



CIP Eco-innovation
First application and market replication projects
Call 2013
Call Identifier: CIP-EIP-Eco-Innovation-2013



GUIDE FOR PROPOSERS

Please note:

This Guide is based on the rules and conditions contained in the legal documents relating to the Competitiveness and Innovation Programme (CIP) and the Entrepreneurship and Innovation Programme (EIP) (2013).

The Guide does not in itself have legal value, and thus does not supersede those documents.

CIP Eco-innovation website:
<http://ec.europa.eu/ecoinnovation>



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I. INTRODUCTION

I.1 THE ONLINE SUBMISSION SYSTEM SEP

- The CIP Eco-innovation Call 2013 uses the online submission system SEP of the 7th EU-Framework Programme for Research and Technological Development (FP7).
- Submissions are only valid online and if within the given deadline for submission (5 September 2013, 17:00:00 Brussels time).
- To enter the online system, please use the following link:
<https://ec.europa.eu/research/participants/submission/manage/secure/createdraft?callId=CIP-EIP-Eco-Innovation-2013> .
- In order to submit a proposal, you will first need to create an ECAS account with the European Commission: <https://webgate.ec.europa.eu/cas/eim/external/register.cgi>
You do not have to register again if you have already created an ECAS account in the past. In this case simply use your existing ECAS ID or email address to log in.
Furthermore, **you must have a PIC number for each partner** of the project (which does not need to be validated).

For more information on these preparatory steps, please go to the "participant portal":

http://cordis.europa.eu/fp7/pp-pic_en.html.

Once you have created your proposal in SEP, you will access it through the participant portal under the tab "My proposals" using your ECAS ID or email address to log in:

<https://ec.europa.eu/research/participants/portal/page/myproposals>).

- The online submission system is usually self-explanatory, but there is a "SEP User Guide" at http://ec.europa.eu/research/participants/portal/ShowDoc/Participant+Portal/portal_content/docs/submission/sep_usermanual.pdf.
- Pay attention to choose the correct call identifier
→ CIP-Eco-innovation - Pilot and market replication projects CIP-EIP-EI-PMRP (CIP-EIP-Eco-Innovation-2013)

Most important to keep in mind:

- You must always log on to the system with the same ECAS account, otherwise you will not see your proposal in the system.
- You can **only upload pdf-files**, no files in word-format nor xls- or zip- files are accepted.
- The **maximum file size is 10MB!** Any upload larger than that will most likely be refused by the system.
- File names can only contain Latin letters (A-Z, a-z), digits (0-9), the underscore (_), the dash (-) and the dot (.). They cannot contain any special characters. Spaces will be converted to underscore.

- Once you work with the system, there is a time-out after 13 hours (automatic log-out without saving). Nevertheless, you are advised to save your changes more frequently.
- **The deadline of the Call is 5 September 2013, 17:00:00h, no second later is accepted.** After this deadline applications will not be admitted. Therefore, you are advised to submit your proposal well in advance. Any Part B, C or Annex is automatically replaced once you upload a new one, so do not wait until you have a final revised version. Instead, upload draft versions earlier on and submit them. Finally, **check well, that you have uploaded and submitted the correct files!**
- The system performs a limited automatic validation of the proposal. A list of problems (e.g. missing files, missing data, wrong file format, excessive file size) appears on the screen. **Submission may be blocked until these problems are corrected.** When corrected, the coordinator must again press 'submit', making any further corrections, until the system proceeds to the final step: the 'proposal submitted page' where a message is displayed, indicating that the proposal has been received.
- Only then, you can consider your proposal to be submitted. The electronic submission system will send an email to confirm the submission to the co-ordinator.

In case of problems with SEP, please contact directly the helpdesk at

DIGIT-EFP7-SEP-SUPPORT@ec.europa.eu

+32-2-29 92222

Attention: this helpdesk is only available on workdays, 9-18h00 CET, Fridays 9-17h00

I.2 WHAT IS ECO-INNOVATION?

Eco-innovation is defined as any form of innovation aiming at significant and demonstrable progress towards the goal of sustainable development, through reducing impacts on the environment or achieving a more efficient and responsible use of resources.

Eco-innovation under the Competitiveness and Innovation Programme¹ (CIP) consists of three components:

- Financial instruments (in particular the support to investment funds active in eco-innovation) with an indicative budget of € 228 million (2007-2013)
- Networks of national and regional actors, with an indicative budget of € 10 million (2007-2013)
- First application and market replication projects, with an indicative budget of € 195 million (2007-2013), herein called CIP Eco-Innovation.

These guidelines concern only First application and market replication projects.

¹ http://ec.europa.eu/cip/index_en.htm

If you prepare a proposal for these projects, please refer also to the following documents:

- The call for proposals has been published on 13 May 2013 on the CIP Eco-innovation website². It will close on 5 September 2013, 17:00:00 Brussels local time and defines priority actions and the types of projects to be co-financed under CIP Eco-innovation.
- In particular, CIP Eco-Innovation aims to contribute to the implementation of the Eco-Innovation Action Plan (EcoAp).
- For related environmental policies of the European Union, see:
http://ec.europa.eu/environment/policy_en.htm
- The work programme for CIP Eco-innovation First application and market replication projects has been adopted under the Entrepreneurship and Innovation Programme (EIP) on 18 December 2012³.

I.3 THE EXECUTIVE AGENCY FOR COMPETITIVENESS AND INNOVATION

Besides other programmes, the Executive Agency for Competitiveness and Innovation (EACI) is managing First application and market replication projects in the area of Eco-innovation of the CIP-programme. Furthermore, the EACI disseminates the know-how represented and gathered in its programmes and provides feedback to the European Commission.

The EACI, created by the European Commission in 2003, is the first of a number of executive agencies to put policies into action more efficiently and with improved results, helping the Commission concentrate on its policy-making and institutional tasks. In the execution of the programme, it works in close collaboration with its parent Directorates General: Environment, Energy, Mobility & Transport and Enterprise.

I.4 WHO MAY PARTICIPATE?

Please refer to the Call for proposals for more detailed requirements (on the website of CIP Eco-innovation).⁴

On the website, you find an updated list of the eligible countries. At the moment of publication of this guide, these are:

- 27 EU Member States
- Iceland, Norway and Liechtenstein

² The Call can be downloaded here: http://ec.europa.eu/environment/eco-innovation/getting-funds/application-packs/index_en.htm.

³ Commission implementing decision C (2012) 9442 final of 18.12.2012 concerning the adoption of the 2013 work programme for the implementation of the Entrepreneurship and Innovation Programme, serving as a financing decision: http://ec.europa.eu/cip/files/cip/docs/2013_eip_wp_financing_decision_-_final-en.pdf

⁴ Please note, that when mentioning "the website" this guide refers to the CIP Eco-innovation website (see: <http://ec.europa.eu/ecoinnovation/>). In all other cases, the corresponding links will be indicated.

- Further⁵:
 - Albania
 - Croatia
 - Former Yugoslav Republic of Macedonia
 - Israel
 - Montenegro
 - Serbia
 - Turkey

Although the call is open to any legal person, the participation of small and medium-sized enterprises (SMEs) and private businesses is particularly encouraged. This call follows the definition of SMEs according to Commission Recommendation 2003/361/EC of 6 May 2003⁶.

I.5 BOUNDARIES WITH OTHER EU FUNDING PROGRAMMES

Check if this programme is suitable for you. It may not be if:

- You have a great idea focusing on the public sector: Go to LIFE website (<http://ec.europa.eu/environment/life/index.htm>)
- Your project focuses on energy efficiency or renewable energy: Go to IEE website (<http://ec.europa.eu/intelligentenergy>)
- Your project is at a research or development stage, or has a high technology risk: Go to RTD FP7 website (<http://cordis.europa.eu/en/home.html>)
- Your project focuses on land-use and planning: Go to LIFE+ website (<http://ec.europa.eu/environment/life/index.htm>) or to DG RTD FP7 website (<http://cordis.europa.eu/en/home.html>)

I.6 HOW WILL ECO-INNOVATION PROJECTS BE SELECTED?

The proposal will go through a series of assessments following different criteria:

- Eligibility Criteria
- Exclusion Criteria
- Selection Criteria
- Award Criteria

For details concerning the various criteria, please refer to the Call for proposals.

Passing the first three criteria is a prerequisite for a proposal to be evaluated further according to the award criteria. For the evaluation, and besides the other parts of the proposal, a complete and precise description of Part B (detailed technical description of the proposed action) is crucial, as the evaluators can only assess the quality of the application on the basis of what has been written there.

⁵ These and other countries' participation is only possible in cases where the Memorandum of Understanding on participating in the programme has entered into force by the Call deadline - See also Article 4 of the CIP legal base: http://ec.europa.eu/cip/ciplegalbase_en.htm.

⁶ Further information see later in this guide in chapter II.3, note 10.

I.7 LANGUAGE OF YOUR APPLICATION

The technical description of your proposal (Part B) should preferably be submitted in English. Note that the project management, reporting and all communication with the EACI will have to be in English. If the proposal is written in an EU language other than English, you must provide a translation of the summary in English, and it is recommended to include an English summary of all sections of Part B of the proposal. A submission in a non-EU language is not possible.

I.8 HOW, WHERE AND WHEN TO SUBMIT A PROPOSAL

Applications must be submitted electronically using particular application forms and the online submission system. The link to the online submission system (where you will find all application forms) is available on the website. All parts of the application must be completed. Explanations on how to complete the application forms are given in chapter II of this guide for proposers.

The closing date for the online submission is 05 September 2013 at 17:00:00h (Brussels local time).

Applications submitted after the closing date will not be taken into consideration.

Do not wait to the last minute in order to avoid the risk of a failed submission. Even one second late is too late.

Before the deadline, the system allows to up-load, submit and replace draft versions. Try out those steps well in advance to make sure that you know the system. In any case: do not forget to go to "SUBMIT PROPOSAL" within the deadline once your application is final.

I.9 YOU APPLY TO CIP ECO-INNOVATION – WHAT HAPPENS WITH YOUR PROPOSAL?

▼ 13 May 2013

Publication of the call for proposals on the website

The call for proposals informs you on the political priorities, the objectives, the arrangements for the submission of applications as well as the eligibility, exclusion, selection and award criteria.

Deadline ▼ 05 September 2013, 17:00:00 Brussels Time

How do we 'receive' your proposal?

Proposals need to be submitted exclusively through the online submission system (SEP). Closing of receipt is 17:00:00 Brussels time on 05 September 2013. No submission beyond this deadline will be accepted. Applications must use the application forms and must be complete. A committee checks whether your proposal fulfils the formal requirements. Please remember that applications which do not satisfy the formal requirements are rejected at this stage.

▼ until February 2014

Evaluation of your proposal

Your proposal will be evaluated by an evaluation committee on the basis of the eligibility, exclusion, selection and award criteria announced in the call. Independent external experts assist the evaluation committee by providing a technical advisory opinion. Based on the evaluation, the

committee draws up a ranking list which is submitted for approval to the Director of the EACI.

▼ **Beginning of March 2013**

Information on your result

Upon approval of the Director, applicants are informed of the results of the evaluation. The Coordinator of the proposal will receive a summary report on the conclusions of the evaluation of your proposal. Some proposers might be informed that they are placed on a reserve list, due to budgetary constraints.

▼ **Beginning of March 2014**

Contract preparation of your proposal (if successful)

If your proposal was recommended for funding, you will be invited for preparing the contract with a phase for adjustments. In this process, the EACI's project and financial team will clarify with you the detailed technical and financial aspects of the proposal based on the conclusions of the evaluation. Proposals on the reserve list might be invited for contract preparations in case budgetary possibilities exist at a later stage of the process.



Internal consultation of other Commission services

The parent Directorate General for Environment consults other services within the European Commission which could be interested by the actions proposed to be financed and in order to make sure that the action in question is not already financed by the EU budget.

▼ **from April 2014 onwards**

Your grant agreement is being definitely decided

Once your contract preparations are completed and successful, i.e. the exact amounts and contents for your proposal are set, your grant agreement (i.e. contract) can be drawn up.

▼ **from May 2014 onwards**

Start of your action and follow up of your grant agreements

The grant agreement is duly signed by both parties and you can start working on your project. EACI staff (project and financial officers) is responsible for the monitoring of projects.



Ex-post publication

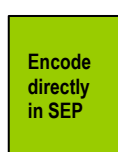
All grants awarded in the course of the Call 2013 are published on the website of CIP Eco-innovation during the first 6 months of the year 2014.

I.10 OTHER HELP AND SUPPORT FOR POTENTIAL PROPOSERS

- The CIP Eco-innovation website contains a lot of useful information including
 - FAQ-list (Frequently Asked Questions on call contents, set up of consortium, costs etc.).
 - Contact details of our informal National Contact Points that might be able to help you further with your application and answer your questions.
 - A map and project data base as well as brochures on projects resulting out of previous calls.
 - Videos of funded projects.
 - Once during the preparation of your project you may send us a short description (max 2 pages) of your project so as to receive general guidance until 2 weeks before the call closes (so until 22 August 2013). In order to ensure fair and equal treatment of all proposers, only general guidance will be given. This general guidance will not have any impact on the evaluation results. We cannot comment on a second / revised version of a project sketch considering our limited resources and fair and equal treatment of all requests. Please send your request to the enquiries mailbox EACI-ECO-INNOVATION-ENQUIRIES@ec.europa.eu.

II. THE APPLICATION FORMS

The complete application consists of several parts:



Part A – Online project information (includes forms A1 "Summary", A2 "Participants" and A3 "Budget", see II.1):

Part A can be completed only online via the internet. Please follow the instructions given in this Guide for Proposers in chapter II.1.



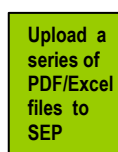
Part B – Detailed description of the proposed action (see II.2):

You must use the separate Part B application form provided through the online submission system or on the Eco-innovation website. You must follow the structure and instructions given for each section included in chapter II.2 of this Guide for Proposers. You will have to convert Part B into a PDF-file and upload it, using the online submission system.



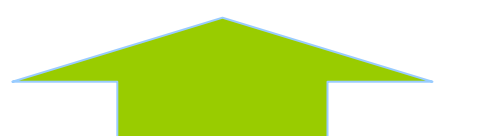
Part C – Detailed budget (see II.3):

You must use the separate Part C application form provided through the online submission system or on the website (EXCEL format). It must be completed by the co-ordinator based on information from each participant. You must follow the structure and instructions given in chapter II.3 of this Guide for Proposers. You will have to convert Part C into a PDF-file and upload it, using the online submission system.



Annexes – Additional required documents (see under III):

You must include a series of annexes in PDF format (scanned documents). You may add letters of intent as Annex. Please do not upload any other annexes than the ones indicated as they will not be evaluated. The additional required documents are listed in chapter III of this Guide for Proposers.

- 
- Form A1 can be filled by the Coordinator only
 - Form A2 can be filled by each participant
 - Form A3 can be filled by the Coordinator only
 - Only Coordinators can upload files into SEP – however all participants can view and download the uploaded files on their computers

Short Guide to the PIC – Participant Identification Code:

CIP Eco-innovation uses the services offered by the Unique Registration Facility (URF) of the European Commission's Research DG⁷. The PIC or Participant Identification Code is a 9-digits unique code for the identification of validated legal entities of programmes. **You cannot prepare a proposal or participate in one without having a PIC!** However, the PIC does not need to be validated by the time of submission of the proposal, only once your project has been selected for funding.

Participants, whose PIC is already validated, do not have to submit their legal and supporting documents (see chapter III), they just need to include their PIC number.

If you do not yet have a PIC, please follow this link: http://cordis.europa.eu/fp7/urf_en.html.

The PIC is provided at the end of the URF registration process. **Attention: do not wait until the last moment to create a PIC: In some cases you might be able to use it in SEP only after 48 hours.**

More info on the PIC can be found once you register in the participant portal or in the SEP user guide at:

http://ec.europa.eu/research/participants/portal/ShowDoc/Participant+Portal/portal_content/docs/submission/sep_usermanual.pdf.

Please note: SEP is the Electronic Proposal Submission System used for this Call for proposals. Submissions are only possible through SEP.

II.1 INSTRUCTIONS FOR PART A (ONLINE FORMS)

The SEP User Guide contains some instructions on how to complete Part A (available on the website).

A helpdesk is at your disposal should you have any questions concerning problems with the online submission system DIGIT-EFP7-SEP-SUPPORT@ec.europa.eu, +32-2-29 92222 (workdays 8-18, except for Fridays: 8-17).

The following presents an overview on the forms in Part A and their contents.

A1 "Summary"

You need to choose the sectors or topics under which you intend to submit your proposal. You can choose up to three sectors, in the order of importance.

Here you find an overview on the sectors:

⁷ When registering for the PIC, you will have to follow several steps. Please pay attention when completing Step 1 - Status of the Organisation. It refers to statuses used only for the FP7 programme and is irrelevant for this Call. Therefore, if you only participate to CIP projects, you may choose the minimal status and tick only the 'Legal person' box. This applies similarly for the cost method, where you should select the indirect cost method 'standard flat rate'. Otherwise you might be asked additional documents to verify the information which is not relevant for this call. Should you decide at a later moment to participate in an FP7 project, you can ask for a change related to this information anytime.

Recycling	CIP-EIP-2013.4.06
Waste management and end of life management	CIP-EIP-2013.4.14
Construction sector	CIP-EIP-2013.4.02
Food and drink sector	CIP-EIP-2013.4.04
Water	CIP-EIP-2013.4.18
SMEs green business	CIP-EIP-2013.4.15
Green services	CIP-EIP-2013.4.12
Environmental management systems	CIP-EIP-2013.4.16
Eco-design	CIP-EIP-2013.4.08
Integrated product policy	CIP-EIP-2013.4.09
Eco-label	CIP-EIP-2013.4.11
Chemical sector	CIP-EIP-2013.4.03
Manufacturing	CIP-EIP-2013.4.05
Metal processing	CIP-EIP-2013.4.07
Bio-based products	CIP-EIP-2013.4.10
Financing mechanisms and risk assessment	CIP-EIP-2013.4.13
Eco-innovation networking	CIP-EIP-2013.4.17
All industrial sectors	CIP-EIP-2013.4.01

A2 "Participants"

Be sure that you use the same numbering for the participants here as in Part B and Part C – Detailed Budget.

In order to find out, whether you are a Small and Medium-sized Enterprise (SME) or not, you should consult the Commission Recommendation 2003/361/EC of 6th May 2003. Please see also Instructions for Part C in chapter II.3 (point 10) and 'The new SME definition - User guide and model declaration', which can be downloaded here:

http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/index_en.htm

The "Simplified financial statement"

Please find here some instructions how to complete this form:

Each private participant has to complete a Simplified financial statement. Public participants leave this form empty.

The requested figures are for the latest available financial statements which have been audited and approved by the organisation's stakeholders and/or delivered to the relevant tax authorities.

Requested funding from the Eco-innovation programme: Even though you can complete the simplified financial statement in another currency, you must fill-in the requested funding from Eco-innovation in Euro. The amount should be identical with the requested funding for your organisation in Form A3.

Date: the closing date for the last financial period where the financial statements have been audited and approved and/or delivered to the tax authorities. The format for the dates is dd/mm/yyyy.

Currency: indicate the ISO code of the currency in which the financial information is submitted. Select from the provided list.

Net fixed assets are the capitalised assets after deduction of accumulated depreciation and amortization. They typically include buildings, equipment and/or participations in affiliates.

Current assets are all other assets with a maturity of less than a year, with the exception of cash and cash equivalents provided on a separate line. Typically, it is accounts receivable, inventory and/or accrued costs.

Capital and reserves is the total of capital, retained earnings, net income for the period and any other reserves.

Provisions usually relate to costs for pension liabilities or legal risks. Most of the time the exact amount and/or beneficiary is not known.

Long term debt is the portion of liabilities with a maturity of more than a year.

Current liabilities are debts with a maturity of less than a year, including the part of financial debt which is due in less than a year and related accrued interest or short term bank overdrafts.

Balance: **please check that total assets and total liabilities are identical amounts.**

Total revenues: revenues generated by the operating activities (e.g. sales, grants received, etc.).

Personnel costs: indicate the total cost for staff employed, i.e. salaries and wages plus related social benefits.

Other operating costs: remaining costs incurred in the operating activities.

Net financial income/charges: financial income generated (e.g. interest income, etc.) under the deduction of financial expenses (e.g. interest paid, etc.).

Net extraordinary items: profit or loss generated by extraordinary items. These must be classified as such under your organisation's accounting policy and your national authority's generally accepted accounting principles.

Taxes on profit: taxes levied on the net income generated by your organisation.

A3 "Budget"

The first columns are generated automatically on the basis of information given elsewhere. You cannot fill anything here.

In the last columns, you should insert the final budget figures of Part C, "A3 Budget" (= third worksheet in the EXCEL-File), columns F to J. Make sure that Part A and Part C are consistent upon submission of your proposal.



II.2 INSTRUCTIONS FOR PART B: THE DETAILED TECHNICAL DESCRIPTION OF THE ACTION

The following instructions refer to Part B of the application form. It will contain the detailed technical description of the action. Please follow some principal advice:

- Follow closely the structure for Part B (headlines, tables etc.) given in the application form. The forms are designed to correspond to the award criteria which will be applied in the evaluation.
- You can download the forms either together with all other application forms from SEP, or you can download Part B directly from the Eco-innovation website. Form B on the website is identical to the one available in SEP.
- Remember to keep to maximum page lengths where these are specified. It is in your interest to keep your text concise. A typical proposal has ~40 to 50 pages.
- Please bear in mind that your proposal should be precise, concise, self-explanatory and easy to understand. Its assessment will be based on your descriptions. Do not assume, that other information (e.g. on a website) will be consulted during the evaluation.
- Ensure that you (and all participants) have read closely the call for proposals.
- Ensure that information in all three parts of the application (A, B and C) is consistent.
- Given the budget available for this call (~32 m€), average funding from the European Commission for a typical project would be around € 800.000, of course depending on the action planned, costs calculated and hourly rates.

B1 Summary

Please give a short and precise summary of your proposal (maximum 1 page). It should be coherent with the abstract presented in Part A, Form A1 "Summary" (online form). Please cover all three listed issues:

- Specific Objectives
- Description of the proposed solution and summary of the work programme
- Major outputs and results (including main result indicators)

B2 Technical description including the state of development

Describe your proposed solution (maximum 4 pages – this excludes the usage of photographs or sketches to illustrate your solution) covering all the listed issues:

- Description of the technology⁸, product or process including its innovation aspects. Please detail the physical location of the project, and, if appropriate, specify the production capacity of

⁸ Emerging techniques as defined in the IPPC reference documents (BREF) might be included if applicable – see <http://eippcb.jrc.es/reference/>

current or future plants. Please include also, if you have already received funding for any related activity by any other Community funding programme before.

- Summary of quantified environmental impacts
- Description of any preparatory research, existing prototype or previous tests in real-life (and their results)
- Similar or comparable solutions on the market, existing competitors
- Description of possible technical and economic risks
- Issues of Intellectual Property Rights (IPR)⁹, existing, requested or planned patents
- A flowchart related to your innovative solution (process, material, product...) including a general mass and energy balance

Please note that the CIP Eco-innovation programme requests you to share information and disseminate project results as long as it does not conflict with IPR. This is crucial for the promotion and for sharing successful best practice in order to achieve a wide replication potential of your project. Apart from that you will grant the EACI the right to make free use of the results of the action as it does fit, provided the EACI does not thereby breach its confidentiality obligations or existing industrial and intellectual property rights.

For regulating IPR within the consortium, you may set up a consortium agreement once the project is running.

Please note, that the European Commission is running a helpdesk to assist free of charge with the protection of IPR: <http://www.iprhelpdesk.eu>

B3 Overview on the market and relevant framework conditions

This chapter should explain the features of the market you intend to enter with your solution (maximum 3 pages). In case you have already undertaken preparatory market analyses, you can report the results here. Describe also legal and policy frameworks, which might affect the implementation of your solution.

Please cover all listed issues:

- Short-term and potential market size for uptake.
- Identified market barriers to the proposed solution.
- Market demand and/or results of market analyses.
- Legislative / policy frameworks in participating countries/ EU and how they affect the implementation of your solution.

⁹ It should be noted that participants are required to provide scientific and technical information to the Agency, both in the proposal and the project deliverables. The Agency and the proposal evaluators will treat these documents as confidential. Therefore, there is no concern for unprotected know-how. Nevertheless, it is sometimes useful to stamp the respective deliverables “confidential” and draw attention to their particularly sensitive content. You can get free advice at: <http://www.iprhelpdesk.eu>.

B4 Exploitation of the action

In this chapter you should focus on the exploitation and market uptake of your action, including the time during and after the project duration (maximum 2 pages). Explain who are the essential target groups and key actors, who you plan to address and involve in the action or on whom you might depend upon. If you have already elaborated a market strategy or business plan, you can describe it here. Otherwise, please explain how you will do the business plan. Describe the potential and conditions for transferability and replication of the proposed solution, e.g. to other parts of the EU or to other sectors. Explain which measures you foresee to pro-actively encourage this transfer and to ensure a European visibility of your action. You may address global markets (outside Europe) if you can justify it well. Please cover all listed issues:

- Marketing strategy / expected return on investment / business plan.
- Transferability and replication.
- Target groups and key actors.
- Exploitation and business opportunities of the project during and after the project duration.

B5 Objectives – Results – Impacts of the Action

Please elaborate on every individual bullet point separately (maximum 2 pages):

- Environmental benefits and resource efficiency in a life-cycle approach. When evaluating the net environmental benefits, please consider the entire life cycle of the solution proposed (e.g. resources, production, use, and disposal). Please describe which objectives you set yourself in terms of expected results and environmental impacts of your project, during and 2 years after the project's lifetime. Also describe how your action will contribute to reaching these objectives. It is important to mention the baseline or starting point, for example in comparing your solution with existing state-of-the-art solutions on the market.
- Economic sustainability (including. cost-benefits): Please describe which objectives you set yourself in terms of expected results and economic impacts of your project, during and after the project's lifetime. Also describe how your action will contribute to reaching these objectives. It is important to relate this to the expected costs of production and market price of your solution as well as to the existing market and to the potential market for uptake that you have described under B3.

In your work description, in the work package that you find most suitable, do not forget to include a task to monitor your project impacts.

In part C Detailed Budget on the second worksheet you will be requested to complete a table containing the performance indicators for your project, including environmental and economic indicators. Please complete that table trying to give an estimation of the results and impacts of your project in quantitative terms as much as possible. Include savings that you expect to achieve through your project as compared to state-of-the-art processes/materials/technologies etc. or as compared to the national average of the impact in question. Here, under B5, you should explain the reasoning behind those indicators and how you came to your assumptions (e.g. previous market assessments or LCAs, studies etc.).

B6 Rationale for the Composition of the Consortium

Please elaborate on every individual bullet point separately:

- List of Participants (please complete the following table*):

Participant No.	Participant name	Participant short name	Country	Main Role in Consortium
1 (CO)				
2 (CB)				
3 (CB)				
4 (CB)				
5 (CB)				
6 (CB)				
etc.				

* The numbering and names of the participants should be the same as those used in Part A and Part C. CO: Co-ordinator, CB: Co-beneficiary

- Brief description of the participants and rationale for the composition of the consortium (maximum 1/2 page per participant). With this description, you should:
 - describe how participants are suited and committed to the tasks assigned to them
 - explain why you have formed exactly this consortium and how the participants collectively constitute a consortium capable of achieving the project objectives
 - show the complementarity among participants

The contribution of other important market actors, who are not part of the consortium but who are committed to the project and to play a role in the project, should also be briefly highlighted here.

If one of the participants is an association (or similar), members may also claim costs as part of the financial statements of the participant (i.e. this association). In that case, please mention here which members will work on the project for the association and indicate reasons for that (see also point 12 in chapter II.3).

B7 Co-financing Sources

- Please explain your co-financing sources. Please complete the table for each participant individually. Please provide all the information you have and mention any proof you have. This information will allow the evaluators to better assess the financial risk of your project.
- If you plan to invest own funds, please explain why you plan to do so and where the budget comes from. It is not always obvious, that a participant is able to invest own funds, especially if it is a small enterprise. Furthermore, a good explanation will increase the credibility of your willingness to co-finance the project.

- If you expect co-financing from an external body or third party, please explain why this third party is ready to support your project. Depending on the type of co-financing, this could create confidence in the market demand for your solution.

Of course you can have a combination of own funding and co-financing by an external body.

Participant	Co-financing organisation / body	Explanation / Reasons / Sources
1 (CO)		
2 (CB)		
3 (CB)		
4 (CB)		
5 (CB)		
6 (CB)		
etc.		

B8 European Added Value

In this chapter, you should explain, what the added value of your project is for the European Union, being carried out on the European level (compared to a series of local, regional or national actions, maximum 1 page). Explain the EU dimension of the market barriers and environmental challenges that you will tackle, and why you have selected the countries/regions that are participating in the project. Finally, cover the following issues:

- Benefits of addressing the subject of the proposal at European level,
- EU dimension of the market barriers and environmental challenges and how they will be tackled,
- Level of European cooperation in the project.

B9 Work Programme

The work programme describes the tasks you plan to perform during the course of the project and its deliverables. Keep in mind the objectives of your project when you plan the tasks.

Introduction to the Work Programme

Please use maximum 2 pages to give an overview on the whole project, concerning its work programme. Elaborate on each of the following bullet points separately:

- Rationale and structure of your work programme: Explain briefly the rationale and structure of the work programme (divided up in work packages which are mainly project phases) and how it will lead to achieving the objectives of the proposed action. List the critical moments where the project could be endangered and describe contingency plans.
- Please provide a diagram summarising and illustrating the logic of your work programme.

Work Packages

This will be the main part of your proposal, describing the planned work. A detailed work plan should be presented, broken down into logical work packages (WPs). WPs are usually project phases (e.g. design, installation, monitoring). Use between 2 to maximum 4 pages per work package. To give you an idea, an average Eco-Innovation project has around 5 to 6 WPs.

There are 3 mandatory WPs, one on Management, one on Business plan and Exploitation and one on Dissemination Activities. In the section below (and embedded in the application forms for Part B), you find a template to use for all your work packages. Follow the structure closely and complete the requested tables for each WP. You find further explanations below as well as in the application forms for Part B.

There is a second WP template (WP on "Dissemination Activities"). It will contain your own project related dissemination and promotional activities planned plus some activities that are pre-defined and that are the same for all CIP Eco-innovation projects. Place "Management" as work package number 1 (WP1) and "Business Plan and Exploitation" and "Dissemination Activities" as the last WPs using the pre-defined templates.

Besides the technical work description, the work package descriptions should show how the WP leadership, tasks and responsibilities are distributed amongst the participants in coherence with their competence. The description of the work packages should allow progress monitoring and should be sufficiently detailed to justify the proposed effort (hours and costs).

Major costs for subcontracting, equipment and other specific costs should be shortly described if this is vital to understand the work package or if their costs are substantial.

In case you use equipment, please identify here also the parts that are linked to the innovative action.

Include travel costs as well unless you have chosen the travel flat rate model.

Further instructions related to the first WP on Project Management

You need to introduce an own WP that needs to contain the "Management" of the project. Place it as work package number 1 (WP1) and **use the same WP template as for any other WP**. However, be sure to provide also the following information in your WP description:

Describe the organisational structure of the project and show that it matches the complexity and scale of the project. Describe the management and coordination tasks and provide answers to the following questions:

- Quality control.
- Cooperation within consortium and with relevant target groups and key actors.
- Communication and decision making in consortium.
- Include here the obligatory reports for reporting the progress of your project (see the "Schedule" table further below).
- In addition, please describe the efforts that you will undertake to reduce the project's own ecological footprint while managing and implementing the project (e.g. using sustainable

transport modes for travelling, synergies between events to optimise travel, replacing face-to-face meetings by virtual meetings, using recycled paper etc.).

Foresee a reasonable number of project meetings (e.g. every 6 months, with a kick-off meeting at the beginning of the project).

Further instructions related to the penultimate WP on Business Plan and Exploitation

Please introduce an own WP, in which you include tasks on how to exploit your project while it is running. In case you do not have a detailed business plan yet, a task and deliverable on the elaboration of such a plan related to your innovative solution (product, technology, process, service) should be included here. Eco-innovation projects usually do not end with a business plan: in fact, exploitation should already take place during the project.

Further instructions related to the last WP "Dissemination Activities"

This WP should describe all your own dissemination activities, that you plan to realise in order to reach your specific project objectives. These tasks should cover also the setting up of a project website, as the contractual obligations of the CIP Eco-Innovation projects require it. It must be online within the first 6 months of your project and it must be maintained for at least 2 years after the end of the project. Your planned efforts should foresee that the website will be professional, attractive, user-friendly, systematically updated and easy to find.

In addition, the EACI foresees common dissemination activities for all CIP Eco-innovation projects in order to promote the projects via different media tools produced by the EACI. These include the presence on the Eco-innovation website and at important European events. They will also allow for participation in contractors' or cluster meetings or to create synergies between projects. The ultimate aim of these common dissemination activities is to enhance the visibility of CIP Eco-Innovation projects and to contribute to the promotion of their results at all levels. Therefore, some tasks have been pre-defined for this WP, which must not be deleted. The common dissemination activities (i.e. the pre-defined ones, not your own dissemination activities) involve shared efforts between the staff of the EACI and the project teams and will be requested by the EACI, if needed. The budget for these tasks foreseen should be in the range of maximum 150 hours or 15.000 €, plus travel costs for participating in 1-2 events on request by the EACI or DG Environment and some other specific costs for printing the layman's report and a poster.

The content of this work package is defined in the second template below. It is standard for all CIP Eco-innovation projects. Please do not change this standard text.

Attention: The pre-defined tasks do not replace your own communication and dissemination activities, but they are complementary to them.

Template for all Work Packages except "Dissemination Activities"

WP <number>: <Name>

Under <number> please insert the number of the WP. "Management" should become WP 1.

Under <Name> please give a fitting name for each WP (consistent with Part C Detailed Budget)

Duration: month <a> to month 	<Participating organisation which will be leading this work package>
---	--

Role and contributions of each participant in this work package:

Participant no. and short name	Contributions of this participant *	Hours foreseen**
1: X		
2: Y		
...		
Total staff costs in €:		***

* Describe the contributions that the participant has in this work package and allocate them to the task number below.

** Indicate the total amount of hours foreseen per participant in this WP. It is not necessary to indicate hours per task.

***Transfer here the sum of staff costs as included in Part C, C.3 row 4

Major subcontracts (description of tasks / foreseen amount): Please describe the task that will be taken over by the subcontractor and relate it to the task numbers below.

Major Equipment and Infrastructure (description of cost item, justification of innovative part and foreseen amount): Note that you need to describe exactly the innovative parts of the equipment or infrastructure you ask funding for. You need to convincingly explain why those parts are related to the innovation of your proposal.

Major other specific costs (type of cost item and foreseen amount)

Travel and subsistence: (Include and describe travel cost here only if you did not choose the travel flat rate and if travel cost is a major cost in this WP)

I. Work package overview:

Please present a concise overview of the work package: objective within the project, what will the WP deliver?

(One paragraph)

II. Tasks:

- ✓ *Structure the planned activities into tasks and give a short explanation.*
- ✓ *Number the tasks to facilitate reading.*
- ✓ *Be specific*
- ✓ *Do not use special terms without giving a clear definition in the sense of your proposal*
- ✓ *Use the task description to show clearly what will happen in the project*

III. Tangible Deliverable(s) of this work package:

Deliverable N°	Deliverable name (self-explanatory)	Type of deliverable ^a	Quantification ^{b, c}	Location s/ Language(s) ^d	Accessibility of deliverable ^e	Month of completion ^f
D1.1						
D1.2						
Etc						

The table containing the deliverables should be completed as follows:

a The type of deliverable could be e.g.: a business plan, a commercialised eco-innovative product, a milestone, the implementation of a new process, the production of the innovative material, a completed design phase for a new material or environmental technology, a technical description, an assembly line or a plant to produce the eco-innovative product, a certificate, a publication, a website....

b Please quantify the deliverable: how many products, plants, prints, workshops incl. expected no. of participants...

c Only for publications: Please specify the approximate number of pages and the number to be printed of the publication.

d Only for new production lines, plants or events: please specify the locations, where they will be realised

d Only for publications: Please indicate all languages in which your deliverable will be available - indicating 'all' or 'national' is not sufficient.

e If applicable, please indicate how far the deliverable is accessible using one of the following codes:

PU = Public, to be freely accessible, e.g. via the project website (see also the issue of IPR under B2 "Technical description including the state of development")

*CO = Confidential, only for members of the consortium including the Commission/EACI Services
f Month in which the deliverables will be completed. Month 1 marks the start of the project, and all deadlines should be relative to this starting date. Please do not indicate dates (such as "May 2014").*

Limit the number of deliverables and do not include minor sub-items (such as invitations to workshops) or internal working papers (such as internal coordination reports or minutes of meetings). Similar deliverables (e.g. for several countries) should be grouped, where appropriate.

Normally, deliverables are to be submitted to the EACI together with a next up-coming obligatory report (Progress-, Interim- or Final Report).

Template for the obligatory, partly pre-defined work package "Dissemination Activities"

(Last) Work Package <number z>: Dissemination Activities

Duration: whole project duration	<Participating organisation which will be leading this work package>
---	--

Role and contributions of each participant in this work package:

Participant no. and short name	Contributions of this participant	Hours foreseen
1 (CO) name		
...		
		Total staff costs in €:

Major subcontracts (description of tasks / foreseen amount):

Major Equipment and Infrastructure (description of cost item, justification of innovative part and foreseen amount):

Major other specific costs (type of cost item and foreseen amount): *For the pre-defined tasks please foresee printing costs for the layman's report and a poster.*

Travel and subsistence: (Include and describe travel cost here only if you did not choose the travel flat rate and if travel cost is a major cost in this WP)

For the pre-defined tasks please foresee travel costs for participating in 1-2 events organised by EACI/DG Environment.

I. Work package overview:

The work package covers resources to contribute, upon request by the EACI, to common dissemination activities and a final evaluation with the aim to increase synergies between projects supported by the eco-innovation initiative and to increase their visibility. *(Please do not change this text).*

In addition, this work package includes project specific dissemination activities.... *(Please complete this text with your own dissemination actions).*

II. Pre-defined tasks:

1. Project Information Sheets: Creation and regular update of your project information for EACI/DG ENV online information systems (adapted to your reporting schedule). *(Please do not change this text).*

2. Contribution, upon request by the EACI, to the development of additional information material (News Flash, videos, images etc.) in the quality and form specified by the EACI. *(Please do not change this text).*
3. Upon request, participation and/or contribution, to information and dissemination events (contractors' workshops, cluster meetings, conferences, info days, exhibitions, etc.) related to eco-innovation or other relevant EU programmes. *(Please do not change this text).*
4. Producing a layman's report before the end of the project that summarises the project objectives, actions and tangible results to a general public (5-10 pages, in English and, optional, in main project language). *(Please do not change this text).*
5. Evaluation of project impacts after the project duration: completing a questionnaire on economic and environmental impacts two years after the project has finished. *(Please do not change this text).*

III. Project-specific tasks:

Please add here your own communication and dissemination tasks. Include the set up of a project website here.

IV. Tangible deliverables of this work package

Please add your own communication and dissemination deliverables in the table.

Deliverable N°	Deliverable name (self-explanatory)	Type of deliverable ^a	Quantification ^b	Language(s)	Accessibility of deliverable ^d	Month of completion ^e
Dz.1	Project information sheets (pre-defined)	text	2-5 times depending on project duration	EN	PU	2 and together with reports
Dz.2	Inputs to additional common information material related to eco-innovation actions (pre-defined)	input to posters, articles for newsletters, visuals, interviews	<i>on request by EACI</i>	EN (or local, as appropriate)	PU	<i>upon request</i>
Dz.3	Project presentations (pre-defined)	ppt, presentation, participation in events	max 2 times	EN (or local, as appropriate)	PU	<i>upon request</i>

Dz.4	Layman's report (pre-defined)	Brochure	5-10 pages	EN (optional: others)	PU	
Dz.5	Evaluation report including performance indicators (pre-defined)	Report	max. 5 pages	EN	to be agreed	2 years after project
Dz.6	Project Website	Website	Updated regularly	EN/(...)	PU	6
Dz.x	(please define here your project-specific deliverables)					

Schedule

(Template for a 30-months-project – *Example, please adapt as appropriate*)

Project phase / Duration of the project (in months)	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	54
WP 1: Management																																	
WP 2:																																	
WP 3																																	
WP 4																																	
Etc....																																	
WP y: Business plan and Exploitation																																	
WP z: Dissemination Activities																																	
Project meetings	x					x						x						x						x					x				
Project reports to EACI										PR									IR							LR					FR		
Project Information Sheet to EACI		x								X									X											X			
Project Webpage/site creation and update						x																											
Project deliverables							D1.1 D1.2 etc.				D2.1				D2.2		etc.																Dz.5

- a) According to the model grant agreement the minimum number of reports to EACI is as follows (please adopt the exact timing of your reports according to the duration of your project):
- 1 project information sheet (updated together with progress/interim/final reports)
 - 1 layman's report (LR)
 - 1 or 2 technical progress reports (PR; number of PR depending on the project duration)
 - 1 interim report (IR – technical and financial),
 - 1 final report (FR – technical and financial).
- b) Please ensure that the deadlines indicated in the List of Tangible Deliverables in the WP description and in this Schedule are consistent.
- c) For impact assessments in the framework of CIP Eco-innovation, two years after the end of the project a questionnaire will be completed in order to provide information on economic and environmental impacts. It will be based on the Indicators as defined in the table overview.

B10 Description of each participant (Selection criteria)

Elaborate on each individual bullet point separately:

- **Description of the organisation:**
Describe all participating organisations with a focus on the aspects that are relevant for this proposal. Maximum 1/2 page per organisation.
- **Relevant experience of the key personnel proposed to work on this action**
Describe the key personnel in the participating organisations with a focus on their skills and experience related to and needed for this proposal. Use maximum 1 page per organisation. As you will not submit any full CVs, this will be crucial information to assess the suitability of the project team to undertake the action, which constitutes a selection criterion. Please use the following table for the description of all key personnel:

Organisation short name:				
Name of person:		First Name:		Nationality:
Qualification:				
Staff category*:				
Short description of work experience, relevant to the proposal**:				

* e.g. senior expert, junior expert (as in Part C)

** 1 paragraph per person

- **List of most relevant experience of the organisation**

Please complete the table. Please include related former experience gained by your organisation relevant for the proposal. Do not send a full list of all similar activities that you have been involved in before.

Maximum 1/4 page per organisation.

Description of experience/project	European, national or local/regional level	Year of finalisation	Website (for further information)

B11 Letters of intent

You may wish to annex letters from relevant key actors or stakeholders supporting your proposal, or letters regarding co-financing from a 3rd party. In this case, please provide here an overview list of these letters (including the organisations that have signed the letters) and the exact texts of the letters.

In addition, you will upload the letters of intent as last annex in the online submission tool SEP (please see Chapter III – ANNEXES for further instructions).

If you do not attach any letters of intent, please indicate here: **N/A**

II.3 INSTRUCTIONS FOR PART C: THE DETAILED BUDGET (XLS-FILE)

- The instructions in this chapter refer to Part C, which will contain the detailed budget of your project.
- You will provide the information in an EXCEL file, transform it to PDF and upload it on SEP.
- You can download the forms either together with all other application forms from SEP, or you can download Part C directly from the Eco-innovation website. Form C on the website is identical to the one available in SEP.
- The budget is best established once the work programme and its division into work packages are known and the roles and tasks of the participants in each of the work packages are sufficiently specified. This will allow you to estimate the resources needed to fulfil the tasks.
- Please try to be as realistic as possible. The evaluators assess hours and costs in proportion to the tasks, and you might receive a worse score in Award Criterion 4 if the budget is not substantiated well by the task description.

First of all you need to decide whether you want to use a flat rate model or if you prefer to go for claiming travel costs as direct costs (see explanations below – points 20 and 21). Please bear in mind that if you choose the flat rate model, you need to apply it to the whole consortium. Please choose the correct template for Part C depending on the model of travel costs you select:

- <flatrate_travel_2013_Eco_Innovation_PartC_detailed_budget_FINAL.xls> for flat rate model
- <direct_cost_travel_2013_Eco_Innovation_PartC_detailed_budget_FINAL.xls> for direct cost model

The Part C - Detailed Budget consists of several worksheets:

Name of the worksheet	Contents	N° of pages
" Proposal cover sheet"	Title and acronym of the proposed action	1
" Indicators"	Quantification of performance indicators of the action	2
"A3 Budget"	Equals Form A 3 of Part A, which has to be completed online (also called "A3 Budget"). Automatically generated. Do not try to fill it in.	1
"C1, 2 and 3 Costs, Fund., Distrib."	Overview on the total costs of the action per participant and per cost category - consisting of <ul style="list-style-type: none"> - C 1 – Cost summary - C 2 – Funding summary - C 3 – Distribution of costs per work package 	3
"C4.1 Data Co_ordinator (CO)" or "C4.2 Data Partner 2" etc.	Participant Data with an overview on direct costs per participant	2 pages per participant

The following pages provide you with practical guidance on how to fill in the Part C - Detailed Budget application forms. The numbering of the points covered in the yellow tables refers to the footnotes inserted in the application forms.

➡ **Only uncoloured ("white") cells are to be filled!**

"Proposal Cover Sheet"

Fill in the project's name (full title) and its acronym. Use standard Latin alphabet and numbers, spaces or underscore – do not use any other special characters or symbols.

"Indicators"

This worksheet should contain the quantifiable indicators as suggested in B5 "Objectives – Results – Impacts of the Action".

- You will find two separate tables. In table 1, you are supposed to indicate your project's development concerning environmental or commercial impacts at the end of your project. In table 2, you should indicate its impact two years after the project.
- There are some further explanations directly in the tables, once you click on a cell.
- Indicators are grouped by objective (improved environmental performance, better use of natural resources, economic performance / market replication).
- In each table, you will find two columns asking for the absolute and relative impact of your project. You should try to complete both options.
- Some core indicators are predefined in column C (e.g. CO₂, Methane etc.). For each objective, you can add own indicators in the empty lines.
- In case the lines are not sufficient for your own indicators or if you address different objectives with your project, you can add own indicators at the end of the table under "Others".
- Please use proper units and distinguish absolute and relative values.
- If possible, please define a functional unit and relate all environmental impacts to this unit.

"A3 Form Budget"

This worksheet presents a summary of the main budget/resource data per participant and the totals.

Do NOT try to fill out this sheet: it is write-protected and will fill automatically based on your data in the other worksheets. It delivers exactly the data which the Coordinator will need to encode directly in the online submission system SEP - Form A3.

C1, 2, 3 "Costs, Fund., Distrib."

This worksheet consists of three tables of one page:

- C 1: "Cost Summary"
- C 2: "Funding Summary"
- C 3: "Distribution of costs per work package" (without and with 7% indirect costs/ overhead and, if selected, the travel flat rate of 4 %).

A lot of the information is taken automatically from the data of the participants through protected links.

The only information which the co-ordinator must fill directly into C1, C 2 and C3 is:

- the amount of funding requested from the EU per participant on C 2
- the expected funding from external sources on C 2 and
- C 3.

C 1: Cost Summary

The Cost Summary presents a summary of the main budget/resource data per participant and the totals. All information is taken automatically from the data of the participants given in C4.

1. Indirect eligible costs ("overheads")	<p>Indirect eligible costs are intended to cover costs which, with due regard for the conditions of eligibility described in the Grant Agreement, are not identifiable as specific costs directly linked to the performance of the action and therefore cannot be booked to it directly, but which are needed to employ, manage, accommodate and support directly or indirectly the work on the project.</p> <p>Indirect costs (overheads) are eligible for a flat-rate funding of 7 % of the total amount of eligible direct costs. The amount is calculated automatically in column N.</p> <p>Typical costs are: office rent, computers, secretarial staff, electricity, heating, gas etc.</p>
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C 2: Funding summary

Please complete C2 respecting the explanations below:

2. Requested Funding from the European Union	<p>The financial contribution under CIP eco-innovation takes the form of a grant, off-setting part of the eligible costs of the project, under a maximum rate of 50% of these costs <u>per project</u>. This means that the funding rate <u>per participant</u> can be higher or lower, <u>as long as the total requested funding from the EU does not exceed 50% of the total eligible costs of the action</u>.</p> <p>Eligible costs must be calculated net of any operating benefits and without VAT.</p>
--	--

	<p>The grant may not in any circumstances produce a profit for the participants during the lifetime of the project. Any surplus determined in this way shall result in a corresponding reduction in the amount of the grant. Example cases:</p> <ul style="list-style-type: none"> - The project receives co-funding from other external sources of funding that exceed the matched rate of co-funding (i.e. if the total funding would add up to more than 100%) - Income is generated during the project lifetime (e.g. through the sales of the eco-innovative material), adding up to more than 100% together with the EU funding. <p>Any aid granted by the State or through State resources to the project covered by this agreement must comply with the rules laid down in 107 and 108 on the Treaty on the functioning of the EU (TFEU).</p>
<p>3. Expected funding from other external sources (public + private)</p>	<p>Indicate here the amount of co-funding you <u>expect</u> to receive from external sources, as opposed to own funds from your own capital. This could for instance include other public or private funding.</p> <p>Cross-check the consistency with the information you give in B7.</p> <p>➡ Own-co-funding is not to be included here. It is calculated in column Z (or in column AA for the travel flat rate model) as: total eligible costs minus EU funding and funding from external sources.</p>

C3: Distribution of costs per work package

For C 3, it is particularly important that you have done a bottom-up calculation of the hours and direct costs based on your work programme, as you will have to fill-in the foreseen direct costs per work package.

In Part B (under B9 "Work Programme"), you will indicate the number of hours needed for the work package and the major direct costs for subcontracting, equipment and infrastructure and other specific costs. For C 3, you need to include all direct costs (not only major costs), including also the direct staff costs (and costs for travel and subsistence if you have not chosen the travel flat rate).

Please verify: The "total eligible direct costs" on C 3 (cell AQ 9) must be consistent with the "subtotal of eligible direct costs" on C 1 (cell M 19). The total eligible costs on C 3 (cell AU9 for the travel flat rate model or AS 9 for direct travel costs) must be consistent with the total eligible costs on C1 (cell O 19).

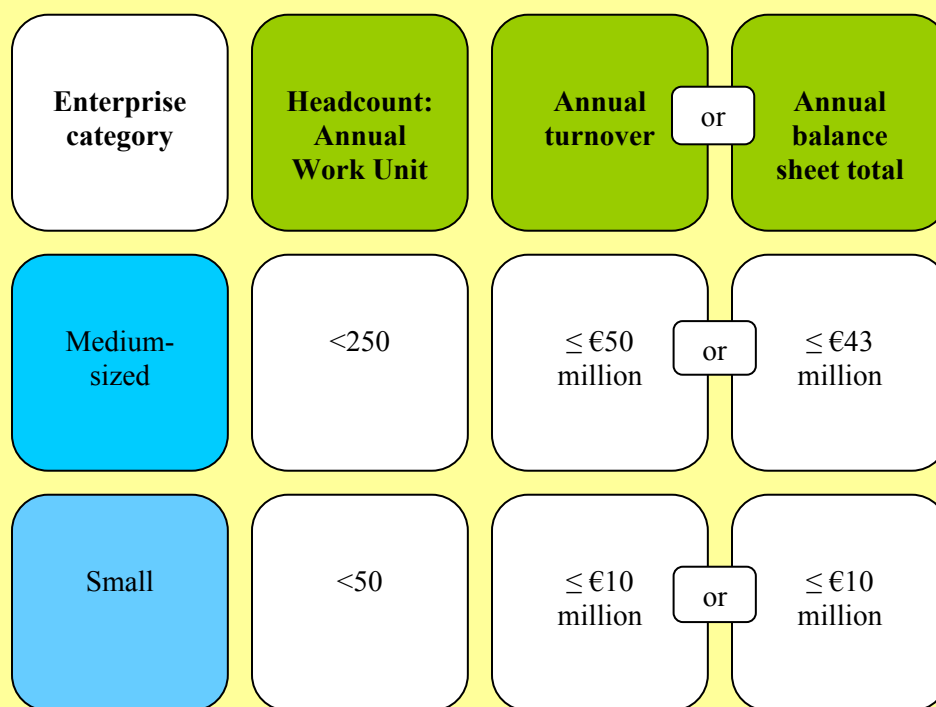
C4 Participant Data

This worksheet gathers all financial data of a participant. It needs to be filled in for every participant (including the co-ordinator). All amounts in this form should be given to the nearest whole Euro (no decimals!) and must exclude value-added tax (VAT), unless the participant can show that he/she is unable to recover it. If VAT cannot be recovered, the participant needs to provide a certificate from the

national tax authorities - this document is only needed during the negotiations in case the project is recommended for funding.

<p>4. Organisation Short Name</p>	<p>Please indicate the official short name of the organisation. This cannot be more than 20 characters long.</p> <p>If an organisation has no official short name, please choose one for identification of the organisation within this proposal. The same short name must be used in all parts of the proposal including the Annexes (as well as in any other application submitted to this call, if applicable).</p>
<p>5. Organisation Legal Name in English</p>	<p>Please provide the English translation of your organisation's legal name.</p> <p>☞ If the organisation legal name is originally in English, please repeat it as the English name in this cell is used for reporting purposes.</p>
<p>6. Participant number</p>	<p>The number allocated by the co-ordinator to the participants for this proposal. The co-ordinator of a proposal is always participant number one.</p> <p>☞ Make sure that the participant number is consistent in all application forms.</p>
<p>7. Participant Role</p>	<p>Indication of the role of each participant, as defined by the consortium for this proposal. The two options are CO and CB.</p> <p>CO stands for co-ordinator of the project, CB stands for co-beneficiary.</p> <p>If successful, the CO will sign the grant agreement with the EACI for his organisation and on behalf of all CB. Before that, and in order to grant power of attorney to the CO for signing the grant agreement on his/her behalf, all CB will sign a mandate to the CO. The template for this mandate is given in the model grant agreement.</p>
<p>8. Participant Legal Status</p>	<p>Please select one of the following options:</p> <ul style="list-style-type: none"> - Governmental (local, regional or national public or governmental organisations e. g. public authorities, universities, hospitals, schools) (Abbreviation: GOV) - Public Commercial Organisation (i.e. commercial organisation established and owned by a public authority such as Public Transport Operators) (Abbreviation: PUC) - Private Non-profit making Organisation (i.e. any privately owned non-profit organisation) (Abbreviation: PNP) - Private Commercial Organisation (i.e. any privately owned organisation with profit-making goals, owned by individuals either directly or by shares) (Abbreviation: PRC) - European Economic Interest Group (Abbreviation: EEIG) - International Organisation (i.e. an international organisation established by national governments) (Abbreviation: INO) - Other (Abbreviation: OTH). Please specify in the next field. <p>Bodies that declare their status as public must comply with the following criteria:</p> <ul style="list-style-type: none"> - The body has been created by a public authority or is governed by private law with a public service mission.

	<ul style="list-style-type: none">- The “public interest” are explicitly mentioned in the relevant legal or administrative act/s.- The internal procedures and accounts are submitted to control by a public authority.- The body is financed totally or to a large extent (i.e. more than 50%) by public sources.- In the event that the body stops its activities, all rights and obligations including financial will be transferred to a public authority. <p>This means, that only central and local public bodies and the structures that act on their behalf and under their full responsibility may be considered as public bodies.</p>
9. Participant Country	Select the participant's country from the provided drop-down list. Please note, that not all countries are eligible for funding under this Call. See also point I.4.
10. Status of the organisation	<p>Complete as follows:</p> <ul style="list-style-type: none">- Other (if you are not an enterprise)- Large (for a large-sized enterprise)- Medium (for a medium-sized enterprise)- Small (for a small-sized enterprise) <p>In CIP Eco-innovation, we apply the European definition as laid down in the EC Recommendation (2003/361/EC). A related user guide "The new SME definition - User guide and model declaration" explains all aspects, exceptions and the way to calculate the criteria.</p> <p>Both documents can be found at: http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/</p> <p>Via the same website you will also find an online test for you to check your status. For a brief overview, please see the following graph:</p>



The graph simplifies the definition and, according to the Commission Recommendation, it covers only a part for determining your status. E.g. upstream and downstream links have to be taken into account as well.

11. Number of productive hours / month

Average number of chargeable (i.e. without allowances for holidays, sickness, etc.) hours per month normally worked for all employees and for 12 months per year.

Total productive hours per year can be obtained either from timesheets or from summaries of time records, or on the basis of the total workable hours according to the employment contract, less certain provision for non-chargeable time such as sickness, holidays etc. It covers hours spent on both, external projects ('billable hours') as well as hours spent on internal work.

An example for determining the total productive hours per year could be as follows:

Days/year.....	365 days
Less 52 weekends.....	104 days
Subtotal.....	261 days
Less	
Annual holidays.....	26 days
Statutory holidays.....	15 days
Illness/other.....	5 days
Total-Productive days.....	215 days
 Productive hours/year (215 days x 7,5 hrs/day)	 1613 hrs

	<p>Divided by 12 months (for a full-time employee): Productive hours/month (1613 hours/12 months) 134 hrs</p> <p>You find an xls-file to help you in the calculation (file "Calculation of hourly rates") here: http://ec.europa.eu/environment/eco-innovation/run-project/contract-finance/index_en.htm</p>
12. Only for associations with members	<p>An association or similar grouping (EEIG etc.) with members has the possibility to have part of the work carried out by some of its members.</p> <p>Where an association participating in the action intends to involve its member(s) (or a participating company involves its affiliates) to carry out the work or parts thereof, the costs incurred by the members (or the affiliates) can be accepted provided that they are eligible and can be verified during the course of the action as being 'actual' costs.</p> <p>Costs of the members should be included under the cost categories of the participant as follows:</p> <ul style="list-style-type: none">- the member's staff costs under "Direct staff costs";- its subcontracting costs under "Subcontracting"; etc. <p>In the proposal you need to:</p> <ul style="list-style-type: none">- list those members envisaged to join the project in Part B. Please list the legal name, address and the name of the responsible person for each relevant member and the task(s) these members are expected to carry out. <p>In case you are selected for funding, the EACI will ask the participating association</p> <ul style="list-style-type: none">- to provide a clear description and evidence of the association's structure, showing the relationship with the member(s);- to ensure that the contractual provisions applicable to the participant, especially those related to the eligibility of costs and the checks and audits that the EACI and/or the European Commission may carry out, are also applicable to its members;- to retain sole responsibility to carry out the action and for compliance with the provisions of the grant agreement. You should also add, where appropriate, a remark related to the relevant member(s) in each work package description (<i>B9 "Role and contribution (tasks) of each participant in this work package"</i>) of Part B of the proposal and provide a list under B6.
13. Category of staff to work on the project	<p>Identify each category of staff in a clear and unambiguous manner. You may charge only specialised staff directly working on the implementation of the action. Such persons must be</p> <ul style="list-style-type: none">- directly employed by the participant in accordance with his/her national law;- under the participant's sole technical supervision (in essence the technical output must belong to the participant);- remunerated in accordance with the normal practices of the participant provided these are acceptable to the EACI / European Commission.

	<p>➤ Examples of staff categories: project manager, senior expert, junior expert, technician, etc</p> <p>➤ Freelance staff, in-house consultants who join the participant's project team and work at the participant premises can be classified and charged under direct staff costs, as long as no profit is included and the following conditions are met:</p> <ul style="list-style-type: none"> - The consultant's rate is reasonable and is remunerated in accordance with the normal practices of the participant provided these are acceptable to the EACI; - The output of the consultant is under the supervision of the participant; - The consultant works on the participant's premises and can be considered a member of the project team (teleworking may only be allowed if the standard working conditions applicable to the employees of the beneficiary allow it). <p>Management, administrative and secretarial staff can only exceptionally be charged directly, as it is included in the indirect costs ("overheads"). Exceptions could occur when tasks outlined in the action justify a significant, continuous allocation of administrative or secretarial staff.</p>
<p>14. Hours on project</p>	<p>Complete here the foreseen total number of hours per staff category. Please do not include decimals.</p>
<p>15. Hourly rate</p>	<p>The hourly rate for every category of staff is calculated on the basis of the annual gross remuneration (gross salary or wages plus obligatory social charges) divided by the number of productive hours per year. You find an xls-calculator on our website: (file "Calculation of hourly rates"):</p> <p>http://ec.europa.eu/environment/eco-innovation/run-project/contract-finance/index_en.htm</p> <p>Salary for a category may be based on average rates if they fairly reflect the grades working on the project. In either case, the average must reasonably reflect the cost of personnel on the project.</p> <p>➤ As a general rule, no overtime may be charged to CIP Eco-innovation projects, unless this element has also been taken into account in the calculation of the total productive hours, or overtime is reimbursed by the participant. For more information on how to calculate the productive hours per month please refer to point 11.</p> <p>➤ Participants should be prepared to justify their hourly rates upon request by EACI (e.g. through payslips).</p>
<p>16. Direct Staff Costs</p>	<p>Multiplication of the total hours per staff category and the hours worked on the project (calculated automatically).</p>
<p>17. Total hours on project</p>	<p>Addition of the hours worked on the project per staff category.</p> <p>➤ This amount is calculated automatically and taken into C 1 (Cost Summary).</p>
<p>18. Total direct staff costs</p>	<p>Addition of the direct staff costs per staff category.</p> <p>➤ This amount is automatically taken into C1 (Cost Summary).</p>

19. Subcontracting
(= external
services)

External services are those performed by third parties outside the project consortium. **They relate exclusively to purchases of services, not of goods.**

The participants themselves should have the technical and financial capacity and competency to carry out the proposed project activities. Consequently, subcontracting may only cover the execution of a limited part of the action and should be reserved for limited tasks and for hiring special expertise.

It is expected that the share of the project budget allocated to external assistance remains below 35 % of the total eligible costs. Higher shares may only be accepted if an adequate justification for this is provided in Part B.

Furthermore, subcontracts must be awarded in accordance with the conditions set out in the general conditions of the grant agreement. In summary, this means that subcontractors should be selected on transparent grounds, to the best offer, taking into consideration price and quality (best value for money). In a very simplified procedure, three different offers should be obtained and evaluated against common established criteria to ensure that each of them is treated fairly and equitably.

If the participant is a public body, any subcontracting must be awarded in accordance with the applicable rules on public tendering and in conformity with EU Directives on public tendering procedures.

How to complete the table:

- Indicate the name of the subcontractor, if already known, or TBD (to be determined), the country, and a short, but clear description of the work to be undertaken.
- Similar to the tasks executed by the project consortium, the tasks for subcontractors should be described in sufficient detail in the respective Work Package description of Part B.
- Also the travel costs for subcontractors are to be included in this cost category.

20. Travel flat rate
(this column is
only included if
you have
chosen this
model)

In the flat rate model, travel costs are calculated automatically, like the indirect costs/overhead, as a 4 % flat rate on all direct costs. Please note that:

- ➡ The same rate of travel costs will be applied for all participants equally (i.e. 4 %).
- ➡ You cannot exceed 60.000 € EU funding for travel costs. If you do, you must choose to claim them as direct costs.

You can check this as follows: O19*Z19 (in Part C for the travel flat rate, worksheet C1, 2, 3) cannot exceed 60.000.

- ➡ The travel flat rate cannot be higher or lower than 4 %.

21. Travel costs
and
subsistence
allowances for
staff – only to
be completed
if the direct-

This cost category contains costs for staff of the participant related to travel and subsistence allowances. The number of travels is calculated per person per meeting. E.g. if one person travels to one meeting, you should indicate 1 travel here, independently of the duration of the meeting. If 2 persons travel to the same meeting, or if 1 person travels to 2 different meetings, you would indicate a 2 here.

The travel and subsistence rate shall be calculated on the basis of the usual practices of

<p>cost-model has been chosen</p>	<p>the participant.</p> <ul style="list-style-type: none"> ➤ Travel costs for subcontractors are to be included under subcontracting costs. ➤ Subscription fees e.g. to fairs or similar should be charged under "Other specific costs". <p>The cells cannot be modified if you have selected the travel cost flat rate of 4 %.</p>
<p>22. Equipment and infrastructure</p>	<p>This cost category covers costs related to equipment or infrastructure, which are necessary to realise the proposed action. Furthermore, they should be directly related to the innovative action proposed.</p> <p>In order to identify the eligible costs in this category, the following needs to be taken into account:</p> <ul style="list-style-type: none"> ➤ Only the portion of the equipment's depreciation, its time of usage during the action and the rate of actual use for the purpose of the action may be taken into account as eligible costs. The costs to be charged to the action is calculated automatically in the last column according to the following formula: $(A/B) \times C \times D$ <ul style="list-style-type: none"> A – Period of months used for the action B – Total period of depreciation (in months) C – The actual cost or value D – The percentage of usage of the equipment for the action ➤ Equipment costs must be capitalised in the books of the participant, based on the usual practice of the participant and in accordance with the national accounting rules. ➤ Only the costs for equipment directly linked with the innovative action are eligible for funding. <p>Please describe the nature and use of the equipment clearly and convincingly in the related work package description (B9 of the application form). There, you also have to describe exactly, for which parts of the equipment you ask for funding. You need to convincingly explain how you have identified those parts.</p> <p>E.g. the construction of a new recycling plant would not be completely eligible, but those components in the production process or parts of the plant which are needed to produce the innovative recycled material can be eligible (special machines, production and control cycle etc.).</p>
<p>23. Other specific costs</p>	<p>This cost category contains direct costs that cannot be included under the previous cost categories for direct costs. Examples:</p> <ul style="list-style-type: none"> ➤ Costs of financial guarantees. Financial guarantees are only needed after the signature of the grant agreement, before a payment can be issued to the participant. The requirements for financial guarantees are explained in the model grant agreement. <p>In short, a financial guarantee will be requested from a participant if the total EU funding for a participant is larger than € 400.000. For amounts smaller than that, a financial viability check based on the analysis of the simplified financial statement and other financial documents (submitted as Annexes, e.g. balance sheets, profit and loss accounts, business plans) will be done in order to assess the risk concerning the financial capacity of</p>

the participant. However, if the EU funding for a participant is smaller than € 250.000, no financial guarantee will be requested. In the case of start-ups, financial guarantees will always be requested if the budget is higher than € 250.000.

If no financial guarantee is provided, the respective participant will only be paid at the time of the second pre-financing.

➔ Costs of certificates on financial statements. Certificates on financial statements are requested at the end of the action in case the Union funding for the respective participant exceeds € 150.000. Public bodies or international organisations do not have to provide certificates on financial statements.

➔ Costs for renting equipment

➔ Costs for patenting

➔ Licences or ETV (Environmental Technology Verification)

➔ Consumables like filters or membranes

➔ Printing of dissemination material; subscription fees to conferences; costs related to the organisation of events (excluding costs where a subcontract has been concluded with a service provider - these must be charged under 'subcontracting');

➔ Travel costs for persons who are neither members of staff nor subcontractors.

➔ Renting or leasing of equipment is possible. Renting of equipment should be charged under "other specific costs". Leasing costs can be charged either under "other specific costs" or under "equipment costs", depending on the type of leasing (capital/finance leasing or operating leasing). The price of the renting or leasing must be a "market" price and needs to be the offer representing the best value for money. It cannot exceed the costs that would have been incurred if the equipment had been purchased and depreciated under normal practices.

➔ Renting of rooms/buildings is not possible

More information concerning the budget

Your budget may include only eligible costs. All eligible costs have to be given in Euro (and not in thousands of Euro and neither in another currency). Costs must exclude value-added tax (VAT), unless you can show that you are unable to recover it.

The eligibility of costs is defined in the model grant agreement (downloadable at the website).

The specificities of CIP Eco-innovation further influence the appropriateness of costs.

Find below some indications on eligible costs:

- they are necessary for the implementation of the action which is the subject of the grant;
- they are connected with the subject of the agreement and they are indicated in the estimated overall budget of the action (Part C);
- they are reasonable, justified, and comply with the requirements of sound financial management, in particular regarding economy and efficiency;

- they are incurred during the duration of the action with the exception of costs relating to final reports certificates on the action's financial statements and underlying accounts;
- they are identifiable and verifiable, in particular being recorded in the accounting records of the beneficiary and determined according to the applicable accounting standards of the country where the beneficiary is established and according to the usual cost-accounting practices of the beneficiary;
- they comply with the requirements of applicable tax and social legislation

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

Only the costs directly linked with the innovative action are considered eligible. This applies also to costs for equipment and infrastructure. It is up to the proposers to convincingly describe those innovative parts of the action and to indicate the corresponding costs.

The following list contains indications on costs which would not be considered eligible:

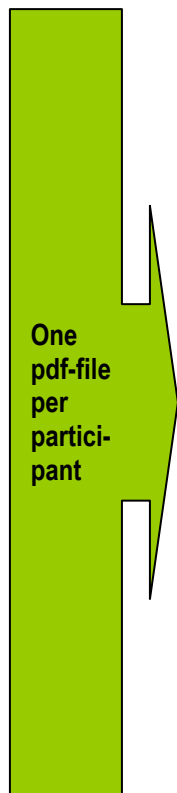
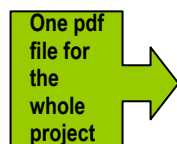
- return on capital;
- debt and debt service charges;
- provisions for losses or potential future liabilities;
- interest owed;
- doubtful debts;
- exchange losses;
- VAT, unless the beneficiary can show that he is unable to recover it;
- costs declared by a beneficiary and covered by another action or work programme receiving a Union grant;
- excessive or reckless expenditure;
- in-kind contributions;
- land remediation costs, which are subject to the polluter-pays principle;
- land purchase or any other related costs;
- studies not specifically addressing the objectives stated in the proposal;
- investments in major infrastructure or investments, as long as they are not directly linked with the innovative action, and activities already confirmed on an industrial scale (see also point 22).

III. INSTRUCTIONS FOR THE ANNEXES TO YOUR PROPOSAL

For each partner, you will have to upload into SEP one complete pdf-file including all the required Annexes for this partner. Please name each pdf-file as follows: "Annexes_Participantsshortname.pdf". The table below provides an overview on the requested Annexes.

In addition, you have the option to upload letters of intent in one complete pdf-file for the whole project. Please name this pdf-file as follows: "LOI_Projectacronym.pdf".

*** Participants who have a validated PIC (i.e. not only created but already validated) do not have to submit b. Legal documents nor c. Legal entity sheet.**

	Type of Annex	For whom?	What to upload?
	a. Declaration by the applicant (DEC)	Every participant	Scan of dated, signed and stamped form (template provided for download in the online system SEP)
	b. Legal documents (LD)*	Every participant without validated PIC	Scan of certified copy of your legal documents
	c. Legal entity sheet (LE)*	Every participant without validated PIC	Scan of signed legal entity form (standard form downloadable from link below)
	d. Financial Statements (BS, for balance sheets)	Private participants	Scan of certified copy of most recent documents
	e. Financial identification form (FI)	Co-ordinator	Scan of signed and stamped financial identification form (standard form downloadable from link below)
	f. Audit report	Private participants who ask for more than €750.000 EU funding	Scan of certified copy of audit report on accounts for last financial year
	g. Letter(s) of support/intent commitment (LOI)	Optional Only one file for the whole project	Scan of letter(s) Scanned and uploaded by coordinator in one single file

These annexes need to be uploaded into the online submission system. Only the coordinator has the permission to upload files. Other participants have to send the required annexes regarding their organisation to the coordinator. However, they can access and download the files that have been uploaded.

It is absolutely necessary that you keep to the required naming of the files so that they can be managed and allocated correctly.

Please note that **with exception of Annexes e. and g., all Annexes are crucial documents for the exclusion, eligibility and selection criteria (see Call for Proposals).**

a. Declaration by the applicant [Exclusion criteria]

- Each participating organisation has to provide the declaration signed, dated and stamped by an authorised representative of the organisation. It should be printed on letterhead of the organisation concerned.

b. Legal documents [Eligibility criteria]

- Legal documents prove the legal existence of the organisation and that the organisation is established according to the respective national law(s). Legal documents should be coherent with the legal status on Form A2 of the participant data. If the applicable national law requires a registration, a copy of this registration should be included as well. Legal documents can be submitted in national language.
- Documents should be signed 'certified copy' before being scanned¹⁰.
- For public bodies (e.g. cities, regions and municipalities, or governmental institutions, universities...), it is sufficient to provide a certified copy of the resolution, law, decree or decision establishing the body in question, or if not available, any other official document originating from this body. For cities and municipalities a certified copy of a printed document provided by the city/municipality is sufficient if the header contains the name, address and, when applicable, the registration number.
- **Participants who have a validated PIC do not have to submit Legal documents.**

c. Legal entity form [Eligibility criteria]

- The legal entity form needs to be filled out by each participant. It is downloadable for all EU languages at the following website: http://ec.europa.eu/budget/execution/legal_entities_en.htm.
- Forms need to be filled out, dated and signed by their authorised representatives before being scanned.
- **Participants who have a validated PIC do not have to submit a Legal entity form.**

¹⁰ **Certification of documents (“What is meant by certified documents?”):** The purpose of the certification of the requested balance sheets and profit and loss account and legal documents is to confirm that your copies of these documents correspond to the original. This certification can be given by any authorised person of the participating organisation by stating on the document “Corresponding to the original” and having this statement signed, stamped and dated. In case (some of) these documents have to be published in an Official Journal, the copies do not need to be certified.

d. Financial Statement [Selection criteria]

- All participants - except public bodies - should provide their financial statements for the most recent year that accounts are closed. They normally include balance sheets, profit and loss account and the notes (e.g. indicating no. of employees).
- Organisations which according to their national law do not need to establish balance sheets should attach the closest equivalent, e.g. a statement of income and expenditures.
- Newly founded organisations, which do not yet have balance sheets and profit and loss account available, should include their business plan.
- Documents should be signed 'certified copy' before scanning.

e. Financial identification form

- The financial identification form needs to be filled out by the Coordinator only. It is downloadable in all Union languages at:
http://ec.europa.eu/budget/execution/ftiers_en.htm.
- The form should be filled, stamped, dated and signed by the bank and the authorised representative before scanning.

f. Audit report

- In case a participant – except public bodies – requests EU funding of more than €750.000, an audit report produced by an approved external auditor must be submitted. This report must certify the accounts for the last financial year available and can be submitted in any EU language.
- The report should be signed "certified copy" before scanning.

g. Letters of support / intent (optional)

- You may wish to enclose letters supporting your project proposal from relevant key actors/ stakeholders, potential consumers or users, or letters of intent regarding funding from external sources.
- The Coordinator should collect all letters and convert them into PDF Format by scanning them into one single file containing all letters related to the proposal.
- Letters of intent are not needed from participants themselves, e.g. stating that they want to contribute to the project.
- Please include the letters of intent also in the Part B, (see sub chapter B11 above).
