Call for Proposals

For EU Grants
under the European Maritime and Fisheries Fund

ICT interoperability improvements in Member States to enhance
information sharing for maritime surveillance

Implementation of the Common Information Sharing Environment (CISE): Connection of National IT Systems to National CISE Nodes (Test CISE) and Creation of CISE Nodes for MS not in the Test CISE

EMFF Work Programme 2015
Call for Proposals EASME/EMFF/2015/1.2.1.5
Table of contents

1. INTRODUCTION – BACKGROUND ........................................................................................................... 3
2. OBJECTIVE(S) – THEME(S) – ACTIVITIES............................................................................................... 4
3. TIMETABLE .................................................................................................................................................. 6
4. BUDGET AVAILABLE ................................................................................................................................ 6
5. ADMISSIBILITY REQUIREMENTS ........................................................................................................... 7
6. ELIGIBILITY CRITERIA ................................................................................................................................ 7
   6.1. ELIGIBLE APPLICANTS ........................................................................................................................... 7
   6.2. ELIGIBLE ACTIVITIES ............................................................................................................................. 8
7. EXCLUSION CRITERIA ................................................................................................................................. 9
   7.1. EXCLUSION FROM PARTICIPATION: .......................................................................................................... 9
   7.2. EXCLUSION FROM AWARD: .................................................................................................................. 10
   7.3. SUPPORTING DOCUMENTS ................................................................................................................ 10
8. SELECTION CRITERIA .................................................................................................................................. 10
   8.1. FINANCIAL CAPACITY .......................................................................................................................... 10
9. AWARD CRITERIA ....................................................................................................................................... 11
10. LEGAL COMMITMENTS .......................................................................................................................... 14
11. FINANCIAL PROVISIONS .......................................................................................................................... 14
   11.1. GENERAL PRINCIPLES ......................................................................................................................... 14
   11.2. FUNDING FORM .................................................................................................................................. 16
   11.3. PAYMENT ARRANGEMENTS ................................................................................................................... 19
   11.4. REPORTING ...................................................................................................................................... 19
12. PUBLICITY .................................................................................................................................................. 20
   12.1. BY THE BENEFICIARIES ......................................................................................................................... 20
   12.2. BY THE EASME .................................................................................................................................. 20
13. DATA PROTECTION ................................................................................................................................... 21
14. PROCEDURE FOR ADMINISTRATIVE REVIEW .................................................................................... 21
15. PROCEDURE FOR THE SUBMISSION OF PROPOSALS ......................................................................... 22

ANNEXES
1. INTRODUCTION – BACKGROUND

The Executive Agency for Small and Medium-sized Enterprises, hereafter referred to as "EASME", acting under the powers delegated by the European Commission (also referred as "the Commission"), is launching a call for proposals with a view to concluding grant agreements for the conduction of projects on Interoperability improvements in Member States to enhance information sharing for maritime surveillance.


This call is launched in accordance with the 2015 Work Programme for the Implementation of the European Maritime and Fisheries Fund (EMFF) (section 1.2.1.5. of the annex), on the basis of the objectives set out in the Regulation (EU) No 508/2014 of the European Parliament and of the Council of 15 May 2014 on the European Maritime and Fisheries Fund, and in particular Article 82(b).²

1.2. General information concerning the call for proposals

The action that is covered by this call for proposals forms part of the EMFF Work Programme, whose partial implementation is delegated to the Executive Agency for Small and medium-sized Enterprises (EASME).

According to the Act of Delegation, grant agreements will be signed by EASME.

1.3. Background

Europe has a 70 000 km coastline along two oceans and four seas. The European Union’s (EU) maritime regions account for some 40% of its GDP and population. Europe's well-being, safety and security are therefore inextricably linked with the sea.

Member States carry out many different operational tasks at sea, ranging from border control, maritime safety and security, fisheries control, customs, marine environment protection, general law enforcement to defence. To perform their surveillance and intervention missions, national authorities collect a wide amount of information covering among others, the following fields: ships positions and routes, cargo and crew data, intelligence, imaging, events at sea, positions and capacities of surveillance assets, registries, charts and maps, meteo-oceanic data.

As no authority owns the full picture of what's happening at sea, collaboration is needed at national level as well as EU level to make sure that information collected by one authority and useful for another authority can effectively be shared, hence enabling cost-efficiency and cost-effectiveness of maritime surveillance and operations at sea.

In October 2009, the European Commission set guiding principles on how to achieve better integration of maritime surveillance. Based on these principles, a 'Common Information Sharing Environment for the surveillance of the European Union domain' (Maritime CISE) is currently being developed jointly by the European Commission and the EU Member States, including civilian and military authorities as well as the EU Agencies operating in the maritime field.

The overall objective of Maritime CISE is to facilitate cross-border and cross-sectoral exchange of information between national authorities carrying out surveillance and intervention missions at sea\(^3\) to improve the safety, security and environmental protection of the EU maritime domain.

Initiatives to develop information exchange between EU and national public authorities responsible for different functionalities of maritime surveillance have already been ongoing for some time. Important steps have been taken both at national and Union level. Progress has already been made through several legislative instruments at EU level that put in place systems serving different policy areas and in some cases going beyond one surveillance sector.

In July 2014, the Commission adopted a Communication\(^4\) on the next steps to develop the Common Information Sharing Environment for the EU maritime domain. This Communication identifies as an important area of progress the modernisation of national IT systems’ interoperability to enhance cross-sectoral information sharing within Member States\(^5\).

Following a similar call for proposals launched in 2014, the present call aims at awarding grants for actions implemented by national authorities to improve their ICT systems used for maritime surveillance in order to allow for an increased cross-sectoral and cross-border information sharing.

2. **OBJECTIVE(S) – THEME(S) – ACTIVITIES**

2.1. **General objective**

The objective of the present call is to support Member States in improving the interoperability of maritime surveillance authorities’ information systems to enhance cross-sector and cross-border information exchange to improve the efficiency and effectiveness of national authorities in ensuring safe, secure and environmentally protected seas. This includes the connection of national systems to national CISE nodes and/or setting up such national CISE nodes.

---

\(^3\) Maritime security and safety, customs, border control, general law enforcement, fisheries control, marine environment protection/pollution response and defence.

\(^4\) 'Communication from the Commission to the European Parliament and the Council — Better situational awareness by enhanced cooperation across maritime surveillance authorities: next steps within the Common Information Sharing Environment for the EU maritime domain' (COM(2014) 451 final)

\(^5\) It states that "Member States should in parallel be encouraged to continue to work on modernising their maritime surveillance IT set up, where there is a need, and further enhance information sharing between authorities involved in maritime surveillance".  
2.2. Themes – sectors

Interoperability improvements must involve public authorities carrying out surveillance and intervention missions at sea in the following sectors\textsuperscript{6}: maritime security and safety, customs, border control, general law enforcement, fisheries control, marine environment protection/pollution response and defence.

2.3. Activities

Proposals under this call must cover one or both actions detailed below.

- **ACTION 1 – Preparatory actions**
  Preparatory studies aimed to identify needs and requirements for the improvement of cross-sectoral information exchange for maritime surveillance within and between EU Member States. The activities to be carried out in this context shall cover one or more of the following actions:
  
  o Development of ICT capabilities to improve cross-sectoral and possibly cross-border information sharing;
  
  o Identification of needs in operational centres and in surveillance assets for further cross-sectoral information exchange, at national level and/or across borders within the EU;
  
  o Definition of new information services, based on the CISE Data and Service model, which could be set-up and provided to other sectors at national level and possibly with other Member-States;
  
  o Identification of requirements to facilitate the integration of data available in different ICT systems in a single user interface.

- **ACTION 2 – Interoperability developments\textsuperscript{7}**
  Interoperability developments of legacy ICT systems and/or creation of new capabilities to improve cross-sectoral information exchange for maritime surveillance within and possibly between Member States. ICT interoperability developments shall cover one or more of the following actions:
  
  o The implementation of enhanced information flows/services amongst national authorities from different sectors within Member States and possibly across borders.
  
  o The creation/upgrade of interfaces, based on the CISE Data and Service model, between existing ICT systems to allow for the exchange and re-use of information among national authorities from different sectors and possibly across borders.

---

\textsuperscript{6} The administrative set-up to implement these missions varies in Member-States.

\textsuperscript{7} The actions should not be linked to IT developments derived from existing legal obligations or IT developments funded by other EU actions. The actions should not aim at connecting national systems to EU systems when both serve the purpose of a same user community. The main objective of this call is the enhancement of IT capabilities at national level (see section 6.2).
3. **TIMETABLE**

The indicative timetable for this call for proposals is the following:

<table>
<thead>
<tr>
<th>Stages</th>
<th>Date and time or indicative period</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Publication of the call</td>
<td>December 2015</td>
</tr>
<tr>
<td>b) Deadline for submitting applications</td>
<td>31st March 2016 (in case of hand delivery by 16h00 GMT+1)</td>
</tr>
<tr>
<td>c) Evaluation period</td>
<td>April - June 2016</td>
</tr>
<tr>
<td>d) Information to applicants</td>
<td>July 2016</td>
</tr>
<tr>
<td>e) Signature of grant agreements</td>
<td>September - October 2016</td>
</tr>
<tr>
<td>f) Starting date of the action</td>
<td>November - December 2016</td>
</tr>
<tr>
<td>g) Progress reports by beneficiary</td>
<td>Every six months</td>
</tr>
<tr>
<td>h) Final report by beneficiary</td>
<td>Within 60 days of the end of the project</td>
</tr>
</tbody>
</table>

Projects should not exceed a duration of two years.

4. **BUDGET AVAILABLE**

The total budget earmarked for the co-financing of projects amounts to € 2.538.000. This budget might be increased under exceptional circumstances by up to 20%.

The maximum grant per project shall not exceed:

- 200 000 euros for ACTION 1 – Preparatory actions (section 2.3)
- 300.000 euros for ACTION 2 – Interoperability developments (section 2.3)
- 400 000 euros for projects combining ACTION 1 and 2

EASME expects to fund up to 10 proposals.

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

---

8  At the latest within 6 months of the deadline for submission of applications
9  At the latest within 9 months of the deadline for submission of applications
5. **ADMISSIBILITY REQUIREMENTS**

- Applications must be sent **no later than 31st of March 2016 - by 16:00 GMT+1 in case of hand-delivery.**
- Applications must be submitted in writing (see section 14), using the application form in the Annex.
- Applications must be drafted using one of the EU official languages. Submission in English will facilitate the evaluation process. In case the application is submitted in another EU language than English, a summary in English would facilitate the evaluation process.

Failure to comply with these requirements will lead to the rejection of the application.

6. **ELIGIBILITY CRITERIA**

6.1. **Eligible applicants**

Proposals must be submitted by a consortium of a **minimum of two organisations.** One of these organisations must act as the consortium coordinator, while the other(s) will act as partner(s).

Within this call for proposals, applicants can participate in maximum two different project proposals, regardless whether they apply as coordinator or as partner of the consortium.

The following types of entities are eligible to participate in the call, in accordance with the relevant legal basis and the objectives to be achieved:

- Public authorities (national, regional, local administration) of Member States of the European Union involved in the coordination and/or execution of the following maritime surveillance, control and protection activities at national and/or regional level: maritime security and safety, customs, border control, general law enforcement, fisheries control, marine environment protection/pollution response and defence.

For affiliated entities: Costs incurred by affiliate entities may be eligible if the affiliate entities (i) have a link with the applicant; (ii) they are already foreseen in the proposal. For that purpose, the applicant shall identify such affiliated entities in the application form.

In order to assess the applicants' eligibility, the following supporting documents are requested:

- Public entity: copy of the resolution/law/decreed/decision establishing the entity OR if not available, any other official document attesting the establishment of the entity by the national authorities;
- Affiliated entities shall demonstrate their legal/capital link with applicant.

To be considered as a public entity, the applicants and affiliated entities shall fulfil all of the following criteria:

---

10 Art. 131 FR, 201 RAP
• The entity has been created by a public authority or is governed by private law with a public service mission,
• The public interest of the entity must be explicitly mentioned in the relevant legal or administrative act(s),
• The entity is financed totally or to a large extent (more than 50%) by public sources,
• In the event that the entity stops its activities, all rights and obligations including financial rights and obligations will be transferred to a public authority.

Observers

It is possible for other relevant parties to participate with an observer status, e.g. public authorities or public entities from non EU Member States, relevant EU Agencies\(^{11}\), or other regional or international organisations active in the maritime surveillance area.

Observers will not receive any European Union co-financing and will not join or sign any statements.

Observers shall cover their own expenses (e.g. travel costs for observers are not eligible under this project).

6.2. Eligible activities

Eligible activities must meet the objectives of the call as described in section 2.

If the same consortium applies for actions 1 and 2, as described in section 2.3, then a single application shall be submitted covering both actions.

Proposals must cover at least three of the seven sectors identified in section 2.2 in one or several Member States.

Studies and ICT developments aimed at fulfilling the requirements of any EU legislation for the maritime domain\(^{12}\), activities covered by projects funded under the call MARE/2014/26 "Interoperability improvements in Member States to enhance information sharing for maritime surveillance"\(^{13}\) and activities covered by the FP7 project 'EUCISE 2020'\(^{14}\) are out of the scope of this call.

Applicants who have already benefited from funding under the previous call for proposals (MARE/2014/26) must provide detailed explanations on the complementarity

\(^{11}\) European Defence Agency (EDA), European Environment Agency (EEA), European Fisheries Control Agency (EFCA), European Maritime Safety Agency (EMSA), European Agency for the Management of Operational Cooperation at the External Borders of the Member States of the European Union (FRONTEX) and European Law Enforcement Agency (EUROPOL).

\(^{12}\) Such as Directive 2002/59 on the Community vessel traffic monitoring and information system, Directive 2010/65 on reporting formalities for ships arriving in and/or departing from ports of the Member States, Regulation 1052/2013 establishing the European Border Surveillance System.


and absence of overlap of the new intended action with the action funded under the previous call for proposals.

### 7. Exclusion Criteria

#### 7.1. Exclusion from participation

Applicants will be excluded from participating in this call for proposals if they are in any of the following situations:

(a) they are bankrupt or being wound up, are having their affairs administered by the courts, have entered into an arrangement with creditors, have suspended business activities, are the subject of proceedings concerning those matters, or are in any analogous situation arising from a similar procedure provided for in national legislation or regulations as referred in Art. 106 (1) (a) FR;

(b) they or persons having powers of representation, decision making or control over them have been convicted of an offence concerning their professional conduct by a judgment of a competent authority of a Member State which has the force of res judicata as referred in Art. 106 (1) (b) FR;

(c) they have been guilty of grave professional misconduct proven by any means which the contracting authority can justify including by decisions of the EIB and international organisations;

(d) they are not in compliance with their obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which they are established or with those of the country of the RAO or those of the country where the grant agreement is to be performed as referred in Art. 106(1)(d) FR;

(e) they or persons having powers of representation, decision making or control over them have been the subject of a judgment which has the force of res judicata for fraud, corruption, involvement in a criminal organisation, money laundering or any other illegal activity, where such an illegal activity is detrimental to the Union's financial interests as referred in Art. 106 (1) (e) FR;

(f) they are currently subject to an administrative penalty referred to in Article 109(1) FR.

The same exclusion criteria apply to affiliated entities.
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 as referred in Art. 107.1 FR;

(b) are guilty of misrepresentation in supplying the information required by the EASME 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.

The same exclusion criteria apply to affiliated entities.

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

7.3. **Supporting documents**¹⁵

Applicants and where relevant, their affiliated entities, 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 FR, filling in the relevant form attached to the application form accompanying the call for proposals. The EASME reserves the right to request evidence of the above.

8. **Selection criteria¹⁶¹⁷**

8.1. **Financial capacity**

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.

However, on the basis of article 131(3) FR and given the eligibility criteria set for applicants under section 6 of this call for proposals, the eligible applicants are considered to have stable and sufficient sources of funding to maintain their activity throughout the period during which the project is being carried out and to participate in its funding.

---

¹⁵ Art. 197 RAP
¹⁶ Art. 132 FR, 202 RAP
¹⁷ The verification of the financial capacity shall not apply to public bodies or international organisations.
8.2. **Operational capacity**\(^{18}\)

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

- Curriculum vitae or description of the profile of the people primarily responsible for managing and implementing the project;
- A description of the technical equipment, tools or facilities and patents at the disposal of the applicant.

9. **AWARD CRITERIA**\(^{19}\)

Eligible applications will be assessed on the basis of the criteria detailed below.

A maximum of 100 points will be awarded for the quality of the proposal. The minimum overall score required is 60 points and the minimum for each criterion is 50% of the points assigned for that criterion.

Since the assessment of the proposals will be based on the quality of the proposed projects, proposals should elaborate on all points addressed by these criteria in order to score as many points as possible. The mere repetition of mandatory requirements set out in these criteria, without going into details or without underlining the added value, will only result in a low score. In addition, if certain requirements are not expressly covered by the proposal, the relevant qualitative award criterion may be given a zero mark, thus leading to the rejection of the proposal.

In order to ensure a clear structure of the project, applicants are requested to divide the actions into work packages, having clear objectives, a clear description of the work to be undertaken, deliverables, milestones, and expected results. In order to be able to measure the results, applications shall include a number of performance indicators allowing to quantify progress against the baseline set at the start of the project.

The criteria for the assessment of the projects are:

9.1. **Relevance and coherence (minimum required 20 points - maximum 40 points)**

- Objectives and scope (maximum 10 points)

Applicants should clearly demonstrate how the proposed action meets the objective described under Section 2. The scope of the project should comprise a description of the starting point of the work, an analysis of the limitations to overcome, and the target state. Applicants should describe the global strategy associated to the proposal and how the proposed project will contribute to the development of CISE.

\(^{18}\) Art. 131 FR, 202 RAP.
\(^{19}\) Art. 132 FR, 203 RAP
Maritime surveillance sectors covered (maximum 10 points)

As mentioned under section 6.2, a proposal must cover at least three of the seven sectors identified in section 2.2 either in one or in several Member States. Points will be awarded as follows:

- 3 sectors: 5 points
- 4 sectors: 6 points
- 5 sectors and more: 7 points
- Cross-border cooperation: 3 extra points

Applicants shall provide the list of sectors involved in the project and, if applicable, the description (1 page maximum) of the legacy ICT systems used by these sectors.

Uptake of CISE interoperability solutions (maximum 10 points)

The proposed action shall reuse the CISE interoperability solutions, i.e. CISE data and service model. If the CISE solutions developed so far do not support the envisaged information exchange, the participants shall explain why and provide explanations on the proposed alternative solutions.

Consistency and complementarity with existing EU and regional information exchange systems (maximum 10 points)

Projects shall take due account of the existing EU information-exchange systems used in the maritime area to avoid any duplication or incoherence. Explanations must be provided on the consistency and complementarity of the proposal with at least the following information-exchange systems:

- The implementation at national level of the EU Vessel Traffic Monitoring and Information System\(^{21}\), the National Single Windows for ship's reporting formalities\(^{22}\), the IMDatE interface\(^{23}\);
- The European external border surveillance system (EUROSUR)\(^{24}\);
- The Common Emergency Communication and Information System (CECIS)\(^{25}\);
- The Secure Information Exchange Network Application (SIENA)\(^{26}\);
- The FLUX Transport Layer\(^{27}\) and UN/CEFACT FLUX standard messages for fisheries data exchange\(^{28}\);
- The MARSUR network\(^{29}\).

---

\(^{20}\) i.e. maritime security and safety, customs, border control, general law enforcement, fisheries control, marine environment protection/pollution response, defence.


\(^{26}\) [https://www.europol.europa.eu/content/page/siena-1849](https://www.europol.europa.eu/content/page/siena-1849)

\(^{27}\) [https://circabc.europa.eu/w/browse/d96047e4-42a0-4f31-a0b7-fbfe05cdebf3](https://circabc.europa.eu/w/browse/d96047e4-42a0-4f31-a0b7-fbfe05cdebf3)

\(^{28}\) [http://www1.unece.org/cefact/platform/display/CNP/Electronic+Interchange+of+fisheries+catch+data](http://www1.unece.org/cefact/platform/display/CNP/Electronic+Interchange+of+fisheries+catch+data)
- The EU central and national customs IT systems, as existing and envisaged in the framework of the eCustoms initiative\(^{30}\).

9.2. **Operational added-value and innovation (minimum required 10 points - maximum 20 points)**

   - **Scope of automatic system to system data exchange: (maximum 10 points)**

   The breadth of the data-exchanges which will be considered by the proposal is an important element to characterize the added-value of the intended action. Points awarded will be proportionate to the number of core data entities (defined by the CISE data model) covered by preparatory studies (action 1) or ICT developments (action 2). To this end, section 4 of the application form shall be filled by applicants.

   Points will be awarded as follows:

   Maximum 8 points proportionate to the number of core data entities covered by the study and/or data entities exchange enabled by the ICT developments. 2 extra points will be awarded if two way civilian and military data exchange is covered by the study and/or enabled by the ICT developments. If applicable, the type of classification (unclassified, restricted, etc.) of the civil/military exchanged data shall be specified.

   - **Justification of the expected added-value (maximum 10 points)**

   Detailed explanations shall be provided on the impact of the action on the improvement of efficiency and effectiveness of national authorities to perform their tasks. Applicants shall describe, providing concrete examples based on operational situations, how the action will enable national authorities to better perform their missions compared to the initial situation. In addition, the sustainability of the action results after the end of the project must be ensured and properly justified.

9.3. **Methodology (minimum required 10 points - maximum 20 points)**

Applicants should demonstrate the rationale of the proposed methodology and organisation (including the timetable\(^{31}\), structure in work packages\(^{32}\) and monitoring).

The expected results of the project should be clearly described and they should be quantifiable and measurable. The proposal should indicate how the results can be measured (i.e. which indicators and sources can be used to measure the results, also after the end of the project). The proposal includes a risk management plan with identification of potential risks, risk prevention and mitigation measures for each work package.

---

\(^{29}\) [https://www.eda.europa.eu/what-we-do/activities/activities-search/maritime-surveillance-(marsur)]


\(^{31}\) (Gantt Chart or equivalent) showing the progress of each work package including timetable of deliverables

\(^{32}\) Description should include the lead partner, a list of all partners taking part to this work package, the description of the objectives, of the tasks, the outcomes, the timing.
9.4. **Project Management (minimum required 10 points - maximum 20 points)**

Applicants should demonstrate how the proposed organisation and management structure will ensure to achieve the required quality, anticipate and manage risks and meet the deadlines within the established budget. This includes:

- an appropriate coordination mechanism amongst the consortium members and a clear identification of their roles and responsibilities in the project
- an efficient management structure, involving staff with the necessary competences;
- a clear and appropriate allocation of tasks and resources to be committed\(^{33}\) in view of reaching the project objectives and outputs.

The EASME may call upon external experts in support of the assessment of the proposals.

**10. LEGAL COMMITMENTS\(^{34}\)**

In the event of a grant awarded by the EASME, a grant agreement, drawn up in euro and detailing the conditions and level of funding, will be sent to the coordinator, 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 coordinator of the consortium (hereafter "the beneficiary") and returned to the EASME immediately. The EASME will sign it last.

**11. FINANCIAL PROVISIONS**

11.1. **General Principles**

a) **Non-cumulative award\(^{35}\)**

An action 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.\(^{36}\)

b) **Non-retroactivity\(^{37}\)**

No grant may be awarded retrospectively for actions already completed.

---

\(^{33}\) It should present the staff effort expressed as percentage of total effort of project and person-months

\(^{34}\) Art. 121 FR, 174 RAP.

\(^{35}\) Art. 129 FR

\(^{36}\) Art. 196.4 RAP.

\(^{37}\) Art. 130 FR
A grant may be awarded for an action which has already begun only where the applicant can demonstrate the need to start the action before the grant agreement is signed or the grant decision is notified.

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**

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

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

- the beneficiary's own resources,
- income generated by the action,
- financial contributions from third parties.

d) **Balanced budget**

The estimated budget of the action is to be attached to the application form. It must have revenue and expenditure in balance. A model of a budget overview can be found in Annex of the application form.

The budget must be drawn up in euros.


e) **Implementation contracts/subcontracting**

Where the implementation of the action 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.

Entities acting in their capacity of contracting authorities in the meaning of Directive 2004/18/EC or contracting entities in the meaning of Directive 2004/17/EC shall abide by the applicable national public procurement rules.

Sub-contracting, i.e. the externalisation of specific tasks or activities which form part of the action 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 action and shall not exceed 40% of the total eligible budget save in duly justified cases;

---

38 Art. 125 FR, 183 RAP.
39 Art. 196.2 RAP
40 Art. 137 FR, 209 RAP
41 Directive 2004/18/EC on the coordination of procedures for the award of public work contracts, public supply contracts and public service contracts.
42 Directive 2004/17/EC coordinating the procurement procedures of entities operating in the water, energy, transport and postal services sectors.
• it must be justified having regard to the nature of the action and what is necessary for its implementation;
• it must be clearly stated in the proposal.

The grant beneficiary has the possibility to award contracts to provide services or to assist in the implementation of certain limited activities.

The term “subcontracts” is applied to expenses paid by the beneficiary on the basis of:

• Contracts, and
• Invoices/request for reimbursement to external service providers who carry out certain tasks or assist in the implementation of certain limited activities for the project because the beneficiary lacks the resources or expertise to carry them out.

f) Financial support to third parties

Financial support to third parties is not an eligible expenditure.

11.2. Funding form

➢ Form of the grant

Funding takes the form of mixed financing.

Mixed financing grants are calculated on the basis of a detailed estimated budget indicating clearly the costs that are eligible for EU funding. The grant amount may neither exceed the eligible costs nor the amount requested. Amounts are indicated in euros.

➢ Maximum amount requested

The EU grant is limited to a maximum co-funding rate of 80% of eligible costs actually incurred and cannot exceed the limits defined in section 4.

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

➢ Contributions in kind

In-kind contributions are not an eligible cost under this action.

➢ Eligible costs

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

a) they are incurred during the duration of the action, with the exception of costs relating to final reports;

---

43 Art. 123 FR, 181 RAP.
44 Art. 127 FR.
45 Cost items such as those referred to in the section below on Eligible cost (e.g. salary cost) are not considered as contributions in kind.
46 Art. 126 FR
b) The period of eligibility of costs will be defined in the grant agreement. If a beneficiary can demonstrate the need to start the action 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).

c) They are indicated in the estimated budget of the action;

d) They are necessary for the implementation of the action;

e) 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;

f) They comply with the requirements of applicable tax and social legislation;

g) They are reasonable, justified, and comply with the requirements of sound financial management, in particular regarding economy and efficiency.

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

The same criteria apply to the affiliated entities.

**Eligible direct costs**

The eligible direct costs for the action 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 action and which can therefore be booked to it directly:

- The costs of personnel working under an employment contract with the applicant or equivalent appointing act and assigned to the action, 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. For the calculation of costs of personnel, the calculation sheet is provided in the annex VI of the model grant agreement;

- 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 action/project and the rate of actual use for the purposes of the action may be taken into account;
• costs entailed by subcontracting awarded by the beneficiaries for the purposes of carrying out the action/project, provided that the conditions laid down in the grant agreement are met;

• costs arising directly from requirements linked to the implementation of the action/project (dissemination of information, specific evaluation of the action, translations, reproduction);

• value added tax (VAT) in relation to eligible direct costs where it is not recoverable/deductible by the beneficiary.

**Eligible indirect costs (overheads)**

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

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

➢ **Ineligible costs**

• Acquisition or chartering of assets and surveillance capabilities (e.g. vessels, aircrafts, RPAS, cameras, radars, satellites, sensors);

• return on capital;

• debt and debt service charges;

• provisions for losses or debts;

• interest owed;

• doubtful debts;

• exchange losses;

• costs of transfers charged by the bank of a beneficiary;

• costs declared by a beneficiary and covered by another action receiving a European Union grant. In particular, indirect costs shall not be eligible under a grant for an action awarded to a beneficiary who already receives an operating grant financed from the Union budget during the period in question;

• contributions in kind from third parties;

• excessive or reckless expenditure;

• deductible VAT (N.B. VAT is eligible where provided by the relevant articles of the FR⁴⁷).

---

⁴⁷ Article 126(3)(c) of the FR
Calculation of the final grant amount

The final amount of the grant to be awarded to the beneficiary is established after completion of the action, upon approval of the request for payment containing the following documents\(^{48}\), including relevant supporting documents where appropriate:

- a final report providing details of the implementation and results of the action;
- a 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 action 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 EASME 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 action.

11.3. Payment arrangements\(^{49}\)

11.3.1. Pre-financing payment

A pre-financing payment\(^{50}\) corresponding to 60% of the maximum grant amount will be transferred to the beneficiary within 30\(^{51}\) days of the date when the last of the two parties signs the agreement.

11.3.2. Final payment

The amount of the final payment to be made to the beneficiary will be established on the basis of the calculation of the final grant amount. If the total of earlier payments received is higher than the final grant amount, the beneficiary will be required to reimburse the amount paid in excess through a recovery order\(^{52}\).

11.4. Reporting

11.4.1. Reporting periods

Progress reports shall be submitted every six months. They shall explain the progress made on the milestones provided for by the grant agreement. Progress reports are requested for project monitoring purposes and do not result in any payment.

At the end of the project, each beneficiary shall submit a final report, including an executive summary, detailing all the actions done, the outputs delivered and the final results achieved. The report shall also include conclusions and recommendations for next steps in improving authorities’ maritime surveillance interoperability, lessons learned and details on cost. The payment of the balance will be made on the basis of the final technical and financial statements.

\(^{48}\) Art. 135 FR
\(^{49}\) Art. 90, 135 FR, 207 RAP.
\(^{50}\) Art. 109, 110 RAP
\(^{51}\) Art. 92 FR
\(^{52}\) Art. 109, 110 RAP
11.4.2. Reporting format and deadline

Progress reports shall be submitted to the EASME in electronic format within 15 days of the end of the semester to which the progress report relates.

The final report shall be sent to the EASME in electronic and paper format within 60 days of the end date of the project as specified in the grant agreement. The final payment will be based on the approval of the final report and the financial statement. The final report shall not exceed 50 pages and shall be written in English.

12. Publicity

12.1. By the beneficiaries

Beneficiaries and their affiliated entities 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 and their affiliated entities are required to give prominence to the name and emblem of the European Commission and EASME on all their publications, posters, programmes and other products realised under the co-financed project.

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

12.2. By the EASME

With the exception of scholarships paid to natural persons and other direct support paid to natural persons in most need, 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 EASME will publish the following information:

- name of the beneficiary
- address of the beneficiary when the latter is a legal person, region when the beneficiary is a natural person, as defined on NUTS 2 level if he/she is domiciled within EU or equivalent if domiciled outside EU,
- subject of the grant,
- amount awarded.

Upon a reasoned and duly substantiated request by beneficiaries, 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.

---

53 Art. 35, 128.3 FR, 21, 191 RAP
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 EU 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 EASME. Details concerning the processing of personal data are available on the privacy statement at: http://ec.europa.eu/easme/sites/easme-site/files/privacy-statement-calls-EASME.pdf

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:


or


14. **PROCEDURE FOR ADMINISTRATIVE REVIEW**

14.1. **Evaluation Review procedure**

Unsuccessful applicants may request the review of the evaluation procedure of their proposals within one month after the dispatch of the communication to the applicants of the evaluation results. In case of proposals submitted on behalf of a consortium of applicants, the request must be raised by the coordinator.

The scope of the review will be limited to procedural aspects of the evaluation which includes procedural errors, factual errors, and manifest errors of assessment of the evaluation.

An internal Review Committee will be convened to examine each case. It is out of the scope of the Committee to review the merits of the proposal. The role of the Committee is neither to call into question the judgement of appropriately qualified experts and therefore it does not cover assessment by these experts with relation to the evaluation criteria.

The Committee provides specialist opinions on the implementation of the evaluation process on the basis of all the available information related to the proposal and its evaluation in the form of a report with recommendations on line of action for each request. In the light of its review, the Committee will recommend a course of action to the responsible authorising officer. Three recommendations are foreseen: (i) that the
complaint is rejected as unfounded; (ii) that the complaint is upheld but the problem concerned did not jeopardise the decision whether or not to fund the proposal; (iii) that the complaint is upheld and a re-evaluation is recommended.

In all cases, a reply will be sent to the applicant within two weeks (ten working days) of the date of reception of the request for review. The Committee shall inform the applicant about the result of the evaluation review at the latest 2 months after the meeting of the Committee.

14.2. Admissibility and Eligibility Review procedure

Any unsuccessful applicant may request a review within 30 days from the date of the rejection letter by the Agency. The rejection letter shall indicate the means for submission of the request for review.

Complaints on failed submission proposals due to an online submission system fault have to be submitted through the IT Helpdesk within 4 calendar days from the call closure date.

The scope of the review will be limited to assess the fulfilment of either admissibility or eligibility criteria as laid down in the call for proposals.

An internal Admissibility and Eligibility Review Committee will be convened to examine each case. The Committee provides specialist opinions in the form of a report with recommendations on line of action for each request. In the light of its review, the Committee will recommend a course of action to the responsible authorising officer. Three recommendations are foreseen: (i) that the complaint is not eligible for admissibility/eligibility review; (ii) that the complaint is rejected as unfounded; (iii) that the complaint is founded, which may lead to the evaluation of the proposals/the participation in the action."

15.  Procedure for the Submission of Proposals

Proposals must be submitted in accordance with the formal requirements and by the deadline set out under section 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 EASME may contact the applicant for this purpose during the evaluation process55.

Applicants will be informed in writing about the results of the selection process.56

Application form is available in annex 1. The application form, annexes and relevant documents can be found at:


55 Art. 96 FR
56 Art. 133 FR, 205 RAP
Submission on paper

The application shall be submitted on the correct form, duly completed, dated, showing a balanced budget (revenue/expenditure), submitted in 2 copies (one original clearly identified as such, plus 1 copy), and signed by the person authorised to enter into legally binding commitments on behalf of the coordinator organisation. Before submission, please make sure to carefully check annex 1a of the application form, which provides the checklist of all documents to be submitted with the application.

Where applicable, all additional information considered necessary by the applicant can be included on separate sheets.

The paper version of the application will legally constitute the application. The envelope of the paper version must clearly state the reference of the Call (EASME/EMFF/2015/1.2.1.5) and for which action(s) the proposal applies. It must be submitted in a sealed envelope and must be either:

- sent by registered mail, posted or dispatched no later than 31st of March 2016 to the address indicated below:
  
  Post:
  European Commission
  EASME
  Ref.: EASME/EMFF/2015/1.2.1.5
  Unit A3 – EMFF
  Madou
  Place Madou, 1
  B-1210 - Saint-Josse-Ten-Noode, Brussels
  
  In this case, the evidence of the date of dispatch shall be constituted by the postmark.

- delivered by hand (by the applicant in person or by an agent), or sent by courier service, posted or dispatched no later than 31st of March 2016 at 16.00 GMT+1 to the address indicated below:
  
  Hand delivery/Express mail:
  European Commission
  EASME
  Mail Service
  Ref. EASME/EMFF/2015/1.2.1.5
  Avenue du Bourget 1
  B-1140 Brussels
  
  In case of submission by courier service, the evidence of the date of dispatch shall be constituted by the date of dispatch on the deposit slip.

In case of hand delivery by the applicant, a receipt must be obtained as proof of submission, signed and dated by the official in the Commission's central mail department who takes delivery. The department is open from 08.00 to 17.00 from Monday to Thursday, and from 8.00 to 16.00 on Fridays. It is closed on Saturdays, Sundays and Commission holidays.

---

57 Art. 195.3 Rules of Application.
Applications sent by fax or e-mail will not be accepted.

➢ Electronic copy

In addition to the submission on paper, the applicant is requested to submit an electronic copy of the proposal and all its annexes on a CD-ROM or USB-stick in the same envelope as the paper version.

➢ Contacts

Requests for further information shall be sent by e-mail to EASME-EMFF-calls@ec.europa.eu indicating as subject 2015/1.2.1.5 "Implementation of the Common Information Sharing Environment (CISE)"

Such questions, together with their answers, if of a general interest, will be published at:


In addition, important information for the applicants may, if need be, be published on this website. Applicants are thus strongly recommended to consult this website regularly.

➢ Annexes

– Application form58 (with checklist of documents to be provided)
– Model Grant Agreement for multi-beneficiary projects
  – Annex IV to the GA: Mandate
  – Annex III to the GA (Estimated budget of the action)
  – Annex V to the GA: Model technical reports:
    - Progress report (Va)
    - Interim report (Vb): Not applicable
    - Final report (Vc)
  – Annex VI to the GA: Model financial statement
  – Annex VII to the GA: Model terms of reference for the certificate on the financial statements: Not applicable
  – Annex VIII Model terms of reference for the operational verification report: Not applicable
  – Annex IX Model terms of reference for the certificate on the compliance of the cost accounting practices: Not applicable
  – Annex X to the GA: Model Report on the Distribution of the EU Final Financial Contribution

58 Annex I to the GA (Description of the Action) will be the Application as approved by the contracting authority.
➢ Templates to be downloaded and completed

- Legal entity form
  All applicants (Coordinator and partner(s)) must fill in the "Legal entity form" (if they are not already registered as service providers of the Commission) available at the following address:


- Financial information form
  The "Financial identification form" available at the following address shall be completed only by the public authority submitting the application and acting as coordinator of the consortium:


________________________