

2012 CALL FOR PROPOSALS FOR OPERATING GRANTS

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

I. BACKGROUND AND PURPOSE OF THIS CALL

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

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

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

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

The 2012 work plan sets out details of the financing mechanisms and priority areas for action to implement the programme. This document (Commission Decision) has been published in the Official Journal of the European Union on 8 December no C 358/2011 pp. 8 and is available at <http://ec.europa.eu/eahc>. This call relates to the financing mechanism "operating grants"².

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

Interested parties active in the field of public health are invited to submit applications, through this call for proposals for operating grants, in accordance with the provisions of

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

² The provisions of the 2012 work plan and those of the present call for proposals are mutually explanatory. Nevertheless, in case of ambiguities or discrepancies between the provisions of the 2012 work plan and those of the call for proposals, the former will take precedence over the latter.

Annex I, point 2.2, Annex III, VI and Annex VII of the 2012 work plan and this call text in order to pursue the objectives of the second Health Programme.

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

In addition to the **27 Member States of the European Union**, the call is also open to the EFTA/EEA countries (**Iceland, Liechtenstein and Norway**) on the basis of the Agreement on the European Economic Area. **Eligible entities from these countries can receive funding from the second Health Programme.**

Other third countries, in particular the European Neighbourhood Policy countries, 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, may participate in the Health Programme provided that the necessary agreements are in place. Of these countries, **Croatia** has concluded these arrangements and participates in the Programme. **Therefore, eligible entities from Croatia can receive funding from the second Health Programme.**

Finally, collaboration with the above third countries not participating in the Programme should be facilitated. This should not involve funding from the Programme. Nevertheless, travel and subsistence expenses for experts invited from or travelling to such countries can be considered eligible costs in duly justified, exceptional cases, where this directly contributes to the objectives of the Programme.

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

The activities covered by the operating grant must comply with the provisions of point 2.2 of the work plan 2012.

The proposals selected will qualify for EU financial contribution (grant for an operating grant) on the basis of the shared cost principle³.

II. AREAS FOR FUNDING

Operating grants may be awarded to non-governmental bodies and specialised networks active in areas corresponding to the three objectives of the Health Programme. Work under operating grants should directly contribute to reaching the priorities of the EU as set out in Commission Communication COM(2010)2020 of 3 March 2010 *EUROPE 2020 A Strategy for smart, sustainable and inclusive growth*⁴. Issues that are particularly

³ [art. 109 of the Financial Regulation and art. 165a of the implementing rules]

⁴ <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2010:2020:FIN:EN:PDF>

relevant include active and healthy ageing, including health promotion and prevention of diseases; prevention of health inequalities, including ensuring better access to health care for all, and questions relating to the health workforce.

Operating grants may also be awarded to non-governmental bodies and specialised networks that have been awarded an operating grant under the 2011 call for proposals for operating grants.

Proposals requesting more than 60% co-funding (up to 80%) will need to comply with the criteria of exceptional utility specified in sections 1 and 3 of Annex VII of the 2012 work plan.

III. DURATION AND STARTING DATE

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

IV. LEGAL AND FINANCIAL INDEPENDENCE, TRANSPARENCY

Without prejudice to the rest of the eligibility criteria indicated within annex III of the 2012 work plan, to be eligible for funding, the applicant has to be independent from industry, commercial and business or other conflicting interests. The above mentioned eligibility criterion will be assessed in accordance with the provisions of Annex VI of the 2012 work plan on the basis of the unilateral commitment-declaration to be signed by the legal representative of the applicant organisation. However, this does not apply to the category 'public body'. The 'unilateral commitment form-declaration' is provided as integral part of the application form. The Awarding Authority reserves the right to request from the applicant (s) any additional information that is deemed necessary in order to assess compliance with the above eligibility criterion at any stage of the procedure.

V. SELECTION AND AWARD CRITERIA

Requests for operating grants will be evaluated by an evaluation committee set up according to Article 116 of the Financial Regulation⁵ and article 178 of the Implementing Rules⁶, assisted by external experts.

⁵ [Council Regulation \(EC, Euratom\) No 1605/2002 of 25 June 2002 on the Financial Regulation applicable to the general budget of the European Communities \(OJ L 248, 16. 9.2002\)](#), amended by Council Regulation (EC, Euratom) No 1995/2006 of 13 December 2006 (OJ L 390, 30.12.2006) and Council Regulation (EC, Euratom) No 1525/2007 of 17 December 2007 (OJ L 343, 27.12.2007, p. 9).

⁶ [COMMISSION REGULATION \(EC, EURATOM\) No 2342/2002 of 23 December 2002 laying down detailed rules for the implementation of Council Regulation \(EC, Euratom\) No 1605/2002 on the Financial Regulation applicable to the general budget of the European Communities \(OJ L 357, 31.12.2002\) and amended by Commission Regulation \(EC, Euratom\) No 1261/2005 of 20 July 2005, \(OJ L 201 2.8.2005\) and Commission Regulation \(EC, Euratom\) No 1248/2006 of 7 August 2006 \(OJ L 227 19.8.2006\) and Commission Regulation \(EC, Euratom\) No 478/2007 of 23 April 2007 \(OJ L 111 28.4.2007\)](#)

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

Applicants must meet the evaluation criteria set out in section 2 (exclusion and eligibility criteria), 3 (selection criteria) and 4 (award criteria) of Annex III of the 2012 work plan: "[Criteria for financial contributions to the functioning of a non-governmental body or a specialised network \(operating grants\) under the second programme of Community action in the field of health \(2008-13\)](#)". The Awarding Authority reserves the right to reject proposals that do not meet these criteria or do not follow the procedures and formal requirements announced within this call.

As regards the award criteria, each proposal will be assessed according to the points set out in the table below.

A threshold is set for each of the following award criteria blocks:

- Policy and Contextual relevance of the non- governmental body or specialised network's annual work programme: threshold 13 points.
- Technical quality of the annual work programme proposed: threshold 20 points.
- Management Quality: threshold 18 points.

Any proposal that does not reach all the above thresholds will be rejected.

Policy and contextual relevance of the NGO or specialised network's annual work programme 25/100 (threshold: 13)	Proposed weighting	Technical quality of the annual work programme proposed 40/100 (threshold: 20)	Proposed weighting	Management Quality 35/100 (threshold: 18)	Proposed weighting
(a) Consistency of the annual work programme with the Health programme and its annual work plan in terms of meeting their objectives and priorities	10	(a) Purpose of the annual work programme <ul style="list-style-type: none"> ▪ The work programme of the applicant must clearly describe all objectives of the NGO or specialised network and their suitability for achieving expected results. Applicants must demonstrate that the work programme submitted gives a true and fair view of all activities planned for the organisation/specialised network in 2012, including those activities which do not fit in with the 2012 work plan of the Health programme 	10	(a) Planning of annual work <ul style="list-style-type: none"> ▪ Applicants must clearly describe activities to be undertaken, timetable and milestones; deliverables, nature and distribution of tasks and provide a risk analysis. 	10
(b) Organisation's activities ⁷ The organisation's activities must be described in relation to the priorities detailed in the work plan for 2012 of the Health Programme	10	(b) Operational Framework <ul style="list-style-type: none"> ▪ Applicants' work programme must clearly describe the activities planned, tasks, responsibilities and timetables of the part of their work programme consistent with the 2012 work plan of the Health Programme and describe its relationship with the other parts of their activity. 	10	(b) Organisational capacity <ul style="list-style-type: none"> ▪ Applicants must clearly describe the management process, human resources and competencies of staff, responsibilities, internal communication, decision-making, monitoring and supervision. Applicants must also clearly specify the working relationships with relevant partners and stakeholders 	10
(c) Pertinence of the geographical coverage of the NGO or specialised network. The annual work programme of the applicant should include activities of a representative number of participating countries	5	(c) Evaluation strategy <ul style="list-style-type: none"> ▪ The applicants' work programme must clearly describe the internal and external evaluation of their activities and indicators to be used 	10	(c) Overall and detailed budget <ul style="list-style-type: none"> ▪ Applicants must ensure that the budget is relevant, appropriate, balanced and consistent in itself and for the activities planned 	10
		(d) Dissemination strategy <ul style="list-style-type: none"> ▪ Applicants must clearly illustrate the adequacy of actions and methods for communication and dissemination 	10	(d) Financial management <ul style="list-style-type: none"> ▪ Applicant must describe financial circuits, responsibilities, reporting procedures and, where possible, controls 	5
Total points	25		40		35

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

Renewal of Operating Grants

Point 2.2 of Annex I of the 2012 work plan foresees a possibility of renewal of operating grants awarded to non-governmental bodies and specialised networks. New operating grants and operating grants to be renewed compete together for the available budget.

VI. FINANCIAL PROVISIONS

The Financial Regulation⁵ lays down the rules to be applied with a view to ensuring that the procedures for protecting Union funds are complied with. This Regulation and its Implementing Rules⁶ constitute the applicable provisions for all the financial measures to implement the second Health Programme.

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

For operating grants awarded EU co-funding, the Awarding Authority will determine the maximum amount of financial assistance to be granted and the percentage of co-funding on the basis of budget availability.

The functioning of a non governmental body or a specialised network is 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 its total functioning costs without diluting either the objectives or the content of its operation.

Operating grants to non governmental bodies or specialised networks are calculated on the basis of eligible costs incurred. The maximum rate of EU co-funding for an operating grant is 60%. For operating grant proposals that may be considered of exceptional utility, a maximum EU co-funding of 80% of the eligible costs could be envisaged.

The assessment of exceptional utility will be carried out according to the criteria set out in sections 1 and 3 of Annex VII of the work plan 2012. The Awarding Authority will determine in each individual case the maximum percentage to be awarded.

The EU co-funding will cover eligible costs incurred during one financial year, starting according to the relevant applicable legislation of the country where the applicant is established.

As laid down in point 2.2. of the 2012 work plan, the renewal of financial contributions to non-governmental bodies and specialised networks may be exempted from the principle of gradual decrease. As a general rule, this exemption will apply to applicant organisations not receiving any of their funding from the private sector⁸ or other conflicting interest for their functioning (core funding). For all other renewed operating

⁸ The term 'private sector' covers 'for-profit' companies/enterprises/corporations, business organisations or other entities irrespective of their legal nature (registered/not registered), ownership (wholly or partially privately owned/state owned) or size (large/small), if they are not controlled by the public.

grants, a decrease of 1 percentage point as compared to the EU co-funding percentage agreed in the grant agreement following the call for proposals 2011 will be applied. In any case, the amount of EU co-funding cannot be higher than the amount granted in 2011.

The programme budget for the period 2008-2013 is €321.500.000. For the work plan 2012, the indicative amount of the operating budget is €49.688.800. Out of this amount, €4.400.000 are reserved for the call for proposals for operating grants.

VII. SUBMISSION OF PROPOSALS

In submitting a proposal, applicants accept the procedures and conditions as described in this call and in the documents to which it refers. Applications that do not comply with these requirements will be rejected.

Application package

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

Documents	Comments	Formal requirements
PROPOSAL		
Application form for operating grants	The application form, to be downloaded from the website: http://ec.europa.eu/eahc , provides information on administrative aspects of the organisation as well as the technical and financial information of the annual work programme proposed	1 signed original + 4 photocopies + an electronic version saved on CD-ROM
Declaration of honour	<p>Declaration of honour stating that the applicant is not in any of the situations of exclusion listed in Articles 93 and 94 of the Financial Regulation.</p> <p>This declaration of honour will be automatically created by the form based on the entered data. This needs to be printed and signed by the applicant.</p> <p>Signing the form occurs through signing the Declaration of Honour.</p>	<p>Signed original to be included with the application package.</p> <p>Declarations of honour sent separately will not be accepted. Only original declarations of honour will be accepted.</p>

Unilateral commitment-declaration	Unilateral commitment-declaration concerning the legal and financial independence as well as transparency of the applicant organisation. <u>The unilateral commitment-declaration form is not required from public bodies.</u>	Signed original to be included with the application package.
The organisation's annual work programme for 2013	Draft version is acceptable	5 copies
The organisation's latest annual activity report	In the case of a newly constituted organisation the curricula vitae of the members of the management board and the annual activity reports of the new body's member organisations should be provided.	1 copy
Curriculum vitae	Of the key staff performing the work in connection with the annual work programme	1 copy
List of members	In full, per country and/or the link to the web-site on which all members are listed	1 copy

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

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

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

Only complete application packages will be admitted to the evaluation procedure. Applicants are responsible for ensuring the application is complete according to the requirements specified in this chapter. Incomplete application packages or applications received in more than one package will be automatically excluded.

Additional documentation

At any moment during the selection phase the Awarding Authority may request t to provide the organisation's status / articles of association, the official registration certificate of the association, etc. It may also request a letter of commitment, etc. from any external sponsor. Such documentation must be delivered by the main applicant, **within the deadline specified in the request**, by e-mail to: EAHC-PHP-CALLS@ec.europa.eu and by fax at: +352 4301 30359.

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

Deadline

The final deadline for the submission of proposals is **9 March 2012** (date of post stamp).

Submission

Application package and CD-ROM

Applicants may submit their proposals in one single batch:

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

European Commission
**CALL FOR PROPOSALS “HEALTH – 2012”
OPERATING GRANTS**

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

2. or by hand delivery **at the following times: 9H00 to 16H30 Monday to Thursday and 9H00 to 16H00 on Friday** to:

European Commission
**CALL FOR PROPOSALS “HEALTH – 2012”
OPERATING GRANTS**

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

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

3. or by private courier service to:

European Commission
**CALL FOR PROPOSALS “HEALTH – 2012”
OPERATING GRANTS**

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

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

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

IMPORTANT NOTICE

To avoid any delays in the call evaluation procedure, the Awarding Authority will disregard and not process proposals sent before or on the set deadline, as described in section VII above, but which have not been actually delivered by post or by private courier service to the Awarding Authority **before 6 April 2012**, even if late delivery is due to postal delays or to other reasons beyond the control of the applicant. It is understood that it is the responsibility of the applicant to ensure timely delivery of the proposal by a quality delivery service and that he will seek appropriate guarantees from the service he contracts to this effect.

Submission by fax or electronic mail will not be accepted.

A helpdesk at the Executive Agency for Health and Consumers will be available at: +352 4301 37707, e-mail address: EAHC-PHP-CALLS@ec.europa.eu on weekdays between 9.30 – 12.00 and 14.00 – 17.00. Please note that the helpdesk will be unavailable on weekends and during the Christmas period (23 December 2011 to 2 January 2012).

VIII. GENERAL REQUIREMENTS

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

IX. PROTECTION OF PERSONAL DATA

All the applications received by 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 link below:

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