



## **Sub-Grant Manual**

# **HOME - The way forward to reforms in the housing sector: empowering grass-root homeowners associations in Azerbaijan, Belarus, Georgia, Moldova and Ukraine**

Reference: *HOME contract with the European Commission*

Deadline for submission of applications

**29<sup>th</sup> December 2015**

**18:00 h**

### **NOTICE**

The Grant Manual is intended to describe in detail the management and administration of the sub grant programme of the project HOME “The way forward to reforms in the housing sector: empowering grass-root homeowners associations in Azerbaijan, Belarus, Georgia, Moldova and Ukraine”. The manual provides guides on the funding and disbursements mechanisms on the whole. It outlines eligibility criteria, activities that will be funded, the phases and steps to identify, assess and disburse funds to grant recipients.

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# 1. THE WAY FORWARD TO REFORMS IN THE HOUSING SECTOR: EMPOWERING GRASS-ROOT HOMEOWNERS ASSOCIATIONS IN AZERBAIJAN, BELARUS, GEORGIA, MOLDOVA AND UKRAINE

## 1.1. BACKGROUND & OBJECTIVES OF THE HOME PROJECT AND PRIORITY ISSUES

The overall goal of the project HOME is to strengthen the capacity of civil society organisations (CSOs) in the housing sector in Azerbaijan, Belarus, Georgia, Moldova and Ukraine. The work programme of the project and its individual activities are designed to meet the demands of the target groups as much as possible. They intend to further the knowledge and capacities of the target groups and final beneficiaries (citizens and civil society, incl. elderly and handicapped people, national and local associations in the housing sector, esp. homeowner associations, CSOs working on housing, energy efficiency topics and elderly/ handicapped people issues, local and national authorities) by transferring knowledge from international to national, regional and local level.

In all countries involved, the housing sector is one of the primary concerns. Especially multi-storey apartment buildings, built as blocks, are in poor condition. The reasons for the large refurbishment backlog are manifold: inefficient housing administration, inadequate financial resources, lack of expertise and political support.

To overcome these obstacles the project has the following objectives:

- to promote housing management and energy-efficient refurbishment and also barrier-free living in multi-storey apartment buildings
- to understand limitations and opportunities to implement energy efficient measures in the housing stock in AZ, BY, GE, MD & UA
- to support the national housing reforms and to strengthen the civil society organizations' (CSOs) role as watchdog
- to implement capacity-building measures by trainings, workshops, seminars and study tour
- to improve professionalism, organisational as well as institutional capacities of CSOs, in order to respond to calls for proposals
- to improve the interaction between CSOs and authorities at the national, regional and local level
- to encourage the CSOs to actively participate in policy-making processes promoting the ideas of multi-level participatory governance and enabling housing associations to become key stakeholders in development planning
- to strengthen the cooperation between German and international organizations

The project aims to support the residents often being the apartment owners, to organize an effective administration. Although in some partner countries, the residents have to organize the administration by law, in reality residential buildings are often managed by the state administration companies. But the work of these companies is a permanent point of criticism, as they often lack of transparency and qualified personnel.

This results in a great need for a strong system of information dissemination and technical assistance to help homeowners form and operate homeowners' associations (HOAs) and to improve hereby their situation. HOAs need structure and a system of support if they are to be sustainable. For this purpose, it is necessary to establish and to strengthen institutions (Technical Advisory Centres, TACs), which will support relevant target groups in order to improve and increase their knowledge on housing issues.

Tasks and objectives of Technical Assistance Centres (TACs) are:

- to increase the knowledge and awareness of citizens about their rights in the property, principles and activities of homeowners' associations (HOAs)
- to organize and conduct seminars and trainings on topics, such as the establishment and running of HOAs
- to provide training for HOAs accountants
- to support the organization, implementation and participation (if necessary) of HOAs' meetings
- regular telephone consultation hours "Hotline"
- individual consulting and training of local residents
- bundling of proposals from NGOs, HOAs in the development of recommendations for changes in legislation
- dissemination of best practices by HOAs in the partner towns
- to promote the cooperation with international donors and organizations that will help the partner cities with the establishment of HOAs
- provide for a debate space for HOAs, where they could discuss existing challenges and obstacles in housing stock management.

In the end, though, the success of reforms in the housing sector is directly linked to national and local governments' renewed commitment to complete the process of privatization and transfer more power to the homeowners. Therefore, the project's main purpose is to create a transparent and competitive re-granting scheme for Civil Society Organisations. The winner organisations will receive not only financial support but also a package of capacity building measures and advisory services.

## **1.2. FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY**

### **1.2.1. OVERALL INDICATIVE AMOUNT FOR THIS CALL FOR PROPOSALS**

The overall indicative amount made available under this call for proposals is **EUR 468,500.00**. The Contracting Authority reserves the right not to award all available funds.

### **1.2.2. SIZE OF GRANTS**

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

- minimum amount: EUR 30,000
- maximum amount: EUR 50,000

### **1.2.3. ADDITIONAL FUNDS (CO-FINANCING)**

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

- Maximum percentage: 80 %<sup>1</sup> of the total eligible costs of the action (see also section 2.1.3).

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<sup>1</sup> As a condition for the sub granting mechanism, on average 20% of the overall eligible costs of each project or activity need to be covered as co-financing by the applicant organisation in cash. *Example:* If you submit a proposal for an activity with an overall total budget of eligible costs of 40,000 EUR, the maximum grant that may be awarded will be 32,000 EUR, which will be disbursed by HOME as a cash grant. At the end of the project or activity, you will have to demonstrate in your accounting (through salary slips, invoices and other documentary evidence) that you have actually spent 40,000 EUR in eligible costs.

The balance (i.e. the difference between the total cost of the action and the amount requested from the Contracting Authority) must be financed from sources other than the European Union Budget or the European Development Fund<sup>2</sup>.

## 2. RULES FOR THIS CALL FOR PROPOSALS

These Sub-Grant-Manual (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:

- The 'lead applicant', i.e. the entity submitting the application form (2.1.1),
- if any, its co-applicant(s) (where it is not specified otherwise the lead applicant and its co-applicant(s) are hereinafter jointly referred as "applicant(s)") (2.1.1),

(2) the actions:

- Actions for which a grant may be awarded (2.1.2);

(3) the costs:

- types of cost that may be taken into account in setting the amount of the grant (2.1.3).

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

##### 2.1.1.1. LEAD APPLICANT

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

- be non-profit-making and
- be a specific type of organisation such as:
  - National and local associations in the housing sector,
  - Homeowner Associations,
  - CSOs working on housing and energy efficiency topics and elderly/ disabled people issues,
  - Higher learning institutions,
- have the ability to:
  - facilitate and ensure active participation of diverse stakeholders, involvement of local population and other actors as co-implementers,
- provide technical assistance to target groups,
- additionally to:
  - reach a relevant number of targeted people (including extended effect upon the project completion),
  - provide a realistic implementation plan (including capacity of the group to carry out the action),

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<sup>2</sup> Where a grant is financed by the European Development Fund, any mention of European Union financing must be understood as referring to European Development Fund financing.

- prove financial relevance, possibilities for co-financing by the applicants (up to 20% of the total sum),
- reach potential sustainability of the results,
- provide demonstrated qualifications, references, and proper constitution and legality of the applicant,
- be directly responsible for the preparation and management of the action, not acting as an intermediary,
- have capacity to enter into legal agreement (be able to sign a contract).

(2) Potential applicants may not participate in calls for proposals or be awarded grants if they are in any of the situations listed below:

- have a legal dispute or debts that could materially affect the institution's ability to undertake the project,
- organisations with record of conviction for fraud and other corrupt practices,
- organisations based on political and partisan interest.

#### **2.1.1.2. GROUP APPLICATION (Co-applicant(s))**

If applying on behalf of an informal group of organisations, that have come together informally to work on a project, the organisation must:

- Nominate one of the organisations as leader, to act on behalf of all those involved,
- Fill in the application for the group (this should be done by the lead organisation),
- Accept that the grant will be paid to the lead organization, who will be responsible for meeting the conditions of the grant,
- Provide written consent for the application from all the members of the consortium (signed mandate in the grant application form). When applying as a group of organisations, you must clearly describe the roles of the different group members in the implementation of your proposed project,
- Co-applicants must satisfy the eligibility criteria as applicable to the lead applicant himself.

## **2.1.2. ELIGIBLE ACTIONS: ACTIONS FOR WHICH AN APPLICATION MAY BE MADE**

### **2.1.2.1. WHAT IS AN ACTION**

An action is composed of a set of activities.

### **2.1.2.2. DURATION**

The initial planned duration of an action may not be lower than 18 months nor exceed 20 months.

### **2.1.2.3. SECTORS OR THEMES**

Housing management, energy-efficient refurbishment, barrier-free living in multi-storeyed apartment buildings

### **2.1.2.4. LOCATION**

Actions should take place in one of the following countries/regions: Azerbaijan (Baku), Belarus (Grodno, Minsk, Mozyr, Vitebsk), Georgia (Tbilisi, Batumi, Kutaisi), Moldova (Chisinau), Ukraine (Charkiv, Lviv, Odessa, Mykolaiv, Zaporizhia).

#### 2.1.2.5. ACTIVITIES THE SUB-GRANT WILL SUPPORT

Activities eligible for sub-projects include establishment and further development of TACs, implementation of trainings, information activities and consultations for the target groups and final beneficiaries. Tasks and objectives of Technical Assistance Centres (TACs) are (the list is not exhaustive):

1. Advisory services to general stakeholders and citizens willing to found Homeowner Associations
  - increase the knowledge and awareness of citizens about their rights in the property, principles and activities of homeowners' associations (HOAs)
  - regular telephone consultation hours "Hotline"
  - individual consulting of local residents
  - support the organization, implementation and participation (if necessary) of HOAs' meetings
  - others
2. Capacity building activities to target groups on project topics (such as the establishment and running of HOAs)
  - trainings / seminars
  - public information events (i.e. forums, conferences etc.)
  - others
3. Information campaigns on project topics
  - dissemination of best practices by HOAs in the partner towns
  - raising awareness activities
    - print
    - internet
    - radio
    - television
    - others
4. Consultations with local and regional authorities
  - bundling of proposals from NGOs, HOAs in the development of recommendations for changes in legislation
  - to promote the cooperation with international donors and organizations that will help the partner cities with the establishment of HOAs
  - networking building activities
  - others

#### 2.1.2.6. ACTIVITIES THE SUB-GRANT WILL NOT SUPPORT

- Projects that fall outside areas outlined above,
- Capital intensive projects and construction,
- Profit making organizations,
- Scholarships,
- Fellowships,
- Study programs, including research,
- Individuals applying on their own behalf,
- Organizations not categorized as CSOs,
- Political activities such as political financing

#### **2.1.2.7. TRAININGS FOR TACS (NATIONAL & INTERNATIONAL)**

The winner organisations will receive not only financial support but also a package of capacity building measures and advisory services. It is planned to provide several national and international training activities to grant winners. Applicants are asked to take into account the dates and the costs caused (flight and accommodation costs for 2 persons per training activity) within their project plan and budget.

1. Training Georgia, Batumi - 18.04-22.04. 2016 (approx. 4 days)
2. Training Azerbaijan, Baku- 30.05-03.06. 2016 (approx. 4 days)
3. Training Belarus, Minsk - 12.09-16.09. 2016 (approx. 4 days)
4. Training Moldova, Chisinau - 10.10-14.10. 2016 (approx. 4 days)
5. Training in Ukraine, Lviv - 11. 2016 (approx. 4 days)<sup>3</sup>
6. Study tour to Germany, Berlin - 01.12.- 07.12. 2016 (approx. 6 days)
7. Best practice training (place and time will be defined in second half of 2016)

For the dates: In each case the working week is meant. Winners will be informed about final dates at beginning of the year 2016.

#### **2.1.2.8. VISIBILITY**

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

#### **2.1.2.9. NUMBER OF GRANTS AND APPLICATIONS PER APPLICANTS**

It is foreseen to provide at least 11 grants in the following regions:

Azerbaijan (Baku): 1 grant,  
Belarus (Grodno, Minsk, Mozyr, Vitebsk): 1 grant,  
Georgia (Tbilisi, Batumi, Kutaisi): 3 grants,  
Moldova (Chisinau): 1 grant,  
Ukraine (Charkiv, Lviv, Odessa, Mykolaiv, Zaporizhia): 5 grants.

Organizations can make applications as members of a group. Organizations who are members of a group may submit applications in their own right for activities that are not connected to the group. In this case, the organization must be very clear about how their application differs from the group application.

The lead applicant may not submit more than 1 applications under this call for proposals.

The lead applicant may not be awarded more than 1 grant under this call for proposals.

The lead applicant may be a co-applicant in another application at the same time.

A co-applicant may not be the co-applicant in more than 2 application(s) under this call for proposals.

A co-applicant may not be awarded more than 1 grant under this call for proposals.

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<sup>3</sup> Dates for the training in Lviv will be fixed in January 2016.

### 2.1.3. ELIGIBILITY OF COSTS: COSTS THAT CAN BE INCLUDED

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

#### 2.1.3.1. ELIGIBLE COSTS

##### 1. **Human Resources**

- Salaries (gross salaries including social security charges and other related costs, local staff)
- Per diems for missions/travel (local/international). Per diems cover accommodation, meals, local travel within the place of mission and sundry expenses.

##### 2. **Travel expenses**

- International (flights)
- Local (bus; train)
- Visa costs (if applicable)

##### 3. **Equipment and supplies**

- Furniture
- Computer equipment

##### 4. **Local office;**

- Office rent
- Vehicle costs
- Consumables - office supplies
- Other services (tel/fax, electricity/heating, maintenance)

##### 5. **Other costs, services**

- Publications
- Project flyer
- Web portal (development, hosting, domain, programming and maintenance)
- Project corporate design (template, logo)
- Publication of project results
- National external experts
- International external experts
- Translation, interpreters
- Financial services (bank guarantee costs etc.)
- Costs of conferences/seminars
- Trainings (room rent, equipment, catering, hand-out materials, etc.)
- Conferences (room rent, equipment, catering, hand-outs, etc.)
- Visibility expenses

#### 2.1.3.2. CONTRIBUTIONS IN KIND

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

### 2.1.3.3. INELIGIBLE COSTS

The following costs are not eligible:

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

## 2.2. HOW TO APPLY AND THE PROCEDURES TO FOLLOW

### 2.2.1. APPLICATIONS CONTENT

#### 2.2.1.1. CONTENT

Applications must be submitted in accordance with the application instructions in the grant application form annexed to this Sub-Grant-Manual (Annex A).

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

Any error related to the points listed in the checklist or any major inconsistency in the application (e.g. if the amounts in the budget worksheets are inconsistent) may lead to the rejection of the application.

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

Please note that the application form and the published annexes, which have to be filled in (budget), will be assessed by the evaluation and awarding committee. It is therefore of utmost importance that these documents contain ALL the relevant information concerning the action.

#### 2.2.1.2. LANGUAGE

Applicants may apply in Russian or English.

### 2.2.2. WHERE AND HOW TO SEND APPLICATIONS

Full applications (i.e. the full application form, the budget and the declaration by the lead applicant) must be submitted in a sealed envelope by registered mail, private courier service or by hand-delivery (the receipt will be confirmed by e-mail) to the addresses below.

Country	Region	Postal address	Address for hand delivery and by private courier service
Azerbaijan	Baku	AZ 1073 Baku city, Yasamal district, Zahid Xalilov street 43, apartment 3, “Əmlak Bazarı İştirakçıları”	AZ 1073 Baku city, Yasamal district, Zahid Xalilov street 43, apartment 3, “Əmlak Bazarı İştirakçıları”
Belarus	Grodno, Minsk, Mozyr, Vitebsk	NGO "EKAPRAEKT" Masherova 9, office 218 220029, Minsk, Belarus	NGO "EKAPRAEKT" Masherova 9, office 218 220029, Minsk, Belarus
Moldova	Chisinau	Institute for Urban Development (IUD) Chişinău, str. M.Eminescu, 29/1	Institute for Urban Development (IUD) Chişinău, str. M.Eminescu, 29/2
Georgia	Kutaisi	Attn.: <i>Ms. Nino Tvaltvadze</i> Local Democracy Agency – Georgia (LDA-Georgia) #111 Tsereteli ave. 4600 Kutasi, Georgia	Attn.: <i>Ms. Nino Tvaltvadze</i> Local Democracy Agency – Georgia (LDA-Georgia) #111 Tsereteli ave. 4600 Kutasi, Georgia
	Tbilisi	Attn.: <i>Ms. Nana Sharia</i> Charity Humanitarian Centre “Abkhazeti” (CHCA) #4a Freedom Square, App. 12, 0105 Tbilisi, Georgia	Attn.: <i>Ms. Nana Sharia</i> Charity Humanitarian Centre “Abkhazeti” (CHCA) #4a Freedom Square, App. 12, 0105 Tbilisi, Georgia
	Batumi	Attn.: <i>Natia Apkhazava</i> Civil Society Institute #59 Melikishvili str, V floor # 18, 6010 Batumi, Georgia	Attn.: <i>Natia Apkhazava</i> Civil Society Institute #59 Melikishvili str, V floor # 18, 6010 Batumi, Georgia
Ukraine	Lviv, Odessa, Nikolaev, Zaporizhia	Kastelivka str. 20, Lviv, 79012, Ukraine, <i>Mr. Lyubomyr Lysko</i>	Kastelivka str. 20, Lviv, 79012, Ukraine, <i>Mr. Lyubomyr Lysko</i>
	Kharkiv	Ukraine 61052 Kharkiv улица Дмитриевская Dmitrievskaya str. 5, Apartm. 16 Mrs. Yuliya Samoilova Fond “Spriyannya“	Ukraine 61052 Kharkiv улица Дмитриевская Dmitrievskaya str. 5, Apartm. 16 Mrs. Yuliya Samoilova Fond “Spriyannya“

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

The applicant has to submit the proposal in Russian or English (one original and one copy) in A4 size, each bound. In case of differences between the copy documents the original version prevails. The full application form and budget must also be supplied in electronic format (CD-Rom) in a separate and single file (i.e. the

full application must not be split into several different files). The electronic file must contain exactly the same application as the paper version.

The checklist in the grant application form and the declaration by the lead applicant must be stapled separately and enclosed in the envelope.

The envelope must bear the full name and address of the lead applicant.

**Applicants must verify that their application is complete using the checklist in the grant application form. Incomplete applications may be rejected.**

### 2.2.3. DEADLINE FOR SUBMISSION OF APPLICATIONS

The deadline for the submission of applications is < 29th of December 2015> as evidenced by the date of dispatch, the postmark or the date of the deposit slip. In the case of hand-deliveries, the deadline for receipt is at <18 hours local time> as evidenced by the signed and dated receipt. Any application submitted after the deadline will be rejected.

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

### 2.2.4. FURTHER INFORMATION ABOUT APPLICATIONS

Questions may be sent by e-mail no later than 10 days before the deadline for the submission of full applications to the addresses listed below, indicating clearly the reference of the call for proposals:

Country	Region	E-mail address
Azerbaijan	Baku	<a href="mailto:emlakbazari@mail.ru">emlakbazari@mail.ru</a>
Belarus	Grodno, Minsk, Mozyr, Vitebsk	<a href="mailto:mamn@gogo.by">mamn@gogo.by</a> ; <a href="mailto:iryna.usava@gmail.com">iryna.usava@gmail.com</a>
Moldova	Chisinau	<a href="mailto:office@idu-moldova.org">office@idu-moldova.org</a> ; <a href="mailto:office.urbana@gmail.com">office.urbana@gmail.com</a>
Georgia	Kutaisi	<a href="mailto:ldageorgia@aldaintranet.org">ldageorgia@aldaintranet.org</a>
	Tbilisi	<a href="mailto:neo@chca.org.ge">neo@chca.org.ge</a>
	Batumi	<a href="mailto:natia@civilin.org">natia@civilin.org</a>
Ukraine	Lviv, Odessa, Nikolaev, Zaporizhia	<a href="mailto:lomalviv@gmail.com">lomalviv@gmail.com</a>
	Kharkiv	<a href="mailto:alma-centr@mail.ru">alma-centr@mail.ru</a>

The Contracting Authority has no obligation to provide clarifications to questions received after this date. Replies will be given no later than 5 days before the deadline for the submission of applications.

## 2.3. EVALUATION AND SELECTION OF APPLICATIONS

After the submission of the applications, the evaluation and awarding committee (HOME project consortium) will proceed to assess the applications, looking also for synergies and possible cooperation (merging projects or readapting them in case of similar submissions).

The evaluation and awarding committee will consist of three organisations:

- Local partner of the project HOME
- International partner of the project HOME
- Lead partner of the project HOME (namely Housing Initiative for Eastern Europe (IWO e.V.))

All applications will be assessed according to the following steps and criteria.

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

#### STEP 1: OPENING & ADMINISTRATIVE CHECKS AND APPLICATION EVALUATION

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

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

The applications that pass this check will be evaluated on the relevance and design of the proposed action, their quality, including the proposed budget and capacity of the applicants.

The application will receive an overall score out of 85 using the breakdown in the evaluation grid below. There are two types of evaluation criteria: selection and award criteria.

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

- have the management capacity, professional competencies and qualifications required to successfully complete the proposed action.

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

A series of objective criteria – both quantitative and qualitative – have been established and, in case of need, will be further defined.

#### Quantitative criteria

- Expected overall number of people and communities that are reached by the activity
- Number of persons from different stakeholders, including local authorities, involved in the project
- Range of different stakeholders involved (local authorities, NGOs, citizens, underrepresented groups (esp. elderly or disabled people),
- Geographical outreach (i.e. nr of regions/communities involved),
- Percentage of match funding, represented by non-EU funds, covered by the applicants-

#### Qualitative criteria

- Activities have to contribute to the objectives of the HOME project, with a clear and feasible action plan,
- Possible awarded sub-grants should fulfil objectives and expected results of the project, demonstrating the needed co-financing in advance,
- Creativity, originality and innovation of the proposal,
- Sustainability of the action,
- Capacity to increase citizens participation in the field of housing management,
- Capacity to develop sustainable multi-stakeholders relations on the addressed issues,
- Activities to ensure visibility to the HOME project, including the Communication part, website content production and co-curation of social media pages,

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

### ***Evaluation Grid***

<b>1. Description</b>	<b>Section in the full application</b>	<b>Score</b>
1.1 Conformity of the project application to the priorities and objectives of the project competition?		/5
1.2 How coherent is the overall design of the action?		/5
1.3 Is the action feasible and consistent in relation to the objectives and expected results? <sup>4</sup>		/5
<b>Total score:</b>		<b>/15</b>

<b>2. Methodology</b>	<b>Section in the full application</b>	<b>Score</b>
2.1 Are there any advisory services to general stakeholders and citizens willing to found Homeowner Associations?		/5
2.2 Are there any capacity building activities to target groups on project topics (such as the establishment and running of HOAs)?		/5
2.3 Does the project consider information campaigns on project topics?		/5
2.4. Does the project reflect network activities with relevant stakeholders (i.e. consultations with local and regional authorities)?		/5
<b>Total score:</b>		<b>/20</b>

<b>3. Indicative action plan for implementing the action</b>	<b>Section in the full application</b>	<b>Score</b>
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<sup>4</sup> Note: A score of 5 (very good) will only be allocated if the proposal specifically addresses most of the required priorities as indicated in section 1.1 (Objectives of the sub-grant programme) of this manual.]

3.1 Is the action plan clear and feasible?		/ 5
3.2 Are the activities proposed appropriate, practical, and consistent with the objectives and expected results?		/ 5
3.3 Is the co-applicants'/affiliated entities' level of involvement and participation in the action satisfactory?		/ 5
3.4 Does the proposal contain objectively verifiable indicators for the outcome of the action? Is any evaluation planned?		/ 5
<b>Total score:</b>		<b>/20</b>

<b>4. Sustainability of the action</b>	<b>Section in the full application</b>	<b>Score</b>
4.1 Is the action likely to have a tangible impact on its target groups or-is the proposal likely to have multiplier effects? (Including scope for replication, extension and information sharing.)		/ 5
4.2 Are the expected results of the proposed action sustainable?: - financially ( <i>how will the activities be financed after the funding ends?</i> ) - institutionally ( <i>will structures allowing the activities to continue be in place at the end of the action? Will there be local "ownership" of the results of the action?</i> )		/ 5
<b>Total score:</b>		<b>/10</b>

<b>5. Budget and cost-effectiveness of the action</b>	<b>Section in the full application</b>	<b>Score</b>
5.1 Are the activities appropriately reflected in the budget?		/ 5
5.2 Is the ratio between the estimated costs and the expected results satisfactory <sup>5</sup> ?		/ 5
<b>Total score:</b>		<b>/10</b>

<b>6. Experience of the applicant</b>	<b>Section in the full application</b>	<b>Score</b>
6.1 Do the applicants have sufficient <b>experience of project management</b> and <b>management capacity</b> (including staff, equipment and ability to handle the budget for the action)?		/ 5
6.2 Do the applicants have sufficient <b>technical expertise</b> ? (specially knowledge of the issues to be addressed.)		/ 5
<b>Total score:</b>		<b>/10</b>

<sup>5</sup> If objectives and expected results are modest, all the other elements may be so too (budget must be adjusted to this strategic choice too), and other way around

Total score and recommendations	Score
1. Description	/ 15
2. Methodology	/ 20
3. Indicative action plan for implementing the action	/ 20
4. Sustainability of the action	/ 10
5. Budget and cost-effectiveness of the action	/ 10
6. Experience of the applicant	/ 10
<b>TOTAL :</b>	<b>/ 85</b>

If the total score is less than 40 points, the application will be rejected. If the score for at least five of the subsections is 1, the application will also be rejected. In case of doubts on compliance, the evaluation committee may decide to issue a request for further proofs to the lead applicant.

#### *Provisional selection*

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

#### STEP 2: VERIFICATION OF ELIGIBILITY OF THE APPLICANTS

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

- The declaration by the lead applicant (section 4 of the grant application form) will be cross-checked with the supporting documents provided by the lead applicant. Any missing supporting document or any incoherence between the declaration by the lead applicant and the supporting documents may lead to the rejection of the application on that sole basis.
- The eligibility of applicants and the affiliated entity(ies) will be verified according to the criteria set out in sections 2.1.1, 2.1.2 and 2.1.3.

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

## 2.4. SUBMISSION OF SUPPORTING DOCUMENTS FOR PROVISIONALLY SELECTED APPLICATIONS

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

1. Legal entity sheet (see Annex C of these guidelines) duly completed and signed by each of the applicants (i.e. by the lead applicant and (if any) by each co-applicant), accompanied by the justifying documents requested there.

2. A financial identification form of the lead applicant (not from co-applicant(s)) conforming to the model attached as Annex D of these guidelines, certified by the bank to which the payments will be made. This bank should be located in the country where the lead applicant is established.

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

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

## 2.5. NOTIFICATION OF THE HOME CONSORTIUM'S DECISION

### 2.5.1. CONTENT OF THE DECISION

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

### 2.5.2. INDICATIVE TIMETABLE

	DATE	TIME*
<b>Information meeting (if any)</b>	-	-
<b>Deadline for requesting any clarifications from the HOME consortium</b>	Date 10 days before the submission deadline	18:00
<b>Last date on which clarifications are issued by the HOME consortium</b>	Date 5 days before the submission deadline	-
<b>Deadline for submission of applications</b>	December 29, 2015	18:00
<b>Information to lead applicants on opening, administrative checks and application evaluation (Step 1)</b>	January 20, 2016*	-
<b>Notification of award (after the eligibility check) (Step 2)</b>	January 29, 2016*	-
<b>Contract signature</b>	February 15, 2016*	-

\***Provisional date.** All times are in the time zone of the country of the local HOME partner.

This indicative timetable may be updated by the HOME consortium during the procedure. In such cases, the updated timetable will be published on the projects' web site [WWW.JILDOM.COM](http://WWW.JILDOM.COM).

## **2.6. CONDITIONS FOR IMPLEMENTATION AFTER THE HOME CONSORTIUM'S DECISION TO AWARD A GRANT**

Following the decision to award a grant, the beneficiary(ies) will be offered a contract based on the standard grant contract. By signing the application form (Annex A of these guidelines), the applicants agree, if awarded a grant, to accept the contractual conditions of the standard grant contract.

## **3. REPORTING AND MONITORING**

### **3.1. NARRATIVE AND FINANCIAL REPORTING REQUIREMENTS**

The grantee must follow the payment schedule for all payment requests. For the grantee to be able to receive the final advance, after the initial advance, they will have to submit and have the following approved:

- a. HOME Finance Report and Request with accompanying expenditure narrative report,
- b. Supporting documents on all expenses to date that relate to that particular advance,
- c. Progress narrative report along with the agreed products, as set out in the Work Plan,

A final financial and narrative report shall be required at the completion of any grant agreement. Grantees shall submit the reports no later than 30 days after the end of the agreed project period. The grantee may submit a request for an extension of reporting due date to the HOME consortium. The HOME consortium will review and if satisfied approve the request. The following is expected from the grantee within 30 days of the end of the project:

- a. Final Finance Report with accompanying expenditure narrative report,
- b. Supporting documents on all expenses not yet accounted for in the interim reporting,
- c. Final Progress Narrative Report along with the agreed products as set out in the Work Plan,

### **3.2. MONITORING AND EVALUATION**

Organizations receiving grants are responsible for ensuring effective monitoring system throughout the course of the funding. Monitoring and evaluation of recipients will focus on:

- what each project seeks to achieve (objectives),
- the processes or activities outlined,
- the delivery of the agreed products,
- expenditure in line with the budget and payment schedule – all in relation to time,
- compliance to the terms and conditions

The work plan, budget and payment schedule will form important tools for this.

## **4. TERMINATIONS**

### **4.1. EARLY TERMINATION OR SUSPENSION**

If a grantee continually fails to comply with the terms and conditions of the sub-grant agreement, HOME consortium may terminate or suspend all or a portion of the current sub-grant. It is hoped that the pre-award preparation and project implementation partnership between the HOME consortium and the grantee

organisation will avoid the necessity of sub-grant termination or suspension. However, it will be resorted to if all other attempts to resolve problems fail.

## 5. DEFINITIONS OF THE MOST IMPORTANT KEY WORDS

**Commission:** means the European Commission, on behalf of which this sub-grant agreement is concluded.

**Dissemination:** Dissemination of results generated by the project activities. Sub-grantees are obligated to publish and disseminate the outputs of the project and submit to HOME consortium. Both HOME project and the principal donor (European Commission) shall be acknowledged in all publication.

**Evaluation:** means operation performed every 4 months by the Monitoring Committee in order to review the progress of on-going projects.

**Energy efficient refurbishment:** also called thermal modernization, usually modernization of a building in order to minimize the energy consumption for heating, hot water and ventilation.

**Final payment:** means the remaining payment to be executed after the perfect completion of the Project as evaluated by the Monitoring Committee.

**Free of obstacles living conditions:** Free of obstacles/barriers are structural and other facilities within the residential buildings, if they are accessible and can be used without particular complication and generally without external help by handicapped or old people.

**HOME consortium:** means the members of the project consortium "The way forward to reforms in the housing sector" represented by its coordinator Housing Initiative for Eastern Europe (IWO e.V.), Party of the sub-grant agreement.

**Monitoring and Evaluation:** means the monitoring and evaluation of the sub-granting scheme, which will be implemented by a two-step approach at the beginning and in the final state of the project by the project coordinator and respective local partner supported by the external project evaluator. Once sub-grants have been awarded, the project consortium will monitor and evaluate through an on-going process, both programmatically and financially, with regular review of the reports and periodic visits. This is to foster continued technical support on financial management and advocacy strengthening. For each award the project consortium will make site visits to the sub grantee's offices.

**Project:** in this sub-grant agreement, a project means an amount of work proposed by the sub-grant winner in response to an open call.

**Sub-grant or sub-grant agreement:** means the contract signed by a partner of HOME (namely Housing Initiative for Eastern Europe (IWO e.V.)) and an organization/institution/consortium which subject is the realization of a project selected in response to an open call.

**Technical Advisory Centres (TACs):** installed institutions/consortia (Technical Advisory Centres: TACs), which support homeowners in the foundation process of an association and provide technical assistance through various phases of their activities.

**Work plan / action plan:** the work plan should clearly state what the objectives/outputs are, the processes/activities expected to be done to achieve the objectives and the products that are to be produced. This should all be time bound, so that clear dates are indicated as to when processes or products are expected to take place.

The grant recipient/grantee has the responsibility to ensure that they conduct the proposed activities and deliver the products (as well as the progress reports) according to what is stipulated in the work plan and payment schedule. This must be according to the grant agreement terms and conditions, as well as the approved budget.

## **6. LIST OF ANNEXES**

### **6.1. DOCUMENTS TO BE COMPLETED**

- Annex A: Grant Application Form (Word format)
- Annex B: Budget (Excel format)
- Annex C: Legal Entity Sheet
- Annex D: Financial identification form