

Call for Proposals 2011

# Infopack: Conferences



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  
Conference**

**CALL FOR PROPOSALS 2011**



# **CONTENTS**

## **Section 1**

**Health Programme Decision and Work Plan 2011**

## **Section 2**

**Call for Proposals**

## **Section 3**

**Guide for applicants submitting a proposal**

## **Section 4**

**Application form**

## **Section 5**

**Model grant agreement**



## **Section 1**

**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 <sup>(1)</sup>,

Having regard to the opinion of the Committee of the Regions <sup>(2)</sup>,

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

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 <sup>(4)</sup>, 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.

<sup>(1)</sup> OJ C 88, 11.4.2006, p. 1.

<sup>(2)</sup> OJ C 192, 16.8.2006, p. 8.

<sup>(3)</sup> 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.

<sup>(4)</sup> 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<sup>(1)</sup> 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)<sup>(2)</sup>, 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.

<sup>(1)</sup> OJ L 142, 30.4.2004, p. 1.

<sup>(2)</sup> 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 <sup>(1)</sup> 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 <sup>(2)</sup>, for the budgetary authority during the annual budgetary procedure.

<sup>(1)</sup> OJ C 146, 22.6.2006, p. 1.

<sup>(2)</sup> 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<sup>(1)</sup>. 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.

<sup>(1)</sup> 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 <sup>(1)</sup>; 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.

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<sup>(1)</sup> 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 <sup>(1)</sup> 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.

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<sup>(1)</sup> OJ C 139, 14.6.2006, p. 1.

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**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) <sup>(1)</sup>. 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 <sup>(2)</sup>. 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 <sup>(3)</sup> 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.

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<sup>(1)</sup> COM(2006) 234.

<sup>(2)</sup> COM(2007) 150.

<sup>(3)</sup> 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) <sup>(1)</sup> (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 <sup>(2)</sup> (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 <sup>(3)</sup> (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 <sup>(4)</sup>, 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.

<sup>(1)</sup> OJ L 301, 20.11.2007, p. 3.

<sup>(2)</sup> OJ L 248, 16.9.2002, p. 1.

<sup>(3)</sup> OJ L 357, 31.12.2002, p. 1.

<sup>(4)</sup> 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<sup>(1)</sup> 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.

<sup>(1)</sup> 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<sup>(1)</sup>: special indemnities.

<sup>(1)</sup> 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<sup>(1)</sup> 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.

<sup>(1)</sup> 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 <sup>(1)</sup>. 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

<sup>(1)</sup> 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<sup>(1)</sup>. 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

<sup>(1)</sup> 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<sup>(1)</sup> 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<sup>(2)</sup> 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<sup>(3)</sup>.

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.

<sup>(1)</sup> OJ L 207, 6.8.2010, p. 14.

<sup>(2)</sup> OJ L 294, 25.10.2006, p. 32.

<sup>(3)</sup> 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 <sup>(1)</sup>, 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 <sup>(2)</sup>, 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 <sup>(3)</sup>; 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

<sup>(1)</sup> OJ L 194, 18.7.2001, p. 26.

<sup>(2)</sup> OJ L 152, 20.6.2003, p. 16.

<sup>(3)</sup> <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<sup>(1)</sup>. 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.

<sup>(1)</sup> 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<sup>(1)</sup>. 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]

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<sup>(1)</sup> 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) <sup>(1)</sup>.

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.

<sup>(1)</sup> 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 <sup>(1)</sup> 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.

<sup>(1)</sup> COM(2007) 630 final; [http://ec.europa.eu/health/ph\\_overview/strategy/health\\_strategy\\_en.htm](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.

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## 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 <sup>(1)</sup> 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);

<sup>(1)</sup> 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.

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## 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 <sup>(1)</sup> and in terms of expected contribution to the existing knowledge and implications for health (8 points);

<sup>(1)</sup> COM(2007) 630 final; [http://ec.europa.eu/health/ph\\_overview/strategy/health\\_strategy\\_en.htm](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.

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## 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 <sup>(1)</sup> 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 <sup>(2)</sup>.

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.

<sup>(1)</sup> 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.

<sup>(2)</sup> 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.

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## 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.

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## **Section 2**

**Call for Proposals**



## 2011 CALL FOR PROPOSALS FOR CONFERENCES

### 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)<sup>1</sup>, 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 "Conferences in the field of public health" (hereafter called conferences) financing mechanism. Accordingly, it **does not concern conferences organised by the Presidency of the European Union** as specified in the 2011 Work Plan.

Interested parties active in the field of public health are invited to submit an application, through this call for proposals for conferences, in accordance with the procedures set out in the Annex I Paragraph 2.4.2 and Annex V of the above Commission Decision, in order to implement the priority actions defined in the Programme decision. **Conferences organised by the Presidency of the European Union fall outside the scope of the present call.**

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

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<sup>1</sup> 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 within 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 through an application for a conference as single beneficiary.

The proposals selected will qualify for Union financial assistance (grant for a conference) on the basis of the shared cost principle<sup>2</sup>.

## **II. AREAS FOR FUNDING**

Are eligible for funding 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 in point 3 Priorities for 2011 and which have a wide European dimension.

For administrative reasons, all conferences eligible for co-funding must take place in 2012.

Applicants should ensure that the conferences build on and contribute to the dissemination of the results of other actions, in particular projects, of the current (second) Health Programme and, where appropriate, of the previous Public Health Programme or other relevant Union funding programmes. Details of previous funded conferences are available through the Executive Agency for Health and Consumers webpage <http://ec.europa.eu/eahc>, more specifically in the project database: <http://ec.europa.eu/eahc/projects/database.html>.

## **III. SELECTION AND AWARD CRITERIA (GRANTS FOR CONFERENCES)**

Proposals for conferences will be evaluated by an evaluation committee set up according to Article 116 of the Financial Regulation<sup>3</sup> and Article 178 of the Implementing Rules<sup>4</sup>, assisted by experts.

### **Eligibility of applicants and evaluation criteria (exclusion, selection and award criteria)**

Applicants must meet the evaluation criteria set out in Annex V of the 2011 Work Plan Decision: “Criteria for financial contributions for Conferences under the second Community programme in the field of health (2008–13)” in sections 1 (exclusion and eligibility criteria), 2 (selection criteria) and 3 (award criteria). The awarding authority

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<sup>2</sup> [art. 109 of the Financial Regulation and art. 165a of the implementing rules]

<sup>3</sup> [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).

<sup>4</sup> [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 \(OJ L 111 28.4.2007\)](#)

reserves the right to reject proposals that do not meet these criteria nor follow the procedures.

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 50. The applications will be ranked in order of the score.

<b>Content of the proposal</b> <b>60/100</b> (threshold: 30)	<b>Proposed weighting</b>	<b>Management Quality</b> <b>40/100</b> (threshold: 20)	<b>Proposed weighting</b>
(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 from the Commission COM (2010) 2020 of 3 March 2010 on <i>Europe 2020 A strategy for smart, sustainable and inclusive growth</i> <sup>5</sup>	15	(a) Planning of the event <ul style="list-style-type: none"> <li>▪ The applicant must describe the methodology, tools, timetable and milestones, deliverables, nature and distribution of tasks, risk analysis and financial circuits.</li> </ul>	15
(b) Participation <ul style="list-style-type: none"> <li>▪ The applicant should 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.</li> </ul>	15	(b) Organisational capacity <ul style="list-style-type: none"> <li>▪ The applicant must describe the management structure, competency of staff, responsibilities, decision making, monitoring and supervision</li> </ul>	10
(c) European dimension <ul style="list-style-type: none"> <li>▪ The conference should have a wide-European Union dimension, with participations of representations from 10 or more countries participating in the Health Programme;</li> </ul>	15	(c) Overall and detailed budget <ul style="list-style-type: none"> <li>▪ The applicant must ensure that the budget is relevant, appropriate, balanced and consistent in itself and with the objective of the conference.</li> </ul>	15
(d) Follow-up and evaluation methodology The applicants have to describe their dissemination strategy. <ul style="list-style-type: none"> <li>▪ An adequate evaluation should be foreseen based on an evaluation plan with corresponding design, method, responsibilities and timing making use of indicators</li> </ul>	15		
<b>Total of points</b>	<b>60</b>		<b>40</b>

#### IV. FINANCIAL PROVISIONS

The Financial Regulation<sup>3</sup> 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 rules<sup>4</sup> constitute the reference documents for all the financial measures needed to implement the second Health Programme.

<sup>5</sup> COM (2010) 2020 of 3 March 2010 on *Europe 2020 A strategy for smart, sustainable and inclusive growth*: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CELEX:52010DC2020:EN:NOT>

Following the evaluation, conference 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. The remaining proposals recommended for co-funding will be placed on a reserve list.

For conferences 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.

Selected conferences are eligible for financing by the Union up to EUR 100 000 per conference (maximum 50% of the total budget), and are financed under the shared cost principle.

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 the total cost of the conference without diluting either the objectives or the content.

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. Of this amount, €600 000 are reserved for the call for proposals for conferences.

## **V. PROCEDURES**

**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.**

### **V.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
<b>PROPOSAL</b>		
Application form for Conferences	The application form, to be downloaded from the website: <a href="http://ec.europa.eu/eahc">http://ec.europa.eu/eahc</a> , provides information on administrative aspects of the applicant as well as technical and financial information of the conference.	1 signed original + 4 photocopies + electronic version saved on CD-ROM
<b>Declaration of honour</b>	<p><b>Declaration of honour</b> stating that the applicant are not in any of the situations listed in Articles 93 and 94 of the Financial Regulation. This declaration of honour will be automatically created by the form based on the entered data. These need to be printed and signed by the applicant..</p> <p><b>Signing the form occurs through signing the Declarations of Honour.</b></p>	<p>Signed original to be included with the application package.</p> <p><b>Declarations of honour sent separately will not be accepted. Only original declarations of honour will be accepted.</b></p>
Conference programme	Draft version is accepted	5 copies

<b>SUPPORTING DOCUMENTS</b>		
The organisation's status/articles of association	<b>These supporting documents are not required from public bodies.</b>	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 8.2 of the application form		1 copy, signed by the legal representative of the applicant organization

OBLIGATORY CHECKLIST TO BE FILLED BY THE APPLICANT AS PART OF THE APPLICATION FORM		
Checklist	This 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 to ensure the application is complete according to the requirements specified in this chapter. Incomplete application packages will be automatically excluded.**

## V.2 Additional documentation

At any moment during the selection phase the awarding authority may request additional documentation from the organisation such as, for instance, a letter of commitment from an external sponsor. Such documentation must be delivered by the applicant, **within the deadline specified in the request**, by e-mail at: [EAHC-PHP-CALLS@ec.europa.eu](mailto:EAHC-PHP-CALLS@ec.europa.eu) and by fax at: +352 4301 30359.

## V.3 Deadline

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

## V.4 Submission

### Application file 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”  
 CONFERENCES**

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”  
CONFERENCES**

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”  
CONFERENCES**

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 V4.1 and V4.3.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 for 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](mailto: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.

## V.5 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** by e-mail to: [EAHC-PHP-CALLS@ec.europa.eu](mailto: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. Additional documents not listed in paragraph V will not be taken into account in the evaluation procedure (e.g. scientific publications, letters of recommendation, reports etc).

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.

## VI. 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](http://ec.europa.eu/eahc/about/data_protection.html)

## **Section 3**

### **Guide for Applicants**





Call for Proposals 2011

# Conferences

## GUIDE FOR APPLICANTS



Directorate-General for  
Health & Consumers



Executive  
Agency for  
Health and  
Consumers

## TABLE OF CONTENTS

1.	LEGAL FRAMEWORK AND PARTICIPANTS .....	1
1.1.	Objectives of the second Health Programme and 2011 work plan .....	1
1.2.	EU contribution .....	1
1.3.	Eligible participants.....	1
1.4.	Timing and duration .....	2
1.5.	Responsibility of the beneficiary.....	2
1.5.1.	Subcontracting .....	3
2.	SELECTION AND EVALUATION OF THE PROPOSAL .....	3
2.1.	General Principles .....	3
2.2.	Exclusion, eligibility and selection criteria .....	4
2.3.	Award criteria.....	4
2.4.	Steps following the selection and evaluation procedure .....	7
2.4.1.	Process following recommendation for funding .....	7
2.4.2.	Financial viability .....	8
3.	IT ASPECTS RELATED TO THE APPLICATION FORM .....	8
3.1.	Installing and updating Acrobat Reader .....	8
3.2.	Required Configuration to install Adobe Reader 8.1.3. ....	8
3.2.1.	Windows Operating Systems .....	8
3.2.2.	Macintosh Operating Systems .....	9
3.3.	Fields of the application form.....	9
3.4.	Saving the application form.....	9
3.5.	Validating and locking the application form.....	10
4.	PROTECTION OF PERSONAL DATA .....	10
5.	SUBMITTING THE APPLICATION FORM .....	10
5.1.	What is required to submit the proposal?.....	10
5.1.1.	Packaging and delivery and content.....	10
5.1.2.	Signing the form .....	11
5.1.3.	Submission deadline .....	11
5.1.4.	Acknowledgement of receipt.....	11
5.2.	Additional recommendations.....	12
6.	GENERAL ADVICE BEFORE STARTING .....	13
6.1.	Documents to be consulted when preparing a proposal .....	13

6.2.	Languages.....	13
6.3.	Other issues .....	13
6.4.	Questions .....	14
7.	FORM CONTENT - STRUCTURE .....	14
8.	FORM SECTION "1 - CONFERENCE HOLDER INFORMATION" .....	15
9.	FORM SECTION "2 - SPECIFICATION OF THE CONFERENCE" .....	16
10.	FORM SECTION "3 - TECHNICAL SPECIFICATION OF THE CONFERENCE" .....	17
11.	FORM SECTION "4 - MANAGEMENT OF THE CONFERENCE" .....	18
12.	FORM SECTION "5 - COMMUNICATION, INFORMATION AND EVALUATION" .....	21
13.	FORM SECTION "6 - HUMAN RESOURCES" .....	22
14.	FORM SECTION "7 - FINANCIAL MANAGEMENT" .....	23
14.1.	Expenditures/eligible costs (7.1) .....	23
14.1.1.	Staff (E.1) .....	23
14.1.2.	Travel costs and subsistence allowances (E.2).....	24
14.1.3.	Equipment (E.3) .....	26
14.1.4.	Consumables & supplies costs linked to the conference (E.4).....	27
14.1.5.	Subcontracting (E.5).....	27
14.1.6.	Other costs (E.6) .....	28
14.1.7.	Overheads (E.7).....	28
14.1.8.	Total eligible costs.....	29
14.2.	Incomes (7.2).....	29
14.2.1.	Commission funding (I.1) .....	29
14.2.2.	Applicant's financial contribution (I.2).....	29
14.2.3.	Income generated by the conference (I.3) .....	29
14.2.4.	Other external resources (I.4).....	30
14.2.5.	Controls to be carried out .....	30
14.3.	Definition of expenditures/eligible costs.....	30
14.4.	Definition of non-eligible costs .....	31
15.	FORM SECTION "8 - FINANCIAL VIABILITY INFORMATION" .....	33
15.1.	Accountancy information (8.1) .....	33
15.2.	Balance sheet of the two last accounting years (8.2) and Profit & Loss account (8.3).....	34
15.2.1.	Exceptions to the encoding of 8.2 and 8.3.....	36

15.2.2. Controls to be carried out (8.2 and 8.3).....	36
15.3. Correspondence between balance sheet/profit and loss account and the 4th accounting Directive .....	37
15.4. Indicative exchange rates as of January 2011 .....	42
16. SUPPORTING DOCUMENTS.....	43
17. OVERVIEW .....	43
18. VALIDATION PAGE.....	43
19. DECLARATION OF HONOUR .....	44
20. MANDATORY CHECKLIST .....	45

## PREFACE

Dear Applicant,

Welcome to the guide for submitting conference proposals 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 conferences document.

The guide consists of two chapters:

- Chapter 1: General information
  - Describes the legal terms and general conditions for participating in the Health Programme, in particular through the Call for proposals for conferences;
  - Explains the Health Programme's evaluation and selection process that conference proposals are subject to;
  - Lists the documents needed to prepare a conference proposal and gives recommendations to organise your work;
  - Describes informatics aspects, such as software requirements and configuration of settings;
  - Presents the structure of the conference application form;
  - Describes the procedure how to submit the conference proposal;

- Chapter 2: Practical Information

Provides a step-by-step description of how to fill in the application form for conference 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](mailto: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 is 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 parts/chapters 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 Communities<sup>1</sup>, amended by Council Regulation (EC, Euratom) No 1995/2006 of 13 December 2006<sup>2</sup> and Council Regulation (EC, Euratom) No 1525/2007 of 17 December 2007<sup>3</sup>, 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 2005<sup>4</sup>, by Commission Regulation (EC, Euratom) No 1248/2006 of 7 August 2006<sup>4</sup> and by Commission Regulation (EC, Euratom) No 478/2007 of 23 April 2007<sup>5</sup>, 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)<sup>5</sup>;
- Commission Decision published on 3 March 2011 (OJ C 69/2011 pp. 01) on the 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 grant, hereafter referred to in this document as the Work plan 2011;
- 2011 Call for conference proposals – Second Programme of Community action in the field of Health (2008- 2013), hereafter referred to in this document as Call for proposals for conferences;

Action Grant agreement template, hereafter referred to in this document as the grant agreement.

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<sup>1</sup> OJ L 248, 16.9.2002, p. 1

<sup>2</sup> OJ L 390, 30.12.2006, p. 1

<sup>3</sup> OJ L 343, 27.12.2007, p. 9

<sup>4</sup> OJ L 201, 2.8.2005, p. 3

<sup>4</sup> OJ L 227, 19.8. 2006, p. 3

<sup>5</sup> OJ L 301, 20.11.2007, p. 13

<sup>5</sup> OJ L 111, 28.4.2007, p. 13

## **CHAPTER 1: GENERAL INFORMATION**

### **1. LEGAL FRAMEWORK AND PARTICIPANTS**

#### **1.1. Objectives of the second 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**

For conferences, the financial contribution of this programme can be **up to EUR 100 000 (maximum 50% of the total budget)** per conference. Conferences are financed under the shared cost principle. 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.

Note that the total available amount for EU funding of conferences under the 2011 call for proposals is €600 000.

This is a relative small amount that will allow for the co-funding of only a limited number of conferences. Consequently, before investing time and energy in the preparation of a request for funding for a conference, we advise you to carefully examine the efficiency, expected results and potential impact of this type of action with regard to the objectives you wish to achieve.

#### **1.3. Eligible participants**

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.

**Public bodies or non-profit-making bodies** established in the countries participating in the Health Programme and which have relevant experience in co-operation at EU level can submit conference proposals.

In order to be eligible, the **non-profit-making bodies** (including universities, higher education establishments, research institutions, non-governmental organisations, foundations and other organisations) shall submit their statutes/official registration certificate that provides a justification for their non-profit making status.

**Important note:** unlike with the call for proposals for projects, the call for conferences is open for applications by a single organisation only. Consequently, the notion of main partner and associated partners is not applicable here.

#### **1.4. Timing and duration**

**As indicated in the WP 2011 (see chapter 2.4), conferences eligible for co-funding must be held in 2012.** The evaluation of the conference proposals is planned in such a way as to allow for a timely information of the successful and non-successful applicants, once the official decisions will have been taken.

The duration of the action, including preparation, organisation and follow-up of the conference should not exceed **12 months**.

#### **1.5. Responsibility of the beneficiary**

When - following a positive evaluation of the conference proposal - a decision for funding is taken, a grant agreement can be signed between the Awarding authority 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.

Except for the number of beneficiaries, the grant agreement for a conference grant is identical to the model used for a project grant.

- 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 action.
- The beneficiary has full responsibility to ensure that the conference is implemented according to the grant agreement. He is responsible for the technical and financial management of the conference; he is also responsible for the administrative management of the conference by providing the awarding authority with all required documents and information, particularly in relation to payment requests (i.e. original accounting documents, signed copies of sub-contracts etc.);
- The beneficiary shall inform the awarding authority of transfers between items of eligible costs, as indicated in Article I.4.4 of the grant agreement;
- Any claims the Awarding authority 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.

### 1.5.1. Subcontracting

- The beneficiary is expected to have the resources necessary to carry out the work proposed. Nevertheless, in certain circumstances, subcontracting of some aspects of the work especially organizational and logistic aspects of a conference 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 conference;
- Subcontractors have no access or rights to the results of the conference.

## 2. SELECTION AND EVALUATION OF THE PROPOSAL

### 2.1. General Principles

Evaluation of proposals is carried out in **strictest confidence**. Evaluation criteria apply in accordance with Articles 174 and 176 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.

Proposals must comply with the following principles:

- Co-financing rule: you need to have **your own financial resources** or financial resources of third parties to contribute to the costs of the conference
- Non-profit rule: the grant **may not have the purpose or effect of producing a profit** for you;
- Non-retroactivity rule: you **shouldn't start spending on the conference before the starting date** stipulated in the grant agreement;
- Non-cumulative rule: each action (e.g. organization of a conference) may give rise to the award of **only one grant** to any one beneficiary (you can't get paid twice for the same cost);

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. Exclusion, eligibility and selection criteria**

The exclusion, eligibility and selection criteria for conference proposals are specified in Annex V of the work plan 2011. Conference proposals failing to meet any of these criteria will be excluded and not submitted to the evaluation of the award criteria.

## **2.3. Award criteria**

Only conference proposals which have satisfied the requirements of the eligibility, exclusion and the selection criteria will be eligible for further review by external experts and the Evaluation Committee on the basis of the following award criteria. The content of the text boxes below is meant as orientation and has a purely informative role.

### **A. Content of the proposal (60 points; threshold 30 points)**

(1) 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 from the Commission COM (2010) 2020 of 3 March 2010 on *Europe 2020 A strategy for smart, sustainable and inclusive growth*<sup>6</sup>(15 points)

The proposal must be compatible with the Health Programme and its annual work plan. The conference must clearly deal either partially or in totality with one or several priority topics of the 2011 work plan. It should also take into account the

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<sup>6</sup> <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CELEX:52010DC2020:EN:NOT>

priorities set out on the Communication from the Commission: “*Europe 2020 A strategy for smart, sustainable and inclusive growth*”

## (2) Participation (15 points)

- The applicant should describe the number, profile and competence/function of the expected participants in the event, making reference to distribution by Member state, organisation and type of expertise.

The objective of a conference is to bring added value to the existing public health knowledge and to EU policies formulated or in the process of being so, allowing the practical use of that knowledge on the field. Therefore the composition of the target public who will attend the conference forms the corner stone of the added value.

## (3) European dimension (15 points):

- The conference should have a wide-European Union dimension, with participants of representations from 10 or more countries participating in the second Health programme.

As public health practices and policies differ considerably between EU Member States, conferences funded within the EU second Health Programme should take account of this geographical, cultural and social diversity. A sufficient number of organisations from different EU Member States and candidate countries should be involved in the conference depending on the scope, objectives and target group of the conference.

## (4) Follow-up and evaluation methodology (15 points):

- The conference holder must describe the actions on follow-up and the indicators to be used to verify the achievement of the objectives proposed.

As the objective of a conference is to add value to the public health knowledge, in most of the cases it will be very important to disseminate properly the results of the conference to a broader public than the conference participants. The applicants have to describe their dissemination strategy.

The indicators are important in order to monitor a conference. This relates to the internal evaluation of the conference, i.e., the evaluation carried out by the conference holder himself. An adequate evaluation should be foreseen based on an evaluation plan with corresponding design, method, responsibilities and timing making use of indicators.

## **B. Management Quality (40 points; threshold 20 points)**

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

- Applicant must describe the methodology, tools, timetable and milestones, deliverables, nature and distribution of tasks, risk analysis, financial circuits.

To achieve its objectives, a conference foresees a number of activities. These actions need to be described to serve as a guideline for the conference organisation.

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 conference organisation. The time to complete the tasks of the conference organisation must be realistic, taking into account the available resources (person/days) and capacities.

A deliverable is a physical output related to a specific objective of the conference, e.g. report, publication, newsletter. Each deliverable must be assessable by the stakeholders and awarding authority. All public (non-confidential) deliverables need to be submitted to the awarding authority within one month of their completion in order to publish them on the awarding authority's web-site.

The nature and distribution of tasks have to be described.

Even in the best-planned events there are uncertainties, and unexpected events can occur. A risk analysis at the start of the conference organisation will help to predict the risks that could prevent the conference 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 conference, and what can be done about it.

(2) Organisational capacity (10 points):

- Applicants must describe the management structure, competency of staff, responsibilities, decision making, monitoring and supervision.

The conference holder must have the necessary skills, expertise and authority to lead a team and to achieve the conference proposal objectives. He or she should also be capable of using the resources in a flexible way. There should be a clear division of responsibilities and tasks between the conference leader and other staff involved.

A very short description of the key staff members has to be presented, illustrating their competence, expertise, leadership quality and authority required by the conference organisational tasks. This summary CV will illustrate the good reputation, experience, specific knowledge and skills (job history, functional areas of work and competence, scientific papers ...) of the staff.

The management of a public health conference implies the coordination of several participants located in different countries. It is thus important to have a good communication plan in place, which details how information will be circulated between the participants, how decisions will be taken, by whom, and what the procedure will be in case of conflict

The management of an action requires the systematic monitoring of the activities to check whether they are implemented according to plan, whether results and deliverables are attained at the milestones, if there are obstacles or difficulties which may prevent the conference from delivering, and to assure the overall quality of the conference implementation. Coordination meetings may be planned for.

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

- Applicants must ensure that budget is relevant, appropriate, balanced and consistent in itself with the specific objectives proposed

The overall budget should be balanced and respecting the rules stated in the handbook. The overall budget should be coherent with the objectives of the conference, taking into account the respective roles and providing for the necessary coordination meetings to be held. If such meeting includes other participants than the conference holder staff and/or the presence of staff of the awarding authority is warranted, it shall take place at the awarding authority's premises in Luxembourg.

The budget assigned to each objective and the costs per expenses category should be reasonable. It should be possible to link all expenses to a specific activity described in the proposal. .

Maximum total score is 100, while the minimum is 50. Weightings of each block of criteria as a total are the following:

	<b>Maximum</b>	<b>Minimum</b>
<b>Content of the proposal</b>	<b>60</b>	<b>30</b>
<b>Management quality</b>	<b>40</b>	<b>20</b>
<b>SUM</b>	<b>100</b>	<b>50</b>

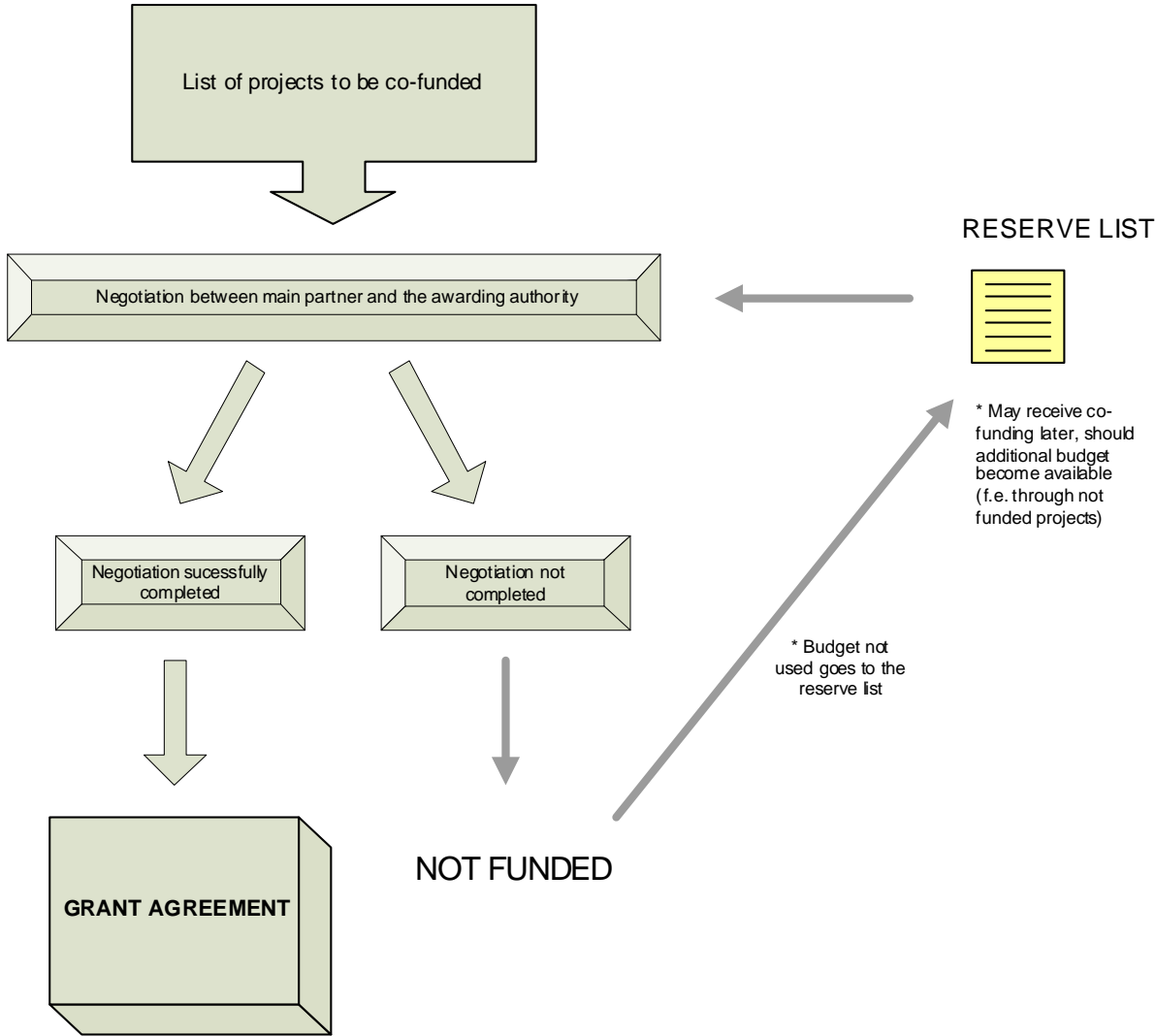
Following the evaluation, proposals recommended for funding are drawn up in a list, ranked according to the total marks awarded. Depending on budget availability, the highest ranked proposals will be awarded for co-funding. The remaining proposals recommended for co-funding will be placed on a reserve list. Any proposals failing to meet the overall threshold or the threshold in one criteria block will be rejected.

**2.4. Steps following the selection and evaluation procedure**

*2.4.1. Process following recommendation for funding*

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

Graph 2: Process following recommendation for funding



Applicants of co-funded proposals will be invited to undertake discussions with the awarding authority for negotiation. The awarding authority may suggest modifications to the original proposal based on the results of the evaluation. However, co-funding is still subject to a successful outcome of negotiations.

Applicants should also note that the awarding authority may offer successful applicants a lower contribution than the amount requested, or may attach specific conditions to the award of financing. Only after a successful completion of the negotiation procedure, will the awarding authority offer grant agreements for work to begin.

### 2.4.2. *Financial viability*

During the negotiation procedure, further administrative and financial information might be requested by the awarding authority to assess the viability of the proposed conference. The participants have to demonstrate that they have all the human, financial and technical resources required for the organisation of the event.

As a general rule, public sector bodies are considered to be financially viable. In all other cases (e.g. private companies, associations and non-governmental or non-profit bodies), participants should demonstrate their capacity to co-finance their share of the conference.

The awarding authority will assess the financial viability of the beneficiary and may seek to safeguard the interest of the European Union by asking for a **bank guarantee** or other suitable measures.

## 3. IT ASPECTS RELATED TO THE APPLICATION FORM

The application form is only available as an Adobe file, and 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

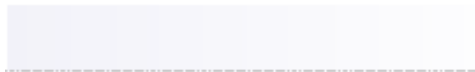
### 3.3. Fields of the application form

The general characteristics of the fields are shown below:

#### a) Fields to be completed



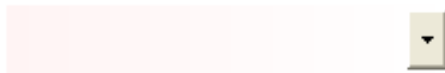
Mandatory zones in red with an asterisk



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 reference 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](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 V. of the Call for proposals for conferences 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 conferences 2011:

European Commission  
**CALL FOR PROPOSALS “HEALTH-2011”**  
**CONFERENCES**  
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 conferences: 27 May 2011. Proposals can be submitted in any way described in paragraph V of the Call for proposals for conferences.

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 awarding authority, 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 awarding authority Helpdesk via [EAHC - PHP - CALLS@EC.EUROPA.EU](mailto:EAHC-PHP-CALLS@EC.EUROPA.EU).**

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

The awarding authority 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 31 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.

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 to be carried out and the way they are dealt with according to relevant national and European rules<sup>7</sup> 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 conference.

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.

Results: Good proposals clearly show the results that will be achieved, and how the participants intend 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 of 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

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<sup>7</sup> 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>

## 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 conferences;
- 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, conference proposals 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, 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

Filling in this form can take some time. Please make sure that you have allocated a sufficient number of hours to carry out this work and avoid interruptions. Please save all your work at regular intervals.

In the application form, all the fields followed by a star (\*) 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 under 15.4.

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 5.1 above

you can turn to the Helpdesk by:

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

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

#### **7. FORM CONTENT - STRUCTURE**

The application form, to be downloaded from the website <http://ec.europa.eu/eahc/>, provides information on administrative aspects of the beneficiary as well as technical and financial information of the event. The main sections are listed below:

- 1 – Organizational information
- 2 – Specification of the conference
- 3- Technical specification of the conference
- 4 – Management of the Conference
- 5 – Communication, information and evaluation

- 6 – Human resources
- 7 – Financial overview/budget
- 8 – Financial viability information
- Supporting documents to be attached
- Overview
- Declaration of honour
- Checklist

## 8. FORM SECTION "1 - CONFERENCE HOLDER 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 Organization 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 there is no existing acronym, please create one).	M	20
	<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 code</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>	NM	number
1.2.	<u>Street Name &amp; No</u> : official location of the organisation.	M	186

Address conference holder	<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> : please type the URL of the organization's web-site.	NM	100
1.3 Contact person for the conference holder	This person effectively manages the preparation, implementation and follow-up of the conference		
	<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	This person is a legal representative of the organisation and is empowered to sign grant agreements.  The subfields are identical to those in 2.3	M	

## 9. FORM SECTION "2 - SPECIFICATION OF THE CONFERENCE"

All fields in the following section are mandatory.

<i>Field</i>	<i>Comment</i>	<i>Maximum number of characters</i>
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2.1. Key specification	<u>Conference title</u>	130
	<u>Acronym of the conference title:</u> please provide a short acronym of no more than 30 characters, to be used to identify your proposal. The same acronym will automatically appear on the bottom of each page of the proposal in order to prevent errors during handling.	30
	<u>Conference date foreseen:</u> Refer to chapter 2.4.2 of the 2011 work plan where it is specified that: "For administrative reasons, all conferences eligible for co-funding, apart from Presidency conferences, must be held in 2012." Note that the application form has the year "2012" pre-filled. You only need to indicate the month and the day(s). The first ("from") and the last date ("to") should be entered. Two digits are foreseen for the day (DD) as well as for the month (MM).	Drop down list for month and days
	<u>Priority area and Action:</u> First select the main priority area: Improve citizen's health security (HS-2011), Promote Health (HP-2011) or Generate and disseminate health information and knowledge (HI-2011). Then select one action your proposal refers to. Afterwards click on the sub-action to which or conference relates to. Please note that your proposal must clearly relate to this sub-action.  Please refer also to the Health Programme and to chapter 3, "Priorities for 2011", of the Work plan 2011. Note that you cannot select an action if you have not already selected a priority area. Likewise, you cannot select a sub-priority area if you have not selected an action.	Drop-down list followed by a click on the relevant button
2.2 Summary	Please provide a short summary of your conference proposal. It should address the following: purpose and objectives of the conference, contribution to the second health programme, target participants, impact and expected outcomes.	4000

## 10. FORM SECTION "3 - TECHNICAL SPECIFICATION OF THE CONFERENCE"

### All the elements in this section are mandatory.

<i>Field</i>	<i>Comment</i>	<i>Maximum number of characters</i>
3.1 Purpose of the conference	Describe the purpose i.e. the anticipated result the conference shall have. This should include the scientific background to the conference.	2200
3.2	Describe the general / strategic objectives of the conference. The general objective gives an indication of the conference's link to	2200

Objectives of the conference	one or more areas of the health programme and/or 2011 annual work programme. The general objective should be correlated with the expected outcomes.	
3.3 Coherence of the conference with the work plan 2011	Describe how the conference contributes to one or more area in the work plan 2011 and/or the second Health Programme in general. Synergies with other ongoing activities in the field (e.g. projects co-funded under the health or other EU programmes) and structures (e.g. technical committees of the health programme) should be described.	2200
3.4 Innovative ideas of the conference	The conference should provide an added value and not duplicate existing events. Innovation can be achieved with regards to topics covered, the participants, the working methods of the conference etc.	2200
3.5 Impact and expected outcomes of the conference	Please describe the expected outcomes and the impact from the conference. Conference outcomes are the changes that are expected to occur as a result of the event, assuming that the objectives are reached.  They should match the problem determinants the conference is trying to focus on and should be written at a level which allows them to be evaluated at the conclusion of the conference. They should also be specific, measurable, acceptable for the target group, realistic, and time-bound (containing an indication of the time within which the specific outcome must be reached).	2200
3.6 Deliverables	The outcome previously described is distinguished from a specific type of output, the deliverables. A deliverable is a physical output related to the conference e.g. a report, publication, newsletter, website, declaration etc. Each deliverable must be assessable by the stakeholders and by the awarding authority. All public deliverables need to be submitted to the awarding authority within one month of their completion in order to publish them on the awarding authority's web-site.  As stipulated in the model grant agreement, one final report is mandatory as a deliverable.  The minimum number of deliverables is 1 (the final report) and the maximum number is 10.	
	<i>Title of the deliverable</i>	250
	<i>Ways to disseminate</i>	250

## 11. FORM SECTION "4 - MANAGEMENT OF THE CONFERENCE"

**All the elements in this section are mandatory.**

<i>Field</i>	<i>Comment</i>	<i>Maximum</i>
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		<i>number of characters</i>
4.1 Organisation and planning of the conference	The organisation of a conference involves a number of activities. Please describe here these activities and also the methodology and specific tools to be used, the nature of the different tasks to be carried out, with a clear link between the activities and the expected outcome and impact of the conference. This should include, but is not limited to methods of prioritization of the topics covered, abstract selection, including quality criteria, selection of participants and speakers and financial circuits.	2200
4.2 Profile of the conference holder	<p><u>Profile:</u></p> <p>Describe the conference holder organisation, its competences, experiences, leadership and authority in the chosen field and more particularly the key staff members and their responsibilities.</p> <p>With this description the capacity of the conference holder to organise the conference in such a way as to reach its' objectives has to be demonstrated. The leadership and authority refers both to the organisational and personal aspects of leadership. On the organisational level, there should be a clear division of responsibilities and tasks between the conference leader and other staff involved. The management structure and decision making as well as monitoring processes need to be described. On the personal level, the conference leader must have the necessary skills, expertise and authority to lead a team and to achieve the conference objectives. He or she should also be capable of using the resources in a flexible way.</p> <p>This includes a very short description of the key staff members' competence, expertise, leadership quality and authority required by the conference activities. The description will illustrate the good reputation, experience, specific knowledge and skills (job history, functional areas of work and competence, scientific papers, conferences achievement...) of the staff.</p>	1100
4.3 Steering committee	List the members of the steering committee and their respective tasks. Briefly motivate the choice of the members.	
	<i>Name:</i> enter the name of the committee member	250
	<i>Institution:</i> enter the name of the institution the committee member represents	250
	<i>Country:</i> enter the name of the country the committee member represents	50
	<i>Task:</i> enter a brief description of the task of this committee member	250

4.4 Scientific committee	List the members of the scientific committee and their respective tasks. Briefly motivate the choice of the members.	
	<i>Name:</i> enter the name of the committee member	250
	<i>Institution:</i> enter the name of the institution the committee member represents	250
	<i>Country:</i> enter the name of the country the committee member represents	50
	<i>Task:</i> enter a brief description of the task of this committee member	250
4.5 Conference programme	Describe briefly the (draft) conference programme. This should include the type of sessions (plenary, workshop, round table, satellite, poster, oral communication etc.), the session topics, (provisional) titles and the invited speakers (if known). A copy of the (draft) programme should be attached to the proposal.  The conference programme should take into account the political priorities of the EC as well as allow space for speakers from the EC and for related actions co-financed under the second Health Programme.	2200
4.6 Target participants	Please describe, giving a brief explanation, which type of stakeholders the conference addresses. Make also reference to the European coverage, but mentioning possible non-European participation as well as other aspects of participation e.g. the availability of scholarships.	2200
4.7 Participants expected	Please indicate the approximate number of expected participants and make a brief description of who they should be (from which (type of) organization), where they should be coming from (from which EU Member State or other country).	2200
4.8 Risk analysis and contingency planning	Even in the best-planned events there are uncertainties, and unexpected events can occur. A risk analysis at the start of the organisation of the conference will help to predict the risks that could prevent the event 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 action, and what can be done about it.	2200
4.9 Time plan	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 event.  As the action should not exceed <b>12 months</b> , the maximum duration is 12 months. Fill in the table in the form dividing your	250 per phase

	<p>planned activities in the three time sections given: preparation phase, conference phase and post-conference phase. Repeated activities (e.g. meetings of the steering committee) need to be entered in each month they are being carried-out.</p> <p>You can add and delete rows by using the (+) and (-) buttons. The months will be automatically chronologically ordered i.e. M1, M2, M3 etc until M12.</p>	
4.10 Sponsorship	Describe the types of public and private organizations which will be approached to sponsor the conference and how, foreseen uses of logos, sponsorship hierarchy etc.	2200

## 12. FORM SECTION "5 - COMMUNICATION, INFORMATION AND EVALUATION"

### **All the elements in this section are mandatory**

The comments outlined hereafter should be understood as indicative orientation but not as prescription.

<i>Field</i>	<i>Comment</i>	<i>Maximum number of characters</i>
5.1 Marketing and communication to the targeted participants	Please describe the promotional activities to be carried out. This should include European as well as worldwide activities. This relates to dissemination aspects and preparatory works taking place <u>before</u> the event. Make reference to how the EU co-funding will be made visible and the second Health Programme promoted.	2200
5.2. Dissemination of the conference deliverables	<p>As the objective of a conference is to add value to the Public Health knowledge, in most of the cases it will be very important to disseminate properly the results of the conference to a broader public than the conference participants. The applicants have to describe their dissemination strategy.</p> <p>With reference to the deliverables listed in table 3.6, a dissemination plan should be elaborated, explaining how the conference holder 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/means), and when (before, during, after the conference).</p> <p>All dissemination activities should highlight the EU co-funding and contribute to the overall promotion of the second Health Programme.</p>	2200
5.3 Post-conference	Describe the evaluation methodology with the indicators on which it is based on.	2200

follow-up and evaluation	An adequate evaluation methodology involves the formulation of specific <i>evaluation questions</i> . For process evaluation, the evaluation questions should be linked to the planning and organisation and focus on whether the activities are implemented according to plan, how obstacles and difficulties will be identified during the implementation and dealt with, and how the quality of the implementation will be assured. For effect (outcome) evaluation, the evaluation questions should be linked to the objectives, and verify if the stated objectives have been achieved. For each evaluation question, indicators must be defined. Indicators are variables which measure the performance and the level to which the set objectives are reached. Ideally, they should be simple metrics that are easy to measure. By quantifying relevant aspects (e.g. attendance) they should provide for a possibility to assess the extent to which the objectives are attained.	
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### 13. FORM SECTION "6 - HUMAN RESOURCES"

	<p><u>Function:</u> You can specify five different functions concerned by the organisation of the conference such as: Conference Manager, Conference Assistant, Conference Secretary, IT support, etc.</p> <p><u>Number of persons per function:</u> refers to the number of person working for the conference, by function</p> <p><u>Number of days per function:</u> refers to the number of days needed for the conference (sum by function)</p> <p><u>Daily rate per function:</u> this daily rate 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 beneficiary's usual policy on remuneration.</p> <p>For example, if the conference requires two persons of a given function (number of persons = 2) during one month (20 open days), the number of days to be filled in for this function is 40.</p> <p><u>Total per function:</u> refers to the total cost per function. This total appears automatically (total of column B x column C).</p> <p><u>Comments:</u> You may wish to comment shortly on the information provided in this table (per function). Note that the overall total is automatically reported to section 7.1 to the field E.1 "staff".</p>	100
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## 14. FORM SECTION "7 - FINANCIAL MANAGEMENT"

### **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 of agreement, which is attached to this document and the Frequently Asked Questions (FAQ), which 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.

#### **14.1. Expenditures/eligible costs (7.1)**

This section summarizes the expenditure of your conference. Items E.1. to E.7. are to be filled in.

##### *14.1.1. Staff (E.1)*

- ⇒ The cost of staff means the proportion of costs incurred by the organisation in direct relationship to the time spent by its staff working for the conference, provided that they can be identified and justified by its accounting system.
- ⇒ Staff assigned to the project is understood to mean permanent or temporary staff employed by the beneficiary. The cost of such staff must be 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.
- ⇒ Costs for experts (external to the applicant's organisation), who work on the conference and are fully paid by the applicant on the basis of an invoice shall be considered as a subcontracting cost and not as a staff cost. These costs should be taken into account under "E5. Subcontracting".

⇒ The daily rates for staff can be calculated as follows:

**Daily rates = Yearly staff costs / Productive Days**

**Yearly staff costs** = Real gross pay of the employee (\*)  
(+) PLUS any other verifiable cost of social allowance granted by the employer.

(\*) *including the social security costs and the pension charge paid by the employer.*

**Productive Days** = Total days per year: 365 days  
(-) MINUS total number of weekend days over the year: 52x2=104 days;  
(-) MINUS total number of holidays allowed in the organisation (A);  
(-) MINUS total number of public holidays in the year (B);  
(-) MINUS days spent dealing with non productive tasks such as training (C);  
(-) MINUS days corresponding to a usual absenteeism rate in the organisation (D)  
= 365 – 104 – (A) – (B) – (C) – (D).

⇒ In principle the maximum numbers of productive days cannot exceed 220 days per year and per staff.

⇒ Where national legislation does not permit salary slips to be released to third parties for security or other reasons, the applicant may be asked to submit a table showing the 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 at the time of a grant agreement is concluded the applicant may be requested to provide staff cost related supporting documents in case of audit at the applicant's premises.

#### *14.1.2. Travel costs and subsistence allowances (E.2)*

⇒ Only travel costs and subsistence allowances for own staff employed by the applicant (i.e. reported under E1. Staff Cost) must be taken into account in this category.

⇒ Travel/subsistence costs for staff not employed by the applicant should be reported under:

- **E5. Subcontracting** when this staff belongs to sub-contractors (in addition of fees/remuneration which are in principle already foreseen for sub-contractors);
- **E6. Other Costs** in other cases: for collaborating partner, external invited experts.

⇒ Any recourse to missions in countries other than EU 27, applicant countries and EFTA-EEA countries while the project is under way, if not provided for in the initial grant or amendment(s), shall be subject to prior written authorisation by the awarding authority.

⇒ The internal rules of the applicant have precedence in matter of travel costs and subsistence allowances. The applicant will be requested to confirm during the negotiation phase if it intends to apply its 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 can be applied:

- 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 Regulations<sup>8</sup>):

Destination	Daily subsistence allowance	Hotel	Total
Austria	95,00	130,00	<b>225,00</b>
Belgium	92,00	140,00	<b>232,00</b>
Bulgaria	58,00	169,00	<b>227,00</b>
Cyprus	93,00	145,00	<b>238,00</b>
Czech Republic	75,00	155,00	<b>230,00</b>

Destination	Daily subsistence allowance	Hotel	Total
Latvia	66,00	145,00	<b>211,00</b>
Lithuania	68,00	115,00	<b>183,00</b>
Luxembourg	92,00	145,00	<b>237,00</b>
Malta	90,00	115,00	<b>205,00</b>
Netherlands	93,00	170,00	<b>263,00</b>

<sup>8</sup> 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

Denmark	120,00	150,00	<b>270,00</b>	Poland	72,00	145,00	<b>217,00</b>
Estonia	71,00	110,00	<b>181,00</b>	Portugal	84,00	120,00	<b>204,00</b>
Finland	104,00	140,00	<b>244,00</b>	Romania	52,00	170,00	<b>222,00</b>
France	95,00	150,00	<b>245,00</b>	Slovakia	80,00	125,00	<b>205,00</b>
Germany	93,00	115,00	<b>208,00</b>	Slovenia	70,00	110,00	<b>180,00</b>
Greece	82,00	140,00	<b>222,00</b>	Spain	87,00	125,00	<b>212,00</b>
Hungary	72,00	150,00	<b>222,00</b>	Sweden	97,00	160,00	<b>257,00</b>
Ireland	104,00	150,00	<b>254,00</b>	United Kingdom	101,00	175,00	<b>276,00</b>
Italy	95,00	135,00	<b>230,00</b>				

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.<sup>9</sup>

#### 14.1.3. Equipment (E.3)

- ⇒ The principle of depreciation is covered in the grant agreement Article II.14.2.
- ⇒ Only the portion of the equipment's depreciation corresponding to the duration of the conference and the rate of actual use for the purposes of the project (% allocation to the project) may be taken into account by the awarding authority.
- ⇒ Common software should be covered by the flat-rate in "E7. Overheads".
- ⇒ The internal rules of the applicant have precedence in matter of depreciation of equipment. The applicant will be requested to confirm during the negotiation phase if it intends to apply its existing internal rules or the EC rules.  
If such internal rules do not exist in the applicant's organisation, the following rules approved by EC can be applied:
  - Hardware expenses depreciated over 36 months (PCs, Printers, etc.);
  - Purchase of specific software depreciated 100%;
  - Specific furniture depreciated over 60 months;
  - Equipment (photocopiers, fax, etc.) depreciated over 60 months.

Some examples for conference of 10 months (M1 to M10) if EC rules apply:

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<sup>9</sup> 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

Equipment	Price of purchase	Date of purchase	Depreciation rule 36 or 60 months	Number of months of depreciation	% allocation to project	Amount of depreciation
Informatics equipment	2,000.00 €	M1	36	<b>10</b> = From M1 to M10	100%	2,000.00 € x 10/36 x 100% = <b>555.56 €</b>
Informatics Equipment	2,000.00 €	M1	36	<b>10</b> = From M1 to M10	<b>75%</b>	2,000.00 € x 10/36 x 75% = <b>416.67 €</b>
Informatics Equipment	2,000.00 €	<b>M3</b>	36	<b>8</b> = From M3 to M10	100%	2,000.00 € x 8/36 x 100% = <b>444.44 €</b>
Informatics Equipment	2,000.00 €	<b>M6</b>	36	<b>5</b> = From M6 to M10	100%	2,000.00 € x 5/36 x 100% = <b>277.78 €</b>
Informatics Equipment	<b>4,000.00 €</b>	M1	<b>60</b>	<b>10</b> = From M1 to M10	100%	4,000.00 € x 10/60 x 100% = <b>666.67 e</b>

#### 14.1.4. Consumables & supplies costs linked to the conference (E.4)

⇒ These costs should normally appear in “E7. Overheads”. Nevertheless, provided that they are identifiable as specific costs directly linked to performance of the conference and booked into the applicant's accounting system, they can appear under this category.

#### 14.1.5. Subcontracting (E.5)

- ⇒ Contracts only cover service procurement. They may be awarded only if they may cover the execution of a limited part of the total eligible costs of the conference.
- ⇒ Core elements of the conference cannot be subcontracted.
- ⇒ The technical and financial management of the conference is the legal responsibility of the applicant. These tasks cannot be transferred to a third party.
- ⇒ Recourse to the award of contracts must be justified having regard to the nature of the conference and what is necessary for its implementation.
- ⇒ The tasks concerned must be set out in Annex I and the corresponding estimated costs must be set out in the budget in Annex II of the grant agreement.
- ⇒ Any recourse to the award of contracts while the conference is under way, if not provided for in the initial grant application or amendment(s), shall be subject to prior written authorisation by the awarding authority.
- ⇒ The applicant shall retain sole responsibility for carrying out the project 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 awarding authority under the grant agreement.
- ⇒ Subcontracting shall not apply when the task concerns provision of the service which is not necessary for the conference and/or when the task can be carried out by the applicant.
- ⇒ The applicant must ensure that its agreement with the subcontractor mentions in particular that:

- The awarding authority may, at any time during the grant agreement and up to five years after the end of the project, arrange for audits to be carried out, either by outside scientific or technological reviewers or auditors, or by the awarding authority itself or OLAF;
  - The European Court of Auditors shall have the same rights as the awarding authority, notably right of access, for the purpose of checks and audits, without prejudice to its own rules.
- ⇒ In addition to the tasks subcontracted, it is recommended to provide to the awarding authority the name of the subcontractors carrying out any subcontracted tasks identified in the technical annex of the grant agreement as soon as they are known.
- ⇒ If the applicant has to conclude contracts in order to carry out a conference which falls under eligible direct costs in the estimated budget, he/she shall seek **competitive tenders** from potential contractors. The contract shall be awarded to the bid offering best value for money. In doing so he/she shall 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 subcontract (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 organisations: please note that your national procurement rules in matter of award of contracts are also applicable.

#### 14.1.6. Other costs (E.6)

- ⇒ Other exceptional additional costs not falling within any of the other categories (E1 to E5) mentioned above may be charged, provided that they are directly related to the conference, can be clearly identified and justified by the accounting rules and principles of the applicant and satisfy the criteria of direct eligible costs.

Examples of other costs: dissemination of information, specific evaluation of the conference, audits, translations, reproduction, travels costs and subsistence allowances for collaborating partners or for external invited experts.

Financial audit and financial guarantee costs have to be foreseen here when they are required by the grant agreement.

#### 14.1.7. Overheads (E.7)

- ⇒ The indirect costs incurred when preparing and holding the conference may be eligible for flat-rate funding fixed at **a maximum of 7%** of the total eligible direct costs.

- ⇒ They do not need to be supported by accounting documents.
- ⇒ Overheads are all the structural and support costs of an administrative, technical and logistical nature which are cross-cutting for the operation of the partner body's various activities and cannot therefore be booked in full to the project for which the grant is awarded because this grant is only one part of those activities.
- ⇒ Overheads comprise costs connected with infrastructures and the general operation of the organisation such as hiring or depreciation of buildings and plant, water/gas/electricity, maintenance, insurance, supplies and petty office equipment, communication and connection costs, postage, etc. and costs connected with horizontal services such as administrative and financial management, human resources, training, legal advice, documentation, IT, etc.

#### *14.1.8. Total eligible costs*

Once item E.1. to E.6. have been filled in, the **Total direct eligible costs** is automatically calculated; and once E.7. has been filled, the **Total indirect eligible costs** is automatically calculated.

## **14.2. Incomes (7.2)**

This section summarizes the incomes of your conference. Items I.1. to I.4. shall be filled in.

The total budget must be balanced, i.e. the total of the expenses shall be **equal** to the total of the incomes.

#### *14.2.1. Commission funding (I.1)*

The Awarding authority funding is the financial contribution that the applicant expects to be granted from the awarding authority.

The maximum co-funding request for the awarding authority shall not exceed 50 % per conference proposal. The awarding authority will determine in each individual case the maximum percentage to be awarded.

#### *14.2.2. Applicant's financial contribution (I.2)*

Financial contributions you, as applicant, will provide to the budget.

#### *14.2.3. Income generated by the conference (I.3)*

Resources that correspond to revenues linked to and generated by the conference itself: admission fee to the conference, sale of publications, sale of equipment bought for the conference etc.

#### 14.2.4. Other external resources (I.4)

Resources that stem from grants allocated either at international level, European level, national level, regional level or local level and/or financial transfers received from donors/sponsor.

#### 14.2.5. Controls to be carried out

Once items I1 to I4 have been filled in, the **Total Incomes** is automatically calculated as well as the **Balance** (Expenditures - Incomes). 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. If the balance is not zero, you are invited to revise your incomes (items I in 7.2 of the application form) and/or to review your expenditures (items E in 7.1 of the application form).

**Co-funding requested in percentage:** The percentage of the co-funding requested is calculated automatically as the ratio between "I1. Co-funding request from the Community budget" and the total income.

**Overheads in percentage:** The percentage of Overheads is calculated automatically as the ratio between "E.7. Overheads and the Total direct eligible costs".

### 14.3. Definition of expenditures/eligible costs

Article II.14.1 of the grant agreement defines eligible costs as costs which must satisfy the following general criteria:

.../...

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

*They are **connected with the subject of the agreement** and they must be indicated in the estimated budget annexed to it;*

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

*They are **identifiable and verifiable**, in particular being recorded in the accounting records of a 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 action with the corresponding accounting statements and supporting documents.*

.../...

#### 14.4. Definition of non-eligible costs

The non-eligible costs are, as stipulated in Article II.14.4 of the grant agreement between the awarding authority and the beneficiary:

.../...

- *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 by a beneficiary and covered by another action or work programme receiving a Union grant;*
- *excessive or reckless expenditure;*
- *contributions in kind.*

.../...

#### Additional information

- ⇒ Contributions in kind are services or goods used for the conference 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 project, they may be declared in the initial budget and final financial report, thus giving a precise idea of the conference cost, but they need not to be justified to the awarding authority. If the contractor 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.
- ⇒ This table summarizes all the information you have entered in the previous sections (7.2 and 7.3). 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.

- ⇒ If the balance is not zero, you are invited to revise the financing plan of one or more partners and to modify one or several incomes (items I in 7.2.1 of the application form). Another possibility is to review your expenditures (items E in 7.1 of the application form).

## 15. FORM SECTION "8 - FINANCIAL VIABILITY INFORMATION"

The following parts have to be filled in by the applicant:

- ⇒ Accountancy information (8.1.);
- ⇒ Balance sheet of the two last accounting years (8.2);
- ⇒ Profit and loss account (8.3).

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, this part must not be filled and none supporting document is required.

### 15.1. Accountancy information (8.1)

8.1. Accountancy information			
Account starting date (YYYY-MM-DD):	Account ending date (YYYY-MM-DD):	Account duration (in months):	<input type="text"/>
Cash accounting: <input type="checkbox"/>	New entity: <input type="checkbox"/>	Date of incorporation (YYYY-MM-DD):	<input type="text"/>
Currency: € Euro		Euro_rate:	1

#### Technical Notes

<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

Date of incorporation:

Please fill in the date when your entity was created and/or registered

Currency:

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.

## 15.2. Balance sheet of the two last accounting years (8.2) and Profit & Loss account (8.3)

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
<b>Total assets (1+2+3) :</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Liabilities</b>				
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
<b>Total liabilities (4+5) :</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

8.3. 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 8.1 (e.g.: 01.01.2009), the accounting years automatically appear in 8.2 and 8.3.

- 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 8.2 (Assets & Liabilities) and 8.3 (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 4<sup>th</sup> accounting Directive.

#### *15.2.1. Exceptions to the encoding of 8.2 and 8.3*

- ⇒ 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 8.1.
2. Attach to your proposal 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 8.1.
2. Submit a paper copy of any document (even draft) showing of your statutory accounts.

- ⇒ In the two above mentioned exceptions, the 8.2 and 8.3 of the application form will disappear.

#### *15.2.2. Controls to be carried out (8.2 and 8.3)*

- ⇒ 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 8.2.

### 15.3. 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		B. Training expenses as defined by national law C. I. Intangible fixed assets	B. Training expenses as defined by national law C.I.1. Cost of research and development 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 C.I.3. Goodwill, to the extent that it was acquired for valuable consideration C.I.4. Payments on account
2.2. Tangible fixed assets		C. II. Tangible fixed assets	C.II.1. Land and buildings C.II.2. Plant and machinery C.II.3. Other fixtures and fittings, tools and equipment C.II.4. Payment on account and tangible assets in course of construction
2.3. Financial assets		C. III. Financial assets	C.III.1. Shares in affiliated undertakings C.III.2. Loans to affiliated undertakings C.III.3. Participating interests C.III.4. Loans to undertakings with which the company is linked by virtue of participating interest C.III.5. Investments held as fixed assets C.III. 6. Other loans C.III.7. Own shares (with an indication of their nominal value or, in the absence of a nominal value, their accounting par value)
3. Current assets (3.1+3.2.1+3.2.2+3.3+3.4)		D. Currents assets	
3.1. Stocks		D. I. Stocks	D.I.1. Raw materials and consumables D.I.2. Work in progress D.I.3. Finished products and goods for resale D.I.4. Payment on account

3.2.1. Debtors due after one year	D.II. Debtors, due and payable after more than one year	D.II.1. Trade debtors D.II.2. Amounts owed by affiliated undertakings D.II.3. Amounts owed by undertakings with which the company is linked by virtue of participating interest D.II.4. Others debtors D.II.6. Prepayments and accrued income
3.2.2. Debtors due within one year	D.II. Debtors due and payable within a year	D.II.1. Trade debtors D.II.2. Amounts owed by affiliated undertakings D.II.3. Amounts owed by undertakings with which the company is linked by virtue of participating 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	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
<b>Total assets (1+2+3)</b>	<b>Total assets</b>	
<b>LIABILITIES</b>	<b>LIABILITIES / 4th ACCOUNTING DIRECTIVE (Article 9)</b>	
<b>4. Capital and reserves (4.1+4.2+4.3+4.4)</b>	<b>A. Capital and reserves</b>	
4.1. Subscribed capital	A.I. Subscribed capital A.II. Share premium account	A.I. Subscribed capital A.II. Share premium account
4.2. Reserves	A.III. Revaluation reserve A.IV. Reserves	A.III. Revaluation reserve 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	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	A.VI. Profit or loss for the financial year

<b>5. Creditors</b> <b>(5.1.1+5.1.2+5.2.1+5.2.2)</b>	<b>C. Creditors</b>	
5.1.1 Long term non-bank debt	B. Provisions for liabilities and charges (> one year) C. Creditors (> one year)	B.1. Provisions for pensions and similar obligations B.2. Provisions for taxation B.3. Other provisions 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) C. Creditors (≤ one year)	B.1. Provisions for pensions and similar obligations B.2. Provisions for taxation B.3. Other provisions 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
5.2.2. Short term bank debt	C. Creditors "credit institutions" (≤ one year)	C.2. Amounts owed to credit institutions C.5. Bills of exchange payable
<b>Total liabilities</b> <b>(4+5)</b>	<b>Total Liabilities</b>	

<b>PROFIT AND LOSS ACCOUNT</b>	<b>AND</b>	<b>LOSS</b>
<b>6. Turnover</b>		
7. Variation in stocks	1. Net turnover	
8. Other operating income	2. Variation in stocks of finished goods and in work in progress	
9. Costs of material and consumables	3. Work performed by the undertaking for its own purposes and capitalized	
10. Other operating charges	4. Other operating income	
11. Staff costs	5. (a) Raw materials and consumables	
	5. (b) Other external charges	
<b>12. Gross operating profit (6+7+8-9-10-11)</b>	8. Other operating charges	
13. Depreciation and value adjustments on non financial assets	6. (a) Wages and salaries	
	6. (b) social security costs, with a separate indication of those relating to pensions	
<b>14. Net operating profit (12-13)</b>		
15. Financial income and value adjustments on financial assets	7. (a) Value adjustments in respect of formation expenses and of tangible and intangible fixed assets	
	7. (b) Value adjustments in respect of current assets, to the extent that they exceed the amount of value adjustments which are normal in the undertaking concerned	
	<b>Gross operating profit = [1+2+3+4-(5a+5b+8)] - 6</b>	
	7. Depreciation and value adjustments on non financial assets	
	<b>Gross operating profit - Depreciation and value adjustments on non-financial assets = [[1+2+3+4-(5a+5b+8)] - 6] - 7</b>	
	Financial income and value adjustments on financial assets	
16. Interest paid	9. Income from participating interests	
17. Similar charges	10. Income from other investments and loans forming part of the fixed assets	
	11. Other interest receivable and similar income	
	12. Value adjustments in respect of financial assets and of investments held as current assets	
	13. Interest payable and similar charges	
	Similar Charges	
<b>18. Profit or loss on ordinary activities (14+15-16-17)</b>	15. Profit or loss on ordinary activities after taxation	
19. 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
<b>21. Profit or loss for the financial year</b> <b>(18+19-20)</b>	<b>Profit or loss for the financial year</b> = [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

#### 15.4. 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>

## 16. SUPPORTING DOCUMENTS

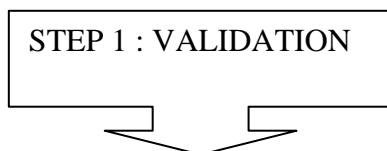
This checklist helps you to collect all the supporting documents needed to prepare the application package. The supporting documents are not required from public bodies, international public organisations created by inter-governmental agreements or from specialist agencies created by the latter, with the exception of the draft conference programme.

## 17. OVERVIEW

This page will be filled automatically. You do not need to fill any information into the boxes here.

## 18. VALIDATION PAGE

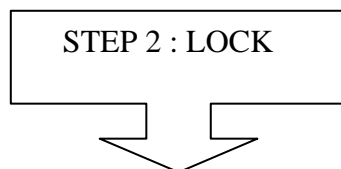
Complete the following four step process.



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).

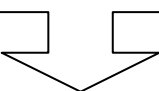


After validating the application, the “**LOCK BUTTON**” will appear on the same page. Check that all mandatory fields are properly filled in and that you are satisfied with their contents. If you are sure that there are no more changes to be made, click on the button to finalise your work. **After locking 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.**

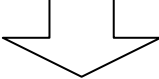
STEP 3: SAVE



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 awarding authority. This procedure is also described in paragraph 3 above as well as in more details in the call for proposals for conferences document.

STEP 4: PRINT and  
BURN CD-rom



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 next page in the form is the "overview" page. It is automatically generated with the information you provided before. You do not have to enter any information here.

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 awarding authority, a reference number will be attributed and noted on this page. Then, the page will be sent back to you for future reference.

## **19. DECLARATION OF HONOUR**

The declaration of honour has to be signed and sent to the awarding authority 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.**

## 20. MANDATORY CHECKLIST

This mandatory checklist is a new feature of the application form. It 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**





Call for Proposals 2011

# Conferences

## APPLICATION FORM



## Table of content

<b>1.</b>	<b>Organisational information</b>	
1.1	Organisation information.....	4
1.2	Address of organisation.....	4
1.3	Contact person.....	4
1.4	Legal representative.....	4
<b>2.</b>	<b>Specification of the Conference</b>	
2.1	Conference title & Priority area.....	5
2.2	Summary.....	6
<b>3.</b>	<b>Technical specification of the conference</b>	
3.1	Purpose of the conference.....	7
3.2	Objectives of the conference.....	8
3.3	Coherence of the conference aims with the WP 2010/ 2nd Health Programme in general.....	9
3.4	Innovative ideas of the conference.....	10
3.5	Impact and expected outcomes of the conference.....	11
3.6	Deliverables of the conference.....	12
<b>4.</b>	<b>Management of the conference</b>	
4.1	Short description of the organisation and planning of the conference.....	13
4.2	Profile of the conference holder.....	14
4.3	Steering Committee.....	15
4.4	Scientific Committee.....	16
4.5	Conference programme.....	17
4.6	Target participants.....	18
4.7	Participants expected.....	19
4.8	Risk analysis and contingency planning.....	20
4.9	Time plan.....	21
4.10	Sponsorship.....	22
<b>5.</b>	<b>Communication, information and evaluation</b>	
5.1	Marketing and communication to the target participants.....	23
5.2	Dissemination of the conference deliverables.....	24
5.3	Post conference follow-up and evaluation.....	25
<b>6.</b>	<b>Human resources.....</b>	<b>26</b>
<b>7.</b>	<b>Financial overview.....</b>	<b>27</b>
<b>8.</b>	<b>Financial viability information.....</b>	<b>28</b>
	<b>Overview.....</b>	<b>30</b>
	<b>Declaration of Honour.....</b>	<b>31</b>
	<b>Obligatory checklist.....</b>	<b>32</b>

# 1. Conference holder information

## 1.1 Organisation information

Legal name\*:

Acronym\*:

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\*:

## 2. Specification of the Conference

### 2.1 Key Specification

Conference title\*:

Acronym\*:

Dates foreseen\*:  
(DD/MM/2012)

**from:**

/

**to:** /

/

2012

### 2.2 Priorities in the 2011 work plan

Priority area\*:

Action\*:

Sub-Action\*: (please choose a sub-action list below)

2.3 Summary: Please structure your executive summary as purpose and objectives, contribution to the 2nd Health Programme, target participants, impact and expected outcomes (*max 4000 characters*)

Empty text box for the executive summary.

### 3. **Technical specification of the conference**

3.1 Purpose of the conference (including scientific background) *(max 3300 characters)*

3.2 Objectives of the conference (*max 3300 characters*)

[Empty text area for entering objectives of the conference]

3.3 Coherence of the conference aims with the WP 2011/ 2nd Health Programme in general  
(max 3300 characters)

Empty text box for response.

3.4 Innovative ideas of the conference (max 3300 characters)

[Empty text area for innovative ideas]

3.5

Impact and expected outcomes of the conference (*max 3300 characters*)

Empty text box for inputting the impact and expected outcomes of the conference.

### 3.6 Deliverables of the conference (maximum 10)

Deliverables are a specific type of outputs or outcomes. They refer to physical items (i.e. reports, plans, tools, products) to be delivered by the conference. Internal deliverables are produced for the purpose of planning the conference, and are usually only needed by the project team and the commissioning authority, in this case the Awarding Authority. External deliverables, in contrast, are created for customers and stakeholders

Nber	Title	Delivery month	Nature	Ways to disseminate		
1					+	-

## 4. Management of the conference

4.1 Short description of the organisation and planning of the conference (max 3300 characters)



4.2 Profile of the conference holder (max 1100 characters)

[Empty text box for profile of the conference holder]

### 4.3 Steering Committee (members and their tasks - Maximum 15)

A task is an activity that should be accomplished in a given time period

Name	Institution	Country	Task		
				+	-

4.4 Scientific Committee (members and their tasks - Maximum 30)  
 A task is an activity that should be accomplished in a given time period

Name	Institution	Country	Task		
				+	-

4.5 Conference programme (*max 4000 characters*)

[Empty text area for conference programme]

4.6 Target participants (*max 3300 characters*)

[Empty text area for target participants]

4.7 Participants expected (approximate number, by Member State and (type of) organisation)  
(max 3300 characters)

--

4.8 Risk analysis and contingency planning (max 3300 characters)

[Empty text area for risk analysis and contingency planning]

#### 4.9 Time plan

The time plan is limited to 12 months. The activities to be carried out in each phase should be briefly described.

Months	Preparation phase	Conference	Post-conference phase		
M 1				+	-

4.10 Sponsorship (max 2200 characters)

[Empty text area for sponsorship details]

## 5. Communication, information and evaluation

- 5.1 Marketing and communication to the target participants (EU and worldwide, including how EC co-funding visibility will be ensured) *(max 3300 characters)*

5.2 Dissemination of the conference deliverables (max 3300 characters)

[Empty text area for dissemination of conference deliverables]

5.3 Post conference follow-up and evaluation (including indicators) *(max 3300 characters)*

[Empty text box for post-conference follow-up and evaluation]

6.1 Human resources					
Function	Number of persons per function A	Number of days per function B	Daily rates per function (in €) C	Total per function (in €) D = B X C	Comments
			0	0	
			0	0	
			0	0	
			0	0	
			0	0	
			<b>Total in € (1)</b>	0	

(1) Please note that "Total in €" is automatically reported under "E1. Staff" in 7. Financial overview

The estimated budget must be detailed, in balance and expressed in euros, exclusive of VAT unless the applicant can demonstrate that VAT cannot be recovered.  
 The applicant certifies that the costs given below are necessary and exclusively related to the implementation of the conference.

<b>7.1 Expenditures</b>		
Direct eligible costs		
	E.1. Staff	0
	E.2. Travel costs and subsistence allowances	0
	E.3. Equipements	0
	E.4. Consumables and supplies	0
	E.5. Subcontracting costs	0
	E.6. Other costs	0
	<b>Total direct eligible costs</b>	<b>0</b>
Indirect eligible costs		
	E.7. Overheads	0
	<b>Total indirect eligible costs</b>	<b>0</b>
<b>TOTAL PART A - EXPENDITURE</b>		<b>0</b>
<b>7.2 Incomes</b>		
	I.1. Commission funding	0
	I.2. Applicant's financial contribution	0
	I.3. Income generated by the conference	0
	I.4. Other external resources	0
	<b>Total Incomes</b>	<b>0</b>
	<b>Balance (Expenditures - Incomes)</b>	<b>0</b>
	% Cofinancing requested	0.00
	% Overheads	0.00
<b>TOTAL PART B - INCOME</b>		<b>0</b>

## 8.1. 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 (YYYY-MM-DD):

Currency: € Euro Euro\_rate:

## 8.2. Balance sheet of the two last accounting years

Assets	In currency unit		In Euro	
1. Unpaid subscribed capital :	0	0	0	0
<b>2. Fixed assets (2.1+2.2+2.3) :</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
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
<b>3. Current assets (3.1+3.2.1+3.2.2+3.3+3.4) :</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
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
<b>Total assets (1+2+3) :</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

Liabilities	In currency unit		In Euro	
<b>4. Capital and reserves (4.1+4.2+4.3+4.4) :</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
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
<b>5. Creditors (5.1.1+5.1.2+5.2.1+5.2.2) :</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
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
<b>Total liabilities (4+5) :</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

### 8.3. Profit and loss account

<i>Profit and loss account</i>	<i>In currency unit</i>		<i>In Euro</i>	
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
<b>12. Gross operating profit (6+7+8-9-10-11) :</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
13. Depreciation and value adjustments on non-financial assets :	0	0	0	0
<b>14. Net operating profit (12-13) :</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
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
<b>18. Profit/loss on ordinary activities (14+15-16-17) :</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
19. Extraordinary income and charges +/- :	0	0	0	0
20. Taxes on profits +/- :	0	0	0	0
<b>21. Profit/loss for the financial year (18+19-20):</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

### Specification of the conference

Conference title:  
(from point 2.1)

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Acronym: (from point 2.1)

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Dates foreseen: **FROM**  
(from point 2.1)

2012--

**TO**

2012--

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### Conference holder information

Legal name:  
(from point 1.1)

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Acronym:  
(from point 1.1)

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City:  
(from point 1.1)

---

Country:  
(from point 1.1)

---

### Budget

Total amount of the conference in €:  
(from point 7.1)

0

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Co-funding requested in €:  
(from point 7.2)

0

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Percentage co-funding :  
(from point 7.2)

00,00 %

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# 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.

<b>Organisation legal name</b>	<b>Signature</b>	<b>Official stamp</b>
<b>Title, name and first name of authorised representative</b>		
<b>Function of authorised representative</b>	<b>Date</b>	

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.

**Obligatory checklist to be printed and filled in, by hand, by the applicants  
as part of the application form**

**CONFERENCE**

**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"/>
5 copies of the (draft) conference programme	<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 8.2 of the application form	<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 organization**

	Please tick
The conference directly corresponds to one of the topics described in section 3 of the 2011 work plan and the second Health Programme	<input type="checkbox"/>
The conference has a wide European dimension	<input type="checkbox"/>
The conference holder is a public body or a non-profit making body, established in a country participating in the second Health Programme and has relevant experience in co-operation at EU level	<input type="checkbox"/>
The conference is scheduled to take place in 2012	<input type="checkbox"/>

In submitting a proposal, applicants accept the procedures and conditions as described in the **call for proposal for conferences 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 FOR HEALTH AND CONSUMERS

Health Unit

Luxembourg,

-

**ACKNOWLEDGEMENT OF RECEIPT**  
**CALLS FOR PROPOSAL 2011**  
**Conferences**

Dear

We are pleased to acknowledge receipt of the following proposal :

**Number ref. : 2011 -**

**Title :**

**Acronym :**

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

## GRANT AGREEMENT FOR AN ACTION - MONO BENEFICIARY

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** Description of the action [Technical Annex]
- Annex II** Estimated budget of the action [Financial Annex]
- Annex III** Reporting requirements
- Annex IV** Instructions concerning the eligibility of travel and subsistence expenses (if Commission's rules apply)

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 – PURPOSE OF THE GRANT

- 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 accept, for the action entitled [Title + Acronym of the project] (“*the action*”).
- I.1.2 The beneficiary accepts the grant and undertakes to do everything in his power to carry out the action 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 party signs.

Without prejudice to Article II.16.5, 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.17, 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 action shall run for [insert number] months from [the first day [of the month] following the date when the last party signs the agreement] (“*the starting date of the action*”).]

[Option 2 for Art I.2.2:

- I.2.2 The action shall run for [insert number] months from [insert date] (“*the starting date of the action*”).]

[Option 3 for Art I.2.2:

- I.2.2 The action shall run for [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 of the action*”).]

### ARTICLE I.3 – ROLE OF THE BENEFICIARY

- I.3.1 The beneficiary shall 'inter alia':
- a) have full responsibility for ensuring that the action is implemented in accordance with the agreement;

- b) not applicable;
- c) be responsible for supplying all documents and information to the Executive Agency which may be required under the agreement, in particular in relation to the requests for payment. The beneficiary shall not delegate any part of this task to any other party;
- d) not applicable;
- e) inform the Executive Agency of transfers between items of eligible costs, as provided in Article I.4.4;
- f) make the appropriate arrangements for providing the financial guarantee, when requested, under the provisions of Article I.5;
- g) establish the payment requests in accordance with the agreement, and in particular its Article II.15. All payments by the Executive Agency are made to the bank account(s) referred to in paragraph 1 of Article I.7;
- h) not applicable;
- i) be responsible, in the event of audits, checks or evaluations, as described in Articles II.6 and II.20, for providing all the necessary documents, the original accounting documents and signed copies of sub-contracts, if any have been concluded in accordance with Article II.9.

#### I.3.2 Not applicable

### **ARTICLE I.4 – BREAKDOWN OF COSTS – FINANCING THE ACTION**

I.4.1 The total cost of the action is estimated at EUR [insert amount in figures and words], as shown in the estimated budget in Annex II. The estimated budget shall give a detailed breakdown of the costs that are eligible for Union funding under the terms of Article II.14, of any other costs that the action may entail, and of all receipts, so that receipts and costs balance.

I.4.2 The total eligible costs of the action for which the Executive Agency grant is awarded are estimated at EUR [insert amount in figures and words], as shown in the estimated budget in Annex II.

Indirect costs are eligible for flat-rate funding up to a maximum of 7 % of the total direct costs eligible, subject to the conditions laid down in Article II.14.3.

I.4.3 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.4.2. The final amount of the grant shall be determined as specified in Article II.17, without prejudice to Article II.20.

The Union grant may not finance the entire costs of the action. The amounts and sources of co-financing other than from Union funds shall be set out in the estimated budget referred to in Article I.4.1.

- I.4.4 By way of derogation from Article II.13, the beneficiary may when carrying out the action, adjust the estimated budget by transfers between items of eligible costs, provided that this adjustment of expenditure does not affect the implementation of the action and the transfer between items does not exceed **20 %** of the amount of each item of estimated eligible costs for which the transfer is intended, and without exceeding the total eligible costs indicated in Article I.4.2. The beneficiary shall inform the Executive Agency in writing.

## ARTICLE I.5 – PAYMENT ARRANGEMENTS

### I.5.1 Pre-financing:

Within 45 days of the latest of the following dates: the date when the last of the parties signs the agreement / the starting date of the action [/ 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 coordinator, representing [insert figure] % of the amount specified in Article I.4.3.

### I.5.2 Further pre-financing payments:

Pre-financing may be paid in several instalments. In that case, payment of each further instalment to the beneficiary 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-financing<sup>1</sup>.

Every request for payment of a further pre-financing instalment must be accompanied by the documents specified in Article II.15.2 [and by [an external audit certificate] [[or, in case of public bodies,] a certificate produced by a competent and independent public officer] on the action's financial statements and underlying accounts for each amount exceeding [insert amount in figures and words] EUR per beneficiary].

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 technical implementation of the action with Annex I will be assessed. Next, upon approval of the technical 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.4.3.

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<sup>1</sup> 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).

The period for payment referred to in the previous sub-paragraph of this article may be suspended by the Executive Agency in accordance with the procedure in Article II.16.2.

### I.5.3 Payment of the balance:

The request for payment of the balance shall be accompanied by the documents specified in Article II.15.4 [and by [an external audit certificate] [[or, in case of public bodies,] a certificate produced by a competent and independent public officer] on the action's financial statements and underlying accounts for an amount exceeding [insert amount in figures and words] EUR. 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].

The Executive Agency shall have 45 days to approve or reject the technical and financial implementation report or to request additional supporting documents or information under the procedure laid down in Article II.15.4. 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.17 shall be made to the beneficiary within 45 days following approval by the Executive Agency of the technical implementation report 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.16.2.

## ARTICLE I.6 – SUBMISSION OF REPORTS AND OTHER DOCUMENTS

The provisions relating to the submission of the technical implementation reports, financial statements and other documents referred to in Article I.5 are contained in Annex III.

The technical implementation reports, financial statements and other documents referred to in Article I.5 must be submitted by the beneficiary in [insert number] copies in [insert language] on the following dates:

- Interim reports and other documents related to a request for a [first] further pre-financing as specified in Article I.5.2. within 2 months following a period of [insert number] months after the starting date of the action specified in Article I.2.2., covering the period [insert dates];
- [Interim reports and other documents related to a request for a second further pre-financing as specified in Article I.5.2. [within 2 months following a period of [insert number] months after the starting date of the action specified in Article I.2.2.], covering the period [insert dates]];
- Final reports and other documents related to a request for payment of the balance as specified in Article I.5.3. [within 2 months following the closing date of the action specified in Article I.2.2.], covering the whole project duration].

**ARTICLE I.7 – BANK ACCOUNT**

I.7.1 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.7.2. This account or sub-account must identify the payments made by the Executive Agency for carrying out the action 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.16.4.

**ARTICLE I.8 – GENERAL ADMINISTRATIVE PROVISIONS**

Any communication in connection with the agreement shall be in writing, indicating the number of the agreement, the title and acronym of the action 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.9 – LAW APPLICABLE AND COMPETENT COURT**

The grant is governed by the terms of the agreement, the Union law applicable and, on a subsidiary basis, 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.10 – DATA PROTECTION<sup>1</sup>**

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 the 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.
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;

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<sup>1</sup> Any question on the application of Regulation (EC) N° 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](http://ec.europa.eu/eahc/about/data_protection.html)).

- 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.11 – FURTHER SPECIAL CONDITIONS**

The following special conditions apply to this agreement:

- I.11.1 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.16.1, 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 period<sup>1</sup>.
- I.11.2 Without prejudice to Article II.3.2, the beneficiary grants the Executive Agency and the Commission the right to publish results and reports in hard copy or electronic form.
- I.11.3 Without prejudice to Article II.5.1, unless the Executive Agency requests or agrees otherwise, all communications or publications by the beneficiary, which are related to the action, including conferences, seminars, videos, 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 Public Health Programme.*”

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<sup>1</sup> <http://ec.europa.eu/budget/inforeuro/index.cfm?fuseaction=home&Language=en>

## **II – GENERAL CONDITIONS**

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

#### **ARTICLE II.1 – LIABILITY**

- II.1.1 The beneficiary shall be responsible 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 during the action's execution. 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 execution or faulty execution of the action.
- II.1.4 The beneficiary shall bear sole liability vis-à-vis third parties, including for damage of any kind sustained by him while the action is being carried out.

#### **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 performance 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 takes additional measures, if necessary, within a certain time.

#### **ARTICLE II.3 – OWNERSHIP/USE OF THE RESULTS**

- II.3.1 Unless stipulated otherwise in the agreement, ownership of the results of the action, including industrial and intellectual property rights, and of the reports and other documents relating to it shall be vested in the beneficiary.

- II.3.2 Without prejudice to paragraph 1, the beneficiary grants the Executive Agency the right to make free use of the results of the action as it deems fit, and, in particular, to display, reproduce by any technical procedure, translate or communicate the results of the action by any medium, including on the website of the Executive Agency and/or on the Europa website, provided it does not thereby breach its confidentiality obligations or existing industrial and intellectual property rights.
- II.3.3 Where industrial and intellectual property rights, including rights of third parties, exist prior to the agreement being entered into ("pre-existing intellectual property rights"), the beneficiary shall establish a list which shall specify all rights of ownership and use in the pre-existing intellectual property rights and disclose it to the Executive Agency at the latest prior to the commencement of implementation. The beneficiary shall ensure that it has all rights to use any pre-existing intellectual property rights in implementation of the agreement.

#### **ARTICLE II.4 – 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 closing date of the action.

#### **ARTICLE II.5 – PUBLICITY**

- II.5.1 Unless the Executive Agency requests otherwise, any communication or publication by the beneficiary about the action, including at a conference or seminar, shall indicate that the action 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.5.2 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 address,
- the subject and purpose of the grant,
- the amount granted and the proportion of the action's total cost 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 their commercial interests.

**ARTICLE II.6 – EVALUATION**

Whenever the Commission carries out an interim or final evaluation of the action'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.20.

**ARTICLE II.7 – SUSPENSION**

II.7.1 The beneficiary may suspend implementation of the action if exceptional circumstances make this impossible or excessively difficult, notably in the event of force majeure. The beneficiary shall inform the Executive Agency without delay, giving all the necessary reasons and details and the foreseeable date of resumption.

II.7.2 If the Executive Agency does not terminate the agreement under Article II.11.3, the beneficiary shall resume implementation of the action as initially planned once circumstances allow and he shall inform the Executive Agency accordingly. The duration of the action might be extended by a period equivalent to the length of the suspension. In accordance with Article II.13, a supplementary written agreement shall be concluded to extend the duration of the action and to make any amendments that may be necessary to adapt the action to the new implementing conditions.

**ARTICLE II.8 – FORCE MAJEURE**

II.8.1 Force majeure shall mean any unforeseeable exceptional situation or event beyond the parties' control which prevents 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.8.2 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.8.3 The party faced with force majeure shall not be held in breach of his obligations under the agreement if he's prevented from fulfilling them by force majeure. The parties shall make every effort to minimise any damage due to force majeure.

II.8.4 The action may be suspended in accordance with Article II.7.

**ARTICLE II.9 – AWARD OF CONTRACTS**

II.9.1 If the beneficiary has to conclude contracts in order to carry out the action and they constitute costs of the action under an item of eligible direct costs in the

estimated budget, he shall seek competitive tenders from potential contractors and 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.9.2 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 action;
- b) recourse to the award of contracts must be justified having regard to the nature of the action 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 action is under way, if not provided for in the initial grant application, shall be subject to prior written authorisation by the Executive Agency;
- e) the beneficiary shall retain sole responsibility for carrying out the action 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 them under Articles II.1, II.2, II.3, II.4, II.5, II.6, II.10 and II.20 of the agreement are also applicable to the contractor.

## **ARTICLE II.10 – 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 to the beneficiary 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.11 – TERMINATION OF THE AGREEMENT**

### **II.11.1 Termination by the beneficiary**

In duly justified cases, the beneficiary may withdraw the beneficiary's 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 agreement shall be deemed to have been terminated improperly, with the consequences set out in the fifth subparagraph of paragraph 5.

### **II.11.2 Not applicable**

### **II.11.3 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 change to the beneficiary's legal, financial, technical, organisational or ownership 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.8, or if the action has been suspended as a result of exceptional circumstances, notified in accordance with Article II.7;
- 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 European 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.11.4 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 3, the beneficiary shall have 30 days to submit observations and take any measures necessary to ensure continued fulfilment of the beneficiary's 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.

Where notice is not given in the cases referred to in points (c), (e), (f) and (g) of paragraph 3, 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.11.5 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 Article II.17. 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 of the agreement takes effect, as notified by the Executive Agency, to produce a request for final payment in accordance with Article II.15.4. 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 technical implementation reports and financial statements approved by the Executive Agency.

By way of exception, at the end of the period of notice referred to in paragraph 4, where the Executive Agency is terminating the agreement on the grounds that the beneficiary has failed to produce the final technical implementation report and 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 date on which the action ended and it shall recover any amount if its use is not substantiated by the technical implementation reports and financial statements approved by the Executive Agency.

By way of exception, in the event of improper termination of the agreement by the beneficiary or termination by the Executive Agency on the grounds set out in points (e), (f) or (g) of paragraph 3, the Executive Agency may require the partial or total repayment of sums already paid under the agreement on the basis of technical implementation reports and 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.12 – FINANCIAL PENALTIES**

By virtue of the Financial Regulation applicable to the general budget of the European Union, the 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.13 – SUPPLEMENTARY AGREEMENTS**

- II.13.1 Any amendment to the grant conditions must be the subject of a written supplementary agreement. No oral agreement may bind the parties to this effect.
- II.13.2 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.13.3 Where the request for amendment is made by the beneficiary, he must send the request to the Executive Agency in good time before it is due to take effect and at all events one month before the closing date of the action, except in cases duly substantiated by the beneficiary and accepted by the Executive Agency.

## PART B – FINANCIAL PROVISIONS

### ARTICLE II.14 – ELIGIBLE COSTS

II.14.1 To be considered as eligible costs of the action, costs must satisfy the following general criteria:

- they are incurred during the duration of the action as specified in Article I.2.2 of the agreement, with the exception of costs relating to final reports and certificates on the action's financial statements and underlying accounts;
- they are connected with the subject of the agreement and they must be indicated in the estimated budget annexed to it;
- they are necessary for the implementation of the action 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 direct reconciliation of the costs and revenue declared in respect of the action with the corresponding accounting statements and supporting documents.

II.14.2 The eligible direct costs for the action are those costs which, with due regard for the conditions of eligibility set out in Article II.14.1, are identifiable as specific costs directly linked to performance of the action and which can therefore be booked to it direct. In particular, the following direct costs are eligible provided that they satisfy the criteria set out in the previous paragraph:

- the cost of staff assigned to the action, 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 cost of activities which the relevant public authority would not carry out if the project concerned were not undertaken;

- travel and subsistence allowances for staff taking part in the action, 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 duration of the action and the rate of actual use for the purposes of the action 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 action;
- costs entailed by other contracts awarded by the beneficiary for the purposes of carrying out the action, provided that the conditions laid down in Article II.9 are met;
- costs arising directly from requirements imposed by the agreement (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).

II.14.3 The eligible indirect costs for the action are those costs which, with due regard for the conditions of eligibility described in Article II.14.1, are not identifiable as specific costs directly linked to performance of the action which can be booked to it direct, but which can be identified and justified by the beneficiary using his accounting system as having been incurred in connection with the eligible direct costs for the action. They may not include any eligible direct costs.

By way of derogation from Article II.14.1, the indirect costs incurred in carrying out the action may be eligible for flat-rate funding fixed at not more than 7 % of the total eligible direct costs. If provision is made in Article I.4.2 for flat-rate funding in respect of indirect costs, they need not be supported by accounting documents.

II.14.4 The following costs shall not be considered eligible:

- return on capital;
- debt and debt service charges;
- provisions for losses or potential future liabilities;
- interest owed;
- doubtful debts;
- exchange losses;

- VAT, unless the beneficiary can show that he is unable to recover it according to the applicable national legislation. VAT paid by public bodies is not an eligible cost;
- costs declared by the beneficiary and covered by another action or work programme receiving a Union grant;
- excessive or reckless expenditure;
- contributions in kind.

II.14.5 Not applicable

II.14.6 By way of derogation from paragraph 3, indirect costs shall not be eligible under a grant for an action awarded to a beneficiary who already receives an operating grant from the Union budget during the period in question.

## **ARTICLE II.15 – REQUESTS FOR PAYMENT**

Payments shall be made in accordance with Article I.5 of the Special Conditions.

### **II.15.1 – PRE-FINANCING**

Pre-financing is intended to provide the beneficiary with a float.

Where required by the provisions of Article I.5 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 Union<sup>1</sup>.

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.15.2 – FURTHER PRE-FINANCING PAYMENTS**

Where pre-financing is divided into several instalments, the beneficiary may request a further pre-financing payment once the percentage of the previous payment specified in the provisions of Article I.5 on further pre-financing has been used up. The request shall be accompanied by the following documents:

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<sup>1</sup> 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.

- a progress report on the technical implementation of the action;
- a detailed financial statement of the eligible costs actually incurred, including a consolidated statement;
- where required by the above-mentioned provisions of Article I.5, a financial guarantee in accordance with paragraph 1;
- any other documents in support of his request for further pre-financing.

The documents accompanying the request for payment shall be drawn up in accordance with the relevant provisions in Article I.6 and the annexes.

### **II.15.3 – NOT APPLICABLE**

### **II.15.4 – PAYMENT OF THE BALANCE**

Payment of the balance, which may not be repeated, is made after the end of the action on the basis of the costs actually incurred by the beneficiary in carrying out the action. 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.17.

By the appropriate deadline indicated in Article I.6, 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 action;
- 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 action including a consolidated statement;
- 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 provisions of Article I.6 and the annexes.

If an external audit of the action's accounts is not required, the beneficiary shall certify that the information provided in his request for payment to the Executive Agency is full, reliable and true. He shall also certify that the costs incurred can be considered eligible in accordance with the agreement, 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.5 in order to:

- approve the final report on the technical implementation of the action 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.5.3. 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.5 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.11.3(b).

## **II.15.5 - 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.16 – GENERAL PROVISIONS ON PAYMENTS**

II.16.1 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 period<sup>1</sup>, unless the Special Conditions of the agreement lay down specific provisions.

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<sup>1</sup> <http://ec.europa.eu/budget/inforeuro/index.cfm?fuseaction=home&Language=en>

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.16.2 The Executive Agency may suspend the period for payment laid down in Article I.5 at any time by notifying the beneficiary that his request for payment cannot be met, 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 financial statement 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.20.

The Executive Agency shall inform the beneficiary as soon as possible 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 notice 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.16.3 On expiry of the period for payment specified in Article I.5, 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 action for the purposes of determining the final grant within the meaning of Article II.17.4. 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.16.4 The Executive Agency shall deduct the interest yielded by pre-financing which exceeds EUR 50 000 as provided for in Article I.5 from the payment of the balance of the amount due to the beneficiary. The interest shall not be treated as a receipt for the action within the meaning of Article II.17.4.

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.15.4, or is generated by pre-financing referred to in the previous subparagraph, the Executive Agency shall recover it in accordance with Article II.19.

Interest yielded by pre-financing paid to Member States is not due to the Executive Agency.

- II.16.5 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 pursuant to Article II.17, 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.9. 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.17 – DETERMINING THE FINAL GRANT**

- II.17.1 Without prejudice to information obtained subsequently pursuant to Article II.20, 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.15.4 which it has approved.
- II.17.2 The total amount paid by the Executive Agency may not in any circumstances exceed the maximum amount of the grant laid down in Article I.4.3, even if the total actual costs eligible exceed the estimated total eligible costs specified in Article I.4.2.
- II.17.3 If the actual eligible costs when the action ends are lower than the estimated eligible costs, the Executive Agency's contribution shall be limited to the amount obtained by applying the Union grant percentage specified in Article I.4.3 to the actual eligible costs approved by the Executive Agency.
- II.17.4 The beneficiary hereby agrees that the grant shall be limited to the amount necessary to balance the action's receipts and expenditure and that it may not in any circumstances produce a profit for him.

Profit shall mean any surplus of total actual receipts attributable to the action over the total actual costs of the action. The actual receipts 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 actual costs falling within the categories set out in the estimated budget referred to in Article I.4.1 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.17.5 Without prejudice to the right to terminate the agreement under Article II.11, and without prejudice to the right of the Executive Agency to apply the penalties referred to in Article II.12, if the action 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 action on the terms laid down in the agreement.
- II.17.6 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.18 – NOT APPLICABLE**

## **ARTICLE II.19 – RECOVERY**

- II.19.1 Where an amount, paid by the Executive Agency to the beneficiary is to be recovered 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.19.2 If the obligation to pay the amount due is not honoured by the date set by the Executive Agency, the amount due shall bear interest at the rate indicated in Article II.16.3. 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.

Any partial payment shall first be entered against charges and interest on late payment and then against the principal.

- II.19.3 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, depending on the terms of the Special Conditions, by calling in the financial guarantee provided in accordance with Article II.15.1. 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.19.4 Bank charges occasioned by the recovery of the sums owed to the Executive Agency shall be borne by the beneficiary.
- II.19.5 The beneficiary understands that under Article 299 of the Treaty on the functioning of the European Union, the Commission may adopt an enforceable decision formally 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.20 – CHECKS AND AUDITS**

- II.20.1 The beneficiary undertakes to provide any detailed information requested by the Executive Agency and/or the Commission or by any other outside body authorised by the Executive Agency and/or the Commission to check that the action and the provisions of the agreement are being properly implemented.
- II.20.2 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, stored on any appropriate medium that ensures their integrity in accordance with the applicable national legislation, for a period of five years from the date of payment of the balance specified in Article I.5.
- II.20.3 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.20.4 The beneficiary undertakes to allow Executive Agency staff and outside personnel authorised by the Executive Agency and/or the Commission the appropriate right of access to sites and premises where the action is carried out and to all the information, including information in electronic format, needed in order to conduct such audits.
- II.20.5 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 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.20.6 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><b>Ms./ Mr. First name NAME</b> Function</p>  <p><i>Signature</i></p> <p>Done at [place], on _____</p>	<p>For the Executive Agency</p> <p><b>Mr. Luc BRIOL</b> Director</p>  <p><i>Signature</i></p> <p>Done at Luxembourg, on _____</p>
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In [duplicate or three copies or...] in English

**ANNEX I**  
**DESCRIPTION OF THE ACTION**

**ANNEX II**  
**ESTIMATED BUDGET OF THE ACTION**

## **ANNEX III REPORTING REQUIREMENTS**

### **1. INTERIM IMPLEMENTATION REPORT(S)**

The interim technical implementation report(s) will describe the work carried out and the results obtained during the period indicated in Article I.6 of this grant agreement and state in particular:

- the results obtained to date and an indication of any deviation from the initial work programme set out in Annex I to the grant agreement that has occurred or is likely to occur;
- the work programme planned for the following period;
- copies of any publications, products or other relevant outputs or deliverables of the project to date.

The interim financial implementation report(s) will compare the expenditure incurred during the reporting period with the foreseen budget stated in Annex II of this grant agreement. The budget implemented in the interim financial report should follow the same structure as the estimated budget in Annex II.

The interim implementation report(s) and any other documents referred to, must be sent to the Executive Agency before the date indicated in Article I.6.

### **2. FINAL IMPLEMENTATION REPORT**

The final implementation report referred to in Article I.6 should include in particular a final technical implementation report and a final financial report:

#### **2.1. Technical implementation report**

##### ***2.1.1. Detailed description of all the activities conducted***

The description should relate to the activities specifically foreseen in Annex I. This section of the report should summarise the activities specifically foreseen and those directly related to the objectives of the project and present and explain the activity actually done, their correspondence to the foreseen programme and objectives, and show how each activity has contributed to the stated objectives.

Copies of any publications, products or other relevant outputs or deliverables of the project to date shall be annexed.

Any difference between the programme and objectives foreseen and those actually conducted and achieved must be highlighted and explained.

### ***2.1.2. Manpower for the execution of the activities***

This section of the report should present a complete list of all the persons who have participated in the execution of the project and, for each of them, the man/days of work, the professional level or category and the corresponding unit and total cost. In order to conciliate the man/days of work with the expenditure, the portion of time of each individual carrying out the action must be recorded.

In the case of partner organisations or external bodies, the organisation to which each person belongs should be clearly identified. The activities conducted by each person involved will be described and it will be explained how they relate to the various activities and objectives of the project.

It must be shown how the data requested for Annex II compares with the corresponding information provided with the proposal. It should naturally also correspond to the details provided in the financial report.

### ***2.1.3. Other partners involved***

This section should present how the work has been distributed among the various partners, if any. It will explain which activities the various partners have conducted, how they have been co-ordinated and how they have contributed to the set objectives.

### ***2.1.4. Countries involved***

This section should explain what activities have been conducted in each of the countries involved and how the results have been made available in each country.

### ***2.1.5. Achievement of the objectives***

This section should explain how the objectives have been achieved. It should present an evaluation of the results achieved and explain on what monitoring, assessment or relevant evidence the conclusions presented on the results achieved are based. Any problem in achieving the objectives must be highlighted and explained.

## ***2.2. Financial report***

The beneficiary should respect the following rules:

- The final financial report must follow the same structure as the estimated budget in Annex II.
- The financial report must be certified according to the provisions of Article 180, paragraph 1a of the Implementing Rules<sup>1</sup> and signed.
- The payment request (dated and signed) must be jointed to this report.

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<sup>1</sup> The beneficiary shall certify on his honour that information contained in requests for payments is full, reliable and true. He shall also certify that the costs incurred can be considered eligible in accordance with the grant agreement and that requests for payment are substantiated by adequate supporting documents that can be checked.

**IMPORTANT: The absence of complete, clear and structured information and data as described in this annex will be a reason for non acceptance of the activity report.**

## 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.<sup>1</sup>

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.<sup>2</sup>

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.

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<sup>1</sup> 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

<sup>2</sup> 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



