

Call for Proposals 2011

Infopack: Operating grants



Executive
Agency for
Health and
Consumers

**Second Programme of
Community Action in the field of Health
(2008-2013)**

INFOPACK

**For applicants submitting a proposal for a
Operating Grant**

CALL FOR PROPOSALS 2011

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Health Programme Decision and Work Plan 2011

DECISIONS ADOPTED JOINTLY BY THE EUROPEAN PARLIAMENT AND THE COUNCIL

DECISION No 1350/2007/EC OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL

of 23 October 2007

establishing a second programme of Community action in the field of health (2008-13)

(Text with EEA relevance)

THE EUROPEAN PARLIAMENT AND THE COUNCIL OF THE EUROPEAN UNION,

Having regard to the Treaty establishing the European Community, and in particular Article 152 thereof,

Having regard to the proposal from the Commission,

Having regard to the Opinion of the European Economic and Social Committee ⁽¹⁾,

Having regard to the opinion of the Committee of the Regions ⁽²⁾,

Acting in accordance with the procedure laid down in Article 251 of the Treaty ⁽³⁾,

Whereas:

(1) The Community can contribute to protecting the health and safety of citizens through actions in the field of public health. A high level of health protection should be ensured in the definition and implementation of all Community policies and activities. Under Article 152 of the Treaty, the Community is required to play an active role by taking measures which cannot be taken by individual Member States, in accordance with the principle of subsidiarity. The Community fully respects the responsibilities of the Member States for the organisation and delivery of health services and medical care.

(2) The health sector is characterised on the one hand by its considerable potential for growth, innovation and dynamism, and on the other by the challenges it faces in terms of financial and social sustainability and efficiency of the health care systems due, among other things, to ageing of the population and to medical advances.

(3) The programme of Community action in the field of public health (2003-08), adopted by Decision No 1786/2002/EC of the European Parliament and of the Council ⁽⁴⁾, was the first integrated Community programme in this field, and it has already delivered a number of important developments and improvements.

(4) Continued effort is required in order to meet the objectives already established by the Community in the field of public health. It is therefore appropriate to establish a second programme of Community action on health (2008-13) (hereinafter referred to as 'the Programme').

(5) A number of serious cross-border health threats with a possible worldwide dimension exist and new ones are emerging which require further Community action. The Community should treat serious cross-border health threats as a matter of priority. The Programme should place emphasis on strengthening the Community's overall capacities by further developing cooperation between the Member States. Monitoring, early warning and action to combat serious threats to health are important areas where an effective and coordinated response to health threats should be promoted at Community level. Action to ensure high-quality diagnostic cooperation between laboratories is essential in order to respond to health threats. The Programme should encourage the establishment of a system of Community reference laboratories. However, such a system needs to be based on a sound legal base.

⁽¹⁾ OJ C 88, 11.4.2006, p. 1.

⁽²⁾ OJ C 192, 16.8.2006, p. 8.

⁽³⁾ Opinion of the European Parliament of 16 March 2006 (OJ C 291 E, 30.11.2006, p. 372), Council Common Position of 22 March 2007 (OJ C 103 E, 8.5.2007, p. 11) and Position of the European Parliament of 10 July 2007 (not yet published in the Official Journal). Council Decision of 9 October 2007.

⁽⁴⁾ OJ L 271, 9.10.2002, p. 1. Decision as amended by Decision No 786/2004/EC (OJ L 138, 30.4.2004, p. 7).

- (6) According to the World Health Organisation (WHO) European Health report 2005, in terms of Disability Adjusted Life-Years (DALYs), the most important causes of the burden of disease in the WHO European Region are non-communicable diseases (NCDs — 77 % of the total), external causes of injury and poisoning (14 %) and communicable diseases (9 %). Seven leading conditions — ischaemic heart disease, unipolar depressive disorders, cerebrovascular disease, alcohol use disorders, chronic pulmonary disease, lung cancer and road traffic injuries — account for 34 % of the DALYs in the region. Seven leading risk factors — tobacco, alcohol, high blood pressure, high cholesterol, overweight, low fruit and vegetable intake and physical inactivity — account for 60 % of DALYs. In addition, communicable diseases such as HIV/AIDS, influenza, tuberculosis and malaria are also becoming a threat to the health of all people in Europe. An important task of the Programme, in cooperation, where appropriate, with the Community Statistical Programme, should be to identify better the main health burdens in the Community.
- (7) Eight leading causes of mortality and morbidity from NCDs in the WHO European Region are cardiovascular diseases, neuropsychiatric disorders, cancer, digestive diseases, respiratory diseases, sense organ disorders, musculoskeletal diseases and diabetes mellitus. The Programme, in synergy with other Community initiatives and funding, should contribute to better knowledge of and information on the prevention, diagnosis and control of major diseases. Accordingly, the Commission may submit, during the course of the Programme, proposals for pertinent Council Recommendations. The Programme should also foster appropriate coordination and synergies among Community initiatives regarding the collection of comparable data on major diseases, including cancer.
- (8) Microbial resistance to antibiotics and nosocomial infections are becoming a threat to health in Europe. The lack of new effective antibiotics as well as the means to ensure the proper use of existing antibiotics are major concerns. Therefore it is important to collect and analyse relevant data.
- (9) Strengthening the role of the European Centre for Disease Prevention and Control established by Regulation (EC) No 851/2004 of the European Parliament and of the Council⁽¹⁾ is important in the fight against communicable diseases.
- (10) The Programme should build on the achievements of the previous Programme for Community action in the field of public health (2003-08). It should contribute towards the attainment of a high level of physical and mental health and greater equality in health matters throughout the Community by directing actions towards improving public health, preventing human diseases and disorders, and obviating sources of danger to health with a view to combating morbidity and premature mortality. It should further contribute to providing citizens with better access to information and thereby increase their ability to make decisions which best cater for their interests.
- (11) The Programme should place emphasis on improving the health condition of children and young people and promoting a healthy lifestyle and a culture of prevention among them.
- (12) The Programme should support the mainstreaming of health objectives in all Community policies and activities, without duplicating work carried out under other Community policies. Coordination with other Community policies and programmes is a key part of the objective of mainstreaming health in other policies. In order to promote synergies and avoid duplication, joint actions may be undertaken with related Community programmes and actions and appropriate use should be made of other Community funds and programmes, including the current and future Community framework programmes for research and their outcomes, the Structural Funds, the European Solidarity Fund, the European strategy for health at work, the programme of Community action in the field of consumer policy (2007-13)⁽²⁾, the programme 'Drugs prevention and information', the programme 'Fight against violence (Daphne)' and the Community Statistical Programme within their respective activities.
- (13) Special efforts should be undertaken to ensure coherence and synergies between the Programme and the Community's external actions, particularly in the areas of avian influenza, HIV/AIDS, tuberculosis and other cross-border health threats. In addition, there should be international cooperation in order to promote general health reform and general health institutional issues in third countries.
- (14) Increasing Healthy Life Years (HLY) by preventing disease and promoting policies that lead to a healthier way of life is important for the well-being of EU citizens and helps to meet the challenges of the Lisbon process as regards the knowledge society and the sustainability of public finances, which are under pressure from rising health care and social security costs.

⁽¹⁾ OJ L 142, 30.4.2004, p. 1.

⁽²⁾ Decision No 1926/2006/EC of the European Parliament and of the Council (OJ L 404, 30.12.2006, p. 39).

- (15) The enlargement of the European Union has brought additional concerns in terms of health inequalities within the EU and this is likely to be accentuated by further enlargements. This issue should, therefore, be one of the priorities of the Programme.
- (16) The Programme should help to identify the causes of health inequalities and encourage, among other things, the exchange of best practices to tackle them.
- (17) It is essential to systematically collect, process and analyse comparable data, within national constraints, for an effective monitoring of the state of health in the European Union. This would enable the Commission and the Member States to improve information to the public and formulate appropriate strategies, policies and actions to achieve a high level of human health protection. Compatibility and interoperability of the systems and networks for exchanging information and data for the development of public health should be pursued in the actions and support measures. Gender, socioeconomic status and age are important health considerations. Data collection should wherever possible build on existing work, and proposals for new collections should be costed and based on a clear need. The collection of data should be in compliance with the relevant legal provisions on the protection of personal data.
- (18) Best practice is important because health promotion and prevention should be measured on the basis of efficiency and effectiveness, and not purely in economic terms. Best practice and latest treatment methods for diseases and injuries should be promoted in order to prevent further deterioration of health, and European reference networks for specific conditions should be developed.
- (19) Action should be taken in order to prevent injuries by collecting data, analysing injury determinants and disseminating relevant information.
- (20) Health services are primarily the responsibility of Member States but cooperation at Community level can benefit both patients and health systems. Activities funded by the Programme as well as new proposals developed as a result of these should have due regard to the Council Conclusions on common values and principles in European Union Health Systems ⁽¹⁾ adopted in June 2006 that endorse a statement on the common values and principles of EU Health Systems and invite the institutions of the European Union to respect them in their work. The Programme should take due account of future developments as regards Community action on health services as well as the work of the High Level Group on Health Services and Medical Care, which provides an important forum for collaboration and exchange of best practice between Member States' health systems.
- (21) The Programme should contribute to the collection of data, the promotion and development of methods and tools, the establishment of networks and various kinds of cooperation and the promotion of relevant policies on patient mobility as well as on the mobility of health professionals. It should facilitate the further development of the European e-Health Area, through joint European initiatives with other EU policy areas, including regional policy, while contributing towards work on quality criteria for health-related websites and towards a European health insurance card. Telemedicine should be taken into account as telemedicine applications may contribute to cross-border care while ensuring medical care at home.
- (22) Environmental pollution is a serious risk to health and a major source of concern for European citizens. Special action should focus on children and other groups which are particularly vulnerable to hazardous environmental conditions. The Programme should complement the actions taken within the European Environment and Health Action Plan 2004-10.
- (23) The Programme should address genderrelated and ageing-related health issues.
- (24) The Programme should recognise the importance of a holistic approach to public health and take into account, where appropriate and where there is scientific or clinical evidence about its efficacy, complementary and alternative medicine in its actions.
- (25) The precautionary principle and risk assessment are key factors for the protection of human health and should therefore be part of further integration into other Community policies and activities.
- (26) This Decision establishes, for the entire duration of the Programme, a financial envelope which constitutes the prime reference within the meaning of point 37 of the Interinstitutional Agreement of 17 May 2006 between the European Parliament, the Council and the Commission on budgetary discipline and sound financial management ⁽²⁾, for the budgetary authority during the annual budgetary procedure.

⁽¹⁾ OJ C 146, 22.6.2006, p. 1.

⁽²⁾ OJ C 139, 14.6.2006, p. 1.

- (27) In order to ensure a high level of coordination between actions and initiatives taken by the Community and Member States in the implementation of the Programme, it is necessary to promote cooperation between Member States and to enhance the effectiveness of existing and future networks in the field of public health. The participation of national, regional and local authorities at the appropriate level in accordance with the national systems should be taken into account in regard to the implementation of the Programme.
- (28) It is necessary to increase EU investment in health and health-related projects. In this regard, Member States are encouraged to identify health improvements as a priority in their national programmes. Better awareness about the possibilities of EU funding for health is needed. Exchange of experience between the Member States on funding health through the Structural Funds should be encouraged.
- (29) Non-governmental bodies and specialised networks can also play an important role in meeting the objectives of the Programme. In pursuing one or more objectives of the Programme, they may require Community contributions to enable them to function. Hence, detailed eligibility criteria, provisions regarding financial transparency and the duration of Community contributions for non-governmental bodies and specialised networks qualifying for Community support should be set out in accordance with Council Decision 1999/468/EC of 28 June 1999 laying down the procedures for the exercise of implementing powers conferred on the Commission⁽¹⁾. Such criteria should include the obligations of such bodies and networks in establishing clear objectives, action plans and measurable results representing a strong European dimension and a real added value for the objectives of the Programme. Given the particular nature of the organisations concerned and in cases of exceptional utility, it should be possible for the renewal of Community support to the functioning of such bodies and specialised networks to be exempted from the principle of gradual decrease of the extent of Community support.
- (30) Implementation of the Programme should be carried out in close cooperation with relevant organisations and agencies, in particular with the European Centre for Disease Prevention and Control.
- (31) The measures necessary for the implementation of this Decision should be adopted in accordance with Decision 1999/468/EC, respecting the need for transparency as well as a reasonable balance between the different objectives of the Programme.
- (32) The Agreement on the European Economic Area (hereinafter referred to as 'the EEA Agreement') provides for cooperation in the field of health between the European Community and its Member States, on the one hand, and the countries of the European Free Trade Association participating in the European Economic Area (hereinafter referred to as 'the EFTA/EEA countries'), on the other. Provision should also be made to open the Programme to participation by other countries, in particular the neighbouring countries of the Community and countries that are applying for, are candidates for, or are acceding to, membership of the European Union, taking particular account of the potential for health threats arising in other countries to have an impact within the Community.
- (33) Appropriate relations with third countries not participating in the Programme should be facilitated in order to help achieve the objectives of the Programme, taking account of any relevant agreements between those countries and the Community. This may involve third countries taking forward complementary activities to those financed through the Programme on areas of mutual interest, but should not involve a financial contribution under the Programme.
- (34) It is appropriate to develop cooperation with relevant international organisations such as the United Nations and its specialised agencies, in particular the WHO, as well as with the Council of Europe and the Organisation for Economic Cooperation and Development, with a view to implementing the Programme through maximising the effectiveness and efficiency of actions relating to health at Community and international level, taking into account the particular capacities and roles of the different organisations.
- (35) The successful implementation of the objectives under the Programme should be based on good coverage of the issues included in the annual work plans, on selection of appropriate actions and funding of projects, which all have an in-built appropriate monitoring and evaluation process in place, and on regular monitoring and evaluation, including independent external evaluations, which should measure the impact of actions and demonstrate their contribution to the overall objectives of the Programme. Programme evaluation should take into account the fact that the achievement of the Programme objectives may require a longer time period than the duration of the Programme.
- (36) The annual work plans should cover the main foreseeable activities to be funded from the Programme through all the different funding mechanisms, including calls for tender.

⁽¹⁾ OJ L 184, 17.7.1999, p. 23. Decision as amended by Decision 2006/512/EC (OJ L 200, 22.7.2006, p. 11).

(37) Since the objectives of this Decision cannot be sufficiently achieved by the Member States due to the transnational nature of the issues involved, and can therefore, by reason of the potential for Community action to be more efficient and effective than national action alone in protecting the health and safety of citizens, be better achieved at Community level, the Community may adopt measures, in accordance with the principle of subsidiarity set out in Article 5 of the Treaty. In accordance with the principle of proportionality, as set out in that Article, this Decision does not go beyond what is necessary in order to achieve those objectives.

(38) In accordance with Article 2 of the Treaty, which provides that equality between men and women is a principle of the Community, and in accordance with Article 3(2) thereof, which provides that the Community shall aim to eliminate inequalities, and to promote equality between men and women in all Community activities including the attainment of a high level of health protection, all objectives and actions covered by the Programme contribute to promoting a better understanding and recognition of men's and women's respective needs and approaches to health.

(39) It is appropriate to ensure a transition between the Programme and the previous programme it replaces, in particular regarding the continuation of multi-annual arrangements for its management, such as the financing of technical and administrative assistance. As of 1 January 2014, the technical and administrative assistance appropriations should cover, if necessary, the expenditure related to the management of actions not yet completed by the end of 2013.

(40) This Decision replaces Decision No 1786/2002/EC. That Decision should therefore be repealed,

HAVE DECIDED AS FOLLOWS:

Article 1

Establishment of the Programme

The second programme of 'Community action in the field of health (2008-13)' covering the period from 1 January 2008 to 31 December 2013 (hereinafter referred to as 'the Programme') is hereby established.

Article 2

Aim and objectives

1. The Programme shall complement, support and add value to the policies of the Member States and contribute to increased

solidarity and prosperity in the European Union by protecting and promoting human health and safety and improving public health.

2. The objectives to be pursued through the actions set out in the Annex shall be:

— to improve citizens' health security,

— to promote health, including the reduction of health inequalities,

— to generate and disseminate health information and knowledge.

The actions referred to in the first subparagraph shall, where appropriate, support the prevention of major diseases and contribute to reducing their incidence as well as the morbidity and mortality caused by them.

Article 3

Funding

1. The financial envelope for the implementation of the Programme for the period specified in Article 1 is hereby set at EUR 321 500 000.

2. Annual appropriations shall be authorised by the budgetary authority within the limits of the financial framework.

Article 4

Financial contributions

1. Financial contributions by the Community shall not exceed the following levels:

(a) 60 % of costs for an action intended to help achieve an objective forming part of the Programme, except in cases of exceptional utility, where the Community contribution shall not exceed 80 %; and

(b) 60 % of costs for the functioning of a non-governmental body or a specialised network, which is non-profit-making and independent of industry, commercial and business or other conflicting interests, has members in at least half of the Member States, with a balanced geographical coverage, and pursues as its primary goal one or more objectives of the Programme, where such support is necessary to pursue those objectives. In cases of exceptional utility, the Community contribution shall not exceed 80 %.

2. The renewal of financial contributions set out in paragraph 1(b) to non-governmental bodies and specialised networks may be exempted from the principle of gradual decrease.

3. Financial contributions by the Community may, where appropriate given the nature of the objective to be achieved, include joint financing by the Community and one or more Member States or by the Community and the competent authorities of other participating countries. In this case, the Community contribution shall not exceed 50 %, except in cases of exceptional utility, where the Community contribution shall not exceed 70 %. These Community contributions may be awarded to a public body or a non-governmental body, which is non-profit-making and independent of industry, commercial and business or other conflicting interests, and pursues as its primary goal one or more objectives of the Programme, designated through a transparent procedure by the Member State or the competent authority concerned and agreed by the Commission.

4. Financial contributions by the Community may also be given in the form of a lump sum and flat-rate financing where this is suited to the nature of the actions concerned. For such financial contributions, the percentage limits stipulated in paragraphs 1 and 3 shall not apply, although co-financing is still required.

Article 5

Administrative and technical assistance

1. The financial allocation of the Programme may also cover expenses pertaining to preparatory, monitoring, control, audit and evaluation activities required directly for the management of the Programme and the realisation of its objectives, in particular studies, meetings, information and publication actions, expenses linked to informatics networks focusing on information exchange, as well as all other technical and administrative assistance expense that the Commission may have recourse to for the management of the Programme.

2. The financial allocation may also cover the technical and administrative assistance expenses necessary to ensure the transition between the Programme and the measures adopted under

Decision No 1786/2002/EC. If necessary, appropriations could be entered in the budget beyond 2013 to cover similar expenses, in order to enable the management of actions not yet completed by 31 December 2013.

Article 6

Methods of implementation

Actions in pursuit of the aim and objectives set out in Article 2 shall make full use of appropriate available methods of implementation, including in particular:

- (a) direct or indirect implementation by the Commission on a centralised basis; and
- (b) joint management with international organisations, where appropriate.

Article 7

Implementation of the Programme

1. The Commission shall ensure the implementation, in close cooperation with the Member States, of the actions and measures set out in the Programme in accordance with Articles 3 and 8.

2. The Commission and the Member States shall take appropriate action, within their respective areas of competence, to ensure the efficient running of the Programme and to develop mechanisms at Community and Member State level to achieve the objectives of the Programme. They shall ensure that appropriate information is provided about actions supported by the Programme and that appropriate participation is obtained.

3. For the attainment of the objectives of the Programme, the Commission shall, in close cooperation with the Member States:

- (a) pursue the comparability of data and information, and the compatibility and interoperability of the systems and networks for exchange of data and information on health; and
- (b) ensure the necessary cooperation and communication with the European Centre for Disease Prevention and Control and other relevant EU agencies in order to optimise the use of Community funds.

4. In implementing the Programme, the Commission, together with the Member States, shall ensure compliance with all relevant legal provisions regarding personal data protection and, where appropriate, the introduction of mechanisms to ensure the confidentiality and safety of such data.

Article 8

Implementation measures

1. The measures necessary for the implementation of this Decision relating to the following shall be adopted in accordance with the procedure referred to in Article 10(2):

(a) the annual work plan for the implementation of the Programme, setting out:

(i) priorities and actions to be undertaken, including the allocation of financial resources;

(ii) criteria for the percentage of Community financial contribution, including criteria for assessing whether or not exceptional utility applies;

(iii) the arrangements for implementing the joint strategies and actions referred to in Article 9;

(b) selection, award and other criteria for financial contributions to the actions of the Programme in accordance with Article 4.

2. Any other measures necessary for the implementation of this Decision shall be adopted in accordance with the procedure referred to in Article 10(3).

Article 9

Joint strategies and actions

1. To ensure a high level of human health protection in the definition and implementation of all Community policies and activities and to promote the mainstreaming of health, the objectives of the Programme may be implemented as joint strategies and joint actions by creating links with relevant Community programmes, actions and funds.

2. The Commission shall ensure the optimal synergy of the Programme with other Community programmes, actions and funds.

Article 10

Committee

1. The Commission shall be assisted by a committee (hereinafter referred to as 'the Committee').

2. Where reference is made to this paragraph, Articles 4 and 7 of Decision 1999/468/EC shall apply, having regard to the provisions of Article 8 thereof.

The period laid down in Article 4(3) of Decision 1999/468/EC shall be set at two months.

3. Where reference is made to this paragraph, Articles 3 and 7 of Decision 1999/468/EC shall apply, having regard to the provisions of Article 8 thereof.

Article 11

Participation of third countries

The Programme shall be open to the participation of:

(a) the EFTA/EEA countries in accordance with the conditions established in the EEA Agreement; and

(b) third countries, in particular countries to which the European Neighbourhood Policy applies, countries that are applying for, are candidates for, or are acceding to, membership of the European Union, and the western Balkan countries included in the stabilisation and association process, in accordance with the conditions laid down in the respective bilateral or multilateral agreements establishing the general principles for their participation in Community programmes.

Article 12

International cooperation

In the course of implementing the Programme, relations and cooperation with third countries that are not participating in the Programme and relevant international organisations, in particular the WHO, shall be encouraged.

Article 13

Monitoring, evaluation and dissemination of results

1. The Commission, in close cooperation with the Member States, shall monitor the implementation of the actions of the Programme in the light of its objectives. It shall report yearly to the Committee on all actions and projects funded through the Programme, and shall keep the European Parliament and the Council informed.

2. At the request of the Commission, which shall avoid a disproportionate increase in the administrative burden of the Member States, Member States shall submit any available information on the implementation and impact of the Programme.
3. The Commission shall submit to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions:
- (a) not later than 31 December 2010, an external and independent interim evaluation report on the results obtained in relation to the objectives of the Programme and the qualitative and quantitative aspects of its implementation as well as its consistency and complementarity with other relevant Community programmes, actions and funds. The report shall in particular make it possible to assess the impact of measures on all countries. The report shall contain a summary of the main conclusions, and it shall be accompanied by remarks by the Commission;
- (b) not later than 31 December 2011, a communication on the continuation of the Programme;
- (c) not later than 31 December 2015, an external and independent *ex-post* evaluation report covering the implementation and results of the Programme.
4. The Commission shall make the results of actions undertaken pursuant to this Decision publicly available and shall ensure their dissemination.

Article 14

Repeal

Decision No 1786/2002/EC shall be repealed with effect from 1 January 2008.

The Commission shall adopt any administrative arrangement necessary to ensure the transition between the measures adopted under Decision No 1786/2002/EC and those implemented under the Programme.

Article 15

Entry into force

This Decision shall enter into force on the day following its publication in the *Official Journal of the European Union*.

Done at Strasbourg, 23 October 2007.

For the European Parliament
The President
H.-G. PÖTTERING

For the Council
The President
M. LOBO ANTUNES

ANNEX

Actions referred to in Article 2(2)

1. Improve citizens' health security.
 - 1.1. Protect citizens against health threats.
 - 1.1.1. Develop strategies and mechanisms for preventing, exchanging information on and responding to health threats from communicable and non-communicable diseases and health threats from physical, chemical or biological sources, including deliberate release acts; take action to ensure high-quality diagnostic cooperation between Member States' laboratories; support the work of existing laboratories carrying out work with relevance to the Community; work on the setting up of a network of Community reference laboratories.
 - 1.1.2. Support the development of prevention, vaccination and immunisation policies; improve partnerships, networks, tools and reporting systems for immunisation status and adverse events monitoring.
 - 1.1.3. Develop risk management capacity and procedures; improve preparedness and planning for health emergencies, including preparing for coordinated EU and international responses to health emergencies; develop risk communication and consultation procedures on counter-measures.
 - 1.1.4. Promote the cooperation and improvement of existing response capacity and assets, including protective equipment, isolation facilities and mobile laboratories to deploy rapidly in emergencies.
 - 1.1.5. Develop strategies and procedures for drawing up, improving surge capacity of, conducting exercises and tests of, evaluating and revising general contingency and specific health emergency plans and their inter-operability between Member States.
 - 1.2. Improve citizens' safety.
 - 1.2.1. Support and enhance scientific advice and risk assessment by promoting the early identification of risks; analyse their potential impact; exchange information on hazards and exposure; foster integrated and harmonised approaches.
 - 1.2.2. Help to enhance the safety and quality of organs and substances of human origin, blood, and blood derivatives; promote their availability, traceability and accessibility for medical use while respecting Member States' responsibilities as set out in Article 152(5) of the Treaty.
 - 1.2.3. Promote measures to improve patient safety through high-quality and safe healthcare, including in relation to antibiotic resistance and nosocomial infections.
2. Promote health.
 - 2.1. Foster healthier ways of life and the reduction of health inequalities.
 - 2.1.1. Promote initiatives to increase healthy life years and promote healthy ageing; support measures to promote and explore the impact of health on productivity and labour participation as a contribution to meeting the Lisbon goals; support measures to study the impact on health of other policies.
 - 2.1.2. Support initiatives to identify the causes of, address and reduce health inequalities within and between Member States, including those related to gender differences, in order to contribute to prosperity and cohesion; promote investment in health in cooperation with other Community policies and funds; improve solidarity between national health systems by supporting cooperation on issues of cross-border care and patient and health professional mobility.
 - 2.2. Promote healthier ways of life and reduce major diseases and injuries by tackling health determinants.
 - 2.2.1. Address health determinants to promote and improve physical and mental health, creating supportive environments for healthy lifestyles and preventing disease; take action on key factors such as nutrition and physical activity and sexual health, and on addiction-related determinants such as tobacco, alcohol, illegal drugs and pharmaceuticals used improperly, focusing on key settings such as education and the workplace, and across the life cycle.

- 2.2.2. Promote action on the prevention of major diseases of particular significance in view of the overall burden of diseases in the Community, and on rare diseases, where Community action by tackling their determinants can provide significant added value to national efforts.
- 2.2.3. Address the health effects of wider environmental determinants, including indoor air quality, exposure to toxic chemicals where not addressed by other Community initiatives, and socio-economic determinants.
- 2.2.4. Promote actions to help reduce accidents and injuries.
3. Generate and disseminate health information and knowledge.
 - 3.1. Exchange knowledge and best practice.
 - 3.1.1. Exchange knowledge and best practice on health issues within the scope of the Programme.
 - 3.1.2. Support cooperation to enhance the application of best practice within Member States, including, where appropriate, supporting European reference networks.
 - 3.2. Collect, analyse and disseminate health information.
 - 3.2.1. Develop further a sustainable health monitoring system with mechanisms for collection of comparable data and information, with appropriate indicators; ensure appropriate coordination of and follow-up to Community initiatives regarding registries on cancer, based, *inter alia*, on the data collected when implementing the Council Recommendation of 2 December 2003 on cancer screening ⁽¹⁾; collect data on health status and policies; develop, with the Community Statistical Programme, the statistical element of this system.
 - 3.2.2. Develop mechanisms for analysis and dissemination, including Community health reports, the Health Portal and conferences; provide information to citizens, stakeholders and policy makers, develop consultation mechanisms and participatory processes; establish regular reports on health status in the European Union based on all data and indicators and including a qualitative and quantitative analysis.
 - 3.2.3. Provide analysis and technical assistance in support of the development or implementation of policies or legislation related to the scope of the Programme.

⁽¹⁾ OJ L 327, 16.12.2003, p. 34.

**TRILATERAL DECLARATION REGARDING THE SECOND COMMUNITY HEALTH
PROGRAMME 2008-13**

The European Parliament, the Council and the Commission:

- share the view that the second programme of Community action in the field of health (2008-13) must be provided with financial means that allow fully for its implementation;
- recall Article 37 of the Interinstitutional Agreement on budgetary discipline and sound financial management ⁽¹⁾ stating that the budgetary authority and the Commission undertake not to depart by more than 5 % from the budget unless new, objective, long-term circumstances arise for which specific reasons are given. Any increase resulting from such variation must remain within the existing ceiling of the heading concerned;
- assure their willingness to evaluate in a sound manner the specific needs and circumstances of the health programme in the annual budget procedure.

⁽¹⁾ OJ C 139, 14.6.2006, p. 1.

COMMISSION DECLARATION

1. On 24 May 2006, the Commission issued an amended proposal for a second programme of Community action in the field of health (2007-13) ⁽¹⁾. In Article 7, the reference amount of the programme was proposed to be set at EUR 365,6 million for the period starting in 2007 and ending in 2013.
2. Because of delays in the legislative procedure, on 23 March 2007 the Commission informed the Budget Authority that the start of the new public health programme will have to be postponed to budget year 2008 ⁽²⁾. As a consequence, the envelope of the new public health programme 2008-13 would need to be adjusted to the level of EUR 321,5 million.
3. An amount of EUR 44,1 million will be used in the 2007 budget year under the present public health programme ⁽³⁾ in order to ensure maximum continuity concerning public health actions. Therefore, the total envelope for public health actions financed from the programmes over the period 2007-13 sums up to EUR 365,6 million.

⁽¹⁾ COM(2006) 234.

⁽²⁾ COM(2007) 150.

⁽³⁾ Decision No 1786/2002/EC of the European Parliament and of the Council of 23 September 2002 adopting a programme of Community action in the field of public health (2003-08) (OJ L 271, 9.10.2002, p. 1).

IV

(Notices)

NOTICES FROM EUROPEAN UNION INSTITUTIONS, BODIES, OFFICES AND AGENCIES

EUROPEAN COMMISSION

COMMISSION DECISION

of 22 February 2011

concerning the adoption of a financing decision for 2011 in the framework of the second programme of Community action in the field of health (2008-2013) and on the selection, award and other criteria for financial contributions to the actions to this programme

(Text with EEA relevance)

(2011/C 69/01)

THE EUROPEAN COMMISSION,

Having regard to the Treaty on European Union and to the Treaty on the Functioning of the European Union,

Having regard to Decision No 1350/2007/EC of the European Parliament and of the Council of 23 October 2007 establishing a second programme of Community action in the field of health (2008-13) ⁽¹⁾ (hereinafter referred to as the 'Health Programme'), and in particular Article 8(1) thereof,

Having regard to Council Regulation (EC, Euratom) No 1605/2002 of 25 June 2002 on the Financial Regulation applicable to the general budget of the European Communities ⁽²⁾ (hereinafter referred to as the 'Financial Regulation'), and in particular Article 75 thereof,

Having regard to Commission Regulation (EC, Euratom) No 2342/2002 of 23 December 2002 laying down detailed rules for the implementation of Council Regulation (EC, Euratom) No 1605/2002 on the Financial Regulation applicable to the general budget of the European Communities ⁽³⁾ (hereinafter referred to as the 'Implementing Rules'), and in particular Article 90 thereof,

Having regard to Commission Decision 2004/858/EC of 15 December 2004 setting up an executive agency, the 'Executive Agency for the Public Health Programme', for the

management of Community action in the field of public health — pursuant to Council Regulation (EC) No 58/2003 ⁽⁴⁾, and in particular Article 6 thereof,

Whereas:

- (1) In accordance with Article 75 of the Financial Regulation and Article 90(1) of the Implementing Rules, the commitment of expenditure from the EU budget shall be preceded by a financing decision setting out the essential elements of the action involving expenditure and adopted by the institution or the authorities to which powers have been delegated by the institution.
- (2) In accordance with Article 110 of the Financial Regulation and Article 8(1) of the Health Programme, an annual work plan for the implementation of the Health Programme and selection, award and other criteria for financial contributions to the actions of the Programme have to be adopted.
- (3) According to Articles 4 and 6 of Decision 2004/858/EC, the Executive Agency for Health and Consumers carries out certain activities for the implementation of the Programme on public health and should receive the necessary appropriations for that purpose.

⁽¹⁾ OJ L 301, 20.11.2007, p. 3.

⁽²⁾ OJ L 248, 16.9.2002, p. 1.

⁽³⁾ OJ L 357, 31.12.2002, p. 1.

⁽⁴⁾ OJ L 369, 16.12.2004, p. 73.

- (4) The 2011 work plan being a sufficiently detailed framework in the meaning of Article 90(2) and (3) of the Implementing Rules, the present decision constitutes a financing decision for the expenditure provided in the work plan for grants, procurement and other actions.
- (5) Under Article 168(1) point (c) of the Implementing Rules, grants may be awarded without a call for proposals to bodies with a *de jure* or *de facto* monopoly and under Article 168(1) point (f) for actions with specific characteristics that require a particular type of body on account of its technical competence, its high degree of specialisation or its administrative power.
- (6) This Decision is also a financing decision for the expenditure in the context of indirect centralised or joint management chargeable to the EU budget.
- (7) Evidence of existence and proper operation of the elements listed in Article 56 of the Financial Regulation, within the entity to be entrusted by the Commission with the implementation of EU funds in indirect centralised management, has been obtained.
- (8) The present financing decision may also cover the payment of interest due for late payment on the basis of Articles 83 of the Financial Regulation and 106(5) of the Implementing Rules.
- (9) It is appropriate to define the terms 'substantial change' within the meaning of Article 90(4) of the Implementing Rules for the application of this Decision.
- (10) The measures provided for in this Decision are in accordance with the opinion of the Committee referred to in Article 10 of Decision No 1350/2007/EC,

HAS DECIDED AS FOLLOWS:

Article 1

The work plan 2011 for the implementation of the Health Programme, as set out in Annex I and related Annexes II, III, IV, V, VI, and VII on the selection, award and other criteria for financial contributions to the actions of the Health Programme, is hereby adopted. It constitutes a financing decision in the meaning of Article 75 of the Financial Regulation.

Article 2

The maximum contribution authorised by this Decision for the implementation of the Programme is set at EUR 49 751 348 to be financed from the following Budgetary Lines of the General Budget of the European Union for 2011:

- Budgetary Line 17 03 06 — EU action in the field of health: EUR 47 060 000,
- Budgetary Line 17 01 04 02 — Expenditure on administrative management: EUR 1 400 000.

and estimated additional contributions from the EFTA/EEA countries and Croatia for their participation in the Health Programme:

- EFTA/EEA countries: EUR 1 153 348,
- Croatia: EUR 138 000.

This brings up the total for budgetary line 17 03 06 to EUR 48 313 028 and the total for budgetary line 17 01 04 02 to EUR 1 438 320.

These appropriations may also cover interest due for late payment in accordance with Article 83 of the Financial Regulation.

The implementation of this Decision is subject to the availability of the appropriations foreseen in the draft budget for 2011 after the adoption of the budget for 2011 by the Budgetary Authority.

Article 3

The management system set up by the Executive Agency for Health and Consumers to be entrusted with the implementation of EU funds complies with the conditions for the delegation of tasks under indirect centralised management. The budget implementation of tasks related to project grants, operating grants, grants for joint actions, conference grants and direct grant agreements with international organisations and part of procurement can thus be entrusted to this entity.

The budget allocations necessary for the management of the Health Programme shall be delegated to the Executive Agency for Health and Consumers under the conditions and within the limits of the amounts laid down in the work plan in Annex I.

The operating subsidy entered in budget line 17 01 04 30 shall be paid to the Executive Agency for Health and Consumers.

Article 4

The budget implementation of tasks related to direct grants with international organisations can be entrusted to the following international organisations: Council of Europe (CoE), International Agency for Research on Cancer (IARC), Organisation for Economic Cooperation and Development (OECD) and World Health Organisation (WHO).

Article 5

Cumulated changes of the allocations to the specific actions not exceeding 20 % of the maximum contribution authorised by this Decision are not considered to be substantial provided that they do not significantly affect the nature and objective of the work plan. This may include the increase of the maximum contribution authorised by this Decision up to 20 %.

The authorising officer, in accordance with Article 59 of the Financial Regulation, may adopt such changes in accordance with the principles of sound financial management and of proportionality.

The Director-General for Health and Consumers shall ensure the overall implementation of this financing decision.

Article 6

Grants may be awarded without a call for proposals to bodies with *de jure* or *de facto* monopoly under Article 168(1) point (c) of the Implementing Rules and for actions with specific characteristics that require a particular type of body on account of its technical competence, its high degree of specialisation or its administrative power under Article 168(1) point (f), in accordance with the conditions detailed in the annexed work plan.

Done at Brussels, 22 February 2011.

For the Commission

John DALLI

Member of the Commission

ANNEX I

Work Plan 2011 for the second programme of Community action in the field of health (2008-13)

1. GENERAL CONTEXT

1.1. Policy and legal context

Article 168 of the Treaty on the Functioning of the European Union requires the EU to ensure that a high level of human health protection is part of all its policies. The European Union is to work with the Member States to improve public health, prevent human illness and eliminate sources of danger to physical and mental health.

To this end the European Commission put forward a new approach for EU health policy for the period 2008-13 in its White Paper Together for Health: A Strategic Approach for the EU 2008-13 (COM(2007) 630 final). This strategy provides an overarching framework which covers not only core European health issues but also broader aspects such as health in all policies and global health.

The second programme of Community action in the field of health (2008-13) (hereinafter referred to as the 'Health Programme' or 'Programme') supports the implementation of this strategy. It is based on Decision No 1350/2007/EC (hereinafter referred to as the 'Programme Decision').

The mission of the Health Programme is to complement, support and add value to the policies of the Member States. It also seeks to contribute to increased solidarity and prosperity in the European Union by protecting and promoting human health and safety and by improving public health. The Programme pursues the following objectives, as set in article 2.2 of the Programme Decision:

- (1) improving citizens' health security;
- (2) promoting health, including the reduction of health inequalities;
- (3) generating and disseminating health information and knowledge.

In Article 8(1) of the Programme Decision it is stated that the Commission shall adopt:

- (a) the annual Work Plan for the implementation of the Programme, setting out:
 - (i) priorities and actions to be undertaken, including the allocation of financial resources;
 - (ii) criteria for the percentage of Community financial contribution, including criteria for assessing whether or not exceptional utility applies;
 - (iii) the arrangements for implementing the joint strategies and actions referred to in Article 9;
- (b) selection, award and other criteria for financial contributions to the actions of the Programme in accordance with Article 4.

According to Article 75 of the Financial Regulation (FR) applicable to the general budget of the European Communities, the commitment of the expenditure should be preceded by a financing decision adopted by the institution or the authorities to which powers have been delegated by the institution. According to Article 90 of the detailed rules for the implementation of the Financial Regulation (IR), the decision adopting the annual work programme referred to in Article 110 of the FR, may be considered to be the financing decision provided that this constitutes a sufficiently detailed framework. This document aims to fulfil those obligations and present the different activities scheduled for 2011 which is the fourth year of the implementation of the Health Programme.

In addition to the Member States of the European Union, the Health Programme is open for the participation of third countries. EFTA/EEA countries Iceland, Liechtenstein and Norway participate in the Programme in accordance with the conditions established in the EEA agreement. Other third countries, in particular European neighbourhood policy countries, countries that are applying for, are candidates for, or are acceding to membership of the EU as well as the western Balkan countries included in the stabilisation and association process may participate in the Programme provided that the necessary agreements are in place. Out of these third countries Croatia has concluded these arrangements and participates in the Programme.

1.2. Resources

The Programme Decision sets a total budget of EUR 321 500 000 for the period 1 January 2008-31 December 2013. The budgetary authority has approved a total budget of EUR 48 460 000 [indicative amount, subject to the final adoption of the budget by the Budgetary Authorities] for 2011 for budget lines 17 03 06 and 17 01 04 02:

- EUR 47 060 000 for 17 03 06 — EU action in the field of health (operating budget),
- EUR 1 400 000 for 17 01 04 02 — Expenditure on administrative management (administrative budget).

Additional contributions from the EFTA/EEA countries and Croatia are estimated at EUR 1 153 348 from EFTA/EEA and EUR 138 000 from Croatia.

This brings up the total for budget line 17 03 06 to EUR 48 313 028 and the total for budget line 17 01 04 02 to EUR 1 438 320.

The amounts given in the following chapters are indicative. In accordance with Article 90(4) of IR, non-substantial variations in the order of +/- 20 % of each item are possible under each financing mechanism.

The budget line 17 01 04 02 — Expenditure on administrative management will be used to finance activities such as organisation of conferences, expert meetings and workshops, including seminars organised at national level among groups of experts to exchange best practices in the areas covered by this work plan. This budget line will also be used to cover publications and communication initiatives.

The Executive Agency for Health and Consumers (EAHC) assists the Commission in the implementation of this work plan according to Commission Decision C(2008) 4943 of 9 September 2008. The budget line for administrative appropriations related to EAHC is 17 01 04 30.

2. FINANCING MECHANISMS

The available appropriations under budget line 17 03 06 — EU action in the field of health will be used to award project grants, operating grants, grants for joint actions, conference grants and direct grants to international organisations as well as to cover procurement and other actions. All grants are covered by written agreement.

In accordance with recital 33 of the Programme Decision, collaboration with third countries not participating in the programme should be facilitated. However, these countries cannot receive any financial contributions under the Health Programme. Nevertheless, travel and subsistence expenses for experts invited from or travelling to such countries can be considered eligible costs in duly justified, exceptional cases, where this directly contributes to the objectives of the Programme.

2.1. Project grants

The total indicative amount for project grants is estimated at EUR 4 650 000. They are calculated on the basis of eligible costs incurred. The maximum rate for EU co-financing is 60 %. However, this may go up to 80 % in case a proposal meets the criteria for exceptional utility. Annex II contains the exclusion, eligibility, selection and award criteria for project grants. Annex VII contains the criteria for exceptional utility.

Only proposals which directly correspond to the topic and description as set out in this work plan and where 'project grant' is indicated as the financing mechanism will be considered for funding. Proposals which only address the wider subject area without matching the specific description of a given action will not be considered for funding. For each of the actions, only one proposal will be funded, except where it is mentioned otherwise.

The indicative timetable for publishing the call for proposals for project grants in the Official Journal is the first quarter of 2011.

2.2. Operating grants

The total indicative amount for operating grants is estimated at EUR 4 000 000. They are calculated on the basis of eligible costs incurred. The maximum rate for EU co-financing is 60 %. However, this may go up to 80 % in case a proposal meets the criteria for exceptional utility.

Operating grants may be awarded to the renewal of operating grants awarded to non-governmental bodies and specialised networks under the work plan for 2010. New operating grants may be awarded to non-governmental bodies and specialised networks active in areas corresponding to the priorities of the Health Programme and to the priorities of this work plan as set out below in point 3 Priorities for 2011.

As laid down in Article 4(2) of the Programme Decision, the renewal of financial contributions set out in paragraph 1(b) to non-governmental bodies and specialised networks may be exempted from the principle of gradual decrease. As a general rule, this exemption will apply to applicant organisations not receiving any of their funding from the private sector⁽¹⁾ or other conflicting interest for their functioning (core funding). For all other renewed operating grants, a decrease of 5 percentage points as compared to the Community co-financing percentage agreed in the grant agreement following the call for proposals 2010 will be applied. In any case, the amount of EU co-funding cannot be higher than the amount granted in 2010. Annex III contains the exclusion, eligibility, selection and award criteria for operating grants. Annex VII contains the criteria for exceptional utility.

⁽¹⁾ The term 'private sector' covers 'for-profit' companies/enterprises/corporations, business organisations or other entities irrespective of their legal nature (registered/not registered), ownership (wholly or partially privately owned/state owned) or size (large/small), if they are not controlled by the public.

The indicative timetable for publishing the call for proposals for operating grants in the Official Journal is the first quarter of 2011.

2.3. Grants for joint actions

The total indicative amount for joint actions is estimated at EUR 17 040 000. Joint actions enable the competent authorities of the Member States/other countries participating in the Health Programme and the European Commission to take forward work on jointly identified issues. Public bodies or non-governmental bodies based in a Member State or in other participating country which participates in a given joint action may participate in the joint action. However, they have to be expressly mandated to do so by the authorities of the Member State/other participating country concerned.

Grants for joint actions are calculated on the basis of eligible costs incurred. The maximum rate of EU co-financing is 50 %. However, this may go up to 70 % in cases of exceptional utility. The five joint actions proposed in this work plan significantly contribute to the objectives of the Europe 2020 Strategy set out in Commission Communication COM(2010) 2020 of 3 March 2010 on Europe 2020 — A strategy for smart, sustainable and inclusive growth. Therefore they are considered of exceptional utility. Four of these will be awarded co-funding of 60 % and one of 70 %. These joint actions are:

- support to the implementation of national plans/strategies on rare diseases and related measures to implement Council Recommendation and Commission Communication on rare diseases; maximum EU co-funding EUR 3 000 000, co-funding percentage 60 %,
- cross-border eHealth instruments as supporting tools for medical information and research; maximum EU co-funding EUR 2 400 000, co-funding percentage 60 %,
- complementary joint action on pilot HTA's on targeted health technologies; maximum EU co-funding EUR 6 600 000, co-funding percentage 70 %,
- patient safety and quality of healthcare; maximum EU co-funding EUR 3 600 000, co-funding percentage 60 %,
- assisting Member States in reaching the full potential of deceased and living donation; maximum EU co-funding EUR 1 440 000, co-funding percentage 60 %.

Annex IV contains the exclusion, eligibility, selection, and award criteria for joint actions.

Member States/other countries participating in the Health Programme which wish to participate in joint actions must declare this intention to the Commission. With the exception of NGOs operating at EU level, only organisations established in Member States/other countries participating in the Health Programme which have made this declaration can apply for participation in joint actions. The Commission, assisted by EAHC, will offer help to participating Member States/other countries participating in the Health Programme to ensure a transparent procedure to designate national NGOs to participate in joint actions.

The indicative timetable for publishing the call for proposals for joint actions in the Official Journal is the first quarter of 2011.

2.4. Conference grants

The total indicative amount for conferences is EUR 800 000: EUR 200 000 for Presidency conferences, and EUR 600 000 for other conferences. For administrative reasons, conferences eligible for co-funding, apart from Presidency conferences, must take place in 2012.

2.4.1. Presidency conferences – De jure monopoly

According to article 168(1) point (c) of the IR, grants can be allocated without a call for proposals to organisations in a *de jure* or *de facto* monopoly situation, duly substantiated in the award decision.

Presidency conferences which are highly political in nature and which involve representation at the highest level both from National Authorities and European representatives are to be organised exclusively by the Member State holding the Presidency of the EU. Given the unique role of the Presidency in the framework of EU activities, the Member State responsible for the organisation of the event is considered as having a *de jure* monopoly.

Two conferences organised by the Presidencies of the European Union, one for the Presidency in the second half of 2011 and the other for the Presidency in the first half of 2012, may receive up to EUR 100 000 each. The maximum rate of EU co-financing is 50 % of eligible costs incurred.

The Presidency shall submit a request for a grant to EAHC, via the Permanent Representation, for the conference concerned at least 4 months before the event. The request for a grant shall specify the topic of the conference, the draft programme, the provisional budget and the composition of the scientific and organisational committees.

The Presidency conferences to be financed under this work plan are: 'European Brain Policy Forum; Ageing, Stroke and Alzheimer — finding innovative solutions' to be held in November 2011 under the Polish Presidency, and a conference to be held in the first half of 2012 under the Danish Presidency which will be the object of a separate financing Decision once the details become known.

2.4.2. *Other conferences*

Conference grants may be awarded to the organisation of conferences which directly correspond to the priorities of the Health Programme and to the priorities of this work plan as set out below in point 3 Priorities for 2011 and which have a wide European dimension. They have to be organised by a public or non-profit making body which is established in a country participating in the Health Programme and which has relevant experience of cooperation at EU level. Conferences may receive up to EUR 100 000 (maximum 50 % of the total budget). Annex V contains the exclusion, eligibility, selection and award criteria for conferences other than Presidency conferences.

The indicative timetable for publishing the call for proposals for conferences in the Official Journal is the first quarter of 2011.

2.5. **Direct grant agreements with international organisations**

The total indicative amount for direct grants is estimated at EUR 3 200 000. These will be based on effective collaboration with the Commission.

For this work plan, an international organisation is defined as a form of intergovernmental cooperation established by states through the signature of an international agreement that is registered or submitted to be registered at the Secretariat of the United Nations, has a permanent organisational structure and is endowed with a legal status based on the relevant international agreement that enables the exercise of its functions and the fulfilment of its purpose.

According to Article 168(1) point (f) of the IR, funding for actions with international organisations will be allocated through grant agreements without a call for proposals on topics specifically identified in this work plan. International organisations and their national or regional offices are not eligible for funding as main or associated beneficiaries under any calls for proposals. The maximum rate for EU co-financing is 60 % of the eligible costs effectively incurred. In accordance with recital 33 of the Programme Decision, activities involving third countries not participating in the Health Programme shall not be considered eligible costs. However, travel and subsistence expenses for experts invited from or travelling to such countries can be considered eligible costs in duly justified, exceptional cases, where this directly contributes to the objectives of the Health Programme.

Funding can only be awarded to the following international organisations in 2011:

- Council of Europe (CoE),
- European Observatory on Health Policies and Health Systems,
- International Agency for Research on Cancer (IARC),
- Organisation for Economic Cooperation and Development (OECD),
- World Health Organisation (WHO).

2.6. **Procurement**

The total indicative amount for procurement is estimated at EUR 17 753 028.

Calls for tenders are envisaged to be published in the first semester of 2011 in the Official Journal. Framework contracts and new service contracts will be used as indicated in this work plan.

2.7. **Other actions**

The total indicative amount for other actions is estimated at EUR 870 000.

These cover contributions paid by the EU as subscriptions to bodies of which they are members in the meaning of Article 108(2) point (d) of the FR, and an administrative agreement with the Joint Research Centre (JRC) and special indemnities paid to experts for their participation in meetings and work on scientific opinions in accordance with Commission Decision 2008/721/EC⁽¹⁾: special indemnities.

⁽¹⁾ OJ L 241, 10.9.2008, p. 21.

3. PRIORITIES FOR 2011

In its Communication COM(2010) 2020, the European Commission presents a strategy for reinvigorating Europe in the next 10 years. Actions presented in this work plan are based in particular on two of the priorities of that strategy: Smart growth and Inclusive growth. They seek to address, among others, the challenge of promoting an active and healthy ageing population, and reducing health inequalities.

The Smart Growth priority builds on knowledge and innovation. Its flagship initiative Innovation Union seeks to focus policies to address the demographic change in the EU post the baby-boom generation. By 2050 the number of people over 50 will rise by 35 % and that over 85 will triple. This will place an increasing strain on health systems. In the *European Innovation Partnership in the field of active and healthy ageing* set out in Commission Communication COM(2010) 546 final of 6 October 2010 on Europe 2020 Flagship Initiative Innovation Union the Commission calls for measures to prevent and address diseases which affect older people with a particular focus on chronic and rare diseases. This work plan seeks to do so by addressing factors such as nutrition, tobacco and alcohol which underlie many of these age-related chronic diseases, and by taking work forward on cancer and rare diseases. EU cooperation on health technology assessment supports this objective. The work plan also supports work on the safety of blood, tissues, cells and organs which contributes to improving health across the lifecycle thereby contributing to healthy ageing.

Another Smart Growth flagship initiative, A Digital Agenda for Europe, seeks to deliver economic and social benefits from a Digital Single Market. This work plan contributes to this objective by supporting measures that apply information and communication technologies in the area of health.

The goal of the Inclusive growth priority of the Europe 2020 Strategy is a high employment economy which delivers economic, social and territorial cohesion. Ensuring a healthy workforce with less absenteeism can contribute to Europe's productivity. This work plan further aims to contribute to growth through action aimed at bridging health inequalities to ensure better health for all and better access to health care systems. In turn, this improves citizens' capacity to contribute to society and reduces poverty and social exclusion, thus contributing to the Flagship Initiative against poverty.

The work plan for 2011 focuses on five main areas. These are: Health Information and advice; Diseases; Health determinants; Health systems; and Legislation on products and substances.

Health information and advice

The work plan supports generating the data and scientific opinions that health stakeholders from policy makers to individuals need to be able to make informed decisions. However, generating the information is not enough. In order for it to be effective, it must reach its targets. This requires setting up efficient and user-friendly dissemination channels. These include in particular the setting up and running a knowledge management system.

Diseases

Work on diseases in the 2011 work plan focuses on cancer and rare diseases. Cancer is the second biggest cause of death of men and women. The aim of the Commission as set out in Commission Communication COM(2009) 291 final of 24 June 2009 on Action Against Cancer: European partnership is to reduce cancer incidence by 15 % by 2020. This work plan supports activities that are designed to help reach that goal. EU action on rare diseases pools fragmented resources across the Member States. This contributes to improved diagnostics and treatment. Commission Communication COM(2008) 679 final of 11 November 2008 on Rare diseases: Europe's challenges and Council Recommendation 2009/C 151/02 of 8 June 2009 on an action in the field of rare diseases⁽¹⁾ set the framework for activities supported by this work plan. Pandemic preparedness has become evermore important in the wake of recent avian flu and H1N1 crises. Work supported by this work plan focuses on applying lessons learnt from the H1N1 pandemic. This work plan also finances work on prevention strategies for HIV and co-infections.

Health determinants

Many of today's debilitating diseases, such as cancer and diabetes, have a direct link to what and how people eat and drink and what kind of lifestyles they have. Work on health determinants is essential in promoting health and thereby preventing disease, thus contributing to active and healthy ageing. This work plan supports activities on a number of key health determinants: social determinants and health inequalities; nutrition and physical activity; and alcohol and tobacco.

⁽¹⁾ OJ C 151, 3.7.2009, p. 7.

Health systems

Action under this heading aims at ensuring high-quality, safe and efficient cross-border healthcare. The use of new technology has a key role in making cross-border health care a success. This work plan supports work on patient safety, health technologies and their assessment as well as on health work force.

Legislation on products and substances

Activities with regard to the quality and safety of human substances support the implementation of Commission Communication COM(2008) 819 final of 8 December 2008 on an Action Plan on Organ Donation and Transplantation (2009 to 2015): Strengthened Cooperation between Member States and Directive 2002/98/EC of the European Parliament and of the Council of 27 January 2003 setting standards of quality and safety for the collection, testing, processing, storage and distribution of human blood and blood components and amending Directive 2001/83/EC ⁽¹⁾. The other two areas where this work plan finances work related to EU legislation is tobacco and medicinal products.

In addition to actions in the above areas, funding is provided for the organisation of conferences focusing on the above priorities and to organisations active in the area of health in the above areas. The work plan also finances horizontal measures which support the implementation of the Health Programme.

The second Health Programme aims to promote synergies with other Community Programmes active in the field of health, notably the 7th Research Framework Programme under its Health Theme. Proposals submitted under the second Health Programme should not contain significant elements which relate to research. Efforts will be made to avoid overlap and duplication between the second Health Programme, FP7 and other Community programmes. Where appropriate, actions will be implemented with close regard to other policy areas, notably information society.

3.1. Actions under the first objective 'Improve citizens' health security'

Actions under this section aim to improve citizens' health security by protecting them against health threats and by improving their safety.

3.1.1. *Protect citizens against health threats (Point 1.1.1 in Annex to the Health Programme)*

3.1.1.1. Project on multi-sectoral preparedness and health-security: public health preparedness and response planning in the field of pandemic influenza and other serious cross-border health threats, including bio-threats.

This action will study preparedness and response planning at European level for pandemic influenza preparedness and other serious cross-border health threats. It will support the Council Conclusions of 13 September 2010 on lessons learnt from the A/H1N1 pandemic and health security. Monitoring of progress in Member States will be a key element of the measures proposed under this action. The potential benefits of lessons learnt and tools developed for pandemic preparedness for other health emergencies should be explored as well as the experiences gained from multi sectoral work (e.g. the One-Health approach). The action seeks to (a) raise awareness of the need to strengthen robust, continued and coordinated functioning of sectors beyond the health sector; (b) support Member States in planning for enhanced and robust functioning of crucial sectors in society in a pandemic based on best practice exchange; and (c) provide guidelines for preparedness for other health emergencies, in particular caused by biological and/or chemical threats based on pandemic influenza preparedness; and (d) assist in developing an effective information forum on best practices in counteracting bio-threats by the existing European networks, including on the safety of laboratories and responders.

This action should establish an inventory of existing structures, procedures and mechanisms that Member States have already put in place to enhance coordinated functioning of sectors in the event of a pandemic and any other type of major cross-border health threat; identify criteria for the selection of prioritised sectors of critical importance; identify best practice; identify gaps that still exist in response capacities and provide advice and recommendations for further measures to enhance preparedness and response planning to health threats. The action should encourage Member States to share their experiences and propose models for peer learning exchanges. A monitoring tool to assess and evaluate progress made in preparedness and response planning for both pandemic influenza and other health threats (generic preparedness) has also to be provided.

[Project grant]

Indicative amount: EUR 500 000

⁽¹⁾ OJ L 33, 8.2.2003, p. 30.

3.1.1.2. Project on crisis communication in the area of risk management

This action will support the implementation of improved communication to the public during a major health emergency and build on the lessons learnt from the response to the H1N1 pandemic that has been reviewed by the Belgian Presidency conference held in July 2010. Monitoring of progress in Member States related to communication whilst managing a crisis will be a key element of the measure. The potential benefit of lessons learnt and tools developed for pandemic preparedness for other health emergencies should be explored as well as the experiences gained from multi sectoral work (e.g. the One-Health approach). The action covers crisis communication in the area of risk management with key stakeholders, in particular health professionals/healthcare workers and with the general public and specific target groups. The objectives of the action are to seek support from key stakeholders at EU level, in particular health professionals/healthcare workers organisations and social partners in developing and delivering coherent messages to the public; to enhance public confidence in medical interventions for pandemic preparedness (e.g. prevention methods, vaccines); and to provide guidance for crisis communication related to other health threats based on experience with pandemic preparedness.

The action should identify key stakeholders at EU level, in particular health professionals/healthcare workers' organisations, social partners and Member State authorities, and use results of evaluations and reports on H1N1 pandemic to analyse reasons for different reactions in the public to measures taken to control H1N1, particularly vaccination measures, and suggest strategies and actions to enhance public confidence in medical interventions for pandemic preparedness and response (e.g. prevention methods, vaccines); create partnerships with key stakeholders' organisations to prepare for and improve public communication in a health crisis; develop guidelines for crisis communication at EU level related to other health threats based on experience with pandemic preparedness and organise exercises and training with the EU Health Security Committee and Communicators Network; develop a common communication system during crisis and strengthen common communication capacities in preparation for a pandemic; develop tools and mechanisms for monitoring the impact in real time of public health messages; and create an implementation report including guidance for crisis communication that can also be transferred to other health emergencies.

[Project grant]

Indicative amount: EUR 300 000

3.1.1.3. Study on the environmental risks of medicinal products

This action is intended to provide the Commission with an assessment of the environmental risks of medicinal products and the impact on public health. This assessment could moreover be used in a Commission report on this topic as proposed in the first reading agreement on a Commission proposal to amend pharmaceutical legislation in the area of pharmacovigilance⁽¹⁾. The objectives of the action are to examine the scale of the problem of the pollution of waters and soils with pharmaceuticals and their residues, to assess the scale of the impacts of that pollution on the environment and public health, to identify the causes of the problem, and to make recommendations. This should result in a thorough assessment enabling the Commission to consider any necessary action in this area and contributing to the above mentioned report. In particular, the study should allow the collection of data from a broad range of sources (pharmaceutical competent authorities, environmental competent authorities, economic operators and other stakeholders) in order to provide the Commission with a detailed analysis of the situation on the ground. The study should be completed in 2012.

[Existing framework contract]

3.1.1.4. HIV and co-infections prevention strategies — concepts for the future

The objective of this action is the implementation of Commission Communication COM(2009) 569 final of 26 October 2009 on Combating HIV/AIDS in the European Union and neighbouring countries, 2009-13. It seeks to develop novel and integrated HIV and associated infections prevention strategies focusing on the needs of eastern European neighbourhood countries with high HIV/AIDS prevalence; to provide support for the implementation of these prevention strategies in these priority regions; and help disseminate and promote them.

The action should cover a detailed analysis of the parameters to be included in tailor-made HIV prevention strategies with a particular focus on medical, social and political aspects; an assessment of the benefit of effective and integrated HIV and associated infections prevention policies, in combination with tailor-made recommendations for efficient procurement of HIV medicines; and a set of evidence based prevention strategies for HIV and co-infections transmission with a particular focus on the needs of priority regions and priority groups mostly affected by HIV and associated infections. The action

⁽¹⁾ Directive of the European Parliament and of the Council amending, as regards pharmacovigilance, Directive 2001/83/EC. See amendment of Article 59(3) of Directive 2001/83/EC.

should produce a guide on efficient and integrated HIV (and associated infections) prevention strategies for implementation in priority regions with a particular focus on priority groups mostly affected by HIV and associated infections (as set out in COM(2009) 569 final).

[Call for tenders]

3.1.2. *Improve citizens' safety — Scientific advice (Point 1.2.1 in Annex to the Health Programme)*

3.1.2.1. Special indemnities to Scientific Committees

This objective of this action is to provide the Commission with high quality, independent advice on health risks by ensuring the functioning of Scientific Committees in accordance with Decision 2008/721/EC. The special indemnities are paid to experts for their work on scientific opinions.

[Other actions]

Indicative amount EUR 270 000

3.1.2.2. Technical and organisational assistance for the functioning of the Scientific Committees and communication on risks

The objective of this action is related to the task of providing the Commission with high quality, independent advice on consumer and public health risks by operating three independent Scientific Committees. The Committees deliver scientific opinions on request of the Commission in order to provide the independent and authoritative scientific elements needed by the Commission for establishing science-based policies and proposals.

The functioning of the Scientific Committees requires technical support by qualified bodies. This support includes the search, analysis and synthesis of scientific literature, preparation of summaries, data search, establishment of bibliography of topics addressed by the Committees, revision of texts for completeness and consistency. As part of the transparency and communication policy on scientific advice set up by Decision 2008/721/EC, and in order to increase the part of science in EU policy debate and inform citizens on risk matters, layman versions of the opinions of broadest interest for the public are prepared within the framework of this action. This action also covers the organisation of scientific hearings and scientific working meetings or thematic workshops related to the preparation of certain opinions.

[Existing framework contract]

3.1.3. *Improve citizens' safety — Safety of blood, tissues, cells and organs (Point 1.2.2 in Annex to the Health Programme)*

3.1.3.1. Ad hoc cooperation with the Council of Europe on specific matters relating to substances of human origin

The Council of Europe and its Directorate for the Quality of Medicines and HealthCare (EDQM) is a key European organisation involved in the harmonisation and coordination of standardisation, regulation and quality control of medicines, blood transfusion, organ transplantation, pharmaceuticals and pharmaceutical care. It is regarded as an expert, trustworthy and neutral organisation within the field of substances of human origin, providing continuous expert advice and support to the Commission.

In order to promote and protect human health, the Commission cooperates on an ongoing basis with the Council of Europe on quality standards for collection/procurement, testing, processing, preservation, storage and distribution of blood and blood components. The Council of Europe assists the Commission in implementing Directive 2002/98/EC and subsequent implementing directives). Specific topics are identified yearly depending on scientific and technical needs. For 2011 this covers consistent testing methods to ensure blood safety across the Member States. This action will support the development and use of validated testing methods through proficiency testing. The proficiency testing would involve laboratories of all 27 Member States, by performing double blind preparation and distribution of samples.

[Direct grant to CoE]

Indicative amount: EUR 100 000

3.1.3.2. Organisation of training sessions for inspectors in the field of blood and blood components

As set out in Article 8 of Directive 2002/98/EC, all Member States shall ensure that the competent authority organise inspections and appropriate control measures in blood establishments to ensure that the requirements of the Directive are met. The objective of this action is to organise training sessions in the field of blood and blood components for a defined number of inspectors. The action seeks to achieve a uniform knowledge and way of undertaking inspections across the EU, and increase the numbers of trained professionals in this field.

In line with Directive 2002/98/EC, such training sessions will contribute to ensuring the quality and safety of blood and blood components in the EU. Moreover, the alignment of inspection practices will improve mutual trust and stimulate collaboration among Member States. The action is in accordance with the Health Strategy objectives of fostering good health in an ageing Europe and supporting dynamic health systems and technologies. Further training of inspectors of blood establishments will positively impact the quality and safety of blood and blood components, benefiting patients all across the EU. The duration of the action will be 18 to 24 months. At least two inspectors per Member State will be trained. This will produce a multiplying effect, as these trained inspectors are expected to train more national inspectors within their own Member State. The training tools and materials produced will be reused at national level. A final evaluation will include measurement of the outcomes of the action and of the multiplication effect.

[Call for tenders]

3.1.3.3. Assisting Member States in reaching the full potential of deceased and living organ donation

Article 15 of Directive 2010/53/EU of the European Parliament and of the Council of 7 July 2010 on standards of quality and safety of human organs intended for transplantation⁽¹⁾ requires Member States to ensure that a register or record is kept for living donors. This joint action seeks to support Member States in setting up and running living donation programmes through the development of guidelines for living donor registries/record systems; the development of registries/record systems for living donation; and the provision to the Member States of a practical tool for registries/record systems. A well-developed registry/record system for living donations is not only key to assessing the health and safety of living donors, but also to combating organ trafficking as it allows Member States to closely monitor and evaluate the practice of living donation within the EU and across borders.

In accordance with Directive 2010/53/EU and Communication (COM)2008 819 final, this joint action seeks to support the Member States in reaching the full potential of deceased organ donation by strengthening the relationship between intensive care units and transplant donor coordinators; providing Member States with a training module for better coordination; facilitating the identification of potential organ donors; and increasing the number of available organs across Europe.

The joint action also seeks to enhance the efficiency and accessibility of organ transplantation systems by the twinning of transplantation systems and peer reviews.

The action will facilitate consistent implementation of Directive 2010/53/EU within the 27 Member States; provide concrete assistance to Member States in meeting the objectives of the Action Plan; enhance cooperation between Member States in the field of organ donation and transplantation through twinning; and contribute to reaching the full potential of deceased donation by making donor detection more efficient and to enhanced safety for living organ donors across the EU.

[Joint action]

Indicative amount: EUR 1 440 000

3.1.3.4. Supporting registers for the European single coding system for human tissues and cells

The objective of this action is to set up and maintain (a) a European register that will aggregate the information contained in the national registers of tissue establishments in a suitable format to ensure access to operators and the public, and proper use in the context of the European Coding System for tissues and cells; and to set up and maintain (b) a second European register with reference nomenclature of human tissues and cells for use in the European Coding System for tissues and cells in accordance with Commission Directive 2006/86/EC of 24 October 2006 implementing Directive 2004/23/EC of the European Parliament and of the Council as regards traceability requirements, notification of serious adverse reactions and events and certain technical requirements for the coding, processing, preservation, storage and distribution of human tissues and cells⁽²⁾ and Directive 2004/23/EC of the European Parliament and of the Council of 31 March 2004 on setting standards of quality and safety for the donation, procurement, testing, processing, preservation, storage and distribution of human tissues and cells⁽³⁾.

The action seeks to set up (a) a single access point for collecting, consolidating and making available information related to the EU tissue establishments such as coordinates, contact details and authorised activities to users and to the public. The initial set up and maintenance of the register will require significant work bringing together Member States, stakeholders and the Commission. The action seeks also to set up (b) a single access point with jointly agreed definitions and descriptions of various types for human tissues and cells. Consensus building discussions on definitions and the set-up/maintenance of the nomenclature register will require significant work bringing together Member States, stakeholders and the Commission.

⁽¹⁾ OJ L 207, 6.8.2010, p. 14.

⁽²⁾ OJ L 294, 25.10.2006, p. 32.

⁽³⁾ OJ L 102, 7.4.2004, p. 48.

These two registers will be pivotal in ensuring the proper functioning of the European coding system for human tissues and cells. The European register of tissue establishments will help Member States and the Commission to meet their obligations stemming from Directive 2004/23/EC. This action will contribute to ensuring the quality and safety of tissues and cells in the EU.

[Call for tenders]

3.1.4. *Improve citizens' safety — Improving patient safety through high-quality and safe healthcare (Point 1.2.3 in Annex to the Health Programme)*

3.1.4.1. Patient safety and quality of healthcare

This action seeks to contribute to the provision of safe and high quality healthcare for all EU citizens. It contributes to the implementation of (1) Council Recommendation 2009/C 151/01 of 9 June 2009 on patient safety, including the prevention and control of healthcare associated infections, in particular with regard to gathering and sharing comparable data and information on patient safety outcomes; sharing knowledge, experience and best practice on patient safety strategies; and sharing knowledge on the effectiveness of patient safety interventions and the evaluation of their transferability as well as the (2) Agreement in the Working Party on Public Health at Senior Level to enhance collaboration between Member States and the Commission on healthcare quality and (3) to help Member States exchange good practice in the field of patient involvement.

The action should result in a sustainable, strengthened collaborative network of Member States in patient safety and quality of health care; an agreed set of terminology/categories of patient safety topics, adverse events and contributing factors; an interactive platform (e.g. website) of sharing good practices on patient safety solutions, quality assurance systems and patient involvement; the implementation of selected good practices in a limited number of health care settings in Member States and evaluation by means of related patient safety indicators and quality indicators; a complete, comprehensive and accessible database of safety and quality systems in place in the EU with information about their transferability within the EU; and a EU guide on evaluation of quality and safety assurance systems, focusing on specified aspects, such as objectives, organisation, transparency and patient involvement.

[Joint action]

Indicative amount: EUR 3 600 000

3.2. **Actions under the second objective 'Promote health'**

Actions under this section aim to foster healthier ways of life and reduce health inequalities, as well as to promote healthier ways of life and reduce major diseases by tackling health determinants.

3.2.1. *Identifying the causes of, addressing and reducing health inequalities and promoting investment in health in cooperation with other EU policies and funds (Point 2.1.2 in Annex to the Health Programme)*

3.2.1.1. Reducing health inequalities: preparation for action plans and structural funds projects

The objective of this action is to assist Member States to develop action plans on reducing health inequalities, which would also support them in the context of the structural funds activities in the next programming period beginning in 2013. The action contributes towards the implementation of Commission Communication COM(2009) 567 final of 20 October 2009 on Solidarity in health: reducing health inequalities in the EU which sets out the Commission's intention to '... review the possibilities to assist Member States to make better use of EU Cohesion policy and structural funds to support activities to address factors contributing to health inequalities.' The activity will prioritise those Member States and regions where premature mortality exceeds the EU average by 20 per cent (defined by under 65 years standardised mortality rates).

The activities should include an analysis of health inequalities and preparation of outline actions to reduce health inequalities within and between regions or sub regions; information exchange and sharing of good practice between Member States and regions in relation to action to tackle health inequalities and the development of plans to address inequalities in (a) access to health care and health prevention services, with special attention to vulnerable groups and communities and underserved regions, (b) causes of health inequalities relating to health related behaviours and (c) causes of health inequalities related to living and working conditions, including access to basic needs such as water and sanitation.

The action should produce analyses of needs and costed plans to meet needs with the aim of reducing health inequalities in relation to access to health care, health related behaviours and living and working conditions; integration of outputs into the overall processes for use of the structural funds; and a synthesis report analysing good practice at EU level with case studies from participating regions and Member States. This action should also support Member States and regions in developing integrated approaches to health inequalities as part of overall programmes for economic and social development supported by the structural funds; and underpin efforts to overcome regional and socioeconomic inequalities in health.

[Project grant]

Indicative amount: EUR 1 200 000

3.2.1.2. European Review of Social Determinants and the Health Divide: collaboration with WHO to produce policy guidelines and tools for addressing health inequalities

The objective of this action is to contribute to the implementation of Communication COM(2009) 567 final and to take forward the close collaboration between WHO and the European Commission in developing initiatives to address health inequalities. This contribution is essential to facilitate synergies in information collection and interaction with Member States on this issue and strengthen coherence in health inequalities policy approach between WHO and the EU. This direct grant for the World Health Organisation Regional Office for Europe would support work on the 'European Review on Social Determinants and the Health Divide' (European Marmot Review) and the development of policy guidelines and tools for addressing health inequalities in Europe. The grant will contribute to the second and third phases of the work begun by WHO EURO to follow up the WHO Global report on social determinants of health entitled 'Closing the Gap in a Generation'. The action will produce policy guidelines on action on health inequalities linked to the 'European Review on Social Determinants and the Health Divide'; and develop tools for collecting and disseminating statistical information on health inequalities. It will also cover dissemination activities.

[Direct grant to WHO]

Indicative amount: EUR 400 000

3.2.2. *Addressing health determinants to promote and improve physical and mental health and taking action on key factors such as nutrition and physical activity, tobacco, and alcohol (Point 2.2.1 in Annex to the Health Programme)*

3.2.2.1. Monitoring the implementation of the European Strategy for Nutrition and Physical Activity jointly with WHO

The aim of this action is to further develop a solid EU information and reporting system capable of describing the progress in the 2007-13 Strategy for Europe on Nutrition, Overweight and Obesity related health issues and to illustrate a good practice system relying on a WHO led network of 27 National Focal Points. This work was launched by a previous direct grant to the WHO. This action will provide information regarding the level of implementation of the European Strategy in all Member States against the 2007 and 2009 benchmarks for 2011 and 2013 at the end of the strategy; animate and provide assistance to a EU27 National Focal Points network in close collaboration with the EU High Level Group on Nutrition and Physical Activity and relevant Commission services; maintain a comprehensive database on Member States and EU policy developments and activities; and ensure exchange of information and good practice between the 27 Member States. The action will further produce an annual update of the public database developed in the first period for the 27 Member States (2007 to 2010); reports on the implementation of the Strategy by Member States and contribution to the Commission evaluation report of the strategy; and a consolidation of the WHO nutrition and physical activity Focal Points network with capacity building development in data gathering and steering of the network.

The action will contribute to producing sound information on the efforts of the EU Member States to counter ill health due to poor nutrition, overweight and obesity. The information gathered over the 6 years considered will serve as a base for the evaluation of that strategy in 2013.

[Direct grant to WHO]

Indicative amount: EUR 700 000

3.2.2.2. Communication campaign on tobacco prevention

The objective of this action is support for Europe-wide smoking cessation activities in the form of an anti-tobacco campaign. This anti-tobacco campaign invites citizens to reflect about smoking, encourage cessation and make clear that support to stop smoking is available. The campaign focuses primarily on young adults between 25-34 years of age. Particular attention will be given to disadvantaged groups and groups with higher smoking prevalence. The themes and the scale of various actions will take into account particular situations of individual Member States. Specific actions will be developed and implemented as appropriate in cooperation with Member States' health authorities in order to secure coordination and synergies with tobacco cessations efforts undertaken within Member States. The campaign will have a distinct EU identity. This communication campaign will contribute to building knowledge and changing attitudes and behaviour in support of a tobacco free society.

[Call for tenders]

3.2.2.3. Study on the tobacco industry's new marketing, sales and product strategies

The objective of this action is to get a comprehensive overview on the tobacco industry's activities in the EU in order to equip tobacco control bodies with the knowledge to adapt to changes and trends, effectively address obstacles, anticipate new strategies and where necessary, apply restructuring, and thereby increase the efficacy of tobacco control activities. This action seeks to identify changes in the tobacco industry's marketing, sales and product strategies since the adoption of Directive 2001/37/EC of the European Parliament and of the Council of 5 June 2001 on the approximation of the laws, regulations and administrative provisions of the Member States concerning the manufacture, presentation and sale of tobacco products ⁽¹⁾, Directive 2003/33/EC of the European Parliament and of the Council of 26 May 2003 on the approximation of the laws, regulations and administrative provisions of the Member States relating to the advertising and sponsorship of tobacco products ⁽²⁾, Council Recommendation of 2 December 2002 on the prevention of smoking and on initiatives to improve tobacco control and the WHO Framework Convention on Tobacco Control in 2005 ⁽³⁾; and to identify how these strategies address differences in age, gender, income, education and place of living, taking into account differences between Member States as well as rural and urban areas.

This action will produce an analysis of changes in the tobacco industry's marketing, sales and product strategies; and a set of recommendations for action to tackle them.

[Existing framework contract/Call for tenders]

3.2.2.4. Administrative agreement with the Joint Research Centre for the provision of scientific policy support for the implementation of the Tobacco Products Directive and FCTC

The objective of this action is the provision of neutral scientific support for the implementation of Directive 2001/37/EC and Framework Convention of Tobacco Control (FCTC). This action should support the Commission in its role as Key Facilitator for the development of the Framework Convention on Tobacco Control; develop guidelines for testing and measuring tobacco products; support work on the effective functioning of the European Governmental Tobacco Laboratories Network; support work on testing and measuring of contents and emissions of tobacco products; and deliver an analysis of ingredients data.

[Other actions]

Indicative amount: EUR 100 000

3.2.2.5. Good practice on brief interventions to address alcohol use disorders in primary health care, workplace health services, emergency care and social services

The objective of the action is to identify and systematise good practice on brief interventions to address alcohol use disorders in primary health care, workplace health services, emergency care and social services; tailor and field-test tools, methods and materials for each of these contexts for early identification, brief interventions and referral to treatment; and make a start in further dissemination and adaptation of tailored brief intervention approaches across the EU. The work should build on existing evidence of effectiveness and experience of the implementation of brief interventions in primary health care. Special attention should be given to involving actors in Member States with lower levels of experience of the deployment of brief interventions and to opportunities for fostering cooperation between health and social services. The action should result in sets of brief intervention tools, methods and materials tailored to and evaluated in specific

⁽¹⁾ OJ L 194, 18.7.2001, p. 26.

⁽²⁾ OJ L 152, 20.6.2003, p. 16.

⁽³⁾ <http://whqlibdoc.who.int/publications/2003/9241591013.pdf>

contexts, in guidelines for developing and rolling out tailored brief intervention approaches in further countries, and in a concrete plan for dissemination across the EU. This will provide widened opportunities to deploy targeted interventions to address alcohol use disorders at an early stage in a manner to prevent the development of more serious and costly adverse consequences.

[Project grant]

Indicative amount: EUR 350 000

3.2.2.6. Evaluating the structures put in place to implement the EU Alcohol Strategy

The objective of this action is to evaluate the EU Alcohol Strategy, including an evaluation of the EU Alcohol and Health Forum, and of actions and structures to support Member States, such as the Committee on National Alcohol Policy and Action (CNAPA), and work at EU level to develop common knowledge base and best practice. Updating the knowledge base and evaluating the structures for strategy implementation will contribute to the overall assessment of the value of the EU's action to tackle alcohol related harm.

[Existing framework contract]

3.2.2.7. Scientific and technical support to the implementation of EU policies in the field of nutrition, alcohol and Health Forum activities

The objective of this action is the provision of scientific and technical support to the implementation of EU policies in the field of nutrition and alcohol as well as to the implementation of the activities of the European Health Forum.

With regard to nutrition, this action seeks to support the activities linked to the implementation of the Strategy for Europe on Nutrition, Overweight and Obesity related health issues, and in particular the work of the European Platform for Action 'Diet, Physical Activity and Health' and of the High Level Group on Nutrition and Physical Activity. This action covers the development of scientific summaries and analyses of key areas of the strategy, such as overweight- and obesity-related illnesses, factors influencing nutrition choices, consumer information, product reformulation, advertising; infra structures and healthy lifestyles. With regard to alcohol, scientific support is required to the implementation of the Commission's activities in the field of alcohol related harm. This covers support the implementation of the EU Alcohol Strategy through compilations, reviews and analyses of the knowledge base available to inform the development of further action and policy. With regard to the European Health Forum, this action seeks to assist the Commission in implementing the activities of the European Health Forum. This includes organising and supporting the activities of the 'EU Health Policy Forum' and of the 'Open Forum', including the related scientific and technical work.

[Existing framework contract]

3.2.3. *Prevention of major and rare diseases (Point 2.2.2 in Annex to the Health Programme)*

3.2.3.1. Support to actions in line with the Commission Communication on Action against Cancer: European Partnership

The joint action 'European Partnership for Action against Cancer' launched under the call for proposals 2010 is the starting point for action in support of the European Partnership. As the collaboration develops, new needs will emerge in addition to actions identified in Communication COM(2009) 291 final but which are not covered by the above joint action. The objective of this action is to provide additional support to the European Partnership according to the needs arising in the identified areas. The focus is health promotion and cancer prevention in relation to environmental factors and cancer. The aim is to identify relevant environmental factors and demonstrate if, how and which environmental factors are specifically addressed in relation to cancer by Member States' policies. The examples of best practices existing in Member States in addressing environmental causes of cancer should lead to demonstration and proposition how a comprehensive cancer plan or strategy could best include this aspect.

[Project grant]

Indicative amount: EUR 300 000

3.2.3.2. Scientific and technical support to the European Partnership for Action against Cancer and follow-up of the implementation of the Council Recommendation on Cancer Screening

The objective of this direct grant to the International Agency for Research on Cancer (IARC) is to provide high-quality scientific and technical support to the European Partnership for Action against Cancer. IARC coordinates and conducts research on the causes of human cancer, the mechanisms of carcinogenesis, and to develop scientific strategies for cancer prevention and control. IARC is the only organisation of its kind in the area of cancer, and it provides high-quality scientific support and technical knowledge on cancer which is essential for the effective implementation of the European Partnership for Action against Cancer.

The action ensures the necessary follow-up/up-date of earlier results (e.g.: European Code against Cancer, European Guidelines in the area of cancer screening) and feeds in to the aims of the European Partnership for Action against Cancer in the area of information on cancer burden. The activities are directly linked to the responsibilities of the Commission deriving from the Council Recommendation of 2 December 2003 on cancer screening or from requests of the EP (European Parliament resolution of 10 April 2008 on combating cancer in the enlarged European Union) and Council (Council Conclusions of 10 June 2008 on reducing the burden of cancer).

This action covers the preparation of the revised European Code against Cancer; an assessment of the implementation of the European guidelines on quality assurance in cancer screening in the context of the implementation of the Council recommendation; and Information on cancer burden to feed in directly to the aims of the European Partnership for Action Against Cancer in this area.

[Direct grant to IARC]

Indicative amount: EUR 1 300 000

3.2.3.3. Support to European rare diseases information networks

The objective of this action is to provide support to the different European Rare Diseases Information Networks as mentioned in point 4.4 of Communication COM(2008) 679 final, and in the Council Recommendation of 8 June 2009 on an action in the field of rare diseases.

This action contributes to meeting the priorities established in the Commission Communication and in the Council Recommendation and to the direct benefit obtained by patients from the creation of the existing pilot European Reference Networks, European registers of rare diseases or other forms of rare diseases information networks. This action should allow to fund more than one network.

[Project grants]

Indicative amount: EUR 1 500 000

3.2.3.4. Support to the implementation of the Council Recommendation and the Commission Communication on Rare Diseases

Council Recommendation of 8 June 2009 on an action in the field of rare diseases calls Member States to adopt national action plans on rare diseases before end 2013, and most Member States still require support in doing so. This action will build on the European Project for Rare Diseases National Plans Development (EUROPLAN) and on the Joint Action on Scientific support to the Rare Disease Task Force. It will provide the necessary EU support for developing and implementing national plans for rare diseases in the 18 remaining Member States as well as provide technical support to EFTA/EEA and other non-EU Countries, as set out in the above Council Recommendation and Communication COM(2008) 679 final.

The procedures for accreditation and designation of the European Reference Networks for rare diseases should be agreed with Member States and should be part of National Plans for Rare Diseases. This will be an innovative action that gives continuity and a new technical and political framework to the projects on European Reference Networks for Rare Diseases supported by EU funding between 2006 and 2009. This action will also provide the scientific support to the new European Union Committee of Experts on Rare Diseases as established in Commission Decision 2009/872/EC of 30 November 2009 establishing a European Union Committee of Experts on rare Diseases⁽¹⁾. This covers in particular support for the Implementation Report of the above Council Recommendation and Commission Communication; the organisation of working groups and workshops to support activity of the Committee and to guarantee adequate technical involvement of stakeholders. The joint action will also contribute to the standardisation of nomenclatures at international level to ensure the visibility of rare diseases in health information systems, to promote quality management of diagnosis laboratories and to clarify the concepts around rarity used to define areas for action (respective value of incidence and prevalence by area for action).

[Joint action]

Indicative amount: EUR 3 000 000

3.3. Actions under the third objective 'Generate and disseminate health information and knowledge'

Actions under this objective aim to foster exchange knowledge and best practice on health issues and collect, analyse and disseminate health information.

⁽¹⁾ OJ L 315, 2.12.2009, p. 18.

3.3.1. *European Health Information System (Point 3.2.1 in Annex to the Health Programme)*

3.3.1.1. Support creation of pilot network of hospitals related to payment of care for cross border patients

The objective of this action is the setting up of a network which will investigate hospitals which are receiving a significant number of patients from other Member States, with more than a third of members being hospitals located in cross border regions. Hospitals will report and exchange information on any administrative issues related to payment of care for cross border patients, including issues related to determination of tariffs for care, potential loss of revenue for the hospitals, possible use of up-front payments and delays in reimbursement to the hospitals. The network will assess main causes of problems and propose possible solutions. The network will also set up a system to receive feedback from patients on their experience related to reimbursement of their own costs for cross border care, based on informed consent. Finally, the network will compare DRG-based tariffs for a list of common types of elective surgery and propose conclusions on general cost levels between Member States and discrepancies between relative cost levels.

[Project grant]

Indicative amount: EUR 500 000

3.3.1.2. Pooling of experts on health systems

The objective of this action is to provide technical and policy advice to the Commission and the Member States on the economic efficiency of health systems at national level. This covers (1) The design of 'policy matrices', identifying policy domains in health systems varying by relevant dimensions and looking to provide analysis around these; (2) The identification and recruitment of experts per Member State and per identified policy domain and the identification of and association with institutional partners (European Observatory on Health Policies and Health Systems, World Bank, the European Health Management Association, European Investment Bank, etc.) i.e. the establishment of an 'expert pool'; (3) The design of a long term governance model for structures to bring together and provide expertise at European and national level on health systems; taking into account the outcomes from proposed action under point 3.3.1.8 and (4) The development of the 'expert pool', governance model or other structure through a pilot study.

[Call for tenders/Direct grant to the European Observatory]

3.3.1.3. Complementary joint action on pilot HTA's on targeted health technologies

This action seeks to complement the joint action on health technology assessment (HTA) 2010-12 through the carrying out of a significant number of pilot HTA's; with a focus on piloting and implementing the developed models and tools to support collaborative production of core HTA information, with reinforced secretariat and coordination, further development of production-related ICT infrastructure, and increase of HTA capacities. This action covers production of transferable core HTA information at the European level which facilitates the work done at national level, in line with the HTA core model developed by the EUnetHTA (European Network for Health Technology Assessment) Project and the joint action 2010-12. This includes simultaneous collaborative production of structured core HTA information at European level, i.e. facilitation of (a) specific collaborations between joint action partners on shared topics for HTA and (b); testing of the capacity of national HTA bodies to conduct single rapid HTA's together (including collection of data on the costs and efficiency gains of both production models ((a) and (b)); testing of the capacities to produce structured core HTA information across technologies (pharmaceuticals, medical devices, interventions); analysing various coordination capacities for the permanent secretariat function of the European network for HTA (such as hosting of the secretariat by Member States, by an EU institution); further testing of the involvement of stakeholders in network activities, this involvement taking place by means of leading an exchange of views as deemed appropriate by the members, and the involvement of academic researchers in the process of producing core HTA information; and support the development of stakeholders' capacities in HTA, notably patients and health professional organisations.

The action should increase the number of HTA's produced at the national level with the facilitation by the European coordinating mechanism; produce recommendations on the design and running of the EU HTA cooperation process; and facilitate an increase in the stakeholders' capacities in HTA enabling their appropriate contribution to the HTA process. The results should be published as scientific, openly accessible literature. The action should result in a better understanding for the Commission and Member States to consider the best way to establish a sustainable structure for HTA work in the EU. The results contribute to objective 3 of the EU Health Strategy 2008-13.

[Joint action]

Indicative amount: EUR 6 600 000

3.3.1.4. Cross-border eHealth instruments as supporting tools for medical information and research

The joint action on eHealth aims at developing work to cover two areas of unmet needs: (1) eHealth instruments supporting research on diseases and treatments, and (2) National contact points providing information to patients. With regard to the first need, this action should deliver a number of detailed recommendations, supported by good practises that will support health information and research. With regard to the second need, this action will prepare the roll-out of national contact points for cross-border healthcare. These national contact points will disseminate appropriate information on all essential aspects of cross-border healthcare to patients. The network will also disseminate relevant information to patients at EU level. This action will benefit patient mobility by increasing clarity on patients' rights when seeking cross-border treatment; patient safety by providing information on healthcare providers; and Member State cooperation on cross-border care.

[Joint action]

Indicative amount: EUR 2 400 000

3.3.1.5. Collaboration with OECD on health information

The objective of this action is to take forward work on the healthcare quality indicators project. This covers the development of the joint publishing of the 'Health at the Glance — European edition' which addresses several aspects of health in the EU; follow up on the health modelling: the effectiveness, efficiency and distributional impact of health interventions which should result in a model to be employed to explore the relative roles of different factors accounting for alternative healthcare options and associated resource requirements; follow up on the System of Health Accounts (SHA) revision, to extend collaboration among Eurostat/OECD/WHO Europe in data management, with the aim to achieve a highly integrated statistical system which is able to generate fully comparable data; and an analysis of the performance of the hospital sector: assessing the comparability of data on hospital procedures that is regularly collected by Eurostat and OECD, and coming up with recommendations to countries to improve data comparability. An evaluation of the Commission's cooperation with the OECD in the field of health in order to assess added-value and the best focus for future work will also be conducted. The results will contribute to evidence based policy making.

[Direct grant to OECD]

Indicative amount: EUR 500 000

3.3.1.6. Setting up guidelines in support of ePrescription interoperability

This action will prepare the finalisation of guidelines supporting the Member States in developing the interoperability of ePrescriptions. It will draw on the expertise already established within the framework of the epSOS (Smart Open Services for European Patients) project, notably the work done on ePrescriptions. This action has two objectives. First is a feasibility analysis of ePrescription interoperability guidelines in general, seeking to find out which aspects (e.g. Privacy and confidentiality, organisational frameworks, semantic and architectural/technical interoperability) should minimally be covered by the Guidelines; and at which level of specification can the Guidelines for these minimally covered aspects be established. Secondly the outcome of the feasibility analysis will help inform the establishment of draft guidelines on selected aspects at their pre-assessed level of specification (e.g. broad, descriptive guidelines as opposed to the selection of one specific standard). This action will contribute to patient mobility by fostering access to (cross-border) healthcare; patient safety by helping to avoid prescription errors in cross-border settings; and Member State cooperation on cross-border care.

[Call for tenders]

3.3.1.7. Support to the European system of health information and diffusion of innovation

The objective of this action is to provide a mechanism for pooling, presenting and updating good quality health information throughout Europe through the HEIDI European health wikipedia. The added value of this platform comes from the combination of four elements: involving the wider health community throughout Europe in providing and maintaining information; European added-value by providing a single central health reference for the EU; a technical platform which allows information to be constantly updated, rather than printed reports which inevitably go out of date; and a quality assurance mechanism to ensure that the information is reliable, through validation of updates by experts in the relevant fields in Europe. The action covers content development; diffusion of innovation; and technical assistance and rapid information support to the Member States.

[Call for tenders]

3.3.1.8. Commission membership of the European Observatory on Health Policies and Health Systems

The membership of the Commission in the European Observatory on Health Policies and Health Systems is intended to support the core work of the Observatory and to strengthen the integration of European and cross-border dimensions into the work of the Observatory, with the aim of making best use of their particular expertise and capacity for the implementation of the European health strategy.

Under their collaboration, the Commission and the Observatory will develop a tool for assessing the performance of European health systems. They will produce a book to assess the 'state of the art' of health system performance comparison. The emphasis will be on performance information that sheds light on comparative system performance.

[Other actions]

Indicative amount: EUR 500 000

3.3.2. *Dissemination and application of health information (Point 3.2.2 in Annex to the Health Programme)*

3.3.2.1. Communication and promotion of policies and Health Programme results and evaluation of activities related to communication

The objective of this action is to communicate and promote health policies and the results of the Health Programme as well as evaluate communication activities. This covers: (1) Promotion of the EU Public Health Portal. The action seeks to improve the visibility of the portal and increase its users; to map and evaluate the users and their needs; to evaluate the Portal's navigability and use and user satisfaction; and to review its structure and editorial line; (2) Organisation of the EU Journalist prize. The aim is to stimulate high-quality journalism that raises awareness of issues related to healthcare and patients' rights; and to establish and maintain an informal network of national journalists interested in EU health issues in order to communicate locally in the Member States; (3) Production of publications and audiovisual material; and (4) Organisation of workshops and expert meetings, supply of stands and other communication materials.

[Existing framework contract]

3.3.2.2. Maintenance, updating and management of the EU Health Portal and health websites, including in-house services

The objective of this action is to ensure the maintenance, updating and management of the Health websites (Europa website, Health EU portal together with its sub-sites such as Europe for patients, Crisis Communication, Journalist Prize and its newsletter), while enhancing their design and expanding their public, thus supporting the collection and dissemination of health information; and editing the EU-Health Newsletter.

[Existing framework contract]

3.3.2.3. IT Master Plan

This action covers the development and maintenance of the IT tools and systems necessary for the development and running of health activities and policies.

[Existing framework contract]

3.3.3. *Analysis and reporting (Point 3.2.3 in Annex to the Health Programme)*

3.3.3.1. Research agenda for the EU on health economic evaluations

The general objective of this action is to propose a research agenda for the EU on health economic evaluations. The specific objectives are: (1) A scanning exercise for existing health economic research (i.e. publications reporting on cost-effectiveness/utility and/or cost-benefit) in selected therapeutic fields leading to the identification of therapeutic fields where little health economic research is performed; (2) An expert-based analysis of possible reasons for the observed scarcity of research in identified fields; and (3) A proposal for a priority agenda on EU health economic research.

[Direct grant to WHO]

Indicative amount: EUR 200 000

3.3.3.2. Health reports and analysis

The objective of this action is to produce information in form of reports and economic analysis needed on a short notice to support policy development and the evaluation of the effects of its implementation. The objective with regard to health reports is to produce well-structured and informative reports on health topics, selected by the Commission as important for the public, stakeholders and policymakers. The objective with regard to economic analysis is to provide an economic analysis of health and health-related phenomena in order to establish sound evidence for policymaking. In addition, this heading would support data collection as necessary for the forthcoming innovation partnership on active and healthy ageing.

[Existing framework contract]

3.3.3.3. Feasibility study on health workforce

The objective of this action is to produce a feasibility study for EU level collaboration on monitoring health workforce trends, forecasting health workforce needs and assisting the Member States in workforce planning. The objective of the study will be to examine the benefits and costs of sharing good practice and innovation at EU level in order to promote long term workforce planning in the Member States; assess and predict current and future changes in skill mix; to match workforce to patients' needs in an ageing society; and to assess what investment is needed in training to better utilise new technology.

[Existing framework contract]

3.3.3.4. Study on the package leaflets and the summaries of product characteristics of medicinal products for human use

The objective of the action is to provide the Commission with an assessment on the readability of the package leaflets and the summaries of product characteristics. The action seeks to identify possible shortcomings, as regards their value as a source of information for healthcare professionals and the public, with a particular focus on older persons, the rational use of medicines and patient safety in the readability, layout and content of the summaries of product characteristics and the package leaflets; to identify the causes of such shortcomings, and their potential consequences for the health of patients; and to make recommendations for the improvement of the summaries of product characteristics and the package leaflets in order to increase their value for the healthcare professionals and the general public, their contribution to the rational use of medicines and patient safety. This action will produce a thorough assessment enabling the Commission to consider any necessary action in this area and contributing to the report to the European Parliament and the Council. The report to the European Parliament and the Council is due 24 months after publication of Directive of the European Parliament and of the Council amending, as regards pharmacovigilance, Directive 2001/83/EC of the European Parliament and of the Council of 6 November 2001 on the Community code relating to medicinal products for human use⁽¹⁾. The amending directive was published on 31 December 2010. The study should therefore be completed in the first quarter of 2012 in order for the Commission to prepare the report within the timeline foreseen.

[Existing framework contract]

⁽¹⁾ OJ L 311, 28.11.2001, p. 67.

ANNEX II

Criteria for financial contributions to projects under the second programme of Community action in the field of health (2008-2013)

Decision No 1350/2007/EC, Article 4(1)(a)

This document applies only to co-funding of individual actions under the Health Programme through grants following a call for proposals for projects.

1. GENERAL PRINCIPLES

1. The Financial Regulation and its Implementing Rules are the reference documents for the implementation of the Health Programme.

2. Grants must comply with the following principles:

- Co-financing rule: external co-financing from a source other than EU funds is required, either by way of the beneficiary's own resources or the financial resources of third parties. Contributions in kind from third parties may be considered as co-financing if considered necessary or appropriate (Articles 113 of the Financial Regulation and 172 of the Implementing Rules),
- No-profit rule: the grant may not have the purpose or effect of producing a profit for the beneficiary (Articles 109(2) of the Financial Regulation and 165 of the Implementing Rules),
- No-retroactivity rule: expenditure eligible for financing must be incurred after the agreement is signed. In exceptional cases, it may be acceptable to consider expenditure that was incurred from the date of submission of the grant application, but not earlier (Article 112 of the Financial Regulation),
- No-cumulation rule: only one grant may be awarded for a specific action carried out by a given beneficiary per financial year (Article 111 of the Financial Regulation) ⁽¹⁾.

3. Proposals for actions (projects) will be evaluated on the basis of three categories of criteria:

- exclusion and eligibility criteria, to assess the applicant's eligibility — Article 114 of the Financial Regulation,
- selection criteria, to assess the applicant's financial and operational capacity to complete the proposed action — Article 115 of the Financial Regulation,
- award criteria, to assess the quality of the proposal taking into account its cost.

These three categories of criteria will be considered consecutively during the evaluation procedure. A project which fails to meet the requirements of one category will not be considered at the next evaluation stage and will be rejected.

4. In respect of the Health Programme, priority will be given to projects which:

- have an innovative character in relation to the existing situation and are not of a recurrent nature,
- provide added value at European level in the field of health: projects are to yield relevant economies of scale, involve an appropriate number of eligible countries in relation to the scope of the project and be capable of being replicated elsewhere,
- contribute to and support the development of EU policies in the field of health,
- devote adequate attention to an efficient management structure, a clear evaluation process and a precise description of the expected results,
- include a plan for using and disseminating the results at European level to appropriate target audiences.

⁽¹⁾ This means that a specific action, submitted by one applicant for a grant, can be approved for co-financing by the Commission only once a year, regardless of the length of this action.

2. EXCLUSION AND ELIGIBILITY CRITERIA

1. Applicants will be excluded from participation in an award procedure under the Health Programme if they are in any of the situations of exclusion listed in Articles 93 and 94 of the Financial Regulation.

Evidence: Candidates shall provide a declaration on their honour, duly signed and dated, stating that they are not in any of the situations listed above.

2. Any proposals received after the deadline for receipt, any incomplete proposals or proposals failing to meet the formal requirements laid down in the call for proposals will not be considered for funding. This does not apply in the case of obvious clerical errors within the meaning of Article 178(2) of the Implementing Rules.

Each application must contain the documents required in the call for proposals, including the following documents:

- administrative data on the main partner and associated partners,
- technical description of the project,
- global budget of the project and the requested level of EU co-financing.

Evidence: Application content.

3. Actions which have already commenced by the date on which the grant application is registered will be excluded from participation in the Health Programme.

Evidence: The scheduled starting date and duration of the action must be specified in the grant application.

3. SELECTION CRITERIA

Only proposals which have met the requirements of the exclusion criteria will be eligible for evaluation. All the following selection criteria have to be met.

1. Financial capacity:

Applicants must have stable and sufficient sources of funding to maintain their activity throughout the period during which the activity is being carried out and to participate in its co-funding.

Evidence: Applicants must supply the profit and loss accounts and the balance sheets for the past two complete financial years.

The verification of financial capacity will not apply to public bodies, or to international public organisations created by inter-governmental agreements or to specialist agencies created by the latter.

2. Operational capacity:

The applicant must have the professional resources, competences and qualifications required to complete the proposed action.

Evidence: Applicants must supply the organisation's most recent annual activity report including operational, financial and technical details and the curricula vitae of all relevant professional staff in all the organisations involved in the project.

3. Additional documents to be supplied at the request of the Commission:

If so requested, applicants must supply an external audit report produced by an approved auditor, certifying the accounts for the last financial year available and giving an assessment of the applicant's financial viability.

4. AWARD CRITERIA

Only projects which have met the requirements of the exclusion and selection criteria will be eligible for further evaluation on the basis of the following award criteria.

1. Policy and contextual relevance of the project (40 points, threshold: 20 points):

- (a) project's contribution to meeting the objectives and priorities of the Health Programme, as defined in the Work Plan for 2011 (8 points);
- (b) strategic relevance in terms of relevance to the EU Health Strategy ⁽¹⁾ and in terms of expected contribution to the existing knowledge and implications for health (8 points);
- (c) added value at European level in the field of public health (8 points):
 - impact on target groups, long term effect and potential multiplier effects, such as replicable, transferable and sustainable activities,
 - contribution to complementarity, synergy and compatibility with relevant EU policies and other programmes;

(d) pertinence of the geographical coverage (8 points):

Applicants must ensure that a geographical coverage of the project is appropriate with regard to its objectives, explaining the role of the eligible countries as partners and the relevance of the project resources or target populations they represent.

Proposals with national or sub-national dimension (i.e. which involve only one eligible country or a region of a country) will be rejected;

(e) adequacy of the project with social, cultural and political context (8 points):

Applicants must relate the project to the situation of the countries or specific areas involved, ensuring the compatibility of envisaged actions with the culture and views of the target groups.

2. Technical quality of the project (30 points, threshold: 15 points):

(a) Evidence base (6 points):

Applicants must include a problem analysis and clearly describe the factors, the impact, the effectiveness and applicability of measures proposed;

(b) Content specification (6 points):

Applicants must clearly describe the aims and objectives, target groups, including relevant geographical factors, methods, anticipated effects and outcomes;

(c) Innovative nature, technical complementarity and avoidance of duplication of other existing actions at EU level (6 points):

Applicants must clearly identify the progress the project intends to accomplish within the field in relation with the state of the art and ensure that there will be neither inappropriate duplication nor overlap, whether partial or total, between projects and activities already carried out at European and international level;

(d) Evaluation strategy (6 points):

Applicants must clearly explain the kind and adequacy of methods proposed and indicators chosen.

(e) Dissemination strategy (6 points):

Applicants must clearly illustrate the adequacy of the envisaged strategy and methodology proposed to ensure transferability of results and sustainability of the dissemination.

⁽¹⁾ COM(2007) 630 final; http://ec.europa.eu/health/ph_overview/strategy/health_strategy_en.htm

3. Management quality of the project and budget (30 points, threshold: 15 points):

(a) Planning and organisation of the project (5 points):

Applicants must clearly describe the activities to be undertaken, timetable and milestones, deliverables, nature and distribution of tasks, risk analysis;

(b) Organisational capacity (5 points):

Applicants must clearly describe the management structure, competency of staff, responsibilities, internal communication, decision making, monitoring and supervision;

(c) Quality of partnership (5 points):

Applicants must clearly describe the partnerships envisaged in terms of extensiveness, roles and responsibilities, relationships among the different partners, synergy and complementarity of the various project partners and network structure;

(d) Communication strategy (5 points):

Applicants must clearly describe the communication strategy in terms of planning, target groups, adequacy of channels used, and visibility of EU co-funding;

(e) Overall and detailed budget including financial management (10 points, threshold: 5 points):

Applicants must ensure that the budget is relevant, appropriate, balanced and consistent in itself, between partners and in relation to the specific objectives of the project. The budget should be distributed within partners at a minimum reasonable level, avoiding excessive fragmentation.

Applicants must clearly describe the financial circuits, responsibilities, reporting procedures and controls.

Any project failing to achieve the threshold will be rejected.

Following the evaluation, a list is drawn up of proposals recommended for funding, ranked according to the total number of points awarded. Depending on budget availability, the highest ranked proposals will be awarded co-funding.

ANNEX III

Criteria for financial contributions to the functioning of a non-governmental body or a specialised network (operating grants) under the second programme of Community action in the field of health (2008-2013)

Decision No 1350/2007/EC, Article 4(1)(b)

1. EXCLUSION AND ELIGIBILITY CRITERIA

Financial contributions by the EU may be awarded to the functioning of a non-governmental body or the costs associated with the coordination of a specialised network by a non-profit body. A specialised network is a European network representing non-profit bodies active in the Member States or in countries participating in the Health Programme and promoting principles and policies consistent with the objectives of the Programme, which have a relevant track record of joint achievements (e.g. successfully completed projects and/or joint publications) and established rules of collaboration (e.g. SOPs or a memorandum of understanding). An organisation or a specialised network may receive funding if it:

- is non-profit-making and independent of industry, commercial and business or other conflicting interests,
- has members in at least half of the Member States,
- has a balanced geographical coverage,
- pursues as its primary goal one or more objectives of the Health Programme,
- does not pursue general objectives directly or indirectly contrary to the policies of the European Union or associated with an inadequate image,
- has provided to the Commission satisfactory accounts of its membership, internal rules and sources of funding,
- has provided to the Commission its annual work programme for the financial year and the most recent annual activity report and, if available, the most recent evaluation report,
- is not in any of the situations of exclusion listed in Articles 93 and 94 of the Financial Regulation.

Any proposals received after the deadline for receipt, any incomplete proposals or proposals failing to meet the formal requirements laid down in the call for proposals will not be considered for funding. This does not apply in the case of obvious clerical errors within the meaning of Article 178(2) of the Implementing Rules.

The criterion 'independent from industry, commercial and business or other conflicting interest' will be assessed as described in Annex VI.

2. SELECTION CRITERIA

The selection criteria make it possible to assess the applicant organisation's financial and operational capacity to complete the proposed work programme.

Only organisations with the resources necessary to ensure their functioning can be awarded a grant. As evidence of this they must:

- attach a copy of the organisation's annual accounts for the last financial year for which the accounts have been closed preceding the submission of the application. If the grant application is from a new European organisation, the applicant must produce the annual accounts (including balance sheet and profit and loss statement) of the member organisations of the new body for the last financial year for which the accounts have been closed preceding the submission of the application,
- present a detailed forward budget for the organisation, balanced in terms of income and expenditure,
- attach an external audit report produced by an approved auditor in case of operating grant applications in excess of EUR 100 000, certifying the accounts for the last financial year available and giving an assessment of the applicant organisation's financial viability.

Only organisations with the necessary operational resources, skills and professional experience may be awarded a grant. To this end, the following information must be enclosed in support of the application:

- the organisation's most recent annual activity report, or, in the case of a newly constituted organisation, the curricula vitae of the members of the management board and other staff and the annual activity reports of the new body's member organisations,
- any references relating to participation in or applications for actions financed by the European Community, conclusion of grant agreements and conclusion of contracts from Community budget.

3. AWARD CRITERIA

The award criteria make it possible to select work programmes that can guarantee compliance with the Community's objectives and priorities and can guarantee proper dissemination and communication, including visibility of Community financing.

To this end, the annual work programme presented with a view to obtaining EU funding must meet the following criteria:

1. Policy and contextual relevance of the non-governmental body or specialised network's annual work programme (25 points, threshold 13 points):
 - (a) Consistency of the annual work programme with the Health Programme and its annual Work Plan in terms of meeting the objectives and priorities (10 points);
 - (b) The organisation's activities ⁽¹⁾ must be described in relation to the priorities detailed in the Work Plan for 2011 (10 points);
 - (c) Pertinence of the geographical distribution of the non-governmental body or specialised network. The annual work programme of the applicant should include activities in a representative number of participating countries. (5 points).
2. Technical quality of the annual work programme proposed (40 points, threshold 20 points):
 - (a) purpose of the annual work programme: the work programme of the applicant must clearly describe all objectives of the organisation or the specialised network and their suitability for achieving the expected results. The applicant must demonstrate that the work programme submitted gives a true and fair view of all activities planned for the organisation/specialised network in 2011, including those activities which do not fit in the Work Plan for 2011 of the Health Programme (10 points);
 - (b) operational framework: the applicant's work programme must clearly describe the activities planned, tasks, responsibilities and timetables of the part of their work programme consistent with the Work Plan for 2011 of the Health Programme and describe its relationship with the other parts of their activity (10 points);
 - (c) evaluation strategy: the applicant's work programme must clearly describe the internal and external evaluation of their activities and the indicators to be used (10 points);
 - (d) dissemination strategy: the beneficiary must clearly illustrate the adequacy of the actions and methods for communication and dissemination (10 points).
3. Management Quality (35 points, threshold 18 points):
 - (a) planning of the annual work: the applicant must clearly describe the activities to be undertaken, the timetable; the list of deliverables and provide the nature and the distribution of tasks and a risk analysis (10 points);
 - (b) organisational capacity: the applicant must clearly describe the management process, human resources and competencies of staff, responsibilities, internal communication, decision making, monitoring and supervision. The applicant must also clearly specify the working relationships with relevant partners and stakeholders (10 points);

⁽¹⁾ Lobbying activities exclusively targeted at EU Institutions are excluded from funding.

- (c) overall and detailed budget: the applicant must ensure that the budget is relevant, appropriate, balanced and consistent in itself and for the activities planned (10 points);
- (d) financial management: the applicant must clearly describe the financial circuits, responsibilities, reporting procedures and, where possible, controls (5 points).

Any proposal failing to achieve the threshold will be rejected.

Following the evaluation, a list is drawn up of proposals recommended for funding, ranked according to the total number of points awarded. Depending on budget availability, the highest ranked proposals will be awarded co-funding.

ANNEX IV

Criteria for financial contributions to joint actions under the second programme of Community action in the field of health (2008-2013)

Decision No 1350/2007/EC, Article 4(3)

1. EXCLUSION AND ELIGIBILITY CRITERIA

Joint actions may be implemented with public bodies or non-governmental bodies:

- which are non-profit making and independent of industry, commercial and business or other conflicting interest,
- which pursue as their primary goal one or more objectives of the Programme,
- which do not pursue general objectives directly or indirectly contrary to the policies of the European Union or associated with an inadequate image,
- which have provided to the Commission satisfactory accounts of their membership, internal rules and sources of funding,
- which are not in any of the situations of exclusion listed in Articles 93 and 94 of the Financial Regulation.

The criterion 'independent from industry, commercial and business or other conflicting interest' will be assessed as described in Annex VI.

2. SELECTION CRITERIA

The selection criteria make it possible to assess the applicant's financial standing and operational capability to complete the proposed work programme.

Applicants must have the professional resources, competences and qualifications required to complete the proposed action.

Applicants must have adequate financial resources to maintain their activity throughout the period during which the activity is being carried out and to participate in its co-funding.

Each applicant must provide:

- a clear, exhaustive and well detailed estimated budget of the expenses in relation to the corresponding activities carried out by each body taking part in the joint project,
- a copy of the annual accounts for the last financial year for which the accounts have been closed preceding the submission of the application (for non-profit bodies other than public bodies).

3. AWARD CRITERIA

Only joint actions which have met the requirements of the exclusion and selection criteria will be eligible for further evaluation on the basis of the following award criteria.

1. Policy and contextual relevance of the project (40 points, threshold: 20 points):

- (a) Joint action's contribution to meeting the objectives and priorities of the Health Programme, as defined in the Work Plan for 2011 (8 points);
- (b) Strategic relevance in terms of relevance to the EU Health Strategy ⁽¹⁾ and in terms of expected contribution to the existing knowledge and implications for health (8 points);

⁽¹⁾ COM(2007) 630 final; http://ec.europa.eu/health/ph_overview/strategy/health_strategy_en.htm

(c) Added value at European level in the field of public health (8 points):

- impact on target groups, long term effect and potential multiplier effects such as replicable, transferable and sustainable activities,
- contribution to, complementarity, synergy and compatibility with relevant EU policies and other programmes;

(d) Pertinence of the geographical coverage (8 points):

Applicants must ensure that a geographical coverage of the action is appropriate with regard to its objectives, explaining the role of the eligible countries as partners and the relevance of the action resources or target populations they represent.

Proposals with national or sub-national dimension (i.e. which involve only one eligible country or a region of a country) will be rejected;

(e) Adequacy of the joint action with social, cultural and political context (8 points):

Applicants must relate the action to the situation of the countries or specific areas involved, ensuring the compatibility of envisaged activities with the culture and views of the target groups.

2. Technical quality of the joint action (30 points, threshold: 15 points):

(a) Evidence base (6 points):

Applicants must include a problem analysis and clearly describe the factors, the impact, the effectiveness and applicability of measures proposed;

(b) Content specification (6 points):

Applicants must clearly describe the aims and objectives, target groups, including relevant geographical factors, methods, anticipated effects and outcomes;

(c) Innovative nature, technical complementarity and avoidance of duplication of other existing actions at EU level (6 points):

Applicants must clearly identify the progress the joint action intends to accomplish within the field in relation with the state of the art and ensure that there will be neither inappropriate duplication nor overlap, whether partial or total, between projects and activities already carried out at European and international level;

(d) Evaluation strategy (6 points):

Applicants must clearly explain the kind and adequacy of methods proposed and indicators chosen;

(e) Dissemination strategy (6 points):

Applicants must clearly illustrate the adequacy of the envisaged strategy and methodology proposed to ensure transferability of results and sustainability of the dissemination.

3. Management quality of the joint action and budget (30 points, threshold: 15 points):

(a) Planning and organisation of the joint action (5 points):

Applicants must clearly describe the activities to be undertaken, timetable and milestones, deliverables, nature and distribution of tasks, and risk analysis;

(b) Organisational capacity (5 points):

Applicants must clearly describe the management structure, competency of staff, responsibilities, internal communication, decision making, monitoring and supervision;

(c) Quality of partnership (5 points):

Applicants must clearly describe the partnerships envisaged in terms of extensiveness, roles and responsibilities, relationships among the different partners, synergy and complementarity of the various project partners and network structure;

(d) Communication strategy (5 points):

Applicants must clearly describe the communication strategy in terms of planning, target groups, adequacy of channels used and visibility of EU co-funding;

(e) Overall and detailed budget, including financial management (10 points, threshold: 5 points):

Applicants must ensure that the budget is relevant, appropriate, balanced and consistent in itself, between partners and in relation to the specific objectives of the joint action. The budget should be distributed within partners at a minimum reasonable level, avoiding excessive fragmentation.

Applicants must clearly describe the financial circuits, responsibilities, reporting procedures and controls.

Any proposal failing to achieve the threshold will be rejected.

ANNEX V

Criteria for financial contributions for conferences under the second programme of Community action in the field of health (2008-2013)

Decision No 1350/2007/EC, Article 4(1)(a)

1. EXCLUSION AND ELIGIBILITY CRITERIA

1. Applicants will be excluded from participation in an award procedure of the Health Programme if they are in any of the situations of exclusion listed in Articles 93 and 94 of the Financial Regulation.

Evidence: Candidates shall provide a declaration on their honour, duly signed and dated, stating that they are not in any of the situations listed above.

2. Any proposals received after the deadline for receipt, any incomplete proposals or proposals failing to meet the formal requirements laid down in the call for proposals will not be considered for funding. This does not apply in the case of obvious clerical errors within the meaning of Article 178(2) of the Implementing Rules.

Each application must contain the documents required according to the call for proposals, including the following documents:

- administrative data on the main partner,
- technical description of the conference,
- global budget of the conference and the requested level of EU co-financing.

Evidence: Application content.

3. Actions which have already commenced by the date on which the grant application is registered will be excluded from participation in the Health Programme. The duration of the action must not exceed 12 months.

Evidence: The scheduled commencement date and duration of the action must be specified in the grant application.

2. SELECTION CRITERIA

Only proposals which have met the requirements of the exclusion criteria will be eligible for evaluation. All the following selection criteria have to be met.

1. Financial capacity:

Applicants must have stable and sufficient sources of funding to maintain their activity throughout the period during which the activity is being carried out and to participate in its co-funding.

Evidence: Applicants must supply the profit and loss account and the balance sheets for the past two complete financial years.

The verification of financial capacity will not apply to public bodies, or to international public organisations created by inter-governmental agreements or to specialist agencies created by the latter.

2. Operational capacity:

The applicant must have the professional resources, competences and qualifications required to complete the proposed action.

Evidence: Applicants must supply the organisation's most recent annual activity report including operational, financial and technical details and the curricula vitae of all relevant professional staff in all the organisations involved in the conference.

3. Additional documents to be supplied at the request of the Commission:

If so requested, applicants must supply an external audit report produced by an approved auditor, certifying the accounts for the last financial year available and giving an assessment of the applicant's financial viability.

3. AWARD CRITERIA

1. Content of the proposal (60 points, threshold 30 points):

(a) Relevance of the content and expected results of the event in relation to the objectives and priorities described in the Health Programme and its annual Work Plan taking into account the priorities set out in the Communication COM(2010) 2020 (15 points);

(b) Participation (15 points):

The applicant must clearly describe the expected number and profile/function of the target participants in the event, making reference to distribution by Member State, organisation and type of expertise;

(c) European dimension (15 points):

The conference must have a wide European Union dimension, with participation of representations from 10 or more countries participating in the Health Programme;

(d) Follow-up and evaluation methodology (15 points):

The applicants must clearly describe their dissemination strategy.

An adequate evaluation should be foreseen based on an evaluation plan with corresponding design, method, responsibilities and timing making use of indicators.

2. Management Quality (40 points, threshold 20 points):

(a) Planning of the event (15 points):

The applicant must clearly describe the methodology, tools, timetable and milestones, deliverables, nature and distribution of tasks, risk analysis, and financial circuits;

(b) Organisational capacity (10 points):

The applicant must clearly describe the management structure, competency of staff, responsibilities, decision making, monitoring and supervision;

(c) Overall and detailed budget (15 points):

The applicant must ensure that the budget is relevant, appropriate, balanced and consistent in itself and in relation to the objective/s of the conference.

Any proposal failing to achieve the threshold will be rejected.

Following the evaluation, a list is drawn up of proposals recommended for funding, ranked according to the total number of points awarded. Depending on budget availability, the highest ranked proposals will be awarded co-funding.

ANNEX VI

Criteria for independence from industry, commercial and business or other conflicting interest applicable to operating grants and grants for joint actions under the second programme of Community action in the field of health (2008-2013)

Decision No 1350/2007/EC, Articles 4.1(b) and 4.3

A conflicting interest occurs when an individual or organisation has multiple interests, one of which could possibly corrupt the motivation to act in the other.

The criterion 'independent from industry, commercial and business or other conflicting interest' refers to three requirements all of which the applicant organisation has to meet:

1. LEGAL INDEPENDENCE

To be eligible for funding, an NGO has to be independent from other entities representing industry, commercial and business or other conflicting interests.

Two legal entities shall be regarded as independent of each other where neither is under the direct or indirect control of the other or under the same direct or indirect control of a third entity as the other.

Control may in particular take either of the following forms:

- (a) The direct or indirect holding of more than 50 % of the nominal value of the issued share capital in the legal entity concerned, or of a majority of the voting rights of the shareholders or associates of that entity;
- (b) The direct or indirect holding of decision-making powers, in fact or in law, in the legal entity concerned.

However, the following relationships between legal entities shall not in themselves be deemed to constitute controlling relationships:

- (c) The direct or indirect holding of more than 50 % of the nominal value of the issued share capital of the applicant organisation or a majority of voting rights of the shareholders or associates of the legal entities is held by the same public body;
- (d) The legal entities concerned are owned or supervised by the same public body.

2. FINANCIAL INDEPENDENCE

In order to be considered independent, applicant organisations must unilaterally commit not to receive more than 20 % of their core funding from private sector organisations ⁽¹⁾ representing a conflicting interest, or from other sources representing a conflicting interest during the financial years covered by the grant.

Core funding shall mean financing required for the basic structure of an organisation, including salaries of full-time staff, facilities, equipment, communications, and the direct expenses of day-to-day work. Core funding also includes financing of all permanent or regularly repeated activities. Core funding requirements are often budgeted separately from other costs like specific actions or projects.

3. TRANSPARENCY OF THE APPLICANT'S ACTIVITIES AND FUNDING

All activities should be published in the applicant's annual report ⁽²⁾.

Applicants working with private sector actors regarded ineligible for example by the nature of their activity which is incompatible with the basic principles of the European Union as stated in Article 2 and 3 of the EU Treaty, can be considered unacceptable.

- (a) All information on funding is to be made available to the public via the applicant's website, broken down by type (core and project funding, contribution in kind) and by funding entity.

⁽¹⁾ The term 'private sector' covers 'for-profit' companies/enterprises/corporations, business organisations or other entities irrespective of their legal nature (registered/not registered), ownership (wholly or partially privately owned/state owned) or size (large/small), if they are not controlled by the public.

⁽²⁾ Collaborators in a position that could lead to a conflict of interest (Article 52 of the Financial Regulation and Article 34 of the Implementing Rules) shall be listed.

(b) Applicant's existing position statements regarding their requirement on transparency are to be publicly available.

4. ASSESSMENT OF INDEPENDENCE

Legal independence and transparency is assessed based on the latest available information provided by the applicant together with the application. The financial independence will be assessed based on the financial information for the financial year for which the grant will be attributed at the time of the final report. This information has to be provided according to the form published with the call for proposals and must be certified by an independent auditor. If these accounts show that during any of the financial years covered by the grant, the beneficiaries have received more than 20 % of their core funding from private sector organisations representing a conflicting interest, or from other sources representing a conflicting interest, the entire amount of the grant shall be recovered.

ANNEX VII

Criteria for exceptional utility for project grants and operating grants under the second programme of Community action in the field of health (2008-2013)

Decision No 1350/2007/EC, Articles 4(1)(a), 4(1)(b) and 4(3)

1. GENERAL PRINCIPLES

Exceptional utility may be accorded to proposals that have very high European added value in the following areas:

— Contribution to:

- improving the health of European citizens, as measured where possible by appropriate indicators, including the Healthy Life Years indicator,
- reducing health inequalities in and between EU Member States and regions,
- building capacity for development and implementation of effective public health policies particularly in areas of high need;
- involvement of new (non-traditional) actors for health in sustained, cooperative and ethically sound actions, both at regional or local level and across participating countries. This includes the public sector, the private sector and stakeholders among wider civil society whose primary aims are not limited to public health (for example among the youth, ethnic groups and other public interest spheres such as environment and sport).

Proposals which meet the abovementioned criteria can be considered of exceptional utility. Applicants must be able to demonstrate how the proposed action will contribute to the abovementioned areas by complying with criteria specified in the following sections.

2. EXCEPTIONAL UTILITY OF PROJECTS

A maximum EU contribution per beneficiary (i.e. per main and per associated beneficiary) of 80 % of eligible costs may be envisaged where a proposal is of exceptional utility, as specified under the section 'General principles' above. No more than 10 % of funded projects should receive EU co-funding of over 60 %. Proposals for projects requesting more than 60 % co-funding will need to comply with the following criteria:

- at least 60 % of the total budget of the action must be used to fund staff. This criterion is intended to promote capacity building for development and implementation of effective public health policies,
- at least 25 % of the budget of the proposed action must be allocated to Member States with a GDP per capita (as published by Eurostat in its latest statistical report) in the lower quartile of all EU Member States. This criterion is intended to contribute to the reduction of health inequalities among EU Member States,
- a score of at least 5 out of 8 marks must be achieved for all the award criteria of the policy relevance block mentioned in Annex II. This criterion aims at promoting the improvement of the health of European citizens, in the sense of enhancing policy relevance,
- at least 10 % of the budget must be allocated to organisations that have not received any funding under the first and the second Health Programme in the past 5 years. This criterion is intended to promote the involvement of new actors for health.

3. EXCEPTIONAL UTILITY OF OPERATING GRANTS

A maximum EU contribution of 80 % of eligible costs may be envisaged where a proposal for a new operating grant is of exceptional utility, as specified under the section 'General principles' above.

Proposals for new operating grants requesting more than 60 % co-funding will need to comply with the following criteria:

- at least 25 % of the members or candidate members of the non-governmental bodies or organisations forming the specialised network come from Member States with a GDP per capita (as published by Eurostat in its latest statistical report) in the lower quartile of all EU Member States,
- the reduction of health inequalities at EU, national or regional level is manifested in the mission as well as the annual work programme of the applicant organisation/specialised network.

For operating grants which are renewed, the exceptional utility status will remain the same as under the 2010 call for proposals.

Section 2

Call for Proposals

2011 CALL FOR PROPOSALS FOR OPERATING GRANTS

PROGRAMME OF COMMUNITY ACTION IN THE FIELD OF HEALTH (2008-2013)

(Text with EEA relevance)

I. BACKGROUND AND PURPOSE OF THIS CALL

On 23 October 2007, the European Parliament and the Council adopted a Decision establishing a second programme of Community action in the field of health (2008-2013)¹, hereinafter referred to as "Second Health Programme". This programme entered into force on 1 January 2008.

The programme replaces the previous Programme of Community action in the field of public health (2003 – 2008) which laid down the foundations for a comprehensive and coherent approach to public health at EU level contributing to promote a high level of health and well-being throughout the Union.

The second Health Programme is intended to complement, support and add value to the policies of the Member States and contribute to increased solidarity and prosperity in the European Union. The Programme's objectives are

- to improve citizens' health security;
- to promote health, including the reduction of health inequalities and
- to generate and disseminate health information and knowledge.

The 2011 Work Plan sets out details of the financing mechanisms and priority areas for action in implementing the programme. This document (Commission Decision) has been published in the Official Journal of the European Union no C 69/2011 pp. 01 and is available under <http://ec.europa.eu/eahc>. The present call relates to the financing mechanism "Operating Grants".

While the aim of a grant for an action is to co finance this action over a given period and with a specific budget irrespective of the body's other activities, an operating grant is broader based. Its purpose is to provide financial support for the existence and functioning of the body over a period that is equivalent to its accounting period, to enable it to carry out a set of activities relevant to the second Health Programme.

Interested parties active in the field of public health are invited to submit an application, through this call for expression of interest for operating grants, in accordance with the procedures set out in Annex I, Paragraph 2.2, Annex III and VI of the above Commission Decision, in order to implement the priority actions defined in the programme decision.

The areas for funding, the selection and award criteria, the procedures for application and approval, and the indicative amount are described hereafter.

¹ Decision No 1350/ 2007/EC of the European Parliament and of the Council of 23 October 2007 establishing a second programme of Community action in the field of health (2008-2013), OJ L 301, 20.11.2007.

In addition to the 27 Member States of the European Union, the call is also open to the participation of EFTA-EEA countries with in the context of the Agreement on the European Economic Area (Iceland, Liechtenstein and Norway) and Croatia. Organisations from these countries can receive funding from the second Health Programme.

Non-governmental bodies or specialised networks from any of these countries can submit an application for an operating grant. A specialised network is a European network representing non-profit bodies active in the Member States or in countries participating in the second Health Programme and promoting principles and policies consistent with the objectives of the Programme, which has a relevant track record of joint achievements and established rules of collaboration (e.g. SOPs or a memorandum of understanding).

The activities covered by the operating grant must comply with paragraph 2 of the work plan 2011.

The applications selected will qualify for Union financial assistance (operating grants) on the basis of the shared cost principle.

II. AREAS FOR FUNDING

New operating grants may be awarded to non-governmental bodies and specialised networks active in areas corresponding to the priorities of the Health Programme and to the priorities of this work plan as set out below in point 3- Priorities for 2011

Proposals requesting more than 60% co-funding (up to 80%) will need to comply with the criteria for exceptional utility specified in sections 1 and 3 of the Annex VII of the 2011 Work plan.

III. DURATION AND STARTING DATE

The Union financial support for the functioning of a non-governmental body or a specialised network will cover **one accounting year**, starting **according to the relevant legislation in each participating country**.

IV. LEGAL AND FINANCIAL INDEPENDENCE, TRANSPARENCY

To be eligible for funding, the applicant organisation has to be legally independent from other entities representing industry, commercial and business or other conflicting interests.

Two legal entities shall be regarded as independent of each other where neither is under the direct or indirect control of the other or under the same direct or indirect control of a third entity as the other. This will particularly apply to the holding of majority of voting rights of the shareholders or associates of the legal entity, and the direct or indirect control of decision-making powers, in fact or in law, in the legal entity concerned.

In addition, the applicant organisation must unilaterally commit not to receive more than 20% of their core funding from private sector organisations representing a conflicting

interest, or from other sources representing a conflicting interest during the financial year covered by the grant (financial independence).

Finally, the applicant organisation must comply with the transparency criteria as indicated in Annex VI of the Work Plan 2011.

IV.1 Assessment

Legal independence and transparency will be assessed retroactively based on the supporting documents as listed under 'VI.1 Application package' (e.g. statutes / articles of association, registration certificate, records of the past two years). Additionally other information sources or indirect sources (e.g. information on the website of the applicant organisation) will also be considered.

At the time of submitting applications, the applicant organization must submit a unilateral commitment to not receive more than 20% of its core funding from private sector organisations representing a conflicting interest or from other sources representing a conflicting interest. A "unilateral commitment form" is provided as integral part of the application form. The financial independence will be assessed based on the financial information for the financial year for which the grant is awarded at the time of the final report. This information has to be provided according to the form published with the call for proposals and must be certified by an independent auditor in accordance with the provisions in Annex VI of the Work Plan 2011.

V. SELECTION AND AWARD CRITERIA (OPERATING GRANTS)

Requests for operating grants will be evaluated by an evaluation committee set up according to Article 116 of the Financial Regulation² and article 178 of the Implementing Rules³, assisted by external experts.

V. 1 -Eligibility of applicants and evaluation criteria (exclusion, selection and award criteria)

Applicants must meet the evaluation criteria set out in Annex III of the 2011 Work Plan Decision: "*Criteria for financial contributions to the functioning of a non-governmental body or a specialised network (operating grants) under the second programme of Community action in the field of health (2008-13)*" in points 1 (exclusion and eligibility criteria), 2 (selection criteria) and 3 (award criteria). The awarding authority reserves the right to reject proposals that do not meet these criteria.

² [Council Regulation \(EC, Euratom\) No 1605/ 2002 of 25 June 2002 on the Financial Regulation applicable to the general budget of the European Communities \(OJ L 248, 16. 9.2002 \)](#), amended by Council Regulation (EC, Euratom) No 1995/2006 of 13 December 2006 (OJ L 390, 30.12.2006) and Council Regulation (EC, Euratom) No 1525/2007 of 17 December 2007 (OJ L 343, 27.12.2007, p. 9).

³ [COMMISSION REGULATION \(EC, EURATOM\) No 2342/2002 of 23 December 2002 laying down detailed rules for the implementation of Council Regulation \(EC, Euratom\) No 1605/ 2002 on the Financial Regulation applicable to the general budget of the European Communities \(OJ L 357, 31.12.2002\) and amended by Commission Regulation \(EC, Euratom\) No 1261/2005 of 20 July 2005, \(OJ L 201 2.8.2005\) and Commission Regulation \(EC, Euratom\) No 1248/2006 of 7 August 2006 \(OJ L 227 19.8.2006\) and Commission Regulation \(EC, Euratom\) No 478/ 2007 of 23 April 2007 \(OJ L 111 28.4.2007\)](#)

As regards award criteria, each proposal will be assessed according to the scale of marks referred to in the table below, and thus obtain an overall score (0-100 points). The minimum score to be reached is 51. The applications will be ranked in order of the score.

<p>Policy and contextual relevance of the NGO or Specialised network's annual work programme</p> <p>25/100 (threshold: 13)</p>	<p>Proposed weighting</p>	<p>Technical quality of the annual work programme proposed</p> <p>40/100 (threshold: 20)</p>	<p>Proposed weighting</p>	<p>Management Quality</p> <p>35/100 (threshold: 18)</p>	<p>Proposed weighting</p>
<p>(a) Consistency of the annual work programme with the Health programme and its annual work plan in terms of meeting the objectives and priorities</p>	<p>10</p>	<p>(a) Purpose of the annual work programme</p> <ul style="list-style-type: none"> ▪ The work programme must be clearly described in terms of objectives and their suitability for achieving the expected results. The applicant must demonstrate that the work submitted gives a true and fair view of all activities planned for the organisation/specialised network in 2011, including those activities which do not fit in the Work Plan 2011 of the second Health programme 	<p>10</p>	<p>(a) Planning of the annual work</p> <ul style="list-style-type: none"> ▪ Applicant must clearly describe the activities to be undertaken, the timetable; the list of deliverables and provide the nature and distribution of tasks and risk analysis. 	<p>10</p>
<p>(b) Organisation's activities ⁴ a. The organisation's activities must be described in relation to the priorities detailed in the work plan for 2011</p>	<p>10</p>	<p>(b) Operation Framework</p> <ul style="list-style-type: none"> ▪ The work programme should clearly describe the activities planned, tasks, responsibilities and timetables of the part of its work programme consistent with the Work Plan 2011 and describe its relationship with the other parts of its activity. 	<p>10</p>	<p>(b) Organisational capacity</p> <ul style="list-style-type: none"> ▪ The applicant must clearly describe the management process, human resources and competencies of staff, responsibilities, internal communication, decision making, monitoring and supervision. The applicant must also clearly specify the working relationships with relevant partners and stakeholders 	<p>10</p>
<p>(c) Pertinence of the geographical distribution of the NGO or Specialised network. a. The annual work programme proposed should include activities of a representative number of participants</p>	<p>5</p>	<p>(c) Evaluation strategy</p> <ul style="list-style-type: none"> ▪ The work programme must describe the internal and external evaluation of the activities and indicators to be used <p>(d) Dissemination strategy</p> <ul style="list-style-type: none"> ▪ The beneficiary must clearly illustrate the adequacy of the actions and methods for communication and dissemination 	<p>10</p>	<p>(c) Overall and detailed budget</p> <ul style="list-style-type: none"> ▪ The applicant must ensure that the budget is relevant, appropriate, balanced and consistent in itself and for the activities planned <p>(d) Financial management</p> <ul style="list-style-type: none"> ▪ Applicant must describe financial circuits, responsibilities, reporting procedures and, where possible, controls 	<p>10</p>
<p>Total points</p>	<p>25</p>	<p>40</p>	<p>40</p>	<p>35</p>	<p>35</p>

⁴ Lobbying activities exclusively targeted at EU Institutions are excluded from funding

V.2 – Renewal of Operating Grants

The work plan 2011 foresees a possibility of renewal of operating grants awarded to non-governmental bodies and specialised networks. New operating grants and operating grants to be renewed compete together for the available budget.

VI. FINANCIAL PROVISIONS

The Financial Regulation² lays down the rules to be applied with a view to ensuring that the procedures for protecting Union funds are complied with. This regulation and the associated implementing rules³ constitute the reference documents for all the financial measures needed to implement the second Health Programme.

Following the evaluation, proposals recommended for funding are drawn up in a list ranked by the total marks awarded. Depending on budget availability, financial support will be granted to those organisations obtaining the highest scores.

For work programme proposals selected for funding, the awarding authority will determine the amount of financial assistance to be granted and the percentage of co-financing on the basis of budget availability.

The functioning of a non governmental body or a specialised network is financed under the shared cost principle⁵. If the amount granted by the awarding authority is lower than the funding sought by the applicant, it is up to the latter to find supplementary financing or to cut down on its total functioning costs without diluting either the objectives or the content of its eligible activities.

Given the complementary and motivational nature of Union grants, at least 40% of the functioning costs must be funded by other sources. Consequently, the Union financial contribution will normally be up to 60% per beneficiary of the eligible costs for the activities considered.

For operating grants proposals considered of exceptional utility, i.e., which meet the criteria mentioned in section 1 and 3 of Annex VII of the Work Plan 2011, a maximum Union contribution of 80% of the eligible costs could be envisaged.

The awarding authority will determine in each individual case the maximum percentage to be awarded.

The financial contribution by the Union will be for a period of one financial year, starting according to the relevant legislation applicable in each participating country.

As laid down in Article 4(2) of the Programme Decision, the renewal of financial contributions set out in paragraph 1(b) to non-governmental bodies and specialised networks may be exempted from the principle of gradual decrease. As a general rule, this exemption will apply to applicant organisations not receiving any of their funding from

⁵ Art. 109 of the Financial Regulation and Art. 165a of the implementing rules

the private sector⁶ or other conflicting interest for their functioning (core funding). For all other renewed operating grants, a decrease of 5 percentage points as compared to the Community co-financing percentage agreed in the grant agreement following the call for proposals 2010 will be applied. In any case, the amount of EU co-funding cannot be higher than the amount granted in 2010.

The programme budget for the period 2008-2013 is € 321.500.000. For the work programme 2011, the indicative amount of the operating budget is € 48.313.028. Out of this amount, € 4.000.000 are reserved for the call for proposals for operating grants.

In submitting a proposal, applicants accept the procedures and conditions as described in this call and in the documents to which it refers. Applications that do not comply with the requirements set out will be excluded from the selection procedure.

VII. GENERAL PROVISIONS

VII.1 Application package

A proposal is made up of a standard application form and supporting documents, as mentioned in the table below. To be considered complete, the application must comply with the formal requirements.

Documents	Comments	Formal requirements
PROPOSAL		
Application form for operating grant	The application form, to be downloaded from the website: http://ec.europa.eu/eahc , provides information on administrative aspects of the organisation as well as the technical and financial information of the annual work programme proposed	1 signed original + 4 photocopies + an electronic version saved on CD-ROM
Declaration of honour	Declaration of honour stating that the applicant is not in any of the situations of exclusion listed in Articles 93 and 94 of the Financial Regulation ^{2 3}	Signed original to be included with the application package. Declarations of honour sent separately will not be accepted. Only original declarations of honour will be

⁶ The term 'private sector' covers 'for-profit' companies/enterprises/corporations, business organisations or other entities irrespective of their legal nature (registered/not registered), ownership (wholly or partially privately owned/state owned) or size (large/small), if they are not controlled by the public.

		accepted.
Unilateral commitment	Unilateral commitment concerning the financial independence of the applicant organisation. <u>The unilateral commitment form is not required from public bodies.</u>	Signed original to be included with the application package. Unilateral commitments sent separately will not be accepted. Only original unilateral commitments will be accepted.
Annual Workplan for 2011	Draft version is acceptable	5 copies
The organization's Annual activity reports as well as the annual work plans for the past two years	In the case of a newly constituted organisation the curricula vitae of the members of the management board and the annual activity reports and the work plans of the new body's member organisations and other resource persons should be provided.	1 copy
Curriculum vitae	Of the key staff performing the work in connection with the annual work programme	1 copy
List of members	In full, per country and/or the link to the web-site on which all members are listed	1 copy

SUPPORTING DOCUMENTS		
The organisation's status/articles of association	Obligatory only for NON-PUBLIC, NON-PROFIT-MAKING BODIES	1 copy, signed by the legal representative of the applicant organization
The official registration certificate of the association		1 copy, signed by the legal representative of the applicant organization
Organization's accounts for the last two financial years for which the accounts have been closed, which have been used as the basis information to fill in part 6.2 of the application form		1 copy, signed by the legal representative of the applicant organization
Supporting documents which specify relations		1 copy, signed by the legal representative of

with the industry or commercial and business interests (agreements with private sector actors concerning any kind of cooperation, sources of funds)		the applicant organization
An external audit report produced by an approved auditor, in case of a requested co-funding in excess of € 100 000		1 copy
A description of the relevant track record for joint achievements of the specialized network	Obligatory from SPECIALIZED NETWORKS	1 copy
Established tools for collaboration e.g. SOPs, Memorandum of Understanding		1 copy

OBLIGATORY CHECKLIST TO BE FILLED IN BY THE APPLICANT AS PART OF THE APPLICATION FORM		
Checklist	The mandatory checklist helps the applicant to ensure that a complete and correct application is provided on time. Please check each applicable box, date and sign it.	1 signed original

Be aware that only complete application packages will be admitted to the evaluation procedure. Applicants are responsible for ensuring the application is complete according to the requirements specified in this chapter. Incomplete application packages will be automatically excluded.

Note that the annual accounts of the organization, the organisation status/articles of association and the registration certificate are not required from public bodies.

VII.2 Deadline

The final deadline for the submission of proposals is **27 May 2011**.

VII.3 Submission

Application package and CD-ROM

Applicants may submit their proposals in one single batch:

1. either by postal mail, preferably by registered mail, **clearly postmarked** on or before the deadline indicated above, to:

European Commission
CALL FOR PROPOSALS “HEALTH – 2011”
OPERATING GRANTS

Bâtiment Jean Monnet
Rue Alcide de Gasperi
L-2920 LUXEMBOURG;

2. or by hand delivery **during the working hours of the European Commission: (9H00 to 16H30 Monday to Thursday and 9H00 to 16H00 on Friday)** to:

European Commission
CALL FOR PROPOSALS “HEALTH – 2011”
OPERATING GRANTS

Bâtiment Jean Monnet
Rue Alcide de Gasperi
L-2920 LUXEMBOURG;

either by the applicant in person or by an authorised representative, and confirmed by a duly signed and dated acknowledgment of receipt on or before the deadline indicated above;

3. or by private courier service to:

European Commission
CALL FOR PROPOSALS “HEALTH – 2011”
OPERATING GRANTS

Bâtiment Jean Monnet
Rue Alcide de Gasperi
L-2920 LUXEMBOURG.

i. If a dated acknowledgment of receipt is returned to the applicant by the private courier service, the date of delivery to the private courier service will act as proof of delivery.

ii. In the absence of a dated acknowledgment of receipt by the private courier service, the date of delivery to the awarding authority at the address above will be proven by a signed and dated receipt.

IMPORTANT NOTICE

To avoid any delays in the call evaluation procedure, the awarding authority will disregard and not process proposals sent before or on the set deadline, as described in paragraphs VI4.1 and VI4.3.i above, but which have not been actually delivered by post or by private courier service to the awarding authority **before 24 June 2011**, even if late delivery is due to postal delays or to other reasons beyond the control of

the submitter. It is understood that it is the responsibility of the submitter to ensure timely delivery of the proposal by a quality delivery service and that he will seek appropriate guarantees from the service he contracts. **Submission by fax or electronic mail will not be accepted.**

A helpdesk at the Executive Agency for Health and Consumers will be available at: +352 4301 37707, e-mail address: EAHC-PHP-CALLS@ec.europa.eu on weekdays between 9.30 – 12.00 and 14.00 – 17.00. Please note that the helpdesk will be unavailable on weekends and the following public holidays: 21, 22 and 25 April and 9 May. 2011.

VII.4 General requirements

1. The proposal application form (the original and four copies), the declaration of honour, the supporting documents and the CD-ROM must be sent in one single batch. Proposals arriving in various packages will not be accepted and automatically rejected.
2. The awarding authority may request clarification at any time on the contents of the application documents submitted. Any clarification or information so requested must be delivered **within 5 working days** of the request by e-mail to: EAHC-PHP-CALLS@ec.europa.eu or by fax to: +352 4301 30359. Additional documentation not included in the single batch application package will not be taken into consideration.
3. In all correspondence relating to this call (e.g. when requesting information, or submitting an application), reference must be clearly made to this specific call. Once the Awarding authority has allocated a registration number to a proposal, indicated in the acknowledgement of receipt, the applicant must use this number in all subsequent correspondence.

VIII. PROTECTION OF PERSONAL DATA

All the applications received by the EAHC will be treated confidentially and all personal data contained in the applications or related to the call will be processed in accordance with Regulation (EC) No 45/2001 of the European Parliament and of the Council on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data. For more information, please refer to the website of EAHC: http://ec.europa.eu/eahc/about/data_protection.html.

Section 3

Guide for Applicants

Call for Proposals 2011

Operating grants

GUIDE FOR APPLICANTS



Directorate-General for
Health & Consumers



Executive
Agency for
Health and
Consumers

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PREFACE

Dear Applicant,

Welcome to the guide for submitting a proposal for an operating grant to the second Programme of Community action in the field of health (2008 – 2013).

It has been designed to offer you a user-friendly tool that guides you through the submission procedure and the application forms. It also serves as a reference tool and can be used as a quick guide to answer any questions you may have when preparing your application.

However, this is not a legally binding document. In case of doubt please consult the second Programme of Community action in the field of health (2008 – 2013), the annual work plan for 2011 or the Call for Proposals for operating grants document.

The guide consists of two chapters:

- Chapter 1: General information
 - Describes the legal terms and general conditions for participating in the second Health Programme, and more specifically for applying for an operating grant;
 - Explains the Health programme's evaluation and selection process that operating grants proposals are subject to;
 - Lists the documents needed to prepare a complete operating grant proposal and gives recommendations to organise your work;
 - Describes informatics aspects, such as software requirements and configuration of settings;
 - Presents the structure of the operating grant application form;
 - Describes the procedure how to submit the operating grant proposal.
- Chapter 2: Practical Information

Provides a step-by-step description of how to fill in the application form for operating grant proposals.

In case of further questions the following options are at your disposal:

- 1) the Frequently Asked Questions (FAQ), which can be found on-line <http://ec.europa.eu/eahc>.
- 2) The Helpdesk of the Executive Agency for Health and Consumers (EAHC) can be contacted via e-mail: EAHC-PHP-CALLS@ec.europa.eu

- 3) The EAHC Helpdesk, via telephone contact: +352-4301-37707. This Helpdesk is open on weekdays between 9.30 -12.00 am and 2.00 - 5.00 pm.

Please do not contact the Helpdesk before having tried to find the information in the documentation that is provided to you. The Helpdesk is unavailable on weekends and the following public holidays: 21, 22 and 25 April and 9 May. 2011.

This guide will be updated annually to make it as user-friendly as possible. You are more than welcome to share with us your comments and suggestions on how to further improve the guide by sending an e-mail to the Helpdesk.

Finally, please be aware that filling in the form can take some time, even if you have all the necessary documents at your disposal. Do not wait until the last minute to complete the form. We advise to draft an extensive outline of the proposal in a free style and then edit your text so that it fits into the different sections/points of the application form. Avoid typing directly into the windows.

Good luck!

Your EAHC Health Call Team

PREAMBLE

This Guide for Applicants does not supersede the rules and conditions laid out in the following documents:

- Council Regulation (EC, Euratom) No 1605/2002 of 25 June 2002 on the Financial Regulation applicable to the general budget of the European Communities¹, amended by Council Regulation (EC, Euratom) No 1995/2006 of 13 December 2006² and Council Regulation (EC, Euratom) No 1525/2007 of 17 December 2007³, hereafter referred to in this document as the Financial Regulation;
- Commission Regulation (EC, Euratom) No 2342/2002 of 23 December 2002 laying down detailed rules for the implementation of the Financial Regulation amended by Commission Regulation (EC, Euratom) No 1261/2005 of 20 July 2005⁴, by Commission Regulation (EC, Euratom) No 1248/2006 of 7 August 2006⁴ and by Commission Regulation (EC, Euratom) No 478/2007 of 23 April 2007⁵, hereafter referred to in this document as the Implementing rules of the Financial Regulation;
- Decision No 1350/2007/EC of the European Parliament and of the Council of 23 October 2007 establishing a Second Programme of Community action in the field of Health (2008-2013)⁵ referred to in this document as Decision No 1350/2007/EC;
- Commission Decision published on 3 March 2011 (OJ C 69/2011 pp. 01) on adopting the work plan for 2011 for implementation of the programme of Community action in the field of health (2008 - 2013), including budgetary implications and funding criteria for grants, hereafter referred to in this document as the Work plan 2011;

¹ OJ L 248, 16.9.2002, p. 1

² OJ L 390, 30.12.2006, p. 1

³ OJ L 343, 27.12.2007, p. 9

⁴ OJ L 201, 2.8.2005, p. 3

⁴ OJ L 227, 19.8. 2006, p. 3

⁵ OJ L 301, 20.11.2007, p. 13

⁵ OJ L 111, 28.4.2007, p. 13

- 2011 Call for operating grant proposals – Second Programme of Community action in the field of Health (2008- 2013), hereafter referred to in this document as Call for proposals for operating grants;
- Operating grant agreement template, hereafter referred to in this document as the grant agreement.

CHAPTER 1: GENERAL INFORMATION

1. LEGAL FRAMEWORK AND PARTICIPANTS

1.1. Objectives of the Health Programme and 2011 work plan

On 23 October 2007, the European Parliament and the Council adopted a Decision establishing a second programme of Community action in the field of health (2008 - 2013).

The general objectives of the programme are:

- to improve citizens' health security;
- to promote health, including the reduction of health inequalities and
- to generate and disseminate health information and knowledge.

The 2011 work plan sets out the activities, grouped in strands, to implement the programme's objectives.

1.2. EU contribution

Operating grants are supporting the functioning of a non-governmental body or a specialised network and cover one accounting year.

The total indicative amount for the call for proposals for operating grants in 2011 is estimated at EUR 4.000.000. They are calculated on the basis of eligible costs incurred.

The maximum co-funding request from the European Commission shall not exceed 60 % per work programme proposal. A maximum co-funding request of 80% per work programme proposal can only be envisaged where a work programme meets the criteria for exceptional utility (see Annex VII of the 2011 work plan). The awarding authority will determine in each individual case the maximum percentage to be awarded.

Operating grants may be awarded to renew operating grants awarded to non-governmental bodies/specialised networks under the work plan 2010. New operating grants may be awarded to non-governmental bodies/specialised networks active in areas corresponding to the priorities of the Health Programme and to the priorities of the work plan as set out in point 3 Priorities for 2011.

As laid down in Article 4(2) of the Programme Decision, the renewal of financial contributions set out in paragraph 1(b) to non-governmental bodies and specialised networks may be exempted from the principle of gradual decrease. As a general rule, this exemption will apply to applicant organisations not receiving any of their funding from the private sector⁶ or other conflicting interest for their functioning (core funding). For all other renewed operating grants, a decrease of 5 percentage points as compared to the EU co-financing percentage agreed in the grant agreement following the call for proposals 2010 will be applied. In any case, the amount of EU co-funding cannot be higher than the amount granted in 2010.

Annex III of the Work plan 2011 lists the exclusion, eligibility, selection and award criteria for operating grants. Annex VII contains the criteria for exceptional utility. Annex VI explains the criteria for independence from industry, commercial and business or other conflicting interest applicable to operating grants under the second programme of Community action in the field of health (2008-13).

The activities covered by the operating grant must comply with paragraph 2 and 3 of the work plan 2011.

1.3. Timing and duration

The Union financial support for the functioning of a non-governmental body or a specialised network will cover one accounting year, starting according to the relevant legislation in each participating country.

1.4. Role and responsibility of the beneficiary

When - following a positive evaluation of the operating grant proposal - a decision for funding is taken, a grant agreement can be signed between the EAHC and the beneficiary. However, signing of a grant agreement is only possible if also the negotiation procedure (see graph 2 in this guide) is successful.

As opposed to projects (action grant), an operating grant can be awarded only to a single beneficiary.

- According to Article 173 of the Implementing rules of the Financial Regulation, the beneficiary shall annex to the proposal proof of his/her organisation's legal entity and demonstrate his/her financial and operational capacity to complete the proposed work programme.
- The beneficiary has full responsibility to ensure that the work programme proposed is implemented according to the grant agreement. He is responsible for the technical and financial management of the work programme; he is also responsible for the administrative management of the work programme by providing the EAHC with all required documents and information, particularly in relation to payment requests (i.e. original accounting documents, signed copies of sub-contracts etc.);

⁶ The term 'private sector' covers 'for-profit' companies/enterprises/corporations, business organisations or other entities irrespective of their legal nature (registered/not registered), ownership (wholly or partially privately owned/state owned) or size (large/small), if they are not controlled by the public.

- The beneficiary shall inform the EAHC of transfers between items of eligible costs, as indicated in Article I.4.4 of the grant agreement;
- Any claims the EAHC may have addressed to the beneficiary regarding the grant agreement shall be immediately answered by him;
- The beneficiary is responsible, in the event of audits, checks or evaluations, as described in Articles II.6 and II.20 of the grant agreement, for providing all the necessary documents, including originals or certified copies of the original accounting documents and certified and signed copies of sub-contracts, if any have been concluded by him in accordance with Article II.9 of the grant agreement.

1.4.1. Subcontracting

- The beneficiary is expected to have the resources necessary to carry out the proposed work programme. Nevertheless, in certain circumstances, subcontracting some aspects of the work may be more cost effective or efficient.
- Subcontractors are service providers to the beneficiary who fully funds (100%) their activity;
- Subcontractors shall not contribute financially to the operating grant;
- Subcontractors have no access or rights to the results of the work programme implemented.

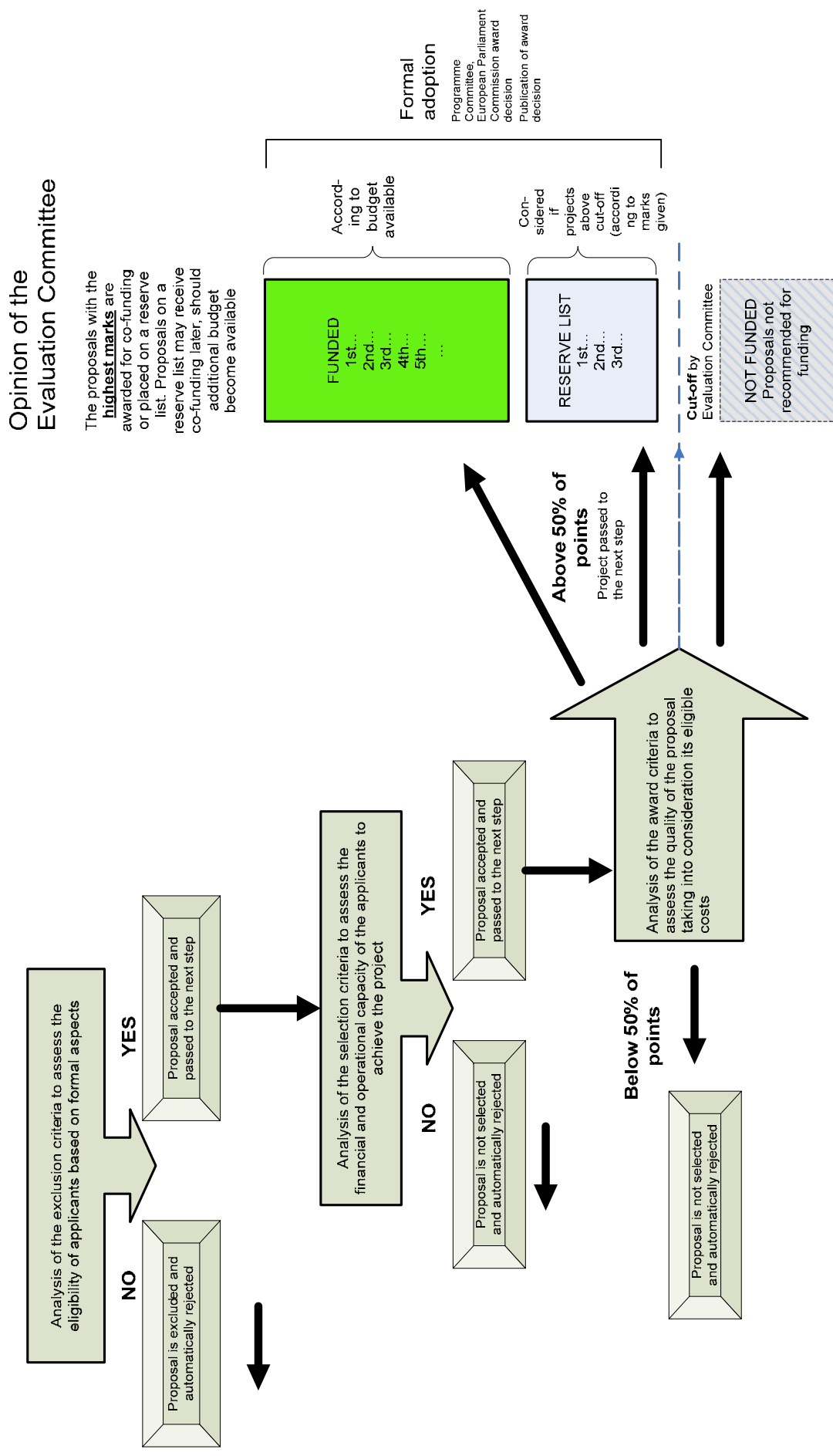
2. SELECTION AND EVALUATION OF THE PROPOSALS

The section describes how the proposals received are selected for funding, including the overall process and the evaluation criteria.

2.1. Diagram of the EAHC's operating grants selection process

Graph 1: Selection process

The Evaluation Committee evaluates and selects proposals on the basis of exclusion, selection, and award criteria following check of proposals and including a review by expert panels



2.2. Evaluation criteria

2.2.1. General principles

Evaluation of proposals is carried out in **strictest confidence**.

Proposals must comply with the following principles:

- **Co-financing rule:** external co-financing from a source other than EU funds is required, either by the beneficiary own resources or financial resources of third parties;
- **Non-profit rule:** the activities carried out by the non-governmental body or specialised network may not have the purpose or effect of producing a profit for the beneficiary;
- **Non-retroactivity rule:** expenditure eligible for financing must be incurred **after** the starting date of the financial year stipulated in the grant agreement;
- **Non-cumulative rule:** a single operating grant may be awarded for the work programme carried out by the beneficiary in the relevant financial year.

2.2.2. Eligibility

In addition to the 27 Member States of the European Union, the call is also open to the participation of EFTA-EEA countries within the context of the Agreement on the European Economic Area (Iceland, Liechtenstein and Norway) and Croatia. Organisations from these countries that fulfil the criteria defined in Annex III of the 2011 Work plan can receive funding for operating grants from the second Health Programme.

Financial contributions by the Union may be awarded to the functioning of a non-governmental body or the costs associated with the co-ordination of a specialised network by a non-profit body. A specialised network is a European network representing non-profit bodies active in the Member States or in countries participating in the second Health Programme and promoting principles and policies consistent with the objectives of the Programme, which have a relevant track record of joint achievements and established rules of collaboration (e.g. SOPs or a memorandum of understanding). A non-governmental body/ specialised network may receive funding if it:

- is non-profit making and independent of industry, commercial and business or other conflicting interests;
- has members in at least half of the Member States;
- has a balanced geographical coverage;
- pursues as its primary goal one or more objectives of the Programme;
- does not pursue general objectives directly or indirectly contrary to the policies of the European Union or associated with an inadequate image;

- has provided to the Commission satisfactory accounts of its membership, internal rules and sources of funding;
- has provided to the Commission its annual work programme for the financial year and the most recent annual activity report and, if available, the most recent evaluation report;
- is not in any of the situations of exclusion listed in Articles 93 and 94 of the Financial Regulation.

2.2.2.1 - Legal and financial independence, transparency

This paragraph, 2.2.2.1, does not apply to public bodies.

To be eligible for funding, the applicant organisation has to be legally independent from other entities representing industry, commercial and business or other conflicting interests.

Two legal entities shall be regarded as independent of each other where neither is under the direct or indirect control of the other or under the same direct or indirect control of a third entity as the other. This will particularly apply to the holding of majority of voting rights of the shareholders or associates of the legal entity, and the direct or indirect control of decision-making powers, in fact or in law, in the legal entity concerned.

In addition, the applicant organisation must unilaterally commit not to receive more than 20% of their core funding from private sector organisations representing a conflicting interest, or from other sources representing a conflicting interest during the financial year covered by the grant (financial independence).

Finally, the applicant organisation must comply with the transparency criteria as indicated in Annex VI of the Work Plan 2011.

Assessment

Legal independence and transparency will be assessed retroactively based on the supporting documents as listed under 'VI.1 Application package' (e.g. statutes / articles of association, registration certificate, records of the past two years). Additionally other information sources or indirect sources (e.g. information on the website of the applicant organisation) will also be considered.

At the time of submitting applications, the applicant organisation must submit a unilateral commitment to not receive more than 20% of its core funding from private sector organisations representing a conflicting interest or from other sources representing a conflicting interest. A "unilateral commitment form" is provided as integral part of the application form. The financial independence will be assessed based on the financial information for the financial year for which the grant is awarded at the time of the final report. This information will have to be provided in accordance with the provisions in Annex VI of the Work Plan 2011.

Please refer to Annex III and VI of the Work plan 2011 for more information on the requirements of legal and financial independence and transparency for applicants for operating grants.

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1. The applicant has to fill in the "unilateral commitment" form, based on Annex VI, section 2. This form can be found at the end of the application form. It has to be printed, signed by the legal representative of the applicant organization and submitted with the application (original).

2. The financial independence will be assessed at the end of the grant. For this purpose the financial information for the year the operating grant was given has to be reported in the form provided for this purpose and available on the EAHC web-site.

2.2.3. Exclusion criteria

Exclusion criteria apply in accordance with Article 174 of the Implementing Rules of the Financial Regulation. Financial and administrative penalties may apply in accordance with Article 175 of the Implementing Rules of the Financial Regulation.

The exclusion criteria are described in Annex III of the Work Plan 2011, "*Criteria for financial contributions to the functioning of a non-governmental body or a specialised network (operating grants) under the second programme of Community action in the field of health (2008-13)*". By signing the Declaration of honour Applicants must ensure that they are not in any of the situations of exclusion listed in Articles 93 and 94 of the Financial Regulation. If one or more of these criteria are not fulfilled, the proposal will be excluded.

If one or more of these criteria are not fulfilled, the proposal will be excluded immediately and not submitted to the evaluation of the selection or award criteria.

2.2.4. Selection criteria

Only proposals which have responded to the requirements of the exclusion criteria will be eligible for further evaluation. Selection criteria apply according to Article 176 of the Implementing Rules of the Financial Regulation.

The selection criteria applicable to the call for proposals for operating grants are described in Annex III of the Work Plan 2011, "*Criteria for financial contributions to the functioning of a non-governmental body or a specialised network (operating grants) under the second programme of Community action in the field of health (2008-13)*".

If one of these criteria is not fulfilled, the proposal will not be selected and not submitted to the evaluation of the award criteria.

2.2.5. Award criteria

Only operating grants proposals which have satisfied the requirements of the exclusion and the selection criteria will be eligible for further evaluation by external experts and the Evaluation Committee on the basis of the following award criteria, also described in Annex III of the 2011

work plan. The content of the text boxes below is meant as orientation and has a purely informative role.

A. Policy and contextual relevance of the non-governmental body's or specialised network's annual work programme (25 points; threshold 13 points)

(a) Consistency of the annual work programme with the second programme of Community action in the field of health and its annual work plan in terms of meeting the objectives and priorities (10 points)

The annual work programme must be compatible with the second Health Programme and 2011 work plan; it must clearly cover one or several priority topics of the annual work plan (it can partly address one or several annual work plan priorities). Priority will be given to proposals addressing the preferential areas defined in the work plan.

(b) Organisation's activities (10 points);

- The organisation's activities⁷ must be described in relation to the priorities detailed in the Work Plan for 2011

The activities carried out by the organisation overall should be directly related to the priorities detailed in the work plan for 2011 and to the actions mentioned in the second programme of Community action in the field of health.

(c) Pertinence of the geographical distribution of the non-governmental body or specialised network (5 points):

- The annual work programme of the applicant should include activities in a representative number of participating countries.

Actions funded within the EU Health programme are expected to contribute to solving health problems at the European level. The work programme proposed by the non-governmental body/specialised network should address health problems across Member States. As public health practices and policies differ considerably between EU Member States, the organisations funded within the EU Health Programme should take account of this geographical, cultural and social diversity: their programme should be represented in a sufficient number of different EU Member States and candidate countries, according to the objectives and target group of the actions

B. Technical quality of the annual work programme (40 points; threshold 20 points)

(a) Purpose of the annual work programme (10 points);

- Purpose of the annual work programme: the work programme of the applicant must clearly describe all objectives of the organisation or the specialised network and their suitability for achieving the expected results. The applicant must demonstrate that the work programme submitted gives a true and fair view of all activities planned for the organisation/specialised network in 2011, including those activities which do not fit in the Work Plan for 2011 of the second Health Programme.

The relevant evidence on which the work programme bases itself has to be produced. It may concern the analysis of the health problem and its impact on quality of life and on society (incidence, prevalence, distribution in the population, evolution over time, seriousness...), the analysis of the factors underlying the problem (factors regarding human biology, quality of health care, lifestyle, physical and social environment, risk factors, protective factors), the effectiveness of the proposed measures, or the applicability in the proposed context. This context analysis should look at elements in the environment which may facilitate or hinder the work programme implementation process.

⁷ Lobbying activities exclusively targeted at EU Institutions are excluded from funding

(b) Operational Framework (10 points);

- Operational framework: the applicant's work programme should clearly describe the activities planned, tasks, responsibilities and timetables of the part of their work programme consistent with the Work Plan for 2011 of the second Health Programme and describe its relationship with the other parts of their activity.

The applicant's work programme for 2011 should be described shortly and attached to the application as supporting document. This should include the activities planned and deliverables to be achieved and be preceded by a problem analysis and evidence base for the organization's main activities. This should also include the applicant's relationship with the overall non-governmental body or specialised network activity framework.

(c) Evaluation strategy (10 points);

- The applicant's work programme must describe the internal and external evaluation of their activities and the indicators to be used.

This concerns the organisation and its annual work programme internal evaluation, a systematic appraisal of the quality of the work programme (e.g., whether the actions outcomes are useful and meet the user needs), and its effects (e.g., whether the work programme achieved its objectives and had an impact on the target group). The evaluation methodology should be adequate (formulation of specific evaluation questions and for each evaluation question, methods to collect data), inferred from an evaluation plan, specifying purpose, questions, design, method, measurement instruments, and the task, responsibilities and timing of the evaluation and based on indicators which are variables measuring the performance of the organisation and the level to which the work programme is being implemented.

(e) Dissemination strategy (10 points);

- The beneficiary must clearly illustrate the adequacy of the actions and methods for communication and dissemination.

Dissemination refers to the process of making the results and deliverables of the work programme available to the stakeholders and a wider audience. The dissemination can be based on the results of a stakeholder analysis. A dissemination plan may be elaborated, explaining how the organization plans to share outcomes with stakeholders, relevant institutions, organizations, and individuals. Specifically, the dissemination plan should illustrate what will be disseminated (key message), to whom (audience), why (purpose), how (method), and when (timing). The dissemination should highlight the EC co-funding and contribute to the overall promotion of the second Health Program.

C. Management quality (35 points; threshold 18 points)

(a) Planning of the annual work (10 points);

- The applicant must describe the activities to be undertaken, the timetable; the list of deliverables and provide the nature and the distribution of tasks and a risk analysis.

To achieve its objectives and bring about the intended changes, the work programme foresees a number of activities. These actions need to be described to serve as a guideline for the work programme implementation.

All activities must be presented in a realistic timetable, taking into account the fact that some activities must be completed before others may start. The timetable must specify clear milestones. A milestone is a scheduled event signifying an important decision making moment or the completion of a deliverable, thus allowing a proper monitoring of the work programme implementation. The time to complete the tasks and objectives of the work programme must be realistic, taking into account the available resources (person/days) and capacities.

A deliverable is a physical output related to a specific action of the work programme. Each deliverable must be assessable by the stakeholders and the EAHC.

Even in the best-planned work programmes there are uncertainties and unexpected events can occur. A risk analysis at the start of the work programme implementation will help to predict the risks that could prevent the organisation from delivering on time or even failing. A risk is an uncertainty of outcome of an action or event. A risk analysis addresses the questions what could possibly go wrong, what is the likelihood of it happening, how it may affect the work programme implementation, and what can be done about it.

(b) Organisational capacity (10 points):

- The applicant must describe the management process, human resources and competencies of staff, responsibilities, internal communication, decision making, monitoring and supervision. The applicant must also specify the working relationships with relevant partners and stakeholders.

The capacity of the beneficiary to implement the work programme in relation to the specific objectives has to be demonstrated. If appropriate, there should be a clear division of responsibilities and tasks within the non-governmental body/specialized network, between the organisation members. The relevant staff must have the necessary skills, expertise and authority to lead a team and to achieve the work programme objectives. He or she should also be capable of using the resources in a flexible way. The management of an EU-level health work programme implies the coordination of several members located in different countries. It is thus important to have a good communication, which details how information will flow between the different places of action, how decisions will be taken, by whom, and what the procedure will be in case of conflict. The management of a work programme requires the systematic monitoring to check whether the activities are implemented according to plan (measured by milestones), whether results and deliverables are attained (measured by indicators) at the milestones, if there are obstacles or difficulties which may prevent the organisation from delivering, and to assure the overall quality of the work programme implementation.

(e) Overall and detailed budget (10 points):

- The applicant must ensure that the budget is relevant, appropriate, balanced and consistent in itself and for the activities planned.

Applicants are reminded that the purpose of an operating grant is to provide financial support for the existence and functioning of the applicant organization and not to support specific activities. Hence the budget should reflect the normal operating expenses. The overall budget should be balanced and respecting the rules stated in this guide (see financial section below). It should be coherent with the objectives of the work programme and the costs per expenses category should be reasonable.

(f) Financial management (5 points):

- The applicant must describe the financial circuits, responsibilities, reporting procedures and, where possible, controls.

The financial circuits, responsibilities, reporting procedures and controls should be described with sufficient details so that the quality of the proposed work programme's financial management could be assessed by the evaluators or any stakeholder.

Maximum total score is 100, the minimum 51. Weightings of each block of criteria as a total are the following:

	Maximum	Minimum
Policy and contextual relevance of non-governmental body/specialised network's annual work programme	25	13
Technical quality of the annual work programme proposed	40	20
Management quality	35	18
SUM 100		51

Following the evaluation, proposals recommended for funding are drawn up in a list, ranked according to the total marks awarded. Depending on budget availability, the highest ranked

proposals will be awarded for co-funding. New operating grants and operating grants to be renewed compete separately for the available budget.

The remaining proposals recommended for co-funding will be placed on a reserve list. Any proposals failing to meet the overall threshold or the threshold in one criteria block will be rejected.

2.3. Steps following the selection and evaluation procedure

This part describes the steps which are taken once the evaluation of the operating grant proposals has been finalized.

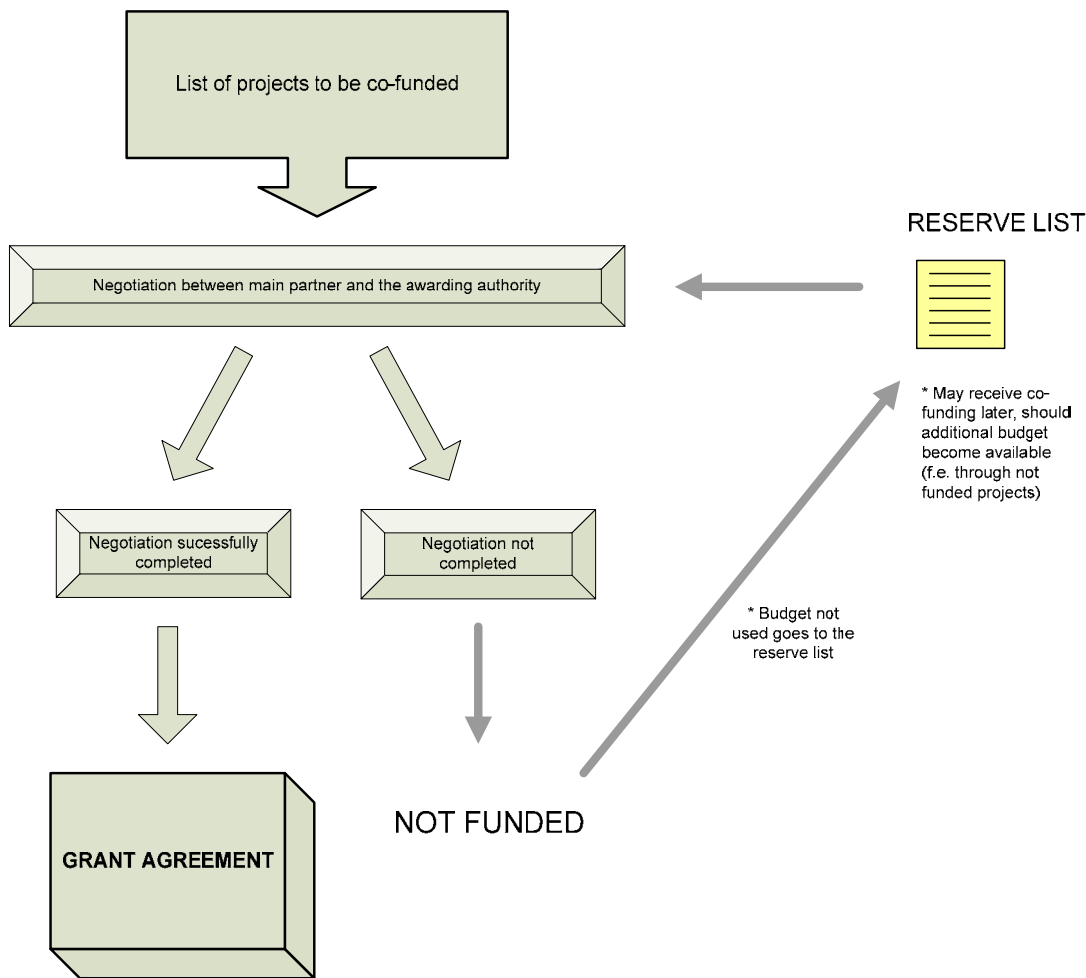
2.3.1. Process following recommendation for funding

After the Award decision the applicant will be notified in writing of the outcome of the evaluation together with a brief evaluation report.

Applicants of co-funded proposals will be invited to undertake discussions with the EAHC for negotiation. The EAHC may suggest modifications to the original proposal based on the results of the evaluation. At this stage, co-funding is still subject to a successful outcome of the negotiations (see also graph below).

Applicants should also note that the EAHC may offer successful applicants a lower contribution than the amount requested, or may attach specific conditions to the award of financing. This may particularly occur if the request for funding is higher than 60 % of eligible costs.

Graph 2: Process following recommendation for funding



2.3.2. Financial viability

In addition, during the negotiation procedure, if any, further administrative and financial information might be requested by the EAHC to assess the viability of the proposed work programme. The participants have to demonstrate that they have all the human, financial and technical resources required for carrying out the work. The EAHC may seek to safeguard the interest of the European Union by asking for a **bank guarantee** or other suitable measures.

Only after a successful completion of the negotiation procedure, the EAHC will offer a grant agreement.

3. IT ASPECTS RELATED TO THE APPLICATION FORM

The application form is only available as an Adobe file.

The proposal must be submitted in Adobe Acrobat Reader, version 8.1.3 or higher.

3.1. Installing and updating Acrobat Reader

You are strongly recommended to install or update Adobe Acrobat Reader before opening the application form. **The required version is Adobe Acrobat Reader 8.1.3 or more recent version.**

The installation and update of Adobe Acrobat Reader is completely free of charge.

The following link gives you access to the page where you can download Adobe Acrobat Reader 8.1.3 or higher version:

<http://get.adobe.com/reader/>

If you need more help for downloading, please visit the Adobe download support webpage:

<http://www.adobe.com/support/reader/>

3.2. Required Configuration to install Adobe Reader 8.1.3.

3.2.1. Windows Operating Systems

- Windows XP Professional, Home Edition, or Tablet PC Edition with Service Pack 2 or 3; Microsoft® Windows® 2000 with Service Pack 4; Windows 2003; Windows Vista™; Windows 7
- Intel® 1,3GHz or equivalent processor
- 512MB of RAM (1024MB or more recommended)
- 170MB of available hard-disk space
- Microsoft Internet Explorer 7.0 or higher, Firefox 1.5 or higher

3.2.2. Macintosh Operating Systems

- PowerPC® G3 or higher
- Mac OS X v.10.4.11 – 10.6.6
- 512MB of RAM (1024MB or more recommended)
- 170MB of available hard-disk space

3.3. Fields of the application form

The general characteristics of the fields are shown below:

a) Fields to be completed



Mandatory zones in red with an asterisk



Grey zones to be filled in when applicable



Blank fields for proposal content



Dropdown lists

b) Automatically completed fields



Striped bright red zones



Striped in bright grey zones

The information entered in the mandatory red zones referred to in paragraph a) above is automatically transferred to the corresponding red striped zones. To insert changes in the red striped zones, the corresponding red zones must be modified.

3.4. Saving the application form

When you download the application form, please save it, using “save as”, on your hard disk and name it.

Due to the characteristics of the application form, it is strongly recommended to save it frequently and to create backup versions, mainly before locking it.

3.5. Validating and locking the application form

Once you have completed the application form, you must check that all fields have been filled in correctly and that you have not omitted any mandatory information (the button "Highlight fields" placed at the top-right corner of the will border the mandatory fields in red). This is called validating the form. Once you have validated your form you can still modify its content.

After validating the application, and if you are confident that no further changes must be introduced, you can proceed to locking the application form. Once you have locked the form you can no longer modify the information it contains. Your work is completed and you will be provided with an automatically created IT number, which will appear at the bottom of each page on your application form.

4. PROTECTION OF PERSONAL DATA

All the applications received by the EAHC will be treated confidentially and all personal data contained in the applications or related to the call will be processed in accordance with Regulation (EC) No 45/2001 of the European Parliament and of the Council on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data. For more information, please refer to the website of EAHC:

http://ec.europa.eu/eahc/about/data_protection.html.

5. SUBMITTING THE APPLICATION FORM

5.1. What is required to submit the proposal?

5.1.1. *Packaging and delivery and content*

The proposal must be sent **in one single batch** by postal mail, hand delivery or private courier service. Refer to paragraph VII. of the Call for proposals for operating grants 2011 for complete information on the proposal submission procedure and the required content of the application package.

Proposals must be delivered to the address, as specified in the Call for proposals for operating grants 2011:

European Commission
CALL FOR PROPOSALS “HEALTH-2011”
OPERATING GRANTS
Bâtiment Jean Monnet
Rue Alcide de Gasperi
L-2920 LUXEMBOURG

Submission by fax or electronic mail will not be accepted.

Proposals submitted to the awarding authority remain the property of the awarding authority and will not be returned.

5.1.2. *Signing the form*

Signing the form occurs through signing the declaration of honour.

5.1.3. *Submission deadline*

The deadline for submitting proposals is specified in the Call for proposals for operating grants: 27 May 2011. Proposals can be submitted in any way described in paragraph VII of the Call for proposals for operating grant.

Applicants are reminded that they are responsible for ensuring safe delivery of their proposal.

5.1.4. Acknowledgement of receipt

Once your proposal has been received and registered by the EAHC, an acknowledgement of receipt will be dispatched to the applicant. The acknowledgment of receipt is included in the application form. Please check if your address is correct. The acknowledgement of receipt will contain a reference number which must be mentioned in all correspondence concerning the proposal.

Applicants who have not received an acknowledgement of receipt by 17 June 2011 should contact the EAHC Helpdesk.

How and when is the applicant informed whether the application has been accepted?

The EAHC cannot provide any information while the applications are being evaluated.

All applicants will be informed within 15 calendar days after the final award decision, in accordance with the Implementing rules of the Financial Regulation.

It is unlikely that any information will be available before 30 September 2011 at the earliest.

5.2. Additional recommendations

Competition: The call will most likely be highly competitive. A weak element in an otherwise good proposal might make it lose out to others. Therefore edit your proposal carefully to improve on or eliminate weak elements. We strongly suggest using the self-assessment form available on the EAHC web-site.

Completeness: Proposals must include all relevant information, as they are evaluated only on the basis of the written material submitted. Follow the format of the application form and attach the supporting documents requested.

Content: Successful proposals show full compliance with all award criteria.

Ethical issues: Clearly describe any potential ethical aspects and applicable regulatory aspects of the work programme to be carried out and the way they are dealt with according to relevant national and European rules⁸ and other relevant international guidelines.

Grant agreement: Check that the model grant agreement conditions are acceptable for your organisation. Submission of a proposal means acceptance of the conditions laid down in the model grant agreement.

Management: Clearly indicate ability for high-quality management adapted to the scope of the intended work programme.

Presentation: Good proposals are clearly drafted and are easy to understand. Good proposals are precise and concise, not “wordy”; evaluators appraise on substance, not on number of pages.

⁸ E.g. the EU Charter of Fundamental Rights:
<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:C:2010:083:0389:0403:EN:PDF>

Results: Good proposals clearly show the results that will be achieved, and how the applicant intends to disseminate and/or use these results.

Specific actions and objectives: Check that your proposal does indeed address an activity included in the current call. Ineligible proposals or proposals not addressing activities not specifically mentioned in the call will be excluded.

Evaluation: good proposals include a scientifically sound and credible evaluation work package, not only focusing on process evaluation, but looking in particular at outcomes.

Last but not least:

Arrange for your draft proposal to be evaluated by your colleagues before sending it, using the evaluation criteria described in this guide. Use their advice to improve your proposal before submission.

1. Chapter II STEP BY STEP PROCEDURE

6. GENERAL ADVICE BEFORE STARTING

6.1. Documents to be consulted when preparing a proposal

- a) Second programme of Community action in the field of health (2008 – 2013);
- b) Work plan 2011 and its' annexes;
- c) 2011 Call for proposals for operating grants;
- d) Model grant agreement, especially the general conditions;
- e) Financial Regulation;
- f) Implementing rules of the Financial Regulation.

All documents can be downloaded from EAHC website at: <http://ec.europa.eu/eahc>

6.2. Languages

In principle, proposals for operating grants may be submitted in any official language of the European Union.

However, in order to facilitate assessment by the evaluators, an English translation should accompany any proposal written in another language. Therefore, if the proposal will be presented in another language than English, applicants should submit their applications both in hard copy (i.e. paper) and in electronic format in their own language and in English.

6.3. Other issues

In the application form, all the fields followed by an asterisk (*) are mandatory and have to be completed.

Numbers (amount, duration, person months) should be rounded up to the nearest whole number (**no decimals please**).

Percentages should be rounded up to the nearest **two decimals**.

All costs must be given in euro (NOT KILO €) and should **exclude value-added tax (VAT)**. If your country does not belong to the Euro-zone, please use the indicative exchange rate indicated in table 4.

The number of characters cannot exceed the maximum referred to below. Characters include alphabetic characters, numbers, punctuation and space. If you use a copy-paste function from a text of another document, please ensure that the paste was applied to your whole text and make sure that the pasted text has not been fragmented. Note that if your text is longer than the maximum number of characters referred to below, it will be automatically cut.

Please save all your work at regular intervals.

6.4. Questions

If you do not find an answer to your question in the:

1. guide for applicants, neither in Chapter 1 nor in Chapter 2;
2. latest version of the “Frequently Asked Questions” online;
3. documents mentioned in paragraph 4.1 above

You can turn to the Helpdesk by:

4. e-mail: EAHC-PHP-CALLS@ec.europa.eu;
5. phone: +352 4301-37707;
6. fax: +352 4301-30359

This Helpdesk is open on weekdays between 9.30-12.00am and 2.00- 5.00pm. Please note that the Helpdesk is unavailable on weekends and the following public holidays: 21, 22 and 25 April and 9 May. 2011.

7. FORM CONTENT - STRUCTURE

The application form, which can be downloaded from the website <http://ec.europa.eu/eahc> was structured in order to enter with the information required to the evaluation of the technical and financial viability and award criteria of the proposal. The application is divided in six main points:

1. Organisational information
2. Activities of the organisation
3. Management of the organisation
4. Other issues
5. Financial management
6. Financial viability information

Declaration of honour, Unilateral commitment

The beneficiary is required to send to the EAHC all required information.

8. FORM SECTION "1 - ORGANISATIONAL INFORMATION"

In all boxes, M indicates a mandatory field; NM indicates a non mandatory field.

<i>Field</i>	<i>Comment</i>	<i>M /NM</i>	<i>Maximum number of characters</i>
1.1 Organisation information	<u>Organisation legal name</u> : states the complete legal name of the organisation, in national language. For companies, the legal name must correspond to the name in the official trade/company registers. In the case of universities, governmental or non-governmental organisations not registered in trade/company registers, the legal name and address must be those appearing in the decree or other constituting documents establishing the organisation.	M	248
	<u>Acronym</u> : acronym of your organisation (if no existing acronym, you have to create one). The acronym of the proposal will consist of the acronym you entered plus the indication "FY2012", corresponding to financial year 2012 (year for which, in case, you will receive an operating grant).	M	10
	<u>Organisation status</u> : Select from the drop-down list the status (private or public).	M	Drop-down list
	<u>IBAN code</u>	NM	50
	<u>VAT number</u> : Value Added Tax number	NM	36
	<u>Legal registration number</u> : please provide the organisation's legal code number found in the legal trade register, e.g. register of a Chamber of Commerce or a business register.	NM	47
	<u>Number of employees</u> : please provide the number of employees in the applicant organization	NM	number
1.2 Address of organisation	<u>Street Name & No</u> : official location of the organisation.	M	186
	<u>Post code</u> : enter the numerical (alphanumeric for the United Kingdom and the Netherlands) post code with country prefix, e.g. B -1000 and not 1000 or UK -SW1H 9AS and not SW1H 9AS.	M	18
	<u>City</u> : please type the name of the city	M	62
	<u>Country</u> : select from the drop-down list	M	Drop-down list
	<u>Telephone</u> : please encode country and area code.	M	30
	<u>Fax number</u> : please encode country and area code.	M	30
	<u>Official Web site</u> :	NM	100
1.3. Contact person	<u>Title</u>	NM	10
	<u>Function</u>	M	50
	<u>Gender</u>	NM	Drop-down list
	<u>Family Name</u>	M	70
	<u>First Name</u>	M	70

	<u>Telephone:</u> please encode country and area code.	M	30
	<u>Fax:</u> please encode country and area code.	NM	30
	<u>Email:</u> This electronic mail will be used further on for any correspondence.	M	255
1.4. Legal representative	<u>Legal representative:</u> person who is a legal representative of the organisation and is empowered to sign grant agreements. The subfields are identical to those in 1.3	M	
1.5. Specific information about the organisation	<u>1.5.1. Mission and Vision:</u> describe the mission, vision statements and values guiding the organization's strategic definition of aims and objectives and how they are communicated to the key stakeholders.	M	1100
	<u>1.5.2. Governance, structure and membership:</u> Explain the role of the Board, decision making process, the organizational chart, definition of responsibilities, and criteria for membership	M	2200
	<u>1.5.3. Internal communication process:</u> describe the internal communication procedures to ensure information flow, transparent decision, coordination and conflict management.	M	1100
	<u>1.5.4. General objectives of the organisation and its main activities;</u> as based on statutes / multi-annual planning	M	2200
	<u>1.5.5. Organisation's general sources of finance for core activities and specific projects:</u> For core activities, list public and private sources of funding, including membership fees, etc. and the relative amount for each contribution. In addition describe funding received for specific projects / activities (e.g. conference, preparation of a publication)	M	2200
	<u>1.5.6 Grants or contracts obtained from EU institutions during the 3 last years:</u> list the grant agreements and contracts from the Union budget, providing title, acronym, amounts of co-funding and DG involved	M	275 per box
	<u>1.5.7 Grants applications submitted by the applicant organisation to the EU institutions in the current year:</u> list the grant agreements and contracts requested, specify the DG involved, provide title, acronym, amounts of co-funding	M	275 per box

9. FORM SECTION "2 - ACTIVITIES OF THE ORGANISATION"

Field	Comment	Maximum
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		<i>number of characters</i>
2.1. Priorities in the 2011 work plan	Please select the priority area and action the organization/network works or mark that this is a renewal of an operating grant from 2010 and then type the title into the field foreseen (maximum 150 characters). For the renewals, please enter also specify the amount granted in 2010 (only the number without comma or points).	
2.2 Synergies of the organisation's activities with the priorities of the WP 2011 including a description of the EU added value of these activities	Describe the potential contribution of the organization activities to the implementation of the priorities of the WP 2011 and other relevant EU policies.	2200
2.3 Problem analysis and evidence base for the organisation's main activities	Provide a problem analysis describing the situation and the evidence base (citing data, studies, etc.) for the general activities and overall objective of the organization / network.	2200
2.4. Summary of the organisation's work programme for 2012	Describe briefly the organization's foreseen work programme for 2012 including: objectives, activities and methods, means, expected outcomes, target groups and ethical aspects, links to the multi-annual planning of the organization (annual work plan / activity report of the present (2011) or previous (2010) year to be attached)	4000
2.5 Timetable	Indicate in the table the events and activities foreseen for the year 2012. For each activity you should enter the responsible and the months when the activity will occur. You can add and delete activities by using the (+) and (-) buttons.	
2.6 Risk analysis with respect to the activities planned for 2012	Describe the main internal and external factors that might risk the success of the activities, including the countermeasures to deal with the constraints (contingency planning).	1100
2.7 Deliverables	Please fill in the table with the deliverables to be produced under the 2012 work programme of the organization/network. A deliverable is a physical output related to a specific objective or an activity, e.g. a report, publication, newsletter, tool, website, etc. As one deliverable the applicant organization should prepare a leaflet describing its work, to be available electronically and in hard copy. Copies need to be provided to EAHC to promote the EU Health Programme. Enter the title of the deliverable (e.g. monthly newsletter), a brief description (e.g. the newsletter informs members and stakeholder about the recent	250 per box

	<p>activities of the organization, new publications, events etc.) and the ways to disseminate (e.g. web-site, mailings etc.).</p> <p>You can add and delete rows by using the (+) and (-) buttons.</p>	
2.8 Dissemination strategy	<p>Dissemination refers to the process of making the results and deliverables available to stakeholders and a wider audience. The dissemination could be based on the results of a stakeholder analysis. A dissemination plan should be elaborated, explaining how the organization/network will share the deliverables with stakeholders, relevant institutions, organizations, and individuals. Specifically, the dissemination plan should illustrate what will be disseminated (key message), to whom (audience), why (purpose), how (method), and when (timing). The dissemination should highlight EU co-funding and contribute to the promotion of the second Health Programme. This part refers to external dissemination only. Internal communication with the members should have been described under section 1.5.3.</p>	2200
2.9 Evaluation strategy	<p>Description of the internal and external evaluation of the activities, including the indicators to be used in order to verify that the objectives of the work programme have been achieved.</p> <p>The evaluation methodology should be adequate (formulation of specific evaluation questions and for each evaluation question, methods to collect data), inferred from an evaluation plan, specifying purpose, questions, design, method, measurement instruments, and the task, responsibilities and timing of the evaluation and be based on indicators. Indicators are variables measuring the overall performance and the level to which the set objectives are reached. If possible, the indicators should also specify target values (e.g. %).</p>	2200
2.10 Coordination with other organizations in the field	<p>Explain the partnership with other organizations, networks and government authorities, through sharing expertise, resources, developing synergies and influence policy and decision making.</p>	2200

10. FORM SECTION "3 - MANAGEMENT OF THE ORGANISATION"

All the elements in this section are mandatory.

<i>Field</i>	<i>Comment</i>	<i>Maximum number of characters</i>
3.1 Brief	Name, experience and suitability for the activities: specific	1100

profile(s) of person(s) managing the organization	experience in the field or with target group or specific beneficiaries, specific experience in management of non-governmental bodies/networks. Please also include all information showing the suitability of the person for the job proposed, availability for the action, estimated number of days of work. Curriculum vitae to be annexed to the application.	
3.2 Brief profile(s) of person(s) to be responsible for the activities foreseen	Name, experience and suitability for the activities: specific experience in the field or with target group or specific beneficiaries, specific experience in leading multi-country activities. Please also include all information showing the suitability of the person for the job proposed, and the estimated number of days of work. Curriculum vitae to be annexed to the application.	1100
3.3 Brief profile(s) of the financial manager of the organization	Name, experience and suitability to perform the activities: specific experience in the field of financial management for NGOs /networks including experience with EC grant, if applicable. Please also include all information showing the suitability of the person for the job proposed, availability for the action, estimated number of days of work. Curriculum vitae to be annexed to the application.	1100

11. FORM SECTION "4 - OTHER ISSUES"

In this section you should enter the links to the organisation's website where the appropriate documents are available concerning:

- Information on funding broken down by type (core and project funding, contribution in kind) and by funding entity
- Position statements regarding requirements of transparency
- Agreements with private sector actors concerning any kind of cooperation, sources of funds (if any)
- Code of good practice of the organisation (in any)
- Organisation chart (optional)
- For specialized networks: documents related to the joint track record

You can add and delete rows to the table by using the (+) and (-) buttons. The link description is limited to 250 characters.

12. FORM SECTION "5 - FINANCIAL MANAGEMENT"

12.1. General recommendations before to start to fill in the form

⇒ This part has to be filled in by the applicant.

- ⇒ You are strongly recommended to consult the model grant agreement and the Frequently Asked Questions (FAQ). Both can be found on-line <http://ec.europa.eu/eahc>.
- ⇒ If you cannot find the answer to your question among these two documents, you may send an e-mail or call the Health Helpdesk which has been set up for that purpose. But please do not contact the Helpdesk before having tried to find the information in the documentation that is provided to you.
- ⇒ You are also recommended to read carefully the definition of eligible costs and the definition of non-eligible costs which are provided hereafter in this document before starting to encode your financial data.
- ⇒ All costs/incomes must be given in euro (and not kilo €) and should exclude value-added tax (VAT).
- ⇒ If your country does not belong to the Euro-zone, please use the indicative exchange rates indicated hereafter in this document.
- ⇒ The costs/incomes shall be rounded to the nearest whole number (no decimals please).
- ⇒ To fill in the costs/incomes, highlight the zero which appears automatically and type in your figure.

12.2. Structure of the budget

The budget is split between Expenditure and Income.

Expenditure contains 3 titles:

- Staff;
- General administrative expenditure;
- Expenditure linked to the beneficiary's normal operations.

Income is composed of 4 titles:

- Operating income;
- Beneficiary's own contribution;
- EC contribution;
- Other external contribution.

As you will see in the application tool for the budget, you are required to introduce the amounts and a brief description in the relevant budget lines.

By clicking the '?' button, an information screen will open clarifying the type of costs concerned. The '+' and '-' buttons will allow you to respectively add or delete budget lines.

Once you introduced your budget amounts, the system will automatically update the subtotals and totals in the related forms.

12.3. Expenditure (5. Part A)

The various budget items are to be filled as aforementioned.

On the next pages, you will find specific details for following cost items:

- Staff costs;
- Telecommunication & computer costs;
- Mission costs;
- External service & procurement contracts.

12.3.1. Staff (5. Part A, Title 1)

	HEADING	BUDGET	DESCRIPTION		
Expenditure Title 1	STAFF				
Chapter 11	Own staff			?	
1101	Name + Function	0	Number of days X daily cost	+	-
1102	Name + Function	0	Number of days X daily cost	+	-
1103	Name + Function	0	Number of days X daily cost	+	-
	Total own staff	0			
Chapter 12	Interim staff			?	
1201	Name + Function	0	Number of days X daily cost	+	-
1202	Name + Function	0	Number of days X daily cost	+	-
1203	Name + Function	0	Number of days X daily cost	+	-
	Total interim staff	0			
Chapter 13	Other staff				
1301	Name + Function	0	Number of days X daily cost	+	-
1302	Name + Function	0	Number of days X daily cost	+	-
1303	Name + Function	0	Number of days X daily cost	+	-
	Total other staff	0			
	TOTAL STAFF	0			

Technical Notes

Three lines per staff category to identify the staff costs (with different salaries). Other lines can be added or removed (up to a maximum of fifty lines per chapter of staff cost) using the '+' and '-' buttons.

Heading: Enter the name of the staff member and of the main professional category/function concerned, e.g.: scientist (please specify the science it refers to: epidemiologist, nutritionist etc.), data manager, webmaster, secretary, administrative support, project manager etc.

Budget (€): This amount comprises actual salaries plus social security charges and other statutory costs included in the remuneration, provided that this does not exceed the average rates corresponding to the applicant's usual policy on remuneration. (See additional comments in the application form question marks in blue).

Description: Please ensure that the number of person-days multiplied by the daily cost of the staff member working for the implementation of the work programme corresponds to the budget amount are indicated.

For example, if the work programme involves one person during a period of 20 person days at the daily cost of 500 €, the number of person days x daily cost to be filled in is 20 x 500 € corresponding to a budget of 10.000 €.

Sub-total (€): For each chapter, the total is calculated automatically by the system.

Total staff (€): A total is provided for all staff costs taken together. It consists of the sum of the totals of each individual staff category.

Additional information

- ⇒ By staff cost is meant the proportion of costs incurred by the organisation in direct relationship to the time spent by its staff implementing the work programme, provided that these costs can be identified and justified by the accounting system of the applicant.

- ⇒ Costs for experts (external to the organisation) contributing to the implementation of the work programme and paid by the applicant on the basis of an invoice are not to be recorded as staff costs but as "other external services" costs.

Such costs should henceforth be added under either budget line "5. Part A, Title 2, Chapter 28 - External services" or line "5. Part A, Title 3, Chapter 39 – Other expenditure linked to the beneficiary's operations", depending if the costs concern general administrative expenditure or operational costs.

Where national legislation does not permit salary slips to be released to third parties for security or other reasons, the applicant is asked to submit a table showing the staff daily costs, number of days worked, time sheets and the total cost, which must be signed by the human resources manager. It is to be noted, however, that, once a grant agreement is awarded, the applicant can be requested to provide staff cost related supporting documents (including salary slips) in case of an audit at the applicant's premises.

12.3.2. Telecommunication and computer costs (5. Part A, Title 2, Chapter 23)

Chapter 23	Telecommunication and computers costs			
231	Depreciation for purchase and maintenance of equipment	0		
232	Depreciation for purchase and maintenance of software	0		
233	User support	0		
239	Other telecommunication and computer costs	0		
Total telecommunication and computer costs		0		

Technical Notes

Four lines for costs related to depreciation, maintenance of equipment, user support and other costs related to equipment.

Budget (€):

For each line of equipment referred to above, enter the sum of the costs related to it (portion of the depreciation only (see additional information below)).

Description:

Enter a generic title for each type of equipment.

Total (€):

A total is provided and consists of the sum of the costs put for telecommunication and computer.

Additional information

- ⇒ The rules on depreciation are covered in the model grant agreement Article II.12.2.
- ⇒ Only the portion of the equipment's depreciation corresponding to the duration of the work programme and multiplied by the rate of actual use of the equipment for the implementation of the work programme (% allocation to the work programme) may be taken into account, except where the nature and/or the context of its use justifies different treatment as approved by the EAHC.
- ⇒ Note that only cost related to equipment purchased by the applicant is eligible. Also, the purchase has to be recorded in the books of the applicant and the equipment must be specifically required for the implementation of the work programme.

⇒ The internal rules of the applicant in matter of depreciation of equipment have precedence to the general EC rules provided that these applicant's own depreciation rules are in accordance with the tax and accounting rules applicable to the applicant and generally accepted for items of the same kind. The applicant will be requested to confirm - during the grant agreement negotiation phase - if he will apply his existing internal rules or the EC rules.

Regarding the EC rules on depreciation, the following shall apply:

- Equipment and hardware expenses are depreciated over 3 years (e.g. PCs, Printers, Fax);
- Specific furniture is depreciated over 5 years.

To illustrate the application of the EC depreciation rules, some examples have been elaborated for an operating grant of 12 Months (M1 to M12). For the listed equipment B to E, the changing parameter in the table has been put in bold, resulting in different conclusions:

Equipment	Price of purchase	Date of purchase	Depreciation rule 36 or 60 months	Number of months of depreciation	% Allocation to the work programme	Amount of depreciation
A	3.000 €	M1	36	12 = From M1 to M12	100%	$3.000 \text{ €} \times 12/36 \times 100\% = 1.000 \text{ €}$
B	3.000 €	M1	36	12 = From M1 to M12	75%	$3.000 \text{ €} \times 12/36 \times 75\% = 750 \text{ €}$
C	3.000 €	M7	36	6 = From M7 to M12	100%	$3.000 \text{ €} \times 6/36 \times 100\% = 500 \text{ €}$
D	3.000 €	M3	36	10 = From M3 to 12	100%	$3.000 \text{ €} \times 10/36 \times 100\% = 833 \text{ €}$
E	10.000 €	M1	60	12 = From M1 to M12	100%	$10.000 \text{ €} \times 12/60 \times 100\% = 2.000 \text{ €}$

12.3.3. Mission costs (5. Part A, Title 3, Chapter 32)

Chapter 32	Mission costs				?
321	Travel costs of staff		0		
322	Subsistence allowances of staff		0		
323	Travel costs of external invitees		0		
324	Subsistence allowances of external invitees		0		
Total missions costs			0		

Technical Notes

One line to identify the total travel costs (using the number of trips multiplied by an average cost per trip) and related subsistence allowances. Next, the total mission costs are automatically calculated by the system.

Budget (€): These cost items relate to the total amount for travel and subsistence costs of the applicant. A distinction is to be made between own staff and external invitees.

Total missions costs (€): The cost refers to the total amount for travel and subsistence costs.

Description: Enter the number of travel trips and the average cost per trip as well as indicative destinations.

Additional information

⇒ Only travel costs and subsistence allowances for own staff employed by the applicant (i.e. listed under Title 1 (Staff) of the expenditure budget) should be taken into account in the budget lines 321 and 322.

⇒ Travel and subsistence allowances for external invitees (not employed by the applicant) are to be reported in the budget lines 323 and 324.

⇒ During the actual implementation of the work programme, any recourse to missions in countries other than EU 27, applicant countries and EFTA-EEA countries - and not provided for in the concluded grant agreement -, shall be subject to prior written authorisation by the EAHC.

⇒ The internal rules of the applicant have precedence in matter of travel costs and subsistence allowances provided that they are in line with the applicant's usual practices on travel/subsistence costs. The applicant will be requested to confirm during the negotiation phase if he intends to apply his existing internal rules or the EC rules and rates. If such internal rules do not exist in the applicant's organisation, the following rules and rates approved by EC apply:

- According to EC rules the **travel expenses** are eligible under the following conditions:
 - The most economic mean of transport and the most direct route;
 - The distance must be of at least 100 km between the place of the meeting and the normal place of work (headquarter of the applicant in principle);

Means of transport and estimation of costs:

- For travel by rail the estimation of cost can be based on first class ticket fare;
- For travel by air (only for return journeys of more than 800 km) the estimation of cost can be based on the economy class ticket fare, unless a cheaper fare can be used (e.g.

Apex) or can be based on average of 600 € (return-ticket by person). However note that the balance payment will be established by taking into account actual costs;

- For travel by car the estimation can be based on the equivalent first class rail fare.
- The EC rules as regards **subsistence costs** are based on flat-rate subsistence allowances. They cover all subsistence expenses during missions, including hotels, restaurants and local transport (taxis and/or public transport). They apply in respect of each day of a mission at a minimum distance of 100 km from the normal place of work. The subsistence allowance varies depending on the country in which the mission is carried out.

The daily rates will correspond to the sum of the daily allowance and the maximum hotel price set out in the following tables (as set out in Article 13 of Annex VII of the Staff Regulations⁹):

Destination	Daily subsistence allowance	Hotel	Total
Austria	95,00	130,00	225,00
Belgium	92,00	140,00	232,00
Bulgaria	58,00	169,00	227,00
Cyprus	93,00	145,00	238,00
Czech Republic	75,00	155,00	230,00
Denmark	120,00	150,00	270,00
Estonia	71,00	110,00	181,00
Finland	104,00	140,00	244,00
France	95,00	150,00	245,00
Germany	93,00	115,00	208,00
Greece	82,00	140,00	222,00
Hungary	72,00	150,00	222,00
Ireland	104,00	150,00	254,00
Italy	95,00	135,00	230,00

Destination	Daily subsistence allowance	Hotel	Total
Latvia	66,00	145,00	211,00
Lithuania	68,00	115,00	183,00
Luxembourg	92,00	145,00	237,00
Malta	90,00	115,00	205,00
Netherlands	93,00	170,00	263,00
Poland	72,00	145,00	217,00
Portugal	84,00	120,00	204,00
Romania	52,00	170,00	222,00
Slovakia	80,00	125,00	205,00
Slovenia	70,00	110,00	180,00
Spain	87,00	125,00	212,00
Sweden	97,00	160,00	257,00
United Kingdom	101,00	175,00	276,00

Missions in countries other than EU 27, Acceding and Applicant countries and EFTA-EEA countries shall be subject to the prior agreement of the Executive Agency. This

⁹ Regulation 31/1962/EEC laying down the Staff Regulations of Officials and the Conditions of Employment of Other Servants of the European Economic Community and the European Atomic Energy Agency

agreement shall be related to the objectives of the mission, its costs and the reasons therefore. For these other countries not referred to above, the daily rates will correspond to the sum of the daily allowance and the maximum hotel price set out in Commission Decision C(2008) 6215.¹⁰

12.3.4. *Conclusion of external service and procurement contracts related to Title 3 – "Expenditure linked to the beneficiary's normal operations"*

Chapter 33	Operational data processing			?
331	IT data processing costs	0		
	Total operational data processing	0		
Chapter 34	Information and publication			?
341	Communications, Editions, Publications, WEB, Conferences	0		
	Total information and publication	0		
Chapter 35	Other services			?
351	Studies, Consultancy, Translation & interpretation and other services	0		
	Total other services	0		
Chapter 39	Other expenditure linked to the beneficiary's operations			?
391	Other expenditure linked to the beneficiary's operations	0		
	Total other expenditure linked to the beneficiary's operations	0		

Technical Notes

Separate lines to identify the costs related to external service and procurement contracts.

Budget (€): For each activity you intend to contract, enter the sum of the costs related to it.

Description: In addition to the tasks to be contracted, the name(s) of the contractor(s) are to be listed (if already known).

Total (€): For each line of external services referred to above, enter its corresponding costs.

Additional information

- ⇒ Core elements of the work programme cannot be contracted. The technical and financial management of the work programme is the legal responsibility of the applicant. These tasks cannot be transferred to a third party.
- ⇒ It must be clearly specified in the work programme which tasks are intended to be contracted and why this contracting is necessary.
- ⇒ Recourse to the award of contracts must be justified having regard to the nature of the work programme and what is necessary for its implementation. The tasks concerned must be set

¹⁰ Commission Decision C(2008)6215 of 18 November 2008: General implementing provisions adopting the Guide to missions for officials and other servants of the European Commission

out in Annex I and the corresponding estimated costs must be set out in detail in the budget in Annex II of the grant agreement.

- ⇒ Any recourse to the award of contracts not provided for in the initial grant application or amendment(s) is to be subject to prior written authorisation by the EAHC.
- ⇒ The applicant shall retain sole responsibility for carrying out the work programme and for compliance with the provisions of the grant agreement. The applicant must undertake to make the necessary arrangements to ensure that the contractor waives all rights in respect of the EAHC under the grant agreement.
- ⇒ The applicant must ensure that the awarded contract mentions in particular that:
 - The EAHC may, at any time during the grant agreement and up to five years after the end of the work programme, arrange for audits to be carried out, either by outside scientific or technological reviewers or auditors, or by the EAHC itself or OLAF;
 - The European Court of Auditors has the same rights as the European Commission and EAHC, notably right of access, for the purpose of checks and audits, without prejudice to its own rules.
- ⇒ If the applicant has to conclude contracts in order to carry out the work programme, the applicant is required to seek **competitive tenders** from potential contractors. The contract shall be awarded to the bid offering best value for money. In doing so the applicant has to observe the principles of **transparency** and **equal treatment** of potential contractors and shall take care to avoid any conflict of interests.

Estimated value of the external services (X)	Minimum of bids to be consulted for the competitive tenders (recommendation)
$X > 60.000 \text{ €}$	More than 5 bids
$25.000 \text{ €} < X < 60.000 \text{ €}$	At least 5 bids
$5.000 \text{ €} < X < 25.000 \text{ €}$	At least 3 bids
$X < 5.000 \text{ €}$	1 bid

- ⇒ Public partners: please note that your National procurement rules in matter of award of contracts are also applicable.

12.4. Incomes (5. Part B)

Please refer to the "Structure of the budget" (point 1.2 of this guide for applicants) to complete the income part of the budget.

13. OVERVIEW OF THE BUDGET

13.1. Global budget

GLOBAL BUDGET		
FINANCIAL YEAR 2010		
OPERATING EXPENDITURE AND INCOME BENEFICIARY		
PART A - EXPENDITURE		
Title 1	TOTAL STAFF	0
Title 2	TOTAL GENERAL ADMINISTRATIVE EXPENDITURE	0
Title 3	TOTAL EXPENDITURE LINKED TO THE BENEFICIARY'S NORMAL OPERATIONS	0
TOTAL PART A - EXPENDITURE		0
0		
PART B - INCOME		
Title 1	TOTAL OPERATING INCOME	0
Title 2	TOTAL BENEFICIARY'S OWN CONTRIBUTION	0
Title 3	TOTAL EC CONTRIBUTION in EUR	0
	TOTAL EC CONTRIBUTION in % =TOTAL EC CONTRIBUTION in EUR / TOTAL PART A - EXPENDITURE	0
Title 4	TOTAL OTHER EXTERNAL CONTRIBUTIONS	0
TOTAL PART B - INCOME		0

Technical Notes

No input is required

Additional information

- ⇒ This table summarizes all the information entered in part A ('Expenditure') and part B ('Income'). Since all data are copied or calculated automatically, you do not have to make any new data entry here.
- ⇒ The total amount of the income must equal the total amount of the expenditure. As a consequence, **the balance must be zero**. If the balance is positive, the expenditure is higher than the income. If the balance is negative, the income is higher than the expenditure. A balance which is not null will appear in red.

- ⇒ The maximum co-funding request for the EAHC shall not exceed 60 % per work programme proposal. A maximum co-funding request of 80% per work programme proposal can only be envisaged where a work programme has significant European added value. The EAHC will determine in each individual case the maximum percentage to be awarded.
- ⇒ Note: for renewals of operating grants: the co-funding amount (in €) cannot be higher than the amount received under the Call for proposals for operating grants 2010, already specified in the form. If the amount requested is higher, an error message will appear.

13.2. Controls to be carried out

- ⇒ **Balance:** Once the different incomes have been filled in, the total income is automatically calculated.
- ⇒ **Co-funding request in percentage :** The percentage of the co-funding request is calculated as the ratio between Co-funding request from the Union budget (“EC contribution”) and the total income.

14. DEFINITION OF EXPENDITURES/ELIGIBLES COSTS

Article II.12.1 of the grant agreement defines eligible costs as costs which must satisfy the following general criteria:

.../...

*They are **incurred during the duration of the work programme** as specified in Article I.2.2 of the agreement, with the exception of costs relating to final reports and certificates on the financial statements and underlying accounts;*

*They are **connected with the subject of the agreement** and they are indicated in the estimated overall budget of the work programme;*

*They are **necessary for the implementation of the work programme** which is the subject of the grant;*

*They are **identifiable and verifiable**, in particular being recorded in the accounting records of the beneficiary and determined according to the applicable accounting standards of the country where the beneficiary is established and according to the usual cost-accounting practices of the beneficiary;*

They comply with the requirements of applicable tax and social legislation;

*They are **reasonable, justified, and comply with the requirements of sound financial management**, in particular regarding economy and efficiency.*

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

.../...

15. DEFINITION OF NON-ELIGIBLES COSTS

The non-eligible costs are, as stipulated in Article II.12.3 of the grant agreement:

.../...

- *capital increases and return on capital;*
- *debt and debt service charges;*
- *provisions for losses or potential future liabilities;*
- *interest owed;*
- *doubtful debts;*
- *exchange losses;*
- *VAT, unless the beneficiary can show that he is unable to recover it according to the applicable national legislation. VAT paid by public bodies is not an eligible cost;*
- *costs declared and covered by a specific action receiving a Union grant;*
- *excessive or reckless expenditure;*
- *contributions in kind.*

.../...

Additional information

- ⇒ Contributions in kind are services or goods used for the work programme and provided to the applicant free of charge, e.g. work by voluntary helpers, use of buildings, office space, etc.
- ⇒ These are not regarded as eligible costs to be taken into account for calculating the grant. As they provide added value for the work programme, they may be declared in the initial budget and final financial report, thus giving a precise idea of the work programme value, but they need not to be justified to the EAHC. If the applicant opts to include them in his report, they must be listed **separately** from the other costs given its nature of exception at the time of the negotiation phase.

16. FINANCIAL VIABILITY INFORMATION (POINT 6 OF “APPLICATION FORM”)

The following parts have to be filled in:

- ⇒ Accountancy information (6.1);
- ⇒ Balance sheet of the two last accounting years (6.2);
- ⇒ Profit and loss account (6.3).

And the following supporting documents have to be attached to the proposal:

- ⇒ Copy of balance sheet of the two last accounting years;
- ⇒ Copy of profit and loss account.

If the applicant is a public body, or an international public organisation created by inter-governmental agreements or a specialist agency created by the latter, this part must not be filled and none supporting document is required.

16.1. Accountancy information (6. 1)

6.1. Accountancy information

Account starting date (YYYY-MM-DD): Account ending date (YYYY-MM-DD): Account duration (in months):

Cash accounting: New entity: Date of incorporation:

Currency: Euro_rate:

<i>Technical Notes</i>	
<u>Account starting date:</u>	Use the calendar or indicate the date respecting the format: yyyy-mm-dd.
<u>Account ending date:</u>	Use the calendar or indicate the date respecting the format: yyyy-mm-dd.
<u>Accounts duration (in months):</u>	The duration should be specified in months only, and for duration of a maximum of 12 months.
<u>Cash accounting:</u>	Please click on that box to activate it, in the only case you use a cash accounting system.
<u>New entity:</u>	Please click on that box to activate it, in the only case your entity is new and cannot provide any balance sheets and profit and loss accounts.
<u>Date of incorporation:</u>	Please fill in the date when your entity was created and/or registered.
<u>Currency:</u>	Select a currency in the list. Note that even if you use “€

Euro”, you will have to introduce all the figures in the column “In Currency Unit” and not in the column “In Euro”.

Euro exchange rate:

This rate will automatically appear following the indicative exchange rates indicated in this document.

16.2. Balance sheet of the two last accounting years (6.2), Profit & Loss account (6.3)

6.2. Balance sheet of the two last accounting years				
Assets	In currency unit		In Euro	
1. Unpaid subscribed capital :	0	0	0	0
2. Fixed assets (2.1+2.2+2.3) :	0	0	0	0
2.1. Intangible fixed assets :	0	0	0	0
2.2. Tangible fixed assets :	0	0	0	0
2.3. Financial assets :	0	0	0	0
3. Current assets (3.1+3.2.1+3.2.2+3.3+3.4) :	0	0	0	0
3.1. Stocks :	0	0	0	0
3.2.1. Debtors due after one year :	0	0	0	0
3.2.2. Debtors due within one year :	0	0	0	0
3.3. Cash at bank and in hand :	0	0	0	0
3.4. Other current assets :	0	0	0	0
Total assets (1+2+3) :	0	0	0	0
Liabilities				
	In currency unit		In Euro	
4. Capital and reserves (4.1+4.2+4.3+4.4) :	0	0	0	0
4.1. Subscribed capital :	0	0	0	0
4.2. Reserves :	0	0	0	0
4.3. Profit and loss brought forward from the previous years :	0	0	0	0
4.4. Profit and loss brought forward for the financial year +/- :	0	0	0	0
5. Creditors (5.1.+5.1.2.+5.2.1.+5.2.2) :	0	0	0	0
5.1.1. Long term non-bank debt :	0	0	0	0
5.1.2. Long term bank debt :	0	0	0	0
5.2.1. Short term non-bank debt :	0	0	0	0
5.2.2. Short term bank debt :	0	0	0	0
Total liabilities (4+5) :	0	0	0	0

6.3. Profit and loss account				
Profit and loss account	In currency unit		In Euro	
6. Turnover :	0	0	0	0
7. Variation in stocks +/- :	0	0	0	0
8. Other operating incomes :	0	0	0	0
9. Costs of material & consumables :	0	0	0	0
10. Other operating charges :	0	0	0	0
11. Staff costs :	0	0	0	0
12. Gross operating profit (6+7+8-9-10-11) :	0	0	0	0
13. Depreciation and value adjustments on non-financial assets :	0	0	0	0
14. Net operating profit (12-13) :	0	0	0	0
15. Financial income & value adjustments on financial assets :	0	0	0	0
16. Interest paid :	0	0	0	0
17. Similar charges :	0	0	0	0
18. Profit/loss on ordinary activities (14+15-16-17) :	0	0	0	0
19. Extraordinary income and charges +/- :	0	0	0	0
20. Taxes on profits +/- :	0	0	0	0
21. Profit/loss for the financial year (18+19-20) :	0	0	0	0

Technical Notes

In currency Unit		In Euro	
Encode: T-1 e.g. 2009	Encode: T0 e.g. 2010	Encode: T-1 e.g. 2009	Encode: T0 e.g. 2010
To be filled in	To be filled in	All the fields will be automatically calculated from “In currency unit T-1” using the indicative exchange rates indicated in this document.	All the fields will be automatically calculated from “In currency unit T0” using the indicative exchange rates indicated in this document.

Additional information

- ⇒ In these sections, all figures shall be encoded in the columns “In currency unit” and not in the columns “In Euro”, even if your figures are expressed in Euro.
- ⇒ When you have filled in the account starting date in 6.1 (e.g.: 01.01.2009), the accounting years automatically appear in 6.2 and 6.3.
- The first sub-column under “In currency unit” is automatically T-1, referring to the second last accounting year (e.g. 2009).
 - The second sub-column under “In currency unit” corresponds to T0, referring to the latest accounting year available (e.g. 2010).
- ⇒ In order to correctly complete 6.2 (Assets & Liabilities) and 6.3 (Profit & Loss account), please refer to table next page indicating the correspondence between items to be listed in the balance sheet/profit and loss account and those listed in the 4th accounting Directive.

16.2.1. Exceptions to the encoding of 6.2 and 6.3

- ⇒ You are an entity using a cash accounting system (your accounting movements are based on the flow of cash entries and cash disbursements) and you are not in a position to fill in a balanced balance sheet. In that case, please:

1. Tick the box "**Cash accounting**" in 6.1.
2. Submit a paper copy of your last 2 years audited statutory accounts.

- ⇒ Your entity is new and you cannot provide any balance sheet and profit and loss accounts data. In that case, please:

1. Tick the box "**New entity**" in 6.1.
2. Submit a paper copy of any document (even draft) showing of your statutory accounts.

- ⇒ In the two above mentioned exceptions, the 6.2 and 6.3 of the application form will disappear.

16.3. Controls to be carried out (6.2 and 6.3)

- ⇒ These figures shall be consistent with any supporting documents attached to your proposal.

- ⇒ You must ensure that the total assets and total liabilities figures in balance sheet of the two last accounting years do balance in 6.2.

17. CORRESPONDENCE BETWEEN BALANCE SHEET/PROFIT AND LOSS ACCOUNT AND THE 4TH ACCOUNTING DIRECTIVE

BALANCE SHEET	CORRESPONDENCE 4th ACCOUNTING DIRECTIVE
ASSETS	ASSETS / 4th ACCOUNTING DIRECTIVE (Article 9)
1. Subscribed capital unpaid	A. Subscribed capital unpaid (including unpaid capital)
2. Fixed assets (2.1+2.2+2.3)	C. Fixed Assets
2.1. Intangible fixed assets	<p>B. Training expenses as defined by national law</p> <p>C. I. Intangible fixed assets</p> <p>C.I.1. Cost of research and development</p> <p>C.I.2. Concessions, patents, licenses, trade marks and similar rights and assets, if they were: (a) acquired for valuable consideration and need not be shown under C (I) (3); or (b) created by the undertaking itself</p> <p>C.I.3. Goodwill, to the extent that it was acquired for valuable consideration</p> <p>C.I.4. Payments on account</p>
2.2. Tangible fixed assets	<p>C.II. Tangible fixed assets</p> <p>C.II.1. Land and buildings</p> <p>C.II.2. Plant and machinery</p> <p>C.II.3. Other fixtures and fittings, tools and equipment</p> <p>C.II.4. Payment on account and tangible assets in course of construction</p>
2.3. Financial assets	<p>C.III. Financial assets</p> <p>C.III.1. Shares in affiliated undertakings</p> <p>C.III.2. Loans to affiliated undertakings</p> <p>C.III.3. Participating interests</p> <p>C.III.4. Loans to undertakings with which the company is linked by virtue of participating interest</p> <p>C.III.5. Investments held as fixed assets</p> <p>C.III. 6. Other loans</p> <p>C.III.7. Own shares (with an indication of their nominal value or, in the absence of a nominal value, their accounting par value)</p>
3. Current assets (3.1+3.2.1+3.2.2+3.3+3.4)	D. Currents assets
3.1. Stocks	<p>D.I. Stocks</p> <p>D.I.1. Raw materials and consumables</p> <p>D.I.2. Work in progress</p> <p>D.I.3. Finished products and goods for resale</p> <p>D.I.4. Payment on account</p>
3.2.1. Debtors due after one year	<p>D.II. Debtors, due and payable after more than one year</p> <p>D.II.1. Trade debtors</p> <p>D.II.2. Amounts owed by affiliated undertakings</p> <p>D.II.3. Amounts owed by undertakings with which the company is linked by virtue of participating interest</p>
3.2.2. Debtors due within one year	<p>D.II. Debtors due and payable within a year</p> <p>D.II.1. Trade debtors</p> <p>D.II.2. Amounts owed by affiliated undertakings</p> <p>D.II.3. Amounts owed by undertakings with which the company is linked by virtue of participating interest</p>

		interest
		D.II.4. Others debtors D.II.6. Prepayments and accrued income
3.3. Cash at bank and in hand	D.IV. Cash at bank and in hand	
3.4. Other current assets	D.III Investments	D.III.1. Shares in affiliated undertakings D.III.2. Own shares (with an indication of their nominal value or, in the absence of a nominal value, their accounting par value) D.III.3. Other investments
Total assets (1+2+3)	Total assets	
LIABILITIES	LIABILITIES / 4th ACCOUNTING DIRECTIVE (Article 9)	
4. Capital and reserves (4.1+4.2+4.3+4.4)	A. Capital and reserves	
4.1. Subscribed capital	A.I. Subscribed capital	
	A.II. Share premium account	
4.2. Reserves	A.III. Revaluation reserve	
	A.IV. Reserves	A.IV.1. Legal reserve, in so far as national law requires such a reserve A.IV.2. Reserve for own shares A.IV.3. Reserves provided for by the articles of association A.IV.4. Other reserves
4.3. Profit and loss brought forward from the previous years	A.V Profit and loss brought forward from the previous years	
4.4. Profit and loss for the financial year	A.VI. Profit or loss for the financial year	
5. Creditors (5.1.1+5.1.2+5.2.1+5.2.2)	C. Creditors	
5.1.1 Long term non-bank debt	B. Provisions for liabilities and charges (> one year)	B.1. Provisions for pensions and similar obligations B.2. Provisions for taxation B.3. Other provisions
	C. Creditors (> one year)	C.1. Debenture loans, showing convertible loans separately C.3. Payments received on account of orders in so far as they are not shown separately as deductions from stocks C.4. Trade creditors C.6. Amounts owed to affiliated undertakings C.7. Amounts owed to undertakings with which the company is linked by virtue of participating interests C.8. Other creditors including tax and social security C.9. Accruals and deferred income
5.1.2. Long term bank debt	C. Creditors "credit institutions" (> one year)	C.2. Amounts owed to credit institutions C.5. Bills of exchange payable
5.2.1. Short term non-bank debt	B. Provisions for liabilities and charges (≤ one year)	B.1. Provisions for pensions and similar obligations B.2. Provisions for taxation
	C. Creditors (≤ one year)	

18. Profit or loss on ordinary activities (14+15-16-17)	Profit or loss on ordinary activities = [(1+2+3+4-(5a+5b+8)) - 6] -7]+ [(9+10+11)-(12+13)]	15. Profit or loss on ordinary activities after taxation
19. Extraordinary income and charges	Extraordinary income and charges	16. Extraordinary income 17. Extraordinary charges
20. Taxes on profits	Taxes	14. Tax on profit or loss on ordinary activities 19. Tax on extraordinary profit or loss 20. Other taxes not shown under the above items
21. Profit or loss for the financial year (18+19-20)	Profit or loss for the financial year =[(1+2+3+4-(5a+5b+8)) - 6] -7]+ [(9+10+11)-(12+13)+(16-17)-(14+19+20)]	21. Profit or loss for the financial year

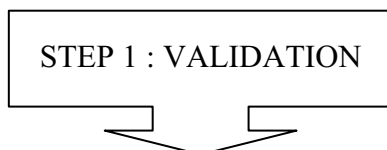
18. INDICATIVE EXCHANGE RATES AS OF JANUARY 2011

Country	Code	Currency	Code	Exchange rate
Bulgaria	BG	Lev (New)	BGN	1,95580
Croatia	HR	Kuna	HRK	7,385500
Czech Republic	CZ	Czech koruna	CZK	25,240000
Denmark	DK	Danish krone	DKK	7,454400
Estonia	EE	Estonian kroon	EEK	15,64660
Hungary	HU	Forint	HUF	279,00000
Iceland	IS	Icelandic króna	ISK	153,130000
Liechtenstein	LI	Swiss franc	CHF	1,2475
Lithuania	LT	Lithuanian litas	LTL	3,452800
Latvia	LV	Latvian lats	LVL	0,709800
Norway	NO	Norwegian krone	NOK	7,819000
Poland	PL	Zloty	PLN	3,965000
Romania	RO	New Romanian Leu	RON	4,287300
Sweden	SE	Swedish krona	SEK	9,013300
United Kingdom	GB	Pound sterling	GBP	0,860200

Source: <http://ec.europa.eu/budget/inforeuro/index.cfm>

19. VALIDATION PAGE

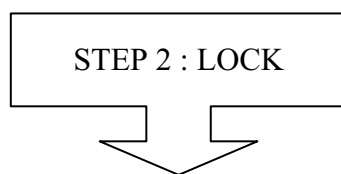
Complete the following four step process.



In order to check whether all mandatory fields in the application form have been filled in click on the “**VALIDATION BUTTON**” located at the end of the form. After clicking on this button you can still modify the contents of the fields

This validation is merely a tool to help applicants fill in the form. The operation does not guarantee that the information has been entered properly. It remains the responsibility of the applicant to check the contents of the form.

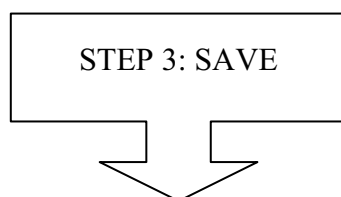
Note: on every page of the application form, Acrobat Reader provides a "highlight fields" button (upper right corner). You can use this button to visualize more easily the mandatory fields (and hence, those that you might have forgotten to complete).



After validating the application, the “**LOCK BUTTON**” will appear on the same page. Check that all mandatory fields are properly filled in and that you are satisfied with their contents. If you are sure that there are no more changes to be made, click on the button to finalise your work. **After locking you will no longer be able to modify the data.** It is therefore strongly recommended to make a copy of the application form before locking it. You will be able to use this copy if ever you realise that the locked application form still contains errors.

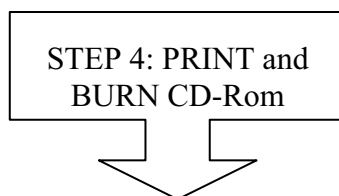
As a result of the locking of the application form, an informatics number (IT number) will be inserted at the bottom of each page. This number is generated automatically, for internal use.

You will receive a different reference number in the acknowledgement of receipt that will be sent to you, once you submit the proposal to the EAHC.



Please now save the locked application form. **This step is really important since it includes saving the IT number.**

A new page appears, informing you that the application form has been completed. Follow the instructions on this page on how to prepare the full application package to be sent to the EAHC. This procedure is also described in paragraph 3 above as well as in more details in the call for proposals for operating grant document.



After printing the application form check that the reference number of the electronic version corresponds to the reference number of the paper version. Please also burn the application form on a CD, and check for readability!

The "acknowledgement of receipt" page is also automatically filled; you do not have to enter any information here. Once your proposal has been received by the EAHC, a reference number will be attributed and noted on this page. Then, the page will be sent back to you for future reference.

20. DECLARATION OF HONOUR

The declaration of honour has to be signed and sent to the EAHC as part of the application package. The declaration of honour is automatically produced by the form. Please follow the instruction in the form to print the declaration of honour. **If the original signed declaration of honour is not included in the application package, it will be rejected and not submitted to evaluation.**

21. MANDATORY "UNILATERAL COMMITMENT" FORM

This form is new in the Call for proposals for operating grants 2011. Is not required from public bodies and is needed in order to fulfil the requirements as per Annex VI, section 2 of the 2011 work plan. It prints once the form is printed, has to be signed, dated and stamped by the legal representative of the organization and the original form submitted as part of the application package. **If the complete and original "unilateral commitment" form is not included in the application package, it will be rejected and not submitted to evaluation.**

22. MANDATORY CHECKLIST

The mandatory checklist helps the applicant to ensure that a complete and correct application is provided on time. Please check each applicable box, date and sign it. Contrary to the declaration of honour, there is no need that the legal representative signs this checklist. It should be signed by the contact person / the person responsible to

prepare the application package. **If the complete and original checklist is not included in the application package, it will be rejected and not submitted to evaluation.**

Section 4

Application form



EU HEALTH PROGRAMME

Call for Proposals 2011

Operating grants

APPLICATION FORM



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1.1 Organisation information

Legal name*:

Acronym*:

FY2012

Organisation status*:

IBAN Code*:

VAT number:

Legal registration code:

Number of employees:

0

1.2 Address of organisation

Street name & N°*:

Post code*:

City*:

Country*:

Telephone (with country & area code)*:

Fax (with country & area code):

Official Web site:

1.3 Contact person

Title:

Function:

Gender:

Family name*:

First name*:

Telephone (with country & area code)*:

Fax (with country & area code):

E-Mail*:

1.4 Legal representative

Title:

Function:

Gender:

Family name*:

First name*:

Telephone (with country & area code)*:

Fax (with country & area code):

E-Mail*:

1.5 Specific information about the organisation

1.5.1 Mission and vision (*max 2200 characters*)

[Empty text area for mission and vision]

1.5.2 Governance, structure and membership (max 3300 characters)

Empty text box for content.

1.5.3 Internal communication process (max 2200 characters)

[Empty text area for internal communication process description]

1.5.4 General objectives of the organisation and its main activities (max 4000 characters)

Empty text area for inputting general objectives and main activities.

1.5.5 Organisation's general sources of finance for core activities and specific projects
(max 4000 characters)

Empty text box for providing information on the organisation's general sources of finance for core activities and specific projects.

1.5.7 Grant applications submitted (or due to be submitted) by the applicant organisation to the EU institutions in the current year

Year	Community programme in question /	Reference number	Implementation		Amount (EUR)		
	for procurement contracts name of Unit and DG	and title of the operation	Start date	End date			
					0	+	-

2.1 Priorities in the 2011 work plan

Priority area*:

Action*:

Sub-Action*: (please choose a sub-action list below)

Or renewal of an operating grant received under the Call for Proposals 2010

Renewal of an operating grant received under the Call for Proposals 2010

Please add the acronym of the grant

Amount granted in 2010

2.3 Problem analysis and evidence base for the organisation's main activities (max 2200 characters)

Empty text box for problem analysis and evidence base.

2.5 Timetable

A time schedule, a table presenting an organized list of events and activities for the year 2012

		Months													
Activities	Person responsible	M 1	M 2	M 3	M 4	M 5	M 6	M 7	M 8	M 9	M 10	M 11	M 12		
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	+	-

2.6 Risk analysis with respect to the activities planned for 2012 (max 1100 characters)

[Empty text box for risk analysis]

2.7 Deliverables

A deliverable is a physical output related to a specific objective or an activity, e.g. a report, publication, newsletter, tool, website, etc.

Number	Title	Description	Delivery month	Ways to disseminate		
1					+	-

2.8 Dissemination strategy (external dissemination) (max 3300 characters)

Empty text box for the dissemination strategy.

2.10 Coordination with other organisations in the field (max 2200 characters)

[Empty text area for coordination details]

3.3 Brief profile(s) of the financial manager of the organisation (*max 1100 characters*)

[Empty text box for providing the brief profile(s) of the financial manager of the organisation]

Please add links to the organisation's web-site where the appropriate documents are available concerning :

- A position statement of the organisation on collaboration with private sector organisations
- The most recent financial report
- Code of good practice of the organisation (if any)
- Organisation chart (optional)

Links description	Links		
		+	-

PART A - EXPENDITURE

HEADING		BUDGET	DESCRIPTION		
Expenditure Title 1	STAFF				
Chapter 11	Own staff			?	
1101	Name + Function	0	Number of days X daily cost	+	-
1102	Name + Function	0	Number of days X daily cost	+	-
1103	Name + Function	0	Number of days X daily cost	+	-
Total own staff		0			
Chapter 12	Interim staff			?	
1201	Name + Function	0	Number of days X daily cost	+	-
1202	Name + Function	0	Number of days X daily cost	+	-
1203	Name + Function	0	Number of days X daily cost	+	-
Total interim staff		0			
Chapter 13	Other staff				
1301	Name + Function	0	Number of days X daily cost	+	-
1302	Name + Function	0	Number of days X daily cost	+	-
1303	Name + Function	0	Number of days X daily cost	+	-
Total other staff		0			
TOTAL STAFF		0			

	HEADING	BUDGET	DESCRIPTION	
Expenditure Title 2	GENERAL ADMINISTRATIVE EXPENDITURE			
Chapter 21	Building and associated costs			?
211	Depreciation for purchase of premises/offices	0		
212	Rent and charges of premises/offices	0		
213	Maintenance costs	0		
219	Other building and associated costs	0		
	Total building and associated costs	0		
Chapter 22	Utilities			
221	Water	0		
222	Electricity / Gas	0		
223	Heating	0		
	Total utilities	0		
Chapter 23	Telecommunication and computers costs			?
231	Depreciation for purchase and maintenance of equipment	0		
232	Depreciation for purchase and maintenance of software	0		
233	User support	0		
239	Other telecommunication and computer costs	0		
	Total telecommunication and computer costs	0		
Chapter 24	Ordinary administrative expenditure			
241	Office supplies	0		
	Total ordinary administrative expenditure	0		
Chapter 25	Financial charges			?
251	Bank charges	0		
252	Financial guarantee	0		
259	Other financial charges	0		
	Total financial charges	0		
Chapter 26	Insurances			
261	Insurances	0		
	Total insurances	0		
Chapter 27	Administration costs			
271	Postal charges	0		
272	Telephone, fax, internet and e-mails	0		
	Total administration costs	0		
Chapter 28	External services			?
281	Accounting fees	0		
282	Audit fees	0		
283	Other administrative services	0		
289	Other external services	0		
	Total external services	0		
Chapter 29	Other general administrative expenditure			
291	Other general administrative expenditure	0		
	Total other general administrative expenditure	0		
	TOTAL GENERAL ADMINISTRATIVE EXPENDITURE	0		

	HEADING	BUDGET	DESCRIPTION	
Expenditure Title 3	EXPENDITURE LINKED TO THE BENEFICIARY'S NORMAL OPERATIONS			
Chapter 31	Meetings, conferences, workshops			
311	Meetings, conferences, workshops	0		
	Total meetings, conferences, workshops	0		
Chapter 32	Mission costs			?
321	Travel costs of staff	0		
322	Subsistence allowances of staff	0		
323	Travel costs of external invitees	0		
324	Subsistence allowances of external invitees	0		
	Total missions costs	0		
Chapter 33	Operational data processing			?
331	IT data processing costs	0		
	Total operational data processing	0		
Chapter 34	Information and publication			?
341	Communications, Editions, Publications, WEB, Conferences	0		
	Total information and publication	0		
Chapter 35	Other services			?
351	Studies, Consultancy, Translation & interpretation and other services	0		
	Total other services	0		
Chapter 39	Other expenditure linked to the beneficiary's operations			?
391	Other expenditure linked to the beneficiary's operations	0		
	Total other expenditure linked to the beneficiary's operations	0		
	TOTAL EXPENDITURE LINKED TO THE BENEFICIARY'S NORMAL OPERATIONS	0		

PART B - INCOME

HEADING		BUDGET	DESCRIPTION	
Income Title 1	Operating Income			
Chapter 11	Membership contributions and subscriptions			?
111	Membership contributions	0		
112	Subscriptions	0		
Total membership contributions and subscriptions		0		
Chapter 12	Conferences and workshops			?
121	Conference fees	0		
122	Workshop fees	0		
Total conferences and workshops		0		
Chapter 13	Publications			?
131	Publications	0		
Total publications		0		
Chapter 19	Other operating income			
139	Other operating income	0		
Total other operating income		0		
TOTAL OPERATING INCOME		0		

HEADING		BUDGET	DESCRIPTION	
Income Title 2	BENEFICIARY'S OWN CONTRIBUTION			
Chapter 21	Beneficiary's own contribution			?
211	Beneficiary's own contribution	0		
Total beneficiary's own contribution		0		
TOTAL BENEFICIARY'S OWN CONTRIBUTION		0		

HEADING		BUDGET	DESCRIPTION	
Income Title 3	EC CONTRIBUTION			
Chapter 31	EC contribution			?
311	EC contribution	0		
Total EC contribution		0		
TOTAL EC CONTRIBUTION		0		

HEADING		BUDGET	DESCRIPTION	
Income Title 4	OTHER EXTERNAL CONTRIBUTION			
Chapter 41	Other external contribution			?
411	External contribution A	0		
412	External contribution B	0		
413	External contribution C	0		
414	External contribution D	0		
Total other external contribution		0		
TOTAL OTHER EXTERNAL CONTRIBUTION		0		

GLOBAL BUDGET

FINANCIAL YEAR 2012

OPERATING EXPENDITURE AND INCOME BENEFICIARY

PART A - EXPENDITURE

Title 1		TOTAL STAFF	0
Title 2		TOTAL GENERAL ADMINISTRATIVE EXPENDITURE	0
Title 3		TOTAL EXPENDITURE LINKED TO THE BENEFICIARY'S NORMAL OPERATIONS	0
TOTAL PART A - EXPENDITURE			0

PART B - INCOME

Title 1		TOTAL OPERATING INCOME	0
Title 2		TOTAL BENEFICIARY'S OWN CONTRIBUTION	0
Title 3		TOTAL EC CONTRIBUTION in EUR	0
		TOTAL EC CONTRIBUTION in % =TOTAL EC CONTRIBUTION in EUR / TOTAL PART A - EXPENDITURE	0
Title 4		TOTAL OTHER EXTERNAL CONTRIBUTIONS	0
TOTAL PART B - INCOME			0

6.1. Accountancy information

Account starting date (YYYY-MM-DD): Account ending date (YYYY-MM-DD): Account duration (in months):

Cash accounting: New entity: Date of incorporation:

Currency: € Euro Euro_rate:

6.2. Balance sheet of the two last accounting years

Assets	In currency unit		In Euro	
1. Unpaid subscribed capital :	0	0	0	0
2. Fixed assets (2.1+2.2+2.3) :	0	0	0	0
2.1. Intangible fixed assets :	0	0	0	0
2.2. Tangible fixed assets :	0	0	0	0
2.3. Financial assets :	0	0	0	0
3. Current assets (3.1+3.2.1+3.2.2+3.3+3.4) :	0	0	0	0
3.1. Stocks :	0	0	0	0
3.2.1. Debtors due after one year :	0	0	0	0
3.2.2. Debtors due within one year :	0	0	0	0
3.3. Cash at bank and in hand :	0	0	0	0
3.4. Other current assets :	0	0	0	0
Total assets (1+2+3) :	0	0	0	0
<hr/>				
Liabilities	In currency unit		In Euro	
4. Capital and reserves (4.1+4.2+4.3+4.4) :	0	0	0	0
4.1. Subscribed capital :	0	0	0	0
4.2. Reserves :	0	0	0	0
4.3. Profit and loss brought forward from the previous years :	0	0	0	0
4.4. Profit and loss brought forward for the financial year +/- :	0	0	0	0
5. Creditors (5.1.1+5.1.2+5.2.1+5.2.2) :	0	0	0	0
5.1.1 Long term non-bank debt :	0	0	0	0
5.1.2. Long term bank debt :	0	0	0	0
5.2.1. Short term non-bank debt :	0	0	0	0
5.2.2. Short term bank debt :	0	0	0	0
Total liabilities (4+5) :	0	0	0	0

6.3. Profit and loss account

Profit and loss account	In currency unit		In Euro	
6. Turnover :	0	0	0	0
7. Variation in stocks +/- :	0	0	0	0
8. Other operating incomes :	0	0	0	0
9. Costs of material & consumables :	0	0	0	0
10. Other operating charges :	0	0	0	0
11. Staff costs :	0	0	0	0
12. Gross operating profit (6+7+8-9-10-11) :	0	0	0	0
13. Depreciation and value adjustments on non-financial assets :	0	0	0	0
14. Net operating profit (12-13) :	0	0	0	0
15. Financial income & value adjustments on financial assets :	0	0	0	0
16. Interest paid :	0	0	0	0
17. Similar charges :	0	0	0	0
18. Profit/loss on ordinary activities (14+15-16-17) :	0	0	0	0
19. Extraordinary income and charges +/- :	0	0	0	0
20. Taxes on profits +/- :	0	0	0	0
21. Profit/loss for the financial year (18+19-20):	0	0	0	0

Declaration of Honour

I, the undersigned,

authorised to represent the applicant, hereby request a grant with a view to implementing the action on the terms laid down in this application.

I certify that the information contained in this application **is complete, true and correct in all its parts.**

I accept that any incorrect, false or incomplete application will be excluded from the selection process.

I certify that the applicant organisation has not received nor applied for any other Community funding to carry out the action which is the subject of this grant application.

Should this proposal be accepted for funding, I hereby declare my intention to fulfil the role assigned to me in the project and to accept the obligations deriving from my participation in the project.

I certify on my honour that the applicant organisation is not in one of the situations which would exclude it from taking part in a Community grant programme and accordingly declare that the organisation:

- a. is not bankrupt or being wound up, is not having its affairs administered by the courts, has not entered into an arrangement with creditors or suspended business activities, and is not in any analogous situation arising from a similar procedure provided for in national legislation or regulations;
- b. has not been convicted of an offence concerning its professional conduct by a judgment which has the force of *res judicata*;
- c. is not guilty of grave professional misconduct proven by any means which the contracting authority can justify;
- d. has met its obligations relating to the payment of social security contributions or taxes under the legislation of the country in which it is established;
- e. has not been the subject of a judgment which has the force of *res judicata* for fraud, corruption, involvement in a criminal organisation or any other illegal activity detrimental to the Communities' financial interests;
- f. has not been declared to be in serious breach of contract for failure to comply with its contractual obligations subsequent to another procurement procedure or grant award procedure financed by the Community budget.

I have been informed that, under the Financial Regulation of 25.June.2002 applicable to the general budget of the European Communities, applicants found guilty of false declarations may be subject to administrative and financial penalties in accordance with the conditions laid down in that Regulation.

The administrative penalties consist in being excluded from all contracts or grants financed from the Community budget for a maximum of two years from the date on which the infringement is established, as confirmed after an adversarial procedure with the applicant. This period may be extended to three years in the event of a repeat offence within five years of the first infringement. Applicants who are guilty of making false declarations will also receive financial penalties representing 2% to 10% of the value of the grant being awarded. This rate may be increased to 4% to 20% in the event of a repeat offence within five years of the first infringement.

Organisation legal name	Signature	Official stamp
Title, name and first name of authorised representative		
Function of authorised representative	Date	

Your grant application will be processed by computer. All personal data (such as names, addresses, CVs, etc.) will be processed in accordance with Regulation (EC) No 45/2001 of the European Parliament and of the Council of 18 December 2000 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data (Official Journal L 8, 12.1.2001). Your replies to the questions in this form are necessary in order to assess your grant application and they will be processed solely for that purpose by the department responsible for the Community grant programme concerned. On request, you may be sent personal data and correct or complete them. For any question relating to these data, please contact the responsible department to which the form must be returned. Beneficiaries may lodge a complaint against the processing of their personal data with the European Data Protection Supervisor at any time.

Unilateral commitment

concerning the financial independence of the applicant organisation

With reference to Annex VI of the Commission Decision concerning the adoption of the financing decision for 2011 in the framework of the second programme of Community action in the field of health (2008-13) and on the selection, award and other criteria for financial contributions to the actions to this programme (Work Plan 2011),

I, the undersigned, being the legal representative of the organisation submitting the application for an operating grant,

- I state that I have read and understood the conditions laid down in Annex VI of the Work Plan 2011, and I unilaterally commit the applicant organisation that I represent that it will not receive more than 20% of its core funding from private sector organisations representing a conflicting interest or from other sources representing a conflicting interest;

- I understand that the financial independence of the applicant organisation will be assessed based on the financial information for the financial year for which the grant will be awarded at the time of the final report, and I commit to provide this information in line with point 3 of Annex VI of the Work Plan;

- I am aware of the fact that in case the accounts show that during the year covered by the grant the applicant organisation has received more than 20% of its core funding from private sector organisations representing a conflicting interest or from other sources representing a conflicting interest, the entire amount of the grant shall be recovered.

Organisation legal name	Signature	Official stamp
Title, name and first name of authorised representative		
Function of authorised representative	Date	

**Obligatory checklist to be printed and filled in, by hand by the applicants
as part of the application form**

OPERATING GRANT

The application package must contain the following documents

	Please tick
1 original completed application form	<input type="checkbox"/>
4 photocopies of the completed application form	<input type="checkbox"/>
1 CD-rom with the electronic version of the application form	<input type="checkbox"/>
1 original Declaration of Honour, signed and stamped	<input type="checkbox"/>
1 original of this check list, completed and signed	<input type="checkbox"/>
The organization's most recent annual activity report, or in the case of a newly constituted organization, the curriculum vitae of each member of the management board and the annual reports of the now body's member organizations	<input type="checkbox"/>
Annual workplan (draft) for 2012 and if, available the most recent evaluation report	<input type="checkbox"/>
Curriculum vitae of key staff performing the work in connection with the annual work plan	<input type="checkbox"/>
List of members per country and/or the link to the web-site on which all members are listed	<input type="checkbox"/>
Unilateral commitment form (original) signed, dated and stamped by the legal representative	<input type="checkbox"/>

Obligatory supporting documents from non-public, non-profit-making bodies

	Please tick
1 copy of the organization's statutes / articles of the association	<input type="checkbox"/>
1 copy of the official registration certificate of the association	<input type="checkbox"/>
1 copy of the organization's accounts for the last two financial years for which the accounts have been closed, which have been used as the basis information to fill in part 6.2 of the application form	<input type="checkbox"/>
Supporting documents which specify sources of funds, if this information is not detailed under the organization's annual accounts	<input type="checkbox"/>
An external audit report produced by an approved auditor, in case of a requested co-funding in excess of € 100 000	<input type="checkbox"/>

Obligatory supporting documents from specialized networks

	Please tick
A description of the relevant track record for joint achievements of the specialized network	<input type="checkbox"/>
Established tools for collaboration e.g. SOPs, Memorandum of Understanding	<input type="checkbox"/>

If applicable

	Please tick
Cash accounting - submit a paper copy of your last 2 years audited statutory accounts	<input type="checkbox"/>
New entity - submit a paper copy of any document (even draft) showing your statutory accounts	<input type="checkbox"/>

The following requirements are met by the applicant for an operating grant

	Please tick
is non-profit making and independent of industry, commercial and business or other conflicting interests	<input type="checkbox"/>
has members in at least half of the Member States	<input type="checkbox"/>
pursues as its primary goal one or more objectives of the Programme	<input type="checkbox"/>
has a balanced geographical coverage	<input type="checkbox"/>
does not pursue general objectives directly or indirectly contrary to the policies of the European Union or associated with an inadequate image	<input type="checkbox"/>
All information on funding is available to the public via the applicant's website, broken down by type (core and project funding, contribution in kind) and by funding entity	<input type="checkbox"/>
Applicant's existing position statements regarding their requirement on transparency publicly available	<input type="checkbox"/>

One of the following is met by the applicant for an operating grant

Please tick

New operating grant application falling under a topic listed in section 3 of the 2011 work plan and in the second Health Programme	<input type="checkbox"/>
------------------------------------------------------------------------------------------------------------------------------------	--------------------------

OR

Please tick

Renewal of operating grant awarded under the 2010 work plan of the second Health Programme	<input type="checkbox"/>
--------------------------------------------------------------------------------------------	--------------------------

The following requirements are met by the new applicant organization in case exceptional utility is requested (i.e. more than 60% co-funding):

Note: For operating grants which are renewed, the exceptional utility status will remain the same as under the 2010 call for proposals.

Please tick

At least 25% of the members or candidate members of the non-governmental bodies or organisations forming the specialised network come from Member States with a GDP per capita (as published by EUROSTAT in its latest statistical report) in the lower quartile of all EU Member States	<input type="checkbox"/>
------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--------------------------

The reduction of health inequalities at EU, national or regional level is manifested in the mission as well as the annual work programme of the applicant organization/specialised network	<input type="checkbox"/>
--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--------------------------

In submitting a proposal, applicants accept the procedures and conditions as described in the **call for proposal for operating grants document** and in the documents to which it refers. Applications that do not comply with the requirements set out will be excluded from the selection procedure.

I, the undersigned, hereby certify that the information contained in this application is complete, true and correct in all its parts.

I accept that any incorrect, false or incomplete application will be excluded from the selection process.

_____ [Full Name and title]

_____ [Place and Date]

_____ [Signature]



EXECUTIVE AGENCY HEALTH AND CONSUMERS

Health Unit

Luxembourg,

ACKNOWLEDGEMENT OF RECEIPT
CALLS FOR PROPOSAL 2011
Operating Grants

Dear ,

We are pleased to acknowledge receipt of the following proposal :

Number ref. : 2011 -

Organisation:

Acronym : FY2012

You are kindly requested to quote this reference number in all future correspondence relating to this proposal.

Head of Health Unit

Section 5

Model Grant Agreement



EXECUTIVE AGENCY FOR HEALTH AND CONSUMERS

Director

OPERATING GRANT AGREEMENT

AGREEMENT NUMBER – 2011 [Number]

The Executive Agency for Health and Consumers (EAHC) (hereinafter referred to as "the Executive Agency"), acting under powers delegated by the Commission of the European Union (hereafter referred to as "the Commission"), and represented for the purposes of signature of this agreement by Mr. Luc Briol, Director, or his duly authorised representative,

of the one part,

and

[Full official name] [ACRONYM]

[Official legal form]

[Official registration No]

[Official address in full]

[VAT number],

hereinafter called "the beneficiary", represented for the purposes of the signature of the present agreement by [Mr/Ms] [first name + surname of the signatory and function]

of the other part,

collectively "*the parties to the agreement*"

HAVE AGREED

the **Special Conditions, General Conditions** and **Annexes** below:

Annex I Beneficiary's work programme [Technical Annex]

Annex II Beneficiary's operating budget [Financial Annex]

Annex III Reporting requirements: Final report, final financial statement and Financial independence form to be submitted

Annex IV Instructions concerning the eligibility of travel and subsistence expenses (if Commission's rules apply)

Annex V Unilateral commitment (only for beneficiaries with the status of non-governmental bodies - if applicable)

Annex VI Financial independence form (only for beneficiaries with the status of non-governmental bodies - if applicable)

Annex VII Audit certificate template (only for beneficiaries with the status of non-governmental bodies - if applicable)

which form an integral part of this agreement ("the agreement").

The terms set out in the Special Conditions shall take precedence over those in the other parts of the agreement.

The terms of the General Conditions shall take precedence over those in the Annexes.

I - SPECIAL CONDITIONS

ARTICLE I.1 - SUBJECT

- I.1.1 The Executive Agency has decided to award a grant, under the terms and conditions set out in the Special Conditions, the General Conditions and the Annexes to the agreement, which the beneficiary hereby declares that he has taken note of and accepts, for the work programme of the beneficiary entitled [Title + Acronym of the project], which corresponds to the activities and objectives specified in the beneficiary's articles of association.
- I.1.2 The beneficiary accepts the grant and undertakes to do everything in his power to implement the work programme as described in Annex I, acting on his own responsibility.

ARTICLE I.2 - DURATION

- I.2.1 The agreement shall enter into force on the date when the last of the two parties signs.

Without prejudice to Article II.14.5, unless otherwise agreed by the parties in writing, the agreement expires four months after the date of notification by the Executive Agency of the final amount of the grant determining the amount of the payment of the balance or the recovery order pursuant to Article II.15, or failing that four months after the date on which the payment of the balance was received.

[Option 1 for Art I.2.2:

- I.2.2 The period of eligibility for Union funding shall be [insert number] months from [the first day [of the month] following the date when the last party signs the agreement] (“the starting date”).]

[Option 2 for Art I.2.2:

- I.2.2 The period of eligibility for Union funding shall be [insert number] months from [insert date] (“the starting date”).]

[Option 3 for Art I.2.2:

- I.2.2 The period of eligibility for Union funding shall be [insert number] months from the latest of the following dates [insert date] / the first day [of the month] following the date when the last party signs the agreement (“the starting date”).]

ARTICLE I.3 - FINANCING THE WORK PROGRAMME

- I.3.1 The total costs eligible for Union funding are estimated at EUR [insert amount in figures and words] as shown in the beneficiary's estimated operating budget in Annex

II. The estimated operating budget in Annex II shall be in balance and shall show all the operating costs and receipts estimated by the beneficiary for the period in question, making a distinction between costs eligible for Union funding and those not eligible, in accordance with the definition of eligible costs in Article II.12.

- I.3.2 The Executive Agency shall contribute a maximum of EUR [insert amount in figures and words], equivalent to [insert number] % of the estimated total eligible costs indicated in Article I.3.1. The final amount of the grant shall be determined as specified in Article II.15, without prejudice to Article II.17.

The Union grant may not finance the entire costs of implementing the work programme. The amounts and sources of cofinancing other than from Union funds shall be set out in the estimated budget referred to in paragraph 1.

- I.3.3 By way of derogation from Article II.11, the beneficiary may, when implementing the work programme, adjust the estimated budget by transfers between items of eligible costs, provided that this adjustment of expenditure does not affect implementation of the work programme and the transfer between chapters does not exceed 20% of the amount of each chapter of eligible costs for which the transfer is intended, and without exceeding the total eligible costs indicated in paragraph 1. He shall inform the Executive Agency in writing.

ARTICLE I.4 - PAYMENT ARRANGEMENTS

I.4.1 Pre-financing:

Within 45 days of [the latest of the following dates:] the date when the last of the parties signs the agreement [/ receipt of a financial guarantee which has been approved by the Executive Agency and amounting to EUR [insert amount in figures and words]], a pre-financing payment of EUR [insert amount in figures and words] shall be made to the beneficiary, representing [insert figure] % of the amount specified in Article I.3.2.

I.4.2 Further pre-financing payments:

Pre-financing may be paid in several instalments. In that case, payment of each further instalment may not be made until at least 30% of the previous pre-financing payment has been used up [and shall be conditional on the beneficiary producing a financial guarantee of [insert amount in figures and words] EUR which has been approved by the Executive Agency]. Where the consumption of the previous pre-financing is less than 70%, the amount of the new pre-financing payment shall be reduced by the unused amounts of the previous pre-financing¹.

Every request for payment of a further pre-financing instalment must be accompanied by the documents specified in Article II.13.2 [and by [an external audit certificate] [[or, in case of public bodies,] a certificate produced by a competent and independent public

¹ The new pre-financing instalment shall be reduced by the amount corresponding to the difference between the 70% threshold and the amount that was actually consumed. (Example: previous pre-financing 300 of which 100 (<70%) was consumed; calculation: 210 (70% threshold of 300) – 100 consumed = deduction of 110 from following pre-financing instalment).

officer] on the beneficiary's financial statements and underlying accounts for the period in question. The purpose of the audit is to certify that the financial documents submitted to the Executive Agency by the beneficiary comply with the financial provisions of the agreement, that the costs declared are the actual costs and that all receipts have been declared].

Within 45 days after the Executive Agency receives the request for payment of a further instalment, together with the documents referred to in the previous subparagraph, the compliance of the implementation of the work programme with Annex I will be assessed. Next, upon approval of the implementation, within 45 days a pre-financing payment of [insert amount in figures and words] EUR shall be made to the beneficiary, equivalent to [insert figure]% of the amount specified in Article I.3.2.

I.4.3 Payment of the balance

The request for payment of the balance shall be accompanied by the documents specified in Article II.13.4 and Annex III [and by [an external audit certificate] [[or, in case of public bodies,] a certificate produced by a competent and independent public officer] on the beneficiary's financial statements and underlying accounts for the period in question. The certificate shall certify, in accordance with a methodology approved by the Executive Agency, that the costs declared by the beneficiary in the financial statements on which the request of payment is based are real, accurately recorded and eligible and that all receipts have been declared, in accordance with the agreement].

The Executive Agency shall have 45 days to approve or reject the report on the technical and financial implementation of the work programme or to request additional supporting documents or information under the procedure laid down in Article II.13.4. In that case, the beneficiary shall have 20 days to submit the additional information or a new report.

A payment representing the balance of the grant determined in accordance with Article II.15 shall be made to the beneficiary within 45 days following approval by the Executive Agency of the report on the technical implementation of the work programme accompanying the request for payment of the balance. The Executive Agency may suspend the period for payment in accordance with the procedure in Article II.14.2.

ARTICLE I.5 - SUBMISSION OF REPORTS AND OTHER DOCUMENTS

The provisions relating to submission of the reports on the technical implementation of the work programme, financial statements and other documents referred to in Article I.4 are contained in Annex III.

The reports on the technical implementation of the work programme, financial statements and other documents referred to in Article I.4 must be submitted by the beneficiary in [insert number] copies in [insert language] on the following dates:

- Interim report on the technical implementation of the work programme and other documents related to a request for a further pre-financing as specified in Article I.4.2

within 2 months following a period of [insert number] months after the starting date specified in Article I.2.2., covering the period [insert dates];

- Final report on the technical implementation of the work programme and other documents related to a request for payment of the balance as specified in Article I.4.3. within 2 months following a period of [insert number] months after the starting date specified in Article I.2.2., covering the whole project duration.

ARTICLE I.6 - BANK ACCOUNT

I.6.1 All payments shall be made to the beneficiary's bank account or sub-account denominated in euros, as indicated below:

Name of bank:	[...]
Address of the branch:	[...]
Precise denomination of the account holder:	[...]
IBAN account code:	[...]

I.6.2 This account or sub-account must identify the payments made by the Executive Agency for carrying out the work programme for which the grant is awarded. If the funds paid to this account yield interest or equivalent benefits under the law of the State on whose territory the account is opened, such interest or benefits shall, if they are generated by pre-financing, be deducted from the payment of the balance or recovered by the Executive Agency as specified in Article II.14.4.

ARTICLE I.7 - GENERAL ADMINISTRATIVE PROVISIONS

Any communication in connection with this agreement shall be in writing, indicating the number of the agreement the title and acronym of the operating grant and shall be sent to the following addresses:

For the Executive Agency:

Technical reports, requests for payment and any other correspondence must be addressed to:

Executive Agency for Health and Consumers (EAHC)
 Health Unit
 DRB A3/050
 L-2920 Luxembourg
eahc@ec.europa.eu

Ordinary mail shall be considered to have been received by the Executive Agency on the date on which it is formally registered by the Executive Agency unit responsible referred to above.

For the beneficiary:

[Mr/Ms] [...]

[Function]
 [Official denomination]
 [Full official address]
 [Telephone]
 [Fax]
 [Email address]

ARTICLE I.8 - LAW APPLICABLE AND COMPETENT COURT

This grant is governed by the terms of the agreement, the Union law applicable and, on a secondary level, by the law of Luxembourg relating to grants.

The beneficiary may bring legal proceedings regarding decisions by the Executive Agency concerning the application of the provisions of the agreement and the arrangements for implementing it before the General Court of the European Union and, in the event of appeal, the Court of Justice.

ARTICLE I.9 – DATA PROTECTION²

1. Any personal data included in the agreement shall be processed pursuant to Regulation (EC) No 45/2001 of the European Parliament and of the Council on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data. Such data shall be processed solely for the purposes of the implementation, management and monitoring of the agreement by Executive Agency, without prejudice to possible transmission to the bodies charged with monitoring or inspection task in application of Union law.
2. The beneficiary shall have the right of access to his/her personal data and the right to rectify any such data. Should the beneficiary have any queries concerning the processing of his/her personal data, he/she shall address them to the Executive Agency.
3. The beneficiary shall have the right of recourse at any time to the European Data Protection Supervisor.
4. Where the agreement requires the processing of personal data by the beneficiary, the beneficiary may act only under the supervision of the data controller, in particular with regard to the purposes of the processing, the categories of data which may be processed, the recipients of the data, and the means by which the data subject may exercise his/her rights.
5. The beneficiary shall limit access to the data to the staff strictly necessary for the implementation, management and monitoring of the agreement.

² Any question on the application of Regulation (EC) No 45/2001 should be referred to the Data Protection Officer of the Agency. More information, including the privacy statement on grants and the contact details of the Data Protection Officer of the Agency, are available on the Agency's website (http://ec.europa.eu/eahc/about/data_protection.html).

6. The beneficiary undertakes to adopt appropriate technical and organisational security measures having regard to the risks inherent in the processing and to the nature of the personal data concerned in order to:
- a) prevent any unauthorised person from having access to computer systems processing personal data, and especially:
 - i) unauthorised reading, copying, alteration or removal of storage media;
 - ii) unauthorised data input as well as any unauthorised disclosure, alteration or erasure of stored personal data;
 - iii) unauthorised persons from using data-processing systems by means of data transmission facilities;
 - b) ensure that authorised users of a data-processing system can access only the personal data to which their access right refers;
 - c) record which personal data have been communicated, when and to whom;
 - d) ensure that personal data being processed on behalf of third parties can be processed only in the manner prescribed by the contracting institution or body;
 - e) ensure that, during communication of personal data and transport of storage media, the data cannot be read, copied or erased without authorisation;
 - f) design its organisational structure in such a way that it meets data protection requirements.

ARTICLE I.10 – FURTHER SPECIAL CONDITIONS

The following special conditions apply to this agreement:

- I.10.1 The beneficiary shall submit the payment requests in accordance with Article I.5, including the underlying financial statements, in euros. By way of derogation from Article II.12.1. any conversion of actual costs into euros shall be made by the beneficiary at the monthly accounting rate established by the Commission and published on its website for the first day of the month following the end of the reporting period³.
- I.10.2 Unless stipulated otherwise in this agreement, ownership of the results of the work programme and activities, including industrial and intellectual property rights, and of the reports and other documents relating to it shall be vested in the beneficiary.

Without prejudice to paragraph above, the beneficiary grants the Executive Agency and the Commission the right to make free use of the results of the work programme as it deems fit, provided it does not thereby breach its confidentiality obligations or existing industrial and intellectual property rights.

³ <http://ec.europa.eu/budget/inforeuro/index.cfm?fuseaction=home&Language=en>

- I.10.3 Without prejudice to Article II.4.1, unless the Executive Agency requests or agrees otherwise, all communications or publications by the beneficiaries, which are related to the work programme, including conferences, seminars, videos and electronic communications or printed matter shall include the following statement: "*This [insert appropriate description, e.g. publication, conference etc;] arises from the project [insert project title] which has received funding from the European Union, in the framework of the Health Programme.*"

II -GENERAL CONDITIONS

PART A - LEGAL AND ADMINISTRATIVE PROVISIONS

ARTICLE II.1 - LIABILITY

- II.1.1 The beneficiary shall have sole responsibility for complying with any legal obligations incumbent on him.
- II.1.2 The Executive Agency shall not, in any circumstances or on any grounds, be held liable in the event of a claim under the agreement relating to any damage caused in the implementation of the work programme. Consequently, the Executive Agency will not entertain any request for indemnity or reimbursement accompanying any such claim.
- II.1.3 Except in cases of force majeure, the beneficiary shall make good any damage sustained by the Executive Agency as a result of the implementation or faulty implementation of the work programme.
- II.1.4 The beneficiary shall bear sole liability vis-à-vis third parties, including for damage of any kind sustained by them while the work programme is being implemented.

ARTICLE II.2 - CONFLICT OF INTERESTS

The beneficiary undertakes to take all the necessary measures to prevent any risk of conflicts of interests which could affect the impartial and objective performance of the agreement. Such conflict of interests could arise in particular as a result of economic interest, political or national affinity, family or emotional reasons, or any other shared interest.

Any situation constituting or likely to lead to a conflict of interests during the implementation of the agreement must be brought to the attention of the Executive Agency, in writing, without delay. The beneficiary shall undertake to take whatever steps are necessary to rectify this situation at once. The Executive Agency reserves the right to check that the measures taken are appropriate and may demand that the beneficiary take additional measures, if necessary, within a certain time.

ARTICLE II.3 - CONFIDENTIALITY

The Executive Agency and the beneficiary undertake to preserve the confidentiality of any document, information or other material directly related to the subject of the agreement that is duly classed as confidential, if disclosure could cause prejudice to the other party. The parties shall remain bound by this obligation beyond the period covered by Union funding.

ARTICLE II.4 - PUBLICITY

II.4.1 Unless the Executive Agency requests otherwise, any communication or publication by the beneficiary about the implementation of the work programme, including at a conference or seminar, shall indicate that it has received funding from the Union.

Any communication or publication by the beneficiary, in any form and medium, shall indicate that sole responsibility lies with the author and that the Executive Agency is not responsible for any use that may be made of the information contained therein.

II.4.2 The beneficiary authorises the Executive Agency to publish the following information in any form and medium, including via the Internet:

- the beneficiary's name and the address,
- the subject and purpose of the grant,
- the amount granted and the proportion of the beneficiary's total operating budget covered by the funding.

Upon a reasoned and duly substantiated request by the beneficiary, the Executive Agency may agree to forgo such publicity if disclosure of the information indicated above would risk compromising the beneficiary's security or prejudicing his commercial interests.

ARTICLE II.5 - EVALUATION

Whenever the Commission carries out an interim or final evaluation of the grant's impact measured against the objectives of the Union programme concerned, the beneficiary undertakes to make available to the Commission and/or persons authorised by it all such documents or information as will allow the evaluation to be successfully completed and to give them the rights of access specified in Article II.17.

ARTICLE II.6 - FORCE MAJEURE

II.6.1 Force majeure shall mean any unforeseeable exceptional situation or event beyond the parties' control which prevents either of them from fulfilling any of their obligations under the agreement, was not attributable to error or negligence on their part, and proves insurmountable in spite of all due diligence. Defects in equipment or material or delays in making them available (unless due to force majeure), labour disputes, strikes or financial difficulties cannot be invoked as force majeure by the defaulting party.

II.6.2 A party faced with force majeure shall inform the other party without delay by registered letter with advice of delivery or equivalent, stating the nature, probable duration and foreseeable effects.

II.6.3 Neither of the parties shall be held in breach of their obligations under the agreement if they are prevented from fulfilling them by force majeure. The parties shall make every effort to minimise any damage due to force majeure.

ARTICLE II.7 – AWARD OF CONTRACTS

II.7.1 If the beneficiary has to conclude contracts in order to implement the work programme and they involve eligible costs for the operating budget, he shall award the contract to the bid offering best value for money; in doing so he shall observe the principles of transparency and equal treatment of potential contractors and shall take care to avoid any conflict of interests.

II.7.2 Contracts as referred to in paragraph 1 may be awarded only in the following cases:

- a) they may only cover the execution of a limited part of the work programme;
- b) recourse to the award of contracts must be justified having regard to the nature of the tasks covered by the work programme and what is necessary for its implementation;
- c) the tasks concerned must be set out in Annex I and the corresponding estimated costs must be set out in detail in the budget in Annex II;
- d) any recourse to the award of contracts while the work programme is being implemented shall be subject to prior written authorisation by the Executive Agency;
- e) the beneficiary shall retain sole responsibility for implementing the work programme and for compliance with the provisions of the agreement. The beneficiary must undertake to make the necessary arrangements to ensure that the contractor waives all rights in respect of the Executive Agency under the agreement;
- f) the beneficiary must undertake to ensure that the conditions applicable to him under Articles II.1, II.2, II.3, II.4, II.5, II.8 and II.17 of the agreement are also applicable to the contractor.

ARTICLE II.8 - ASSIGNMENT

Claims for payments to be carried out by the Executive Agency may not be transferred.

In exceptional circumstances, where the situation warrants it, the Executive Agency may authorise the assignment to a third party of the agreement and payments flowing from it following a written request to that effect, giving reasons, from the beneficiary. If the Executive Agency agrees, it must make its agreement known in writing before the proposed assignment takes place. In the absence of the above authorisation, or in the event of failure to observe the terms thereof, the assignment shall not be enforceable against and shall have no effect on the Executive Agency.

In no circumstances shall such an assignment release the beneficiary from his obligations to the Executive Agency.

ARTICLE II.9 – TERMINATION OF THE AGREEMENT

II.9.1 Termination by the beneficiary

In duly justified cases, the beneficiary may withdraw his request for a grant and terminate the agreement at any time by giving 60 days' written notice stating the reasons, without being required to furnish any indemnity on this account.

If no reasons are given or if the Executive Agency does not accept the reasons, the beneficiary shall be deemed to have cancelled this agreement improperly, with the consequences set out in the third subparagraph of paragraph 4.

II.9.2 Termination by the Executive Agency

The Executive Agency may decide to terminate the agreement, without any indemnity on its part, in the following circumstances:

- a) in the event of a legal, financial, technical or organisational change in the beneficiary's situation that is liable to affect the agreement substantially or to call into question the decision to award the grant;
- b) if the beneficiary fails to fulfil a substantial obligation incumbent on him under the terms of the agreement, including its annexes;
- c) in the event of force majeure, notified in accordance with Article II.6;
- d) if the beneficiary is declared bankrupt, is being wound up or is the subject of any other similar proceedings;
- (e) if the beneficiary is found guilty of an offence involving his professional conduct by a judgment having the force of res judicata or if he is guilty of grave professional misconduct proven by any justified means;
- f) if the beneficiary is guilty of misrepresentation or submits information or reports inconsistent with reality to obtain the grant provided for in the agreement;
- g) if the beneficiary has intentionally or by negligence committed a substantial irregularity in performing the agreement or in the event of fraud, corruption or any other illegal activity on the part of the beneficiary to the detriment of the Union's financial interests. A substantial irregularity consists of any infringement of a provision of an agreement or regulation resulting from an act or an omission on the part of the beneficiary which causes or might cause a loss to the Union budget.

II.9.3 Termination procedure

The procedure is initiated by registered letter with advice of delivery or equivalent.

In the cases referred to in points (a), (b) and (d) of paragraph 2, the beneficiary shall have 30 days to submit his observations and take any measures necessary to ensure

continued fulfilment of his obligations under the agreement. If the Executive Agency fails to confirm acceptance of these observations by giving written approval within 30 days of receiving them, the procedure shall continue to run.

Where notice is given, termination shall take effect at the end of the period of notice, which shall start to run from the date when notification of the Executive Agency's decision to terminate the agreement is received.

If notice is not given in the cases referred to in points (c), (e), (f) and (g) of paragraph 2, termination shall take effect from the day following the date on which notification of the Executive Agency's decision to terminate the agreement is received.

II.9.4 Effects of termination

In the event of termination of the agreement, payments by the Executive Agency shall be limited to the eligible costs actually incurred by the beneficiary up to the date when termination takes effect in accordance with the provisions of Article II.15. Costs relating to current commitments that are not due to be executed until after termination shall not be taken into account.

The beneficiary shall have 60 days from the date when termination takes effect, as notified by the Executive Agency, to produce a request for final payment in accordance with Article II.13.4. If no request for final payment is received within this time limit, the Executive Agency shall not reimburse the expenditure incurred by the beneficiary up to the date of termination and it shall recover any amount if its use is not substantiated by the reports on the technical implementation of the work programme and financial statements approved by the Executive Agency.

By way of exception, at the end of the period of notice referred to in paragraph 3, when the Executive Agency is terminating the agreement on the grounds that the beneficiary has failed to produce the final report on the technical implementation of the work programme and the financial statement within the deadline stipulated in Article I.5 and the beneficiary has still not complied with this obligation within two months following the written reminder sent by the Executive Agency by registered letter with advice of delivery or equivalent, the Executive Agency shall not reimburse the expenditure incurred by the beneficiary up to the end of the period of eligibility for Union funding and it shall recover any amount if its use is not substantiated by the reports on the technical implementation of the work programme and the financial statements approved by the Executive Agency.

By way of exception, in the event of improper termination by the beneficiary or termination by the Executive Agency on the grounds set out in points (e), (f) or (g) of paragraph 2, the Executive Agency may require the partial or total repayment of sums already paid under the agreement on the basis of the reports on the technical implementation of the work programme and the financial statements approved by the Executive Agency, in proportion to the gravity of the failings in question and after allowing the beneficiary to submit his observations.

ARTICLE II.10 - FINANCIAL PENALTIES

By virtue of the Financial Regulation applicable to the general budget of the European Union, any beneficiary declared to be in grave breach of his obligations under the agreement shall be liable to financial penalties of between 2% and 10% of the value of the grant in question, with due regard for the principle of proportionality.

This rate may be increased to between 4% and 20 % in the event of a repeated breach in the five years following the first. The beneficiary shall be notified in writing of any decision by the Executive Agency to apply such financial penalties.

ARTICLE II.11 - SUPPLEMENTARY AGREEMENTS

- II.11.1 Any amendment to the grant must be the subject of a written supplementary agreement. No oral agreement may bind the parties to this effect.
- II.11.2 The supplementary agreement may not have the purpose or the effect of making changes to the agreement which might call into question the decision awarding the grant or result in unequal treatment of applicants.
- II.11.3 If the amendment is requested by the beneficiary, he must send it to the Executive Agency in good time before it is due to take effect and at all events one month before the date on which eligibility for Union funding ends, except in cases duly substantiated by the beneficiary and accepted by the Executive Agency.

PART B - FINANCIAL PROVISIONS

ARTICLE II.12 - ELIGIBLE COSTS

II.12.1 Eligible costs of the work programme are costs actually incurred by the beneficiary, which meet the following criteria:

- they are incurred during the duration of the work programme as specified in Article I.2.2 of the agreement, with the exception of costs relating to final reports and certificates on the financial statements and underlying accounts;
- they are connected with the subject of the agreement and they are indicated in the estimated overall budget of the work programme;
- they are necessary for the implementation of the work programme which is the subject of the grant;
- they are identifiable and verifiable, in particular being recorded in the accounting records of the beneficiary and determined according to the applicable accounting standards of the country where the beneficiary is established and according to the usual cost-accounting practices of the beneficiary;
- they comply with the requirements of applicable tax and social legislation;
- they are reasonable, justified, and comply with the requirements of sound financial management, in particular regarding economy and efficiency.

The beneficiary's internal accounting and auditing procedures must permit a direct reconciliation of the costs and revenue declared in respect of the work programme with the corresponding accounting statements and supporting documents.

II.12.2 In particular, the following operating costs are eligible provided that they satisfy the criteria set out in the previous paragraph:

- the cost of staff, comprising actual salaries plus social security charges and other statutory costs included in the remuneration, provided that this does not exceed the average rates corresponding to the beneficiary's usual policy on remuneration;

The corresponding salary costs of personnel of national administrations are eligible to the extent that they relate to the costs of activities which the relevant authority would not carry out if the project concerned were not undertaken;

- travel and subsistence allowances for staff, provided that they are in line with the beneficiary's usual practices on travel costs or do not exceed the scales approved annually by the Commission;

- the purchase cost of equipment (new or second-hand), provided that it is written off in accordance with the tax and accounting rules applicable to the beneficiary and generally accepted for items of the same kind. Only the portion of the equipment's depreciation corresponding to the period of eligibility for Union funding covered by the agreement may be taken into account by the Executive Agency, except where the nature and/or the context of its use justifies different treatment by the Executive Agency;
- costs of consumables and supplies; provided that they are identifiable and assigned to the work programme;
- costs entailed by other contracts awarded by the beneficiary for the purposes of implementing the work programme, provided that the conditions laid down in Article II.7 are met;
- costs arising directly from requirements imposed by the agreement (in particular, audit costs and dissemination of information, specific evaluation of the action, audits, translations, reproduction, etc.), including the costs of any financial services (especially the cost of financial guarantees);
- overheads.

II.12.3 The following costs shall not be considered eligible:

- capital increases and return on capital;
- debt and debt service charges;
- provisions for losses or potential future liabilities;
- interest owed;
- doubtful debts;
- exchange losses;
- VAT, unless the beneficiary can show that he is unable to recover it according to the applicable national legislation. VAT paid by public bodies is not an eligible cost;
- costs declared and covered by a specific action receiving a Union grant;
- excessive or reckless expenditure.
- contributions in kind

II.12.4 Not applicable

ARTICLE II.13 - REQUESTS FOR PAYMENT

Payments shall be made in accordance with Article I.4 of the Special Conditions.

II.13.1 P RE-FINANCING

Pre-financing is intended to provide the beneficiary with a float.

Where required by the provisions of Article I.4.1 on pre-financing, the beneficiary shall provide a financial guarantee from a bank or an approved financial institution established in one of the Member States of the European Union⁴.

The guarantor shall stand as first demand guarantor and shall not require the Executive Agency to have recourse against the principal debtor (the beneficiary).

The financial guarantee shall provide that it remains in force until the pre-financing is cleared against interim payment(s) or payment of the balance by the Executive Agency to the beneficiary or, in the absence of such clearing, three months after a recovery is notified to the beneficiary by which the Executive Agency asks him to repay the pre-financing. The Executive Agency undertakes to release the guarantee within the following month.

II.13.2 FURTHER PRE-FINANCING PAYMENTS

Where pre-financing is divided into several instalments, the beneficiary may request a further pre-financing payment once he has used up the percentage of the previous payment specified in the provisions of Article I.4.2 on further pre-financing. The request shall be accompanied by the following documents:

- a progress report on the technical implementation of the work programme;
- a detailed financial statement of the eligible costs actually incurred, following the structure of the estimated budget, including a consolidated statement;
- where required by the above-mentioned provisions of Article I.4.2, a financial guarantee in accordance with paragraph 1;
- any other documents in support of his request for further pre-financing payment.

The documents accompanying the request for payment shall be drawn up in accordance with the relevant provisions in Article I.5 and the Annexes.

II.13.3 NOT APPLICABLE

⁴ When the beneficiary is established in a third country, the authorising officer responsible may agree that a bank or a financial institution established in that third country may provide the guarantee if he considers that the bank or financial institution offers equivalent security and characteristics as those offered by a bank or a financial institution established in a Member State.

II.13.4 PAYMENT OF THE BALANCE

Payment of the balance, which may not be repeated, is made after the end of the period of eligibility for Union funding on the basis of the costs actually incurred by the beneficiary in carrying out the work programme. It may take the form of a recovery order where the total amount of earlier payments is greater than the amount of the final grant determined in accordance with Article II.15.

By the appropriate deadline indicated in Article I.5, the beneficiary shall submit a request for payment of the balance accompanied by the following documents:

- a final report on the technical implementation of the work programme;
- a final detailed financial statement of the eligible costs actually incurred, following the structure of the estimated budget, including a consolidated statement;
- a full summary statement of the receipts and expenditure of the technical implementation of the work programme in the beneficiary's accounts for the period of eligibility covered by the agreement;
- any other documents in support of his request for payment of the balance.

The documents accompanying the request for payment shall be drawn up in accordance with the relevant provisions in Article I.5 and the annexes.

If an external audit of the beneficiary's accounts is not required by the provisions of Article I.4.3, the beneficiary himself shall certify that the financial documents submitted to the Executive Agency comply with the financial provisions of the agreement, are full, reliable and true. He shall also certify that the costs declared are the actual costs, that all receipts have been declared and that the request for payment is substantiated by adequate supporting documents that can be checked.

On receipt of these documents, the Executive Agency shall have the period specified in Article I.4.3 in order to:

- approve the final report on the technical implementation of the work programme and the detailed financial statement;
- ask the beneficiary for supporting documents or any additional information it deems necessary to allow the approval of the technical implementation report and the financial statement;
- reject the documents referred to in Article I.4.3 and ask for the submission of additional information or a new report.

Failing a written reply from the Executive Agency within the time limit for scrutiny indicated above, the report shall be deemed to have been approved. Approval of the report accompanying the request for payment shall not imply recognition of their regularity or of the authenticity, completeness and correctness of the declarations and information they contain.

If additional information or a new report is requested, the time limit for scrutiny shall be extended by the time it takes to obtain this information. The beneficiary shall be informed of that request and the extension of the delay for scrutiny by means of a formal document. The beneficiary shall have the period laid down in Article I.4 to submit the information or new documents requested.

Extension of the delay for approval of the report may delay the payment by the equivalent time.

Where a report is rejected and a new report requested, the approval procedure described in this article shall apply.

In the event of renewed rejection, the Executive Agency reserves the right to terminate the agreement by invoking Article II.9.2(b).

II.13.5 COSTS OF TRANSFERS

Costs of the transfers are borne in the following way:

- costs of dispatch charged by the bank of the Commission shall be borne by the Executive Agency;
- costs of receipt charged by the bank of the beneficiary shall be borne by the beneficiary;
- all costs of repeated transfers caused by one of the parties shall be borne by the party who caused repetition of the transfer.

ARTICLE II.14 -GENERAL PROVISIONS ON PAYMENTS

II.14.1 Payments shall be made by the Executive Agency in euros. Any conversion of actual costs into euros shall be made at the monthly accounting rate established by the Commission and published on its website for the first day of the month following the end of the reporting period⁵, unless the Special Conditions of the agreement lay down specific provisions.

Payments by the Executive Agency shall be deemed to be effected on the date when they are debited to the Executive Agency's account.

II.14.2 The Executive Agency may suspend the period for payment laid down in Article I.4 at any time by notifying the beneficiary that his request for payment is not admissible, either because it does not comply with the provisions of the agreement, or because the appropriate supporting documents have not been produced, or because there is a suspicion that some of the expenses in the request for payment are not eligible and additional checks are being conducted.

The Executive Agency may also suspend its payments at any time if the beneficiary is found or presumed to have infringed the provisions of the agreement, in particular in the wake of the audits and checks provided for in Article II.17.

⁵ <http://ec.europa.eu/budget/inforeuro/index.cfm?fuseaction=home&Language=en>

The Executive Agency shall inform the beneficiary of any such suspension by registered letter with advice of delivery or equivalent setting out the reasons for suspension.

Suspension shall take effect on the date when the letter is sent by the Executive Agency. The remaining payment period shall start to run again from the date when a properly constituted request for payment is registered, when the supporting documents requested are received, or at the end of the suspension period as notified by the Executive Agency.

- II.14.3 On expiry of the period for payment specified in Article I.4, and without prejudice to paragraph 2 of this Article, the beneficiary is entitled to interest on the late payment at the rate applied by the European Central Bank for its main refinancing operations in euros, plus three and a half points; the reference rate to which the increase applies shall be the rate in force on the first day of the month of the final date for payment, as published in the C series of the Official Journal of the European Union. This provision shall not apply to recipients of a grant which are public authorities of the Member States of the European Union.

Interest on late payment shall cover the period from the final date for payment, exclusive, up to the date of payment as defined in paragraph 1, inclusive. The interest shall not be treated as a receipt for the purposes of determining the final grant within the meaning of Article II.15.4. The suspension of payment by the Executive Agency may not be considered as late payment.

By way of exception, when the interest calculated in accordance with the provisions of the first and second subparagraphs is lower than or equal to EUR 200, it shall be paid to the beneficiary only upon demand submitted within two months of receiving late payment.

- II.14.4 The Executive Agency shall deduct the interest yielded by pre-financing which exceeds EUR 50 000 as provided for in Article I.4 from the payment of the balance of the amount due to the beneficiary. The interest shall not be treated as a receipt within the meaning of Article II.15.4.

Where the pre-financing payments exceed EUR 750 000 per agreement at the end of each financial year, the interest shall be recovered for each reporting period. Taking account of the risks associated with the management environment and the nature of actions financed, the Executive Agency may recover the interest generated by pre-financing lower than EUR 750 000 at least once a year.

Where the interest yielded exceeds the balance of the amount due to the beneficiary as indicated in Article II.13.4, or is generated by pre-financing referred to in the previous subparagraph, the Executive Agency shall recover it in accordance with Article II.16.

Interest yielded by pre-financing paid to Member States is not due to the Executive Agency.

- II.14.5 The beneficiary shall have two months from the date of notification by the Executive Agency of the final amount of the grant determining the amount of the payment of the

balance or the recovery order in application of Article II.15, or failing that of the date on which the payment of the balance was received, to request information in writing on the determination of the final grant, giving reasons for any disagreement. After this time such requests will no longer be considered. The Executive Agency undertakes to reply in writing within two months following the date on which the request for information is received, giving reasons for its reply. This procedure is without prejudice to the beneficiary's right to appeal against the Executive Agency's decision pursuant to Article I.8. Under the terms of Union law in this matter, such appeals must be lodged within two months following the notification of the decision to the applicant or, failing that, following the date on which the applicant learned of the decision.

ARTICLE II.15 - DETERMINING THE FINAL GRANT

- II.15.1 Without prejudice to information obtained subsequently pursuant to Article II.17, the Executive Agency shall adopt the amount of the final payment to be granted to the beneficiary on the basis of the documents referred to in Article II.13.4 which it has approved.
- II.15.2 The total amount paid to the beneficiary by the Executive Agency may not in any circumstances exceed the maximum amount of the grant laid down in Article I.3.2, even if the total actual costs eligible exceed the estimated total eligible costs specified in Article I.3.1.
- II.15.3 If the actual eligible costs at the end of the period of eligibility are lower than the estimated total eligible costs, the Executive Agency's contribution shall be limited to the amount obtained by applying the Union grant percentage specified in Article I.3.2 to the actual eligible costs approved by the Executive Agency.
- II.15.4 The beneficiary hereby agrees that the grant shall be limited to the amount necessary to balance the receipts and expenditure in the operating budget which allows the work programme to be implemented and that it may not in any circumstances produce a profit for him.

Profit shall mean any surplus of the beneficiary's total actual operating receipts over his total actual operating costs. The actual costs to be taken into account shall be those which have been established, generated or confirmed on the date on which the request for payment of the balance is drawn up by the beneficiary for financing other than the Union grant, to which shall be added the amount of the grant determined by applying the principles laid down in paragraphs 2 and 3 of this article. For the purposes of this article, only operating costs shown in the beneficiary's financial statements and falling within the categories set out in the estimated budget referred to in Article I.3.1 and contained in Annex II shall be taken into account; non-eligible costs shall always be covered by non-Union resources.

Any surplus determined in this way shall result in a corresponding reduction in the amount of the grant.

- II.15.5 Without prejudice to the right to terminate the agreement under Article II.9, and without prejudice to the right of the Executive Agency to apply the penalties referred

to in Article II.10, if the approved work programme is not implemented or is implemented poorly, partially or late, the Executive Agency may reduce the grant initially provided for in line with the actual implementation of the work programme on the terms laid down in this agreement.

- II.15.6 On the basis of the amount of the final payment determined in this way and of the aggregate amount of the payments already made under the terms of the agreement, the Executive Agency shall set the amount of the payment of the balance as being the amount still owing to the beneficiary. Where the aggregate amount of the payments already made exceeds the amount of the final grant, the Executive Agency shall issue a recovery order for the surplus.

ARTICLE II.16 - RECOVERY

- II.16.1 If any amount is unduly paid to the beneficiary or if recovery is justified under the terms of the agreement, the beneficiary undertakes to repay the Executive Agency the sum in question on whatever terms and by whatever date it may specify.
- II.16.2 If the beneficiary fails to pay by the date set by the Executive Agency, the sum due shall bear interest at the rate indicated in Article II.14.3. Interest on late payment shall cover the period between the date set for payment, exclusive, and the date when the Executive Agency receives full payment of the amount owed, inclusive. This provision shall not apply to recipients of a grant which are public authorities of the Member States of the European Union.

Any partial payment shall first be entered against charges and interest on late payment and then against the principal.

- II.16.3 If payment has not been made by the due date, sums owed to the Executive Agency may be recovered by offsetting them against any sums owed to the beneficiary, in cases where the beneficiary also has a claim on the Union or the European Atomic Energy Community, after informing him accordingly by registered letter with acknowledgment of receipt or equivalent, or by calling in the financial guarantee provided in accordance with Article II.13.1. In exceptional circumstances, justified by the necessity to safeguard the financial interests of the Union, the Executive Agency and/or the Commission may recover by offsetting before the due date of the payment. The beneficiary's prior consent shall not be required.
- II.16.4 Bank charges occasioned by the recovery of the sums owed to the Executive Agency shall be borne solely by the beneficiary.
- II.16.5 The beneficiary understands that under Article 299 of the Treaty on the functioning of the European Union, the Commission may adopt an enforceable decision for finally establishing an amount as receivable from persons other than States. An action may be brought against such decision before the General Court of the European Union.

ARTICLE II.17 - CHECKS AND AUDITS

- II.17.1 The beneficiary undertakes to provide any detailed information requested by the Executive Agency and/or the Commission by any other outside body authorised by the Executive Agency and/or the Commission to check that the work programme and the provisions of the agreement are being properly implemented.
- II.17.2 The beneficiary shall keep at the Executive Agency's disposal all original documents, especially accounting and tax records, or, in exceptional and duly justified cases, certified copies of original documents relating to the agreement for a period of five years from the date of payment of the balance specified in Article I.4.
- II.17.3 The beneficiary agrees that the Executive Agency may have an audit of the use made of the grant carried out either directly by its own staff or by any other outside body authorised to do so on its behalf. Such audits may be carried out throughout the period of implementation of the agreement until the balance is paid and for a period of five years from the date of payment of the balance. Where appropriate, the audit findings may lead to recovery decisions by the Executive Agency and/or the Commission.
- II.17.4 The beneficiary undertakes to allow the Executive Agency staff and outside persons authorised by the Executive Agency and/or the Commission the appropriate right of access to the beneficiary's premises and to all the information, including information in electronic format, needed in order to conduct such audits.
- II.17.5 By virtue of Council Regulation (Euratom, EC) No 2185/96 and Regulation (EC) No 1073/1999 of the European Parliament and the Council, the European Anti-Fraud Office (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 European Union against fraud and other irregularities. Where appropriate, the inspection findings may lead to recovery decisions by the Executive Agency and/or the Commission.
- II.17.6 The Court of Auditors shall have the same rights as the Executive Agency and the Commission, notably right of access, as regards checks and audits.

SIGNATURES

<p>For the beneficiary</p> <p>Ms./ Mr. First name NAME Function</p> <p><i>Signature</i></p> <p>Done at [place], on _____ Done</p>	<p>For the Executive Agency</p> <p>Mr. Luc BRIOL Director</p> <p><i>Signature</i></p> <p>at Luxembourg, on _____</p>
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In [duplicate or three copies or...] in English

ANNEX I
BENEFICIARY'S WORK PROGRAMME

ANNEX II
BENEFICIARY'S OPERATING BUDGET

ANNEX III
REPORTING REQUIREMENTS:
FINAL REPORT, FINANCIAL STATEMENT, AND FINANCIAL INDEPENDENCE FORM TO BE
SUBMITTED

A) FINAL TECHNICAL AND FINANCIAL REPORT

As requested by the provisions of Article I.4, the final report on the technical implementation of the work programme, the final financial statements and other documents shall be drawn up in accordance with the following provisions.

The final report on the technical implementation of the work programme, the final financial statements and other documents referred to in Article I.4 and I.5 must be submitted within 2 months following the end of the period of eligibility for Union funding specified in Article I.2.2., covering the work programme as described in Annex I in accordance with Art.1.2.2.

The beneficiary shall submit two copies of the final report on the technical implementation of the work programme, the final financial statements and the financial independence form in one of the official languages of the European Union, as well as, for administrative and financial purposes, a copy in English.

The final report on the technical implementation of the work programme shall contain a description of the progress and activities of the beneficiary's organisation:

- Qualitative evaluation of the execution of all tasks mentioned in Annex I;
- List of main activities;
- List of seminars, conferences etc., indicating the organiser, number of participants, etc;
- List of travel & subsistence costs in connection with the implementation of the programme of activities;
- Two copies of all published material and the website address with evidences of publicity on Union funding.

The final financial statements shall give details of the eligible costs incurred in carrying out the programme of activities in accordance with the conditions set down in this agreement and its annexes:

- Two copies of the final financial statements in accordance with the structure of the estimated budget in Annex II.

- The final detailed financial statement must be accompanied by an external audit report on the beneficiary's accounts for the period in question (one copy) if the payment request equals or exceeds EUR 100.000 per financial year¹.
- One copy of the balance sheet and incomes and expenditures accounts of the beneficiary for the period in question;
- A full summary statement of the receipts and expenditure in the beneficiary's accounts for the period of eligibility covered by the agreement.
- Financial independence form (see point B) below) filled in according to the template attached in Annex VI of the agreement and certified by an independent auditor. Information provided in this form should cover the period for which the EU operating grant was given.

The final financial statements must be submitted in euros.

Any beneficiary, whose accountancy is established in another currency than euros, shall convert actual costs as registered in his accounts into euros at the monthly accounting rate established by the Commission, published on its website ² for the first day of the month the final report is to be submitted by the beneficiary.

B) FINANCIAL INDEPENDENCE FORM

In line with Annex VI of the Commission Decision concerning the adoption of the financing decision for 2011 in the framework of the second programme of Community action in the field of health (2008-13) and on the selection, award and other criteria for financial contributions to the actions to this programme (2011 Work Plan), **non-governmental organisations** should submit additionally the Financial independence form filled in according to the template attached in Annex VI of the agreement and certified by an independent auditor. Information provided in this form should cover the period for which the EU operating grant was given.

At the time of the final report, the financial independence will be assessed based on the financial information for the financial year for which the grant was attributed. If these accounts show that during the financial year covered by the grant, the beneficiary received more than 20 % of its core funding from private sector organisations representing a conflicting interest, or from other sources representing a conflicting interest, the entire amount of the grant shall be recovered.

¹ The audit certificate shall certify that the costs declared by the beneficiary in the financial statements on which the request for payment is based are real, accurately recorded and eligible in accordance with the grant agreement)

² <http://ec.europa.eu/budget/inforeuro/index.cfm?fuseaction=home&Language=en>

**ANNEX IV
INSTRUCTIONS
CONCERNING THE ELIGIBILITY OF TRAVEL AND SUBSISTENCE EXPENSES**

(IF COMMISSION'S RULES APPLY)

1. **Flat-rate subsistence allowances** cover all subsistence expenses during missions, including hotels, restaurants and local transport (taxis and/or public transport). They apply in respect of each day of a mission at a minimum distance of 100 km from the normal place of work. The subsistence allowance varies depending on the country in which the mission is carried out. The daily rates will correspond to the sum of the daily allowance and the maximum hotel price set out in Article 13 of Annex VII of the Staff Regulations.¹

Missions in countries other than EU 27, Acceding and Applicant countries and EFTA-EEA countries shall be subject to the prior agreement of the Executive Agency. This agreement shall be related to the objectives of the mission, its costs and the reasons therefore. For these other countries not referred to above, the daily rates will correspond to the sum of the daily allowance and the maximum hotel price set out in Commission Decision C(2008) 6215.²

2. **Travel expenses** are eligible under the following conditions:
 - travel by the most direct and most economic route;
 - distance of at least 100 km between the place of the meeting and the normal place of work;
 - travel by rail: first class;
 - travel by air: economy class, unless a cheaper fare can be used (e.g. Apex); air travel is allowed only for return journeys of more than 800 km;
 - travel by car: reimbursed on the basis of the equivalent first class rail fare.

¹ Regulation 31/1962/EEC laying down the Staff Regulations of Officials and the Conditions of Employment of Other Servants of the European Economic Community and the European Atomic Energy Agency

² Commission Decision C(2008)6215 of 18 November 2008: General implementing provisions adopting the Guide to missions for officials and other servants of the European Commission

**ANNEX V
UNILATERAL COMMITMENT**

**(ONLY FOR BENEFICIARIES WITH THE STATUS OF NON-GOVERNMENTAL BODIES
- IF APPLICABLE)**

**ANNEX VI
FINANCIAL INDEPENDENCE FORM**

**(ONLY FOR BENEFICIARIES WITH THE STATUS OF NON-GOVERNMENTAL BODIES
- IF APPLICABLE)**

(THE INSTRUCTIONS DESCRIBED IN ANNEX III APPLY)

ANNEX VII
AUDIT CERTIFICATE TEMPLATE

**(ONLY FOR BENEFICIARIES WITH THE STATUS OF NON-GOVERNMENTAL BODIES
- IF APPLICABLE)**

Addressed to

[full name and the address of the Beneficiary concerned¹]

We *[legal name of the audit firm]*, established in *[full address / city / state / province / country]* represented for signature of this audit certificate by *[name and function of an authorised representative]*, hereby certify that:

- we have conducted an audit relating to the cost declared in the Financial Statement(s) per Activity of *[name of Beneficiary]* hereinafter referred to as Beneficiary, and the documents provided in support of the Financial statement (i.e. cost claim, request for payment, Financial independence form) to which this audit certificate is attached, and which is to be presented to the EAHC under agreement *[EAHC grant agreement reference: title, acronym, number]* for the following period(s) covered by the EAHC agreement *[insert period(s) covered by the Financial Statement(s) per Activity]*.
- We confirm that our audit was carried out in accordance with generally accepted auditing standards respecting ethical rules and on the basis of the relevant provisions of the agreement *[EAHC grant agreement reference: title, acronym, number]* and its annexes. The above mentioned Financial Statement(s) per Activity and the Financial independence form were examined and all tests of the supporting documentation and accounting records deemed necessary were carried out in order to obtain reasonable assurance² that, in our opinion, based on our audit:
 - the amount of the total eligible costs (*[insert amount in number]* (*[insert amount in words³]*)) declared in the attached Financial Statement(s) per Activity is complying with the following cumulative conditions⁴:
 - ✓ they are actual and reflect the beneficiary's economic environment;
 - ✓ they are determined in accordance with the beneficiary's accounting principles;
 - ✓ they have been incurred during the periods covered by the Financial Statement(s) per Activity concerned by this audit certificate;
[they also include the eligible costs incurred in drawing up the final reports referred to in Article II.12.1 of this grant agreement, which may be incurred up to two calendar months after the end of the work programme;]
 - ✓ they are recorded in the accounts of the beneficiary at the date of the establishment of this audit certificate;
 - ✓ they are exclusive of any non-eligible costs identified below which are established in Article II.12.3 of the above mentioned grant agreement with the EAHC:

¹ See preamble of the core-agreement.

² Reasonable assurance is an accounting expression meaning a high degree of confidence that information is valid and unaltered.

³ In EUR.

⁴ Article II.12.1 Eligible costs are actual. They are not budgeted costs. Where actual costs are not available at the time of establishment of the audit certificate, the closest possible estimate can be declared as actual if this is in conformity with the accounting principles of the contractor. This must be mentioned in the financial statement. Any necessary adjustments to these claims must be reported in the Financial Statement for the subsequent reporting period. For the last reporting period, only actual costs can be declared.

- capital increases and return on capital;
- debt and debt service charges;
- provisions for losses or potential future liabilities;
- interest owed;
- doubtful debts;
- exchange losses;
- VAT, unless the beneficiary can show that he is unable to recover it according to the applicable national legislation. VAT paid by public bodies is not an eligible cost;
- costs declared and covered by a specific action a Union grant;
- excessive or reckless expenditure;
- contributions in kind.

✓ [they are claimed according to the following basis for the conversion rate used of EUR:

❖ the rate applicable on the first day of the month following the end of reporting period]¹

- as declared in the attached Financial Statement(s) per Activity, the total amount of receipts for the periods covered by this(those) Financial Statement(s) per Activity is equal to (*[insert amount in number] ([insert amount in words]²]*);
- as declared in the attached request for payment, the total amount of interest yielded by the pre-financing received from the EAHC for the periods covered by this (those) Financial Statement(s) per Activity is equal to (*[insert amount in number] ([insert amount in words]³]*);
- as declared in the Financial independence form attached, we confirm that the beneficiary's organisation did not receive more than 20 % of their core funding from private sector organisations⁴ representing a conflicting interest, or from other sources representing a conflicting interest during the financial year(s) covered by the grant agreement;
- accounting procedures used in the recording of eligible costs and receipts respect the accounting rules of the State in which the beneficiary is established and permit the direct reconciliation between the costs and receipts incurred for the implementation of the project covered by the EAHC grant agreement and the overall statement of accounts relating to the beneficiary's overall business activity⁵;
- based on our audit, we can conclude that the financial management of the project was carried out in an acceptable manner and in compliance with the requirements of *[EAHC grant agreement reference: title, acronym, number]*

¹ Article II.14.1.

² In EUR.

³ In EUR.

⁴ The term 'private sector' covers 'for-profit' companies/enterprises/corporations, business organisations or other entities irrespective of their legal nature (registered/not registered), ownership (wholly or partially privately owned/state owned) or size (large/small), if they are not controlled by the public.

⁵ Article II.12.1.

- our company [organisation – for competent public officers] is qualified to deliver this audit certificate in full compliance with the Article I.4.2 or I.4.3 of the grant agreement; [Relevant information establishing this qualification is included with this audit certificate;]¹
- as declared in the attached Financial Statement(s) per Activity, the beneficiary paid for this audit certificate a price equal to ([insert amount in number] ([insert amount in words]²) in which VAT is equal to ([insert amount in number] ([insert amount in words]³).

Date, signature and stamp of the audit firm

¹ If the auditor is not known internationally or for a competent public officer whose competence to provide an audit certificate has not been attested to by its national authorities.

² In EUR.

³ In EUR.

The Executive Agency for Health and Consumers (EAHC) implements EU Health Programme, Consumer Programme and Better Training for Safer Food initiative. Visit EAHC at ec.europa.eu/eahc