



EUROPEAN COMMISSION

# **ERASMUS MUNDUS 2009-2013**

## **Programme Guide**

**for the attention and information of future applicants and beneficiaries**

*Please note that this Programme Guide must be read in conjunction with the relevant annual Calls for Proposals which will provide detailed information on the specific grant application procedures.*

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# 1 INTRODUCTION

## 1.1 BACKGROUND AND PURPOSE OF THE PROGRAMME GUIDE

Erasmus Mundus is a cooperation and mobility programme in the field of higher education for:

- ✓ the enhancement of quality in European higher education;
- ✓ the promotion of the European Union as a centre of excellence in learning around the world;
- ✓ the promotion of intercultural understanding through cooperation with Third Countries as well as for the development of Third Countries in the field of higher education.

Erasmus Mundus provides a response to the challenges of globalisation faced by European higher education today, in particular the need to adapt education systems to the demands of the knowledge society, to enhance the attractiveness and visibility of European higher education worldwide and to stimulate the process of convergence of degree structures across Europe. These themes are central to current national reform processes in higher education taking place in Member States. In addition it provides an important vehicle for the promotion of intercultural dialogue between the European Union and the rest of the world.

The programme continues and extends the scope of the activities already launched during its first phase (2004-2008) and includes the Erasmus Mundus External Cooperation Window scheme, which was launched in 2006 as a complement to the original programme.

The decision establishing the second phase of the Erasmus Mundus Programme was adopted by the European Parliament and Council on 16.12.2008 (Decision No 1298/2008/EC).<sup>1</sup> The programme covers the period 2009-2013 and has an overall budget of €470 million for Actions 1 and 3 and an indicative budget of €460 million for Action 2.

The Commission has entrusted the implementation of the Erasmus Mundus Programme 2009-2013 to the Education, Culture and Audiovisual Executive Agency (hereinafter “the Agency”)<sup>2</sup>. The Agency is further responsible for the implementation of more than 15 Community funded programmes and actions in the fields of education and training, active citizenship, youth, audiovisual and culture. The Agency is in charge of most management aspects of the Erasmus Mundus programme, including drawing up Calls for Proposals, selecting projects and signing project agreements, financial management, monitoring of projects (assessment of intermediate and final reports), communication with beneficiaries and on the spot controls.

This Programme Guide applies to the entire duration of the Programme and aims to assist all those interested in implementing joint cooperation activities or receiving individual scholarships within the Erasmus Mundus Programme (2009-2013). It should help them understand the objectives and the different programme actions, the types of activities that can (or cannot) be supported as well as the conditions under which this support can be granted and the grant awarded used.

Although, as stated above, the Guide is valid for the entire duration of the Programme, future applicants should read it in conjunction with the specific Call for Proposals to which they intend to apply. These Calls for Proposals will be published in accordance with activities planned by the Commission in its annual Work Programme and will provide additional information on the budgetary allocation foreseen as well as any other relevant information and/or document specific to the Call.

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<sup>1</sup> OJ 340, 19.12.2008, p. 83.

<sup>2</sup> The Agency is expected to receive delegation from the Commission for the management of the Erasmus Mundus 2009-2013 Programme in the course of 2009.

**All forms or documents needed to apply for funding are available on the Erasmus Mundus web pages.**

## **1.2 PROGRAMME OBJECTIVES**

The programme's aim is to promote European higher education, to help improve and enhance the career prospects of students and to promote intercultural understanding through cooperation with Third Countries, in accordance with EU external policy objectives in order to contribute to the sustainable development of Third Countries in the field of higher education.

The programme's specific objectives are:

- to promote structured cooperation between higher education institutions and an offer of enhanced quality in higher education with a distinct European added value, attractive both within the European Union and beyond its borders, with a view to creating centres of excellence;
- to contribute to the mutual enrichment of societies by developing the qualifications of women/men so that they possess appropriate skills, particularly as regards the labour market, and are open-minded and internationally experienced through promoting mobility for the most talented students and academics from Third Countries to obtain qualifications and/or experience in the European Union and for the most talented European students and academics towards Third Countries;
- to contribute towards the development of human resources and the international cooperation capacity of higher education institutions in Third Countries through increased mobility streams between the European Union and Third Countries;
- to improve accessibility and enhance the profile and visibility of European higher education in the world as well as its attractiveness for Third-Country nationals and citizens of the Union.

The Commission shall ensure that no group of citizens of the Union or Third-Country nationals is excluded or disadvantaged.

## **1.3 PROGRAMME STRUCTURE AND BUDGET**

The Erasmus Mundus programme comprises three actions:

- **Action 1:** Implementation of Joint Programmes at Masters (Action 1 A) and Doctorate (Action 1 B) levels and award of individual scholarships/fellowships to participate in these programmes
- **Action 2:** Erasmus Mundus Partnerships (former External Cooperation Windows)
- **Action 3:** Promotion of European Higher Education

### ***Action 1 Erasmus Mundus Joint Programmes (including scholarships)***

Action 1 provides:

- ✓ Support for high-quality joint masters courses (Action 1 A) and doctoral programmes (Action 1 B) offered by a consortium of European and possibly Third-Country HEIs. Other types of organisations concerned by the content and outcomes of the joint programme can participate in the consortium.
- ✓ Scholarships/fellowships for the Third-Country and European students/doctoral candidates respectively to follow these Erasmus Mundus joint masters courses and doctoral programmes.
- ✓ Short-term scholarships for Third-Country and European academics to carry out research or teaching assignments as part of the joint masters programmes.

This Action will foster cooperation between higher education institutions and academic staff in Europe and Third Countries with a view to creating poles of excellence and providing highly trained human resources. Joint programmes must involve mobility between the institutions of the consortium and lead to the award of recognised joint, double or multiple degrees to successful students / doctoral candidates.

The indicative budget breakdown and number of outputs foreseen for the different activities covered by Action 1 in the period 2009-2013 should be the following<sup>3</sup>:

|   | Expected number of outputs by 2013 | Estimated total budget (in million €) |
|---|------------------------------------|---------------------------------------|
| <b>Joint Programmes</b>                                   |                                    |                                       |
| Erasmus Mundus Masters Courses (EMMCs)                    | 150                                | 19                                    |
| Erasmus Mundus Doctoral Programmes (EMJDs)                | 35                                 | 6                                     |
| <b>Total Joint Programme</b>                              | <b>185</b>                         | <b>25</b>                             |
| <b>Individual scholarships / fellowships</b>              |                                    |                                       |
| Category A scholarships for Masters students <sup>4</sup> | 5300                               | 245                                   |
| Category B scholarships for Masters students              | 3400                               | 63                                    |
| Category A fellowships for doctoral candidates            | 440                                | 35                                    |
| Category B fellowships for doctoral candidates            | 330                                | 30                                    |
| Scholarships for Third-Country scholars in EMMCs          | 1900                               | 28                                    |
| Scholarships for European scholars in EMMCs               | 1900                               | 28                                    |
| <b>Total scholarships / fellowships</b>                   | <b>13270</b>                       | <b>429</b>                            |
| <b>Total indicative budget</b>                            |                                    | <b>454</b>                            |

### **Action 2 – Erasmus Mundus Partnerships (former External Cooperation Windows)**

Action 2 provides:

- ✓ Support for the establishment of cooperation partnerships between European HEIs and HEIs from targeted Third Countries with the objective of organising and implementing structured individual mobility arrangements between the European and the Third-Country partners.
- ✓ Scholarships of various length - depending on the priorities defined for the Third Country concerned, the level of studies or the particular arrangements agreed within the partnership - for European<sup>5</sup> and Third-Country individuals (students, scholars, researchers, professionals).

Contrary to Actions 1 and 3, which are funded from the Community budget allocated to the Education activities of the European Union, Action 2 activities are funded by different financial instruments available in the context of the External Relations activities of the Union (i.e. the European Neighbourhood and Partnership instrument, the Instrument for Pre-Accession Assistance, the Development Cooperation and

<sup>3</sup> This distribution is provided for information only and may vary over the course of the programme.

<sup>4</sup> See definition of categories A and B under sections 4.2.1 and 5.2.1 below.

<sup>5</sup> The possibility to award scholarships to European individuals depends on the financial instrument used to fund the cooperation activities with the Third Country concerned. Applicants are invited to refer to the annual Call for Proposals for detailed information applicable to Action 2 cooperation activities with individual Third Countries.

Economic Cooperation policy instrument, the European Development Fund and the Industrialised Countries Instrument). Because of the diversity in the policy objectives covered by these financial instruments, but also due to the different needs and priorities of the Third Countries concerned, the Action 2 implementation rules may vary considerably from one year to another and from one partner country to another.

The Action 2 Chapter of the present Programme Guide is therefore limited to the common and stable aspects of the Action for the five years of the Programme, while detailed information on the Third Country concerned and the specific cooperation rules applicable to them will be defined in the Erasmus Mundus Action 2 annual Call for Proposals.

An indicative overall amount of €460 million has been proposed for the financing of Action 2 projects. This budget should allow for the selection of approximately 100 cooperation partnerships whose funding will be covered by the financial envelopes of the respective external policy instruments.

### ***Action 3 – Promotion Projects***

Action 3 provides support to transnational initiatives, studies, projects, events and other activities aimed at enhancing the attractiveness, profile, image and visibility of, and accessibility to, European higher education in the world.

Action 3 activities relate to the international dimension of all aspects of higher education, such as promotion, accessibility, quality assurance, credit recognition, recognition of European qualifications abroad and mutual recognition of qualifications with Third Countries, curriculum development, mobility, quality of services, etc.

Activities may include the promotion of the Erasmus Mundus Programme and its outputs, and can be implemented by mixed networks of European and Third-Country organisations active in the field of higher education.

The Action 3 budget for the entire duration of the Programme amounts to €16 million and should lead to the funding of around 100 projects.

## **1.4 HOW TO PARTICIPATE IF YOU ARE...**

### **1.4.1 A EUROPEAN<sup>6</sup> HIGHER EDUCATION INSTITUTION (HEI)<sup>7</sup>:**

European HEIs can submit:

- ✓ An **Action 1 application** proposing a joint programme at masters or doctoral level developed in cooperation with partner universities from Europe and, if relevant, Third Countries. If your proposal is selected, Erasmus Mundus funding will be awarded during five consecutive years (subject to the renewal of the Programme beyond 2013) with the purpose of:
  - contributing to the joint programme implementation and management costs;
  - offering scholarships/fellowships to European and Third-Country students / doctorate candidates enrolled in the joint programme;
  - offering short-term scholarships to European and Third-Country scholars to carry out teaching and research activities in the context of the joint programme.
- ✓ An **Action 2 application** presenting a structured cooperation partnership targeted at specific non-European countries/regions and composed of European and Third-Country HEIs from the

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<sup>6</sup> See Chapter 2 for the definition of European Institution.

geographical area concerned, with the purpose of offering full and short-term scholarships to students, scholars and professionals from the Third-Countries and, if eligible, European countries concerned.

- ✓ An **Action 3 application** presented on behalf of a partnership/network of European and Third-Country HEIs/organisations active in the field of higher education with the objective of enhancing the attractiveness of the European higher education sector and to facilitate its cooperation with the rest of the world.

### 1.4.2 A THIRD-COUNTRY HEI<sup>8</sup>

Although Third-Country HEIs can participate as active members of the consortium/partnership/network in exactly the same actions as European HEIs, **they cannot submit a grant proposal** on behalf of the entire consortium/partnership/network. Such applications have to be presented by European organisations.

### 1.4.3 AN INDIVIDUAL

Actions 1 and 2 of the Programme provide financial support to European and Third-Country individuals to allow them to carry out study, teaching or research activities in the framework of selected consortia or partnerships:

| European and Third-Country Individuals | Joint Programmes   |                    | Partnerships |
|--|--------------------|--------------------|--------------|
|  | Action 1 A<br>EMMC | Action 1 B<br>EMJD | Action 2     |
| • Bachelor students                    |                    |                    | X            |
| • Master students                      | X                  |                    | X            |
| • Doctoral candidates                  |                    | X                  | X            |
| • Post-doctoral candidates             |                    |                    | X            |
| • Scholars                             | X                  |                    | X            |
| • Third-Country professionals          |                    |                    | X            |

It should be noted that:

- ✓ Under Action 2, the type of individual beneficiaries may vary in accordance with the specific needs and objectives of the Third Country concerned as well as the financial instrument used to fund the mobility costs;
- ✓ The award of individual scholarships to European scholars under Action 1 A will depend on the participation of a Third-Country HEI in the consortium concerned;
- ✓ The definition of European and Third-Country individuals varies between Action 1 and Action 2 (for more details see specific Action 1 A, 1 B and 2 Chapters).

**Individuals interested in an Erasmus Mundus scholarship have to apply directly to the selected Action 1 consortium or Action 2 Partnership of their choice and go through a competitive selection process organised by the partners involved.** This selection process will be organised in accordance with a

<sup>7</sup> For the purposes of Action 1 B - Joint Doctoral programmes, the concept of HEI includes also doctoral/graduate/research schools and research organisations providing doctoral training and research activities; see definition under Chapter 2.

<sup>8</sup> See Chapter 2 for the Definition of Third-Country Institution.

procedure and set of criteria designed by the consortium / partnership and approved in advance by the Agency. The lists of existing consortia and partnerships are available at the following addresses:

[http://ec.europa.eu/education/programmes/mundus/projects/index\\_en.html](http://ec.europa.eu/education/programmes/mundus/projects/index_en.html) and

<http://eacea.ec.europa.eu/extcoop/call/index.htm>

#### **1.4.4 A RESEARCH ORGANISATION**

Although the objectives of Erasmus Mundus are not to support directly research activities in Europe, the Programme is open to any public or private research organisation that may contribute to its objectives, notably as regards the enhancement of the quality of higher education and the complementarities between higher education and research and development activities.

These organisations can take part in all three Actions of the Programme but can only submit and coordinate projects under Action 1 B (provided they are entitled to deliver doctorate degrees) and Action 3.

#### **1.4.5 AN ORGANISATION ACTIVE IN THE FIELD OF HIGHER EDUCATION**

While most of the Erasmus Mundus activities are targeted towards HEIs and the individuals involved in them, the Programme is open to any organisation that is, directly or indirectly, active in the field of Higher Education. These can be public administration bodies, NGOs, social partners, professional organisations, chambers of commerce or industry, enterprises, etc.

These organisations can take part as partners or associated members in all three Actions of the Programme but can only submit and coordinate projects under Action 3.

## 2 DEFINITIONS AND GLOSSARY

- **Applicant / Coordinating organisation** – organisation that submits a grant application on behalf of a consortium, partnership or network of participating organisations; the applicant represents and acts on behalf of the group of participating organisation in its relations with the Agency; if the grant application is selected, the Applicant will become the main beneficiary (see Beneficiary definition below) and will sign the grant agreement on behalf of the participating organisations;
- **Bachelor Student (student in first cycle)** – a person enrolled in a first cycle higher education programme and who will obtain after the completion of the programme a first higher education degree;
- **Beneficiary and co-Beneficiary** – the beneficiary (also referred to as “main beneficiary” or “coordinating organisation”) is the organisation that, on behalf of the consortium / partnership / network of participating organisation, has signed an agreement with the Agency; the Beneficiary has the primary legal responsibility towards the Agency for the proper execution of the agreement; it is also responsible for the day-to-day coordination and management of the project and for the usage of the Community funds allocated to the project; only in the context of a “Grant agreement with multiple beneficiaries” can partners be considered as **co-beneficiaries** and include their expenditure in the final budget of the project; in all other circumstances, only the expenditure incurred by the main beneficiary and duly recorded in its accounts in accordance with the applicable accounting principles of the country where it is established can be considered as eligible;
- **Co-tutelle** – joint supervision of doctoral studies by two universities from different countries; if successful the doctoral candidate will be awarded a joint or double doctoral degree awarded by the two institutions;
- **Diploma Supplement** – this Diploma Supplement model was developed by the European Commission, Council of Europe and UNESCO/CEPES. The purpose of the supplement is to provide sufficient independent data to improve the international ‘transparency’ and fair academic and professional recognition of qualifications (diplomas, degrees, certificates etc.). It is designed to provide a description of the nature, level, context, content and status of the studies that were pursued and successfully completed by the individual named on the original qualification to which this supplement is appended. It should be free from any value judgements, equivalence statements or suggestions about recognition;  
([http://ec.europa.eu/education/policies/rec\\_qual/recognition/diploma\\_en.html](http://ec.europa.eu/education/policies/rec_qual/recognition/diploma_en.html))
- **Dissemination** is defined as a planned process of providing information on the quality, relevance and effectiveness of the results of programmes and initiatives to key actors. It occurs as and when the results of programmes and initiatives become available;
- **Doctoral Candidate (candidate in third cycle)** – an early-stage researcher at the beginning his/her research career, starting at the date of obtaining the degree which would formally entitle him/her to embark on a doctoral programme;
- **Doctoral Candidate Agreement** – an agreement signed by the Consortium and the doctoral candidate enrolled in the joint doctoral programme explicitly indicating any academic, research, financial and administrative modalities related to the candidate participation in the programme and, if applicable, the award and usage of the fellowship;
- **Doctoral Programme (third cycle)** – a research-related programme of higher education study that follows a higher education degree and leads to a doctoral degree offered by higher education institution

or, in those Member States where this is in accordance with national legislation and practice, by a research organisation;

- **Double or Multiple Degree** – two or more national diplomas issued by two or more higher education institutions and recognised officially in the countries where the degree-awarding institutions are located;
- **ECTS** - European Credit Transfer System which is a student-centred system based on the student workload required to achieve the objectives of a programme, objectives preferably specified in terms of the learning outcomes and competences to be acquired;  
([http://ec.europa.eu/education/programmes/socrates/ects/index\\_en.html](http://ec.europa.eu/education/programmes/socrates/ects/index_en.html))
- **EMJD Agreement** – an agreement signed by all consortium partners (and, if applicable, associated partners) clearly laying down the joint doctoral programme the academic, research, administrative and financial rules and procedures in adherence with the rules and requirements as set out in the Erasmus Mundus Programme;
- **EMMC Agreement** – an agreement signed by all consortium partners (and, if applicable, associated partners) clearly laying down the joint masters course academic, administrative and financial rules and procedures in adherence with the rules and requirements as set out in the Erasmus Mundus Programme;
- **Erasmus Mundus National Structures** – Erasmus Mundus National Structures are contact and information points located in each of the participating European countries; they inform the public about the programme, offer assistance and advice to potential applicants and actual participants and provide feedback on programme implementation to the Commission.; they can provide useful information about the particularities of national education systems, visas requirements, credit transfers, and other tools; see list of Erasmus Mundus National Structures under Chapter 8;
- **Enterprise** – all undertakings engaged in economic activity in the public and private sector, whatever their size, legal status or the economic sector in which they operate, including the social economy;
- **EQF (European Qualification Framework)** – acts as a translation device to make national qualifications more readable across Europe, promoting workers' and learners' mobility between countries and facilitating their lifelong learning; more information on [http://ec.europa.eu/education/lifelong-learning-policy/doc44\\_en.htm](http://ec.europa.eu/education/lifelong-learning-policy/doc44_en.htm);
- **European Country** – a country which is a Member State of the European Union or which participates in the programme according to Article 9 of the Programme Decision;
- **European individual** means a person who is a national or a resident of any of the Member States or the countries participating in the programme according to Article 9 of the Programme Decision;
- **European Institution** means an institution which is located in any of the Member States or the countries participating in the programme according to Article 9 of the Programme Decision;
- **Evaluation Committee** – is the committee in charge of drafting the selection proposal that will be subject of the formal grant award decision; the composition of the evaluation committee may vary from one action to another but it must be composed of at least three persons representing two different organisational entities with no hierarchical link between them; for Action 1, this evaluation committee is assisted by a *Selection Board* composed of leading figures from European academia proposed by the Members States and selected by the Commission; for Action 2 and 3 it is composed of representatives from the Agency and from the services concerned in the European Commission;
- **Exploitation** consists of “mainstreaming” and “multiplication”. Mainstreaming is the planned process of transferring the successful results of programmes and initiatives to appropriate decision-makers in

regulated local, regional, national and European systems. Multiplication is the planned process of convincing individual end-users to adopt and/or apply the results of programmes and initiatives;

- **Higher Education** – all types of courses of study, or sets of courses of study, training or training for research at the post secondary level which are recognized by the relevant national authorities of a participating country as belonging to its higher education system;
- **Higher Education Institution (HEI)** – an establishment providing higher education and recognized by the competent national authority of a participating country as belonging to its system of higher education; for the purposes of Action 1 B - Joint Doctoral programmes, the concept of HEI includes also doctoral/graduate/research schools and research organisations under the condition they provide doctoral training and research activities, and deliver doctorate degrees recognised as such by the relevant authorities of the country concerned;
- **Higher Education Staff** – persons who, through their duties, are involved directly in the educational and/or administrative process related to higher education;
- **Joint Degree** – a single diploma issued by at least two higher education institutions offering an integrated programme and recognised officially in the countries where the degree-awarding institutions are located; in accordance with the Erasmus Mundus Programme Decision, “programmes resulting in the award of joint degrees shall be promoted”;
- **Marie Curie Initial Training Network** – a European Commission funded programme aimed to improve early-stage researchers' career prospects in both the public and private sectors, thereby making research careers more attractive to young people; more information can be obtained from [http://cordis.europa.eu/fp7/people/initial-training\\_en.html](http://cordis.europa.eu/fp7/people/initial-training_en.html);
- **Masters Programme (second cycle)** – a second cycle higher education programme that follows a first degree or equivalent level of learning and leads to a masters level qualification offered by a higher education institution;
- **Master Student (student in second cycle)** – a person enrolled in a second cycle higher education programme and who has already obtained a first higher education degree or has a recognised equivalent level of learning according to national legislation and practices;
- **Mobility** – moving physically to another country, in order to undertake study, work experience, research, other learning or teaching or research activity or related administrative activity, supported as appropriate by preparation in the host language;
- **Post-doctoral Programme** – higher education study or research offered by a higher education institution or a research organisation established in accordance with national legislation and practice that follows a doctoral degree;
- **Promotion and awareness raising** is used primarily in the context of publicising the existence of programmes and initiatives, their aims, objectives and activities and the availability of funding for given purposes. This definition excludes the publicising of results. As such, promotion and raising awareness occurs primarily before and during the actual implementation of the programmes or initiatives;
- **Post-doctoral Researcher** – an experienced researcher who is in possession of a doctoral degree or who has at least three years of full-time equivalent research experience, including the period of research training, at a research organisation established in accordance with national legislation and practice after obtaining the degree which formally allowed him/her to embark on a doctoral programme offered by higher education institution;

- **Scholar / Academic** – a person with outstanding academic and/or professional experience who lectures or conducts research in a higher education institution or a research organisation established in accordance with national legislation and practice;
- **Student Agreement** – an agreement signed by the Consortium and student enrolled in the joint masters course explicitly indicating any academic, financial and administrative modalities related to the student's participation in the joint course and, if applicable, the award and usage of the scholarship;
- **Third Country** – a country which is not a Member State of the European Union and which does not participate in the programme according to Article 9 of the Programme Decision;
- **Third-Country individual** means a person who is neither a national nor a resident of any of the Member States or the countries participating in the programme according to Article 9 of the Programme Decision;
- **Third-Country institution** means an institution that is not located in any of the Member States or the countries participating in the programme according to Article 9 of the Programme Decision. The countries participating in the Lifelong Learning Programme<sup>9</sup> are not considered as Third Countries for the implementation of Action 2.

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<sup>9</sup> OJ L 327, 24.11.2006, p.45.

### **3 COMMON ELEMENTS APPLICABLE TO ALL ACTIONS**

The following section applies to all three Actions covered by the Programme Guide.

The procedure and criteria it contains must therefore be respected by all applicants and participants independently from the Action they apply to or participate in. They are complemented by specific elements applicable to individual Actions and described in detail in the corresponding chapters of the Guide.

Grant applications are selected in accordance with four different types of criteria, i.e. eligibility, exclusion, selection and award criteria. While exclusion criteria described under section 3.2 are identical for all Erasmus Mundus Actions, the other criteria vary from one Action to another and are described in detail in the relevant sections of the Guide.

#### **3.1 APPLICATION AND SELECTION PROCEDURES**

- Applicants are invited to submit their proposal in accordance with the eligibility, selection and award criteria relevant to the Erasmus Mundus Action they intend to apply to;
- There must be one co-coordinating/applicant institution that submits the application on behalf of the consortium / partnership / network of participating organisations;
- The coordinating/applicant institution will be the contact point for the proposal in its relations with the Agency. If the proposal is selected, it will enter into legal commitments with the Agency and will officially represent and report for the consortium / partnership / network;
- Proposals must be submitted to the Agency at the address indicated in the application form;
- The application deadline varies in accordance with the Action concerned. It is mentioned on the relevant application form and Call for Proposals;
- Grant applications must be drawn up in one of the official EU languages, using the form specifically designed for this purpose;
- Only applications submitted by the deadline and in accordance with the requirements specified on the form will be accepted;
- No changes to the proposal can be made after the application has been submitted. However, if there is a need to clarify certain aspects, the applicant may be contacted for this purpose;
- Throughout the selection procedure, information about the outcome of individual applications may not be given;
- Applicants will be informed by the Agency of the receipt of their proposal within 15 working days;
- Only applications that fulfil the general exclusion criteria (see 3.2 below) as well as the Action specific selection and eligibility criteria will be considered for a grant. If an application is deemed ineligible, a letter indicating the reasons will be sent to the applicant;
- Projects will be selected in accordance with the budget available for the action concerned and the quality of the proposals submitted;
- All applicants will be informed of the results of the selection in writing.

### ***Summary of the selection procedure applicable to Erasmus Mundus proposals***

- (1) Registration by the Agency.
- (2) Check of eligibility and selection criteria carried out by the Agency.
- (3) Assessment carried out by high-level international academic experts covering the appropriate disciplines and having experience in international cooperation projects in the field of higher education
- (4) Meeting of the Evaluation Committee<sup>10</sup> to recommend proposals for selection.
- (5) In parallel to steps 3 and 4 and if applicable, consultation of National Structures and/or EU Delegations for eligibility matters relating to HEIs.
- (6) Preparation of a draft selection proposal by the Agency taking into account the opinions issued during steps 3, 4 and 5 above.
- (7) Adoption of the selection proposal by the Agency<sup>11</sup>.
- (8) Applicants are informed by the Agency about the selection decision. The experts' assessment is provided to all applicants.

### ***Application Deadlines***

The following deadlines are provided for information only. Applicant candidates are invited to consult the relevant Call for proposals for a confirmation of the submission deadline.

| Action  | Deadline  |
|---|---|
| Action 1 – Joint Masters Courses (EMMC)           | 30 April  |
| Action 1 – Joint Doctorate Programmes (EMJD)      | 30 April<br>(submission of a Summary sheet by 31 March) |
| Action 2 – Partnerships                           | 15 March  |
| Action 3 – Promotion of European Higher Education | 30 April  |

## **3.2 EXCLUSION CRITERIA**

Applicants and (co-)beneficiaries must state that they are not in any of the situations described in Articles 93 and 94 of the Financial Regulation applicable to the general budget of the European Communities<sup>12</sup> and set out below.

They will be excluded from participating in Erasmus Mundus Calls for Proposals if they are in any of the following situations:

- a) they are bankrupt or being wound up, are having their affairs administered by the courts, have entered into an arrangement with creditors, have suspended business activities, are the subject of proceedings

<sup>10</sup> For Action 1, the Evaluation Committee is assisted by a *Selection Board* composed of leading figures from European academia proposed by the Member States and selected by the Commission.

<sup>11</sup> In parallel and for Actions 1 and 3 only, transmission of the selection proposal by the Commission to the Programme Committee and the European Parliament for information.

<sup>12</sup> Council Regulation (EC, Euratom) N° 1525/2007 of 17 December 2007 amending Regulation N° 1605/2002 on the Financial regulation applicable to the general budget of the European Communities (OJ L 390/2006 of 30 December 2006); Commission Regulation (EC, Euratom) No 478/2007 of 23 April 2007 amending Regulation (EC, Euratom) No 2342/2002 laying down detailed rules for the implementation of Council Regulation (EC, Euratom) No 1605/2002 on the Financial Regulation applicable to the general budget of the European Communities.

concerning those matters, or are in any analogous situation arising from a similar procedure provided for in national legislation or regulations;

- b) they have been convicted of an offence concerning their professional conduct by a judgment which has the force of *res judicata*;
- c) they have been guilty of grave professional misconduct proven by any means which the contracting authority can justify;
- d) they have not fulfilled obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which they are established or with those of the country of the contracting authority or those of the country where the contract is to be performed;
- e) they have been the subject of a judgment that has the force of *res judicata* for fraud, corruption, involvement in a criminal organisation or any other illegal activity detrimental to the Communities' financial interests;
- f) following another procurement procedure or grant award procedure financed by the Community budget, they have been declared to be in serious breach of contract for failure to comply with their contractual obligations.

Applicants, (co-)beneficiaries and scholarship candidates cannot be granted financial assistance if, on the date of the grant award decision, they:

- a) are subject to a conflict of interest;
- b) are guilty of misrepresentation in supplying the information required by the contracting authority as a condition of participation in the grant award procedure, or fail to supply this information.

In accordance with Articles 93-96 of the Financial Regulation, administrative and financial penalties may be imposed on beneficiaries who are guilty of misrepresentation or are found to have seriously failed to meet their contractual obligations under a previous contract award procedure.

To comply with these provisions, applicants and partners must sign a declaration on their honour certifying that they are not in any of the situations referred to in Articles 93 and 94 of the Financial Regulation.

### **3.3 SELECTION CRITERIA**

#### ***TECHNICAL CAPACITY***

Applicants and (co-)beneficiaries must have the professional competence and qualifications required to complete the proposed project. In order to demonstrate this competence, the grant application will have to include the CVs of the persons responsible for the implementation and management of the project within each of the partner institutions.

#### ***FINANCIAL CAPACITY***

Applicants and (co-)beneficiaries must have stable and sufficient sources of funding necessary to maintain their activity throughout the period during which the action is being carried out. In order to permit an assessment of their financial capacity, applicants must submit, together with their application:

- a declaration on their honour, completed and duly signed, attesting to their status as a legal person and that they have the operational and financial capacity to complete the proposed project;
- the bank identification form completed by the applicant organisation and certified by the bank (original signatures required).

The verification of financial capacity does not apply to natural persons in receipt of scholarships nor to public bodies, or to international organisations.

### 3.4 FINANCIAL CONDITIONS

#### *General Conditions Applicable to Community Grants*

Applicants and future beneficiaries should be reminded that

- ✓ Community grants are incentives to carry out projects that would not be feasible without the Community's financial support and are based on the principle of co-financing. They complement the applicant's own financial contribution and/or national, regional or private assistance that has been obtained elsewhere;
- ✓ Each project may give rise to the award of only one Community grant to any one beneficiary. The award of grants shall be subject to the principle of transparency and equal treatment;
- ✓ Grants may not be cumulative or awarded retrospectively; however, a grant may be awarded for a project that has already begun only where the applicant can demonstrate the need to start the project before the agreement is signed. In such cases, expenditure eligible for financing may not have been incurred prior to the date of submission of the grant application;
- ✓ Acceptance of a grant application does not constitute an undertaking to award a financial contribution equal to the amount requested by the beneficiary. Although the allocated amount may not exceed the amount requested, a grant of less than the amount requested by the applicant may be awarded;
- ✓ The awarding of a grant does not establish an entitlement for subsequent years;
- ✓ The Community grant may not have the purpose or effect of producing a profit for the beneficiary. Profit is defined as a surplus of receipts over costs. Except when the grant proposed is based exclusively on lump-sums, flat rates or unit-costs - in which case the non profit rule has already been taken into account when defining the individual values of the lump-sum, flat rates and unit costs - the grant amount will be reduced by the amount of any surplus identified in the financial declaration included in the project final report;
- ✓ The account or sub-account indicated by the beneficiary must make it possible to identify the funds transferred by the Agency. If the funds paid into this account give rise to interest or equivalent profits in accordance with the legislation of the country where the account is held, such profit or interest will be recovered where it results from the pre-financing payment;
- ✓ On the basis of an analysis of management and financial risks (see section 3.3 above and, for Action 3 projects section 7.3.2), an external audit of accounts, produced by an approved auditor, may be required in support of any pre-financing payment.

### 3.5 CONTRACTUAL CONDITIONS

#### *Legal Entity*

In the context of Erasmus Mundus an agreement can only be proposed on the basis of acceptance of documents which make it possible to define the beneficiary's **legal personality/legal entity** (public administration, private university, private company, non-profit organisation, etc.).

For this purpose the beneficiary must provide the following documents:

#### Private organisations:

- Financial Identification form, duly completed and signed;
- extract from the official gazette/trade register, and certificate of liability to VAT (if, as in certain countries, the trade register number and VAT number are identical, only one of these documents is required).

#### Public law entity:

- Financial Identification form, duly completed and signed;
- legal resolution or decision established in respect of the public company, or other official document established for the public law entity.

#### ***Information on the grants awarded***

Grants awarded in the course of a financial year must be published on the website of the Community Institution during the first half of the year following the closure of the financial year for which they were awarded. The information may also be published in any other appropriate medium, including the Official Journal of the European Union.

With the agreement of the beneficiary (taking account of whether information is of such a nature as to jeopardise its security or prejudice its financial interests), the Agency will publish the following information:

- name and address of the beneficiary;
- subject of the grant;
- amount awarded and rate of funding.

#### ***Publicity***

Apart from the measures foreseen for the visibility of the project and the dissemination and exploitation of its results (which are award criteria), there is an obligation of minimal publicity for each granted project.

Beneficiaries must clearly acknowledge the European Union's support in all communications or publications, in whatever form or whatever medium, including the Internet, or on the occasion of activities for which the grant is used. If this requirement is not fully complied with, the beneficiary's grant may be reduced.

Applicants should note that, the possibility to refer to the Erasmus Mundus Programme and to use related denominations – such as “Erasmus Mundus Masters Course (EMMC)”, “Erasmus Mundus Joint Doctoral Programme (EMJD)” or “Erasmus Mundus Projects” - for the promotion and dissemination of their activities and results is exclusively restricted to selected proposals.

DG Education and Culture (EAC) has opened a free public multilingual electronic platform for the dissemination and exploitation of project results. This platform is called EVE (*Espace Virtuel d'Echange*) and its objective is to improve access to the results of DG EAC programmes and initiatives, and at the same time increase their visibility. Selected projects under Action 1 and 3 may be invited to upload information on EVE about their activities, progress made and results achieved (e.g. products, pictures, links or presentations, etc.).

#### ***Audits and monitoring***

A granted project may be subject to an audit and/or to a monitoring visit. The beneficiary will undertake, with the signature of its Grant Agreement, to provide proof that the grant has been used correctly. The

Executive Agency, the European Commission, and/or the European Court of Auditors, or a body mandated by them, may check the appropriate implementation of the activities (in accordance with the programme requirements and the original application) and the use made of the grant at any time during the term of the agreement and, for what concerns audits, during a period of five years following its expiry.

### ***Data protection***

All personal data contained in the grant agreement shall be processed in accordance with:

- Regulation (EC) No 45/2001 of the European Parliament and of the Council on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data;
- where applicable, the national legislation of the country where the application has been selected.

These data will be processed solely in connection with the implementation and evaluation of the Programme, without prejudice to the possibility of transferring such data to the bodies responsible for inspection and audit in accordance with Community legislation (internal audit services, European Court of Auditors, Financial Irregularities Panel or to the European Anti-Fraud Office). On request, you may be sent your personal data and correct or complete them. For any question relating to these data, please contact the Agency. Beneficiaries may lodge a complaint against the processing of their personal data with the European Data Protection Supervisor at any time.

## **4 ACTION 1 A - ERASMUS MUNDUS MASTERS COURSES (EMMC)**

### **4.1 INTRODUCTION**

Erasmus Mundus Masters Courses (EMMCs) were launched during the first phase of the Programme (2004-2008) with the aim of supporting top-quality programmes at postgraduate level that could contribute to the increased visibility and attractiveness of the European higher education sector.

These EMMCs must:

- have a duration of one to two years (60 to 120 ECTS credits);
- be implemented by a consortium of European and, where relevant, Third-Country HEIs;
- provide high-quality education to European and Third-Country students and reserve a number of places for Erasmus Mundus scholarship holders;
- include a mandatory student mobility component in at least two of the participating countries;
- include scholars mobility between the consortium HEIs;
- lead to the award of recognised joint, double or multiple degrees to successful students.

During the first phase of the Programme, each HEI consortium implementing an EMMC was awarded a five-year framework partnership agreement that provided guaranteed financial support for five consecutive editions of the course as well as scholarships for the participation of Third-Country students and scholars in each EMMC edition. At the end of the first phase of the Programme, 103 EMMCs had been selected and around 7300 scholarships awarded to Third-Country students and scholars.

This Action, which has been the centrepiece of the first phase of the Programme, continues during its second phase and is reinforced by the following elements:

- the award of scholarships to European students enrolled in selected EMMCs;
- the possibility for Third-Country HEIs to be full members of EMMC consortia; although the role and level of involvement of these new partners may vary from one EMMC to another (in accordance with the needs and readiness of the consortium and the Third-Country partner concerned), they can also act as degree awarding institutions and play an active role in the design, delivery and evaluation of the EMMC<sup>13</sup>;
- an increased focus on the EMMCs sustainability strategies with a view to ensuring the continuation of their cooperation activities beyond the EC funding period; in this context, special attention will be paid to this aspect in the assessment and selection of new EMMC proposals; moreover a progressive reduction in the number of Erasmus Mundus scholarships offered to EMMCs will be applied as from the fifth edition of the course.

The next sections under Chapter 4 provide all the necessary information for European and Third-Country HEIs wishing to implement an EMMC. They also provide the eligibility and financial conditions applicable to individual scholarships. Since the selection, recruitment and further monitoring of individual scholarship holders fall under the responsibility of the EMMC, applicant HEIs are invited to pay particular attention to these eligibility conditions.

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<sup>13</sup> EMMC consortia that have been selected without Third-Country partners have the possibility to apply for an extension of their consortium composition in order to include such partners (see section 4.5 for further details).

## 4.2 EMMC - ELIGIBILITY CRITERIA

The submission deadline and all other formal eligibility criteria specified in the relevant annual Call for Proposals and its annexes (in particular the application form) must be respected.

### 4.2.1 ELIGIBLE PARTICIPANTS AND CONSORTIUM COMPOSITION

#### *EMMC CONSORTIUM COMPOSITION*

- The Consortium in charge of the implementation of the EMMC is composed of the applicant/coordinating institution and its partners. For contractual and financial management issues, “associated members” are not considered as part of the consortium.
- The **minimum eligible consortium** consists of HEIs from three different eligible applicant countries, at least one of which must be an EU Member State.

#### *EMMC APPLICANT/COORDINATING INSTITUTION*

- Applicants must be HEIs located in an **eligible applicant country**<sup>14</sup> (i.e. a Member State of the European Union, an EEA-EFTA State<sup>15</sup>, Turkey, the Western Balkan countries<sup>16</sup> or Switzerland) and must be recognised as HEIs by the relevant authorities of the country in which they are located. For the purpose of the Erasmus Mundus Programme and for the applicant countries concerned, a HEI is deemed as being recognised if it has been awarded an Erasmus University Charter under the Lifelong Learning Programme. If an applicant has not been awarded an Erasmus University Charter, the Agency will check with the Erasmus Mundus National Structure<sup>17</sup> concerned whether the institution in question corresponds to the definition of HEI given in Article 2 of the Programme Decision.
- Please note that (branches of) Third-Country HEIs located in eligible applicant countries or branches of European HEIs located in Third Countries are not considered as eligible applicants.

#### *EMMC PARTNERS*

- Any HEI recognised as such by the relevant authorities of the country in which it is located can act as a full partner of the consortium implementing an EMMC. While the award of an Erasmus University Charter under the Lifelong Learning Programme constitutes a valid proof of recognition for European HEIs, the Agency will ask European Commission Delegations to liaise with the relevant authorities of the country concerned in order to ensure that the Third-Country HEIs included in the consortium correspond to the definition of an HEI given in Article 2 of the Programme Decision.

#### *EMMC ASSOCIATED MEMBERS*

- Any organisation that can contribute to the promotion, implementation, evaluation and sustainable development of the EMMC can be considered as an associated member of the consortium.

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<sup>14</sup> In order for a project submitted by a country not member of the EU to be eligible under Action 1, an agreement (or a Memorandum of Understanding or an EEA Joint Committee Decision) establishing the participation of this country in the Erasmus Mundus programme should be in force by the date of the selection decision (October of the year preceding the first edition of the EMMC/EMJD). Should this not be the case, organisations from the country concerned will be considered as Third-Country organisations entitled to participate in projects but not to submit or coordinate them.

<sup>15</sup> Iceland, Norway and Liechtenstein.

<sup>16</sup> Western Balkan countries include Albania, Bosnia-Herzegovina, Croatia, Kosovo under UNSC Resolution 1244/99, the Former Yugoslav Republic of Macedonia, Montenegro and Serbia.

<sup>17</sup> In the framework of the Erasmus Mundus programme, in each EU Member State and EFTA-EEA State there exists a National Contact and Information Point, hereinafter referred to as “National Structure”. The list and addresses of the Erasmus Mundus National Structures are available in Chapter 8.

These organisations are expected to contribute to the strategies developed by the EMMC in particular as regards the course sustainability (supporting the consortium in the implementation, organisation and promotion of the course, providing additional revenues/resources such as additional scholarships for future students, etc.) and the students' employability (ensuring that the academic content of the courses meets the relevant professional needs, contributing to the transfer of knowledge and skills, offering complementary skills courses and/or secondment/placement possibilities, etc.).

#### ***STUDENT CANDIDATES FOR AN EMMC SCHOLARSHIP***

- Only candidates who have applied to and have been accepted by an EMMC consortium in accordance with its specific students' application and selection criteria, are eligible for a scholarship.
- Students can apply for an Erasmus Mundus scholarship to the EMMCs of their choice but the number of applications must be limited to maximum three courses.
- In order to make the programme more attractive for Third-Country nationals, the amount of the full-study scholarship will be higher for Third-Country master students (Category A scholarships) than for European master students (Category B scholarships). More specifically:
  - **Category A scholarships** can be awarded to masters students selected by EMMC consortia who come from a country other than an eligible applicant country and who are not residents nor have carried out their main activity (studies, work, etc.) for more than a total of 12 months over the last five years in one of these countries.
  - **Category B scholarships** can be awarded to any masters students selected by EMMC consortia and who do not fulfil the Category A criteria defined above.
- Scholarship candidates must have already obtained a first higher education degree or demonstrate a recognised equivalent level of learning according to national legislation and practices.
- Individuals who have already benefited from an EMMC scholarship are not eligible for a second scholarship in order to follow the same or another EMMC.
- Students benefiting from an EMMC scholarship cannot benefit from another Community grant while pursuing their Erasmus Mundus masters studies.
- EMMC students scholarships are awarded exclusively for a full-time enrolment in one of the course editions.

#### ***SCHOLAR CANDIDATES FOR AN EMMC SCHOLARSHIP***

- EMMC scholarships will be awarded to European and Third-Country scholars in accordance with the following criteria:
  - **Scholarships for scholars enrolled in Third-Country institutions** who will be selected by the EMMC consortium to contribute to the joint programme;
  - if the consortium includes Third-Country partners, **scholarships for scholars enrolled in EU institutions** for the purpose of contributing to the joint programme within this/(these) Third-Country partner(s).
- EMMC scholars must demonstrate outstanding academic and/or professional experience and bring concrete added value to the delivery of the EMMC.
- Only candidates who have been accepted by an EMMC in accordance with its specific scholars' selection criteria are eligible for a scholarship.

## 4.2.2 ELIGIBLE ACTIVITIES

EMMC are designed and implemented by consortia of HEIs from Europe and any other parts of the world. Enrolled students will study in at least two of the countries represented in the consortium and will be awarded joint, double or multiple degrees on behalf of the consortium after the successful completion of their studies.

### *An EMMC must:*

- Last minimum one and maximum two academic years and must therefore carry between 60 and 120 ECTS credits at master level;
- Be fully developed at the time of the application and be ready to run for at least five consecutive editions as of the academic year following the application year (e.g. an EMMC application submitted in April of year “n - 1” must be able to start the first edition of the joint course as from August/September of year “n”);
- Involve European and Third-Country students and reserve every year a certain number of places for Erasmus Mundus scholarship holders; this number will vary from one year to another and will be communicated to selected EMMC consortia in the autumn of the year preceding the academic year concerned<sup>18</sup>;
- Start at the earliest on the first of August of “year n” and end at the latest by the end of October of “year n + 1” (60 ECTS courses) or “n + 2” (120 ECTS courses); the end date includes the communication of the student's final results;
- Have joint student application, selection, admission and examination criteria; the students’ selection procedure and criteria designed by the consortium will have to be approved by the Agency prior to issuing the first specific grant agreement; the students’ application procedure and deadline should be designed in such a way that it provides the students will all the necessary information well in advance and with enough time to prepare and submit his/her application (i.e. in principle 4 months before the deadline);
- Agree whether or not to establish tuition fees, in accordance with its members' national legislation. When tuition fees are established, EMMC consortia should ensure that these fees are transparent and clear to applicant students; different fee amounts can be charged to European and Third-Country students. In setting tuition fees, consortia should bear in mind the maximum contribution to the EMMC participation costs included in the scholarship (see 4.4 below). If the tuition fees established by the consortium are higher than this amount, the consortium should grant the Erasmus Mundus scholarship holders a fee waiver for any fee amount in excess of this maximum contribution;
- Ensure that all partner HEIs are in a position to be a hosting institution for EMMC students;
- Be designed in a way that allows students to carry out a period of study in at least two of the countries represented in the consortium<sup>19</sup>; each of these mandatory mobility periods must include a volume of study/research or equivalent (e.g. field work, laboratory activities, work placement or thesis research, etc.) corresponding to at least:
  - 15 ECTS credits or one trimester for Third-Country HEIs or

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<sup>18</sup> As an indication, the number of students scholarships will most probably vary between 7 and 17 scholarships per edition depending on the "seniority" of the EMMC.

<sup>19</sup> The study programme and mobility tracks must be designed in a way that allows Third-Country students to complete the totality of their EMMC studies in Europe.

- 20 ECTS for one year EMMCs and 30 ECTS for EMMCs of a longer duration in the case of European HEIs;
- Without prejudice to the language of instruction, provide for the use of at least two European languages spoken in the countries where the higher education institutions involved in the EMMC are situated and, as appropriate, offer language preparation and assistance for students, in particular by means of courses organised by the institutions in question;
- Guarantee the award on behalf of the consortium of joint, double or multiple degree(s) to all successful students<sup>20</sup>; programmes resulting in the award of joint degrees will be promoted; this(/these) degree(s) must be fully recognised by the relevant authorities of the countries concerned. This eligibility condition must be fulfilled at the latest at the time of enrolment of the first Erasmus Mundus students<sup>21</sup>; failure to do so may lead to the cancellation of the Erasmus Mundus funding;
- Have put in place an insurance scheme that guarantees that students are adequately covered in case of accident, injury, illness, etc. while participating in the EMMC;
- Implement the necessary measures to assist Category A students and Third-Country scholars in obtaining their required visa and residence permits;
- Develop a common and clear promotion and visibility strategy for the course including, in particular, a dedicated EMMC website referring explicitly to the Erasmus Mundus Programme and providing all necessary information about the course from the academic, financial and administrative points of view;
- Be based on an EMMC Agreement signed by the appropriate governing body of the partner HEIs and covering the most relevant aspects of the course implementation, financing and monitoring;
- Offer the necessary facilities to students (e.g. international office, housing, coaching, assistance with visas, etc.), including where necessary services for family members of grantees and grantees with special needs.

Although EMMCs can operate in any field of study, from single specialised subjects to broader multi-track study areas, applicants are nevertheless invited to consult the annual Calls for Proposals in order to identify possible thematic priorities for the selection year concerned.

***EMMC students holding an Erasmus Mundus scholarship must:***

- Commit themselves to participate in the masters programme in accordance with the terms defined by the consortium in the *Student Agreement*<sup>22</sup>. Failure to do so could lead to the cancellation of the scholarship;
- Spend their study period in at least two of the consortium partner countries. These two countries must be different from the country in which the scholarship holder has obtained his/her last university degree; the mandatory mobility periods cannot be replaced by virtual mobility, neither can they take place in institutions outside the consortium;
- Although most of the study/teaching/research period must be spent in the European countries represented in the consortium, if the EMMC consortium includes Third-Country partners:

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<sup>20</sup> Double or multiple degrees are defined as two or more national diplomas issued officially by two or more institutions involved in an integrated study programme. A joint degree is defined as a single diploma issued by at least two of the institutions offering an integrated study programme.

<sup>21</sup> Applicants are advised to contact their Erasmus Mundus National Structure for a model of the proof, applicable to the relevant national contexts, which must be submitted.

<sup>22</sup> Examples of student agreements can be found at the following website: <http://eacea.ec.europa.eu/static/en/mundus/index.htm>

- Category A scholarship holders can spend a learning/training/research/fieldwork period of a maximum of one trimester (i.e. 3 months or the equivalent of 15 ECTS) in these Third Countries, under the direct supervision of the partner/associated member concerned and only if this country is different from the student's country of origin; periods in excess of this duration or spent in the students country of origin may not be covered by the EMMC scholarship;
- Category B scholarship holders can spend a minimum of two months and up to half of their masters course studies in these Third Countries, under the direct supervision of the partner/associated member concerned; periods in excess of this duration may not be covered by the EMMC scholarship.

***EMMC scholars holding an Erasmus Mundus scholarship must:***

- Commit themselves to actively participate in the masters course activities;
- Spend a minimum of two weeks and a maximum of three months in the partner HEIs;
- Perform teaching/research/student tutoring activities
  - in the European partner HEIs for what concerns Third-Country scholars,
  - in the Third-Country partner HEIs for what concerns European scholars;
- Bring concrete added value to the course and students (through teaching of specific classes, leading and participating in seminars or workshops, monitoring and tutoring student research/project activities, participating in thesis reviews, preparing new teaching modules, etc.);
- Contribute, after their visiting scholar activities, to the promotion and dissemination of the Erasmus Mundus Programme in general, and the EMMC concerned in particular, in their HEI and country of origin.

### **4.3 EMMC - AWARD CRITERIA**

The selection of EMMCs will be a competitive process organised by the Agency and based on the assessment of the quality of the proposal from the academic and organisational points of view. This assessment will be based on the **following 5 award criteria**:

| <b>Criteria</b>   | <b>Weight</b> |
|---|---------------|
| 1. <i>Academic quality</i>  | 25%           |
| 2. <i>Course integration</i>  | 25%           |
| 3. <i>Course management, visibility and sustainability measures</i> | 20%           |
| 4. <i>Students' facilities and follow-up</i>                        | 15%           |
| 5. <i>Quality assurance and evaluation</i>                          | 15%           |

***Academic quality (25% of the final mark)***

Under this award criterion applicants will have to present the objectives of their EMMC proposal from an academic point of view and its possible contribution to the excellence, innovation and competitiveness of the European Higher Education sector.

It will address aspects such as:

- The needs analysis, academic quality and added value of the integrated study programme compared with courses that already exist in the same field at national and international level;
- The adequacy of the partnerships to the objectives of the programme in terms of capacity, expertise and experience and notably, the quality of the teaching staff involved in the delivery of the EMMC;
- The quality and relevance of the learning outcomes, acquired competences and professional outcomes in the perspective of the students' future academic and/or professional career;
- The extent to which the EMMC integrates work placements and/or research activities in the field (where appropriate), the way it interrelates with the professional / economic sector concerned and, if applicable, the role of associated members in this respect;
- The way the proposed EMMC structure (including its students/scholars' mobility mechanisms) is instrumental to the academic and professional objectives of the course;
- If relevant, the level and appropriateness of Third-Country partner(s) contribution to the EMMC content and strategic objective.

***Course integration (25% of the final mark)***

The Course Integration criterion will focus on issues related to the way the EMMC will be implemented in and across the partner institutions for what concerns the delivery of the course itself as well as the students' selection, admission, examination and results recognition mechanisms.

It will address aspects such as:

- The extent to which the Masters Course is truly integrated (i.e. has been jointly developed by the consortium partners on the basis of new or pre-existing modules<sup>23</sup>) and its study programme fully recognised by all the participating HEIs; if relevant, particular attention will have to be paid to the level and quality of integration of the Third-Country partner HEIs;
- The common standards, criteria and procedures proposed by the consortium for the application, selection, admission and examination of European and Third-Country students;
- The financial arrangements among the partner institutions, notably as regards the contribution of the Commission to the programme. If applicable, this includes the way Third-Country and European students' fees and other participation costs have been calculated and will be distributed among the participating institutions;
- The extent to which ECTS or other compatible mechanisms (including the “grading scale”) are used;
- The type of degree(s) awarded and, if applicable, the measures taken by the consortium to deliver joint degrees; programmes resulting in the award of joint degrees will be promoted;
- The delivery of a Diploma Supplement, if possible jointly issued on behalf of the consortium, to successful students in order to improve international transparency and facilitate the academic and professional recognition of qualifications.

***Course management, visibility and sustainability measures (20% of the final mark)***

This criterion will focus on the way the consortium intends to manage the EMMC in order to ensure its efficient and effective implementation.

It will address aspects such as:

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<sup>23</sup> Parallel and independently delivered study programmes in the participating HEIs are not considered an integrated course.

- The quality of the cooperation mechanisms within the consortium (degree of institutionalisation, existence of an EMMC agreement, regular meetings, clearly defined and active role of all partners, established feed-back system, participation of external actors in the supervisory boards, etc.);
- The appropriateness of the financial and human resources dedicated by the consortium to the EMMC implementation;
- The nature and quality of the strategy and concrete measures proposed to ensure the appropriate visibility and worldwide promotion of the EMMC and reach out to potentially interested Third-Country students/scholars;
- The existence of a concrete sustainability plan involving all partner HEIs but also, if relevant, other public and/or private organisations in the countries concerned; if applicable, the role of the associated members in this respect;
- The existence of complementary funding sources for the implementation of the EMMC and, if applicable, the availability of additional (full or partial) scholarships to participating students.

***Students' facilities and follow-up (15% of the final mark)***

Particular attention will be paid under this criterion to the services and facilities offered to enrolled students as well as to the way applicant consortia intend to ensure an efficient participation of these students in the EMMC activities.

It will address aspects such as:

- The existence of a Student Agreement clearly defining the mutual rights, obligations and responsibilities of the student and the consortium for what concerns the academic, financial and administrative aspects of the student's participation in the EMMC;
- The nature and quality of the services provided to host students/scholars (e.g. existence of an “international office” with adequate opening hours and linguistic coverage, housing facilities, coaching, assistance with visas, etc.). As regards EM scholarship holders in particular, this should notably include the insurance scheme proposed to cover the students during their EMMC studies and, if applicable, the services available to grantees with family or with special needs;
- The EMMC language policy and its level of integration in the course; the linguistic facilities offered to visiting students (e.g. training facilities, mentoring, local language learning, etc.);
- The arrangements to facilitate networking among EMMC students (e.g. possibilities for students from successive cohorts to meet and exchange experiences; creation of an EMMC alumni associations in close collaboration with the general Erasmus Mundus Students and Alumni Association<sup>24</sup>, etc.).

***Quality Assurance and evaluation (15% of the final mark)***

Under this criterion applicant EMMCs will have to describe the quality assurance and evaluation strategy envisaged by the consortium in order to ensure an efficient monitoring of the course (from both the content and administrative points of view) and its regular improvement during the five years of implementation. Applicants and beneficiaries are invited to consult the EMMC Quality Handbook produced during the first phase of the programme and available on the [Erasmus Mundus website](http://www.em-a.eu/). They will also have to refer to the concrete measures taken by the consortium to allow balanced gender participation as well as the participation of disadvantaged students/scholars to the joint course.

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<sup>24</sup> For more information please consult the Erasmus Mundus Students and Alumni Association website: <http://www.em-a.eu/>

This criterion will address aspects such as:

- The nature of the internal evaluation (by the institutions themselves, through student/scholar feed-back systems, etc.) and external quality assurance (by e.g. national, international or professional bodies) mechanisms proposed<sup>25</sup>;
- If applicable, the extent to which associated members are involved in the course monitoring and its expected evolution in content and structure;
- The concrete measures taken by the consortium to allow balanced gender participation among the students and to facilitate access to the course to disadvantaged students/scholars and students/scholars with disabilities or special needs.

#### 4.4 EMMC - FINANCIAL CONDITIONS

##### *Financial contribution to the EMMC's running costs*

The financial contribution to the internal management costs of the EMMC consortium will correspond to a lump-sum of €30 000 per course edition (i.e. €10 000 per participating HEI limited to €30 000 maximum).

In addition, each student's scholarship will include a maximum amount attached to the grant and intended to contribute to the students' participation costs in the EMMC (see *Scholarships Table* below).

The beneficiary will not be asked to report on the use of the lump-sum nor the scholarship contribution to the EMMC costs.

##### *Individual scholarships*

The procedure and criteria applicable to the **award of individual Erasmus Mundus scholarships to students and scholars** are the responsibility of selected EMMCs. In order to guarantee a transparent and objective selection of candidate students, selected EMMC will have to submit to the Agency, as part of their contractual obligations, a comprehensive description of their students' selection procedure and criteria prior to the award of their first Specific Grant Agreement.

As a result, individuals wishing to apply for an EMMC scholarship must consult the list of selected masters courses and the detailed information available on the website of the masters course(s) of their choice.

Erasmus Mundus scholarships will be awarded to students and scholars for each of the five editions of the EMMC. The number of scholarships for each category of individuals (students from categories A and B as well as Third-Country and, when applicable, European scholars) will be defined on a yearly basis and communicated to selected EMMCs in the autumn of the year preceding the academic year concerned. As an indication, this number will most probably vary between 7 and 17 students scholarships (depending on the "seniority" of the EMMC), 3 to 4 Third-Country scholars scholarships and the same number for European scholars (if the consortium includes Third-Country partners).

It should be noted that, while the Category A scholarships should be considered as "**full scholarships**" covering all necessary costs of the student during his/her study period in Europe, Category B scholarships have to be considered as a "**financial contribution**" to the student's costs while following his/her EMMC studies.

Scholars scholarships are awarded for a maximum period of three months. However, EMMC consortia may decide to invite/fund more scholars for shorter periods on the condition that this shorter mobility plan has

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<sup>25</sup> Applicants are also invited to consult the [European Quality Register for Higher Education](#).

been accepted in advance by the Agency (either during the application process or following a formal request) and that each individual mobility flow lasts a minimum of two weeks.

Without prejudice to high academic standards, in order to ensure geographical diversity among students/scholars, EMMC consortia shall respect the following basic criteria when selecting students/scholars for an Erasmus Mundus scholarship:

- No more than 2 of the students selected for an EMMC scholarship should have the same nationality.
- Each European or Third-Country scholar selected to receive a scholarship should come from a different higher education institution.

If consortia wish to diverge from these criteria, prior permission to do so must be obtained from the Agency.

#### *Scholarships Table*

|     |   | Category A scholarships  | Category B scholarships   | Scholars scholarships   |
|-----|---|--|---|---|
| I   | Contribution to travel, installation and any other type of costs                                  | € 4000 for a one-year EMMCs; € 8000 for courses longer than one year | € 3000 - <u>only</u> if the EMMC includes a mobility period to a Third-Country partner  |   |
| II  | Maximum contribution to the EMMC participation costs (including insurance coverage) <sup>26</sup> | €4000 / semester   | €2000 / semester  |   |
| III | Monthly allowance <sup>27</sup>   | €1000 / month  | €500 / month  |   |
| IV  | Living allowance (including travel costs)   |  |   | € 1200 / week for a maximum duration of 3 months per scholar    |
|     | <b>Total</b>  | From €24 000 for a one-year EMMC, to €48 000 for a two-year EMMC     | From €10 000 for a one-year EMMC without mobility to a Third Country, up to € 23 000 for a two-year EMMC with mobility to a Third Country | From € 2400 for a two-week stay, to € 14 800 for a 3-month stay |

The scholarship amounts will be paid to the EMMC consortia in the context of the specific grant agreements issued for each edition of the course. It is the responsibility of the consortium to ensure that the scholarship is paid to the student/scholar in the following way:

<sup>26</sup> “Participation costs” must be understood as any compulsory administrative/operational cost related to the participation of the student in the EMMC (e.g. library, laboratory, tuition, social security and insurance costs, etc.). Any other costs that may be charged in addition (e.g. for participation in fieldwork activities), being compulsory or voluntary, must be communicated to the candidate student at application stage.

<sup>27</sup> These monthly allowance amounts may be increased in order to cover the additional costs of students with special needs; EMMCs will have to inform the Agency accordingly in the context of their annual student scholarship applications.

- **Amount I** (*Contribution to the student's travel, installation and other personal costs*) will have to be paid:
  - For **Category A scholarships**, at the end of the registration process, either in full (for EMMCs lasting one academic year) or in two instalments (for EMMCs of a longer duration).
  - For **Category B scholarships**, in preparation of the mobility period in the Third Country.
- **Amount II** (*Maximum contribution to the EMMC participation costs - including insurance coverage*) can be collected by the EMMC consortium directly on the condition that the student has signed a "**student agreement**" with the consortium in which the amount and the costs covered by it have been clearly indicated. Although the EMMC consortium is free to define the appropriate amount of participation costs to be charged to participating students, when determining these fees the consortium should bear in mind the maximum contribution to the EMMC participation costs included in the scholarship. If the tuition fees established by the consortium are higher than this amount, the consortium should grant the Erasmus Mundus scholarship holders a fee waiver for any fee amount in excess of this maximum contribution.
- **Amount III** (*Monthly allowance*) must be paid on a monthly basis to the student's personal bank account.
- **Amount IV** (*Living allowance (including travel costs)*): in accordance with the needs of the scholar.

EMMCs should be aware of the taxation policies applied to individual scholarships in the different participating countries and inform the scholarship holders accordingly. For more information, EMMCs are invited to consult the Erasmus Mundus National Structure concerned (see list under Chapter 8).

## 4.5 EMMC - CONTRACTUAL CONDITIONS

### **"Framework Partnership Agreement"**

If the EMMC proposal is selected, the Agency will conclude a five-year *Framework Partnership Agreement* with the coordinating institution. This framework partnership agreement will be concluded for a period of five years subject to the renewal of the Programme after 2013. This implies that over that period, the selected EMMC consortia commit themselves to maintaining the consortium composition as well as the content of the Course in the form approved (subject, of course, to updating and adaptations to needs).

Changes in the consortium composition – including for instance the inclusion of Third-Country partners to an existing EMMC - or major modifications in the course content/structure (as opposed to regular updating of individual course contents) will have to be requested in advance to the Agency and formally approved by the latter in the context of an amendment procedure. If approved, such changes will apply as from the next edition of the course.

### **"Specific Grant Agreements"**

Within the Framework Partnership Agreement, *Specific Grant Agreements* will be issued on a yearly basis in order to cover each of the five editions of the Masters Course. The specific grant agreement will cover the financial contribution for the internal management costs of the consortium (€30 000 lump-sum) as well as the individual Erasmus Mundus scholarships allocated to student and scholars for each masters course edition.

The implementation of the masters course will be regularly reviewed via the specific grant agreement reports submitted by the co-ordinating institution on behalf of the EMMC. The decision to renew specific agreements or not will be based on whether the course has been delivered in accordance with the proposal

and the Erasmus Mundus programme rules, whether Erasmus Mundus grantees have followed the course and whether high standards of quality have been maintained.

In cases of patent non-compliance with high quality standards the Agency may refuse to renew the grant and designation of the Masters Course, or even ask for the reimbursement of grant amounts already paid. The relevant National Structure and, possibly, scholarship holders involved in the EMMC in question may be consulted.

### ***Payment of the grant***

The Erasmus Mundus grant covering both the contribution to the EMMC running costs and the students and scholars scholarships will be paid to the consortium in two pre-financing instalments intended to provide the beneficiary with a float:

- The first pre-financing payment corresponding to 80% of the grant for one year EMMCs or 70% for longer courses will be paid after the signature of the annual specific grant agreement by both parties. This payment will be made within 45 days of the date when the last of the two parties (i.e. the Agency) signs the agreement and all the necessary guarantees have been received;
- The second pre-financing payment corresponding to the remaining part of the grant will be paid after the reception by the Agency of a formal payment request submitted by the beneficiary and confirming that at least 70% of the first pre-financing amount has been used.

### ***“EMMC Agreement”***

In order to ensure the appropriate institutional commitment of the participating HEIs to the EMMC, an *EMMC Agreement* will have to be signed by the appropriate authorities of the institutions involved. This agreement will have to cover as precisely as possible all academic, administrative and financial aspects related to the implementation, management, monitoring and evaluation of the EMMC activities, including the management of individual scholarships.

A copy of such agreement will have to be submitted to the Agency prior to the award of the first Specific Grant Agreement.

### ***“Student Agreement”***

It is the consortium’s responsibility to ensure the active participation of all students in the EMMC activities. In order to guarantee the adequate transparency of the EMMC participation rules, consortia are required to define clearly the student’s obligations in a *Student Agreement* that will be signed by both parties at the beginning of the programme. This agreement should define as precisely as possible the rights and obligations of both parties and cover issues such as:

- The participation costs charged to the student, what they do and (if relevant) do not cover.
- The main milestones in the Masters Course calendar, together with the examination periods.
- The nature of the exams/tests and the grading system used to assess the student’s performance.
- The student’s obligations concerning his/her attendance to the course/activities and academic performance, as well as the consequences for not respecting these obligations.

Erasmus Mundus scholarship holders who fail to fulfil their obligations toward the consortium should, after adequate warning, have their scholarship stopped.

A copy of such agreement will have to be submitted to the Agency prior to the award of the first Specific Grant Agreement.

Models of the *Framework Partnership Agreement* and *Specific Grant Agreements*, as well as their annexes, are available on the [Erasmus Mundus website](#).

#### **4.6 EMMC - SELECTION PROCEDURE AND INDICATIVE TIMETABLE**

In addition to the elements presented under 3.1 above, EMMC applications submitted to the Agency must be copied to the Erasmus Mundus National Structures of the European countries involved in the proposed consortium (see list under Chapter 8).

EMMCs already selected during the first phase of the programme and wishing to apply for a new Erasmus Mundus funding cycle of five years will have to submit their new EMMC proposal for the deadline preceding the fifth edition of their masters course.

##### ***Indicative Timetable***

Applicants should note that the following timetable is provided for information only and might be changed in the context of the annual Call for Proposals:

- 1) **January “year n-1”**: publication of the annual Call for Proposals (including information on form to be used and any other relevant information applicable to the selection year concerned).
  - 2) **30 April “year n-1”**: Deadline for the submission of proposals.
  - 3) **From May to July “year n-1”**: assessment and selection of proposals.
  - 4) **September “year n-1”**: selection results are communicated and framework partnership agreements sent to selected EMMC consortia.
  - 5) **September “year n-1” to:**
    - a) **January “year n”**: information and promotion campaign by EMMC consortia that will receive applications from Category A scholarship candidates and Third-Country scholars.
    - b) **May “year n”**: continuation of the information and promotion campaign for the reception and processing of applications from Category B scholarship candidates.
- For both categories of scholarships, EMMCs will establish deadlines for reception of scholarship applications that are compatible with those established by the Agency (see points 7 below).
- 6) **November “year n-1”**: the number of available scholarships for each category is communicated to all EMMCs (new ones as well as those selected in previous years and still within their five-year cycle).
  - 7) EMMC Scholarship Applications:
    - a) **End of January “year n”**: EMMC consortia submit their lists of selected Category A students and Third-Country scholars to the Agency which validates the lists and prepares the official documents for facilitating the visa procedure.
    - b) **End of May “year n”**: EMMC consortia submit their lists of selected Category B students to the Agency.
  - 8) **June “year n”**: specific grant agreements are signed by both parties; the first pre-financing payment is made by the Agency to the beneficiary.
  - 9) **As from August “year n”**: the EMMCs start their activities.

## **5 ACTION 1 B: ERASMUS MUNDUS JOINT DOCTORATE PROGRAMMES (EMJD)**

### **5.1 INTRODUCTION**

In many European countries and in other areas of the world, doctoral training is currently going through an intensive cycle of reflection and reforms whose pace and nature vary in accordance with the country, the type of HEI or the fields of study concerned.

Although there is no European consensus for a single “Doctoral programme model”, even more so for any kind of “European Joint Doctorate”, some clear trends may be identified. These aim, on the one hand, to clarify and, to a certain extent, formalise the nature of doctoral training (on issues such as objectives, access, status of doctoral candidates, duration, recognition, links with research and/or the economic sector, etc.) and, on the other hand, to pool resources and close the gaps between fields of study, academia and society (through, for instance, the creation of doctoral/ graduate/research schools or “co-tutelle” arrangements, joint ventures and spin-offs between HEIs, research organisations and enterprises.)

In this respect, the EMMC model, with its high level of integration combined with the wide diversity of approaches, appears to be an ideal basis on which participating HEIs will be able to experiment and build new models for future European Joint Doctorates.

While the European Commission already has long-standing experience of awarding financial support to young researchers, including doctoral candidates, through the Marie Curie fellowship scheme and in particular the Initial Training Networks, EMJDs have to be seen as complementary to these funding schemes in terms of the focus they bring to the doctoral programmes themselves and their institutional dimension, as well as the contribution they make to the shaping of doctoral studies in the European Higher Education Area.

As a result, the primary aim of EMJDs is to develop structured and integrated cooperation in higher education, in order to design and implement common doctoral programmes that lead to the award of mutually recognised joint, double or multiple doctorate degrees.

Therefore, beyond the research activities themselves and the individuals involved, the institutions have to be seen as the key target of the Programme. They are expected to contribute to the promotion of innovative models for the modernisation of doctoral studies, focusing on institutional cooperation and the development of joint governance models (i.e. recruitment, supervision, assessment, awarding of degrees and fee policy).

In this context, EMJDs should:

- ✓ contribute to the advancement of knowledge, including in its professional context, through original and independent research;
- ✓ address new challenges in scientific but also in socio-economic terms;
- ✓ contribute to reinforcing the links between universities/research organisations and other sectors (including industry, commerce and the service sector) in order to strengthen the transmission and exploitation of knowledge and to enhance the innovation process;
- ✓ become a reference at European level and thus contribute to improving the overall quality of doctoral education and research in Europe.

From the point of view of doctoral candidates, the EMJDs should explicitly address the issue of employability and therefore:

- ✓ provide appropriate professional career development opportunities beyond academia, towards a wider employment market;
- ✓ provide appropriate incentives for candidates from developing countries to return home and exploit their experience for the benefit of their country.

From a practical point of view, EMJDs are implemented on a similar basis as EMMCs. Selected EMJD consortia are offered financial support for the implementation and management of their doctoral programme for five consecutive years. Each year a certain number of fellowships are offered to European and Third-Country doctoral candidates selected by the consortium.

The following sections provide all the necessary information for European and Third-Country HEIs wishing to design and implement an EMJD. They also provide the minimum eligibility and financial conditions applicable to individual grant fellowship holders. Since the selection, recruitment and further monitoring of these individual fellowship holders fall under the responsibility of the EMJD, applicant consortia are invited to pay particular attention to these eligibility conditions.

## **5.2 EMJD - ELIGIBILITY CRITERIA**

The submission deadline and all other formal eligibility criteria specified in the relevant annual Call for Proposals and its annexes (in particular the application form) must be respected.

### **5.2.1 ELIGIBLE PARTICIPANTS AND CONSORTIUM COMPOSITION**

#### ***EMJD CONSORTIUM COMPOSITION***

- The consortium in charge of the implementation of the EMJD is composed of the applicant organisation and its partners. For contractual and financial management issues, “associated members” are not considered as part of the consortium.
- The **minimum eligible consortium** consists of three HEIs entitled to deliver doctorate degrees, located in different eligible applicant countries, at least one of which must be an EU Member State.

#### ***EMJD APPLICANT / COORDINATING INSTITUTION***

- Applicants must be either:
  - a HEI located in an **eligible applicant country**<sup>28</sup> (i.e. a Member State of the European Union, an EEA-EFTA State<sup>29</sup>, Turkey, the Western Balkan countries<sup>30</sup> or Switzerland), entitled to deliver doctorate degrees and recognised as such by the relevant authorities of the country concerned. For the purpose of the Erasmus Mundus programme and for the applicant countries concerned, a HEI is deemed as being recognised if it has been awarded an Erasmus University Charter under the Lifelong Learning Programme. If an applicant (or a European partner) has not been awarded an Erasmus University Charter, the Agency will check with the Erasmus Mundus National

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<sup>28</sup> In order for a project submitted by a country not member of the EU to be eligible under Action 1, an agreement (or a Memorandum of Understanding or an EEA Joint Committee Decision) establishing the participation of this country in the Erasmus Mundus programme should be in force by the date of the selection decision (October of the year preceding the first edition of the EMMC/EMJD). Should this not be the case, organisations from the country concerned will be considered as Third-Country organisations entitled to participate in projects but not to submit or coordinate them.

<sup>29</sup> Iceland, Norway and Lichtenstein.

<sup>30</sup> Western Balkan countries include Albania, Bosnia-Herzegovina, Croatia, Kosovo under UNSC Resolution 1244/99, the Former Yugoslav Republic of Macedonia, Montenegro and Serbia.

Structure<sup>31</sup> concerned whether the institution in question corresponds to the definition of an HEI given in Article 2 of the Programme Decision.

- a Doctoral/Graduate/Research School or Research Organisation located in an eligible applicant country, entitled to deliver doctorate degrees and recognised as such by the relevant authorities of the country concerned.

Please note that (branches of) Third-Country HEIs located in eligible applicant countries or branches of European HEIs located in other countries are not considered as eligible applicants.

#### ***EMJD PARTNERS***

- Any organisation, particularly HEIs, doctoral/graduate/research schools and research organisations, that contributes directly and structurally to the implementation of the EMJD by recruiting/employing/hosting eligible candidates and/or providing teaching/training modules and research opportunities can be considered as an eligible partner. Eligible partners are expected to play a structural role in the EMJD governing structure(s).

#### ***EMJD ASSOCIATED MEMBERS***

- Any other organisation involved in the EMJD implementation or monitoring can be considered as an “associated member” of the consortium. This applies more specifically to socio-economic partners (i.e. commercial enterprises, in particular SMEs, public authorities or organisations, non-profit or charitable organisations, international/European interest organisations, etc.) that can propose, support and accompany - over a mid- and long-term perspective - specific research projects, contribute to the transfer of knowledge and results as well as the innovation process, assist in the promotion, implementation, evaluation and sustainable development of the EMJD.

#### ***DOCTORAL CANDIDATES ELIGIBLE FOR AN EMJD FELLOWSHIP***

- Two different EMJD fellowships can be awarded to doctoral candidates:
  - **Category A fellowships** can be awarded to doctoral candidates selected by EMJD consortia, who come from a country other than an eligible applicant country and who are not residents nor have carried out their main activity (studies, work, etc.) for more than a total of 12 months over the last five years in one of these countries. The only exception to this rule applies to Third-Country doctoral candidates who have previously received an Erasmus Mundus masters scholarship in order to follow an EMMC.
  - **Category B fellowships** can be awarded to any doctoral candidate selected by EMJD consortia and who do not fulfil the Category A criteria defined above.
- Individual EMJD fellowships are awarded exclusively for full-time enrolment in one of the doctoral programmes.
- Individuals who have already benefited from an EMJD fellowship are not eligible for a second grant.
- Doctoral candidates benefiting from an EMJD fellowship cannot benefit from other Community grants while carrying out their Erasmus Mundus doctoral activities.

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<sup>31</sup> In the framework of the Erasmus Mundus programme, in each EU Member State and EFTA-EEA State there exists a National Contact and Information Point, hereinafter referred to as “National Structure”. The list and addresses of the Erasmus Mundus National Structures are available in Chapter 8.

- Only candidates who have applied to and have been accepted by an EMJD consortium in accordance with its specific doctoral candidate’s application and selection criteria are eligible for a fellowship.

### 5.2.2 ELIGIBLE ACTIVITIES

EMJDs are designed and implemented by consortia of HEIs and socio-economic partners from Europe and any other parts of the world. Enrolled doctoral candidates will receive high-quality training and carry out their research activities in at least two different countries; after the successful completion of the programme, they will be awarded, on behalf of the consortium, a double, multiple or joint doctorate degree.

#### *An EMJD must:*

- Be designed as a training and research programme that will be completed by the candidates within a maximum period of 4 years<sup>32</sup>.
- Be fully developed at the time of the application and be ready to run for at least five consecutive editions as of the academic year following the application year (e.g. an EMJD application submitted in April of year “n - 1” must be able to start the first edition of the joint programme as from August/September of year “n”).
- Involve doctoral candidates from Europe and Third Countries and reserve every year a certain number of places for Erasmus Mundus fellowship holders; this number will vary from one year to another and will be communicated to selected EMJD consortia in the autumn of the year preceding the following edition of the joint programme<sup>33</sup>.
- Ensure that, on a yearly basis, all recruited candidates start their doctorate activities between August “year n” and March “year n+1” and that they complete these activities (including the thesis defence) at the latest by October of “year n + 4”.
- Have a joint governance structure with joint admission, selection, supervision, monitoring and assessment procedures.
- Agree whether or not to establish tuition fees, in accordance with its members' national legislation. When tuition fees are established, EMJD consortia should ensure that these fees are transparent and clear to doctoral candidates. In setting tuition fees, consortia should bear in mind the fixed contribution awarded to the consortium for the doctoral candidate participation costs (see 5.4 below). If the tuition fees established by the consortium are higher than this amount, the consortium should grant the Erasmus Mundus fellowship holders a fee waiver for any fee amount in excess of this fixed contribution.
- Include training/research periods in at least two different countries represented in the consortium. Each of these mobility periods must be instrumental to the fulfilment of the programme and lasts for at least 6 months (not necessarily consecutive).
- Ensure that candidates spend at least two thirds of their doctoral programme in Europe.

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<sup>32</sup> Although the candidate must complete his/her doctoral activities within a maximum period of four years, the EMJD fellowship will cover a maximum period of three years.

<sup>33</sup> As an indication, the number of fellowships will most probably vary between 6 and 10 per edition of the joint programme.

- Guarantee the award on behalf of the consortium of a joint, double or multiple degree(s) to all successful candidates<sup>34</sup>; programmes resulting in the award of joint degrees will be promoted; this/these degree(s) must be fully recognised by the relevant authorities of the countries concerned.
- Guarantee social security coverage for the doctoral candidates, covering health insurance, work accident insurance and the provision of parental leave.
- Ensure that all the eligibility conditions applicable to Erasmus Mundus fellowship holders enrolled in the doctorate programme are fully met in accordance with the criteria defined under section 5.2.1 above.
- Be based on an EMJD Agreement signed by the appropriate authorities of the partner organisations and covering the most relevant aspects of the programme implementation and monitoring.
- Without prejudice to the language of instruction, provide for the use of at least two European languages spoken in the countries where the HEI involved in the EMJD are situated and, as appropriate, offer language preparation and assistance for doctoral candidates, in particular by means of courses organised by the institutions in question.

As a general rule, doctoral candidates should be appointed under an employment contract except in adequately documented cases (e.g. related to institutional or national practice) or where national regulation would prohibit this possibility.

Although all domains of research and technological development are eligible for funding, the scope of these domains should be clearly defined in the proposal in order to guarantee the implementation of innovative approaches and ensure that the Erasmus Mundus programme objectives and priorities are fully addressed.

The proposed EMJDs should cover identified and recognised areas of excellence in which new paradigms and new approaches are needed. Based on a bottom-up approach, the applicants will be free to identify these areas. If relevant, the annual Call for Proposals may define specific thematic priorities.

***Doctoral candidates holding an Erasmus Mundus fellowship must:***

- Commit to participate in the doctoral programme in accordance with the terms defined by the consortium in the ***Doctoral candidate agreement*** (see 5.5 below). Failure to do so could lead to the cancellation of the fellowship;
- Perform their training/research periods in at least two different countries represented in the consortium; for Category B fellowship holders, these two countries must be different from the country in which the doctoral candidate has obtained his/her last university degree;
- Spend most of the doctorate period in the European countries represented in the consortium or among the associated partners. However, if the EMJD consortium includes Third-Country partners and/or associated members:
  - Category A fellowship holders can spend a training/research/ fieldwork period of a maximum duration of one semester (or 6 months, cumulative or consecutive) in these countries; periods in excess of this duration may not be covered by the EMJD fellowship;

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<sup>34</sup> Double or multiple degrees are defined as two or more national diplomas/degrees issued officially by two or more institutions involved in an integrated study programme. A joint degree is defined as a single diploma/degree issued by at least two of the institutions offering an integrated study programme.

- Category B fellowship holders can spend up to one year (cumulative or consecutive) of their doctorate activities in these countries; periods in excess of this duration may not be covered by the EMJD fellowship.

### 5.3 EMJD - AWARD CRITERIA

The selection of EMJDs will be a competitive process organised by the Agency and based on the assessment of the quality of the proposal from the academic, research and organisational points of view. This assessment will be based on the **following 5 award criteria**:

|   |             |
|---|-------------|
| Academic and Research quality                                     | 20%         |
| Partnership experience and composition                            | 20%         |
| European integration and functioning of the programme             | 20%         |
| Provisions for candidates granted an EMJD fellowship              | 20%         |
| Management, sustainability and Quality Assurance of the programme | 20%         |
| <b>Total</b>  | <b>100%</b> |

#### *Academic and Research quality (20% of the final mark)*

Under this award criterion applicants will have to present the objectives of their EMJD proposal from an academic and research point of view and its possible contribution to the excellence, innovation and competitiveness of the European Higher Education and Research areas.

In this context, the following aspects should be taken into account by the applicants:

- the relevance of the needs analysis (including a socio-economic perspective) and objectives of the EMJD (including those relating to inter/multi-disciplinary, inter-sectoral and/or newly emerging fields);
- the contribution of the EMJD to European education, research excellence and competitiveness; its added value, in terms of the themes and challenges addressed and its expected educational, scientific and innovative outcomes<sup>35</sup>;
- the scientific quality of the education, training and research programme, including its originality and innovative aspects, notably as regards the research methodologies and approaches; in addition, due attention will be given to the existence of training activities in core and transferable skills, to the articulation between education/training activities and the research element, to the participation of industry where relevant, etc.;
- the extent to which the EMJD foresees inter-sectoral and inter-organisation collaboration and mobility (such as placements) to better address societal and economic needs and the issue of graduate employability.

#### *Partnership experience and composition (20% of the final mark)*

This award criterion will be used to assess the adequacy of the partnership to the objectives of the programme and in particular the scientific excellence of the consortium partners as well as their education, research and innovation capacities.

<sup>35</sup> Applicants are invited to consult the European Qualification Framework to identify the three learning outcomes that should result from doctoral studies (level 8); see Chapter 2 for definition.

It will address aspects such as:

- the partners (understood as both the institutions and their key academic, research and administrative staff) capacity, expertise and experience to achieve the EMJD objectives;
- the diversity (in terms of countries/regions and type of organisations), complementarities and synergy between partners/teams; their track records in joint cooperation activities (through their joint involvement in EU/international research and/or education projects) and their level of internationalisation;
- the appropriateness of industry (or other types of partners) participation in terms of activities (e.g. co-funding, co-supervision, intellectual property rights, publishing possibilities, quality assurance, etc.) and the extent to which these participations are formalised in agreements;
- if relevant, the level and appropriateness of the Third-Country partner(s) contribution to the EMJD content and objectives.

***European integration and functioning of the programme (20% of the final mark)***

This criterion will focus on issues related to the way the EMJD will be implemented in and between the partner institutions for what concerns the delivery of the doctoral programme itself

It will address aspects such as:

- the way the EMJD programme is organised in a structured and integrated way - exploiting current good practices relating to doctoral/graduate/research schools or “co-tutelle” arrangements, providing a strong research environment, ensuring full recognition through ECTS or other in-built mechanisms for all the training and research activities performed by the candidates, etc.;
- the relevance and appropriate organisation of the mandatory mobility periods of the candidates in the participating institutions;
- the quality of the joint mechanisms designed by the consortium for the selection, supervision/monitoring and assessment of doctoral candidates;
- the financial arrangements among the partner institutions, notably as regards the contribution of the Commission to the programme. This include the description/justification of the individual candidates participation costs to the EMJD and the way these participation costs are distributed and used between the consortium partners; the extent to which co-funding possibilities have been explored and secured, in particular to support doctoral candidates without EMJD fellowships.
- the nature of the degree(s) awarded and the extent to which the consortium aims to deliver fully recognised and accredited joint degrees; programmes resulting in the award of joint degrees will be promoted.

***Provisions for EMJD candidates and fellowship holders (20% of the final mark)***

This criterion will address aspects such as:

- the information or marketing strategy proposed by the consortium to reach out to potentially interested candidates and more particularly from Third Countries;
- the extent to which employment contracts are used to enrol candidates;

- the way the programme adheres to and implements the principles of the *European Charter for Researchers* and the *Code of Conduct for the Recruitment of Researchers*<sup>36</sup>; the content and coverage of the proposed Doctoral Candidate Agreement that will be signed by the candidate and the consortium, etc.;
- the proposed administrative arrangements to cover the fellowship holder's rights (e.g. health care, social security and pension rights, etc.), the mechanisms proposed for the delivery of the fellowship scheme and in particular the distribution of grantees between institutions; the financial management of fellowships, etc.;
- the adequacy of the services provided to EMJD candidates (housing facilities, coaching, , activities aimed at social integration, assistance with visas and social insurance), and whether services are provided for grantees with a family or with special needs; the language policy and linguistic facilities offered to the candidates allowing them to learn and use the national language of their host organisations;
- the arrangements taken to ensure the candidate's career prospects and to monitor his/her career development once graduated.

#### ***Programme Management and Quality Assurance of the EMJD (20% of the final mark)***

This criterion will address aspects such as

- the quality of the organisational arrangements and cooperation mechanisms within the consortium (degree of institutionalisation, volume of human resources allocated to the programme, existence of a management and supervisory board, existence of an EMJD agreement endorsed by the partners, etc.) and the specific role played by each of its members;
- the quality of the development and sustainability plan (within and beyond the envisaged contractual period), including an implementation timeline, enrolment projections, mid- and long-term potential benefits for the institutions involved;
- the extent to which appropriate internal evaluation (by the institutions themselves, student feed-back systems, etc.) and Quality Assurance (QA) mechanisms are in place and how stringent they are; the extent to which the QA of the EMJD is assured externally (by e.g. national, international or professional bodies)<sup>37</sup>;
- The way the EMJD addresses transversal issues such as the necessary gender balance among candidates and the programme's access for doctoral candidates disadvantaged (for economic, racial, religious or any other type of reason) and/or with special needs.

## **5.4 EMJD - FINANCIAL CONDITIONS**

### ***Financial contribution to the EMJD's running costs***

The financial contribution to the internal management costs of the EMJD programme will correspond to a lump-sum of € 50 000 per edition of the joint programme (i.e. € 15 000 per participating organisation, limited to a maximum total of € 50 000, and an additional amount of € 5 000 for the coordinating organisation).

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<sup>36</sup> [http://ec.europa.eu/eracareers/pdf/am509774CEE\\_EN\\_E4.pdf](http://ec.europa.eu/eracareers/pdf/am509774CEE_EN_E4.pdf)

<sup>37</sup> Applicants are invited to consult the European Quality Register for Higher Education.

In addition, each fellowship will include a fixed amount attached to the grant and intended to contribute to the candidate's participation costs in the EMJD (see *Individual EMJD Fellowships Table* below).

The beneficiary will not be asked to report on the use of the lump sum or the fellowship contribution to the EMJD costs.

### *Individual doctoral fellowships*

The procedure and criteria applicable to the **award of individual fellowships to doctoral candidates** are the responsibility of the selected EMJDs. In order to guarantee a transparent and objective selection of doctoral candidates, selected EMJDs will have to submit to the Agency, as part of their contractual obligations, a comprehensive description of their doctoral candidates' selection procedure and criteria prior to the award of their first Specific Grant Agreement.

As a result, **individuals wishing to apply for an EMJD fellowship must consult the list of selected programmes and the detailed information available on the corresponding websites.**

For each of the five editions of the EMJDs, a limited number of Category A and B fellowships will be awarded to doctoral candidates participating in a joint programme. The number of fellowships per category will be defined on a yearly basis and communicated to the EMJDs in the autumn of the year preceding the start date of the EMJD edition concerned. As an indication, this number will most probably vary between 6 and 10 fellowships for both categories.

As a general rule, and in line with the principles defined in the *European Charter for Researchers* and the *Code of Conduct for the Recruitment of Researchers*, EMJD consortia shall appoint recruited candidates under employment contracts except in adequately documented cases (e.g. related to institutional or national practice) or where national regulation would prohibit this possibility. If such a contract may not be awarded (this will have to be duly justified in the application form), the EMJD consortium may opt for another approach compatible with national legislation and the necessary social security coverage for the fellowship holders.

Without prejudice to high academic standards, in order to ensure geographical diversity among the doctoral candidates, no more than two doctoral candidates with the same nationality should be awarded an EMJD fellowship. If consortia wish to diverge from this criterion, prior permission to do so must be obtained from the Agency.

*Individual Fellowships Table*

|                           |  | <b>Category A fellowship</b><br>(amounts for a 3-year<br>doctoral fellowship)   | <b>Category B fellowship</b><br>(amounts for a 3-year<br>doctoral fellowship) |
|---------------------------|--|---|---|
| I                         | Fixed contribution to the travel, installation and any other types of costs    | €7500   | €3000 - if there is mobility foreseen to Third-Country partners               |
| II                        | Fixed contribution to the doctoral candidate participation costs <sup>38</sup> | €300 per month (€10 800 for 36 months) for non-laboratory based EMJDs or €600 per month (€21 600 for 36 months) for laboratory based EMJDs  |   |
| III                       | Fixed living allowance (36 months in total) <sup>39</sup>                      | <ul style="list-style-type: none"> <li>- €2 800 per month (i.e. €100 800 for 36 months) for an employment contract</li> <li>- €1 400 per month (i.e. €50 400 for 36 months) for a stipend</li> </ul>  |   |
| Maximum fellowship amount |  | Between €61 200 (for a Category B fellowship in a non-laboratory based field, with no mobility to a Third-Country partner and with no employment contract) and €129 900 (for a Category A fellowship in a laboratory based field and with an employment contract) |   |

The fellowship amounts will be paid to the EMJD consortia in the context of the specific grant agreements issued for each of the five doctoral programme editions.

It is the responsibility of the consortium to ensure that the fellowships are paid to the candidates in the following way:

- **Amount I** (*Contribution to the candidate's travel, installation and any other types of costs*) will have to be paid in instalments in accordance with the needs of the candidate.
- **Amount II** (*Fixed contribution to the doctoral candidate participation costs*) can be charged directly to the doctoral candidate by the consortium on the condition that the former has signed a “*doctoral candidate agreement*” specifying the amount to be charged and the costs/activities covered by it. The consortium manages this contribution for expenses related to the participation of the candidates in education and research activities (education and research related costs, attendance at meetings, conferences, etc.). Although the EMJD consortium is free to define the appropriate amount of participation costs to be charged to doctoral candidates, when determining these fees it should bear in mind the fixed contribution awarded by the Programme for the doctoral candidate's participation costs. If the fees established by the consortium are higher than this amount, the consortium should grant the Erasmus Mundus fellowship holders a fee waiver for any fee amount in excess of this fixed contribution.

<sup>38</sup> These participation costs must cover all the mandatory costs for the candidate's participation in the EMJD, be established regardless of the actual place of study and research of the doctoral candidates and be transparent to the doctoral candidates (i.e. clearly published on the EMJD website and described in the Doctoral Candidate Agreement).

<sup>39</sup> These monthly allowance amounts may be increased in order to cover the additional costs of doctoral candidates with special needs. EMJDs will have to inform the Agency accordingly in the context of their annual fellowship applications.

- **Amount III** (*Fixed Living Allowance*) must be paid on a monthly basis to the doctoral candidate's personal account. For employment contracts, the consortium will have to deduct the relevant charges and taxes attached to this type of contract. In that case, this living allowance is a gross Community contribution to the candidate's salary costs. Consequently, the net salary results from deducting all compulsory charges in accordance with national legislation. The host organisation may pay a top-up to the candidates in order to complement this contribution as long as it respects national rules and the eligibility expense criteria of these complementary resources.

EMJDs should be aware of the taxation policies applied in the different participating countries to individual fellowships and inform the fellowship holders accordingly. For more information, EMJDs are invited to consult the Erasmus Mundus National Structure concerned (see list under Chapter 8).

## **5.5 EMJD - CONTRACTUAL CONDITIONS**

### ***“Framework Partnership Agreement”***

If the EMJD proposal is selected, the Agency will conclude a five-year *“Framework Partnership Agreement”* with the consortium coordinating institution. This framework partnership agreement will be concluded for a period of five years subject to the renewal of the programme after 2013. This implies that selected EMJD consortia commit themselves to maintaining the content of the programme substantially in the form approved over that period (subject, of course, to updating and adaptation to need).

Changes in the consortium composition or major modifications in the joint programme content/structure (as opposed to regular updating of individual courses or training modules) will have to be requested in advance to the Agency and formally approved in the context of an amendment procedure. If approved, such changes will only apply as from the next edition of the joint doctoral programme.

### ***“Specific Grant Agreements”***

Within the framework partnership agreement, *“Specific Grant Agreements”* will be issued on a yearly basis in order to cover the funding for five consecutive editions of the doctoral programme. The specific grant agreement will cover the financial contribution awarded to the EMJD programme for its organisation and implementation (€50 000 lump-sum), as well as the individual Erasmus Mundus fellowships allocated to doctoral candidates for each edition of the EMJD.

The specific grant agreements are regularly reviewed via the reports submitted by the co-ordinating institution on behalf of the EMJD. The decision to renew specific agreements or not will be based on whether the programme has been delivered in accordance with the proposal and the Erasmus Mundus programme rules, whether Erasmus Mundus grantees have followed the joint programme and whether high standards of quality have been maintained.

In cases of patent non-compliance with high quality standards the Agency may refuse to renew the grant and designation of the EMJD programme, or even ask for the reimbursement of grant amounts already paid. The respective National Structure and, possibly, fellowship holders involved in the EMJD programme in question may be consulted.

### ***Payment of the grant***

The Erasmus Mundus grant covering the contribution to the EMJD costs of the as well as the doctoral candidates fellowships will be paid to the consortium in two pre-financing instalments intended to provide the beneficiary with a float:

- The first pre-financing payment corresponding to 70% of the grant will be paid after the signature of the annual specific grant agreement by both parties. This payment will be made within 45 days of the date when the last of the two parties (i.e. the Agency) signs the agreement and all the necessary guarantees have been received.
- The following pre-financing payments corresponding to the remaining part of the grant will be paid after the reception by the Agency of a formal payment request submitted by the beneficiary and confirming that at least 70% of the first pre-financing amount has been used.

### ***“EMJD Agreement”***

In order to ensure the appropriate institutional commitment of the partner institutions to the EMJD, an “EMJD Agreement” will have to be signed by the governing body of the institutions involved, in order to cover as precisely as possible all academic, research, administrative and financial aspects related to the implementation, management, monitoring and evaluation of the EMJD programme activities, including the management of individual fellowships.

A copy of such agreement will have to be submitted to the Agency prior to the award of the first Specific Grant Agreement.

### ***“Doctoral Candidate Agreement”***

It is the consortium’s responsibility to ensure active participation of all doctoral candidates in the EMJD activities. In order to guarantee the adequate transparency of the EMJD participation rules, consortia are required to define clearly the candidate’s obligations in the “*Doctoral Candidate Agreement*” that will be signed by both parties at the beginning of the programme. This agreement should define as precisely as possible the rights and obligations of both parties and cover issues such as:

- The participation costs charged to the candidate, what they do and (if relevant) do not cover.
- The subject of the candidate’s research activities and the main structure, activities and milestones of his/her doctoral programme.
- The nature of the supervisory/monitoring/assessment procedures and the criteria used to assess the candidate’s performance.
- The candidate’s obligations as regards the delivery of preliminary research results and the state of progress in his/her thesis preparation, as well as the consequences of not respecting these obligations.

Erasmus Mundus fellowship holders who fail to fulfil their obligations toward the consortium should, after adequate warning, have their fellowship stopped.

A copy of such agreement will have to be submitted to the Agency prior to the award of the first Specific Grant Agreement.

Models of the *Framework Partnership* and *Specific Grant Agreements*, as well as their annexes, are available on the [Erasmus Mundus website](#).

## 5.6 EMJD - SELECTION PROCEDURE AND INDICATIVE TIMETABLE

In addition to the elements presented under 3.1 above, EMJD applications submitted to the Agency must be copied to the Erasmus Mundus National Structures of the European countries involved in the proposed consortium (see list under Chapter 8).

In addition and in order to facilitate the identification and the recruitment of experts specialized in the specific academic and research domains covered by each individual application, EMJD consortia will be invited to **submit four weeks in advance of the full application deadline, a Summary sheet of their future proposal** (one page maximum including the title, field/area(s) covered, the core partners and short summary of the programme structure and key features).

### *Indicative Timetable*

Applicants should note that the following timetable is provided for information only and might be changed in the context of the annual Calls for Proposals:

- 1) **January “year n-1”**: publication of the annual Call for Proposals (including information on the form to be used and any other relevant information applicable to the selection year concerned).
  - 2) **31 Mars “year n-1”**: submission of the EMJD Summary sheet
  - 3) **30 April “year n-1”**: submission of the EMJD proposals.
  - 4) **From May to August of “year n-1”**: assessment and selection of EMJD proposals.
  - 5) **September “year n-1”**: selection results are communicated and framework partnership agreements are sent to the selected EMJDs.
  - 6) **September “year n-1” to**
    - a) **January “year n”**: information and promotion campaign from EMJD consortia that will receive and process applications from Category A fellowship candidates
    - b) **May “year n”**: continuation of the information and promotion campaign for the reception and processing of Category B fellowship candidates.
- For both categories of fellowships, EMJDs will establish deadlines for reception of fellowship applications that are compatible with those established by the Agency (see points 8 below).
- 7) **November “year n-1”**: the number of available Category A and B fellowships is communicated to all EMJDs (new ones as well as those selected in previous years and still within their five-year cycle).
  - 8) EMJDs Fellowship Applications
    - a) **End of January “year n”**: EMJD consortia submit their lists of selected Category A doctoral candidates to the Agency which validates the lists and prepares the official documents for facilitating the candidate’s visa procedure.
    - b) **End of May “year n”**: EMJD consortia submit their lists of selected Category B candidates to the Agency
  - 9) **June “year n”**: specific grant agreements are produced and signed by both parties; the first pre-financing payment is made by the Agency to the bank account of the beneficiary.
  - 10) **As from August “year n”**: the EMJDs start their activities.

## **6 ACTION 2**

**TO BE COMPLETED DURING 2009**

## 7 ACTION 3 : ERASMUS MUNDUS PROMOTION PROJECTS

### 7.1 INTRODUCTION

Action 3 provides support to transnational initiatives, studies, projects, events and other activities that aim to enhance the attractiveness, accessibility, profile, image and visibility of, and accessibility to European Higher Education in the world. Action 3 projects should contribute to<sup>40</sup>:

- the *promotion* and awareness raising of the European Higher Education sector as well as the relevant cooperation programmes and funding schemes;
- the *dissemination* of the programme's results and examples of good practice;
- the *exploitation* and mainstreaming and of these results at institutional and individual level.

Under the first phase of the Programme this action (ex-Action 4) has supported activities of particular interest for the reform process currently ongoing in the European Higher Education Area. More than 50 small to medium-sized projects were selected under annual calls for proposals covering fields such as quality assurance, recognition of credits and qualifications, promotion of academic disciplines or geographical areas, support for international mobility, etc. Funding has also been provided for the extension of ERASMUS Thematic Networks to Third-Country institutions. Information on supported projects is available at: [http://ec.europa.eu/education/programmes/mundus/projects4\\_en.html](http://ec.europa.eu/education/programmes/mundus/projects4_en.html)

In addition, other projects were supported via Calls for Tender in order to respond to specific needs related to the general objective of making the European Higher Education Area more attractive, visible and transparent worldwide, e.g.:

- *Perceptions of European Higher Education in Third Countries*  
(<http://ec.europa.eu/education/programmes/mundus/doc/acareport.pdf>)
- *Erasmus Mundus Students and Alumni Association (EMA)*  
(<http://www.em-a.eu>)
- *Erasmus Mundus Global Promotion Project (GPP) / "Study in Europe"*
  - Web portal (see <http://www.study-in-europe.org>)
  - Communication Tool-Kit for European higher education institutions  
([http://ec.europa.eu/education/programmes/mundus/doc/toolkit\\_en.pdf](http://ec.europa.eu/education/programmes/mundus/doc/toolkit_en.pdf))

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<sup>40</sup> See Chapter 2 for the definition of the words in italic fonts.

For the second phase of the Programme, Action 3 projects have been grouped in 3 categories:

|   | <i>Category of projects</i>  | <i>Implementation method</i>   |
|---|--|--|
| 1 | Projects to enhance the Attractiveness of European HE; Internationalisation of ERASMUS Thematic Networks; Clustering of projects <sup>41</sup> . | Calls for proposals and specific calls for tender (e.g. for clustering of projects). |
| 2 | Erasmus Mundus National Structures information and promotion activities <sup>42</sup>  | Calls for proposals addressed exclusively to the National Structure network.         |
| 3 | Erasmus Mundus Students and Alumni Association (EMA) activities  | Call for tender resulting in a framework contract.                                   |

The following sections of the Programme Guide apply **ONLY** to projects falling under the **first category and that are implemented through calls for proposals**<sup>43</sup>.

## 7.2 ELIGIBILITY CRITERIA

The submission deadline and all other formal eligibility criteria specified in the application form must be respected.

### 7.2.1 ELIGIBLE PARTICIPANTS

*Eligible beneficiaries / participating organisations:*

- The applicant/coordinating institution must be an organisation from an *eligible applicant country*<sup>44</sup>, i.e.: EU Member State, EEA-EFTA State<sup>45</sup>, Turkey, the Western Balkan countries<sup>46</sup> and Switzerland.
- Networks of HEIs will be considered as one single participating organisation
- Eligible participating organisations include:
  - Higher education institutions (HEIs) from all countries of the world;
  - Erasmus Mundus consortia;
  - Public or private bodies active in the field of higher education from all countries of the world;
  - ERASMUS Thematic Networks selected under the ERASMUS strand of the Lifelong Learning Programme.

<sup>41</sup> Clusters of projects funded under category 1 will be the object of restricted calls for tender addressed directly and exclusively to holders of Erasmus Mundus grants under Action 1 and Action 3 (or Action 1 and Action 4 of the previous Erasmus Mundus programme).

<sup>42</sup> Projects funded under category 2 will be the object of restricted calls for proposals addressed directly and exclusively to the Erasmus Mundus National Structures.

<sup>43</sup> The timing of these Calls will depend on the priorities and activities defined by the Commission in its annual work programme.

<sup>44</sup> In order for a project submitted by a country not member of the EU to be eligible under Action 1, an agreement (or a Memorandum of Understanding or an EEA Joint Committee Decision) establishing the participation of this country in the Erasmus Mundus programme should be in force by the date of the selection decision (October of the year preceding the first edition of the EMMC/EMJD). Should this not be the case, organisations from the country concerned will be considered as Third-Country organisations entitled to participate in projects but not to submit or coordinate them.

<sup>45</sup> Iceland, Norway and Lichtenstein.

<sup>46</sup> Western Balkan Countries include Albania, Bosnia-Herzegovina, Croatia, Kosovo under UNSC Resolution 1244/99, the Former Yugoslav Republic of Macedonia, Montenegro and Serbia.

National organisations acting in their capacity as Erasmus Mundus National Structures are not eligible for these projects.

***Minimum partnership composition:***

The minimum partnership is composed of:

- for *Enhancing attractiveness projects*, eligible participating organisations coming from at least three eligible applicant countries<sup>47</sup> and two Third Countries;
- for *Internationalisation of ERASMUS Thematic Networks*, the applicant/coordinating institution and 15 eligible participating organisations representing at least 10 different Third Countries.

## **7.2.2 ELIGIBLE ACTIVITIES**

Action 3 activities may take place anywhere in the world.

***As a general rule, Action 3 projects must:***

- have a clear European dimension and a wide geographical scope;
- have a clear international (/Third-Country) dimension;
- contribute to fostering intercultural dialogue and mutual understanding between cultures;
- ensure that they do not overlap with other Community programmes in the field of Higher Education; projects falling primarily within the scope of other Community programmes (e.g. Lifelong Learning Programme, Tempus, Youth in Action, etc.) will not be funded;
- have clear objectives responding to demonstrated needs, clearly defined outputs and expected outcomes and, where appropriate, include a plan to ensure the sustainability of the project and its results beyond the period of funding;
- last between 12 and 36 months and begin their activities at the earliest on 30 November of the application year. Only where there are duly justified reasons, unknown by the application at the time of the application and formally approved in advance by the Agency, can the maximum duration be extended by an additional period of maximum 6 months.

***The following types of projects are not eligible:***

- projects dealing with information campaigns for individual Erasmus Mundus joint programmes;
- projects aiming at the development of new Erasmus Mundus joint programmes;
- projects seeking to promote single universities/ Erasmus Mundus National Structures.

***Examples of eligible projects:***

- projects relating to countries or groups of countries that play a significant role in international student flows;
- projects aiming at developing information and communication tools designed to increase the visibility of European Higher Education internationally;

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<sup>47</sup> Applicants are invited to note that if the minimum project partnership involves an institution from a country that is not a member of the EU and if that country has not officially joined the programme by the application deadline, the application would become ineligible. Until the agreement establishing their participation is in force, it is therefore advisable to include institutions from those countries as additional partners to the minimum project partnership.

- support for events, campaigns or road shows to disseminate and exploit results bringing together projects and potential Third-Country users with a particular emphasis on promoting European Higher Education;
- projects designed to improve the accessibility of European Higher Education, to facilitate mobility to Europe for Third-Country students, or to improve the services relating to overseas students.

***Examples of eligible activities:***

Development of:

- information kits on access to European HEIs and European countries: study visa issues, university entry levels, recognition of degrees and qualifications;
- innovative instruments to improve the quality of services provided to Third-Country students, such as academic counselling and guidance, facilitating mobility within Europe, etc. by international offices at European HEIs;
- methods aiming at integrating students from different cultural and religious backgrounds: designing material for cultural preparation, counselling services, materials for linguistic preparation.

Organisation of information, promotion and/or dissemination events (seminars, workshops, conferences, etc.) on:

- the recognition of European qualifications outside Europe and the recognition in Europe of qualifications obtained in Third Countries;
- the use of the *European Qualification Framework*, ECTS, the Diploma Supplement, etc.;
- the Erasmus Mundus programme and its results;
- strategies to establish links and exploit potential synergies between higher education and research and between Higher Education and business/enterprises.

In addition to all the eligibility criteria described above, ***activities implemented in the context of the Internationalisation of ERASMUS Thematic Networks:***

- must relate to the Third-Country dimension of the network, to the local needs of the Third-Country partners and be based on an exchange of experience between the institutions involved;
- aim either at developing/enhancing the international dimension within an academic discipline, a set of disciplines or a multidisciplinary area, or at improving and modernising specific aspects of higher education organisation, management, governance or funding;
- cannot take place later than the end date of the ERASMUS Thematic Network grant agreement to which they are linked.

## **7.3 SELECTION CRITERIA**

### **7.3.1 TECHNICAL CAPACITY**

In addition to the elements required under section 3.3, in order to permit an assessment of their technical capacity, organisations must submit, together with their application:

- a list of projects already undertaken in the relevant field by the applicant and the other participating organisations;

- for those organisations active in the field of higher education but which are not higher education institutions, a description of their main higher education activities.

### 7.3.2 FINANCIAL CAPACITY

In addition to the elements required under section 3.3., in order to permit an assessment of their financial capacity, organisations must submit<sup>48</sup>, together with their application:

- the profit and lost accounts of the applicant/coordinating organisation together with the balance sheet for the last financial year for which the accounts have been closed;
- a financial capacity form duly filled in by the applicant/coordinating organisation (copies of such form can be obtained at the following address: <http://eacea.ec.europa.eu/static/en/mundus/index.htm>)
- an external audit report produced by an approved auditor when the grant application is over €300 000. This report shall certify the accounts for the last year available and give an assessment of the financial viability of the applicant<sup>49</sup>.

If, on the basis of the documents submitted, the Agency considers that financial capacity has not been proved or is not satisfactory, it may reject the application, ask for further information, require a guarantee (see 7.6 below) and/or offer a grant agreement without prefinancing.

### 7.4 AWARD CRITERIA

The selection of Action 3 proposals will be a competitive process organised by the Agency and based on the assessment of the quality of the proposal from the content and organisational points of view. This assessment will be based on the **following 4 award criteria**

| <b>Criteria</b>   | <b>Weight</b> |
|---|---------------|
| <i>Relevance and impact</i>                               | 40%           |
| <i>Work plan and budget</i>                               | 30%           |
| <i>Partnership composition and cooperation mechanisms</i> | 20%           |
| <i>Dissemination and Sustainability</i>                   | 10%           |

#### *Relevance and impact (40% of the final mark)*

Under this award criterion applicants will have to justify the relevance of their proposals in relation with the Action's objectives, its European and international dimension and added value.

It will address issues such as:

- the needs analysis from the European and non-European points of view;
- the potential of the project to help enhancing the attractiveness of European higher education throughout the world;
- the project's European and international dimension as well its European added value;
- the project's overall aims and specific objectives and their link with the project activities;

<sup>48</sup> These obligations do not apply to public bodies, secondary or higher education establishments, international organisations under public law.

<sup>49</sup> This obligation does not apply to beneficiaries with joint and several liability in the case of agreements involving several beneficiaries.

- the target groups directly involved and indirectly benefiting from the project results.

***Work plan and budget (30% of the final mark)***

This criterion will focus on the assessment of the activities proposed, outputs foreseen and measures taken to achieve them

It will address issues such as

- the relevance and feasibility of the activities proposed;
- the appropriateness and quality of the outputs foreseen;
- the management approach and methods proposed to achieve these outputs, from the administrative and financial points of view;
- the correctness and appropriateness (cost efficiency) of the estimated budget in relation with the activities planned and the expected outputs.

***Partnership composition and cooperation mechanisms (20% of the final mark)***

This criterion will focus on the relevance and expertise of the partnership proposed to achieve the project's objectives.

It will address issues such as:

- the partnership composition in terms of diversity (type of organisation, geographical coverage, etc.), operational and financial capacity, demonstrated expertise and complementarity;
- the quality and reliability of the cooperation mechanisms defined between the participating organisations, and the joint quality assurance measures in place to monitor to project development;
- the level of institutional commitments given by each participating organisation to the project.

***Dissemination and Sustainability(10% of the final mark)***

This criterion will focus on the measures taken by the partnership to ensure the appropriate dissemination and exploitation of expected results, as well as the sustainability of these results beyond the funding period.

It will address issues such as:

- the measures proposed to ensure the visibility and worldwide promotion of the project outputs;
- the quality of the sustainability plan for the long term exploitation of results, involving the participating organisations but also any other relevant organisations/institutions at local, regional, national or international level.

## **7.5 FINANCIAL CONDITIONS**

General principles

- The EU grant will not cover more than 75% of the eligible costs.
- The grant application must contain a detailed estimated budget in which all prices are given in euro; applicant from countries outside the euro zone must use the conversion rates published in the Official Journal of the European Union, series C, on the date of publication of the relevant Call for proposals.

- The estimated budget attached to the application must have revenue and expenditure in balance and show clearly the costs which are eligible for financing from the Community budget; the applicant must indicate the source and amounts of any other funding received or applied for the same project.
- The percentage of own resources indicated in the revenue part of the estimated budget is regarded as secured and the same percentage, as a minimum, will have to be entered in the revenue section of the final account.

### ***Costs eligibility***

Costs incurred by beneficiaries are ***eligible if*** they are:

- generated during the period of eligibility for expenditure indicated in the Grant Agreement;
- directly connected with the project and provided for in the Approved Budget annexed to the grant Agreement;
- necessary for the implementation of the project which is the subject of the grant;
- identifiable and verifiable, in particular being recorded in the accounting records of the beneficiaries and determined according to the applicable accounting standards of the country where the beneficiaries are established and according to the usual cost-accounting practices of the beneficiaries;
- in compliance with the requirements of applicable tax and social legislation;
- reasonable, justified, and comply with the requirements of sound financial management, in particular regarding economy and efficiency;
- in accordance with the rules set out in the Grant Agreement and its annexes.

The beneficiaries internal accounting and auditing procedures must permit direct reconciliation of the costs and revenue declared in respect of the project with the corresponding accounting statements and supporting documents.

In particular, ***the following direct costs are eligible***, provided that they satisfy the criteria set out in the previous paragraph:

- the ***cost of staff*** assigned to the project, comprising actual salaries plus social security charges and other statutory costs included in their remuneration, provided that in principle these costs do not exceed 40% of the total budget and the average rates corresponding to the usual remuneration policy of the beneficiary. These cost must be actual cost incurred by the beneficiaries; staff costs of other organisations are eligible only if paid directly or reimbursed by the beneficiaries;
- ***travel and subsistence allowances*** for staff taking part in the project (for meetings, European conferences, coordinators seminar organised by the Agency etc.), provided that they are in line with the usual practices of the beneficiaries or do not exceed the scales approved annually by the Commission;
- ***purchase of equipment*** (new or second-hand), provided that this cost does not exceed 10% of the total costs and it is written off in accordance with the tax and accounting rules applicable to the beneficiary and generally accepted for items of the same kind. Only the portion of the equipment's depreciation corresponding to the duration of the action/project and the rate of actual use for the purposes of the action may be taken into account by the Agency, except where the nature and/or the context of its use justifies different treatment by the Agency;

- costs of *consumables and supplies*, provided that they are identifiable and assigned to the project;
- costs entailed by other *contracts awarded by the beneficiaries* for the purposes of carrying out the project, provided that the conditions laid down in the grant agreement are met;
- costs arising directly from *requirements linked to the performance of the project* (dissemination of information, specific evaluation of the action/project, audits, translations, reproduction, etc.), including, where applicable, the costs of any financial services (especially the cost of financial guarantees).

A flat-rate amount, not exceeding 7% of the eligible direct costs of the project, is considered as *eligible indirect costs*, representing the beneficiary's general administrative costs that can be regarded as chargeable to the project.

- Indirect costs may not include costs entered under another budget heading.
- Indirect costs are not eligible where the beneficiary already receives an operating grant from the Commission or the Agency.

The following costs shall be considered as *ineligible costs*:

- return on capital;
- debt and debt service charges;
- provisions for losses or potential future liabilities;
- interest owed;
- doubtful debts;
- exchange losses;
- VAT, unless the beneficiaries can show that are unable to recover it;
- costs declared by the beneficiary and covered by another action or work programme receiving a Community grant;
- excessive or reckless expenditure;
- cost of replacing persons involved in the project, unless explicit prior authorisation is granted by the Agency;
- contributions in kind.

## 7.6 CONTRACTUAL CONDITIONS

### *Grant Agreement*

In the event of approval, the Agency will issue a *Grant agreement*, drawn up in euro and detailing the conditions and level of funding. This grant agreement will be signed between the Agency and the beneficiary and its duration will vary from one to three years.

Two different grant agreements will be issued depending on the type of project concerned: :

- Selected projects proposed for enhancing the *Attractiveness of European HE* will be offered a “*Grant Agreement with multiple beneficiaries*” with the coordinator and the participating organisations (/co-beneficiaries) of each selected project. In the context of such agreement, co-beneficiaries mandate the

coordinator through a duly endorsed document (“the mandate”) to take full legal responsibility for the implementation of the agreement and agree to do everything in their power to help the coordinator fulfilling its contractual obligations; in order to be considered as eligible all costs incurred during the project will have to be recorded in the accounting records of the beneficiaries, in accordance with the applicable accounting standards of the country where the beneficiaries are established and with their usual cost-accounting practices.

- Selected projects proposed for the *Internationalisation of ERASMUS Thematic Networks* will be offered a “*Single Beneficiary Grant agreement*” with the coordinator. The latter will have the primary and sole legal responsibility towards the Agency for the proper execution of the agreement. Only the costs incurred during the project and duly recorded in the coordinator's accounts in accordance with the applicable accounting principles of the country where the coordinator is established will be considered as eligible.

The Grant Agreement must be signed and returned to the Executive Agency immediately. The executive will be the last party to sign.

### ***Payment of the grant***

A ***first pre-financing payment*** of 40% (80% in the case of one-year projects) of the grant proposed will be transferred to the beneficiary within 45 days of the date when the last of the two parties signs the agreement and all the necessary guarantees have been received. This pre-financing payment is intended to provide the beneficiary with a float.

If applicable (for projects with a duration of more than one year), a ***second pre-financing payment*** of 40% will be made. It will be paid by the Agency within a period of 90 days after submission of a report on the project's implementation and on the condition that the Agency has approved its contents. This second pre-financing payment can only be made when at least 70% of the previous pre-financing payments have been used up by the partnership.

The Agency will calculate the ***final grant amount*** and, if applicable, the balance payment amount to be made to the beneficiary on the basis of the final report submitted upon completion of the project. If the eligible costs actually incurred by the organisation during the project are lower than anticipated, the Agency will apply its rate of funding to the actual costs, and the beneficiary will, where applicable, be required to reimburse any excess amounts already transferred under the pre-financing payments.

### ***Guarantee***

Any organisation that has been awarded a grant may be required to provide a guarantee prior to any pre-financing payment, in order to limit the financial risks linked to this payment (see sections 3.3 and 7.3.2 above). The purpose of this guarantee is to make a bank or a financial institution, third party or the other beneficiaries stand as irrevocable collateral security for, or first-call guarantor of, the grant beneficiary's obligations.

This financial guarantee, in euro, shall be provided by an approved bank or financial institution established in one of the Member States of the European Union.

The guarantee may be replaced by a joint guarantee of the beneficiaries of an action who are parties to the same grant agreement.

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

### ***Sub-Contracting and Award of Procurement Contracts***

Where implementation of the action/project requires sub-contracting or the awarding of a procurement contract, the beneficiary and, where applicable, its partners must obtain competitive tenders from potential contractors and award the contract to the bid offering best value for money, observing the principles of transparency and equal treatment of potential contractors and taking care to avoid conflicts of interests. In the event of sub-contracting exceeding € 10 000, the beneficiary must clearly document the tendering procedure and retain the documentation for the event of an audit.

## **7.7 SELECTION PROCEDURE AND INDICATIVE TIMETABLE**

In addition to the elements presented under 3.3 above, Action 3 proposals must be submitted to the Agency at the address indicated in the application form and copied to the Erasmus Mundus National Structures of the organisations involved in the partnership.

Selected proposals will be subjected to a financial analysis, in connection with which the persons responsible for the proposed actions may be asked to provide additional information and, if appropriate, guarantees

### ***Indicative Timetable***

Applicants should note that the following timetable is provided for information only and might be changed in the context of the annual Call for Proposals:

- 1) ***January:*** publication of the Call for Proposals (including information on the application deadline, the form to be used and any other relevant information applicable to the selection year concerned).
- 2) ***30 April:*** submission of the proposals.
- 3) ***May-June:*** assessment and selection of the proposals.
- 4) ***September:*** selection results are communicated to the applicants and grant agreements are sent to selected projects.
- 5) ***As from 30 November:*** beginning of the project activities.

## **8 ANNEXES**

### **8.1 LIST OF ERASMUS MUNDUS NATIONAL STRUCTURES**

[http://ec.europa.eu/education/external-relation-programmes/doc72\\_en.htm](http://ec.europa.eu/education/external-relation-programmes/doc72_en.htm)

### **8.2 LIST OF EUROPEAN COMMISSION'S DELEGATIONS**

[http://ec.europa.eu/external\\_relations/delegations/web\\_en.htm](http://ec.europa.eu/external_relations/delegations/web_en.htm)

### **8.3 USEFUL INTERNET ADDRESSES AND DOCUMENTS**

*EUROPEAN PARLIAMENT AND COUNCIL DECISION ESTABLISHING THE ERASMUS MUNDUS PROGRAMME 2009-2013*

<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2008:340:0083:0098:EN:PDF>

*ERASMUS MUNDUS PAGES ON THE EUROPEAN COMMISSION WEBSITE*

[http://ec.europa.eu/education/external-relation-programmes/doc72\\_en.htm](http://ec.europa.eu/education/external-relation-programmes/doc72_en.htm)

*ERASMUS MUNDUS PAGES ON THE EXECUTIVE AGENCY WEBSITE*

<http://eacea.ec.europa.eu/static/en/mundus/index.htm>

*EUROPEAN COMMISSION EXTERNAL COOPERATION PROGRAMMES*

[http://ec.europa.eu/europeaid/index\\_en.htm](http://ec.europa.eu/europeaid/index_en.htm)

*STUDY IN EUROPE WEBSITE*

<http://www.study-in-europe.org>