipalities in Türkiye. These small-scale projects should bring innovation and new approaches to the local level. The expectation of implementing such projects should be tangible and realistic, with a clear focus on decreasing energy consumption and reducing CO2 emissions, while maintaining the same level of comfort or service delivery towards citizens or even improving it.

1.2. OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

This Call for proposals tackles climate change and will support energy transition in Türkiye through an increased uptake of the CoM in the region as well as will support municipal authorities to translate their ambitions to reduce greenhouse gas (GHG) emissions into reality and enhance resilience to climate change impacts, while taking into account diversity on the ground.

The **global objective** of this call for proposals is to deliver on the energy transition and tackle climate change in Türkiye.

The **specific objective(s)** of this call for proposals is to reduce energy consumption and (or) to increase the local energy production share with renewable energy projects by promoting energy efficiency in one of the relevant sectors: energy, climate protection and transport.

1.3. FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY

The overall indicative amount made available under this call for proposals is EUR 300,000. The contracting authority reserves the right not to award all available funds.

Size of grants

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

- minimum amount: EUR 75,000
- maximum amount: EUR 150,000

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: 75 % of the total eligible costs of the action.
- Maximum percentage: 90 % of the total eligible costs of the action (see also Section 2.1.4.).

The balance (i.e. the difference between the total cost of the action and the amount requested from the contracting authority) must be financed from sources other than the general budget of the Union or the European Development Fund².

² Where a grant is financed by the European Development Fund, any mention of European Union financing must be understood as referring to European Development Fund financing.

2. RULES FOR THIS CALL FOR PROPOSALS

These guidelines set out the rules for the submission, selection and implementation of the actions financed under this call, in conformity with the practical guide, which is applicable to the present call (available on the internet at this address [ePRAG - EXACT External Wiki - EN - EC Public Wiki \(europa.eu\)](https://prag-exact.europa.eu)).

2.1. ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

- (1) the actors (2.1.1.):
 - the **'lead applicant'**, i.e. the entity submitting the application form;
 - 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) the actions (2.1.3.):
 - actions for which a grant may be awarded;
- (3) the costs (2.1.4.):
 - types of cost that may be taken into account in setting the amount of the grant.

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

Lead applicant

- (1) In order to be eligible for a grant, the lead applicant must:
 - be a legal person **and**
 - be non-profit-making **and**
 - be a specific type of organisation – metropolitan and/or district municipality of Türkiye **and**
 - be signatory of Global Covenant of Mayors or European Covenant of Mayors initiatives **and**
 - be directly responsible for the preparation and management of the action with the co-applicant(s), not acting as an intermediary.
- (2) Potential applicants may not participate in calls for proposals or be awarded grants if they are in any of the situations listed in Section 2.6.10.1 of the practical guide;

Lead applicants, co-applicants and, in case of legal entities, persons who have powers of representation, decision-making or control over the lead applicant and the co-applicants are informed that, should they be in one of the situations of early detection or exclusion according to Section 2.6.10.1 of the practical guide, personal details (name, given name if natural person, address, legal form and name and given name of the persons with powers of representation, decision-making or control, if legal person) may be registered in the early detection and exclusion system, and communicated to the persons and entities concerned in relation to the award or the execution of a grant contract. In this respect, provisionally selected lead applicants and co-applicants or those placed in the reserve list are obliged to declare that they are not in one of the exclusion situations through a signed declaration on honour (PRAG Annex A14). For grants of EUR 15 000 or less, no declaration on honour is required. See Section 2.4.

In Part B Section 7 of the grant application form ('declaration(s) by the lead applicant'), the lead applicant must declare that the lead applicant himself, and the co-applicant(s) are not in any of these situations.

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

If awarded the grant contract, the lead applicant will become the beneficiary identified as the coordinator in Annex G (special conditions). The coordinator is the sole interlocutor of the contracting authority. It represents and acts on behalf of any other co-beneficiary (if any) and coordinate the design and implementation of the action.

Co-applicant(s)

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

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

In addition to the categories referred to in Section 2.1.1, the following are however also eligible: **non-profit making organisations established by metropolitan and/or district municipality of Türkiye.**

Co-applicants must sign the mandate in Part B Section 4 of the grant application form.

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

- (3) In addition, please note that contracts cannot be awarded to or signed with applicants included in the lists of EU restrictive measures (see Section 2.4. of the PRAG).

2.1.2. Associates and contractors

The following entities are not applicants and do not have to sign the ‘mandate for co-applicant(s)’ statement:

- Associates

Other organisations or individuals may be involved in the action. Such associates play a real role in the action but may not receive funding from the grant, with the exception of per diem or travel costs. Associates do not have to meet the eligibility criteria referred to in Section 2.1.1. Associates must be mentioned in Part B Section 5 — ‘Associates participating in the action’ — of the grant application form.

- Contractors

The beneficiaries are permitted to award contracts. Associates cannot be also contractors in the project. Contractors are subject to the procurement rules set out in Annex IV to the standard grant contract.

2.1.3. Eligible actions: actions for which an application may be made

Definition:

An action is composed of a set of activities.

Duration

The initial planned duration of an action may not exceed 12 months.

Sectors or themes

The specific sectors or themes to which the action must relate are: **energy, climate protection and transport.**

Location

Actions must take place in the following country: Türkiye.

Types of action

Areas of interventions for the actions:

(1) Climate mitigation: actions which contribute to reducing the municipality's GHG emissions:

- Sustainable energy (Energy Efficiency & Renewable Energy);
- Sustainable transport.

(2) Climate adaptation: actions which contribute to increasing the municipality's resilience against present and future climate risks.

Types of action which may be financed under this call will include (but not limited to) the following:

(1) Climate mitigation:

- construction and development of new infrastructure, including buildings, or rehabilitation, modernisation or expansion of existing infrastructure facilities, including buildings;
- replacement of vehicles with less polluting or zero-polluting ones, introducing new modes of transport, installing alternative vehicle loading stations and other similar actions.

(2) Climate adaptation:

- actions for protection of towns and urban areas from fires, floods and similar natural disasters.

The actions must derive from an approved strategic document (i.e., SECAP, SEAP, SUMP, Local Spatial Plan, etc.) and/or have the complete backing of decision makers.

All actions must be in full compliance with national Turkish legislation, policy, norms and standards and must have the support of the city Mayor and/or City Council.

The following types of action are ineligible:

- technical assistance actions such as development of regulations, methodologies, providing technical expertise, awareness raising, etc.;
- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences, congresses or similar event;
- capacity building actions, actions concerned only or mainly with individual scholarships for studies or training courses, etc.

Types of activity

Activities supported under this call may include, but are not limited to, the following:

- activities related to the implementation of innovative and technological solutions by installing RES, increasing energy efficiency and reducing CO₂ emissions in the municipal/ urban infrastructure, buildings and transport sectors;
- activities to prepare for a longer and more intense fire season, the challenge of sea-level rise, improving air quality and similar activities.

Financial support to third parties³

Applicants may not propose financial support to third parties.

Visibility

The applicants must take all necessary steps to publicise the fact that the European Union has financed or co-financed the action. Unless the European Commission agrees otherwise, actions that are wholly or partially funded by the European Union must ensure the visibility of EU financing by displaying the EU emblem in

³ These third parties are neither affiliated entity(ies) nor associates nor contractors.

accordance with the guidelines set out in the Operational guidelines for recipients of EU funding, published by the European Commission. If applicable, communication activities may be undertaken 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.

All measures and activities relating to visibility and, if applicable, communication, must comply with the latest Communication and Visibility Requirements for EU-funded external action, laid down and published by the European Commission ([Communication and Visibility Requirements for EU External Actions | International Partnerships \(europa.eu\)](https://europe.europa.eu/commission/presscorner/detail/en/ip1919001)).

Number of applications and grants per applicants

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

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

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

A co-applicant may not be the co-applicant in more than one application under this call for proposals.

A co-applicant may not be awarded more than one grant under this call for proposals.

2.1.4. Eligibility of costs: costs that can be included

Reimbursement of eligible costs that may be based on:

- (i) actual costs incurred by the beneficiary(ies).

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’.

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

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

Eligible direct costs

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

Only costs incurred during the implementation of the action after the signature of the Grant Contract are eligible for financing.

Subject to this article, only the following direct costs of the Beneficiary(ies) shall be eligible:

- purchase costs for new equipment and supplies specifically dedicated to the purposes of the action, provided that ownership is transferred at the end of the action when required.
- costs of service, supply and work contracts awarded by the beneficiary(ies) for the purposes of the action;
- costs deriving directly from the requirements of the contract (dissemination of information, audits, insurance, etc.) including financial service costs (in particular the cost of financial guarantees);
- duties, taxes and charges, excluding VAT, related to the purposes of the action, paid and not recoverable by the beneficiary(ies), unless otherwise provided in the special conditions.

The **audit verification costs shall be included** in the budget of the Action and shall not exceed 1% of total direct costs.

The **costs of guarantees or suretyship services for the amount of the initial pre-financing** payment provided by financial institutions or insurance undertakings **shall be included** in the budget of the Action.

Contingency reserve

The budget may not include a contingency reserve.

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 is in receipt of an operating grant financed by the EU, it may not claim indirect costs on its incurred costs within the proposed budget for the action.

Contributions in kind

Contributions in kind mean the provision of goods or services to beneficiaries free of charge by a third party. As contributions in kind do not involve any expenditure for beneficiaries, they are not eligible costs (except for personnel costs for the work carried out by volunteers under an action or an operating grant if so authorised).

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

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

Ineligible costs

The following costs are not eligible:

- salary costs of the personnel of national administrations;
- costs of energy audits, obtention of all permits and authorizations;
- operational costs of infrastructure or equipment;
- debts and debt service charges (interest);
- provisions for losses or potential future liabilities;
- costs declared by the beneficiary(ies) and financed by another action or work programme receiving a European Union (including through EDF) grant;
- purchases or rent of land or buildings;
- currency exchange losses;
- in kind contributions;
- bonuses included in costs of staff;
- negative interest charged by banks or other financial institutions;
- credit to third parties;
- value added taxes.

2.1.5. Ethics clauses and Code of Conduct

a) Absence of conflict of interest

The applicant must not be affected by any conflict of interest and must have no equivalent relation in that respect with other applicants or parties involved in the actions. Any attempt by an applicant to obtain confidential information, enter into unlawful agreements with competitors or influence the evaluation committee or the contracting authority during the process of examining, clarifying, evaluating and comparing applications will lead to the rejection of its application and may result in administrative penalties according to the Financial Regulation in force.

b) Respect for human rights as well as environmental legislation and core labour standards

The applicant and its staff must comply with human rights. In particular, and in accordance with the applicable act, applicants who have been awarded contracts must comply with the environmental legislation including multilateral environmental agreements, and with the core labour standards as applicable and as defined in the relevant International Labour Organisation conventions (such as the conventions on freedom of association and collective bargaining; elimination of forced and compulsory labour; abolition of child labour).

Zero tolerance for sexual exploitation, abuse and harassment

The European Commission applies a policy of 'zero tolerance' in relation to all wrongful conduct which has an impact on the professional credibility of the applicant.

Physical abuse or punishment, or threats of physical abuse, sexual abuse or exploitation, harassment and verbal abuse, as well as other forms of intimidation shall be prohibited.

Applicants other than (i) natural persons, (ii) pillar-assessed entities and (iii) governments and other public bodies, whose application has been provisionally selected or placed in a reserve list shall assess their internal policy against sexual exploitation, abuse and harassment (SEA-H) through a self-evaluation questionnaire (Annex L). For grants of EUR 60 000 or less no self-evaluation is required. Such self-evaluation questionnaire is not part of the evaluation of the full application by the contracting authority, but is an administrative requirement. See Section 2.5.6 of the PRAG.

c) Anti-corruption and anti-bribery

The applicant shall comply with all applicable laws, regulations and codes relating to anti-bribery and anti-corruption. The contracting authority reserves the right to suspend or cancel project financing if corrupt practices of any kind are discovered at any stage of the award process or during the execution of a contract and if the contracting authority fails to take all appropriate measures to remedy the situation. For the purposes of this provision, 'corrupt practices' are the offer of a bribe, gift, gratuity or commission to any person as an inducement or reward for performing or refraining from any act relating to the award of a contract or execution of a contract already concluded with the contracting authority.

d) Unusual commercial expenses

Applications will be rejected or contracts terminated if it emerges that the award or execution of a contract has given rise to unusual commercial expenses. Such unusual commercial expenses are commissions not mentioned in the main contract or not stemming from a properly concluded contract referring to the main contract, commissions not paid in return for any actual and legitimate service, commissions remitted to a tax haven, commissions paid to a payee who is not clearly identified or commissions paid to a company which has every appearance of being a front company.

Grant beneficiaries found to have paid unusual commercial expenses on projects funded by the European Union are liable, depending on the seriousness of the facts observed, to have their contracts terminated or to be permanently excluded from receiving EU/EDF funds.

e) Breach of obligations, irregularities or fraud

The contracting authority reserves the right to suspend or cancel the procedure, where the award procedure proves to have been subject to breach of obligations, irregularities or fraud. If breach of obligations, irregularities or fraud are discovered after the award of the contract, the contracting authority may refrain from concluding the contract.

2.2. HOW TO APPLY AND THE PROCEDURES TO FOLLOW

2.2.1. Application forms

Applications must be submitted in accordance with the instructions on the concept note and the full applications in the grant application form annexed to these guidelines (Annex A). Lead applicants should then keep strictly to the format of the grant application form and fill in the paragraphs and pages in order.

Applicants must apply in **English**.

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

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

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

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

Please note that the following documents should be submitted together with the application form:

1. The statutes or articles of association of the lead applicant, (if any) of each co-applicant.
2. Legal entity form (see Annex D of these guidelines) duly completed and signed by each of the applicants (i.e. by the lead applicant and by each co-applicant, if any), accompanied by the justifying documents requested there.
3. A financial identification form of the lead applicant (not from co-applicant(s)) conforming to the model attached as Annex E of these guidelines, certified by the bank to which the payments will be made. This bank should be located in the country where the lead applicant is established.
4. Letter of endorsement from the Mayor of the municipality stating that the measures envisaged for the implementation of the action are/will be included in the strategic documents of the municipality.
5. (1) Energy audit report **and (or)** (2) technical design **and (or)** (3) technical economic justification prepared by a technical expert. The technical economic justification shall indicate the current state of the facility, the measures to be implemented, the investment needs, the expected results and their impact on energy efficiency, GHG emissions, etc.
6. (1) Sustainable Energy Action Plan (SEAP) **and (or)** (2) Sustainable Energy and Climate Action Plan (SECAP) **and (or)** (3) Climate Action Plan (CAP) **and (or)** (4) Energy Efficiency Action Plan (EEAP) **and (or)** (5) Local Development Plan **and (or)** (6) Municipality Strategic Plan **and (or)** (7) Municipality Annual Activity Plan **and (or)** (8) Urban Mobility Plan **and (or)** (9) Urban Transformation Strategy Document **and (or)** (10) other document approved by the municipality, which foresees the implementation of the measures planned in the Action.
7. At least 3 commercial proposals from potential service providers/suppliers/work contractors justifying the costs indicated in the budget of the application (average costs should be indicated in the budget).
8. In addition, for the purpose of the evaluation of the financial capacity, a copy of the lead applicant's profit and loss account and the balance sheet for up to the three last financial years for which the accounts were closed. A copy of the latest account is not required from the co-applicant(s) (if any).

Documents must be supplied in the form of originals, photocopies or scanned versions (i.e. showing legible stamps, signatures and dates) of the said originals.

Where such documents are not in one of the official languages of the European Union, a translation into English of the relevant parts of these documents proving the lead applicant's and, where applicable, co-applicants' eligibility, must be attached for the purpose of analysing the application.

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

If the abovementioned supporting documents are not provided by the deadline for the submission of the application form, the application may be rejected.

No additional annexes should be sent.

2.2.2. Where and how to send applications

Applications must be **submitted online via electronic system “Submittable”**. **The link to the submission is [SUBMIT APPLICATION](#).**

The declaration by the lead applicant (Section 7 of Part B of the grant application form) must be attached separately.

To submit the application the applicant should register to the electronic system “Submittable”.

Upon submission of the application online, the lead applicant will receive an automatic confirmation of receipt and other notifications related to specific actions such as submission status changes, requested additional form, etc. (<https://submittable.help/en/articles/4926006-what-notifications-should-i-expect-to-receive-from-submittable-as-a-submitter>).

Please find below more detailed instructions how to complete and submit the application online:

- The instructions of the submission can be found [HERE](#).
- For any other uncertainties, the information can be found [HERE](#).

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

Please note that incomplete applications may be rejected. Lead applicants are advised to verify that their application is complete using the checklist (Section 6 of Part B of the grant application form).

2.2.3. Deadline for submission of applications

The applicants' attention is drawn to the fact that there is only one system for sending applications: by the electronic system “Submittable”. **The link to the submission is [SUBMIT APPLICATION](#).**

The deadline for the submission of applications is **1 November 2022, 12:00 EET (UTC+3)**. 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/summertime changes (example available [here](#)⁴).

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

Any application submitted after the deadline will be rejected.

⁴ For example: <http://www.timeanddate.com/worldclock/converter.html>

2.2.4. Further information about applications

An information session on this call for proposals will be held on 21 September 2022 at 11:00 EET (UTC+3). Please find the registration form to the information session [HERE](#).

Questions may be sent no later than 21 day before the deadline for the submission of applications [HERE](#), indicating clearly the reference of the call for proposals. 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, an action or specific activities.

Questions that may be relevant to other applicants, together with the answers, will be published on the website where the call was published: <https://www.cpva.lt/en/eu4-energy-transition/questions-answers/836>, as the need arises. It is therefore advisable to consult the abovementioned website regularly in order to be informed of the questions and answers published.

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

2.3. EVALUATION AND SELECTION OF APPLICATIONS

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

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

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

During the opening and administrative check the following will be assessed:

- If the deadline has been met. Otherwise, the application will be automatically rejected.
- If the application satisfies all the criteria specified in the checklist in Section 6 of Part B of the grant application form. This includes also an assessment of the eligibility of the action. If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

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

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

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

Scores*

1. Relevance of the action	Sub-score	25
<p>1.1 How relevant is the proposal to the objectives and priorities of the call for proposals and to the specific themes/sectors/areas or any other specific requirement stated in the guidelines for applicants?</p> <p>How the action affects reduction of GHG emissions? What is the total amount of CO2 reduced from the proposed action (annually) (≥ 10 ton p/year – 5 points, ≥8 ton p/year - 4 points; ≥ 6 ton p/year = 3 points; ≥ 4 ton p/year =2 points; ≥ 2 ton p/year = 1 point)</p>	5x2**	
<p>1.2 How relevant is the proposal to the particular needs and constraints of the target country(ies), region(s) and/or relevant sectors (including synergy with other development initiatives and avoidance of duplication)? How is the action aligned with the municipality policy framework?</p>	5	
<p>1.3 Does the proposal contain particular added-value elements, i.e. innovation (<i>technological, social, organizational, methodological approach</i>)</p>	5x2**	
2. Design of the action	Sub-score	25
<p>2.1 How coherent is the overall design of the action?</p> <p>Does the proposal indicate the expected results to be achieved by the action? Does the intervention logic explain the rationale to achieve the expected results?</p>	5	
<p>2.2 Does the design reflect a robust analysis of the problems involved, and the capacities of the relevant stakeholders?</p>	4	
<p>2.3 How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs (as rights holders and/or duty bearers) and constraints been clearly defined and does the proposal address them appropriately?</p>	3	

2.4 Does the design take into account external factors (risks and assumptions)?	5	
2.5 Are the activities feasible and consistent in relation to the expected results (including timeframe)? Are results (output, outcome and impact) realistic?	5	
2.6 To which extent does the proposal integrate relevant cross-cutting elements such as environmental/climate change issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, youth, combating HIV/AIDS (if there is a strong prevalence in the target country/region)?	3	
TOTAL SCORE		50

**this score is multiplied by 2 because of its importance

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

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

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

After the evaluation of concept notes, the contracting authority will send letters to all lead applicants, indicating whether their application was submitted by the deadline, informing them of the reference number they have been allocated, whether the concept note was evaluated and the results of that evaluation. The evaluation committee will then proceed with the lead applicants whose proposals have been pre-selected.

(2) STEP 2: EVALUATION OF THE FULL APPLICATION

If the applications pass the opening and administrative checks along the instructions of the Step 1: they will be further evaluated on their quality, including the proposed budget and capacity of the applicant. They will be evaluated using the evaluation criteria in the evaluation grid below. There are two types of evaluation criteria: selection and award criteria.

The selection criteria help to evaluate the applicant(s)'s 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.

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

Scoring:

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

Evaluation grid

Section	Maximum Score
1. Financial and operational capacity	20
1.1 Do the applicants have sufficient in-house experience of project management?	5
1.2 Do the applicants have sufficient in-house technical expertise? (especially knowledge of the issues to be addressed)	5
1.3 Do the applicants have sufficient in-house management capacity? (Including staff, equipment and ability to handle the budget for the action)?	5
1.4 Does the lead applicant have stable and sufficient sources of finance? What is the contribution of the applicant to finance the action ($\geq 20\%$ - 5 points; $< 20\% \geq 15\%$ - 3 points; $< 15\%$ - 1 point)	5
2. Relevance	25
<i>Score transferred from the Concept Note evaluation</i>	
3. Design of the action	15
3.1 How coherent is the design of the action? Does the proposal indicate the expected results to be achieved by the action? Does the intervention logic explain the rationale to achieve the expected results? Are the activities proposed appropriate, practical, and consistent with the envisaged outputs and outcome(s)?	5
3.2 Does the proposal/Logical Framework include credible baseline, targets and sources of verification? If not, is a baseline study foreseen (and is the study budgeted appropriately in the proposal)?	5
3.3 Does the design reflect a robust analysis of the problems involved, and the capacities of the relevant stakeholders?	5
4. Implementation approach	15
4.1 Is the action plan for implementing the action clear and feasible? Is the timeline realistic?	5
4.2 Does the proposal include an effective and efficient monitoring system? Is there an evaluation planned (previous, during or/and at the end of the implementation)?	5
4.3 Is the co-applicant(s)'s level of involvement and participation in the action satisfactory?	5
5. Sustainability of the action	15
5.1 Is the action likely to have a tangible impact on its target groups?	5

5.2 Is the action likely to have multiplier effects, including scope for replication, extension, capitalisation on experience and knowledge sharing?	5
5.3 Are the expected results of the proposed action sustainable? <ul style="list-style-type: none"> - Financially (<i>e.g. financing of follow-up activities, sources of revenue for covering all future operating and maintenance costs</i>) - Institutionally (<i>will structures allow the results of the action to be sustained at the end of the action? Will there be local 'ownership' of the results of the action?</i>) - At policy level (<i>what will be the structural impact of the action — e.g. prepared new action plans, programs, improved legislation, codes of conduct, methods</i>) - Environmentally (<i>whether the action will contribute to the future development of renewable energy sources and to actions aimed at increasing energy efficiency, etc.</i>) 	5
6. Budget and cost-effectiveness of the action	10
6.1 Are the activities appropriately reflected in the budget?	5
6.2 Is the ratio between the estimated costs and the results satisfactory?	5
Maximum total score	100

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

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

Provisional selection

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

(3) STEP 3: VERIFICATION OF ELIGIBILITY OF THE APPLICANTS

The eligibility verification will be performed on the basis of the supporting documents requested by the contracting authority (see Section 2.2.1). It will by default only be performed for the applications that have been provisionally selected according to their score and within the available budget for this call for proposals.

- The declaration by the lead applicant (Section 7 of Part B of the grant application form) will be cross-checked with the supporting documents provided by the lead applicant. Any missing supporting document or any incoherence between the declaration by the lead applicant and the supporting documents may lead to the rejection of the application on that sole basis.
- The eligibility of applicants will be verified according to the criteria set out in Section 2.1.1.

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

2.4. SUBMISSION OF SUPPORTING DOCUMENTS

The lead applicant should submit the documents listed in Section 2.2.1

In addition, 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 documents⁵:

1. Declaration on honour: the lead applicant as well as all co-applicants shall fill in and sign the declaration on honour certifying that they are not in one of the exclusion situations (see Section 2.6.10.1 of the PRAG) where the amount of the grant exceeds EUR 15 000. The declaration on honour shall be dated and signed, either by hand or by applying a qualified electronic signature (QES)⁶ by an authorised representative of the signatory.
2. Self-evaluation questionnaire on SEA-H: the lead applicant as well as all co-applicants shall fill in the self-evaluation questionnaire assessing the organisation's internal policy and procedure against sexual exploitation, abuse and harassment (SEA-H) (Annex L) where the amount of grant exceeds EUR 60 000 (see Section 2.5.6 of the PRAG)⁷.

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, 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. Please note that the lead applicant is the intermediary for all communications between applicants and the contracting authority during the procedure.

An applicant believing that it has been harmed by an error or irregularity during the award process may lodge a complaint. See Section 2.12 of the practical guide.

Applicants and, if they are legal entities, persons who have powers of representation, decision-making or control over them, are informed that, should they be in one of the situations of early detection or exclusion, 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 early detection and exclusion system, and communicated to the persons and entities concerned in relation to the award or the execution of a grant contract.

For more information, you may consult the privacy statement available on http://ec.europa.eu/budget/explained/management/protecting/protect_en.cfm

⁵ No supporting documents will be requested for applications for a grant not exceeding EUR 60 000.

⁶ Please note that only the QES within the meaning of Regulation (EU) No 910/2014 (eIDAS Regulation) will be accepted. Regulation (EU) No 910/2014 of the European Parliament and of the Council of 23 July 2014 on electronic identification and trust services for electronic transactions in the internal market and repealing Directive 1999/93/EC.

⁷ Applicants and co-applicants who are (i) natural persons (ii) pillar-assessed entities and (iii) governments and other public bodies do not have to submit the self-evaluation questionnaire.

2.5.2. Indicative timetable

	DATE	TIME
1. Information meeting (if any)	21 September 2022	11:00 EET (UTC+3)
2. Deadline for requesting any clarifications from the contracting authority	10 October 2022	23:59 EET (UTC+3)
3. Last date on which clarifications are issued by the contracting authority	20 October 2022	-
4. Deadline for submission of applications	1 November 2022	12:00 EET (UTC+3)
5. Information to lead applicants on opening, administrative checks and concept note evaluation (Step 1)	1 December 2022	-
7. Information to lead applicants on the evaluation of the full applications (Step 2)	15 January 2023	-
8. Notification of award (after the eligibility check) (Step 3)	31 January 2023	-
9. Contract signature	15 February 2023	-

All times are in the time zone of the country of the contracting authority.

This indicative timetable refers to provisional dates (except for dates 2, 3, and 4) and may be updated by the contracting authority during the procedure. In such cases, the updated timetable will be published on the web site [HERE](#).

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.

Implementation contracts

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

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

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

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

3. LIST OF ANNEXES

DOCUMENTS TO BE COMPLETED

- Annex A: Grant application form ([SUBMIT APPLICATION](#))
- Annex B: Budget (Excel format)
- Annex C: Logical framework (Word format)
- Annex D: Legal entity form
- Annex E: Financial identification form

DOCUMENTS FOR INFORMATION⁸

- Annex G: Standard grant contract (special conditions)
 - Annex II: general conditions
 - Annex IV: procurement rules for beneficiaries
 - Annex V: standard request for payment
 - Annex VI: model narrative and financial report
 - Annex VII: model expenditure verification terms of reference and report of factual findings
 - Annex VIII: model financial guarantee
 - Annex IX: standard template for transfer of ownership of assets
- Annex H: Declaration on Honour
- Annex L: Self-evaluation questionnaire on SEA-H

Useful links:

Project Cycle Management Guidelines

[Aid Delivery Methods - Project Cycle Management Guidelines Vol 1 - Guidelines \(europa.eu\)](#)

The implementation of grant contracts

A Users' Guide

[eCompanion - EXACT External Wiki - EN - EC Public Wiki \(europa.eu\)](#)

Financial Toolkit

[Financial Management Toolkit for recipients of EU funds for external actions \(europa.eu\)](#)

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.

* * *

⁸ These documents should also be published by the contracting authority.