

CALL FOR PROPOSALS

and guide for applicants

Call reference: GP/EFSA/AFSCO/2017/04

Call title: Smart monitoring of airborne plant pathogens: advances in aerobiology, and molecular diagnostics and remote sensing to support risk based plant health surveillance in the EU

Project/Process code: AFSCO-03

Budget Line: 3210-COMMS

Restricted to the list of competent organisations adopted by EFSA Management Board according to Article 36 of European Parliament and Council Regulation (EC) No 178/2002

INDICATIVE PROCEDURE TIMETABLE

Milestone	Deadline	Comments
Launch date	02/05/2017	Date of Call publication on EFSA's website
Informing EFSA on consortium composition (informal)	16/06/2017	This step has the sole purpose of confirming that the indicated (potential) consortium partners are on the Article 36 List. If you would like to confirm the applicants'/partners' eligibility, i.e. confirm Article 36 List inclusion, you should contact EFSA at procurement&grants@efsa.europa.eu . Please provide the specific information as indicated in the Application Form – part 1 (Annex 4). Please note that such communication is not binding either for submitting a proposal, nor for fixing the consortium composition. In particular, the applicants are free to modify further the consortium composition. NOTE: This informal step is introduced by EFSA for assisting the Art.36 organisations (eligible entities) in applying in consortia of eligible partners. This step is not obligatory : a consortium can submit an application under this Call even if this step was not followed.
EFSA confirming the consortium eligibility	22/06/2017	EFSA, via e-mail, will confirm whether the indicated organisations are on the Article 36 List, if requested by applicants under the informal Step 1.
Clarification questions by applicants to EFSA	02/10/2017	If, after having read this Call for proposals and guide for applicants, you have any questions you may address them to EFSAProcurement@efsa.europa.eu by indicating the Call reference.
EFSA to reply to received clarification questions	10/10/2017	Replies will be provided on EFSA's webpage where this Call is published and which the applicants are requested to consult regularly.
Deadline for submission of proposals <u>Any proposal posted after the final deadline will automatically be rejected.</u>	25/10/2017	You can submit your proposal: <ul style="list-style-type: none"> - either by post (registered mail) or by courier not later than 25/10/2017, in which case the evidence of the date of dispatch shall be constituted by the postmark or the date of the deposit slip, to the address indicated below. The consortium submitting a proposal by post or by courier is requested to send an informative e-mail to EFSAProcurement@efsa.europa.eu - or delivered by hand not later than 17.00 hours (Italy time) on 25/10/2017 to the address indicated below. In this case, a receipt must be requested from EFSA as proof of submission, signed and dated by the staff member in EFSA Post Office who took over the delivery. The EFSA Post Office is open from 8.30 to 13.00 and from 14.00 to 18.00 Monday to Friday. It is closed on Saturdays, Sundays and EFSA holidays. Submission by post, courier or hand to this address: <p style="text-align: center;"><i>European Food Safety Authority - EFSA</i> <i>For the attention of – Finance Unit (Procurement Team),</i> <i>Joanna SWARCEWICZ</i> <i>Via Carlo Magno 1/a, IT – 43126 Parma</i></p> Proposals must be submitted using the double envelope system. The outer envelope should be sealed with adhesive tape, signed across the seal and carry the following information: <ul style="list-style-type: none"> - "CALL FOR PROPOSALS GP/EFSA/AFSCO/2017/02 – NOT TO BE OPENED BY THE INTERNAL MAIL DEPARTMENT". - name of the applicant - the posting date should be legible on the outer envelope.
Notification of the evaluation results	November 2017	Estimated. <i>Attention: outcome of this Call will be communicated to all applicants to the e-mail address indicated in their proposal. Accordingly, the applicants who have submitted proposals under this Call are strongly invited to check regularly the inbox in question.</i>
Grant agreement(s) signature	Dec 2017/Jan	Estimated

Provide EFSA with feedback: If you considered applying to this Call for proposals but finally decided not to do so, your feedback on reasoning for such a decision would be very much appreciated. Please address it to: EFSAProcurement@efsa.europa.eu. EFSA will process any feedback in order to improve the quality of its future grant calls.

TABLE OF CONTENT:

1. GRANT OPPORTUNITY AND CONDITIONS.....	4
1.1 LEGAL FRAMEWORK	4
1.2 OBJECTIVES OF THE CALL	5
1.3. PROJECT IMPLEMENTATION	6
1.3.1 DURATION.....	6
1.3.2 MEETINGS	6
1.3.3 REPORTING.....	6
1.4 ELIGIBLE ORGANISATIONS.....	7
1.5 ROLES AND RESPONSIBILITIES.....	7
1.6 POSSIBILITY OF IMPLEMENTING CONTRACTS AND SUBCONTRACTING	8
1.7 PAYMENTS	8
1.8 GRANT PRINCIPLES	9
1.9 EFSA GRANT CONTRIBUTION	10
1.10 ESTIMATED BUDGET AND ELIGIBLE COSTS	10
1.11 APPROVED ESTIMATED BUDGET	11
1.12 INITIAL EFSA GRANT.....	12
1.13 FINAL EFSA GRANT	12
1.14 PUBLICITY	12
1.15 PROTECTION OF PERSONAL DATA IN RELATION TO GRANT PROCEDURES	12
1.16 PUBLIC ACCESS TO DOCUMENTS	13
2. SELECTING PROPOSALS	13
2.1 VERIFICATION OF SUBMISSION REQUIREMENTS	13
2.2 ELIGIBILITY CRITERIA	13
2.3 EXCLUSION CRITERIA.....	14
2.4 SELECTION CRITERIA	14
2.5 AWARD CRITERIA.....	15
2.6 PROCESS FOLLOWING THE ASSESSMENT AGAINST AWARD CRITERIA	16
3. SUBMITTING PROPOSALS	17
3.1 APPLICATION FORM.....	17
3.2 LANGUAGE OF THE PROPOSAL AND THE SUPPORTING DOCUMENTS.....	17
3.3 SUBMISSION MODALITIES	17
3.4 EXPECTED DURATION OF PROCEDURE.....	17

Annexes:

- Annex 1: Rules on eligibility of costs
- Annex 2: Draft grant agreement¹
- Annex 3: Estimated budget template
- Annex 4: Application form
- Annex 5: Legal entity form (download template [here](#))
- Annex 6: Financial identification form (download template [here](#))
- Annex 7: Declaration on honour for exclusion criteria
- Annex 8: Declaration on honour for selection criteria
- Annex 9: Simplified financial statement

¹ Applicants should note that in the event that their proposal is successful, the resulting grant agreement will be based on the model annexed to this Call for proposals. EFSA reserves the right to modify the draft grant agreement prior to signature in order to incorporate updated terms & conditions.

1. GRANT OPPORTUNITY AND CONDITIONS²

1.1 LEGAL FRAMEWORK

Article 36 of Regulation (EC) No 178/2002³ of the European Parliament and of the Council of 28 January 2002 laying down the general principles and requirements of food law, establishing the European Food Safety Authority and laying down procedures in matters of food safety, foresees the possibility to financially support networking of organisations operating in the fields within the EFSA's mission. Article 36(1) stipulates that the aim of such networking is, in particular, to facilitate a scientific cooperation framework, the development and implementation of joint projects⁴, the exchange of expertise and best practices in the fields within the Authority's mission.

On the 19 December 2006 the Management Board drew up a list of competent organisations designated by the Member States which may assist EFSA with its mission. This list is regularly updated by EFSA's Management Board and the updates are published on EFSA's website⁵.

Article 5 of Commission Regulation (EC) No 2230/2004⁶ of 23 December 2004 laying down detailed rules for the implementation of the European Parliament and Council Regulation (EC) No 178/2002 with regard to the network of organisations operating in the fields within the European Food Safety Authority's mission specifies that the financial support to the networking organisations shall take the form of subsidies (grants) awarded in accordance with EFSA's financial regulation and implementing rules.

The present Call for proposal and guide for applicants (hereinafter referred to as "the Call") is procedurally governed by:

- Part One, Title VI of Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002, as amended by Regulation (EU, Euratom) 2015/1929 of the European Parliament and of the Council of 28 October 2015;
- Part One, Title VI of Commission Delegated Regulation (EU) No 1268/2012 of 29 October 2012 on the rules of application of Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council on the financial rules applicable to the general budget of the Union, as amended by Commission Delegated Regulation (EU) 2015/2462 of 30 October 2015.

The present Call for proposal is based on EFSA's Final work programme for grants and operational procurements 2017 – Financing Decision as presented in Annex IX of the Programming document 2017 - 2019, available on EFSA's website⁷.

2 The applicant is reminded that this Call and guide for applicants contains a selection of the most important conditions for the grant implementation. For the full set of conditions the applicant is invited to consult the draft grant agreement attached to this Call.

3 <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2002:031:0001:0024:EN:PDF>

4 Project is frequently referred to in this Call as "action", in line with EU Financial Regulation terminology.

5 <https://www.efsa.europa.eu/en/partnersnetworks/scorg>

6 <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2004:379:0064:0067:EN:PDF>

7 http://www.efsa.europa.eu/sites/default/files/corporate_publications/files/amp1719.pdf

1.2 OBJECTIVES OF THE CALL

This Call, as one of the so-called thematic grants, aims at facilitating scientific cooperation in the EU through the development and implementation of innovative joint projects by consortia of eligible Article 36 organisations in the fields within EFSA's mission.

In this Call, EFSA indicates the theme for project proposals, as the objectives are only broadly specified. This gives applicants and their partners the possibility of defining and developing their own projects.

EFSA provides a co-funding rate of 50% for a project period of up to four years, and a maximum contribution of 375,000 € per project. Proposals need to be submitted by consortia of at least two organisations from at least two different EU countries, Norway or Iceland.

1.2.1 MAIN OBJECTIVE OF THE CALL

The overall objective of this Call is to facilitate scientific cooperation in the EU through the development and implementation of innovative joint projects, allowing for development of best practices and exchange of expertise in the fields of EFSA's remit.

1.2.2 SPECIFIC OBJECTIVES OF THE CALL

Early detection of plant pests is considered extremely important for a timely and effective eradication of new plant pests by Regulation (EU) 2016/2031 of the European Parliament and of the Council concerning protective measures against pests of plants (that will repeal and replace Directive 2000/29/EC on 14 December 2019).

Among the various taxonomic groups of plant pests, the fungal pathogens can cause severe yield and quality losses to cultivated crops, fruit trees as well as to forest and landscape plant species. The occurrence of fungal plant pathogens can also cause direct (mycotoxins) or indirect (e.g. pesticide residues) food safety concerns.

One mechanism of spread of fungal plant pathogens is the air borne dispersal of their spores, which can occur at different distances and heights by wind and air currents. Air dispersal of some fungal plant pathogens has been routinely studied because of the allergenic effects of their spores. Smart tools, such as automated air sampling devices, advanced molecular diagnostic technologies, remote sensing, and climate and weather forecasting have been developed and applied to monitor the airborne dispersal of fungal plant pathogens, however such tools are not yet widely used for quarantine plant pathogens.

The specific objective of this thematic grant is to pilot the joint application of aerobiology, molecular diagnostic and/or remote sensing techniques for monitoring the occurrence and spread of airborne fungal plant pathogens within the EU. In this context, the consortium shall:

- 1) **develop methodologies combining aerobiology, molecular diagnostic and/or remote sensing techniques** to support risk based plant health surveillance of quarantine fungal plant pathogens in the EU.
- 2) **validate the developed methodologies** by performing a minimum of two case studies, of which at least one shall be on a quarantine plant pathogen, demonstrating its use to support risk based plant health surveillance of quarantine fungal plant pathogens in the EU; uncertainties, limitations and data gaps should be described and discussed.
- 3) **develop strategies how the developed methodology can be transferred** to other pathogens and other users.

1.3. PROJECT IMPLEMENTATION

1.3.1 DURATION

The maximum duration of projects under this Call is four years. Within this limitation, the applicant consortium can decide the exact duration of the project proposed.

1.3.2 MEETINGS

The applicant must indicate in the project proposal all foreseen meetings. Meeting schedule must include, but is not necessarily limited to:

- **Kick-off meeting:** takes place as a physical meeting, not later than three months after the entry into force of the grant agreement, at EFSA premises (Parma, Italy). The details and objectives of the project will be discussed at this meeting, as well as the project outcomes, timeframe and communication with EFSA. In addition, the parties will agree on how to assess the impact of the project, the details of which will be provided to EFSA as part of the final report, and on the section of the final report to be published on EFSA's website as an External Report. Minutes of the meeting shall be taken by the beneficiary and provided to EFSA.

The presence of a beneficiary's staff member responsible for administrative/finance issues of the project at the kick-off meeting is compulsory. This is because the understanding of the grant principles and related financial reporting requirements (declaration and documentation of incurred costs) will significantly ease and speed up the financial management of the grant agreement, both for EFSA and the beneficiary.

- **Interim meeting:** to discuss the progress of the project, any encountered difficulties, risks and proposed mitigating measures. Minutes of the meeting shall be taken by the beneficiary and provided to EFSA.
- **Final meeting:** will be held at the end of the project as a physical meeting at EFSA premises (Parma, Italy). The purpose of this meeting is to present to EFSA the final outcome/deliverable, including measures to ensure sustainability of project activities and results, and details on assessing project impact. Minutes of the meeting shall be taken by the beneficiary and provided to EFSA.

1.3.3 REPORTING

The applicant must indicate in the project proposal all foreseen reporting. Reporting schedule must include, but is not necessarily limited to:

- **Interim report** on the progress of the project, to be submitted in the middle of the project and to be discussed at the interim meeting. In addition, it is expected that in the middle of the project some deliverables (in addition to the interim report) will be presented to EFSA.
- **Final report**, to be submitted after the execution of project activities and to be discussed at the final meeting. The final report shall include a description on how the project achieved the objectives of the Call, including methods used and outcomes achieved. It shall also describe measures to be taken to ensure sustainability of the project activities and results, as well as details on assessing project impact. The report will be published in full, unless otherwise agreed, on EFSA's website as an External Report. The report template will be provided by EFSA.

The reports should be drafted in English language to a level of quality which does not require further proof reading or editing.

Note also that all reporting, minutes or outcomes of the discussions could be submitted, at EFSA's discretion, to EFSA's Panel and/or Working Group members.

1.4 ELIGIBLE ORGANISATIONS

To be eligible, organisations must be included on the list of competent organisations designated by the Member States in accordance with Article 36 of Regulation (EC) No. 178/2002 and Commission Regulation (EC) No 2230/2004. This list is regularly updated by EFSA's Management Board. The List is available on EFSA's website⁵.

In order to achieve the main objective of the Call, the proposal must be submitted by a consortium of a minimum of **two eligible organisations**, from **(at least) two different EU countries, Norway or Iceland**. One of the organisations must be identified in the proposal as the consortium leader (**applicant**). The applicant is responsible for identifying the other **consortium partner(s)**. Applicants may search for consortium partner(s) through the contact persons of Article 36 organisations with access to the [Article 36 Search Tool](#)⁸, or by [the EFSA national Focal Points](#).⁹

1.5 ROLES AND RESPONSIBILITIES

For proper understanding of this Call it is also important to have clarity on the used terminology in respect of the involved organisations and their roles.

As the proposals will be submitted by a consortium:

1. **The Applicant** submits the project proposal to EFSA on behalf of the consortium. The applicant is the leading entity of the consortium, i.e. the future coordinator of the project. There can be only one applicant in the project proposal.
2. **The Partner** is the other entity in the consortium. There must be a minimum of one partner, or preferably **more partners**.

Once the grant is awarded, the grant agreement is signed between EFSA and the applicant. The partners do not sign the grant agreement themselves. They give to the applicant, if they agree so, a mandate (see Annex IV of the draft Grant Agreement), where they authorise the applicant to sign the grant agreement, and any possible amendments to it, on their behalf. This facilitates the signature process where only two signatures need to be collected, one from EFSA and one from the applicant. As soon as the grant agreement is signed, the applicant becomes the **Coordinator** and its partner/s becomes the **Co-Beneficiary/ies**. The coordinator and co-beneficiary/ies are together referred to as the **Beneficiaries**. The beneficiaries are jointly and severally liable for the technical implementation of the project as described in the proposal which will become Annex 1 of the grant agreement. If a beneficiary fails to implement its part of the project, the other beneficiaries become responsible for implementing its part.

Regarding the **coordinator**, please note also the following important roles:

1. Takes part in implementing the project;
2. Monitors that the action is implemented properly;
3. Acts as the intermediary for any communication between the consortium and EFSA;
4. Receives and answers all claims EFSA might have in relation to the implementation of the project;
5. Requests and reviews any documents or information required by EFSA and verifies their completeness and correctness before passing them on to EFSA;
6. Informs EFSA and the partner/s of any event that is likely to substantially affect the implementation of the project;
7. Submits the deliverables and respective reports to EFSA;

⁸ <https://art36.efsa.europa.eu/art36-web>

⁹ <http://www.efsa.europa.eu/en/people/fpmembers>

8. Requests and receives payments from EFSA and distributes the funds to partner/s without unjustified delays.

The coordinator may not delegate the above-mentioned tasks to the Co-Beneficiary/ies or subcontract them to any third party.

Regarding the **other beneficiary/ies**, please note also the following important roles:

1. Take part in implementing the project;
2. Forward to the coordinator the data needed to draw up the reports, financial statements and other documents required under the grant agreement;
3. Inform the coordinator of any event or circumstances likely to substantially affect or delay the implementation of the project.

1.6 POSSIBILITY OF IMPLEMENTING CONTRACTS AND SUBCONTRACTING

Implementation contracts:

Where the implementation of the project requires the award of procurement contracts (implementation contracts), e.g. purchase of equipment, the beneficiary/ies must award the contract to the entity offering the best value for money or the lowest price (as appropriate), avoiding conflicts of interests, and retain the documentation for the event of an audit.

Entities acting in their capacity of contracting authorities in the meaning of applicable public procurement directive shall abide by the applicable national public procurement rules.

Sub-contracting:

It is a subgroup of the implementation contracts, hence must satisfy the above conditions. Subcontractors are not consortium partners. They are not part of the grant agreement. They don't have a contractual relationship with EFSA. Subcontractors are entities contracted by the applicant and/or its partner/s to carry out some specific tasks. Subcontracting is allowed under these conditions:

- Subcontracting only covers the implementation of a limited part of the action;
- Recourse to subcontracting is justified having regard to the nature of the project and what is necessary for its implementation;
- The tasks intended to be subcontracted and the corresponding estimated costs must be set out in the **estimated budget (Annex 3)** and approved by EFSA before the signature of the grant agreement;
- Any recourse to subcontracting while the project is in progress, if not envisaged from the outset in the proposal, is subject to prior authorisation in writing by EFSA, and shall be formalised via an amendment of the grant agreement;
- The conditions applicable to the beneficiaries under Article II.8 (Visibility of Union funding) of the grant agreement are also applicable to the subcontractor;
- Core tasks¹⁰ cannot be subcontracted. Only ancillary and assistance tasks can be subcontracted.

1.7 PAYMENTS

The following payment scheme will be applied to the signed grant agreement:

- **Pre-financing payment**, upon grant agreement entry into force, without need for a request for payment, up to 50% of the maximum grant amount set out in the grant agreement; the aim of the pre-financing is to provide the beneficiaries

¹⁰ "Core tasks" are those referring to the implementation of the main and specific objectives of a given project, and also include project management tasks and the tasks of the coordinator.

with a float; it remains the property of the EU until the payment of the balance. Please note the exact amount and % of pre-financing will be determined at the time of awarding the grant;

- **Interim payment**, in the middle of the project, based on the request for interim payment, up to 30% of the maximum grant amount set out in the grant agreement or 50% of actually incurred costs declared for the reporting period, whichever is lower; interim payment is subject to the approval by EFSA of the interim report with the corresponding deliverables and approval of the statement of actual costs incurred by the beneficiaries;
- **Final payment (payment of the balance)**, after the final EFSA grant amount was determined in line with the grant agreement (Article II.25, Calculation of the final amount of the grant); the amount due as the balance payment is calculated by EFSA by deducting from the final EFSA grant amount the total amount of pre-financing already made; if the total amount of the earlier payment is greater than the final EFSA grant amount, the payment of the balance takes the form of a recovery; if the total amount of the earlier payment is lower than the final EFSA grant amount, EFSA will pay the balance; payment will only be made after the approval of the final report by EFSA.

1.8 GRANT PRINCIPLES

The financial help provided by EFSA under this Call is a grant governed by the EU Financial Regulation referred to in part 1.1. Accordingly, the grant awarded following this Call must comply with the following principles:

- **Co-financing:** co-financing from a source other than the Union budget is required. The project costs not covered by the EFSA grant must be financed from the applicant and partner/s resources. The applicant and its partner/s must therefore contribute financially to the project. Additionally, there may be also a financial contribution from another entity, but such an entity may be only a public body. Contributions from the private sector are not permitted.

Please note:

Within a consortium, it is acceptable that certain partners participate in the action without receiving any part of the EFSA grant. As such partners, they will participate in the action, will incur costs but will not ask for these costs to be reimbursed. This situation shall be reflected in the description of the action and in the estimated budget in the proposal.

The co-funding rate will be calculated overall for all consortium partners. Not all partners need to contribute equally to the 50% co-funding.

- **No-profit:** A grant shall not have the purpose or effect of producing a profit within the framework of the project for the applicant or partner. Profit is defined as a surplus of the receipts over the eligible costs incurred by the beneficiaries, at the time of request for payment of the balance. The receipts shall be limited to income generated by the project, as well as financial contributions specifically assigned by donors to the financing of the eligible costs. Where a profit is made, EFSA shall be entitled to recover a part of it in line with procedure foreseen in the Grant agreement.
- **Non-retroactivity:** Costs will be eligible as from the entry into force of the Grant agreement (signature of the grant agreement). A grant may be awarded for a project which has already begun provided that the applicant can demonstrate the need for starting the action prior to signature of the grant agreement. In such cases, costs eligible for financing shall not have been incurred prior to the date of submission of the grant application. No grant may be awarded retrospectively for a project already completed.

- **Non-cumulative:** A project may only receive one grant from the EU budget. In no circumstances shall the same costs be financed twice by the Union budget. To ensure this, the applicant shall indicate the sources and amounts of Union funding received or applied for the same project or part of the project or for its functioning during the same financial year as well as any other funding received or applied for the same project.

1.9 EFSA GRANT CONTRIBUTION

The form of grant awarded under this Call is a grant based on the reimbursement of a specified proportion of the total eligible project costs actually incurred (EU Financial Regulation, Article 123 (1)(e)).

EFSA's co-financing rate: Given the complementary and motivational nature of EFSA grants, the project to be supported under this Call is co-financed by EFSA at maximum 50% of the total eligible project costs. In addition, the maximum possible amount of EFSA grant for an individual project is 375,000 €. In other words, the grant has double ceiling: the maximum amount, i.e. 375,000 €/project and the reimbursement rate applied on the total eligible project costs, i.e. 50% co-financing rate.

EFSA's maximum grant amount per project:

Overall, EFSA has currently available under this Call 375,000 €, which shall be sufficient to co-finance at least one successful project.

However, EFSA reserves the right:

- not to award all the funds available at any cost, e.g. if the quality of submitted proposals will not be satisfactory, i.e. if the submitted proposals do not meet the set award criteria thresholds (2.5 Award Criteria).
- to award more grants in cumulative value above 375,000 € in case additional funds will be made available in 2017 EFSA budget. In such case, EFSA reserves the right to distribute the additional funds to the successful proposal(s) (i.e. proposal(s) which have satisfied the award criteria thresholds and are ranked in a reserve list).

Please note that EFSA has also the right not to award any grant and to cancel the whole grant procedure at any time before the signature of the grant agreement without any compensation to be paid to the applicant.

The total amount of estimated eligible costs, as presented by the applicant in the **estimated budget (Annex 3)** (see also part 1.10), which serves as a basis for calculation of the initial EFSA grant, will be verified by EFSA during the evaluation of proposals. EFSA reserves the right to implement the necessary adaptations to the estimated eligible costs in case **the Rules on eligibility of costs (Annex 1)** were not correctly applied by the applicant.

If the amount granted is lower than the funding sought by the applicant, it is up to the latter to find supplementary financing or to cut the total cost of the project without diluting either the objectives or the content.

1.10 ESTIMATED BUDGET AND ELIGIBLE COSTS

The proposal must be accompanied by the **estimated budget (Annex 3)** which must be established in line with **the Rules on eligibility of costs (Annex 1)**. The estimated budget must show all the costs and income which the applicant considers necessary to carry out the project.

Estimated budget must be:

- sufficiently detailed to permit identification, monitoring and checking of the costs;

- balanced, i.e. total income and total project costs must be equal;
- consistent with the work plan;
- expressed in Euro.

Estimated budget – cost side: for more details please refer to the Rules on eligibility of costs - Annex 1 of this Call:

- Eligible direct costs:
 1. Costs of personnel;
 2. Travel costs and subsistence allowances;
 3. Depreciation costs of equipment or other assets;
 4. Consumables and supplies;
 5. Workshops, seminar, conferences;
 6. Subcontracting;
 7. Eligible VAT;
 8. Miscellaneous costs are costs arising directly from the requirements imposed by the grant agreement.

The above 8 categories represent an exhaustive list of possible eligible direct costs. However, if, for example, the project does not foresee costs for workshops / seminars / conferences, then this category of costs can be left empty in the estimated budget.

- Eligible indirect costs incurred in carrying out the project are eligible for a flat-rate funding capped at not more than 10% of the total eligible direct costs. Should a member of consortium already receive an operational grant from the EU budget its indirect costs are not eligible under the present call.

Estimated budget – income side:

- Mandatory incomes:
 1. Grant requested from EFSA;
 2. Applicant's financial contribution;
 3. Partners' financial contribution (if applying in consortium).
- Optional incomes:
 1. Financial contributions from other public bodies;
 2. Income generated by the project.

1.11 APPROVED ESTIMATED BUDGET

The estimated budget submitted with the proposal is analysed by EFSA, as part of the evaluation process, in order to:

- assess whether it is realistic;
- assess whether it is consistent with the proposed project;
- assess whether the estimated budget is sufficiently detailed;
- assess whether the cost items are reasonably justified;
- eliminate cost items which cannot be accepted according to the **Rules on eligibility of costs (Annex 1)**.

An overestimation or underestimation of costs, or missing justification of the costs, missing details, or detected inconsistency with the technical description of the project will all have a negative impact on the evaluation score under the **award criteria 9 and 10**.

If EFSA regards the estimated budget as realistic, consistent with the technical description of project, sufficiently detailed, well justified and established in accordance with the **Rules on eligibility of costs (Annex 1)** and hence no modification is needed, it will become **the approved estimated budget** and the EFSA grant may correspond to the applicant's request. In some cases, the analysis of the estimated budget could result

in EFSA suggesting reductions, e.g. need to correct the costs in line with the Rules on eligibility of costs. After the proposed modifications are agreed by the applicant and EFSA, the estimated budget, as modified, will become the approved estimated budget for the project.

1.12 INITIAL EFSA GRANT

Having agreed the approved estimated budget, and provided the proposal is selected for the grant award, EFSA will establish the amount of **the initial EFSA grant**, having regard to the limits set out in part 1.9 of this call. The initial EFSA grant will be expressed as an amount in Euro and also as a percentage (EFSA max. 50% co-financing rate) of the total eligible project cost. This amount will be indicated in the grant agreement as the maximum grant amount.

1.13 FINAL EFSA GRANT

Maximum grant amount set out in the grant agreement is calculated based on the estimated eligible costs. **The final EFSA grant** will naturally have to be determined based on actually incurred costs. The final EFSA grant is determined by EFSA in line with Article II.25 of the Grant agreement.

1.14 PUBLICITY

The beneficiaries are expected to follow the rules on visibility of EFSA funding set out in Article II.8 of the grant agreement.

According to Article 35 of the EU Financial Regulation EFSA is bound to publish information on recipients of its grants at its website. Such publication shall take place no later than 30 June of the year following the financial year in which the grants were awarded and shall cover these data of the beneficiaries:

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

In addition, EFSA reserves the right to publish similar information on the awarded project on the EFSA website, social media, and similar channels as well as a project summary and an overview of activities related to the project.

1.15 PROTECTION OF PERSONAL DATA IN RELATION TO GRANT PROCEDURES

Processing your application in the context of this grant procedure, will involve the recording and processing of personal data (i.e. the name, any CV and contact details and/or financial details of individuals contained in your application) pursuant to Regulation (EC) N° 45/2001.

Unless indicated otherwise, the questions and any personal data requested are required to evaluate the application in accordance with the specifications of the Call and the data will be processed solely for that purpose.

Detailed information on the processing of personal data in the context of grant award procedures of EFSA is given in the [Privacy Statement](#) available on the EFSA website. This on-line privacy statement details the following:

- the legal basis, purpose and controller of the personal data processing;
- what personal information EFSA is collecting and/or further processing;
- to whom personal data is disclosed;
- what technical means are applied for data processing and way in which EFSA secures the information;

- how data subjects can access, modify and delete their information;
- how long EFSA keeps the personal data;
- the contact details for data subjects to exercise their rights;
- the right of recourse to the European Data Protection Supervisor.

Your personal data may be registered in the Early Detection and Exclusion System (EDES) if you are in one of the situations mentioned in Article 106 of the Financial Regulation. For more information see the Privacy Statement on http://ec.europa.eu/budget/explained/management/protecting/protect_en.cfm

In case the implementation of activities under an awarded grant entails the processing of personal data, the beneficiary shall comply with the relevant **rules in the Grant Agreement (Annex 2)** as a data processor of EFSA.

1.16 PUBLIC ACCESS TO DOCUMENTS

In the general implementation of its activities and for the processing of grant procedures in particular, EFSA observes Regulation (EC) No 1049/2001 of the European Parliament and of the Council of 30 May 2001 regarding public access to European Parliament, Council and Commission documents.

2. SELECTING PROPOSALS

The Evaluation Committee established by EFSA specifically for this call will evaluate the submitted proposals in five steps:

1. Verification of submission requirements (see 2.1);
2. Eligibility criteria (see 2.2);
3. Exclusion criteria (see 2.3);
4. Selection criteria (see 2.4);
5. Award criteria (see 2.5).

If the proposal fails at any step it is automatically excluded from further evaluation. EFSA may contact the applicant during the evaluation process if there is a need to clarify certain aspects or for the correction of clerical mistakes.

2.1 VERIFICATION OF SUBMISSION REQUIREMENTS

The following will be verified:

- The proposal was submitted within the deadline for submission of proposals;
- The proposal is submitted on the **EFSA application form (Annex 4)**;
- The proposal is duly signed by the authorised representative of the applicant;
- The proposal is complete and includes all the supporting documents.

2.2 ELIGIBILITY CRITERIA

The following will be verified:

- The applicant applies in a consortium with partner/s;
- The applicant and its partner/s are on the list of competent organisations designated by the Member States in accordance with Art. 36 of Regulation (EC) No 178/2002 and Commission Regulation (EC) No 2230/2004. This list is regularly updated by the EFSA Management Board;
- The applicant and its partner/s are from different Member States, Iceland or Norway;
- The applicant and its partner/s participate in the project financially;
- The applicant its partner/s are involved in the execution of the project;

- Subcontracting, if any, is justified in the proposal and indicated in the estimated budget.

Documents to be provided:

- **LEGAL ENTITY FORM (Annex 5)** (download template [here](#)) to be completed and signed by the applicant and in case of consortium also by its partner/s.
- **FINANCIAL IDENTIFICATION FORM (Annex 6)** (download template [here](#)) to be completed only by the applicant and in case of consortium only by the coordinator.

Please note:

- There is no need to submit these forms if they have already been submitted under another EFSA procurement or grant procedure and provided that these forms are still valid. In this case simply indicate in the application form the reference of the call under which the form/s were submitted to EFSA.
- EFSA reserves the right during the evaluation procedure to request the following supporting documents regarding the Legal Entity Form: for a public body, a copy of the resolution or decision establishing the public body, or other official document establishing that public body; for a private body, an extract from the official journal, copy of articles of association, extract of trade or association register, certificate of liability to VAT (if, as in certain countries, the trade register number and VAT number are identical only one of these documents will be required).

The following is applicable for the consortium:

- **PARTNERSHIP STATEMENT:** is required indicating the technical and financial involvement of all partners. The applicant and partner/s must sign this partnership statement. No template is provided by EFSA.

2.3 EXCLUSION CRITERIA

The applicant and partner/s must sign a declaration on their honour certifying that they are not in one of the exclusion situations referred to in the Articles 106 of EU Financial Regulation as listed therein.

Documents to be provided:

- **THE DECLARATION ON HONOUR FOR EXCLUSION CRITERIA (Annex 7):** template is published together with this Call; to be completed/signed individually by the applicant and by each of the partners.

2.4 SELECTION CRITERIA

Purpose of the selection criteria is to verify the financial and operational capacity of the applicant and partners.

Financial capacity:

The applicant and consortium partners must have stable and sufficient financial resources to:

- maintain their activity throughout the period during which the project is being carried out; and
- participate in its funding.

Operational capacity:

The consortium **as a whole** must have the professional resources, competencies and qualifications necessary to complete the proposed project.

Documents to be provided by the applicant:

- **Generic evidence: THE DECLARATION ON HONOUR ON SELECTION CRITERIA (Annex 8).**
- **Generic evidence (if applicable):** additional document for private bodies only: to be submitted only if the grant requested from EFSA is > 60.000 €: **SIMPLIFIED FINANCIAL STATEMENT (Annex 9)** (template available at EFSA's website, published together with this Call) completed for at least the last 2 closed financial years.
- **Evidence requested: THE CURRICULUM VITAE** of the experts and all other staff to be involved in the project, or, if the individual members are not yet assigned for the proposed project, at least staff profiles necessary for the project. There is no minimum number of CVs required. Each applicant can choose the CV format, however the information to be included in each CV should be complete. Please note that for the identified individual team members listed in the Estimated Budget under the spreadsheet/A1. Personnel Costs, the CVs should also be provided. If only staff profiles are available then a description of the staff profile should be provided.
- **Generic evidence (if applicable): LETTER OF COMMITMENT:** applicable only in the case when another public body financially contributes to the project (body other than EFSA, applicant or in case of consortium, its partners); to be signed by the contributing public body; it serves to confirm its commitment to financially contribute to the project; no template is provided by EFSA.

2.5 AWARD CRITERIA

The award criteria serve to assess the quality of the proposals in relation to the objectives of the Call. The following award criteria are applicable:

1. The extent to which the proposal is (total **MAX 20 POINTS**):
 - a) **within the scope** of the Call (**MAX 5 POINTS**);
 - b) **clear in project objective and description (MAX 5 POINTS)**;
 - c) **feasible** and delivering **output** that will be **useful (MAX 10 POINTS)**.
2. **Innovative nature** of the proposed action: it should be innovative and avoid duplication with other existing actions at EU level, i.e. the applicant must clearly identify the progress the project intends to make within a given field in relation to the state of the art and demonstrate that, as far as it is aware, there will not be inappropriate duplication, whether partial or total, between projects and activities already carried out at EU and international level: **MAX 10 POINTS**.
3. The extent to which the proposal is likely to **boost scientific cooperation** between EFSA and MS, and at EU level, in particular (total **MAX 20 POINTS**):
 - a) consortium size: for any additional consortium member beyond the mandatory 2 members, 3 additional points, up to a maximum of 15 additional points: **MAX 15 POINTS**; and
 - b) consortium geographical coverage: applicants must ensure that the geographical coverage of the project reflects the objectives, and explain the choice of project partners, including their role: **MAX 5 POINTS**.
4. **Project planning**, including project phases, timeline, milestones, output and deliverables, providing a Gantt chart: **MAX 10 POINTS**.

5. **Task distribution** among consortium partners and individual team members; also communication both internally (i.e. within the consortium/team) and externally (with EFSA and stakeholders): **MAX 10 POINTS**.
6. Adequacy of the **dissemination strategy** (illustrating the envisaged dissemination tools, including what, how, when, to whom and why to be disseminated, and methodology to ensure transferability of results and sustainability of project activities and results) and impact on **target groups** (in particular, the long term effect/s and **potential multiplier effect/s**, such as replicable, transferable and sustainable activities): **MAX 10 POINTS**.
7. Description of **identified risks** and proposed **mitigating actions**, specific to the proposed project: **MAX 5 POINTS**.
8. Description of **specific quality assurance measures** proposed for the project to guarantee high quality of output/deliverables: **MAX 5 POINTS**.
9. **Cost effectiveness**: proper justification demonstrating that the expected added value of the project can be achieved efficiently within the proposed cost of the project: **MAX 5 POINTS**.
10. **Technical and financial consistency of the proposal**: consistency between the proposed project and its estimated budget, e.g. how it reflects the task distribution/role of partners, compliance with EFSA's rules on eligibility of costs: **MAX 5 POINTS**.

In order to be considered for a reserve list, the proposal must:

- score a minimum of 70 points out of maximum possible 100 points; and at the same time;
- for the criteria (1, 2, 4 and 5), score at least half of the points attributed to each criterion.

Proposals which have satisfied these quality thresholds will be ranked in a reserve list.

2.6 PROCESS FOLLOWING THE ASSESSMENT AGAINST AWARD CRITERIA

EFSA establishes the reserve list by ranking proposals which have satisfied the award criteria thresholds.

The applicant(s) will be notified, once the evaluation has been finalized, whether they are placed or not on the reserve list.

EFSA reserves the right to invite applicants on the reserve list, following their ranking on the reserve list, to adapt their proposal based on the evaluators' comments only if such adjustments imply a non-substantial change to the application. In the case some applicants fail to adapt their proposal, EFSA reserves the right to reject the co-funding of that project.

In case additional funds will be made available (see 1.9), EFSA distributes the additional funds to the next highest ranked successful proposal(s), on condition there are no overlaps with the first awarded proposal. The Evaluation Committee should assess and confirm that there is no duplication of scope and this should be reflected in the award decision. Following the successful conclusion of the adaptation phase, the award decision will be taken by EFSA.

The applicants will be notified, once the evaluation has been finalised, whether they are proposed for grant award or not.

Subsequently, the grant agreement(s) will be prepared based on the draft grant agreement in **Annex 2**.

3. SUBMITTING PROPOSALS

3.1 APPLICATION FORM

The proposal must be submitted using the **EFSA APPLICATION FORM (Annex 4)**. The application form is published together with this call:

- The application form shall be duly completed in all its parts;
- The application form shall be supported with all the requested annexes;
- The application form must be signed by a duly authorised legal representative of the applicant.

If an applicant wishes to submit more than one proposal, each proposal needs to be submitted separately.

The applicant should be precise and provide enough detail to ensure the proposal is well described in the application form.

Please note that, by submitting the proposal, the applicant and its partner/s accept/s the procedures and conditions as described in this Call and in the documents referred to in it.

In addition to a full paper version of the application, the applicant shall submit the application also on a CD/USB data storage format. The electronic version must be identical to the paper version. In case of any discrepancies between the electronic and paper version, the latter will prevail. All documents presented by the applicant become the property of EFSA and are deemed confidential.

3.2 LANGUAGE OF THE PROPOSAL AND THE SUPPORTING DOCUMENTS

Proposals may be submitted in any official language of the European Union. However, as EFSA's working language is English, the submission of proposals in English would speed up the evaluation process.

Please note that some supporting documents are required in support of the proposal. These supporting documents are an integral part of the proposal. For more information on the relevant supporting documents to be submitted with the proposal, please refer to part 2 of this Call. If these supporting documents are in a language other than English, in order to facilitate and speed up the evaluation, it would be appreciated if a reliable translation of the relevant parts of the documents into English is provided with the proposal.

3.3 SUBMISSION MODALITIES

Proposals can be submitted as indicated in the second page of this document in the Indicative procedure timetable (Call for Proposals and guide for Applicants).

3.4 EXPECTED DURATION OF PROCEDURE

Information on expected duration of procedure – time to grant:

- Applicants will be informed on the decision regarding their application at the latest within 6 months from the deadline for submission of proposals;
- Signature of the grant agreement will take place at the latest within 3 months from the date upon which the successful applicant/s has/have been informed of the decision on their application.