

ANNEX 2 ASSESSMENT QUESTIONNAIRE AND CRITERIA

| PILLAR 4 — GRANTS | |
|---|----------------|
| Level 1 (Financial Regulation). Does the entity apply appropriate rules and procedures for providing financing from EU funds through grants and in accordance with the criteria set by the European Commission? | YES / NO |
| Level 2 criteria/questions (3 components for grants) | SCORE (0 – 10) |
| 1 Legal and regulatory framework Does the entity have a clear legal and regulatory framework for providing grants? | .. / 10 |
| 2 Principles Are the following principles integrated in the procedures, rules and criteria of the entity's grant award system: transparency, equal treatment, eligibility criteria, avoiding double funding, conflicts of interest? These principles must be integrated in the procedures, rules and criteria of the entity's grant award system in accordance with the overarching principle of proportionality . Principles are not absolute and a limited number of exceptions can be allowed provided that such exceptions are clearly stated, reasonable and justified. | .. / 10 |
| 3 Grants procedures Does the entity apply appropriate rules and procedures for providing financing from EU funds through grants and in accordance with the criteria set by the European Commission? | .. / 10 |
| Total score | .. / 30 |
| SCORE <i>Answer to level 1 question is YES if the total score for all 3 components is at least 70 % and the score for each individual component is at least 2/10 or 20 %.</i> <i>Answer to level 1 question is NO if the total score is less than 70 % or the score for one individual component is lower than 2/10 or 20 %.</i> | |

| PILLAR 7 — EXCLUSION FROM ACCESS TO FUNDING | |
|--|-----------------------|
| Level 1 (Financial Regulation). Does the entity apply appropriate rules and procedures for excluding third parties from access to funding through procurement, grants and/or financial instruments¹? | YES / NO |
| Level 2 criteria/questions (3 components for exclusion from access to funding) | SCORE (0 – 10) |
| 1 Legal and regulatory framework Does the entity have a clear legal and regulatory framework regarding exclusion from funding? | .. / 10 |
| 2 Exclusion criteria Are exclusion criteria integrated in the procedures and rules for the award of procurement contracts, grants and/or financial instruments? | .. / 10 |
| 3 Exclusion procedures Does the entity effectively apply rules and procedures for exclusion referred to under 2? | .. / 10 |
| Total score | .. / 30 |

SCORE

Answer to level 1 question is YES if the total score for all 3 components is at least 70 % and the score for individual components 1 or 3 is at least 2/10 or 20 % or the score for individual component 2 is at least 5/10 or 50 %.

Answer to level 1 question is NO if the total score is less than 70 % or the score for individual components 1 or 3 is lower than 2/10 or 20 % or the score for individual component 2 is lower than 5/10 or 50 %.

| PILLAR 8 — PUBLICATION OF INFORMATION ON RECIPIENTS AND OTHER INFORMATION | |
|---|-----------------------|
| Level 1 (Financial Regulation) Does the entity make public information on the recipients of funds in an appropriate and timely manner²? | YES / NO |
| Level 2 criteria/questions (3 components for publication of recipients) | SCORE (0 – 10) |
| 1 Legal and regulatory framework Does the entity have a clear legal and regulatory framework on publication of recipients, covering (1) the publication of appropriate information on fund beneficiaries; (2) a reference to a common international standard ensuring protection of fundamental rights and of commercial interests; and (3) regular publication updates? | .. / 10 |
| 2 Requirements If the regulatory framework is implemented by an additional set of procedures for publication, do the latter integrate its requirements ? | .. / 10 |
| 3 Publication procedures Does the entity effectively apply rules and procedures for publication based on the requirements mentioned under 2? | .. / 10 |

¹ The exclusion of third parties must be assessed for grants, procurement and/or financial instruments when the respective pillar (grants, procurement and financial instruments) has been assessed. Reference to 'financial instruments' and 'EU funds' is deemed to also include budgetary guarantees.

² The publication of information on recipients must be assessed for grants, procurement and/or financial instruments once the corresponding pillar (grants, procurement and financial instruments) has been assessed.

| | |
|-------------|---------|
| Total score | .. / 30 |
|-------------|---------|

SCORE

Answer to level 1 question is YES if the total score for all 3 components is at least 70 % and the score for each individual component is at least 2/10 or 20 %.

Answer to level 1 question is NO if the total score is less than 70 % or the score for one individual component is lower than 2/10 or 20 %.

| PILLAR 9 — PROTECTION OF PERSONAL DATA | |
|--|----------------|
| Level 1 (Financial Regulation) Does the entity ensure protection of personal data equivalent to that referred to in Article 5 of the FR ³ ? | YES / NO |
| Level 2 criteria/questions (3 components for protection of personal data) | SCORE (0 – 10) |
| 1 Legal and regulatory framework Does the entity have a clear legal and regulatory framework regarding protection of personal data? | .. / 10 |
| 2 Requirements Are requirements integrated in the procedures and rules for the protection of personal data? | .. / 10 |
| 3 Procedures Does the entity effectively apply rules and procedures (e.g. appropriate technical and organisational measures) for protection of personal data (in the provision of grants/procurement/ financial instruments, as appropriate) based on the requirements mentioned under 2? | .. / 10 |
| Total score | .. / 30 |

SCORE

Answer to level 1 question is YES if the total score for all 3 components is at least 70 % and the score for each individual component is at least 2/10 or 20 %.

Answer to level 1 question is NO if the total score is less than 70 % or the score for one individual component is lower than 2/10 or 20 %.