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CONSUMERS, HEALTH, AGRICULTURE AND FOOD EXECUTIVE AGENCY

Health and Food Safety Unit

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**THIRD PROGRAMME OF THE UNION'S ACTION  
IN THE FIELD OF HEALTH (2014-2020)**

**2018 CALL FOR PROPOSALS FOR PROJECTS  
(HP-PJ-04-2018)**

**CALL A: IMPLEMENTATION OF BEST PRACTICES TO PROMOTE HEALTH AND PREVENT  
NON-COMMUNICABLE DISEASES AND TO REDUCE HEALTH INEQUALITIES  
TOPIC 6: WHOLEGRAIN INITIATIVE.**

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## **1. INTRODUCTION – BACKGROUND**

This Call for proposals is published in the framework of the Third Programme for the Union's action in the field of Health (2014-2020) adopted by the European Parliament and the Council<sup>1</sup> on 11 March 2014 (further referred as "the Programme").

The Consumers, Health, Agriculture and Food Executive Agency (Chafea), acting under delegated powers by the Commission, is entrusted with the implementation of the above programme.

The general objectives of the Programme shall be to complement, support and add value to the policies of the Member States aimed at improving the health of Union citizens and reduce health inequalities by promoting health, encouraging innovation in health, increasing the sustainability of health systems and protecting Union citizens from serious cross-border health threats.

The specific objectives of the Programme are:

- (1) Promoting health, preventing diseases and fostering supportive environments for healthy lifestyles taking into account the 'health in all policies' principle;
- (2) Protecting Union citizens from serious cross-border health threats;
- (3) Contributing to innovative, efficient and sustainable health systems, and
- (4) Facilitating access to better and safer healthcare for Union citizens.

The 2018 Annual Work Programme<sup>2</sup> sets out details of the financing mechanisms and priority areas for action to implement the programme<sup>3</sup>. The present call for proposals falls under the financing mechanism "2.1. Grants for projects", as described in the Annex to the Annual Work Programme for 2018.

Interested parties active in the field of public health are invited to submit applications in accordance with the provisions of the Annex to the 2018 Work Programme and this call text, in order to pursue the objectives of the third Health Programme.

## **2. OBJECTIVE(S) – THEME(S) – PRIORITIES**

Section 2.1.1 of the Annex to the 2018 Work Programme sets out that the priority in the area of promotion of good health, prevention of non-communicable diseases and

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<sup>1</sup> Regulation No 282/2014 of the European Parliament and of the Council of 11 March 2014 on the establishment of a third Programme for the Union's action in the field of health (2014-2020) and repealing Decision No 1350/2007/EC. OJ L86, volume 57; 21 March 2014.

<sup>2</sup> Commission Implementing Decision of 13.12.2017 C(2017) 8350 concerning the work programme for 2018 in the framework of the third Programme of the Union's action in the field of health (2014-2020) and the EU financial contribution to the WHO Framework Convention on Tobacco Control, serving as a financing decision.

<sup>3</sup> [https://ec.europa.eu/health/sites/health/files/programme/docs/wp2018\\_annex\\_en.pdf](https://ec.europa.eu/health/sites/health/files/programme/docs/wp2018_annex_en.pdf)

scaling up integrated care is on transferring and/or scaling up existing good and best practices.

The main objective is to support pan-EU collaboration between health and/or social services actors at national, regional or local levels to help Member States to reach the UN/WHO voluntary global targets on non-communicable diseases and achieve the Sustainable Development Goal 3.4.

Pursuant to the 2018 Work Programme, two calls for proposals for action grants were to be launched under this item. Call A: Implementation of best practices to promote health and prevent non-communicable diseases and to reduce health inequalities and Call B: Integrated care.

The present call for proposals concerns subtopic **CALL A: Implementation of best practices to promote health and prevent non-communicable diseases and to reduce health inequalities.**

The expected results of the call are the following:

- (1) Supporting the transfer of best practices from one Member State to a group of other Member States may lead to a number of benefits, such as increase in healthy lives of citizens, reduced burden of diseases, reduced (co-) morbidity/mortality, and reduced demand for treatment. In turn, these benefits help contain costs in health systems and increase their cost-effectiveness.
- (2) In addition, knowledge will be gained about how best practices can be transferred or scaled up. Such knowledge can help Member States implement concrete good practices to promote good health and prevent diseases on the ground. With the transfer and scale-up of innovative, digitally-enabled integrated care models, these actions will contribute to the transformation of health and care in the Digital Single Market.
- (3) This work will also produce important information to help reporting on the main indicator of Objective 1 of the Third Health Programme ('Promote health, prevent diseases and foster supportive environments for healthy lifestyles') with respect to best practices implemented by Member States.

To measure the results, indicators will be agreed with those Member States planning to participate in the project. The implementation of the best practices will be closely monitored by the Steering Group on Promotion and Prevention so that the lessons learned can be used for subsequent priority setting and best practice transfers.

Action grants will be awarded to support best practices selected by Member States for transfer from one Member State to others as part of the work of the Steering Group on Promotion and Prevention.

According to the annual work plan, activities to be carried out under such an action grant may include but are not limited to:

- assessments of the situation to prepare the ground for practice transfer, including a feasibility analysis;

- regional or local level activities to prepare the practice transfer (e.g. information sessions);
- twinning of services including exchange of staff with the ‘practice owner’, study visits and joint workshops with the ‘practice owner’ and experts from all countries transferring the same practice;
- translation of materials;
- monitoring of the process and assessment of the outcomes;
- support to develop sustainability measures beyond the action's term including innovative financing and public procurement possibilities.

### 1.1. Selected best practices

Non-communicable chronic diseases have a major impact on the health of European citizens on the burden on health systems, and on the productivity of our societies. Contributing for decision makers in Member States to have the most up to date knowledge on best practices related to the reduction of such burden is thus most relevant to better support national health systems and EU citizens. Supporting the awareness, commitment and roll-out of initiatives that have shown to work is an essential way of creating and delivering value to the citizens.

Whereas a best practice cannot be replicated without adaptation and adjustment, the results, experience of on-going and past initiatives always constitute a wealth of relevant knowledge. Considering them may allow to avoid mistakes or to leap frog painful development steps; ignoring them may result in huge wastes of time and resources, and of opportunities to improve public health.

Public health authorities should have access to the best scientific evidence base and to the expert evaluation of tried practices whenever considering disease prevention and management options. They should also have the opportunity to be briefed directly by those that have successfully led (past) initiatives and discuss, among others, pitfalls and success factors. Finally, they should be supported in the key steps of preparation of implementation to increase scope and likelihood of success.

Building on such information and support, and considering their national context and political priorities, Member States can then be in a better position to proceed with wide scale implementation of validated best practices and interventions. The stronger the commitment and the wider the roll-out, the more promising the results for the patients and citizens will be.

In order to support this process of promoting that more tested solutions benefit the citizen as fast and wide as possible, the Commission has set up the *Steering Group on Health Promotion, Disease Prevention and Management of Non Communicable Diseases (SGPP)*<sup>4</sup>. This group selects best practices for transfer between countries with the support of the 3rd Health Programme and other sources.

During a marketplace workshop in March 2018 the Danish Whole Grain Partnership (WGP) initiative was presented to Member States. Afterwards, several Member

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<sup>4</sup> [https://ec.europa.eu/health/non\\_communicable\\_diseases/steeringgroup\\_promotionprevention\\_en](https://ec.europa.eu/health/non_communicable_diseases/steeringgroup_promotionprevention_en)

States have already expressed interest in wider rolling out of this practice<sup>5</sup> and the Commission wishes to further support this process.

For that purpose, this call for proposals is being launched to facilitate the transfer of this best practice to other countries.

### **1.2. Topic 3: Transferring the Danish Whole Grain Partnership initiative to other countries**

The proposals should describe how the concept of WGP would be deployed in the participating Member States, including how the responsible authorities will be involved and their commitment secured with the objective of achieving the sustainable widest possible roll-out of the practice by the end of the action.

Among others, the proposals should describe how actions will be taken to:

- assess the preparedness and feasibility of (local, regional, national) health departments in selected countries for introducing WGP ;
- increase the awareness among policy-makers and health professionals of the importance of whole grain as a part of a diet to promote health and prevent diseases;
- develop, adopt, translate and provide high quality implementation tools for WGP;
- inform and educate food business operators to get their commitment to use more whole grain in their products (such as bread, pasta and rice) and to increase their offer of whole grain options, in the appropriate context (namely with the assurance - via the use of nutrition profiles or other effective action - that the initiative will not promote nutritionally unbalanced products);
- implement local, regional or national activities for contextualized practice transfer;
- monitor the implementation process and assess the outcome of the implementation of WGP;
- design measures to assess and increase the sustainability of WGP after the implementation phase;
- develop opportunities and supportive networks for capacity building between the participating countries and the EU.

Actions such as feasibility assessments or studies, legal checks, needs assessment (including training), cost estimations, preparation of replication manuals (including translations where necessary), study visits and twinning, workshops with stakeholders, etc., would be expected

Unless duly justified, it is expected that the public health authorities of at least the following countries will be involved: Denmark, Luxembourg, Norway, Romania and Slovenia.

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<sup>5</sup> [https://ec.europa.eu/health/sites/health/files/major\\_chronic\\_diseases/docs/ev\\_20180208\\_mi\\_en.pdf](https://ec.europa.eu/health/sites/health/files/major_chronic_diseases/docs/ev_20180208_mi_en.pdf)

The proposals should describe and justify which indicators will be used to measure outcome (e.g.: increase in daily intake of whole grain, increase in use of whole grain in food products, increase in offer of whole grain options) and to monitor the implementation of the action and measure the success of transferring the best practice (e.g. number of committed food business operators; translation and validation of guidelines and tools).

To complement the task of monitoring and evaluation, the selected proposal will be provided with an OECD guide to support the monitoring of the implementation of best practices in general and the design of indicators in particular. The OECD may also provide specific advice to this action on how to optimise the cost-effectiveness of the best practice and an economic analysis of its results.

### 3. TIMETABLE

	<b>Steps</b>	<b>Date and time or indicative period</b>
(a)	Publication of the call	19 December 2018
<b>(b)</b>	<b>Deadline for submitting applications</b>	13 March 2019, 17:00 Brussels local time
(c)	Evaluation period	April-June 2019
(d)	Information to applicants	No later than six months from the final deadline for submission of complete proposals, i.e. 13 September 2019
(e)	Signature of grant agreement(s)	Planned date: no later than nine months from the final deadline for submission of complete proposals, i.e. 13 December 2019

### 4. BUDGET AVAILABLE

The maximum amount for the present call is EUR 1 200 000.

The maximum rate of EU co-financing is 60 %. However, this may go up to 80 % if a proposal meets the criteria for exceptional utility specified in the Annex to the 2018 Annual Work Programme. More information is provided in the Guide of applicants.

CHAFEA expects to fund 1 or more proposals.

CHAFEA reserves the right not to distribute all the funds available.



## 5. ADMISSIBILITY REQUIREMENTS

In order to be admissible, applications must be:

- sent no later than the deadline for submitting applications referred to in section 3;
- submitted in writing (see section 14), using the electronic submission system via the *European Commission's Funding & tender opportunities Portal*<sup>6</sup> available at <https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/home> ; and
- submitted in any official language of the European Union. However, in order to facilitate assessment by the evaluators, an English translation of the technical part should accompany that written in another EU official language.

Failure to comply with those requirements will lead to rejection of the application.

## 6. ELIGIBILITY CRITERIA

The compliance with the eligibility criteria will be assessed based on the application content.

*For British applicants: Please be aware that eligibility criteria must be complied with for the entire duration of the grant. If the United Kingdom withdraws from the EU during the grant period without concluding an agreement with the EU ensuring in particular that British applicants continue to be eligible, you will cease to receive EU funding (while continuing, where possible, to participate) or be required to leave the project on the basis of Article 34.3 of the grant agreement.*

### 6.1. Eligible applicants

Grant applications are eligible if submitted by legal persons. Pursuant to article 8 of Regulation (EU) No 282/2014 (the 'Programme Regulation'), the applicants<sup>7</sup> must be legally established organisations, public authorities, public sector bodies, in particular research and health institutions, universities and higher education establishments.

The application shall state the legal status of the applicant.

Applicants participating in a project proposal have to be **3 different legal entities (i.e., independent from each other) from at least 3 countries participating in the Health Programme**. Proposals, which involve fewer applicants and/or cover fewer countries, will be rejected.

International organisations and their national or regional offices are not eligible for funding as main or associated beneficiaries under this call for proposals.

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<sup>6</sup> Single Electronic Data Interchange Area (SEDIA)

<sup>7</sup> Article 8 of the Health Programme Regulation [(EU) No 282/2014]; The term "applicants" refers to the coordinator and the co-applicants (including sole applicants).

## Country of establishment

Only applications from entities established in one of the following countries are eligible:

- EU Member States;
- Iceland and Norway;
- Countries which have a bilateral agreement with the European Union, in accordance with Article 6 of Regulation (EU) No 282/2014 (the 'Programme Regulation'). Please check the Chafea website for an updated list of countries.

In accordance with Recital 23 of Regulation No 282/2014<sup>8</sup>, collaboration should be facilitated with third countries not participating in the programme. This should not involve a financial contribution under the Health Programme. Nevertheless, travel and subsistence expenses for experts invited from or travelling to such countries can be considered eligible costs in duly justified, exceptional cases, where these directly contribute to the objectives of the Health Programme.

## Supporting documents

In order to assess the applicants' eligibility, the following supporting documents are requested:

Examples of supporting documents:

- **private entity:** extract from the official journal, copy of articles of association, extract of trade or association register, certificate of liability to VAT (if, as in certain countries, the trade register number and VAT number are identical, only one of these documents is required);
- **public entity:** copy of the resolution, decision or other official document establishing the public-law entity ;

In the course of the procedure applicants are requested to register and provide a Participant Identification Code (PIC, 9-digit number), serving as the unique identifier of their organisation in the Participant Register. Applicant(s) will receive instructions on how to create a PIC in due time.

Upon communication of the applicant's PIC, the *EU Validation Services (Research Executive Agency Validation Services)* will contact the applicant (via the messaging system embedded in the Participant Register) and request the latter to provide the supporting documents necessary to prove the legal existence and status and the financial capacity of the organisation. All

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<sup>8</sup> Recital 23 of the Regulation states: *Appropriate relations with third countries not participating in the Programme should be facilitated in order to help achieve the objectives of the Programme, taking into account any relevant agreements between those countries and the Union. This could involve the Union organising health events or third countries undertaking activities, which are complementary to those financed under the Programme, in areas of mutual interest, but should not involve a financial contribution under the Programme.*

necessary details and instructions will be provided via this separate notification.

## 6.2. Eligible activities

Project proposals may be submitted for the specific topic specified below. For full description of the objectives pursued and results expected, please consult the Annex to the 2018 Annual Work Programme, Section 2.1.1.

Ref. in AWP 2018	TITLE	TOPIC	INDICATIVE AMOUNT	Grants foreseen
Section 2.1.1.	2.1.1. Implementation of best practices — promotion of good health, prevention of non-communicable diseases and scaling up integrated care	Call A — Implementation of best practices to promote health and prevent non-communicable diseases and to reduce health inequalities	Remaining EUR 1 200 000 for this call	One or more

## Implementation period

The indicative duration of projects under this call is **36 months**. The grant application must specify the indicative starting date and duration of the action.

Applications for actions that have already commenced by the date on which the grant application is submitted in the PP will be excluded from funding.

## 7. EXCLUSION CRITERIA

### 7.1. Exclusion

The authorising officer shall exclude an applicant from participating in call for proposals procedures where:

- (a) the applicant is bankrupt, subject to insolvency or winding-up procedures, its assets are being administered by a liquidator or by a court, it is in an arrangement with creditors, its business activities are suspended, or it is in any analogous situation arising from a similar procedure provided for under EU or national laws or regulations;
- (b) it has been established by a final judgment or a final administrative decision that the applicant is in breach of its obligations relating to the payment of taxes or social security contributions in accordance with the applicable law;
- (c) it has been established by a final judgment or a final administrative decision that the applicant is guilty of grave professional misconduct by having violated applicable laws or regulations or ethical standards of the profession to which the applicant

belongs, or by having engaged in any wrongful intent or gross negligence, including, in particular, any of the following:

- (i) fraudulently or negligently misrepresenting information required for the verification of the absence of grounds for exclusion or the fulfilment of eligibility or selection criteria or in the performance of a contract, a grant agreement or a grant decision;
  - (ii) entering into agreement with other applicants with the aim of distorting competition;
  - (iii) violating intellectual property rights;
  - (iv) attempting to influence the decision-making process of the [Commission] [Agency] during the award procedure;
  - (v) attempting to obtain confidential information that may confer upon it undue advantages in the award procedure;
- (d) it has been established by a final judgment that the applicant is guilty of any of the following:
- (i) fraud, within the meaning of Article 3 of Directive (EU) 2017/1371 of the European Parliament and of the Council and Article 1 of the Convention on the protection of the European Communities' financial interests, drawn up by the Council Act of 26 July 1995;
  - (ii) corruption, as defined in Article 4(2) of Directive (EU) 2017/1371 or Article 3 of the Convention on the fight against corruption involving officials of the European Communities or officials of Member States of the European Union, drawn up by the Council Act of 26 May 1997, or conduct referred to in Article 2(1) of Council Framework Decision 2003/568/JHA, or corruption as defined in the applicable law;
  - (iii) conduct related to a criminal organisation, as referred to in Article 2 of Council Framework Decision 2008/841/JHA;
  - (iv) money laundering or terrorist financing within the meaning of Article 1(3), (4) and (5) of Directive (EU) 2015/849 of the European Parliament and of the Council;
  - (v) terrorist offences or offences linked to terrorist activities, as defined in Articles 1 and 3 of Council Framework Decision 2002/475/JHA, respectively, or inciting, aiding, abetting or attempting to commit such offences, as referred to in Article 4 of that Decision;
  - (vi) child labour or other offences concerning trafficking in human beings as referred to in Article 2 of Directive 2011/36/EU of the European Parliament and of the Council;
- (e) the applicant has shown significant deficiencies in complying with main obligations in the performance of a contract, a grant agreement or a grant decision financed by the Union's budget, which has led to its early termination or to the application of liquidated damages or other contractual penalties, or which has been discovered following checks, audits or investigations by an authorising officer, OLAF or the Court of Auditors;
- (f) it has been established by a final judgment or final administrative decision that the applicant has committed an irregularity within the meaning of Article 1(2) of Council Regulation (EC, Euratom) No 2988/95;

- (g) It has been established by a final judgement or final administrative decision that the applicant has created an entity in a different jurisdiction with the intent to circumvent fiscal, social or any other legal obligations of mandatory application in the jurisdiction of its registered office, central administration or principal place of business;
- (h) it has been established by a final judgement or final administrative decision that an entity has been created with the intent referred to in point (g);
- (i) for the situations referred to in points (c) to (h) above, the applicant is subject to:
  - (i) facts established in the context of audits or investigations carried out by European Public Prosecutor's Office after its establishment, the Court of Auditors, the European Anti-Fraud Office or the internal auditor, or any other check, audit or control performed under the responsibility of an authorising officer of an EU institution, of a European office or of an EU agency or body;
  - (ii) non-final judgments or non-final administrative decisions which may include disciplinary measures taken by the competent supervisory body responsible for the verification of the application of standards of professional ethics;
  - (iii) facts referred to in decisions of persons or entities being entrusted with EU budget implementation tasks;
  - (iv) information transmitted by Member States implementing Union funds;
  - (v) decisions of the Commission relating to the infringement of Union competition law or of a national competent authority relating to the infringement of Union or national competition law; or
  - (vi) decisions of exclusion by an authorising officer of an EU institution, of a European office or of an EU agency or body.

## **7.2. Remedial measures**

If an applicant declares one of the situations of exclusion listed above (see section 7.1), it must indicate the measures it has taken to remedy the exclusion situation, thus demonstrating its reliability. This may include e.g. technical, organisational and personnel measures to correct the conduct and prevent further occurrence, compensation of damage or payment of fines or of any taxes or social security contributions. The relevant documentary evidence which illustrates the remedial measures taken must be provided in annex to the declaration. This does not apply for situations referred in point (d) of section 7.1.

## **7.3. Rejection from the call for proposals**

The authorising officer shall not award a grant to an applicant who:

- (a) is in an exclusion situation established in accordance with section 7.1; or
- (b) has misrepresented the information required as a condition for participating in the procedure or has failed to supply that information; or
- (c) was previously involved in the preparation of documents used in the award procedure where this entails a breach of the principle of equal treatment, including distortion of competition, that cannot be remedied otherwise.

The same exclusion criteria apply to affiliated entities.

Administrative sanctions (exclusion) may be imposed on applicants, or affiliated entities where applicable, if any of the declarations or information provided as a condition for participating in this procedure prove to be false.

#### 7.4. Supporting documents

Applicants and affiliated entities must provide a declaration on their honour certifying that they are not in one of the situations referred to in Articles 136(1) and 141 FR, by filling in the relevant form in the Electronic Submission System.

This obligation shall be fulfilled following way:

- the coordinator of a consortium signs a declaration on behalf of all applicants and their affiliated entities; OR

### 8. SELECTION CRITERIA

Only proposals that meet the eligibility and exclusion criteria will be assessed on the basis of the selection criteria.

#### 8.1. Financial capacity

Applicants must have stable and sufficient sources of funding to maintain their activity throughout the duration of the grant and to participate in its funding. The applicants' financial capacity will be assessed on the basis of the following supporting documents to be submitted with the application:

a) Low value grants ( $\leq$  EUR 60 000):

- a declaration on their honour.

b) Grants  $>$  EUR 60 000:

- a declaration on their honour, and

EITHER

- the profit and loss account as well as the balance sheet for the last financial year for which the accounts were closed;
- for newly created entities: the business plan might replace the above documents;

OR

- the table provided for in the application form, filled in with the relevant statutory accounting figures, in order to calculate the ratios as detailed in the form.

c) Grants for an action  $>$  EUR 750 000 or operating grants  $>$  EUR 100 000:

- (i) the information and supporting documents mentioned in point b) above, and
- (ii) **an audit report** produced by an approved external auditor certifying the accounts for the last financial year available, where such an audit report is available or whenever a statutory report is required by law.

If the audit report is not available AND a statutory report is not required by law, a self-declaration signed by the applicant's authorised

representative certifying the validity of its accounts for the last financial year available must be provided.

In the event of an application grouping several applicants (consortium), the above thresholds apply to each applicant.

In the case of legal entities forming **one** applicant (the "sole applicant"), as specified in section 6.1, the above requirements apply to each one of those entities.

On the basis of the documents submitted, if the Commission considers that financial capacity is weak, s/he may:

- request further information;
- decide not to give pre-financing;
- decide to give pre-financing paid in instalments;
- decide to give pre-financing covered by a bank guarantee (see section 11.4 below);
- where applicable, require the joint and several financial liability of all the co-beneficiaries.

If the Responsible Authorising Officer considered that the financial capacity is insufficient s/he will reject the application.

## **8.2. Operational capacity**

Applicants must have the professional competencies as well as appropriate qualifications necessary to complete the proposed action. In this respect, applicants have to submit a declaration on their honour.

As evidence the general profiles (qualifications and experiences) of key staff in all organisations involved in the proposed action must be provided in part B of the proposal.

In the case of legal entities forming **one** applicant (the "sole" applicant), as specified in section 6.1, the above requirements apply to each one of those entities.

## **9. AWARD CRITERIA**

Eligible applications/projects will be assessed on the basis of the following criteria:

Only proposals that meet the eligibility, exclusion and selection criteria will be assessed according to the award criteria included under the Annex to the Annual Work Programme 2018, also comprising the following sub-criteria:

<b>Criteria</b>	<b>Maximum score (in points)</b>	<b>Threshold (pass-mark)</b>
1 – Policy and contextual relevance	10	7
2 – Technical quality	10	6
3 – Management quality	10	6

4 – Overall and detailed budget	10	6
<b>TOTAL</b>	<b>40</b>	<b>25</b>

### **Policy and contextual relevance**

Sub-criteria that are taken into account in the assessment:

- Relevance of the project to meeting the objectives and priorities defined in the annual work plan of the third Health Programme, under which the call for proposals is published;
- Added value at EU level in the field of public health;
- Pertinence of the geographical coverage of the proposal;
- Consideration of the social, cultural and political context.

### **Technical quality**

Sub-criteria that are taken into account in the assessment:

- Quality of the evidence base;
- Quality of the content;
- Innovative nature, technical complementarity and avoidance of duplication of other existing actions at EU level;
- Quality of the evaluation strategy;
- Quality of the dissemination strategy and plan.

### **Management quality**

Sub-criteria that are taken into account in the assessment:

- Quality of the planning and appropriate task distribution to implement the project,
- Relevance of the organisational arrangements, including financial management,
- Quality and complementarity of the partnership.

### **Overall and detailed budget**

Sub-criteria that are taken into account in the assessment:

- Realistic estimation of person days per deliverable and per work package;
- Reasonableness of the budget allocated for evaluation and dissemination.



## **10. LEGAL COMMITMENTS**

Following the evaluation, CHAFEA establishes a list of all eligible proposals. Proposals under each priority topic are ranked according to the total number of points awarded. Only proposals reaching the above thresholds are eligible for co-funding. Depending on the budget availability as indicated in the annual work plan, the highest ranked proposal or proposals per priority topic will be awarded a grant.

In the event of a grant awarded, the coordinator is invited to enter into an adaptation period via an on-line grant preparation system (SYGMA). If successful, this should result in the signature of a grant agreement, drawn up in euro and detailing the conditions and level of funding.

The grant agreement must be signed electronically first by the coordinator on behalf of the consortium and then by Chafea. All co-beneficiaries must accede to the grant agreement by signing electronically the accession form to the grant.

**The applicants understand that submission of a grant application implies acceptance of the general conditions attached to this call for proposals. These general conditions bind the beneficiary to whom the grant is awarded and shall constitute an annex to the grant decision.**

## **11. FINANCIAL PROVISIONS**

### **11.1. Form of the grant**

#### **11.1.1 Reimbursement of costs actually incurred**

The grant shall take the form of reimbursement of a specified proportion of eligible costs actually incurred and declared by the beneficiary and its affiliated entities.

The maximum co-financing rates applicable under this call for proposals are as follows:

- (a) For normal grants: 60 % of the eligible costs;
- (b) For grants with exceptional utility: 80 % of the eligible costs;<sup>9</sup>

For details on eligibility of costs, please refer to section 11.2.

### **11.2. Eligible costs**

Eligible costs shall meet all the following criteria:

- they are incurred by the beneficiary.
- they are incurred during the duration of the action, with the exception of costs relating to final reports and audit certificates;

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<sup>9</sup> See "Criteria to assess the exceptional utility of projects, operating grants and actions cofinanced with Member State authorities applications under the third Programme for the Union's action in the field of health (2014-2020)" in Section 2 of the Annex to the Annual Work Programme 2018, at [https://ec.europa.eu/health/content/adoption-of-the-work-plan-2018\\_en](https://ec.europa.eu/health/content/adoption-of-the-work-plan-2018_en)

- The period of eligibility of costs will start as specified in the grant agreement.
  - If a beneficiary can demonstrate the need to start the action before the agreement is signed, the costs eligibility period may start before that signature. Under no circumstances can the eligibility period start before the date of submission of the grant application.]
- they are indicated in the estimated budget of the action;
  - they are necessary for the implementation of the action which is the subject of the grant;
  - they are identifiable and verifiable, in particular being recorded in the accounting records of the beneficiary and determined according to the applicable accounting standards of the country where the beneficiary is established and according to the usual cost accounting practices of the beneficiary;
  - they comply with the requirements of applicable tax and social legislation;
  - they are reasonable, justified, and comply with the principle of sound financial management, in particular regarding economy and efficiency.

The beneficiary's internal accounting and auditing procedures must permit direct reconciliation of the costs and revenue declared in respect of the action/project with the corresponding accounting statements and supporting documents.

The same criteria apply to costs incurred by the affiliated entities.

Eligible costs may be direct or indirect.

### **11.2.1. Eligible direct costs**

The eligible direct costs for the action are those costs which:

**with due regard to the conditions of eligibility set out above**, are identifiable as specific costs directly linked to the performance of the action and which can therefore be booked to it directly, such as :

- (a) *the costs of personnel working under an employment contract with the beneficiary or an equivalent appointing act and assigned to the action, provided that these costs are in line with the beneficiary's usual policy on remuneration.*

*Those costs include actual salaries plus social security contributions and other statutory costs included in the remuneration. They may also comprise additional remunerations, including payments on the basis of supplementary contracts regardless of the nature of those contracts, provided that they are paid in a consistent manner whenever the same kind of work or expertise is required, independently from the source of funding used;*

*The costs of natural persons working under a contract with the beneficiary other than an employment contract or who are seconded to the beneficiary by a third party against payment may also be included under such personnel costs, provided that the following conditions are fulfilled:*

- (i) *the person works under conditions similar to those of an employee (in particular regarding the way the work is organised, the tasks that are performed and the premises where they are performed);*

- (ii) *the result of the work belongs to the beneficiary (unless exceptionally agreed otherwise); and*
- (iii) *the costs are not significantly different from the costs of staff performing similar tasks under an employment contract with the beneficiary;*

The recommended methods for the calculation of direct personnel costs are provided in Appendix.

- (b) *not applicable.*
- (c) *costs of travel and related subsistence allowances, provided that these costs are in line with the beneficiary's usual practices on travel;*
- (d) *the depreciation costs of equipment or other assets (new or second-hand) as recorded in the beneficiary's accounting statements, provided that the asset:*
  - (i) *is written off in accordance with the international accounting standards and the beneficiary's usual accounting practices; and*
  - (ii) *has been purchased in accordance with the rules on implementation contracts laid down in the grant agreement, if the purchase occurred within the implementation period;*

*The costs of renting or leasing equipment or other assets are also eligible, provided that these costs do not exceed the depreciation costs of similar equipment or assets and are exclusive of any finance fee;*

*Only the portion of the equipment's depreciation, rental or lease costs corresponding to the implementation period and the rate of actual use for the purposes of the action may be taken into account when determining the eligible costs. By way of exception, the full cost of purchase of equipment may be eligible under the Special Conditions, if this is justified by the nature of the action and the context of the use of the equipment or assets;*

- (e) *costs of consumables and supplies, provided that they:*
  - (i) *are purchased in accordance with the rules on implementation contracts laid down in the grant agreement; and*
  - (ii) *are directly assigned to the action;*
- (f) *costs arising directly from requirements imposed by the Agreement (dissemination of information, specific evaluation of the action, audits, translations, reproduction), including the costs of requested financial guarantees, provided that the corresponding services are purchased in accordance with the rules on implementation contracts laid down in the grant agreement;*
- (g) *costs derived from subcontracts, provided that specific conditions on subcontracting as laid down in the grant agreement are met;*
- (h) *not applicable;*

- (i) *duties, taxes and charges paid by the beneficiary, notably value added tax (VAT), provided that they are included in eligible direct costs, and unless specified otherwise in the grant agreement.*

### **11.2.2. Eligible indirect costs (overheads)**

Indirect costs are costs that are not directly linked to the action implementation and therefore cannot be attributed directly to it.

A flat-rate amount of 7 % of the total eligible direct costs of the action is eligible as indirect costs, representing the beneficiary's general administrative costs which can be regarded as chargeable to the action/project.

Indirect costs may not include costs entered under another budget heading.

**Applicants' attention is drawn to the fact that if they are receiving an operating grant financed by the EU or Euratom budget, they may not declare indirect costs for the period(s) covered by the operating grant, unless they can demonstrate that the operating grant does not cover any costs of the action.**

In order to demonstrate this, in principle, the beneficiary should:

- a. use *analytical cost accounting that allows to separate all costs (including overheads)* attributable to the operating grant and the action grant. For that purpose the beneficiary should use *reliable accounting codes and allocation keys* ensuring that *the allocation* of the costs is done in a *fair, objective and realistic way*.
- b. *record separately*:
  - all costs incurred for the operating grants (i.e. personnel, general running costs and other operating costs linked to the part of its usual annual activities), and
  - all costs incurred for the action grants (including the actual indirect costs linked to the action)

If the operating grant covers the entire usual annual activity and budget of the beneficiary, the latter is not entitled to receive any indirect costs under the action grant.

### **11.3. Ineligible costs**

The following items are not considered as eligible costs:

- a) return on capital and dividends paid by a beneficiary;
- b) debt and debt service charges;
- c) provisions for losses or debts;
- d) interest owed;
- e) doubtful debts;
- f) exchange losses;

- g) costs of transfers from the Commission charged by the bank of a beneficiary;
- h) costs declared by the beneficiary under another action receiving a grant financed from the Union budget. Such grants include grants awarded by a Member State and financed from the Union budget and grants awarded by bodies other than the Commission for the purpose of implementing the Union budget. In particular, beneficiaries receiving an operating grant financed by the EU or Euratom budget cannot declare indirect costs for the period(s) covered by the operating grant, unless they can demonstrate that the operating grant does not cover any costs of the action.
- i) contributions in kind from third parties;
- j) excessive or reckless expenditure;
- k) deductible VAT.

#### **11.4. Balanced budget**

The estimated budget of the action must be attached to the application form. It must have revenue and expenditure in balance.

The budget must be drawn up in euros.

Applicants for whom costs will not be incurred in euros should use the exchange rate published on the Infor-euro website available at:

[http://ec.europa.eu/budget/contracts\\_grants/info\\_contracts/inforeuro/inforeuro\\_en.cfm](http://ec.europa.eu/budget/contracts_grants/info_contracts/inforeuro/inforeuro_en.cfm).

The applicant must ensure that the resources which are necessary to carry out the action are not entirely provided by the EU grant.

Co-financing of the action may take the form of:

- the beneficiary's own resources,
- income generated by the action or work programme,
- financial contributions from third parties.

#### **11.5. Calculation of the final grant amount**

The final amount of the grant is calculated by the Commission at the time of the payment of the balance. The calculation involves the following steps:

##### **Step 1 — Application of the reimbursement rate to the eligible costs**

The amount under step 1 is obtained by applying the reimbursement rate specified in section 11.1.1 to the eligible costs actually incurred and accepted by the Commission.

##### **Step 2 — Limit to the maximum amount of the grant**

The total amount paid to the beneficiaries by the Commission may in no circumstances exceed the maximum amount of the grant as indicated in the grant agreement. If the amount obtained following Step 1 is higher than this maximum amount, the final amount of the grant is limited to the latter.

If volunteers' work is declared as part of direct eligible costs, the final amount of the grant is limited to the amount of total eligible costs approved by the Commission minus the amount of volunteers' work approved by the Commission.

### Step 3 — Reduction due to the no-profit rule

‘Profit’ means the surplus of receipts over the total eligible costs of the action, where receipts are the amount obtained following Steps 1 and 2 plus the revenue generated by the action for beneficiaries and affiliated entities other than non-profit organisations.

In-kind and financial contributions by third parties are not considered receipts.

The total eligible costs of the action are the consolidated total eligible costs approved by the Commission. The revenue generated by the action is the consolidated revenue established, generated or confirmed for beneficiaries [and affiliated entities] other than non-profit organisations on the date on which the request for payment of the balance is drawn up.

If there is a profit, it will be deducted in proportion to the final rate of reimbursement of the actual eligible costs of the action approved by the Commission.

### Step 4 — Reduction due to improper implementation or breach of other obligations

The Commission may reduce the maximum amount of the grant if the action has not been implemented properly (i.e. if it has not been implemented or has been implemented poorly, partially or late), or if another obligation under the Agreement has been breached.

The amount of the reduction will be proportionate to the degree to which the action has been implemented improperly or to the seriousness of the breach.

## 11.6. Reporting and payment arrangements

### 11.6.1 Payment arrangements

The beneficiary may request the following payments provided that the conditions of the grant agreement are fulfilled (e.g. payment deadlines, ceilings, etc.). The payment requests shall be accompanied by the documents provided below and detailed in the grant agreement:

Payment request	Accompanying documents
A <b>pre-financing payment</b> corresponding to up to 50% of the maximum grant amount	If applicable, a financial guarantee (see section 11.7.2)
<i>Up to 2 interim payment(s):</i>  The interim payment(s) shall not exceed 90% of the maximum grant amount.]	(a) interim technical report  (b) interim financial statement  (c) a certificate on the financial statements and underlying account, if applicable  (d) an operational verification report, if applicable
<b>Payment of the balance</b>  Chafea will establish the amount of this payment on the basis of the calculation of the final grant amount (see section 11.5 above). If the total of earlier payments is higher than the	(a) final technical report  (b) final financial statement  (c) summary financial statement aggregating the financial

<p>final grant amount, the beneficiary will be required to reimburse the amount paid in excess by the Commission through a recovery order.</p>	<p>statements already submitted previously and indicating the receipts</p> <p>(d) a certificate on the financial statements and underlying accounts, if applicable</p> <p>(e) an operational verification report, if applicable.</p>
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In case of a weak financial capacity, section 8.1 above applies.

### 11.6.2 Pre-financing guarantee

A pre-financing guarantee for up to the same amount as the pre-financing may be requested in order to limit the financial risks linked to the pre-financing payment.

The financial guarantee, in EURO, shall be provided by an approved bank or financial institution established in one of the EU Member States. When the beneficiary is established in a third country, the Commission may agree that a bank or financial institution established in that third country may provide the guarantee if it considers that the bank or financial institution offers equivalent security and characteristics as those offered by a bank or financial institution established in a Member State. Amounts blocked in bank accounts shall not be accepted as financial guarantees.

The guarantee may be replaced by:

- a joint and several guarantee by a third party or,
- a joint guarantee of the beneficiaries of an action who are parties to the same grant agreement.

The guarantee shall be released as the pre-financing is gradually cleared against interim payments or the payment of the balance, in accordance with the conditions laid down in the grant agreement.

As an alternative to requesting a guarantee on pre-financing, the Commission may decide to split the payment of pre-financing into several instalments.

### 11.7. Other financial conditions

#### a) Non-cumulative award

An action may only receive one grant from the EU budget.

Under no circumstances shall the same costs be financed twice by the Union budget. To ensure this, applicants shall indicate in the grant application the sources and amounts of Union funding received or applied for the same action or part of the action or for its (the applicant's) functioning during the same financial year as well as any other funding received or applied for the same action.

#### b) Non-retroactivity

No grant may be awarded retrospectively for actions already completed.

A grant may be awarded for an action which has already begun only where the applicant can demonstrate in the grant application the need to start the action before the grant agreement is signed.

In such cases, costs eligible for financing may not have been incurred prior to the date of submission of the grant application.

**c) Implementation contracts/subcontracting**

Where the implementation of the action requires the award of procurement contracts (implementation contracts), the beneficiary may award the contract in accordance with its usual purchasing practices provided that the contract is awarded to the tender offering best value for money or the lowest price (as appropriate), avoiding conflicts of interest.

The beneficiary is expected to clearly document the tendering procedure and retain the documentation in the event of an audit.

Entities acting in their capacity as contracting authorities within the meaning of Directive 2014/24/EU<sup>10</sup> or contracting entities within the meaning of Directive 2014/25/EU<sup>11</sup> must comply with the applicable national public procurement rules.

Beneficiaries may subcontract tasks forming part of the action. If they do so, they must ensure that, in addition to the above-mentioned conditions of best value for money and absence of conflicts of interests, the following conditions are also complied with:

- a) subcontracting does not cover core tasks of the action;
- b) recourse to subcontracting is justified because of the nature of the action and what is necessary for its implementation;
- c) the estimated costs of the subcontracting are clearly identifiable in the estimated budget;
- d) any recourse to subcontracting, if not provided for in description of the action, is communicated by the beneficiary and approved by the Commission. The Commission may grant approval:
  - (i) before any recourse to subcontracting, if the beneficiaries requests an amendment
  - (ii) after recourse to subcontracting if the subcontracting:
    - is specifically justified in the interim or final technical report and
    - does not entail changes to the grant agreement which would call into question the decision awarding the grant or be contrary to the equal treatment of applicants;
- e) the beneficiaries ensure that certain conditions applicable to beneficiaries, enumerated in the grant agreement (e.g. visibility, confidentiality, etc.), are also applicable to the subcontractors.

**d) Financial support to third parties**

The applications may not envisage provision of financial support to third parties.

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<sup>10</sup> Directive 2014/24/EU of the European Parliament and of the Council of 26 February 2014 on public procurement and repealing Directive 2004/18/EC (OJ L 94, 28.3.2014, p. 65-242)

<sup>11</sup> Directive 2014/25/EU of the European Parliament and of the Council of 26 February 2014 on procurement by entities operating in the water, energy, transport and postal services sectors and repealing Directive 2004/17/EC (OJ L 94, 28.3.2014, p. 243-374)



## **12. PUBLICITY**

### **12.1. By the beneficiaries**

Beneficiaries must clearly acknowledge the European Union's contribution in all publications or in conjunction with activities for which the grant is used.

In this respect, beneficiaries are required to give prominence to the name and emblem of the European Commission on all their publications, posters, programmes and other products realised under the co-financed project.

If this requirement is not fully complied with, the beneficiary's grant may be reduced in accordance with the provisions of the grant agreement.

### **12.2. By the Commission/Executive Agency**

With the exception of scholarships paid to natural persons and other direct support paid to natural persons in most need, all information relating to grants awarded in the course of a financial year shall be published on an internet site of the European Union institutions no later than the 30 June of the year following the financial year in which the grants were awarded.

The Commission will publish the following information:

- name of the beneficiary;
- address of the beneficiary when the latter is a legal person, region when the beneficiary is a natural person, as defined on NUTS 2 level<sup>12</sup> if he/she is domiciled within the EU or equivalent if domiciled outside the EU;
- subject of the grant;
- amount awarded.

Upon a reasoned and duly substantiated request by the beneficiary, the publication shall be waived if such disclosure risks threatening the rights and freedoms of individuals concerned as protected by the Charter of Fundamental Rights of the European Union or harm the commercial interests of the beneficiaries.

## **13. PROCESSING OF PERSONAL DATA**

The reply to any call for proposals involves the recording and processing of personal data (such as name, address and CV). Such data will be processed pursuant to Regulation (EC) No 2018/1725 on the protection of natural persons with regard to the processing of personal data by the Union institutions, bodies, offices and agencies and on the free movement of such data. Unless indicated otherwise, the questions and any personal data requested that are required to evaluate the application in accordance with the call for proposal will be processed solely for that purpose by the Executive Agency / the Commission.

Details concerning the processing of personal data are available on the privacy statement at the participants' portal:

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<sup>12</sup> Commission Regulation (EC) No 105/2007 of 1 February 2007 amending the annexes to Regulation (EC) No 1059/2003 of the European Parliament and of the Council on the establishment of a common classification of territorial units for statistics (NUTS), OJ L39, 10.2.2007, p.1.

<https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/support/legalnotice>

The Service Specific Privacy Statement on "Grant Management"<sup>13</sup> explains the reason for the collection and processing of your personal data, the way your personal data are protected and what rights you may exercise in relation to your data (the right to access, rectify, block etc.).

Personal data may be registered in the Early Detection and Exclusion System by the Commission, should the beneficiary be in one of the situations mentioned in Articles 136 and 141 of Regulation (EU, Euratom) 2018/1046<sup>14</sup>. For more information see the Privacy Statement on:

[https://ec.europa.eu/info/data-protection-public-procurement-procedures\\_en](https://ec.europa.eu/info/data-protection-public-procurement-procedures_en).

#### **14. PROCEDURE FOR THE SUBMISSION OF PROPOSALS**

Proposals must be submitted by the deadline set out under section 3.

No modification to the application is allowed once the deadline for submission has elapsed. However, if there is a need to clarify certain aspects or to correct clerical mistakes, the Commission may contact the applicant during the evaluation process.

Applicants will be informed in writing about the results of the selection process.

Applicants are requested to log in at <https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/home> and follow the procedure for submitting an application.

Applications sent by fax or e-mail will not be accepted.

#### **Contacts:**

- *For problems with the electronic submission system please contact the IT helpdesk set-up for this purpose via the participant portal web-site.*
- *For non-IT related questions a helpdesk at Chafea is available at: [CHAFEA-HP-CALLS@ec.europa.eu](mailto:CHAFEA-HP-CALLS@ec.europa.eu) on weekdays at 9.30 – 12.00 and 14.00 – 16.30. Note that the helpdesk is not available on European Commission's public holidays. Please note that any requests or replies do not constitute any ground to claim any expectation concerning the selection of the proposal or the award of the grant.*
- *Further information is published on the website of Chafea: [http://ec.europa.eu/chafea/health/funding/projects-grants/index\\_en.htm](http://ec.europa.eu/chafea/health/funding/projects-grants/index_en.htm)*
- *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 electronic exchange system allocated a proposal ID, the applicant must use this number in all subsequent correspondence.*

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<sup>13</sup> [http://ec.europa.eu/research/participants/data/support/legal\\_notice/h2020-ssps-grants\\_en.pdf](http://ec.europa.eu/research/participants/data/support/legal_notice/h2020-ssps-grants_en.pdf)

<sup>14</sup> <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A32018R1046>

➤ **Annexes:**

- Application form
- Model grant agreement