

**Questions and Answers n°2
Concept Note phase**

EN

Restricted Call for Proposals

‘Local Authorities: Partnerships for sustainable cities 2021’

EuropeAid/171273/DH/ACT/Multi

As set out in section 2.2.4 of the guidelines, 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.

Eligibility of the applicants		
QUESTIONS		ANSWERS
1	<p>XXX in Laos is interested to be a co-applicant with a line ministry in submitting a concept note. Therefore, we would like to check if UN agencies are eligible as co-applicant in this case.</p>	<p>As set out in section 2.2.4 of the guidelines, in the interest of equal treatment of applicants, the European Commission cannot give a prior opinion on the eligibility of an applicant, a co-applicant, an affiliated entity, an action or specific activities.</p> <p>In order to be eligible under this call for proposals, lead applicants and co-applicants must satisfy all eligibility criteria provided in the corresponding paragraphs in section 2.1.1 of the guidelines.</p> <p>Please refer also to answer 9 in Questions and Answers n.1.</p>
2	<p>Can international organizations participate in this action grant (EuropeAid/171273/DH/ACT/Multi) as applicants or co-applicant?</p>	<p>International organizations are not among the eligible categories listed in section 2.1.1 of the guidelines; therefore, they can be neither applicants (lead applicants and co-applicants) nor affiliated entities under this call for proposals.</p> <p>Instead, international organisations can be proposed as “associates” or “contractors” under this call for proposals (see section 2.1.3 of the guidelines).</p> <p>Note that the contractors are subject to the specifications in Annex IV of the grant contracts.</p>
3	<ol style="list-style-type: none"> 1. Please, clarify if International Bodies are eligible as applicants. If they are not, indicate if they can participate as third parties. 2. Please, clarify if two cities from two different European countries can participate in partnership as co applicants, building a network with several Latin American cities from the same Country. 	<ol style="list-style-type: none"> 1. Please refer to answer 2 above, regarding the eligibility of international organisations under this call for proposals. Please note that “third parties” are neither affiliated entity(ies) nor associates nor contractors. See section 2.1.4 of the guidelines: “<u>Financial support to third parties</u>” 2. It is up to the applicants to define the actors composing their partnership and their role in implementing the action, within the limits set by the eligibility criteria applying to the partnership, as detailed in section 2.1.1 of the guidelines (pages 8-9) and summarized below. To be eligible under this call for proposals the partnership must include: <ol style="list-style-type: none"> 1) at least one co-applicant; 2) at least one Local Authority either as lead applicant or as co-applicant. 3) at least one applicant (either as lead applicant or co-applicant) established in a EU Member State and at least one applicant (either as lead applicant or co-applicant) established in the beneficiary country where the action will take place (see section 2.1.4 ‘Location’).

		<p>In addition, note that ‘A partnership should be composed in such a way as to allow the achievement of the project objectives in the most effective and cost-efficient manner’ (page 10).</p> <p>The choice of co-applicants and the composition of the partnership will be taken into account in the evaluation of the action, as detailed in section 2.1.1 of the guidelines (page 10).</p>
4	<p>I would like to ask you, if a SME is possible to fulfil the eligibility criteria, and in which role?</p>	<p>Within the private sector only private bodies/agencies/organisations of public utility (for example, water distribution, water or waste management, public transportation, producer or provider of electricity, etc.) can be eligible as co-applicants/affiliated entities under this call for proposals, as long as they satisfy all other eligibility criteria applying to co-applicants (see the corresponding paragraph in section 2.1.1 of the guidelines).</p> <p>As per Section 2.1.2 of the Guidelines: <i>Affiliated entity(ies) must satisfy the same eligibility criteria as the co-applicant(s).</i></p> <p>Note that ‘in line with section 6.3.10. of the PRAG, neither the beneficiaries (coordinator/lead applicant and co-beneficiaries/co-applicants) nor affiliated entities must produce a profit within the framework of the action. In the context of this call, 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. Income generated by the action may be accepted as co-financing.</p> <p><i>In case a profit is made, the contracting authority has the right to reduce the final amount of the grant by the percentage of the profit corresponding to the final European Union contribution to the eligible costs actually incurred approved by the contracting authority (thus excluding other eligible costs declared on a simplified cost option basis)’ (section 1.3 of the guidelines).</i></p> <p>SME can participate in the implementation of the action as associates or contractors (see section 2.1.3 of the guidelines).</p> <p>As a reminder, the contractors are subject to the specifications in Annex IV of the grant contracts.</p>
5	<p>We are completing the partnership to participating at the mentioned call in the email object.</p> <p>1. Please, we read Annex D and so as to avoid</p>	<p>1. Please refer to answer 4 above, regarding the eligibility of the private sector under this call for proposals.</p>

	<p>our misunderstanding we would like to receive confirmation that private enterprises of any kind - meaning legal form/entity - can apply as a co-applicant.</p> <p>2. Could you explain if there are some specific budget limits to demonstrative actions with the use of prototypal solutions? (Just to be clearer, for example, constraints like 'prototypal solutions shouldn't exceed 25% of the overall project budget). For the sake of clarity, when we are writing 'prototypal solution' we mean the possibility to build a small plant able to demonstrate relevant social, environmental and economical benefits for the beneficiary country.</p>	<p>2. Under this call for proposals, there is no budget limit to the costs necessary in carrying out the action to the extent that the total eligible cost is established with a view to stay within the limits defined in section 1.3 of the guidelines. Nevertheless, it is in the applicants' interest to provide a realistic and cost-effective budget.</p> <p>As a reminder, to be eligible for co-financing, actions under this call must comply with the objectives and the priorities of this call for proposals described in section 1.2 of the guidelines. Applicants are invited to present all activities they consider necessary in order to achieve the objectives of this call for proposals and to obtain tangible results in the context where the selected projects will be implemented. Please refer to section 1.2 and 2.1.4 of the guidelines for more details about the eligibility of the actions under this call for proposals.</p>
6	<p>I would like to be a co-applicant for one of the calls (attached in this email: Partnerships for sustainable cities, reference: EuropeAid/171273/DH/ACT/Multi) that my company in Brazil has a suitable project with demonstrated history working with similar objectives of the ones mentioned in the call above.</p> <p>I own a S.P. here in Slovenia and I need to get my EuropeAid ID so I can be eligible as the co-applicant of the call (the lead applicant will be a local authority from my hometown).</p> <p>1. First question is if my company here in Slovenia (XXX) is a 'private, public or semi-public body/agency/organization of public utility' (picture of the document regarding co-applicants below)?</p> <p>2. And second question is what the documents I need to upload look like (LEF, statutes or law)?</p>	<p>1. As set out in section 2.2.4 of the guidelines, in the interest of equal treatment of applicants, the European Commission cannot give a prior opinion on the eligibility of an applicant, a co-applicant, an affiliated entity, an action or specific activities.</p> <p>Please refer to answer 4 above, regarding the eligibility of the private sector under this call for proposals.</p> <p>As a reminder, in order to be eligible as co-applicants organisations must be established in one of the eligible countries or territories listed in Annex L to these guidelines. The place of registration is <i>'to be determined on the basis of the organisation's statutes, which should demonstrate that it 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 country cannot be considered an eligible local organisation, even if the statutes are registered locally or a "Memorandum of Understanding" has been concluded'</i> (see footnote 11 of the guidelines).</p> <p>In order to obtain a EuropeAid ID,</p>

		<p>organisations need to register in PADOR. Please refer to section 2.2 of the guidelines to know the procedures to follow to apply for this call for proposals. All questions related to registration in PADOR should be addressed to the IT helpdesk at INTPA-SUPPORT-SERVICES@ec.europa.eu</p> <p>2. The documents to be uploaded in PADOR are listed in section 2.4 of the guidelines.</p> <p>Note that the registration in PADOR is obligatory at the concept note step for lead applicants, and at the full application step for co-applicant(s) and affiliated entity(ies).</p>
7	<p>I am acting on behalf of (XXX), who are basically interested in applying for the funding of the Partnership for Sustainable Cities program.</p> <p>We have several concerns, they are:</p> <ol style="list-style-type: none"> 1. Whether we, XXX, can act as Applicant (Lead-Applicant) alone? 2. Or, do we need to address a collaboration with partner from EU? 3. If so, whether it has to be a (legal) person or local authorities or other association similar to us? 	<ol style="list-style-type: none"> 1. As requested in section 2.1.1 of the guidelines, the lead applicant must act with at least one co-applicant under this call for proposals. <p>In addition, in order to be eligible, the partnership must include:</p> <ul style="list-style-type: none"> • at least one Local Authority (or Association of Local Authorities (ALA)) either as lead applicant or as co-applicant (page 10); • at least one applicant (either as lead applicant or co-applicant) established in a EU Member State and at least one applicant (either as lead applicant or co-applicant) established in the beneficiary country where the action will take place (see section 2.1.4 'Location'). <ol style="list-style-type: none"> 2. It is up to the applicants to define the actors composing their partnership and their role in implementing the action, taking into account the aforementioned eligibility criteria applying to the partnership. <p>Note that <i>'a partnership should be composed in such a way as to allow the achievement of the project objectives in the most effective and cost-efficient manner'</i> (page 10 of the guidelines).</p> <p>The choice of co-applicants and the composition of the partnership will be taken into account in the evaluation of the action, as detailed in section 2.1.1 of the guidelines (page 10).</p> <ol style="list-style-type: none"> 3. The categories eligible for a grant under this call for proposals are defined in section 2.1.1 of the guidelines.
8	<p>I work in the XXX, and we are really interested in applying for the partnership, we have a Project with the Municipality in the city. But we have</p>	<ol style="list-style-type: none"> 1. It is up to the applicants to define the actors composing their partnership and their role in implementing the action, taking into account the aforementioned eligibility criteria applying to

	<p>some questions.</p> <ol style="list-style-type: none"> 1. Should the municipality apply as lead applicant and could we apply as co-applicants? 2. Can the project be already in study process? How far can the project be in the moment of the application? 3. Our project is about urban electric mobility, does the partnership help only with the planning and the improvement of the city infrastructure or it also helps with partially financing the acquisition of the buses? 4. And I would also request that if you have the guidelines and application forms in Spanish to send them to me, it will help us a lot. 	<p>the partnership.</p> <ol style="list-style-type: none"> 2. To be eligible for co-financing, actions under this call must comply with the objectives and the priorities of this call for proposals described in section 1.2 of the guidelines. Applicants are invited to present all activities they consider necessary in order to achieve the objectives of this call for proposals and to obtain tangible results in the context where the selected projects will be implemented. <p>For more details about actions eligible for receiving a grant under this call for proposals, please also refer to section 2.1.4 of the guidelines. This section also provides types of ineligible actions.</p> <ol style="list-style-type: none"> 3. Please refer to answer 8.1 above. <p>As a general rule, a grant awarded for an action may not finance the entire cost of the action (section 2.2 of the PRAG). The difference between the total cost of the action and the amount requested from the Contracting authority <i>‘must be financed from sources other than the European Union Budget’</i>, as stated in section 1.3 of the guidelines.</p> <p>Such co-financing may take the form of self-financing (the beneficiary's own resources), but it is not limited to partnership members. Other forms of co-financing accepted under this call for proposals are income generated by the action and financial contributions from third parties.</p> <ol style="list-style-type: none"> 4. No, the language of this procedure is English. Applications must be submitted in English (see sections 2.2.1 and 2.2.5 of the guidelines).
9	<p>My name is XXX and I am a co-founder of YYY, a non-profit created by college students.</p> <p>In my country, there were elections recently and the new local authorities take office on May 3rd. Therefore we find ourselves in dilemma with respect 2 points since the deadline for the submission of concept notes is on April 23th. If we, as a legal non-profit organization can apply as co-applicant with our local mayor.</p> <ol style="list-style-type: none"> 1. If we should apply with the new authorities or the current ones. 	<p>As set out in section 2.2.4 of the guidelines, in the interest of equal treatment of applicants, the European Commission cannot give a prior opinion on the eligibility of an applicant, a co-applicant, an affiliated entity, an action or specific activities.</p> <p>Please note that Non-governmental organizations (NGOs) are not among the eligible categories listed in section 2.1.1 of the guidelines; therefore, they can be neither applicants (lead applicants and co-applicants) nor affiliated entities under this call for proposals.</p> <p>Instead, NGOs can be proposed as associates or contractors under this call for proposals (see section 2.1.3 of the guidelines).</p> <p>As a reminder, the contractors are subject to the specification in Annex IV of the grant contracts.</p>

10	<p>The XXX is a non-profit/Civil Society Organisation registered in India, under the Companies Act. XXX works closely and actively with the Government and facilitates a Public-Private Partnership model through which both Government and corporates work together on identified projects.</p> <p>1. Can the XXX apply for the grant in the role of a co-applicant?</p> <p>2. Would YYY be eligible to be the Lead Applicant?</p>	<p>As set out in section 2.2.4 of the guidelines, in the interest of equal treatment of applicants, the European Commission cannot give a prior opinion on the eligibility of an applicant, a co-applicant, an affiliated entity, an action or specific activities.</p> <p>Please refer to answer 9 above, regarding the eligibility of NGOs under this call for proposals.</p> <p>As a reminder, in order to be eligible under this call for proposals, lead applicants and co-applicants must satisfy all eligibility criteria provided in the corresponding paragraphs in section 2.1.1 of the guidelines.</p>
11	<p>What is the definition of Local Authority for the call EuropeAid/171273/DH/ACT/Multi?</p> <p>We are the XXX. We are a regional public agency which aim is to provide support services in the fields of innovation and internationalisation to the SMEs.</p>	<p>Please refer to footnote 7 and 9 for the definition of Local Authority under this call for proposals.</p>
12	<p>I am contacting you on behalf of XXX, situated in Vientiane Laos. I had a question regarding the eligibility criteria for this grant. Could you please elaborate on the terms ‘Lead Applicant’ and ‘Co applicant’?</p> <p>I believe the lead applicant has to be a Local Authority, does that mean that the application for the grant has to come through the provincial level government?</p>	<p>Please refer to section 2.1.1 of the guidelines for the eligibility of lead applicants and co-applicants under this call for proposals.</p> <p>In addition, as stated in answer 3.2 above, also bear in mind the eligibility criteria applying to the partnership when defining the actors composing it and their role in implementing the action.</p>
13	<p>We are XXX and would like to apply the program ‘Local Authorities: Partnerships for sustainable cities’ together with other organizations, before we submit the concept note, could you please clarify the qualification in the ‘guidelines for the applicants’?</p> <p>1. In section 2.1.1 ‘be established in one of the eligible countries or territories....’ what is established mean? Is it mean the headquarter legal registered or any regional office?</p> <p>2. In the Annex L, UK still in the list, is it applicable as lead applicant? Swiss is not in the list, but we think it is recognized by EU, how about Swiss?</p>	<p>1. The place of registration is ‘<i>to be determined on the basis of the organisation’s statutes, which should demonstrate that it 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 country cannot be considered an eligible local organisation, even if the statutes are registered locally or a “Memorandum of Understanding” has been concluded</i>’ (see footnote 11 of the guidelines).</p> <p>2. Organisations established in the United Kingdom are eligible under this call for proposals. Indeed, as stated in the footnote 1 of Annex L, ‘<i>The United Kingdom ceased to be an EU Member State on the 31 of January 2020. Pursuant to the Withdrawal Agreement concluded between the EU and the UK, references to the eligibility of ‘Member States’ for participation in programmes under the</i></p>

		<p><i>current 2014-2020 MFF and the EDFs also cover the United Kingdom (Article 127(6), Article 137 and Article 152(1) Withdrawal Agreement)'. </i></p> <p>On the contrary, Switzerland is not among the eligible countries listed in Annex L; therefore, organizations established in that country can be neither applicants (lead applicants and co-applicants) nor affiliated entities under this call for proposals.</p>
How to apply		
14	<p>I would like to confirm if Applications must be submitted ONLY in English? In previous calls Spanish was an eligible language to submit applications.</p>	<p>The language of this procedure is English and applicants must apply in English (see sections 2.2.1 and 2.2.5 of the guidelines). Applications submitted in a language other than English will be excluded.</p>
15	<p>You could tell me what are the annexes or documents that must be sent on April 23rd, to apply to the project:</p> <p>List in the web of the institution:</p> <p>Annex A1</p> <p>Annex A2</p> <p>Annex B</p> <p>Annex C</p> <p>The applicant's guide indicates that: only the concept note form will be evaluated. However, I would like to be sure not to make mistakes in the process.</p>	<p>As explained at page 2 of the guidelines, this is a restricted call for proposals, meaning a two-step procedure. In the first instance, only concept notes (Annex A.1) must be submitted for evaluation. Thereafter, only the applicants who have been pre-selected will be invited to submit a full application (Annex A.2). After the evaluation of the full applications, an eligibility check will be performed for those which have been provisionally selected.</p> <p>Applicants must submit via PROSPECT a concept note by 23/04/2021 at 16:00 (Brussels date and time), in accordance with the instructions in the grant application form – concept note (Annex A.1). A detailed budget and a logical framework are to be submitted only by the lead applicants invited to submit a full application in the second phase (full application step). With this regard, see section 2.2.1 of the guidelines.</p> <p>Please note that online submission via PROSPECT is obligatory for this call.</p> <p>Also note that to apply for this call for proposals, the lead applicants need to provide information about the organisations involved in the action through PADOR. With this regard, registration of lead applicants in PADOR is obligatory at the concept note step (see section 2.2 for the details about how to apply and the procedures to follow). It is strongly recommended to register in PADOR well in advance and not to wait until the last minute before the deadline to submit your application in PROSPECT.</p> <p>Please note that individual users need to set up an</p>

		<p>EU Login account (ECAS) in order to access PADOR and PROSPECT</p> <p>Please note that once the ECAS account (EU login) is created, the synchronisation/validation may take up to 24 hours before PADOR/PROSPECT recognize the user's ID and allow the access.</p> <p>All technical questions related the use of these systems should be addressed to the IT helpdesk INTPA-SUPPORT-SERVICES@ec.europa.eu or via the online support form in PROSPECT.</p> <p>Concept notes or full applications submitted by e-mail via the mailbox of the call or any other mailbox will not be considered.</p> <p>Concept notes or full applications submitted by mail will not be considered.</p> <p>Only submission via PROSPECT is allowed.</p>
16	<p>My name is XXX, and I am writing to you on behalf of the YYY. Last year we registered our institution in PADOR (Potential Applicant Data Online Registration) and we got the European ID ZZZ.</p> <p>This year we are in the process of applying for the call Local Authorities: Partnerships for sustainable cities 2021 with reference: EuropeAid/171273/DH/ACT/Multi.</p> <p>We would like to know, since we registered last year, in order to apply this time, do we need to update our information in PADOR?</p>	<p>Yes. As set out in section 2.2 of the guidelines, lead applicants must make sure that the PADOR profile of the organisations involved in the action (lead applicant, co-applicant(s), and affiliated entity(ies), if any) is up to date.</p>
Other questions		
17	<p>I was able to open all PDF's with no problems except for the Annex F, I sent an screenshot of what the PDF looks like when I open it.</p> <p>Could you please send me the Annex in some other format so I am able to open it?!</p>	<p>In the call website https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome&nbPubliList=15&orderby=upd&orderbyad=Desc&searchtype=RS&aofr=171273), after clicking on the document <i>Annex F – EuropeAid offline registration form</i>, the download automatically starts in the browser.</p> <p>When the download is completed, the file should not be opened directly in the browser, but it should be opened using a PDF reader software, such as Adobe Reader:</p>

Budget: 39,849,442 (EUR)

Documents:

Guidelines for applicants.rtf

Annex A1. Grant application form-Concept note.rtf

Annex A2. Grant application form-Full application.rtf

Annex B. Budget.xlsx

Annex C-Logical framework.docx

Annex D - Legal entity file (public law body).pdf

Annex D - Legal entity file (private or public law body with legal f

Annex D - Legal entity file (natural person).pdf

Annex E - Financial identification form.pdf

Annex F - EuropeAid offline registration form.pdf

Annex G-Standard grant contract.zip

Annex H-Declaration on Honour.docx

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