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# FINANCIAL SUPPORT TO THIRD PARTIES:

# INNOVATION GRANTS FOR MUNICIPAL WASTE MANAGEMENT

# (Ref. ENI/2019/412-943/SG3)[[1]](#footnote-1)

1.1 BACKGROUND

The present Sub-Grant scheme is launched in the framework of the Action **‘Capital Cities Collaborating on Common Challenges in Hazardous Waste Management – Yerevan, Warsaw, Tirana’** and is co-financed by the European Union and by these municipalities. The Contracting Authority (Sub-Grantor) for this Sub-grants Call for Proposal is: Yerevan Municipality, ‘IPIU Building Up of Yerevan’ CNCO. The sub-grants will be paid out from the EU funds.

The main goal of the above-mentioned Action is to strengthen the urban governance of hazardous waste management through the partnership of Yerevan, Warsaw and Tirana, promoting peer learning, greater citizens’ participation and mainstreaming the existing best practices in hazardous waste management.

This Sub-Grant scheme contributes to the attainment of this overall goal by **supporting the introduction of innovations and smart solutions in Municipal Waste Management and Household Hazardous Waste Management (MWM and HHWM).**

The primary target group are the citizens of the three partner cities and all the persons visiting the cities, that will benefit from an innovative and more efficient waste management system. In addition, the secondary target group are all the institutions responsible for municipal and hazardous waste management whose tasks may be simplified and improved using advanced technologies and innovative approaches.

The **Sub-Grant is open to SMEs, Research Institutions, Research and Development Institutions and Higher Educations Institutions**, that are keen to develop novel, ingenious solutions to better face the challenges of MWM and HHWM in the three Capital Cities and beyond.

1.2 OBJECTIVES OF THE PROGRAMME

The **global objective** of this call for proposals is: **to improve municipal waste and household hazardous waste management systems by devising and promoting innovations, smart solutions and digital (mobile/online) applications for better management of municipal waste (MW) and/or household hazardous waste (HHW).**

The **specific objectives** of this call for proposals are presented in the following table:

|  |  |  |  |
| --- | --- | --- | --- |
| SPECIFIC OBJECTIVE 1 | SPECIFIC OBJECTIVE 2 | SPECIFIC OBJECTIVE 3 | SPECIFIC OBJECTIVE 4 |
| Introduction of innovations and smart solutions in MWM/HHWM, including digital applications, for citizens to:* Recognise Household Hazardous Waste (HHW), prevent its use, and participate in segregation and support treatment in accordance with locally applicable regulations and best practices;
* Increase citizens’ participation in HHW prevention and proper management at the municipal level;
* Promote initiatives and improved policies related to HHW prevention and proper management at the municipal level.
 | Introduction of innovations and smart solutions in MWM/HHWM for:* Better communication with inhabitants, feedback, and awareness-raising related to specific functions of MWM/HHWM systems and operations in Yerevan;
* Improved management of bio-waste in Yerevan;
* Improved collection, transportation and handling operations of MW/HHW in Yerevan.
 | Introduction of innovations and smart solutions in MWM/HHWM for:* Better communication with inhabitants, feedback, and awareness-raising related to specific functions of MWM/HHWM systems and operations in Warsaw.
 | Introduction of innovations and smart solutions in MWM/HHWM for:* Better organisation of MWM related to mass events in Tirana;
* Improved collection, transportation and handling operations of MW/HHW in Tirana;
* Better tariffication and tariffs collection systems for MWM/HHWM in Tirana;
* Improved management of Civic Amenity Sites/Systems in Tirana.
 |
|  |  |  |  |
| LOT 1: Smart solutions for improved citizens’ behaviours in preventing and managing household hazardous waste – YEREVAN, WARSAW AND TIRANA | **LOT 2: Innovations and Smart Solutions in Municipal Waste and Household Hazardous Waste Management - YEREVAN** | **LOT 3: Innovations and Smart Solutions in Municipal Waste and Household Hazardous Waste Management - WARSAW** | **LOT 4: Innovations and Smart Solutions in Municipal Waste and Household Hazardous Waste Management -TIRANA** |

Each applicant is expected to:

* identify a Lot;
* submit a **project proposal** (a project is hereinafter also referred to as an **action**) that addresses the relevant Specific Objective applying to the identified Lot.

Please consult the eligibility conditions.

Under each lot, the Action shall contribute to the achievement of **the following output and result indicators:**

***Table 1 – Output and result indicators***

|  |
| --- |
| **Output Indicators** |
| O.1 | Number of technical, and organizational improvements, innovations and smart/digital solutions for MWM/HHWM developed |
| O.2 | Number of innovations and smart/digital solutions for MWM/HHWM under intellectual property protection |
| O.3 | Number of innovations and smart/digital solutions for MWM/HHWM made available as open source licence |
| **Result Indicators** |
| R.1 | Number of institutional users of innovations and smart/digital solutions for MWM/HHWM |
| R.2  | Number of end users (inhabitants) of innovations and smart/digital solutions for MWM/HHWM |

**NOTE that** **all indicators are mandatory and must be quantified. Instructions are provided in the Application Form.**

1.3 FINANCIAL ALLOCATION PROVIDED BY THE SUB-GRANTOR

The overall indicative amount made available by the Sub-Grantor under this call for proposals is **EUR 162,000,000**. The Sub-Grantor reserves the right not to award all available funds.

This call for proposals is structured in **4 Lots**. One Sub-Grant contract is intended per each Lot, with a total cost comprised between the minimum and maximum value indicated below.

If, due to insufficient quality or number of proposals received, no contract can be signed under one Lot, the Sub-Grantor reserves the right to approve additional project proposals under the other lots. Project proposals under the other lots will be identified considering their evaluation score. Preference may be given to projects under Lot 1.

If the total value of sub-grants of the selected project proposals exceeds the above overall indicative amount, the Sub-Grantor may increase the amount of financial support made available under this Call for Proposals, subject to the Sub-Grantor's budgetary constraints and other considerations.

**Size of Sub-Grants**

The total cost of the Action under this call for proposals must fall between the following minimum and maximum amounts:

* **minimum amount: EUR 25,000** (including Sub-Grantor grant and Applicant’s own co-financing);
* **maximum amount: EUR 45,000** (including Sub-Grantor grant and Applicant’s own co-financing).

Any Sub-Grant requested under this call for proposals (Sub-Grantor co-financing) must not exceed the maximum percentage of total eligible costs of the Action and the maximum value:

* **Maximum percentage: 90% of the total eligible costs** of the Action (see also Section 2.1.3)
* **Maximum sub-grant value: EUR 40,500**.

Applicant’s **own co-financing** must be **at least 10% of the total eligible costs of the Action**.

# 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.

2.1 ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

1. the actors:
	1. the **Lead Applicant**, i.e., the entity submitting the application form
	2. the **Co-Applicant**, if any.

Where it is not specified otherwise the lead applicant and its co-applicant are hereinafter jointly referred to as "*Applicant(s)*". ***Eligibility criteria for Applicants are specified in section 2.1.1.***

1. the **‘actions’** for which the Sub-Grant may be awarded (see section 2.1.2);
2. the types of **‘costs’** that may be taken into account in setting the amount of the Sub-Grant (see section 2.1.3).

### 2.1.1 ELIGIBILITY OF APPLICANTS (I.E., LEAD APPLICANT AND CO-APPLICANT)

**Lead Applicant**

In order to be **eligible** for a Sub-Grant **the Lead Applicant** must:

* be a **micro, small or medium-sized Enterprise** (**SME**)[[2]](#footnote-2), **OR**
* be a **Research Institution[[3]](#footnote-3)**, **OR**
* be a **Research and Development Institution**, **OR**
* be a **Higher Education Institution**

**AND**

* **be legally registered before *31 March 2022.***

**AND**

* **be established in one of the following countries**:

FOR LOT 1: **Armenia, Poland or Albania;** FOR LOT 2: **Armenia;** FOR LOT 3: **Poland;** FOR LOT 4: **Albania**.

The **Lead Applicant** must also:

* be directly responsible for the preparation and management of the action with the Co-Applicant, if any, not acting as an intermediary.

The Lead Applicant may submit the application alone or in partnership with **maximum one Co-Applicant**. The Lead Applicant can submit one or more applications, and participate as a partner in other applications (as Lead or Co-Applicant).

**If the application is submitted in partnership**, the Lead Applicant must act with the Co-Applicant as specified hereafter:

* if awarded the grant contract, the **Lead Applicant will become the Sub-Grantee**, as stipulated in the Sub-Grant Contract (Annex B.I). The Sub-Grantee is the main interlocutor of the Sub-Grantor. It represents and acts on behalf of the Sub-Grant Co-Applicant, if any, and coordinates the design and implementation of the Sub-Grant.

**Co-Applicant**

In order to be **eligible** a **Co-Applicant** must:

* be a **micro, small or medium-sized Enterprise** (**SME**)[[4]](#footnote-4), **OR**
* be a **Research Institution[[5]](#footnote-5)**, **OR**
* be a **Research and Development Institution**, **OR**
* be a **Higher Education Institution**

**AND**

* **be legally registered before *31 March 2022.***

**AND**

* **be established in any EU/EEA[[6]](#footnote-6) country or in any ENI[[7]](#footnote-7) or IPA[[8]](#footnote-8) country eligible for EU support.**

The Co-Applicant must also:

* participate in designing and implementing the Action. The costs incurred by the Co-Applicant are eligible in the same way as those incurred by the Lead Applicant;
* sign the mandate in Part 3 of the Sub-Grant application form.

If awarded the Sub-Grant contract, the Co-Applicant will become Sub-Grant Beneficiary in the Action, together with the Sub-Grantee.

Contractors

The applicants are permitted to award contracts. Contractors are subject to the procurement rules set out in the Sub-Grant contract. The Lead Applicant and Co-Applicant cannot be contractors in any project awarded and contracted under this Sub-Grant scheme.

Lead Applicants, Co-Applicant, and in case of legal entities, persons who have powers of representation, decision-making or control over the Lead Applicant and the Co-Applicant are informed that, should they be in one of the situations of early detection or exclusion according to Section 2.6.10.1 of the practical guide **(the PRAG[[9]](#footnote-9))**, personal details (name, given name if natural person, address, legal form and name and given name of the persons with powers of representation, decision-making or control, if legal person) may be registered in the early detection and exclusion system, and communicated to the persons and entities concerned in relation to the award or the execution of a grant contract.

In Part 4 of the Sub-Grant application form (‘Declaration by the Lead Applicant’), the Lead Applicant must declare that the Lead Applicant himself and the Co-Applicant (if any) are not in any of these situations. In case of award and prior to contracting, the Lead Applicant, and the Co-Applicant if any, will be required to fill in and sign the declaration on honour (PRAG Annex A14) certifying that they are not in any of the situations excluding them from participating in contracts which are listed in Section 2.6.10.1. of the practical guide (PRAG).

Lead Applicants and Co-Applicants included in the lists of EU restrictive measures (see Section 2.4. of the PRAG) at the moment of the award decision cannot be awarded the contract[[10]](#footnote-10).

2.1.2 ELIGIBLE ACTIONS: ACTIONS FOR WHICH AN APPLICATION MAY BE MADE

***Definition***: An Action is composed of a set of activities.

In order to be eligible, an Action shall have the following characteristics:

***Duration***

The initial planned duration of an Action may not **exceed 12 months[[11]](#footnote-11)**.

***Location***

The Action shall take place where the Lead Applicant, and the Co-Applicant, if any, are located. Some activities may take place in other locations indicated in the application, if justified.

***Types of action***

To be eligible for co-financing, Actions under this call must comply with the objectives and the priority issues of the Call for Proposals described in point 1.2 of these Guidelines. The objectives will be reached through:

* **R&D&I – including design, prototype development, testing, coding, programming, and similar;**
* **Promotion of the created mobile or online application / smart solutions;**
* **Intellectual protection of the created mobile or online application / smart solutions.**

The Actions must contribute significantly to the achievement of the output and result indicators mentioned in the same section.

Actions will be appraised and selected, inter alia, on the basis of their relevance, expected results, their potential efficiency (intended as ratio between funding requested and expected outcomes), multiplication/ universality perspectives and own co-financing by applicants.

If the Application is submitted in partnership with a Co-Applicant, its role must be clearly presented in the Application, explaining the roles of the Lead Applicant and Co-Applicant, why the partner is necessary to the implementation of the Action and how results stem from their collaboration.

The following types of action are ineligible:

* 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;
* one-off conferences. Conferences may only be funded if they form part of a wider range of activities to be implemented over the time life of the action. For this purpose, preparatory activities for a conference and the publication of the proceedings of the conference do not in themselves, constitute such wider activities;
* actions containing any activities, which are not related directly to the aims of this Sub-Grant Scheme and also to the aims of the individual proposal;
* actions intended to raise funds or promote the visibility of the Lead Applicant and its partner;
* actions, which consist exclusively, or primarily, in capital expenditure, e.g., lands, buildings, equipment and vehicles;
* actions which discriminate against individuals or groups of people on grounds of race, colour, sex, language, religion, political or other opinion, national or social origin, property, birth, or other status;
* actions supporting directly political parties;
* actions which include proselytising activities.

***Types of activity***

Applicants can submit proposals with**various types of activities** as long as these contribute to the objectives of the Grant Scheme, and **all the rules defined in the current guidelines, in particular about costs eligibility,** are complied with.

A **non-exhaustive list of eligible activities** is presented below **for each LOT**.

**LOT 1 - SMART SOLUTIONS FOR IMPROVED CITIZENS’ BEHAVIOURS IN PREVENTING AND MANAGING HOUSEHOLD HAZARDOUS WASTE – YEREVAN, WARSAW AND TIRANA**

* **Development of a digital application (mobile and/or online)** which will allow citizens to easily recognise HHW and/or provide suggestions for switching to HHW-free products, and/or proper disposal of HHW (design, prototyping, testing, and launch of a digital application with multiple language versions, at least Armenian, Polish, Albanian and English languages);
* **Adaptation of existing digital application(s) (mobile and/or online)[[12]](#footnote-12)** by combining and/or increasing their functionalities which will allow citizens to easily recognise HHW and/or provide suggestions for switching to HHW-free products, and/or proper disposal of HHW (design, prototyping, testing, and launch of a digital application with multiple language versions, at least Armenian, Polish, Albanian and English languages);
* **Licencing out of a digital application (mobile and/or online)** which will allow citizens to easily recognise HHW and/or provide suggestions for switching to HHW-free products, and/or proper disposal of HHW to Yerevan, Warsaw and Tirana Municipalities, or other local authorities;
* **Promotion/dissemination activities** to publicize the digital application among potential users;
* **Assessment of options, dissemination and promotion among other cities than Yerevan, Warsaw and Tirana**, of a digital application (mobile and/or online) which will allow citizens to easily recognise HHW and/or provide suggestions for switching to HHW-free products, and/or proper disposal of HHW.

**NOTE: The digital application should be made available at least to the citizens of Yerevan, Warsaw and Tirana, considering the local situations in HHW management.** However, if the application does not contain specific instructions on how to dispose of HHW locally, it can be prepared for national or international use, or can have features which ease the adaptation to a specific local context. Digital applications can be **made available on the basis of an open licence or a fee-based licence**. **Licensed digital applications will be accepted**, provided that their use is offered **free of charge to Yerevan, Warsaw and Tirana Municipalities** for at least 5 years from the end date of the implementation period as per Sub-grant Contract.

**LOT 2 - INNOVATIONS AND SMART SOLUTIONS IN MUNICIPAL WASTE AND HOUSEHOLD HAZARDOUS WASTE MANAGEMENT - YEREVAN**

**R&D&I activities –** including, *inter alia*, design, prototype development, testing, coding/programming, purchase of necessary equipment and external services - aimed to **develop and introduce innovations and smart solutions in MWM/HHWM** pertaining to the following **priority areas**:

* **Communication with inhabitants, feedback, and awareness-raising related to specific functions of MWM/HHWM systems and operations**. Examples:
	+ Improving public information systems on waste generation and management, and resources used or saved in support of the circular economy
	+ Improving communication systems with inhabitants to improve products and packaging re-use and recycling rates
	+ Improving systems of active involvement and feedback by inhabitants in waste prevention, management and prevention of irregularities
	+ Improving systems (software and hardware) of intelligent, technology-facilitated recognition of waste types by inhabitants to improve rates of proper disposal.
* **Management of bio-waste**. Examples:
	+ Improving systems of bio-waste separate collection, local processing and forms of smart management.
* **Collection, transportation and handling operations of MW/HHW.** Examples:
	+ Improving systems of dynamic and flexible separate collection of waste involving advanced technologies such as the Internet of Things
	+ Improving management information systems, platforms or data warehouses for optimisation of logistics
	+ Improving monitoring, data-collection and decision-making systems on patterns of behaviours of inhabitants related to waste, including those providing actual data on households’ waste disposals
	+ Improving temporal and spatial analysis and data management systems
	+ Improving systems of Pay-As-You-Throw (PAYT)
	+ Introducing smart containers with sensors, renewable energy power supply, auto-compacting functions, and/or communication systems.

**LOT 3 - INNOVATIONS AND SMART SOLUTIONS IN MUNICIPAL WASTE AND HOUSEHOLD HAZARDOUS WASTE MANAGEMENT - WARSAW**

**R&D&I activities –** including, *inter alia,* design, prototype development, testing, coding/programming, purchase of necessary equipment and external services, etc. - aimed to **develop and introduce innovations and smart solutions in MWM/HHWM** pertaining to the following **priority areas**:

* **Communication with inhabitants, feedback, and awareness-raising related to specific functions of MWM/HHWM systems and operations.** Examples:
	+ Improving public information systems on waste generation and management, and resources used or saved in support of the circular economy
	+ Improving communication systems with inhabitants to improve products and packaging re-use and recycling rates
	+ Improving systems of active involvement and feedback by inhabitants in waste prevention, management and prevention of irregularities
	+ Improving systems (software and hardware) of intelligent, technology-facilitated recognition of waste types by inhabitants to improve rates of proper disposal
	+ Development of software created and used by Warsaw Municipality (e.g. Warszawa 19115 website and application, SegregujNa5 website) by expanding software functionalities. This activity will require implementation in close cooperation with the Warsaw Municipality.

**LOT 4 - INNOVATIONS AND SMART SOLUTIONS IN MUNICIPAL WASTE AND HOUSEHOLD HAZARDOUS WASTE MANAGEMENT – TIRANA**

**R&D&I activities –** including, *inter alia,* design, prototype development, testing, coding/programming, purchase of necessary equipment and external services, etc. - aimed to **develop and introduce innovations and smart solutions in MWM/HHWM** pertaining to the following **priority areas**:

* **Organisation of MWM related to mass events.** Examples:
	+ Improving systems of dedicated waste prevention and management for large-scale concerts, festivals and other events
	+ Improving systems of dedicated monitoring waste levels in temporal and spatial terms to provide adequate additional resources and services.
* **Collection, transportation and handling operations of MW/HHW.** Examples:
	+ Improving systems of dynamic and flexible separate collection of waste involving advanced technologies such as the Internet of Things
	+ Improving management information systems, platforms or data warehouses for optimisation of logistics
	+ Improving monitoring, data-collection and decision-making systems on patterns of behaviours of inhabitants related to waste, including those providing actual data on households’ waste disposals
	+ Improving temporal and spatial analysis and data management systems
	+ Introducing systems of Pay-As-You-Throw (PAYT)
	+ Introducing smart containers with sensors, renewable energy power supply, auto-compacting functions, and/or communication systems.

***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 on 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, as well as the related FAQ, specified and published by the European Commission at

<https://ec.europa.eu/europeaid/communication-and-visibility-manual-eu-external-actions_en>).

### 2.1.3 Eligible costs: costs that can be included

The Sub-Grant can cover only eligible costs. The categories of costs that are eligible and non-eligible are indicated below. To be eligible, a cost:

* must comply with the provisions of Article 12 of the Sub-Grant Contract (see Annex B.I to these guidelines);
* must be necessary to the implementation of the Action;
* must be included in the categories listed below:

***Eligible direct costs***

* **Cost of gross salaries or cost of freelance services provided by the staff performing R&D&I activities (**including, *inter alia*: design, prototype, development, testing coding/programming); **promotional activities**, and any other activity necessary to implement the Action.

Individual R&D, ICT specialists and/or students may be included in applicants’ implementation teams on the basis of labour or similar civil contracts (e.g. freelance service contract) with their salaries or fees declared in HR budget lines. No separate procurement procedure, or other competitive selection procedure, is required if their names and functions are provided in the Sub-Grant application, and their salaries or fees correspond to market rates and typical rates offered by the applicants.

* **Costs of purchase of equipment and tools** necessary to perform R&D&I activities and any other activity necessary to implement the Action.
* **Costs of purchase of IT applications** necessary to perform R&D&I activities, promotional activities and any other activity necessary to implement the Action.
* **Costs of purchase of external services** necessary to perform R&D&I activities, promotional activities and any other activity necessary to implement the Action. This includes **translation costs** from/to the following languages: Armenian, Polish, Albanian, English.
* **Costs of purchase of consumable materials.** Consumables must be necessary to implement the Action activities and include, without being limited to: office consumables, cartridges and similar items.
* **Costs of intellectual property protection**.
* **Travel and subsistence costs** of staff and other persons taking part to the action, provided that travel is justified and necessary to the implementation of the Action.
* **Costs of design, creation, production / printing of materials** **to promote** the mobile application / the smart solution.
* **Costs related to the organization of offline/online/hybrid events** **to promote** the mobile application / the smart solution.
* **Costs of production of visibility materials**, e.g., banners, posters, etc.
* **Duties, taxes and charges, including VAT, if paid and not recoverable by the Sub-Grantee / Sub-Grant Beneficiaries.**
* Other costs which are duly justified in the Sub-Grant application.

**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;
* currency exchange losses;
* costs that are incurred prior to the signature of the Sub-Grant contract;
* in-kind contributions;
* credit to third parties;
* VAT taxes and customs duties (if recoverable, under national regulations);
* any other cost that is not strictly related and necessary to the implementation of the Action.
* performance-based bonuses included in costs of staff.

Eligible indirect costs

**The indirect costs incurred in carrying out the action are eligible for flat-rate funding at 5%** 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 Sub-Grant Contract. Once the flat rate has been fixed in the Sub-Grant Contract, no supporting documents need to be provided.

The Applicant is **required to submit a Budget for the Action** that is the financial part of the application. The template is provided under Annex A.II.

The budget is both a cost estimate and an overall ceiling for ‘eligible costs’.

**The reimbursement of eligible costs** shall be based on **actual costs incurred** by the beneficiary **within the limit set by the budget and by the Sub-Grant contract**. It is therefore in the applicants' interest to provide a **realistic and cost-effective budget**. The necessity of budgeted costs shall be duly justified in the Sub-Grant Application.

Recommendations to award a Sub-Grant are always subject to the condition that the checks preceding the signing of the Sub-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 Sub-Grantor to impose modifications or reductions to address such mistakes or inaccuracies.

**It is not possible to increase the Sub-Grant value or the percentage of EU co-financing as a result of these corrections.**

## 2.2 SUBMISSION OF AN APPLICATION

### 2.2.1 HOW TO SUBMIT AN APPLICATION

Applications must be submitted in accordance with the instructions in the Sub-Grant application form annexed to these guidelines. Each application will include:

1. A descriptive section, prepared using Annex A.I – Sub-Grant Application
2. A financial section, prepared using Annex A.II – Budget.

The language of applications is **English.**

The above-mentioned documents – Sub-Grant Application and Budget, as per bullets 1 and 2 - must be supplied:

* as scans of the originals (i.e., showing legible stamps, signatures, and dates, as the relevant forms require) **AND**
* in editable format (the Sub-Grant Application in Word format, or equivalent; the Budget in Excel format, or equivalent).

The declarations by the Applicant in the Application form will be cross-checked with the supporting documents that will be provided by the Applicant (see Step 4 – Notification in these GfA). Any **incoherence between the declaration by the Applicant** and the supporting documents may lead to the rejection of the Application on that **sole** basis.

**Hand-written applications will not be accepted.**

### 2.2.2 WHERE AND HOW TO SEND THE APPLICATION

The Application, completed according to instructions and including all the required documents, must be submitted as a scan of the signed original and in editable format, and **sent in electronic format to the following e-mail**:

**SG@hazardouswm.eu**

The evidence shall be constituted by the date and hour when the e-mail enters the mailbox. E-mail receipt will be acknowledged.

The Application must include:

* a **scanned copy of all required documents, in PDF or other non-modifiable format**

 **AND**

* **the same documents in editable format** (the Sub-Grant application in Word format, or equivalent; the Budget in Excel format, or equivalent).

The e-mail shall clearly indicate **the reference of the call for proposals (ENI/2019/412-943/SG3)** and the **Lot under which the application is submitted**.

The Sub-Grantor reserves the right to ask for the submission of signed originals in hard copy at any time during the procedure. **The Applicant is strongly advised not to wait until the last day to submit** its application, as heavy Internet traffic or the Internet connection failure may hamper or delay the submission. The Sub-Grantor shall not be held responsible for any delay due to such afore-mentioned difficulties.

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**The applicants must verify that their application is complete using the related checklist available in the application form (Part 5). Incomplete applications may be rejected.**

2.2.3 Deadline for submission

The deadline for the submission of applications is **7 April 2023 at 24:00 Armenian time (GMT+4; 22:00 CET[[13]](#footnote-13))**, as evidenced by the date and hour when the e-mail entered the mailbox.

**Any application submitted after the deadline will be rejected.**

2.2.4 Other information on submission

Info-sessions on this call for proposals will be held on:

|  |  |
| --- | --- |
| **Info-Sessions for Potential Applicants** | **10 March 2023 15:00 Armenian time (GMT +4; 12:00 CET)**,Zoom meeting registration link:<https://us02web.zoom.us/meeting/register/tZ0oc-Cgqz0oGtcC6YNnrXBdZQQ7KICs6-p0>  |

Potential applicants may submit questions by e-mail not later than **17 March 2023 at 24:00 Armenian time**

**(GMT+4; 21:00 CET)** to the e-mail address below, clearly indicating the reference of the call for proposals (ENI/2019/412-943/SG3):

**SG@hazardouswm.eu**

The Sub-Grantor has no obligation to provide clarifications to questions received after this date. Replies will be given no later than **24 March 2023.**

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 same website where these Guidelines are published. It is therefore advisable to consult the abovementioned website regularly in order to be informed of the questions and answers published.

To ensure equal treatment of applicants, the Sub-Grantor cannot give a prior opinion on the eligibility of an Applicant or an Action.

## 2.3 EVALUATION AND SELECTION OF APPLICATIONS

Applications will be examined and evaluated by an evaluation committee established *ad hoc* by the Sub-Grantor. 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 may be rejected on this sole basis.

#### STEP 1 – OPENING AND ADMINISTRATIVE CHECK

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

* + - If the submission deadline has been met. Otherwise, the application will be automatically rejected.

The administrative compliance and eligibility of application submitted by the deadline will be checked according to the following grid:

|  |  |  |
| --- | --- | --- |
| **Administrative and eligibility criteria** | **Yes** | **No** |
| A1. Is the Application accurate and complete, as specified in the checklist of the Sub-Grant Application form? Are documents signed and stamped and submitted in a scanned format? Are the same documents submitted in editable format? |  |  |
| A2. Is the proposal in English language and typed (not handwritten)? |  |  |
| A3. Is the declaration by the Lead Applicant filled in and signed? |  |  |
| A4. Did the Co-applicant complete and sign the mandate and is the mandate included? |  |  |
| A5. Is the CV of the Team Leader included? |  |  |
| E1. Is the planned duration of the implementation 12 months or less? |  |  |
| E2. Is the total cost of the Action as per budget (Main Heading 8) (including Sub-Grantor grant and own Applicant’s co-financing) comprised between EUR 25,000 and EUR 45,000 as per section 1.3 of the guidelines? |  |  |
| E3. Is the Lead Applicant compliant with the criteria for the eligibility of applicants – Lead Applicant (section 2.1.1) – of these Guidelines? |  |  |
| E4. Is the Co-applicant compliant with the criteria for the eligibility of applicants – Co-applicant (section 2.1.1) – of these Guidelines? |  |  |
| E5. Is the Applicant’s own co-financing at least 10% of the total Action eligible costs? |  |  |
| E6. Does the application comply with the criteria on eligible and ineligible types of activities? |  |  |

#### STEP 2 – EVALUATION

The applications that pass the administrative check will be evaluated according to the grid below.

The evaluation phase will be structured in two parts:

* + - **Part 1 - Desk evaluation** by the appointed Evaluation Committee, in accordance to criteria 1 to 6;
		- The Applications scoring at least 50 at the desk evaluation will be invited to the **Part 2 - Online presentation at the International Competition Finals.** Each Applicant will be asked to present their Application and to reply to a set of questions by the Evaluation Committee members. The presentation will be scored as per criterion 7.

| **Criteria** | **Max.** **Score** |
| --- | --- |
| **1. Relevance**  | **10** |
| 1.1 How relevant is the proposal to the general objective of the Call for Proposals and to the specific objective of the Lot under which it is submitted? | 10 |
| **2. Functionality of proposed innovation or smart / digital solution /** | **25** |
| 2.1 Is the proposed innovation or smart / digital solution linked with the activities and priority areas of the Lot under which it is submitted? Is the proposed innovation or smart / digital solution likely to improve the quality of MW/HHW management processes in the target city/cities? | 10 |
| 2.2 How coherent is the internal design of the proposed innovation or smart / digital solution? Are the characteristics and functions of the innovation or smart / digital solution clearly described? | 10 |
| 2.3 Are the proposed targets of institutional users and end-users realistic? Are appropriate activities proposed to promote the innovation or smart / digital solution and reach the proposed targets? | 5 |
| **3. Feasibility of expansion / universality of application?** | **10** |
| 3.1 Is the proposed innovation or smart / digital solution likely to have multiplier effects, including scope for replication and extension beyond the target city/cities? | 5 |
| 3.2. Is the innovation or smart / digital solution designed as an open source software or as protected intellectual property? | Yes: 5No: 0 |
| **4. Implementation of Action** | **10** |
| 4.1 Is the timetable clear and feasible? Is it relevant to the proposed activities and realistic? | 5 |
| 4.2 Is the role of applicants realistic and clearly explained? Are all the applicants involved in, and necessary to, the implementation of the proposed Action? *(NOTE: If the application is presented by the sole Lead Applicant (no Co-Applicant) this score is 5)* | 5 |
| **5. Technical capacity of Applicant** | **10** |
| 5.1 Does the proposed Project Team Leader’s CV demonstrate sufficient technical expertise and capacity (including knowledge of the issues to be addressed) to successfully implement the proposed Action?  | 10 |
| **6. Budget and cost-effectiveness of Action** | **15** |
| 6.1 Are all activities appropriately reflected in the budget? Is the ratio between the estimated costs and the expected results satisfactory? | 10 |
| 6.2 What is the level of co-financing by the Sub-grantee(s)? | If 10%=010-14.99%=215-19.99%=4> 20%=5 |
| **7. Score of the online presentation at International Competition Finals (Yerevan)**  | **20** |
| 7.1.Score of the online presentation of the proposed Action at the International Competition Finals (Yerevan)  | 20 |
| **Maximum total score** | **100** |

If any of the information necessary to perform evaluation in accordance with the evaluation grid is missing, incomplete or incorrect, thus rendering evaluation not possible, the application **may be rejected on that sole basis** and the application will not be evaluated or considered further.

Each application will be attributed a score.

**Applications that score less than 6 at the criterion 1 - Relevance will be rejected**.

**Applications whose total score is less than 50 at the Desk Evaluation will be rejected**.

Applications scoring 50 or more will be invited to the **Part 2 of the Evaluation, the Online presentation at the International Competition Finals.**

A table will be drawn up listing the applications ranked according to the score attributed. The highest scoring applications **within each Lot** will be provisionally selected and financed. The applications that are not provisionally selected and financed will be included in a common reserve list, ranked by score.

The reserve list will be used:

1. if after financing one project proposal in each Lot the available budget for this call for proposals is not entirely utilised, and the Sub-Grantor decides to finance one or more additional project proposals;
2. if an applicant is unavailable for contracting or is assessed as ineligible.

In case of equally ranking applications in the reserve list, preference may be given to applications under Lot 1. However, in the case described under (b) the preference may be granted to the second-best scoring application submitted under the same Lot as the ineligible or unavailable applicant, without considering the score of reserve list applications submitted under the other Lots.

If the total value of sub-grants of the applications selected in the reserve list exceeds the above overall indicative amount, the Contracting Authority (Sub-Grantor) may increase the amount of financial support made available under this Call for Proposals, subject to the Contracting Authority (Sub-Grantor)'s budgetary constraints and other considerations.

#### STEP 3 – NOTIFICATION and VERIFICATION OF ELIGIBILITY

The applicant whose application has been provisionally selected or placed on the reserve list will be informed in writing by the Sub-Grantor.

The applicants will be informed in writing of the Sub-Grantor’s decision concerning their application and, if rejected, the reasons for the negative decision. Awarded Applicants (Lead Applicant and Co-Applicant) will be requested to submit the following documents:

1. The **legal entity sheet** duly completed and signed by each of the Applicants (i.e., by the Lead Applicant and by the Co-Applicant – if any)
2. A copy of the **Company/ Institution Registration Certificate, Statute or equivalent documents** as requested in the legal entity sheet (i.e., by the Lead Applicant and by the Co-Applicant – if any);
3. A completed **financial identification form** to indicate the bank account into which payments should be made, duly completed and signed by the Lead Applicant;
4. **Duly authorised signature**: an official document (statutes, power of attorney, designation order or decision, notary statement, etc.) proving that the person who signed on behalf of the Applicant is duly authorised to do so – to be provided by each of the Applicants (i.e., by the Lead Applicant and by each Co-Applicant – if any);
5. A **Declaration on Honour (**PRAG Annex A14[[14]](#footnote-14)) duly filled and signed by each of the Applicants (i.e., by the Lead Applicant and by the Co-Applicant – if any), certifying that they are not in any of the situations excluding them from participating in contracts which are listed in Section 2.6.10.1. of the practical guide.

The provision of the above-mentioned documents is a pre-condition to the contract signature. Document templates will be provided by the Sub-Grantor.

The documents provided under STEP 3 will be used to verify the eligibility of the applicants (Lead Applicant, and Co-Applicant, if any) in accordance to the criteria set out in Sections 2.1.1 and 2.1.2.

If documents are not submitted, or in case of nonconformity with the declarations included in the Sub-Grant Application and ineligibility of Lead Applicant, and/or Co-Applicant, if any, the application will be rejected and contracting will not be possible.

Any rejected application may be replaced by the next best-placed application on the reserve list that falls within the same Lot and the available budget for this call for proposals, subject to conditions set in STEP 2 above.

An Applicant believing that it has been harmed by an error or irregularity during the award process may lodge a complaint. See Section 2.12 of the practical guide

(https://wikis.ec.europa.eu/display/ExactExternalWiki/2.+Basic+rules#id-2.Basicrules-2.12.Legalremedies ).

Applicants and, if they are legal entities, persons who have powers of representation, decision-making or control over them, are informed that, should they be in one of the situations of early detection or exclusion, their personal details (name, given name if natural person, address, legal form and name and given name of the persons with powers of representation, decision-making or control, if legal person) may be registered in the early detection and exclusion system, and communicated to the persons and entities concerned in relation to the award or the execution of a Sub-Grant contract. For more information, you may consult the privacy statement available on <http://ec.europa.eu/budget/explained/management/protecting/protect_en.cfm>

# 3. INDICATIVE TIMETABLE

|  |  |  |
| --- | --- | --- |
| **ACTIVITY** | **DATE** | **TIME** |
| **1. Announcement**  | **24 February 2023** | **=** |
| **2. Info-days** | **10 March 2023** | **15:00 Armenian time (GMT+4; 12:00 CET)** |
| **3. Deadline for requesting any clarifications from the Sub-Grantor** | **17 March 2023** | **24:00 Armenian time****(GMT+4; 21:00 CET)** |
| **4. Last date on which clarifications are issued by the Sub-Grantor** | **24 March 2023** | **=** |
| **5. Deadline for submission of applications** | **7 April 2023** | **24:00 Armenian time****(GMT+4; 22:00 CET)** |
| **6. Notification of award**  | **5 May 2023** | **=** |
| **7. Contract signature** | **15 May 2023** | **=** |

All times are in the time zone of the country of the Sub-Grantor (Armenian time, GMT +4).

This indicative timetable refers to provisional dates (except for dates 1, 2, 3, and 4) and may be updated by the Sub-Grantor during the procedure.

# 4. CONDITIONS OF IMPLEMENTATION IN CASE OF AWARD

Following the decision to award a Sub-Grant, the will be notified by the Sub-Grantor and offered a contract as per Annex B.I to these guidelines.

By signing the application form (Annex A.I to these guidelines), the Applicants agree, if awarded a Sub-Grant, to accept the contractual conditions of the above-mentioned Sub-Grant Contract and to implement the action in accordance with such conditions.

**The Sub-Grantee shall bear full responsibility for the implementation of the Sub-Grant contract**. **Sub-contracting the implementation of full tasks/activities that form part of the Action and are described in the application in order to outsource them to third entities is not permitted.**

# 5. LIST OF ANNEXES

**PART A – ANNEXES TO BE COMPLETED**

Annex A.I: Sub-Grant Application Form (Word format)

Annex A.II: Budget (Excel format)

**PART B - DOCUMENTS FOR INFORMATION**

Annex B.I: Sub-Grant Contract

1. This document was produced with the financial support of the European Union. Its contents are the sole responsibility of the "Capital Cities Collaborating on Common Challenges in Hazardous Waste Management - Yerevan, Warsaw, Tirana" Project Team and do not necessarily reflect the views of the European Union. [↑](#footnote-ref-1)
2. As defined by the COMMISSION RECOMMENDATION of 6 May 2003 concerning the definition of micro, small and medium-sized enterprises (notified under document number C(2003) 1422) (Text with EEA relevance) (2003/361/EC)

<https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32003H0361&from=EN> [↑](#footnote-ref-2)
3. ‘Research Institution / Research and Development Institution means an entity, irrespective of its legal status, (organised under public or private law) or way of financing, whose primary goal is to independently conduct fundamental research, industrial research or experimental development or to widely disseminate the results of such activities by way of teaching, publication or knowledge transfer. Where such entity also pursues economic activities the financing, the costs and the revenues of those economic activities must be accounted for separately. (from General Block Exemption Regulation, Regulation (EU) 651/2014, Article 2 (83)). [↑](#footnote-ref-3)
4. See footnote 2. [↑](#footnote-ref-4)
5. See footnote 3. [↑](#footnote-ref-5)
6. Austria, Belgium, Bulgaria, Czech Republic, Croatia, Cyprus, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, United Kingdom, Iceland, Lichtenstein, Norway. United Kingdom ceased to be an EU Member State on the 31 of January 2020. However is considered eligible pursuant to the Withdrawal Agreement concluded between the EU and the UK, as references to the eligibility of ‘Member States’ for participation in programmes under the current 2014-2020 MFF and the EDFs also cover the United Kingdom (Article 127(6), Article 137 and Article 152(1) Withdrawal Agreement). [↑](#footnote-ref-6)
7. Algeria, Armenia, Azerbaijan, Belarus, Egypt, Georgia, Israel, Jordan, Lebanon, Libya, Republic of Moldova, Morocco, occupied Palestinian territory (oPt), Syria, Tunisia, Ukraine. [↑](#footnote-ref-7)
8. Albania, Bosnia and Herzegovina, Kosovo, Montenegro, Serbia, Turkey, Republic of North Macedonia. [↑](#footnote-ref-8)
9. <https://wikis.ec.europa.eu/display/ExactExternalWiki/ePRAG> [↑](#footnote-ref-9)
10. The updated lists of sanctions are available at [www.sanctionsmap.eu](http://www.sanctionsmap.eu). Please note that the sanctions map is an IT tool for identifying the sanctions regimes. The source of the sanctions stems from legal acts published in the Official Journal (OJ). In case of discrepancy between the published legal acts and the updates on the website it is the OJ version that prevails. [↑](#footnote-ref-10)
11. Subject to Sub-grantor obtaining grant contract amendment. [↑](#footnote-ref-11)
12. The Contracting Authority (Sub-Grantor), does not own and will not provide such digital application or the relevant license for modification (copyright liability). [↑](#footnote-ref-12)
13. Daylight saving time will be introduced on 26 March 2023. [↑](#footnote-ref-13)
14. Available on <https://wikis.ec.europa.eu/display/ExactExternalWiki/Annexes> [↑](#footnote-ref-14)