



Contracting Authority: Government of the Republic of Serbia, Ministry of Finance, Department for Contracting and Financing of EU Funded Programmes (CFCU)

Development of Effective Community Services in the Area of Education and Social Welfare at the Local Level

**Guidelines
for grant applicants**

2013 National Programme for Transition Assistance and Institution Building

Instrument for Pre-Accession Assistance I (IPA I)

22.02.01 Financial Agreement

Reference: EuropeAid/138126/IH/ACT/RS

Deadline for submission of concept note: 15 July 2016

NOTICE

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

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1. DEVELOPMENT OF EFFECTIVE COMMUNITY SERVICES IN THE AREA OF EDUCATION AND SOCIAL WELFARE AT THE LOCAL LEVEL

1.1. BACKGROUND

Serbia vis-à-vis Europe 2020 targets

Serbian Multi-Annual Indicative Planning Document (MIPD) 2011-2013 defines several specific objectives for IPA assistance under the Social Development sector:

- ☛ To support Serbia's efforts to adhere to the targets of Europe 2020 in employment, poverty and social exclusion;
- ☛ To improve enforcement of education and employment policy, notably for the youth;
- To align social policies in Serbia with EU standards;
- To prevent social exclusion of vulnerable groups and minorities, notably the Roma.

Some of the related indicators, presenting the available data for Serbia, as compared with last available data for the EU 28 and with the status in regards to the achievement of the EU 2020 targets, reveals that the country faces heavy-duty challenges in the area of employment and educational attainment, and that at-risk-of-poverty rate remains high.

Indicator	Serbia 2013	Serbia 2014	Serbia 2015	EU 28 (last available year)	EU 2020 target	Serbia vis-à-vis EU 2020 targets RS
Employment rate (20 to 64 years), total (%) ¹	51.2	53.5	/	69.2 (2014)	75% of the population aged 20-64 should be employed	-21.5 %
Total unemployment rate (%) ²	22.1	18.9	/	9.4 (2015)	n/a	n/a
Unemployment rate (less than 25 years of age) (%) ³	49.4	47.1	/	19.8 (2015Q4)	n/a	n/a
Total long-term unemployment rate (%) ⁴	16.8	12.8	/	5.1	n/a	n/a
Early leavers from education and training, total (%) ⁵	8.7	8.3	/	11.2 (2014)	The share of early school leavers should be under 10%	Achieved

¹ The employment rate is calculated by dividing the number of persons aged 20 to 64 in employment by the total population of the same age group. The indicator is based on the EU Labour Force Survey. The survey covers the entire population living in private households and excludes those in collective households such as boarding houses, halls of residence and hospitals. Employed population consists of those persons who during the reference week did any work for pay or profit for at least one hour, or were not working but had jobs from which they were temporarily absent. Source: Eurostat, Code: t2020_10, Serbia: cpc_pslm, code 1324

² Unemployment rates represent unemployed persons as a percentage of the labour force. The labour force is the total number of people employed and unemployed. Unemployed persons comprise persons aged 15 to 74 who were: a. without work during the reference week, b. currently available for work, i.e. were available for paid employment or self-employment before the end of the two weeks following the reference week, c. actively seeking work, i.e. had taken specific steps in the four weeks period ending with the reference week to seek paid employment or self-employment or who found a job to start later, i.e. within a period of, at most, three months. Source, Eurostat, Code: tsdec450, Serbia: cpc_pslm, Code: 1311

³ Source: Eurostat, EU 28, une_rt_q, Serbia, cpc_pslm

⁴ The share of long-term unemployment is the share of unemployed persons since 12 months or more in the total active population, expressed as a percentage. The total active population (labour force) is the total number of the employed and unemployed population. The duration of unemployment is defined as the duration of a search for a job or as the period of time since the last job was held (if this period is shorter than the duration of the search for a job). Source: Eurostat, Code: tsdsc330, Serbia, cpc_pslm, Code 1318

Indicator	Serbia 2013	Serbia 2014	Serbia 2015	EU 28 (last available year)	EU 2020 target	Serbia vs. EU 2020 target: RS
Educational attainment (30-34 years old, having completed tertiary or equivalent education) (%) ⁶	25.3	27.2	/	37.9 (2014)	At least 40% of 30-34 years old should have completed a tertiary or equivalent education	-12.8%
People at risk of poverty or social exclusion (% of total population) ⁷	42.0	43.1	/	24.5 (2014)	At least 20 million fewer people in or at risk of poverty and social exclusion (across EU)	Equivalent to 490 thousand people.
People at risk of poverty or social exclusion (thousands people) ⁸	3,005	3,068	/	122,320 (2014)		
People at risk of poverty after social transfers (% and 1 000 persons) ⁹	1,750	1,807	/	86,184 (2014)		
Gini coefficient of equivalised disposable income ¹⁰	38.0	38.6	/	30.9 (2014)	n/a	n/a
Expenditure on social protection per inhabitant ¹¹	2,281.54	/	/	7,616.40 (provisional 2012)	n/a	n/a

Recent indicative strategy paper for Serbia (covering the period 2014 – 2020)¹² mentions that: *“The social welfare system needs to be reformed to be more supportive of labour market participation and of active inclusion. The most vulnerable groups still have very limited access to community based social services. This needs to be improved along with the availability and mainstreaming of services such as home-care and*

⁵ The indicator is defined as the percentage of the population aged 18-24 with at most lower secondary education and who were not in further education or training during the last four weeks preceding the survey. Lower secondary education refers to ISCED (International Standard Classification of Education) 2011 level 0-2 for data from 2014 onwards and to ISCED 1997 level 0-3C short for data up to 2013. The indicator is based on the EU Labour Force Survey. Source: Eurostat, Code: t2020_40 for EU 28 (with break in time series), Serbia: cpc_pseduc, Code 1101

⁶ The indicator is defined as the percentage of the population aged 30-34 who have successfully completed tertiary studies (e.g. university, higher technical institution, etc.). This educational attainment refers to ISCED (International Standard Classification of Education) 2011 level 5-8 for data from 2014 onwards and to ISCED 1997 level 5-6 for data up to 2013. The indicator is based on the EU Labour Force Survey. Source: Eurostat, Code: t2020_41 for EU 28, with break in time series; Serbia: cpc_pseduc, Code 1161

⁷ The Europe 2020 strategy promotes social inclusion, in particular through the reduction of poverty, by aiming to lift at least 20 million people out of the risk of poverty and social exclusion. This indicator corresponds to the sum of persons who are: at risk of poverty or severely materially deprived or living in households with very low work intensity. Persons are only counted once even if they are present in several sub-indicators. Source: Eurostat, Code: t2020_50

⁸ The Europe 2020 strategy promotes social inclusion, in particular through the reduction of poverty, by aiming to lift at least 20 million people out of the risk of poverty and social exclusion. This indicator corresponds to the sum of persons who are: at risk of poverty or severely materially deprived or living in households with very low work intensity. Persons are only counted once even if they are present in several sub-indicators. Source: Eurostat, Code: t2020_50

⁹ Persons with an equivalised disposable income below the risk-of-poverty threshold, which is set at 60 % of the national median equalised disposable income (after social transfers). Source: Eurostat, Code: t2020_52

¹⁰ The Gini coefficient is defined as the relationship of cumulative shares of the population arranged according to the level of equivalised disposable income, to the cumulative share of the equivalised total disposable income received by them. Source: Eurostat, SILC, Code: tessi190

¹¹ Expenditure on social protection contain: social benefits, which consist of transfers, in cash or in kind, to households and individuals to relieve them of the burden of a defined set of risks or needs; administration costs, which represent the costs charged to the scheme for its management and administration; other expenditure, which consist of miscellaneous expenditure by social protection schemes (payment of property income and other). Source, Eurostat, Code: tps00100

¹² Available at http://ec.europa.eu/enlargement/pdf/key_documents/2014/20140919-csp-serbia.pdf

day-care for children with disabilities. The process of de-institutionalisation needs also to be further supported through the development of local community based services". The Indicative strategy paper mentions: **"Increased social inclusion of the most vulnerable groups, especially people with disabilities, women, children and Roma, following implementation of community based solutions in education, health, housing and job creation, and improved child-care provision"** as one of the expected results in the sector of Education, employment and social policies.

Community based services

Social protection is **heavily represented in the Serbian state budget spending**. Expenses classified as "Social Protection from Budget" (appropriation 472, including child care, veteran care, student scholarships and allowances, etc., not including pensions) amount to 116.326.796.000 RSD, and account to 10.3% of the total Serbian budget expenditure for the year 2016.¹³ These expenses mainly relate to direct payments to people in need, not to personal services, neither to community based care.

In 2014, there were **682.172 people** registered within the Centres for Social Work across Serbia¹⁴. Estimates are that at least 50% of these beneficiaries are people who have **working capacity**. Faced with growing unemployment, policy makers in Serbia, similarly as many countries across Europe, show concerns of the social welfare system being too 'passive'.

In total, 51,128 people of Roma origin were registered as beneficiaries of social protection in 2012 (of which 26,428 are able to work). This constitutes almost **1 third of the officially recorded Roma population in Serbia** (according to the last census there are 147,604 Roma in Serbia). In 2012, there were 52,919 **people with disabilities**, receiving at least one of the 3 types of the disability related benefit (work capacitation, assistance from third party, increased assistance from third party), whilst there is little evidence that the benefits they receive increase their mobility and enable entering into the labour market or independent living in the community. According to the available estimates **about 130,000 of elderly people** are not covered by the pensions system, mainly those who are former agricultural workers. At the end of 2012 the active casework in Centres for Social Work was executed for 140,726 children, of which **17.5% were outside of the education system** (not attending school).¹⁵ In 2014, 193.865 children were registered as beneficiaries within CSWs.

Community based care development in Serbia was supported through numerous initiatives in the past decade, including the **Social Innovation Fund**. In 2013, services were provided in 84% of the total number of municipalities/towns in Serbia, **122 local self-governments** in total. They provided services to **15,563 beneficiaries** (13,558 households), which is low. Most represented service is the **home care service for the elderly**, which is provided in 122 municipalities/cities, followed by **day care centre for children and youth with disabilities**, which is provided in 71 municipalities/cities. There are also **12 day care centres for the elderly**, **10 day care centers for children in conflict with the law** and **4 drop in centres**. Only few municipalities have established services linked to **respite care**. **Personal assistance** for people with disabilities existed in only 16 municipalities, and **emergency shelters** in 19. As high as 18% of the funds for the provision of these services, originate from foreign donors, including EU.¹⁶

¹³ Budget proposal for 2016, http://www.parlament.gov.rs/upload/archive/files/cir/pdf/predlozi_zakona/3204-15.pdf

¹⁴ Synthesis report from Centers for Social Work for 2014, Institute for Social Protection, 2015, available at <http://www.zavodsz.gov.rs/PDF/izvestaj2015/CENTRI%20ZA%20SOCIJALNI%20RAD.pdf>

¹⁵ Annual Synthesis Report of CSWs for 2012 (last available) , prepared by Institute for Social Protection, 2013, available at <http://www.zavodsz.gov.rs/PDF/izvestajoradu2013/IZVESTAJ%20CSR%202012%20FIN1.pdf>, (used as source for all the data on the CSWs users)

¹⁶ All data from this paragraph from "Mapiranje usluga socijalne zaštite", Government of the Republic of Serbia, 2013, report available at

http://www.inkluzija.gov.rs/wp-content/uploads/2013/11/mapiranje_usluga_socijalne_zastite_izvestaj.pdf

According to the recent **Guidelines on transition from Institution to Community based Care**¹⁷, the term 'community-based services', or 'community-based care', refers to the **spectrum of services** that enable **individuals to live in the community**. It encompasses **mainstream services**, such as housing, healthcare, education, employment, culture and leisure, which should be accessible to everyone regardless of the nature of their impairment or the required level of support. It also refers to **specialized services**, such as personal assistance for persons with disabilities, respite care and others.

As mentioned in the 2013 EC Progress report for Serbia, the range of community-based services in the country is **still insufficiently developed** to respond adequately to the wide variety of needs of the vulnerable groups. The 2014 Progress report also mentions that *"Community-based services (for children) should be expanded and service delivery, bringing together health, education and social welfare, should be ensured"* and that *"Social inclusion of people with disabilities needs significant improvement, particularly with regard to employment, education and availability of community-based services"*.

The 2014 report also mentions that *"Placement and treatment of people with mental disabilities in institutions is still not regulated in accordance with international standards"* and that *"The procedure for depriving people with psychosocial and intellectual disabilities of their legal capacity and the related safeguards need to be aligned with international standards, as it leaves room for abuse."* Recently, the EU's supported 'Support for de-institutionalization and social inclusion of persons with mental disability and mental illness' grant scheme has initiated some pioneer steps in the process of **deinstitutionalisation**, expecting to ensure 150 people leaving institution care and being transferred into supported living services. The 2015 Progress report also mentions that *"The availability and quality of community based services across the country remains uneven. The provision of social services is additionally compromised by the lack of implementing regulations and ineffective distribution of budget funds."*

Social business initiatives, social economy, social entrepreneurship

Recognising the need to improve the framework conditions for social enterprises which can lead to new opportunities and jobs, inter alia, in the fast-growing area of health and social care (the so-called **white sector**), in 2011, the European Commission adopted a legislative proposal on *"European Social Entrepreneurship Funds - EuSEF"* and the proposal for *"EU Programme for social change and innovation"*, including also *"support for social enterprises"* as an investment priority in its regulations on Structural Funds (EU Cohesion Policy 2014-2020). The new Directives on public procurement and concessions (Directives 2014/24 on public procurement, 2014/25/EU and 2014/23/EU) were adopted in 2014. Article 20 of the 2014/24 Directive permits competition for certain contracts, to be "reserved" to sheltered workshops and economic operators whose main aim is the social and professional integration of disabled or disadvantaged persons, provided that at least 30 % of the employees of those workshops, economic operators or programmes are disabled or disadvantaged workers.

Currently, only eight countries (Bulgaria, Greece, France, Italy, Luxembourg, Slovenia, Sweden, and United Kingdom) have a **policy framework** in place to encourage and support the development of social enterprises.

According to the European Parliament Report on Social Business Initiative *"Creating a favourable climate for social enterprises, key stakeholders in the social economy and innovation"* (2012/2004(INI)), **"the social enterprise"** is an undertaking, regardless of its legal form, which:

- a) has the **achievement of measurable, positive social impacts** as a primary objective in accordance with its articles of association, statutes or any other statutory document establishing the business, where the undertaking:
 - i. provides services or goods to vulnerable, marginalised, disadvantaged or excluded persons, and/or

¹⁷ Common European Guidelines on the Transition from Institutional to Community-based Care', European Expert Group on the Transition from Institutional to Community-based Care, November 2012, available at <http://www.enil.eu/wp-content/uploads/2012/12/Guidelines-11-16-2012-For-dissemination-WEB.pdf>

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- ii. provides goods or services through a method of production, which embodies its social objective;
- b) **uses its profits first and foremost to achieve its primary objectives** instead of distributing profits, and has in place predefined procedures and rules for any circumstances in which profits are distributed to shareholders and owners, which ensure that any such distribution of profits does not undermine its primary objectives; and
- c) **is managed in an accountable and transparent way**, in particular by involving workers, customers and/or stakeholders affected by its business activities.

The 2014 report published by the European Commission, titled *'Map of social enterprises and their ecosystems in Europe'*¹⁸ attempted to operationalize the European definition of the social enterprise, devising the minimum *a priori* conditions that an organisation must meet in order to be categorised as a social enterprise under the EU definition:

- The organisation **must engage in economic activity**: this means that it must engage in a continuous activity of production and/or exchange of goods and/or services;
- It must pursue **an explicit and primary social aim** (as evidenced by the Statutes): a social aim is one that benefits society;
- It must have **limits on distribution of profits and/or assets**: the purpose of such limits is to prioritise the social aim over profit making;
- It must be **independent** i.e. organisational autonomy from the State and other traditional for profit organisations; and,
- It must **have inclusive governance** i.e. characterised by participatory and/ or democratic decision-making processes.

One of the conclusions of the study is that whilst social enterprises are growing in visibility, including within legal frameworks in some cases, many continue to operate, as legislation fails to catch up with reality. Hence, while some countries do legally recognise the form of a 'social enterprise', there is also a **universe of the 'de-facto' European social enterprises** often 'hidden' among other legal forms, most notably:

- Associations and foundations with **commercial activities**;
- **Cooperatives** serving general or collective interests;
- Mainstream enterprises **pursuing an explicit and primary social aim** (as evidenced by the Statutes).

Across Europe, what the universe of social enterprises does is mainly **work integration of disadvantaged groups**, provision of **social services of general interest**¹⁹, meeting of **collective needs** in areas such as land-based industries and the environment, **social innovation, culture, sports and recreation**. In Croatia, increasingly, social entrepreneurship is becoming visible in the **tourism** sector.

Somewhat similar situation exists in Serbia, as well. In the area of **work integration of disadvantaged groups**, the Law on the Employment of People with Disabilities and Vocational Rehabilitation recognises 3 legal forms of registration (enterprise for the employment and rehabilitation of people with disabilities, work centre, social enterprise). Although not recognised as '*enterprises for the employment and rehabilitation of people with disabilities*' many CSOs 'de facto' run programmes that **aim at supporting people with disabilities** enter the open labour market or provide work opportunities to them. Serbian Law on Associations, similarly to other European countries (e.g. non-profit institute in Slovenia; public benefit

¹⁸ Available at <http://ec.europa.eu/social/main.jsp?langId=en&catId=89&newsId=2149&furtherNews=yes>

¹⁹ Long term care for the elderly and for people with disabilities; early education and childcare; employment and training services; social housing; social integration of disadvantaged such as ex-offenders, migrants, drug addicts, etc.; and health care and medical services.

corporation in the Czech Republic) **allows conduct of economic activity to citizen associations**, many CSOs register to conduct economic activity and although not labelled as such, act as **de-facto social enterprises**.²⁰ Local authorities or public administration in general has already established several entities (such as Regional development agencies, Business incubators, Entrepreneurships centres) whose task, inter alia is to **support employment of vulnerable groups and support social entrepreneurship**. Serbia also has Law on **Cooperatives**, which recognises agricultural, students, youth, consumers, health related, and housing cooperatives.

Early school leaving, children out of school and drop out

Recent report from the European Commission concludes that *'Compared to the 13.5% of early school leavers²¹ that were neither in education nor in any other training in the EU-27 in 2011, Serbia and especially Croatia reported low levels (below 10%, of early school leavers)'*²². Youth education attainment level is reported as high as 83.2% for 2011 (compared to average EU's of 79.5, but significantly lower to Croatia's 95.6%).²³ According to the UNESCO education statistics²⁴ in 2012 there were 21.878 (6.1%) **children in Serbia of primary school age**, that were out-of-school and 10.165 adolescents (3,5%) of lower secondary school age, that were out of-school. 11% of the children in Serbia are living in **jobless households**.²⁵

Recent UNICEF's MICS study for Serbia reveals that, while 97% of school-aged children in the general population enroll in the first grade, for school-aged children in Roma settlements, the enrolment rate drops to 69%. The same study also reveals that *"disparities continue throughout the school years, with 93% of children from the general population completing primary education compared to only 64% of children from Roma settlements."* In secondary education, the disparities are even more visible, while 89% of the secondary-school aged adolescents among the general population attend secondary school; this is the case for only 22% of adolescents from Roma settlements and for girls from Roma settlements, the situation is far worse, with only 15% of them attending secondary school.²⁶

Recent report on social inclusion and poverty reduction in Serbia²⁷ concludes that *'the education system capacities to respond to the educational needs of various vulnerable groups are insufficient'*.

Amongst others, operational conclusions from the seminar on the Social Inclusion of the Roma in the

²⁰ Further details are available at 'Socijalno preduzetništvo: Modeli, Komparativna praksa, Pravni okvir u Srbiji', Gordan Velez et. al., Group 484, <http://www.grupa484.org.rs/sites/default/files/sp-modeli-i-komparativna-praksa.pdf> and also 'Ekonomski uticaj socijalnih preduzeća u Republici Srbiji', Vukmirovic, D. et.al., Republički zavod za statistiku, http://www.secons.net/admin/app/webroot/files/publications/Socijalnapreduzeca_srpski.pdf

²¹ According to Eurostat, the official EU statistical authority, early school leavers are people aged 18–24 who have only lower secondary education or less and are no longer in education or training. Early school leavers are therefore those who have only achieved pre-primary, primary, lower secondary or a short upper secondary education of less than 2 years.

²² European Commission, Key figures on the enlargement countries, available at http://ec.europa.eu/cache/ITY_OFFPUB/KS-GO-13-001/EN/KS-GO-13-001-EN.PDF

²³ For the EU-28, Eurostat online data codes: edat_lfse_14 and edat_lfse_08; for the enlargement countries, Eurostat, online data codes: cpc_psilc and cpc_siinr.

²⁴ Available at <http://data.uis.unesco.org/>

²⁵ cpc_psilc, Eurostat, data for Serbia from 2006

²⁶ Multiple Indicator Cluster Survey 2014, Serbia, UNICEF, key findings available at <http://www.unicef.org/serbia/MICS5-English-KeyFindings-10Jul2014.pdf>

²⁷ Second National Report on Social Inclusion and Poverty Reduction in the Republic of Serbia, Government of the Republic of Serbia, 2014, available at <http://socijalnoukljucivanje.gov.rs/wp-content/uploads/2014/11/Second-National-Report-on-Social-Inclusion-and-Poverty-Reduction-final.pdf>

Republic of Serbia²⁸ from 11 June 2015, include quotes that

- *'Dropout prevention programmes will be further developed, in particular by providing mentoring and scholarship programmes. The Ministry of Education, Science and Technological Development and its partners will conduct a survey and analysis of the causes of early school-leaving. On the basis of the analysis, the measures will be piloted and mainstreamed with support under an approved IPA 2013 project, which will allow for the adoption of the systemic support measures at school level and local government level,*

and also that

- *'Centres for social work will commit to intensifying the inclusion of Roma children in local social care services and improve the support programmes for mothers.'*
- *'Centres for social work will strengthen their counselling role in working with Roma families and Roma clients in general.'*

1.2. OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

The **global objective** of this Call for Proposals is:

- To contribute to smart, sustainable and inclusive growth for the Republic of Serbia through initiation of activities that reduce inequalities and strengthen social protection, cohesion, inclusion, economy and employment, in alignment with the targets set forth by the Europe 2020 Strategy, and with tangible outcomes for the most vulnerable and disadvantaged groups in Serbia.

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

- Establishment, improvement and/or sustainment of **(standard or innovative) community-based social services**, which enable **social protection, inclusion and independent living** of the vulnerable and disadvantaged groups in Serbia, where explicit, but not exclusive focus, is given on continuation of the deinstitutionalisation of adults with mental or intellectual difficulties, through a special sub-priority.
- Establishing and strengthening of **social business initiatives** that promote social entrepreneurship, improve access to work for difficult to employ and other vulnerable groups excluded from the labour market and seek to serve the social, environmental and societal community's interest.
- Supporting inter-sectoral measures **designed and implemented at local level for decreasing early school leaving, preventing drop-out and increasing educational attainment;**

1.3. FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY

The overall indicative amount made available under this call for proposals is **EUR 5,500,000.00**. The Contracting Authority reserves the right not to award all available funds.

Indicative allocation of funds by lot/geographical distribution:

LOT 1 'Community-based social services': EUR 4,000,000.00. Out of total foreseen allocation of EUR 4,000,000.00 an amount of EUR 1,500,000.00 will be assigned as a **sub-priority** to applications targeting

²⁸ Available at <http://socijalnoukljucivanje.gov.rs/en/operational-conclusions-of-the-seminar-on-social-inclusion-and-poverty-reduction-in-the-republic-of-serbia/>

deinstitutionalisation of adults with mental or intellectual difficulties ('Deinstitutionalisation' sub-priority).

LOT 2 'Social business initiatives': EUR 1,000,000.00.

LOT 3 'Prevention of drop-out and early school leaving': EUR 500,000.00.

LOT	Sub priority (where applicable)		TOTAL
	<i>Deinstitutionalisation</i>	<i>Other</i>	
LOT 1: Community based social services	1,500,000.00 EUR	2,500,000.00 EUR	4,000,000.00 EUR
LOT 2: Social business initiatives	N/A		1,000,000.00 EUR
LOT 3: Prevention of drop-out and early school leaving	N/A		500,000.00 EUR
TOTAL	5,500,000.00 EUR		

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

Size of grants

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

- minimum amount: **EUR 60,000.00**
- maximum amount: **EUR 200,000.00**

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

- Minimum percentage: **60%** of the total eligible costs of the action.
- Maximum percentage: **90%** of the total eligible costs of the action (see also section 2.1.5).

The balance (i.e. the difference between the total cost of the action and the amount requested from the Contracting Authority) must be financed from sources other than the European Union Budget or the European Development Fund²⁹.

²⁹ Where a grant is financed by the European Development Fund, any mention of European Union financing must be understood as referring to European Development Fund financing.

2. RULES FOR THIS CALL FOR PROPOSALS

These guidelines set out the rules for the submission, selection and implementation of the actions financed under this call, in conformity with the Practical Guide, which is applicable to the present call (available on the Internet at this address <http://ec.europa.eu/europeaid/prag/document.do?locale=en>).³⁰

2.1. ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

(1) the actors:

- The **'lead applicant'**, i.e. the entity submitting the application form (2.1.1),
- if any, its **co-applicant(s)** (where it is not specified otherwise the lead applicant and its co-applicant(s) are hereinafter jointly referred as "applicant(s)") (2.1.1),
- and, if any, **affiliated entity(ies)** to the lead applicant and/or to a co-applicant(s). (2.1.2);

(2) the actions:

Actions for which a grant may be awarded (2.1.4);

(3) the costs:

- types of cost that may be taken into account in setting the amount of the grant (2.1.5).

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

(1) Lead applicant

In order to be eligible for a grant, the lead applicant must:

- be a legal person **and**
- be non-profit-making³¹ **and**
- be a specific type of organisation (specified further bellow, for each Lot) **and**
- be established³², in a Member State of the European Union, or in any other countries specified within Article 19 of the IPA Regulation³³ **and**

³⁰ Note that a lead applicant (i.e. a Coordinator) whose pillars have been positively assessed by the European Commission and who is awarded a grant will not sign the standard grant contract published with these guidelines but a PA Grant Agreement based on the PAGOda template. All references in these guidelines and other documents related to this call to the standard grant contract shall in this case be understood as referring to the relevant provisions of the PAGOda template.

³¹ Including profit-making entities where the applicants must have explicit limits on distribution of profits and/or assets, and where the purpose of such limits must be to prioritize the social aim over profit making (for example, sheltered employment companies (in Serbian, 'preduzeća za zapošljavanje osoba sa invaliditetom').

³² To be determined on the basis of the organisation's statutes, which should demonstrate that the organisation has been established by an instrument governed by the national law of the country concerned and that its head office is located in an eligible country. In this respect, any legal entity whose statutes have been established in another

- be directly responsible for the preparation and management of the action with the co-applicant(s) and affiliated entity(ies), not acting as an intermediary **and**
- be established at minimum one year before the launch of the Call.

(1.a) In order to be eligible for a grant, under **LOT 1**, the lead applicant must:

be a specific type of organisation such as:

- **Non-governmental organisation**³⁴, meeting the following criteria:
 - Having ‘social protection’ as the listed activity in their statutes (according to the national business activity classification codes, in Serbian national business activity classification codes, this is classification 84.3, 84.12, and groups under classifications 87 and 88)
- **Public authority or a public body** at national, provincial or local level having a role in **social protection**³⁵ policy setting, administration or delivery of **community based social services**³⁶, established in Serbia³⁷, meeting the following criteria
 - Having ‘social protection’ as the listed activity in their statutes (according to Serbian national business activity classification codes, this is classification 84.3, 84.12, and groups under classifications 87 and 88) or
 - Organisations registered as “Special Psychiatric Hospitals” are also eligible, but **only in cases of applications to the Lot 1 “Deinstitutionalisation”** sub-priority,

country cannot be considered an eligible local organisation, even if the statutes are registered locally or a ‘Memorandum of Understanding’ has been concluded.

³³ Council Regulation (EC) No 1085/2006 of 17 July 2006 establishing an Instrument of Pre-Accession Assistance (IPA)

³⁴ If registered in Serbia, nongovernmental organizations include those with a following status: “udruženje”, “savez udruženja”, “predstavništvo stranog udruženja”, “fondacija”, “predstavništvo strane fondacije”.

³⁵ As defined in the Article 2 of the Law on Social Protection (Sluzbeni glasnik RS, 24/2011), “social protection” refers to organized social activity of general public interest that is to assist and strengthen individuals and families in their independent and productive living in society, as also to prevent and remove consequences of their social exclusion.

³⁶ Including, when social protection institutions established by the Republic of Serbia are concerned, entities defined in the Decree on the network of social protection institutions (Sluzbeni glasnik RS, 16/2012), with the following statuses: “Centar za socijalni rad”, “Zavod za socijalnu zaštitu”, “Ustanova za decu i mlade”, “Ustanova za starije i odrasle”, “Centar za porodicni smestaj i usvojenje”, as well as local centres for provision of social protection services, established by local self-government, in line with their local Ordinances on the rights of residents in social protection domain, or by the autonomous province, in line with the Statute of Vojvodina, and, in line with Article 17 of the Law on Social Protection, other public, non-profit institution that do not strictly belong to the social protection sector, but nevertheless operate, inter alia, as providers of social protection activities or services (“Pružalac usluga socijalne zaštite”) – where the eligibility, will be determined, either through the delivery of the copy of the issued licence for the social service provision, or through the analysis of the applicants’ classification codes (“klasifikacija delatnosti”) listed in their statutes (where activities 84.3, 84.12, 87 and 88 cover social protection). Only in cases applications are sent to Lot 1 Deinstitutionalisation sub-priority, Special Psychiatric Hospitals are also eligible.

³⁷ As defined in Serbian Law on Social Protection (Sluzbeni glasnik RS, 24/2011) in particular in Articles 14 to 19.

- **Local authority** including cities, towns, municipalities or city municipalities of the Republic of Serbia.

(1.b) In order to be eligible for a grant, under **LOT 2**, the applicant must:

- be a specific type of organisation such as:
 - **Non-governmental organisations**, including grassroots associations, cultural and artistic clubs or groups, associations established to promote and advance specific professions, associations of employers, associations of people with disabilities, associations providing social inclusion programmes and services, etc., meeting the following condition (as evidenced by their Statutes):
 - They are established to pursue an explicit and primary social aim³⁸;
 - They are engaged in social economy by providing services or goods to vulnerable, marginalised, disadvantaged or excluded persons³⁹, and/or by providing goods or services through a method of production/delivery, which embodies their social objective⁴⁰,
 - **Cooperatives**, , serving general or collective interests of wider social significance, that meet the following criteria (as evidenced by their Statutes):
 - They are engaged in social economy by providing services or goods to vulnerable, marginalised, disadvantaged or excluded persons⁴¹, and/or by providing goods or services through a method of production, which embodies its social objective;
 - They are established to pursue an explicit and primary social aim⁴²;
 - They prioritise the social aim over profit making;
 - **Private sector operators**, including sheltered workshops and economic operators whose main aim is the social and professional integration of disabled or disadvantaged persons (provided that at least 30 % of the employees of those workshops, economic operators or programmes are disabled or disadvantaged workers), that meet the following conditions (as evidenced by their Statutes):
 - They must pursue an explicit and primary social aim;

³⁸ Which may include economic empowerment, social inclusion, environmental protection, delivery of social services

³⁹ Including but not limited to: people with disabilities, IDPs and refugees, victims of violence, unemployed Roma, former convicts, former addicts, long term unemployed, elderly redundant workers, low skilled people, welfare claimants

⁴⁰ If registered in Serbia, these are organizations who have registered their economic activity (upis privredne delatnosti), which is to be determined through the analysis of registration documents and statutes.

⁴¹ Including but not limited to: people with disabilities, IDPs and refugees, victims of violence, unemployed Roma, former convicts, former addicts, long term unemployed, elderly redundant workers, low skilled people, welfare claimants.

⁴² Which may include economic empowerment, social inclusion, environmental protection, delivery of social services

- They must have limits on distribution of profits and/or assets in which they prioritise social aim over profit making;
- They are able to demonstrate their independence i.e. possession of the organisational autonomy from the State and other traditional for profit organisations; (with the exception of enterprises for the employment of people with disabilities who are owned by the state) and
- They are able to demonstrate their inclusive governance (characterised by participatory and/ or democratic decision-making processes).

(1.c) In order to be eligible for a grant, under **Lot 3**, the applicant must:

- be a specific type of organisation such as:
 - **Non-governmental organisation**
 - **Local authority**, meeting the following criteria:
 - Local authority has established or is able to demonstrate its willingness to establish a **local Inter-Sectoral Commission**, a body tasked to set up the policy measures and propose initiatives that aim at improving the enrolment and at preventing the dropout from the education system.
 - **Education and science institutions**, such as secondary schools, universities, adult education facilities, research centres, established in Serbia.

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

In: Part A, section 3 of the grant application form ('declaration by the lead applicant'), the lead applicant must declare that the lead applicant himself, the co-applicant(s) and affiliated entity(ies) are not in any of these situations.

The lead applicant may act individually or with co-applicant(s). In cases where the applicant is **not established in Serbia**, co-applicant(s) are obligatory under the action, as specified hereafter: In case the applicant is **not established in Serbia**, it must act with at least one co-applicant that is established in Serbia.

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

Co-applicant(s)

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

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

In addition to the categories referred to in section 2.1.1, the following are however also eligible:

In **LOT 1**:

- **Independent state bodies** working in the sectors relevant for this Call.

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- **Public health institutions⁴³**, such as primary health care facilities (Dom zdravlja), hospitals, etc.
- **Education and science institutions**, such as secondary schools, universities, adult education facilities, research centres.
- **Public sector operators** tasked with a role in providing employment, rehabilitation or work to people excluded from the labour market.
- **Public cultural institutions**, such as museums, culture centres, libraries, theatres.
- **Public companies** such as public utilities companies.
- **Non-governmental organisations** (not listing social protection classification codes in their statutes).

In LOT 2:

- **Education and science institutions**, such as secondary schools, universities, adult education facilities, research centres, established in Serbia.
- **Public cultural institutions**, such as museums, culture centres, libraries, theatres, established in Serbia.
- **Non-governmental organisations** not meeting the specific criteria defined for NGOs in 2.1.1 (1.b) (not engaged directly in social economy, for example).
- **Trade unions**
- **Chambers of Commerce**
- **Local authorities**
- **Public sector operators** at central, provincial or local level, or body governed by public law, meeting the following condition:
 - They are tasked with a role in social entrepreneurship policy setting or delivering support to social enterprises, or providing employment, rehabilitation or work to people excluded from the labour market.

In LOT 3:

- **National Minority Councils**
- **Independent state bodies** working in the sectors (antidiscrimination, equality, human and minority rights) relevant for this Call.

Public authority or a public body at national, provincial or local level having a role in **social protection⁴⁴ and health** policy setting, administration or delivery of **social or health services**. Co-applicants must sign the mandate in Part B section 4 of the grant application form.

⁴³ As defined in article 46 of Serbian Law on Health Care and as further detailed in the Decree on the Network of Health and Care Institutions, including those with the following statuses: Dom Zdravlja, Bolnica, Zavod, Zavod za javno zdravlje, Klinika, Institut, Klinicko bolnicki centar, Klinicki centar, Zdravstveni centar.

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

2.1.2. *Affiliated entities*

Affiliated entity(ies)

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

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

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

This structural link encompasses mainly two notions:

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

Entities affiliated to an applicant may hence be:

- Entities directly or indirectly controlled by the applicant (daughter companies or first-tier subsidiaries). They may also be entities controlled by an entity controlled by the applicant (granddaughter companies or second-tier subsidiaries) and the same applies to further tiers of control;
 - Entities directly or indirectly controlling the applicant (parent companies). Likewise, they may be entities controlling an entity controlling the applicant;
 - Entities under the same direct or indirect control as the applicant (sister companies).
- (ii) Membership, i.e. the applicant is legally defined as a e.g. network, federation, association in which the proposed affiliated entities also participate or the applicant participates in the same entity (e.g. network, federation, association) as the proposed affiliated entities.

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

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

What is not an affiliated entity?

The following are not considered entities affiliated to an applicant:

⁴⁴ As defined in the Article 2 of the Law on Social Protection (Sluzbeni glasnik RS, 24/2011), “social protection” refers to organized social activity of general public interest that is to assist and strengthen individuals and families in their independent and productive living in society, as also to prevent and remove consequences of their social exclusion.

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

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

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

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

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

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

2.1.3. Associates and Contractors

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

- Associates

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

- Contractors

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

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

Definition:

An action is composed of a set of activities.

Duration

The initial planned duration of an action may not be lower than 12 months nor exceed 24 months.

Sectors or themes

All actions must propose and plan to implement solutions that aim at **alleviating social exclusion**, i.e the situation, experienced by individuals, social units, groups and/or layers, of being unable to enjoy levels of participation that most of society takes for granted, which encompasses income poverty, unemployment, hampered access to education, information, childcare and/or health facilities, inadequate living conditions, as well as lack of social and cultural participation, and which takes place in labour market, social networks, information society, housing, health and/or education.

Location

Actions must take place in the following country: Republic of Serbia.

Types of action

LOT 1

The **purpose** of this Lot is to support development of **community based social services**, in Serbia.

The **target group** of this Lot are the people, social units, and groups facing social exclusion in Serbia. This includes groups such as long-term unemployed people, people with disabilities, Roma, older people, lone parents, ex-prisoners, people facing income poverty, including at-work poverty, survivors, children outside of the education system, at risk of early school leaving or at risk of family separation, homeless people, or other groups who are excluded from the labour market, social networks, information society, housing, health and/or education.

This Lot included one specific sub-priority: **“Deinstitutionalisation”**, for which specific funds are ‘reserved’.

All projects not exclusively tackling deinstitutionalisation of **adults with mental or intellectual disability who are currently in residential care** (reserved for “Deinstitutionalisation” sub priority), but proposing to work with **other disadvantaged groups** (or implementing services for adults with mental or intellectual disabilities, but *not* in the area of deinstitutionalisation) are to be referred to as **“Other”**.

If the ‘reserved’ funds indicated for the sub-priority cannot be used, due to insufficient quality of the proposals received, the Contracting Authority reserves the right to reallocate the remaining funds to projects submitted to non-sub prioritised **“Other”** segment of the Lot.

Eligible actions under this lot:

- Fall within the **social sector** and aim at supporting **social inclusion** of vulnerable and disadvantaged groups in **community-based settings**; through establishment, improvement or sustainment of community based social services and inter-sectoral cooperation.
- Include **direct provision of assistance** to beneficiaries of the Call, in the form of a community based service. Projects where main activity is research, policy analysis or development of the training curricula for practitioners or administration will not be supported under this Call.
- Design delivery so as to help people **escape poverty**.
- Ensure that the funded service is designed to be **equally available and accessible**, integrating the principle of equal treatment in the delivery of the service.
- Prioritise beneficiaries **facing multiple exclusion** in the execution of the project (for example, in case of elderly, strive to assist people living in distant and isolated areas, frail, with no social network, no income or pension, at clear risk of institutionalisation; prior to others).
- Strive to help the people to live an **independent life in community**. In line with **Common European guidelines on the transition from institutional to community-based care** services where beneficiaries are isolated from the broader community and/or compelled to live together; where they do not have sufficient control over their lives and over decisions which affect them and

where the requirements of the organization itself tend to take precedence over the beneficiaries' individual needs will not be funded under this Call.

- Include service delivery that is based only on **voluntary and informed decision** of the beneficiary to accept the service. Projects proposing methods of service delivery where the decision to refuse a service leads to a specific sanction and where beneficiaries are not encouraged or supported to accept a service, but are forced to accept one, will not be supported. In cases of legal deprivation of beneficiaries, placement in residential care, custody or minor age, consent from parents, legal guardians or custodians will need to be obtained, but also the will of such beneficiary to accept a service (or not) will need to be heard and respected.
- Demonstrate the **commitment of the relevant decision-making** institution (Ministry, Provincial Government, City Secretariat, Local authority) to ensure the sustainability of the proposed service following the end of the project, including the funding for such service (regardless of whether such decision making body is an applicant to the action or not).

Eligible actions may:

- Include delivery of community based social services for which Serbian national minimum standards are already set or
 - In this case, the service proposed to funding will need to be **in line with the required standards**, as defined in the Rulebook on conditions and standards for social protection services delivery - "Pravilnik o bližim uslovima i standardima za pružanje usluga socijalne zaštite"⁴⁵, and service provider licenced.
- Include delivery of **innovative and cross-sectorial social services** for which standards still have not been developed.
 - In this case the project will need to demonstrate that the proposed service will allow **higher quality response** to the needs of the target population, and also achieve **cost savings** (or at least not demand increased needs for future funding), compared to the current practices in place.
 - In the case of "innovation" services, service innovation will need to be clearly explained (what it is, how it distinguishes itself from current practices, what tangible benefits it provides, etc.).
 - In case of "cross sectoral" services, such service will need to be based on the establishment of protocols of cooperation involving the applicable sectors (health care, social care, education, employment, etc.), and the project will be asked to either present such (signed) protocols or demonstrate viable plans to develop them, prior to the start of the action.

In the **Common European guidelines on the transition from institutional to community-based care**, the term 'community-based services', or 'community-based care', refers to the spectrum of services that enable individuals to live in the community and, in the case of children, to grow up in a family environment as opposed to an institution. It encompasses mainstream services, such as housing, healthcare, education, employment, culture and leisure, which should be accessible to everyone regardless of the nature of their impairment or the required level of support. It also refers to specialised services, such as personal assistance

⁴⁵ Exceptionally, in case the applicant considers that specific deviations from the currently set standards are necessary, and plans to conduct the service(s) with these deviations, this will need to be clearly explained and justified in the project and will be subject of case-by-case assessment.

for persons with disabilities, respite care and others. In addition, the term includes family-based and family-like care for children, including substitute family care and preventative measures for early intervention and family support.

Hence, services, such as family support services, foster care, respite care, personal assistance, rehabilitation, community-based residential support, independent living schemes (supported living), supported employment and employment related consultations, home care and home nursing, crisis intervention and emergency services (of non-statutory nature), self-help groups, drop in centres and day care can all be proposed. This extends to specific services such as Alzheimer's day Treatment, senior centres, attendants' service for people with mental health problems, lone parents or similar, day care, shelters and safe houses and also to provision of assistive devices, home delivered meals, home modification, etc.

Legal aid, outreach, implementation of communication strategies and community work, training of staff and administration, training of care providers may also be a segment of the proposed action, as well as advocacy for legislative change, or change of institutional practices, independent monitoring, and promotion of regional, European or global best issue-related practices, may be a part of the project, but not a central one.

Applicants may decide to plan implementation of **several above-mentioned services**, or choose to implement less (**only one**, for example), depending on the needs.

Projects tackling **child protection**, in particular protection of children without parental care, including support to care leavers, gatekeeping services, and projects supporting the transformation of residential institutions for children are encouraged through this Call.

"Deinstitutionalisation" sub-priority

This sub-priority aims at building up on the stream of action achieved through the **"Support for de-institutionalisation and social inclusion of persons with mental disability and mental illness"** Call for Proposals (EuropeAid/134790/L/ACT/RS). This, however, does not mean that any priority will be given to the grant beneficiaries of this particular Call.

The actions proposed under this sub-priority are **exclusively meant** to establish and/or improve services that enhance the process of **scaling down of the current residential care institutions in Serbia** ⁴⁶ (both residential facilities within the social protection sector that accommodate people with mental or intellectual disabilities and special psychiatric hospitals) and **transfer of current residents to newly designed services (improved or extended alike) operating at the community level**.

The target group of this sub-priority are exclusively adults (in Serbian *"odrasla punoletna lica"*) with mental disorders and intellectual disabilities, who are placed in residential care.

The actions within this sub-priority:

⁴⁶ Including residential institutions belonging to the social protection system: Dom za smeštaj odraslih lica "Gvozden Jovančičević", Veliki Popovac; Zavod za smeštaj odraslih lica "Male pčelice" Kragujevac; Dom za smeštaj odraslih lica "Kulina", Kulina; Dom za smeštaj odraslih lica "Tutin", Tutin; Dom za smeštaj odraslih lica "Trbunje", Trbunje; Centar za socijalni rad Paraćin, domsko odeljenje "Izvor", Paraćin; Dom za smeštaj odraslih lica "Jabuka", Pančevo; Dom za smeštaj odraslih lica "Otthon", Stara Moravica; Dom "1.Oktobar", Stari Lec; Plandište; Dom "Čurug", Čurug; Dom "Vasilije Ostroški", Novi Bečej; Gerontološki centar "Jelenac" sa radnom jedinicom za smeštaj duševno obolelih lica u Tešici, Aleksinac; Centar za socijalni rad "Novi Kneževac", domsko odeljenje "Novi Kneževac" and also special psychiatric hospitals "Dr.Laza Lazarević", Beograd; "Dr.Slavoljub Bakalović", Vršac; "Sveti Vračevi", Novi Kneževac; Specijalna bolnica za psihijatrijske bolesti "Kovin", Kovin Specijalna bolnica za psihijatrijske bolesti "Gornja Toponica", Niš.

- Include in their proposals, delivery of **services** that provide **home-based** or **community-based** assistance, on **longer, medium or short term basis**, and enable people to leave residential institutions and live in the community, with appropriate support.
- All community based services supported shall include direct provision of assistance to beneficiaries primarily, however **the action must be extended** to working with people, social units, communities or public bodies affected legally, administratively, socially, at community level or personally with the admission, placement and residential care leaving of the primary beneficiaries (i.e. family members, guardians of the beneficiaries, custodians, local authorities, CSWs, courts in cases of legal deprivation, neighbours in case of transfer to community living, etc.)

Services under this sub-priority may be provided within the **health sector, social protection sector, employment** or can have the **combined, integrated nature**.

Actions proposed under this LOT shall contribute to the fulfillment of the specific objective of this Call, measured by the following indicators:

Number of community based social services established/sustained/improved.

LOT 2

The **purpose** of this Lot is to support development of **social business initiatives and social entrepreneurship** in Serbia.

Actions proposed under this Lot:

- Pursue an explicit and primary **social aim** (as evidenced by the Statutes).
- Include **the activities of social economy**, that are carried out by **'de facto' social enterprise(s)**, which is either provision of services or goods to vulnerable, marginalised, disadvantaged or excluded persons⁴⁷, and/or providing of goods or services through a method of production/delivery, which embodies wider social objectives⁴⁸.

Policy analysis of social entrepreneurship in Serbia, exchange of good practice, schools of social economy, promotion of the concept of social entrepreneurship, business planning may be a part of the project, but this Lot does not prioritise it, it is **meant to support actual social businesses**.

The actions proposed under this Lot may propose (list not exhaustive):

- Support to functioning of 'de facto' social enterprises, who deal with provision of community based social services⁴⁹ and aim at creating **new opportunities and jobs in the 'white sector'** (health and social care). This may include activities that aim at ensuring adherence to **current standards in service provision** (space reconstruction, training and other actions that enable fulfillment of standards for the obtainment of a license to provide services) but also management consultancy and

⁴⁷ Including but not limited to: people with disabilities, IDPs and refugees, victims of violence, unemployed Roma, former convicts, former addicts, long term unemployed, elderly redundant workers, low skilled people, welfare claimants

⁴⁸ If registered in Serbia, these are organizations who have registered their economic activity in accordance with Article 37 of the Law on Associations of Citizens (upis privredne delatnosti), which is to be determined through the analysis of registration documents and statutes.

⁴⁹ For example, long term care for the elderly and for people with disabilities; early education and childcare; employment and training services; social housing; social integration of disadvantaged such as ex-offenders, migrants, drug addicts, etc.; and health care and medical services

support, support in setting up of the business processes, client management, or support in the design of the new relevant programs, alongside service delivery.

- Support to enterprises for the employment of people with disabilities and vocational rehabilitation or to other economic operators whose main aim is the social and professional integration of disabled or disadvantaged persons, in achieving **business productivity, enhancing management of business processes, increasing sales and improving corporate marketing**, through increased product sales and distribution, better workplace accessibility, in order to increase overall production and profits, enable new jobs or stabilize present.
- Support may also include **introduction of new work integration or vocational rehabilitation programs** or implementation of innovative uses of assistive technology and it is extended to 'protected workshops' or 'de facto' 'work centers' which provide 'work' i.e. meaningful activity and occupation outside of the labor market (to a larger extend than 'jobs') to its beneficiaries.
- Support to associations, foundations, cooperatives or private sector actors who act as 'de facto' social **enterprises to strengthen their commercial activities**; by defining products or services that are market-relevant and sellable, through continuous building of management, business or other entrepreneurial capacities, support in business process managements, IT governance, risk management, marketing and finance, business planning, growth and scaling, facilitation of the access to funding for start-up, development and expansion, alongside actual realization of the social businesses, all in order to make social businesses reliable, competitive and sustainable.
- Implementation of **innovative ways** of meeting collective needs in areas such as land-based industries, agriculture, forestry, energy (biomass use, for example) environment, social innovation, culture, sports and recreation or tourism may also be proposed. Activities in this regard may include analysis of market demand, communication with the retailers, service commissioners or buyers, product or service designs and redesigns, definition of target markets, analysis of the customer bases, competition analyses, pricing support, support in legal issues or accounting, provision of co-working space, product development, prototyping, service development, support in sales management and acquisition, launch of online sales, support in export of goods or services, enrichment of the current service offers, etc.
- Implementation of **formally set local policy frameworks** that encourage and support the development of social enterprises and/or social entrepreneurship may also be proposed.
- Non-financial re-granting may also be proposed (purchase and delivery of equipment to individuals, third parties who act as 'de facto' social enterprises) etc.

Actions proposed under this LOT shall contribute to the fulfillment of the specific objective of this Call, measured by the following indicators:

Number of social business initiatives launched.

LOT 3

The purpose of this Lot is to improve the quality of education through supporting **inter-sectoral** measures that **decrease early school leaving**, prevent **drop-out** from schools and **increase educational attainment** of students, and are designed and implemented at local level.

The target groups of the Lot are primarily, children and adolescents **out of school, drop outs, early school leavers**, children with high rates of **absenteeism** and children living in substandard housing conditions, and **students facing challenges** in coping with educational attainment, and also their families, guardians or carers.

Actions under this Lot:

- Work to **increase and stabilize** the presence of children at risk⁵⁰, in the education system, with particular emphasis on **re-inclusion of children who left the system** (or never entered), reduction of children **drop-out rates** and **prevention of early schools leaving**.
- Take place in minimum 30% of educational institutions at a given territory of the local self-government that is covered through a proposal.
- **Include activities that lead to inter sectoral cooperation mechanisms** in re-inclusion of children who left the system (or never entered), reduction of children drop-out rates and prevention of early schools leaving, which work under the auspices of local authorities, are formally established and capacitated to implement meaningful measures, in line with local needs (e.g. through appointment of special coordinators for dropout prevention), and at minimum cover the sectors of education, health and social protection).

Actions may propose (list not exhaustive):

- **Concrete support** to the children's families, including meals, snacks, books, school supplies, equipment, extracurricular activities, transportation, hosting services in school dormitories, including individual work with children, parents and local communities or outreach work to reach most marginalized families
- Provision of support to **educators** (promoting the role and building capacities of the inclusion, training in conflict resolution skills, classroom management techniques, assistance in fostering positive classroom and school climate, promoting resilience and coping with multiculturalism or), violence prevention, dropout prevention or similar **teams in schools**, (by developing school initiatives and manuals, implementing actions that decrease teasing and bullying) **and education facilities** (providing material assistance to schools, purchase of assistive technology, improving learning conditions at schools), which may include appointment of special coordinators tasked with the prevention of the drop out amongst current staff and practitioners.
- Setting up of the **early warning systems** for children at risk of dropping out, creation of measures and school initiatives that alleviate identified risks in line with individual plans for pupils and plans on the level of the institution (in Serbian 'individualni plan podrške za decu i mlade iz osetljivih grupa' or 'plan podrške na nivou ustanove').
- Innovative use of **existing resources** (such as remedial classes ('dopunska nastava') or school libraries) to help support children at risk.
- Design and implementation of school initiatives that aim at establishing cooperation with peers, community and parents, improving learning conditions at schools within the framework of drop-out prevention. This may include inter-professional and inter-sectoral support to **parents** to implement appropriate routines, monitor and track children's attendance, resolve transport issues, engaging the necessary outside supports to benefit the child.
- Include delivery of additional support to students, as defined in the Rulebook on Additional Educational, Medical and Social Support to Children and Pupils ("Pravilnik o dodatnoj obrazovnoj, zdravstvenoj i socijalnoj podršci detetu i učeniku").
- Implementation of meaningful cooperation between health, education, social protection and education sectors, at local level, extended to parents, youth associations, civil society, which encourages public officials to think of the dropout problem as central to **community health**.

⁵⁰ Children from jobless households, children of parents who are 'welfare claimants', young girls, Roma children, overgrown elementary school pupils, unregistered children, children at risk of making bad choices (rural youth attending higher classes away from home towns), children with disabilities etc.

School-Community collaboration, early interventions, family engagement, early childhood education, early literacy development, mentoring/tutoring, alternative schooling, after-school Opportunities, individualized instruction are only some types of programmes that may be developed, in local partnership, under this Lot.

Actions proposed under this LOT shall contribute to the fulfillment of the specific objective of this Call, measured by the following indicators:

- Number of inter-sectoral measures, which decrease early school leaving, prevent drop-out from schools and increase educational attainment of students, and are designed and implemented at local level.

The following types of action are ineligible, in all LOTs:

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences and congresses;
- actions concerned only or mainly with individual scholarships for studies or training courses;
- Actions aimed at supporting political activities or political parties;
- Actions confined to charitable donations;
- Actions related to:
 - the tobacco industry (CAEN code 16);
 - production of alcohol distilled beverages (CAEN code 1591);
 - Arms and munitions (CAEN code 296).
- Actions not having a tangible benefit to the target group of the Call and actions not including direct work with the representatives of these groups,
- Actions not taking into account the human rights and dignity of users, their quality of life and health and not promoting autonomy and social inclusion of users,
- Actions diminishing citizen's security, disabling freedom of expression, and acting against the will of beneficiaries and of their legal representatives and guardians.

Types of activity

All Lots must include activities that offer concrete and tangible assistance to individuals faced with exclusion.

The actions proposed under **LOT 1** shall include as a minimum the following activity:

- Delivery of community based care for vulnerable and disadvantaged groups
 - o In 'Deinstitutionalisation' sub priority this is a service that leads to community or home living of the current residents of residential, institutional care.

The actions proposed under **LOT 2** shall include as a minimum the following activity:

- Implementation of social business initiative, that pursues specific social goal

The actions proposed under **LOT 3** shall include as a minimum the following activities:

- Establishment of inter sectoral cooperation in the area of early school leaving and dropout prevention at local level, under the auspices of local authority

- Direct support to children of school age, or to their families, aimed at decreasing the risk of dropping out of the education system or at facilitating return or (re) entering into the education system

The actions proposed under any lot may additionally include any of the following type of activities:

- Advocacy actions and legal aid,
- Monitoring of human rights (patients, service users, clients, welfare claimants in 'activation') and of public policies implementation, or child rights.
- Implementation of communication strategies, awareness raising and campaigning,
- Needs analysis, carrying out research and empirical studies,
- Creating and promoting products of arts and culture,
- Drafting legislation, bylaws and other regulatory documentation,
- Education, training and capacity building,
- Exchanging know-how and applying best practices,
- Introducing of innovative models and approaches,
- Organisation of public events, performances and competitions, other community related work,
- Promoting citizens participation and exercising public control,
- Refurbishment, reconstruction or other enhancement of "social infrastructure"
- Creative use of media and social media channels (e.g. Facebook, twitter, G+, ask.com, Instagram, etc.), public meetings, exhibitions, interactive workshops, discussion forums etc.;
- Promoting citizens participation, civic dialogue and civil society involvement with particular regard to exercising public oversight over the quality of delivered services;
- Networking with entrepreneurs' or business associations with a view to explain and promote corporate social responsibility, and to enhance business of social enterprises;

This list is not an exhaustive list and other activities in the context of the general purpose of the Programme, some of which are already depicted in Type of Actions section, can also be planned.

Purchase of buildings and houses (when justified by the nature of the operation), equipment and vehicles, space rehabilitation, infrastructural work and development of technical documentation for these purposes may be supported only if aimed at community based service development.

Financial support to third parties⁵¹

Applicants may not propose financial support to third parties.

Visibility

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

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

Number of applications and grants per applicants / affiliated entities

The lead applicant may not submit more than 1 application(s) per lot under this call for proposals.

The lead applicant may not be awarded more than 1 grant(s) per lot under this call for proposals.

⁵¹ These third parties are neither affiliated entity(ies) nor associates nor contractors.

The lead applicant may be a co-applicant or an affiliated entity in another application of the same lot at the same time.

A co-applicant/affiliated entity may be the co-applicant or affiliated entity in more than 1 application(s) per lot under this call for proposals.

A co-applicant/affiliated entity may be awarded more than 1 grant(s) per lot under this call for proposals.

2.1.5. Eligibility of costs: costs that can be included

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

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

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

Simplified cost options may take the form of:

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

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

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

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

- describe the information and methods used to establish the amounts of unit costs, lump sums and/or flat-rates, to which costs they refer, etc.
- clearly explain the formulas for calculation of the final eligible amount⁵²

⁵² Examples:- for staff costs: number of hours or days of work * hourly or daily rate pre-set according to the category of personnel concerned;- for travel expenses: distance in km * pre-set cost of transport per km; number of days * daily allowance pre-set according to the country;- for specific costs arising from the organization of an event: number of participants at the event * pre-set total cost per participant etc.

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

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

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

NOTE: For the purpose of this call, the Contracting Authority authorises the use of simplified costs options only to the following Budget subheadings: 1.1. and 1.2. Salaries; and 2.2 Local transportation.

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

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

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

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

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

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

The method of allocation has to be:

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

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

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

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

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

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

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

Eligible direct costs

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

Salary costs of the personnel of national administrations (local government employees, employees working in schools, health care centres, centres for social work, residential institutions etc.) may be eligible to the extent that they relate to the cost of activities which the relevant public authority would not carry out if the action were not undertaken.

Contingency reserve

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

Eligible indirect costs

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

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

Contributions in kind

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

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

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

Ineligible costs

The following costs are not eligible:

- debts and debt service charges (interest);
- provisions for losses or potential future liabilities;
- costs declared by the beneficiary(ies) and financed by another action or work programme receiving a European Union (including through EDF) grant;
- purchases of land or buildings, except where necessary for the direct implementation of the action, in which case ownership must be transferred in accordance with Article 7.5 of the General Conditions of the standard grant contract, at the latest at the end of the action;
- currency exchange losses;
- credit to third parties.

Additionally, in line with the provisions of Article 34 (3) of the 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) the following expenditure are not eligible for funding:

- taxes, including value added taxes;
- customs and import duties, or any other charges;
- purchase, rent or leasing of land and existing buildings;
- fines, financial penalties and expenses of litigation;
- operating costs, except where otherwise provided for under framework agreements with international organisations;
- second hand equipment;
- bank charges, costs of guarantees and similar charges;
- conversion costs, charges and exchange losses associated with any of the component specific euro accounts, as well as other purely financial expenses;
- contributions in kind.

The grant may not produce a profit for the Beneficiary(ies). Profit is defined as a surplus of the receipts over the eligible costs approved by the Contracting Authority when the request for payment of the balance is made. Where the final amount of the grant determined in accordance with the Contract would result in a profit, it shall be reduced by the percentage of the profit corresponding to the final European Union contribution to the eligible costs actually incurred (this is further detailed in General conditions, Article 17).

2.2. HOW TO APPLY AND THE PROCEDURES TO FOLLOW

Information in PADOR will not be drawn upon in the present call.

2.2.1. Concept note content

Applications must be submitted in accordance with the concept note instructions in the grant application form annexed to these guidelines (Annex A).

Applicants must apply in English.

Please note that:

1. In the concept note, lead applicants must only provide an estimate of the requested EU contribution as well as an indicative percentage of that contribution in relation to the eligible costs of the action. A detailed budget is to be submitted only by the lead applicants invited to submit a full application in the second phase.
2. The elements outlined in the concept note may not be modified in the full application. The EU contribution may not vary from the initial estimate by more than 20%. Lead applicants are free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in these guidelines in section 1.3. The lead applicant may replace a co-applicant or an affiliated entity only in duly justified cases (e.g. bankruptcy of initial co-applicant or affiliated entity). In this case the new co-applicant/affiliated entity must be of a similar nature as the initial one. The lead applicant may adjust the duration of the action if unforeseen circumstances outside the scope of the applicants have taken place following the submission of the concept note and require such adaptation (risk of action not being carried out). In such cases the duration must remain within the limits imposed by the guidelines for applicants. An explanation/justification of the relevant replacement/adjustment shall be included in an accompanying letter or email.

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

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

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

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

Hand-written concept notes will not be accepted.

2.2.2. *Where and how to send concept notes*

The concept note together with its relating checklist⁵³ and declaration by the lead applicant (to be found in **Part A sections 2 and 3** of the grant application form) **must be submitted in one original and two (2) copies** in A4 size, each bound.

An electronic version of the concept note must also be submitted. A CD-Rom or a USB stick with the concept note in electronic format will be included, along with the paper version, in a sealed envelope as described below. The electronic file must contain **exactly the same** application as the paper version enclosed.

Where lead applicants send several different concept notes (if allowed to do so by the guidelines of the call), each one must be sent separately.

The envelope must bear the **reference number and the title of the call for proposals**, together with the LOT number and title, the full name and address of the lead applicant, and the words 'Not to be opened before the opening session' and "Ne otvarati pre zvanične sednice za otvaranje predloga projekata".

Concept notes 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) to the address below:

Postal address:

Ministry of Finance
Department for Contracting and Financing of EU Funded Programmes (CFCU)
Division for Tender Evaluation and Contracting
3-5, Sremska Str, VII floor/office 701,
11000 Belgrade, Republic of Serbia

Address for hand delivery or by private courier service:

Ministry of Finance
Department for Contracting and Financing of EU Funded Programmes (CFCU)
Division for Tender Evaluation and Contracting
3-5, Sremska Str, VII floor/office 701,
11000 Belgrade, Republic of Serbia

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

Lead applicants must verify that their concept note is complete using the checklist for concept note (Part A section 2 of the grant application form). Incomplete concept notes may be rejected.

⁵³ Please note that the concept note / full application should not be rejected only because the lead applicant did not submit the checklist or the information in the checklist is not correct.

VK

2.2.3. Deadline for submission of concept notes

The deadline for the submission of concept notes is 15 July 2016 as evidenced by the date of dispatch, the postmark or the date of the deposit slip. In the case of hand-deliveries, the deadline for receipt is at 15.00 hours local time as evidenced by the signed and dated receipt. Any concept note submitted after the deadline will be rejected.

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

2.2.4. Further information about concept notes

An information session on this call for proposals will be held at least 21 day before the deadline for submission of Concept Notes. The date, venue and the schedule of the information sessions on this call for proposals will be published at a later date at the following websites www.cfcu.gov.rs and <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>.

Questions may be sent by e-mail no later than 21 days before the deadline for the submission of concept notes to the address(es) below, indicating clearly the reference of the call for proposals:

E-mail address: cfcu.questions@mfin.gov.rs

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

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

To ensure equal treatment of applicants, the contracting authority cannot give a prior opinion on the eligibility of lead applicants, co-applicants, affiliated entity(ies), an action or specific activities.

No individual replies will be given to questions. All questions and answers as well as other important notices to applicants during the course of the evaluation procedure will be published on the EuropeAid website <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>, www.cfcu.gov.rs, as the need arises. It is therefore advisable to consult the abovementioned website regularly in order to be informed of the questions and answers published.

2.2.5. Full applications

Lead applicants invited to submit a full application following pre-selection of their concept note must do so using Part B of the grant application form annexed to these guidelines (Annex A). Lead applicants should then keep strictly to the format of the grant application form and fill in the paragraphs and pages in order.

The elements outlined in the concept note cannot be modified by the lead applicant in the full application. The EU contribution may not vary from the initial estimate by more than 20 %, although lead applicants are free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in these guidelines under section 1.3. The lead applicant may replace a co-applicant or an affiliated entity only in duly justified cases (e.g. bankruptcy of initial co-applicant or affiliated entity). In this case the new co-applicant/affiliated entity must be of a similar nature as the initial one. The lead applicant may adjust the duration of the action if unforeseen circumstances outside the scope of the applicants have taken place following the submission of the concept note and require such adaptation (risk of action not being carried out). In such cases the duration must remain within the limits imposed by the guidelines for applicants. An explanation/justification of the relevant replacement/adjustment shall be included in an accompanying letter or email.

Lead applicants must submit their full applications in the same language as their concept notes.

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

Any error related to the points listed in the checklist (Part B, section 7 of the grant application form) or any major inconsistency in the full application (e.g. if the amounts in the budget worksheets are inconsistent) may lead to the rejection of the application.

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

Hand-written applications will not be accepted.

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

2.2.6. *Where and how to send full applications*

Full applications (i.e. the full application form, the budget, the logical framework and the declaration by the lead applicant) 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) to the address below:

Postal address:

Ministry of Finance
Department for Contracting and Financing of EU Funded Programmes (CFCU)
Division for Tender Evaluation and Contracting
3-5, Sremska Str, VII floor/office 701,
11000 Belgrade, Republic of Serbia

Address for hand delivery and by private courier service:

Ministry of Finance
Department for Contracting and Financing of EU Funded Programmes (CFCU)
Division for Tender Evaluation and Contracting
3-5, Sremska Str, VII floor/office 701,
11000 Belgrade, Republic of Serbia

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

Applications must be submitted in one original and two (2) copies in A4 size, each bound. The full application form, budget and logical framework must also be supplied in electronic format (CD-Rom or USB stick in a separate and single file (i.e. the full application must not be split into several different files). The electronic file must contain **exactly the same** application as the paper version.

The checklist (section 7 of Part B of the grant application form) and the declaration by the lead applicant (section 8 of Part B of the grant application form) must be stapled separately and enclosed in the envelope

Where lead applicants send several different applications (if allowed to do so by the guidelines of the call), each one must be sent separately.

The envelope must bear the **reference number and the title of the call for proposals**, together with the number and title of the lot, the full name and address of the lead applicant, and the words 'Not to be opened before the opening session' and "Ne otvarati pre zvanične sednice za otvaranje predloga projekata".

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

2.2.7. *Deadline for submission of full applications*

The deadline for the submission of full applications will be indicated in the letter sent to the lead applicants whose application has been pre-selected.

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

2.2.8. *Further information about full applications*

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

E-mail address: cfcu.questions@mfin.gov.rs

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

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

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

No individual replies will be given to questions. All questions and answers as well as other important notices to applicants during the course of the evaluation procedure, will be published on the EuropeAid website <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>, www.cfcu.gov.rs, as the need arises. It is therefore advisable to consult the abovementioned website regularly in order to be informed of the questions and answers published.

2.3. EVALUATION AND SELECTION OF APPLICATIONS

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

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

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

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

- If the deadline has been met. Otherwise, the application will be automatically rejected.
- If the: concept note satisfies all the criteria specified in the checklist in section 2 of Part A of the grant application form. This includes also an assessment of the eligibility of the action. If any of the requested information is missing or is incorrect, the application may be rejected on that sole basis and the application will not be evaluated further.

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

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

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

Scores

1. Relevance of the action	Sub-score	30
1.1 How relevant is the proposal to the objectives and priorities of the call for proposals?*	5x2**	
1.2 How relevant to the particular needs and constraints of the target country(ies) or region(s) is the proposal (including synergy with other EU initiatives and avoidance of duplication)?	5x2**	
1.3 How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs been clearly defined and does the proposal address them appropriately?	5	
1.4 Does the proposal contain specific added-value elements, such as environmental issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, or innovation and best practices?	5	
2. Design of the action	Sub-score	20
2.1 How coherent is the overall design of the action? In particular, does it reflect the analysis of the problems involved, take into account external factors and relevant stakeholders?	5x2**	
2.2 Is the action feasible and consistent in relation to the objectives and expected results?	5x2**	

TOTAL SCORE

50

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

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

VK

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

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

After the evaluation of concept notes, the Contracting Authority will send letters to all lead applicants, indicating whether their application was submitted by the deadline, informing them of the reference number they have been allocated, whether the concept note was evaluated and the results of that evaluation. The pre-selected lead applicants will subsequently be invited to submit full applications.

STEP 2: EVALUATION OF THE FULL APPLICATION

Firstly, the following will be assessed:

- If the submission deadline has been met. Otherwise, the application will automatically be rejected.
- If the full application satisfies all the criteria specified in the checklist (section 7 of Part B of the grant application form). This includes also an assessment of the eligibility of the action. If any of the requested information is missing or is incorrect, the application may be rejected on that sole basis and the application will not be evaluated further.

The full applications that pass this check will be further evaluated on their quality, including the proposed budget and capacity of the applicants and affiliated entity(ies). They will be evaluated using the evaluation criteria in the evaluation grid below. There are two types of evaluation criteria: selection and award criteria.

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

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

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

Scoring:

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

Evaluation Grid

Section	Maximum Score
1. Financial and operational capacity	20
1.1 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient experience of project management?	5
1.2 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient technical expertise? (especially knowledge of the issues to be addressed)	5
1.3 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient management capacity? (Including staff, equipment and ability to handle the budget for the action)?	5
1.4 Does the lead applicant have stable and sufficient sources of finance?	5
2. Relevance of the action	30
<i>Score transferred from the Concept Note evaluation</i>	
3. Effectiveness and feasibility of the action	20
3.1 Are the activities proposed appropriate, practical, and consistent with the objectives and expected results?	5
3.2 Is the action plan clear and feasible?	5
3.3 Does the proposal contain objectively verifiable indicators for the outcome of the action? Is any evaluation planned?	5
3.4 Is the co-applicant(s)'s and affiliated entity(ies)'s level of involvement and participation in the action satisfactory?	5
4. Sustainability of the action	15
4.1 Is the action likely to have a tangible impact on its target groups?	5
4.2 Is the proposal likely to have multiplier effects? (Including scope for replication, extension and information sharing.)	5
4.3 Are the expected results of the proposed action sustainable?: - financially (how will the activities be financed after the funding ends?) - institutionally (will structures allowing the activities to continue be in place at the end of the action? Will there be local 'ownership' of the results of the action?) - at policy level (where applicable) (what will be the structural impact of the action —	5

<i>e.g. will it lead to improved legislation, codes of conduct, methods, etc?)</i>	
- environmentally (if applicable) (<i>will the action have a negative/positive environmental impact?</i>)	
5. Budget and cost-effectiveness of the action	15
5.1 Are the activities appropriately reflected in the budget?	/ 5
5.2 Is the ratio between the estimated costs and the expected results satisfactory?	/ 10
Maximum total score	100

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

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

Provisional selection

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

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

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

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

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

2.4. SUBMISSION OF SUPPORTING DOCUMENTS FOR PROVISIONALLY SELECTED APPLICATIONS

A lead applicant whose application has been provisionally selected or placed on the reserve list will be informed in writing by the Contracting Authority. It will be requested to supply the following documents in order to allow the Contracting Authority to verify the eligibility of the lead applicant, (if any) of the co-applicant(s) and (if any) of their affiliated entity(ies)⁵⁴:

1. The statutes or articles of association of the lead applicant, (if any) of each co-applicant and (if any) of each affiliated entity⁵⁵. Where the Contracting Authority has recognised the lead applicant's, or the co-applicant(s)'s, or their affiliated entity(ies)'s eligibility for another call for proposals under the same budget line within 2 years before the deadline for receipt of applications, it should be submitted, instead of the statutes or articles of association, a copy of the document proving their eligibility in a former call (e.g. a copy of the Special Conditions of a grant contract received during the reference period), unless a change in legal status has occurred in the meantime⁵⁶. This obligation does not apply to international organisations which have signed a framework agreement with the European Commission.
2. A copy of the lead applicant's latest accounts (the profit and loss account and the balance sheet for the last financial year for which the accounts have been closed)⁵⁷. A copy of the latest account is neither required from (if any) the co-applicant(s) nor from (if any) affiliated entity(ies)).
3. Legal entity sheet (see Annex D of these guidelines) duly completed and signed by each of the applicants (i.e. by the lead applicant and (if any) by each co-applicant), accompanied by the justifying documents requested there. If the applicants have already signed a contract with the Contracting Authority, instead of the legal entity sheet and supporting documents, the legal entity number may be provided, unless a change in legal status occurred in the meantime.
4. A financial identification form of the lead applicant (not from co-applicant(s)) conforming to the model attached as Annex E of these guidelines, certified by the bank to which the payments will be made. This bank should be located in the country where the lead applicant is established. If the lead applicant has already submitted a financial identification form in the past for a contract where the European Commission was in charge of the payments and intends to use the same bank account, a copy of the previous financial identification form may be provided instead.
5. Documentation proving that projects including infrastructure activities proposed under the applications are "ready-to-go". The Applicants should provide, if such documentation is required for their interventions under Serbian law: project documentation, building permits, environmental assessment and any other relevant document.
6. For Actions proposed under Lot 1:
 - a. Applicants under Lot 1 shall provide a copy of request for licensing submitted to the relevant service in MoLEVSA (Ministry of Labour, Employment, Veteran and Social Affairs).

54 No supporting document will be requested for applications for a grant not exceeding EUR 60 000.

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

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

57 This obligation does not apply to natural persons who have received a scholarship or that are in most need in receipt of direct support, nor to public bodies and to international organisations. It does not apply either when the accounts are in practice the same documents as the external audit report already provided pursuant to section 2.4.2.

7. For Actions proposed under Lot 3:

- a. Applicants under Lot 3 shall provide documentary proof confirming willingness for establishment of Inter-sectoral Commission (or Decision on Establishment of Inter-sectoral Commission).

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

Where such documents are not in one of the official languages of the European Union or in the language of the country where the action is implemented, a translation into the language of the call for proposals of the relevant parts of these documents proving the lead applicant's and, where applicable, co-applicants' and affiliated entity(ies)' eligibility, must be attached for the purpose of analysing the application.

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

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

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

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

2.5. NOTIFICATION OF THE CONTRACTING AUTHORITY'S DECISION

2.5.1. *Content of the decision*

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

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

2.5.2. Indicative timetable

	DATE	TIME
1. Information meeting (if any)	Will be published separately	Will be published separately
2. Deadline for requesting any clarifications from the Contracting Authority	24 June 2016	15:00
3. Last date on which clarifications are issued by the Contracting Authority	4 July 2016	-
4. Deadline for submission of concept notes	15 July 2016	15:00
5. Information to lead applicants on opening, administrative checks and concept note evaluation (Step 1)	September 2016	-
6. Invitations to submit full applications	September 2016	-
6. Deadline for submission of full applications	October 2016	-
7. Information to lead applicants on the evaluation of the full applications (Step 2)	March 2017	-
8. Notification of award (after the eligibility check) (Step 3)	April 2017	-
9. Contract signature	June 2017	-

All times are in the time zone of the country of the Contracting Authority.

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

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

Following the decision to award a grant, the beneficiary(ies) will be offered a contract based on the standard grant contract (see Annex G of these guidelines). By signing the application form (Annex A of these guidelines), the applicants agree, if awarded a grant, to accept the contractual conditions of the standard grant contract. Where the Coordinator is an organisation whose pillars have been positively assessed, it will sign a PA Grant Agreement based on the PAGoDA template. In this case references to provisions of the standard grant contract and its annexes shall not apply. References in these guidelines to the grant contract shall be understood as references to the relevant provisions of the PA Grant Agreement.

Implementation contracts

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

3. LIST OF ANNEXES

DOCUMENTS TO BE COMPLETED

Annex A: Grant Application Form (Word format)

Annex B: Budget (Excel format)

Annex C: Logical Framework (Excel format)

Annex D: Legal Entity Sheet⁵⁸

Annex E: Financial identification form

DOCUMENTS FOR INFORMATION⁵⁹

Annex G: Standard Grant Contract

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

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

http://ec.europa.eu/europeaid/funding/about-procurement-contracts/procedures-and-practical-guide-prag/diems_en

Annex J: Information on the tax regime applicable to grant contracts signed under the call.

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

Useful links:

Project Cycle Management Guidelines

http://ec.europa.eu/europeaid/aid-delivery-methods-project-cycle-management-guidelines-vol-1_en

The implementation of grant contracts

A Users' Guide

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

Financial Toolkit

http://ec.europa.eu/europeaid/funding/procedures-beneficiary-countries-and-partners/financial-management-toolkit_en

Please note: The toolkit is not part of the grant contract and has no legal value. It merely provides general guidance and may in some details differ from the signed grant contract. In order to ensure compliance with their contractual obligations beneficiaries should not exclusively rely on the toolkit but always consult their individual contract documents.

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⁵⁸ Only applicable where the European Commission will make the payments under the contracts to be signed.

⁵⁹ These documents should also be published by the Contracting Authority.