



EUROPEAN COMMISSION
DG Employment, Social Affairs and Inclusion

Europe 2020: Social policies
Demography, Migration, Social Innovation, Civil Society

CALL FOR PROPOSALS

VP/2011/012

**PILOT PROJECT - ALL-INCLUSIVE COOPERATION BETWEEN PUBLIC
AUTHORITIES, COMMERCIAL FIRMS AND SOCIAL ENTERPRISES FOR SOCIAL
INCLUSION AND INTEGRATION INTO THE LABOUR MARKET**

Budget heading 04.03.12

Questions should only be sent by e-mail to:
EMPL-VP-2011-012@ec.europa.eu

This document is available in English, French and German. The French version is the original.

To ensure a more rapid response it is helpful if applicants send their queries in English, French or German

All documents related to the call for proposals can be downloaded from the following site:

<http://ec.europa.eu/social/main.jsp?langId=en&catId=630&callId=329&furtherCalls=yes>

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1 INTRODUCTION AND BACKGROUND

Social enterprises are an important part of the social economy¹. They have social objectives, do not pay dividends and reinvest their profits in order to achieve their goals. They play an essential role in the European economy. These enterprises exist in most sectors of the economy, and the social economy provides more than 11 million² jobs in the European Union. They work for and with the disadvantaged strata of society and have been doing so for a long time. Many of these organisations have played a long-standing and committed part in supporting the active inclusion of disadvantaged people.

They significantly contribute to job creation and often provide labour-intensive services, which is socially useful. In this context, local authorities have an important role to play in promoting the building of links, relations and cooperation between all the different types of local enterprise.

As part of their aim, social enterprises combine economic performance with the achievement of social and societal objectives. In so doing, they contribute to key EU policies and objectives not only in respect of employment but also social cohesion, regional and rural development, protection of the environment, consumer protection or social security.

There is not, however, a universally accepted definition of “social enterprise”. However, it is generally accepted that one of its main characteristics is combining a social objective with business methods, thus making it a special category within the social economy sector.

Despite the range of social enterprises, they mainly operate in the following three areas:

- Integration into the labour market (training and integration of inactive people);
- Support services (e.g. childcare services, services for the elderly, local services and support for disabled people);
- Local development in disadvantaged areas (e.g. social enterprises in rural areas and rehabilitation or local development schemes in urban areas).

They also develop and produce goods and services that:

- contribute to continuing education and training
- foster culture and the arts
- make participation in the information society possible
- are related to services such as public transport and assistance
- minimise emissions and waste
- use resources effectively
- promote social inclusion, microfinance instruments and a fair market.

They have thus proven that they could considerably improve the social situation of disadvantaged people and make it possible for them to undertake paid work. In particular, “work integration social enterprises” build bridges towards employment for people who would otherwise continue to be excluded from the labour market and cater for a wide range of disadvantaged groups. Furthermore, whereas some enterprises act as temporary

¹ As defined by the European Institutions (<http://ec.europa.eu/enterprise/policies/sme/promoting-entrepreneurship/social-economy/#h2-2>).

² See http://ec.europa.eu/enterprise/policies/sme/promoting-entrepreneurship/social-economy/index_en.htm

“springboards” into permanent employment in another company, others offer permanent sheltered employment to those who are more seriously excluded³.

A number of policy initiatives, such as the Commission Recommendation on the active inclusion of people excluded from the labour market⁴ and the European Progress Microfinance Facility for employment and social inclusion⁵, recognise the specific role, value added and potential of social enterprises.

Cooperation and networking with various public and private stakeholders who promote the emergence of social innovation can strengthen the actions of social enterprises.

In general, social innovation is a “new response” to a social situation which is considered unsatisfactory and likely to affect all sectors of society. Social innovation is “a new response” because it aims to improve people’s and/or groups’ well-being. It focuses on action and long-term change. Its purpose is to develop individuals, the living environment (territory) or the enterprise. In doing so, social innovation does not take a particular form. It is both procedural and organisational or institutional in nature⁶.

However, there does not seem to be a legal basis for the regulation of cooperation and innovation, which provides a foundation for public institutions and commercial and social enterprises. Thus, in line with its resolution on the social economy and the newly proposed Europe 2020 strategy, the European Parliament has identified a need to promote the development of enterprises in this sector by strengthening this kind of cooperation, in order to create solidarity networks connecting these different groups and to innovate in this field. The experience thus gained could be applied or extended to other sectors or regions in Europe. Such networks will also strengthen the role of local communities and authorities in developing social policies, thus dealing with social problems by using local solutions⁷.

The call for proposals for pilot projects will be financed under budget heading 04 03 12 of the EU budget.

2 PURPOSE OF THE CALL

The purpose of the call is to set up pilot projects intended to promote innovative models for cooperation and partnership between public institutions and commercial and social enterprises⁸. The aim is to create specific partnerships intended to increase effectiveness and geared towards identifying, measuring and approving good practices which are likely to be reproduced in other EU countries and regions.

³ The WISE project (Work Integration Social Enterprises as a tool for promoting inclusion), supported by the PROGRESS programme in 2008-2009, examined the range of work integration social enterprises throughout the European Union and established guidelines for European policy-makers (www.wiseproject.eu).

⁴ The Commission Recommendation on Active Inclusion adopted on 3 October 2008 calls upon Member States to “provide support for the social economy and sheltered employment as a vital source of entry jobs for disadvantaged people, promote financial inclusion and microloans, financial incentives for employers to recruit, the development of new sources of jobs in services, particularly at local level, and raise awareness of labour market inclusiveness”.

⁵ Decision No 283/2010/EU of 25 March 2010.

⁶ Paragraph from “Qu’est-ce que l’innovation sociale?” (What is social innovation?) by Julie Cloutier, Cahier du CRISES Collection Études théoriques – no ET0314.

⁷ European Parliament Resolution of 19 February 2009 on the Social Economy (**Toia Report**).

⁸ http://ec.europa.eu/enterprise/policies/sme/promoting-entrepreneurship/social-economy/social-enterprises/index_en.htm

This will make the creation of dialogue forums possible and facilitate mutual understanding while promoting and sharing good practices. This should also contribute to the achievement of the following goals:

- foster greater active commitment on the part of the business world in terms of corporate social responsibility, particularly in local communities;
- propose effective solutions to socio-economic problems affecting various specific areas and target groups;
- produce measurable results in terms of the integration of vulnerable groups.

The pilot projects must demonstrate that they provide added value by showing the measurability of the mainstreaming potential and the reproducibility of the model studied.

Pilot projects, depending on the field, will draw as much as possible on (i) synergies which may already exist under the PROGRESS programme; (ii) the transnational dimension of the European Social Fund; (iii) measures taken under the PROGRESS programme to encourage enterprises to show corporate social responsibility through local employment development⁹.

Adequate communication and dissemination of results is essential in order to ensure the action's added value and its sustainability after the funding has ended. Information and awareness-raising activities are important in order to ensure that other parties concerned will benefit from the project and be able to create new opportunities to extend it or develop new partnerships. The proposals must therefore include a detailed plan for the communication and dissemination of the projects' results. In particular, such a plan must include information on dissemination activities and target audiences.

In the final report, the beneficiary will be required to provide details about how and to whom the results, best practices and findings have been disseminated and how the parties concerned have been involved in the project.

3 WHO CAN APPLY?

Interested partners and stakeholders are requested to submit their proposals through a single applicant, who will be responsible for the overall management of the project.

3.1. Promoter

The promoter of a proposal is either:

A public authority	This is a political institution with “administrative” authority (e.g. ministry, regional or municipal department).
A public or semi-public agency (at central or regional level)	This is an executive body at central or regional level that performs public service work in an EU Member State.

The promoter must be lawfully constituted and a registered legal entity, whose head office is based in a Member State of the European Union.

⁹ This includes the European Confederation of Workers' Cooperatives, Social Cooperatives and Participative Enterprises (CECOP: <http://www.cecop.coop/>) and the Network for Better Future of Social Economy, the Community of Practice on Inclusive Entrepreneurship (<http://copie.esflive.eu/>) and the Network on Youth Employment.

The promoting organisation will sign the grant agreement with the Commission, receive and manage the grant from the Commission and be responsible for the implementation of all aspects of the project and submission of progress reports to the Commission, as well as ensuring on-going monitoring and evaluation. The Commission will only deal with the promoting organisation.

3.2. Partners

The proposals must be developed and implemented through a **partnership** set up at transnational level, composed of organisations from at least three Member States, and must involve at least three partners in each Member State, i.e.:

<ul style="list-style-type: none"> • a public authority • or a public or semi-public body 	<p>This is either a political institution with “administrative” authority (e.g. ministry, regional or municipal department) or an executive body (e.g. an agency) which performs public service work in an EU Member State with a mandate from a political institution.</p>
<p>a private for-profit enterprise</p>	<p>A private enterprise (or group of enterprises) that can prove it is a for-profit organisation by showing an annual balance sheet and a profit and loss account.</p>
<p>a social enterprise</p>	<p>An enterprise with social objectives which does not pay dividends and reinvests its profits in order to achieve its goals. By nature they are part of a solidarity-based and social economy which meets common needs and is accountable to the people it supports. They are often managed by members on the basis of a "one man, one vote" system and according to the principles of solidarity and mutuality (e.g. foundations and non-profit organisations).</p> <p>See above references in footnotes.</p>

Universities and other academic authorities may participate as partners provided that it is clearly stated in their articles of association or an official State document that they belong to one of the three above-mentioned categories. They can then be included in the category to which they belong.

The effective contribution by each partner, including their financial contribution, must be clearly described in the project.

4 PRIORITY THEMES AND TYPES OF ACTIONS

The projects submitted in this call for proposals must focus on the following priority **themes** (an application may cover more than one theme):

- A. Evaluation and modelling of innovative social structures, new relationships between employers and workers and between various civil society actors in order to ascertain to what extent such structures can be transposed into other segments of European society.
- B. Improvement in matching the needs and demands of for-profit enterprises to the supply of services from social enterprises, in particular through access to supply and demand.
- C. Dissemination of successful cases of strengthening cooperation between public authorities, for-profit enterprises and social enterprises.
- D. Stock-taking and analysis of the social impact of social economy activities on the basis of actual examples in order to improve policy-making.
- E. Access to credit (including microcredit) and tax relief tailored to the social economy.

By way of example, the proposed partnerships could carry out **activities** such as:

- development and testing of innovative working methods or instruments;
- actions to raise visibility and awareness of the social economy and corporate social responsibility;
- training, information and advice schemes;
- organisation of peer reviews, round tables, exchanges of experience and best practices;
- case studies, including comparative studies of the situation in different Member States;
- transfer between sectors, regions and countries or mainstreaming of existing successful practices and instruments (e.g., particularly effective existing activities developed in a given sector, country or region could be adapted and applied to a broader context);
- seminars, conferences and other means of communication to disseminate findings.

5 EXCLUSION AND ELIGIBILITY CRITERIA

5.1. Eligible countries

Applications may only be submitted by organisations legally established in one of the 27 Member States.

5.2. Eligible applicant organisations

To be eligible for a grant, applicants must:

- a) certify that they are not in one of the situations listed in Articles 93(1), 94 and 96(2) of the Financial Regulation¹⁰. The applicant organisation's legal representative must sign a declaration of honour;
- b) be a lawfully constituted and registered legal entity in a Member State;

¹⁰ The situations referred to include bankruptcy, winding-up, having one's affairs administered by the courts, having entered into an arrangement with creditors or any other similar situation; convictions for professional misconduct; not paying social security contributions or taxes; convictions for fraud, corruption, involvement in a criminal organisation or any other illegal activity; serious breaches of contract in relation to activities funded by the Community budget; conflicts of interest; being guilty of misrepresentation in supplying the required information.

- c) be either a public authority or a public or semi-public agency at central or regional level of an EU Member State.

5.3. Eligible activities

To be eligible, activities must:

- be linked to the objective of this call;
- be carried out by at least three Member States in a partnership. Each Member State must be represented by at least three partners: (1) a public authority (or a public or semi-public agency at central or regional level), (2) a private for-profit enterprise and (3) a social enterprise.

6 SELECTION CRITERIA

The selection criteria will allow the Commission to assess the applicant organisation's financial and operational capacity to complete the proposed work programme. Only organisations with the necessary financial and operational capacity may be awarded a grant.

6.1 Financial capacity

In order to prove that they have stable and sufficient sources of funding to maintain their activities throughout the period during which the action is being carried out, applicants shall provide:

- letters of commitment signed by the legal representatives of the co-financing organisations, specifying the amount of each monetary contribution and proving that together they co-finance the project for at least 20 % of the action's total eligible costs;
- where applicable, the annual balance sheet and profit and loss account for the most recent financial year for which the accounts have been closed¹¹.

The assessment of financial capacity does not apply to public bodies.

6.2 Operational capacity

The applicant must prove that he has the operational resources (technical, management) and the professional skills and qualifications needed to successfully complete the proposed action. The applicant must have a strong track record of competence and experience in the field concerned, and in particular in the type of action proposed.

To demonstrate this, the following supporting documents must be attached to the proposal:

- the list and CVs of the people who will be responsible for carrying out the action, showing all relevant professional experience;
- a list of the projects carried out in the last three years in fields related to the call's objective.

¹¹ By way of example, one possible way to analyse the applicant's financial capacity is to calculate a ratio between the total assets on the balance sheet and the project budget (i.e. the ratio is calculated by dividing the total assets on the balance sheet by the total project budget. The ratio should be higher than 0.70).

7 AWARD CRITERIA

All proposals that fulfil the above eligibility and selection criteria will be assessed by a committee according to the following award criteria and will be given between 1 and 10 points for each criterion:

7.1 *Quality of the proposal*

The quality will be assessed on the basis of the following criteria:

1. how relevant the proposal is to the objectives of this call for proposals and the priorities identified above;
2. the extent to which there is a clear and well-supported diagnosis of the issues addressed in the proposal;
3. the involvement in transnational partnerships, including the setting up of such partnerships, of bodies responsible for public policy, service providers, social partner organisations, for-profit enterprises and social enterprises;
4. the possible long-term effects and follow-up measures at both national and European level;
5. the relevance for EU policies, actions and agendas and the approach adopted in order to make an impact on them.

7.2 *Efficiency and effectiveness of the organisation of work*

The efficiency and effectiveness of the organisation of work will be assessed on the basis of the following criteria:

1. The work method, including the work plan with a timeline, for the project and its innovative nature; if the project consists of several parts, the work method should be clearly described for each of them.
2. The feasibility and clarity of the work plan as well as the proposed structure of the team and how it ties in with the tasks to be performed.
3. The partnership's capacity to achieve the desired results through the clear allocation of tasks and responsibilities among the partners, in particular in respect of the usual activities of the partners involved;
4. The quality and relevance of the approach to monitoring and evaluation.
5. The quality of the method used to determine the transferability of results and to communicate these to Member States.
6. The quality of the detailed plan for communication and dissemination of the projects' results. In particular, such a plan must include information on dissemination activities and target audiences.
7. Cost-effectiveness.

Proposals which have scored at least 5/10 for each award criterion will subsequently be ranked in decreasing order. The proposals with the most points will be selected until the budget runs out or there are no more proposals.

8 PROVISIONAL TIMETABLE OF THE CALL

- DEADLINE FOR SUBMISSION OF PROPOSALS: **15/11/2011**
- COMPLETION OF ASSESSMENT: **5/12/2011**
- CONCLUSION OF GRANT AGREEMENTS: **15/1/2012**

Applications must be submitted electronically and sent by post to the Commission no later than **15/11/2011** (as evidenced by the postmark). Proposals sent after this deadline will not be considered.

The Commission will assess the proposals using the formal criteria and then the award criteria set out in points 5 to 7 above.

The Commission will notify applicants of its decision once the selection process is completed.

Unsuccessful applicants will be informed of the reasons for the rejection or non-eligibility of their application.

Successful applicants will receive two original copies of the grant agreement for acceptance and signature. Both these copies must be sent back to the Commission, which will return one copy signed by both parties.

Successful applicants should receive agreements for signature before the end of December 2011. The eligibility period for costs will commence on the day the grant agreement is signed by the last of the parties, i.e. the European Commission.

An extension of the eligibility period beyond the maximum period will not be granted, except in very exceptional circumstances.

The **deadline** for the submission of complete applications is:

15/11/2011 for actions commencing no earlier than 1st February 2012 and no later than **1st April 2011**.

Only applications whose duration is between 12 and 18 months will be considered.

In view of the time needed to examine applications, actions may not start before the date given below. Applicants should note that if their project is selected, they will not necessarily receive the grant agreement before the action starting date indicated and should take this into account when drawing up a schedule for their project.

Any expenditure incurred before written confirmation that the grant application has been accepted will not be considered eligible.

Proposals which indicate an earlier starting date than those above will not be considered by the Evaluation Committee.

9 INDICATIVE AMOUNT AND CO-FINANCING

The amount envisaged for this call is €1 million.

The maximum EU financial contribution will not exceed 80 % of the total eligible costs of each of the selected projects. Depending on the quality of the applications received, not more than five projects should be accepted.

The budget heading allows support to be given to projects to which the applicants will contribute at least 20 % of the total eligible costs.

Contributions in kind will not be taken into account.

10 ARRANGEMENTS FOR SUBMITTING GRANT APPLICATIONS

10.1. *Where to find the application form*

An electronic application form must be filled in using the web-based application called “SWIM” (SAGA Web Input Module).

This system allows the grant application form to be filled in, changed, approved, printed and submitted. Once the application is submitted electronically, a copy should be printed out, signed by the legal representative of the applicant organisation and sent to the Commission in accordance with point 10.2. Changes to the application are not possible after it has been submitted electronically.

Only applications submitted on or before the deadline using the prescribed forms will be considered. Applicants are strongly advised not to wait until the deadline to submit their online applications as the process may prove difficult if too many applicants are trying to submit their applications at the same time.

Applicants must complete an online application form (create a SWIM account) by registering on the following website (webgate):

<https://webgate.ec.europa.eu/swim/external/displayWelcome.do?lang=en>

Before starting to fill in the application form on SWIM, please read the User Manual carefully (click on the “Help” button at the top of the page):

http://ec.europa.eu/employment_social/calls/pdf/swim_manual_en.pdf

After creating a SWIM account, applicants or their legal representatives will receive a user name and password enabling them to access the form (which can be completed at their convenience, saved to continue work later or printed). An online step-by-step guide is provided to help users fill in the boxes, sections and annexes.

The compulsory annexes must also be filled in online on the SWIM site (and then printed out for signature).

Questions can be sent by e-mail to the address at the beginning of the document and on the website’s information page.

The application, accompanied by the annexes and all the required supporting documentation, must be submitted by 15/11/2011.

10.2. *Where does the application need to be sent?*

After filling in the form, applicants or their legal representatives must submit it both electronically and in hard copy.

- **Electronic submission via the SWIM online application: validate the application (click on the “send” button). This step is irreversible and must be carried out by the deadline.**

- and
- **THREE HARD COPIES** (one should be marked “original” and the other two “copy”): please send your letter of application and attach all the other documents listed in the checklist under point 11 below, which must be signed originals, as well as two copies of all these documents by the deadline to the following postal address:

Call for proposals VP/2011/012
European Commission
DG Employment, Social Affairs and Inclusion
Unit D4
B-1049 Brussels - Belgium

The submission date will be taken as the date of dispatch, as evidenced by the postmark, or the date of delivery by courier.

Hand-delivered applications must be received by the European Commission by **16.00 on 15/11/2011**. The address for hand delivery of documents for the European Commission is:

Call for proposals VP/2011/012
European Commission
DG Employment, Social Affairs and Inclusion
Unit D4
Avenue du Bourget 1, B-1140 Evere, Belgium

The reference number of the call for proposals must be indicated on the envelope.

Failure to submit the application to the Commission by post and online by the deadlines (as evidenced by the postmark or courier receipt) will entail the ineligibility of the grant application.

Complementary documents sent by post, fax or e-mail after the deadlines above will only be considered in the assessment process if so requested by the Commission. Please make sure that the application form and all the accompanying documents listed above are included in the application file you send by post by the closing date.

Please also note that incomplete or unsigned forms, handwritten forms and forms sent by fax or e-mail will not be taken into consideration.

The **Financial Guidelines for Applicants** annexed to this call for proposals provide more detailed information for applicants, especially in terms of the guidelines for presenting the proposal’s provisional budget, along with the rules governing which categories of expenditure are eligible and which are not.

The information contained herein, together with the Financial Guidelines for Applicants, provides all the information you require to submit an application. Please read it carefully before writing your proposal, paying particular attention to the priorities for this call.

The electronic application forms and documents must be submitted via SWIM **before** printing. Changes to the application are not possible after it has been submitted electronically.

Regarding the presentation of the application file, it is recommended to:

- follow the order of documents as listed in the checklist below;
- print the documents double-sided, where possible;

- use only 2-hole folders (please do not bind or glue).
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11 CHECKLIST OF THE REQUIRED DOCUMENTS

Please number the documents as shown and send in the following reference documents in **triplicate (one original + two copies)**.

	Document	Check	Downloadable model from SWIM
1	The original letter of application quoting the reference number of the call (VP/2011/012), duly signed and dated by the legal representative of the applicant organisation.	<input type="checkbox"/>	NO
2	Print-out of the online application form generated by the SWIM application, including the estimated budget (https://webgate.ec.europa.eu/swim) duly completed, dated and signed by the legal representative of the applicant organisation.	<input type="checkbox"/>	YES
3	Printed copy of the Declaration of honour , dated and signed by the legal representative of the beneficiary, stating that the organisation is not in one of the situations listed in Articles 93(1), 94 and 96(2)(a) of the Financial Regulation applicable to the general budget of the European Union, that the organisation has access to stable and adequate funding to maintain activities for the duration of the project and to help finance it if necessary, and that it has the operational capacity and resources (technical and management) to successfully complete the activity.	<input type="checkbox"/>	YES
4	Printed copy of the Letter of commitment/co-financing , signed by the legal representatives of <u>each partner organisation</u> , confirming their participation in the proposal, providing the name and address of the person responsible and stating the nature of the participation, the tasks to be carried out and the monetary amount of each financial contribution.	<input type="checkbox"/>	YES
5	Printed copy of the Financial identification form duly completed bearing the original signature of the lawful holder of the account and the original signature and stamp of the bank; the Financial identification form must correspond to the Legal entity form (see below). The bank account must be held in the name of the applicant. Applications with an account held in the name of a natural person cannot be accepted.	<input type="checkbox"/>	YES
6	Printed copy of the Legal entity form duly completed, bearing the original signature of the legal representative.	<input type="checkbox"/>	YES
7	Description of action (in word-processing format of five to six pages maximum) including a detailed plan for the communication and dissemination of results .	<input type="checkbox"/>	NO
8	Detailed work programme for the project dated and signed by the legal representative of the lead partner, and a timetable showing which activities take place in which months and the project outputs.	<input type="checkbox"/>	NO
9	Contracts for implementing the action for all services whose cost exceeds €5 000.	<input type="checkbox"/>	YES
10	Annual balance sheet and profit and loss account for the last financial year, duly dated and signed by the legal representative of the applicant organisation (not necessary for public bodies).	<input type="checkbox"/>	NO
11	Detailed CVs (educational and professional qualifications) and job specifications of the project manager and of the other main experts involved in the project's implementation.	<input type="checkbox"/>	NO
12	A list of the projects carried out in the last three years relating to the objective of the call.	<input type="checkbox"/>	NO
13	Copy of the official registration certificate or any other official document attesting to the legal establishment of the participating organisations (not necessary for public bodies).	<input type="checkbox"/>	NO
14	Copy of articles of association or any equivalent document proving the eligibility of the participating organisations.	<input type="checkbox"/>	NO

Documents 10 to 14 may be compressed (zipped) and downloaded into SWIM, Annex "Complementary documents".