Capacity Building in Higher Education: what’s new?

Italian Erasmus+ Infoday

21 January 2022

European Education and Culture Executive Agency
What is it about?
Focus on the needs of the third countries not associated to the Erasmus+ Programme

Targeting the priorities of the third countries not associated to the Erasmus+ Programme and matching them with the EU priorities for these countries

Maximising benefit to third countries not associated to the Erasmus+ Programme
Context (1)

➢ Supports the relevance, quality, modernisation and responsiveness of Higher Education Institutions for socio-economic recovery, growth and prosperity.

➢ Reacts to recent trends, in particular economic globalisation, but also the recent decline in human development, fragility, and rising social, economic and environmental inequalities exacerbated by the COVID-19 crisis.

➢ Aligned with the ’Sustainable Development Goals’ (SDGs) and the Paris Agreement.
Context (2)

➢ Ensures **equity, accessibility** and **inclusion**, system strengthening and **capacity building**, as well as **employability** transversally across the action.

➢ **Global interventions** that take into account governance, management and the **strengthening of higher education’s wider economic and social ecosystems**.

➢ Addresses **regional issues**, build alliances and coalitions, pilot new approaches and initiatives built on **country ownership**.
Objectives

- Modernisation HEIs & HE systems
- Societal impact
- Cooperation / Regional integration
- Governance
- Accessibility
- Innovation

CBHE
Types of CBHE projects
# Three types of CBHE projects

<table>
<thead>
<tr>
<th>National projects</th>
<th>Multi-country regional projects</th>
<th>Multi-country cross-regional projects</th>
</tr>
</thead>
<tbody>
<tr>
<td>HEIs from one third country not associated to the Erasmus+ Programme</td>
<td>HEIs from several countries not associated to the Erasmus+ Programme from one Region</td>
<td>HEIs from countries not associated to the Erasmus+ Programme belonging to several Regions</td>
</tr>
</tbody>
</table>

At least 2 HEIs from two countries associated to Erasmus+ (EU Member States and other Programme countries)
National projects: eligibility criteria

Third countries not associated to Erasmus+
- 1 eligible country
- Minimum 2 HEIs

Countries associated to Erasmus+
- At least 2 countries
- Minimum 1 HEI from each participating country
Multi-country projects: eligibility criteria

Third countries not associated to Erasmus+
- Same Region (regional projects)
- Different Regions (cross-regional projects)
  - Minimum 2 eligible countries
  - Minimum 2 HEIs from each eligible country

Countries associated to Erasmus+
  - Minimum 2 countries
  - Minimum 1 HEI from each country
Eligible applicant

Who can apply?
- Higher Education Institutions (HEIs) or
- Associations or organisations of HEIs

What else?
Applicant must be established in a EU Member state or third country associated to the Erasmus+ programme (Programme Country), or in an eligible third country not associated to Erasmus+ programme (Partner Country).

The applicant applies on behalf of all participating organisations involved in the proposal.

Exception: organisations from Syria (Region 3) and the Russian Federation (Region 4) cannot act as applicants.
Eligible partners

What types of organisations are eligible?

- any public or private organisation recognised as HEI by the competent authorities of their country(ies)

- any public or private organisation active in the labour market or in the fields of education, training and youth

- Associations or organisations of HEIs dedicated to the promotion, improvement and reform of higher education as well as to co-operation within Europe and between Europe and other parts of the world

- International governmental organisations on a self-financing basis.
New features
Three strands
- a new type of support

Regional Priorities
- overarching & sub-priorities

New budget system
- lump sum II

New publication system
- FTOP
Three strands
Facilitate access to newcomers.

First step for participating organisations to enhance and increase means to reach out to people with fewer opportunities.

Reduce the internationalisation gap of HEIs from the same country/region.

Fostering social inclusion.
Strand 2
Partnerships for transformation

- Innovation with business involvement to maximize societal impact
- Modernising HEIs by promoting reform
- Introducing practical learning schemes with a link to business
- Implementation of new learning methods
- Innovative curricula linked to business
- Introducing practical learning schemes
- Reform governance and management at HEIs
Strand 3
Structural Reform projects

Mutual learning between public authorities of the countries associated to the Programme and those of the third countries

Promote inclusive Higher Education systems

Increase capacities of bodies in charge of Higher Education

Identify synergies with ongoing EU initiatives

Foster national ownership

Efficient and effective policy making

Foster common regional strategies in Higher Education

Introduction of funding mechanisms
New regional priorities
Overarching priorities

- Green deal
- Digital transformation
- Migration and Mobility
- Governance, peace, security and human development
- Sustainable growth and jobs
## Regions

| Region 1 - Western Balkans | Albania, Bosnia and Herzegovina, Kosovo*, Montenegro |
| Region 2 - Neighbourhood East | Armenia, Azerbaijan, Georgia, Moldova, Ukraine - Territory as recognised by international law |
| Region 3 - South-Mediterranean countries | Algeria, Egypt, Israel, Jordan, Lebanon, Libya, Morocco, Palestine*, Syria, Tunisia |
| Region 4 - Russian Federation | Russia - Territory as recognised by international law |
| Region 5 - Asia | Bangladesh, Bhutan, Cambodia, China, DPR Korea, India, Indonesia, Laos, Malaysia, Maldives, Mongolia, Myanmar, Nepal, Pakistan, Philippines, Sri Lanka, Thailand, Vietnam |
| Region 6 - Central Asia | Afghanistan, Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan, Uzbekistan |
| Region 7 - Middle East | Iran, Iraq, Yemen |
| Region 8 - Pacific | Cook Islands, Fiji, Kiribati, Marshall Islands, Micronesia - Federated States of, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Timor-Leste, Tonga, Tuvalu, Vanuatu |
| Region 9 - Sub-Saharan Africa | Angola, Benin, Botswana, Burkina Faso, Burundi, Cameroon, Cape Verde, Central African Republic, Chad, Comoros, Congo, Congo - Democratic Republic of the, Djibouti, Equatorial Guinea, Eritrea, Eswatini, Ethiopia, Gabon, Gambia, Ghana, Guinea, Guinea-Bissau, Ivory Coast, Kenya, Lesotho, Liberia, Madagascar, Malawi, Mali, Mauritania, Mauritius, Mozambique, Namibia, Niger, Nigeria, Rwanda, Sao Tome and Principe, Senegal, Seychelles, Sierra Leone, Somalia, South Africa, South Sudan, Sudan, Tanzania, Togo, Uganda, Zambia, Zimbabwe |
| Region 10 - Latin America | Bolivia, Brazil, Chile, Colombia, Costa Rica, Ecuador, El Salvador, Guatemala, Honduras, Mexico, Nicaragua, Panama, Paraguay, Peru, Uruguay, Venezuela |
| Region 11 - Caribbean | Antigua and Barbuda, Bahamas, Barbados, Belize, Cuba, Dominica, Dominican Republic, Grenada, Guyana, Haiti, Jamaica, Saint Kitts And Nevis, Saint Lucia, Saint Vincent And The Grenadines, Suriname, Trinidad and Tobago |
New budget type
In the proposal, applicants must provide a detailed estimation of costs and a split of the lump sum per work package and per beneficiary.

Evaluators assess cost details during evaluation and make recommendations if needed.

Based on this, the lump sum is fixed during grant preparation.
# Indicative available budget and n° of projects

<table>
<thead>
<tr>
<th>Regions</th>
<th>Indicative 2022 CBHE budget</th>
<th>Indicative budget for strand 1</th>
<th>Indicative n° of projects to be funded</th>
<th>Indicative budget for strand 2</th>
<th>Indicative n° of projects to be funded</th>
<th>Indicative budget for strand 3</th>
<th>Indicative n° of projects to be funded</th>
</tr>
</thead>
<tbody>
<tr>
<td>Region 1 Western Balkans</td>
<td>12.020.010</td>
<td>5.168.610</td>
<td>12</td>
<td>4.808.000</td>
<td>6</td>
<td>2.043.400</td>
<td>2</td>
</tr>
<tr>
<td>Region 2 Neighbourhood East</td>
<td>10.971.140</td>
<td>2.084.510</td>
<td>5</td>
<td>5.814.710</td>
<td>7</td>
<td>3.071.920</td>
<td>3</td>
</tr>
<tr>
<td>Region 3 South-Mediterranean countries</td>
<td>8.797.600</td>
<td>1.759.520</td>
<td>4</td>
<td>4.926.660</td>
<td>6</td>
<td>2.111.420</td>
<td>2</td>
</tr>
<tr>
<td>Region 4 Russian Federation</td>
<td>4.657.550</td>
<td>2.189.050</td>
<td>5</td>
<td>2.468.500</td>
<td>3</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Region 5 Asia</td>
<td>20.876.220</td>
<td>4.175.240</td>
<td>10</td>
<td>14.613.360</td>
<td>18</td>
<td>2.087.620</td>
<td>2</td>
</tr>
<tr>
<td>Region 6 Central Asia</td>
<td>5.951.320</td>
<td>1.040.260</td>
<td>2</td>
<td>4.111.060</td>
<td>5</td>
<td>800.000</td>
<td>1</td>
</tr>
<tr>
<td>Region 7 Middle East</td>
<td>1.000.000</td>
<td>1.000.000</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Region 8 Pacific</td>
<td>1.000.000</td>
<td>1.000.000</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Region 9 Sub-Saharan Africa</td>
<td>27.086.320</td>
<td>10.834.530</td>
<td>27</td>
<td>10.834.530</td>
<td>13</td>
<td>5.417.260</td>
<td>5</td>
</tr>
<tr>
<td>Region 10 Latin America</td>
<td>10.695.140</td>
<td>1.604.270</td>
<td>4</td>
<td>7.486.600</td>
<td>9</td>
<td>1.604.270</td>
<td>1</td>
</tr>
<tr>
<td>Region 11 Caribbean</td>
<td>1.000.000</td>
<td>456.620</td>
<td>1</td>
<td>543.380</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>2022 CBHE indicative budget and n° of projects to be funded</strong></td>
<td><strong>104.055.300</strong></td>
<td><strong>31.312.610</strong></td>
<td><strong>74</strong></td>
<td><strong>55.606.800</strong></td>
<td><strong>68</strong></td>
<td><strong>17.135.890</strong></td>
<td><strong>16</strong></td>
</tr>
</tbody>
</table>
Duration and funding rules per Strand

Strand 1
- Projects can last 24 or 36 months
- Funding between EUR 200.000 and EUR 400.000 per project

Strand 2
- Projects can last 24 or 36 months
- Funding between EUR 400.000 and EUR 800.000 per project

Strand 3
- Projects can last 36 or 48 months
- Funding between EUR 800.000 and EUR 1.000.000 per project
Lump sum II - Why using lump sums?

Simplification

► Funding based on reimbursement of incurred costs remains complex and error-prone

► Lump sum system removes obligations on actual cost reporting and financial ex-post audits - i.e. major reduction of administrative burden

Focus on performance

► Shift from focus on financial management and checking costs to focus on the content of the projects
Lump sum II - Basic principles

- The amount of the lump sum is defined per project based on the estimated budget of the project proposed by the applicant.

- In the proposal, applicants must provide a detailed estimation of costs and a split of the lump sum per work package and per beneficiary.

- Evaluators assess cost details during evaluation and make recommendations if needed.

- Based on this, the lump sum is fixed during grant preparation.
Lump sum II - Basic principles

Lump sum evaluation and grant agreement follow standard approach as much as possible:

- Same evaluation criteria
- Same pre-financing and payment scheme
- Reporting periods and technical reporting:
  - Focusing on completion of work packages (WP)
  - Costs actually incurred are not relevant
Lump sum II- Budget allocation

One lump sum share is fixed in the grant agreement (GA) for each WP and beneficiary (Annex 2 GA, ‘Estimated lump sum breakdown’)

Max. liability of the beneficiary after payment of balance

<table>
<thead>
<tr>
<th>WP1</th>
<th>WP2</th>
<th>WP3</th>
<th>WP4</th>
<th>WP5</th>
<th>WP6</th>
<th>WP7</th>
<th>WP8</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Beneficiary A</td>
<td>250.000</td>
<td></td>
<td>50.000</td>
<td>300.000</td>
<td>250.000</td>
<td></td>
<td>300.000</td>
<td>1.150.000</td>
</tr>
<tr>
<td>Beneficiary B</td>
<td>250.000</td>
<td>350.000</td>
<td>50.000</td>
<td></td>
<td>100.000</td>
<td>150.000</td>
<td></td>
<td>900.000</td>
</tr>
<tr>
<td>Beneficiary C</td>
<td>100.000</td>
<td>100.000</td>
<td>50.000</td>
<td></td>
<td>280.000</td>
<td></td>
<td></td>
<td>530.000</td>
</tr>
<tr>
<td>Beneficiary D</td>
<td>120.000</td>
<td></td>
<td>50.000</td>
<td></td>
<td></td>
<td>100.000</td>
<td>150.000</td>
<td>420.000</td>
</tr>
<tr>
<td>Total</td>
<td>350.000</td>
<td>470.000</td>
<td>350.000</td>
<td>200.000</td>
<td>300.000</td>
<td>530.000</td>
<td>200.000</td>
<td>600.000</td>
</tr>
</tbody>
</table>

Share of the lump sum per WP
Lump sum II - Work Packages

- Applicants will **structure** their project in **WPs** and reflect this division in the budget attached to the application - (Part B of the Application - Technical description & annexes)

> Each Work Package will define its **objective, activities, milestones and deliverables**
Lump sum II - How to structure your Work packages

‘Work package is a major sub-division of the proposed project’

As many as needed but no more than what is manageable

- A single activity is not a WP
- A single task is not a WP
- A % of progress of work is not a WP (e.g. 50 % of the task)
- A lapse of time is generally not a WP (e.g. activities of year 1)
Lump sum II - How to prepare the budget

Applicants must submit an Excel workbook with the detailed estimation of costs

The purpose of the Excel workbook

- Supporting applicants in preparing their detailed budget estimation
- Allowing evaluators to assess the adequacy between the activities described in the proposal and the proposed resources
Lump sum II - How to prepare the budget

- Estimate your costs as if they should be declared under an actual cost-based grant agreement. Refer to the Annotated Model Grant Agreement.

- Consider the call specifications: co-financing rate, maximum amount of the grant, indirect cost.

- Evaluators may consult statistical, historical or any other appropriate data on costs and resources from comparable previously funded projects.

- Findings of the evaluation may lead to the removal of ineligible costs (outside eligibility period, activities already implemented, eligibility of consortium) or overestimated costs.
Award criteria
Award criteria

- Proposals must score at least 60/100 points in total to be selected
- At least half of the maximum points for each award criterion.
- In case of equal score, priority to proposals scoring highest under "Relevance of the project" and then “Sustainability, impact and dissemination of the expected results”.
Award criteria

➢ Proposals must score at least 60/100 points in total to be selected
➢ At least half of the maximum points for each award criterion.
➢ In case of equal score, priority to proposals scoring highest under "Relevance of the project" and then “Sustainability, impact and dissemination of the expected results”.

- Relevance (30 points)
- Quality of Project Design and Implementation (30 points)
- Quality of Partnership and cooperation arrangements (20 points)
- Sustainability, Impact and dissemination of the expected results (20 points)
**Award criteria**

**Relevance of the project**

**Purpose**
- Relevant to objectives and activities of CBHE and specificities of the Strand,
- Adequate response to current needs of the target country(ies) or Region(s) and of the target groups,
- The extent to which the proposal addresses the EU overarching priorities.

**Objectives**
- Based on a sound needs analysis; clearly defined, specific, measurable, achievable, realistic,
- They address issues relevant to the participating organisations and development strategies for higher education in the eligible third countries not associated to the programme.

**Link to EU policy and initiatives**
- The proposal takes into account and enhances complementarity/synergies with other interventions funded by the EU and other entities.

**EU added value**
- The proposal demonstrates that similar results could not be achieved without the cooperation of HEIs from the EU Mem.
Overarching priorities

- Green deal
- Digital transformation
- Migration and Mobility
- Governance, peace, security and human development
- Sustainable growth and jobs
Award criteria

Relevance of the project

- Lack of an appropriate needs analysis adapted to the features of the project
- Target groups or beneficiaries have not been precisely identified
## Award criteria

### Quality of the project design and implementation

<table>
<thead>
<tr>
<th>Award criteria</th>
<th>Details</th>
</tr>
</thead>
</table>
| **Coherence**        | • Consistency between project objectives, methodology, activities and the budget proposed,  
                        |   • Coherent and comprehensive set of appropriate activities to meet the identified needs and the expected results. |
| **Methodology**      | • The logic of the intervention is of good quality, planned outputs and outcomes are coherent and feasible, and key assumptions and risks have been clearly identified. LFM is sound and adequate. |
| **Work plan**        | • Quality and effectiveness of the work plan are in line with their objectives and the deliverables,  
                        |   • the relation between the resources and the expected results is adequate and the work plan is realistic, with well-defined activities, time-lines, clear deliverables and milestones. |
| **Budget**           | • Cost efficiency and appropriate financial resources for a successful implementation of the project,  
                        |   • The estimated budget is neither overestimated nor underestimated. |
| **Quality control**  | • Control measures (continuous quality evaluation, peer reviews, benchmarking activities, mitigating actions etc.) and quality indicators ensure a project implementation of high quality. |
| **Environmental sustainability** | • The project is designed in an eco-friendly way. |
## Ensure coherence in LFM intervention logic

<table>
<thead>
<tr>
<th>Medium, long run To reduce unemployment of graduates in Ethiopia</th>
<th>% of graduates employment 10 months after the new diploma</th>
<th>Regional and university statistic</th>
<th>Assumptions &amp; Risks</th>
</tr>
</thead>
<tbody>
<tr>
<td>Expected at the end of the project</td>
<td>25 students enrolled in each new curriculum</td>
<td>How indicators will be measured</td>
<td></td>
</tr>
<tr>
<td>Creation of 8 new curricula addressing professional profiles requested by the labour market</td>
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</tbody>
</table>

Accreditation and implementation of 8 new Bachelors co-designed by academia and enterprises (2 x HEIs)  
Creation of new teaching materials  
Students placement system  

<table>
<thead>
<tr>
<th></th>
<th>20 teachers trained in each HEI</th>
<th>20% of e-learning courses</th>
<th>20 new textbooks drafted</th>
<th>All enrolled students having attended an internship</th>
<th>How indicators will be measured</th>
<th>Assumptions &amp; Risks</th>
</tr>
</thead>
<tbody>
<tr>
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</table>

Meetings with enterprises  
Teachers training  
Drafting accreditation documents  
Drafting new manuals  
Setup of a placement mechanism  

<table>
<thead>
<tr>
<th></th>
<th>Inputs</th>
<th></th>
<th>Assumptions &amp; Risks</th>
</tr>
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</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tr>
</tbody>
</table>

### Assumptions & Risks

- Meetings with enterprises
- Teachers training
- Drafting accreditation documents
- Drafting new manuals
- Setup of a placement mechanism

### Inputs

- How indicators will be measured
- Assumptions & Risks
Award criteria

Quality of the project design and implementation

- Preparation phase is too long
- Lack of consistency between the different parts of the proposal
- Costs effectiveness of the proposal is not ensured
- Unbalanced distribution of budget
Award criteria

Quality of the partnership and the cooperation arrangements

**Management**
- Solid arrangements are foreseen,
- Timelines, governance structures, collaboration arrangements and responsibilities well defined and realistic.

**Composition**
- Appropriate mix of organisations with the necessary competences relevant to the objectives of the proposal and to the specificities of the Strand,
- Most appropriate and diverse range of non-academic partners.

**Tasks**
- Roles and tasks are assigned on the basis of the specific know-how, profiles and experience of each partner.

**Collaboration**
- Effective mechanisms to ensure efficient collaboration, communication and conflict resolution between the partner organisations and any other relevant stakeholders.

**Commitment**
- The contribution from the project partners is significant, pertinent and complementary,
- The proposal demonstrates the partners’ involvement, commitment and ownership of the project’s specific objectives and results, in particular from the third countries not associated to the programme.
Award criteria

Quality of the partnership and the cooperation arrangements

- The proposal includes staff that will not participate in the project
- Unbalanced distribution of responsibilities among the partners
## Award criteria

### Sustainability, impact and dissemination of the expected results

| **Exploitation** | • How the outcomes of the project will be used by the partners and other stakeholders; how multiplier effects will be ensured and it provides means to measure exploitation within the project funding time and after. |
| **Dissemination** | • Clear and efficient plan for the dissemination of results, appropriate activities and their timing, tools and channels to be spread effectively to all relevant stakeholders and non-participating audience, reaching out and attracting relevant stakeholders to the outcomes within and after the project’s funding time. |
| **Impact** | • Ensuring a continuous and sustainable response to the existing barriers and the increase of accessibility of students/staff with fewer opportunities to the learning opportunities and resources offered by the HEIs.  
• Increasing the international cooperation capacities of institutions in third countries not associated to the programme.  
• Tangible impact on its target groups and relevant stakeholders at local, national or regional level,  
• Measures, goals and indicators to monitor progress and assess the expected impact at individual, institutional and systemic level. |
| **Open access** | • Materials, documents and media produced freely available and promoted through open licenses and without disproportionate limitations. |
| **Sustainability** | • How the project results will be sustained financially and institutionally and how the local ownership will be ensured. |
Award criteria

Sustainability, impact and dissemination of the expected results

- Involve the relevant stakeholders
- Address sustainability since the beginning
### KEY WORDS for a competitive application

<table>
<thead>
<tr>
<th>Coherent in its entirety</th>
<th>• avoid contradictions; avoid “patchwork”</th>
</tr>
</thead>
<tbody>
<tr>
<td>Concrete</td>
<td>• use examples, justify your statements, bring evidence</td>
</tr>
<tr>
<td>Clear</td>
<td>• follow the questions and answer them in the right order</td>
</tr>
<tr>
<td>Simple language</td>
<td>• also complex subjects can be explained in a plain language. Keep most sentences 10-15 words long.</td>
</tr>
<tr>
<td>Explicit</td>
<td>• do not take anything for granted; do not assume experts will always understand; avoid abbreviations or explain them the 1st time</td>
</tr>
<tr>
<td>Rigorous</td>
<td>• the application is the basis on which your project will be implemented; it is also the cornerstone of your partnership commitment</td>
</tr>
<tr>
<td>Focused</td>
<td>• stick to what is asked</td>
</tr>
<tr>
<td>Complete</td>
<td>• ensure you have followed all the instructions and that the proposal fulfils all the mandatory requirements</td>
</tr>
</tbody>
</table>
Evaluation procedure
EACEA takes a grant award decision based on:

- ranking list on quality established by independent experts
- consultation process with EU Delegations
- the budget available for each Region and strand
- the need to achieve a sufficient geographical representation within a Region
- compliance with the requirements applicable to specific Regions

Evaluation Committee's recommendation, taking into account:
Consultation of EU Delegations

Recognition of HEIs by the national competent authorities

Feasibility of the project in the local context of the third country(ies)

The project is contributing to the local needs in the priority area

Overlapping with existing initiatives in the chosen thematic area funded by the EU Delegation, national or international donors
Publication: 24 November 2021
Deadline: 17 February 2022
Evaluation process: March - July 2022
Information to applicants: August 2022
Start of projects: end 2022
How to submit a proposal?

- **Where?**
  
  Applications must be submitted through the European Commission’s Funding & Tender Opportunities Portal (F&TP) using the Portal Submission System:

  https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/home

  - **Call ID:** ERASMUS - EDU-2022-CBHE
  - **Topic ID:**
    - ERASMUS - EDU-2022-CBHE-STRAND-1
    - ERASMUS - EDU-2022-CBHE-STRAND-2
    - ERASMUS - EDU-2022-CBHE-STRAND-3

- **Who?**
  
  Proposals must be created and submitted by a contact person of the coordinating organization.

- **When?**
  
  Deadline: by 17 February 2022 - 17:00 (Brussels time)

  Applicants are highly recommended to submit proposals as early as possible and at least 48 hours prior to the call deadline.
Thank you