EU HEALTH PROGRAMME

Health Programme 2008-2013 Together for Health

Call for Proposals 2011

Joint actions

GUIDE FOR APPLICANTS

Directorate-General for Health & Consumers

Executive Agency for Health and Consumers

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PREFACE

Dear Applicant,

Welcome to the guide for submitting Joint Action 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 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 Joint Actions;
    - Explains the Health Programme's evaluation and selection process that Joint Action proposals are subject to;
    - Lists the documents needed to prepare a Joint Action proposal and gives recommendations to organise your work;
    - Describes informatics aspects, such as software requirements and configuration of settings;
    - Presents the structure of the Joint Action application form;
    - Describes the procedure how to submit the Joint Action proposal;
- Chapter 2: Practical Information

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

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

(1) the Frequently Asked Questions (FAQ), which can be found on-line **http://ec.europa.eu/eahc**.

(2) The Helpdesk of the Executive Agency for Health and Consumers (EAHC) can be contacted via e-mail: EAHC-PHP-CALLS@ec.europa.eu

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

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

This guide 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[1], amended by Council Regulation (EC, Euratom) No 1995/2006 of 13 December 2006[2] and Council Regulation (EC, Euratom) No 1525/2007 of 17 December 2007[3], 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[4] referred to in this document as the Implementing rules of the financial Regulation amended by Commission Regulation (EC, Euratom) No 1261/2005 of 20 July 2005[5] and by Commission Regulation (EC, Euratom) No 1248/2006 of 7 August 2006[4] and by Commission Regulation (EC, Euratom) No 478/2007 of 23 April 2007[6], hereafter referred to in this document as the Implementing rules of the Financial Regulation;

- Decision No 1350/2007/EC of the European Parliament and of the Council of 23 October 2007 establishing a Second Programme of Community action in the field of Health (2008-2013))[5], hereafter referred to in this document as Decision No 1350/2007/EC;

- Commission Decision published on 3 March 2011 (OJ C 69/2011 pp. 01) on the adopting the work plan for 2011 for implementation of the programme of Community action in the field of health (2008 - 2013), including budgetary

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[1] OJ L 248, 16.9.2002, p. 1
[2] OJ L 390, 30.12.2006, p. 1
[3] OJ L 343, 27.12.2007, p. 9
[4] OJ L 357, 31.12.2002, p. 3
[5] OJ L 201, 2.8.2005, p. 3
[4] OJ L 227, 19.8. 2006, p. 3
[5] OJ L 301, 20.11.2007, p. 13
[6] OJ L 111, 28.4.2007, p. 13

implications and funding criteria for grant, hereafter referred to in this document as the Work plan 2011;

- 2011 Call for Joint Action proposals – Second Programme of Community action in the field of Health (2008- 2013), hereafter referred to in this document as Call for proposals for Joint Actions;

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

CHAPTER 1:
GENERAL INFORMATION

1. LEGAL FRAMEWORK AND PARTICIPANTS

1.1. Objectives of the Health programme and 2011 work plan

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

The general objectives of the programme are:

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

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

1.2. EU contribution

Grants for joint actions are calculated on the basis of eligible costs incurred, and the maximum rate of EU co-financing is 50%.

In cases of exceptional utility, Joint Actions could receive a maximum co-financing of 70% of eligible costs per proposal.

Given the complementary and motivational nature of EU grants, Joint Actions 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 Joint Action without diluting either the objectives or the content.

There is no obligation for each individual partner to financially contribute equally for the budget not financed by the EU. The minimum required percentage of co-financing applies only at the joint action level.

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. **Organisations from these countries can receive funding from the second Health Programme.**

Moreover, third countries not participating in the programme (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 Union programmes) **are eligible to participate as collaborating partners or subcontractors.** However, this participation should not involve any financial contribution under the Programme.

EU contributions may be awarded to public bodies or non-governmental bodies based in a Member State or in other participating country which participates in a given joint action. However, they have to be expressly mandated to do so by the authorities of the Member State/other participating country concerned.

Please remember that managing a Joint Action with many partners is a logistical and administrative challenge, however the exact number of partners per Member State and in total as well as the composition of the consortium is to be defined by the consortium in discussions with DG SANCO.

In order to be designated by the Member State authorities, the public body/NGO has to receive a letter from the Ministry of Health. This letter should be addressed to the public body/NGO designated and from this forwarded to the Joint Action Coordinator. The coordinator will submit the letters of all partners together with the full application package.

> **Example**:
>
> *We, the Ministry of Health of …., hereby designate…..as a representative of the Ministry of Health of … to participate in the Joint Action ….*
>
> *We understand that as representatives they will keep us informed of progress and will be responsible for sharing the outcomes of the Joint Action with us.*
>
> *Signed….*
>
> *Date…*

If a **European stakeholder's organisation wants to apply for participation in the Joint Action, they** should express their interest to the European Commission, and check if the organisation complies with the transparency criteria described in Annex VI of the Work Plan 2011.

1.4. Role and responsibility of participants

Different entities are involved in the Joint Action:

- **main partner**
- **associated partner(s)**
- **subcontractor(s)**
- **collaborating partner(s)**

The main partner submits the Joint Action proposal and coordinates the associated partner(s).

If a proposal is recommended for funding, the negotiation procedure starts. If it is successful, the grant agreement is signed between the EAHC and the main partner. The main partner must have a mandate from the associated partners to sign the grant agreement, except where provisions in the grant agreement dispose otherwise. The associated partners are indicated on the first page of the grant agreement and they shall sign a mandate letter, mandating the main beneficiary to handle funds on behalf of the associated beneficiaries (Annex IV of the grant agreement).

Please note that in the grant agreement, the term "main partner" will change to "main beneficiary" or "coordinator". The term "associated partner" will change to "associated beneficiary" or "co-beneficiary". In this guide, the denominations "main partner" and "associated partner" will be used throughout.

Table 1: Terminology

Proposal	Agreement
Main partner	Main beneficiary or Coordinator
Associated partner	Associated beneficiary or Co-beneficiary
Subcontractor	Subcontractor
Collaborating partner	Collaborating partner

1.4.1. Main partner

- There is **only one main partner** per Joint Action;
- The main partner has full responsibility to ensure that the Joint Action is implemented according to the grant agreement. He is responsible for the technical and financial management of the action, except where specifically stated otherwise in the grant agreement;
- According to Article 173 of the Implementing rules of the Financial Regulation, the main partner 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. Later, at the request of the EAHC, he/she shall submit the same information for the associated partners.
- All communication between the associated partners and the EAHC is done

through the main partner, following Article I.8.2 of the grant agreement. Any claims the EAHC may have regarding the grant agreement shall be addressed to, and answered by, the main partner, except where specifically stated otherwise in the grant agreement;

- The main partner is responsible for the administrative and financial management of the action by providing the EAHC with all required documents and information, particularly in relation to payment requests (i.e. original accounting documents, signed copies of sub-contracts etc.). The main partner shall not delegate any part of this task to the associated partners or to any other party as this is part of its legal responsibilities. Where information from the associated partners is required, the main partner shall be responsible for obtaining and verifying this information and passing it on to the EAHC;

- The main partner shall inform the associated partners of any event which he/she is aware of that could be liable to substantially affect the implementation of the Joint Action;

- The main partner shall inform the EAHC of transfers between items of eligible costs, as indicated in Article I.4.4 of the grant agreement;

- The main partner shall make the appropriate arrangements for providing the financial guarantee or the joint guarantee of the partners participating in the action, when requested, under the provisions of Article I.5 of the grant agreement;

- The main partner shall establish the payment requests on behalf of the partners, detailing the exact share and amount assigned to each partner, in accordance with the agreement, the estimated eligible costs as foreseen in Annex II of the grant agreement and the actual costs incurred. All payments by the EAHC are made to the bank account(s) referred to in paragraph 1 of Article I.7 of the grant agreement;

- Where designated the sole recipient of payments on behalf of all of the partners, the main partner shall ensure that all the appropriate payments are made to the associated partners without unjustified delay in accordance with Article I.7 of the grant agreement and shall inform the EAHC of the distribution of the EU financial contribution among partners and of the date of transfer of funds to its associates;

- The main partner 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 the accounts of the associated partners, originals or certified copies of the original accounting documents and certified and signed copies of sub-contracts, if any have been concluded by the partners in accordance with Article II.9 of the grant agreement.

1.4.2. Associated partner(s)

- The Joint Action should involve a reasonable number of associated partners, although there is no minimum number. The form allows the applicant to introduce **up to 40 associated partners**. Please bear in mind that the management of Joint Actions with a very large number of associated partners has proven to be administratively difficult.

- The associated partners shall participate in the Joint Action, for which their costs are borne and to which they contribute financially;

- The main partner and its associated partners shall agree upon appropriate arrangements between themselves for the proper performance of the action. The partners are encouraged to conclude an internal co-operation agreement regarding their internal operation and co-ordination. The co-operation agreement shall include all aspects necessary for the management of the partners and the implementation of the action;

- The associated partners shall forward to the main beneficiary the data needed to draw up the reports, financial statements and other documents provided for in the grant agreement including its annexes;

- The associated partners shall ensure that all information to be provided to the EAHC is sent via the main partner, except where the grant agreement specifically stipulates otherwise;

- The associated partners shall inform the main partner immediately of any event liable to substantially affect or delay the implementation of the action of which they are aware;

- The associated partners shall inform the main partner of transfers between items of eligible costs, as provided in Article I.4.4 of the grant agreement;

- The associated partners shall provide the main partner with all the necessary documents in the event of audits, checks or evaluations, as described in Articles II.6 and II.20 of the grant agreement.

1.4.3. Subcontractor(s)

- The partners are expected to have the resources necessary to carry out the work required by the Joint Action. Nevertheless, in certain circumstances subcontracting some aspects of the work may be more cost effective or efficient. Please refer to Chapter 2, paragraph 16.2.5, for more details about the procedure;

- Subcontractors may under no circumstances be taken for associated partners;

- Subcontractors are service providers to a partner who fully funds (100 %) their activity;

- Their cost shall be borne by the main partner and/or the associated partners;

- Subcontractors shall not contribute financially to the Joint Action;

- Subcontractors have no access or rights to the results of the action.

1.4.4. Collaborating partner(s)

- In the application form you can list up to 15 **collaborating partners** participating in your Joint Action. Note that it is not mandatory to involve collaborating partners;

- The collaborating partners may significantly increase the technical and scientific content of the Joint Action, as well as its relevance for different users in the Union.

- The collaborating partners have no contractual relationship with the EAHC, nor do they receive any EU funding;

<u>Table 2:</u> Possible roles of the different participants involved in a Joint Action

	Joint Action coordination	Joint Action core participation	Eligible costs to be borne by the Joint Action	Financial contribution to the Joint Action	Contractual relationship with the EAHC
Main partner	Yes	Yes	Yes	Yes	Yes
Associated partner	No	Yes	Yes	Yes	Yes
Subcontractor	No	No	Yes, invoiced to the main and/or associated partner(s)	No	No
Collaborating partner	No	No	No	Yes (indirectly, covering own cost)	No

1.5. Number of participants of the proposal

Proposals should provide a genuine European dimension in order to make sense both technically and politically. As a general rule, this means that they should involve at least two mutually independent legal entities (one main partner and one associated partner) established in two different countries that participate in the programme. However, there is no minimum number of associated partners.

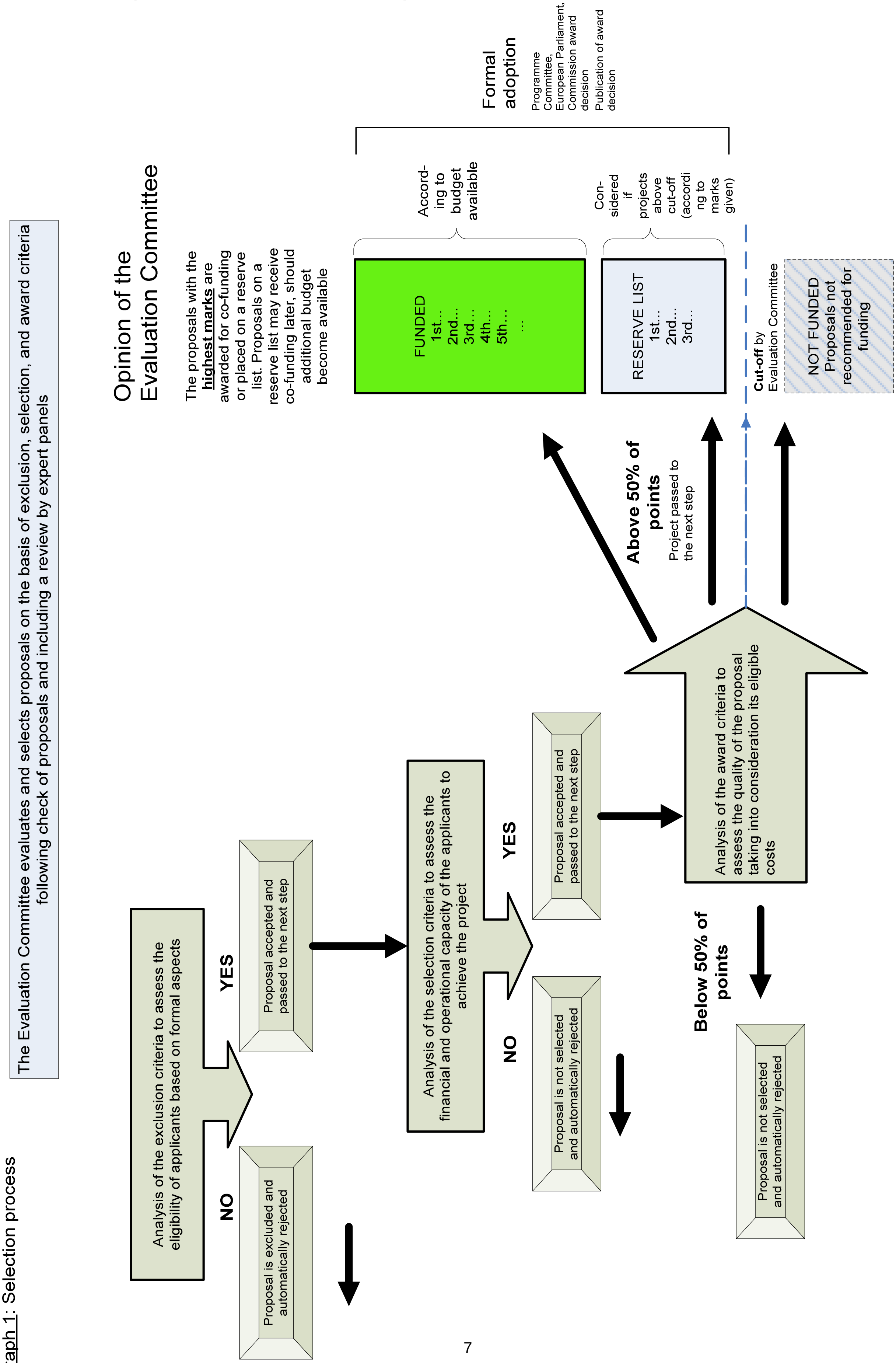
On the other hand, the management of Joint Actions with a very large number of associated partners has proven to be administratively difficult. It is thus strongly recommended not too include too many associated partners in the Joint Action.

There is no specific requirement as regards the number of collaborating partners (see paragraph 1.4.4 above).

2. SELECTION AND EVALUATION OF THE PROPOSAL

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

2.1. Diagram of the of the awarding authority's Joint Action selection process



Graph 1: Selection process

2.2. Evaluation criteria

2.2.1. General principles

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

Proposals must comply with the following principles:

- Co-financing rule: you need to have **your own financial resources** or financial resources of third parties to contribute to the costs of the Joint Action
- 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 Joint Action before starting date** stipulated in the grant agreement;
- Non-cumulative rule: each action may give rise to the award of **only one grant** to any one beneficiary (you can't get paid twice for the same cost);

2.2.2. Eligibility

As mentioned above, 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.**

Moreover, 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 adequate image,
– which have provided 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 of the Work plan 2011.

Legal and financial independence, transparency

This is applicable only for non-governmental organisations participating in a Joint Action.

To be eligible for participating in the joint action, an NGO has to be legally independent from other entities representing industry, commercial and business or other conflicting interests.

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

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

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

Assessment of legal and financial independence, transparency

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

At the time of submitting applications, the partners which are non-governmental organisations must submit the unilateral commitment form. The financial independence will be assessed based on the financial information for the financial year for which the grant is awarded at the time of the final report. This information will have to be provided in accordance with the provisions in Annex VI of the Work Plan 2011.

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

NEW!!

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

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

2.2.3. Exclusion criteria

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

The exclusion criteria related to the 2011 Call for proposals for Joint Actions are described in Annex IV of the Work Plan 2011, *"Criteria for financial contributions to joint actions under the second community programme in the field of health (2008-2013)"* By signing the Declaration of honour Applicants must ensure that they are not in any of the situations of exclusion listed in Articles 93 and 94 of the Financial Regulation. If one or more of these criteria are not fulfilled, the proposal will be excluded.

2.2.4. Selection criteria

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

The selection criteria applicable to the call for proposals for Joint Actions are described in Annex IV of the Work plan 2011 cited above. Some practical modalities directly linked to these selection criteria are explained in the Call for proposals for Joint Action. If one of these criteria is not fulfilled, the proposal will **be rejected i.e. not submitted to evaluation of the award criteria.**

2.2.5. Award criteria

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

A. Policy and contextual relevance of the Joint Action (40 points, threshold: 20 points)

(a) Joint action's contribution to meeting the objectives and priorities of the second Health Programme, as defined in the Work Plan for 2011 (8 points);

> The proposal must be compatible with the Second Health programme and the annual work plan. A proposal must clearly cover one or several priority topics of the annual work plan. However, a proposal could partly address one or several annual work plan priorities.

(b) Strategic relevance in terms of relevance to the EU Health Strategy[7] and in terms of expected contribution to the existing knowledge and implications for health (8 points);

> The strategic relevance of a proposal depends on the way the Joint Action brings added value to the existing public health knowledge allowing the practical use of that knowledge on the field. It is also expected to contribute and to add value to EU policies formulated or in the process of being so. A Joint Action is also expected to have a positive implication for the health of the citizens.

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

Moreover, a Joint Action has to demonstrate that the reproducibility and transferability of the actions have been planned, so to cover the whole concerned population in the future and address sustainability beyond the funding time.

(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, complementarities, synergy and compatibility with EU relevant policies and other programmes.

Joint Actions funded within the EU Second Health programme are expected to contribute to solving problems at the European level, and the expected impact of co-ordinating the work at European level should be greater than the sum of the impacts of national activities. The Joint Action should contribute to the implementation or evolution of one or more EU policies (including the "horizontal" policies and taking into account that many policies are evolving), or address problems connected with the standardisation, regulation or co-ordination of practices across Member States. The Joint Actions should not simply duplicate actions that can be taken at Member State level but rather enable to address problems that would otherwise not be sufficiently addressed by the Member States.

(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.

As public health practices and policies differ considerably between EU Member States, Joint Actions 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 Joint Action depending on the scope, objectives and target group of the Joint Action.

(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.

The Joint Action should demonstrate its compatibility with the culture, knowledge, views, customs and roles of the target group, and with the local policy context in which it will be implemented. This compatibility should take account of the information deriving from the context analysis identifying the trends, opportunities and threats in the broader social and policy context.

B. 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.

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

(b) Content specification (6 points)

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

A general objective is a general indication of the Joint Action's contribution to society in terms of its longer-term benefits (e.g., contribute to the reduction of cancer mortality; reduce social inequality in population's health). The general objective has to correlate with the different specific objectives.
The specific objectives are concrete statements describing what the Joint Action is trying to achieve in order to reach its general objective. They should be matched to the problem determinants identified in the problem analysis, and should be written at a level which allows them to be evaluated at the conclusion of the Joint Action. They should also be specific, measurable, acceptable for the target group, realistic, and time-bound (containing an indication of the time within which it must be reached). Objectives can be hierarchically and temporally structured, so that the achievement of some objectives is a precondition for another.
Target groups are persons or entities who will be positively affected by the Joint Action. A proper target group specification provides a clear definition including information about the demographic characteristics, the needs and social norms with regard to the health problem(s) of interest, the size (i.e., the numbers that will be reached by the Joint Action), and the method to reach these people. For certain types of interventions it is also useful to segment the target group into subgroups based on relevant characteristics.
The methods should be explicitly linked to the objectives, in the sense that for each objective at least one intervention method is specified.
The Joint Action specification includes a description of the anticipated outcomes and deliverables. Joint Action outcomes are the changes that are expected to occur as a result of the Joint Action when the objectives are reached. They can be distinguished from a specific type of output, the deliverables. A deliverable is a physical output related to a specific objective of the Joint Action, e.g. a report, publication, newsletter, tool, website, or conferences. Each deliverable must be assessable by the stakeholders and the EAHC.

(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.

Joint Actions funded within the Second Health Programme should not duplicate existing initiatives, but provide an added value. The innovative nature of a Joint Action can be documented using an analysis of the state of the art, in order to demonstrate that a Joint Action adds to what is already available, addresses the existing shortcoming and represents an improvement in comparison with the current situation.

While providing innovation, Joint Actions funded within the Second Health programme must also be sufficiently compatible with existing actions.

In this context, participation in networks and coordination meetings between different health programme portfolio Joint Action and other projects is important.

(d) Evaluation strategy (6 points);

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

This concerns the Joint Action own internal evaluation, a systematic appraisal of the quality of the Joint Action (e.g., whether the Joint Action outcomes are useful and meet the user needs), and its effects (e.g., whether the Joint Action achieved its objectives and had an impact on the target group). The evaluation methodology should be adequate (formulation of specific evaluation questions and for each evaluation question, methods to collect data), inferred from an evaluation plan, specifying purpose, questions, design, method, measurement instruments, and the task, responsibilities and timing of the evaluation and based on indicators which are variables measuring the performance of a Joint Action and the level to which the set objectives are reached. For each objective, at least one indicator should be formulated. If possible, the indicators should also specify target values.

(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.

Dissemination refers to the process of making the results and deliverables of the Joint Action available to the stakeholders and a wider audience. The dissemination could be based on the results of a stakeholder analysis. A dissemination plan should be elaborated, explaining how the Joint Action plans to share outcomes with stakeholders, relevant institutions, organizations, and individuals. Specifically, the dissemination plan should illustrate what will be disseminated (key message), to whom (audience), why (purpose), how (method), and when (timing). Although a Joint Action is by definition limited in time, the purpose is to make the results and outcomes sustainable. The dissemination strategy should therefore pay attention to the transfer of knowledge and to the processes needed for embedding and future take-up.

C. Management quality of the Joint Action and budget (30 points, threshold: 15 points)

<u>(a) Planning and organisation of the Joint Action (5 points);</u>

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

To achieve its objectives and bring about the intended changes, a Joint Action foresees a number of activities. These actions need to be described to serve as a guideline for the Joint Action implementation. All activities must be presented in a realistic timetable, taking into account the fact that some activities must be completed before others may start. The timetable must specify clear milestones. A milestone is a scheduled event signifying an important decision making moment or the completion of a deliverable, thus allowing a proper monitoring of the Joint Action. The time to complete the tasks and objectives of the Joint Action and each of the work packages 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 Joint Action, e.g. a report, publication, newsletter, tool, website, or conferences. Each deliverable must be assessable by the stakeholders and the EAHC. The nature and distribution of tasks have to be described and the tasks have to be grouped in work packages. A work package contains a set of coherent tasks grouped together in order to facilitate the Joint Action management. Each core work package is linked with one or several specific objectives and produce one or several deliverables. It is not possible to find the same specific objective or the same deliverable in several work packages Even in the best-planned Joint Actions there are uncertainties, and unexpected events can occur. A risk analysis at the start of the Joint Action will help to predict the risks that could prevent the Joint Action 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 Joint Action, and what can be done about it.

<u>(b) Organisational capacity (5 points);</u>

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

The capacity of the partner to realise the work in relation to the specific objectives has to be demonstrated. On the organisational level, there should be a clear division of responsibilities and tasks between the Joint Action manager and other decision makers. On the personal level, the Joint Action manager must have the necessary skills, expertise and authority to lead a team and to achieve the Joint Action objectives. He or she should also be capable of using the resources in a flexible way. A very short CV of the key staff members has to be presented, illustrating their competence, expertise, leadership quality and authority required by the Joint Action tasks. The CV will illustrate the good reputation, experience, specific knowledge and skills (job history, functional areas of work and competence, scientific papers, Joint Action achievement…) of the staff. The management of a public health Joint Action implies the coordination of several partners located in different countries. It is thus important to have a good communication plan in place, which details how information will be communicated between the Joint Action partners, how decisions will be taken, by whom, and what the procedure will be in case of conflict

The management of a Joint Action requires the systematic monitoring of the Joint Action activities to check whether the activities are implemented according to plan, whether results and deliverables are attained at the milestones, if there are obstacles or difficulties which may prevent the Joint Action from delivering, and to assure the overall quality of the Joint Action implementation. Coordination meetings, including a kick-off meeting, must be planned for. These coordination meetings should, as a rule, take place in the premises of the EAHC in Luxembourg.

(c) Quality of partnership (5 points);

- Applicants must 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.

All proposals should be built on a sound partnership. The quality of the partnership would rest on its extensiveness (stakeholders' identification after having thorough fully understood the Joint Action topic determinants), on the share of common goals and objectives, on the synergy (added value) and commitment (interest of the various partners to be involved in the Joint Action) and on a solid network structure. This point could refer to the internal network logic which explains why certain partners are involved and not others. For example, the network's rationale could be based on previous links, or built after a search of adequate partners in the geographical area of interest. Roles of the different partners need to be well understandable. Of special relevance are public–private partnerships where the different roles should be made clear as well as the overall rationale.

(d) Communication strategy (5 points);

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

External communication:
A written communication plan for the dissemination strategy should become available, with a clear identification of objectives, target groups and adequacy of the communication channels. All persons potentially interested in the Joint Action's results (stakeholders) must have a chance to be informed.

Internal communication:
The management of a public health Joint Action implies the coordination of several partners located in different countries. It is thus important to have a good communication plan detailing how information will be communicated between the Joint Action partners, how decisions will be taken, by whom, and which procedure will be used in case of conflict.

(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 describe the financial circuits, responsibilities, reporting procedures and controls.

The overall budget should be balanced and respecting accountancy rules. The overall budget should be coherent with the objectives of the Joint Action and well distributed among partners, taking into account the respective roles and providing for the necessary coordination meetings to be held. The kick-off meeting should be held in the EAHC's premises in Luxembourg. A promotional leaflet and other dissemination activities (press release) also need to be budgeted for.
The budget assigned to each Work Package and the costs per expenses category should be reasonable. It should be possible to link all expenses to a specific activity described in the technical annex.

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

Maximum total score is 100, the minimum (i.e. the threshold) is 50 points. Weightings of each block of criteria as a total are the following:

	Maximum	**Minimum**
1. Policy and contextual relevance of the Joint Action	**40**	**20**
2. Technical quality of the Joint Action	**30**	**15**
3. Management quality of the Joint Action and budget	**30**	**15***
SUM	**100**	**50**

*of which at least 5 points from the "overall and detailed budget, including financial management" criterion.

Weightings of each criterion are indicated above in the criteria list.

Thresholds have also been set for each block of criteria and for two specific criteria (overall and detailed budget, financial management), so that any Joint Action failing to achieve the threshold marks will be rejected.

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 or placed on a reserve list.

For more information you can refer to:

- Article 177 of the Implementing Rules of the Financial Regulation
- Annex IV of the Work Plan 2011
- Annex VI of the Work Plan 2011
- Paragraph IV of the 2011 Call for proposals for joint actions

2.3. Steps following the selection and evaluation procedure

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

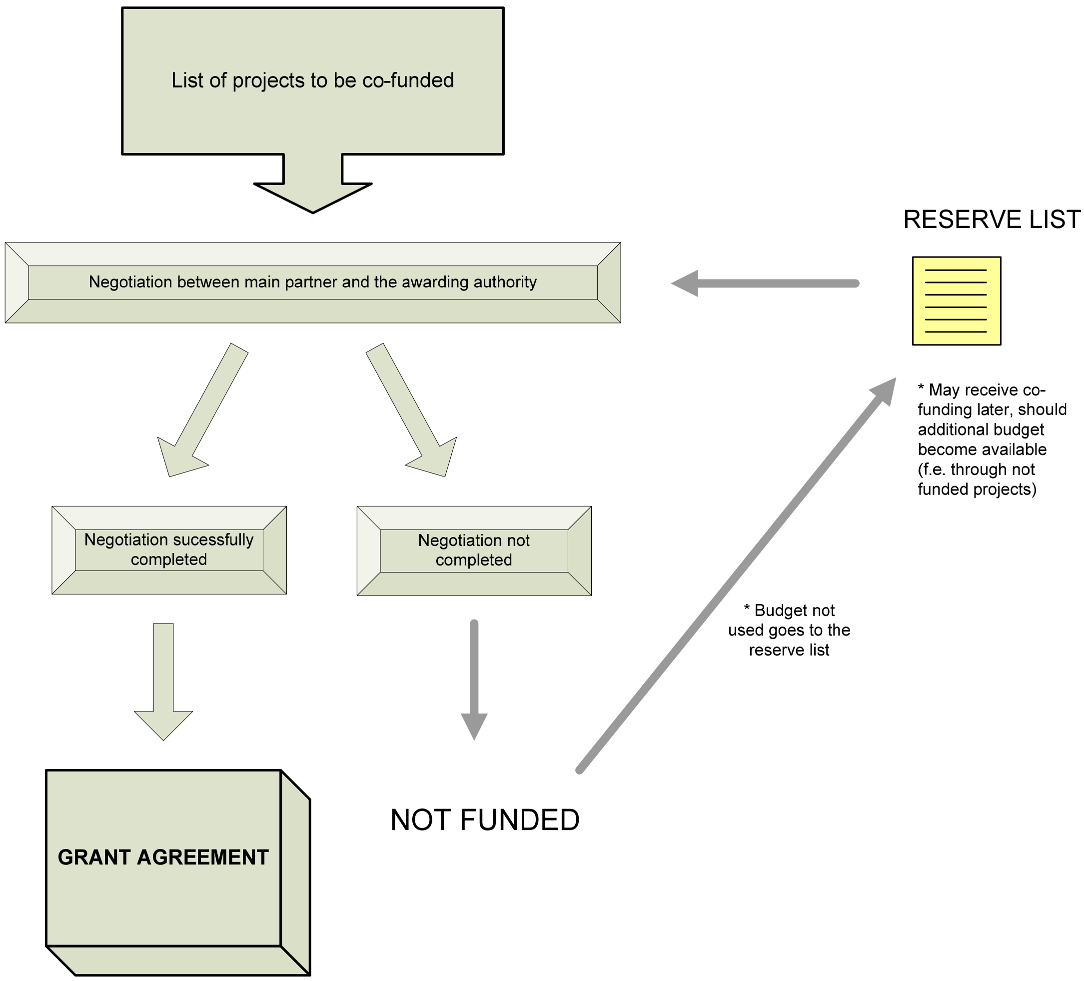
2.3.1. *Process following recommendation for funding*

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

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

Applicants should also note that the EAHC may offer successful applicants a lower contribution than the amount requested, or may attach specific conditions to the award of financing.

Graph 2: Process following reommendation for funding



2.3.2. *Financial viability*

In addition, during the negotiation procedure, further administrative and financial information might be requested by the awarding authority to assess the viability of the proposed Joint Action. The participants have to demonstrate that they have all the human, financial and technical resources required for carrying out the Joint Action.

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 Joint Action.

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

Only after a successful completion of the negotiation procedure, the awarding authority will offer a grant agreement upon signature of which the Joint Action can begin.

3. IT ASPECTS RELATED TO THE APPLICATION FORM

The application form is only available as an Adobe file.

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

3.1. Installing and updating Acrobat Reader

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

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

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

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

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

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

3.2. Required Configuration to install Adobe Reader 8.1.3.

3.2.1. Windows Operating Systems

- Windows XP Professional, Home Edition, or Tablet PC Edition with Service Pack 2 or 3; Microsoft® Windows® 2000 with Service Pack 4; Windows 2003; Windows Vista™; Windows 7
- Intel® 1,3GHz or equivalent processor
- 512MB of RAM (1024MB or more recommended)

- 170MB of available hard-disk space
- Microsoft Internet Explorer 7.0 or higher, Firefox 1.5 or higher

3.2.2. Macintosh Operating Systems

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

3.3. Fields of the application form

The general characteristics of the fields are shown below:

a) Fields to be completed

Mandatory zones in red with an asterisk

Grey zones to be filled in when applicable

Blank fields for proposal content

Dropdown lists

b) Automatically completed fields

Striped bright red zones

Striped in bright grey zones

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

3.4. Saving the application form

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

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

3.5. Validating and locking the application form

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

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

4. PROTECTION OF PERSONAL DATA

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

5. SUBMITTING THE APPLICATION FORM

5.1. What is required to submit the proposal?

5.1.1. Packaging and delivery and content

The proposal must be sent **in one single batch** by postal mail, hand delivery or private courier service. Refer to paragraph VI. of the Call for proposals for Joint Actions 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 proposal for Joint Actions 2011:

European Commission
CALL FOR PROPOSALS "HEALTH-2011"

JOINT ACTIONS
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 declarations of honour. These need to be signed by the main partner and all associated partners. **The main partner has to submit the original Declaration of honour as part of the application package. Fax or scanned copies are acceptable for the declarations of honour from the associated partners if included in the application package. If the proposal is selected for funding, the original Declaration of Honour will be requested, if this is not provided at the time of submission.**

5.1.3. Submission deadline

The deadline for submitting proposals is specified in the Call for proposals for Joint Actions: **27 May 2011**. Proposals can be submitted in any way described in paragraph VI of the Call for proposals for Joint Actions.

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

5.1.4. Acknowledgement of receipt

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

Applicants who have not received an acknowledgement of receipt by 17 June 2011 should contact the EAHC Helpdesk via EAHC-PHP-CALLS@ec.europa.eu.

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

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

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

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

5.2. Additional recommendations

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[8] and other relevant international guidelines.

Eligible partners: First check that you and your partners are eligible for participation (for example: your organisation must have a registered legal existence, minimum consortium requirements, etc.).

Grant agreement: Check that the model grant agreement conditions are acceptable for your organisations, as main and/or associated partner. 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 Joint Action.

Partnership: Partners should discuss and agree their respective roles and responsibilities before submitting a proposal. The team should aim at a reasonable distribution of resources and tasks between partners and countries. The number of partners should be kept at a manageable level.

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.

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

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.

CHAPTER 2:
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 Joint Actions;

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, Joint Action 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, if the proposal will be presented in another language than English, applicants should submit their applications both in hard copy (i.e. paper) and in electronic format in their own language and in English.

6.3. Other issues

The application form has to be filled in by the main partner, in close cooperation with the associated partners.

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 in table 4.

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

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:

1. phone: +352 4301-37707;
2. e-mail : EAHC-PHP-CALLS@ec.europa.eu;
3. 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

There is no doubt that a form will be better completed if the applicant clearly understands the rationale on which it is based. The structure of the application has been substantially revised to better follow a Joint Action description.

The rationale of the structure rests upon the fact that a Joint Action has to follow a logical way. First, a problem analysis has to be provided, followed by the general objectives of the Joint Action. This will then be translated into specific objectives. Following that, indicators, target groups, the methods and means as well as the excepted outcomes of the Joint Action need to be described and the deliverables defined. Corresponding with one or several specific objectives, different tasks are regrouped in a coherent set, which is called a "work package". Then, each work package will lead to one or several deliverables. If this structure is clear before starting to write the proposal, it will be very easy to "declare" at the beginning of the application form the specific objectives, the deliverables and also the list of work packages.

The application form is to be downloaded from the website http://ec.europa.eu/eahc.

In the application form information on administrative aspects of the main and associated partners as well as technical and financial information of the Joint Action has to be provided. The main sections are listed below:

- 1 – Partners Information
- 2 – Specification of the Joint Action
- 3 – Technical aspects of the Joint Action
- 4 – Policy and context relevance
- 5 – Management of the Joint Action
- 6 – Description of the work packages
- 7 – Financial management
- 8 – Participation in European Union funded projects
- 9 – Financial viability information
- Overview of the Joint Action and executive summary
- Declarations of honour (main and associated partners)

The main partner is required to gather and send to the EAHC all required information.

Please be reminded of the importance of the executive summary:

The executive summary is a very important part of the application form. It will be communicated to the Programme Committee members. It should indicate in a brief and synthetic way what the partners of the Joint Action intend to do and why the Joint Action is important for the stakeholders. An executive summary should usually include 4 parts:

- the **general objective** of the Joint Action, stating shortly the main activities to be undertaken,
- the **strategic relevance and contribution to the second Health Programme**, giving the rationale of the Joint Action in terms of added value,
- the **main methods and means** that will be used to reach the general objective, , and
- the **expected outcome**, which is the change expected at the end of the Joint Action to be undertaken.

This summary will automatically be posted at the beginning of the application form (in the overview) but is better written after having addressed all the topics. That is the reason why it should be written at the very end of the application process.

8. "INTRINSICALLY LINKED" FORM SECTIONS

Several sections of this form are linked, thus information you enter in one section will be copied automatically into another as to avoid re-entering it. This concerns the following sections of the form:

- 1Partners information → 6.2.1 and 6.3.1. Specifications (of the work packages):

For the field "Work package leader number", a dropdown list enables you to select the relevant partner (select "0" if the main partner leads)

The field "Work package leader" automatically displays the acronym of the selected partner.

- 1Partners information → 7 Financial management data:

  For each partner (main and associated), a line is automatically created in all subsections of 7.1 and 7.2, with the partner's acronym displayed. For each partner data can thus be entered for the various categories of costs and expenditure.

- 1 Partners information → declarations of honour

  For each partner a declaration of honour is automatically generated. However, these are hidden in the form. They only become visible once you press the "print the declaration of honour" button.

- 1 Partners information → unilateral commitment form

  It is automatically created for all associated partners which are non-governmental organizations, once the partner information is provided. It should be handed to the associated partners in question together with the declaration of honour.

- 3.3 Specific objective(s) → 6.3. Specific objective(s) linked to the core work packages

  For each work package, a dropdown list allows you to indicate the specific objective this work package is meant to achieve. You can relate each work package to a maximum of 3 different specific objectives.

  The title of the specific objective is automatically displayed next to its number.

- 3.8 Deliverable(s) → 6.2. and 6.3. Deliverable(s) of the horizontal and core work packages

  For each work package, a dropdown list allows you to indicate the deliverable this work package is meant to produce. You can link your work package to a maximum of 4 different deliverables.

  The title of the deliverable is automatically displayed next to its number.

- 3.8 Deliverables and 6.1, 6.2 and 6.3 Work package → 6.4 time table

The timetable is completed, based on information you provide under section 3.8 Deliverables (including month of delivery) the sections 6.1, 6.2 and 6.3 (starting and ending date of each work package and milestones (including month of achievement). Once all this information is entered, click the button "prepare timetable" and the table will be filled. "M" stands for milestone and "D" for deliverable. An "X" will appear in each box of the month where a work package takes place.

Note that before filling sections 6 (Description of the work packages) and 7 (Financial management data), sections 1 (Partners information) and 2 (Specification of the Joint Action) will have to be completed.

The same applies, mutatis mutandis, to section 6.2 "Core work package".

9. FORM SECTION "1 - PARTNERS INFORMATION"

9.1. Main partner

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

Field	*Comment*	*M / NM*	*Maximum number of characters*
1.1.1.Main partner information	*Organisation legal name*: 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
	Acronym: acronym of your organisation (if no existing acronym, you have to create one).	M	20
	Department name: Name of the unit (department or institute) in the organisation, which will be carrying out the work and where the contact person is working.	NM	100
	Organisation status: Select from the drop-down list the status.	M	Drop-down list
	Type of organisation: Select from the drop-down list the type of your organisation (Academic organisation – Governmental organisation – – Non-governmental organisation).	M	Drop-down list
	Iban code: the IBAN, i.e .the International Bank Account Number is a standardized way to write bank account numbers	NM	50
	VAT number: Value Added Tax number of the organization	NM	36
	Legal registration number: 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
	Number of employees: Enter the number of employees of your organization.	NM	number
1.1.2.	*Street Name & No*: official location of the organisation.	M	186
Main partner	*Post code*: enter the numerical (alphanumeric for the	M	18

address	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.		
	City: please type the name of the city	M	42
	Country: select from the drop-down list	M	Drop-down list
	Telephone: please encode country and area code.	M	50
	Fax number: please encode country and area code.	NM	50
1.1.3 Contact person for the Joint Action (Joint Action leader)	*Joint Action leader:* the person who manages the entire Joint Action in the main partner organization.	-	-
	Title	NM	10
	Function	M	30
	Gender	NM	Drop-down list
	Family Name	M	100
	First Name	M	100
	Telephone: please encode country and area code.	M	50
	Fax: please encode country and area code.	NM	50
	Email: This electronic mail will be used further on for any correspondence.	M	255
1.1.4. Legal representative	*Legal representative: Person empowered to sign the grant agreement:* person who is a legal representative of the organisation and is empowered to sign grant agreements. The other subfields are identical to those in 1.1.3	M	–
1.1.5	*Profiles: Main partner institution, description of competence, experience, leadership and authority in the Joint Action area* The capacity of the partner to realise the work in relation to the specific 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 Joint Action manager and other decision makers. On the personal level, the Joint Action manager must have the necessary skills, expertise and authority to lead a team and to achieve the Joint Action objectives. He or she should also be capable of using the resources in a flexible way.	M	1500

	<u>Key staff of the main partner – names, description of competence (leadership and authority) and experience in the Joint Action area.</u> A very short CV of the key staff members has to be presented, illustrating their competence, expertise, leadership quality and authority required by the Joint Action tasks. The CV will illustrate the good reputation, experience, specific knowledge and skills (job history, functional areas of work and competence, scientific papers, Joint Action achievement…) of the staff.	M	2500

9.2. Associated partners

By default, the form has space for one associated partner. Using the "add associated partner" button you can add up to **40 associated partners**.

Deleting an associated partner is an operation that particularly burdens the system. In order to avoid possible inconveniences, two special buttons, called "delete this associated partner" and "clear this associated partner" are provided in section 1.2.

When you press the "delete associate partner" button, this page with all the information on the associated partner will be deleted.

When you press the "clear associated partner" button, the fields related to this partner are cleared. You can then use this page to enter information relating to a new associated partner replacing the original one.

For entering the information about the associated partner (section 1.2.1 to 1.2.3), please refer to the above explanation about the "main partner", with the exception that associated partners are not required to enter the following information:

- Contact person for the Joint Action;

- associated partners' competence in leadership and authority.

1.2.4	*Profiles: Partner institution, description of competence, experience in the Joint Action area* The capacity of the partners to realise the work in relation to the specific objectives has to be demonstrated. *Key staff of the partner – names, description of competence and experience in the Joint Action area.* A very short CV of the key staff members has to be presented, illustrating their competence and expertise required by the Joint Action tasks. The CV will illustrate the good reputation, experience, specific knowledge and skills (job history, functional areas of work and competence, scientific papers, Joint Action achievement…) of the staff.	M M	500 1500

9.3. Collaborating partners

1.3	*Institution:* state the complete legal name of the institution, in national language.	NM	100
	Contact person (first name and last name)	NM	50
	Address (city and country)	NM	50

10. FORM SECTION "2 – SPECIFICATION OF THE JOINT ACTION"

All the elements in this section are mandatory.

Field	*Comment*	*Maximum number of characters*
2.1. Key specification	*Proposal full title*	130
	Proposal acronym: 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.	20
	Estimated starting date: Note that actions which have already commenced by the date on which the grant application is registered will be excluded from participation in the |Health Programme. Use the calendar or respect the date format: yyyy-mm-dd (d for date, m for month, y for year).	-
	Duration: The duration of joint actions to be co-funded should normally not exceed three years.	Drop-down list
2.2. Topic	Please choose the topic to which the joint action relates to. Please note that only one topic per proposal is allowed.	Check the appropriate box
2.3 Executive Summary	The executive summary should include the general objective of the Joint Action, the strategic relevance and its contribution to the second Health Programme, methods and means and the expected outcome. You may wish to write the executive summary last.	4000

11. FORM SECTION "3 - TECHNICAL ASPECTS OF THE JOINT ACTION"

<u>All the elements in this section are mandatory.</u>

3.1 Problem analysis including evidence base	The relevant evidence on which the Joint Action bases itself has to be produced. It may concern the analysis of the health problem and its impact on quality of life and on society (incidence, prevalence, distribution in the population, evolution over time, seriousness…), the analysis of the factors underlying the problem (factors regarding human biology, quality of health care, lifestyle, physical and social environment, risk factors, protective factors…), the effectiveness of the proposed measures, or the applicability in the proposed context. This context analysis should look at elements in the environment which may facilitate or hinder the Joint Action implementation process.	2000
3.2 General objective of the Joint Action	Describe the general objectives and the strategic objectives of the proposal A general objective is a general indication of the Joint Action's contribution to society in terms of its longer-term benefits (e.g., contribute to the reduction of cancer mortality; reduce social inequality in population's health). The general objective has to correlate with the different specific objectives.	2000
3.3 Specific objective(s) of the Joint Action	*<u>Maximum 6 specific objectives!</u>* The specific objectives are concrete statements describing what the Joint Action is trying to achieve in order to reach its general objective. They should be matched to the problem determinants identified in the problem analysis, and should be written at a level which allows them to be evaluated at the conclusion of the Joint Action. They should also be **specific, measurable, acceptable for the target group, realistic, and time-bound** (containing an indication of the time within which it must be reached). Objectives can be hierarchically and temporally structured, so that the achievement of some objectives is a precondition for another.	
	<u>Title:</u> of the specific objective	250
	<u>Description:</u> of the specific objective	450
3.4 Indicators	The evaluation of the Joint Action is based on indicators. These are variables measuring the performance of a Joint Action and the level to which the set objectives are reached. This is why the indicators should be directly linked to the specific objectives formulated previously. For each objective, at least one indicator should be formulated. If possible, the indicators should also specify target values. The indicators should be separated in to process and outcome indicators.	300

3.5 Target groups	Target groups are persons or entities who will be positively affected by the Joint Action. A proper target group specification provides a clear definition including information about the demographic characteristics, the needs and social norms with regard to the health problem(s) of interest, the size (i.e., the numbers that will be reached by the Joint Action), and the method to reach these people. For certain types of interventions it is also useful to segment the target group into subgroups based on relevant characteristics.	1500
3.6 Methods and means	To achieve its objectives and bring about the intended changes, a Joint Action foresees a number of activities. These actions need to be described to serve as a guideline for the Joint Action implementation. The methods and means (something of important value to achieve a goal) should be explicitly linked to the specific objectives, in the sense that for each objective at least one intervention method is specified.	3000
3.7 Expected outcomes	Joint Action outcomes are the changes that are expected to occur as a result of the Joint Action when the objectives are reached. They can be distinguished from a specific type of output, the deliverables.	3000
3.8 Deliverables	A deliverable is a physical output related to a specific objective of the Joint Action, e.g. a report, publication, newsletter, tool, website, or conferences. Each deliverable must be assessable by the stakeholders and by the EAHC. Reports stipulated in the grant agreement template are mandatory deliverables (interim and final technical and financial reports). The minimum number of deliverables is 1 (e.g. the final report) and the maximum number is 10. The table does not allow entering several months of delivery for repetitive deliverables such as a quarterly newsletter of the Joint Action. If you plan for a deliverable to be produced more than once, please specify this in the title (e.g. quarterly newsletter) and/or the description (e.g. newsletter to be published in M3, M6, M9 and M12) and indicate the final month of production (e.g. M12 in a Joint Action lasting 12 months) in the box "month of delivery".	
	Title:	120
	Description:	250
	Confidentiality level: please choose from the list if the deliverable is public or confidential.	Drop-down list
	Date of delivery or achievement: “M” corresponds to the month during which the deliverable should be provided.	Drop-down list

	For example, if your Joint Action lasts 24 months and if one deliverable is a promotional leaflet describing the Joint Action activities, this should be ready no later than the third month of the Joint Action, thus the delivery date for this deliverable is M3.	

12. FORM SECTION "4 - POLICY AND CONTEXT RELEVANCE"

<u>All the elements in this section are mandatory</u>

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

Field	*Comment*	*Max Nr of characters*
4.1 Adequacy of the Joint Action with social, cultural, policy context	The Joint Action should demonstrate its compatibility with the culture, knowledge, views, customs and roles of the target group, and with the local policy context in which it will be implemented. This compatibility should take account of the information deriving from the context analysis identifying the trends, opportunities and threats in the broader social and policy context. Also, every Joint Action proposal will have to apply to general principles of ethics and has to be drafted respecting the human rights, dignity and the fundamental freedoms as laid down in the EU Charter of Fundamental Rights[9].	2000
4.1. Contribution to the second health programme and the annual work plan	The proposal must be compatible with the second Health Programme and the annual Work Plan. A proposal must clearly cover one or several priority topics of the annual Work Plan. However, a proposal could partly address one or several annual Work Plan priorities.	2000
4.3. Pertinence of the geographical coverage (in relation to the scope)	As public health practices and policies differ considerably between EU Member States, Joint Actions funded within the Health Programme should take account of this geographical, cultural and social diversity. A sufficient – though not excessive - number of organisations from different EU Member States and candidate countries should be involved in the Joint Action depending on the scope, objectives and target group of the Joint Action.	2000
4.2 Strategic relevance, EU added value and innovation	*Strategic relevance* The strategic relevance of a proposal depends on the way the Joint Action brings added value to the existing public health knowledge allowing the practical use of that knowledge on the	2500

[9] http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:C:2010:083:0389:0403:EN:PDF

	field. It is also expected to contribute and to add value to EU policies formulated or in the process of being so. A Joint Action is also expected to have a positive implication for the health of the citizens. Moreover, a Joint Action has to demonstrate that the reproducibility and transferability of the actions has been planned, so to cover the whole concerned population in the future. Sustainability of the activities should also be covered in the proposal. *EU added value* Joint Actions funded within the second Health Programme are expected to contribute to solving problems at the European level, and the expected impact of co-ordinating the work at European level should be greater than the sum of the impacts of national activities. The Joint Action should contribute to the implementation or evolution of one or more EU policies (including the "horizontal" policies), or address problems connected with the standardisation, regulation or co-ordination of practices across Member States. The Joint Actions should not simply duplicate actions that can be taken at Member State level but rather enable to address problems that would otherwise not be sufficiently addressed by the Member States. *Innovative aspects* Joint Actions funded within the second Health Programme should not duplicate existing initiatives, but provide an added value at EU level. The innovative nature of a Joint Action can be documented using an analysis of the state of the art, in order to demonstrate that a Joint Action adds to what is already available, addresses the existing shortcoming and represents an improvement in comparison with the current situation. While providing innovation, Joint Actions funded within the second Health programme must also be sufficiently compatible with existing actions. In this context, participation in networks and coordination meetings between different Health Programme portfolio Joint Actions and projects is important.	

13. FORM SECTION "5 - MANAGEMENT OF THE JOINT ACTION"

<u>All the elements in this section are mandatory.</u>

Field	*Comment*	*Max Nr of characters*
5.1. Quality of the partnership	All proposals should be built on a good partnership. The quality of the partnership would rest on its extensiveness (stakeholders' identification after having thorough fully understood the Joint Action topic determinants), on the share of common goals and objectives, on the synergy (added value) and commitment (interest of the various partners to be involved	2000

	in the Joint Action) and on a good network structure. This point also refers to the internal network logic which explains why certain partners are involved and not others. For example, the network could be based on previous links, or built after a search of adequate partners in the geographical area of interest. Also it is important to present the communications tools used to circulate information within the network and how decisions will be taken, by whom, and which procedure will be used in case of conflict. The set-up of the partnership and the responsibilities of each partner can also relate to a budgetary issue, namely, that if the partnership is well balanced, it would be acceptable to have different own contribution percentages among partners.	
5.2. Management capacity, including financial circuits	The management capacity of the main partner and the overall consortium should be described. This includes coordination meetings, including a kick-off meeting. The kick-off meetings should, take place in the premises of the EAHC in Luxembourg. Further, the ability to build and monitor a budget has to be clearly demonstrated as well as the tools used for that purpose. The important amount of money involved the distribution of the income among partners - often very distant from each other -, in function of the work achieved, rest on a strong financial capacity. This capacity has to be demonstrated with all relevant elements such as competency of the financial officers, tools used to monitor the Joint Action, procedures used.	2000
5.3 External and internal risk analysis and contingency planning	Even in the best-planned Joint Actions there are uncertainties, and unexpected events can occur. A risk analysis at the start of the Joint Action will help to predict the risks that could prevent the Joint Action 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 Joint Action, and what can be done about it.	2000

14. FORM SECTION "6 - DESCRIPTION OF THE WORK PACKAGES"

Please note that there are 3 mandatory horizontal and 1 mandatory core work packages.

You may add up to 5 core work packages (so in total there will be a maximum of 6 work packages). In order to do so, you must write the required number of work packages and click on the button "Add a new work package". This will create the requested number of supplementary work packages.

Field	*Comment*	*Max Nr of characters*
6.1 Work package definition	Your proposal has to be split into work packages: a clear difference has to be made between core and horizontal work packages. *Horizontal work packages* The three horizontal work packages concern: 1.the coordination of the Joint Action, 2. the dissemination of the results, and 3. the evaluation of the Joint Action. **For these three work packages the titles and description are already filled in, as they are mandatory. You cannot change the title of these horizontal work packages.** The core work packages (1 mandatory, maximum 6) of the Joint Action are related to the specific objectives. A core work package contains a set of coherent tasks grouped together in order to facilitate the Joint Action management. Each core work package is linked with one or several specific objectives and produce one or several deliverables. It is not possible to find the same specific objective or the same deliverable in several work packages.	
	Title	110
	Description	300
6.2	Horizontal work packages: **As explained above, these work packages are mandatory and the title introduced by default into the application form.** For each work package, defined in section 6.1, give the acronym of the partner who will lead the work package, the starting and ending dates, an estimation of the total budget for the work package and the number of person days that will be needed to carry out the work. Indicate the number of associated partners involved in the work package and list their acronyms. **There are no specific objectives linked with these work packages.** It is indeed obvious that the objective of coordination is good management of the Joint Action, the objective of evaluation is to assess if the Joint Action has	

	reached its goal and the objective of dissemination is to inform all stakeholders and ensure the transferability and sustainability of the action.	
6.2.1 Specifications	Title: <u>The title of the horizontal work packages is automatically displayed</u>	
	<u>Lead partner of the work package:</u> The lead partner can be the main partner or an associated partner. The number of the partner should be chosen from the drop-down list. The main partner should lead the coordination work package. It is recommended that the main partner does not lead the evaluation work package.	Drop-down list
	<u>Starting date / Ending date:</u> For example, if your Joint Action lasts 12 months and if one work package has to be implemented in the last three months, the starting date for this work package is month 10 and the ending date is month 12. Based on this information the timetable (section 6.4) will be filled. The maximum value for the months is 36.	Drop-down list
	<u>Total budget of this work package:</u> Indicate the overall expenses for the work package. Collaborating partner(s)' effort shall not be taken into consideration.	Number
	<u>Number of person-days:</u> The number of person-days encompasses all the staff working for the implementation of the work package (main partner, associated partner(s)). Collaborating partner(s)' effort shall not be taken into consideration. For example, if the work package involves only one person during one month (20 open days), the number of person days to be filled in for this work package is 20; if it involves two persons during two months, the number of person days is 80 (20 x 2 x 2).	Number
	<u>Number of main/associated partners:</u> In addition to the lead partner, one or several partners (main or associated) may take part in the implementation of the work package.	Not limited
	<u>List of acronyms of associated partners</u>	700
Description of the work	*For the coordination work package:* Describe the coordination activities: how the Joint Action is managed, how information will be exchanged among partners, how progress will be monitored & reported, how potential conflicts between partners will be managed, where the partners will meet and when, etc (as specified elsewhere, the notion that most meetings should be held in Luxembourg is supported). All these tasks are typically performed by the management and steering committee with input from advisors (e.g. a scientific committee). *For the dissemination work package:* Dissemination refers to the process of making the results and	2000

	deliverables of the Joint Action available not only to a specified target group or groups, but also more largely to all relevant stakeholders and the wider public. The dissemination work package should therefore include all necessary activities to achieve the above objective. Such activities are the preparation of a promotional leaflet for the Joint Action (in the first 3 months of the Joint Action), as well as a dedicated web-site. The beneficiary should also ensure that information the Joint Action produces (i.e. deliverables, other output and outcomes, etc.) is updated on a regular basis and communicated to the EAHC. Also, the EAHC may periodically ask from the main partner to prepare contributions to e.g. special features of its web-site or DG SANCO newsletters or to participate to scientific or technical meetings and conferences. In addition, a public, final Joint Action report (without administrative and financial information) should be produced in an attractive format (note that these activities have implications to the Joint Action budget). Finally, dissemination should be aimed at raising not only the visibility of the Joint Action itself, but also of the second Health Programme. Ideally, dissemination activities should be based on the results of a stakeholder analysis. A dissemination plan should be elaborated, explaining how the Joint Action plans to share outcomes with stakeholders, relevant institutions, organizations, and individuals. Specifically, the dissemination plan should illustrate what will be disseminated (key message), to whom (audience), why (purpose), how (method), and when (timing). *For the evaluation work package:* The evaluation work package is mandatory in order to verify if the Joint Action is being implemented as planned and reaches the objectives. Process and outcome evaluation should be performed. This concerns the Joint Action own internal evaluation, a systematic appraisal of the quality of the Joint Action (e.g., whether the Joint Action outcomes are useful and meet the user needs), and its effects (e.g., whether the Joint Action achieved its objectives and had an impact on the target group). The evaluation methodology should be adequate (Formulation of specific evaluation questions and for each evaluation question, methods to collect data), inferred from an evaluation plan, specifying purpose, questions, design, method, measurement instruments, and the task, responsibilities and timing of the evaluation and based on indicators which are variables measuring the performance of a Joint Action and the level to which the set objectives are reached. For each objective, at least one indicator should be formulated. If possible, the indicators should also specify target values. It is recommended that the evaluation work package is not led by the main partner, but by an associated partner with	

	experience in evaluation. Ideally, this associated partner would not participate in other work packages concerning the technical project execution.	
6.2.2 List of deliverable(s) linked to this work package	Each work package must at least produce one deliverable. Select one or several deliverables as defined in section 3.8. It is reminded that once linked with a work package, a deliverable cannot be used for another work package. The maximum number of deliverables per work package is 4. The deliverables will be indicated automatically in the timetable with a "D".	Drop-down list
6.2.3 Milestones produced by this work package	A milestone indicates the end of a phase of the Joint Action, which could be marked by an event or the completion of a deliverable. Please list the relevant milestones per work package and indicate the month of achievement. The maximum number of milestones per work package is 5. The milestones will be indicated automatically in the timetable with an "M".	150
6.3 Core work packages	For each work package defined in section 6.1, the applicant must give the acronym of the partner who will lead the work package. Encode also the starting / ending dates of the work package, taking into account that some work packages may have to be concluded before others can start. An estimation of the total budget for the work package and the number of person/days has to be introduced. Please also indicate the number of associated partners involved in the work package and list their acronyms.	
6.3.1 Specifications	Title: <u>The title of the core work packages is automatically displayed here, as defined in table 6.1.</u> <u>For other specifications please refer to 6.2.1</u>	
Description of the work	The different tasks necessary to fulfil one or several specific objectives are described here and lead to the production of outputs (deliverables). The methods used to complete these tasks have also to be described.	2000
6.3.2 Specific objectives of this work package	For each core work package, the applicant has to select one or several specific objectives as defined in section 3.3.	Drop-down list
6.3.3 List of deliverable(s) linked to this work package	Each work package must at least produce one deliverable. Select one or several deliverables as defined in section 3.8. It is reminded that once linked with a work package, a deliverable cannot be used for another work package. The maximum number of deliverables per work package is 4. The deliverables will be indicated automatically in the timetable with a "D".	Drop-down list
6.3.4 Milestones produced by	A milestone indicates the end of a phase of the Joint Action, which could be marked by an event or the completion of a deliverable. Please list the relevant milestones per work	150

this work package	package and indicate the month of achievement. The maximum number of milestones per work package is 5. The milestones will be indicated automatically in the timetable with an "M".	
6.4 Timetable specification	**Attention!** It is important that the deliverables, including the month of delivery (section 3.8.), the duration of the work packages and the milestones (including the month when it will be reached) for each work package are specified before you start creating the timetable. If information is missing to create the timetable, you will be prompted by the form to enter it. 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 Joint Action. The time to complete the tasks and objectives of the Joint Action and each of the work packages must be realistic, taking into account the available resources (person/days) and capacities.	

15. FORM SECTION "7 - FINANCIAL MANAGEMENT"

General recommendations before to start to fill in the form

- ⇨ This part has to be filled in by the main partner, in close cooperation with the associated partners.
- ⇨ 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.

15.1. Expenditures/eligible costs (7.1)

- ⇨ All information encoded in 7.1.1 to 7.1.7 (eligible costs) will be used in 7.2 (financing plan overview of the joint action) and 7.3 (overview of the budget).
- ⇨ All tables included in 7.1.1 to 7.1.7 were automatically created in the beginning when you were invited to list the main and the associated partners.
- ⇨ For each section, the subtotals per partner and the totals per section appear only when you click on the following button at the end of the section.

Calculate totals of the above section

In other words, calculation of these totals does not take place automatically.

Accordingly, if you **modify your entries in an already finalised section**, calculations have to be updated: you need to click again on the button!

15.1.1. Staff (7.1.1)

Partner acronym	Nb of staff	Professional category	Person.Days	Daily cost (€)	Total
		Sub-total E1a for the main partner :			

Technical Notes	
Five lines per partner and per professional category to identify the staff costs (with different salaries). A distinction is made between costs pertaining to public officials (7.1.1.1) and costs not pertaining to public officials (7.1.1.2).	
Partner acronym:	Automatically completed when creating the form.
Number of staff:	The number you enter shall be round and contain no decimal. This number will not be used further on for the calculation.
Professional category:	Enter the main professional categories concerned, e.g.: scientist (preferably specify which science it refers to: epidemiologist, nutritionist etc.), data manager, webmaster, secretary, administrative support, project manager etc.
Person days:	The number of person-days encompasses all the people working for the implementation of the joint action. For example, if the joint action involves one person in one specified category during one month (20 open days), the number of person days to be filled in is 20. If it involves two persons during two months, the number of person days is 80 (20 x 2 x 2).
Daily cost (€):	This 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 partner's usual policy on remuneration. (see additional comments)
Total:	For each professional category of each partner, a total will be calculated representing the total of the number of person days multiplied by the daily cost.
Sub-total E1(a or b) by partner:	For each partner a total is provided for all staff categories included.
Total E1(a or b) – Staff:	A total is provided for all partners. It consists of the sum of all the sub-totals by partner.

Additional information

⇨ 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 joint action, provided that they can be identified and justified by the accounting system of the partners.

⇨ 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.

⇨ There is a distinction between costs for public officials, under E1a, and costs for non public officials under E1b.

⇨ There is a distinction between costs for public officials, under E1a, and costs for non public officials under E1b:

A public official is defined as follows:

- An official of a public administration or body who is directly remunerated by the budget of the State or a local authority and his/her work concerns the implementation of tasks typically devolved to public institutions. By extension, it does concern all public officials who work in international organisations.

Reminder: the cost of officials must also satisfy the cumulative and general criteria laid down in Article II.14.1 of the grant agreement defining the eligible costs.

⇨ Experts (external to the partners organisation), who work on the joint action and are fully paid by the partners 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, partners 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 partners might be requested to provide staff cost related supporting documents in case of audit at the applicant's premises.

15.1.2. Travel costs and subsistence allowances (7.1.2)

Partner acronym	Travel costs	Total (€)	Total
	Sub-total E2a for this partner :		

Partner acronym	Subsistence allowances	Total (€)	Total
	Sub-total E2b for the main partner :		

Technical Notes

Travel costs (7.1.2.1)

One line per partner to identify the total number of trips foreseen and the total amount of the travel costs.

Important note: a significant part of the joint action budget is spent on meetings and travelling in order to foster exchanges between participants. **Part of these expenses should be earmarked for organising and participating in network and coordination meetings between the different health programme portfolio joint actions.**

Partner acronym:	Automatically completed when creating the form.
Travel costs:	Enter the number of trips each partner intends to do. This number will not be used further on for the calculation.
Total (€):	This cost is the total value of all travel costs of the partner.
Sub-total E2a by partner:	For each partner a total is provided. The amount shall be the same as the one referred to under “Total (€)”;

Total E2a – Travel:	A total is provided for all partners. It consists of the sum of all the sub-totals by partner.

Subsistence allowances (7.1.2.2)

One line per partner to indicate the total amount of subsistence allowances foreseen.

Partner acronym:	Automatically completed when creating the form.
Subsistence allowances :	Please type "Total of subsistence allowances based on daily allowances x number of days".
Total (€):	This cost is the total value of all subsistence allowances of the partner.
Sub-total E2b by partner:	For each partner a total is provided. The amount shall be the same as the one referred to under "Total (€)";
Total E2b – Subsistence:	A total is provided for all partners. It consists of the sum of all the sub-totals by partner.

Additional information

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

⇨ Travel/subsistence costs for staff not employed by the partners 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 partners, external invited experts.

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

⇨ The internal rules of the partners have precedence in matter of travel costs and subsistence allowances. Each partner will be requested to confirm during the negotiation phase if they intend to apply their existing internal rules or the EC rules and rates. If such internal rules do not exist in the partners' 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 partners 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[10]):

Destination	Daily subsistence allowance	Hotel	Total
Austria	95,00	130,00	**225,00**
Belgium	92,00	140,00	**232,00**
Bulgaria	58,00	169,00	**227,00**
Cyprus	93,00	145,00	**238,00**
Czech Republic	75,00	155,00	**230,00**
Latvia	66,00	145,00	**211,00**
Lithuania	68,00	115,00	**183,00**
Luxembourg	92,00	145,00	**237,00**
Malta	90,00	115,00	**205,00**
Netherlands	93,00	170,00	**263,00**

10 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	**270,00**	Poland	72,00	145,00	**217,00**
Estonia	71,00	110,00	**181,00**	Portugal	84,00	120,00	**204,00**
Finland	104,00	140,00	**244,00**	Romania	52,00	170,00	**222,00**
France	95,00	150,00	**245,00**	Slovakia	80,00	125,00	**205,00**
Germany	93,00	115,00	**208,00**	Slovenia	70,00	110,00	**180,00**
Greece	82,00	140,00	**222,00**	Spain	87,00	125,00	**212,00**
Hungary	72,00	150,00	**222,00**	Sweden	97,00	160,00	**257,00**
Ireland	104,00	150,00	**254,00**	United Kingdom	101,00	175,00	**276,00**
Italy	95,00	135,00	**230,00**				

Missions in countries other than EU 27, Acceding and Applicant countries and EFTA-EEA countries shall be subject to the prior agreement of the Executive Agency. This 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.[11]

15.1.3. Equipment (7.1.3)

Partner acronym	Equipment	Total (€)	Total
	Sub-total E3 for the main partner :		

Technical Notes	
Three lines per partner for costs related to depreciation of equipment.	
Partner acronym:	Automatically completed when creating the form.
Equipment:	Enter a generic title for each type of equipment.
Total (€):	For each line of equipment referred to above, enter the sum of the costs related to depreciation.
Sub-total E3 by partner:	For each partner a total is provided for all types of

[11] 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 included.
<u>Total E3 – Equipment:</u>	A total is provided for all partners. It consists of the sum of all the sub-totals by partner.

<u>Additional information</u>

⇨ The principle of depreciation is covered in the <u>grant agreement</u> Article II.14.2.

Only the portion of the equipment's depreciation corresponding to the duration of the joint action and the rate of actual use for the purposes of the joint action (% allocation to the joint action) may be taken into account by the EAHC.

⇨ Common software should be covered by the flat-rate in "E7. Overheads".

⇨ <u>The internal rules of the partners have precedence in matter of depreciation of equipment</u>. Each partner will be requested to confirm during the negotiation phase if they intend to apply their existing internal rules or the EC rules.

If such internal rules do not exist in the partners' organisation, the following rules approved by EC can be applied:

- Hardware expenses depreciated over 36 months (PCs, Printers, etc.);
- Purchase of <u>specific</u> software depreciated 100%;
- Specific furniture depreciated over 60 months;
- Equipment (photocopiers, fax, etc.) depreciated over 60 months.

Few examples for joint action of 36 months (M1 to M36) if EC rules apply:

Equipment	Price of purchase	Date of purchase	Depreciation rule 36 or 60 months	Number of months of depreciation	% allocation to joint action	Amount of depreciation
Informatics equipment	3.000,00	M1	36	**36** = From M1 to M36	100%	3.000,00 x 36/36 x 100% = **3.000,00**
Informatics Equipment	3.000,00	M1	36	**36** = From M1 to M36	**<u>75%</u>**	3.000,00 x 36/36 x 75% = **2.250,00**
Informatics Equipment	3.000,00	**<u>M7</u>**	36	**30** = From M7 to M36	100%	3.000,00 x 30/36 x 100% = **2.500,00**
Informatics Equipment	3.000,00	**<u>M15</u>**	36	**22** = From M15 to 36	100%	3.000,00 x 22/36 x 100% = **1.833,33**
Informatics equipment	**<u>10.000,00</u>**	M1	**<u>60</u>**	**36** = From M1 to M36	100%	10.000 x 36/60 x 100% = **6.000,00**

15.1.4. Consumables & supplies costs linked to the project (7.1.4)

Partner acronym	Consumables & supplies	Total (€)	Total
	Sub-total E4 for the main partner :		

Technical Notes	
Three lines per partner to identify the consumables & supplies linked to the joint action and to provide the total amount of costs.	
Partner acronym:	Automatically completed when creating the form.
Consumables & supplies:	Identify the consumables & supplies linked to the joint action.
Total (€):	This cost shall include the consumables & supplies identified by each partner.
Sub-total E4 by partner:	A total is provided for each partner. The amount shall be the same as the one referred to under "Total (€)".
Total E4 – Consumables & supplies:	A total is provided for all partners. It consists of the sum of all the sub-totals by partner.

Additional information

⇨ These costs should normally appear in "E7. Overheads". Nevertheless, provided that they are identifiable as specific costs directly linked to performance of the joint action and booked into the partners' accounting system, they can appear under this category.

15.1.5. Subcontracting (7.1.5)

Partner acronym	Subcontracting	Total (€)	Total
	Sub-total E5 for the main partner :		

Technical Notes
Three lines per partner to identify the costs related to subcontracting.

Partner acronym:	Automatically completed when creating the form.
Subcontracting:	Enter as precisely as possible which kind of activity you intend to subcontract.
Total (€):	For each line of subcontract referred to above, enter its corresponding cost.
Sub-total E5 by partner:	A total is provided for each partner covering all subcontracts included.
Total E5 – Subcontracting:	A total is provided for all partners. It consists of the sum of all the sub-totals by partner.

Additional information

⇨ Contracts only cover service procurement. They may be awarded only if they may cover the execution of a limited part of the joint action (40% of the total eligible cost as a general rule).

⇨ Core elements of the joint action cannot be subcontracted.

⇨ The technical and financial management of the joint action is the legal responsibility of the main partner. These tasks cannot be transferred to an associated partner or a third party.

⇨ Recourse to the award of contracts must be justified having regard to the nature of the joint action 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 detail in the budget in Annex II of the grant agreement.

⇨ Any recourse to the award of contracts while the joint action is under way, if not provided for in the initial grant application or amendment(s), shall be subject to prior written authorisation by the EAHC.

⇨ The partners shall retain sole responsibility for carrying out the joint action and for compliance with the provisions of the grant agreement. The partners must undertake to make the necessary arrangements to ensure that the contractor waives all rights in respect of the EAHC under the grant agreement.

⇨ Subcontracting shall not apply when the task concerns provision of the service which is not necessary for the joint action and/or when the task can be carried out by the main or associated partners.

⇨ The partners must ensure that its agreement with the subcontractor mentions in particular that:

- The EAHC may, at any time during the grant agreement and up to five years after the end of the joint action, arrange for audits to be carried out, either by outside scientific or technological reviewers or auditors, or by the EAHC itself or OLAF;

- The European Court of Auditors shall have the same rights as the EAHC, 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 EAHC 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 any of the partners has to conclude contracts in order to carry out a joint action 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 €	More than 5 bids
25.000 € < x < 60.000 €	At least 5 bids
5.000 € < x < 25.000 €	At least 3 bids
x < 5.000 €	1 bid

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

15.1.6. Other costs (7.1.6)

Partner acronym	Other costs	Total (€)	Total
	Sub-total E6 for this partner :		

Technical Notes

Five lines per partner to identify other costs.

Partner acronym: Automatically completed when creating the form.

Other costs: Enter as precisely as possible a description of your other costs on a line per line basis.

Total (€): For each other cost referred to above, enter its corresponding cost.

Sub-total E6 by partner: For each partner a total is provided for all other costs included.

Total E6 – Other costs: A total is provided for all partners. It consists of the sum of all the sub-totals by partner.

Additional information

⇨ 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 joint action, can be clearly identified and justified by the accounting rules and principles of the partners and satisfy the criteria of direct eligible costs.
Examples of other costs: dissemination of information, specific evaluation of the joint action, 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.

15.1.7. Overheads (7.1.7)

Partner acronym	Overheads	Total (€)	Total
		Sub-total E7 for the main partner :	

Technical Notes

One line per partner to enter overheads.

Partner acronym: Automatically completed when creating the form.

<u>Overheads:</u>	This cost consists of the overheads identified by each partner. But since you may use the 7% maximum allowance, you may just type that description ("7% maximum allowance").
<u>Total (€):</u>	Enter the corresponding cost of the overheads as per your calculation, bearing in mind that the 7% allowance over direct eligible costs cannot be exceeded.
<u>Sub-total E7 by partner:</u>	For each partner a total is provided. The amount shall be the same as the one provided under "*Total (€)*".
<u>Total E7 – Overheads:</u>	A total is provided for all partners. It consists of the sum of all the sub-totals by partner.

<u>Additional information</u>

The indirect costs incurred when carrying out the joint action may be eligible for flat-rate funding fixed at **<u>a maximum of 7%</u>** of the total eligible direct costs for each partner.

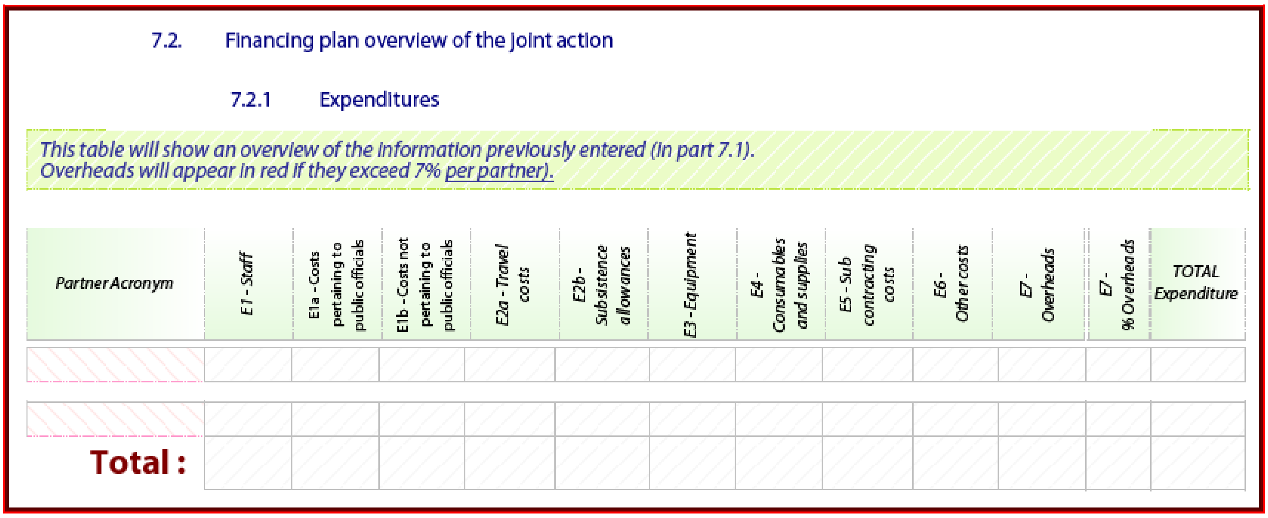
⇨ They do not need to be supported by accounting documents.

⇨ 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 joint action 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.

15.2. Financing plan overview of the joint action (7.2)

15.2.1. Expenditures (7.2.1)



7.2. Financing plan overview of the joint action

7.2.1 Expenditures

This table will show an overview of the information previously entered (in part 7.1).
Overheads will appear in red if they exceed 7% per partner).

Partner Acronym	E1 - Staff	E1a - Costs pertaining to public officials	E1b - Costs not pertaining to public officials	E2a - Travel costs	E2b - Subsistence allowances	E3 - Equipment	E4 - Consumables and supplies	E5 - Sub contracting costs	E6 - Other costs	E7 - Overheads	E7 - % Overheads	TOTAL Expenditure
Total :												

This section summarizes the expenditures of your joint action.

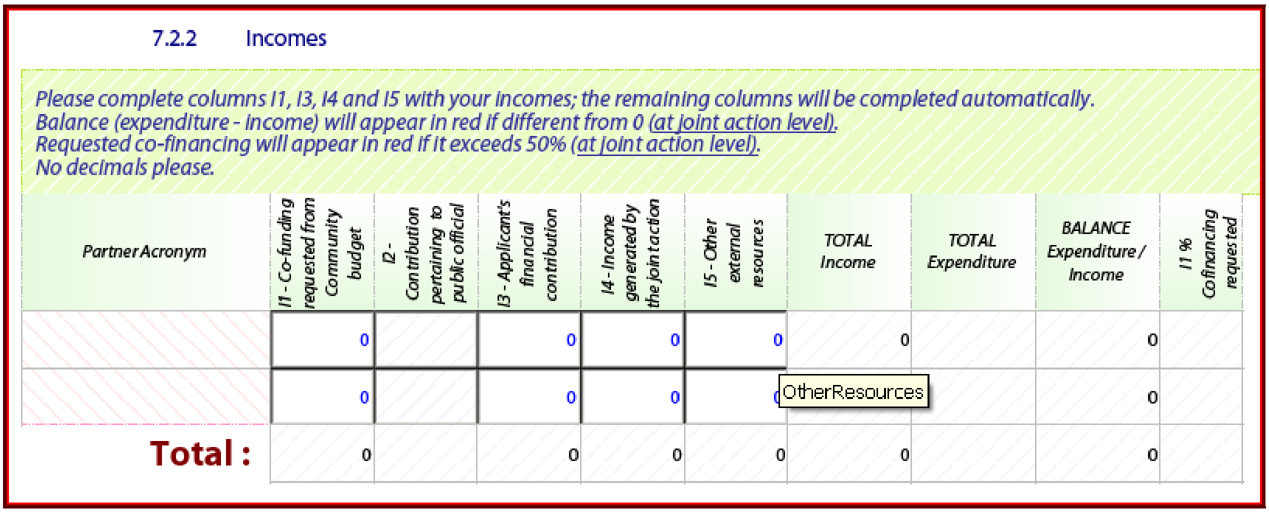
Technical Notes
No input is required

<u>Additional information</u>

⇨ All the information entered in 7.1.1 to 7.1.7 with regard to joint action expenditures are displayed here. The totals will appear for each partner and each budget header.

⇨ The percentage of overheads completed in 7.1.7 cannot exceed 7 % per partner. If this percentage is higher, it will appear here in red. In this case, please go back and correct.

15.2.2. Incomes (7.2.2)



7.2.2 Incomes

Please complete columns I1, I3, I4 and I5 with your incomes; the remaining columns will be completed automatically.
Balance (expenditure - income) will appear in red if different from 0 (at joint action level).
Requested co-financing will appear in red if it exceeds 50% (at joint action level).
No decimals please.

Partner Acronym	I1 - Co-funding requested from Community budget	I2 - Contribution pertaining to public official	I3 - Applicant's financial contribution	I4 - Income generated by the joint action	I5 - Other external resources	TOTAL Income	TOTAL Expenditure	BALANCE Expenditure / Income	I1 % Cofinancing requested
	0		0	0	0	0		0	
	0		0	0	0 OtherResources			0	
Total :	0		0	0	0	0		0	

This section summarizes the incomes of your joint action.

Technical Notes	
One line per partner split into the different kinds of incomes.	
Partner acronym:	Automatically completed when creating the form.
I1. Co-funding request from the Community budget:	Financial contribution that each partner expects to be granted from the EAHC.
I2. Contribution pertaining to public officials:	Amount automatically copied from column "Costs pertaining to public officials".
I3. Applicant financial contribution:	Financial contributions you, as main or associated partner, will provide to the budget.
I4. Income generated by the joint action:	Resources that correspond to revenues linked to and generated by the joint action itself: admission fee to a conference; meeting fees, sale of publications, sale of equipment bought for the joint action etc.
I5. Other external resources:	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.

Additional information

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

⇨ The maximum co-funding request for the EU shall not exceed the percentage per joint action proposal stated in the work plan 2011 (Annex 1, section 2.3).

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

⇨ There is no obligation for each individual partner to financially contribute equally for the budget not financed by the EU. The minimum required percentage of co-financing applies only at the joint action level.

⇨ Items referred to as I1 and I3 to I5 shall be filled in. Item I2 (Contribution pertaining to public officials) is automatically copied from E1a. The total (Total expenditure, Total Income), the balance (Expenditure/Income) and the percentages (I1 – Co-funding request) are automatically calculated.

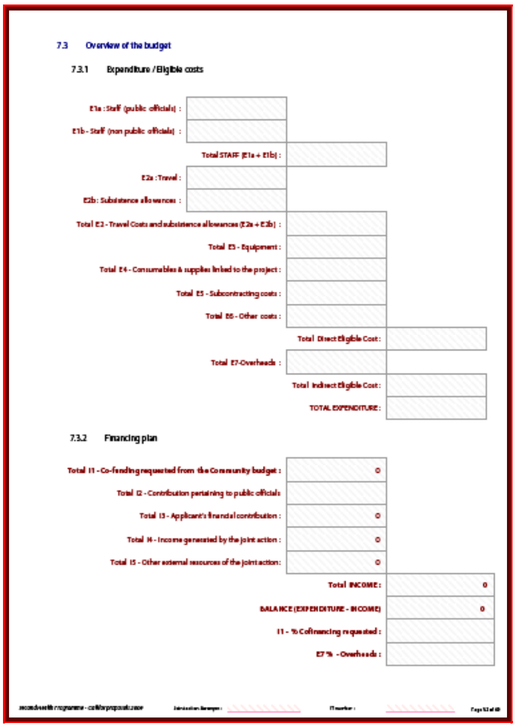
⇨ If by mistake the co-funding request equals to zero, an error message will be shown.

15.2.3. Controls to be carried out

⇨ **Balance:** Once items I1 and I3 to I5 have been filled in for each partner, the total income is automatically calculated as the sum of incomes I1 to I5.

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

15.3. Overview of the budget (7.3)


7.3 Overview of the budget

7.3.1 Expenditure / Eligible costs

E1a : Staff (public officials) :
E1b - Staff (non public officials) :
Total STAFF (E1a + E1b) :
E2a : Travel :
E2b : Subsistence allowances :
Total E2 - Travel Costs and subsistence allowances (E2a + E2b) :
Total E3 - Equipment :
Total E4 - Consumables & supplies linked to the project :
Total E5 - Subcontracting costs :
Total E6 - Other costs :
Total Direct Eligible Cost :
Total E7-Overheads :
Total Indirect Eligible Cost :
TOTAL EXPENDITURE :

7.3.2 Financing plan

Total I1 - Co-funding requested from the Community budget : 0
Total I2 - Contribution pertaining to public officials
Total I3 - Applicant's financial contribution : 0
Total I4 - Income generated by the joint action : 0
Total I5 - Other external resources of the joint action : 0
Total INCOME : 0
BALANCE (EXPENDITURE - INCOME) 0
I1 - % Cofinancing requested :
E7 % - Overheads :

Technical Notes
No input is required

Additional information

⇨ This table summarizes all the information you have entered in 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).

15.4. 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.

…/…

15.5. Definition of non-eligible costs

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

…/…

- *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.*

…/…

<u>Additional information</u>

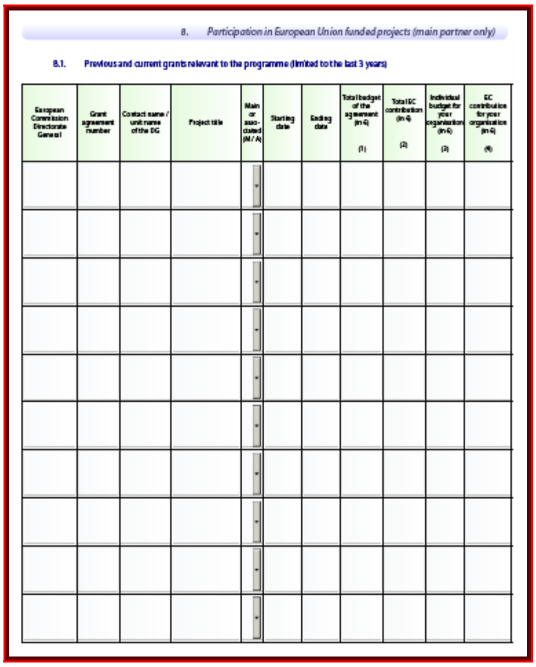
⇨ Contributions in kind are services or goods used for the joint action and provided to the contractor free of charge, e.g. work by voluntary helpers, use of buildings, office space, etc.

⇨ <u>These are not regarded as eligible costs</u> to be taken into account for calculating the grant. As they provide added value for the joint action, they may be declared in the initial budget and final financial report, thus giving a precise idea of the joint action value, but they need not to be justified to the EAHC. 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.

16. FORM SECTION "8 - PARTICIPATION IN EUROPEAN UNION FUNDED PROJECTS FOR MAIN PARTNER ONLY"

Please list here the grants related to public health issues, funded by the Union budget, which your organisation has received in the recent past.

16.1. Previous and current grants relevant to the programme (8.1)



8. *Participation in European Union funded projects (main partner only)*

8.1. Previous and current grants relevant to the programme (limited to the last 3 years)

European Commission Directorate General	Grant agreement number	Contact name / unit name of the DG	Project title	Main or associated (M / A)	Starting date	Ending date	Total budget of the agreement (in €) (1)	Total EC contribution (in €) (2)	Individual budget for your organisation (in €) (3)	EC contribution for your organisation (in €) (4)

The number of grants to be listed is limited to 10. If the number of grants you received exceeds 10, you are invited to select those which most closely correspond to the topic of the proposals you are currently submitting to the Health Programme.

Technical Notes	
European Commission Directorate General:	Indicate the EAHC or that Directorate General in the European Commission you received the grant from.
Grant agreement number:	Indicate the official number of your grant agreement; it usually appears on the first page of your grant agreement.
Contact name/unit name of the DG:	Give the name of the operational person in charge of the grant and his/her corresponding unit within EAHC or the Directorate General you received the grant from.
Project title:	Complete the title of the project and its acronym if it exists.
Main or associated:	Type the letter M if you are the main partner for that grant or A if you are associated.
Starting date:	Use the calendar or indicate the starting date of the project (yyyy-mm-dd) or alternatively the envisaged starting date.
Ending date:	Use the calendar or indicate the ending date of the project (yyyy-mm-dd).
Total budget of the grant agreement (in €):	Indicate the global cost (for all partners) of the project, in €.
Union contribution (in €):	Indicate the Union total contribution of the project, in € as mentioned in the grant agreement.
Individual budget for your organisation (in €):	Indicate your part of the cost for the project, in €.
EC contribution for your organisation (in €):	Indicate the Union contribution you receive in the project, in € as mentioned in the grant agreement.

Additional information

⇨ If you have not received any grants from the European Commission including the EAHC, you should leave the fields "blank”.

⇨ You are also invited to list in 8.2 the grants related to public health issues, funded by the Union budget, which your organisation is currently applying for.

16.2. Current applications relevant to the programme (8.2)

8.2 Current applications relevant to the programme

European Commission Directorate General	Proposal number	Name of the main partner	Project title	Call launching date	Amount applied for (in €)

The number of applications to be listed is limited to 10. If the number of grants you applied for exceeds 10, you are invited to select those which most closely correspond to the topic of the proposals you are currently submitting to the Health Programme.

Technical Notes	
European Commission Directorate General:	Name the Directorate General in the European Commission whereto you have sent your application.
EU Proposal number (if available):	Indicate, if available, the proposal number you have received from that Directorate General. If you have not yet received any proposal number, leave this item blank.
Name of the main partner:	Indicate the legal name of the organisation and, if applicable, the name of the unit (department or institute) in the organisation that will be carrying out the work
Project title:	Complete the title of the project and its acronym, if any.
Call launching date:	Use the calendar or indicate the launching date of the call for proposals you refer to (yyyy-mm-dd).
Amount applied for (in €):	Indicate the Union contribution of the proposal you request for in €.

Additional information

If you have not applied to any call for proposals for which an answer would still be expected, you should leave the fields "blank”.

17. FORM SECTION "9 - FINANCIAL VIABILITY INFORMATION"

The following parts have to be filled in by the main partner only:

⇨ Accountancy information (9.1);

⇨ Balance sheet of the two last accounting years (9.2);

⇨ Profit and loss account (9.3).

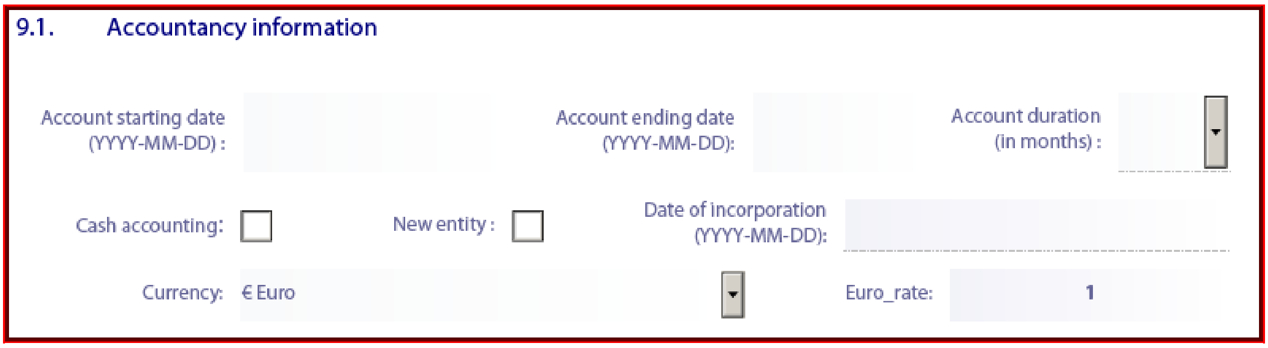
And the following supporting documents have to be attached to the proposal:

⇨ Copy of balance sheet of the two last accounting years;

⇨ Copy of profit and loss account.

If the main partner is a public body, this part does not have to be filled and none of the supporting document is required.

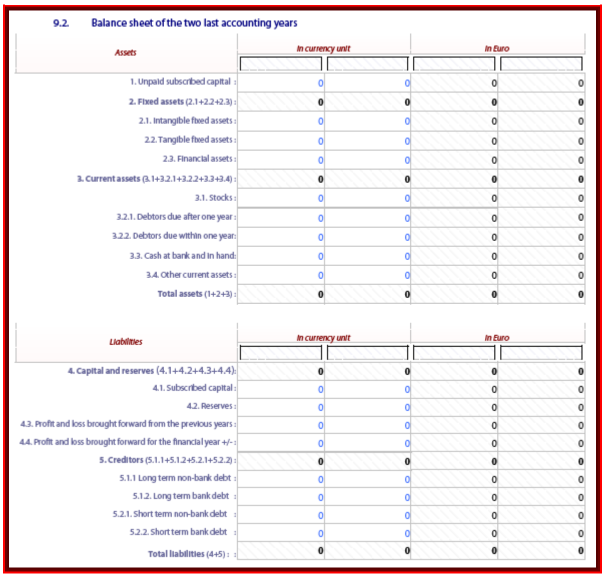
17.1. Accountancy information (9.1)



Technical Notes	
Account starting date:	Use the calendar or indicate the date respecting the format: yyyy-mm-dd.
Account ending date:	Use the calendar or indicate the date respecting the format: yyyy-mm-dd.
Accounts duration (in months):	The duration should be specified in months only, and for duration of a maximum of 12 months.
Cash accounting:	Please click on that box to activate it, in the only case you use a cash accounting system.
New entity:	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.

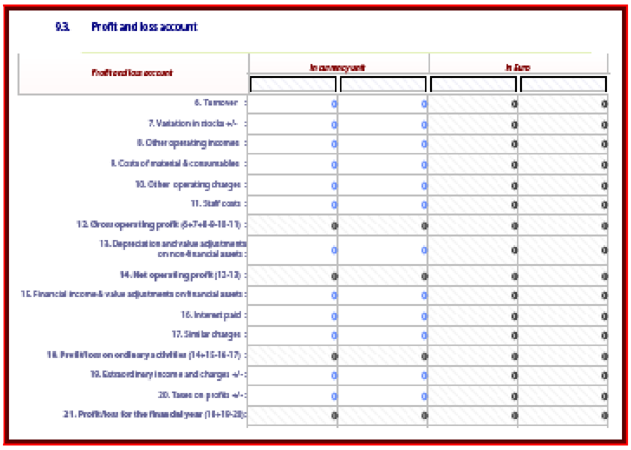
17.2. Balance sheet of the two last accounting years (9.2) and Profit & Loss account (9.3)



9.2. Balance sheet of the two last accounting years

Assets	In currency unit		In Euro	
1. Unpaid subscribed capital :	0	0	0	0
2. Fixed assets (2.1+2.2+2.3) :	0	0	0	0
2.1. Intangible fixed assets :	0	0	0	0
2.2. Tangible fixed assets :	0	0	0	0
2.3. Financial assets :	0	0	0	0
3. Current assets (3.1+3.2.1+3.2.2+3.3+3.4) :	0	0	0	0
3.1. Stocks :	0	0	0	0
3.2.1. Debtors due after one year :	0	0	0	0
3.2.2. Debtors due within one year:	0	0	0	0
3.3. Cash at bank and in hand:	0	0	0	0
3.4. Other current assets :	0	0	0	0
Total assets (1+2+3) :	0	0	0	0

Liabilities	In currency unit		In Euro	
4. Capital and reserves (4.1+4.2+4.3+4.4):	0	0	0	0
4.1. Subscribed capital :	0	0	0	0
4.2. Reserves :	0	0	0	0
4.3. Profit and loss brought forward from the previous years :	0	0	0	0
4.4. Profit and loss brought forward for the financial year +/- :	0	0	0	0
5. Creditors (5.1.1+5.1.2+5.2.1+5.2.2) :	0	0	0	0
5.1.1 Long term non-bank debt :	0	0	0	0
5.1.2. Long term bank debt :	0	0	0	0
5.2.1. Short term non-bank debt :	0	0	0	0
5.2.2. Short term bank debt :	0	0	0	0
Total liabilities (4+5) :	0	0	0	0



9.3. 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 9.1 (e.g.: 01.01.2010), the accounting years automatically appear in 9.2 and 9.3.

- 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 9.2 (Assets & Liabilities) and 9.3 (Profit & Loss account), please refer to table next page indicating the correspondence between items to be listed in the balance sheet/profit and loss account and those listed in the 4th accounting Directive.

17.2.1. Exceptions to the encoding of 9.2 and 9.3

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

1. Tick the box "**Cash accounting**" in 9.1.

2. Attach to your proposal a paper copy of your last 2 years audited statutory accounts.

⇨ <u>Your entity is new</u> and you cannot provide any balance sheet and profit and loss accounts data. In that case, please:

1. Tick the box "**New entity**" in 9.1.

2. Submit a paper copy of any document (even draft) showing of your statutory accounts.

⇨ In the two above mentioned exceptions, the 9.2 and 9.3 of the application form will disappear.

17.2.2. Controls to be carried out (9.2 and 9.3)

⇨ 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 9.2.

17.3. 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**	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

BALANCE SHEET	CORRESPONDENCE 4th ACCOUNTING DIRECTIVE	
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
Total assets (1+2+3)	**Total assets**	
LIABILITIES	**LIABILITIES / 4th ACCOUNTING DIRECTIVE (Article 9)**	
4. Capital and reserves (4.1+4.2+4.3+4.4)	**A. Capital and reserves**	
4.1. Subscribed capital	A.I. Subscribed capital A.II. Share premium account	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
5. Creditors (5.1.1+5.1.2+5.2.1+5.2.2)	**C. Creditors**	
5.1.1 Long term non-bank debt	B. Provisions for liabilities and charges (> one year) 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

BALANCE SHEET	CORRESPONDENCE 4th ACCOUNTING DIRECTIVE	
		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
Total liabilities (4+5)	**Total Liabilities**	
PROFIT AND LOSS ACCOUNT	**PROFIT AND LOSS ACCOUNT / 4th ACCOUNTING DIRECTIVE (Article 23)**	
6. Turnover	**1. Net turnover**	1. Net turnover
7. Variation in stocks	2. Variation in stock of finished goods and in work in progress	2. Variation in stocks of finished goods and in work in progress
8. Other operating income	3. Work performed by the undertaking for its own purposes and capitalized. 4. Other operating income	3. Work performed by the undertaking for its own purposes and capitalized 4. Other operating income
9. Costs of material and consumables	5. (a) Raw materials and consumables 5. (b) Other external charges	5. (a) Raw materials and consumables 5. (b) Other external charges
10. Other operating charges	8. Other operating charges	8. Other operating charges
11. Staff costs	6. Staff costs	6. (a) Wages and salaries 6. (b) social security costs, with a separate indication of those relating to pensions

BALANCE SHEET	CORRESPONDENCE 4th ACCOUNTING DIRECTIVE	
12. Gross operating profit (6+7+8-9-10-11)	**Gross operating profit = [1+2+3+4-(5a+5b+8)] - 6**	
13. Depreciation and value adjustments on non financial assets	7. Depreciation and value adjustments on non 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
14. Net operating profit (12-13)	**Gross operating profit - Depreciation and value adjustments on non-financial assets = [[1+2+3+4-(5a+5b+8)] - 6] -7**	
15. Financial income and value adjustments on financial assets	Financial income and value adjustments on financial assets	9. Income from participating interests 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
16. Interest paid	Interest paid	13. Interest payable and similar charges
17. Similar charges	Similar Charges	
18. Profit or loss on ordinary activities (14+15-16-17)	**Profit or loss on ordinary activities = [[1+2+3+4-(5a+5b+8)] - 6] -7]+ [(9+10+11)-(12+13)]**	15. Profit or loss on ordinary activities after taxation
19. Extraordinary income and charges	Extraordinary income and charges	16. Extraordinary income 17. Extraordinary charges
20. Taxes on profits	Taxes	14. Tax on profit or loss on ordinary activities 19. Tax on extraordinary profit or loss 20. Other taxes not shown under the above items
21. Profit or loss for thefinancial year (18+19-20)	**Profit or loss for the financial year =[[1+2+3+4-(5a+5b+8)] - 6] -7]+ [(9+10+11)-(12+13)+(16-17)-(14+19+20)]**	21. Profit or loss for the financial year

17.4. 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

18. VALIDATION PAGE

Complete the following four step process.

STEP 1 : VALIDATION

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).

STEP 2 : LOCK

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 EAHC. This procedure is also described in paragraph 3 above as well as in more details in the call for proposals for Joint Actions document.

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

The 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 EAHC, 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.

Note: as suggested in the application form when creating pages for associated partners, **you may want to print the declarations of honour for each associated partner directly after having entered the information on them**. After creating the declarations of honour for each associated partner, you may print them and send them to the partners for their signature. This way you will gain time in collecting the signatures, while you still work on other parts of the form.

The main partner has to submit the original Declaration of honour as part of the application package.

For the associated partners he signed original declaration of or a fax/scanned copy has to be submitted as part of the application package. If a fax/scanned copy is submitted, the original may be requested later.

All documents and application forms have to be sent to the awarding authority via the main partner. No documents will be accepted if sent by the associated partner(s).

19. MANDATORY "UNILATERAL COMMITMENT" FORM

This form is new in the Call for proposals for Joint Actions 2011. It is needed for all associated partners which are non-governmental organizations in order to fulfil the requirements as per Annex VI, section 2 of the 2011 work plan. It is automatically created for all associated partners which are non-governmental organizations, once the partner information is provided. It should be handed to the associated partners in question together with the declaration of honour, as both have to be signed, dated and stamped by the legal representative of the organization and the original form sent back to the main partners in order to be submitted as part of the application package. If a fax/scanned copy of the unilateral commitment form is submitted in the application package, the originals will be requested later.

20. MANDATORY CHECKLIST

The mandatory checklist needs to be filled in once by the main partner, who submits the application package. 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.