



# Financial Instruments 2014-2020 under European Structural and Investment Funds (ESIF)

Brussels, 19-20 January 2015

*EU grants; Rules and Principles*

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# EU grants

# Rules and Principles

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## REGIO.A3

# AGENDA

- Legal framework
- Principles
- Definitions
- Evaluation of the proposals
- Record keeping

**Europa site on grants:**

**[http://ec.europa.eu/contracts\\_grants/grants\\_en.htm](http://ec.europa.eu/contracts_grants/grants_en.htm)**

# Legal Framework

- **Technical Assistance:** Article 58 and Article 91 of Regulation (EU) 1303/2013 ('CPR')
- **EU Grants:** Title VI of Regulation (EU, Euratom) 966/2012 ('FR')

Multiannual Strategy on the implementation of the TA budget

# Principles

- **Transparency** (ex ante and ex post)
- **Equal treatment**
- **Non-profit**
- **Non-cumulative award**
- **Non retroactivity**
- **Co-financing**

# Definitions

**Action Grants:** *to finance actions to help achieving an objective part of an Union policy*

**Grant Beneficiary:** *any natural or legal person with whom a grant agreement has been signed or to whom a grant decision has been notified*

**Mono-beneficiary:** *one entity responsible for the implementation of the action*

**Multi-beneficiary:** *several entities responsible*

## 3<sup>rd</sup> parties involved in the action implementation

Third Parties	Description	Costs
<i>Affiliated entities</i>	<ul style="list-style-type: none"> <li>with legal or capital link to the beneficiary</li> <li>Part of the beneficiary</li> </ul>	Entitled to incur eligible costs themselves
<i>Third party in receipt of financial support (max 60.000 euro)</i>	Entities/natural persons receiving financial support from the beneficiary	The financial support is an eligible costs for the beneficiary
<i>Contractors and sub-contractors</i>	Procurement contracts signed with the beneficiary	Costs entailed to such contracts represent eligible costs for the beneficiary

# Definition

## Eligible costs:

- Incurred (*i.e. generated*) during the action
- Necessary for the implementation
- Indicated in the budget estimate
- Identifiable and verifiable
- Compliant with tax and social legislation
- Reasonable and justified



# Definition

## Grant Amount:

- Double ceiling (% co-financing and EUR)
- Checking the non-profit rule
- Final amount of grant (determination amount to be paid according to the eligible costs or recovered)

# Evaluation of the proposals

- **Admissibility of applications:** *applications have to comply cumulatively with all admissibility requirements of the call for proposal*
- **Eligibility Criteria:**
  - General eligibility criteria: i.e. legal status beneficiary
  - Specific eligibility criteria: e.g. geographic origin of applicants

# Evaluation of the proposals

- **Exclusion Criteria:**

- Exclusion from participation: e.g. bankrupt
- Exclusion from the award: e.g. conflict of interest

- **Selection Criteria:**

- Financial capacity: budget of the applicant and action to be financed
- Operational capacity: operational resources to implement the action

# Evaluation of the proposals

- **Award Criteria:** relates to the quality of the proposal/project. Every proposal has to be examined with regards to every criterion announced in the call. Award criteria can be announced **with or without** envisaging any weightings and thresholds.

# Record keeping

- Period for keeping documents related to grants by the beneficiary from the payment of the balance: 5 years
- Same periods apply for documents related to audits, appeals, litigation or claims.

**Thank you for your  
attention!**

**Questions & Answers**