

## Launching ALFA III

### Key elements for applying successfully in EU programmes

Bonn, University Club, 10 April 2008

Angelika Sachsenröder  
Head of Unit 513, DAAD





## Key elements for applying successfully in EU programmes

### Structure

- ⇒ Preparatory steps
- ⇒ Project partners and associates
- ⇒ Concept Note
- ⇒ Grant application form
- ⇒ Logical Framework Matrix (LFM)
- ⇒ Budget
- ⇒ Evaluation procedure
- ⇒ Evaluation grids
- ⇒ Key criteria for successful applications
- ⇒ German participation in ALFA II



## Key elements for applying successfully in EU programmes

### Preparatory steps

- Familiarise yourself with the **programme**  
(Website, Project Fact Sheets, DAAD-Project Compendium, FAQs)
- Study open **Call for Proposals** and **Guidelines for Applicants**  
(including **annexes** !)
- Ask yourself and your partners about your **motivation**
- Decide on a **project type** which is compatible with your **project idea**
- Determine the next **deadline** for application
- Establish a **network** based on an eligible project idea
- Ensure your **partners` active participation** in the application procedure
- Ensure **applicant`s and partners` eligibility**
- Respect the **minimum requirements** and eligible activities and costs



## Key elements for applying successfully in EU programmes

### Project partners and associates

#### Partnerships

- minimum requirements are to be respected
- **each** member of the network must have a precisely defined role in the project's design and implementation

#### Associates

- play a supplementary but real role in the project
- may not receive funding from the grant, with the exception of per diem and travel costs

#### Subcontractors

- are awarded contracts to implement tasks within the project
- must conform to the EU sub-contracting rules



## Key elements for applying successfully in EU programmes

### Concept Note

#### 1. Relevance of the action

relevance of the proposal to the general needs of the target country(ies) and to the specific needs of the beneficiary groups

#### 2. Description of the action and its effectiveness

precise summary of the proposed activities and their results, involvement of the partners

#### 3. Sustainability of the action

risk analysis, follow-up activities to secure the project results

The Concept Note must provide a precise, well-structured and complete description of your project on 4 pages. It has to convince for further evaluation of your application!



## Key elements for applying successfully in EU programmes

### Grant application form (annex A of the call)

- 7 Sections:
- I. The action
    - Action plan (format given)  
should be coherent with the activities described before
    - Logical framework (annex C)
    - Budget and expected sources of funding (annex B)
  - II. The applicant
  - III. Partners of the applicant
  - IV. Associates of the applicant
  - V. Checklist
  - VI. Declaration by the applicant
  - VII. Assessment grid



## Key elements for applying successfully in EU programmes

### Logical Framework Matrix (LFM)

- LFM must be coherent with the activities described before.
- It must provide a clear and logical description of the proposed project.
- It should give verifiable indicators for the achievements of the project.
- External factors outside the control of the project should be mentioned.
- Completion of the activities should lead to delivery of results.
- Delivery of results should lead to achievement of the specific project objective.
- Achievement of the specific project objective should contribute to the overall objective.

**Advice:** Start completing the LFM before working on part I of the application form



## Key elements for applying successfully in EU programmes

### Logical Framework for the project

#### LOGICAL FRAMEWORK

	Intervention logic	Objectively verifiable indicators of achievement	Sources and means of verification	Assumptions
<b>Overall objectives</b>	<i>What are the overall broader objectives to which the action will contribute?</i>	<i>What are the key indicators related to the overall objectives?</i>	<i>What are the sources of information for these indicators?</i>	
<b>Specific objective</b>	<i>What specific objective is the action intended to achieve to contribute to the overall objectives?</i>	<i>Which indicators clearly show that the objective of the action has been achieved?</i>	<i>What are the sources of information that exist or can be collected? What are the methods required to get this information?</i>	<i>Which factors and conditions outside the Beneficiary's responsibility are necessary to achieve that objective? (external conditions) Which risks should be taken into consideration?</i>
<b>Expected results</b>	<i>The results are the outputs envisaged to achieve the specific objective. What are the expected results? (enumerate them)</i>	<i>What are the indicators to measure whether and to what extent the action achieves the expected results?</i>	<i>What are the sources of information for these indicators?</i>	<i>What external conditions must be met to obtain the expected results on schedule?</i>
<b>Activities</b>	<i>What are the key activities to be carried out and in what sequence in order to produce the expected results? (group the activities by result)</i>	<b>Means:</b> <i>What are the means required to implement these activities, e. g. personnel, equipment, training, studies, supplies, operational facilities, etc.</i>	<i>What are the sources of information about action progress?</i> <b>Costs</b> <i>What are the action costs? How are they classified? (breakdown in the Budget for the Action)</i>	<i>What pre-conditions are required before the action starts? What conditions outside the Beneficiary's direct control have to be met for the implementation of the planned activities?</i>





## Key elements for applying successfully in EU programmes

### Budget for the action

Expenses	All Years				Year 1			
	Unit	# of units	Unit rate (in EUR)	Costs (in EUR)	Unit	# of units	Unit rate (in EUR)	Costs (in EUR)
6. Other								
<i>Subtotal Other</i>								
<b>7. Subtotal direct eligible costs of the Action (1-6)</b>								
8. Provision for contingency reserve (maximum 5% of 7, subtotal of direct eligible costs of the Action)								
<b>9. Total direct eligible costs of the Action (7+ 8)</b>								
10. Administrative costs (maximum 7% of 9, total direct eligible costs of the Action)								
<b>11. Total eligible costs (9+10)</b>								

1. The Budget must cover all eligible costs of the Action, not just the Contracting Authority's contribution. The description of items must be sufficiently detailed and all items broken down.
2. This section must be completed if the Action is to be implemented over a period of more than 12 months.
3. If the Contracting Authority is not the European Commission, the budget may be established in euro or in the currency of the country of the Contracting Authority. Costs and unit rates must be indicated in the currency of the Contracting Authority.
4. If staff are not working full time on the Action, the percentage should be indicated alongside the description of the item and reflected in the number of units (not the unit rate).
5. Indicate the country where the per diems are incurred and the applicable rates (which must not exceed the scales published by the E.C. at the time of contract signature).
6. Indicate the place of departure and the destination. If information is not available, enter a global amount.
7. Costs of purchase or rental.
8. Specify. Lump sums will not be accepted.
9. Only indicate here when fully subcontracted.

NOTA BENE: The beneficiary alone is responsible for the correctness of the financial information provided in these tables



## Key elements for applying successfully in EU programmes

### Evaluation procedure

#### **Step 1: Opening and administrative checks**

(possible rejection for formal reasons – disregard of the deadline, missing documents, etc.)

#### **Step 2: Evaluation of the Concept Note**

(only highly ranked Concept Notes with at least 30 points will lead to the assessment of the full proposal)

#### **Step 3: Evaluation of the full application**

#### **Step 4: Verification of eligibility of the applicant and the partners**

(submission of supporting documents)

#### **Step 5: Notification of the decision**

(Applicants are informed of the decision taken on their proposal and of the reasons for that decision.)



## Key elements for applying successfully in EU programmes

### Evaluation grids (Concept note)

	<u>Score</u>	
<b>1. Relevance of action</b>	<b>Partial score</b>	<b>15</b>
<i>1.1 Relevance of the problems to the needs and limitations of the country/region which need to be dealt with and to those of the target groups and the final beneficiary in particular.</i>	<b>5</b>	
	<i>/5(x2)*</i>	
<b>2. Effectiveness and feasibility of action</b>	<b>Partial score</b>	<b>25</b>
<i>Assessment of the problem identification and analysis</i>	<i>/5</i>	
<i>2.2 Assessment of the proposed activities (practicality and consistency in relation to the objectives, purpose and expected results).</i>	<i>/5(x2)*</i>	
<i>2.3 Evaluation of the role and involvement of all the actors and partners proposed.</i>	<i>/5(x2)*</i>	
<b>3. Sustainability of action</b>	<b>Partial score</b>	<b>10</b>
<i>3.1 Assessment of the identification of the main assumptions and risks, before the start up and throughout the implementation period.</i>	<i>/5</i>	
<i>3.2 Assessment of the identification of long-term sustainable impact on the target groups and final beneficiaries.</i>	<i>/5</i>	
	<b>TOTAL SCORE</b>	<b>50</b>



## Key elements for applying successfully in EU programmes

### Evaluation grids (full application)

Section

Maximum score of points

<b>1. Financial and operational capacity</b> (experience of project management, technical expertise, management capacity)	⇒	<b>20</b>
<b>2. Relevance</b> (objectives and priorities of the call, needs and constraints of target country / target groups)	⇒	<b>25</b>
<b>3. Methodology</b> (activities consistent with objectives and expected results, coherence of the overall design of the project, clear action plan, verifiable indicators for the project outcome)	⇒	<b>25</b>
<b>4. Sustainability</b> (tangible and multiplier effects, prove of continuity of project results)	⇒	<b>15</b>
<b>5. Budget and cost-effectiveness</b>	⇒	<b>15</b>
	<b>Total</b>	<b>100</b>



## Key elements for applying successfully in EU programmes

### Key criteria for successful applications

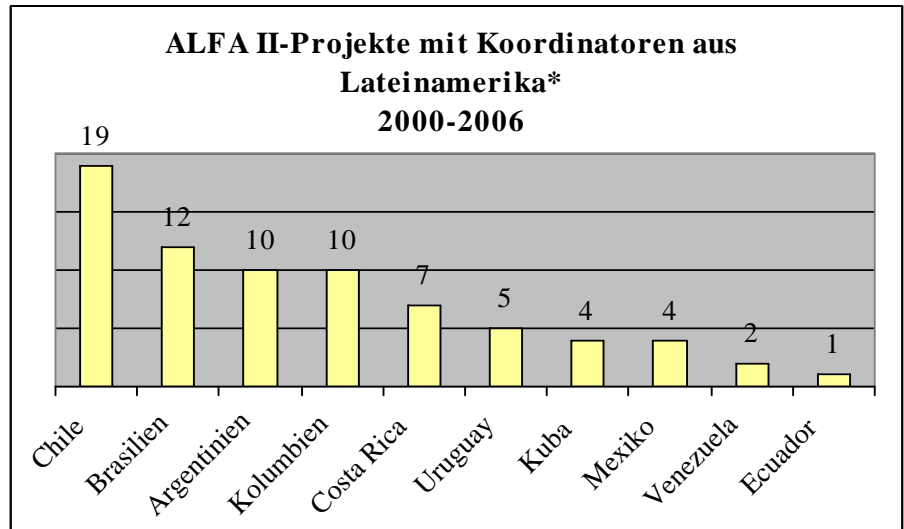
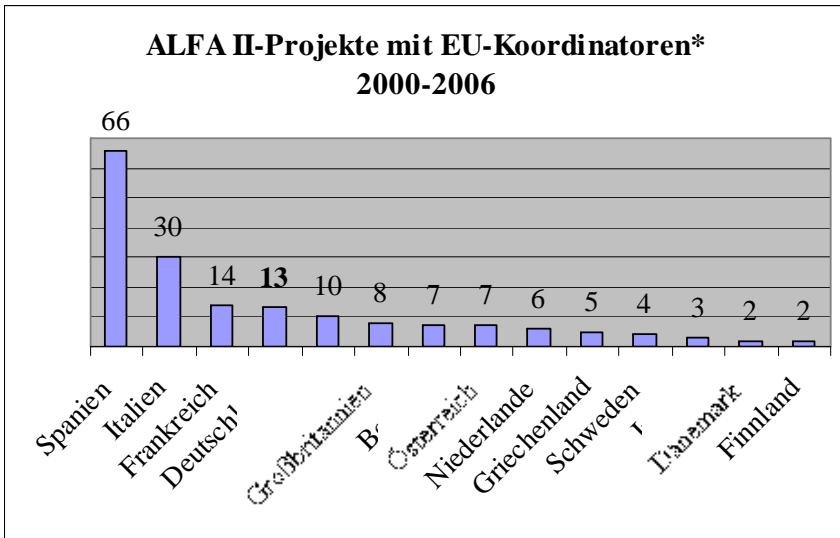
- Strictly follow the rules and provisions of the Call for Proposals
- Find an attractive title for your project
- Draft a convincing Concept Note
- Make a thorough analysis of the background of your project by actively involving your partners
- Identify clear objectives, methods and outcomes of the project
- Develop a realistic, well-structured workplan
- Calculate a realistic budget
- Have a clear text structure and use a good standard language

**Keep in mind that the evaluators are not necessarily experts in your academic field !**



## Key elements for applying successfully in EU programmes

### German participation in ALFA II (2000 – 2006)





## Key elements for applying successfully in EU programmes

### Applying in ALFA III

- Please use the ALFA III homepage of the European Commission

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

and visit the homepage of the DAAD ALFA III Contact Point

<http://eu.daad.de>

- Schedule enough time to get all the necessary information.

**Funding up to €770,- is available for preparatory visits of staff at German universities**

Please contact:

Julia Quirll da Matta, Unit 513 (email: [quirll@daad.de](mailto:quirll@daad.de))

Further information:

<http://eu.daad.de/eu/drittlandkooperationen/05258.html>



## Key elements for applying successfully in EU programmes

**Thank you very much for your attention!**

**Further information on  
EU-Higher Education  
Cooperation Programmes**

<http://eu.daad.de>

