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**Romanian Ministry of Regional Development and Housing
Directorate for International Territorial Cooperation**

**Joint Managing Authority of the
Joint Operational Programme “BLACK SEA 2007-2013”**

GUIDELINES FOR GRANT APPLICANTS

Reference: 1st Call for Proposals

Deadline for submission of proposals: 12th of October 2009

June 2009



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Notice

This is an open Call for Proposals, where all documents are submitted at one stage. Each application (Grant Application Form, requested annexes and supporting documents) will be evaluated by the Selection Committee.

This Call for Proposals is launched under suspension clause linked to the signing of the Financing Agreements between the European Commission and participant countries.

The actual award and signature of contracts following this Call for Proposals is therefore conditional to the conclusion of the Financing Agreements before 31st of December 2009. The selected applications including (a) partner(s) from (a) country(ies) which had not signed the Financing Agreement(s) with EC within the above mentioned deadline will be rejected.



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GLOSSARY OF ACRONYMS

CBC	Cross-Border Cooperation
CFCU	Central Finance and Contracts Unit
EC	European Commission
e.g.	for example
ENPI	European Neighbourhood and Partnership Instrument
EU	European Union
IPA	Instrument for Pre-Accession Assistance
JMA	Joint Managing Authority
JMC	Joint Monitoring Committee
JOP	Joint Operational Programme
NGO	Non Governmental Organisation
NUTS	Nomenclature of Territorial Units for Statistics
OJ	Official Journal of the European Union
pdf	Portable Document Format (Adobe Acrobat or PDF Creator softwares)
PRAG	Practical Guide to Contract procedures for EC external actions 2008
SC	Selection Committee
TA	Technical Assistance
VAT	Value Added Tax
xls	Microsoft Office Excel Format



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1. JOINT OPERATIONAL PROGRAMME “BLACK SEA 2007-2013”

1.1 BACKGROUND

The Joint Operational Programme “Black Sea 2007-2013” (hereafter JOP Black Sea or Programme) is one of three maritime basin programmes established in the framework of the *European Neighbourhood and Partnership Instrument Cross-Border Cooperation: Strategy Paper 2007-2013* (ENPI CBC Strategy Paper) and one of the most complex, even if with a limited financial allocation.

The Programme eligible area occupies a territory of 834,719 sq. km. and includes a population of 74.2 million people. It involves ten countries, some of them including their whole national territory (Armenia, Azerbaijan, Georgia and R. Moldova), while some others including those regions closest to the Basin (Bulgaria, Greece, Romania, Russia, Turkey and Ukraine). The ten countries include four states (Greece, Armenia, Azerbaijan and R. Moldova) that are not physically on the coast of the Black Sea, but clearly integrated or connected to the Black Sea Basin in terms of historical, economic, cultural, social and environmental factors. The other six countries (Bulgaria, Romania, Russia, Turkey, Georgia and Ukraine) have direct access to the Black Sea.

According to the ENPI CBC Strategy Paper, joint ownership of the process, based on the awareness of shared values and common interests, is essential. The EU does not seek to impose priorities or conditions on its partners. Therefore a partnership for programming has been promoted, involving all participating countries, and with the support of the European Commission (EC) through Technical Assistance (TA) projects, for both EU Member States and partner countries in the programme partnership. Equal participation of each participating country has been promoted during the programming process and in the institutional architecture for programme implementation.

The Joint Managing Authority (JMA) has been established in Romania within the Ministry for European Integration, subsequent Ministry of Development, Public Works and Housing, now Ministry of Regional Development and Housing.

1.2 Legal Framework

European Union legislation

- Regulation (EC) No. **1638/2006** of the European Parliament and of the Council of 24 October 2006 laying down general provisions establishing a European Neighbourhood and Partnership Instrument (ENPI);
- Commission Regulation (EC) No. **951/2007** of 9 August 2007 laying down implementing rules for cross-border co-operation programmes financed under Regulation (EC) No.1638/2006 of the European Parliament and of the Council laying down general provisions establishing a European Neighbourhood and Partnership Instrument (ENPI);
- Council Regulation (EC) No. **1085/2006** of 17 July 2006 establishing an Instrument for Pre-Accession Assistance (IPA);



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- Commission Regulation (EC) No. **718/2007** of 12 June 2007 implementing Council Regulation (EC) No.1085/2006 establishing an Instrument for Pre-accession Assistance (IPA);
- Council Regulation (EC, Euratom) No. **1605/2002** of 25 June 2002 on the Financial Regulation applicable to the general budget of the European Communities;
- Commission Regulation (EC, Euratom) No. **2342/2002** of 23 December 2002 laying down detailed rules for the implementation of Council Regulation (EC, Euratom) No.1605/2002 on the Financial Regulation applicable to the general budget of the European communities;
- Commission Decision No. **7406/2008** of 27th of November 2008 adopting the Joint Operational Programme “Black Sea 2007-2013”;
- Practical Guide to Contract procedures for EC external actions 2008 (**PRAG**)¹.

In carrying out their activities related to award of works, supply and service contracts, all Beneficiaries and partners will have to follow the rules for selection and award of contracts referred to in Annex IV of the Standard Grant Contract.

Exceptionally, where a Beneficiary or a partner established in a Member State is a contracting authority and/or a contracting entity as defined by the Community Directives applicable to procurement procedures², it must apply the relevant provisions of those texts, as transposed in its national legislation³.

1.3 OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

The **global objective** of the programme, also covered by this Call for Proposals, is to achieve **stronger regional partnerships and cooperation**. By doing so, the programme aims to contribute to its key wider objective: “a stronger and more sustainable economic and social development of the regions of the Black Sea Basin”.

The programme’s 3 **specific objectives**, also covered by this Call for Proposals, are:

1. Promoting economic and social development in the Black Sea Basin areas
2. Working together to address common challenges
3. Promoting local, people-to-people type actions

These three specific objectives will be pursued by means of 3 **priorities**, which together form the programme’s approach to achieve these objectives:

¹ http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index_en.htm

² Directive 2004/18/EC of the European Parliament and of the Council of 31 March 2004 on the coordination of procedures for the award of public works contracts, public supply contracts and public service contracts (<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2004:134:0114:0240:EN:PDF>).

³ For *Bulgaria*: Public Procurement Law, published, SG No. 28/06.04.2004 with further amendments; Rules for the implementation of the Public Procurement Law; Ordinance for the Award of Small Public Contracts; Council of Ministers Decree No. 55/2007 laying down the provisions for the award of service, supply and works contracts by EU Structural Funds and PHARE Programme grant beneficiaries.

For *Greece*: Law 3263/2004 Tendering of Public Works; Law 3316/2005 Public contracts for studies and services (infrastructure projects); Law 2286/1995 Public Procurement Law; Presidential Decree 118/2007 Public Procurement Regulation; Presidential Decree 60/2007 Adaptation of the Greek legislation to Directive 2004/18/EC (on public procurement for works, supplies and services); Presidential Decree 59/2007 Adaptation of the Greek legislation to Directive 2004/17/EC.

For *Romania*: Governmental Emergency Ordinance no. 34/2006 regarding the award of the public procurement contracts, public works concession contracts and services concession contracts, with further amendments.



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1. Supporting cross border partnerships for economic development based on *combined* resources
2. Sharing resources and competencies for environmental protection and conservation
3. Supporting cultural and educational initiatives for the establishment of a common cultural environment in the Basin

The three priorities will be implemented through a total of 7 measures at operational level, as described below.

Objective 1 Promoting economic and social development in the border areas

The key area of intervention for the promotion of economic development is the development of initiatives based on local resources, starting from those of rural development, tourism, traditional manufacturing, with a strong focus on the promotion of SMEs and the promotion of administrative capacity at local level.

Priority 1 - Supporting cross border partnerships for economic and social development based on combined resources

Objective 1 will be achieved through Priority 1, which concentrates action in those fields with the richest potential: promotion of SME development through the support to initiatives aiming at the creation of a stimulating business environment, rural development and tourism. The focus of the activities supported by this priority will be on the promotion of accessibility, innovation, entrepreneurial capacity and administrative capacity. The transnational partnerships will promote the transfer of good practice and the spread of innovations among similar entrepreneurial initiatives.

Measure 1.1: Strengthening accessibility and connectivity for new intra regional information, communication, transport and trade links

The measure aims at supporting local development through improving links and connections in various dimensions between the regions of the programme area. This includes trade links supporting the accessibility to other markets of local traditional products.

The indicative list of activities is presented in Section 2.1.3.

Measure 1.2: Creation of tourism networks in order to promote joint tourism development initiatives and traditional products

This measure aims at promoting the development of common activities in the tourism sector, based on an integrated conservation and exploitation of Black Sea resources, in all partner regions. It targets the establishment of partnerships for exchange of experience and good practices in improving the standards of services in the area and for the development of common tourism products specific for the area.

The indicative list of activities is presented in Section 2.1.3.

Measure 1.3 Creation of administrative capacity for the design and implementation of local and regional development policies

This measure aims to increase the institutional capacity to promote economic and social development through the establishment of international partnerships for the exchange of best practices and know how in this area. The creation of a favourable environment for business at local level is a critical factor for development. The integration and networking of local administration or agencies in the area will promote capacity building and the exchange of methodologies and approaches to common problems.



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The indicative list of activities is presented in Section 2.1.3.

Objective 2: Working together to address common challenges

The challenges related to environmental protection and promotion appear to be the most relevant for the partner regions in the Black Sea Basin. International partnerships and networks, promoting integration of instruments, methodologies and activities in this field will particularly address the real cross-border nature of these environmental challenges.

Priority 2: Sharing resources and competencies for environmental protection and conservation

Objective 2 will be addressed by Priority 2. The central focus of this priority will be the environmental protection and conservation. The challenges related to the environment should be addressed by paying close attention to the technical and political instruments available to the programme and partners. The main areas of intervention are the protection of the maritime environment, the natural areas on the coasts and also the inland areas, and waste treatment technologies and management. This priority will promote innovation and exchange of good practices in the fields of scientific, technical and administrative competencies and capacities for environmental protection and conservation.

In order to guarantee coherence with the DABLAS, projects aimed at supporting co-operation for the protection of water and water-related ecosystems in the Danube and Black Sea Region should indicate how synergy with DABLAS initiatives would be attained. The same goes for coherence with the BSEC (for environmental protection-related projects), as well as for coherence with the Convention on the Protection of the Black Sea against Pollution (for pollution-related projects).

Under all three measures of this priority, networking activities play an important role for the exchange and implementation of appropriate solutions to environmental common challenges. The selection process of projects will take into account that programme support to networking should be used for long lasting and visible assistance projects. Networking needs to be firmly in the framework of existing environmental initiatives or the Black Sea Convention. In any case, the aim is not to create new institutions, but rather to strengthen and expand cooperation between existing institutions.

Measure 2.1 Strengthening the joint knowledge and information base needed to address common challenges in the environmental protection of river and maritime systems

This measure aims at the promotion of stronger integration and development of research, innovation, awareness and scientific partnerships in the fields of monitoring, control and protection of maritime systems and rivers in the Black Sea Basin.

The indicative list of activities is presented in Section 2.1.3.

Measure 2.2 Promoting research and innovation in the field of conservation and environmental protection of protected natural areas

This measure focuses on the sustainable development of natural protected areas in the partner regions. The aim of the measure will be achieved through various activities in the fields of management, research and economic initiatives.

The indicative list of activities is presented in Section 2.1.3.



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Measure 2.3 Promotion of cooperation initiatives aimed at innovation in technologies and management of Waste and Wastewater Management systems

This measure addresses one of the main challenges for all Black Sea partner regions: the management of waste, including both wastewater and solid waste. Current waste management has a high impact on public health, the quality of drinking water and the Black Sea environment.

The indicative list of activities is presented in Section 2.1.3.

Objective 3 Promoting local, people-to-people type actions

The promotion of people-to-people initiatives in the Black Sea Basin is especially challenging because of the large number of countries the extremely large geographical area and the historical and geopolitical background of the region. The activities that will be pursued under this objective can also generate strong synergies with the activities promoted under the priorities of Objective 1 and 2, which are all connected to human resources development, governance capability and stronger integration of communities in the Basin.

Priority 3: Supporting cultural and educational initiatives for the establishment of a common cultural environment in the Basin

Objective 3 will be pursued by Priority 3. The main focus of the priority will be to promote the integration and networking in terms of the rich cultural heritage and current cultural life in the partner countries. The main areas of activity that could contribute to the objective are those involving young generation, cultural and educational institutions. Both areas are the most promising in the long term, not the least in terms of the impact on local development based on mobilization of local resources. The educational institutions and cultural associations will be the main instrument for this strategy. Networking among cultural institutions will be promoted especially through the exchange of experiences and the sharing of cultural heritage and traditions. This is aimed at the establishment of a common cultural environment for the Black Sea Basin community, which in turn will contribute to the reduction of the negative impact of borders on reciprocal understanding and friendship.

Measure 3.1 Promoting cultural networking and educational exchange in the Black Sea Basin communities

This measure aims to create stronger social and cultural relations among communities around the Black Sea Basin, in order to promote good relations between the communities and stronger and better-integrated educational institutions in the Black Sea Basin, in order to support social and economic development. It focuses on the promotion of mutual understanding between neighbours and respect for cultural diversity. The activities foreseen are various, involving cultural institutions and NGOs active in cultural and social promotion or inter-ethnic relations. The improvement of the connection of educational institutions in the Black Sea Basin will contribute to the reduction of gaps among regions in terms of education.

The indicative list of activities is presented in Section 2.1.3.



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1.4 FINANCIAL ALLOCATION PROVIDED BY THE JOINT MONITORING COMMITTEE

The indicative amount made available under this Call for Proposals is **EUR 3,311,369 (ENPI contribution)**. The Joint Monitoring Committee reserves the right not to award all available funds.

Indicative allocation of ENPI funds by priority distribution:

ENPI	EC Funding	National co-financing ⁴	National co-financing rate	Total funding (EC + national)
Priority 1	1,169,318	116,932	10%	1,286,249
Priority 2	1,328,770	132,877	10%	1,461,647
Priority 3	813,281	81,328	10%	894,610
TOTAL	3,311,369	331,137	10%	3,642,506

For actions (projects) involving also Turkish partners, the indicative amount made available under this Call for Proposals is **EUR 1,339,401 (IPA contribution)**. The Central Finance and Contracts Unit (CFCU) in Turkey reserves the right not to award all available funds.

Indicative allocation of IPA funds by priority distribution:

IPA	EC Funding	National co-financing ⁵	National co-financing rate	Total funding (EC + national)
Priority 1	472,972	52,552	10%	525,524
Priority 2	537,468	59,719	10%	597,187
Priority 3	328,961	36,551	10%	365,512
TOTAL	1,339,401	148,822	10%	1,488,223

Adjustments to the joint operational programme financial table which merely involve the transfer from one priority to another of no more than 20 % of the Community funds initially allocated to each priority may be made directly by the Joint Managing Authority, **with the prior approval of the Joint Monitoring Committee**⁶.

Co-financing

No **grant** may exceed **90%** of the total eligible costs of the Action. See also Section 2.1.4.

The rate of **co-financing** is **10%** of the total eligible costs of the Action and it is requested for each approved proposal. Each participating country shall decide on its own co-financing system (from national or regional/local level or directly from the Beneficiary). Co-financing is to be provided by the Beneficiaries in order to demonstrate local commitment. No resources, which have been assisted by other EC contribution, may be taken into account as own contribution⁷.

Furthermore, proposals financed by other EU sources can not be submitted. Contribution in kind is not allowed⁸.

⁴ Calculated as 10% of EC funding, according with ENPI rules.

⁵ Calculated as 10% of Total funding (EC + national), according with IPA rules.

⁶ Regulation (EC) No 951/2007, art. 7.1.

⁷ Regulation (EC) No 951/2007, art.19(1).

⁸ Please see Section 2.1.4.



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Size of grants

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

<u>Type of actions (projects)</u>	<u>Minimum amount</u>	<u>Maximum amount</u>
Priorities 1 & 2	EUR 100,000	EUR 700,000
Priority 3	EUR 50,000	EUR 250,000
Projects implemented mainly or entirely in a single participating-country but having a cross-border impact	EUR 50,000	EUR 250,000

Payments

For actions with an implementation period not exceeding 12 months and where the financing is between Eur 50,000 and Eur 100,000, payments will take the form of pre-financing payment (80% of the grant) and forecast final payment (20% of the grant).

For actions with an implementation period not exceeding 24 months and where the financing is over Eur 100,000 up to Eur 700,000, payments will take the form of first instalment of pre-financing (30% of the grant), forecast second instalment pre-financing (50% of the grant) and forecast final payment (20% of the grant). Forecast second instalment of pre-financing will be made only if the Beneficiary proves that 70% of the first instalment of pre-financing is spent⁹.

<u>Grants</u>	<u>Duration of the actions</u>	<u>(First instalment of) Pre-financing</u>	<u>Forecast second instalment of pre-financing</u>	<u>Forecast final payment</u>
Eur 50,000 up to Eur 100,000	max 12 months	80 %	-	20 %
over Eur 100,000 up to Eur 700,000	max 24 months	30 %	50 %	20 %

⁹ As provided in Article 15(1) of the General Conditions of the Grant Contract (Annex F of these Guidelines).
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2. RULES FOR THIS CALL FOR PROPOSALS

These guidelines set out the rules for the submission, selection and implementation of actions (projects) financed under this Call for Proposals, in conformity with the provisions of the **Practical Guide to contract procedures for EC external actions (PRAG)**, which is applicable to the present Call for Proposals (available on the Internet at this address: http://ec.europa.eu/europeaid/work/procedures/implementation/practical_guide/index_en.htm).

2.1 ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

- Applicant(s)¹⁰ which may request a grant (2.1.1), and their partners (2.1.2),
- actions (projects) for which a grant may be awarded (2.1.3),
- types of cost which may be taken into account in setting the amount of the grant (2.1.4).

2.1.1 Eligibility of Applicants and partners: who may apply

(1) In order to be eligible for a grant, Applicants and partners must:

- **represent one of the following legal entities¹¹:**
 - a. national, regional or local **public authority**;
 - b. **body governed by public law¹²**, other than legal entities defined under paragraph a, established for the specific purpose of meeting needs in the general interest (needs not having an industrial or commercial character) and which fulfils at least one of the following conditions:
 - i. be financed, for the most part, by the national, regional or local authorities, or other bodies governed by public law or
 - ii. be subject to management supervision by those bodies or
 - iii. have an administrative, managerial or supervisory board, more than half of whose members are appointed by the national, regional or local authorities, or by other bodies governed by public law;
 - c. **association** formed by one or several national, regional or local public authorities or one or several bodies governed by public law, as defined under paragraphs a-b;
 - d. **other non-profit organisation**, other than legal entities defined under paragraph c¹³;

¹⁰ According with ENPI Implementing Regulation, the body which signs a grant contract with the Joint Managing Authority and which assumes full legal and financial responsibility for project (action) implementation vis-à-vis that authority is called 'Beneficiary'. Until the grant contract is signed, any body that submits a proposal is called 'Applicant'.

¹¹ According with Article 14 of ENPI Regulation.

¹² Bodies governed by public law as defined in Article 1(9) of Directive 2004/18/EC of the European Parliament and of the Council of 31 March 2004 on the coordination of procedures for the award of public works contracts, public supply contracts and public service contracts (<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2004:134:0114:0240:EN:PDF>) and in compliance with the national legislation of each participating country.

¹³ Please note that international organisations can participate only if they have an agreement with the government of the country in which they are going to carry out project activities.



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e. **public undertaking**¹⁴ operating in the water, energy and transport services sectors, undertakings over which the legal entities defined under paragraphs a-c may exercise directly or indirectly a dominant influence by virtue of their ownership of it, their financial participation therein, or the rules which govern it; a dominant influence on the part of the entities defined under paragraphs a-c shall be presumed when these entities, directly or indirectly, in relation to an undertaking:

- i. hold the majority of the undertaking's subscribed capital or
- ii. control the majority of the votes attaching to shares issued by the undertaking or
- iii. can appoint more than half of the undertaking's administrative, management or supervisory body

and

- **be directly responsible for the preparation and management of the Action with their partners, not acting as an intermediary and**
- **be registered and located in the eligible area of the programme:**
 1. Armenia (all regions),
 2. Azerbaijan (all regions),
 3. Bulgaria (NUTS II regions of Severoiztochen and Yugoiztochen),
 4. Greece (NUTS II regions of Kentriki Makedonia and Anatoliki Makedonia - Thraki),
 5. Georgia (all regions),
 6. R. Moldova (all regions),
 7. Romania (NUTS II region of South-East),
 8. Russia (Rostov Oblast, Krasnodar Krai and Adygea Republic),
 9. Turkey (NUTS II equivalent regions of İstanbul, Tekirdağ, Kocaeli, Zonguldak, Kastamonu, Samsun and Trabzon¹⁵),
 10. Ukraine (Odeska, Mykolayivska, Khersonska, Zaporizhska and Donetska Oblasts, Autonomous Republic of Crimea and the City of Sevastopol) or
- **be organizations whose headquarters are registered and located outside the programme area in actions implemented in the eligible area¹⁶ - but in one of the ten participating countries - and:**
 - have local/regional subsidiary/branch offices established in the eligible area:
 - i. in case of a subsidiary (having legal personality) the subsidiary shall be the Applicant (and in case of contracting, it shall be the Beneficiary) / partner;
 - ii. in case of a branch (not having legal personality) the central organization shall be the Applicant (and in case of contracting, it shall be the Beneficiary) / partner;
 - have no local/regional subsidiary/branch offices established in the eligible area, but are located at central/national/regional level, have exclusive competences in a field of

¹⁴ Public undertaking as defined in Article 2(1)b of Directive 2004/17/EC of the European Parliament and of the Council of 31 March 2004 coordinating the procurement procedures of entities operating in the water, energy, transport and postal services sectors

(<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2004:134:0001:0113:EN:PDF>).

¹⁵ More precisely: NUTS II equivalent regions of TR10 (İstanbul), TR21 (Tekirdağ, Edirne, Kırklareli), TR42 (Kocaeli, Sakarya, Düzce, Bolu, Yalova), TR81 (Zonguldak, Karabük, Bartın), TR82 (Kastamonu, Çankırı, Sinop), TR83 (Samsun, Tokat, Çorum, Amasya) and TR90 (Trabzon, Ordu, Giresun, Rize, Artvin, Gümüşhane).

¹⁶ Subject to approval of the JMC in the framework of these Guidelines for Grant Applicants. This exception can only be applied on the basis of a substantial justification showing that the Action cannot be implemented or would have difficulties in achieving its objectives without that Applicant/partner's participation as mentioned in art. 40(2) of Regulation (EC) No 951/2007. The proposal will be evaluated by the Selection Committee under the technical evaluation stage and it will be up to JMC to decide on the necessity of the involvement of an Applicant/partner located outside the eligible area of the programme and grant the exception.



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activity and/or geographical area and demonstrate that their areas of legal competences established by legal acts extend to the eligible area of the programme and also the proposed Action is for the full benefit of the eligible area of the programme.

Each partner organisation has to confirm that it fulfils the criteria either a, b, c, d or e as defined above in the Partnership Statement (see Section IV.2 in the Grant Application Form).

In order to be able to act as **Applicant**, an organisation should be a legal entity registered and located either in a EU Member State or in a partner country (all participant countries except Turkey, as candidate country financed by IPA), it should hold a dedicated bank account¹⁷ for the Action, it needs to be legally able to transfer funds to foreign countries and it must have a proven technical, financial and operational capacity to manage the proposed Action.

In the **joint actions which involve the participation of one or more Turkish partners**, the Turkish partners shall appoint an IPA Financial Lead Beneficiary (Lead Beneficiary as in IPA terminology), who - if the application is approved - shall sign a Grant Contract for IPA funds with the Central Finance and Contracts Unit (CFCU) in Turkey.

Legal entities not meeting the above mentioned eligibility criteria are welcomed to participate in actions as “associate partners”. See also Section 2.1.2.

In accordance with the provisions set out in the *European Neighbourhood and Partnership Instrument Cross-Border Cooperation: Strategy Paper 2007-2013*, priority shall be given to **local and regional authorities, civil society and NGO’s, chambers of commerce, and the academic and educational community.**

Participation of international organisations

Pursuant to Article 43 of the Implementing Rules of the Financial Regulation for the General Budget of the European Communities, **international organisation means international public-sector organisations set up by intergovernmental agreements, and specialised agencies set up by such organisations** - these organisations may have worldwide or regional scope. Organisations created under national law are not international organisations (e.g. national NGO with several regional/country offices).

International organisations act under international law and they can only participate in the Programme upon explicit acceptance, in line with what is requested to any of the Programme eligible body, of all requirements deriving from the ENPI CBC Regulations and the other provisions applicable in the framework of the Joint Operational Programme "Black Sea 2007-2013", including - but not limited to - the following:

- **Adherence to applicable Community Policies**, including the respect of rules on public procurement;
- **Acceptance of the control requirements set by the PRAG** (Grant Contract and its annexes) in the framework of the Programme and/or by the national control systems of EU Member States (applicable if the organisation is located in the EU Member State that adopted its own national control system);
- **Acceptance of undergoing audits and checks by all those bodies entitled to carry out such controls in the framework of the Programme**, including the European Commission, the Joint Managing Authority, the European Court of Auditors, the European Anti-Fraud Office, as well as the relevant national authorities if the organisation is located in a EU Member State. Storage of all documents required for these controls must allow performing them in the geographical area covered by the Programme;
- **Final financial liability for all the sums wrongly paid out.**

¹⁷ The bank account may be in national currency at the application moment. If proposal is selected and before contracting, the Applicant must open a dedicated bank account for the implementation of the action, EUR currency being strongly recommended, due to high currency exchange risks.



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The international organisation will have to submit, **as supporting document**, an **ad hoc declaration** explicitly stating it undertakes to these obligations. The format of this declaration will be provided by the JMA.

Taking into consideration the previous mentioned eligibility conditions, an indicative list with **examples of potential Applicants and partners** is presented below:

Priority 1 - Supporting cross border partnerships for economic and social development based on combined resources

Measure 1.1: Strengthening accessibility and connectivity for new intra regional information, communication, transport and trade links

- public administrations and their institutions,
- public undertakings,
- development agencies,
- ports, rails and roads management authorities,
- naval communication authorities,
- operators and service providers on electronic communication,
- rural development authorities,
- agricultural, forestry and fishery authorities,
- chambers of commerce, business incubators, trade unions associations, cooperatives, consumer organisations, professional associations, associations of agricultural producers and fishermen,
- research and training institutions active in economic and social development,
- NGOs active in economic and social development, information and communication technologies, supporting and promoting SMEs, business development, entrepreneurship, marketing and innovation, promoting accessibility and international trade links, promoting local traditional products on the international market,
- civil society / local community organisations,
- Euroregions,
- other public or non-profit organisations.

Measure 1.2: Creation of tourism networks in order to promote joint tourism development initiatives and traditional products

- public administrations and their institutions,
- development agencies,
- public undertakings,
- tourism public authorities,
- associations of tourism agencies and operators, tourists organisations,
- rural development authorities,
- chambers of commerce, professional associations,
- research and training institutions active in tourism,
- NGOs active in supporting and promoting cross-border tourism, developing new tourism products and standards, promoting accessibility and sustainable tourism,
- civil society / local community organisations,
- Euroregions,
- other public or non-profit organisations.

Measure 1.3: Creation of administrative capacity for the design and implementation of local and regional development policies

- public administrations and their institutions,
- development agencies,



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- urban and rural development institutions,
- research and training institutions active in the following fields: administrative capacity, development policies, urban and rural development and rehabilitation, supporting SMEs and business development, marketing, innovation, economic and social development,
- NGOs active in the following fields: administrative capacity, development policies, urban and rural development and rehabilitation, supporting SMEs and business development, marketing, innovation, economic and social development,
- civil society / local community organisations,
- Euroregions,
- other public or non-profit organisations.

Priority 2: Sharing resources and competencies for environmental protection and conservation

Measure 2.1 Strengthening the joint knowledge and information base needed to address common challenges in the environmental protection of river and maritime systems

- public administrations and their institutions,
- development agencies,
- public undertakings,
- decentralised and/or local governmental public services,
- waste, water and wastewater management bodies,
- environmental protection agencies and similar institutions,
- natural protected areas and reservations administrations,
- rural development authorities,
- agricultural, forestry and fishery authorities,
- educational institutions (universities, colleges, schools, vocational schools),
- research and training institutions in environmental protection and conservation,
- emergency situations institutions and other bodies involved in developing emergency plans,
- protection against floods bodies,
- ports management authorities,
- NGOs active in environmental protection and conservation,
- civil society / local community organisations,
- Euroregions,
- other public or non-profit organisations.

Measure 2.2 Promoting research and innovation in the field of conservation and environmental protection of protected natural areas

- public administrations and their institutions,
- development agencies,
- public undertakings,
- environmental protection agencies and similar institutions,
- natural protected areas and reservations administrations,
- rural development authorities,
- agricultural, forestry and fishery authorities,
- educational institutions (universities, colleges, schools, vocational schools),
- research and training institutions in environmental protection and conservation,
- NGOs active in environmental protection and conservation,
- civil society / local community organisations,
- Euroregions,
- other public or non-profit organisations.



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Measure 2.3 Promotion of cooperation initiatives aimed at innovation in technologies and management of Waste and Wastewater Management systems

- public administrations and their institutions,
- development agencies,
- public undertakings,
- decentralised and/or local governmental public services,
- waste, water and wastewater management bodies,
- environmental protection agencies and similar institutions,
- natural protected areas and reservations administrations,
- rural development authorities,
- agricultural, forestry and fishery authorities,
- educational institutions (universities, colleges, schools, vocational schools),
- research and training institutions in environmental protection and conservation,
- NGOs active in environmental protection and conservation,
- civil society / local community organisations,
- Euroregions,
- other public or non-profit organisations.

Priority 3: Supporting cultural and educational initiatives for the establishment of a common cultural environment in the Basin

Measure 3.1 Promoting cultural networking and educational exchange in the Black Sea Basin communities

- public administrations and their institutions,
- development agencies,
- public undertakings,
- cultural institutions and operators (museums, libraries, theatres, operas, philharmonics, arts and cultural heritage institutions etc.),
- educational institutions (universities, colleges, schools, vocational schools),
- research and training institutions active in the cultural and social areas,
- NGOs active in the cultural and social areas,
- civil society / local community organisations,
- Euroregions,
- other public or non-profit organisations.

Ineligible Applicants and partners:

- private sector (profit making entities etc.);
- political parties.

(2) Potential Applicants and their partners may not participate in Calls for Proposals or be awarded grants if they are in any of the following situations:

- (a) they are bankrupt or being wound up, are having their affairs administered by the courts, have entered into an arrangement with creditors, have suspended business activities, are the subject of proceedings concerning those matters, or are in any analogous situation arising from a similar procedure provided for in national legislation or EU regulations;
- (b) they have been convicted of an offence concerning their professional conduct by a judgement which has the force of *res judicata* (e.g. against which no appeal is possible);
- (c) they have been guilty of grave professional misconduct proven by any means which the Joint Managing Authority can justify;



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- (d) they have not fulfilled obligations relating to the payment of debts to the consolidated state budget in accordance with the legal provisions of the country in which they are established;
- (e) they have been the subject of a judgment which has the force of *res judicata* for fraud, corruption, involvement in a criminal organisation or any other illegal activity detrimental to the Communities' financial interests;
- (f) they are currently subject to an administrative penalty referred to in Art.96(1) of the Financial Regulation¹⁸.

The cases referred to in point (e) applicable are the following:

- 1) cases of fraud as referred to in Article 1 of the Convention on the protection of the European Communities' financial interests drawn up by the Council Act of 26 July 1995¹⁹;
- 2) cases of corruption as referred to in Article 3 of the Convention on the fight against corruption involving officials of the European Communities or officials of Member States of the European Union, drawn up by the Council Act of 26 May 1997²⁰;
- 3) cases of participation in a criminal organisation, as defined in Article 2(1) of Joint Action 98/733/JHA (Justice and Home Affairs) of the Council²¹;
- 4) cases of money laundering as defined in Article 1 of Council Directive 91/308/EEC²².

In Section VII of the Grant Application Form (“Declaration by the Applicant”), Applicants must declare that they do not fall into any of the situations.

¹⁸ The managing authority may impose administrative or financial penalties on the following: (a) candidates or tenderers who are guilty of misrepresentation in supplying the information required by the managing authority as a condition of participation in the procurement procedure or fail to supply this information; (b) contractors who have been declared to be in serious breach of their obligations under contracts covered by the budget. In all cases, however, the managing authority must first give the person concerned an opportunity to present his observations.

¹⁹ OJ C 316, 27.11.1995, p.48.

²⁰ OJ C 195, 25.6.1997, p.1.

²¹ OJ L 351, 29.12.1998, p. 1. Joint Action of 21 December 1998 making it a criminal offence to participate in a criminal organisation in the Member States of the European Union.

²² OJ L 166, 28.6.1991, p. 77. Directive of 10 June 1991, as amended by Directive 2001/97/EC of the European Parliament and of the Council of 4 December 2001 (OJ L 344, 28.12.2001, p.76).



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2.1.2 Eligibility of partnerships

Applicants and partner organisations must act as specified hereafter.

The **actions (projects) will be jointly submitted and implemented by partnerships** that will always involve partners from one or several **Member States** (Bulgaria, Greece, Romania) and from one or several **partner countries**²³ (Armenia, Azerbaijan, Georgia, R. Moldova, Russia, Ukraine) **and/or Turkey**²⁴. The participation of Turkish partners is only possible in tripartite projects involving at least one partner from a Member State and one partner from a partner country.

The recommended number of partners involved in each project partnership is **between 3 and 10 partners**.

All partnerships will be led by a Beneficiary (Lead Partner) responsible for the management of the project in question and signing a contract on behalf of the partnership with the JMA.

The **Beneficiary** shall assume the following **responsibilities**:

- Sign the Grant Contract with the JMA;
- Lay down the arrangements for its relations with the project partners in a “Partnership Agreement” comprising, inter alia, provisions guaranteeing the sound financial management of the funds allocated to the operation, including the arrangements for recovering amounts unduly paid;
- Organize the recovery of amounts unduly spent;
- Ensure the implementation of the entire project;
- Transfer the ENPI contribution to the project partners;
- Ensure that the expenditure presented by the project partners has been paid for the purpose of implementing the operation and corresponds to the activities agreed between the partners;
- Ensure the sound financial management of the whole project. It shall contract auditors or use the designated controllers for the verification of expenditure in accordance with programme procedures²⁵;
- Claim the reimbursement of expenses from the JMA, and transfer these reimbursements to the partners;
- Record and store project documents (originals and copies) in a manner specified in the Grant Contract;
- Provide the JMA with all data relevant for monitoring indicators as outlined in the Grant Contract;
- Ensure coordination of the implementation of the Action;
- Sign a Partnership Agreement with each partner as a prior condition for concluding the Grant Contract with the JMA.

For joint projects, which involve the participation of one or more **Turkish partners**, the Turkish partners shall appoint an **IPA Financial Lead Beneficiary** (Lead Beneficiary as in IPA terminology²⁶) among themselves. The CFCU will sign a Grant Contract for the corresponding IPA funds with the IPA Financial Lead Beneficiary defining all arrangements for the implementation of the project, after receiving a notification from the JMA on the signature of the contract for

²³ Partner countries are included in the Annex to the ENPI Regulation (EC) No 1638/2006.

²⁴ The beneficiary countries are included in Annex I to the IPA Regulation (EC) No 1085/2006.

²⁵ Programme procedures will be those of PRAG, with the derogations and additions agreed among partners and approved by EC.

²⁶ Commission Regulation (EC) No 718/2007 of 12 June 2007 implementing Council Regulation (EC) No 1085/2006 establishing an Instrument for Pre-accession Assistance (IPA), art. 96.



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the joint project (ENPI Grant Contract). The IPA Financial Lead Beneficiary shall cooperate closely with the ENPI Beneficiary for a successful implementation of the joint project and with the aim of ensuring single operational reporting of the project, even if differentiating between ENPI and IPA expenditure. The IPA Financial Lead Beneficiary will report on financial issues to the CFCU, according to the provisions laid down in the relevant Grant Contract.

The **partners** shall assume the following **responsibilities**:

- Ensure the implementation of the project activities under their responsibility according to the project plan and the contract signed with the Beneficiary;
- Cooperate with the project partners in the implementation of the project, the reporting and monitoring;
- Provide financial and progress reports, including all supporting documentation, to the auditors/controllers for the verification of expenditure per each of the reporting periods established for the project and ensure full cooperation and assistance for the timely and accurate performance of verification;
- Assume responsibility in the event of any irregularity in the expenditure they have declared, and repay the Beneficiary the amounts unduly received;
- Sign a Partnership Agreement with the Applicant as a prior condition for concluding the Grant Contract with the JMA.

Beneficiaries' **partners** participate in designing and implementing the Action, and the costs they incur are eligible in the same way as those incurred by the grant Beneficiary. They **must therefore satisfy the same eligibility criteria as applicable on the grant Beneficiary himself**.

Before an application is submitted, each partner (by legally authorised representative(s)) intending to participate in the Action has to sign a **Partnership Statement** (see Section IV.2 of the Grant Application Form). For the objective evaluation of the partnership, the real role and involvement of the partners during preparation, implementation, financing and management, as well as utilisation of the proposed Action outputs and results after completion must be described in detail and endorsed by all partners. The necessary number of **copies (3)** of this document should be provided and included in the Grant Application Form, under Section IV. **Any application not containing the Partnership Statement signed, stamped and dated by each partner is considered ineligible**.

If the application is selected, the Applicant shall become the contracting party of the grant (the "Beneficiary").

Partnership Agreements between the Applicant and each partner must be signed and provided to JMA as a prior condition for the signature of the Grant Contract between JMA and the Applicant. An indicative template of Partnership Agreement is presented in Annex I of the Guidelines²⁷.

Other organisations may be involved in the Action. The following entities do not bear the status of "partners" and therefore they do **not** have to sign the "partnership statement":

- **"Associate partners"**

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 (to be reflected in the budget of the Applicant or partner(s)). "Associate partners" do not have to meet the eligibility criteria referred to in Section 2.1.1. The associates have to be mentioned in Section V - "Associates of the Applicant participating in the Action" of the Grant Application Form.

- **Subcontractors**

The grant Beneficiaries have the possibility to award contracts to subcontractors. Subcontractors are neither partners nor associates, and are subject to the procurement rules set out in Annex IV of the Standard Grant Contract.

²⁷ **Annex Ia** for Partnership Agreement between ENPI Beneficiary and ENPI Partner and **Annex Ib** for Partnership Agreement between ENPI Beneficiary and IPA Financial Lead Beneficiary.



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2.1.3 Eligible actions: actions for which an application may be submitted

Definition: An **Action (project)** is composed of several Groups of Activities and defined by milestones within which the activities will be carried out, outputs will be produced and results will be delivered.

Duration

The initial planned duration of an Action (project):

- For actions of Eur 50,000 up to Eur 100,000 - maximum 12 months;
- For actions over Eur 100,000 up to Eur 700,000 - maximum 24 months.

Location

Actions (projects) must take place in one or more of the following **eligible areas**:

1. Armenia (all regions),
2. Azerbaijan (all regions),
3. Bulgaria (NUTS II regions of Severoiztochen and Yugoiztochen),
4. Greece (NUTS II regions of Kentriki Makedonia and Anatoliki Makedonia - Thraki),
5. Georgia (all regions),
6. R. Moldova (all regions),
7. Romania (NUTS II region of South-East),
8. Russia (Rostov Oblast, Krasnodar Krai and Adygea Republic),
9. Turkey (NUTS II equivalent regions of İstanbul, Tekirdağ, Kocaeli, Zonguldak, Kastamonu, Samsun and Trabzon²⁸),
10. Ukraine (Odeska, Mykolayivska, Khersonska, Zaporizhska and Donetska Oblasts, Autonomous Republic of Crimea and the City of Sevastopol).

Types of actions (projects)

Projects implemented within the Black Sea Programme should always have a **cross-border impact**.

Three types of projects are eligible²⁹:

1. **Integrated projects** with different activities in several countries that jointly achieve a certain objective having a cross border impact;
2. **Symmetrical projects** with the similar activities in all countries participating in the project;
3. **Projects** implemented mainly or entirely in a single participating-country but having a cross-border impact.

Only 10% of this Call for Proposals budget will be available for projects implemented mainly or entirely in a single participating-country, *but having a cross-border impact*.

The projects must have *direct cross-border impact*, which shall be understood in terms of respecting at least two of the following conditions, as described below: joint development, joint staffing, joint implementation and/or joint financing.

²⁸ More precisely: NUTS II equivalent regions of TR10 (İstanbul), TR21 (Tekirdağ, Edirne, Kırklareli), TR42 (Kocaeli, Sakarya, Düzce, Bolu, Yalova), TR81 (Zonguldak, Karabük, Bartın), TR82 (Kastamonu, Çankırı, Sinop), TR83 (Samsun, Tokat, Çorum, Amasya) and TR90 (Trabzon, Ordu, Giresun, Rize, Artvin, Gümüşhane).

²⁹ Art. 41 of Regulation (EC) No 951/2007.



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- ❑ *Joint development* - means that the project must be designed in common by partners, meaning that applications must clearly integrate the ideas, priorities and actions of all stakeholders. The Applicant is the coordinator of this process but should include other partners from the beginning of the development process;
- ❑ *Joint implementation* - means that activities must be carried out and coordinated among all partners. It is not enough that activities run in parallel. There must be clear content-based links between what is happening on each side of the borders and regular contact between all the sides. The Beneficiary (Lead Partner) is responsible for ensuring that activities are properly coordinated, that schedules are kept and that the right quality levels are achieved;
- ❑ *Joint staffing* - means that the project should not duplicate functions. Therefore, regardless of where the person is registered and located, there should be one joint project manager, one joint financial manager etc. (more staff may be required for larger projects). These staff will be responsible for project activities on all sides of the borders. The Beneficiary (Lead Partner) is generally the employer of core project staff;
- ❑ *Joint financing* - means that there will be only *one contract* per project and there must therefore be *one joint project budget* and *one joint reporting*. The joint budget should be divided between partners according to the activities carried out. There is also only *one project bank account*³⁰ - held by the Beneficiary (Lead Partner) - and payments (from ENPI) are made from the programme to this account. The Beneficiary (Lead Partner) is responsible for administration and distribution of these funds among the partners and for reporting on their use. Match-funding should come from all sides of the borders and illustrates the commitment by each partner to the joint project. Exception will be made in case of projects involving IPA partner(s) where the IPA Lead Beneficiary will sign the contract with CFCU in Turkey for the IPA funds and it will have a separate bank account for IPA funds³¹.

Types of activities

An indicative list with *examples of types of activities* which may be financed under this Call for Proposals is presented below:

Priority 1 - Supporting cross border partnerships for economic and social development based on combined resources

Measure 1.1: Strengthening accessibility and connectivity for new intra regional information, communication, transport and trade links

- Promotion of international trade links in the area, including with respect to trade in energy;
- Support to the promotion of traditional products from Black Sea agriculture on the international market;
- Development of cooperation networks aimed at promoting the use of information and communication technologies in local/regional economic initiatives;
- Establishment of partnerships for needs assessment and project generation activities - e.g. through feasibility studies;
- Pre-feasibility studies for small-scale transport infrastructures for a better integration of less developed areas and tourist destinations in the Basin;
- Setting up networks of research and innovation centres that will facilitate the identification of projects for infrastructure that can then be supported by other EU programmes and initiatives or other national and international institutions;

³⁰ Bank accounts in EUR are strongly recommended, due to high currency exchange risks.

³¹ Bank accounts in EUR are strongly recommended, due to high currency exchange risks.



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- Common initiatives for promoting transit transportation infrastructures in the region aimed at increasing freight and passenger transportation efficiency;
- Pre-feasibility and preliminary studies for the development of environmental friendly, safe and reliable maritime routes;
- Common initiatives for promoting integrated urban-port strategies in the Black Sea Basin, pre-feasibility and preliminary studies for the reintegration of old ports into the city;
- Cooperation between civil aviation authorities for future extending of the European Common Aviation Area to the Black Sea countries.

Measure 1.2: Creation of tourism networks in order to promote joint tourism development initiatives and traditional products

- Creation of networks of agencies active in the tourism sector to increase the economic impact of tourism in the areas, e.g. a cultural route between Black Sea and Caspian Sea;
- Partnerships between authorities of natural protected areas for the promotion of sustainable tourism in the natural areas of the Black Sea Basin;
- Networks of tourism agencies for the promotion of common initiatives on the international market;
- Creation of cross-border tourism products and common service standards (thematic routes, quality systems etc);
- Cooperation partnerships aimed at preventing or counteracting migration of most skilled workers to EU-industrialized countries /prevention of "brain drain".

Measure 1.3 Creation of administrative capacity for the design and implementation of local and regional development policies

- Establishment of a Black Sea Basin network for capacity building for local and regional administrators through the exchange of good practices and innovations for local development;
- Networks for the promotion of innovative urban and rural planning and management methodologies for urban development and rehabilitation;
- Partnerships among development agencies for the exchange of expertise, competencies and innovation in development policies e.g. training of development agents and application of common methodologies for SMEs development;
- Training for staff of local bodies and institutions supporting SMEs, especially for the improvement of capacity to operate in interregional initiatives (e.g. marketing plans, product development and small business management);
- Promoting exchanges of good practices supporting social and economic integration of migrants (inclusion in the labour market, education, languages, dedicated services related to housing, social services and legal assistance, etc.).
- Cross-border actions aimed at improving training standards (qualification and vocational training responding to the demand of productive sectors), at promoting entrepreneurship and certification of skills and at encouraging the inclusion of young people in the labour market.
- Promotion of twinning initiatives among local administrations in the area, for the establishment of a positive framework for cross border cooperation;

Priority 2: Sharing resources and competencies for environmental protection and conservation

Measure 2.1 Strengthening the joint knowledge and information base needed to address common challenges in the environmental protection of river and maritime systems



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- Support to the creation of joint action plans and/or carrying out feasibility studies of research institutions and/or regional organisations in the fields related to maritime natural systems;
- Exchange of experiences and good practices through the establishment of cooperation partnerships among environmental NGOs and educational institutions;
- Establishment or strengthening of networks for the development in partnership of methodologies and capabilities of the responsible rescue authorities in view of the response to oil spills on the coastal area and the mitigation of marine pollution;
- Promotion of monitoring of environmental factors, through partnerships of institutions responsible for pollution control in the Black Sea Basin;
- Support to the development in partnership of contingency plans in order to ensure the ability of the Black Sea coastal authorities to respond to pollution;
- Cross-border partnerships for the implementation of scientific studies, especially those relevant for monitoring and/or addressing environmental risks in the Black Sea Basin;
- Establishment or strengthening of existing cooperation partnership for identifying/eliminating land-originating polluters, arising especially from agricultural activities, and for exploring methods of their elimination;
- Preparation/promotion or implementation of scientific studies in the fields of monitoring, control and protection of the maritime system and of rivers in the area;
- Development of concepts for coordination and cooperation in case of natural or man-made disasters;
- Development of joint Maritime Spatial Planning and/or regional Strategies for Integrated Coastal Zones Management,
- Promoting/fostering marine observation and data networks for Black Sea JOP eligible area in order to integrate the existing and new marine data, allowing a long term monitoring and a high quality process for risks assessment;
- Supporting regional fisheries management cooperation initiatives.

Measure 2.2 Promoting research and innovation in the field of conservation and environmental protection of protected natural areas

- Creation or strengthening of networks between authorities managing natural protected areas in order to exchange expertise, good practices and innovation in technical and scientific methodologies and in addition to support the monitoring, protection and conservation of natural resources and biodiversity;
- Development of joint strategies, methodologies, and/or action plans to ensure the promotion of sustainable tourism in the natural protected areas of the Black Sea
- Establishment or strengthening of networks for joint development of planning and management methodologies and the creation of databases for the natural protected areas of the Black Sea Basin;
- Training and raising awareness for citizens living in protected natural areas.

Measure 2.3 Promotion of cooperation initiatives aimed at innovation in technologies and management of Waste and Wastewater Management systems

- Partnerships among institutions for exchange of know how related to innovative technologies and procedures for waste management and disposal;
- Support to information and educational activities, including awareness-raising campaigns, in the field of wastewater and solid waste management, water saving and waste recycling;
- Partnerships for innovation in waste management in regions with significant seasonal tourism flows that are concentrated in particular areas;



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- Partnerships of authorities for the exchange of good practices and governance tools in the sectors of solid waste and wastewater management - based on EU approaches.

Priority 3: Supporting cultural and educational initiatives for the establishment of a common cultural environment in the Basin

Measure 3.1 Promoting cultural networking and educational exchange in the Black Sea Basin communities

- Activities for the promotion of cultural heritage values;
- Strengthening of the regional identity through networking of cultural institutions and operators³² in the Black Sea Basin;
- Creation of networks of cultural centres, sharing cultural values from all regions;
- Exchange of experiences with traditional popular culture through the promotion of joint cultural events in the Black Sea Basin.
- Exchange programmes for students and academics aiming at the establishment of channels of cultural integration in the Black Sea Basin;
- Partnerships among universities, high schools and research centres aimed at the design and development of special educational programmes based on topics of common interest in the Black Sea Basin;
- Networks for the exchange of experience in adapting education and vocational training systems to the needs of a market economy, based on common approaches, in cooperation with already existing regional/national structures;
- Partnerships contributing to address the challenges of migration and the risks of conflicts;
- Cooperation for future setting up of an Institute of European Studies in the Black Sea Region.

The following types of actions are ineligible:

- activities of political, ideological or religious nature;
- investments in modernization and development of transport infrastructure;
- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences, congresses;
- actions concerned only or mainly with individual scholarships for studies or training courses.

Number of applications and grants per Applicant³³

- An Applicant **may submit more than one application** under this Call for Proposals.
- An Applicant **may not be awarded more than three grants³⁴** under this Call for Proposals, one grant per each priority.
- An Applicant **may at the same time be partner in another application.**
- Partners **may take part in more than one application.**

The Selection Committee may decide to limit the number of grants awarded to one Applicant and shall justify its decision in the Evaluation Report (e.g. other grants awarded under other measures).

³² E.g. museums, libraries, theatres, operas, philharmonics, arts and cultural heritage institutions etc.

³³ In case of a subsidiary (having legal personality), the subsidiary shall be the Applicant, and in case of contracting, it shall be the Beneficiary. In case of a branch (not having legal personality), the central organization shall be the Applicant, and in case of contracting, it shall be the Beneficiary.

³⁴ According with PRAG provisions (Section 6.4.8.6), where several proposals submitted by the same Applicant are selected for financing, but the Applicant does not prove to have the necessary capacity required to implement all selected proposals for which grants may be awarded, the Selection Committee shall reject the proposal(s) which has (have) been awarded a lower score, and select the proposal(s) that the Applicant has the capacity to implement.



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2.1.4 Eligibility of costs: costs which may be taken into consideration for the grant

Only "eligible costs" can be taken into account for a grant. The categories of costs considered as eligible and non-eligible are indicated below. The budget is both a cost estimate and a ceiling for "eligible costs". Note that the eligible costs must be based on real costs based on accounting documents (except for indirect costs where flat-rate funding applies).

Recommendations to award a grant are always subject to the condition that the checking process which precedes the signing of the contract does not reveal problems requiring changes to the budget (for instance arithmetical errors, inaccuracies or unrealistic costs and other ineligible costs). The checks may give rise to requests for clarification and may lead the Joint Managing Authority to impose modifications or reductions to address such mistakes or inaccuracies. The amount of the grant and the percentage of co-financing as a result of these corrections may not be increased in any case.

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

Eligible direct costs

To be eligible under the Call for Proposals, costs must comply with the provisions of article 14 of the General Conditions to the Standard Grant Contract (see Annex II), as described also below.

Eligible costs are costs actually incurred by the Beneficiary of this grant and its partners, which meet all the following criteria:

- a) they are incurred during the implementation of the Action as specified in Article 2 of the Special Conditions (see the [Standard](#) Grant Contract) with the exception of costs relating to final reports, expenditure verification and evaluation of the Action, whatever the time of actual disbursement by the Beneficiary and/or its partners. Procedures to award subcontracts for goods/services/works used/provided/delivered during the implementation period may have been initiated but contracts may not be concluded by the Beneficiary or its partners before the start of the implementation period of the Action, provided the provisions of Annex IV of the Grant Contract were respected.
- b) must be indicated in the estimated overall budget of the Action,
- c) must be necessary for the implementation of the Action which is the subject of the grant,
- d) must be identifiable and verifiable, in particular being recorded in the accounting records of the Beneficiary or its partners and determined according to the applicable accounting standards of the country where the Beneficiary or its partners are established and according to the usual cost accounting practices of the Beneficiary or its partners,
- e) must be reasonable, justified and comply with the requirements of sound financial management, in particular regarding economy and efficiency.

Subject to the above and where relevant to the provisions of Annex IV of the Standard Grant Contract being respected, the following direct costs of the Beneficiary and its partners shall be eligible:

- cost of staff assigned to the Action, corresponding to actual salaries including statutory deductions³⁵ and other remuneration-related costs; salaries and costs must not exceed those

³⁵ According to their respective national legislation.



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normally borne by the Beneficiary or its partners, as the case may be, unless it is justified by showing that it is essential to carry out the Action;

- travel and subsistence costs for staff and other persons taking part in the Action, provided they do not exceed those normally borne by the Beneficiary or its partners, as the case may be;
- purchase (new) or rental (new or used) costs for equipment and supplies specifically for the purposes of the Action, and costs of services, provided they correspond to market rates;
- costs of consumables;
- subcontracting expenditure;
- costs deriving directly from the requirements of the Grant Contract (dissemination of information, evaluation specific to the Action, expenditure verification, translation, reproduction, insurance, etc.) including financial service costs (in particular the cost of transfers and financial guarantees);
- any other cost necessary for the implementation of the Action, in line with the national legislations and the Budget of the Action.

Contingency reserve

A contingency reserve not exceeding **2%** of the direct eligible (total ENPI plus IPA) costs may be included in the Budget of the Action, without increasing the total amount to be financed by the JMA. It can only be used with the **prior written authorisation** of the Joint Managing Authority in case of ENPI funds and CFCU in Turkey for IPA funds.

Eligible indirect costs (overheads)

A fixed percentage not exceeding **7%** of the total amount of direct eligible costs of the Action may be claimed as indirect costs to cover the administrative overheads incurred by the Beneficiary for the Action, without increasing the total amount to be financed by the JMA. The flat-rate funding in respect of indirect costs does not need to be supported by accounting documents.

Indirect costs are eligible provided that they do not include costs assigned to another heading of the Budget of the Action (Annex B of these Guidelines).

Details regarding the eligibility of expenditure by budget lines are presented in Annex G to these Guidelines for Grant Applicants.

Contributions in kind

Contributions in kind are **not** considered actual expenditure and are **not** eligible costs. The contributions in kind may not be treated as co-financing by the Beneficiary or its partners. However, any contribution in kind must be explained in section 1.10.4 of the Grant Application Form (Annex A) and listed separately in the Budget of the Action (Annex B, Table 4 - Sources of funding).

The cost of staff assigned to the Action is not a contribution in kind and may be considered as co-financing in the Budget of the Action when paid by the Beneficiary or its partners.

Notwithstanding to the above, if the Description of the Action foresees the contributions in kind, such contributions have to be provided.

Ineligible costs

The following costs are not eligible:

- contributions in kind;
- debts and provisions for losses or debts;



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- interest owed;
- items already financed in another framework;
- purchases of land or buildings, except where necessary for the direct implementation of the Action, in which case ownership must be transferred to the final beneficiaries and/or local partners, at the latest at the end of the Action;
- currency exchange losses;
- taxes, including VAT, unless the Beneficiary (or the Beneficiary's partners) cannot reclaim them and the applicable regulations do not forbid coverage of taxes;
- credits to third parties;
- fines and penalties.



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2.2 HOW TO APPLY AND THE PROCEDURES TO FOLLOW IN OPEN CALL FOR PROPOSALS

2.2.1 Grant Application Form

Applications must be submitted using the Grant Application Form (Annex A to these Guidelines for Grant Applicants), together with the annexes and supporting documents presented in Section 2.2.2.

Applicants must apply in **English**.

Important notes:

- Applicants should keep strictly to the format of the different forms and fill in the paragraphs and the pages in order.
- Please complete the documents carefully and as clearly as possible so that they can be assessed properly.
- Hand-written applications will not be accepted.
- The annexes D and E ³⁶ must always be submitted as originals.
- The supporting documents³⁷ must be submitted as **unofficial translations into English certified by the head of the Applicant organisation**, as described in Section 2.2.2 below.
- The budget tables (Annex B) have to be drawn up in Euro and provide clear information about the way the money will be spent according to the activities described and divided per each partner and where it comes from.
- The Applicant should be precise and provide enough detail to ensure the application is clear, particularly as to how the aims of the Action will be achieved, the benefits that will flow from it and the way in which it is relevant to the programme's objectives.
- Applicants must verify that the application is complete on the basis of the **Checklist** (Annex A, Section VI) and that the signatures and official stamps are well visible and recognisable.
- Please make sure that the Declaration by the Applicant (Annex A, Section IV and Section VII) and Partnership Statements (Annex A, Section IV.2) are signed and stamped by the legally authorised representative of the relevant organisations.
- Each application should be bound (together with its annexes and supporting documents) in the way that pages could not be taken away from a whole set, and attached together with a list of contents. The very first two pages of the Grant Application Form should be visible, where <Name of the Applicant> and <Priority> and <Measure> should be written by the Applicant.

The partners must explain in the Grant Application Form how they will integrate the Community horizontal policies in the Action, especially as regards the environmental protection, sustainable development, equal opportunities, and non-discrimination.

The partners must explain in the Grant Application Form also whether they have links to various policies and initiatives implemented in the Black Sea Region, or whether the Action has any complementarity or synergies with other actions implemented in the area on a similar topic, and how duplication with similar activities will be avoided.

The partners must also explain in the Grant Application Form whether the Action is expected to have springboard or multiplier effects, and if so, how these are foreseen to come into action.

³⁶ Please see Section 2.2.2 below.

³⁷ Statutes or Articles of Association, Registration Act, Latest accounts, External Audit Report, Certification proving that obligations relating to the payment of debts to the consolidated state budget are fulfilled.



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Where to get the Grant Application Form and all its annexes?

The Grant Application Form and all its annexes are available on the website of the Joint Operational Programme “Black Sea 2007-2013”: www.blacksea-cbc.net.

Below there is a **list of reasons for exclusion** of a Grant Application Form in the administrative check step:

1. if the Grant Application Form is sent after the deadline and received after the effective date of approval of the administrative check step;
2. if the Grant Application Form is delivered to other addresses than the one specified in Section 2.2.3 or sent by other means (e.g. by fax or by e-mail);
3. if the correct Grant Application Form template (published for this Call for Proposals) has not been used;
4. if the Grant Application Form is not typed and submitted in English (except for dates and signatures);
5. if the Grant Application Form is not entirely filled in (point by point);
6. if the requested annexes are not provided;
7. if the Grant Application Form does not contain the Partnership Statements signed, stamped and dated by each partner.

Clarifications will only be requested - *copies* by fax or scanned by e-mail and *originals* by registered mail or private courier service - when information provided is unclear (for example due to national specific issues), thus preventing the Joint Managing Authority / Selection Committee from conducting an objective assessment. **Clarifications will only be requested to conclude the administrative and eligibility checks and not to improve the content of the application.**

The Applicants will send their **answers** within 7 calendar days since they receive the request for clarifications - *copies* by fax or scanned by e-mail and *originals* by registered mail or private courier service (date on the envelope) or by hand-delivery.

Please note that it is the Applicant’s responsibility to bind the Grant Application Form and the related documents. The Joint Managing Authority will not be held responsible for any incidents regarding the loss of files if this condition is not met.

Please note that only the Grant Application Form, the requested annexes which have to be filled in and the requested supporting documents will be evaluated. It is therefore of utmost importance that these documents contain ALL relevant information concerning the Action. **No additional annexes should be sent.**



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2.2.2 Annexes and supporting documents

The annexes and supporting documents should be attached to the Grant Application Form in the order described below and a cover sheet will separate each document.

All annexes and supporting documents to the Grant Application Form need to be bound and attached together with a list of contents.

Please note that the supporting documents will be checked at the moment of application (except the Financial Identification Form and Certification proving that obligations relating to the payment of debts to the consolidated state budget are fulfilled³⁸, which will be required before the contract signature).

Applicants will be requested to supply the following documents together with the Grant Application Form (Annex A) in order to allow the Joint Managing Authority to verify the eligibility of the Applicants and their partners:

For ENPI Applicant:

1. Declaration by the Applicant (in Annex A - Grant Application Form, Section VII)
2. Budget of the Action (Annex B)
3. Logical Framework Sheet (Annex C)
4. Legal Entity Sheet (Annex D)
5. Financial Identification Form (Annex E)
6. Statutes or Articles of Association (not in case of public authorities and international organisations which have signed a framework agreement with the EC)
7. Registration Act (not in case of public authorities)
8. Latest accounts (not in case of public authorities)
9. External Audit Report, in case the grant sum exceeds EUR 500,000 (not in case of public authorities, bodies governed by public law and international organisations.)
10. Certification proving that obligations relating to the payment of debts to the consolidated state budget are fulfilled³⁹
11. Ad hoc declaration explicitly stating the undertaking of the obligations mentioned in section 2.1.1 (only in case of international organisations)

For IPA Financial Lead Beneficiary:

1. Declaration by the IPA Financial Lead Beneficiary (in Annex A - Grant Application Form, Section VIII)
2. Legal Entity Sheet (Annex D)
3. Financial Identification Form (Annex E)
4. Statutes or Articles of Association (not in case of public authorities and international organisations which have signed a framework agreement with the EC)
5. Registration Act (not in case of public authorities)
6. Latest accounts (not in case of public authorities)

³⁸ In cases where this kind of document is not available, a Self Declaration of the Applicant/partner - stating that obligations relating to the payment of debts to the consolidated state budget are fulfilled - should be provided.

³⁹ In cases where this kind of document is not available, a Self Declaration of the Applicant - stating that obligations relating to the payment of debts to the consolidated state budget are fulfilled - should be provided.



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7. External Audit Report, in case the grant sum exceeds EUR 500,000 (not in case of public authorities, bodies governed by public law and international organisations)
8. Certification proving that obligations relating to the payment of debts to the consolidated state budget are fulfilled⁴⁰
9. Ad hoc declaration explicitly stating the undertaking of the obligations mentioned in section 2.1.1 (only in case of international organisations)

For partners (ENPI and IPA):

1. Partnership Statement (in Annex A - Grant Application Form, Section IV.2)
2. Legal Entity Sheet (Annex D)
3. Statute or Articles of Association (not in case of public authorities)
4. Registration Act (not in case of public authorities)
5. Latest accounts (not in case of public authorities)
6. Certification proving that obligations relating to the payment of debts to the consolidated state budget are fulfilled⁴¹
7. Ad hoc declaration explicitly stating the undertaking of the obligations mentioned in section 2.1.1 (only in case of international organisations)

Requirements for annexes:

1. **Budget of the Action** (Annex B) - all Excel worksheets must be filled in with costs estimates (budget breakdown), emphasising the detailed local contribution and including the Action related cash flow for the whole duration of the Action. This document must be submitted as original.
2. **Logical Framework Sheet** (Annex C) - the Applicant should start the preparation of the Action by filling first in the Logical Framework, and thereafter the Grant Application Form.
3. **Legal Entity Sheet** (Annex D) must conform to the model, it must be duly completed and signed, stamped and dated by the Applicant, IPA Financial Lead Beneficiary (if is the case) and all partners, accompanied by the justifying documents which are requested therein. This document must be submitted as original.
4. **Financial Identification Form** (Annex E) must conform to the model, it must be duly completed and signed, stamped and dated by the Applicant, IPA Financial Lead Beneficiary (if is the case) and by the bank to which the payments will be made⁴². This bank must be located in the country(ies) where the Applicant and IPA Financial Lead Beneficiary (if is the case) is/are registered and located. This document must be submitted as original before the contract signature⁴³.

Requirements for supporting documents:

5. **Statutes or Articles of Association** or other applicable documents of the Applicant organisation, IPA Financial Lead Beneficiary (if it is the case) and of each partner organisation must be submitted as unofficial translation(s) of the relevant parts proving their eligibility

⁴⁰ In cases where this kind of document is not available, a Self Declaration of the IPA Financial Lead Beneficiary - stating that obligations relating to the payment of debts to the consolidated state budget are fulfilled - should be provided.

⁴¹ In cases where this kind of document is not available, a Self Declaration of the partner - stating that obligations relating to the payment of debts to the consolidated state budget are fulfilled - should be provided.

⁴² The bank account may be in national currency at the application moment. If proposal is selected and before contracting, the Applicant /IPA Financial Lead Beneficiary must open a dedicated bank account for the implementation of the action, EUR currency being strongly recommended, due to high currency exchange risks.

⁴³ If the Financial Identification Form is not provided before the deadline indicated in the request sent to the Applicant by the Joint Managing Authority, the Grant Contract will not be concluded.



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(relevant parts are legal status, registration and location of headquarters and, if it is the case, of the subsidiary(ies)/branch(es)). In case of modifications of the relevant parts proving *non-profit organisations'* and *public undertakings'* eligibility (as mentioned above), the Court's decision regarding the registration of the modifications to the Statute and of the Leading Board's of the organisation, according to the national legislations in force, must also be submitted as unofficial translation(s) of the modified relevant parts proving their eligibility. Where the Applicant and/or (a) partner(s) is a *public body created by a law*, the said law must be provided, as unofficial translation(s) of the relevant parts proving their eligibility (as mentioned above). ***This obligation does not apply to public authorities.*** This obligation does not apply to international organisations which have signed a framework agreement with the European Commission. A list of the relevant framework agreements is available at the following address:

http://ec.europa.eu/europeaid/work/procedures/implementation/international_organisations/index_en.htm

6. **Registration Acts** must be submitted by the Applicant organisation, IPA Financial Lead Beneficiary (if it is the case) and each partner organisation, as unofficial translation(s) of the extract(s) from the national Register(s) of organizations. ***This obligation does not apply to public authorities.***
7. **Latest accounts** (the profit and loss account and the balance sheet for the previous financial year for which the accounts have been closed, including a clear distinction between public and private revenues) must be submitted by the Applicant, IPA Financial Lead Beneficiary (if it is the case) and all partners, as full unofficial translation(s). ***This obligation does not apply to public authorities.***
8. **External Audit Report** must be submitted with the applications ***where the grant requested exceeds EUR 500,000***, as full unofficial translation(s). The External Audit Report must be produced by an approved auditor, certifying the accounts ***for the last financial year available*** and assessing the viability of the Applicant and IPA Financial Lead Beneficiary (if it is the case). The auditor does not have to analyse the Applicant's / IPA Financial Lead Beneficiary's (if it is the case) future financial viability, but to identify any concerning elements as regards its financial soundness, which is a normal part of the annual audit of the Applicant's / IPA Financial Lead Beneficiary's (if it is the case) accounts. ***This obligation does not apply to public authorities, bodies governed by public law and international organisations.***
9. **Certification** issued by the competent state authority in each participating country proving that potential Applicants and their partners have fulfilled their obligations relating to the payment of debts to the consolidated state budget in accordance with the legal provisions of the country in which they are registered and located⁴⁴, as full unofficial translation(s). ***As an exception, this document must be submitted before the contract signature***⁴⁵.

Ad hoc declaration explicitly stating that the international organisation undertakes to the following obligations detailed in section 2.1.1 of these Guidelines: adherence to applicable Community Policies, acceptance of the control requirements set by the PRAG, acceptance of undergoing audits and checks by all those bodies entitled to carry out such controls in the framework of the Programme, final financial liability for all the sums wrongly paid out. ***This obligation applies only to international organisations.***

The Selection Committee/Joint Managing Authority may demand additional documentary evidence and argumentations in case of doubts.

⁴⁴ In cases where this kind of document is not available, a Self Declaration of the Applicant/partner - stating that obligations relating to the payment of debts to the consolidated state budget are fulfilled - should be provided.

⁴⁵ If the Certification is not provided before the deadline indicated in the request sent to the Applicant by the Joint Managing Authority, the application may be rejected.



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2.2.3 Where and how to send the applications

Applications must be submitted in **one original** and **3 copies** in A4 size, each bound. The complete Grant Application Form and all annexes and supporting documents must also be supplied in electronic format (CD-Rom) in a separate and unique (pdf format) file (e.g. the Grant Application Form must not be split into several different files. In addition, the Budget of the Action will also be supplied separately in xls format.

The electronic formats must contain **exactly the same** application as the paper version enclosed.

The Checklist (Section VI of the Grant Application Form) and the Declaration by the Applicant (Section VII of the Grant Application Form) must be stapled separately and enclosed in the envelope.

Where an Applicant sends several different applications, each one has to be sent separately.

The outer envelope must bear the reference number of the Call for Proposals, together with the full name and address of the Applicant.

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

Postal address and address for hand delivery or by private courier service

Ministry of Regional Development and Housing

General Directorate for European Territorial Cooperation

Directorate for International Territorial Cooperation

Bulevardul Libertatii nr. 12, 040129 Bucuresti, sector 5, Romania

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

The first page of the Grant Application Form must be also attached to the front side of the envelope for identification.

Applicants must verify that their application is complete using the Checklist (Section VI in the Grant Application Form). Incomplete applications may be rejected.

2.2.4 Deadline for submission of applications

The deadline for the submission of applications is **12th of October 2009** as evidenced by the **date of dispatch, the postmark or the date of the deposit slip.**

In case of hand-deliveries, the deadline for receipt is at **16.00 hours local time** as evidenced by the signed and dated receipt. **Any application sent after the deadline as defined above will automatically be rejected.**

However, for reasons of administrative efficiency, the JMA may reject any application received after the effective date of approval of the administrative check step.



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2.2.5 Further information for the applications

Project (Action) preparation workshops that will concentrate on addressing the information needs of the potential Applicants of the programme shall be organized.

Further details regarding the venue and exact date and hours shall be published on the programme's website (in Call for Proposals section).

Questions may in addition be sent by e-mail or by fax no later than 15 days before the deadline for the submission of applications to the below address, indicating clearly the reference of the Call for Proposals:

E-mail address: blacksea-cbc@mdrl.ro

Fax: +40 372 111 456

Replies will be given no later than 11 days before the deadline for the submission of applications. The Joint Managing Authority has no obligation to provide further clarifications after this date.

Questions that may be relevant to other Applicants, together with the answers, will be published on the programme website: www.blacksea-cbc.net.

In the interest of equal treatment of Applicants and partners, the Joint Managing Authority cannot give a prior opinion on the eligibility of an Applicant, a partner, an Action or specific activities.



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2.3 EVALUATION AND SELECTION OF APPLICATIONS

Applications will be examined and evaluated by the Selection Committee with the possible assistance of external assessors. All actions submitted by Applicants will be assessed according to the following steps and criteria.

(1) STEP 1: ADMINISTRATIVE CHECK

The JMA staff proceeds with the **administrative check** of the applications, under the supervision of the Selection Committee (SC) Secretary and Chairperson.

The following will be assessed:

- The submission deadline has been respected. If the deadline has not been respected the application will automatically be rejected.
- The Grant Application Form satisfies all the criteria specified in points 1-14 of the Checklist (Section VI of the Grant Application Form). If any of the requested information is missing or is incorrect, the application **may be rejected on that sole basis** and the application will not be evaluated further.

Following the administrative check, the Joint Managing Authority will send a letter to all Applicants, indicating whether their application was submitted prior to the deadline, informing them of the reference number they have been allocated and whether they have been recommended for further evaluation.

(2) STEP 2: VERIFICATION OF ELIGIBILITY OF THE APPLICANT AND PARTNERS

Considering the high cost and logistic complexity of gathering the SC members over a long period of time, the JMA staff also proceeds with the **eligibility check** in parallel with the administrative check and under the supervision of the SC Secretary and Chairperson.

- The Declaration by the Applicant (Section VII of the Grant Application Form) will be cross-checked with the annexes and supporting documents provided by the Applicant. **Any missing document or any incoherence between the Declaration by the Applicant and the annexes and supporting documents may lead to the rejection of the application on that sole basis.**
- The eligibility of the Applicant, the partners, and the Action will be verified according to the criteria set out in Sections 2.1.1, 2.1.2 and 2.1.3.

If the examination of the application reveals that the proposed Action does not meet the **eligibility criteria** stated in paragraph 2.1.3, the application shall be rejected on this sole basis.

After both checks are completed (steps 1 and 2), the SC is gathered to approve the *administrative and eligibility reports* and to proceed with the *technical evaluation* of the applications (steps 3 and 4), according to procedures detailed in PRAG⁴⁶.

⁴⁶ http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index_en.htm
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(3) STEP 3: EVALUATION OF THE APPLICATION

An evaluation of the quality of the applications, including the proposed budget, and of the capacity of the Applicant and its partners, will be carried out in accordance with the evaluation criteria set out in the Evaluation Grid included below.

There are three types of evaluation criteria: *selection*, *award* and *additional* criteria.

The application will be given an overall score out of **100 points**.

The selection criteria are intended to help evaluate the Applicants' financial and operational capacity to ensure that they:

- have stable and sufficient sources of finance to maintain their activity throughout the period during which the Action is being carried out and, where appropriate, to participate in its funding;
- have the management capacity, professional competencies and qualifications required to successfully complete the proposed Action. This also applies to any partner of the Applicant and also to IPA Financial Lead Beneficiary (if it is the case).

The award criteria allow the quality of the applications submitted to be evaluated in relation to the set objectives and priorities, and grants to be awarded to actions which maximise the overall effectiveness of the Call for Proposals. They enable the selection of applications which the Joint Managing Authority can be confident will comply with its objectives and priorities and guarantee the visibility of the Community financing⁴⁷. They cover such aspects as the relevance of the Action, its consistency with the objectives of the Call for Proposals, quality, expected impact, sustainability and cost-effectiveness.

The additional criteria are intended to give *priority to integrated projects* (actions).

Scoring:

The evaluation criteria are divided into sections and subsections. Each subsection will be given a score between 1 and 5 in accordance with the following guidelines: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

⁴⁷ See http://ec.europa.eu/europeaid/work/visibility/index_en.htm.
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Evaluation Grid

Section	Maximum Score
Selection criteria	
1. Technical, financial and operational capacity of the partnership	20
1.1 Do the Applicant and its partners have sufficient and proven experience in project management ? ⁴⁸	5
1.2 What is the level of technical expertise of the Applicant and partners? (notably knowledge of the issues to be addressed) ⁴⁹	5
1.3 Do the Applicant and its partners have sufficient management capacity ? (including staff, equipment and ability to handle the Budget for the Action) ⁵⁰	5
1.4 Do the Applicant and its partners have stable and sufficient financial resources ? ⁵¹	5
Award criteria	
2. Relevance	25
2.1 How relevant is the proposal to the chosen programme's and Call for Proposals' objective and priority ? ⁵²	5
2.2 How relevant to the particular needs and constraints of the target country/countries and/or region(s) is the proposal? In particular, does the proposal demonstrate a real cross-border impact ? (e.g. fulfils at least two of the following criteria: (1) joint development; (2) joint implementation; (3) joint staffing; and/or (4) joint financing) ⁵³	5x2
2.3 Does the Action have any links with any of the BSB-specific policies implemented in the region, or complementarity or synergies with various actions implemented in the region? (including synergy with other EC initiatives and avoidance of duplication, without overlapping with the actions) ⁵⁴	5
2.4 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? ⁵⁵	5
3. Methodology	25
3.1 Are the proposed activities appropriate, practical, and consistent with the objectives and expected outputs and results ? 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 anticipate an evaluation?) ⁵⁶	5

⁴⁸ Based on sections II.3.1, III.3.1 and IV.1 in the Grant Application Form (Annex A).

⁴⁹ Based on sections I.3 in the Grant Application Form (Annex A).

⁵⁰ Based on sections I.1.10.3, I.1.10.4, II.3.2.3, III.3.2.3 in the Grant Application Form (Annex A).

⁵¹ Based on sections II.3.2.2, III.3.2.2 in the Grant Application Form (Annex A).

⁵² Based on sections I.1.8.5 in the Grant Application Form (Annex A).

⁵³ Based on sections I.1.8.4 and I.1.8.7 in the Grant Application Form (Annex A).

⁵⁴ Based on sections I.1.8.9, I.8.10 and I.1.8.11 and I.1.8.12 in the Grant Application Form (Annex A).

⁵⁵ Based on sections I.1.8.2, I.8.3 and I.1.10.6 in the Grant Application Form (Annex A).

⁵⁶ Based on sections I.1.7, I.1.9 and I.1.10.7 in the Grant Application Form (Annex A).



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3.2 Is the proposed partnership appropriate in terms of number of partners, relevance of partners for the implementation of the Action ⁵⁷ and their level of involvement satisfactory? (maximum score will only be allocated if the proposal cumulates the following requirements: it involves minimum 3 partners from minimum 3 different countries, the partnership proves to be coherent and it involves the appropriate partners to implement the proposed solution) ⁵⁸	5x2
3.3 Is the action plan clear, realistic and feasible? ⁵⁹	5
3.4 Does the proposal contain objectively verifiable, measurable and appropriate indicators for measuring the outcome of the Action? ⁶⁰	5
4. Sustainability	15
4.1 Is the Action likely to have a tangible impact on the target groups? Is the communication strategy clearly defined in order to ensure an efficient and well-targeted dissemination and capitalisation of the Action results? ⁶¹	5
4.2 Is the proposal likely to have springboard or multiplier effects ? (including scope for replication and extension of the deliverables, dissemination of information, distribution of publications and maintenance of the Action website after the end of the Action) ⁶²	5
4.3 Are the expected results of the proposed Action sustainable : - financially (<i>how will the activities be financed after the funding ends?</i>) - institutionally (<i>will structures allowing the activities to continue be in place at the end of the Action? Will there be local “ownership” of the results of the Action?</i>) - at policy level (where applicable) (<i>what will be the structural impact of the Action – e.g. will it lead to improved legislation, regulations, planning methods, etc?</i>) - environmentally (<i>will the Action have a negative/positive environmental impact?</i>) (maximum score will only be allocated if the proposal contains specific added-value elements, such as promotion of gender equality and equal opportunities) ⁶³	5
5. Budget and cost-effectiveness	10
5.1 Is the ratio between the estimated costs and the expected results satisfactory? ⁶⁴ (in accordance with the principles of economy, efficiency and effectiveness ⁶⁵)	5
5.2 Is the proposed expenditure necessary for the implementation of the Action? ⁶⁶	5

⁵⁷ Priority should be given to local and regional authorities, civil society and NGO’s, chambers of commerce, and the academic and educational community, according with the provisions set out in the *European Neighbourhood and Partnership Instrument Cross-Border Cooperation: Strategy Paper 2007-2013*.

⁵⁸ Based on section I.1.10.2 in the Grant Application Form (Annex A).

⁵⁹ Based on section I.1.11 in the Grant Application Form (Annex A).

⁶⁰ Based on section I.1.13 in the Grant Application Form (Annex A) and Logical Framework (Annex C).

⁶¹ Based on sections I.1.6 and I.1.9 in the Grant Application Form (Annex A).

⁶² Based on section I.1.12.4 in the Grant Application Form (Annex A).

⁶³ Based on sections I.1.8.8 and I.1.12.3 in the Grant Application Form (Annex A).

⁶⁴ Based on section I.2 in the Grant Application Form (Annex A).

⁶⁵ According with the Article 27 of the Council Regulation No.1605/2002 on the Financial Regulation, “The principle of *economy* requires that the resources used by the institution for the pursuit of its activities shall be made available in due time, in appropriate quantity and quality and at the best price. The principle of *efficiency* is concerned with the best relationship between resources employed and results achieved. The principle of *effectiveness* is concerned with attaining the specific objectives set and achieving the intended results.”



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Additional criteria	
6. Priority for the programme	5
6.1 The Action is an integrated project ⁶⁷	5
Maximum total score	100

Note on Section 1. Technical, financial and operational capacity

If the total average score is less than 12 points out of 20 for Section 1, the application will be rejected.

Note on Section 2. Relevance

If the total average score is less than 20 points out of 25 for Section 2, the application will be rejected.

Note on Total score

If the total score is less than 65 points, the application will be rejected.

Selection

The entire evaluation procedure, with the SC recommendations, is recorded in an *evaluation report* to be submitted to the JMC for approval. It includes the applications recommended for funding, as well as a reserve list. The SC may recommend the selection of an application under conditions (e.g. eligible costs reduced).

The JMC will approve the ranking of the applications and SC recommendations. No application failing to pass the minimum total score threshold may be approved.

Please note that from the deadline of the Call for Proposals until the Applicant may sign the Grant Contract, it may take up to 6 to 7 months, although not necessarily: according with the number of proposals received for the first call and the number of possible clarifications to be requested from the Applicants/partners, the administrative check and eligibility verification may take up to 45 calendar days, the technical and financial evaluation may take up to 30 calendar days, the selection process may take up to 30 calendar days, the negotiation and signing of the Grant Contract may take up to 60 calendar days.

Once the contract is signed, the Beneficiary will receive the first instalment of pre-financing within the following 45 days.

⁶⁶ Based on section I.2 in the Grant Application Form (Annex A).

⁶⁷ Based on section I.1.8.6 in the Grant Application Form (Annex A).



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2.4 NOTIFICATION OF THE JOINT MONITORING COMMITTEE’S DECISION

2.4.1 Content of the decision

Applicants will be informed in writing of the Joint Monitoring Committee’s decision concerning their application and, in case of rejections, the reasons for the negative decision.

Applicants believing that they have been harmed by an error or irregularity during the award process may appeal to the Joint Managing Authority directly. JMA must reply within 90 days of receipt of the complaint. See further Section 2.4.15 of PRAG⁶⁸.

2.4.2 Indicative time table

	DATE	TIME*
Deadline for request for any clarifications from the Joint Managing Authority	27 th of September 2009	16.00
Last date on which clarifications are issued by the Joint Managing Authority	1 st of October 2009	-
Deadline for submission of Grant Application Form	12 th of October 2009	16.00
Information to Applicants on the administrative check	16 th of November 2009*	-
Notification of award (after the JMC decision)	January 2010*	-
Contract signature	February 2010*	-
Publishing the list of contracts awarded by the JMA on programme’s website	March 2010*	-

*Provisional date. All times are in the time zone of the country of the Joint Managing Authority

⁶⁸ http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index_en.htm
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2.5 CONDITIONS APPLICABLE TO IMPLEMENTATION OF THE ACTION FOLLOWING THE JOINT MONITORING COMMITTEE'S DECISION TO AWARD A GRANT

Following the decision to award a grant, the Applicant will be offered a contract based on the Joint Managing Authority's Standard Grant Contract (see Annex F of these Guidelines for Grant Applicants). By signing the Grant Application Form (Annex A of these Guidelines for Grant Applicants), the Applicant declares accepting, in case where it is awarded a grant, the contractual conditions as laid down in the Standard Grant Contract.

If the successful Applicant is an international organisation, the Standard Contribution Agreement with an international organisation (model in Annex H) will be used instead of the Standard Grant Contract (Annex F) provided that the international organisation in question offers the guarantees provided for in article 53d (1) of the Financial Regulation, as described in Chapter 7 of the Practical Guide to contract procedures for EC external actions.

Implementation contracts

Where implementation of the Action requires the Beneficiary to award procurement contracts, it must award the contract to the tenderer offering the best value for money, that is to say, the best price-quality ratio, in compliance with the principles of transparency and equal treatment for potential contractors, care being taken to avoid any conflict of interests. In this framework, it is advisable that the time allowed for candidates to submit their applications is sufficient to permit proper competition. To this end, a minimum deadline of 30 days from the date of publication for submitting applications is recommended regardless of the contract amount. In all cases, the Beneficiary must follow the procedures set out in Annex IV of the Grant Contract.



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3. LIST OF ANNEXES

DOCUMENTS TO FILL IN

ANNEX A: GRANT APPLICATION FORM (WORD FORMAT)

ANNEX B: BUDGET OF THE ACTION (EXCEL FORMAT)

ANNEX C: LOGICAL FRAMEWORK (EXCEL FORMAT)

ANNEX D: LEGAL ENTITY SHEET (PDF FORMAT)

ANNEX E: FINANCIAL IDENTIFICATION FORM (PDF FORMAT)

DOCUMENTS FOR INFORMATION

ANNEX F: STANDARD GRANT CONTRACT

ANNEX G: ELIGIBILITY OF EXPENDITURE

ANNEX H: STANDARD CONTRIBUTION AGREEMENT, APPLICABLE IN CASE WHERE THE BENEFICIARY IS AN INTERNATIONAL ORGANISATION (only for those international organisations which have successfully undergone a “four pillars assessment” by the European Commission)

ANNEX I: PARTNERSHIP AGREEMENT

ANNEX Ia - PARTNERSHIP AGREEMENT BETWEEN ENPI BENEFICIARY AND ENPI PARTNER

ANNEX Ib - PARTNERSHIP AGREEMENT BETWEEN ENPI BENEFICIARY AND IPA FINANCIAL LEAD BENEFICIARY

All these documents are available on the Black Sea Programme’s web address:

www.blacksea-cbc.net.

PROJECT CYCLE MANAGEMENT GUIDELINES

http://ec.europa.eu/europeaid/multimedia/publications/publications/manuals-tools/t101_en.htm