Central European Centre
for Women and Youth in Science



# Project Sourcebook: Sharing Experiences - Building Projects

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# Preface

Preparing a Framework Programme 6 project is a demanding task, especially for newcomers. We know because we were there – at a stage when everything was new. We have succeeded in securing a contract with the European Commission for a Specific Support Action (SSA) project titled "Central European Centre for Women and Youth in Science" (CEC-WYS), and since one of our overall objectives is to support women in science, we had planned to prepare a manual for potential project proposers. For anyone wanting to establish a regional centre, beyond the national level, applying for Framework Programme funds is perhaps the easiest. It is the only way that we knew how to go about establishing such a centre. Thus writing a Sourcebook for people interested in establishing a regional centre necessarily meant sharing our experience with FP 6, which in turn led us to share this experience with all potential proposers of FP 6 projects, regardless of the nature of their project. Thus the definition of our target group evolved as the Sourcebook will now be available to all researchers, while the concrete examples and case studies are, out of necessity, taken from our experience building a regional centre for women and youth in science, and thus we hope that this Sourcebook will still serve it's original purpose as well as addressing the needs of other scientists.

The three key objectives of this sourcebook are then (i) to assist specifically those wishing to establish a regional centre for women and youth in science (ii) to provide guidance on how to successfully write a multi-partner research proposal, and (ii) how to successfully coordinate such projects and manage emerging problems.

When we started preparing our project, we looked for guides that could help. Besides CORDIS (which can be extremely helpful if you know how to use it but at first glance is very complicated), it was nearly impossible to find any relevant guidance that would be provided free of charge. The only resources available for project coordination and management training are expensive courses run by consulting companies. These training courses may indeed be very useful, as the co-ordinator of this project found out later, but they may not be provided at the time you need them or may be expensive. In this sourcebook we strive to provide the information you need to submit an FP 6 proposal without any previous experience.

A note of caution: this sourcebook is based only on the experience and lessons learnt from writing, negotiating, coordinating and managing one Specific Support Action project and submitting a successful Specific Targeted Research Project. We aim to provide helpful advice based on our own and our partners' experience of not only what has gone right but what lessons we have learnt for next time, but it is certainly not an authoritative account applicable to all types of projects. Nevertheless we hope that future project coordinators will find the issues addressed herein useful and time-saving.

We wish you good luck in your endeavours!

Marcela Linkova and Laura Henderson

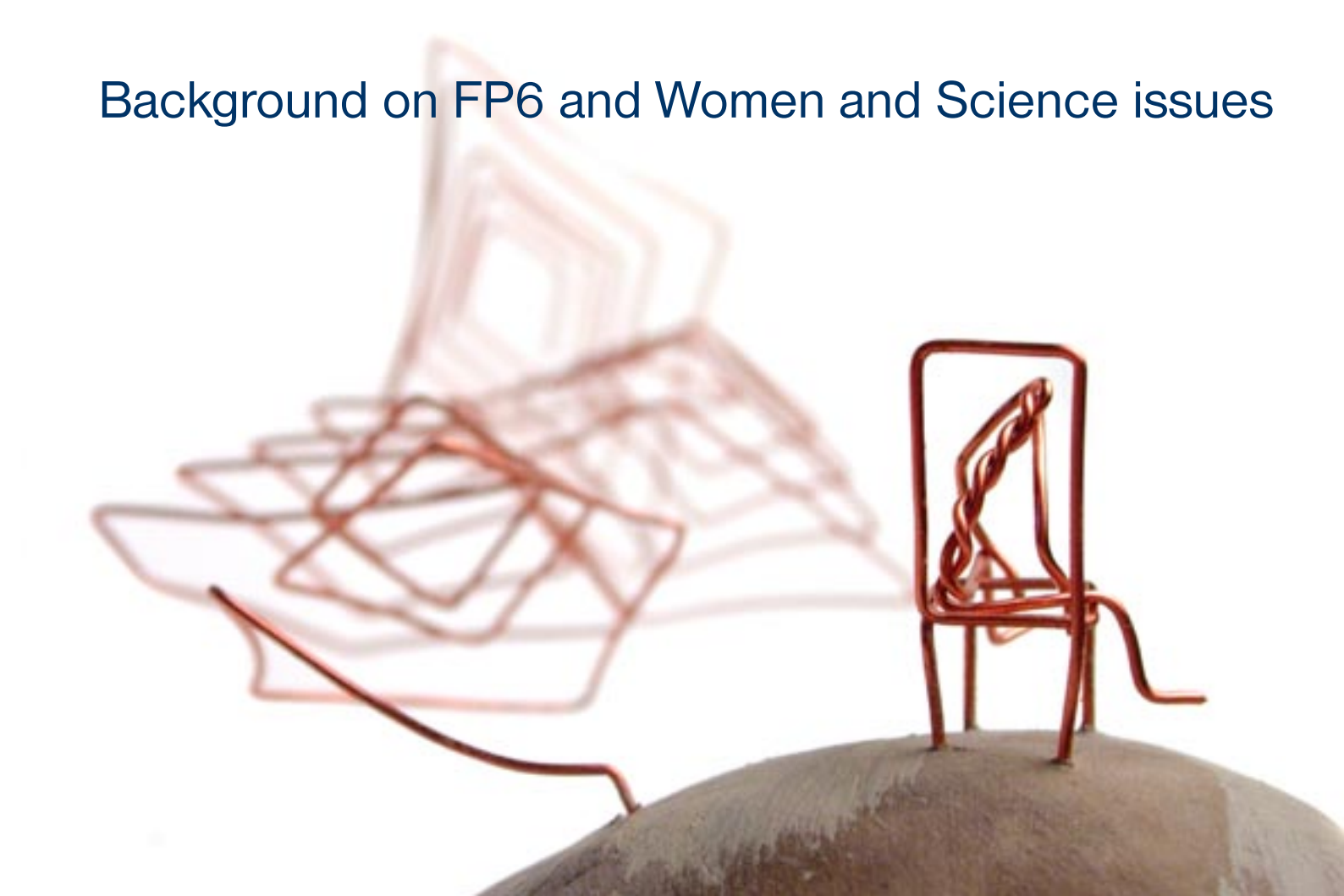
# Introduction

**The Project Sourcebook: Sharing Experiences – Building Projects** is divided into eleven chapters and structured around individual phases of the project. The first two chapters provide background information and resources concerning project preparation – documentation for drafting the proposal, guidance on financial issues and for drafting a successful proposal. Chapter 3 concentrates on how to submit the proposal, with most attention given to the preferred way of submitting – the Electronic Proposal Submission System. In chapter 4 we will take you through the negotiation process with the European Commission. The following chapters concentrate on running a project: chapter 5 gives tips about what you need to do to successfully launch your project. Chapter 6 concentrates on managing project collaboration, including communication issues in a consortium. Chapter 7 is about financing and managing the budget. Chapter 8 is based on our experience with developing a project website and using it as a main interface to communicate with defined target groups. Chapter 9 takes the communication and dissemination issues further, and gives tips about how the project and project results may be communicated externally. In this Sourcebook you will also find a resource list (chapter 10) and useful definitions and acronyms (chapter 11). The Sourcebook is accompanied with Annexes where we provide concrete examples of some of the documents you may need and which we discuss in the Sourcebook.

Framework Programme projects are complicated and require special expertise. One could even say they are quite elitist because if a person has no initial information about how the system works, it is extremely difficult to navigate your journey through the processes, the documents and making sure that you have everything you need. At every turn, new issues pop up that a person is not aware of – in a way, it is extremely adventurous and you do not know what to expect next. And just when you think you got it, there is another surprise. But it can be done, as our experience shows. Do not put off by the complexity of the first two chapters; they may be overwhelming, especially the financial issues and the technical parts. Understanding these is a precondition for having a successful proposal.

This is a work in process. We will be happy to hear of other experiences, issues and problems you may be encountering when preparing a proposal or implementing a project.  Please feel free to share this experience with us so that we may learn from each other.

# Background on FP6 and Women and Science issues



## FRAMEWORK PROGRAMME 6

The Sixth EU Framework Programme for Research and Technological Development (FP 6) has two major goals: 1. strengthening the scientific and technological bases of industry and 2. encourage its international competitiveness while promoting research activities in support of other EU policies. These two objectives have an influence on the structure of FP 6 (“priorities” which are the thematic areas and “instruments”, different types of projects that have different ways of working towards the FP6 objectives).

Tip

FP 6 is objective and policy driven. This means that new areas and issues are funded depending on the scientific research priorities of the Commission and the specific goals the Commission hopes to acheive.

## FP activity areas

http://www.cordis.lu/fp6/activities.htm

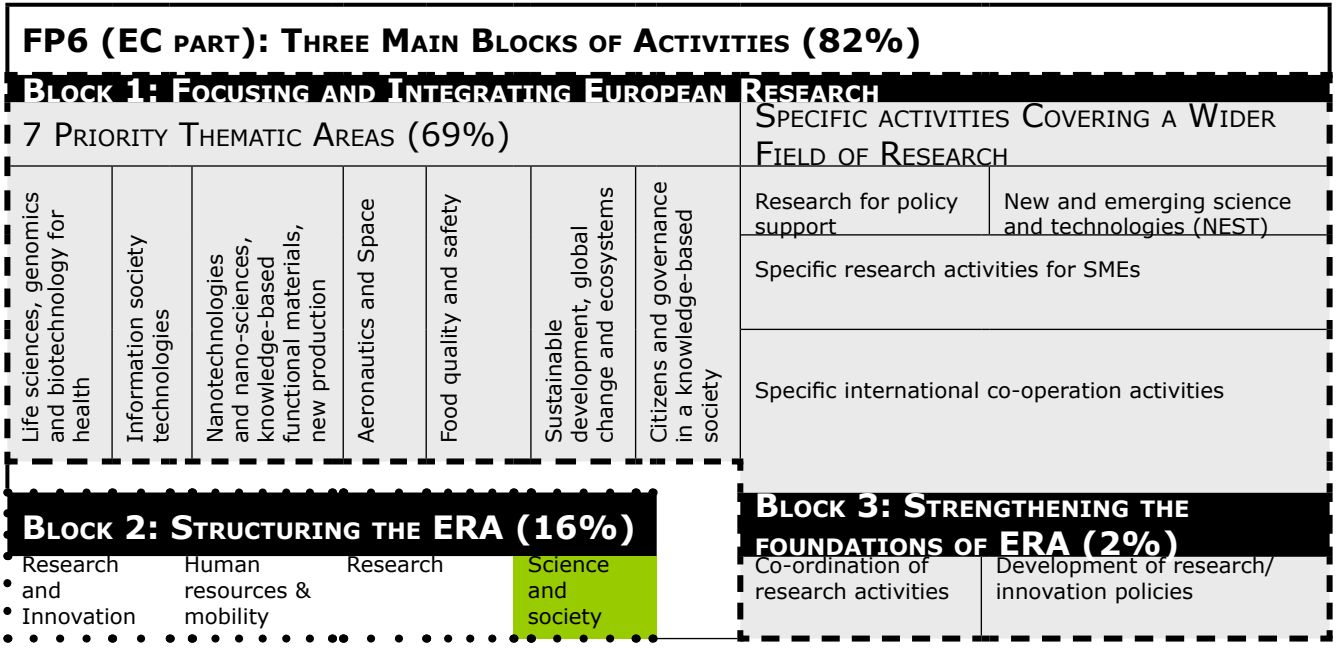



Table 1: Schematic overview of the structure of FP6 (—-— Specific Programme “Integrating and Strengthening the European Research Area”, .....Specific Programme “Structuring the European Research Area”)

7 Priority Thematic Areas

- Life sciences, genomics and biotechnology for health:
- Information society technologies:
- Nanotechnologies and nano-sciences, knowledge-based multifunctional materials and new production processes and devices:
- Aeronautics and space
- Food quality and safety
- Sustainable development, global change and ecosystems
- Citizens and governance in a knowledge-based society

Specific Activities Covering a Wider Field of Research
(cross-cutting research activities)

- Research for policy support
- New and emerging science and technology (NEST)
- Specific SME activities
- International co-operation activities
- JRC activities

Strengthening the foundations of ERA

- Co-ordination of research activities
- Development of research/innovation policies

Structuring the ERA

- Research and innovation
- Marie Curie Actions - Human resources and mobility
- Research infrastructures
- Science and society

EURATOM
(nuclear energy)

- Controlled thermonuclear fusion
- Management of radioactive waste
- Radiation protection
- Other activities in the field of nuclear technologies and safety

The Women and Science calls in Science and Society fall within the Structuring the ERA (European Research Area) programme.

Tip

You can subscribe to a CORDIS email alert services QuickPick which will notify you each time a relevant call is published.

## Instruments

- integrated projects (IP)
- networks of excellence (NoE)
- specific targeted research projects (STREP)
- co-ordination actions (CA)
- specific support actions (SSA)
- Marie Curie actions
- Collective research
- Cooperative research (CRAFT in FP5)
- Integrated Infrastructures Initiative

Two useful websites with more information on instruments and project types:
http://europa.eu.int/comm/research/fp6/instruments_en.html
http://www.cordis.lu/fp6/stepbystep/instruments.htm

Integrated Projects and Specific Targeted Research Projects are research proposals, which differ in scope:

| | IP | STREP |
|---|---|---|
| Issues addressed | Multiple | Single |
| Disciplines | multiple | Single |
| EU funding (million EUR) | 4 – 25 | 0.8 – 3 |
| Duration (month) | 36 – 60 | 18 – 36 |
| Consortium | 10 – 20 | 6 – 15 |

Tip

In IPs you have to spend the entire budget by the end of the project, otherwise your final payment will be reduced to 95 % of the EC contribution.

Networks of Excellence (NoE) were meant to integrate European research. The thinking behind this instrument was BIG. Budget preparation for NoEs is different and derives from the number of researchers integrated and there is an additional bonus for PhD students. The general calculation is EUR 20,000 per researcher per year. However, the financial statements completed during the project are now basically the same as for the other projects, i.e., they have to report the cost model, direct costs, total costs and receipts (for more detail, see below).

Co-ordination Actions (CA) aim to bring together researchers studying the same theme and funding is provided for networking only.

How are NoE and CA different

| | NoE | CA |
|---|---|---|
| Purpose | Durable integration past the project | Co-ordination, networking |
| Participants | Institutes, universities | Institutes, universities, industry |
| EU funding (m EUR) | 4 – 15 | 0.6 – 1.8 |
| Duration (month) | 48 – 60 | 18 – 36 |
| Consortium | 6 – 12 | 13 – 26 |

Specific Support Actions help implement EC's policies and complement the Programme. SSAs are meant for organisation of conferences, seminars, studies and analyses, working groups and expert groups, operation support and dissemination, information and communication activities.

Tip

You have to spend the entire budget by the end of the project, otherwise the final payment is reduced to 95 % of the entire EC contribution. The fine is 5 % of the total amount granted.

For Women and Science calls in Structuring the ERA, Science and Society Programme the appropriate instruments are SSAs, CAs, and STREPs.

## CORDIS

http://www.cordis.lu

CORDIS needs time!
CORDIS is the Community research and development service. It is a wide gate to information about European research and development. Rather than introducing concrete scientific findings, it provides access to information about the financial support for research projects by the European Communities.
Cordis is a large website packed with information. For a first-time user, it can be a confusing jungle. Among its many services, CORDIS publishes news about calls for proposals, actions and events of the European Commission and national governments and individual research organisations. The news items are summarised in several periodicals that can be ordered free of charge (http://dbs.cordis.lu/news/en/). In fact, all the services are free. You can thus obtain full versions of call proposal documentation; insert a profile of your research group and description of a partner you are searching for (http://www.cordis.lu/rapidus; view the database of running projects (for FP 5 you need to go to www.cordis.lu/fp5/projects.htm, for FP 6 you can search the database at http://www.cordis.lu/fp6/projects.htm) and you can view a database of parties interested in co-operation (http://partners-service.cordis.lu).

## CORDIS gate to FP6

http://fp6.cordis.lu/fp6/home.cfm

The FP6 information service has everything you need. You just need to find it.

There is an introduction to FP 6 (its area activities, instruments etc.), an overview of calls in Find a call, you can learn where to find support in Get support, you can search for partners for your consortium in Find a partner, get all the documents you need in Find a document. If you decide to submit, then there is the Electronic Proposal Submission System (EPSS) at Prepare and Submit a Proposal, and you get basic information on Project Management.

- The Sixth Framework Programme in Brief
  This document provides a comprehensive introduction to FP6 and deals with all issues relevant for proposal writing, including budget issues, intellectual property rights, ethics, proposal preparation and negotiation etc.
  The document can be downloaded at: ftp://ftp.cordis.lu/pub/documents_r5/natdir0000040/s_1926005_20030402_150735_6FPL021926en.wd9.doc

  - FP 6 STEP BY STEP can be downloaded at

  Here you will get a structured walk-through of what FP 6 participation entails. Here you can find what is new in FP 6 (such as new rules, more nations participating, new electronic tools), how to find your research theme, how to prepare a proposal, submitting the proposal, what happens after submission and managing your project.
  http://www.cordis.lu/fp6/stepbystep/home.html

  - FP 6 related documents can be found in Find a document at

  http://www.cordis.lu/fp6/find-doc.htm

- Calls for proposals can be found in Find a call.
  New calls can be viewed at http://fp6.cordis.lu/fp6/calls.cfm
  All open calls by priority and activity: http://fp6.cordis.lu/fp6/calls_open.cfm

## Directorate-General for Research at the EUROPA website

http://www.europa.eu.int/comm/research/index_en.cfm

FP 6 website on EUROPA
On the Europa website you can find additional information about FP 6. The website contains the official documentation and links to CORDIS.
http://europa.eu.int/comm/research/fp6/index_en.html

## Gender dimension in FP6

For the first time, gender dimension has been incorporated into the Framework Programme. Nevertheless activities supporting and promoting women and science have been funded by the Commission since FP 5. But it was in FP 6 that the necessity to take into account gender dimension in research projects in terms of women's participation and the content of research project was introduced for the first time and gender research concerning the position of women in science and production of knowledge is supported.

Proposers have to explain:

- whether gender issues are associated with the subject of the research proposal
- how they have been addressed in the research content

Parts of proposal where gender dimension is taken into account:

Part A
- management
    - consortium management activities
    - number of researchers by sex (in Networks of Excellence)

Part B - integration of gender issues for all instruments (B7 or B10.2)
- action plans, for Networks of Excellence and Integrated Projects only (B10.1 and B10.2)

For a structure of the proposal and explanation of what Part A and Part B are, see page 41-45.

Gender Vademecum
This is a guide on gender mainstreaming in Fpramework Programme 6 prepared by the Women and Science Unit C-5 of the European Commission for Scientific Officers and Project Managers.
ftp://ftp.cordis.lu/pub/science-society/docs/gendervademecum.pdf

Currently in the Central European Centre for Women and Youth in Science we are working on developing a manual on the inclusion of gender dimension in research projects. For more information, go to the project website at http://www.cec-wys.org.

## Unit C-5 Women and Science

Information about the activities of the Women and Science Unit can be found at:
http://europa.eu.int/comm/research/science-society/women-science/women-science_en.html

Objectives
Gender equality is (at least) twofold:

- gender dimension of the research content
- promotion of gender equality by encouraging women's participation

Role of the Unit
As the European Commission has designated "women and science" as an area of concern for research, the Women and Science Unit members serve as the overseers of projects concerning this theme. The Unit also serves to lobby the Commission on issues relating to gender equality in R&D.

The Commission has identified three areas reflecting different aspects of "women and science". This three fold view includes the following issues:

- science about women: research must be conducted to enhance our understanding of gender issues
- science for women: research must address women's needs as much as men's needs
- science by women: women's participation in research must be encouraged both as scientists/technologists and within the evaluation, consultation and implementation processes

Activities of the Unit

- Policy Forum (Gender Watch System)
- Helsinki Group (Women's participation in FP – 40% target)
- Statistics/Indicators
- Integrating the gender dimension:
    - engendering work programmes
    - gender in proposal life cycle
    - gender Action Plans
    - gender Monitoring studies
    - women and Science Working Group
- Gender research
    - research on gender and science
- European Platform for women scientists
- Women in Industrial Research (WIR)
- Enlarge Women in Science to the East (Enwise)

Future priorities of the Unit

1. **Improving scientific excellence** by promoting gender awareness and fairness
2. Strengthening gender research and the gender dimension in research_
3. **Boosting the numbers of women** in leading positions in European Research
4. **Efficient Benchmarking and monitoring** of gender mainstreaming policies and practices at national and European levels
5. **Reconciling professional and private life**: increasing the knowledge base and redressing work-life imbalances
6. Enhancing the role of women in **engineering and innovation**

Policy support:

- ”Women and Science” – Mobilising women to enrich European research Communication of the Commission adopted on 17 February 1999 (COM(1999)76 final) at http://www.europa.eu.int/comm/research/science-society/pdf/g_wo_co_en.pdf
- Resolution of the Council adopted on 20 May 1999 (8565/99) at http://www.europa.eu.int/comm/research/science-society/women-science/ws_document02_en.html
- Resolution of the Parliament adopted on 3 February 2000 (PE 284.656; A5-0082/1999) at http://www.europa.eu.int/comm/research/science-society/pdf/g_wo_parl_resol_en.pdf
- Progress Report: Commission Staff Working Paper Women and Science: the gender dimension as a leverage for reforming science, 15 May 2001 (SEC(2001)771) at http://www.europa.eu.int/comm/research/science-society/pdf/g_wo_sec771_en_200101.pdf
- Council Resolution on Science and Society and on Women in Science, 26 June 2001 (10357/01) at http://www.europa.eu.int/comm/research/science-society/pdf/10357en1.pdf
- Science and Society Action Plat at http://europa.eu.int/comm/research/science-society/action-plan/action-plan_en.html
- Commission Staff Working document - Women and Science: Excellence and Innovation - gender equality in science 2005 http://europa.eu.int/comm/research/science-society/pdf/documents_women_sec_en.pdf

Tip

Why should gender dimension be included in research projects?
To improve scientific excellence within the European Research Area.

How is that to be achieved?
1. promoting the participation of women scientists in Framework Programme activities
2. ensuring that the gender dimension is properly addressed in EU-funded research content

# From an idea to a proposal

## THE CHICKEN OR THE EGG

You have an idea for a project. The European Commission has FP 6, Working Programmes, Action Plans and other policy documents. These two always have to meet. Therefore, if you think that your project will get funded just because it is an excellent and bright idea, unfortunately you're *wrong*!! Your project idea has to be excellent and innovative and bring European added value (the project must achieve something that individual countries are not capable of achieving on their own and it has to have impact at European level) and, on top of that, must meet policy demands and interests of the European Commission.

Therefore, if you have an idea for a project, check the documents first. They are all on CORDIS. Take time to acquaint yourself with CORDIS – everything is there but it may be tricky to find it!

If you locate an appropriate call that seems to fit your idea, you then need to download the entire documentation, most importantly, the call in the Official Journal, the Work Programme, the Guide for Proposers, the Guide for Evaluators, the Guide for Negotiation and any other documents offered for download.

If you do not find a call which matches your idea, contact the Commission or your National Contact Point organisation or a Liaison Office (if your country has one in Brussels), to share your idea. If you can persuade someone that your idea is innovative and relevant, Unit members might be able to influence future calls to a certain extent.

For Science and Society proposals these relevant documents are:

- 2005 – 2006 Science and Society Work Programme, direct access at ftp://ftp.cordis.lu/pub/fp6/docs/wp/sp2/t_wp_200209_en.pdf
- Science and Society Action Plan
  http://europa.eu.int/comm/research/science-society/action-plan/action-plan_en.html

  In 2002 the Science and Society Directorate (Section 4 of Structuring the European Research Area) presented their Action Plan, which is a tool for defining how the European Union intends to become "the most competitive and knowledge-based economy in the world". Amongst other actions, it describes four particular actions in connection with women and science. In chapter 2.2, "Producing gender equality in science", the Action Plan details action 24 "establishing a European platform for women scientists", action 25, "monitoring progress towards gender equality in science", action 26, "mobilizing women scientists in the private sector" and action 27, "promoting gender equality in science in the wider Europe".

  For the CEC-WYS project we linked to Action 27 and others related to young scientists and communicating science to society (Sections 1.1, 1.3 and 2.2 of the Science and Society Action Plan).

What do these documents tell you?
**The Work Programme** tells you whether your idea is eligible, or more precisely, which areas of action will be funded, what is the priority.

**The call** stipulates all the technical details of eligible projects (instrument – the type of project, indicative budget, deadline etc.).

**The Guide for Proposers** gives detailed information about how to complete the application forms A and prepare Part B. Part A and Part B form the proposal. Part A concentrates on technical information about the project (abstract and identification of the call), project partners and the budget. Part B forms the proposal as such and consists of seven basic chapters – objectives, relevance, impact, consortium, management, workshop and other issues.

**The Guide for Evaluators** may come as a surprise but proposals are evaluated by EC's external experts who receive guidance on the evaluation criteria. In the Guide you also learn how the evaluation procedure will be organised, what the particular evaluation criteria are, what thresholds your proposal will need to meet in order to pass.

You should acquaint yourself with the evaluation criteria and should structure your proposals accordingly.

Tips

- Remember: evaluators have a very limited time for each proposal. Therefore, your proposal – if you want to succeed – must be in very good English, must be clearly written and structured, and should always take care to highlight the most important aspect of what you're saying with respect to the evaluation criteria – either in the introduction or in a summary at the end of each section.
- You have to make a great general impression – it's not necessarily so much the details as the overall impression your proposal makes that counts.
- Take care to have a very clear abstract. Evaluators have to deal with between 4 to 10 proposals per day and although they are making notes about good and bad things about the proposal, it is the abstract they go back to at the end of the day.
- Use schematic drawings, charts and tables – they give the proposal a structure and clarity.
- Pay attention to the quality of the consortium. Evaluators can tell if you have a consortium that is carelessly thrown together. You need to show the interlinks between the partners and how they complement one another's expertise.
- Pay attention to the logical organisation and links between Work Packages (see page 79 below).
- There should be something unique, special about your proposal – some detail that will make your proposal truly innovative.
- If you put references to information online, remember – evaluators do not have access to the internet, they just have a pen and paper. Therefore, if you want to show something located online, just use the Print Screen function and include it in the proposal.
- The co-ordinator should have experience in managing projects; the co-ordinator organisation has to persuade evaluators that they have the capacity and know-how to manage an international project and consortium.

Tip

- Management and the EU added value parts are crucial, as well as a well-prepared budget – ask for the help of a consultant or advisor if you don't feel completely confident in writing it or if you don't have long years of experience in preparing and managing projects.

## STRUCTURE OF THE APPLICATION

- The application form is divided into A part and B part. A part consists of 3 sections – forms A 1, A2 and A 3.1 and A 3.2. Part A provides the technical information about the project, the partners and the budget requested.
- Forms A 1 and A 3.1 and A 3.2 must be completed by the co-ordinator (see Part 3 submitting a proposal). For the co-ordinator to complete the A 3 forms, partners must notify the co-ordinator which **cost model** they are using (see pages 59-67).
- Forms A 2 are completed by project partners. In the A 2 form all partners must declare which research sector they are (governmental, higher education, industry, other) and other information relevant to the institution (contact information, the authorised representative, the contact person etc.)
- Part B constitutes the actual project. Pay attention to drafting the abstract – it is the section of the proposal evaluators refer to when refreshing their memories about the proposal. Part B is structured into chapters that roughly correspond to the evaluation criteria, In any case, you will find the structure of the proposal described in the *Guide for Proposers.* Usually, you have to define the objectives and the state-of-the-art, the relevance and impact an the European added value of your project, describe the consortium. You also need to attend to management and financial issues, including the budget, and describe the work plan in the project. You will have to prepare a GANNT chart and a PERT chart (to see examples of these tables, please see page 77-80) to illustrate the work flow in your project and illustrate the interlinks among individual parts of the project (workpackages – see page 79). In part B you also describe whether your proposal has a gender or ethical dimension.

Below is a list of issues you will have to address in Part B of your proposal as these are the key areas around which evaluators structure their evaluation.

**Relevance**

Relevance is concerned with whether a given project proposal addresses the objectives of a work programme and call. Your project idea, as was said at the beginning, needs to fall within the priorities of the funding body. Of course, this is not the only way to approach the issue although from the perspective of the EC it may be the most important one. You should, however, also pay attention to the social relevance of your project and the impact it will make on policy development in your area of concern.

**Quality / Science and Technology Excellence**

To be able to acheive scientific excellence in Specific Targeted Research Projects (STREP), a project has to demonstrate focused and well defined objectives. The objectives have to progress beyond the current state-of-the-art in the field (they must be innovative) and appropriate methodology needs to be employed in order to achieve the defined objectives.

For quality in Coordination Action (CA) projects, research actions need to be of high quality, the co-ordination mechanisms need to be solid to ensure the fulfilment of the project.

In Specific Support Action (SSA) projects, the proposed methods, approach and work plan must be demonstrably of high quality to ensure the fulfilment of the objectives, the qualifications and expertise of the consortium members need to be of high quality and the objectives need to be innovative.

## Impact

The impact of the proposal will be assessed in terms of making a mark at a European level. There has to be a **European added value** in the project, something that neither of the partners could do on their own in their national environment, and which is sustainable beyond the life of the project. Proposers also need to show that they have a clear dissemination and communication plan to communicate the results of the project. CA projects also have to show that they mobilise a critical mass of resources in Europe. In STREP proposals, impact is measured in terms of reinforcing competitiveness and/or solving societal issues, and it also has to take into account what has already been done in the field. When describing the impact, you should also be thinking of the beneficiaries of each of your actions and how the beneficiaries foreseen in the project actions correspond to the target groups of EC's policies.

## Quality of the consortium

Here evaluators assess whether the consortium put together by co-ordinator ensures high quality of work, mobilisation of expertise and knowledge. The evaluators look at whether partners complement each other's skills. Clearly, the possibilities and limitations of individual countries need to be taken into account since not all countries have all the strong points. You, however, always need to know why a certain partner is a member of your consortium, what they are bringing in and what they intend to take away. Quality of consortium is not assessed in SSA projects.

Tip

For example, in our project, the Central European Centre for Women and Youth in Science, we included the following table when we described the **complementarity of the partners:**

**complementarity of partners**

Each partner will draw on its particular expertise and these will complement each other. The distribution of workpackages reflects the individual expertise and experience of project partners as described above. The team will also build its own expertise throughout the project in order to be able to bring the knowledge and expertise to their respective national environments.

| project partner | WP carried out | contribution to other WP | knowledge gained |
|---|---|---|---|
| 1 NKC | 1, 2, 3, 7, 8, 12, 13 | 5, 10, 11, 9, 10 | 4, 6 |
| 2 HSTF | 4, 11 | 5, 6, 8, 9, 10 | 3, 4, 6, 12 |
| 3 JSI | 10 | 8, 9 | 3, 4, 5, 6, 7, 12 |
| 4 SHMU | 5 | 9, 10 | 3, 4, 6, 7, 8, 12 |
| 5 INRA | 6 | 7, 8, 9, 11 | 3, 4, 5 |
| 6 APCC | 9 | 8, 10 | 3, 4, 5, 6, 7, 11, 12 |
| 7 APRE | - | 5, 7, 9, 12 | – |

## Quality of management

With respect to management, the proposal needs to demonstrate high quality and awareness of project management issues, including intellectual property issues and management of knowledge. Evaluators assess the expertise, professional experience and the capacity to deliver.

## Mobilisation of resources

With respect to the mobilisation of resources, you need to show the evaluators that the indicated budget is adequate, that a sufficient amount of resources (people, equipment etc.) has been mobilised to carry out the project and that all the resources employed form a coherent and logical project.

It is here that evaluators can suggest cuts in Person Months, which can be quite substantial. One person month = 8 hrs /day for 20 working days per month. This effort is also split into WPs and tasks per partner.

After you read the Work Programme and the call, you will be able to say whether your idea fits the call. If it does, the next immediate question is when the **deadline** is and who your **partners** will be.

Later on, when you have the partners and objectives of your proposal, start thinking about the **title** and the **acronym**. The acronym is an important part of the project, should be easy to pronounce…you would be surprised, it can acquire a life of its own (e.g., you can hear references to the EGG [Enlargement, Gender and Governance] or to the ENWISE [Enlarge Women and Science to East] projects). You will need the title and the acronym to register for online submission (see Part 3).

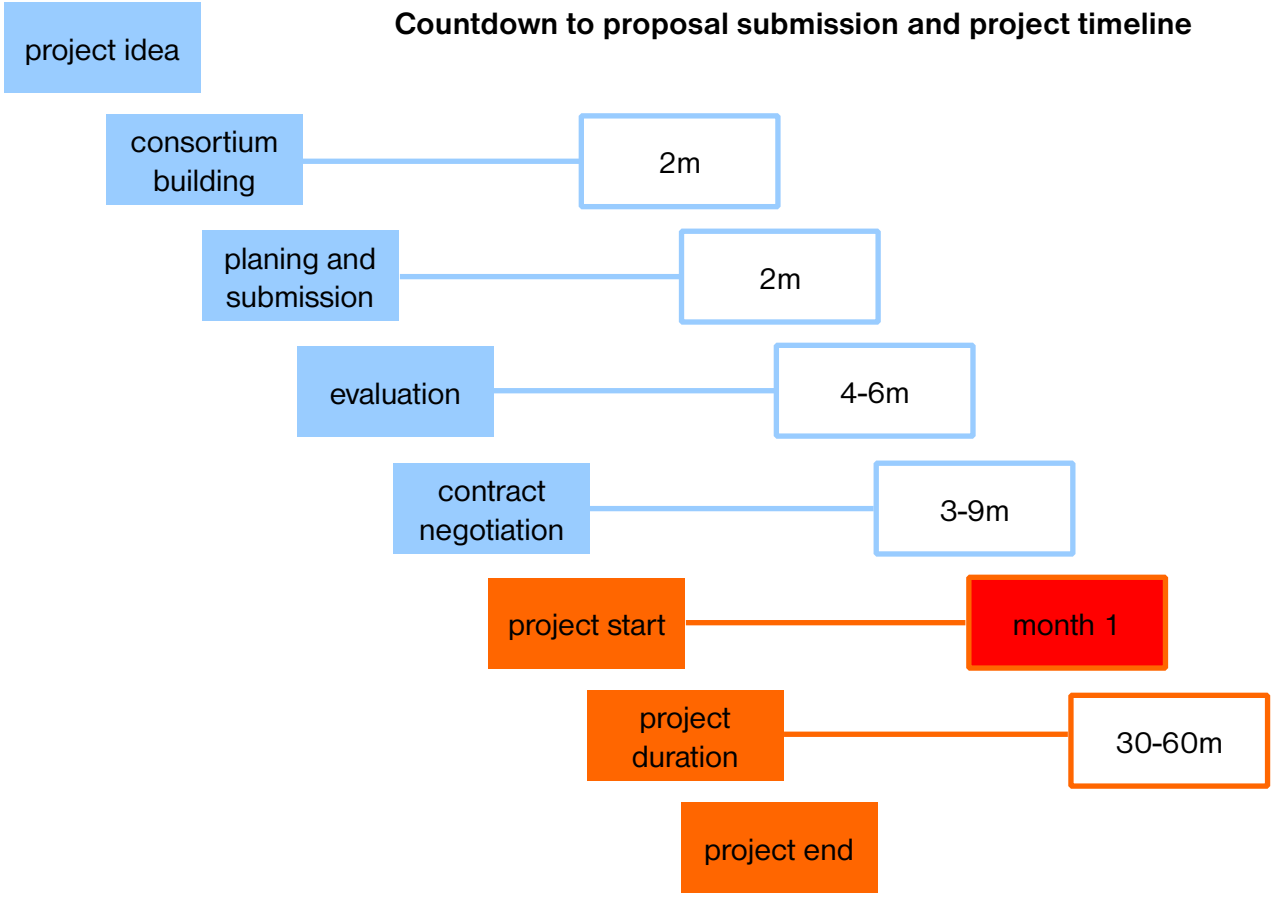
## TIMING THE PROPOSAL

Time is crucial. Preparing project proposals as a co-ordinator is extremely time consuming and that work is not rewarded financially. Therefore, unless you can do it as part of your work duties, then it becomes almost an impossible task.

Although it is possible to do a proposal in a month, don't do it the first time around! To do it right, to have a good consortium and to allow yourself some time to double-check your proposal, you should start working on the proposal **immediately after the call is published**. Speaking from our experience, you will need about three months to prepare your first project, maybe a little longer. Of course it becomes easier with experience because you know what the procedure is, where to look for information, what should be said where. And of course, it also helps if you apply within the same type of activity or area because you then follow policy documents in that area and can use this information in the proposal (the relevance and impact sections).

Ideally you should be in contact with the Commission beforehand to be aware of what calls are forthcoming.

## Countdown to proposal submission and project timeline



As a co-ordinator, you will need to invest a lot of time in the proposal writing stage. You need to prepare entire Part B (the actual content of the proposal, including the workplan and the required charts, on this see below pages 77-80), draft budget and complete the necessary A forms (the technical information about the project). In most cases, project partners do A2 forms (A2 forms provide information about partner institutions – such as address, authorised representatives, what type of institution you are and whether you have submitted a similar proposal in the past), supply description of their institution for part B4 of Part B of the proposal and supply the amount requested per person-month, which serves to calculate the personnel expenses for the project.

If you aim to have a dedicated consortium that takes real ownership of the project, you should aim to have a meeting with the (core) consortium partners if financially possible, before you submit the proposal. That will give you the chance to discuss the overall objectives, the method of achieving the objectives and the division of work. You will also see how you communicate together, how you are able to reach a consensus, who is a disruptive element, and whether the entire consortium is sound and can work well together. For a co-ordinator, this information is very, very important. But, due to financial limitations, it may not be possible to have such a meeting.

You should have a core group working on the proposal together – maybe two partners (either within a country or cross-national), maybe a working group in your institutions.

After defining the overall objectives, the consortium needs to agree on the partial objectives and methods how to achieve them. Usually, the partial objectives can serve as Work Packages (WPs) which structure the division of work. The Work Packages are the main structuring unit of a proposal. They should entail a larger

subproject with a distinct objective, clear idea about how that objective will be carried out and what the output will be that you will deliver to the Commission (so-called Deliverables). You need to allocate individual WPs among partners and have WP leaders. If the project or a particular WP is very large or complex, you may consider having task leaders (workpackages consist of tasks you the consortium needs to carry out in order to complete and deliver a deliverable; each workpackage consists of one or more deliverables which should form a coherent and logical unit).

The division into workpackages and the logical connections between the workpackages and development of the project are shown in 'PERT chart' in Part B of the proposal – see page 79 below.

You should have a final draft of the proposal ready a few days before the proposal deadline. This will give you the time to check the proposal, to see that all annexes and forms have been completed and that nothing is missing.

## SUPPORT FOR WRITING AND COORDINATING A PROJECT

1. if possible, attend a training on proposal writing in FP6

These can be fairly expensive but sometimes National Contact Points organise these for free.

2. contact your National Contact Point responsible for the programme or priority or regional contact point

There should be people able to help you complete the forms, help define what belongs where in the application if you are at a loss or whom you can consult on budget issues.

Unfortunately, not all NCPs help. Be prepared that they may not be able or willing to give you as much support as you would perhaps like.

3. contact the European Commission – the unit responsible for the call (in our case Unit C-5 Women and Science Unit)

Definitely do not be afraid of contacting the Commission. If fact, it is a good idea to let someone know that you are planning to submit and consult the idea with the Commission members. If you do this, you may get information on how the budget may be divided for deadlines (there are sometimes several deadlines for one call), whether your particular idea is expected to be supported in the call and whether your proposal stands a chance. In fact, you may find a supportive official in the Commission who will do **a pre-proposal check** for you. If your country has a liaison office in Brussels, then they may help establish this contact with the Commission but not all countries have them.

4. CORDIS

You can get support on writing a proposal at Cordis as well.

http://www.cordis.lu/fp6/getsupport.htm

5. contact your national FP liaison offices (via the National Contact Points) or non-profit consultant offices that aim at helping researchers to write FP projects.

## DEVELOPING THE OBJECTIVES OF A PROJECT

1. You have to know what the objectives and targets of the Commission are and you have to test you idea against this – is your idea eligible?
2. What are the overall objectives of your project?

   Overall objectives should be policy driven and should be directly linked to major targets of the Commission.

For example, in Women and Science calls, objectives include issues such as supporting women in industrial research; supporting women in research in the ENWISE countries; pioneering new ways of collecting and analysing statistics; minimising gender bias in measuring and evaluation of scientific excellence; sociology, psychology and philosophy of science and benchmarking of policy measures for gender equality in science.

3. Based on the overall objectives, define the partial objectives. If these are concise and well defined, they can serve as a basis for structuring your proposal into Work Packages. Even these partial objectives should always be linked to the policy priorities of the Commission (for example, 40% target for female representation among evaluators and in EC's boards and committees). A partial objective is, for example, increasing the number of women experts in the EC's EXCIS database from which evaluators of FP projects are often identified.

Tip

In the Central European Centre for Women and Youth in Science project, the overall objectives were: 1) to promote, mobilise and network women in science in Central Europe and 2) to promote, mobilise and network young people in science in the region, and thus to contribute to **increasing gender equality in R&D** and to **structuring the European Research Area**.

And specific objectives of the project were:

- a database of women experts to mobilise and network women scientists
- FP6-related activities (training on inclusion of gender dimension in FP6 proposals, mobilisation of women scientists to register in EXCIS, the EC's expert evaluator database)
- training on responsible scientific conduct
- mentoring scheme for young women
- creation of a forum to facilitate networking, exchange of experience, mobility opportunities of young scientists, building upon the Young Scientists' workshop organised by the EC and NKC in April 2003
- co-ordination of policy monitoring and lobbying at the national and international level
- increasing gender awareness in scientific community in region.

Remember, these objectives will have to be shared and supported by the whole consortium. It is the overall objectives, **the vision**, that will keep the consortium together, that will unite it in its efforts. Ideally, the whole consortium will contribute to defining the overall as well as the partial objectives of the project.

Related to this is the philosophy behind the project, the common ground of the consortium. For example, in the CEC-WYS project it was very important to agree that the outlook of the project was feminist and to have a common understanding that gender is socially constructed. Although there may be differences among partners as to how activist they are or how they conceptualise gender theoretically, the consortium has to agree on the basics. Otherwise, you will have a big problem communicating the project to the world around you.

Similarly, in a Specific Targeted Research Project proposal the consortium needs to agree on the methodological approach, on the type of research to be conducted and on understanding theoretical frameworks and methodological tools used to frame the research project. Again, this is necessary in order to avoid lengthy discussion at the beginning of the project when the work should be starting.

## CHOOSING PROJECT PARTNERS

Choosing your project partners cannot be overestimated. After all, you will have to co-operate with the partners for the next three years at least, so you better make sure at the beginning that it will work!

Ideally, the consortium is formed by people you have been talking to about your project plan, who liked it or people you liked working with before. This is the ideal scenario.
If you do not have such an international network of potential collaborators to draw on, you must start searching.

1. contact your colleagues and previous collaborators for ideas about whom may be interested in your project idea

   See whether there may not be any support networks in your area of interest that could help with partner search (for Information Communication Technologies, for example, IDEALIST PROJECT http://www.idealist.net/).

2. you can turn to your National Contact Point for help

3. google search the Internet for university departments and research institutions that you respect

4. partner search on Cordis, keywords
   - range of skills and interests
   - common vision
   - see example of work / references / visit partner in their workplace

5. you can turn to offices that have FP projects (generally SSAs and ETIs) which aim at generating FP projects, partner search and advisory service for potential proposers – the commission funds these kind of projects in all thematic priorities, and they usually have online catalogues and can provide quick help

6. If you are looking for a partner in Central Europe, search out database at www.cec-wys.org

For a women and science calls:

7. you may refer to the Networks of Women Scientists (see resource list in Chapter 10)
8. you can contact the Helsinki Group members (see resource list in Chapter 10)
9. you can contact the ENWISE expert group (see resource list in Chapter 10)
10. contact the Women and Science Unit for ideas

Tip

Letter of intent: when you identify partners for your project, it is a good idea to have them sign a Letter of Intent (see Annex 1 hereof). In the Letter of Intent the partners pledge their commitment to the future project and to signing a Consortium Agreement (see Part 4).

## FINANCIAL ISSUES AND PREPARING A BUDGET

The European Commission (EC) provides a "grant to budget", which is paid as a **contribution** to **actual** costs. The magic word in financial rules for individual cost statements is "**up to**", which means that the EC can give a contribution UP TO a certain percentage. You cannot make profit and it is never 100% of costs that the Commission covers.

Basic rules:
If you spend too much, it's your problem.
If you spend too little, it's your problem as well.

When preparing the budget for an FP6 proposal, first you need to know the **cost model** and the type of **instrument (project)** you and your partners will be applying for.

## Cost models

There are essentially 3 cost models:

- full cost model (FC)
- full cost flat rate model (FCF)
- additional costs model (AC)

Tip

You have to use the same cost model in all the FP6 projects of your institution! The EC notes if it's not so and will oblige you to do so.

Choosing the cost model depends basically on the **quality of accounting** in your institution and **financial institutional support**.

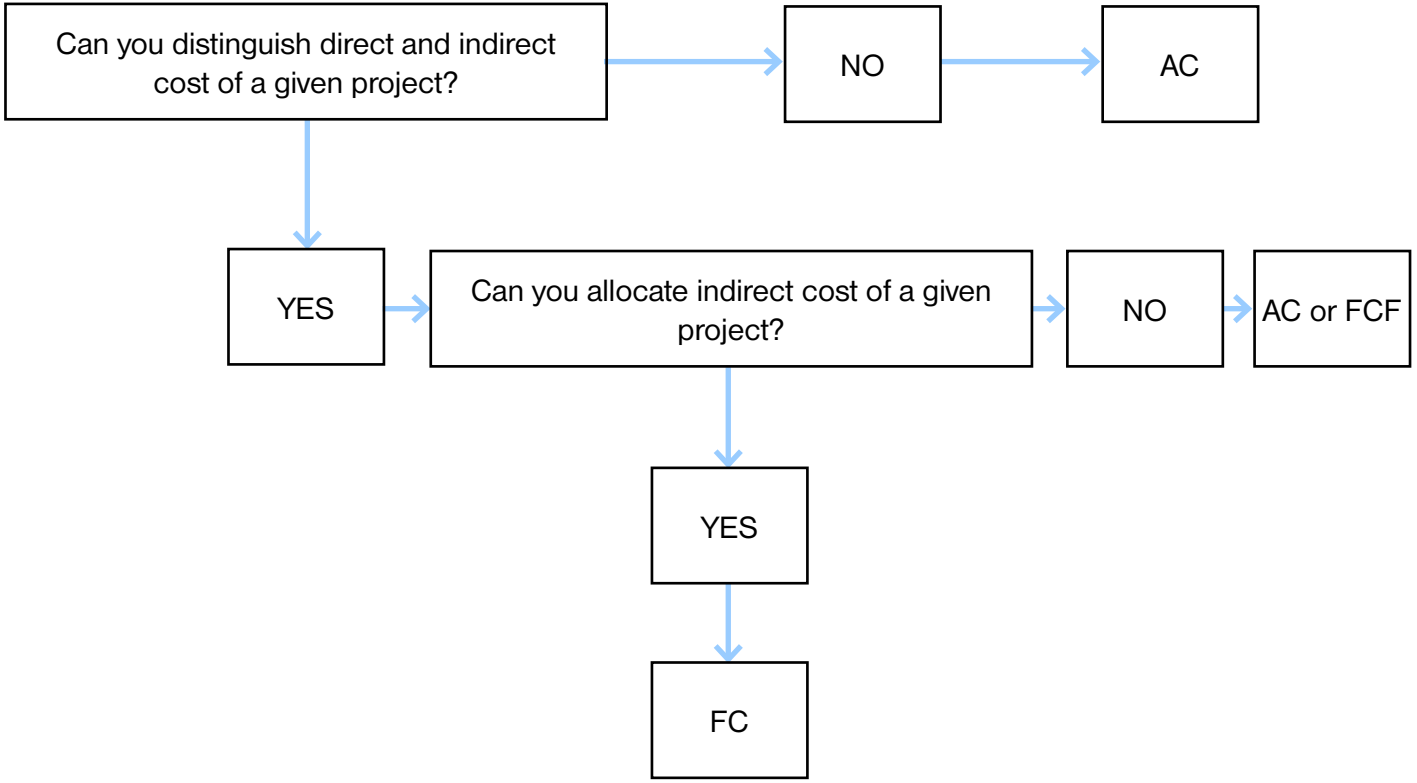
When deciding which cost model to use, you have to ask these basic questions:

What are **direct costs**? Direct costs can include:

- salary (what the employer normally pays the employees plus social costs, including social and health insurance, pension scheme benefits etc.)
- consumables
- travel and subsistence
- other

What are **indirect costs (overheads)**? It is the RATIONAL way to calculate anything related to the project, for example:

- physical infrastructure (telephones, office space, PCs…) – everything you need for your work
- accounting / technical / IT departments
- management of the project within the partner institution (e.g., the accountant or technical and economic department staff in the partner institution)


Can you distinguish direct and indirect cost of a given project?
NO
AC
YES
Can you allocate indirect cost of a given project?
NO
AC or FCF
YES
FC

Access to cost models:

| | 1. Can you distinguish between direct and indirect costs?<br>2. Can you attribute indirect costs? | FC | FCF | AC |
|---|---|---|---|---|
| Other (default) | Not applicable | yes | no | no |
| SME | Not applicable | yes | yes | no |
| Non-profit, non-commercial, international | Yes to Q 1 and 2 | yes | yes | no |
| | Only direct | no | yes | yes |
| | No | no | no | yes |
| person | Not applicable | no | no | yes |

Tip

If one of the partners in your consortium is **a physical person** (an individual, not an institution), that's fine and acceptable and they can use the AC cost model BUT they cannot charge any PERSONNEL COSTS (salary) to the project, i.e., their work cannot be paid from the grant.

Depending on the cost model you choose, the Commission funds different percentages of activities:

| % | research | demonstration | training | management | other |
|---|---|---|---|---|---|
| FC | 50 | 35 | 100 | 100 | 100 |
| FCF | 50 | 35 | 100 | 100 | 100 |
| AC | 100 | 100 | 100 | 100 | 100 |

So you can see that the AC model appears to be the best one financially because the percentage the EC covers is the greatest (up to 100 % for all types of activities). It is also the cost model most frequently used by public research institutes and universities.

Overhead (indirect costs of a project):
AC model – fixed 20 % of additional direct costs minus subcontracting
FCF model - fixed 20 % of direct costs minus subcontracting
FC model – reasonable calculated indirect costs of the institution to be incurred in the project, they can exceed 20 % allocated in the other two models and thus, in fact, may be more beneficial in institutions where indirect costs are high.

Tip

**FCF or FC overhead rate for companies:**

- If you can calculate more than 20% overhead - take FC
- Internally funded R&D can be included in the overhead
- If you cannot get to 20% - take FCF
- **Nearly every company will do better on FC**

**Cost models – issues to consider**

If you use the AC model you can charge only **additional costs to the project** – basically additional people you need to carry out the project. The assumption is that if someone works in a research institute full-time and is already paid by the institution, then there is no need to pay them again – indeed, they are already receiving a salary in the institution.

People who can be paid on the AC model are:

- employees on **temporary** contract completing PhD
- employees on **temporary** contract
- employees on **permanent** contract whose employment **depends on additional funding**

If you use the **full cost model**, then you can cover employee's salaries up to 50 % from the contribution. However, the contribution for research activities is a maximum of 50 % only and for demonstration 35 % only. You have to take into account if you institution can muster the remaining 50 % to match the EC contribution. If not and the AC model is available, that's what you should be using.

AND BEWARE, you can always go up from AC to FCF to FC but never from FCF or FC down to AC or FCF. FCF and FC models imply that your accounting standards are high, that you are capable of distinguishing between direct and indirect costs (FCF model) and that you can attribute indirect costs (FC model). Obviously then, you cannot downgrade back to AC.

The EC does not give any fixed cost categories in FP 6 the way it did in FP 5. You allocate the budget simply into direct and indirect costs.

**Management budget**

You can only allocate 7 % of the total budget to management. The management costs are the only exception when people who are NOT ADDITIONAL to the project can be funded but for their salary there are 0 % overheads.

Management costs can include the costs of:

- audit
- calls for additional partners (mainly IP, NoE)
- guarantees (financial guarantees for small and medium sized enterprises (SMEs), for example, applying in banks or insurance companies to be able to meet the 50 % contribution in FC model)
- for IPs – gender, ethics and science and society activities
- reports to the EC
- meetings of the consortium
- review meetings with the EC

Tip

Create a management workpackage to cover the cost of meetings and reporting. This means that these costs will be included as support/research costs, and not as management costs. Management costs can be take7% of the budget, and is usually fully absorbed by audit costs and some personnel time.

Tip

When drafting the budget, use an Excel spreadsheet or similar and take into account partners, workpackages, reporting periods and even the budget you will need for the first eighteen months…why?

If you don't, budget calculation will turn into a nightmare when you have to complete forms A 3.1 and A 3.2 later during negotiation if you succeed, in the CPF (Contract Preparation Form) file.

**So how should a person go about preparing a budget?**

We suggest drafting your budget with a view to what is coming later if you are invited to negotiate. For the proposal stage itself, you just need to calculate the budget you are requesting according to standard categories such as personnel, travel and subsistence, consumables, durable equipment, meetings, workshops and conference (if relevant) and management (and other categories if relevant). Those you will specify in the A3 form according to partner and divided into the relevant activities (support, coordination, research, demonstration, management…). There you also specify the needed budget and the budget requested from the Commission (see above for the limits for individual activities if you use the individual cost models).

To prepare a budget, you need to know how much each partner allocates for Person Month costs (for junior and senior researchers). We suggest that you allocate EUR 1,000 per trip within Europe, make the calculations for trainings and workshops and conferences and estimate other cost categories you need to implement the project successfully.

The difficult part comes when you are invited to negotiate. Then you receive the CPF (Contract Preparation Form) file (see Part 4 below).

The CPF file has forms A 3.1 and A 3.2. Form A 3.1 is simple, you just divide the costs per partner into direct (of which subcontracting) and indirect costs. Remember, if you are using the AC or FCF model, the indirect costs must be calculated as 20 % of direct costs without the subcontracting. You always need to divide the costs per type of activity (see above).

Form A 3.2 is divided into **Reporting Periods**. The table will have pre-filled duration of Reporting Periods (usually 12 months). The Reporting Period (RP) is a period after which the co-ordinator reports to the EC on behalf of the consortium (on this see below in Part 6). For each Reporting Period you give the indicative budget, for RP 2 and RP 3 you also have to indicate how much you will need during the first six months of that RP. Here, on the contrary, you **do not need to specify the allocation per partner**.

The last bit of the budget difficulties is the preparation of a detailed indicative budget for the EC per cost category and per partner which you will need to submit together with Annex 1. You should not make it a part of Annex 1 because it would be **binding!** (For an example of budget tables see Annex iii hereof). We suggest you send the budget seperately in order to be more flexible about how you spend the budget, which is actually one of the advantages of FP 6.

After you do this for the Commission, you will need to prepare a calculation of budget allocation among partners by cost category and total and also an overview of tranches (remittance of a contribution from EC to co-ordinator and from co-ordinator to partners). So how do the tranches work?

| Payment modalities from the EC |
| --- |
| pre-financing (specified % of what you ask for months 1-18)<br>Specified % of the second tranche (month 12-24)<br>Specified % of the third tranche (month 24-36)<br>last tranche (the remaining %) |

Tip

The amount of pre-financing is specified in the contract.

Your Excel spreadsheet should be able to tell you how much to give each partner in each cost category in each Reporting Period. Add up per partner per Reporting Period. And then you can use the following calculation (please refer to the coordinates of the table, for example, 80% of A1 means that the pre-financing defined in the contract amounts to 80% of the requested budget for that period):

| Partner | | RP 1 | 80% | balance | RP 2 | 80% | balance | RP 3 | 80% | final | Total |
|---|---|---|---|---|---|---|---|---|---|---|---|
| column | | A | B | C | D | E | F | G | H | I | K |
| 1 tranche | 1 | Calculated budget X for RP 1 | 80 % of A1 | | % of total RP 2 budget partner needs in M 13-18 | 80 % of D1 | | | | | Row total |
| 2 tranche | 2 | | | 20 % of A1 | Remaining % of RP 2 budget partner needs in M 19-24 | 80 % D2 | 20 % of D1 | % of total RP 3 budget partner needs in M 25-36 | 80 % of G2 | | Row total |
| 3 tranche | 3 | | | | | | 20 % of D2 | Remaining % of RP 3 budget partner needs in M 25-36 | 80 % of G3 | 20 % G2 | Row total |
| final payment | 4 | | | | | | | | | 20 % G3 | Row total |
| Total budget | | | | | | | | | | | Column total |

Legend:

Green … the green colour refers to the first tranche covering the first 18 months
Orange … the orange colour refers to the second tranche covering Months 19-24
Blue … the blue colour refers to the third tranche covering Months 25-36
Yellow … the yellow colour refers to the final payment of the remaining amount of ‘post’ financing.

Tips

- Prepare the budget according to the accounting standards of your home institution, you will be spending the ‘grant to the budget’ according to them.
- Draft the project workplan and identify the main elements of the project and allocate the budget in terms of the project objectives.
- Encourage the participants to build up their costs on the basis of their planned activities – inflated costs will normally be picked up by the proposal evaluators
- Bear in mind that most projects which have been funded have a significant budget cut: so be prepared to reduce some project activities at the negotiation stage
- Participants using the AC cost model must provide a detailed assessment of their own resources (permanent staff, lab equipment…)

## WORKPLAN

Having a clear progress of the project in mind is crucial. You need to see the logical line in your project because you need to persuade the evaluators that you know what you are about. The work needs to be logically planned and individual Workpackages must link to one another. You should also spread the work evenly, taking into account that 'real' work usually starts after the kick-off meeting (see chapter 5 below).

Go back to your overall and partial objectives and see whether they form separate work projects. Such logical clusters will then form Workpackages. In the Guide for Proposers you will find templates for Workpackage list, Deliverables list and Workpackage description.

In the **Work Package list** you give the title of the WP, lead partner, start month, end month, deliverables and, what concerns us here, the total PM needed to carry out that WP. The PM stated in this table must correspond to the totals in individual WP description tables.

The total PM at the bottom of the Work Package list must correspond to the total for the effort form for all activities – the last bottom line. The effort form is contained in the management section of Part B.

The calculation of the PM so far may seem an easy task to do, you just assess how many PM you need to carry out a WP and how much each partner is asking per PM according to their standard in the institution. You include this for personnel in your budget calculation. In Form A 3 you just divided the costs into management and support per partner.

Then there is a **Deliverable List**: there you just provide the title, the start month, the delivery date to the EC, nature of the deliverable and dissemination level.

Nature of deliverable:
**R** = Report
**P** = Prototype
**D** = Demonstrator
**O** = Other
The most appropriate for the type of project like CEC-WYS are reports and other types of deliverables.

The dissemination levels are:
**PU** = Public
**PP** = Restricted to other programme participants (including the Commission Services).
**RE** = Restricted to a group specified by the consortium (including the Commission Services).
**CO** = Confidential, only for members of the consortium (including the Commission Services).

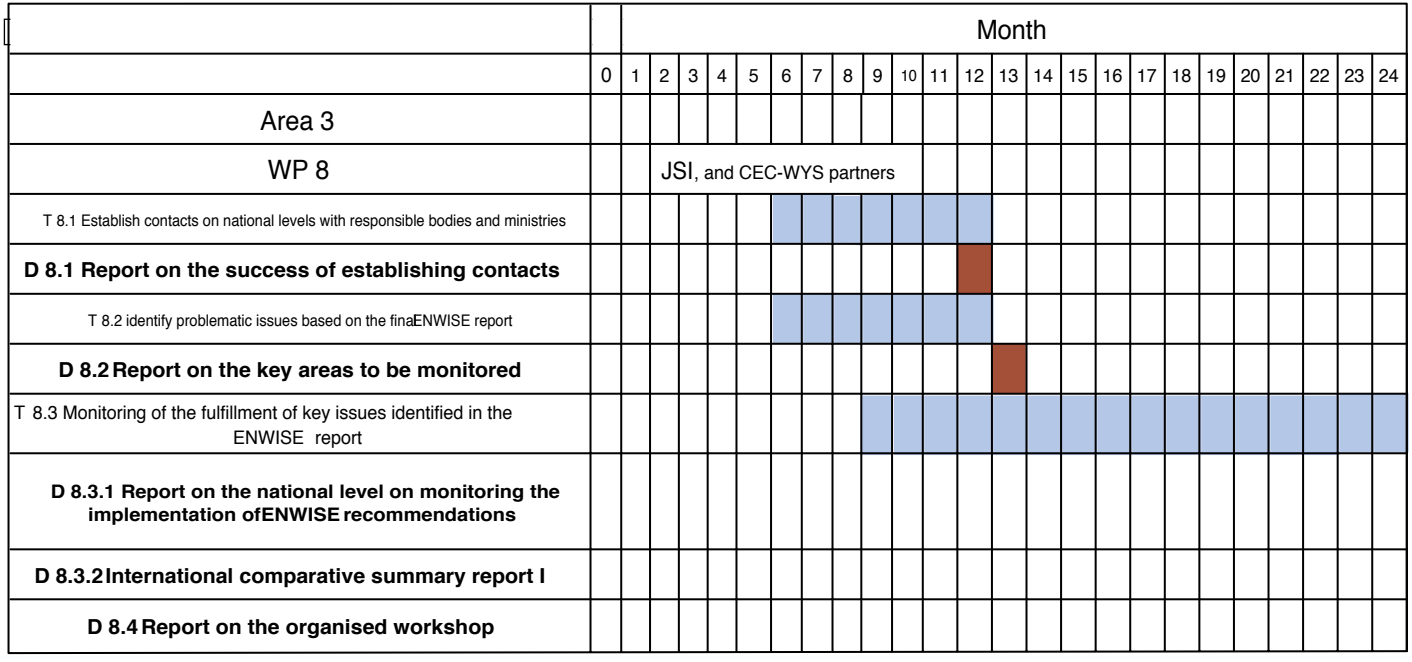
The Deliverable list is followed by a **Workpackage description**. This is the most important thing with respect to describing the work foreseen in the project. This form gives a clear overview of project partners working on the WP and the person-month allocated for each partner. In the description you list the objectives, description of work, deliverables and milestones. Milestones are foreseen critical moments in the course of a project when the consortium needs to make an important decision (which may have an impact on the further progress of the project – it may be a result of a part of research or it can equally be a decision on the structure of a database). The description of work should clearly present the progress of work in the workpackage. You should divide the work into Tasks leading to Deliverables. Assess how long the completion of each deliverable will take. Set reasonable deadlines in consultation with partners.

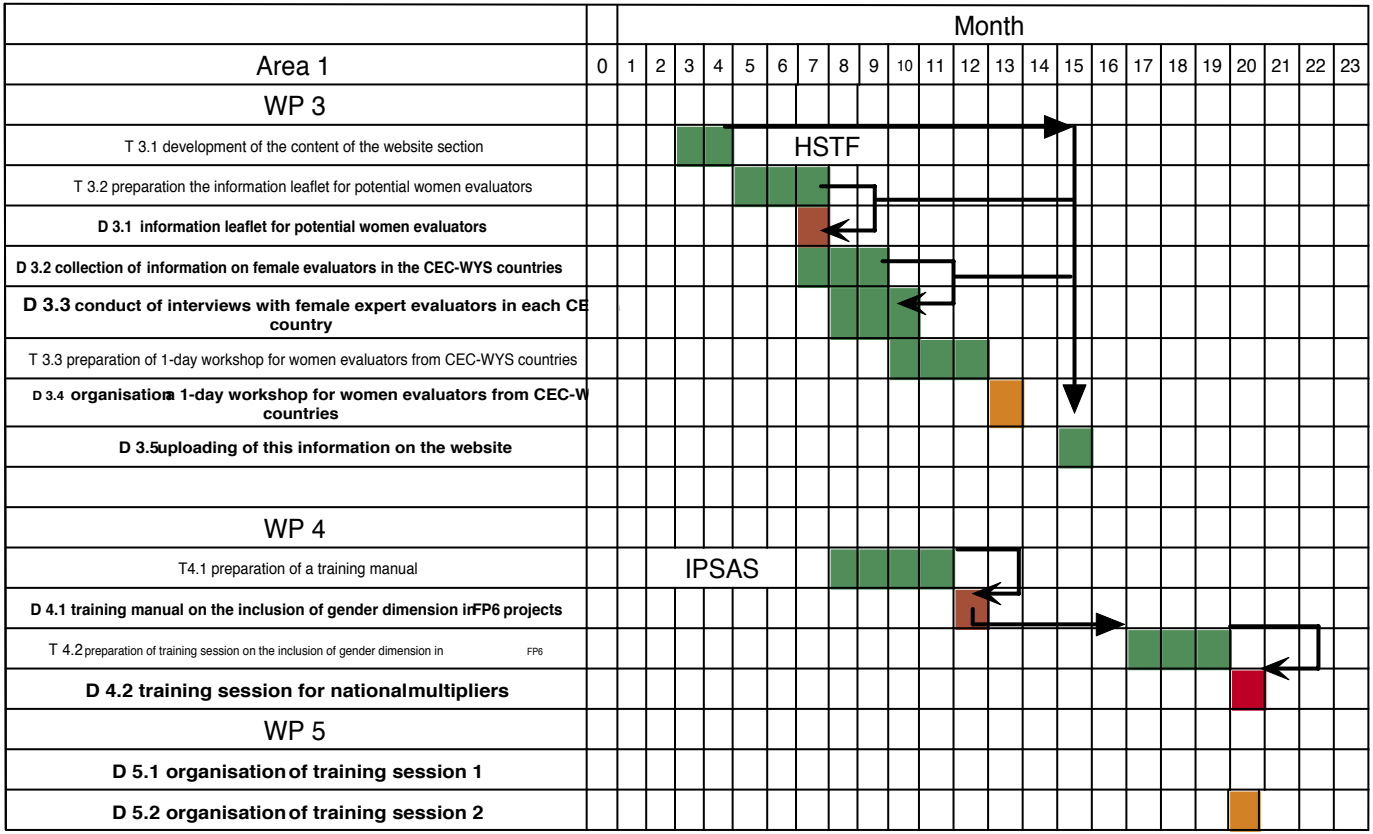
Tips

- Spread your work on the project evenly so that you are not overburdened with deliverables at one moment and then nothing happens. Also it may be a good idea not to have the end of a WP coincide with a reporting period. That means that you are not writing only the deliverable report but also the reports required for the reporting period (see chapter 6 below).
- Do not plan too much work for the beginning because realistically work will really start after the kick-off meeting (which should take place in month 1 or 2 of the project)
- Logically inter-linked WPs should follow one another and build the momentum of the project
- Always list the beneficiaries of each task or workpackage – these should correspond to the target groups identified in the B3 Impact chapter of the proposal

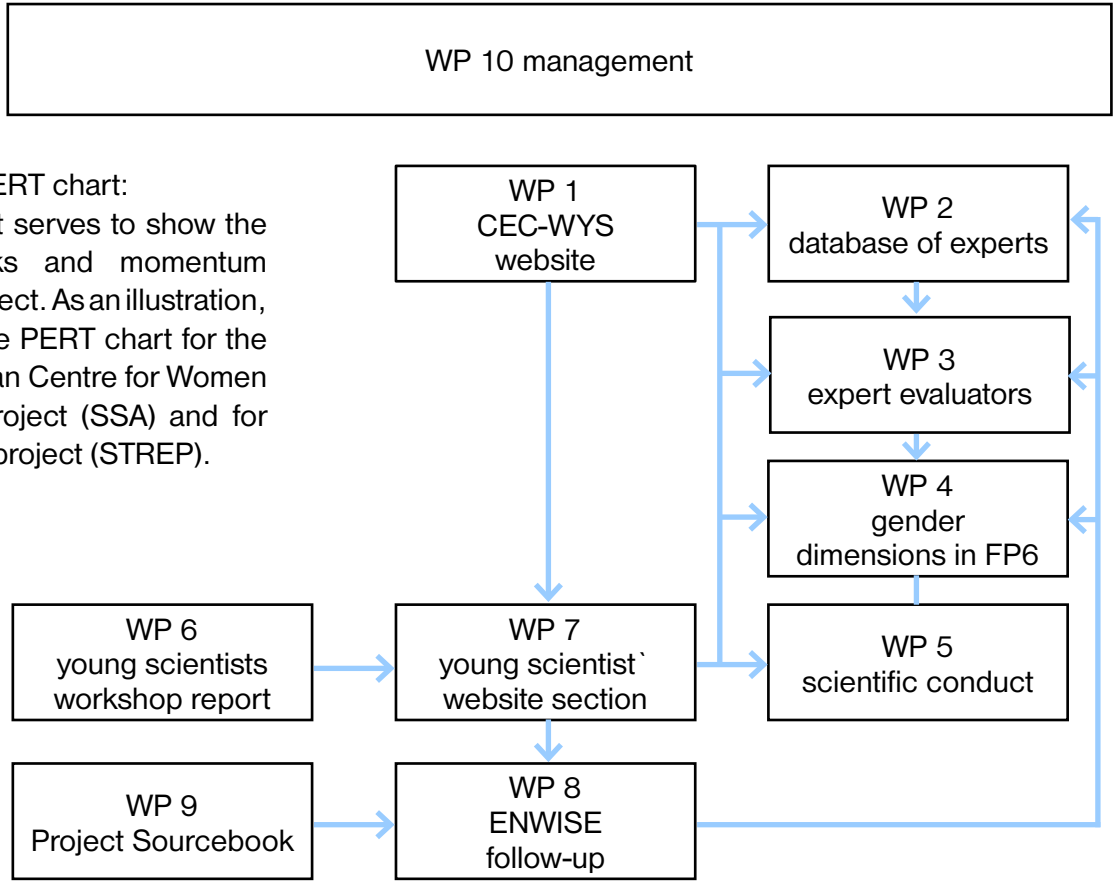
Example of a GANNT chart:

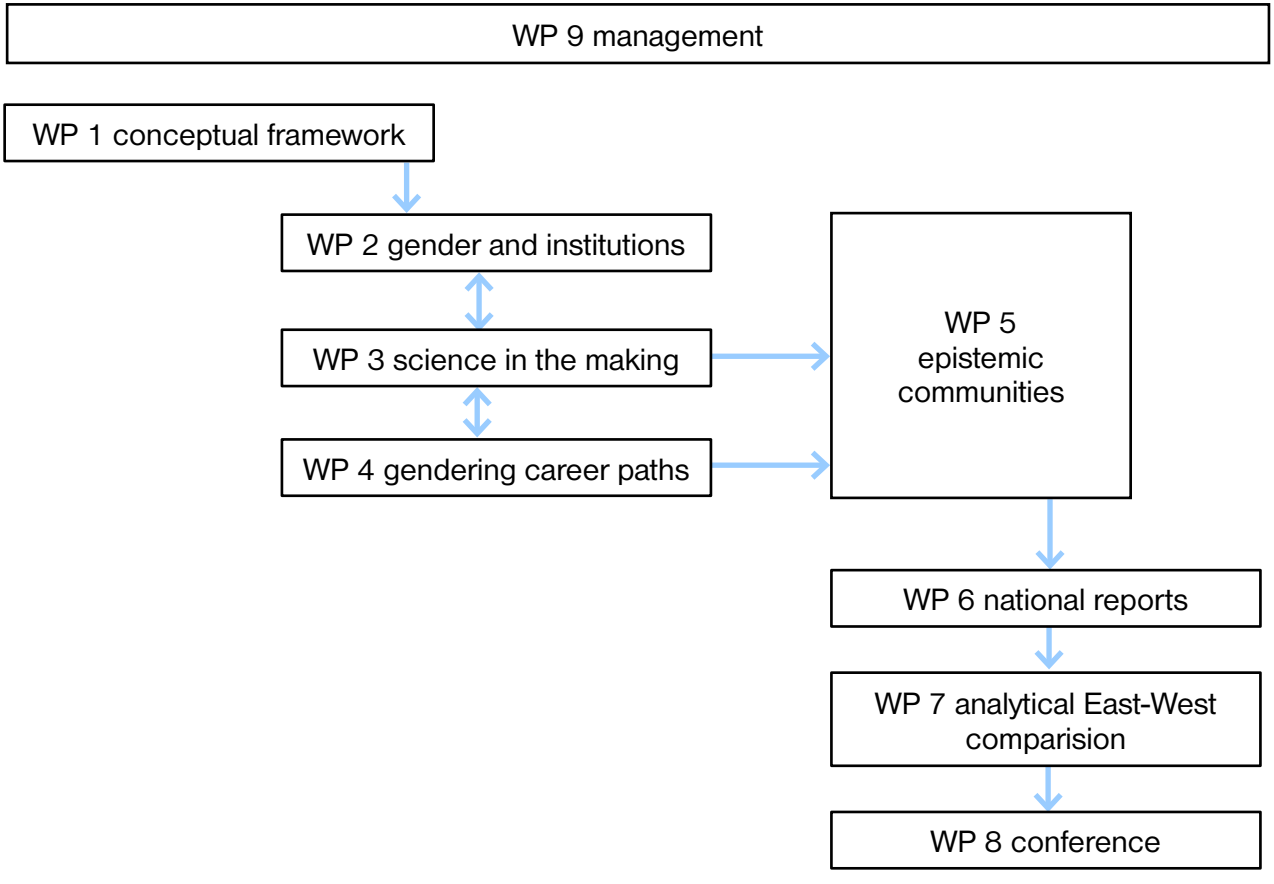
The GANNT chart helps give an quick overview of the whole project for the planned duration of project, interlinks between workpackages and logical clustering of work.




Month
Area 1
0 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23
WP 3
T 3.1 development of the content of the website section
HSTF
T 3.2 preparation the information leaflet for potential women evaluators
D 3.1 information leaflet for potential women evaluators
D 3.2 collection of information on female evaluators in the CEC-WYS countries
D 3.3 conduct of interviews with female expert evaluators in each CE country
T 3.3 preparation of 1-day workshop for women evaluators from CEC-WYS countries
D 3.4 organisation a 1-day workshop for women evaluators from CEC-W countries
D 3.5 uploading of this information on the website
WP 4
T4.1 preparation of a training manual
IPSAS
D 4.1 training manual on the inclusion of gender dimension in FP6 projects
T 4.2 preparation of training session on the inclusion of gender dimension in FP6
D 4.2 training session for national multipliers
WP 5
D 5.1 organisation of training session 1
D 5.2 organisation of training session 2

Example of a PERT chart:
The PERT chart serves to show the logical interlinks and momentum building of a project. As an illustration, we give here the PERT chart for the Central European Centre for Women and Science project (SSA) and for the KNOWING project (STREP).




WP 9 management
WP 1 conceptual framework
WP 2 gender and institutions
WP 3 science in the making
WP 4 gendering career paths
WP 5
epistemic
communities
WP 6 national reports
WP 7 analytical East-West
comparision
WP 8 conference

**Project management**

**This section must demonstrate how the consortium, already presented in a previous section of Part B, will organise itself to ensure that project objectives are met.**

In this section the co-ordinator needs to show that she is capable of managing a consortium, that she has a clear plan how the consortium will be organised, who will have which responsibilities, how decisions will be made, how quality control will be ensured and whether there is any contingency plan for default of work and for conflict management.

The **evaluators** of your proposal **want to see** that your project, if financed, will ensure **smooth communication systems between operational staff (researchers and operators) and the key decision makers (usually team leaders who have a more political and public relations role).**

In the project management section of Part B you should clearly **explain who is responsible for the overall running of the project**. Every project must have a **Project Manager** who will be responsible for the management of the project and the execution of the contract. The Project Manager is not necessarily the Co-ordinator or a member of the Coordinator's team. However, the Project Manager must be nominated by the Coordinator.

Key project management responsibilities include:

- coordination of the technical activities of the project;
- the overall legal, contractual ethical, financial and administrative management of the project;
- preparing, updating and managing the consortium agreement between participants;
- co-ordination of knowledge management;
- over-seeing the promotion of gender equality on the project;
- obtaining audit certificates (as and when required) by each participant;
- bank guarantees for SMEs (if applicable).

You have to show what mechanisms will be put in place to ensure that decisions will be made transparently and efficiently. **The management structure must match the complexity of the project**. A Steering Committee composed of the team leaders of each organisation can be a strategic way of ensuring that regular meetings are held between key decisions makers. A Work Package Advisory Group composed of designated members from each of the work packages can also be very useful to ensure operational coherence against workplans.

The management structure needs to correspond to the size of your consortium. If it is small and partners have a fairly equal share in the activities and PM allocation, it is a good idea to have a simple structure involving a project management board and expert committee. Each partner has one representative in the PMB and they all have an equal vote.

However, if you have a large consortium and very imbalanced contribution to work, you should consider having a multi-layered management structure. It is also worth considering having a two-tier decision-making structure where you define a quorum of all partners (simple or qualified majority) and a quorum for percentage of budget (e.g., partners representing 70% of the budget).

This management structure needs to be specified in the proposal including a graphical presentation of the management structure.

For a small type of a project you can use the following structure and division of responsibilities. Guidance on more complicated types of management structures can be found online or in management training manuals from trainings via your NCPs.

**Project Management Board (PMB)**
Members should be a representative of each institution who is in the highest position of authority. If there is more than one project partner from an institution, then the senior partner should also have a deputy. The PMB is responsible for:

- management of joint funds
- deciding on press releases and joint publications
- deciding on significant changes in work packages
- deciding on the inclusion or expulsion of consortium members

**Chair**
The co-ordinator should be the chairperson. The chairperson is responsible for:

- calling meetings
- circulating the agenda
- notifying partners if there will be a vote and what majority is needed to carry the vote
- follow up on decisions taken at project management meetings

**Deputy Chair**
Another member of the coordinator's office should be the deputy chair and take on the responsibilities of the chair if needed.

**Minutes Clerk**
For convenience, another member of the coordinator's office should be the deputy chair.
The minutes clerk must send the minutes within 15 days of the meeting.

**Decision-making**
Simple one-tier structure:

- you defined a required majority for types of decisions (e.g., 2/3 majority for making regular consortium decisions or unanimity for, e.g., expulsion of a partner from a consortium)

Two-tier structure:

- tier 1: define the type of majority required
- tier 2: define the required budgetary percentage representing partners

**There should be a balance between motivating and involving all partners while keeping a measure of control.**

- Each member institution should have, if appropriate, equal voting rights and have one vote
- settlement of disputes / communication breakdown – you may need to employ a mediator to help out with settling disputes
- termination or withdrawal of partnership and transfer of work

**Intellectual Property**
(Intellectual Property Rights (IPR) are discussed on page 89)

As mentioned above, the coordination of knowledge management is a key project management responsibility. Describe the plan for the management of knowledge and intellectual property. Think carefully about the implications of your project on the exploitation of the know-how and resources of your organisation and those of your partners. It is important to foresee, as far as possible, exactly what know-how will be needed. **An important balance has to be struck between the protection and exploitation of intellectual property rights.**

**Monitoring of project progress**
Explain how project progress will be monitored against work plans and foreseen costs. It is important to think about what measures will be taken should any problems be encountered that may delay project implementation. **The challenge here is to use a carefully planned approach that also allows for flexibility to adapt project implementation should unexpected circumstances arise.**

## An example of a vote in a consortium:

**the vote for expert committee members in the CEC-WYS project**

One month before the beginning of the project, we asked project partners to make nominations for the expert committee. We received 4 nominations. Each nominee sent their CV to the coordinator, all of which were then circulated around the consortium in advance of the kick-off meeting where the vote was taken.

We created a small table with a box next to each nominee, and partners were asked to write a number form 1 to 4 in order of preference, 4 representing the favourite, 1 the least favourite. Each partner institute had one ballot paper (and therefore 1 vote) regardless of the number of people working on the project from each institute. We then collected the ballots and counted the scores for each expert. The 3 experts who received the most points won.

We had to replace one of the experts, and due to time and circumstances, were obliged to take a vote over the internet. Again, we received nominations and as it was out of only 2 nominations, partners were asked to choose one name. The email that they sent with their vote was printed out and taken to the following project management meeting for each partner to sign.

Tips

- In the management section of part B you should also show awareness of the Commission's demands regarding reporting. Read the model contract beforehand to get an idea how the reporting is organised.
- Have a section on conflict management in the consortium and how decisions shall be made if consensus cannot be reached or if the vote is divided.
- Have a cost management section showing awareness of cost efficiency in your budget planning (you can do this, for example, by planning workshops and conferences around consortium project management board meeting to save travel costs).
- In the management structure you should also detail the planned organisation of meetings, including the WP to be addressed at the meeting, venues of the meeting and a proposed month when they will be organised.
- Planned conference and training sessions should be also clearly presented using a table, containing information on the WP these actions relate to, planned venue and month of project when they will take place. If you organise these events around project management board meetings, state which ones.

## INTELLECTUAL PROPERTY RIGHTS AND PEKH

(for more see also Part 5 Consortium Agreement)

**Intellectual property rights (IPR)** are an important issue to be taken into consideration when participating in a research project.

- It is relevant both for enterprises whose assets are often intangible (know-how and patents) and research centres & universities (in terms of publications as well as commercial exploitation often in collaboration with enterprises).
- Actually IPR should be addressed by the contractors from the very beginning of the activity: from the proposal preparation.

What is IPR?

**Intellectual Property** covers two main areas: industrial property; covering inventions, trade marks, industrial designs, and protected designations of origin; copyright, represented by literary, musical, artistic, photographic, and audio-visual works.

Part C of the Annex II to the contract is devoted to IPR, in particular articles 32 to 36 concern ‘‘ownership of knowledge’’, ‘‘protection of knowledge’’, ‘‘use and dissemination’’, ‘‘access rights’’, ‘‘incompatible or restrictive commitments’’. However we think that a simpler definition can help you in managing this.

## Pre-existing know-how (PEKH)

**Pre-existing know-how** is defined in the Model contract (see Resource section) as "the information which is held by contractors prior **to the conclusion of the contract, or acquired in parallel with it**, as well as copyrights or rights pertaining to such information following applications for, or the issue of, patents, designs, plant varieties, supplementary protection certificates or similar forms of protection."

As you may know each partner must grant access rights, i.e. the licences and/or user rights, to its pre-existing know-how to those contractors who need it

- to carry out their work under the *project*
- to *use* their *knowledge* i.e. to exploit the knowledge for commercial use or to perform further research activities outside the project.

If needed, access rights to pre-existing know-how for project implementation shall be granted on a royalty free basis. The partner owner of the pre-existing know-how can decide to grant the access under less favourable conditions but such conditions have to be defined in advance, before the signature of the EC contract.
Access rights to pre-existing know how, if needed for use purposes, shall be granted under fair and non-discriminatory conditions to be agreed among the interested parties.

Tip
Access rights are granted on the basis of a written request drafted by the partner that needs that access. Confidentiality in the use of pre-existing know-how is requested.

Moreover according to the EC contract art II.35 Access rights, paragraph d, **pre-existing know-how can be excluded** by the access of other contractors:

d) A *contractor* may explicitly exclude specific *pre-existing know-how* from his/her obligation to grant *access rights*, by means of a written agreement between the *contractors* established before the *contractor* concerned signs the *contract* or before a new *contractor* joins the *project*. The other *contractors* may only withhold their agreement if they demonstrate that the implementation of the *project* or their *legitimate interests* will be significantly impaired thereby;

Tip

- The exclusion of pre-existing know-how has to be explicit and done **before** the signature of the contract with the Commission
- A contractor cannot exclude the piece of pre-existing know which other contractors need to implement the project activities or to use their own knowledge.
- Consortium agreements foresee a specific annex which will list the excluded pre-existing know-how. However several solutions are proposed in the model consortium agreements available on the IPR help-desk web sites.
- Finally it is very important that, if you intend to exclude part of your pre-existing know-how, you identify it as soon as possible.

## Access rights to pre-existing know-how

- exclusion of pre-existing know-how
  - explicit exclusion
  - obligatory agreement of all participants concerned
  - to be agreed before signature of the EC contract or before a new participant joins the project
  - should not concern “core” pre-existing know-how required to carry out the project
- more favourable or additional access rights
  - e.g. access rights provided to affiliates
  - exclusive licenses in limited areas out of the scope of the project
- sub-licensing
  - e.g. for software
  - e.g. to affiliates companies
- different conditions under which access rights to pre-existing know-how for carrying out the project are granted
  - on financial conditions to be agreed
- different conditions under which access rights to knowledge for use purposes are granted
  - on financial conditions to be agreed
- access rights to knowledge for carrying out the project
  - on financial conditions to be agreed
- longer duration of access right for use purposes
  - more than 2 years after the end of the project or of participation

## Knowledge

**Knowledge** is defined in the Model contract as "the **results**, including information, whether or not they can be protected, **arising from the project** governed by this contract, as well as copyrights or rights pertaining to such results following applications for, or the issue of patents, designs, plant varieties, supplementary protection certificates or similar forms of protection".

Knowledge produced shall be the **property of the contractor carrying out the work**; in case the work is carried out jointly this will imply joint ownership.
As you may know each partner must grant access rights to its knowledge to those contractors who need it

- to carry out their work under the *project*
- to *use* their *knowledge* i.e to exploit the knowledge for commercial use or to perform further research activities outside the project.

Access rights to knowledge both for project implementation and for use purposes shall be granted on a royalty free basis.
However if a partner needs the knowledge arising from the project to use its own knowledge less favourable conditions can be applied if so agreed by the owners of the knowledge before the signature of the EC contract.

For further information concerning pre-existing know-how, knowledge, access rights refer to article II.35 - General conditions of the EC contract
For further information concerning ownership refer to article II.32-General conditions of the EC contract.

## Protection of knowledge and dissemination

The property of knowledge arising from a project can be protected through different instruments (patents, utility models, industrial design, trade marks, semiconductor chip protection, plant variety protection, copyright). According to the EC contract, the partner (s) who own(s) knowledge susceptible to commercial or industrial application shall protect the knowledge.

*Use of knowledge*

In the consortium agreement specify terms of use in a detailed and verifiable manner

- how (e.g. commercial exploitation or utilisation in further research activities)
- by whom (e.g. by an Exploitation Manager)
- how long
- for what (e.g. a specific technical area)

- Regular updating/reporting of plan for use and disseminating knowledge (Annex 1 to the EU contract)

*Dissemination/Publications*

- what should be kept confidential or disseminated/published
- specify the measures necessary to ensure adequate publications (e.g. reporting procedures)
- allow publication of doctoral theses

**Protection of knowledge**

- protection prevails over dissemination/publications and use
- project partners may agree on the terms and periods of protection (e.g. taking over patents or similar rights, taking over trade secrets)
- to conform with relevant legal provisions (e.g. decision-making on where to protect or litigate and at whose costs)
- applicable law
- legitimate interests of the participants
- possibility to allow other participants to apply for their own IPR and to maintain rights in effect
- possibility to agree on the protection of the project's acronym or domain name

Tip

Protecting the knowledge is therefore mandatory.

As some instruments (patents for example) require the novelty feature it means you cannot publish or disseminate the results you have achieved within the project if it affects either

- the protection of your knowledge or;
- the protection of partner's knowledge.

**In summary**

Tips

- protection limits possibilities for dissemination – you cannot obviously disseminate protected knowledge
- publication is not allowed if it affects the protection of knowledge
- publication procedure foreseen in the EC contract obliges you to inform the Commission and the co-ordinator of your intention to publish.
- Consortium agreements foresee a further severe procedure, with often softer rules applying to doctoral thesis and internal scientific reports.

Tip

If no problems connected with protection arise, knowledge shall be disseminated within a period of 2 years after the end of the project.

Tip

For further information on protection of the knowledge and publication refer to article II.33 – general condition of EC contract

For further information on dissemination refer to article II.34 – general conditions of EC contract.

Tip

All information can be easily found in the IPR helpdesk (http://www.ipr-helpdesk.org/index.htm)

## Ownership and intellectual property rights (IPR)

With respect to creations developed by personnel working for the participants, the crucial principle is that each participants needs to ensure that

- they own knowledge generated by its personnel or
- that the rights to knowledge generated by its personnel can be exercised in a manner compatible with its contractual obligations

**Personnel concerned**

- staff legally employed by partners
- doctoral students
- personnel made available by a third party
- subcontractors

**Some questions to address when determining or considering joint ownership**

- Planning ahead for the assigning of share of the rights
- Planning ahead for cost sharing
- Deciding who will file for protection of co-owned knowledge and maintain patents and other intellectual property rights in effect
- Payment of fees for registration, maintaining procedures (e.g. in which country and from whose account) etc.
- Responsibility for detecting and taking civil or criminal actions against third parties who in any way injure the rights conferred by the IPR
- Licensing to third parties to use the invention
- Consent of the co-owners for decision-making processes, etc.

**Confidentiality**

- You can make all transmitted information secure
- There are general obligations stipulated in the EC contract to not reveal certain information

Additional options

- you can define precise information that must not be revealed
- there is a possibility to stamp all the documents “confidential”
- you can define exception regarding certain category of entities (e.g. subcontractors)
- retroactivity of the confidentiality provisions
- the period of confidentiality must be stated in advance
- ensure the applicability of the confidentiality provisions in the case that a participant withdraws from or abandons a project

**more information**

http://www.ipr-helpdesk.org
HELPLINE
T. +34 96 590 97 18
F. +34 96 590 97 15
E-mail: ipr-helpdesk@ua.es

## QUALITY CONTROL

To maximise the quality of the project, and benefit from exchange of experience, it is advisable to put an expert committee in place. The Commission also looks favourably on this.

**Role of the committee**
The role of the committee is to comment on the deliverable work of the project and suggest improvements, particularly in terms of theoretical and methodological background.

**Selection procedure**
It is important to have a range of experience and interest among the experts covering all areas of the project. Therefore, at the beginning when nominations for the expert committee were made by members of the Project Management Board, we stressed that they should nominate people with relevant background – gender studies, project management, policy implementation, and sociology. After collecting nominations, there was a vote at the kick-off meeting for the project.

**Working process**
After the vote, the experts were asked to prepare the evaluation criteria (see below and Annex ii). Furthermore, the deliverables of the project can be evaluated by all members of the committee, but we have found it practical and convenient to assign lead (but not total) responsibility for each deliverable to individual experts. Where there are six reviewable deliverables, each of the three lead experts takes responsibility for two deliverables according to their experience and interest. Should there be a conflict of opinion amongst the members of the expert committee the lead expert's comments carry more weight.

Tip

Project partners should consult the experts during the working process to minimise the need for extensive re-working at the last minute. When a partner has finished a piece of work, this should go first to the co-ordinator for comments. After the co-ordinator has been satisfied, the experts should take between one and two weeks to comment on the work. The experts should be notified in advance of when their input is needed so allow them to plan accordingly.

Tip

Deliverables should go to the expert committee one month before they are due to the Commission. This allows the experts and the WP leader time to comment and incorporate comments into the final version of a deliverable submitted. Plan for this when you are making the time plan for the project.

**Evaluation criteria**

When discussing the evaluation criteria, you need to think of the objectives and type of project you have. If you have a research project, obviously research methodology, planning, analytical skills etc. are crucial for excellence. In a support or coordination project, this is different.

In our case, most of our deliverables are reports, training manuals or sourcebooks as well as workshops, flyers and a conference. Although having a high intellectual and theoretical standard is very important for us, it is not the only objective. Therefore, using for example evaluation documents used by grant agencies for evaluating research projects is not the most appropriate. Neither are evaluation forms used for scientific journals.

In preparing the evaluation criteria with our experts, we drew on previous experience with evaluation but have modified the criteria or the focus of the criteria according to the objectives and type of our project. You can see the result in Annex ii.

## CONSORTIUM STRUCTURE

In one of the sections of Part B of the proposal you detail the partner description in your consortium. Primarily, the chapter should include a description of partner institutions and responsible personalities.

Tip
Try to keep the description of each partner institution to one page, otherwise it becomes burdensome. You may include additional information about partners in an annex to the proposal.

**What is a consortium in the context of EC research?**

For the purposes of EC research projects, a consortium has to be composed of at least 3 legal entities (public, private, non-profit organisations, etc.) who wish to work together to ensure that a given project reaches its objectives. These entities should come from different Member States or Associated States, of which at least two shall be Member States or Associated Candidate Countries. NB: Some calls relating to SSAs and Mobility Measures may have differing rules so **always read the call text attentively.**

- **Member States**: Austria, Belgium, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy Latvia, Lithuania, Luxembourg, Malta, The Netherlands, Poland, Portugal, Slovak Republic, Slovenia, Spain, Sweden, United Kingdom
- **Associated Candidate Countries**:
- Bulgaria, Romania, Turkey and Croatia as of the beginning of 2006
- **Associated Countries:** Israel, Liechtenstein, Norway, Switzerland, Iceland
- **Third Countries:** In the framework of EC-funded R&D projects and programmes, Third countries are referred to as INCO target countries. These countries can participate with EU funds within the limits of the budget allocated for them (285M for all the 7 priorities)**.** The complete list of INCO countries is available at; http://www.cordis.lu/fp6/inco.htm

## How should a consortium be built?

A consortium should be built in line with project objectives. The quality and complementarity of the consortium members determines the level of efficiency in overall project management as well as the quality of project results. Therefore, the selection and strategic presentation of the consortium members to the Commission is vital.

You should strive to have all relevant actors in the needed fields of expertise that complement one another. You should also strive to have a balance between experienced (senior) and junior researchers working on the project and sharing experience (described in *composition of personnel)*.

You should show the complementarity among partners, for example, using a table division of responsibilities, contributions to WP and exchange of experience and knowledge.

The Guide For Proposers states that, *"It is important to describe the role of the participants and the specific skills of each of them. Show how the participants are suited and committed to the tasks assigned to them; show complementarity between participants*." This complementarity can be both horizontal and vertical. For example as far as horizontal complementarity is concerned: in the case of CEC-WYS, partners from the Czech Republic, Hungary, Slovenia and Slovakia all carry out the same activities aimed at mapping determinants of women's participation in Science. All such horizontal activities will be channelled in to the virtual Central European Centre for exploitation. An example of vertical complementarity in CEC-WYS can be seen in the set-up of the website. Whereas the Romanian partner is taking care of the technical aspects, the formulation of the project idea was elaborated by the coordinator.

You should also detail the on-site contribution of individual partner institutions, including the support the project will receive from the home institution.

## How can the consortium be best presented in Part B?

Describe the resources, human and material that will be deployed for the implementation of the project. The knowledge and reputation of the core partners is important to valorise. You should include:

- brief profiles of each organisation involved in the consortium showing individual competencies and experience,
- short CVs of the main staff members to be active in project activities.

The European Commission strives to create effective research interfaces between Academia and industry so a strategic mix of both types of institution is viewed positively by the evaluators. SMEs have the potential to play an important role as technological providers, demonstrators or disseminators.

The consortium should show a fully integrated and balanced team capable of mobilising a critical mass of expertise in order to ensure the success of the project. When building and presenting the consortium to the EC, it is important to avoid overlaps and duplications in expertise and activities. You should always strive to highlight complementarity of the consortium members and allocate clear, distinct roles and functions to all partners.

In the relevant part B of the proposal you should include your 'Effort Form'. The effort form specifies the Person-Months per partner per workpackage divided by type. The Effort form is a table showing the 'effort' of each partner in terms of person months. For an SSA such as CEC-WYS, two main types of activities are presented in the effort form. These are 'Support activities' and 'Management activities'. The type of activity depends on the project instrument that you are applying for. For example, Coordination Actions use 'Coordination Activities', SSAs use 'Support Activities', STREPs will include 'research' and 'demonstration' activities, whilst additionally, IPs will use 'Training activities'. ALL instruments have to contain 'Management activities' as management ensures smooth implementation of the project. You should remember that the effort form shows the contribution of the non-additional staff for AC participants.

Tip

Management forms a specific workpackage in the workplan and the person-months and any other costs required for management (such as to cover audit certificates) are included in the management budget, which must not exceed 7% of the overall budget (see above for budget issues).

To ensure clarity and transparency in the proposal, double check that the Effort form is consistent with the budget and the activities and the activities in the WPs.

# Submitting a proposal

## ONLINE SUBMISSION

The Electronic Proposal Submission System (EPSS) is the easiest way to submit a proposal. But it can also give you a headache. Download and familiarise yourself with the EPSS WEEKS in advance of the deadline.

In the end it is very simple to complete and upload all the necessary information. To complete, for example, the A2 form by a partner, takes about a minute if you have the information. So the process can be completed quite quickly if the partners complete their A2 forms timely and if the co-ordinator has the Part B and the budget for part A3 ready.

Tip

Do not forget to validate all forms by clicking on the 'validate' button. Each partner should validate their A2 form. The co-ordinator should validate all the other parts and then, before submitting the proposal, validate the whole proposal as such.

http://fp6.cordis.lu/fp6/subprop.cfm

Pros of EPSS:

1. it is web-based and you don't need to download any documents, you complete and store everything online
2. the whole consortium has an access to the online proposal and partners can complete and check their own data in A2 forms
3. proposals can be revised and submitted right up to the call deadline
4. you don't spend money on postage and worry about delivery

Cons of EPSS:

1. the system can go down
2. the system can crash before the deadline with many applications being submitted
3. weird bugs can appear (e.g., suddenly the system says that you proposal is past deadline and not possible to update)

If this happens, do not panic and contact the EPSS Helpdesk: e-mail: support@epss-fp6.org,
phone +32 2 233 37 60.
If the system is down, there is a notification and deadlines may be extended if the system is down for a longer period of time.

**User's guide for the Electronic Proposal Submission System (EPSS)**

Read the guide carefully – it gives you all the information!
http://dbs.cordis.lu/fep-cgi/srchidadb?ACTION=D&SESSION=&DOC=1&TBL=EN_DOCS&RCN=EN_RCN:2098005&CALLER=FP6_LIB

Registration in the EPSS system

Tips

- when registering in the EPSS system, double check your email address. If it is incorrect, you will never receive the password to the system!
- project co-ordinator registers on behalf the consortium
- you have to know the call
- you have to know the instrument
- you have to have the title and the acronym of your project for the registration! They cannot be changed later.
- The rest, including partners, can be modified throughout.

After registration:

- the co-ordinator receives a password for the co-ordinator and partners by email
- in the email you will be given the website for the initial registration
- There, the co-ordinator has to log in using the provided co-ordinator password and then change the password. Then the co-ordinator has to also enter the partner password received from the EPSS system via email and change it. DON'T MIX THIS UP.
- this changed partner password is then sent out to partners to complete their A2 forms (partners can edit only A2 forms), the rest is completed by the co-ordinator

Completing the EPSS forms:

- project summary: 2000 character limit must be observed otherwise the text gets cut by the system and the end will not be there.
- part B and annexes must be in PDF format (in Microsoft Word you do this through File/Print and in the printer select box you choose Acrobat Distiller which save the current document as a PDF document)
- When your proposal is ready, all the partners are registered, Part B and any annexes are uploaded and the whole project is validated and OKed, you can submit.
- You can then re-submit revised versions as many times as you wish. The last proposal registered by the system at the time of the deadline will be evaluated.

## OFFLINE PREPARATION, ONLINE SUBMISSION

It is also possible to prepare documents offline and submit them online. This comes handy if constant internet access is a problem for the co-ordinator. There is an Offline Electronic Proposal Tool (EPT) User Guide at:

http://dbs.cordis.lu/fep-cgi/srchidadb?ACTION=D&SESSION=&QF_EN_DON=2149&CALLER=DOCS_PUBL&TBL=EN_DOCS

This EPT tool is a software that runs on your computer and enables you to complete the proposal forms, which you then submit online via the EPSS described above.

**After the submission of a proposal:**

1. The Commission sends an acknowledgement receipt
2. The Commission performs eligibility check
   (whether the proposals meets all the formal criteria of submission)

# Negotiating the contract with the Commission

The response from the European Commission comes between 4-6 months after the submission. In the meantime, you can just keep your fingers crossed.

Tip

Negotiation can begin if your proposal is retained for negotiation. An invitation to negotiation does not automatically mean that you will get the project.

Negotiation may cover any scientific, legal or financial aspects of the proposal, based on the comments of the independent experts and on any other issue that was taken into consideration at the ranking stage where projects are listed in order of their evaluation results. The scientific aspects cover, in particular, revisions to the work plan and adjustments to it, resulting from the evaluation and/or other requirements of the Commission.

## NEGOTIATION FRAMEWORK

After the evaluation, the Commission contacts the co-ordinator with a letter stating whether a project has been retained for negotiation. If the project is favourably evaluated, the initial letter from the Commission gives the basic framework for negotiation (financial amount, maximum duration of the project and deadline to send Annex 1 (a description of the work to be carried out under the project) to the contract to the Commission). The co-ordinator also receives the evaluation summary report where suggestions are made to amend the project and marks are given (Annex 1 to the invitation letter). Annex 2 to the invitation letter gives the framework for negotiation and Annex 3 to the invitation letter provides information on Electronic Submission of Contract Preparation Forms (CPF).

The Commission stipulates the maximum amount for the project. It also sets a deadline by which the co-ordinator needs to submit an draft of Annex 1. The invitation letter also stipulates the Scientific or Project Officer (see below Part 5 Who's Who) who is the main communication gateway to the Commission and with whom the contract and Annex 1 are negotiated.

Elementary information on negotiation a contract can be found at:
http://www.cordis.lu/fp6/stepbystep/negotiation.htm

Tips

- You need to prepare draft Annex 1 (Technical Annex in FP5) first
- You need to have CPF forms & papers ready as soon as possible
- In parallel the co-ordinator must deal with Consortium Agreement
- There is some opportunity to make changes in the consortium or change the coordinator
- Ensure new participants check out the model contract immediately - it is non-negotiable
- Agree how to handle internal “collective responsibility”
- Ensure smaller organisations are prepared for financial viability problems
- Check that large players are still committed
- Let the EC know if any partner problems are suspected

## BUDGET

An important point is the **indicated budget**. This not fixed but is only a starting point for negotiation. It can be increased or decreased during negotiation. Unfortunately some project officers and most coordinators do not understand this. The internal document that initiates contract negotiation, "the Implementation Plan", clearly states the following –
"Proposals for which negotiation is certain to start. Each of those proposals will be allocated an indicated funding (in KEuro). The implementation plan and the ESR (Evaluation Summary Report) will provide the reasons for any reduction with respect to requested funding. The indicated funding does normally not take into account possible changes implemented during negotiation due to incorrect estimates of labour rates or funding systems in the proposals."

If the Commission's budget is not negotiated or fixed yet, it may happen that the initial letter provides only the evaluation summary report and information on when the invitation to negotiate will be sent out.

## Cuts

Positive evaluation and invitation to negotiate a project does not mean that a project has been accepted as it is. Money-wise, two things can happen:

1. A full amount is granted and you have less problems – this is very unlikely, though, and unfortunately the budget cuts can often seem *ad hoc* and quite random
2. Less than full amount granted
    - The indicated budget is not an absolute – it is negotiable
    - See the reasons for cut – they are stated in the Evaluation Summary Report
    - If you are cut in resources, try to cut the work proportionally

Tip

Be prepared for:

1. large budgetary cuts
2. person-months cuts

You will have to consider under what circumstances it is still feasible to do a project, or which partners or workpackages to cut from the consortium and still have a project that makes sense

Tip

Negotiation can take anywhere between 3 and 9 months depending on your speed and on the speed of the Commission. If you are getting close to summer vacation, try to get it signed before – then responsible people at your institution and at the EC will be away for long periods of time and the contract signature gets postponed even more.

## SUPPORT

**Negotiation Guidance Notes for coordinators** are available at http://www.cordis.lu/fp6/find-doc.htm#negotiation either in a PDF or Microsoft Word document. Again, you have to choose the relevant instrument (IP, NoE, STREP, CA, SSA etc.).

The Negotiation Guidance Notes give information not only about the course of negotiation, but also the CPF forms, Annex 1 requirements and format, contract management and obligations toward the Commission and templates required for Annex 1 (Appendix 1 – Templates). These are pretty much the same as in the proposal stage Part B. Appendix 2 defines **obligatory and optional deliverables** to be incorporated in Annex 1 (the mandatory and optional deliverables are stipulated in the Negotiation Guidance Notes and depend on the type of instrument).

**Electronic Submission of Contract Preparation Forms (CPF)**

The co-ordinator receives a document from the Commission containing a pre-filled CPF file for the project. The file will have some pre-filled information regarding the submitted project and a clearly indicated proposal number. The file cannot be opened using any other software except the CPF tool available at http://www.cordis.lu/fp6/contract-prep.htm together with other relevant information.

First, download the Electronic Submission of Contract Preparation Forms guide and explanatory notes at http://www.cordis.lu/fp6/find-doc.htm#cpf. To select the correct guide, you need to select the proper INSTRUMENT (SSA, CA, STREP, IP, NoE etc.) in the list on the website. The structure of the Contract Preparation Forms is very similar to the project proposal forms but not identical.

There is also Guidance for Downloading the Editor at
ftp://ftp.cordis.lu/pub/fp6/docs/short_guid_download_cp_6.0.pdf
and FAQ and support available at
http://www.cordis.lu/fp6/contract-prep.htm

Tip

it is not possible to open the CPF file received from the Commission just by clicking on it in your document browser. Instead, you first have to open the CPF editor and then through the OPEN box open the file. The CPF file can be processed only using the CPF EDITOR. Do not try to use any word processing or other software to work with the CPF file because it may corrupt the file.

Tip

To speed up the process of finalising the contract, it is advisable to print the A2 forms of the CPF file and fax them to the Commission in addition to sending them signed and stamped by the partner organisations.

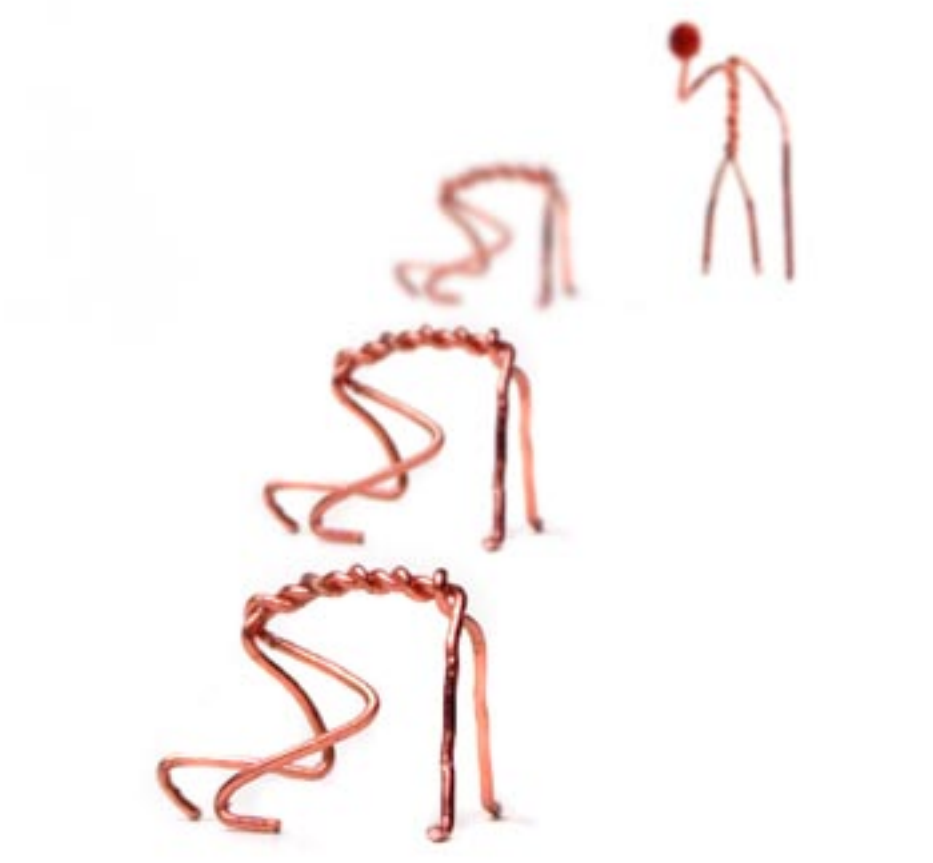
## DISSEMINATION PLAN

Read the guidance notes for the completion of the CPF forms and the Negotiation Guidance Notes. You will be obliged to draft a dissemination plan for your project as a mandatory deliverable (see Part 8 for details).

## START DATE

The contract enters into force upon the signature by the co-ordinator and the Commission. Normally the start date of the project is the month following the signature of the contract with the Commission. In special and exceptional cases, the start date of the project may be negotiated to be different.

# Starting the project



After you have a signed contract, you can start working! The start date of the project is usually the month following the signature. That starting month is Month 1 according to your workplan.

## ACCESSION TO THE CONTRACT

When you receive the final version of the contract from the Commission in a PDF file, disseminate it among partners. The first task for the co-ordinator after receiving the contract is the send out the Accession to the Contract form to the partners. The Accession to the Contract must be delivered to the Commission **within 60 days after the date of signature** (see Article 2.1 of the core contract). The Accession to the Contract is made in three copies of which one goes to the coordinator, one remains with the partner and the third one goes to the Commission.

Tips

- The co-ordinator must ensure that other contractors sign/accede by the stipulated deadline
- Distribution of pre-financing to other contractors is possible after minimum requirements are met (signature of the accession form, signature of the Consortium Agreement)
- the project begins on date established in the contract, so check this detail thouroughly!
- Implementation and payment phases relating to the project must be completed by the final implementation date of the contract.

Tip

When distributing among project partners a copy of the EU contract, also photocopy the other partner's forms on accession to the contract duly signed and stamped by the other partners so each partner has a complete set of signed and stamped papers.

Tip

Prepare a project timeline for your project consortium (for example in an Excel spreadsheet) detailing all the work for the project, including Deliverables in workpackages, Milestones, deadlines for submission of Deliverables to the expert committee and to the Commission, public holidays so that you know when meetings are impossible, and months of meetings. This will allow the consortium easy orientation in the timeline of the project and easy way to keep track of any outstanding tasks or tasks to be completed.

For easy reference, please check Cordis at:
http://www.cordis.lu/fp6/stepbystep/project.htm

## CONSORTIUM AGREEMENT

A consortium agreement is an agreement concluded between partners to the project and the Commission remains a third party. The purpose of the consortium agreement is to **regulate and specify obligations and rights of consortium members among themselves**. However, it does not affect the obligations and rights of project partners toward the Commission and those defined in the EC contract.

The consortium agreement is a guide to consortium members on what is expected of them, in terms of process, finances and legal issues. It sets out boundaries and expectations in terms of communication and participation in the project. It provides a contingency plan when work is not completed as envisioned. It is very important in keeping the consortium working together in an efficient way.

The consortium agreement is **mandatory** unless specified otherwise in the call (e.g., Marie Curie Actions, SSA, CA). The reason for a consortium to conclude the consortium agreement is that the EC contract does not provide the whole picture. The EC contract obliges partners to arrange relationships between themselves in a separate agreement (regarding, for example, the distribution of the EC contribution, communication rules, Pre-Existing Know-How, Intellectual Property Rights etc.). Not all project types require a consortium agreement. You need to check this in the project documentation (call for proposals).

There is no explicit mention **when** the consortium agreement should be signed in the EC contract. It should be concluded as soon as possible. The Commission does not give any guidance or recommendations on this. It is a tool to ensure the participation of partners and to put in place the rules for the withdrawal of partners from the consortium before the signature of the contract.

Tip

If there are many serious issues pertaining to Pre-Existing Know-How or Intellectual Property Rights, the consortium agreement should be signed **when submitting the proposal**. Ideally, the Consortium Agreement should be signed **before** signing the contract with the European Commission in order to safeguard cooperation from all partners in working processes (for IPR and PEKH issues see above page 89).

Tip

It is always a good idea to sign the Consortium Agreement even if the Commission does not demand it in the call.

Tip

Intellectual Property Issues MUST be agreed before the signature of the EC contract. Different conditions under which access rights are granted are contained in Article II.35, paragraph 2a and 3a of the EC contract.

The Consortium Agreement should cover such aspects as:

- **organisational provisions**, such as governing bodies, their establishment, composition, roles and nature, and decision-making procedures (see pages 83-88)
- **technical provisions**, such as expected contribution of consortium members and procedures for dealing with non-performing partners (see chapter 6)
- **commercial provisions**, such as confidentiality, use and dissemination, ownership, protection of IPR, pre-existing know-how (see chapter 2)
- **financial provisions**, such as financial payments, distribution of funds, auditing and audit certificates, how to deal with financial collective responsibility (if applicable) and provision for dealing with non-performing partners (see chapters 6 and 7)
- **legal provisions**, such as legal form of co-operation, duration of agreement, penalties for non-compliance, termination, applicable law and settlement of disputes (see chapter 5)

The checklist to the Consortium Agreement can be found at:
http://europa.eu.int/comm/research/fp6/working-groups/model-contract/pdf/checklist_en.pdf

## Consortium agreement models

Although the co-ordinator is responsible for drafting the consortium agreement, they need not feel overwhelmed! There is substantial guidance and models of consortium agreements to be drawn upon. The co-ordinator is responsible for adapting the consortium agreement to fit the size and purpose of the particular project.

The models available are not official documents from the EC. They have been drafted by various organisations with extensive experience in the area.

Tip

The models are indicative and **should not be used as they are.** Some of them have been drafted before the approval of the model contract on 17 March 2003 and the references in the model contracts may not be updated. The adapted consortium agreement is the responsibility of the users (the consortium) who should subject the contract to **legal examination**.

For tips how to write a consortium agreement, check the following websites. There you will find model contracts for IP, NoE, STREP and CRAFT model contract. There are no templates for SSA and CA projects since these do not usually require a consortium agreement to be signed. You need to adapt it according to the needs of your consortium. For the CEC-WYS project we used the EARTO-UNITE model.
http://www.iserd.org.il/Documents/Model_Consortium_Agreement.htm

*Some examples for Integrated Projects*

- Consortium Agreement EARTO-UNITE IPCA Model
http://www.ipr-helpdesk.org/controlador.jsp?seccion=documentos&cuerpo=seccionador&cod_nodo_padre=t_02.01.05&niveles_profundidad=3&modo=listado&len=en

- ANRT Consortium Agreement Model
http://www.ipr-helpdesk.org/documentos/docsPublicacion/pdf/8_ANRTmodelconsortiumagreementforIP[0000000334_00].pdf

- Consortium Agreement EICTA-TNO Model
http://www.ipr-helpdesk.org/controlador.jsp?seccion=documentos&cuerpo=seccionador&cod_nodo_padre=t_02.01.05&niveles_profundidad=3&modo=listado&len=en

*Some examples for Networks of Excellence*

- Organismes Publics Français de Recherche Consortium Agreement Model
http://www.ipr-helpdesk.org/documentos/docsPublicacion/pdf/8_CA_Organ_Pbc_France_02062003[0000000798_00].pdf

- Consortium Agreement Model UNECA
http://www.ipr-helpdesk.org/documentos/docsPublicacion/pdf/8_unecav4june2003[0000000780_00].pdf

*Some examples for Specific Targeted Research Project-*

- Helmholtz Consortium Agreement Model
http://www.ipr-helpdesk.org/documentos/docsPublicacion/pdf/8_HelmhModelCA_STREP_EN_V3-0[0000002391_00].pdf

*Some examples for CRAFT Projects*

- ANRT Consortium Agreement Model for CRAFT
http://www.ipr-helpdesk.org/documentos/docsPublicacion/pdf/8_CONSORTIUM_CRAFT_09-06-02[0000000794_00].pdf

## Scientific officer

After receiving a positive evaluation of the project proposal, you will be invited into negotiation, at which point you are allocated a Scientific Officer, a member of the unit relevant to your project. The scientific officer is your first point of contact with the Commission, and is responsible to contact you on behalf of the Commission.

Tip

*Responsibilities of the Scientific Officer and involvement in work*

Meet your scientific officer to present the project and to clarify your mutual responsibilities.

The Scientific Officer reviews and approves project deliverables. His or her comments must be sent with 45 days of receiving the deliverable, otherwise it is safe to assume there are no problems with the deliverable.

In terms of obtaining information within the Commission or contacts inside or outside the Commission and publicising the project, the Scientific Officer may offer assistance.

The Scientific Officer should attend the kick-off meeting but it is not expected that they will attend further project management meetings.

The Scientific Officer should instruct you on the frequency and method of reporting (discussed later in this chapter).

So what do Scientific Officers like?

- no problems with the contract
- reports delivered as appropriate
- researchers understanding the system (hierarchy, formality, deadlines, obligations etc.)
- collaboration with researchers, success stories

And what do they not like?

- problems without solutions
- surprises
- not to be informed, especially in case of problems

What do they fear?

- contractual problems
- trespassing of deadlines, delays

What are their limits?

- often overburdened (many projects, evaluation processes, contractual issues, business trips…)

## Coordinator

The co-ordinator is responsible for:

*Overall coordination*

- Technical management
- Overall coordination/progress monitoring of the technical activities of the project
- Overall coordination of the work according to the predefined time-table
- Overall management of resources
- Legal management
- Managing the contract with the EC
- Managing the consortium agreement with all participants
- Financial management
- Distribution of funds to participants in line with contract and consortium agreement

*Overall financial monitoring*

- Coordination of audit certificate
- Gathering, monitoring and integrating financial data from partners, for EC
- Administrative management (reporting to the commission)
- Gathering, monitoring and integration of administrative data from the participants, preparation of annual and final reports to the EC
- Communication
- Communication with the European Commission on behalf of the consortium
- Coordination of organisation of network meetings, WP-leader meetings
- Ensuring proper communication with WP-leaders and extended consortium

## Project manager

Depending on how you choose to divide tasks, and on whether your institution can support you in project management issues, you may want to employ a project manager for some of the following tasks:

- overseeing all parts of the project that are occurring at a given time in the project
- ensuring that each partner is working to the time frame
- obtaining reports from the partners, compiling them and forwarding them to the co-ordinator to send to the Commission
- facilitating good communication within the project by circulating information to all partners
- financial issues (audit certificates, distribution of money)
- legal issues (consortium agreement, contract with the EC)
- facilitating communication between the partners and expert committee

## Project partners

The responsibilities of the project partners will be determined by the measures you include in the consortium agreement (see above). However, the partners are responsible for carrying out work as described in Annex 1 of the contract with the Commission. Partners are responsible for reporting on their work at the agreed-on intervals, attending project management meetings and abiding by communication rules as established in the consortium agreement.

## Work package-leaders

- technical management
- ensuring full coverage of tasks in each individual WP
- close co-operation with the involved task leaders
- assisting partners in performing their respective activities and tasks
- financial management
- keeping track of budget situation of respective Workpackage
- administrative management
- preparation of progress reports for the co-ordinator on a quarterly basis and in between upon request of the co-ordinator
- communication
- ensuring proper communication between the consortium and the co-ordinator Task leaders
- Support of WP-leaders management tasks

Tip

Working together

A way of enabling the co-ordinator and project manager to keep up to date with all project matters is to establish a specific joint email account for all correspondence regarding the project. If you do not have access to a joint account, both co-ordinator and project manager should put each other in copy for all mails.

Tip

The Consortium Agreement should contain provisions regarding non-performing partners and penalties for this.

**Excerpt from the consortium agreement of the Central European Centre for Women and Youth inScience prooject**

### VII.1.3 Indemnification in the event of claims between the Parties, without Commission claims

Upon receipt of advance payments, the Coordinator shall retain 10% of the advance payment as a Common Fund for security reasons and transfer without unjustifiable delays the remaining 90% of the advance payment to the partners based on their share specified in the Contract. The Common Fund shall be released in part or as a whole when the Co-ordinator and the Parties have unanimously decided that there is no further need for precaution with regard to financial risks or when the Commission has accepted all deliverables and costs, whichever is earlier.

Should any party fail to meet a deadline for the delivery of a Project Deliverable to the Co-ordinator as stipulated in Annex 1 to the EU Contract, then

(i) the Co-ordinator along with the other Contractors involved in the relevant workpackage shall define a new deadline for the defaulting Partner. Where the Co-ordinator fails to timely deliver a particular deliverable, such a deadline shall be defined by the other Contractors. Should the defaulting Partner meet this new deadline, no penalty shall be imposed;

(ii) should the defaulting Party fail the 1st deadline determined by the Project the Co-ordinator along with the other Contractors involved in the relevant workpackage, a 2nd deadline shall be determined by the Co-ordinator along with the other Contractors involved in the relevant workpackage and 50% of the retained amount shall be forfeited to the benefit of the Common Fund; such Party shall not receive its concerned contribution allocation until it remedies such non-delivery.

(iii) should the defaulting Party fail the 2nd deadline determined by the Co-ordinator along with the other Contractors involved in the relevant workpackage, a 3rd deadline shall be determined by the Co-ordinator along with the Contractors involved in the relevant workpackage and 100% of the retained amount shall be forfeited to the benefit of the Common Fund. This amount shall be used to ensure the delivery of the deliverables by other Contractors involved in the relevant workpackage.

Upon a successful and timely delivery of a workpackage, the retained amount shall be transferred to the Project Partners without any undue delay, no later than fifteen (15) days.

If provisions (i) and (ii) above apply and the relevant amount is forfeited to the Common Fund, the PMB shall decide on the distribution of the Common Fund no later than the end of the project. The *Common Fund*, if not dissolved sooner pursuant to a *Project Management Board* decision, shall be dissolved on termination or expiry of the *EU Contract*.

## KICK-OFF MEETING

Foundations

The kick-off meeting is vital in setting a good foundation for the project. Three days are necessary to address the following:

- establish a common vision of the project amongst all partners
- clarify the objectives of the project
- develop working partnerships
- clarify the objectives of each work package
- discuss the work of the first few months of the project
- clarify expectation of the Commission from partners regarding reporting, recording work etc

**common vision**
This is the time for the co-ordinator to explain clearly and in detail her vision of the project, and to explain the whole project to the partners who may have only looked at their own work contributions.
The project partners should introduce the work package they are responsible for. They should also describe their vision for the project in terms of the impact they hope to see at national and international level. This provides an opportunity to work out any misunderstandings before work begins.

**clarifying project objectives**
This is the opportunity to draw partners' attention to the abstract and concrete objectives of the project. Until this time, partners may have very different expectations of the project and what it aims to achieve.

**developing working partnerships**
It is not always easy to work at long distance with people who are strangers. The kick-off meeting is an important opportunity for partners to meet face-to-face, get to know each other and discuss the work that they must manage together across different countries.

**consortium building**
Please see next section (page 144)

Tip

Informal knowledge-sharing is difficult when working at a distance. Build plenty of time into the kick-off and subsequent meetings for breaks and opportunities for people to share knowledge and ideas. Informal time at meetings is important and productive also for the co-ordinator to discuss issues with partners who might be uncomfortable raising issues in a formal meeting.

Tip

To ensure everyone has the same level of information, it is useful for the co-ordinator to set the project in context and describe the background of the project, development of the philosophy behind the project and development of the consortium. The project can then be presented to the consortium.

It is not safe to make any assumptions about how much or how little each partner knows about the project. The kick-off meeting will be the first time many partners will hear about many of the activities of the project. For this reason, it might be wise to spend the first day of the meeting on introducing the project and the project partners.

**Logistics**
The kick-off meeting should be a high-profile event! Calculate for this in your budget by making an allowance to take the consortium out for at least one celebratory evening meal. Invite the relevant people at your national level to greet and welcome the consortium.

**agenda**
Prepare the agenda well in advance to allow for comments and accommodation of new ideas. When finalised, send notes to the agenda a reasonable time in advance of the meeting. It is useful to have hard copies of notes to each presentation for each partner in CD form for partners to take away (if not sent in advance) Also available in both hard copy and CD form at the meeting should be:

- a brief introduction to the project
- a full description of the project (Annex 1)
- the consortium agreement
- the contract with the Commission
- the project handbook (Annex viii)
- a detailed project timeline

Tip
If necessary and logistically possible, extra work package meetings can be organised as sub-meetings at the kick-off. Work package meetings are more intimate and help to solidify working relationships amongst partners.

## Building the consortium

The co-ordinator and project manager need to be clear in their minds about what to ask from each partner, and partners must be clear about what is expected from them by the coordinator, project manager and other project partners. This will help each consortium member to feel confident about their position in the project.

Do not assume that partners will work together without tensions or conflict. Conflict can be a healthy and motivating element which helps stimulate new ideas, as long as it remains at low level. Partners might be drawn from a wide geo-political area with little or no previous contact and the possibility to meet each other only every few months. With this in mind, the kick-off meeting is a good opportunity to engage in team-building activities to encourage partners bonding between partners, shared loyalties and shared objectives. Before even discussing the project, organise a social event, preferably a dinner the night before the first day of the meeting to enable partners get to know each other.

Tip
Write together a mission statement – write individually, display, develop
Write the main objectives and hoped-for outcomes of the project

Tip
It is useful to make time during the kick-off meeting for comprehensive discussion of the following:

**individual positions**

In order to gain an understanding of the motivations and interests of project partners, each partner should present their position in terms of

- how they became interested in the project,
- what it means to them to be involved,
- what they will contribute,
- what they will take away.

**mutual obligations**

To help all partners find their place and feel comfortable in the consortium, expectations and responsibilities must be clearly stated in terms of a clear procedure for communication and feedback.

**clarification of responsibilities**

To avoid conflicts and breakdown of relationships later in the project, and to help partners feel secure and confident in their role in the project, all responsibilities should be clarified as far in advance as practical (when preparing the Consortium Agreement during the negotiation phase). Major responsibilities must be defined at the time of writing the project.

**strengths and weaknesses**

Make it clear that it is acceptable that partners may have different working styles, different strengths and weaknesses, and that these must be valued by consortium members. A presentation of each partner's strengths and contribution will help to identify why they are in the consortium and the value of their contribution. This can help to develop a culture of mutual respect and avoid hostility in the consortium.

# Managing the project collaboration

Management of the project collaboration is instrumental for the success of a project. Honest and open communication between partners, including feedback and critical discussions of project progress are vital if the project is to be of good quality and have a lasting impact. In this section we address issues of communication, meetings, and streamlining the work of a consortium by providing guidance and rules in a project handbook (see Annex viii).

For elementary guidance please consult Cordis at:
http://www.cordis.lu/fp6/stepbystep/project.htm

Tips

- You must ensure a clear definition of the work plan with clear deliverables (Annex 1, Project Handbook)
- You must ensure clear definition of roles and functions in the project (Consortium Agreement, Project Handbook)
    - who/what/how/when/where
- Set up a management structure adequate for the size of the project (lean and powerful)
  Obviously, the management structure in SSAs is very different from IPs. You should present it already in the proposal; a detailed version with division of responsibilities is stipulated in the Consortium Agreement.
- Define efficient communication structures (see below communication section)
- Define clear decision-making procedures (draft in proposal, definite procedures defined in the Consortium Agreement)
- Delegate responsibility
    - where possible and appropriate, delegate responsibility with agreement of the consortium members. This will serve to motivate partners to take responsibility for the project
- Roles not people
    - ensure that each role has responsibilities specified to avoid inclarity or tension (see the communication section below)
- Deadline management
    - agree deadlines and response times as a consortium to avoid conflict
    - agree a strategy on how to cope with defaulting partners, such as agreeing further deadlines and financial penalties if the deadline is not met. This should be agreed by the consortium and included in the consortium agreement

## COMMUNICATION

When you deal with a group of people, you will inevitably have to deal with inter-personal relationships. People have to be aware that people come from different cultures, talk differently, express themselves physically in different ways.

You also have to pay attention to holidays, vacation dates and different working cultures.

Tip
Certain topics are inappropriate and can cause hot blood. Such topics are politics and religion.

You also have to pay attention to what language you will use in the consortium. Is **English** a common language in the consortium. Partners need to be tolerant and ask for clarification and support in case they do not understand. Create an environment where people will feel comfortable expressing themselves in a foreign language. Assess the level of English in the consortium and set the discussion level accordingly. People who are ashamed to talk because the consortium makes them feel their English is not good enough may then withdraw and you can lose invaluable comments and insights.

**Negative feelings** among the consortium can be due to issues of finance, different expectations, different working or communication styles, division of tasks and responsibilities or personal behaviour. Many of these issues can be minimised by continuous circulation, clarification and feedback of information before and during the project and by transparent communication and clear management from the outset.

Here are some basics to be aware of:

- Be sure of your objectives and communicate these plainly
- Never assume that someone knows what you are talking about - explain yourself first
- Double check your instructions and request for inclarities and errors
- Put a system in place so you can keep track of who has responded to what information (you can simply use tables, for example)
- Remember that silence does not mean agreement
- Follow things up - check that partners have received and understood information

**types of communication**

- Project Management Meetings, emails (be sure you include everyone in your mails by establishing an address which goes to all the partners: all@….org), conference calls, email chats, fax, text messages
- Establish with each partner what their working pattern is
- Do your partners access email every day?
- Should you send a text message to notify them that an urgent matter has been addressed by mail?
- Should you fax your partners instead of emailing?

**open and regular circulation of communication**

- copy mails to all relevant partners to keep them informed of developments
- send summaries and updates to partners who are not continuously involved
- ask for feedback
- document warehouse or a similar feature – have a file on the project website administration system, accessible to all partners for storing all documents concerning the project.

**decision-making closed or open**

Involving the consortium in decisions to be taken can have the effect of enabling the consortium to be creative, to take ownership and responsibility for the project. It can also have the effect of slowing down decision-making and work because some partners may not be motivated to engage in this way, but prefer to concentrate on the minimum required. (see more in the Project management section)

Tip

Feedback

Preferences may be sought via a feedback questionnaire. Based on the feedback, the coordination style might need adjustment. Questions might address issues such as decision-making, clarity of communication, style of management, pace of work and timing of communication, and efficiency of communication / management.

Tip

“Code of communication conduct”

There are various measures by which the co-ordinator and project manager can keep track of the project and know that none of the consortium partners have fallen out of communication range. Communication rules regarding email can be one source. For example, if an email is marked as “urgent” (given High Priority), then a reply is required within 48 hours of receipt. A read receipt service serves as a way of monitoring who is in communication.

Excerpt on communication rules from the CEC-WYS Consortium Agreement

**III.4.3 Responsibilities towards Each Other**

III.4.3.1 Each **Party** undertakes to use reasonable endeavours:

(a) to notify each of the **Parties** in the **Project** promptly of any significant delay in performance; and

(b) to inform other **Parties** in the **Project** of relevant communications it receives from third parties in relation to the **Project.**

III.4.3.2 Each **Party** shall set up an auto-responder service for their mailbox. If this service is not available, the **Party** should email all the **Parties** in advance to notify them of the period of absence. If the **Party** has an unforeseen absence, they should authorise another individual to enter their mailbox and notify all **Parties** of their absence from work and indicate for how long the **Party** is likely to be absent. Furthermore, each party shall activate receive receipt to acknowledge the receipt of all mail communication. Urgent email messages shall be sent with high priority and shall bear the exclamation mark (!) and state "URGENT" in the subject of the message; project parties shall be obliged to respond to such urgent e-mails within 48 (forty-eight) hours. If a **Party** is unable to deliver a full answer to such an urgent email, they shall acknowledge receipt of the communication and shall indicate when they will deliver a full answer.

Potential problems and how to avoid them

**Power struggles**

A struggle for power within the group might be avoidable if you take a very even-handed approach to all consortium members from the outset.

- ensure transparent communication
- ensure equal access to information
- avoid displaying any preference to certain personalities or values that are not integral to the project
- emphasise the importance of all partners contributions
- do not allow strong personalities to dominate discussions

**Personality conflicts**

Agree on roles and division of responsibilities with the consortium. A firmly structured management plan with clear responsibilities should ensure that the role and responsibilities remain clear regardless of the personality who fulfils them. If personalities are left to create their own role, there is a much greater chance that this will cause conflict. This does not mean there is no room for personal input and ideas, but it ensures that responsibilities are not neglected.

- ensure that roles and responsibilities are absolutely clear

**Non-communication**

Working at a geographical distance can be difficult if partners simply stop communicating. However, everyone takes holidays and is off work for personal or health reasons. To avoid unnecessary concern:

- ask people for advance warning if they have a planned absence of more than one week
- request that an auto-responder be put in place with information about return date

If partners do not respect communication rules required by the consortium agreement

- ensure you have a contact to the person supervising your partners' work in case you need alternative contact point
- remind the defaulting partner that they have entered into an agreement to abide by certain communication rules

If the problem becomes very difficult, and you have checked that there is no communication fault and that nothing has happened to the defaulting partner which might prevent their communication

- remind the partner that their position in the consortium depends on respecting the consortium agreement they signed

Conflict management

Conflict is expected in any group. It is a sign of a healthy group dynamic where people feel confident to speak. At a low level it can serve to stimulate discussion and new ideas or valuable perspectives. If you sense conflict, this should be addressed as soon as appropriate, and not ignored. Conflict is problematic when it is about personal issues or if it concerns issues not relevant to the project, or when it is at a destructive level.

Tip

When managing conflict bear in mind these tips

- do not let discussions stray from the point
- if people are angry, leave the issues aside by turning to another point until people have calmed down
- give space to both parties to explain what their concerns are to establish the source of the conflict
- identify the problem as clearly as possible
- establish whether the issue is within or beyond the sphere of influence of the consortium
- frame the discussion in terms of the ideas raised, not in terms of the people involved
- reinforce the idea that you expect discussions to remain on the level of ideas rather than personal criticisms
- reinforce the idea of working with a common purpose to achieve a common objective
- if the consortium is exhausted by discussing a problem, partners will not have enough energy for thinking of a solution. Leave, then come back to it after everyone has digested the discussion and had a break.
- ask other partners for ideas about next steps (not personal comments or comments on the conflict so far) to move forward as a group and emphasise that the concern should be solved by the group, and not remain a conflict between individuals
- appoint a facilitator if necessary
- according to the situation, decide whether a problem should be discussed in the open in front of a whole consortium or in private just between the conflicting parties

If the conflict is between you the coordinating party and a partner

- check and double check your agreements and contract for inclarities

**feedback**

It is possible to discover problematic issues before they disrupt the work of the project. One way of managing this as a structured process is to collect feedback from the consortium members regarding:

- satisfaction with the management of the project
- problems concerning working relationships
- concerns about consortium dynamic
- concerns about meeting objectives and fulfilling responsibilities

This can be managed as an informal conversation or in writing. If done by questionnaire this feedback can be obtained anonymously if appropriate and with the name when relevant. The co-ordinator and project manager can then work with partners to bring about positive changes and clarify issues in a discrete and non-confrontational manner

Tip

Conflict management should be included in section B5 Management of the proposal to show the Commission and evaluators that you are aware such problems may arise and that you have the expertise and experience to deal with these issues. You should also a describe a conflict resolution procedure in your proposal.

## PROJECT MANAGEMENT MEETINGS

Management meetings are crucial. It is the time when the consortium meets and one of the few chances in an international project to see each other face to face. As such they may serve as a wonderful possibility to address any impeding issues, including conflict resolution. It is also the place to clarify any ambiguities concerning the progress and future of a project. Therefore, as a coordinator, pay special attention to project meeting and do not leave this to the last moment. Project partners need to know what is on the agenda and what they are responsible for preparing for the meeting.

Tip

To give the consortium a better chance to get to know each other, circulate the locations of the meetings. This will be a good opportunity for each project partner to show how they work in their home settings and also to prove their organisational skills. It is a way to show off in a good way.

Tip

Plan to hold the second project management meeting a two to three months after the kick-off to complete any unfinished business from the kick-off and to build on the foundations of the kick-off. Partners will need to plan accordingly so do not leave this until the kick-off meeting to decide.

Tip

Project management meetings should be held every 6 months. Organise the date of the next meeting at the previous meeting while all the partners are together. This is much easier and saves time.

Tip

Try to organise meetings at the same time as conferences or workshops organised by the project. This will save money.

Project management meetings should include the following

- a social event
- coordinator's summary of the last 6 months
- partners' presentation of work in progress
- partners' presentation of work for the next 6 months
- work package meetings if there are particular issues that need to be resolved
- upcoming management issues, such as reporting to the Commission, project review, audits etc.

Tip

You should find out before the kick-off meeting how experienced your partners are in terms of being involved in the Framework Programme. Appropriate guidance can then be given at the kick-off meeting. Experienced partners can serve as a great source to discuss management issues with and to test your ideas against. Inexperienced partners will, on the other hand, need more guidance on managing the project in terms of completing required forms, costs statements, audit certificates etc. You need to be prepared for different levels of experience in the project and react accordingly to provide information and guidance to less experienced partners.

Tip

To avoid boredom of experienced project partners, you can try involving them in the management meeting by giving them space to present their expertise to the consortium. In this way you ensure two-way communication and give partners chance to communicate their specific types of expertise with each other.

Agendas and meeting goals

Preparation is very important in organising a meeting. The agenda should be prepared, commented on and finalised well in advance in order to give partners more than enough preparation time.

The agenda should be prepared in consultation with partners. This provides a voice to the consortium and motivation to prepare for the meeting.

The agenda should clearly state the goals of the meeting. If the consortium will take milestone decisions at the meeting, this should be clearly stated, and background material and notes to the minutes should be provided.

Ensure that the meeting has a variety of communication styles. Social events such as dinners and non-working lunches are a tool for facilitating informal communications and networking.
Working in small groups at work package meetings will help partners to focus on working closely together.

Following up on a meeting is important. If there were unresolved issues, these must be followed up directly afterward. Minutes must be sent to all partners. If partners do not comment on the minutes of the meeting within 15 days of receiving them, no comment will be taken as consensus. Decisions taken must be acted on and the result reported to the consortium.

## PROJECT HANDBOOK

A project handbook is a very useful tool to set additional streamlining rules in the consortium that will make your life as a co-ordinator much easier. Take care to prepare a handbook manual timely so that all partners know what is expected of them when and are prepared for the first interim report to the Commission after six months of the project. To see an example of a project handbook, see Annex viii.

Tip

Ideally, you should have a draft project handbook ready for kick-off for discussion.

Specifically, the project handbook should contain information such as:

- partner list with contact details
- definition of quality procedures
- responsibilities
- project plan and objectives
- deputy and replacement rules
- cost plans
- milestone plans
- information flows
- publication, dissemination and project presentation rules
- rules for increasing the consortium
- management reporting
- financial reporting
- Intellectual Property Rights (IPR) if applicable
- the Consortium Agreement
- the EU contract

**Streamlining communication and document exchange:**

The handbook should also address the following:

- emailing rules
- communication rules
- definition of software used (type and version)
- templates for reports
- press release templates
- glossary of specific terms

## REPORTING TO THE COMMISSION

Reporting guidelines are available at http://www.cordis.lu/fp6/find-doc.htm#reporting.

Tip

- The reporting rules and frequencies are defined in the EC contract.
- The frequency of submitting an audit certificate is defined in the EC contract
- Reports MUST be delivered to the Commission within **45 days** after the end of the reporting period

## Reports to be submitted to the EC

a. a periodic activity report detailing work activities (work in progress in relation to project objectives).
b. a periodic management report detailing person months and costs per contractor usually every 12 months
c. cost statements (C form)
d. a report on the distribution of the Community contribution between contractors usually every 12 months
e. supplementary reports required by any Annex to the contract if necessary (specified in the contract)
f. audit certificates for each contractor, as required by the contract (either one audit certificate at the end of a project or an audit certificate every reporting period).

At the end of the project, you will need to submit the following, unless defined otherwise by new rules:

a. a final activity report
b. a final management report (an example template of one part of the report is on page 167)
c. a report on the distribution of the Community financial contribution between contractors
d. supplementary reports required by any Annex of the contract
e. audit

Your scientific officer might provide you with a template to follow when reporting work, such as the example on page 168. For more detailed information, please refer to the CEC-WYS report template in Annex iv.

Tip

Whatever structure you decide on, check it with your Scientific Officer!

What should be included in a report:

- technical achievement (by WP or partner)
- issues and actions
- "red flags" and recommended actions
- meetings
- changes in deliverables
- effort per partner – estimated versus budget

List activities following the structure of Annex 1 to the EC contract (work packages and milestones), detailing what has been done point by point. If the work has not gone according to plan (a realistic assumption), you must explain what actions will be taken to remedy the situation. Always show that you have a contingency plan to ensure you get work back on track. If it seems that the work plan might change significantly, you must discuss this with your scientific officer.

Tip

Keep records on media and publicity, dissemination of information material, presentation of the project at conferences and participation in training events.

Tip

If you are required to send reports at 6 monthly intervals but would like to collect reports from partners in between these times, ask partners to use the same templates to write about their progress of work. You can then compile these reports easily for the interim reports to the Commission.

# Financial planning and financial monitoring

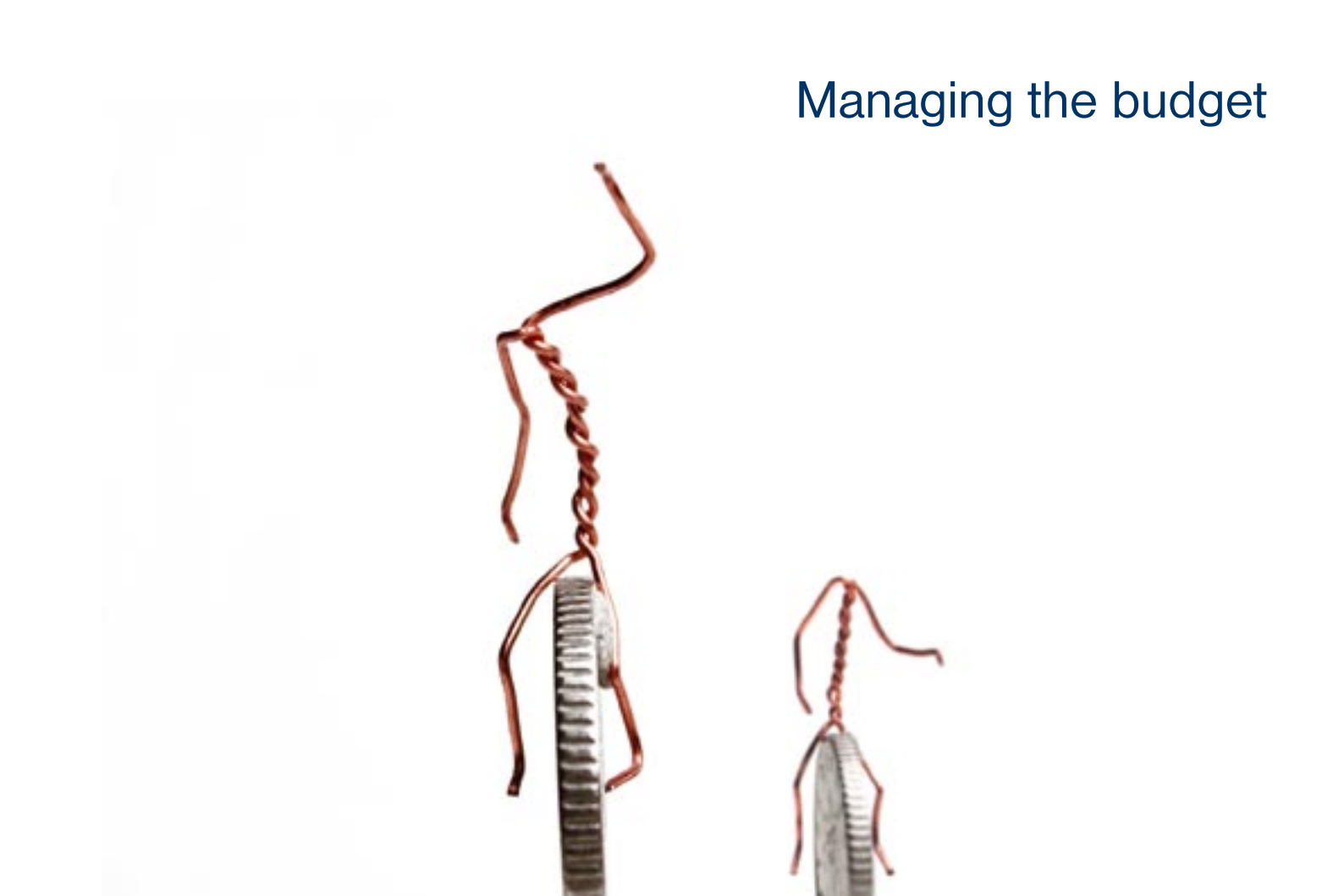
| Cost Budget Follow-up Table | | | | | *) total budget figures - not EC funding | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Contract N°: | SAS6-CT-2004-003582 | Acronym: CEC-WYS | | | | | Date: March 1st 2005 | | | | | |
| PARTI-CIPANTS | TYPE of EXPENDITURE (as defined by participants) | BUDGET | ACTUAL COSTS (EUR) | | | | | Pct. spent | | | | Remaining Budget (EUR) |
| | | | Period 1 | Period 2 | Period 3 | Period 4 | Total | Year 1 | Year 2 | Year 3 | Total | |
| | | e | a1 | b1 | c1 | d1 | e1 | a1/e | a1+b1/e | a1+b1+c1/e | a1+b1+c1+d1/e | e-e1 |
| Part.1 NKC | Total Person-month | 0 | 0 | | | | 0 | 0% | 0% | 0% | 0% | 0 |
| | Personnel costs | 0 | 0 | | | | 0 | 0% | 0% | 0% | 0% | 0 |
| | Equipment/consumables | 0 | 0 | | | | 0 | 0% | 0% | 0% | 0% | 0 |
| | Travel & subsistance | 0 | 0 | | | | 0 | | | | 0% | 0 |
| | Subcontracting | | | | | | 0 | 0% | 0% | 0% | 0% | 0 |
| | Indirect costs | 0 | 0 | | | | 0 | | | | 0% | 0 |
| | Management Costs | 0 | 0 | | | | 0 | | | | 0% | 0 |
| | Other costs ('the rest') | 0 | 0 | | | | 0 | 0% | 0% | 0% | 0% | 0 |
| | Total Costs | 0 | 0 | 0 | 0 | 0 | 0 | 0% | 0% | 0% | 0% | 0 |
| Part. 2 HSTF | Total Person-month | | | | | | 0 | 0% | 0% | 0% | 0% | 0 |
| | Personnel costs | | | | | | 0 | 0% | 0% | 0% | 0% | 0 |
| | Major cost item 'x' | | | | | | 0 | 0% | 0% | 0% | 0% | 0 |
| | Major cost item 'y' | | | | | | 0 | 0% | 0% | 0% | 0% | 0 |
| | Other costs ('the rest') | | | | | | 0 | 0% | 0% | 0% | 0% | 0 |
| | Total Costs | 0 | 0 | 0 | 0 | 0 | 0 | 0% | 0% | 0% | 0% | 0 |
| Part. 3 JSI | Total Person-month | | | | | | 0 | 0% | 0% | 0% | 0% | 0 |
| | Personnel costs | | | | | | 0 | 0% | 0% | 0% | 0% | 0 |
| | Major cost item 'x' | | | | | | 0 | 0% | 0% | 0% | 0% | 0 |
| | Major cost item 'y' | | | | | | 0 | 0% | 0% | 0% | 0% | 0 |
| | Other costs ('the rest') | | | | | | 0 | 0% | 0% | 0% | 0% | 0 |
| | Total Costs | 0 | 0 | 0 | 0 | 0 | 0 | 0% | 0% | 0% | 0% | 0 |
| TOTAL | Total Person-month | | | | | | 0 | 0% | 0% | 0% | 0% | 0 |
| | Personnel costs | | | | | | 0 | 0% | 0% | 0% | 0% | 0 |
| | Major cost item 'x' | | | | | | 0 | 0% | 0% | 0% | 0% | 0 |
| | Major cost item 'y' | | | | | | 0 | 0% | 0% | 0% | 0% | 0 |
| | Other costs ('the rest') | | | | | | 0 | 0% | 0% | 0% | 0% | 0 |
| | Total Costs | 0 | 0 | 0 | 0 | 0 | 0 | 0% | 0% | 0% | 0% | 0 |

## Technical planning – WP description

This is one way to present information about work progress in the project for the reports to the Commission

| WORK PACKAGE DESCRIPTION | | |
|---|---|---|
| Workpackage title: | | WP No. |
| Starting date: month No. | Duration: months | Total effort (person days): |
| Partner involved | Task description/contribution of partner | Effort (person days): |
| Objectives:<br><br>Description of work/tasks:<br><br>Deliverables:<br><br>Milestones and criteria:<br><br>Interrelation with other workpackages: | | |

# Managing the budget



## FLEXIBLE BUDGETS

FP6 was adopted in 2002 with a precise objective: contributing to the realisation of a European Research Area (ERA). All efforts aim at bringing together critical mass (a mass that will ensure successful implementation of a project and the planned impact) in terms of scientific knowledge, research capacities, funds, human resources and ambitious targets.

The instruments provided to realise this objective reflect the philosophy underlying FP6: Integrated Projects and Networks of Excellence were conceived with the ERA as the specific goal. But the EC offered the participants also "smaller" instruments deriving from FP5 heritage: STREPs, CAs and SSAs. However the general regulation, contractual and administrative, covers all FP6 instruments: this means that everyone has to face approximately the same complexities, phases and rules that apply to IPs and NoE.
One of the main novelties that characterized FP6 was FLEXIBILITY! Flexibility in terms of managing the budget, increasing or decreasing the members of the consortium, setting up internal rules…

The principle of flexibility was actually adopted, but this came back as an unwelcome boomerang for most of participants!

What happens when you manage a flexible budget?

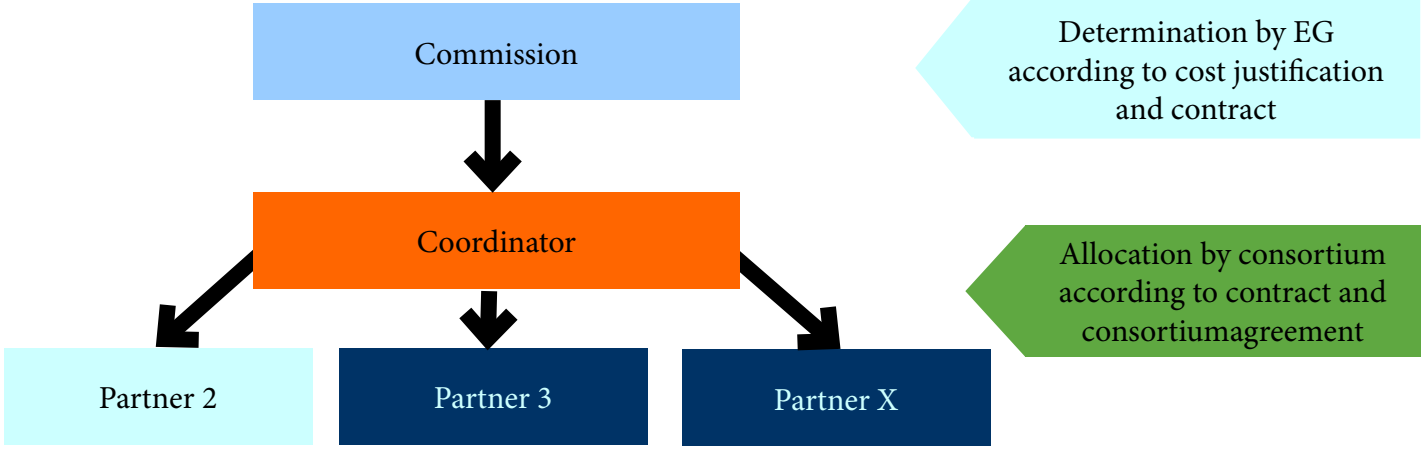
- In the proposal phase the forms contained in the guide for proposers – part A – seems quite simple. You have to fill in form A3 with the budget information divided per partner and per kind of activity. Of course you also have to take the cost model into consideration in order to assess the requested grant to the EC, but you can complete the form quite easily. This can be considered as flexibility: no detailed information, no cost categories foreseen…
  BUT in part B of the proposal you are requested to describe the "project resources". Project resources have to be split in WPs, tasks if possible, and cost categories (personnel, travel, equipment, subcontracting, overheads…) for every partner.

Tip

You will have to report the use of person months according to each deliverable of the project, not just according to work package. At the beginning of the project, it might be useful to create a table with information about how much time each partner should be spending on each deliverable. That should avoid last minute complications when reporting time comes

- The EC contract does not contain a detailed budget table with the breakdown of costs, apart from the tables you may have added in the Description of Work – Annex 1 to the contract. Art. 5 of the contract "community financial contribution" only refers to the contribution granted by the EC to the project as a whole.

## PAYMENT SCHEME



- The EC transfer the payments only to the co-ordinator who is in charge of distribution of the funds among partners (see the Consortium Agreement)

- The **initial pre-financing** (Reporting Period 1) covers the advance for first 12 months + 6 months of next period. The pre-financing is made by the Commission to the Co-ordinator within 45 days of the date of entry into force of contract and is distributed by the Co-ordinator to the other contractors not before the minimum number of contractors required have acceded to the contract (*3 independent legal entities from 3 different Member States or Associated States, of which at least 2 shall be Member States or Associated Candidate Countries*)

- **Other periodic payments** (based on consumption of pre-financing) are made by the Commission to the Co-ordinator within 45 days following approval of the reports relating to the period. The new pre-financing (Reporting Period 2) covers the advance for the 12 months period of that year and 6 months of next reporting period (generally reporting periods correspond to one calendar year but it is not necessarily so. For the sake of simplicity, we are assuming that the reporting period is one year, but check in case it might be shorter!

- Any **unspent money** from the first advance payment will be taken into account as a part of the new pre-financing.

## REALLOCATION OF TASKS AND FUNDS

**Under FP6 contracts partners are free to re-distribute the budget and activities between themselves, without any formal contract amendment or EC prior agreement.**

Indeed justifications have to be provided *a posteriori* in the periodic management report, however, if the EC find that the changes are not justified, the relevant costs will not be reimbursed.
As far as substantial changes in the definition of the work are concerned, they must be approved by EC and needs contract amendment

## TIMESHEETS

Timesheets are a useful instrument to keep a record of the labour effort engaged by each partner on the project.
Indeed you are requested to account not only the financial expenses incurred, but also the manpower: in the management report you have to claim both costs and person/month costs.

Tips

- Prepare a timesheet form that you find suitable with reference to the project, for each person working on the project and to the hours devoted per week, month, year.
- There is no standard for the timesheet, so feel free to invent your own form.
- The timesheet should be signed by the person concerned and countersigned by the project officer of your organization.
- It often happens that an organisation is taking part in different projects, in this case you can choose whether you prefer to have a timesheet per project (listing all people involved) or a timesheet per person (listing all the projects he/she is working on).
- Timesheets should be used also in specific case for equipments to keep a record the use of machines per project.
- When using common equipment (e.g. a particular machinery of a University used by several departments) you should be able to identify the time you used it for the project.

Tip

Examples of timesheet:

**1.** per person working on different projects, take into consideration that you cannot charge more than 8 hours/day and more than 20 days/month.

**CEC-WYS**
**Name:**
**Month:**
**No. of hours worked:**

| Date | Hours Worked | Tasks |
|---|---|---|
| 1 | | |
| 2 | | |
| 3 | | |
| 4 | | |
| 5 | | |
| ... | | |

Signed:
Counter signed by grant holder:
Date:

**2.** different people working on the same project:

**CEC-WYS project:**
**Month:**

| Staff | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | … | 31 | TOTAL |
|---|---|---|---|---|---|---|---|---|---|---|---|
| …… | | | | | | | | | | | |
| …… | | | | | | | | | | | |
| …… | | | | | | | | | | | |
| …… | | | | | | | | | | | |
| Tot. hours | | | | | | | | | | | |

Signed:
Counter signed by grant holder:
Date:

## FINAL AUDIT

Audit certificates are regulated by art. 26 of Annex II to the contract where it is stated that for each reporting period (established in art. 6 of the model contract) for which an audit certificate is required each contractor shall provide an audit certificate prepared by an external auditor (please see page 179 to clarify who can audit your project), certifying that the costs incurred during that period meet the conditions required by the contract.

Tip

**Public bodies** may opt for a public authorised officer; this means that they have the choice between an external auditor or a public authorised officer. A preliminary condition should be that the public competent officer selected has not been involved in any way in the processing of the financial statement (form C).

**What is an audit certificate?**

The audit certificates are certifications of the costs claimed under the project and NOT THE EC AUDIT. It is a document provided by an auditor certifying that the costs claimed during a specific period meet the contractual requirements established by the FP6 contract. Each contractor continues to remain responsible to the EC for the costs it has claimed even after payment by the EC and even after submission of an audit certificate.

Even though an audit certificate is not provided, a financial statement (FORM C) approved by the EC must be prepare for each reporting period. In this case any subsequent payment after the initial pre-financing will be

considered to be a further pre-financing unless an audit certificate is provided for that period.

**Who is the auditor?**

Check that your auditor is eligible to deliver audit certificates. Art. 26 of Annex II to the contract states that "2. *Each contractor is free to choose any qualified external auditor, including its usual external auditor, provided that it meets the cumulative following professional requirements:*
*a) the external auditor must be independent from the contractor;*
*b) the external auditor must be qualified to carry out statutory audits of accounting documents in accordance with the 8th Council directive 84/253/EEC of 10 April 1984 or similar national regulations."*

The auditor must be an **external auditor independent from the contractor**. Independence is usually defined as independence from the audited contractor "in fact and/or in appearance" this means that the auditor's work is carried out without direction or interference of any kind from the contractor concerned.

Tips

- Check the national law to be sure that the auditor you have appointed is qualified to carry out statutory audits of accounting documents.
- A list of independent auditors and information about audits in Member States and Candidate Countries can be found at: www.fee.be/members/countries.htm
- Public body is defined as “a public sector body, or a legal entity governed by private law with a public-service mission providing adequate financial guarantees” (art. 1 paragraph 21 of Annex II to the contract)
- Costs for the audit certification have to be claimed under the management type of activity, in case of an external auditor this cost goes to subcontracting.

**When do you have to provide an audit certificate?**
Audit certificates can be requested for any appropriate period depending on the duration of the project, its nature and the estimated budget. They can be submitted at the end of each reporting period or at the end of the project.

At the end of each reporting period each partner must provide a Periodic activity report on progress of work, a periodic management report with justification of resources deployed and the form C and, if planned, also an audit certificate form verifying the eligible costs claimed. All these reports and forms will be collected by the co-ordinator and sent to the EC for its approval.
At the end of the project each partner must provide a final activity report covering all the work, objectives, results and conclusions, a final management report covering the full duration of the project AND an audit certificate form verifying the eligible costs claimed. All these reports and forms will be collected by the co-ordinator and sent to the EC for its approval.

Tip
You can be requested by the EC to provide one audit per reporting period or just one final audit at the end of the project.

**What do you have to do to be ready for a financial audit?**

Be prepared!

The best thing to do in order to be ready for the financial audit is to keep a continuous monitoring of the project, both in terms of activities performed and of expenses.

Usually project participants supply interim reports with an overview of the contribution to the activities. Very often these reports do not show any financial information, so the accounting procedure is postponed at the end of the reporting period/project.

Tips

- Be aware of the rules and the financial regulation governing the participation in FP6 and assess to what extent your organisation can meet the FP6 requirements.
- Prepare a set of internal rules targeted on FP projects: flexibility means that you must have regular internal procedures.
- It would be very useful to have the audit attended by both the project officer and the administrative officer of your organisation.
- Prepare all the supporting documentation: pay rolls, invoices, train tickets, boarding cards, timesheets…

# Creating and maintaining a project Website

## PROJECT WEBSITE

The European Commission likes projects to have a website to provide information about the project activities outside the project and as a way to assist communication within the project. That means that a website has an external interface and an internal interface protected by username and password. On the external interface the project provides all types of information about the progress of the project, results etc. The internal interface serves for partners to have an easy document storage system and an exchange platform (a notice board) where they can notify each other of important news and events or where the co-ordinator may post important information regarding the management of the project (such as agendas of project management board meetings, documents, practical information related to travel within the consortium, etc.).

A website is an excellent opportunity to reach out to your target audience and build a cross-border community. It is important to invest time and thought to make your website very user friendly, attractive and rewarding to visit. A dynamic homepage with regularly updated news can help to increase the appeal of your website. An interesting website could include the following features:

- information about your project
- project activities
- news
- a database of members of your target group, for instance women scientists in a particular region
- a place to disseminate information on relevant legislation
- a place for discussion and exchange of experience and opinion
- a place to disseminate information about relevant opportunities and events

**Use of institution website versus building a project website**

If it is possible to create your page on your institution's site, this will reduce the need for subcontracting the work and paying domain fees. However, the existing site might not support certain features such as a searchable database or discussion forum. Sometimes the IT support in the institution may be able to build a separate site section for you project. Having a webpage on an institutional website may be limiting in terms of updating your website yourself.

**Sub-contracting**

- tender template

Send the tender to companies with whom you have experience or a recommendation if possible. Ask if the company would be interested in your proposal. If so, send the tender (see annex v). However, you should check with the EC whether it is necessary to have a tender (there are amount limits that require having a public European tender). If this is not necessary because the subcontracting cost is not very large, find tenderers in your country with whom you have good experience or who have very good references.

- consultation

If you do not have extensive experience with website design and programming, consult an independent technical advisor who can contribute to the creation of the tender document and evaluate the quality of the submissions (see annex vi).

- evaluation and selection

Include the breakdown of evaluation in the tender document. You should take into consideration style, technical quality, price, and ability to provide back-up and support services. These should be broken down with percentages. This will make evaluation, selection and feedback to the potential contractors as fair and clear as possible.

- payments

Your contract with the Commission will provide the possibility for having a budget for subcontracting.

**Graphic style**

Having graphic style of your website is crucial if the website is to attract attention. You need to think of your target audience you want to hit. Developing the graphic style takes time. First you should get a logo developed. This demands strong, open and direct communication with the graphic designer/graphic design studio. Once you have the logo and a graphic style manual (which tells you how you can use your logo and develops the overall look of project documents), you can proceed to have the website design developed based on the logo and the graphic style manual.

**Building a website**

A website should be as easy as possible to navigate. Think of websites you particularly like or dislike and use this experience when developing your site. Bear in mind the following:

- Minimise the number of clicks needed to reach a section or documents.
- Minimise the number of levels of the site. It is confusing to pass through more than four levels.
- Documents should open into a new window

Think about your target group when you work with the graphic designer to develop the visual style. There are many "looks" and you need to decide what your target group is most likely to respond to.

**Software**
Ensure your firewall does not prohibit you from using your administration system!

**Website administration**
If you sub-contract to a company, ensure that the development of a user manual is included in the price. If several partners will have access rights to the administration of the system, set aside a time for training on using the administration system (content management system) and using the manual.

## DATABASE

If you wish to have a searchable database as one of your project work packages, here are some of the issues that you should take into consideration.

### Personal data protection

You have to address the issue of personal data protection already in the proposal stage since it is an ethnical issue and should be addressed in section B7 Other issues of the proposal. For addressing this issue in the proposal, see Annex vii.

For the website, you will need to take care of personal data protection as well. You need to show the database users that you are aware of the ethical issues pertaining to personal data protection and that you have taken precautions against abuse of personal data. Furthermore, you need to alert the national Personal Data Protection Office and register your organisation if you want to collect personal data. You need to do this before a launch of the website. You will find further information how it was done for the CEC-WYS project in Annex vii.

### Parameters

What fields will you have? Which fields will be searchable? Will you be able to combine search fields to narrow the search? For example instead of finding physicists from all of Central Europe, on the CEC-WYS database you can search for physicists in Hungary who have the title Professor and work in a university.

**Anonymity**
Will people have the option of remaining anonymous? We asked other database providers about their thoughts on the issue. It is worth taking into account that in our experience, some scientists feel that there is a risk of experiencing backlash from colleagues, supervisors or department heads if they are found to be on a women-only database.

**Keywords**
When a person registers their details in the database, you can give them the option of entering keywords. You can set up a function by which the keywords are automatically compiled and anyone searching the database can click to a new window to view all the keywords in alphabetical order.

Please see CEC-WYS database:
http://www.cec-wys.org/html/index.php?s1=1&s2=7&s3=2&lng=13&PHPSESSID=fca136fa688ec45a126516ad7911c29c

**Calls for registration**

You need to ensure wide publicity for your database in order to attract members. One way to do this is to collect available data online and send information out (for example, on websites of research institutes and universities). You can also use other channels such as newsletters, your own website, partner organisation's channels of communication and other means of communication.

A database is not a one-off affair. You need to work on it. One way is to have periodic calls for proposal. A good way to publicise the database is together with the publication of some results, manuals, workshops or other project results in which your target group may be interested. You should also take care to have some benefits for your members, such as priority offer to participate in workshops you organise in your project or an invitation to a conference. Semi-annual calls for registration are a good interval.

**Safe registration**

You need to ensure safe registration for your users in order to ensure personal data protection. The way we did it for the CEC-WYS project was to have a registration form online. After an interested party completes the registration form and send it to the system, she receives a confirmation email to the email account she provided in the registration form. After clicking on a confirmation link in the email, her registration in the database is confirmed and becomes searchable in the database. Members of the database also receive a password and a username in the confirmation email to access their registration for possible updates in the future. They can of course change their password in the registration form after logging in.

# Dissemination, collaboration, external communication

Tip

Having a dissemination plan is an obligatory deliverable in Annex 1. It is not included in Part B but attention should be paid to the issue of dissemination and communication already in the proposal stage (see the evaluation criteria for management).

## COMMUNICATION OF THE PROJECT AT NATIONAL AND INTERNATIONAL LEVEL

There are many ways you can communicate information about your project in order to disseminate effectively. We developed ways of communicating differently with different groups. Here are some of the strategies we used.

**Communication with your institution**

It is very important indeed to have the support of your institution for your project. The thematic content of the project might not be sufficient to gain support at institutional level if there are few people who are genuinely sympathetic with your aims. Emphasise the positive visibility that the institution will receive as a result of participating in the project will encourage support for your project. At the beginning of the project, when all the project partners are together, with the scientific officer, ensure the relevant people from your institution are invited to mark the opening of the project and officially welcome the consortium. Ensure that any leaflets or other information about the project includes information about the role of the consortium institutions in the project. Highlighting this will be beneficial to the institution by raising the institutional profile at international level.

**Communication with your target group**

In order to communicate effectively with women scientists in Central Europe, we had to find a way to engage their attention and appeal to their experiences and concerns, rather than structuring the communication in the style of the European Commission. Cut out all Commission-like jargon and turn any issue to see it from the perspective of your target group in order to convince your target audience that this is relevant and accessible to them.

**Communication with the Commission**

It is important to show your full comprehension of the Commission's objectives and in fulfilling a particular, local need. Your knowledge of the structure of Commission communications and objectives should shape the way you discuss the project with members of the Commission or publicise your project on Cordis, the Commission's information website. The logo of the Commission's Unit you are working with should appear

on your publicity materials, or if not the logo, then definitely an acknowledgement of the Commission's role is necessary. The scientific officer's contact details should be included wherever the consortium contacts are listed. As the project-funder, the Commission has the right to share the success of the project and have its contribution acknowledged.

**Communication with journalists**
Unless you are publicising the project within the Commission, avoid using the Commission jargon. State the problems that exist, and how your project will tackle them, using language that anyone not involved in scientific research can understand (unless it's a scientific journal).

**Communication with national government**
It is important to have the support of your relevant ministry. This will improve your chances of being effective at national level. From the point of view of the ministry, it reflects well at national level if there is an organisation concerned with meeting European Commission goals.

**Cooperation with other projects**
In order to maximise your resources and work to greater effect, work with other relevant organisations. You can share information, contacts, information and papers obtained from conferences.
We have cooperated with Eurodoc, an international organisation working for PhD candidates and young researchers, and with the KoWi project, providing information on post-docs and mobility for young scientists (see chapter 10 Resource list).

## TOOLS OF COMMUNICATION

**Website**

Website is the most important tool of communication for the project, especially a project like CEC-WYS. For more details on website and website contractor selection, see Part 8 above and Annexes v and vi hereof).

**Press release**

The co-ordinator should develop the press release with the comments of the partners, which should be preferably less than 1 page long and avoid "jargon" or abbreviations, such as "work packages" or "FP6".

All partners should create a database of journalists and translate the press release into their national language.

There should then be a coordinated dissemination campaign. The co-ordinator should send the press statement to Cordis (via the Scientific Officer) and all consortium members should send the press release to journalists. Make a note of how many people you contacted with the press release and of them, how many responded or deleted your email. Also, keep a record of all publicity about the project. This is needed for the reports to the Commission.

Send the press release to Cordis, the European Commission information service, which you can inform of other project deliverables.

**PowerPoint presentation**
It is important that the consortium have a unified approach to presenting the project. The co-ordinator should prepare a PowerPoint presentation with comments from the partners. The presentation should be constructed in such a way that it is flexible in terms of presentation time. It must be possible to use as little as three or as many as 20 slides to present the project.

**Flyers**
It is useful to have flyers describing the aims of the project to hand out at conferences and other events. On the flyer you could include your website address, mission statement, a brief summary of project activities, the consortium member institutes, websites and partner contact details (with partners' consent) and contact details of the Scientific Officer. The flyer should be eye-catching, but the more colours you use, the higher the price. Remember – don't make the writing too small!
If the flyer includes contact details, these can be used as an alternative to business cards if you want to save money. The cost of printing the flyers should be included in the budget for publications or consumables.

**Business cards**
In addition to the flyers, partners can have business cards. Ask partners how they want to be identified, as a member of their institution, of the project or both. The cost of printing the business cards should be included in the budget for publications or consumables.

## FINAL DISSEMINATION PLAN

The final dissemination plan, a **mandatory deliverable**, summarises all dissemination and consensus-building activities that have taken place or will shortly take place as part of the project. These activities should create a substantial awareness of the work of the project, and have influence on the target groups defined in the project.

**Areas to be covered in a final dissemination plan**

- introduction
- scope and field of application
- consensus building activities
- workshops
- logo
- website
- formal communication channels
- informal communication channels (emails, calls, networking print media)
- dissemination activities (deliverables, workshops and conferences, standardisation bodies and industry forums – if applicable)
- research collaboration – if applicable

# Resource list

## CORDIS – THE EUROPEAN COMMISSION INFORMATION SERVICE

### Background documents for FP 6

Cordis Home page
http://fp6.cordis.lu/fp6/home.cfm
Cordis Women and Science
http://www.cordis.lu/improving/women/home.htm
Cordis European Research Area
http://www.cordis.lu/fp6/stepbystep/era.htm
Cordis Find a Project
http://www.cordis.lu/fp6/projects.htm
Cordis Find a Partner
http://fp6.cordis.lu/fp6/partners.cfm
“Towards a European Research Area” Communication from the Commission
ftp://ftp.cordis.lu/pub/documents_r5/natdir0000001/s_1372005_20010125_143514_C001190en.pdf
National Contact Points
http://www.cordis.lu/coordination/ncp.htm

## EUROPA – WEBSITE OF THE EUROPEAN COMMISSION

### Women in science issues

6th Framework Programme
http://europa.eu.int/comm/research/fp6/index_en.html
Women and Science
http://europa.eu.int/comm/research/science-society/women-science/women-science_en.html
Women and Science European Commission Documents
http://europa.eu.int/comm/research/science-society/documents_en.html
Networks of Women Scientists
http://europa.eu.int/comm/research/science-society/women-science/nows/index_en.cfm?script=list&name=&sciencefield8=on
Women in Industrial Research
http://europa.eu.int/comm/research/science-society/women/wir/index_en.html
Gender Equality in Europe
http://europa.eu.int/comm/research/science-society/women/enwise/links_en.html
European Commission Gender Mainstreaming
http://europa.eu.int/comm/employment_social/equ_opp/gms_en.html
Helsinki Group members
http://europa.eu.int/comm/research/science-society/women-science/helsinki01_en.html
Helsinki Group Statistical Correspondents

http://europa.eu.int/comm/research/science-society/women-science/helsinki02_en.html
Commission of the European Communities, working paper, Women and Science
http://europa.eu.int/comm/research/science-society/pdf/g_wo_sec771_en_200101.pdf
Gender Impact Assessment
http://europa.eu.int/comm/research/science-society/pdf/women_gender_impact_fp5_en.pdf
Enlarge Women in Science to the East

## WOMEN IN SCIENCE

### Gender departments in CEE region universities

The ENWISE report annex 2 has a fully comprehensive list of contacts to non-governmental centres and university departments in Central and Eastern Europe (not including the Western Balkans). In addition there are the following:
http://europa.eu.int/comm/research/science-society/women/enwise/enwise_report_en.html
Kharkov Centre for Gender Studies, Kharkov University, Ukraine
http://www.gender.univer.kharkov.ua/ENGLISH/index.html
Romanian Centre for Feminist Analysis, Bucharest, Romania
+40 21 252 49 59
Gender Centre of the Federation of Bosnia and Herzegovina
http://www.fbihvlada.gov.ba/engleski/uredi/gender%20center.htm
Centre for Research and Gender Policy, Prishtina, Kosovo
contact: v_krasniqi93@hotmail.com
Belgrade Women's Studies and Gender Research Centre
http://www.zenskestudie.edu.yu/pages/start.htm

## Young researchers and mobility

Bologna Declaration
http://europa.eu.int/comm/education/policies/educ/bologna/bologna.pdf
Marie Curie Actions
http://europa.eu.int/comm/research/fp6/mariecurie-actions/indexhtm_en.html
Europa Researchers' Mobility Portal
http://europa.eu.int/eracareers/index_en.cfm
Marie Curie Contact Points
http://europa.eu.int/comm/research/fp6/mariecurie-actions/information/helpdesk_ncptable_en.html

## Western Balkans

State of the Art of EU-Western Balkans S&T Cooperation
http://europa.eu.int/comm/research/iscp/regions/balk-doc3.pdf
Opening up the European Research Area to the Western Balkans
http://europa.eu.int/comm/research/iscp/regions/balk-doc4.pdf
Science and Technological co-operation with the West Balkan countries
http://europa.eu.int/comm/research/iscp/regions/balk-doc2.pdf

## OTHER LINKS CONCERNING GENDER EQUALITY / MAINSTREAMING

Beijing + 5 Documents
http://www.unece.org/oes/gender/documents.htm
UNESCO Gender Mainstreaming
http://portal.unesco.org/en/ev.php-URL_ID=11567&URL_DO=DO_TOPIC&URL_SECTION=201.html
UNESCO Gender and Scientific Technological and Vocational Education
http://portal.unesco.org/education/en/ev.php-URL_ID=7865&URL_DO=DO_TOPIC&URL_SECTION=201.html
UNECE Women's Entrepreneurship in Eastern Europe and CIS Countries
http://www.unece.org/ie/enterp/documents/wmp.pdf
UN Inter-Agency Network on Women and Gender Equality
http://www.un.org/womenwatch/
Network for European Women's Rights - EU Enlargement in 2004
East-West Priorities and Perspectives from Women Inside and Outside the EU
http://www.newr.bham.ac.uk/pdfs/Gender%20Equality%20in%20an%20Enlarged%20EU.pdf
Science Next Wave Women in Science
http://nextwave.sciencemag.org/cgi/content/full/2003/10/29/5

## PARTNER SEARCHES FOR FP 6

IDEALIST Project
http://www.ideal-ist.net/
Networks of Women Scientists
http://europa.eu.int/comm/research/science-society/women-science/nows/index_en.cfm?script=list&name=&sciencefield8=on
Cordis Find a Partner
http://fp6.cordis.lu/fp6/partners.cfm

## CONTRACT NEGOTIATION OF FP 6

Guidelines for Contract preparation (IP, NoE & STREP)
http://www.cordis.lu/fp6/find-doc.htm#negotiation
CPF forms & Instructions
http://www.iserd.org.il/ist/Documents.htm
Model contract
www.cordis.lu/fp5/mod-cont.htm
Cost reimbursement system
ftp.cordis.lu/pub/fp5/docs/pch_rtp_en_199901.pdf
Draft Financial Guidelines
http://www.iserd.org.il/ist/documents/FinanGuide-draft.pdf

## OTHER YOUNG SCIENTISTS' ORGANISATIONS

EURODOC
http://www.eurodoc.net/presentation/
Euroscience working group on Young Scientists
http://www.euroscience.org/WGROUPS/YSC/index.htm
Marie Curie Fellowship Association
http://www.mariecurie.org/
KoWi Young Scientists
http://www.kowi.de/en/youngscientists/

## STATISTICS LINKS

Science and Technology Statistical Compendium
http://www.oecd.org/dataoecd/17/34/23652608.pdf
Europa Eurostat
http://epp.eurostat.cec.eu.int/portal/page?_pageid=1090,1137397&_dad=portal&_schema=PORTAL#
National Statistical Profiles - Collecting Sex-Disaggregated Data on Women in Science
http://europa.eu.int/comm/research/science-society/women/wssi/pdf/annex3.pdf

## OTHERS

Science Next Wave
http://nextwave.sciencemag.org/
Euroscience
http://www.euroscience.org/
European Science Foundation
http://www.esf.org/index.php?language=0
European Research Managers and Administrators
http://www.earma.org/

## PROPOSAL WRITING GUIDANCE

http://www.iserd.org.il/ist.htm
To download a very comprehensive guide by an experienced coordinator, follow the path “documents - “IST”- “books/tools for FP6 IST program by M W Morron” - “standard version 2.1 - pdf format”

The National Institute of Allergies and Infectious diseases – writing skills tips
http://www.niaid.nih.gov/ncn/grants/write/write_e3.htm

# Definitions and acronyms

**Annex 1** – the full description of the project activities and management which is appended to the contract with the Commission

**CEC-WYS** - Central European Centre for Women and Youth in Science,

**consortium** – group of partners who have signed a contract with the Commission to carry out the project

**consortium member/ project partner** – employee of the institution which has signed the contract with the Commission and who has signed the consortium agreement

**co-ordinator** – lead person responsible to the Commission for the project

**Framework Programme 6 (FP6)** – funding scheme of the European Commission for research and technology activities during 2002 – 2006

**person months (PM)**– the number of months at full time equivalent allocated to a task or a partner to complete work

**project management meeting (PMM)** – meeting of all project partners

**project manager** – person responsible for financial, legal and administrative aspects of the project

**scientific officer (SO)** – member of the European Commission who is the first point of contact for the co-ordinator on matters concerning the Commission

**Specific Support Action, SSA** – an ''instrument'' or type of project which concentrates on actions rather than research

**Specific Target Research Project, STREP** – an ''instrument'' or type of project, which is focused on conducting research

**tranche** – a specific portion of money delivered to project partners by the co-ordinator which funds the work of a reporting period (usually a 12 month period of the project)

**work package (WP)** - unit of work with a specific goal within the larger context of the project

**work package leader** – person responsible for coordinating the work of a specific work package within the project

**deliverable** – deliverable is an end result (such as a report, training, workshop or prototype) delivered to the Commission as a specific output of the project

**task** – task is a particular assignment within a workpackage; a set of tasks leads toward a deliverable. Tasks and deliverables are units of organising work on a workpackage.


Central European Centre for Women and Youth in Science
CEC-WYS
http://www.cec-wys.org

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