

ANNEX

ACTION FICHE: ENPI INTERREGIONAL ANNUAL ACTION PROGRAMME 2009 – PART III

1. IDENTIFICATION

Title	TEMPUS IV		
Total cost	EUR 39.4 million ENPI East (19080103): EUR 12.7 million + EUR 4 million transfer from Russia's bilateral allocation (CRIS ENPI/2009/021-199) ENPI South (19080101): EUR 22.7 million (CRIS ENPI/2009/021-200)		
Aid method / mode of implementation	Project approach – centralised (indirect) Implementing body: Education, Audiovisual and Culture Executive Agency		
DAC-code	11420	Sector	Higher education

2. RATIONALE

2.1. Sector context

The development of human capital is among the priorities of several national indicative programmes 2007-2010 of ENP countries. Reforms of the higher education sector figure prominently in the bilateral Action Plans agreed between the EU and most of the ENP countries. Furthermore, the road map agreed between the EU and Russia related to the four Common Spaces (among which is the Common Space for Education and Culture) contains reform objectives in the higher education area.

A framework for reform is provided by the Bologna Process (initiated in 1999) which targets the establishment of a European Higher Education Area, aiming at reforming the structures of higher education systems in a convergent way. Initially, 29 countries signed the Bologna Declaration. Russia joined the Bologna process at the Berlin Ministerial Conference in September 2003. In May 2005 at the Bergen Conference, another 5 ENP countries joined: Armenia, Azerbaijan, Georgia, the Republic of Moldova and Ukraine.

In the South Mediterranean ENP area, in the framework of the Euromed partnership, a declaration for the establishment of a Euromed Higher Education Area was adopted at the Higher Education Ministerial Meeting in Cairo on 18 June 2007.

Tempus as a reform instrument is explicitly foreseen in the Interregional Strategy Paper (2007-13) and the respective Indicative Programme (2007-10) to be applied to all ENP countries and Russia. The program is designed to promote cooperation between higher education institutions in the EU and in the partner countries thereby encouraging the transfer of know-how with a view to stimulating:

- the promotion of national reforms and modernization in line with the principles of the Lisbon agenda and the Bologna process;
- academic development and upgrading;
- the opening-up of institutions to international cooperation (including greater regional cooperation);
- The acquisition of management skills by academic and administrative staff thus ensuring balance between institutions' growing autonomy and the need for greater financial sustainability;
- The opening up of partner countries' higher education systems to civil society.

The new Tempus IV increases the structural component by providing new working mechanisms: support to networks of higher education to promote reform and modernization.

By strengthening the links with research, Tempus also contributes to the higher education institutions' capacity to take part in the Research Framework Programme.

Tempus tries to address the following problems:

- the insufficiency of management capacities, especially at university level, to cope with the necessary modernization of education. This situation is due to the combination of several factors: unattractive salaries and poor career development of academic staff, insufficient retraining, lack of quality assurance systems, brain drain and inadequate awareness of the needs of the labour market to reform the offer of higher education;
- the lack of relevance of the study programmes to labour-market needs and the strong theoretical contents of the matters;
- the low capacity to adapt the processes of decentralisation and of privatisation, where the key questions are the quality assurance and accreditation;
- the weak promotion of the entrepreneurship;
- the insufficient development of university research;
- the low use rate of the ICT.
- The insufficient knowledge and training on reform issues, in particular in relation to the Bologna process
- Tempus organizes a transfer of knowledge and the exchange of good practices between the European Union and higher education institutions in the partner countries.

2.2. Lessons learnt

A substantial number of key education policy makers and advisors as well as higher university management staff are positive about the experience and the reforms promoted by Tempus projects. They confirmed that those reforms went beyond curriculum development and department and faculty level. A majority of them see a strong indirect link between Tempus and initiatives for national reform (institutional, legal & administrative) through the participation of Tempus experienced university staff in policy advisory groups.

The final evaluation of the second phase of the Tempus programme (1994 - 2000) and the mid-term evaluation of its third phase (2000 - 2006) were carried out in the period between October 2002 and September 2003. The results were published in October 2003. The final report on the second phase of the Tempus programme was adopted by the European Commission on 16 February 2004. The report from the Commission to the Council on the interim evaluation of Tempus was adopted on 8 March 2004¹. A final evaluation of TEMPUS III is under way.

The annual report on the implementation of the Tempus programme in 2006 was adopted by the Commission on 16 July 2007 (COM(2007) 420 final). A Tempus impact study was launched in the second half of 2006 in order to illustrate the impact that Tempus has had on higher education institutions, on individuals and systems in the partner countries. The study was based on a number of direct interviews and surveys with key actors involved or informed about Tempus operations in the various partner countries. An executive summary was published on the programme's website in January 2007. Summaries per country were released in autumn 2007. The evaluations and studies carried out so far confirmed the relevance of the programme to support higher education reform and development as well as the validity of its intervention logic and management approaches. The following recommendations stemming from the mid-term evaluation were already taken into consideration in the implementation of the Tempus programme in 2007 and 2008. They continue to be highly relevant:

- The process of formulation of the country-specific priorities should be strengthened by means of a more structured dialogue with the educational authorities of the partner countries.
- Tempus funds should be used for what the programme does best, i.e. promoting innovation of study programmes and exchanges.
- The relevance and the impact of the programme should be actively promoted at the level of the national authorities.
- The impact of the programme should be further maximised through a strengthened dialogue and more structural measures.
- Field monitoring should be further reinforced.

Apart from the evaluations carried out in 2002/03, a series of additional major studies were concluded over the past years: best practice in university-enterprise cooperation (May 2006), sustainability of Tempus projects (November 2006), best practice in quality assurance (May 2008) and a thematic review of Tempus Structural Measures (September 2008). The results of these studies equally underline the relevance of the programme and confirm its intervention logic. A study to identify best practice in university governance is on its way.

The first CfP under TEMPUS IV showed an increased participation of partner countries and EUMS. For the first time, it was possible for partner countries to be the leading partners, which was the case for around ¼ of the proposals. ENPI countries were very participative, thus proving the effectiveness of interregional cooperation. There was a high interest on multi-country projects (58% of all submitted proposals).

¹ All reports can be consulted at the following website:
http://europa.eu.int/comm/dgs/education_culture/evalreports/index_en.htm#TempusIIIinterim1.

About 50 projects involving around 400 higher education institutions from the ENPI countries were funded under this CfP, starting implementation in 2009.

2.3 Complementary actions

To date there has been one EU-funded programme open to ENP countries and Russia (next to Tempus) in the field of higher education:

Erasmus Mundus, a world-wide programme which provides scholarships for students and scholars to around 100 Erasmus Mundus Master Courses in Europe. 290 students and scholars (199 from ENP East and Russia, 91 from ENP South) from the region have benefited from scholarships awarded for the academic years 2004/5, 2005/6 and 2006/7. The programme also funds activities to promote the European higher education sector. The second phase of the programme (2009 - 2013) was adopted in January 2009.

In 2006, the EC launched a special Erasmus Mundus External Cooperation Window, through annual Call for Proposals (CfP). Owing to its success, the geographical coverage of EMECW was progressively enlarged. Higher education institutions from the EU and targeted Third-countries were invited to form partnerships projects aiming at hosting students and scholars. On the last CfP², a total of 23 partnerships projects were selected on the basis of their academic quality and the relevance to the targeted countries. The selected partnerships in the two academic years represented an institutional cooperation of more than 400 HEI (157 in the framework of the Neighbourhood area) which in return are expected to implement the mobility of more than 5790 students and academic staff from both European countries and third countries starting from academic year 2008-2009. In the Neighbourhood area the breakdown is as follows: academic year 2008-2009 more than 1871 whereas in 2007-2008 the mobility was 1496.

The Tempus programme is implemented in close co-ordination with the Erasmus Mundus scheme and in particular its external co-operation window to ensure coherence and to avoid overlap. Whereas the external co-operation window under Erasmus Mundus focuses on individual mobility of students, professors and administrators from the ENPI countries, Tempus will continue to promote institutional co-operation thereby concentrating on the reform and the modernisation of higher education systems in the partner countries. Both programmes will therefore complement each other.

As from 2009, Erasmus Mundus II will reassemble all actions. The EMECW will become Action 2 of the new programme.

Currently, the EC supports two SPSP programmes to support the higher education reform agenda in Tunisia and Syria and a new programme in Algeria will start in 2009. There is also an Institutional Twinning project foreseen in Georgia. Coordination with these programmes will be assured at country level.

2.4 Donor coordination

All National and Regional/Interregional Indicative Programs for the period 2007-10, which define the framework of the EC-funded activities in the ENP region and

² Figures refer to the CfP 2007, to start mobility in the academic year 2008-2009. At the time of writing, the CfP 2008 is still open.

Russia, take the activity plans of the other donors into account. To this end, all the indicative programmes and regional projects are approved by representatives of the EU Member States participating in the ENPI Committee (after having been discussed also informally with important non-EU donors such as the World Bank) before being adopted by the European Commission.

The National Tempus Offices established in the ENP countries and Russia facilitate networking between the different Tempus projects and coordination with other donors active in the area of higher education. Coordination with other donors in education is also taken care of by the EC Delegations in the partner countries.

In order to gather structured feedback on lessons learned during the third phase of the Tempus programme and to discuss future perspectives, the Commission organised the following meetings with key stakeholders:

- Meeting of National Contact Points in EU Member States and National Tempus Offices in the partner countries on 9 November 2006;
- Meeting with representatives from the Ministries of Education from the Member States and Tempus partner countries on 5-6 March 2007;
- Meeting with a representative group of students having participated in Tempus projects on 19-21 April 2007.
- Meeting with National Contact Points and National Tempus Office took place on 28 June 2007 to discuss details of the programme's implementation, in particular with regard to the new call for proposals
- Information and consultation meeting of representatives from the Ministries of Education from the EU Member States and Tempus partner countries together with National Contact Points and National Tempus Offices, Brussels, 15-17 September 2008.

3. DESCRIPTION

3.1. Objectives

The overall objective is to contribute to an area of cooperation in the field of higher education involving the European Union and partner countries in the surrounding area.

The programme is coherent with the ENPI Indicative Programme 2007-2010, as it meets the priority of education exchange, science and people-to-people activities among social sectors targeted in the poverty reduction focal priority area.

The specific objectives are as follows:

- Promoting network and partnership among ENPI and EU countries higher education institutions and research institutes;
- To support ENPI countries' efforts in modernising higher education system;
- To reinforce the capacity of higher education institutions.

3.2. Expected results and main activities

The programme foresees to achieve the following results:

- Enhanced networking between EU and ENPI countries higher education institutions and research institutes;
- Increased co-operation among ENPI countries higher education institutions;
- Upgraded teaching, learning methodology and teaching material;
- Improved university good governance;
- Enhanced quality and relevance of ENPI countries higher education institutions

These are to be achieved through two kinds of activities:

- **Component I: Joint Projects**

Joint Projects will be based on multilateral partnerships between higher education institutions in the EU and the partner countries. Joint Projects aim at transferring knowledge from EU universities to institutions in the partner countries and between partner country institutions. Joint Projects can pursue the following objectives: (a) reinforce the network between ENPI and European universities and research institutes and among ENPI HEI, (b) promote and disseminate new curricula, teaching methods or materials; (c) to promote a quality assessment culture; (d) to modernise the management and governance of higher education institutions; (e) to strengthen the role of higher education institutions in society at large and to enhance their contribution to the development of lifelong learning; (f) to encourage links with the labour market, including the promotion of entrepreneurship and the creation of business start-ups and (g) to strengthen the links with research and between research and industry. Joint Projects can also include small scale and short duration mobility activities for post-graduate students, professors/teachers and university administrators provided they serve the above defined objectives.

- **Component II: Structural Projects**

Structural Projects will seek to contribute to the development and reform of education institutions and systems in partner countries, as well as to enhance their quality and increase their convergence with EU developments. Structural Projects may provide support to networks of higher education institutions and as much as possible they will include, as associated partners, public administrations at national and/or local level so to develop institutional collaboration with universities. The eligible activities may include studies and research on specific issues, producing reform/policy recommendations, organisation of national, regional and thematic conferences and seminars, provision of training and dissemination and information activities.

- **Component III: Accompanying Measures**

Accompanying measures will comprise meetings of project co-ordinators and other stakeholders, dissemination activities as well as support to the information and dissemination activities of National Tempus Offices in the partner countries. In addition, the EC can carry out other relevant activities like thematic conferences, studies on specific issues and activities aiming at the identification and dissemination of good practice:

- Typical results of Tempus projects include:
- Introduction of modern curricula that better target the needs of the labour market,
- Modern teaching and learning methodology and material, upgraded text books,
- Provision of modern technical equipment for teaching purposes,
- Improved academic mobility strategies and mechanisms;
- Increased co-operation between higher education institutions in the EU and the partner countries,
- Trained teachers on modern education practices and methodologies,
- Improved university management; enhanced transparency and efficiency in decision making processes;
- Enhanced performances of universities' central services and administration;
- Policy advice to modernise key aspects of higher education systems,
- Raised awareness on EU developments in the field of higher education, in particular in relation to the Bologna process, and its underlying principles.

3.3. Risks and assumptions

The risks that can have an indirect effect on Tempus projects are mainly linked to the lack of institutional capacities and the high staff turnover within the higher education national authorities. But since Tempus projects are usually implemented at university or faculty level, these risks should in principle not jeopardise project implementation.

The Tempus programme may become the prerogative of the main national universities. Such risk can be overcome by a renewed effort from the National Tempus Offices to promote the Tempus programme and disseminate information among universities in remote areas of the countries. Stronger emphasis will be put on the need to involve universities from remote areas as partners for projects.

3.4. Crosscutting issues

The ultimate goal of Tempus is to promote universities as partners for socio-economic development. Within this perspective gender remains a key issue for sustainable and high quality education reforms, by promoting as much as possible women and gender related issues. The governance reform Tempus supports in the ENPI countries includes the promotion of equal and transparent access to higher education and the promotion of gender issues in the modernization of curricula and career development. Vulnerable groups are another cross cutting issue for Tempus programme. Issues related to people with disabilities, refugees and population in remote areas will be taken into account.

3.5. Stakeholders

Academic institutions are aware that they need to develop a modern perception of their role and mission. The prevailing view is often that their main task is restricted to traditional teaching and scientific research, while they should become actors for social development and democracy and have a more active role as civil society members in discussions about strategies and programmes on poverty reduction and achievements of the Millennium Development Goals (MDG), democracy and

sustainable development. At the same time, the definition of higher education strategy remains the priority of central government and other stakeholders, i.e. employers, are not sufficiently involved.

Tempus can support in this sense with know how transfer and the dissemination of EU best practices among academic institutions, in order to upgrade their skills and qualifications and promote dialogue with other stakeholders. This process can only have a positive impact an open up a national debate about higher education and how it can respond to the economic and social needs and demands.

4. IMPLEMENTATION ISSUES

4.1. Method of implementation

Tempus will be implemented through project support, under indirect centralised management. The implementing body will be the Education, Audiovisual and Culture Executive Agency (EACEA).

The EACEA will regularly report to the European Commission (AIDCO) on the use of committed funds and programme implementation and provide *ad hoc* information at AIDCO request. The report on programme implementation shall also focus on project results, obstacles, lessons learnt and any information profitable for improving the programming and identification.

European Commission Delegations in the partner countries will be closely involved at the various stages of the implementation of the programme. Firstly, European Commission Delegations will negotiate the list of national priorities with the competent authorities in the partner countries. While the quality of offer will be assessed by independent experts, European Commission Delegations will be consulted during the selection of proposals on the eligibility of ENPI higher education institutions and the relevance of the project proposals to the targeted countries. AIDCO and other relevant Commission services will be invited by the EACEA to participate in selection panels. The European Commission Delegations will also promote the dissemination of the programme. DG EAC will be consulted when necessary.

National Tempus Offices in the partner countries will assist the Commission in the following tasks: promotion of the programme, assistance to potential applicants and supporting EACEA in monitoring project implementation. National Tempus Offices will also provide support to higher education reform experts within their country and provide information on the implementation of reforms. For all their tasks, National Tempus Offices will work closely with the European Commission Delegations in their countries.

4.2. Procurement and grant award procedures

The essential selection and award criteria for the award of grants are established in accordance with the principles set out in Title VI 'Grants' of the Financial Regulation applicable to the general budget.

When derogations to these principles are applied, they shall be justified, in particular in the following cases:

- Financing in full (derogation to the principle of co-financing): the maximum possible rate of co-financing for grants is 95% of the total budget. Full financing may only be applied in the cases provided for in Article 253 of the Commission Regulation (EC, Euratom) No 2342/2002 of 23 December 2002 laying down detailed rules for the implementation of the Financial Regulation applicable to the general budget of the European Communities.

- derogation to the principle of non-retroactivity: a grant may be awarded for an action which has already begun only if the applicant can demonstrate the need to start the action before the grant is awarded, in accordance with Article 112 of the Financial Regulation applicable to the general budget.

Project proposals for programme components I (Joint Projects) and II (Structural Projects) will be submitted in reply to an annual CfP published in the Official Journal and on the programme's website. In order to focus the programme's interventions and to maximise its impact, regional and national priorities will be defined.

Joint Projects can target one or more partner countries. For national Joint Projects targeting one single partner country, proposals can be submitted by groupings of institutions involving universities from a partner country and from EU Member States. For multi-country Joint Projects, the proposals can be submitted by groupings of institutions involving universities from several partner countries and EU Member States. Where appropriate, priority will be given to project consortia involving non-academic members in the partner countries such as enterprises, chambers of commerce, research centres, Ministries of Education as well as local and regional authorities. Priority will also be given to projects that include more partners than the minimum number requested and that integrate a geographical spread either at national or regional level.

Structural Projects may provide support to networks of higher education institutions for activities seeking dissemination and/or convergence with EU developments.

Projects under components I can be proposed by higher education institutions from the EU or from the partner countries. Projects under component II can be proposed by networks of universities from the EU or from the partner countries.

Programme component III (Accompanying Measures) will be implemented through CfP, calls for tender or framework contracts.

In principle, National Tempus Offices will be public bodies designated through the Ministries of Education of the partner countries. Prior approval of the Delegation in the country concerned will be necessary. In cases of non approval of the proposals made by the national authorities, National Tempus Offices could be appointed by the Commission following a tender procedure launched in the partner country. The renewal of the National Tempus Offices in the partner countries took place in spring 2008.

4.3. Budget and calendar

A total of €39.4 million will be available from the 2009 budget. This total volume consists of

- €35.4 million out of the Interregional envelope to be used for all ENPI countries,
- €4 million as a transfer from the bilateral allocation of Russia

whereby a regional split-up (budget line 19080103 ENP East/Russia €6.7 million; budget line 19080101 ENP South €2.7 million³) should be respected.

There will be annual calls for proposals covering components I and II. The next call is likely to be published by the end of 2009 with deadlines in early spring 2010. This means that selected Joint Projects can start with the academic year 2010/11.

The call for proposals will stipulate minimum and maximum grant sizes for the different project types. As far as possible, in order to facilitate the work of project coordinators, the European Commission will establish unit costs and lump sums in the call for proposals.

The financial contribution from the Commission will not exceed 95% of the total budget. Around 70% of the budget will fund Joint Projects, 20% Structural Measures and 10% Accompanying Measures.

4.4. Performance monitoring

Through its monitoring and evaluation system, the Commission will ensure that Tempus' impact is measured both at individual and institutional levels. Monitoring implies:

- **Preventive monitoring:** guidelines for the Use of the Grant, Project Representatives' Meeting and On-going guidance to projects ("helpdesk function") are useful tools for activity planning and for detecting potential problems;
- **Desk monitoring:** correspondence and report assessment are main instruments for administrative operations and primary instruments for following the progress of projects. Desk monitoring is the basis for carrying out payments to projects and provides input to both preventive and field monitoring as well as the basis for further feedback into the design of the programme as a whole;
- **Field monitoring visits** are a tool for monitoring the progress and achievements of Tempus projects in their real context, principally gathering facts to judge whether projects are progressing according to plan and producing the expected benefits for the local institutions and learning about the life and the impact of a project in its surrounding environment. This assessment will focus on the content and on the quality of the outcomes achieved and which are not always apparent in the written reports. Monitoring visits go beyond the project and scrutinise the context in which the programme operates, highlighting the added value for the subject area, the university, innovative elements in the organisation of teaching and training and the links with national and EU policies. Field monitoring will be carried out by the Commission, the Executive Agency for Education, Audiovisual and Culture, and the National Tempus Office. Lessons learnt from the monitoring exercise will be used to identify best practice that will be disseminated and used to feed in to higher education reform processes.

4.5. Evaluation and audit

Evaluations (mid-term, final, ex post) and audit arrangements are integral part of the contractual arrangements with the selected grantees. External evaluations and audits might be also carried out by independent consultants recruited directly by the

³ A COM Decision related to contribution from Russia bilateral envelope was taken in early 2009. These 9 M€ will complement the current Decision related to ENPI East.

Commission in accordance with EC rules and procedures on specifically established terms of reference.

A mid-term evaluation will be carried out at the end of first component of the project or in the middle of implementation period of the contract, based on which of the two will be earlier. An end of the project evaluation will be carried out to review the achievements of the project. Evaluation will be financed from the administrative resources..

4.6. Communication and visibility

All projects are requested to respect EC rules in terms of communication and visibility. Special attention will be paid to increasing visibility, dissemination and exploitation of results. All projects will be requested to submit a plan for the dissemination and wider exploitation of their project results. The objective of these plans will be to optimise the projects' value, enhance their impact and integrate them into higher education systems and practices at national level.

It is foreseen to give high visibility to the programme so to promote its relevance and impact at the level of interested stakeholders. Brochures and leaflets and other communication tools will be prepared. Communication events might be envisaged in the region following the example of those organised within previous Tempus programmes. The Commission services will regularly organise thematic monitoring of Tempus projects, with a view to identify good practice and themes that are at the core of the reform processes, and disseminate it through thematic seminars, conferences, publications and web sites.

Visibility actions will follow the "Communication and Visibility Manual for EU External Actions"(http://ec.europa.eu/europeaid/work/visibility/index_en.htm).