

# A Survival Kit for European Project Management Advice for Coordinators of Centralised Socrates Projects



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# Introduction



## Why another publication on project management?

Searching in the internet for „project management“ in August 2000 one of the large search engines found 579.232 entries offering information, courses, tools, software and handbooks on the topic.

So why are we adding yet another publication for project coordinators to the existing wealth of materials?

As far as we know, this manual, which is tailored to the specific needs of coordinators of SOCRATES European Co-operation Projects\*, is the first of its kind.

The management of these pilot projects which develop innovative educational concepts and materials presents a considerable challenge to the coordinators, particularly to those with little or no prior experience of transnational cooperation.

While handbooks and courses for COMENIUS school projects have already been produced, hardly any project management tools for the more complex centralised projects are currently on offer. Precious experience gained from former projects has not been sufficiently exploited, and good practice has not been systematically shared with successive generations of projects.

As the title of this manual suggests, we do not claim to offer a comprehensive treatment of project management. Instead we took a pragmatic approach, attempting to deliver guidance on some essential issues a coordinator should consider at the start of a project.

This document has itself been produced as the result of a project and due to the efforts of a project team. The project was the **Survival Kit for COMENIUS TCP\*\* Coordinators** funded under the SOCRATES Programme (COMENIUS Complementary Measures 2000-0142/001-001 SO2 81ACEC). Our project consortium consisted of three experienced COMENIUS coordinators and three SOCRATES programme managers from Finland, the United Kingdom and Austria.

The Comenius coordinators contributed their own project experience to this manual while the involvement of the National Agencies for SOCRATES made sure that the views and demands of a greater number of projects were taken into account.

## What SOCRATES coordinators wanted us to do

At the outset of our project we asked former and current coordinators of European Cooperation Projects from the United Kingdom, Finland and Austria which topics they felt should be included in a manual on project management. Questionnaires issued by the project team were returned by 30 coordinators, mainly of former COMENIUS Action 3 (European In-service Training) projects.

Hardly surprisingly, their answers corresponded to the feedback received by National Agency staff in many monitoring meetings and personal conversations over the years.

The three top priority themes in all three countries were:

- Advice on how to design agreements between the coordinator and the partners of a project in which the respective rights and obligations were laid down. Model agreements were urgently requested.
- Models for transparent accounting systems for personnel and other costs.
- Guidance on the financial administration of a project.

\* This term refers to all centralised projects funded in the framework of the SOCRATES actions COMENIUS 2, ERASMUS 1, GRUNDTVIG 1, LINGUA and MINERVA.

\*\* Transnational Cooperation Project. This term was used in the first phase of SOCRATES (1995-1999).



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While we had no difficulty in dealing with the first two issues the content of point three is a topic for the European Commission rather than a project such as this. Coordinators also requested user-friendly guidelines on drafting the final report for the Commission and avoiding ineligible claims. Such guidelines, we felt, could – and indeed should - be given solely by the European Commission and the Technical Assistance Office who receive and assess the final reports.

Other issues of interest to many coordinators were:

- Evaluation of project outcomes and processes:  
frameworks, theory and tools.
- Use of new technologies for communication within a project.
- Dealing with language barriers and intercultural problems in a transnational partnership
- Strategies for dissemination and promotion.

While we are well aware that this manual will not be able to fulfil all expectations expressed by project coordinators, we hope we have tackled some of the crucial issues.

We would like to thank all the project coordinators who sent us advice, comments, model documents and other examples of their own project management practice. All of these contributions inspired our work and have been, in one way or another, incorporated into this publication.

## How this document approaches project management

As the sub-title suggests, the overall approach the “Survival Kit” takes to centralised SOCRATES projects is focused on the role of the coordinator.

To avoid a possible misunderstanding, we would like to emphasise this does not mean that our intention was to promote a top-down approach in transnational project management. We are confident that the following chapters, especially the chapter on the importance of team building will underline the participative approach we suggest as good practice.

However, the legal and structural characteristics of European Cooperation Projects require the coordinator to play a key role in the type of projects we describe. From our experience the success of a project depends very much on the coordinator’s ability to meet the numerous demands associated with this job.

The reader of this publication might be surprised that certain aspects of project management like team building or communication systems feature in several chapters.

This is a deliberate approach closely aligned with the nature of project work. Defining roles and allocating tasks, like other aspects of project management, can and indeed must be seen from different angles. It has to be tackled from the structural point of view of planning and organising a project, but the psychological implications for the team building process and the way such arrangements need to be defined in contractual documents must also be considered.

We hope not to bore our readers with this approach but rather to make them aware of the interconnected dimensions of project management.



# Introduction

## What is a project?

According to one of the standard reference books on project management a project is „**a temporary endeavour undertaken to create a unique product or service.**”<sup>\*</sup>. A project has to fulfil its set aims and objectives within a limited period of time and with limited money and personnel resources. Since it does not deal with routine operations but with new activities there is a high risk of failure.

Tackling new tasks implies those involved in the project have little or no prior experience in solving the specific challenges and problems. To be successful a project needs specific planning and organisation. Every project develops its own „project culture“, its own system of rules and values according to which the members of the team work together.

Although a system of planning and organisation is indispensable, project management always remains a highly dynamic process.



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## What are the characteristics of a centralised SOCRATES project?

A SOCRATES European Cooperation Project has several distinctive characteristics which have to be taken into account:

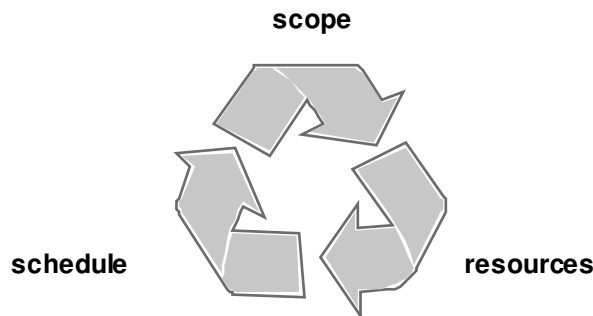
- The project partners come from different European countries. Therefore an **intercultural dimension** is present in all project activities and should not be neglected.
- The consortium often forms a „**mixed partnership**“: different types of institutions with different attitudes and work styles can derive huge benefit from each other, but must first find common ground.
- The members of a project team do not work under one roof, but in several geographically scattered institutions. Efficient and continuous **communication**, which is vital for any project, cannot be taken for granted and must be carefully planned.
- The work has to be done with **extremely limited financial and personnel resources**. Team members very often carry out the project work in addition to their normal workload.
- There is **considerable pressure of time**: two or even three years for the development of high quality educational products and courses is a rather short period, given that the process of collaboration in a transnational project is in itself time-consuming.
- Thorough planning is particularly important, since the project has to **closely follow the original plan**. Major deviations from the route laid out in the application are subject to the approval of the European Commission.
- A **considerable amount of paperwork** is involved in order to meet the Commission's application and reporting requirements. **Delays** caused by the Commission bureaucracy have to be faced.
- A period of great **insecurity between the application and the implementation** stages has to be experienced, as the acceptance rate for new projects is rather low.
- The coordinator and his institution run a certain **financial risk**, for only the contractor is liable to the Commission. There is no solid legal basis for the relationship between the coordinator and the partners unless it is created by the partnership itself.

<sup>\*</sup> PMI, A Guide to the Project Management Body of Knowledge (PMBOK), 1996, p. 10

## What is project management?

Project management can be defined as *“the application of knowledge, skills, tools and techniques to project activities in order to meet or exceed stakeholder needs and expectations from a project”*. In the case of European Cooperation Projects this implies that project activities will lead to the development of all the outcomes and products promised in the application.

The range of tasks required to accomplish project goals is often referred to as the **scope** of a project. Scope, however is only one of three crucial elements which have to be kept in balance:

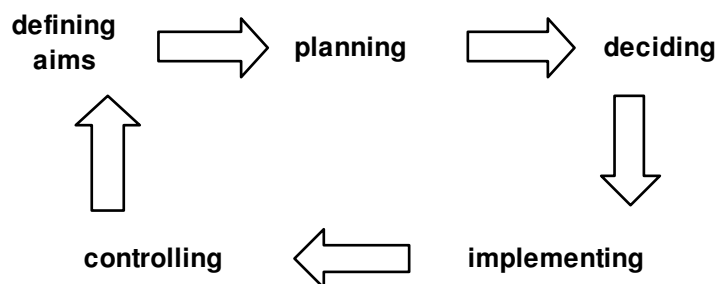


**Resources**, the personnel and equipment needed to achieve the aims of the project. These elements will create expenditure and are therefore dependent on the project budget. In European Cooperation Projects the grant given by the European Commission is fixed for the whole funding period, so the budget – and therefore the availability of resources – can only be increased by the partner institutions’ own monies or complementary funding.

**Schedule** indicates the time and sequence of the various tasks as well as the total project duration. While the former can be modified in a European Cooperation Project according to varying needs, the funding period is limited to one, two or three years, as defined in the contract. However, an extension of a few months for completing the outcomes, can be requested.

The three elements are interlinked. For instance, if a specific task takes longer than expected, either more personnel resources are needed or other tasks cannot be completed, thus narrowing the scope of the project.

No project works according to the initial plan. Therefore successful project management is a **process of continuous planning and revision** which can be depicted thus:



\* PMI, A Guide to the Project Management Body of Knowledge (PMBOK), 1996, p. 12



# Introduction

## What tasks are involved in project management?

More specifically, successful European Cooperation Project managers have to ensure, together with their teams that the following tasks are fulfilled:



- **Planning the whole project:**

The project plan is of course an integral part of the application, but more refined planning has to take place throughout the lifetime of a project. The general aims and objectives have to be defined and translated into concrete outcomes and products. The major steps which lead to the development of the products have to be packaged and timed in a work plan. All this must be based on the availability of resources and budget. Every project should agree on quality criteria of their work.

- **Organising the project:**

Preferably with the help of written agreements, the different roles and responsibilities within the project should be allocated according to individual strengths and expertise. Not only have teams and sub-teams to be established at the national and European levels, but also relations with the wider project environment have to be organised.

- **Building up and leading a team:**

A motivated team in which all members are equally involved and can rely on each other is a key factor of success. Therefore much time needs to be dedicated to the development of a positive project culture. A system of conflict resolution is also necessary.

- **Organising and chairing meetings**

Most project coordinators agree that transnational meetings have an important part to play. Accordingly meetings should be organised in a professional way and take the intercultural dimension of a European Cooperation Project into account. Communication between meetings also needs careful planning.

- **Monitoring and evaluating**

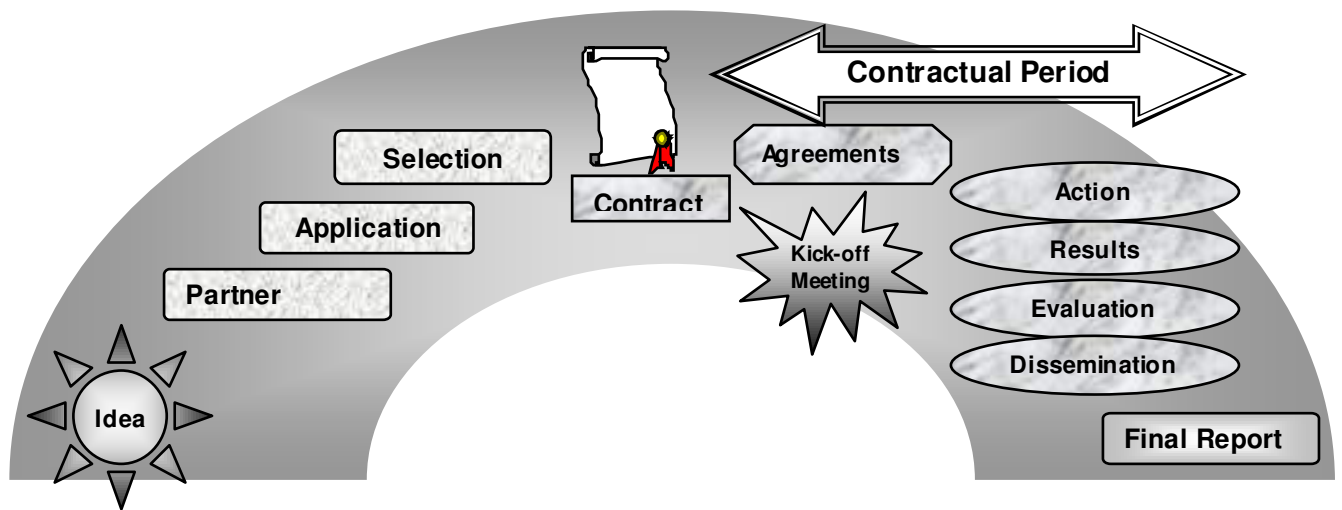
If quality is to be achieved permanent monitoring of the progress of work and the evaluation of both processes and products are indispensable. This should take place in a clear framework of evaluation.

- **Administering and managing the budget**

The administrative workload, especially financial management must not be underestimated. Considerable time and energy can be saved if a transparent reporting system and clear agreements are introduced at the very start of a project. To use the experience of other projects can be extremely valuable.

Introduction

## The life cycle of a project



It is essential for successful project management to view every single decision that is taken not as an isolated action but in the context of the whole life span of a project. A project is a continuous learning process for all participants, especially for the coordinator. Flexibility and the readiness to follow hitherto un-trodden paths are among the most valuable characteristics of a successful project manager. Having said this, careful preparation and planning saves the whole team a lot of work and uncertainty.

The graphic image on the following page shows the major phases and tasks of a European Cooperation Project. It is self-explanatory and refers to the respective chapters of this publication where more detailed information can be found.

One stage in the project life cycle is particularly worth highlighting. The starting phase of a project including the first meeting can at one extreme give the whole team inspiration that will carry them forward to a common goal or, at the other extreme, it can leave project workers feeling laden with commitments and obligations.

### What is the ideal project?

There is no such thing, and it is in no way our intention to create the illusion that there is. So before you start applying the advice given in the following pages please be aware that in your particular project you will probably come to totally different conclusions which are no doubt as valid as ours.

# Project Planning



## 1. The role of planning in project management

As each project is a complex and unique process comprehensive and thorough planning is crucial in order to work towards the aims in an effective way.

Sound planning helps to make sophisticated tasks more transparent and enables the project manager, and others, recognise critical situations in time and to be more flexible in accepting change.

It is important to dedicate considerable time and energy to planning, as good planning makes work much easier in the long run and helps to avoid problems and misinterpretations. A common rule in project management is that 80% of time and energy is spent on defining aims and planning while only 20 % is spent on their realisation. The following list of individual tasks illustrates the importance of planning within project management:

Planning tasks	Planning tasks in detail
Content planning	<ul style="list-style-type: none"> <li>Defining the project aims</li> <li>Defining outcomes and products</li> <li>Setting quality indicators</li> <li>Devising monitoring and evaluation strategies</li> </ul>
Planning the organisation of the project	<ul style="list-style-type: none"> <li>Structuring the main activities</li> <li>Defining roles</li> <li>Allocating and coordinating tasks</li> <li>Time planning: phases, schedule</li> <li>Devising an internal communication system</li> </ul>
Planning human interaction	<ul style="list-style-type: none"> <li>Choosing team members and forming teams</li> <li>Creating a project culture of shared values, standards and rules</li> <li>Reflecting the process of building and leading a team</li> <li>Managing conflicts</li> </ul>
Planning contacts within the environment of the project	<ul style="list-style-type: none"> <li>Analysing the project environment</li> <li>Designing marketing strategies</li> <li>Planning dissemination activities</li> </ul>
Financial and administrative planning	<ul style="list-style-type: none"> <li>Planning costs and resources</li> <li>Designing contractual arrangements</li> <li>Devising reporting systems and procedures</li> </ul>

### Project planning progresses from draft outline to detailed plan

There is always the risk of getting lost in detail and losing sight of “the big picture” and the project goals. Working from draft outline to final plan can help to avoid unnecessary work loads, because many changes and amendments will occur early in the life time of the project.

Firstly it is important to plan and structure the project as a whole with sufficient detail to prepare a realistic budget calculation. As the project moves forward, planning should be more intricate to take account of more detailed information and frameworks. In the case of European Cooperation Projects this outline planning has to be completed during the application phase. As the application is the basis for the legal contracts between the project and the Commission it also has to be the working basis for the life-time of the project.

During the project lifetime many situations may arise which positively or negatively influence the project and modifications are often necessary. Even some of the initial aims might be changed. Change does not mean failure. It can, on the contrary,



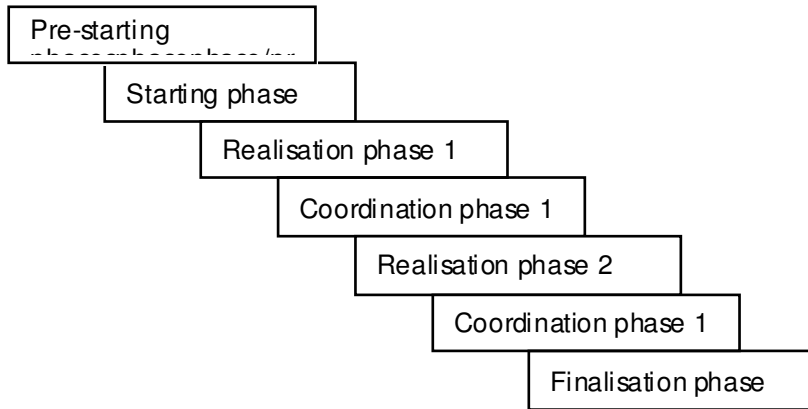
Project Planning

facilitate improvements, and the focus in a project should always be on improving and aiming for the best possible results.



## 2. Structuring the project in phases and steps

Every project can be structured in phases:



Project Planning

### **Pre-starting phase (or definition of the project):**

This is the phase between the development of an idea for a project and an initial formulation of these ideas into a concept. The next step is to find potential partners on the basis of this concept, to invite them to a preparatory visit where the group can together reach a common definition of the project for the application to the European Commission.

In this phase initial staffing structures have to be planned; the project leader must be nominated, the initial structure of national teams must be developed and an allocation of tasks within the teams and within the international project group must also be clearly defined.

### **Starting phase:**

In the case of centralised European Cooperation Projects (ECPs) this refers to the time between project application and the beginning of the first project year. Although project coordinators will not know for sure until mid-summer, that the project has been accepted, some basic organisational structures have to be established and the working relationships developed. The national teams in each partner institution have to be formed and initial roles defined. The aim is to prepare fully so that project activity can make an effective start at the official beginning of the first project year.

This is not an ideal situation. It is difficult to expect those involved to be motivated to start work on a project which has not yet been secured. But otherwise valuable time will be lost which cannot easily be recouped later in the project. For example the “Kick off meeting” as the most important meeting in the project, should take place, as its name suggests, as early as possible. It is on this occasion that almost everything which underpins the future success of the project, is settled: “Tell me how your project starts and I can tell you how it will end.” - Nobody wants to plan a failure!

### **Realisation phases:**

During this phase of the project the focus is mainly on detailed planning, on the realisation of content and aims, structuring the work into units and putting them into practice. In centralised ECPs these phases occur between the international project or steering group meetings. Partners either work individually or according to their transnational cooperation agreements and exchange information and communicate with each other through project communication systems.



**Coordination phases:**

In these phases interim results of the different working packages are assembled, discussed and evaluated. Necessary amendments will be made but the main focus is on controlling and steering the progress of the project. In centralised ECPs these phases are represented by the international project or steering group meetings. These meetings are also some of the main “milestones” of the project.

**Finalisation phase (end of the project):**

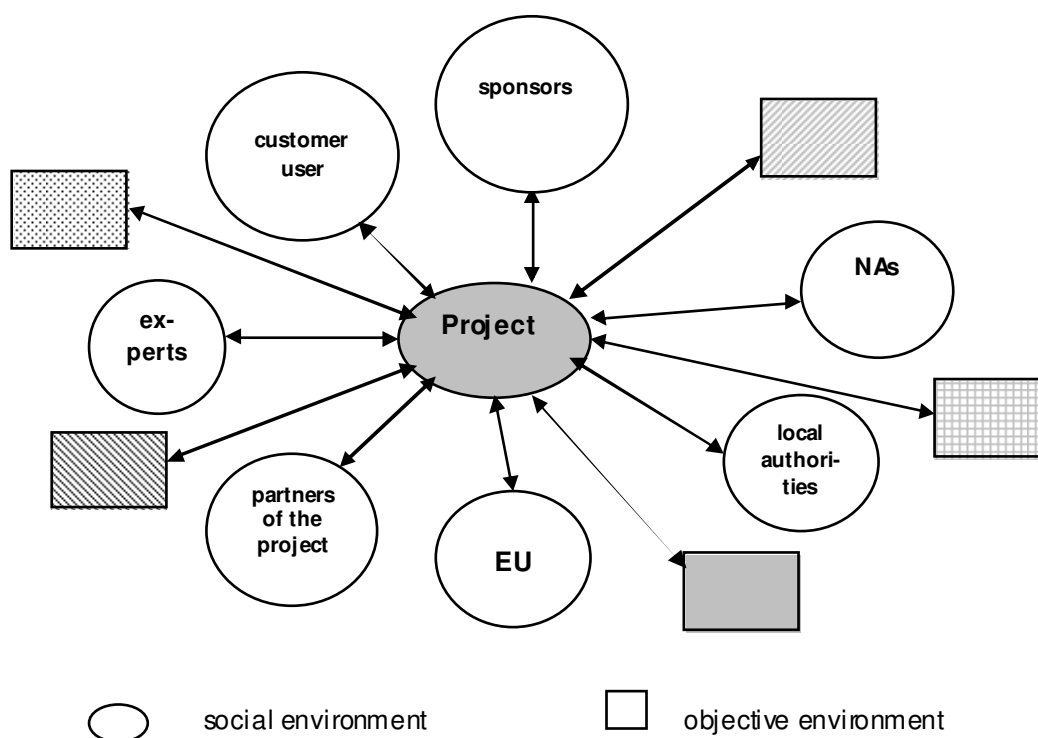
Each project needs a finite conclusion, where a final reflection (self-evaluation) is made. All the tasks have to be completed and each project member will be thanked for his / her work and released from their responsibilities. A common celebration values the work of everybody.

Normally a final report is made by the coordinator afterwards and presented to the Commission together with the project products, which should also be disseminated to appropriate “customers” and authorities.

**3. Planning the whole environment of the project**

**Analysis of the social and objective environment**

During its lifetime each project establishes its own **social system**, with its own project specific behaviour patterns, values, priorities and identities. This “project culture” is created to a large extent through the project specific surroundings and the partners themselves.



Projects also have an **objective and factual environment**, which mainly concerns resources (such as finance, time and personnel) as well as the rules and regulations within and outside the participating organisations.

It is necessary to define these environments when planning a project and to define their future relationships to and their influence on the project. This may help to identify risks and critical stages already incorporated in the planning phase and help the team to try to avoid them. But they should be kept in mind throughout the lifetime of the project and revised and used continuously.

There are several tools available and ways to make them visible:

- Use a diagram (see above) and marking the participants in different ways
- Use a table to analyse and highlight the influence that different bodies may have on the progress of the project.



# Project Planning

### Objective influences: (with examples)

<b>Objective</b>	<b>Possible influences</b>	<b>Effects or consequences</b>	<b>Steps to be taken</b>
Time resources of the team members	Daily routine + additional projects	Possible delays in doing project tasks	Underline the use and importance of the project for their own work and professional profile
Financial resources of the partner institutions	Possible cut backs	May create the need to restructure activities and outcomes	Show how the project is important to the institution as a whole
SOCRATES grants	Contractual and financial constraints	A generous budget enables projects to achieve higher levels of activity and higher quality products	Ensure all concerned understand the rules of financial expenditure and spend money effectively

### Social influences: (with examples)

<b>Interest groups and individuals</b>	<b>Relationship to the project</b> ☺ ☹ ☹	<b>Possible Influences rated 1-5</b>	<b>Expectations + / -</b>	<b>strategies</b>
Project team members	☺	1-3	+ personal advantages (profile, more experience, international)  - personal disadvantages: overwork, lack of time	Make the progress of the project visible.
Management of own institution	☺	1-2	+ good results + use and image + good PR-work	Supply continuous information about the project and it's results
Local, regional and national authorities (ministry, departments and boards of education)	☺☺	1-2	+ very interested, because the project supports their own plan for development in schools	Keep them informed, establish a good communications and a firm base for cooperation

**Centralised SOCRATES projects have their own specific social system**, which is very much influenced by the special status the projects are given by the Commission and also the fact that many different nationalities and organisations with different characteristics work together.

## 4. Detailed planning after the selection decision

As soon as the application is accepted by the Commission and the financial grant is known detailed planning for the first year has to begin. A rough work plan should already have been made for the application, where time schedules (meeting dates and activity between meetings), expected outcomes and tasks and responsibilities are formulated. This has to be the basis for more detailed planning. Now it has to be structured in more detail, tasks need to be described in depth in the context of time, real people, resources and money.

The instrument of project management can provide several tools for planning, which help to link all these factors and make them more visible to the project team.

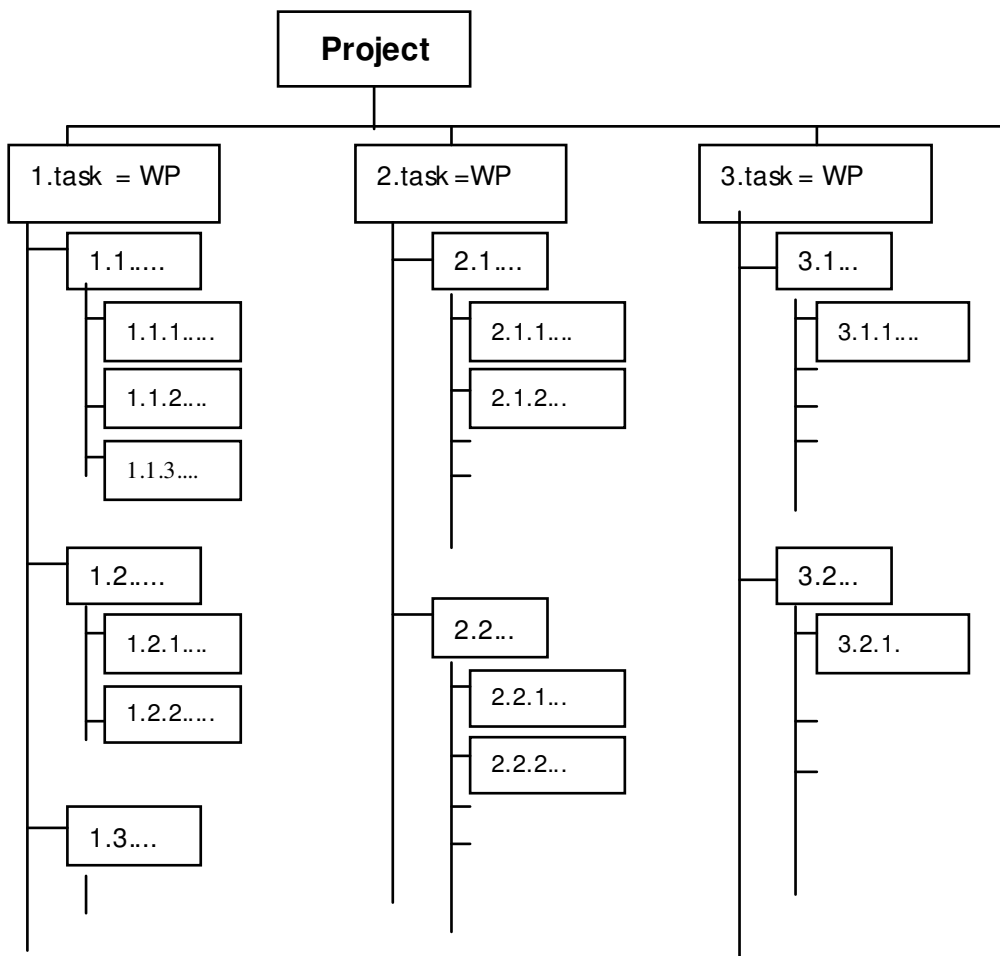
### Refining the work plan

One of the tools project management can provide is the use of **work packages** within the structure of the project:

The advantages of structuring a work plan into packages are to:

- Ensure a systematic collection and structuring of the contents and tasks of the project
- Divide the project into smaller working units, then further subdivide, name and list them
- Provide a graphic display of the units and their contents in a tree-structure making everything more clearly visible.

The breakdown of the project into work packages must be complete to be effective. It has to include every detail of the project. It makes sense to start from the aims and to ask yourselves “What do we want to achieve, what will it look like and what do we have to do to make it happen?” The break down of the project is the basis for more detailed planning of time, capability and budget and can look like this:



WP = work package





# Project Planning

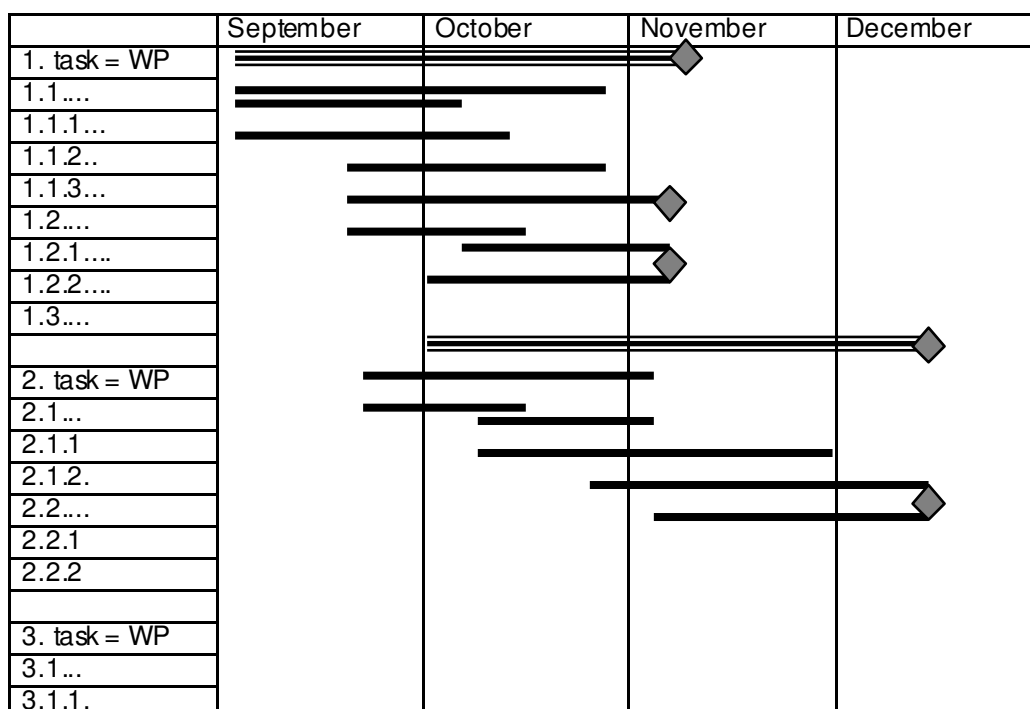
## Refining the time planning

There are several tools available to link the work plan and its individual units with a time plan. One of the most effective is the so called “**Gantt charts**” (after Henry Gantt who promoted this type of planning)

This shows individual tasks subdivided sequentially into work units according to the length of time they will occupy. Their beginning and end are clearly marked. In such a bar graph plan the milestones of the projects can also be set and marked and thus made visible as well as critical factors, which are related to the time available. It is also possible to depict the responsible people in this bar graph plan and to show personnel resources and other critical factors.

The advantage of such a bar graph plan is its clear lay-out and the transparency of all known facts shown. It is also a very good communication tool within the organisation of the project.

A **Gantt chart** can for example look like this:



◆ “milestones” = structure the project and are the important points of the project

WP = work package

A column can be added to link the tasks to designated individuals.

## Structuring units of work

Each unit of work should be allocated to a specific individual or team. A clear description of the work should be prepared to ensure clarity between the coordinator, the responsible team member or team and among all the other project members. This description should include the aims and all the anticipated interim and final outcomes. It is most important for the quality and the progress of a project to have an open communication structure about this most essential aspect of project work.

Again lists are very helpful in achieving this objective

Charts are useful in listing all the tasks and stages in each unit of work in relation to the time frame and responsible individual.

Such a **chart where tasks are described and scheduled** can (for example) look like this:



# Project Planning

✓	Description of task (use the same numbers and titles as in the structures work plan and in the bar graph plan)	Responsible person/team	Completion date
	1. task (= unit of work) 1.1..... 1.1.1..... 1.1.2..... 1.1.3.....  1.2. .... 1.2.1..... 1.2.2.....  1.3.....		
	2. task (= unit of work) 2.1... 2.1.1... 2.1.2...  2.2.... 2.2.1... 2.2.2...		
	3. task (= unit of work) 3.1. 3.1.1...  3.2.... 3.2.1....		

A **Checklist for the contents of a work unit** can be for example like this:

- Name of the work unit
- Responsible person
- Content and activities
- Description of the anticipated outcomes
- Starting point and deadline
- Personnel resources – number of working days / hours needed?
- Link to other work units (sequence and overlap)

## 5. Milestones of a project

Milestones are very important for a project.

- The different phases of a project are marked by “milestones”.
- They are important “interim aims” on the way to the final aim and allow time for orientation.
- They mark the end of significant phases of a project and should be established by the team at the beginning of the project. Such milestones can only be passed, when all the designated tasks have been satisfactorily completed. They are also important turning points and thus allow the opportunity for “stop, go, or return” decisions.

- They also enhance the motivation of the team, as they are an indication of progress already made. Therefore the whole team should not overlook the celebration of these milestones if they are completed successfully.

In European Cooperation Projects milestones will always include the international meetings of the steering group. On these occasions all participants are working together, so that many of the big, important tasks can be discussed and planned according to this meeting schedule. Quality evaluation, decisions, amendments or changes can be discussed together and common agreement can be reached in open discussion.

In between these meetings other milestones will normally be set, for example deadlines for reports, applications, running courses or deadlines for finalising special products of the project. All projects members should respect these important deadlines and complete their tasks and contributions on time – otherwise they will jeopardise the progress of the project.

Milestones can be marked graphically in the bar graph plan and thus given visible form.

## 6. Financial planning

To plan the budget is one of the most important tasks and is essential for the success of a project. Detailed financial planning from the very beginning should help to avoid financial difficulties at the end.

As the budget plan is one of the main parts of the project application it is also the basis for the grant awarded by the Commission. It has to be made according to the eligibility rules for centralised projects of the different actions and so special regulations have to be kept in mind. Realistic planning at the beginning will help in the future to fulfil the aims of the project and keep within the budget.

The coordinator has already developed one helpful tool in the application. The tables used in the budget section of the application form can easily be complemented by one more column indicating the actual expenditure compared with the estimated costs. An example is given in the appendix.

For a more thorough discussion of financial planning please refer to chapter ***Contractual and Financial Management***.



# Project Planning

# Project Organisation



## 1. The role of organisation in a project

The organisation of a project is the realisation of the planning process. In other words: Organising means to get things going.

More specifically, it involves a number of tasks:

- managing contractual relations with the project partners \*
- defining roles
- building up a project culture
- forming European and national teams
- setting up and maintaining a communication system
- setting up and maintaining an information and reporting system
- managing critical phases



# Project Organisation

## 2. Defining roles

One of the main tasks of project organisation for the project coordinator is to find the right project members and – together with the whole team - to define their roles precisely.

Defining roles is very much related to the tasks that are necessary for fulfilling the aims of the project. Finding the right person also means linking these demands to the expertise and time and energy he/she can contribute to the project.

In addition, social skills and the ability to work effectively in a team must also be considered. The greatest experts are of little value to a project if they are not also “team players”. It is extremely important to avoid allocating roles and tasks in a top-down approach and to include all team members in the decision process. This is the only way to ensure that valuable expertise is integrated into the project.

The project team must decide on the allocation of specific content to its members and, equally important, agree the extent of their responsibility for specific tasks. In some European Cooperation Projects certain project members assume full responsibility for e.g. the production of a whole module from the research phase to the printing of the final booklet. On the other hand, in other projects, the experts in the partner institutions provide only “raw material” to the coordinator to incorporate into the final product.

This aspect of defining roles can only be agreed by all the project members working together.

This last question is intrinsically linked to the role the coordinator plays in the project. At least three different coordinator roles function in European Cooperation Projects:

### 1. The coordinator as director-general

In this model the coordinator is the strong leading figure in the project who takes over full responsibility for all major activities and project outcomes. Only partial tasks are allocated to other project members who hand over their intermediate results to the coordinator who completes the job.

### 2. The coordinator in the true sense of the word

Responsibility for different aspects of the project work is shared according to the expertise and interests of the project members. The coordinator coordinates the different independent strands of action within the project and unites the finished parts at the end.

### 3. The coordinator as process manager

Bigger educational institutions which coordinate European Educational Projects sometimes split up the different coordinator’s roles. The nominal coordinators only facilitate the project process, whereas the project content is given to an expert in the relevant field.

All three options have their own merits and disadvantages. It is important to appreciate that partnerships with different interests need different solutions.

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\* This aspect is dealt with in the chapter *Financial and Contractual Management*.

For most readers of this manual, the project coordinator will already have been chosen. But a consideration of the qualities required in a project manager may assist in approaching the possible roles of a coordinator:

- experience of project work
- knowledge of project management and how to use its tools
- experience of the content of the project
- ability to manage complex structures and situations
- communication skills: moderation and presentation, ability to facilitate constructive and effective communication within the project and the social environment of the project; an understanding of the social processes within a project
- leadership ability: leading teams, motivation of people, organising and developing processes, dynamic approach to implementation and completion of tasks
- ability to cope with pressure: stamina and perseverance especially in the face of unforeseen problems, pressure of time and with resistance inside or outside the project organisation



# Project Organisation

### 3. Forming European and national teams

In many European Cooperation Projects it is an organisational necessity to create teams both at national and at transnational level. Members of these different teams normally overlap. In projects with only a few partners and only small national teams, it may be that all members of the national teams are also represented in the national steering group. In large project partnerships more differentiated organisational team structures will be necessary.

#### European team (steering group)

The real project team consists of the active representatives of each main partner. There may be 1 – 3 individuals per institution. Two people are of course more effective than one but there may be financial obstacles to this pattern. On the whole the project team is both more effective and less expensive when there are less than 12 members in a team. 6 – 8 is ideal for good teamwork.

#### National Teams

National teams can be formed in many ways. If large organisations take part in a project all members of staff of the participating institution or department should be committed to the project.

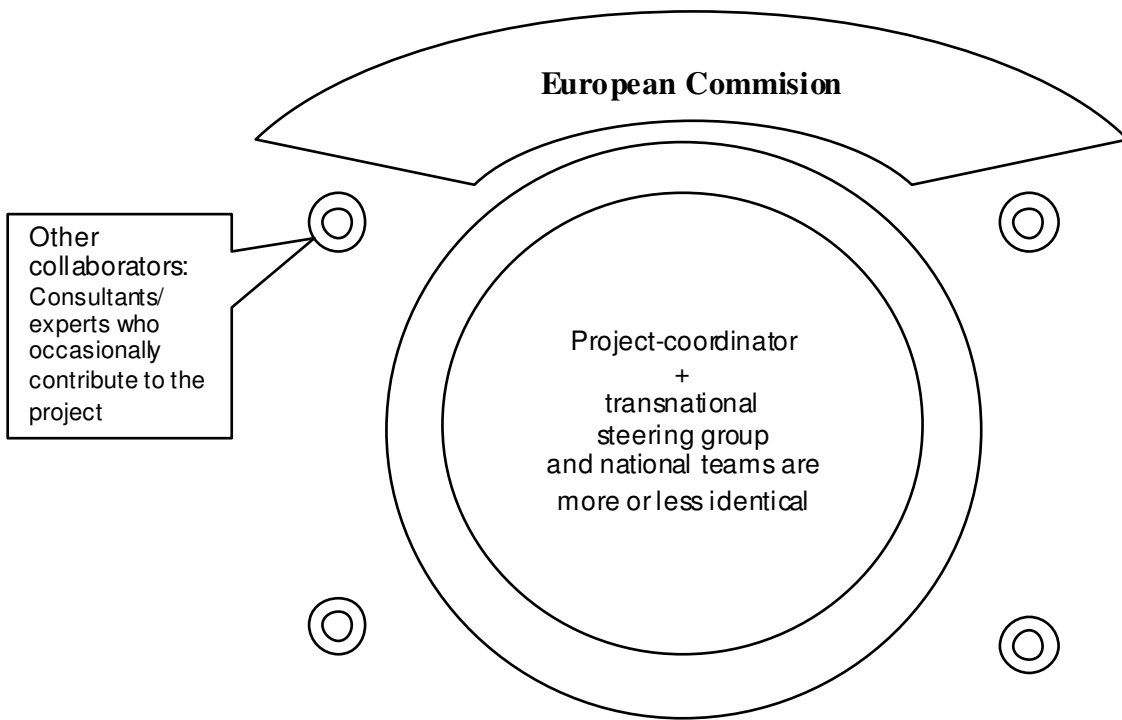
Within an institution the important people for cooperation are the head of the institution and/or department, the experts in the subject area of the project and support staff such as secretary, administrators, accountants and IT experts. It is very much to the coordinator's advantage to have strong and active partners at national level.

In each national team there should be a national team coordinator, who will represent the national team in the transnational steering group meeting. In large project partnerships he/she may be the only representative because of limited financial resources or because large steering groups are normally not very effective.

All the other team members should have the opportunity at least to join the steering group once or twice during the life time of a project: when their expertise is requested, when the meeting takes place in their home country or when a special event like a symposium is planned. This is necessary for their motivation and their identification with the project.

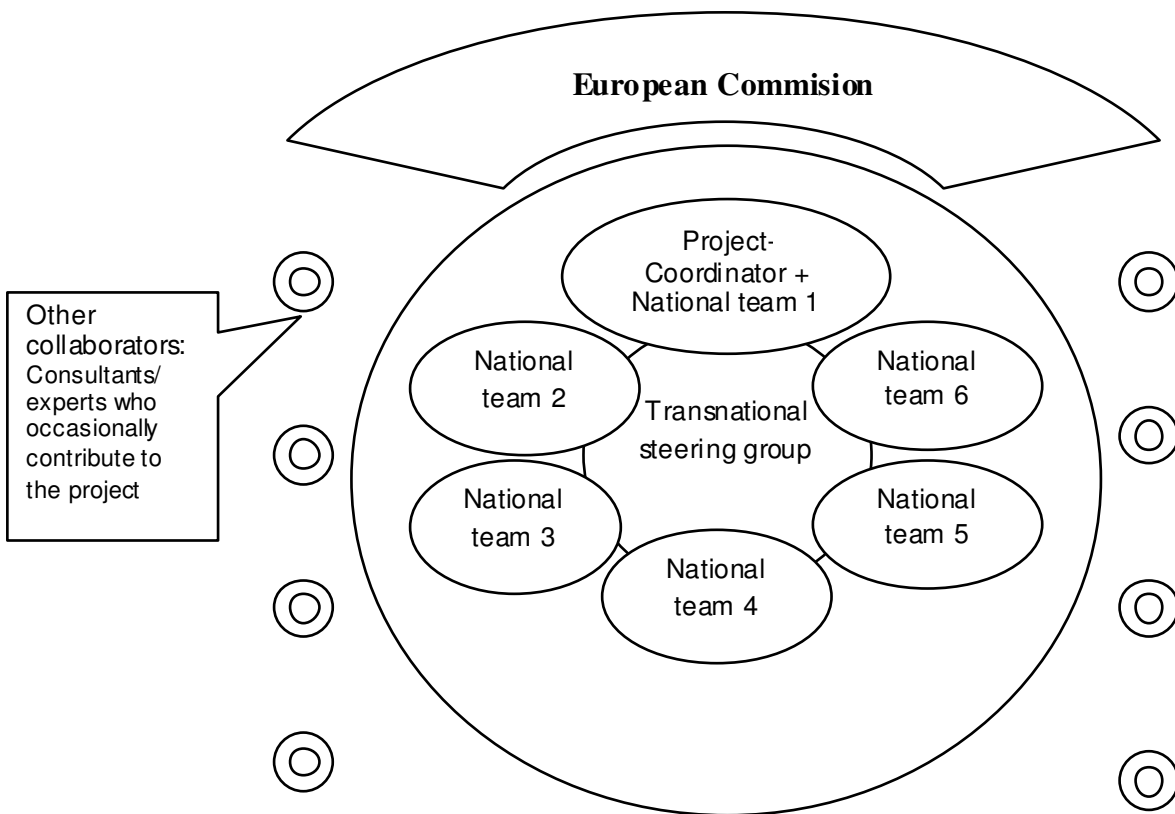
The project coordinator will always be a member of the international steering group, but will also have the function of a national coordinator in the national team. The coordination, organisation and administration of a large international project is a big challenge and a coordinator should not miss the opportunity to build up support structures and delegate some of the work. However there are areas which have to be the responsibility of one individual and cannot easily be delegated – especially the responsibilities related to the official contract and all the other organisational and structuring tasks.

**Structure of team organisation in small projects**



**Project Organisation**

**Structure of team organisation in larger projects**



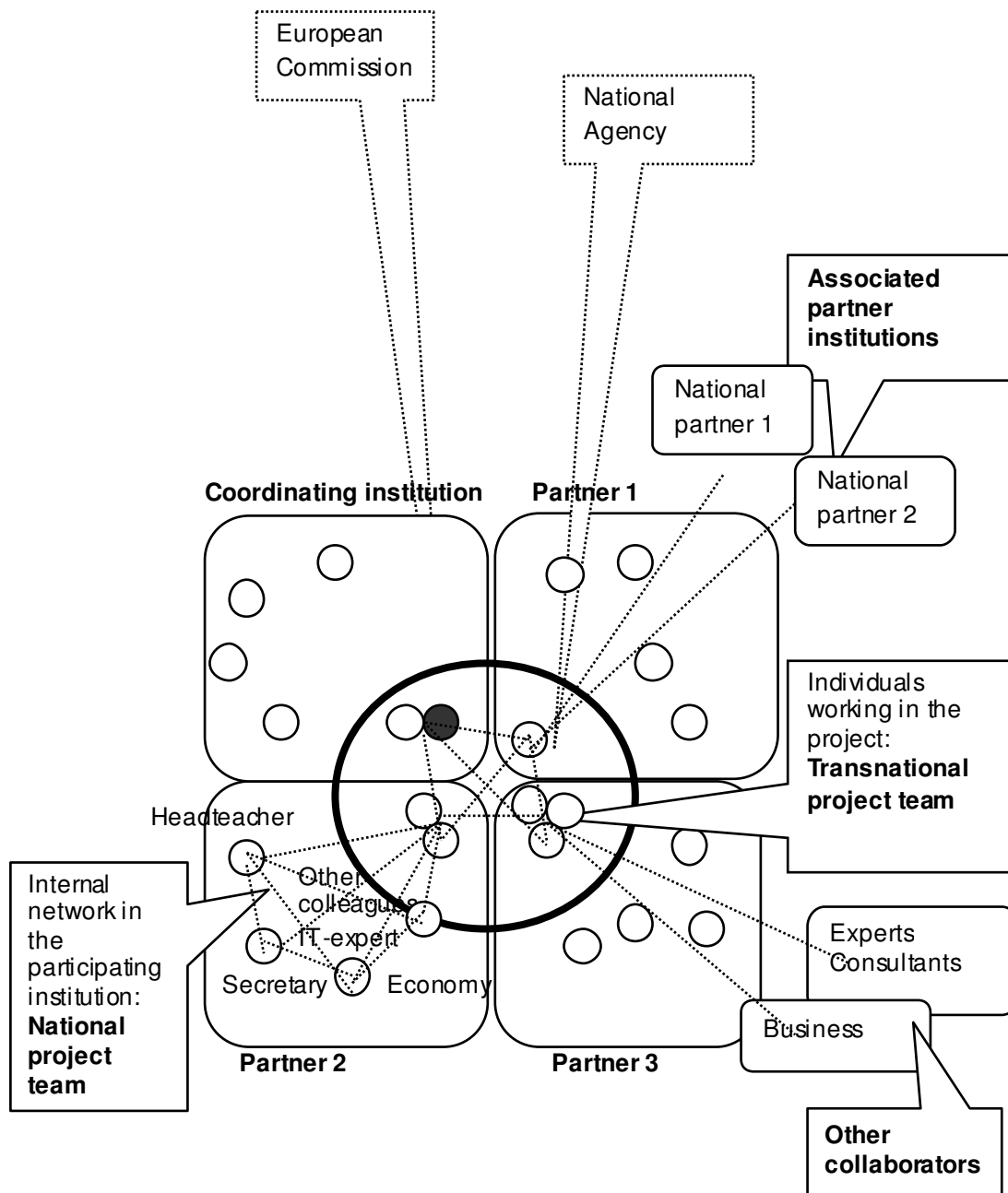
The main work is done in the national teams. The international steering group is mainly responsible for coordination, evaluation and monitoring, further planning and revision. Each national team has (at least) one representative in the international steering group.

Each partner can have external partners working nationally and /or internationally. These sub-partners can be other educational institutions, schools, advisors or experts as well as commercial partners and businesses.



**Structure of teams working in an European Cooperation Project:**

The following diagram shows the complexity of relationships in a centralised European project, and interaction to the social environment of the project. It also illustrates the need for a well established and effective communication and information system which supports the whole process and helps to avoid wasting time, misunderstandings and even conflicts.



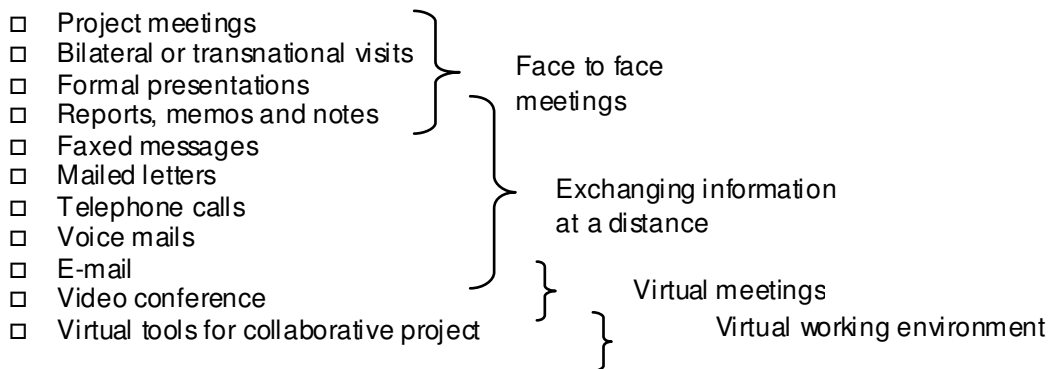
## 4. Setting up and maintaining a communication system

Project partners are separated by long distances and an effective communication system within transnational projects is therefore of paramount importance.

On the one hand, this requires a functioning technical system that supports the partners in talking, writing and working together. A culture of communication must also be established, so that the group is not just working together, but can use the advantage of a good working team for the progress and the success of the whole project – in spite of the long distances between them. Also communication with the project's environment must not be overlooked but integrated into the project communication system.

The ability to create good communications within the team is one of the key skills, together with leadership, required in a competent project coordinator.

Communication in European Cooperation Projects normally takes place in several of the following ways:



Using new technologies for project communication can help bridge long distances. The structure of the communication system has to be planned from the outset and also estimated in the budget. An IT expert should be appointed to set up and maintain these structures. This expert should be aware of the special tools that are already available and the different providers or institutions which offer them. If necessary, the IT expert should be responsible for developing a tool to suit the specific needs of the project. This expert should also give support to the other project members so that they can use these facilities effectively.

The communication system itself based on the use of new technologies is of no intrinsic value. It is an important task for the coordinator (with perhaps some assistance from the IT expert) to reflect on how the technological element of the communication system might be useful to the project:

- E-mail will probably be used for regular, daily communication and sending messages.
- Establishing an intranet on a project web site might be helpful for working together on a specific task in a virtual working environment.
- Video or telephone conferences can help to intensify the transnational team work between steering group meetings or between team members who do not travel regularly.

Other examples could easily be added. The important thing is to make a conscious decision about the medium of communication.

The attitudes of the users towards IT, their skill levels and infrastructure in place in their institutions must not be ignored. However what will be useful has to be a common decision of all project members set in the context of the money available and of the type of project.



## 5. Setting up an information and reporting system

It is important to develop an effective information, documentation and reporting system within the project. Each project member should be kept up to date on the present status of the project, work completed, the next steps, the outcomes of national and transnational meetings and the allocation of tasks. Information on all the planning tools such as the structured work plan, work units and Gantt charts should also be shared. They are in fact some of the most important and effective communication tools inside a project. Others are minutes of meetings and interim reports.

This documentation and reporting system is one of the tasks that has to be carried out by the coordinator him-/herself. It is also the principal tool for running and monitoring the project. A project intranet can be used for this task very effectively, although paper copies of meeting reports are still very welcome by all the members. Naturally the official reports and applications to the Commission need also to be distributed among all the project partners and a translation provided if the language of these reports is one, that is not common for everybody in the project.

## 6. Managing critical phases

You can always speak of a crisis, when the process is not going according to the agreed plan and serious difficulties arise. The reasons may vary. It is the coordinator's task to face this crisis and to find ways of steering the project through this period.

Critical factors should already be foreseen when planning the project in detail. The planning of work packages and the Gantt diagrams should warn against probable bottlenecks in terms of personnel or time resources. Regular monitoring of both progress and finances may help to anticipate a crisis and to organise counter-action at an early stage.

The best crisis management is to be watchful and be ahead of it – the earlier you catch it the smaller it might be and the easier to handle.

One main management task for the coordinator is firm control of the whole project at every phase.

Conflicts between teams and team members also have an important influence on the success of a project. It is one of the responsibilities of a coordinator to deal immediately with these conflicts in order to avoid a major crisis which will have an impact on the overall project. Conflicts within a partnership may even lead to the loss of a partner and this again can put the quality and the results of a project or even the project itself at risk.

A good strategy for dealing with conflicts and crisis in projects and agreements within the partnership on how to deal with such problems is essential from the beginning.



Project Organisation

# Team Building



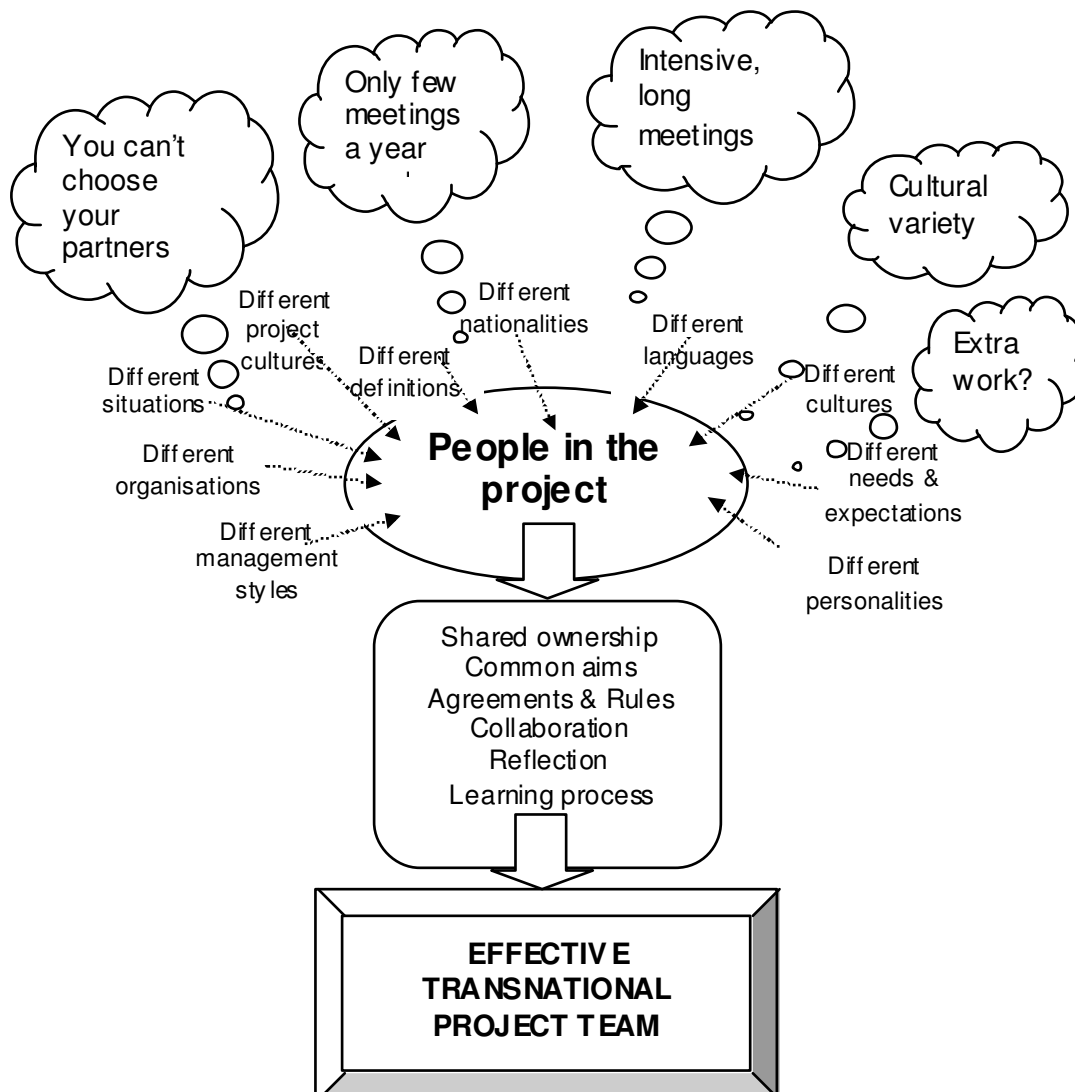
## 1. Background: Characteristics of transnational project teams

There are many manuals and theories about team building and effective teamwork. All these these theories should be taken into account when managing a transnational project but a coordinator should be aware that from a psychological point of view there are specific features of European Cooperation Projects:

1. When forming a project and the working group, it might be impossible to choose the team members.
2. The team members have the opportunity to meet each other (face to face) only once, twice or three times during the project year.
3. Meetings are very intensive and they normally only last a few days.
4. Cultural backgrounds might be very heterogeneous in transnational projects.
5. A European project usually means extra work on top of their normal workload.



# Team Building



Transnational cooperation is often built on unstable foundations. To reach a proper, mutual understanding is difficult for many reasons. There is the risk of too much talk, little action and limited results. Sometimes the whole project appears to be little more than a series of interesting visits.

Therefore the foundation of the project, its working culture and a team spirit must be properly established. Individuals brought together in a project are not yet a real team. But if such a group of different people enters a reflective process of team building, they can develop into a really effective, creative and learning team.



# Team Building

## Effective teams:

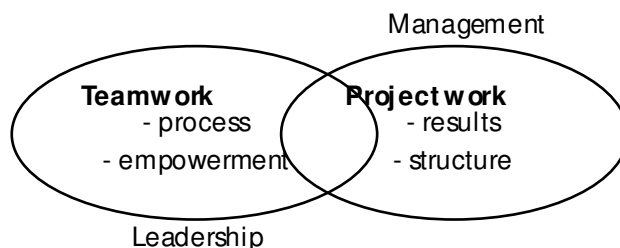
- Have clear and common goals
- Share responsibility for those goals among team members
- Measure their progress towards the goals
- Are fairly small
- Have the necessary blend of skills and roles (technical, problem solving and interpersonal)
- Have the resources needed to do the job
- Get support from their superiors
- Have agreed on basic rules for working together
- Have allocated appropriate roles and tasks to each member
- Have developed and agreed on practices and processes to get things done
- Support each other by listening, responding constructively and helpfully
- Recognise individual and team success
- Handle conflicts constructively and openly
- Produce a collective output which achieves the set goals
- Use time to know the members in the team
- Use time to understand cultural diversity
- Reflect frequently their working style and on all of the above factors

## 2. Project work as team work

There is a basic difference between the two concepts of project work and team work:

Traditionally project work is more technical and task oriented. It is concentrated on allocating tasks and producing results. The term *project management* is used to describe the handling of the project and the project coordinator is called a *project manager*.

The term *teamwork*, however, emphasises the human dimension. Teamwork is more process oriented. It is concentrated on experiential learning. *Leadership* is used to describe the handling of the team and the coordinator is called a *team leader*.

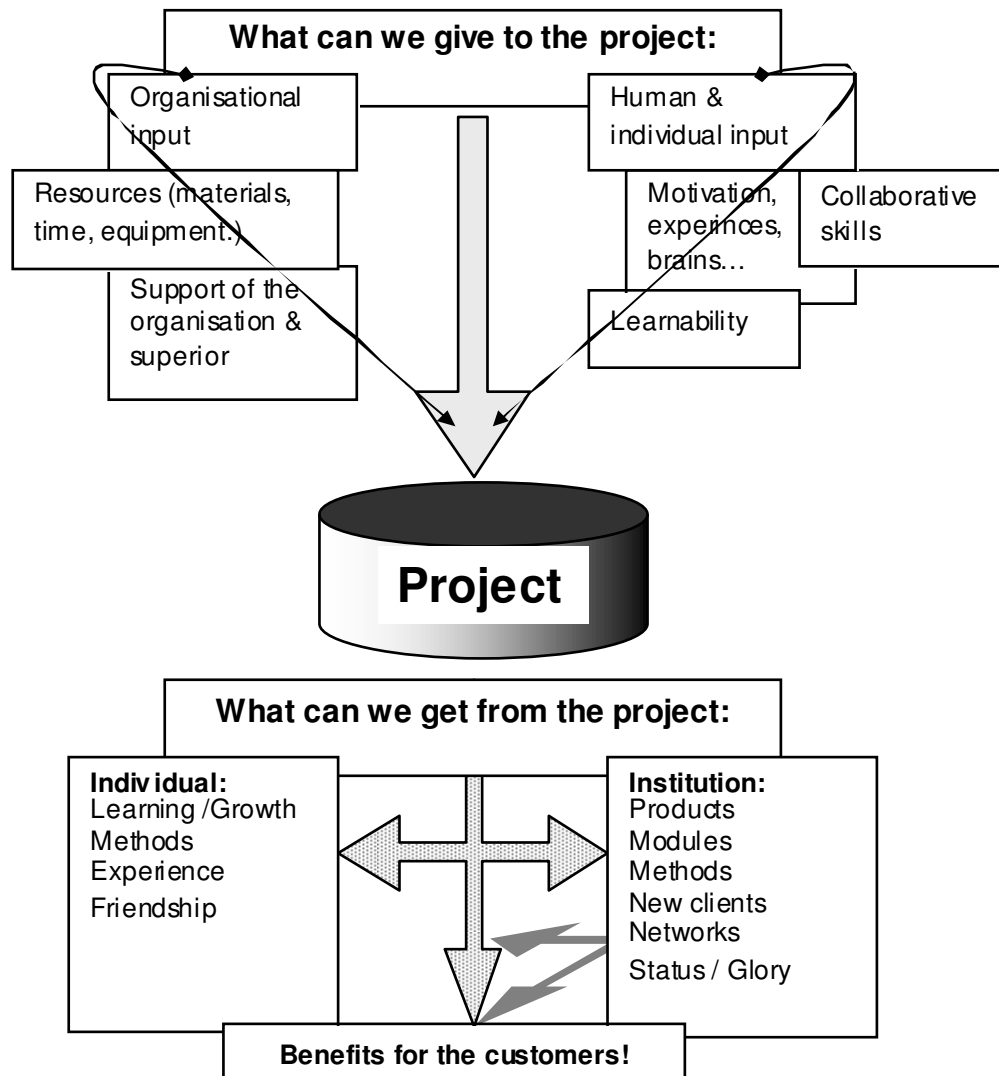


Ideally transnational project work takes both sides into account. A coordinator should take special care that there is enough space and time for real teamwork: for sharing and making use of different experiences and developing something new together.

### 3. Before starting: motivation and benefits

The success of team work depends on the motivation of the people involved and their motivation depends on the benefits each partner expects for themselves, their institution, and their customers. Therefore it is important that the project partners express and compare their respective starting points and their personal aims. A transnational project is not normally part of the everyday work of an educational organisation or its staff. Usually, those involved in such a project still have to continue their normal, daily routine. To feel empowered to do the project work they should seek the full support of the superiors and colleagues in their institutions. On the other hand, working in a transnational project is very interesting both on a professional and a personal level. The work itself presents new ideas and challenges to the project members and their institutions. Working together with international colleagues often involves making new friends, sometimes for life.

The diagram shows the input and possible output of a European Cooperation Project:



Team Building

## 4. Shared Ownership of the project

A European Cooperation Project is funded by the European Union in the framework of the of the SOCRATES programme. Does the fact that public money is invested mean that the European Union owns the project?

Certainly the European Union wants to reach its specific educational goals by funding the project, and the project team should be well aware of this aim.

On the other hand the team members invest their human capacity and the institutions behind them invest their resources in the project.

So is a European Cooperation Project owned by public authorities, educational institutions or by individuals?

Ownership should be one important topic discussed during the first meeting. When we talk about teams and motivation for team work participants should be aware that they are human beings and not institutions or nations. Therefore the owners of the project are first of all the individuals who have been involved in creating and developing the project concept. Each project member has the right to shape the aims and results of the project. After a good job the team members should be able to say: "We did it! It's our work and I was a part of it."

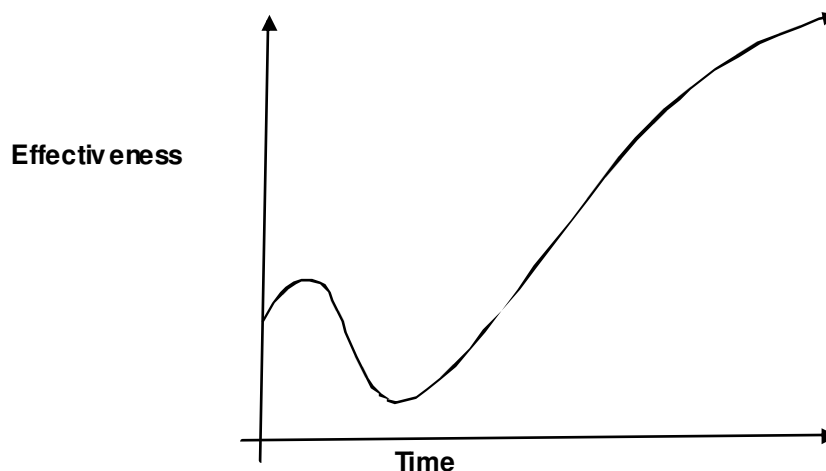
The worst mistake the coordinator can make is to create the impression that the project is owned by the coordinating institution. This is particularly likely to occur if the project application has been developed by the coordinator alone, rather than as a shared process. For a variety of reasons many SOCRATES projects are initiated in this way, it is therefore important to dedicate time on establishing shared ownership at the beginning of the project.

Shared ownership is a precondition for shared aims. A common project aim can only be agreed on in a team process in which everybody is involved. This requires a lot of discussion of values and definitions. But the time is well spent, since the map must be the same for everyone if you do not want to get lost (or lose somebody) on the way!

## 5. Development of the team

Putting a group of people together in a room will not get them working together as a team. It takes time for people to get to know each other and become comfortable working together., Fortunately the process can be accelerated by understanding the development a team normally has to go through.

The traditional way (Katzenbach & Smith) of describing the development of a team is the dead valley before real effectiveness:



When the team starts working people feel interested and enthusiastic because of new challenging tasks or new people.

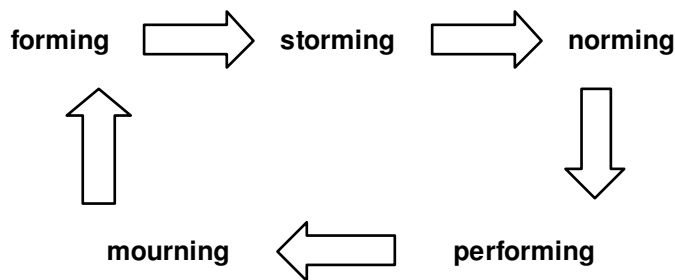


Team Building

In the following phase the team feels and acts in a scattered and confused manner because there is no real collaboration or concentration of effort. The only solution is to start reflecting openly about the tasks, ways of working and tensions within the team. Later – after succeeding and spending enough time on working and reflecting - the team can grow to be effective: finding real common aims and shared responsibility for high quality performance and supporting each other to grow both individually and together.



Another, similar way of describing team development is by a sequence of stages:



# Team Building

**Forming:** When a team is first formed members take tentative steps to find out more about each other. They may treat each other politely, some people may say a lot and seem enthusiastic, others may say almost nothing. It is a transitional phase from individual to team member status.

**Storming:** Members of the team start testing each other out more vigorously, finding out strengths and weaknesses. They begin to realise that the task is different and more difficult than they imagined. Some members can become *testy/pickly*, blaming others in the team for minor errors. Some may assert their past experience, resisting any need for collaboration with other team members.

**Norming:** The team realises that they can complete the task and achieve the goals. Team members find that they can accept the other team members, there are fewer conflicts and the basic rules are seen as important and realistic. Real cooperation starts.

**Performing:** The team has really settled down to the task and aims. In the end, the team knows how to exploit strengths and compensate for the weaknesses. Team members are supportive of each other and they use different roles for different situations.

**Mourning:** When a project or task has been completed it is time to celebrate what the team has achieved and prepare to move on to new challenges. The team may experience feelings of sadness at breaking up, but it is time to tie up loose ends and prepare to join new teams.

For a European project team to achieve a high level of performance means a really big step forward. Because of the many diverse factors already mentioned it is easy to be just polite and avoid deeper and open conversations and evaluations. It requires a great deal of encouragement, trust and discretion at the same time.

### Milestones on the way forward

Long lasting project work should have clear milestones during the project work. Certain achievements need to be rewarded. The reward can be a verbal acknowledgement or a cup of coffee or a big celebration. The type of reward does not really matter, the important thing is that the team is together and with justification, shares a sense of satisfaction with the results.

## 6. Different roles complement each other

The best teamwork results from the diversity of the individuals and roles. The key word for a team is not similarity. Qualified teamwork needs differences. Meredith Belbin describes 9 team roles, which are evident in successful teams. These roles can be taken up or dropped and one person can play different roles in different situations.

These team roles are:

**The chairman/coordinator** ensures that the team members' efforts and strengths are put to good use

**The shaper** makes the team look at where it is going – its objectives and priorities – and tries to keep the team activity focused.

**The company worker/implementer** turns the ideas and plans into practical tasks that people can actually get done.

**The completer/finisher** checks the details ensuring nothing is overlooked and no mistakes are made. Keeps an eye on time, deadlines and accuracy.

**The innovator/planter** suggests new ideas and creative solutions, identifies new opportunities and sees problems as opportunities.

**The monitor/evaluator** evaluates ideas objectively to see if they are realistic and profitable. Can interpret and evaluate complex issues.

**The resource investigator** keeps the team in touch with what is happening outside the team. Learns about ideas, information, developments in the outside world.

**The team worker** encourages others, helps others out and is sensitive to people's needs and feelings.

**The specialist** has specialist knowledge or experience to contribute to the team.

An experienced team player is sensitive to the situation in the team and can quickly take on the role(s) needed to move the work forward.

### The role of the coordinator

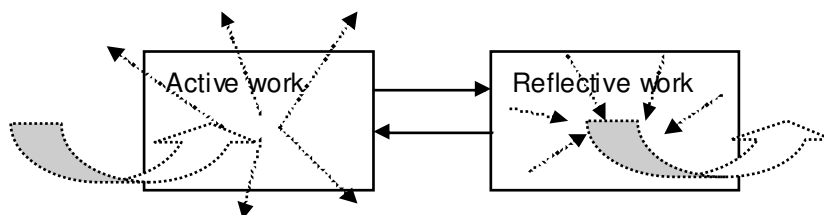
The coordinator can have many different names according to his/her duties or the point of view: They include manager, leader, listener, coach, trainer and so on. Though in building up an effective team the coordinator's role is significant, team building is not the only task. Everyone in the team should be aware and should feel responsible for the well being of the whole team. Just forming a team is not building one.

## 7. Learning and growing through team work

Transnational projects are a good examples of a learning process.

### Active vs. Reflective work

Team work should consist of both *active work* and *reflective work*.



**Active work** means finding the right tasks and allocating them. Active work is performing adequately and effectively in a certain situation. All the team members should actively fulfil their tasks and contribute information to the team. Active work is the work which brings the actual results.



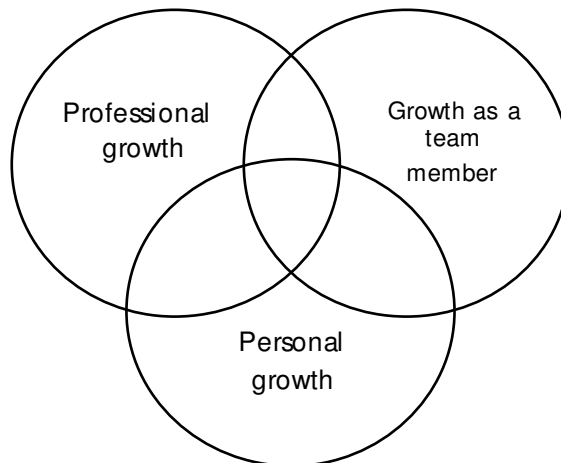
Team Building

**Reflective work** is mostly focused on the work already done. Through reflective work it is possible to learn from the process, to make generalisations and generate theories. The team members review their work styles, but reflective work is also a new seed for the future in asking questions like: How can we work together more creatively and effectively?

Reflective work is often neglected because of a lack of time – this is the reason why many teams fail. The time reserved and spent on reflective work is as important as the active and productive time. It is important to agree this together as a team



### Human growth through teamwork



When we work together with other people we are learning and teaching new things, we are giving and receiving. However learning team work is about more than just professional development.

Learning together also means growth as a co-worker through improved skills such as interacting, finding the right roles, giving and receiving constructive feedback, creating a supportive environment etc. These social skills are particularly enhanced in European Cooperation Projects.

Since transnational projects tend to be rather intense processes members of a good team get to know each other well and can act also as a mirror to each other enabling some reflection on personal growth.

All three types of growth rely very much on feedback from the other team members:

- ✓ Everybody needs feedback:
- ✓ Learn to give feedback
- ✓ Ask for feedback
- ✓ Encourage people to give feedback to each other
- ✓ Remember constructive feedback.

## 8. Project meetings and the team building process

Meetings are very important elements of team building in international project work. They provide the only opportunity to get to know everybody in the project. During meetings it is possible to resolve misunderstandings, to ask questions and discuss issues until a consensus is reached.

### The first meeting

The first meeting is a crucial point for the whole project. Not only because of the many important content and administrative matters to be settled, but also because a specific group feeling is created. The whole meeting is a series of team building activities. However team building is not a one-off task, it is a continuing conscious process. It should therefore be evaluated carefully and frequently.

Team Building

**Team building through working**

The best team building is the real work. Meetings should not just be used for planning new tasks to be carried out at home and for evaluating work already completed. Achieving results together or finding a common solution to a problem enables the team to reward itself through joint work. During the meetings participants can also advance their shared tasks and they can support each other. Working methods can vary from time to time and according to the task, but subdividing the big team into smaller mixed groups is often very efficient.

**Team building through social events**

During the meetings there is plenty of time to get to know each other, not only during work sessions, but also through social events. Social events can be visits, meals, nights out, cultural events, surprises, speeches during dinner, special guests, organised team exercises, etc. Team members may offer a variety of different talents such as singing, acting, telling jokes, story-telling, dancing. Sharing these talents can be small but significant bricks in building the team.

**Basic rules and norms of the team**

Sooner or later a team needs to agree on basic rules for working together. These rules can be further complemented later in the project. In transnational teams the members must be sensitive and broad-minded in imposing and implementing team rules. If intercultural differences and personal attitudes are not taken into account some team members may feel constricted by rigid rules, this might lower their input to the project and harm the team building process.

If some things just happen frequently without any agreement - for example coming late to the meeting sessions – it slowly becomes a norm in the team. If these unconscious norms disturb the efficiency of the team work it needs an intervention by the coordinator or by another team member. The intervention should lead the team to open reflective work and result in a new common rule and a cleared atmosphere.

**9. Managing conflicts**

As it is people who work together in a project team there might also be misunderstandings and conflicts, arising from very different sources.

Conflicts are natural and not failures. They have important functions:

- They show up differences and can help to create a new common understanding.
- They make complexity and variety possible but also help to establish common interests.
- They make change possible but also help to preserve what already exists

**To avoid conflicts is not possible and not useful!**

There are strategies to manage conflicts in a positive way and to avoid their destructive potential. One precondition for constructive conflict management is to understand that **communication takes place at three levels at the same time:**

Rational level	Emotional level	Structural level
Realistic and rational aspects: contents, themes, topics	Emotional aspects, relationship between the people who are communicating	The frame work around the communication such as the situation, time available, location, social situation, personal feelings, work pressures and the norms, standards and values of that workplace
What is the matter?	How does our relationship stand?	
Direct communication tools: words, writing, numbers, graphics etc.	Indirect communication tools: expression, forms of body language like facial play, gestures, posture, movements, intonation etc.	Room, seating arrangements, competence, clothes etc.
A relatively clear outcome	There are possibilities for misunderstandings	The outcome depends on the familiarity of the person with the relevant structures



Team Building

It is always helpful to tackle conflicts on a rational level and to keep the person who is involved in high esteem as a person (emotional level). Try to reach a common understanding of the problem and to create a win-win atmosphere at the emotional level. If somebody feels a loser in a conflict this might result in the loss of the individual and his/her energy in the team.

Conflicts are nearly always related to a failure of communication. Each person perceives the world with their own senses, therefore perceives the world in a way different from other people and creates an individual map in their mind. This is one of the reasons why conflicts arise.

The following statements may help to understand some of the reasons.

***It is not relevant  
what someone says,  
how it is meant,  
and  
how it will be understood!***

***Said is not heard!  
Heard is not understood!  
Understood is not accepted!  
Accepted is not done!  
Done is not natural!***

Conflict management should be taken into account when forming the working culture of the team. The team can agree about an open and positive attitude towards conflicts in general and agree procedures to handle such situations.

## 10. Team building and the communication system

### How to keep up team spirit between the meetings?

Because of the long distances communication is one of the main components in European Cooperation Projects.

The communication system – such as agreements on using information technology (IT) - should carry the project forward while people are unable to meet face to face for long periods. Information technology which is used to keep up qualitative teamwork is also called *group technology* or *collaborative virtual project management environment*. In a project there are four main tasks for IT in maintaining the team:

- Communication (to talk)
- Collaboration (to work)
- Coordination (to check and share)
- Connection (to care) and the feeling of communality

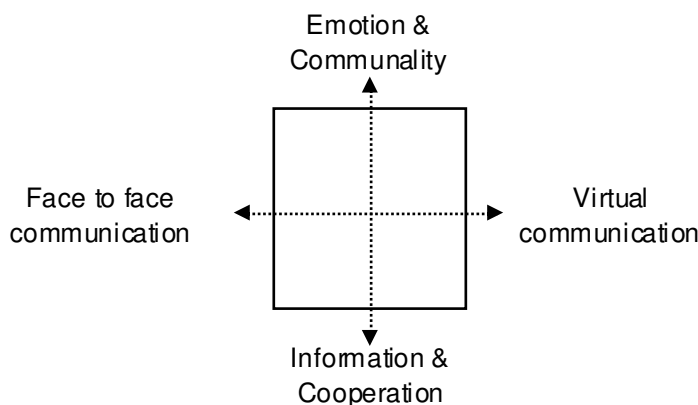
The specific nature of European Cooperation Projects has implications for their communication systems:

1. The long distances involved require a good format for the communication system and agreement on clear rules concerning its use.
2. Messages must be exact because of different cultures and languages.
3. The pressure to keep in contact must be seen against the background that the project is only a (small) part of the team members' workload.

### From face to face meetings to virtual communication

A communication system means both the face to face interaction with all the rules, agreements and documentation included and the IT based long distance interaction.

A communication system should also mean both the exchange of information between the participants and the feeling of communality within the project.



TEAM BUILDING

**Elements of virtual collaboration**

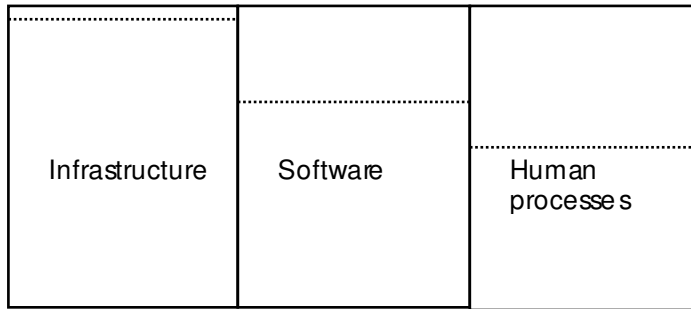
Three pre-stages for successful virtual collaboration are the *infrastructure* stage, the *software* stage and the stage of *human processes*.

- **Infrastructure** is the most advanced of the three. That means cables, computers and physical connection systems like the WorldWideWeb. Infrastructure has been under construction for a long time and is appropriate for many kinds of activities.
- **Software** means programmes made for the people who are supposed to use the communication tool in working with others. There are also many different kinds of software for groups, called groupware. But most of this software is designed for transferring information only and does not take into account processes between people like learning, group dynamics and the common creation of new things.
- **Human processes** are often forgotten when developing communication systems from the engineering point of view. Human processes refer to activities like team development, knowing each other, trust, skills for open interaction, common aims, caring and feelings of communality



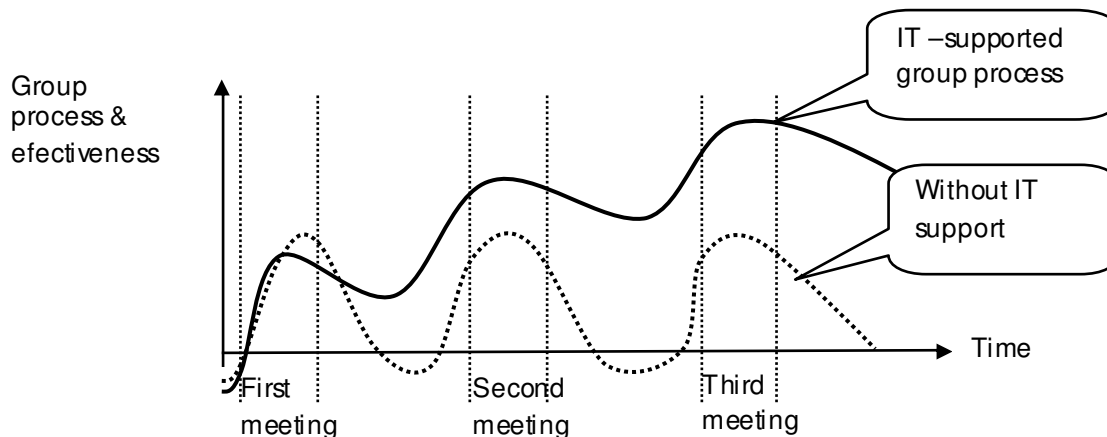
Team Building

Successful long distance communication between people requires all these three elements to be highly developed, but in reality their “readiness” for virtual collaboration differs considerably:



**Group process in transnational project work**

A transnational project is always a process between people. Typically, during the process of project work the enthusiasm of the team varies considerably. The group process and the feeling of communality tends to be high during the face to face meetings. During these meetings participants can talk in depth about their values and common aims. Real people can be discovered behind the working roles. Between meetings the intensity of the group process is slowly decreasing and people only fulfil their tasks (normally just before the deadline).



**IT and group process in long term collaborative learning**

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A smart virtual network solution can support the constant interaction of team members and their dedication to the project.

### Requirements of an IT-based communication system

The communication system can be a tool of power or of equality. Using any IT system for communication can cause inequality between participants because of ownership, skills or language. It is the coordinator's task to ensure the following requirements of the communication system:

- The partners have access to the necessary technical resources.
- The system makes all relevant information available and transparent.
- The team shares the ownership of the tool and the skills for using it.
- Working virtually together needs new virtual group dynamics.
- The system is easy to use and flexible for modification if needed.

### Sources of problems with using IT

Although we can see that a communication system is very important to a project it is not easy to start using one. There are many reasons for this initial inertia:

The first reason is failure of the technology itself. Computers, modems, connections or software may not function as the user expects or they are just incompatible.

The second reason for failure is related to the user of the technology. Changes or new methods are never easy in the beginning. Most common arguments against using any specific group technology-communication system are:

- Lack of time
- Producing (writing) is unnatural.
- Information technology is unfamiliar
- Software is slow and confusing
- Double work
- Attitudes and fears
- Lack of commitment
- Benefits are not enough
- Ownership of the communication system – *"It's not mine"*

Sometimes these arguments are excuses or prejudices. Sometimes negative experiences are the reason why project members hesitate to use more sophisticated IT systems for communication purposes.

Here again a coordinator should be sensitive about hostile attitudes and at the same time promote IT as a further learning opportunity in a European Cooperation Project.



Team Building

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## 11. Check list: Activities that help building a team

- Getting to know each other as people
- Getting to know each other as professionals
- Getting to know the special skills of each partner
- Getting to know the motives of the participants to work in the project
- Getting to know the motives of each institution to work in the project
- Giving the team a name
- Defining the main concepts and aims of the project
- Setting the evaluation criteria and methods
- Working with motivated and committed individuals & institutions
- Clearly defining roles and responsibilities
- Agreeing how to handle conflict situations
- Sharing the ownership of the project
- Agreeing on basic rules for the team work
- Reflecting the work and progress of the team
- Using a suitable communication system
- Employing variable working methods at the meetings
- Recognising and sharing individual expertise
- Encouraging reserved members
- Celebrating milestones
- Dedicating enough time to social events
- Preventing isolation - through politics, age, economic circumstances, competence within the project, linguistic skills
- Guiding and leading – showing sensitivity to the feelings of others



TEAM BUILDING

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# Project Meetings



## 1. Aims and objectives

The organisation of successful meetings is a crucial element in the overall success of a project and meetings therefore play an essential part in project management. Regular meetings help to:

- Ensure the smooth running of the project and completion of targets
- Develop a successful working relationship between the partners
- Provide an opportunity for the face-to-face contact which facilitates the negotiation of work plans and allocation of responsibilities.

## 2. Key meetings in the lifetime of the project

The objectives of each meeting will vary according to their place in the cycle of the project. The first and final meetings will be key events and will focus on specific objectives while intermediate meetings will have more general objectives:

### First meeting

- Team building
- Agreement on work plans
- Allocation of tasks
- Agreement on targets and deadlines
- Development of evaluation strategy
- Agreement on financial arrangements
- Confirmation of contractual arrangements between the coordinator and partners

### Intermediate meetings

- Monitoring project development
- Review of progress on targets
- Monitoring of budget and financial procedures
- Review & revision of work plans
- Implementation of evaluation strategy
- Consolidation of team building

### Final meeting

- Final review & revision of work plans
- Final evaluation
- Acknowledgement of commitment & contributions to project
- Celebration of achievement
- Discussion of follow-up/exit strategy
- Collation of contributions to final report.

Each meeting can be viewed as marking the conclusion of one stage of the project and the beginning of a new stage. It therefore represents a milestone in the history of the project and provides an important opportunity to celebrate progress and the achievement of the team.

## 3. Planning of meetings

### Frequency and timing

The organisation of regular meetings will have been discussed by the project team and costed into the original application. The timing of the first meeting is particularly important to ensure that the project gets underway. However, it is not advisable to organise a meeting in early autumn, as the transfer of the grant from the European Commission to the coordinator can be rather late and some partners may not have access to alternative sources of funding.

Subsequent meetings will be vital to sustaining the impetus of the project and smooth communication between the partners. An average of 2 or 3 meetings per year



# Project Meetings

throughout the lifetime of the project should assist with the efficient management of the project.

It is advisable to agree the dates of meetings throughout the year well in advance to ensure the availability of all partners.

### **Location**

The first meeting may be organised in the coordinator's home country so that he/she can control arrangements and establish a model for the future. Some subsequent meetings should, however, be located in the partners' countries as a means of sharing responsibility and ownership of the project.

Distance is also an important consideration and varying the location of the meeting will help to avoid disadvantaging partners from more distant countries. Providing direct access to the culture and language of other members of the project group will enrich the experience for everyone and also improve transnational relations offering familiarity with the partner institution and working styles and an insight into potential problems.

## **4. Management of meetings**

### **Designation of roles**

The role of the chairperson is crucial in creating the harmonious and productive working environment which will result in effective meetings. The chair must therefore:

- Encourage open and clear communication
- Encourage everyone to contribute to discussion
- Support the less experienced and make everyone feel valued
- Discourage strong or opinionated individuals from dominating discussion
- Ensure that the objectives of the meeting are achieved.

The nomination of the chairperson must be agreed in advance and will probably be assumed by the project coordinator, at least for the first meeting. Continuity in the chairing of meetings helps to establish an effective model and keep control with the coordinator. However, the hosting arrangements may be undertaken by one of the partners in their own country, while the coordinator retains responsibility as chair.

Other key responsibilities should be allocated at the beginning of the meeting and rotate for future meetings to share the workload and involve all members of the group. It is important to agree who will take notes of the meeting and, if appropriate, who will record essential points on a flip chart. The chairperson will need to steer the discussion and manage the agenda and should not therefore be responsible for these matters.

### **Conduct and etiquette**

The chair must be sensitive to different cultural approaches and working practices and encourage all members of the group to share this awareness. Misunderstandings can easily arise over issues such as smoking or lack of punctuality which may be perceived, by some, as breaches of etiquette. The chairperson may also wish to encourage participants to switch off mobile phones during formal discussion. Including regular breaks in the agenda will allow time for such activities. In some countries it may be important to include a long lunch break and work later into the evening.

### **Language**

It is obviously essential to establish good communication between the partners in order to achieve an effective working relationship. Agreeing the language of communication is the first important step in this process.



# Project Meetings

Invariably, the partners will have different levels of fluency in the *lingua franca*. It is the responsibility of the coordinator and/or chair of the meeting to ensure this does not give rise to inequalities or disenfranchise any members of the group. No-one should feel inhibited or reluctant to share ideas and contribute to discussion. Conversely, native speakers or partners with good language skills should not dominate the meeting. Some simple measures can be taken:

- Check frequently that there is a common understanding of points agreed
- Avoid use of complex language
- Clarify points which are poorly or ambiguously expressed
- Prepare a check list at the end of each day
- Make frequent use of visual aids (eg flip chart to list key points)
- Provide dictionaries
- Circulate a clear, concise summary of each meeting.

All group members should be encouraged to be mutually supportive and tolerant of colleagues with less developed language skills.

The use of interpreters will undoubtedly help to resolve any language problems within the group. However, the costs of professional interpreters are high and the process can slow the pace of discussion and detract from the informality of the meeting.

### Structure of the meeting

Project meetings may vary in length with an average of 2-3 days and will invariably take place over a weekend to make use of APEX flights and so reduce the costs of travel. The length of the meeting is inevitably a compromise between the time available within the project team and the tasks which need to be completed. It is important to remember that the partners have forfeited their free time and will be tired at the end of a full week's work.

To assist the group in working effectively together the structure of the meeting should therefore:

- Provide a balanced programme
- Include free time
- Include social activities
- Create regular breaks in the agenda for tea/coffee
- Avoid evening meetings
- Allow participants time to recover from their journey before the beginning of the meeting.

It also helps to vary the format of the meeting with a combination of plenary discussion and group or pair work. The intensity of prolonged, uninterrupted discussion in plenary style can be tiring and participants will become restless and stale. Some may also struggle to maintain the concentration needed to follow discussion in an unfamiliar language. Working in groups/pairs will also reinforce the team ethic.

Breaking up discussion can give a fresh impetus to the meeting and encourage the more diffident members of the group to contribute in a less intimidating environment.

In planning the meeting it is important to give some thought to a social programme for the group which, otherwise, will mainly consist of shared meals. This may include a city walk or cultural event. The value of informal networking should not be underestimated and social activities should:

- Offer relaxation
- Encourage the less experienced partners to contribute in a less formal situation
- Provide leisure time for participants who will have sacrificed evenings/weekends to attend the meeting



# Project Meetings

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- Create an informal environment as a stimulus for new ideas.

But remember that the purpose of the meeting is to work on the project!



## The Agenda

A clear, well-structured agenda is a vital element in the organisation of a successful meeting.

The preparation of the agenda should be a shared process, so that all members of the group have joint ownership of the meeting. In advance of the meeting, the partners should be consulted on the preparation of the agenda and the draft circulated for comment. All members of the group should feel that they have contributed and that their views are represented. Imposing an agenda on the group will cause resentment and obstruct the development of a good working relationship.

It is important:

- Not to overcrowd the agenda
- To set realistic and achievable targets
- To set realistic and achievable targets

The chairperson will need to ensure that the group keeps to schedule and does not deviate from the agenda, but disciplined management of the agenda is a shared responsibility for the whole group.

The chairperson should also use judgement in applying flexibility and making time for the discussion of new issues which may arise during the course of the meeting. The agenda should be reviewed at the end of each day and any amendments agreed by all the partners. A resume of points agreed will also help to avoid misunderstandings and ensure that there is consensus on action agreed.

## Practical Arrangements

Efficient organisation of the practical aspects of the meeting is an important element in ensuring its success. Comfortable and convenient arrangements will help to create a good working atmosphere. Participants should not have to waste time worrying about practical matters, so that they are able to concentrate on the professional content of the meeting.

### Accommodation

- Placing the group together in the same hotel will assist group dynamics and maximise on informal networking possibilities
- The project budget will limit the choice of hotel, but a reasonable standard of comfort and facilities are important for good morale
- Choose a central location easily accessible to public transport. (Participants who have travelled long distances and may be unfamiliar with the local language will not welcome a complicated journey from the airport.)

### Meeting Place

- Locate the meeting in an environment with access to essential office facilities such as telephone, computer, photocopier, internet access
- The meeting may be organised at the host's workplace with the advantage of familiar territory and administrative support (and the potential disadvantage of interruption!)
- Ensure that the meeting room offers adequate space and a comfortable temperature
- Break-out rooms may also be required for group/pair work.
- The meeting place should be easily accessible from the hotel (and may even be based at the hotel if appropriate facilities are available within the project budget)

## Meals

- Meals play an important role in the success of the meeting by providing an opportunity for relaxation and an informal exchange of ideas and views
- Book restaurants in advance so time is not wasted or arrangements revised
- Check if any group members have special dietary needs
- Make sure that everyone is clear about the rendez-vous time and place for each meal
- On a short working day a buffet/sandwich lunch at the meeting place will save time. On a full working day a lunch break outside the meeting place will provide some relaxation and a welcome interruption of the formal discussion
- Tea and coffee also provide essential breaks and an opportunity to move away from the meeting table.

## Transport

- Try to keep the use of public transport to a minimum, so that time is not wasted travelling between locations
- Give clear directions in advance on how to reach the hotel and meeting place
- Provide maps of the key locations and, in the case of large cities, the public transport system
- If possible, the host should rendez-vous with the group at the hotel and accompany them to the first meeting.

## Resources and documentation

A check list follows of the resources required to service a meeting efficiently:

### In advance

agenda  
contact details for all the partners  
maps  
instructions on practical arrangements

### During the meeting

visual aids: flip chart, overhead projector  
dictionaries  
access to photocopier  
access to computer & printer  
summary of each day's discussion  
check lists/action plans  
mineral water

### After the meeting

notes of the meeting  
agreed action plan



# Project Meetings

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# Evaluation & Dissemination



# 1. The role of evaluation in a European Cooperation Project

## Evaluation, what does it mean?

For most project coordinators the process of evaluating a European Cooperation Project begins as they construct their application for funding and make their bid to the European Commission. Ideally these guidelines should be used at that time in the application procedure or, if a Preparatory Visit has taken place, at an even earlier stage. However for many projects the real implementation of an evaluation strategy will begin at the first project meeting and these guidelines have been written with this in mind.

Measuring the **impact** of projects is not easy, it is much more straightforward to measure the **outputs** – publications, courses, websites. Work already carried out on the evaluation of decentralised projects indicates that the most productive form of evaluation is one which involves all the project partners, begins with the project itself and is a result of debate and agreement within the partnership. Above all evaluation is a process that must not be left to the final stages of the project. By this time objectives and results will have been achieved but without evaluation. As a consequence the project team may have failed to put forward or even to note desirable modifications. Thus opportunities will have been lost and the quality of the project impaired.

In the context of European project work evaluation is a process:

- It supports the project and acts as a check on whether the targets have been met;
- It allows the results to be improved based upon judgements made about the value and quality of the project;
- It simplifies decision making and can assist with fundamental changes in the project, should these be necessary.

## Why is project evaluation important?

The first answer to this question (and one occasionally supplied by project coordinators) is because it is a requirement of the funding organisation, in this instance the European Commission. However this is a short-sighted view. Formative evaluation is a fundamental tool for improving good practice and therefore performance of any project. Indeed the requirement for an evaluation strategy is a feature of most, if not all funding programmes inside and outside of the EU. Improvement is in itself important. It shows that the project is flexible and helps to convince the partnership that the process of evaluation is for their benefit as well as being a requirement of the funders. It should also show how others outside of the project have benefited and help to raise standards for future centralised projects.

The evaluation process suggested by this document aims to:

- Simplify the consultation process within the project partnership;
- **Predict the development of the project and prepare the project team for pressure points in the course of the project life span;**
- Assist the project coordinator in quantifying results and relating these to the project objectives;
- Reduce the workload of constructing the final or interim reports.

## The stages of evaluation

The following evaluation plan is based on the concept of self-evaluation. However many centralised projects do appoint an **external evaluator** or 'critical friend' and extra guidance has been provided for incorporating the external evaluator in the overall evaluation strategy for such projects. The evaluation process should be seen as a number of stages. In common with the other activities in the project some of these stages may overlap.



Evaluation & Dissemination

1. Planning for evaluation
2. Collecting and interpreting evidence
3. Using the evidence to implement changes
4. Incorporating the evaluative data into the final report

### Cross evaluation with another project

This is a practical proposition when two or more projects are engaged on similar themes or working with similar target audiences. The two projects each devote some evaluation time to the other project. There may be considerable savings in the planning stage since both projects can benefit from the same documentation. Cross project evaluation also brings other benefits since the two projects will become linked and a certain amount of cross fertilisation of ideas and techniques is inevitable. Within the current Socrates framework there is also the potential for the further, and joint development of both projects as a network.

## 2. Planning for evaluation

### How do we begin?

An evaluation will be most useful and effective if it is introduced at the start of a project. This may be at the initial meeting with partners or better still during the preparatory visit when the project is still being shaped. Project coordinators may find a variety of responses from their project partners to these ideas. To work in a culture of evaluation may not fit in with the style of operation of everyone and it may be necessary to have ready some arguments which raise awareness of the evaluation process. It could be for example that colleagues may wish to adopt some of these strategies for other purposes outside of the project or for use in other projects. This should be welcomed – an institution that understands the relevance of evaluation will enhance the whole partnership.

### Budgetary considerations

Evaluation needs to be embedded into the budget as well as into the methodologies of the project. Therefore it is important to take account of the time commitment for the project coordinator and also for the partners. There may also be financial implications if an external evaluator is to be appointed and is expected to attend project meetings or other events such as courses.

### Reaching agreement on the project evaluation strategy

The range of themes, target audiences and participating institutions makes the construction of an evaluation model for centralised projects a demanding task. Nevertheless all projects are expected to have an impact on a number of **LEVELS** and these should predispose the project partnership to choosing from a list of **INSTRUMENTS** that may be useful for measuring and showing the progress and achievement realised during different stages of the project.

Ideally the Evaluation Levels should be circulated to all of the partnership before a project meeting. It is the task of the project partners (and the coordinator) to decide provisionally which of these levels will be important in the project. Several people may be involved at this stage. The partners and coordinator should consult widely with the colleagues who will ultimately be involved in the day to day operation of the project along with institutional or line managers who should be included at this stage, even if their involvement in the actual project will be limited. Of course using the **levels** alone will merely indicate whether a target has been met or not. It is the use of the **instruments** that will give a real measure of project performance and show the potential for change and improvement.

### The first project meeting

The Evaluation Strategy should be an agenda item. During this meeting it is important that each partner has the opportunity to explain their choices of evaluation levels. Then it is necessary to come to an agreement within the partnership of which of these levels will be adopted by the project. This process may take a considerable time. There will be instances where some aspects of the project can only be evaluated by the coordinator, or by certain partners. Therefore although it is desirable that the partnership agree on most of the levels there will be some that are particular to some partners.



Evaluation & Dissemination

**The following tool can be used for setting up a framework for evaluation by answering these questions:**

- ✓ What is the impact of a centralised project?
- ✓ Is there evidence for this impact?
- ✓ Are there changes or improvements in any of the following levels of project operation?

### **Evidence Of Effects On The Target Group**

Some target groups can be identified easily and the effect of the project assessed. The partnership may insert additional levels in this section depending on the nature of the project:

#### **Schools and colleges**

##### **Teachers:**

- Subject skills
- Foreign language skills
- ICT skills
- Use of new teaching methodologies
- Changes in motivation
- Project management skills
- Awareness of European citizenship

##### **School Management:**

- Whole school management skills
- Management of specific issues

##### **Support staff**

##### **Pupils:**

- Subject skills: knowledge, values and attitudes
- Methodological skills
- Motivation
- Social skills
- ICT skills
- Foreign language skills
- Awareness of European citizenship
- Awareness of other issues: equal opportunities, human rights

#### **Other educational institutions:**

In addition:

- Skills, knowledge and attitudes related to vocational or specialised education
- Skills knowledge and attitudes related to work placements or other interactions with enterprises

#### **Community and voluntary associations**

The project group should insert their own levels related to the type and functions of the association

#### **Non-governmental organisations**

The project group should insert their own levels related to the type and functions of the NGO

#### **Others**

The project group should insert their own levels related to the type and functions of the other organisation



### Evidence Of Effects On Project Structure

Which aspects of project structure will be part of the evaluation strategy?

#### The appropriateness and clarity of the objectives

- The initial objectives are agreed by the partnership
- Changes to the objectives are agreed by all the project partners
- Additional objectives are agreed by all the project partners

#### The outputs of the project such as courses, website, publications

These outputs should be subject to a separate customised evaluation aimed at the appropriate target group

#### Adherence to the timescale

- **The project adheres to an agreed timescale**
- Changes to the timescale are discussed and agreed by all the partners

#### The quality of the project in terms of the impact at local/regional/national and European levels

The project has an impact at a variety of levels appropriate to the subject matter and to the stage of project development

#### Evidence of innovation and a variety of approaches in the partnership (individually or collectively)

For example:

- The partnership adopts a varied range of approaches
- The partnership uses innovative methodologies
- The partnership uses new and unfamiliar technologies
- The partnership gains and applies expertise from each other

### Evidence Of Effects On Project Management

Which aspects of project management should be part of the evaluation strategy?

#### The quality of project management

- Clarity of project coordination
- Frequency and effectiveness of communications within the partnership
- Quality of project leadership
- Commitment to the project by the coordinator
- Quality of the relationship with the partners
- Equitable treatment of all partners
- Quality of the management of monitoring and evaluation by the project coordinator

#### Detailed arrangements for the administration of the project

- The project partners are made aware of the administrative structure of the project and introduced to administrative staff
- Meetings take place at the agreed times and locations
- Meetings follow an agreed agenda circulated beforehand
- All partners are given the opportunity to contribute to the meeting
- Minutes are taken and circulated soon after the meeting
- The partners are involved in the production of interim and final reports

#### Detailed arrangements for the financial management of the project

- The project partners have a copy of the latest project budget
- The project partners are made aware of the financial implications of the project
- The project partners are asked to provide their individual financial accounts at a reasonable time before interim and final reports are due

### Evidence of Good Transnational Partnership

The quality of the partnership itself may be evaluated. Which aspects should be part of the evaluation strategy?

**Strong commitment to the project by each partner**

- Each partner commits time and resources in line with the agreed workplan
- Each partner attends meetings, courses and other events
- Each partner takes part in the agreed dissemination programme
- Each partner responds to requests for financial or other administrative material on time
- Each partner shows a willingness to solve problems
- Each partner looks for opportunities to enhance the project

**Agreement amongst partners**

There is clear evidence of sharing of roles and responsibilities by each member of the partnership

**Effective communication amongst partners**

- Communication is effective and takes into account any disparity in the provision of IT within the partnership
- Communication takes into account the language competence of the partners
- Communication does not favour any partner or exclude partners from important project information

**Development of trust and positive attitudes**

Project partners develop a sense of ownership of the project



# Evaluation & Dissemination

### 3. Collecting and interpreting evidence

It is important that the process of collecting evidence has also been built into project planning and that all the partners understand their responsibilities in this area. Evidence may be collected before the project has begun and this base line will be especially useful if the project theme concerns the improvement of a particular problem area or issue. In some projects it is all too easy to confuse documentation with evidence. Documentation is a record of all that has happened during the life of the project. It may include minutes of meetings, agendas, contracts, the programmes for training courses etc. It will not necessarily constitute evidence unless it helps anyone form a judgement about the achievement of aims and objectives.

**Quantitative and qualitative evidence**

Quantitative evidence is relatively easy to collect and to analyse. It may include for example the number of teachers attending a training event, the number of 'hits' on a website, or the number of returns of reply slips from the leaflets a project has distributed.

Qualitative evidence is less easily collected and analysed. It tends to deal with opinions and ideas rather than with hard facts. It is essential that the methods of collecting this type of evidence take account of equal opportunities issues and where appropriate to the project assemble material from people with different perspectives. Most projects will make arrangements to collect evidence from 'users' or 'visitors' to the project. These might include teachers who choose to use a project product in the classroom or attend a particular training event. These contingencies are reviewed through appendices mentioned later in this document. However self-evaluation is also targeted at the project partnership. For this relatively small group different instruments may be used:

- Awarding a score for particular targets;
- Individual interviews;
- Small group discussions;

- A place on the agenda of a project meeting.

There are a number of inhibiting factors within this process and project coordinators need to be particularly sensitive and perceptive if they choose to include an open-ended discussion on the agenda for a project meeting. This may be a truly testing time for the integrity of the partnership especially if partners have been nursing grievances – perhaps concerning their share of the workload (too great) or share of the budget (too small). In an alternative scenario the introduction of a formal evaluation session will lead to complete silence as their politeness to their host prevents anyone from making an adverse remark. To avoid either of these situations the project coordinator must present the whole process as being constructive and creative and not an opportunity for criticism of individuals.

Three evaluation tools are offered in the **Appendix** as exemplars to assist project coordinators in the collection of evidence from visitors or users of the project:

#### ***Evaluation of a Comenius course.***

This evaluation was used for the Comenius 3.2 course 'The use of the sea in multi-national school projects' in June 2000. It combines a numerical and comment based approach. Responses may be superficial but the majority of participants, not always native speakers, made several comments. It is important always to leave a space for 'other comments' – these can hold some real surprises.

#### **Evaluation of a project product**

This is a specialised evaluation for an environmental education product. It may be possible to adapt an existing evaluative tool from the subject or topic area of the project.

#### **Evaluation of an event**

This tool is included as a guide to the self-evaluation by the partnership of an event or course

## **4. Using the evidence to implement changes**

The evidence collected by the project team may simply be forwarded to the project coordinator for collation and inclusion in the final report. However it is much more within the spirit of self-evaluation for the evidence to be the subject of a review meeting between members of the partnership. Without such a meeting it is difficult to the next stage in the process.

Quantitative evidence will need to be interpreted before such a meeting. It is important not to underestimate how long this process might take. It is also useful to remember that for some people interpreting data is their full time profession. Much time might be saved by seeking external expertise for this part of the project.

Qualitative evidence is not as easy to interpret especially when this consists of opinions – albeit based on an informed view of the project. It may be useful now to look back to the levels chosen by the project team to help pick out the views that are of particular relevance to the project. Most questionnaires or surveys will include a small number of very positive or very negative comments – these should not attract undue attention. Instead it is worth focusing on evidence which shows real change, progress and development and is especially worth looking for the unexpected outcomes from the project.

#### **Running a review meeting**

The review meeting should include all the project partners. The purpose is to update partners on the evaluative process, to share the evidence and to decide on any changes to the project workplan. The project may now undergo changes to the day to day organisation or, at the other extreme, to the fundamental aims and objectives.



Example:

One of the objectives of a centralised project was to stage a Contact Seminar at the end of Year 1. When the project team met following the activity they analysed the evaluation forms from the event but also contributed their own comments. The project team used all this evidence to implement considerable changes to the session planned for the following year.



## 5. Incorporating the evaluative data into the final report

The final or interim report for a centralised project should contain a section on the effectiveness of the evaluation strategy. If important modifications are being made to the objectives and workplan as a result of the evaluation it will be especially important for the European Commission to understand the evidence that has led to these changes. The report should contain:

- The chosen targets for evaluation
- The means of collecting evidence
- Summaries of the data and other responses
- Minutes of the Review Meeting
- Project modifications together with further justification if appropriate.

## 6. Appointing an external evaluator

The appointment of an external evaluator may be desirable under a number of circumstances. These might concern the specialist nature of the project or the difficulty of allocating time to the evaluation process in a large and complex project. The use of an external evaluator does not remove the necessity of preparing separate evaluations for specific milestones or events: courses, dissemination events or conferences for example.

An external evaluator confers several advantages to the project:

- Time and money is allocated to the evaluation process;
- The evaluation is likely to be more objective;
- The project team will be brought into contact with an established expert in the subject area;
- The evaluator will be able to talk to the partners and project users individually.

However there are several possible disadvantages:

- The process will add to the costs of the project;
- The partners lose a certain amount of control of the evaluation procedure;
- The process will be less integrated into the work of the project.

### Dealing with external evaluators appointed by the Commission

The European Commission may occasionally appoint a consultant to act as an external evaluator for a number of projects. Their approach to this task will vary. It may include a questionnaire or take the form of a telephone conversation with a series of pre-determined questions. Both activities will usually only involve the project coordinator, the timescale will make involvement of the whole partnership difficult. External evaluators may also ask for evidence of products or wish to look at the project website – even if this is under development. They may also ask for the names of beneficiaries of the project, for example teachers who have used specific products or otherwise benefited from the project. The questionnaires may be quite general in nature since they will have been drafted for a range of projects. It is important to try and integrate as much information as possible within the framework they offer and to

appreciate that as a consultant they may lack the in depth knowledge of the project subject matter that would be desirable in an external evaluator appointed by the team.

Ideally the project coordinator should attempt to involve the partners in this evaluation. Should time permit this may involve taking up part of a project meeting in reviewing questions.



## 7. Effective marketing and dissemination strategies for the project

Is your project making the **impact** it deserves? Innovation and quality in terms of process, products or both can help achieve an overall improvement in the specialist field of a project but only if the outcomes are effectively disseminated by the project partnership.

The significant terms for this part of the project are:

- **Dissemination:**
- **Marketing**
- **Commercialisation**

### Dissemination

This is a misleading term as it relates to a variety of related but distinct activities. It can be aimed at the product or the processes employed by the project. Since the dissemination of products is a more tangible activity the attention of many project partnerships tend to be focussed in this direction. The products may include training manuals, training course curricula, software, websites or the products of data analysis. The processes can cover all of the experiences gained in a project. Process dissemination is important whatever the results of the project. It is important that the lessons learned are passed onto others especially where aspects of the project are considered to be innovative.

The focus of dissemination and the approach to it will also vary depending on the interests of the people involved, the different organisational types in a partnership and their motivation for developing the project. For example SMEs in a competitive market will approach dissemination very differently from non-profit making organisations or educational institutions. Projects should aim to develop a dissemination plan at an early stage. The plan must be clear about which partner is responsible for which task and exactly what each task entails. Dissemination during the project tends to be about ensuring that the project is addressing the needs and demands of the target group. By the end of the project the process will move on to potential marketing opportunities. There are as many ways of disseminating a project as there are projects but most partnerships will consider:

- The press, especially the specialist publications that are concerned with the subject matter of the project
- Newsletters and newsgroups
- Flyers and brochures
- The internet – using the project website and actively searching for links to associated sites
- Exhibitions and displays
- Conferences and seminars

### Marketing

Commercialisation of the project products is not the only reason for considering the market. All projects should engage appropriate target groups in the implementation of their project. This process of marketing helps to prepare the ground for the acceptance of new products and enable lessons in good project management to be shared. Some useful questions for the project partnership to consider are:

Evaluation & Dissemination

### **What do we have that we should be marketing?**

Products, results, process

### **Whom should we be targeting and why?**

**Your own organisation.** Raise awareness of activities, outcomes and benefits. The more that decision makers and colleagues in your own organisation feel part of what you are doing the more likely they are to support the project in difficult times.

**The relevant national and international bodies.** These organisations should be involved from the start – their advice and guidance will be invaluable.

**The end user group.** End users should be involved in the design and development of training materials and in the validation of content and delivery. It also makes potential beneficiaries aware of a product that might be of help to them in future.

These steps should be followed by each member of the partnership, appropriate Europe wide organisations should be contacted first by the coordinator.

### **Commercialisation**

This process can range from transfer of the project products to a third party on the basis of part cost recovery to the completion and sale of a with-profits product within the partnership. The commercialisation of jointly developed products is not always straightforward. Partnerships and relationships built up over the life of the project can quickly disintegrate when discussing the distribution of potential profits. All projects, whether they intend to commercialise or not, must agree the ownership of the results between the partners. These agreements should recognise the rights of all partners, give access to the products and optimise dissemination. When this discussion takes place it is also important to plan for the life of the product after the project funding has come to an end. How will necessary updating be funded? If the product requires some elements of customer support how will this service be provided? It is important to remember that the prior permission of the European Commission will be required before commercialisation takes place and if any revenue is generated during the life of the project then this will need to be declared in the project financial report.

Commercialisation may require the writing of a business plan. This process may be beyond the resources or expertise of the project partnership and may need to be outsourced. It will be important for example to set the price carefully and to consider how this amount will be viewed within the countries where the product will be marketed.



# Evaluation & Dissemination

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# C o n t r a c t u a l   a n d F i n a n c i a l M a n a g e m e n t



## 1. The importance of financial and contractual issues in the project

*"In every project meeting we talk about financial issues, actually we devote about half of our time to these questions. Still our partners regularly ask for clarification or for more information about eligible costs, payments, reporting etc. I often think that these questions take too much of our time".*

(Coordinator of a Comenius project)

A Socrates project usually has a lot of expertise in the subject area of the project.

When a coordinator in the initial planning phase is looking for partners to work on the project one of the basic selection criteria is knowledge of the subject area. Naturally, the intellectual interest in the project lies mainly in the content.

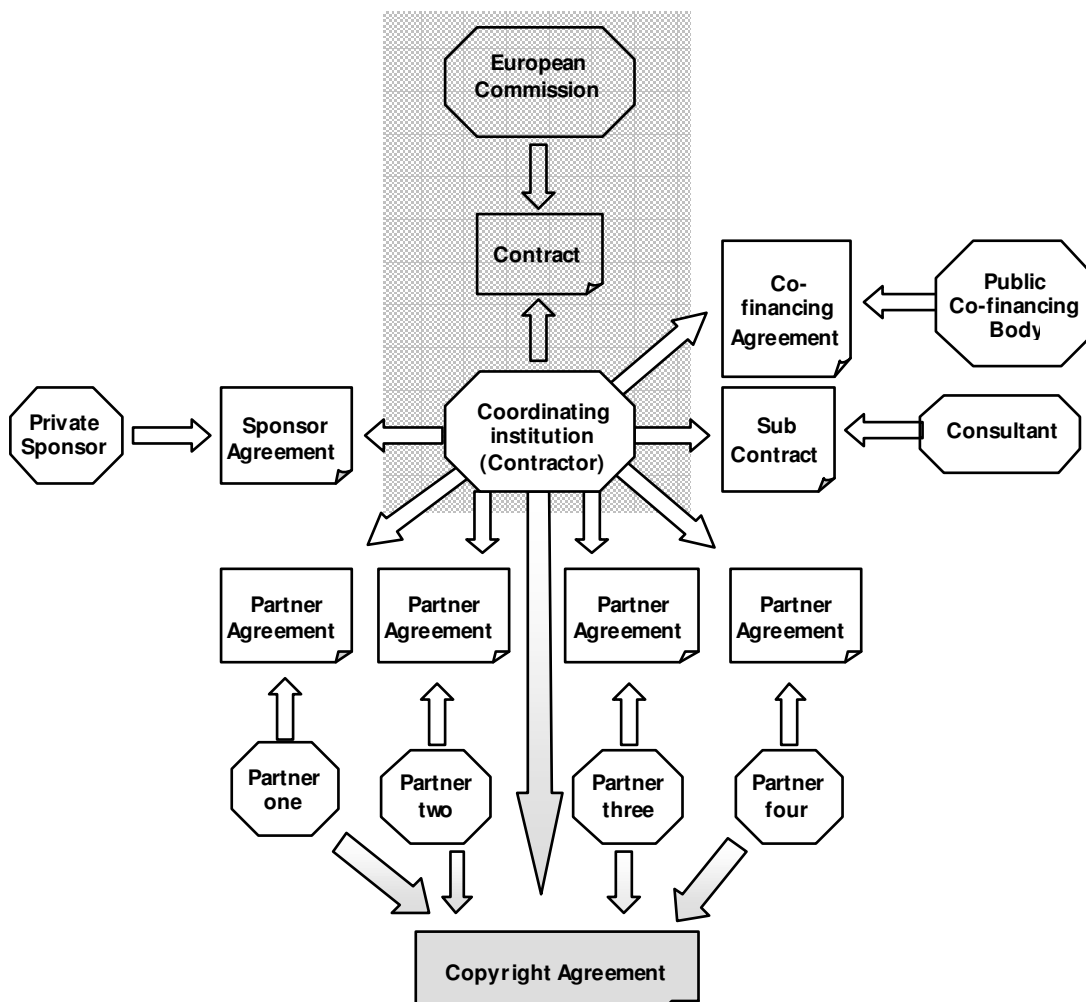
Experience shows, however, that financial and administrative management deserve the same attention as the theme area of the project.

If a coordinator has only limited experience of transnational project management or if he is not especially interested in the administrative aspects of the project it is advisable to seek support from a finance officer in the coordinating institution.

On the other hand, it is also important to keep in mind that collaboration in a European context offers new learning opportunities for the participants especially in financial and management issues which are probably not part of their professional activity at home.

## 2. Contractual relationships

The following diagram illustrates the framework of contractual arrangements in which a project is embedded. Unlike other European programmes, only the core contractual relation between the European Commission and the Contractor is formalised. All other arrangements have to be designed by the project partnership.



### 3. Contractual arrangements with the European Commission

One starting point for work on the project is when the project coordinator receives a decision letter from the Commission with the **contract**\* and other related documents. However financial planning starts much earlier, in the application phase, when the project bid is being prepared for submission. The detailed budget on the application form, is a basic financial document for the project and an essential part of the contractual relationship between the project and the Commission throughout the funding period. If any changes in the finances of the project seem necessary at any stage, they must always be considered in relation to the initial budget on the application form.

For this reason, some coordinators consider it good practice to use the financial tables of the detailed budget section of the application also as a financial management tool. By simply inserting an additional column calculated costs and actual expenditure can be compared at any moment.

The **key elements of the contract between the European Commission and the coordinating institution** are:

#### Financial regulations:

- Maximum amount of the grant allocated to the whole project
- Percentage of the total project costs covered by the grant
- Total project costs
- Maximum amount of the grant allocated to the Associated Countries

It is to note that since the selection round 1 March 2000 the system of *Juste Retour* which foresaw special financial treatment of partners from associated countries does not apply anymore.

#### Contractual period

The expenses incurred in the framework of a project can be considered eligible only if these expenses are related to activities which take place within the contractual period covered by the contract.

#### Obligations of the beneficiary

Apart from the obligations stated in the *General Conditions* section, the predictions made in the application concerning products, main activities and work plan are an integral part of the contract. They are binding and can only be modified with the approval of the European Commission.

#### Special contractual clauses

If there are special contractual clauses concerning your project, they are of utmost importance. You find them on the cover page of the contract.

#### Tasks of the coordinator after receiving the contract

In the centralised SOCRATES actions the contract is made between the European Commission and the coordinating institution. It is important to stress that even though the head of the coordinating institution is the only contractor the contract covers all the activities of the project including those of the other project partners.

As the only person legally responsible to the Commission the coordinator should therefore, read very carefully the terms and the conditions of the contract. If there are items that the coordinator does not understand, he/she should immediately ask the Technical Assistance Office for clarification before circulating any information within the project partnership. Otherwise the project may work on false assumptions right from the beginning with fatal financial consequences at the end of the project.

One of the tasks of the coordinator is to inform other partners about contractual obligations so that all the partners are aware of the contractual framework of the

\* In this document the term *the contract* refers to the *Financial Agreement* between the European Commission and the beneficiary of a SOCRATES grant.



project. This dissemination task must be one of the items on the agenda of the first project meeting. Experience shows that financial and management issues must be tackled on a regular basis in subsequent project meetings. On the other hand, the time invested in contractual issues at the start of the contractual period will more than compensate for the time wasted at the end of the period trying to resolve problems. It is wise to reserve enough time for these issues in the early meetings and to ensure that the partners also have an opportunity to inform the coordinator about the problems the partners face in their own institutions.



### Amendments to the contract

During the funding period many projects face the situation where an amendment to the contract has to be submitted in writing for the approval of the Commission.

One of the most common reasons for an amendment at the beginning of the contract period is the difference between the level of the Commission grant award and the amount requested by the project. Now the project coordinator and the partners have to ask themselves if they can carry out all the planned project activities with the lower grant award. In principle there are two options:

1. The project completes the same activities with a lower grant than expected. In order to receive the maximum amount from the Commission, the gap in the budget has to be filled with additional co-funding.
2. The partnership decides to reduce the activities projected in the application and adapts the work plan and budget accordingly. In this case the coordinator has to ask the Commission for an amendment to the original application.

As a modification to the budget and the work-plan concerns all partners, these decisions must be taken together at the first project meeting. It is important to ensure that each partner is well aware of the implications of the changes for their organisation, for their individual tasks in the project as well as for their own financial contribution.

Apart from a reduced grant there might be other situations which require an amendment to the contract. Amendments may be requested at any time in the lifetime of a project, but at least one month before the end of the contractual period. They normally fall into the following categories:

- Change of beneficiary organisation
- Change of partnership: withdrawal, addition or substitution of partner(s)\*
- Change of financial plan (transfers of funds between budget posts exceeding the limits allowed by the *Rules of eligible expenditure*)
- Change of budget (total cost)
- Change of work plan
- Extension to the contractual period (when the project needs more time to finalise its activities, e.g. products. This request can be approved by the Commission only when the project is in its final year.)

Approval of such requests for an amendment are not an automatism. In all cases the coordinator receives an official answer from the Commission, which, however, can take quite some time. Having said this, most projects have experienced that their request was treated rather pragmatically. Commission officials seem to be quite aware of the fact that a transnational process over two or three years sometimes requires modifications to the original planning. Judging from experience it is likely that amendments will be accepted provided that the scope and the quality of the outcomes are not diminished. It is up to the coordinator to make a convincing case.

Detailed information about amendments to the contract as well as about other financial and contractual matters is available on the website of the SOCRATES, LEONARDO & YOUTH Technical Assistance Office: <http://www.socrates-youth.be>.

\* In case of withdrawal of partners the project should make sure that the partnership remains eligible in terms of number of countries involved.

Particularly useful is the section *FAQ - Frequently Asked Questions* where advice on particular situations like departure of a partner, entrance of a new partner, extension of the contractual period etc. is given.



### Non-contractual modifications

The coordinator has to inform the Commission about non-contractual changes in the project using the separate form which is a part of the contractual documents.

The non-contractual changes in most cases are:

- Change of contact details (phone, fax, e-mail) of the coordinating organisation
- Change of the person who has signed the contract (referred to as the *legal representative of the beneficiary*)
- Change of the coordinator

After the information has been updated in the Commission's database a confirmation letter is sent to the coordinator.

## 4. Agreements with national bodies and sponsors

In addition to the SOCRATES grant European Cooperation Projects may get additional funding from national sources like government organisations, foundations and private sponsors.

Coordinators should be aware that national regulations may conflict with European procedures, e.g. as far as the eligibility of expenditure is concerned.

In general the funding organisations have their own type of contracts which include information at least about the level of the grant, payment procedures and systems of reporting. If the project has several co-funding resources, the project has to deal with different types of contract managing systems.

## 5. Contractual arrangements with project partners

Although the contract only binds the coordinating institution to the Commission, a written agreement between the coordinator and the project partner is required. The partner agreement, however, is not only a formal requirement, since it can fulfil several important functions:

- It ensures an equal level of information in the consortium.
- It creates a firm basis for the joint work by sharing the risks and the responsibilities in the project partnership.
- It provides security for partners who can see their obligations and rights in the project defined.
- It alleviates the coordinator's burden, especially his or her financial risk.
- It provides a legal *recourse* for the coordinator if the partner does not follow the agreements which have been made.
- It provides a legal recourse also for the partner if the coordinator has not fulfilled his obligations.

But does a partner agreement really provide a legal *recourse*? In most cases it would be difficult for a coordinator to sue their partner for breach of contract.

In reality, a written agreement is more a psychological tool for establishing reliability in a project rather than a legal *recourse*.

When introducing a written agreement the coordinator should be sensitive about possible attitudes towards such legal documents. Some people working in education might consider it a cold and technocratic approach or, coming from countries with strong oral traditions, might mistake the document for a sign of personal distrust. Discussing and finally sorting out such problems can on the other hand be an important step in building a working basis.

When constructing the project activities before submitting the application the project partners have already reached an agreement on several issues e.g. the role and the tasks of each partner in the project activities as well their own financial contribution. All the important issues must be discussed when the project is preparing the partner agreement.



The **partner agreement** should contain the following elements:

- Full identity of the partner organisation and the contact person for the project
- Project period
- Main objectives of the project
- Obligations of the coordinator and the respective partners
- Allocation of funds
- Timetable and amounts of payments
- Bank details
- Reporting requirements: record keeping, reporting system, deadlines
- Termination and damages for non-compliance
- Liability
- Modification of the contract
- Dispute resolution
- Applicable law (usually the law of the country of the coordinating institution)

**Annexes of the partner agreement** may include:

- Project contract with the Commission with all the related documents, especially the *Rules on Eligible Expenditure*
- Project application
- Workplan with detailed timetable and deadlines for products
- The forms to be used for reporting
- Copyright agreement (if applicable)

The partner agreement can be made between the coordinator and a partner bilaterally. The alternative is to make a multilateral agreement which involves all the partners.

There are arguments in favour of a multilateral agreement provided it is transparent and gives equal weighting to issues involving all the partners. It is also easier for the coordinator to prepare, because he needs to produce only one text for the agreement. In some cases a multilateral agreement might be more difficult to implement. For example if a dispute arises between one partner and the coordinator the decision making is more complicated as all the partners have to agree on the disputed issue.

Unlike other programmes, there is no standard SOCRATES partner agreement. Every project can and indeed has to develop an agreement which is most appropriate to their specific needs.

This publication does not offer one model agreement but presents five examples in the **Appendix**. These examples differ considerably in terms of scope, detail and style. They have all been used by European Cooperation Projects.

## 6. Sub-contracts with individuals or bodies without partner status

The project can devise subcontracts for certain parts of activities planned during the contract period. The activities concerned can be part of the tasks of either the coordinator or of one of the partners.

It is, however, advisable that the coordinator is always one of the two subcontracting parties.

Usually the subcontract applies to a certain limited contribution e.g. a survey or an ICT application. The main part of the project work should always be done by the partners and the coordinator. In general subcontractors have the same obligations

based on the financial agreement as the coordinator and the partners in the project. If the contribution of a subcontractor covers a part of the task which was planned to be completed by a partner, the use of a subcontractor may cause changes to the budget of the project. Usually all the costs of the subcontractor are paid by the project while the partners have their co-financing to project costs.

Also the costs of the subcontractor belong to the category of the Consultancy costs instead of the categories of the Personnel costs and the Travel costs which are relevant to the partner organisations.



## 7. Copyright agreements

The project consortium holds all rights for the products which have been developed in the project. If commercial use is foreseen, a copyright agreement is advisable.

The European Commission has produced two documents concerning copyright issues and other related questions in the framework of the programme LEONARDO DA VINCI. The documents are "Dissemination and Commercialisation of Training Products" and "Intellectual Property". They can be downloaded from the LEONARDO Website: [http://europa.eu.int/comm/education/leonardo\\_old.html](http://europa.eu.int/comm/education/leonardo_old.html) )

## 8. Tasks involved in financial management

Once the project has received a decision letter and the contract from the Commission active financial management can begin. The stages of the financial management of a project can be defined as follows:

- Planning and revising the budget
- Allocating the grant to the partners and payments to the partners
- Financial Reporting

The most important documentation concerning financial management are:

- The project application, especially the budget information
- The contract (*Financial Agreement*) between the Commission and the coordinating institution
- The *Rules of Eligible Expenditure*
- Other financial documents produced by the Commission ( e.g. Bank information sheet, general information concerning the involvement of associated countries)
- Support and information on financial matters can be found on the website of the Technical Assistance Office: [www.socrates-youth.be](http://www.socrates-youth.be)

## 9. Planning and revising the budget

The financial planning of a project already started in the application phase when the first financial document was produced: the detailed budget information. This initial budget forms an integral part of the contract and thus remains a basic financial document throughout the lifetime of the project.

In the contract, however, the Commission might have modified the ceiling of crucial budget items.

It is crucial for the coordinator to be fully aware of *the twofold* calculation system of the grant.

In addition to a maximum grant level (e.g. 100.000 €) the contract stipulates a fixed percentage according to which the Commission funds the project (e.g. 50%). The percentage is of crucial importance and the coordinator should in any case see that the total costs of the project remain as budgeted (e.g. 200.000 €). If the total costs decrease (e.g. 180.000 €), the final grant will be lower (e.g. 90.000 €) than the maximum amount (e.g. 100.000 €) while the percentage remains the same (e.g. 50%).

## 10. Allocation and payment of the grant to the partners

The Commission transfers the grant for the whole partnership to the account of the coordinating institution in EURO. It is the coordinator's task to distribute the grant to the partners.

The distribution of the grant among the partners has already been indicated in the financial part of the application. Nevertheless there are very often grave misunderstandings about the share of the grant a partner can expect and the sum they have to give to the project from their own resources. To avoid such misunderstandings creating a negative atmosphere at the outset of the actual project work the planned distribution of the grant should be confirmed or – if necessary – modified by the whole consortium.

The final agreed allocation of the grant should always be included in the partner agreement as well the sums of the co-financing of each partner.

Besides agreeing how the grant will be shared between the partners, there must also be discussion on the **method of payment**.

In general, there are three options:

1. The coordinator pays the partners their whole share of the grant right at the beginning of the contractual period.
2. The coordinator divides the individual grants into several payments. The first payment is made immediately after the coordinator has received the money from the Commission. Subsequent payments are made after the partners have produced results and/or sent their content reports according to the set timetable.
3. The coordinator pays the partners in several instalments based on their reports on expenditure. All the payments to the partners are made after they have sent their reports to the coordinator.

The comparison between the three ways looks like the following:

	Advantages	Disadvantages
<b>Option 1</b>	<p>partners share financial responsibility</p> <p>shows trust in partners</p> <p>easy and economical for the coordinator since there are only few payments to be made</p>	<p>high personal risk for the coordinator</p> <p>demands a high level of trust in people you sometimes do not know at all</p>
<b>Option 2</b>	<p>shared financial risk</p> <p>payments are linked to progress of the work</p> <p>system most widely used</p>	<p>very difficult for some partners to pre-finance their activities</p>
<b>Option 3</b>	<p>The lowest financial risk for the coordinator</p> <p>a clear system from the coordinator's point of view</p> <p>often used in large partnerships</p>	<p>partners might feel patronised</p>



European Cooperation Projects may vary a lot concerning the size of the partnership and the level of the funding. The situation is quite different for projects with a grant of 25.000 € a year than from projects receiving more than 100.000 €.

Also the size of the partnership has considerable implications not only for the work but also for the financial management of the project. A consortium of twelve partners needs different mechanisms to a partnership with the minimum three partners.

While the coordinator has made the contract with the Commission he has the highest financial responsibility in the partnership, it is his/her task to make a suggestion for the system of the payments which is then discussed together in the partner meeting.

The partnership can also decide on other systems of payment as well. In some projects the travel costs and the costs of the meetings are paid by the coordinator and subsequently these costs are deducted from the partners' grants.

The SOCRATES funding is normally paid quite late, so the actual project expenditure and the payments from the Commission are not *synchronised*. The coordinator and the partners usually have to fund their project from their own finances until the EU allocation arrives. This applies particularly at the beginning of the project, when the contract from the Commission is delayed and also at the end of the project, when the partnership has to wait for the payments from the Commission even though the project is already finished.

## 11. Paying and recording project costs

The following budget items can be found in a centralised SOCRATES project:

- Personnel costs
- Travel, Accommodation, Subsistence
- Technology, Equipment
- General Administration costs
- Consultancy costs
- Documentation costs
- Other costs

The project activities cannot always be carried out according to plan. A certain degree of financial flexibility is therefore granted and transfers between various budget headings are permitted providing the total amount to be transferred does not exceed 20 % of the value of the heading concerned. If the amount to be transferred exceeds the limit, the Beneficiary has to make a request for an amendment.

It is important to remember that all deviations from the approved budget must be explained in detail in the final report.

When recording costs to the project, the following principles of EU financial management have to be remembered:

- The costs have to be actual. Documentation (e.g. invoices) has to be provided when demanded.
- The costs have to be eligible.
- Appropriate justification for costs must be provided in the reports.
- Certain types of costs need prior approval by the Commission.

The documentation (book-keeping, invoices) has to be held for at least five years after the end of the project. The Commission is entitled to carry out an audit, so all relevant material should be easily available. Even though it is not always possible to get original documentation for all costs that occur (e.g. personnel costs), it is vital that the coordinator has a clear picture where exactly and how all relevant documents can be obtained if need be.

All the rules concerning the eligibility of project costs can be found in the Commission's document *Rules on Eligible Expenditure* which is part of the contract.



These rules will not be repeated here, but a few aspects of the budget items which are critical in many projects are highlighted.

Model documents for the recording and reporting of all budget items can be found in the appendix.

### **Personnel costs**

The personnel costs of the time regular staff of the partner institutions dedicate to the project are eligible expenses.

These personnel costs are calculated on the basis of the hourly/daily/monthly gross income of the employee concerned, multiplied by the number of hours/days/month spent on the project. The gross calculation includes all the normal charges paid by the employer, such as employer's social security contributions and related costs, but excludes any bonus or profit-sharing arrangements.

All the persons working for the project in any of the partner organisations should record their working times in a time sheet.

With the help of the time sheet it is easy for the coordinator to justify the expenses for each person involved in the project. Besides meeting the reporting requirements of the Commission time sheets also make it possible to track the time spent on the project in each of the partner institutions.

In case of an audit of personnel costs the coordinator is advised to provide the following documentation for every member of staff involved in the project:

- A document *signed* by the head of each institution stating:
  - The name and staff registration number of the employee
  - The extent of time the person dedicated to the project
  - The calculation method of personnel costs
- A time sheet recording the times spent on specific tasks
- Proof that the personnel costs were paid to the employee (balance sheet etc.)

### **Travel, Accommodation, Subsistence**

When paying the costs of project meetings two alternatives are most often used:

- Everybody pays their own travel and accommodation costs during the project meeting with the grant they have received from the coordinator.
- The coordinator pays everything for everybody and deducts the sum from each partner grant.

When paying the accommodation and subsistence costs a coordinator can either use fixed rates or collect all the bills from the meeting and pay the accordingly. In both cases payments must not exceed the maximum daily allowance per country according to the rates fixed by the Commission.

The last alternative increases the workload but is often more economical, since the fixed allowances are rather high. Money saved in this way might be transferred to other budget items where it is more urgently needed.

In order to benefit from cheaper APEX flight fares team members have to stay extra days at the week-end. In the calculation of costs and in the reports these days have to be taken into account on top of the actual working days.

### **Technology and equipment**

The costs relating to the acquisition of technology and equipment are not automatically approved. On the contrary, to avoid ineligible expenditure the coordinator should make it clear that the purchase of the technology in question is indispensable to the project. In all cases the cheapest form of acquisition (renting, leasing or purchasing) should be chosen and a realistic percentage of use for the project must be indicated. Moreover, if the value of the equipment exceeds 1.000€ a depreciation rate must be applied according to the *Rules on eligible expenditure*.

### **General administrative costs**

General administrative costs can include:

- Communication (fax, telephone, letters etc.)
- Office supplies
- Photocopies
- Insurance
- Rental of premises



As far as photocopies are concerned, general administration (letters, agendas, working documents etc.) should not be confused with documentation which refers to books, handout etc. which are products of the project.

The general administrative costs may not exceed a maximum of 10 % of the personnel costs.

Like all other expenditure, general administrative costs must be actual which means that the coordinator must hold invoices for them. A bill from the partner institution is acceptable, but in the final report the project also has to give a description of the system an institution has used to calculate these costs.

### **Consultancy costs**

Under this heading additional expertise of individuals outside the partner institutions can be bought into the project. However, this budget item should not be overstretched, as the idea of a European Cooperation Project is that the major part of the work is completed by the consortium.

Outside experts can be remunerated with up to 400 € per day. Travel and subsistence costs of these experts should be included here rather than under *Travel costs*.

### **Documentation costs**

Documentation costs include production, printing, distribution, translation and interpretation costs.

If the coordinator or the partners use their own personnel to perform these tasks, the costs are included under Personnel costs in the budget.

For translations there is a maximum rate of 1 € per line, interpreters may cost up to 500 € per day.

### **Other costs**

Under this heading costs are covered that are directly related to the project but cannot be subsumed under any other category. A common example is bank charges.

Like all the other eligible costs other costs must be documented and explained in the project application.

## **12. Reporting**

According to the contract between the Commission and the coordinating institution, the coordinator must submit interim and final reports on the expenditure and the progress of the project. In the partner agreements, on the other hand, this obligation of both financial and content reporting should be passed on to the partners with respect to the coordinator.

One of the tasks at the beginning of the project work is to decide upon an efficient and transparent reporting system. An agreement should be reached between the partners on when and how to report on the expenditure incurred by the project.

In the bigger projects with grants of 50.000 € or more it is advisable for the coordinator to receive both the financial and the content reports on a quarterly basis. In the smaller projects longer reporting intervals may suffice.

As the coordinator has to prepare the interim and final reports to the Commission from the papers received from the partners, the timetable for internal reporting procedures must allow enough time for finalising the reports to the Commission.

To avoid duplicating work, the internal reporting forms should be compatible with the format of the *Final Report* to the Commission. The cost sheets presented in the appendix have been used efficiently by projects.

Regular reports, however, are not only necessary because of the formal Commission requirements. They provide the coordinator with a good overview of what is happening in the project as well as with a steering method.

If for example one of the partners has not used the funding that has been allocated to him, the coordinator can direct the remaining money to another partner which is able to use the money.



# Contractual and Financial Management

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### 13. Checklist on contractual and financial management

- Read carefully all contractual documents, particularly the *Financial Agreement* and the *Rules on Eligible Expenditure*.
- Make sure you fully understand all contractual items. Otherwise ask your National Agency or the Technical Assistance Office.
- Check if it is necessary to ask for an amendment to the contract and, if needed, prepare it in co-operation with your partners.
- Disseminate all contractual documents to all partners to ensure a common understanding.
- Design partner agreements that contain all important rights and obligations of both sides. Discuss them in detail with your partners before signing them.
- Reach an agreement in the partnership about the allocation of the budget and the method of payment.
- Introduce right from the beginning a transparent sending and reporting system.
- In case you feel downcast about the load of administrative details this publication has mentioned: Remember that other coordinators survived their management tasks before you!



# Contractual and Financial Management

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# Appendices



# Appendix 1: Work Package Sheet for Detailed Planning

<b>Work package:</b>	
<b>Responsible person:</b>	<b>Duration:</b>
<p>Aims and objectives</p> <ul style="list-style-type: none"> <li>•</li> <li>•</li> <li>•</li> <li>•</li> </ul>	
<p>Activities and deadlines</p> <ul style="list-style-type: none"> <li>•</li> <li>•</li> <li>•</li> <li>•</li> </ul>	
<p>Outcomes</p> <ul style="list-style-type: none"> <li>•</li> <li>•</li> <li>•</li> <li>•</li> </ul>	
<p>Boundaries and intersections with other work packages</p> <ul style="list-style-type: none"> <li>•</li> <li>•</li> <li>•</li> <li>•</li> </ul>	
<p>Resources and materials to be used</p> <ul style="list-style-type: none"> <li>•</li> <li>•</li> <li>•</li> <li>•</li> <li>•</li> </ul>	
<p>Costs/budget</p>	

# Appendix 2: Evaluation Form for a Transnational Seminar

## *Comenius 3.2 Programme*

### **THE USE OF THE SEA IN MULTILATERAL SCHOOL CURRICULUM PARTNERSHIPS**

15<sup>th</sup> - 20<sup>th</sup> May 1999

## **COURSE EVALUATION**

1 What were your expectations of this course?

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2 To what extent have these expectations been met?

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3 Please award the following sessions a rating on a **1 to 10 scale** where 10 is the highest rating. Please also include a short comment if you wish

**SATURDAY EVENING:** Introduction to the programme

RATING

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**SUNDAY MORNING:** Saltmarsh and Discovery Centre

RATING

---

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**SUNDAY AFTERNOON:** Education systems

RATING

---

---

**MONDAY:** School visit and fieldwork

RATING

---

---

**MONDAY:** Spurn Point

RATING

---

---

**TUESDAY:** Flamborough Head

RATING

---

---

**TUESDAY AFTERNOON:** York

RATING

---

---

**WEDNESDAY MORNING:** Internet

RATING

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**WEDNESDAY MORNING:** Funding

RATING

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**WEDNESDAY AFTERNOON:** Hull investigation

RATING

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4 Which session(s) did you find **most** useful?

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5 Which session(s) did you find **least** useful?

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6 What are your initial impressions of the **Training Manual**?

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7 Did you receive adequate information about the conference before it began?

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---

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8 Please comment on the social and cultural parts of the programme:

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---

---

9 Please comment on the accommodation and food

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---

---

10  
Please add any additional comments here

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YOUR NAME \_\_\_\_\_

***Thank you***

## Appendix 3: Evaluation Form for a Project Product

### Product information

Name of product

Name of project

Main language used

### Respondent information

Name of person responding

Institution address

Country

Tel

Fax

Email

Background information about the institution

### Information about the teaching materials

**Please answer these questions using a scale of 1-10, 1 being the lowest and 10 the highest**

- 1 To what extent is this product relevant to your needs?
- 2 To what extent is it relevant to the needs of other teachers at your school/centre?
- 3 To what extent is it relevant to other teachers who you know but in other institutions?
- 4 If you have already used it – To what extent did it help your work with this topic or subject?
- 5 If you have already used it – How likely are you to use it again with pupils?
- 6 To what extent would you be able to recommend it to other professionals?
- 7 If you have not used it yet – How likely are you to use it in your work with pupils?

**Please answer these questions with a comment:**

- 1 What would improve the content of the product?
- 2 Was the guidance given with the product useful?
- 3 Was it accessible to pupils in the age range specified on the product?
- 4 Did you have to adapt the product before it could be useful?
- 5 Are you doing anything differently as a result of this product?
- 6 What have you and your pupils learned from this product?
- 7 Have you any evidence of this learning?

MANY THANKS FOR YOUR HELP IN THE EVALUATION OF THIS PRODUCT

## Appendix 4: Evaluation Form - How Good is the Event?

### A tool for the self-evaluation of transnational courses, conferences and seminars

This document may be used by external evaluators and by participants. This version has been compiled for use as a self evaluation tool by the project team. It is based upon a number of **performance indicators**.

No	Performance Indicator	Themes	4	3	2	1
<b>1</b>	<b>Quality of the trans-national element</b>					
1.1	Input into the event by the project partners	<ul style="list-style-type: none"> <li>The extent to which each partner contributes to the event</li> <li>The evidence of partners sharing roles and responsibilities during the event</li> </ul>				
1.2	Links between the aims of the event and the overall aims of the project	<ul style="list-style-type: none"> <li>Mutual understanding amongst partners about the project and event rationale and the short term and long term objectives of the event</li> <li>Clear evidence in the event programme of real synergy with the overall objectives of the project</li> </ul>				
1.3	Development of positive attitudes towards Europe	<ul style="list-style-type: none"> <li>Opportunities for the development of positive attitudes towards Europe and towards transnational activities</li> <li>The extent and quality of the intercultural dimension</li> <li>The extent of opportunities for participants to share information about their own countries and education systems</li> </ul>				
1.4	Promotion of other languages	<ul style="list-style-type: none"> <li>Extent and quality of the opportunities for the use of various languages both by trainers and by participants</li> <li>Evidence of strategies for overcoming language difficulties</li> </ul>				
1.5	Representation from a variety of countries	<ul style="list-style-type: none"> <li>The extent to which a reasonable representation of participants from various countries has been achieved</li> </ul>				

No	Performance Indicator	Themes	4	3	2	1
2	<b>Structure, content and delivery of the event</b>					
2.1	Organisation of the transnational event	<ul style="list-style-type: none"> <li>Evidence of clear planning</li> <li>Realistic timescales</li> <li>Appropriate selection of delegates</li> </ul>				
2.2	Effectiveness of content and appropriate range and balance of activities	<ul style="list-style-type: none"> <li>Appropriate content, clearly related to the aims and objectives of the event</li> <li>Relevant mixture of activities eg icebreaking activities, didactic sessions, workshops, social activities, free time</li> <li>Appropriateness of the social programme</li> </ul>				
2.3	Effectiveness of the delivery by trainers, workshop leaders etc	<ul style="list-style-type: none"> <li>Trainers and leaders have the appropriate subject competence and knowledge</li> <li>Trainers and leaders are good communicators with the necessary language skills</li> <li>Trainers and leaders have the appropriate didactic experience for delivering professional development</li> </ul>				
2.4	Effectiveness of shared ownership of the event	<ul style="list-style-type: none"> <li>Evidence that the needs and expectations of participants have been taken into account</li> <li>Evidence that participants have the opportunity to contribute their own expertise</li> </ul>				
2.5	Effectiveness of the process of monitoring and evaluation	<ul style="list-style-type: none"> <li>Quality of the mechanism for evaluation both short term and long term including follow-up activities, if appropriate</li> <li>Evidence of on-going assistance to participants, if appropriate</li> </ul>				

No .	Performance Indicator	Themes	4	3	2	1
<b>3</b>	<b>Materials, resources and equipment</b>					
3.1	Provision and suitability of materials, resources and equipment	<ul style="list-style-type: none"> <li>• Evidence of appropriate prior information being issued to participants</li> <li>• Relevance and quality of materials issued during the event</li> <li>• Sufficiency, range and suitability of other resources, including, where appropriate, ICT</li> <li>• Provision of support and assistance for technology users</li> <li>• Extent to which technology and other resources are used effectively and with innovation</li> </ul>				

No .	Performance Indicator	Themes	4	3	2	1
<b>4</b>	<b>Quality of the domestic arrangements</b>					
4.1	Quality and appropriateness of the domestic arrangements and the comfort factor	<ul style="list-style-type: none"> <li>• Attention to practical details and catering</li> <li>• Suitability of the working venue</li> <li>• Quality of overnight accommodation, if appropriate</li> <li>• Evidence of special requirements (dietary for example) being met</li> </ul>				

**Example :**

‘Quality of the transnational partnership’ (1.1)

This performance indicator is concerned with:

- *The extent to which each partner contributes to the event*
- *The evidence of partners sharing roles and responsibilities during the event*

**A performance meriting Level 4 would be illustrated by:**

1. Each partner plays a role in the preparation and delivery of the event according to an agreed prior division of roles and responsibilities
2. There is clear evidence of a collaborative approach with strong team work

**A performance meriting Level 2 would be illustrated by:**

1. There is a lack of clarity in the partners’ division of roles and responsibilities and consequently there may be evidence of a failure to contribute as required
2. Where problems have arisen, there is a lack of commitment to finding a mutually acceptable compromise

# Appendix 5: Example of Partner Agreement (I)

## CONTRACT

**Name of the project**  
**Number of the contract**

This contract is made and entered into by and between

**(Name of the coordinating institution)**

whose registered office is at *(whole address)*  
represented by **X. Y.**, Director, hereinafter referred to as **Contractor**

and

**(Name of the partner institution)**

whose registered office is at *(address of the partner)*  
represented by **W. Z.**  
hereinafter referred to as **Partner**.

Whereas, within the framework of SOCRATES (**Action**) the Contractor has concluded an agreement with the Commission of the European Communities (hereinafter referred to as **Commission**) for the Project called *(title of the project)* (hereinafter referred to as **Project**). This agreement (hereinafter called **CEC Contract**) shall form an integral part of the present Contract.

The Contractor and the Partner shall be bound by the terms and conditions of the CEC Contract SOCRATES (**Action**) No. **XXX** signed between **X. Y.** and the Commission on **XX** September 2000 and amended by the letters ref. **XXX** dated *(day/month/year)* and ref. **XXX** dated *(day/month/year)*. The Annexes of the CEC Contract constitute Annexes B and C of the present Contract. Annex A of the present Contract gives the details of the implementation of the Project together with Annex E () and Annex F (). Annex D contains forms to be used by the Partner for financial reporting to the Contractor.

The Contractor and the Partner shall be bound by the terms and conditions of any further amendments to the CEC Contract in accordance with the procedure set out in Article 13.

The Contractor and the Partner have agreed to define their rights and obligations with respect to carrying out specific tasks relating to the Project as described in Annex A of this Contract. Therefore, the following is hereby agreed between the Contractor and the Partner.

### **Article 1. - The Objective of the present Contract**

On the basis of the present Contract the Contractor and the Partner shall contribute to the achievement of the requirements of the CEC Contract together with the other parties (Partners and Subcontractors) performing the CEC Contract in accordance with the terms and conditions as stated in the present Contract.

### **Article 2. - The Project Period**

The present Contract shall come into force on the day when it has been signed by both the Contractor and the Partner respectively but shall have retroactive effect from *(day/month/year)*. This Contract will cover the period up to *(day/month/year)*.

### **Article 3. - The Obligations of the Contractor and the Partner**

The Contractor and the Partner shall perform and complete their share of the work under the present Contract in accordance with the requirements set out in Annexes A, E, and F of the present Contract. The Parties to the present Contract shall carry out

the work in accordance with the timetable set out in Annex A using their best endeavours to achieve the results specified therein and shall carry out all of their responsibilities under the present Contract in accordance with recognised professional standards.

The Partner shall provide the personnel, facilities, equipment and material necessary to be able to perform and complete the Partner's share of the work under this Contract.

The Partner shall carry out the work in such a way that no act or omission in relation thereto shall constitute, cause, or contribute to any breach or non-compliance by the Contractor or by any Partner or any Subcontractor of any of their respective obligations under the CEC Contract. The Partner shall impose the same contractual conditions on any consultants that the Partner engages in the Project for the undertaking of the work.

#### **Article 4. - Allocation of Funds**

The maximum financial contribution by the Partner to the Project during the Contract period shall be **XXX** EURO, in accordance with the financial provisions set out in Annex A.

The maximum Project funding for this contribution from the Commission grant shall be **XXX** EURO, i.e. **XX**%. The Partner shall make an institutional contribution of **XX**%. Should the declared total expenditure by the Partner be lower than the maximum contribution stipulated above, the percentage funding will be applied to the Partner's real total expenditure.

The allocation of Project funding to the Partner is subject to receipt by the Contractor of the respective Project funding from the Commission.

#### **Article 5. - Record Keeping and Reporting**

The Contractor and the Partner shall be bound by the obligations set and instructions given for the Declaration of Expenses in the CEC Contract (section F in Annex C of the present Contract).

The Partner shall keep a record of any expenditure incurred under the Project and all proofs and related documents for five years after the end of the period covered by the present Contract.

All invoices to the Contractor must be dated and certified as true and exact by the Financial Officer of the Partner. The Contractor may reject any item of expenditure which cannot be justified in accordance with the rules set out in the Rules for Eligible Expenditure (Annex C of the present Contract).

The Partner is required to present to the Contractor on **(day/month/year) (day/month/year) (day/month/year)** firstly, interim declarations of the real and total expenditures of the work undertaken during the periods **(day/month/year)** to **(day/month/year)** and **(day/month/year)** to **(day/month/year)** respectively, separating expenditures paid out by the Partner and expenditures committed by the Partner but not paid out; and secondly, reports on the course of development of the Project activities undertaken by the Partner.

The Partner agrees to supply to the Contractor all the information that the latter finds necessary to ask for concerning the implementation of the present Contract.

The Contractor shall provide the Partner with the appropriate forms (Annex D) for the Declaration of Expenses and the respective instructions for the filling of them.

The Partner shall promptly inform the Contractor of any delay in the performance of the activities undertaken by the Partner under the present Contract.

A Final Report on the Project activities, including a final Declaration of Expenditure, must be submitted by the Partner to the Contractor no later than (10) days after the end of the period covered by the Contract.

Upon request the Partner shall make available any documentation on Project finance and activities required by the Commission.

## **Article 6. - Schedule of Payment**

(The name of contractor) shall pay the Partner for work completed satisfactorily according to the description and schedule of this work in Annexes A, E and F of the present Contract. Payment shall be made within twenty (20) days after the reception and approval by the Contractor of each Declaration of Expenses and each periodic activity report by the Partner; the cumulative total of these payments shall not exceed 80% of the total remuneration due to the Partner from Commission funding on the basis of the CEC Contract as stipulated in Article 4 above.

Payment to the Partner by the Contractor for work completed shall be made according to the following approximate schedule: 60% when the draft assessment instruments have been produced; 15% when the draft instruments have been reviewed on paper and in the IT format and revised; 5% when the items to be included in the specimen tests have been selected and the language specific specifications for Structures / Grammar and Vocabulary have been submitted. The eventual balance of Commission funding due to the Partner will be paid when the total Project grant has been released by the Commission.

Declarations of Expenditure shall be made in the Partner's local currency and the Contractor shall make the payments stipulated above in the same local currency, using the exchange rate applied by the bank engaged to carry out the transaction on the day it is made. The Contractor shall deduct the relevant sum from the total of the Partners grant allocation stipulated above in Article 4 using an exchange rate between the Finnish mark and the EURO. The final payment, after the Final Report has been accepted by the Commission, will be paid to the Partner in EURO.

Any balance owed by the Contractor to the Partner, corresponding to the Project funding to the Partner stipulated in Article 4 above less the instalments already paid will be paid to the Partner within twenty days of the Contractor's receiving final payment from the Commission.

## **Article 7. - Banking Details**

The remuneration to be paid to the Partner shall be paid into the Partners institutional account in accordance with the following banking details:

### **Name and Address of the Account Holder:**

***Name of Bank:***

***Address of Bank:***

***Bank Code:***

***Swift Code:***

***Account Number:***

***The National VAT Number:***

## **Article 8. - Ownership**

Subject to constraints imposed by national legislation, the deliverables of the Project, patents, copyrights and Intellectual Property Rights, as well as reports and other documentation resulting from the present Contract, shall be the property of the Contractor and all the Partners of the Project, apportioned between the Contractor and each Partner pro rata to their shares of the total of all the financial institutional contributions made by the Contractor and the Partners together.

## **Article 9. - Termination**

In the event that the Partner fails to perform any obligations under the present Contract or the CEC Contract and does not remedy such failure within 30 days after having received a notice in writing from the Contractor specifying the failure and requiring such remedy, then without prejudice to any other rights or remedies, the Contractor shall be entitled to terminate the present Contract forthwith, without the application of any juridical procedures, by notice in writing to the Partner.

If the Partner or the Contractor breaches the terms of the present Contract, the other party shall have the right to terminate this Contract.

Either party to this Contract shall have the right to terminate this Contract if the other party is insolvent or enters into bankruptcy or liquidation or any other arrangement for the benefit of its creditors.

The Contractor shall have the right to terminate the present Contract if a change in the bye-laws or composition of the Partner affects the conditions for developing the Project.

The Contractor shall have the right to terminate the present Contract if the Partner has made false declarations to the Contractor on work carried out or on expenditure. If the present Contract is so terminated, the Contractor may require the Partner to reimburse all or part of the payments made under this Contract.

#### **Article 10. - Damages for Non-performance**

If the present Contract is terminated for the reason that the Partner fails to perform its obligations under the present Contract, the rights and licences granted to the Partner pursuant to this Contract shall cease immediately, and the Partner shall forfeit the right to reimbursement for obligations performed.

Furthermore, if the Contract is terminated by the Contractor due to non-performance of obligations by the Partner, the Partner shall be responsible for and pay any direct cost increase resulting from the necessity to remedy the Partners breach of responsibilities and to assign the tasks of the Partner as specified in the present Contract to one or several parties.

#### **Article 11. - Liability**

The Partner shall be solely liable for any loss, destruction, damage, death or injury to the persons or property of the Partner or of the Partners employees or of third parties resulting directly or indirectly from performance of the work under the present Contract.

The Partner shall indemnify the Contractor and any other partner against any claim made against or liability incurred by the Contractor in respect of any infringement by the Partner of any copyright or other industrial property right or any statutory protection in respect of any report or other material supplied by the Partner to the Contractor pursuant to the present Contract.

The Contractor shall not be required to provide insurance cover to persons participating in activities undertaken by the Partner under the present Contract.

#### **Article 12. - Confidentiality**

The Contractor and the Partner must treat as confidential and must use all reasonable effort to ensure that they do not disclose to any person any information of technical, commercial or financial nature or otherwise relating in any manner to the execution of the Project, except in the circumstances detailed in the following paragraph below.

The above clause relating to confidentiality shall remain in force for a period of five years after the completion of work under the CEC Contract but shall not in any case be deemed to extend to any information which the receiving party can show

- X was at the time of receipt published or otherwise generally available to the public;
- X has after receipt by the receiving party been published or become generally available to the public otherwise than through any act or omission on the part of the receiving party;
- X was already in the possession of the receiving party at the time of receipt without any restrictions on disclosure;
- X was rightfully acquired from others without any undertaking of confidentiality imposed by the disclosing party;
- X was developed independently of the work under the CEC Contract by the receiving party.

The above clause relating to confidentiality shall not be deemed to extend to academic publications and public presentations provided that information beyond the general framework of the project deliverables and the characterisation of single test items

is not disclosed. However, the Contractor shall be notified of any intention on the part of the Partner to produce such publications and make such presentations.

#### **Article 13. - Modification of the Contract**

Changes or amendments to the present Contract shall be approved by both parties to the Contract and become effective when signed by authorised representatives of both parties.

#### **Article 14. - Settlement of Disputes and Applicable Law**

If there is a dispute or difference between the parties arising out of or in connection with the present Contract or out of activities undertaken under the present Contract, including disputes regarding quality, the parties shall first endeavour to settle it amicably.

Provided that a dispute cannot be settled amicably, the arbitration of the dispute between the Contractor and the Partner in connection with the present Contract shall be conducted through one-man arbitration in accordance with the laws of Finland. Any such arbitration shall take place in **XXX**.

This Contract is governed by the laws of *(the coordinating country)*.

#### **Article 15. - The Annexes**

**Annex A.** The Workplan of the Project

**Annex B.** A copy of the Contract signed between *(name of the contractor)* and the Commission (the CEC Contract) and its amendments.

**Annex C.** The Rules on Eligible Expenditure.

**Annex D.** The forms to be used for reporting.

## Appendix 6: Example of Partner Agreement (II)

### PROJECT AGREEMENT

The present Agreement, drafted in the context of the Community programme SOCRATES governs relations between:

**(name of the coordinating institution)**

whose registered offices are at **(address, country)**

represented by **(name of the coordinator)**

hereinafter "the Contractor"

and

**(Name of the partner institution)**

whose registered offices are at **(address, country)**

represented by **(name of the head of the partner organisation)**

hereinafter "the Partner"

The parties hereby agree as follows:

#### Article/Subject

With regard to the provisions of Council Decision 95/EC establishing the SOCRATES programme, the Contractor and the Partner undertake to carry out the programme of the work which is the subject of the present Agreement, within the framework of agreement No. **(number of the contract)** signed between the Contractor and the European Commission and concerning the pilot project entitled

**(Name of the project)**

The total cost of this project for the contractual period covered by agreement No. **(number of the contract)** is estimated at EURO **XXX** (inclusive all possible taxes).

The Community contribution shall not exceed EURO **XXX**, or **XX**% of the total cost of the project.

In the event that the actual eligible expenses shall be lower than the above sum, the Community contribution shall be restricted to **xx**% of the eligible expenses.

Under no circumstances may the financial aid provided result in a profit.

The present Agreement governs the relations between the parties and their respective rights and obligations with respect to their involvement in the project.

The subject of the present Agreement and the associated programme of work are detailed in the Annexes, which form an integral part of the Agreement and which each party declares to have read and approved.

#### Article/Duration

The present Agreement shall come into effect on **(day/month/year)** for a period of **xx** months and shall end on **(day/month/year)**.

#### Obligations of the Contractor

The Contractor undertakes to:

- make the necessary arrangements for the preparation, execution and smooth running of the programme of work which is the subject of the present Agreement, with a view to achieving the objectives of the pilot project as described in the Agreement signed between the European Commission and the Contractor.

- provide the Partner with copies of the official documents pertaining to the pilot project, such as Agreement between the Contractor and the European Commission and the various reports.
- inform the Partner of any change made in Agreement No. (*number of the contract*).

#### **Obligations of the Partner**

The partner organisation undertakes to:

- make the necessary arrangements for the preparation, execution and smooth running of the programme of work which is the subject of the present Agreement, with a view to achieving the objectives of the pilot project as described in the Agreement signed between the European Commission and the Contractor.
- comply with all the provisions of the general agreement between the Contractor and the Commission.
- provide the Contractor with any information or documents it may require and which are necessary for the administration of the project.

#### **Article/Funding - Description of Tasks**

The total expense to be incurred by the Partner during the period covered by this contract is estimated at EURO **XXX**.

#### **Article/Co-financing**

The partner shall contribute EURO **XXX** to the project, in the form set out in the Annex.

#### **Article/Payments**

The Contractor undertakes to make the payments pertaining to the subject of this Agreement to the Partner as follows:

- a reimbursement of the portion of the expenses eligible for reimbursement within ten (10) working days from submission of the required documentation. Documentation is to be submitted monthly by the 20<sup>th</sup> day of the month following.
- any sums received by the Partner and not utilised within 45 days must be placed in an interest-bearing account.
- the interest earned on such investments shall be declared in the balance sheet and notified and refunded to the Contractor, who shall pay that sum to the European Commission on an account opened in the name of the Socrates and Youth technical Assistance Office.

#### **Article/Bank Account**

The Contractor undertakes to make the payments to the Bank Account specified by the Partner:

**Name of the Bank:**

**Branch:**

**SWIFT Address:**

**Postcode/City/Country:**

**Name of Account Holder:**

**Address of Account Holder:**

**Postcode/City/Country:**

**Account Number:**

**Sorting Code/Code Bank/Code Guichet:**

#### **Article/Reports**

The Partner shall provide the Contractor with the documents necessary for the preparation of the interim report no later than (*day/month/year*).

The partner shall provide the Contractor with the documents necessary for the preparation of the final report no later than (*day/month/year*).

### **Article/Property Rights**

The Partner takes note of the fact that the European Commission holds a share of the rights to the project and its results, pro rata to the Community's contribution to all the investments made and expenditure incurred by the Contractor and its partners in the project. However, the European Commission agrees to waive its property rights in respect of the project in return for an agreement on information and demonstration rights to be granted by the project partnership to the Commission. Pending such an agreement, which shall be the subject of an additional clause to this Agreement, the Partnership undertakes not to market the project, nor any product, document, equipment, publication, computer programme, teaching aid or any other device whatsoever produced with the aid of the Community contribution under the terms of the present Agreement, without express written permission from the European Commission.

### **Article/Liability**

Each of the contracting parties discharges the other of any civil liability for any damages itself or its staff may incur as a result of the performance of this Agreement, insofar as such damages are not due to a serious and intentional fault on the part of the Commission, The Socrates and Youth Technical Assistance Office, the Contractor or their staff.

### **Article/Termination of the Agreement**

The Agreement may be terminated in the event that the Partner should fail to perform one of the obligations arising therefore, and independently from consequences provided for in applicable law, in that event, the Contractor may terminate or cancel this Agreement by rights, without legal formalities, where notification of the Partner by registered letter does not result in performance within one month.

### **Article/Jurisdiction**

Where an amicable solution cannot be found, the (*name of court*) **in (place, country)** shall have sole jurisdiction in any dispute between the contracting parties concerning this Agreement.

The Law applicable to the present Agreement is the Law of (**country**).

### **Article/Amendments and Addenda to the Agreement**

Amendments to this Agreement may be made solely by means of an additional clause signed for each party by the signatories of the present Agreement.

### **Article/Annexes**

The following Annexes are attached and form an integral part of this Agreement:

- Annex 1: Timetable
- Annex 2: Finance Plan
- Annex 3: Project Description and Programme of Work
- Annex 4: Copyright Agreement

Signed by:

**Name for the Contractor)**

**Name for the Partner**

**Date**

**Date**

**Place**

**Place**

# Appendix 7: Example of Partner Agreement (III)

## AGREEMENT

### BETWEEN:

**(i) Name of the Coordinating institution** **Address**  
(hereinafter referred to as the **Coordinator**),  
and

**(ii) Name of the partner institution** **Address,**  
and

**(iii) Name of the partner institution** **Address,**  
and

**(iv) Name of the partner institution** **Address,**  
and

**(v) Name of the partner institution** **Address**

The above are together hereinafter referred to as the **Parties** or in the singular a **Party**.

### WHEREAS:

The Parties to this Agreement having together expertise in the concerned field have submitted a proposal (the **Proposal**) through the Coordinator to the Commission of the European Communities (the **Commission**) for a Project entitled:  
**(SOCRATES/ACTION/name of the project)**

The Coordinator has been informed by the Commission that the Proposal for the Project has been accepted, and that a financial Agreement has been issued with number **(number of the Contract)**.

The Parties have decided to conclude this Consortium Agreement in order to define their respective rights and obligations with respect to the performance of work under the EC Contract, the receipt of any financial contribution due from the EC in respect thereof and their rights and obligations each to the other.

### IT IS AGREED AS FOLLOWS:

#### Article 1 - Definitions

In this Agreement, capitalised terms shall unless the context otherwise requires have the meaning ascribed to them in the EU Contract (appended hereto and labelled Annex 1) and the following words shall have the following meanings:

1.1 Annex1, Annex 2, Annex 3, Annex 4 mean Annexes to this Agreement.

1.2 Project shall mean the work programme defined in Annex hereto.

1.3 The Coordinator shall mean **(name of the coordinating institution)**.

1.4 Project Share shall mean the proportion of the total amount of funding received from the Commission under the Contract received by each Party as set out in the Financial Summary Table in Annex 3 to this Agreement.

1.5. **Affiliated Companies**, means any legal entity directly or indirectly owning, owned by or under the same ownership as a Party for so long as such ownership or control lasts. Ownership exists through the direct or indirect ownership or control of more than 50 % of the nominal value of the issued equity share capital or of more than 50 % of the shares entitling the holders to vote for the election of directors or persons performing

similar functions, or the right by any other means to elect or appoint directors or persons performing similar functions who have a majority vote.

- 1.6 Third Party Rights, means all copyright and other intellectual property rights which are not vested in the Parties.
- 1.7 Third Party Permissions, means the granting of consent from persons who own or control any Third Party Rights.

## **Article 2 - Purpose and Scope**

- 2.1 The Parties hereby undertake to cooperate on the conditions hereinafter defined in order to execute and fulfil the EU Contract as defined by this Agreement and Annex 1.
- 2.2 The scope of the Project is as set out in Annex 2 and the performance of the Project shall be shared between the Parties according to the tasks respectively indicated in Annex 2.

## **Article 3 - Coordinator**

- 3.1 It is hereby agreed that the Coordinator shall assume overall responsibility for liaison between the Parties and the Commission concerning the Project, and for the administration of the implementation of the EU contract. To this effect the Coordinator shall act on behalf of the Parties and discharge such functions as defined by this Agreement, the EU Contract, and from time to time by the general Assembly as defined in Article 4 of this Agreement.

Such functions shall be limited to:

(a) relationship and correspondence with the Commission and third parties, including without limitation the submission of extensions to the EU Contract (if any) and thereafter the coordination of further negotiation of the EU Contract (if required);

(b) administration, preparation of minutes, provision of the Chairman of the General Assembly and follow-up of its decisions;

(c) supervision of progress relative to the time schedules as set up by common agreement of the Parties;

(d) collection and collation of the Parties' documents and cost statements and forwarding such as may be required to the Commission. The forwarding of cost and other statements to the Commission may exclude any such statement not received by the Coordinator from any of the Parties in accordance with the time-scales laid down in the EU Contract in order not to delay the said statements and subsequent payments to the other Parties;

(e) transmission of any documents connected with the Project between the Parties and from the Parties to the Commission and vice versa including without limitation the reports required by the EU Contract to be submitted to the Commission after their approval by the General Assembly, the minutes of the meetings of the general Assembly for approval by the other parties and Commission communications.

## **Article 4 - General Assembly**

4.1 The Parties shall establish a General Assembly composed of one representative of each of them. Each representative shall have one vote. Each Party shall have the right to replace its representative and/or to appoint a proxy by informing the other Parties by post, fax or e-mail.

Each representative shall have a deputy.

- 4.2 The General Assembly shall be chaired by the Coordinator's representative. The General Assembly shall meet at agreed intervals or at the request of its Chairman or at any other time when necessary at the request of one of the Parties where one third of the Parties agree. Meetings shall be convened by the Chairman

giving at least 15 (fifteen) calendar days prior notice with the agenda. For matters of substance the minutes shall be considered as accepted by the parties if within 15 days of receipt thereof the Parties have not objected in writing.

4.3. The General Assembly shall be in charge of:

a) Managing the Project. In this case decisions shall be taken by the majority of the votes of the Parties present or represented by proxy except as provided under (b) and (e) below.

b) Reviewing and/or amending the Work programme defined in Annex 2 together with the allocation between the Parties of the funding provided by the Commission under EU Contract, and the re-allocation between the Parties at the end of the Project of any such funding which remains unused. In this case decisions shall be taken by the majority of 80% of the votes of the Parties present or represented by proxy, providing that any party, the scope of whose work or the time for performance of it are hereby affected or whose costs or liabilities are thereby changed, may veto such decisions.

c) Making proposals of the Parties for the review and/or amendments of:

- the terms of the EU Contract
- the costs or time schedules under the EU Contract
- the termination date of the EU Contract
- EU Contract amendments and extensions

d) Making proposals to the Parties (other than a Defaulting Party as hereinafter defined) for the service of notices requiring remedy of breach and terminating this Agreement with respect to that Defaulting Party, all in accordance with Article 6.6

e) Solving the possible conflict between the Parties and/or work packages at management level

In the case of c), decisions shall be taken unanimously by all Parties. In the case of d) decisions shall be taken unanimously by all the Parties with exception of the Defaulting Party.

4.4 Any decision under article 4.3 requiring a vote at a general Assembly meeting must be identified as such on the pre-meeting agenda, unless there is a unanimous vote on a decision at that meeting, provided all Parties are present or represented.

#### *Article 5 - Costs - Common Charges - Payments*

5.1 Each party shall bear its own costs in connection with the making of the Proposal, the negotiation of the EU Contract (if any), the negotiation of this Agreement and the carrying out of the Project (insofar as the costs are not met by EU funding).

5.2 The Coordinator will forward each Party its share of EU funding received.

5.3 The shares to be paid to each Party are as set out in the project, and as more particularly set out in the Financial Summary Table annexed hereto at Annex 3.

5.4 In the event of lower actual expenditure the respective Party's share of the EU funding shall be limited to the actual expenditure of the respective Party reduced in proportion to that respective Party's percentage share of the total maximum grant payable by the Commission. The difference between the beforementioned amounts must be refunded to the Coordinator (in accordance with the instructions of the Coordinator) who will in turn account to the commission.

#### **Article 6 - Responsibilities**

6.1 Towards the Coordinator and the general Assembly

Each Party hereby undertakes:

(a) promptly to supply to the Coordinator and the General Assembly all such information or documents as the Coordinator and the general Assembly may require in connection with the EU Contract to fulfil their obligations as provided for this Agreement or as the Commission may properly request and to keep the Coordinator and the general Assembly informed of all such requests from the Commission and responses thereto;

(b) to keep (and supply the same to the Coordinator in an acceptable format) full records of costs incurred and time spent on the Project, including but not limited to the provision of details of the time of Partners given in kind and as complementary funding (for this purpose a specimen form of Timesheet is enclosed at Annex 4 hereto); and

(c) promptly to communicate or provide any information or decision which has to be given by it to the General Assembly for the purposes provided for in Article 4.3 of this Agreement;

(d) to take out and maintain policies of insurance for civil liability cover for persons taking part in approved activities during the entire period of the Project.

## 6.2. Towards each other

(a) each Party undertakes to use all reasonable endeavours:

- (i) to perform on time the tasks and work packages assigned solely to it under the proposal and to make available rights and information on time to other Parties under the terms and conditions defined in the EU Contract and in this Agreement;
- (ii) in respect of the tasks and work packages assigned jointly to it and to any other Party of Parties under the Proposal to perform such tasks and work packages on time and jointly with such other Party or Parties;
- (iii) to participate actively with such other Party or Parties in the performance of, or to perform itself as the case may be, such organisational tasks as are assigned to it jointly or solely under the Proposal;
- (iv) promptly to notify the Coordinator and each of the other Parties of any delay in performance in accordance with (i), (ii) and (iii) above;
- (v) to prepare and present the reports to be submitted to the Commission under the EU Contract and Annex 1 hereto in sufficient time to enable the Coordinator to submit to the Commission in accordance with the formats required.

(b) In supplying any information or materials to any of the other Parties hereunder or under the EU Contract each Party undertakes to use all reasonable endeavours to ensure the accuracy thereof and (in the event of any error therein) promptly to correct the same. The supplying Party shall be under no further obligation or liability in respect of the same and no warranty condition or representation of any kind is made, given or to be implied in any case as to the sufficiency accuracy or fitness for purpose of such information or materials. Unless otherwise agreed in writing for the purposes of the Project, each Party shall obtain Third Party Permission in respect of any Third Party Rights in materials supplied and/or developed for the Project by the respective Party.

For the avoidance of doubt the respective Party shall also ensure that Third Party Permissions are obtained to permit translation of such materials for the purposes of the Project;

(c) Each Party shall identify each of the other Parties, within the limits set out in Articles 6.3 and 6.6 of this Agreement, in respect of the acts and omissions of itself and of its employees and agents provided always that such indemnity shall not extend to claims for indirect or consequential loss or damages such as but not limited to loss of profit, revenue, contracts or the like.

## 6.3 Claims of the Commission

If the Commission in accordance with the provisions of the EU Contract claims any reimbursement or payment of damages from one or more Parties;

- (a) each Party whose default has caused or contributed to the claim being made shall indemnify each of the other Parties against such claims provided always that the total limit of liability of that Party to all of the other Parties collectively in respect of any and all such claims shall not exceed twice that Party's Project Share. Any excess shall be apportioned between all the Parties pro rata to their Project Shares; and
- (b) in the event that is not possible to attribute default to any Party under (a) above, the amount claimed by the Commission shall be apportioned between all the Parties pro rata to their project Shares;
- (c) if the Defaulting Party is an Associated Partner (in the sense of the EU Contract) this party shall not hold harmless the Defaulting Party being held liable by the Commission.

6.4. Towards Third Parties

Each Party shall be solely liable for any loss, damage or injury to third parties resulting from its implementation of its part of the EU Contract.

6.5 Sub-contracts with Third Parties

Each Party shall be fully responsible for the performance of any part of its share of the Project in respect of which it enters into any contract with a third party, e.g. an associated contract or a sub-contract.

6.6. Defaults and Remedies

In the event of a substantial breach (but not in case of force majeure) by a Party of its obligations under this Agreement or the EU Contract which is irremediable or which is not remedied within 60 (sixty) days of written notice from the other Parties requiring that it be remedied, the other Parties may jointly terminate this Agreement with respect to the Party concerned ("Defaulting Party") by not less than one month's prior written notice.

Such termination shall take place with respect to such Defaulting Party as of the date of such notice, subject to the provisions in (a) to (d) below.

Notice of such termination shall be given to the Commission and the Commission shall be requested to approve termination of the EU Contract with respect to the Defaulting Party, provided always that:

- (a) without prejudice to any other rights of the other Parties, the licences granted to the Defaulting Party by the other Parties under this Agreement as well as under the EU Contract shall cease immediately but the licences so granted by the Defaulting Party to the other Parties and their Affiliated Companies shall remain in full force and effect;
- (b) the scope of the tasks of the Defaulting Party as specified in Annex 2 shall be assigned to one or several companies and/or entities which are chosen by the other Parties and are acceptable to the Commission and which agree to be bound by the terms of this Agreement, with preference being granted to one or more of the remaining Parties;
- (c) the Defaulting Party shall assume all reasonable direct cost increase (if any) resulting from the assignment referred to in (b) above in comparison with the costs of the tasks of the Defaulting Party as specified in Annex 2 and shall be liable for any so resulting additional direct cost incurred by the other Parties, up to a total amount which taken together with any liability to the Commission under Article 6.3 of this Agreement shall not exceed the total maximum limit of liability specified in that Article in respect of the Defaulting party, and any excess amount shall be shared between the Parties, (including the Defaulting Party) pro rata to their Project Shares at the time of termination. In case the Commission does not approve termination of the EU Contract with respect to the Defaulting Party, such Party shall be deemed to have agreed to a termination with the provision that (a) above applies and that the agreement which is deemed to have been given by the Defaulting Party as aforesaid shall be without prejudice to the rights of the Defaulting Party to appeal against the termination.

6.7 The provisions of Article 6 shall survive the expiration or termination of this Agreement (whether under Article 6.6 or otherwise) to the extent necessary to enable the Parties to pursue the remedies provided for in Article 6.

Article 7 - Force majeure

7.1 If any Party is prevented or delayed in the performance of any of its obligations hereunder by any event beyond the reasonable control of that Party including but not limited to Acts of God, strikes, lockouts or other industrial action, civil commotion, war, fire, flood, or political interference then it shall notify the other Parties of the circumstances and shall be excused from performing those obligations for so long as the event constituting force majeure shall continue. If the event continues for longer than 90 days the Parties shall consult to see how best to continue to perform their obligations under the EU Contract. If in the reasonable opinion of the Parties other than the Party affected by force majeure that Party will not be able to perform its obligations under the EU Contract and this Agreement, then the Parties not so affected shall be entitled jointly to terminate this Agreement with respect to the Party concerned by not less than one month's prior written notice,

and the provisions of Clause 6.6 other than paragraph (c) shall apply as though the Party concerned were a Defaulting Party.

#### Article 8 - Ownership, exploitation and dissemination of results

##### 8.1

(a) each party agrees to be bound by the terms and conditions of Article 10 of the EU Contract (Rights of Ownership). For the purposes of this Clause 8, a Party shall mean a Party together with its Affiliated Companies provided that such Affiliated Companies duly comply with any obligation in relation to licences, user rights and confidentiality arrangements properly requested by any Party.

(b) All copyright and rights in the nature of copyright in any work, documents, paper, information, data and results produced by any individual Party for the purpose of the Project and any methods, patents, processes or procedures developed by them for the purpose of the Project shall, in accordance with Article 10 of the EU Contract, vest in the Coordinator for the duration of the copyright and in the case of other rights for so long as they shall subsist throughout the worlds in all languages (save that any pre-existing rights of any Party shall continue to vest in that Party).

(c) Subject to any prior notification in accordance with Article 8.1 (d) below, each Party hereby grants to the Coordinator a non-exclusive royalty-free licence to use its pre-existing rights solely for the purposes of performing and commercialising the Project and the results thereof.

(d) If any Party wishes to grant certain pre-existing licences and pre-existing user rights other than on a royalty-free basis, such Party shall notify the other Parties of this election prior to the signature of this Agreement. Any election made thereafter shall be ineffective and shall not bind all or any of the other Parties, except with their unanimous agreement.

(e) Subject to the provisions of Article 6.6 of this Agreement the royalty-free licences and user rights in respect of IP shall be deemed irrevocably granted as of the date of this Agreement.

(f) Commercialisation of the Project shall be undertaken only in accordance with the provisions of Clause 10.3. of the EU Contract.

(g) Subject to the provisions of Clause 10.3 of the EU Contract should any Party wish to exploit and commercialise any specific results of the Project produced by the respective Party for the purposes of the Project then that Party may apply to the Coordinator for a licence to exploit the respective results; such licence shall not be unreasonably refused or withheld and shall be subject to separate written agreement.

(h) Any proceeds received by the Coordinator as a result of commercialisation of the results shall be held by the Coordinator (as the legal owner thereof) on trust for the Parties as beneficial owners therein. The distribution of any proceeds from commercialisations shall be as agreed in writing between the Parties.

8.2. Each Party agrees not to use knowingly, as part of a deliverable (including without limitation a software product) or in the design of such deliverable, any proprietary rights of a third party for which such Party has not acquired the right to grant licences and user rights to the Coordinator in accordance herewith. Each Party shall indicate to the other Parties where Third Party Rights subsist in the results.

8.3. If any Party proposes to employ a subcontractor or an associates contractor to carry out any part of that Party's work on the Project, such employment shall only be on terms which enable that Party to carry out its obligations under the EU Contract and this Agreement. The Parties shall not without the prior written agreement of the other Parties grant to the subcontractor or associates contractor any rights to the IP of the other Parties.

8.4. The provisions of this Article 8 shall survive the termination or expiration of this Agreement.

#### Article 9 - Confidentiality

##### 9.1

As respects all information whether oral, in writing or electronic form, whether of a technical nature or otherwise relating in any manner to the business or affairs of another Party, as is disclosed to a Party on a confidential basis by any other Party hereunder or otherwise in connection with the Project whether pending or after execution of the EU Contract each Party (in addition and without prejudice to any undertaking given by that Party under the EU Contract as to use or confidence) undertakes to each of the other Parties that:

- (a) once the EU Contract has been entered into, it will not during a period of five (5) years from the date of disclosure use any such information for any purpose other than in accordance with the terms of the EU Contract and of this Agreement; and

- (b) it will during the aforesaid period of five years treat the same as (and use all reasonable endeavours to procure that the same be kept) confidential and not disclose the same to any other person without the prior written consent of such other Party in each case;

Provided always that:

(i) such undertaking shall not in any case be deemed to extend to any information which a Party can show:

(a) was at the time of receipt published or otherwise generally available to the public.

(b) has after receipt by the receiving Party been published or become generally available to the public otherwise than through any act or omission on the part of the receiving Party,

(c) was already in the possession of the receiving Party at the time of receipt without any restriction on disclosure,

(d) was rightfully acquired from others without any undertaking of confidentiality imposed by the disclosing party,

(e) was developed independently of the work under the EU Contract by the receiving Party or,

(f) was necessarily divulged by marketing products or software in accordance with this Agreement.

(ii) nothing herein contained shall prevent the communication of the same to the Commission or (against similar undertakings of confidence and for delivery of such information as are contained in this Agreement) to any Affiliated Company or to any permitted third party insofar as necessary for the proper performance of the EU Contract.

9.2. As respects any permitted communication of any of the information referred to in Article 9.1 by the recipient Party to any other person (including but not limited to its Affiliated Companies) such Party will use all reasonable endeavours to procure due observance and performance by such other persons of the undertakings referred to in paragraph (ii) of Article 9.1. of this Agreement and all relevant undertakings in the EU Contract.

9.3. The provisions of this Article 9 shall survive the expiration or termination of this Agreement.

#### Article 10 - No Partnership or Agency

Nothing in this Agreement shall be deemed to create a partnership or agency between the Parties or any of them, save that for the purposes of this Agreement and the EU Contract the Coordinator is entitled to act for the other Parties in accordance with the terms of the EU Contract and of Article 3 of this Agreement.

#### Article 11 - Assignment

No Party shall without the prior written consent of the other Parties, assign or otherwise transfer partially or totally any of its rights and obligations under this Agreement. This provision shall not apply when such assignment or transfer is in favour of an Affiliated Company of the Party making the assignment or transfer.

#### Article 12 - Duration - Termination

12.1 This Agreement shall come into force as of the date of its signature but shall then have retroactive effect as from **(day/month/year)** and shall thereafter continue in full force and effect until complete discharge of all obligations undertaken by the Parties under the EU Contract and under this Agreement as well as any amendment or extension thereof.

12.2 Each Party may terminate the Agreement in the case of early termination of the EU Contract by giving 2 months written notice to the other partners.

12.3 No Party shall be entitled to withdraw from or terminate this Agreement and/or its participation in the project unless:

(a) that Party has obtained the prior written consent of the other Parties to withdrawal and termination or  
(b) that Party's participation in the EU Contract is terminated by the Commission pursuant to the provisions in the EU Contract or,

(c) the EU Contract is terminated by the Commission for any reason whatsoever, provided always that a Party shall not by withdrawal or termination be relieved from

(i) any of its obligations under this Agreement which are intended to survive such event

(ii) its responsibilities under this Agreement or the EU Contract in respect of that Party's work on the project which has been carried out (or which should have been carried out up to the date of withdrawal or termination) or

(iii) from any of its obligations or liabilities arising out of such withdrawal or termination

12.4 In the event that any Party enters into bankruptcy or liquidation or any other arrangement for the benefit of its creditors the other Parties shall, subject to approval by the Commission, be entitled to take over the fulfilment of such Party's obligation and to receive subsequent payments under the EU Contract in respect thereof.

#### Article 13 - Settlement of disputes

13.1 In case of dispute or difference between the Parties arising out of or in connection with this Agreement, the Parties shall first endeavour to settle it amicably.

13.2 All disputes or differences arising in connection with this Agreement which cannot be settled as provided for in the preceding Article 13.1 shall be decided in accordance with the Rules of the London Court of International Arbitration (which Rules are deemed to be incorporated by reference into this Article) by one or more arbitrator appointed in accordance with those Rules.

#### Article 14 - Language

This Agreement is drawn up in English which language shall govern all documents, notices and meeting for its application and/or extension or in any other way relative thereto.

#### Article 15 - Notices

Any notice to be given under this Agreement shall be sent by fax or post or by e-mail confirmed by fax or post to the addresses listed at the beginning of this Agreement.

#### Article 16 - Applicable Law

This Agreement shall be construed according to and governed by English law.

#### Article 17 - Entire Agreement - Amendments

This Agreement and the EU Contract constitute the entire agreement between the Parties in respect of the Project and supersede all previous negotiations, commitments and writings concerning the Project.

Amendments and changes to this Agreement shall be valid only if made in writing and signed by an authorised representatives.

Authorised to sign on behalf of

*(name of the coordinating institution)*

**Signature:**

**Name:**

**Title:**

*(name of the partner institution)*

**Signature:**

**Name:**

**Title:**

Etc.

Annexes

Annex 1: Project contract with the Commission

Annex 2: The work programme

Annex 3: Financial Summary Table

# Appendix 8: Example of Partner Agreement (IV)

## AGREEMENT

Between

The project Coordinator:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Representative: \_\_\_\_\_

And

The below mentioned project partner:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Representative: \_\_\_\_\_

Name and address of the Bank

Account holder or special reference

Bank Codes and Account Number

Swift Code

On the subject of \_\_\_\_\_

Terms of cooperation in accordance with the arrangements set out in the "Application proposal" by (*day/month/year*) (Annex 1), the "Financial Agreement" (Annex 2) and the revised "Budget Summary and Financial request" (Annex 3) for the Socrates project:

**(Title of the project, reference number of the project)**

**Duration of agreement for the first project year:**

**Duration of the project:**

The (*name of the project*) project has been accepted by the European Commission.

The Commission has decided to co-fund the project with **XX%** (max. **XXX** EURO) of the total project costs of **XXX** EURO. The remaining **XXX%** (**XX** EURO) have to be contributed by national sources.

The above mentioned institution is a partner in the project and respects the terms of the contract with the European Commission (as laid down in the "Application proposal", the "Financial Agreement" and the revised of the "Budget Summary and Financial Request").

### **I Means of funding**

Name of the project partner:

Total budget share of the project partner: **XXX** EURO

SOCRATES co-funding share: **XXX** EURO

National co-funding share of the project partner: **XXX** EURO

The above mentioned institution will get a total of **XXX** EURO as the sum calculated as the EU-co-funding share for the (*name of the project*) project.

As agreed by all project partners the remaining **XXX** EURO as the sum calculated as the national co-funding share for the **(name of the project)** project will be brought in by the above named institution.

This money has to be strictly and solely dedicated to the project funding in accordance with the budget items laid down in the financial tables of the application.

## II Terms of money transfer

The above mentioned institution knows that the Coordinator will receive a first instalment of 80% of the SOCRATES co-funding share stipulated on the contract as an advance on the intended goals of the project. The final grant amount of 20 % will be calculated according to the Declaration of Expenses of the Final Report in accordance with the general conditions and the Rules on Eligible Expenditure.

The SOCRATES co-funding share will be transferred by the Coordinator in three steps after the respective outcomes have been handed in, have been evaluated and found satisfactory:

	Hand-in date of contributions	Date and % of money transfer
I	<b>(day/month/year)</b> <u>First contribution</u>	<b>(day/month/year), 40%</b> <u>First money transfer</u>
	<b>(day/month/year)</b> <b>Second contribution</b>	
II	<b>(day/month/year)</b> <b>Third contribution</b>	<b>(day/month/year), 40%</b> <u>Second money transfer</u>
III	<b>After acceptance of Final Report by the Commission</b> <b>(due 30/9/XXXX)</b>	<b>Third money transfer, 20%</b>

## III Subject of Funding

The project goals, outcomes, and products are binding for the project team and each partner. All partners are obliged to stick to the aims of the project as laid down in the application, particularly in points B, C, D. D4 states the respective tasks of the Coordinator and each partner. Any contribution must form part of the tasks laid down there.

The representative of the participating institution guarantees that the common project aim will be seen to with all the necessary care.

The project partner will do his/her best to contribute to the collective goal:

- The representative will see to it that essential information is continuously forwarded to the project manager (name of the person).
- The representative will see to it that the contributions listed in the application will be developed according to the work plan or adapted within the laid down period.
- The representative will see to it that the interaction among partner on the project's progress takes place in a continues and directed form.
- The representative will see to it that personal continuity is given and that consistency of work is guaranteed.

## IV Accounting Balance

A detailed accounting balance in accordance with their respective statements in the financial agreement must be turned in (together with all the copies of invoices and proofs) on **(day/month/year)** to the Coordinator at the latest.

Original voice, debit notes, receipts, bankstatements for every item of expense have to be thoroughly documented and kept by the institution and can only be financed by project funding if they are in compliance with eligibility of expenditure.

The project partner is fully responsible for the correct delivery of the declaration of expenses and the appropriate application of accounting system.

The accounting period starts **(day/month/year)** and ends **(day/month/year)**.

## V Hand-in and reporting Requirements

The above named representative is responsible for delivering and reporting the institution's work and reporting in-between. The institution will thoroughly document the work in progress and hand in interim reports on the following dates:

*(day/month/year)*

*(day/month/year)*

*(day/month/year)*

In the application the above named institution has agreed to fulfil the below named tasks (quoted from the application):

*( A description of tasks of the partner concerned)*

The above named representative wishes to specify these tasks as follows:

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## VI Intellectual property

Preamble

Transnational cooperation is regarded as a strategic partnership: partners bring in kind and contribute through their intellectual know-how to a collective product. Within the period of cooperation there will be no charge of fees between partners with the exception of a symbolic fee for the use of the online platform developed by one of the partners.

Copyrights will be respected as follows:

- Material already developed and brought in may be only used within the scope of the project as templates of good practice. Copyrights have to be strictly safeguarded, permission for reproduction and scale of reproduction have to be settled beforehand. Any money needed for clarifying rights for material already developed outside the project have to be financed by other sources than the project budget.
- Where partners develop material within the scope of the project this material will be available for the partnership as a means within the common goals set in the partnership. This material might be quoted for free and referred to extensively within the range of collective product. When it comes to dissemination and delivery, the respective partner has to be asked for licence permissions.
- The collective project products will all be in *(language)*. Where they comprise findings, secondary research work, gathering and sampling of data, and the guidelines for various fields of good practice they might be reused as extracts by any partner in any context as long as they are clearly identified as stemming from the *(name of the project)* partnership and as long as all copyright matters are seen to.
- Collective products in tangible form, like manuals, CD-ROMs, online data, as the authorised result of the *(name of the project)* project work may be disseminated and translated into the respective partner's mother tongue for free as long as they are not marketed for profit. Where a partner has the intention to use the collective products for commercial purposes permission has to be obtained from each copyright holder. Throughout the contractual period of the project the partnership is the proprietor of the product, and thus the Coordinator is the copyright holder. Each partner remains the copyright holder for his or her contribution - this may be a text, a design or a concept of material or media of transmission. As soon as the partnership has ended each copyright holder has to be asked for permission of reproduction and/or licence.
- Where partners have the intention of adapting and reusing parts of the collective material or translate the material in any other language than their own they have to obtain their permission from the individual copyright holders. If any of the partners has the intention to transfer his or her rights for the collective product to a third party he or she must check back and ask for permission from all copyright holders for their parts.

We, the undersigned, declare that we have read and accepted the terms and conditions of this Contract as described here before, including the annexes thereto.

**Signatures**

**For the Contractor:**

Name:

Position:

Date and Place

Stamp

**For the Partner:**

Name:

Position:

Date and Place:

Stamp

## Appendix 9: Progress Report Form

Example of an interim report of a project partner to the coordinator

### Part 1. Data

Project: <i>(name)</i> Interim report of <i>(partner institution)</i> Period: <i>(day/month/year)</i>
---

### Part 2. Qualitative evaluation

#### 2.1. + Overview of project activities and results

Period	Activities
<b>Month</b>	<ul style="list-style-type: none"> <li>• <i>Report of activities to the Coordinator</i></li> <li>• <i>Preparation of the project meeting in X</i></li> <li>• <i>Literature search on (topic)</i></li> </ul>
<b>Month</b>	<ul style="list-style-type: none"> <li>• <i>Second meeting, X</i></li> <li>• <i>Collection of good practice (see doc. 2)</i></li> <li>• <i>Full-text of articles in literature lists have been sent to all partners</i></li> </ul>
<b>Month</b>	<ul style="list-style-type: none"> <li>•</li> </ul>
<b>Month</b>	<ul style="list-style-type: none"> <li>•</li> </ul>

All documents have been sent to the Coordinator. The questionnaire (in Dutch language) also has been sent to the evaluator.

#### 2.2. Evaluation of the work undertaken

The questionnaire set up by the evaluator has been filled out. No external evaluator has been appointed for our national project. Consultation of experts has taken place, more in particular with X. Y., expert of the University of X and W. Z., who has prepared a manual for attracting target groups in basic education.
---

### Part 3. Concrete outcomes

Different documents have been prepared: a) literature review (document) b) survey of "present future" (questionnaire) c) article by X. Y. " <b>Title</b> "; this article has been written for our project (document)
---

### Part 4. Expenses

#### 4.1 Personnel

--

#### 4.2 Travel, accommodation, subsistence

--

#### 4.3 Technology (hardware) and equipment

--

#### 4.4 General administration costs

--

#### 4.5 Consultancy costs

--

#### 4.6 Documentation costs

--

#### 4.7 Other costs

--

#### 4.8 Total

--



# Appendix 11: Internal Report Sheet - Personnel Costs

**Project:** \_\_\_\_\_

**Partner institution:** \_\_\_\_\_

**Period:** \_\_\_\_\_

1. Name: \_\_\_\_\_

Personnel register reference: \_\_\_\_\_

Normal monthly salary: \_\_\_\_\_ = \_\_\_\_\_ EURO

Cost to employer per day: \_\_\_\_\_ = \_\_\_\_\_ EURO

Time spent on project: \_\_\_\_\_ days

**Total cost:** \_\_\_\_\_ **EURO**

Signed (employee) \_\_\_\_\_

Signed (employer) \_\_\_\_\_

<b>Total costs of personnel</b>	
<b>Costs to be covered by Socrates grant</b>	
<b>Costs to be covered by own resources</b>	

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature (employee)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature (employer)

## Appendix 12: Internal Report Sheet - Travel + Subsistence Costs

Project: \_\_\_\_\_

Partner institution: \_\_\_\_\_

Period: \_\_\_\_\_

### Travel

Date	Reason for travel	Destination	Means of transport	Costs
Total costs in EURO				

### Subsistence (incl. accommodation)

Number of days	Subsistence costs per day	Total costs

Total costs of travel and subsistence	
Costs to be covered by Socrates grant	
Costs to be covered by own resources	

\_\_\_\_\_

Date

\_\_\_\_\_

Signature

## Appendix 13: Internal Report Sheet - Consultancy Costs

Project: \_\_\_\_\_

Partner institution: \_\_\_\_\_

Period: \_\_\_\_\_

Name of consultant:	Description of activity:	Cost per day	Number of days	Total costs
<b>Total costs in EURO</b>				

Note: The remuneration of the consultant should not normally exceed 400 EURO per day (VAT or equivalent sales tax excluded)!

<b>Total costs of consultancy</b>	
<b>Costs to be covered by Socrates grant</b>	
<b>Costs to be covered by own resources</b>	

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

## Appendix 14: Internal Report Sheet - Technology and Equipment

Project: \_\_\_\_\_

Partner institution: \_\_\_\_\_

Period: \_\_\_\_\_

<b>Purchase</b>						
Description of the equipment, technology and/or software purchased	Date acquired (month & year)	A. Installation, maintenance, insurance costs	B. Cost	C. Depreciation rate*	D. Utilisation % for project	Amount for project A+(BxCxD)
					%	
					%	
					%	
<b>Total costs for the project in EURO</b>						

\* Purchases costing over 1.000 EURO (VAT excluded) must be depreciated over a 3-year period

<b>Rental / Lease</b>						
Description of the equipment, technology and/or software rented/leased	Start date of the contract for the rental/lease	Duration of rental/lease for this contractual period	A. Installation, maintenance, insurance costs	B. Costs for this contractual period	C. Utilisation in % for project	Total amount for project A+(BxC)
					%	
					%	
					%	
<b>Total costs for the project in EURO</b>						

<b>Total costs of technology and equipment</b>	
<b>Costs to be covered by Socrates grant</b>	
<b>Costs to be covered by own resources</b>	

\_\_\_\_\_ Date

\_\_\_\_\_ Signature

## Appendix 15: Internal Report Sheet – General Administration

Project: \_\_\_\_\_

Partner institution: \_\_\_\_\_

Period: \_\_\_\_\_

Budget Head	Describe the system used to calculate the costs:	Attributed to the project:	Costs in euro:
1. Communication			
2. Office Supply			
3. Insurance			
4. Rental of premises			
5. Photocopies			
Other (specify): .....			
<b>Total</b>			

<b>Total costs of general administration</b>	
<b>Costs to be covered by Socrates grant</b>	
<b>Costs to be covered by own resources</b>	

\_\_\_\_\_ Date

\_\_\_\_\_ Signature

## Appendix 16: Internal Report Sheet – Documentation Costs

Project: \_\_\_\_\_

Partner institution: \_\_\_\_\_

Period: \_\_\_\_\_

Product 1: \_\_\_\_\_

<b>Printing</b>	Number	Costs per unit	Total costs in EURO
<b>Translation</b>	Pages	Costs per line *	Total costs in EURO
<b>Dissemination</b>	Number	Costs per unit	Total costs in EURO
<b>Other:</b> _____			
<b>Total</b>			

Product 2: \_\_\_\_\_

<b>Printing</b>	Number	Costs per unit	Total costs in EURO
<b>Translation</b>	Pages	Costs per line *	Total costs in EURO
<b>Dissemination</b>	Number	Costs per unit	Total costs in EURO
<b>Other:</b> _____			
<b>Total</b>			

\* Note: For translations the maximum is 1 EURO per line!

<b>Total costs of documentation</b>	
<b>Costs to be covered by Socrates grant</b>	
<b>Costs to be covered by own resources</b>	

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

## Appendix 17: Internal Report Sheet – Other Costs

Project: \_\_\_\_\_

Partner institution: \_\_\_\_\_

Period: \_\_\_\_\_

Other (please specify):

Type of cost	Description of activity:	Total costs in EURO*
<b>Total</b>		

<b>Total other costs</b>	
<b>Costs to be covered by Socrates grant</b>	
<b>Costs to be covered by own resources</b>	

\_\_\_\_\_ Date

\_\_\_\_\_ Signature

# Team Profile





**Opetusalan Koulutuskeskus** is a Finnish national Institute for Professional Development in Education. **Vesa Purokuru** has coordinated various projects in the framework of Comenius and Netdays99. He is also an expert in IT based learning environments and project administration.



**CIMO, Centre for International Mobility**, promotes and implements SOCRATES in Finland. **Eija Wilen** was the Finnish programme manager of the centralised actions Comenius 3.1, Adult Education, ODL and Lingua D in SOCRATES I. She is now responsible for Grundtvig and Minerva.



The **European Resource Centre, University of Hull**, supports schools in the United Kingdom in international educational activities. **Ray Kirtley** has organised many networks, projects and courses in the framework of SOCRATES and other programmes.



The **Central Bureau for International Education and Training**, a division of the **British Council**, is the UK National Agency for the Comenius, Grundtvig, Lingua, Minerva and ARION actions of SOCRATES. **Sue Ling, UK**, is responsible for managing ARION, Comenius Actions 2 & 3 and Lingua.



**Pädagogisches Institut der Stadt Wien** is one of the largest in-service teacher training institutions in Austria. Their coordinator of international activities, **Silvia Wiesinger** is an experienced teacher trainer and has been personally involved in many Comenius and Lingua projects.



**Büro für Europäische Bildungskooperation, SOKRATES-Büro**, is the National Agency for the SOCRATES Programme in Austria. **Holger Bienzle**, programme manager for the former action Comenius 3 and Grundtvig, has coordinated the **Survival Kit** project.



# Team Profiles