

Programme „Capacity building in the countries of the Western Balkans and the Republic of Moldova

Building Administrative Capacities in the Danube Region and Western Balkans (BACID)

Guidelines for Applicants

First Call for Proposals

Deadline for submission of applications:

23 May 2015

Contents

1	Background.....	4
2	Objectives	5
3	Financial allocation	5
4	Eligibility criteria	5
4.1	Eligibility of actors	5
4.1.1.	Applicants	5
4.1.2.	Partners in Beneficiary Countries.....	6
4.2	Eligibility of actions	6
4.2.1.	Duration	6
4.2.2.	Location	7
4.2.3.	Topics	7
4.2.4.	Activities.....	8
4.3	Eligibility of costs	8
5	Visibility	9
6	How to apply and procedures to follow	9
6.1	Number of applications and grants.....	9
6.2	Application Package	9
6.3	Questions and answers	10
6.4	Deadlines and Timetable.....	10
7	Evaluation process and criteria	11
8	Contract award and implementation.....	12
9	Reporting and payment	12

1 Background

With funding provided by the **Austrian Development Agency (ADA)**, the **Austrian Association of Cities and Towns (AACT)** and **KDZ - Centre for Public Administration Research** are implementing the programme „*Capacity building in the countries of the Western Balkans and the Republic of Moldova*“ (01.12.2014 - 30.11.2017). The aim of the programme is to strengthen the governance structures of those countries and to prepare them for possible accession to the European Union, with focus on local and regional governments. The Programme is based on two relevant regional strategies, EU Strategy for the Danube Region (<http://www.danube-region.eu>) and SEE 2020 Strategy (<http://www.rcc.int/pages/62/south-east-europe-2020-strategy>). It will strengthen networking of towns and cities in the Danube region and Western Balkans but also assist fostering of governance for growth in line with the Europe 2020 Strategy. It is implemented through two measures: 1) Fund for know-how transfer actions for building administrative capacities in Danube region and Western Balkans (BACID) and 2) LOGON-Danube Local Governments Democracy Network in the Danube Region & Western Balkans. Both measures represent continuation of previous activities implemented by the ÖStB and KDZ, as well as synergies with actions implemented by other stakeholders such as NALAS (Network of Associations of Local Governments of South-East Europe)¹ and its donors GIZ and SDC, RCC, World Bank and others. While the first measure includes transfer on know-how from Austrian experts to regional counterparts in the field of local self-government, the second measure contributes to implementation of the Urban Platform for Democratic Governance (priority axis 10 of the Danube strategy) as well as to fulfillment of NALAS role in the implementation of SEE 2020 Strategy.

The first component, **BACID** (building administrative capacity in the Danube region & Western Balkans) is designed as a grant scheme, which provides funding for know-how transfer actions implemented by Austrian institutions or experts for benefit of partners from targeted countries. It is built upon the experience of the Know-how Transfer Center (KTC) that was established in 1992 within the Austrian Association of Cities and Towns, in order to facilitate administrative cooperation of cities and municipalities in the new democracies of Central and Eastern Europe (CEE) with Austrian counterparts. It was funded by ADA and included about 2000 successfully completed projects of transfer of Austrian expertise and experiences. Since end of 2008, the KTC was managed by KDZ on behalf of the Association of Austrian Cities and Towns. KDZ introduced application forms in electronic form, fostering transparent monitoring of results.

The KTC was an open funding facility, where eligible institutions were applying continuously while there were funds available. In order to ensure higher efficiency of the spent funds and to decrease the administrative burden, it was decided to continue with the award of small grants through thematic calls for proposals: the application forms are simplified and the priority topics are selected for each Call. In the period of 36 months starting from December 2014, six Calls for proposals will be launched, covering the territory prescribed by the Programme

¹ www.nalas.eu

2 Objectives

BACID aims at **strengthening the capacities** of the authorities in the non-EU countries of the Western Balkans and Moldova in order to **introduce and implement the EU acquis relevant to local and regional governments**. Local governments represent the level of governance closest to citizens and services provided at municipal level should be in line with European standards, ensuring transparency, efficiency and effectiveness. Moreover, 2/3 of EU acquis is implemented at local and regional level. Therefore, strengthening municipal and regional administrations in the countries aspiring to the accession to the European Union, is an important element of European integration processes. Following previous experiences of new EU member countries, the peer-to-peer approach and transfer of know-how was identified as the most successful tool in gaining practical knowledge. In this way, the targeted countries will be efficiently supported to **build structures and cooperation and promote the process of democratization and regional development**.

3 Financial allocation

Six Calls for proposals will be implemented in the period of 3 years, with about **€ 30,000** available per Call. If the dedicated amount is not spent in one Call, the remaining funds will be transferred to the following Calls. ADA reserves the right to amend maximum amounts available per Call and per action, or not to award all available funds.

The maximum amount of grant available per action is **€ 6,000**.

The own **contribution** of applicant and partner/s is obligatory and may include in-kind contributions.

4 Eligibility criteria²

4.1 Eligibility of actors

4.1.1. Applicants

The **Applicants** have to fulfill the following conditions:

- Be a legal or natural person registered in Austria

² The eligibility criteria hereby identified will be reviewed after implementation of each Call for proposals and may be amended according to the lessons learnt. They will be approved by ADA before launching of the new Call.

- Be a public or private entity/person, including both business sector and non-profit making organisations
- In case of organisations/entities, have been established at least twelve months before launching of the Call for proposals.

4.1.2. Partners in Beneficiary Countries

Since the main purpose of the grant programme is the transfer of know-how, at least one Partner institution has to be involved in design and implementation of the action. The action may include more Partner institutions from one or more beneficiary countries.

The **Partner** institution must fulfill the following conditions:

- Be a legal person;
- Be one of the following: Local or regional government administration OR public institution or enterprise OR association of regional/local governments OR national government body with a competence related to regional/local governance OR NGO/other civil society organisation OR regional and trans-border organisation;
- Be registered in one of the following countries: Bosnia and Herzegovina, Serbia, Kosovo, Montenegro, Macedonia, Albania and Moldova or, other country in case of regional and trans-border organisations.

As part of the application package, the signed **Partnership Agreement** between Applicant and Partner/s has to be submitted (using the template available in the Application Package).

Partner organization may differ from direct **beneficiaries** of the action, who have to be public entities active in the field of local self-government (i.e. local or regional governments, ministries, public utility companies, etc).

4.2 Eligibility of actions

4.2.1. Duration

The action has to be implemented in the period of 3 months after the date specified in the Contract as the beginning of the implementation.

The funding shall be received only for activities that will be implemented after the grant contract award.

4.2.2. Location

The actions have to take place in one of the following countries: Albania, Bosnia and Herzegovina, Macedonia, Montenegro, Serbia, Kosovo and Moldova, or partially in Austria, as specified in the Section 4.2.4 of these Guidelines.

4.2.3. Topics

The actions have to comprise the **transfer of know-how in application of European standards in provision of services at municipal and regional level**. It may include variety of topics covered by competences of regional and local governments in beneficiary countries in the topics defined as priorities in the framework of Priority Area 10 „Institutional Capacity and Cooperation“ of the EU Strategy for the Danube Region (EUSDR). Within this Priority Area, the Urban Platform Danube Region has been established as a platform that unites cities, city networks and associations in the Danube Region, gearing their joint efforts towards the targets of the EU 2020 strategy and smart, sustainable and inclusive growth. Namely, the priority topics that lead to the achievement of those objectives are the following:

Thematic priority I: Smart City

- 1) E-Government/ICT
- 2) Energy
- 3) Governance
- 4) Mobility/Transport
- 5) Housing
- 6) Local economic development
- 7) Modern management
- 8) Spatial Planning
- 9) Urban renewal

Thematic priority II: Sustainable City

- 1) Health and social care
- 2) Capacity building – human resources
- 3) Greening cities
- 4) Disaster risk management
- 5) Tourism
- 6) Cultural heritage
- 7) Culture and creative industries
- 8) Industrial restructuring
- 9) Municipal Finances
- 10) Sustainable administration
- 11) Services of general interest
- 12) Promoting cities
- 13) Sustainable urbanisation
- 14) Urban security
- 15) Waste management

Thematic priority III: Inclusive City

- 1) Child care and child welfare
- 2) Civil society participation
- 3) Disadvantaged groups
- 4) Migration
- 5) Diversity policies
- 6) Equal opportunities
- 7) Roma inclusion
- 8) Youth policies

These thematic priorities are also in line with the Regional Strategy on the Danube Region and Western Balkans developed by the Austrian Federal Ministry for Europe, Integration and Foreign Affairs³.

The priority topics of the First Call for proposals are those defined under the thematic priority **Smart City**.

The actions that bring innovation to the country, in terms of enabling public administration to introduce and support innovative techniques and methods in the priority topics, will be assessed as highly relevant.

The applications for actions in other topics from the list may also be submitted, however the actions related to the priority topics will have advantage. Other identified topics will have priority in Calls for proposals to follow.

4.2.4. Activities

The following types of activities are eligible for funding:

- 1) **Expert support and mentoring** in beneficiary countries;
- 2) **Workshops, seminars and training** in the beneficiary countries;
- 3) **Elaboration of reports, studies, surveys and other documents** (e.g. guidance, roadmap, model decision, etc): these activities may be implemented without travelling to the beneficiary countries.

4.3 Eligibility of costs

Taking into account the eligible activities, the following types of costs to be covered by grant are eligible:

- 1) **Fees:** Includes fees for Austrian experts, trainers, etc, with maximum euro 450,-/day.
- 2) **Per diems:** For the coverage of meals, transport and accommodation costs and other expenses such as insurance, material costs, etc, with maximum euro 170,-/day.

³ The strategy is drafted and expected to be adopted in early 2015.

- 3) **Travel costs:** The most suitable transport is to be proposed in the application stage, and may include flight, train or bus ticket. The flight costs will be refunded in the maximum amount of euro 800,--.

Please note: The 1st class train tickets and business-class flight tickets are not accepted, unless there is a reasonable justification for its use.

The following costs are not eligible as costs of the action:

- cancellation fees,
- minibar or pay TV, or alike.

The Applicant and Partners are taking the commitment to cover all other costs identified as necessary for the implementation of the action, by signing the Partnership agreement.

5 Visibility

The Applicant and its Partners are obliged to publicize the funding provided by ADA. All documents developed during the action, as well as reports, shall include the following:

- The Action is funded by the Austrian Development Agency (ADA) through the BACID grant scheme (Building Administrative Capacities in Danube Region & Western Balkans), managed by the Austrian Association of Cities and Towns (AACT) and KDZ Center for Public Administration Research.
- Logo of ADA and AACT as provided in the contracting phase.
- Disclaimer: "This publication/document has been produced with the assistance of the Austrian Development Agency (ADA). The contents of this document are the sole responsibility of the author/s and can in no way be taken to reflect the views of ADA nor the Austrian Government."

6 How to apply and procedures to follow

6.1 Number of applications and grants

The **Applicant** may submit more than one application, with same or different partners.

The Applicant may be awarded more than one grant per Call, under the condition that the proposed actions target different beneficiary countries.

The beneficiary institutions may be involved as **Partners** in more than one application. However, they can benefit from maximum 2 actions per Call for proposals: one related only to their beneficiary country and additionally one where partners from more countries are involved.

6.2 Application Package

The Application Package is available for download at the webpage:
<https://www.kdz.eu/de/content/applicants-information>.

The completed forms are to be submitted electronically to the following email address: bacid@kdz.or.at, within the given deadlines.

The Application Package consists of several simple forms and each of them need to be filled in and submitted in order to consider application acceptable for evaluation:

- 1) Application Form (including reporting section)
- 2) Budget Template (including reporting section)
- 3) One-page Partnership Agreement

Additionally on the website you may find available for information the Grant Contract template.

Please note that all templates are merged in one excel file with a separate sheet for each document mentioned above.

6.3 Questions and answers

Any questions related to the Call may be submitted to the following email address: bacid@kdz.or.at. The answers shall be provided not later than 7 days after submission of the question and published on the BACID website.

6.4 Deadlines and Timetable

The application may be submitted only after launching of the Call for proposals. Two Calls for proposals shall be launched per year in the following three years. The deadline for submission of applications shall not be shorter than 3 months, i.e. in the case of the first Call, 23rd of May 2015. An indicative timetable of the present Call is the following:

Activity	Timetable of the First Call for Proposals	Timetable of all Call for proposals
Launch of the Call for proposals	27th of January 2015	06/2015, 01/2016, 03/2016, 01/2017, 03/2017
Deadline for submission of applications	23rd of May 2015	10 weeks after launch of the Call
Information on approved applications	till 15th of June 2015	1 months after closing of the Call
Award of the Contract	June 2015	2 weeks after information on approved applications
Contract Implementation and Reporting	Till end of September 2015	Maximum 3 months after contract signature
Payment	September-October 2015	15 days after submission of the Report

7 Evaluation process and criteria

The evaluation process includes three steps:

- 1) The BACID team checks: a) if the application is submitted within the deadline and b) if the eliminatory criteria are met.
If any of these conditions is not fulfilled, the application may be rejected.
- 2) An external KDZ expert shall make the assessment according to defined evaluation criteria based on which the Evaluation Committee shall draft the ranking lists.
- 3) ADA reviews the ranking lists and makes decision on applications to be funded.

The following criteria will be used in order to assess the applications, with the set of eliminatory criteria and evaluation criteria with the total maximum score of 50 points:

Eliminatory criteria	YES/NO
The correct Application Form has been used.	
All sheets of the Application Form have been completed.	
The Partnership Agreement has been enclosed to the Application, filled in and signed.	
The Applicant is fulfilling the eligibility criteria set out in the Section 4.1.1 of the Guidelines for Applicants.	
The eligibility criteria on partners and beneficiaries set out in the Section 4.1.2 of the Guidelines for Applicants are fulfilled.	
The location of the Action is as specified in the Section 4.2.2 of the Guidelines for Applicants.	
The requested funding is less or equal to 6.000 Euro.	
The own contribution is ensured by applicant and partners.	

Evaluation criteria *	max. 50 points
Relevance	max. 15 points
Does the action address any of priority topics identified for the current Call?	
Does the action contribute to the achievement of priorities as identified in the strategic documents at the level of the region (i.e. of South-East Europe) and at national level?	
Does the action contribute to the achievement of local priorities as identified in the strategic documents?	
Does the action introduces innovation, i.e. concepts that are innovative for public administration in the country?	
Does the action contain other added-value elements (such as best practice, minorities, environment)?	
Effectiveness	max. 12 points
Are estimated results contributing clearly to the achievement of action objectives?	
Are activities contributing clearly to the achievement of identified objectives and results?	
Are the activities clear and feasible?	
Is the action taking into account synergies with other actions in the beneficiary country?	
Does the Applicant have similar professional experience?	
Efficiency	max. 8 points
Are all activities appropriately reflected in the budget?	

Is the ratio between expected costs and estimated results satisfactory?	
Is appropriate own contribution ensured to cover all necessary costs of the action, that are not covered by the grant?	
Is it likely that the action has multiplier effects?	
Sustainability	max. 15 points
Is the ownership of the partner institutions clear and sustainable?	
Are the results likely to be sustainable (financially, institutionally, at policy level, environmentally (if applicable))?	

Additionally to the eliminatory criteria, the applications that don't reach the following minimum of points shall be rejected:

- Necessary total minimum of points is 30.
- Necessary minimum for the section *Relevance* is 8 points.
- Necessary minimum for the section *Effectiveness* is 6 points.
- Necessary minimum for the section *Efficiency* is 4 points.
- Necessary minimum for the section *Sustainability* is 8 points.

8 Contract award and implementation

Once the evaluation process is completed and the decision made, all applicants will be informed on the results. The selected applicants will receive the contracts and will have 2 weeks to return the signed contracts. If an applicant fails to meet the deadline without written justification, the next applicant from the ranking list will be offered the contract, or, ADA may decide to leave the non-allocated funds available for the other Calls for proposals.

Once the contracts are signed, the list of awarded actions will be published on the BACID website: www.bacid.eu.

The date of the beginning of the action shall be defined in the contracting phase, after which the activities may be implemented in the period of 3 months, including reporting.

9 Reporting and payment

No pre-financing will be given before the final report is submitted. In order to receive the payment, the Applicant has to submit the following:

- Completed report and financial statement using the provided templates
- Materials produced during the implementation, including when appropriate, photos and lists of participants
- Supporting accounting documents.

Supporting accounting documents have to be submitted in originals that will be kept by KDZ, and include the following:

- 1) For justification of costs of **FEES**:
 - Invoice of expert/s specifying the number of working days, total amount, social security and tax number.
 - Completed and signed timesheets (using provided templates)

- Bank statements on transfers made. The cash receipt for fees is not acceptable!
- 2) For justification of costs of **PER DIEMS**
- Bank statement on transfer made to expert's account OR signed receipts for cash payments with the words "cash recieved"
- 3) For justification of costs of **TRAVEL**
- Bank statements on transfers made if paid through the account, OR original invoice for the ticket.
- Boarding passes or used train/bus tickets.

K
D
Z

KDZ
Zentrum für Verwaltungsforschung

Guglgasse 13 · A-1110 Wien
T: +43 1 892 34 92-0 · F: -20
institut@kdz.or.at · www.kdz.or.at