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GRANT CONTRACT
- EXTERNAL ACTIONS OF THE EUROPEAN COMMUNITY -
MIGR/2008/152-804

The European Community, represented by the Commission of the European Communities, ("the Contracting Authority")

of the one part,

and

Escuela Andaluza de Salud Pùblica, Campus Universitario de Cartuja, Calle Cuesta del Observatorio No. 4, Granada, España ("the Beneficiary")

of the other part,

have agreed as follows:

Special conditions

Article 1 - Purpose

1.1 The purpose of this contract is the award of a grant by the Contracting Authority for the implementation of the Action entitled: ***"Migration of Health Professionals between Latin America and Europe: analysis and generation of opportunities for shared development"*** ("the Action") described in Annex I.

1.2 The Beneficiary will be awarded the grant on the terms and conditions set out in this contract, which consists of these special conditions ("Special Conditions") and the annexes, which the Beneficiary hereby declares it has noted and accepted.

1.3 The Beneficiary accepts the grant and undertakes to carry out the Action under its own responsibility.

Article 2 - Implementation period of the Action

2.1 This contract shall enter into force on the date when the last of the two Parties signs.

2.2 Implementation of the Action shall begin on:

- 1st January 2009

2.3 The Action's implementation period, as laid down in Annex I, is **30 months**.

Article 3 - Financing the Action

3.1 The total cost of the Action eligible for financing by the Contracting Authority is estimated at **€ 1.185.388,** as set out in Annex III.

3.2 The Contracting Authority undertakes to finance a maximum of **€ 871.388**, equivalent to **73.51 %** of the estimated total eligible cost specified in paragraph 1; the final amount shall be established in accordance with Articles 14 and 17 of Annex II.

3.3 Pursuant to Article 14.4 of the Annex II, **7%** of the final amount of direct eligible costs of the Action established in accordance with Articles 14 and 17 of the Annex II, may be claimed by the beneficiary as indirect costs.

Article 4 - Narrative and financial reporting and payment arrangements

4.1 Narrative and financial reports shall be produced in support of payment requests, in compliance with Articles 2 and 15.1 of Annex II.

4.2 Payment will be made in accordance with Article 15 of Annex II. Of the options referred to in Article 15.1, the following will apply:

First instalment of pre-financing (80% of the part of the forecast budget for the first 12 months of implementation financed by the Contracting Authority):	**€ 213.600**
Further instalment(s) of pre-financing: 2x	**€ 285.320**
Forecast final payment (subject to the provisions of Annex II):	**€ 87.148**

4.3 In case where the pre-financing instalments are to be paid by the Contracting authority, the first instalment of pre-financing will be paid to the Beneficiary within 45 days, as from the date of reception by the Contracting authority of signed contract accompanied by the Financial guarantee if required in accordance with article 15.7 of the General Conditions.

Article 5 - Contact addresses

5.1 Any communication relating to this contract must be in writing, state the number and title of the Action and be sent to the following addresses:

<u>For the Contracting Authority</u>

Payment requests and attached reports, including requests for changes to bank account arrangements should be sent to:

European Commission
EuropeAid Cooperation Office
For the attention of Mr Hans Christian STAUSBOLL
Head of Unit EuropeAidCO/F4 (Finance, Contracts, Audits for thematic budget lines)
Office: L-41 02/126
B-1049 Brussels, BELGIUM

Copies of the documents referred to above, and correspondence of any other nature, should be sent to:

European Commission
EuropeAid Cooperation Office
For the attention of Unit-F2 Migration and Asylum Programme
41 Rue de la Loi
B-1049 Brussels, BELGIUM

For the Beneficiary

Escuela Andaluza de Salud Pùblica
Campus Universitario de Cartuja
Calle Cuesta del Observatorio No. 4,
Granada, ESPAÑA

5.2 The audit firm which will carry out the verification(s) referred to in Article 15.6 of Annex II is

MARTIN-RECUERDA GARCIA FRANCISCO
C/ANDORRA 1-2°A
18009-GRANADA / ESPAÑA
Tel No.: 0034/958-222263
Fax No.: 0034/958-225801

Article 6 - Annexes

6.1 The following documents are annexed to these Special Conditions and form an integral part of the contract:

Annex I: Description of the Action

Annex II: General Conditions applicable to European Community-financed grant contracts for external Actions

Annex III: Budget for the Action

Annex IV: Contract-award procedures

Annex V: Standard request for payment and financial identification form

Annex VI: Model narrative and financial report

Annex VII: Model report of factual findings and terms of reference for an expenditure verification of an EC financed grant contract for external actions

6.2 In the event of conflict between the provisions of the Annexes and those of the Special Conditions, the provisions of the Special Conditions shall take precedence. In the event of conflict between the provisions of Annex II and those of the other annexes, those of Annex II shall take precedence.

Article 7 - Other specific conditions applying to the Action

7.1 The following derogations from the General Conditions shall apply:

By derogation from Article 15.4 of the General Conditions, once the deadline laid down in Article 15.1 has expired, the Beneficiary shall receive late-payment interest:

- at the rediscount rate applied by the issuing institution of the country of the Contracting Authority where payments are in national currency;

- at the rate applied by the European Central Bank to its main refinancing transactions in euro, as published in the Official Journal of the European Union, where payments are in euro, on the first day of the month in which the deadline expired, plus 3,5 percentage points. The late-payment interest shall apply to the time which elapses between the date of the payment deadline (exclusive) and the date on which the Contracting Authority's account is debited (inclusive). By way of exception, when the interest calculated in accordance with this provision is lower than or equal to EUR 200, it shall be paid to the consultant only upon a demand submitted within two months of receiving late payment. The Member States are not entitled to late-payment interest. This interest is not considered income for the purposes of Article 17.3.

Done at Brussels in three originals in the English language, two of them for the Contracting Authority and one for the Beneficiary.

For the Beneficiary		**For the Contracting Authority**	
Name	Joaquín Carmona Díaz-Velarde	Name	Sari SUOMALAINEN
Title	Chief Executive Officer	Title	Head of Unit EuropeAid/F2
Signature		Signature	
Date	9 Dec. 2008	Date	04 DEC. 2008

Escuela Andaluza de Salud Pública
JUNTA DE ANDALUCIA
CONSEJERÍA DE SALUD

I. THE ACTION

1. DESCRIPTION

1.1. Title

Migration of Health Professionals between Latin America and Europe: analysis and generation of opportunities for shared development.

1.2. Location(s)

Latin-America, Europe. Further expansion of the experience to the region of the Americas and WHO other regions

1.3. Cost of the action and amount requested from the Contracting Authority

See Budget ANNEX III

1.4. Summary

Total duration of the action	**30 months**
Objectives of the action	Overall Objective: To contribute to the effort to promote an effective management of migration flows of doctors and nurses in the Latin American and the European Union areas. Specific Objective: To formulate a consensus proposal based on international dialogues on good practices in human resources for health and on the role that agencies of cooperation for development may play in the execution of migration policies with this orientation.
Partner(s)	Panamerican Health Organization (OPS-OMS)
Target group(s)[1]	Health planners and policy makers on health and development.
Final beneficiaries[2]	Health professionals migrants. Health systems and general population
Estimated results	Expected Results: Result 1: Situation of health professionals migration flows (medicine and nursing) within Latin America and toward the European Union is characterized. Result 2: A proposal to guide health workers mobility on the basis of migration management so that they may generate beneficial effects to the involved people and the health systems in the source and receptor countries based on international dialogue and consensus has been generated. Result 3: The experience is evaluated and systematized, lessons learned has been identified for replication and expansion to other geographical spaces.

1 "Target groups" are the groups/entities who will be directly positively affected by the action at the action Purpose level – See paragraph 2.3 in Section II for the list.

2 "Final beneficiaries" are those who will benefit from the action in the long term at the level of the society or sector at large.

Main activities	1-1: Literature review of information related to the state of the issue 1-2: Design of quantitative multicenter study that permits know the state of the situation in the mentioned professional groups (medicine and nursing); the study will focus on the Latin A migration flows and toward the EU. 1-3: Design and development an information system that permits the permanent monitoring of the state of the situation. 2: Design and develop of participatory process for the construction of management proposals to guide bi-directional flows that permit the mutual benefit; this will imply with the participation of the involved actors (migrant professionals, planning, academic, agents of cooperation and others). 2-1: To promote a training process and workshops in the units for politics on human resources and planning. 2-2: Preparation of methodological guide for human resources planning in the region that responds to the principles by consensus. 2-3: Design and develop participatory process for the construction of consensus in the definition of policies and cooperation strategies that contribute to manage migration from the perspective of mutual beneficial effects. 3-1: Review of the generated processes and of the products obtained 3-2: Dissemination strategy formulated and implemented

Where applicable, clearly indicate the sector[3], theme, or geographical area specified in the Call for Proposals to which the proposed action would apply: Health general, Health Personnel Development, Government Administration (Latin America and Europe).

1.5. Objectives

The project pursues to contribute to the effort to promote an effective management of migration flows of human resources for health (doctors and nurses) in the Latin American space and of the European Union, that, making minimum the negative impact on health systems, contributes to the mutual development of health systems, social and involved professionals.

To this end we intend to develop initiatives pilot of multiregional character in a multi-sectoral strategy and multi-approach that seeks the implication of all the related sectors (specially ministries, cooperation agencies and development, professional and union organizations and communications media) through a methodology of work participatory of search for consensus favored by the political commitments already acquired in the Latin American space, the themselves strategies of the European Union as they are defined in the European Program of Action in order to cope with the serious scarcity of health personnel in developing countries and the line of work already initiated by the World Health Organization and the Pan American Health Organization. The logic of work and the proposed area will make it possible to bring about commitments and political priorities that contribute to the generation of international agreements that include the phenomenon of migration of doctors and nurses toward the European Union and in the Latin American space. This will be encouraged within a framework of respectful innovative actions with the standards of the labor law and that strengthen the democratic processes.

The project includes actions in the areas of: 1.- **information systems** (development of quantitative and qualitative studies and creation of an information system of basic indicators for the characterization and monitoring the situation) 2.- on the aspects related to the **circulation** (design of alternatives of management of the migration flows that generate bi-directional positive effects), 3.- **Management and regulation** (based on good practices analyzed and generated through consensus) and 4. Implication and integration of **sectoral cooperation strategies** for development, consistently with the stated principles.

3 See paragraph 2.2 in Section II for the list of Sectors.

The specific objectives of the project are:

Characterize the situation of health professionals migration flows (medicine and nursing) within Latin America and toward the European Union.

Review on-going bi and multilateral experiences and design a proposal to guide health workers mobility on the basis of migration management so that they may generate beneficial effects to the involved people and the health systems in the source and receptor countries.

Prepare a consensus proposal based on international dialogues on good practices in human resources for health.

Prepare a consensus proposal based on the international dialogue on the role that the agencies of cooperation for development may play in the execution of migration policies with this orientation. Evaluate and systematize the experience and identify lessons learned for replication and expansion to other geographical spaces.

1.6. Relevance of the action

The migration of health personnel constitutes a growing problem in the region of the Americas, of grave consequences for the Eastern Caribbean and some countries of Central America, and with incipient but threatening effects in countries of South America. In the last years emigration has created problems for the functioning of the health systems in some countries and has become a topic of discussion in the international forums, seeking effective and accessible ways to face this situation. Being of common concern in the countries of Latin America, the Ministers of Health have considered convenient to bring it up to discussion. Systematic information concerning health personnel is inexistent in the Region.

The studies that specifically address this problem are scarce, although in the last years the availability of information has improved. The information deficit affects the possibility of in-depth analysis and the definition of proposals and interventions. In general, studies on migrations have as a main component the impact on the receiving country, and since it is a phenomenon of a growing nature and with a strong presence in the media, the other components of the phenomenon that involves the countries of origin of the migrants become diluted. In addition, in the particular case of the human resources in health, the focus of the studies have been centered in other regions such as Africa, with a lack of systematisation of the phenomenon in the group of Latin America.

The dynamic of health personnel migration is complex and is constituted by the different size flows that operate in different directions. It affects all of the countries in a greater or lesser measure and some, according to the level of dynamism of the national health labour markets, are simultaneously expulsory and receptors of health personnel. The participation of foreign health personnel in the countries of the OECD reaches 30% of its work force and there is evidence of growth trends of this phenomenon during the last decade, especially for nursing personnel.[4] In the European Union the educational requisites of university training for nursing professionals, and an insufficient professional contingent with this kind of preparation, causes for private organizations in countries such as Italy to mobilize the migration of nurses from Latin-American countries.[5] The migration of health personnel also occurs between neighbouring countries, of which there are many examples in the Region.

The trends indicate that in response to this new mobility, migration will intensify the imbalances already present between the regions of higher and lower development. In the developed countries the aging of the population, the burden of chronic diseases and other factors tend to increase the demand for health services, the time for the feminisation of the health personnel, the increase of its average age

[4] Human Resources for Health, Overcoming the crisis. Joint Learning Initiative. Harvard University Press 2004.

[5] Various offers of employment opportunities and immigration can be found on Internet Sites. Migraciones y escasez de enfermeras en América latina: una exploración inicial a la realidad brasileña. Maria de Lourdes de Souza and Marta Lenise do Prado, in the II Panamerican Symposium of Nursing Research of Human Resources, Lima, November of 2004.

and the low demand for professional health education contribute to reduce the number of active workers. The work markets in general and the health labour market in particular, are suffering for a progressive process of internationalisation that is manifested in the growing migration of health personnel.

In the developed countries the aging of the population, the burden of chronic diseases and other factors tend to increase the demand for health services, the time for the feminization of the health personnel, the increase of its average age and the low demand for professional health education contribute to reduce the number of active workers. The work markets in general and the health labor market in particular, are suffering for a progressive process of internationalization that is manifested in the growing migration of health personnel.

The migration of health care professionals is related to the shortcomings of the labor markets of the poor countries and tends to extract from these the younger and more qualified individuals that have an easier time adapting to the receiving labor market. The emigrating personnel are found among the age ranges of most productivity for the professionals, where the country has invested and not received the expected returns from that inversion, through the expected delivery of services to the population.

On the other hand, many health professional training programs in the countries of the Region, contribute directly or indirectly to facilitate the migration of its graduates. Many colleges and medical and nursing schools maintain programs not aligned with the health priorities of their countries, or with their health programs or the prevailing professional practice modality in the country. Conditions to emigrate are then configured: lag with the profile of acquired competences and professional dissatisfaction.

Another determining factor in migration is the interest of the health workers, mostly of the professionals, to have access to programs of supplementary formation. Many young professionals temporarily emigrate with the objective of obtaining postgraduate degrees that on their return to their countries will facilities their insertion into the labor market. But many of them receive job offers that retain them in the more developed country.

The migration of health personnel is linked with shortage, inadequate distribution and imbalances in the allocation of health personnel, in addition of poor work conditions and salary, lack of promotion opportunities and personnel development, work instability, lack of support for the workers and exclusion in the decision making process.

Many studies have identified the factors that promote and determine the healthcare personnel migratory processes. Some of them are summarized in the next table, grouped by "push" factors (characteristic of the "provider" countries) and "pull" factors (characteristic of the countries and destination services).

	PUSH FACTORS	**PULL FACTORS**
LABOR RELATED	- Little gratifying remuneration - Uncertainty about the future - Weak infrastructure and supply and lack of work material - Rigid schedules and prolonged work hours - Few opportunities for professional development - Poor services management, specially referred to personnel well-being	- Possibility to improve the economic capacity - Work stability - Career opportunities - Opportunities for professional development
INDIRECT	- Personal and family insecurity - Limited life conditions (electricity, transport, housing, etc.).	- international recruiting agencies - Language compatibility - Policies for obtaining a visa - Personal and family safety - Better school opportunities .

In this sense, the factors that are mostly highlighted to promote the permanence of the health workers are: better remuneration, a favorable work environment, better management of issues related with health services and opportunities for continuing education.

The emigrating personnel are found among the age ranges of most productivity for the professionals, where the country has invested and not received the expected returns from that inversion, through the expected delivery of services to the population. Many studies have identified the factors that promote and determine the healthcare personnel migratory processes. The comprehension of the migratory process of the health personnel also should take into account the influence of the agencies created to promote and process the international recruiting of health care workers. The loss of health professionals can cause grave deficiencies in available services and the capacity of the countries to advance in their plans for health development.[6] Migration is part of the human right of freedom of movement and the use of knowledge and individual abilities in the search for a better life. An important element to take into account is the important contribution of the remittances for the poor countries' economies that emigrants in general and health workers in particular, periodically send to their family in their countries of origin. However, it is estimated that even considering that each of these dollars generates two dollars for local economic activity; these remittances do not compensate the investment of the governments in education and training of the healthcare workers and the services that they would carry out if they had stayed in their own countries.[7] [8] Without denying the professional, personal and economic benefits for the people that emigrate, or their individual right to seek better work and life perspectives, it is necessary to recognize that the emigration of health personnel generates profound consequences in the coverage and quality of the healthcare systems of the supplying countries. Thus, the current situation demands that developing countries carry out effective interventions to stop the loss of health human resources. The fundamental issue is to guarantee that every country counts with enough human resources in health, performing in the most needed places and with the effectiveness that the health situation requires.

The creation of a regional network of analysis of health personnel migration is considered necessary due to the international character of the topic that requires the exchange of data and the compatible development of systematization of information sources and processes concerning health personnel migration between countries. Most of the countries possess limited information regarding human resources in health and consequently the needs of the new resources, from the losses that occur year after year and the emigration of the health personnel. It is important to highlight that even if personnel migration is recognized by many countries as an important problem, there are few efforts directed to count with better information about it. In a survey carried out in 2005 in 28 countries in the Region, only 3 of them considered that they are knowledgeable of the trends of internal and external migration of the main health professions.[9] Many studies have been developed on the subject in North America and the English speaking Caribbean, however there are few and non-systematic studies developed in the countries of Latin America. There is a clear need and priority to create comprehensive information systems on human resources to learn more about problems related to the migration of health personnel. In turn, this will enable experts to study and characterize key issues and formulate policies aimed at mitigating or reversing its negative effects.

Dialogue and negotiation among the stakeholders affected by the migration of healthcare personnel are indispensable. An open discussion of key issues in health policy is necessary to protect the interests of poor countries' health services, particularly in the framework of commercial liberalization and growing globalization.

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6 Migración internacional de salud y derechos humanos. WHO, 2003.

7 The remittances of the emigrates are a source of income for the poorer countries: The World Bank reports that the remittances through the world banking system totaled 90 billion dollars in 2003, this figure increases year after year and that Latin America and the Caribbean constitute the Region of the world that receives the most remittances. En búsqueda de una vida mejor: la migración de los profesionales de salud, ILO.

8 Migration and Health Workers Special Theme. WHO Bulletin Vol. 82, number 8 August 2004, 559-636.

9 Consulta Regional: Recursos Humanos en Salud, Desafíos Críticos http://www.observatoriorh.org/esp/consultas.html and.http://www.scielo.br/pdf/rlae/v14n1/en_v14n1a02.pdf

Strategies in the source countries are related to general development and sectoral capacity and are frequently the central focus of international projects and programs cooperation. Many developed countries that recruit foreign personnel also promote broad bilateral cooperation policies in which they could collaborate with the source countries to develop their human resources, not only to compensate them for losses due to emigration, but to guarantee their capacity to reach the Millennium Goals.

It is necessary to recognize that due to the competition in attracting needed health personnel, high-income countries have an enormous influence in promoting the migration of health professionals from poorer countries. Due to the high benefits they obtain from this migration they have few incentives to change their policies.[10] Therefore, the sending countries must promote regional agreements and collective negotiation with the receiving countries of health personnel, directed to limit the migration, regularize their flows in time and establish adequate compensation mechanisms in the countries of origin of the health professionals. The receiving countries have an ethical duty to guarantee their new workers the same rights as the local workers while also providing adequate cultural orientation. The collaboration between countries to mitigate the effects of health personnel emigration is indispensable.

1.7. Description of the action and its effectiveness

Overall Objective and the Purpose of the Action

To help build capacities and reinforce strategies aimed at improving human resource planning processes in Latin America and in EU countries that receive migrating professionals. Contribute elements for defining cooperation development policies that take into consideration the problems derived from the flow of professional migrants among different countries. To contribute to the definition of a global perspective that respects the rights and needs of the people and systems involved.

In summary, the overall objective is to contribute to the effort to promote an effective management of migration flows of doctors and nurses in the Latin American and European Union areas.

We believe this action could act as a catalyst to channel the many initiatives being articulated by diverse organizations to deal with migratory issues (mainly health ministries and the World Health Organization). The added value provided by this action is that it will integrate sector-wide official development aid planning efforts into a European setting (European Union and bilateral cooperation activities).

The specific objective of the project is:

To formulate a consensus proposal based on international dialogues on good practices in human resources for health and on the role that agencies of cooperation for development may play in executing migration policies with this orientation. This implies at least the following sub-objectives:

- Characterize the situation of health professionals' migratory flows (medicine and nursing) within Latin America and toward the European Union.
- Review on-going bi- and multilateral experiences and design a proposal to guide health workers' movements on the basis of migration management so as to generate beneficial effects to the people and health systems involved, in both source and receptor countries.
- Prepare a consensus proposal based on international dialogues on good practices in human resources for health.
- Prepare a consensus proposal based on an international dialogue on the role that agencies of cooperation for development may play in the execution of migration policies with this orientation.
- Evaluate and systematize the experience and identify lessons learned for replication and expansion to other geographical spaces.

[10] Joint Learning Initiative. Op cit..

The project includes actions in the areas of:

1. **Information Systems** (develop quantitative and qualitative studies and create an information system of basic indicators to characterize and monitor the situation)
2. Aspects related to **circulation** (design alternatives that help manage migration flows in a way that generates positive, bi-directional effects),
3. **Management and regulation** (based on good practices analyzed and generated through consensus) and,
4. Implication and integration of **sector-wide cooperation strategies** for development, consistent with the stated principles.

Outputs and expected results

Result 1: The migratory flows of health professionals (medicine and nursing) within Latin America and toward the European Union have been characterized.

Result 2: A consensus-based proposal has been generated to help manage the movement of health workers in ways that benefit the people and health systems involved, both in source and receptor countries.

Result 3: The experience is evaluated and systematized. Lessons learned have been identified for replication and expansion to other geographical spaces.

This intervention is aimed at three different target groups:

The ultimate beneficiaries will be the citizens of the countries involved who will enjoy increased opportunities to have at their disposal the doctors and nursing professionals that their health systems need, depending on their health services' administrative and managerial capabilities.

The direct beneficiaries of this intervention are:

The region's health ministries, which will have at their disposal the additional information needed to provide better input into their human resource planning processes; a work guide adapted to this reality; and access to formal training in this field.

The region's doctors and nurses will enjoy mechanisms that will enable them to freely exercise their right to choose their desired place of practice within a framework that eases possible distortions in the original health system as well as in the new destination, creating reciprocal benefits in the process.

Cooperative development agencies will be able to rely on information useful to them in developing sect oral approaches that consider how to control the negative impact of health professionals' migration to the north on southern health care systems.

Outputs

i) Situation characterized and information system designed by consensus.
ii) A monitoring system operating and available on the www.
iii) Edition of a report on good practices in managing the migration of health care workers
iv) Methodological guide on consensus-based human resources planning
v) All regional units responsible for managing human resources in health have had access to training activities that permit adequate human resource planning; two regional workshops have taken place.
vi) Consensus-based document on priorities and strategies in international cooperation to manage migration and produce a positive, bi-directional positive impact.
vii) Proposal to replicate and extend to others a strategy based on the lessons learned and designed.

This proposal will review the current situation in Latin America, updating available information and incorporating qualitative elements scarcely analyzed in the region by carrying out six case studies, at least four of which will be done in Latin America, relying on PAHO (Pan-American Health Organization) and IAGS-WG (Ibero-American General Secretariat Working Group) professionals in selected countries.

A specific content management tool will be developed to permit a follow-up of the situation by making systematized information regularly available on the www. Persons interested in these issues will be able to consult the main studies underway in the region and will be able to connect with other centers who share similar interests.

By reviewing currently available knowledge and experiences, producing new ideas and building consensus a series of publications will be produced on the following subjects:

1. Good practices for the management of professional migratory flows (joint edition with PAHO for distribution in the Latin American region and among European Health Ministries involved in the action).

2. Methodological guide on human resources planning (joint edition with PAHO for distribution in the Latin American region and among European Health Ministries involved in the action).

3. The design of a course on human resource planning and the management of migratory flows available on a virtual learning platform (the PAHO-EASP Virtual Campus for Public Health), with additional materials adapted to this pedagogical context.

4. Consensus-based document on priorities and strategies for international cooperation on migration management with a positive, bi-directional impact (joint edition with PAHO-WHO-IAGS-WG for distribution in the specialized sector of multilateral and bilateral official aid development agencies).

5. Selection and dissemination of the lessons learned. Key participants design and analyze a strategy to spread this knowledge and incorporate others into the process. An action plan is defined and budgeted.

All planned publications will be made accessible on the www, as well as edited in formats that will guarantee their diffusion among potentially interested institutions and professionals. In addition, plans include the edition of informational materials that synthesize the contents referred to in points 1 and 4 above. The number of elements in each series will be defined in terms of the edition's final design and costs accumulated during the action's final period, using as a reference the budget assigned to this item.

Distribution through PAHO's and the Ibero American General Secretariat Working Group's own mechanisms ensures an efficient use of the resources estimated for this purpose.

Our methodological approach is based on a knowledge management strategy whose key element is the participation of selected participants who, as explained in another section (internal and external marketing), will facilitate the incorporation of the target public most directly involved: those responsible for human resource planning in this sector and those responsible for the design of policies and strategies for cooperation for development based on proposals and recommendations emerging from the proposed work. The participation of PAHO and WHO in this effort will permit the immediate transfer and exchange of successful experiences throughout the entire organization. By providing information on what is occurring in the Latin American environment, the Ibero-American General Secretariat Working Group will be better able to meet its mandate to facilitate recommendations to the region's ministries and the consequent adoption of proposals. Through their direct participation in the process, international cooperation agencies will lend their support to the proposals, thus facilitating the adoption of recommendations in official sector-wide development aid strategies and producing the desired, indispensable, multiplying effect.

The proposed activities and their effectiveness

The group of activities that compose this action can be organized in the following group of main activities which we will describe later. They have been developed in detail, including descriptions of the tasks which compose them, in the tentative schedule that is presented in the action plan section.

- Review of the literature. Field studies on particulars and triggering of the professional migratory process.
- Review of sources of information on health care systems.
- Analysis of planning processes.
- Design of content manager and specific IS
- Teaching framework and pedagogic design in virtual learning environments.
- Qualitative information-gathering techniques (NGT, Delphi...)
- Consensus building (conference and/or seminar)
- Task force (seminars and workshops)
- External and internal marketing (definition of target sectors, expanding products and communication strategies and selective involvement by segment and product)
- Visibility.

All the activities selected to meet the objectives have proven their effectiveness for the purposes of this work on multiple previous occasions. The combination of the synthesis of the state of knowledge available about the area that we are dealing with, along with the obtaining of unpublished information through the use of qualitative techniques, the systemization of available and obtained knowledge, strategies to generate new knowledge through case studies and group debate, the generalization of same through training strategies, and the design of intervention initiatives and strategies based on consensus and on the involvement of the group of related actors in the study processes, have already been sufficiently managed and validated in the field of policy definition and development of strategies faced with highly complex social phenomena, such as is the case of professional migrations.

Review of the literature and other available sources of information.

In a systematic way we will proceed to locate, combine, review, and synthesize the available information on the human resource planning field, and professional migrations in the health sector, with special emphasis on the relationships between medical and nursing professionals. This initial review, with special dedication to actions in the first quarter, will be complemented by obtaining unpublished "gray" literature and with other literature which experts on the subjects believe has not been communicated or expressed in internal circulation documents in task forces or organizations. We want to put special importance on the section "key informants": because of the privileged position of PAHO and the IAGS (Ibero-American General Secretariat) in Latin America, we consider them to be key elements.

We do not think it necessary for us to make reference here to the methodological aspects related to the management of the methodologies appropriate to this end; we will only mention some of the techniques and processes that will be used in this field:

- Automated review via key words of the main electronically-accessible publications of the sector.
- Generation of database with summarized information from the collected basic bibliography
- Selection of relevant actors; expansion in successive phases via contacts referred by initial selection of key informants.
- Interviews, questionnaires, group techniques (nominal, Philips, Delphi if applicable, focus group) to obtain information and generate consensus where appropriate.

Review of sources of information on health care and cooperation systems

The project demands an exhaustive review of the state of knowledge in four specific areas:

1. Information that the existing information systems provide about the human resources situation with respect to immigrant and emigrant medical and nursing personnel.

This information comes from our own experiences from at least the following sources: Personnel Units from the Ministries of Health, Professional Organizations, and Ministries responsible for the validation and accreditation for the medical profession in receiving countries. This information will be analyzed and complemented with the specific studies about motivations or reasons for the change in location existing in the target region of the work and with ad hoc studies that must be implemented in order to have a broad vision of the situation in those countries that are defined as priorities (it was considered to carry out six case studies).

2. Review of the experience of the management of professional, sectoral or non-sectoral migratory flows which can serve as elements for the design of strategies and sources of debate and reflection for the generation of new initiatives based on the greatest evidence of effectiveness possible.

3. Review of cooperation agencies' sectoral policies in their drafting of the program and in the operation of actions. Those which refer to the EU and Latin America will be analyzed, as well as selected bilateral European cooperation activities, depending on the characterization of the situation that this same study promotes.

4. Analysis of human resource planning policies. Critical elements used, basic needs related to information systems for the planning and detection of formative needs.

Field studies on particulars and causes of the professional migratory process

Information made available to us in the course of drafting this proposal has made us aware that our actions must include resources to carry out studies to allow us to discover the specific reasons which are contributing to the strong migratory flows taking place in the region, both within Latin America and between Latin America and Europe.

The project's task force will draw up the analysis protocols once the state of the situation is known and the goals of the study process are defined. These will be translated into the appropriate terms of reference to allow work to be contracted in accordance with established regulations and management guidelines for these funds. The terms of reference will clearly define general and operational goals, the requirements of the team responsible for the job, the expected results and the systematization of the information collected to be directly integrated in the information system.

The Latin American studies will be supervised and controlled by PAHO representatives in each country and by the ministries of health assigned to the IAGS task force. If any of these studies are done in the EU, they will be supervised by the Andalusian School of Public Health's (EASP) project work team.

Any results to be published will be subject to the usual controls of the EASP and PAHO editorial councils to incorporate the basic criteria of rigor and quality in a professional-standard publication. The results, recommendations and conclusions of the work will belong to the work group and those who participated, making a clear distinction between the latter and the responsibility of the financing body.

Analysis of planning processes

As was mentioned in section 4, which dealt with the review of sources of information, the work group will register the analysis of sectoral planning processes and needs-derived processes for their improvement, as well as the training of the linked persons. The appropriate questionnaire will be made up and distributed by PAHO and IAGS-WG in each country involved, guaranteeing that it will be carried out. The analysis of this information will be one of the key elements for the creation of a methodological guide for human resource planning and for the design and development of the related teaching initiatives, which will then be validated and checked in a workshop with representatives from the ministerial planning units.

Management design contents and specific Information System (IS)

After identifying the information sources that allow us to characterize the geographical distribution of professional resources and the migration patterns in the region, we will proceed to characterize the items to be considered in the information system: the sources as well as the management circuits and production responsibilities. The user community will be characterized and the appropriate content manager will be developed.

The information system will be managed through a Web application designed to support professionals in the health planning sector. It will provide them with basic information about triggers and determining factors from a global perspective, bearing in mind the confidentiality issue. As it is a web application, it will only require a computer with an updated navigator for connecting to the Internet. The administration of this application, which is to say, the functions that will allow it to maintain and update the resource bank, will be carried out in the same environment through authorized access and will facilitate the search and selection of resources by different parameters.

Functionally, the application will be divided into two clearly defined parts: the "professional" section, designed for final users, and the area of administration, designed for content management. This part of the application, which you can only gain access to through a user key, allows for the management of available content. It allows you to add new resources, associate and disassociate files and updates and eliminate all content. It also allows you to update code tables.

Training framework and pedagogical design in virtual learning environments

This institution, along with PAHO, regularly designs pedagogical activities geared towards both the incorporation of new knowledge, as well as the incorporation of new tools and the adoption of new professional practices.

During the design process of the resource planning guide, new training needs will become evident. The review of planning practices will reveal those instruments or processes that must be dealt with in the teaching activity that composes this action. Once the needs are revealed, the teaching objectives will be formulated and the pedagogical program proposal to be developed will be designed. This proposal will be tested and validated in the workshop designed for this purpose. All this will be done while taking into consideration the construction and subsequent development of the program in the planned virtual teaching environment: Virtual campus of PAHO and EASP.

Teaching in a virtual environment must focus openly and be flexible methodologically, offering quality information. The pedagogical process framed in this way will take into account the diversity of the actors and the profiles of the students who are going to use it. This will try to facilitate and stimulate the learning process and the significant assimilation of new content, whether it is knowledge, skills or attitudes.

The conceptualization, creation, design and production of appropriate teaching materials for a virtual teaching environment constitutes a significant challenge in the development of virtual educational activities. Therefore, guidelines will be adopted based on pedagogical principles that guide the development of the learning materials and resources in different media, including digital paper, video, audio, etc. The teaching materials are a basic tool in learning about a virtual training program: they contain the goals and basic content of the course, and they will be designed to facilitate the learning process, being one of the elements included in the funding requested.

Qualitative information-gathering techniques

The nature of this planned review calls for the use of a wide range of social science methodologies, which makes up part of the group of instruments of research and action of the institutions that present this initiative. The support of new means of communication and information management through the WWW will allow for a dynamic use of these work methods which can sometimes be managed virtually (inherent in Delphi, for example, but applicable in other options [NGT]). The need was foreseen to develop Focus groups among the educational personnel, planning personnel, and with migrant professionals in order to look deeper into the determining factors of the migratory process and the planning of resources. These techniques will be used by experienced professionals and mainly within the framework of case studies and a comparative analysis of the situation.

The persons responsible for holding workshops and seminars have previous experience in the use of group and idea generation techniques, and in consolidation and prioritization to guarantee the fulfillment of the planned work group objectives.

Work groups (seminars, workshops, conference)

In order for the planned participative work method to be effective, the members will be especially careful in their selection of the persons called to participate in the various collaborative process formats and product generation formats defined at the intervention: Seminars, Workshops and Conference. For each one of these events, training and necessary experience profiles will be defined to determine who will take part in the panels. Additional requirements related to task planning (ability to work as a team, creativity, specific academic experience, migrant professionals, etc.), within the framework of the objectives assigned to each activity, will also be defined. Gender will be taken into special consideration when it comes to the final composition of the task force.

Every activity will have a previously distributed work program as the base material to ensure uniformity of knowledge. Each work program has general and specific objectives, and whether they are met, as well as the operational implications derived for the development of the program, will be noted in the reports of each activity.

The final integration of contributions and recommendations derived from the process, and the search for its incorporation in the processes of policy and strategy development, both in the health sector and in the development cooperation sector, have special significance in this event. The main instrument of viability and visibility will be the work conference and the formulation of recommendations to carry out in the final semester and will conclude with a formal statement, which depending on the previous degree of consensus and among the politicians called, can acquire different levels of realization. The EASP, but especially the PAHO, has participated in multiple related occasions, which is why we consider their experience essential for the management of a similar activity. The financing organization will be informed ahead of time of the goals assigned to the meeting in order to be able to evaluate and decide on the level of presence they want to maintain at the meeting.

Internal and external marketing

This consortium believes that any strategy to incorporate conclusions generated by working groups throughout the project's cycle cannot simply by incorporated in the final phase of the process. We support a strategy that permits the ongoing integration of ideas throughout the entire work process. By following such a methodology, we ensure that ideas and conclusions generated in each phase of the process will be integrated into the final products. The project will generate a communication plan that will propose the implementation of a set of objectives that is aimed at gaining as much involvement from the actors as possible in this process thus, lending credibility to its strategies; generating support for its activities; generating visibility; and ensuring that the project is not perceived as something owned by an external managing group, but rather is the result of the beneficiaries' own active participation.

Therefore, the internal communication plan will include the following objectives: i) That all the actors and beneficiaries would come to know the Project as a whole ii) That those persons and professionals involved in the process would specifically know each one of the lines. iii) That the personal and group advantages and disadvantages that the development of the plan would bring would be known iv) That the brand image of the project is known: To identify project and process with a logo, a communication style, a participation style. v) That the project's communication channels would be easily known and recognized.

In order to achieve these objectives, this consortium proposes following the work methods that the approaches "Internal Marketing" and Innovation Management contribute. The management team will work from the beginning using the strategy that is summarized as follows:

Definition of the key elements of the action (what needs they respond to, what value they add, who they benefit...)
Analysis of the environment of the directly-affected sectors: HR planning units, cooperation agencies, migrant professionals (locate opportunities, needs to be met, context specifics...)
Definition of the internal market and priority target audience.
Segmentation of the priority markets.
Product design expanded by segment.
Description of the Action Plan to develop innovation, (formats, instruments)

Presence and Visibility of the Action Taken:

The visibility of the financing institution will be increased through a policy of effective, provocative dialogue promoting the image of the European Union. To this end, both an internal and external global communications plan will be developed that identifies the target groups. Internal and external communication strategies will be introduced in the annual operation plans, assigning the materials and human resources necessary to follow through with the activity.

We will contemplate different strategies for communicating and publicizing the success of the interventions through various channels (internal bulletins, specialized journals, conferences, mass media programs, etc.), and identify, within our shared vision, the core ideas that should determine which images and audiovisual content are best suited to the scope of the action.

Furthermore, this strategy will necessarily incorporate the visibility devices established by the financing institution. These devices will gain strength as they are integrated within a process that is not only structured and interconnected throughout all of the steps to complete the action, but also involves all players who take part, thus going a step beyond the normal treatment of the organization's image and the general norms of the financing body.

1.8. Methodology

As specified in their description, most of the planned activities have to do with the normal practices of knowledge management, whether in the phase of generation and accumulation, or knowledge transfer and use promotion. Therefore, the anticipated techniques must have to do with contacting with experts in the different fields of knowledge in question so as to obtain the desired results through participative means.

Because of this, along with the systematic review of publications covering aspects that are relevant, the following key activities will be carried out: human resource planning for health services, management of professional migratory flows, policies and strategies for cooperating with development linked to the field of study of the problem, planned discussion techniques (work seminars) and the generation of ideas and consensus-building that permits project construction. In addition, internal and external marketing techniques will be applied, allowing for greater involvement by the players who step forward, and increased feasibility of the generation and posterior use of the expected recommendations and results.

The following methodological instruments will be used in combination:

- Review of the literature.
- Field studies on particulars and causes of the professional migratory process.
- Review of sources of information on health care systems.
- Analysis of planning processes.
- Design of content manager and specific SI
- Training framework and pedagogical design in virtual learning environments.
- Qualitative information-gathering techniques (interviews, nominal group technique-NGT, Delphi, Focus groups…)
- Consensus building (conference and/or seminar)
- Task force (seminars and workshops)
- Internal and external marketing (defining target sectors, expanding products and selective communication and implication techniques per segment and per product)
- Presence and Visibility of the Action Taken.

The action proposal is in keeping with the intervention processes in this work area generated by the European Community, the World Health Organization with its strategy and specific task force in the form of the Alliance for Human Resources in Health, and in those commitments made by ministers in Latin America at the 8th Summit of Colonia del Sacramento (Uruguay) where the task force was formalized that constitutes this project IAGS-WG. This action proposal, as well as the feasibility of the recommendations and strategies being designed, is the standing concern of the different international cooperation and development agencies involved, for which reason ministerial support in those countries is guaranteed (IAGS-WG, PAHO and their delegations.) The project will be an additional cohesive element for the sectoral policies and strategies in this field as it enables contact between different players already involved in certain matters.

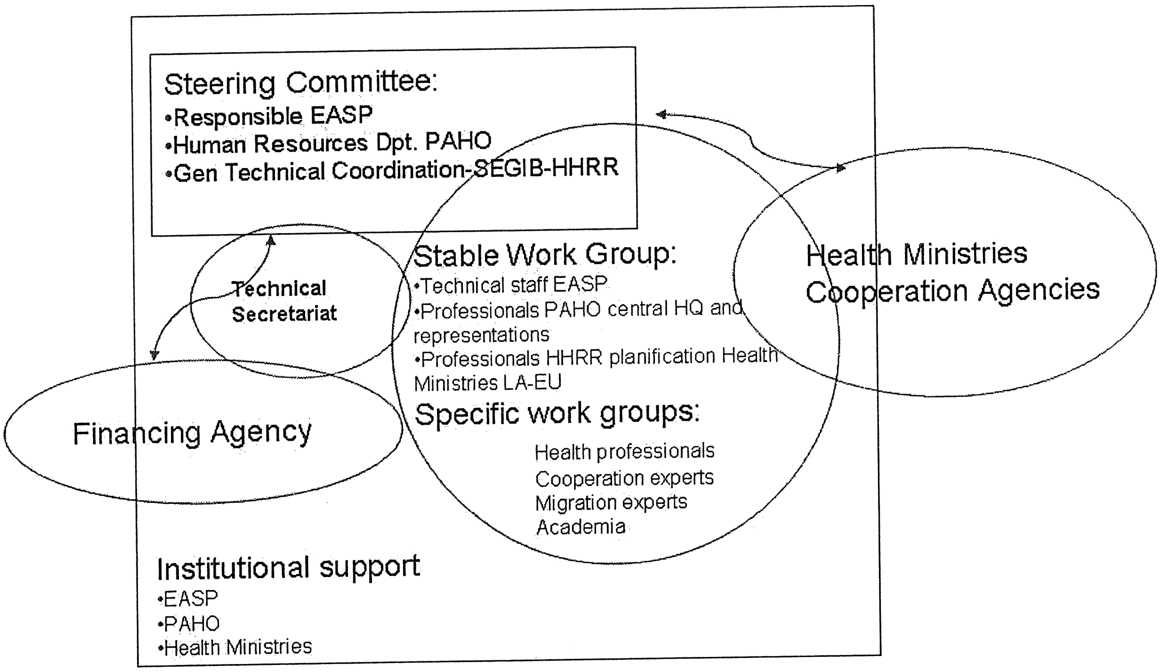
The technical and logistical infrastructure at the consortium's disposal will cover the necessities of the project and of its board of directors. The (PAHO, with representation in all Latin American countries) and the EASP, from its headquarters and its Montevideo office (which serves as a meeting place for our associates at the head of the IAGS-WG), will place all of their means and knowledge at the disposal of the project, which provides an opportunity to advance the activities this intervention includes.

Our cultural proximity strengthened by our sharing a principal language with the majority of those countries involved in this study will enable the work to advance correctly and permit efficient use of resources set aside for the production and implementation of the planned actions, thus lowering the average transaction costs.

More than a hundred professionals, experts in all fields related to public health, the organization of health services, management of sectoral processes for cooperation and development, human resources policies, and migration will support the initiatives of the task forces and the directors' committee established by this proposal for management of the project. The figure below shows the organizational structure and the principal links between the project management committee, the task force, the delegations and associates, as well as the financing entity of reference.

An expert in international cooperation from the EASP, who will be a member of the task force whose permanent focus is this project, will act as the supervisor and contact person between the task force constituted by EASP-PAHO- IAGS-WG and the professionals who will be committed to supporting other players and involved in the specific planned activities at different times. Meanwhile, the head of the project leading team at EASP headquarters will double as the permanent spokesperson before the European Commission. The consortium's staff and departments (Library, IT section, Economic Management section, Academic registrar, foreign delegates, both institutions' Virtual Campuses, installations and more) will be at the disposal of the project, offering specialist supervision and the most appropriate means of support at all times, whether by request of an EASP supervisor or by that of the directors and the task force team.

Projects's organization



In addition to offering scientific and technical support, EASP and the PAHO are accustomed to the intense labor of organizing international meetings, managing workshops and seminars, editing publications, etc, and thus have the capability and skill to manage the tools and processes that the project will need to reach its objectives. Both the EASP and the PAHO and its delegations are equipped with the necessary distance communication technology that will permit proper use of resources, placing a high priority on minimizing transportation use and the environmental impact of their activities.

The proposal contains a detailed, although by no means exhaustive, list of the principal activities we propose to carry out in order to obtain the desired results and reach our specifically defined objective (section 1.9). Subsequent annual plans will establish what the necessary temporary commitments will be for proper management of the process. We present a tentative timeline showing those activities and products that the project will necessarily take on to show consistency with that defined in its logical framework.

You will observe in the action plan timeline that, beginning in the initial phase of the project, the consortium proposes to take charge of the internal and external marketing strategy for the project in such a way as to facilitate the players' participation in the process. The strategy's objective will be the creation of the necessary alliances and aids for and between health care and international cooperation professionals (on their different action, political, organizational and management levels), the generation of the proper visibility of the planned actions taken by the EU as the financing entity, and most importantly, extending knowledge and the feasibility of incorporating strategies generated and recommended by the project (see action plan summary table).

In this way, we propose the adoption of a strategy in search of total quality, in which user satisfaction with the project results will be a key consideration. Viewing this technical management group as a service production centre directed at professionals and supervisors in health personnel management (in the areas of policy and strategy design, organizational development, and planning and service management) and in sectoral cooperation policy design and planning; it follows that these services will be evaluated by their potential users.

The EASP implements a quality control system whose aim is improving the effectiveness of all of the activities being carried out. The Cooperation section and the projects it manages will incorporate elements from that system. The control methods and techniques employed can be ordered as follows:

a) The proposal is drawn up by a stable, multidisciplinary team, with wide experience in cooperative projects and in the technical fields involved. This team includes experts in the development of participatory interventions, experienced in consensus-building and managing task forces, who have participated in selecting the best tools for the job to hand, making efficient use of the resources provided to them. There is an initial group evaluation of the drafting team itself, after which the proposal is submitted for external revision by other members of the PAHO and EASP as part of the Quality Control process.

b) Progress of the project and the tasks associated with it will be continuously evaluated. The EASP disposes of a management control system, specifically designed for each of its projects, whether carried out in Spain or in another country. This system includes a specific application adapted to check up on any project involving international cooperation, whether for planned activities themselves or their financial-administrative management. The software application is extremely detailed and allows for the differentiated analytical accounting that is necessary in order for the commission to meet the usual external verification requirements and the requirements of the external audits the institution will undergo.

c) We consider it to be a mark of quality that the logistical and administrative departments of the EASP and the PAHO possess demonstrated experience in obtaining the necessary assistance for professionals who travel to do field work, knowledge of current events and of local experts in those countries who can respond to the needs of the specific area of study of the project, and familiarity with the directing committee for the activity being undertaken, as well as with directing similar projects and studies.

d) The records, reports, products, annual planning and accounting or administrative documents generated throughout the project will be supervised and evaluated, and the results delivered to the technical team leading each project prior to the release of the definitive version of the document or report in question.

e) The project will be subject to the established regular external audits and to others that will be determined.

1.9. Duration and indicative action plan for implementing the action

The duration of the action will be 30 months. The duration for each activity and total period has been estimated, as recommended, on the basis of the most probable duration and do not prejudge the start implementation day. The implementing body is presented at the end of each temporal bar indicating if the activity will fall under the main responsibility of one of the partners, associated or subcontractors. The action plan for the first 12 months has been developed with detail giving a clear overview of the preparation and implementation of each activity and the main frame of the total intervention. The action plan for the rest of the period of intervention has been drawn in a more general way and will be adapted and defined on the subsequent annual plans and will be submitted before of new pre-financing payments.

For action plan see next page.

Action Plan

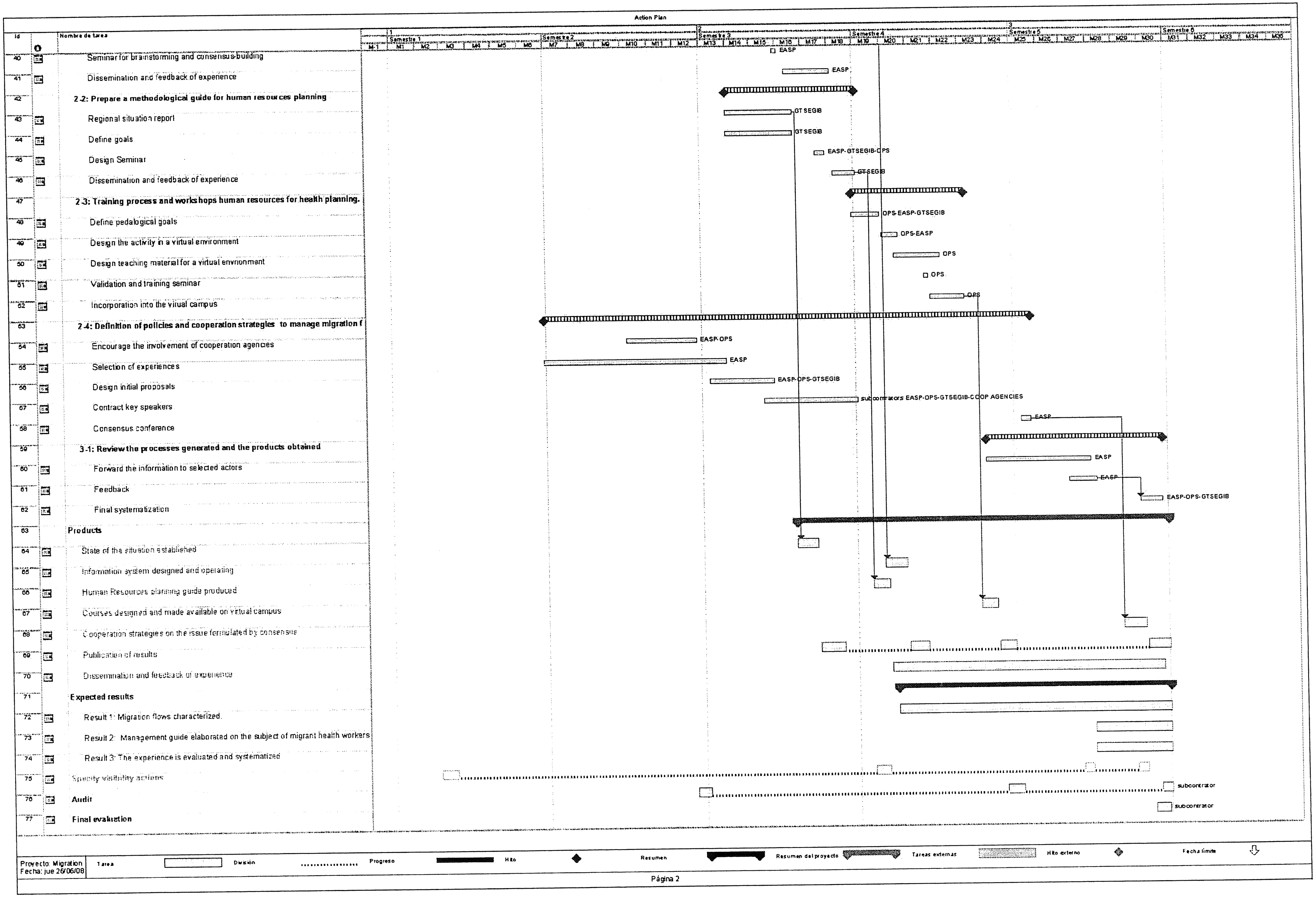
Id	Nombre de tarea	
1	**General organization**	
2	Clarification with financing agency, methodological review	
3	**Constitute a Committee and Technical Secretariat**	
4	Select permanent technician and other members	EASP (partner)
5	Responsibilities and functions defined in a plan	EASP (partner)
6	Content management design for www	EASP
7	**Internal and external marketing**	
8	Select the action's key elements	EASP
9	External and internal analysis of the setting (health ministries, cooperation age	GTSEGIB (associated)
10	Selection of internal target groups, end-users	EASP-OPS-GTSEGIB
11	Segmentation of external-internal market	EASP
12	Define products for each target group	EASP-OPS-GTSEGIB
13	Action plan (formats, instruments, actions)	EASP
14	Selection of key actors	EASP-OPS-GTSEGIB
15	Getting the actors involved	EASP-OPS-GTSEGIB
16	**Relevant activities**	
17	**1-1: Literature review and information related to the state of the issue**	
18	Selection of information sources	EASP-OPS
19	Information gathering	EASP
20	Document revision and selection	EASP
21	Create a data base	
22	Draft a provisional report	EASP
23	Select key informants	OPS-EASP-GSEGIB
24	Design script for interviews, choose methodology	EASP
25	Elaborate a report	EASP
26	**1-2: Design and implementation of quantitative multicenter study**	
27	Case selection	GTSEGIB-EASP
28	Protocol design	EASP
29	Subcontract the studies	EASP
30	Work supervision	GTSEGIB-EASP
31	Conclusions integrated into an IS	EASP
32	**1-3: Design and development of an information system**	
33	Identification of sources	GTSEGIB
34	Information systematization	GTSEGIB
35	Characteristics of the population who will be using the tool	GTSEGIB
36	Content management design for www	EASP-GTSEGIB-OPS
37	Development and implementation	EASP-OPS
38	**2-1: Design and develop management proposals to guide bi-directional flow**	
39	Draw conclusions from interviews with key informants	EASP-OPS

Semestre 1: M-1, M1, M2, M3, M4, M5, M6 · Semestre 2: M7, M8, M9, M10, M11, M12 · Semestre 3: M13, M14, M15, M16, M17, M18 · Semestre 4: M19, M20, M21, M22, M23, M24 · Semestre 5: M25, M26, M27, M28, M29, M30 · Semestre 6: M31, M32, M33, M34, M35

Proyecto: Migration
Fecha: jue 26/06/08

Tarea · División · Progreso · Hito · Resumen · Resumen del proyecto · Tareas externas · Hito externo · Fecha límite

Página 1


Action Plan
Id
Nombre de tarea
Semestre 1
Semestre 2
Semestre 3
Semestre 4
Semestre 5
Semestre 6
40 Seminar for brainstorming and consensus-building
41 Dissemination and feedback of experience
42 2.2: Prepare a methodological guide for human resources planning
43 Regional situation report
44 Define goals
45 Design Seminar
46 Dissemination and feedback of experience
47 2.3: Training process and workshops human resources for health planning.
48 Define pedalogical goals
49 Design the activity in a virtual environment
50 Design teaching material for a virtual envrionment
51 Validation and training seminar
52 Incorporation into the virtual campus
53 2.4: Definition of policies and cooperation strategies to manage migration f
54 Encourage the involvement of cooperation agencies
55 Selection of experiences
56 Design initial proposals
57 Contract key speakers
58 Consensus conference
59 3.1: Review the processes generated and the products obtained
60 Forward the information to selected actors
61 Feedback
62 Final systematization
63 Products
64 State of the situation established
65 Information system designed and operating
66 Human Resources planning guide produced
67 Courses designed and made available on virtual campus
68 Cooperation strategies on the issue formulated by consensus
69 Publication of results
70 Dissemination and feedback of experience
71 Expected results
72 Result 1: Migration flows characterized.
73 Result 2: Management guide elaborated on the subject of migrant health workers
74 Result 3: The experience is evaluated and systematized
75 Specify visibility actions
76 Audit
77 Final evaluation
EASP
EASP
GTSEGIB
GTSEGIB
EASP-GTSEGIB-OPS
GTSEGIB
OPS-EASP-GTSEGIB
OPS-EASP
OPS
OPS
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EASP-OPS
EASP
EASP-OPS-GTSEGIB
subcontractors EASP-OPS-GTSEGIB-COOP AGENCIES
EASP
EASP
EASP
EASP-OPS-GTSEGIB
subcontrator
subcontrator
Proyecto: Migration
Fecha: jue 26/06/08
Tarea
División
Progreso
Hito
Resumen
Resumen del proyecto
Tareas externas
Hito externo
Fecha límite
Página 2

1.10. Sustainability

In this project, the following implications constitute guarantee of viability and sustainability for the development of the expected actions and the project:

1) The partnership of an academic institution expert in international cooperation and in planning of health systems, together with an agency of technical cooperation of the United Nations -PAHO/WHO.

2) The participation of the associate IAGS-WG on the issue of Migrations of Health Professionals.

3) Relations among the partners involved in the process with international agencies (bilateral and multilateral cooperation agencies, IOM, ministries of health and education, professional organizations among others)

4) The existence of the Declaration of Colony which express the level of priority that this theme has for the Region.

5) PAHO/WHO has developed a regional group of experts dedicated to this specific priority; one of the Regional Goals of Human Resources for Health defines migration as a topic to manage and promote self sufficiency; PAHO also is working with universities and professional organizations on the matter.

6) The EASP's area of international cooperation develops a specific line of work in migration, based on the perspectives of both health professionals and users.

7) The experiences of the participating entities guarantee technical feasibility.

8) The coverage and incorporation of this priority into the agenda of the Ibero-American General Secretariat Working Group and meetings of the ministers of health in the region, as well as the expected strategy's consonance with European Union policies in this field, guarantee the viability of the processes for generating consensus and the design of guidelines which are acceptable and adapted to the regional realities.

9) One of the expected outcomes of this initiative consists of the acquisition of lessons learned and the design of a strategy of generalization to other sectors and geographical spaces. The Ibero-American space constitutes a strategic opportunity for the exploration and consideration of pilot initiatives and its later generalization.

10) Confidence that the requirements established in the logical framework will be met: The policies of the health ministries and cooperation agencies are consistent with the formulations and codes of conduct they have adhered to regarding the problems faced by this project. The situation affecting health personnel continues to be analyzed from a global perspective that should be dealt with through consensus, respecting national interests and the interests of the people involved. Health ministries, education ministries and professional organizations contribute relevant information and maintain their commitment to provide systematized information.

Planned initiatives are pertinent to the field of specialization and the work culture of participating organizations and those organizations have the experience needed for the project's correct management and development (designing field studies, contract management, organization of international meetings, seminars and workshops, design of information systems, application of the ICT-Information and Communication Technologies, training strategies and the design of training activities in a virtual learning environment, design of marketing strategies to implement sectoral policies and strategies).

The budgetary support being requested, which has been estimated in accordance with prudent criteria and economic sufficiency, will enable the initiatives and activities defined under the plan to be developed. The action plan will be defined in detail once the intervention's first phase has been fully completed.

The incorporation of politically responsible bodies in the definition and management of human health resources in the region the IAGS-WG makes this proposal highly viable from the very inception of its design and provides the potential needed to ensure appropriation of its results. Furthermore, the participation of PAHO/WHO as the main provider of sectoral technical assistance, the desire to integrate the work of agencies dedicated to cooperation for development, the technical experience of the Andalusian School of Public Health in the planned tasks, as well as the nature of those tasks – largely related to knowledge management and the design of policies and strategies in a setting where a consensus in values, if not of interests, exists - reinforce this potential.

Upon the project's completion, political authorities from a region that is trying to cope with the phenomenon of professional migrations will have at their disposal new knowledge about factors related to that phenomenon, in addition to systematized information, trained planners, and a set of strategies and instruments based on consensus that will enable them to orient migratory flows from a mutually beneficial position, or at the least, reduce its negative effects on their health systems.

Main assumptions and risks, before the start-up and throughout the implementation period:

The countries in the project's area of intervention have officially expressed the need to advance along the different lines proposed by the Project and have already initiated actions that the project will support and help to develop. The area in which the project intervenes has been defined as a priority by these countries; it is also a priority of PAHO, of the IAGS and of the EASP.

All have expressed a will to search for initiatives and propose solutions. The participatory methodology employed adapts well to the goals pursued. The budget request and the proposed time frame also make these goals attainable. Both PAHO and the EASP have the kind of technical and professional leadership needed to launch and manage the initiative. The Ibero-American space confers political endorsement, which is a key to the implementation of recommendations and policies derived from the action at a later stage.

The development of innovative strategies will: permit managed flows that generate mutual benefit; integrate these strategies into sectoral policies of cooperation for development; improve information systems and improve human resource planning models, among others. Together, these mechanisms will ensure the **maintenance of positive long-term effects** in the area of human resources for health, in health systems and, ultimately, in their capacity to respond to the population's health needs from a perspective that incorporates the effects of globalization.

1.11. Logical framework

Attached to Annex I

LOGICAL FRAMEWORK

	Intervention logic	Objectively verifiable achievement indicators	Sources and means of verification	Assumptions
Overall objectives	To contribute to efforts to promote the effective management of migration flows of doctors and nurses in Latin American and European Union areas.	Information and strategies available to implement effective regulatory policies on migratory flows of health professionals between LA and the EU.	Planning and regulatory recommendations on migratory flows, generated for the project under the auspices of PAHO-WHO and other agencies dedicated to cooperation.	
Specific objective	To formulate a consensus proposal based on international dialogues on good practices in human resources for health and on the role that agencies of cooperation for development can play in executing this type of migration policies.	Consensus proposal formulated and signed by key stakeholders.	Minutes from the consensus conference.	Policies adopted by health ministries and agencies for cooperation support and are consistent with formulations and codes of conduct applicable to the issues at hand.
Expected results	**Result 1:** Migration flows of medical and nursing professionals from Latin America to the European Union have been characterized. **Result 2:** Presentation of a draft proposal, based on international dialogue and consensus, to guide the flow of health professionals by managing migratory trends in a way that generates beneficial effects for the professionals as well as for the health systems, both in the source and receptor countries. **Result 3:** The experience is evaluated and systematized; lessons learned have been identified for replication and transfer to other geographical areas.	**R1:** i) Situation characterized and information system designed by consensus. ii) A monitoring system operating and available on the www. **R2:** i) Edition of a report on good practices for managing migrant health care workers. ii) Consensus-based methodological guide accepted by the responsible organs. iii) All the region's human resource units for health management have had access to training activities that encourage improved planning of human resources; two regional workshops have taken place. iv) Consensus-based document on priorities and strategies of international cooperation to manage migration with bi-directional positive impact. **R3:** i) Proposal to replicate and extend to others a strategy based on the lessons learned and designed.	**R1-i)** A situation report edited, distributed and available on the www. **R2-i)** Report accessible and available on the www. R2-ii) Minutes from the consensus conference R2-iii) Report on project activities. Indicators relevant to the evaluation of activities. R2-iv) Minutes from the consensus conference. **R3-i)** Report accessible and available on the www.	**R.1** Health and education ministries, along with professional organizations, provide relevant information and respect their commitment to offer it systematically. **R.2** The situation affecting health personnel continues to be studied from a global perspective that addresses issues on a consensual basis, respecting the interests of all parties involved (nations and individuals). **R.3** The policies of health ministries and agencies for cooperation support and are consistent with formulations and codes of conduct applicable to the issues at hand.

Activities	1-1: Literature review of information relevant to the state of the issue	**Means** *. Technical experts* *. Studies*	**Costs:** Local staff salaries Acquisition of publications Contracts for field studies Development of an information system Hire guest speakers Management of seminars, workshops and meetings Logistics for meetings Travel expenses Per diem Edition of teaching material Edition of publications Strategic marketing	
	1-2: Design a quantitative multicenter study to generate knowledge on the state of the situation for doctors and nursing professionals; the study will focus on Latin American migratory flows toward the European Union.			
	1-3: Design and develop an information system that permits permanent monitoring of the situation.	*Technical experts*		
	2-1: Design and develop a participatory process aimed at constructing management proposals to guide mutually beneficial, bi-directional flows; this will imply with the participation of key groups (migrant professionals, institutional planners, academics, agents of cooperation and other social actors).	*Consensus building* *Technical experts*		
	2-2: Prepare a consensus-based methodological guide to facilitate human resource planning in the region.	*Technical experts* *Seminar*		
	2-3: Promote training processes and workshops on health planning in existing human resource units.	*TIC* *Technical experts*		
	2-4: Design and develop a participatory process to build consensus on a set of policies and cooperative strategies to help manage migration from the perspective of its mutually beneficial effects.	*TIC* *Technical experts* *Seminar*		
	3-1: Review of the processes generated and the products obtained			
	3-2: Formulate and implement a dissemination strategy.			

Annex III. Budget for the Action1 MIGR/2008/152-804(5.2)	All Years				Year 1[2]			
Expenses	**Unit**	**# of units**	**Unit rate (in EUR)**	**Costs (in EUR)[3]**	**Unit**	**# of units**	**Unit rate (in EUR)**	**Costs (in EUR)**
1. Human Resources								
1.1 Salaries (gross amounts, local staff)[4]								
1.1.1 Technical								
1.1.1.1 Technical staff full-time	Per month	30	4000	120.000	Per month	12	4000	48.000
1.1.1.2 Easp professor 33% dedication	Per month	10	5000	50.000	Per month	4	5000	20.000
1.1.1.3 OPS headquatter and regional techinical staff (3 per 15%)	Per month	15	6000	90.000	Per month	6	6000	36.000
1.1.1.4 OPS representaciones (1 per 5% sede, 16 sedes)	Per month	24	6000	144.000	Per month	9,6	6000	57.600
1.1.2 Administrative/ support staff								
1.1.2.1 EASP (2 per 20%)	Per month	12	2500	30.000	Per month	4,8	2500	12.000
1.2.2.2 OPS headquatter (1 per 25%)	Per month	8	2500	20.000	Per month	3,2	2500	8.000
1.1.2.3 OPS sedes (1 p 5% sede, 16)	Per month	24	2500	60.000	Per month	9,6	2500	24.000
1.2 Salaries (gross amounts, expat/int. staff)								
1.3 Per diems for missions/travel[5]								
1.3.1 Abroad (staff assigned to the Action)								
1.3.1.1 Spain, UE	Per diem	120	212	25.440		60	212	12.720
1.3.1.2 Uruguay (reuniones equipo trabajo)	Per diem	120	118	14.160		60	118	7.080
1.3.2 Local (staff assigned to the Action)								
1.3.3 Seminar/conference participants	Per diem	300	212	63.600				
Subtotal Human Resources				617.200				225.400
2. Travel[6]								
2.1. International travel								
2.1.1 UE Granada	Per flight	20	600	12.000	Per flight	4	600	2.400
2.1.2 LA-Granada	Per flight	60	1500	90.000	Per flight	12	1500	18.000
2.1.3 América-América	Per flight	20	600	12.000	Per flight	8	600	4.800
2.2 Local transportation								
Subtotal Travel				114.000				25.200
3. Equipment and supplies[7]								
3.1 Purchase or rent of vehicles								
3.2 Furniture, computer equipment								
3.3 Machines, tools...								
3.4 Spare parts/equipment for machines, tools								
3.5 Other (please specify): literature purchase								
Subtotal Equipment and supplies								
4. Local office								
4.1 Vehicle costs								
4.2 Office rent								
4.3 Consumables - office supplies								
4.4 Other services (tel/fax, electricity/heating, maintenance)								
Subtotal Local office								

Expenses	Unit	# of units	Unit rate (in EUR)	Costs (in EUR)[3]	Unit	# of units	Unit rate (in EUR)	Costs (in EUR)
5. Other costs, services[8]								
5.1 Two different Publications 500 exemplars each[9]	per copy	1000	20	20.000				
5.2 Studies, research[9]								
5.2.1:Case Estudies	Case Estudy	6	24000	144.000	First half of 6 case studies (6 x 0,5)	3	24000	72.000
5.2.2:Ponencias y otros (8 Conferences)	Ponencia	8	2000	16.000	Ponencia	3	2000	6.000
5.3 Auditing costs								
5.3.1: annual	Annual audit	2	1500	3.000	Annual audit	1	1500	1.500
5.3.2: final	Final audit	1	2000	2.000				
5.4 Evaluation costs	Final evaluation	1	24000	24.000				
5.5 Translation, interpreters	Day	6	1500	9.000				
5.6 Financial services (bank guarantee costs etc.)	Per month	30	196,17	5.885	Per month	12	196,17	2.354
5.7 Costs of conferences/seminars[9]								
5.8 Visibility actions								
Subtotal Other costs, services				223.885				81.854
6. Other								
Publication of estudies and conclussions	per copy	2000	10	20.000				
Virtual learning material edition	course	1	16000	16.000				
Virtual course design	course	1	10000	10.000				
Cualitative assesment methodology	study	1	40000	40.000				
Development of social marketing strategies	per action	4	2000	8.000		2	2000	4.000
Production of audivisual material	set	2	3000	6.000		1	3000	3.000
Subtotal Other				100.000				7.000
7. Subtotal direct eligible costs of the Action (1-6)				1.055.085				339.454
8. Provision for contingency reserve (maximum 5% of 7, subtotal of direct eligible costs of the Action)	5%			52.754				0
9. Total direct eligible costs of the Action (7+ 8)				1.107.839				339.454
10. Administrative costs (maximum 7% of 9, total direct eligible costs of the Action)	7%			77.549				23.762
11. Total eligible costs (9+10)				1.185.388				363.216

1. The Budget must cover all eligible costs of the Action, not just the Contracting Authority's contribution. The description of items must be sufficiently detailed and all items broken down into their main components. The number of units and unit rate must be specified for each component depending on the indications provided.

2. This section must be completed if the Action is to be implemented over a period of more than 12 months.

3. If the Contracting Authority is not the European Commission, the budget may be established in euro or in the currency of the country of the Contracting Authority. Costs and unit rates are rounded to the nearest euro cent.

4. If staff are not working full time on the Action, the percentage should be indicated alongside the description of the item and reflected in the number of units (not the unit rate).

5. Indicate the country where the per diems are incurred and the applicable rates (which must not exceed the scales published by the E.C. at the time of contract signature http://ec.europa.eu/europeaid/work/procedures/index_en.htm). If information is not available, enter a global amount.

6. Indicate the place of departure and the destination. If information is not available, enter a global amount

7. Costs of purchase or rental

8. Specify. Lump sums will not be accepted.

9. Only indicate here when fully subcontracted.

NOTA BENE: The beneficiary alone is responsible for the correctness of the financial information provided in these tables

Expected sources of funding

		Amount EUR	Percentage of total %
Applicant's financial contribution		314.000	26,49%
Commission/EDF contribution sought in this application		871.388	73,51%
Contribution(s) from other European Institutions or EU Member States			
Name	*Conditions*		
Contributions from other organisations:			
Name	*Conditions*		
TOTAL CONTRIBUTIONS		0	
Direct revenue from the Action		0	
OVERALL TOTAL		1.185.388	

Expenses	*Unit*	*# of units*	*Unit rate (in EUR)*	Costs (in EUR)	*Unit*	# of units	Unit rate (in EUR)	Costs (in EUR)
	All Years				Year 1			
Contibutions in kind estimated	Per month				Per month			
Office rent (6% de 16 sedes/mes)		30	2000	60000		12	2000	24000
Consumables - office supplies		30	300	9000		12	300	3600
Other services (tel/fax, electricity/heating, maintenance)		30	500	15000		12	500	6000
Subtotal contributions in kind				**84000**				**33600**

Contribution in kind to Project
MIGR/2008/152-804(5.2)

ANNEX IV
Procurement by grant Beneficiaries in the context of European Community external actions

1. General principles

If the implementation of an Action requires procurement by the Beneficiary, the contract must be awarded to the most economically advantageous tender (ie, the tender offering the best price-quality ratio), in accordance with the principles of transparency and fair competition for potential contractors and taking care to avoid any conflicts of interest.

To this end, the Beneficiary must comply with the rules set out in sections 2 to 7 below, subject to section 8.

In the event of failure to comply with the rules referred to above, expenditure on the operations in question is not eligible for Community financing.

The Commission will carry out ex post checks on Beneficiaries' compliance with the rules.

The provisions of this Annex apply mutatis mutandis to contracts to be concluded by the Beneficiary's partners.

2. Eligibility for contracts

2.1. The nationality rule

Participation in tender procedures administered by the Beneficiary is open on equal terms to all natural and legal persons of the Member States and the States and territories of regions expressly covered and/or allowed by the Financial Regulation, the basic legislation or other instruments governing the aid programme under which the grant is being financed. Tenderers must state, in the tender, the country of which they are nationals by presenting the usual proof of nationality under their national legislation.

This rule does not apply to the experts proposed by service providers taking part in tender procedures or service contracts financed by the grant.

2.2. The rule of origin

If the basic act or the other instruments applicable to the programme under which the grant is financed contain rules of origin for supplies acquired by the Beneficiary in the context of the grant, the tenderer must state the origin of supplies. For the purpose of this annex, the term "origin" is defined in articles 23 and 24 of Council Regulation (EEC) No 2913/92 of 12 October 1992 establishing the Community Customs Code and other Community legislation governing non-preferential origin. Contractors must present proof of origin to the Beneficiary no later than when the first invoice is presented, for equipments and vehicles of a unit cost on purchase of more than € 5 000. The certificate of origin must be made out by the competent authorities of the country of origin of the supplies and must comply with the rules laid down by the relevant Community legislation.

Where the basic act or other instruments applicable to the programme under which the grant is financed do not contain rules of origin for supplies acquired by the Beneficiary in the context of the grant, the origin of those supplies is free and no certificate of origin is required.

2.3. Exceptions to the rules on nationality and origin

Where an agreement on widening the market for procurement of goods or services applies, the procurement contracts must also be open to nationals of other countries under the conditions laid down in that agreement.

In addition, in duly substantiated exceptional cases, the Commission may allow nationals of countries other than those referred to in section 2.1 to tender for contracts (or supplies of goods originating in such countries) on the basis of the specific conditions laid down in the basic act or other instrument governing the programme under which the grant is financed.

2.4. Grounds for exclusion from participation in procurement

Candidates or tenderers will be excluded from participation in a procurement procedure if:

(1) they are bankrupt or being wound up, are having their affairs administered by the courts, have entered into an arrangement with creditors, have suspended business activities, are the subject of proceedings concerning those matters, or are in any analogous situation arising from a similar procedure provided for in national legislation or regulations;

(2) they have been convicted of an offence concerning their professional conduct by a judgment which has the force of *res judicata*;

(3) they have been guilty of grave professional misconduct proven by any means which the Beneficiary can justify;

(4) they have not fulfilled obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which they are established or with those of the country of the Beneficiary or those of the country where the contract is to be performed;

(5) they have been the subject of a judgment which has the force of *res judicata* for fraud, corruption, involvement in a criminal organisation or any other illegal activity detrimental to the Communities' financial interests;

(6) they are currently subject to an administrative penalty referred to in section 2.3.5 of the Practical Guide to contract procedures for EC external actions.

Candidates or tenderers must certify that they are not in one of the situations listed above.

2.5. Exclusion from award of contracts

Contracts may not be awarded to candidates or tenderers which, during the procurement procedure:

(a) are subject to a conflict of interests;

(b) are guilty of misrepresentation in supplying the information required by the Beneficiary as a condition of participation in the contract procedure or fail to supply this information.

3. RULES COMMON TO ALL TENDER PROCEDURES

The tender documents must be drafted in accordance with best international practice. If they do not have their own documents, Beneficiaries may use the models published on the European Commission's web site relating to external actions. The European Commission will not publish the tender documents established by the Beneficiary.

The time-limits for receipt of tenders and requests to participate must be long enough to allow interested parties a reasonable and appropriate period to prepare and submit their tenders.

All requests to participate and tenders declared as satisfying the requirements must be evaluated and ranked by an evaluation committee on the basis of the exclusion, selection and award criteria announced in advance. This committee must have an odd number of members, at least three, with all the technical and administrative capacities necessary to give an informed opinion on the tenders.

4. RULES APPLICABLE TO SERVICE CONTRACTS

4.1. Contracts of €200 000 or more

Service contracts worth EUR 200 000 or more must be awarded by means of an international restricted tender procedure following publication of a procurement notice.

The procurement notice is to be published in all appropriate media, in particular on the Beneficiary's web site, in the international press and the national press of the country in which the Action is being carried out, or in other specialist periodicals. It must state the number of candidates which will be invited to submit tenders within a range of four to eight candidates, and must be sufficient to ensure genuine competition.

All would-be service providers fulfilling the conditions referred to in section 2 may ask to participate but only candidates satisfying the published selection criteria and invited in writing by the Beneficiary may submit a tender.

4.2. Contracts under €200 000

Service contracts worth less than € 200 000 must be awarded by means of a negotiated procedure without publication, in which the Beneficiary consults at least three service providers of its choice and negotiates the terms of the contract with one or more of them.

For services of a value of € 5 000 (EDF[1])/€10 000 (Budget[2]) or less, the Beneficiary may place orders on the basis of a single tender.

5. RULES APPLICABLE TO SUPPLY CONTRACTS

5.1. Contracts of €150 000 or more

Supply contracts worth € 150 000 or more must be awarded by means of an international open tender procedure following publication of a procurement notice.

The procurement notice is to be published in all appropriate media, in particular on the Beneficiary's web site, in the international press and the national press of the country in which the Action is being carried out, or in other specialist periodicals.

Any would-be supplier which fulfils the conditions referred to in section 2 may submit a tender.

5.2. Contracts between €30 000 (EDF)/€60 000 (Budget) and €150 000

Such contracts are awarded by means of an open tender procedure published locally: the procurement notice is published in all appropriate media but only in the country in which the Action is being carried out.

A local open tender procedure must provide other eligible suppliers with the same opportunities as local firms.

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[1] applicable when the grant contract is financed from the European Development Fund

[2] applicable when the grant contract is financed from the EC General Budget

5.3. Contracts under €30 000 (EDF)/€60 000 (Budget)

Supply contracts worth less than €30 000 (EDF)/€60 000 (Budget) must be awarded by means of a negotiated procedure without publication, in which the Beneficiary consults at least three suppliers of its choice and negotiates the terms of the contract with one or more of them.

For supplies of a value of € 5 000 (EDF)/€10 000 (Budget) or less, the Beneficiary may place orders on the basis of a single tender.

6. RULES APPLICABLE TO WORKS CONTRACTS

6.1. Contracts of €5 000 000 or more

Works contracts worth €5 000 000 or more must be awarded by means of an international open tender procedure following publication of a procurement notice.

The procurement notice is to be published in all appropriate media, in particular on the Beneficiary's web site, in the international press and the national press of the country in which the Action is being carried out, or in other specialist periodicals.

Any contractor which fulfils the conditions referred to in section 2 may submit a tender.

6.2. Contracts of between €300 000 and €5 000 000

Such contracts are awarded by means of an open tender procedure published locally: the procurement notice is published in all appropriate media but only in the country in which the Action is being carried out.

A local open tender procedure must provide other eligible contractors with the same opportunities as local firms.

6.3. Contracts under €300 000

Works contracts worth less than € 300 000 must be awarded by means of a negotiated procedure without publication, in which the Beneficiary consults at least three contractors of its choice and negotiates the terms of the contract with one or more of them.

For works of a value of €5 000 (EDF)/€10 000 (Budget) or less, the Beneficiary may place orders on the basis of a single tender.

7. USE OF THE NEGOTIATED PROCEDURE

The Beneficiary may use the negotiated procedure on the basis of a single tender in the following cases:

(a) where, for reasons of extreme urgency brought about by events which the Beneficiary could not have foreseen and which can in no way be attributed to him, the time-limit for the procedures referred to in sections 3 to 6 cannot be kept. The circumstances invoked to justify extreme urgency must in no way be attributable to the Beneficiary.

Actions carried out in crisis situations identified by the Commission are considered to satisfy the test of extreme urgency. The Commission will inform the Beneficiary if a crisis situation exists and when it comes to an end.

(b) where the services are entrusted to public-sector bodies or to non-profit institutions or associations and relate to activities of an institutional nature or designed to provide assistance to peoples in the social field;

(c) where contracts extend activities already under way which are not included in the main contract but which, because of unforeseen circumstances, have become necessary to perform the contract, or which consist of the repetition of similar services entrusted to the contractor providing services under the initial contract;

(d) for additional deliveries by the original supplier intended either as a partial replacement of normal supplies or installations or as the extension of existing supplies or installations, where a change of supplier would oblige the Beneficiary to acquire equipment having different technical characteristics which would result in either incompatibility or disproportionate technical difficulties in operation and maintenance;

(e) for additional works not included in the initial contract concluded which have, through unforeseen circumstances, become necessary for carrying out the works;

(f) where the tender procedure has been unsuccessful, that is where no qualitatively and/or financially worthwhile tender has been received. In such cases, after cancelling the tender procedure, the Beneficiary may negotiate with one or more tenderers of its choice, from among those that took part in the tender procedure, provided that the initial terms of the tender procedure are not substantially altered;

(g) where the contract concerned follows a contest and must, under the rules applying, be awarded to the winner of the contest or to one of the winners of the contest, in which case, all winners shall be invited to participate in the negotiations;

(h) where, for technical reasons, or for reasons connected with the protection of exclusive rights, the contract can be awarded only to a particular service provider;

(i) where warranted by the nature or particular characteristics of the supplies, for example, where performance of the contract is exclusively reserved for the holders of patents or licences to use patents;

(j) where the orders are placed with a humanitarian central buying office, recognised as such by the relevant service of the European Commission;

(k) for the issue of the expenditure verification report and the financial guarantee where they are required under the Contract;

(l) for contracts declared to be secret, or for contracts whose performance must be accompanied by special security measures or when the protection of the essential interests of the European Union or the beneficiary country so requires;

(m) for contracts in respect of supplies quoted and purchased on a commodity market;

(n) for contracts in respect of purchases on particularly advantageous terms, either from a supplier which is definitively winding up its business activities, or from the receivers or liquidators of a bankruptcy, an arrangement with creditors, or a similar procedure under national law.

8. SPECIAL CASES

8.1. Co-financing

Where:

- the Action is co-financed by several donors and
- one of the other donors, whose contribution to the total cost of the Action is greater than that of the Commission, imposes procurement rules on the Beneficiary that differ from those set out in sections 3 to7,

the Beneficiary may apply the rules imposed by the other donor. In all cases, the general principles and rules on nationality and origin set out in sections 1 and 2 still apply.

8.2. Public administrations of the Member States

Where the Beneficiary or a partner is a contracting authority and/or a contracting entity within the meaning of the Community Directives applicable to procurement procedures, it must apply the relevant provisions of those texts, in preference to the rules set out in 3 to7. In all cases, the general principles and rules on nationality and origin set out in 2 still apply.

8.3. International Organisations

Where a partner is an international organisation, it applies its own procurement rules if they offer guarantees equivalent to internationally accepted standards. If they do not or in specific cases, the Commission and the Beneficiary agree on the use of other procurement procedures which offer such guarantees. In all cases the general principles and rules on nationality and origin set out in point 2 still apply.

8.4. Central Buying Offices

Where the Beneficiary uses a central buying office as service provider, he selects it in conformity with the procedures set out above for service contracts.

A central buying office for the purpose of point 7 (j) is a non-profit making, autonomous and professional structure, specialised in the technical and commercial management of supplies.

This central buying office applies the rules imposed on the Beneficiary. Where it is a humanitarian central buying office recognised as such by the relevant service of the European Commission (see http://ec.europa.eu/echo/partners/procurement_en.htm), it applies the rules agreed upon at the time of its approval, subject to the rules on nationality and origin set out in point 2 above.

ANNEX V
Request for payment for grant Contract European Community external actions

<*Date of the request for payment*>

For the attention of
<*address of the Contracting Authority*>
<*Financial unit/section indicated in the Contract* >[1]

Reference number of the grant Contract:
Title of the grant Contract: Name and address of the Beneficiary:
Request for payment number: Period covered by the request for payment:

Dear Sir/Madam,

I hereby request < *[a further] pre-financing payment/payment of the balance*>[2] under the Contract mentioned above.

The amount requested is <*as indicated in Article 4(2) of the Special Conditions of the Contract/the following: ...*>.
Please find attached the following supporting documents:
<- *expenditure verification report (if required by Article 15.6 of the General Conditions of the Contract)*
- *financial guarantee(if required by Article 15.7 of the General Conditions of the Contract)*
- *technical and financial interim report (for further pre-financing payments)*
- *final implementation report (for payment of the balance).* >

The amount covered by the expenditure verification report and claimed for deduction from the sum total of pre-financing under the contract is the following: ...

The payment should be made to the following bank account: <give the account number shown on the financial identification form annexed to the Contract>

I hereby certify that the information contained in this request for payment is complete, faithful and reliable, that the costs incurred can be considered eligible in accordance with the Contract and that this request for payment is substantiated by adequate supporting documents that can be checked.

Yours faithfully,

< *signature* >

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[1] if the Contracting Authority is a service of the European Commission. Please do not forget to send a copy of this letter to the management unit and if appropriate to the Commission delegation mentioned in Article 5(1) of the Special Conditions of the Contract.

FINANCIAL IDENTIFICATION

PRIVACY STATEMENT http://ec.europa.eu/budget/execution/ftiers_fr.htm

ACCOUNT NAME

ACCOUNT NAME[1]	ESCUELA ANDALUZA DE SALUD PÚBLICA
ADDRESS	CAMPUS UNIVERSITARIO DE CARTUJA,CALLE CUESTA DEL OBSERVATORIO
	N°4
TOWN/CITY	GRANADA
POSTCODE	18011
COUNTRY	ESPAÑA

CONTACT	JUAN IGNACIO MARTINEZ MILLAN
TELEPHONE	34 958 02 74 00
FAX	34 958 02 75 02
E - MAIL	nmmillan@gmail.com

BANK

BANK NAME	BANCO BILBAO VIZCAYA ARGENTARIA
BRANCH ADDRESS	PLAZA ISABEL LA CATOLICA N°1
TOWN/CITY	GRANADA
POSTCODE	18009
COUNTRY	ESPAÑA
ACCOUNT NUMBER	0182/5695/82/0102001766
IBAN[2]	ES07 0182/5695/82/0102001766

REMARKS:

BANK STAMP + SIGNATURE OF BANK REPRESENTATIVE (Both Obligatory)[3]	DATE + SIGNATURE ACCOUNT HOLDER : (Obligatory)
BANCO BILBAO VIZCAYA ARGENTARIA BBVA BANCO BILBAO VIZCAYA ARGENTARIA GRANADA - INSTITUCIONAL P.P. 13 JUN 2008 A. PEREZ NRADO	Escuela Andaluza de Salud Pública JUNTA DE ANDALUCIA CONSEJERÍA DE SALUD DATE 13/06/2008

[1] The name or title under which the account has been opened and not the name of the authorized agent

[2] If the IBAN Code (International Bank accout number) is applied in the country where your bank is situated

[3] It is preferable to attach a copy of recent bank statement, in which event the stamp of the bank and the signature of the bank's representative are not required. The signature of the account-holder is obligatory in all cases.

ANNEX VI
INTERIM NARRATIVE REPORT

- This report must be completed and signed by the Contact person
- The information provided below must correspond to the financial information that appears in the financial report.
- Please complete the report using a typewriter or computer (***you can find this form at the following address <Specify>).***
- Please expand the paragraphs as necessary.
- ***Please refer to the Special Conditions of your grant contract and send one copy of the report to each address mentioned***
- The Contracting Authority will reject any incomplete or badly completed reports.
- The answer to all questions must cover the reporting period as specified in point 1.6

1. Description

1.1. Name of beneficiary of grant contract:

1.2. Name and title of the Contact person :

1.3. Name of partners in the Action:

1.4. Title of the Action:

1.5. Contract number:

1.6. Start date and end date of the reporting period:

1.7. Target country(ies) or region(s):

1.8. Final beneficiaries &/or target groups[1] (if different) (including numbers of women and men):

1.9. Country (ies) in which the activities take place (if different from 1.7):

1 "Target groups" are the groups/entities who will be directly positively affected by the project at the Project Purpose level, and "final beneficiaries" are those who will benefit from the project in the long term at the level of the society or sector at large.

2. Assessment of implementation of Action activities

2.1. Activities and results

Please list all the activities in line with Annex 1 of the contract during the reporting period

Activity 1:

Title of the activity: Conference at town W with X participants for Y days on Z dates

Topics/activities covered <please elaborate>:

Reason for modification for the planned activity <please elaborate on the problems - including delay, cancellation, postponement of activities- which have arisen and how they have been addressed> (if applicable):

Results of this activity <please quantify these results, where possible; refer to the various assumptions of the Logframe>:

2.2. Please list all contracts (works, supplies, services) above 5000€ awarded for the implementation of the action during the reporting period, giving for each contract the amount, the award procedure followed and the name of the contractor

2.3. Please provide an updated action plan [2]

Year													
	Semester 1						Semester 2						
Activity	Month 1	2	3	4	5	6	7	8	9	10	11	12	Implementing body
Example	*example*												*Example*
Preparation Activity 1(title)													Local partner 1
Execution Activity 1(title)													Local partner 1
Preparation Activity 2 (title)													Local partner 2
Etc.													

3. Partners and other Co-operation

3.1. How do you assess the relationship between the formal partners of this Action (i.e. those partners which have signed a partnership statement)? Please specify for each partner organisation

2 This plan will cover the financial period between the interim report and the next report.

3.2. How would you assess the relationship between your organisation and State authorities in the Action countries? How has this relationship affected the Action?

3.3. Where applicable, describe your relationship with any other organisations involved in implementing the Action:

- Associate(s) (if any)
- Sub-contractor(s) (if any)
- Final Beneficiaries and Target groups
- Other third parties involved.

3.4. Where applicable, outline any links you have developed with other actions

3.5. If your organisation has received previous EC grants in view of strengthening the same target group, in how far has this Action been able to build upon/complement the previous one(s)? (List all previous relevant EC grants).

4. Visibility

How is the visibility of the EU contribution being ensured in the Action?

The European Commission may wish to publicise the results of Actions. Do you have any objection to this report being published on EuropeAid Co-operation Office website? If so, please state your objections here.

Name of the contact person for the Action: ....

Signature: ....

Location: ....

Date report due: ....

Date report sent: ....

Nota Bene
The beneficiary alone is responsible for the correctness of the financial information provided in these tables.

Forecast budget and follow-up:
The Contracting Authority may request this forecast, for information purposes only: it allows the follow-up by operational and financial services.
It concerns forecasts and also allows to observe adaptation capacity in revising forecasts and their implementation.

Interim Report & Final Report
Expenses: for each currency in which the budget has been implemented during the specific reporting period (including the € where the exchange Fx rate into € will be = 1) the report will:
have a set of four columns (numbers of units, unit cost in FX, total cost in FX, total cost in €) so per each currency a set of four columns will be inserted
establish the exchange rates (local currency > €) to be used by having, for the period, the simple arithmetical average of the InforEuro exchange rate
(i.e. sum the exchange rates of the months of the reporting period and divide the sum by the number of months)
To ease the preparation of the reports, indications are provided on the relevant columns, FX= foreign currency
InforEuro is freely available at: http://europa.eu.int/comm/budget/inforeuro/index.cfm?language=en **or** http://europa.eu.int/comm/budget/inforeuro/index.cfm?language=fr

ROUNDINGS
Figures have to be rounded to the nearest euro cent

Contract n°

Implementation period of the contract (dd/mm/yyyy-dd/mm/yyyy)

Forecast Budget & follow-up

Expenditures	Previous period (dd/mm/yyyy-dd/mm/yyyy) Forecast				Real Previous Period	Following period (dd/mm/yyyy-dd/mm/yyyy) Forecast			
Expenditures	Unit	# Units	Unit cost (in EUR)	Costs (in EUR)	Costs (in EUR)	Unit	# Units	Coût unitaire (en EUR)	Coûts (en EUR)
1. Human Resources									
1.1 Salaries (gross amounts, local staff)									
1.1.1 Technical	Per month			0		Per month			0
1.1.2 Administrative/ support staff	Per month			0		Per month			0
1.2 Salaries (gross amounts, expat/int. staff)	Per month			0		Per month			0
1.3 Per diems for missions/travel									
1.3.1 Abroad (staff assigned to the Action)	Per diem			0		Per diem			0
1.3.2 Local (staff assigned to the Action)	Per diem			0		Per diem			0
1.3.3 Seminar/conference participants	Per diem			0		Per diem			0
Subtotal Human Resources				0	0				0
2. Travel									
2.1. International travel	Per flight			0		Per flight			0
2.2 Local transportation	Per month			0		Per month			0
Subtotal Travel				0	0				0
3. Equipment and supplies									
3.1 Purchase or rent of vehicles	Per vehicle			0		Per vehicle			0
3.2 Furniture, computer equipment				0					0
3.3 Machines, tools...				0					0
3.4 Spare parts/equipment for machines, tools				0					0
3.5 Other (please specify)				0					0
Subtotal Equipment and supplies				0	0				0
4. Local office									
4.1 Vehicle costs	Per month			0		Per month			0
4.2 Office rent	Per month			0		Per month			0
4.3 Consumables - office supplies	Per month			0		Per month			0
4.4 Other services (tel/fax, electricity/heating, maintenance)	Per month			0		Per month			0
Subtotal Local office				0	0				0
5. Other costs, services									
5.1 Publications				0					0
5.2 Studies, research				0					0
5.3 Auditing costs				0					0
5.4 Evaluation costs				0					0
5.5 Translation, interpreters				0					0
5.6 Financial services (bank guarantee costs etc.)				0					0
5.7 Costs of conferences/seminars				0					0
5.8 Visibility actions				0					0
Subtotal Other costs, services				0	0				0
Expenditures	Unit	# Units	Unit cost (in EUR)	Costs (in EUR)	Costs (in EUR)	Unit	# Units	Unit cost (in EUR)	Costs (in EUR)
6. Other				0					0
Subtotal Other				0	0				0
7. Subtotal direct eligible costs of the Action (1-6)				0	0				0
8. Provision for contingency reserve (maximum 5% of 7, subtotal direct eligible costs of the Action									
9. Total direct eligible costs of the Action (7+ 8)				0	0				0
10. Administrative costs (maximum 7% of 9, total direct eligible costs of the Action)									
11. Total eligible costs (9+10)				0	0				0

Interim financial report:
period (dd/mm/yyyy-dd/mm/yyyy)

Contract n°
Implementation period of the contract (dd/mm/yyyy-dd/mm/yyyy)

Expenditures	Budget as per contract/rider				Reallocation and use of contingencies		Expenditures incurred							
							Per currency Name of currency n°1 Exchange rate pof the period (dd/mm/yyyy-dd/mm/yyyy):				Total for the period in EUR		Cumulated costs (before current report) (in EUR)	Cumulated costs (from start of implementation to present report included) (in EUR)
	Unit	# Units (a)	Unit cost (in EUR) (b)	Costs (in EUR) (a)*(b)	allowed reallocation	use of contingencies	# Units (d_1)	Unit cost (in currency n°1) (e_1)	Total cost (in currency n°1) (f1)=(d1)*(e1)	Fx-rate$_1$ Total cost (in EUR) (g_1)= (f_1)*(Fx-rate$_1$)	Units total # for all currencies Sum ($d_{1\to}d_n$)	Total cost of the period (in EUR) (h)= Sum ($g_{1\to}g_n$)	(i)	(h)+(i)
1. Human Resources														
1.1 Salaries (gross amounts, local staff)														
1.1.1 Technical	Per month													
1.1.2 Administrative/ support staff	Per month													
1.2 Salaries (gross amounts, expat/int. staff)	Per month													
1.3 Per diems for missions/travel														
1.3.1 Abroad (staff assigned to the Action)	Per diem													
1.3.2 Local (staff assigned to the Action)	Per diem													
1.3.3 Seminar/conference participants	Per diem													
Subtotal Human Resources														
2. Travel														
2.1. International travel	Per flight													
2.2 Local transportation	Per month													
Subtotal Travel														
3. Equipment and supplies														
3.1 Purchase or rent of vehicles	Per vehicle													
3.2 Furniture, computer equipment														
3.3 Machines, tools...														
3.4 Spare parts/equipment for machines, tools														
3.5 Other (please specify)														
Subtotal Equipment and supplies														
4. Local office														
4.1 Vehicle costs	Per month													
4.2 Office rent	Per month													
4.3 Consumables - office supplies	Per month													
4.4 Other services (tel/fax, electricity/heating, maintenance)	Per month													
Subtotal Local office														
5. Other costs, services														
5.1 Publications														
5.2 Studies, research														
5.3 Auditing costs														
5.4 Evaluation costs														
5.5 Translation, interpreters														
5.6 Financial services (bank guarantee costs etc.)														
5.7 Costs of conferences/seminars														
5.8 Visibility actions														
Subtotal Other costs, services														
6. Other														
Subtotal Other														
7. Subtotal direct eligible costs of the Action (1-6)														
8. Provision for contingency reserve (maximum 5% of 7, subtotal of direct eligible costs of the Action)														
9. Total direct eligible costs of the Action (7+8)														
10. Administrative costs (maximum 7% of 9, total direct eligible costs of the Action)														
11. Total eligible costs (9+10)														

Bank interests yielded during the period:	Per currency		Total for the period in EUR	Cumulated costs (before current report) (in EUR)	
	Amount in currency n°1	Amount in EUR			

Expected sources of funding

							Amount EUR	Percentage of total %
Applicant's financial contribution								
(to be inserted if allowed by the guidelines: in kind contribution)								
Commission/EDF contribution sought in this application								
Contribution(s) from other European Institutions or EU Member States								
Name	*Conditions*							
Contributions from other organisations:								
Name	*Conditions*							
TOTAL CONTRIBUTIONS								
Direct revenue from the Action								
Interests from prefinancing								
OVERALL TOTAL								

Final financial report:
period (dd/mm/yyyy-dd/mm/yyyy)

Contract n°
Implementation period of the contract (dd/mm/yyyy-dd/mm/yyyy)

Dépenses	Budget as per contract/rider				Reallocation and use of contingencies		Expenditures incurred								Variations in comparison with initial budget/rider		
							Per currency Name of currency n°1 Exchange rate pof the period (dd/mm/yyyy-dd/mm/yyyy):			Fx-rate, Total cost (in EUR)	Total for the period in EUR		Cumulated costs (before current report) (in EUR)	Cumulated costs (from start of implementation to present report included) (in EUR)			
	Unit	# Units	Unit cost (in EUR)	Costs (in EUR)	allowed reallocation	use of contingencies	# Units	Unit cost (in currency n°1)	Total cost (in currency n°1)		Units total # for all currencies	Total cost of the period (in EUR)			In absolute value in EUR	In %	Explanation for all variations
		(a)	(b)	(a)*(b)			(d_1)	(e_1)	(f1)=(d1)*(e1)	(g_1)= (f_1)*(Fx-rate$_1$)	Sum (d_1..d_n)	(h)= Sum (g_1..g_n)	(i)	(h)+(i)			
1. Human Resources																	
1.1 Salaries (gross amounts, local staff)																	
1.1.1 Technical	Per month																
1.1.2 Administrative/ support staff	Per month																
1.2 Salaries (gross amounts, expat/int. staff)	Per month																
1.3 Per diems for missions/travel																	
1.3.1 Abroad (staff assigned to the Action)	Per diem																
1.3.2 Local (staff assigned to the Action)	Per diem																
1.3.3 Seminar/conference participants	Per diem																
Subtotal Human Resources																	
2. Travel																	
2.1. International travel	Per flight																
2.2 Local transportation	Per month																
Subtotal Travel																	
3. Equipment and supplies																	
3.1 Purchase or rent of vehicles	Per vehicle																
3.2 Furniture, computer equipment																	
3.3 Machines, tools...																	
3.4 Spare parts/equipment for machines, tools																	
3.5 Other (please specify)																	
Subtotal Equipment and supplies																	
4. Local office																	
4.1 Vehicle costs	Per month																
4.2 Office rent	Per month																
4.3 Consumables - office supplies	Per month																
4.4 Other services (tel/fax, electricity/heating, maintenance)	Per month																
Subtotal Local office																	
5. Other costs, services																	
5.1 Publications																	
5.2 Studies, research																	
5.3 Auditing costs																	
5.4 Evaluation costs																	
5.5 Translation, interpreters																	
5.6 Financial services (bank guarantee costs etc.)																	
5.7 Costs of conferences/seminars																	
5.8 Visibility actions																	
Subtotal Other costs, services																	
6. Other																	
Subtotal Other																	
7. Subtotal direct eligible costs of the Action (1-6)																	
8. Provision for contingency reserve (maximum 5% of 7, subtotal of direct eligible costs of the Action)																	
9. Total direct eligible costs of the Action (7+ 8)																	
10. Administrative costs (maximum 7% of 9, total direct eligible costs of the Action)																	

ANNEX VI
FINAL NARRATIVE REPORT

- This report must be completed and signed by the Contact person
- The information provided below must correspond to the financial information that appears in the financial report.
- Please complete the report using a typewriter or computer (***you can find this form at the following address <Specify>).***
- Please expand the paragraphs as necessary.
- ***Please refer to the Special Conditions of your grant contract and send one copy of the report to each address mentioned***
- The Contracting Authority will reject any incomplete or badly completed reports.
- Unless otherwise specified, the answer to all questions must cover the reporting period as specified in point 1.6
- Please do not forget to attach to this report the proof of the transfers of ownership referred to in Article 7.3 of the General conditions.

1. Description

1.1. Name of beneficiary of grant contract:

1.2. Name and title of the Contact person:

1.3. Name of partners in the Action:

1.4. Title of the Action:

1.5. Contract number:

1.6. Start date and end date of the reporting period[1]:

1.7. Target country(ies) or region(s):

1.8. Final beneficiaries &/or target groups[2] (if different) (including numbers of women and men):

1 The entire implementation period of the Action

2 "Target groups" are the groups/entities who will be directly positively affected by the project at the Project Purpose level, and "final beneficiaries" are those who will benefit from the project in the long term at the level of the society or sector at large.

1.9. Country(ies) in which the activities take place (if different from 1.7):

2. Assessment of implementation of Action activities

2.1. Activities and results

Please list all the activities in line with Annex 1 of the contract since the last interim report if any or during the reporting period

Activity 1:

Title of the activity: Conference at town W with X participants for Y days on Z dates

Topics/activities covered <please elaborate>:

Reason for modification for the planned activity <please elaborate on the problems - including delay, cancellation, postponement of activities- which have arisen and how they have been addressed> (if applicable):

Results of this activity <please quantify these results, where possible; refer to the various assumptions of the Logframe>:

2.2. What is your assessment of the results of the Action? Include observations on the extent to which foreseen specific objective and overall objectives were met and whether the Action has had any unforeseen positive or negative results. (please quantify where possible; refer to Logframe Indicators).

2.3. What has been the outcome on both the final beneficiaries &/or target group (if different) and the situation in the target country or target region which the Action addressed?

2.4. Please list all publications (and no. of copies) produced during the Action on whatever format, amongst others containing new approaches, innovative ways of communicating... (please enclose a copy of each item, except if you have already done so in the past).

Please state how your publications are being distributed and to whom.

2.5. Please list all contracts (works, supplies, services) above 5000€ awarded for the implementation of the action since the last interim report if any or during the reporting period, giving for each contract the amount, the award procedure followed and the name of the contractor.

2.6. Describe if the Action will continue after the support from the European Community has ended. Are there any follow up activities envisaged? What will ensure the sustainability of the Action?

2.7. Has the Action promoted gender equality, disabilities….? If yes, please explain[3]

2.8. How and by whom have the activities been monitored/evaluated? Please summarise the results of the feedback received, including from the beneficiaries.

2.9. What has your organisation/partner learned from the Action and how has this learning been utilised and disseminated?

3. Partners and other Co-operation

3.1. How do you assess the relationship between the formal partners of this Action (i.e. those partners which have signed a partnership statement)? Please specify for each partner organisation

3.2. Is the partnership to continue? If so, how? If not, why?

3.3. How would you assess the relationship between your organisation and State authorities in the Action countries? How has this relationship affected the Action?

3.4. Where applicable, describe your relationship with any other organisations involved in implementing the Action:

- Associate(s) (if any)
- Sub-contractor(s) (if any)
- Final Beneficiaries and Target groups
- Other third parties involved.

3.5. Where applicable, outline any links you have developed with other actions

3.6. If your organisation has received previous EC grants in view of strengthening the same target group, in how far has this Action been able to build upon/complement the previous one(s)? (List all previous relevant EC grants).

3.7. How do you evaluate co-operation with the services of the Contracting Authority?

[3] To refer to EC Guidelines on gender equality, disabilities…

4. Visibility

How is the visibility of the EU contribution being ensured in the Action?

The European Commission may wish to publicise the results of Actions. Do you have any objection to this report being published on EuropeAid Co-operation Office website? If so, please state your objections here.

Name of the contact person for the Action: ....

Signature: ....Location: ....

Date report due: ....Date report sent: ....

ANNEX VII
Expenditure Verification

Table of Contents

***Point 1* should be completed by the Beneficiary and be agreed with the Auditor**

***Point 2* should be provided by the Auditor**

1. Terms of Reference for an Expenditure Verification of a European Community financed Grant Contract for External Actions

The following are the terms of reference ('ToR') on which *<name of the Beneficiary>* 'the Beneficiary' agrees to engage *< name of the audit firm>* 'the Auditor' to perform an expenditure verification and to report in connection with a European Community financed grant contract for external actions concerning *< title and number of the grant contract>* (the 'Grant Contract'). Where in these ToR the 'Contracting Authority' is mentioned this refers to *<the European Commission or name of another contracting authority>* which has signed the Grant Contract with the Beneficiary and is providing the grant funding. The Contracting Authority is not a party to this engagement.

1.1 Responsibilities of the Parties to the Engagement

'The Beneficiary' refers to the organisation that is receiving the grant funding and that has signed the Grant Contract with the Contracting Authority.

- The Beneficiary is responsible for providing a Financial Report for the Action financed by the Grant Contract and for ensuring that this Financial Report can be properly reconciled to the Beneficiary's accounting and bookkeeping system and to the underlying accounts and records.

- The Beneficiary accepts that the ability of the Auditor to perform the procedures required by this engagement effectively depends upon the Beneficiary, and as the case may be his partners, providing full and free access to the Beneficiary's staff and its accounting and other relevant records.

'The Auditor' refers to the Auditor who is responsible for performing the agreed-upon procedures as specified in these ToR, and for submitting a report of factual findings to the Beneficiary.

- [*Option 1: delete if not applicable*] The Auditor is a member of *<specify the name of the national accounting or auditing body or institution of which the Auditor is a member>* which in turn is a member of the International Federation of Accountants (IFAC).

- [*Option 2: delete if not applicable*] The Auditor is a member of *<specify the name of the national accounting or auditing body or institution of which the auditor is a member>*. Although this organisation is not member of the IFAC, the Auditor commits himself to undertake this engagement in accordance with applicable IFAC standards and ethics.

1.2 Subject of the Engagement

The subject of this engagement is the *<interim or final; delete what is not applicable>* Financial Report in connection with the Grant Contract for the period covering *<dd Month yyyy to dd Month yyyy>*. The information, both financial and non-financial, which is subject to verification by the Auditor, is all information which makes it possible to verify that the expenditure claimed by the Beneficiary in the Financial Report has occurred, and is accurate and eligible. Annex 1 to these ToR contains an overview of key information about the Grant Contract and the action concerned.

1.3 Reason for the Engagement

The Beneficiary is required to submit to the Contracting Authority an expenditure verification report produced by an external auditor in support of the payment requested by the Beneficiary under Article 15 of the General Conditions of the Grant Contract. The Authorising Officer of the Commission requires this report as he makes the payment of expenditure requested by the Beneficiary conditional on the factual findings of this report.

1.4 Engagement Type and Objective

This constitutes an engagement to perform specific agreed-upon procedures regarding an expenditure verification of a European Community financed grant contract for external actions. The objective of this expenditure verification is for the Auditor to verify that the expenditure claimed by the Beneficiary in the Financial Report for the action financed by the Grant Contract has occurred ('reality'), is accurate ('exact') and eligible and to submit to the Beneficiary a report of factual findings with regard to the agreed-upon procedures performed . Eligibility means that the funds provided by the grant have been spent in accordance with the terms and conditions of the Grant Contract.

As this engagement is not an assurance engagement the Auditor does not provide an audit opinion and expresses no assurance. The Contracting Authority derives its assurance by drawing its own conclusions from the factual findings reported by the Auditor on the Financial Report and the payment request of the Beneficiary relating thereto.

1.5 Scope of Work

1.5.1 The Auditor shall undertake this engagement in accordance with these ToR and:

- in accordance with the International Standard on Related Services ('ISRS') 4400 *Engagements to perform Agreed-upon Procedures regarding Financial Information* as promulgated by the IFAC;

- in compliance with the *Code of Ethics for Professional Accountants* issued by the IFAC. Although ISRS 4400 provides that independence is not a requirement for agreed-upon procedures engagements, the Contracting Authority requires that the auditor also complies with the independence requirements of the *Code of Ethics for Professional Accountants.*

1.5.2 The Terms and Conditions of the Grant Contract

The Auditor verifies that the funds provided by the grant were spent in accordance with the terms and conditions of the Grant Contract as required under Article 1.2 of the Special Conditions of the Grant Contract.

1.5.3 Planning, procedures, documentation and evidence

The Auditor should plan the work so that effective expenditure verification can be performed. For this purpose he performs the procedures specified in Annex 2 of these ToR ('Scope of Work – Procedures to be performed') and he uses the evidence obtained from these procedures as the basis for the report of factual findings. The Auditor should document matters which are important in providing evidence to support the report of factual findings, and evidence that the work was carried out in accordance with ISRS 4400 and these ToR.

1.6 Reporting

The report on this expenditure verification should describe the purpose and the agreed-upon procedures of the engagement in sufficient detail in order to enable the Beneficiary and the Contracting Authority to understand the nature and extent of the procedures performed by the Auditor. Use of the reporting format attached as Annex VII of the General Conditions is compulsory.

1.7 Other Terms

[*The Beneficiary and the Auditor can use this section to agree other specific terms such as Auditor's fees, out of pocket expenses and liability provisions*]

Annex 1: Information about the Subject of the Expenditure Verification

[The table below should be completed by the Beneficiary and be attached as Annex 1 to the terms of reference for use by the Auditor.]

Information about the Subject of the Expenditure Verification	
Reference number and date of the Grant Contract	< Contracting Authority's reference of the Grant Contract>
Grant contract title	
Country	
Beneficiary	< full name and address of the Beneficiary as per the Grant Contract>
Budget line Grant Contract	< Contracting Authority reference of the budget line and Commission reference where the Contracting Authority is not the Commission >
Legal basis for the Grant Contract	
Start date of the Action	
End date of the Action	
Total cost of the Action	<amount in Art. 3.1 of the Special Conditions of the Grant Contract>
Grant maximum amount	<amount in Art. 3.2 of the Special Conditions of the Grant Contract>
Total amount received to date by the Beneficiary from Contracting Authority	< Total amount received as per dd.mm.yyyy>
Total amount of the payment request	< provide the total amount requested for payment as per Annex V of the General Conditions for Grant Contracts (Request for payment for a grant contract European Community external actions) >
Contracting Authority	[Provide the name, position/title, phone and E-mail of the contact person at the Contracting Authority. *Only to be completed if the Contracting Authority is not the Commission.*]
European Commission	< provide the name, position/title, phone and E-mail of the contact person in the Delegation of the Commission in the country concerned, or if applicable at Headquarters>
Auditor	< Name and address of the audit firm and names/positions of the auditors>

Annex 2: Scope of Work – Procedures to be performed

The Auditor designs and carries out his verification work programme in accordance with the objective and scope of this engagement and the procedures to be performed as specified below. When performing these procedures the Auditor may apply techniques such as inquiry and analysis, (re)computation, comparison, other clerical accuracy checks, observation, inspection of records and documents, inspection of assets and obtaining confirmations.

The Auditor obtains sufficient appropriate verification evidence from these procedures to be able to draw up a report of factual findings. For this purpose the Auditor can refer to the guidance provided by International Standard on Auditing 500 "Audit Evidence" and in particular by the paragraphs relating to 'sufficient appropriate audit evidence'. The Auditor exercises professional judgment as to what is sufficient appropriate verification evidence where he believes that the guidance provided by ISA 500, the terms and conditions of the Grant Contract and the ToR for this engagement are not sufficient.

The General Conditions of the Grant Contract ('General Conditions') and notably Article 16.3 thereof provide an indicative list of the types and nature of evidence that the Auditor may often find in expenditure verifications. This may vary depending on the nature of the expenditure and the practices in the country concerned.

1 Obtaining a sufficient Understanding of the Action and of the Terms and Conditions of the Grant Contract

The Auditor obtains a sufficient understanding of the terms and conditions of the Grant Contract by reviewing the Grant Contract and its annexes and other relevant information, and by inquiry of the Beneficiary. The Auditor ensures that he obtains a copy of the original Grant Contract (signed by the Beneficiary and the Contracting Authority) with its annexes. The Auditor obtains and reviews copies of the < interim/final> Narrative Report (Annex VI of the Grant Contract).

The Auditor pays particular attention to Annex I of the Grant Contract, which contains the Description of the Action, Annex II (General Conditions) and Annex IV, which provides rules for procurement (including nationality and origin rules) by grant beneficiaries in the context of EC external actions. Failure to comply with these rules makes expenditure ineligible for Community financing. These procurement rules apply to all grant contracts but depending on the legal basis for the grant contract (for example TACIS, ALA and Food Aid) nationality and origin rules may vary. The Auditor should ensure with the Beneficiary that the applicable nationality and origin rules are identified and understood. Applicable rules of nationality and origin are set out, for each legal basis, in Annex A2 to the Practical Guide[1] to contract procedures for external actions of the European Communities. If the Auditor finds that the terms and conditions to be verified are not sufficiently clear he should request clarification from the Beneficiary.

2 Procedures to verify the Eligibility of Expenditure Claimed by the Beneficiary in the Financial Report for the Action

2.1 General Procedures

2.1.1 The Auditor verifies that the Financial Report complies with the conditions of the Grant Contract notably with Article 2 of the General Conditions (including format and language).

2.1.2 The Auditor examines whether the Beneficiary has complied with the rules for accounting and record keeping of the Grant Contract notably with Article 16 of the General Conditions. The purpose of this is:

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[1] See http://europa.eu.int/comm/europeaid/tender/gestion/index_en.htm

- To assess whether an efficient and effective expenditure verification of the Financial Report is feasible; and

- To report important exceptions and weaknesses with regard to accounting, record keeping and documentation requirements so that the Beneficiary can undertake follow-up measures for correction and improvement for the remaining implementation period of the Action.

2.1.3 The Auditor reconciles the information in the Financial Report to the Beneficiary's accounting system and records (e.g. trial balance, general ledger accounts, sub ledgers etc.).

2.1.4 The Auditor verifies that the correct exchange rates have been applied for currency conversions where applicable and in accordance with the conditions of the Grant Contract notably Article 15.9 of the General Conditions.

2.2 Conformity of Expenditure with the Budget and Analytical Review

The Auditor carries out an analytical review of the expenditure headings in the Financial Report and:

- verifies that the budget in the Financial Report corresponds with the Budget of the Grant Contract (authenticity and authorisation of the initial Budget) and that the expenditure incurred was foreseen in the budget of the Grant Contract.

- verifies that the total amount claimed for payment by the Beneficiary does not exceed the maximum grant laid down in Article 3.2 of the Special Conditions of the Grant Contract.

- verifies that any amendments to the Budget of the Grant Contract comply with the conditions for such amendments (including where applicable the requirement for an addendum to the Grant Contract) as set out in Article 9 of the General Conditions.

- verifies that the conditions for profit in Article 17.3 of the General Conditions were respected.

2.3 Selecting Expenditure for Verification

2.3.1 Expenditure Headings, Subheadings and Items

The expenditure claimed by the Beneficiary in the Financial Report is presented under the following expenditure headings: *1 Human Resources, 2 Travel, 3 Equipment and Supplies, 4 Local office, 5 Other costs, services, 6 Other, 8 Administrative costs and 10 Contingencies.* Expenditure headings can be broken down into expenditure subheadings such as for example *1.1 Salaries.*

Expenditure subheadings can in principle be broken down into individual expenditure items or classes of expenditure items with the same or similar characteristics. The form and nature of the supporting evidence (e.g. a payment, a contract, an invoice etc) and the way expenditure is recorded (i.e. journal entries) vary with the type and nature of the expenditure and the underlying actions or transactions. However, in all cases expenditure items reflect the accounting (or financial) value of underlying actions or transactions no matter the type and nature of the action or transaction concerned.

2.3.2 Selecting Expenditure Items

Value should be the primary factor used by the Auditor to select expenditure items or classes of expenditure items for verification. The Auditor selects high value expenditure items to ensure an appropriate coverage of expenditure.

Moreover, the Auditor uses his judgment to select specific expenditure items or classes of expenditure items. The Auditor may use factors such as his knowledge of the action and the characteristics of the expenditure categories, classes and items being verified such as for example expenditure items that are unusual or inherently risky or error prone.

2.4 Verification of Expenditure

The Auditor verifies the expenditure and reports all the exceptions resulting from this verification. Verification exceptions are all verification deviations found when performing the procedures set out in this Annex. In all cases the Auditor assesses the (estimated) financial impact of exceptions in terms of ineligible expenditure. For example: if the Auditor finds an exception with regard to procurement rules he assesses to which extent this exception has led to ineligible expenditure. The Auditor reports all exceptions found including the ones of which he cannot measure the financial impact. Having selected the expenditure items the Auditor verifies them by testing for the criteria set out below.

2.4.1 Eligibility of Direct Costs

The Auditor verifies the eligibility of direct costs with the terms and conditions of the Grant Contract notably Article 14 of the General Conditions. He verifies that these costs:

- are necessary for carrying out the action. In other words the Auditor verifies that expenditure for a transaction or action has been incurred for the intended purpose of the action and that is has been necessary for the activities and objectives of the action. The Auditor further verifies that the direct costs are provided for in the Grant Contract Budget and comply with the principles of sound financial management, in particular value for money and cost effectiveness;

- have actually been incurred by the Beneficiary or his partners during the implementation period of the Action as defined in Article 14.1 of the General Conditions;

- are recorded in the accounts of the Beneficiary and are identifiable, verifiable and substantiated by originals of supporting evidence.

The Auditor also considers non-eligible costs as described in Article 14.6 of the General Conditions. In this respect the Auditor verifies in particular whether expenditure includes certain taxes, including VAT. If this is the case the Auditor verifies whether the Beneficiary (or, where applicable the partners) cannot reclaim these taxes and whether the applicable regulations, rules and practices in the country concerned allow the coverage of these taxes in the expenditure.

2.4.2 Accuracy and Recording

The Auditor verifies that expenditure for a transaction or action has been accurately and properly recorded in the Beneficiary's accounting system and the Financial Report and that it is supported by appropriate evidence and supporting documents. This includes proper valuation and the use of correct exchange rates.

2.4.3 Classification

The Auditor verifies that expenditure for a transaction or action has been classified under the correct heading and subheading of the Financial Report.

2.4.4 Reality (occurrence / existence)

The Auditor exercises professional judgment to obtain sufficient appropriate verification evidence as to whether the expenditure has occurred (reality and quality of the expenditure) and - where applicable - assets exist. The Auditor verifies the reality and quality of the expenditure for a transaction or action by examining proof of work done, goods received or services rendered on a timely basis, at acceptable and agreed quality and at reasonable prices or costs.

2.4.5 Compliance with Procurement, Nationality and Origin Rules

The Auditor examines which procurement, nationality and origin rules apply for a certain expenditure heading, subheading, a class of expenditure items or an expenditure item. The Auditor verifies whether the Beneficiary has complied with such rules and whether the expenditure concerned is eligible. Where the Auditor finds issues of non-compliance with procurement rules, he reports the nature of such events as well as their financial impact in terms of ineligible expenditure.

2.4.6 Administrative (indirect) costs

The Auditor verifies that the administrative (indirect) costs (heading 8 of the Financial Report) do not exceed a maximum of 7% of the total <u>direct</u> eligible costs of the action (Article 14.3 of the General Conditions).

2.4.7 Contingencies

The Auditor verifies that contingencies (heading 10 of the Financial Report) do not exceed 5% of the total eligible costs (direct and indirect) of the Action (Article 14.4 of the General Conditions).

2.5 Verification Coverage of Expenditure

The Auditor applies the principles and criteria set out below when planning and performing the procedures for expenditure verification of Sections 2.3 and 2.4 above. This allows the Auditor to rationalise his verification work.

Verification by the Auditor and verification coverage of expenditure items does not necessarily mean a complete and exhaustive verification of <u>all</u> the expenditure items that are included in a specific expenditure heading or subheading. The Auditor should ensure a systematic and representative verification but depending on certain conditions (see further below) the Auditor may obtain satisfactory verification results for an expenditure heading or subheading by looking at a limited number of selected expenditure items.

The Auditor may apply statistical sampling techniques for the verification of one or more expenditure headings or subheadings of the Financial Report. For this purpose the Auditor examines whether the 'populations' (i.e. expenditure subheading or classes of expenditure items within an expenditure subheading) are suitable and sufficiently large (i.e. they should be made up of a large amount of items) for effective statistical sampling. This enables the Auditor to obtain and evaluate verification evidence to form a conclusion on the total of the population from which the sample is drawn. The Auditor may refer to IFAC International Standard on Auditing 530 'Audit sampling and other selective testing procedures' for guidance.

2.5.1 Expenditure Coverage Ratio ('ECR')

The Expenditure Coverage Ratio ('ECR') represents the total amount of expenditure verified by the Auditor expressed as a percentage of the total amount of expenditure reported by the Beneficiary in the Financial Report and claimed by the Beneficiary for deduction from the total sum of pre-financing under the Grant Contract. This amount is reported in Annex V of the Grant Contract. The Auditor ensures that the overall ECR is at least **65%**. The Auditor selects expenditure items (see Section 2.3.2). If he finds an exception rate of less than 10% of the total amount of expenditure verified (i.e. 6,5 %) the Auditor finalises verification procedures and continues with reporting. If the exception rate found is higher than 10% the Auditor extends verification procedures until the ECR is at least **85%.** The Auditor then finalises verification procedures and continues with reporting regardless of the total exception rate found.

The Auditor ensures that the **ECR for each expenditure heading <u>and</u> subheading** in the Financial Report is at least **10%**.

2.6 Verification of Revenues of the Action

The Auditor verifies that revenues (including inter alia grants and funding received from other donors and revenue generated by the Beneficiary in the context of the action) have been appropriately allocated to the action subject of the Grant Contract and correctly disclosed in the Financial Report. As this engagement is not an audit the Auditor is not requested to assess the completeness of revenues.

2. Report of Factual Findings for an Expenditure Verification of an EC financed Grant Contract for External Actions

To be printed on letterhead paper of the Auditor

<Name of contact person(s)>, *< Position>*
*< **Beneficiary's name**>*
<Address>

<dd Month yyyy>

Dear *<Name of contact person(s)>*

In accordance with our contract dated *<dd Month yyyy>* with *<name of the Beneficiary>* "the Beneficiary" and the terms of reference attached thereto (Annex 1 of this report), we provide our Report of Factual Findings ("the Report"), with respect to the accompanying Financial Report you provided for the period covering *<dd Month yyyy - dd Month yyyy>* (Annex 2 of the Report). You requested certain procedures to be carried out in connection with the Grant Contract concerning [*title and number of the contract*], the 'Grant Contract'. The Report consists of this letter and the Report details set out in Chapters 1 and 2.

Objective

Our engagement was an engagement to perform agreed-upon procedures regarding the expenditure verification of the grant contract between you and *< the European Commission or the name of another contracting authority>* the 'Contracting Authority'. It involved performing certain specified procedures, the results of which the Contracting Authority uses to draw conclusions from the procedures performed by us.

The objective of this expenditure verification is for the Auditor to verify that the expenditure claimed by the Beneficiary in the Financial Report for the action financed by the Grant Contract has occurred ('reality'), is accurate ('exact') and eligible and to submit to the Beneficiary the Report with regard to the agreed-upon procedures performed . Eligibility means that the funds provided by the grant were spent in accordance with the terms and conditions of the Grant Contract.

Scope of Work

Our engagement was undertaken in accordance with:

- the terms of reference in Annex 1 to this Report and:

- International Standard on Related Services ('ISRS') 4400 *Engagements to perform Agreed-upon Procedures regarding Financial Information* as promulgated by the International Federation of Accountants ('IFAC);

- the *Code of Ethics for Professional Accountants* issued by the IFAC. Although ISRS 4400 provides that independence is not a requirement for agreed-upon procedures engagements, the Contracting Authority requires that the auditor also complies with the independence requirements of the *Code of Ethics for Professional Accountants;*

As requested, we have only performed the procedures set out in the terms of reference for this engagement and we have reported our factual findings on those procedures in Chapter 3 of this Report.

The scope of these agreed upon procedures has been determined solely by the Contracting Authority and the procedures were performed solely to assist the Contracting Authority in evaluating whether the expenditure claimed by the Beneficiary in the accompanying Financial Report has occurred ('reality'), is accurate ('exact') and eligible.

Because the procedures performed by us did not constitute either an audit or a review made in accordance with International Standards on Auditing or International Standards on Review Engagements, we do not express any assurance on the accompanying Financial Report.

Had we performed additional procedures or had we performed an audit or review of the financial statements of the Beneficiary in accordance with International Standards on Auditing, other matters might have come to our attention that would have been reported to you.

Sources of Information

The Report sets out information provided to us by the management of the Beneficiary in response to specific questions or as obtained and extracted from the Beneficiary's information and accounting systems. In addition we received verbal representations from the Beneficiary's management which we did not obtain in writing [delete if received in written form.]

Factual Findings

The total expenditure which is the subject of this expenditure verification amounts to <xxxxxx> €.

The Expenditure Coverage Ratio is <xx%>. This ratio represents the total amount of expenditure verified by us expressed as a percentage of the total expenditure which has been subject of this expenditure verification. The latter amount is equal to the total amount of expenditure reported by the Beneficiary in the Financial Report (Annex 2) and claimed by the Beneficiary for deduction from the total sum of prefinancing under the Grant Contract as per the beneficiary's Request for Payment of <dd Month yyyy>.

Based on the agreed-upon procedures that we performed we found that expenditure amounting to <xxxx> € is not eligible. The details of our factual findings including a summary table of the expenditure that is not eligible are presented in Chapter 2 of this Report.

Use of this Report

This Report is solely for the purpose set forth in the above objective.

This report is prepared solely for the confidential use of the Beneficiary and the Contracting Authority and solely for the purpose of submission to the Contracting Authority in connection with the requirements as set out in Article 15 of the General Conditions of the Grant Contract. This report may not be relied upon by the Beneficiary or by the Contracting Authority for any other purpose, nor may it be distributed to any other parties. The Contracting Authority may only disclose this Report to others who have regulatory rights of access to it in particular the European Commission [*Delete if the Commission is the Contracting Authority*], the European Anti Fraud Office and the European Court of Auditors.

This Report relates only to the Financial Report specified above and does not extend to any financial statements of the Beneficiary.

We look forward to discussing our Report with you and would be pleased to provide any further information or assistance which may be required.

Yours sincerely

<dd Month yyyy>

<Name of the Auditor>

Report Details

Chapter 1 Information about the Grant Contract and the Action

[Chapter 1 should include a description of the Action concerned and the Grant Contract, the beneficiary/ implementing structure and key financial/budget information. The Auditor should also present here the table with 'Information about the subject of the Expenditure Verification' as attached by the Beneficiary to the ToR .The information in this table should be verified by the Auditor]

Chapter 2 Procedures Performed and Factual Findings

We have performed the procedures as agreed upon in the terms of reference for an expenditure verification of the Grant Contract concerning < *title and number of the action/contract*> (see Annex 1). The factual findings of these procedures are set out under the headings below.

[*Describe the results of procedures performed. Use supporting schedules as Appendices to the Report, if applicable.*]

[*Insert (if any):* Details of exceptions: ......]

1 Obtaining a sufficient Understanding of the Action and of the terms and conditions of the Grant Contract

2 Procedures to verify the Eligibility of Expenditure claimed by the Beneficiary in the Financial Report for the Action

2.1 General Procedures

2.2 Conformity of Expenditure with the Budget and Analytical Review

2.3 Selecting Expenditure for Verification

2.4 Verification of Expenditure
2.4.1 Eligibility of Direct Costs
2.4.2 Accuracy and recording
2.4.3. Classification
2.4.4 Reality (Occurrence / existence)
2.4.5 Compliance with procurement, nationality and origin rules
2.4.6 Administrative (indirect) costs
2.4.7 Contingencies

2.5 Verification Coverage of Expenditure
2.5.1 Expenditure Coverage Ratio ('ECR').
2.5.2 Sufficient spread of the ECR over expenditure categories.

2.6 Verification of Revenues of the Action

Annex 1 Terms of Reference

Annex 2 Financial Report as provided by the Beneficiary

Report Details

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