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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 EVALUATION OF PROPOSALS

**GENERALITIES OF THE EVALUATION PROCESS AND METHODOLOGY
FOR STEPS 1 and 2 OF THE EVALUATION PROCEDURE
(ADMINISTRATIVE CHECK AND VERIFICATION OF ELIGIBILITY)**

Reference: 1st Call for Proposals

Deadline for submission of proposals: 12th of October 2009

November 2009



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Foreword

This document is addressed to all actors involved in the preparation, management and execution of the evaluation and selection of project applications in the framework of the Joint Operational Programme “Black Sea 2007-2013” (*hereinafter referred to as “Black Sea Programme”*). It will also be used as a complementary material for training the relevant actors before initiating the selection process as well as a reference tool during their work.

Contents have been developed taking into account the relevant **legal framework** applying to the implementation and management of the Black Sea Programme, in particular:

- 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);
- Practical Guide to Contract procedures for EC external actions 2008 (PraG) with specific reference to the sections 6.4.7 and 6.4.8.;
- Approved Joint Operational Programme, with special attention to section 7.1;
- Approved Rules of Procedure of the Joint Monitoring Committee;
- Application Pack of the first call for proposals with specific reference to the Guidelines for Grant Applicants (referred to also as Guidelines in the document) and the Grant Application Form.

In this document, the **general principles** applicable to the overall evaluation process are presented and the **specific procedures** to be followed concerning the first and second steps of the evaluation process (Administrative check and Verification of eligibility) are described indicating the actors involved, their responsibilities as well as the procedures to follow and the outcomes of these specific steps. At a later stage, this document will be complemented with the specific procedures related to the evaluation (quality check) of the full proposals having successfully passed these first two steps.

The document has been prepared by the staff of the Joint Managing Authority, **with the support of the INTERACT ENPI Project.**



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1. GENERALITIES OF THE EVALUATION PROCESS

1.1 Actors involved, roles and responsibilities

Proposals are evaluated and selected through an articulated process consisting of several steps and involving different actors. These actors are the following:

- **Joint Monitoring Committee (*hereinafter referred to as JMC*):** in the context of the evaluation process, the main task of the JMC is to decide on the selection criteria for the projects and to take the final decision on projects to be approved and amount granted to them (Commission Regulation No 951/2007, art. 13d); in addition, it appoints by name the voting and non-voting members (observers) of the Selection Committee (art. 13c) and approves the eventual use of independent external assessors available for supporting the Selection Committee; the substitutes to the voting members of the SC are appointed on the same conditions as the titulars (the substitutes will intervene only when one of the voting members of the SC can not attend a meeting).
- **Joint Managing Authority (*hereinafter referred to as JMA*):** in the context of the evaluation process, the tasks of JMA are to nominate the **Chairperson** of the Selection Committee (non-voting member) and to nominate the **Secretary** of the Selection Committee (non-voting member). In addition, support staff of JMA will be appointed by name for acting as **internal assessors** when performing the administrative check and verification of eligibility of proposals received.
- **Selection Committee (*hereinafter referred to as SC*):** it has the responsibility to carry out and supervise the entire evaluation and selection process. In the framework of the Black Sea Programme, **four different SCs** - one for each call for proposals - will be constituted. The SC is composed as follows:
 - **Chairperson (non-voting member):** According to Commission Regulation No 951/2007 (art. 15f) this function is attributed to the Joint Managing Authority (JMA). The Chairperson is responsible for supervising the evaluation process by ensuring a confidential, fair and equitable evaluation of each proposal according to the evaluation criteria applicable to the call and in full respect of the relevant procedures, rules and regulations. The Chairperson is responsible for supervising and monitoring the work of the assessors (internal and external) and it is the only one that, if needed, can contact applicants. During the SC meetings, the Chairperson may act as moderator, seeking consensus among voting members, without any prejudice for or against particular proposals or the partners involved. It must also sign all the evaluation reports drawn by the SC and send them to the JMC.
 - **Secretary (non-voting member):** According to Commission Regulation No 951/2007 (art. 15f) this function is attributed to the JMA. The JMA representative performing this function is responsible for carrying out all logistic and administrative tasks connected with the evaluation procedures including circulating and collecting the signed Declarations of Impartiality and Confidentiality, supervising the opening of the proposals, keeping and filing the minutes of all meetings of the SC, registering attendance at meetings, maintaining an “audit trail” of the process including a full file on each proposal containing also individual evaluation grids with scores and comments, compiling the reports to be approved by the SC and their supporting annexes, and signing such reports. The Secretary may be supported by additional staff of the JMA in performing secretarial duties.
 - **5 voting members:** proposed by the participating countries on a rotation basis (according with art.12(2) of the Rules of procedure of the JMC), they must possess the technical and



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administrative capacities necessary to give an informed opinion on the proposals and have a reasonable command of the language in which the proposals are submitted (Cf PraG 6.4.7.1). They must be impartial and free from conflict of interest. In particular, being a *member* of the SC is incompatible with being national information point or contact person in charge of giving general information to potential applicants. They should provide a clear justification for all the decisions taken and establish a list of projects proposed for selection to be submitted to the JMC based on a scoring and ranking system. Their main tasks are the following:

- review the conclusions of the work of the internal assessors assisting the SC during Steps 1 and 2 (administrative check and verification of eligibility); in case the SC does not accept the conclusions of the work of the internal assessors, it must justify this decision in the evaluation report; the SC has than to prepare a new evaluation grid for the proposal concerned, which will replace the grid completed by the internal assessors;
- draw recommendations and sign the Reports for Steps 1 and 2 to be submitted to the JMC, which has to decide whether or not to accept the recommendations of the Committee;
- review the conclusions of the work of the external assessors assisting the SC during Step 3 (Evaluation of the Applications);
- carry out a third assessment if the SC does not accept the scores awarded by the two external assessors, for example where there are significant discrepancies between the scores attributed by the assessors to the same proposal; it must justify this decision in the evaluation report; the SC has than to prepare a new evaluation grid for the proposal concerned, which will replace the grids completed by the external assessors;
- establish a list of proposals provisionally selected, ranked by score, and sign the Final Evaluation Report to be submitted to the JMC through the JMA.

On the basis of the rotation system mentioned above, the composition of the four envisaged Selection Committees shall be the following:

First CfP	Second CFP	Third CFP	Fourth CFP
Romania	Greece	Romania	Bulgaria
Bulgaria		Greece	
Armenia	Azerbaijan	Armenia	Azerbaijan
R. Moldova	Georgia	R. Moldova	Georgia
Russian Federation	Turkey	Russian Federation	Turkey
	Ukraine		Ukraine

- o **Observers:** the participating countries not represented by voting members in the SC within a specific call may appoint observers, paid from own resources to supervise the work of the SC. The JMC may approve, by name, the participation of observers during the evaluation process and will also be in charge of defining their role. They must be impartial and free from conflict of interest. However, being an *observer* in the SC is not incompatible with national information point or contact person in charge of giving general information to potential applicants. All voting members have the collective responsibility for the decisions taken by the Committee and have equal voting rights (Cf PraG 6.4.7.1). These observers could, for instance, give independent advice to the joint management bodies of the Programme on the conduct, fairness and equity of the evaluation process, ways in which the procedures could be improved, the evaluation criteria used in the sessions for being improved for future calls for proposals and the way in which the assessors apply these criteria. However they cannot express views on the proposals under examination or the assessors' opinion on the proposals. Their participation to the different meetings of the SC should be recorded in the minutes and in the reports approved by the Committee. This role may be performed also by representatives of the European Commission (EuropeAid), who may attend SC



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meetings without decision-making power, without prejudice to the specific role of the European Commission presented below.

As already mentioned, **all members** of the SC must be **appointed by name by the JMC**, depending on the composition of the respective Selection Committee, on the basis of the JMA proposal which has checked in advance the availability of the experts. Furthermore, they **must attend all meetings**. Any absence must be recorded and explained in the evaluation report. A member who withdraws for whatever reason must be replaced by his substitute or following the standard procedures for appointing members of the SC. The Chairperson determines to what extent this withdrawal entails that the evaluation process must be restarted. Such decision, as well as any decision relating to the replacement of a member must be recorded and justified in the evaluation report (see PraG, paragraph 6.4.7.1).

The Committee meets the quorum when all voting members of the SC are present. When quorum is not met, the Committee can not conduct a meeting. The decisions of the SC must be reached by consensus or otherwise to be put to voting. All voting members of the SC have equal voting rights. Each member has one vote. Under the voting procedure the decision will be taken by the majority of 4 from 5 voting members of one SC. The voting members of the SC have collective responsibility for decisions taken by the Committee. The SC decisions are taken independently and in an advisory capacity. Whatever the SC decides, this must be fully recorded and justified in the Evaluation Reports.

The full composition of the four SCs is enclosed as **Annex 1**.

- **European Commission:** in addition to its role as observer (see above), the approval of the European Commission must be sought if, when taking decisions on projects and on the amounts granted to them, the JMC decides not to follow all or part of the recommendations of the SC. This decision of the JMC shall be sent via the JMA to the Commission for prior approval. Commission communicates its opinion to the JMA within 15 working days (Commission Regulation No 951/2007, art. 13).

In addition to the above, the following actors are also involved in the evaluation process of the Black Sea Programme:

- **External assessors:** independent external experts will be recruited by the JMA in accordance with the approved Terms of Reference. They will work under the supervision of the Chairperson, assisting in a confidential, fair and equitable way the evaluation of the proposals, in accordance with the Guidelines for Grant Applicants. In general, the role of independent external expert is incompatible with being a member, observer or advisor in the Joint Monitoring Committee, with the quality of applicant or partner in any of the programme's calls for proposals, as well as, with the quality of performing consultancy or any other programme or project related services in the frame of the Black Sea JOP to any third parties.

Assessors (both internal and external), if deemed necessary, may attend the meetings of the SC to present the results of their assessments and answer any questions from Committee members.

- **National authorities:** As mentioned before, national authorities are in charge of proposing to the JMC the voting members of the different SCs.

1.2 General principles applying to the evaluation and selection process

All persons involved in the different steps of the evaluation process have to strictly adhere to the following principles:



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- **Confidentiality and secrecy:** According to PraG (section 6.4.8.6), the entire procedure, from drawing-up the Call for Proposals to the selection of successful applicants, is confidential and secret. The SC decisions are collective and its deliberations must remain secret. The Committee members (voting members, non-voting members) are bound to secrecy. Therefore all information made available to persons involved in the evaluation process is to be treated as strictly confidential and specifically:
 - No information on the proposals submitted or the results of the assessment may be made public to any other person than applicants, as explained in sections 2.2 and 2.4.
 - Under no circumstances may a member of the Committee or an assessor (internal or external) attempt to contact an applicant or partner on his/her own account, either during the evaluation process or afterwards.
 - The names of the assessors (internal and external) are confidential and must be kept secret.
 - Evaluation reports should be restricted to SC and JMC members, to JMA and to persons assigned to audit the evaluation process.
 - Copies of proposals and evaluation documents should be restricted to a minimum and paper and electronic proposals should be archived under secure conditions at all times.

- **Objectivity, impartiality and equality of treatment:** All proposals have to be assessed alike and treated impartially on their merits, following a review strictly based upon the information they contain, to be assessed against the evaluation grid in the Guidelines for Grant Applicants and irrespective of where the applicant and its partners originate within the eligible cross-border cooperation area covered by the Programme and their identity. Impartiality applies both to SC members (voting members, non-voting members) as well as to assessors (internal and external); therefore they may not assess applications submitted by institutions or individuals with whom they have a personal link. Any case of possible conflict of interest has to be reported to the SC Chairperson, so that the proposal to assess may be assigned to someone else. Also, the assessor might be withdrawn from the procedure according to the level of conflict of interest.

In line with the above mentioned principles, before starting the evaluation, all SC members (voting and non-voting members) as well as internal and external assessors must sign a Declaration of impartiality and confidentiality (enclosed as Annex 2, following the template provided in annex A4 of the PraG) that must be adhered to before, during and after the evaluation. By signing this Declaration they commit themselves to strict confidentiality and impartiality concerning their tasks and they declare not to have any conflict of interest. Therefore any actors involved in the evaluation process with existing or past link with any applicant must declare it and immediately withdraw from the selection process. Persons involved in the evaluation process should also engage themselves not to offer their services under a sub-contract to successful project applicants that they have assessed.

- **Transparency and clarity:** The process of reaching decisions, described in the Guidelines for Grant Applicants and based on a scoring and ranking system, must be strictly kept and therefore eligibility, selection and award criteria will not be changed during the evaluation process of the call for proposals. Comments have to be written in an explicit and detailed manner and adequate feedback must be provided to applicants on the outcome of the evaluation.

The JMA is responsible for ensuring the respect of regulations and provisions in force (Cf article 13 of the Commission Regulation no.951/2007), identifying any possible irregularities in the procedure and informing JMC accordingly. The JMC may decide to cancel the call for proposals in the light of the Evaluation report if there have been irregularities in the procedure, identified by the JMA, in particular where these have prevented fair competition (Cf section 6.4.9 of the PraG).



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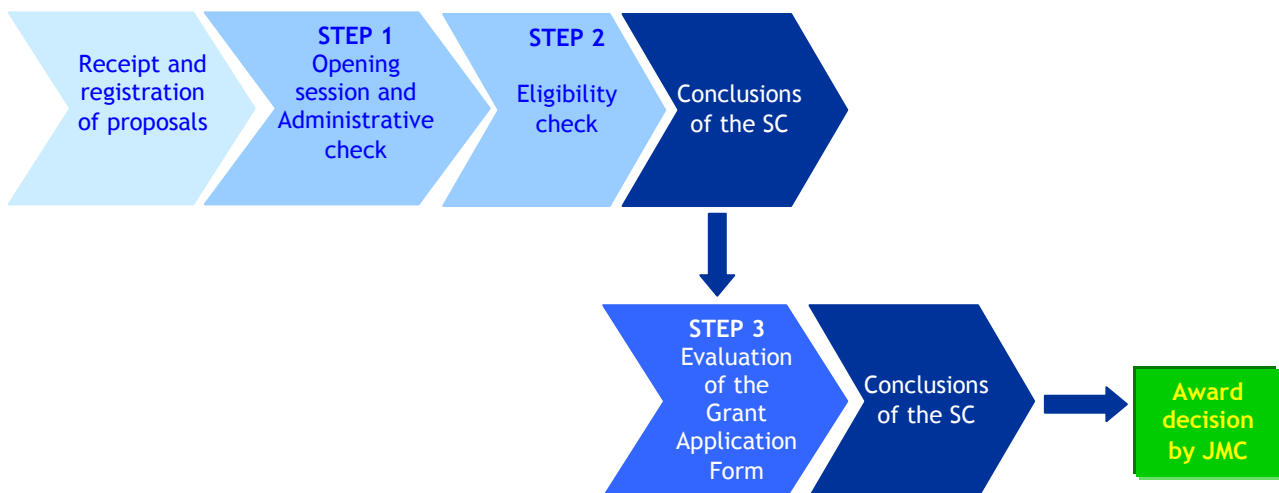


Furthermore, all the actors involved should commit and coordinate among them in order to ensure that the overall process is carried out in a way ensuring:

- **Quality:** Projects selected for funding must demonstrate a high technical and managerial quality and must help in making a contribution to achieving the objectives of the Programme and those set out for each Priority and Measure. By doing so, it is also ensured that Project proposals are coherent with the “Cross-Border Cooperation Strategy Paper 2007-2013 - Indicative Programme 2007-2010” (November 2006) providing the strategic framework for EC support for cross-border cooperation on the external borders of the European Union. Key features of a “good” ENPI CBC projects are: cross-border partnership, effective co-ownership, common benefits and cross border impact. The selected projects should clearly demonstrate compliance with these criteria.
- **Efficiency and speed:** The procedures should be designed to be as rapid as possible, commensurate with maintaining the quality of the evaluation and respecting the legal framework within which the Programme is managed. The assessment has to be completed within the deadlines agreed upon and all persons concerned must respect the calendar. The SC Chairperson should ensure this by supervising the process and make sure that the deadlines are respected.
- **Traceability:** The overall evaluation process should be documented and recorded in the evaluation reports. Documents used during the process (proposals but also evaluation grids, communications with applicants, and evaluation reports) should be kept by the JMA for future eventual controls, while ensuring confidentiality. These documents should be kept for seven years after payment of the balance for the Programme (Cf. art. 45 of the Implementing Rules).

2. DESCRIPTION OF THE PROCESS FOR STEPS 1 and 2

The different steps of the assessment process in the framework of the Black Sea Programme can be summarized as follows:





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In the following pages, the full procedure leading up to the approval by the SC of the Evaluation Reports for Steps 1 and 2 is described.

2.1 Preparatory activities

In order to ensure a smooth and efficient evaluation process the JMA will ensure the following before starting the evaluation and selection process:

- Organise the **logistics of the premises** where the assessment is carried out at the JMA headquarters and establish the **communication flow** among the actors involved;
- Prepare a **secure IT system** ensuring confidentiality and secrecy to be used for registering data, sending applications to external assessors in case of remote assessment and transmitting data to the SC voting members and to the JMC members;
- Organise the **reception of proposal and its filing** until the administrative check and ensure that they are kept in a safe place under secure conditions.

All the **applications received** (before and after the deadline) are **registered** by the JMA staff. Envelopes/parcels remain sealed and kept in a safe place until the administrative check takes place.

2.2 Administrative check (Step 1)

Soon after the deadline for submitting proposals has expired, all proposals received will be opened: the registration details will be checked and completed (they must include the date of submission and the applicant's name and address) and the application numbered. The sequential **reference number** (code) assigned to each application should be marked on all copies of the application and will be retained throughout the evaluation process as the sole reference. Originals of the applications as well as their copies will be kept in archives of the JMA; copies of the applications in paper version will be distributed to the external assessors at a later stage of the evaluation procedure.

Firstly it will be verified that **the submission deadline has been respected**. If the deadline has not been respected, the application will automatically be rejected and will not be further evaluated.

Since the date of effective reception of all proposals cannot be possibly ascertained beforehand, the opening of the proposals will take place **on an on-going basis** and in parallel to the administrative check and verification of eligibility, until these are completed. For reasons of administrative efficiency, the Joint Managing Authority may reject any application received after the effective date of approval of the administrative check step, even if the proposal has been submitted before the deadline.

The representatives of the JMA acting as secretaries to the SC will supervise the opening of the proposals and will request the assistance of other staff of the Joint Managing Authority according to the needs.

Only the proposals having met the submission deadline are subject to the administrative check, which will assess whether they satisfy all the criteria specified in Part 1 (Administrative) of the Checklist (section VI of the Grant Application Form) and the Assessment Grid to be used by the Selection Committee. 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.

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;



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2. if the Grant Application Form is delivered to other addresses than the one specified in the Guidelines for Grant Applicants or sent by other means (e.g. by fax or by e-mail);
3. if the correct Grant Application Form template (published for the respective 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.

However, in case of uncertainties or unclear information provided in the Grant Application Form and its annexes (for example due to national specific issues), the Applicant is invited to submit a clarification within 7 calendar days since receiving 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. On the basis of the clarifications received, the Selection Committee may use its discretion to decide whether or not it should still be considered during the rest of the evaluation process, while ensuring the equal treatment of proposals and in accordance with the principle of proportionality. Whatever the Selection Committee decides, this must be fully recorded and justified in the Evaluation Report.

The administrative check will be carried out by **JMA staff under the supervision of the SC Chairperson**. Each proposal will be examined by 2 persons: one person is filling in a “yes” or “no” answer in the **administrative check grid** (see **Annex 3** - Detailed Assessment Grid) which develops the information included in section VI of the Grant Application Form, and another person verifies the grid filled in. For some criteria, the option “not applicable” may also be used instead of “yes”. When filling in the grid, special attention will be made to the provision of any comments concerning the criteria which have not been fulfilled, so that all information can be easily transferred to the letters which will be sent to the Applicants at the end of this Step. The persons carrying out the administrative check will sign the grid and their names will be recorded with the respective reference number of the proposals checked and the date when the checks have taken place.

In accordance with PraG (section 6.4.8.2), clarifications will only be requested to conclude the administrative check and not to improve the content of the application. All requests for clarification and/or missing documents will be made using the template enclosed as **Annex 4**.

Once the administrative check is completed, the Chairperson, with the support of the Secretary, **establishes both a list of all the proposals having met the criteria and a list for those applications where the criteria have not been satisfied; in the latter case, such criteria are clearly identified**.

Following the administrative check, the Secretary of the SC will send a **standard letter signed by the Chairperson to all Applicants** (see **Annex 7**, based on template provided in annex E9a of the PraG), that includes a statement indicating the applicants whether or not 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.

2.3 Verification of eligibility (Step 2)

Only the proposals having met the administrative check are subject to the verification of eligibility, which will assess whether they satisfy all the criteria specified in Part 2 (Eligibility) of the Checklist (section VI of the Grant Application Form) and the Assessment Grid to be used by the Selection Committee. If any of



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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.

In order to perform the verification of eligibility, 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 and the annexes and supporting documents may lead to the rejection of the proposal on that sole basis.

However, in case of uncertainties or unclear information provided in the Grant Application Form and its annexes and supporting documents (for example due to national specific issues), the Applicant is invited to submit a clarification within 7 calendar days since receiving 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. On the basis of the clarifications received, the Selection Committee may use its discretion to decide whether or not it should still be considered during the rest of the evaluation process, while ensuring the equal treatment of proposals and in accordance with the principle of proportionality. Whatever the Selection Committee decides, this must be fully recorded and justified in the Evaluation Report.

The verification of eligibility will be carried out by **JMA staff under the supervision of the SC Chairperson**. Each proposal will be examined by 2 persons: one person is filling in a “yes” or “no” answer in the verification of eligibility grid (see Annex 3 - Detailed Assessment Grid) which develops the information included in section VI of the Grant Application Form, and another person verifies the grid filled in. For some criteria, the option “not applicable” may also be used instead of “yes”. When filling in the grid, special attention will be made to the provision of any comments concerning the criteria which have not been fulfilled, so that all information can be easily transferred to the letters which will be sent to the Applicants. The persons carrying out the verification of eligibility will sign the grid and their names will be recorded with the respective reference number of the proposals checked and the date when the checks have taken place.

In accordance with PraG (section 6.4.8.2), clarifications will only be requested to conclude the verification of eligibility and not to improve the content of the application. All requests for clarification and/or missing documents will be made using the template enclosed as **Annex 4**.

Once the verification of eligibility is completed, the Chairperson, with the support of the Secretary, **establishes both a list of all the proposals having met the criteria and a list for those applications where the criteria have not been satisfied; in the latter case, such criteria are clearly identified.** These lists and the administrative check and verification of eligibility grids of all the applications submitted are presented to the SC voting members.

2.4 Outcomes of administrative check and verification of eligibility

Based on the results of the administrative check and verification of eligibility, the SC meets in order to:

- **review the conclusions and to decide on any contentious case;** in case the SC does not accept the conclusions of the work of the internal assessors, it must justify this decision in the evaluation report; the SC has then to prepare a new evaluation grid for the proposal concerned, which will replace the grid completed by the internal assessors;
- **recommend proposals for further evaluation;**
- **sign the Administrative Check Report and the Verification of Eligibility Report (see Annexes 5 and 6, based on template in annex E6a and partially on annex e6d of the PraG).** These reports must include:



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- the list of the proposals having met the administrative and eligibility criteria, indicating for each application the reference number, the name of the applicant → these applications are **admitted** to the next evaluation step;
- the list of the proposals having failed to meet the administrative and eligibility criteria where the application reference number and the name of the applicant and the reason for elimination are indicated → these applications are **excluded** from further evaluation;
- the completed administrative and eligibility check-lists (grids) for each of the applications received, in annex;
- copies of the communications exchanged with applicants for requesting clarifications and/or missing supporting documents, in annex;
- the list of the proposals having met the administrative and eligibility criteria listed by priority, in annex.

Once the voting members of the SC have agreed on the outcome of Steps 1 and 2, the reports and the minutes of the SC meeting are duly signed by all members of the Committee (voting and non-voting) and administrative check report and the verification of eligibility report are **submitted to the JMA** for approving the evaluation procedure.

2.5 Appeal to the outcomes of administrative check and verification of eligibility

Applicants believing that they have been harmed by an error or irregularity during the Steps 1 and 2 (administrative check and verification of eligibility) process may appeal to the Joint Managing Authority directly. JMA must reply within 90 days of receipt of the complaint.



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ANNEX 1

COMPOSITION OF THE SCs*

First call for proposals

Chairman - (JMA)

Secretary - (JMA)

Romanian voting member -

Bulgarian voting member -

Armenian voting member -

Moldavian voting member -

Russian voting member -

Observers -

*** To be completed**



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ANNEX 2

DECLARATION OF IMPARTIALITY AND CONFIDENTIALITY¹

Publication ref: _____

I, the undersigned, hereby declare that I agree to participate in the evaluation of the above-mentioned [*call for proposals*]. By making this declaration, I confirm that I have familiarised myself with the information available to date concerning this call for proposals including the provisions of the Joint Operational Programme, the Application Package and the Practical Guide to contract procedures for external actions relating to the evaluation process.

I shall execute my responsibilities impartially and objectively.

I hereby declare that I am independent² of all parties which stand to gain from the outcome of the evaluation process³. To the best of my knowledge and belief, there are no facts or circumstances, past or present, or that could arise in the foreseeable future, which might call into question my independence in the eyes of any party; and, if I discover or should it become apparent during the course of the evaluation process that such a relationship exists or has been established, I will declare it immediately and cease to participate in the evaluation process. I declare that I have not been employed by any of the *applicants/partners* within the previous 3 years.⁴

I further declare that to the best of my knowledge, I am not in a situation that could cast doubt on my ability to evaluate the *applications*.

I agree to hold in trust and confidence any information or documents ("confidential information") disclosed to me or discovered by me or prepared by me in the course of or as a result of the evaluation and agree that it shall be used only for the purposes of this evaluation and shall not be disclosed to any third party. I also agree not to retain copies of any written information or prototypes supplied.

Confidential information shall not be disclosed to any employee or expert unless they agree to execute and be bound by the terms of this Declaration.

Name	
Signed	
Name	
Signed	
Name	
Signed	
Date	

¹ To be completed by all persons involved in an evaluation process (including members of the Selection Committee, whether voting or not-voting and assessors)

² Taking into consideration whether there exists any past or present relationship, direct or indirect, whether financial, professional or of another kind.

³ i.e., all applicants/partners who are participating in the call for proposals, whether individuals or members of a consortium, or any of the partners or subcontractors proposed by them.

⁴ if you cannot declare this, please indicate the name of the employer, the duration and your position.



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ANNEX 3

DETAILED ASSESSMENT GRID



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DETAILED ASSESSMENT GRID FOR STEP 1 **ADMINISTRATIVE CHECK**

Grid completed by:

_____ Date: __/__/20__

_____ Date: __/__/20__

I. IDENTIFICATION DATA

Reference number:	
Applicant (country):	
Title of action/proposal:	
Region(s) or country/ies targeted:	
Amount requested (and % of total):	< EUR > _____ (___%)
Duration:	___ months



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Instructions:

The internal assessors should put 'X' symbol to columns 'YES' and 'NO' and should provide detailed explanation.

At certain check points, 'NA' ('non applicable') may be written in the 'YES' column instead of 'X'.

In case the answer is 'NO', please indicate which requirements have not been fulfilled. The application will not be further evaluated in this case.

Cells highlighted with dark grey should not be filled in.

Text from column 'Explanation' will be used for requesting clarification / sending standard letter to the Applicant.

Title of the action/proposal:					
STEP 1: ADMINISTRATIVE CHECK	YES	Clarification / missing documents	NO	Explanation	Instructions for Assessors
1. The submission deadline has been respected					
2. The Grant Application Form satisfied all the criteria mentioned in Part 1 (Administrative) of the Checklist (Section VI of this Grant Application Form)					
2.1. The correct Grant Application Form template (published for this Call for Proposals) has been used					



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2.2. The Grant Application Form is typed and is in English (except for dates and signatures)					
2.3. The Grant Application Form is entirely filled in (point by point)					<p><i>If some sections in the Grant Application Form are not filled in, provided that the required information is available in other sections/documents, they will be accepted as «compliant».</i></p> <p><i>If some sections in the Grant Application Form are not filled in, but are proved to be “not applicable”, they will be accepted as «compliant».</i></p> <p><i>If sections in the Grant Application Form referring to IPA Financial Beneficiary / associate partner(s) are not filled in, they will be accepted as «compliant» as long as the proposed partnership does not include Turkish participation / associate partner(s).</i></p> <p><i>The following sections in the Grant Application Form may not be filled in by the Applicant: I.3, II.3.1, III.3.1, VI and Annex.</i></p> <p><i>The applications with missing sections apart from the situations stated above will be assessed as «non-compliant».</i></p>



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2.4. One original of the Grant Application Form (with original annexes and supporting documents as unofficial translations into English) is enclosed					
2.5. 3 copies of the Grant Application Form (with annexes and supporting documents) are enclosed					<i>In case the answer is not affirmative, please indicate how many copies are missing. The missing copies should be requested.</i>
2.6.1. A complete electronic version of the Grant Application Form, all annexes and all supporting documents (as a unique pdf file and separately the Budget also as xls file, on CD-Rom) is enclosed					<i>In case the answer is not affirmative, a complete electronic version of the Grant Application Form, all annexes and all supporting documents should be requested.</i>
2.6.2. The electronic and paper versions of the Grant Application Form, annexes and supporting documents are identical					<i>In case the answer is not affirmative, a complete electronic version of the Grant Application Form, all annexes and all supporting documents - identical with the paper version - should be requested.</i>
2.7. Each partner has completed, signed, stamped and dated a Partnership Statement and the statements are enclosed					<i>In case the answer is not affirmative, please indicate for which partners the statement is missing.</i>
2.8. The Declaration by the Applicant and Declaration by the IPA Financial Lead Beneficiary (if it is the case) has/have been filled in, has/have been signed, stamped and dated and is/are enclosed					



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2.9. The Budget (Annex B, all worksheets) is presented in the format requested, is expressed in EUR and is enclosed					
2.10. The Logical Framework Sheet (Annex C) has been completed and is enclosed					
2.11.1. Legal Entity Sheet(s) (Annex D) for the Applicant, IPA Financial Lead Beneficiary (if it is the case) and each partner have been completed , and are enclosed					
2.11.2. The Legal Entity Sheet (Annex D) for the Applicant has been signed, stamped and dated , and provided as original					<i>In case the document has not been signed and/or stamped and/or dated, and/or provided as original, the original document signed, stamped and dated should be requested.</i>
2.11.3. The Legal Entity Sheet (Annex D) for the IPA Financial Lead Beneficiary (if it is the case) has been signed, stamped and dated , and provided as original					<i>In case the document has not been signed and/or stamped and/or dated, and/or provided as original, the original document signed, stamped and dated should be requested.</i>
2.11.4. The Legal Entity Sheet(s) (Annex D) for each partner has/have been signed, stamped and dated , and provided as original(s) : • Partner 1					<i>Please add as many lines as the number of partners. In case there is/are document(s) not signed and/or stamped and/or dated, and/or provided as original(s), the original document(s) signed, stamped and dated should be requested.</i>
• Partner (if it is the case)					<i>Please add as many lines as the number of partners. In case there is/are document(s) not signed and/or stamped and/or dated, and/or provided as original(s), the original document(s) signed, stamped and dated should be requested.</i>



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<p>2.11.5. The Legal Entity Sheet (Annex D) for the Applicant is accompanied by the justifying documents requested (if it is the case)</p>				<p><i>In case Annex D is not accompanied by the justifying documents - as the case may be - the missing documents should be requested.</i></p>
<p>2.11.6. The Legal Entity Sheet (Annex D) for the IPA Financial Lead Beneficiary (if it is the case) is accompanied by the justifying documents requested (if it is the case)</p>				<p><i>In case Annex D is not accompanied by the justifying documents - as the case may be - the missing documents should be requested.</i></p>
<p>2.11.7. The Legal Entity Sheet(s) (Annex D) for each partner is/are accompanied by the justifying documents requested (if it is the case):</p> <ul style="list-style-type: none"> • Partner 1 				<p><i>Please add as many lines as the number of partners.</i></p> <p><i>In case Annex D is not accompanied by the justifying documents - as the case may be - the missing documents should be requested.</i></p>
<ul style="list-style-type: none"> • Partner (if it is the case) 				
<p>2.12.1. Statute or Articles of Association (or equivalent document) for the Applicant (as unofficial translation into English of the relevant parts proving eligibility, certified by the head of the Applicant organisation) is enclosed (this obligation does not apply to public authorities and international organisations which have signed a framework agreement with EC)</p> <p>Where the Applicant is a public body created by a law, the said law is provided, as unofficial translation(s) of the relevant parts proving its eligibility (legal status, registration and location of headquarters and, if it is the case, of the subsidiary(ies)/branch(es)).</p> <p>In case of modifications of the relevant parts proving non-profit organisations' and public undertakings' eligibility</p>				<p><i>In case the document(s) is/are not enclosed as unofficial translation(s) into English of the relevant parts proving eligibility or is/are not certified by the head of the Applicant organisation, the missing document(s)/certification(s) should be requested.</i></p>



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<p>(legal status, registration and location of headquarters and, if it is the case, of the subsidiary(ies)/branch(es)), 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, is also enclosed as unofficial translation(s) of the modified relevant parts proving their eligibility.</p>				
<p>2.12.2. Statute or Articles of Association (or equivalent document) for the IPA Financial Lead Beneficiary (if it is the case) (as unofficial translation into English of the relevant parts proving eligibility, certified by the head of the IPA Financial Lead Beneficiary organisation) is enclosed (this obligation does not apply to public authorities and international organisations which have signed a framework agreement with EC)</p> <p>Where the IPA Financial Lead Beneficiary is a public body created by a law, the said law is provided, as unofficial translation(s) of the relevant parts proving its eligibility (legal status, registration and location of headquarters and, if it is the case, of the subsidiary(ies)/branch(es)).</p> <p>In case of modifications of the relevant parts proving non-profit organisations' and public undertakings' eligibility (legal status, registration and location of headquarters and, if it is the case, of the subsidiary(ies)/branch(es)), 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, is provided as unofficial translation(s) of the modified relevant parts proving their eligibility.</p>				<p><i>In case the document(s) is/are not enclosed as unofficial translation(s) into English of the relevant parts proving eligibility or is/are not certified by the head of the IPA Financial Lead Beneficiary organisation, the missing document(s)/certification(s) should be requested.</i></p>



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<p>2.12.3. Statute(s) or Articles of Association (or equivalent documents) for each partner (as unofficial translation(s) into English of the relevant parts proving eligibility, certified by the head of the partner organisation) is/are enclosed (this obligation does not apply to public authorities and international organisations which have signed a framework agreement with EC)</p> <p>Where a partner is a public body created by a law, the said law must be provided, as unofficial translation(s) of the relevant parts proving its eligibility (legal status, registration and location of headquarters and, if it is the case, of the subsidiary(ies)/branch(es)).</p> <p>In case of modifications of the relevant parts proving non profit organisations' and public undertakings' eligibility (legal status, registration and location of headquarters and, if it is the case, of the subsidiary(ies)/branch(es)), 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, is provided as unofficial translation(s) of the modified relevant parts proving their eligibility.</p> <ul style="list-style-type: none"> • Partner 1 				<p><i>Please add as many lines as the number of partners.</i></p> <p><i>In case a document is not enclosed as unofficial translation into English of the relevant parts proving eligibility or is not certified by the head of the partner organisation, the missing document/certification should be requested.</i></p>
<ul style="list-style-type: none"> • Partner (if it is the case) 				
<p>2.12.4. Registration Act (or equivalent document) for the Applicant (as unofficial translation into English of the extract(s) from national Register, certified by the head of the Applicant organisation) is enclosed this obligation does not apply to public authorities.</p>				<p><i>In case the document is not enclosed as unofficial translation into English of the extract(s) from national Register or is not certified by the head of the Applicant</i></p>



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				organisation, the missing document/certification should be requested.
<p>2.12.5. Registration Act (or equivalent document) for the IPA Financial Lead Beneficiary (as unofficial translation into English of the extract(s) from national Register, certified by the head of the IPA Financial Lead Beneficiary organisation) is enclosed.</p> <p>This obligation does not apply to public authorities.</p>				<p><i>In case the document is not enclosed as unofficial translation into English of the extract(s) from national Register or is not certified by the head of the IPA Financial Lead Beneficiary organisation, the missing document/certification should be requested.</i></p>
<p>2.12.6. Registration Act(s) (or equivalent documents) for each partner (as unofficial translation(s) into English of the extract(s) from national Register(s), certified by the head of the partner organisation) is/are enclosed</p> <p>this obligation does not apply to public authorities</p> <ul style="list-style-type: none"> • Partner 1 				<p><i>Please add as many lines as the number of partners.</i></p> <p><i>In case one document is not enclosed as unofficial translation into English of the extract(s) from national Register(s) or is not certified by the head of the partner organisation, the missing document/certification should be requested.</i></p>
<ul style="list-style-type: none"> • Partner (if it is the case) 				
<p>2.13.1. Latest accounts for the Applicant (as full unofficial translation into English, certified by the head of the Applicant organisation) has been enclosed</p> <p>this obligation does not apply to public authorities</p>				<p><i>In case the document is not enclosed as full unofficial translation into English or is not certified by the head of the Applicant organisation, the missing document/certification should be requested.</i></p>



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				<p><i>If the Applicant cannot provide this document (i.e. because of national legislations constraints or because of being set up during 2009 and not having an accomplished previous financial year), declaration with explanation should be requested.</i></p>
<p>2.13.2. Latest accounts for the IPA Financial Lead Beneficiary (as full unofficial translation into English, certified by the head of the IPA Financial Lead Beneficiary organisation) has been enclosed this obligation does not apply to public authorities</p>				<p><i>In case the document is not enclosed as full unofficial translation into English or is not certified by the head of the IPA Financial Lead Beneficiary organisation, the missing document/ certification should be requested.</i></p> <p><i>If the IPA Financial Lead Beneficiary cannot provide this document (i.e. because of national legislations constraints or because of being set up during 2009 and not having an accomplished previous financial year), declaration with explanation should be requested.</i></p>
<p>2.13.3. Latest accounts (for each partner (as full unofficial translation(s) into English, certified by the head of the partner organisation) has/have been enclosed this obligation does not apply to public authorities</p>				<p><i>Please add as many lines as the number of partners.</i></p> <p><i>In case the document is not enclosed as full unofficial translation into English or is not certified by the head of</i></p>



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<ul style="list-style-type: none"> Partner 1 					<p><i>the IPA Financial Lead Beneficiary organisation, the missing document/certification should be requested.</i></p>
<ul style="list-style-type: none"> Partner (if it is the case) 					<p><i>If one partner cannot provide this document (i.e. because of national legislations constraints or because of being set up during 2009 and not having an accomplished previous financial year), declaration with explanation should be requested.</i></p>
<p>2.14.1. External Audit Report for the Applicant (as full unofficial translation into English, certified by the head of the Applicant organisation) has been enclosed, in case the ENPI grant sum exceeds EUR 500,000 this obligation does not apply to public authorities, bodies governed by public law and international organisations</p>					<p><i>In case the document is not enclosed as full unofficial translation into English or is not certified by the head of the Applicant organisation, the missing document/certification should be requested.</i></p> <p><i>If the Applicant cannot provide this document, the application will not be further evaluated.</i></p>
<p>2.14.2. External Audit Report for the IPA Financial Lead Beneficiary (if it is the case) (as full unofficial translation into English, certified by the head of the IPA Financial Lead Beneficiary organisation) has been enclosed, in case the IPA grant sum exceeds EUR 500,000 this obligation does not apply to public authorities, bodies governed by public law and international organisations</p>					<p><i>In case the document is not enclosed as full unofficial translation into English or is not certified by the head of the IPA Financial Lead Beneficiary organisation, the missing document/certification should be</i></p>



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				<p><i>requested. If the IPA Financial Lead Beneficiary cannot provide this document, the application will not be further evaluated.</i></p>
--	--	--	--	---

The administrative check has been conducted by:

Assessor 1

Date:

Signature:

Assessor 2

Date:

Signature:

<p>A. The proposal has been recommended for eligibility verification after having passed the administrative check according to the criteria stipulated in the Guidelines for Grant Applicants.</p>				<p><i>In case the answer is 'NO', the proposal will be rejected. Please indicate which requirements have not been fulfilled.</i></p>
--	--	--	--	--



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<p>B. On the basis of the comments highlighted in this grid, complementary documents and/or clarifications has/have been requested.</p>					<p>Date of request: <i>dd/mm/yyyy</i></p> <p>Deadline: <i>dd/mm/yyyy</i></p>
<p>1) The requested documents and/or clarifications have been received within the set deadline</p>					<p>Received: dd/mm/yyyy</p> <p><i>In case the answer is NO, the proposal will be rejected.</i></p>
<p>2) After analysis of all the requested documents and/or clarifications and completing this grid, the proposal has been recommended for eligibility verification after having passed the administrative check according to the criteria stipulated in the Guidelines for Grant Applicants.</p>					<p><i>In case the answer is NO, the proposal will be rejected. Please list the requirements which have not been fulfilled.</i></p>



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DETAILED ASSESSMENT GRID FOR STEP 2 VERIFICATION OF ELIGIBILITY

Grid completed by:

_____ Date: __/__/20__

_____ Date: __/__/20__

I. IDENTIFICATION DATA

Reference number:	
Applicant (country):	
Title of action/proposal:	
Region(s) or country/ies targeted:	
Amount requested (and % of total):	< EUR > _____ (___%)
Duration:	___ months



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Instructions:

The internal assessors should put 'X' symbol to columns 'YES' and 'NO' and should provide detailed explanation.

At certain check points, 'NA' ('non applicable') may be written in the 'YES' column instead of 'X'.

In case the answer is 'NO', please indicate which requirements have not been fulfilled. The application will not be further evaluated in this case.

Cells highlighted with dark grey should not be filled in.

Text from column 'Explanation' will be used for requesting clarification from the Applicant.

Title of the action/proposal:					
STEP 2: ELIGIBILITY VERIFICATION	YES	Clarification / missing documents	NO	Explanation	Instructions for Assessors
3. The Grant Application Form satisfied all the criteria mentioned in Part 2 (Eligibility) of the Checklist (Section VI of this Grant Application Form)					
3.1.1. The Grant is between Eur 50,000 and Eur 100,000 and has a duration not exceeding 12 months					<i>In case of presumable typing or arithmetical errors, inaccuracies, please ask for clarification.</i>
3.1.2. The Grant is over Eur 100,000 up to Eur 700,000 and has a duration not exceeding 24 months					<i>In case of presumable typing or arithmetical errors, inaccuracies, please ask for clarification.</i>
3.2.1. The requested grant under Priorities 1 and 2 is equal to or higher than EUR 100,000 (the minimum allowed) and is equal to or lower than EUR 700,000 (the maximum					<i>In case of presumable typing or arithmetical errors, inaccuracies, please ask for</i>



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allowed); this condition does not apply for projects implemented mainly or entirely in a single participating-country but having a cross-border impact					<i>clarification.</i>
3.2.2. The requested grant under Priority 3 is equal to or lower than EUR 50,000 (the minimum allowed) and is equal to or lower than EUR 250,000 (the maximum allowed)					<i>In case of presumable typing or arithmetical errors, inaccuracies, please ask for clarification.</i>
3.2.3. The requested grant for projects implemented mainly or entirely in a single participating-country but having a cross-border impact (regardless under which Priority) is equal to or lower than EUR 50,000 (the minimum allowed) and is equal to or lower than EUR 250,000 (the maximum allowed)					<i>In case of presumable typing or arithmetical errors, inaccuracies, please ask for clarification.</i>
3.3. The rate of national co-financing is equal to or higher than 10% of the total eligible costs (minimum percentage required)					<i>In case of presumable typing or arithmetical errors, inaccuracies, please ask for clarification.</i>
3.4. The Action includes: <ul style="list-style-type: none"> at least 1 partner from Member State and 1 partner from Partner Country (non Member States, except Turkey) OR 					<i>Please select the type of partnership.</i>
<ul style="list-style-type: none"> at least 1 partner from Member State and 1 partner from Partner Country (non Member States, except Turkey) and Turkey 					
3.5. The Applicant represents one of the eligible legal entities: <ul style="list-style-type: none"> national, regional or local public authority 					<i>Please select the type of eligible legal entities. If clarification is needed at certain points, please indicate it.</i>
<ul style="list-style-type: none"> body governed by public law 					



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<ul style="list-style-type: none"> • non-profit organisation 					
<ul style="list-style-type: none"> • public undertaking 					
<p>3.6. The Applicant is registered and located:</p> <p><input type="checkbox"/> in the eligible programme area OR</p>					<p><i>Please select the location.</i></p> <p><i>If clarification is needed at certain points, please indicate it.</i></p>
<p><input type="checkbox"/> outside the programme area:</p> <ul style="list-style-type: none"> ○ but proving to have local/regional subsidiary office (having legal personality) established in the eligible area, and the subsidiary is the Applicant 					<p><i>If there are no local/regional subsidiary/branch office established in the eligible area, and the justification is missing in section 1.10.5 of the Grant Application Form, the application will not be further evaluated.</i></p>
<ul style="list-style-type: none"> ○ but proving to have local/regional branch office (not having legal personality) established in the eligible area, and the central organization is the Applicant 					<p><i>If it is not clear enough clarifications are requested and if the clarifications still do not prove the added value of such organization to the project, the application shall be rejected.</i></p>
<ul style="list-style-type: none"> ○ not having local/regional subsidiary/branch office established in the eligible area, but the Applicant is located at central/national/regional level, it proves to have exclusive competences in a field of activity and/or geographical area and demonstrates that its area of legal competence established by legal acts extends to the eligible area of the programme and also the proposed Action is for the full benefit of the eligible area of the programme - and a justification is provided 					
<p>3.7. The IPA Financial Lead Beneficiary (if it is the case) represents one of the eligible legal entities:</p> <ul style="list-style-type: none"> • national, regional or local public authority 					<p><i>Please select the type of eligible legal entities.</i></p> <p><i>If clarification is needed at</i></p>



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<ul style="list-style-type: none"> body governed by public law 					<i>certain points, please indicate it.</i>
<ul style="list-style-type: none"> non-profit organisation 					
<ul style="list-style-type: none"> public undertaking 					
<p>3.8. The IPA Financial Lead Beneficiary (if it is the case) is registered and located:</p> <p><input type="checkbox"/> in the eligible programme area OR</p>					<p><i>Please select the location.</i></p> <p><i>If clarification is needed at certain points, please indicate it.</i></p>
<p><input type="checkbox"/> outside the programme area:</p> <ul style="list-style-type: none"> but proving to have local/regional subsidiary office (having legal personality) established in the eligible area, the subsidiary is the IPA Financial Lead Beneficiary 					<p><i>If there are no local/regional subsidiary/branch office established in the eligible area, and the justification is missing in section 1.10.5 of the Grant Application Form, the application will not be further evaluated.</i></p>
<ul style="list-style-type: none"> but proving to have local/regional branch office (not having legal personality) established in the eligible area, the central organization is the IPA Financial Lead Beneficiary 					<p><i>If it is not clear enough clarifications are requested and if the clarifications still do not prove the added value of such organization to the project, the application shall be rejected.</i></p>
<ul style="list-style-type: none"> not having local/regional subsidiary/branch office established in the eligible area, but the IPA Financial Lead Beneficiary is located at central/national/regional level, it proves to have exclusive competences in a field of activity and/or geographical area and demonstrates that its area of legal competence established by legal acts extends to the eligible area of the programme and also the proposed Action is for the full benefit of the eligible area of the programme - and a justification is provided 					



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<p>3.9. All partners represent eligible legal entities:</p> <ul style="list-style-type: none"> • Partner 1: <ul style="list-style-type: none"> ○ national, regional or local public authority 					<p><i>Please add as many lines as the number of partners.</i></p> <p><i>Please select the type of eligible legal entity for each partner.</i></p> <p><i>If clarification is needed at certain points, please indicate it.</i></p>
<ul style="list-style-type: none"> ○ body governed by public law 					
<ul style="list-style-type: none"> ○ non-profit organisation 					
<ul style="list-style-type: none"> ○ public undertaking 					
<ul style="list-style-type: none"> • Partner.....: <ul style="list-style-type: none"> ○ national, regional or local public authority 					
<ul style="list-style-type: none"> ○ body governed by public law 					
<ul style="list-style-type: none"> ○ non-profit organisation 					
<ul style="list-style-type: none"> ○ public undertaking 					
<p>3.10. The partners are registered and located:</p> <p>Partner 1:</p> <p><input type="checkbox"/> in the eligible programme area OR</p>					<p><i>Please add as many lines as the number of partners.</i></p> <p><i>Please select the location for each partner.</i></p> <p><i>If clarification is needed at certain points, please indicate it.</i></p> <p><i>If there are no local/regional subsidiary/branch office established in the eligible area, and the justification is missing in section 1.10.5 of the Grant Application Form, the application will not be</i></p>
<p><input type="checkbox"/> outside the programme area:</p> <ul style="list-style-type: none"> ○ but proving to have local/regional subsidiary office (having legal personality) established in the eligible area, and the subsidiary is the partner 					
<ul style="list-style-type: none"> ○ but proving to have local/regional branch office (not having legal personality) established in the eligible area, and the central organization is the partner 					



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<ul style="list-style-type: none"> ○ not having local/regional subsidiary/branch office established in the eligible area, but the partner is located at central/national/regional level, it proves to have exclusive competences in a field of activity and/or geographical area and demonstrates that its area of legal competence established by legal acts extends to the eligible area of the programme and also the proposed Action is for the full benefit of the eligible area of the programme - and a justification is provided 					<p><i>further evaluated.</i></p> <p><i>If it is not clear enough clarifications are requested and if the clarifications still do not prove the added value of such organization to the project, the application shall be rejected.</i></p>
<p>Partner</p> <ul style="list-style-type: none"> □ in the eligible programme area OR 					
<ul style="list-style-type: none"> □ outside the programme area: <ul style="list-style-type: none"> ○ has local/regional subsidiary office (having legal personality) established in the eligible area 					
<ul style="list-style-type: none"> ○ has local/regional branch office (not having legal personality) established in the eligible area 					



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<ul style="list-style-type: none"> o has no local/regional subsidiary/branch office established in the eligible area, but is located at central/national/regional level, has exclusive competences in a field of activity and/or geographical area and demonstrates that its area of legal competence established by legal acts extends to the eligible area of the programme and also the proposed Action is for the full benefit of the eligible area of the programme - and a justification is provided 					
<p>3.11. The Action activities will take place in the eligible programme area</p>					<p><i>Please check point 1.2 of the Grant Application Form.</i></p>
<p>3.12. The Action (project) falls under one of the eligible project types:</p>					<p><i>Please indicate the type of the project by assessing the justification in section 1.8.6 of the Grant Application Form.</i></p>
<ul style="list-style-type: none"> • an integrated project 					
<ul style="list-style-type: none"> • a symmetrical project 					
<ul style="list-style-type: none"> • a project implemented mainly or entirely in a single participating-country but having a cross-border impact 					
<p>4. The annexes and supporting documents listed hereunder satisfied all the eligibility criteria of the Applicant, IPA Financial Lead Beneficiary (if it is the case) and partners:</p>					
<p>4.a.1. Legal Entity Sheet (Annex D) for the Applicant has been duly completed and indicates:</p> <ul style="list-style-type: none"> • the type of legal entity: <ul style="list-style-type: none"> o national, regional or local public authority 					<p><i>If clarification is needed at certain points, please indicate it. For example:</i></p> <ul style="list-style-type: none"> • <i>the type of legal entity is</i>



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<ul style="list-style-type: none"> ○ body governed by public law 					<p><i>not the same as the one selected in 3.5 above and proved in 4.b.1 below</i></p> <ul style="list-style-type: none"> • <i>the information about registration is not the same as the one selected in 3.6 above and proved in 4.b.4 below.</i>
<ul style="list-style-type: none"> ○ non-profit organisation 					
<ul style="list-style-type: none"> ○ public undertaking 					
<ul style="list-style-type: none"> • information about registration 					
<p>4.a.2. Legal Entity Sheet (Annex D) for the IPA Financial Lead Beneficiary (if it is the case) has been duly completed and indicates:</p> <ul style="list-style-type: none"> • the type of legal entity: <ul style="list-style-type: none"> ○ national, regional or local public authority ○ body governed by public law ○ non-profit organisation ○ public undertaking • information about registration 					<p><i>If clarification is needed at certain points, please indicate it. For example:</i></p> <ul style="list-style-type: none"> • <i>the type of legal entity is not the same as the one selected in 3.7 above and proved in 4.b.2 below</i> • <i>the information about registration is not the same as the one selected in 3.8 above and proved in 4.b.5 below.</i>
<p>4.a.3. Legal Entity Sheet(s) (Annex D) for each partner has/have been duly completed and indicate(s):</p> <ul style="list-style-type: none"> • Partner 1 <ul style="list-style-type: none"> ○ the type of legal entity: <ul style="list-style-type: none"> ▪ national, regional or local public authority ▪ body governed by public law 					<p><i>Please add as many lines as the number of partners.</i></p> <p><i>If clarification is needed at certain points, please indicate it. For example:</i></p> <ul style="list-style-type: none"> • <i>the type of legal entity is not the same as the one selected in 3.9 above and proved in 4.b.3 below</i>
<ul style="list-style-type: none"> ▪ body governed by public law 					



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<ul style="list-style-type: none"> ▪ non-profit organisation 					<ul style="list-style-type: none"> • <i>the information about registration is not the same as the one selected in 3.10 above and proved in 4.b.6 below.</i>
<ul style="list-style-type: none"> ▪ public undertaking 					
<ul style="list-style-type: none"> ○ information about registration 					
<ul style="list-style-type: none"> • Partner (if it is the case) <ul style="list-style-type: none"> ○ the type of legal entity: <ul style="list-style-type: none"> ▪ national, regional or local public authority 					
<ul style="list-style-type: none"> ▪ body governed by public law 					
<ul style="list-style-type: none"> ▪ non-profit organisation 					
<ul style="list-style-type: none"> ▪ public undertaking 					
<ul style="list-style-type: none"> ○ information about registration 					
<p>4.b.1. Statute or Articles of Association (or equivalent document) for the Applicant- together with the document(s) proving modifications of these relevant parts or laws, (if it is the case) - include(s) all the necessary information for proving the eligibility</p> <p>Relevant parts are legal status, registration and location of headquarters and, if it is the case, of the subsidiary(ies)/branch(es)).</p>					<p><i>If clarification is needed at certain points, please indicate it. For example:</i></p> <ul style="list-style-type: none"> • <i>the type of legal entity is not the same as the one selected in 3.5 and 4.a.1 above</i> • <i>the information about registration is not the same as the one selected in 3.6 above and proved in 4.b.4 below.</i>
<p>4.b.2. Statute or Articles of Association (or equivalent document) for the IPA Financial Lead Beneficiary (if it is</p>					<p><i>If clarification is needed at certain points, please indicate it. For example:</i></p>



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<p>the case)- together with the document(s) proving modifications of these relevant parts or laws, if it is the case - include(s) all the necessary information for proving the eligibility</p>				<ul style="list-style-type: none"> • <i>the type of legal entity is not the same as the one selected in 3.7 and 4.a.2 above</i> • <i>the information about registration is not the same as the one selected in 3.8 above and proved in 4.b.5 below.</i>
<p>4.b.3. Statute(s) or Articles of Association (or equivalent documents) for each partner- together with the document(s) proving modifications of these relevant parts or laws, if it is the case - include(s) all the necessary information for proving the eligibility</p> <ul style="list-style-type: none"> • Partner 1 				<p><i>Please add as many lines as the number of partners.</i></p> <p><i>If clarification is needed at certain points, please indicate it. For example:</i></p> <ul style="list-style-type: none"> • <i>the type of legal entity is not the same as the one selected in 3.9 and 4.a.3 above</i> • <i>the information about registration is not the same as the one selected in 3.10 above and proved in 4.b.6 below.</i>
<ul style="list-style-type: none"> • Partner (if it is the case) 				
<p>4.b.4. Registration Act (or equivalent document) for the Applicant includes all the necessary information for proving the eligibility.</p>				<p><i>If clarification is needed at certain points, please indicate it. For example: the information about registration is not the same as the one selected in 3.6 and 4.a.1 above and proved in</i></p>



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					4.b.1 above.
4.b.5. Registration Act (or equivalent document) for the IPA Financial Lead Beneficiary includes all the necessary information for proving the eligibility					<i>If clarification is needed at certain points, please indicate it. For example: the information about registration is not the same as the one selected in 3.8 and 4.a.2 above and proved in 4.b.2 above.</i>
4.b.6. Registration Act(s) (or equivalent documents) for each partner include(s) all the necessary information for proving the eligibility:					<i>Please add as many lines as the number of partners. If clarification is needed at certain points, please indicate it. For example: the information about registration is not the same as the one selected in 3.10 and 4.a.3 above and proved in 4.b.3 above.</i>
<ul style="list-style-type: none"> • Partner 1 					
<ul style="list-style-type: none"> • Partner (if it is the case) 					
4.c.1. Latest accounts for the Applicant include all the necessary information for proving the eligibility					<i>If clarification is needed at certain points, please indicate it.</i>
4.c.2. Latest accounts (for the IPA Financial Lead Beneficiary include all the necessary information for proving the eligibility					<i>If clarification is needed at certain points, please indicate it.</i>



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<p>4.c.3. Latest accounts for each partner include all the necessary information for proving the eligibility :</p> <ul style="list-style-type: none"> • Partner 1 					<p><i>Please add as many lines as the number of partners.</i></p> <p><i>If clarification is needed at certain points, please indicate it.</i></p>
<ul style="list-style-type: none"> • Partner (if it is the case) 					
<p>4.d.1. External Audit Report for the Applicant - is produced by an approved auditor, certifying the accounts for the last financial year available and assessing the viability of the Applicant. The auditor has to identify any concerning elements as regards its financial soundness, which is a normal part of the annual audit of the Applicant's accounts.</p>					<p><i>Please indicate to which year the report relates.</i></p> <p><i>Please cross-check with information in the Grant Application Form (section II point 3.2.2) and state any difference.</i></p> <p><i>If clarification is needed at certain points, please indicate it.</i></p> <p><i>In case the document is not produced by an approved auditor, the application will not be further evaluated.</i></p>
<p>4.d.2. External Audit Report for the IPA Financial Lead Beneficiary (if it is the case) is produced by an approved auditor, certifying the accounts for the last financial year available and assessing the viability of the IPA Financial Lead Beneficiary. The auditor has to identify any</p>					<p><i>Please indicate to which year the report relates.</i></p> <p><i>Please cross-check with information in the Grant Application Form (section III</i></p>



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<p>concerning elements as regards its financial soundness, which is a normal part of the annual audit of the IPA Financial Lead Beneficiary's (if it is the case) accounts.</p>				<p><i>point 3.2.2) and state any difference.</i> <i>If clarification is needed at certain points, please indicate it.</i> <i>In case the document is not produced by an approved auditor, the application will not be further evaluated.</i></p>
<p>The eligibility verification has been conducted by:</p> <p><u>Assessor 1</u></p> <p>Date:</p> <p>Signature:</p> <p><u>Assessor 2</u></p> <p>Date:</p> <p>Signature:</p>				
<p>A. The proposal has been recommended for technical and financial evaluation after having passed the administrative check and verification of eligibility according to the criteria stipulated in the Guidelines for Grant Applicants.</p>				<p><i>In case the answer is 'NO', the proposal will be rejected. Please indicate which requirements have not been fulfilled.</i></p>



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<p>B. On the basis of the comments highlighted in this grid, complementary documents and/or clarifications has/have been requested.</p>					<p>Date of request: <i>dd/mm/yyyy</i></p> <p>Deadline: <i>dd/mm/yyyy</i></p>
<p>1) The requested documents and/or clarifications have been received within the set deadline</p>					<p>Received: dd/mm/yyyy</p> <p><i>In case the answer is NO, the proposal will be rejected.</i></p>
<p>2) After analysis of all the requested documents and/or clarifications and completing this grid, the proposal has been recommended for technical and financial evaluation after having passed the administrative check and verification of eligibility according to the criteria stipulated in the Guidelines for Grant Applicants.</p>					<p><i>In case the answer is NO, the proposal will be rejected. Please list the requirements which have not been fulfilled.</i></p>



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ANNEX 4

LETTER FOR REQUESTING CLARIFICATIONS AND/OR MISSING DOCUMENTS

JOINT MANAGING AUTHORITY

Open calls for proposals

<Date>

<Name and address of the applicant>

Call for proposals: <Reference and title>

Application ref.: <Number and title>

Dear Sir/Madam,

Following the [administrative check/verification of eligibility] carried out by the Joint Managing Authority according to the criteria set out in the Guidelines for Grant Applicants, the following [clarifications/missing documents] are requested in order to conduct an objective assessment of your application:

[1.....]

2.....

.....]

Please note that these [clarifications/missing documents] are requested to conclude the [administrative check/verification of eligibility].

Please send your answer within 7 calendar days since you receive this request, *copies* by fax (+4 0372 111 323) or scanned by e-mail (blacksea-cbc@mdrl.ro) and *originals* by registered mail or private courier service (date on the envelope) or by hand-delivery at the following address:

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

In case you fail to provide the requested [clarifications/missing documents] before the set deadline <...>, your application will not be considered for further evaluation under the present Call for Proposals.

Yours faithfully,

<Name>

Chairperson
of the Selection Committee



TEMPLATE FOR REPORT ON STEP 1

EVALUATION REPORT STEP 1 ADMINISTRATIVE CHECKS

Call for proposals reference :<.... >
Title: <....>

Type of procedure: open

Contents

- Timetable
- Participants
- Evaluation
 - Part 1: verification of the respect of the deadline of submission of applications
 - Part 2: verification of the administrative compliance (open : part 1 of section VI of the grant application form)

Annexes

- List of applications received
- Declarations of impartiality and confidentiality
- Completed administrative checklists (open: section VI of the grant application form)
- [Clarification correspondence with the applicant(s)]

1. Timetable

	Date	Time
Publication of call for proposals		n.a.
Deadline for submission of applications		
Administrative check		



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2. Participants

Name	Representing	Role ⁵

3. Evaluation

[This text may be expanded to reflect eventual discussions on particular cases]

In line with section 2.3 (1) of the Guidelines for Grant Applicants, the JMA proceeded with the first step of the evaluation process as follows.

In total, <XXX> applications were received. Each one was given a sequential number. This number was marked on all copies of the application and will be retained throughout the evaluation process as the sole reference. The full list of the applications received is attached in annex.

The originals of the applications have been filed with the Joint Managing Authority.

3.1 Part 1: Verification of the respect of the deadline of submission of applications

The following applications were submitted after the deadline and are therefore excluded from further examination.

Applic. N°	Applicant	Date [& time] of submission

3.2 Part 2: Verification of the administrative compliance of applications

The completed administrative checklists for each of the applications submitted within the deadline are attached. On the basis of the results of the verifications, the Selection Committee decided to exclude the following applications from further evaluation.

⁵ Evaluator, assessor, observer, chairperson, secretary, ...



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Applic. N°	Applicant	Reasons for elimination

4. Conclusion

On the basis of the above analysis, the Selection Committee has decided to recommend that the following applications for a total requested contribution of € <XXXX >be examined under step 2 of the evaluation procedure.

5. Signatures

	Name	Signature
Chairperson		
Secretary		
Evaluators		

Approved by the Joint Managing Authority*:

Name & Signature:

Date:

* From the point of view of respecting the procedures.



ANNEX 6

TEMPLATE FOR REPORT ON STEP 2

EVALUATION REPORT

**STEP 2
ELIGIBILITY CHECKS**

Call for proposals reference: < >

Title: < >

Type of procedure: open

Contents

- Timetable
- Participants
- Evaluation
- Conclusions
 - Recommended applications
 - Reserve list
 - Other applications

Annexes

Declarations of impartiality and confidentiality
 Completed Declarations by the applicants (Section VII of application form) and
 assessment grid (Annex of application form)
 [Clarification correspondence with applicant(s)]

1. Timetable

	Date	Time
Meeting 1		
Meeting 2		
Etc.		



2. Participants

Name	Representing	Role ⁶

3. Evaluation

The total available envelope for this call is € XXXX.

The JMA staff used the Declarations by the applicants (Section VI of the grant application form), the Checklist (part 2 of section V of Part B of the grant application form) and the assessment form (Section VII of the grant application form) to assess the eligibility of the applicants and their partners, and cross-checked them with the supporting documents provided. The Selection Committee subsequently deliberated on the basis of these assessments.

(Insert here the summary of discussions and the approach adopted by the Selection Committee.)

The Selection Committee, following the eligibility verification, established the following lists.

The check lists of all the full applications examined are annexed to this report.

4. Conclusions

On the basis of the above analysis, the Selection Committee has decided to recommend that the following applications for a total requested contribution of € <XXXX >be examined under step 3 of the evaluation procedure.

Application sequence N°	Applicant	[Average] score	Recommended grant amount	Recom %	Comments

Number of applications that passed step 2 of the evaluation procedure: XXXX.

Total requested amount of provisionally selected applications: € XXXX (sum of the requested contributions)

Total available amount: € XXXX.

⁶ Ex: Evaluator, assessor, observer, chairperson, secretary, ...



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4.3 Ineligible applications

The following applications were found to be ineligible:

Applic. N°	Applicant	[Average] score	Comments

5. Signatures

	Name	Signature
Chairperson		
Secretary		
Evaluators		

Approved by the Joint Managing Authority*:

Name & Signature:

Date:

* From the point of view of respecting the procedures.



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ANNEX 7

LETTER TO APPLICANTS AT CLOSING OF STEP 1

JOINT MANAGING AUTHORITY

Open call for proposals

<Date>

<Name and address of the applicant>

Call for proposals: <Reference and title>

Application ref.: <Number and title>

Dear Sir/Madam,

Thank you for submitting an application for the above call for proposals. It has been given the above-mentioned application reference number. Please use this reference number in any correspondence regarding your application.

EITHER

[I am pleased to inform you that your application was submitted before the deadline and, further to the administrative check, it will be evaluated in accordance with the procedure described in the Guidelines for Grant Applicants.]

The above is without prejudice to any potential grounds for exclusion of your application which may be established during the further stages of the procedure]

OR

[However, I regret to inform you that your application was submitted after the deadline and cannot therefore be considered for further evaluation under the present call for proposals.]

OR

[However, I regret to inform you that the examination of your application under administrative check revealed that it does not satisfy all the administrative criteria mentioned in part 1 of Section VI of the application form. More specifically: < specify administrative criteria not satisfied, including if missing supporting documents have been requested and either they have been sent within the deadline but were not satisfactory or they have not been sent within the deadline.>]

The above-mentioned criteria are without prejudice to other potential grounds for exclusion of your application.

Your application cannot therefore be considered for further evaluation under the present call for proposals.

I take this opportunity to thank you for your interest in participating in the present call for proposals and hope that the above information will assist in preparing for any future call published by the Joint Managing Authority to which you may wish to submit an application.]

Yours faithfully,

<Name>
Chairperson
of the Selection Committee