



EUROPEAN COMMISSION
Employment, Social Affairs and Inclusion DG
Employment and Social Governance
Social dialogue

BUDGET HEADING 04 03 01 08

Industrial relations and social dialogue

CALL FOR PROPOSALS

Improving expertise in the field of industrial relations

VP/2016/004

Any questions should be sent by email to: empl-vp-industrial-relations@ec.europa.eu

To ensure a rapid response to requests for information, applicants are invited to send their queries in English, French or German where possible

The text is available in English.

Applicants are invited to read the present document in conjunction with the Financial Guidelines for Applicants for this call as well as the financial rules applicable to the general budget of the Union and their rules of application:

http://ec.europa.eu/budget/biblio/documents/regulations/regulations_en.cfm

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Important points of attention

Applicants should carefully read the entire text of this call for proposals in order to ensure compliance of their application with all requirements. Particular attention is drawn to the following provisions:

- As shown by the objectives and targeted measures of this call for proposals, projects must have a strong **research/analysis** focus. Therefore, actions must have the involvement, as **lead or co-applicant**, of a **university or research organisation**.
- Applicants must take the **requirements described in section 2.3** of the call fully into account when drafting their proposals, as this ensures alignment with the call's objectives and contributes to their quality.
- Projects will not be considered for funding if they do not obtain the minimum threshold for the following criteria (see section 9 of the call):
 - the extent to which the action meets the objectives and priorities of the call for proposals;
 - the extent to which the action has a genuine transnational dimension;
 - the extent to which the action contributes to the understanding of industrial relations, at EU level as well as in comparative terms.

Applicants should consider carefully whether their proposed action can be expected to receive a sufficient score for these criteria before submitting a request for funding.

- Applicants should use the **checklist** included in section 14 of the call in order to verify completeness of their file. Section 14 also includes additional instructions regarding the **format and content of certain documents**, including the detailed work programme and the budget explanation.
- Proposals **mainly aimed at directly supporting EU social partners' initiatives and processes**, such as consultations, meetings, negotiations and other actions related to the work of European Social Dialogue Committees at both sectoral and cross-industry level, are **not covered** by this call for proposals. These types of actions are funded under the call for proposals "Support for Social Dialogue".

1. INTRODUCTION – BACKGROUND

1.1. Legal base

In line with the remarks in the budget of the European Union, budget heading 04 03 01 08 is intended to cover actions to support industrial relations, in particular those designed to develop expertise and the exchange of EU-relevant information, as well as actions to improve knowledge on industrial relations institutions and practices across the EU and dissemination of results.

As such, by improving expertise and knowledge on industrial relations, the financed measures should contribute to addressing the overarching EU employment and social policy challenges as laid down in particular in:

- the Commission Communication *On steps towards Completing Economic and Monetary Union* (COM(2015)600);
- the Annual Growth Survey, the Joint Employment Report and the recommendations addressed to the Member States in the context of the European Semester;
- the Political Guidelines presented by Jean-Claude Juncker in the Agenda for Jobs, Growth, Fairness and Democratic Change and the Commission Work Programmes.

The budget heading can be used to finance actions involving partners from the Candidate Countries¹.

2. OBJECTIVES – PRIORITIES – EXPECTED RESULTS – ACTIVITIES

2.1. Objectives – Priorities – Expected results

General objective

The overarching objective of this call is to improve expertise and knowledge on industrial relations through activities of **analysis and research**, at **EU level** as well as in **comparative terms** (identifying convergences and differences in the industrial relations systems in place in the EU Member States and in Candidate Countries), thereby contributing to developing and reinforcing quality and effectiveness of industrial relations structures and processes in the Member States and in Europe as a whole.

Definition

"**Industrial relations**" concern the collective – rather than individual – aspects of the employment relationship between workers, employers and their respective representatives. This includes the tripartite dimension where public authorities (at different levels) are involved. As such, industrial relations refer to the set of rules

¹ Where reference is made to the Candidate Countries in this call for proposals, it concerns the Candidate Countries at the time of the deadline for the submission of applications of this call for proposals http://ec.europa.eu/enlargement/countries/check-current-status/index_en.htm.

governing employment and relations at the workplace, together with the ways in which the rules are made, changed, interpreted and implemented by trade unions, employers and the state.

Topics of specific interest

Actions that address the following themes will be particularly welcome:

- The role and contribution of industrial relations structures, including social dialogue, in responding to the major challenges/opportunities brought by globalisation, demographic evolutions, climate change and technological change;
- The contribution of industrial relations structures, including social dialogue, to reaching economic and social outcomes in terms of: economic growth and competitiveness; social inclusion and fairness; job creation and job quality;
- The role of industrial relations structures, including social dialogue, in the context of the European Semester and Economic and Monetary Union;
- The impact of coordination of collective bargaining across different levels and territories.

General remarks

Applications will be examined and selected taking account of the remarks in the EU budget, the criteria laid down in this document and the principle of balanced support.

Access for people with disabilities should be guaranteed for measures funded under this call for proposals.

2.2. Type of activities to be funded

The following categories of actions are targeted:

- Activities to further deepen the analysis on topics/key findings that were examined in the European Commission's Industrial Relations in Europe series and/or the chapter on social dialogue in Employment and Social Developments in Europe 2015;
- Research activities such as studies, surveys and other forms of data collection, monitoring exercises, action research;
- Measures to enhance the collection and use of (comparative) information on industrial relations systems in EU Member States and Candidate Countries and on developments at European level;
- Initiatives to promote awareness of effective industrial relations practices, at both national and European level, including by bringing together relevant actors such as academia, social partners and policy makers;
- Measures to identify and exchange information in the area of industrial relations, including through the activities of networks between industrial relations parties and/or experts;

- Actions to disseminate such findings in publications, round tables, seminars, conferences, training measures and training tools.

Measures mainly aimed at **directly supporting European social partners' initiatives and processes**, such as consultations, meetings, negotiations and other actions related to the work of European Social Dialogue Committees at both sectoral and cross-industry level, are **not** covered by this call for proposals. These types of actions are funded under the call for proposals "Support for Social Dialogue".

2.3. Other elements to be taken into account

When drafting the proposal, applicants are invited to pay particular attention to the following elements:

- The proposal should provide a clear explanation of the rationale and problem definition/analysis underpinning the proposed action, as well as the specific contribution of the action to the objectives of the call for proposals and its expected impact.
- As shown by the objectives and targeted measures of this call for proposals, projects with a strong research/analysis focus are sought. Project proposals should therefore clearly describe the **research methodology**, covering at least the following elements:
 1. The proposal should specify one or several **research question(s)**. In doing so, applicants are strongly encouraged to explain how the project will contribute:
 - a. on the one hand to the EU policy agenda;
 - b. on the other hand to improving expertise in the field of industrial relations (including references to existing research on the given topic).
 2. The key **concepts or variables** of the research project should be defined with a sufficient level of detail, indicating how the concepts will be measured.
 3. The work programme should specify which **data** will be used to inform the analysis.

Projects building on existing data should indicate which sources will be used, including, where relevant, the provisions to access the data.

Where collection of new data is envisaged, the proposal should outline a data collection strategy, including measures to ensure data quality (envisaged number of cases, criteria according to which these will be selected).
 4. The work programme should include an **analytical strategy**, indicating how the data will be scrutinised in a systematic manner to shed light on the research question(s).
 5. Finally, the work programme should provide details on **reporting** of the research findings.

- In case of recurrent applications by the same applicant on similar or related topics, the added value of the new proposal as compared to ongoing and previous actions² should be clearly explained.
- The choice of partners involved and countries covered should be duly explained and justified as regards their relevance towards the specific objectives of the action.

Taking account of beneficiaries' interest, the Commission may organise a **networking day** in Brussels for beneficiaries under the 2016 call (date to be defined). Applicants must therefore ensure that the travel, daily subsistence allowances and accommodation costs for up to 2 persons – the Project Manager and possibly the Financial Manager – to attend this meeting are included in their proposed project budget. If the applicant fails to do this, the Commission will not be able to fund the beneficiary's participation in the networking day.

3. TIMETABLE

	Stages	Date or period
a)	Publication of the call	April 2016
b)	Deadline for submitting proposals	15 July 2016
c)	Evaluation period (indicative)	Until mid-October 2016
d)	Information to applicants (indicative)	From mid-November 2016 ³
e)	Signature of the grant agreement (indicative)	From December 2016 ⁴

3.1. Starting date and duration of the projects

The actual starting date of the action will be the first day of the month following the date when the last of the two parties signs the grant agreement.

Since the actual starting date may not correspond to the start date of the action that applicants have set in their application file, it is advisable to number the months in the work programme instead of indicating the precise name of the months.

The Commission welcomes in particular projects that provide for a full project cycle, including preparatory, implementation and dissemination, follow-up and reporting activities. The indicative duration of projects is 24 months.

² Including projects funded under other budget headings.

³ And in any case no later than 6 months after the submission deadline.

⁴ And in any case no later than 3 months after the date of information to applicants.

4. AVAILABLE BUDGET

The total budget earmarked for the EU co-financing of projects under this call is estimated at **EUR 4 150 000**.

As an indication, the requested EU grants are expected to be between EUR 150 000 and EUR 500 000.

The Commission reserves the right not to distribute all the funds available.

4.1. Co-financing rate

Under this call for proposals, the EU grant may not exceed 90 % of the total eligible costs of the action.

The applicants must guarantee their co-financing of the remaining amount covered by the applicants' own resources or from other sources other than the European Union budget.

5. ADMISSIBILITY REQUIREMENTS

- Applications must be sent no later than the deadline for submission referred to in section 3.
- Applications must be submitted using the electronic submission system available at <https://webgate.ec.europa.eu/swim>, and by sending a signed, printed version of the application form and its annexes by post or courier service (see section 12).

Failure to comply with the above requirements will lead to the rejection of the application.

Applicants are encouraged to submit their project proposal in English, French or German in order to facilitate the treatment of the proposals and speed up the evaluation process.

6. ELIGIBILITY CRITERIA

6.1. Eligibility of the applicants (lead and co-applicants) and affiliated entities⁵

To be eligible:

- The lead applicant must have its registered office in one of the EU Member States⁶;
- Co-applicants⁷ must have their registered office in one of the EU Member States or the Candidate Countries⁸.

⁵ See section 2 of the Financial Guidelines for definitions.

⁶ In derogation from this requirement, international organisations, such as UN agencies, active in the fields of social dialogue and/or industrial relations, whose registered headquarters are outside the EU Member States, are also eligible..

- Applicants must be properly constituted and registered legal persons. In application of Article 131 of the Financial Regulation, social partner organisations without legal personality are also eligible provided that the conditions of the Financial Regulation related thereto are met.
- Applicants must fall within one of the following categories: non-profit-making organisations linked to industrial relations, including universities and research institutes; social partners; public authorities; international organisations active in the fields of social dialogue and/or industrial relations.

Legal entities having a legal or capital link with applicants, which is neither limited to the action nor established for the sole purpose of its implementation and which satisfy the eligibility criteria, may take part in the action as **affiliated entities**, and may declare eligible costs.

For that purpose, applicants shall identify such affiliated entities in the application form.

6.2. Eligibility of actions

To be eligible, *actions* must:

- Have the involvement, as lead or co-applicant, of a non-profit making university or research institute⁹;
- Have the involvement of applicants, affiliated entities or associate organisations¹⁰ from more than one Member State and/or Candidate Country in the case of projects which are not submitted by a European-level or international organisation;
- Be fully carried out in the Member States of the European Union or the Candidate Countries¹¹.

If a co-applicant, affiliated entity or associate organisation is considered not to be eligible, this partner will be removed from the consortium and the eligibility of the modified consortium will be re-evaluated. If the modified consortium is still eligible, the

⁷ The same condition applies to affiliated entities – as do the other eligibility and non-exclusion criteria that apply to co-applicants.

⁸ In derogation from this requirement, international organisations, such as UN agencies, active in the fields of social dialogue and/or industrial relations, whose registered headquarters are outside the EU Member States, are also eligible.

⁹ A university means a public or private higher education establishment awarding academic degrees; a research institute means an organisation whose primary missions include pursuing research and analysis, as demonstrated in its statutes or equivalent. The organisations concerned are requested to include the relevant excerpt of the statutes or equivalent as a separate document, as well as its translation into English, French or German (see section 14, checklist point 9b).

This eligibility criterion does not apply to the International Labour Organisation.

¹⁰ See section 2 of the Financial Guidelines for definitions.
Letters of commitment must be submitted from each co-applicant, affiliated entity that they are willing to participate in the project with a brief description of their role and indicating any financial contribution as applicable, and from associate organisations that they are willing to participate in the project with a brief description of their role (see section 14, checklist point 4).

¹¹ See section 11 for specific provisions regarding daily subsistence allowances and travel expenses.

application will be evaluated on that basis. In addition, the costs that are allocated to a non-eligible co-applicant or affiliated entity will be removed from the budget. If the application is accepted, the work programme will have to be adapted as appropriate.

6.3. Eligible activities

The grant will finance inter alia the activities indicated in section 2.2.

The project management of the action and the role of coordinator (in case of a multi-beneficiary grant agreement) as laid down in Article II.2.3 of the grant agreement, are considered to be core activities and may not be subcontracted¹².

6.4. Ineligible activities

Financial support to third parties as defined in point 3 of the Financial Guidelines is not eligible under this call.

7. EXCLUSION CRITERIA

Applicants (lead and co-applicants) must sign a declaration on their honour certifying that they are not in one of the situations referred to in article 106(1) and 107.1(b) and (c) of the Financial Regulation concerning exclusion and rejection from the procedure respectively, using the relevant form attached to the application form available at <https://webgate.ec.europa.eu/swim/external/displayWelcome.do>.

The same exclusion criteria apply to any affiliated entities.

Only proposals which comply with the requirements of the above eligibility and exclusion criteria will be considered for further evaluation.

8. SELECTION CRITERIA

The applicants (lead and co-applicant) must have the financial and operational capacity to complete the activity for which funding is requested. Only organisations with the necessary financial and operational capacity may be considered for a grant.

8.1. Financial capacity

Applicants (lead and co-applicants) must have access to solid and adequate funding to maintain their activities for the period of the action and to help finance it as necessary.

The ratio between the total assets in the applicants' (lead and co-applicants) balance sheet and the total budget of the project or the part of the project budget for which that organisation is responsible according to the budget in the application form, should be greater than 0.70. In addition, the Commission will take into account any other relevant

¹² See section 4.2.2.3 of the Financial Guidelines for detailed information on procedures regarding subcontracting and implementing contracts.

information on financial capacity provided by the applicant. In this context, the Commission will in particular take account of the information provided in section F.2 of the SWIM application form and of the following supporting documents to be submitted with the application:

- Declaration on honour (including financial capacity to carry out the activity) (see section 14, checklist point 3);
- Annual balance sheets for the last financial year available (see section 14, checklist point 16);
- For action grants of EUR 750 000 or more, an audit report produced by an approved external auditor certifying the accounts for the last financial year available (see section 14, checklist point 17).

8.2. Operational capacity

Applicants (lead and co-applicants) must have the operational resources (technical, management), as well as the professional competencies and appropriate qualifications to complete the proposed action. They must have a sufficient track record of competence and experience in the field and in particular in the type of action proposed.

When assessing the operational capacity of applicants, the Commission will in particular take account of the following elements:

- the information provided in sections F.1 of the SWIM application form on the operational structure of the lead applicant and co-applicants and on previous and current actions undertaken by them;
- The CV of the proposed project manager, showing his/her relevant professional experience (see section 14, checklist point 14);
- Declaration on honour (including operational capacity to carry out the activity) (see section 14, checklist point 3)

If the lead applicant is considered not to have the required financial or operational capacity, the application as a whole will be rejected. If a co-applicant is considered not to have the required financial or operational capacity, this co-applicant will be removed from the consortium and the application will be evaluated on that basis¹³. In addition, the costs that are allocated to the non-eligible co-applicant will be removed from the budget. If the application is accepted, the work programme will have to be adapted as appropriate.

¹³ This includes a re-evaluation of the eligibility of the modified consortium.

9. AWARD CRITERIA

The proposals which fulfil the eligibility, exclusion and selection criteria will be assessed according to the following award criteria:

- i. The extent to which the action meets the objectives and priorities of the call for proposals
- ii. The extent to which the action has a genuine transnational dimension
- iii. The quality of the consortium and broader partnership, including the degree of involvement and commitment at the application stage of the social partners/stakeholders in the action¹⁴
- iv. The extent to which the action contributes to the understanding of industrial relations, at EU level as well as in comparative terms
- v. The added value, i.e. the lasting impact and/or multiplier effect¹⁵ of the action¹⁶
- vi. The cost-effectiveness of the action
- vii. The arrangements to publicise the action and disseminate the results, including the quality and/or innovativeness of dissemination plans
- viii. The overall quality, clarity and completeness of the proposal and budget explanation

When assessing the proposals according to the abovementioned award criteria, the following **method** will be applied:

- Applications with a score below 50% for criteria i, ii or iv will not be considered for award.
- Applications with an overall score of less than 60% will not be considered for award.
- Taking account of the budget available for this call for proposals, the proposals with the highest overall evaluation scores will be selected for award.

Given the objectives and targeted actions of the call for proposals, particular attention will be paid to the **quality of the research methodology**, and notably the extent to which the specific recommendations that are provided in this respect in section 2.3 (second bullet) are taken into account. The link between these recommendations and the award criteria should be understood as follows:

- research questions: criterion iv;
- concepts/variables, data, analytical strategy: criterion viii;
- reporting: criterion vii.

¹⁴ Independent consultants, conference organisers, etc. must not be included as co-applicants. See chapter 4.2.2.3 Costs of services of the Financial Guidelines.

¹⁵ The multiplier effect refers to how the project and its results will promote change in other fields, such as geographical, sectoral and thematic.

¹⁶ The Commission also reserves the right when assessing proposals to take into account the effectiveness and added value of previous or ongoing projects undertaken by the applicant with European Union funding.

Cost estimates should be reasonable, justified and comply with the principle of sound financial management, in particular regarding economy and efficiency (see also section 14). It should be noted that the cost-effectiveness of actions will be evaluated on the basis of the proposed budget. The Commission reserves the right to make corrections and/or cut non-eligible expenditure from the proposed budget, but it will not make adjustments in order to improve cost-effectiveness of proposals.

10. LEGAL COMMITMENTS

In the event of a grant awarded by the Commission, a grant agreement, drawn up in euro and detailing the conditions and level of funding, will be sent to the beneficiary, or to the coordinator in the case of multi-beneficiary grant agreements.

The 2 copies of the original agreement must be signed by the beneficiary, or the coordinator in the case of multi-beneficiary grant agreements, and returned to the Commission immediately. The Commission will sign it last.

A model grant agreement is published on the Europa website under the relevant call: <http://ec.europa.eu/social/main.jsp?catId=629&langId=en&callId=479>.

Please note that the award of a grant does not establish an entitlement for subsequent years.

11. FINANCIAL PROVISIONS

Details on financial provisions are laid out in the Financial Guidelines for Applicants (Annex I to the call) and the model grant agreement, both published on the Europa website under the relevant call:

<http://ec.europa.eu/social/main.jsp?catId=629&langId=en&callId=479>.

Specific provisions

- Where the value of a foreseen **procurement contract for subcontracting external expertise exceeds EUR 60 000**, in addition to the rules indicated in the Financial Guidelines for applicants, the following shall apply:
 - The applicant must provide with the grant application a copy of the draft tender specifications. To assist applicants, a model for tender specifications is included in Annex to this call. Important additional information concerning procurement can be found in the Financial Guidelines (section 4.2.2.3). The draft tender specifications should be submitted in English, French or German.
 - If selected, beneficiaries must be able to prove, if requested, that they have sought bids from at least five different tenderers, including proof that they have published the call for tender or invitation to tender at least on their website and provided a detailed description of the selection procedure.

This requirement does not apply to public authorities which are already governed by a system of public procurement rules.

- As regards **daily subsistence allowances and travel expenses**, only those related to participants and speakers travelling between EU Member States and/or Candidate countries will be accepted as eligible costs.

This provision does not apply to staff of international organisations, such as UN agencies, who are invited by the beneficiary to participate in a project event as a speaker/expert, including where the international organisation is an associate organisation to the project, or where the international organisation is a co-beneficiary in the project.

12. PROCEDURE FOR THE SUBMISSION OF PROPOSALS

The procedure to submit proposals electronically is explained in point 14 of the "Financial Guidelines for Applicants" (Annex I to this call). Before starting, please read carefully the SWIM user manual:

http://ec.europa.eu/employment_social/calls/pdf/swim_manual_en.pdf.

Once the application form is filled in, applicants must submit it **both electronically and in hard copy**, before the deadline set in section 3 above.

The SWIM electronic application form is available until midnight on the day of the submission deadline. Since the applicants must first submit the form electronically, and then print, sign and send it by post service or hand delivery by the submission deadline, it is the **applicant's responsibility to ensure that the appropriate postal or courier services are locally available on the day of the deadline**.

The hard copy of the proposal must be duly signed and sent in **2 copies** (one marked "original" and one marked "copy"), including all documents listed in the checklist in section 14, by the deadline (the postmark or the express courier receipt date serving as proof) to the following address:

<p>European Commission Call for proposals VP/2016/004 DG EMPL/A.2, J-54 – 01/004 B-1049 Brussels Belgium</p>

Please send your proposal by **registered post, express courier service or by hand delivery only**. Proof of posting or express courier receipt should be kept as it could be requested by the European Commission in cases of doubt regarding the date of submission.

Hand-delivered proposals must be received by the European Commission **before 4 p.m.** on the last day for submission at the following address:

European Commission
Central Mail Service¹⁷
Call for proposals VP/2016/004 – DG EMPL/A.2
Avenue du Bourget 1
B-1140 Evere
Belgium

At that time the European Commission's Mail Service will provide a signed receipt which should be conserved as proof of delivery.

If an applicant submits more than one proposal, each proposal must be submitted separately.

Additional documents sent by post, by fax or by electronic mail after the deadlines mentioned above will not be considered for evaluation unless requested by the European Commission.

The applicant's attention is also drawn to the fact that incomplete or unsigned application forms, hand-written forms and those sent by fax or e-mail will not be taken into consideration.

13. COMMUNICATION

Communication during the application period

The information contained in the present call document together with the Financial Guidelines for Applicants provides all the information you require to submit an application. Please read it carefully before doing so, paying particular attention to the priorities of the present call.

All enquiries must be made by e-mail only to:

empl-vp-industrial-relations@ec.europa.eu

For technical problems please contact: empl-swim-support@ec.europa.eu

Questions may be sent to the above address no later than 10 days before the deadline for the submission of proposals. The Commission has no obligation to provide clarifications to questions received after this date.

Replies will be given no later than 5 days before the deadline for submission of proposals. To ensure equal treatment of applicants, the Commission will not give a prior opinion on the eligibility of applicants or affiliated entities, an action or specific activities.

As a rule, no individual replies to questions will be sent but all questions together with the answers and other important notices will be published (FAQ – Frequently Asked

¹⁷ http://ec.europa.eu/contact/mailing_en.htm

Questions) at regular intervals on the Europa website:

<http://ec.europa.eu/social/main.jsp?catId=629&langId=en&callId=479>.

The Commission may, on its own initiative, inform interested parties of any error, inaccuracy, omission or clerical error in the text of the call for proposals on the mentioned Europa website. It is therefore advisable to consult the above mentioned website regularly in order to be informed of the questions and answers published.

No modification to the proposal is allowed once the deadline for submission has elapsed. If there is a need to clarify certain aspects or to correct clerical mistakes, the Commission may contact the applicant for this purpose during the evaluation process. This is generally done by e-mail. It is entirely the responsibility of applicants to ensure that all contact information provided is accurate and functioning. In case of any change of contact details, please send an e-mail with the application VP reference and the new contact details to empl-vp-industrial-relations@ec.europa.eu.

All communication regarding an application will be done with the lead applicant only, unless there are specific reasons to do otherwise.

Information on the outcome of the procedure

Applicants will be informed in writing about the results of the selection process.

Unsuccessful applicants will be informed of the reasons for rejection. Successful applicants will receive 2 copies of the original agreement for acceptance and signature (see also section 10 above).

No information regarding the award procedure will be disclosed until the notification letters have been sent to the beneficiaries.

Participation of the Commission in project events

Following the award of a grant, if the successful applicant would like the Commission to participate in any project events, the applicant must take immediate contact (in any case, at least 2 months before the event) with the Commission official responsible for following the action (named in the letter accompanying the grant agreement). The successful applicant should therefore not finalise the programming of such events without the Commission's prior approval and confirmation of participation.

The Commission's acceptance of the grant application does not prejudice its decision on whether to attend an event included in the work programme. Such a decision is always subject to a separate examination of the event programme and prior agreement on the dates and practicalities. In this context it should be noted that the probability of Commission officials participating in project events will be higher if the latter take place in Brussels.

14. REQUIRED DOCUMENTS

The table below includes the documents that must be provided on submission of the proposal. It also indicates where originals are required. We recommend that applicants use the table as a **checklist** in order to verify compliance with all requirements.

In order to allow the Commission to evaluate proposals, files must be complete.

While some information must be supplied using the templates available in the SWIM, other documents may need to be completed and/or attached electronically, usually either administrative documents or free format text descriptions. The SWIM application indicates in each section where SWIM templates should be used as well as which and where free format documents can be uploaded electronically.

Regarding the detailed work programme and budget explanation, applicants should take account of the following instructions.

- The **detailed work programme** (see checklist point 12) should **not repeat information that is already provided in the SWIM application form**¹⁸.
 - It should provide a detailed and structured overview of the different project activities, the foreseen timing (indicating numbers of months, *not* names of months) and the role and responsibility of each partner organisation (*not* individual staff members) in the implementation of these activities, as well as, to the extent possible, draft agendas of the main project events.
 - Where appropriate, risk factors as regards implementation and/or impact of the activities should be identified and mitigating measures defined.
 - It offers an opportunity to develop further the rationale and problem analysis underpinning the action.
 - If any subcontracting of tasks is foreseen, the detailed work programme must provide detailed information on the tasks to be subcontracted and the reasons for doing so. Core tasks as defined in section 6.3 of the call cannot be subcontracted.
 - All other information on the action should in principle be given in the SWIM application form. The detailed work programme is therefore expected not to be much longer than 5 pages, with an absolute maximum of 10 pages.
- The **budget explanation** (see checklist point 13) must provide **additional** information to explain and justify items of the proposed budget as submitted in the SWIM application form. It should in particular explain: how the number of working days of staff involved in the implementation of the action has been fixed; how average travel costs were calculated; unless this is self-explanatory, how costs of services and administration costs were defined.

At the submission of the application, **copies of the signed originals** will be accepted for most of the documents to be submitted by the co-applicants. However, the lead

¹⁸ The corresponding section in the SWIM form (E.6 Workplan) can therefore be kept rather succinct.

applicant shall keep the original signed versions for its records, because **originals** may have to be submitted for certain documents at a later stage. **If the lead applicant fails to submit these original documents within the deadline given by the Commission, the proposal will be rejected for lack of administrative compliance.**

Regarding the compilation of the application file, it is recommended to:

- follow the order of documents as listed in the checklist;
- print the documents double-sided;
- use 2-hole folders (do not bind or glue; stapling is acceptable).

CHECKLIST for required documents

This table includes the documents that must be provided and indicates where originals are required. We strongly recommend using the table as a checklist in order to verify compliance with all requirements. **Notes:** highlighted documents do not need to be provided by public entities. Documents marked with * are obligatorily to be attached online in SWIM as well.

No.	Document	Specification and content	The document must be provided by each				Originally signed?	Checkbox
			Lead applicant	Co-applicant	Affiliated entity	Associate organisation / third party		
1	Official cover letter of the application	This free format letter must quote the reference of the call for proposals and the proposal reference number generated by SWIM (e.g. VP/20XX/OXX/xxxx).	✓	--	--	--	--	<input type="checkbox"/>
2	Signed SWIM application form submitted online	The SWIM application form submitted online must be printed and dated and signed by the authorised legal representative and send by hard copies as foreseen in Section 12. <i>Note: the online form must be electronically submitted before printing. After electronic submission, no further changes to the proposal are permitted.</i>	✓	--	--	--	✓	<input type="checkbox"/>
3	Declaration on honour*	The template is available in SWIM and must be written on the official letterhead of the organisation, bearing the original signature of the authorised legal representative. <i>Copies of the original signed declaration of co-applicants are accepted at the submission of the application; originals to be submitted upon request.</i>	✓	✓	--	--	✓	<input type="checkbox"/>
4	Letter of commitment*	The template is available in SWIM and must explain the nature of the organisation's involvement and specify the amount of any funding provided. The letter must be written on the official letterhead of the organisation and bear the original signature of the legal representative. <i>Copies of the original signed letters of commitment are accepted at the submission of the application; originals to be submitted upon request.</i>	--	✓	✓	✓	--	<input type="checkbox"/>
5	Letter of mandate*	The template is available in SWIM and must be written on the official letterhead of the organisation, dated and signed by the authorised legal representative. <i>Copies of the original signed letters of mandate are accepted at the submission of the application; originals to be submitted upon request.</i>	--	✓	--	--	--	<input type="checkbox"/>

No.	Document	Specification and content	The document must be provided by each				Originally signed?	Checkbox
			Lead applicant	Co-applicant	Affiliated entity	Associate organisation / third party		
6	Legal/capital link with lead or co-applicant*	Affiliated entities are required to provide proof of the legal and/or capital link with the lead or co-applicant.	--	--	✓	--	--	<input type="checkbox"/>
7	Legal entity form*	The template is available in SWIM and online (http://ec.europa.eu/budget/contracts_grants/info_contracts/legal_entities/legal_entities_en.cfm) and must be duly signed and dated by the legal representative. Exclusively in the case of social partner organisations without legal personality , a signed letter of the legal representative certifying his/her capacity to undertake legal obligations on behalf of the organisation.	✓	✓	--	--	--	<input type="checkbox"/>
8	Proof of registration	A certificate of official registration or other official document attesting the establishment of the entity (for public bodies: the law, decree, decision, etc., establishing the entity).	✓	✓	--	--	--	<input type="checkbox"/>
9	Statutes	The articles of association/founding act/constitution/statutes or equivalent, proving the eligibility of the organisation. It is recommended not to include a paper copy of statutes in the application file, but to attach only an electronic copy in the SWIM application form. Organisations of Candidate Countries are requested to provide a translation in English, French or German of the required documents.	✓	✓	--	--	--	<input type="checkbox"/>
9b	Excerpt of statutes or equivalent	Research institutes must include as a separate document the relevant excerpt of their statutes or equivalent, demonstrating that their primary missions include pursuing research and analysis, as well as its translation into English, French or German.	✓	✓	--	--	--	<input type="checkbox"/>
10	VAT certificate	A document showing the identification number for tax purposes or the VAT number, if applicable.	✓	✓	--	--	--	<input type="checkbox"/>
11	Financial identification form*	The template is available in SWIM and online (http://ec.europa.eu/budget/contracts_grants/info_contracts/financial_id/financial_id_en.cfm) and must be duly signed and dated by the <u>account holder</u> and bearing the bank stamp and signature of the bank representative (or a copy of recent bank statement attached).	✓	--	--	--	✓	<input type="checkbox"/>

No.	Document	Specification and content	The document must be provided by each				Originally signed?	Checkbox
			Lead applicant	Co-applicant	Affiliated entity	Associate organisation / third party		
12	Detailed work programme*	This is a separate free-format document in addition to the on-line application form and it must also be submitted both electronically and on paper. The paper version must be identical to the electronic version of the detailed work programme. The detailed work programme should be submitted in English, French or German.	✓	--	--	--	--	<input type="checkbox"/>
13	Budget Explanation for the project*	This is a separate free-format document in addition to the budget section of the on-line application form and it must also be submitted electronically in annex to the on-line application form. The paper version must be identical to the electronic version of the budget explanation. The Commission may request applicants to submit additional justifications of proposed eligible costs during the evaluation procedure. The document should be submitted in English, French or German.	✓	--	--	--	--	<input type="checkbox"/>
14	Curriculum vitae of the project manager	Detailed CV of the person responsible for managing the action (named in section A.3 of the online application form). The CV should indicate clearly the current employer. The CV should be submitted in English, French or German.	✓	--	--	--	--	<input type="checkbox"/>
15	Draft tender specifications	In case of subcontracting for external expertise where the value of the contracts exceeds EUR 60 000, a copy of the draft tender specifications must be submitted (see also section 11 of the call). A model is included in Annex II of this call. The draft tender specifications should be submitted in English, French or German.	✓	✓	✓	--	--	<input type="checkbox"/>
16	Balance sheet	The most recent balance sheet, including assets and liabilities, specifying the currency used. Organisations that are not required by law to establish an official balance sheet must nevertheless provide information on their assets and liabilities. A statement of income and expenses is not sufficient.	✓	✓	--	--	--	<input type="checkbox"/>
17	Audit report	For grant requests of EUR 750,000: an external audit report produced by an approved auditor, certifying the accounts for the last financial year available. The threshold applies to each co-applicant in line with their share of the action budget. The report should be submitted in English, French or German.	✓	✓	--	--	--	<input type="checkbox"/>

ANNEX I:

FINANCIAL GUIDELINES FOR APPLICANTS

Annex I is available on the Europa website under the relevant call:

<http://ec.europa.eu/social/main.jsp?catId=629&langId=en&callId=479>

ANNEX II

MODEL FOR TENDER SPECIFICATIONS FOR SUBCONTRACTING EXTERNAL EXPERTISE

Tender Specifications –

1. Background

2. Purpose of the Contract

3. Tasks to be performed by the Contractor

3.1 Description of tasks

3.2 Guidance and indications on tasks execution and methodology

4. Expertise required

5. Time schedule and reporting

6. Payments and standard contract

7. Price

8. Selection criteria

9. Award criteria

The contract will be awarded to the tenderer whose offer represents the best value for money - taking into account the following criteria:

- ☐
- ☐
- ☐

It should be noted that the contract will **not** be awarded to a tenderer who receives less than 70% on the Award Criteria.

10. Content and presentation of the bids

10.1 Content of the bids

10.2 Presentation of the bids