

Directorate A: Resources



Single Market Programme (SMP ESS)

Call for proposals Invitation to submit a proposal

TrustedSmartSurveys2022

(SMP-ESS-2022-TrustedSmartSurveys)

Version 1.0 19/07/2022

EU Grants: Call document (SMP ESS): V1.0 - 19/07/2022

HISTORY OF CHANGES							
Version	Publication Date	Change	Page				
1.0	19/07/2022	■ Initial version (new MFF)					



CALL FOR PROPOSALS

TABLE OF CONTENTS

U. Introduction	4
1. Background	5
2. Objectives — Themes and priorities — Activities that can be funded — Expected impact	7
SMP-ESS-2022-TrustedSmartSurveys-H7-6257	7
Objectives (expected outcome)	7
Themes and priorities (scope) — Activities that can be funded (scope)	11
Expected impact	12
3. Available budget	12
4. Timetable and deadlines	14
5. Admissibility and documents	14
6. Eligibility	15
Eligible participants	15
Consortium composition	17
Eligible activities	17
7. Financial and operational capacity and exclusion	17
Financial capacity	17
Operational capacity	18
Exclusion	18
8. Evaluation and award procedure	19
9. Award criteria	20
10. Legal and financial set-up of the Grant Agreements	21
Starting date and project duration	21
Milestones and deliverables	22
Form of grant, funding rate and maximum grant amount	22
Budget categories and cost eligibility rules	23
Reporting and payment arrangements	24
Prefinancing guarantees	24
Certificates	24
Liability regime for recoveries	25
Provisions concerning the project implementation	25
Other specificities	25
Non-compliance and breach of contract	25
11. How to submit an application	25
12. Help	26
13. Important	27

EU Grants: Call document (SMP ESS): V1.0 - 19/07/2022

0. Introduction

This is a call for proposals for EU **action grants** in the field of Economic and Monetary Union, globalisation and trade under the European Statistics part of the **Single Market Programme (ESS)**.

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

- Regulation 2018/1046 (<u>EU Financial Regulation</u>)
- The basic act (SMP Regulation <u>2021/690</u>¹, European Statistics Regulation <u>223/2009</u>²).

The call is launched in accordance with the 2022 Work Programme³ and will be managed by the **European Commission**, **Eurostat (DG ESTAT)**.

The call covers the following **topic**:

SMP-ESS-2022-TrustedSmartSurveys-H7-6257

We invite you to read the **call documentation** carefully, and in particular this Call Document, the Model Grant Agreement, the <u>EU Funding & Tenders Portal Online Manual</u> and the <u>EU Grants AGA — Annotated Grant Agreement</u>.

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

- the <u>Call Document</u> 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)
 - 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)
- the Online Manual outlines the:
 - procedures to register and submit proposals online via the EU Funding & Tenders Portal ('Portal')

Regulation (EU) 2021/690 of the European Parliament and of the Council of 28 April 2021 establishing a programme for the internal market, competitiveness of enterprises, including small and mediumsized enterprises, the area of plants, animals, food and feed, and European statistics (Single Market Programme) (OJ L 153, 3.5.2021, p. 1).

Regulation (EC) No 223/2009 of the European Parliament and of the Council of 11 March 2009 on European statistics (OJ L 87, 31.3.2009, p. 164).

Commission Implementing Decision C(2022) 724 final of 17/02/2022 concerning the adoption of the work programme for 2022 and the financing decision for the implementation of the Single Market Programme.

Call: SMP-ESS-2022-TrustedSmartSurveys

Title: "TrustedSmartSurveys2022"

EU Grants: Call document (SMP ESS): V1.0 - 19/07/2022

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).

You are also encouraged to visit the following website to consult the list of projects funded previously (https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/opportunities/projects-results).

1. Background

This is an EU call for applied research grants in the area of official statistics and in particular 'Trusted Smart Statistics'.

The mission of official statistics is to provide a *quantitative* representation of the society, economy and environment for purposes of public interest, for policy design and evaluation, and as basis for informing the public debate. The relationship between citizens and official statistics is twofold: citizens are both *subjects* and (potential) *recipients* of official statistics inasmuch statistics are made *about* the citizens and *for* the citizens but rarely *with* the citizens.

Rapid and transformative developments of the Internet-of-Things and, more generally, the use of new data sources and the penetration of digital technologies into everyday life, represent fundamental challenges, opportunities, threats and responsibilities for official statistics in particular in respect to the citizen participation and the (re)use of data the citizen produce, but also the way they value, consume and interact with official statistics producers.

Citizen demands more participation in the societal processes that concern them, not least because technologies enable forms of participation that were not there before. Moreover, societal processes that are successful involving citizens gain public acceptance and legitimacy. There is an increasing demand for **citizen engagement in policy** design and evaluation, while "**citizen science**" initiatives bring citizens closer to the societal process of "science".

Trusted Smart Statistics:

In a world impregnated with smart technologies, Trusted Smart Statistics can be seen as a new model for the production of official statistics. Their production rely on smart technologies that optimise the physical operation of appliances and consumer devices enabling real-time, automated, interactive compilation of data through transformation of 'raw signal' into 'information'. In addition, the workflows are auditable and transparent, they preserve privacy and safeguard statistical confidentiality of the output to ensure not only the validity and the accuracy of the outputs, but also to create trust and conditions of participation of data subjects increasing the degree of trustworthiness and promoting social acceptance. In the context of Trusted Smart Statistics we may consider 4 main sources of data: smart survey data, publicly or privately held data, citizen science data and data available on the web.

EU Grants: Call document (SMP ESS): V1.0 – 19/07/2022

Trusted Smart Surveys:

In the traditional model of statistical surveys, citizens play a dual role. On the *input side* of statistical production, citizens are asked questions (about their individual status and behaviour), as respondents in surveys and censuses. On the *output side* they receive statistics (about the collective status and behaviour of the whole population), as direct or indirect recipients of the published statistical information.

Several National Statistical Institutes, within and outside the European Statistical System (ESS), have defined the vision of 'trusted smart surveys' to serve as a lighthouse to modernise their traditional data collection in view of combatting the decline of data subject participation and to improve efficiency and quality of the statistical production process and outputs. Additional initiatives aim to exploit the enhanced possibilities offered by smart and cryptographic technologies. On the one hand, data collections can be based on smart personal devices and involve (continuous, low-intensity) interaction with the respondent and her personal device(s). It can combine (inter)active data provided explicitly by the respondent (such as responses to queries, or shared images) together with passive data collected in the background by the sensors (e.g. accelerometer, GPS) of the same device or by other devices within the personal sphere of the respondent. On the other hand, it strives using state of the art technological solutions to protect personal data e.g. Privacy Enhancing Technologies (PET), ensuring full transparency and auditability of data processing methods and algorithms.

The ESS is paving the way for disruptive innovation transforming data collection methods and eventually the production systems of official statistics. This innovation crosses the borders of statistical domains and specific surveys. Its implementation aims to benefit multiple statistical domains and multiple NSIs. However, in view of its adaptation to different national contexts, solutions should be modular and composable. Services implementing a set of common functions should be configurable and can be used to build particular instances of a trusted smart survey.

The ESS has carried out several explorations and Proof-of-Concept (PoC) projects, at both national level and European level for few of the components of Trusted Smart Surveys. For the latest developments, information can be found on the <u>CROS portal ESSnet Smart Surveys</u>. In particular, the specific project has released a conceptual framework and a reference architecture for Trusted Smart Surveys that provides the ground for further development and research. In addition, the project has made some initial exploration on the use of gamification, machine learning, geolocation, etc. in specific surveys, as well the possibilities to use PET.

In the context of citizen science, air quality, traffic and other data mostly at local level have proven to be useful as well as in some international projects (e.g. solar panels and solar power yields). Admittedly, the 'worlds' of data sources – surveys, privately held data and citizen science – are converging with respect to the required level of engagement of citizens. The Trusted Smart Survey concept paves the way for official statistics to move towards a) collaborative projects, i.e. National Statistical Institutes design citizen science projects and collaborate with citizens/volunteers, and even more towards b) co-creation of projects i.e. National Statistical Institutes and citizens/volunteers design together a citizen science project.

EU Grants: Call document (SMP ESS): V1.0 – 19/07/2022

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

SMP-ESS-2022-TrustedSmartSurveys-H7-6257

Objectives (expected outcome)

Overall, this call for proposals aims at providing financial support to countries in the European Economic Area to carry out applied research work to advance the modernisation of official statistics, in particular accelerating and facilitating the implementation of Trusted Smart Surveys, i.e. the deployment of innovative data collection methods in combination with other relevant source information to produce improved and augmented official statistics.

In particular, this applied research project must develop, implement and demonstrate the concept of Trusted Smart Surveys realising a proof of concept for the complete, end-to-end, data collection process and demonstrating a solution combining the 3 key features of Trusted Smart Surveys namely:

1) involvement and engagement of citizens as active contributors, 2) acquiring, processing and combining data collected from smart devices and other appliances, and 3) contributing to the trustworthiness by guarantying strong privacy safeguards.

The project unavoidably includes strong technological components as certain digital technologies are essential enablers of the envisioned model (most prominently mobile devices, edge computing and PET, machine learning, etc.). However, it is expected that the project will not need to primarily develop technologies but merely combine skilfully existing state-of-art technological solutions to realise the proof of concept. This will enable deepening the research on non-technological aspects such as behavioural aspects of citizens in engaging and contributing to this new mode of data collection for the public good, building trust across stakeholders, ensuring the quality aspects of the collected data in particular with respect to the effects induced by the use of the technologies and the mitigation of the actual and perceived risks on the privacy of respondents.

The project must hence work out technological, behavioural, legal and communication aspects and propose a coherent model that is able (i) to prospectively engage a large number of participants as active and voluntary contributors in the statistical data collection and (ii) gain wider public acceptance of the development of smart survey in the context of official statistics production also beyond the set of participants.

The results must be generic in view of their extension to different statistical survey instruments involving human interaction principally in the domain of social statistics and their implementation in different national context i.e. different cultural, legal and language contexts. Moreover, key technological and privacy preservation features should be composed of elements that would be modular and composable and eventually sharable among countries.

EU Grants: Call document (SMP ESS): V1.0 – 19/07/2022

The envisioned project is expected to cover the following components and features:

1) Behavioural research and Human Computer Interaction (HCI). It concerns principally but not only:

- The use of personal mobile devices, i.e. smartphones as the main interaction channels between the individual participants and the overall statistical process. The project will include the use of an existing "smart statistics app" or the design and development of a "smart statistics app" acting as front-end towards the active participants and the necessary back-end IT components. Usability, portability (to different devices) and privacy should be considered as top-level requirements for the app.
- The design of the interaction model with the participants⁴ to be carefully modulated in order to maximize acceptance and responsible participation, with the support of statistical interviewers that play an important supportive role in the process. If the interaction is excessively invasive, the active participants may decide to abandon and engagement would be lost. If excessively sparse, the 'continuous engagement' of the citizen may vanish. Artificial Intelligence solutions may be employed to optimise timing (when to ask), location (where to ask), and content (what to ask) of questions to be posed. Participants can be engaged in different functions such collecting, training, assessing and verifying (e.g. verifying the quality of collected data). Generic incentive schemes should be designed and tested for their potential bias on data collection process. The interaction model may include also mechanisms to feedback statistical information to the participants (e.g. to reward participants, but also to experiment with novel visualisation and dissemination schemes).
- The interaction model should foster building trust among participants, creating the conditions for active participation of citizen for the collection of information of high societal relevance. It should aim at counterbalancing the effect of declining participation in traditional surveys.
- The design and prototypical implementation of a suitable interaction model represents a core aspect of the project and must be conducted with the support of qualified experts in behavioural sciences or Human Computer Interaction (HCI) in the context of conducting statistical surveys.
- 2) Smart data acquisition and processing. It concerns principally but not only:
 - The design, implementation and demonstration of workflows to collect and process data from passive sensors. Data should be obtained by the mobile device itself (e.g. approximate location sampled at few daily times) or other connected devices (e.g. smart watch) to be employed to complement active responses by the participants to explicit questions (e.g. 'are you at a restaurant'?) or actions (e.g. 'please scan the receipt') requested explicitly to the participants. Machine Learning (ML) modules may be employed to classify or reduce unstructured data (e.g. pictures or accelerometer data) to structured data. However, it is expected that the goals of the project can be accomplished

^{• 4} The interaction model must be able **involve participants in multiple roles**:

o data subject, contributing with his/her individual data to the making of a pre-defined survey.

o responsible statistical user, contributing with ideas and opinions as to what he/she would consider important to be measured by (future) statistics; what social, economic or environmental phenomena should be targeted by (present or future) official statistics.

methodological contributor, e.g. occasionally helping to label training data in targeted crowdsourced campaign.

with standard ML concepts and framework, with no further research being needed on novel ad-hoc ML modules in the context of this project.

- The use of robust and generic approaches for the acquisition and processing of data building on AI and other smart technologies from a broad range of devices (e.g. activity trackers, smartphones, etc.) and inputs (e.g. receipts from purchases).
 - The proposed framework should be modular and generic to perform well enough in a variety of situations, supporting complex data collections (e.g. Household Budget Survey (HBS), Time Use, Mobility, etc.) and to adapt to a dynamically changing environment e.g. as in the case of HBS and the use of receipts as input data, considering a) the variety of possible receipts in the context of HBS and the recognition of a receipt, b) legislation concerning their content, c) languages and d) identification of products to be classified in the COICOP. The framework ideally would enable the training of advanced models (ML and others), their maintenance through documented and reproducible procedures with relevant metrics for monitoring the quality and establishing the criteria for retraining. It should be evolvable and expandable. Algorithms and approaches should allow the integration of contextual information and generate required metadata (paradata and various logs) to enable the quality control of the collected data.
- Statistical methodologies and strategies to mitigate, correct or anyway cope
 with the potential bias resulting from the recruitment of voluntary participants.
 Possible strategies may include hybrid schemes where invited participants
 from a pre-defined frame coexist with other voluntary off-frame participants.
- 3) Privacy preservation, full transparency and auditability, and cryptographic approaches. It concerns principally but not only:
 - Data and code governance policies that allow only the extraction of predefined aggregate information (statistics) that is (i) fully anonymous and (ii) based on pre-defined and publicly transparent methods authorised by relevant actors. The aim is to reassure participants and gain public acceptance as well as to provide evidence to national and European data protection authorities of the appropriate measures mitigating potential risks.
 - The release of open-source technological components. The project must define, enable and run a process of independent security auditing and, if relevant, obtain security certification of technological solutions. The aim is to gain credibility and public acceptance as well as to provide evidence to national and European data protection authorities of the appropriate measures mitigating potential privacy risks.
 - The selection and deployment, in the Trusted Smart Survey context, of technological solutions from the field of Privacy Enhancing Technologies (PET), possibly combined with distributed ledger technologies. The technological solutions should enable and guarantee the agreed policies for the data and the code, or in other words, to ensure that what is forbidden or anyway not explicitly allowed by the policies is made technologically unfeasible. The aim is to ensure that respondents remain in full control of the personal data, their use will be according to statistical confidentiality principles, as well as to provide evidence to national and European data protection authorities of the appropriate measures mitigating potential privacy risks.
 - Legal and risk assessment to be integrated into a generic Data Protection Impact Assessment in view of obtaining the necessary approval from the national (or European) Data Protection Authorities.

EU Grants: Call document (SMP ESS): V1.0 - 19/07/2022

 Architectural design for the deployment of the PET and cryptographic solutions taking into account the quantity (scalability by design) and the complexity of dynamically produced data, e.g., data from sensors, scanned data, etc. aiming to ensure strong protection of the data subject's private sphere and the strict control of access and further processing.

Key success factors

Meeting these objectives is not possible without the active involvement of National Statistical Institutes as they are able to formulate requirements for the integration in statistical production processes within their respective national statistical system. Proposals for actions that will build on the acquired experience of National Statistical Institutes and add value to the efforts of the National Statistical Institutes and bring these developments closer to production will have priority over ones that may not. National Statistical Institutes have explored and release PoC in the use of Trusted Smart Surveys in different contexts (https://ec.europa.eu/eurostat/cros/content/essnet-smart-surveys en) and produced material part that should be taken into account in the current action.

In addition, proposals that will give preference to the use/development of Open Source Software enabling reuse, transparency and auditability will have priority over ones that may not include relevant provisions.

EU Grants: Call document (SMP ESS): V1.0 - 19/07/2022

<u>Themes and priorities (scope) — Activities that can be funded (scope)</u>

Any proposal should include all activities specified below.

- Developing a <u>coherent and complete framework</u> and models covering the relevant technological, behavioural, methodological and privacy preservation aspects along the objectives described above, usable and applicable in the context of complex data collections such as HBS or HETUS.
- In particular, this applied research project must <u>develop</u>, <u>implement and demonstrate</u> the concept of a Trusted Smart Survey <u>realising a solution</u>, usable and applicable in the context of complex data collections such as HBS or HETUS, that will combine developments of the three key features of Trusted Smart Surveys as described in the aforementioned objectives and strands of work:
- 1) involvement and engagement of citizens, 2) acquiring, processing and combining data collected from smart devices and other appliances, and 3) contributing to the trustworthiness through PET and related technologies and realising a PoC of a trusted smart survey based on state of the art technologies.
- Implementing a technological prototype of an end-to-end Trusted Smart Survey fostering the use of open-source solution, making it available in an open repository and providing a clear description of the methodological (limitations, range of applicability) and business implementation aspects (who does what).
- In addition, the project must design and implement an effective public communication strategy to gain public acceptance and promote voluntary participation in large-scale pilot tests at national or European level. Such a communication strategy may rely on multiple media channels (e.g. traditional media and social network, text, podcasts or videos) and may use viral communication strategies ("tell your friends"). The content of public communication is expected to revolve on the social importance of official statistics as a "common good" and on the social responsibility to contribute actively towards their production.
- Demonstrating the feasibility of the solution of an end-to-end Trusted Smart Survey in an **experimental trusted smart survey** to be conducted within the project, in at least two countries, with no less than 50 participants in each country, and duration of at least 2 weeks in each instance of the survey. The relevance and the applicability of the approach for different, specific and complex data collection (HBS, TUS) of the experimental smart survey can be chosen by the applicant and must be specified in the research project application in view of assessing its genericity and impact on the production of official statistics.
- Following the PoC, deliver a plan for scaling up the deployment of a modular, and composable solution that would be composed of elements that should be eventually sharable over a platform among countries. The plan should explicitly refer to the deployment of elements that could be scaled-up, identifying those that could be sharable among countries (possibly e.g. privacy preservation, citizen engagement and gamification), and to country specific elements that cannot be sharable.

EU Grants: Call document (SMP ESS): V1.0 - 19/07/2022

Organisational set up

The organisational set up includes:

• The overall co-ordination work including communication mechanisms with Eurostat and with the co-partners.

- The organisation of meetings at different milestones of the action (to be included in the application). Eurostat will be invited at these meetings and will be regularly informed on the progress of the action and the respective activities.
- The network should mobilise a communication tool (restricted access) where the interested parties can consult and comment the developments of the action and the respective activities.

Communication and Dissemination of Results

The network is requested to maintain the following monitoring, communication and dissemination activities:

- Regular involvement of Eurostat and other non-participating organisations within the European Statistical System (e.g. National Statistical Institutes) with regard to the results achieved; this could be via conferences, bilateral assistance, the organisations of technical or other meetings or via other means;
- Preparation of regular monitoring reports (e.g. 6-month reports). These reports should contain progress towards milestones and final results, achieved results and deliverables and risks.
- Dissemination of all results and deliverables achieved (possibly but not only on the <u>CROS portal</u>).
- Communication during various meetings with NSIs, research communities or other relevant organisations.

Expected impact

The action is expected to demonstrate the benefit of the new data collection paradigm increasing citizen's acceptance in the use of new technologies and related data sources for official statistics and contributing in the efficiency and the quality of the production of official statistics.

Indicators for evaluation of the action:

Successful achievement of the objectives will be measured according to the following indicators:

- Timely transmission of the deliverables
- Content of the work done and results achieved
- Relevance of the work done with respect to the scope and objectives of the action
- Quality, clarity and accuracy of reports with respect to implementable actions, as well as of the intermediate and final report.

EU Grants: Call document (SMP ESS): V1.0 - 19/07/2022

3. Available budget

The available call budget is **EUR 2,200,000.00**.

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

Timetable and deadlines (indicative)					
Call opening:	19 July 2022				
Deadline for submission:	17 November 2022 - 17:00:00 CET (Brussels)				
Evaluation:	November 2022 – December 2022				
Information on evaluation results:	January2023				
GA signature:	March 2023				
Starting date:	2 nd Quarter 2023				

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 <u>Search Funding & Tenders</u> section. Paper submissions are NOT possible.

Proposals (including annexes and supporting documents) must be submitted using the forms provided *inside* the Submission System ($\stackrel{\bullet}{L}$ NOT the documents available on the Topic page — they are only for information).

Project acronym — Please use the following naming convention: 'Year-Country-Acronym topic' (ex. 2022-BE-TSSurveys).

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 (template available in the Submission System)

Title: "TrustedSmartSurveys2022"

EU Grants: Call document (SMP ESS): V1.0 – 19/07/2022

Calculator: not applicable.

Call: SMP-ESS-2022-TrustedSmartSurveys

- Curriculum vitae of the people primarily responsible for managing and implementing the operation (accompanied where appropriate, like in the field of research and education, by a list of relevant publications), illustrating their competence, expertise, leadership quality and authority required by the action task.
- Activity reports of last year
- List of previous projects (key projects for the last 4 years) (template available in Part B)
- ESS personnel cost grids

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/calculator. In case of discrepancies, the amounts in the online summarised budget table will prevail.

The personnel cost grids must be provided for each beneficiary and affiliated entity (merged into one PDF to upload). Use the latest validated unit cost grids for the NSI in your country (the other national authorities (ONAs) may use the unit cost grid of the NSI of their country). During grant agreement preparation, you will have to reupload the grids as Annex 2b to the Grant Agreement.

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 **70 pages** (Part B). Evaluators will not consider any additional pages.

You may be asked at a later stage for further documents (for legal entity validation, financial capacity check, bank account validation, etc).

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

6. Eligibility

Eligible participants

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

- be legal entities (public or private bodies)
- be established in one of the eligible countries, i.e.:
 - EU Member States (including overseas countries and territories (OCTs))
 - non-EU countries: Iceland, Liechtenstein, Norway, Switzerland (<u>list of participating countries</u>)

Call: SMP-ESS-2022-TrustedSmartSurveys

Title: "TrustedSmartSurveys2022"

EU Grants: Call document (SMP ESS): V1.0 - 19/07/2022

Beneficiaries and affiliated entities must register in the <u>Participant Register</u> — 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 selfemployed 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 not eligible.

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 persons⁵.

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'⁶. 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).

National statistical institutes (and other national authorities) — These cover entities that have been designated by the Member States under Article 5 of the European Statistics Regulation 223/2009. For calls that are restricted to such entities, all participants (beneficiaries and affiliated entities) must be on the 'Article 5 list'. The lists are established by the National Statistical Institutes (NSIs) and then communicated to DG ESTAT (the detailed procedure is described on the Eurostat website). Entities that have applied to be listed, can participate in our calls, provided that the listing procedure has been launched before (or at the same time) as the grant application and that it is concluded before grant signature.

EU restrictive measures — Special rules apply for certain entities (e.g. entities subject to <u>EU restrictive measures</u> under Article 29 of the Treaty on the European Union (TEU) and Article 215 of the Treaty on the Functioning of the EU (TFEU) 7 and entities covered by Commission Guidelines No <u>2013/C 205/05</u> 8). 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).

⁵ See Article 197(2)(c) EU Financial Regulation <u>2018/1046.</u>

For the definitions, see Articles 187(2) and 197(2)(c) EU Financial Regulation 2018/1046.

Please note that the EU Official Journal contains the official list and, in case of conflict, its content prevails over that of the <u>EU Sanctions Map</u>.

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).

EU Grants: Call document (SMP ESS): V1.0 – 19/07/2022

For more information, see <u>Rules for Legal Entity Validation, LEAR Appointment and</u> Financial Capacity Assessment.

Consortium composition

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

- minimum <u>one</u> non-NSI/Other National Authority (ONA) entity from two different eligible countries, and
- minimum **two** NSIs or Other National Authorities (ONA).

Affiliated entities and other participants are allowed, if needed, but do not count for the minimum consortium composition.

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.

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 <u>Participant Register</u> 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

EU Grants: Call document (SMP ESS): V1.0 – 19/07/2022

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 <u>Rules for Legal Entity Validation</u>, <u>LEAR Appointment and Financial Capacity Assessment</u>.

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
- Curriculum vitae of the people primarily responsible for managing and implementing the operation (accompanied where appropriate, like in the field of research and education, by a list of relevant publications), illustrating their competence, expertise, leadership quality and authority required by the action task
- List of previous projects (key projects for the last 4 years) (template available in Part B)
- applicants' activity reports of last year.

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.

EU Grants: Call document (SMP ESS): V1.0 - 19/07/2022

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 participate⁹:

- 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 misconduct¹⁰ (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)
- 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 11:

- during the award procedure they misrepresented information required as a condition for participating or failed to supply that information
- 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).

See Articles 136 and 141 of EU Financial Regulation 2018/1046.

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.

See Article 141 EU Financial Regulation 2018/1046.

EU Grants: Call document (SMP ESS): V1.0 - 19/07/2022

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 scores.

For proposals with the same score (within a topic) 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:

 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'.

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 <u>Funding & Tenders Portal Terms and Conditions</u>). 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: clarity and consistency of project, objectives and planning; extent to which they match the themes and priorities and objectives of the call; contribution to the EU strategic and legislative context; European/transnational dimension; impact/interest for a number of countries (EU or eligible non-EU countries); possibility to use the results in other countries; potential to develop mutual trust/cross-border cooperation (30 points)

EU Grants: Call document (SMP ESS): V1.0 - 19/07/2022

- Quality:

Project design and implementation: technical quality; logical links between the identified problems, needs and solutions proposed (logical frame concept); 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) (30 points)

- Project team and cooperation arrangements: quality of the consortium and project teams; appropriate procedures and problemsolving mechanisms for cooperating within the project teams and consortium (30 points)
- Impact: ambition and expected long-term impact of results on target groups/general public; appropriate dissemination strategy for ensuring sustainability and long-term impact; sustainability of results after EU funding ends (10 points).

Award criteria	Minimum pass score	Maximum score
Relevance	21	30
Quality — Project design and implementation	21	30
Quality — Project team and cooperation arrangements	21	30
Impact	7	10
Overall (pass) scores	70	100

Maximum points: 100 points.

Individual thresholds per criterion: 21/30, 21/30, 21/30 and 7/10 points.

Overall threshold: 70 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.

EU Grants: Call document (SMP ESS): V1.0 – 19/07/2022

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.

Estimated project duration: 24 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.

Deliverables

The following deliverables will be mandatory for all projects:

Deliverables 1: Reports describing the design, development and implementation of each of the three key features: a) citizen engagement, b) acquiring, processing and combining data collected from smart devices and other appliances, and c) ensuring privacy, and realising a PoC of a trusted smart survey based on state of the art technologies, and for conducting the experimental trusted smart surveys along the objectives described above, usable and applicable in the context of complex data collections such as HBS or HETUS. A report should include as a minimum: 1) An executive summary; 2) Objectives of the project; 3) Description of the tasks undertaken; 4) Outputs of the project; 5) Sustainability of the project's achievements; 6) Plans and conditions for scaling up the deployment of solutions. In addition, it should include where relevant source code and supportive detailed technical documentation.

Deliverables 2: In order to enhance the visibility of the projects as well as to facilitate the knowledge sharing between Member States, the beneficiaries are expected to deliver short articles/summary descriptions on the substance of the activities and the achieved results. Eurostat will make these articles publicly available.

Deliverables 3: Presentations describing the actions and results at different audiences in particular ESS Task Force and Working Group meetings.

All reports and documentation should be provided in English.

All deliverables have to be provided no later than the closing date of the action.

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).

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).

EU Grants: Call document (SMP ESS): V1.0 – 19/07/2022

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, art 6 and Annex 2).

Budget categories for this call:

- A. Personnel costs
 - A.6 ESS personnel costs based on time
 - A.7 ESS personnel costs based on deliverables
- 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:
 - other personnel costs: Yes
 - ESS personnel unit costs based on time¹²
 - ESS personnel costs based on deliverables
- travel and subsistence unit cost¹³: Yes
- equipment costs: depreciation
- other cost categories:
 - costs for financial support to third parties: not allowed
- indirect cost flat-rate: 30% of the eligible personnel costs (category A, except volunteers costs, 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
 - other ineligible costs: No

Decision of 06 April 2021 authorising the use of unit costs for eligible personnel costs for actions implemented by Eurostat.

Commission <u>Decision</u> 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).

EU Grants: Call document (SMP ESS): V1.0 - 19/07/2022

ESS personnel costs based on time must be validated by the granting authority in a separate procedure, see <u>SMP ESS Unit cost grid validation procedure</u>.

Car travel is eligible in case the use of rail is not possible.

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/10 days before starting date/financial guarantee (if required) — whichever is the latest.

There will be no **interim payments**.

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).

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

EU Grants: Call document (SMP ESS): V1.0 - 19/07/2022

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 ESS beneficiaries, it is usually limited joint and several liability with individual ceilings — each beneficiary up to their maximum grant amount.

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

Provisions concerning the project implementation

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

- rights of use on results: Yes
- access rights to ensure continuity and interoperability obligations: No

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

- communication and dissemination plan: No
- additional communication and dissemination activities: Yes

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

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).



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**:

11. How to submit an application

a) create a user account and register your organisation

To use the Submission System (the only way to apply), all participants need to <u>create</u> an EU Login user account.

Once you have an EULogin account, you can <u>register your organisation</u> in the Participant Register. When your registration is finalised, you will receive a 9-digit participant identification code (PIC).

EU Grants: Call document (SMP ESS): V1.0 - 19/07/2022

b) submit the proposal

Access the Electronic Submission System via the Topic page in the <u>Search Funding & Tenders</u> 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).

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 <u>IT Helpdesk webform</u>, 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 <u>Online Manual</u>. 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)
- Portal FAQ (for general questions).

Please also consult the Topic page regularly, since we will use it to publish call updates.

EU Grants: Call document (SMP ESS): V1.0 - 19/07/2022

Contact

For individual questions on the Portal Submission System, please contact the ${\color{red} {\rm IT}}$ Helpdesk.

Non-IT related questions should be sent to the following email address:

ESTAT-GRANTS-DIRECTORATES-A-B@ec.europa.eu.

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

EU Grants: Call document (SMP ESS): V1.0 - 19/07/2022

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). Subcontracting going beyond 30% of the total eligible costs must be justified in the application.
- 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 anv).
- **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.

EU Grants: Call document (SMP ESS): V1.0 - 19/07/2022

• **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 <u>AGA</u> <u>Annotated Model Grant Agreement</u>, <u>art 6.2.E</u>).
- **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).

EU Grants: Call document (SMP ESS): V1.0 - 19/07/2022

• **Transparency** — In accordance with Article 38 of the <u>EU Financial Regulation</u>, information about EU grants awarded is published each year on the <u>Europa website</u>.

This includes:

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