



## **UNION CIVIL PROTECTION MECHANISM**

# **PREVENTION AND PREPAREDNESS PROJECTS IN CIVIL PROTECTION AND MARINE POLLUTION**

**Call for proposals document**

**UCPM-2018-PP-AG**

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**EUROPEAN COMMISSION**

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ECHO A – Emergency Management

**Unit A4 - Civil Protection Policy**

## Union Civil Protection Mechanism

### Prevention and Preparedness in Civil Protection and Marine Pollution

UCPM-2018-PP-AG

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## 1. Background

EU Member States are facing a wide range of disaster risks every year, including floods, forest fires, earthquakes and various technological, radiological and environmental accidents. A first EU-wide overview of the risks faced by Member States was published by the Commission in April 2014<sup>1</sup>.

Disaster prevention and preparedness are therefore important elements of the European Civil Protection cooperation. This Call for proposals will help to fund activities aimed at closer cooperation in prevention, preparedness and awareness-raising in civil protection and marine pollution<sup>2</sup>. It covers any type of disaster (i.e. floods, earthquakes, fires, pandemics, CBRN, etc.).

The legal framework for this call is the Decision No 1313/2013/EU of the European Parliament and of the Council of 17 December 2013 on a Union Civil Protection Mechanism<sup>3</sup> ("UCPM"), and the Commission Implementing Decision<sup>4</sup>.

The objective of the UCPM is to strengthen the cooperation between the Union and the Member States and to facilitate coordination in the field of civil protection in order to improve the effectiveness of systems for preventing, preparing for and responding to natural and man-made disasters. In doing so, the Mechanism supports the efforts of Participating States to protect primarily people, but also the environment and property, including cultural heritage, against all kinds of natural and man-made disasters, including the consequences of acts of terrorism, technological, radiological or environmental disasters, marine pollution and acute health emergencies, occurring inside and outside the Union. In the case of the consequences of acts of terrorism or radiological disasters, the Mechanism covers only preparedness and response actions.

The legal framework, specifically Article 28 of the UCPM Decision, provides for the possibility that certain third countries may benefit from EU funding, including under this Call for proposals. A complete list of those countries is provided under chapter 5.

## 2. Prevention and Preparedness actions of this Call for Proposals

Under the present Call for Proposals funding may be awarded to projects in 2 separate policy areas: **Prevention** and **Preparedness**, each with its respective specific objectives, priorities and available budget.

There is also a general section applicable both to prevention and preparedness projects which outlines the admissibility requirements, the eligibility criteria, the exclusion criteria and the selection and award criteria.

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<sup>1</sup> SWD(2014) 134 final, 8.4.2014

<sup>2</sup> Actions falling under Regulation (EC) No 1406/2002 establishing a European Maritime Safety Agency are not covered by this call.

<sup>3</sup> OJ L347, 20.12.2013, p. 924.

<sup>4</sup> Implementing Decision of 16.10.2014 laying down rules for the implementation of Decision No 1313/2013/EU of the European Parliament and of the Council on a Union Civil Protection Mechanism and repealing Decisions 2004/277/EC, Euratom and 2007/606/EC, Euratom (C (2014)7489 final): OJ L320, 6.11.2014, p. 1-45.

## 2.1 PREVENTION

The term prevention refers to any action aimed at reducing risks or mitigating adverse consequences of disasters for people, the environment and property, including cultural heritage.<sup>5</sup>

The UCPM aims at achieving a higher level of protection and resilience against disasters by preventing or reducing their potential effects, by fostering a culture of prevention and by improving cooperation among civil protection actors as well as with other relevant services.

To enhance prevention, the UCPM focuses on improving the knowledge base, promoting risk assessments and risk management planning as well as risk management capability assessments. Prevention is also linked to other policy fields, such as climate change adaptation.

### Objectives

Support and complement the efforts of Member States in the field of disaster prevention, focusing on areas where cooperation provides added value and complement existing cooperation frameworks/instruments provided by relevant EU macro-regional strategies.

Support the IPA II beneficiaries and the European Neighbourhood Policy countries in the field of disaster prevention and improve their cooperation with the Mechanism and its Participating States<sup>6</sup>.

### PREVENTION PRIORITIES

#### **1. Projects promoting the linkages between multi-hazard assessments of risks, including from climate change, risk management capabilities assessments with risk management, preparedness and response planning.**

- Actions promoting integration of risk assessments and risk management capability assessments into risk management planning and their synergy with programmes funded under the European Structural and Investments Funds;
- Actions promoting the exchange of good practices in the area of risk management capabilities assessment;
- Actions fostering collection and dissemination of loss data, to strengthen their use for optimised risk assessments, risk management capabilities assessments and risk management planning.

#### **2. Projects supporting the development of disaster risk reduction strategies, taking into account climate change adaptation.**

- Actions facilitating technical and policy support activities to develop DRR Strategies. Proposals should ensure synergies with ongoing

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<sup>5</sup> Art.4 (4) of Decision 1313/2013.

<sup>6</sup> EU 28, Iceland, Norway, the former Yugoslav Republic of Macedonia, Montenegro, Serbia and Turkey

international and EU initiatives in this area and climate change adaptation strategies;

- Actions promoting cooperation, partnerships, exchange of practices and experiences to implement DRR Strategies. Proposals should ensure synergies with ongoing international and EU initiatives in this area and climate change adaptation strategies.

### **3. Projects supporting risk awareness and risk communication with a focus on border regions, cross-border and regional dimensions.**

- Actions promoting the collection and exchange of good practices and experiences on risk awareness and risk communication;
- Actions focusing on regional (supranational) and cross-border risk awareness and risk communication campaigns, including those in border regions.

Projects should be complementary and take stock of and build upon prior achievements in the field, including disaster risk reduction actions.

Please check the prevention and preparedness projects' database: [http://ec.europa.eu/echo/funding-evaluations/financing-civil-protection-europe/selected-projects\\_en](http://ec.europa.eu/echo/funding-evaluations/financing-civil-protection-europe/selected-projects_en)

### **TYPE OF ACTIVITIES WHICH CAN BE FINANCED UNDER THIS CALL**

- Projects aimed at studying, designing, developing, testing and implementing new prevention or disaster risk management approaches, or at evaluating and/or improving existing ones;
- Projects aimed at studying, designing, developing, testing and implementing innovative approaches, techniques and tools to link prevention measures to preparedness and response needs and to integrate disaster risk management considerations into planning and other policies;
- Projects aimed at developing general principles and guidelines relating to hazards with potentially serious impact on human, environmental and economic situations;
- Projects in the area of prevention and risk management aimed at concrete improvements and innovation thanks to transnational cooperation;
- Projects aiming at identifying best practices and/or transferring them in other countries and regions.

### **EXPECTED OUTCOMES AND RESULTS**

- Improved cooperation, exchange of good practices and support for capacity building in prevention actions outlined in Chapter 2 of Decision No 1313/2013/EU (including risk assessment, risk management planning, risk prevention measures).

- Improved links between relevant actors and policies throughout the disaster management cycle (prevention – preparedness – response - recovery), and with relevant actors and policies beyond, e.g. climate change adaptation policies;
- Improved cross border and macro regional cooperation in disaster prevention;
- Improved knowledge base on disaster risks and disaster prevention policies, and raising awareness of disaster prevention which would also contribute to better understanding of and adapting to the future impacts of climate change;
- Contributing to the implementation of the Sendai international framework for disaster risk reduction and to the support of the EC Disaster Risk Management Knowledge Centre.

For more information about EU disaster risk management policies:

- [http://ec.europa.eu/echo/files/aid/countries/factsheets/thematic/disaster\\_risk\\_management\\_en.pdf](http://ec.europa.eu/echo/files/aid/countries/factsheets/thematic/disaster_risk_management_en.pdf)
- [http://ec.europa.eu/echo/files/aid/countries/factsheets/thematic/prevention-preparedness\\_en.pdf](http://ec.europa.eu/echo/files/aid/countries/factsheets/thematic/prevention-preparedness_en.pdf)

## **BUDGET AVAILABLE**

The total budget for the co-financing of prevention projects:

**A) Internal budget item: EUR 2 800 000** for projects benefitting Participating States in the UCPM.

**B) External budget item: EUR 1 400 000** for projects covering the IPA II beneficiaries not participating in the Mechanism and European Neighbourhood Policy countries.

Applicants have to choose under which budget item to apply and indicate this clearly in their project proposal.

The EU co-funding rate amounts to 75 % of total eligible costs, with a maximum EU contribution of EUR 800 000, whereby the EU contributes to the eligible cost of each beneficiary at a 75% rate.

The beneficiaries need to guarantee that the remaining 25% of the total eligible cost come from sources other than the EU grant, whereby each beneficiary must guarantee that 25% of its eligible cost is funded from sources other than the Union.

The Commission reserves the right not to grant the entire budget available.

## **2.2 PREPAREDNESS**

The term preparedness means a state of readiness and capability of human and material means, structures, communities and organisations enabling them to ensure an effective rapid response to a disaster, obtained as a result of action taken in advance.<sup>7</sup>

Preparedness is essential in the management of disasters - 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 Decision No 1313/2013/EU.

The UCPM is intended to improve the level of preparedness of civil protection systems, their personnel and population. When natural or man-made disasters strike a country, within the European Union or outside, the Mechanism allows for the necessary operational resources to be mobilised to assist and provide a prompt response.

As such, a project may very well be used to develop new concepts or models within the framework of the UCPM training programmes, or to identify ways of increasing efficiency with regard to deployment and/or plans for deployment of operational assets and modules to disaster stricken areas. This could include the establishment and/or development of multi-national modules. Such a project could also be used to develop new and more efficient ways of conducting UCPM exercises, of drawing up lessons following disasters, of planning emergency operations, etc.

### **OBJECTIVES**

Improve the preparedness of the Union Civil Protection Mechanism to respond to disaster risks.

Enhance knowledge of effective preparedness and through the EC Disaster Risk Management Knowledge Centre.

Develop cooperation across countries on challenges in the field of civil protection and/or marine pollution and enhance the awareness of professionals and volunteers.

Complement existing cooperation frameworks/instruments provided by relevant EU macro-regional strategies.

Support a closer partnership between the Union Civil Protection Mechanism and IPA II beneficiaries not participating in the Mechanism or European Neighbourhood Policy countries.

### **PREPAREDNESS PRIORITIES**

1. Actions aimed at increasing the countries' preparedness for receiving international assistance in the context of the EU Host Nation Support Guidelines.

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<sup>7</sup> Art. 4(3) of Decision 1313/2013.

2. Actions improving trans-border and macro regional cooperation in disaster preparedness, including enhancing support to Participating States in awareness-raising, public information (e.g. risk awareness), knowledge dissemination and education (e.g. self-resilience).
3. Enhancing cooperation between civil protection and humanitarian aid actors.
4. Actions, other than those mentioned in 2.8 (certification and adaptation) aimed at further developing the preparedness aspects of the Union Civil Protection Mechanism, inter alia through:
  - The development and testing of innovative response technologies and methodologies.
  - Enhanced quality and interoperability of response capacities. These activities will be undertaken on a pilot basis and their results will be presented to relevant working groups and the Civil Protection Committee to inform debate on more structural solutions.

### **Only for external budget line proposals**

Actions aimed at enhancing the cooperation with enlargement and Neighbourhood countries through a closer cooperation with the UCPM and its Participating States.

Projects should be complementary and should take stock of achievements of relevant activities undertaken at European level using Union funds.

Please check the prevention and preparedness projects' database: [http://ec.europa.eu/echo/funding-evaluations/financing-civil-protection-europe/selected-projects\\_en](http://ec.europa.eu/echo/funding-evaluations/financing-civil-protection-europe/selected-projects_en)

### **EXPECTED OUTCOMES AND RESULTS**

Budget item 23 03 01 01:

The EU response capacity is enhanced through a better pooling of teams, assets and expertise.

Additional response capacities are made available to the European Emergency Response Capacity and the European Medical Corps.

Plans are developed to increase the efficiency of disaster response.

The quality and interoperability of EU response capacities are improved.

Approaches to meet specific civil protection and marine pollution needs and/or challenges at regional and cross border level are assessed, tested and evaluated.

Budget item 23 03 01 02:

The preparedness of IPA II beneficiaries not participating in the Mechanism or European Neighbourhood Policy country is increased through a closer cooperation with the UCPM and its Participating States.



## **TYPE OF ACTIVITIES WHICH CAN BE FINANCED UNDER THIS CALL**

- Cooperation projects and studies, which may include small scale exercises and training aimed at specific complementary improvements and innovation;
- Activities that increase cooperation to strengthen CBRN security (including terrorism related), in line with the Action Plan adopted by the EC to enhance preparedness against chemical, biological, radiological and nuclear security risks;
- Activities that could directly support the ERCC and PS (e.g. Europe-wide landslide or volcanic risk EWS, environmental emergencies scientific support) through developed tools and mechanisms;
- Supporting/developing innovative solutions for civil protection activities, encouraging public/private partnerships.

For more information about EU disaster risk management:

- [http://ec.europa.eu/echo/files/aid/countries/factsheets/thematic/prevention-preparedness\\_en.pdf](http://ec.europa.eu/echo/files/aid/countries/factsheets/thematic/prevention-preparedness_en.pdf)
- [http://ec.europa.eu/echo/files/aid/countries/factsheets/thematic/disaster\\_risk\\_management\\_en.pdf](http://ec.europa.eu/echo/files/aid/countries/factsheets/thematic/disaster_risk_management_en.pdf)

For more information about EU financed projects:

- <http://ec.europa.eu/echo/en/funding-evaluations/financing-civil-protection-europe/selected-projects>

## **BUDGET AVAILABLE**

The total budget for the co-financing of preparedness projects:

**A) Internal budget item: EUR 2 800 000** for projects benefitting Participating States of the UCPM.

**B) External budget item: EUR 1 400 000** for projects benefitting countries of the European Neighbourhood Policy and IPA II beneficiaries, not yet participating in the UCPM.

The EU co-funding rate amounts to 75 % of total eligible costs, with a maximum EU contribution of EUR 800 000, whereby the EU contributes to the eligible cost of each beneficiary at a 75% rate.

The beneficiaries need to guarantee that the remaining 25% of the total eligible cost come from sources other than the EU grant, whereby each beneficiary must guarantee that 25% of its eligible cost is funded from sources other than the Union.

The Commission reserves the right not to grant the entire budget available.

### 3. Timetable

#### Time-table

	Stages	Date and time or indicative period
a)	Publication of the call	25/01/2018
b)	Deadline for submitting applications	25/04/2018 – 17:00 CET
c)	Evaluation period	26/04/2018-15/06/2018
d)	Information to applicants	15/06/2018-16/07/2018
e)	Signature of Grant Agreement	16/07/2018-21/9/2018
f)	Starting date of the actions	1 January 2019

#### Call budget

The **available call budget** is EUR 8.400.000.

The EU reserves the right not to award all available funds or to redistribute them between the call priorities, depending on the applications received and the evaluation results.

### 4. Admissibility conditions

#### Admissibility

Applications must be submitted before the call deadline (*see time-table section 3*).

Applications must be submitted electronically via the Participant Portal Electronic Submission System (accessible via the Call Topic page in the [Funding Opportunities](#) section). Paper submissions are no longer possible.

Applications (including annexes and supporting documents) must be submitted using the forms provided inside the Electronic Submission System (not the documents available on the Call Topic page — they are only for information).

Your application must be readable, accessible and printable and contain all the requested information and all required annexes and supporting documents (*see section 10*).

### 5. Eligibility conditions

#### Participants

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

- Legal persons;
- Belong to one of the following categories: private entities, public entities, or international organisations<sup>8</sup> ;
- Be directly responsible for the preparation and management of the project with the other applicants, i.e. not acting as an intermediary;
- Be established in one of the eligible countries, i.e.:
  - Participating states<sup>9</sup> (including overseas countries and territories (OCTs))
  - for projects under the external budget item, established in eligible non-EU countries:
    - IPA II beneficiaries not participating in the mechanism: Albania, Bosnia and Herzegovina, Kosovo<sup>10</sup>;
    - European Neighbourhood Policy countries: Armenia, Azerbaijan, Belarus, Georgia, Moldova and Ukraine;
    - Algeria, Egypt, Israel, Jordan, Lebanon, Libya, Morocco, Palestine and Tunisia.

**Important:** eligible entities from third countries can participate in the implementation of projects under the **external budget item but cannot act as the Coordinator**. Therefore, applications submitted by third countries which are not Participating States to the Mechanism will be considered ineligible.

- Directly responsible for the preparation and management of the project with other beneficiaries, i.e. not acting as an intermediary;
- Notify their national competent authority (**applicable only to the lead applicant, coordinator of the consortium**) of their proposal in order to ensure consistency between activities financed at EU level and national civil protection and marine pollution policies. With the proposal, the coordinator must enclose supporting documents (Notification form signed by the competent authority) showing that the relevant national authority has been notified in writing before submitting the proposal to the Commission. **This does not apply to applicants which themselves are the national competent authority.**

To prove these eligibility requirements, Applicants and Co-applicants will have to provide the relevant information and upload necessary documents showing their legal status in the Beneficiary Register. The information needs to be provided before the submission deadline.

For the list of national central civil protection authorities appointed under the UCPM, see:

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<sup>8</sup> For the definition, see Article 43 of the EU Rules of Application Regulation No [1268/2012](#).

<sup>9</sup> 28 EU MS, Iceland, Norway, the former Yugoslav Republic of Macedonia, Montenegro, Serbia and Turkey

<sup>10</sup> This designation is without prejudice to positions on status, and is in line with UNSCR 1244 and the ICJ Opinion on the Kosovo Declaration of Independence.

<http://2.ipacivilprotection.eu/index.php/project-participants/participating-countries>

<http://euroeastcp.eu/en/partner-countries.html>

Applicants submitting proposals related to marine pollution must notify their national maritime authorities. The list of the National Maritime Authorities is published here:

[https://ec.europa.eu/echo/sites/echo-site/files/national\\_maritime\\_authorities.pdf](https://ec.europa.eu/echo/sites/echo-site/files/national_maritime_authorities.pdf)

Natural persons are NOT eligible

EU bodies (with the exception of the European Commission Joint Research Centre) can NOT be part of the consortium.

Special rules may apply for entities from certain countries (e.g. countries covered by [Council sanctions](#), entities covered by Commission Guidelines Nr. [2013/C 205/05](#)<sup>11</sup>).

To prove eligibility, all applicants must register in the [Beneficiary Register](#) — before the call deadline — and upload the necessary documents showing legal status and origin.

In order to be eligible for a grant, the applications must be submitted by a consortium complying with the following conditions:

Applications by single applicants are NOT allowed.

- Projects financed under the **internal budget item** are designed and implemented by transnational partnerships involving a minimum of three entities from three different Participating States or international organisations in cooperation with entities from Participating States. International organisations cannot act as lead consortium partner. This means that as a minimum the partnership should include one of the following combinations:

- a) 3 entities from Participating States (one as lead consortium partner),
- b) 2 entities from Participating States (one as lead consortium partner) + 1 International Organisation,
- c) 1 entity from Participating States (lead consortium partner) + 2 International Organisations.

The results of the project shall be relevant for the Participating States and the EU.

**Reminder: Only entities from Participating States and International Organisations are eligible under the internal budget item.**

Projects financed under the **external budget item** involve:

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<sup>11</sup> Commission guidelines Nr. [2013/C 205/05](#) on the eligibility of Israeli entities and their activities in the territories occupied by Israel since June 1967 for grants, prizes and financial instruments funded by the EU from 2014 onwards (OJEU C 205 of 19.07.2013, pp. 9-11). Note that these guidelines extend to third parties receiving financial support within the meaning of Article 137 of the EU Financial Regulation No [966/2012](#).

a) a minimum of three entities from three different eligible countries, including at least one IPA II beneficiary not participating in the Mechanism and/or European Neighbourhood Policy country as a primary beneficiary and an entity from at least one Participating State as a lead consortium partner; or

b) a minimum of three entities, including international organisations, at least one IPA II beneficiary not participating in the Mechanism and/or European Neighbourhood Policy country as a primary beneficiary and an entity from at least one Participating State as a lead consortium partner.

This means that as a minimum the partnership should include one of the following combinations:

a) 2 entities from Participating States (one as lead consortium partner) + 1 entity from IPAAI/ENP,

b) 1 entity from Participating States (lead consortium partner) + 1 International Organisation + 1 entity from IPAAI/ENP,

c) 1 entity from Participating States (lead consortium partner) + 2 entities from IPAAI/ENP.

**Reminder: each Partnership must include at least one entity from a Participating State.**

Reminder: For proposals under the external budget item the benefits of the project have to be generated in one or several IPA II beneficiaries not participating in the UCPM or one or several European Neighbourhood Policy countries not participating in the UCPM. The results must also be relevant for the EU.

*When filling in the application form in the Participant Portal, if your consortium includes an International Organization you might receive a warning concerning eligibility of the consortium. Please disregard this warning, provided that the consortium meets the eligibility conditions described in chapter 5 of the Call Document. Please include in the "explanations" section clarifications that your consortium includes an International Organisation/International Organisations.*

**For UK applicants:** Please note that until the United Kingdom leaves the EU, nothing changes with regard to participation and funding in EU programmes. Please be aware that eligibility criteria must be complied with for the entire duration of the grant. If the United Kingdom withdraws from the EU during the grant period without concluding an agreement with the EU ensuring in particular that British applicants continue to be eligible, you will cease to receive EU funding or be required to leave the project on the basis of the termination provisions.

### Activities

Eligible activities are the ones set out in section 2 above.

Projects must clearly demonstrate that they are complementary to the prevention/preparedness efforts already made in their countries.

Activities should be complementary to and should not overlap with activities financed through the European Neighbourhood Instrument and the Instrument for Pre-Accession Assistance. Projects should not duplicate the projects financed under the UCPM Decision No 1313/2013/EU.

Projects should be complementary and build activities implemented under the [Sendai Framework for Disaster Risk Reduction 2015-2030](#) (among them actions co-financed by the European Agricultural Fund for Rural Development, DG HOME Internal Security Fund, the European Regional Development Fund, the Cohesion Fund, Life+, the ICT Policy Support Programme, the Seventh Research Framework Programme, the Instrument for Pre-Accession Assistance and the European Neighbourhood Instrument).

Projects should take into account the results of projects supported by other EU funding programmes.

The complementarities must be described in the project proposal (Part B of the Proposal Form).

Financial support to third parties is not allowed

#### Duration

Initial duration of the projects may not be longer than 24 months.

## **6. Award criteria**

Admissible and eligible applications will be evaluated and ranked against of the following award criteria:

- Understanding: demonstrate the relevance and impact for the UCPM. Clarity and consistency of project, objectives and planning; extent to which the proposal matches the themes and priorities and objectives of the call (see section 2); and how it contributes to the EU strategic and legislative context and its expected impact (30 points)
- Methodology: technical quality and methodology for implementing the project (concept & methodology, management, procedures, timetable, consortium composition, risks & risk management, monitoring and evaluation); logical links between the identified problems, needs and solutions; feasibility of the project within the proposed time frame (20 points)
- Cost effectiveness: the proposed budget is sufficient/appropriate for proper implementation; best value for money (taking into account project design, budget and expected results and deliverables) (20 points)
- European added value: European/trans-national dimension of the project; impact/interest for a number of eligible countries: possibility to transfer and use the results in other countries; potential to develop mutual trust/cross-border cooperation Sustainability and long-term impact: long-term impact of results on target groups/general public; sustainability of results after EU funding ends; appropriate

dissemination strategy for ensuring sustainability and long-term impact (30 points)

Maximum points: 100 points.

Individual threshold: 50% per criterion

Overall threshold: 70 points.

Applications that pass both individual and overall thresholds will be considered for funding — within the limits of the available call budget.

Other applications will be rejected.

## **7. Other conditions**

### Financial capacity

All project participants must have stable and sufficient resources to successfully implement the project and contribute their share. Organisations participating in several projects must have sufficient capacity to implement several projects.

The financial capacity check will be done by us on the basis of the documents you will be requested to upload in the Beneficiary Register (profit and loss account and balance sheet for the last two closed financial years, or for newly created entities possibly the business plan; for applicants requesting more than EUR 750 000: audit report produced by an approved external auditor, certifying the accounts for the last closed financial year).

The analysis will take into account elements such as dependency on EU funding and deficit and revenue in previous years.

It will normally be done for all applicants, except:

- Public bodies (entities established as public body under national law, including local, regional or national authorities) or international organisations
- If the requested grant amount is not more than EUR 60 000 (low-value grant).

If needed, it may also be done for linked third parties.

If we consider that your financial capacity is not satisfactory, we may require:

- Further information
- An enhanced financial responsibility regime, i.e. full joint and several responsibility for all applicants (*see below, section 9*)
- Pre-financing paid in instalments
- (one or more) pre-financing guarantees (*see below, section 9*)

Or

- Propose no pre-financing
- Reject your participation or, if needed, the entire application.

### Operational capacity

All participants must have the know-how and qualifications to successfully implement the project (including sufficient experience in EU/trans-national projects of comparable size).

This capacity will be assessed on the basis of the experience of the applicants and their staff.

Applicants will have to show this via the following information in the Proposal Form (Part B):

- General profiles (qualifications and experiences) of the staff responsible for managing and implementing the project
- A description of the consortium participants
- The applicants' activity reports of last year
- A list of EU funded actions/projects for the last 4 years.

### Exclusion

Applicants that are subject to an EU administrative sanction (i.e. exclusion or financial penalty decision)<sup>12</sup> or in one of the following situations<sup>13</sup> are excluded from receiving EU grants and will automatically be rejected:

- Bankruptcy, winding up, affairs administered by the courts, arrangement with creditors, suspended business activities or other similar procedures under national law (including persons with unlimited liability for the applicant's debts)
- Declared in breach of social security or tax obligations by a final judgment or decision (including persons with unlimited liability for the applicant's debts)
- Found guilty of grave professional misconduct<sup>14</sup> by a final judgment or decision (including persons having powers of representation, decision-making or control)
- Convicted of fraud, corruption, involvement in a criminal organisation, money laundering, terrorism-related crimes (including terrorism financing), child labour or human trafficking (including persons having powers of representation, decision-making or control)
- Shown significant deficiencies in complying with main obligations under an EU procurement contract, grant agreement or grant decision (including persons having powers of representation, decision-making or control)
- Found guilty of irregularities within the meaning of Article 1(2) of Regulation No [2988/95](#) (including persons having powers of representation, decision-making or control).

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<sup>12</sup> See Articles 131(4) and 106(1) EU Financial Regulation No [966/2012](#).

<sup>13</sup> See Articles 131(4), 106(1) and 107 EU Financial Regulation No [966/2012](#).

<sup>14</sup> Professional misconduct includes: violation of ethical standards of the profession, wrongful conduct with impact on professional credibility, false declarations/misrepresentation of information, participation in a cartel or other agreement distorting competition, violation of IPR, attempting to influence decision-making processes or obtain confidential information from public authorities to gain advantage.



Applicants will also be rejected if it turns out during the grant award procedure that they:

- Misrepresented information required as a condition for participating in the grant award procedure or failed to supply that information
- Were previously involved in the preparation of grant award documents where this entails a distortion of competition that cannot be remedied otherwise (conflict of interest).

 **IMPORTANT**

- **Coordinator & consortium** — The coordinator represents the consortium towards the EU. You must have agreement of the other members and their mandate to act on their behalf and will have to confirm this in your application. Moreover you will have to declare that the information in the proposal is correct and complete and that all participants comply with the conditions for receiving funding (especially, eligibility, financial and operational capacity, no exclusion, etc.) and have agreed to participate. Before signing the grant agreement, each participant will have to confirm this again by signing a declaration of honour (DoH). Proposals without full support will be rejected.
- **Linked third parties** — Applicants may participate with linked third parties (i.e. affiliated entities<sup>1</sup>) that receive funding. Linked third parties must comply with all the conditions set out in this call (just like applicants), but they do not sign the grant agreement and do not count towards the minimum eligibility criteria for consortium composition.
- **Subcontractors** — Subcontracting is allowed, but subject to strict limits (see *section 9*).
- **Registration** — All applicants must register in the [Beneficiary Register](#) — before the call deadline — and upload the necessary documents showing legal status and origin. Linked third parties can register later (during grant preparation).
- **Completed/ongoing projects** — Applications for projects that have already been completed will be rejected; applications for projects that have already started will be assessed on a case-by-case basis (in this case, no costs can be reimbursed for activities that took place before proposal submission).
- **Balanced project budget** — Applicants must ensure a balanced project budget and sufficient other resources to implement the project successfully (*e.g. own contributions, income generated by the action, financial contributions from third parties*). You may be requested to lower the estimated costs in the detailed budget table, if they are ineligible or excessive.
- **No profit rule** — Grants may NOT give a profit (i.e. surplus of receipts + EU grant over costs). This will be checked by us at the end of the projects.

- **No double funding** — Any given action may receive only one grant from the EU budget. The project must therefore NOT receive any financial support under any other EU funding programme (including EU funding managed by authorities in EU Member States or other funding bodies, *e.g. Regional Funds, Agricultural Funds, EIB loans, etc.*). Cost items may NOT be declared twice under different EU actions.
- **Combination with EU operating grants** — Combination with EU operating grants is possible if the SGA project remains outside the operating grant work programme and you make sure that cost items are clearly separated in your accounting and NOT declared twice.
- **Multiple applications** — Applicants may submit more than one application for *different* projects under the same call (and be awarded a grant for them).

Organisations may participate in several applications.

BUT: if there are several applications for the *same/very similar* project, only one application will be accepted and evaluated; the applicants will be asked to withdraw one of them (or it will be rejected).

- **Language** — You can submit your proposal in any official EU language. However, for reasons of efficiency, we strongly advise you to use English. If you need the call document in another official EU language, please submit a request within 10 days after call publication (for the contact information, *see section 10*).
- Applications/applicants that do not comply with these criteria will be **rejected**.

## 8. Evaluation & award procedure

This call is subject to the standard submission and evaluation procedure (one-stage submission + one-step evaluation)

Applications will be checked by us for formal requirements (admissibility and eligibility) and will be evaluated against the operational capacity and award criteria and then listed in a ranked list.

Unsuccessful applications will be informed about their evaluation result (*see time-table section 3*).

Successful applications will be invited for grant preparation

### IMPORTANT

- **No commitment for funding** — Invitation to grant preparation does NOT constitute a formal commitment for funding. We will still need to make various legal checks before grant award: legal entity validation, financial capacity, exclusion check etc.
- Grant preparation will involve a **dialogue** in order to fine-tune technical or financial aspects of the project and may require extra information from your side.

## 9. Legal & financial set-up of the grants

If your project is selected for funding, you will be asked to sign a grant agreement.

This grant agreement will set the framework for your grant and its terms and conditions, in particular provisions on deliverables, reporting and payments.

### Starting date & project duration

The project **starting date and duration** will be fixed in your grant agreement (art. 3), based on the date provided in Part B –submission template.

Normally the starting date will be after grant signature.

**Maximum project duration:** 24 months (extensions will be possible for duly justified reasons and with our agreement)

### Maximum grant amount, reimbursement of eligible costs & funding rate

All grant parameters (maximum grant amount, funding rate, total eligible costs etc.) will be fixed in your grant agreement (art. 5).

**Maximum project budget** (maximum requested EU contribution, maximum requested grant amount): EUR 800 000 per proposal. The grant awarded may be lower than the amount requested.

The grant will be a reimbursement of actual costs grant. This means that it will reimburse ONLY certain types of costs (eligible costs) and ONLY those costs you *actually* incurred for your project (NOT the *budgeted* costs).

The costs will be reimbursed at the funding rate fixed in the grant agreement (75%).

EU grants may NOT make a profit. If there is a profit (i.e. surplus of receipts + EU grant over costs), we will deduct it from your final grant amount.

The final grant amount you will receive will therefore depend on a variety of criteria (*actual costs incurred and project income; eligibility; compliance with all the rules under the grant agreement, etc.*).

### Cost eligibility rules

For the **cost eligibility rules**, see the [model grant agreement](#) (art. 6) and the Guide for applicants.

Special cost eligibility rules for this call:

- 7% fixed flat-rate for indirect costs
- Financial support to third parties is not allowed
- For subcontracting going beyond 30% of the total eligible costs, give specific reasons.
- VAT — is not eligible

- Costs for the kick-off meeting (introductory meeting) (*see section 10*) will be eligible as travel costs (3 persons, return ticket to Brussels, accommodation for one night)

### Reporting & payment arrangements

The **reporting and payment** arrangements will be fixed in the grant agreement (art. 15 and 16).

For further details on reporting requirements, see Grant Agreement.

A pre-financing payment corresponding to maximum 70% of the EU grant amount will be transferred to the Coordinator after the signature of the Grant Agreement by both parties and in accordance with its terms.

There will be no interim payments. In addition, depending on the duration of the project, you will be expected to submit progress reports not linked to payments.

At the end of the project, you will be invited to submit a report and we will calculate your final grant amount. If the total of earlier payments is higher than the final grant amount, we will ask you (your coordinator) to pay back the difference (recovery).

### Pre-financing guarantee

If we require a pre-financing guarantee, it will be fixed in your grant agreement (art 16.2). The amount will be fixed by us during grant preparation, and will be equal or lower than the pre-financing for your grant.

The guarantee should be in euro and issued by an approved bank/financial institution established in an EU Member State.

If you are established in a non-EU country and would like to provide a guarantee from a bank/financial institution in that country, please contact us (this may be exceptionally accepted, if it offers equivalent security).

Amounts blocked in bank accounts will NOT be accepted as financial guarantees.

The guarantee is NOT linked to individual consortium members. You are free to organise how the guarantee amount should be provided (by one or several beneficiaries, for the overall amount or several guarantees for partial amounts). The only thing that is important is that the amount we request is covered and the guarantee(s) are sent by the coordinator before the pre-financing (by PP Communication with the PO or Formal Notification).

If agreed with us, the bank guarantee may be replaced by a joint and several guarantee from a third party.

The guarantee will be released at the end of the grant, in accordance with the conditions laid down in the grant agreement.

### Special provisions

**IPR rules:** see [model grant agreement](#) (art. 19)

**Promotion & visibility of EU funding:** see [model grant agreement](#) (art. 22)

### Cost rejection, grant reduction, recovery, suspension & termination

The grant agreement (chapter 6) provides for the measures we may take in case of **breach of contract** (and other violations of law).

### Liability regime for recoveries

The liability regime for recoveries will be set out in your grant agreement (art. 28), i.e. either:

- Limited joint and several liability with individual ceilings — each beneficiary up to *its* maximum grant amount
- Unconditional joint and several liability — each beneficiary up to the maximum grant amount for the *action*

Or

- Individual financial responsibility — each beneficiary only for its debt.

## **10. How to submit an application?**

All applications must be submitted electronically via the Participant Portal Electronic Submission System (accessible via the Call Topic page in the [Funding Opportunities](#) section). Paper submissions are no longer possible.

The **submission process** is explained in the [Participant Portal Online Manual](#) (together with detailed instructions for the IT tool).

Mandatory **annexes & supporting documents** (directly available in the Submission System) for this call:

- Detailed budget table
- Notification Form signed by the competent authority
- CVs of core project team
- Activity report of last year
- [Other annexes].

## **Contact**

For questions on the Participant Portal Submission System, please contact the [IT helpdesk](#).

Non-IT related questions shall be sent to the following email address: [ECHO-CP-P&P@ec.europa.eu](mailto:ECHO-CP-P&P@ec.europa.eu)

Please indicate clearly the reference of the call for proposals (*see call document cover page*).

 **IMPORTANT**

- **Consult** the Call Topic page regularly. We will use it to publish updates and additional information on the call.
- **Don't wait** until the end.  
Questions received later than 7 days before the call deadline cannot be answered.  
We strongly advise you to complete your proposal sufficiently in advance of the deadline, to avoid any last minute technical problems. Any problems due to last minute submissions (*e.g. congestion, etc.*) will be at your risk. The call deadline will NOT be extended.
- Before submitting a proposal, all applicants must be **registered** in the [Beneficiary Register](#) and obtain a participant identification code (PIC) (one for each applicant).
- By submitting their proposal, all applicants **accept**:
  - The terms and conditions of this call (as described in this call document and the documents it refers to)
  - To use the electronic exchange system in accordance with the [Participant Portal Terms & Conditions](#).
- After the call deadline, the proposal is locked and can no longer be changed.
- You may be contacted later on if there is a need to **clarify** certain aspects of your **proposal** or for the correction of clerical mistakes.
- You may be asked to submit **additional documents** later on (*e.g. for the legal entity validation, LEAR appointment and financial capacity check*).
- We intend to organise an **introductory meeting** for successful applicants to discuss project management, administrative and financial aspects and reporting obligations. Participation by the coordinator (persons in charge of project coordination and financial matters) will be mandatory.
- The EU is committed to **transparency**. Each year, information about the grants awarded is published on the [Europa website](#) . This includes:
  - The beneficiaries' names
  - The beneficiaries' addresses
  - The purpose for which the grant was awarded
  - The maximum amount awarded.The publication can exceptionally be waived (on reasoned and duly substantiated request), if there is a risk that the disclosure could jeopardise the rights and freedoms under the EU Charter of Fundamental Rights or harm your commercial interests.
- **Data privacy** — The submission of an application under this call involves the collection, use and processing of personal data (such as name, address and CV). This data will be processed in accordance with Regulation No 45/2001. It will be processed solely for the purpose of evaluating your proposal (and subsequent management of your grant and, if needed, programme monitoring, evaluation and communication). Details are available in the [Participant Portal Privacy Statement](#).