



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**

**VP/2020/004**

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

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 available in English.**

**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. Programme/Legal base

The legal basis of this call for proposals is the Commission Decision C(2019)6522 of 16 September 2019 concerning the adoption of the 2020 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 Political Guidelines presented by Ursula von der Leyen in “A Union that strives for more – My agenda for Europe” and the Commission Work Programme 2020;
- the Commission communication “A strong Social Europe for just transitions”;
- The joint proclamation of European Parliament, Council and Commission of November 2017 on the European Pillar of Social Rights
- the Annual Sustainable Growth Strategy, the Joint Employment Report and the recommendations addressed to the Member States in the context of the European Semester;

The budget heading can be used to finance actions involving partners from the Candidate Countries<sup>1</sup>.

## 2. OBJECTIVE(S) – 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 and in seizing the opportunities related to the transition to a climate-neutral and digital economy, including artificial intelligence, as well as globalisation, demographic ageing 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, job retention and job quality;
  - to tackling the employment, social and economic consequences of the coronavirus crisis.
- Functioning and effects of coordination of collective bargaining across different levels and territories, including the role of collective bargaining systems in ensuring fair minimum wages for all workers in the European Union.

### ***General remark***

Activities funded under this call for proposals should pay adequate attention to gender equality and avoid discrimination.

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:

- 1) 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;
- 2) Research activities on industrial relations and social dialogue, such as studies, surveys and other forms of data collection, monitoring exercises, action research;
- 3) 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;
- 4) 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;
- 5) 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;
- 6) 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", VP/2020/001 published on 27/03/2020.

## 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.

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

### 3. TIMETABLE

	Stages	Date or period
a)	Publication of the call	April 2020
b)	Deadline for questions and requests for clarification	5 July 2020
c)	Deadline for submitting applications	15 July 2020 Swim, Courier and Post : 24:00 Brussels' time (CET)  Hand deliveries 16:00 Brussels' time <sup>3</sup> (CET)
d)	Evaluation period (indicative)	October 2020
e)	Information to applicants (indicative)	1 November 2020 <sup>4</sup>
f)	Signature of the grant agreements (indicative)	30 December 2020 <sup>5</sup>
[g)	Starting date of the action (indicative)	01 January 2021

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

The actual starting date of the action will be the first day following the date when the last of the two parties signs the grant agreement or 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 programme instead of indicating the precise name of the month or the date.

No expenditure can be incurred before the date of submission of the application. Any expenditure incurred before the signature of the Grant Agreement may be considered eligible but it will be at the applicant's risk if the applicant cannot demonstrate the imperative need for starting the action prior to signature of the agreement.

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<sup>3</sup> This option is not privileged in case the Coronavirus crisis lasts until this date.

<sup>4</sup> And in any case no later than 6 months after the submission deadline.

<sup>5</sup> And in any case no later than 3 months after the date of information to applicants.

Indeed an action grant may be awarded for an action which has already begun only where 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 months and 24 months.

## **4. AVAILABLE BUDGET AND CO-FINANCING RATE**

### **4.1. Available Budget**

The total budget earmarked for the EU co-financing of projects under this call is estimated at EUR 4.150.389.

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, if available, and distribute them to proposals admitted in the possible reserve list. This top-up of the budget is limited to 20% of the initial budget of the call.

### **4.2. 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 sources other than the European Union budget<sup>6</sup>.

Although International Organisations<sup>7</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 for proposals 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, description of the action and 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 (including all documents specified in the

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<sup>6</sup> Letters of commitment are required from any associate organisations and any third party providing financial contributions to the eligible costs of the action (see checklist, point 5).

<sup>7</sup> According to the meaning of Article 156 of the Financial Regulation (EU, Euratom) 2018/1046.



check-list) by post or courier service (one original dossier and one copy; see section 16).

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 checklist point 3).

## 6. ELIGIBILITY CRITERIA

*Please be aware that eligibility criteria must be complied with for the entire duration of the grant.*

For British applicants: Please be aware that following the entry into force of the EU-UK Withdrawal Agreement<sup>8</sup> on 1 February 2020 and in particular Articles 127(6)<sup>9</sup>, 137<sup>10</sup> and 138<sup>11</sup>, the references to natural or legal persons residing or established in a Member State of the European Union are to be understood as including natural or legal persons residing or established in the United Kingdom. UK residents and entities are therefore eligible to participate under this call.<sup>12</sup>

### 6.1. Eligibility of the applicants (single applicants, lead applicants, co-applicants and affiliated entities)<sup>13</sup>

#### 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.

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<sup>8</sup> Agreement on the withdrawal of the United Kingdom of Great Britain and Northern Ireland from the European Union and the European Atomic Energy Community.

<sup>9</sup> Art 127 (6) Unless otherwise provided in this Agreement, during the transition period, any reference to Member States in the Union law applicable pursuant to paragraph 1, including as implemented and applied by Member States, shall be understood as including the United Kingdom (*extract*).

<sup>10</sup> Art. 137 The United Kingdom's participation in the implementation of the Union programmes and activities in 2019 and 2020 (*extract*).

<sup>11</sup> Art. 138 Union law applicable after 31 December 2020 in relation to the United Kingdom's participation in the implementation of the Union programmes and activities committed under the MFF 2014-2020 or previous financial perspectives (*extract*).

<sup>12</sup> On the basis of the Withdrawal Agreement, the United Kingdom is to be treated as if it was a Member State during and after the transition period for actions which implement Union programmes and activities committed under the current Multiannual Financial Framework (2014-2020).

<sup>13</sup> See section 2 of the Financial Guidelines for definitions.

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

- 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. (c) 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>14</sup>.

## **c) Single applicants or consortia<sup>15</sup>**

### **c1) Single applicants**

The single applicant must be an international organisation.

### **c2) Consortia**

- Actions may involve consortia.
- To be eligible as consortium, actions must include a lead applicant and at least one co-applicant.
- Lead, co-applicant, affiliated entities and associate organisations must fall within one of the following categories: non-profit-making organisations such as universities and research institutes<sup>16</sup>; social partners; public authorities; international organisations, European-level organisations.
- 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.

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<sup>14</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 checklist point 8).

<sup>15</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 (see 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).

<sup>16</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 checklist point 9b).

- If the lead applicant is not a European-level or international organisation, it must be in a consortium with at least one organisation (co-applicant) from a different eligible country to that of the lead applicant.
- Affiliated entities and associate organisations are eligible for consortia.

#### **d) Affiliated entities**

Affiliated entities may participate in the implementation of the action for consortia.

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.

#### **e) Associate organisations**

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

#### **Conditions for rejections**

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

For consortia, if the lead applicant is considered not to be eligible, the application will be rejected.

If a co-applicant is not considered to be eligible, this co-applicant will be removed from the consortium. The related activities and the forecasted costs will be removed as well from the proposal. The eligibility of the modified consortium will then be re-evaluated without the said co-applicant's activities and costs. If the application is accepted for funding, the Commission would propose to award the funds with the necessary corrections and request a revised work plan and budget from the applicant to be adapted as appropriate.

## **6.2. Eligible activities**

### **a) Geographical Location**

To be eligible, actions must be fully carried out in the Member States of the European Union or the Candidate Countries<sup>17</sup>. This applies equally to activities carried out by

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<sup>17</sup> See section 11 of the call for specific provisions regarding daily subsistence allowances and travel expenses.

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 (see Section 6.1) could be considered eligible.

### **b) Types of activities**

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

1. 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;
2. Research activities on industrial relations and social dialogue, such as studies, surveys and other forms of data collection, monitoring exercises, action research;
3. 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;
4. 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;
5. 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;
6. Actions to disseminate such findings in publications, round tables, seminars, conferences, training measures and training tools.

### **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>18</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.
- Volunteers' work is accepted as an activity but volunteers' costs in the meaning of art 181(8) and 190 (2) of the Financial Regulation are not eligible for reimbursement.
- National capacity-building activities which could be funded under the European Social Fund (Regulation (EU) No 1304/2013 on the European Social Fund<sup>19</sup>, Article

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<sup>18</sup> See section 4.2.2.3 of the Financial Guidelines for detailed information on procedures regarding subcontracting and implementing contracts.

<sup>19</sup> <https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32013R1304&from=en>

6.2<sup>20</sup>) are not eligible, nor are activities mainly aiming at directly supporting European social partners' initiatives and processes, as explained in the last paragraph of section 2.2.

## 7. EXCLUSION CRITERIA

Applicants (single applicant or lead applicant and each co-applicant) must sign on their name (and on behalf of the affiliated entities, should they be part of the application) a declaration on their honour 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 in SWIM at <https://webgate.ec.europa.eu/swim/external/displayWelcome.do>.

### 7.1. Exclusion

The authorising officer shall exclude an applicant from participating in call for proposals procedures where:

- (a) the applicant is bankrupt, subject to insolvency or winding-up procedures, its assets are being administered by a liquidator or by a court, it is in an arrangement with creditors, its business activities are suspended, or it is in any analogous situation arising from a similar procedure provided for under EU or national laws or regulations;
- (b) it has been established by a final judgment or a final administrative decision that the applicant is in breach of its obligations relating to the payment of taxes or social security contributions in accordance with the applicable law;
- (c) it has been established by a final judgment or a final administrative decision that the applicant is guilty of grave professional misconduct by having violated applicable laws or regulations or ethical standards of the profession to which the applicant belongs, or by having engaged in any wrongful intent or gross negligence, including, in particular, any of the following:
  - (i) fraudulently or negligently misrepresenting information required for the verification of the absence of grounds for exclusion or the fulfilment of eligibility or selection criteria or in the performance of a contract, a grant agreement or a grant decision;
  - (ii) entering into agreement with other applicants with the aim of distorting competition;
  - (iii) violating intellectual property rights;

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<sup>20</sup> Art 6.2: "To encourage adequate participation of the social partners in actions supported by the ESF, the managing authorities of an operational programme in a region defined in Article 90(2)(a) or (b) of Regulation (EU) No 1303/2013 or in a Member State eligible for support from the Cohesion Fund shall ensure that, according to the needs, an appropriate amount of ESF resources is allocated to capacity building activities, in the form of training, networking measures, and strengthening of the social dialogue, and to activities jointly undertaken by the social partners."

- (iv) attempting to influence the decision-making process of the [Commission] [Agency] during the award procedure;
  - (v) attempting to obtain confidential information that may confer upon it undue advantages in the award procedure;
- (d) it has been established by a final judgment that the applicant is guilty of any of the following:
- (i) fraud, within the meaning of Article 3 of Directive (EU) 2017/1371 of the European Parliament and of the Council and Article 1 of the Convention on the protection of the European Communities' financial interests, drawn up by the Council Act of 26 July 1995;
  - (ii) corruption, as defined in Article 4(2) of Directive (EU) 2017/1371 or Article 3 of the Convention on the fight against corruption involving officials of the European Communities or officials of Member States of the European Union, drawn up by the Council Act of 26 May 1997, or conduct referred to in Article 2(1) of Council Framework Decision 2003/568/JHA, or corruption as defined in the applicable law;
  - (iii) conduct related to a criminal organisation, as referred to in Article 2 of Council Framework Decision 2008/841/JHA;
  - (iv) money laundering or terrorist financing within the meaning of Article 1(3), (4) and (5) of Directive (EU) 2015/849 of the European Parliament and of the Council;
  - (v) terrorist offences or offences linked to terrorist activities, as defined in Articles 1 and 3 of Council Framework Decision 2002/475/JHA, respectively, or inciting, aiding, abetting or attempting to commit such offences, as referred to in Article 4 of that Decision;
  - (vi) child labour or other offences concerning trafficking in human beings as referred to in Article 2 of Directive 2011/36/EU of the European Parliament and of the Council;
- (e) the applicant has shown significant deficiencies in complying with main obligations in the performance of a contract, a grant agreement or a grant decision financed by the Union's budget, which has led to its early termination or to the application of liquidated damages or other contractual penalties, or which has been discovered following checks, audits or investigations by an authorising officer, OLAF or the Court of Auditors;
- (f) it has been established by a final judgment or final administrative decision that the applicant has committed an irregularity within the meaning of Article 1(2) of Council Regulation (EC, Euratom) No 2988/95;
- (g) It has been established by a final judgement or final administrative decision that the applicant has created an entity in a different jurisdiction with the intent to circumvent fiscal, social or any other legal obligations of mandatory application in the jurisdiction of its registered office, central administration or principal place of business;
- (h) it has been established by a final judgement or final administrative decision that an entity has been created with the intent referred to in point (g);

- (i) for the situations referred to in points (c) to (h) above, the applicant is subject to:
- (i) facts established in the context of audits or investigations carried out by European Public Prosecutor's Office after its establishment, the Court of Auditors, the European Anti-Fraud Office or the internal auditor, or any other check, audit or control performed under the responsibility of an authorising officer of an EU institution, of a European office or of an EU agency or body;
  - (ii) non-final judgments or non-final administrative decisions which may include disciplinary measures taken by the competent supervisory body responsible for the verification of the application of standards of professional ethics;
  - (iii) facts referred to in decisions of persons or entities being entrusted with EU budget implementation tasks;
  - (iv) information transmitted by Member States implementing Union funds;
  - (v) decisions of the Commission relating to the infringement of Union competition law or of a national competent authority relating to the infringement of Union or national competition law; or
  - (vi) decisions of exclusion by an authorising officer of an EU institution, of a European office or of an EU agency or body.

## **7.2. Remedial measures**

If an applicant declares one of the situations of exclusion listed above, it must indicate the measures it has taken to remedy the exclusion situation, thus demonstrating its reliability. This may include e.g. technical, organisational and personnel measures to correct the conduct and prevent further occurrence, compensation of damage or payment of fines or of any taxes or social security contributions. The relevant documentary evidence which illustrates the remedial measures taken must be provided in annex to the declaration. This does not apply for situations referred in point (d) of section 7.1.

## **7.3. 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 Section 7.1; 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 affiliated entities of the applicant. These affiliated entities must therefore, be specified 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 organisations with the necessary financial and operational capacity may be considered for a grant.

### 8.1. Financial capacity

Single applicants, lead applicants and each co-applicant 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 organisations.

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:

#### a) Low value grants (for applicants whose grant is ≤ EUR 60 000):

- Declaration on honour, including financial capacity to carry out the action (see checklist point 4);

The Commission may nevertheless request further information or documents at any stage of the procedure to proceed with verifications and take various proportional measures depending on the level of weaknesses identified. Mitigating measure 3 "financial guarantee" may not be applied for low value grants.

#### b) For applicants whose grant is > EUR 60 000:

- Declaration on honour including declaration on financial capacity to carry out the activity (see checklist point 4); and
- Annual balance sheet and profit and loss accounts for the last two financial years available (see checklist point 13);
- Information on the financial capacity provided by the applicant and in particular the information provided in section "Financial Resources" of the SWIM application form

#### c) Grants for an action > EUR 750 000 per applicant or operating grants > EUR 100 000 per applicant

- the information and supporting documents mentioned in point b) above and
- an **audit report** produced by an approved external auditor certifying the accounts for the last two financial years 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 two financial years available (see checklist point 14).

**In the event of an application grouping several applicants (consortium), the above thresholds apply to each applicant, not to the consortium as a whole.**

The financial capacity will be evaluated on the basis of the following two ratios:

- A **first 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). The (co)applicant is considered to have a strong financial capacity when the ratio is 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 budget of the action corresponding to that applicant > 0.70

- A **second ratio** between the **1<sup>st</sup> prefinancing and the annual total revenue**. For each (co)-applicant the share of the 1<sup>st</sup> prefinancing is equal to his share in the total estimated budget. The (co)-applicant is considered to have a strong financial capacity when the ratio is equal or lower than 0.70

- **Formula in the case of single applicant and each applicant in case of consortia:** 1<sup>st</sup> prefinancing corresponding to that applicant/annual total revenue per applicant <0.70

If as a result of the application of the ratios, an applicant or co-applicant is found not to be strong on one of the two ratios while being strong on the other one, then it will be considered as not having a strong capacity.

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 is considered not to have a strong financial capacity, the case will be further analysed; this may include among others a re-evaluation of the application without the co-applicant and the foreseen activities and costs for the concerned co-applicant. If, after this re-evaluation, the application is selected without the said activities, the work plan and costs may have to be adapted.

If, after this re-evaluation, the application cannot be selected, e.g. because the eligibility criteria are not fulfilled anymore, the Commission **may** propose various proportional **mitigating measures**:

1. propose a Grant Agreement without pre-financing;
2. propose a Grant Agreement with a pre-financing paid in several instalments;
3. propose a Grant Agreement with 1<sup>st</sup> or total pre-financing payment(s) covered by (a) financial guarantee(s);
4. propose a Grant Agreement with joint financial liability of 2 or more applicants.
5. propose a Grant Agreement with a mix of the previous measures 2, 3 and 4

In the case of mitigating measure 3, the Commission may request a pre-financing guarantee for up to the same amount as the 1<sup>st</sup> or total pre-financing depending on the financial weakness, in order to limit the financial risks linked to the pre-financing payment (not applicable for low value grants).

The financial guarantee, in euros, 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 cleared against the payment of the balance, in accordance with the conditions laid down in the grant agreement.

## **8.2. Operational capacity**

Single applicants or lead applicants and each co-applicant must have the professional competencies 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; the CV should include a specific section on experience in social dialogue and industrial relations, showing clearly that the requirement of minimum two years of experience is met.
- At least B2 level in English, French or German<sup>21</sup>.

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 lead applicant and co-applicants and on previous and current actions undertaken by them;
- The CVs of the proposed project manager and of the persons who will perform the main tasks, showing their relevant professional experience (see checklist point 12). The CV should include a specific section on experience in social dialogue and industrial

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<sup>21</sup> [Common European Framework of Reference for Languages - Self-assessment grid](#)

relations, showing clearly that the requirement of minimum two years of experience is met;

- Declaration on honour signed by the legal representative, including operational capacity to carry out the action (see 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 re-evaluated without this co-applicant<sup>22</sup>. In addition, the foreseen activities and costs of the non-eligible co-applicant will be removed from the granted budget. If the application is selected without the said activities, the work plan and costs will have to be adapted.

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<sup>22</sup> This includes a re-evaluation of the eligibility of the modified consortium.

## 9. AWARD CRITERIA

The proposals which fulfil the eligibility, exclusion and operational 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>23</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 organisations), including the degree of involvement and commitment of the partners in the action<sup>24</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>25</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>26</sup> (maximum possible score: 10)
- vi. The quality of the overall research methodology and its composing elements (maximum possible score: 10)

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<sup>23</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>24</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 checklist point 5.

<sup>25</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>26</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 score;**
- **the scores for criteria i, ii and vi is at least 50% of the maximum total score for these criteria, i.e., 5 points.**

## **10. LEGAL COMMITMENTS**

In the event of a grant being awarded by the Commission, a Grant Agreement/Framework Partnership Agreement, drawn up in euro and detailing the conditions and level of funding, will be sent to the beneficiary/partner, or to the coordinator in the case of multi-beneficiary Grant Agreements.

The two copies of the original agreement must be signed by the beneficiary/partner, or the coordinator for 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 model Grant Agreements are published on the Europa website:

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

There is no alternative to these models in the context of this call. In specific cases, international agreements conditions may apply (except for the co-financing requirement).

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

## **11. PUBLICITY/SOURCES OF FUNDING**

### By the beneficiaries

In addition to the obligations with regard to visibility of Union funding foreseen in the General conditions to the grant agreement, beneficiaries must clearly acknowledge the European Union's contribution in all publications or in conjunction with activities for which the grant is used (information or promotional materials, and during conferences or seminars, etc.). The following wording must be used:

*“This (publication, conference, ...) has received financial support from the European Union.”*

The European emblem must appear on every publication or other material produced. Please see: [http://ec.europa.eu/dgs/communication/services/visual\\_identity/pdf/use-emblem\\_en.pdf](http://ec.europa.eu/dgs/communication/services/visual_identity/pdf/use-emblem_en.pdf)

When displayed in association with another name or logo, the name and emblem of the European Commission must have appropriate prominence

Any communication or publication by the beneficiary/ies related to the action, in any form and using any means, including the Internet, shall indicate that it reflects only the author's view and that the Commission is not responsible for any use that may be made of the information it contains.

Every publication must therefore include the following:

*"The information contained in this publication does not necessarily reflect the official position of the European Commission"*

In addition to these minimum requirements, references specified in the text of the call for proposals must also be specified.

If these requirements are not fully complied with, the beneficiary's grant may be reduced in accordance with the provisions of the grant agreement.

#### By the Commission<sup>27</sup>

With the exception of scholarships paid to natural persons and other direct support paid to natural persons in most need, all information relating to grants awarded in the course of a financial year shall be published on an internet site of the European Union institutions no later than the 30 June of the year following the financial year in which the grants were awarded.

By signing the grant agreement for an action, the beneficiary/ies authorises the Commission to publish the following information in any form and medium, including via the Internet site of the EU<sup>28</sup>:

- name of the beneficiary
- address/es of the beneficiary when the latter is a legal person, region when the beneficiary is a natural person, as defined on NUTS 2 level<sup>29</sup> if he/she is domiciled within the EU or equivalent if domiciled outside the EU
- subject of the grant,
- amount awarded

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<sup>27</sup> Articles 38 & 189 FR

<sup>28</sup> Article 189 2. FR

<sup>29</sup> Commission Regulation (EC) No 105/2007 of 1 February 2007 amending the annexes to Regulation (EC) No 1059/2003 of the European Parliament and of the Council on the establishment of a common classification of territorial units for statistics (NUTS), OJ L39, 10.2.2007, p.1.

With a view to disseminating all results obtained and outputs delivered under the grant agreement, the Executive Summary sent with the Implementation Report will be posted on the website of the Directorate-General for Employment, Social Affairs and Inclusion.

Upon a reasoned and duly substantiated request by the beneficiary, the publication shall be waived if such disclosure risks threatening the rights and freedoms of individuals concerned as protected by the Charter of Fundamental Rights of the European Union or harm the commercial interests of the beneficiaries.

## **12. DATA PROTECTION**

### **12.1. 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>30</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)

### **12.2. 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>31</sup>

Any personal data included in the Agreement must be processed by the Commission in accordance with Regulation (EU) No 2018/1725<sup>32</sup>

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<sup>30</sup> <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A32018R1046>

<sup>31</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>

<sup>32</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,

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.

### **13. 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 webpage:

<https://ec.europa.eu/social/main.jsp?catId=629&callId=581&furtherCalls=yes>

#### **a) Implementation contracts / subcontracting**

Where the implementation of the action requires the award of procurement contracts (implementation contracts intended to cover the purchase of services and/or goods, equipment etc. **necessary for the implementation of the action**), the beneficiary may award the contract in accordance with its usual purchasing practices provided that the contract is awarded to the tender offering best value for money or the lowest price (as appropriate), avoiding conflicts of interests.

The beneficiary must clearly document the tendering procedure and retain the documentation in the event of an audit.

Entities acting in their capacity as contracting authorities within the meaning of Directive 2014/24/EU<sup>33</sup> or contracting entities within the meaning of Directive 2014/25/EU<sup>34</sup> must comply with the applicable national public procurement rules.

Beneficiaries may also subcontract **tasks forming part of the action**. If they do so, they must ensure that, in addition to the above-mentioned conditions for “implementing contracts” including best value for money and absence of conflicts of interests, the following conditions are also complied with:

- a. subcontracting does not cover core tasks of the action;
- b. recourse to subcontracting is justified because of the nature of the action and what is necessary for its implementation;

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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

<sup>33</sup> Directive 2014/24/EU of the European Parliament and of the Council of 26 February 2014 on public procurement and repealing Directive 2004/18/EC (OJ L 94, 28.3.2014, p. 65-242)

<sup>34</sup> Directive 2014/25/EU of the European Parliament and of the Council of 26 February 2014 on procurement by entities operating in the water, energy, transport and postal services sectors and repealing Directive 2004/17/EC (OJ L 94, 28.3.2014, p. 243-374)



- c. the estimated costs of the subcontracting are clearly identifiable in the estimated budget;
- d. any recourse to subcontracting, if not provided for in description of the action, has been duly communicated by the beneficiary and approved by the Commission. The Commission may grant approval:
- (i) before any recourse to subcontracting, if the beneficiaries requests an amendment
  - (ii) after recourse to subcontracting if the subcontracting:
    - is specifically justified in the interim technical report and
    - does not entail changes to the grant agreement which would call into question the decision awarding the grant or be contrary to the equal treatment of applicants;
- e. the beneficiaries ensure that certain conditions applicable to beneficiaries, enumerated in the grant agreement (e.g. visibility, confidentiality, etc.), are also applicable to the subcontractors.

Where the value of a procurement contract (implementation contract or subcontracting) 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, if requested, that they have sought bids from at least three different tenderers, including proof that they have publicised their intention on their website and provided a detailed description of the selection procedure.
- 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 II to this call]. The draft tender specifications should be submitted in English, French or German.

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.

## **14. 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(c) above.

The SWIM electronic application form is available until midnight (Brussels time) 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 blue ink signed and sent in **2 copies** (one marked "original" and one marked "copy"), including all documents listed in the checklist, by the deadline set in section 3(c), (the postmark or the express courier receipt date serving as proof), either by registered post, express courier service 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/2020/004**  
**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 16:00 (Brussels time) of the date indicated in section 3(c) at the following address:

**European Commission**  
**Central Mail Service<sup>35</sup>**  
**(NOT TO BE OPENED BY CENTRAL MAIL SERVICE)**  
**Call for proposals VP/2020/004 – 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 evidence of delivery.

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

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<sup>35</sup> [http://ec.europa.eu/contact/mailing\\_en.htm](http://ec.europa.eu/contact/mailing_en.htm)

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 (see section 16).

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.

## **15. COMMUNICATION**

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.

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.

The Commission therefore advises you 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.

At the request of the applicant, the Commission may provide additional information solely for the purpose of clarifying the nature of the call.

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

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(b).

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 – Frequently Asked Questions) at regular intervals on the Europa website under the relevant call webpage:

<https://ec.europa.eu/social/main.jsp?catId=629&callId=581&furtherCalls=yes>

#### 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 email provided the terms of the proposal are not modified as a result.

It is the applicant's 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.

#### ***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. 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 plan. 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.

## 16. INSTRUCTIONS FOR THE PRESENTATION OF THE APPLICATION AND REQUIRED DOCUMENTS

### 16.1. 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 16.2).

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 (section checklist, point 11).

In the description of the action, the role of all applicants, affiliated entities and/or associate organisations must be clearly explained.

In case of subcontracting any tasks comprising part of the action (see the Financial Guidelines), the description of the action must provide details on the tasks to be subcontracted and the reasons for doing so and these tasks must be clearly identified in the budget. Core activities 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>36</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.
- 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.

### 16.2. Required documents

The table in annexe includes the documents that should be provided, including the documents mentioned under section 16.1. Except for Legal entity form, VAT Certificate and Financial identification form which can be submitted later only for successful applications,

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<sup>36</sup> The corresponding section in the SWIM form can therefore be kept rather succinct.

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). The table 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 should 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:

1. follow the order of documents as listed in the checklist (and attach a ticked checklist as below to the proposal);
2. print the documents double-sided;
3. use 2-hole folders (do not bind or glue; stapling is acceptable).

### CHECKLIST for required documents at application stage

This table includes the documents that must be provided for the proposal and 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 and international organisations]**. All the listed documents must be provided in SWIM.

No.	Document	Specification and content	The document must be provided by each				Originally signed?	Checkbox
			Lead applicant	Co-applicant	Affiliated entity	Associate organisation/ third		
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/2020/004/1234)	✓	--	--	--	✓	<input type="checkbox"/>
2	Signed SWIM application form submitted online + hard copies	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 14. <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 (if necessary)	<b>Free format</b> executive summary in EN, FR or DE (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 and include the application's reference number generated by SWIM (VP/2020/004/XXXX). 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"/>
5	Letter of commitment	The <b>template</b> is available in SWIM and must explain the nature of the organisation's involvement (for associate organisations). 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.	--	✓	--	--	✓	<input type="checkbox"/>

		<i>Copies of the original signed letters of mandate are accepted at the submission of the application; originals to be submitted upon request.</i>							
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 single applicant, lead applicant 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/statutes or equivalent proving the eligibility of the organisation.	✓	✓	--	--	--	--	<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	Description of the action and work plan	<b>This is a separate free-format document</b> in addition to the online application form and it must be submitted both electronically and on paper. The paper version must be identical to the electronic version of the detailed work plan.  Applicants are encouraged to submit this document in English, French or German in order to facilitate the treatment of the proposal and speed up the evaluation process. Please refer to Section 5, Admissibility requirements.	✓	--	--	--	--	--	<input type="checkbox"/>
11	Budget Explanation for the project	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. The paper version must be identical to the electronic version of the budget explanation. The budget explanation 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 Commission may request applicants to submit additional justifications of proposed eligible costs during the evaluation procedure.  Applicants are encouraged to submit this document in English, French or German in order to facilitate the treatment of the proposal and speed up the evaluation process. Please refer to Section 5, Admissibility requirements.	✓	--	--	--	--	--	<input type="checkbox"/>
12	Curricula vitae of key staff	<b>Detailed CVs of the person responsible for managing the action</b> (named in section A.3 of the online application form) and <b>the persons who will perform the main tasks</b> . The CVs should indicate clearly the current employer.	✓	✓	✓	--	--	--	<input type="checkbox"/>
13	Balance sheet & profit and loss accounts	The most recent balance sheet and profit & loss accounts, including assets and liabilities, specifying the currency used. (not applicable for grants below 60,000.00 EUR)	✓	✓	--	--	--	--	<input type="checkbox"/>



14	Audit report	For grants of EUR 750 000 or more per applicant or affiliated entity, an audit report produced by an approved external auditor certifying the accounts for the two last financial years 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 two financial years available. In case of consortium, the threshold applies to each co-applicant in line with their share of the action budget. Applicants are encouraged to submit the document in English, French or German. See Section 5.	✓	✓	--	--	--	<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. A model is included in Annex II of this call.	✓					

#### 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?
			Lead applicant	Co-applicant	Affiliated entity	Associate organisation/ third	
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.	✓	✓	--	--	✓
2	VAT certificate	A document showing the identification number for tax purposes or the VAT number, if applicable.	✓	✓	--	--	--
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).	✓	--	--	--	✓

**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>

**[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 related to the financial and technical capacity of the bidders
9. Award criteria related to the quality of the bids received

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]