



ALFA

Latin America - Advanced Training

**Third Phase - ALFA III (2007–2013)**  
**Indicative Budget : 85 M €**

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# Priorities of the Regional Cooperation

The priorities for 2007-2013 regarding EC Regional Cooperation Policy with Latin America are:

**Theme 1** – Support of social cohesion, poverty alleviation and fight against inequalities and exclusion

**Theme 2** - Regional Integration

**Theme 3** - Respond to regional challenges and mutual understanding

## Programme ALFA

Cooperation Programme between the European Union (EU) and Latin America (LA) on Higher Education.

Particularity, the programme will enhance Higher Education in LA as a contribution to the economic and social sustainable development of the region.

**Third Phase - ALFA III**  
**Period 2007-2013 85 M €**  
**1st Call for proposals 19 M €**

Parliament and Council Regulation (EC)  
**N° 1905/06 of 18 December 2006**  
[DCI-Development Cooperation Instrument]

## Management

- One Call per year;
- One fixed Budget for each Call;
- Projects with minimum and maximum financial limits;
- Less projects but much more wider projects with impact and multiplier effects
- Monitoring and close follow-up

### Challenges:

**for EC:** to reach simplification always in strict conformity with the EC procedures and regulations;

**for beneficiaries:** to provide the conditions which allow a better management and the financial accuracy.

# Main Changes (1)

## • ALFA Phases

- Received applications
- Approved Projects
- N° of Calls
- Approved EC Contribution (%)
- Average Contribution/ project
- N° of participant Institutions
- Coordination
- Network minimum n° institutions
- Sub-programmes/Components

### 1994/1999

#### Phase I

- 2 918
- 846
- 7
- 32 m€ (70%)
- 36.600 €
- 903
- EU 82% LA 18%
- EU 3/ LA 2
- A - Inter-institutional
- Cooperation
- B – Mobility of Postgraduates
- C – Mobility of Students/Pregrade

### 2000/2006

#### Phase II

- 565
- 225
- 10
- 54.6 m€ (73%)
- 242.800 €
- 777
- EU 70% LA 30%
- EU 3/ LA 3
- A – Institutional & academic
- Cooperation
- B – Cooperation to Technical-Scientific Training

### 2007/2013

#### Phase III

- ?
- 50/60 ?
- 6
- 85 m€ (70/90%)
- 1 500.000€
- ?
- ?
- EU 2/ LA 4 (double)
- Lot 1 – Joint Projects
- Lot 2 – Structural Projects
- Lot 3 – Accompanying Measures

## Main Changes (2)

- a) **New structure:** the actions will be implemented through three components: Joint Projects (Lot 1), Structural Projects (Lot 2) and Accompanying Measures (Lot 3);
- b) **More available financing for the projects:** with a financial volume of € 19 M in the 1st call for proposals, more opportunities are opened to HEIs and other relevant organizations of the EU and LA to develop pertinent & sustainable cooperation projects of greater impact;
- c) **New documents:** the application form and the guidelines for applicants are based on standard documents and on the basis of the rules defined by the new financing Instrument to Development Cooperation (DCI);

## Main Changes (3)

- d) New requirements for partnership and participation
- e) The EC contribution can amount up to 80% of the total eligible cost of the actions;
- f) Actions will have to be converted into tangible and measurable results at the end of the implementation;
- g) Actions aiming to contribute to the essential priorities for the region (such as, the ALCUE initiative) and to obtain a greater impact on regional integration;
- h) Actions aiming to enhance intra-regional relations and the participation of the less represented countries of LA.

## Main Changes (4)

- i) **at least 70%** of the global budget of the actions must be carried out in the above-mentioned LA countries.
- j) The Commission will award **5 additional points** to those proposals including **2 or more entities** from the **8 less developed countries of LA\***.

**\*Bolivia, Peru, Ecuador, Paraguay, Honduras, El Salvador, Guatemala and Nicaragua** as set up by HDI (Human Development Index)

UNDP Human Development Report 2006

# Objectives

Aligned with regional development priorities and EU regional cooperation policy to LA, in general in conformity with D.C.I.\*

The Programme's **general objective** is to contribute to the development of the higher education in LA through cooperation between the EU and Latin America, as a contribution to the economic and social sustainable development of the region.

The Programme's **specific objectives** are:

- To improve the quality, relevance and accessibility of higher education in LA;
- To contribute to the process of regional integration in LA, fostering progress towards the creation of a joint higher education area in the region and exploiting its synergies with the EU.

*\*Development Cooperation Instrument*

## Specific Priorities:

- To promote the reform and modernisation of higher education (institutions and systems) in the beneficiary countries;
- Increase quality, accessibility and relevance of higher education;
- The development of skilled human resources in the Latin America region, taking particular account of the least favoured or vulnerable groups and the region's poorest countries (women, indigenous, rural remote communities);
- Support to HEIs and other relevant actors in making progress towards the creation of a joint higher education area in LA;
- To promote cooperation and the establishment of networks and lasting links between HEIs in the two regions.

# Programme Components

- ➔ **Joint Projects (Lot 1)**
- ➔ **Structural Projects (Lot 2)**
- ➔ **Accompanying Measures (Lot 3)**

## Comp. I 'Joint Projects (Lot 1)'

The actions will be designed to encourage exchanges of experience between the institutions taking part in the action and implementation in the Latin American network member institutions. They will encompass **one or more of the following sectors or themes:**

### 1. Institutional and academic management

- a) Joint study plans; educational or research approaches and methods; relevant materials; innovation and curricular relevance, etc.
- b) Methods for the evaluation of the quality of education; Mechanisms for the recognition of titles, degrees and diplomas, academic credits, and management and governance of HEIs.

### 2. Social cohesion

- a) Access and retention of the less favoured strata of society to the HEIs and retention of such students;
- b) Links with the labour market and business and the public sector (HEIs-business-public institutions);
- c) Promoting entrepreneurship; applied research in relation to business and the public sector.

## Comp. II 'Structural Projects (Lot 2)'

The main aim of these projects will be to discuss and design mechanisms to promote the modernisation, reform and harmonisation of higher education systems at regional level in LA. Their purpose will be to promote convergence and/or harmonisation at intra-regional level. They will encompass **one or more of the following sectors or themes:**

### **1. Modernisation of higher education systems in LA**

- a) Governance of HEIs and Edu systems in the Latin American region;
- b) Curricular convergence at regional level, particularly in the light of the challenges posed by the knowledge-based society;
- c) Common practices at regional level for quality evaluation, accreditation, academic credits and other relevant subjects;

### **2. Social Cohesion**

- a) Measures at regional level to promote equitable access to higher education and social integration for the most underprivileged groups;
- b) University and society: links between universities and their surroundings (business, regional governments, civil society, etc).

The aim of the actions is to create synergies between the projects encompassed by components I and II. They must also ensure the collection, centralisation and dissemination of the results and best practices of these projects. They will encompass **one or more of the following sectors or themes:**

## **1. Coherence/links/synergy between the ALFA III Programme's components and actions**

- information to and communication with the various actors and parties concerned in both regions; methodological support for sound project management and synergies between the projects.

## **2. Best practice, exchange of experience**

- collection, centralisation, dissemination and sharing of results and best practices of the projects.

## **3. Regional visibility/awareness of the programme**

- effective compilation and dissemination of the documents and materials produced, using a simple, practical methodology for data systematisation.

# Eligible Countries

**The 27 EU Member States**

**The 18 countries of Latin America**

## Duration of the Actions

- Lots 1 & 2
- between 24 & 36 months
- Lot 3
- 48 months

## Participant Partners

### ▶▶ HEIs:

Higher education Institutions established in EU or LA countries recognised as such by the competent authorities of the countries concerned.

### ▶▶ Other Entities :

Associations/organisations/established networks or higher education entities and/or other relevant players established in EU and LA countries whose priority action is higher education, excepting national public administrative bodies or international organisations.

## Applying Entity (Coordinator)

HEIs or Other Entities applicants to EC grants. Must act by means of Networks associated with institutions / organisations / associated entities / having as role to **coordinate** the action.

**Lot 1:  
only HEIs**

**Lots 2 & 3:  
HEIs & Other Entities**

Preference => **joint coordination between a EU partner and a LA partner**

## Associated entities

Other organisations may be involved in the action. Such associates play a concrete role in the action but may not receive funding from the grant with the exception of per diem and travel costs. Associates do not have to meet the eligibility criteria referred. They are not partners and are not required to sign the 'Partnership Declaration'.

These entities may include, for example:

- public or semi-public authorities (ministries, national and/or provincial/regional administrative bodies) involved in higher education; or
- non-governmental organisations; or
- private or public enterprises; or
- social partners or their training organisations; or
- chambers of commerce or other public or private professional organisations.

## Participant Partners (per lot)

**Joint Projects:** at least **6 HEIs**, all coming from different countries: **4 countries from LA and 2 countries from EU**.  
*If more than 6 HEIs => the n° of LA must double n° of EU.*

**Structural Projects:** at least **12 countries from LA** (at least 1 from each sub-region: Mercosur, CAN, Centralamerica) and **4 countries from EU**.

**Accompanying Measures:** there is **no requirement concerning the minimum number of partners**. However, the applicant (or at least one member from the network) must have **previous experience in cooperation with HEIs in a minimum of 6 Latin American countries**.

*The international component of each network (n°of institutions from different countries) must always exceed the national component (n°of different institutions from the same country)*

## Financial allocation & indicative distribution per Lots (2008)

| Lot 1: Joint Projects  | Lot 2: Structural Projects   | Lot 3: Accompanying Measures   |
|--|--|--|
| <p>Between<br/>           € 11.500.000 &amp;<br/>           € 13.500.000</p> | <p>Between<br/>           € 4.000.000 &amp;<br/>           € 6.000.000</p> | <p>between<br/>           € 1.500.000 &amp;<br/>           € 2.500.000</p> |

The global indicative amount assigned to the **1st Call for Proposals** amounts to **€ 19.340.000**.

# Financial allocation & indicative distribution per Lots (2008)

**Grants' minimum & maximum amounts per project**

| <b>Lot 1: Join Projects</b>   | <b>Lot 2: Structural Projects</b>  | <b>Lot 3: Accompanying Measures</b>   |
|---|--|---|
| <p><b>Between</b><br/> <b>€ 750.000 &amp;</b><br/> <b>€ 1.250.000 €</b></p> | <p><b>Between</b><br/> <b>€ 1.500.000 &amp;</b><br/> <b>€ 3.000.000€</b></p> | <p><b>Between</b><br/> <b>€ 1.500.000 &amp;</b><br/> <b>€ 2.500.000</b></p> |

The Contracting Authority can redefine this distribution of amounts based upon the experience of the 1st Call for proposals.

## Financial Rules

EC contribution can amount to a minimum of **50%** and to a maximum of **80%** of action's total eligible costs.

## Indicative criteria for proposals

- ➔ At least 70% of the total budget for actions must be applied in the Latin American countries;
- ➔ To operate in one or more priority sectors in the respective Lot;
- ➔ To mention clearly the indicators to measure the expected results and follow a logical framework.

## Indicative criteria for proposals

Cannot be subject of grants the following types of activities:

- ❖ exclusive or mainly focused in individual aids to participation in workshops, seminars, conferences or congresses;
- ❖ exclusive or mainly focused in individual fellowships, mobility and trainings;
- ❖ fundamental research.

ALFA III, as an institutional cooperation programme, does not focus on mobility or on specialised/individual training or research. It will only support student mobility on a small scale (maximum 10 % of total budget) and short-term training (maximum 6 months)].

# Eligibility criteria for proposals

## Number of proposals and grants per applicant

**One (1)** proposal per lot and per applicant entity. Although the same institution/entity can be partner in several proposals.

A maximum of **two (2)** subventions can be granted to an applicant in different lots.

## Certification of participants

The curriculum vitae (maximum 3 A4 pages) of the technical coordinators responsible for the proposal must be included in.

Each one of the participant partners, by means of its responsible, must sign the 'Partnership Declaration' enclosed in the Application Form.

## Transversal measures – main orientations for proposals

- To contribute to the key priorities of the programme (as for instance the ALCUE initiative);
- To reach a real impact in development;
- To promote intra-regional actions;
- To facilitate the participation of the less developed countries of the region;
- the project design including all the logical steps: definition, implementation, evaluation (logical frame, accurate preparation of the actions in conformity with the objectives, indicators of results).

## Special attention to proposals that include one or several of the following aspects:

### For Component I (Lot 1),

- **actions** which can be reproduced/multiplied in similar institutions in the Latin American region,
- **innovative character** and **relevance** to local or regional needs.
- **tangible and measurable results** after implementation. The proposal must make explicit mention of the indicators for measuring the results. The proposal cannot be limited to studies of individual measures; rather, it must be implemented at least as a pilot project in a specified number of participating Latin American entities.

Some examples: the start-up of a new curriculum in X number of institutions X number of students registered.

## For Component II (Lot 2),

- relevance of the regional and structural character of the actions and innovative nature. Depending on the themes chosen, they may take the form of actions designed to promote:
  - sectoral or thematic dialogue at regional or inter-regional level between the relevant actors linked with higher education; (including the participation of national/regional authorities, associations, etc);
  - the dissemination/adoption of best practices; conducting of studies and/or research into and/or systematisation of experiences relating to specific problems/challenges in the region and of progresses already made, among others.
  - tangible and measurable results after implementation. The indicators used to measure results must be set out in the proposal.

## For Component III (Lot 3),

All the actions of this lot must be carried out in close cooperation with the projects approved under Lots 1 and 2 and in a manner consistent with the objectives to be achieved through the programme and the proposal must encompass all the priority sectors mentioned above.

Examples of actions (non exhaustive):

- providing information to and communicating with the various players and the parties concerned in both regions; international organisations and networks working on the themes covered by the Programme activities which facilitate the implementation of the projects concerned, based specially on efficient management designed to produce results and identify best practices.

## In all lots Partners will have:

- To take part in the **design** and the **implementation** of the action, and the expenditure into which they fall they will be qualified for funding in the same way as those carried out by the applicant of the grant. Therefore, they will have to meet the same conditions of eligibility as the applicants;
- Each Partner must have a **precise role clearly defined** in the preparation and the implementation of the project and it must be clear in the proposal.
- The Partners (network) will have to be made up in such a way that it reaches the aims of the more effective project;

# 1st Call for Proposals How? & When?

Launching of the 1st Call for Proposals:

**13 March 2008**

Deadline for Proposals submission:

**16 June 2008**

Brussels, 16:00 h (C.E.T)

**Guidelines and Application Form** available in

**EN, ES, FR, PT**

# Calendar

| ACTION   | DATE   |
|--|--|
| Deadline for request for any clarifications from the Contracting Authority | 26 May 2008 - 21 days before the submission deadline |
| Last date on which clarifications are issued by the Contracting Authority  | 5 June 2008 – 11 days before the submission deadline |
| <b>Deadline for submission of the full application form</b>                | <b>16 June 2008</b>                                  |
| Information to applicants on the opening & administrative check            | 11 July 2008*  |
| Information to applicants on the evaluation of the Concept Notes           | 30 July 2008*  |
| Information to applicants on the evaluation of the Full Application Form   | 30 August 2008*                                      |
| Notification of award (after the eligibility check)                        | 15 September 2008*                                   |
| Signing of the contract  | 15 December 2008*                                    |

*\*Provisional date*

## Questions & Answers

All questions must be addressed 3 weeks before the deadline for submission of proposals to the functional mailbox:

[EuropeAid-ALFACONVOC2008@ec.europa.eu](mailto:EuropeAid-ALFACONVOC2008@ec.europa.eu)

The Questions and Answers of interest for applicants will be published on the Programme's website in the section 'FAQs'.

[http://ec.europa.eu/europeaid/where/latin-america/regional-cooperation/alfa/index\\_en.htm](http://ec.europa.eu/europeaid/where/latin-america/regional-cooperation/alfa/index_en.htm)

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