

DRAFT

GUIDE FOR APPLICANTS

**GRANTS FOR ACTIONS CO-FINANCED WITH MEMBER STATE  
AUTHORITIES (JOINT ACTIONS)**

Third Programme for the Union's action in the field of health (2014-2020)

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## GLOSSARY

**The Work Programme** is the annual work programme drafted by the European Commission to implement the third Programme of the Union's action in the field of health (2014-2020) ('the Programme'), European Commission Implementation Decision C (2014) 3383 of 26 May 2014.

The **Consumers, Health and Food Executive Agency (Chafea)**, formerly EAHC, manages the technical and financial implementation of the EU Health Programme, the Consumer Programme and the Better Training for Safer Food initiative.

A **beneficiary** is an organisation that receives EU co-funding following successful application in one of the EU's funding programmes and the signature of the related grant agreement (during the application process reference is made to the "applicant(s)").

A **multi-beneficiary grant agreement (MGA)** is a binding written agreement signed by the parties: Chafea (acting under powers delegated to it by the European Commission) and the beneficiary organisations, i.e. the recipients of the EU co-funding. By signing the agreement, the beneficiary organisations accept the grant and agree to implement the action under their responsibility and in accordance with the agreement with all the obligations and conditions that the latter sets out.

**The Participant Portal (PP)** is the website hosting the information about funding for the third Health Programme (2014-2020) and Horizon 2020 programmes <http://ec.europa.eu/research/participants/portal/desktop/en/home.html>

**The ECAS account** is the European Commission's Authentication Service. It is the system for logging on to a whole range of websites and online services run by the Commission.

**The Beneficiary Register** is the European Commission's online register of the beneficiaries participating in the Health and Consumers Programmes and in Horizon 2020 programmes. This allows consistent handling of the beneficiaries' official data and avoids multiple requests for the same information.

**The Participant Identification Code (PIC number)** is a 9-digit participant identification code, received upon completing the registration of the entity online.

**The LEAR (Legal Entity Appointed Representative)** is the appointed representative within the beneficiary organisation. He/she is authorized to manage administrative tasks in the online submission system for the organisation and registers the person authorized to sign the grant agreement in the system (LSIGN).

**The National Focal Point (NFP)** is a contact person nominated by the government of the Member State for sharing and disseminating the information on health programmes of the Union's actions.

## PREFACE

Dear Applicant,

Welcome to the Guide for Applicants (the Guide) which is intended to help you in preparing and submitting an application for grant for actions co-financed with Member State authorities under the third Programme for the Union's action in the field of health (2014-2020), hereafter referred to in this document as Joint Actions.

The third Health Programme will cover the period from 2014 to 2020 and contains 4 major objectives and several thematic priorities all contributing to improve the health of EU citizens. For the first time, the Joint action application will not be done via a call for proposal but via a direct grant procedure.

It is also the first time that applicants will be able to prepare their proposals via the Electronic Submission System. This will make the submission, evaluation and, for those recommended for funding, granting, monitoring and reporting quicker, simpler and more efficient.

The present Guide for Applicants – Joint Actions ('the Guide') is designed as the main reference document to help you prepare the proposal. It provides all the necessary information for preparing and submitting your application and answer questions you may have in this process. Please note that this Guide does not supersede the rules and conditions laid out in the following documents which should be consulted in case of doubt:

- Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) no 1605/2002, hereafter referred to in this document as the [\*Financial Regulation\*](#);
- Commission Delegated Regulation (EU) No 1268/2012 of 29 October 2012 on the rules of application of Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council on the financial rules applicable to the general budget of the Union, hereafter referred to in this document as the [\*Rules of Application of the Financial Regulation\*](#);
- Regulation (EU) 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, hereafter referred to in this document as [\*Decision No 282/2014\*](#);
- Commission Implementing Decision published on 26 May 2014 on the adopting the 2014 annual work programme for implementation of the programme of Union's action in the field of health (2014-2020), including budgetary implications and funding criteria for grant, hereafter referred to in this document as the [\*Work Programme 2014\*](#);
- The multi-beneficiary action model grant agreement is hereafter referred to in this Guide as the *Model grant agreement*.

This Guide consists of three main parts (Part A, Part B, and Part C):

## **Part A: Legal framework and participants**

This section describes the legal terms and general conditions for participating in the Third Health Programme, in particular through direct grant negotiations with Member State authorities.

## **Part B: Submission of proposals**

This section describes the entire process of submission of proposals and has two sub-sections:

The first sub-section refers to the necessary preparatory steps. This includes: (1) reference to the background documents that you need to consult prior to preparing a Joint Action application; (2) instructions on the process for creating a user account or an ECAS account and (3) the registration of the applicant organisation at the European Commission's Beneficiary Register (more on the Beneficiary Register is presented under paragraph 1.3); and (4) general recommendations on how to best prepare your proposal.

The second sub-section guides you through the different steps of the application process itself: it covers the registration process for the participating legal entities; and the actual submission process itself, namely completing the so-called Part A (administrative information and budget) and Part B (technical and financial content) of the Electronic Submission System.

## **Part C: Evaluation process of the applications**

This section describes the evaluation process and criteria when reviewing and evaluating the submitted proposals. It also provides information on the evaluation outcomes issues, as well as the process following a recommendation for funding.

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

- The Frequently Asked Questions (FAQ) section can be found at <http://ec.europa.eu/chafea/health/faq.html>
- National Focal Points (NFP) – you can contact your NFP for further assistance. The list of NFPs is provided at [http://ec.europa.eu/chafea/health/national\\_focal\\_points.html](http://ec.europa.eu/chafea/health/national_focal_points.html)
- For information on how to register or related enquiries please look on the Participant Portal: <https://ec.europa.eu/research/participants/portal/desktop/en/opportunities/index.html>
- IT helpdesk – you can contact the Participant Portal IT helpdesk for questions only related to the online submission tool such as forgotten passwords, access rights and roles, technical aspects of submission of proposals, etc. Requests must be submitted via the Research Enquiry Service, by completing the form available at <http://ec.europa.eu/research/index.cfm?pg=enquiries>
- For non-IT related questions, the Chafea Helpdesk is available via email: [CHAFEA-HP-CALLS@ec.europa.eu](mailto:CHAFEA-HP-CALLS@ec.europa.eu) and telephone: +352-4301-37707. This helpdesk is open on weekdays between 9:30 – 12:00 and 14:00 – 17:00. The helpdesk is unavailable on weekends.

**Please do not contact the Chafea Helpdesk before having tried to find the information in the documentation that is provided to you. Please ensure you have exhausted all the options before contacting the Chafea Helpdesk.**

This Guide is updated annually on the basis of suggestions to make it as user-friendly as possible. Should you have any suggestions or comments on how to improve this Guide for next year's call, please send us an email to the Helpdesk at [CHAFEA-HP-CALLS@ec.europa.eu](mailto:CHAFEA-HP-CALLS@ec.europa.eu) .

Finally, please be aware that submitting your application can take some time even if you have all the necessary information ready at hand. Do not wait until the deadline to start the online submission process. We strongly advise you to complete your proposal sufficiently in advance so as to avoid any last minute problems.

Good luck!

Your Chafea Health Unit Team

## **A. LEGAL FRAMEWORK AND PARTICIPANTS**

### **1 OBJECTIVES OF THE HEALTH PROGRAMME AND THE 2014 WORK PROGRAMME**

On 11 March 2014, the European Parliament and the Council adopted the Regulation establishing the third Programme for the Union's action in the field of health for the period 2014-2020 <sup>(1)</sup>.

It is based on Article 168 of the Treaty on the Functioning of the European Union (TFEU) and ensuing legal obligations and policy commitments. Article 168 of the TFEU sets out the scope of EU action in the area of public health which is to carry out actions to support, coordinate or supplement the actions of the Member States.

The EU Health Strategy <sup>(2)</sup> provides a policy framework for all the areas covered by this Work Programme. The 'Investing in health' Staff Working Document <sup>(3)</sup> adopted in February 2013 links this policy framework more closely to the broader Europe 2020 strategy. More specifically, it stresses the necessity to invest in sustainable healthcare systems, invest in people's health and reducing health inequalities. Together, these three strands demonstrate that a healthy population and sustainable healthcare systems are decisive for smart, sustainable and inclusive growth.

The third Programme of the Union's action in the field of health (2014-2020) supports and adds value to the policies of Member States aimed at improving people's health and reducing health inequalities by promoting health, encouraging innovation in health, increasing the sustainability of healthcare systems and protecting Union citizens from serious cross-border health threats.

Focusing on the key issues in terms of bringing added value and making a positive impact on delivering mutual benefits across the European Union, the EU Health Programme is built around the following four objectives:

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 EU Health Programme is implemented through annual Work Programmes which set out the priorities for actions to implement its objectives.

The priorities for action under the Work Programme are set out in detail in [Annex I](#).

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<sup>1</sup> OJ L 86, Volume 57, 21.3.2014, p. 1.

<sup>2</sup> Commission White Paper Together for Health: A strategic approach for the EU 2008-2013 (COM(2007) 630 final).

<sup>3</sup> Commission Staff Working Document Investing in Health. SWD(2013)43 final. Brussels; 20 February 2013. Accompanying the Communication: Towards Social Investment for Growth and Cohesion – including implementing the European Social Fund 2014-2020. COM(2013)83 final, available at: [http://ec.europa.eu/health/strategy/docs/swd\\_investing\\_in\\_health.pdf](http://ec.europa.eu/health/strategy/docs/swd_investing_in_health.pdf)

## 2 EU FINANCIAL CONTRIBUTION TO A JOINT ACTION

Grants for actions co-financed with Member State authorities (in short "Joint Actions") are, according to Article 7(2)(a) of the Regulation for the third Health Programme 2014-2020, 'actions having a clear Union added value co-financed by the competent authorities of Member States responsible for Health or by public sector bodies and non-governmental organisations, acting individually or as a network, mandated by these competent authorities.'

Hence, they allow the nominated national authorities of the Member State/other countries participating in the Programme and the European Commission to take forward work on jointly identified issues.

EU co-financing for Joint Actions is calculated on the basis of eligible costs incurred. The maximum rate of EU co-financing is 60%. However, this may be up to 80% in cases of exceptional utility. Assessment of exceptional utility will be carried out according to the criteria indicated in Annex VI of the work programme 2014. The Executive Agency will determine in each individual case the maximum percentage to be awarded.

**Note: There is no obligation for each applicant to contribute equally to the action's budget. The minimum required percentage of own funding applies only at the Joint Action level.**

Given the complementary and motivational nature of EU grants, Joint Actions are financed under the shared cost principle<sup>(4)</sup>. If the amount granted 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 Actions without diluting either the objectives or the content.

Chapter 2.2 of [Annex I](#) of the Work Programme sets out the priority areas for Joint Actions. Therefore the proposals will directly correspond to the topic described in these priority areas.

## 3 ELIGIBLE APPLICANTS

According to Article 7(2)(a) of the Health Programme Regulation, applicants must be the competent authorities that are responsible for health in the Member States or in third countries participating pursuant to Article 6 of that Regulation, or public sector bodies and non-governmental bodies, as referred to in Article 8(1) of that Regulation, acting individually or as a network, mandated by those competent authorities. According to Article 8(1) of the Health Programme Regulation, the grants for actions referred to under Article 7(2)(a) may be awarded to legally established organisations, public authorities, public sector bodies, in particular research and health institutions, universities and higher education establishments.

According to Article 190(1)(d) of the Financial Regulation grants may be awarded without a call for proposals to bodies identified by a basic act, within the meaning of Article 54 of the Financial Regulation, as beneficiaries of a grant or to bodies designated by the Member States, under their responsibility, where those Member States are identified by a basic act as beneficiaries of a grant.

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<sup>4</sup> Art. 125 of the Financial Regulation and Art. 183 of the Rules of Application.

‘Competent authority’ means the central authority of a Member State competent for health/specific (public) health topic or any other authority to which that competence has been conferred; it shall also include, where appropriate, the corresponding authority of a third country. A competent authority can also be one at regional level, depending on the governance structure of the Member State/third country.

If the participating entity is a competent authority, the competent ministry/government organisation shall by way of an official notification, duly signed by an authorised representative, confirm that the entity is the eligible body to participate on behalf of the respective Member State/regional entity and under its responsibility in the relevant action.

If the chosen entity is a non-governmental body or a public body other than a competent authority, the competent ministry/government organisation shall officially designate the body that will be eligible to participate on behalf of the respective Member State/regional entity and under its responsibility in the relevant action.

The competent ministry/government organisation shall confirm that the designation procedure was executed and concluded in the respect of the national legislation in force in the respective country and that all the transparency requirements for the use of public EU and national funds in the respective country have been fully met. The authorised representative signing the official notification of the designation shall confirm that the Ministry/government organisation is fully responsible for this designation and its legality.

The following main elements are especially drawn to the attention of applicants:

- The Member State and third countries will be invited to nominate/designate the competent authorities or a designated body other than a competent authority that will participate to a given Joint Action using the template provided below.
- **The deadline for nomination of competent authority is 16 September 2014.**

#### **Templates for official notification**

**OFFICIAL NOTIFICATION**  
*of*  
**a competent authority to participate in the joint action**

[please insert here the title of the joint action].....

I, Ms/Mr... [please insert name], [please insert title / function], duly authorised to sign this notification on behalf of the [please insert name of the ministry/governmental organisation] officially notify the Consumer, Health and Food Executive Agency that the

Organisation official name	
Organisation short name	

**Legally represented by:**

Name of legal representative	
------------------------------	--

is [the/an] [delete as appropriate – depending if one or more competent authorities are mandated] eligible body to participate on behalf of [please insert country/regional entity] and under its responsibility in the above mentioned joint action to be funded under the Health Programme 2014.

The contact person is:

First and last name	
Direct telephone line	
E-mail address	

Date:

Signature

Place:

**OFFICIAL NOTIFICATION**  
*of*  
**a body other than a competent authority to participate in the joint action**

[please insert here the title of the joint action].....

I, Ms/Mr [please insert name], [please insert title / function], duly authorised to sign this notification on behalf of the [please insert name of the ministry/governmental organisation] officially notify the Consumer, Health and Food Executive Agency that the

Organisation official name	
Organisation short name	

**Legally represented by:**

Name of legal representative	
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is [the/an] [delete as appropriate – depending if one or more bodies are mandated] eligible body to participate on behalf of [please insert country/regional entity] and under its responsibility in the above mentioned joint action to be funded under the Health Programme 2014.

The contact person is:

First and last name	
Direct telephone line	
E-mail address	

I confirm that the designation procedure was executed and concluded in the respect of the national legislation in force in [please insert country] and that all the transparency requirements for the use of public EU and national funds in [please insert country] have been fully met. I confirm that the [please insert name of the ministry/governmental organisation] is fully responsible for this designation and its legality.

Date:

Signature

Place:

- These templates have to be completed and sent to: [CHAFEA-HP-JA@ec.europa.eu](mailto:CHAFEA-HP-JA@ec.europa.eu)

and hardcopies (originals) to: *Consumer, Health and Food Executive Agency (Chafea), Health Unit, For the attention of Ms Maria Alonso, DRB A3/022, L-2920 Luxembourg* via the Permanent Representatives

The competent authorities or the designated body must be established in one of the 28 Member States of the European Union. Entities established in the EFTA/EEA countries (Iceland and Norway) on the basis of the Agreement on the European Economic Area are also eligible.

Other third countries, in particular European neighbourhood policy countries, countries that are applying for, are candidates for, or are acceding to membership of the EU, and the western Balkan countries included in the stabilisation and association process, may participate in the programme. A Memorandum of Understanding must be signed before entities from these countries can apply for co-funding.

In accordance with recital 18 of the Health Programme, collaboration should be facilitated with third countries not participating in the programme. 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. The role of an organisation from a third country not participating in the Health programme is described here under within the paragraph on "Collaborating Stakeholders".

#### **4 ROLE AND RESPONSIBILITY OF BENEFICIARIES**

##### **Roles and responsibilities towards the Agency**

Once the grant agreement is signed between the applicants and The Agency, the terminology is changed from "applicant" to "beneficiary".

The beneficiaries have full responsibility for implementing the action and complying with the Multi-Beneficiary Grant Agreement (MGA).

**The beneficiaries are jointly and severally liable for the technical implementation of the action as described in the proposal, which will become Annex 1 to the grant agreement.**

If a beneficiary fails to implement its part of the action, the other beneficiaries become responsible for implementing this part (without being entitled to any additional EU funding for doing so), unless the Agency expressly relieves them of this obligation.

The financial responsibility of each beneficiary is governed by Articles 28, 29 and 30 of the MGA.

Different entities can be involved in a Joint Action. These categories are as follows:

- Coordinator;

The coordinator must:

- Monitor that the action is implemented properly (see Article 7 of MGA);

- Act as the intermediary for all communications between the beneficiaries and the Agency (in particular, providing the Agency with the information described in Article 12 of MGA), unless the MGA specifies otherwise;
- Request and review any documents or information required by the Agency and verify their completeness and correctness before passing them on to the Agency;
- Submit the deliverables and reports to the Agency (see Articles 14 and 15 of MGA);
- Ensure that all payments are made to the other beneficiaries without unjustified delay (see Article 16 of MGA);
- Inform the Agency of the amounts paid to each beneficiary, when required in the MGA (see Articles 28 and 34) or requested by the Agency.

**Note: The coordinator may not delegate the above-mentioned tasks to any other beneficiary or subcontract them to any third party.**

– Other beneficiaries;

Each beneficiary must:

- Keep information stored in the Beneficiary Register (in the electronic exchange system) up to date (see Article 12 of MGA);
- Inform the coordinator immediately of any events or circumstances likely to affect significantly or delay the implementation of the action (see Article 12 of MGA);
- Submit to the coordinator in good time:
  - Individual financial statements for itself and its affiliated entities (if applicable) and, if required, certificates on the financial statements (see Article 15 of MGA);
  - The data needed to draw up the technical reports (see Article 15 of MGA);
  - If applicable, ethics committee opinions and notifications or authorisations for activities raising ethical issues ;
  - Any other document(s) or information required by the Agency or the Commission under the MGA, unless the MGA requires the beneficiary to submit this information directly to the Agency or the Commission.

– Subcontractor(s);

- Subcontractors are not part of the grant agreement. They do not have a contractual relationship with the Agency.
- If necessary to implement the action, the beneficiaries may award subcontracts covering the implementation of certain action tasks as described in the proposal, which will become Annex 1 to the grant agreement, if the Joint Action is selected

for co-funding. The subcontracting cost must be listed in the budget. (Please also see article 10 of the MGA).

**Note: subcontracting may cover only a limited part of the action.**

- The beneficiaries must award the subcontracts ensuring the best value for money or, if appropriate, the lowest price. In doing so, they must avoid any conflict of interests (see Article 20 of MGA).
- Collaborating stakeholders;
- The collaborating stakeholders may significantly increase the technical and scientific content of the Joint Action, as well as its relevance for different users in the Union.
  - They have no contractual relationship with the Executive Agency, nor do they receive any EU funding.
  - Note that it is not mandatory to involve collaborating stakeholders' entities in the Joint Action.
- Affiliated entities.

Affiliated entities have to comply with the exclusion and eligibility criteria. While they do not sign the grant agreement, they can actively contribute to the implementation of the action. Their cost in doing so can be accepted.

There are two options how entities can be affiliated to each other:

1. Several entities together form one entity, possibly specifically established for the purpose of implementing the action. They will be treated as one entity.
2. A beneficiary has entities with legal or capital links. These links are not limited to the action nor established just to implement it.

Please also refer to Article 122 of the [Financial Regulation](#).

**Note: As the Joint Action is awarded in a Direct Grant procedure, the partnership cannot change after the submission of the Joint Action proposal.**

### **Number of participants and dimension of the proposal**

The number of beneficiaries will be based on the decision of the Member States during the preparation of the Joint Action.

## **5 FINANCIAL ASPECTS**

Applicants need to conform to the principles and rules as set out by the EU Financial Regulation, i.e. the financial rules applicable to the general budget of the Union and the related rules of application of the financial regulation.

This section provides information on the general aspects of financial management of a grant in order to have a better understanding of the principles and rules before application.

### **5.1 General principles of EU co-funding**

Grants awarded under the EU Health programme must comply with the following principles:

- Non-cumulative award

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

In no circumstances shall the same costs be financed twice by the Union budget. To ensure this, applicants shall indicate the sources and amounts of Union funding received or applied for the same action or part of the action or for its functioning during the same financial year as well as any other funding received or applied for the same action.

- 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 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.

- Co-financing

Co-financing means that the resources, which are necessary to carry out the action, may not be 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,
  - financial contributions from third parties.
- No-profit principle

Grants shall not have the purpose or effect of producing profit. Profit is defined as surplus of the receipts over eligible costs incurred by the beneficiary at the time of payment request.

## 5.2 Planning the budget of the action

### 5.2.1 Form of the grant

The grant is a partial *reimbursement* of the action's total *eligible costs* at the reimbursement rate defined under point 2 "EU Financial Contribution". The grant is, therefore, expressed both as a maximum amount and also as a pre-defined percentage of the eligible costs.

In other words, the *grant has double ceiling*: the maximum amount and the reimbursement rate applied on the total eligible cost. These key data will be set in the grant agreement, please refer to article 5.

### 5.2.2 Definition of eligible costs

Eligible costs must meet the following *cumulative* criteria:

- they must be *actually incurred by the beneficiary*;
- they must *be incurred within the period of the action* set in the grant agreement.;
- they must be *indicated in the estimated budget*;
- they must be *incurred in connection with the action* and necessary for its implementation;
- they must be *identifiable and verifiable*, in particular *recorded in the beneficiary's accounts* in accordance with the accounting standards applicable in the country where the beneficiary is established and *with the beneficiary's usual cost accounting practices*;
- they must *comply with the applicable national law* on taxes, labour and social security, and
- they must be reasonable, justified and must comply with the principle of sound financial management, in particular regarding economy and efficiency.

### 5.2.3 Description of cost types

Costs of the action must be established in the following cost categories – please also consult with article 6.2 of the grant agreement for detailed description.

**Note: Costs of affiliated entities must be also estimated by the applicant they are linked to. Please also refer to article 14 of the grant agreement.**

### Personnel costs

Personnel costs are related to personnel working for the beneficiary under an *employment contract* (or equivalent appointing act) and *assigned to the action*.

In addition, the following costs can also be recognised as personnel cost:

The *costs for natural persons* working under a *direct contract with the beneficiary other than an employment contract*, if certain conditions apply;

Cost of *personnel seconded by a third party against payment*.

It has to be noted that the funding of **public officials** (personnel of national administrations) in a Joint Action has changed with regard to the previous Health programme. In line with the Financial Regulation the salary costs of **public officials** will be considered as direct cost of the beneficiary to the extent that they relate to the cost of activities which the relevant public authority as beneficiary would not carry out if the Joint Action concerned was not undertaken.

### Cost of Subcontracting

If necessary to implement the action, the beneficiaries may award subcontracts covering the implementation of certain action *tasks described in the Technical Proposal of Part B of the application*.

Subcontracting may cover *only a limited part* of the action.

The beneficiaries must award the subcontracts ensuring the *best value for money* or, if appropriate, the lowest price. In doing so, they must *avoid any conflict of interests*.

### Other direct costs

The following cost types may also be included in eligible costs:

*Travel costs and related subsistence allowances* are eligible if they are *in line with the beneficiary's usual practices on travel*.

*Equipment* - portion of the costs that will be taken into account is that which corresponds to the duration of the action and rate of actual use for the purposes of the action.

*Costs of other goods and services* are eligible, if they are purchased specifically for the action.

The beneficiaries must make such purchases ensuring the best value for money or, if appropriate, the lowest price. In doing so, they must avoid any conflict of interests.

### Indirect costs

Indirect costs are eligible if they are declared *on the basis of the flat-rate of 7%* of the total eligible direct costs.

Beneficiaries receiving an operating grant financed by the EU or Euratom budget cannot declare indirect costs for the period covered by the operating grant.

#### 5.2.4 Exchange rate

The Budget of the grant agreement and financial statements must be drafted in euro.

Beneficiaries with accounting established in a currency other than the euro must convert costs incurred in another currency into euro at the average of the daily exchange rates published in the C series of the Official Journal of the European Union, calculated over the corresponding reporting period.

If no daily euro exchange rate is published in the Official Journal of the European Union for the currency in question, it must be converted at the average of the monthly accounting rates published on the Commission's website, calculated over the corresponding reporting period.

Beneficiaries with accounting established in euro must convert costs incurred in another currency into euro according to their usual accounting practices

#### 5.2.5 *VAT*

VAT is accepted as eligible costs if it is not recoverable. VAT is considered as not recoverable, if according to national law it is attributable to any of the following activities:

- Exempt activities without the right of deduction;
- Activities which fall outside the scope of VAT.

#### 5.2.6 *Definition of non-eligible costs*

'Ineligible costs' are:

- Costs that do not comply with the conditions set out above in particular:
  - costs related to return on capital;
  - debt and debt service charges;
  - provisions for future losses or debts;
  - interest owed;
  - doubtful debts;
  - currency exchange losses;
  - bank costs charged by the beneficiary's bank for transfers from the Agency;
  - excessive or reckless expenditure;
  - deductible VAT;
  - costs incurred during suspension of the implementation of the action;
  - in kind contributions provided by third parties free of charge.
- Costs declared under another EU or Euratom grant (including grants awarded by a Member State and financed by the EU or Euratom budget and grants awarded by bodies other than the Agency for the purpose of implementing the EU or Euratom budget); in particular, indirect costs if the beneficiary is already receiving an operating grant financed by the EU or Euratom budget in the same period.

### **5.3 Determination of the grant and payment arrangements**

#### 5.3.1 *Calculation the grant amount*

The 'final grant amount' depends on the actual extent to which the action is implemented and costs related to the implementation of the action.

The final grant amount will be calculated by the Executive Agency when the payment of the balance is made in the following steps:

**Step 1** The Agency evaluates the implementation of the action and the actual costs related to the implementation declared by the beneficiaries. The reimbursement rate of the grant agreement is applied to the approved eligible costs.

**Step 2** Application of the double ceiling: the amount obtained following Step 1 is compared to the maximum grant amount set out in the grant agreement. The final grant amount will be limited to the lower amount

**Step 3** – Application of no-profit principle. ‘Profit’ is generated when the sum of the amount obtained following Steps 2 and the action’s total receipts is higher than the action’s total eligible costs.

**Step 4** – Reduction of the grant amount due to improper implementation or breach of other obligations.

If there is a profit, it will be deducted from the amount obtained following Steps 1 and 2.

For further details please also consult with article 5.3 of the grant agreement.

### 5.3.2 *Type of receipts*

The following are considered receipts:

- Income generated by the action; if the income is generated from selling equipment or other assets purchased under the Agreement, the receipt is up to the amount declared as eligible under the Agreement;
- Financial contributions given by third parties to the beneficiary specifically to be used to cover the action's eligible costs.

## 5.4 **Payment Scheme**

Payments will be made to the coordinator. The coordinator must distribute the payments between the beneficiaries without unjustified delay.

The following payments will be made to the coordinator:

- ***One pre-financing payment:***

The aim of the pre-financing is to provide the beneficiaries with a float. It remains the property of the EU until the payment of the balance.

**Note: Pre-financing payments will be only distributed by the coordinator when at least 90% of the beneficiaries signed the accession form and only to those beneficiaries who signed the form! Please refer to article 21.7 of the grant agreement**

- ***One or more interim payments, on the basis of the request(s) for interim payment:***

Interim payments *reimburse the actual eligible costs* incurred and declared by the beneficiaries for the implementation of the action during the corresponding reporting periods.

The number of interim payments will be set in the grant agreement. Interim payments are subject to the approval of the periodic report with the corresponding deliverables and the declaration of actual costs incurred by the beneficiaries.

The maximum amount of the interim payments (including the amount of pre-financing) is limited to the 90% of the maximum grant amount as set out in article 5.1 of the grant agreement.

- *One payment of the balance, on the basis of the request for payment of the balance.*

The payment of the balance reimburses the remaining part of the eligible costs incurred by the beneficiaries for the implementation of the action. The amount due as the balance is calculated by the Agency by deducting the total amount of pre-financing and interim payments (if any) already made, from the final grant amount.

If the total amount of earlier payments is greater than the final grant amount, the payment of the balance takes the form of a recovery.

If the total amount of earlier payments is lower than the final grant amount, the Agency will pay the balance.

Payment is subject to the approval of the final report.

## **5.5 Pre-financing guarantee**

In the event that the applicant's financial viability is not satisfactory, 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 EUR, shall be provided by an approved bank or financial institution or any other third party whose financial capacity is verified by the Agency - established in one of the Member State of the European Union. Amounts blocked in bank accounts shall not be accepted as financial guarantees.

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

No financial guarantee will be requested if the EU contribution is  $\text{EUR} \leq 60\,000$ .

## B. SUBMISSION OF PROPOSALS

The submission of Joint Action proposals will follow different steps. The first one is the nomination/designation of Competent Authorities and/or other designated entities by the Member States as presented above (Eligible applicants) before the 16 September 2014 (deadline). Chafea will then send an invitation letter to the designated Competent Authorities to prepare the application. An information session on Joint Actions will take place on 30 September 2014 (provisional date) to help the Joint Action participants to prepare a draft proposal. The deadline for submission of this draft will be 27 November 2014. The Joint Action applications under the third EU Health Programme will benefit from the use of the Electronic Submission System originally developed for the Horizon 2020 Research programmes.

Submitting an application **is only possible online** via the Electronic Submission Service of the Participant Portal and before the deadline. The link to the Electronic Submission System will be sent to the participants after their nominations. For information the tool for the submission of projects can be consulted at:

<https://ec.europa.eu/research/participants/portal/desktop/en/opportunities/3hp/calls/hp-pj-2014.html>

This change in relation to the past calls is highly beneficial for the applicants, as it will simplify their work.

However, the fact that the whole process is now done through an online system, requires a better level of preparation from the potential applicants before embarking on submitting the application itself. Even though the online system enables you to save successive versions of your application, Chafea strongly encourages you to have fully prepared the proposal before starting the online submission process and not view it as a "do-it-as-you-go" process.

Also note that the online submission system is composed of a two-step process:

- a) Registration of the applicant organisation through a specific procedure;
- b) Submission of the proposal itself, also broken down into three parts, as follows:
  - **Part A** includes administrative information of the applicant organisations (coordinator and partners) and the summarized budget of the proposal. It is to be completed directly online. It comprises of fields of information, checklists and declarations to be filled by the coordinator.

**Note:**

In order to complete part A:

- all other beneficiaries (i.e. not subcontractors, collaborating stakeholders and affiliated entities) must be registered in the [Beneficiary Register](#) and communicate the PIC to the coordinator
- all other beneficiaries must have performed a financial viability self-check, via:

<http://ec.europa.eu/research/participants/portal/desktop/en/organisations/lfv.html>

- the coordinator must have the Joint Action budget per partner

- **Part B** includes the technical content of the proposal. This part must be written by the coordinator, following the template provided by Chafea and in collaboration with the partners and, when completed, uploaded directly as a PDF file into the Electronic Submission System.
- **Annex:** an annex is a necessary document to support evidence for checking the applicant organisation's compliance with the selection criteria. The annex must be uploaded directly into the Electronic Submission system.

## **1 PREPARING FOR THE SUBMISSION OF YOUR APPLICATION**

There are several stages to observe when preparing for the submission of your application, such as documents to consult (see below); sign up to your possibly already existing ECAS account for registered users or create a new ECAS account for new users; and register your organisation in the Beneficiary Register.

### **1.1 Documents to consult**

Prior to taking the decision of submitting a proposal and filling in the different application forms, please verify whether your organisation complies with the eligibility criteria.

For this, the very first step is to go through the relevant documentation in detail. In this respect, the key documents to consult are the following:

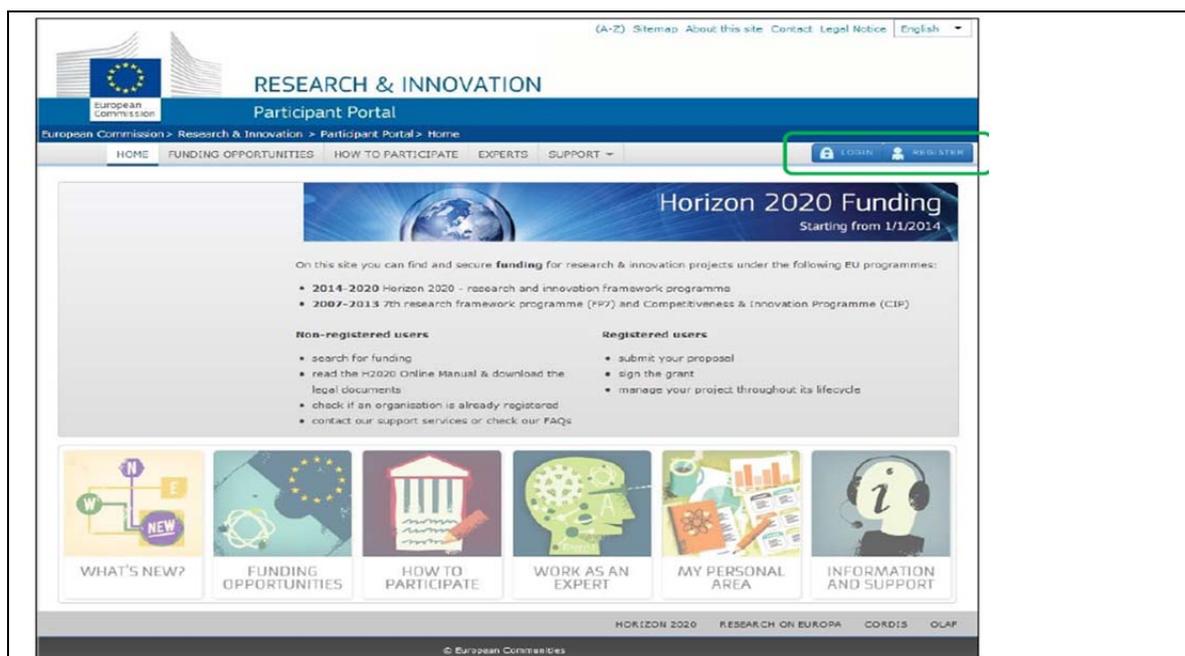
- The third Health Programme 2014-2020;
- The Work Programme;
- The multi-beneficiary grant agreement.

### **1.2 Create a user account on the Participant Portal – your ECAS Account**

Remember, applications for Joint Actions are only possible via the Electronic Submission System. In order to use this system you first need to create a user account, the so-called ECAS account.

To do so, you simply need to access the Participant Portal here: <http://ec.europa.eu/research/participants/portal/desktop/en/home.html>

Figure 1: Screen shot of the Participant Portal homepage



You can see in the screen shot above that the homepage refers to registered and non-registered users.

- If you do not already have a user account for the Participant Portal, you simply click on 'REGISTER' (in the upper right corner next to 'LOGIN') and register online. For further details please consult the IT Help Guide for the submission of proposals, chapter 2;
- If you already have a user account for the Participant Portal, you can log in (click on 'LOGIN' in the upper right corner) and start entering the required information.

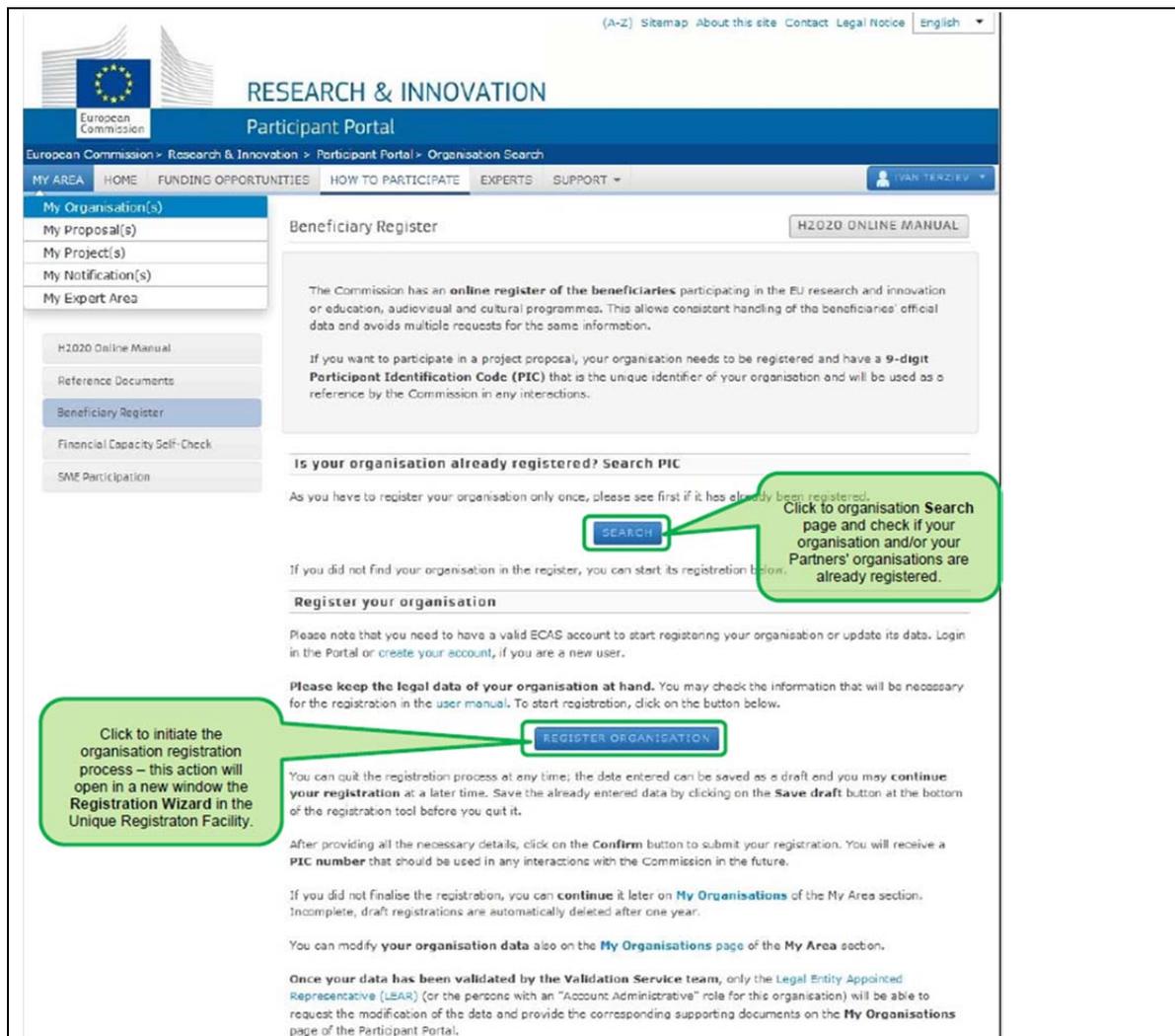
### 1.3 Register your organisation - Beneficiary Register

With the ECAS account at hand, you can proceed to the next step, which is to register your organisation; this is done through the European Commission's Beneficiary Register.

- The European Commission has an online register of the organisations participating in various EU programmes called the [Beneficiary Register](#). This allows consistent handling of different organisations' official data and avoids multiple requests of the same information. However, check first on the Beneficiary Register page if your organisation is already registered at

<http://ec.europa.eu/research/participants/portal/desktop/en/organisations/register.html>

Figure 2: Screen shot of the Beneficiary Register



- If you do not find your organisation there, and only in this case, you should start the registration process by clicking on 'Register your organisation'.
- To complete this registration process, you will need to provide information about your entity legal status and its finances.
- You do not need to complete the registration process in a single session. You can enter some information, save it and continue later on the **My Organisations** page of the "My Area" section. Incomplete draft registrations are automatically deleted after one year.
- Once your registration is finalised, you will receive a **9-digit Participant Identification Code (PIC number)**. You will need the PIC numbers of the coordinator and all other beneficiaries (i.e. not for subcontractors, collaborating stakeholders and affiliated entities) in order to complete part A of the application.
- The person who registers the organisation, called 'self-registrant', can submit updates and corrections (with corresponding supporting documents) on the **My Organisations** page of the My Area section.

- Please note that in case if the registered organisation receives EU funding, the 'self-registrant' will be replaced by the appointed representative LEAR (Legal Entity Appointed Representative). This person will then be will be the only person able to provide further updates.

#### **1.4 Deadline, acknowledgement of receipt, rejection of an application and complaints**

- **Submission deadline**

The proposals **must** be submitted via the Electronic Submission System.

The deadline for submission is 27 November 2014, 5 P.M. Brussels time.

**Please do not send your proposal via the Electronic Submission System AND by post / e-mail to Chafea! Please use only the Electronic Submission System!**

- **Acknowledgement of receipt**

Before the deadline, the applicant may replace the proposal with a new proposal. The date and time of the submission of the application will be automatically recorded and an acknowledgement of receipt email will be sent to the applicant organisation.

The Electronic Submission System will carry out basic verification checks for completeness of the proposal, internal data consistency, virus infection file types, size limitations etc. The system will also check page limits in specific parts of the proposal and, if necessary, suggest that you shorten it. After the deadline, any excess pages will be overprinted with a 'watermark' indicating to the evaluators that these pages must be disregarded.

If you do not receive an email with the acknowledgement of receipt, it is because the proposal has not been submitted. If you miss the deadline, your proposal will be disregarded by the system and cannot and will not be considered as submitted. After the deadline, changes or additions are no longer possible.

- **Rejection of proposals**

**IMPORTANT TO NOTE: it is extremely important that you upload the proper document (in PDF) under the corresponding heading as you may jeopardize your entire application and will be considered as inadmissible!**

**Hence, before closing the application procedure or logging of, double-check if the content of your PDF documents matches the given headings in the online submission tool.**

**It is your responsibility to have uploaded to proper documents.**

Once the proposal is submitted, the applicant will not hear from Chafea until the proposal is evaluated, unless:

- Chafea needs to contact the applicant to clarify matters such as eligibility or to request additional information;

- More information or supporting documents are needed to establish the legal entity or to perform the financial viability check<sup>5</sup>; and / or
- The applicant made a complaint.

- **Languages**

In principle, proposals may be submitted in any official language of the European Union. However, in order to facilitate the evaluation process, an English translation of the proposal should be provided. The English version should be at the beginning of the proposal, followed by the other language version.

- **How to file a complaint**

If you believe that submission failed due to a fault in the Electronic Submission System, you should immediately file a complaint via the Helpdesk on the Participant Portal, explaining the circumstances and attaching a copy of the proposal. The method of filing a complaint over other aspects of submission is explained in the information you receive via the electronic exchange system (see 'My Area' section of the Participant Portal).

**Note: Chafea does not manage the submission process via the Electronic Submission System. Hence, please contact the Helpdesk of the Participant Portal and not Chafea for submission related questions.**

## 1.5 Data protection

All the applications received by Chafea 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) N° 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 on data protection, please refer to [http://ec.europa.eu/eahc/about/data\\_protection.html](http://ec.europa.eu/eahc/about/data_protection.html)

## 1.6 General guidance before drafting your proposal

The Agency advises you to consider the following aspects before embarking in the drafting of a proposal:

*Completeness:* check that your intended proposal includes all relevant information. Follow closely the format of the template of Part B and ensure that all the requested information is uploaded. However, avoid mixing quality with quantity: good proposals are clearly drafted and are easy to understand and follow; they are precise and concise, focusing on substance and it is not about the number of pages. The page limit for Part B of your proposal is 50 pages for the technical part and 30 pages for the budget (1 page per partner for a maximum of 30 partners) i.e. in total 80 pages. Any text after page 80 will be watermarked and not taken into consideration by evaluators.

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<sup>5</sup> Note: this is not performed by Chafea. The system may contact you about this, if needed, not Chafea.

*Management quality:* clearly indicate the ability for high-quality management adapted to the scope of the intended activities of the organisation. Good financial management is a key component of management quality and adequacy between activities and requested budget is important.

*Orientation towards results and impact:* good proposals clearly show the results that will be achieved, and how the participants intend to disseminate and/or use these results. In addition, good proposals include a sound and credible evaluation plan, not only focusing on process evaluation, but looking in particular at outcomes.

## 2 APPLICATION FOR A JOINT ACTION

As noted above, the Joint Action application is composed of three parts:

- Part A, which includes the administrative information;
- Part B, which comprises of the technical content of the proposal; and
- Annex which concerns a document to be uploaded in support of compliance with the selection criteria.

### 2.1 Joint Action application form: Part A – Administrative part of the applicant organisation

Part A comprises of fields of required information, checklists and declarations to be filled and must be completed directly via the online submission tool; it is structured in three sections, as follows:

- Section 1: General information
- Section 2: Administrative data of the organisation
- Section 3: Budget

**Figure 3: Screen shot of the Table of Contents of Part A**

<i>Section</i>	<i>Title</i>	<i>Action</i>
1	<i>General Information</i>	
2	<i>Participants and Contacts</i>	
3	<i>Budget</i>	

#### **Section 1: General information**

In this section, you should provide the Acronym, Proposal Title, Duration (in months), Free Keywords and an Abstract (max. 2000 characters) explaining the objectives of the proposal, how these will be achieved, and their relevance to the Work Programme of the Third EU Health Programme.

The abstract will be used as a short description of the proposal in the evaluation process and in communication with the programme management committee and other interested parties. Therefore, do not include any confidential information, use plain typed text, avoiding formulae and other special characters.

In the "Declarations" section, there are also a number of self-declarations to be made by coordinator by clicking the corresponding boxes. We recommend that the coordinator checks with all the partners before clicking the boxes.

The coordinator declares:

- a) to have explicit consent of all applicants on their participation and on the content of the proposal.
- b) that the information in the proposal is correct and complete.
- c) that the proposal complies with ethical principles.

The next statements concern the exclusion, eligibility and selection criteria as set-out in the Work Programme.

The coordinator must make the following declarations:

For the exclusion and eligibility criteria:

- each applicant is fully compliant with the exclusion and eligibility criteria set out in the Work programme

**Note: The applicants will be required to present a more formal declaration of honour on the exclusion criteria during the grant agreement preparation process.**

For the selection criteria:

Financial capacity:

- the coordinator's organisation as well as each other applicants for its own organisation has performed the [self-check of the financial capacity](#) of the organisation (or are exempt as they are public bodies)
- each applicant has confirmed that if it is receiving an operating grant from any EU programme, it will not claim indirect costs for this action for the specific year covered by operating grant
- applicants have stable and sufficient sources of funding to maintain their activity throughout the period during which the activity is being carried out and to participate in its co-financing

**Note: The only reason you are requested to run a self-check on your financial capacity and tick the box is to warn you that in the case your financial standing may be weak, the EC may need to take specific measures e.g. may ask you to provide a bank guarantee. This does not apply to public authorities/bodies.**

Operational capacity:

- the applicants have the professional resources, competences and qualifications required to complete the proposed action.

If you do not click on each appropriate box, you may prevent application from being submitted.

## **Section 2: Participants and contacts**

The coordinator will encode the PIC code of his/her organisation and of every other applicant ([see B 1.3](#) in this guide). Part of the administrative data will be filled in automatically after encoding the PIC code. Then, the coordinator will be required to fill in the contact details for every participant. Hence, it is recommended to have this information at hand when completing the part A.

### **Section 3: Budget**

Here, you must fill a budget overview table in this section. Please refer to the screen shot below. In addition you must indicate which co-funding rate you apply for.

The normal co-funding rate for Joint Action under the EU Health Programme is 60% of the total eligible cost. However, this may increase to up to 80% of the total eligible cost, if the Joint Action application is deemed to be of exceptional utility towards achieving the objectives of the Programme.

To receive up to 80% of co-funding, the proposals must comply with the criteria (see also Annex VII of the Work Programme):

- At least 30% of the budget of the proposed action is allocated to Member States whose gross national income ([GNI](#), as published by [EUROSTAT](#)) per inhabitant is less than 90 % of the Union average. (*rationale: this criterion intends to promote the participation from Member States with a low GNI*).
- Bodies from at least 14 participating countries participate in the action, out of which at least four are countries whose GNI per inhabitant is less than 90% of the Union average. (*rationale: this criterion intends to promote wide geographical coverage and the participation of Member States authorities from countries with a low GNI*).

Please be aware that if your proposal does not meet the criteria for exceptional utility, the final EU contribution will only be up to 60% and additional applicant's contribution will become necessary.

The coordinator must fill in the budget table as presented below.

Explanation:

White cells: to be filled by the coordinator

Grey cells: automatically calculated

Black cells: cannot be filled in – not applicable at the level of each applicant.

Figure 4: The Budget Overview Table in part A

Participant	Country	Direct personnel costs/€	Direct costs of subcontracting	Other direct costs	Indirect costs (max 7% on a and c) <sup>3</sup>	Total estimated eligible costs	Maximum Reimbursement rate (%) <sup>1</sup>	Maximum Grant	Requested Grant <sup>2</sup>	Applicants contribution	Income generated by the action	Financial contributions given by third parties to the beneficiary	Action's total receipts
		(a)	(b)	(c)	(d) = 0.07 * ((a)+(b)+(c))	(e) = (a)+(b)+(c) + (d)	(f)	(g) = (e)*(f)	(h)	(i)	(j)	(k)	(l) = (h)+(i)+(j)+(k)
		0	0	0	0	0			0	0	0	0	0
Total		0	0	0	0	0	60	0	0	0	0	0	0

Each row of the budget table represents the estimated expenditure and income for one applicant.

The final row of "Total" represents the total estimated expenditure and income for the whole action.

**Don't forget: estimated costs of one applicant must also include the estimated costs of its linked affiliated entities, if any.**

**Note:**

**The amount of each cost category and the amount of total cost for one applicant (column (a), (b), (c), (d) and (e) must be equal to the corresponding amounts given in the individual detailed budget under Part B of the application.**

The maximum grant amount in column (g) is only calculated at the level of the action and not at the level of each applicant. Overall, the total amount in column (h) should be equal to or less than the total amount of column (g).

The applicants must also estimate if

- there is any income of the action foreseen (e.g. sale of an equipment used by an action, conference fees, etc.). Such amount should be given in column (j).

- there is any third party contribution. The sponsorship means actual money inflow to any of the applicants. The amount should be dedicated to cover the eligible cost of the action. Such amount should be given in column (k).

In case there is no "income generated by the action" or "third party contribution" is estimated, any amount above the requested grant is considered as "applicant's contribution" (column i).

The overview budget must be balanced for each applicant: amount in column (e) must be equal to the amount in column (l).

## **2.2 Joint Action application form: Part B - Technical content**

Part B concerns the technical content of the proposal. This should be limited to 50 pages. Then, up to 30 pages can be added for the budget tables (one page per beneficiary) Applicants must write the proposal following the template provided by Chafea. You can write your proposal in any word processing tool. However, once completed, the uploading into the Electronic Submission System is only possible in PDF format.

The structure of the template is as follow:

### **1. PROBLEM ANALYSIS INCLUDING EVIDENCE BASE**

### **2. AIMS AND OBJECTIVES OF THE ACTION**

#### **2.1 General objective of the action**

#### **2.2 Specific objective(s) of the action**

### **3. TARGET GROUPS**

### **4. POLITICAL RELEVANCE**

4.1 Contribution to meeting the objectives and priorities defined in the annual work programme

4.2 Added value at EU level in the field of public health

4.3 Pertinence of geographical coverage

4.4 Consideration of the social, cultural and political context

5. METHODS AND MEANS

6. EXPECTED OUTCOMES

7. WORK PACKAGES

7.1 Overview on work packages

7.2 Work package description

7.3 Timetable or Gantt Chart

8. MILESTONES AND DELIVERABLES

9. ACTION MANAGEMENT STRUCTURE

9.1 Quality of the partnership

9.2 Capacity of the staff

9.3 External and internal risk analysis and contingency planning

9.4 Financial management

10. BUDGET

10.1 Content description and justification

10.2 Summary of staff effort

10.3 Detailed budget table

11. PREVIOUS AND CURRENT GRANTS RELEVANT TO THE PROGRAMME

12. CURRENT APPLICATIONS RELEVANT TO THE PROGRAMME

13. EXCEPTIONAL UTILITY

14. COLLABORATING STAKEHOLDERS

**Note: The proposal must follow the structure of the template. It has been designed to ensure that the important aspects of your planned work are presented in a way that will enable the experts to make an effective assessment against the award criteria.**

**Page limit:** again, the proposal must not be longer than 80 pages, that is 50 for the technical description plus a maximum of 30 pages for the budget. Hence, all tables need to be included within this limit. The minimum font size allowed is 11 points. The page size is A4, and all margins (top, bottom, left, right) should be at least 15 mm (not including footers or headers). If you attempt to upload a proposal longer than the specified limit, before the deadline you will receive an automatic warning, and will be advised to shorten and re-upload the proposal. After the deadline, any excess pages will be overprinted with a ‘watermark’ and disregarded. **Please do not consider the page limit as a target!** It is in your interest to keep your text as concise as possible, since evaluation experts rarely view unnecessarily long proposals in a positive light.

**Note: If you submit a proposal in a language other than English, please use maximally the first 50 pages for the English version, the rest for the budget and for the proposals in its original language.**

### *2.2.1 Problem analysis including evidence base*

Applicants must include a problem analysis and clearly describe the factors, the impact, the effectiveness and applicability of the proposed measures and present the relevant evidence on which the action is based. 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 also look at elements in the environment which may facilitate or hinder the action implementation process.

### *2.2.2 Aims and objectives of the action*

#### General objective(s) of the action:

Applicants must define a general objective. This is a general indication of the 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.

#### Specific objective(s) of the action:

Applicants must include specific objectives. These are concrete statements describing what the 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 in a way that they can be evaluated at the end of the action. Hence, formulate them "SMART": 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.

For each specific objective, please formulate pertinent indicators – process, output and outcome/impact. Indicators are variables measuring the performance of an action and the level to which the set objectives are reached. This is why the indicators should be directly linked to the specific objectives. For each specific objective, at least one indicator should

be formulated. If possible, the indicators should also specify target values. The indicators must be adequate for the action and, like the objectives, formulated "SMART".

<b>Specific Objective Number</b>	
<b>Specific Objective</b>	
<b>Process Indicator(s)</b>	<b>Target</b>
(repeat line as needed)	
<b>Output Indicator(s)</b>	<b>Target</b>
(repeat line as needed)	
<b>Outcome/Impact Indicator(s)</b>	<b>Target</b>
(repeat line as needed)	

### 2.2.3 Target groups

Applicants must specify the target group(s) in the proposal. These are persons or entities that will be positively affected by the 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 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 and adapt the communication strategy to reach them.

### 2.2.4 Political Relevance

The political relevance of action co-funded under the Third Health Programme is important. Hence, please describe it in detail in your proposal, guided by the four points below.

#### Contribution to meeting the objectives and priorities defined in the annual work programme:

Applicants must address the topic to which their proposal corresponds and explain how the proposal addresses the specific challenge and scope of it.

In addition, the applicants must describe the way the 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 add value to EU policies formulated or in the process of being so.

The action must be innovative and also sufficiently compatible with existing actions. In this context, participation in networks and coordination meetings between different actions co-funded under the EU Health Programmes is important.

#### Added value at EU level in the field of public health:

Applicants must describe how the action has EU added value. EU added value can be achieved in different areas and in different ways, as depicted in the table below.

<b>Areas – where to achieve EU added value</b>	<b>Ways - how to achieve EU-added value</b>
<ul style="list-style-type: none"> <li>- Impact on target groups</li> <li>- Long-term effect and potential multiplier effect, such as replicable, transferable and sustainable activities,</li> <li>- Contribution to complementarity, synergy and compatibility with relevant EU and EU Member States policies and programmes.</li> </ul>	<ul style="list-style-type: none"> <li>- Implementing EU legislation</li> <li>- Achieving economies of scale</li> <li>- Promoting best practice</li> <li>- Benchmarking for decision making,</li> <li>- Reducing cross border threats</li> <li>- Strengthening free movement of persons</li> <li>- Strengthening networking activities</li> </ul>

Applicants should demonstrate in the proposal that the expected impact of coordinating the work at European level is greater than the sum of the impacts of national activities. Moreover, the proposal should include planning for reproducing and transferring the actions, so to cover the whole concerned population in the future. As the Third Health Programme is not expected to fund recurrent actions, the proposal should also address its sustainability.

#### Pertinence of geographical coverage

The geographical coverage rests on the Member States decision during the preparation phase of the Joint Action.

#### Consideration of the social, cultural and political context

Applicants must explain how the action relates to the situation of the countries or specific areas involved, and ensure the compatibility of envisaged actions with the culture and views of the target groups. The 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, applicants must discuss ethical aspects, confidentiality and protection of personal data if the proposal includes studies involving human beings.

#### *2.2.5 Methods and means*

Applicants must describe the methods and means that will be used to implement the action. These should be explicitly linked to the objectives, in the sense that for each specific objective at least one intervention method is specified.

The methods and means should be described using scientific methods. The methods and means should describe how the specific objectives will be reached, what are the essential tasks to be carried out, e.g., study protocol, survey methods, panel of experts, training development, etc.

### 2.2.6 *Expected outcomes*

The application includes a description of the anticipated outcomes and deliverables. Action outcomes are the changes that are expected to occur as a result of the action when the objectives are reached. They can be distinguished from a specific type of output, the deliverables presented in 3.2.8

### 2.2.7 *Work packages*

#### Overview on work packages

Applicants must organize their action in work packages (WP). A WP is a major sub-division of the proposed action and contains a set of coherent tasks grouped together in order to facilitate the Joint Action management.

Applicants must include a work package overview table as well as one detailed table per work package (work package description).

There are two types of WP: *horizontal* and *core*.

The horizontal WP are mandatory and include three groups of tasks: management (WP1), evaluation (WP2) and dissemination (WP3) and are linked to deliverables.

Each core WP is linked with one or several specific objectives of the action and produces one or several deliverables. It is not possible to find the same specific objective or the same deliverable in different work packages.

Give full details. Base your account on the logical structure of the action and the stages in which it is to be carried out. Include details of the resources, person/days and financial means, to be allocated to each WP. The number of core WP should be proportionate to the scale and complexity of the action. You should give details in each WP to justify the proposed resources to be allocated and also quantified information so that progress can be monitored, including by the Executive Agency.

The WP must be presented in a table format, following the template below.

#### Work packages description

For the three mandatory WP, the following content must be covered:

##### *WP 1 – Management of the action*

Applicants must clearly describe the actions undertaken to manage the action and to make sure that it is implemented as planned.

Action management requires the systematic monitoring of the activities to check whether they are implemented according to the plan, whether results and deliverables are attained at the milestones, if there are obstacles or difficulties which may prevent the action from delivering, and to assure the overall quality of the Joint Action implementation. Many of these tasks are typically performed by the action manager with input from other participants (e.g. via a management and/or steering committee).

Also describe how information will be exchanged among participants, how potential conflicts between participants will be coped with and the planned meetings among the participants (note: the kick-off meeting should be held in Luxemburg) etc.

### *WP 2 – Dissemination*

Dissemination refers to the process of making the results and deliverables of the action available to the stakeholders and a wider audience.

Applicants must describe all actions planned to ensure that the results and deliverables will be made available to the stakeholders and can be used by them. Hence, a stakeholder analysis could be performed before developing the dissemination strategy. Applicants must describe the dissemination strategy in terms of planning, target groups, adequacy of channels used, and visibility of European Union co-funding.

Although an 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. The sustainability of the dissemination actions must also be addressed.

A dissemination plan should be elaborated, explaining how the action plans to share outcomes with stakeholders, including public authorities. A dissemination plan should be included, which illustrates the following:

- what will be disseminated (key message),
- to whom (audience),
- why (purpose),
- how (method), and
- when (timing).

### *WP 3 – Evaluation*

Applicants must evaluate the action activities. This includes all actions undertaken to verify if the action is being implemented as planned and reaches the objectives. Applicants should develop an evaluation strategy that includes a clear description of the methods for the evaluation, indicators and measures of verification. This must take-up the indicators listed before with the specific objectives and explain how they will be measured.

Applicants must explain the action's own internal evaluation, i.e. a systematic appraisal of the quality of the action (e.g., whether the action outcomes are useful and meet the user needs), and its effects (e.g., whether the 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, study design, method, measurement instruments, and the task, responsibilities and timing of the evaluation. External evaluation can be opted for.

After these mandatory WP, the applicant should add as many WP as needed to carry out the action. Please do not split the tasks in too small units. A suggested number of additional WP is 3-7. Each WP must be led by one of the applicants. Please assign the WP to the partners according to their knowledge and skills.

For each work package, please create a table as the model below and fill it in.

Figure 5: Sample table of a WP

Work package number												
Work package title												
Starting month						Ending month						
Leading participant												
Participants Nr												
Participants Acronym												
Person month per participant												
Objectives												
Description of work	where appropriate, broken down into tasks, specifying the role of the WP leader and those of others											
Deliverables linked to this work package	brief description, month of delivery, reference to the list of deliverables											
Milestones to be reached by this WP												

### Timetable or Gantt Chart<sup>6</sup>

A timetable must be included. It must comprise the work packages, milestones and delivery month of deliverables, including the name/acronym of the responsible participant. Applicant can choose to use a graphical form, such as a Gantt chart. In addition, you can also opt for a graphical presentation of the components showing how they inter-relate (Pert chart or similar). The time to reach objectives of the action and thus the activities comprised in each of the WP must be realistic, taking into account the available resources (person/days) and capacities.

#### *2.2.8 Milestones and deliverables*

### Milestones

Milestones mean control points in the action that help to monitor progress. Milestones may correspond to the completion of a key deliverable (see below), allowing the next phase of the work to begin. They may also be needed at intermediary points so that, if problems have arisen, corrective measures can be taken. A milestone may be a critical decision point in the action where, for example, the consortium must decide which of several technologies to adopt for further development

### Deliverables

Applicants must specify the deliverables of the action. A deliverable is a physical output related to a specific objective of the action, e.g. a report, publication, newsletter, tool, software, handbook, training guide, website, or conference. In your proposal, please create a table, guided by the model below, to list all the deliverables.

<sup>6</sup> This type of chart is named after its developer Henry Gantt. It is a specific type of bar chart used to illustrate a project schedule. Such a chart includes start and end dates and indicates milestones (e.g. meetings) and deliverables.

**Note: Chafea will make a payment to the beneficiaries at about half-way through the action. This payment must be based on deliverables which have been produced in the first half of the action (besides the interim report). Thus it is important that some deliverables are available at the point of the payment (usually month 18 for a 36 months long action). Chafea cannot make an interim payment without receiving deliverables at that point in time (e.g. drafts of reports to be finalized at the end of the action). Please take this into account.**

Note that there are several mandatory deliverables. These are already included in below table. Please copy them into your proposal.

The table should have the following columns:

1. The running number of the deliverable.

**Note: Please give deliverable numbers in order of delivery dates. Use the numbering convention <WPnumber>.<number of deliverable within that WP>. For example, deliverable 4.2 would be the second deliverable from work package 4.**

2. Name of the deliverable, e.g. training manual for health care workers, report on literature review, final conference etc.
3. Number of the work package which will produce this deliverable
4. Acronym of the partner that is responsible for / leading the production of this deliverable
5. Short description of the content of the deliverable
6. Dissemination level: indicate if this deliverables is public (PU) or its distribution is limited to the partnership and the Executive Agency i.e. confidential (CO, see also conditions in the grant agreement, Articles 21 and 22). Note that the main deliverables produced by the Joint Action must be publicly available.
7. The deadline of the deliverable (the month when the deliverable will be ready and submitted to Chafea). Several months can be indicated here e.g. a draft report in M18 and the final report in M36 (together makes one deliverable).

Figure 6: An example of a table with the list of deliverables

Deliverable Number	Deliverable Name	Work package number	Leading participant acronym	Content specification	Dissemination level	Delivery month

Please add lines to the table as needed. While there is no limitation to the number of deliverables, it is strongly suggested to keep the number reasonable.

For example:

- draft version are not different deliverables from the final product, but please indicate the month when the draft will be ready (e.g. M16) and when the final report will be ready (e.g. M24)
- translations into other languages are also not different deliverables from the original version
- 6 newsletters are produced throughout the action, they should be listed as one deliverable and not as 6 individual ones (even if in different languages). Indicate the different months when the newsletters would be produced (e.g. M6, M12, M18, M24, M30, M36).

With respect to conferences, you may wish to group all deliverables around the conference as one i.e. the conference itself and any output it may produce (report, declaration, recommendations, manifesto etc.). Again, specify the month when each part could be ready e.g. conference in M20, conference report published in M26.

Obligatory deliverables:

Mandatory Deliverable Number	Deliverable name	Work package number	Leading participant acronym	Content specification	Dissemination level	Delivery month
MD.1	Periodic report(s)	1	The coordinator	This report describes the activities carried out, milestones and results achieved in the first half of the action. Deliverables can be attached as annexes.		
MD.2	Final report	1	The coordinator	This report describes the action implementation and the results achieved. The deliverables are annexed.		End of action
MD.3	Leaflet	2		A leaflet to promote the action must be produced at the beginning	P	M3

MD.4	Layman version of the final report	2		This is a short (e.g. 10 pages) version of the final report, written for the interested public as a target group.	P	End of action
MD.5	Web-site	2		Each action must have a dedicated web-site / web-pages. This can have a public part and another one accessible only to the participants.	P (and C)	M3

MD = "mandatory deliverable"

### 2.2.9 Action management structure

Applicants must describe the organisational structure and the decision-making and explain why these are appropriate to the complexity and scale of the action.

Consider an appropriate governance structure possibly to include a management or steering committee, (scientific) advisory committee etc.

Appropriate mechanisms for monitoring and supervision should be planned.

Also, as the management of an action implies the coordination of several participants located in different countries, it is thus important to have a good communication strategy and plan. This should include details how information will be communicated between the action participants, how decisions will be taken, by whom, and what the procedure will be in case of conflict.

More information can be found in the Joint Action brochure edited by Chafea [http://ec.europa.eu/health/programme/docs/joint\\_actions\\_2008\\_2011\\_en.pdf](http://ec.europa.eu/health/programme/docs/joint_actions_2008_2011_en.pdf)

#### Quality of the partnership

Applicants must describe the consortium. The partnership definition is under the responsibility of the Member States during the preparation phase.

#### Capacity of the staff

Applicants must clearly but concisely describe the competence of staff related to the scientific, technical and managerial implementation of the action.

- *Coordinator institution, description of competence, experience, leadership and authority in the action area*

Demonstrate the capacity of the coordinator to realise the work in relation to the action. 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 action manager and other decision makers. On the personal level, the action manager must have the necessary skills, expertise and authority to lead a team and to

achieve the action objectives. He or she should also be capable of using the resources in a flexible way.

- *Key staff of the coordinator – description of competence (leadership and authority) and experience in the action area.*

Present the profile of the key staff members (recommendation: a half page for all staff together) illustrating their (academic) qualifications, professional experience, competence, expertise, leadership quality and authority required by the action tasks.

**Note: Applicants are requested to include staff profiles into the proposals and not summary CVs. A staff profile is a generic description of the minimum (academic) training and professional experience needed in order to perform specific tasks to implement the Joint Action. For example, an epidemiologist with a university degree in medicine and at least 5 years of professional experience in infectious disease epidemiology or a Joint Action manager with a relevant university degree and at least 3 years of experience in managing Joint Actions at EU level, having also a high command of English.**

- *Participants' institutions, description of competence, experience, leadership and authority in the action area*

Demonstrate the capacity of the participants to realise the work in relation to the specific objectives.

- *Key staff of the participants – description of competence (leadership and authority) and experience in the action area*

Present profiles (please see above, do not add CVs, specify names etc.)of the key staff members (recommendation: a half page for all staff together), illustrating their (academic) qualifications, professional experience competence and expertise required by the action tasks.

#### External and internal risk analysis and contingency planning

Even in the best-planned actions there are uncertainties, and unexpected events can occur. Therefore applicants must provide a risk analysis at the start of the action. This will help to predict the risks that could prevent the 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. The risk analysis should identify internal risks, like a low performance of one of the participants, a withdrawal of one of the participants, and external ones e.g. target group is harder to reach than foreseen, response rate to a survey is lower than expected, translation of documents is delayed due to sickness of translator, collaboration with external stakeholders is not as smooth as anticipated.

Please provide the risk analysis in form of a table, using the template below.

- Identified risk: describe any critical risks, relating to action implementation, which might hamper the achievement of the action's objectives;

- Likelihood: include the probability or likelihood (high, medium and low) of the risks identified;
- Impact: rate the impact (high, medium and low) and what would be affected;
- Contingency planning: detail all risk mitigation measures.

Figure 7: Template table for risk analysis

Identified Risk	Likelihood	Impact	Contingency planning

## Financial management

Applicants must describe the financial management of the action. They must be able to build and monitor the action budget. The important amount of money involved and its distribution among participants, in function of the work achieved, demands a strong financial management capacity. This capacity has to be demonstrated with all relevant elements such as the competency of financial officers, tools used to monitor the action, including reporting (e.g. collection of financial documents from the participants), procedures (e.g. preparation of financial reports, distribution of co-funding) and quality controls.

### *2.2.10 Budget*

As mentioned previously, the Budget Overview Table will be included in the Administrative Form of the application.

In this part of the application you must provide a description of the way the budget was built in support of the implementation of the action– in short, its relevance with the activities planned during the year and the rationale for doing so.

It is highly recommended that the consortium members work closely together and with the coordinator in the preparation phase.

The Budget of the Technical Proposal has three parts:

#### **1. Content description and justification**

This is a free space for the applicants to explain how the budget is build.

#### **2. Table of "Summary of staff effort"**

This table summarises the personnel need of the action, estimated as person month at applicant level with an allocation to each work package the applicant participates in. Please make sure that all personnel of the affiliated entities are also included.

Each row of the table represents one applicant of the consortium.

The amount of "Total person month per applicant" must be equal to the sum of total person month given in the table of "Detailed budget" for the applicant and its affiliated entities.

Figure 8 – Table: Summary of Staff Effort

	WP n	WP n+1	WP n+2	Total Person/ Months per Applicant
Applicant Number/ Short Name				
Applicant Number/ Short Name				
Applicant Number/ Short Name				
<b>Total Person/Months</b>				

### 3. Detailed budget table

This table summarises all the estimated costs with a breakdown for each cost category for each applicant with its justification.

Figure 9: Table – Detailed budget: per applicant or affiliated entity

Applicant Number/ Short Name			
(If affiliated entity: Affiliated to which Applicant number/Short name)			
(A) Direct personnel costs	Persons	Total Person- month	Total Costs (€) of (A)
	<b>Justification</b>		
(B) Direct costs of sub-contracting	Costs (€)	Task(s)/Justification	
(please repeat line for each subcontract foreseen)			
<b>Total Costs (€) of (B)</b>			
	<b>Justification</b>		
(C) Other direct costs			
(C.1) Travel	Costs (€)	Justification	
(C.2) Equipment	Costs (€)	Justification	
(C.3) Other goods and services	Costs (€)	Justification	
<b>Total Costs (€) of (C)</b>			
(D) Indirect Costs	Total Costs (€)		
(Max. 7% on A, B and C)			
<b>Total estimated eligible costs</b>			

**Note: The detailed budget per applicant must be consistent with the Budget Overview Table of the Administrative Form of the application. The online submission system does not provide a reconciliation function among the different budget tables of the application form, it is the consortium responsibility to ensure consistency of the information provided throughout the application.**

The table has 4 parts representing the 4 cost categories (A for Direct personnel costs, B for Subcontracting costs, C for Other direct costs and D for Indirect costs.).

If the applicant plans to work with its linked affiliated entities, their costs must be presented in separate tables (one table per one affiliated entity + one table for the applicant).

**Note: There is one single cell provided per cost category. It makes the budget table simple and easy to handle, but it is also easy to over- or underestimate these figures. Even though you may do budget transfers at a later stage it is crucial that the *overall resource need of the action is a fair estimate as the maximum amount of the EU Contribution is linked to this initial budget estimate.***

It is therefore strongly recommended that you have your own templates / spread sheets developed which supports you considering all important factors of a cost category.

#### **A. Direct personnel cost:**

Applicants may consider the following costs as eligible under direct personnel costs:

- personnel working for the applicant under an *employment contract* (or equivalent appointing act) and *assigned to the action*

- *natural persons* working under a *direct contract with the beneficiary other than an employment contract*, if:

- the person works under the beneficiary's instructions and, unless otherwise agreed with the beneficiary, on the beneficiary's premises;
- the result of the work carried out belongs to the beneficiary, and
- the costs are not significantly different from those for personnel performing similar tasks under an employment contract with the beneficiary.

- *personnel seconded by a third party* if costs are incurred with the beneficiary

#### **Elements of personnel costs:**

- Salary;
- Social security contributions, taxes;
- Other costs included in the remuneration, if arise from national law or employment contract.

Please make sure that

- you consult with article 6.2. "A. Direct personnel cost" of the grant agreement;
- you include a separate template for each of your linked affiliated entity;
- cost of an action coordinator / action manager and financial officer are included for the coordinator.
- cost of a coordinator / action manager is included if you are leading a workpackage;
- you consider all the expertise (=function) that you will contribute to the action.

- you try to consider the level of seniority of a function;
- you consult with human resources department / accounting department of your organisation to support you with salaries, taxes, etc.
- the information is consistent with the table "*Summary of staff efforts*" and the Budget Overview Table of the Administrative Form of the application.

In the cell "**justification**" you should focus on functions and expertise your organisation will contribute.

***B. Subcontracting cost:***

Please make sure that

- you consult with article 6.2. "B. Subcontracting cost" and article 13 "Implementation of action tasks by subcontractors" of the grant agreement;
- taxes, duties and other charges are included in the estimate
- you include the estimated cost + potential travel and subsistence costs of the subcontractor;
- a separate row added for each activity to be performed by a subcontractor;
- the activity being subcontracted is also described in the Technical Proposal of Part B;
- you consult with your procurement / sourcing department regarding rules you need to comply with;
- you include a separate template for each of your linked affiliated entity;
- the information is consistent with the Budget Overview Table of the Administrative Form of the application.

In the cell "**justification**" you should explain why the activity would be performed by a subcontractor and how the cost is estimated.

***C. Other direct cost:***

This budget category has three subcategories: C1 Travel; C2 Equipment and C3 Other goods and services.

Please make sure that

- you consult with article 6.2. "C. Other direct cost" and article 10 "Rules for purchasing goods, works or services" of the grant agreement.
- the sum of C1 + C2 + C3 is consistent with Budget Overview Table of the Administrative Form of the application.

*C1 Travel and related subsistence allowance*

Please pay attention that

- travel and subsistence costs for ALL potential participants whose costs you plan to reimburse (e.g. personnel, collaborating stakeholders, advisors, special speakers, trainers, volunteers, invited experts, conference participants, etc.) are included;
- ALL the events / meetings you plan to participate in (e.g. Joint Action meetings, steering committees, advisory boards, dissemination events, conferences, trainings, workshops, study visits, information sessions, coordination visits to other beneficiaries, etc.) are included;
- both travel AND subsistence cost for each participant are estimated;
- you consult with your accounting and / or human resources department regarding your organisation's rules on travel and subsistence;

In the cell "**justification**" you should explain the type of events you plan to participate / plan to organise.

### *C2 Equipment*

Costs related to equipment may take the following forms:

- The depreciation costs of equipment, infrastructure or other assets (new or second-hand) as recorded in the beneficiary's accounts are eligible and written off in accordance with international accounting standards and the beneficiary's usual accounting practices;
- The costs of renting or leasing equipment, infrastructure or other assets (including related duties, taxes and charges such as non-deductible value added tax (VAT) paid by the beneficiary) are also eligible, if they do not exceed the depreciation costs of similar equipment, infrastructure or assets and do not include any financing fees;

Please pay attention that

- you include only the **depreciation cost** of an equipment within the duration of the action;
- you include **leasing fee** (without financing costs) and **cost of renting** an equipment
- you consider that the equipment in question is shared or not with another Joint Action and you calculate only with your share
- you consult with your accounting department on the depreciation rules and calculation method;
- general office equipment and software are part of Indirect costs.

In the cell "**justification**" you should explain the type of equipment you plan to use for the implementation of the action.

### *C3 Cost of other goods and services:*

Please pay attention that

- you include all those activities for the implementation of the action which would not be performed by personnel or subcontractor. Examples:
  - conference and meeting costs (room rental, catering, meeting materials);
  - laboratory materials and tools;
  - costs of certificates on financial statements;
  - postage, delivery of documents, samples, etc.;
  - costs of dissemination;
  - translation / printing of periodic reports, etc.
- you consult with your accounting / procurement / sourcing department
- you include taxes, duties and other charges related to the goods and services to be bought

In the cell "**justification**" you should explain the type of other services you plan to use for the implementation of the action.

#### ***D. Indirect cost:***

This budget category is a flat rate of 7% above the total direct cost (A+B+C).

Please note that operating grants received by beneficiaries have to be considered and indirect costs will be proportionally decreased for those years when beneficiary receives operating grant (non-cumulative principle).

Operating grants awarded after the signature of the grant for an action will be considered at the time of interim or final payment.

##### *2.2.11 Previous and current grants relevant to the programme*

The coordinator should add here a list of previous and current grants relevant to the Third EU Health Programme (limited to the last 3 years) his/her organization is receiving/has received, if any.

##### *2.2.12 Current applications relevant to the programme*

The coordinator should add here a list of the current applications relevant to the Third EU Health Programme he/she is involved in, if any.

##### *2.2.13 Exceptional Utility*

The coordinator indicated already in the budget overview table in part A, if he/she requests a higher co-funding percentage than 60% or not. Please confirm in this section that the proposal complies with the 2 criteria (see: [Section 3: Budget](#)).

##### *2.2.14 Collaborating stakeholders*

Collaborating stakeholders and/or experts are organisations or individual persons, which:

- may significantly increase the technical and scientific content of the Joint Action, as well as its relevance for different users in the Union;
- have no contractual relationship with the Agency;
- do not receive any EU funding from this particular grant.

Please list up to 20 collaborating stakeholders or experts that contribute to the Joint Action. This should be done in table format (as suggested below). Note that it is not mandatory to involve collaborating stakeholders.

Figure 11: Sample table of collaborating stakeholders

Institution	Contact person (First and last names)	City & Country

After finalizing the action proposal, according to the above guidelines and based on the template provided, please convert it into a PDF and up-load it into the Electronic Submission System as "part B".

Figure 10: Screen shot of page where to up-load Part B and annex

**Note: You can replace this action proposal which you already up-loaded as often as you wish before the deadline. Please be sure that the final version is up-loaded at the time of the deadline. It is your responsibility to do so!**

Suggestion:

Draft your action proposal in good time before the deadline and share it with colleagues. Ask them to assess your draft by using the "self-evaluation form" Chafea provides for this purpose. Based on the feedback provided, you can improve your draft.

## **C. EVALUATION**

All proposals received by Chafea via the Electronic Submission System, go through a multi-level process of evaluation with regards to several categories of criteria: the eligibility, exclusion, selection and award criteria. Regarding Joint Actions, the evaluation procedure on the basis of the award criteria has to be seen as a quality assurance process, since there is no competition. Indeed it is a direct grant procedure subject to a negotiation process. The results of the external evaluation will be used during the negotiation phase to improve the quality of the proposal if and when needed.

The evaluation of proposals is carried out in the **strictest confidence**.

### **1 EVALUATION PROCESS OVERVIEW AND OUTCOMES**

All criteria and the mandatory supporting documents are summarized below. Please read these criteria carefully. Joint Action applications failing to meet any of these criteria will be excluded at the given stage of the evaluation chain. This may mean that they are not submitted to the evaluation of the award criteria.

#### **1.1 Eligibility criterion**

According to Article 7(2)(a) of the Health Programme Regulation, applicants must be the competent authorities that are responsible for health in the Member States or in third countries participating pursuant to Article 6 of that Regulation, or public sector bodies and nongovernmental bodies, as referred to in Article 8(1) of that Regulation, acting individually or as a network, mandated by those competent authorities. According to Article 8(1) of the Health Programme Regulation, the grants for actions referred to under Article 7(2)(a) may be awarded to legally established organisations, public authorities, public sector bodies, in particular research and health institutions, universities and higher education establishments. 64

According to Article 190(1)(d) of the Financial Regulation grants may be awarded without a call for proposals to bodies identified by a basic act, within the meaning of Article 54 of the Financial Regulation, as beneficiaries of a grant or to bodies designated by the Member States, under their responsibility, where those Member States are identified by a basic act as beneficiaries of a grant.

‘Competent authority’ means the central authority of a Member State competent for health/specific (public) health topic or any other authority to which that competence has been conferred; it shall also include, where appropriate, the corresponding authority of a third country. A competent authority can also be one at regional level, depending on the governance structure of the Member State/third country.

If the participating entity is a competent authority, the competent ministry/government organisation shall by way of an official notification, duly signed by an authorised representative, confirm that the entity is the eligible body to participate on behalf of the respective Member State/regional entity and under its responsibility in the relevant action.

If the chosen entity is a non-governmental body or a public body other than a competent authority, the competent ministry/government organisation shall officially designate the body that will be eligible to participate on behalf of the respective Member State/regional entity and under its responsibility in the relevant action.

The competent ministry/government organisation shall confirm that the designation procedure was executed and concluded in the respect of the national legislation in force in the respective country and that all the transparency requirements for the use of public EU and national funds in the respective country have been fully met. The authorised representative signing the official notification of the designation shall confirm that the Ministry/government organisation is fully responsible for this designation and its legality.

## **1.2 Exclusion criterion**

The situations of exclusion are listed in Articles 106 and 107 of the Financial Regulation.

Reasons to exclude applicants from the participation include, but are not limited to: being bankrupt, have been convicted of an offence concerning their professional conduct, have been guilty of grave professional misconduct, are not in compliance with their obligations relating to the payment of social security contributions or the payment of taxes etc.

## **1.3 Selection criteria: operational and financial capacity**

The selection criteria assess the financial and operational capacity of the applicants.

### *Financial viability*

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

The verification of financial capacity will not apply to public bodies.

The financial viability will be assessed for all applicants, except:

- a) the EU-contribution for the coordinator / other beneficiary is  $\leq$  EUR 100 000:
- b) the beneficiary is a public body

This assessment will be performed based on the documents the applicants provided when registering in the Beneficiary Registry. You may be contacted if more information is needed in order to complete this assessment.

All applicants must certify their financial viability when applying. For this the self-assessment must be carried out (see section 2.1).

### *Operational capacity*

Applicants must have the professional resources, competencies and qualifications necessary to complete the proposed action. The applicants' operational capacity has to be certified by the coordinator by ticking the relevant box in Part A of the online application. To proof the operational capacity, pertinent information has to be provided in the proposal (part B, section 2.2.9), as described above. The operational capacity will be judged based on the self-declaration and this information.

## 1.4 Award criteria

Only Joint Action proposals which have satisfied the eligibility, exclusion and selection criteria will be evaluated by external experts on the basis of the award criteria. It has to be noted that no marks are allocated to the different criteria since it is a quality assurance procedure.

### **Criterion 1: Contribution to public health in Europe**

#### Sub-criteria:

Quality of the contribution of the Joint Action to public health in Europe:

- EU added value <sup>(7)</sup> will be achieved in one or more of the following areas: impact on target groups, long-term effect and potential multiplier effect, such as replicable, transferable and sustainable activities, contribution to complementarity, synergy and compatibility with relevant EU and EU MS policies and programmes.

Consideration of social, cultural and political context:

- The proposal relates well to the situation of the countries or specific areas involved, and ensures the compatibility of envisaged actions with the culture and views of the target groups.
- The proposal contributes complements and supports MS policies, addressing the demographic challenges, promoting social inclusion of vulnerable groups, promotes gender balance, etc.
- Ethical aspects, confidentiality and protection of personal data are respected for the performance of studies involving human beings.

### **Criterion 2. Technical quality**

#### Sub-criteria:

Quality of the evidence base:

- A relevant problem analysis using scientific evidence is included. It clearly describes the health determinants, factors, impact, effectiveness and applicability of the proposed measures.

Quality of the content:

- Aims and SMART objectives, ensuring a clear public health orientation focus on the implementation of effective measures are clearly stated.
- The methodology on how to carry out the planned activities to achieve the objectives, is well described and adequate.
- The transferability and sustainability of these activities, the target groups, deliverables, milestones, main outputs as well as anticipated effects and outcomes are well described and pertinent.
- Quality of the deliverables: the deliverables are well defined and quantifiable. The deliverables correspond to the objectives and are prepared using a defined amount of time and financial and human resources.

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<sup>(7)</sup> EU added value can be achieved in different ways: by implementing EU legislation, economies of scale, promotion of best practice, benchmarking for decision making, reducing cross border health threats, strengthening free movement of persons or strengthening networking activities.

Innovative nature, technical complementarity and avoidance of duplication of other existing actions at EU level:

- The progress the Joint Action intends to make within a given field in relation to the state of the art is identified.
- There will be neither inappropriate duplication nor overlap, whether partial or total, between Joint Actions and activities already carried out at EU and international level. Applicants demonstrate how the proposal complements EU initiatives and/or EU MS policies.

Quality of the evaluation strategy:

- The methods proposed are adequate, this should include using a logic framework method, with "SMART" indicators (process, output and outcomes/impact) chosen per specific objective, including target values. Specific indicators regarding dissemination and Joint Action management are included.
- An external and independent evaluation of the Joint Action outcomes is an advantage.

Quality of the dissemination strategy and plan:

- A stakeholder's analysis (including representatives from the Ministries of Health and Public Health institutes) is provided.
- It is well described what will be disseminated to whom, when and why.
- The methodology clearly illustrates the adequacy of the different tools and channels of dissemination to ensure sustainability of the Joint Action results and the reaching of the target group/stakeholders.
- A dissemination plan is provided which includes adequate timing and milestones for the dissemination activities.
- A dissemination report is foreseen that will clearly show the results (with qualitative and quantitative indicators)
- The visibility of EU co-financing is ensured.

### **Criterion 3. Management quality**

Sub-criteria:

Quality of the planning and appropriate task distribution to implement the Joint Action:

- The activities to be undertaken are clearly described.
- The Joint Action timetable and milestones are logic and harmonized with the objectives.
- The nature and distribution of tasks among the partnership is congruent with the relevant expertise and is balanced.
- A risk analysis and remediation plan is provided and both are adequate.
- The planning is visualized through a GANTT chart.
- The governance structure proposed is adequate e.g. following the model suggested in the Joint Action brochure prepared by CHAFEA (see: <http://ec.europa.eu/eahc/documents/health/leaflet/EAHC-Joint-Action.pdf>)

Relevance of the organisational capacity, including financial management:

- The management structure and competences of staff are clearly described.
- An internal communication strategy in terms of managing the Joint Action consortium, including collaborating partners, decision-making, and monitoring and supervision is set-up and adequate.

- The financial processes (e.g. validation of payments, collection of financial documents etc.) and responsibilities, technical and financial reporting procedures and quality controls are well described and adequate.

Quality of the partnership:

- The partnership will be defined by the Member States during the preparation of the Joint Action.

#### **Criterion 4. Overall and detailed budget**

Sub-criteria:

Relevance of the budget in relation to the activities,

Consistency of the estimated cost per applicant and the corresponding activities,

Realistic estimation of person days / deliverable and per work package,

The budget allocated for evaluation and dissemination is reasonable.

- The budget is relevant, appropriate, balanced and consistent in itself, between partners and in relation to the activities and work-packages defined the Joint Action proposal.
- The budget is distributed between partners reflecting that task distribution / role of each partner.
- An adequate proportion of the budget is allocated to ensure the dissemination and evaluation of the action.

#### **1.5 Additional information**

Similar to the proposals for projects, each Joint Action (draft) proposal will be evaluated by three external evaluators. However, no points will be given, as this is not a competitive call. The Joint Action coordinator will be invited by Chafea to meet these evaluators and discuss with them the proposal. The estimated timeframe for this is mid-December 2014. After this, the coordinator, in collaboration with the other partners, should finalise the Joint Action proposal, based on the comments received.

Once this process is successfully finalised, Chafea will take the award decision and prepare the grant agreement. Please note that also the proposal finalisation (which will become the technical annex to the grant agreement) and grant preparation will be done in a new online system. There will be no paper version of the grant and the annexes. Likewise, the reporting and submission of deliverables will be done in the online system as well.