



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

## **BUDGET HEADING 04 03 01 08**

**Improving expertise in the field of industrial relations**

## **CALL FOR PROPOSALS**

**VP/2019/004**

Any questions should be sent by email to: [empl-vp-industrial-relations@ec.europa.eu](mailto: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, where possible.

This text is only available in English. It will not be possible for the Commission to provide translations without delaying the entire procedure. The English version remains in any event the sole official text of this call for proposals.

Applicants are invited to read the present document in conjunction with the Financial Guidelines for Applicants and the model Grant Agreement(s) published with this call as well as the financial rules applicable to the general budget of the Union:  
[http://ec.europa.eu/budget/biblio/documents/regulations/regulations\\_en.cfm](http://ec.europa.eu/budget/biblio/documents/regulations/regulations_en.cfm)

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## 1. INTRODUCTION – BACKGROUND

### 1.1. Legal base

The legal basis of this call for proposals is the Commission Decision C(2018)6625 concerning the adoption of the 2019 annual work programme for grants and procurements for DG EMPL prerogatives and specific competences, serving as financing decision.

### 1.2. Policy and economic background

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 *Establishing a European Pillar of Social Rights* (COM(2017)0250) as well as the related joint proclamation of European Parliament, Council and Commission of November 2017 and the Commission Communication *Monitoring the implementation of the European Pillar of Social Rights* (COM(2018)130 final);
- 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 Countries<sup>1</sup>.

## 2. OBJECTIVES – PRIORITIES – TYPES OF ACTIONS - EXPECTED RESULTS

### 2.1. Objectives – Definitions - Priorities

#### ***General objective***

The overarching objective of this call is to improve expertise and knowledge on industrial relations through **analysis and research**, at **EU level** as well as in **comparative terms**

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<sup>1</sup> 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: [http://ec.europa.eu/enlargement/countries/check-current-status/index\\_en.htm](http://ec.europa.eu/enlargement/countries/check-current-status/index_en.htm).

(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 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, including social dialogue at different levels
  - in responding to the major challenges/opportunities brought by new forms of work, digitalisation – including artificial intelligence, globalisation, demographic evolutions, climate change and technological change;
  - to addressing the employment, social and economic challenges as identified in the European Pillar of Social Rights;
  - in the context of the European Semester and Economic and Monetary Union;
  - to reaching economic and social outcomes in terms of: economic growth and competitiveness; social inclusion and fairness; job creation and job quality;
- Functioning and effects of coordination of collective bargaining across different levels and territories.

### ***General remark***

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

## **2.2. Types of actions 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 chapters on social dialogue in Employment and Social Developments in Europe (ESDE) Report;
- Research activities on industrial relations and social dialogue, 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. Expected results

Improved beneficiaries' and concerned stakeholders' expertise and knowledge on industrial relations through analysis and research, at EU level as well as in comparative terms in EU Member States and Candidate Countries.

### 2.4. 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.
- This call for proposals aims at funding projects with a strong research/analysis focus. 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 plan should specify which **data** will be used to feed 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 plan 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 plan should provide details on **reporting** of the research findings.
- In case of follow-up actions submitted by the same applicant on similar or related topics, the added value of the new proposal as compared to ongoing and previous actions<sup>2</sup> should be clearly explained.
  - The choice of organisations involved and countries covered should be duly explained and justified as regards their relevance towards the specific objectives of the action.

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

Taking account of beneficiaries' interest, the Commission may organise a **networking day** in Brussels for beneficiaries under this 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 2019
b)	Deadline for questions and requests for clarification	1 June 2019
c)	Deadline for submitting proposals	11 June 2019 Swim, Courier and Post : 24:00 Brussels' time (CET) Hand deliveries

<sup>2</sup> Including projects funded under other budget headings.

		16:00 Brussels' time (CET)
d)	Evaluation period (indicative)	Until September 2019
e)	Information to applicants (indicative)	November 2019 <sup>3</sup>
f)	Signature of the grant agreement (indicative)	December 2019 <sup>4</sup>
g)	Starting date of the action (indicative)	As of 1 January 2020

### 3.1. Starting date and duration of the projects

The actual starting date of the action will either be a) the first day following the date when the last of the two parties sign the agreement, or b) the first day of the month following the date when the last of the two parties signs, or c) a date agreed upon between the parties.

Applicants should note that if their project is selected, they may receive the grant agreement after the start date of the action that they have indicatively set in the application form. It is, therefore, advisable to number the months in the work plan instead of indicating the name of the months and date.

No expenditure can be incurred before the date of submission. Any expenditure incurred before the signature of the Grant Agreement will be at the applicant's risk.

An action grant may be awarded for an action which has already begun only when the applicant can demonstrate in the grant application the need to start the action before the grant agreement is signed.

The project's duration should indicatively be between 12 and 24 months.

## 4. AVAILABLE BUDGET

The total budget earmarked for the EU co-financing of projects under this call is estimated at **EUR 3 995 996**.

The EU grant requested should indicatively be between EUR 150 000 and EUR 500 000.

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

The Commission reserves the right to increase the amount of the funds in case of available funds and distribute them to proposals admitted in the reserve list, if any. This top-up of the budget is limited to 20% of the initial budget of the call.

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<sup>3</sup> And in any case no later than 6 months after the submission deadline.

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

#### 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<sup>5</sup>.

Although, International Organisations<sup>6</sup> may be entitled to different co-financing provisions under their bilateral agreements with the EU, it must be noted that the rule of the Call will prevail in case a proposal is submitted by an International Organisation.

### 5. ADMISSIBILITY REQUIREMENTS

- Applications must be sent no later than the deadline for submission referred to in section 3(c).
- Applications (meaning the application form including budget and description of the action including work plan) 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 complete application form and the other afore-mentioned documents by post or courier service (one original dossier and one copy; see section 12).

Failure to comply with one of the above requirements may 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. It should be noted, however, that proposals submitted in any of the official languages of the EU will be accepted. In this case, applications should be accompanied by an executive summary in English, French or German (see section 14, checklist point 3).

### 6. ELIGIBILITY CRITERIA

*Please be aware that eligibility criteria must be complied with for the entire duration of the grant. If the United Kingdom withdraws from the EU during the grant period without concluding an agreement with the EU ensuring in particular that British applicants continue to be eligible, British beneficiaries will cease to receive EU funding (while continuing, where possible, to participate) or be required to leave the project on the basis of the article of the Grant Agreement allowing termination due to a change of the legal situation of the*

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<sup>5</sup> Letters of commitment are required from co-applicants, any affiliated entity and any third party providing financial contributions to the eligible costs of the action (see section 14, checklist point 5).

<sup>6</sup> According to the meaning of Article 156 of the Financial Regulation (EU, Euratom) 2018/1046.



*beneficiary (Article II.7.2.1(a) for mono-beneficiary and Article II.17.3.1(a) for multi-beneficiary Grant Agreements).*

## **6.1. Eligibility of the applicants (lead and co-applicants) and affiliated entities**

### **a) Place of establishment:**

Legal entities properly established and registered in the following countries are eligible as **single applicants or lead applicants**:

- EU Member States;

Legal entities properly established and registered in the following countries are eligible as **co-applicants, associate organizations or affiliated entities**:

- EU Member States;
- Candidate Countries (Albania, Montenegro, Republic of North Macedonia, Serbia and Turkey).

In derogation from these requirements, international organisations whose registered headquarters are outside the eligible countries are also eligible.

### **b) Types of entities:**

- Single applicants, lead applicants, co-applicants and affiliated entities must be legal entities. In application of Article 197.2 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<sup>7</sup>;
- Applicants must fall within one of the following categories: non-profit-making organisations such as universities and research institutes<sup>8</sup>; social partners; public authorities; international organisations.
- International organisations may apply as sole applicant, lead or co-applicant as well as associate organisation.

### **c) Single applicants or consortia<sup>9</sup>**

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<sup>7</sup> For 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 must be submitted (see section 14, checklist point 9).

<sup>8</sup> Research institutes are required to provide 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 (see section 14, checklist point 10b).

<sup>9</sup> Letters of mandate, authorising the lead applicant to submit the proposal and to sign the Grant Agreement on their behalf must be submitted by each co-applicant. Letters of commitment must be submitted by each co-applicant, affiliated entity, certifying that they are willing to participate in the project with a brief description of their role and indicating any financial contribution where applicable

### **c1) Single applicants**

The single applicant must be an international organization.

### **c2) Consortia**

- Actions may be carried out by consortia.
- To be eligible as consortium, actions must include a lead applicant and at least one co-applicant.
- The consortium must be composed of at least one non-profit-making university or research institute as lead or co-applicant. This requirement is not applicable if the lead applicant is an international organisation.
- If the lead applicant is not a European-level or international organisation, it must be in consortium with at least one organisation (co-applicant) from a different eligible country to that of the lead applicant.

If the single or lead applicant is not considered to be eligible, the application will be rejected.

If a co-applicant is not considered to be eligible, this organisation will be removed from the consortium; the costs that were allocated to a non-eligible co-applicant will also be removed from the budget and the eligibility of the modified consortium will be re-evaluated without them. If the application is accepted for funding, the work plan may have to be adapted as appropriate.

### **d) Affiliated entities**

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.

### **e) Associate organisations**

Associate organisations are entitled to participate provided that their role and added value is clearly specified and demonstrated in the technical proposal. They may not declare eligible costs.

## **6.2. Eligible activities**

### **a) Geographical Location**

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(see section 14, checklist points 5 and 6. Letters of commitment are also required from any associate organisations (participation on a no-cost basis and no financial contribution).

To be eligible, actions must be fully carried out in the Member States of the European Union or the Candidate Countries<sup>10</sup>. This applies equally to activities carried out by International Organisations. However, in duly justified circumstances, project management costs incurred in the headquarters of International Organisations established outside the EU Member States or outside the candidate countries could be considered eligible.

## **b) Types of activities**

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

## **c) Core activities**

The project management of the action and the role of coordinator (in the 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 subcontracted<sup>11</sup>.

## **6.3. Ineligible activities**

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

National capacity-building activities which could be funded under the European Social Fund (Regulation (EU) No 1304/2013 on the European Social Fund, Article 6.2) are not eligible, nor are activities mainly aiming at directly supporting European social partners' initiatives and processes as mentioned in section 2.2.

## **7. EXCLUSION CRITERIA**

### **7.1. Exclusion**

Applicants (single applicant or lead applicant and each co-applicant) must sign a declaration on their honour signed on their name (and on behalf of the affiliated entities, should they be part of the application) certifying that they are not in one of the situations referred to in article 136 and 141 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> (see section 14, checklist point 4).

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<sup>10</sup> See section 11 of the call for specific provisions regarding daily subsistence allowances and travel expenses.

<sup>11</sup> See section 4.2.2.3 of the Financial Guidelines for detailed information on procedures regarding subcontracting and implementing contracts.

## **7.2. Rejection from the call for proposals**

The Commission shall not award a grant to an applicant who:

- a. is in an exclusion situation established in accordance with Article 136; or
- b. has misrepresented the information required as a condition for participating in the procedure or has failed to supply this information; or
- c. was previously involved in the preparation of calls documents used in the award procedure where this entails breach of the principle of equality of treatment, including a distortion of competition that cannot be remedied otherwise.

The same exclusion criteria apply to any affiliated entities which must, therefore, be included in the above mentioned declaration(s).

Administrative sanctions may be imposed on applicants, or affiliated entities where applicable, who are guilty of misrepresentation, if any of the declarations or information provided as a condition for participating in this procedure prove to be false.

## **8. SELECTION CRITERIA**

The single applicant or lead applicant and each co-applicant must have the financial and operational capacity to complete the activities for which funding is requested. Only organizations with the necessary financial and operational capacity may be considered for a grant.

### **8.1. Financial capacity**

Single applicants, lead applicants 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 verification of financial capacity will NOT apply to public bodies and to international organizations.

The single applicant's or lead applicant's and each co-applicants' financial capacity will be assessed on the basis 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 4);
- Annual balance sheet and profit and loss accounts for the last financial year available (see section 14, checklist point 13);
- Summary balance sheet and profit and loss accounts using the template provided in SWIM (see section 14) and signed by the legal representative (see section 14, checklist point 16).]
- Information on the financial capacity provided by the applicant and in particular the information provided in section "Financial Resources" of the SWIM application form;

- For grants of EUR 750 000 or more per beneficiary or affiliated entity, an audit report produced by an approved external auditor certifying the accounts for the last financial year available, where such an audit report is available, or whenever a statutory audit report is required by Union or national law. If the audit report is not available AND a statutory report is not required by law, a self-declaration signed by the applicant's authorized representative certifying the validity of its accounts for the last financial year available (see section 14, checklist point 15).

The **ratio** between the total **assets** in the applicants' balance sheet and the total **cost** of the action of the project (single applicants) or the part of the project budget for which that organisation is responsible for according to the budget in the application form (lead and co-applicants) would be considered strong if it is equal or **greater than 0.70**.

**Formula in the case of single applicant:** own assets/total cost of the action > 0.70

**Formula for each applicant in the case of consortia:** applicant's own assets/part of the cost of the action corresponding to that applicant > 0.70

If the single applicant or lead applicant is considered not to have a strong financial capacity, the application as a whole will be rejected.

If a co-applicant or several co-applicants are considered not to have a strong financial capacity, the Commission will also take into account any other relevant information on the financial capacity provided by the applicant and in particular the information provided in section "Financial Resources" of the SWIM application form.

After this further analysis, the Commission will take various proportional measures depending on the level of weaknesses identified, which may be to:

1. reject the whole application;
2. remove the co-applicant from the consortium and re-evaluate the proposal without this co-applicant;
3. propose a Grant Agreement without pre-financing;
4. propose a Grant Agreement with a pre-financing paid in several instalments;
5. propose a Grant Agreement with pre-financing payment(s) covered by (a) financial guarantee(s);
6. propose a Grant Agreement with joint financial liability of 2 or more applicants.
7. propose a grant agreement with a mix of the measures 4, 5 and 6.

In the case of mitigating measure 5, the Commission may request a pre-financing guarantee for up to the same amount as the pre-financing in order to limit the financial risks linked to the pre-financing payment.

The financial guarantee, in euro, shall be provided by an approved bank or financial institution established in one of the EU Member States. When the beneficiary is established in a third country, the Commission may agree that a bank or financial institution established in that third country may provide the guarantee if it considers that

the bank or financial institution offers equivalent security and characteristics as those offered by a bank or financial institution established in a Member State. Amounts blocked in bank accounts shall not be accepted as financial guarantees.

The guarantee shall be released as the pre-financing is gradually cleared against interim payments or the payment of the balance, in accordance with the conditions laid down in the grant agreement.

## **8.2. Operational capacity**

Single applicants, lead applicants and each co-applicant must have the professional competencies and operational resources (technical, managerial) as well as appropriate qualifications necessary to complete the proposed action.

In particular, the project manager must have:

- a minimum of 2 years of professional experience in the field of social dialogue and/or industrial relations, and
- at least B2 level in English, French or German.

The operational capacity of the single applicant or lead applicant and co-applicant(s) to complete the proposed action must be confirmed by the submission of the following supporting elements:

- the information provided in section F.1 of the SWIM application form on the operational structure of the single applicant and lead applicant and co-applicant(s) and on previous and current actions undertaken by them;
- The CV of the proposed project manager and of the persons who will perform the main tasks, showing their professional experience (see section 14, checklist point 4) and language level<sup>12</sup>;
- Declaration on honour signed by the legal representative, including operational capacity to carry out the action (see section 14, checklist point 4).

If the single applicant or lead applicant for consortia is considered not to have the required operational capacity, the application as a whole will be rejected.

If a co-applicant is considered not to have the required operational capacity, this co-applicant will be removed from the consortium and the application will be evaluated without this co-applicant<sup>13</sup>. In addition, the costs that are allocated to the non-selected co-applicant will be removed from the budget. If the application is selected, the work plan may have to be adapted as appropriate.

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<sup>12</sup> [Common European Framework of Reference for Languages - Self-assessment grid](#)

<sup>13</sup> 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.

### AWARD CRITERIA:

- i. The extent to which the action meets the objectives and priorities of the call for proposals and contributes to the understanding of industrial relations, at EU level as well as in comparative terms<sup>14</sup> (maximum possible score: 10)
- ii. The extent to which the action has a genuine transnational dimension (maximum possible score: 10)
- iii. a) The quality of the consortium (co-applicants) and/or broader partnership (affiliated entities and associate organizations), including the degree of involvement and commitment of the partners in the action<sup>15</sup> and the appropriateness of the internal working arrangements,  
  
b) In case of single applicant with no affiliated entity or associate organisation, the appropriateness of implementing this action alone will be assessed including the internal working arrangements of the team <sup>16</sup>  
  
(maximum possible score: 10)
- iv. The cost-effectiveness of the action and the clarity and completeness of the budget explanation (maximum possible score: 10)
- v. The quality of the arrangements to publicise the action and disseminate the results, and to ensure the action's impact and/or multiplier effect<sup>17</sup> (maximum possible score: 10)
- vi. The quality of the overall research methodology and its composing elements (maximum possible score: 10)

<sup>14</sup> The Commission reserves the right when assessing proposals to take into account the added value of the proposed action compared to previous or ongoing projects undertaken by the applicant(s) as well as to any other work in the area at hand of which the applicant(s) can reasonably be expected to be aware (see also section 2.3 of the call).

<sup>15</sup> Letters of commitment must be submitted from each co-applicant and affiliated entity, demonstrating that they are willing to participate in the project with a brief description of their role and indicating any financial contribution as applicable. Associate organisations must submit a letter of commitment showing their willingness to participate in the project with a brief description of their role. See section 14, checklist point 5.

<sup>16</sup> Please note that the Commission does not consider it appropriate to include independent consultants, conference organisers, etc., as project partners. Please read chapter 4.2.2.3 Costs of services of Annex I carefully.

<sup>17</sup> The multiplier effect refers to how the project and its results will promote change in other fields, such as geographical, sectoral and thematic.

Applications will be ranked according to the total score awarded. Taking into account the available budget, the proposals with the highest total scores will be recommended for award, **on condition that:**

- **the total score reaches at least 60% of the maximum total mark;**
- **the score for each of criteria i, ii and vi is at least 50% of the maximum total mark for these criteria, i.e., 5 points.**

## **10. LEGAL COMMITMENTS**

In the event of a grant being awarded by the Commission, a Grant Agreement, drawn up in euros 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 shall 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 them last.

The Commission may have made relevant corrections and deletion of ineligible costs or activities in the Grant Agreement sent to the applicant– therefore the applicant should carefully read the whole agreement before signing and returning the copies to the Commission.

The applicable model Grant Agreement is published on the Europa website under the relevant call.

<https://ec.europa.eu/social/main.jsp?catId=629&langId=en&callId=549&furtherCalls=yes>

There is no alternative to this model in the context of this call. In specific cases, international agreements conditions may apply (NB: but not for the co-financing requirement).

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

## **11. DATA PROTECTION**

### **11.1. Before the grant agreement's signature:**

The reply to any call for proposals involves the recording and processing of personal data (such as name, address and CV). Such data will be processed pursuant to Regulation (EU) 2018/1725. Unless indicated otherwise, the applicant's replies to the questions and any personal data requested that are required to evaluate the application in accordance with the call for proposal, will be processed solely for that purpose by the Head of Unit F.4 – Programme Management and Implementation, DG Employment, Social Affairs and Inclusion. Details concerning the processing of your personal data are available on the



privacy statement at: [https://ec.europa.eu/info/data-protection-public-procurement-procedures\\_en](https://ec.europa.eu/info/data-protection-public-procurement-procedures_en).

Personal data may be registered in the Early Detection and Exclusion System by the Commission, should the beneficiary be in one of the situations mentioned in Articles 136 and 141 of Regulation (EU, Euratom) 2018/1046<sup>18</sup>. For more information see the Privacy Statement on: [http://ec.europa.eu/budget/library/explained/management/protecting/privacy\\_statement\\_edes\\_en.pdf](http://ec.europa.eu/budget/library/explained/management/protecting/privacy_statement_edes_en.pdf)

### **11.2. Once the grant agreement is signed :**

Beneficiaries must process personal data in compliance with the applicable EU and national law on data protection in accordance with the Regulation (EU) 2016/679<sup>19</sup>.

Any personal data included in the Agreement must be processed by the Commission in accordance with Regulation (EU) No 2018/1725<sup>20</sup>.

Such data must be processed by the data controller identified in Article I.7.1 solely for implementing, managing and monitoring the Agreement or to protect the financial interests of the EU, including checks, audits and investigations in accordance with Article II.27.

Please refer to Article II.7 of the General Conditions of the model grant agreements.

## **12. FINANCIAL PROVISIONS**

Details on financial provisions are laid out in the Financial Guidelines for and the model Grant Agreement, both published on the Europa website under the relevant call webpage:

<https://ec.europa.eu/social/main.jsp?catId=629&langId=en&callId=549&furtherCalls=yes>

### **a) Specific procurement provisions: implementation contracts / subcontracting**

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<sup>18</sup> <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A32018R1046>

<sup>19</sup> Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC, OJ L 119, 4.5.2016, p. 1, [https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.L\\_.2016.119.01.0001.01.ENG](https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.L_.2016.119.01.0001.01.ENG)

<sup>20</sup> Regulation (EU) 2018/1725 of the European Parliament and of the Council of 23 October 2018 on the protection of natural persons with regard to the processing of personal data by the Union institutions, bodies, offices and agencies and on the free movement of such data, and repealing Regulation (EC) No 45/2001 and Decision No 1247/2002/EC.

Where the implementation of the action requires the award of procurement contracts (implementation contracts/subcontracting), the beneficiary must award the contract to the bid offering best value for money or the lowest price (as appropriate), avoiding conflicts of interests.

Where the value of a **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:

- If selected, beneficiaries must be able to prove, upon request, that they have sought bids from at least five different tenderers, including proof that they have publicised their intention 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.

#### **b) Daily subsistence allowances and travel expenses**

Only daily subsistence allowances and travel expenses, related to participants and speakers travelling between and within 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 participates as a co-beneficiary in the project.

### **13. 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](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.

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, blue ink 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**. It is recommended to upload/send the complete application well before deadline, to ensure submission on time.

The hard copy of the proposal must be duly blue ink 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** set in section 3 either by registered post, express courier or hand delivery.

Address for registered post or express courier service:

**European Commission  
NOT TO BE OPENED BY CENTRAL MAIL SERVICE  
Call for proposals VP/2019/004  
DG EMPL/CAD, J-27 – 00/120  
B-1049 Brussels  
Belgium**

Evidence of posting or express courier deposit slip should be kept as it could be requested by the European Commission in cases of doubt regarding the date of submission.

- a) registered post evidence : postmark
- b) express courier service evidence : deposit slip of express courier service

**Hand-delivered proposals** must be received by the European Commission **by 4 p.m.** of the date indicated in section 3 at the following address:

**European Commission  
Central Mail Service<sup>21</sup>  
NOT TO BE OPENED BY CENTRAL MAIL SERVICE  
Call for proposals VP/2019/004 – 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 and dated proof of receipt which should be conserved as evidency 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 explicitly requested by the European Commission (see section 13).

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 accepted.

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<sup>21</sup> [http://ec.europa.eu/contact/mailing\\_en.htm](http://ec.europa.eu/contact/mailing_en.htm)

## 14. COMMUNICATION

Contacts between the Commission and potential applicants can only take place in certain circumstances and under the following conditions only:

### **Before the final date for submission of proposals**

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.

Any requests for additional information must be made by e-mail only to the coordinates stated below.

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

**[empl-vp-industrial-relations@ec.europa.eu](mailto:empl-vp-industrial-relations@ec.europa.eu)**

For technical problems please contact: [empl-swim-support@ec.europa.eu](mailto:empl-swim-support@ec.europa.eu)

The Commission has no obligation to reply to requests for additional information received after the deadline for questions and clarifications set in section 3.

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.

No individual replies to questions will be sent but all questions together with the answers and other important notices will be published (FAQ in EN) at regular intervals on the webpage under the relevant call:

<https://ec.europa.eu/social/main.jsp?catId=629&langId=en&callId=549&furtherCalls=yes>

The Commission may, on its own initiative, inform 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 this website regularly in order to be informed of updates and of the questions and answers published. It is the applicant's responsibility to check for updates and modifications regularly during the submission period.

### **After the deadline for submission of proposals**

No modification to the proposal is allowed once the deadline for submission has elapsed.

If clarification is requested or if obvious clerical errors in the proposal need to be corrected, the Commission may contact the applicant by e-mail provided the terms of the proposal are not modified as a result.

It is the applicants' responsibility to provide a valid e-mail address and contact details and to check this e-mail address regularly. 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](mailto:empl-vp-industrial-relations@ec.europa.eu).

In the case of consortia, all communication regarding an application will be done with the lead applicant only, unless there are specific reasons to do otherwise.

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

Unsuccessful applicants will be informed of the reasons for rejection. No information regarding the award procedure will be disclosed until the notification letters have been sent to the beneficiaries.

## **15. INSTRUCTIONS FOR THE PRESENTATION OF THE APPLICATION AND REQUIRED DOCUMENTS**

### **15.1. Instructions for the presentation of the application**

The application comprises an application form including the budget, a description of the action and work plan plus a series of other required documents (see section 14.2).

The description of the action and work plan must be written using a free format document. All the information related to the description of the action and the work plan must be presented in one single document. The budget must be presented using the application form in SWIM and a separate budget explanation must also be provided (see section 14 checklist, point 11).

In the description of the action, the role of all applicant(s), affiliated entities and associate organisations must be clearly explained.

In case of subcontracting of any tasks of the action (see the Financial Guidelines), the description of the action in the proposal must provide details on these tasks to be subcontracted and the reasons for doing so and these tasks must be clearly identified in the budget in separate lines. Core tasks as defined in section 6.2(c) of the call cannot be subcontracted.

The **detailed work plan** (see checklist point 10) should **not repeat information that is already provided in the SWIM application form**<sup>22</sup>.

- 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.

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<sup>22</sup> The corresponding section in the SWIM form can therefore be kept rather succinct.

- Where appropriate, risk factors as regards implementation and/or impact of the activities should be identified and mitigating measures defined.
- It can develop further the rationale and problem analysis underpinning the action.
- If any subcontracting of tasks is foreseen, the detailed work plan must provide detailed information on the tasks to be subcontracted and the reasons for doing so.
- All other information on the action should in principle be given in the SWIM application form. The detailed work plan is therefore expected not to be much longer than 5 pages, with an absolute maximum of 10 pages.

## 15.2. Required documents

The table in annex includes the documents that should be provided, including the documents mentioned in 14.1. Except for legal entity form, VAT certificate and financial identification form which can be submitted later only for successful applications, please note that all other documents are necessary either for the admissibility (see section 5) or for the analysis of the eligibility (see section 6) or selection criteria (see section 8). 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.

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.

**Copies of the signed originals** will be accepted for most of the documents to be submitted by the co-applicants. However, the lead 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 may 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 for the proposal 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 must be attached online in SWIM. Legal entity form, VAT Certificate and Financial identification form can either be submitted at application stage or be submitted later in case of successful application (see second table below).

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 <b>free format</b> letter must quote the reference of the call for proposals, be originally signed and dated by the authorised representative and include the proposal reference number generated by SWIM (e.g.VP/2018/002).	✓	--	--	--	✓	<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 sent 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	Executive summary in EN (if necessary – see section 5)	Free format executive summary in EN (maximum 2 pages), if required (see section 5 of the call).	✓	--	--	--	--	<input type="checkbox"/>
4	Declaration on honour	The <b>template</b> is available in SWIM and must be written on the official letterhead of the organisation, bearing the original signature of the authorised legal representative. This declaration must also refer to the financial and operational capacity to carry out the action. This declaration must also cover any affiliated entity. Where applicable, the relevant documentary evidence which illustrates the remedial measures taken for applicants who declared one of the situations of exclusion listed in the declaration.  <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"/>

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		
5	Letter of commitment	The <b>template</b> 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"/>
6	Letter of mandate	The <b>template</b> 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"/>
7	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"/>
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). Exclusively in the case of <b>social partner organisations without legal personality</b> , a signed letter of the legal representative certifying his/her capacity to undertake legal obligations on behalf of the organisation.	✓	✓	--	--	--	<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.	✓	✓	--	--	--	<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"/>



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		
10	Detailed work plan	<p>This is a separate <b>free-format</b> 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 plan.</p> <p>Applicants are encouraged to submit this document in English, French or German in order to facilitate the treatment of the proposals and speed up the evaluation process. Please refer to Section 5, Admissibility requirements.</p>	✓	--	--	--	--	<input type="checkbox"/>
11	Budget Explanation for the project	<p>This is a separate <b>free-format</b> 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. It 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. The paper version must be identical to the electronic version of the budget explanation.</p> <p>The Commission may request applicants to submit additional justifications of proposed eligible costs during the evaluation procedure.</p> <p>Applicants are encouraged to submit this document in English, French or German in order to facilitate the treatment of the proposals and speed up the evaluation process. Please refer to Section 5, Admissibility requirements.</p>	✓	--	--	--	--	<input type="checkbox"/>
12	Curriculum vitae of the key staff	Detailed CVs of the person responsible for managing the action (named in section A3 of the online application form) and the <b>persons who will perform the main tasks</b> . The CV should indicate clearly the current employer.	✓	--	--	--	--	<input type="checkbox"/>
13	Balance sheet and profit & loss account	The most recent balance sheet and profit and loss account, including assets and liabilities, specifying the currency used.	✓	✓	--	--	--	<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		
14	Summary balance sheet and profit & loss accounts	The template is available in SWIM and must be signed by the authorised legal representative]	✓	✓	--	---	✓	<input type="checkbox"/>
15	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"/>

## CHECKLIST for required documents for the proposals selected for funding

This table includes the documents that must be provided for the proposals selected for funding and where originals are required.

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	Legal entity form	The template is available in SWIM and online ( <a href="http://ec.europa.eu/budget/contracts_grants/info_contracts/legal_entities/legal_entities_en.cfm">http://ec.europa.eu/budget/contracts_grants/info_contracts/legal_entities/legal_entities_en.cfm</a> ) and must be duly signed and dated by the legal representative.	✓	✓	--	--	✓	<input type="checkbox"/>
2	VAT certificate	A document showing the identification number for tax purposes or the VAT number, if applicable.	✓	✓	--	--	--	<input type="checkbox"/>
3	Financial identification form	The <b>template</b> is available in SWIM and online ( <a href="http://ec.europa.eu/budget/contracts_grants/info_contracts/financial_id/financial_id_en.cfm">http://ec.europa.eu/budget/contracts_grants/info_contracts/financial_id/financial_id_en.cfm</a> ) 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"/>

## **ANNEX I**

### **FINANCIAL GUIDELINES FOR APPLICANTS**

Annex I is available on the call webpage:

<https://ec.europa.eu/social/main.jsp?catId=629&langId=en&callId=549&furtherCalls=yes>