



SA-EU STRATEGIC PARTNERSHIP
THE DIALOGUE FACILITY

www.dialoguefacility.org



THE DIALOGUE FACILITY
Bridging Phase
Guidelines and Criteria for Support

This publication has been produced with the assistance of the European Union. The contents of this publication are the sole responsibility of its author(s) and can in no way be taken to reflect the views of the European Union, the Dialogue Programme, or any of the South African or EU institutions participating in this Programme unless directly attributed.

Neither the European Commission nor any person acting on behalf of the Commission is responsible for the use, which might be made of the information herein.

This is a second edition publication, 2015, for the Bridging Phase 2015-2016. The first edition was published by the Dialogue Facility in South Africa, in 2011.

Reproduction is authorised provided the source is acknowledged.

This publication can also be downloaded from: www.dialoguefacility.org

TABLE OF CONTENTS

1.	PURPOSE OF THIS DOCUMENT	4
2.	BACKGROUND, OBJECTIVES AND PRIORITY AREAS	5
3.	ELIGIBILITY CRITERIA FOR SUPPORT FUNDING	6
3.1	Eligible applicants: who may apply?	6
3.2	Eligible projects for dialogue support	6
3.3	Ineligible projects	7
3.4	Duration	7
3.5	Location of project	7
3.6	Number of applications and funding allocations per applicant	7
3.7	Maximum Costs of a Project	7
3.8	Eligible costs	7
3.8.1	Eligible costs	7
3.8.2	Ineligible costs	8
4.	PROCESS OF ACCESSING FUNDING	8
4.1	Project identification and submission	8
4.2	Criteria for evaluation and selection	9
4.3	Notification of the decision of the Programme Steering Committee	9
5.	PROJECT IMPLEMENTATION AND PROCUREMENT PROCEDURES	9
5.1	Development of the detailed project plan	9
5.2	Procurement procedures	9
5.3	Time-lines applicable for procurement	9
6.	REPORTING PROCEDURES AND PAYMENT FOR SERVICES	10
6.1	Reporting by the Applicant	10
6.2	Payment Procedures	10
7.	TIMETABLE FOR PROJECT PROPOSAL SUBMISSIONS	10
7.1	Period for which Dialogue Facility Support is available	10
7.2	Timetable for PSC Assessment and Approval	10
7.3	Timetable for finalisation of the Project Dossier from Project Proposal	10
8.	CONTACTING THE PROGRAMME MANAGEMENT UNIT	11
9.	ANNEXES LIST	11
10.	DOWNLOADING APPLICATION DOCUMENTATION	11
DETAILED ANNEXES		
ANNEX I:	Project Proposal Format	13
ANNEX II:	Project Submission Process	14
ANNEX III:	Project Proposal Evaluation Grid	15
ANNEX IV:	Project Reporting Template	17

1. PURPOSE OF THIS DOCUMENT

This document sets out the guidelines for funding of direct support for dialogue and dialogue capacity building initiatives to be funded under the Bridging Phase of the Dialogue Facility under the framework of the TDCA and the Strategic Partnership between the European Union and South Africa.

It provides information on:

- the Dialogue Facility background, objectives and priorities;
- eligibility criteria for funding support;
- the process of accessing funding;
- project implementation and procurement procedures;
- reporting procedures and payment for services; and
- timetable for project proposal submissions

This document is designed to provide information to those who wish to apply for funding support under the Bridging Phase of the Dialogue Facility.



“The overall objective of the Dialogue Facility programme is to “strengthen relations between the European Union and South Africa”

2. BACKGROUND, OBJECTIVES AND PRIORITY AREAS

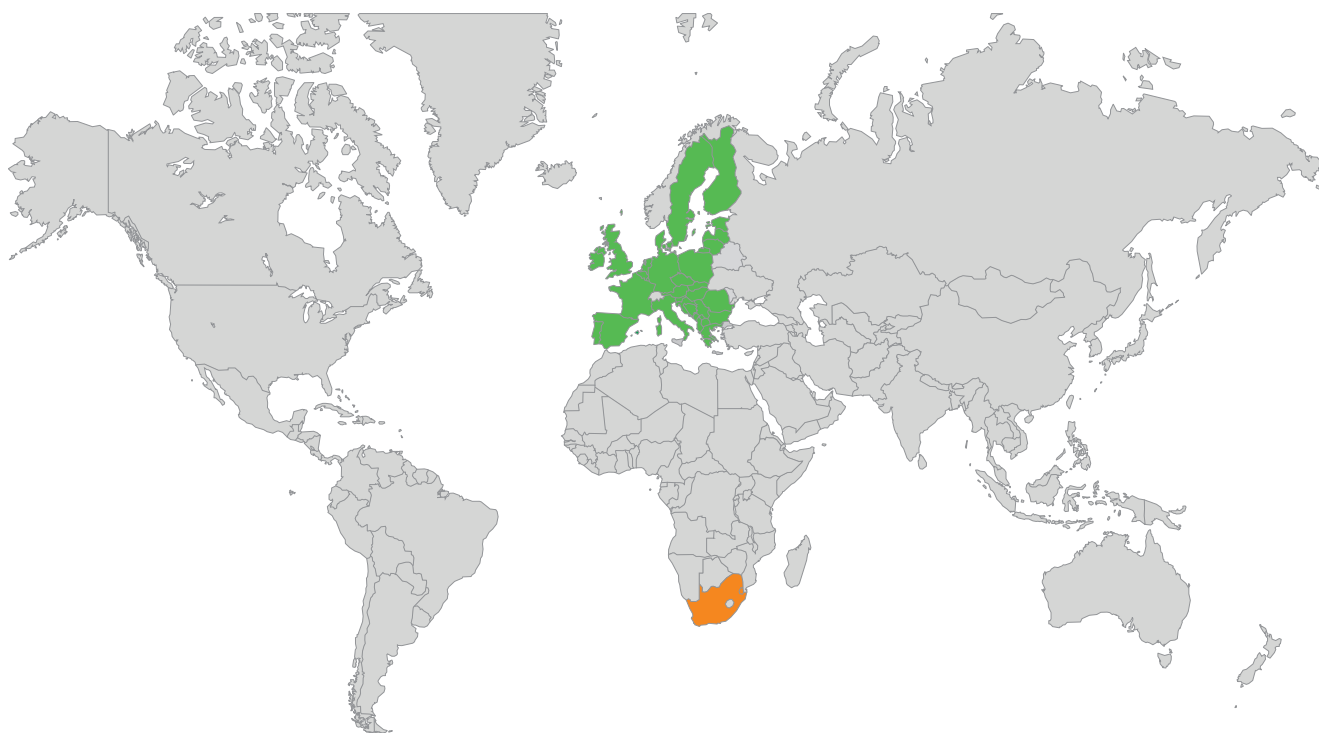
The Dialogue Facility has been established to support dialogue and cooperation in bilateral, regional, African and global matters between the Government of South Africa and the European Union (and its Member States).

Dialogue and cooperation has already been stepped up through increased and regular high level political dialogue meetings – e.g. Ministerial meetings and annual summits. Furthermore, and in order to fully implement the SA-EU Trade, Development and Cooperation Agreement (TDCA) and the SA-EU Strategic Partnership Joint Action Plan (JAP), a number of functional dialogue forums have been or are in the process of being established. The Dialogue Facility will help contribute to activities directly associated with the process of establishment and development of functional dialogue forums.

The TDCA and the Strategic Partnership Joint Action Plan foresee cooperation between equal partners in a number of areas in the economic, social and cultural fields. The list of areas is open-ended and new ones can be added through agreement between the parties based on them concurring that the area of cooperation is consistent with the objectives of the TDCA and the Strategic Partnership Joint Action Plan. The Dialogue Facility is designed to support the various dialogues that are in operation or in the process of being established through the provision of technical assistance resources i.e. expertise and resources for related support costs.

The overall objective of the programme to which the Dialogue Facility will contribute is to “strengthen relations between the European Union and South Africa”. The purpose of the Facility is to “facilitate the implementation of priority aspects of the Strategic Partnership Joint Action Plan and raise awareness on the special relationship between the EU and South Africa”.

The Dialogue Facility, by complementing the ongoing actions of South Africa and the European Commission and EU Member States, will contribute to the overall objective. The Dialogue Facility will evidence that it has achieved its purpose by demonstrating that cooperation or dialogue will have been enhanced in the sectors/themes identified in the project plan.



The Result Areas of the programme are:

Result 1: Improved sectoral policy dialogue and cooperation between the EU and South Africa in the areas under the Strategic Partnership Action Plan;

Result 2: Increased institutional capacity to help implement the areas of cooperation of the Strategic Partnership Action Plan and TDCA; and

Result 3: Increased awareness and understanding of the Strategic Partnership and TDCA amongst the target groups and indirect beneficiaries.

Within the Dialogue Facility, funds have been made available for use on projects to facilitate cooperation and dialogue towards the implementation of priority aspects of the TDCA and the Strategic Partnership Joint Action Plan.

This document sets out the criteria and guidelines for allocation and use of these funds.

3. ELIGIBILITY CRITERIA FOR SUPPORT FUNDING

In the initial phase of the programme, two streams of support funding were available, namely support for established dialogues and support for emerging dialogues. During the Bridging Phase both established and emerging dialogues will be supported under one stream of funding.

3.1 Eligible applicants: who may apply?

Eligible applicants include government and institutions that are not exclusively governmental in nature, but may also include academia, the media and other non-state actors and civil society organisations, where:

- such institutions apply in partnership with government departments; and
- the government department is the lead institution.

Eligible applicants are defined as those meeting the eligibility criteria above, whether from South Africa or Europe.

3.2 Eligible projects for dialogue support

Within the context of the dialogue support, a project is defined as being composed of a set of activities that are required to meet an identifiable objective and results, with a defined time frame and budget.

The funding for dialogue will be used for small-scale, demand-driven projects that are less than one year in duration, are ready for implementation and have a strong potential to lead to dialogue and cooperation.

Dialogue support will concern issues mentioned in the TDCA and/or the Strategic Partnership Action Plan. It will cover, but will not be limited to, the following policy dialogue areas of:

- Peace & Security
- Development Cooperation
- Science & Technology
- Trade Cooperation
- Environment and Sustainable Development
- Migration
- Health
- Space Cooperation
- Energy
- Maritime Transport
- Joint Parliamentary Committee
- ICT
- Education and Training
- Crime and Justice
- Employment and Social Affairs
- Customs Cooperation
- Statistics
- Culture

Eligible activities to access the Dialogue Facility include:

1. the facilitation and planning of meetings and conferences to create an opportunity for the exchange of information and create a platform for policy dialogue;
2. the use of technical assistance / researchers to prepare papers on specific sectoral subjects as identified in the TDCA or the Strategic Partnership Joint Action Plan in preparation for meetings and conferences between South Africa and the European Union;
3. mentorship programmes; and
4. the facilitation of study tours to the European Union, South Africa and other EU Strategic Partners relating to various sector topics and dialogues.

3.3 Ineligible projects

The following types of project are ineligible:

- Projects concerned with individual sponsorship for participation in workshops, seminars, conferences or congresses;
- Projects concerned with scholarships for studies or training courses;
- Projects concerned with the improvement of infrastructure and facilities of the applicant;
- Projects which are covered by existing funding through Finance Agreements with the European Commission or EU Member States;
- Salaries of public servants or contractors on long-term contracts with the public sector or its agencies; and
- Projects which fall under the core responsibility of the organisations supporting the application.

3.4 Duration

The planned duration of a project may not exceed twelve months.

3.5 Location of project

The project must take place in South Africa, Africa, the European Union or a strategic partner of the EU.

3.6 Number of applications and funding allocations per applicant

An applicant and/or policy dialogue area is not restricted in the number of funding allocations that can be received. Support can be provided for a number of separate projects which complement each other in the development of the policy dialogue.

Applicants are discouraged from submitting large open-ended projects with broad activities sequenced into a number of phases. Instead, applicants should request support for focused project(s). The outcomes of any particular project should lead to the advancement of policy dialogue. The outcomes of a project can also be used to inform a subsequent application for support to take the dialogue forward. All projects approved for support will receive an allocation based on the realistic and competitive costing of the project.

3.7 Maximum Costs of a Project

During the Bridging Phase policy dialogue areas will have access to €1,000,000 (approximately R15M). A policy dialogue project will have access to a maximum of €150,000 (approximately R2.2M).

3.8 Eligible costs

Only costs defined in these guidelines may be covered by the funding allocation, as shown below. The budget submitted in a proposal is both a cost estimate and a ceiling for eligible costs. Support under the Bridging Phase will cover all of the costs of the intended project. All projects must be costed in both South African Rand and Euros and be exclusive of VAT.

3.8.1 Eligible costs

Subject to the eligibility of the project and activities as specified above, the following costs are eligible:

- Fees for experts (salary costs are explicitly excluded);
- Per diems;
- Travel costs, which may be air travel, rail travel, vehicle rental, vehicle costs recovered as a cost per kilometer; and
- Other costs: Publications, studies, research, purchase of data, translation services, facilitation services, evaluation studies, costs of conferences and seminars.

3.8.2 Ineligible costs

The following costs are not eligible:

- debts and provision for losses or debts;
- interest owed;
- items already funded in another framework;
- purchase of land or buildings;
- currency exchange losses;
- taxes, including VAT; and
- salaries.

4. PROCESS OF ACCESSING FUNDING

4.1 Project identification and submission

The Programme Management Unit will communicate with target groups and undertake awareness raising to inform potential applicants of the dialogue support available under the Bridging Phase in order to generate proposals.

Utilising the administrative assistance available from the PMU, applicants will identify possible projects to be funded in line with their departmental functions, priorities of the GoRSA, the TDCA, the Strategic Partnership Joint Action Plan or the Bridging Phase of the Dialogue Facility.

These actions should be captured in a Project Proposal (Annex I to these Guidelines) and presented in writing to the Programme Management Unit.

The project proposal will address:

- Relevance of the project to the objectives of the Programme, the dialogue areas and the priorities of GoRSA.
- The required activities and the expected results of the project.
- A budget estimate and expected areas of expenditure (e.g. technical assistance, study tours, etc).

The PMU have been charged by the Programme Steering Committee to offer advice to the applicants on the applicability of the proposed project. Applicants are encouraged to work with the PMU in the development of their project proposal. The PMU support is limited to the provision of guidance to assist applicants meet application requirements. The PMU is restricted from providing technical advice or input into the content of developing proposals.

In developing the project proposal the applicant should also develop a draft logical framework for their proposal, an activity based budget and the terms of reference for the services needed for the implementation of the project.

Project proposals should be submitted to the PMU accompanied by a letter confirming the fit of the proposal to the priority areas for support under the Bridging Phase and detailing the applicant's confirmation that the project proposal has appropriate policy alignment in respect of the remit of the applicant organisation and (where appropriate) their partner(s). This letter must also be provided. This supporting letter must be signed by the Accounting Officer of the applicant organisation.

Applicants will also present project proposals to the Programme Steering Committee for evaluation and decision.

The process of submitting project proposals for dialogue support funding is attached as Annex II to these guidelines.

4.2 Criteria for evaluation and selection

When deciding whether to approve a project, the PSC will consider:

- the criteria set out in these guidelines;
- the project's alignment to the objectives of the TDCA and the Strategic Partnership's Joint Action Plan
- the available budget, and the relative merits of competing proposals;
- fairness in distribution of funds to all policy dialogue areas;
- the proposed objectives of the project, alignment to objectives of the Dialogue Facility and the strategic importance of the dialogue to the EU/SA relationship; and
- effective use of previous funding allocations (where applicable).

These criteria are set out in the Project Proposal Evaluation Grid at Annex III to these Guidelines.

4.3 Notification of the decision of the Programme Steering Committee

The decision of the evaluation of the project proposal by the PSC will be communicated to the applicant verbally and in writing. The PMU will undertake the follow up actions.

5. PROJECT IMPLEMENTATION AND PROCUREMENT PROCEDURES

5.1 Development of the detailed project plan

Once a project proposal has been approved by the PSC, the PMU will support the successful applicant in finalising the Terms of Reference, Logical Framework and accurate Activity Based Budget for the project.

5.2 Procurement procedures

Procurement will be undertaken in the following ways:

- Short-term expertise (STE) will be procured through a framework contract. The European Union Delegation (EUD) will procure the experts through its framework contract database. The STEs will be managed by the applicant on technical issues, while the Delegation, supported by the PMU, will undertake the necessary contract management.
- Where conference and workshops are to be organised, the above-mentioned framework contract database will be used. The contractors will be managed by the applicant on technical issues, while the EUD, supported by the PMU, undertakes necessary contract management.
- Where study tours are required, again the above-mentioned framework contract database will be used to procure a travel services company. The contracted company will be managed by the applicant on technical issues, while the EUD, supported by the PMU, undertakes necessary contract management.

5.3 Time-lines applicable for procurement

In the conceptualisation of their project, applicants should take into account the lead time required for procurement under the various modalities. The minimum time for the procurement process is 2 months once the project documentation (TOR, Logframe and Activity Based Budget) have been finalised.

6. REPORTING PROCEDURES AND PAYMENT FOR SERVICES

6.1 Reporting by the Applicant

The applicant will be responsible for reporting on the implementation of the project. The frequency of reporting will be determined by the PSC. The reporting requirements will be communicated upon approval of the project.

6.2 Payment Procedures

Successful project applicants will receive “in-kind” support for the implementation of the project i.e. there will be no direct financial support to the organisation for the implementation of the project.

Payments to service providers will be made by the European Commission. Such payments in all cases will be subject to the applicant organisation reporting on the implementation of the project.

7. TIMETABLE FOR PROJECT PROPOSAL SUBMISSIONS

7.1 Period for which Dialogue Facility Support is available

All contracting under the Bridging Phase must be completed by 31 December 2016. Implementation of projects must be completed within 12 months of the signature of the specific framework contract for each project.

7.2 Timetable for PSC Assessment and Approval

A call for projects will be announced with a deadline for submission of project proposals. The PSC will convene to evaluate the proposed projects and decide on funding.

The PMU will formally advise the applicant of the decision of the PSC with respect to the applicant's submission.

7.3 Timetable for finalisation of the Project Dossier from Project Proposal

Following the notification to the applicant of the PSC's decision on their project proposal, the PMU will support the successful applicant to finalise the project dossier with a view to procuring the required services through a framework contract. This process, to which the EU Delegation will be closely associated, must be completed within one month of the PSC's decision.

8. CONTACTING THE PROGRAMME MANAGEMENT UNIT

The PMU can be contacted as follows:

9. ANNEXES

The following annexes form part of these guidelines.

ANNEX I:	Project Proposal Format
ANNEX II:	Project Submission Process
ANNEX III:	Project Proposal Evaluation Grid
ANNEX IV:	Project Reporting Template

10. DOWNLOADING APPLICATION DOCUMENTATION

The application pack is available from: www.dialoguefacility.org

Annexes



ANNEX I

DIALOGUE FACILITY

BRIDGING PHASE 2015-2016

PROJECT PROPOSAL FORMAT

Applicants should complete the following sections in no more than 6 pages .

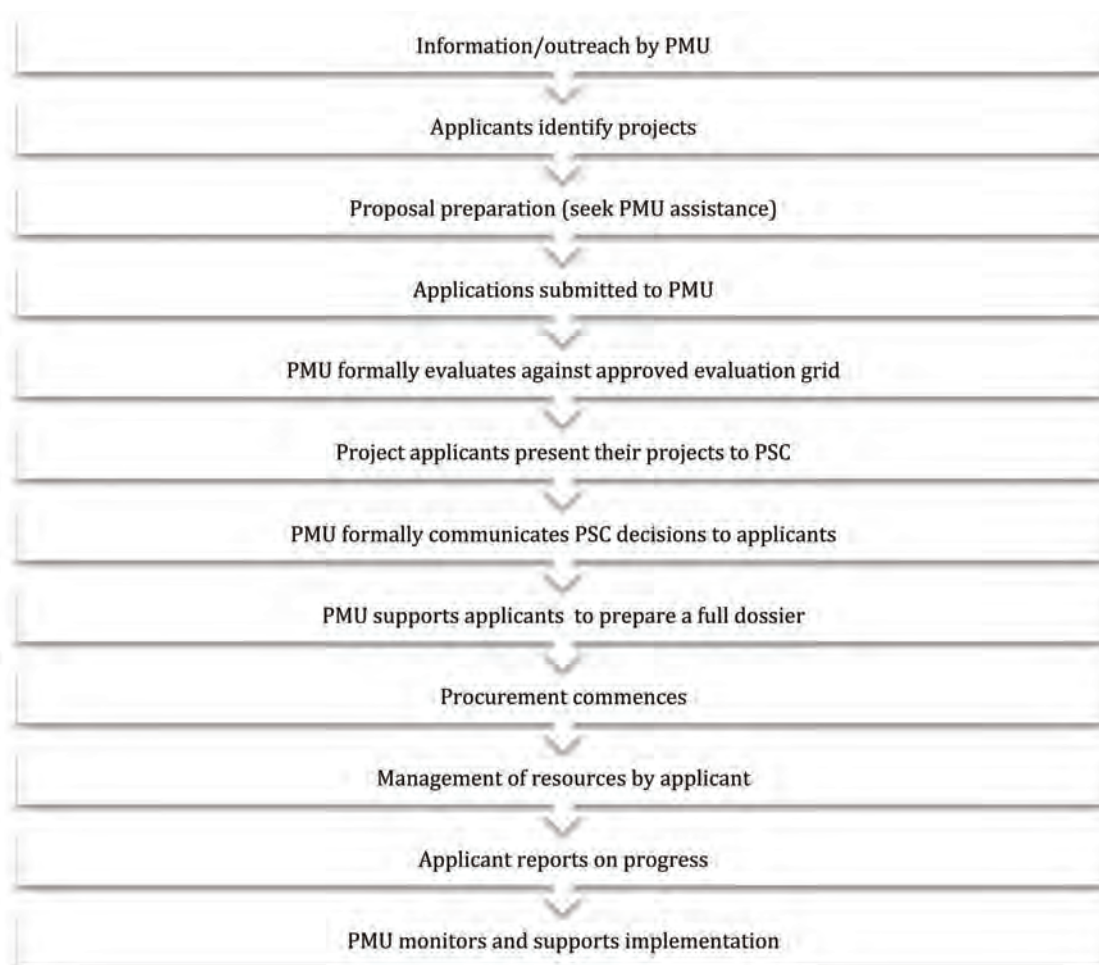
1.	Overall summary of the Project
2.	Alignment & Motivation (Alignment with SA priorities, including the National Development Plan, TDCA Joint Action Plan or Strategic Action Plan and merits of the proposed area of dialogue)
3.	Target Group (Applicant, South African Partners, EU partners)
4.	Project proposal topic and purpose
5.	Areas on which project proposal will focus (Legislation, best practice, capacity building, dialogue, etc)
6.	Support requested (Technical assistance, conference, study tour, etc)
7.	Methodology (Steps and who does what)
8.	Indicative cost and duration (Clear time frames should be indicated)

ANNEX II

DIALOGUE FACILITY

BRIDGING PHASE 2015-2016

PROCESS OF SUBMITTING PROJECT PROPOSALS FOR SUPPORT FUNDING



1. The PMU undertakes an awareness raising and information campaign around the direct support funding available under the Dialogue Facility.
2. Applicants identify the possible projects to be funded in line with their functions and the relevant dialogue forums.
3. Applicants are responsible for the technical detail of their applications and may contact PMU to assist in ensuring that the project proposals meet the administrative requirements.
4. Thereafter, the project proposal should be presented in writing (no more than six pages) to the PMU. The project proposal format provided at Annex I to the Direct Funding Support Guidelines must be used.
5. Project proposals must be submitted by the deadline mentioned in the call for projects.
6. PMU undertakes a formal evaluation of all proposals received against the Evaluation Grid (Annex III to the Direct Funding Support Guidelines).

7. PMU will present a report on all project proposals submitted and assessed to the PSC for consideration. The PSC's decision on applications submitted falls into three categories:
 - Approved
 - Rejected
 - Deferred in order for applicant to have opportunity to rework and resubmit.
8. The applicants will present their project proposals at the PSC meeting.
9. The PMU will communicate the decision of the PSC to the applicant.
10. Project applications that are deferred may receive support from the PMU to improve the proposal for resubmission - to be considered on a case-by-case basis at the discretion of the PSC.
11. After PSC approval of the project, the PMU will support the applicant, and collaborate with EU and DIRCO, to prepare a full project dossier i.e. Terms of Reference, Logframe and Activity Based Budget.
12. Once the project dossier is finalized, within one month of the PSC approval, procurement will commence.
13. Once the resources are procured, the management of the service providers is the responsibility of the applicant, supported by the PMU with respect to EU procedural issues.
14. The successful applicant will report progress on the implementation of the project to the PMU and the PSC - a reporting schedule will be communicated to the beneficiary in due course. (See Annex IV for the reporting template)

ANNEX III

DIALOGUE FACILITY

BRIDGING PHASE 2015-2016

SUPPORT EVALUATION GRID

Project proposals having respected the deadline for submission to the Programme Management Unit will be evaluated by the Programme Steering Committee using the criteria below.

There are seven criteria broken down into a number of questions. All project proposals will receive a YES or NO against each question. A project can only be recommended for funding if it receives YES for all of the questions. Any project proposals that receive NO will be rejected for direct support and the PSC will be informed.

Project Reference	
Project Title	
Applicant	
PSC Meeting Date	
PMU Task Manager	

1. Motivation		YES	NO
a. Are the opportunities and the benefits for policy dialogue clearly identified in the project proposal?			
b. Are the applicants and partner(s) involved in the project clearly defined & strategically chosen?			
c. Does the proposed project have added value for dialogue development by reference to other interventions?			
2. Alignment		YES	NO
a. Is the proposal relevant to the priority areas of the TDCA, SA-EU Dialogue and the Finance Agreement?			
b. Is the proposal aligned with ongoing or emerging dialogue areas?			
c. Does the applicant demonstrate alignment with the policy framework within which the applicant organisation and partners operate?			
3. Partners and Stakeholders		YES	NO
a. Are all relevant partners identified in the proposal?			
b. Are the partners identified in the proposal appropriate for the dialogue proposed?			
c. Have the relevant stakeholders been identified and consulted on the proposal?			
4. Area of Focus		YES	NO
a. Are the areas of intervention within the proposal described and the outcomes clearly identified?			
b. Are the areas of intervention within the proposal appropriate to achieve policy dialogue?			
c. Is the timetable for the proposal realistic and has it taken account of the activities scheduled in the relevant policy dialogue(s)?			
5. Budget and duration		YES	NO
a. Has the budget for the proposed activities been appropriately costed?			
b. Is the duration of the project within the 12-month maximum			
6. Methodology and Sustainability		YES	NO
a. Are the activities proposed appropriate, practical, and consistent with the objectives and expected results?			
b. Is/are the partners' level of involvement and participation in the proposal satisfactory?			
c. Are the expected results of the action likely to have a sustainable impact on the policy dialogue forum of the target group? Will it have demonstrative and multiplier effects?			
7. Operational capacity and expertise.		YES	NO
a. Do the applicant and partners demonstrate sufficient technical expertise to implement the project?			
b. Does the applicant have sufficient project management expertise in order to deliver upon the project proposal?			
PMU Task Manager Recommendation to PSC			
Comments			

ANNEX IV

DIALOGUE FACILITY

BRIDGING PHASE 2015-2016

PROJECT REPORTING TEMPLATE



SA-EU STRATEGIC PARTNERSHIP

THE DIALOGUE FACILITY

The Dialogue Facility
Bridging Phase 2015-2016

Quarterly Project Progress Report

Title
Date

Table of Contents

1. Background
2. Summary and Overview
3. Key Project Outputs/Outcomes
4. Planned Activities
5. Risk/challenges
6. Lessons Learnt

1. Background

Should include the following detail:

- What is/are the objective/s of the project that it seeks to contribute towards? What are the project's expected main results? Who are the partners and main beneficiaries?
- How does the project contribute to advancing South Africa's National Development Plan and the SA-EU TDCA or Strategic Partnership Joint Action Plan objectives?
- What are the planned activities funded through the TDCA facility Bridging Phase? and
- What is the project timeframe?

2. Summary and Overview

This section is a snap shot of the project implementation for the period of reporting:

- Summary of project activities to date concerning the project in its entirety.
- Indicate co-funding, if any, of the project.

3. Key Project Outputs/Outcomes

- Brief report on the outputs at the time of reporting:
 - For workshops/conferences (attach a copy of the agenda and attendance lists): provide a brief overview.
 - For short term experts: provide details on the expert/s and the areas of responsibility.
 - For study tours: provide details on participants, country/ies visited, institutions, individuals interacted with.
 - Capacity-building activities.
- Brief report on the results reached by the project on the basis of the above-mentioned outputs

4. Planned activities

- Brief report on what is still to be undertaken (as foreseen in the project's Terms of Reference):
 - Workshop/conferences- brief detail and foreseen dates.
 - Short-terms experts to be sourced- brief detail and expected date of mobilization.
 - Study tour- brief detail on participants, country/ies and institutions to be visited and foreseen dates.
 - Capacity-building activities- brief detail and timeframe.

5. Risks/ challenges

List risks, challenges and concerns with possible corrective actions/measures

Provide an explanation for any deviations from the original plan of implementation and reasons for this.

(*Note: discuss risks, challenges and concerns with the PMU and the EUD as they arise. If there are deviations this could have consequences for contract management. If there is any indication that a deviation may occur you are encouraged to speak to the PMU and the EUD.)

6. Lessons Learnt

- Provide detail on lessons learnt to date



About the Dialogue Facility



The Dialogue Facility seeks to support the strengthening of policy dialogue between the European Union (EU) and South Africa. South Africa and the EU enjoy a reinforced and special relationship following their agreement to a Strategic Partnership in 2006. The Strategic Partnership and its related Action Plan are intended to build on the existing relationships with the intention of strengthening political and economic cooperation. The Strategic Partnership is a significant move by the EU and South Africa beyond mere political dialogue to active cooperation on issues of mutual interest at bilateral, regional, continental and international levels.

The Dialogue Facility will provide support such as technical assistance, logistics (conferences, workshops, seminars, events), support to study tours, research, mentoring, twinning, etc.

The Dialogue Facility is strategically guided in a partnership between European Union and the government of South Africa. A Programme Management Unit deals with day-to-day administration.

For further information refer to www.dialoguefacility.org

