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Model framework partnership agreement: August 2019

## FRAMEWORK PARTNERSHIP AGREEMENT

**AGREEMENT NUMBER – GP/EFSA/BIOHAW/2023/06 (EUBA-EFSA-2023-BIOHAW-06)**

**TITLE: Active wild birds surveillance**

This Framework Partnership Agreement ("the Framework agreement") is concluded between the following parties:

On the one part,

**THE EUROPEAN FOOD SAFETY AUTHORITY**, hereinafter referred to as "the Authority", established by [Regulation \(EC\) No 178/2002](#)<sup>1</sup> of the European Parliament and of the Council laying down the general principles and requirements of food law, establishing the European Food Safety Authority and laying down procedures in matters of food safety, as last amended, with offices on Via Carlo Magno 1/A, I-43126 Parma (Italy), represented for the purposes of signature of this Agreement by Mr Bernhard Url, Executive Director,

**and**

on the other part,

**"the partner"**

**[full official name] [ACRONYM]**

**[official legal status or form]<sup>2</sup>**

**[official registration No]<sup>3</sup>**

**[official address in full]**

**[VAT number],**

represented for the purposes of signature of this Framework agreement by **[function, forename and surname]**

The parties referred to above

**HAVE AGREED**

to the Special Conditions ("the Special Conditions") and the following Annexes:

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<sup>1</sup> OJ L 31 of 01.02.2002

<sup>2</sup> To be deleted or filled in according to the "Legal Entity" form.

<sup>3</sup> To be deleted or filled in according to the "Legal Entity" form.



- Annex I Call for proposals and the awarded action
- Annex II General Conditions ("the General Conditions")
- Annex III Model specific grant agreement
- Annex IV Model financial statement: not applicable
- Annex V Model technical report: not applicable
- Annex VI Model terms of reference for the certificate on the financial statements: not applicable
- Annex VII Model terms of reference for the certificate on the compliance of the cost accounting practices: not applicable
- Annex VIII Timesheet: not applicable
- Annex IX Confidentiality Declaration

which form an integral part of this Framework agreement.

The provisions in the Special Conditions of the Framework agreement, of which the Preamble forms an integral part, take precedence over its Annexes.

The provisions in Annex II "General Conditions" take precedence over the other Annexes.



## I. SPECIAL CONDITIONS

### ARTICLE I.1 – SUBJECT MATTER OF THE FRAMEWORK AGREEMENT – AWARD OF SPECIFIC GRANTS

#### I.1.1 Subject matter of the Framework agreement

**I.1.1.1** The Framework agreement is concluded as part of a long-term cooperation between the Authority and the partner ("the partnership") with the aim to contribute to the objectives of the Authority.

The Framework agreement defines the general rights and obligations of the parties in implementing their partnership.

**I.1.1.2** The partnership must be implemented in compliance with the Call for proposals set out in Annex I.

**I.1.1.3** For the purposes of implementing the partnership the Authority may award to the partner *specific grants for an action*.

The Framework agreement applies to any specific grant awarded for implementation of the partnership and to the respective specific grant agreements ("Specific agreements") concluded between the parties.

Signature of the Framework agreement does not give rise to any obligation of the Authority to award specific grants. It does not affect the partner's participation in other calls for proposals for the purposes of award of grants outside the scope of the Call for proposals set out in Annex I.

**I.1.1.4** Articles II.13.4 and II.25.3(a) do not apply.

#### I.1.2 Procedure for award of specific grants

The Authority may consult its partner in order to obtain a proposal for an action in line with the Call for proposals set out in Annex I. The partner is not obliged to submit a proposal in response to such a consultation.

#### I.1.3 Conclusion of Specific agreements

Where the Authority decides to award a specific grant, it proposes to the partner to sign a Specific agreement in accordance with the model set out in Annex III. The Specific agreement must be signed by the authorized representatives of the parties.

By signing the Specific agreement, the partner accepts the grant and agrees to implement the action acting on its own responsibility and under the terms and conditions set out in the Framework agreement and the Specific agreement.

Specific agreements must be signed before the date when the Framework agreement expires. Where the actions are carried out after the above-mentioned date, the terms of



the Framework agreement continue to apply to the implementation of the Specific agreements for a maximum of 6 months.

#### **I.1.4 Pre-financing and interim payments**

The amount of pre-financing payment<sup>4</sup> will be set out in Article 4.2 of each Specific agreement and subject to budget availability of the Authority.

### **ARTICLE I.2 – ENTRY INTO FORCE OF THE FRAMEWORK AGREEMENT, DURATION AND ENVELOPE AMOUNT OF THE PARTNERSHIP**

**I.2.1** The Framework agreement enters into force on the date on which the last party signs it.

**I.2.2** The Framework agreement is concluded for 3 years starting from the date of its entry into force.

**I.2.3** The overall envelope amount for implementation via specific agreements under this FPA, is EUR **XXXX [amount in figures and words]**. However, this does not bind the contracting authority to implement specific agreements for the maximum amount.

### **ARTICLE I.3 – DATA CONTROLLER AND COMMUNICATION DETAILS OF THE PARTIES**

#### **I.3.1 Data controller**

The entity acting as a data controller as provided for in Article II.7 is Frank Verdonck. The data protection notice regarding the grant award process and the management of grants, is available on EFSA's website: <http://www.efsa.europa.eu/sites/default/files/assets/procurementprivacystatement.pdf>.

#### **I.3.2 Communication details of the Authority**

Any communication addressed to the Authority shall be sent to the following address:

Operational contact:

Scientific officer - xxx Unit  
 EFSA  
 Via Carlo Magno 1/A I – 43126 Parma  
[XXXXXX@efsa.europa.eu](mailto:XXXXXX@efsa.europa.eu)

Administrative matters:

Procurement team – Finance Unit  
 EFSA  
 Via Carlo Magno 1/A

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<sup>4</sup> The aim of the pre-financing is to provide the beneficiary with a float. The pre-financing remains the property of the Authority until it is cleared against interim or final payment. The pre-financing payment is made within 30 days of signature of the Specific Agreement.



I – 43126 Parma  
[EFSAProcurement@efsa.europa.eu](mailto:EFSAProcurement@efsa.europa.eu)

### **I.3.3 Communication details of the partner**

Any communication from the Authority to the partner shall be sent to the following address:

XXX (full name of the contact person, address and e-mail)

## **ARTICLE I.4 – CONFIDENTIALITY AND INFORMATION SECURITY**

### **I.4.1 Confidential handling by the partner**

Without prejudice to Article II.6 of the present Framework agreement, the partner shall respect the confidentiality of any data acquired from the Authority during the execution of tasks under specific agreements. The partner employees will be required to sign a confidentiality declaration before commencing the performance of tasks for EFSA (Annex IX).

The confidential treatment of data provided by the Authority implies that the partner shall ensure that the information is accessed and used by its staff or that of a subcontracting third party on a strict need-to-know basis for the sole purpose of the present Framework agreement.

In relation to the execution of the tasks to be performed by the partner's employee(s), the partner shall ensure the conditions to allow the partner employee to execute the task objectively, impartially and independently and in compliance with EFSA standards, procedures and legislation.

The specific grant agreement may further specify how any data provided to the partner will need to be handled after the completion of specific actions (either returned to the Authority, deleted, or kept by the partner in the context of their use for regulatory purposes by the Authority, Member States and stakeholders under appropriate provisions related to confidentiality and data ownership).

### **I.4.2 Obligations regarding information security**

The partner shall ensure the secure and safe storage of the data obtained from the Authority, applying appropriate IT security measures such as password authentication.

Any data transmitted by the Authority shall be stored on the servers of the partner located in its premises or on the servers of dedicated computing centres under contract of the partners. Should cloud computing solutions be considered, the partner shall seek the prior authorisation in writing from the Authority with regard to any data provided by the Authority envisaged for handling by means of such cloud computing solutions. The data shall not be disseminated or disclosed to third parties or used for any other purposes than those requested under this Framework agreement.

## **ARTICLE I.5 PRE-EXISTING INTELLECTUAL PROPERTY RIGHTS**

In application of Article II.9, the list of the partner's pre-existing intellectual property rights is as follows:

XXXXXXXXXXXXXXXXXX

## **ARTICLE I.6 SIGNATURE OF AMENDMENTS**



Without prejudice to the art II.13 of the GENERAL CONDITIONS, FPA amendments will be electronically signed by the delegated EFSA Finance Unit responsible in cases of change of bank account.

## ARTICLE I.7 – CONFLICT OF INTEREST

With reference to article II.5, during the implementation of the FPA, the partner is obliged to provide:

- An Institutional Declaration of Interest (DoI) for any new proposed subcontractor(s) not included in the Art.36 list;
- An Institutional Declaration of Interest (DoI) for previously agreed subcontractor(s) not included in the Art.36 list in case their CoI situation significantly changed;
- Individual DoIs for members of the project team having influence and/or control over scientific outputs (for partner's staff and/or individual subcontractors) prior to signature of each Specific Agreement;
- Updated Individual DoIs for members of the project team having influence and/or control over scientific outputs (for partner's staff and/or individual subcontractors) and whose interests declared on the occasion of signature of the specific agreement have substantially changed during the implementation of the specific agreement;
- Individual DoIs for any new project team members having influence and/or control over scientific outputs (for partner's staff and/or individual subcontractors) who are added to the project during specific agreement implementation.

All declarations will be screened in accordance with the [EFSA's Independence policy](#) and the [Decision of the Executive Director on Competing Interest Management which can be found on the EFSA website](#).

## ARTICLE I.8 – INAPPLICABILITY OF THE NO PROFIT PRINCIPLE<sup>5</sup>

As an exception to Article II.25.3, the no-profit principle does not apply.

## ARTICLE I.09 – ENTITIES AFFILIATED TO THE PARTNER<sup>6</sup>

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<sup>5</sup> This option is to be added in the Framework agreement only if:

- 1) all the specific grants for an action will fall within one or more of the following categories:
  - the objective of the actions, is to reinforce the financial capacity of the partner;
  - where required by Annex I of the Specific agreement, continuity of the actions after the end of the implementation period is to be ensured by the income generated by the action;
  - specific grants in the form of study, research or training scholarships paid to natural persons or as other forms of direct support paid to natural persons who are most in need; OR
- 2) the maximum amount of any specific grant for an action or any specific operating grant, is lower than or equal to EUR 60 000.

If the option is not applicable to all specific grants but only to some of them, it should be deleted from the Framework agreement and should be added in the Specific agreement.

<sup>6</sup> This provision is to be included in the Framework agreement only:

- in case all affiliates enumerated therein will be systematically involved in the implementation of all specific action grants to be awarded under the framework partnership, or
- in case the partner is a sole beneficiary formed by other entities in the sense of article 122 (1) FR. In this case the entities composing the partner, and actually implementing the action, are considered as affiliated entities with the right to incur eligible costs.



For the purposes of Specific agreements the following entities are considered as affiliated entities to the partner:

■ [name of the entity];

■ [name of the entity];

[idem for further affiliated entities]

#### SIGNATURES

For the Partner  
[function/forename/surname]

For the Authority  
[forename/surname]

[signature]

[signature]

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If the partner would involve different affiliated entities in the implementation of the different specific action grants, the provision regarding the affiliated entities should be included in the model Specific agreement in Annex III and should be deleted from the Framework agreement.



**ANNEX 1 - Call for proposals and the awarded action**



## Annex II. GENERAL CONDITIONS

### **PART A – LEGAL AND ADMINISTRATIVE PROVISIONS**

#### **ARTICLE II.1 - DEFINITIONS**

The following definitions apply for the purpose of the Framework agreement and the Specific agreements:

**'Action'**: in case of a specific ***grant for an action***, the term refers to the set of activities or the project for which the grant is awarded; in case of an ***operating grant***, the term refers to the work programme for which the specific grant is awarded;

**'Breach of obligations'**: failure by the partner to fulfil one or more of its contractual obligations;

**'Confidential information or document'**: any information or document (in any format) received by either party from the other or accessed by either party in the context of the implementation of the Framework agreement or a Specific agreement that any of the parties has identified in writing as confidential. It does not include information that is publicly available;

**'Conflict of interests'**: a situation where the impartial and objective implementation of the Framework agreement or a Specific agreement by the partner is compromised for reasons involving family, emotional life, political or national affinity, economic interest, any other direct or indirect personal interest, or any other shared interest with the Authority or any third party related to the subject matter of the Framework agreement or a Specific agreement;

**'Direct costs'**: those specific costs which are directly linked to the implementation of the *action* and can therefore be attributed directly to it. They may not include any *indirect costs*;

**'Force majeure'**: any unforeseeable, exceptional situation or event beyond the control of the parties that prevents either of them from fulfilling any of their obligations under the Framework agreement or a Specific agreement, which is not attributable to error or negligence on their part or on the part of the subcontractors affiliated entities or third parties in receipt of financial support and which proves to be inevitable despite their exercising due diligence. The following cannot be invoked as *force majeure*: labour disputes, strikes, financial difficulties or any default of a service, defect in equipment or materials or delays in making them available, unless they stem directly from a relevant case of *force majeure*;

**'Formal notification'**: form of communication between the parties made in writing by mail or electronic mail which provides the sender with compelling evidence that the message was delivered to the specified recipient;



**'Fraud'**: any act or omission relating to the use or presentation of false, incorrect or incomplete statements or documents, which has as its effect the misappropriation or wrongful retention of funds or assets from the Union budget, the non-disclosure of information in violation of a specific obligation, with the same effect or the misapplication of such funds or assets for purposes other than those for which they were originally granted;

**'Grave professional misconduct'**: a violation of applicable laws or regulations or ethical standards of the profession to which a person or entity belongs, or any wrongful conduct of a person or entity which has an impact on its professional credibility where such conduct denotes wrongful intent or gross negligence;

**'Implementation period'**: the period of implementation of the Framework agreement as specified in I.2.2 or the period of implementation of the activities forming part of the *action*, as specified in Article 2.2 of the Specific agreement;

**'Indirect costs'**: those costs which are not specific costs directly linked to the implementation of the *action* and which therefore cannot be attributed directly to it. They may not include any costs identifiable or declared as eligible *direct costs*;

**'Irregularity'**: any infringement of a provision of Union law resulting from an act or omission by the partner, which has, or would have the effect of prejudicing the Union's budget;

**'Maximum amount of the grant'**: the maximum EU contribution to the *action*, as defined in Article 3.1 of the Specific agreement;

**'Pre-existing material'**: any materials, document, technology or know-how which exists prior to the partner using it for the production of a result in the implementation of the *action*;

**'Pre-existing right'**: any industrial and intellectual property right on *pre-existing material*; it may consist in a right of ownership, a licence right and/or a right of use belonging to the partner or any other third parties;

**'Related person'**: any natural or legal person who is a member of the administrative, management or supervisory body of the partner or who has the power to represent the partner or to take decisions on its behalf;

**'Starting date'**: the date on which the implementation of the *action* starts as provided for in Article 2.2 of the Specific agreement;

**'Subcontract'**: a procurement contract within the meaning of Article II.10, which covers the implementation by a third party of tasks forming part of the *action* as described in Annex I of the Specific agreement;

## ARTICLE II.2 – GENERAL OBLIGATIONS OF THE PARTNER

The partner must:

- (a) respect the common general objectives that formed the basis for establishing the partnership, as mentioned in the Preamble and in the *Action* plan set out in Annex I, and endeavour to achieve in practice those objectives in each *action* for which a specific grant is awarded;



- (b) maintain relations of mutual co-operation and regular and transparent exchanges of information with the Authority on the implementation and the follow-up to implementation of the *Action* plan set out in Annex I and of any specific grant awarded by the Authority under the Framework agreement, as well as on other matters of common interest related to the Framework agreement;
- (c) comply with any legal obligations it is bound by under applicable EU, international and national law;
- (d) carry out the *actions*, for which specific grants were awarded, in accordance with the terms and conditions of the Framework agreement and the Specific agreements;
- (e) inform the Authority immediately of any events or circumstances of which the partner is aware, that are likely to affect or delay the implementation of an *action*;
- (f) inform the Authority immediately:
  - (i) of any change in its legal, financial, technical, organisational or ownership situation and of any change in its name, address or legal representative;
  - (ii) of any change in the legal, financial, technical, organisational or ownership situation of its affiliated entities and of any change in their name, address or legal representative.
  - (iii) of any change regarding the exclusion situations listed in Article 136 of Regulation (EU) 2018/1046, including for its affiliated entities;

## **ARTICLE II.3 – COMMUNICATIONS BETWEEN THE PARTIES**

### **II.3.1 Form and means of communications**

Any communication relating to the Framework agreement or a Specific agreement or to their implementation must:

- (a) be made in writing (in paper or electronic form);
- (b) bear the number of the agreement concerned; and
- (c) be made using the communication details identified in Article 7 of the Specific agreement.

If a party requests written confirmation of an electronic communication within a reasonable time, the sender must provide an original signed paper version of the communication as soon as possible.

### **II.3.2 Date of communications**

Any communication is considered to have been made when the receiving party receives it, unless the Framework agreement or the Specific agreement states that



communication is considered to have been made on the date when the communication was sent.

Email is considered to have been received by the receiving party on the day of dispatch of that e-mail, provided that it is sent to the email address indicated in Article 7 of the Specific agreement. The sending party must be able to prove the date of dispatch. If the sending party receives a non-delivery report, it must make every effort to ensure that the other party actually receives the communication by email or mail. In such a case, the sending party is not held in breach of its obligation to send such communication within a specified deadline.

Mail sent to the Authority using the postal or courier services is considered to have been received by the Authority on the date on which it is registered by the department identified in Article 7.1 of the Specific agreement.

*Formal notifications* are considered to have been received by the receiving party on the date of receipt indicated in the proof received by the sending party that the message was delivered to the specified recipient.]

## ARTICLE II.4 – LIABILITY FOR DAMAGES

- II.4.1** The Authority may not be held liable for any damage caused or sustained by the partner, including any damage caused to third parties as a consequence of or during the implementation of an *action*.
- II.4.2** Except in cases of *force majeure*, the partner must compensate the Authority for any damage it sustains as a result of the implementation of an *action* or because an *action* was not implemented in full compliance with the Framework agreement or the Specific agreement.

## ARTICLE II.5 – CONFLICT OF INTERESTS

- II.5.1** The partner must take all necessary measures to prevent any situation of *conflict of interests*.
- II.5.2** The partner must inform the Authority without delay of any situation constituting or likely to lead to a *conflict of interests*. It must take immediately all the necessary steps to rectify this situation.

The Authority may verify that the measures taken are appropriate and may require additional measures to be taken by a specified deadline.

## ARTICLE II.6 – CONFIDENTIALITY

- II.6.1** During implementation of the *action* and for five years after the payment of the balance, the parties must treat with confidentiality any *confidential information and documents*.
- II.6.2** The parties may only use *confidential information and documents* for a reason other than to fulfil their obligations under the Framework agreement and the



Specific agreement if they have first obtained the prior written agreement of the other party.

**II.6.3** The confidentiality obligations do not apply if:

- (a) the disclosing party agrees to release the other party from those obligations;
- (b) the *confidential information or documents* become public through other means than a breach of the confidentiality obligations;
- (c) the disclosure of the *confidential information or documents* is required by law.

**ARTICLE II.7 – PROCESSING OF PERSONAL DATA**

**II.7.1 Processing of personal data by the Authority**

Any personal data included in the Framework agreement and the Specific agreements must be processed by the Authority in accordance with Regulation (EU) No 2018/1725.<sup>7</sup>

Such data must be processed by the data controller identified in Article I.3 solely for implementing, managing and monitoring the Framework agreement and the Specific agreements or to protect the financial interests of the EU, including checks, audits and investigations in accordance with Article II.27.

The partner has the right to access rectify or erase its own personal data and the right to restrict or, where applicable, the right to data portability or the right to object to data processing in accordance with Regulation (EU) No 2018/1725. For this purpose, it must send any queries about the processing of its personal data to the data controller identified in Article I.3.

The partner may have recourse at any time to the European Data Protection Supervisor.

**II.7.2 Processing of personal data by the partner**

The partner must process personal data under the Framework agreement and the Specific agreements in compliance with applicable EU and national law on data protection (including authorisations or notification requirements).

The partner may grant its personnel access only to data that is strictly necessary for implementing, managing and monitoring the Framework agreement and the Specific agreements. The partner must ensure that the personnel authorised to process personal data has committed itself to confidentiality or is under appropriate statutory obligation of confidentiality.

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<sup>7</sup> Regulation (EU) 2018/1725 of the European Parliament and of the Council of 23 October 2018 on the protection of natural persons with regard to the processing of personal data by the Union institutions, bodies, offices and agencies and on the free movement of such data, and repealing Regulation (EC) No 45/2001 and Decision No 1247/2002/EC



The partner must adopt appropriate technical and organisational security measures having regard to the risks inherent in the processing and to the nature, scope, context and purposes of processing of the personal data concerned. This is in order to ensure, as appropriate:

- (a) the pseudonymisation and encryption of personal data;
- (b) the ability to ensure the ongoing confidentiality, integrity, availability and resilience of processing systems and services;
- (c) the ability to restore the availability and access to personal data in a timely manner in the event of a physical or technical incident;
- (d) a process for regularly testing, assessing and evaluating the effectiveness of technical and organisational measures for ensuring the security of the processing;
- (e) measures to protect personal data from accidental or unlawful destruction, loss, alteration, unauthorised disclosure of or access to personal data transmitted, stored or otherwise processed.

## **ARTICLE II.8 – VISIBILITY OF UNION FUNDING**

### **II.8.1 Information on Union funding and use of the European Union emblem**

Unless the Authority requests or agrees otherwise, any communication or publication made by the partner that relates to an *action*, including at conferences, seminars or in any information or promotional materials (such as brochures, leaflets, posters, presentations, in electronic form etc.), must

- (a) indicate that the *action* has received funding from the Union; and
- (b) display the European Union emblem.

When displayed in association with another logo, the European Union emblem must have appropriate prominence.

The obligation to display the European Union emblem does not confer on the partner a right of exclusive use. The partner may not appropriate the European Union emblem or any similar trademark or logo, either by registration or by any other means.

For the purposes of the first, second and third subparagraphs and under the conditions specified therein, the partner may use the European Union emblem without first obtaining permission from the Authority.

### **II.8.2 Disclaimers excluding Authority responsibility**

Any communication or publication that relates to an *action*, made by the partner in any form and using any means, must indicate:

- (a) that it reflects only the author's view; and
- (b) that the Authority is not responsible for any use that may be made of the information it contains.



## **ARTICLE II.9 – PRE-EXISTING RIGHTS AND OWNERSHIP AND USE OF THE RESULTS (INCLUDING INTELLECTUAL AND INDUSTRIAL PROPERTY RIGHTS)**

### **II.9.1 Ownership of the results by the partner**

The partner retains ownership of the results of the *action*, including industrial and intellectual property rights, and of the reports and other documents relating to it, unless stipulated otherwise in the Specific agreement.

### **II.9.2 Pre-existing rights**

If the Authority sends the partner a written request specifying which of the results it intends to use, the partner must:

- (a) establish a list specifying all *pre-existing rights* included in those results; and
- (b) provide this list to the Authority at the latest with the request for payment of the balance.

The partner must ensure that it or its affiliated entities have all the rights to use any *pre-existing rights* during the implementation of the Specific agreement.

### **II.9.3 Rights of use of the results and of pre-existing rights by the Union**

The partner grants the Union the following rights to use the results of an *action*:

- (i) for its own purposes and in particular to make available to persons working for the Authority, other Union institutions, agencies and bodies and to Member States' institutions, as well as to copy and reproduce in whole or in part and in an unlimited number of copies;
- (ii) reproduction: the right to authorise direct or indirect, temporary or permanent reproduction of the results by any means (mechanical, digital or other) and in any form, in whole or in part;
- (iii) communication to the public: the right to authorise any display performance or communication to the public, by wire or wireless means, including making the results available to the public in such a way that members of the public may access them from a place and at a time individually chosen by them; this right also includes communication and broadcasting by cable or by satellite;
- (iv) distribution: the right to authorise any form of distribution of results or copies of the results to the public;
- (v) adaptation: the right to modify the results;
- (vi) translation;
- (vii) the right to store and archive the results in line with the document management rules applicable to the Authority, including digitisation or converting the format for preservation or new use purposes;



(viii) where the results are documents, the right to authorise the reuse of the documents in conformity with Authority Decision 2011/833/EU of 12 December 2011 on the reuse of Authority documents if that Decision is applicable and if the documents fall within its scope and are not excluded by any of its provisions. For the sake of this provision, the terms 'reuse' and 'document' have the meanings given to them by Decision 2011/833/EU.

The above rights of use may be further specified in the Specific agreement.

Additional rights of use for the Union may be provided for in the Specific agreement.

The partner must ensure that the Union has the right to use any *pre-existing rights* included in the results of an *action*. The *pre-existing rights* must be used for the same purposes and under the same conditions as applicable to the rights of use of the results of the *action*, unless specified otherwise in the Specific agreement.

Information about the copyright owner must be inserted in cases where the result is divulged by the Union. The copyright information must read: '© — year — name of the copyright owner. All rights reserved. Licenced to the European Union under conditions.'

If the partner grants rights of use to the Authority, this does not affect its confidentiality obligations under Article II.6 or the partner's obligations under Article II.2.

## **ARTICLE II.10 – AWARD OF CONTRACTS NECESSARY FOR THE IMPLEMENTATION OF AN ACTION**

**II.10.1** If the implementation of an *action* requires the partner to procure goods, works or services, it may award the contract in accordance with their usual purchasing practices provided that the contract is awarded to the tender offering best value for money or, as appropriate, to the tender offering the lowest price. In doing so, it must avoid any *conflict of interests*.

The partner must ensure that Article II.27 is also applicable to the partners' contractors, in particular that the Authority, the European Court of Auditors and the European Anti-Fraud Office (OLAF) can exercise their rights under Article II.27 towards the contractors.

**II.10.2** The partner that is a "contracting authority" within the meaning of Directive 2014/24/EU<sup>8</sup> or "contracting authority" within the meaning of Directive 2014/25/EU<sup>9</sup> must comply with the applicable national public procurement rules.

The partner must ensure that the conditions applicable to it under Articles II.4, II.5, II.6 and II.9 are also applicable to the contractor.

**II.10.3** The partner remains solely responsible for carrying out the *action* concerned and for compliance with the Framework agreement and the Specific agreement.

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<sup>8</sup> Directive 2014/24/EU of the European Parliament and of the Council of 26 February 2014 on public procurement and repealing Directive 2004/18/EC

<sup>9</sup> Directive 2014/25/EU of the European Parliament and of the Council of 26 February 2014 on procurement by entities operating in the water, energy, transport and postal services sectors and repealing Directive 2004/17/EC



**II.10.4** If the partner *breaches its obligations* under Article II.10.1 the costs related to the contract concerned are considered ineligible in accordance with Article II.19.2 (c), (d) and (e).

If the partner *breaches its obligations* under Article II.10.2 the grant may be reduced in accordance with Article II.25.4.

## ARTICLE II.11 – SUBCONTRACTING OF TASKS FORMING PART OF AN ACTION

**II.11.1** The partner may *subcontract* tasks forming part of an *action*. If it does so, it must ensure that, in addition to the conditions specified in Article II.10, the following conditions are also complied with:

- (a) *subcontracting* does not cover core tasks of the *action*;
- (b) recourse to *subcontracting* is justified because of the nature of the *action* and what is necessary for its implementation;
- (c) the estimated costs of the *subcontracting* are clearly identifiable in the estimated budget set out in Annex II of the Specific agreement;
- (d) any recourse to *subcontracting*, if not provided for in Annex I of the Specific agreement, is communicated by the partner and approved by the Authority. The Authority may grant approval:
  - (i) before any recourse to *subcontracting*, if the partner requests an amendment as provided for in Article II.13; or
  - (ii) after recourse to *subcontracting* if the *subcontracting*:
    - is specifically justified in the interim or final technical report referred to in Articles 4.3 and 4.4 of the Specific agreement; and
    - does not entail changes to the Framework agreement or the Specific agreement which would call into question the decision to establish the framework partnership or to award the specific grant or which would be contrary to the equal treatment of applicants;
- (e) the partner ensures that the conditions applicable to it under Article II.8 are also applicable to the subcontractors.

**II.11.2** If the partner *breaches its obligations* under Article II.11.1 (a), (b), (c) or (d), the costs related to the contract concerned are considered ineligible in accordance with Article II.19.2 (f).

If the partner *breaches its obligation* under Article II.11.1 (e) the grant may be reduced in accordance with Article II.25.4.

## ARTICLE II.12 - FINANCIAL SUPPORT TO THIRD PARTIES

**II.12.1** If, while implementing an *action* the partner has to give financial support to third parties, the partner must give such financial support in accordance with the conditions specified in Annex I of the Specific agreement. Under those conditions, the following information must be stated at least:



- (a) the maximum amount of financial support. This amount may not exceed EUR 60 000 for each third party except if achieving the objective of the *action* as specified in Annex I of the Specific Agreement would otherwise be impossible or overly difficult;
- (b) the criteria for determining the exact amount of the financial support;
- (c) the different types of activity that may receive financial support, on the basis of a fixed list;
- (d) the persons or categories of persons which may receive financial support;
- (e) the criteria for giving the financial support.

**II.12.2** As an exception to Article II.12.1, if the financial support takes the form of a prize, the partner must give such financial support in accordance with the conditions specified in Annex I of the Specific agreement. Under those conditions, the following information must at least be stated:

- (a) the eligibility and award criteria;
- (b) the amount of the prize;
- (c) the payment arrangements.

**II.12.3** The partner must ensure that the conditions applicable to it under Articles II.4, II.5, II.6, II.8, II.9 and II.27 are also applicable to the third parties receiving financial support.

## **ARTICLE II.13 – AMENDMENTS TO THE FRAMEWORK AGREEMENT AND THE SPECIFIC AGREEMENTS**

**II.13.1** Any amendment to the Framework agreement or a Specific agreement must be made in writing.

**II.13.2** An amendment may not have the purpose or the effect of making changes to the Framework agreement or a Specific agreement which would call into question the decision to establish the framework partnership or to award the specific grant or which would be contrary to the equal treatment of applicants.

**II.13.3** Any request for amendment must:

- a) be duly justified;
- b) be accompanied by appropriate supporting documents; and
- c) be sent to the other party in due time before it is due to take effect, and in any case one month before the end of the *implementation period* of the Framework agreement or the Specific agreement.

Point (c) does not apply in cases duly substantiated by the party requesting the amendment if the other party agrees.

**II.13.4** In case of a specific operating grant the *implementation period* set out in Article 2.2 of the Specific agreement may not be extended via amendments.

**II.13.5** Amendments enter into force on the date on which the last party signs or on the date of approval of the request for amendment.



Amendments take effect on a date agreed by the parties or, in the absence of such an agreed date, on the date on which the amendment enters into force.

## **ARTICLE II.14 – ASSIGNMENT OF CLAIMS FOR PAYMENTS TO THIRD PARTIES**

**II.14.1** The partner may not assign any of its claims for payment against the Authority to any third party, except if approved by the Authority on the basis of a reasoned written request by the partner.

If the Authority does not accept the assignment or the terms of it are not complied with, the assignment has no effect on it.

**II.14.2** In no circumstances may an assignment release the partner from its obligations towards the Authority.

## **ARTICLE II.15 – FORCE MAJEURE**

**II.15.1** A party faced with *force majeure* must send a *formal notification* to the other party without delay, stating the nature of the situation or of the event, its likely duration and foreseeable effects.

**II.15.2** The parties must take the necessary measures to limit any damage due to *force majeure*. They must do their best to resume the implementation of the *action* as soon as possible.

**II.15.3** The party faced with *force majeure* may not be considered in *breach of its obligations* under the Framework agreement or a Specific agreement if it has been prevented from fulfilling them by *force majeure*.

## **ARTICLE II.16 – SUSPENSION OF THE IMPLEMENTATION**

### **II.16.1 Suspension of the implementation of an *action* by the partner**

The partner may suspend the implementation of an *action* or any part of it, if exceptional circumstances make such implementation impossible or excessively difficult, in particular in the event of *force majeure*.

The partner must immediately inform the Authority stating:

- (a) the reasons for suspension, including details about the date or period when the exceptional circumstances occurred; and
- (b) the expected date of resumption.

Once the circumstances allow the partner to resume implementing the *action*, the partner must inform the Authority immediately and present a request for amendment of the Framework agreement or a Specific agreement as provided for in Article II.16.3.2. This obligation does not apply if the Framework agreement or Specific agreement is terminated in accordance with Article II.17.1 or points (b) or (c) of Article II.17.2.2.

### **II.16.2 Suspension of implementation by the Authority**

#### **II.16.2.1 Grounds for suspension**



The Authority may suspend the implementation of an *action* or any part thereof or the implementation of the Framework agreement:

- (a) if the Authority has evidence that the partner has committed *irregularities, fraud or breach of obligations* in the award procedure or while implementing the Framework agreement or the Specific agreement;
- (b) if the Authority has evidence that the partner has committed systemic or recurrent *irregularities, fraud* or serious *breach of obligations* in other grants funded by the Union or the European Atomic Energy Community ("Euratom") awarded to the partner under similar conditions, and the *irregularities, fraud* or *breach of obligations* have a material impact on one or more specific grants awarded under the Framework agreement; or
- (c) if the Authority suspects *irregularities, fraud* or *breach of obligations* committed by the partner in the award procedure or while implementing the Framework agreement or the Specific agreement and needs to verify whether they have actually occurred.

The implementation of each action for which a specific grant has been awarded is deemed automatically suspended from the date on which the suspension of the implementation of the Framework agreement takes effect.

#### **II.16.2.2 Procedure for suspension**

**Step 1** Before suspending implementation of an *action*, the Authority must send a *formal notification* to the partner:

- (a) informing it of:
  - (i) its intention to suspend the implementation;
  - (ii) the reasons for suspension;
  - (iii) the necessary conditions for resuming the implementation of the Framework agreement or of the *action* in the cases referred to in points (a) and (b) of Article II.16.2.1; and
- (b) inviting it to submit observations within 30 calendar days of receiving the *formal notification*.

**Step 2** If the Authority does not receive observations or decides to pursue the procedure despite the observations it has received, it must send a *formal notification* to the partner informing it of:

- (a) the suspension of the implementation;
- (b) the reasons for suspension; and
- (c) the final conditions for resuming the implementation of the Framework agreement or of the *action* in the cases referred to in points (a) and (b) of Article II.16.2.1; or
- (d) the indicative date of completion of the necessary verification in the case referred to in point (c) of Article II.16.2.1.



The suspension takes effect on the day the *formal notification* is received by the partner or on a later date specified in the *formal notification*.

Otherwise, the Authority must send a *formal notification* to the partner informing it that it is not continuing the suspension procedure.

### **II.16.2.3 Resuming implementation**

In order to resume the implementation, the partner must meet the notified conditions as soon as possible and must inform the Authority of any progress made.

If the conditions for resuming the implementation of the Framework agreement or the Specific agreements are met or the necessary verifications are carried out, the Authority must send a *formal notification* to the partner:

- (a) informing it that the conditions for lifting the suspension are met; and
- (b) requiring it to present a request for amendment of the agreement concerned as provided for in Article II.16.3.2 This obligation does not apply if the Framework agreement or the Specific agreement is terminated in accordance with Articles II.17.1 or points (b), (f) or (g) of Article II.17.2.2.

### **II.16.3 Effects of the suspension**

#### **II.16.3.1** If the Framework agreement is not terminated, it may be adapted to the new implementing conditions in accordance with Article II.13.

The suspension of the implementation of the Framework agreement and of all automatically suspended *actions* in accordance with the last subparagraph of Article II.16.2.1 is deemed lifted as from the date of the notification by the Authority referred to in point (a) of Article II.16.2.3. In this case Article II.16.3.2 does not apply.

#### **II.16.3.2** If the implementation of the suspended *action* can be resumed and the Specific agreement has not been terminated, an amendment to the Specific agreement must be made in accordance with Article II.13 in order to:

- (a) set the date on which the *action* is to be resumed;
- (b) extend the duration of the *action*; and
- (c) make other changes necessary to adapt the *action* to the new situation.

The suspension is lifted with effect from the resumption date set out in the amendment. This date may be before the date on which the amendment enters into force.

#### **II.16.3.3** Costs incurred during the period of suspension that relate to the implementation of the suspended *action* or the suspended part of it may not be reimbursed or covered by the grant.

Suspending implementation of an *action* or implementation of the Framework agreement does not affect the Authority's right to terminate the concerned agreement in accordance with Article II.17.2, reduce the grant or recover amounts unduly paid in accordance with Articles II.25.4 and II.26.



Neither party may claim damages due to suspension by the other party.

## **ARTICLE II.17 – TERMINATION OF THE FRAMEWORK AGREEMENT AND THE SPECIFIC AGREEMENTS**

### **II.17.1 Termination of the Framework agreement or a Specific agreement by the partner**

#### **II.17.1.1 Termination of the Framework agreement**

The partner may terminate the Framework agreement without specifying the reasons for termination.

The partner must send a *formal notification* of termination to the Authority stating the date on which the termination takes effect. This date must be set after the *formal notification*.

#### **II.17.1.2 Termination of a Specific agreement**

The partner may terminate a Specific agreement.

The partner must send a *formal notification* of termination to the Authority, stating:

- (a) the reasons for termination; and
- (b) the date on which the termination takes effect. This date must be set after the *formal notification*.

If the partner does not state the reasons for the termination or if the Authority considers that the reasons do not justify termination, the Specific agreement is considered to have been terminated improperly.

The termination takes effect on the day specified in the *formal notification*.

### **II.17.2 Termination of the Framework agreement or a Specific agreement by the Authority**

#### **II.17.2.1 Termination of the Framework agreement**

The Authority may terminate the Framework agreement without specifying the reasons for termination.

The Authority must send a *formal notification* of termination to the partner specifying the date on which the termination takes effect. The notification must be sent before the termination is due to take effect.

#### **II.17.2.2 Termination of the Framework agreement or a Specific agreement based on explicit grounds**

The Authority may terminate the Framework agreement or a Specific agreement if:

- (a) a change to the partner's legal, financial, technical, organisational or ownership situation is likely to affect the implementation of the Framework agreement or the Specific agreement substantially or calls into question the Authority's



decision to establish the framework partnership or to award the specific grant, or a change regarding the exclusion situations listed in Article 136 of Regulation (EU) 2018/1046, that calls into question the decision to award the grant;

- (b) partner , any *related person* or any natural person who is essential for the award or for the implementation of the Agreement have committed serious *breach of obligations*, including improper implementation of an *action* as described in Annex I of the Specific agreement;
- (c) the implementation of an *action* is prevented or suspended due to *force majeure* or exceptional circumstances and either:
  - (i) resumption is impossible; or
  - (ii) the necessary changes to the Framework agreement or the Specific agreement would call into question the decision to establish the framework partnership or to award the specific grant or be contrary to the equal treatment of applicants;
- (d) the partner or a natural or legal person that assumes unlimited liability for the debts of the partner
  - (i) is declared bankrupt, is subject to insolvency or winding up procedures, its assets are being administered by a liquidator or by a Court, has entered into an agreement with creditors, has suspended business activities or is in any analogous situation arising from a similar procedure provided for under the Union or national law;
  - (ii) is in *breach of its obligations* relating to the payment of taxes or social security contributions in accordance with the applicable law;;
- (e) the partner or any *related person* or any natural person who is essential for the award or for the implementation of the Agreement has committed:
  - (i) *grave professional misconduct* proven by any means;
  - (ii) *fraud*;
  - (iii) corruption;
  - (iv) conduct related to criminal organisations;
  - (v) money laundering;
  - (vi) terrorism-related crimes (including terrorism financing);
  - (vii) child labour or other offences concerning trafficking of human beings;
- (f) the Authority has evidence that the partner or any *related person* or any natural person who is essential for the award or for the implementation of the Framework Partnership agreement or the Specific agreement has committed *irregularities, fraud or breach of obligations* in the award procedure or while



implementing the Framework agreement or any Specific agreement, including if the partner or *related person* or natural person has submitted false information or failed to provide required information;

- (g) Authority has evidence that the partner has committed systemic or recurrent *irregularities, fraud* or serious *breach of obligations* in other Union or Euratom grants awarded to it under similar conditions and such *irregularities, fraud* or *breach of obligations* have a material impact on a specific grant awarded under the Framework agreement;
- (h) The partner or any *related person* or any natural person who is essential for the award or for the implementation of the Framework Partnership agreement or the Specific Agreement has created an entity under a different jurisdiction with the intent to circumvent fiscal, social or any other legal obligations in the jurisdiction of its registered office, central administration or principal place of business;
- (i) The partner or any *related person* has been created with the intent referred to in point (h) or
- (j) the Authority has sent the partner a *formal notification* asking it to end the participation of its affiliated entity because that entity is in a situation provided for in points (d) to (i) and the partner has failed to request an amendment ending the participation of the entity and reallocating its tasks.

### **II.17.2.2 Procedure for termination**

**Step 1** Before terminating the Framework agreement or a Specific agreement on one of the grounds specified in Article II.17.2.2, the Authority must send a *formal notification* to the partner:

- (a) informing it of:
  - (i) its intention to terminate;
  - (ii) the reasons for termination; and
- (b) requiring it, within 45 calendar days of receiving the *formal notification*:
  - (i) to submit observations; and
  - (ii) in the case of point (b) of Article II.17.2.2, to inform the Authority of the measures to ensure compliance with the obligations under the Framework agreement or the Specific agreement concerned.

**Step 2** If the Authority does not receive observations or decides to pursue the procedure despite the observations it has received, it will send a *formal notification* to the partner informing it of the termination and the date on which it takes effect.

Otherwise, the Authority must send a *formal notification* to the partner informing it that the termination procedure is not continued.

The termination takes effect:



- (a) for terminations under points (a), (b) and (d) of Article II.17.2.2: on the day specified in the *formal notification* of termination referred to in the second subparagraph (i.e. in Step 2 above);
- (b) for terminations under points (c), (e) to (j) of Article II.17.2.2: on the day after the partner receives the *formal notification* of termination referred to in the second subparagraph (i.e. in Step 2 above).

### **II.17.3 Effects of termination**

Where the Framework agreement is terminated by the partner in accordance with Article II.17.1.1 or by the Authority in accordance with Articles II.17.2.1 or II.17.2.2:

- (a) the partner must complete the implementation of any Specific agreement, governed by the Framework agreement, which has entered into force before the date on which the termination of the Framework agreement takes effect;
- (b) the Authority must honour its obligations arising from the implementation of any Specific agreement, governed by the Framework agreement, which has entered into force before the date on which the termination of the Framework agreement takes effect.

Within 60 calendar days from the day on which the termination of a Specific agreement takes effect, the partner must submit a request for payment of the balance as provided for in Article 4.4 of the Specific agreement.

If the Authority does not receive the request for payment of the balance by the above deadline, only costs or contributions which are included in an approved technical report and, where relevant, in an approved financial statement, are reimbursed or covered by the specific grant.

If the Specific agreement is terminated by the Authority because the partner *has breached its obligation* to submit the request for payment, the partner may not submit any request for payment after termination. In that case the third subparagraph applies.

The Authority calculates the final grant amount as referred to in Article II.25 and the balance as referred to in Article 5.4 of the Specific agreement on the basis of the reports submitted. Only activities undertaken before the date when the termination takes effect or the end date of the *implementation period* as specified in Article I.2.2 of the Specific agreement, whichever is the earliest, must be taken into account. Where the grant takes the form of reimbursement of costs actually incurred as provided for in Article I.3.2(a)(i) of the Specific Agreement, only costs incurred before termination takes effect are reimbursed or covered by the specific grant. Costs relating to contracts due for execution only after termination are not taken into account and are not reimbursed or covered by the grant.

The Authority may reduce a specific grant in accordance with Article II.25.4 in case of:

- (a) improper termination of the Specific agreement by the partner within the meaning of Article II.17.1.2; or
- (b) termination of the Specific agreement by the Authority on any of the grounds set out in points (b), (e) to (j) of Article II.17.2.2.



Neither party may claim damages on the grounds that the other party terminated the Framework agreement or a Specific agreement.

After termination, the partner's obligations continue to apply, in particular those under Article 4 of the Specific agreement, Articles II.6, II.8, II.9, II.14, II.27 and any additional provisions on the use of the results, as set out in the Special Conditions or the Specific agreement concerned.

## **ARTICLE II.18 – APPLICABLE LAW, SETTLEMENT OF DISPUTES AND ENFORCEABLE DECISIONS**

**II.18.1** The Framework agreement and any Specific agreement are governed by the applicable Union law complemented, where necessary, by the law of Belgium.

**II.18.2** In accordance with Article 272 TFEU, the General Court or, on appeal, the Court of Justice of the European Union, has sole jurisdiction to hear any dispute between the Union and the partner concerning the interpretation, application or validity of the Framework agreement or any Specific agreement, if such dispute cannot be settled amicably.

**II.18.3** In accordance with Article 299 TFEU, for the purposes of recovery within the meaning of Article II.26, the Authority may adopt an enforceable decision to impose pecuniary obligations on persons other than States.

An *action* may be brought against such decision before the General Court of the European Union in accordance with Article 263 TFEU.

## **PART B – FINANCIAL PROVISIONS**

### **ARTICLE II.19 – ELIGIBLE COSTS**

#### **II.19.1 Conditions for the eligibility of costs**

*Eligible costs* of the *action* are costs actually incurred by the partner and which meet the following criteria:

- (a) they are incurred within the *implementation period* of the Specific agreement, with the exception of costs relating to the request for payment of the balance and the corresponding supporting documents referred to in Article 4.4 of the Specific agreement;
- (b) they are indicated in the estimated budget of an *action*. The estimated budget is set out in Annex II of the Specific agreement;
- (c) they are incurred in connection with the *action* as described in Annex I of the Specific agreement and are necessary for its implementation;
- (d) they are identifiable and verifiable, in particular they are recorded in the partner's accounting records and determined according to the applicable accounting standards of the country where the partner is established and according to the partner's usual cost accounting practices;
- (e) they comply with the requirements of applicable tax and social legislation; and



(f) they are reasonable, justified and comply with the principle of sound financial management, in particular regarding economy and efficiency.

## II.19.2 Eligible direct costs

To be eligible the *direct cost* of an *action* must comply with the eligibility conditions set out in Article II.19.1.

In particular, the following categories of costs are eligible *direct costs*, provided that they satisfy the eligibility conditions set out in Article II.19.1 as well as the following conditions:

- (a) the costs of personnel working under an employment contract with the partner or an equivalent appointing act and assigned to the *action*, provided that these costs are in line with the partner's usual policy on remuneration;

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

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

- (i) the person works under conditions similar to those of an employee (in particular regarding the way the work is organised, the tasks that are performed and the premises where they are performed);
- (ii) the result of the work belongs to the partner (unless exceptionally agreed otherwise); and
- (iii) the costs are not significantly different from the costs of staff performing similar tasks under an employment contract with the partner;
- (b) costs of travel and related subsistence allowances, provided that these costs are in line with the partner's usual practices on travel;
- (c) the depreciation costs of equipment or other assets (new or second-hand) as recorded in the partner's accounting statements, provided that the asset:
  - (i) is written off in accordance with the international accounting standards and the partner's usual accounting practices; and
  - (ii) has been purchased in accordance with Article II.10.1 if the purchase occurred within the *implementation period*.

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



Only the portion of the equipment's depreciation, rental or lease costs corresponding to the *implementation period* set out in Article 2.2 of the Specific agreement concerned and the rate of actual use for the purposes of the *action* may be taken into account when determining the *eligible costs*. By way of exception, the Special Conditions or the Specific agreement may provide for the eligibility of the full cost of purchase of equipment, if this is justified by the nature of the *action* and the context of the use of the equipment or assets;

- (d) costs of consumables and supplies, provided that they:
  - (i) are purchased in accordance with Article II.10.1; and
  - (ii) are directly assigned to the *action*;
- (e) costs arising directly from requirements imposed by the Framework agreement or the Specific agreement (dissemination of information, specific evaluation of the *action*, audits, translations, reproduction), including the costs of requested financial guarantees, provided that the corresponding services are purchased in accordance with Article II.10.1;
- (f) costs entailed by *subcontracts* within the meaning of Article II.11, provided that the conditions laid down in Article II.11.1 (a), (b), (c) and (d) are met;
- (g) costs of financial support to third parties within the meaning of Article II.12, provided that the conditions laid down in that Article are met;
- (h) duties, taxes and charges paid by the partner, notably value added tax (VAT), provided that they are included in eligible *direct costs*, and unless specified otherwise in the Special Conditions or in the Specific agreement.

### **II.19.3 Eligible indirect costs**

To be eligible, *indirect costs* of the *action* must represent a fair apportionment of the overall overheads of the partner and must comply with the conditions of eligibility set out in Article II.19.1.

Eligible *indirect costs* must be declared on the basis of a flat rate of 7% of the total eligible *direct costs* unless otherwise specified in Article 3.2 of the Specific agreement.

### **II.19.4 Ineligible costs**

In addition to any other costs which do not fulfil the conditions set out in Article II.19.1, the following costs may not be considered eligible:

- (a) return on capital and dividends paid by the partner;
- (b) debt and debt service charges;
- (c) provisions for losses or debts;
- (d) interest owed;



- (e) doubtful debts;
- (f) exchange losses;
- (g) costs of transfers from the Authority charged by the bank of the partner;
- (h) costs declared by the partner under another *action* receiving a grant financed from the Union budget. Such grants include grants awarded by a Member State and financed from the Union budget and grants awarded by bodies other than the Authority for the purpose of implementing the Union budget. In particular, if the partner receives an operating grant financed by the EU or Euratom budget, it may not declare *indirect costs* for the period(s) covered by the operating grant, unless it can demonstrate that the operating grant does not cover any costs of the *action*.
- (i) contributions in kind from third parties;
- (j) excessive or reckless expenditure;
- (k) deductible VAT.

## **ARTICLE II.20 – IDENTIFIABILITY AND VERIFIABILITY OF THE AMOUNTS DECLARED**

### **II.20.1 Declaring costs and contributions**

The partner must declare as eligible costs or as a requested contribution:

- (a) for actual costs: the costs it actually incurred for the *action*;
- (b) for unit costs or unit contributions: the amount obtained by multiplying the amount per unit specified in Article 3.2(a)(ii) or (b) of the Specific agreement by the actual number of units used or produced;
- (c) for lump sum costs or lump sum contributions: the global amount specified in Article 3.2(a)(iii) or (c) of the Specific agreement, if the corresponding tasks or part of the *action* as described in Annex I of the Specific agreement have been implemented properly;
- (d) for flat-rate costs or flat-rate contributions: the amount obtained by applying the flat rate specified in Article 3.2(a)(iv) or (d) of the Specific agreement;
- (e) for financing not linked to costs: the global amount specified in Article I.3.2(e), if the corresponding results or conditions as described in Annex I of the Specific agreement have been properly achieved or fulfilled;
- (f) for unit costs declared on the basis of the partner's usual cost accounting practices: the amount obtained by multiplying the amount per unit calculated in accordance with the partner's usual cost accounting practices by the actual number of units used or produced;
- (g) for lump sum costs declared on the basis of the partner's usual cost accounting practices: the global amount calculated in accordance with its usual cost



accounting practices, if the corresponding tasks or part of the *action* have been implemented properly;

(h) for flat-rate costs declared on the basis of the partner's usual cost accounting practices: the amount obtained by applying the flat rate calculated in accordance with the partner's usual cost accounting practices.

For the forms of grant referred to in points (b), (c), (d), (f), (g) and (h), the amounts declared must comply with the conditions specified in points (a) and (b) of Article II.19.1.

## **II.20.2 Records and other documentation to support the costs and contributions declared**

The partner must provide the following if requested to do so in the context of the checks or audits described in Article II.27:

(a) for actual costs: adequate supporting documents to prove the costs declared, such as contracts, invoices and accounting records.

In addition, the partner's usual accounting and internal control procedures must permit direct reconciliation of the amounts declared with the amounts recorded in its accounting statements and with the amounts indicated in the supporting documents;

(b) for unit costs or unit contributions: adequate supporting documents to prove the number of units declared.

The partner does not need to identify the actual eligible costs covered or to provide supporting documents, such as accounting statements, to prove the amount declared per unit;

(c) for lump sum costs or lump sum contributions: adequate supporting documents to prove that the *action* has been properly implemented.

The partner does not need to identify the actual eligible costs covered or to provide supporting documents, such as accounting statements, to prove the amount declared as a lump sum;

(d) for flat-rate costs or flat-rate contributions: adequate supporting documents to prove the eligible costs or requested contribution to which the flat rate applies.

The partner does not need to identify the actual eligible costs covered or to provide supporting documents, such as accounting statements, for the flat rate applied;

(e) for financing not linked to costs: adequate supporting documents to prove that the *action* has been properly implemented;

The partner does not need to identify the actual eligible costs covered or to provide supporting documents, such as accounting statements, to prove the amount declared as a financing not linked to costs;



- (f) for unit costs declared on the basis of the partner's usual cost accounting practices: adequate supporting documents to prove the number of units declared;
- (g) for lump sum costs declared on the basis of the partner's usual cost accounting practices: adequate supporting documents to prove that the *action* has been properly implemented;
- (h) for flat-rate costs declared on the basis of the partner's usual cost accounting practices: adequate supporting documents to prove the eligible costs to which the flat rate applies.

### **II.20.3 Conditions to determine the compliance of cost accounting practices**

**II.20.3.1** In the case of points (f), (g) and (h) of Article II.20.2, the partner does not need to identify the actual eligible costs covered, but it must ensure that the cost accounting practices used for the purpose of declaring eligible costs are in compliance with the following conditions:

- (a) the cost accounting practices used constitute its usual cost accounting practices and are applied in a consistent manner, based on objective criteria independent from the source of funding;
- (b) the costs declared can be directly reconciled with the amounts recorded in its general accounts; and
- (c) the categories of costs used for the purpose of determining the costs declared are exclusive of any ineligible cost or costs covered by other forms of grant as provided for in Article 3.2 of the Specific agreement.

**II.20.3.2** If the Specific agreement so provides, the partner may submit to the Authority a request asking it to assess the compliance of its usual cost accounting practices. If required by the Specific agreement, the request must be accompanied by a certificate on the compliance of the cost accounting practices ('certificate on the compliance of the cost accounting practices').

The certificate on the compliance of the cost accounting practices must be:

- (a) produced by an approved auditor or, if the partner is a public body, by a competent and independent public officer; and
- (b) drawn up in accordance with Annex VII.

The certificate must certify that the partner's cost accounting practices used for the purpose of declaring eligible costs comply with the conditions laid down in Article II.20.3.1 and with the additional conditions that may be laid down in the Special conditions or in the Specific agreement.

**II.20.3.3** If the Authority has confirmed that the partner's usual cost accounting practices are in compliance, costs declared in application of these practices may not be challenged *ex post*, if:



- (a) the practices actually used comply with those approved by the Authority; and
- (b) the partner did not conceal any information for the purpose of the approval of its cost accounting practices.

## **ARTICLE II.21 – ELIGIBILITY OF COSTS OF ENTITIES AFFILIATED TO THE PARTNER**

If the Special Conditions or the Specific agreement contain a provision on entities affiliated to the partner, costs incurred by such an entity are eligible, if:

- (a) they satisfy the same conditions under Articles II.19 and II.20 as apply to the partner, and
- (b) the partner ensures that the conditions applicable to it under Articles II.4, II.5, II.6, II.8, II.10, II.11 and II.27 are also applicable to the entity.

## **ARTICLE II.22 – BUDGET TRANSFERS**

The partner is allowed to adjust the estimated budget set out in Annex II of the Specific agreement, by transfers between the different budget categories if the *action* is implemented as described in Annex I of the Specific agreement. This adjustment does not require an amendment of the Specific agreement as provided for in Article II.13.

However, the partner may not add costs relating to *subcontracts* not provided for in Annex I of the Specific agreement, unless such additional *subcontracts* are approved by the Authority in accordance with Article II.11.1(d).

The first two subparagraphs do not apply to amounts which, as provided for in Article 3.2(a)(iii) or 3.2(c) of the Specific agreement, take the form of lump sums or which, as provided for in Article 3.2(e) of the Specific agreement, take the form of financing not linked to cost.

## **ARTICLE II.23 – NON-COMPLIANCE WITH THE REPORTING OBLIGATIONS**

The Authority may terminate the Framework agreement or a Specific agreement as provided for in Article II.17.2.2(b) and may reduce the specific grant as provided for in Article II.25.4 if the partner:

- (a) did not submit a request for interim payment or payment of the balance accompanied by the documents referred to in Articles 4.3 or 4.4 of the Specific agreement within 60 calendar days following the end of the corresponding reporting period; and
- (b) still fails to submit such a request within further 60 calendar days following a written reminder sent by the Authority.



## ARTICLE II.24 – SUSPENSION OF PAYMENTS AND TIME LIMIT FOR PAYMENT

### II.24.1 Suspension of payments

#### II.24.1.1 Grounds for suspension

The Authority may, at any time during the implementation of the Specific agreement, suspend, in whole or in part, the pre-financing payments, interim payments or payment of the balance:

- (a) if the Authority has evidence that the partner has committed *irregularities, fraud or breach of obligations* in the award procedure or while implementing the Framework agreement or a Specific agreement;
- (b) if the Authority has evidence that the partner has committed systemic or recurrent *irregularities, fraud or serious breach of obligations* in other grants funded by the Union or the European Atomic Energy Community ('Euratom') awarded to the partner under similar conditions and such *irregularities, fraud or breach of obligations* have a material impact on a specific grant awarded under the Framework agreement; or
- (c) if the Authority suspects *irregularities, fraud or breach of obligations* committed by the partner in the award procedure or while implementing the Framework agreement or the Specific agreement and needs to verify whether they have actually occurred.

#### II.24.1.2 Procedure for suspension

**Step 1** – Before suspending payments, the Authority must send a *formal notification* to the partner:

- (a) informing it of:
  - (i) its intention to suspend payments;
  - (ii) the reasons for suspension;
  - (iii) in the cases referred to in points (a) and (b) of Article II.24.1.1, the conditions that need to be met for payments to resume; and
- (b) inviting it to submit observations within 30 calendar days of receiving the *formal notification*.

**Step 2** – If the Authority does not receive observations or decides to pursue the procedure despite the observations it has received, it must send a *formal notification* to the partner informing it of:

- (a) the suspension of payments;
- (b) the reasons for suspension;
- (c) the final conditions under which payments may resume in the cases referred to in points (a) and (b) of Article II.24.1.1;
- (d) the indicative date of completion of the necessary verification in the case referred to in point (c) of Article II.24.1.1.



The suspension takes effect on the day the Authority sends *formal notification* of suspension (Step 2).

Otherwise, the Authority must send a *formal notification* to the partner informing it that it is not continuing with the suspension procedure.

#### **II.24.1.3 Effects of suspension**

During the period of suspension of payments the partner is not entitled to submit any requests for payments and supporting documents referred to in Articles 4.2, 4.3 and 4.4 of the Specific agreement.

The corresponding requests for payments and supporting documents may be submitted as soon as possible after resumption of payments or may be included in the first request for payment due following resumption of payments in accordance with the schedule laid down in Article 4.1 of the Specific agreement.

The suspension of payments does not affect the right of the partner to suspend the implementation of the *action* as provided for in Article II.16.1 or to terminate the Framework agreement or the Specific agreement as provided for in Article II.17.1.2.<sup>1</sup>

#### **II.24.1.4 Resuming payments**

In order for the Authority to resume payments, the partner must meet the notified conditions as soon as possible and must inform the Authority of any progress made. If the conditions for resuming payments are met, the suspension will be lifted. The Authority will send a *formal notification* to the partner informing it of this.

### **II.24.2 Suspension of the time limit for payments**

**II.24.2.1** The Authority may at any moment suspend the time limit for payment specified in Articles 5.2, 5.3 and 5.4 of the Specific agreement if a request for payment cannot be approved because:

- (a) it does not comply with the Specific agreement or the Framework agreement;
- (b) the appropriate supporting documents have not been produced; or
- (c) there is a doubt about the eligibility of the costs declared in the financial statements and additional checks, reviews, audits or investigations are necessary.

**II.24.2.2** The Authority must send a *formal notification* to the partner informing it of:

- (a) the suspension; and
- (b) the reasons for the suspension.

The suspension takes effect on the day the Authority sends the *formal notification*.

**II.24.2.3** If the conditions for suspending the payment deadline are no longer met, the suspension will be lifted and the remaining period will resume.



If the suspension exceeds two months, the partner may request the Authority if the suspension will continue.

If the payment deadline has been suspended because the technical reports or financial statements do not comply with the Specific agreement or the Framework agreement and the revised report or statement is not submitted or was submitted but is also rejected, the Authority may terminate the Specific agreement and the Framework agreement as provided for in Article II.17.2.2(b) and reduce the grant as provided for in Article II.25.4.

## **ARTICLE II.25 – CALCULATION OF THE FINAL AMOUNT OF A SPECIFIC GRANT**

The final amount of the specific grant depends on the extent to which the *action* has been implemented in accordance with the terms of the Specific agreement and the Framework agreement.

The final amount of the grant is calculated by the Authority at the time of the payment of the balance.

The calculation involves the following steps:

- Step 1 — Application of the reimbursement rate to the eligible costs and addition of the financing not linked to costs, unit, flat-rate and lump sum contributions
- Step 2 — Limit to the *maximum amount of the grant*
- Step 3 — Reduction due to the no-profit rule
- Step 4 — Reduction due to improper implementation, irregularity, fraud or breach of obligations.

### **II.25.1 Step 1 — Application of the reimbursement rate to the eligible costs and addition of the financing not linked to costs unit, flat-rate and lump sum contributions**

This step is applied as follows:

- (a) If, as provided for in Article I.3.2(a)(i), the grant takes the form of the reimbursement of eligible costs actually incurred, the reimbursement rate specified in that Article is applied to those eligible costs as approved by the Authority for the corresponding categories of costs, for the partner and its affiliated entities
- (b) If, as provided for in Article 3.2(a) of the Specific agreement, the grant takes the form of the reimbursement of eligible unit costs, lump sum costs or flat rate costs, the reimbursement rate specified in that Article is applied to those eligible costs as approved by the Authority for the corresponding categories of costs, for the partner and its affiliated entities;

The accepted amount of volunteers' work for the partner and its affiliated entities must be limited to the following amount, whichever is the lowest:

- (i) the total sources of financing as indicated in the estimated budget set out in Annex II of the Specific agreement and as accepted by the Authority multiplied by fifty per cent; or



- (ii) the amount of volunteers' work as indicated in the final financial statements.
- (c) If, as provided for in Article 3.2(b) of the Specific agreement, the grant takes the form of a unit contribution, the unit contribution specified in that Article is multiplied by the actual number of units approved by the Authority for the partner and its affiliated entities;
- (d) If, as provided for in Article 3.2(c) of the Specific agreement, the grant takes the form of a lump sum contribution, the Authority applies the lump sum specified in that Article for the partner and its affiliated entities if it finds that the corresponding tasks or part of the *action* were implemented properly in accordance with Annex I of the Specific agreement;
- (e) If, as provided for in Article 3.2(d) of the Specific agreement, the grant takes the form of a flat-rate contribution, the flat rate referred to in that Article is applied to the eligible costs or to the contribution approved by the Authority for the partner and its affiliated entities.
- (f) If, as provided for in Article I.3.2(e), the grant takes the form of financing not linked to costs, the Authority applies the amount specified in that Article for the partner and its affiliated entities if it finds that [the conditions specified in Annex I of the Specific agreement were fulfilled][and][the results specified in Annex I of the Specific agreement were achieved].

If Article 3.2 of the Specific agreement provides for a combination of different forms of grant, the amounts obtained must be added together.

## **II.25.2 Step 2 – Limit to maximum amount of the grant**

The total amount paid to the partner by the Authority may in no circumstances exceed the *maximum amount of the grant*.

If the amount obtained following Step 1 is higher than this *maximum amount*, the final amount of the grant is limited to the latter.

If volunteers' work is declared as part of direct eligible costs, the final amount of the grant is limited to the amount of total eligible costs and contributions approved by the Authority minus the amount of volunteers' work approved by the Authority.

## **II.25.3 Step 3 – Reduction due to the no-profit rule**

The grant may not produce a profit for the partner, unless specified otherwise in the Special Conditions or in the Specific agreement.

The profit must be calculated as follows:

- (a) calculate the surplus of the total receipts of the *action*, over the total eligible costs of the *action*, as follows:

{ receipts of the *action*  
minus



the consolidated total eligible costs and contributions approved by the Authority corresponding to the amounts determined in accordance with Step 1 }

The receipts of the *action* are calculated as follows:

- { the revenue generated by the *action* for the partner and its affiliated entities other than non-profit organisations
- plus
- the amount obtained following Steps 1 and 2 }

The total revenue generated by the *action* is the consolidated revenue established, generated or confirmed for the partner and its affiliated entities other than non profit organisations on the date on which the request for payment of the balance is drawn up by the partner.

The following are not considered receipts:

- (i) in kind and financial contributions made by third parties;
- (ii) in case of an operating grant, amounts dedicated to the building up of reserves.
- (b) If the amount calculated under (a) is positive, this amount will be deducted from the amount calculated following Steps 1 and 2 in proportion to the final rate of reimbursement of the actual eligible costs of the *action* approved by the Authority for the categories of costs referred to in Article 3.2(a)(i) of the Specific agreement.

#### **II.25.4 Step 4 – Reduction due to improper implementation, irregularity, fraud or breach of obligations**

The Authority may reduce the *maximum amount of the grant* if the *action* has not been implemented properly as described in Annex I of the Specific agreement (i.e. if it has not been implemented or has been implemented poorly, partially or late), or in case of *irregularity, fraud* or breach of an obligation under the Framework agreement or the Specific agreement.

The amount of the reduction will be proportionate to the degree to which the *action* has been implemented improperly or to the seriousness of the *irregularity, fraud or breach of obligation*.

Before the Authority reduces the grant, it must send a *formal notification* to the partner:

- (a) informing it of:
  - (i) its intention to reduce the *maximum amount of the grant*;
  - (ii) the amount by which it intends to reduce the grant;
  - (iii) the reasons for reduction; and
- (b) inviting it to submit observations within 30 calendar days of receiving the *formal notification*.



If the Authority does not receive any observations or decides to pursue reduction despite the observations it has received, it will send a *formal notification* informing the partner of its decision.

If the grant is reduced, the Authority must calculate the reduced grant amount by deducting the amount of the reduction (calculated in proportion to the improper implementation of the *action* or to the seriousness of the *irregularity, fraud or breach of obligations*) from the *maximum amount of the grant*.

The final amount of the grant will be the lower of the following two:

- (a) the amount obtained following Steps 1 to 3; or
- (b) the reduced grant amount following Step 4.

## **ARTICLE II.26 – RECOVERY**

### **II.26.1 Recovery**

Where an amount is to be recovered under the terms of the Framework agreement and any Specific agreement, the partner must repay the Authority the amount in question.

The partner is responsible for the repayment of any amount unduly paid by the Authority as a contribution towards the costs incurred by its affiliated entities.

### **II.26.2 Recovery procedure**

Before recovery, the Authority must send a *formal notification* to the partner

- (a) informing it of its intention to recover the amount unduly paid;
- (b) specifying the amount due and the reasons for recovery; and
- (c) inviting the partner to make any observations within a specified period.

If no observations have been submitted or if, despite the observations submitted by the partner, the Authority decides to pursue the recovery procedure, the Authority may confirm recovery by sending a *formal notification* to the partner consisting of a debit note, specifying the terms and the date for payment.

If payment has not been made by the date specified in the debit note, the Authority will recover the amount due:

- (a) by offsetting it, without the partner's prior consent, against any amounts owed to the partner by the Authority or an executive agency (from the Union or the European Atomic Energy Community (Euratom) budget ("offsetting");

In exceptional circumstances, to safeguard the financial interests of the Union, the Authority may offset before the due date.

An *action* may be brought against such offsetting before the General Court of the European Union in accordance with Article 263 TFEU;



- (b) by drawing on the financial guarantee where provided for in accordance with Article 5.2 of the Specific agreement ("drawing on the financial guarantee");
- (c) by taking legal *action* as provided for in Article II.18.2 or in the Special Conditions or by adopting an enforceable decision as provided for in Article II.18.3.

### **II.26.3 Interest on late payment**

If payment is not made by the date in the debit note, the amount to be recovered will be increased by late payment interest at the rate set out in Article 5.6 of the Specific agreement from the day following the date for payment in the debit note, up to and including the date the Authority receives full payment of the amount.

Partial payment must first be credited against charges and late payment interest and then against the principal.

### **II.26.4 Bank charges**

Bank charges incurred in the recovery process must be borne by the partner, unless Directive 2007/64/EC<sup>10</sup> applies.

## **ARTICLE II.27 – CHECKS, AUDITS AND EVALUATION**

### **II.27.1 Technical and financial checks, audits, interim and final evaluations**

The Authority may, during the implementation of an *action* or afterwards, carry out technical and financial checks and audits to determine that the partner is implementing the *action* properly and is complying with the obligations under the Specific agreement or the Framework agreement. It may also check the partner's statutory records for the purpose of periodic assessments of lump sum, unit cost or flat-rate amounts.

Information and documents provided as part of checks or audits must be treated on a confidential basis.

In addition, the Authority may carry out an interim or final evaluation of the impact of the *action* measured against the objective of the Union programme concerned.

Authority checks, audits or evaluations may be carried out either directly by the Authority's own staff or by any other outside body authorised to do so on its behalf.

The Authority may initiate such checks, audits or evaluations during the implementation of the Specific agreement and during a period of five years starting from the date of payment of the balance for the *action* concerned. This period is limited to three years if the *maximum amount of the grant* is not more than EUR 60 000.

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<sup>10</sup> Directive 2007/64/EC of the European Parliament and of the Council of 13 November 2007 on payment services in the internal market amending Directives 97/7/EC, 2002/65/EC, 2005/60/EC and 2006/48/EC and repealing Directive 97/5/EC.



The check, audit or evaluation procedures are considered to be initiated on the date of receipt of the letter of the Authority announcing it.

If the audit is carried out on an affiliated entity, the partner must inform that affiliated entity.

### **II.27.2 Duty to keep documents**

The partner must keep all original documents, especially accounting and tax records, stored on any appropriate medium, including digitalised originals when they are authorised by its national law and under the conditions laid down therein, during a period of five years starting from the date of payment of the balance for the *action* concerned.

This period during which documents must be kept is limited to three years if the *maximum amount of the grant* is not more than EUR 60 000.

The periods set out in the first and second subparagraphs are longer if there are ongoing audits, appeals, litigation or pursuit of claims concerning the grant, including in the cases referred to in Article II.27.7. In such cases, the partner must keep the documents until such audits, appeals, litigation or pursuit of claims have been closed.

### **II.27.3 Obligation to provide information**

The partner must provide any information, including information in electronic format, requested by the Authority, or by any other outside body authorised by the Authority.

If the partner does not comply with the obligation set out in the first subparagraph, the Authority may consider:

- (a) any cost insufficiently substantiated by information provided by the partner as ineligible;
- (b) any unit, lump sum or flat-rate contribution insufficiently substantiated by information provided by the partner as undue.

### **II.27.4 On-the-spot visits**

During an on-the-spot visit, the partner must allow Authority staff and outside personnel authorised by the Authority to have access to the sites and premises where the *action* concerned is or was carried out, and to all the necessary information, including information in electronic format.

The partner must ensure that the information is readily available at the moment of the on-the-spot visit and that information requested is handed over in an appropriate form.

If the partner refuses to provide access to the sites, premises and information as required in the first and second subparagraphs, the Authority may consider:

- (a) any cost insufficiently substantiated by information provided by the partner as ineligible;



- (b) any financing not linked to costs, unit, lump sum or flat-rate contribution insufficiently substantiated by information provided by the partner as undue.

## **II.27.5 Contradictory audit procedure**

On the basis of the findings made during the audit, a provisional report ("draft audit report") must be drawn up. It must be sent by the Authority or its authorised representative to the partner, which must have 30 calendar days from the date of receipt to submit observations. The final report ("final audit report") must be sent to the partner within 60 calendar days of expiry of the time limit for submission of observations.

## **II.27.6 Effects of audit findings**

On the basis of the final audit findings, the Authority may take the measures it considers necessary, including recovery of all or part of the payments made by it under the Specific agreement concerned, as provided for in Article II.26.

In the case of final audit findings after the payment of the balance, the amount to be recovered corresponds to the difference between the revised final amount of the specific grant, determined in accordance with Article II.25, and the total amount paid to the partner under the Specific agreement for the implementation of the *action*.

## **II.27.7 Correction of systemic or recurrent irregularities, fraud or breach of obligations**

**II.27.7.1** The Authority may extend audit findings from other grants to a specific grant awarded under the Framework agreement if:

- (a) the partner is found to have committed systemic or recurrent *irregularities, fraud or breach of obligations* in other EU or Euratom grants awarded under similar conditions and such *irregularities, fraud or breach of obligations* have a material impact on a specific grant awarded under the Framework agreement; and
- (b) the final audit findings are sent to the partner through a *formal notification*, together with the list of grants affected by the findings within the period referred to in Article II.27.1.

The extension of findings may lead to:

- (i) the rejection of costs as ineligible;
- (ii) reduction of the grant as provided for in Article II.25.4;
- (iii) recovery of undue amounts as provided for in Article II.26;
- (iv) suspension of payments as provided for in Article II.24.1;
- (v) suspension of the *action* implementation as provided for in Article II.16.2;
- (vi) termination as provided for in Article II.17.2.



**II.27.7.2** The Authority must send a *formal notification* to the partner informing it of the systemic or recurrent *irregularities, fraud or breach of obligations* and of its intention to extend the audit findings, together with the list of grants affected.

(a) If the findings concern eligibility of costs the procedure is as follows:

**Step 1** — The *formal notification* must include:

- (i) an invitation to submit observations on the list of grants affected by the findings;
- (ii) a request to submit revised financial statements for all grants affected;
- (iii) where possible, the correction rate for extrapolation established by the Authority to calculate the amounts to be rejected on the basis of the systemic or recurrent *irregularities, fraud or breach of obligations*, if the partner:
  - considers that the submission of revised financial statements is not possible or practicable; or
  - will not submit revised financial statements.

**Step 2** — The partner has 60 calendar days from when it receives the *formal notification* to submit observations and revised financial statements or to propose a duly substantiated alternative correction method. This period may be extended by the Authority in justified cases.

**Step 3** — If the partner submits revised financial statements that take account of the findings the Authority will determine the amount to be corrected on the basis of those revised statements.

If the partner proposes an alternative correction method and the Authority accepts it, the Authority must send a *formal notification* to the partner informing it:

- (i) that it accepts the alternative method;
- (ii) of the revised eligible costs determined by applying this method.

Otherwise the Authority must send a *formal notification* to the partner informing it:

- (i) that it does not accept the observations or the alternative method proposed;
- (ii) of the revised eligible costs determined by applying the extrapolation method initially notified to the partner.

If the systemic or recurrent *irregularities, fraud or breach of obligations* are found after the payment of the balance, the amount to be recovered corresponds to the difference between:



- (i) the revised final amount of the grant, determined in accordance with Article II.25 on the basis of the revised eligible costs declared by the partner and approved by the Authority or on the basis of the revised eligible costs after extrapolation; and
- (ii) the total amount paid to the partner under the Specific agreement for the implementation of the *action*;

(b) If the findings concern improper implementation or a breach of another obligation the procedure is as follows:

**Step 1** — The *formal notification* must include:

- (i) an invitation to the partner to submit observations on the list of grants affected by the findings and
- (ii) the correction flat rate the Authority intends to apply to the *maximum amount of the grant* or to part of it, according to the principle of proportionality.

**Step 2** — The partner has 60 calendar days from receiving the *formal notification* to submit observations or to propose a duly substantiated alternative flat-rate.

**Step 3** — If the Authority accepts the alternative flat rate proposed by the partner, it must send a *formal notification* to the partner informing it:

- (i) that it accepts the alternative flat-rate;
- (ii) of the corrected grant amount by applying this flat rate.

Otherwise the Authority must send a *formal notification* to the partner informing it:

- (i) that it does not accept the observations or the alternative flat rate proposed;
- (ii) of the corrected grant amount by applying the flat rate initially notified to the partner.

If the systemic or recurrent *irregularities, fraud or breach of obligations* are found after the payment of the balance, the amount to be recovered corresponds to the difference between:

- (i) the revised final amount of the grant after flat-rate correction; and
- (ii) the total amount paid to the partner under the Specific agreement for the implementation of the *action*.

## II.27.8 Rights of OLAF

The European Anti-Fraud Office (OLAF) has the same rights as the Authority, particularly the right of access, for the purpose of checks and investigations.



Under Council Regulation (Euratom, EC) No 2185/96<sup>11</sup> and Regulation (EU, Euratom) No 883/2013<sup>12</sup> OLAF may also carry out on-the-spot checks and inspections in accordance with the procedures laid down by Union law for the protection of the financial interests of the Union against *fraud* and other *irregularities*.

Where appropriate, OLAF findings may lead to the Authority recovering amounts from the partner.

Moreover, findings arising from an OLAF investigation may lead to criminal prosecutions under national law.

## **II.27.9 Rights of the European Court of Auditors and EPPO**

The European Court of Auditors and the European Public Prosecutor's Office established by Council Regulation (EU) 2017/1939 ('the EPPO') and, for the processing of personal data, the European Data Protection Supervisor, have the same rights as the Authority, particularly the right of access, for the purpose of checks, audits and investigations.

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<sup>11</sup> Council Regulation (Euratom, EC) No 2185/96 of 11 November 1996 concerning on-the-spot checks and inspections carried out by the Commission in order to protect the European Communities' financial interests against *fraud* and other *irregularities*.

<sup>12</sup> Regulation (EU, Euratom) No 883/2013 of the European Parliament and of the Council of 11 September 2013 concerning investigations conducted by the European Anti-Fraud Office (OLAF).



### Annex III – Model specific grant agreement

#### **SPECIFIC AGREEMENT No GP/EFSA/BIOHAW/2023/06 (EUBA-EFSA-2023-BIOHAW-06)**

**SPECIFIC AGREEMENT No ..../..**

**UNDER FRAMEWORK PARTNERSHIP AGREEMENT No [...]**

This Specific agreement ("the Specific agreement") is concluded between the following parties:

on the one part,

**THE EUROPEAN FOOD SAFETY AUTHORITY**, hereinafter referred to as "the Authority", established by [Regulation \(EC\) No 178/2002](#)<sup>13</sup> of the European Parliament and of the Council laying down the general principles and requirements of food law, establishing the European Food Safety Authority and laying down procedures in matters of food safety, as last amended, with offices on Via Carlo Magno 1/A, I-43126 Parma (Italy), represented for the purposes of signature of this Agreement by Mr Bernhard Url, Executive Director,

**and**

on the other part,

"the partner"

**[full official name] [ACRONYM]**

[official legal status or form]<sup>14</sup>

[official registration No]<sup>15</sup>

[official address in full]

[VAT number],

represented for the purposes of signature of the Specific agreement by [function, forename and surname],

The parties referred to above

<sup>13</sup> OJ L 31 of 01.02.2002

<sup>14</sup> To be deleted or filled in according to the "Legal Entity" form

<sup>15</sup> To be deleted or filled in according to the "Legal Entity" form



HAVE AGREED

To the Specific agreement and the following annexes:

Annex I              Description of the action

Annex II              Estimated budget (not applicable for FNLC)



## ARTICLE 1 – SUBJECT MATTER OF THE SPECIFIC AGREEMENT

The Specific agreement is concluded in the context of the partnership established between the parties. It is drawn up in accordance with the relevant terms of Framework partnership agreement No [...] signed between the Authority and the partner on [insert the date on which the last party has signed the Framework agreement] ("the Framework agreement").

The Authority has decided to award a grant ("specific grant for an action"), under the terms and conditions set out in the Specific agreement and the Framework agreement, for the action entitled [insert title of the action in bold] ("the action") as described in Annex I.

By signing the Specific agreement, the partner accepts the grant and agrees to implement the action in accordance with the terms and conditions of the Specific agreement and the Framework agreement, acting on its own responsibility.

## ARTICLE 2 – ENTRY INTO FORCE AND IMPLEMENTATION PERIOD OF THE SPECIFIC AGREEMENT

2.1 The Specific agreement enters into force on the date on which the last party signs.

2.2 The action runs for [insert number in bold] [months] starting on [the first day [of the month] following the date when the last party signs the Specific agreement][insert date]<sup>16</sup>.

## ARTICLE 3 – MAXIMUM AMOUNT AND FORM OF GRANT

3.1 The maximum amount of the grant is EUR [insert amount].

3.2 The grant takes the form of<sup>17</sup>:

[The reimbursement of maximum [...]% of the eligible costs of the action ("reimbursement of eligible costs"), which are estimated at EUR [...]. In addition, the maximum possible amount of EFSA grant for the project is indicated in article 3.1. In other words, the grant has double ceiling: the maximum amount and the reimbursement rate applied on the total eligible project costs.

<sup>16</sup> For a specific grant for an action the date must be later than the date of entry into force of the Specific agreement unless authorised otherwise by the responsible authorising officer, in case the applicant demonstrates the need to start the action before the grant agreement enters into force. In any case the indicated date should not be earlier than the date of the submission of the grant application (Article 130 FR). For a specific operating grant such a date may be earlier than the date of entry into force of the Specific agreement but can neither be earlier than the date of submission of the grant application nor be earlier than the start of the partner's financial year.

<sup>17</sup> Please complete the form(s) which apply/ies to your grant in point (a), indents (i) to (v), point (b), point (c) and point (d). In case one of the forms is not used please leave a reference to the option in question so that it can be cross-referenced if necessary and simply indicate that they are not applicable (ex.: (a)(v) reimbursement of costs declared on the basis of the partner's usual cost accounting practices: not applicable). Please put the form(s) which apply/ies in bold.

The suboptions 3.2(a)(ii), (iii), (iv) or (v) or 3.2(b), (c), (d) or (e) are to be added only if the use of unit costs, lump sums or flat-rates was authorised by a decision of the Authority or the Authorizing officer. Suboptions 3.2(a)(iv) and 3.2(d) may be used without such a preliminary authorisation if they cover a flat rate for indirect costs of up to 7 % of the direct eligible costs.



The cost categories are:

(a)

- (i) [actually incurred ("reimbursement of actual costs") for the following categories of costs for the partner: staff, travels, equipment, consumables, subcontracting, workshops, miscellaneous costs, in line with Annex I of the Framework agreement (Rules on eligibility of the costs);]
- (ii) declared on the basis of an amount per unit ("reimbursement of unit costs") for the following categories of costs for the partner: daily subsistence allowances, in line with Annex I of the Framework agreement (Rules on eligibility of the costs);
- (iii) reimbursement of lump sum costs: **not applicable**;
- (iv) declared on the basis of a flat-rate of 10 % of the eligible direct costs ("reimbursement of flat-rate costs") for the following categories of costs for the partner: indirect eligible costs, in line with Annex I of the Framework agreement (Rules on eligibility of the costs);
- (v) reimbursement of costs declared on the basis of the partner's usual cost accounting practices: **not applicable**.

[Reimbursement of eligible costs: **not applicable**]

(b) unit contribution: **not applicable**;

(c) lump sum contribution: **not applicable**;

(d) flat-rate contribution: **not applicable**;

(e) [Financing not linked to costs of EUR [...] subject to the [fulfilment of the conditions] [achievement of the results] specified in Annex I]

[Financing not linked to costs: not applicable].

## **ARTICLE 4 – REPORTING, REQUEST FOR PAYMENTS AND SUPPORTING DOCUMENTS**

### **4.1 Reporting periods**

There is a sole reporting period covering the whole duration of this Specific agreement set out in Article 2.2.

### **4.2 Pre-financing**

Upon entry into force of the Agreement, a pre-financing payment **up to 50%** of the maximum amount specified in Article 3.1 shall be paid to the coordinator within 30 calendar days.

The aim of the pre-financing is to provide the beneficiaries with a float. The pre-financing remains the property of the Authority until it is cleared against interim payments or, if it is not cleared against interim payments, until the payment of the balance.



#### **4.3 Request for interim payment[s] and supporting documents**

The interim report and any other deliverables in accordance with Annex I, must be submitted at the end of the interim period.

The partner must submit a request for an interim payment within 40 calendar days following the end of the first reporting period.

If the partner still fails to submit such a request within further 20 calendar days (Art. II.23) following a written reminder sent by the Authority, the Authority may terminate the Agreement as provided for in Article II.17.3.1(c) and may reduce the grant as provided for in Article II.25.4.

The interim payment **will be 20 %** of the maximum amount specified in Article 3.1.

This request must be accompanied by the following documents:

- (a) an interim financial statement ('interim financial statement'). The interim financial statement must include a consolidated statement and a breakdown of the amounts claimed by the partner and its affiliated entities.

The interim financial statement must be drawn up in accordance with the structure of the estimated budget set out in Annex II of the Specific agreement and in accordance with Annex V of the Framework agreement. It must also detail the amounts for each of the forms of grant set out in Article 3.2 for the reporting period concerned;

- (b) a certificate on the financial statements and underlying accounts ('certificate on the financial statements')

for the partner and for each affiliated entity, if:

- (i) the cumulative amount of payments the partner requests as reimbursement of actual costs as referred to in Article 3.2 (a)(i) (and for which no certificate has yet been submitted) is EUR 325 000 or more; and
- (ii) the maximum grant amount indicated for the partner and its affiliated entities in the estimated budget as reimbursement of actual costs is EUR 750 000 or more.

#### **4.4 Request for payment of the balance and supporting documents**

The request for payment submitted must be accompanied by the final technical report m/deliverables in accordance with Annex I.

The partner must submit a request for payment of the balance within 40 calendar days following the end of the last reporting period.

If the partner still fails to submit such a request within further 20 calendar days (Art. II.23) following a written reminder sent by the Authority, the Authority may terminate the Agreement as provided for in Article II.17.3.1(c) and may reduce the grant as provided for in Article II.25.4. This request must be accompanied by the following documents:



- (a) a final financial statement ('final financial statement'). The final financial statement must include a consolidated statement and a breakdown of the amounts claimed by the partner and its affiliated entities.

The final financial statement must be drawn up in accordance with the structure of the estimated budget set out in Annex II of the Specific agreement and in accordance with Annex V of the Framework agreement and detail the amounts for each of the forms of grant set out in Article 3.2 for the last reporting period;

- (b) a summary financial statement ('summary financial statement').

This statement must include a consolidated financial statement and a breakdown of the amounts declared or requested by the partner and its affiliated entities, aggregating the financial statements already submitted previously and indicating the receipts referred to in Article II.25.3 of the Framework agreement for the partner and its affiliated entities.

The summary financial statement must be drawn up in accordance with Annex V of the Framework agreement;

- (c) a certificate on the financial statements and underlying accounts ('certificate on the financial statements')

for the partner and for each affiliated entity, if:

- (i) the cumulative amount of payments the partner requests as reimbursement of actual costs as referred to in Article 3.2(a)(i) (and for which no certificate has yet been submitted) is EUR 325 000 or more; and
- (ii) the maximum grant amount indicated for the partner and its affiliated entities in the estimated budget as reimbursement of actual costs is EUR 750 000 or more.

#### **4.5 Information on cumulative expenditure incurred**

[Not applicable]

#### **4.6 Currency for requests for payment and financial statements and conversion into euro**

Requests for payment and financial statements must be drafted in euros. The partner and affiliated entities with general accounts in a currency other than the euro must convert costs incurred in another currency into euros at the average of the daily exchange rates published in the C series of the *Official Journal of the European Union* (available at

<http://www.ecb.europa.eu/stats/exchange/eurofxref/html/index.en.html>), determined over the corresponding reporting period.

If no daily euro exchange rate is published in the *Official Journal of the European Union* for the currency in question, conversion must be made at the average of the monthly accounting rates established by the Authority and published on its website ([http://ec.europa.eu/budget/contracts\\_grants/info\\_contracts/inforeuro/inforeuro\\_en.cfm](http://ec.europa.eu/budget/contracts_grants/info_contracts/inforeuro/inforeuro_en.cfm)), determined over the corresponding reporting period.



The partner and affiliated entities with general accounts in euros must convert costs incurred in another currency into euros in accordance with their usual accounting practices.

#### **4.7 Language of requests for payments, technical reports and financial statements**

All requests for payments, technical reports and financial statements must be submitted in English.

### **ARTICLE 5 – PAYMENTS AND PAYMENT ARRANGEMENTS**

#### **5.1 Payments to be made**

The Authority must make the following payments to the partner:

- one pre-financing payment referred to in Article 4.2;
- one interim payment, on the basis of the request for interim payment referred to in Article 4.3;
- one payment of the balance, on the basis of the request for payment of the balance referred to in Article 4.4

#### **5.2 Pre-financing payment[s]**

The aim of the pre-financing is to provide the partner with a float. The pre-financing remains the property of the Union until it is cleared against interim payments or, if it is not cleared against interim payments, until the payment of the balance.

**The Authority must make the pre-financing payment of EUR [insert amount] to the partner within 30 calendar days from [the entry into force of the Specific agreement] except if Article II.24.1 of the Framework agreement applies.**

Where payment of pre-financing is conditional on receipt of a financial guarantee, the financial guarantee shall fulfil the following conditions:

- (a) it is provided by a bank or an approved financial institution or, if requested by the partner and accepted by the Authority, by a third party;
- (b) the guarantor stands as first-call guarantor and does not require the Authority to first have recourse against the principal debtor (i.e. the partner concerned); and
- (c) it explicitly remains in force until the pre-financing is cleared against interim payments or payment of the balance by the Authority. If payment of the balance takes the form of a recovery, the financial guarantee must remain in force until three months after the debit note is notified to the partner. The Authority must release the guarantee within the following month.

#### **5.3 Interim payment[s]**

Interim payments reimburse or cover the eligible costs incurred for the implementation of the *action* during the corresponding reporting periods.



The Authority must pay the partner the amount due as interim payment within 90 calendar days from when the Authority receives the documents referred to in Article 4.3, except if Article II.24.1 or II.24.2 of the Framework agreement apply.

Payment is subject to the approval of the request for interim payment and of the supporting documents. Their approval does not imply recognition of the compliance, authenticity, completeness or correctness of their content.

The Authority calculates the amount due as interim payment as follows:

**5.3.1 Step 1 — Applying the reimbursement rate to the eligible costs and adding the unit, flat-rate and lump sum contributions corresponding to activities actually incurred.**

This step is applied as follows:

- (a) If, in accordance with Article 3.2(a), the grant takes the form of the reimbursement of eligible costs, the reimbursement rate specified in that Article is applied to the eligible costs of the action approved by the Authority for the concerned reporting period and for the corresponding categories of costs for the partner and its affiliated entities;
- (b) If, in accordance with Article 3.2(b), the grant takes the form of a unit contribution, the unit contribution specified in that Article is multiplied by the actual number of units approved by the Authority for the concerned reporting period for the partner and its affiliated entities;
- (c) If, in accordance with Article 3.2(c), the grant takes the form of a lump sum contribution, the Authority applies the lump sum specified in that Article for the partner and its affiliated entities if it finds that the corresponding tasks or part of the *action* were implemented properly in accordance with Annex I during the concerned reporting period;
- (d) If, in accordance with Article 3.2(d), the grant takes the form of a flat-rate contribution, the flat rate referred to in that Article is applied to the eligible costs or to the contribution approved by the Authority for the concerned reporting period for the partner and its affiliated entities.
- (e) If, in accordance with Article I.3.2(e), the grant takes the form of financing not linked to costs, the Commission applies the financing not linked to costs specified in that Article for the beneficiary and affiliated entities if it finds that the conditions specified in Annex I are fulfilled and the results specified in Annex I are achieved during the concerned reporting period.

If Article 3.2 provides for a combination of different forms of grant, the amounts obtained must be added.

**5.3.2 Step 2 — Clearing the pre-financing**

The amount of pre-financing to be cleared must be deducted from the amount obtained following Step 1.



### 5.3.3 Step 3 — Limiting the amount of the **maximum amount of the grant**

The total amount of pre-financing and interim payments must not exceed 70% of the maximum amount of the grant.

### 5.4 Payment of the balance

The payment of the balance reimburses or covers the remaining part of the eligible costs incurred by the partner for the implementation of the *action*.

If the total amount of earlier payments is greater than the final amount of the grant determined in accordance with Article II.25 of the Framework agreement, the payment of the balance takes the form of a recovery as provided for by Article II.26 of the Framework agreement.

If the total amount of earlier payments is lower than the final amount of the grant determined in accordance with Article II.25 of the Framework agreement, the Authority must pay the balance within 90 calendar days from when it receives the documents referred to in Article 4.4, except if Article II.24.1 or II.24.2 of the Framework agreement apply.

Payment is subject to the approval of the request for payment of the balance and of the accompanying documents. Their approval does not imply recognition of the compliance, authenticity, completeness or correctness of their content.

The Authority determines the amount due as the balance by deducting the total amount of pre-financing and interim payments (if any) already made from the final amount of the grant determined in accordance with Article II.25 of the Framework agreement. If no interim payment was made, the clearing of the pre-financing will be done with the balance payment.

The amount to be paid may, however, be offset, without the partner's consent, against any other amount owed by the partner to the Authority or to an executive agency (under the EU or Euratom budget), up to the maximum amount of the grant.

*The time limit for the Authority to make the interim payment and payment of the balance is 90 days in each case. This time-limit indicates the overall period for the Authority to approve or reject the interim/final deliverable(s) and to make the payment. The Authority may suspend the period of 90 days in accordance with the procedure in articles II.24. In that case the partner shall have 30 days to submit the additional information, supporting documents.*

*In order to ensure swift final report approving and payment process, and in particular to ensure respect of single time limit of 90 days, both parties to this Agreement agree and commit to respect the following timelines:*

Action number	Who	Area	Action	Action deadline (in calendar days)
1	Partner	Scientific	Submit report and financial statement	Delivery date : End of interim



				period/end of project
2	EFSA	Scientific	Approve report / ask for adjustments, additional information, supporting documents or a new report	max 90 days since delivery date*
		Financial	Verification of financial statement with selection of item of costs to be received and checked. Determine the final amount and process the payment.	max 90 days since delivery date*
3	Partner	Scientific	Provide additional information, supporting documents or a new report if requested by EFSA	max 30 days since receipt of EFSA request**
		Financial	Submit supporting documents to justify incurred costs for verification /provide clarifications on costs declared.	max 30 days since receipt of EFSA request**

\*Use of 90 days - example: EFSA has used 60 days to analyse the statement. On day 60 EFSA sent to the partner a request for additional information, this being correction/new report/clarification/supporting documents etc. After the receipt of additional information from the partner EFSA still has 30 remaining days to approve the statement.

\*\*Use of 30 days - example: partner received from EFSA a request for additional information and has taken 20 days out of 30 to reply to EFSA. Subsequently EFSA asked a second request for additional information. Now the partner has only 10 remaining days to reply.

## 5.5 Notification of amounts due

The Authority will send an e-mail to the partner:

- (a) informing it of the amount due; and
- (b) specifying whether the notification concerns a further pre-financing payment, an interim payment or the payment of the balance.

For the payment of the balance, the Authority must also specify the final amount of the grant determined in accordance with Article II.25 of the Framework agreement.

## 5.6 Interest on late payment

If the Authority does not pay within the time limits for payment, the partner is entitled to late-payment interest at the rate applied by the European Central Bank for its main refinancing operations in euros ('the reference rate'), plus three and a half points. The



reference rate is the rate in force on the first day of the month in which the time limit for payment expires, as published in the C series of the *Official Journal of the European Union*.

Late-payment interest is not due if the partner is a Member State of the Union (including regional and local government authorities and other public bodies acting in the name of and on behalf of the Member State for the purpose of the Framework agreement and the Specific agreement).

If the Authority suspends the time limit for payment as provided for in Article II.24.2 of the Framework agreement or if it suspends payments as provided for in Article II.24.1 of the Framework agreement, these actions may not be considered as cases of late payment.

Late-payment interest covers the period running from the day following the due date for payment, up to and including the date of actual payment as established in Article 5.8. The Authority does not consider payable interest when determining the final amount of grant within the meaning of Article II.25 of the Framework agreement.

As an exception to the first subparagraph, if the calculated interest is lower than or equal to EUR 200, it must be paid to the partner only if the partner requests it within two months of receiving late payment.

### **5.7 Currency for payments**

The Authority must make payments in euros.

### **5.8 Date of payment**

Payments by the Authority are considered to have been carried out on the date when they are debited to its account.

### **5.9 Costs of payment transfers**

Costs of the payment transfers are borne as follows:

- (a) the Authority bears the costs of transfer charged by its bank;
- (b) the partner bears the costs of transfer charged by its bank;
- (c) the party causing a repetition of a transfer bears all costs of repeated transfers.

### **5.10 Payments to the partner**

The Authority must make payments to the partner.

Payments to the partner discharge the Authority from its payment obligation.

## **ARTICLE 6 – BANK ACCOUNT FOR PAYMENTS**

All payments must be made to the partner's bank account as indicated below:



Name of bank: [...]

Precise denomination of the account holder: [...]

Full account number (including bank codes): [...]

[IBAN code: [...]]<sup>18</sup>

## **ARTICLE 7 - COMMUNICATION DETAILS OF THE**

### **7.1 Communication details of the Authority**

Any communication addressed to the Authority must be sent to the following address:

Operational contact:

Scientific Officer XXX

Email: XXX

Administrative matters:

Procurement team – Finance Unit

EFSA

Via Carlo Magno 1/A

I – 43126 Parma

[EFSAProcurement@efsa.europa.eu](mailto:EFSAProcurement@efsa.europa.eu)

### **7.2 Communication details of the partner**

Any communication from the Authority to the partner must be sent to the following address:

[Full name]

[Function]

[Name of the entity]

[Full official address]

Email address: [complete]

## **ARTICLE 8 – CONFLICT OF INTEREST**

With reference to article II.5, where specifically requested, the partner shall provide Institutional declarations of interest (DoIs) for new proposed subcontractors not included in the Art.36 list and Individual DoIs for members of the project team having influence and/or control over scientific outputs (for partner's staff and/or individual subcontractors) whose interests declared on the occasion of signature of the specific agreement have substantially changed during the implementation of the action. Any

<sup>18</sup> BIC or SWIFT code could be used for countries which do not use the IBAN code.



declarations will be screened in accordance with the [EFSA's Independence policy](#) and the [Decision of the Executive Director on Competing Interest Management which can be found on the EFSA website](#).

## **[ARTICLE XX – ENTITIES AFFILIATED TO THE PARTNER<sup>19</sup>]**

The following entities are considered as affiliated entities to the partner for the purpose of the Specific agreement:

- [name of the entity];
- [name of the entity];

[item for further affiliated entities]

## **[ARTICLE XX – ADDITIONAL PROVISIONS ON USE OF THE RESULTS (INCLUDING INTELLECTUAL AND INDUSTRIAL PROPERTY RIGHTS)]**

[In accordance with Article II.9.3 of the Framework agreement, whereby the Union acquires rights to use the results of the action, these results may be exploited using any of the following modes:

- (a) [distribution to the public in hard copies, in electronic or digital format, on the internet including social networks as a downloadable or non-downloadable file;] [not applicable;]
- (b) [communication through press information services;] [not applicable;]
- (c) [inclusion in widely accessible databases or indexes, such as via 'open access' or 'open data' portals, or similar repositories, whether freely accessible or accessible only upon subscription;] [not applicable;]
- (d) [[edit] [or] [re-write in another way] the results of the action, including [shortening], [summarising], [modifying the content], [correcting technical errors in the content] [insert other as appropriate];] [not applicable;]
- (e) [[cut], [insert [meta-data], [legends [or] [other graphic], [[visual], [audio] [or] [word] elements] [insert other as appropriate] [in] the results of the action;]] [not applicable;]
- (f) [[extract a part (e.g. audio or video files) of], [divide into parts] [or] [compile] the results of the action;] [not applicable;]
- (g) [prepare derivative works of the results of the action;] [not applicable;]

<sup>19</sup> Please include this provision if the partner would involve different affiliated entities in the implementation of the different specific action grants. In this case please delete the similar provision related to affiliated entities from the Framework agreement.

The provision regarding affiliated entities does not apply to operating grants. In such a case, all references to "affiliated entities" in the provisions of the Specific agreement should be deleted before the model agreement is published as part of the call for proposals for award of operating grants.

Adding this special condition is indispensable in case the partner is a sole partner formed by other entities in the sense of Article 122(1) FR. In this case the entities composing the partner, and actually implementing the action, are considered as affiliated entities with the right to incur eligible costs.



(h) [[translate], [insert subtitles in], [dub] the results of the action in:

- [English], [French], [German]
- [all official languages of EU]
- [languages of candidate countries]
- [list other languages as appropriate]]

[not applicable;]

(i) [license or sub-license to third parties, including if there are licensed pre-existing rights, any of the rights or modes of exploitation set out [in point[s] [...] of Article II.9.3 of the of the Framework agreement] [and] [in point[s] [...] above].] [not applicable.]

[The beneficiaries must ensure that the Union has the rights of use specified [in Article II.9.3 of the Framework agreement] [and] [in points [...] above] [for a period of [...] [for the whole duration of the industrial or intellectual property right[s] concerned].]

I.XX.1 By derogation from Article II.9.1, the beneficiaries grant the Authority the right to make exclusive use of the results of the project, including the reports submitted by the beneficiaries, for a period of 6 months. During this period, the beneficiaries cannot make any use of the results of the project, including the prohibition to divulge or disclose the results of the project.

I.XX.2 During the period indicated in Article I.XX.1, the beneficiaries may request the Authority for an ex-ante authorisation of the use of the results and obtain from the Authority a written consent in this regard.

I.XX.3 For the project implementation, the beneficiaries may receive raw data not owned by the Authority. Only the beneficiaries experts allocated to the project shall be allowed to access the raw data provided. The beneficiaries are entitled to use the raw data only for the scope of the project and to achieve the deliverables set in the grant agreement. No usage of the data outside the scope of this project is allowed. The beneficiaries may request the data owner for an ex-ante authorisation of the use of the raw data outside the scope of the project and obtain from the data owner a written consent in this regard. The raw data will remain the property of the data owner.

I.XX.4 During the project implementation, including for delivery and approval of intermediate and final results, the coordinator of the agreement must contact EFSA, in order to provide advance notice prior to the publication or dissemination of any results. Any publication or dissemination which has been notified to EFSA should comply with the provisions of article II.8 and II.9 of the Agreement.

## **[ARTICLE XX - INAPPLICABILITY OF THE No-profit PRINCIPLE**

As an exception to Article II.25.3 of the Framework agreement, the no-profit principle does not apply to the action.]<sup>20</sup>

<sup>20</sup> To be added in the following cases, as provided in Article 192(3) FR:

- the objective of the action, as described in Annex I, is to reinforce the financial capacity of the partner;
- where required by Annex I, continuity of the action after the end of the implementation period is to be ensured by the income generated by the action;
- grants described in Annex I in the form of study, research or training scholarships paid to natural persons or as other forms of direct support paid to natural persons who are most in need;
- grants which are entirely in the form of financing not linked to costs;
- grants the maximum amount of which, as laid down in Article 3.1, is lower than or equal to EUR 60 000.



## **[ARTICLE XX – ELIGIBILITY OF EQUIPMENT COSTS]**

As an exception to Article II.19.2(c) of the Framework agreement, the full cost of purchase of equipment is eligible [, subject to the following conditions: [...] .]<sup>21</sup>

## **[ARTICLE XX – INELIGIBILITY OF VALUE ADDED TAX]**

As an exception to Article II.19.2(h) of the Framework agreement, paid value added tax (VAT) is not eligible [under the Specific agreement] [for the following activities as described in Annex I: [...] ].<sup>22</sup>

## **I.XX - Specific provision on Confidentiality, Processing and Protection of Personal Data**

### SIGNATURES

For the partner

[function/ forename / surname]

For the Authority

[forename /surname]

[signature]

[signature]

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The provision could be included in the model Specific agreement attached to the Framework agreement as an option and actually used only for those specific grants where relevant. The option should be deleted where the Framework agreement already contains a similar provision.

<sup>21</sup> The provision could be included in the model Specific agreement attached to the Framework agreement as an option and actually used only for those specific grants where relevant. The option should be deleted where the Framework agreement already contains a similar provision.

<sup>22</sup> To be added where the relevant basic act provides for ineligibility of VAT or where the activities supported through the specific grant fall within one of the following categories:

- taxed activities or exempt activities with right of deduction. For those activities, VAT is deductible, hence ineligible;
- activities engaged in as a public authority by the partner where it is a State, regional or local government authority or another body governed by public law.

The provision could be included in the model Specific agreement attached to the Framework agreement as an option and actually used only for those specific grants where relevant. The option should be deleted where the Framework agreement already contains a similar provision.



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# Confidentiality Statement and Data Protection Notice

**The present Confidentiality Statement and Data Protection Notice (hereinafter 'statement') applies to:**

- Members of the Management Board, the Executive Director, the Scientific Committee and Scientific Panels, Working Groups, peer review meetings and any other meeting on a subject matter dealt with by the aforementioned scientific bodies, as well as members of the Advisory Forum and networks, in line with their written declaration to comply with the obligation of professional secrecy pursuant to Article 339 TFEU, as recalled in Articles 37 and 39d(4) of the General Food Law Regulation (EC) No 178/2002<sup>1</sup> and Article 17(1) and (2) of EFSA's Executive Director laying down practical arrangements concerning transparency and confidentiality ('EFSA's Practical Arrangements')<sup>2</sup>;
- Any representative of the national competent organization of a EU Member State or staff member of the Commission, in line with Article 39d(2) of the General Food Law Regulation (EC) No 178/2002 and Article 16(3) and (4) of EFSA's Practical Arrangements;
- Any member of EFSA's staff, in accordance with the obligation of professional secrecy set out in Article 339 of TFEU and Article 17 of the Staff Regulations of officials and the Conditions of Employment of other servants of the European Union<sup>3</sup>, as reminded in Article 17(3) of EFSA's Practical Arrangements;
- Any temporary worker, trainee, external consultant, external service provider, interim, consultant, contractor, EFSA stakeholder, insofar as applicable in accordance with the relevant contract with EFSA;

**By accepting this Confidentiality Statement, I hereby declare that:**

1. I am entitled to receive access to information, data, datasets, metadata related to EFSA's work,
2. In case an EFSA account is created by means of username and password, allowing me to access EFSA information, EFSA's IT System and tools (e.g. Connect.efsa.europa.eu, Document Management System), this access password shall be strong and shall be kept for myself and not be shared with anyone else. The same security level must be kept in the custody of other physical and non-physical identification instruments related to EFSA's IT System accesses (e.g. but not limited to: EFSA's data for VPN

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<sup>1</sup> Regulation (EC) No 178/2002 of the European Parliament and of the Council of 28 January 2002 laying down the general principles and requirements of food law, establishing the European Food Safety Authority and laying down procedures in matters of food safety (OJ L 31, 1.2.2002, p. 1), as last amended.

<sup>2</sup> Available online at [https://www.efsa.europa.eu/sites/default/files/corporate\\_publications/files/210111-PAs-transparency-and-confidentiality.pdf](https://www.efsa.europa.eu/sites/default/files/corporate_publications/files/210111-PAs-transparency-and-confidentiality.pdf)

<sup>3</sup> OJ 45, 14.6.1962, p. 1385.



access, smartphone, OTP hardware devices or other security token). Access rights shall be used only for carrying out the mandate, task, contract or assignment with EFSA,

3. If my work entails access to information classified as Sensitive or Internal as per EFSA's [Information Management Policy](#) (see also the chapter entitled "Definitions" below and the '[Legal notice](#)' page on EFSA's website), I am aware of the requirements for the protection and handling of such information. This includes also confidential information, i.e. information for which confidentiality requests have been submitted, or which have been awarded confidential status in accordance with Articles 39-39e of the General Food Law Regulation (EC) No 178/2002,
4. I will take all necessary measures so that any Sensitive Information or Internal Information to which I get access is not made public or disclosed to unauthorised parties,
5. I agree and commit to use information, data, datasets, metadata received from EFSA exclusively for the purpose for which it was made available to me and not to divulge, publish or otherwise make it available to any third party without prior written consent of EFSA, also after completion of the relevant assignment with EFSA. My duty of confidentiality regarding the information exists *vis-à-vis* any third party, including employees, employers, colleagues or affiliates, and the general public,
6. I agree and commit not to use the information, data, datasets, metadata received from EFSA, EFSA's IT System or elaborated on EFSA's behalf, through any informatic tool or process, including the EFSA's DMS, for a personal benefit or that of any third party, at any point in time;
7. In case of sharing, under the conditions set out in point 5 above, of Sensitive Information or Internal Information for purposes deriving from EFSA's regulatory framework with third parties external to EFSA, I am responsible for this information sharing and for collecting the commitment by the receiving party:
  - to comply with the same confidentiality and safety storage requirements as outlined in the present Declaration for any information brought to his or her attention,
  - not to have any onward divulgence of the information to any other third parties,
  - not to use the information for his or her personal benefit or that of any other third party,
  - to continue complying with the above obligations, even after completion of my mandate, task, contract or assignment,
  - to dispose securely of any physical or downloaded copies, including those taken from the DMS, after completion of the relevant assignment with EFSA,
8. For any user not working with the IT infrastructure provided by EFSA: I ensure that I have in place IT and physical solutions to ensure safe storage of the sensitive or internal information, included data, datasets and metadata. This includes applying appropriate technical and organisational measures to ensure the secure use of the IT System and adhere to any instruction EFSA might provide for this purpose. This also includes disposing securely of the information in any downloaded copies or otherwise after completion of the relevant assignment with EFSA,
9. I commit to making good any damages caused to EFSA as a result of a breach of any of the above conditions, having been clearly informed by EFSA with regards to the protection and handling of confidential information as specified above.
10. I commit to report any suspected or actual security weakness, threats, events or incidents to EFSA information and/or IT System to [InformationSecurityOfficer@efsa.europa.eu](mailto:InformationSecurityOfficer@efsa.europa.eu)



Nothing in this Declaration shall be interpreted as preventing compliance with public access and data sharing requirements set out in Union or national law.

**For acceptance,**

Name:

Affiliation:

Signature:

Date:

Signed Declarations shall be submitted to: [EFSAProcurement@efsa.europa.eu](mailto:EFSAProcurement@efsa.europa.eu)



## Definitions

For the purposes of this statement, the following definitions part of the EFSA Information Management Policy apply:

- 'document' any content whatever its medium (written on paper or stored in electronic form or as a sound, visual or audiovisual recording) concerning a matter relating to the policies, activities and decisions falling within the institution's sphere of responsibility<sup>4</sup>. In particular, an electronic document is a data set input stored on any type of medium by a computer system or a similar mechanism, which can be read or displayed by a person or by such a system or mechanism, and any display or retrieval of such data in printed or other form<sup>5</sup>; including e-mails.
- 'IT System' any system, service, application or tool belonging to EFSA's IT infrastructure (e.g. DMS) including third party systems, services, applications or tools used by EFSA.
- 'Public Information' information handled by EFSA that is published or ready to be published.
- 'Sensitive Information' information or documents that EFSA must protect because of legal obligations laid down in the Treaties or in legal acts adopted in implementation thereof, and/or because of its sensitivity; including confidential information in accordance with art. 39-39e of the General Food Law Regulation (EC) No 178/2002. 'Internal Information' when the information handled by EFSA is not for the public but is not sensitive either, it shall be treated as EFSA internal information.

## Data protection notice

Regulation (EU) 2018/1725<sup>6</sup> on the protection of natural persons with regard to the processing of personal data by the Union institutions, bodies, offices and agencies and on the free movement of such data (hereinafter "the Data Protection Regulation"), is applicable in the context of the use of EFSA's IT infrastructure (hereinafter "IT system(s)"). In accordance with Article 15 of the Data Protection Regulation, EFSA informs you on the following:

### 1. Purposes of the processing

- To create user accounts for internal and external IT system users, allowing them to access the IT system according to the individual use permissions set for carrying out their tasks and responsibilities in EFSA's operations;
- To ensure secure use by means of the personalised user accounts;
- To produce anonymous user statistics on IT systems;
- To update user accounts on request or to suspend or block these to ensure continuous alignment with tasks and responsibilities assigned to individuals, the time period of employment at or service provision to EFSA, or for information security reasons;
- To ensure the security of the IT systems and individual user accounts as well as to protect the documents and information, including personal data it contains.

<sup>4</sup> Art. 3(a) of Regulation (EC) No 1049/2001

<sup>5</sup> Art. 3 decision 2004/563/EC

<sup>6</sup> Regulation (EU) 2018/1725 of the European Parliament and of the Council of 23 October 2018 on the protection of natural persons with regard to the processing of personal data by the Union institutions, bodies, offices and agencies and on the free movement of such data, and repealing Regulation (EC) No 45/2001 and Decision No 1247/2002/EC. OJ L 295, 21.11.2018, p. 39–98.



## 2. Legal basis of the processing

The data processing by means of the use of the EFSA IT Systems stems from EFSA's mission and tasks in accordance with the General Food Law Regulation (EC) No 178/2002.

## 3. Personal data processed

Without prejudice to personal data contained in documents and information uploaded in IT Systems, personal data is processed differently depending on the software used. For instance, personal data processed in the EFSA Document Management System concern the encrypted personalized access credentials of users and the logfile on their sign-in activities, detailing user name, time stamp of sign-in and IP address. Personal data will only be used by authorized recipients and not be used for any unrelated purposes, including commercial marketing.

## 4. Recipients

- EFSA Transformation Services staff (TS), in charge of monitoring and ensuring the functionality and security of EFSA IT systems, the EFSA Information Security Officer, IT consultants providing Service Desk user assistance under TS supervision.
- The Computer Emergency Response Team for the EU Institutions and Agencies (CERT-EU) in the context of an investigation or inquiry of security incidents.

## 5. Data retention

Any user account data related to EFSA IT systems is kept by EFSA until the account is disabled. In case an account remains inactive for maximum 2 years, it will be disabled by EFSA after proper notification in advance to the user.

## 6. Further information

Each system forming part of EFSA's IT infrastructure has proper technical characteristics which have been assessed on compliance with the Data Protection Regulation. Personal data processed by means of EFSA IT systems are stored in datacentres and/or different facilities located in the European Economic Area.

## 7. Your rights as a data subject

You are entitled to access your personal data and rectify, block or delete it in case the data is inaccurate or incomplete. You can exercise your rights by contacting the EFSA Transformation Services (Data Controller), by writing to: [servicedesk@efsa.europa.eu](mailto:servicedesk@efsa.europa.eu)

You have the right to lodge a complaint regarding the processing of your personal data in the context of EFSA's IT systems with the European Data Protection Supervisor (<http://www.edps.europa.eu>).

## 8. Data Protection Officer

Should you need more information or advice on the processing of your personal data in the context of EFSA's IT systems, you may contact the EFSA data protection officer, writing to [DataProtectionOfficer@efsa.europa.eu](mailto>DataProtectionOfficer@efsa.europa.eu). I also shall have the right of recourse at any time to the [European Data Protection Supervisor](#) concerning the processing of my personal data by EFSA.