



# Erasmus +

## Key Action 2

## Capacity Building in the field of Higher Education

**Call for proposals 2017**

*Piia Heinämäki*

*Erasmus+ Info Day, Lviv 21.10.2016*

# OUTLINE

Capacity Building in the field of Higher Education  
General overview

Project consortium and Financing rules

Application process and Selection procedure

CBHE – Information sources

# PART I

## General Overview of the Action



## **Capacity-Building Projects are:**

- *transnational cooperation projects*
- *between **higher education institutions (HEIs)***
- *from **Programme and (eligible) Partner Countries,***
- *aiming at **modernizing the Partner Countries' higher education institutions and systems.***

# CBHE Programme and Partner Countries

## Programme Countries

(33 countries paying a contribution to E+)

### **EU Member States:**

Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, United Kingdom

### **Other programme countries:**

Iceland, Liechtenstein, Norway, former Yugoslav Republic of Macedonia, Turkey.

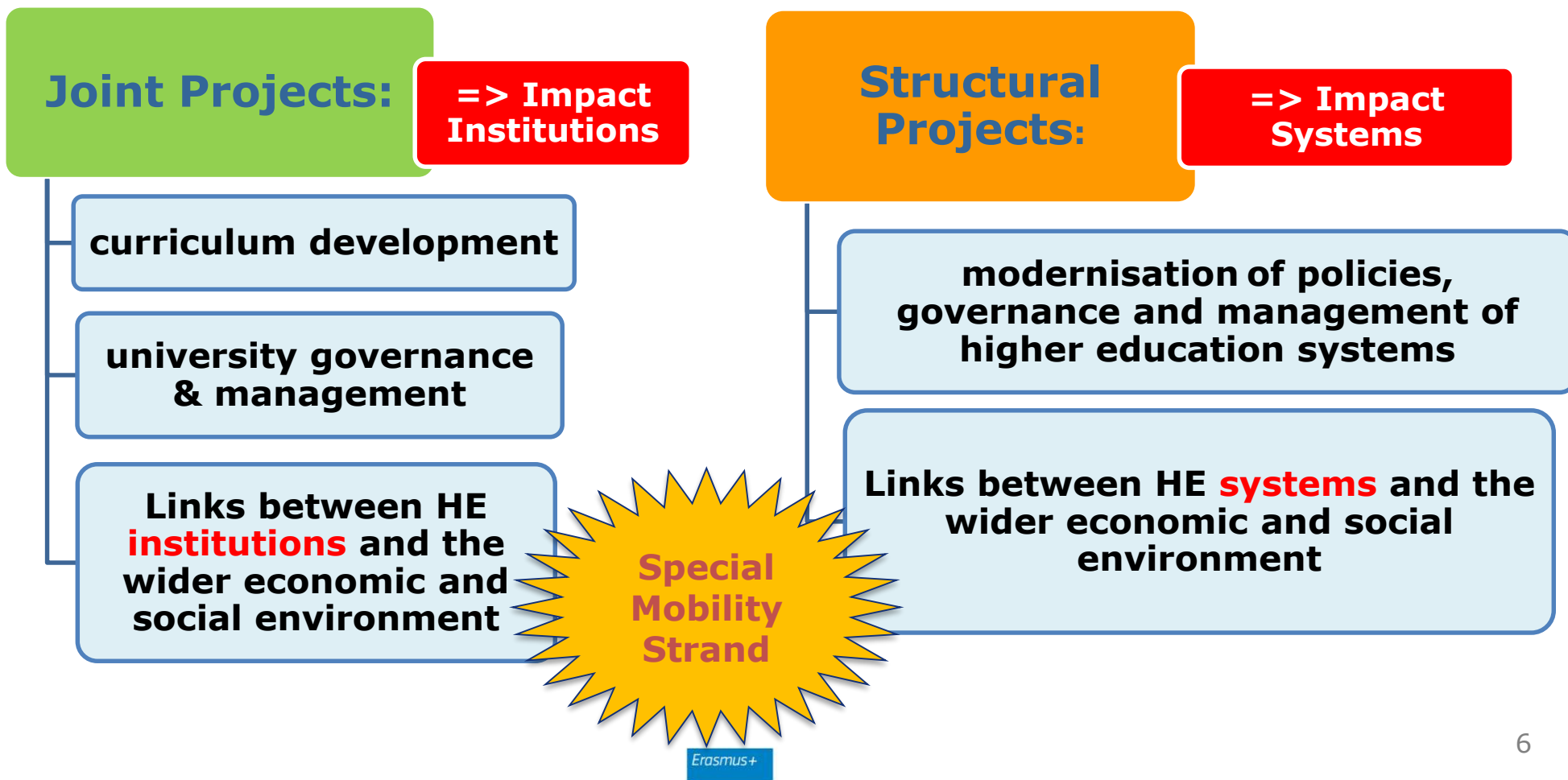
## CBHE Eligible Partner Countries (> 150 countries)

- Region 1: Western Balkans
- Region 2: Eastern Partnership
- Region 3: South-Mediterranean
- Region 4: Russian Federation
- Region 6: Asia
- Region 7: Central Asia
- Region 8: Latin America
- Region 9: Iran, Iraq, Yemen
- Region 10: South Africa
- Region 11: African, Caribbean and Pacific

**Ineligible Partner countries:**  
Regions 5, 12 and 13



# CBHE – Types of Projects



## Special Mobility Strand

**For students and staff** of HEIs involved in project consortia

### **Partner Countries eligible (ONLY):**

- Region 1: Western Balkans
- Region 2: **Eastern Partnership countries**
- Region 3: South-Mediterranean countries

### **Conditions:**

- Mobility should be **instrumental and integrated in projects objectives** (no mobility on its own)
- **Added value** and/or **innovative character** of the activities proposed (approx. 40% of the selected projects will receive additional funding)
- Comply with provisions of **Erasmus Charter for Higher Education**

## Special Mobility Strand activities

### Students:

- **Study periods** (3-12 months)/**traineeships** (2-12 months)
- covers **all cycles** (BA, MA, PhD)
- corresponds to study area/academic disciplines addressed by the project
- Students from HEIs of the consortia can study at partner HEI or do a traineeship in an enterprise or other workplace

### Staff:

- **Teaching & training periods** (5 days to 2 months)
- **teaching:** HEI teaching staff /staff from enterprises to teach at a partner HEI
- **training:** HEI teaching and non-teaching staff can attend (only staff from Partner Countries)
  - a) **structured courses/training events;**
  - b) **job shadowing/observation** periods/trainings



## Who can Participate? - Eligible Applicants

**Exceptions:  
Russia, Syria  
& Libya  
cannot  
coordinate  
projects**

**State-recognised public or private Higher Education Institutions**

**Associations/ Organizations of Higher Education Institutions**

**Only for Structural Projects: recognized national or international rector, teacher or student organisations.**



**Each applicant organisation must be located in a Programme or in a Partner country**

## Who can Participate ? - Eligible Partners

**State-recognised public or private HEIs**

**Any public or private organisation active in the labour market or in the fields of education, training and youth (e.g. enterprise, NGO etc.)**

**Associations or organisations of HEIs with main focus on HE**

**International governmental organisation (self-financing basis)**

**Each participating organisation must be located in a Programme or in an eligible Partner country**



## Who can participate? - Associated Partners



- **Contribute indirectly**
- “Associated partners” are **not considered as part of the consortium** and therefore **cannot benefit from any financial support** from the project
- Ex: non-academic partners providing placement opportunities

# Part II – The Consortia and the financing rules



# Consortia Structure

## National Projects

(1 Partner Country only +  
**min. 3** Programme Countries)

Min.1 HEI from each  
Programme Country

Min.3 HEI from the  
Partner Country

**At least** as many  
Partner Country HEIs  
as Programme Country  
HEIs

STRUCTURAL  
PROJECTS:  
Partner  
Country  
Ministries for  
HE must  
participate

## Multi-Country Projects

( $\geq 2$  Partner Countries +  
**min. 3** Programme Countries)

Min.1 HEI from each  
Programme Country

Min.2 HEI from **each**  
Partner Country

**At least** as many  
Partner Country HEIs as  
Programme Country HEIs

**Exceptions:**  
Russia,  
Latin  
America –  
only multi-  
country

# Priorities & Types of projects

National Priorities defined by the **Ministries of Education** in close consultation with the EU Delegations

Regional priorities defined by the **Commission** and based on EU's external policy priorities

## National Projects

National projects must address:

**National Priorities** set for Partner Country in Regions 1, 2, 3, 7, 10

**Regional Priorities** for the regions where no national priorities are established: Regions 4, 6, 8, 9, 11

## Multi-Country Projects

**Regional** priorities apply to multi-country projects in the same region

Combination of **regional + national** priorities **common** to all partner countries may also be accepted (in particular for cross-regional projects)



## How to calculate the budget -Categories

**Staff costs (max 40%)**

**4 Staff Categories** (Manager, Researcher/Teacher/Trainer, Technician, Administrator)

**Travel costs**

**Students/staff from partners** in countries involved in the project from their place of origin to the venue of the activity and return. Activities and related travels must be carried out at **project beneficiaries organisation.**

**Costs of stay**

Subsistence, accommodation, local and public transport, personal or optional health insurance.

**Equipment (max 30%)**

Purchased exclusively for the benefit of HEIs in the Partner Countries

**Sub-contracting (max 10%)**

Exceptional for services related to competences that can't be found in the consortia



## How to calculate the budget -Methods

### 5 Budget Categories

Staff - UC

Travel - UC

Cost of Stay - UC

Equipment - RC

Sub-contracting - RC

### 2 Allocation / Justification Methods

Real Costs (RC)

Unit Costs (UC)

**Other types of costs** are not considered for the calculation of the grant.

>>> Expected to be **covered by co-funding.**



## How to calculate the budget – Unit Costs

- A unit cost is a **fixed contribution** which is multiplied by the specific **number of units** to cover the costs linked to the implementation of a specific activity or task.
- **EU Grants** : 2 important principles.
  - Non profit
  - Co-funding
- **E+ Unit Cost amounts** are the result of a **statistical analysis** carried out on real project costs from previous generation of programmes (LLP, Erasmus Mundus, Jean Monnet, Tempus, etc.)
- **For CBHE**, simulation on Tempus projects -> "*statistically*" the combination of real and unit costs corresponded +/- to 90% of their total eligible costs.

## How to calculate the budget – Unit Costs

- **Real costs:** How did you **use** the grant ?
  - => **input** based
  - => Expenses incurred, supporting documents
- **Unit costs:** what did you **achieve** with the grant ?
  - => **output** based
  - => No need to prove the actual expenditure but you need to show the "triggering event" (i.e.: the fact the activity was indeed properly implemented (e.g. teaching, training))

## How to calculate the budget – Unit Cost

### Unit Costs

#### Grant Allocation

*Volume (/nature) of activities proposed in the application*

#### Grant Justification

(final report)

*Eligibility verification of the "triggering event"*

#### Use of the Grant

*internal decision of the partnership (in coherence with application)*

## How to calculate the budget - STAFF COSTS

Financing mechanism for staff costs (see Programme Guide page 158, 160 and page 161 Table A and B)	Amount	
<p><b>Unit costs</b></p> <p><b>Subdivided in 4 categories and country groups (4 groups for Programme and 4 groups for Partner Countries)</b></p>	per manager involved per day	<p><b>Max. 40% of the total grant</b></p>
	per researcher/ teacher/trainer involved per day	
	per technician involved per day	
	per administrative staff involved per day	

# How to calculate the budget - Travel/Cost of Stay

## Costs of Stay

## Travel Costs

for eligible activities please refer Programme Guide

DAYS	STAFF	STUDENTS
1-14	120€	55€
15-60	70€	-
15-90	-	40€
61 – 90	50€	n.a.

Distance Bands (one way)	Unit Cost (return trip)
100-499 km	180€
500-1999 km	275€
2000-2999 km	360€
3000-3999 km	530€
4000-7999 km	820€
8000 km and more	1.100€

## How to calculate the budget – Special Mobility Strand

**Max. 80% of the total EU grant awarded for the joint or structural project (excluding the mobility strand)**

(see Programme Guide page 162-165)

**Travel costs**

**Cost of Stay**



**Special  
Mobility  
Strand**

## How to calculate the budget STUDENTS - Cost of Stay

**Special  
Mobility  
Strand**

### Costs of Stay **€/Month**

#### Students from Programme Countries

Irrespective of hosting country
<b>650 €</b>

#### Students from Partner countries

Country group 1 hosting	Country group 2 hosting	Country group 3 + 4 hosting
<b>850 €</b>	<b>800 €</b>	<b>750 €</b>



## How to calculate the budget STAFF Costs of Stay

**Special  
Mobility  
Strand**

**Cost of Stay €/Day**  
**Staff from Partner Countries**

Days	Country group 1 hosting	Country group 2 hosting	Country group 3 hosting	Country group 4 hosting
1-14	160 €	140 €	120 €	100 €
15-60	112 €	98 €	84 €	70 €

**Cost of Stay €/Day**  
**Staff from Programme Countries**

Days	Irrespective of hosting country
1-14	160 €
15-60	112 €



# Partnership Agreement

- **Mandatory**
- **To be submitted to the Agency within 6 months of the signature of grant contract (Signed by the legal rep.)**
- **Joint** (one doc signed by all partners) **or Bilateral** (partner A + coordinating inst.)
- **Template** available to be adapted to specific needs of partnership
- **Comprehensive** : covering **all aspects** of the project:
  - The **partners role** and responsibilities;
  - **Financial Management;**
  - **Project Management;**
  - **Project Quality Assurance;**
  - **Student issues**
  - **Decision/Conflict** resolution mechanisms

# **Part III – The application and Selection procedure**



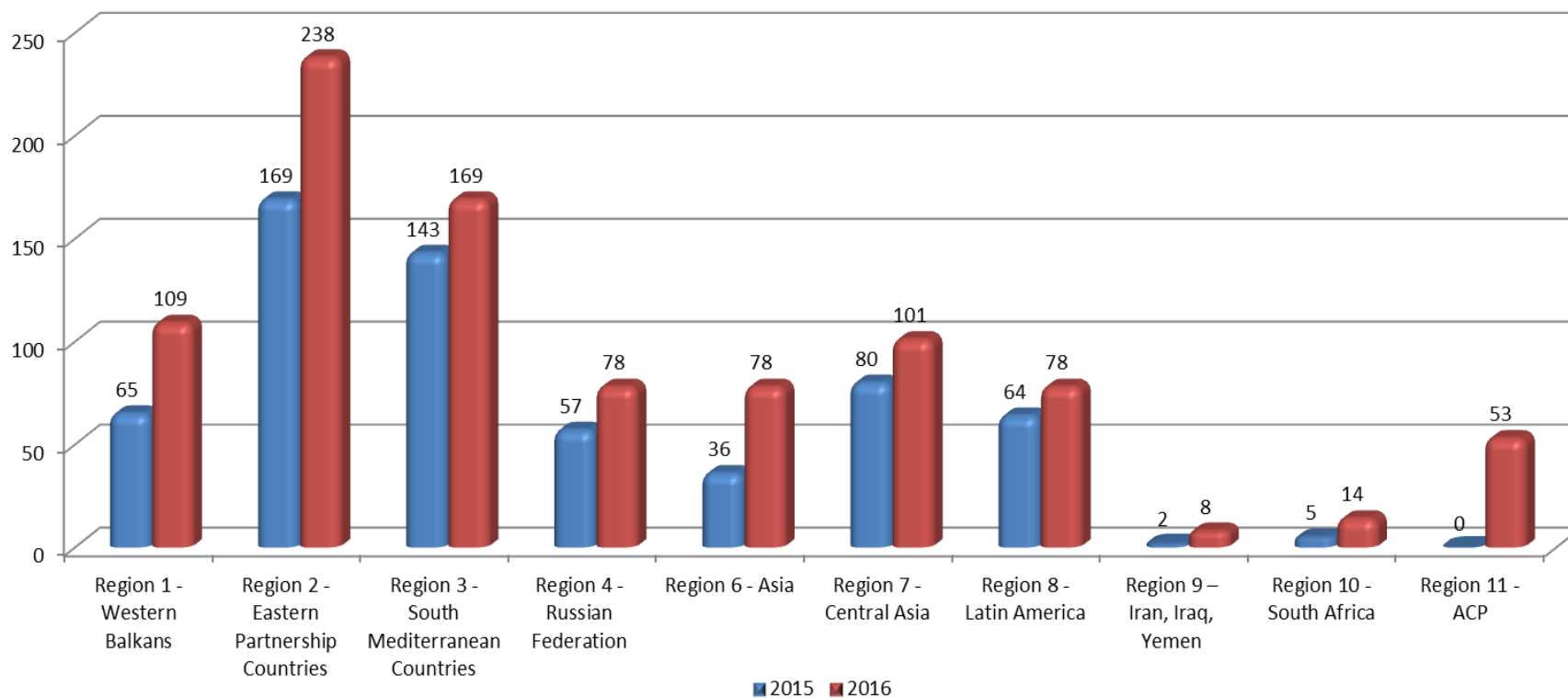
# Selection results 2016

Stage	1 Western Balkans	2 Eastern Partners hip	3 South Med	4 Russian Federation	6 Asia	7 Central Asia	8 Latin America	9 Iran, Iraq, Yemen	10 South Africa	11 ACP	Total*
Reception	109	238	169	78	78	101	78	8	14	53	736
Eligible	93	219	146	77	68	93	72	8	13	42	653
Sent to Consultation	37	64	80	35	57	49	31	5	6	19	287
Proposed for funding	18	24	36	16	53	19	14	4	5	9	147
Success rate	17%	10%	21%	21%	68%	19%	18%	50%	36%	17%	20%
(compared to 2015)	(15) +20%	(23) +4%	(40) -10%	(13) +23%	(27) +96 %	(23) -17%	(19) -26%	(2) +100%	(4) +25%	(0) -	(140) +5%

\* The number of projects by region cannot be added considering that a project can cover different regions.

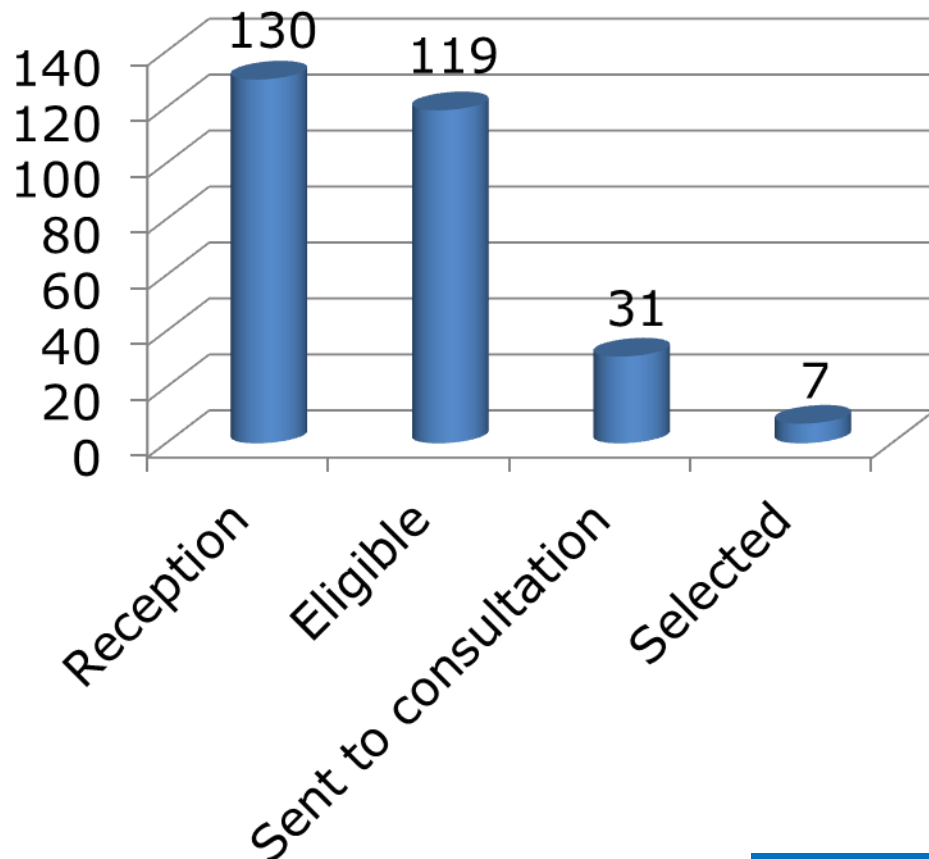


# Selection: evolution of the applications (2015-2016)





## Selection results 2016 - Ukraine



■ Nr of applications

### Ukraine involved in

- **18%** of all submitted applications
- **55%** of EaP applications

## Lessons Learned

- ✓ Relatively high percentage of **ineligible applications** due to insufficient understanding of minimum requirements for consortia;
- ✓ **National/regional priorities** established for the Partner Country **need to be respected** and matched with the local needs (assessed in award criterion 'relevance');
- ✓ A need to mobilise **new institutions** both in Programme and Partner Countries, **as grant holders and/or partners**;
- ✓ Outreach **beyond the capital cities** to institutions in the **regions** and the **periphery**;
- ✓ Lack of innovative approaches (**new content and methodologies**);

## Key messages for the 3<sup>rd</sup> Call

- ✓ **Diversify the type of applicants** involving new institutions;
- ✓ Intensify efforts to encourage the **cooperation with Asian countries**;
- ✓ Disseminate widely the opportunity to **cooperate with ACP countries**;
- ✓ Pay particular attention to the **eligibility criteria**, mainly minimum number of nationally recognised HEIs in consortia;
- ✓ Respect strictly the **national / regional priorities** addressed to each Partner Country affecting the score on Relevance (threshold of 50% must be reached to pass to the next selection stages);
- ✓ **Involve the Partner Country partners** from the early stages of the proposal preparation.

# Indicative Budget and Calendar for 2017 Call

Region	Budget allocated 2016 (in Mio €)	Budget allocated 2017 (Indicative) (in Mio €)	Indicative number of selected projects under the assumption of national projects
REGION 1 - Western Balkans	13,17	13,82	17
REGION 2 - Eastern Partnership countries	13,86	13,51	16
REGION 3 - South-Mediterranean countries	28,57	27,84	35
<i>Additional allocation for Tunisia*</i>	0	3,00	4
REGION 4 - Russian Federation	6,89	6,72	8
REGION 6 - Asia	35,38	39,55	48
REGION 7 - Central Asia	9,2	8,80	11
REGION 8 - Latin America	13,1	13,20	16
REGION 9 - Iran, Iraq, Yemen	1,9	2,00	3
REGION 10 - South Africa	0,69	0,69	5
REGION 11 - ACP countries	3,42	3,91	8
<b>TOTAL</b>	<b>131,47</b>	<b>138,68</b>	

\*An additional allocation for Tunisia might become available subject to the relevant Commission decisions being taken.





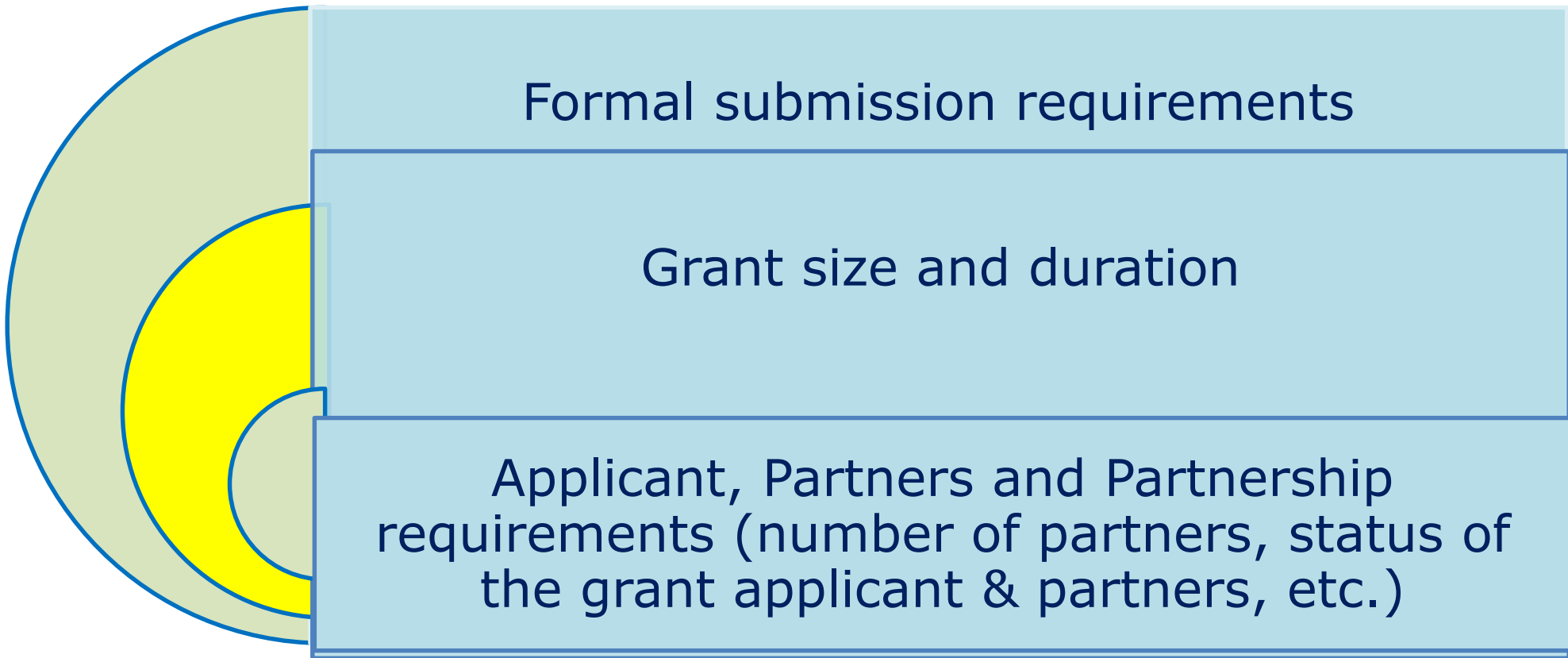
## Application and Selection procedure

### Indicative roadmap for selection process-CBHE

Steps	Date
Publication Erasmus+ CBHE Call for Proposals	October 2016
Deadline for submission of applications	9 February 2017
Verification of eligibility of project proposals	February – March 2017
Assessment of projects by experts (remotely)	March – May 2017
Consultation procedure	June 2017
Evaluation Committee for selection of projects	July 2017
Sending for signature of Award decision by Agency AO	July 2017
Notification of applicants & publication of results	July 2017
Preparation and signature of grant agreements	August-September 2017
Start of eligibility period	15 October 2017



# What is assessed? Eligibility Criteria





## What is assessed? Exclusion and Selection Criteria

The institution is **not in one of the situations described in section C.** Exclusion criteria of the Guidelines (such as bankruptcy, professional misconduct, subject of fraud, corruption, administrative penalties, conflict of interest, etc.)

**Legal person status** of the applicant organisation

**Financial capacity** to complete the proposed activities (**private entities only**)

**Operational capacity** to complete the proposed activities

*Based on supporting and administrative documents, like the declaration of honour, legal entity form, profit and loss accounts...*



## What is assessed? Award Criteria

**Relevance**  
(30 points)

**Quality of  
Design +  
Implementation**  
(30 points)

**Quality of  
Team +  
Cooperation  
arrangements**  
(20 points)

**Impact and  
Sustainability**  
(20 points)

**To be considered for funding, proposals must score  
at least 60 points in total and - out of these points at least 15 points for "Relevance"**



## What is assessed? Award Criterion 1 – Relevance

### DEFINITION

- *The project contributes to the achievement of the policy objectives of the participating partners*
- *It is based on and addresses real needs & problems of the target groups*



### CONTENT

- How clearly the project addresses the Programme **objectives** and **priorities (annual, thematic, geographical priorities)**
- **Needs analysis** and presentation of **specific problems** addressed
- Definition of **target groups**
- What is **innovative** or complementary to other initiatives
- How the **project was prepared**



## What is assessed ? Award Criterion 2 - Quality of Design and Implementation

### DEFINITION

- *The activities proposed are appropriate to achieve the specific and wider objectives*
- *It uses the most appropriate methodology*
- *It demonstrates a logical and sound planning capacity*



### CONTENT

Description of the project as a whole, including:

- **specific objectives**
- **activities**, expected **outcomes**, wider and specific objectives
- academic **content** and pedagogical **approach**
- **involvement** of academics, students and stakeholders at large
- **quality control** processes



## What is assessed? Award Criterion 3 - Quality Team and Cooperation

### **DEFINITION**

- *The partnership includes all the skills, recognised expertise and competences required*
- *Suitable distribution of tasks*
- *Sound communication and coordination*



### **CONTENT**

- Presentation of the **partners competences** and **roles** in the project
- Description of any **complementary skills**, expertise and competences directly relating to the planned project activities
- ensure **regional dimension**
- Planned measures to ensure effective **communication**



## What is assessed? Award Criterion 4 - Impact and Sustainability

### DEFINITION

- *Information/outcomes of the project are made available to groups not directly involved (multiplier effect)*
- *Optimal use of the results during & beyond the project lifetime*
- *Expected impact will be substantial and sustainable in the long term (financial, institutional and policy level)*



### CONTENT

- Expected **impact** at different levels
- **Dissemination strategy:** outputs to be disseminated, target groups, dissemination tools & activities
- **Measures** planned to ensure the sustainability of project outcomes and outputs at **three levels:** financial, institutional and political
- **Evidence of impact** on HE at institutional / national level in PCs





## What is assessed? Quality Design & Implementation

Additional  
Award  
Criteria

### DEFINITION

- *Full contribution to the achievement of the related project and added value of the project*
- *Transparent procedures selection of participants*
- *Quality systems*

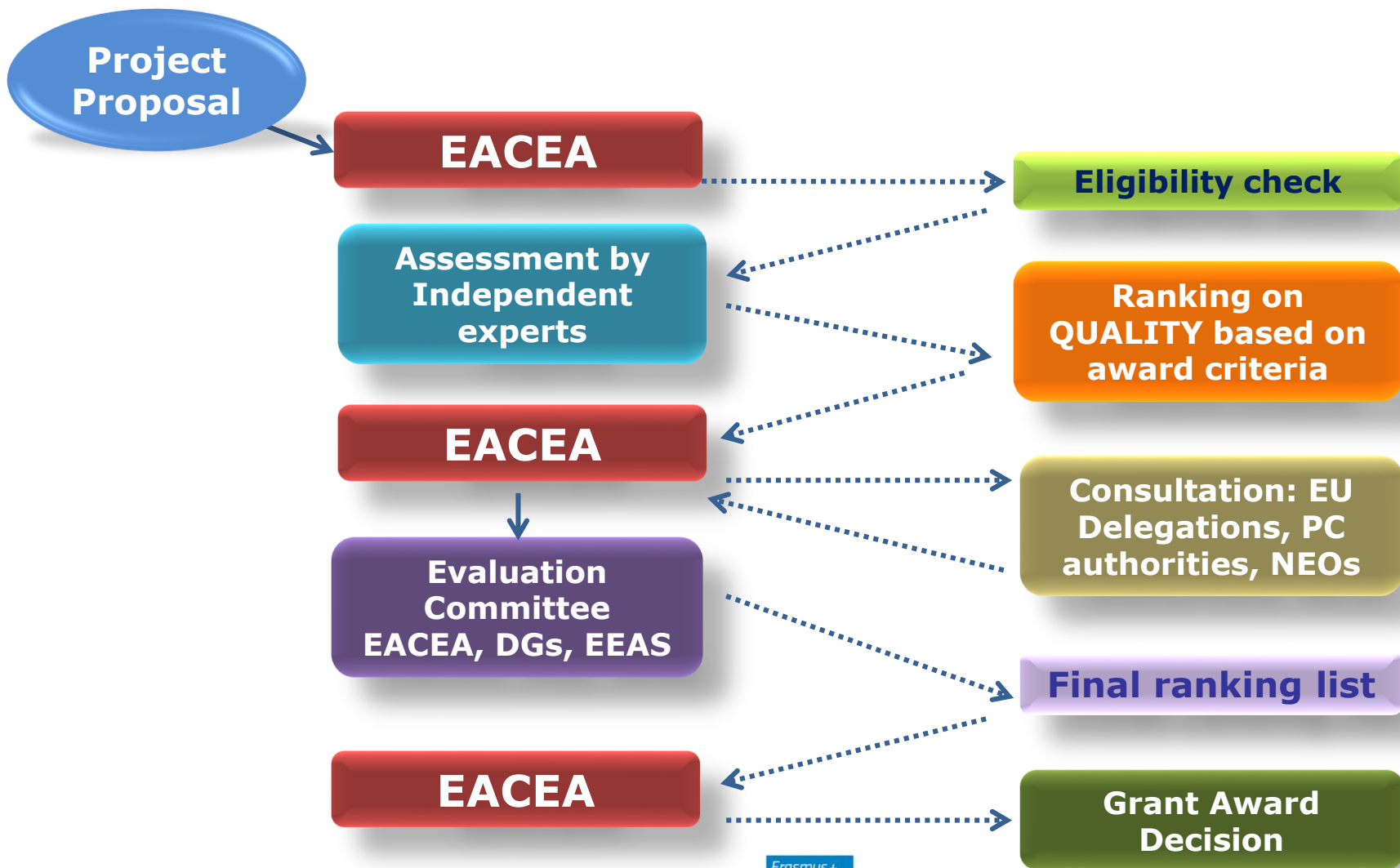


### CONTENT

- Relevance of the mobility strand for the project
- Well-**articulated** with the project; demonstrated **added value**
- Demonstration of positive **impact** for individual and institutions
- Validation and recognition** at institutional level



## Part III: What is assessed? - Selection Process





## What is assessed? - Award Decision

**EACEA takes  
decision based on:**

**Evaluation  
Committee's  
recommendation,  
taking into account:**

*ranking list on quality established by external experts*

*the results from the consultation process*

*the budget available for each region*

*the need to achieve a geographical balance within a region*

*sufficient coverage of the priorities*



## CBHE Information sources

### **Erasmus+ website - EACEA**

[http://eacea.ec.europa.eu/erasmus-plus\\_en](http://eacea.ec.europa.eu/erasmus-plus_en)

### **Erasmus+ website – EU Commission**

[http://ec.europa.eu/programmes/erasmus-plus/index\\_en.htm](http://ec.europa.eu/programmes/erasmus-plus/index_en.htm)

### **International E+ Contact Points (ICPs) in Programme Countries**

[https://eacea.ec.europa.eu/erasmus-plus/contacts/international-erasmus-plus-contact-points\\_en](https://eacea.ec.europa.eu/erasmus-plus/contacts/international-erasmus-plus-contact-points_en)

### **National Erasmus+ Offices (NEOs) in certain Partner Countries (PCs)**

[https://eacea.ec.europa.eu/erasmus-plus/contacts/national-erasmus-plus-offices\\_en](https://eacea.ec.europa.eu/erasmus-plus/contacts/national-erasmus-plus-offices_en)



thank you

merci  
obrigado  
grazie  
gracias  
kiitos  
спасиби  
tack  
köszönöm  
hвала  
teşekkür ederim  
danke  
ačiū  
Dank u  
hvala vam  
tak  
bakka þér  
σας ευχαριστώ  
ddiolch 'ch  
dëkuj  
dziękuje  
תודה  
Ďakujem  
hvala  
blagodarya  
Tapadh leibh  
falemmnderit  
спасибо  
trugarez  
multumesc  
tānan teid  
Дзякуй  
Go raibh maith agaibh  
Pablies  
Vi благодарам  
谢谢  
धन्यवाद