



Contracting Authority: European Commission

Investing in People (Development Cooperation Instrument)

Supporting public health institutes

Restricted Call for Proposals 2013

Guidelines
for grant applicants

Budget line 21.05.01.01

Reference: EuropeAid/135178/C/ACT/Multi

Deadline for submission of Concept notes: **17th March 2014**

NOTICE

In case of any discrepancy between the language versions of this call, the English

version will prevail

This is a restricted Call for Proposals. In the first instance, only Concept Notes must be submitted for evaluation. Thereafter, applicants who have been pre-selected will be invited to submit a Full Application Form. After the evaluation of the Full Applications, an eligibility check will be performed for those which have been provisionally selected. Eligibility will be checked on the basis of the supporting documents requested by the Contracting Authority and the signed 'Declaration by the Applicant' sent together with the application.

IMPORTANT

Even though the verification of eligibility is foreseen to be carried out only for the provisionally selected applicants at the end of the procedure, the Evaluation Committee may decide to verify this point at any previous step of the procedure. Consequently, any proposal found to be non-compliant with all the mandatory conditions set in these guidelines can be automatically rejected on that sole basis, at any stage of the procedure and without any prior notice nor clarification request. Applicants are therefore strongly advised to fill in scrupulously the "Checklist for the Concept Note" (Annex A, Part A, section 2), the "Checklist for the Full Application form" (Annex A, Part B, section 7) and the first two pages of the application form where most of the prerequisites are required/listed. Any missing supporting document or any incoherence between the declarations and the supporting documents may lead to the rejection of the proposal on that sole basis.

No modification of the partnership between the Concept Note and the Full Application will be allowed save in exceptional cases, justified by force majeure and accepted by the Evaluation Committee. Force majeure shall mean any unforeseeable exceptional situation or event beyond the parties' control which prevents either of them from fulfilling any of their obligations, is not attributable to error or negligence on their part and proves insurmountable in spite of all due diligence. In such cases, the applicant must clearly indicate the requested change and justify the request in Part B section 7 of the Full Application form. The validity of the justification provided will be examined during the evaluation of the Full Application. Should the justification not be deemed valid, the proposal may be rejected on that sole basis.

A functional mailbox specifically dedicated to this call has been set up: EuropeAid-DCI-HEALTH-2013@ec.europa.eu. It shall be used exclusively for the purpose explained in paragraph 2.2 of these guidelines i.e. submission of the Concept Notes, clarification requests within the set deadline, submission of the Full Application and in case the applicant does not receive the confirmation of reception on the date announced in the indicative calendar (as explained in paragraph 2.2.3). No other functional mailbox (such as, for example, EuropeAid-GlobalCalls@ec.europa.eu) will be used. The Contracting Authority reserves the right to close this mail box without prior notice once this call for proposals is closed and not to reply to requests which do not fall under one of the afore-mentioned categories. In particular, neither information regarding the indicative time table nor the content of the decision will be given through this mailbox. In that respect, applicants are requested to follow instruction given in paragraphs 2.5.1 and 2.5.2 of these guidelines.

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1. SUPPORTING PUBLIC HEALTH INSTITUTES

1.1. BACKGROUND

The **EU commitment to health** in its development policy is outlined in the “EU Role in Global Health”¹ Communication (2010) that defines areas of support, such as better sector governance, universal coverage by quality health services, increased policy coherence across sectors influencing health, and knowledge generation for evidence-based decisions. The EU strategy to reducing poverty is outlined in the Agenda for Change² (2011); it acknowledges health as an important determinant of economic growth and development, as it is one of the sectors, together with education and social protection that "build the foundations for growth and help ensure that it is inclusive".

This Call for Proposals is part of the “**Investing in People**” thematic programme that pursues a broad approach to development and poverty reduction, with the general aim of improving human and social development levels in partner countries, in accordance with the *United Nations Millenium Declaration* and the Millennium Development Goals (MDGs). It is based on Article 12 of the Development Cooperation Instrument (DCI)³, a supplementary instrument to the EU support channelled through country programmes, and is detailed in the *Strategy Paper for the Thematic Programme 2007-2013*⁴. Under the theme 'Good health for all', it addresses three key health areas: 1) strengthening health systems, improving health services and supporting capacity of partner countries to confront health challenges, 2) confronting main communicable diseases and 3) implementing the Cairo Agenda on sexual and reproductive health.

The *Mid-Term review of the Strategy Paper*⁵ prescribes two basic principles for the programme in 2011-2013 at global and/or regional levels: promoting policy dialogue, knowledge generation and innovation, and the EU taking a role in shaping global initiatives and stimulating effective leverage of resources mobilized for additional support to bi-lateral programmes. At country level, the *Mid-Term review of the Strategy Paper* sets the objective to develop long-term links with key leading policy institutions within the wide range of civil society organisations, and to have stronger involvement of key civil society actors through regional and global initiatives designed to promote the development of South-South links/networks for the purpose of the exchange of practices and experience, sharing of expertise, innovation and coordination for supranational policy advocacy. This programme follows these key principles.

1.2. OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

Description of the objectives and priorities of the programme covered by this Call for Proposals: **Supporting Public Health Institutes**.

The **global objective** of this Call for Proposals is to contribute to the protection and promotion of population's health through the provision of policy analysis and policy advice.

The **specific objective** of this Call for Proposals is to enhance expertise, knowledge and resources of selected schools of public health or public health research –or training– institutes in low-income countries to provide national health authorities and stakeholders with evidence-based and locally adapted policy advice, training and other support to feed decision- and policy-making and to monitor implementation at national or sub national level.

¹ Communication from the Commission to the Council, the European Parliament, , the European Economic and Social Committee and the Committee of the Regions, COM (2010) 128 final "The EU Role in Global Health"

² Commission COM (2011) 637 final: "**Increasing the impact of EU development policy: an Agenda for Change**" http://ec.europa.eu/europeaid/what/development-policies/documents/agenda_for_change_en.pdf

³ Regulation (EC) No 1905/2006 of the European Parliament and of the Council of 18 December 2006 establishing a financing instrument for development cooperation (OJ L 378, 27.12.2006, p. 41).

⁴ http://ec.europa.eu/development/icenter/repository/how_we_do_strategy_paper_en.pdf

⁵ http://ec.europa.eu/europeaid/what/health/documents/investing_people_mid-term_review_en.pdf

Partnership is an inherent component of the programme, as an instrument for sharing of expertise, exchange of practices, knowledge transfer, capacity building, mentoring, and any other tasks that will contribute to the specific objective. A partnership will be composed of at least three entities, and a maximum of six. Public health institutes from middle-income countries are expected to play an important role in the partnership through South-South cooperation. (see section 2.1.1 p.7).

This Call for Proposals will give **priority to actions supporting public health institutes in low-income countries** that :

- develop a credible approach to link public health research, sector policy dialogue and training to policy development and implementation in areas conducive to universal health coverage and increased equity in health;
- present a partnership that has a transnational dimension, and foster South-South cooperation among public health institutions;

as assessed in Section 2.3.

In addition, proposals which demonstrate the following aspects will be considered favourably:

- the proposal comes in response to a need identified in the country's national health development plan, with respect to enhancing public health capacity;
- the proposal includes prospects for the beneficiary institute of a dependable multiyear (5 years) strategic and business plan (scope of activities, expenditure and revenue) that reflects national health priorities and focuses on institutional development and sustainability;
- at least two of the applicants are established in the beneficiary country, so as to promote ownership and strong local leadership;

as assessed in Section 2.3, p.21.

This Call for Proposals is intended to serve a maximum 5-years programme. Acknowledging that public health institutes in developing countries need to be supported in the long run, a second phase of support is anticipated for the most promising interventions, possibly on a regional or sub-regional basis.

Only one public health institute will be selected per country, and is often referred to as the “beneficiary institute of the action” or simply the “beneficiary institute” in these guidelines. Similarly the “beneficiary country” is the country where the beneficiary institute of the action is established.

1.3. FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY

The overall indicative amount made available under this Call for Proposals is € 23 000 000.

A support measure will aim at monitoring the programme's implementation in a comprehensive manner, increasing the global coherence, efficiency and visibility of the individual programmes in the various countries, and at guiding and planning the programme's evolution into a possible second phase.

The Contracting Authority reserves the right not to award all available funds. Equally, this amount could be increased, should more funds become available either from the same or from a subsequent budget year.

Size of grants

Any grant (EU contribution) requested under this Call for Proposals must fall between the following minimum and maximum amounts:

- minimum amount: € 1 000 000
- maximum amount: € 4 000 000

Any proposal for which the requested EU contribution does not fall between these minimum and maximum amounts will be rejected.

Any grant (EU contribution) requested under this Call for Proposals must respect the following **maximum percentage** of total eligible costs of the action: **80 % of the total eligible costs** of the action (see also section 2.1.4).

Any proposal for which the requested percentage of total eligible costs exceeds the maximum percentage will be rejected.

Only for actions taking place in one of the least developed or other low income countries as indicated in OECD DAC⁶, the EU requested contribution may exceptionally cover the entire eligible costs of the action if this is deemed essential to carry it out. If that is the case, the applicant must justify any such request in Part B, Section 2.2 of the Grant Application Form and the validity of the justification provided will be examined during the evaluation procedure. Should the Evaluation Committee consider the justification not in line with the action, the maximum percentage of 80% will then be applied.

The **balance** (i.e. the difference between the total cost of the action and the amount requested from the Contracting Authority) must be financed from sources other than the European Union Budget or the European Development Fund⁷.

2. RULES FOR THIS CALL FOR PROPOSALS

These guidelines set out the rules for the submission, selection and implementation of the actions financed under this Call, in conformity with the Practical Guide to contract procedures for EU external actions, which is applicable to the present call (available on the Internet at this address: http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm).

2.1. ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

(1) the actors:

- The **applicant**, i.e. the entity submitting the application form (2.1.1),
- its **co-applicants** (**where it is not specified otherwise the applicant and its co-applicant(s) are hereinafter jointly referred as the "applicants"**) (2.1.1),
- and, if any, **affiliated entity(ies)** to the applicant and/or to a co-applicant(s). (2.1.2);

(2) the actions:

Actions for which a grant may be awarded (2.1.4);

(3) the costs:

- types of cost that may be taken into account in setting the amount of the grant (2.1.5).

⁶ <http://www.oecd.org/dac/stats/DAC%20List%20used%20for%202012%20and%202013%20flows.pdf>

⁷ Where a grant is financed by the European Development Fund, any mention of European Union financing must be understood as referring to European Development Fund financing.

2.1.1. Eligibility of applicants (i.e. applicant and co-applicant(s))

The beneficiary institute can either be the Applicant or a co-applicant, depending on its financial and operational capacity (including stable and sufficient sources of finance), its technical expertise, and on best option's choice by the applicants.

Applicant

(1) In order to be eligible for a grant, the applicant must:

- be legal persons **and**
- be non-profit-making **and**
- be specific types of organisations: non-governmental organisations⁸, public or semi-public or private not-for-profit sector operators⁹, or local authorities¹⁰, **and**
- have at least five years of experience in the field relevant to this call for proposals and have acquired demonstrable national- and/or international-level recognition for this work, either under the form of at least one publication in renowned national, regional or international journals, or under certification by at least two international, regional or national organizations, institutions or authorities for a specific piece of work related to policy-making or policy implementation in the health sector and in response to an identified public health problem in-country **and**
- be established in¹¹
 - a Member State of the European Union **or**
 - a developing country as specified by the OECD/DAC list¹² **or**
 - an EEA Member State (Iceland, Liechtenstein and Norway) **or**
 - an official EU candidate country (Iceland, Montenegro, Serbia, Turkey, The Former Yugoslav Republic of Macedonia), **and**
- be directly responsible for the preparation and management of the action with the co-applicant(s) and affiliated entity(ies), not acting as an intermediary.

⁸ The term non-governmental organisation is equivalent to the terms of Civil Society Organisations (CSOs) and to the term Non-State Actors (NSA). These are organisations representing indigenous peoples, organisations representing national and/or ethnic minorities, local traders' associations and citizens' groups, cooperatives, trade unions, organisations representing economic and social interests, organisations fighting corruption and fraud and promoting good governance, civil rights organisations and organisations combating discrimination, local organisations (including networks) involved in decentralised regional cooperation and integration, consumer organisations, women's and youth organisations, teaching, cultural, research and scientific organisations, universities, churches and religious associations and communities, the media and any nongovernmental associations and independent foundations, including independent political foundations.

⁹ including schools of public health, public health institutions, public health associations, public health laboratories, etc.

¹⁰ The term "local authority" (LA) refers to public institutions with legal personality, component of the State structure, below the level of central government and accountable to citizens. Local Authorities are usually composed of a deliberative or policy-making body (council or assembly) and an executive body (the Mayor or other executive officer), directly or indirectly elected or selected at local level. The term encompasses different tiers of government, e.g. villages, municipalities, districts, counties, provinces, regions, etc. [Reference: COM(2013) 280 final, 15.05.2013]. http://ec.europa.eu/europeaid/what/civil-society/documents/com_2013_280_local_authorities_in_partner_countries_en.pdf

¹¹ To be determined on the basis of the organisation's statutes, which should demonstrate that it has been established by an instrument governed by the national law of the country concerned and that its head office is located in an eligible country. In this respect, any legal entity whose statutes have been established in another country cannot be considered an eligible local organisation, even if the statutes are registered locally or a 'Memorandum of Understanding' has been concluded.

¹² Available at <http://www.oecd.org/dac/aidstatistics/DAC%20List%20used%20for%202012%20and%202013%20flows.pdf>

Furthermore, for proposed actions taking place exclusively in the **least developed countries**, applicants from Australia, Canada, Japan, New Zealand, Switzerland and United States can also apply¹³.

- (2) The potential applicant may not participate in calls for proposals or be awarded grants if it is in any of the situations listed in Section 2.3.3 of the Practical Guide to contract procedures for EU external actions (available from the following Internet address:

http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm)

In Part A, section 3 of the grant application form ('Declaration by the applicant'), the applicant must declare that the applicant himself, the co-applicant(s) and affiliated entity(ies) are not in any of these situations.

The applicant must act with co-applicants as specified hereafter.

If awarded the Grant contract, the Applicant will become the Beneficiary identified as the Coordinator in annex E3h1 (Special conditions). The Coordinator is the main interlocutor for the Contracting Authority. The Coordinator represents and acts on behalf of any other co-beneficiary and coordinates the design and implementation of the Action.

Partnership

Partnership between actors for the purposes of (non-exhaustive list) enhancing capacity building and knowledge transfer, of exchanging evidence-based practice and sharing of expertise, of disseminating information and results, of building local ownership is a mandatory part of this call.

The partnership between applicant and co-applicants must involve **at least three entities and a maximum of six, established in at least two different countries and maximum three.**

- South-South cooperation, particularly originating from middle-income countries through participation of their public health institutes (most likely but not restricted possibility), is strongly encouraged;
- Partnership with at least two applicants established in the beneficiary country (e.g. local professional groups, think tanks, academia, research and scientific organizations, etc.) will be given a comparative advantage as described in the priorities.

(Both points are described in section 1.2).

The EC will attach particular importance to the composition, the quality and the management instances of the partnership, its potential for long-term development, and its added value to institutional, collective and individuals' capacity building and knowledge generation in the beneficiary country (see section 2.3).

Co-applicant(s)

Co-applicants are obligatory in this call. The minimum requirement is to involve **at least two co-applicants and maximum five** in the action. (See previous point 'Partnership'). The beneficiary institute may be one co-applicant.

Co-applicants participate in designing and implementing the action, and the costs they incur are eligible in the same way as those incurred by the applicant.

Co-applicants must satisfy the eligibility criteria as applicable to the applicant himself.

In addition to the categories referred to in section 2.1.1, the following are however also eligible as co-applicants in the proposed action:

- co-applicant(s) established in the beneficiary country with at least **three** years of experience of working in the field relevant to this Call for Proposals (assessed in Section 2.3);

¹³ As members of the OECD/Development Assistance Committee (DAC)

- international (inter-governmental) organisations as defined by Article 43 of the Implementing Rules to the EC Financial Regulation¹⁴;
- private companies especially if they can offer particular access and means, on condition that their involvement in the action does not bring them a profit;
- entity without legal personality under the applicable national law, on the condition that the representatives of that applicant can prove that they have the capacity to undertake legal obligations on behalf of the applicant, and that they offer financial and operational guarantees equivalent to those provided by legal persons.

Co-applicants must sign the Mandate in Part B section 4 of the grant application form.

If awarded the Grant contract, the co-applicants will become beneficiaries in the Action (together with the Coordinator).

2.1.2. *Affiliated entities*

The applicant and its co-applicant(s) may act with affiliated entity(ies).

Only the following entities may be considered as affiliated entities to the applicant and/or to co-applicant(s):

- legal entities together forming one entity, including where it is specifically established for the purpose of implementing the action. In this case, the resulting entity may apply as an applicant or co-applicant whereas the other entities as its affiliated entity(ies).
- legal entities having a link with the applicants, notably a legal or capital link, which is neither limited to the action nor established for the sole purpose of its implementation on the condition that they satisfy the eligibility and non-exclusion criteria of an applicant.

If the applicants are awarded a contract, their affiliated entity(ies) will not become Beneficiary(ies) of the Action and signatory(ies) of the Contract. However, they will participate in the design and implementation of the Action and the costs they incur (including those incurred for Implementation Contracts and Financial Support to third parties) may be accepted as eligible costs, provided they comply with all the relevant rules already applicable to the Beneficiary(ies) under the Grant Contract.

Affiliated entity(ies) must satisfy respectively the eligibility criteria as applicable to the applicant and to the co-applicant(s).

Affiliated entity(ies) must sign the affiliated entity(ies) statement in Part B section 5 of the grant application form.

2.1.3. *Associates and Contractors and Third Parties*

The following entities are not applicant(s) nor affiliated entity(ies) and do not have to sign the "mandate" or "affiliated entities' statement":

- Associates

Other organisations may be involved in the action. Such associates play a real role in the action but may not receive funding from the grant, with the exception of per diem or travel costs. Associates do not have to meet the eligibility criteria referred to in section 2.1.1. Associates must be mentioned in Part B section 6 — 'Associates of the Applicant participating in the Action' — of the Grant Application Form.

¹⁴ International organisations are international public-sector organisations set up by intergovernmental agreements as well as specialised agencies set up by them; the International Committee of the Red Cross (ICRC) and the International Federation of National Red Cross and Red Crescent Societies are also recognised as international organisations.

- Contractors

The grant beneficiaries and their affiliated entities are permitted to award contracts. Associates or affiliated entity(ies) cannot be also contractors in the project. Contractors are subject to the procurement rules set out in Annex IV to the standard grant contract.

- Financial support to third parties

The grant beneficiaries may award financial support to third entities. These entities are neither affiliated entity(ies) nor associates nor contractors. However, they are subject to the nationality and origin rules set out in Annex IV to the standard grant contract.

2.1.4. Eligible actions: actions for which an application may be made

Definition:

An action is composed of a set of activities.

Duration

The duration of the action is minimum 48 months and maximum 60 months.

Any proposal for which the duration of the action does not fall between these minimum and maximum durations will be rejected.

Public health institutes' institutional building and long-term development in developing countries need to be supported in the long run. A second phase of support is anticipated for the most promising interventions, possibly on a regional or sub-regional basis.

Sectors or themes and indicative activities

The activities must fall in the **“public health” sector**, with a clear focus on support to public health policy-making leading to progress toward universal health coverage and improved equity in health. The activities must focus on a support to the beneficiary institute and the stakeholders in health in the beneficiary country.

Applicants are expected to address **both basic fields of intervention** as described below in their proposal. The list of activities for the *first field of intervention* (point 1) is considered as core activities (as such they consist of a minimum set of activities) that **must** be part of the proposal; building-up a functional link with the national health authorities is at the heart of the core activities. The activities listed for the *second field of intervention* (point 2) are indicative and can be modified or extended.

Service delivery related to public health laboratories services is a complementary option that must be fully justified if part of the proposal, in the national and regional context and with respect to the scope of services to be supported, and limited to selected priority diseases.

Basic fields of interventions are:

- 1. Supported public health institutes to provide national health authorities and stakeholders with expertise, documentation, reports and relevant tools for evidence-based health policy-making leading to progress towards universal coverage and increased health equity, and for effective and efficient implementation, monitoring and evaluation¹⁵**

Core activities (non-exhaustive list):

¹⁵ In relevant specialised areas such as surveillance (e.g. infectious diseases control, specifically for “priority” diseases -in term of disease burden and accessibility to interventions- as well as outbreak control and eradication) and health information systems, statistics, health financing, health services management, health technology assessment, health impact assessment, assessment of partnership models with private sector, etc., taking into account various public health institutions (including public health laboratories for selected priority interventions), relevant sectors other than health (such as food, nutrition, environment, energy transport, security, etc.)

- a. provide evidence-based and independent country and policy analysis, policy options and advice, as needed by public health authorities;
- b. contribute to the national research agenda and provide evidence and recommendations for effective, efficient and -if possible- innovative health policies;
- c. in coordination with existing training instances and in response to identified needs, develop and provide training on policy development, implementation arrangements and monitoring; training could be directed to scholars as well as policy-makers and implementers;
- d. promote and contribute to an effective and constructive in-country sector policy dialogue that includes all sides and partners;
- e. develop and participate in in-country consultation platforms for good practice, policy orientations and shaping, that establish effective links between the policy/political level, various public health institutions and associations, relevant sectors other than health, health aid agencies, civil society organisations / non-state actors and other relevant stakeholders.

Indicative outputs:

- development of research agenda; development of own research agenda identifying policy gaps; publication of relevant pieces of research;
- independent in-country situation and policy analyses; assessment and monitoring of health and health services; short policy briefs, discussion papers and information –e.g. webpages- on specific issues (even if not part of the priorities of the Government) based on evidence from other countries;
- drafted amendments to or new policies;
- develop or adapt training modules or curricula adapted to local needs; provide training and classes as appropriate and needed;
- take part into regular strategic meetings with relevant stakeholders;
- disseminate results at national and regional level;
- sharing of expertise and know-how at national and regional level: organization of PH networks meeting or conference events, country fora, exchange study visits, etc.
- joint conferences, expert consultation, invitation to and participation in important health policy dialogue events or consultations (e.g. annual health sector review) etc.

2. Institutional development and strengthening of public health institutes or public health research or training institutes in the short- to the long-term

Indicative activities (non-exhaustive list):

- a. raise public health institutes' capacity to an operational level, to contribute to health policy decision-making processes, through provision of complementary, sufficient and appropriate resources that are attractive to qualified and experienced professionals originally from the region (diaspora);
- b. develop, if necessary, institutional capacity in project, human and financial management, especially in relation to multi-sources funding (including external funding) and client-oriented services;
- c. keep institutes' trainers' and researchers' levels of expertise up-to-date through continued education, established partnership with public health academia and exposure to selected relevant international conferences and symposiums;
- d. develop and implement comprehensive multiyear institute's strategic development plans (typically including comprehensive needs assessment, staff capacity building and continuing education plan, plans for income generation and sustainability strategy, active staff recruitment and retention strategies, based on a long-term funding strategy, etc.);
- e. linkup with the other public health institutes of the region supported under this Programme, and organize yearly or bi-yearly meetings to coordinate activities, exchange and monitor the action at a more global level;
- f. linkup with aid agencies and implementers to promote use of local appropriate public health expertise as first or complementary option in supporting health aid policies;

- g. with prospect to build up capacity and to generate knowledge, foster formal institutional partnering with local institutions¹⁶, seek South-South or triangular partnerships, for exchange of experiences and viewpoints from different sides, peer review mechanisms, etc.
- h. linkup with existing public health institutional global or regional networks, for a cross-country exchange and documentation of experiences; (alternatively, if necessary, develop and maintain a regional network);
- i. where appropriate, provide support in the field of public health to neighbouring countries in peace-building transition or in fragile situation;
- j. give high visibility to activities and accomplishments, use existing networks and create opportunities to disseminate results regularly and trigger interest and support from development partners and other stakeholders;
- k. establish or strengthen a link between national health authorities and public health institutes through related activities (as indicated at point 1. above).

Location

The action must be at the benefit of one sole country, i.e. the one where the beneficiary institute is established.

This country shall be one of the countries eligible under the DCI regulation¹⁷; the specific objective (section 1.2, p.4) gives a special focus to least developed or other low income countries as defined in the OECD DAC list¹⁸. A minor part of the activities that are part of the action can take place in one or more country(ies) eligible under the rules of origin of the DCI regulation¹⁹.

However, for actions involving South Sudan as action location (thus as beneficiary of the action), the signature of any resulting grant contract will be subject to the completion of the accession procedure by South Sudan to the Cotonou Agreement. South Sudan's accession procedure will be finalised when the authorities of South Sudan deposit an act of accession to the Agreement with the General Secretariat of the Council of the European Union.

In addition to the above and further to the non-ratification of the revised Cotonou Agreement by Sudan and Equatorial Guinea, these countries are not eligible for funding under the 10th EDF. As a consequence, they are not eligible for funding under the DCI thematic programmes either and cannot be included as action location (thus as beneficiary of the action). As a result, they can only be included as action location in the context of an action having a regional scope, if their participation is indispensable for the implementation of such actions. This will be examined on a case by case basis, taking into account the justification provided by the applicants concerned, during the evaluation procedure.

However, according to Article 31 (1), participation in procurement or grant contracts financed under a thematic programme of DCI is open to entities established in developing countries as specified in the

¹⁶ e.g. public health associations, national institutes of public health; Civil Society Organizations (CSO), Non-State Actors (NSA), for example "think tanks", sectoral associations or institutions with actions related to public health or poverty reduction

¹⁷ Annex II of the Regulation (EC) No 1905/2006 of the European Parliament and of the Council of 18 December 2006 establishing a financing instrument for development cooperation, OJ L378, 27/12/2006, as amended by Regulation (EC) No 960/2009 of 14 October 2009, OJ L270, 15/10/2009, <http://eurlex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2009:270:0008:0011:EN:PDF>

¹⁸ <http://www.oecd.org/dac/stats/DAC%20List%20used%20for%202012%20and%202013%20flows.pdf>

¹⁹ A Member State of the European Union **or** a developing country as specified by the OECD/DAC list **or** an EEA Member State (Iceland, Liechtenstein and Norway) **or** an official EU candidate country (Iceland, Montenegro, Serbia, Turkey, The Former Yugoslav Republic of Macedonia), **and** for proposed actions taking place exclusively in the **least developed countries**, Australia, Canada, Japan, New Zealand, Switzerland and United States.

OECD/DAC list, therefore the entities of South-Sudan, Sudan, and Equatorial Guinea can participate under the present call.

Types of action

The following types of action are ineligible:

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences and congresses, unless they are fully justified and part of the Public health institute's business plan, as part of staff capacity-building and institutional strengthening;
- actions concerned only or mainly with individual scholarships for studies or training courses;
- isolated scientific research activities, publications/ articles that are not part of an overall programme of activities to improve national health policy-making processes;
- one-off conferences: conferences can only be funded if they form part of a wider range of activities to be implemented in the life-time of the action. For these purposes, preparatory activities for a conference and the publication of the proceedings of the conference do not, in themselves, constitute such activities;
- actions supporting political parties;
- actions including proselytism.

Financial support to third parties

Applicants may propose financial support to third parties in order to help achieving the objectives of the action.

The maximum amount of financial support per third party is € 60 000.

Under this Call, financial support to third parties may not be the main purpose of the action and it must be duly justified.

In compliance with the present guidelines and notably of any conditions or restrictions set above, applicants should define mandatorily in section 2.1.1. of the grant application form:

- (i) the objectives and results to be obtained with the financial support
- (ii) the different types of activities eligible for financial support, on the basis of a fixed list
- (iii) the types of persons or categories of persons which may receive financial support
- (iv) the criteria for selecting these entities and giving the financial support
- (v) the criteria for determining the exact amount of financial support for each third entity, and
- (vi) the maximum amount which may be given.

Visibility

Applicants must comply with the objectives and priorities and guarantee the visibility of the EU financing (see the Communication and Visibility Manual for EU external actions specified and published by the European Commission at http://ec.europa.eu/europeaid/work/visibility/index_en.htm).

Number of applications and grants per applicants

Only one beneficiary institute per country (applicant or co-applicant) can receive a grant.

The applicant may submit more than one application under this Call for Proposals.

The applicant may not be awarded more than one grant under this Call for Proposals.

The applicant may be a co-applicant or an affiliated entity in another application at the same time.

A co-applicant may submit more than one application under this Call for Proposals.

A co-applicant may be awarded more than one grant under this Call for Proposals, except if it is the beneficiary institute.

A co-applicant may be the applicant or an affiliated entity in another application at the same time.

The affiliated entity(ies) may take part in more than one application.

2.1.5. Eligibility of costs: costs that can be included

Only 'eligible costs' can be covered by a grant. The categories of costs that are eligible and non-eligible are indicated below. The budget is both a cost estimate and a ceiling for 'eligible costs'.

The reimbursement of eligible costs may be based on any or a combination of the following forms:

- actual costs incurred by the Beneficiary(ies) and affiliated entity(ies)
- one or more simplified cost options.

Simplified cost options may take the form of:

- **unit costs:** covering all or certain specific categories of eligible costs which are clearly identified in advance by reference to an amount per unit.
- **lump sums:** covering in global terms all or certain specific categories of eligible costs which are clearly identified in advance.
- **flat-rate financing:** covering specific categories of eligible costs which are clearly identified in advance by applying a percentage fixed ex ante.

The amounts or rates have to be based on estimates using objective data such as statistical data or any other objective means or with reference to certified or auditable historical data of the applicants or the affiliated entity(ies). The methods used to determine the amounts or rates of unit costs, lump sums or flat-rates must comply with the criteria established in Annex K, and especially ensure that the costs correspond fairly to the actual costs incurred by the Grant Beneficiary(ies) and affiliated entity(ies), are in line with their accounting practices, no profit is made and the costs are not already covered by other sources of funding (no double funding). Refer to Annex K for directions and a checklist of controls to assess the minimum necessary conditions that provide reasonable assurance for the acceptance of the proposed amounts.

The applicant proposing this form of reimbursement, must clearly indicate in worksheet no.1 of Annex B, each heading/item of eligible costs concerned by this type of financing, i.e. add the reference in capital letters to "UNIT COST" (per month/flight etc), "LUMPSUM" or "FLAT RATE" in the Unit column. (see example in Annex K)

Additionally in Annex B, in the second column of worksheet no.2, "Justification of the estimated costs" per each of the corresponding budget item or heading the applicant must:

- describe the information and methods used to establish the amounts of unit costs, lump sums and/or flat-rates, to which costs they refer, etc.

- clearly explain the formulas for calculation of the final eligible amount²⁰
- identify the beneficiary who will use the simplified cost option (in case of affiliated entity, specify first the beneficiary), in order to verify the maximum amount per each beneficiary (which includes if applicable simplified cost options of its affiliated entity(ies))

At contracting phase, the Contracting Authority decides whether to accept the proposed amounts or rates on the basis of the provisional budget submitted by the applicant, by analysing factual data of grants carried out by the applicant or of similar actions and by performing checks established by Annex K.

The total amount of financing on the basis of simplified cost options that can be authorised by the Contracting Authority for any of the applicants individually (including simplified cost options proposed by their own affiliated entities) cannot exceed EUR 60 000 (the indirect costs are not taken into account).

Recommendations to award a grant are always subject to the condition that the checks preceding the signing of the contract do not reveal problems requiring changes to the budget (such as arithmetical errors, inaccuracies, unrealistic costs and ineligible costs). The checks may give rise to requests for clarification and may lead the Contracting Authority to impose modifications or reductions to address such mistakes or inaccuracies. It is not possible to increase the grant or the percentage of EU co-financing as a result of these corrections.

It is therefore in the applicant's interest to provide a **realistic and cost-effective budget**.

Eligible direct costs

To be eligible under the Call for Proposals, costs must comply with the provisions of Article 14 of the General Conditions to the Standard Grant Contract (see Annex G of the Guidelines).

The grant is intended to fund public health institutes' recurrent and development costs, but not investment. All eligible costs will be justified, described and included in the action budget.

Institutional building and long-term development are one main focus of this call for proposals. Any income-generating activities ordered to the beneficiary institute and conducted by the institute are fully attributable to the institute. Income-sharing with staff (for purposes of staff retention and motivation, for example) may however be an option that must be clearly justified and developed in the proposal.

The following costs can be eligible:

- Membership fees to public health networks, at (sub-) regional or global level;
- Costs of bi-yearly or yearly meetings in the region with the other public health institutes of the region supported under this Programme, to coordinate activities, exchange and monitor the action at a more global level;
- Personnel costs and salaries that are not in conflict with legal provisions for staff costs in the beneficiary institute's country -if applicable-;
- travel costs to attend international conferences of relevance to the programme and in relation with capacity-building, with limitation to maximum two events per year for 2 highly-qualified staff, and one event for the other professional staff;
- Procurement and services: in accordance with the procurement rules applicable to EC external actions (annex IV)
 - for the purpose of developing or implementing the project at office level (office equipment and furniture, including IT if needed), or
 - for the purpose of limited renovation to buildings (refreshing works only), or

²⁰ Examples:- for staff costs: number of hours or days of work * hourly or daily rate pre-set according to the category of personnel concerned;- for travel expenses: distance in km * pre-set cost of transport per km; number of days * daily allowance pre-set according to the country;- for specific costs arising from the organization of an event: number of participants at the event * pre-set total cost per participant etc.

- for the purpose of bringing up an in-country public health laboratory to acceptable standards for selected priority diseases surveillance, research, outbreak control and eradication (buildings refreshing and purchase of selected necessary equipment).
- An expenditure verification report (annex VII of Grant contract) shall be provided with each request for payment.

Contingency reserve

The budget may include a contingency reserve not exceeding 5% of the estimated direct eligible costs. It can only be used with the **prior written authorisation** of the Contracting Authority.

Eligible indirect costs

The indirect costs incurred in carrying out the action may be eligible for flat-rate funding, but the total must not exceed 7% of the estimated total eligible direct costs. Indirect costs are eligible provided that they do not include costs assigned to another budget heading in the standard grant contract. The applicant may be asked to justify the percentage requested before the contract is signed. However, once the flat rate has been fixed in the special conditions of the standard grant contract, no supporting documents need to be provided.

If any of the applicants or affiliated entity(ies) is in receipt of an operating grant financed by the EU, it may not claim indirect costs on its incurred costs within the proposed budget for the action.

Contributions in kind

Contributions in kind mean the provision of goods or services to a Beneficiary(ies) or affiliated entity(ies) free of charge by a third party. As contributions in kind do not involve any expenditure for a Beneficiary(ies) or affiliated entity(ies), they are not eligible costs.

Contributions in kind may not be treated as co-financing.

However, if the description of the action as proposed includes contributions in kind, the contributions have to be made.

Ineligible costs

The following costs are not eligible:

- debts and debt service charges (interest);
- provisions for losses or potential future liabilities;
- costs declared by the Beneficiary(ies) and financed by another action or work programme receiving a Union (including through EDF) grant;
- purchases of land or buildings, except where necessary for the direct implementation of the action, in which case ownership must be transferred to the final beneficiaries and/or local Beneficiary(ies), at the latest at the end of the action;
- currency exchange losses;
- credit to third parties.

2.2. HOW TO APPLY AND THE PROCEDURES TO FOLLOW

Prior registration in PADOR for this Call for Proposals is obligatory.

- **Phase 1, concept note:** Registration in PADOR is obligatory for applicant.

Registration is optional though strongly recommended for:

- co-applicant(s) and affiliated entity(ies).

- **Phase 2, full proposal:** Registration in PADOR is obligatory for all pre-selected applicant, co-applicant(s) and all their affiliated entity(ies).

PADOR is an on-line database in which organisations register and update their data regularly, through the EuropeAid website: http://ec.europa.eu/europeaid/work/online-services/pador/index_en.htm

Before starting to register your organisation in PADOR, please read the ‘Quick guide’ on the website. It explains the registration process.

It is strongly recommended to register in PADOR when you start drafting your proposal and not to wait until just before the deadline of submission.

You have to indicate on the proposal the EuropeAid ID (EID). To get this identification, your organisation must register, save and ‘sign’ (committing your responsibility) in PADOR obligatory data (on each screen the fields written in orange) and the related documents (see section 2.4).

However, if it is impossible for the organisation to register in PADOR, it must submit a justification proving that this impossibility is general and beyond the control of the applicants and/or its affiliated entity(ies). In such cases, the applicants and/or affiliated entity(ies) concerned must complete the ‘PADOR off-line form’²¹ attached to these Guidelines and send it by the submission deadline, together with the application, to the address indicated in sections 2.2.2 and 2.2.6. The registration in PADOR will then be carried out by the European Commission service in charge of the Call for Proposal. If, at a later stage, the organisation wishes to update its data itself, it will have to send an access request to the PADOR helpdesk.

All questions related to registration in PADOR should be addressed to the PADOR helpdesk at:

Europeaid-pador@ec.europa.eu

2.2.1. Concept Note content

Applications must be submitted in accordance with the instructions on the Concept Note included in the Grant Application Form annexed to these Guidelines (Annex A, Part A).

Concept Notes must be submitted in one of the following EU languages: **English, French, Spanish or Portuguese**, whichever is the one most commonly used by the target populations in the country(ies) in which the action takes place.

In the Concept Note, applicants must only provide an estimate of the amount of contribution requested from the Contracting Authority and an indicative percentage of that contribution in relation to the total amount of the Action. Only the applicant invited to submit a full application in the second phase will be required to present a detailed budget. The elements outlined in the Concept Note may not be modified by the applicant in the full application form. The EU contribution may not vary from the initial estimate by more than 20%. Applicants are free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in these Guidelines in section 1.3. Own contributions by the applicants can be replaced by other donors' contributions at any time.

Any error or major discrepancy related to the points listed in the instructions on the Concept Note may lead to the rejection of the Concept Note.

Clarifications will only be requested when information provided is unclear, thus preventing the Contracting Authority from conducting an objective assessment.

Hand-written Concept Notes will not be accepted.

²¹ Which corresponds to Sections 3 and 4 of Part B of the application form.

Please note that only the Concept Note form will be evaluated. It is therefore of utmost importance that this document contain ALL relevant information concerning the action. No additional annexes should be sent.

2.2.2. *Where and how to send Concept Notes*

The Concept Note together with the Checklist for the Concept Note (Part A section 2 of the grant application form) and the Declaration by the applicant for the Concept Note (Part A section 3 of the grant application form) must be submitted exclusively **by e-mail only** to the following address:

EuropeAid-DCI-HEALTH-2013@ec.europa.eu

The subject field of the e-mail must bear the reference of the Call for Proposals, and the name of the applicant organisation.

Where applicants send several different Concept Notes (if allowed to do so by these Guidelines, see Section 2.4), each one must be sent separately.

The Applicant will receive an automatic acknowledgement of receipt following the submission of a Concept Note. Please note that if several Concept Notes are sent from the same e-mail address on the same day, **only one** acknowledgement of receipt will be generated.

Concept Notes sent by other means (registered mail, courier service, fax, hand delivery, etc.) or sent to any other e-mail address may be rejected.

Applicants must verify that their Concept Note is complete using the Checklist (Part A, section 2 of the Grant Application Form). Incomplete Concept Notes may be rejected.

2.2.3. *Deadline for submission of Concept Notes*

The deadline for the submission of Concept Notes is **17th March 2014 at 16:00 hrs** (Brussels date and time).

Applicants are strongly advised **not to wait until the last day** to submit their Concept Notes, since heavy Internet traffic or a fault with the Internet connection (including electricity failure, etc.) could lead to difficulties in submission. The Contacting Authority cannot be held responsible for any delay due to such afore-mentioned difficulties.

Any Concept Note sent after the deadline will be rejected.

The applicant is solely responsible for following-up the delivery. In addition to the automatic acknowledgment of receipt indicated in section 2.2.2 above, the European Commission will send a confirmation of reception on the date announced in the indicative calendar (see section 2.5.2) to the contact email indicated in the application form. If the applicant does not receive this confirmation on the said date, it must immediately contact the European Commission at the following email address:

EuropeAid-DCI-HEALTH-2013@ec.europa.eu

The European Commission cannot be held responsible for the non-delivery of any proposal.

However, for reasons of administrative efficiency, the Contracting Authority may reject any Concept Note sent in due time but received after the effective date of approval of the Concept Note evaluation (see indicative calendar as per section 2.5.2)

2.2.4. Further information about Concept Notes

Questions may be sent by e-mail no later than 21 days before the deadline for the submission of Concept Notes to the address below, indicating clearly the reference of the Call for Proposals. Replies will be given no later than 11 days before the deadline for the submission of Concept Notes.

The Contracting Authority has no obligation to provide further clarifications after this date.

E-mail address: EuropeAid-DCI-HEALTH-2013@ec.europa.eu

No individual replies will be given to questions. All questions and answers, as well as other important notices to applicants during the course of the evaluation procedure, **will be published on the internet** at the EuropeAid web site:

1. <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?ADSSChck=1274193919615&do=publi.welcome&userlanguage=en>
2. "Search by reference"
3. "135178"

It is therefore highly recommended to regularly consult the abovementioned website in order to be informed of questions and answers published.

To ensure equal treatment of applicants, the Contracting Authority cannot give a prior opinion on the eligibility of applicants, or affiliated entity(ies), an action or specific activities.

All questions related to PADOR registration should be addressed to the PADOR help desk:

Europeaid-pador@ec.europa.eu

2.2.5. Full Application forms

Applicants invited to submit a Full Application form following the pre-selection of the Concept Note must do so by using the Part B of the application form annexed to these Guidelines (Annex A). Applicants should keep strictly to the format of the application form and fill in the paragraphs and the pages in order. Applications submitted on application documents relating to any other call **may be rejected**.

The elements assessed on the basis of the Concept Note cannot be modified by the applicant in the Full Application form. No modification of the partnership between the Concept Note and the Full Application will be allowed save in exceptional cases, justified by force majeure, and subject to approval by the evaluation committee. Force majeure shall mean any unforeseeable exceptional situation or event beyond the parties' control which prevents either of them from fulfilling any of their obligations, is not attributable to error or negligence on their part and proves insurmountable in spite of all due diligence. In such cases, the applicant must clearly indicate the requested change and justify the request in Annex A, Part B, section 7. The validity of the justification provided will be examined during the evaluation of the Full Application. Should the justification not be deemed valid, the proposal may be rejected on that sole basis. The EU contribution may not vary from the initial estimate by more than 20%, while the applicant is free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in these Guidelines under section 1.3.

Applicants must submit their applications in the same language as their Concept Note.

Please complete the Full Application form carefully and as clearly as possible so that it can be assessed properly.

Any error related to the points listed in the Checklist (Part B, Section 7 of the Grant Application form) or any major inconsistency in the Full Application form (e.g. the amounts mentioned in the budget worksheets are inconsistent) may lead to the rejection of the application.

Clarifications will only be requested when information provided is unclear, thus preventing the Contracting Authority from conducting an objective assessment.

Hand-written applications will not be accepted.

Please note that only the Full Application form and the published annexes which have to be filled in (budget, logical framework) will be transmitted to the evaluators and assessors. It is therefore of utmost importance that these documents contain ALL relevant information concerning the action. **No supplementary annexes should be sent.**

2.2.6. *Where and how to send Full Application forms*

The Full Application Form together with the Budget and the Logical framework **must** be submitted **by e-mail only** to the following address:

EuropeAid-DCI-HEALTH-2013@ec.europa.eu

The subject field of the e-mail must bear the reference of the Call for Proposals, the name of the applicant organisation and the number allocated by the European Commission to the application at Concept Note stage.

Where applicants send several different Full Applications (if allowed to do so by these Guidelines, see Section 2.4), each one must be sent separately.

The Applicant will receive an automatic acknowledgement of receipt following the submission of a Full Application. Please note that if several Full Application forms are sent from the same e-mail address on the same day, **only one** acknowledgement of receipt will be generated.

Full Applications sent by other means (registered mail, courier service, fax, hand delivery, etc.) or sent to any other e-mail address may be rejected.

The Checklist (Part B, Section 7 of the Grant Application Form) and the Declaration by the applicant (Part B, Section 8 of the Grant Application Form) must be enclosed in the e-mail.

To ensure equal treatment of applicants, the Contracting Authority cannot give a prior opinion on the eligibility of applicants, or affiliated entity(ies), an action or specific activities.

2.2.7. *Deadline for submission of Full Application forms*

The deadline for the submission of applications will be indicated in the letter sent to the applicants whose application has been preselected.

Applicants are strongly advised **not to wait until the last day** to submit their Full Applications, since heavy Internet traffic or a fault with the Internet connection (including electricity failure, etc.) could lead to difficulties in submission. The Contracting Authority cannot be held responsible for delay due to such afore-mentioned difficulties.

Any Full Application Form sent after the deadline will be rejected.

The applicant is solely responsible for following-up the delivery. In addition to the automatic acknowledgment of receipt indicated in section 2.2.6 above, the European Commission will send a confirmation of reception on the date announced in the indicative calendar (see section 2.5.2) to the contact email indicated in the application form. If the applicant does not receive this confirmation on the said date, it must immediately contact the European Commission at the following email address:

However, for reasons of administrative efficiency, the Contracting Authority may reject any application sent in due time but received after the date of approval of evaluation report for full applications (see indicative calendar as per Section 2.5.2)

2.2.8. Further information about Full Application forms

Questions may be sent by e-mail no later than 21 days before the deadline for the submission of applications to the address listed below, indicating clearly the reference of the Call for Proposals. Replies will be given no later than 11 days before the deadline for the submission of applications.

The Contracting Authority has no obligation to provide further clarifications after this date.

E-mail address EuropeAid-DCI-HEALTH-2013@ec.europa.eu

No individual replies will be given to questions. All questions and answers, as well as other important notices to applicants during the course of the evaluation procedure, **will be published on the internet** at the EuropeAid web site:

1. http://ec.europa.eu/europeaid/work/funding/index_en.htm
2. "Search by reference"
3. "135178"

It is therefore highly recommended to regularly consult the abovementioned website in order to be informed of questions and answers published.

In the interest of equal treatment of applicants, the Contracting Authority cannot give a prior opinion on the eligibility of an applicant, a co-applicant, an affiliated entity, an action or specific activities.

All questions related to PADOR registration should be addressed to the PADOR help desk:

Europeaid-pador@ec.europa.eu

2.3. EVALUATION AND SELECTION OF APPLICATIONS

Applications will be examined and evaluated by the Contracting Authority with the possible assistance of external assessors. All actions submitted by applicants will be assessed according to the following steps and criteria.

If the examination of the application reveals that the proposed action does not meet the eligibility criteria stated in paragraph 2.1, the application will be rejected on this sole basis.

(1) STEP 1: OPENING & ADMINISTRATIVE CHECKS AND CONCEPT NOTE EVALUATION

The following will be assessed:

- Compliance with the submission deadline. If the deadline has not been met, the application will automatically be rejected.
- The Concept Note satisfies all the criteria specified in points 1-5 of the Checklist (Section 2 of Part A of the grant application form). If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

The Concept Notes that pass the first administrative check will be evaluated on the relevance and design of the proposed action.

The Concept Note will receive an overall score out of 50 using the breakdown in the evaluation grid below. The evaluation will also check on compliance with the instructions on the Concept Note, which can be found in Part A of the Application Form.

The evaluation criteria are divided into headings and subheadings. Each subheading will be given a score between 1 and 5 as follows: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

EVALUATION GRID

Scores

| 1. Relevance of the action | | Sub-score | 30 |
|---|-------|-----------|-----------|
| 1.1 How relevant is the proposal to the objectives and priorities of the Call for Proposals? e.g. relate key health problems and health systems bottlenecks in-country, state of institutional development in public health, policy- and decision-making processes, etc. to the objectives and priorities of this Call for Proposals. | 5x2** | | |
| 1.2 How relevant to the particular needs and constraints of the target country(ies) or region(s) is the proposal (including synergy with other EU initiatives and avoidance of duplication)? e.g. relate past and existing institutional public health setup and health policy-making environment, health system performance, and partnership experiences –if any-, stakeholders in health, synergy with existing EU and international aid initiatives, etc. to the proposal. | 5x2* | | |
| 1.3 How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs been clearly defined and does the proposal address them appropriately? e.g. more information on the public health institutional landscape and actors; selection criteria for members of the partnership; leadership, driving forces, consultations and participation in the preparation process of the proposal, etc. | 5 | | |
| 1.4 How well does the proposal address the additional elements indicated under 1.2. of these guidelines e.g. composition of the partnership, identification of important public health problems that cause high disease burden but do not currently receive privileged attention, although identified in regional, national or local strategy health sector documents, etc. Does the proposal contain specific added-value elements, such as environmental issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, attention to other particularly vulnerable populations like internally displaced persons or refugees, or innovation and best practices? | 5 | | |
| 2. Design of the action | | Sub-score | 20 |
| 2.1 How coherent is the overall design of the action? e.g. roles of members of the partnership and their added value; overall coherence and complementarity of activities; coherence with the analysis of needs and constraints in the targeted country; etc. | 5x2** | | |

| | | |
|--|-------|--|
| 2.2 Is the action feasible and consistent in relation to the objectives and expected results? e.g. short description of the intended portfolio; adequacy of the strategic response with the needs and constraints of the targeted country, and with the objectives of the action; environment's, partners' and beneficiary institute credentials, stability and prospects for development; provisions for optimal knowledge transfer and capacity building to beneficiary institute; etc. | 5x2** | |
|--|-------|--|

TOTAL SCORE

50

* Note: A score of 5 (very good) will only be allocated if the proposal specifically addresses the 2 required priorities as indicated in 1.2 Objectives of the programme and priority issues of these guidelines.

**these scores are multiplied by 2 because of their importance.

Once all Concept Notes have been assessed, a list will be drawn up with the proposed actions ranked according to their total score.

First, only the Concept Notes with a score of at least 30 will be considered for pre-selection.

Secondly, the number of Concept Notes will be reduced, taking account of the ranking, to the number of Concept Notes whose total aggregate amount of requested contributions is equal to at least **300%** of the available budget for this Call for Proposals.

After the evaluation of Concept Notes, the Contracting Authority will send letters to all applicants, indicating whether their application was submitted by the deadline, informing them of the reference number they have been allocated, whether the Concept Note was evaluated and the results of that evaluation. The pre-selected applicants will subsequently be invited to submit full applications.

(2) STEP 2: EVALUATION OF THE FULL APPLICATION

First, the following will be assessed:

- Compliance with the submission deadline. If the deadline has not been met, the application will automatically be rejected.
- The full application form satisfies all the criteria specified in points 1-9 of the Checklist (Section 7 of Part B of the grant application form). If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

The quality of the applications, including the proposed budget and capacity of the applicants, co-applicants and affiliated entity(ies), will be evaluated using the evaluation criteria in the evaluation grid below. There are two types of evaluation criteria: selection and award criteria.

The selection criteria help to evaluate the applicant(s)'s, co-applicant(s)'s and affiliated entity(ies) operational capacity and the applicant's financial capacity and to ensure that they:

- have stable and sufficient sources of finance to maintain their activity throughout the proposed action and, where appropriate, to participate in its funding;
- have the management capacity, professional competencies and qualifications required to successfully complete the proposed action. This also applies to any co-applicant(s) and affiliated entity(ies) of the applicants.

The award criteria help to evaluate the quality of the applications in relation to the objectives and priorities, and to award grants to projects which maximise the overall effectiveness of the Call for Proposals. They help to select applications which the Contracting Authority can be confident will comply with its objectives and priorities. They cover the relevance of the action, its consistency with the objectives of the Call for Proposals, quality, expected impact, sustainability and cost-effectiveness.

Scoring:

The evaluation grid is divided into sections and subsections. Each subsection of sections 1 of the evaluation grid will be assessed on whether the criteria has been fulfilled or not. Each subsection of sections 2, 3, 4 and 5 will be given a score between 1 and 5 as follows: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

Evaluation Grid

| Section | |
|--|----------------------|
| 1. Financial and operational capacity | Yes/No |
| 1.1 Do the applicants and, if applicable, co-applicant(s) and affiliated entity(ies) have sufficient experience of project management? | |
| 1.2 Do the applicants and, if applicable, co-applicant(s) and affiliated entity(ies) have sufficient technical expertise? (especially knowledge of the issues to be addressed). | |
| 1.3 Do the applicants and, if applicable, co-applicant(s) and affiliated entity(ies) have sufficient management capacity? (including staff, equipment and ability to handle the budget for the action)? | |
| 1.4 Does the applicant have stable and sufficient sources of finance? | |
| | Maximum Score |
| 2. Relevance of the action | 30 |
| <i>Score transferred from the Concept Note evaluation</i> | |
| 3. Effectiveness and feasibility of the action | 20 |
| 3.1 Are the activities proposed appropriate, practical, and consistent with the objectives and expected results? e.g. link of the proposed activities with improved decision- and policy-making, with strengthened beneficiary institute; added value of the partnership; link of the proposed activities with national strategies, priorities and data; quality and evidence-based activities; output- or result-oriented activities; etc. | 5 |
| 3.2 Is the action plan clear and feasible? e.g. detailed description of each activity; clear distribution of activities per expected result and responsibilities per actor; complementarity and logic sequence of the activities; etc. | 5 |
| 3.3 Does the proposal contain objectively verifiable indicators for the outcome of the action? Is any evaluation planned? e.g. description of additional monitoring mechanisms such as internal quality control and production of annual or activity reports –if any-; etc. | 5 |

| | |
|---|-----------|
| 3.4 Is the co-applicant(s)'s and affiliated entity(ies)'s level of involvement and participation in the action satisfactory? e.g. description of the partnership's members (balance between national and international, public and private and NSA, academia and operational research, etc.) and roles in the action; description of adequate governance and management arrangements and mechanisms; description of partners' roles in managing, coordinating and monitoring the action and the partnership in the interest of the beneficiary country and institute; etc. | 5 |
| 4. Sustainability of the action | 15 |
| 4.1 Is the action likely to have a tangible impact on its target groups? e.g. description of activities conducive to a greater autonomy by the end of the financing period; of a potential impact on brain drain at a regional level; forging culture of operational research, training, policy sector dialogue, etc. in decision- and policy-making; target of institutional development; etc. | 5 |
| 4.2 Is the proposal likely to have multiplier effects? (Including scope for replication, extension and information sharing.) e.g. inclusion of prospects or activities to interact with similar actions or networks in public health in the region or other parts of the world. | 5 |
| 4.3 Are the expected results of the proposed action sustainable?: - financially (<i>how will the activities be financed after the funding ends? e.g. perspectives of full or partial financial autonomy</i>) - institutionally (<i>will structures allowing the activities to continue be in place at the end of the action? Will there be local 'ownership' of the results of the action?</i>) - at policy level (where applicable) (<i>what will be the structural impact of the action — e.g. will it lead to improved legislation, codes of conduct, methods, etc?</i>) - environmentally (if applicable) (<i>will the action have a negative/positive environmental impact?</i>) | 5 |
| 5. Budget and cost-effectiveness of the action | 15 |
| 5.1 Are the activities appropriately reflected in the budget? e.g. share and justification of the budget directly spent on activities in the target country | / 5 |
| 5.2 Is the ratio between the estimated costs and the expected results satisfactory? e.g. ratio calculated per location of activities; satisfactory ratio between part of the budget spent in the beneficiary country and part of the budget spent by partners outside of the beneficiary country; etc. | 5x2* |
| Maximum total score | 80 |

*these scores are multiplied by 2 because of their importance

Note on Section 1. Financial and operational capacity

If the answer is negative to one or more of the criteria, the application will be rejected.

Provisional selection

After the evaluation, a table will be drawn up listing the applications ranked according to their score and within the limits of the funds available. In addition, a reserve list will be drawn up following the same criteria to be used if more funds should become available during the validity period of the reserve list.

Only one beneficiary institute per country (applicant or co-applicant) can receive one grant. In case of receiving several proposals where the beneficiary institute is established in the same country, only the best ranked proposal will be selected; in case of equal scores, priority will be given to the proposal that demonstrates greater closeness and stronger linkages with the stakeholders in the public (Government) health sector.

STEP 3: VERIFICATION OF ELIGIBILITY OF THE APPLICANTS AND AFFILIATED ENTITY(IES)

The eligibility verification, based on the supporting documents requested by the Contracting Authority (see Section 2.4) will only be performed for the applications that have been provisionally selected according to their score and within the available financial envelope.

- The Declaration by the applicant (Section 8 of Part B the grant application form) will be cross-checked with the supporting documents provided by the applicant. Any missing supporting document or any incoherence between the Declaration by the applicant and the supporting documents may lead to the rejection of the application on that sole basis.
- The eligibility of applicants, co-applicant(s) and the affiliated entities(ies), and the action will be verified according to the criteria set out in Sections 2.1.1, 2.1.2 and 2.1.3.

Any rejected application will be replaced by the next best placed application in the reserve list that falls within the available financial envelope.

2.4. SUBMISSION OF SUPPORTING DOCUMENTS FOR PROVISIONALLY SELECTED APPLICATIONS

An applicant that has been provisionally selected or placed on the reserve list will be informed in writing by the Contracting Authority. It will be requested to supply the following documents in order to allow the Contracting Authority to verify the eligibility of the applicant, (if any) of the co-applicant(s) and (if any) of their affiliated entity(ies)²²:

1. The statutes or articles of association of the applicant, (if any) of each co-applicant(s) and (if any) of each affiliated entity(ies).²³ Where the Contracting Authority has recognised the applicant's, or the co-applicant(s)'s, or their affiliated entity(ies)'s eligibility for another call for proposals under the same budget line within 2 years before the deadline for receipt of applications, it should be submitted, instead of the statutes or articles of association, a copy of the document proving their eligibility in a former Call (e.g. a copy of the special conditions of a grant contract received during the reference period), unless a change in legal status has occurred in the meantime²⁴. This obligation does not apply to international organisations which have signed a framework agreement with the European Commission.
2. An external audit report produced by an approved auditor, certifying the applicant's accounts for the last financial year available where the total amount of the grant exceeds € 750 000 (€ 100 000 for an operating grant). The external audit report is not required from (if any) the co-applicant(s)).

²² No supporting document will be requested for applications for a grant not exceeding EUR 60000.

²³ Where the applicant and/or a co-applicant(s) and or an affiliated entity(ies) is a public body created by a law, a copy of the said law must be provided.

²⁴ To be inserted only where the eligibility conditions have not changed from one call for proposals to the other.

This obligation does not apply to public bodies and international organisations provided that the international organisation in question offers the guarantees provided for in the applicable Financial Regulation, as described in Chapter 6 of the Practical Guide to contract procedures for EU external actions.

This obligation does not apply to secondary and higher education establishments.

3. A copy of the applicant's latest accounts (the profit and loss account and the balance sheet for the last financial year for which the accounts have been closed)²⁵. A copy of the latest account is not required from (if any) the co-applicant(s)).
4. Legal entity sheet (see annex D of these Guidelines) duly completed and signed by each of the applicants (i.e. by the applicant and (if any) by each co-applicant(s)), accompanied by the justifying documents requested there. If the applicants have already signed a contract with the Contracting Authority, instead of the legal entity sheet and supporting documents, the legal entity number may be provided, unless a change in legal status occurred in the meantime.
5. A financial identification form of the applicant (not from co-applicant(s)) conforming to the model attached at Annex E of these Guidelines, certified by the bank to which the payments will be made. This bank should be located in the country where the applicant is established. If the applicant has already submitted a financial identification form in the past for a contract where the European Commission was in charge of the payments and intends to use the same bank account, a copy of the previous financial identification form may be provided instead.

Supporting documents must be provided through PADOR in the form of scanned versions (i.e. showing legible stamps, signatures and dates) of the said originals.

Where such documents are not in one of the official languages of the European Union, a translation into English, French, Spanish or Portuguese, of the relevant parts of these documents proving the applicant(s)'s eligibility, must be attached and will prevail for the purpose of analysing the application.

Where these documents are in an official language of the European Union other than English, French, Spanish or Portuguese, it is **strongly** recommended, in order to facilitate the evaluation, to provide a translation of the relevant parts of the documents, proving the applicants' eligibility, into English, French, Spanish or Portuguese.

If the abovementioned supporting documents are not provided before the deadline indicated in the request for supporting documents sent to the applicant by the Contracting Authority, the application may be rejected.

After verifying the supporting documents, the Evaluation Committee will make a final recommendation to the Contracting Authority, which will decide on the award of grants.

2.5. NOTIFICATION OF THE CONTRACTING AUTHORITY'S DECISION

2.5.1. *Content of the decision*

The applicant will be informed in writing of the Contracting Authority's decision concerning their application and, if rejected, the reasons for the negative decision.

²⁵ This obligation does not apply to natural persons who have received a scholarship or that are in most need in receipt of direct support, nor to public bodies and to international organisations. It does not apply either when the accounts are in practice the same documents as the external audit report already provided pursuant to Section 2.4.2.

An applicant believing that it has been harmed by an error or irregularity during the award process may lodge a complaint. See further Section 2.4.15 of the Practical Guide.

2.5.2. *Indicative timetable*

| | DATE | TIME* |
|---|------------------------------|----------------|
| Information meeting (if any) | Not applicable | Not applicable |
| Deadline for requesting any clarifications from the Contracting Authority | 24/02/2014 | - |
| Last date on which clarifications are issued by the Contracting Authority | 06/03/2014 | - |
| Deadline for submission of Concept Notes | 17/03/2014 | 16:00 hr |
| Information to applicants on opening, administrative checks and concept note evaluation (Step 1) | 20/04/2014* | - |
| Invitations to submit Full Application Form | 20/04/2014* | - |
| Deadline for submission of Full Application Form | 15/06/2014* | 16:00 hr |
| Information to applicants on the evaluation of the Full Application Form (Step 2)²⁶ | 31/07/2014* | - |
| Notification of award (after the eligibility check) (Step 3) | 31/08/2014* | - |
| Contract signature²⁷ | 31/12/2014* at the latest | - |

* **Provisional date.** All times are in the time zone of the country of the Contracting Authority.

²⁶ Note that according to the financial regulation, notifications to the applicant on the outcome of the evaluation of their applications must take place within 6 months following the submission deadline of the full application, save in exceptional cases, in particular for complex actions, large number of proposals or where there have been delays attributable to the applicants where this limit may be exceeded. Multi-beneficiary calls can be considered as complex actions calls and therefore may benefit from an exemption to the 6 month rule. The 6 months rule only applies in case of direct centralized management.

²⁷ Note that according to the financial regulation, the signing of a grant contract with the applicant must take place within 3 months from when it was notified the decision to award a contract. However, in exceptional circumstance, in particular for complex actions launched for large number of proposals or where there have been delays attributable to the applicants (or their applications) this limit may be exceeded. The 3 months rule only applies in case of direct centralised management.

This indicative timetable may be updated by the Contracting Authority during the procedure. In such cases, the updated timetable will be published on the EuropeAid web site

<https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>

2.6. CONDITIONS FOR IMPLEMENTATION AFTER THE CONTRACTING AUTHORITY'S DECISION TO AWARD A GRANT

Following the decision to award a grant, the Beneficiary(ies) will be offered a contract based on the Contracting Authority's grant contract (see Annex G of these Guidelines). By signing the application form (Annex A of these Guidelines), the applicants agree, if awarded a grant, to accept the contractual conditions of the standard grant contract.

Implementation contracts

Where implementation of the action requires the Beneficiary(ies) and its affiliated entity(ies) (if any) to award procurement contracts, it must award the contract to the tenderer offering the best value for money, that is to say, the best price-quality ratio, in compliance with the principles of transparency and equal treatment for potential contractors, care being taken to avoid any conflict of interests. To this end, the Beneficiary must follow the procedures set out in Annex IV to the standard grant contract.

2.7. EARLY WARNING SYSTEM AND CENTRAL EXCLUSION DATABASE

The applicants and, if they are legal entities, the persons who have powers of representation, decision-making or control over them, are informed that, should they be in one of the situations mentioned in:

- Commission Decision of 16.12.2008 on the Early Warning System (EWS) for the use of authorising officers of the Commission and the executive agencies (OJ, L 344, 20.12.2008, p.125) or
- Commission Regulation of 17.12.2008 on the Central Exclusion Database (CED) (OJ L344, 20.12.2008, p.12),

their personal details (name, given name (if natural person), address, legal form and name and given name of the persons with powers of representation, decision-making or control (if legal person)) may be registered in the EWS only or both in the EWS and CED, and communicated to the persons and entities listed in the above-mentioned Decision and Regulation, in relation to the award or the execution of a grant agreement or decision.]

3. LIST OF annexes

DOCUMENTS TO BE COMPLETED

Annex A: Grant Application Form (Word format)

Annex B: Budget (Excel format)

Annex C: Logical Framework (Excel format)²⁸

Annex D: Legal Entity Sheet²⁹

Annex E: Financial identification form

Annex F: PADOR off Line Form³⁰

DOCUMENTS FOR INFORMATION

Annex G: Standard Grant Contract

- Annex II: General conditions applicable to european union-financed grant contracts for external actions
- Annex IV: contract award procedures
- Annex V: standard request for payment
- Annex VI: model narrative and financial report
- Annex VII: model report of factual findings and terms of reference for an expenditure verification of an EU financed grant contract for external action
- Annex VIII: model financial guarantee
- Annex IX: standard template for transfer of ownership of assets

Annex H: Daily allowance rates (Per diem), available at the following address:
http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm

Annex K: Guidelines and Checklist for assessing Budget and Simplified cost options.

ANNEX J: Information on the tax regime applicable to grant contracts signed under the call.

Project Cycle Management Guidelines

http://ec.europa.eu/europeaid/multimedia/publications/publications/manuals-tools/t101_en.htm

²⁸ Optional where the total amount of the grants to be awarded under the Call for Proposals is € 100 000 or less.

²⁹ Only applicable where the European Commission is the Contracting Authority or will make the payments under the contracts to be signed.

³⁰ http://ec.europa.eu/europeaid/work/online-services/pador/dispensation_en.htm. Only applicable in centralised calls where PADOR used.