



# European Maritime, Fisheries and Aquaculture Fund (EMFAF)

## Call for proposals

Action for a CISE incident alerting system  
EMFAF-2021-PIA-CISE

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**EUROPEAN CLIMATE, INFRASTRUCTURE AND ENVIRONMENT EXECUTIVE AGENCY (CINEA)**

CINEA.D – Natural Resources, Climate, Sustainable Blue Economy and Clean Energy  
**CINEA.D.3 – Sustainable Blue Economy**

## **CALL FOR PROPOSALS**

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## 0. Introduction

This is a call for proposals for EU **action grants** in the field of Maritime security and surveillance under the **European Maritime, Fisheries and Aquaculture Fund (EMFAF)**.

The regulatory framework for this EU Funding Programme is set out in:

- Regulation 2018/1046 ([EU Financial Regulation](#))
- the basic act ([EMFAF Regulation](#)<sup>1</sup>).

The call is launched in accordance with the 2021 Work Programme<sup>2</sup> and will be managed by the **European Climate, Infrastructure and Environment Executive Agency (CINEA)** ('Agency').

The call covers the following **topic**:

- **EMFAF-2021-PIA-CISE — Action for a CISE incident alerting system**

We expect to fund 1 project.

We invite you to read the **call documentation** carefully, and in particular this Call Document, the Model Grant Agreement, the [EU Funding & Tenders Portal Online Manual](#) and the [EU Grants AGA — Annotated Grant Agreement](#).

These documents provide clarifications and answers to questions you may have when preparing your application:

- the [Call Document](#) outlines the:
  - background, objectives, scope, activities that can be funded and the expected results (sections 1 and 2)
  - timetable and available budget (sections 3 and 4)
  - admissibility and eligibility conditions (including mandatory documents; sections 5 and 6)

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<sup>1</sup> Regulation (EU) 2021/1139 of the European Parliament and of the Council of 7 July 2021 establishing the European Maritime, Fisheries and Aquaculture Fund (OJ L 247, 13.7.2021, p. 1-49).

<sup>2</sup> C(2021) 3870 final of 4.6.2021 on the [financing of the European Maritime, Fisheries and Aquaculture Fund and the adoption of the work programme for 2021](#).

- criteria for financial and operational capacity and exclusion (section 7)
- evaluation and award procedure (section 8)
- award criteria (section 9)
- legal and financial set-up of the Grant Agreements (section 10)
- how to submit an application (section 11)
- the Online Manual outlines the:
  - procedures to register and submit proposals online via the EU Funding & Tenders Portal ('Portal')
  - recommendations for the preparation of the application
- the AGA — Annotated Grant Agreement contains:
  - detailed annotations on all the provisions in the Grant Agreement you will have to sign in order to obtain the grant (*including cost eligibility, payment schedule, accessory obligations, etc.*).

## 1. Background

The 2014 Commission Communication<sup>3</sup> on better situational awareness by enhanced cooperation across maritime surveillance authorities defines *Common Information Sharing Environment (CISE) for the EU maritime domain* (herewith Maritime CISE) as a "voluntary collaborative process in the European Union seeking to further enhance and promote relevant information sharing between authorities involved in maritime surveillance. Its ultimate aim is to increase the efficiency, quality, responsiveness and coordination of surveillance operations in the EU maritime domain and to promote innovation, for the prosperity and security of the EU and its citizens".

The basic idea behind Maritime CISE is to ensure that maritime surveillance related information collected by one maritime sector and considered necessary and useful for the activities of other maritime sectors can be efficiently shared with those sectors. CISE is therefore creating the conditions for the information collected by a maritime authority, for a specific purpose, to be easily and securely accessed by/shared with other maritime authorities performing different missions.

Over the 2016-2019 period, thirteen national and cross-national CISE related projects have been funded by grants provided under the European Maritime and Fisheries Fund (EMFF). These projects aimed at adapting authorities' legacy systems to enhance interoperability between maritime authorities at national level and increase their preparedness to connect to the network developed by the EUCISE2020<sup>4</sup> project.

A transitional phase of CISE is currently underway since May 2019. The aim is to prepare the ground for the deployment of CISE into operations post 2023. This Transitional Phase, managed by the European Maritime Safety Agency (EMSA) and benefiting from the technological and scientific support of the Joint Research Centre of the European Commission (JRC), will build on the results and achievements of the EUCISE2020 project and the national interoperability projects. In this context, the establishment of a pre-operational "incident alerting service" in the CISE network, where information regarding incidents on board vessels or any type of maritime asset

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<sup>3</sup> COM(2014) 451 final of 8.7.2014 on [Better situational awareness by enhanced cooperation across maritime surveillance authorities: next steps within the Common Information Sharing Environment for the EU maritime domain](#).

<sup>4</sup> <http://www.eucise2020.eu/>.

can be exchanged, could bring a greater added value to the entire CISE project and attract interest from current and future participants.

## **2. Objectives — Themes and priorities — Activities that can be funded — Expected impact**

### Objectives

The main objectives of this call for proposals are to **enhance the cooperation** between public maritime authorities (including European Commission Services and EU Agencies) by promoting the **development of at least 2 services at the pre-operational phase** and to **foster the uptake of CISE** in view of its operationalisation. The developed services at pre-operational phase should relate to **risk** and **incident** alerting services<sup>5</sup> that use CISE for information exchange.

These services are meant to be complementary to information exchanged through the legacy systems of user communities. In no way these services will substitute or replace existing systems and existing legal obligations under European and/or international law.

CISE aims at giving users the possibility to add or to top-up missing information to the information available in their legacy systems. These services should give the possibility to complete information by reaching out to a wider variety of Public Authorities connected to the CISE network.

Proposals should focus on rolling out information services capable of supporting the work of the relevant authorities, addressing **at least 3 use cases** in the pre-operational environment. It should involve authorities from as many sectors as possible of those identified in the CISE communication<sup>6</sup>.

The proposed services should facilitate the work of operators to carry out their tasks in the context of the identified use cases by sharing the needed information, in a timely manner, in their operational system (legacy). The automatic sharing of information on the selected services, should aim at reducing the workload at the operational level and further enhancing the decision-making process at tactical level. Therefore, the exchange of information shall be automatized connecting the legacy systems of the authorities involved (no simulator or dedicated client) and the actual use of the received information by the receiving legacy system should be proven.

Applicants should explain in their proposal how the implementation of the targeted activities will result in concrete and measurable results within the project's duration. Proposals should demonstrate how added value is provided to existing systems.

The implemented services addressing use cases should be **piloted for at least 6 months** in the operational network, targeting real events. In this regard the applicant should design an operational report where events and/or target activities should be documented.

### Themes and priorities (scope)

Applicants may refer to the work carried out by the "Pre-operational Services Working Group"<sup>7</sup> which provided an indication of use cases (see Annex A) related to CISE vessel

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<sup>5</sup> The "incident alerting service" refers to incidents occurring on board vessels or any other type of maritime asset. The "risk service" contributes to harmonizing the interpretation of the risks by the different authorities involved in CISE.

<sup>6</sup> COM(2010) 584 final of 20.10.2010 on a [Draft Roadmap towards establishing the Common Information Sharing Environment for the surveillance of the EU maritime domain](#).

<sup>7</sup> See "CISE pre-operational services" presentation – extract from [7th CISE Stakeholder Group meeting](#)

of interest, alerting and risk services. The applicants may add other/alternative use cases relevant to these CISE pre-operational services. In such cases, they should clearly provide information about the proposed use cases respecting the key principles mentioned above.

The project should use as many existing CISE Nodes as possible. Furthermore, the project should seek for the engagement of new stakeholders. Should the installation of new nodes in the network be required, the CISE team (i.e. EMSA and JRC) will provide the needed technical guidance.

All the services developed during this project should be in compliance with the specifications of the CISE data and service model<sup>8</sup>. To facilitate the uptake of the new services within the CISE community and to facilitate the maintenance and the interoperability with the existing CISE adaptors, each new adaptor should be specified and documented.

The services should be shared (consumed and provided) in the operational context, therefore addressed through standard operating procedures by duties officers in the stakeholder' situational centre, for at least 6 months. The operational results of this activity shall be reported by an operational report, highlighting which operations CISE contributed to target or events that CISE contributed to detect.

Additionally, the proposal shall include a final demonstration exercise, which shall use a combination of the services developed in the frame of the project and the services already existing in the CISE network. The exercise shall be used to show and present the new services implemented to the whole CISE community. The exercises should demonstrate the added value of the information exchange in the operational selected scenarios.

#### Activities that can be funded (scope)

Projects must undertake at least the following core activities as part of the project implementation:

- Analysis of the Use cases selected;
- Adaptation of the operational procedures and upgrading of the involved legacy systems to automatize the use of the newly available information and definition of relevant Key Performance Indicators (KPIs);
- Design, development, and operation of the CISE adaptors required to provide and consume the information shared through the services;
- Signing of CISE cooperation agreement, enabling the exchange of information;
- Deployment and operation of the pre-operational services for 6 months and doing an ex-post evaluation and analysis reporting on the results and achievements;
- Organization and performing a demonstration event for the CISE community.

In addition, applicants should include the following complementary activity to support the above core activities:

- Establishment of a Steering Committee (SC) to ensure the overall strategic steering of the project. The SC should comprise of representatives of the relevant Maritime sectors, as well as the involved beneficiaries. The Commission

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<sup>8</sup> <http://emsa.europa.eu/cise-documentation/cise-data-model-1.5.3>

(JRC, MARE, and MOVE), EMSA and/or CINEA may participate in an observer capacity only.

Applicants may propose other complementary activities, as long as the choice is justified and establishes a coherent link with the objectives of this topic.

*Expected impact*

The call is expected to foster the uptake of CISE bringing in new participants as well as the implementation and use of new operational services integrated with existing ones. Hence, at the end of the project, it is envisioned that new Member States will be connected to the CISE Network and those services will be used to support the involved authorities in the execution of their standard duties.

In addition, the project is expected to design, develop, implement, and fine tune through test, services that will be at a readiness level suitable for being routinely used in operation beyond the end of the project.

Other expected impacts are:

- New and adapted operational procedures taking into account the new services;
- Enhanced cross-sector and cross-border collaboration within the CISE network;

Stakeholders involved in the use of the services developed are encouraged to continue to support the use of these services in their operational system beyond the closure of the project.

**3. Available budget**

The available call budget is **EUR 2 437 500**. This budget might be increased by maximum 20%.

The requested EU contribution shall not exceed EUR 2 437 500.

The availability of the call budget still depends on the adoption of the budget 2021 by the EU budgetary authority.

We expect to fund 1 project.

We reserve the right not to award all available funds or to redistribute them between the call priorities, depending on the proposals received and the results of the evaluation.

**4. Timetable and deadlines**

<b>Timetable and deadlines (indicative)</b>	
Call opening:	26 August 2021
<u>Deadline for submission:</u>	<u>07 April 2022 – 17:00:00 CET</u> <u>(Brussels)</u>
Evaluation:	April - May 2022



Information on evaluation results:	May - June 2022
GA signature:	September – November 2022

## 5. Admissibility and documents

Proposals must be submitted before the **call deadline** (see *timetable section 4*).

Proposals must be submitted **electronically** via the Funding & Tenders Portal Electronic Submission System (accessible via the Topic page in the [Search Funding & Tenders](#) section). Paper submissions are NOT possible.

Proposals (including annexes and supporting documents) must be submitted using the forms provided *inside* the Submission System (⚠ NOT the documents available on the Topic page — they are only for information).

Proposals must be **complete** and contain all the requested information and all required annexes and supporting documents:

- Application Form Part A — contains administrative information about the participants (future coordinator, beneficiaries and affiliated entities) and the summarised budget for the project (*to be filled in directly online*)
- Application Form Part B — contains the technical description of the project (*to be downloaded from the Portal Submission System, completed and then assembled and re-uploaded*)
- **mandatory annexes and supporting documents** (*to be uploaded*):
  - detailed budget table: not applicable
  - CVs (short outlines) of core project team
  - activity reports of last year: not applicable
  - list of previous projects: not applicable.


A detailed budget table is available for information on [Portal Reference Documents](#). You are NOT obliged to use it to prepare your project budget, nor upload it with your application, but you will be requested to provide it later on, if you are selected for funding.

Please note that the amounts entered into the summarised budget table (filled in directly online) must correspond to the amounts calculated in the detailed budget table. In case of discrepancies, the amounts in the online summarised budget table will prevail.

At proposal submission, you will have to confirm that you have the **mandate to act** for all applicants. Moreover you will have to confirm that the information in the application is correct and complete and that the participants comply with the conditions for receiving EU funding (especially eligibility, financial and operational capacity, exclusion, etc). Before signing the grant, each beneficiary and affiliated entity will have to confirm this again by signing a declaration of honour (DoH). Proposals without full support will be rejected.

Your application must be **readable, accessible and printable**.

Proposals are limited to maximum **60 pages** (Part B). Evaluators will not consider any additional pages.

 For more information about the submission process (including IT aspects), consult the [Online Manual](#).

## 6. Eligibility

### *Eligible participants (eligible countries)*

In order to be eligible, the applicants (beneficiaries and affiliated entities) must:

- be legal entities considered as public authority at national, regional or local level and established in a EU Member State;
- be established in one of the eligible countries, i.e.:
  - EU Member States.

Beneficiaries and affiliated entities must register in the [Participant Register](#) — before submitting the proposal — and will have to be validated by the Central Validation Service (REA Validation). For the validation, they will be requested to upload documents showing legal status and origin.

Other entities may participate in other consortium roles, such as associated partners, subcontractors, third parties giving in-kind contributions, etc (*see section 13*).



### *Specific cases*


Natural persons — Natural persons are NOT eligible (with the exception of self-employed persons, i.e. sole traders, where the company does not have legal personality separate from that of the natural person).

International organisations — International organisations are eligible. The rules on eligible countries do not apply to them.

Entities without legal personality — Entities which do not have legal personality under their national law may exceptionally participate, provided that their representatives have the capacity to undertake legal obligations on their behalf, and offer guarantees for the protection of the EU financial interests equivalent to that offered by legal persons<sup>9</sup>.

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

Associations and interest groupings — Entities composed of members may participate as 'sole beneficiaries' or 'beneficiaries without legal personality'<sup>10</sup>. .  Please note that if the action will be implemented by the members, they should also participate (either as beneficiaries or as affiliated entities, otherwise their costs will NOT be eligible).

Associations and interest groupings — Entities composed of members may participate as 'sole beneficiaries' or 'beneficiaries without legal personality'<sup>10</sup>.  Please note that if the action will be implemented by the members, they should also participate (either as beneficiaries or as affiliated entities, otherwise their costs will NOT be eligible).

EU restrictive measures — Special rules apply for certain entities (*e.g. entities subject to [EU restrictive measures](#) under Article 29 of the Treaty on the European Union (TEU)*)

<sup>9</sup> See Article 197(2)(c) EU Financial Regulation [2018/1046](#).

<sup>10</sup> For the definitions, see Articles 187(2) and 197(2)(c) EU Financial Regulation [2018/1046](#).

and Article 215 of the Treaty on the Functioning of the EU (TFEU)<sup>11</sup> and entities covered by Commission Guidelines No [2013/C 205/05](#)<sup>12</sup>). Such entities are not eligible to participate in any capacity, including as beneficiaries, affiliated entities, associated partners, subcontractors or recipients of financial support to third parties (if any).

 For more information, see [Rules for Legal Entity Validation, LEAR Appointment and Financial Capacity Assessment](#).

### Consortium composition

Proposals must be submitted by a consortium of at least 6 applicants (beneficiaries; not affiliated entities), which complies with the following conditions:

- minimum 1 entity from 6 different eligible countries;
- representing minimum 3 of the 7 sectors identified in the CISE model<sup>13</sup>.

### Eligible activities

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

Projects should take into account the results of projects supported by other EU funding programmes. The complementarities must be described in the project proposals (Part B of the Application Form).

Projects must comply with EU policy interests and priorities (*such as environment, social, security, industrial and trade policy, etc*).

Financial support to third parties is not allowed.

### Geographic location (target countries)

Proposals must relate to activities concerning one of the following sea basins/areas: North Sea, Baltic Sea, Black Sea, the Atlantic and the Mediterranean Sea basins as well as the EU Outermost regions marine areas.

Proposals can focus on a part/sub-region of these sea basins/areas.

Activities should normally relate to the EU waters, but may extend into neighbouring waters, if this is necessary for the implementation of the projects (in view of their nature and their objectives).

### Duration

Projects should normally range between 24 and 30 months (extensions are possible, if duly justified and through an amendment).

### Project budget

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<sup>11</sup> Please note that the EU Official Journal contains the official list and, in case of conflict, its content prevails over that of the [EU Sanctions Map](#).

<sup>12</sup> Commission guidelines No [2013/C 205/05](#) on the eligibility of Israeli entities and their activities in the territories occupied by Israel since June 1967 for grants, prizes and financial instruments funded by the EU from 2014 onwards (OJEU C 205 of 19.07.2013, pp. 9-11).

<sup>13</sup> COM(2010) 584 final on a Draft Roadmap towards establishing the Common Information Sharing Environment for the surveillance of the EU maritime domain

Project budgets (maximum grant amount) are expected to range between EUR 2.000.000 and 2.437.500 per project, but this does not preclude the submission/selection of proposals requesting other amounts.

### Ethics

Projects must comply with:

- highest ethical standards and
- applicable EU, international and national law (including Directive 98/58<sup>14</sup>, Regulation 1099/2009<sup>15</sup>, and Regulation (889/2008)<sup>16</sup>).

Projects must pay particular attention to the principle of proportionality, the need to ensure protection of the environment and high levels of animal welfare and human health protection.

Applicants must show in their application that they respect ethical principles and applicable regulatory framework.

Projects involving ethics issues may be made subject to specific ethics rules.

### Security

Projects involving EU classified information must undergo security scrutiny to authorise funding and may be made subject to specific security rules (detailed in a security aspects letter (SAL) which is annexed to the Grant Agreement).

These rules (governed by Decision [2015/444](#)<sup>17</sup> and its implementing rules and/or national rules) provide for instance that:

- projects involving information classified TRES SECRET UE/EU TOP SECRET (or equivalent) can NOT be funded
- classified information must be marked in accordance with the applicable security instructions in the SAL
- information with classification levels CONFIDENTIEL UE/EU CONFIDENTIAL or above (and RESTREINT UE/ EU RESTRICTED, if required by national rules) may be:
  - created or accessed only on premises with facility security clearing (FSC) from the competent national security authority (NSA), in accordance with the national rules
  - handled only in a secured area accredited by the competent NSA
  - accessed and handled only by persons with valid personnel security clearance (PSC) and a need-to-know
- at the end of the grant, the classified information must either be returned or continue to be protected in accordance with the applicable rules
- action tasks involving EU classified information (EUCI) may be subcontracted only with prior written approval from the granting authority and only to entities established in an EU Member State or in a non-EU country with a security of

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<sup>14</sup> Council Directive 98/58/EC of 20 July 1998 concerning the protection of animals kept for farming purposes (OJ L 221, 8.8.1998, p. 23).

<sup>15</sup> Council Regulation (EC) No 1099/2009 of 24 September 2009 on the protection of animals at the time of killing (OJ L 303, 18.11.2009, p. 1).

<sup>16</sup> Commission Regulation (EC) No 889/2008 of 5 September 2008 laying down detailed rules for the implementation of Council Regulation (EC) No 834/2007 on organic production and labelling of organic products with regard to organic production, labelling and control (OJ L 250, 18.9.2008, p. 1).

<sup>17</sup> See Commission Decision 2015/544/EU, Euratom of 13 March 2015 on the security rules for protecting EU classified information (OJ L 72, 17.3.2015, p. 53).

information agreement with the EU (or an administrative arrangement with the Commission)

- disclosure of EUCI to third parties is subject to prior written approval from the granting authority.

Please note that, depending on the type of activity, facility security clearing may have to be provided before grant signature. The granting authority will assess the need for clearing in each case and will establish their delivery date during grant preparation. Please note that in no circumstances can we sign any grant agreement until at least one of the beneficiaries in a consortium has facility security clearing.

Further security recommendations may be added to the Grant Agreement in the form of security deliverables (*e.g. create security advisory group, limit level of detail, use fake scenario, exclude use of classified information, etc*).

Beneficiaries must ensure that their projects are not subject to national/third-country security requirements that could affect implementation or put into question the award of the grant (*e.g. technology restrictions, national security classification, etc*). The granting authority must be notified immediately of any potential security issues.

## 7. Financial and operational capacity and exclusion

### Financial capacity

Applicants must have **stable and sufficient resources** to successfully implement the projects and contribute their share. Organisations participating in several projects must have sufficient capacity to implement all these projects.

The financial capacity check will be carried out on the basis of the documents you will be requested to upload in the [Participant Register](#) during grant preparation (*e.g. profit and loss account and balance sheet, business plan, audit report produced by an approved external auditor, certifying the accounts for the last closed financial year, etc*). The analysis will be based on neutral financial indicators, but will also take into account other aspects, such as dependency on EU funding and deficit and revenue in previous years.

The check will normally be done for all beneficiaries, except:

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

If needed, it may also be done for affiliated entities.

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

- further information
- an enhanced financial responsibility regime, i.e. joint and several responsibility for all beneficiaries or joint and several liability of affiliated entities (*see below, section 10*)

- prefinancing paid in instalments

- (one or more) prefinancing guarantees (*see below, section 10*)

or

- propose no prefinancing
- request that you are replaced or, if needed, reject the entire proposal.

 For more information, see [Rules for Legal Entity Validation, LEAR Appointment and Financial Capacity Assessment](#).

### Operational capacity

Applicants must have the **know-how, qualifications** and **resources** to successfully implement the projects and contribute their share (including sufficient experience in projects of comparable size and nature).

This capacity will be assessed together with the 'Quality' award criterion, on the basis of the competence and experience of the applicants and their project teams, including operational resources (human, technical and other) or, exceptionally, the measures proposed to obtain it by the time the task implementation starts.

If the evaluation of the award criterion is positive, the applicants are considered to have sufficient operational capacity.

Applicants will have to show their capacity via the following information:

- general profiles (qualifications and experiences) of the staff responsible for managing and implementing the project
- description of the consortium participants.

Additional supporting documents may be requested, if needed to confirm the operational capacity of any applicant.

Public bodies, Member State organisations and international organisations are exempted from the operational capacity check.

### Exclusion

Applicants which are subject to an **EU exclusion decision** or in one of the following **exclusion situations** that bar them from receiving EU funding can NOT participate<sup>18</sup>:

- bankruptcy, winding up, affairs administered by the courts, arrangement with creditors, suspended business activities or other similar procedures (including procedures for persons with unlimited liability for the applicant's debts)
- in breach of social security or tax obligations (including if done by persons with unlimited liability for the applicant's debts)
- guilty of grave professional misconduct<sup>19</sup> (including if done by persons having powers of representation, decision-making or control, beneficial owners or persons who are essential for the award/implementation of the grant)
- committed fraud, corruption, links to a criminal organisation, money laundering, terrorism-related crimes (including terrorism financing), child labour or human trafficking (including if done by persons having powers of representation, decision-making or control, beneficial owners or persons who are essential for the award/implementation of the grant)
- shown significant deficiencies in complying with main obligations under an EU procurement contract, grant agreement, prize, expert contract, or similar (including if done by persons having powers of representation, decision-making or control, beneficial owners or persons who are essential for the award/implementation of the grant)

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<sup>18</sup> See Articles 136 and 141 of EU Financial Regulation [2018/1046](#).

<sup>19</sup> Professional misconduct includes: violation of ethical standards of the profession, wrongful conduct with impact on professional credibility, false declarations/misrepresentation of information, participation in a cartel or other agreement distorting competition, violation of IPR, attempting to influence decision-making processes or obtain confidential information from public authorities to gain advantage.

- guilty of irregularities within the meaning of Article 1(2) of Regulation No [2988/95](#) (including if done by persons having powers of representation, decision-making or control, beneficial owners or persons who are essential for the award/implementation of the grant)
- created under a different jurisdiction with the intent to circumvent fiscal, social or other legal obligations in the country of origin or created another entity with this purpose (including if done by persons having powers of representation, decision-making or control, beneficial owners or persons who are essential for the award/implementation of the grant).

Applicants will also be refused if it turns out that<sup>20</sup>:

1. during the award procedure they misrepresented information required as a condition for participating or failed to supply that information
2. they were previously involved in the preparation of the call and this entails a distortion of competition that cannot be remedied otherwise (conflict of interest).

## 8. Evaluation and award procedure

The proposals will have to follow the **standard submission and evaluation procedure** (one-stage submission + one-step evaluation).

An **evaluation committee** will assess all applications. Proposals will first be checked for formal requirements (admissibility, and eligibility, *see sections 5 and 6*). Proposals found admissible and eligible will be evaluated (for each topic) against the operational capacity and award criteria (*see sections 7 and 9*) and then ranked according to their score.

For proposals with the same score (within a topic or budget envelope) a **priority order** will be determined according to the following approach:


Successively for every group of *ex aequo* proposals, starting with the highest scored group, and continuing in descending order:

- 1) Projects focusing on a theme and/or priority (as indicated in section 2) that is not otherwise covered by higher ranked projects will be considered to have the highest priority.
- 2) The *ex aequo* proposals within the same topic will be prioritised according to the scores they have been awarded for the award criterion 'Relevance'. When these scores are equal, priority will be based on their scores for the criterion 'Impact'. When these scores are equal, priority will be based on their scores for the criterion 'Quality'.
- 3) If this does not allow to determine the priority, a further prioritisation can be done by considering the overall project portfolio and the creation of positive synergies between projects, or other factors related to the objectives of the call. These factors will be documented in the panel report.
- 4) After that, the remainder of the available call budget will be used to fund projects across the different topics in order to ensure a balanced spread of the geographical and thematic coverage and while respecting to the maximum possible extent the order of merit based on the evaluation of the award criteria.

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<sup>20</sup> See Article 141 EU Financial Regulation [2018/1046](#).

All proposals will be informed about the evaluation result (**evaluation result letter**). Successful proposals will be invited for grant preparation; the other ones will be put on the reserve list or rejected.

 No commitment for funding — Invitation to grant preparation does NOT constitute a formal commitment for funding. We will still need to make various legal checks before grant award: *legal entity validation, financial capacity, exclusion check, etc.*

**Grant preparation** will involve a dialogue in order to fine-tune technical or financial aspects of the project and may require extra information from your side. It may also include adjustments to the proposal to address recommendations of the evaluation committee or other concerns. Compliance will be a pre-condition for signing the grant.

If you believe that the evaluation procedure was flawed, you can submit a **complaint** (following the deadlines and procedures set out in the evaluation result letter). Please note that notifications which have not been opened within 10 days after sending are considered to have been accessed and that deadlines will be counted from opening/access (see also [Funding & Tenders Portal Terms and Conditions](#)). Please also be aware that for complaints submitted electronically, there may be character limitations.

## 9. Award criteria

The **award criteria** for this call are as follows:

- **Relevance (10 points):**
  - clarity and consistency of project objectives and planning; extent to which they match the themes and priorities, and objectives of the call/topic; contribution to the EU strategic and legislative context, including, where relevant, to the objectives of sustainable blue economy and sea basin strategies or initiatives<sup>21</sup>;
  - identification of specific needs/challenges of the policy domains/sea basins/areas targeted in the call; European/trans-national dimension;
  - extent to which the proposal differentiates from other initiatives in the field and provides added value; quality of proposed coordination and support measures; potential to develop mutual trust/cross-border cooperation.
- **Quality (10 points):** quality and effectiveness of the methodology for implementing the project (concept and methodology, management, procedures, timetable, risks and risk management, monitoring and evaluation); feasibility of the project within the proposed time frame; cost effectiveness (sufficient/appropriate budget for proper implementation; best value for money); quality of the consortium (if applicable) and project teams; appropriate procedures and problem-solving mechanisms for cooperating within the project teams and consortium (if applicable).
- **Impact (10 points):**
  - extent to which the outputs of the project contribute to each of the expected impacts of the call/topic; suitability and quality of the measures to maximise expected outcomes and impacts;

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<sup>21</sup> For sea basins strategies and other relevant sea basin information for the Atlantic, Baltic Sea, Black Sea, Mediterranean or North Sea, see [Europa website](#).



- possibility to use/transfer the outcomes to other countries/regions; appropriateness of the dissemination and exploitation plan, including communication activities and, if applicable, measures linked to intellectual property and knowledge protection and regulatory issues; sustainability of results after EU funding ends;
- ambition and expected long-term impact of results on target groups/general public (10 points).

Award criteria	Minimum pass score	Maximum score
Relevance	6	10
Quality	6	10
Impact	6	10
<b>Overall (pass) scores</b>	<b>21</b>	<b>30</b>

Maximum points: 30 points.

Individual thresholds per criterion: 6/10, 6/10 and 6/10 points.

Overall threshold: 21 points.

Proposals that pass the individual thresholds AND the overall threshold will be considered for funding — within the limits of the available call budget. Other proposals will be rejected.

## 10. Legal and financial set-up of the Grant Agreements

If you pass evaluation, your project will be invited for grant preparation, where you will be asked to prepare the Grant Agreement together with the EU Project Officer.

This Grant Agreement will set the framework for your grant and its terms and conditions, in particular concerning deliverables, reporting and payments.

The Model Grant Agreement that will be used (and all other relevant templates and guidance documents) can be found on [Portal Reference Documents](#).

### Starting date and project duration

The project starting date and duration will be fixed in the Grant Agreement (*Data Sheet, point 1*). Normally the starting date will be after grant signature. Retroactive application can be granted exceptionally for duly justified reasons — but never earlier than the proposal submission date.

Project duration: between 24 and 30 months (extensions are possible, if duly justified and through an amendment).

### Milestones and deliverables

The milestones and deliverables for each project will be managed through the Portal Grant Management System and will be reflected in Annex 1 of the Grant Agreement.

The following deliverables will be mandatory for all projects:

- a policy brief at the end of each reporting period

- a project factsheet at the beginning of the project
- a final operation report documenting results and lessons learned during the 6 months of live operations;
- a Draft Service Level Agreement on the services implemented where responsibilities and time frame of each of the steps in the operational view are defined.

#### Form of grant, funding rate and maximum grant amount

The grant parameters (*maximum grant amount, funding rate, total eligible costs, etc*) will be fixed in the Grant Agreement (*Data Sheet, point 3 and art 5*).

Project budget (maximum grant amount): *see section 6 above*. The grant awarded may be lower than the amount requested.

The grant will be a budget-based mixed actual cost grant (actual costs, with unit cost and flat-rate elements). This means that it will reimburse ONLY certain types of costs (eligible costs) and costs that were *actually* incurred for your project (NOT the *budgeted* costs). For unit costs and flat-rates, you can charge the amounts calculated as explained in the Grant Agreement (*see art 6 and Annex 2 and 2a*).

The costs will be reimbursed at the funding rate fixed in the Grant Agreement (**85%**).

Grants may NOT produce a profit (i.e. surplus of revenues + EU grant over costs). For-profit organisations must declare their revenues and, if there is a profit, we will deduct it from the final grant amount (*see art 22.3*).

Moreover, please be aware that the final grant amount may be reduced in case of non-compliance with the Grant Agreement (*e.g. improper implementation, breach of obligations, etc*).

#### Budget categories and cost eligibility rules

The budget categories and cost eligibility rules are fixed in the Grant Agreement (*Data Sheet, point 3 and art 6*).

*Budget categories for this call:*

- A. Personnel costs
  - A.1 Employees, A.2 Natural persons under direct contract, A.3 Seconded persons
  - A.4 SME owners and natural person beneficiaries
- B. Subcontracting costs
- C. Purchase costs
  - C.1 Travel and subsistence
  - C.2 Equipment
  - C.3 Other goods, works and services
- E. Indirect costs

*Specific cost eligibility conditions for this call:*

- personnel costs:
  - SME owner/natural person unit cost<sup>22</sup>: Yes
- travel and subsistence unit cost<sup>23</sup>: Yes
- equipment costs: depreciation
- other cost categories:
  - costs for financial support to third parties: not allowed
- indirect cost flat-rate: 7% of the eligible direct costs (categories A-D, except volunteers costs and exempted specific cost categories, if any)
- VAT: non-deductible VAT is eligible (but please note that since 2013 VAT paid by beneficiaries that are public bodies acting as public authority is NOT eligible)
- other:
  - in-kind contributions for free are allowed, but cost-neutral, i.e. they cannot be declared as cost
  - kick off meeting: costs for kick off meeting organised by the granting authority are eligible (travel costs for maximum 2 persons, return ticket to Brussels and accommodation for one night) only if the meeting takes place after the project starting date set out in the Grant Agreement; the starting date can be changed through an amendment, if needed
  - project websites: communication costs for presenting the project on the participants' websites or social media accounts are eligible; costs for *separate* project websites are not eligible
  - other ineligible costs: No

### Reporting and payment arrangements


The reporting and payment arrangements are fixed in the Grant Agreement (*Data Sheet, point 4 and art 21 and 22*).

After grant signature, you will normally receive a **prefinancing** to start working on the project (float of normally **40%** of the maximum grant amount; exceptionally less or no prefinancing). The prefinancing will be paid 30 days from entry into force/financial guarantee (if required) — whichever is the latest.

There will be one or more **interim payments** (with detailed cost reporting).

**Payment of the balance:** At the end of the project, we will calculate your final grant amount. If the total of earlier payments is higher than the final grant amount, we will ask you (your coordinator) to pay back the difference (recovery).

All payments will be made to the coordinator.

 Please be aware that payments will be automatically lowered if one of your consortium members has outstanding debts towards the EU (granting authority or other EU bodies). Such debts will be offset by us — in line with the conditions set out in the Grant Agreement (*see art 22*).

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<sup>22</sup> Commission [Decision](#) of 20 October 2020 authorising the use of unit costs for the personnel costs of the owners of small and medium-sized enterprises and beneficiaries that are natural persons not receiving a salary for the work carried out by themselves under an action or work programme (C(2020)7715).

<sup>23</sup> Commission [Decision](#) of 12 January 2021 authorising the use of unit costs for travel, accommodation and subsistence costs under an action or work programme under the 2021-2027 multi-annual financial framework (C(2021)35).

Please also note that you are responsible for keeping records on all the work done and the costs declared.

### Prefinancing guarantees

If a prefinancing guarantee is required, it will be fixed in the Grant Agreement (*Data Sheet, point 4*). The amount will be set during grant preparation and it will normally be equal or lower than the prefinancing for your grant.

The guarantee should be in euro and issued by an approved bank/financial institution established in an EU Member State. If you are established in a non-EU country and would like to provide a guarantee from a bank/financial institution in your country, please contact us (this may be exceptionally accepted, if it offers equivalent security).

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

Prefinancing guarantees are formally NOT linked to individual consortium members, which means that you are free to organise how to provide the guarantee amount (*by one or several beneficiaries, for the overall amount or several guarantees for partial amounts, by the beneficiary concerned or by another beneficiary, etc*). It is however important that the requested amount is covered and that the guarantee(s) are sent to us in time to make the prefinancing (scanned copy via Portal AND original by post).

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

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

### Certificates

Depending on the type of action, size of grant amount and type of beneficiaries, you may be requested to submit different certificates. The types, schedules and thresholds for each certificate are fixed in the Grant Agreement (*Data Sheet, point 4 and art 24*).

### Liability regime for recoveries

The liability regime for recoveries will be fixed in the Grant Agreement (*Data Sheet point 4.4 and art 22*).

For beneficiaries, it is one of the following:

- limited joint and several liability with individual ceilings — *each beneficiary up to their maximum grant amount*
- unconditional joint and several liability — *each beneficiary up to the maximum grant amount for the action*

or

- individual financial responsibility — *each beneficiary only for their own debts*.

In addition, the granting authority may require joint and several liability of affiliated entities (with their beneficiary).

### Provisions concerning the project implementation

Security rules: see *Model Grant Agreement (art 13 and Annex 5)*

Ethics rules: see *Model Grant Agreement (art 14 and Annex 5)*

IPR rules: *see Model Grant Agreement (art 16 and Annex 5):*

- rights of use on results: Yes

Communication, dissemination and visibility of funding: *see Model Grant Agreement (art 17 and Annex 5):*

- communication and dissemination plan: Yes
- *additional communication and dissemination activities: Yes*

Specific rules for carrying out the action: *see Model Grant Agreement (art 18 and Annex 5):*

- specific rules for blending operations: No

### Other specificities

n/a

### Non-compliance and breach of contract

The Grant Agreement (chapter 5) provides for the measures we may take in case of breach of contract (and other non-compliance issues).

-  For more information, see [AGA – Annotated Grant Agreement](#).

## **11. How to submit an application**

All proposals must be submitted directly online via the Funding & Tenders Portal Electronic Submission System. Paper applications are NOT accepted.

Submission is a **2-step process**:

### **a) create a user account and register your organisation**

To use the Submission System (the only way to apply), all participants need to [create an EU Login user account](#).

Once you have an EU Login account, you can [register your organisation](#) in the Participant Register. When your registration is finalised, you will receive a 9-digit participant identification code (PIC).

### **b) submit the proposal**

Access the Electronic Submission System via the Topic page in the [Search Funding & Tenders](#) section (or, for calls sent by invitation to submit a proposal, through the link provided in the invitation letter).

Submit your proposal in 3 parts, as follows:

- Part A includes administrative information about the applicant organisations (future coordinator, beneficiaries, affiliated entities and associated partners) and the summarised budget for the proposal. Fill it in directly online
- Part B (description of the action) covers the technical content of the proposal. Download the mandatory word template from the Submission System, fill it in and upload it as a PDF file
- Annexes (*see section 5*). Upload them as PDF file (single or multiple depending on the slots). Excel upload is sometimes possible, depending on the file type.

The proposal must keep to the **page limits** (*see section 5*); excess pages will be disregarded.

Documents must be uploaded to the **right category** in the Submission System otherwise the proposal might be considered incomplete and thus inadmissible.

The proposal must be submitted **before the call deadline** (*see section 4*). After this deadline, the system is closed and proposals can no longer be submitted.

Once the proposal is submitted, you will receive a **confirmation e-mail** (with date and time of your application). If you do not receive this confirmation e-mail, it means your proposal has NOT been submitted. If you believe this is due to a fault in the Submission System, you should immediately file a complaint via the [IT Helpdesk webform](#), explaining the circumstances and attaching a copy of the proposal (and, if possible, screenshots to show what happened).

Details on processes and procedures are described in the [Online Manual](#). The Online Manual also contains the links to FAQs and detailed instructions regarding the Portal Electronic Exchange System.

## 12. Help

As far as possible, ***please try to find the answers you need yourself***, in this and the other documentation (we have limited resources for handling direct enquiries):

- [Online Manual](#)
- FAQs on the Topic page (for call-specific questions in open calls; not applicable for actions by invitation)
  - [Portal FAQ](#) (for general questions).

Please also consult the Topic page regularly, since we will use it to publish call updates. (For invitations, we will contact you directly in case of a call update).

### Contact

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

Non-IT related questions should be sent to the following email address: [cinea-emfaf-calls@ec.europa.eu](mailto:cinea-emfaf-calls@ec.europa.eu).

Please indicate clearly the reference of the call and topic to which your question relates (*see cover page*).

## 13. Important



### IMPORTANT

- **Don't wait until the end** — Complete your application sufficiently in advance of the deadline to avoid any last minute **technical problems**. Problems due to last minute submissions (*e.g. congestion, etc*) will be entirely at your risk. Call deadlines can NOT be extended.
- **Consult** the Portal Topic page regularly. We will use it to publish updates and additional information on the call (call and topic updates).
- **Funding & Tenders Portal Electronic Exchange System** — By submitting the application, all participants **accept** to use the electronic exchange system in accordance with the [Portal Terms & Conditions](#).
- **Registration** — Before submitting the application, all beneficiaries, affiliated entities and associated partners must be registered in the [Participant Register](#). The participant identification code (PIC) (one per participant) is mandatory for the Application Form.
- **Consortium roles** — When setting up your consortium, you should think of organisations that help you reach objectives and solve problems.

The roles should be attributed according to the level of participation in the project. Main participants should participate as **beneficiaries** or **affiliated entities**; other entities can participate as associated partners, subcontractors, third parties giving in-kind contributions. **Associated partners** and third parties giving in-kind contributions should bear their own costs (they will not become formal recipients of EU funding). **Subcontracting** should normally constitute a limited part and must be performed by third parties (not by one of the beneficiaries/affiliated entities).

- **Coordinator** — In multi-beneficiary grants, the beneficiaries participate as consortium (group of beneficiaries). They will have to choose a coordinator, who will take care of the project management and coordination and will represent the consortium towards the granting authority. In mono-beneficiary grants, the single beneficiary will automatically be coordinator.
- **Affiliated entities** — Applicants may participate with affiliated entities (i.e. entities linked to a beneficiary which participate in the action with similar rights and obligations as the beneficiaries, but do not sign the grant and therefore do not become beneficiaries themselves). They will get a part of the grant money and must therefore comply with all the call conditions and be validated (just like beneficiaries); but they do not count towards the minimum eligibility criteria for consortium composition (if any).
- **Associated partners** — Applicants may participate with associated partners (i.e. partner organisations which participate in the action but without the right to get grant money). They participate without funding and therefore do not need to be validated.
- **Consortium agreement** — For practical and legal reasons it is recommended to set up internal arrangements that allow you to deal with exceptional or unforeseen circumstances (in all cases, even if not mandatory under the Grant Agreement). The consortium agreement also gives you the possibility to redistribute the grant money according to your own consortium-internal principles and parameters (for instance, one beneficiary can reattribute its grant money to another beneficiary). The consortium agreement thus allows you to customise the EU grant to the needs inside your consortium and can also help to protect you in case of disputes.

- **Balanced project budget** — Grant applications must ensure a balanced project budget and sufficient other resources to implement the project successfully (*e.g. own contributions, income generated by the action, financial contributions from third parties, etc*). You may be requested to lower your estimated costs, if they are ineligible (including excessive).
- **No-profit rule** — Grants may NOT give a profit (i.e. surplus of revenues + EU grant over costs). This will be checked by us at the end of the project.
- **No double funding** — There is a strict prohibition of double funding from the EU budget (except under EU Synergies actions). Outside such Synergies actions, any given action may receive only ONE grant from the EU budget and cost items may under NO circumstances declared to two different EU actions.
- **Completed/ongoing projects** — Proposals for projects that have already been completed will be rejected; proposals for projects that have already started will be assessed on a case-by-case basis (in this case, no costs can be reimbursed for activities that took place before the project starting date/proposal submission).
- **Combination with EU operating grants** — Combination with EU operating grants is possible, if the project remains outside the operating grant work programme and you make sure that cost items are clearly separated in your accounting and NOT declared twice (*see [AGA — Annotated Model Grant Agreement, art 6.2.E](#)*).
- **Multiple proposals** — Applicants may submit more than one proposal for *different* projects under the same call (and be awarded a funding for them).  
Organisations may participate in several proposals.  
BUT: if there are several proposals for *very similar* projects, only one application will be accepted and evaluated; the applicants will be asked to withdraw one of them (or it will be rejected).
- **Resubmission** — Proposals may be changed and re-submitted until the deadline for submission.
- **Rejection** — By submitting the application, all applicants accept the call conditions set out in this this Call Document (and the documents it refers to). Proposals that do not comply with all the call conditions will be **rejected**. This applies also to applicants: All applicants need to fulfil the criteria; if any one of them doesn't, they must be replaced or the entire proposal will be rejected.
- **Cancellation** — There may be circumstances which may require the cancellation of the call. In this case, you will be informed via a call or topic update. Please note that cancellations are without entitlement to compensation.
- **Language** — You can submit your proposal in any official EU language (project abstract/summary should however always be in English). For reasons of efficiency, we strongly advise you to use English for the entire application. If you need the call documentation in another official EU language, please submit a request within 10 days after call publication (for the contact information, *see section 12*).



- **Transparency** — In accordance with Article 38 of the [EU Financial Regulation](#), information about EU grants awarded is published each year on the [Europa website](#).

This includes:

- beneficiary names
- beneficiary addresses
- the purpose for which the grant was awarded
- the maximum amount awarded.

The publication can exceptionally be waived (on reasoned and duly substantiated request), if there is a risk that the disclosure could jeopardise your rights and freedoms under the EU Charter of Fundamental Rights or harm your commercial interests.

- **Data protection** — The submission of a proposal under this call involves the collection, use and processing of personal data. This data will be processed in accordance with the applicable legal framework. It will be processed solely for the purpose of evaluating your proposal, subsequent management of your grant and, if needed, programme monitoring, evaluation and communication. Details are explained in the [Funding & Tenders Portal Privacy Statement](#).

# ANNEX A

Action for a CISE incident alerting system  
EMFAF-2021-PIA-CISE

Version 1.0  
26 August 2021

# Examples of CISE PRE-OPERATIONAL Services

v 1.0

Date: 11/6/2021



Project funded  
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## Document History

Version	Date	Changes	Prepared	Approved
Draft	26/04/2021	NA	AC	GL
1.0	11/06/2021		AC	

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## List of Abbreviations

CISE	Common Information Sharing Environment
CSG	CISE Stakeholder Group
C/S	Ship's International Call Sign
DTG	Data-Time Group
EUCISE2020	European test bed for the maritime Common Information Sharing Environment in the 2020 perspective
MSI	Maritime Safety Information
SOLAS	Safety of Life at Sea Convention.
IMO	International Maritime Organization
MMSI	Maritime Mobile Service Identity
SOP	Standard Operating Procedure
UNCLOS	United Nations Convention on the Law of the Sea
VOI	Vessel of Interest
WG	Working Group

# 1. Introduction

In this document you may find some examples of information services which could be used in the context of CISE. The proposed CISE preoperational risk and incident alerting services will promote the information exchange between different authorities across the EU.

These proposed services are not replacing the role of the different existing maritime data systems, developed to carry out alerting processes and incident information sharing among entitled safety or security authorities. The preoperational services are a tool to help them to share the relevant incidents and potentially risks with other actors that have no access to those systems, and vice versa, going beyond current sectors and borders.

These services should help to top-up information in the legacy systems. This will facilitate maritime awareness and a better understanding of what is happening at sea, thus improving the general EU maritime domain awareness.

## 2. Incident reporting pre-operational service

### 1.1 Description

The proposed “Incident report service” may be used to disseminate and consume additional information about confirmed or suspected events occurring on board vessels or any other assets.

Participants may use CISE to report any observed (by their own means) or likely (known from third parties) incident, from which they have some pieces of information that they consider valuable -for both safety and/or security reasons- occurred at any maritime location of European interest.

Reporting an incident aims to enrich the common maritime situational awareness and to facilitate the readiness of response assets in those cases. In that sense, after the initial reporting done by any of the participants, it is expected that subsequent additional information could be shared by the same or other participants. This added information may complement or modify the initial set of information as collected by a legacy system. In the same way, the certainty of the incident can be turned from likely to observed, if it is for example verified by own assets or other trustworthy sources.

#### 1.1.1 Indication of Incident types

There are many events at sea which can be considered as incidents, deviating from the normal pattern of life, and which are considered and processed differently depending on the entitled duties of each authority. But most of them are of the common interest.

Incident types could be:

- Additional information related to safety or security incidents on board vessels.
- Additional information related to incidents related to safety of life at sea which is considered necessary to share among authorities due to several reasons, such as the remoteness of the case, lack of accurate data, the impossibility of deploying own assets, etc.
- Additional information related to incidents related to law enforcement, as non-regulated transshipment activities, irregular migration events, stowaways’ discoveries, trafficking of illegal goods, smuggling, cyber-security events, etc.
- Additional information related to incidents impacting the environment, such as deliberate spills or dumping of waste, damage to natural resources as non-authorized fishing activity or non-authorized survey operations.
- Any incident that, by its nature, may affect directly in the health conditions of the crew, passage or cargo and that may result in an expanding outbreak.

### 1.1.2 Reporting principles

Each incident is associated with a defined position (map point) and with a defined time stamp. It can also be additionally associated to a vessel or infrastructure. To assist in a harmonized approach of incidents, the following categories could be used:

Table 1 Incident types correlation

#	Incident types	Crisis incident	Law infringement incident	Irregular migration incident	Safety incident
type 1	Ship Security Alert System Activation.	others (can be specified at the metadata)			
type 2	SAR alerts on high seas.				others (can be specified at the metadata)
type 3	Piracy and armed robbery.	violence shooting violence robbery violence kidnapping hostage taking			
type 4	Terrorism.				
type 5	Transshipment activities.		goods smuggling goods carried with no required permits		
type 6	Stowaways discovery.		other administrative offense (can be specified at the metadata)		
type 7	Immigration event.			irregular border entry irregular entry attempt	
type 8	Infectious disease or radioactivity contamination on board.	natural disaster outbreak of infectious disease and other bio hazard man made disaster radiation			
type 9	Trafficking or smuggling.		drug smuggling other drugs (trafficking can be specified at the metadata)		
type 10	Non-authorized survey operations.		goods smuggling natural resources minerals goods smuggling cultural heritage goods		
type 11	Illegal or non-authorized fishing activity.		other administrative offense (can be specified at the metadata)		
type 12	Spillage at sea.	man made disaster oil pollution man made disaster waste pollution			
type 13	Infringement of the right of innocent passage.		law infringement by vessels (can be specified at the metadata)		
type 14	Incompliance with position report systems regulations.		law infringement by vessels (can be specified at the metadata)		
type 15	Vessel sailing under no flag.		law infringement by vessels (can be specified at the metadata)		
type 16	Cybersecurity event	others (can be specified at the metadata)			

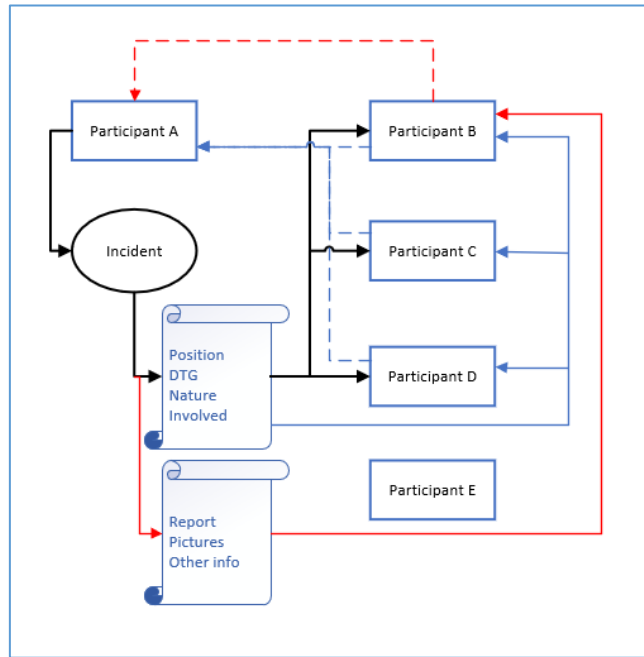
### 1.2 Baseline

A CISE participant has knowledge of an incident but does not manage to have the complete picture using its own legacy system/systems. In such a case, it may like to share an incident report with other participants of the CISE network to see if they can help obtaining additional information.

- A participant is aware, by its own means or by a third party, of one of the incident cases as described above.
- After an initial evaluation, he describes the situation and classifies it as observed or likely, sharing it through CISE to selected participants. By doing it, a position mark with the information regarding the certainty of the incident, position, date, an identification of vessels or boats involved is shared.
- The receiving participants acknowledge the incident report.
- The originator participant adds details to the information when available.
- Other participants may request additional information to the originator.
- The originator participant answers with more information if so considers.
- The incident is cancelled when it is no longer active or after certain time, but it is not deleted.



Figure 1 Baseline diagram



## 1.3 Operational view

Table 2 Incident reporting operational view.

#	Description	Provider	Action type	Receiver	Comms Pattern	Information exchanged	CISE service type	CISE data entities shared	Response time	Comment
1	Incident detection, evaluation and reporting	Participant A	Provide information to all or specific participants	Participants	Push Push unknown	Position of the incident DTG of occurrence Type of incident Certainty Vessels involved	Incident service	Incident/ Location/ Vessel/ Event document/	n/a	On detection, the participant evaluates if it is a confirmed or just suspected incident, prior to share the information. Then shares the position and the basic data of the incident (DTG, type, vessel involved and certainty)
2	Acknowledge	All Participants receiving the incident shall provide an ack	Reply	Participant A	Acknowledgement				5 minutes	It is the Participant A, that provides the information, who needs to mark the field "requiresAck" as "true" in the sent push message.
3	Report additional information	Participant A	Provide additional information	Participants	Push Push unknown	Description of the incident (report, pictures...) Any other information related	Document service	Document	On demand	Participant sends amplifying info, as pictures, report of the incident or the involved vessels or persons...
4	Request for additional information	Participant C	Request information	Participant A	Pull Request	Request	Document service	Document	On demand	Other participant may ask for additional information not included in the report.
5	Report additional information	Participant A	Provide information	Participant C	Pull Response	Description of the incident (report, pictures...) Any other information related	Document service	Document	30 min	Participant answers sending amplifying info, in the form of document
6	Cancelation	Participant A	Provide information	Specific participants	Push Unknown	Position of the incident DTG of occurrence Type of incident Certainty Vessels involved	Incident service	Incident	15 min	The originator sets the end time when it is assessed as no longer active
TOT	6									

## 2. Risk profile pre-operational service

### 2.1 Description

This proposed service will allow to assign declared risks to maritime geographical places (areas and locations) that may affect vessels, activities, or the environment. A risk area can be set, maintained, and updated until the risk is no longer considered present, potentially endangering shipping or the environment. Participants may use this service to improve their maritime awareness, facilitating the implementation of measures to reduce the risk, including reaction measures and collaborative ones. It is not intended to be a risk assessment tool, neither an instrument to measure risk levels.

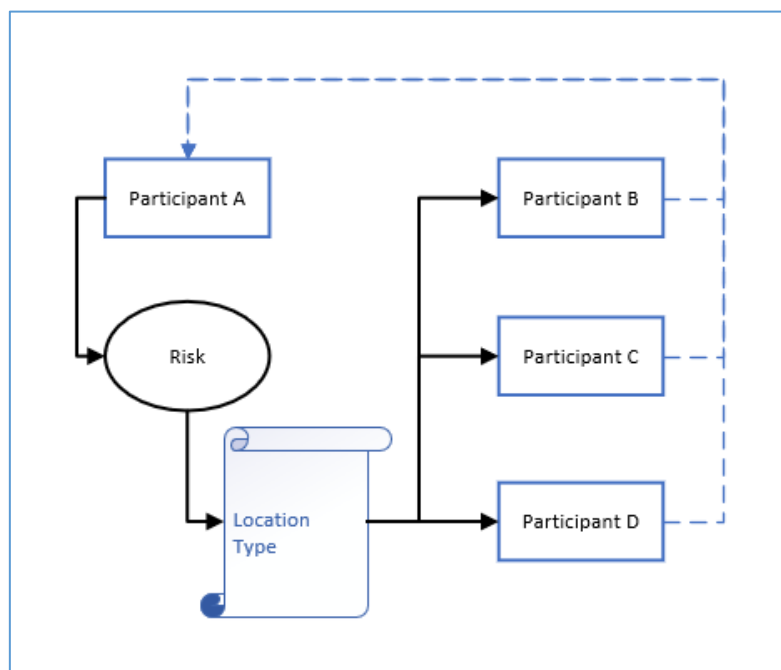
The service may also be useful as a threat warning service, mainly in those circumstances where it can be used to declare a risk area when an incident location is unclear, thus complementing the incident report service.

### 2.2 Baseline

A CISE participant has knowledge of a possible risk but does not manage to have the complete picture using its own legacy system/systems. In such a case, it may like to share information about this particular risk or risk area with other participants of the CISE network to see if they can help obtaining additional information.

- A participant is aware, of a potential risk situation among described above in an area or defined location and reports it by establishing an area, or a geographical mark.
- Other participants may subscribe to this risk profile.
- The information is consumed by the subscribers.

Figure 2 Baseline diagram



## 2.3 Operational view

Table 3 Risk profile operational view.

#	Description	Provider	Action type	Receiver	Comms Pattern	Information exchanged	CISE service type	CISE data entities shared	Response time	Comment
1	Risk evaluation and dissemination	Participant A	Provide information	All	Push unknown	Nature of the risk Location (area or position) Other information (description, pictures, vessels or objects involved, period)	Risk service	Risk / location / event / event document / agent	On demand	After evaluation and area definition, the participant shares the information with all participants
2	Subscribe to risk profile	Anyone	subscribe	Participant A	Pull request		Risk service	Risk / location / event / event document / agent	On demand	
3	Update risk information	Participant A	Provide information	All	Push unknown	Location (area or position) Other information (description, pictures, vessels or objects involved, period)	Risk service Document service Meteo Oceanographic Condition service	Risk / location / event / event document / agent location: Meteo Oceanographic Condition	On demand	If the participant that defines the risk profile has new information, re-evaluates the risk and updates it accordingly
4	Cancelation	Participant A	Provide information	All	Push Unknown	Nature of the risk Location (area or position) Other information (description, pictures, vessels or objects involved, period)	Risk service	Risk / location / event / event document / agent	30 min	The originator sets the status to cancelled by including the ending time, when the risk is assessed as no longer active
TOT	4									

## 3. Vessels of Interest List

### 3.1 Description

There may be situations where, an authority may want to notify other participants of a set of vessels of (their own) interest that he considers to be a risk for security, safety or other reason, expecting to be reported when the vessel is detected by another authority.

Usually, this is due to the lack of information about the movements of such vessels, or sometimes just because this authority does not have access to those systems.

The information to be included in the notification can range from just a vessel ID (e.g., IMO/MMSI numbers) to additional attributes as pictures or reports. To make this notification, the vessels are included in a list of vessels of interest (VOI) list, which is shared among participants.

This is a three steps process. It starts with the generation and publication of the list, sharing the list content with other participants (including updates: vessels added or deleted from the list), and lastly, the reporting or notification of the VOI when located.

#### 3.1.1 Generation and publication of the list

Creating and publishing a VOI list available for the community is the initial step. Then, it can be populated with vessels, expecting to trigger alerts when these are detected. Each participant will have its own list, with each vessel designated as a VOI. The type can be also included but it is not mandatory. The minimum information per vessel is shown at the operational view.

#### 3.1.2 List update

This step is aimed to include or delete a VOI in the list. Each time a modification to the list is done, the system will automatically share it to the proper participants by the publish-subscription pattern.

Each time a VOI list is received, the system automatically shall acknowledge its reception.

#### 3.1.3 Reporting on detection

The detection of a VOI must trigger the notification report by the participant who detects it. We can consider the following notification possibilities:

- Initial report. This is just a notification that the vessel has been located. Time stamp, kinetic, position and some data as images, video footage or written reports can also be obtained and shared within CISE, if available.
- Tracking report. While possible, tracking the movements of the vessel at certain time intervals should be kept. The report is to be sent just to the VOI list publisher.

### 3.2 Baseline

- A participant has a special interest in a given vessel. Making use of the VOI list service, designates it as a Vessel of Interest, and includes it into his VOI list (or generates it by the first time).
- The participant reports this list to other participant(s).
- Participants subscribes to the VOI list.
- VOI lists are automatically updated when any change is inserted and then made available to participants by a Publish/Subscription pattern.
- The VOI, or some piece of information about it, is found by a participant, who shares this with the list owner.

# PRE-OPERATIONAL SERVICES

Figure 3 Baseline diagram. Generating, sharing and updating the VOI list.

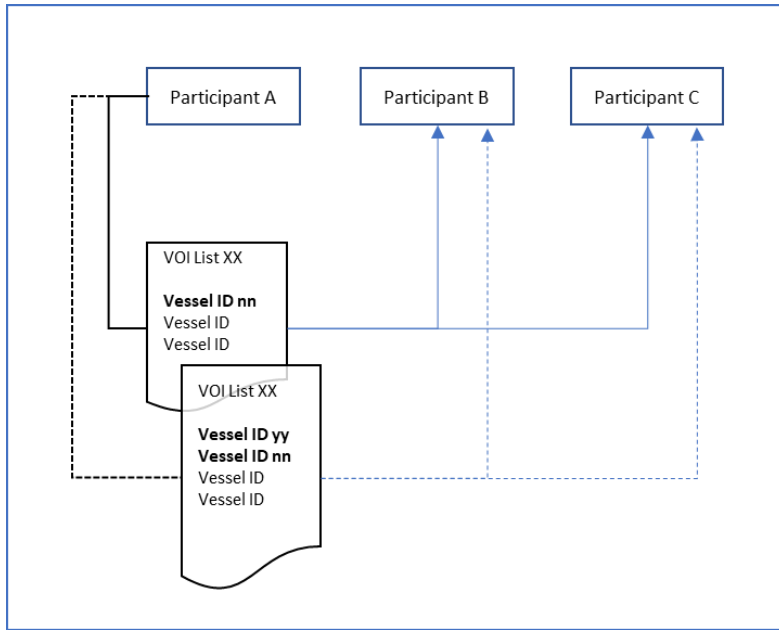
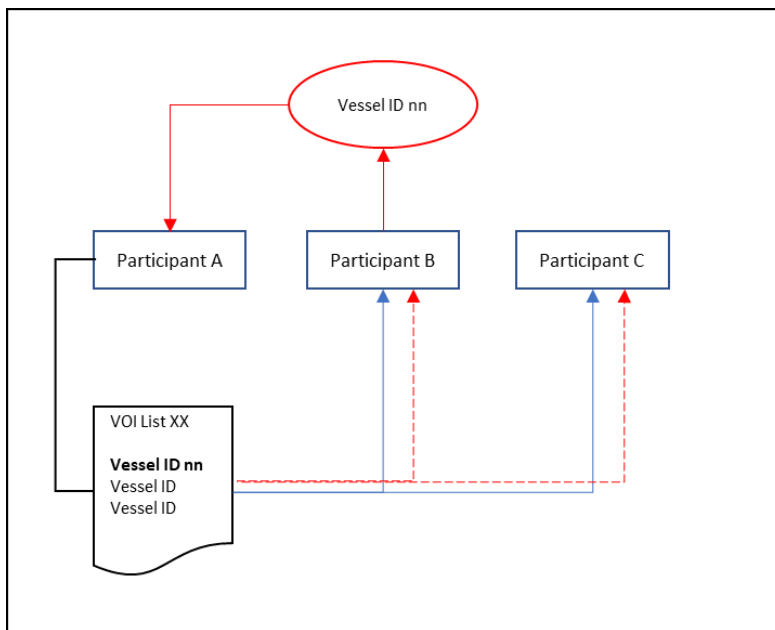


Figure 4 Baseline diagram. Detecting a VOI.



### 3.3 Operational view

#### 3.3.1 Generation and publishing of the list

Table 4 VOI list operational view. Create the VOI list.

#	Description	Provider	Action type	Receiver	Comms Pattern	Information exchanged	CISE Service type	CISE data entities shared	Response time	Comment
1	Publishing the list	Participant A	Generate the list	Designated participants	Push subscribe (publish)	Service message information (vessel information if any. it is not necessary to include a vessel to publish the list) In case a vessel is included, the payload should: <ul style="list-style-type: none"> <li>Identify the vessel and designated as VOI (Type can be included optionally)</li> <li>Include additional descriptive information (nice to include a fresh image) if any.</li> </ul>	Vessel service	Vessel/ document	On demand	Participant A publish the VOI list to the designated participants in the as a vessel service, to allow them to subscribe to it. It can be an empty payload list or a list with the first vessel that populates it. To identify a vessel, only IMO, name, and flag is needed, but MMSI and C/S are also highly recommended to be included.
2	Subscribing to list	Designated participants	Subscribe	Participant A	Pull Request subscribe		Vessel service	Vessel	On demand	Any participant receiving the VOI list can send a subscription request
<b>TOT</b>	<b>2</b>									

#### 3.3.2 Updating the list

Table 5 VOI list operational view. Add or remove a vessel.

#	Description	Provider	Action type	Receiver	Comms Pattern	Information exchanged	CISE Service type	CISE data entities shared	Response time	Comment
1	Identify a new VOI and incorporation to list	Participant A	Provide information	Designated participants	Push subscribe (publish)	The full list, updated with new vessel information: <ul style="list-style-type: none"> <li>Identify the new vessel and designated as VOI (Type can be included optionally)</li> <li>Include additional descriptive information (nice to include a fresh image) if any.</li> </ul>	Vessel service	Vessel/ document	System time	Participant A sends the VOI list with the new vessel included.
2	Removing a vessel from the list	Participant A	Provide information	Designated participants	Push subscribe (publish)	Full list, but without the removed vessel.	Vessel service	Vessel/ document	System time	Participant A sends the VOI list updated without the removed vessel.
<b>TOT</b>	<b>2</b>									

### 3.3.3 Report on detection

Table 6 VOI list operational view. Detecting and report a VOI.

#	Description	Provider	Action type	Receiver	Comms Pattern	Information exchanged	CISE Service type	CISE data entities shared	Response time	Comment
1	Report on detection	Participant B (there can be some other else)	Provide information	Participant A	Push	<ul style="list-style-type: none"> <li>- Static information that allows to identify it as IMO, MSSI, C/S, name and flag.</li> <li>- Time stamp (DTG), position, course and speed.</li> <li>- Discrepancies to vessel known identity information (IMO, name, flag, MMSI) or features (colour scheme, cranes, boats, rig...)</li> <li>- Description of the sailing behaviour and condition (steady, random, trimmed, ballast...) and some fresh picture or video.</li> </ul>	Vessel service / Document service / Event document service	Vessel/ event/ document	30 minutes from detection	Participant B detects the VOI of interest for participant A and reports the VOI detection to him. The push message should be correlated (correlation ID) to the message ID of the published VOI list.
<b>TOT</b>	<b>1</b>									



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