

EUROPEAN COMMISSION
DIRECTORATE-GENERAL
HUMANITARIAN AID



CIVIL PROTECTION FINANCIAL INSTRUMENT

CALL FOR PROPOSALS

EXERCISES IN THE FIELD OF THE UNION CIVIL PROTECTION MECHANISM

GRANT APPLICATION GUIDE 2010 edition

This guide includes detailed information on the call for proposals for Full Scale Exercises in the field of the Union Civil Protection Mechanism within the framework of the Civil Protection Financial Instrument and advice on how to prepare applications

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1. PREFACE

Welcome to the guide for submitting proposals for exercises in the framework of the Union Civil Protection Mechanism, co-financed with the resources allocated to this purpose by the Civil Protection Financial Instrument (Action 2.3 of the Work Programme 2010 – referred in the guide as WP 2010).

This document has been designed to be a user-friendly guide through the application procedure and the application forms. It also serves as a reference document to provide clarifications and quick answers to any questions you may have when preparing your application. Please read it carefully.

We draw your attention to the last section of this guide where terminology and definitions are presented, some are according to EU legislation and others stem from the relevant technical literature on civil protection exercises. The list is not intended to be exhaustive or authoritative. You are encouraged to read it carefully and since the meaning of the technical terms used in this guide is the one stated there, you are also encouraged to use it in your proposal.

This guide is updated annually to make it as user-friendly as possible. You are more than welcome to share your comments and suggestions on how to further improve the guide by sending an e-mail to ENV-CIVIL-PROTECTION-CALLS@ec.europa.eu.

In addition to this guide, you are strongly encouraged to consult the European Commission's Civil Protection website: http://ec.europa.eu/echo/civil_protection/civil/index.htm - and in particular the Frequently Asked Questions (FAQ) section (http://ec.europa.eu/echo/civil_protection/civil/prote/pdffdocs/faq.pdf). The website is updated regularly and the date of the latest update is indicated on the web-page.

If you cannot find the answer to your question in this guide or among the FAQ, you may send your questions in writing (preferably by e-mail) to the "Civil Protection – prevention and preparedness" Unit of the Commission at ENV-CIVIL-PROTECTION-CALLS@ec.europa.eu. Please contact the Commission only after having tried to find the information in this guide and/or the included references.

Before sending your application, do not forget to go through the checklist (Chapter 10). Finally, please be aware that it will take a few days to fill in the forms once you have gathered all the necessary documents; start promptly to fill them in order to respect the deadline for submissions of proposals, as set up in chapter 6.2.

Civil Protection – Prevention and preparedness Unit

DG HUMANITARIAN AID

EUROPEAN COMMISSION

2. WHAT IS THE CALL FOR PROPOSALS FOR EXERCISES IN THE FIELD OF THE UNION CIVIL PROTECTION MECHANISM

2.1. CONTEXT OF THE CALL FOR PROPOSALS

2.1.1. Legal Framework

Council Decision 2007/779/EC, Euratom of 8 November 2007 establishes a **Union Civil Protection Mechanism** (recast). The general purpose of the Union Civil Protection Mechanism (hereafter the Mechanism) is to provide, on request, support in the event of major emergencies and to facilitate improved coordination of assistance intervention provided by the Member States and the Union. The Mechanism should facilitate the response to protect primarily people but also the environment and property, including cultural heritage, in the event of natural and man-made disasters, acts of terrorism and technological, radiological or environmental accidents, including accidental marine pollution, occurring inside or outside the Union, taking into account the special needs of the isolated, outermost and other regions or islands of the Union.

In Article 5(5) of the above Council Decision the Commission is tasked to set up "a **training programme**, with a view to enhancing the coordination of civil protection assistance intervention by ensuring compatibility and complementarity between the intervention teams and modules referred to in Article 4(1) or as appropriate other intervention support referred to in Article 4(4), and by improving the competence of the experts referred to in Article 4(2)." The programme shall include **exercises**.

Commission Decision 2004/277/EC, Euratom of 29 December 2003 defines the **target group** of the exercises (Article 22) and the **Exercise aims** (Article 24). The target group, all individuals and teams that participate in civil protection assistance interventions, is stated explicitly in section 3.2.7.

The exercise aims (Article 24) are reproduced below:

"The **exercises** shall, in particular with regard to the target group set out in Article 22(a), **aim** at :

- (a) Improving the response capacity and providing the necessary practice of the teams meeting the criteria for participation in civil protection assistance interventions;
- (b) Improving and verifying the procedures and establishing a common language for the coordination of civil protection assistance interventions and reducing the response time in major emergencies;
- (c) Enhancing operational cooperation between the civil protection services of the participating States;
- (d) Sharing lessons learned."

The financing of exercises is secured through the **Civil Protection Financial Instrument established with Council Decision 2007/162/EC, Euratom** that sets up the financial framework to contribute to the effectiveness of the response to major emergencies, in particular in the context of the above mentioned Council Decision as well as to enhancing preventive and **preparedness** measures for all kinds of emergencies.

More information on the legal basis can be found on the following web-site:
http://ec.europa.eu/echo/civil_protection/civil/prote/legal_texts.htm

2.1.2. Situation – Current Developments

The Union Civil Protection Mechanism since its inception, and according to the above mentioned legal basis, has been used as a tool to display and enhance European solidarity to Member States and Participating States in both civil protection emergencies within, and in major emergencies outside, the European Union. In addition, the Mechanism has been used

as a tool and has brought significant added value in integrating with the other elements of the overall EU response in emergency situations outside the Union in operations not thought of as “traditional” civil protection ones (support of consular operations). This use of the Mechanism is in line with the legal basis and also with the principle of promoting the synergies, complementarity and consistency of action with the other instruments of the Union. Therefore the Mechanism should also be viewed as an additional tool for facilitating and supporting crisis management and its possible use should be assessed in different situations.

2.1.3. Types of Exercises Funded

The Commission through the Civil Protection Financial Instrument finances in various ways a number of different types of exercises through the actions in the WP 2010, specifically:

- Exercises: Action 2.3
- Exercises on modules and technical assistance and support teams: Action 2.4
- Small scale exercises having regional or cross-border dimension through preparedness projects: Action 2.5
- Command Post exercises through Maintenance and further development of CECIS and the MIC: Action 4.3

The adopted 2010 Work Programme can be found under the website:

http://ec.europa.eu/echo/civil_protection/civil/prote/finance.htm

In addition to the above, exercises might be, in some cases, part of projects funded through the Preparatory Action on an EU rapid response capability (2010).

2.2. OBJECTIVES AND EXPECTED RESULTS OF THE CALL FOR PROPOSALS

This call for proposals for exercises refers to Action 2.3 of the WP 2010 aimed at improving preparedness. The objectives and the expected results of this call for proposals as stated in the WP 2010 are reproduced below.

The objectives are: To improve civil protection preparedness and response for all kinds of emergencies, including marine pollution, through providing a testing environment and learning opportunity for all actors involved in civil protection assistance interventions under the Union Civil Protection Mechanism, all actors involved in civil protection modules, technical assistance and support teams, as well as testing the procedures of the Civil Protection Mechanism itself.

The expected results are:

- The response capacity of intervention teams is improved as the result of the testing of the procedures of the Civil Protection Mechanism; in particular this will imply quicker response time, improved cooperation arrangements, better communication between HQ and field, identification of shortcomings in the existing structures.
- Participating States are aware and prepared to receive and to provide assistance through the Mechanism.

Therefore the goal of this call for proposals is to identify project proposals by eligible organizations/bodies from participating countries (see section 5) that are planned and implemented in such a way that they address the above mentioned objectives and have the above mentioned expected results.

3. WHAT PROJECTS CAN BE CO-FINANCED?

3.1. GENERAL

The purpose of exercises in the civil protection field is at least one of the following:

- Test new policies, plans and procedures
- Validate existing policies, plans and procedures
- Train the personnel in the execution of its duties.

The ultimate purpose of co-financing the planning, conduct and evaluation of exercises is to enhance the coordination of civil protection assistance interventions through the Union Civil Protection Mechanism. In order for this to be achieved all the steps of the exercise cycle (see section 8.1) have to be observed and performed properly.

3.2. DESCRIPTION OF THE PROJECTS – WHAT DISTINGUISHES THESE EXERCISES FROM THE REST

According to the eligibility criteria, the exercises that are eligible to be funded under this call for proposals must have certain minimum characteristics: inclusion in the exercise scenario of the activation of the Union Civil Protection Mechanism and respect of its legally based procedures as well as deployment of the various resources available to the Mechanism (intervention teams, civil protection modules, technical assistance and support teams, assessment and coordination experts, etc.) This implies that at least two coordination levels (operational and field) are jointly exercised (tested, validated, and trained). Therefore from all the exercises funded by the Commission, the exercises to be funded under this call are the most complex and the only ones that offer the possibility of **integration** and **simultaneous exercising** of various resources, tools, and aspects of the Union Civil Protection Mechanism typically including **two levels of coordination, operational coordination (at the Union and the national level) and coordination of field operations.**

In addition, this type of exercises, since they include the operational level, can focus on the added value the Mechanism can bring to other EU operations in emergency situations. They could include exercises to train the various aspects of inter-institutional cooperation (i.e. the role of the Mechanism in consular cooperation, etc) in order to enhance synergies, complementarity and consistency of actions in the use of the resources, the instruments and the tools of the Union and therefore promoting the idea of Europe as a whole. Finally, they are suitable to exercise aspects of the cooperation of the Mechanism and its Participating States, as a whole, with international organisations particularly the ones of the United Nations system.

Therefore, it is very important that the project proposals:

- Reflect the understanding regarding the use of the Mechanism in the latest policy documents (e.g. Council Conclusions, Commission Communications, Civil Protection Committees, etc., ref. to http://ec.europa.eu/echo/civil_protection/civil/prote/legal_texts.htm),
- Attempt to integrate relevant efforts of the various Commission General Directorates and other European Institutions in the field of response to emergency situations, and
- Are planned in such a way that proper project implementation will result in recommendations that can lead to the formulation of an improvement plan for all exercise participants.

Due to their complexity and the opportunities they offer, such exercises have correspondingly high risks. Therefore, the projects that would be eligible to be co-financed should adhere to quality project management practices as well as to the principles of quality exercise planning, conduct and evaluation. These specifications and requirements are presented and analysed in the following.

3.2.1. Exercise Type

Eligible projects to be co-financed under this call for proposals will comprise at least one of the following types of civil protection exercises:

- Full Scale Exercises (FSE), including a command post part and involving a sufficient number of the various categories of the training programme target group, necessarily including deployment of intervention teams. It is good practice that the exercise is preceded by one or more of the following types of exercises: tabletop exercise (TTE), command post exercise (CPE), functional exercise (FUE) where one particular function of emergency response (e.g. SAR, etc) or many at the same time are exercised.
- Command Post Exercises, with a minimum and focused deployment in the field of some of the target groups of the training programme.

It should be noted that:

- The requirement of a minimum deployment in the field distinguishes the above command post exercises from the ones organised by the Commission as part of the CECIS training, the latter being "pure" command post exercises with no deployment in the field.
- To be eligible, any CBRN related project should include the activation of police procedures (enquiry, coordination on the field between CP teams and police teams...) and/or medical examiner procedures.

3.2.2. Number of Participating States

The eligibility criteria as stated in the 2010 Annual Work Programme pose certain minimum requirements regarding the number of Participating States, specifically:

"At least two Participating States other than the State affected by the emergency simulated commit to dispatch intervention teams, civil protection modules, or technical assistance and support teams through the MIC."

In the case the participation is in the form of the Associated Beneficiary, the obligations are stated in section 5.4.2. In the case the participation is not in the form of Associated Beneficiary the participating organisation should submit together with the proposal a written commitment in the form of a letter of intent regarding its participation in the exercise. There is no particular format preference, provided that the official paper with the logotype of the participating organisation is used and the letter of intent is signed by the person entitled to enter into commitments on behalf of the participating organisation. The type of participation in the exercise (exercise players, exercise control, exercise planning, etc) should be stated in as specific terms as possible at this stage of planning.

3.2.3. Exercise participants

Exercise participants are all the individuals that have a specific role in *exercise conduct and/or evaluation* and subsequently are members of one of the following groups:

- Players
- Exercise Control
 - Exercise Director
 - Controllers
 - Evaluators
 - Other personnel
- Observers
- Actors
- Administrative and Support personnel

A definition for each of the above groups is given in section 12 B. Exercise players, on top of the definition in section 12 B, in the context of the Mechanism, are the members of any of the categories of the target group of the training programme (see section 3.2.7.1). It is particularly important that during the conduct of the exercise the various groups of exercise participants are clearly identifiable.

It is a typical, and particularly constructive, practice that members of the exercise planning team assume roles in the control and evaluation of the exercise. On the contrary, **it should be avoided at all cost, that individuals involved in the exercise planning, who subsequently have knowledge of the detailed scenario, assume the role of players in the conduct of the exercise. Such a decision violates a basic principle of exercise planning.**

3.2.4. Exercise Objectives and expected results

The answer to the question: "What do we want to achieve with our specific exercise?" should be clearly detailed in the proposal. Every attempt should be made to state the reply in a manner that follows the guidelines synthesised by the acronym SMART i.e. simple, measurable, achievable, realistic, task-oriented.

An indicative, but not exhaustive, list of exercise objectives is the following:

- to verify and test procedures as well as to establish a common understanding of the cooperation in civil protection assistance interventions
- to provide a learning opportunity for all actors involved in civil protection assistance interventions under the Union Civil Protection Mechanism
- to test in order to enhance operational cooperation between the participating countries' authorities and other actors through, for example, improving the interoperability of intervention teams, civil protection modules, technical assistance and support teams and other means.
- to test the coordination of EU civil protection assistance in accordance with the provisions set out in the above mentioned legal basis.
- to test the available or new early warning and communication systems and procedures to inform the public about emergency measures to be undertaken
- to test the intervention of the EU coordination and assessment team dispatched by the European Commission
- to test the reception of the incoming EU assistance and the allocation of the different tasks in coordination with the relevant bodies of the affected country's competent national civil protection authority (typically called LEMA, Local Emergency Management Authority) and the on site command structure as it is differentiated in operations inside and outside the Union.

3.2.5. Exercise Scenario

3.2.5.1. Types of emergency situations

The emergency situation presented in the scenario must be in accordance with the subject matter and scope of the Mechanism as stated in Article 1 of Council Decision 2007/779/EC, Euratom.

3.2.5.2. Phases of the emergency situation

The phases of interventions inside and outside the Union are defined [Chapter VII of Commission Decision 2004/277/EC, Euratom] as:

- Alert phase
- Request for assistance
- Intervention
- Operational Disengagement

All these phases should be part of an exercise scenario.

3.2.5.3. Geographical area

There are no restrictions in the geographical area the scenario is supposed to take place at. The scenario can be assumed that it evolves inside or outside the EU. In any case though, the exercise has to take place in the territory of the Participating States to the Mechanism. Particular attention should be given to scenarios that take place in disaster prone areas. Note that special attention should be given to the requirements regarding coordination and deployment for a major emergency scenario that takes place outside the Union (see especially Article 8 of Council Decision 2007/779/EC, Euratom and section 3.2.4).

3.2.5.4. Minimum requirements

The eligibility criteria as stated in the WP 2010 pose certain minimum requirements for a) the scenario and b) the exercise players of the proposed exercises, specifically:

- The emergency scenario is realistic and of such magnitude to overwhelm the capacities of the affected country;
- The request for assistance to the Monitoring and Information Centre is established through the official channels of the affected State (National Authority) and coordinated through the MIC and the official channels of the other Participating States;
- The Union Civil Protection Mechanism is activated;
- At least two Participating States other than the State affected by the emergency simulated commit to dispatch intervention teams, civil protection modules, or technical assistance and support teams through the MIC;
- Involvement of the National Civil Protection Authorities of Participating States in the project.

It should be noted that, in the last requirement, "involvement" applies to the Competent National Civil Protection Authority of each Participant State deploying intervention resources on the field and refers to participation in the exercise play at least.

3.2.6. Coordination Levels

The coordination levels of civil protection assistance interventions are three:

- Political and strategic coordination
- Operational coordination [at the Union and at the National (Participating State) level]
- Field coordination

Typically the two "lower" levels of coordination [i.e. operational and field] of the Union Civil Protection Mechanism are exercised. In general, the political and strategic coordination level is not exercised in this type of exercises. It is role-played to the extent that it is necessary for the progress of the scenario. In principle though, it is not prohibited that the political and strategic coordination level (either at the Participating State level or at the Union level) is included in the scope of a proposed exercise provided that the participation of the relevant personnel and services is guaranteed. It should be borne in mind though that such a design decision will increase the complexity of the exercise significantly.

Note that particular attention should be paid to the differences in coordination between major emergencies inside and outside the Union (see Chapter III of Council Decision 2007/779/EC, Euratom) and the corresponding consequences in building the scenario.

3.2.7. Exercise players

Exercise players are individuals and/or teams that can be involved in operations under the Mechanism and come from the Participating States to the Mechanism, Commission DGs and Services and other Union and Union Institutions, as well as from third countries and International Organisations, specifically:

3.2.7.1. Participating States to the Mechanism

Individuals or teams that belong to any of the categories of the target groups of the training programme are potential exercise players.

Target groups of the training programme and therefore **players** in the exercises are according to Article 22 of Commission Decision 2004/277/EC, Euratom:

- (a) participating States' intervention teams/modules;
- (b) participating States' intervention team leaders, their deputies and liaison officers;
- (c) experts of the participating States as set out in Article 15 of the same decision (i.e.
 - (i) technical experts;
 - (ii) assessment experts;
 - (iii) coordination team members;
 - (iv) coordination Head;
- (d) National key contact point staff;
- (e) Officials of the Union institutions.

Please, note the definition of intervention teams (see section 12A).

In addition to the above categories, exercise players could also come from "other intervention support, which might be available from the competent services, such as specialised personnel and equipment to deal with a particular emergency, and resources which may be provided by non-governmental organisations and other relevant entities." [Article 4(4) of Council Decision 2007/779/EC, Euratom].

There are no specific restrictions in the number of exercise players. Particular thought should be given in order to ensure that the number of exercise players allows proper play and testing of the exercises objectives.

The equipment of each intervention team brought to the site of the exercise should be the necessary (within reason) to exercise the stated objectives. No particular limit is imposed to the total weight of the equipment to be transported, it will be judged on a case by case basis.

It should be stressed that due to the eligibility criteria (section 3.2.5.4) regardless if the exercise simulates a civil protection operation in a country inside or outside the EU, the deployment of Assessment and/or Coordination Team is a requirement. The Assessment and/or Coordination Team (articles 7 and 8 of Council Decision 2007/779/EC, Euratom) shall be dispatched via the Monitoring and Information Centre (MIC) in line with the provisions for expert missions.

3.2.7.2. Competent National Civil Protection Authority

It should be stressed that due to the minimum requirements imposed to the scenario according to the eligibility criteria (see section 3.2.5.4) exercise players necessarily include at least personnel from the 24/7 designated national operational contact point of the affected country and all the countries deploying intervention resources on the field [i.e. target group category (d) above]. The participation of these personnel is compulsory in order to ensure that the scenario and therefore the exercise play simulates realistically the actual response in major emergencies i.e. that the procedures of the Union Civil Protection Mechanism are fully respected (see also Form A8).

3.2.7.3. Commission DGs and Services, Union and Union Institutions

Besides personnel of the Civil Protection Units of the European Commission, officials of other Commission DGs and Services (International Cooperation, Humanitarian Aid and Crisis response, European External Action Service, SecGen, etc) as well as of other Union and Union Institutions (EC Delegations, etc), are potential exercise players depending on the scenario specifics.

3.2.7.4. Third countries

Experts and teams from third countries, with the appropriate qualifications, can participate as exercise players (article 7 of Council Decision 2007/162/EC, Euratom). Their travel and subsistence expenses can be covered if they are included in the project proposal and the accepted budget.

In addition, individuals from third countries, that have the necessary qualifications, can participate to any of the other groups of exercise participants as well. Their travel and subsistence expenses can be covered if they are included in the project proposal and the accepted budget.

3.2.7.5. International organisations

Personnel of International Organisations and agencies, in particular those that form part of the United Nations system, can participate as exercise players (see article 9 of Council Decision 2007/162/EC, Euratom). Their travel and subsistence expenses can be covered if they are included in the project proposal and the accepted budget.

3.2.8. Exercise duration

A full scale exercise shall last for at least three (3) full days, including the evaluation workshop mentioned in section 3.3.5. A command post exercise shall last at least two (2) full days. Note that the duration of the evaluation workshop should be in line with the duration of the exercise play. It should be stressed that participation of representatives of each exercise participant group in the evaluation workshop is compulsory.

3.2.9. Exercise time frame

There are no constraints regarding the exercise time frame that will be used. The exercise can evolve in real time but "exercise time" or time compression might also be used between the consecutive events in order to allow for the coverage of all major phases of the simulated emergency situation (see section 3.2.5.2).

3.2.10. Other Exercise Participants

A specific organisational structure for the conduct and another one for the evaluation of the exercise should be presented with the submission of the proposal. All individuals involved in the control of the exercise and in the evaluation programme should be chosen carefully in order to be able to perform their duties in the best way possible. They should be supported in the performance of their duties with the design and development of proper documentation (see section 3.2.11 below).

It is good practice that personnel, skilled and mechanism trained, is tasked by the project manager to evaluate the key parts of the exercise where international cooperation and coordination is focused. In that case, the coordinating beneficiary shall provide a profile description for the evaluators with, at minimum, the following requirements: (1) mechanism trained or refreshed in the last two years (from the date of the field exercise), at least CMI; (2) professionally skilled and experienced in the field of civil protection operations. This should be part of the evaluation plan (see section 3.3.5).

There are no restrictions, regarding the organisation they come from, when choosing the individuals that will staff the various positions for the organisational structure for the conduct and the evaluation of the exercise. The only restriction refers to the group of the Observers. One (1) observer per country participating in the Mechanism shall be invited to the exercise. It should be noted that while observers contribute to the evaluation of the exercise, **they are not evaluators**. It is good practice to nominate observers from the mechanism trained experts pool to give them an opportunity to see a near real situation and to update their knowledge about international operations. Commission will provide, for each project, a relevant profile to be sent jointly with the invitation for observers. More than one Observer from any relevant national or international organizations can also be invited but it should be noted though that the costs of these participants will not be eligible for co-financing from the Commission.

If actors are used they should be chosen through a procedure that will ensure on the one hand the best result possible regarding the realism of the scenario and on the other that safety and security issues are appropriately observed.

VIPs and media representatives can be invited to the exercise to ensure the visibility of the project. It should be explicitly stated though that their costs are not considered by the Commission as an eligible project cost. It is of paramount importance that a detailed program is issued for the observers, the VIP and the media representatives.

3.2.11. Documentation

To ensure that each group of exercise participants will be able to perform in the best way possible according to their role and responsibilities during the exercise the appropriate documentation should be developed. Specific care should be taken so that the documentation is tailored to the specific **different needs of each group** of exercise participants (see section 3.2.3). A suggested list of documents includes the following

- Exercise instructions for players
- Exercise instructions and tasks for the exercise evaluators group
- Exercise instructions for actors
- Exercise instructions for observers
- Exercise instructions for VIPs
- Exercise instructions for media

All the aforementioned exercise instructions should be provided to the Commission as soon as it has been produced and by all means at least one month before of the exercise date.

In addition, meetings and practical short training events could be scheduled before the conduct of the exercise to ensure the preparation of the personnel involved in the conduct and evaluation of the exercise.

On top of the broad scenario, a detailed schedule (script) shall be presented to the Commission for the conduct of the exercise by at least three (3) months before the planned dates of the exercise. It should contain all the necessary information for the proper play and control of the exercise. This document is called Detailed Scenario Episodes Catalogue (DSEC), it is also referred to as MSEL (Master Scenario Events List) and it is an indispensable part of the documentation.

Particular attention should be given to the fact that the minimum requirements posed by the eligibility criteria (see section 3.2.5.4) dictate that certain episodes have to be included in the scenario in order for the players to be able to exercise. In the development of the detailed episodes of the scenario the applicant should pay particular attention to the articles 6, 7 and 8 of the Council Decision/ 2007/779/EC, Euratom, of 8 November 2007 establishing a Union Civil Protection Mechanism (recast) that govern intervention operations in a major emergency that occurs within the Union or outside the Union.

3.3. PROJECT MANAGEMENT AND IMPLEMENTATION

The choice of project management methodology is a responsibility of the applicant. Nevertheless, it should respect the pillars of project management i.e. scheduling and planning, decision-making, and control. It should also respect the obligations (regarding reporting, etc) of the Coordinating Beneficiary towards the Commission. Therefore, the proposal should contain, at least, a satisfactory description of the following:

- Organisational structure
- Project Timeline.
- Planning Meetings

3.3.1. Organisational structure

The organisational structure that will be established for the management of the project in general as well as for the exercise planning, conduct and evaluation should be presented clearly in an organisational chart. The choice of the particular structure that will be used is the responsibility of the applicant but it should ensure that the progress of the project is monitored and controlled and that decisions can be made when it is needed. Amongst other things the particular structure that will be chosen depends on the scope of the exercise.

It is mandatory though that the Coordinating Beneficiary will cooperate with a Core Group consisting of representatives of all the Associated Beneficiaries that participate with players in the exercise. The exact way the exercise planning would proceed is again a responsibility of the applicant but it has to be presented clearly in the proposal. Other teams might need to be formed to carry on specific tasks of exercise planning. It is a minimum requirement to present an organisational chart and the division of responsibilities. It is preferable that specific individuals are assigned specific positions (see section 8.5 for the completion of forms T).

3.3.2. Project timeline

A project timeline for the whole duration of the project should be presented at the time of submission of the proposal. It should be realistic and complete. It should include all the deliverables.

3.3.3. Planning Meetings

The number of Planning Meetings depends on the scope of the exercise, it is typical that at least three (3) meetings must be organised with the Core Group. The Commission must be invited to all the meetings of the Core Group. For each planning meeting the applicant should present as part of the proposal, a tentative agenda, a list of the supporting documents, and the expected results.

The first meeting has to take place in Brussels. It is usually called Kick-Off Meeting (or Initial Planning Conference) and intends to get the project started.

The other meetings should be properly spaced, in line with the various project deliverables and should be organised with the view to be more constructive for the progress of the exercise planning.

The Core Group should consider the possibility to organise a special meeting for the development of the DSEC. It should take place before the final planning meeting of the Core Group.

3.3.4. Organisation of exercise conduct

Exercise Conduct consists of

- Exercise Control
- Exercise Evaluation
- Logistic considerations

A specific organisational structure and relevant procedures should be put in place for all three aspects of the exercise. In particular emphasis should be given to the following issues:

- Appropriate communication between the various groups of exercise participants must be ensured during the conduct of the exercise, with special attention to language difficulties as well as the security of communications between the various groups.
- The exercise shall be arranged at suitable places, for example on a dedicated exercise ground, etc.
- Travel arrangements for all exercise participants should be tailored to their function in the exercise conduct.
- Practical arrangements shall be made for **receiving** the participating intervention teams and modules at the airport closest to the exercise area and/or the border crossing points.
- Registration of the exercise participants.
- Average cafeteria **meals** shall be served three times daily in the exercise site (field), including at least one hot meal per day. The catering must include sufficient beverages available 24/24 to avoid dehydration of any of the exercise participants. This requirement refers to all exercise participants, nevertheless upon agreement between the coordination beneficiary and the associate beneficiaries the requirement can be lifted so that certain groups of players (e.g. intervention teams) can, if they so choose, test their self sufficiency provisions.
- **Accommodation:** beds in tents or buildings must be provided for all exercise participants. For the observers and the members of the exercise control group single rooms should be provided.
- **Sanitary installations** equivalent to international standards must be set up in sufficient numbers in the exercise site or sites. These standards are described in the SPHERE project.

- A dedicated medical **service** to cope with real medical emergencies shall be offered during the exercise, including arrangements for **medical** evacuation (MEDEVAC).
- Media access provisions.
- Safety and security provisions.

3.3.5. Project reporting and evaluation

Project reporting and evaluation refers to

- Reporting during the project implementation
- Exercise evaluation
- Project evaluation

It should be stressed that project evaluation includes exercise evaluation and that exercise evaluation in turn has two parts: the evaluation of the exercise play and the evaluation of the exercise design and conduct.

The obligations of the Coordinating Beneficiary regarding reporting to the Commission are specified in Article 11 and Annex II of the Common Provisions applicable to action grants funded under the Civil Protection Financial Instrument (Council Decision No.2007/162/EC, Euratom of 5 March 2007). In addition to these obligations it should be noted that the Coordinating Beneficiary is obliged after each planning meeting of the Core Group, and in particular within 2 weeks, to send to the Commission (specifically to the designated person(s) following the project): the minutes of the meeting, the list of the meeting participants and any other supporting document of the meeting. It is also encouraged to contact the Commission regarding issues that might require enhanced cooperation and coordination.

The principles of the evaluation plan should be presented as part of the proposal. The final evaluation plan should be submitted to the Commission at least one (1) month prior to the conduct of the exercise. It should guarantee the collection of data and information that can subsequently be analysed to find the root causes of the observed weaknesses in the performance of the various groups of exercise players. **The result of the analysis should form the basis for an improvement plan for each one of the participating organisations.** It should be noted that the analysis should also aim to find weaknesses regarding exercise design and conduct as well. A necessary part of the evaluation plan is the evaluation workshop.

The **evaluation workshop** should be organised on site following the completion of the exercise. Depending on the scope of the exercise its duration might vary from a few hours to one (1) full day. Its purpose is to document and to take immediate benefit of the “fresh” impressions of all the exercise participants from the conduct of the exercise. Issues regarding exercise design should be discussed as well. It is necessary to have a concrete plan for the evaluation workshop (submitted as part of the evaluation plan and the proposal) and it is recommended to allow sufficient time for a fruitful discussion and exchange of ideas between the exercise participants.

A **final technical implementation report** shall be presented to the European Commission; its form, content and submission time should be in accordance with the guidelines issued by the Commission in Annex II of the Common Provisions. The general structure presented in Annex II B should be followed. Due to the particular nature of exercise projects, particularly for sections 3, 6, 7 in addition to the description of their contents in Annex II B, the following also apply:

Executive Summary focused on the exercise (1-2 pages)	
Presentation of the project	▪ Purpose and objectives of the project

	<ul style="list-style-type: none"> ▪ Time schedule of the project ▪ Institutions involved ▪ Short description of the scenario ▪ Coordination levels exercised
Presentation of the exercise	<ul style="list-style-type: none"> ▪ Exercise Participants <ul style="list-style-type: none"> ○ Exercise Control ○ Exercise Players (Intervention Teams, Assessment and/or Coordination Teams, Civil Protection Modules, Technical Support And Assistance Teams And Other Means Involved) ○ Evaluators ○ Observers ○ other ▪ The Exercise Area ▪ Time Schedule Of The Exercise ▪ Exercise publicity
Evaluation of the exercise	<ul style="list-style-type: none"> ▪ Evaluation plan ▪ Evaluation workshop [Summaries of presentations (reduced sized copies of presentations may be annexed), etc] ▪ Conclusions, lessons identified for improvements and recommendations regarding emergency preparedness, response and training. ▪ Conclusions, lessons identified for improvements and recommendations regarding exercise design and conduct.

4. HOW MUCH WILL THE COMMISSION GRANT?

4.1. THE "NO DOUBLE FINANCING" RULE

Before presenting a proposal, applicants should check whether any co-financing has been obtained under other Union financial instruments. Projects or actions within projects that benefit or will benefit from financial support under other Union financial instruments are not eligible under this call for proposals.

If the applicant has requested funding for the same action under another Union instrument, it may be that, at the moment of submitting his/her proposal to this programme, the decision to grant the financing requested from the other Union instrument has not yet been taken by the authorities responsible for the implementation of these financial instruments (usually the Commission or national/regional authorities). If the proposal qualifies for selection, the Commission will verify if the financing has been granted in the meantime. At the same time, the applicant is obliged to inform the responsible Commission Service of any such financing as soon as it is confirmed. The final decision will only be taken once the Commission has verified that there will be no double financing.

4.2. MAXIMUM EUROPEAN CO-FUNDING

The indicative total budget available is **2.000.000 EUR**.

The EC contribution per project is limited to a maximum of **1.000.000 EUR**.

The maximum EC funding rate (percentage applied on the eligible costs according to the project budget) in the framework of this call for proposals is up to **85%** of eligible costs per proposal.

Given the complementary nature of EC grants, at least **15%** of the total project cost must be funded by other sources.

The applicant is encouraged to look for other possible local, national or international, private and public (non EU) co-financing. In case the proposed exercise includes the integration, demonstration or testing of innovative satellite-based solutions, it is suggested to establish a contact with the European Space Agency (ESA) for possible co-financing. This could be subject to special procedure, independent from the EC grant, between the Coordinating Beneficiary and ESA. For further information please refer to ESA point of contact in Brussels (Phone: +32-2-7433093 – Fax: +32-2-7433072).

4.3. PROJECT DURATION

Projects should be developed and implemented within a **maximum** period of **twenty four (24) months**. There is **no formal minimum period** but in view of the complexity in planning multinational full scale exercises minimum project duration of **one (1) year** is advised.

4.4. PAYMENT SCHEDULE

Following the award of a grant and after the signing of the grant agreement by both partners, the Commission will pay **60 %** of its contribution as a pre-financing payment. No further pre-financing or interim payment will be made. The final payment of **up to 40 %** of the EC

contribution will be made after the Commission has accepted the final technical report and will be based on the final financial statement and the eligible costs calculated by the Commission.

Note that in certain cases the interest yielded from the (60 %) pre-financing payment must be declared in the final financial statement. For a full description of the relevant rules on declaration of interest, see Article 23(7) of the Common Provisions applicable to action grants funded under the Civil Protection Financial Instrument, published together with this call for proposals.

5. WHO CAN SUBMIT A PROPOSAL? WHO MAY PARTICIPATE? TYPES OF PROJECT PARTICIPANTS

5.1. PROJECT PARTICIPANTS AND EXERCISE PARTICIPANTS

A clear distinction should be made between *project participants* and *exercise participants*. The latter have already been defined in section 3.2.2.

Project participant is an entity who takes up some role in the implementation of the project either in the overall project management (project management team) or in the exercise planning (design and development, exercise planning team). There are four types of project participants (see section 5.4).

In that sense exercise players are not project participants even though in their majority they usually administratively belong to organisations that are project participants.

5.2. GEOGRAPHICAL ELIGIBILITY FOR PROJECT PARTICIPANTS

This call is open to any applicant established in any of the following countries: 27 EU Member States and the three EFTA/EEA countries (Iceland, Liechtenstein and Norway).

Organisations established in any of the Candidate Countries may participate in this call as project participants if their countries have signed a Memorandum of Understanding (MOU) with the Commission in the field of civil protection and contribute financially to the Commission's civil protection budget.¹

In all other cases (organisations established in candidate countries which do not fulfil the above mentioned criterion or established in third countries which do not have the 'candidate country status') participation in this call is possible if agreements between these countries and the Union so allow. However, the only possible roles (see paragraph 5.3) are that of co-financer or sub-contractor. Therefore only organisations established in eligible geographical areas can be project participants with the meaning given in the Common Provisions and therefore receive EC funding. However, experts and teams from third countries may be invited to participate as exercise players or have another function in the exercise (see exercise participants section 3.2.3). Their travel and subsistence expenses can be covered if they are included in the project proposal and the accepted budget.

5.3. ELIGIBLE APPLICANTS - PROJECT PARTICIPANTS

This call is open to any legal person (public or private). Examples of applicants who can submit a proposal — as long as no profit is generated by the project — are: public sector bodies, public administrations, universities, international organisations, non-governmental organisations, commercial firms, etc. Natural persons are not eligible.

International organisations are defined as follows:

- a) international public-sector organisations set up by intergovernmental agreements and specialised agencies set up by such organisations (e.g. UN);
- b) the International Committee of the Red Cross (ICRC);

¹ Subject to the entry into force of the Memorandum of Understanding. If, by the first of the month of the selection decision, the Memorandum has not entered into force, participants from the candidate country in question will not be co-funded and will not be taken into account with regard to the minimum size of partnerships

c) the International Federation of National Red Cross and Red Crescent Societies.

The definition of 'International Organisations' follows from Article 43 (2) of Commission Regulation (EC, Euratom) No 2342/2002 of 23 December 2002 laying down detailed rules for the implementation of the Financial Regulation applicable to the general budget of the European Union, as last modified by Commission Regulation (EC, Euratom) No 478/2007 of 23 April 2007 (referred to below as 'Implementing Rules of the Financial Regulation').

If the successful applicant is an international organisation, the model Contribution Agreement with an international organisation or any other contract template agreed between the international organisation concerned and the Contracting Authority will be used instead of the standard grant agreement.

Link to: Relations with international organizations:

http://ec.europa.eu/europeaid/work/procedures/implementation/international_organisations/index_en.htm

5.4. ROLES AND OBLIGATIONS OF PROJECT PARTICIPANTS

A proposal for a project under this Call for proposals can be presented by a sole entity/organisation, without involving any other project participant. However, proposals may envisage the collaboration of one or more participants in the partnership. Depending on their roles and obligations in the project implementation and funding there are four types of project participants:

- coordinating beneficiary (applicant)
- associated beneficiary (ies)
- co-financer(s) (other than the European Commission)
- sub-contractor(s)

Summary table: Roles of the different project participants involved

	Contractual relationship with the Commission	Financial involvement in the project	Cost to be covered by the EC financial contribution	Project steering committee participation	Project coordination
Coordinating Beneficiary	Yes	Yes	Yes	Yes	Yes
Associated Beneficiary	No	Yes	Yes	Yes	No
Sub-contractor	No	No	Yes ²	No	No
Co-financer	No	Yes	No	Yes	No

It should be stressed once more that an exercise project must involve **exercise players**, as defined in section 3.2.7, from at least three Participating States of the Mechanism, including the coordinating beneficiary that shall participate in the exercise play. An organisation that is only an exercise player is not considered a project participant in the meaning of this chapter; and the costs for its participation in the exercise are borne by the coordinating or an associated beneficiary.

For a full description of the respective rules related to the coordinating beneficiary, associated beneficiaries, co-financers and subcontractors, please refer to Articles 3 to 8 of the Common Provisions applicable to Civil Protection projects, published together with this Call for proposals (see section 8).

² Invoiced to the coordinating /associated beneficiary

5.4.1. Coordinating Beneficiary

The applicant, i.e. the entity that has submitted the proposal to the Commission, will become the Coordinating Beneficiary of the grant agreement if the proposal is accepted for EC-funding.

The role of the Coordinating Beneficiary implies the sole legal and financial responsibility for the implementation of the project. It will be the single point of contact for the Commission and will also be the only beneficiary to report directly to the Commission on the project's technical and financial progress. It receives the Union financial contribution from the Commission and assures its distribution as specified in the partnership agreements established with the Associated Beneficiaries (if any).

The Coordinating Beneficiary shall be involved in the technical implementation of the project; it must bear part of the project costs and must thus contribute financially to the project budget. Therefore, it cannot be reimbursed for 100% of the costs that it incurs. Furthermore it cannot act, in the context of the project, as a sub-contractor to one of its Associated Beneficiaries.

5.4.2. Associated Beneficiaries

An Associated Beneficiary shall contribute technically to the project and hence be responsible for the implementation of one or several project actions. It must contribute financially to the project but shall also benefit from the financial contribution from the Commission. It cannot act, in the context of the project, as a sub-contractor to the coordinating beneficiary or to other associated beneficiaries. It shall do everything in his power to help the Coordinating Beneficiary fulfil its obligations under the grant agreement. In particular, it must provide the Coordinating Beneficiary with all the necessary documents and information (technical or financial) required for the reporting to the Commission.

The Associated Beneficiary, through the mandate (which is the completed and signed form A3) annexed to the grant agreement, grants power of attorney to the Coordinating Beneficiary, to act in his name and on his account in signing the grant agreement and its possible subsequent amendments with the Commission. Accordingly, the Associated Beneficiary mandates the Coordinating Beneficiary to take full legal responsibility for the implementation of the grant agreement.

The Coordinating Beneficiary shall conclude with each Associated Beneficiary a partnership agreement describing their technical and financial participation in the project. Such agreement shall be fully compatible with the grant agreement signed with the Commission, shall make a precise reference to the Common Provisions and shall have, as a minimum, the contents described in the guidelines on partnership agreements issued by the Commission (see chapter 8). The partnership agreement shall be signed by the Coordinating Beneficiary and the Associated Beneficiaries and notified to the Commission within three months from the starting date of the project.

5.4.3. Co-financer(s)

A project co-financier only contributes to the project with financial resources, has no technical responsibilities and cannot benefit from the Union financial contribution. Furthermore it cannot act, in the context of the project, as a sub-contractor to any of the projects beneficiaries.

5.4.4. Subcontractor(s)

For specific tasks of a fixed duration, a project may also foresee the use of sub-contractors. Sub-contractors cannot act as beneficiaries or vice-versa. Sub-contractors provide external services to the project beneficiaries who fully pay for the services provided.

5.5. THE COMPETENT NATIONAL CIVIL PROTECTION AUTHORITIES

As mentioned in section 3.2.7.2 for a project to be eligible the Competent National Civil Protection Authority of each Participant State deploying intervention resources in the field has to participate as an exercise player. Of course the Competent National Civil Protection Authorities are not restricted to that role only, it is actually encouraged that they participate in the project in any of the four possible types of project participants (see section 5.4). Before submitting their proposal to the Commission, applicants are requested to inform the Competent National Civil Protection Authorities of all Participant States deploying intervention resources in the field in order to ensure consistency between actions financed at Union level and national civil protection policies, plans and procedures. Form A8 pertains to this requirement and MUST be submitted from all Participant States deploying intervention resources in the field.

The competent national civil protection authorities designated by each participating state in the Mechanism can be found at:

http://ec.europa.eu/echo/civil_protection/civil/prote/cp10_en.htm.

6. WHERE AND WHEN TO SUBMIT A PROPOSAL?

6.1. DELIVERY

Each proposal must be sent in one single batch, by postal mail, private courier service, or delivered by hand to the following address respectively:

<u>By postal mail or private courier service</u>	<u>By hand delivery</u>
EUROPEAN COMMISSION DG HUMANITARIAN AID Civil Protection Unit (ECHO.04) CALL FOR PROPOSALS 2010 "EXERCISES" BU-9 4/184 B-1049 Brussels	EUROPEAN COMMISSION Central Mail Service DG HUMANITARIAN AID Civil Protection Unit (ECHO.04) CALL FOR PROPOSALS 2010 "EXERCISES" Avenue du Bourget 1 B-1140 Brussels

Please note that proposals submitted by fax or electronic mail will not be accepted.

Proposals submitted to the Commission remain property of the Commission and will not be returned to the applicants.

6.2. PACKAGING AND DEADLINE

Each proposal must be submitted in **one (1) original**, bearing original hand-written signatures where requested, and **two (2) identical, complete, hard (paper) copies**, to the European Commission at the address specified under 6.1. An electronic version of Forms A, T and F (in MS Word/EXCEL format, not as a PDF file) must also be provided on CD or memory stick.

Proposals must be sent to the Commission the latest by **31 May 2010**. The complete proposal must be sent by postal mail, private courier or delivered by hand by the above deadline to the address indicated in 6.1. The postmark, the date of collection by the courier or the acknowledgement of receipt dated and signed by the responsible Commission official will serve as proof of the date of submission of the proposal. Faxes, electronic mail, incomplete applications, or applications sent in several parts will not be accepted.

It is the duty of the applicant to ensure that the necessary precautions are taken to respect this deadline.

6.3. ACKNOWLEDGEMENT OF RECEIPT

Once a proposal has been received by the Commission, an acknowledgment of receipt (i.e. Form A11) will be sent to the applicant within three (3) weeks after the closing date of this call for proposals (see section 6.2). The acknowledgement of receipt will contain a reference number, which must be mentioned in all correspondence concerning the proposal.

Applicants who have not received an acknowledgment of receipt of their proposal within three (3) weeks after the closing date of this call for proposals should contact the Civil Protection Unit by e-mail at: ENV-CIVIL-PROTECTION-CALLS@ec.europa.eu

6.4. DATA PROTECTION AND MANAGEMENT

The follow-up of your response to the call for proposals will require the recording and further processing of personal data (name, address and CV, for example).

Regulation (EC) 45/2001, of the European Parliament and of the Council of 18 December 2000 on the protection of individuals with regard to the processing of personal data by the European Union institutions and bodies and on the free movement of such data, applies.

Replies to questions and personal data requested are necessary for the purpose of assessing your proposals according to the specifications of the call for proposals and will be processed by DG Humanitarian Aid for this purpose and, as the case may be, for the conclusion of the grant agreement.

You may, upon request, obtain the communication of your personal data and rectify any inaccurate or incomplete data. Moreover, as regards the processing of your personal data, you have a right to recourse at any time to the European Data Protection Supervisor.

Should you have any queries concerning the processing of your personal data, please address them to the e-mail address mentioned under 'Preface'.

IMPORTANT:

Any document sent to the European Commission after the deadline will not be considered for the evaluation procedure unless it has been specifically requested by the Commission.

7. HOW ARE PROJECTS EVALUATED AND GRANTS AWARDED?

7.1. INTRODUCTION AND INDICATIVE SCHEDULE

The Civil Protection Unit of Directorate – General Humanitarian Aid is responsible for carrying out the evaluation procedure. The authorising officer responsible shall appoint a committee to evaluate the proposals. The Evaluation Committee shall be made up of at least three people representing at least two organisational entities of the Commission with no hierarchical link between them. The Evaluation Committee will apply the evaluation procedure and propose to the Authorizing Officer the proposals that should be awarded grants. All applicants (successful or not) will be informed in writing of the outcome of the evaluation of their proposal. A grant agreement will be sent to each successful applicant.

The following schedule is foreseen:

Indicative schedule for 2009	
DEADLINE FOR SUBMITTING PROPOSALS	31 May 2010
EVALUATION OF SUBMITTED PROPOSALS	June – September 2010
NOTIFICATION SENT TO UNSUCCESSFUL APPLICANTS	October 2010
SIGNATURE OF GRANT AGREEMENT AND CLOSURE OF THE CALL	October 2010

During the evaluation procedure, in order to ensure fair treatment of all submitted proposals, the Commission will not respond to any requests, made from the applicants, for information regarding the eligibility or quality of their proposals.

However, the Commission reserves the right to contact applicants at any stage and especially during the final stage of the evaluation procedure (i.e. the application of the award criteria) in order to obtain additional information, documentation or clarifications on the content of the proposal, including technical, management and/or budgetary aspects as well as to request modifications of the proposal, if it is deemed necessary by the Evaluation Committee. However, **it should be stressed that this is done purely for reasons of enhancing the understanding of the particular project proposal and does not imply any kind of negotiation or modification of the proposal.**

7.2. GENERAL PRINCIPLES

Proposals must comply with the following principles:

- **Co-financing rule:** external co-financing from a source other than EU funds is required from the coordinating beneficiary and the associated beneficiaries' own resources and/or, possibly, from financial resources of third parties;
- **Non-profit rule:** the project may not have the purpose or effect of producing a profit for the coordinating beneficiary or the associated beneficiaries;
- **Non retroactivity rule:** expenditure eligible for financing must be incurred **after** the start date stipulated in the grant agreement;
- **Non-cumulative rule:** only a single grant may be awarded for any given action carried out by a given beneficiary.

7.3. THE EVALUATION PROCEDURE

The Commission will evaluate the submitted proposals by applying a set of four types of criteria in the following order:

- (1) *admissibility and eligibility criteria*: to assess the formal eligibility of the submitted proposals ;
- (2) *exclusion criteria*: to assess whether certain reasons for exclusion apply ;
- (3) *selection criteria*: to assess the operational and financial capacity of the applicant organizations and;
- (4) *award criteria*: to evaluate the overall quality of the proposals and as well as the interest of the proposals to the Commission.

The procedure for each type of criteria is explained in the following sections and as a whole in section 7.8.

7.4. ADMISSIBILITY AND ELIGIBILITY CRITERIA

All proposals submitted will be checked for compliance with the following admissibility and eligibility criteria:

7.4.1. Admissibility criteria

- A. The proposal has been sent to the European Commission at the latest by the deadline mentioned in section 6.2
- B. The application must NOT be presented by a body acting as an intermediary for a third party

Attention: Proposals that fail to comply with criteria A and B will be declared inadmissible without any further check.

- C. The number of copies requested in the packaging requirements (see section 6.2) must be submitted; i.e. one original and two copies plus an electronic copy of the proposal on CD or memory stick.
- D. Use of the standard application forms provided by the Commission as part of this Call for Proposals is obligatory. Changes to the content of the forms are not permitted; only minor changes in font, size and layout can be accepted.
- E. Except for dates and signatures, the information on the application forms should not be hand-written. The links on Forms A9 (Legal Entities Form) and A10 (Financial Identification Form), lead to web applications that can be filled in and printed.
- F. All forms must be provided. If a specific form is not applicable to the type/content of the project, type "not applicable" or "N/A" on the form.
- G. Where required, the application forms should be dated, stamped, and signed in such a way that the status and full name of the signatory are clearly identifiable.
- H. Two mandatory annexes (see sections 8.3 and 8.4) are required for all applications:
(1) the latest annual activity report of the applicant organisation (coordinating

beneficiary), and (2) the curriculum vitae of all relevant professional staff of all organisations involved in the project (see section 7.6.1). Consequently, (2) is required for all staff involved, from the coordinating and the associated beneficiaries.

In addition to these annexes, private organisations acting as applicant (coordinating beneficiary) must submit: (1) a profit-and-loss account and the balance-sheet for the last two financial years; (2) an external audit report certifying the accounts of the last available financial year if the EC contribution exceeds € 500.000. Both (1) and (2) are obligatory for all private organisations; (3) a list of the members of the management or executive board (names and title or function within the coordinating beneficiary organisation); (4) the articles of association (applicable to private companies only) or the official registration certificate of association (applicable to associations only).

NON-COMPLIANCE WITH CRITERIA C to H

Attention: Proposals for which the documents and/or forms submitted do not fully comply with criteria C to H, are, in principle, inadmissible and, as such, eliminated from further evaluation. However, depending on the level of completeness/correctness of the proposal, the Commission may decide to review the question of admissibility after taking appropriate action.

7.4.2. Eligibility criteria

- I. The applicant must be established in one of the countries specified in section 5.2 (geographical eligibility).
- J. The applicant must have the legal status specified in section 5.3
- K. The proposal must refer to an eligible activity (i.e. exercise type) under this call (see section 3.2.1)
- L. The proposal must fulfil all the minimum requirements (see section 3.2.5.4). More specifically the proposal must include the formal endorsement and participation (at least as an exercise player) of the competent national civil protection authorities of the country of the applicant and of all exercise players (Form A8).
- M. The project or any action within the project does not and will not benefit from financial support from other Union financial instruments.

Proposals which do not meet all eligibility criteria will be declared ineligible and will be eliminated from any further evaluation.

7.5. EXCLUSION CRITERIA

A proposal will be excluded if the coordinating beneficiary or an associated beneficiary is in any of the situations mentioned below:

As provided for by Article 93(1) of the Financial Regulation:

- a) they are bankrupt or being wound up, are having their affairs administered by the courts, have entered into an arrangement with creditors, have suspended business activities, are the subject of proceedings concerning those matters, or are in any analogous situation arising from a similar procedure provided for in national legislation or regulations;
- b) they have been convicted of an offence concerning their professional conduct by a judgement which has the force of *res judicata*;
- c) they have been guilty of grave professional misconduct proven by any means which the Commission can justify;
- d) they have not fulfilled obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which they are established or those of the country of the contracting authority or those of the country where the contract is to be performed;
- e) they have been the subject of a judgement which has the force of *res judicata* for fraud, corruption, involvement in a criminal organisation or any other illegal activity detrimental to the Union' financial interests;

As provided for by Article 94 of the Financial Regulation:

- f) they are subject to a conflict of interest;
- g) they are guilty of misinterpretation in supplying the information required by the contracting authority as a condition for participation in the procurement procedure or fail to supply this information.

Both the coordinating beneficiary and each associated beneficiary have to sign a declaration on oath that the company/organisation is not in any of the situations mentioned above (see point 1 of Forms A2 and A3). Omitting to sign and/or date these forms will result in the exclusion of the proposal. The Commission may request at any time further evidence that the declaration is correct.

7.6. SELECTION CRITERIA

The projects that pass the eligibility and exclusion criteria will be assessed according to the selection criteria that, as stated in the 2009 Annual Work Programme, are divided into two categories:

Proven evidence of adequate operational capacity and professional qualifications and experience of all participants to carry out a project according to the proposed objectives and deliverables. (Operational capacity)

Financial soundness of project participants: self-financing and/or co-financing capacity. (Financial capacity)

If even one of the above two sets of the selection criteria is not fulfilled, a project is declared not selected and is eliminated from the evaluation procedure.

The Commission reserves the right to use all the information at its disposal to assess whether the candidature fulfils the selection and the exclusion criteria (in conformity with Art. 93, 94 and 96 of the Council Regulation (EC, Euratom) No 1605/2002 as last amended by Council Regulation (EC) No 1525/2007 of 17 December 2007) as well as to request additional supporting documents deemed necessary to prove the financial or operational capacity of any coordinating or associated beneficiary.

7.6.1. Operational capacity

The Coordinating Beneficiary and the Associated Beneficiaries must show that they have the technical capacity and the project management capacity to complete successfully the proposed project. Especially, the Coordinating Beneficiary (i.e. the applicant organisation) who, according to the Common Provisions, is solely responsible for the task of project management and the reporting to the Commission, must demonstrate the capacity to manage a large-scale activity corresponding to the size of the project described in the proposal. It is acceptable, and actually encouraged, that the Coordinating Beneficiary for the completion of certain tasks (other than the project management) chooses Associated Beneficiaries that can demonstrate their capacity to implement these particular tasks. It should be stressed that applicants must be directly responsible for the preparation and management of the project, and not acting as an intermediary for another party. They must provide information about their capacity to implement the project and demonstrate their experience in working with other parties, in trans-national projects and in successfully completing the project according to the submitted proposed plan.

The Operational capacity of the Coordinating Beneficiary and the Associated Beneficiaries is determined by its *Technical capacity* and its *Project Management capacity*. Capacity in both cases is ideally expressed as the existence, in the applicant organisations, of organisational structures (sections, offices, etc) that have exercise planning as their mission and are staffed by an adequate number of personnel with the relevant knowledge, experience and expertise. It is also expressed by the experience of the organisation as a whole in the implementation of projects of that type.

Therefore, the assessment of the operational capacity requires the submission of both organisational information and information regarding the professional qualifications (knowledge and experience) of the personnel who will implement the tasks of the project. For that purpose the Evaluation Committee will use the information reported in the relevant sections of application Forms A4 and A5 as well as the various T Forms. Specifically, the technical knowledge, experience and expertise of the applicant organisation will be partly assessed by the information provided in the relevant sections of Forms A4 and A5. A clear indication of the operational capacity of the Coordinating Beneficiary and the Associated Beneficiaries is the level of thoroughness and detail with which the project has been divided in tasks and actions as presented in the various T Forms. Important for the assessment of the operational capacity is that, at least, for each task (and preferably even for each action) leaders are identified and stated in the project management plan (T Forms).

Since all the required information for the assessment of this criterion is not provided in the application forms of the proposal the applicant must also submit along with them the following:

- the applicant organisation's most recent **annual activity report**. Note that since annual activity reports are typically issued only in the official language of the organization, submitting an extended summary in any other language (preferably English or French)

would be very helpful. It should be noted that submission of the associated beneficiaries' annual activity report is encouraged;

- the Coordinating Beneficiary's and the Associated Beneficiaries organisational charts depicting the organisational units (sections, offices, etc) that are responsible for exercise planning along with a description of their mission and responsibilities as stated in the legal basis of the organisations;
- the organisational structure of the project management team and the exercise planning team;
- the **curriculum vitae of all the personnel that have been identified as member of the project management team, the exercise planning team or as a task leader regardless of whether it belongs to** the Coordinating Beneficiary or the Associated Beneficiaries involved in the project. It is preferable that the model provided at the following webpage: <http://europass.cedefop.europa.eu/europass/home/vernav/Europasss+Documents/Europass+CV/navigate.action> is used. Note that in the submitted CVs special attention should be given in supplying relevant information regarding the assessment of the selection criteria;
- any other publications or material describing relevant activities (national or international exercises, technical publications regarding exercises, etc) that show the technical knowledge and experience of the involved personnel and the organization as a whole;
- anything else that the applicant considers that supports the proposal in that respect.

It should be stated that the lack of organisational units devoted to exercise planning in the Coordinating Beneficiary and the Associated Beneficiaries organisational structures **does not constitute** a reason for the elimination of a proposal, provided that proof of the existence of qualified personnel can be supplied. Nevertheless, in general the existence of organisational units devoted to exercise planning is considered as a plus.

A proposal is eliminated on the basis of this criterion if the Evaluation Committee has strong evidence that the Coordinating Beneficiary or one of its Associated Beneficiaries are not reliable from an operational capacity point of view and fall under **any** of the following situations:

- The Coordinating Beneficiary or an Associated Beneficiary have demonstrated weaknesses and shortcomings in their operational performance (technical and/or project management aspect) in previous projects under this programme or other Union-financed projects and has given no proof that the necessary measures have been taken to avoid similar problems in the future.
- The Coordinating Beneficiary or an Associated Beneficiary have neither the knowledge and the experience nor the expertise necessary for a successful implementation of the project and does not foresee, in the proposal, one or more partners that have the necessary competence.

7.6.2. Financial capacity

A proposal is eliminated only if the evaluator has strong evidence that the Coordinating Beneficiary or one of its Associated Beneficiaries is not reliable from a financial point of view and/ or falls under any of the following situations:

- the Coordinating Beneficiary or an Associated Beneficiary is undergoing bankruptcy proceedings;
- the results of audits carried out by Union institutions in relation to the Coordinating Beneficiary or an Associated Beneficiary have clearly shown their inability to comply

with the administrative rules regulating Union grants and in particular those applicable to this programme;

- the Coordinating Beneficiary or an Associated Beneficiary does not possess the financial capacity to cover their share of project costs/financing. For the financial capacity, the Commission checks in detail whether the coordinating beneficiary has stable and sufficient sources of finance to ensure the continuity of their host organisation throughout the project and to play a part in financing it;
- to that end, any Coordinating Beneficiary with a "private" status must include in the proposal their annual accounts for the last financial year (i.e. **balance sheet, profit and loss accounts**). In conformity with article 176 of the Commission Regulation (EC, Euratom n° 2342/2002 of 23 December 2002 - as last modified by Regulation 1248/2006 of 7 August 2006, laying down detailed rules for the implementation of the Financial Regulation), the verification of financial capacity will not be applied to public bodies;
- where the requested EC contribution exceeds € 500.000, an **external audit report** produced by an approved auditor must be submitted. That report shall certify the accounts of the private applicant for the last financial year available.

The Commission reserves the right to contact the applicant during this phase in order to obtain additional information or clarification so that this criterion is properly assessed.

7.7. AWARD CRITERIA

All the submitted proposals that have passed successfully the three previous sets of criteria (i.e. admissibility & eligibility, exclusion and selection criteria) will be assessed towards the award criteria. According to the WP 2010 the following four categories of award criteria must be used:

- Understanding
- Methodology
- Cost effectiveness
- European dimension

Through the application of these four award criteria categories the Evaluation Committee will evaluate the overall quality, relevance and interest of all proposals. The proposals should address the aims of exercises as defined in the legal basis and in this call for proposals. More specifically, they should have purpose, objectives and scenarios that are within the scope of the Mechanism and involve exercise players as defined in the legal basis. They should adhere to the principles of quality project management, exercise planning, conduct and evaluation i.e. planned in such a way that proper implementation will result in the expected results as stated in section 2.2. They should be clear, coherent, realistic and feasible in terms of budget and value for money. Finally, they should also have high European value in terms of not only number of Participating States but also of ensuring consistency, complementarities, and synergies with other instruments of the Commission, the Union and the Union [Article 8(7) paragraph 4 of Council Decision 2007/779/EC, Euratom].

The Commission reserves the right to contact the applicant during this phase in order to obtain additional information or clarification on the content of the proposal.

In the following, for each of the above four criteria the "explanatory phrase" stated in the WP 2010 is given. It is followed by a more detailed explanation and then by a number of sub-criteria either in the form of statements or questions that attempt to express in the best way possible the scope, the meaning and the spirit of each criterion.

7.7.1. Understanding (20 points)

The applicants have fully understood the objectives, the strategic and legislative context of the call and have established accordingly the project, maximising the testing of procedures and the use of the different resources of the Mechanism;

"Understanding" refers to how well the proposed project addresses the objectives and the expected results of exercises as stated in section 2.2 and takes into account the various issues of importance and interest in civil protection response at the Union level. More specifically, through this criterion the appropriateness, the consistency and the clarity of presentation of the exercise purpose and objectives, the scenario and the exercise players will be assessed. The following sub-criteria will be applied (5 points each):

- (1) Objectives and expected results: Are they clearly stated? Given the objectives and the expected results of exercises in the WP 2010, as stated in section 2.2, are the objectives and the expected results of the proposed exercise appropriate, consistent and coherent?
- (2) Scenario basis and consistency: Is the scenario appropriate given the exercise objectives and expected results? Does the proposed scenario have a sound basis on risk assessment, or are data from actual emergencies used, etc? Are the need identification and needs analysis annexed to the proposal? Are all the procedures of

the Mechanism respected? Does the proposed scenario provide an opportunity to test lessons learned from the recent interventions of the Mechanism or other Union funded exercises?

- (3) Scenario importance and complexity: Does the scenario address and provide an opportunity to test issues that are part of the current discussions (see section 8) in the civil protection response at the Union level? Does the scenario provide an opportunity of exercising in an integrated manner various available Civil Protection response resources (various categories of the target group) and tools (e.g. transport grant, satellite images, etc)? To what extent the scenario gives emphasis to cooperation/coordination at the field and at the operational level?
- (4) Exercise players: Is the selection of exercise players appropriate given the objectives and the scenario? Is the scenario designed to engage all of them sufficiently? Have the organisations that will be simulated (role played) been identified?

7.7.2. Methodology (35 points)

The proposed project tasks, the project management methodology in general and the exercise planning conduct and evaluation methodology are suited for the achievement of the project aims, objectives and expected results. They also take into account standards and procedures of the other Participating States, as well as international standards and conventions (UN), where appropriate.

Methodology refers both to the project management methodology and the exercise planning (design and development), conduct and evaluation methodology that will be applied by the Coordinating Beneficiary and the Associated Beneficiaries. With this criterion it will be assessed whether the pillars of project management are observed i.e. scheduling and planning, decision-making, and control as well as the obligations towards the Commission. It will be assessed also whether the division of the project in tasks and actions is appropriate for the proper planning, conduct and evaluation of an exercise of that scale. Each proposal will be evaluated according to the following sub-criteria (5 points each):

- (5) Organisational structure: Are the proper bodies (Core Group and other structures) and procedures in place to secure monitoring, decision making, and control of the progress of the project?
- (6) Means for implementation: Are the necessary means (personnel, equipment, etc.) proposed for the proper implementation? Has it been secured that the necessary means will be available? What is the level of support from the competent national civil protection authority of the applicant? (please note that minimum support should be considered as player)
- (7) Project time schedule: Is the proposed project timeline realistic given the available resources? Are the various planning meetings properly spaced given the expected outcome and deliverables from each one of them? Have the reporting obligations to the Commission been included?
- (8) Constraints and quality control measures: Has a risk analysis of the project been performed? Are the potential difficulties, weak points and constraints assessed and has sufficient preparation been undertaken to pre-empt these (preventive and repressive measures)? Are there measures proposed for evaluation for the whole duration of the lifetime of the project? Have the critical actions for the implementation of the project being identified? Has the interdependence of actions been identified?
- (9) Exercise Planning: Has the membership of the Exercise Planning Team been identified, have the roles & responsibilities of its members been stated? Is Exercise planning the sole responsibility of the Coordinating Beneficiary or the Associated Beneficiaries are

substantially involved? Have all the necessary tasks and actions that would guarantee proper planning of the exercise been identified? Are any workshops on subjects related to the exercise planned to take place concurrently with the exercise, before or after? Are there any innovative activities planned? Regarding specifically the simulation of the scenario: has a satisfactory description of the exercise site or sites being provided? Has a description of the props (refer to section 12.B) and the methods to simulate realistically the scenario been provided? Are actors going to be used to enhance the realism of the simulated scenario? Are any innovative methods going to be tested or used?

- (10) Exercise Conduct: have all the necessary tasks and actions that would guarantee proper conduct of the exercise been identified? This refers to the organisational structure, methodology and development of the necessary documentation and training of the personnel if necessary.
- (11) Evaluation and Improvement Planning: have all the necessary tasks and actions that would guarantee proper evaluation of the exercise and subsequent improvement planning been identified? This refers to organisational structure, evaluation and improvement planning methodology and the development of the necessary documentation and training if necessary. More specifically: is there an evaluation programme in the project? Is this programme to evaluate procedures related to international assistance coordination? Are the evaluators specifically tasked during the exercise? Are the evaluators selected through a relevant profile description?

7.7.3. Cost effectiveness (15 points)

The proposed budget is sufficient for a proper project implementation and the project is conceived in such a way to ensure the best value for money, taking also into account the expected results and deliverables.

The proposal will be evaluated towards the above criterion by assessing its compliance with the following sub-criteria (5 points each):

- (12) Rationality: is the proposed budget well structured and rational? Have all the costs for the project actions been clearly identified and quantified?
- (13) Justification & Coherency: Is the budget justified, are the costs adequate for the actions and means proposed and the expected results? Is the EC financing rate requested within the limits for this program (i.e. up to 85% and 1.000.000 Euro, see section 4.2)? Are overheads within the permitted maximum of 7% of the total eligible direct costs?
- (14) Good value for money: is the proposed budget economically advantageous with respect to the expected quality of the end result and the European dimension?

7.7.4. European Dimension (30 points)

The proposed project has a proper European dimension i.e. broad participation of Member States and Participating States to the Union Civil Protection Mechanism, importance, applicability and relevance of the scenario and the expected results for the Member States and the EU as a whole.

The proper European dimension is not expressed merely by the number of Member States or Participating States participating in the project in general or only in the exercise conduct but also by the importance, applicability/transferability and the relevance of the scenario and the expected results for the Member States and the EU as a whole. It is also expressed by the level of integration in the exercise play of the various Union and Commission services and Institutions and/or the use of products/services funded or developed by them. In addition, it is mirrored in the promotion of cooperation of Europe, as a whole, with international actors in

the field of emergency response. Therefore, the proposals will be evaluated against the following sub-criteria:

- (15) Participation by Participating States: This refers to participation mainly as exercise players but also in any other group of exercise participants. This sub-criterion is assessed by the total number of countries, not including the applicant, which have committed in writing their decision to participate in the exercise. See section 7.8.1 paragraph 4ii. This criterion will take also into account the size/importance of participating states contribution, taking also into account the exercise scenario. (15 points)
- (16) Inter-Institutional cooperation, consistency, complementarity, synergies: Participation as exercise players, of other Commission DGs and Services (e.g. International Cooperation, Humanitarian Aid and Crisis Response, European External Action Service SecGen, etc) or Union and Union Institutions and structures (e.g. EC delegation) that are involved as partners in the overall European response to emergency situations. Use or testing of methods and/or products/services (e.g. GMES, etc) relevant to civil protection operations developed or under development by Commission DGs and Services (e.g. the Joint Research Centre, etc) or other EU institutions or Agencies (e.g. ESA, etc) or funded by EU programs. (5 points)
- (17) Cooperation with International Organisations: Participation as exercise players, of international organizations, particularly agencies of the UN system with which the Mechanism cooperates in emergencies. (5 points)
- (18) Dissemination of results: How does the project proposal provide for the dissemination of the lessons learned, best practises and recommendations for the benefit of all Participating States of the Mechanism? Does the project address an issue that is priority at EU level or it is important for a significant number of Participating States? (5 points)

7.8. AWARDING THE GRANT

7.8.1. Conclusion of the evaluation procedure

The list of pre-selected proposals will be established on the basis of the above mentioned criteria.

The evaluation of proposals will be done according to the following consecutive steps:

1. Only those proposals complying with all admissibility and eligibility criteria (section 7.4) will be further assessed.
2. A proposal will be excluded if the applicant is proved to be in any of the situations mentioned under the exclusion criteria (section 7.5).
3. Even if one of the selection criteria (section 7.6) is not fulfilled, projects are declared to be not selected and are eliminated from the further evaluation procedure.
4. For the assessment of the award criteria (section 7.7), a grading system of maximum hundred (100) points is used according to the following:
 - i. For each sub-criterion, with the exception of sub-criterion (15) a score from 1 to 5 will be given by each member of the Evaluation Committee, the meaning of the ratings is: unsatisfactory = 1, poor = 2, average = 3, good = 4 and excellent = 5. From the scores of the individual members of the Evaluation Committee an average score for each sub-criterion for each proposal will be calculated.

- ii. For sub-criterion (15) a maximum of 15 points can be given. The points will be allocated according to the number of committed participating countries, not including the Coordinating Beneficiary. The corresponding rates are as follows: two countries = up to 5 points, three countries = up to 10 points, four or more countries = up to 15 points.
- iii. All proposals that have passed the eligibility, exclusion and selection criteria will be assessed according to this grading system. To reach the technical sufficiency level, proposals need to score a minimum total of 70%.
- iv. If the total requested amount of all the pre-selected technically sufficient projects exceeds the total indicative budget available (see section 4.2), the proposals will be ranked according to the total points given to them. The Evaluation Committee will propose that the Authorising Officer selects those projects with higher ranking.

7.8.2. The award decision

Upon completion of the above procedure, the Authorising Officer will take the final decision on the project proposals to be co-financed including the respective maximum financial amount and the rate of co-financing granted. Please note that the Commission reserves the right to award a grant of less than the amount requested by the applicant. However, grants will not be awarded for more than the amount requested in the proposal. The Commission will co-finance the proposals achieving at least the score required to reach technical sufficiency [see section 7.8.1 paragraph 4 point (iii)], within the limits of the overall budget available for this call for proposals (see section 4.2).

At this stage the Commission will commit the relevant funds and send a grant agreement to the successful applicants (coordinating beneficiaries) to be signed and returned to the Commission. The grant agreement will come into force only once both parties have signed it.

7.8.3. Rejected proposals

The Commission will officially inform each unsuccessful applicant in writing, once the award decision has been taken made by the Authorising Officer. The Commission's decision is final. Projects that have not been co-financed under this call for proposals will NOT be taken into consideration for future calls.

8. HOW TO PREPARE A PROPOSAL?

8.1. GENERAL GUIDELINES

To prepare a project proposal for an exercise it is essential to think in terms of the six stages of the exercise cycle, namely:

- Needs identification
- Needs analysis
- Exercise design and development
- Exercise conduct
- Exercise evaluation
- Improvement plan

It should be noted that actions/activities that fall under the needs identification and needs analysis stages generally must be completed during the proposal preparation stage and therefore are not eligible for EC co-financing. However, the research done during these two phases is very important in order to formulate the purpose, the general objectives and the broad scenario of an exercise that is of interest to the Commission and therefore they have to be annexed to the proposal itself in order to increase the clarity of the proposal for financing.

When doing research in order to achieve this purpose, potential applicants are advised to do the following:

- read carefully the legal basis of the Mechanism
 - Council Decision 2007/779/EC, Euratom of 8 November 2007 establishing a Union Civil Protection Mechanism (recast).
 - Council Decision 2007/162/EC, Euratom of 5 March 2007 establishing a Civil Protection Financial Instrument
 - Commission Decision 2004/277/EC, Euratom of 29 December 2003 laying down rules for the implementation of Council Decision 2001/792/EC, Euratom establishing a Union mechanism to facilitate reinforced cooperation in civil protection assistance interventions.
 - Commission Decision 2008/73/EC, Euratom of 20 December 2007 amending Decision 2004/277/EC, Euratom as regards rules for the implementation of Council Decision 2007/779/EC, Euratom establishing a Union civil protection mechanism.
 - Commission Decision 2007/606/EC, Euratom of 8 August 2007 laying down rules for the implementation of the provisions on transport in Council Decision 2007/162/EC, Euratom.
- study the available information (especially lessons learned reports, etc) regarding disasters that triggered interventions by the Mechanism. Information on recent Major emergencies with MIC intervention is available at http://ec.europa.eu/echo/civil_protection/civil/index.htm
- study the various documents that describe the current state of play regarding the Union Civil Protection Mechanism, in particular:
 - Summary reports and attached documents of recent Civil Protection Committee meetings {e. g. Summary report of the Civil Protection Committee meeting held on 25-26 November 2008 [ENV A3/HM/RS/isk D(2008) 69940 of 14-01-2009], Summary report of the Civil Protection Committee meeting held on 24-25 March 2009 [ENV A3/HM/HD/mbdm D(2009) 92211 of 13-05-2009] }
 - Summary reports and attached documents of recent meetings of the Directors General of Civil Protection
 - Commission Communications in the field of civil protection and emergency situations
 - Council resolutions
 - European Parliament resolutions

- Study the information (Lessons learned reports, etc) of previous exercises funded by the Commission. A list is available at: http://ec.europa.eu/echo/civil_protection/civil/prote/exercises.htm

Besides researching all of the above, potential applicants are strongly encouraged to consult with their competent national civil protection authorities, national correspondents/civil protection committee member and/or operational contact points in order to better understand and be informed regarding the issues discussed and currently of interest to the Member States and the Commission.

On top of what has already been mentioned special attention should be given to the following:

- In this call for proposals scenarios for all types of major emergencies occurring inside or outside the Union, including natural and man-made disasters, acts of terrorism (whether making use of conventional means or CBRN agents) and technological, radiological and environmental accidents, including accidental marine pollution taking also into account the special needs of the isolated, outermost and other regions or islands of the Union are acceptable in principle.
- The initial broad definition of the exercise scope (type and phases of emergency situation, geographic location, emergency functions to be exercised) is a very important decision since it guides the scenario and identifies the potential exercise players.
- Scenarios should be decided with the aim to provide an opportunity to test and exercise current initiatives and also support complementarity at the European level.
- The proposed scenario should make use of either data and information from actual disasters or be based on risk assessment studies in order to pose a situation in which realistically the Mechanism could be activated and therefore provide a solid basis for exercising resources that might actually be requested to be deployed and the corresponding procedures. It is advised that extreme national scenarios of potential disasters that can occur in Member States are used as a basis for the definition of project proposals.
- In establishing the detailed events of the scenario, especially the part regarding the Mechanism procedures, the applicants are encouraged to read carefully the legal basis.
- Finally, it should be stressed that the inclusion in the scenario of early warning systems and the use of new technologies for the purpose of the Mechanism is encouraged [Articles 2 and 5(8) of Council Decision 2007/779/EC, Euratom].

Only carefully prepared proposals will be considered for financing. In summary:

- The first phase, preliminary to the formulation of the project, should consist of identifying **the issue to be addressed**. Careful reading of the aims and the expected results of this call for proposals is essential (see section 2.2).
- Once this is done, the **purpose and the general objectives** of the project must be set. This should directly address the problems identified and should be precise and clearly set out. It should be noted that the general objectives should be phrased in such a manner in order to allow the Core Group and the Exercise Planning Team to formulate specific objectives for the various categories of exercise players.
- The next step is to identify the **results** or 'end products' of the project which are to be achieved to meet the purpose and the objectives. The result must take into consideration the relevant conditions. It will be greatly appreciated if these will be set out in quantifiable terms.
- Next, consider which **actions** are needed to obtain these results. For each one clearly identify how, where and when it will be undertaken, who will do it and how much it will cost. Any action which does not contribute directly to an objective must be discarded.
- Carefully plan how the project will be **organised and managed**, who is responsible for carrying out which actions, who reports to whom and what type of management structure is necessary. A timetable for the implementation of the proposal is considered obligatory.

- Make sure the **budget** is coherent with the actions proposed and that financial resources will be available when needed.
- Consider, at each stage of writing the application, the **assumptions** you are making and the risks which might challenge the results. Outside factors, especially socio-economic ones such as authorisation of measures by public authorities, support from local interest groups potentially affected by the project etc, are essential for the success of the project and should be fully described in the proposal, as should any potential difficulties that might arise.
- Establish how the planned actions and expected results can be verified and list these in the application form T3b. This will make it possible to monitor the project.
- Finally, a simple procedure must be foreseen to evaluate the results in relation to the purpose and the objectives, both during and at the end of the project. There are various levels of evaluation: Evaluation of players, of exercise planning and conduct, evaluation of the project as a whole. All these have their specific significance and should be addressed properly with the view to arrive to lessons learned that can be used for the formulation of an improvement plan for each participant organisation.
- Useful lessons which could be passed on to other projects should be identified. Conversely, the experience of similar projects should be used during the preparation of projects.

Finally, it should be noted that careful reading of the award criteria will provide direction and important hints to help guide the development of a proposal that is a good candidate for financing by the Commission. Last but not least before submitting your proposal, apply all four groups of the evaluation criteria to it and make all the necessary changes and/or additions.

A proposal which is vague, insufficiently negotiated between partners and includes foreseeable difficulties that have not been appropriately taken into account (or omits the analysis of the most relevant assumptions and risks) has little chance of being considered for funding. A proposal should be a realistic project and not merely a declaration of intent.

Before starting to complete the forms read carefully the model Grant Agreement and its annexes. They can be downloaded from the following website: http://ec.europa.eu/echo/civil_protection/civil/index.htm

8.2. FORMAL REQUIREMENTS FOR APPLICATIONS

It is essential that each proposal is submitted in **one (1) original and two (2) identical and separate** copies. Please, make sure that the original is clearly identified as such (i.e. mark the front page "ORIGINAL") and that it contains all forms to be signed bearing the original signatures. An electronic version of the proposal forms A, T and F (in MS Word/EXCEL format and **not** as a PDF file) must also be provided on CD, memory stick or diskette at the same time.

In order to facilitate the selection and reproduction of documents, please provide applications **typed on A4 format** and assembled in a **binder or A4 plastic folder with two holes**. Please do not use vinyl envelopes for each page or expensive folders. A simple two-hole binder suffices.

If a form needs to be duplicated, please number each new form page sequentially (example Form A4/1, A4/2 etc.).

Any other documentation that you consider relevant (photographs, etc.) should be put in a **separate A4 file**, attached to the original and each of the paper copies of the proposal. Please note that this documentation may in no way replace the information you should

include in the application forms. Application forms should contain all the details necessary to carry out the evaluation without any need to refer to other documents, with the exception of the mandatory annexes.

Please indicate dates using the format day/month/year.

8.3. OBLIGATORY DOCUMENTS TO BE ATTACHED TO THE APPLICATION

Obligatory documents are required, in order for the Commission to assess the financial and technical viability of the applicant. The obligatory documents vary, depending on the legal status of the applicant.

The following table summarizes the necessary obligatory documents:

The following documents are required **only for the applicant (coordinating beneficiary), and not for associated beneficiaries, co-financers or subcontractors.**

Only the Curricula Vitae are required for both applicant and associated beneficiaries.

All applicants (public and private entities)	Private entities only
Legal Entities Form (A9)	
Annual Activity report	
	List of the members of the Management or the Executive Board
Curriculum Vitae of all relevant professional staff involved in the project (applicant and associated beneficiaries)	
	Articles of association (if applicable)
	Official Statute
	Copy of Certificate of Legal Registration
	Copy of VAT registration
	Balance-sheet and the profit-and-loss account for the last two financial years AND Form F9 If the requested EC-contribution exceeds € 500.000, the external audit report for last financial year available

(1) Legal entities form

Form A9 shows an example for the Legal Entities forms which are available and can be downloaded from the website:

http://ec.europa.eu/budget/execution/legal_entities_en.htm

The legal entity form should be accompanied by a copy of the following supporting documents: resolution, law, decree or decision establishing the entity in question or, failing that, any other official document attesting to the establishment of the entity.

ATTENTION: An applicant already registered as a Legal Entity within the Commission register only needs to submit the completed and signed form A9 itself, thus without supporting documents. This is typically the case when the applicant has directly benefited from EC-funding (as a beneficiary of grant agreements or decisions, or as a contractor for service/ study or other market contracts) still ongoing or with a final payment not before 2004. In this case, please provide clear grant agreement/ contract reference(s) of the recent EC-funding and the Commission service(s) responsible.

(2) The annual activity report

The annual activity report required is the one for the previous completed accounting period.

(3) List of the members of the administration or executive board

Depending on the legal nature, a list of the members of the administration (public applicant) or executive board (private applicant) is needed. The list should include the full name and title or function within the applicant organisation of each member.

(4) Curricula vitae of staff involved in the project

The application for co funding should be accompanied by the curriculum vitae of all relevant professional staff of all organisations involved in the project. This is required for all relevant staff involved, both from the coordinating and the associated beneficiaries.

(5) Articles of association of the applicant

Private applicants with the legal status of an association should include the articles of association.

(6) Official statute and a copy of the certificate of legal registration

Private applicants should include an official statute and a copy of the certificate of legal registration.

(7) Copy of the VAT registration

Private applicants should include a copy of the VAT registration. If it is not applicable, please provide an explanation why, preferably certified by the VAT authorities.

(8) Balance sheet and profit and loss account

Private applicants must submit the balance sheet and the profit and loss account of the last financial year for which the accounts have been closed. NB: In addition to the submission of these documents, application form F9 must be completed and submitted.

(9) External audit report

Where the requested EC contribution exceeds € 500.000, an external audit report produced by an approved auditor must be submitted. That report shall certify the accounts of the private applicant for the last financial year available.

8.4. SPECIFIC REQUIREMENTS FOR PUBLIC ENTITIES

Those applicant organisations that declare their status as public must comply with all the following criteria:

- a. The organisation has been created by a public authority or is officially recognised as an organisation of public interest. Note the 'public interest' must be explicitly mentioned in the relevant legal or administrative act/s.
- b. The internal procedures and accounts are submitted to control by a public authority (on a day to day basis).
- c. The organisation is financed totally or to a large extent (i.e. more than 50%) by public sources.
- d. In the event that the organisation stops its activities, all rights and obligations including financial, will be transferred to a public authority.

This means that only central, regional and local public authorities and the structures that act on their behalf and under their full responsibility may be considered as public.

In the event that your organisation does not comply with any of the criteria mentioned above then it should be declared a private structure and should provide the documents requested from private organisations.

Please note that proof may be requested at a later stage. Failure to deliver sufficient evidence will lead to a re-classification from public to private.

International organisations are defined as:

- a. international public-sector organisations set up by intergovernmental agreements and specialised agencies set up by such organisations;
- b. the International Committee of the Red Cross (ICRC);
- c. the International Federation of National Red Cross and Red Crescent Societies (IFRC).

This definition of "international organisations" follows from Article 43(2) of the rules implementing the Financial Regulation.

8.5. SPECIFIC RECOMMENDATIONS FOR EACH SECTION OF THE APPLICATION FORM

The application form consists of two parts which can be downloaded from our website:

http://ec.europa.eu/environment/funding/intro_en.htm

The application form provides information on administrative and technical aspects of the applicant and partners as well as financial information on the project.

Part 1 concerns the administrative and technical part of the project proposal, Forms A and T respectively;

Part 2 concerns the financial part of the proposal (Forms F).

The Commission will evaluate only those applications which were submitted using these forms, duly completed and accompanied by all required supporting documents.

- Please use the forms specific to this Call for Proposals, NOT the ones from previous Calls!
- Furthermore, if a form needs to be duplicated, please number each new page of the form sequentially (example Form A6/1, A6/2, etc.).
- Please, always indicate dates using the format **day/month/year**.

8.5.1. Part 1: Forms A and T

The administrative and technical part of the application form consists of two sections A and T respectively that are available and can be downloaded as a Word file from the following website:

http://ec.europa.eu/environment/funding/intro_en.htm

a. Form A1

The project title must not exceed 60 characters. The project acronym must not exceed 25 characters. It should be as descriptive as possible.

A grant may be awarded for a project which has already begun only if the applicant can demonstrate the need to start the project before the agreement is signed. In such cases, expenditures eligible for financing may not have been incurred prior to the date of submission of the grant application. Only costs incurred during the lifespan of the project may be considered eligible. Thus, in order to minimise risks, it is suggested to establish a project start later than the envisaged date of signature of grant agreements.

b. Form A2 and A3

Check that the coordinating beneficiary and the associated beneficiaries do not fall into any of the situations listed in articles 93.1 and 94 of the Financial Regulation (EC) 1605/2002; see chapter 6.4 or use reference: http://www.cc.cec/budg/leg/finreg/leg-020_finreg_en.html

Financial contribution of the coordinating beneficiary and the associated beneficiaries: The amounts indicated here must be identical with the amounts indicated in the financial forms **F0** and **F1**. This amount must be greater than 0€ and cannot include any funding specifically obtained for the project from other public or private sources (this is co-financing).

Please note that the Commission may at any time request further evidence for the correctness of the statements made in this form.

Forms A2 and A3 must be **signed and dated**.

c. Notes common to Forms A4 and A5

- **Short Name:** The short name chosen by the participant for this project. This should not be more than 25 characters.
- **Country Code:** Use the relevant postal country code.
- **Coordinating/ associated beneficiary's reference:** participant reference should be consistent with that given in form A1.
- **Coordinating/ associated beneficiary's Legal Name:** The legal name is the name under which the participant(s) is registered in the official trade registers (if applicable).
- **Legal Status:** Choose one of the following: Private, Public or International organisation. See chapter 4.

- **International organisations referred to** are listed in section 8.4 last paragraph.
- **Value Added Tax (VAT) number:** If applicable, provide the organisation's VAT number in the VAT register.
- **Legal Registration Number:** If applicable, please provide the organisation's legal national registration number or code in the legal trade register, e.g. the Chambers of Commerce register or the business register.
- **Title:** Title commonly used in correspondence with the person in charge of proposal co-ordination. Example: Mr., Mrs., Dr., Prof.
- **Function:** State the function of the person in charge of proposal co-ordination. Example: Managing Director, Financial Director, Sales Manager, Project Manager, etc.
- **Department / Service Name:** Name of the department and/or service in the organisation, co-ordinating the proposal and for which the contact person is working. The address details given in the fields that follow must be for the department / service and not the legal address of the organisation.
- **Number of employees:** To be provided by the beneficiary and all associated beneficiaries. The figures should relate to the legal organisation as a whole - not only to the department carrying out the work. The contribution of part-time staff should be accounted for as the equivalent number of full-time staff – i.e. as full-time equivalents.
- **Number of employees in the department carrying out the project:** To be provided by the beneficiary and the associated beneficiaries. The figures should be for the department carrying out the work. The contribution of part-time staff should be accounted for as the equivalent number of full-time staff, i.e. as full-time equivalents. If not applicable, please write “N/A”.
- **Is your organisation independent (for private organisations only)?** Is 25% or more of the capital or the voting rights owned by one enterprise or jointly by several enterprises?
- **Owner (for private organisations only):** Please provide the legal name(s) of the organisation(s) or person(s) having a controlling stake of 25% or more in the organisation.
- **Affiliation (for private organisations only):** An organisation is affiliated to another organisation if:
 - it is under the same direct or indirect control as another organisation, or
 - it directly or indirectly controls another organisation, or
 - it is directly or indirectly controlled by another organisation.

Control:

Company A controls company B if A, directly or indirectly, holds more than 50% of the share capital of B, or if A, directly or indirectly, holds more than 50% of the shareholders' voting rights of company B, or if A has, directly or indirectly, the decision-making powers within company B.

It should be noted that Company A's holding of a simple majority of the share capital, or the voting rights, of Company B may be sufficient to create a controlling stake.

Yes – Affiliated (for private commercial bodies only): Please provide the participant short name(s) of the organisation(s) to which your organisation is affiliated and use the codes below to describe the character of the affiliation(s):

(D): Direct control;

(I): Indirect control.

If the affiliate is intended to be a sub-contractor, then add (S) and the short name of the sub-contractor.

- **Brief description of the organisational structure and the activities:** Please describe the organisation of the coordinating/ associated beneficiary, its legal status, its activities and expertise. The description should enable the Commission to evaluate the part of the selection criteria that relate to the applicant's operational capacity i.e. to check whether they have the knowledge, experience and expertise necessary to ensure a successful implementation of the project (see section 7.6).

For non-profit organisations, please provide the key elements that prove that the organisation is recognised as such.

d. Form A5 only

Annual turnover: To be provided by all non-public associated beneficiaries for which this type of information is available. If not applicable, please write “**N/A**”. Information from the last financial year should be used. The amount (to be denominated in Euro) should be given for the organisation as a whole and not just for the subsidiary company or the department carrying out the work.

Last financial year: Provide the year for which the figures in this section are provided, e.g. '2007'.

e. Form A6

This form becomes compulsory only if the project foresees co-financers, other than the European Commission. Complete one separate form consecutively numbered per co-financer (i.e. A6/1, A6/2, A6/3, etc.). Always give amounts in Euro (€). Remember that the amounts in the form(s) A6 must be consistent with the amounts indicated in the financial forms F0 and F1.

f. Form A7

For any of the three questions that do not apply, please reply: '**NO**'.

Applicants frequently underestimate the importance of this form. The Commission pays particular attention to the fact that certain actions may and should be financed through other EU financial instruments. The limited resources of this programme should be used in the most efficient way and overlaps with other EU financial instruments should be avoided. Applicants should check this possibility before submitting a request for co-financing. Only if sufficient information is given to demonstrate that the application is directed at the most appropriate EU financial instruments and/or that the actions proposed are/would not be eligible under such schemes, will the Commission consider the actions proposed for financing.

g. Form A8

The Coordinating Beneficiary (Applicant) **MUST** request to each player's competent national civil protection authority to fill in this form. **Empty forms are considered as proof of lack of endorsement of the project proposal by the competent national**

civil protection authority of the coordinating beneficiary. In addition, in filling in this form it should be noted that for the project to be eligible the answer to 4) must be YES, nevertheless this does not preclude the answer to be also YES for any other sub-question of question 3.

The list of the competent National Civil Protection Authorities of the Participating States is available at the following web address:

http://ec.europa.eu/echo/civil_protection/civil/prote/cp10_en.htm

h. Form A9

Complete this form carefully! Please note that the form on this page is only an example. The form specifically adapted to the legal status of the Coordinating Beneficiary as well as to the country/ language is available through the link indicated on the form. The link leads to a web application that allows you to type in all the necessary data/information and then print.

i. Form A10

Complete this form carefully! Please note that the form on this page is only an example. The form specifically adapted to the country/ language of the bank account is available through the link indicated on the form. The link leads to a web application that allows you to type in all the necessary data/information and then print. The bank stamp and signature of its representative are not required if the form is accompanied by a copy of a recent bank statement (not older than 3 months before the date of submission of the grant application). The signature of the account holder is obligatory in all cases.

Important! The account should be opened in the name of the applicant organisation.

j. Form A11

As soon as your proposal is received, the Commission will complete and return this form to you by email or fax, depending on which field you have filled in. This receipt does not entail any judgment on the eligibility of your proposal. It only confirms that the application has been received by the Commission. If you do not receive Form A11 within 21 days after the final receipt date, please contact the Commission at the email address mentioned in the preface of this guide.

General Comments for filling in the technical forms (Forms T)

Filling in Forms T1, T2, T3a and T3b properly is absolutely essential and portrays whether the applicant has put enough and careful thought in the initial planning which is a minimum and basic requirement in order to secure the proper implementation of the project. It indicates how well the Coordinating Beneficiary has liaised within its own organisation as well as with all the Associated Beneficiaries in defining the project scope, the necessary tasks for its implementation and has assigned responsibility for task implementation to specific individuals and organisations taking into account the proper allocation of the available human and material resources. The T Forms should be filled in, in a way that illustrates that the essential aspects of exercise planning, conduct and evaluation and project management are respected i.e. scheduling and planning, decision – making and control. They should prove that the coordinating beneficiary will be able to put in place everything that is needed in order to control:

- Means of finance (cost – benefit)
- Organisation (organisational aspects and collaboration)
- Quality (criteria which the expected results must satisfy)
- Information (communicating and storing information)
- Time (duration of tasks, schedule, capacity)

All forms should be completed, printed out and inserted into the application.

k. Form T1

This summary form is a very important element of the project proposal. It has three sections: Purpose & Objectives of the proposed exercise, actions and means involved in the implementation and finally expected results. Special care should be given when filling it up since it presents in one page the essence of the proposed project and its value to the Commission. Furthermore, it can be used for information purposes within the Commission and it may also subsequently be used for communication purposes.

l. Form T2

Form T2 should provide a clear and concise overview of the project. It is the list of all the tasks that comprise the project and according to the Coordinating Beneficiary are necessary for its completion. All project tasks should clearly relate to the exercise, be necessary for its implementation (planning, conduct and evaluation) or significantly enhance the value of the exercise. For each task the following information should be given: task ID, task title, start date, end date, list of actions and deliverables **[it is recommended that the number of tasks is no more than ten (10)]**. Each task should be assigned an ID. For this purpose capital letters starting from “A” and onwards should be used.

m. Form T3a and T3b

For each one of the tasks listed in Form T2, one (1) Form T3a and one (1) Form T3b has to be filled properly.

It is important to break down each task in actions. The breakdown should correspond to a reasonable level i.e. one that is descriptive enough and yet not overwhelming or unnecessarily detailed. Too general descriptions should be avoided. The task and

action breakdown should be such that it allows the Commission to assess the maturity of the project in terms of planning and preparation. The breakdown of each task in actions and the definition of the deliverables within each task are very important since they both provide a basic means for controlling and monitoring the progress of all aspects of the project, during implementation, by both the Coordinating Beneficiary and the Commission.

Form T3a:

A separate Form T3a should be filled for each task listed in Form T2. In Form T3a the project acronym followed by the task ID, task title, start date, end date, duration, objectives, the task leader and the participants in the implementation of the task are given. It is preferable that specific personnel is assigned task leader responsibility, if this is not the case it should be at least stated from which organisation that personnel would come from. This general information about each task is followed by specific and detailed information regarding every action that is needed for the complete implementation of the task.

For each action the following information should be given:

- Title
- Start date
- End date
- Description (what, how, and where)
- Expected results
- Responsible for implementing it
- Participants
- Constraints and assumptions
- Action will be subcontracted : yes/no/partially
- Requirements & specifications for subcontractor selection

Care should be taken that all the actions listed for each task in Form T2 are analysed in the proper section of Form T3a. Most of the types of information listed above are self explanatory. For the rest a few comments are given below.

The description of each action should be clear and concise.

Expected results (quantitative information greatly appreciated): define targets. The targets should, as far as possible, be measurable both during the implementation phase and after completion of the tasks. Expected results include deliverables. They should be in line with the overall project timeline.

Under constraints and assumptions the results of a risk analysis should be mentioned i.e. determination of weak points and for each weak point an indication of its likelihood of appearance as well as the gravity of the situation created. It is very important that for the most threatening points the possible causes, the preventive and the repressive measures should be listed. The assumptions used should also be listed. The risk analysis should be pragmatic and focus on the real problems encountered in projects of that type. The applicant should show that it has a good and realistic understanding of the problems that he could be faced with and a system and methods to confront them.

Due care should be taken that the breaking down of each task in actions as reported in Form T3a is in correspondence with the budgetary breakdown per task and action as reported in the financial Forms F2a and F2b.

Form T3b:

A separate Form T3b should be filled for each task listed in Form T2. In Form T3b the project acronym followed by the task ID, task title, start date, end date, and duration are given. They are followed by a list of the deliverables description and the corresponding deliverable date. Each significant element of the project should conclude with a deliverable which is the concrete output and evidence of the work and presents a clear step towards the successful implementation of the project.

Deliverables should be described in clear words explaining what can be expected in terms of content and detail. The definition of project deliverables should be done in view of the necessary "items"/ products to plan (design and develop), conduct and evaluate an exercise. For an exercise project deliverables are various types of documentation developed to enable the various categories of exercise participants to fulfil their mission/role during or after the exercise conduct, the preparation of the exercise site and of the methods for the simulation of the scenario, the organisation of the planning meetings, the reporting obligations to the Commission, etc. Deliverables should be limited in number, specific and verifiable.

Task breakdown of the project

Whereas the task breakdown of the project is the responsibility of each applicant and a strict structure is not imposed, it should be stressed that two (2) tasks are considered compulsory by the Commission:

1. Project Management and reporting to the EC
2. Dissemination

In the following a few points and comments are made in order to guide the applicant accordingly.

(1) Project Management and reporting to the EC:

Describe how the project will be organised and managed. Make sure that the appropriate organisational structure for managing the project is described and that there are clear arrangements for monitoring, control, finance and information management, and decision making. Include a brief but clear organisation chart of the technical and administrative staff involved (who, how many, main tasks?). Scheduling and planning should also be presented. Some of the actions in this task are dictated by the obligations the Coordinating Beneficiary has towards the Commission according to the Common Provisions. For reporting requirements refer also to the model Grant Agreement. In describing and filling the forms for this task see the comments in section 3.3.1 and the general comments for filling in the technical forms.

Applicants are required to include in their budget proposal the travel, accommodation and subsistence costs for the meetings specified in section 3.3.3. For each meeting, the costs should be budgeted for no more than two people per organisation, unless appropriate reasons for the attendance of more people can be given.

(2) Dissemination

Describe how the project results (lessons learned, best practices and other recommendations) will be disseminated. Please read carefully articles 12 and 21 of the Common Provisions to make sure that you will include in the project

management plan your obligations towards the Commission. Possible dissemination strategies, methods and means are:

- ✓ **Media work.**
- ✓ **Organisation of events for the Union or for visitors:** e.g. public information meetings, meetings with interest groups, guided visits, etc... Describe exactly what is planned and who the target audience is.
- ✓ **Workshops, seminars, conferences:** If personnel from the coordinating beneficiary and/or an associated beneficiary (ies) are attending, specify who (if known already). If the coordinating beneficiary and/or an associated beneficiary (ies) are organising the event, describe exactly the topic, how it contributes to the objectives of the project, and who will be invited (note that the Commission must be invited and, whenever possible, beneficiaries implementing or having implemented similar projects ought to be invited in order to foster networking). Finally, describe the expected output of each event and how it will be disseminated.
- ✓ **Production of brochures, films, etc.** Specify exactly what is planned (subject matter, number of copies, distribution list). The target audience should be defined and justified in a precise manner. Note that all such material must bear a clear reference to the Union's financial support (see Article 12 of the Common Provisions, EU logo + EU Civil Protection logo) in order to be considered eligible for reimbursement and that one (1) copy of each product must be annexed to each progress or final report.
- ✓ **Technical publications on the project:** The financial support from the Union must be clearly acknowledged in all publications that refer to the entire project or any of its parts or aspects (EU logo + EU Civil Protection logo). The CO must send one (1) copy of each publication (in printed and electronic form) to ENV A.4 even if the publication takes place after the project has ended for a period of up to five years after the termination of the project (Article 21 of the Common Provisions).
- ✓ For **on-site related projects** the Coordinating beneficiary is required to install and maintain notice boards describing the project at places accessible to the public. The EU logo + EU Civil Protection logo should always appear on them. If the public will be allowed to observe the exercise, special safety and security provisions should be planned beforehand and applied during the conduct of the exercise.
- ✓ The Coordinating beneficiary is required to publicise the main project results (e.g. summary and detailed activity reports, etc.) on an existing or specifically for that purpose created **website**. The website should be linked to the Commissions' Civil Protection Unit website. The relevant internet web address should be included in the project reports. Also in the website the EU logo and the EU Civil Protection logo should appear clearly as well as a reference to the Union's financial support.
- ✓ **Please, take particular care in choosing the technologies, consumables and equipment necessary for the production of awareness-raising material. Environmentally-friendly products/technologies should be favoured.**

n) Form T4

In view of the goal of continuous progress and improvement of the Union Civil Protection Mechanism it is of utmost importance that the applicants would describe and propose the necessary actions that will ensure that the exercise and the project evaluation results and the resulting improvement plan will be implemented. In addition, they should indicate the measures they will take in order that the knowledge, the experience and the expertise of the personnel engaged in the project will be utilised the best way possible. They should also indicate the future use of the acquired equipment and of course offer any other suggestions they deem necessary.

8.5.2. Part 2: Forms F

The financial section consists of 11 forms. It is available for download as an Excel file from: http://ec.europa.eu/echo/civil_protection/civil/prote/calls.htm. All forms should be completed, printed out and inserted into the application. The cells marked in yellow contain formulas and therefore should not be completed.

General

The Union contribution will be calculated on the basis of eligible costs. For information on the different cost categories and on ineligible costs, please refer to Articles 24 and 25 of the Common Provisions of the Grant Agreement (see chapter 9).

Internal invoicing (i.e. costs which result from transactions between departments of a beneficiary) is not allowed, unless it is possible to prove that such transactions represent the best value for money and exclude all elements of profit, VAT and overheads.

All amounts, where applicable, should be exclusive of VAT, unless the coordinating/ associated beneficiaries are unable to recover VAT. In that case the amount should be inclusive of VAT. All costs should be in Euro (€) and the amounts rounded to the nearest whole Euro (€).

a. Form F0 – Provisional budget

The form is filled in automatically, based on the data provided in forms F1, F3 to F8, except for

- **Indirect costs/overheads:** Please specify the amount requested. Overheads are eligible as a flat rate up to a maximum of 7% of the total direct eligible costs.
- **Requested EC contribution:** Please specify the amount of financial contribution requested from the European Commission.

b. Form F1 – Project funding breakdown

This form describes the funding of the project by the beneficiaries and/or co-financier(s), as well as the EC contribution requested per beneficiary.

- **Beneficiary N°:** Please use the number given in the Beneficiary profiles in the forms **A4** and **A5**.
- **Beneficiaries' short name:** As in the forms **A4** and **A5**.
- **Total costs of the actions in €:** Indicate the total costs of the actions undertaken by the beneficiaries as in the forms **A2** and **A3**.
- **Coordinating beneficiary contribution:** specify the amount of financial contribution provided by the coordinating beneficiary, as indicated in form **A2**. This amount cannot include contributions by co-financers (form A6).

- **Associated beneficiary contribution:** Indicate the financial contribution from each associated beneficiary, as indicated in form **A3**. This amount cannot include contributions by co-financers (form A6).
 - **Amount of EC contribution requested:** Specify the amount of financial Union contribution requested by the coordinating beneficiary and each of the associated beneficiaries.
 - **Co-financier name:** As in the Co-Financier profile and commitment forms **A6**.
 - **Amount of co-financing in €:** Indicate the financial contribution of each co-financier as in forms **A6**.
- c. Form F2 (a and b):
- For every task described in the technical forms T2 and T3, please provide a detailed breakdown of costs per cost category in form **F2a**. In form **F2b**, please provide an overview of the costs per action, without breakdown into the different cost categories.
- Particular attention should be given to the coherence of the presented costs. In particular, please make sure that totals for each cost category are the same as those calculated in forms **F3 to F7**.
- Depending on the number of tasks or actions, rows may have to be added on these tables. Information should be consistent with the contents of the technical forms not applicable.
- d. Notes common to Forms F3 to F7
- It is required for all reported budget items to provide a "reference to the Task ID / Action" according to the technical form T3a. Should a budget item refer to more than one Task ID/ Action, please indicate each one of them.
- e. Form F3 – Personnel costs (only direct costs)
- **General** In conformity with article 172a (2e) of Commission Regulation (EC, Euratom No 2342/2002 of 23 December 2002 - as amended by Commission Regulation (EC) No 1248/2006 of 7 August 2006, laying down detailed rules for the implementation of the Financial Regulation), the salary costs of civil servants may be considered only to the extent that they relate to the cost of activities which the relevant public authority would not carry out if the project concerned were not undertaken.
 - **Type of contract:** Please indicate the exact legal name of the type of contract (permanent staff, temporary, etc.). Service contracts with individuals may be charged to this category on the condition that the individual concerned works in the coordinating/ associated beneficiary's premises and under its supervision and provided that such practice complies with the relevant national legislation. The time that each individual spends working on the project shall be recorded using time-sheets drawn up and certified by the coordinating/associated beneficiary.
 - **Category:** Please identify each category or grade in a clear and unambiguous manner to enable the European Commission to monitor the labour resources allocated to the project, analyse cost claims and carry out audits. Examples of staff categories are: project manager, senior engineer, technician/worker, etc. Where known, please indicate the name of the person. In this case you should use one line per person.

- **Annual gross salary:** Please indicate the gross salary or wages plus obligatory social charges but excluding any other costs. The salary for a category may be based on indicative average rates if they fairly reflect the grades working on the project. In either case, the average must reasonably reflect the personnel cost of the project. Please remember that, should your proposal be financed by the Commission, only the real costs (e.g. actual salaries) will be considered as eligible costs of the project.
- **Daily rate:** The daily rate should be calculated on the basis of the annual number of working days according to national legislation, collective agreements, employment contracts, etc. An example for determining the total productive days per year could be as follows (provided what is established in the appropriate legislation):

Days/year	365 days
Less 52 weekends	104 days
Less annual holidays	25 days
Less statutory holidays	11 days
= Total productive days	<u>225 days</u>

The **number of working days assigned to the project** reflects the number of days needed to carry out the project.

If temporary staff is employed, the methodology set out above may not be applicable. In this case, the methodology should be explained and the possible detail on the calculation of the budgeted costs should be provided in the form.

f. Form F4 – Travel and subsistence costs

You may use more than one line to describe the reason for travel or destination, if necessary, but costs may be presented collectively: e.g. for the total of all technical co-ordination meetings. Clear descriptions should always be given. Please indicate whether the persons travelling are personnel of the coordinating/associated beneficiary, or other persons (e.g. members of a steering committee, experts, people taking part in exercises, etc.).

- **Journey:** Specify the country and city of origin and destination, if already known. If applicable, for repeated visits to the project area, write 'project area'.
- **Reason for travel:** Specify the reason for travel. Examples: 'dissemination event', 'technical co-ordination meeting', 'project area visit'.
- **Travel unit costs:** Travel costs shall be charged in accordance with the internal rules of the coordinating/ associated beneficiary. Coordinating and associated beneficiaries should endeavour to travel in the most economical and environmentally friendly way. Please indicate travel unit costs. For this purpose you may also refer to data from previous experience or to quotes from a travel agent.
- **Subsistence costs:** They cover hotel costs, meals, sundry expenses, local transport etc. and should be applied according to the internal rules of the coordinating / associated beneficiary. *If there is no such rule, the subsistence costs must not exceed the scales approved annually by the Commission (see Chapter 11).*
- **Important: Subscription fees for conferences or events should be declared under "Other direct costs".**

g. Form F5 – Equipment costs

- **Supplier/ procedure:** Specify the legal name of the supplier (if already known). Specify the procedure followed or planned for selecting the supplier, e.g. 'public tender', 'direct treaty', 'framework agreement', etc. Sub-contracts by a "public" beneficiary must be awarded in accordance with the applicable rules on public tendering and in conformity with Union Directives on public tendering procedures.
- The "private" coordinating/ associated beneficiary shall invite competitive tenders from potential sub-contractors and award the contract to the bid offering best value for money; in doing so they shall observe the principles of transparency and equal treatment of potential sub-contractors and shall take care to avoid any conflicts of interest.
- **Description:** Give a clear description of each item, e.g. 'computer', 'database software', etc.
- **Purchase Costs:** Indicate the full cost of the equipment. Do not apply any depreciation.
- **Depreciation rate:** The coordinating/ associated beneficiary shall apply its internal accounting standards to calculate the rate of depreciation applicable for each item. To do this they shall take into account the date of purchase, the duration of the project and the rate of actual use for the purposes of the project. Only depreciation costs for equipment purchased during the lifespan of the project can be recorded in this category.

h. Form F6 – Sub-contracting / external assistance costs

You may use more than one line for the description of the sub-contract, if necessary. A clear description of the service should be given.

- **Provider / procedure:** Specify the legal name of the service provider (if already known). Specify the procedure followed or planned to sub-contract to the provider, e.g. 'public tender', 'direct treaty', 'framework agreement', etc. Sub-contracts by a "public" coordinating/ associated beneficiary must be awarded in accordance with the applicable rules on public tendering and in conformity with Union Directives on public tendering procedures.

The "private" coordinating/ associated beneficiary shall invite competitive tenders from potential sub-contractors and award the contract to the bid offering best value for money; in doing so they shall observe the principles of transparency and equal treatment of potential sub-contractors and shall take care to avoid any conflicts of interest.
- **Description:** Give a clear description of the subject of the sub-contract/ service to be provided. For example: 'conducting of impact assessment', 'maintenance of ...', 'renting of ...', 'consultancy on ...', 'web page development', 'intra-muros assistance', 'organisation of dissemination event', etc.
- Costs related to the **purchase or leasing** (as opposed to renting) **of equipment**, supplied under sub-contracts are not to be charged to the budget heading for sub-contracting/ external assistance. These costs should be declared separately under the budget heading for equipment.
- **Important: Coordinating and associated beneficiaries cannot sub-contract to one another or internally (e.g. between departments or subsidiaries).**

- If according to Article 31.1 of the Common Provisions Costs an **independent financial audit** is required, the coordinating beneficiary should incorporate an appropriate cost under sub-contracting. The audit obligation does not apply to public bodies and International organisations. The purpose of the audit report is to certify that the submitted accounts are sincere, reliable and substantiated by adequate supporting documents. The auditor shall also certify that all costs incurred comply with the provisions set in the Grant Agreement.

For more information on the rules applicable to sub-contracts, please refer Article 8 of the Common Provisions.

i. Form F7 – Other direct costs

- **Supplier / procedure:** as above, if applicable
- **Description:** Give a clear description of the other costs, e.g. type of consumables, financial costs such as a bank guarantee (if required by the Commission), inscription fees etc.
- It should be noted that communication costs (e.g. telephone, mailing), costs related to buildings (e.g. rent, heating, electricity) and general administrative expenses (e.g. office equipment, stationery) should be charged to the overheads category, unless it can be proven that the cost item is directly and exclusively linked to the project. If applicable, please specify the type of unit used (e.g. pages, etc).
- **Bank guarantee:** A guarantee by a bank or financial institution equal to the amount of the advance payment (pre-financing), and covering the duration of the project plus six months, is obligatory only when the total pre-financing represents over 80% of the total amount of the Union contribution and exceeds EUR 60 000. This obligation does not apply to public sector bodies and International organisations. This guarantee may be replaced by a joint and several guarantee by a third party or by a joint guarantee of the beneficiary and its project associated beneficiaries. The guarantee shall be denominated in Euro.

j. Form F8 – 'In kind' contributions (1) /costs not included in the budget (2)

(1) refers to voluntary work or other services or assets that will be available for the project free of charge and may be accounted as a “virtual” cost for information purpose only, e.g. working time free of charge, free use of premises, accommodation, meals etc.

(2) refers to actions that are necessary for implementation but are either not eligible or the applicant does not wish to include them in the budget. None of these amounts is used to determine the EC contribution. Nevertheless, they are important in order to assess the real total cost of the project.

k. Form F9 – Determination of financial capacity

- ***Simplified balance sheet and profit and loss account***

Form F9 has to be completed **by private applicants only**. Applicants considered as public entities or international organisations (see chapter 8.4) do not have to complete this form. Private applicants must indicate if they are a profit or a non profit making company/ organisation.

Within form F9, financial data based on the company's/organisation's balance sheet and profit and loss account are collected in a standardised form. Please find below a correspondence table explaining the grouping of different accounts

compared to the Fourth Directive on accounting harmonisation. You should complete this form carefully. Given its complexity, the form should be completed by a professional accountant or an auditor. The data reported will be used to evaluate the financial viability of the company/organisation. Thus, it is very important that the data reported are accurate. The Commission may wish to cross-check the data with those reported in the official certified accounts (to be submitted as obligatory documents by private applicants). For this purpose, the Commission reserves the right to ask for further documentation during the evaluation process.

The amounts have to be entered in euros. For financial statements established in other currencies, please refer to the EC InforEuro exchange rates (according to the closing date of the statement) available on: <http://ec.europa.eu/budget/inforeuro/index.cfm?Language=en>

• **Abbreviations $t-1$ and t_0**

The abbreviation t_0 represents the last certified historical balance sheet and profit and loss account; $t-1$ is the balance sheet prior to the last certified one. Consequently, the *closing date t_0* is the closing date of the last certified historical balance sheet; the *closing date $t-1$* is the closing date of the balance sheet prior to the last one. *Duration t_0* is the number of months covered by the last historical balance sheet. *Duration $t-1$* is the number of months covered by the penultimate certified historical balance sheet.

BALANCE SHEET	CORRESPONDENCE 4 th ACCOUNTING DIRECTIVE	
ASSETS	ASSETS / 4th ACCOUNTING DIRECTIVE (Article 9)	
1. Subscribed capital unpaid	A. Subscribed capital unpaid	A. Subscribed capital unpaid (including unpaid capital)
2. Fixed assets	C. Fixed Assets	
2.1. Intangible fixed assets	B. Formation expenses as defined by national law C. I. Intangible fixed assets	B. Formation expenses as defined by national law C.I.1. Cost of research and development C.I.2. Concessions, patents, licences, trade marks and similar rights and assets, if they were: (a) acquired for valuable consideration and need not be shown under C (I) (3); or (b) created by the undertaking itself C.I.3. Goodwill, to the extent that it was acquired for valuable consideration C.I.4. Payments on account
2.2. Tangible fixed assets	C.II. Tangible fixed assets	C.II.1. Land and buildings C.II.2. Plant and machinery C.II.3. Other fixtures and fittings, tools and equipment C.II.4. Payment on account and tangible assets in course of construction
2.3. Financial assets	C.III. Financial assets	C.III.1. Shares in affiliated undertakings C.III.2. Loans to affiliated undertakings C.III.3. Participating interests C.III.4. Loans to undertakings with which the company is linked by virtue of participating interest C.III.5. Investments held as fixed assets C.III. 6. Other loans C.III.7. Own shares (with an indication of their nominal value or, in the absence of a nominal value, their accounting par value)
3. Current assets	D. Currents assets	
3.1. Stocks	D.I. Stocks	D.I.1. Raw materials and consumables

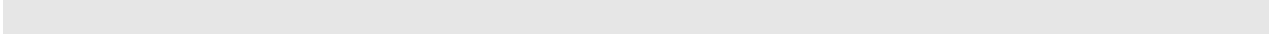
		D.I.2. Work in progress D.I.3. Finished products and goods for resale D.I.4 Payment on account
3.2.1. Debtors due after one Year	D.II. Debtors, due and payable after more than one year	D.II.1. Trade debtors D.II.2. Amounts owed by affiliated undertakings D.II.3. Amounts owed by undertakings with which the company is linked by virtue of participating interest D.II.4. Others debtors D.II.6. Prepayments and accrued income
3.2.2. Debtors due within one year	D.II. Debtors due and payable within a year	D.II.1. Trade debtors D.II.2. Amounts owed by affiliated undertakings D.II.3. Amounts owed by undertakings with which the company is linked by virtue of participating interest D.II.4. Others debtors D.II.6. Prepayments and accrued income
3.3. Cash at bank and in hand	D.IV. Cash at bank and in hand	D.IV. Cash at bank and in hand
3.4. Other current assets	D.III Investments	D.III.1. Shares in affiliated undertakings D.III.2. Own shares (with an indication of their nominal value or, in the absence of a nominal value, their accounting par value) D.III.3. Other investments
Total assets	Total assets	

LIABILITIES	LIABILITIES / 4th ACCOUNTING DIRECTIVE (Article 9)	
4. Capital and reserves	A. Capital and reserves	
4.1. Subscribed capital	A.I. Subscribed capital A.II. Share premium account	A.I. Subscribed capital A.II. Share premium account
4.2. Reserves	A.III. Revaluation reserve A.IV. Reserves	A.III. Revaluation reserve A.IV.1. Legal reserve, in so far as national law requires such a reserve A.IV.2. Reserve for own shares A.IV.3. Reserves provided for by the articles of association A.IV.4. Other reserves
4.3. Profit and loss brought forward from the previous years	A.V Profit and loss brought forward from the previous years	A.V Profit and loss brought forward from the previous years
4.4. Profit and loss for the financial year	A.VI. Profit or loss for the financial year	A.VI. Profit or loss for the financial year
5. Creditors	C. Creditors	
5.1.1 Long term non-bank debt	B. Provisions for liabilities and charges (> one year) C. Creditors (> one year)	B.1. Provisions for pensions and similar obligations B.2. Provisions for taxation B.3. Other provisions C.1. Debenture loans, showing convertible loans separately C.3. Payments received on account of orders in so far as they are not shown separately as deductions from stocks C.4. Trade creditors C.6. Amounts owed to affiliated undertakings C.7. Amounts owed to undertakings with which the company is linked by virtue of participating interests C.8. Other creditors including tax and social security C.9. Accruals and deferred income
5.2.1. Long term bank debt	C. Creditors "credit institutions" (> one year)	C.2. Amounts owed to credit institutions C.5. Bills of exchange payable

5.1.2. Short term non-bank Debt	B. Provisions for liabilities and charges (= one year) C. Creditors (= one year)	B.1. Provisions for pensions and similar obligations B.2. Provisions for taxation B.3. Other provisions C.1. Debenture loans, showing convertible loans separately C.3. Payments received on account of orders in so far as they are not shown separately as deductions from stocks C.4. Trade creditors C.6. Amounts owed to affiliated undertakings C.7. Amounts owed to undertakings with which the company is linked by virtue of participating interests C.8. Other creditors including tax and social security C.9. Accruals and deferred income
5.2.2. Short term bank debt	C. Creditors "credit institutions" (= one year)	C.2. Amounts owed to credit institutions C.5. Bills of exchange payable
Total liabilities	Total liabilities	

PROFIT AND LOSS ACCOUNT	PROFIT AND LOSS ACCOUNT / 4TH ACCOUNTING DIRECTIVE (Article 23)	
6. Turnover	1. Net turnover	1. Net turnover
7. Variation in stocks	2. Variation in stock of finished goods and in work in progress	2. Variation in stocks of finished goods and in work in progress
8. Other operating income	3. Work performed by the undertaking for its own purposes and capitalised. 4. Other operating income	3. Work performed by the undertaking for its own purposes and capitalised 4. Other operating income
9. Costs of material and consumables	5. (a) Raw materials and consumables 5. (b) Other external charges	5. (a) Raw materials and consumables 5. (b) Other external charges
10. Other operating charges	8. Other operating charges	8. Other operating charges
11. Staff costs	6. Staff costs	6. (a) Wages and salaries 6. (b) social security costs, with a separate indication of those relating to pensions
12. Gross operating profit	Gross operating profit .	
13. Depreciation and value adjustments on non financial assets	7. Depreciation and value adjustments on non financial assets	7. (a) Value adjustments in respect of formation expenses and of tangible and intangible fixed assets 7. (b) Value adjustments in respect of current assets, to the extent that they exceed the amount of value adjustments which are normal in the undertaking concerned
14. Net operating profit	Gross operating profit - Depreciation and value adjustments on non-financial assets	
15. Financial income and value adjustments on financial assets	Financial income and value adjustments on financial assets	9. Income from participating interests 10. Income from other investments and loans forming part of the fixed assets 11. Other interest receivable and similar income 12. Value adjustments in respect of financial assets and of investments held as current assets

16. Interest paid	Interest paid	13. Interest payable and similar charges
17. Similar charges	Similar Charges	
18. Profit or loss on ordinary activities	Profit or loss on ordinary activities	15. Profit or loss on ordinary activities after taxation
19. Extraordinary income and charges	Extraordinary income and charges	16. Extraordinary income 17. Extraordinary charges
20. Taxes on profits	Taxes	14. Tax on profit or loss on ordinary activities 19. Tax on extraordinary profit or loss 20. Other taxes not shown under the above items
21. Profit or loss for the financial year	Profit or loss for the financial year	21. Profit or loss for the financial year



9. KEY REFERENCES AND WHERE TO FIND THEM

- IF YOU WANT TO CHECK THE RELEVANT LEGAL FRAMEWORK FOR THIS CALL FOR PROPOSAL AND HAVE MORE INFORMATION ABOUT EUROPEAN CIVIL PROTECTION CHECK THE FOLLOWING WEBSITE:

http://ec.europa.eu/echo/civil_protection/civil/index.htm

- IF YOU NEED TO FIND THE MONTHLY EXCHANGE RATES APPLIED BY THE COMMISSION FOR THE EURO, PLEASE VISIT THE FOLLOWING WEBSITE:

<http://ec.europa.eu/budget/inforeuro/index.cfm?Language=en>

- IF YOU ARE UNABLE TO ACCESS THESE DOCUMENTS VIA THE WEB, PLEASE CONTACT THE COMMISSION AT THE FOLLOWING E-MAIL ADDRESS:

ENV-CIVIL-PROTECTION-CALLS@ec.europa.eu.

AS SOON AS THE CALL FOR PROPOSALS IS PUBLISHED, YOU WILL FIND LINKS TO THE FOLLOWING DOCUMENTS ON THE CIVIL PROTECTION WEBSITE:

- *Grant Agreement Special Conditions*
- *Grant Agreement Common Provisions*
- *Guidelines on Partnership Agreements*

10. CHECK LIST BEFORE SUBMITTING A GRANT APPLICATION

GENERAL

- The two (2) parts of the Application forms (Administrative, technical and financial) fully completed** with all the information requested. Please note that part 1 (administrative and technical) has two sections. Do not forget that the budget indicated in the financial part must be balanced between costs and revenues.
- One (1) original** (clearly identified) plus the required **two (2) identical copies**, and an electronic version.
- The Standard forms** have been used
- Forms are not be handwritten**

REMINDER OF SIGNATURES AND OFFICIAL STAMPS

- Form A2 duly signed, dated, and stamped** by the applicant (coordinating beneficiary).
- As regards further participants, a separate **form A3 duly signed, dated, and stamped** by **each** associated beneficiary.
- In case of other co-financers apart from the applicant, the associated beneficiary(ies) and the Commission, **form A6 duly signed, dated, and stamped** by the co-financer (one form per co-financer).
- Form A8 duly signed, dated, and stamped** by the competent national civil protection authorities of all players.
- Form A9 duly signed, dated, and stamped** by the legal representative of the applicant.
- Form A10 duly signed, dated, and stamped** by the account holder, and the bank representative (unless a recent copy of a bank statement is attached).
- Early commitment** from more than one Member State to participate.

REMINDER OF OBLIGATORY ANNEXES

- Do not forget to attach the applicable obligatory annexes as described in chapter 8.

11. DAILY ALLOWANCE AND MAXIMUM HOTEL COSTS IN ELIGIBLE COUNTRIES

Destination	Daily allowance	Hotel rates
Austria	95	130
Belgium	92	140
Bulgaria	58	169
Cyprus	93	145
Czech Republic	75	155
Denmark	120	150
Estonia	71	110
Finland	104	140
France	95	150
Germany	93	115
Greece	82	140
Hungary	72	150
Ireland	104	150
Italy	95	135
Latvia	66	145
Lithuania	68	115
Luxembourg	92	145
Malta	90	115
Netherlands	93	170
Poland	72	145
Portugal	84	120
Romania	52	170
Slovakia	80	125
Slovenia	70	110
Spain	87	125
Sweden	97	160
UK	101	175
EEA countries		
Iceland	85	160
Lichtenstein	80	95
Norway	80	140

A. DEFINITIONS IN LEGAL BASIS

Major emergency: means any situation which has or may have an adverse impact on people, the environment or property and which may result in a call for assistance under the Mechanism.

Response: means any action taken under the Mechanism during or after a major emergency to address its immediate consequences.

Preparedness: means a state of readiness and capability of human and material means enabling them to ensure an effective rapid response to an emergency, obtained as a result of action taken in advance.

Early warning: means the timely and effective provision of information that allows action to be taken to avoid or reduce risks and ensure preparedness for an effective response.

Module: means a self-sufficient and autonomous predefined task- and needs-driven arrangement of Member States' capabilities or a mobile operational team of the Member States representing a combination of human and material means, that can be described in terms of its capacity for intervention or by the task(s) it is able to undertake.

[All from Article 3 of Council Decision 2007/779/EC, Euratom]

Intervention teams: means the human and material resources including civil protection modules set-up by the member states for civil protection interventions.

[Article 1 of Commission Decision 2008/73/EC, Euratom]

Participating States: means the Member States, the candidate countries having signed a memorandum of understanding with the Commission and Norway, Iceland and Lichtenstein.

Third countries: means countries not participating in the Mechanism.

[both from Article 2 of Commission Decision 2004/277/EC, Euratom]

B. OTHER TERMINOLOGY FROM THE TECHNICAL LITERATURE ON CIVIL PROTECTION EXERCISES

Actors: personnel responsible for simulating a specific role in an exercise. Actors are vital to creating a realistic scenario and can play a variety of roles. Actors can simulate victims of a disaster, be civilians receiving prophylaxis, or friends and family of victims.

Administrative and Support Personnel: includes individuals who are assigned administrative and logistical support tasks during the exercise (e.g., registration, catering).

Controller: *controllers* plan and manage exercise play, set up and operate the exercise incident site, and possibly take the roles of individuals and agencies not actually participating in the exercise (role-playing). Controllers direct the pace of exercise play and routinely include members from the *exercise planning team*, provide key data to players, and may prompt or initiate certain player actions and injects to the players as described in the DSEC to ensure exercise continuity. The individual *controllers* issue exercise materials to *players* as required, monitor the exercise timeline, and monitor the safety of all exercise *participants*. **Controllers are the only participants who should provide information or direction to players.** All controllers should be accountable to one senior controller.

Detailed Scenario Episodes Catalogue (DSEC): a chronological timeline of scripted episodes and expected actions that *controllers* inject into exercise play to generate or prompt *player* activity. It ensures necessary episodes happen so that all the *exercise objectives* are met. The DSEC links simulation to action, enhances exercise experience for players, and reflects an incident or activity meant to prompt *players* to action. Each DSEC record contains a designated *scenario* time; an *episode* synopsis; the name of the *controller* responsible for delivering the inject; and, if applicable, special delivery instructions, the *task* and *objective* to be demonstrated, the expected action, the intended player, and a note-taking section.

Evaluators: are typically selected from participating agencies, and are chosen based on their expertise in the functional areas they will observe. Evaluators use certain standards to measure and assess performance, capture unresolved issues, and *analyze* exercise results. Evaluators passively assess and document players' performance against established emergency plans and exercise evaluation criteria. **Evaluators have a passive role in the exercise and only note the actions/decisions of players without interfering with exercise flow.**

Exercise: an instrument to train for, assess, practice, and improve performance in *response capabilities* in a risk-free environment. Exercises can be used for: testing and validating policies, plans, procedures, training, equipment, and inter-agency agreements; clarifying and training personnel in roles and responsibilities; improving interagency coordination and communications; identifying gaps in resources; improving individual performance; and identifying opportunities for improvement.

Exercise Director: oversees all exercise functions during exercise conduct; oversees and remains in contact with *controllers* and *evaluators*; *debriefs* controllers and evaluators following the exercise; and oversees setup and cleanup of the exercise as well as positioning of controllers and evaluators.

Exercise Objectives: must be established for every exercise. Well-defined objectives provide a framework for *scenario* development, guide individual organizations' objective development, and inform exercise *evaluation* criteria. Objectives should reflect specific capabilities that the exercising entity establishes as priorities, and the *tasks* associated with those capabilities. Objectives should be *simple, measurable, achievable, realistic, and task-oriented* (SMART). Planners should limit the number of exercise objectives to enable timely execution and to facilitate design of a realistic scenario.

Exercise Participants: the overarching group that includes all *players*, *controllers*, *evaluators*, and staff involved in conducting an exercise.

Lessons Learned: are knowledge and experience (both positive and negative) derived from observations and historical study of actual operations, training, and exercises.

Observers: do not directly participate in the exercise; rather, they observe selected segments of the exercise as it unfolds, while remaining separated from player activities. Observers view the exercise from a designated observation area and are asked to remain within the observation area during the exercise. A dedicated group of exercise controllers should be assigned to manage these groups.

Players: have an active role in *responding* to the risks and hazards presented in the exercise *scenario*, by performing their regular roles and responsibilities. *Players* initiate actions that will respond to and/or mitigate the simulated emergency.

Props: are non-functional replications of objects. The presence or discovery of props requires certain actions by exercise *players*. Examples of props include simulated bombs, bomb blast debris (i.e., shrapnel), mannequins or body parts, and foam bricks and beams. Simulants that mimic the effects of chemical or radiological hazards or that cause a positive reading of an actual detection device are also considered props.

Purpose: a broad statement of the reason the exercise is being conducted. The purpose should explain what elements are to be assessed, evaluated, or measured.

Scenario: the story describing the emergency event/situation at different stages. It is a hypothesised chain of events, which usually consists of an initial set of conditions and a time line of significant events that are presented to exercise players to achieve the exercise objectives.

Senior Controller: is responsible for the overall organization of the exercise. The senior controller monitors exercise progress and coordinates decisions regarding deviations or significant changes to the *scenario* caused by unexpected developments during play. The senior controller monitors actions by individual *controllers* and ensures they implement all designated and modified actions at the appropriate time. The senior controller *debriefs controllers* and *evaluators* after the exercise and oversees the setup and takedown of the exercise.

Simulation: of non-participating personnel and agencies is a technique for increasing realism in exercises.

Simulators: are control staff personnel who role-play as non-participating organizations or individuals. They most often operate out of the Exercise Control area, but may occasionally have face-to-face contact with players. Simulators enact their roles (e.g., representatives of non-participating organizations, agencies, and individuals who would likely participate during an actual incident, as media reporters or next-of-kin) in accordance with instructions provided in the DSEC. All simulators are ultimately accountable to the *exercise director* and *senior controller*.