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# Vademecum on EU Cooperation Programmes with LAC



**EU-LAC FOUNDATION, 2017**

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# 1 INTRODUCTION: PURPOSE AND OBJECTIVES OF THE VADEMECUM ON EU COOPERATION PROGRAMMES WITH LAC

The present Vademecum presents the main cooperation schemes, programs and projects of international cooperation in place between the European Union (EU) (through the European Commission) and Latin America and the Caribbean (LAC). Its objective is to provide information to bi-regional stakeholders on opportunities for cooperation.

This Vademecum was designed to cater to private and public stakeholders from the EU and CELAC countries. The information included here covers areas identified as particularly relevant for the countries concerned and in line with the objectives pursued within the EU-CELAC strategic partnership.

The European Commission funds cooperation programmes worldwide. This handbook will introduce the user into some of the most relevant programmes with a specific focus on Latin America and the Caribbean, or with a global focus but including LAC countries. The focus is on bi-regional cooperation, although some bilateral opportunities are also mentioned.

For the period 2014-2020, the European Union has large programmes with a variety of funds available in several areas, including Horizon 2020, EUROCLIMA+ and Erasmus+. These and other programs for cooperation under the scope of six Directorates-General (DG) are included in this Vademecum, namely:

- 1 DG CONNECT (DG for Digital Economy and Society)
- 2 DG DEVCO (DG for International Cooperation and Development)
- 3 DG EAC (DG for Education and Culture)
- 4 DG GROW (DG for Internal Market, Industry, Entrepreneurship and SMEs)
- 5 DG REGIO (DG for Regional and Urban Policy)
- 6 DG RTD (DG for Research and Innovation)

There are other Directorate Generals that manage programs relevant to the region, but these are the main ones.

Each DG has its own rules for participation and application procedures. However, there are some common features that may be helpful for institutions, organisations and individuals interested in strengthening the cooperation between the European Union and Latin America and the Caribbean.

## 2 BACKGROUND INFORMATION

### 2.1 What is the bi-regional strategic partnership about?

The European Union and Latin America and the Caribbean are engaged in a strategic partnership<sup>1</sup> that seeks to deepen and widen the scope of the relations between the two regions. This unique bi-regional partnership is in place since the Summit of Heads of State and Government of Rio de Janeiro, Brazil, in 1999, in which the two regions agreed on a common framework for dealing with common and pressing bi-regional challenges.

The strategic partnership seeks to promote options for a socio-economic model where knowledge transfer, education and sustainable development bring countries and regions closer together while reducing poverty levels and political exclusion, creating opportunities for all. The ultimate goal is to align the EU and Latin America and the Caribbean as partner regions in the face of an increasingly interconnected world. Since 2013, CELAC represents the interests of 33 Latin American and Caribbean countries as a region.<sup>2</sup> This represents a milestone in the bi-regional relations with the EU.

### 2.2 Institutional framework: Summits of Heads of State and Government and the 2015-2017 Action Plan

Since 1999, the EU and CELAC countries hold biannual meetings centred around relevant and current topical policy issues that affect the two regions. Each Summit builds on the previous arrangements reached at the political stage and is dedicated to a specific theme. The political leaders communicate the results from the summits via Political Declarations and Action Plans, which wrap up the most salient decisions discussed at the highest institutional level. These documents represent a road map for the member states of EU and CELAC in regards to their joint cooperation mechanisms, and are designed to set up

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<sup>1</sup> The term strategic partnership refers to a foreign policy instrument implemented by the European Union for strengthening its relations with third countries or regions.

<sup>2</sup> The following are member states of CELAC: (Latin America) Argentina, Bolivia, Brazil, Chile, Colombia, Costa Rica, Cuba, Dominican Republic, Ecuador, El Salvador, Guatemala, Honduras, Mexico, Nicaragua, Panama, Paraguay, Peru, Suriname, Uruguay, Venezuela / (Caribbean) Antigua and Barbuda, Bahamas, Barbados, Belize, Dominica, Grenada, Guyana, Haiti, Jamaica, Saint Lucia, Saint Kitts and Nevis, Saint Vincent and the Grenadines, Trinidad and Tobago.

a common platform for action. The scope of the common bi-regional policies has reached an unprecedented level, continuously contributing to strengthen the bi-regional relations.

The most recent Action Plan 2015-2017<sup>3</sup> is the result of an expanding and aggregated bi-regional policy agenda in place since 1999. It entails a set of ten key policy areas, grouped as follows:

- 1 Science, research, innovation and technology;
- 2 Sustainable development, environment, climate change, biodiversity and energy;
- 3 Regional integration and interconnectivity to promote social inclusion and cohesion;
- 4 Migration;
- 5 Education and employment to promote social inclusion and cohesion;
- 6 The world drug problem;
- 7 Gender;
- 8 Investments and entrepreneurship for sustainable development;
- 9 Higher Education; and,
- 10 Citizen Security.

### **2.3 EU-LAC Foundation: bringing together EU and CELAC**

The EU-LAC Foundation was brought to life in 2010 as part of the institutional outcome of the strategic partnership between the EU and CELAC.<sup>4</sup> It is a platform embedded within the common agenda of both regions, and seeks to create a link to make the bi-regional relationship more dynamic and inclusive. In order to attain this goal, the EU-LAC Foundation responds to stakeholders such as scholars, non-governmental organisations, economic actors, and government representatives, among others.

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3 For further information, see: EU-CELAC Summit 2015 Brussels (2015) *EU-CELAC Action Plan*. Available from: [http://eulacfoundation.org/en/system/files/EU-CELAC action plan.pdf](http://eulacfoundation.org/en/system/files/EU-CELAC%20action%20plan.pdf) (last accessed 1 December 2016).

4 Visit our website for further information on our activities and programmes here: <http://eulacfoundation.org/en>

**Table 1: Mission and Vision of the EU-LAC Foundation**

| Mission  | Vision  |
|--|---|
| <p><b>“Connecting</b> the intergovernmental process with the business, academic, and social sector, as well as, in a broad and general manner, the civil society of both regions.<br/> <b>Promoting</b> the development of a joint and evolving global vision and a shared strategy in both regions.<br/> <b>Dynamising</b> the bi-regional partnership by giving impulses to the formulation and implementation of policies and agenda.<br/> <b>Disseminating</b> knowledge to improve the mutual understanding and visibility of both regions and the bi-regional partnership itself.”</p> | <p>The aspiration of EU-LAC Foundation is “[...] for the economic and socio-cultural partnership between the countries of the European Union, Latin America and the Caribbean to reach a sustainable dynamism, built upon the achievement of mutual benefits. Reaching these benefits requires the societies of both regions to recognise that they are united not only by the need to achieve their interests, but also by a body of common values. These include, among others: Democracy and the rule of law, Respect for personal dignity and rights, Tolerance, Inclusive and cohesive societies.”</p> |
| <p>Source: <a href="https://eulacfoundation.org/en/about-us">https://eulacfoundation.org/en/about-us</a></p>   |   |

## 2.4 The EU-LAC programme for engagement with civil society

The Foundation is concerned with the promotion of the participation and engagement of civil society between Latin America and the Caribbean and the European Union. To this end, it fosters the development of a network of networks that aims at bringing together various stakeholders from a wide set of thematic areas. The construction of networks is designed on a sectorial basis and serves as a platform for engaging actors into a constructive dialogue and a laboratory of proposals for civil society in both regions.

The ultimate aim is to identify synergies among the various thematic networks that are already in place in both regions; to promote the convergence of common processes; and, to convert those networks into protagonists of the strategic partnership by channelling their proposals into the process of the EU-CELAC Summits of Heads of State and Government.

The performance of the programme depends on numerous supporting tools, activities and networks. Among these instruments, the Vademecum and MAPEO stand out. MAPEO is a bilingual, interactive databank that functions as a map of stakeholders that are relevant across multiple sectorial dialogues between the EU and CELAC. Its objective is to promote mutual knowledge between different civil society entities, and to foster possible alliances and synergies in the thematic areas that are relevant to the bi-regional strategic partnership. The Vademecum and MAPEO complement each other and build an expanded platform for attaining the goals of the EU-LAC Foundation.

Access *Mapeo* here: <https://eulacfoundation.org/en/mapeo>

## 2.5 The European Commission in a nutshell

The European Commission is the executive body of the European Union (EU). As such, it represents the interests of the European Union as a whole, as opposed to the individual interests of its member states. The European Commission is composed of the College of Commissioners<sup>5</sup> in addition to the institution itself, which is led by one President, seven Vice-Presidents and 20 Commissioners. The Commission is responsible for proposing EU legislation, enforcing European Law, setting objectives and priorities for action, managing and implementing EU policies and their budget. The European External Action Service (EEAS) represents the EU vis-à-vis other countries and regions.<sup>6</sup>

### **What is a Directorate-General (DG)?**

As an executive body, the European Commission is divided into several departments and services. The departments are known as Directorates-General (DGs). Each DG (currently 33) addresses a different set of sector policies and thematic areas. A Director General under the guidance of a Commissioner manages each DG. The following DGs are considered in this Vademecum: DG CONNECT, DG DEVCO, DG EAC, DG GROW, DG REGIO, and DG RTD.

For an overview of all DGs, see: [http://ec.europa.eu/about/ds\\_en.htm](http://ec.europa.eu/about/ds_en.htm) (last accessed 1 December 2016).

### **What kind of funding is available?**

There are multiple funding and cooperation options provided by the European Commission for individuals, institutions and/or organisations. The allocation of these resources depends on several rules and regulations, cooperation schemes, programs and projects. It covers a wide variety of thematic areas and policy fields according to the priorities set at the political level within the EU and the arrangements therein. Among these, grants and public contracts are some of the most common.

**Grants:** Direct financial contributions funded by the European Union to institutions or individuals for projects, which comply or contribute to the attainment of EU goals and strategies in a specific area or topic. Interested parties can apply by responding to calls for proposals.

**Public contracts:** The European Commission issues contracts destined to the procurement of goods and services, as well as studies, technical assistance and training, consultancy, conference and publicly provided services, among others. The providers of such services

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<sup>5</sup> For further information on the College of Commissioners, see: <http://ec.europa.eu/commission/2014-2019/> (last accessed 1 December 2016).

<sup>6</sup> Learn more about the European Commission here: [http://ec.europa.eu/about/index\\_en.htm](http://ec.europa.eu/about/index_en.htm) (last accessed 1 December 2016).

are selected by means of calls for tender, which are made publicly available by the different departments within the European Commission.

### **Who is eligible for funding?**

Many of the programmes and projects funded by the European Commission require the formation of a consortium, consisting of different actors. However, there are some funding opportunities that are open to individuals, especially in the area of education and research. The rules for participation and requirements are explained under each call for proposals in the guidelines section. Often, the call will mention a few possible actors, such as:

**The Applicant:** If awarded the grant contract, the applicant will become the beneficiary identified as the coordinator in the special conditions of the grant contract. The coordinator is the main interlocutor of the contracting authority. It represents and acts on behalf of any other co-beneficiary and coordinates the design and implementation of the action.

**Co-applicant(s):** Co-applicant(s) participate in designing and implementing the action, and the costs they incur are eligible in the same way as those incurred by the applicant.

**Affiliated Entities:** Only the applicant and co-applicants will become parties to the grant contract. Their affiliated entities are neither beneficiaries of the action nor parties to the contract. However, they participate in the design and in the implementation of the action and the costs they incur may be eligible, provided they comply with all the relevant rules already applicable to the beneficiaries under the grant contract. Affiliated entities must satisfy the same eligibility criteria as the applicant and the co-applicant.

**Associates:** Other organisations may be involved in the action. Such associates play a real role in the action, but may not receive funding from the grant, with the exception of per diem or travel costs.

**Contractors:** The grant beneficiaries and their affiliated entities are permitted to award contracts. Associates or affiliated entities cannot also be contractors in the project.

**Online applications and services:** Applications for calls for proposals are often to be submitted in electronic form. However, the digitalization process is still under way and some opportunities may require hard copies to be submitted via post. This is specified under the guidelines of each call for proposals. In either case, the interested parties should register in the European Commission Authentication Service (ECAS). This is the system for logging onto a wide range of web sites and online services managed by the European Commission. The personalised access is based on an account for each user (natural person).

Access to ECAS allows searching funding opportunities and partners, and also to access portals of specific programmes and to apply directly to certain opportunities. Registration to ECAS can be done at the website

[https://ec.europa.eu/europeaid/funding/about-grants/how-apply-grant/applicant-registration-pador/ecas-registration\\_en](https://ec.europa.eu/europeaid/funding/about-grants/how-apply-grant/applicant-registration-pador/ecas-registration_en) (last accessed 1 December 2016).

**Table 2: Vademecum in a nutshell: overview of DGs included**

| DG                           | Cooperation platform   | Website   |
|------------------------------|--|---|
| DG CONNECT                   | <ul style="list-style-type: none"> <li>- Regulatory harmonisation</li> <li>- R&amp;D cooperation</li> <li>- Support for a submarine fibre-optic cable</li> </ul>   | <a href="https://ec.europa.eu/digital-single-market/en/dg-connect">https://ec.europa.eu/digital-single-market/en/dg-connect</a> |
| DG DEVCO                     | <ul style="list-style-type: none"> <li>- Multiannual Indicative Programme for Latin America (2014-2020)</li> <li>- The Latin America Investment Facility (LAIF)</li> <li>- The Caribbean Investment Facility (CIF)</li> </ul> <p><b>Funding instrument that provides the legal basis for the implementation of geographic and thematic programmes with LAC countries</b></p> <ul style="list-style-type: none"> <li>- Development Cooperation Instrument (DCI)</li> <li>- European Instrument for Democracy and Human Rights (EIDHR)</li> <li>- Instrument contributing to Stability and Peace</li> <li>- Partnership Instrument (PI)</li> <li>- Instrument for Nuclear Safety Cooperation (INSC)</li> </ul> | <a href="https://ec.europa.eu/europeaid/general_en">https://ec.europa.eu/europeaid/general_en</a>                               |
| DG EAC                       | <ul style="list-style-type: none"> <li>- Erasmus+</li> <li>- Creative Europe</li> <li>- Euraxess</li> </ul>  | <a href="http://ec.europa.eu/dgs/education_culture/index_en.htm">http://ec.europa.eu/dgs/education_culture/index_en.htm</a>     |
| DG GROW                      | <ul style="list-style-type: none"> <li>- Missions for Growth</li> <li>- Enterprise Europe Network (EEN)</li> <li>- Latin America IPR SME Helpdesk</li> </ul>   | <a href="http://ec.europa.eu/growth">http://ec.europa.eu/growth</a>   |
| DG REGIO                     | <ul style="list-style-type: none"> <li>- Bilateral arrangements</li> </ul>   | <a href="http://ec.europa.eu/regional_policy/index_en.cfm">http://ec.europa.eu/regional_policy/index_en.cfm</a>                 |
| DG RTD                       | <ul style="list-style-type: none"> <li>- Horizon 2020 (H2020)</li> <li>- European Research Council (ERC) Starting Grants</li> <li>- SME Instrument</li> </ul>  | <a href="http://ec.europa.eu/research">http://ec.europa.eu/research</a>   |
| Source: respective web sites |  |   |

# 3 PRESENTATION OF DIRECTORATE-GENERALS FOR EU-LAC BI-REGIONAL COOPERATION

## 3.1 DG CONNECT: Digital Single Market Directorate-General for Digital Economy & Society

### Presentation and Policy background

The Directorate-General for Digital Economy and Society (DG CONNECT) is the European Commission service responsible for developing a Digital Single Market (DSM) in order to generate smart, sustainable and inclusive growth in Europe. Horizon 2020 is one of the key financing mechanisms for action; other funds include European Structural Funds and other available national and regional funding instruments.<sup>7</sup>

DG CONNECT works across the Digital Single Market (DSM) project team, especially with DG EMPL, DG GROW, DG TAXUD and DG JUST. Being one of the seven pillars of the Europe 2020 Strategy, DG CONNECT focuses on better access for consumers and businesses to digital goods and services across Europe; creating the right conditions and a level playing field for digital networks and innovative services to grow; and maximising the growth potential of the digital economy<sup>8</sup>.

Through the European Innovation Partnerships (EIP), DG CONNECT is also working on Active and Healthy Ageing and Smart Cities and Communities.<sup>9</sup> Furthermore, through DG CONNECT, the European Union cooperates with many countries and international

<sup>7</sup> Management Plan 2015, DG CONNECT, p.14

<sup>8</sup> [https://ec.europa.eu/digital-single-market/sites/digital-agenda/files/digital\\_single\\_market\\_factsheet\\_final\\_20150504.pdf](https://ec.europa.eu/digital-single-market/sites/digital-agenda/files/digital_single_market_factsheet_final_20150504.pdf) (last accessed 22 November 2016).

<sup>9</sup> Management Plan 2015, DG CONNECT, p.14

organizations to represent Europe's interests and actively promote the benefits of the Digital Single Markets actions to all people.<sup>10</sup>

## Organisational structure of the DG CONNECT

**Vice-President:** Andrus Ansip

**Director-General:** Roberto VIOLA

**Organisation chart:**

<https://ec.europa.eu/digital-single-market/en/who-we-are-dg-connect>

**Website**

<https://ec.europa.eu/digital-single-market/en/dg-connect>

## International Dimension

Regional and bilateral relations aim to achieve a global environment with fair and transparent rules for telecommunication regulation and where information and communication technology (ICT) companies can compete on a level playing field.

The Commission seeks to (1) promote a regulatory system that is close to and/or compatible with the EU legal framework, (2) act as first port of call for European ICT industry, (3) promote cooperation between the EU and third countries in the area of research and innovation in ICT.

In order to maintain and further develop regional and bilateral relations, Policy Dialogues are regularly held with EU's strategic partners, like the United States, Japan and the BRICS (Brazil, Russia, India, China, South Africa) countries.

Activities and policy development in this area typically aim to:

- strengthen the economic and industrial competitiveness of the EU ICT industry;
- establish globally a favourable environment for European business and research with an increased focus on reciprocity;
- improve market access conditions in the ICT sector in third countries;
- promote the use of international standards and interoperability of technologies;
- strengthen the EU's excellence and attractiveness in research and innovation;
- tackle global societal challenges; and
- support the EU's external policies.

<sup>10</sup> <https://ec.europa.eu/digital-single-market/en/the-strategy-dsm#Article> (last accessed 22 November 2016).

Activities are grouped according to the following geographical areas: EU Neighbours, Africa, Americas and Asia.

Activity implementation is usually carried out in close cooperation with various Commission services.

<https://ec.europa.eu/digital-single-market/regional-and-bilateral-relations> (last accessed 22 November 2016).

## **International Cooperation in ICT Research and Innovation**

Regarding cooperation with third countries in Research and Innovation, the International Unit manages a number of FP7 and Horizon 2020 projects listed below.

### **EU – LAC Cooperation**

The European Commission cooperation with Latin America and the Caribbean includes regulatory harmonisation, R&D cooperation and support for a submarine fibre-optic cable between Europe and Latin America.

Cooperation is framed by EU and CELAC (Community of Latin American and Caribbean States) Heads of States and Governments who adopted a Declaration and an Action Plan at the last EU-CELAC summit in June 2015.

Regulatel<sup>11</sup>, the Forum of Latin America Telecoms Regulators, signed at the end of 2013 a memorandum of understanding with BERECEC, the Body of European Regulators for Electronic Communications<sup>12</sup>. In June 2015, financing was finalised for a submarine fibre-optic cable linking Lisbon to Fortaleza and from there, interconnecting RedCLARA<sup>13</sup>, the South American research & education network and GEANT, the European research & education network. The cable is expected to be operational before the end of 2017.

The Commission also actively participates in the eLAC Ministerial Conferences organised by the UN Economic Commission for Latin America and the Caribbean (ECLAC). eLAC is a regional action plan for Latin America and the Caribbean (LAC), with the long-term vision to promote ICT as a tool for economic development and social inclusion<sup>14</sup>.

11 Regulatel: <http://www.regulatel.org/wordpress/> (last accessed 22 November 2016).

12 BERECEC <http://bereg.europa.eu/> (last accessed 22 November 2016)

13 REDCLARA: <http://www.redclara.net/index.php?lang=en> (last accessed 22 November 2016).

14 <http://www.cepal.org/en/pressreleases/eclac-internet-use-and-access-increases-sharply-latin-america-and-caribbean> (last accessed 22 November 2016).

Furthermore, specific bilateral relations with the EU include:

### **Brazil**

The European Commission has had for many years an ICT Counsellor at the EU Delegation in Brasilia. The ICT cooperation focuses on cloud computing, high performance computing and experimental platforms. Brazil is a key Latin American partner under the ICT theme Horizon 2020, with several coordinated calls leading to results with high social and industrial impact.

### **Mexico**

Mexico's reform of the national audio-visual and telecommunications sectors in 2014 has started the deregulation of the market to introduce competition. The Commission maintains regular contacts with the Federal Institute of Telecommunications, the national regulatory body.

### **Colombia**

In Colombia, the Commission is subsidising the roll-out of the latest digital video broadcasting technology, DVB-T2.

<https://ec.europa.eu/digital-single-market/en/americas>

(last accessed 22 November 2016).

## **Funding Opportunities**

The European Commission supports the delivery of the Digital Single Market through a number of funding programmes, which regularly publish competitive Calls for Proposals for projects. The Commission also publishes Calls for Tender to obtain services as diverse as policy analyses and communications.

The funding opportunities are available by checking the newsroom, that lists all open calls for Proposals and calls for tender relevant to the Digital Single Market.

<https://ec.europa.eu/digital-single-market/en/newsroom/funding-opportunities/all>

(last accessed 22 November 2016).

### **a) Horizon 2020:**

Planned to run from 2014 to 2020 with an €80 billion budget, the EU's new Programme for research and innovation will bring together all funding currently provided through the Framework Programme for Research & Technological Development (FP), the

Competitiveness & Innovation Framework Programme (CIP) and the European Institute of Innovation and Technology (EIT).

ICT brings unique responses to society's challenges such as the growing needs for sustainable healthcare and ageing well, for better security and privacy, for a lower carbon economy and for intelligent transport. EU investment will support the ICT research and innovation that can best deliver new business breakthroughs, often on the basis of emerging technologies. In particular, ICT in Horizon 2020 will support the development of ICT in Science, ICT in industrial leadership and ICT in societal challenges.

Because of the pervasiveness and radical nature of the changes induced by ICT in our lives, the crosscutting issues of responsible research and innovation (RRI), on the one hand, and of social sciences and humanities (SSH), on the other hand, are also addressed with great care.

More information on the Horizon 2020 website.

<https://ec.europa.eu/programmes/horizon2020/> (last accessed 22 November 2016).

For the Horizon 2020 Work Programme 2016-2017, there is a guide of ICT-related activities.<sup>15</sup>

#### **b) Connecting Europe Facility:**

The Connecting Europe Facility (CEF) supports trans-European networks and infrastructures in the sectors of transport, telecommunications and energy. In this context the European Commission has proposed for the first time a series of guidelines covering the objectives and priorities for broadband networks and digital service infrastructures in the field of telecommunications.

## **Objectives**

The telecommunications part of CEF has a budget of approximately 1 billion euros, out of which 870 million euros are dedicated to Digital Service Infrastructures (DSIs) delivering networked cross-border services for citizens, businesses and public administrations. The rest is for Broadband networks.

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<sup>15</sup> [www.ideal-ist.eu/sites/default/files/Guide\\_to\\_ICT-related\\_activities\\_in\\_H2020WP2016-17\\_0.pdf](http://www.ideal-ist.eu/sites/default/files/Guide_to_ICT-related_activities_in_H2020WP2016-17_0.pdf) (last accessed 22 November 2016).

Supported projects contribute to:

- Improvements in the competitiveness of the European economy;
- Promotion of the interconnection and interoperability of national, regional and local networks;
- Access to such networks, thus supporting the development of a Digital Single Market.

## **Digital Service Infrastructures (DSIs)**

Digital Service Infrastructure projects deploy trans-European digital services based upon mature technical and organisational solutions in areas as diverse as electronic identification, online dispute resolution and interoperable health services. The projects contribute to improvements in daily life of Europeans through digital inclusion, to the connectivity and interoperability of European digital services, and therefore the development of a Digital Single Market.

CEF supports basic and re-usable digital services, known as building blocks, as well as more complex digital services. The building blocks can be combined with each other and integrated with the more complex services.

Building blocks supported so far include: eidentification; eSignature; eInvoicing; eDelivery; and Automated Translation.

More complex digital services supported so far cover, among others, the areas of safer internet, access to reusable public sector information, cyber security, eHealth, and online dispute resolution.

## **Implementation of Digital Services infrastructures**

CEF is implemented via annual Work Programmes, identifying the priorities and the actions to be launched during the year.

CEF offers funding opportunities either via calls for tenders to procure services for the core components provided by the European Commission, or calls for proposals (grants) to help link the national infrastructure in the Member States to the core components.

The Innovation and Networks Executive Agency (INEA) is implementing the CEF Telecom calls for proposals on behalf of the Commission. More information on the calls is available on INEA's website.

[https://europa.eu/european-union/about-eu/agencies/inea\\_en](https://europa.eu/european-union/about-eu/agencies/inea_en)  
(last accessed 23 November 2016).

## **Broadband**

The Broadband component of the programme seeks to contribute to the achievement of the Digital Agenda targets of all European households having access to internet connections of 30 Megabits per second by 2020, and of 50% of households subscribing to internet connections above 100 Megabits per second by 2020.

In view of these targets, CEF aims at facilitating an efficient flow of private and public investments to stimulate the deployment and modernisation of broadband networks.

### **Connecting Europe Facility Digital Single Web Portal**

Find out more at the CEF Digital Single Web Portal:

<https://ec.europa.eu/digital-single-market/en/news/cef-digital-single-web-portal>  
(last accessed 22 November 2016).

## 3.2 DG DEVCO

### Directorate-General for International Cooperation and Development

#### Presentation and policy background

The Directorate-General for International Cooperation and Development (DG DEVCO) is responsible for European international cooperation, development policy and delivering aid throughout the world.

EU development policy seeks to eradicate poverty in a context of sustainable development. It is a cornerstone of EU relations with the outside world – alongside foreign, security and trade policy (and international aspects of other policies like environment, agriculture and fisheries).<sup>16</sup>

DG DEVCO works hand-in-hand with other Commission services, EU institutions and member countries in addressing development issues.

Following its mandate, DG DEVCO engages with several EU partners, including the European External Action Service (EEAS), the High Representative for Foreign Affairs and Security Policy, 141 EU Delegations and Offices worldwide, the European Parliament, the Council of the European Union, the European Investment Bank (EIB), and, the European Court of Auditors.<sup>17</sup>

#### Organisational structure

**Commissioner:** Neven Mimica

**Director General:** Stefano Manservigi<sup>18</sup>

**Organisation chart:** [http://ec.europa.eu/europeaid/who/index\\_en.htm](http://ec.europa.eu/europeaid/who/index_en.htm) en

**Website:** [http://ec.europa.eu/europeaid/node/22\\_en](http://ec.europa.eu/europeaid/node/22_en)<sup>19</sup>

16 For further information see: [www.ec.europa.eu/europeaid/policies/policies\\_en](http://www.ec.europa.eu/europeaid/policies/policies_en) (last accessed 7 November 2016).

17 For further information on the partner institutions of DG DEVCO, see: [http://www.ec.europa.eu/europeaid/relations-eas-eu-institutions-and-member-states\\_en](http://www.ec.europa.eu/europeaid/relations-eas-eu-institutions-and-member-states_en) (last accessed 7 November 2016).

18 For further information see: [http://www.ec.europa.eu/europeaid/director-general-and-his-team\\_en](http://www.ec.europa.eu/europeaid/director-general-and-his-team_en) (last accessed 7 November 2016).

19 Last accessed on 7 November 2016.

## International Dimension

DG DEVCO has a strong international basis:

- As a pillar of EU relations worldwide following and supporting several initiatives or commitments such as the Agenda for Change, the Millennium Development Goals, the 2030 Agenda for Sustainable Development and the European Consensus on Development.
- As responsible for the cooperation policy of the European Union it works with different partner countries and regions in multiple policy fields.

**This encompasses cooperation with developing countries at different stages of development, including with countries graduated from bilateral development assistance, to cover the specific needs of these countries during the transition period between low income countries and upper middle income countries.<sup>20</sup> For addressing this purpose and facilitating a consistent policy approach, DG DEVCO also cooperates with civil society and international organisations, among others.**

DEVCO's intervention is channelled through different Funding Instruments, which are the legal basis of geographic and thematic programmes. Funding instruments define the legal framework and the scope of programmes and specify which actors and which areas are eligible for funding.<sup>21</sup>

Within these funding instruments, the EU's development assistance is distributed through multi-annual programmes. Programmes can target individual countries or sectors, as well as regions. The EU's thematic programmes encourage the participation of civil society organisations and local authorities in development cooperation. Each funding instrument has its multi-annual indicative programme which provides the main orientations for the 7 years of financial perspective (presently 2014-2020).

The Annual Action Programmes are financing decisions, allocating funds to regional, country-based or thematic cooperation programmes and the Annual Work Programmes identify the grants plan to be awarded during one year, notably through calls for proposals.<sup>22</sup>

For the period 2014-2020, the EU has mainly six instruments covering external cooperation and external aid applying to Latin America and the Caribbean.

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<sup>20</sup> For further information about DEVCO see: [http://www.ec.europa.eu/europeaid/general\\_en](http://www.ec.europa.eu/europeaid/general_en) (last accessed 7 November 2016).

<sup>21</sup> For further information about Funding Instruments see: [http://www.ec.europa.eu/europeaid/funding/instruments-programming\\_en](http://www.ec.europa.eu/europeaid/funding/instruments-programming_en) (last accessed 7 November 2016).

<sup>22</sup> For further information see: [http://www.ec.europa.eu/europeaid/funding/instruments-programming\\_en](http://www.ec.europa.eu/europeaid/funding/instruments-programming_en) (last accessed 7 November 2016).

**a) European Instrument for Democracy and Human Rights (EIDHR):** The European Instrument for Democracy and Human Rights (EIDHR) aims to help establish democracy, the rule of law, and the protection of human rights and basic freedoms.

A financial envelope for the EIDHR of €1 332 752 000 is foreseen for the period 2014-2020.

**b) Instrument contributing to Stability and Peace (IcSP):** The Instrument contributing to Stability and Peace helps to prevent and respond to crises and create a safe and stable environment in partner countries. It intends to provide a swift-response in political conflicts, complement humanitarian relief and interventions when natural disasters occur, enhance the EU capacity for crisis preparedness, conflict prevention and peace building, and build capacity to address global and trans-regional security threats.

A financial envelope for the IcSP of €2 338 719 000 is foreseen for the period 2014-2020.

**c) Partnership Instrument (PI):** The Partnership Instrument is an innovative instrument, with the objective to advance and promote EU interest by supporting the external dimension of EU internal policies and by addressing major global challenges.

A financial envelope for the PI of €954 765 000 is foreseen for the period 2014-2020.

**d) Instrument for Nuclear Safety Cooperation (INSC):** The Instrument for Nuclear Safety Cooperation (INSC) promotes a high level nuclear safety, radiation protection and the application of efficient and effective safeguards of nuclear material in non-EU countries worldwide.

A financial envelope for the INSC of €225 321 000 is foreseen for the period 2014-2020.<sup>23</sup>

## Bi-regional cooperation relations with Latin America and the Caribbean

### Political framework

Cooperation between the EU and LAC countries are grounded in the EU-CELAC relations at the level of Heads of State and accompanying action plan. Furthermore various bi-regional agreements support common policies on Higher Education, small and medium-sized enterprises (SMEs), and local urban development, among others. The bi-regional cooperation schemes in place are in accordance with the guidelines agreed upon in the

<sup>23</sup> For further information about thematic programmes see: [http://www.ec.europa.eu/europeaid/funding/funding-instruments-programming/funding-instruments\\_en](http://www.ec.europa.eu/europeaid/funding/funding-instruments-programming/funding-instruments_en) (last accessed 7 November 2016).

biannual Summits of Heads of State and Government (1999-2015), which have translated the political priorities from the two regions into concrete actions and policy agreements.

The establishment of the strategic partnership between the EU and LAC countries in 1999 created a joint platform for bi-regional policies that entails thematic areas in the field of development and cooperation. Most recently, the outcome of the Summit of Brussels 2015 captured the current political and policy guidelines in regards to the complex web of common bi-regional policies towards cooperation and sustainable development.<sup>24</sup>

### **Financial framework**

The cooperation with Latin America and the Caribbean is split into two broad categories:

- Geographical programmes that focus on development priorities defined for a specific country or region. The Commission draws up strategy papers in cooperation with the beneficiary countries. They are based on the specific needs and situation of regions and partner countries and also take their performance into account.
- Thematic programmes that are always implemented using a horizontal approach, and are coherent with and complementary to geographic instruments.

These programmes are drawn from corresponding Funding Instruments (see table 3 above).

### **Definition and implementation of cooperation programmes to Latin American and Caribbean countries**

Based on Multiannual Indicative Programmes, and Annual Action Programmes, funds from the instruments are distributed between the countries at three levels:

- 1 Regional level, covering all countries in the region.
- 2 Regional and thematic programmes with “graduated” countries (graduated countries are those that moved from Low Middle Income Countries to Upper Middle Income Countries).
- 3 Country level with “non-graduated” countries (countries with a lower income status or countries of middle income status with an exceptional situation, see table 4 below, these countries remain eligible for bilateral development cooperation programmes/aid).

<sup>24</sup> For further information on the outcome of the Summit of Heads of State and Government of Brussels, see: EU-CELAC Summit 2015 Brussels (2015) *Brussels Declaration. Shaping our common future: working together for prosperous, cohesive and sustainable societies for our citizens*. Brussels. Available from: [http://www.ec.europa.eu/research/iscp/pdf/policy/eu-celac\\_brussels\\_declaration\\_2015.pdf](http://www.ec.europa.eu/research/iscp/pdf/policy/eu-celac_brussels_declaration_2015.pdf) (last accessed 7 November 2016). See also: EU-CELAC Summit 2015 Brussels (2015) *EU-CELAC Action Plan 2015-2017*. Brussels. Available from: [www.ec.europa.eu/research/iscp/pdf/policy/eu-celac\\_action\\_plan\\_2015.pdf](http://www.ec.europa.eu/research/iscp/pdf/policy/eu-celac_action_plan_2015.pdf) (last accessed 7 November 2016).

**Table 4: Application of Funding Instruments and derived programmes to Latin American and Caribbean countries.**

| Instruments & programmes   | <b>Regional Programmes</b>   | <b>Programmes in specific thematic and sectorial areas</b>  | <b>Bilateral Development Cooperation programmes</b>  |
|--|--|---|--|
|  | <b>Derived from</b>  | <b>Derived from</b>   | <b>Derived from</b>  |
|  | <b>Geographical Instruments</b> (based on Multiannual Indicative Regional Programmes)<br><b>+ Thematic Instruments</b> (based on their own horizontal programming)<br><b>(See table 3)</b> | <b>Thematic Instruments</b> (based on their own horizontal programming)<br>(i.e.: Human Rights and Governance, Food and Agriculture, Economic growth, Human Development, Infrastructure, Environment, Energy, Migration and Asylum) | <b>Geographical Instruments</b><br>(Based on Multiannual Indicative Programmes (MIP) (2014-2020) + National Indicative Programmes (2020)<br>See individual information in table 5 below) |
| Level of application   |  |   |  |
| <b>Regional level</b><br>Latin America or the Caribbean as a region*                             | ✓  | ✓   |  |
| <b>“Graduated” countries</b> from Latin America and the Caribbean**                              | ✓  | ✓   |  |
| <b>Country level</b><br><b>“Non-graduated”</b> countries from Latin America and the Caribbean*** | ✓  | ✓   | ✓  |

Source: own representation.

\* Countries of Latin America and the Caribbean as a region: (Latin America - DCI) Argentina, Bolivia, Brazil, Chile, Colombia, Costa Rica, Cuba, Ecuador, El Salvador, Guatemala, Honduras, Mexico, Nicaragua, Panama, Paraguay, Peru, Uruguay, Venezuela / (Caribbean - EDF) Antigua and Barbuda, Bahamas, Barbados, Belize, Dominica, Dominican Republic, Grenada, Guyana, Haiti, Jamaica, Saint Lucia, Saint Kitts and Nevis, Saint Vincent and the Grenadines, Suriname, Trinidad and Tobago.

\*\* “Graduated” Countries from Latin America and the Caribbean: (Latin America) Argentina, Brazil, Chile, Costa Rica, Mexico, Panama, Uruguay, Venezuela / (Caribbean) Bahamas. At the end of 2017, Chile and Uruguay also graduate from the OECD DAC list of aid recipient countries. Colombia, Ecuador and Peru are also “graduated” but benefit from phasing out of bilateral programmes until 2017.

\*\*\* “Non graduated” countries from Latin America and the Caribbean: (Latin America) Bolivia, El Salvador, Guatemala, Nicaragua, Paraguay (Caribbean) Antigua and Barbuda, Barbados, Belize<sup>25</sup>, Cuba, Dominica, Dominican Republic, Grenada, Guyana, Haiti, Jamaica, St Kitts and Nevis, St Lucia, St Vincent and the Grenadines, Suriname, Trinidad and Tobago.

## 1) Regional programmes

### Latin America

The programmes currently carried out in partnership with Latin American countries follow the guidelines formulated under the Development Cooperation Instrument (DCI),<sup>26</sup> which primarily aims at reducing poverty. In addition, it contributes to the attainment of other goals of the EU,<sup>27</sup> such as fostering sustainable economic, social and environmental development, the rule of law, good governance and respect for human rights.

DCI is a geographic instrument supporting cooperation with around 47 developing countries in Latin America, South Asia and North and South East Asia, Central Asia, Middle East and South Africa.<sup>28</sup>

The Multiannual Indicative Regional Programme for Latin America,<sup>29</sup> established under the DCI 2014-2020, provides the main guidelines for the development of cooperation policies between DG DEVCO and the region Latin America. For 2014-2020 the programme foresees the allocation of a total budget of € 925 million, broken down into two Components:

25 For further information see: [http://www.ec.europa.eu/europeaid/countries/belize\\_en](http://www.ec.europa.eu/europeaid/countries/belize_en) (last accessed 7 November 2016).

26 Find out more about the Development Cooperation Instrument here: [http://www.ec.europa.eu/europeaid/funding/funding-instruments-programming/funding-instruments/development-cooperation-instrument-dci\\_en](http://www.ec.europa.eu/europeaid/funding/funding-instruments-programming/funding-instruments/development-cooperation-instrument-dci_en) (last accessed 7 November 2016).

27 For further information on the European External Action Service, see: <http://eeas.europa.eu/> (last accessed 7 November 2016).

28 For further information see: [http://www.ec.europa.eu/europeaid/how/finance/dci\\_en.htm\\_en](http://www.ec.europa.eu/europeaid/how/finance/dci_en.htm_en) (last accessed 7 November 2016).

29 For further details, see: European External Action Service / European Commission – Directorate General for Development and Cooperation – EUROPEAID (2014) *Development Cooperation Instrument (DCI) 2014-2020: Multiannual Indicative Regional Programme for Latin America*. Available from: [http://ec.europa.eu/europeaid/sites/devco/files/dci-multindicativeprogramme-latinamerica-07082014\\_en.pdf](http://ec.europa.eu/europeaid/sites/devco/files/dci-multindicativeprogramme-latinamerica-07082014_en.pdf) (last accessed 7 November 2016).

- Component 1: Multiannual indicative programme for continental activities with Latin America. (€ 805 million)
- Component 2: Multiannual indicative programme for sub-regional cooperation with Central America. (€ 120 million)

The programme has a continental element that covers the following policy areas: Security; Good governance, accountability and social equity; Inclusive and sustainable growth for human development; Environmental sustainability and climate change; and Higher education. The continental cooperation is often organised around some flagship programmes, well known in both regions such as:

AL-Invest 5: <http://www.alinvest5.org/>

Eurosocial: <http://www.eurosocial-ii.eu/>

Euroclima: <http://www.euroclima.org/>

Copolad II: <https://www.copolad.eu>

These programmes are evolving gradually to be more targeted and adapted to the needs of the Region.

An additional component was destined for a Sub-Regional Programme for Central America covering the following priority policy areas: Regional economic integration; Security and rule of law; and, Climate change and disaster management.<sup>30</sup>

## Investment Facilities

Considering the challenges faced by Latin America to finance key infrastructures, the need to develop cutting-edge technologies, to be more competitive and to perform more effectively in global markets in order to boost potential to grow and reduce poverty, the EU decided to launch an investment facility for Latin America (LAIF).<sup>31</sup>

The main purpose of LAIF (Latin America Investment Facility) is to promote additional investments and key infrastructures in the transport, energy and environment sectors, as well as to support the social and private sector's development in Latin American countries. LAIF is a financing facility based on blending; its aim is to mix grants (non-refundable financial contributions from the European Commission and other donors) with loans of multilateral or bilateral public European Development Finance Institutions and Regional

30 For further information on the EU Latin America- Regional Cooperation funding, see: [http://www.ec.europa.eu/europeaid/regions/latin-america/latin-america-regional-programmes-eu-funding\\_en](http://www.ec.europa.eu/europeaid/regions/latin-america/latin-america-regional-programmes-eu-funding_en) (last accessed 7 November 2016).

31 For further information about LAIF see: [http://ec.europa.eu/europeaid/regions/latin-america/laif-latin-america-investment-facility\\_en](http://ec.europa.eu/europeaid/regions/latin-america/laif-latin-america-investment-facility_en) (last accessed 7 November 2016).

Latin American Development Banks with the purpose of extending the frontier of bankable projects with high levels of development impact in the region.

### **The Caribbean**

The cooperation relations between the European Union and the Caribbean are based on political relations, trade and funding for development at both national and regional levels.<sup>32</sup>

The legal framework for the cooperation between the two regions is embedded within the arrangements reached through the Cotonou Agreement,<sup>33</sup> which was complemented by the 2008 Economic Partnership Agreement (EPA) with CARIFORUM<sup>34</sup>, in addition to the 2012 Joint Caribbean EU Partnership Strategy.<sup>35</sup>

The Cotonou Agreement involves 79 countries grouped as the African, Caribbean, and Pacific Group of States (ACP).<sup>36</sup> The Caribbean countries that signed this Agreement are Antigua and Barbuda, Belize, Bahamas, Barbados, Dominica, Dominican Republic, Grenada, Guyana, Haiti, Jamaica, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, and, Trinidad and Tobago.<sup>37</sup>

The Agreement addresses principles such as the equality of the partners and ownership of the development strategies; global participation (encouraging and including State and non-state actors into the mainstream of political, economic and social life); the pivotal role of dialogue and the fulfilment of mutual obligations and accountability (including the harmonisation of policy objectives); regionalisation and differentiation according to a partner's level of development (with emphasis on regional integration). Furthermore, it was designed around three main pillars, namely: Development cooperation, Political cooperation, and Economic and trade cooperation (for the time frame 2000-2007).

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32 For more information on the EU relations with the Caribbean, see: European Commission (2013) Memo: *EU relations with the Caribbean (18 September 2013)*. Brussels. Available from: [http://europa.eu/rapid/press-release\\_MEMO-13-798\\_en.htm](http://europa.eu/rapid/press-release_MEMO-13-798_en.htm) (last accessed 7 November 2016).

33 For further information, see: European Commission (2010) *The Cotonou Agreement (Signed in Cotonou June 2000 / Revised in Luxembourg on 25 June 2005 / Revised in Ouagadougou on 22 June 2010)*. Available from: <http://www.europarl.europa.eu/document/activities/cont/201306/20130605ATT67340/20130605ATT67340EN.pdf> (last accessed 7 November 2016).

34 The following are member states of CARIFORUM: Antigua and Barbuda, Bahamas, Barbados, Belize, Cuba, Dominica, Dominican Republic, Grenada, Guyana, Haiti, Jamaica, Suriname, Saint Lucia, St. Kitts and Nevis, St. Vincent and the Grenadines, and Trinidad and Tobago.

35 For further information on the relations between the European Union and the Caribbean, see: [https://eeas.europa.eu/diplomatic-network/latin-america-and-caribbean\\_en](https://eeas.europa.eu/diplomatic-network/latin-america-and-caribbean_en) (last accessed 7 November 2016).

36 For further information on the African, Caribbean, and Pacific Group of States (ACP), see: <http://www.acp.int/> (last accessed 7 November 2016).

37 Find out more about the cooperation of DG-DEVCO with ACP countries here: [http://www.ec.europa.eu/europeaid/regions/african-caribbean-and-pacific-acp-region/main-programmes-eu-development-assistance-african\\_en](http://www.ec.europa.eu/europeaid/regions/african-caribbean-and-pacific-acp-region/main-programmes-eu-development-assistance-african_en) (last accessed 7 November 2016).

The cooperation schemes between the European Union and the Caribbean are embedded within the framework of the 11<sup>th</sup> European Development Fund (EDF),<sup>38</sup> which is the EU's main instrument for providing funding for development to ACP countries and overseas countries and territories (OCTs).<sup>39</sup> Embedded within the 11<sup>th</sup> EDF, the Caribbean Regional Programme (CRIP)<sup>40</sup> provides guidelines for the development of cooperation policies between DG DEVCO and the Caribbean over the period 2014-2020.

The total indicative 11th EDF allocation to the Caribbean Regional Programme is €346 million. This budget has been allocated taking into account the following three focal areas:

- 1) Regional economic cooperation and integration;
- 2) Climate change, environment, disaster management and sustainable energy; and 3) Crime and security.

The 2012 Joint Caribbean-EU Partnership Strategy<sup>41</sup> provides input into the bi-regional cooperation mechanisms in place. The selected priority policy areas are the result of an assessment of the main needs of a region that is confronted with significant vulnerability challenges due to specificities of most of the Caribbean countries.

Most recently, in April 2014, Cuba and the European Union started discussions towards a bilateral Political Dialogue and Cooperation Agreement. The negotiations were completed after seven negotiating rounds in March 2016, during the visit of the High Representative Federica Mogherini and the Commissioner for International cooperation and Development to Cuba. The agreement, initialed on March 11<sup>th</sup>, 2016, and signed on December 12, 2016, includes three main chapters on political dialogue, cooperation and sector policy dialogue as well as trade and trade cooperation.<sup>42</sup>

The Economic Partnership Agreement (EPA) between the CARIFORUM<sup>43</sup> States and the

38 For further information on the European Development Fund (EDF) see: [http://www.welcomeurope.com/eu-fonds/edf-11th-european-development-fund-2014-2020-859+759.html#tab=onglet\\_details](http://www.welcomeurope.com/eu-fonds/edf-11th-european-development-fund-2014-2020-859+759.html#tab=onglet_details) (last accessed 7 November 2016).

39 The following are Overseas Countries and Territories (OCT) of the European Union: Aruba, Bonaire, Cayman Islands, Curaçao, Saba, St-Eustatius, St-Maarten, New Caledonia, French Polynesia, Wallis et Futuna, Saint-Pierre et Miquelon, Mayotte, Anguilla, Montserrat, Turks et Caicos, Pitcairn, Falkland Islands, Saint Helena, Ascension and Tristan da Cunha. For further information on the OCT, see: [http://ec.europa.eu/europeaid/regions/oct\\_en](http://ec.europa.eu/europeaid/regions/oct_en) (last accessed 16 December 2016).

40 For further information on the Caribbean Regional Indicative Programme, see: European Union (2014) *Caribbean Regional Indicative Programme: 11th European Development Fund*. Available from: [http://www.ec.europa.eu/europeaid/caribbean-regional-indicative-programme-2014-2020-11th-edf\\_en](http://www.ec.europa.eu/europeaid/caribbean-regional-indicative-programme-2014-2020-11th-edf_en) (last accessed 7 November 2016).

41 For further details on the Joint Caribbean-EU Partnership Strategy, see: Council of the European Union (2012) *Council Conclusions on the Joint Caribbean-EU Partnership Strategy. 3199th Foreign Affairs Council meeting, Brussels, 19 November 2012*. Available from: [http://www.consilium.europa.eu/uedocs/cms\\_Data/docs/pressdata/EN/foraff/133566.pdf](http://www.consilium.europa.eu/uedocs/cms_Data/docs/pressdata/EN/foraff/133566.pdf) (last accessed 7 November 2016).

42 For further information on the Cuba and the European Union relations, see: [https://eeas.europa.eu/delegations/cuba\\_en](https://eeas.europa.eu/delegations/cuba_en) (last accessed 7 November 2016).

43 CARIFORUM is the Forum of the Caribbean Group of African, Caribbean and Pacific (ACP) States "[...] is the body that comprises Caribbean ACP States with the purpose of promoting and coordinating policy dialogue, cooperation and regional integration, mainly within the framework of the Cotonou Agreement between the ACP and the European Union and also the CARIFORUM-European Community Economic Partnership Agreement (EPA)." Source: <http://www.caricom.org/> (last accessed 7 November 2016).

European Community<sup>44</sup> was signed in 2008. The Agreement contributes to expand the scope of the bi-regional cooperation including substantial EU aid for trade.

Latin America and the Caribbean also benefit from thematic programmes, which add value and complement geographical programmes. There are two categories:

**a) Global public good and challenges:** this programme will seek to achieve this objective through coherent, coordinated and focused action, in complementarity with the geographic programmes, in a number of key areas: climate change, environment, energy, human development, food security and migration while ensuring coherence with the poverty reduction objective. No less than 27% of this programme is spent on climate change and environment objectives. At least 25% of the programme is used to support social inclusion and human development.<sup>45</sup>

**b) Civil society organisations and local authorities:** this programme provides greater support to civil society and local authorities to encourage them to play a bigger role in development strategies.<sup>46</sup>

## Investment Facilities

The Caribbean Investment Facility (CIF)<sup>47</sup> aims to mobilize funding for development projects by combining grants from the European Development Fund (EDF) with other public and private resources such as loans from European and Regional Financial Institutions to leverage additional financing and achieve investments in infrastructure and support to the private sector.

Using blending as a tool for EU external cooperation offers various benefits to different stakeholders:

- Leverage to enhance the impact of EU development assistance and improved aid effectiveness through greater donor, beneficiary and lender coordination
- Support to policy reforms
- A sustainable and affordable way to tap into significant additional financing for national development priorities

44 For further details on this Agreement, see: Official Journal of the European Union (2008) *Economic Partnership Agreement between the CARIFORUM States, of the one part, and the European Community and its member States, of the other part*. L289/I/3: [http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:22008A1030\(01\)&from=EN](http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:22008A1030(01)&from=EN) (last accessed 7 November 2016).

45 For further details on the Global public good and challenges programme: [http://www.ec.europa.eu/europeaid/sites/devco/files/mip-gpgc-2014-2017-annex\\_en.pdf](http://www.ec.europa.eu/europeaid/sites/devco/files/mip-gpgc-2014-2017-annex_en.pdf) (last accessed 7 November 2016).

46 For further details on the civil society organisations and local authorities programme, see: [http://www.ec.europa.eu/europeaid/sites/devco/files/cso-la-mip-2014-2020\\_en.pdf](http://www.ec.europa.eu/europeaid/sites/devco/files/cso-la-mip-2014-2020_en.pdf) (last accessed 7 November 2016).

47 For further information about CIF see: [http://ec.europa.eu/europeaid/regions/latin-america/caribbean-investment-facility\\_en](http://ec.europa.eu/europeaid/regions/latin-america/caribbean-investment-facility_en) (last accessed 7 November 2016).

- An increased access to public services, infrastructure and credit to boost socio-economic development
- Mitigation of the risks associated with investing in new markets and sectors.

## **2) Cooperation with “graduated” countries**

Due to their economic performance, some countries are considered as a “graduated” and therefore they are not eligible for bilateral cooperation under the EU financial exercise 2014-2020; however, these countries remain eligible to participate in regional and thematic programmes.

The countries included in this category are: Argentina, Bahamas, Brazil, Chile, Costa Rica, Mexico, Panama, Uruguay and Venezuela. Colombia, Ecuador and Peru are also graduated but benefit of a phasing out programme until 2017.

## **3) Country level cooperation with “Non-graduated” countries**

This category includes countries with a lower income status or countries of middle income status with an exceptional situation from Latin America and the Caribbean, which are considered still eligible for country level support. The European Union and the authorities of these countries determined jointly the general orientation of bilateral cooperation through National Indicative Programmes.

Bilateral development cooperation under the EDF and the DCI will continue during the 2014–20 period with the Caribbean countries (except the Bahamas), 13 OCTs and 6 Latin American countries namely Bolivia, El Salvador, Guatemala, Honduras, Nicaragua and Paraguay.

Usually country level programmes foresee resources for activities implemented by non-governmental actors.

**Table 5: Latin American and Caribbean countries under the European Development Fund (EDF) and the Development Cooperation Instrument (DCI) (2014-2020)**

| Country             | Multiannual Indicative Programmes (MIP) (2014-2017) & (2014-2020) + National Indicative Programmes (2014-2020)   |
|---------------------|--|
| Antigua and Barbuda | European Commission – Directorate General for Development and Cooperation (2014) <i>11<sup>th</sup> EDF National Indicative Programme (2014-2020) for co-operation between the European Union and the Antigua and Barbuda</i> . Available from: <a href="http://www.ec.europa.eu/europeaid/sites/devco/files/nip-edf11-antigua-barbuda-2014-2020_en.pdf">http://www.ec.europa.eu/europeaid/sites/devco/files/nip-edf11-antigua-barbuda-2014-2020_en.pdf</a>                          |
| Barbados            | European Commission – Directorate General for Development and Cooperation (2014) <i>11<sup>th</sup> EDF National Indicative Programme (2014-2020) for co-operation between Barbados and the European Union</i> . Available from: <a href="http://www.ec.europa.eu/europeaid/sites/devco/files/nip-edf11-barbados-2014-2020_en.pdf">http://www.ec.europa.eu/europeaid/sites/devco/files/nip-edf11-barbados-2014-2020_en.pdf</a>   |
| Belize              | European Commission – Directorate General for Development and Cooperation (2014) <i>11<sup>th</sup> EDF Multiannual Indicative Programme (2014-2020) For co-operation between Belize and the European Union</i> . Available from: <a href="http://www.ec.europa.eu/europeaid/sites/devco/files/nip-edf11-belize-2014-2020_en.pdf">http://www.ec.europa.eu/europeaid/sites/devco/files/nip-edf11-belize-2014-2020_en.pdf</a>  |
| Bolivia             | European External Action Service / European Commission – Directorate General for Development and Cooperation / EuropeAid (2014) <i>Multiannual Indicative Programme (MIP) 2014-2016 Bolivia</i> . Available from: <a href="http://www.ec.europa.eu/europeaid/sites/devco/files/mip-bolivia-2014-2016_en.pdf">http://www.ec.europa.eu/europeaid/sites/devco/files/mip-bolivia-2014-2016_en.pdf</a>  |
| Colombia            | European External Action Service / European Commission – Directorate General for Development and Cooperation / EuropeAid (2014) <i>Multiannual Indicative Programme (MIP) 2014-2017 Colombia</i> . Available from: <a href="http://www.eeas.europa.eu/delegations/colombia/documents/page_content/progr_coope_2014_2017_es.pdf">http://www.eeas.europa.eu/delegations/colombia/documents/page_content/progr_coope_2014_2017_es.pdf</a>   |
| Cuba                | European Commission – Directorate General for Development and Cooperation (2014) <i>Multiannual Indicative Programme (MIP) for Cuba 2014-2020</i> . Available from: <a href="http://www.ec.europa.eu/europeaid/sites/devco/files/mip-cuba-2014-2020_en.pdf">http://www.ec.europa.eu/europeaid/sites/devco/files/mip-cuba-2014-2020_en.pdf</a>  |
| Dominica            | European Commission – Directorate General for Development and Cooperation (2014) <i>11<sup>th</sup> EDF National Indicative Programme (2014-2020) for co-operation between the European Union and the Commonwealth of Dominica</i> . Available from: <a href="http://www.ec.europa.eu/europeaid/sites/devco/files/nip-edf11-common-wealth-of-dominica-2014-2020_en.pdf">http://www.ec.europa.eu/europeaid/sites/devco/files/nip-edf11-common-wealth-of-dominica-2014-2020_en.pdf</a> |
| Dominican Republic  | European Commission – Directorate General for Development and Cooperation (2014) <i>11<sup>th</sup> EDF National Indicative Programme (2014-2020) for co-operation between the European Union and the Dominican Republic</i> . Available from: <a href="https://ec.europa.eu/europeaid/sites/devco/files/nip-edf11-dominican-republic-2014-2020_en.pdf">https://ec.europa.eu/europeaid/sites/devco/files/nip-edf11-dominican-republic-2014-2020_en.pdf</a>                           |
| Ecuador             | European External Action Service / European Commission – Directorate General for Development and Cooperation / EuropeAid (2014) <i>Multiannual Indicative Programme (MIP) 2014-2017 Ecuador</i> . Available from: <a href="http://www.ec.europa.eu/europeaid/sites/devco/files/mip-ecuador-2014-2017_en.pdf">http://www.ec.europa.eu/europeaid/sites/devco/files/mip-ecuador-2014-2017_en.pdf</a>  |

**Table 5: Latin American and Caribbean countries under the European Development Fund (EDF) and the Development Cooperation Instrument (DCI) (2014-2020)**

| Country     | Multiannual Indicative Programmes (MIP) (2014-2017) & (2014-2020) + National Indicative Programmes (2014-2020)  |
|-------------|---|
| El Salvador | European External Action Service / European Commission – Directorate General for Development and Cooperation / EuropeAid (2014) <i>Multiannual Indicative Programme (MIP) 2014-2020 El Salvador</i> . Available from: <a href="http://www.ec.europa.eu/europeaid/sites/devco/files/mip-el-salvador-2014-2020_en.pdf">http://www.ec.europa.eu/europeaid/sites/devco/files/mip-el-salvador-2014-2020_en.pdf</a>                                     |
| Grenada     | European Commission – Directorate General for Development and Cooperation (2014) <i>11<sup>th</sup> EDF National Indicative Programme (2014-2020) for co-operation between Grenada and the European Union</i> . Available from: <a href="http://www.ec.europa.eu/europeaid/sites/devco/files/nip-edf11-grenada-2014-2020_en.pdf">http://www.ec.europa.eu/europeaid/sites/devco/files/nip-edf11-grenada-2014-2020_en.pdf</a>                       |
| Guatemala   | European External Action Service / European Commission – Directorate General for Development and Cooperation / EuropeAid (2014) <i>Multiannual Indicative Programme (MIP) 2014-2020 Guatemala</i> . Available from: <a href="http://www.ec.europa.eu/europeaid/sites/devco/files/mip-guatemala-2014-2020-080814_en.pdf">http://www.ec.europa.eu/europeaid/sites/devco/files/mip-guatemala-2014-2020-080814_en.pdf</a>                             |
| Guyana      | European Commission – Directorate General for Development and Cooperation (2014) <i>11<sup>th</sup> National Indicative Programme (2014-2020) for co-operation between the European Union and the Co-operative Republic of Guyana</i> . Available from: <a href="http://www.ec.europa.eu/europeaid/sites/devco/files/nip-edf11-guyana-2014-2020_en.pdf">http://www.ec.europa.eu/europeaid/sites/devco/files/nip-edf11-guyana-2014-2020_en.pdf</a> |
| Haiti       | European Commission – Directorate General for Development and Cooperation (2014) <i>11e FED Programme Indicatif National (2014-2020) de cooperation entre l' Union Européenne et Haïti</i> . Available from: <a href="http://www.ec.europa.eu/europeaid/sites/devco/files/nip-haiti-20140718_fr.pdf">http://www.ec.europa.eu/europeaid/sites/devco/files/nip-haiti-20140718_fr.pdf</a>  |
| Honduras    | European Commission – Directorate General for Development and Cooperation (2014) <i>Multiannual Indicative Programme 2014-2020 Honduras</i> . Available from: <a href="http://www.ec.europa.eu/europeaid/sites/devco/files/mip-honduras-2014-2020_en.pdf">http://www.ec.europa.eu/europeaid/sites/devco/files/mip-honduras-2014-2020_en.pdf</a>   |
| Jamaica     | European Commission – Directorate General for Development and Cooperation (2014) <i>11<sup>th</sup> EDF National Indicative Programme (2014-2020) for co-operation between the European Union and Jamaica</i> . Available from: <a href="http://www.eeas.europa.eu/delegations/jamaica/documents/eu_jamaica/nip_jamaica_signed.pdf">http://www.eeas.europa.eu/delegations/jamaica/documents/eu_jamaica/nip_jamaica_signed.pdf</a>                 |
| Nicaragua   | European External Action Service / European Commission – Directorate General for Development and Cooperation / EuropeAid (2014) <i>Country Strategy Paper and Multiannual Indicative Programme (MIP) 2014-2020 Nicaragua</i> . Available from: <a href="http://www.ec.europa.eu/europeaid/sites/devco/files/mip-nicaragua-2014-2020_en.pdf">http://www.ec.europa.eu/europeaid/sites/devco/files/mip-nicaragua-2014-2020_en.pdf</a>                |
| Paraguay    | European External Action Service / European Commission – Directorate General for Development and Cooperation / EuropeAid (2014) <i>Multiannual Indicative Programme (MIP) 2014-2020 Paraguay</i> . Available from: <a href="https://ec.europa.eu/europeaid/sites/devco/files/mip-paraguay-2014-2020_en.pdf">https://ec.europa.eu/europeaid/sites/devco/files/mip-paraguay-2014-2020_en.pdf</a>  |

**Table 5: Latin American and Caribbean countries under the European Development Fund (EDF) and the Development Cooperation Instrument (DCI) (2014-2020)**

| Country                                    | Multiannual Indicative Programmes (MIP) (2014-2017) & (2014-2020) + National Indicative Programmes (2014-2020)   |
|--|--|
| Peru                                       | European External Action Service / European Commission – Directorate General for Development and Cooperation / EuropeAid (2014) <i>Multiannual Indicative Programme (MIP) 2014-2017 Peru</i> . Available from: <a href="http://www.ec.europa.eu/europeaid/sites/devco/files/mip-peru-2014-2020-180814_en.pdf">http://www.ec.europa.eu/europeaid/sites/devco/files/mip-peru-2014-2020-180814_en.pdf</a>   |
| St Kitts and Nevis                         | European Commission – Directorate General for Development and Cooperation (2014) <i>11<sup>th</sup> EDF National Indicative Programme (2014-2020) for co-operation between Saint Kitts and Nevis and the European Union</i> . Available from: <a href="http://www.ec.europa.eu/europeaid/sites/devco/files/nip-edf11-st-kitts-navis-2014-2020_en.pdf">http://www.ec.europa.eu/europeaid/sites/devco/files/nip-edf11-st-kitts-navis-2014-2020_en.pdf</a>                                  |
| St Lucia                                   | European Commission – Directorate General for Development and Cooperation (2014) <i>11<sup>th</sup> EDF National Indicative Programme (2014-2020) for co-operation between Saint Lucia and the European Union</i> . Available from: <a href="http://www.ec.europa.eu/europeaid/sites/devco/files/nip-saint-lucia-2014-2020_en.pdf">http://www.ec.europa.eu/europeaid/sites/devco/files/nip-saint-lucia-2014-2020_en.pdf</a>  |
| St Vincent and the Grenadines              | European Commission – Directorate General for Development and Cooperation (2014) <i>11<sup>th</sup> EDF National Indicative Programme (2014-2020) for co-operation between Saint Vincent and the Grenadines and the European Union</i> . Available from: <a href="http://www.ec.europa.eu/europeaid/sites/devco/files/nip-saint-vincent-and-the-grenadies-2014-2020_en.pdf">http://www.ec.europa.eu/europeaid/sites/devco/files/nip-saint-vincent-and-the-grenadies-2014-2020_en.pdf</a> |
| Suriname                                   | European Commission – Directorate General for Development and Cooperation (2014) <i>11<sup>th</sup> National Indicative Programme (2014-2020) for co-operation between the Republic of Suriname and the European Union</i> . Available from: <a href="http://www.ec.europa.eu/europeaid/sites/devco/files/nip-suriname-20140619_en.pdf">http://www.ec.europa.eu/europeaid/sites/devco/files/nip-suriname-20140619_en.pdf</a>   |
| Trinidad and Tobago                        | European Commission – Directorate General for Development and Cooperation (2014) <i>11<sup>th</sup> EDF National Indicative Programme (2014-2020) for co-operation between the European Union and the Republic of Trinidad and Tobago</i> . Available from: <a href="http://www.eeas.europa.eu/delegations/trinidad/documents/news/20141008_1.pdf">http://www.eeas.europa.eu/delegations/trinidad/documents/news/20141008_1.pdf</a>  |
| Source: see individual items in the table. |  |

### Implementation of Bi-regional cooperation

There are different ways to implement the EU budget or the EDF funds, depending on the variable level of implication of the European Commission in its implementation. This is attained through the delegation of a number of budget implementation tasks (such as conclusion of contracts, their operational and financial management, audit, evaluation, etc.).

The former management modes (centralised, decentralised, joint and shared) have been streamlined to just three.

**Direct management:**

The European Commission is in charge of all EU budget implementation tasks, which are performed directly by its departments either at headquarters or in the EU delegations or through European executive agencies. Therefore, the European Commission or the European executive agency is the contracting authority and takes decisions on behalf and for the account of the partner countries

**Indirect management:**

European Commission entrusts budget implementation tasks to:

- Partner countries (or to bodies designated by them)
- International organisations
- Development agencies of EU Member States
- Other bodies.

**Shared management:**

The European Commission delegates implementation tasks to the EU Member States. This mode is rarely used in the implementation of external actions, but there are a few cases such as joint operational programmes on cross-border cooperation implemented by a joint managing authority (for instance under the European Neighbourhood Instrument, ENI, or the Pre-accession Assistance, IPA II).<sup>48</sup>

**Funding Opportunities and how to apply?**

Funding is provided through grants and contracts. Grants are direct financial contributions provided to organisations, or to projects carried out by them, usually through a competitive process (call for proposals or call previous to the financial decision). Contracts are awarded through tendering procedures to purchase services and/or supplies.

Funding opportunities are offered through ‘calls for proposals’ or tendering procedures. The database / search engine with all open calls, can be accessed from the following link: <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?ADSSChck=1284977262222&do=publi.welcome&userlanguage=en>

In the previously introduced link interested parties are able to search by three tabs, namely:

- a) Latest Publications,
- b) Search by Reference
- c) Advanced Search (including several search options and categories).

<sup>48</sup> For further information see: [http://ec.europa.eu/europeaid/about-funding\\_en](http://ec.europa.eu/europeaid/about-funding_en) (last accessed 7 November 2016).

The following screenshot displays the 'Advanced Search' tab:

**Graph 1: Advanced Search Engine: Calls for proposals and Procurement notices**

The screenshot shows the top navigation bar with links for 'Legal notice', 'Contact', 'Search', and a language dropdown set to 'English (en)'. Below this is the European Commission logo and the text 'INTERNATIONAL COOPERATION AND DEVELOPMENT' and 'Calls for proposals & Procurement notices'. A breadcrumb trail reads: 'European Commission > International Cooperation and Development > Funding > Funding > Calls for proposals & Procurement notices'. The main heading is 'Calls for proposals & Procurement notices'. Below the heading are tabs for 'Latest Publications', 'Search by reference', 'Advanced Search', and 'Help'. A light blue box contains the text: 'Returns the Forecast and Open calls published during the last ten days.' Below this is a 'Search' button. A source note at the bottom states: 'Source: DG DEVCO Advanced Search Engine [https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?ADS\\_SChck=1446474482258&do=publi.welcome&userlanguage=en](https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?ADS_SChck=1446474482258&do=publi.welcome&userlanguage=en) (last time accessed 7 November 2016).'

Once the 'call for proposals' has been identified, the applicant must click on the title of the proposal, which will lead to a website with a series of files that serve as a guideline for that specific call. The guidelines for applicants (which include the application form and other annexes) explain the purpose of the call for proposals, the rules of eligibility of applicants, the types of action and the costs, which are eligible for financing, in addition to the evaluation criteria. They also contain instructions on how to fill in the application form, what to attach to it and what procedures to follow for applying.

Prospective applicants must register via the Potential Applicant Data On-Line Registration (PADOR)<sup>49</sup> platform. PADOR is an on-line database made available by the European Commission in which organisations can complete a registration as prospective applicants to calls. Its purpose is to facilitate the application process for prospective organisations. Once registered on PADOR, an organisation does not need to re-submit their information additionally in every application.<sup>50</sup>

Proposals that require a different method of application will specify so in the guidelines for applicants. The guidelines will also determine whether the documents must be sent via post or via another online tool called 'Prospect'. This platform is being gradually implemented and allows applicants to submit soft copy applications, follow-up the

<sup>49</sup> For further information and for accessing the Potential Applicant Data On-Line Registration (PADOR), see: [http://ec.europa.eu/europeaid/etraining/pador/en/index.html\\_en](http://ec.europa.eu/europeaid/etraining/pador/en/index.html_en) (last accessed 7 November 2016).

<sup>50</sup> PADOR is currently only available in English. A Spanish and French version will be implemented soon.

progress of the evaluation, and consult results online. Please note that applicants can login onto 'Prospect' with the same username and password used in PADOR.

Due to the multiple procurement procedures for each contract category within the European Commission, participation rules may vary. Elements such as the year, the value of the contract and the financial source (EU budget or European Development Fund–EDF) determine the contract rules and procedures. In order to facilitate an overview of basic rules and procedures for contracts, the Practical Guide to Contract Procedures for EU External Actions (PRAG)<sup>51</sup> informs the users thoroughly. The Procedures and Practical Guide (PRAG) is a virtual tool that provides in-depth information on items such as service contracts, supply contracts, and work contracts.

### 3.3 DG EAC

#### Directorate General for Education and Culture

##### Presentation and policy background

The Directorate General for Education and Culture (DG EAC) is responsible for designing and executing policies on education, culture, languages and sports in the European Union. DG EAC implements these policies by means of various projects and programmes, under which Erasmus+, the Marie Skłodowska-Curie Actions and Creative Europe play a prominent role. These policy tools provide funding opportunities not only for EU citizens, but also for citizens from third countries (including Latin America and the Caribbean).

In addition, DG EAC aims to foster competitiveness and adding value to investments and businesses, taking into account that a knowledge economy is based on qualified labour, as well as on innovative ideas and technical expertise, which are key factors to address the new global competitive challenges.

The main policy areas of interest of DG EAC are the following: Education and Training; Culture and Media; Youth; and, Marie Skłodowska-Curie Actions. Languages and Sport are also areas of interest of DG EAC.

<sup>51</sup> For further information and for gaining access to the Procedures and Practical Guide (PRAG), see: [http://ec.europa.eu/europeaid/funding/about-funding-and-procedures/procedures-and-practical-guide-prag\\_en](http://ec.europa.eu/europeaid/funding/about-funding-and-procedures/procedures-and-practical-guide-prag_en) (last accessed 7 November 2016).

DG EAC works closely with DG DEVCO for Latin America and the Caribbean, as well as with DG RTD for higher education related to research, specifically for Marie Skłodowska-Curie Actions.<sup>52</sup>

### **Organisational Structure of the DG EAC**

**Commissioner:** Tibor Navracsics

**Director-General:** Martine Reicherts

**Organisation chart:** [http://ec.europa.eu/dgs/education\\_culture/index\\_en.htm](http://ec.europa.eu/dgs/education_culture/index_en.htm)

(last accessed 9 December 2016).

## **International Dimension**

Cooperation in the field of higher education with CELAC countries is structured around mobility and academic cooperation to support capacity building. Mobility is supported through Erasmus+ programme actions for student and staff mobility, as well as through Marie Skłodowska-Curie Actions (MSCA) for the mobility of researchers.

Higher education and youth form the core of the international dimension of the Erasmus+ programme. The overall cooperation in the field of higher education with CELAC countries is mainly based on three key areas, namely: (1) Mobility for higher education; (2) Higher Education capacity building; and, (3) Mobility for researchers.

Erasmus+ benefits organisations, young students, researchers, and participants from countries located in the CELAC countries, including the Caribbean.

The 2017 Call for Proposals was officially launched on October 20, 2016 with deadlines in 2017. Higher Education Institutions (HEIs) from CELAC countries are eligible to take part in the four international components for higher education of the programme, namely: (1) Erasmus Mundus Joint Master Degrees; (2) Student and staff mobility with European HEIs; (3) Capacity-building projects; and (4) Jean Monnet for EU studies.<sup>53</sup>

The Marie Skłodowska-Curie Actions (MSCA) are implemented under the umbrella of Horizon 2020 (managed by DG RTD) for extending funding opportunities not only to EU citizens but also to non-European researchers and organisations. The goal of the MSCA is to foster the career development and training of researchers crosscutting

<sup>52</sup> Source: European Commission (2015) *Higher Education cooperation between the European Union, Latin America and the Caribbean. Academic cooperation and mobility: bringing the two regions closer*. 6. Available from: [https://ec.europa.eu/europeaid/sites/devco/files/higher-education-cooperation\\_en.pdf](https://ec.europa.eu/europeaid/sites/devco/files/higher-education-cooperation_en.pdf) (last accessed 9 December 2016).

<sup>53</sup> The ACP Secretariat of the European Commission prepared a leaflet with general information on Erasmus+ opportunities for ACP countries. For further details, see: <http://www.acp.int/sites/acpsec.waw.be/files/ACP%20countries%20ERASMUS.pdf> (last accessed 9 December 2016).

various scientific disciplines and mobility schemes. With a budget of EUR 6.16 billion, these actions are expected to finance a total of 65 000 researchers in the time frame 2014-2020, including 25 000 doctoral candidates, and 15 000 researchers from non-EU countries. The following are the main areas tackled by the MSCA: (1) Research networks (support for Innovative Training Networks); (2) Individual fellowships for experienced researchers undertaking mobility; (3) International and intra-sectorial cooperation through the Research and Innovation Staff Exchanges; and, (4) Co-funding of regional, national and international programmes that finance fellowships involving mobility to or from another country.<sup>54</sup> Further details on MSCA are available on the chapter on DG RTD in this Vademecum.

## EU-LAC Bi-regional Cooperation on Higher Education and Culture

Since the EU-LAC Summit of Heads of State and Government Rio in 1999, cooperation on higher education has been considered an important intersecting policy area for cooperation within the bi-regional strategic partnership. The first initiative prior to the establishment of the 'EU-LAC Knowledge Area' was the proposal for the creation of a 'EU-LAC Common Area of Higher Education' in 2000. This policy initiative was conceived in order to build a common bi-regional environment for interaction, bilateral and multilateral cooperation for Higher Education. In 2000, the Ministers responsible for Higher Education held a meeting in Paris in order to establish an Action Plan alongside a Political Declaration.<sup>55</sup> The Declaration of Guadalajara (2005) is a further outcome of the dialogue on Higher Education at the ministerial level, and elaborates on the Declaration of Paris. The following fields define the cooperation profile of the 'EU-LAC Area of Higher Education': (1) to propel the compatibility of higher education in view of validating academic titles; (2) to foster the establishment and implementation of coordinated programmes for facilitating mobility for students, researchers, professors and staff; and, (3) to promote the adequate creation and management of programmes for favouring cooperation networks, and to exchange initiatives between institutions of Higher Education.

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54 For more information on the Marie Skłodowska-Curie Actions MSCA for Latin American and Caribbean prospective participants, see: European Commission (2015) *Higher education cooperation between the European Union, Latin America and the Caribbean. Academic cooperation and mobility: bringing the two regions closer*, 65-67. Available from: [https://ec.europa.eu/europeaid/sites/devco/files/higher-education-cooperation\\_en.pdf](https://ec.europa.eu/europeaid/sites/devco/files/higher-education-cooperation_en.pdf) (last accessed 9 December 2016).

55 The Paris Declaration (2000) tackles the following priorities: (1) to foster mobility of students, professors, researchers and administrative staff; (2) to develop mechanisms that allow recognizing titles respecting domestic legislation; (3) to exchange best practices in the direction, management and evaluation of higher education systems; to foster distance studies and to create a virtual library; (4) to promote professional and technical education; (5) to favour the articulation of education and employment; and, (6) to establish research centres for European studies in LAC and vice versa. The Paris meeting also created a Follow-up Committee made up by France and Spain (EU), Mexico and Brazil (Latin America), Saint Kitts and Nevis (Caribbean). The committee developed an Action Plan, which was upheld by the EU-LAC Summit of Madrid in 2002.

Most recently, the Summit of Heads of State and Government in Brussels 2015 upgraded the scope of bi-regional cooperation by including a new section on Higher Education into the EU-CELAC Action Plan.<sup>56</sup> The Declaration of Brussels 2015 stresses the importance of including higher education as a relevant issue into the EU-CELAC common cooperation mechanisms. The political will to elevate higher education to a greater level of cooperation was expressed by the Heads of State and Government in some articles in the Brussels Declaration and in the Action Plan 2015-2017 itself, as shown in the following table:

**Table 6: Higher Education in the EU-CELAC Summit of Heads of State and Government, Brussels 2015**

| EU-CELAC Summit of Heads of State and Government  | Policy objectives and instruments  |
|---|--|
| <p>Brussels Declaration</p> <p><i>Shaping our common future: working together for prosperous, cohesive and sustainable societies for our citizens</i></p>   | <p><u>Art. 52:</u> "We stress the importance of north-south, triangular, south-south, and other modalities and mechanisms of cooperation. We also stress the importance of cooperation for capacity-building and greater involvement of indigenous peoples and local communities as well as corporations, higher education institutions and research institutes for development initiatives that support, among others, high quality knowledge, entrepreneurship and innovation in the pursuit of sustainable development."</p> <p><u>Art. 72:</u> "We commend the inclusion of new chapters on "Higher Education" and "Citizen security" into the EU-CELAC Action Plan that we adopt in its revised version annexed to this Declaration. The chapter on "Sustainable development, Environment, Climate change, Biodiversity, Energy" will be updated in light of the outcome of COP21. A chapter on "Food Security" is being elaborated. This Action Plan will guide our joint work to make further progress on essential issues of common interest."</p> |
| <p>Action Plan 2015-2017</p>  | <p><u>Topic 9 - Higher Education:</u> "The objective is to give a new impetus to EU-CELAC cooperation in higher education and to support inclusive development of higher education sector, including equitable access and quality, by facilitating the sharing of knowledge and technology transfers through institutional strengthening, capacity building actions and mobility of students, researchers, experts, academic and administrative staff. In addition, it will promote higher education and life-long learning and inclusive education, taking into account the needs of the young population and persons with disabilities according to the specificities, priorities, development policies and academic systems in each country."</p>   |
| <p>Source: EU-CELAC Summit (2015): Brussels Declaration. Available from: <a href="https://ec.europa.eu/research/iscp/pdf/policy/eu-celac_brussels_declaration_2015.pdf">https://ec.europa.eu/research/iscp/pdf/policy/eu-celac_brussels_declaration_2015.pdf</a> (last accessed 9 December 2016);</p> <p>EU-CELAC Summit 2015 Brussels (2015): EU-CELAC Action Plan 2015-2017. Available from: <a href="http://www.europarl.europa.eu/intcoop/eurolat/key_documents/summits_eu_celac/brussels_2015_actionplan_en.pdf">http://www.europarl.europa.eu/intcoop/eurolat/key_documents/summits_eu_celac/brussels_2015_actionplan_en.pdf</a> (last accessed 9 December 2016).</p> |  |

<sup>56</sup> For more information, see: EU-CELAC Summit 2015 Brussels (2015) *EU-CELAC Action Plan 2015-2017*. Available from: [https://ec.europa.eu/research/iscp/pdf/policy/eu-celac\\_action\\_plan\\_2015.pdf](https://ec.europa.eu/research/iscp/pdf/policy/eu-celac_action_plan_2015.pdf) (last accessed 9 December 2016).

## How to find funding opportunities?

There are various opportunities for gaining access to funding for individuals and organisations in the field of higher education and culture. DG EAC provides several funding schemes for EU and non-EU citizens. These opportunities are made available online through Calls for Proposals, Calls for Tender, and similar initiatives.<sup>57</sup>

The Delegations of the European Union in Latin American and Caribbean countries, as well as Erasmus+ National Agencies in Programme Countries, can provide information on how to access funding of the European Commission in regards to the area of Education. Also, some LAC countries have local National Contact Points for the Programme Horizon 2020 that can provide further information.<sup>58</sup>

### Programmes and projects of the DG EAC

- Erasmus+ (2014-2020)
- Creative Europe

### Bilateral partnerships with Brazil and Mexico:

For further information, see:

[http://ec.europa.eu/education/policy/international-cooperation/brazil\\_en](http://ec.europa.eu/education/policy/international-cooperation/brazil_en)

(last accessed 9 December 2016); and,

[http://ec.europa.eu/education/policy/international-cooperation/mexico\\_en](http://ec.europa.eu/education/policy/international-cooperation/mexico_en)

(last accessed 9 December 2016).

### Programmes of DG-EAC in Latin America and the Caribbean

- Erasmus +

### Programme description

Erasmus+<sup>59</sup> is the EU Programme in the fields of education, training, youth and sport for the period 2014-2020. It is designed to support EU member countries' efforts to efficiently use the potential of human talent and social capital, while confirming the principle of lifelong learning by linking support to formal, non-formal and informal learning throughout

<sup>57</sup> For further details and updated information on currently funding opportunities in place, please visit the following website and subscribe to the Newsletter of DG EAC under the following link: [http://ec.europa.eu/dgs/education\\_culture/calls/index\\_en.htm](http://ec.europa.eu/dgs/education_culture/calls/index_en.htm) (last accessed 9 December 2016).

<sup>58</sup> For further information, see: [http://ec.europa.eu/research/participants/portal/desktop/en/support/national\\_contact\\_points.html](http://ec.europa.eu/research/participants/portal/desktop/en/support/national_contact_points.html) and [http://ec.europa.eu/education/tools/national\\_agencies\\_en.htm](http://ec.europa.eu/education/tools/national_agencies_en.htm) (last accessed 9 December 2016).

<sup>59</sup> All the information in this section (unless otherwise specified) was retrieved from the Erasmus+ Programme Guide. For more information, see: European Commission (2016) *Erasmus+ Programme Guide*. Available from: [http://ec.europa.eu/programmes/erasmus-plus/documents/erasmus-plus-programme-guide\\_en.pdf](http://ec.europa.eu/programmes/erasmus-plus/documents/erasmus-plus-programme-guide_en.pdf) (last accessed 13 December 2016).

the education, training and youth fields. Erasmus+ enhances the opportunities for cooperation and mobility with Partner Countries, including countries from Latin America and the Caribbean, notably in the fields of higher education and youth.

The participation rules differentiate between participants (e.g. individuals) and participating organisations:

**1 Participants:** referring to students, trainees, pupils, adult learners, young people, volunteers, professors, teachers, trainers, youth workers, professionals of organisations active in the fields of education, training and youth. The participants constitute the main target population of the Erasmus+ programme. The following are categories of participants in areas with an international dimension with partner countries:

- Higher education: students, instructors and professors, staff of higher education institutions and trainers, among others.
- Youth field: people from 13-30, youth workers, staff and similar organisations that are active in the youth field.
- Field of sport: professionals and volunteers, athletes and coaches.

**2 Participating organisations:** refers to formal and/or informal groups. The participation conditions for each one of these categories may vary according to the country they are based in. In general, participating organisations must be established in a Programme Country. Some specific actions may take place also in Partner Countries, especially in the field of higher education and youth. The following table displays the Programme Countries and Partner Countries under Erasmus+:

**Table 7: Programme Countries and Partner Countries under Erasmus+**

| Programme Countries  | Partner Countries   |
|--|---|
| <p><b>Member states of the European Union:</b> Belgium, Bulgaria, Czech Republic, Denmark, Germany, Estonia, Ireland, Greece, Spain, France, Croatia, Italy, Cyprus, Latvia, Lithuania, Luxembourg, Hungary, Malta, Netherlands, Austria, Poland, Portugal, Romania, Slovenia, Slovakia, Finland, Sweden and the United Kingdom.</p> <p><b>Non EU-Programme Countries:</b> former Yugoslav Republic of Macedonia, Iceland, Liechtenstein, Norway and Turkey.</p> | <p><b>Latin America:</b> Argentina, Bolivia, Brazil, Chile, Colombia, Costa Rica, Cuba, Ecuador, El Salvador, Guatemala, Honduras, Mexico, Nicaragua, Panama, Paraguay, Peru, Uruguay and Venezuela.</p> <p><b>Caribbean:</b> Antigua and Barbuda, Bahamas, Barbados, Belize, Dominica, Dominican Republic, Grenada, Guyana, Haiti, Jamaica, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Suriname, Trinidad and Tobago.</p> |

Source: European Commission (2016) Erasmus+ Programme Guide, 22-23. Available from: [http://ec.europa.eu/programmes/erasmus-plus/documents/erasmus-plus-programme-guide\\_en.pdf](http://ec.europa.eu/programmes/erasmus-plus/documents/erasmus-plus-programme-guide_en.pdf) (last accessed 13 December 2016).

**Information on visa requirements:**

Participants in Erasmus+ projects may need to apply for a visa for the duration of their stay abroad in the Partner Country hosting their academic activities. The participating organisations are responsible for ensuring that the visa/ authorisations/residence permits required (short and/or long-term) are in place before commencing the Erasmus+ stay. Authorities recommend requesting all authorisations due well in advance as the process may take several weeks or months, depending on the responsible offices. National Agencies and the Executive Agency may provide further advice and support concerning visas, residence permits, social security, among other important issues.

For obtaining general information on short- or long-term visa and residence permit requirements for the EU, you may contact the EU Immigration Portal under the following link: [http://ec.europa.eu/immigration/do-i-need-a-visa\\_en](http://ec.europa.eu/immigration/do-i-need-a-visa_en) (last accessed 9 December 2016) or the responsible authorities of the country where the Erasmus+ stay is planned.

**Budget:** €16.4 billion

**Period:** 2014 – 2020

**Website:** [http://ec.europa.eu/programmes/erasmus-plus/index\\_en.htm](http://ec.europa.eu/programmes/erasmus-plus/index_en.htm)

(last accessed 9 December 2016).

**Erasmus+ Programme Guide (PDF file):**

[http://ec.europa.eu/programmes/erasmus-plus/documents/erasmus-plus-programme-guide\\_en.pdf](http://ec.europa.eu/programmes/erasmus-plus/documents/erasmus-plus-programme-guide_en.pdf)

(last accessed 9 December 2016).

**Key Actions of Erasmus+**

Erasmus+ differentiates between individual participants (e.g. students, researchers, staff) and Higher Education Institutions (also referred to as HEI). Prospective participants are advised to inform themselves carefully on the participation conditions and requirements, as well as the Key Actions that are best suited for their individual profile.

Erasmus+ is divided into 5 main parts: 3 Key actions, Jean Monnet Activities (JMA) and Sport. The availability of opportunities that target or allow the participation of LAC countries varies according to each action. Prospective applicants are expected to read carefully the Calls for Proposals and the eligibility criteria. For certain actions, Latin American and Caribbean countries may participate as applicants, but in most of them they are only allowed to participate as partners. The Key Actions supported by Erasmus+ pursue different targets, namely:<sup>60</sup>

60 For detailed information on the Key Actions of the Erasmus+ Programme, see: European Commission (2016) Erasmus+ Programme Guide. Available from: [http://ec.europa.eu/programmes/erasmus-plus/documents/erasmus-plus-programme-guide\\_en.pdf](http://ec.europa.eu/programmes/erasmus-plus/documents/erasmus-plus-programme-guide_en.pdf) (last accessed 9 December 2016).

**Key Action 1:** Mobility of individuals (concerns individual participants)

- Mobility of learners and staff
- Erasmus Mundus Joint Master Degrees
- Erasmus+ Master Loans

**Key Actions 2:** Cooperation for innovation and the exchange of good practices (concerns HEIs and other organisations)

- Strategic Partnerships
- Knowledge Alliances
- Sector Skills Alliances
- Capacity-building
- IT platforms such as eTwinning, the European Platform for Adult Learning (EPALE) and the European youth Portal

**Key Actions 3:** Support for policy reform (concerns HEIs and other organisations)

- Knowledge in the fields of education, training and youth
- Initiatives for policy innovation
- Support to European policy tools
- Cooperation with international organisations
- Stakeholder dialogue, policy and Programme promotion

Additionally, Erasmus+ promotes Jean Monnet Activities, which foster Academic Modules, Chairs and Centres of Excellence; Policy debate with the academic world through Networks and Projects; and the Support to associations. Jean Monnet Activities are designed to foster excellence and research in the field of European Studies worldwide, aiming at promoting research on the different dimensions of the European integration process. The initiative is open to prospective participant organisations from across the world, and does not provide grants to individuals. The Erasmus+ Programme Guide entails detailed information on the Jean Monnet Actions under the General Call for Proposals.

The 2016 General Call for Proposals (with deadlines in 2017) can be accessed online and in different languages under the following website from EUR-Lex:

[http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=OJ:JOC\\_2016\\_386\\_R\\_0009](http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=OJ:JOC_2016_386_R_0009)

(last accessed 9 December 2016). This website provides an overview of deadlines for projects of every one of the three Key Actions of Erasmus+, in addition to the Jean Monnet Actions and the Sport Actions. Furthermore, it gives an overview of details concerning the application conditions and the eligibility criteria. In the field of sport, the following Actions are supported within the framework of Erasmus+: Collaborative Partnerships, non-profit sport events; strengthening of evidence base for policy-making; and dialogue with relevant European stakeholders.

## Opportunities for Latin American and Caribbean countries

Erasmus+ offers a number of cooperation opportunities for higher education students, doctoral candidates, staff, and Higher Education Institutions from across the world. LAC countries benefit in particular through the opportunities provided to HEIs and individuals, as shown in the following table:

**Table 8: Opportunities for Higher Education Institutions (HEI) and individuals under Erasmus+**

| Opportunities for Higher Education Institutions (HEI) from LAC countries  | Opportunities for individuals from LAC countries   |
|---|--|
| <p><b>1. Joint Master Degrees programmes in cooperation with European HEIs:</b></p> <ul style="list-style-type: none"> <li>- Goal: to foster consortia toward the creation of a Joint Master Degree programme. HEIs benefit from funding to manage the joint programme.</li> <li>- <u>How to apply:</u> Instructions on the application and Calls for Proposals are available on the website of the Executive Agency (EACEA) in Brussels: <a href="https://eacea.ec.europa.eu/erasmus-plus/funding_en">https://eacea.ec.europa.eu/erasmus-plus/funding_en</a> (last accessed 9 December 2016).</li> </ul> <p><b>2. Credit mobility schemes with one of more European HEIs:</b></p> <ul style="list-style-type: none"> <li>- Goal: to foster inter-institutional agreements with European HEIs for short-term mobility of doctoral candidates (up to 12 months) and grants for teaching staff (5 days to 2 months).</li> <li>- <u>How to apply:</u> HEIs from prospective Partner Countries interested in credit mobility should contact a partner HEI in a programme country, which will be able to apply for funding.</li> </ul> <p><b>3. Capacity-building projects:</b></p> <ul style="list-style-type: none"> <li>- Goal: to promote Joint projects (aiming at modernising and improving quality and governance of HEIs in partner countries; and structural projects (targeting HEIs and systems in Partner Countries toward promoting regional cooperation and increase convergence with international developments in higher education).</li> <li>- <u>How to apply:</u> Instructions on the application and Calls for Proposals are available on the website of the Executive Agency (EACEA) in Brussels: <a href="https://eacea.ec.europa.eu/erasmus-plus/funding_en">https://eacea.ec.europa.eu/erasmus-plus/funding_en</a> (last accessed 9 December 2016).</li> </ul> | <p><b>1. Students/young researchers:</b></p> <ul style="list-style-type: none"> <li>- Goal: EU-funded scholarships covering participation costs, travel expenses, living allowance and insurance. Scholarships are offered at masters or doctoral (until 2017 intake) level selected in Erasmus+, and offered by a consortium of HEI from EU and non-EU countries. Participation in at least two participating HEIs towards awarding a joint or double/multiple degree.</li> <li>- <u>How to apply:</u> the application runs directly to the consortium, which carries out a competitive selection procedure from scholarship candidates from across the world. For more information please consult the following link: <a href="https://eacea.ec.europa.eu/erasmus-plus/library/scholarships-catalogue_en">https://eacea.ec.europa.eu/erasmus-plus/library/scholarships-catalogue_en</a> (last accessed 9 December 2016).</li> <li>- Students and doctoral candidates who would like to carry out part of their studies in the EU may benefit from cooperation agreements under the scope of Erasmus+.</li> </ul> <p>Short-term credit mobility (up to 12 months) with financial support and academic recognition is possible in the framework of existing Erasmus+ agreements between HEIs. For more information, please contact the international relations office at your home university.</p> |

**Table 8: Opportunities for Higher Education Institutions (HEI) and individuals under Erasmus+**

| Opportunities for Higher Education Institutions (HEI) from LAC countries   | Opportunities for individuals from LAC countries   |
|--|--|
| <p><b>4. Promote excellence in teaching and research in EU studies:</b></p> <p>- Goal: The <u>Jean Monnet Activities</u> foster academic teaching and research (Chairs, Modules and Centres of Excellence), cooperation projects and publications on the field of EU studies. HEIs, organisations and associations worldwide are eligible.</p> <p>- <u>How to apply:</u> Instructions on the application and Calls for Proposals are available on the website of the Executive Agency (EACEA) in Brussels:</p> <p><a href="https://eacea.ec.europa.eu/erasmus-plus/funding_en">https://eacea.ec.europa.eu/erasmus-plus/funding_en</a> (last accessed 9 December 2016).</p> | <p><b>2. Higher Education Institution (HEI) staff:</b></p> <p>- Goal: HEIs from LAC countries may gain access to funding through cooperation agreements with universities in the EU under the scope of Erasmus+.</p> <p>Academics belonging to the HEIs involved in Erasmus+ joint master degree programmes (<a href="https://eacea.ec.europa.eu/erasmus-plus/library/scholarships-catalogue_en">https://eacea.ec.europa.eu/erasmus-plus/library/scholarships-catalogue_en</a>) (last accessed 9 December 2016) may take part as guest lecturers. Academic and administrative staff in HEIs can benefit of short term mobility (5-60 days) for teaching and/or training in European HEIs in the framework of existing Erasmus+ agreements.</p> <p>- <u>How to apply:</u> address yourself to the international relations office at your home university.</p> |

Source: European Commission (2015) Higher Education cooperation between the European Union, Latin America and the Caribbean. Academic cooperation and mobility: bringing the two regions closer. Available from: [https://ec.europa.eu/europeaid/sites/devco/files/higher-education-cooperation\\_en.pdf](https://ec.europa.eu/europeaid/sites/devco/files/higher-education-cooperation_en.pdf) (last accessed 9 December 2016).

Erasmus+ includes a strong international dimension in cooperation with Partner Countries in two main fields: 1) Higher Education; and, 2) Youth. The following table sheds light on the main Actions pursued in these two fields:

**Table 9: Higher Education and Youth under Erasmus+**

| Higher Education  | Youth  |
|---|--|
| <ul style="list-style-type: none"> <li>- International credit mobility of individuals and Erasmus Mundus Joint Master Degrees (under <i>Key Action 1</i>);</li> <li>- Capacity-building in higher education (under <i>Key Action 2</i>), which promotes cooperation and partnerships towards modernisation and internationalisation of institutions and systems;</li> <li>- Support to policy dialogue (under <i>Key Action 3</i>) by means of networks of Higher Education Reform Experts in Partner Countries, notably neighbouring the EU;</li> <li>- Jean Monnet Activities towards the stimulation of teaching, research and reflection in the field of European Union studies worldwide.</li> </ul> | <ul style="list-style-type: none"> <li>- Mobility for young people and youth workers (under <i>Key Action 1</i>) through Youth Exchanges, European Voluntary Service and other cooperation mechanisms with Partner Countries (focus on neighbours of the EU);</li> <li>- Capacity-building in the field of youth (under <i>Key Action 2</i>) towards the cooperation and mobility activities with a positive impact on the development of youth policies and systems. Special attention is paid to Partner Countries from Region 8 (Latin America) and Region 11 (ACP: Africa-Pacific-Caribbean);</li> <li>- Engagement of young people and youth organisations from Partner Countries from EU-neighbouring countries (under <i>Key Action 3</i>) through participation in different dialogue schemes with policy-makers.</li> <li>- Actions are open to Partner Countries, such as: Strategic Partnerships, Knowledge Alliances, Sector Skills Alliances, and Collaborative Partnerships).</li> </ul> |

Source: European Commission (2016) Erasmus+ Programme Guide, 22-23. Available from: [http://ec.europa.eu/programmes/erasmus-plus/documents/erasmus-plus-programme-guide\\_en.pdf](http://ec.europa.eu/programmes/erasmus-plus/documents/erasmus-plus-programme-guide_en.pdf). (last accessed 9 December 2016)

See also: Erasmus+ Programme International Dimension of non-formal Learning: Opportunities in the field of youth. Available from: [http://ec.europa.eu/assets/eac/youth/library/publications/leaflet-international\\_en.pdf](http://ec.europa.eu/assets/eac/youth/library/publications/leaflet-international_en.pdf) (last accessed 9 December 2016).

## How to find and apply for funding opportunities under Erasmus+?

The European Commission publishes annual Calls for Proposals. Any public or private body active in the fields of education, training, youth and sport may apply for funding within the Erasmus+ Programme. In addition, groups of young people who are active in youth work, but not necessarily in the context of a youth organisation, may apply for funding for learning mobility of young people and youth workers as well as for Strategic partnerships in the field of youth.

All those organizations which intend to submit a project proposal in order to receive financial support from the EU under the Erasmus+ Programme must follow the following four steps:

### 1. Register in the Participant Portal:

a) Registration in the Participant Portal (followed by a confirmation of a Participant

Identification Code - PIC),<sup>61</sup>

- b) Upload one document that demonstrates legal status,<sup>62</sup> and another that demonstrates financial capacity.<sup>63</sup>

## **2. Check the compliance rules with the Programme criteria**

## **3. Check the financial conditions**

## **4. Fill in and submit the application form**

Important terms: ECHE: Erasmus Charter for Higher Education (accreditation that is only applicable to European universities) / HEI: Higher Education Institution

## **Creative Europe**

### **Programme description**

Creative Europe is a EU-programme designed to support European cinema and the cultural and creative sectors. It aims at enabling the cultural sector to increase its contribution in the creation of jobs and economic growth. The programme sponsors and provides financial support to artists, cultural and audio-visual professionals and organisations in the performing arts, fine arts, publishing, film, TV, music, interdisciplinary arts, heritage, and the video games industry. Although Creative Europe is originally designed for promoting the cultural stage within the EU, European cultural products could be also fostered in other countries or regions across the world.

### **Participating countries**

The participation in Creative Europe is open to the 28 member states of the EU, in addition to countries from the European Free Trade Association (EFTA: Iceland, Liechtenstein, Norway and Switzerland), to EU candidate and potential candidate countries,<sup>64</sup> and to neighbourhood countries.<sup>65</sup> The Programme shall be open for bilateral or multilateral cooperation actions targeted at selected countries or regions on the basis of additional appropriations paid by, and specific arrangements to be agreed upon with, those countries or regions.

Under these bilateral or multilateral cooperation actions also Latin American and Caribbean countries may benefit from Creative Europe as third countries. Culture

61 The Participant Portal is available here:  
<http://ec.europa.eu/education/participants/portal/desktop/en/home.html> (last accessed 9 December 2016).

62 For further information on legal entities, see:  
[http://ec.europa.eu/budget/contracts\\_grants/info\\_contracts/legal\\_entities/legal\\_entities\\_en.cfm](http://ec.europa.eu/budget/contracts_grants/info_contracts/legal_entities/legal_entities_en.cfm) (last accessed 9 December 2016).

63 For further information on the Financial Identification Form, see:  
[http://ec.europa.eu/budget/contracts\\_grants/info\\_contracts/financial\\_id/financial\\_id\\_en.cfm](http://ec.europa.eu/budget/contracts_grants/info_contracts/financial_id/financial_id_en.cfm) (last accessed 9 December 2016).

64 The following are EU candidate and potential candidate countries: Montenegro, Serbia, the former Yugoslav Republic of Macedonia, Turkey, Albania, Bosnia and Herzegovina, Kosovo.

65 Neighbourhood countries of the European Union: Armenia, Azerbaijan, Belarus, Georgia, Moldova, Ukraine, Algeria, Egypt, Morocco, Tunisia, Jordan, Lebanon, Libya, Palestine, Syria and Israel.

cooperation projects, limited in number and scope, may spend up to 30% of their total budget in countries not participating in the programme.<sup>66</sup>

Article 8 (Chapter 1) of the Regulation (EU) No 1295/2013 of the European Parliament and the Council of 11 December 2013, which establishes the Creative Europe Programme (2014-2020), sheds light into the eligibility criteria for prospective participants.<sup>67</sup>

**Budget:** €1.46 billion

**Period:** 2014-2020

**Website:** [http://ec.europa.eu/programmes/creative-europe/index\\_en.htm](http://ec.europa.eu/programmes/creative-europe/index_en.htm)

(last accessed 9 December 2016).

### **Can individuals apply for funding?**

Creative Europe will not be open to applications from individuals. However, around 2.500 individual artists and cultural and audio-visual professionals will receive funding through projects submitted by cultural organisations.

### **Objectives of Creative Europe**

- To safeguard and to promote European cultural and linguistic diversity, and to foster Europe's cultural richness.
- To contribute to Europe's goals for smart, sustainable and inclusive economic growth.
- To help the cultural and creative sectors to adapt to the digital age and globalisation.
- To open up new international opportunities, markets and audiences.

### **Further information:**

- Opportunities for funding and application procedures:  
[http://eacea.ec.europa.eu/creative-europe/funding\\_en](http://eacea.ec.europa.eu/creative-europe/funding_en) (last accessed 9 December 2016).
- Beneficiaries: [http://eacea.ec.europa.eu/creative-europe/beneficiaries-space\\_en](http://eacea.ec.europa.eu/creative-europe/beneficiaries-space_en)  
(last accessed 9 December 2016).
- Selection results: [http://eacea.ec.europa.eu/creative-europe/selection-results\\_en](http://eacea.ec.europa.eu/creative-europe/selection-results_en)  
(last accessed 9 December 2016).
- Tutorial on financial management of projects:  
[http://eacea.ec.europa.eu/creative-europe/library/e-tutorial-financial-management-your-project\\_en](http://eacea.ec.europa.eu/creative-europe/library/e-tutorial-financial-management-your-project_en) (last accessed 9 December 2016).

<sup>66</sup> However, the payment of an 'entry ticket' is due to prospective participants from third-countries for enabling access into the programme. This is calculated upon the size of their GDP (Gross Domestic Product) in relation to the budget of the programme.

<sup>67</sup> For further information, see: Official Journal of the European Union (2013) *Regulation (EU) No 1295/2013 of the European Parliament and the Council of 11 December 2013 establishing the Creative Europe Programme (2014-2020) and repealing Decisions No 1718/2006/EC, No 1855/2006/EC and No 1041/2009/EC. L 347/221*. Article VIII section 5 and 6. Available from: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2013:347:0221:0237:EN:PDF> (last accessed 9 December 2016). For additional information, see the website of the Education, Audiovisual and Culture Executive Agency of the European Commission: [http://eacea.ec.europa.eu/creative-europe/library/eligibility-organisations-non-eu-countries\\_en](http://eacea.ec.europa.eu/creative-europe/library/eligibility-organisations-non-eu-countries_en) (last accessed 9 December 2016).

**How to apply:**

The Education, Audiovisual and Culture Executive Agency:  
<http://eacea.ec.europa.eu> (last accessed 9 December 2016).

**Euraxess**

Euraxess is an initiative of the European Union to provide access to a complete range of information and support services to researchers who are planning on pursuing their research careers in the EU or stay connected to it. The programme includes the participation of Brazil and other third countries and regions (ASEAN, China, India, Japan, and North America, among others). Euraxess is designed to cater to researchers seeking expert and personalised advice on issues around relocating, such as visa formalities, accommodation, taxation, social security, family/pregnancy, work permits, funding, health/medical care, and intellectual property rights, among others.

Euraxess aims at “better employment and working conditions for researchers throughout Europe, thereby helping to enhance the attractiveness of European research careers. One of the cornerstones of EURAXESS Rights is the implementation of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers. The Human Resources Strategy for Researchers supports the implementation of the “Charter & Code” principles and provides for the award of the ‘HR Excellence in Research’ logo.”<sup>68</sup>

Website: <http://www.euraxess.ec.europa.eu/> (last accessed 9 December 2016).

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68 Source and further information: <https://euraxess.ec.europa.eu/> (last accessed 9 December 2016).

### 3.4 Directorate-General for Internal Market, Industry, Entrepreneurship and SMEs (DG GROW)

#### Presentation and policy background

The Directorate-General for Internal Market, Industry, Entrepreneurship and SMEs (DG GROW) is the European Commission service responsible for completing the internal market for goods and services; helping turn the EU into a smart, sustainable, and inclusive economy. DG GROW is also responsible for fostering entrepreneurship and economic growth by reducing the administrative burden on small and medium-sized enterprises (SMEs), and supporting access to global markets for EU companies.<sup>69</sup>

Some of the priority policy areas of DG GROW are: to promote industrial innovation for the generation of new sources of growth; to support the internationalisation of EU businesses; to provide sector-specific and business-friendly policies; to fortify the industrial sector within the EU; to foster and encourage the development of SMEs and an entrepreneurial culture; to support EU's satellite-based navigation infrastructure and services, among others. It is involved in policies concerning a variety of sectors such as aeronautics industries, chemicals, construction, cosmetics, digital economy, food and drink industry, healthcare industries, mechanical engineering, medical devices, social economy, textiles, fashion, and tourism, among others.

Special focus is placed on issues of Intellectual Property Rights (IPR) given their importance in the face of an increasingly growing knowledge-based economy. The protection of intellectual property is relevant for promoting innovation and creativity, developing employment, and improving capacity towards competitiveness. The Communication of the European Commission from 2011 titled "A Single Market for Intellectual Property Rights: Boosting creativity and innovation to provide economic growth, high quality jobs and first class products and services in Europe"<sup>70</sup> defines the platform for tackling IPR issues within the European Union.

#### Organisational structure

**Commissioner:** Elżbieta Bieńkowska

**Director-General:** Lowri Evans

**Organisation chart:** <http://ec.europa.eu/DocsRoom/documents/18495>

<sup>69</sup> For more information see: [http://ec.europa.eu/growth/about-us/index\\_en.htm](http://ec.europa.eu/growth/about-us/index_en.htm) (last accessed 8 November 2016).

<sup>70</sup> Source: European Commission (2011) *Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions: A Single Market for Intellectual Property Rights: Boosting creativity and innovation to provide economic growth, high quality jobs and first class products and services in Europe*. Brussels. Available from: <http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52011DC0287&from=EN> (last accessed 8 November 2016).

(last accessed 8 November 2016).

**Website:** <http://ec.europa.eu/growth/> (last accessed 8 November 2016).

## Tools

The policies pursued by DG GROWTH are embedded within the framework of the industrial and sectorial policies of the flagship Europe 2020 initiative<sup>71</sup> and its implementation. The latter is the European Union's ten-year strategy for creating the conditions for smart, sustainable and inclusive growth. It covers areas such as employment, research and development, climate/energy, education, social inclusion and poverty reduction.

DG GROWTH supports the performance of SMEs by means of the Small Business Act (SBA),<sup>72</sup> which provides the platform for simplifying the regulatory and policy environment for SMEs, and removing the remaining barriers to favour their development. In addition, DG GROWTH generates policies on the protection and enforcement of Industrial Property Rights (IPR), and aims to harmonize the EU position and negotiations in the international field of property rights. The programmes Copernicus (European Earth observation satellite system) and Galileo (European global navigation satellite system) for the coordination of the EU's space policy complete the picture of DG GROWTH.

## International dimension

DG GROWTH is committed to a versatile policy dialogue with its partner countries and regions worldwide. It not only promotes sustainable development with the governments of its Mediterranean and Eastern partners, the Association of Southeast Asian Nations (ASEAN), and the Asia-Europe Meeting (ASEM), but also with the Latin American and Caribbean region. The main focus of interest is placed on policies on entrepreneurship, space policy and tourism. Additionally, the European Commission fosters the internationalisation of EU businesses across the globe.<sup>73</sup>

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71 For more information on the Europe 2020 strategy, see: [http://ec.europa.eu/europe2020/index\\_en.htm](http://ec.europa.eu/europe2020/index_en.htm) (last accessed 8 November 2016).

72 For more information on the Small Business Act (SMA), see: [http://ec.europa.eu/growth/smes/business-friendly-environment/small-business-act/index\\_en.htm](http://ec.europa.eu/growth/smes/business-friendly-environment/small-business-act/index_en.htm) (last accessed 8 November 2016).

73 In October 2010, DG GROWTH in cooperation with other European agencies published an *Overview of EU Instruments contributing to the Internationalisation of European Enterprises*. For further information, see: <http://errin.eu/sites/default/files/publication/media/Overview%20of%20EU%20Instruments.pdf> (last accessed 8 November 2016) (the document includes policy instruments currently in place not only in Latin American countries, but also with other third countries and regions outside the European Union).

## Relations with Latin America

DG GROWTH has contributed to the cooperation schemes between the European Union and Latin America through initiatives that primarily target small businesses. Some of these initiatives have included Missions for Growth (in operation between 2011 and 2014) for supporting the domestic and international performance of SMEs in Latin American countries. The missions were led by Antonio Tajani, former European Commission Vice-President (responsible for industry and entrepreneurship), who visited several Latin American countries from 2011 to 2014 to renew and confirm the framework for their relations with the EU. The missions included Chile, Brazil, Argentina, Uruguay, Mexico, Colombia, Peru, Panama and Paraguay.

Also the European Cluster Collaboration Platform (ECCP)<sup>74</sup> contributes to enhance the EU-LAC bi-regional cooperation relations. The ECCP is embedded within the European Cluster Excellence Initiative and is an online platform that provides quality information and networking support for clusters (organisations and members) aiming to improve their performance and increase their competitiveness through the stimulation of trans-national and international cooperation. Currently, Brazil<sup>75</sup> and Chile<sup>76</sup> are the Latin American international partners of this initiative.

The action “Cluster Go International” seeks to intensify cluster and business network collaboration across borders and sectoral boundaries and to support the establishment of European Strategic Cluster Partnerships – Going International (ESCP-4i)<sup>77</sup> to lead international cluster cooperation in fields of strategic interest – notably in support of the development of emerging industries. Several cluster partnerships have identified Latin American countries as potential international partners.

Concretely in Mexico and Brazil, the Low Carbon Business Action<sup>78</sup> focuses on establishing cooperation partnership agreements between EU and Brazilian/Mexican businesses with a view to prepare joint business ventures that result in low carbon technology solutions and reflect the interests of both parties.

More recently, in 2015 DG GROWTH announced the expansion of its Mercosur Helpdesk to include the following Latin American countries: Argentina, Bolivia, Brazil, Chile,

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74 For more information on the European Cluster Collaboration Platform, see: <http://www.clustercollaboration.eu/> (last accessed 8 November 2016).

75 Learn more about the participation of Brazil in the European Cluster Collaboration Platform here: <http://www.clustercollaboration.eu/tags/brazil> (last accessed 8 November 2016).

76 For further information on the participation of Chile in this programme, see: <http://www.clustercollaboration.eu/tags/chile> (last accessed 8 November 2016).

77 For more information, see: <http://www.clustercollaboration.eu/eu-cluster-partnerships> (last accessed 8 November 2016).

78 For Mexico, see: [www.lowcarbon.mx](http://www.lowcarbon.mx) (last accessed 8 November 2016). / For Brazil, see: [www.lowcarbonbrazil.com](http://www.lowcarbonbrazil.com) (last accessed 8 November 2016).

Colombia, Costa Rica, Cuba, El Salvador, Guatemala, Honduras, Mexico, Nicaragua, Panama, Paraguay, Peru, Uruguay and Venezuela. The Helpdesk is now called Latin America IPR SME Helpdesk<sup>79</sup> and offers advice on intellectual property issues through its Helpline, in addition to personal counselling, online training, and other e-learning materials. The Helpdesk is free of charge and will be implemented gradually in the website of DG GROWTH.

## Relations with Brazil

DG GROWTH has established regulatory and industrial policy dialogues with many of the EU's strategic partners.<sup>80</sup> By doing so, the European Commission strives to achieve convergence on regulatory issues for facilitating the establishment of EU SMEs on the international stage. DG GROWTH has engaged in a privileged and multifaceted policy dialogue with Brazil. As part of the strategic partnership between the European Union and Brazil<sup>81</sup> since 2007, DG GROWTH has developed a cooperation platform featuring various dialogues and summits towards enhancing the support for an exchange scheme for entrepreneurs from both parties. The Communication from the Commission to the European Parliament and the Council titled Towards an EU-Brazil Strategic Partnership<sup>82</sup> builds the platform for setting up a common agenda in the framework of a bilateral policy dialogue.

DG GROWTH conducts four main policy instruments embedded within the strategic partnership between the EU and Brazil, as follows:

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79 For updated information, contact details, conditions and services provided the Latin America IPR SME Helpdesk, please visit the following website: <http://www.ipr-hub.eu/> (last accessed 8 November 2016).

80 Currently, the European Union holds 10 bilateral strategic partnerships with the following countries: Brazil, Canada, China, India, Japan, Mexico, Russia, South Africa, South Korea and the United States. The European Strategic Partnership Observatory (ESPO), a project of the think tank FRIDE and Egmont Institute, provides information, monitoring and analysis on the EU's relations with these countries. For more information on the ESPO, see: <http://strategicpartnerships.eu/> (last accessed 8 November 2016).

81 For more information on the EU relations with Brazil, see the website of the European External Action Service (EEAS): [http://www.eeas.europa.eu/brazil/index\\_en.htm](http://www.eeas.europa.eu/brazil/index_en.htm) (last accessed 8 November 2016).

82 Source: Commission of the European Communities (2007) *Communication from the Commission to the European Parliament and the Council: Towards an EU-Brazil Strategic Partnership*. Brussels. COM (2007) 281 final. Brussels. Available from: <http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52007DC0281&from=EN> (last accessed 8 November 2016).

**Table 10: EU-Brazil strategic partnership: policy instruments of DG-GROWTH**

| Policy instrument  | Description   |
|--|---|
| EU-Brazil Business Summits   | <p>The regular EU-Brazil Business Summits, involving small and medium-sized enterprises (SMEs), are organised by business to reinforce their communication with government. DG GROWTH is a key speaker. The summits report to, and are organised back-to-back with the EU-Brazil Summits, which are political in nature. Find the outcome of this instrument in the Joint statements from the summits here: <a href="http://ec.europa.eu/DocsRoom/documents?locale=en&amp;tags=EU-Brazil_Business_Summits">http://ec.europa.eu/DocsRoom/documents?locale=en&amp;tags=EU-Brazil_Business_Summits</a> (last accessed November 8, 2016)</p>  |
| EU-Brazil Summits  | <p>EU-Brazil Summits are held at government level and involve heads of state. At the Seventh EU-Brazil Summit held on 24 February 2014, a Joint Statement on the inaugural meeting of the Ad-Hoc Working Group on Economic Themes (focusing on investment and competitiveness) was signed. Both the EU and Brazil are developing activities to prepare for the Eighth EU-Brazil Summit.</p>   |
| EU-Brazil Connect  | <p>The CONNECT programme ended in October 2015. It was a programme targeted at new European entrepreneurs whose businesses had the potential to grow internationally.* Selected new entrepreneurs had the opportunity to travel to an experienced host entrepreneur, work alongside and learn from him/her. The programme was initiated by DG GROWTH and coordinated at European level by the European Business and Innovation Centre Network (EBN).**</p>  |
| EU-Brazil dialogues  | <p>The aim of these dialogues is to promote sustainable development by enhancing economic, social and environmental links; to promote science, technology and innovation; and to promote investment and competitiveness. DG GROWTH has engaged in dialogues in various economic sectors with Brazilian partners (for example: textiles and clothing sector). Furthermore, it has channelled a dialogue in tourism involving public and private stakeholders. Finally, DG GROWTH has promoted a dialogue on space including earth observation and science, satellite communications, space science and space exploration. This dialogue will also intensify the discussions and exchange of information on European satellite navigation programmes (Galileo and EGNOS) and comparable initiatives in Brazil, and aims to conclude an international agreement on the issue</p> |
| <p>*) For further information on CONNECT, see: <a href="http://www.eubrazilconnect.com/">http://www.eubrazilconnect.com/</a> (last accessed 8 November 2016).</p>  |   |
| <p>**) For further information on the European Business and Innovation Centre Network (EBN), see: <a href="http://ebn.eu/">http://ebn.eu/</a> (last accessed 20 December 2016).</p>  |   |
| <p style="text-align: right;">Source: DG GROWTH<br/> <a href="http://ec.europa.eu/growth/industry/international-aspects/cooperation-governments/eu-brazil/index_en.htm">http://ec.europa.eu/growth/industry/international-aspects/cooperation-governments/eu-brazil/index_en.htm</a><br/>                     (last accessed 8 November 2016).</p> |   |

## Programmes

### ***Missions for Growth***

#### **Programme description**

The Directorate-General (DG) for Internal Market, Industry, Entrepreneurship and SMEs has contributed to the cooperation mechanisms between the European Union and Latin American countries in the framework of the bi-regional strategic partnership in place since 1999. The promotion and support of small businesses builds the cornerstone of the initiatives in Latin America funded by the European Commission through DG GROWTH. The programme Missions for Growth targets small and medium-sized enterprises (SMEs), and provides support for the development of their activities. It supports the internationalisation and competitiveness of EU enterprises.

The programme is based on a series of high-level political and business meetings to discuss common strategies concerning the fields of activities pursued by DG GROWTH. The European Commission expects a better communication and promotion of the EU's policies on industry and enterprises in the context of the globally intertwined economy. The Missions do not deal with specific trade policy issues, but aim at facilitating the dialogue with third countries in cooperation with the European External Action Service (EEAS<sup>83</sup>), European entrepreneurs and political authorities.

Among the multiple objectives of Missions for Growth, the following stand out:

- “To strengthen cooperation between EU and other countries and regions of the world by combining political meetings with a business dimension (door-opening/prepare steps to match-finding) on Enterprise and Industry policy issues.
- To enhance cooperation in areas of mutual interest of Enterprise & Industry Policy (through signature of political documents in various sectors such as industrial cooperation, innovation, standardisation, clusters, entrepreneurship, raw materials, SMEs, space, tourism).
- To better understand the business climate in other countries and regions of the world, promote business/investments there – seen through the lenses of European business, EU officials get a better understanding of business environment in other countries.
- To promote the internationalisation of European companies, including of course SMEs.
- To show and promote Europe as an investment opportunity for business: the external marketing of Europe's internal market.”<sup>84</sup>

<sup>83</sup> For further information on the policy fields dealt with by the European External Action Service, see: <http://www.eeas.europa.eu/> (last accessed 8 November 2016).

<sup>84</sup> Source: website of Missions for Growth <http://een.ec.europa.eu/content/missions-growth> (last accessed 8 November 2016).

**Website of Missions for Growth:**

<http://een.ec.europa.eu/content/missions-growth>

**How do Missions for Growth work?**

Mission destinations are planned in advance in cooperation with European business federations and official diplomatic channels of the target countries. The date and location of the Missions are often aligned with already existing events such as business fairs or international conferences. Companies are required to come up for their own costs for accommodation and travel expenses. DG GROWTH can assist in logistic issues such as securing group bookings and to coordinate the use of local transport facilities. The Enterprise Europe Network<sup>85</sup>, a key instrument in the EU's strategy to strengthen growth and job creation, keeps European companies updated on the Missions for Growth. Non-EU countries are encouraged to offer networking lunches or business cocktails related to this programme.

The programme is usually a combination of political meetings open to the participation of companies to set up a framework for the articulation of their concerns on issues such as market access and business environment factors. The Missions include briefing meetings for the participating companies on ways to set up their businesses in their host countries, as well as B2B meetings for bringing together local and visiting companies. A successful Mission includes a visit to different cities and concludes with a stopover in an economic hub or an industrial area in the target country to assess real cooperation options. In general, a business delegation is made up by around 60 and up to 120 companies. The participants range from small to medium-sized enterprises and European and national business associations.

A successful programme of a Mission for Growth is composed of five main elements:

1. European team building / warming-up meeting
2. Political meetings and signature of letters of intent
3. B2B meetings for European companies and companies of the visited country
4. Information about the business environment of the visited country
5. Thematic visits

***Enterprise Europe Network (EEN)*****Programme description**

The Enterprise Europe Network is a key instrument in the EU's strategy to boost growth and jobs. It combines international business expertise with local knowledge and helps

85 For further and detailed information on the Enterprise Europe Network, see: <http://een.ec.europa.eu/about/about> (last accessed 8 November 2016).

ambitious European businesses to innovate, to increase their competitiveness and to expand their business internationally inside Europe and in growth markets beyond the EU.

The network brings together over 600 business support organisations in more than 60 countries<sup>86</sup>, including chambers of commerce and industry, research centres, universities and development agencies.

The Enterprise Europe Network offers a wide variety of services for small and medium-sized enterprises (SMEs) ranging from international partnership services (business cooperation, technology transfer, innovation and research projects) and information and advisory services (i.e. innovation support services, Intellectual Property Rights (IPR); access to international markets; access to finance; feedback from EU-based SMEs concerning EU initiatives and EU legislation).<sup>87</sup>

The network also features sector groups in the following 17 areas: Aeronautics and Space; Agro-food; Automotive, Transport and Logistics; Biochemical Technologies, Creative Industries; Environment; Healthcare; ICT Industry & Services; Intelligent Energy; Maritime Industry and Services; Materials; Nano and micro technologies; Services and Retail; Sustainable Construction; Textile & Fashion; Tourism and Cultural Heritage; and, Women Entrepreneurship.<sup>88</sup>

**Website:** <http://een.ec.europa.eu/>

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86 It covers the 28 EU Member States and more than 30 non-EU States: For the full list, see: <http://een.ec.europa.eu/about/branches> (last accessed 8 November 2016).

87 For detailed information on the services provided by the Enterprise European Network, see: <http://een.ec.europa.eu/services/overview> (last accessed 8 November 2016).

88 Find out more about the sector groups supported by Enterprise Europe Network here: <http://een.ec.europa.eu/about/sector-groups> (last accessed 8 November 2016).

**Table 11: Latin American countries in the Enterprise Europe Network**

| Participant country | Contact points   |
|---------------------|--|
| Argentina           | <ul style="list-style-type: none"><li>- Eurocámara Argentina</li><li>- National Council for Scientific and Technological Research</li><li>- Ministry of Science, Technology and Productive Innovation</li><li>- Argentine Industrial Union</li></ul> |
| Brazil              | <ul style="list-style-type: none"><li>- Confederação Nacional de Indústria</li><li>- Instituto Brasileiro de Informação em Ciência e Tecnologia (IBICT)</li><li>- Iniciativa da (CNI) Confederação Nacional da Indústria (SENAI)</li></ul>           |
| Chile               | <ul style="list-style-type: none"><li>- Fundación Empresarial Comunidad Europea-Chile</li></ul>  |
| Mexico              | <ul style="list-style-type: none"><li>- Consejo Nacional de Ciencia y Tecnología (CONACYT)</li><li>- ProMéxico</li><li>- Tecnológico de Monterrey</li></ul>  |
| Paraguay            | <ul style="list-style-type: none"><li>- Eurocámara del Paraguay</li><li>- Unión Industrial Paraguaya</li><li>- Ministerio de Industria y Comercio</li></ul>  |
| Peru                | <ul style="list-style-type: none"><li>- Cámara Nacional de Comercio, Producción, Turismo y Servicios</li><li>- Lima Chamber of Commerce</li><li>- Peru Export and Tourism Promotion Board</li><li>- ESAN University</li></ul>                        |

Source: <http://een.ec.europa.eu/about/branches> (last accessed 8 November 2016).

More countries of Central and South America might be covered in the future – a call for expressions of interest from 3<sup>rd</sup> countries is open for the years 2015-2020: [http://ec.europa.eu/easme/business-cooperation-centres\\_en.htm](http://ec.europa.eu/easme/business-cooperation-centres_en.htm)

For updated information on the current activities conducted under the scope of Enterprise Europe Network, you may contact the responsible contact points in the countries you are interested in. A directory with a full list of all contact points for every partner country can be accessed here:

<http://een.ec.europa.eu/about/branches> (last accessed 8 November 2016).

### **Latin America IPR SME Helpdesk**

#### **Programme description**

The Latin America IPR SME Helpdesk is a project, co-funded by the European Commission, and implemented from July 2015 to January 2018 by a consortium of 8 organisations from the European Union and Latin America.

**Table 12: Consortium members of the Latin America IPR SME Helpdesk**

| Partners from Latin America   | Partners from the European Union   |
|---|--|
| <ul style="list-style-type: none"><li>- Instituto Dannemann Siemsen (Brazil)</li><li>- Instituto Nacional de Propiedad Intelectual (Chile)</li><li>- Instituto Tecnológico de Monterrey (Mexico)</li><li>- Eurochile (Chile)</li><li>- Senior Experts from Latin American countries</li></ul> | <ul style="list-style-type: none"><li>- University of Alicante (General Coordinator) (Spain)</li><li>- Eurochambres (Belgium)</li><li>- Instituto Nacionale da Propriedade Industrial (Portugal)</li></ul> |

Source: <http://www.latinamerica-ipr-helpdesk.eu> (last accessed 8 November 2016).

The Latin America IPR SME Helpdesk provides European SMEs with free of charge, first-line support on IP and IP rights matters related to Latin American countries. The project thus aims to facilitate the expansion of European SMEs already established at, or working with entities in Latin America, as well as those potentially interested in establishing commercial and Research and Development (R&D) activities and ventures in these countries.<sup>89</sup>

In addition, the Latin America IPR SME Helpdesk is interested in being a reference for the SMEs and other agencies in Latin America providing access to its publications, newsletters, and information about IPR in Europe.<sup>90</sup>

This project includes the following Latin American and Caribbean countries: Argentina, Bolivia, Brazil, Chile, Colombia, Costa Rica, Cuba, Ecuador, El Salvador, Guatemala, Honduras, Mexico, Nicaragua, Panama, Paraguay, Peru, Uruguay, and Venezuela. In addition to the Latin America IPR SME Helpdesk, the Mercosur IPR SME Helpdesk also provides advice and support to stakeholders interested in issues on Intellectual Property Rights in member states of Mercosur.<sup>91</sup>

In addition to the Helpline, which guarantees free, confidential and rapid answers (within three working days) to any inquiry regarding Intellectual Property rights matters; the Helpdesk Factsheets provide SMEs with an overview of key matters related to Intellectual Property in each specific country. The Online Library disposes also of useful related videos and links and webinars (i.e. virtual lectures delivered by partners and external experts, followed by an interactive time for questions). To stay updated to the latest IP, business-focused news and events, registered members may also subscribe to the Latin America IPR SME Helpdesk newsletter.

<sup>89</sup> For further information on the advising activities of the Latin America IPR and SMEs Helpdesk, see the factsheets entailed in the following website: <http://www.latinamerica-ipr-helpdesk.eu/factsheet> (last accessed 8 November 2016).

<sup>90</sup> For further information, see: <http://www.latinamerica-ipr-helpdesk.eu/es/content/am%C3%A9rica-latina-corner> (last accessed 8 November 2016).

<sup>91</sup> Learn more about the Mercosur IPR and SMEs Helpdesk here: <http://www.latinamerica-ipr-helpdesk.eu/content/mercosur-ipr-sme-helpdesk-nutshell> (last accessed 8 November 2016).

## Contact details

**Website:** <http://www.latinamerica-ipr-helpdesk.eu/> (last accessed 8 November 2016).

### Latin America IPR SME Helpdesk headquarters in Spain

**Address:** University of Alicante, Campus San Vicente del Raspeig, Edificio Torre de Control, 03690 Alicante, Spain

**Phone:** +34 96 590 9684

**Email:** [head\\_office@latinamerica-ipr-helpdesk.eu](mailto:head_office@latinamerica-ipr-helpdesk.eu)

**Office hours:** Monday - Friday 9:00 -16:30 (CEST)

### Latin America IPR SME Helpdesk Office in Brazil

**Address:** Rua Marquês de Olinda, 70 – Botafogo.  
Rio de Janeiro-RJ, CEP 22251-040

**Phone:** +55 21 2237-8728

**Email:** [brazil@latinamerica-ipr-helpdesk.eu](mailto:brazil@latinamerica-ipr-helpdesk.eu)

**Office hours:** 9h00 - 18h00 (GMT-3)

### Latin America IPR SME Helpdesk Office in Mexico

**Address (1):** c/del Puente 222 Ejidos de Huipulco  
Tlalpan 14380, Mexico City, Federal District

**Phone:** +52 (55) 5483-2252

**Email:** [mexico@latinamerica-ipr-helpdesk.eu](mailto:mexico@latinamerica-ipr-helpdesk.eu)

**Working hours:** 9h30-18h30 (GMT-5)

**Address (2):** Avenida Eugenio Garza Lagüera & Rufino Tamayo  
Valle Oriente, San Pedro Garza García, 66269, Nuevo León, México

**Phone:** +52 (81) 86256000

**Email:** [mexico@latinamerica-ipr-helpdesk.eu](mailto:mexico@latinamerica-ipr-helpdesk.eu)

**Office hours:** 9h00-17h30 (GMT-5)

### Latin America IPR SME Helpdesk Office in Chile

**Address:** Galvarino Gallardo 1690, Providencia, Santiago

**Phone:** (56-2) 2 787 8422 – 2 787 8400

**Email:** [chile@latinamerica-ipr-helpdesk.eu](mailto:chile@latinamerica-ipr-helpdesk.eu)

**Office hours:** 9h30-18h30 (GMT-3)

### 3.5 Directorate-General for Regional and Urban Policy (DG REGIO)

#### Presentation and policy background

The Directorate-General for Regional and Urban Policy (DG REGIO) is responsible for designing and implementing the EU regional policy, both at the EU level and with other regions.<sup>92</sup> This regional policy targets all regions and cities within the European Union aiming at supporting job creation, business competitiveness, economic growth, sustainable development, and improving the quality of life of its citizens.

In order to achieve these goals and address the development needs in the EU and beyond, a total of € 351.8 billion has been allocated to the Cohesion Policy 2014-2020.<sup>93</sup> The Cohesion Policy targets investments on key growth priorities and focuses on the following thematic areas: (1) Research and Innovation; (2) Information and Communication Technologies (ICT); (3) Enhancing the competitiveness of small and medium-sized enterprises (SMEs); and, (4) Supporting the shift towards a low-carbon economy.

Regional Policy in the European Union is based on three main funding sources: (1) the European Regional Development Fund (ERDF)<sup>94</sup>: which aims at strengthening economic and social cohesion in the European Union by tackling imbalances among its regions; (2) the Cohesion Fund,<sup>95</sup> which fosters sustainable economic development and is aimed at EU-member states whose Gross National Income (GNI) per habitant is less than 90% of the overall EU average; and, (3) the European Social Fund (ESF), which mainly focuses on individuals and seeks to improve employment and education opportunities for tackling the risk of poverty among the most vulnerable population across the European Union.

#### Organisational Structure

**Commissioner:** Corina Creţu

**Director-General:** Walter Deffaa

#### Organisational chart:

[http://ec.europa.eu/regional\\_policy/sources/dgs/organigramme\\_en.pdf](http://ec.europa.eu/regional_policy/sources/dgs/organigramme_en.pdf)

**Website:** [http://ec.europa.eu/dgs/regional\\_policy/index\\_en.htm](http://ec.europa.eu/dgs/regional_policy/index_en.htm)

92 For further information, see: European Commission (2016) REGIO Management Plan 2016. Available from: [http://ec.europa.eu/atwork/synthesis/amp/doc/regio\\_mp\\_2016\\_en.pdf](http://ec.europa.eu/atwork/synthesis/amp/doc/regio_mp_2016_en.pdf) (last accessed 8 November 2016).

93 For more information on the Cohesion Policy 2014-2020, please refer to the following website: [http://ec.europa.eu/regional\\_policy/sources/docgener/informat/basic/basic\\_2014\\_en.pdf](http://ec.europa.eu/regional_policy/sources/docgener/informat/basic/basic_2014_en.pdf) (last accessed 8 November 2016).

94 For further information on the European Regional Development Fund (ERDF), see: [http://ec.europa.eu/regional\\_policy/en/funding/erdf/](http://ec.europa.eu/regional_policy/en/funding/erdf/) (last accessed 8 November 2016).

95 Learn more about the Cohesion Fund (CF) here: [http://ec.europa.eu/regional\\_policy/en/funding/cohesion-fund/](http://ec.europa.eu/regional_policy/en/funding/cohesion-fund/) (last accessed 8 November 2016).

## Tools

The Regional Policy of DG REGIO has a strong impact on many policy fields within and outside the action scope of the European Union. In particular, the investment and funds allocated to the EU's Regional Policy deliver results in the fields of education, employment, energy, environment, the EU single market, but also research and innovation. In particular, the policies pursued by DG REGIO are closely linked to the goals of the programme Horizon 2020 and the Europe 2020 Strategy<sup>96</sup> for smart, sustainable and inclusive growth in the European Union until 2020.

The Europe 2020 Strategy is the concrete EU's ten-year growth strategy that tackles ambitious goals in policy areas such as employment, innovation, poverty reduction and environment via climate and energy. It is broken down into three main components with seven flagship initiatives, namely: (1) Smart growth (Digital agenda for Europe / innovation Union / Youth on the move); (2) Sustainable growth (Resource efficient Europe/ An industrial policy for the globalisation era); and (3) Inclusive growth (An agenda for new skills and jobs / European platform against poverty).

## International Dimension

DG REGIO acts at the international level in cooperation with the European External Action Service (EEAS), with the Directorate General for International Cooperation and Development (DG DEVCO), and with the Directorate General Trade (DG Trade). The European Union has a strong interest in delivering its regional cohesive policy dialogue across and beyond its territory. To achieve this goal, it co-finances integrated, national or regional investment programmes with a strong financial and technical participation of the EU member states and institutions.

Based on the European integration process, the DG REGIO has observed some policy elements that contribute to the increasing regional cohesiveness within the EU, and which contribute to the integration of third regions. Some of these observations are promoting a favourable economic framework; advancing tailored strategies combining different policies, establishing a stable budget and coherent programming; fostering cross-border cooperation; highlighting the role of small and medium-sized towns and local centres; improving capacity building initiatives as well as local employment; strengthening institutional support; and developing an appropriate framework for multi-level governance.<sup>97</sup>

<sup>96</sup> For more information on the Europe 2020 Strategy (2010-2020), see: [http://ec.europa.eu/europe2020/index\\_en.htm](http://ec.europa.eu/europe2020/index_en.htm) (last accessed 8 November 2016).

<sup>97</sup> Source: Office of the Official Publications of the European Union (2009) *European Union Regional Policy: European*

## Bi-regional policy dialogue with Latin American Regional Organisations

Although the Regional Policy platform of DG REGIO mainly tackles internal issues of the European Union, there is an important international component to this Directorate-General. The policy dialogue between the EU and its Latin American counterparts covers some of the most relevant fields of their respective integration processes, such as cross-border and inter-regional cooperation; regional innovation; and, competitiveness and sustainable urban development, among others. The DG REGIO has established regional policy dialogues with Brazil (2007), Argentina (2012), Chile (2010), Peru (2013), Mexico (2014), the Central American Integration System SICA (2015),<sup>98</sup> and Colombia (2015).

### Central American Integration System (SICA)

On the bi-regional level, the High Level Meeting between the European Union and the member states of the Central American Integration System<sup>99</sup> (SICA), which took place in Brussels on 11 June 2015, expressed the interest in deepening the cooperation agreements between the two regions. The latter reinforces the scope of the already existing bi-regional cooperation arrangements, which are in place since the San José Dialogue (1984).<sup>100</sup> The cooperation schemes include a number of policy instruments embedded within the EU-Central America Political Dialogue and Cooperation Agreement (PDCA),<sup>101</sup> which was signed in 2003 and entered into force in 2014 with an indefinite duration. The agreement includes Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua and Panama. Furthermore, it advances policies on regional integration through democracy, respect for human rights, good governance, higher economic growth and gradual improvement of quality of life, among others.

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*Regional Policy, an inspiration for Countries outside the EU?: Applying the principles, sharing the lessons, exchanging experience.* Available from: [http://ec.europa.eu/regional\\_policy/sources/docgener/presenta/international/external\\_en.pdf](http://ec.europa.eu/regional_policy/sources/docgener/presenta/international/external_en.pdf) (last accessed 8 November 2016).

98 For further information on the Central American Integration System (SICA), see: <http://www.sica.int/> (last accessed 8 November 2016).

99 For more information on the outcome of the High Level Meeting between the European Union and the member states of the Central American Integration System, see: High level meeting between the EU and the member states of the Central American Integration System (2015) Joint Communiqué. Brussels. Available from: <http://www.consilium.europa.eu/en/press/press-releases/2015/06/11-eu-sica-meeting/> (last accessed 8 November 2016).

100 For further information on this topic, see: Political Dialogue and Cooperation agreement between the European Community and its member states, of the one part, and the republics of Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua and Panama, of the other part (2003). Available from: <http://ec.europa.eu/world/agreements/prepareCreateTreatiesWorkspace/treatiesGeneralData.do?step=0&redirect=true&treatyId=2121> (last accessed 8 November 2016). / See also: Official Journal of the European Union (1999) Framework Cooperation Agreement between the European Economic Community and the Republic of Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua and Panama. Available from: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:1999:063:0039:0053:EN:PDF> (last accessed 8 November 2016) For further information, see also: [http://www.eeas.europa.eu/ca/index\\_en.htm](http://www.eeas.europa.eu/ca/index_en.htm) (last accessed 8 November 2016).

101 For further information on this agreement, see: <http://ec.europa.eu/world/agreements/prepareCreateTreatiesWorkspace/treatiesGeneralData.do?step=0&redirect=true&treatyId=2121> (last accessed 8 November 2016).

## Mercado Común del Sur (Mercosur) / Mercado Comum do Sul (Mercosul)

Also the EU and Mercosur<sup>102</sup> engage in a bi-regional policy platform that tackles issues such as the globalisation of markets, increasing trade openness, and regional and territorial development. The main objectives of bi-regional cooperation include cooperation in the exchange of information on geographically targeted policies that contribute to growth, competitiveness, employment, and sustainable territorial development. Additionally, the platform takes into consideration multi-level governance and the exchange of experience on developing regional strategies and methodologies of multi-annual programming and implementation, among others.

### Bilateral policy dialogue with Latin American countries

On the bilateral level, the European Commission through the DG REGIO has established regional policy dialogues and concluded Memoranda of Understanding with the following Latin American countries: Argentina, Brazil, Chile, Colombia, Mexico, and Peru.

#### Argentina

The arrangements between DG REGIO and the Secretariat of Provinces of the Ministry of Interior of the Argentine Republic were set up as a bilateral policy dialogue. This dialogue was advanced within the policy framework attained at the EU-Argentina Framework Agreement for Trade and Economic Cooperation and the EU-Argentina Work Programme adopted by the Joint Committee on September 28, 2010. The main thematic areas of cooperation are regional innovation systems and cross-border cooperation. The latter policies include the promotion of economic growth, multi-level governance schemes, planning and evaluation procedures and methods, among others.<sup>103</sup>

#### Brazil

Brazil and DG REGIO signed a Memorandum of Understanding<sup>104</sup> to set up a common platform on regional policy aiming at fostering mutual understanding and sharing of best practices at the bilateral level in the policy field of regional integration. The regional policy framework is embedded within the EU-Brazil strategic partnership,<sup>105</sup> which was set up in 2007 as an important bilateral policy framework for sharing information and experience. In concrete, the regional policy dialogue deals with issues such as territorial cohesion

102 Learn more about Mercosur here: <http://www.mercosur.int/> (last accessed 8 November 2016).

103 Learn more about the cooperation instruments in place between DG REGIO and Argentina here: [http://ec.europa.eu/regional\\_policy/de/policy/cooperation/international/latin-america/argentina/](http://ec.europa.eu/regional_policy/de/policy/cooperation/international/latin-america/argentina/) (last accessed 8 November 2016).

104 Source: Memorandum of Understanding on Regional Policy Cooperation between the Ministry of National Integration of the Federative Republic of Brazil and the European Commission (2007). Available from: [http://ec.europa.eu/regional\\_policy/sources/international/pdf/mou\\_brazil\\_en.pdf](http://ec.europa.eu/regional_policy/sources/international/pdf/mou_brazil_en.pdf) (last accessed 8 November 2016).

105 For more information on the EU-Brazil strategic partnership, see: [http://europa.eu/rapid/press-release\\_IP-07-725\\_en.htm?locale=en](http://europa.eu/rapid/press-release_IP-07-725_en.htm?locale=en) (last accessed 8 November 2016).

and social and regional inequalities reduction, policies on growth, competitiveness and employment, governance and partnership, planning and evaluation mechanisms.<sup>106</sup>

## **Chile**

The exchange of letters of intent from 2010 supports the bilateral approach to regional integration policies between the European Commission via DG REGIO and the Office for Regional and Administrative Development of Chile (SUBDERE).<sup>107</sup> The bilateral work programme on regional strategies is based on the EU-promoted multi-level governance and decentralisation schemes, which advance policies on regional cohesion, integration and innovation within Chile. Additionally, cross-border cooperation is rooted into the bilateral dialogue and takes into account the experiences of the European integration process.<sup>108</sup>

## **Colombia**

Since June 15th, 2015, the European Union and Colombia have a new international cooperation agreement on regional and urban policies via the exchange of letters of intent<sup>109</sup>. The agreement foresees a platform that includes the exchange of experiences and good practices in several fields in the face of the post-conflict situation in Colombia. The most relevant policy areas entailed in the regional dialogue concern the field of innovation and technological development; cross-border, transnational and interregional cooperation; implementation and monitoring of cross-border development and integration policies; promotion of a stronger and decentralised administrative capacity at the regional and municipal levels; implementation of multi-level governance mechanisms; and, the promotion of sustainable economic development with emphasis on Small and Medium-sized Enterprises (SMEs).<sup>110</sup>

## **Peru**

DG REGIO and the Ministry of External Relations of the Republic of Peru engage in a regional and urban policy dialogue by means of the exchange of letters of intent since

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106 Find out more about the bilateral cooperation mechanisms between DG REGIO and Brazil here: [http://ec.europa.eu/regional\\_policy/de/policy/cooperation/international/brazil/](http://ec.europa.eu/regional_policy/de/policy/cooperation/international/brazil/) (last accessed 8 November 2016)

107 Source: Letter of intent on a regional policy dialogue between the Directorate-General for Regional Policy of the European Commission and the Under-Secretariat of Regional and Administrative Development of the Government of Chile (2010). Available from: [http://ec.europa.eu/regional\\_policy/sources/cooperate/international/pdf/chile\\_intent\\_en.pdf](http://ec.europa.eu/regional_policy/sources/cooperate/international/pdf/chile_intent_en.pdf) (last accessed 8 November 2016).

108 For further information on the bilateral policy dialogue between DG REGIO and Chile, see: [http://ec.europa.eu/regional\\_policy/de/policy/cooperation/international/latin-america/chile/](http://ec.europa.eu/regional_policy/de/policy/cooperation/international/latin-america/chile/) (last accessed 8 November 2016).

109 Source: Letter of intent on a dialogue on regional policy and cross-border integration between the Ministry of External Relations of the Republic of Colombia and the Directorate-General for Regional and Urban Policy of the European Commission (2015). Available from: [http://ec.europa.eu/regional\\_policy/sources/cooperate/international/pdf/colombia\\_letter\\_en.pdf](http://ec.europa.eu/regional_policy/sources/cooperate/international/pdf/colombia_letter_en.pdf) (last accessed 8 November 2016).

110 For further information on the policy dialogue between DG REGIO and Colombia, see: [http://ec.europa.eu/regional\\_policy/de/policy/cooperation/international/latin-america/colombia/](http://ec.europa.eu/regional_policy/de/policy/cooperation/international/latin-america/colombia/) (last accessed 8 November 2016).

2013.<sup>111</sup> The two parties expressed their interest in sharing relevant information and good practices on policies fostering economic, social and territorial cohesion, innovation and technological development. In addition, the policy platform includes support in the field of cross-border, transnational and interregional cooperation; especially through decentralised policies tackling border integration, capacity building, Corporate Social Responsibility (CSR) at the territorial and local levels.<sup>112</sup>

## How to find funding opportunities?

Regional Policy is delivered through three main funding sources: the European Regional Development Fund (ERDF),<sup>113</sup> the Cohesion Fund (CF)<sup>114</sup> and the European Social Fund (ESF).<sup>115</sup> There are various projects, studies and similar activities in the field of regional policies under the scope of DG REGIO. Please mind that each one of these initiatives has its own rules for participation and eligibility; most of these resources are limited to entities in the EU. You can find online and updated information on the most recent Calls for Proposals and Call for Tenders in the following links:

### **Calls for Proposals:**

[http://ec.europa.eu/regional\\_policy/en/newsroom/funding-opportunities/calls-for-proposal/](http://ec.europa.eu/regional_policy/en/newsroom/funding-opportunities/calls-for-proposal/) (last accessed 8 November 2016);

### **Call for Tenders:**

[http://ec.europa.eu/regional\\_policy/en/newsroom/funding-opportunities/calls-for-tender/](http://ec.europa.eu/regional_policy/en/newsroom/funding-opportunities/calls-for-tender/) (last accessed 8 November 2016).

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111 Source: Letter of intent on a regional policy and border integration dialogue between the Directorate-General for Regional and Urban policy of the European Commission and the Ministry of Foreign Affairs of the Republic of Peru (2013). Available from: [http://ec.europa.eu/regional\\_policy/sources/cooperate/international/pdf/peru\\_intent\\_en.pdf](http://ec.europa.eu/regional_policy/sources/cooperate/international/pdf/peru_intent_en.pdf) (last accessed 8 November 2016).

112 For additional information on the regional bilateral policy dialogue between the European commission and Peru, see: [http://ec.europa.eu/regional\\_policy/de/policy/cooperation/international/latin-america/peru/](http://ec.europa.eu/regional_policy/de/policy/cooperation/international/latin-america/peru/) (last accessed 26 January 2016).

113 Learn more about the European Regional Development Fund (ERDF) here: [http://ec.europa.eu/regional\\_policy/en/funding/erdf/](http://ec.europa.eu/regional_policy/en/funding/erdf/) (last accessed 8 November 2016).

114 For further information on the Cohesion Fund (CF) of the European Commission, see: [http://ec.europa.eu/regional\\_policy/en/funding/cohesion-fund/](http://ec.europa.eu/regional_policy/en/funding/cohesion-fund/) (last accessed 8 November 2016).

115 Find out more about the European Social Fund (ESF) here: <http://ec.europa.eu/esf/home.jsp> (last accessed 8 November 2016).

### 3.6 DG RTD

#### Directorate-General Research and Innovation

#### Presentation and policy background

The Directorate-General for Research and Innovation (DG RTD) is responsible for defining and implementing the European Union (EU) policy on Research and Innovation (R&I) according to the EU's ten-year jobs and growth strategy (Europe 2020 Strategy).<sup>116</sup> DG RTD focuses on a strategic approach towards innovation, knowledge and ideas as key drivers of economic growth, job creation and social cohesion (Innovation Union).<sup>117</sup> In addition, DG RTD promotes the conditions for consolidating the European Research Area (ERA), an open space for knowledge which enables researchers, research institutions and businesses to work and co-operate across borders.<sup>118</sup>

#### Organisational Structure of the DG-RTD

**Commissioner:** Carlos Moedas

**Director-General:** Robert-Jan Smits

#### Organisation chart:

[http://ec.europa.eu/research/dgs/pdf/organisation\\_en.pdf#view=fit&pagemode=none](http://ec.europa.eu/research/dgs/pdf/organisation_en.pdf#view=fit&pagemode=none)  
(last accessed 7 December 2016)

#### Tools

The EU Research Framework Programmes (FPs) are the main instruments employed by the European Union to implement its common science and technology policy by funding research projects. Starting from FP1 (1984-1988) to the 7<sup>th</sup> FP (2007-2013), the FPs are prepared by the European Commission in consultation with EU Member States. Over the years, their budget has increased gradually while their thematic guidelines have changed in accordance with the EU's political and budgetary priorities. The 8<sup>th</sup> programme generation is called Horizon 2020 (also referred to as H2020) covering the period 2014-2020.

116 After the European crisis, the European Commission designed this strategy in 2010, in order to turn the EU into a smart, sustainable and inclusive economy delivering high levels of employment, productivity and social cohesion, see: European Commission (2010) EUROPE 2020, A strategy for smart, sustainable and inclusive growth. Brussels. Available from: <http://eurlex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2010:2020:FIN:EN:PDF> (last accessed 7 December 2016).

117 For further details, see: European Commission (2011) EUROPE 2020 Flagship Initiative Innovation Union. Brussels. Available from: [https://ec.europa.eu/research/innovation-union/pdf/innovation-union-communication-brochure\\_en.pdf](https://ec.europa.eu/research/innovation-union/pdf/innovation-union-communication-brochure_en.pdf) (last accessed 7 December 2016).

118 European Commission (2012) Communication from the European Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions. A Reinforced European Research Area Partnership for Excellence and Growth. COM(2012) 392 final. Brussels. Available from: [https://ec.europa.eu/research/era/pdf/era-communication/era-communication\\_en.pdf](https://ec.europa.eu/research/era/pdf/era-communication/era-communication_en.pdf) (last accessed 7 December 2016).

## International Dimension

In the past, the international orientation of DG RTD was carried out through a specific programme. However, it was later integrated into the Fourth Research Framework Programme as the International Cooperation Programme (INCO). Currently, international cooperation in research and innovation has a strategic approach and it is a crosscutting priority of Horizon 2020 (2014-2020).

The European Commission issued the Communication titled Enhancing and focusing EU international cooperation in research and innovation: a strategic approach,<sup>119</sup> in which it calls for a systematic and coherent identification of priorities for the international dialogue on cooperation; within the Horizon 2020 programme implementation.

The dialogue between the EU and its partner countries should therefore be based on synergies and complementarities in research and innovation capacity, fostering opportunities for gaining access to emerging markets. In addition, all EU activities in the field of research and innovation should comply with international arrangements such as the Sustainable Development Goals, also referred to as the 2030 Agenda. Likewise, the EU is committed to developing adequate administrative and legal mechanisms to ensure an optimal framework for engaging in cooperation with partner countries and/or regions.

Besides promoting international cooperation through research projects and networks, the EU conducts bilateral and bi-regional policy dialogues on science, technology and innovation.

### Bilateral policy dialogues on Science and Technology with CELAC countries

The EU has bilateral agreements in the field of Science and Technology (S&T) with a number of countries across the world.<sup>120</sup> Within the CELAC four countries are included, namely: Argentina, Brazil, Chile and Mexico.

These agreements provide an institutional platform and establish regular meetings of a Steering Committee, which offers opportunities for developing bilateral policy dialogues and promoting, monitoring and steering cooperation. The outcome of the Steering

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119 In September 2012, the European Commission issued a Communication titled Enhancing and focusing EU international cooperation in research and innovation: a strategic approach laying out a new strategy in view of the implementation of Horizon 2020. This communication is available from: [http://ec.europa.eu/research/iscp/pdf/policy/com\\_2012\\_497\\_communication\\_from\\_commission\\_to\\_inst\\_en.pdf#view=fit&pagemode=none](http://ec.europa.eu/research/iscp/pdf/policy/com_2012_497_communication_from_commission_to_inst_en.pdf#view=fit&pagemode=none) (last accessed 7 December 2016).

120 For instance: Algeria, Argentina, Australia, Brazil, Canada, Chile, China, Egypt, India, Japan, Jordan, Korea, Mexico, Morocco, New Zealand, Russia, South Africa, Tunisia, Ukraine and United States of America. For further information, see: <https://ec.europa.eu/research/iscp/index.cfm?pg=countries> (last accessed 7 December 2016).

Committee is reflected in a Roadmap, which is a rolling agenda for the further cooperation between the EU and the partner country.

## **Argentina**

The EU and Argentina cooperate in the field of S&T since the 3<sup>rd</sup> Framework Programme (1990-1994).<sup>121</sup> Later in 1999 both parties signed a Science and Technology Cooperation Agreement for creating an institutional foundation for a wide variety of knowledge-centred cooperation.<sup>122</sup>

This agreement has a validity of five years and is renewed after an external evaluation for the following five years (the last renewal was in 2011). The thematic priorities for cooperation established in the last Road Map (2011/2012)<sup>123</sup> were: Health; Food, Agriculture, Fisheries and Biotechnology; Environment; Transport; Social Sciences and Humanities; Nanotechnology; Information and Communications Technologies (ICT); and Energy.

In addition, the Argentine Bureau for Enhancing Cooperation with the European Community in Science, Technology and Innovation (ABEST III)<sup>124</sup> is a project that provides a platform to improve and expand S&T cooperation activities between Argentina and the EU. ABEST III operates within the Ministry of Science, Technology and Productive Innovation through its National Directorate of International Relations. In 2015 Argentina signed a cooperation agreement with the European Research Council (ERC)<sup>125</sup> to encourage top Argentinian scientists to participate in research teams led by ERC grant holders.

## **Brazil**

The Bilateral Agreement for scientific and technological cooperation between the European Union and the Federative Republic of Brazil<sup>126</sup> came into force in 2007. It was renewed for additional five years in 2012.

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121 For additional information on the EU-Argentina cooperation in Science and Technology, please visit the following website from the European Commission: <http://ec.europa.eu/research/iscp/index.cfm?pg=argentina> (last accessed 7 December 2016).

122 For further information, see: Official Journal of the European Communities (1999) Agreement for scientific and technological cooperation between the European Union and the Argentine Republic, Official Journal of the European Communities. [http://ec.europa.eu/research/iscp/pdf/policy/argentina\\_agreement.pdf#view=fit&pagemode=none](http://ec.europa.eu/research/iscp/pdf/policy/argentina_agreement.pdf#view=fit&pagemode=none) (last accessed 7 December 2016).

123 For further information, see: [http://ec.europa.eu/research/iscp/pdf/policy/argentina\\_roadmap\\_2011-2012.pdf#view=fit&pagemode=none](http://ec.europa.eu/research/iscp/pdf/policy/argentina_roadmap_2011-2012.pdf#view=fit&pagemode=none) (last accessed 7 December 2016).

124 ABEST III was created in October 2005 with partial funding from the FP6 of the European Union. In 2009, the second phase was approved with partial budget of the FP7 and in 2012 the third phase of the project began, with a duration of 36 months. For further information, see: <http://en.mincyt.gob.ar/accion/abest-iii-argentine-bureau-for-enhancing-cooperation-with-the-european-union-6458> (last accessed 7 December 2016).

125 The ERC encourages high quality research in Europe through competitive funding. ERC welcomes international talent and expertise. For further information, see: <https://erc.europa.eu/about-erc> (last accessed 7 December 2016).

126 For additional information on the EU-Brazil cooperation in Science and Technology, please refer to the following website from the European Commission: <https://ec.europa.eu/research/iscp/index.cfm?lg=en&pg=brazil> (last accessed 7 December 2016).

The EU and Brazil have a Roadmap for Cooperation (2014)<sup>127</sup> including the following thematic priorities: disaster prevention and crisis management; sustainable development of natural resources (forests and water), energy; food security; bio-economy; Information and Communication Technologies (ICT), such as geo-information and space applications; and nanotechnologies. Furthermore, bilateral cooperation was reinforced under the Horizon 2020 programme, and covers the following priority areas: Marine research and bio-economy, food security, sustainable agriculture; Energy; Nanotechnology; and Information and Communication Technologies (ICT).

To support the policy dialogue with Brazil, the European Commission funds, through H2020, a coordination and support action – INCOBRA. The project intends to increase cooperation patterns by supporting networks among Brazilian and EU R&I actors, enhance framework conditions and identify emerging topics and opportunities in priority areas for cooperation.

Although Horizon 2020 is open to international participation, not all international partners are automatically eligible for funding. This is the case of industrialised countries such as Brazil. To support the participation of Brazilian entities in H2020 collaborative actions, different funding schemes are being set up in several Brazilian states through the existing Research Foundations (FAP). By November 2016, eight State Research Foundations have joined this co-funding mechanism and other States are expected to also participate<sup>128</sup>.

Additionally, Brazilian participants are encouraged to contact all relevant Brazilian research and innovation funding bodies or organisations such as the National Research Council (CNPq), the Ministry of Science, Technology, Innovation and Communications (MCTIC), the Funding Authority for Studies and Projects (FINEP) or the Brazilian Agency for Industrial Research and Innovation (EMBRAPPI) in order to seek funding for their participation in Horizon 2020.

In January 2013 Brazil signed a Memorandum of Understanding with the Joint Research Centre (JRC) for hosting Brazilian researchers at the EU's JRC under the Brazilian 'Science without Borders'<sup>129</sup> mobility scheme.

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127 Learn more here: European Commission (2014) *Report from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions: implementation of the strategy for international cooperation in research and innovation*. Brussels. Available from: [http://ec.europa.eu/research/iscp/pdf/policy/annex\\_roadmaps\\_sep-2014.pdf](http://ec.europa.eu/research/iscp/pdf/policy/annex_roadmaps_sep-2014.pdf) (last accessed 7 December 2016).

128 For further information see: <http://ec.europa.eu/research/iscp/index.cfm?pg=brazil> (last accessed 7 December 2016).

129 Science without Borders is a large-scale nationwide scholarship programme primarily funded by the Brazilian federal government. The programme seeks to strengthen and expand the initiatives of science and technology, innovation and competitiveness through international mobility of undergraduate and graduate students and researchers.

Brazil has an agreement for cooperation with the European Atomic Energy Community in the field of fusion energy research with the aim of intensifying cooperation between the Parties in the areas covered by their respective fusion programs, on the basis of mutual benefit and overall reciprocity, in order to develop the scientific understanding and technological capability underlying a fusion energy system.

In October 2016, the EC and the Brazilian National Council of State Funding Agencies signed an agreement aiming to encourage Brazilian scientists to undertake short or long-term research visits, in Europe, and collaborate with ERC-funded teams<sup>130</sup>. It is the 8th arrangement of its kind and the third one with Latin American countries, after similar agreements with Argentina and Mexico signed in 2015.

Under FP7, Brazilian entities participated 217 times in 165 signed grant agreements, receiving a total EU contribution of € 31.3 million. 1881 Brazilian researchers have been sponsored through the Marie Skłodowska-Curie Actions (2007-2013) and Brazilian institutions have participated in 187 projects.

## **Chile**

The European Union and Chile<sup>131</sup> actively engage in a bilateral cooperation dialogue on policies on Science and Technology. An Agreement for S&T cooperation was signed in 2002 and established a platform for cooperation including regular meetings under the scope of a Steering Committee. These meetings offer opportunities for developing an advanced bilateral policy dialogue, in addition to setting up a mechanism for monitoring and coordinating cooperation.

The European Framework Programmes (currently Horizon 2020) are used as policy instruments toward the common implementation of the Agreement. Some of the key thematic areas of common interest for cooperation are sustainable mining, polar research, environment and climate change, renewable energy, ICT, disaster management, biotechnology. In these areas, Chile has an important scientific base.

Between 2013-2015, the CEST+I<sup>132</sup> bilateral project provided an intense support to enhancing cooperation between the EU and Chilean researchers, by promoting the creation of networks and joint research projects and disseminating the opportunities of

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130 The text of the implementing arrangement is available here: <https://erc.europa.eu/sites/default/files/document/file/agreement-EC-CONFAP.pdf> (last accessed 7 December 2016).

131 For additional information on the EU-Chile cooperation in Science and Technology, please refer to the following website from the European Commission: <http://ec.europa.eu/research/iscp/index.cfm?lg=en&pg=chile> (last accessed 7 December 2016).

132 <http://www.sti-cooperation.cl/> (last accessed 7 December 2016).

cooperation. Chile is also an important participant in the ALCUE-Net<sup>133</sup> project (2012-2017), which aims to support the STI policy dialogue between the EU and the CELAC region.

## **Mexico**

The Bilateral Agreement for S&T cooperation between the EC and Mexico<sup>134</sup> was signed in 2004 and came into force in 2005. It was renewed in 2010 and in 2015 for additional five years. The objective of this agreement is to facilitate and carry out scientific and technological research and development activities jointly. The agreement was signed between the National Council of Science and Technology of Mexico (CONACYT) and the DG RTD.

In the framework of Horizon 2020, participants from Mexico are no longer automatically eligible for funding. In 2014 Mexico was the first partner country to create a complementary funding called CONACYT-Horizon 2020 for financing Mexican partners in successful projects of Horizon 2020.<sup>135</sup> All areas are accepted, however the priority areas are: health (diabetes, obesity and infectious diseases), energy, technological development (advanced materials, nanotechnology, advanced manufacture, ICT), environment (climate change, water management and natural disaster prevention), sustainable development (food security, urban development), and society.

The EU – Mexico Bilateral Innovation Initiative (EU-MEX-INNOVA)<sup>136</sup> is a project which seeks to develop and strengthen collaborations between the two sides to cope with societal challenges and industrial technologies through international cooperation; it includes the areas of climate change, food security, sustainable development, clean energy, health and transport, by making science, research and innovation proceed more rapidly and more cost-effectively.

In 2015 Mexico signed a cooperation agreement with the European Research Council (ERC)<sup>137</sup> to encourage top Mexican scientists to participate in research teams led by ERC grant holders.

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133 <http://alcuenet.eu/> (last accessed 7 December 2016).

134 For additional information on the EU-Mexico cooperation in Science and Technology, please visit the following website from the European Commission: <http://ec.europa.eu/research/iscp/index.cfm?lg=en&pg=mexico> (last accessed 7 December 2016).

135 For further information, see: <http://www.conacyt.mx/index.php/comunicacion/comunicados-prensa/301-conacyt-publica-convocatoria-para-apoyar-la-participacion-de-entidades-mexicanas-en-el-programa-h2020-de-la-union-europea> (last accessed 7 December 2016).

136 For further information, see: <http://conacyt.gob.mx/pci/index.php/eumexinnova1> (last accessed 7 December 2016).

137 The ERC encourages high quality research in Europe through competitive funding. For further information, see: <https://erc.europa.eu/about-erc> (last accessed 7 December 2016).

## EU-LAC bi-regional cooperation in the field of Science, Technology and Innovation

The European Commission cooperates with other regions worldwide in the area of science, technology and innovation by articulating a complex policy dialogue with various stakeholders at different levels.

The institutionalised cooperation in this field with Latin America and the Caribbean dates back to the First EU-LAC Summit of Heads of State and Government in Rio de Janeiro, Brazil, in 1999. The Summit gave birth to the Strategic Partnership between the European Union, Latin America and the Caribbean to deepen bi-regional relations and develop a joint global vision. This was reaffirmed in the EU-LAC Summit of Guadalajara 2004 with the political decision on promoting a 'EU-LAC Knowledge Area' (Art. 93)<sup>138</sup>. The Declaration of the Summit of Vienna 2006 reinforced this decision in Article 53 defining "[...] a common area for science, technology and innovation."<sup>139</sup>

Between 2007 and 2013 during the 7<sup>th</sup> Framework Programme for Research and Technological Development (FP7),<sup>140</sup> cooperation was strengthened with LAC countries.<sup>141</sup> In total, FP7 funded the participation of 734 partner institutions from Latin American and Caribbean countries, mainly in the areas of Environment; Food, Agriculture and Biotechnology; Information and Communications Technology (ICT) and Health for a total budget of 95.6 million euro.

Horizon 2020 has continued to foster cooperation in the field of Research, Innovation and Technology with third countries and regions and up to October 2016 has contributed to the funding of 87 collaborative projects.

### Most recent developments (2010-2016)

Since the Summit of Rio 1999, a complex political and policy dialogue on Science and Technology (S&T) between the EU and LAC countries has gone through a significant widening and deepening process. The policy coordination on S&T has been a relevant

138 For further information, see: III EU-LAC Summit of Heads of State and Government (2004) EU-CELAC Declaration of Guadalajara. [http://www.eulacfoundation.org/en/system/files/2004\\_EN\\_Gdj\\_Decl.pdf](http://www.eulacfoundation.org/en/system/files/2004_EN_Gdj_Decl.pdf) (last accessed 7 December 2016).

139 Source: Summit of Heads of State and Government (2006) Declaration of Vienna. Vienna. Available from: [https://eulacfoundation.org/en/system/files/2006\\_EN\\_Vienna\\_Decl.pdf](https://eulacfoundation.org/en/system/files/2006_EN_Vienna_Decl.pdf) (last accessed 7 December 2016).

140 For more information on the 7th Framework Programme for Research and Technological Development, please consult the following website of the European Commission: [https://ec.europa.eu/research/fp7/understanding/fp7inbrief/what-is\\_en.html](https://ec.europa.eu/research/fp7/understanding/fp7inbrief/what-is_en.html) (last accessed 7 December 2016).

141 Formerly, the 7th Framework Program for Research and Technological Development (FP7) from 2007-2012, supported 3 054 participants from third countries, to whom €360 million (or 2.3%) of the EC budget was allotted. Of this total, €70.09 million went to Latin American participants.

topical issue leading to the articulation of a common set of priorities as expressed in the joint Action Plans, which in addition to the Political Declarations constitute the outcome of the bi-regional summits.

The Action Plan of the Madrid Summit 2010, titled 'Towards a new stage in the bi-regional partnership: innovation and technology for sustainable development and social inclusion',<sup>142</sup> confirmed the common EU-LAC agenda for S&T. In fact, the focus was placed primarily on 'Science, research, innovation and technology' for adopting a joint institutionalised approach towards the EU-LAC Knowledge Area.

The main areas for cooperation between the EU and Latin America in Science and Technology are the following: Biodiversity/Climate change, Bio-economy, Energy, and Health. Building on the existing cooperation between the two regions, a EU-CELAC Joint Initiative for Research and Innovation (JIRI) was adopted by the VI Madrid Summit of Heads of State and Government in 2010, aiming at delivering greater benefits from the bi-regional scientific cooperation. The JIRI contributes to articulate the bi-regional political dialogue in the face of the EU-LAC strategic partnership.<sup>143</sup>

The Senior Officials Meetings (SOM) with EU-CELAC representatives were established as a regular bi-regional dialogue on Research and Innovation (R&I) to consolidate EU-CELAC cooperation towards the implementation of the JIRI. The SOM actively contributes to updating common priorities, encouraging mutual policy-learning as well as ensuring the proper implementation and effectiveness of the cooperation instruments in place.

Six Working Groups were created in different policy areas; each one chaired by one country from each region, as follows:

- 1) Bio-economy and food security (co-chaired by Argentina and France);
- 2) Environment/Biodiversity and climate change (co-chaired by Colombia and France);
- 3) Technologies of information and telecommunications (co-chaired by Chile and Finland);
- 4) Renewable energy (co-chaired by Mexico and Spain);
- 5) Health (co-chaired by Brazil and Spain); and,
- 6) Working Group on Transversal Aspects (co-chaired by Mexico and Portugal).

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142 For further information, see: Council of the European Union (2010) EU-LAC SUMMIT, Madrid, 18 May 2010. Towards a new stage in the bi-regional partnership: innovation and technology for sustainable development and social inclusion. Madrid Action Plan 2010-2012. Brussels. 10449/10 REV 1 Presse 150. Available from: [http://eulacfoundation.org/en/system/files/2010\\_EN\\_Madrid\\_Action\\_Plan.pdf](http://eulacfoundation.org/en/system/files/2010_EN_Madrid_Action_Plan.pdf) (last accessed 7 December 2016).

143 For a detailed overview of documents concerning the political dialogue that derived into the creation of the JIRI (Joint Initiative for Research and Innovation), please consult the following website: <http://alcuenet.eu/policy.php> (last accessed 7 December 2016).

The political interest in maintaining a close policy dialogue was also captured in the Action Plan of the EU-CELAC Summit of Santiago, 2013. In fact, the first section dedicated to 'Science, research, innovation and technology' establishes a policy dialogue towards the 'EU LAC Knowledge Area' through the following actions:

“ [...] i) improving cooperation in research and innovation; ii) strengthening scientific and technological capacities, and infrastructures; iii) to enable sustainable research, innovation and knowledge sharing taking into account the contribution of ancestral and traditional knowledge; iv) to boost the use of new technologies and technology transfer underpinning sustainable socio-economic development and v) to foster cooperation between both regions as regards the digital-economy and the reduction of the digital divide for improving competitiveness while making social inclusion a cross-cutting issue.”<sup>144</sup>

The EU-CELAC Summit 2015 held in Brussels confirmed the strategic role of research and innovation in the bi-regional partnership and called for a strengthened cooperation by moving towards a Common Research Area (CRA). In addition, the Action Plan 2013-2015 also included a new section on Higher Education, upgrading the scope of bi-regional cooperation to a higher level in terms of the expansion of the joint agenda already in place.

The inclusion of Higher Education among the priority areas of the EU-LAC strategic partnership evidences the strong commitment reached towards the EU-LAC CRA.

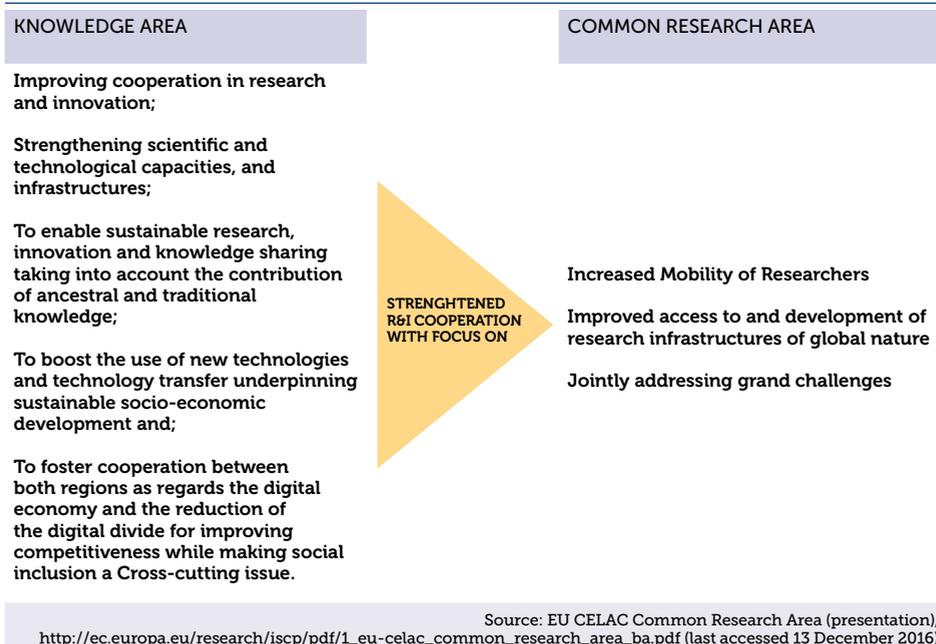
To follow-up on this, the 5th JIRI Senior Officials Meeting of March 2016 officially launched the Common Research Area, under the pro Tempore Presidency of CELAC held by the Dominican Republic. Senior Officials agreed to build the CRA on three strategic pillars: mobility of researchers, access to research infrastructures and jointly addressing common challenges, while capitalising on the existing networks and partnerships created through EU funded projects.

The following graph presents the new impetus given to R&I bi-regional cooperation with the move towards the Common Research Area and the focus on clear and strategic priorities of interest for both regions.

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<sup>144</sup> Source: Council of the European Union (2013) EU-CELAC Action Plan 2013-2015. Santiago. 5748/13 Presse 32. Available from: [http://www.eeas.europa.eu/la/summits/docs/2013\\_santiago\\_summit\\_eu-celac\\_action\\_plan\\_en.pdf](http://www.eeas.europa.eu/la/summits/docs/2013_santiago_summit_eu-celac_action_plan_en.pdf) (last accessed 7 December 2016).

## Graph 2. EU-LAC Common Research Area



### Horizon 2020 (2014-2020)

#### Programme description

Horizon 2020 is the largest EU Research and Innovation programme, with “nearly €80 billion of funding targeted to research projects available over 7 years (2014 to 2020), in addition to the private investment that this money will attract. It promises more breakthroughs, discoveries and world-firsts by taking great ideas from the lab to the market.”<sup>145</sup>

H2020 is open to the world. This means that the programme not only supports participants from the EU but it also engages participants from non-EU countries regardless of their place of establishment or residence. H2020 fosters the creation of consortia. A consortium<sup>146</sup> consists of at least 3 organisations from different EU Member States or Associated countries (see corresponding lists of countries below). H2020 is based on three Key Sections:<sup>147</sup> (1) Excellent science, (2) Industrial leadership, and (3) Societal

<sup>145</sup> Source: <http://ec.europa.eu/programmes/horizon2020/what-horizon-2020> (last accessed 7 December 2016).

<sup>146</sup> For detailed information on how to set up a consortium and on the required steps thereto, see: European Commission / Directorate-General for Research & Innovation (2015) *Guidance: How to draw up your consortium agreement (Version 2.0 from February 23, 2015)*. Available from: [http://ec.europa.eu/research/participants/data/ref/h2020/other/gm/h2020-guide-cons-a\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/other/gm/h2020-guide-cons-a_en.pdf) (last accessed 7 December 2016).

<sup>147</sup> For full information on these three key sections and their individual components, see: <http://ec.europa.eu/programmes/horizon2020/h2020-sections> (last accessed 7 December 2016).

challenges. Some calls have been identified as particularly suitable for Latin American and Caribbean countries;<sup>148</sup> in particular those in the Key Action Societal Challenges, and in many cases particular countries or regions are targeted (if a region or country is targeted in a call, the participation of entities from those countries or regions is encouraged and in some cases mandatory to set up a consortium).

The European Commission itself does not undertake technological research and development projects, nor does it directly take part in such projects (except via its Joint Research Centre). The cooperation platform of the European Commission is mostly restricted to providing financial support to the selected research projects. Project proposals must be submitted in response to specific research calls. Moreover, the partners involved must satisfy all of the eligibility criteria and their proposal must meet the scientific, thematic and formal requirements set forth in the call for project proposals.

**Budget:** €80 billion

**Duration:** 2014-2020

**Website:** <https://ec.europa.eu/programmes/horizon2020/>

(last accessed 7 December 2016)

#### **Key reference documents:**

The websites below include all the key reference documents that are relevant to Horizon 2020 and the 7<sup>th</sup> Framework Programme for Research and Technological Development (FP7).<sup>149</sup> These vary from legal documents and the European Commission work programmes for research and innovation to the grant agreements and guidelines for specific actions. Please bear in mind that these documents are clustered in different categories.

Reference documents for H2020 and additional programmes:

[http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference\\_docs.html](http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html) (last accessed 13 December 2016).

#### **Participating countries**

Applicants from EU member states and associated countries as well as countries from Latin America and the Caribbean are eligible to participate and apply for funding, although various regulations are to be considered. Associated countries in this context are the countries that contribute financially to the H2020 budget. Hence, they can participate and receive funding on exactly the same basis as EU member states, providing them with equal footing with the latter.

148 For more information, see: [http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/international-cooperation\\_en.htm](http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/international-cooperation_en.htm) (last accessed 7 December 2016).

149 For more information on the 7th Framework Programme for Research and Technological Development (FP7), see: [https://ec.europa.eu/research/fp7/understanding/fp7inbrief/what-is\\_en.html](https://ec.europa.eu/research/fp7/understanding/fp7inbrief/what-is_en.html) (last accessed 7 December 2016).

Prospective participants from non-EU countries, also referred to as third countries, are able to participate in the H2020 programme - even if the Calls for Proposals or topic text do not state this explicitly. Please bear in mind that different Rules for Participation may apply in every Call for Proposal. Hence, third countries are not always automatically eligible for funding depending on the specific regulations. All applications must meet the minimum conditions in the Rules for Participation as established in the EU Regulation of the European Parliament and of the Council of 11 December 2013.<sup>150</sup>

**Legal entities established in the following countries are automatically eligible to receive funding in the framework of Horizon 2020:**

- Member States of the European Union, including their overseas departments.<sup>151</sup>
- Associated Countries – non-EU countries that participate financially in the H2020 budget so that they are put on the same level as EU member states. The following are Associated Countries: Albania, Armenia, Bosnia and Herzegovina, Faroe Islands, Georgia, Former Yugoslav Republic of Macedonia, Iceland, Israel, Moldova, Montenegro, Norway, Serbia, Switzerland, Tunisia, Turkey and Ukraine.
- Funding for International Organisations
- Organisations from EU member states and Associated Countries, whose objective is to promote scientific and technological cooperation in Europe, are automatically eligible.
- List of non-EU countries annexed to each work programme: Argentina, Belize, Bolivia, Chile, Colombia, Costa Rica, Cuba, Dominica, Dominican Republic, Ecuador, El Salvador, Grenada, Guatemala, Guyana, Haiti, Honduras, Nicaragua, Panama, Paraguay, Peru, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, Suriname, Uruguay and Venezuela.

Non-EU applicants that are NOT automatically eligible: Industrialised Countries<sup>152</sup> and Emerging Economies<sup>153</sup> such as the BRICS (Brazil, Russia, India, China and South Africa) and Mexico (funding opportunities for Brazil and Mexico are made possible through specific co-funding mechanisms mentioned above).

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150 For further information, see: Official Journal of the European Union (2013) Regulation (EU) No 1290/2013 of the European Parliament and the Council of 11 December 2013 laying down the rules for participation and dissemination in "Horizon 2020 – the Framework Programme for Research and Innovation (2014-2020)" and repealing Regulation (EC) No 1906/2006. Available from: [http://ec.europa.eu/research/participants/data/ref/h2020/legal\\_basis/rules\\_participation/h2020-rules-participation\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/legal_basis/rules_participation/h2020-rules-participation_en.pdf) (last accessed 7 December 2016).

151 The following are the Overseas Departments of the European Union: Anguilla, Aruba, Bermuda, Bonaire, British Virgin Islands, Cayman Islands, Curacao, Falkland Islands, French Guyana, French Polynesia, Greenland, Guadeloupe, Martinique, Mayotte, Montserrat, New Caledonia, Pitcairn Islands, Reunion Island, Saba, Saint Barthélemy, Saint Helena, Saint Pierre and Miquelon, Scattered Islands, Saint Eustatius, Saint Maarten, South Georgia and South Sandwich Islands, Turks and Caicos Islands and Wallis and Futuna.

152 The following are categorized as industrialised countries: Australia, Canada, Israel, Japan, New Zealand, Republic of Korea, and United States.

153 Under FP7 the official nomenclature referred to as International Cooperation Partner Countries (ICPC).

### **Applicants from these countries may be granted funding if:**

- Funding is provided for in a bilateral agreement or a similar arrangement between the EU and the country where the applicant is based;
- The Call for Proposals<sup>154</sup> clearly states that applicants based in such countries are eligible for funding; or,
- Their participation is deemed essential for carrying out the action by the Commission or the relevant funding body because it provides: Outstanding competence/expertise; access to research infrastructure; access to particular geographical environments; and access to data.

### ***Prospective participants in Horizon 2020***

Prospective participants from Latin American and Caribbean countries may benefit and find interesting funding opportunities if they belong to the following groups:

- Research groups at universities or research institutes,
- Companies, small or medium-sized enterprises (SMEs),<sup>155</sup>
- Associations,
- Public or governmental administrations,
- Individual researchers (early-stage, experienced),
- Institutions running research infrastructures,
- Civil society,<sup>156</sup> and,
- Organizations and researchers from third countries and international organizations.

### **How to register for Horizon 2020?**

It is necessary to register under the ECAS System (European Commission Authentication Service). This gives access to the funding portal, where it is possible to register the organisation and search for partners. ECAS allows registered users to gain access to multiple information systems that belong to the European Commission.<sup>157</sup>

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154 Please consult the Participant Portal for more information: <https://ec.europa.eu/research/participants/portal/desktop/en/opportunities/index.html> (last accessed 7 December 2016).

155 In order to count as an SME, your organization must be engaged in an economic activity and comply with the following requirements: have fewer than 250 employees and an annual turnover of no more than €50 million and/or a balance sheet of no more than €43 million.

156 The Manual for Civil Society Organisations provides prospective participants from the realm of civil society with additional information on their participation in the European Research and Innovation Framework Programme Horizon 2020. For further information, see: [https://ec.europa.eu/research/swafs/pdf/pub\\_public\\_engagement/manual\\_H2020\\_NGOs\\_Sept\\_2014.pdf](https://ec.europa.eu/research/swafs/pdf/pub_public_engagement/manual_H2020_NGOs_Sept_2014.pdf) (last accessed 7 December 2016).

157 To access to the ECAS system, see: [https://ec.europa.eu/europeaid/funding/about-grants/how-apply-grant/applicant-registration-pador/ecas-registration\\_en](https://ec.europa.eu/europeaid/funding/about-grants/how-apply-grant/applicant-registration-pador/ecas-registration_en) (last accessed 7 December 2016).

To sign up to the ECAS System you must choose a login name and set a password. Once your account has been set up, you will be asked to return to the PADOR (Potential Applicant Data On-Line Registration)<sup>158</sup> webpage and either update or create a PADOR profile. PADOR is an online database in which organisations register as prospective applicants for different types of calls. Once an organisation is registered, no re-submission of information is separately required, and a unique identification number (known as EuropeAid ID or PADOR number) is assigned to the organisation.

### How to find funding opportunities?

Several funding opportunities are made available periodically and electronically via the Participant Portal.<sup>159</sup> The Participant Portal entails updated information on the different participation modalities within H2020 and provides a registration area with further details on funding opportunities and how to participate, among other details.<sup>160</sup>

#### **The stages can be summarized as follows:**

- 1) Find a suitable Call for Proposals,
- 2) Find project partners or apply as an individual (many calls foresee teams of at least three participants, which can be found by consulting the online partner search options),
- 3) Create an account on the H2020 Portal,
- 4) Register your organisation,<sup>161</sup>
- 5) Submission of project,
- 6) Evaluation by experts (once a proposal is submitted within its specific Rules of Participation and the corresponding deadline has passed, independent specialists will perform an assessment of every proposal), and,
- 7) Grant agreement (once a proposal has gone through the evaluation process and has been selected, the European Commission will offer a grant agreement with the participants stating duration, budget, rates and costs, rights and obligations, among others).

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158 For further details on PADOR, see: [http://ec.europa.eu/europeaid/etraining/pador/en/index.html\\_en](http://ec.europa.eu/europeaid/etraining/pador/en/index.html_en) (last accessed 7 December 2016).

159 For further details, see: <http://ec.europa.eu/programmes/horizon2020/> (last accessed 7 December 2016).

160 The H2020 Online Manual provides detailed information on all the steps of the application process. Learn more here: <http://ec.europa.eu/research/participants/portal/desktop/en/funding/index.html> (last accessed 7 December 2016).

161 For registering your organisation, see: <http://ec.europa.eu/research/participants/portal/desktop/en/organisations/register.html> (last accessed 7 December 2016).

## How to find partners?

Many Calls for Proposals require a team to have at least three partners. The Participant Portal partner search function will help to identify potential partners. The following link provides access to various platforms where you can search for partners:

[http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/applying-for-funding/find-partners\\_en.htm](http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/applying-for-funding/find-partners_en.htm) (last accessed 7 December 2016).

This platform displays several thematic networks and tools that provide partner search facilities with details on partner profiles and active partnerships requests, such as: CORDIS Partner Service; Idealist Partner Search; Partner search for Nanosciences and nanotechnologies, Materials and new Production technologies (NMP); Fit for Health, Partner search for H2020 ‘Smart, Green and Integrated Transport’ calls for proposals; C-Energy 2020 network (the European Energy NCP network under H2020); and, Enterprise Europe Network Cooperation Opportunities Database.

**Table 13: Presentation of Key Work Programmes of Horizon 2020**

| H2020 Work Programme     | Description  | Programme opportunities  |
|--------------------------|--|--|
| 1) Excellent science     | Excellent science aims to reinforce and to extend the excellence of the EU's science base and to consolidate the European Research Area in order to make the EU's research and innovation system more competitive on a global scale. Excellent Science supports research directed towards the following four sub-programmes. For detailed information, see: <a href="http://ec.europa.eu/programmes/horizon2020/en/h2020-section/excellent-science">http://ec.europa.eu/programmes/horizon2020/en/h2020-section/excellent-science</a> (last accessed 7 December 2016). | <ul style="list-style-type: none"> <li>- European Research Council (including Argentina and Mexico)</li> <li>- Marie Skłodowska-Curie actions</li> <li>- European research Infrastructures, including e-infrastructures</li> <li>- Future and Emerging Technologies</li> </ul>   |
| 2) Industrial leadership | <p><i>Industrial leadership</i> aims “[...] to speed up development of technologies and innovations that will underpin tomorrow's business and help innovative European SMEs to grow into world-leading companies.”</p> <p><i>Industrial leadership</i> will provide major investment in key industrial technologies, maximize the growth potential of European companies by providing them with adequate levels of finance and help innovative SMEs to grow into world-leading</p>  | <ul style="list-style-type: none"> <li>- Leadership in Enabling and Industrial Technologies (including: Information and Communication Technologies; Space; Nanotechnologies, Advanced Materials, Advanced Manufacturing and Processing, and Biotechnology).</li> <li>- Access to risk finance</li> <li>- Innovation in SMEs</li> </ul> |

**Table 13: Presentation of Key Work Programmes of Horizon 2020**

| H2020 Work Programme     | Description   | Programme opportunities   |
|--------------------------|---|---|
| 2) Industrial leadership | companies. Its objectives consist of leadership in enabling and industrial technologies, access to risk finance and innovation in SMEs (For detailed information, see: <a href="http://ec.europa.eu/programmes/horizon2020/en/h2020-section/industrial-leadership">http://ec.europa.eu/programmes/horizon2020/en/h2020-section/industrial-leadership</a> (last accessed 7 December 2016).   |   |
| 3) Societal challenges   | <i>Societal challenges</i> is, in particular, suitable for non-EU participants, notably <u>Latin American and Caribbean countries</u> , and directed towards consortia of participants. The topics covered in this work programme are, in comparison with the others, increasingly globally oriented. This is “a challenge-based approach that will bring together resources and knowledge across different fields, technologies and disciplines, including social sciences and the humanities.” (For more information, see: <a href="http://ec.europa.eu/programmes/horizon2020/en/h2020-section/societal-challenges">http://ec.europa.eu/programmes/horizon2020/en/h2020-section/societal-challenges</a> (last accessed 7 December 2016). | <ul style="list-style-type: none"> <li>- Health, demographic change and wellbeing;</li> <li>- Food security, sustainable agriculture and forestry, marine and maritime and inland water research, and the Bio-economy;</li> <li>- Secure, clean and efficient energy;</li> <li>- Smart, green and integrated transport;</li> <li>- Climate action, environment, resource efficiency and raw materials;</li> <li>- Europe in a changing world-inclusive, innovative and reflective societies;</li> <li>- Secure societies - protecting freedom and security of Europe and its citizens.</li> </ul> |

Source: Adapted from information found in <https://ec.europa.eu/programmes/horizon2020> (last accessed 7 December 2016)

**Table 14: Projects in Latin America and the Caribbean under FP7 and Horizon 2020**

| Currently funded projects under the umbrella of FP7 or Horizon 2020  | Bilateral projects with specific Latin American countries  |
|--|--|
| <ul style="list-style-type: none"> <li>- ALCUNET</li> <li>- ERANeT-LAC</li> <li>- EU-LAC Health</li> <li>- ERA-MIN</li> <li>- INCO-NET</li> <li>- ENSOCIO LA</li> <li>- EULAC Focus</li> </ul> | <ul style="list-style-type: none"> <li>- Argentina – ABEST III</li> <li>- Brazil – INCOBRA</li> <li>- Chile – CEST+I</li> <li>- Mexico- EU-MEX-INNOVA</li> </ul> |

Source: Table: Adapted from information found under <https://ec.europa.eu/programmes/horizon2020> accessed 7 December 2016).

## Collaborative projects

Most of the EU-funded projects are collaborative projects (aimed at the creation of consortia). However, there are opportunities also for mono-participant actions (individuals), such as the following:

Marie Skłodowska-Curie Actions (MSCA) are part of the Key Work Programme within H2020 called Excellent Science. They offer support for researcher mobility by providing grants for all states of researchers' careers (doctoral candidates and experienced researchers are encouraged to take part in MSCA) and fostering transnational, sectoral and interdisciplinary mobility activities. Through MSCA, research-oriented organisations, such as universities, research centres and companies, are encouraged to increase the mobility of foreign researchers and to incentivize the creation of strategic partnerships among leading research institutions across the world.

The MSCA are supported by the H2020 Work Programmes,<sup>162</sup> which lay out important information regarding the pursued policy objectives, allocated budget, eligibility conditions, award criteria, evaluation procedure, and additional items. Participants from Latin American and Caribbean countries that are interested in the MSCA can find additional information concerning their region in the document by the European Commission titled Higher education cooperation between the European Union, Latin America and the Caribbean. Academic cooperation and mobility: bringing the two regions closer.<sup>163</sup>

Besides funding for conducting research activities, scientists have the possibility to gain experience abroad and in the private sector, and to complete their training with competences that are useful for their careers. There are various types of grants within the MSCA:

- (a) Research networks: support for Innovative Training Networks,
- (b) Individual fellowships: support for experienced researchers undertaking mobility between countries, optionally to the non-academic sector,
- (c) International and inter-sectoral cooperation through the Research and Innovation Staff Exchanges (RISE),

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<sup>162</sup> For further details on the Marie Skłodowska-Curie Actions (MSCA), see: <https://ec.europa.eu/programmes/horizon2020/en/h2020-section/marie-sklodowska-curie-actions> (last accessed 7 December 2016). The Horizon 2020 Work Programme 2014-2015: 3. Marie Skłodowska-Curie Actions (Revised) and the Horizon 2020 Work Programme 2016-2017: 3. Marie Skłodowska-Curie Actions can be downloaded under the following links, respectively: [http://ec.europa.eu/research/participants/data/ref/h2020/wp/2014\\_2015/main/h2020-wp1415-msca\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/wp/2014_2015/main/h2020-wp1415-msca_en.pdf) (last accessed 7 December 2016) and [http://ec.europa.eu/research/participants/data/ref/h2020/wp/2016\\_2017/main/h2020-wp1617-msca\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/wp/2016_2017/main/h2020-wp1617-msca_en.pdf) (last accessed 7 December 2016).

<sup>163</sup> For additional information, see: European Commission (2015) Higher education cooperation between the European Union, Latin America and the Caribbean. Academic cooperation and mobility: bringing the two regions closer. Brussels. Available from: [https://ec.europa.eu/europeaid/sites/devco/files/higher-education-cooperation\\_en.pdf](https://ec.europa.eu/europeaid/sites/devco/files/higher-education-cooperation_en.pdf) (last accessed 7 December 2016).

- (d) Co-funding of regional, national and international programmes that finance fellowships involving mobility to or from another country, and,
- (e) The European Researcher’s Night (NIGHT).

**Graph 3: Marie Skłodowska-Curie Actions in a nutshell**



Source: European Commission (2015) Higher education cooperation between the European Union, Latin America and the Caribbean. Academic cooperation and mobility: bringing the two regions closer. p. 66. Available from: [https://ec.europa.eu/europeaid/sites/devco/files/higher-education-cooperation\\_en.pdf](https://ec.europa.eu/europeaid/sites/devco/files/higher-education-cooperation_en.pdf) (last accessed 13 December 2016).

European Research Council (ERC) Grants – The ERC’s mission is to encourage the highest quality research in Europe by supporting investigator-driven (‘bottom-up’) frontier research across all fields.

The ERC funding schemes are open to top researchers of any nationality or age who wish to carry out their frontier research in the 28 EU Member States or associated countries. ERC grants are awarded through open competition via international peer-review. The sole criterion for selection is scientific excellence. The aim is to support the best ideas, and confer status and visibility on the best brains in Europe, while also attracting talent from abroad.

By challenging the brightest minds, ERC grants will help to bring about new and unpredictable scientific and technological discoveries - the kind that can form the basis of new industries, markets, and broader social innovations in future.

The total budget allocated to the ERC for the period 2014-2020 is € 13.1 billion and represents 17% of the overall Horizon 2020 budget. Since 2007, more than 5,000 projects have been selected for funding from over 50,000 applications. Under Horizon 2020,

it is estimated that around 7,000 grantees will be funded and 42,000 team members supported, offering cutting-edge research training for nearly 11,000 doctoral students and almost 16,000 postdoctoral researchers.

There are three core funding schemes:

- ERC Starting Grants: For researchers of any nationality with 2-7 years of experience since completion of their first PhD, funding per grant: up to € 1.5 million, duration: up to 5 years
- ERC Consolidator Grants: For researchers of any nationality with over 7 and up to 12 years of experience since completion of their first PhD, funding per grant: up to € 2 million, duration: up to 5 years
- ERC Advanced Grant: any nationality, any age. Applicants must be scientifically independent and have a recent research track-record and profile which identifies them as leaders in their respective field(s) of research. Funding: up to € 2.5 million per grant. Duration: up to 5 years

The ERC launches its calls for proposals once a year covering all scientific fields.

SME (Small and Medium-sized Enterprise) Instrument – SME Instruments are part of the Key Work Programmes Industrial Leadership and Societal Challenges, introduced above. They provide support for both individual SMEs and SME groups that have international ambitions, determined to turn strong, innovative business ideas into winners on the EU-market and other countries or regions. With an allocated budget of €3 billion for the period 2014-2020, the SME Instruments are designed to help SMEs with a highly international potential and profile that are carrying out activities towards innovating products, services and processes for competing worldwide. SMEs that are established in a EU member state or in a country associated to H2020<sup>164</sup> are targeted in this initiative.<sup>165</sup>

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<sup>164</sup> The following document provides a detailed overview of the SME Instruments in the face of the Work Programme 2014-2020 of Horizon 2020: <http://ec.europa.eu/research/sme-techweb/pdf/SME%20Instrument%20in%20WP%202014-2015.pdf> (last accessed 7 December 2016).

<sup>165</sup> For more information on the different application conditions and requirements, see: <https://ec.europa.eu/programmes/horizon2020/en/h2020-section/sme-instrument> (last accessed 7 December 2016).

## EU-LAC FOUNDATION 2017