

**CALL FOR AWARD OF ADDITIONAL FUNDING TO ALREADY CONTRACTED PROJECTS**

**PROGRAMME CLIMATE CHANGE MITIGATION AND ADAPTATION (SK-CLIMATE)**

**EEA GRANTS AND Norway Grants 2014-2021**

**SLOVAKIA**

The objective of awarding the additional funding to already contracted Projects with significant infrastructure components implemented under the Programme “Climate Change Mitigation and Adaptation (SK-Climate)” is to help the Project Promoters to address the current economic challenges marked with exceptional price increases beyond the control of the Project Promoters. The scope is to safeguard the planned Projects’ results within the available timeframe.

**I. BASIC CONDITIONS**

<b>Date of launching / announcement:</b>	10.01.2023
<b>Date of closure:</b>	1 <sup>st</sup> round: 10.03.2023; 2 <sup>nd</sup> round: 10.06.2023; 3 <sup>rd</sup> round 10.09.2023; <u>4<sup>th</sup> round 10.11.2023</u>
<b>Programme outcome:</b>	1. Increased climate change resilience and responsiveness within targeted areas 2. Enhanced ability of targeted ecosystems to adapt to climate change
<b>Programme outputs:</b>	1.1 Action plans for mitigation and adaptation implemented by local authorities in urban areas 1.2 Awareness raising activities on climate change mitigation and adaptation carried out by schools 2.1 Restoration of degraded wetland ecosystems
<b>Calls relevancy:</b>	Call No. 1 (ACC01) – “Action plans for mitigation and adaptation implemented by local authorities in urban areas” (ClimaUrban) Call No. 2 (ACC02) – “Action plans for mitigation and adaptation implemented by local authorities in urban areas” (ClimaUrban) SGS Call No. 1 (ACC03) – “Awareness raising to climate change mitigation and adaptation at schools” (ClimaEdu) Call No. 4 (ACC04) – “Restoration of degraded wetland ecosystems” (ClimaLocal)
<b>Total allocation:<sup>1</sup></b>	1 000 000 € for projects supported by EEA Grants <del>12 900450</del> 000 € for projects supported by Norway Grants

<sup>1</sup> ~~After completing the selection of the Applications submitted under the 1<sup>st</sup> round and the 2<sup>nd</sup> round respectively, the SK-Climate Programme Operator shall publish the updated information on the allocation available available for the 2<sup>nd</sup> round and the 3<sup>rd</sup> round respectively, that could include any additional, uncommitted funds that arose after the date of this launching (mainly (mainly) arising from the based on additional awarding already approved after completing the selection process in respective Call rounds and/or in case of any uncommitted funds available under the SK-Climate Programme irregularities with financial impact).~~

<b>Announced by:</b>	Ministry of Environment of the Slovak Republic
<b>Funding sources:</b>	EEA Grants/Norway Grants and State Budget of the Slovak Republic

## II. SPECIFIC CONDITIONS

<b>Eligible Applicants:</b>	Project Promoters implementing a Project under the Calls listed in the Part I. in line with the Project Contract
<b>Eligible Projects:</b>	Projects contracted and implemented under the Calls listed in the Part I. involving in the contracted Project Budget equal and more than 50% of Direct Expenditure for hard measures on climate change mitigation and/or adaptation classified as “Investment costs”
<b>Maximum additional funding to be applied for per project:</b>	25% of Total Eligible Expenditure originally contracted
<b>Minimum additional funding to be applied for per project:</b>	not limited
<b>Co-financing:</b>	percentage in line with originally contracted Project Grant rate
<b>Indicative Timeframe:</b>	The Multi-Round submission of Additional Funding Request is applied. Indicative decision on the Additional Funding Request is as follows: 1 <sup>st</sup> round: 10.05.2023, 2 <sup>nd</sup> round: 10. <del>10</del> 08.2023, 3 <sup>rd</sup> round: 10.12 <del>1</del> .2023, 4 <sup>th</sup> round: 10.02.2024.

## III. ELIGIBLE ACTIVITIES

Additional funding addresses following eligible Project Activities:

- ✓ Technical (Hard) measures on climate change mitigation and/or adaptation implemented under the contracted Project contributing to “Number of climate change mitigation and adaptation measures implemented” under the Output 1.1 (Call ACC01/ACC02) or “Number of physical climate change responsive measures carried out in schools” under the Output 1.2 (Call ACC03) or “Estimated area of wetland ecosystems restored (in m<sup>2</sup>)” under the Output 2.1 (Call ACC04).

Applicants shall unequivocally justify the necessity of additional funding for the implementation of technical (hard) measures on climate change mitigation and/or adaptation as well as clearly demonstrate that the additional funding will allow the Applicant to complete the activities in question within the eligibility period. The Applicant is obliged to support his justification with supporting documentation to

the extent defined by the Programme Operator in line with Chapter VI. of the Call. Submission of additional supporting documentation available by the Applicant is recommended.

### **Prioritised Projects**

A Project that meets at least one of the criteria listed below is considered a **Prioritised Project**:

- ✓ Projects where costs related to implementation of hard measures that contribute to Programme Outcome “Estimated annual CO<sub>2</sub> emissions reductions of supported entities (in tonnes)”, in the amount up to ≥50% of total requested additional funding,
- ✓ Projects with ≥80% of Direct expenditures allocated to “hard” measures on climate change mitigation and adaptation in line with the approved Application form,
- ✓ Projects with supplier-customer contracts or addendum to existing work contract already concluded as the result of the public procurement in line with the national legislation and internal control executed by the Programme Operator for expenditures requested for additional funding,
- ✓ Projects with achieved cost savings under the defined Expenditure items of Project Budget and the achieved saving were/will be used in manner to support the implementation of hard measures on climate change mitigation and/or adaptation.

**Non-eligible activities** not to be covered by additional funding include:

- ✓ Other Project Activities which are beyond the criteria of eligibility of Project Activities mentioned above such as Project documentation, Project management, Soft measures for climate change mitigation and adaptation, Project publicity (communication and information) and others.

### **IV. ELIGIBLE EXPENDITURES**

The following Direct Expenditures are eligible provided that they satisfy the criteria set out in Article 8.2 of the [Regulation on the implementation of the EEA Grants 2014 - 2021/Regulation on the implementation of the Norway Grants 2014 - 2021](#) (hereinafter referred as the “Regulations”) as well:

- ✓ Expenditures for eligible activities in line with Chapter III. of the Call which are classified as the expenditures entailed by other contracts awarded by the Applicant for the purposes of carrying out the project, provided that the awarding complies with the applicable rules on public procurement and the Regulations (in line with the Article 8.3 f) of the Regulations).

### **Eligibility period of expenditure**

Expenditures are eligible from the date of Project start provided in the Project Contract regardless of whether the subject matter has been already delivered/performed and costs were paid or not at the time

of submitting the Additional Funding Request (this means that the expenditures are eligible that have already been incurred and paid from other sources of financing before the submission of Additional Funding Request, as well as expenditures that have not yet been incurred at the time of the submission of the Additional Funding Request). Final date of eligibility shall be no later than the date referred to in Article 8.13.3 of the Regulation<sup>5</sup> (30 April 2024).

### Special rules on eligibility

Eligible Direct Expenditures shall meet following special rules:

- ✓ Project Reserve, if there is any allocated / remaining in the Project Budget, shall be used for covering higher Project costs and the amount of additional funding requested shall be beyond the Project Reserve **and**
- ✓ They shall be defined in the Project Budget in approved Application form (as amended based on Project change approval by the Programme Operator, if relevant) **and**
- ✓ They shall be of type of expenditure *“Project costs entailed by other contracts”* classified as *“Investment costs”* **and**
- ✓ Project costs are *the result of the public procurement* in line with the national legislation and the public procurement documentation was subject of control of the Programme Operator in line with the Project Contract and Guidelines of Project Promoters and Project Partners in stage before Works Contracts or Addendum to existing work contract **or**  
The supplier-customer relationship is contracted as the result of the public procurement or addendum to existing work contract is concluded in line with the national legislation and the public procurement documentation was subject of control of the Programme Operator in line with the Project Contract and Guidelines of Project Promoters and Project Partners<sup>2</sup> **and**
- ✓ The amount of single Expenditure item agreed in the Project Budget in approved Application form (as amended based on Project change approval by the Programme Operator, if relevant) may not be increased by more than 50%, **and**

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<sup>2</sup> The Amendments to the contracts with suppliers must be in line with the national legislation, mainly the Art. 18, paragraph 1, point c) of the Act No. 343/2015 on Public Procurement as amended, justified by the Applicant (public procurer/procurer) and were subject of control of the Programme Operator in line with the Project Contract and Guidelines of Project Promoters and Project Partners. The General Methodological Guideline of the Slovak Public Procurement Office on Application of the Art. 18, paragraph 1, point c) to the Amendments to the contracts with suppliers must Act No. 343/2015 on Public Procurement as amended shall be taken into account when amending the contracts with suppliers, including but not limited that:

- a) The need for the modifications result from circumstances which a diligent contracting authority could not foresee;
- b) The modifications do not change the overall nature of the contract;
- c) Any increase in price is not higher than 50% of the value of the original contract; where several successive modifications are made, that limitation applies to the value of each modification; such consecutive modifications shall not be aimed at circumventing the Directive.

- ✓ When awarding the additional funds, the Grant Rate shall be the same as in the original Project Contract or at level decreased by identified irregularities, if relevant.

#### **Non-eligible Expenditures**

- ✓ Any Direct Expenditures related to other type of expenditure/budget heading than “Project costs entailed by other contracts”/“Investment costs”,
- ✓ Any other costs beyond contracted Project Budget of approved Application form (as amended based on Project change approval by the Programme Operator, if relevant),
- ✓ Cost overruns due to budgeting/planning mistakes,
- ✓ Indirect Expenditures,
- ✓ So-called “excluded expenditures” listed in Article 8.7 of the Regulations,
- ✓ Expenditures incurred after 30 April 2024 (in line with Article 8.13.3 of the Regulations).

#### **V. SELECTION PROCESS**

The evaluation of Additional Funding Requests and award of additional funding shall be in accordance with Article 7.4 of the Regulations and with the Annex II of the [Programme Agreement](#) for the financing of the Programme “Climate Change Mitigation and Adaptation” as amended. The Programme Operator shall be responsible for Additional Funding Requests evaluation and for final awarding of additional funds to already approved Projects.

The Programme Operator shall make preliminary review of compliance of the Additional Funding Requests with the Selection criteria listed in the Annex 2 of the Call. The Additional Funding Requests that do not meet at least one of the administrative compliance criteria listed in Part I. of the Annex 2 to the Call will be automatically rejected. The Additional Funding Requests that meet the administrative compliance criteria listed in Part I. of the Call will be further assessed according to eligibility criteria and criteria for Prioritised Projects listed in Part II., III., IV. and V. of Annex 2 to the Call.

The Programme Operator shall for each Additional Funding Request that meets the administrative compliance criteria establish a score as the sum of the number of eligibility criteria met and the number of criteria for setting of the Prioritised Projects met. This score will be used for ranking the Additional Funding Requests. When having the same score, Additional Funding Requests will be ranked according to the following distinguishing criteria:

1. the amount of financing from own resources beyond the scope of the Project Grant expressed as a rate of Project co-financing (Projects with a lower rate of the Project Grant and a higher rate of co-financing will be listed on a higher position),
2. the amount of Direct Expenditures on Project Activities, except for expenditure on Project Management, expressed as a share of Total Direct Expenditure (the higher the share of Direct Expenditures on Project Activities and the lower the share of Expenditure on Project Management, the higher the positions of the Projects will be on the list),
3. project implementation in bilateral partnership with effective Partnership Agreement with allocated budget for Partner in approved Project Application form, as amended based on Project change approval by the Programme Operator, if applicable (projects with bilateral partner will be listed on a higher position).

The Programme Operator establishes the Selection Committees for relevant Calls ACC01, ACC02, ACC03 and ACC04. The Selection Committee consists of three persons possessing the relevant expertise; one of them is external to the Programme Operator. The FMC, NMFA and the National Focal Point shall be invited to participate in the meetings of the Selection Committee as observers. The Donor Programme Partners shall be involved as non-voting members. Selection Committee Statute and Selection Committee Rules of Procedure are in the Annex 3a and 3b to the Call.

The Programme Operator shall provide the Selection Committee with a list of descending ranked Additional Funding Requests, which will be a) recommended for approval within the allocation, b) recommended on the Reserve List (cannot be supported due to lack of allocation), c) cannot be supported (recommended not to approve) with justification. The Selection Committee shall review the ranked list of Requests. It may modify the ranking of the Requests in justified cases. The justification for the modifications shall be detailed in the minutes of the meeting of the Selection Committee. If such a modification results in a Request's rejection, the affected Applicant shall be informed in writing about the justification for the modification. The Selection Committee shall submit the list of recommended Requests, together with a reserve list, to the Programme Operator. The Requests included in the reserve list will be automatically approved in the 2<sup>nd</sup> round of the Call or in the 3<sup>rd</sup> round of the Call, if this Call is announced.

The Programme Operator shall verify that the selection process has been conducted in accordance with the Regulations and that the recommendations from the Selection Committee comply with the rules and objectives of the Programme. Following such verification, the Programme Operator shall, based on the recommendation of the Selection Committee, make a decision on which Requests shall be supported. In

duly justified cases, the Programme Operator may modify the decision of the Selection Committee. If the Programme Operator, in duly justified cases, modifies the decision of the Selection Committee, it shall inform the Selection Committee and the Applicants affected and provide them with a justification.

The Programme Operator shall notify the Applicants about the results of the selection process and publicise the results within 15 working days after the decision of the Programme Operator on the Additional Funding Request. The indicative deadline for the decision on the Additional Funding Request for ~~both~~all rounds is set in Chapter II., Part "Indicative time schedule".

## VI. ADDITIONAL FUNDING REQUEST SUBMISSION AND EVALUATION

The Additional Funding Request shall be prepared in English in the pre-defined form (Annex 1 to the Call). Mandatory and/or optional supporting documentation is possible to submit in Slovak, if it follows from the nature of the documents (e. g. original project documentation, work contract, bank account statement etc.). The mandatory scope of supporting documentation following the justification of the need for additional funding is as follows:

### Purpose of the supporting documentation

- ✓ The demonstration of the increased price for the work and the increase of cost of the related expenditure items compared to the planned Project Budget
- ✓ Proof of payment of costs for financing the eligible activities, the price of which was increased, from own and/or other sources of financing
- ✓ Demonstration of covering the increased costs for financing the eligible activities, the price of which has been increased, in the form of a credit or loan
- ✓ Demonstration that the additional funding will enable the Applicant to complete relevant hard measures as well as related Project Activities within the eligibility period
- ✓ Demonstration that the achieved savings and/or allocated reserve within the Project will be used in favour for the implementation of hard mitigation and/or adaptation measures including stating the amount of savings achieved and/or the allocated reserve

### Mandatory documents

- ✓ The budget for works in terms of the draft work contract/work contract, draft addendum/addendum to the work contract
- ✓ The bank statement from the account from which the costs were paid
- ✓ The credit/loan arrangement
- ✓ Time schedule for works in the scope of fulfilment of additionally financed activities, related activities and expected risks
- ✓ The Statement signed by the statutory of the Applicant

The Applicant is entitled to submit one Additional Funding Request in each round of the Call. **It is not possible to add documents and information to submitted Additional Funding Requests.** Additional Funding Request not submitted in the prescribed form and/or extend, what means not in accordance with Annex 1 to the Call and without supporting documentation in the mandatory scope as listed above, will be automatically rejected. Such an Application may be resubmitted in the second round.

### **Repeated submissions**

Re-submission of the same Additional Funding Request in the second round of the Call, not approved for additional funding due to non-compliance with the Call conditions in the first round of the Call is not eligible. The Programme Operator will automatically reject such requests.

Additional funding request shall be submitted in both formats, as printed or scanned copy signed by Statutory of the Applicant and electronic version of document (xls/xlsx), in one of the following ways:

- through electronic mailbox of Ministry of Environment of the Slovak Republic as the Programme Operator, No. E0005579903 or,
- by post with the following information on the envelope

„DO NOT OPEN

Additional Funding Request under the Call ACC01, ACC02, ACC03 or ACC04,

Full name of the Applicant,

Project No. and Project title”,

to delivery address:

Ministry of Environment of the Slovak Republic

Directorate of Environmental Programmes and Projects

Department for Technical Assistance Projects Control and Transnational Cooperation Programmes

Karloveská 2

841 04 Bratislava

The date and time of receipt of the Additional Funding Request and compliance with the closure date and time will be assessed as follows:

- In case of personal submission during working days 8:30 – 12:00 and 12:30 – 15:00, date of personal submission to the delivery address;
- In case of paper submission through registered post or courier, the date of submission for post or courier service;
- In case of electronic submission, the date and time of time stamp of electronic signature verification.



## **VII. FURTHER INFORMATION**

- Additional funding is explicitly bound to conditions of the relevant Call No. 1 (ACC01), Call No. 2 (ACC02), SGS Call No. 1 (ACC03) and Call No. 4 (ACC04) including financing and reporting and Project Contract as amended, if relevant,
- There is no legal entitlement to the award of additional funding,
- The Programme Operator is obliged to approve a lower amount of the additional funding than requested, mainly in case of non-compliance of information provided in the Additional Funding Request with the Call conditions (maximum additional funding to be applied for per project, co-financing, eligibility of activities, eligibility of expenditures), due to lack of available allocation for the Call, non-use of the savings, if applicable etc.,
- Additional funding will be automatically decreased by the amount of remaining Reserve within the Project Budget, if there is any,
- In case of approval, the awarding of additional funding shall be formalized by an Amendment to the Project Contract.

## **VIII. ANNEXES**

1. Additional Funding Request form (xls/xlsx format),
2. Selection Criteria,
- 3a. Selection Committee Statute as amended,
- 3b. Selection Committee Rules of Procedures as amended.