



**EUROPEAN COMMISSION**

Directorate-General for European Civil Protection and Humanitarian Aid Operations (ECHO)

ECHO.A - Emergency Management  
A/4- Civil Protection Policy

# **UNION CIVIL PROTECTION MECHANISM**

## **CALL FOR PROPOSALS**

### **BUFFER CAPACITIES FOR ADDRESSING TEMPORARY SHORTCOMINGS IN EXTRAORDINARY DISASTERS**

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#### **GRANT APPLICATION GUIDE** 2018 edition

**This guide includes detailed information on the Call for Proposals for Buffer Capacities for addressing temporary shortcomings in extraordinary disasters and advice on how to prepare applications**

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## *PREFACE*

Welcome to the guide for submitting proposals for Buffer Capacities for addressing temporary shortcomings in extraordinary disasters in the framework of the Union Civil Protection Mechanism (Action 2.9 of the Work Programme 2018 – in this guide referred to as WP 2018).

This document has been designed to serve as a guide through the application procedure and the application forms. **Please read it carefully.**

In addition to this guide, you are strongly encouraged to regularly consult the ECHO website: <http://ec.europa.eu/echo/en/funding-evaluations/financing-civil-protection>. The website is updated regularly.

If you cannot find the answer to your question in this guide, do not hesitate to send your questions in writing (preferably by e-mail) to the Civil Protection Policy Unit (ECHO A.4) of the Commission at [ECHO-A4@ec.europa.eu](mailto:ECHO-A4@ec.europa.eu).

Please contact the Commission only after having tried to find the information in this guide, its annexes and the included references. Asking for clarifications has no impact on the final award decision.

Before submitting your application, please do not forget to consult the checklist, which you can find in Chapter 23. Consider also that it will take time to fill in the forms and that all the necessary documents need to be gathered to complete the application. Start filling in the forms promptly so as to be able to comply with the deadline for the submissions of proposals.

This guide is updated every year. You are welcome to share your comments and suggestions on how to further improve the guide by sending an email to [ECHO-A4@ec.europa.eu](mailto:ECHO-A4@ec.europa.eu).

Civil Protection Policy Unit

Directorate-General for European Civil Protection and Humanitarian Aid Operations  
(ECHO)

EUROPEAN COMMISSION

# PART I

## 1. INTRODUCTION

Decision No 1313/2013/EU of the European Parliament and of the Council of 17 December 2013 (hereafter "the Decision") establishes a Union Civil Protection Mechanism, hereafter "the Mechanism". The general objective of the Mechanism is to support, complement, and facilitate coordination of Member States' actions in the field of civil protection and to facilitate rapid and efficient response in the event of disasters or imminent disasters, including European financial assistance for certain prevention, preparedness and response actions.

The protection to be ensured by the Mechanism covers 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 or outside the European Union.

Under Article 11 of the Decision, a European Emergency Response Capacity (hereafter "the EERC") has been established in the form a voluntary pool of pre-committed response capacities of the Participating States. Article 21(2) of the Decision sets out the eligibility for European financial assistance for developing the EERC. Specifically, Article 21(2)(d) of the Decision opens the possibility for European financial assistance to make available capacities, which would contribute to addressing temporary shortcomings of response capacities in extraordinary disaster situations (hereafter "buffer capacities"). The eligibility of European financial assistance for buffer capacities is limited to establishing and managing framework contracts, framework partnership agreements or similar arrangements to address temporary shortcomings in extraordinary disasters.

Furthermore, Article 21(2)(d)(i) of the Decision specifies that the European financial assistance for buffer capacities may cover the costs or fees necessary to design, prepare, negotiate, conclude and manage the contracts or arrangements, as well as the costs of developing standard operating procedures and exercises to ensure the effective use of buffer capacities. Such funding may also cover a maximum of **40%** of the costs of ensuring rapid access to buffer capacities. Article 21(2)(d)(ii) of the Decision specifies that the European financial assistance shall not cover the costs of purchasing or developing new response capacities, nor the cost of operating buffer capacities in a disaster situation. The costs of operating buffer capacities in a disaster situation will be borne by the Participating State(s) requesting the assistance, unless otherwise agreed with the offering State.

Commission Implementing Decision 2014/762/EU of 16 October 2014 (hereafter "the Implementing Decision") lays down rules for the implementation of Decision 1313/2013/EU, including with respect to the financial arrangements for buffer capacities. Particularly relevant is Chapter 7 of the Implementing Decision.

More information on the legal basis can be found on the following web-site:  
<http://ec.europa.eu/echo/en/what/civil-protection/mechanism>.

The call for proposals for buffer capacities shall continue to be implemented in accordance with existing rules. In the event of the adoption of the Commission proposal to amend the Union Civil Protection Mechanism<sup>1</sup>, the Commission will re-assess the situation and existing grants may need to be terminated in accordance with Article II.17 thereof.

## 2. OBJECTIVES – RESULTS – ACTIVITIES - BUDGET

Based on the study commissioned by the European Commission to help inform the choice of buffer capacities and the interest of Participating States for the options proposed, the 2018 work programme identifies as priorities three types of response capacities for the 2018 call for proposals for buffer capacities.

The adopted WP 2018 can be found on the DG ECHO website:

[http://ec.europa.eu/echo/funding-evaluations/financing-civil-protection/calls-for-proposal\\_en](http://ec.europa.eu/echo/funding-evaluations/financing-civil-protection/calls-for-proposal_en)

This Call for Proposals refers to Action 2.9 of the WP 2018 aimed at addressing temporary shortcomings.

The **objective** is to contribute to addressing temporary shortcomings in extraordinary disasters.

The expected **result** is:

To establish stand-by availability of certain response capacities and Participating States<sup>2</sup> rapid access to these capacities, in accordance with Article 21(2) (d) of the Decision.

**Activities** related to the following response capacities are expected:

- Flood Containment
- Remotely Piloted Aircraft Systems
- Aerial forest fire fighting using planes

While the Participating States have the primary responsibility for all phases of disaster management (prevention, preparedness and response), the unpredictability, frequency and intensity of disasters make it necessary to arrange for buffer capacities in addition to the normal national preparedness efforts. In other words, buffer capacities co-financed by the Commission must top-up the existing response capacities that Member States have available as part of their national preparedness, and shall not substitute existing response capacities.

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<sup>1</sup> COM(2017) 772 final, 23.11.2017.

<sup>2</sup> Participating States to the Mechanism include the 28 EU Member States, Iceland, Montenegro, Norway, Serbia, and the former Yugoslav Republic of Macedonia and Turkey.

In the case of the Aerial forest fire fighting using planes module (or equivalent), this response capacity will need to be made available in the EERC only during the critical months of the year (specified under Chapter 5, p. 15).

The response capacities should be strategically positioned to allow for quick and effective deployment to different risk prone areas, mainly inside Europe.

The **expected activities** related to the response capacities may include:

- i. preparatory work on the design, preparation, negotiation, conclusion and management of contracts or arrangements to ensure the stand-by availability of the necessary response capacities;
- ii. development of standard operational procedures and exercises to ensure the effective use of these capacities.

The total **budget** earmarked in WP 2018 (internal budget line) for the co-financing of buffer capacities is EUR 2 000 000. It is intended to cover the full duration of the action (see Part II) and all of the types of costs specified below.

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

The **cost incurred** in implementing the expected activities may include:

- i. Up to a maximum of **40% of the costs of ensuring rapid access**<sup>3</sup> to buffer capacities may be covered through the EU grant. Given the complementary nature of EU grants, at least 60% of the total costs of ensuring rapid access to buffer capacities must be funded from other sources (cost category A). F Form Budget A
- ii. In addition, up to 100% of total costs of designing, preparing, negotiating, concluding and managing the contracts or arrangements, as well as the costs of developing standard **operating procedures and exercises** to ensure the effective use<sup>4</sup> of buffer capacities may be covered under the EU grant (cost category B). F Form Budget B

The cost may not cover the costs of purchasing or developing new response capacities, or the cost of operating these additional capacities in a disaster situation. The costs of operating those additional capacities in a disaster situation must be borne by the Member States requesting the assistance (unless agreed otherwise with the State offering the assistance).

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<sup>3</sup> Costs of ensuring rapid access may include, amongst others: leasing costs during standby; depreciation cost during standby; storage costs during standby; maintenance costs during standby; replenishment costs during standby; personnel costs during standby; any other costs relevant to ensuring continuous 24/7 availability.

<sup>4</sup> Costs may include, amongst others: costs of organising and attending workshops, meetings and trainings (including associated travel, subsistence and salary costs) and consulting costs.

### 3. TIMETABLE

	Stages	Date and time or indicative period
a)	Publication of the call	19/12/2017
b)	Deadline for submitting applications	20/02/2018
c)	Evaluation period	March - April 2018
d)	Information to applicants	April-May- 2018
e)	Signature of grant agreement	May-June 2018
f)	Starting date of the action	Depends on the Buffer Capacity proposed

### 4. BUDGET AVAILABLE

The total budget earmarked in WP 2018 (internal budget line) for the co-financing of buffer capacities is **EUR 2 000 000**.

The total budget is intended to cover the full duration of the action (see Part II) and all of the types of costs specified below.

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



# PART II

## 5. REQUIREMENTS FOR BUFFER CAPACITIES UNDER THIS CALL

Buffer capacities should top-up the existing response capacities that Participating States have available as part of their national preparedness, and should not substitute existing response capacities. Proposals should demonstrate that the proposed buffer capacities satisfy this requirement. To this effect, a Statement (see A11 Form) should be signed and attached as one of the supporting documents to the grant application.

### **Inclusion in the voluntary pool:**

The EU financial contribution shall be conditional upon the acceptance of conditions outlined in the Implementing Decision Article 25(2) – Article 25(9) related to the inclusion of the buffer capacities in the voluntary pool:

- Member States shall make buffer capacities available as part of the voluntary pool.
- Buffer capacities shall meet the necessary quality and certification requirements specified in this call for proposals.
- Buffer capacities shall be registered in the voluntary pool for the full period defined in the relevant framework contracts, framework partnership agreements or similar arrangements<sup>5</sup>. Any conditions and limitations imposed by the Member State(s) registering the capacities shall be duly justified by operational requirements.
- Buffer capacities shall not be eligible for the financial assistance referred to in Article 17 of the Implementing Decision (i.e. adaptation costs).
- The Commission shall immediately inform all Member States through CECIS of buffer capacities registered in the voluntary pool.
- Buffer capacities registered in the voluntary pool shall be available for Union Mechanism deployments under the same general terms<sup>6</sup> as other capacities registered in the voluntary pool, in accordance with Article 11 of the Decision.
- Following a request for assistance through the ERCC, the deployment of buffer capacities registered in the voluntary pool shall follow the operational procedures for the response to disasters outlined in Chapter 11 of the Implementing Decision.

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<sup>5</sup> Applicable where the beneficiary proposes to conclude specific framework contracts, framework partnership agreements or similar arrangements to guarantee access to the relevant buffer capacity.

<sup>6</sup> When providing assistance under the Union Mechanism Member States can benefit from Union financial support for transport resources, which may cover a maximum of 85% of the total eligible cost when the costs relate to the transport of the capacities pre-committed to the voluntary pool in accordance with Article 11 of the Decision.

- Buffer capacities registered in the voluntary pool shall be available for domestic use in the Member State(s) that co-financed the availability of the capacities. Prior to the domestic use, these Member States shall consult with the ERCC to confirm that: (i) there is no simultaneous or imminent extraordinary disaster that may lead to a request for deployment of the buffer capacity; and (ii) the domestic use does not unduly hinder the rapid access of other Member States in the event new extraordinary disasters arise.

In case of simultaneous requests for the buffer capacity, the decision about their use will be taken following consultation between the ERCC and the Participating State(s) making the buffer capacity available, applying the general procedures as for all other capacities registered in the voluntary pool. Specifically, the ERCC will take into account the criteria outlined under Article 35(7) of the Implementing Decision, as well as any other relevant criteria influencing the effectiveness of the intervention, such as the gravity of the situation, the meteorological situation, the geographical terrain.

Proposals should clearly indicate that all of the above conditions are accepted. To this effect, a Statement (see A11 Form) should be signed and attached as one of the supporting documents to the grant application.

### **Technical specifications:**

The proposal should specify which type(s) of response capacity is/are proposed:

- Flood Containment
- Remotely Piloted Aircraft Systems
- Aerial forest fire fighting using planes

The proposal should provide a justification for the suitability of the chosen response capacity for use in various scenarios of extraordinary disasters, its adaptability to a variety of geographic conditions and its ability to benefit other Participating States affected by extraordinary disasters, in particular by extraordinary floods, forest fires and CBRN attacks. In case of any limitations (e.g. geographic, technical) the proposal should clearly explain these and, where appropriate, propose possible mitigating measures.

The proposal shall explain how the response capacity will be made available. For this purpose, the proposal should explain:

- The decision making processes (e.g. how the Participating State(s) making the buffer capacity available will work with the ERCC and the requesting Participating State when the request for assistance and the decision for deployment have been made),
- The deployment procedures (e.g. which activities will need to be undertaken to send the buffer capacity to the requesting Participating State and ensure its return),
- The integration of buffer capacities into the national system (e.g. how the Participating State(s) making the buffer capacity available will ensure it is integrated),
- Lessons learned process (e.g. how the Participating State(s) making the buffer capacity available will take account of lessons learned following the deployment).

### **Flood Containment**

Flood events in Europe have the potential to be extraordinary due to their damaging nature and the anticipated future evolution of their intensity and frequency. Flood containment systems are mobile barriers able to contain flood water or spilled hazardous liquids. These flood containment systems either reinforce existing structures and/or create new barriers to prevent flooding of rivers, basins or waterways with rising water levels.

ERCC data recording on activations of the Mechanism evidences a number of requests by Participating States for flood containment that remained unmet.

The flood containment module defined in Annex II of the Implementing Decision gives indications of possible requirements for such modules.

In addition, two innovative systems have been identified as potential buffer capacities and were specifically considered during the discussions with Member States in the Civil Protection Committee as relevant for the purposes of this Call:

Component based systems are flexible structures that are interlinked with each other and form a solid, watertight barrier. They can take the form of weighted, self-filling plastic containers or metal shields that are enforced with foils/plastic sheets to make them water tight. The advantage is the comparatively low effort and the operational independence of the system.

Tube-based systems are filled with clean or flood water and block water effectively due to the weight of the filled tube. The main advantage is the longer distances that can be covered through the deployment of this system. Evidence of existing 16 km systems was found during the study. The downside compared to component-based systems is that tube-based systems require support technology such as water pumps to fill them, and possibly electric generators to power the water pumps.

For example, any of the following flood containment systems could be proposed:

- Unitary component-based flood barriers with a capacity of at least 2, 5, or 10 km with a minimum height of 90 cm; field of application: to cover distances between existing barriers in urban areas along rivers/coasts.
- Unitary tube-based barriers with a capacity of at least 10, 20, 30, or 50 km with a minimum height of 1 m; field of application: to surround and protect urban structures, villages, cities, etc. from approaching flood water.
- Combination of component- and tube-based systems with capacities of 5 km respectively 10 km or more with a minimum height of 90 cm; field of application: to connect a number of small urban structures in close proximity to each other.
- Regional/national hubs with storehouses for tens or even hundreds of kilometres of mobile flood barriers. Storage of flood containment modules in ready-to-dispatch transport containers.

## **Remotely Piloted Aerial Systems (RPAS)**

The use of RPAS can be effective in improving capacities for data and imagery collection to support better decision making for response in the midst of emergencies and crisis, particularly in dangerous and life-threatening situation, when situation awareness from land is limited, or when operational conditions do not allow the deployment of any other systems.

RPAS can be cost-effective and a safer way in extraordinary disasters, such as fires, floods, earthquakes, tsunamis, wind storms and CBRN(e) disasters. Temporary shortcomings may include in particular situation awareness in (1) assessment missions (e.g. inspection of damaged structure, mapping of affected areas as stand-alone assets or in combination with other aerial devices including satellites), (2) urban search and rescue operations (e.g. providing live optical/thermal video/imagery during operations), and (3) CBRN disasters (e.g. detection of agents).

Buffer RPAS units should be able to execute at least one of the following tasks: (a) provision of accurate orthorectified imagery and digital surface models for rapid mapping purposes; (b) sharp, contrasted, undistorted photos that yield geometric precision and height data; (c) live HD video and thermal imagery during flight time; (d) sampling and assessment in CBRN disasters.

No single RPAS can fulfil the broad range of all possible civil protection tasks for which there are shortcomings today. Therefore, this call covers both multi-RPAS units composed by several types of RPAS (e.g. small and medium size RPAS, rotary and fixed wing) to perform several tasks, or single-RPAS units composed by a single type of RPAS to execute single tasks. It is recommended that each unit is composed by at least two RPAS to allow longer mission and flight time.

The RPAS unit should be able to be deployed within 12 hours of the request for assistance. Both the RPAS and the team manning the unit must have the sufficient resilience and autonomy to provide support to the intervention team during the entire duration of the mission.

The proposal should explain the feasibility of the use of the RPAS also in other Participating States. The explanation should cover regulatory, technical, and organisational feasibility aspects.

### **Aerial forest fire fighting using planes (\*)**

In case of a module: the requirements for an aerial forest fire fighting module using airplanes apply, as outlined in Annex II and Articles 12 and 13 of the Implementing Decision.

In case of an equivalent capacity: the requirements for an aerial forest fire fighting module using airplanes apply, as outlined in Annex II and Articles 12 and 13 of the Implementing Decision. However, the capacity can consist of one or two airplanes with a combined minimum capacity of 5 000 litres.

The proposed module or equivalent capacity shall be capable of carrying out the following types of interventions:

- **Pre-positioning** in appropriate locations to intervene in high forest fire risk areas in Participating States where requests for Mechanism assistance are likely in the following days. Pre-positioning should be completed within a maximum of 24 hours of the request for pre-positioning,
- **Rapid intervention** lasting a maximum of one day and including flight to and from the site where the buffer capacity is positioned (this could be 'home' airport or pre-positioning site),
- **Detachment** lasting several days. Detachment should begin within a maximum of 24 hours following the acceptance of the offer by the requesting State.

**Minimum duration of the action:**

**(\*)Aerial forest fire fighting using planes: this buffer capacity should be available at least from 15/06/18 to 31/10/18. Where necessary, this period may be extended in accordance with the relevant operational conditions.**

All the other buffer capacities should be **available** for the period of at least **one year** between **January 2019 and December 2020**.

The specific period during which the buffer capacities will be available (i.e. stand-by period) must be clearly indicated in the project proposal.

Where necessary, the duration of the implementation period of the action may exceed the duration of the stand-by period.

**Contractual arrangements – contracts with a private market service provider:**

The proposal should demonstrate that the Participating State(s) making the buffer capacity available will be able to guarantee its availability (in case of a contract for buffer capacity with a private market provider) for the duration of the action. Contracts with providers should include appropriate penalties and redress mechanisms for non-compliance, if possible.

The proposal should demonstrate that the possibility to contract additional needs if necessary is available (in case of a contract for buffer capacity with a private market provider).

If already available and applicable, the proposal should also contain a model contract to be used in case of a contract for buffer capacity with a private market provider.

# PART III

## 6. SELECTION OF PROPOSALS

After the proposals have been received by the Commission, an evaluation committee will be appointed, which will evaluate all the proposals against a set of criteria outlined below. First, the proposals must pass the admissibility requirements, then the eligibility criteria, the exclusion criteria, and the selection criteria.

Proposals that meet these requirements and criteria will advance further to the evaluation of the award criteria, in which the proposals will be awarded points. The minimum score required for the proposal to be selected is 70%.

The next chapters will present these criteria, and **it is crucial that the applicants go through these chapters carefully**. Honouring all of these criteria in the proposal is essential to be awarded a grant.

## 7. ADMISSIBILITY REQUIREMENTS

- Applications must be sent no later than the deadline for submitting applications.
- Two copies of the applications must be submitted in writing, accompanied by an electronic copy on USB stick, using the application form available at: <http://ec.europa.eu/echo/en/funding-evaluations/financing-civil-protection/calls-for-proposal>
- Except for dates and signatures, the information on the application forms may not be hand-written. Please note that the links in Forms A8 (Legal entities form) and A9 (financial identification form) lead to web applications that can be typed and printed.
- Applications must be submitted in an official language of the European Union.

However, in order to facilitate assessment by evaluators, an English translation should preferably accompany any proposal written in another language. In such cases, applicants should submit their applications both in hard copy (i.e. paper) and in electronic format in their own language and in English.

Applicants may request a different language version of any document published for this call, which is necessary for responding to the call. However, if such a request is made, the deadline for submission of proposals may have to be postponed until the translation of the requested document has been completed, which might considerably delay the whole process of submission and evaluation of proposals. Please note in this regard that it is of utmost importance that the evaluation and selection process under this Call for Proposals are completed in due time, as otherwise the available budget may be lost (at least partly), being that according to the EU Financial Regulation, budgetary appropriations available for this Call must be committed in 2018.

- All forms must be returned (if a specific form is not applicable, please mark "not applicable" or "N/A" on the form).

- All forms must be signed (where required, the application forms should be completed with dates and signature in such a way that the status and full name of the signatory are clearly identifiable).

**Failure to comply with these admissibility requirements may lead to the rejection of the application.**

## **8. ELIGIBILITY CRITERIA<sup>7</sup>**

### **8.1 Eligible applicants<sup>8</sup>**

No minimum number of entities from different Participating States is set. The Commission will sign either mono-beneficiary or multi-beneficiary grant agreement(s) with applicants selected for co-financing under this Call.

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

(1) Be legal persons.

(2) Belong to one of the following categories: public entities or private entities. Private entities may only be eligible, provided that they have been authorised by the Member State pre-committing the response capacity to the EERC to request and receive financial support from the Commission on behalf of that Member State).<sup>9</sup>

(3) Be established in one of the 28 EU Member States, or in Iceland, Montenegro, Norway, Serbia, former Yugoslav Republic of Macedonia or Turkey.

4) Be directly responsible for the preparation and management of the project with their partners (beneficiaries), i.e. not acting as an intermediary.

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

The coordinator will be the single point of contact for the Commission and will also be the only beneficiary to report directly to the Commission on the action's technical and financial progress. It receives the Union financial contribution and ensures its distribution. The coordinator must be involved in the technical implementation of the project. The coordinator cannot act, in the context of the action, as a sub-contractor to one of its beneficiaries.

**The beneficiary(ies)** must contribute technically to the action and hence be responsible for the implementation of one or several project activities. It cannot act, in the context of

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<sup>7</sup> Art. 131 FR, 201 RAP

<sup>8</sup> The eligibility criteria formulated in Commission notice Nr.2013/C-205/05 (OJEU C-205 of 19/07/2013, pp. 9-11) shall apply for all actions under this Call for proposals, including with respect to third parties referred to in Article 137 of the EU's Financial regulation.

<sup>9</sup> To demonstrate the authorisation, the private applicant entities must submit form A10, duly signed by the relevant Member State. See further details in Chapters 17 and 19.

the action, as a sub-contractor to the coordinator or to other beneficiaries. It must do everything in his power to help the coordinator fulfil its obligations under the grant agreement. In particular, it must provide the coordinator with all the necessary documents and information (technical or financial) required for the reporting to the Commission.

Actions may have up to 3 other types of participants in their implementation and funding:

- affiliated entities,
- co-financer(s) (other than the Union), and
- sub-contractor(s).

In addition, also **entities affiliated to the coordinator/beneficiaries** may take part in the action, provided that they also comply with the eligibility and non-exclusion criteria applicable to other applicants. Affiliated entities are legal entities having a legal or capital link with the coordinator/beneficiaries, which is neither limited to the action nor established for the sole purpose of the implementation of the action. This may include, among others, members of the same association, federation, grouping etc.

In the public sphere, the notion of affiliation covers for example:

- The different levels of the administrative structure in case of decentralised administration (e.g. national, regional or local ministries in case of separate legal entities can be considered as affiliated to the State to avoid interference with the various institutional set-ups in the different Member States);
- A public body established by a public authority to serve an administrative purpose and which is supervised by the public authority. This condition is to be verified on the basis of the statutes or other act establishing the public body. It does not necessarily entail that the public body is financed, in full or part, from the public budget (e.g. national schools for the judiciary or for the police are affiliated to the State).

Such entities may also declare eligible costs and for that purpose, applicants shall identify such affiliated entities in the relevant application forms when submitting the proposal. (For further guidance on this please check chapter 19).

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

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

For **British applicants**: 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 (while continuing, where possible, to participate) or be required to leave the project on the basis of Article II.17 of the grant agreement.



## 8.2 Eligible activities

As stated in chapter 2 of this document, the overarching activity covered by this document is "buffer capacities".

The following response capacities are proposed as priorities under this Call:

- Flood Containment
- Remotely Piloted Aerial Systems (RPAS)
- Aerial forest fire fighting using planes

As detailed in the Work Programme 2018 the expected activities related to response capacities may include:

- iii. preparatory work on the design, preparation, negotiation, conclusion and management of contracts or arrangements to ensure the stand-by availability of the necessary response capacities;
- iv. development of standard operational procedures and exercises to ensure the effective use of these capacities.

In order to be eligible, buffer capacities must satisfy the conditions specified in Chapter 5.

**(\*Aerial forest fire fighting using planes: this buffer capacity should be available at least from 15/06/18 to 31/10/18. Where necessary, this period may be extended in accordance with the relevant operational conditions.**

All other buffer capacities should be available for the period of at least one year **between January 2019 and December 2020**.

The specific period during which the buffer capacities will be available (i.e. stand-by period) must be clearly indicated in the project proposal.

Where necessary, the duration of the implementation period of the action may exceed the duration of the stand-by period.

## 9. EXCLUSION CRITERIA

### 9.1 Exclusion from participation<sup>10</sup>:

Applicant entities will be excluded from participating in the Call for Proposals procedure if they are in any of the following situations:

- (a) the economic operator is bankrupt, subject to insolvency or winding-up procedures, where its assets are being administered by a liquidator or by a court, where it is in an arrangement with creditors, where its business activities are suspended, or where it is

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<sup>10</sup> Article 106 FR

in any analogous situation arising from a similar procedure provided for under national laws or regulations;

- (b) it has been established by a final judgment or a final administrative decision that the economic operator is in breach of its obligations relating to the payment of taxes or social security contributions in accordance with the law of the country in which it is established, with those of the country in which the contracting authority is located or those of the country of the performance of the contract;
- (c) it has been established by a final judgment or a final administrative decision that the economic operator is guilty of grave professional misconduct by having violated applicable laws or regulations or ethical standards of the profession to which the economic operator belongs, or by having engaged in any wrongful conduct which has an impact on its professional credibility where such conduct denotes wrongful intent or gross negligence, including, in particular, any of the following:
  - (i) fraudulently or negligently misrepresenting information required for the verification of the absence of grounds for exclusion or the fulfilment of selection criteria or in the performance of a contract;
  - (ii) entering into agreement with other economic operators with the aim of distorting competition;
  - (iii) violating intellectual property rights;
  - (iv) attempting to influence the decision-making process of the contracting authority during the procurement procedure;
  - (v) attempting to obtain confidential information that may confer upon it undue advantages in the procurement procedure;
- (d) it has been established by a final judgment that the economic operator is guilty of any of the following:
  - (i) fraud, within the meaning of Article 1 of the Convention on the protection of the European Communities' financial interests, drawn up by the Council Act of 26 July 1995 (1);
  - (ii) corruption, as defined in Article 3 of the Convention on the fight against corruption involving officials of the European Communities or officials of Member States of the European Union, drawn up by the Council Act of 26 May 1997 (2), and in Article 2(1) of Council Framework Decision 2003/568/JHA (3), as well as corruption as defined in the law of the country where the contracting authority is located, the country in which the economic operator is established or the country of the performance of the contract;
  - (iii) participation in a criminal organisation, as defined in Article 2 of Council Framework Decision 2008/841/JHA (4);
  - (iv) money laundering or terrorist financing, as defined in Article 1 of Directive 2005/60/EC of the European Parliament and of the Council (5);
  - (v) terrorist-related offences or offences linked to terrorist activities, as defined in Articles 1 and 3 of Council Framework Decision 2002/475/JHA (1), respectively, or inciting, aiding, abetting or

attempting to commit such offences, as referred to in Article 4 of that Decision;

(vi) child labour or other forms of trafficking in human beings as defined in Article 2 of Directive 2011/36/EU of the European Parliament and of the Council (2);

(e) the economic operator has shown significant deficiencies in complying with main obligations in the performance of a contract financed by the budget, which has led to its early termination or to the application of liquidated damages or other contractual penalties, or which has been discovered following checks, audits or investigations by an authorising officer, OLAF or the Court of Auditors;

(f) it has been established by a final judgment or final administrative decision that the economic operator has committed an irregularity within the meaning of Article 1(2) of Council Regulation (EC, Euratom) No 2988/95 (3).

Applicant entities will be excluded from participating in the Call for Proposals also in the following case:

(a) where a person who is a member of the administrative, management or supervisory body of the entity, or who has powers of representation, decision or control with regard to that entity, is in one or more of the situations referred to in points (c) to (f) listed above. Entities will also be excluded where a natural or legal person that assumes unlimited liability for the debts of that entity is in one or more of the situations referred to in points (a) or (b) mentioned above.

## **9.2 Rejection from the award procedure<sup>11</sup>**

Applicants will not be awarded a grant if, in the course of the grant award procedure, they:

(a) are in an exclusion situation established in accordance with Article 106 of the Financial Regulation;

(b) have misrepresented the information required as a condition for participating in the grant award procedure or have failed to supply that information;

(c) have been previously involved in the preparation of grant award documents where this entails a distortion of competition that cannot be remedied otherwise.

The same exclusion criteria apply to affiliated entities.

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

## **9.3 Applicant Declaration<sup>12</sup>**

Applicants must sign a declaration on their honour certifying that they are not in one of the situations referred to in articles 106(1) or 107 and, where applicable, whether they

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<sup>11</sup> Article 107 FR

<sup>12</sup> Art. 131(4) RAP

have taken remedial measures as referred to in point (a) of Article 106(7) of the Financial Regulation of the European Union, filling in the form (A2) attached to the application form.

**In addition to the elements referred in Chapters 9.1, 9.2 and 9.3, a possible exclusion and rejection from participation will be processed in accordance with Article 131(4) of the Financial Regulation.**

## **10 SELECTION CRITERIA<sup>13</sup>**

### **10.1 Financial capacity<sup>14</sup>**

Applicants must have stable and sufficient sources of funding to maintain their activity throughout the period during which the action is carried out or the year for which the grant is awarded and to participate in its funding.

In order to ensure this the Commission will assess individually the financial capacity of each of the beneficiaries against their estimated share of the requested EU grant.

The verification of the financial capacity **shall not apply to** public bodies such as **national, regional and local authorities or international organisations.**

The financial capacity will be assessed on the basis of the following supporting documents to be submitted as part of the Application **by each of the potential beneficiaries:**

- a declaration on honour (Form A2 for the Coordinator and the Beneficiaries),
- the profit and loss account and the balance sheet for the 2 last financial years for which the accounts were closed. For newly created entities, the business plan might replace these documents; (for private companies only)
- the Financial Viability Form provided, filled in with the relevant statutory accounting figures, in order to calculate the ratios as detailed in the form. (for private companies only)

If on the basis of the documents submitted, the Commission considers that financial capacity is not satisfactory, it may:

- request further information;
- propose an enhanced financial responsibility regime, *i.e.* joint and several responsibility without any ceiling per beneficiary, up to the maximum amount of the grant;
- propose a Grant Agreement with a pre-financing paid in instalments;

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

<sup>14</sup> Art. 131, 132 FR, 202 RAP.

- propose a Grant Agreement with a pre-financing covered by a bank guarantee;
- propose a Grant Agreement without pre-financing;
- reject the application.

### **PRE-FINANCING GUARANTEE<sup>15</sup>**

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

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

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

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

### **Financial responsibility**

Within a multi-beneficiary grant, the operational and financial risks may be shared. In line with Article II.26.3.c of the General Conditions, the beneficiaries are jointly and severally liable up to the value of the contribution that the beneficiary held liable is entitled to receive. This contribution is to be indicated in the estimated budget breakdown.

Alternatively, if foreseen in the Grant Agreement, the beneficiaries may be held jointly and severally liable for any amount due to the Commission by any one of them, up to the maximum amount specified in Article I.3 of the Grant Agreement (i.e. joint and several responsibilities without a ceiling per beneficiary). When applicable, the beneficiaries shall also be jointly and severally liable for interest on late payments.

### **10.2 Operational capacity<sup>16</sup>**

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

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<sup>15</sup> Art. 134 FR, 206 RAP.

<sup>16</sup> Art. 131 FR, 202 RAP.

- curriculum vitae or description of the profile of the people primarily responsible for managing and implementing the actions under this Call;
- a list of previous projects and/or activities performed and connected to the actions to be carried out under this Call.
- Annual activities report (for private applicants only).

## 11. AWARD CRITERIA<sup>17</sup>

The award criteria allow the quality of the applications submitted to be evaluated in relation to the set objectives and priorities, and grants to be awarded to projects which maximise the overall effectiveness of the Call for proposals. They enable the selection of applications which the Contracting Authority can be confident will comply with its objectives and priorities.

Eligible applications will be assessed on the basis of the following criteria:

- **Understanding:** clarity and consistency of rationale, objectives and planning. The applicants have fully understood the objectives and strategic and legislative context of the call and have designed the project accordingly;
- **Methodology:** description of ways and means of implementing the project and producing the expected results (background, operating procedures, schedules, constraints, assumptions, risks). Feasibility of the project within the proposed time frame;
- **Cost effectiveness:** the proposed budget is sufficient for proper implementation and the project is designed so as to ensure the best value for money, also taking into account the expected results;
- **European dimension:** the expected results would ensure broad participation of the participating states and serve the interest of a large number of Participating States.

### **1. Understanding (max 25 points)**

This criterion serves to assess whether the applicant has fully understood the objectives of the call and the nature of the project. "Understanding" refers to how well the proposed project addresses the aims and the expected results as stated in chapter 2 of the Guide for applicants. The following sub-criteria will be applied:

#### *1.1) Purpose and objectives*

Is the problem / need that the proposal is supposed to address properly described? Does the applicant demonstrate understanding of the risk and the role and operation of the Mechanism in this context?

#### *1.2) Relevance and consistency*

<sup>17</sup> Art. 132 FR, 203 RAP

Are the activities of the proposal linked with the objectives / priorities specified in chapter 2 of the Guide for applicants?
1.3) <i>Results</i> Does the applicant demonstrate understanding of the nature and role of the buffer capacities? Are the expected results of buffer capacities clearly described?
<b>2. Methodology and feasibility (max 40 points)</b> This criterion serves to assess whether the proposed methods are suitable for proper project implementation and for achieving the requirements for buffer capacities as stated in chapter 5 of the Guide for applicants. The following sub-criteria will be applied:
2.1) <i>Organisational structure</i> Are the proper bodies and procedures in place to secure monitoring, decision making, and control of the progress of the project? Are the decision-taking processes necessary for the deployment of buffer capacities properly explained? Is the communication between the applicant and other beneficiaries, if applicable, and the end provider of buffer capacities explained and appropriate?
2.2) <i>Means for implementation</i> Is it clearly stated how, when and by whom each activity will be undertaken? Are the proposed buffer capacities suitable for the proper implementation and achievement of the objectives? Do proposed buffer capacities meet the requirements outlined in chapter 5 of the Guide for applicants? Have necessary buffer capacities already been secured or are in the process of being secured?
2.3) <i>Project time schedule/planning</i> Given the resources available can the timetable and duration of the project outlined in chapter 5 of the Guide for applicants realistically be respected? Have the reporting obligations to the Commission been included?
2.4) <i>Constraints and quality control measures</i> Are the potential difficulties (constraints) correctly assessed/identified and have sufficient preparations been made to pre-empt them? Have the critical actions for the implementation of the project being identified?
<b>3. Cost effectiveness (max 20 points)</b> This criterion serves to assess whether the proposed budget is suited for proper project implementation and for the expected results. The proposal will be evaluated towards the above criterion by assessing its compliance with the following sub-criteria:
3.1) <i>Rationality and justification</i> Is the proposed budget well-structured and rational? Have all the costs for the project actions been clearly identified and quantified? Is the budget justified?
3.2) <i>Good value for money</i> Are the resources appropriate for the activities, means proposed and the expected results (i.e. is the project cost-efficient?)
<b>4. European added value (max 15 points)</b> This criterion serves to assess whether the proposed project has a European dimension, i.e. the expected result would ensure broad coverage of the Participating States and

serve the interest of more countries participating in the Mechanism. The proposal will be evaluated against the following sub-criteria:

4.1) *Degree of coverage*

Have arrangements been made with other relevant Participating States to facilitate rapid intervention of the buffer capacities? Does the proposal ensure broad coverage of the Participating States and serve the interest of more countries participating in the Mechanism?

### **11.1. Grading system**

A grading system with a maximum of hundred (100) points is used according to the point system above mentioned. The minimum score required for the proposal to be selected is 70%

If the total requested amount of all the pre-selected technically sufficient projects exceeds the total indicative budget available (see chapter 4), the proposals will be ranked according to the total points given to them. The Evaluation Committee will propose that the Authorising Officer selects those projects with higher ranking within the limits of the available budget.

### **11.2. The award decision**

Upon completion of the above procedure, the Authorising Officer will take the final decision on the project proposals to be co-financed, including the respective maximum financial amount and the rate of co-financing granted.

Please note that the Commission reserves the right to award a grant amounting to less than the amount requested by the applicant. However, grants will not be awarded for more than the amount requested in the proposal.

The Commission will co-finance the proposals achieving at least the score required to reach technical sufficiency, within the limits of the overall budget available for this Call for Proposals (see chapter 4).

At this stage the Commission will commit the relevant funds and send a grant agreement to the successful applicants, as described under section 12 below.

## **12. LEGAL COMMITMENTS<sup>18</sup>**

In the event of a grant awarded by the Commission, a grant agreement drawn up in euro, and detailing the conditions and level of funding, will be sent to the coordinator. They will also be notified of the procedure to follow so as to formalise the obligations of the parties. The two copies of the original agreement will be signed (first) by the Commission. The coordinator shall then sign it and shall return the signed copy to the Commission immediately. The grant agreement will enter into force when both parties have signed it.

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<sup>18</sup> Art. 121 FR, 174 RAP.



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

## **13. FINANCIAL PROVISIONS**

### **13.1 General Principles**

a) Non-cumulative award<sup>19</sup>

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 in relation to the same action or part of the action, or for its functioning during the same financial year. They shall also inform the Commission of any other funding received or applied for in relation to the same action.<sup>20</sup>

b) Non-retroactivity<sup>21</sup>

No grant may be awarded retroactively for actions already completed.

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.

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

c) Co-financing<sup>22</sup>

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

Co-financing of the action or of the work programme may take the form of:

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

Co-financing may also take the form of in-kind contributions from third parties, i.e. non-financial resources made available free of charge by third parties to the beneficiary or to the consortium.<sup>23</sup> The corresponding costs are not eligible.

d) Balanced budget<sup>24</sup>

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

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<sup>19</sup> Art. 129 FR

<sup>20</sup> Art. 196.4 RAP.

<sup>21</sup> Art. 130 FR

<sup>22</sup> Art. 125.3 FR, 183 RAP.

<sup>23</sup> Art. 127 FR

<sup>24</sup> Art. 196.2 RAP

The budget must be drawn up in Euro.

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

e) Implementation contracts/subcontracting<sup>25</sup>

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 retaining the documentation for the event of an audit.

Sub-contracting, i.e. the externalisation of specific tasks or activities which form part of the action/work programme 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 may not cover the core tasks of the action;
- 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 project proposal, specifically, it must be clearly mentioned in the T1 form and the related cost must be clearly identifiable in the estimated budget.

### **13.2 Funding forms of grants**<sup>26</sup>

Grants awarded under this Call will take the form of:

- a) eligible cost actually incurred by the beneficiaries, subject to a detailed estimated budget submitted with the proposal and indicating clearly the costs that are eligible for EU funding.
- b) indirect cost declared by the beneficiaries on the basis of a flat rate of up to 7 % of the eligible direct cost and clearly identified in the grant agreement.

Amounts are indicated in euro.

### **13.3 Payment arrangements**

A pre-financing payment<sup>27</sup> corresponding to **60%** of the grant amount will be transferred to the beneficiary within 30<sup>28</sup> days of the date when the Commission receives the agreement signed by both parties, provided all requested guarantees have been received.

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<sup>25</sup> Art. 137 FR, 209 RAP

<sup>26</sup> Art. 123 FR, 181 RAP.

<sup>27</sup> Art. 109, 110 RAP.

<sup>28</sup> Art. 92 FR.

The final payment of **up to 40%** of the EU contribution will be made upon the submission by the coordinator of the final payment request and the supporting documents (the final technical and financial report). It will be based on the final financial statement and the eligible costs of the action calculated by the Commission.

### **13.4 Contributions in kind<sup>29</sup>**

In-kind contributions are non-financial resources made available free of charge by third parties to the beneficiary or to the consortium. The corresponding cost is not eligible.

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

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

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

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

### **13.5 Eligible costs<sup>30</sup>**

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

- ✓ they are incurred during the duration of the action, with the exception of costs relating to final reports and audit certificates;
- ✓ they are indicated in the estimated budget of the action;
- ✓ they are necessary for the implementation of the action;
- ✓ they are identifiable and verifiable, in particular being recorded in the accounting records of the beneficiary and determined according to the applicable accounting standards of the country where the beneficiary is established and according to the usual cost accounting practices of the beneficiary;
- ✓ they comply with the requirements of applicable tax and social legislation;
- ✓ they are reasonable, justified, and comply with the requirements of sound financial management, in particular regarding economy and efficiency.

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

The same criteria apply to the affiliated entities.

#### Eligible direct costs

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<sup>29</sup> Art. 127 FR.

<sup>30</sup> Art. 126 FR

To be eligible, the direct cost of the action must comply with the conditions of eligibility set out above and may include in particular the following:

- the costs of personnel working under an employment contract with the applicant or equivalent appointing act and assigned to the action, provided that these costs are in line with the beneficiary's usual policy on remuneration.

These costs include actual salaries plus social security contributions and other statutory costs included in the remuneration. They may also include additional remunerations, including payments on the basis of supplementary contracts regardless of the nature of those contracts, provided that they are paid in a consistent manner whenever the same kind of work or expertise is required and independently from the source of funding used;

The costs of natural persons working under a contract with the beneficiary other than an employment contract or who are seconded to the beneficiary by a third party against payment may also be included under such personnel costs, provided that the following conditions are fulfilled:

- (i) the person works under conditions similar to those of an employee (in particular regarding the way the work is organised, the tasks that are performed and the premises where they are performed);
- (ii) the result of the work belongs to the beneficiary (unless exceptionally agreed otherwise); and
- (iii) the costs are not significantly different from the costs of staff performing similar tasks under an employment contract with the beneficiary;

- 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 action 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,
- costs of consumables and supplies, provided that they are purchased in line with the applicable procurement procedures and are identifiable and assigned to the action;
- costs entailed by subcontracts awarded by the beneficiaries for the purposes of carrying out the action, provided that the conditions laid down in the grant agreement are met;
- costs arising directly from requirements imposed by the agreement and linked to the implementation of the action (dissemination of information, specific evaluation of the action, translations, reproduction, external audits), including the cost of requested financial guarantees, provided that these are procurement in line with the applicable procurement rules;

- depreciation costs of equipment or other assets (new or second-hand) as recorded in the beneficiary's accounting statements, provided that the asset:
  - (i) is written off in accordance with the international accounting standards and the beneficiary's usual accounting practices; and
  - (ii) has been purchased in accordance with the applicable procurement rules and if the purchase occurred within the implementation period;

The costs of leasing equipment or other assets are also eligible, provided that these costs do not exceed the depreciation costs of similar equipment or assets and are exclusive of any finance fee;

**Only the portion of the equipment's depreciation or lease costs corresponding to the duration of the stand-by period and the rate of actual use for the purposes of the action during that period may be taken into account.**

#### Eligible indirect costs (overheads)

A flat-rate amount of max.7% of the total eligible direct costs of the action is eligible under indirect costs. Indirect costs may not include costs entered under another budget heading.

To be eligible, indirect costs of the action must represent a fair apportionment of the overall overheads of the beneficiary and must comply with the conditions of eligibility set out above.

#### ➤ **Ineligible costs**

In addition to any other costs which do not fulfill the eligibility conditions, the following costs may not be considered eligible:

- return on capital and dividends paid by a beneficiary;
- debt and debt service charges;
- provisions for losses or debts;
- interest owed;
- doubtful debts;
- exchange losses;
- costs of transfers from the Commission charged by the bank of a beneficiary;
- costs declared by the beneficiary under another action receiving a grant financed from the Union budget. Such grants include grants awarded by a Member State and financed from the Union budget and grants awarded by bodies other than the Commission for the purpose of implementing the Union budget. In particular, beneficiaries receiving an operating grant financed by the EU or Euratom budget cannot declare indirect costs for the period(s) covered by the operating grant, unless they can demonstrate that the operating grant does not cover any costs of the action. contributions in kind from third parties;
- excessive or reckless expenditure;
- deductible value added tax ("VAT").

### ➤ 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<sup>31</sup>:

- a final technical report providing details of the implementation and results of the action;
- the financial statement of costs actually incurred including a consolidated statement as well as a breakdown of the amounts declared/requested by each beneficiary and its affiliated entities; and
- where requested in the grant agreement, a certificate on the financial statements and underlying accounts for each beneficiary and for each affiliated entity ('certificate on the financial statements').

EU grants may not have the purpose or effect of producing a profit within the framework of the action for the beneficiaries, unless specified otherwise in the Special Conditions. **Profit shall be defined as a surplus of the receipts of the action over the total eligible costs of the action incurred by the beneficiaries**, when the request is made for payment of the balance. In this respect, where a profit is made, the Commission shall be entitled to deduct/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.

## 14. PUBLICITY

### 14.1 By the beneficiaries

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

**In this respect, beneficiaries are required to give prominence to the name and emblem of the European Union on all their publications, posters, programmes and other products realised under the co-financed action. This includes visibility during standby on the response capacities covered under this Call. Visibility obligations will be reflected in detail in the grant agreement.**

To do this they must use the text, the emblem and the disclaimer available at

<http://www.echo-visibility.eu/standard-visibility/visual-identity/>

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

### 14.2 By the Commission<sup>32</sup>

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

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<sup>31</sup> Art. 135 FR

<sup>32</sup> Art. 35, 128.3 FR, 21, 191 RAP.

The Commission will publish the following information:

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

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

## **15. 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 of the European Parliament and of the Council of 18 December 2000 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data.<sup>33</sup> Unless indicated otherwise, the questions and any personal data requested, are necessary to evaluate the application in accordance with the specifications of the Call for Proposals and will be processed solely for that purpose by the Commission.

Personal data relating to the grant applicants and/or persons who have powers of representation, decision-making or control over them, may be registered in the Early Warning System (EWS) only, or both in the EWS and in the Central Exclusion Database (CED) by the Accounting Officer of the Commission, should the beneficiary be in one of the situations mentioned in:

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

or

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

## **16. PROCEDURE FOR THE SUBMISSION OF PROPOSALS**

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

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 a need to correct clerical

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<sup>33</sup> OJ L 8, 12.1.2001, p. 1.

errors, the Commission may contact the applicant for this purpose during the evaluation process<sup>34</sup>.

Applicants will be informed in writing about the results of the selection process.<sup>35</sup>

➤ Submission on paper

Application forms are available at:

<http://ec.europa.eu/echo/en/funding-evaluations/financing-civil-protection/calls-for-proposal>

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

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

### **16.1 Applicants shall submit proposals**

a) either by post or by courier **no later than 20/02/2018, 23:59** in which case the evidence of the date of dispatch shall be constituted by the postmark or the date of the deposit slip, to

*European Commission  
ECHO A.4 "Civil Protection Policy Unit"  
L-86 04/23  
BE-1049 Brussels*

b) or delivered by hand **no later than 16.00 CET** (receipt by the Central Mail Service of the Commission) **on 20/02/2018, to**

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

The outer envelope must bear the title of the Call for Proposals: "**Call for Proposals for Buffer Capacities for addressing temporary shortcomings in extraordinary disasters in the framework of the Union Civil Protection Mechanism**", and the words "**Not to be opened before the opening session**".

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

➤ Electronic submission

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<sup>34</sup> Art. 96 FR

<sup>35</sup> Art. 133 FR, 205 RAP



Applicants are requested to submit a copy of the application and all annexes in an electronic format such as USB stick, in the envelope together with the paper proposal.

➤ Contacts

Questions of clarification may be sent by email no later than 09/02/2018 to [ECHO-A4@ec.europa.eu](mailto:ECHO-A4@ec.europa.eu).

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

The Commission has no obligation to provide further clarifications after this date. Replies will be given no later than 16/02/2018. In the interest of equal treatment of applicants, the Commission cannot give a prior opinion on the eligibility of an applicant, a partner (a beneficiary), a project or specific activities. Questions that may be relevant to other applicants, together with the answers, will be published on the internet at <http://ec.europa.eu/echo/en/funding-evaluations/financing-civil-protection/calls-for-proposal>. It is therefore highly recommended to regularly consult the above-mentioned website in order to be informed of the question and answers published.

➤ Acknowledgement of receipt

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

Applicants that have not received an acknowledgement of receipt by e-mail within two weeks after the closing date should contact ECHO by e-mail at [ECHO-A4@ec.europa.eu](mailto:ECHO-A4@ec.europa.eu).

## **17. OBLIGATORY DOCUMENTS TO BE ATTACHED TO THE APPLICATION**

Applicants must verify that their application is complete using the Checklist in section 23. Incomplete applications may be rejected.

The following list summarises the necessary obligatory documents:

1. A, T and F forms (Administrative, Technical, Financial)

**In the event of a mono-beneficiary grant:**

- A1, A2a, A4, A6, A7, A8, A9, A10 (for private applicants)
- T1, T2, T3a, T3b.
- F0 to F7.

**In the event of a multi-beneficiary grant:**

Coordinator only:

- A1, A2a, A4, A6 (if applicable), A7, A9, A10 (for private applicants)

- T1, T2, T3a, T3b
- F0 to F7.

Beneficiaries only:

- A2b, A5.

Coordinator and beneficiaries:

- A3, A8, A10 (for private applicants).

## 2. Statement

The coordinator is required to sign the Statement (A11 Form) confirming the acceptance of conditions and compliance with quality requirements for buffer capacities outlined in Part 5.

## **18. SPECIFIC REQUIREMENTS FOR PUBLIC ENTITIES**

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

- 1. The organisation must have been created by a public authority.**
- 2. The internal procedures and accounts must be subjected to scrutiny or control by a public authority.**
- 3. The organisation must be financed totally or to a large extent (i.e. more than 50 %) from public sources.**
- 4. In the event that the organisation ceases its activities, all rights and obligations including financial, must be transferred to a public authority.**

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

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

Please note that proof of compliance with the above criteria may be requested at a later stage. Failure to deliver sufficient evidence will lead to a re-classification from public to private entity.

# PART IV

## 19. SPECIFIC RECOMMENDATIONS FOR EACH APPLICATION FORM

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

<http://ec.europa.eu/echo/en/funding-evaluations/financing-civil-protection/calls-for-proposal>

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

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

- Furthermore, if a form needs to be duplicated, please number each new page of the form sequentially (example Form A5/1, A5/2 etc.).
- Finally, please indicate dates using the format day/month/year.

## 20. PART 1: FORMS A AND T

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

<http://ec.europa.eu/echo/en/funding-evaluations/financing-civil-protection/calls-for-proposal>

- Form A1

The title must not exceed 60 characters.

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

- Forms A2 and A3

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

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

**Signature:** The form must be **signed and dated by the beneficiary/coordinator.**

- Forms A3

**Complete this form carefully! The partnership statement must be signed by all the applicants. The application must contain the originals.**

- Forms A4 and A5

**Short name:** The short name chosen by the participant for this action. This should not be more than 25 characters.

**Country code:** Use the relevant country postal code.

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

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

**Legal status:** Choose Public, See chapter 6.2.

**Legal registration number:** If applicable, please provide the organisation's official national registration number or code in the legal trade register, e.g. the Chambers of Commerce register or the business register.

**Title:** Title commonly used in correspondence with the person in charge of proposal coordination. Example: Mr, Ms, Dr, Prof.

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

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

**Number of employees:** To be provided by the beneficiaries. The figures should relate to the organisation as a whole, not just to the department carrying out the work. Contributions by part-time staff should be converted into the equivalent number of full-time staff — i.e. as full-time equivalents.

**Number of employees in the department carrying out the action:** To be provided by the beneficiaries. The figures should be for the department carrying out the work. Contributions by part-time staff should be converted into the equivalent number of full-time staff, i.e. as full-time equivalents. If not applicable, please write 'N/A'.

**Brief description of the structure and the activities:** Please describe the organisation of the coordinator/ beneficiary, its legal status, its activities and expertise. The description should enable the Commission to evaluate the operational and technical reliability, i.e. to check whether they have the experience and expertise necessary for successful implementation of the action.

**Affiliation:** An entity is affiliated to another entity if it complies with the following cumulative conditions:

- A. It complies with the eligibility and non-exclusion criteria applying to applicants.
- B. It has a structural link with a beneficiary, in particular a legal or capital link. The legal and capital link includes two notions:
  - a. Control, as defined in Directive 2013/34/EU on the annual financial statements, consolidated financial statements and related reports of certain types of undertakings, and
  - b. Membership, *i.e.* the beneficiary is legally defined as a e.g. network, federation, association in which the proposed affiliated entities also participate or the beneficiary participates in the same entity (e.g. network, federation, association) as the proposed affiliated entities.

The structural link referred to in point (b) is neither limited to the action nor established for the sole purpose of its implementation. This means that the link would exist independently of the award of the grant; it should exist before the call for proposals and remain valid after the end of the action.

**Yes — Affiliated:** Please provide the name(s) of the organisation(s) which are affiliated to you and indicate the nature of the structural link:

(a) Control;

(b) Membership.

- Form A5

**Last financial year:** Indicate the year for which the figures in this chapter are provided, e.g. '2015'.

- Form A6

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

- Form A7

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

Applicants frequently underestimate the importance of this form. The Commission pays particular attention to the fact that certain activities may and should be financed through other EU financial instruments. The limited resources of this programme should be used in the most efficient way, avoiding overlaps with other EU financial instruments. Applicants should check this possibility before submitting a request for co-financing. Only if sufficient information is given to demonstrate that the application is directed at the most appropriate EU financial instruments and/or that

the activities proposed are/would not be eligible under such schemes, will the Commission consider the activities proposed for financing.

- Form A8

Form A8 shows a template of the Legal Entities form. Different versions of the form, depending on the legal status of the Coordinator and the country/language, are available on the following website:

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

The link leads to a web application that can be typed into and printed. Complete this form carefully!

The legal entity form should be accompanied by copies of relevant supporting documents, as requested at the bottom of the form itself (available at: [http://ec.europa.eu/budget/contracts\\_grants/info\\_contracts/legal\\_entities/legal\\_entities\\_en.cfm](http://ec.europa.eu/budget/contracts_grants/info_contracts/legal_entities/legal_entities_en.cfm)).

However, Applicant (coordinator) already registered as a Legal Entity in the Commission register does not need to submit the supporting document to this form. This is typically the case when the applicant has directly benefited from EU funding.

- Form A9

Form A9 shows a template of the Financial Identification Form. Different versions of the form, depending on the legal status of the Coordinator and the country/language, are available on the following website:

[http://ec.europa.eu/budget/contracts\\_grants/info\\_contracts/financial\\_id/financial\\_id\\_en.cfm](http://ec.europa.eu/budget/contracts_grants/info_contracts/financial_id/financial_id_en.cfm)

The link leads to a web application that can be typed into and printed. Complete this form carefully! Please note that the bank stamp and signature of its representative are not required if the form is accompanied by a copy of a recent bank statement (not older than 3 months before submission of the grant application). The signature of the account holder is obligatory in all cases.

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

- Form A10

Form A10 is to be submitted by applicants which are private entities.

Private entities may only be eligible under this Call, provided that they have been authorised by the Member State pre-committing the response capacity to the EERC to request and receive financial support from the Commission on behalf of that Member State. Said authorisation must be demonstrated through the submission of the A10 form, duly signed by the person entitled to legally bind the Member state pre-committing the response capacity to the voluntary pool.

- Form A11

The coordinator is required to sign the Statement (A11 Form) confirming the acceptance of conditions and compliance with quality requirements for buffer capacities outlined in Part 5.

- Form T1

This form should provide a summary of your proposal. It will be analysed thoroughly by the evaluation committee. And is therefore an important part of your proposal. It can be used for information purposes within the Commission. It may subsequently be used for communication purposes. Further on, it will be annexed to the Grant Agreement as Annex I – Description of the Action – and will thus be binding.

- Form T2

This form should provide a clear overview of all **tasks** involved in the action with their start and end dates, activities and deliverables (we recommend **limiting the number of tasks to 10**). The task IDs should be listed using capital letters from ‘A’ onwards. Remember to correlate this Form with T1 and the budget for the action.

- Forms T3a and T3 b

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

*Form T3a:*

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

For each task, specify the following, and do **not forget expected results and constraints**.

Task A.1:

Name of Task:

Description (what, how and where): Task breakdown

Reasons why it is necessary:

Who is responsible for implementing it: give breakdown

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

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

*Form T3 b:*

Give deliverables in T3 b — each significant component of the action should conclude with a deliverable which is the concrete output and evidence of the work **with deliverable date and deliverable description of one or two sentences.**

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

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

**This form should also include the dates of delivery to the Commission of the progress report(s) on technical and financial implementation during the action period.** (For further details on reporting requirements, see the Grant Agreement,).

For actions with a duration of **12 months or less**, the beneficiary should deliver **one progress report half-way through the project life-cycle**, counting from the start date of the action specified in Article 2 of the Special Conditions (e.g. for a 12-month- action, the progress report should be delivered before the end of month 6).

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

**Two tasks are compulsory:**

– **TASK MANAGEMENT AND REPORTING TO THE COMMISSION:**

Describe how the action will be organised. Include a brief but clear organisation chart of the technical and administrative staff involved (who, how many, main tasks?). Also indicate how project monitoring and feedback will be organised.

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

– **TASK PUBLICITY**

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

- **Media work.**
- **Organisation of events for the community or for visitors:** e.g. public information meetings, meetings with interest groups, guided tours, etc. Describe exactly what is planned and who the target audience is.
- **Workshops, seminars, conferences:** If a coordinator or beneficiaries are attending, specify which (if known already). If the coordinator/beneficiaries are organising the event, describe exactly what the topic will be, how it contributes to



the objectives, who will be invited (note that the Commission **must be invited** and, whenever possible, beneficiaries implementing or having implemented similar actions should be invited, to encourage networking). Finally, describe the output of each event and how it will be disseminated.

- **Production of brochures, films, etc.** Specify exactly what is planned (subject matter, number of copies, and distribution to whom). The target audience should be precisely defined and justified. Note that all such material must include a clear reference to the EU's financial support in order to be eligible for reimbursement and that one copy of each product must be annexed to the progress/interim report or final report. The beneficiaries of the project should make sure that the ownership of the results of the action, including industrial and intellectual property rights, and of the reports and other documents relating to it, is vested in the beneficiaries themselves. They shall also ensure that they have all the rights to use any pre-existing industrial and intellectual property rights.
- **Technical publications on the action:** If already known, indicate in which journal these are to be published. Such publications must acknowledge the EU's financial support.
- For **on-site related actions** the beneficiary is required to install and maintain notice boards describing the action at strategic places accessible to the public. The EU logo should always appear on them.
- The beneficiary is required to show the main project results (e.g. summary and detailed activity reports, etc.) on newly-created or existing **websites**. The relevant INTERNET web address should be included in the project reports.
- The beneficiary is required to produce a **layman's report** on paper and in electronic format at the end of the action. It must be 5-10 pages long and presented in English and in the language of the beneficiary (optional). Please ensure before printing that the Commission has approved the report.
- **Please take particular care in choosing the technologies, consumables and equipment used to produce awareness-raising material. Environmentally-friendly products/technologies should be favoured.**

## 21. FORMS F

As the project combines 2 different percentages of co-financing (40% and 100%), please note that you are requested to fill in 2 estimated budget tables (separately for A and B costs category). The below instruction applies to both budgets.

The financial section consists of the Financial Statement, which represents the estimated budget for this action. It is available for download as an Excel file under:

[http://ec.europa.eu/echo/funding-evaluations/financing-civil-protection/calls-for-proposal\\_en](http://ec.europa.eu/echo/funding-evaluations/financing-civil-protection/calls-for-proposal_en)

The form should be completed, printed out and inserted into the application.

### *General*

The EU contribution will be calculated on the basis of eligible costs. For information on the different cost categories and on ineligible costs, see Article II.19 of the General Conditions, as well Article I.3.2.a.i of the Grant Agreement.

The submitted budget should be based on a realistic estimate, taking into account previous experience and cost efficient scenarios.

In case of significant amounts, please give a breakdown of the cost and description what the amount consists of.

Each cost reported in the financial statement (in the final report) should be traceable in your accounting system and meet the eligibility criteria established under Article II.19 of the General Conditions.

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

All amounts, where applicable, should be exclusive of VAT. All costs should be in euro and the amounts rounded to the nearest whole euro.

All the financial forms must be clear and concise and give an accurate and detailed description of the planned costs.

Please make sure that the figures appearing in the different forms are coherent.

- Form F0 — Provisional budget

The form is filled in automatically, based on the data provided in forms F1 to F7, except for:

- **Indirect costs/overheads:** Please specify the amount requested. Overheads are eligible as a flat rate up to a maximum of 7% of the total direct eligible costs. They are not eligible for organisations that, at the same time, benefit from an operating grant.

Typically they include:

- General rental costs or depreciation of buildings and equipment,
- Telecommunication and postal fees, heating;
- Water, gas, electricity, etc.;
- Office furniture;
- Supplies and petty office equipment;
- Insurance;
- Costs connected with horizontal services, such as administrative and financial management; human resources; training; documentation; IT, etc.

The flat-rate funding in respect of indirect costs means that at the stage of final reporting the costs do not need to be supported by any accounting documents. However, they have to be explainable in case of control or other EU grant

- **Requested EU contribution:** Please specify the amount of financial contribution requested from the European Commission, providing a breakdown between the cost categories A and B, as described above in Chapter 4.

- Form F1 — Project funding breakdown

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

**Beneficiary No:** Please use the number given in the Beneficiary profiles in the forms **A4** and **A5**.

**Beneficiaries' short name:** As in the forms **A4** and **A5**.

**Total costs of the activities in EUR:** Indicate the total costs of the activities undertaken by the beneficiaries.

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

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

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

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

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

- Notes common to Forms F2 to F6

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

- Form F2 — Personnel costs (only direct costs)

**General** In conformity with article 126 of the Regulation (EU, EURATOM) No 966/2012 of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union, the salary costs of civil servants may be considered only to the extent that they relate to the cost of activities which the relevant public authority would not carry out if the action concerned were not undertaken.

**Type of contract:** Please indicate the exact legal name of the type of contract (permanent staff, temporary, etc.)

The costs of natural persons working under a contract with the beneficiary other than an employment contract or seconded to the beneficiary by a third party against payment may be assimilated to such costs of personnel, provided that the following conditions are fulfilled:

(i) the natural person works under the instructions of the beneficiary and, unless otherwise agreed with the beneficiary, in the premises of the beneficiary;

(ii) the result of the work belongs to the beneficiary; and

(iii) the costs are not significantly different from the costs of staff performing similar tasks under an employment contract with the beneficiary;

The time that each individual spends working on the action must be recorded using time-sheets drawn up and certified by the beneficiary/partner.

**Category:** Please identify each category or grade in a **clear** and **unambiguous manner** to enable the European Commission to monitor the labour resources allocated to the action, analyse cost claims and carry out audits. Examples of staff categories are: project

manager, senior engineer, technician/worker, etc. Where known, please indicate the name of the person. In this case you should use one line per person.

**Annual gross salary:** Please indicate the gross salary or wages plus obligatory social charges but excluding any other costs. The salary for a category may be based on indicative average rates if they fairly reflect the grades working on the action. In either case, the average must reasonably reflect the personnel cost of the action. Please remember that, should your proposal be financed by the Commission, only the real costs (e.g. actual salaries) will be considered as eligible costs of the action. At the final report stage, the above calculation should be based on statutory documents, such as the salary slips and pay roll summary, so that the amounts taken into account for the calculation of the annual staff cost can easily be traced and verified.

**Daily rate:** The daily rate should be calculated on the basis of the annual number of working days according to national legislation, collective agreements, employment contracts, etc. An example for determining the total productive days per year could be as follows (subject to the appropriate legislation):

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

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

$$\frac{\text{Annual gross salary + social charge}}{\text{Total productive days}} \times \begin{matrix} \text{actual days or hours} \\ \text{working on the grant} \end{matrix}$$

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

**Time Registration System:** The purpose of recording the total time (days/hours) worked per employee is to allow the Commission services to verify that the actual rate per time unit is applied (see the model attached to F forms). Timesheets are not mandatory for staff members allocated exclusively to the project. When a staff member works full-time for the organisation, but is allocated only part-time to the project, only the equivalent part of his/her salary is an eligible cost for the project. The completed timesheet for a given month should be signed by the employee and approved by the supervisor in a timely manner.

- Form F3 — Travel and subsistence costs

Please indicate whether the travel and subsistence cost relates either to cost category A or B, as described above in Chapter 4.

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

**Journey:** Specify the country and city of origin and destination, if already known. If applicable, for repeated visits to the project area, write 'project area'.

**Reason for travel:** Specify the reason for travel. Examples: 'dissemination event', 'technical coordination meeting', 'project area visit'.

**Travel costs:** Travel costs will be charged in accordance with the internal rules of the coordinator/beneficiary. Coordinator and beneficiaries should endeavour to travel in the most economical and environmentally friendly way. Please indicate travel unit costs. For this purpose you may also refer to data from previous experience or to quotes from a travel agent.

**Subsistence costs:** These cover hotel costs, meals, sundry expenses, local transport etc. and should be applied according to the internal rules of the coordinator/ beneficiary.

The amounts per country published under:

<https://ec.europa.eu/europeaid/sites/devco/files/perdiem-rate-20150318.pdf>

give an indication of what will be considered as reasonable.

The subsistence costs are eligible on basis of actual amount spent or on the basis of a per diem system. Where one or more of the persons concerned by the common lunch/dinner (or other service that is otherwise included in the "per diem" amount) also receive the per diem amount, this amount must be reduced accordingly (and the relevant financial report should explicitly indicate such cases). Under no circumstances should the relevant amounts be charged to the project twice.

**Do not forget to include in the budget the expenses (travel, accommodation and subsistence) for a one-day meeting in Brussels, for the action launch (kick off meeting).**

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

- Form F4 — Equipment costs

Please be aware that buying new equipment for the activities of this project is not foreseen, but if an applicant duly justifies that the purchase is the best possible option, only depreciation may constitute an eligible cost and not the full purchase price.

**Supplier/procedure:** Specify the legal name of the supplier (if already known). Specify the procedure followed or planned for selecting the supplier, e.g. ‘public tender’, ‘direct treaty’, ‘framework agreement’, etc.

Sub-contracts by a ‘public’ beneficiary must be awarded in accordance with the applicable rules on public tendering and in conformity with EU Directives on public tendering procedures.

The ‘private’ coordinator/ beneficiary will invite competitive tenders from potential sub-contractors and award the contract to the bid offering best value for money; in doing so they must observe the principles of transparency and equal treatment of potential sub-contractors and must take care to avoid any conflicts of interest.

**Description:** Give a clear description of each item, e.g. ‘computer’, ‘database software’, etc.

**Lease rate:** The costs derived from the leasing of equipment (e.g. IT equipment, copiers...) can be considered as eligible, if this follows the beneficiary's normal practices and does not exceed the costs of purchase of the equipment, provided that the general eligibility criteria of costs are met. However, there is no depreciation involved as the item concerned remains the property of the leasing firm. This cost should be exclusive of any finance fee.

Depreciation cost: the depreciation costs of equipment or other assets (new or second-hand) as recorded in the accounting statements of the beneficiary, provided that the asset has been purchased in accordance with Article II.10 of the General Conditions and that it is written off in accordance with the international accounting standards and the usual accounting practices of the beneficiary and is lower than the cost of purchase of the equipment.

**Only the portion of the equipment's depreciation or lease costs corresponding to the duration of the stand-by period and the rate of actual use for the purposes of the action during that period may be taken into account.**

**Example** of depreciation calculation:

*Total value of equipment purchased: EUR 1.000,00*

*Assumed service life: three years (36 months)*

*Permissible monthly depreciation will then be  $EUR\ 1000/36 = EUR\ 27,78$*

*Duration of the eligibility for cost in Grant Agreement: 01/10/2016 to 30/09/2018 (24 months).*

*Date of purchase (= date of invoice): 30/04/2018.*

*The period of use will then be not more than 17 months.*

*Supposing the equipment is used on a half-time basis for the project, the usage rate will be 50%.*

*The total amount payable for depreciation under the grant will then be:*

*$EUR\ 27,78 \times 17\ months \times 0,5 = EUR\ 236,13.$*

- **Form F5 — Sub-contracting / external assistance costs**

Please indicate whether the sub-contracting cost relates either to cost category A or B, as described above in Chapter 4.

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

A "subcontract" is a procurement contract within the meaning of Article II.10 of a grant agreement, which covers the implementation by a third party of tasks forming part of the action as described in Annex I.

Beneficiaries may subcontract such tasks provided that, in addition to the conditions specified in the above mentioned art. II.10, the following conditions are complied with:

- (a) sub-contracting does not cover core tasks of the action;
- (b) sub-contracting is justified having regard to the nature of the action and what is necessary for its implementation;
- (c) the estimated costs of the subcontracting are clearly identifiable in the estimated budget set out in Annex III;
- (d) any recourse to subcontracting, if not provided for in Annex I, is communicated by the coordinator and approved by the Commission.

At the time of application the Applicant is requested to specify in Annex 1 to the Application Form the tasks that will be subcontracted and to duly explain the added-value of such subcontracting and the reasons for the lack of the relevant expertise within the project partnership.

Provider/procedure: Specify the legal name of the service provider (if already known). Specify the procedure followed or planned to sub-contract to the provider, e.g. 'public tender', 'direct treaty', 'framework agreement', etc.

Description: Give a clear description of the subject of the sub-contract/service to be provided. For example: 'conducting impact assessment', 'maintenance of ...', 'renting of ...', 'consultancy on ...', 'web page development', 'intra-moenia assistance', 'organisation of dissemination event', etc.

Important: Costs related to the purchase or leasing (as opposed to renting) of equipment supplied under sub-contracts are not to be charged to the budget heading for sub-contracting / external assistance. These costs should be declared separately under the budget heading for equipment.

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

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

- Form F6 — Other direct costs

Please indicate whether the other direct cost relates either to cost category A or B, as described above in Chapter 4.

This cost category is dedicated to all the costs, which meet the requirements of the cost eligibility, but do not fall under the characteristic of any other cost category.

General office supplies (pens, paper, folders, ink cartridges, computer software, etc.), costs related to buildings (e.g. rent, heating, electricity) and general administrative expenses (e.g. telephone, post, internet) constitute indirect costs, unless it can be proven that the specific cost item is directly and exclusively linked to the action. If applicable, please specify the type of unit used (e.g. pages, etc.).

The costs of consumables and supplies are eligible, provided that they are identifiable and exclusively used for the purpose of the project. They must be identifiable as such in the accounts of the beneficiary.

**Supplier/procedure:** as above, if applicable.

**Description:** Give a **clear description** of the other costs, e.g. type of consumables, financial costs such as a bank guarantee (if required by the Commission), inscription fees etc.

If according to Article I.4.4 of the grant agreement a **certificate on financial statement** is required, the coordinator should incorporate an appropriate cost under other costs category. The purpose of this certificate is to certify that the accounts submitted are sincere, reliable and substantiated by adequate supporting documents. The auditor must also certify that all costs incurred comply with the provisions set in the Grant Agreement. (NB: For public bodies, the financial audit can be conducted by the appropriate internal audit services of the institution.)

- Form F7 – ‘In kind’ contributions (1) / costs not included in the budget (2)
  - In-kind contributions are non-financial resources made available free of charge by third parties to the beneficiary or to the consortium. The corresponding costs are not eligible. Contributions in kind constitute external contributions in order to cover other costs necessary to carry out the project. Such contributions must not exceed:
    - - either the costs actually borne and duly supported by accounting documents; or
    - - in the absence of such documents, the costs generally accepted on the market in question.
  - 
  - In-kind contributions shall be presented separately in the estimated budget to reflect the total resources allocated to the project. Their unit value is evaluated in the provisional budget and shall not be subject to subsequent changes.

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

### **Financial viability form**

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

This form has to be completed **by private beneficiaries only**. The public entities or international organisations do not have to complete this form. Private beneficiaries must indicate if they are a profit- or a non-profit-making company/organisation.



Within this form, financial data based on the company's/organisation's balance sheet and profit and loss account are collected in a standardised form. You should complete this form carefully. The data reported will be used to evaluate the financial viability of the company/organisation. Thus, it is very important that the data reported are accurate.

Please note that the financial viability form must be accompanied by the balance sheet and the profit and loss accounts for the year  $t0$  and  $t-1$ .

The Commission may wish to cross-check the data with those reported in the official certified accounts for this purpose, the Commission reserves the right to ask for further documentation during the evaluation process.

The amounts have to be entered in Euro. For financial statements drawn up in other currencies, please refer to the EU Euro exchange rates (according to the closing date of the statement) available on:

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

### ***Abbreviations $t-1$ and $t0$***

The abbreviation  $t0$  represents the last certified historical balance sheet and profit and loss account;  $t-1$  is the balance sheet prior to the last certified one. Consequently, the *closing date  $t0$*  is the closing date of the last certified historical balance sheet; the *closing date  $t-1$*  is the closing date of the balance sheet prior to the last one. *Duration  $t0$*  is the number of months covered by the last historical balance sheet. *Duration  $t-1$*  is the number of months covered by the penultimate certified historical balance sheet.

# PART V

## 22. HOW TO PREPARE AND DRAFT A PROPOSAL

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

- The first phase, prior to the formulation of the action, should consist in identifying **the issue to be addressed**. If applicable, it is an advantage that at this stage partners (co-beneficiaries) are being identified. The establishment of solid partnerships will be valuable throughout the project.
- Once this is done, the **objective** or objectives of the action must be set. This should directly address the problems identified and should be precise and clearly set out.
- The next step is to identify the **results** or ‘end products’ of the action that are to be achieved in order to meet the objective. Wherever possible, these should be expressed in quantifiable terms.
- Next, consider which **activities** are needed to obtain these results. For each activity, clearly identify how, where and when it will be undertaken, who will do it and how much it will cost. Any activity that does not contribute directly to the objective must be discarded.
- Carefully plan how the action will be **organised and managed**, who is responsible for carrying out which activities, who reports to whom and what kind of management structure is needed.
- Make sure the **budget** is realistic, consistent with the activities proposed, and that human and financial resources are proportionate to the expected results and will be available when needed.
- Consider, at each stage when writing the application, which **assumptions** you are making. External factors, such as authorisation of measures by public authorities, support from local interest groups potentially affected by the action, etc. are essential for the success of the action and should be fully identified and described, as should any potential difficulties that might arise.
- Establish how the planned activities and expected results can be verified (**clearly indicate deliverables**) and list these in application form T3b. This will make it possible to monitor the action.
- Finally, a procedure must be provided to evaluate the results in relation to the initial objective, both during and at the end of the action. Please keep in mind that evaluation needs to be an essential element of the action.
- Useful lessons that could be passed on to other projects should be identified. By the same token, the experience of similar projects should be used during the preparation of proposals. Take advantage of the skills within your organization.

- Do not be afraid to ask questions to the European Commission. Questions must be sent by mail to [ECHO-A4@ec.europa.eu](mailto:ECHO-A4@ec.europa.eu).
  - It is advisable to fill out the forms as soon as the relevant information is available. Do bear in mind that the T forms need some time to be filled out. Do not forget that signed forms in original, not copies, need some time by mail from your partners (beneficiaries) to reach you.
- *A proposal that is vague, insufficiently negotiated between beneficiaries and includes foreseeable difficulties that have not been appropriately taken into account has little chance of being considered for funding at EU level. A proposal should be a realistic action and not merely a declaration of intent. Additionally, it should be well formulated, concise and easily understood by the readers, e.g. the evaluator of the proposal.*
- *Before starting to complete the forms read carefully the model Grant Agreement and its annexes in addition to this guide (can be downloaded from the following website):*

[http://ec.europa.eu/echo/funding-evaluations/financing-civil-protection/calls-for-proposal\\_en](http://ec.europa.eu/echo/funding-evaluations/financing-civil-protection/calls-for-proposal_en)

## 23. CHECKLIST FOR SUBMITTING A GRANT APPLICATION

### GENERAL

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

### REMINDER OF SIGNATURES

- **Form A2 duly signed and dated** by the coordinator/beneficiary
- **Form A3 duly signed and dated** by all beneficiaries
- In case of other co-financers apart from the applicant, the partner(s) (beneficiaries) and the Commission, **Form A6 duly signed and dated** by each co-financer (one form per co-financer).
- **Form A8 duly signed dated and stamped** by the legal representative of the applicant (in the context of multi-beneficiary grants, by the applicant representing the consortium (the coordinator)).
- **Form A9 duly signed, dated and stamped** by the account holder and the bank representative of

the applicant (in the context of multi-beneficiary grants, by the applicant representing the consortium (the coordinator)). (unless a recent copy of a bank statement is attached)

- **Form A10 duly signed and dated for private applicants only**
- **Form A11 – statement - duly signed and dated** by the applicant (in the case of a multi-beneficiary grant, by the applicant representing the consortium (the coordinator))

**The scanned copies of signed forms may be submitted at proposal stage.**

**Originals may be requested by the Commission at a later stage.**

#### **REMINDER OF OBLIGATORY ANNEXES**

- Please **do not forget to attach the obligatory annexes**, as described in **Chapter 17!**
- If applicable, do not forget to attach the requisite supporting documents, such as a copy of the resolution, law decree or decision establishing the entity in question; or, failing that, any other official document attesting to the establishment of the entity by the national authorities, if you are an applicant which is not yet registered as a Legal Entity in the Commission register.

## **24. ANNEXES TO THE GUIDELINES FOR GRANT APPLICANTS**

- Annex I: Application Forms A, T
- Annex II: Application Forms F