



EUROPEAN COMMISSION

DIRECTORATE-GENERAL HUMANITARIAN AID AND CIVIL PROTECTION - ECHO

A.5 Civil Protection Policy, Prevention, Preparedness and Disaster Risk Reduction Unit

**Call for proposals 2013 for projects  
on prevention and preparedness in civil protection and  
marine pollution  
Grant Application Guide**

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## 1. INTRODUCTION – BACKGROUND

EU Member States are facing a wide range of disasters every year, including floods, forest fires, earthquakes and various technological, radiological and environmental accidents.

One way to protect the EU from the effects of disasters is to enhance prevention and preparedness in European civil protection. This call for proposals will help to fund activities aimed at prevention, awareness-raising and closer cooperation in civil protection and marine pollution<sup>1</sup>. The legal framework for this call is the Council Decision 2007/162/EC of 10.03.2007<sup>2</sup>, establishing a Civil Protection Financial Instrument.

The purpose of the Civil Protection Financial Instrument is to support the efforts of Member States 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. It also aims to encourage more cooperation between the Member States on civil protection and marine pollution.

The 2013 call for project proposals has TWO separate sections, each with specific objectives and budget:

### (A) Prevention Projects

Prevention is of the utmost importance to avoid disasters from happening and/or to mitigate the impacts of natural and man-made hazards. Therefore, prevention is defined as a specific aim in Council Decision 2007/162. Moreover, in February 2009 the Commission adopted a Communication outlining an EU approach on the prevention of natural and man-made disasters<sup>2</sup>. The Communication, enhanced by the Council<sup>3</sup>, focused on three key elements: how to encourage knowledge-based disaster prevention policies at all levels of government, how to link the actors and policies throughout the disaster management cycle, and how to make existing instruments perform better for disaster prevention. Prevention in the communication was understood as where possible preventing disasters from happening, and where they are unavoidable taking steps to minimise their impacts.

Based on the 2009 Communication and subsequent Council conclusions (2009 (prevention overall), 2010 (forest fires and innovative financing), 2011 (risk assessment)) a cross sectoral Disaster Risk Management framework is being implemented which promotes a holistic approach for all natural and man-made risks throughout all sectors. This work is based on cooperation with Member States on risk assessments, improving data and the knowledge base, sharing of good practices including through peer reviews, development of guidance based on good practice and integrating disaster risk management into other EU policies such as climate adaptation, cohesion policy,

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<sup>1</sup> Actions falling under Regulation (EC) No 1406/2002 establishing a European Maritime Safety Agency, are not covered by this call

<sup>2</sup> OJ L71, 10.03.2007, p.9.

<sup>3</sup> COM(2009) 82 final of 23.02.2009.

<sup>4</sup> COM (2009)15394 of 30 .11.2009.

development, environmental impact assessment, the internal security strategy as well as research, health, nuclear safety and insurance initiatives to build resilience to disasters.

### **(B) Preparedness Projects**

Preparedness is essential in civil protection and marine pollution — being well prepared can save lives and reduce the impact of disasters. In order to enhance European civil protection preparedness, this call will fund primarily preparedness projects which build on the Council Decision of 8 November 2007 (2007/779/EC, Euratom)<sup>4</sup>, which establishes the Community Mechanism for Civil Protection (recast) and its implementing rules which are laid down in the Commission Decision of 29 December 2003 (general), Commission Decision of 14 September 2007 (transport) and Commission Decision of 20 December 2007 (modules)<sup>5</sup>.

The Community Mechanism for Civil Protection is intended to facilitate reinforced cooperation in civil protection assistance. When natural or man-made disasters strike a country, within the European Union or outside, the Mechanism allows the necessary operational resources to be mobilised to assist and provide a prompt response.

Preparedness is 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.

Preparedness projects should be aimed at reinforcing cooperation in the framework of the EU Mechanism for Civil Protection (recast).

## **OBJECTIVE – RESULTS**

### **(A) Prevention Projects**

Objective is to select prevention projects which support and complement the efforts of Participating States on prevention, focusing on areas where a common European approach is more appropriate.

#### **2.1 PREVENTION PRIORITIES**

##### **1. Improvement of the knowledge base and data on disasters and their impact, including actions assessing the costs and benefits of risk prevention measures.**

- Actions identifying gaps, issues of comparability and possible links among disaster data collection systems (including the human, social, economic and environmental impacts of disasters): validation, sharing of data and provision of policy relevant information.
- Actions examining cost-benefit of risk prevention measures in relation to the costs of relief and rehabilitation (case study, methodology, modelling to define whether and when an investment is justified).

##### **2. Hazard identification and risk modelling, taking into account climate change adaptation;**

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<sup>4</sup> OJ L 314, 1.12.2007, p. 9–19

<sup>5</sup> OJL87,25.3.2004, p.20–30, relevant texts can be found on the website: [http://ec.europa.eu/echo/about/legislation\\_en.htm](http://ec.europa.eu/echo/about/legislation_en.htm)

- Actions supporting the development and implementation within Member States of risks assessment and risk mapping methodologies;
  - Actions aiming at integrating the outcomes of risk assessment and capability based planning into the planning process (e.g. risk management, infrastructure, Cohesion funding);
  - Developing tools or guidelines for assessing vulnerability.
  - Actions promoting sharing of experience by promoting a common understanding of risk assessment and risk management<sup>6</sup> plans practices and processes, including cross sectoral and/or cross border risk management plans
  - **3. Actions developing innovative solutions (including insurance) for financing disaster prevention**
  - Actions evaluating the potential for the EU to facilitate and support increased coverage of disaster risk insurance (including regional insurance pooling), risk transfer, and capital market solutions.<sup>7</sup>
- 4. Actions aiming at enhancing the links between prevention and sustainable development (ecosystem based approach, forest and water management)**
- Actions that use forests, wetlands, coastal marine systems and dry lands to help mitigate or prevent hazards and actions capitalising on ecosystems: forests preventing landslides, rock falls; ecosystems that act as natural infrastructure to reduce exposure to the impact of hazards –natural barriers to storm surges, wetlands preventing floods

### **Expected outcomes and results**

Expected results are fostering of best practices, training, and awareness-raising in disaster prevention and contribution to:

- the development of knowledge based disaster prevention policies, including adaptation to climate change,
- strengthening of national capacities
- the improvement of the linking of the relevant actors and policies throughout the disaster management cycle, including early warning (prevention-preparedness-response-recovery),
- the improvement of the effectiveness of existing policy and financial instruments with regard to disaster prevention,
- the implementation of the UN Hyogo Framework for Action,
- the implementation of the EU Regional strategies and their action plans.

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<sup>6</sup> See ISO 31000 on risk management

<sup>7</sup> COM (2009) 82 of 23.2.2009

## **(B) Preparedness Projects**

### **OBJECTIVES**

Objective of this call for preparedness section is to create better prerequisites for and improve preparedness, as well as enhance awareness of civil protection and/or marine pollution professionals and volunteers.

Support and complement the efforts of the Participating States for the protection of citizens, environment and property in the event of natural and man-made disasters, technical, radiological or environmental incidents and dealing with the consequences of acts of terrorism and facilitate reinforced cooperation between the Participating States in the field of preparedness in civil protection and/or marine pollution.

Exchange of information, experience, good practice and knowledge aiming at improving the performance of parties involved in civil protection (both private and public professionals and volunteers.)

### **2.2 PREPAREDNESS PRIORITIES**

**1. Actions aimed at improving cross border civil protection and marine pollution cooperation, including regional cooperation, regarding preparedness for, direct response to and reducing consequences of natural and man-made disasters, including the consequences of CBRN events.**

**2. Actions aimed at enhancing operational cooperation in the framework of the Mechanism, enabling Participating States to develop, exercise and register multinational modules. (The objective is to develop multinational civil protection modules which could be deployed in emergencies therefore the relevant national central civil protection authorities will have to agree to the development and later registration of the modules in CECIS, form A8).**

**3. Actions aimed at increasing the Participating States' preparedness for receiving assistance.**

▪ Actions proposed should be in line with the council conclusion on Host Nation Support (HNS) adopted on 2 December 2010 (15874/10) and EU HNS Guidelines SWD(2012) 169 final

**4. Actions aimed at developing and implementing an improved approach to data and information collection and compilation from civil protection interventions and exercises at national level, covering the entire disaster management cycle.**

Proposals should not only demonstrate technical/operational capacities in civil protection and marine pollution; their objectives and expected results should also be particularly relevant to the field as described in the Council Decision 2007/162/EC establishing the Civil Protection Financial Instrument.

Expected results are:

- Increased awareness and skills of civil protection professionals and/or marine pollution and volunteers;
- Solutions to specific civil protection and marine pollution needs and/or challenges at regional and cross border level are assessed and implemented;

- Contribution to the EU Regional strategies and their action plans.

### 3. Timetable

	Stages	Date and time or indicative period
a)	Publication of the call	<b>12/02/2013</b>
b)	Deadline for submitting applications	<b>12/04/2013, 23.59 (16.00 CET in case of hand delivery)</b>
c)	Evaluation period	April-July 2013
d)	Information to applicants	End of July 2013
e)	Signature of grant agreement	September/October 2013
f)	Starting date of the project	December 2013

### 4. BUDGET AVAILABLE

The total budget earmarked for the co-financing:

- Prevention projects **€2,100,000**
- Preparedness projects **€2,100,000.**

The maximum EU funding rate (percentage of the eligible costs according to the project budget) is up to **75 %** of total eligible costs per proposal with a maximum of **€500,000** EU contribution for each proposal financed.

The Commission reserves the right not to distribute all the funds available.

### 5. ADMISSIBILITY REQUIREMENTS

- Applications must be sent no later than the deadline for submitting applications referred to in section 3.
- Applications must be submitted in writing<sup>8</sup>. (see section 14), using the application form available at:  
[http://ec.europa.eu/echo/funding/opportunities/proposals\\_en.htm](http://ec.europa.eu/echo/funding/opportunities/proposals_en.htm) (Forms must not be hand-written. Except for dates and signatures, the information on the application forms may not be hand-written. Concerning Forms A9 (Legal Entities Form) and A10 (Financial Identification Form), the links on Forms A9 and A10 lead to web applications that can be typed and printed.)
- Applications must be submitted in an official language of the European Union.

However, in order to facilitate assessment by evaluators, an English translation should preferably accompany any proposal written in another language. In such cases, applicants should submit their applications both in hard copy (i.e. paper) and in electronic format in their own language and in English. Applicants may request a different language version of any document published for this call necessary for responding to the call. Applicants must be aware that if such a request is made the

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<sup>8</sup> Art. 131 FR.



deadline for submission of proposals may have to be postponed until the translation of the requested document has been completed. This might considerably delay the whole process of submission and evaluation of proposals. It is important that the Commission will be able to complete the evaluation and selection process under this call in due time, as otherwise the available budget may be lost (at least partly) as, according to the EU Financial Regulation, budgetary appropriations available for this call must be committed in 2013.

**Failure to comply with a) to c) criteria will lead to the rejection of the application.**

- d) Number of copies of the proposal (see section 14).
- e) All forms must be returned (All forms should be provided. If a specific form is not applicable in view of the project type/ content, please mark 'not applicable' or 'N/A' on the form.)
- f) Forms must be signed (Where required, the application forms should be completed with date and signature in such a way that the status and full name of the signatory are clearly identifiable)
- g) Mandatory annexes must be complete (see Annex B2)

**Applications for which the documents/forms submitted are not in full compliance with criteria d) to g) are technically inadmissible and thus can lead to rejection of the application. However, depending on the level of completeness/correctness of the application, the Commission may decide to review the question of admissibility after taking appropriate action.**

## **6. ELIGIBILITY CRITERIA<sup>9</sup>**

### **6.1 Eligible applicants**

In order to be eligible for a grant, applicants must:

- (1) be legal persons,
- (2) belong to one of the following categories: private/ public entities, international organisations as defined by Article 43 of the rules of application to the EU Financial Regulation;
- (3) Legal entities having a legal or capital link with applicants, which is neither limited to the action nor established for the sole purpose of its implementation, may take part in the action as affiliated entities, and may declare eligible costs as specified in section 11.2.  
For that purpose, applicants shall identify such affiliated entities in the application form.
- (4) be established in one of the 27 EU Member States, the three EFTA/EEA countries (Iceland, Liechtenstein and Norway) Croatia and the former Yugoslav Republic of Macedonia.

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<sup>9</sup> Art. 131 FR, 201 RAP

- (5) **be directly responsible for the preparation and management of the project with their partners, i.e. not acting as an intermediary;**
- (6) notify their national competent authority of their proposal in order to ensure consistency between activities financed at EU level and national civil protection and marine pollution policies. With their proposals, applicants **must enclose supporting documents (form A8) showing that they notified the national authority in writing before submitting the proposal to the Commission. This does not apply to international organisations!**

**National authorities just confirm that they were informed about the submission of a project to the call by ticking the proper box in the form A8. For objective 2 in preparedness section – developing and exercising multinational modules, all boxes in the form A8 should be ticked.**

For a list of the national central civil protection authorities recognised by the European Commission, see:

[http://ec.europa.eu/echo/civil\\_protection/civil/vademecum/menu/5.html#nataut](http://ec.europa.eu/echo/civil_protection/civil/vademecum/menu/5.html#nataut)

For a list of the National Maritime Authorities see Annex B1 to the Grant application guide.

In order to assess the applicants' eligibility, the following supporting documents are requested<sup>10</sup>

- private entity: extract from the official journal, copy of articles of association, extract of trade or association register, certificate of liability to VAT (if, as in certain countries, the trade register number and VAT number are identical, only one of these documents is required);
- public entity: copy of the resolution or decision establishing the public company, or other official document establishing the public-law entity;
- consortium: in addition to the supporting documents referring to their legal status, consortium members will submit letters confirming their participation to the project

#### **For private company**

- A copy of the VAT registration document if applicable and if the VAT number does not appear on the official document referred to below.
- A copy of some official document (Official Gazette, company register, etc.) showing the name of the legal entity, the address of the head of office and the registration number given to it by the national authorities.

#### **For public bodies:**

- A copy of the resolution, law decree or decision establishing the entity in question; or, failing that, any other official document attesting to the establishment of the entity by the national authorities.

An applicant shall not submit more than one application under this Call for Proposals.

An applicant may be at the same time partner in another application.

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

The coordinator 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 EU financial contribution from the Commission and ensures its distribution. The coordinator must 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 beneficiaries.

**For prevention projects applicants must act with at least two partner organisations from two different Member States. For preparedness projects applicants must act with at least one partner organisation from one different Member State.**

**Partner organisation (a beneficiary)** must contribute technically to the project and hence be responsible for the implementation of one or several project activities. It must contribute financially to the project, but must also receive part of the financial contribution from the Commission. It cannot act, in the context of the project, as a sub-contractor to the coordinator or to other beneficiaries. It must do everything in his power to help the coordinator fulfil its obligations under the grant agreement. In particular, it must provide the coordinator with all the necessary documents and information (technical or financial) required for the reporting to the Commission.

The beneficiary, through the mandate annexed to the grant agreement (form A12, completed and signed), grants power of attorney to the coordinator to act in its name and on its account in signing the grant agreement and any subsequent amendments with the Commission.

*The coordinator must conclude with each beneficiary an internal cooperation agreement describing their technical and financial participation in the project. Such agreement must be fully compatible with the grant agreement signed with the Commission, must include a specific reference to the General Conditions.*

*ATTENTION: An applicant/ partner organisation already registered as a Legal Entity on the **Commission** register does not need to submit the supporting documents mentioned above. This is typically the case when the applicant/ partner organisation has directly benefited from EU funding (as a beneficiary of grant agreements or decisions, or as a contractor for service/study or other market contracts) still on-going or with a final payment not before 2009. In this case, please provide clear grant agreement / contract reference(s) for the recent EU funding and the Commission service(s) responsible.*

Projects may have up to 2 other types of participants in their implementation and funding:

- co-financer(s) (other than the European Commission)
- sub-contractor(s)

A project **co-financer** only contributes to the project with financial resources, has no technical responsibilities and cannot receive part of the EU financial contribution. Furthermore it cannot act, in the context of the project, as a sub-contractor to any of the project beneficiaries.

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

## 6.2. Eligible activities

1. The project must not receive any financial support under other EU financial instruments
2. Proposals must fall within the scope of this call (see chapters 2.1 and 2.2)
3. The EU financing rate requested must be within the limits of the EU contribution (500.000€ per proposal).

### (A) Prevention

Projects must be designed and implemented by transnational partnerships involving **at least three mutually independent legal entities established in three Member States/other eligible countries** (one as the coordinator and two as beneficiaries). A branch office of an international organisation is considered as a single entity.

Type of activities which can be financed under this call:

- Projects aimed at studying, designing, developing, testing and implementing new prevention approaches and/or activities in the Member States or at evaluating and/or improving existing ones;
- Projects aimed at studying, designing, developing, testing and implementing innovative approaches, techniques and tools to consistently link prevention measures to preparedness and response needs;
- Projects aimed at developing general principles and guidelines relating to hazards with potentially serious impact on human, environmental and economic situations;
- Projects aimed at concrete improvements and innovation thanks to transnational cooperation in the area of prevention;
- Projects aiming at identifying best practices.

### (B) Preparedness

Projects must be designed and implemented by transnational partnerships involving **at least two mutually independent legal entities established in two Member States / other eligible countries** (one as a coordinator and one as beneficiary —for details see the roles of the different participants in a project). A branch office of an international organisation is considered as a single entity.

Type of activities which can be financed under this call:

Projects and small-scale exercises aimed at concrete complementary improvements and innovation. Due to the trans-boundary nature of such projects, small exercises shall involve regional legal entities of the participating countries concerned. Operating at a local (regional) level, the exercise scenarios shall not involve activating the mechanism, but shall focus on cross-border critical infrastructure (tunnels, bridges, pipelines, electrical transmission lines, etc.) or potential sources of hazards (dam, nuclear or chemical plants, offshore installations, etc.).

Concrete outputs may include, for example, the joint design, development and implementation of innovative civil protection and marine pollution activities, including procedures, techniques, tools, plans, etc. They may also include the transfer or the adaptation of existing features from other geographical or thematic contexts.

Activities already co-financed under the previous prevention and preparedness calls are on the website: [http://ec.europa.eu/echo/funding/financial\\_instrument\\_en.htm](http://ec.europa.eu/echo/funding/financial_instrument_en.htm).

Prevention and preparedness projects must clearly demonstrate that they are **complementary** to the efforts already made in the Member States within the specific scope of the project. Therefore, applicants are asked to describe these complementarities in the project proposal (T forms+A8 form).

Furthermore, applicants are invited to take into account the results of previous national and EU projects and activities. In particular, they should not duplicate the projects financed under the Council decision establishing a Civil Protection Financial Instrument.

Projects could be complementary to relevant activities undertaken at European level using EU funds for prevention activities (these include the European Agricultural Fund for Rural Development, the European Regional Development Fund, the Cohesion Fund, Life +, CIPS programme, the ICT Policy Support Programme and the Seventh Research Framework Programme-FP7). Research activities that can be supported by FP7 will not be eligible.

Applicants should also take into account the results of projects supported by other European programmes, as appropriate. For an overview of completed and on-going European projects and activities you can, for example, consult the following websites:

*Civil Protection:*

[http://ec.europa.eu/echo/funding/opportunities/proposals\\_en.htm](http://ec.europa.eu/echo/funding/opportunities/proposals_en.htm)

[http://ec.europa.eu/echo/funding/opportunities/tender\\_en.htm](http://ec.europa.eu/echo/funding/opportunities/tender_en.htm)

*Research:*

<http://cordis.europa.eu/ist>

*Regional Development:*

[http://ec.europa.eu/regional\\_policy/thefunds/access/index\\_en.cfm](http://ec.europa.eu/regional_policy/thefunds/access/index_en.cfm)

*Environment:*

<http://ec.europa.eu/environment/life/project/Projects/index.cfm>

*Home Affairs:*

[http://ec.europa.eu/justice\\_home/funding/isec/funding\\_isec\\_en.htm](http://ec.europa.eu/justice_home/funding/isec/funding_isec_en.htm)

### **Activities not covered by the present call**

The present call does not cover activities already covered by other specific calls for proposals or calls for tender, such as EU Mechanism training courses, simulation exercises and exchanges of experts or preparatory action. Therefore, activities whose sole purpose is (for example) the development of EU training courses or exercises simulating the activation of the Monitoring and Information Centre (MIC) of the EU Civil Protection Mechanism will not be eligible for financing under this call, but may apply under other specific calls, also published on the Civil Protection website of the European Commission:

[http://ec.europa.eu/echo/funding/opportunities/proposals\\_en.htm](http://ec.europa.eu/echo/funding/opportunities/proposals_en.htm)

[http://ec.europa.eu/echo/funding/opportunities/tender\\_en.htm](http://ec.europa.eu/echo/funding/opportunities/tender_en.htm)

[http://ec.europa.eu/echo/policies/prevention\\_preparedness/preparedness\\_en.htm](http://ec.europa.eu/echo/policies/prevention_preparedness/preparedness_en.htm)

### **6.3. Implementation period**

The maximum duration of projects selected under this call is 24 months.

## **7. EXCLUSION CRITERIA**

### **7.1 Exclusion from participation:**

Applicants/ Partner organisations will be excluded from participating in the call for proposals procedure if they are in any of the following situations:

- a) is bankrupt or being wound up, is having its affairs administered by the courts, has entered into an arrangement with creditors, has suspended business activities, is the subject of proceedings concerning those matters, or is in any analogous situation arising from a similar procedure provided for in national legislation or regulations;
- b) has been convicted of an offence concerning professional conduct by a judgment of a competent authority of a Member State which has the force of *res judicata*;
- c) has been guilty of grave professional misconduct proven by any means which the contracting authorities can justify including by decisions of the European Investment Bank and international organisations;
- d) is not in compliance with all its obligations relating to the payment of social security contributions and the payment of taxes in accordance with the legal provisions of the country in which it is established, with those of the country of the contracting authority and those of the country where the contract is to be performed;
- e) has been the subject of a judgement which has the force of *res judicata* for fraud, corruption, involvement in a criminal organisation, money laundering or any other illegal activity, where such activity is detrimental to the Union's financial interests;
- f) is a subject of an administrative penalty for being guilty of misrepresentation in supplying the information required by the contracting authority as a condition of participation in a procurement procedure or failing to supply this information, or having been declared to be in serious breach of its obligations under contracts covered by the Union's budget.

## 7.2 Exclusion from award:

Applicants will not be granted financial assistance if, in the course of the grant award procedure, they:

- (a) are subject to a conflict of interest;
- (b) are guilty of misrepresentation in supplying the information required by the Commission as a condition of participation in the grant award procedure or fail to supply this information;
- (c) find themselves in one of the situations of exclusion, referred to in section 7.1.

Administrative and financial penalties may be imposed on applicants where applicable, who are guilty of misrepresentation.

## 7.3 Supporting documents<sup>11</sup>

Applicants must sign a declaration on their honour certifying that they are not in one of the situations referred to in articles 106(1) and 107 to 109 of the Financial Regulation, filling in the relevant form attached to the application form accompanying the call for proposals and available at;

[http://ec.europa.eu/echo/funding/opportunities/proposals\\_en.htm](http://ec.europa.eu/echo/funding/opportunities/proposals_en.htm).

## 8. SELECTION CRITERIA<sup>12</sup>

### 8.1 Financial capacity<sup>13</sup>

Applicants must have stable and sufficient sources of funding to maintain their activity throughout the period during which the project is being carried out or the year for which the grant is awarded and to participate in its funding. The applicants' financial capacity will be assessed on the basis of the following supporting documents to be submitted with the application:

Low value grants ( $\leq$  EUR 60 000):

a declaration on their honour.

Grants  $\geq$  EUR 60 000:

- a declaration on their honour and,

EITHER

- the profit and loss account, the balance sheet for the last financial year for which the accounts were closed;
- for newly created entities, the business plan might replace the above documents.

OR

- the table provided for in the application form, filled in with the relevant statutory accounting figures, in order to calculate the ratios as detailed in the form.

On the basis of the documents submitted, if the Authorising Officer considers that financial capacity is not satisfactory, he may:

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<sup>11</sup> Art. 197 RAP

<sup>12</sup> Art. 132 FR, 202 RAP

<sup>13</sup> Art. 131, 132 FR, 202 RAP.

- request further information;
- propose a grant agreement without pre-financing;
- propose a grant agreement with a pre-financing paid in instalments;
- propose a grant agreement with a pre-financing covered by a bank guarantee (see section 11.4 below);
- where applicable, require the joint and several financial liability of all the co-beneficiaries;
- reject the application.

## 8.2 Operational capacity<sup>14</sup>

Applicants and partners must have the professional competencies as well as appropriate qualifications necessary to complete the proposed project. In this respect, applicants have to submit a declaration on their honour, and the following supporting documents:

- the organisations' activity reports of the last year preceding the project including detailed information allowing the Evaluation Committee to assess the operational capacity
- the **curriculum vitae of all relevant professional staff** of both the applicant and the partners involved in the project, preferably using the model given at:

<http://europass.cedefop.europa.eu/en/documents/curriculum-vitae/templates-instructions>

- an exhaustive lists of previous projects and activities performed and connected to the objectives and results of this call (Form A7)

## 9. AWARD CRITERIA<sup>15</sup>

The award criteria allow the quality of the applications submitted to be evaluated in relation to the set objectives and priorities, and grants to be awarded to projects which maximise the overall effectiveness of the Call for Proposals. They enable the selection of applications which the Contracting Authority can be confident will comply with its objectives and priorities. They cover such aspects as the relevance of the project, its consistency with the objectives of the Call for Proposals, quality, expected impact, sustainability and cost-effectiveness.

Eligible applications will be assessed on the basis of the following criteria (maximum awarded points per criterion):

### 1. Understanding (max 25 points)

This criterion serves to assess whether the applicant has fully understood the objectives of the call and the nature of the project as well as of the proposed end product.

"Understanding" refers to how well the proposed project addresses the aims and the expected results as stated in section 2.1 and 3.1 of the Grant Application Guide. The following sub-criteria will be applied:

#### 1.1) Purpose and objectives (max 8 points)

Is the pre-operational situation properly described? What is the problem/need the

<sup>14</sup> Art. 131 FR, 202 RAP.

<sup>15</sup> Art. 132 FR, 203 RAP



proposal is supposed to address? Why is it necessary to deal with this situation?
<p><i>1.2) Relevance (max 7 points)</i> Is the proposal linked with the objectives of the call? Is the proposal linked to the Community Mechanism for Civil Protection?</p>
<p><i>1.3) Clarity (max 5 points)</i> Are the activities properly described and the necessary resources identified?</p>
<p><i>1.4) Results (max 5 points)</i> Are the results clearly described? Do the activities attempt to deal with the whole problem or do they only address part of the issue?</p>
<p><b>2. Methodology and feasibility (max 25 points)</b> This criterion serves to assess whether the proposed methods are suitable for proper project implementation and for achieving the objectives and results. The following sub-criteria will be applied:</p>
<p><i>2.1) Organisational structure (max 6 points)</i> Are the proper bodies (management group and other structures) and procedures in place to secure monitoring, decision making, and control of the progress of the project?</p>
<p><i>2.2) Means for implementation (max 7 points)</i> Is it clearly stated how, when and by whom each activity will be undertaken? Are the necessary means (personnel, equipment, etc.) proposed for the proper implementation? Has it been secured that the necessary means will be available? Is there a clear, logical link between problems, objectives, activities and expected results?</p>
<p><i>2.3) Project time schedule/planning (max 6 points)</i> Is the time-frame realistic, given the resources available? Have the reporting obligations to the Commission been included? Are the aims pursued within the scope of the beneficiary and the associate beneficiaries? Are the lists of deliverables and milestones comprehensive and consistent with the expected results?</p>
<p><i>2.4) Constrains and quality control measures (max 6 points)</i> Are the potential difficulties (constraints) correctly assessed/identified and have sufficient preparations been made to pre-empt them (risk analysis)? Have the critical actions for the implementation of the project being identified? Has the interdependence of actions been identified?</p>
<p><b>3. Cost effectiveness (max 25 points)</b> This criterion serves to assess whether the proposed budget is suited for proper project implementation and for the expected results. The proposal will be evaluated towards the above criterion by assessing its compliance with the following sub-criteria:</p>
<p><i>3.1) Rationality (max 8 points)</i> Is the proposed budget well-structured and rational? Have all the costs for the project actions been clearly identified and quantified? Can such costs be concretely documented? Are costs and contributions clearly and correctly listed?</p>
<p><i>3.2) Justification &amp; Coherency (max 8 points)</i></p>

Is the budget justified? Are the costs adequate for the actions and means proposed and the expected results? Is there any cheaper option? Are there any useless expenses?

3.4) *Good value for money (max 9 points):*

Are the resources appropriate for the activities, means proposed and the expected results (i.e. is the project cost-efficient?)

#### **4. European added-value (European dimension) (max 25 points)**

This criterion serves to assess whether the proposed project has a proper European dimension, i.e. the expected result would ensure broad participation of Member States or Participating States and serve the interest of more countries participating in the Community Civil Protection Mechanism. The proper European dimension is not expressed merely by the number of Member States/Participating States participating in the project in general but also by the importance, applicability/transferability and the relevance of the results for the Member States/Participating States and the EU as a whole. Therefore, the proposals will be evaluated against the following sub-criteria:

4.1) *Participation (max 8 points):*

Is the required minimum number of entities/countries involved in the proposed project?  
What is the total number of countries involved?

For preparedness projects: 2 countries (C+B) = 6 points, 3 countries = 7 points, 4 countries or more = 8 points

For prevention projects:

3 countries (CoB+2AB) = 6 points, 4 countries = 7 points, 5 countries or more = 8 points

4.2) *Dissemination and transferability of results (max 9 points)*

Does the project address a topic which is a priority at EU level?

Could the results also apply to different contexts (geographical, sectoral ...)?

Would the expected results have relevance for more than one Member State?

4.3) *Sustainability of results(max 8 points)*

Are the results of a project sustainable and is a follow up foreseen?

#### **Point system**

A grading system with a maximum of hundred (100) points is used according to the following point system:

Max 5 points: Unsatisfactory = 1, poor = 2, average = 3, good = 4, excellent = 5

Max 6 points: Unsatisfactory = 1, poor = 2, average = 3-4, good = 5, excellent = 6

Max 7 points: Unsatisfactory = 1-2, poor = 3, average = 4-5, good = 6, excellent = 7

Max 8 points: Unsatisfactory = 1-2, poor = 3, average = 4-5, good = 6-7, excellent = 8

Max 9 points: Unsatisfactory = 1-2, poor = 3-4, average = 5-6, good = 7-8, excellent = 9

To qualify for selection, the proposals must obtain at least 70 points (70%), out of possible maximum of 100 points (100%), and (50%) of the points allotted for each criterion (for example: max points for European added value are 25, 50% of the points allotted for this criteria is 12,5).

A proposal should be clear, coherent, realistic and feasible in terms of activities, timetable, budget and value for money. It should show a clear link between the project objectives, the proposed activities and their expected results. All activities should be properly described and quantified. All costs and contributions should be clearly identified and described in the financial forms. Costs should be reasonable.

On the basis of the list of merit drawn up by the Evaluation Committee, the Authorising Officer adopts a final list for allocation of the grants. If the total requested amount of all the pre-selected technically sufficient projects exceeds the total indicative budget available, 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 according to the available budget.

## **9.2 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 within the limits of the overall budget available for this call for proposals. At this stage the Commission will commit the relevant funds and send a Grant Agreement to the successful applicant (the coordinator) to be signed and returned to the Commission. The Grant Agreement will come into force only once both parties have signed it.

## **10. LEGAL COMMITMENTS<sup>16</sup>**

In the event of a grant awarded by the Commission a grant agreement drawn up in euro and detailing the conditions and level of funding, will be sent to the beneficiary, as well as the procedure in view to formalise the obligations of the parties. The two copies of the original agreement must be signed first by the Commission. The beneficiary will sign it last and will return it to the Commission immediately.

Please note that the award of a grant does not establish an entitlement for subsequent years.

## **11. FINANCIAL PROVISIONS**

### **11.1 General Principles**

a) Non-cumulative award<sup>17</sup>

A project may only receive one grant from the EU budget.

In no circumstances shall the same costs be financed twice by the Union budget. To ensure this, applicants shall indicate the sources and amounts of Union funding received or applied for the same action or part of the action or for its functioning during the same financial year as well as any other funding received or applied for the same action.<sup>18</sup>

b) Non-retroactivity<sup>19</sup>

No grant may be awarded retrospectively for projects already completed.

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<sup>16</sup> Art. 121 FR, 174 RAP.

<sup>17</sup> Art. 129 FR

<sup>18</sup> Art. 196.4 RAP.

<sup>19</sup> Art. 130 FR

A grant may be awarded for a project which has already begun only where the applicant can demonstrate the need to start the project before the grant agreement is signed.

In such cases, costs eligible for financing may not have been incurred prior to the date of submission of the grant application

c) Co-financing<sup>20</sup>

Co-financing means that the resources which are necessary to carry out the project may not be entirely provided by the EU grant.

Co-financing of the project may take the form of:

- the beneficiary's own resources,
- financial contributions from third parties.

d) Balanced budget<sup>21</sup>

The estimated budget of the project is to be attached to the application form. It must have revenue and expenditure in balance.

The budget must be drawn up in euros.

Applicants, who foresee that costs will not be incurred in euros, are invited to use the exchange rate published on the InforEuro website available at [http://ec.europa.eu/budget/contracts\\_grants/info\\_contracts/inforeuro/inforeuro\\_en.cfm](http://ec.europa.eu/budget/contracts_grants/info_contracts/inforeuro/inforeuro_en.cfm).

e) Implementation contracts/subcontracting<sup>22</sup>

Where the implementation of the project requires the award of procurement contracts (implementation contracts), the beneficiary must award the contract to the bid offering best value for money or the lowest price (as appropriate), avoiding conflicts of interests and retain the documentation for the event of an audit.

In the event of procurement exceeding € 60 000, the beneficiary must abide by special rules as referred in the grant agreement annexed to the call. Moreover the beneficiary is expected to clearly document the tendering procedure and retain the documentation for the event of an audit.

Sub-contracting, i.e. the externalisation of specific tasks or activities which form part of the project as described in the proposal must satisfy the conditions applicable to any implementation contract (as specified above) and in addition to them the following conditions:

- it may only cover the implementation of a limited part of the project;
- it must be justified having regard to the nature of the project and what is necessary for its implementation;
- it must be clearly stated in the proposal.

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<sup>20</sup> Art. 125 FR, 183 RAP.

<sup>21</sup> Art. 196.2 RAP

<sup>22</sup> Art. 137 FR, 209 RAP

## 11.2 Form of grants<sup>23</sup>

Grants are calculated on the basis of a detailed estimated budget indicating clearly the costs that are eligible for EU funding. Amounts are indicated in euros.

- Maximum amount requested

The EU grant is limited to a maximum co-funding rate of **75% of eligible costs with a maximum of €500, 000 EU contribution for each proposal financed.**

Consequently, part of the total eligible expenses entered in the estimative budget must be financed from sources other than the EU grant (see section 11.1c).

- Contributions in kind<sup>24</sup>

In-kind contributions are non-financial resources made available free of charge by third parties to the beneficiary or to the consortium.<sup>25</sup> The corresponding costs are not eligible.

Contributions in kind constitute external contributions in order to cover other costs necessary to carry out the project. Such contributions must not exceed:

- either the costs actually borne and duly supported by accounting documents;
- or, in the absence of such documents, the costs generally accepted on the market in question.

In-kind contributions shall be presented separately in the estimated budget to reflect the total resources allocated to the project. Their unit value is evaluated in the provisional budget and shall not be subject to subsequent changes.

In-kind contributions shall comply with national tax and social security rules.

### **Eligible costs<sup>26</sup>**

Eligible costs are costs actually incurred by the beneficiary of a grant which meet all the following criteria:

- ✓ they are incurred during the duration of the project, with the exception of costs relating to final reports and audit certificates;

The period of eligibility of costs will start as specified in the grant.

If a beneficiary can demonstrate the need to start the project before the agreement is signed, expenditure may be authorised before the grant is awarded. Under no circumstances can the eligibility period start before the date of submission of the grant application (see section 11.1b).

- ✓ they are indicated in the estimated budget of the project;
- ✓ they are necessary for the implementation of the project which is the subject of the grant;
- ✓ they are identifiable and verifiable, in particular being recorded in the accounting records of the beneficiary and determined according to the applicable accounting standards of the country where the beneficiary is established and according to the usual cost accounting practices of the beneficiary;
- ✓ they comply with the requirements of applicable tax and social legislation;
- ✓ they are reasonable, justified, and comply with the requirements of sound financial management, in particular regarding economy and efficiency.

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<sup>23</sup> Art. 123 FR, 181 RAP.

<sup>24</sup> Art. 127 FR.

<sup>25</sup> Art. 127 FR

<sup>26</sup> Art. 126 FR

The beneficiary's internal accounting and auditing procedures must permit direct reconciliation of the costs and revenue declared in respect of the project with the corresponding accounting statements and supporting documents.

#### Eligible direct costs

The eligible direct costs for the project are those costs which, **with due regard for the conditions of eligibility set out above**, are identifiable as specific costs directly linked to the performance of the project and which can therefore be booked to it directly, such as :

- The costs of personnel working under an employment contract with the applicant or equivalent appointing act and assigned to the project, comprising actual salaries plus social security contributions and other statutory costs included in the remuneration, provided that these costs are in line with the applicant's usual policy on remuneration. Those costs may include additional remuneration, including payments on the basis of supplementary contracts regardless of their nature, provided that it is paid in a consistent manner whenever the same kind of work or expertise is required and independently from the source of funding used;
- costs of the personnel of national administrations 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;
- subsistence allowances (for meetings, including kick-off meetings where applicable, conferences etc.) provided that these costs are in line with the beneficiary's usual practices;
- costs of travel (for meetings, including kick-off meetings where applicable, conferences etc.), provided that these costs are in line with the beneficiary's usual practices on travel;
- depreciation cost of equipment (new or second-hand): only the portion of the equipment's depreciation corresponding to the duration of the project and the rate of actual use for the purposes of the project may be taken into account by the Commission.
- costs of consumables and supplies, provided that they are identifiable and assigned to the project;
- costs entailed by implementation contracts awarded by the beneficiaries for the purposes of carrying out the project, provided that the conditions laid down in the grant agreement are met;
- costs arising directly from requirements linked to the implementation of the project (dissemination of information, specific evaluation of the project, translations, reproduction);
- costs relating to a pre-financing guarantee lodged by the beneficiary of the grant, where required;
- costs relating to external audits where required in support of the requests for payments;

#### Eligible indirect costs (overheads)<sup>27</sup>

- a flat-rate amount of 7% of the total eligible direct costs of the project is eligible under indirect costs, representing the beneficiary's general administrative costs which can be regarded as chargeable to the project.

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<sup>27</sup> Indirect costs do not apply to operating grants.

Indirect costs may not include costs entered under another budget heading.

Applicants' attention is drawn to the fact that in the case of organisations receiving an operating grant, indirect costs are not eligible under specific projects.

### **Ineligible costs**

- return on capital;
- debt and debt service charges;
- provisions for losses or debts;
- interest owed;
- doubtful debts;
- exchange losses;
- costs of transfers from the Commission charged by the bank of a beneficiary;
- costs declared by a beneficiary and covered by another project receiving a European Union grant. In particular, indirect costs shall not be eligible under a grant for an project awarded to a beneficiary who already receives an operating grant financed from the Union budget during the period in question;
- contributions in kind;
- excessive or reckless expenditure.
- deductible value added tax ("VAT")<sup>28</sup>.

### **11.3 Calculation of the final grant amount**

The final amount of the grant to be awarded to the beneficiary is established after completion of the project, upon approval of the request for payment containing the following documents<sup>29</sup>:

- a final report providing details of the implementation and results of the project;
- the final financial statement of costs actually incurred,

EU grants may not have the purpose or effect of producing a profit within the framework of the project of the beneficiary. **Profit shall be defined as a surplus of the receipts over the eligible costs incurred by the beneficiary**, when the request is made for payment of the balance. In this respect, where a profit is made, the Commission shall be entitled to recover the percentage of the profit corresponding to the Union contribution to the eligible costs actually incurred by the beneficiary to carry out the project.

### **11.4 Payment arrangements**<sup>30</sup>

A pre-financing payment<sup>31</sup> corresponding to 60% of the grant amount will be transferred to the beneficiary within 30<sup>32</sup> days either of the date when the last of the two parties signs

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<sup>28</sup> For bodies governed by the public law of a Member State, VAT paid in relation to activities carried out as public authorities VAT will always be ineligible

<sup>29</sup> Art. 135 FR

<sup>30</sup> Art. 90, 135 FR, 207 RAP.

the agreement provided all requested guarantees have been received. The final payment of **up to 40 %** of the EU contribution will be made when the Commission has accepted the final technical report and it will be based on the final financial statement and the eligible costs of the activity/project calculated by the Commission.

The Commission will establish the amount of the final payment to be made to the beneficiary on the basis of the calculation of the final grant amount (see section 11.2 above). If the total of earlier payments is higher than the final grant amount, the beneficiary will be required to reimburse the amount paid in excess by the Commission through a recovery order<sup>33</sup>.

### **11.5 Pre-financing guarantee<sup>34</sup>**

In the event that the applicant's financial capacity is not satisfactory, a pre-financing guarantee for up to the same amount as the pre-financing may be requested in order to limit the financial risks linked to the pre-financing payment.

The financial guarantee, in euro, shall be provided by an approved bank or financial institution established in one of the Member State of the European Union. When the beneficiary is established in a third country, the authorising officer responsible may agree that a bank or financial institution established in that third country may provide the guarantee if he considers that the bank or financial institution offers equivalent security and characteristics as those offered by a bank or financial institution established in a Member State. Amounts blocked in bank accounts shall not be accepted as financial guarantees.

The guarantee may be replaced by a joint and several guarantee by a third party or by a joint guarantee of the beneficiaries of a project who are parties to the same grant agreement

The guarantee shall be released as the pre-financing is gradually cleared against interim payments or payments of balances to the beneficiary, in accordance with the conditions laid down in the grant agreement.

## **12. PUBLICITY**

### **12.1 By the beneficiaries**

Beneficiaries must clearly acknowledge the European Union's contribution in all publications or in conjunction with activities for which the grant is used.

In this respect, beneficiaries are required to give prominence to the name and emblem of the European Commission on all their publications, posters, programmes and other products realised under the co-financed project.

To do this they must use the text, the emblem and the disclaimer available at [http://ec.europa.eu/echo/media/identity\\_en.htm](http://ec.europa.eu/echo/media/identity_en.htm).

If this requirement is not fully complied with, the beneficiary's grant may be reduced in accordance with the provisions of the grant agreement.

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<sup>31</sup> Art. 109, 110 RAP

<sup>32</sup> Art. 92 FR

<sup>33</sup> Art. 109, 110 RAP

<sup>34</sup> Art. 134 FR, 206 RAP



## 12.2 By the Commission<sup>35</sup>

All information relating to grants awarded in the course of a financial year shall be published on an internet site of the European Union institutions no later than the 30 June of the year following the financial year in which the grants were awarded.

The Commission will publish the following information:

- name of the beneficiary;
- address of the beneficiary;
- subject of the grant;
- amount awarded.

Upon a reasoned and duly substantiated request by the beneficiary, the publication shall be waived if such disclosure risks threatening the rights and freedoms of individuals concerned as protected by the Charter of Fundamental Rights of the European Union or harm the commercial interests of the beneficiaries.

## 13. DATA PROTECTION

The reply to any call for proposals involves the recording and processing of personal data (such as name, address and CV). Such data will be processed pursuant to Regulation (EC) No 45/2001 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data. Unless indicated otherwise, the questions and any personal data requested are required to evaluate the application in accordance with the specifications of the call for proposal will be processed solely for that purpose by the European Commission DG ECHO.

Personal data may be registered in the Early Warning System (EWS) only or both in the EWS and Central Exclusion Database (CED) by the Accounting Officer of the Commission, should the beneficiary be in one of the situations mentioned in:

- the Commission Decision 2008/969 of 16.12.2008 on the Early Warning System (for more information see the Privacy Statement on:
- [http://ec.europa.eu/budget/contracts\\_grants/info\\_contracts/legal\\_entities/legal\\_entities\\_en.cfm](http://ec.europa.eu/budget/contracts_grants/info_contracts/legal_entities/legal_entities_en.cfm)),

or

- the Commission Regulation 2008/1302 of 17.12.2008 on the Central Exclusion Database (for more information see the Privacy Statement on [http://ec.europa.eu/budget/explained/management/protecting/protect\\_en.cfm](http://ec.europa.eu/budget/explained/management/protecting/protect_en.cfm))

## 14. PROCEDURE FOR THE SUBMISSION OF PROPOSALS

Proposals must be submitted in accordance with the formal requirements and by the deadline set out under sections 3 and 5.

No modification to the application is allowed once the deadline for submission has elapsed. However, if there is a need to clarify certain aspects or for the correction of clerical mistakes, the Commission may contact the applicant for this purpose during the evaluation process<sup>36</sup>.

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<sup>35</sup> Art. 35, 128.3 FR, 21, 191 RAP.

<sup>36</sup> Art. 96 FR

Applicants will be informed in writing about the results of the selection process.<sup>37</sup>

➤ Submission on paper

Application forms are available at

[http://ec.europa.eu/echo/funding/opportunities/proposals\\_en.htm](http://ec.europa.eu/echo/funding/opportunities/proposals_en.htm)

Applications shall be submitted on the correct form, duly completed, dated, showing a balanced budget (revenue/expenditure), **submitted in three copies** (one original clearly identified as such, plus **two** copies) in A4 size, each bound, and signed by the person authorised to enter into legally binding commitments on behalf of the applicant organisation.

#### **14.1 Applicants shall submit proposals**

a) either by post or by courier **no later than 12/04/2013, 23:59** in which case the evidence of the date of dispatch shall be constituted by the postmark or the date of the deposit slip, to

European Commission  
DG ECHO A.5 "Civil protection policy, Prevention, Preparedness and Disaster  
Risk Reduction Unit"  
AN88  
B 1049 Brussels

b) or delivered by hand **no later than 16.00 CET** (receipt by the courier service) **on 12/04/2013**, to

European Commission  
Central Mail Service  
OIB 4  
Avenue du Bourget, 1  
1140 Brussels

The outer envelope must bear the title of the Call for Proposals: "**Call for proposals for prevention and preparedness projects 2013**", and the words "**Not to be opened before the opening session**".

**Applications sent by fax or e-mail will not be accepted. Applications may not be hand-written.**

➤ Electronic submission

Applicants are requested to submit a copy of the application and all Annexes in an electronic format such as DVD or other commonly used storage devices (USB etc.) (in the envelope together with the paper proposal).

➤ Contacts

Questions of clarification may in addition be sent by e-mail no later than 31/03/2012/ 2013 to [ECHO-A5@ec.europa.eu](mailto:ECHO-A5@ec.europa.eu).

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

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<sup>37</sup> Art. 133 FR, 205 RAP

The Contracting Authority has no obligation to provide further clarifications after this date. Replies will be given no later than 05/04/2013. In the interest of equal treatment of applicants, the Contracting Authority cannot give a prior opinion on the eligibility of an applicant, a partner, a project or specific activities. Questions that may be relevant to other applicants, together with the answers, will be published on the internet at [http://ec.europa.eu/echo/funding/opportunities/proposals\\_en.htm](http://ec.europa.eu/echo/funding/opportunities/proposals_en.htm). It is therefore highly recommended to regularly consult the abovementioned website in order to be informed of the questions and answers published.

#### ACKNOWLEDGEMENT OF RECEIPT

Once a proposal has been received and registered by the Commission, an acknowledgement of receipt will be dispatched to the applicant in three weeks after the closing date of the present call for proposals. The acknowledgment of receipt will contain a reference number, which must be mentioned in all correspondence concerning the proposal.

Applicants who have not received an acknowledgement of receipt by e-mail within three weeks after the closing date, should contact ECHO by e-mail: [ECHO-A5@ec.europa.eu](mailto:ECHO-A5@ec.europa.eu).

### 15. OBLIGATORY DOCUMENTS TO BE ATTACHED TO THE APPLICATION

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

The following table summarises the necessary obligatory documents:

The following documents are required **only for the applicant**, and for the beneficiaries, not for the co-financers or sub-contractors:

applicants and beneficiaries	Private entities
Legal Entities Form (A9) (ONLY FOR THE APPLICANT)	
Annual Activity report <b>or</b> list and description of activities carried out by the applicant in the previous year (in case the annual activity report is not established )  (ONLY FOR THE APPLICANT)	
Form A8 – Notification of the competent	List of the members of the management or

authority  (ONLY FOR THE APPLICANT)	executive board
Curriculum Vitae of all relevant professional staff involved in the project (applicant and beneficiaries)	
Form A7- List of previous projects and activities performed and connected to the policy field of a given call	Articles of association (if applicable)*
	Official Statute*
	* Copy of Certificate of Legal Registration
	Balance sheet and the profit and loss account of the last 2 financial years <u>AND</u> Form F9  (ONLY FOR THE APPLICANT)

*\*ATTENTION: An applicant/ partner organisation already registered as a Legal Entity on the Commission register does not need to submit this supporting document. This is typically the case when the applicant/ partner organisation has directly benefited from EU funding (as a beneficiary of grant agreements or decisions, or as a contractor for service/study or other market contracts) still on-going or with a final payment not before 2009. In this case, please provide clear grant agreement / contract reference(s) for the recent EU funding and the Commission service(s) responsible.*

#### 1. Legal entities form

Form A9 shows an example of the Legal Entities forms which are available on the website:

[http://ec.europa.eu/budget/contracts\\_grants/info\\_contracts/legal\\_entities/legal\\_entities\\_en.cfm](http://ec.europa.eu/budget/contracts_grants/info_contracts/legal_entities/legal_entities_en.cfm)

For applicants that are not yet registered as a Legal Entity on the Commission register, the legal entity form should be accompanied by copies of the following supporting documents:

For private companies:

- A copy of the VAT registration document if applicable and if the VAT number does not appear on the official document referred to below.

- A copy of some official document (Official Gazette, company register, etc.) showing the name of the legal entity, the address of the head of office and the registration number given to it by the national authorities.

For public bodies:

- A copy of the resolution, law decree or decision establishing the entity in question; or, failing that, any other official document attesting to the establishment of the entity by the national authorities. -

Grant applicants and, if they are legal entities, persons who have powers of representation, decision-making or control over them, are informed that, should they be in one of the situations mentioned in:

- the Commission Decision of 16.12.2008 on the Early Warning System (EWS) for the use of authorising officers of the Commission and the executive agencies (OJ, L 344, 20.12.2008, p. 125), or
- the Commission Regulation of 17.12.2008 on the Central Exclusion Database — CED (OJ L 344, 20.12.2008, p. 12),

their personal details (name, given name if natural person, address, legal form and name and given name of the persons with powers of representation, decision-making or control, if legal person) may be registered in the EWS only, or both in the EWS and CED, and communicated to the persons and entities listed in the above-mentioned Decision and Regulation, in relation to the award or the execution of a procurement contract or a grant agreement.

2. The annual activity report or list and description of activities carried out by the applicant in the previous year (in case the annual activity report is not established)

The annual activity report or a description of activities required is the one for the most recent completed accounting period.

3. List of members of the management or executive board

For private applicants, a list of the members of the management or executive board is needed. The list should include names, titles and functions in the applicant organisation.

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 coordinator and the beneficiaries.

5. Articles of association of the applicant

Private applicants/ private partner organisation 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/private partners' organisation should include an official statute and a copy of the certificate of legal registration.

#### 7. Balance sheet and profit and loss account

Private applicants only must submit the **balance sheet and the profit and loss account** of the last 2 financial years for which the accounts have been closed.

NB: In addition to the submission of these documents, application form F9 must be completed and submitted.

### **SPECIFIC REQUIREMENTS FOR PUBLIC ENTITIES**

Those applicant organisations that declare they to be public entities must comply with all of the following criteria:

- 1. The organisation must have been created by a public authority or be officially recognised as an organisation of public interest. N.B. The ‘public interest’ must be explicitly mentioned in the relevant legal or administrative act/s.**
- 2. The internal procedures and accounts must be subjected to scrutiny or control by a public authority.**
- 3. The organisation must be financed totally or to a large extent (i.e. more than 50 %) from public sources.**
- 4. In the event that the organisation ceases its activities, all rights and obligations including financial, must be transferred to a public authority.**

**This means that only central, regional and local public authority 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 all 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.

### **16. SPECIFIC RECOMMENDATIONS FOR EACH SECTION OF THE APPLICATION FORM**

The application form provides information on administrative and technical aspects of the applicant and beneficiaries as well as financial information on the project. The application form consists of two parts, which have to be downloaded from the website where the call is published:

[http://ec.europa.eu/echo/funding/opportunities/proposals\\_en.htm](http://ec.europa.eu/echo/funding/opportunities/proposals_en.htm)

- **Part 1 is the administrative and technical part** of the project proposal (Forms A and T);
- **Part 2 is the financial part** of the proposal (Forms F).

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

- Please use the forms specific to this Call for Proposals and not those of previous Calls!
- Furthermore, if a form needs to be duplicated, please number each new page of the form sequentially (example Form A5/1, A5/2 etc.).
- Finally, please indicate dates using the format day/month/year.

## 16.1 Part 1: Forms A and T

The administrative and technical part of the application file consists of two sections, Forms A and Forms T, both available for download as a Word file under:

[http://ec.europa.eu/echo/funding/opportunities/proposals\\_en.htm](http://ec.europa.eu/echo/funding/opportunities/proposals_en.htm)

- Form A1

The title must not exceed 60 characters.

A grant may be awarded for an activity that has already begun only where the applicant can demonstrate the need to start the activity before the agreement is signed. In such cases, expenditures eligible for financing must not have been incurred prior to the date of submission of the grant application. Only costs incurred during the lifespan of the project can be considered eligible. Thus the start and end date should be established with great care.

- Forms A2 and A3

Point 1: Please check that the coordinator/ beneficiary is not in any of the situations listed in Articles 106 and 107 of the Financial Regulation.

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

**Signature:** The form must be **signed and dated**.

- Notes on 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 country postal code.

**Coordinator/ beneficiary's reference:** The participant's reference should match that given in form A1.

**Coordinator/ beneficiary's legal name:** The legal name is the name under which the participant(s) is/are registered in the official trade register (if applicable).

**Legal status:** Choose one of the following: Private, Public or International organisation. See Chapter 6.2.

**International organisations referred to** are listed in Chapter 6.2.

**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 official 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 coordination. Example: Mr, Ms, Dr, Prof.

**Function:** State the function of the person in charge of proposal coordination. Example: Managing Director, Financial Director, Sales Manager, Project Manager, etc.

**Department/Service name:** Name of the department and/or service coordinating the proposal and for which the contact person is working. The address details given in the fields below must be for the department/service and not the main address of the organisation.

**Number of employees:** To be provided by the beneficiaries. The figures should relate to the organisation as a whole, not just to the department carrying out the work. Contributions by part-time staff should be converted into 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 beneficiaries. The figures should be for the department carrying out the work. Contributions by part-time staff should be converted into 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 short name(s) of the organisation(s) to which your organisation is affiliated and use the codes below to describe the type of 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 structure and the activities:** Please describe the organisation of the coordinator/ beneficiary, its legal status, its activities and expertise. The description should enable the Commission to evaluate the operational and technical reliability, i.e. to check whether they have the experience and expertise necessary for successful implementation of the project.

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

- Form A5 only

**Annual turnover:** To be provided by all non-public 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:** Indicate the year for which the figures in this section are provided, e.g. '2012'.

- Form A6

If the project includes co-financers other than the European Commission, this form is compulsory. Complete one form per co-financer (A6/1, A6/2, A6/3, etc.). Always give amounts in Euro (€). Remember that the amounts in Form(s) A6 must be consistent with the amounts indicated in the financial forms F0 and F1.

- 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 activities may and should be financed through other EU financial instruments. The limited resources of this programme should be used in the most efficient way, avoiding overlaps with other EU financial instruments. 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 activities proposed are/would not be eligible under such schemes, will the Commission consider the activities proposed for financing.

- Form A8

National competent civil protection/marine pollution authority confirms being informed about the submission of a project to the call by ticking an appropriate box. **For objective 2 in preparedness section – developing and exercising multinational modules, all boxes in the form A8 should be ticked.**

- Form A9

Complete this form carefully! Please note that the form on this page is only an example. Use the link indicated to obtain the form appropriate to the legal status of the Coordinator and the country/language. The link leads to a web application that can be typed and printed.

- Form A10

Complete this form carefully! Please note that the form on this page is only an example. Use the link indicated to obtain the form appropriate to the country/language of the bank account. The link leads to a web application that can be typed and printed. 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 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.

- Form A11

As soon as your proposal is received, the Commission will complete this form and return it to you by email. This receipt does not imply any judgment as to the eligibility of your proposal, but only confirms that the application has been received by the Commission. If you have not received it within three weeks after the final submission date, please contact the Commission at the email address mentioned in Chapter 14.

- Form A12

**Complete this form carefully! The partnership statement must be signed by all the partners (coordinator and beneficiaries).**

- Form T1

This form should provide a summary of your proposal and is an important part of your proposal. It can be used for information purposes within the Commission. It may subsequently be used for communication purposes.

- Form T2

This form should provide a clear overview of all **tasks** involved in the project with their start and end dates, activities and deliverables (**we recommend limiting the**

**number of tasks to 10).** The task IDs should be listed using capital letters from ‘A’ onwards.

- **Forms T3a and T3b**

It is important to break down the tasks to a level that allows the Commission to assess the maturity of the project in terms of planning and preparation. You should avoid a description that is too general. The breakdown should allow the Commission to monitor progress during implementation.

*Form T3a:*

The task breakdown should list the activities and each participant’s responsibilities, as well as the expected result. Use one T3a per task. The budgetary breakdown per task and activity is requested in the financial forms F2a and F2b.

For each task, specify the following:

Task A.1:

Name of Task:

Description (what, how and where): Task breakdown

Reasons why it is necessary:

Who is responsible for implementing it: give breakdown

Expected results (quantitative information where possible): define targets. The targets should, as far as possible, be measurable both during the implementation phase and after completion of the tasks.

Constraints: list potential constraints and how you intend to overcome them.

*Form T3b:*

Give deliverables in T3b — Each significant component of the project should conclude with a deliverable which is the concrete output and evidence of the work **with deliverable date and deliverable description.**

Deliverables should be limited in number, and be specific and verifiable.

Deliverables should be described in clear words explaining what can be expected in terms of content and detail. A deliverable may be a report, or activities such as training or exercising, organisation of a conference and production of proceedings, publication of a book, manual of work procedures, software, videos, etc.

**This form should also include the dates of delivery to the Commission of the progress report(s) on technical and financial implementation during the project period.** (For further details on reporting requirements, see Article II.23 of the General Conditions applicable to Civil Protection projects and Annex II to the Model Grant Agreement, both published together with this Call for proposals).

For projects with a duration of **12 months or less**, the beneficiary should deliver **one progress report half-way through the project life-cycle**, counting from the start date

of the project specified in Article 2 of the Special Conditions (e.g. for a 12-month-project, the progress report should be delivered before the end of month 6).

For projects having a duration of **more than 12 months, two progress reports** should be submitted **at regular intervals** over the duration of the project (e.g. if a project duration is 15 months, the first progress report should be submitted before the end of month 5 and the second one before the end of month 10).

### **Two tasks are compulsory:**

#### 1. TASK MANAGEMENT AND REPORTING TO THE COMMISSION:

Describe how the project will be organised. Include a brief but clear organisation chart of the technical and administrative staff involved (who, how many, main tasks?). Also indicate how project monitoring and feedback will be organised (e.g. evaluation sheets distributed to participants at seminars).

**Applicants' proposal budgets should include the expenses (travel, accommodation and subsistence) for two one-day meetings in Brussels, for the project launch (kick off meeting) and a second meeting. For each meeting, the expenses should be budgeted for no more than three persons, with at least two of them representing the coordinator organisation.**

#### 2. TASK PUBLICITY

Describe how the project will publicise its results. Possible dissemination strategies are:

- **Media work.**
- **Organisation of events for the community or for visitors:** e.g. public information meetings, meetings with interest groups, guided tours, etc. Describe exactly what is planned and who the target audience is.
- **Workshops, seminars, conferences:** If a coordinator or beneficiaries are attending, specify which (if known already). If the coordinator/beneficiaries are organising the event, describe exactly what the topic will be, how it contributes to the objectives, who will be invited (note that the Commission must be invited and, whenever possible, beneficiaries implementing or having implemented similar projects should be invited, to encourage networking). Finally, describe the 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 to whom). The target audience should be precisely defined and justified. Note that all such material must include a clear reference to the EU's financial support in order to be eligible for reimbursement and that one copy of each product must be annexed to the progress/interim report or final report.
- **Technical publications on the project:** If already known, indicate in which journal these are to be published. Such publications must acknowledge the EU's financial support.
- For **on-site related projects** the beneficiary is required to install and maintain notice boards describing the project at strategic places accessible to the public. The EU logo should always appear on them.

- The beneficiary is required to show the main project results (e.g. summary and detailed activity reports, etc.) on newly-created or existing **websites**. The relevant INTERNET web address should be included in the project reports.
- The beneficiary is required to produce a **layman's report** on paper and in electronic format at the end of the project. It must be 5-10 pages long and presented in English and in the language of the beneficiary (optional). Please ensure before printing that the Commission has approved the report.
- **Please take particular care in choosing the technologies, consumables and equipment used to produce awareness-raising material. Environmentally-friendly products/technologies should be favoured.**

#### Form T4

Describe how the project will be continued after the end of the EU co-funding, which activities are required to consolidate the results and which mechanisms will be put in place to ensure this.

Indicate what will become of the personnel assigned to the project. Clarify the future use of durable goods.

When planning your proposal, consider carefully how you will ensure that project results are eventually implemented and/or used. You should also consider whether to include in your projects any activity you deem necessary to remove obstacles that may stop your results from being implemented and/or used.

## **16.2 Part 2: Forms F**

The financial section consists of 11 forms. It is available for download as an Excel file under:

[http://ec.europa.eu/echo/funding/opportunities/proposals\\_en.htm](http://ec.europa.eu/echo/funding/opportunities/proposals_en.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 filled in.

### ***General***

The EU contribution will be calculated on the basis of eligible costs. For information on the different cost categories and on ineligible costs, see Article II.19 of the General Conditions.

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 coordinator/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 (€).

- 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. They are not eligible for organisations that, at the same time, benefit from an operating grant.

- **Requested EU contribution:** Please specify the amount of financial contribution requested from the European Commission.

- 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 EU contribution requested per beneficiary.

**Beneficiary No:** 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 activities in €** Indicate the total costs of the activities undertaken by the beneficiaries as in the forms **A2** and **A3**.

**Coordinator contribution:** specify the amount of financial contribution provided by the coordinator, as indicated in form **A2**. This amount cannot include contributions by co-financers (form **A6**).

**Beneficiary contribution:** Indicate the financial contribution from each beneficiary, as indicated in form **A3**. This amount cannot include contributions by co-financers (form **A6**).

**Amount of EU contribution requested:** Specify the amount of financial EU contribution requested by the coordinator and each of the beneficiaries.

**Co-financer name:** As in the Co-financer profile and commitment forms **A6**.

**Amount of co-financing in €** Indicate the financial contribution of each co-financer as in forms **A6**

- 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 activity, 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 activities, rows may have to be added on these tables. Information should be consistent with the contents of the technical forms. If not applicable, applicants should disregard this form – it has been kept as a blank sheet, for numbering purposes only.

- Notes common to Forms F3 to F7

It is required for all reported budget items to provide a 'reference to the Task ID / Project' according to the technical form **T3a**. Should a budget item refer to more than one Task ID / Project, please indicate each one of them.

- 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 coordinator's/ 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 must be recorded using time-sheets drawn up and certified by the beneficiary/partner.

**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 (subject to 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 any details on the calculation of the budgeted costs should be provided in the form.

- 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 coordination meetings. Clear descriptions should always be given. Please indicate whether the persons travelling are personnel of the applicant/partner(s), 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 coordination meeting’, ‘project area visit’.

**Travel costs:** Travel costs will be charged in accordance with the internal rules of the coordinator/beneficiary. Coordinator and 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:** These cover hotel costs, meals, sundry expenses, local transport etc. and should be applied according to the internal rules of the coordinator/ beneficiary. *If there are no such rules, the subsistence costs must not exceed the scales approved annually by the Commission (see Chapter 12).*

**Do not forget to include in the budget the expenses (travel, accommodation and subsistence) for two one-day meetings in Brussels, for the project launch (kick off meeting) and a second meeting. For each meeting, the expenses should be budgeted for no more than three persons, with at least two of them representing the coordinator organisation.**

**Important:** *Subscription fees for conferences or events should be declared under ‘Other direct costs’.*

- 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 EU Directives on public tendering procedures.

The ‘private’ coordinator/ beneficiary will invite competitive tenders from potential sub-contractors and award the contract to the bid offering best value for money; in doing so they must observe the principles of transparency and equal treatment of potential sub-contractors and must 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 depreciation costs of equipment or other assets (new or second-hand) as recorded in the accounting statements of the beneficiary, provided that the asset has been purchased in accordance with grant agreement and that it is written off in accordance with the international accounting standards and the usual accounting practices of the beneficiary; the costs of rental or lease of equipment or other assets are also eligible, provided that these costs do not exceed the depreciation costs of similar equipment or assets and are exclusive of any finance fee;



Only the portion of the equipment's depreciation, rental or lease costs corresponding to the duration of the project and the rate of actual use for the purposes of the action may be taken into account.

#### 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' coordinator/ beneficiary must be awarded in accordance with the applicable rules on public tendering and in conformity with EU Directives on public tendering procedures.

The 'private' coordinator/ beneficiary will invite competitive tenders from potential sub-contractors and award the contract to the bid offering best value for money; in doing so they must observe the principles of transparency and equal treatment of potential sub-contractors and must 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 impact assessment', 'maintenance of ...', 'renting of ...', 'consultancy on ...', 'web page development', 'intra-muros assistance', 'organisation of dissemination event', etc.

**Important:** 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:** *Coordinator and beneficiaries cannot sub-contract to one another or internally (e.g. between departments or subsidiaries).*

If according to Article II.23.2 of the General Conditions Costs an **independent financial audit** is required, the coordinator should incorporate an appropriate cost under sub-contracting. The purpose of the audit report is to certify that the accounts submitted are sincere, reliable and substantiated by adequate supporting documents. The auditor must also certify that all costs incurred comply with the provisions set in the Grant Agreement. (NB: For public bodies, the financial audit can be conducted by the appropriate internal audit services of the institution.)

For more information on the rules applicable to sub-contracts, please refer Article II.10 of the General Conditions.

- 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

proved 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 EU contribution and exceeds €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 beneficiaries. The guarantee must be denominated in Euro.

- 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 activities 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 EU contribution. Nevertheless, they are important in order to assess the real total cost of the project.

- 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 6.2) 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 drawn up in other currencies, please refer to the EU InforEuro exchange rates (according to the closing date of the statement) available on:

[http://ec.europa.eu/budget/contracts\\_grants/info\\_contracts/inforeuro/inforeuro\\_en.cfm](http://ec.europa.eu/budget/contracts_grants/info_contracts/inforeuro/inforeuro_en.cfm).

***Abbreviations t-1 and t0***

The abbreviation *t0* 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 t0* 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 t0* 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.

<b>BALANCE SHEET</b>	<b>CORRESPONDANCE 4<sup>th</sup> ACCOUNTING DIRECTIVE</b>	
<b>ASSETS</b>	<b>ASSETS / 4th ACCOUNTING DIRECTIVE (Article 9)</b>	
<b>1. Subscribed capital unpaid</b>	<b>A. Subscribed capital unpaid</b>	A. Subscribed capital unpaid (including unpaid capital)
<b>2. Fixed assets</b>	<b>C. Fixed assets</b>	
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, trademarks 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)

<b>3. Current assets</b>	<b>D. Currents assets</b>	
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. Other 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. Other 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
<b>Total assets</b>	<b>Total assets</b>	

<b>LIABILITIES</b>	<b>LIABILITIES / 4th ACCOUNTING DIRECTIVE (Article 9)</b>	
<b>4. Capital and reserves</b>	<b>A. Capital and reserves</b>	
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
<b>5. Creditors</b>	<b>C. Creditors</b>	
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
<b>Total liabilities</b>	<b>Total liabilities</b>	

<b>PROFIT AND LOSS ACCOUNT</b>	<b>PROFIT AND LOSS ACCOUNT / 4<sup>TH</sup> ACCOUNTING DIRECTIVE (Article 23)</b>	
<b>6. Turnover</b>	<b>1. Net turnover</b>	1. Net turnover
7. Variation in stocks	2. Variation in stocks 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
<b>12. Gross operating profit</b>	<b>Gross operating profit</b>	
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
<b>14. Net operating profit</b>	<b>Gross operating profit — Depreciation and value adjustments on non-financial assets</b>	
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	
<b>18. Profit or loss on ordinary activities</b>	<b>Profit or loss on ordinary activities</b>	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
<b>21. Profit or loss for the financial year</b>	<b>Profit or loss for the financial year</b>	21. Profit or loss for the financial year



## 17. HOW TO PREPARE AND DRAFT A PROPOSAL?

Only carefully prepared proposals will be considered for financing. To summarise:

- The first phase, prior to the formulation of the project, should consist in identifying **the issue to be addressed**.
- Once this is done, the **objective** of the project must be set. This should directly address the problems identified and should be precise and clearly set out.
- The next step is to identify the **results** or ‘end products’ of the project that are to be achieved in order to meet the objective. Wherever possible, these should be expressed in quantifiable terms.
- Next, consider which **activities** are needed to obtain these results. For each activity, clearly identify how, where and when it will be undertaken, who will do it and how much it will cost. Any activity that does not contribute directly to the objective must be discarded.
- Carefully plan how the project will be **organised and managed**, who is responsible for carrying out which activities, who reports to whom and what kind of management structure is needed.
- Make sure the **budget** is realistic, consistent with the activities proposed, and that human and financial resources are proportionate to the expected results and will be available when needed.
- Consider, at each stage when writing the application, which **assumptions** you are making. External factors, 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 identified and described, as should any potential difficulties that might arise.
- Establish how the planned activities and expected results can be verified (**clearly indicate deliverables**) and list these in application form T3b. This will make it possible to monitor the project.
- Finally, a simple procedure must be provided to evaluate the results in relation to the initial objective, both during and at the end of the project. Please consider that evaluation can be done by the beneficiaries of an activity (e.g. the participants *invited* to an activity), or by the organisers of the activity (self-evaluation), or by a neutral third party (peer evaluation or consultant).
- Useful lessons that could be passed on to other projects should be identified. By the same token, the experience of similar projects should be used during the preparation of proposals.

→ *A proposal that is vague, insufficiently negotiated between beneficiaries and includes foreseeable difficulties that have not been appropriately taken into account has little chance of being considered for funding at EU level. 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 (can be downloaded from the following website):*

[http://ec.europa.eu/echo/funding/opportunities/proposals\\_en.htm](http://ec.europa.eu/echo/funding/opportunities/proposals_en.htm)

## 18. CHECKLIST FOR SUBMITTING A GRANT APPLICATION

### GENERAL

- **All three parts of the Application forms (Administrative, Technical and Financial) must be fully completed** with all the requested information. The budget in the financial part must be balanced between costs and revenues.
- **One original** (clearly identified) plus the required **two copies** have been submitted (including one electronic version).
- **Standard forms** have been used.
- **Forms are not handwritten.**

### REMINDER OF SIGNATURES

- **Form A2 duly signed and dated** by the applicant (coordinator).
- In the case of further participants, **Form A3 duly signed and dated** by **each** beneficiary.
- In case of other co-financers apart from the applicant, the partner(s) and the Commission, **Form A6 duly signed and dated** by each co-financer (one form per co-financer).
- **Form A8 duly signed by the competent national authority**
- **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)
- **Form A12 duly signed, dated and stamped** by the beneficiaries

### REMINDER OF OBLIGATORY ANNEXES

- Please **do not forget to attach the obligatory annexes**, as described in Chapter 18!