

## **Programmes Guidelines and Procedures**

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## Baseline

An ESF Scientific Programme is a networking activity covering all domains in the research spectrum, bringing together key researchers and research groups, usually for four or five years, to address a major scientific issue at the European level.

Key objectives include sharing knowledge and expertise, developing new techniques, training young scientists, bringing together nationally funded programmes in a European coordinated activity and creating interdisciplinary fora. ESF Programmes differ from [ESF Networks](#) in their longer duration, larger scope and in their funding mechanism. Programmes are funded on an à la carte principle by [ESF Member Organisations](#), but may also be supported by other funding agencies in partnership with ESF.

In encouraging new Programmes, the [ESF Standing Committees](#) aim to encourage a bottom-up approach as well as sometimes setting priorities to reflect strategic needs.

## Openness of participation

ESF Scientific Programmes are "open" activities. Principal participants within a Programme, e.g. Steering Committee members, are expected to network with colleagues in other research groups to ensure that opportunities in a Programme's activities are known and are open to all eligible participants. Programmes should not be "closed" by limiting their activities to the research groups of the principal participants.

## Eligibility

Proposals may be submitted by researchers working within or having affiliations to institutions eligible for support by, or which are part of, agencies that are Member Organisations of ESF. Proposals may have co-proposers from non-ESF member countries. In this case, the co-proposers should assure their funding through their respective national agencies or through another funding body.

## Making a Programme proposal

A successful Programme proposal must show high scientific quality and that it will bring added value to national research by being carried out at a European level rather than by individual research groups.

A Programme proposal should be written in English (10 A4 pages is advised) It should cover scientific, administrative and financial details. There are no application forms but the proposal should cover the following key aspects:

- Abstract and keywords
- Scientific objectives
- Scope of the Programme
- European added value
- Proposed activities and budget
- Key targets and milestones
- Available facilities and expertise
- List of proposed Standing Committee members
- Possible cooperation and interaction with other international and/or national programmes and organisations

ESF Programmes have on average a budget of between 50 000 to 200 000 EUR per year of their duration.

The budget covers the Programme's networking costs, i.e. the costs of "human mobility and coordination" that arise from carrying out the collaborative actions under the Programme. The Programme budget does not cover the costs of R&D actions such as equipment or salaries of the participating researchers or their hardware or materials costs; all such R&D costs should be funded directly at the national/EU level by the respective institutions.

Budget lines are available for the following activities: (see following pages for details)

- Steering Committee Meetings
- Science Meetings (workshops, conferences, schools)
- Grants
- Publicity, Websites and Publications
- Data preparation and computing
- External administrative costs
- Programme Coordinator

Proposals should be submitted to the relevant committee secretariat. All committees, except PESC, are open to receive proposals throughout the year, whilst PESC operates an [annual call](#) with a deadline.

## Assessment process

All proposals are peer reviewed by external referees selected by ESF. The proposals and accompanying referee comments are submitted to the relevant ESF Scientific Standing Committee which will prioritise the proposals, using first, proposal quality criteria and second, portfolio management criteria. This committee will recommend those proposals to be forwarded to Member Organisations.

All proposals will be assessed on the basis of excellence and novelty, timeliness, value to European science, value for money, programme management, plus additional specific criteria reflecting the policy of each committee.

Recommended proposals are sent to ESF Member Organisations and other national funding agencies with official Observer status, seeking funding on an à la carte basis. Programmes receiving a viable level of funds are submitted to the ESF's Executive Board for formal approval to be launched.

## Financial matters

An ESF Programme provides financial support for the networking activities to achieve the Programme's objective. Research activity, i.e. salaries and equipment, is not funded as this is expected to be covered by the respective national research programmes.

All ESF Programmes are financed on an à-la-carte basis by those Member Organisations and other national funding agencies including those with official Observer status which decide to contribute. The grouping of ESF Member Organisations and any other organisations contributing to the Programme is known as the "contributing organisations". Contributions will be sought on the basis of a calculation which takes into consideration GDP per capita and ESF Member Organisations' contributions. Agencies which are not members of ESF contribute to the Programme funds on a negotiated basis. Approval of an ESF Programme by the ESF Executive Board is dependent on sufficient financial support having been obtained.

ESF issues an annual call for contributions to those agencies participating in ESF Programmes. Funds are received and managed by ESF on a Programme-by-Programme basis. ESF accounts for Programmes are audited annually and the auditors' report is presented to the ESF General Assembly.

At present, the ESF General Budget charges an administration fee of 5% of the annual contributions requested for each Programme. (It is proposed to increase this to 7.5% to be applied to existing and future programmes as from 1<sup>st</sup> January 2004 onwards . This is subject to final approval later in the 2003). This levy covers only a part of the costs of providing overall support for the Programme and also to cover administrative costs, the rest being covered by the ESF General Budget. The Programme will have a budget covering activities outlined in the section "Making a Programme proposal".

The fiscal year of ESF is the calendar year.

The Steering Committee is responsible for the scientific planning of the Budget. ESF's responsibility is to ensure that the budget is allocated and spent in an appropriate and effective manner within its financial rules.

At the end of the Programme, any unspent balance is transferred to a General Account for Scientific Programmes where it remains available to respective Standing Committees to finance scientific activities of general interest. The use of these funds is subject to approval by the relevant Standing Committee (or on a delegated basis, to the Standing Committee Chair).

## Programme management

ESF Scientific Programmes are self-coordinating activities. In terms of decision making, the principle of self-management is the overall rule applying to programmes within the guidelines and procedures of ESF.

Responsibility for managing a Programme rests with its Steering Committee, to which each contributing organisation can nominate a member.

### Chair

The Steering Committee selects a Chair from within its membership; normally this person is one of the proposers and must come from a country of one of the contributing Member Organisations. The Chair represents the Programme and is responsible for its scientific and operational coordination and for reporting to ESF. He/she is expected to dedicate a reasonable amount of time and effort to the management of the Programme.

### Steering Committee

The Steering Committee is the decision-making body for a Programme. It is responsible, together with ESF staff, for approving the Programme's annual budget and activities in line with the initially approved proposal. Where the Steering Committee is large, an Executive Group may act between the more infrequent meetings of the Steering Committee.

[See Annex 1.](#)

### ESF Office

An ESF team, including the liaison officer, under the supervision of the relevant ESF Head of Unit, will be responsible for working with the Programme Steering Committee.

ESF, on behalf of the contributing organisations, retains ultimate financial and management authority.

## Type of activities supported by the Steering Committee

All activities must be in the interests of the Programme and not necessarily limited geographically to contributing countries. Having assessed scientific merit and relevance to the Programme, preference should normally be given to activities in the following order:

1. between contributing countries;
2. between a contributing country and a non-contributing ESF member country;
3. between a contributing country and a non-ESF member country in Europe;
4. between a contributing country and any country not covered by 1-3.

If agencies from countries with ESF Observer status are not contributing to a given programme, their scientists should be classed as non-ESF. Decisions on eligibility will be taken by the ESF Head of Unit.

### Programme Coordinator

The Programme's budget may cover costs of a Programme Coordinator to assist the Chair in managing and coordinating Programme activities.

[See Annex 2.](#)

### Committee meetings

The Steering Committee typically meets once per year, and more frequently if necessary. To economise on resources, a committee meeting should be scheduled, if possible, in conjunction with a workshop or conference and held at a convenient European location. The Steering Committee should hold its first meeting at the ESF in Strasbourg within three months of the formal approval of the Programme.

### Science meetings within a Programme

A Programme workshop may bring together 10 to 50 participants for two to four days to focus on a specific issue. The Programme may also schedule a conference within its own structure and budget, or may apply for and co-sponsor a European Research Conference, EURESCO. Opportunities may arise for a joint conference with an external partner.

Decisions on workshops will be taken by the Programme Steering Committee using guidelines developed for such matters.

[See Annex 3.](#)

Potential organisers should consult the Guidelines for Proposers of Science Meetings provided by ESF on organisational and financial aspects.

[See Annex 4.](#)

## **Grants**

Grants must be relevant to the overall aims of the Programme, especially when this involves applications from non-ESF member countries. Decisions on grants will be taken by the Programme Steering Committee using guidelines developed for such matters.

[See Annex 3.](#)

The ESF secretariat provides Guidelines for Grants.

[See Annex 5.](#)

## **Publicity, websites and publications**

General Programme brochures must be produced within the first six months of the beginning of each Programme. ESF also sets up a Programme homepage on its website and the Steering Committee may establish its own local website. Other communication activities may include a regular newsletter, scientific volumes, published proceedings of workshops or conferences, study reports, etc.

[See Annex 6.](#)

## **Data preparation and computing**

The Programme may pursue the establishment of a scientific database at the European level. This item might include honoraria.

## **External administrative costs**

The Programme's budget may be used to cover some costs incurred by the Chair's institute such as occasional secretarial help or running expenses.

[See Annex 7.](#)

## **ESF administrative costs**

At present, the ESF General Budget charges an administration fee of 5% of the annual contributions requested for each Programme. (It is proposed to increase this to 7.5% to be applied to existing and future programmes as from 1st January 2004 onwards . This is subject to final approval later in the 2003). This levy covers only a part of the costs of providing overall support for the Programme and also to cover administrative costs, the rest being covered by the ESF General Budget.

## Extensions

The first meeting of the Steering Committee marks the launch of the Programme. Limited extensions, up to six months, may be granted in exceptional circumstances, and with no additional funding. Extensions should be considered only in order not to miss a major scientific opportunity, and must not be considered if the principal objective of the extension is “to use unspent funds”. Such decisions are the responsibility of the ESF Heads of Units.

Programmes requiring extra funds or longer extensions (e.g. a “new Programme”) may, according to Standing Committee policy, be allowed to submit a follow-up Programme proposal for consideration in the normal, competitive, peer-reviewed manner.

### **Composition**

Each agency contributing funds to the Programme is eligible to nominate a member for the duration of their contribution. Normally, only one member per country is accepted, but flexibility may be shown if there are two or more contributing agencies from the same country.

Contributing agencies eligible to nominate voting members are ESF Member Organisations and agencies with Observer status within ESF (at present: the Israel Academy of Sciences, the US National Science Foundation, the US National Institutes for Health and the US National Endowment for the Humanities). Contributing agencies outside these groups may also nominate members, but these will be non-voting members unless specific prior arrangements have been made with ESF.

The usual practice is for agencies to nominate for membership those scientists from their country listed in the proposal.

Gender and age balance should be taken into account in forming the Steering Committee.

### **Chair**

The Chair is elected by the Steering Committee from among its membership. In addition to the specific responsibilities of this position, the Chair will also act as the member for his/her contributing agency.

### **Advisory experts**

A very limited number of experts whose presence is essential on scientific grounds may be invited to attend meetings of the Steering Committee. The basis for this will be decided at the first Steering Committee and is subject to approval by ESF. The expenses of such persons from ESF member countries may be paid out of the Programme funds.

### **ESF staff, assistants to the Chair, Programme Coordinators**

These may attend meetings but are not members of the Steering Committee.

### **Role**

The Steering Committee should ensure that ESF guidelines and all other relevant information are disseminated among all participants at the beginning of an activity.

Within certain limits, the ESF delegates to the Steering Committee the management of scientific activities and the financial planning for the Programme. ESF can vary this delegation at any time.

The primary objective of the Steering Committee is to ensure that the high-level scientific objectives of the approved proposal are achieved. Recognising that a degree of flexibility in scientific and financial management is essential in these circumstances, ESF will normally, as the Programme develops, accept a degree of adjustment from the original proposal, provided this is justified in scientific terms and recognising that the Programme's achievements and continuation are subject to review at selected intervals. ESF will not accept any adjustments that it considers to run counter to its responsibilities to the contributing agencies, or run counter to ESF financial practice.

ESF staff attending Steering Committee meetings will advise Steering Committees on these matters. In occasional cases, including commencing activity in scientific areas not included in the approved proposal, the circumstances may require referral to the ESF Scientific Secretary responsible for the Programme. In very exceptional circumstances, the Scientific Secretary responsible for the Programme may require the submission of information for consideration at Standing Committee level. As Budget Holder, ESF reserves the right to ensure the Steering Committee's decisions are in accordance with ESF's principles and objectives.

### Operating principles

1. The **Steering Committee** typically meets once per year, and more frequently if necessary. In the case of a large Committee, an **Executive Group** may act between the more infrequent meetings of the Steering Committee. In principle, Steering Committee members who are unable to attend the meeting should not be substituted. The duration and location of the meeting is decided jointly by the Programme Chair and ESF. The Steering Committee should hold its first meeting at the ESF in Strasbourg within three months of the formal approval of the Programme.
2. Steering Committee members, as the national representatives of ESF Member Organisations that financially support the Programme, should ensure that information on the Programme and Programme activities is distributed as widely as possible to the scientific community within their own countries. They may also be required to provide progress reports on the Programme to their ESF Member Organisation.
3. Steering Committee members should also take an active part in all the decisions concerning the running of the Programme, i.e. approval of proposals for scientific activities, approval of awarding of exchange grants, approval of budget etc.
4. In the event of a vote, decisions will be made by a simple majority of those voting. The Chair and members present are all entitled to vote. The Chair shall have an additional casting (deciding) vote in the event of a tied vote.
5. When an Executive Group has been set up, it acts on behalf of the Steering Committee in taking care of the day-to-day tasks, to prepare recommendations to the Steering Committee, or to deal with funding applications. Ad hoc working groups may be set up to carry out the detailed planning of Programme activities such as symposia and workshops.
6. The Programme Steering Committee Chair is responsible for the production of all Programme reports.
7. Intellectual Property Rights must be discussed and agreed at the first meeting of the Steering Committee.

### Meeting expenses

The ESF expects that costs be kept to a minimum e.g. scheduling meetings around weekends so that cheaper air tickets can be purchased (APEX), holding the meeting at a European location or at the home institute of a member of the committee. These meetings may also be held as "satellite" meetings combined with a Programme workshop or conference.

The travel and associated costs of Steering Committee members for attendance at Steering Committee meetings or sub-meetings will be covered by the funds of the Programme, in accordance with ESF rules for reimbursement of expenses (see ESF Travel Claim Form).

This budget heading also covers limited and justified **travel costs incurred by the Chair** and approved by the Steering Committee plus any costs of an ESF review meeting on the Programme.

## **Programme Coordinator (outside ESF)**

## **[Annex 2](#)**

The Programme's budget may cover costs of a Programme Coordinator to assist the Chair and ESF in managing and coordinating Programme activities.

The proposal for the use of a Programme Coordinator should be included and justified in the Programme proposal. The job description and the duration of the task has to be part of the proposal.

The Coordinator is not a member of the Steering Committee.

**The role of the Programme Coordinator** includes all or part of the following tasks:

- Assist the Chair and the Steering Committee in achieving the Programme aims and objectives: day-to-day administration, and general responsibility for the full documentation of the Programme
- Produce documents for the Steering Committee meetings following an agenda agreed in advance with ESF. Documents related to policy/strategy, especially future programme planning and budget, must be agreed in advance with the ESF
- Attend Steering Committee meetings and write minutes
- Organise scientific activities (e.g. workshops, conferences, exchange visits, schools) in collaboration with the specific convenors responsible for each event and in liaison with ESF staff
- Assist with the publication and dissemination of working papers, prepare and distribute a Programme newsletter
- Develop and maintain the content of an external website in order to provide a clear and up-to-date source of information about the Programme's activities and output
- Act as the day-to-day contact point for researchers concerning the Programme and for the ESF office
- Provide assistance to the Chair and the Co-Chair in the preparation of reports and other documentation

### **Requirements**

In general, the person appointed should be a researcher at post-doctoral level (or post-graduate) with a good knowledge of the field of the Programme. He/she should preferably be part of the Chair's research group.

### **Appointment details**

The Coordinator will be an employee of a university or institute to which ESF will make financial contributions on an agreed basis towards the costs of the Coordinator's salary related to the ESF activity. Otherwise, if the Coordinator does not have a formal status in a university or institute, then honoraria will be paid on agreed terms.

The Programme proposal should contain the costs foreseen and their justification, this being subject to approval in the assessment of the proposal by the Standing Committee. The detail of the costs and the duration of the position of Coordinator should be agreed by the first meeting of the Programme Steering Committee within the bounds set by the ESF approval. This appointment has to be made in consultation with the ESF.

If necessary for the employing institution, ESF will send a letter that will assure the institution that all relevant payments will be covered during the period of employment. This letter should be signed by the ESF Director of Finance and Administration the relevant ESF Head of Unit. In general, no contracts between ESF and employing institution will be made.

This budget heading covers only contributions to the salary, or if relevant, an honorarium.

## **Guidelines for Programme Steering Committees Concerning Assessment of Applications for Funding**

## **Annex 3**

Many ESF Programmes deliver part of their activity through the award of funds for the support of individuals, groups and workshops. Frequently, such awards follow an open or set call for proposals and selection following assessment. ESF follows certain standards in its own assessment processes and expects ESF standards to be followed within its programmes when allocating ESF funds.

1. ESF delegates powers of approval for these awards to the Steering Committee. The Steering Committee must agree to any further delegation of these powers.
2. The Steering Committee may establish sub-groups of its members, which may vary from time to time and from scheme to scheme, to assess proposals and to agree to those which may be funded.
3. It is recommended that these sub-groups consist of more than two persons (to allow for problems of interest, plus one person authorised to take the decision (typically the Committee Chair). External advice may be sought.
4. The Steering Committee should agree the criteria for assessing proposals in line with the programme objectives. Wherever possible, these criteria should be made known to potential applicants in advance.
5. In operating these criteria, it is expected that every care will be taken to avoid any bias on the grounds of gender, age or, within the bounds of the Programme collaboration, nationality. However, the Steering Committee may set overt criteria to address a specific Programme need, e.g. regional/national balance in an activity or young research fellowships.
6. Decisions taken under delegation from the Steering Committee should be reported to the committee's next meeting.
7. Records of decisions, and any related assessments or rationale, should be archived in the ESF dossier for the Programme.
8. Steering Committee members and other assessors should not involve themselves in the assessment of proposals in which they have a personal or financial interest. In exceptional circumstances (e.g. uniqueness of expertise), such a bar may be waived with the agreement of the other members involved, if the interest is declared and considered not to compromise the potential decision.
9. Evidence of contravention of these guidelines with respect to bias or interest may result in removal of the member from the Steering Committee and notification of the relevant ESF Member Organisation.

# Guidelines for Proposers and Organisers of [Annex 4](#) Science Meetings within a Programme

## TYPE OF MEETING

### Workshops

A workshop may bring together between 10 and 50 participants for two to four days to focus on a specific issue.

### Conferences

A conference – an important scientific meeting with a broader impact – brings together a larger number of participants for two to four days and consists of lectures, exchange of information and discussion on developments in a specific scientific area. The Programme may also apply for and co-sponsor a European Research Conference (EURESCO). Opportunities may also arise for a joint conference with an external partner. (See [Annex 4.1](#))

### Schools

A school may bring together between 30 to 150 participants to focus on a specific issue. The duration of a school would normally be one to two weeks. Schools are directed towards graduate students who have completed a master's degree, doctoral students or the equivalent. The schools should contain a clear training element. Schools might take place in connection with other activities or as an independent activity.

***The following rules apply to all types of meetings:***

## APPLICATIONS

The Steering Committee may decide to have a call for proposals or operate on an open call basis.

Applications should be submitted through the Internet on the relevant Science Meeting Application Form and will be forwarded automatically to the Programme Chair who is responsible for circulating the application(s) for decision and relaying the information on awards to the ESF office. Applications are normally submitted for decision at Steering Committee meetings but can be dealt with by email between meetings.

## ELIGIBILITY

The Steering Committee will consider proposals for all types of meetings on topics within the scope of the Programme and with a European or international dimension. They will be assessed on their scientific quality and relevance to the Programme. Priority will be given to meetings taking place in countries that financially support the Programme (see the Programme home page) and the applicants must be established scientists/researchers based in a country in which the ESF has a Member Organisation or from any other country in which a contributing organisation is based.

## ASSESSMENT

Applications can be assessed by the whole Steering Committee using guidelines developed for such matters, or the Steering Committee may decide to delegate this task to a sub-group of the Committee which includes the Chair. If a sub-group is set up, there should be a rotation of members. Members of the assessment group who are involved in an

application should not participate in the assessment of that particular application. (See [Annex 3](#)).

### **PARTICIPATION**

Priority should be given to participants from countries which financially support the ESF Programme. The involvement of young scientists is strongly encouraged. Organisers are asked to ensure a balanced geographical representation amongst the participants.

ESF funding should not normally be used to support more than 10% of speakers from non-ESF member countries. Special cases must be justified and agreed by ESF. The number of participants from non-ESF member countries can be increased provided they are self-funded, or funded from a source other than ESF.

The participation of researchers from industry and the private sector in ESF meetings is welcome and is subject to the basic principles set out below:

- All scientific actions within ESF take place "openly", i.e. there shall be no confidential information. Intellectual Property Right or copyright are the property of all participants contributing financially or intellectually to the activity.
- ESF does not favour any one private sector participant over another and so ESF activities are open to all researchers who have the expertise to be involved.
- Industrial and other private sector participants are normally responsible for their own costs related to travel, subsistence and accommodation.
- In the case of full participation in an ESF scientific or à la carte Programme, it is expected that the organisation concerned will make a financial, or in some cases an in kind contribution to the overall costs of the activity.

(See [Annex 4.1](#))

### **FUNDING**

ESF funding may be used to fully or partially fund a meeting.

Support will not be given for individual participation at conferences that are not organised within the framework of an ESF Programme.

Scientific meetings organised by ESF are expected to be non-profit making.

In principle, participants at ESF meetings should not be required to pay registration fees.

Honoraria are not normally paid by ESF and, in principle, the organisers of and speakers at ESF meetings will not be remunerated.

Local administrative costs (where applicable) should not exceed 10% of the total meeting budget. Such costs include administrative and technical assistance, printing, photocopying, telephone, fax, email etc. Additional support for schools may be considered.

ESF funding should not be used for social activities such as excursions, concerts etc. which do not have any scientific link to the Programme's objectives.

ESF funding should be used to cover the travel and accommodation costs of speakers and participants. Costs for hiring meeting facilities should be kept to a minimum. Where possible, organisers should try to negotiate the

use of meeting facilities within their universities/institutes either as an in kind contribution or for a minimum fee.

Organisers of ESF meetings are encouraged to apply for additional funding, e.g. from national research organisations, universities, private companies etc. It is the responsibility of the Chair or organiser of the activity and his/her institution to ensure that sponsors comply with ESF policy and for providing the necessary written agreements and documentation.

The amount of funding awarded for a meeting will be decided by the Programme Steering Committee based on the proposed scientific programme and budget.

### ESF VISIBILITY

To heighten awareness of the ESF Programme supporting an event, the organisers should clearly identify the meeting as an ESF-funded or co-funded activity, e.g. in announcements, Programme abstracts, etc. Organisations contributing to the activity should also be credited in relevant publications. The ESF secretariat will send a package to the organiser including ESF documentation to be distributed to participants. The ESF remit and ESF logos will be made available to organisers for downloading on the ESF web site.

### EVALUATION OF SCIENTIFIC REPORTS OF THE MEETING

All reports should be submitted online within two months of the meeting. All reports will be evaluated within the Programme, normally by the sub-group delegated to recommend the awards, and if necessary using external peer review. Statistics concerning the number of reports due, received and their quality will be kept. These statistics should be used in the assessment of subsequent proposals, and must be presented to the Steering Committee on a regular basis (e.g. yearly) for monitoring purposes. Unless other arrangements are agreed, the contents of reports will be considered as being in the public domain and may be used, suitably acknowledged, in the compilation of reports submitted by the Programme to ESF.

### ORGANISATION

#### STEPS

*The following procedure will be operational in October 2003.*

1. Organisers are asked to submit **online** the ESF application form for a science meeting. The form can be accessed from the relevant Programme website.
2. The ESF will **inform applicants of the outcome of the evaluation procedure.**
3. If the application is successful the organiser will receive instructions on how to complete the acceptance form and on reporting procedures, including online submission of the full list of participants. Upon the receipt of the acceptance form the ESF makes an advance payment (normally 80% of the allocated grant).
4. The final bank transfer will be made upon receipt at the ESF, online, of the **financial report**, of the **scientific report** and the **final list of all meeting participants** within two months of the meeting. If the actual expenditure is lower than the advance payment, the unspent funds should be returned to the ESF.

## ADMINISTRATION

Once the final budget has been approved, the organiser is responsible for making preliminary contacts with all prospective participants. An attendance and accommodation form may be circulated for participants to return directly to the organiser who will then supervise the designated hotel reservations and practical arrangements. To heighten awareness of the ESF activity supporting the meeting, the organisers should clearly identify the meeting as an ESF funded or co-funded activity, e.g. in announcements, programme abstracts, etc. The ESF will send a package to the organiser including documentation to be distributed to meeting participants. When making payments the organisers must follow the ESF financial rules.

The organiser should notify participants well in advance of the meeting of the exact details concerning reimbursement for meeting expenses, e.g. full payment for each participant, payment for speakers only, payment of up to a certain limit. In the case where participants from non-ESF member countries are invited to the meeting, the organiser should obtain in advance of the meeting written confirmation of the participants' travel expenses.

Co-funding of meetings is encouraged but organisers must obtain the approval of the ESF in advance before making any commitments to other sponsoring organisations.

## FINANCIAL REPORT

For the **financial report** submitted after the meeting, when a departmental or other locally audited account is chosen (university, institute), it is sufficient to fill in the ESF final payment form online and forward a copy signed by the local organiser and the university's finance officer to the ESF. (Original bills are not normally required).

When, exceptionally, the payment from ESF is made into an account not operated by an official organisation, the account holder must provide a detailed financial statement with original justification of all expenditure (travel tickets, bills, receipts, etc.).

## SCIENTIFIC REPORT

Organisers are required to provide a **scientific report** online which will be the basis of evaluation of the activity. The report, which should be uploaded by the organiser in .pdf or .doc format, should not exceed 6 A4 pages, consisting of a summary (up to 1 page), a description of the scientific content of and discussion at the event (up to 4 pages), an assessment of the results and impact of the event on the future direction of the field (up to 2 pages), and the final programme of the meeting. The full list of speakers and participants should also be submitted (see below).

## RECORDING OF PARTICIPANTS

In order to obtain an accurate record of all ESF-funded participants, organisers are requested to complete an electronic form on the ESF website with full coordinates and of all meeting participants. Further information on the ways in which such information will be used by ESF can be found at <http://www.esf.org/cnil>. It is the organiser's responsibility to inform participants that their information is being entered into the ESF database.

## **ESF FINANCIAL RULES FOR THE REIMBURSEMENT OF EXPENSES**

Participants in ESF meetings should arrive and depart as close as possible to the beginning and end of the meeting. In cases where participants have been on non-ESF business either before or after the meeting, the organiser should only cover expenses incurred by attendance of the ESF meeting, **unless** extension of stay is justified by a **significant** reduction in overall cost (resulting e.g. from reduced air fares).

### **Direct refund of travel costs**

**Air tickets** should be tourist class (or at a lower rate if cheaper tickets, e.g. PEX/APEX, are available). To benefit from the most economical fare, early booking is essential. Where no price is indicated on the ticket, the invoice should also be provided to the organiser.

**Train tickets** and train supplements may be first class.

**Taxis** should only be taken when convenient public transport is not available.

Costs of health, life and luggage insurance are not reimbursed by the ESF.

Cancellation insurance will only be reimbursed for PEX/APEX tickets.

**Use of private car** (including road tolls and fuel) should be reimbursed, unless otherwise agreed in advance, on the basis of 1<sup>st</sup> class train fare or, for longer distances, on the basis of the APEX airfare where this is more economical. An estimate of the fare from a certified travel agent should be produced with the claim for reimbursement. For short journeys by car where no public transport is available and therefore no estimate of fare can be provided, the number of miles/kilometres covered should be indicated. When two or more participants travel together by car, travel costs will be reimbursed to only one person.

### **Accommodation**

Ideally, the organiser should be invoiced directly by the Hotel or Conference Centre after the meeting. Invoices should not include individual meals or incidental expenses (such as supplement for an accompanying person, laundry, bar bills, private telephone calls, etc.) which should be paid directly by the guest before departure. Individual reimbursements of room and breakfast should be made to participants only on the production of hotel bills.

### **Meals**

When possible, meals should be provided for all participants within the meeting organisation. Alternatively, the organiser may provide a lump sum of maximum 21 Euros per lunch or dinner directly to participants.

## Co-sponsorship

## Annex 4.1

### *Participation of researchers from industry and the private sector in ESF activities*

In promoting research within Europe, the ESF wishes to bring together the expertise which is available within all sectors of the research community, including people from industry and the private sector, commerce and consultancies.

Although ESF activities tend to operate in the more 'basic' part of the research spectrum, nevertheless there may be a strong interest from non-public sector researchers and their participation in ESF actions is encouraged. Such participation can be an important and desirable element for the mutual benefit of the parties involved. This is allowed for through flexible and optimal organisational procedures, tailored to meet the needs of the respective collaborations and the envisaged external participants.

The basic principles for the participation of researchers from industry and other parts of the private sector are set out below:

- All scientific actions within ESF take place 'openly', i.e. there shall be no confidential information. Eventual IPR or copyright are the property of all participants contributing financially or intellectually to the activity.
- ESF does not favour any one private sector participant over another and so ESF activities are open to all researchers who have the expertise to be involved.
- Industrial and other private sector participants are normally responsible for their own costs related to travel, subsistence and accommodation.
- In the case of full participation in an ESF scientific or à la carte programme, it is expected that the organisation concerned will make a financial, or in some cases an 'in kind', contribution to the overall costs of the activity.

## Private sector sponsorship

The involvement of the private sector in ESF activities is welcomed, subject to certain conditions. In particular, ESF is willing to allow and accept sponsorship of science activities supported by the Foundation and sponsorship of websites of these activities conditional on the sponsors assuring ESF, in writing, that they comply with, or are willing to comply with, ESF policy guidelines. This is particularly emphasised in relation to good research practice and ethical matters. In addition, all sponsorship arrangements cannot be of an exclusive nature.

## ESF Policy Guidelines

Policy guidelines are set out in the ESF Science Policy Briefing series, in particular:

- [The use of animals in research](#) **PDF**
- [Good research practice](#) **PDF**
- [Genetically modified plants](#) **PDF**
- [Controlled clinical trials](#) **PDF**
- [Human stem cell research](#) **PDF**

## **Guidelines for Grants Short Visit and Exchange Grants**

## **Annex 5**

ESF grants are offered to enable scientists, both pre-doctoral and post-doctorals to cooperate in different European countries. The ESF supports two types of grants:

1. Short visit grants of up to 15 days
2. Exchange grants, from 15 days to six months renewable

### **Eligibility**

1. Undertake work applicable to the Programme
2. Apply to stay in a European country other than the country of origin
3. Return to the institution of origin upon termination, so that the applicant's institution may also benefit from the broadened knowledge of the scientist
4. Acknowledge ESF in publications resulting from the grantee's work in relation with the Exchange Grant

Priority will be given to applications where the institutions involved are in countries that financially support the ESF Programme.

ESF supports grants for activities within ESF Programmes.

The availability of Programme grants should be openly advertised, using the means considered most appropriate by the Steering Committee (advertising in a scientific journal, email circulation, website, etc.).

### **Programme Criteria**

The Programme Steering Committee may decide to apply its own criteria in addition to the above. For example, the committee may decide that short visits are more beneficial to senior scientists, and that support for longer visits should be reserved for graduate students/post-doctoral researchers. These criteria must be discussed and agreed at the Steering Committee's first meeting prior to any call. The Steering Committee may also decide to define the priority topics within the field of the Programme.

### **Assessment**

Applications can be assessed by the whole Steering Committee using guidelines developed for such matters, or the Steering Committee may decide to delegate this task to a sub-group of the Committee which includes the Chair. If a sub-group is set up, there should be a rotation of members. Members of the assessment group who are involved in an application should not participate in the assessment of that particular application. (See [Annex 3](#)).

### **Level of award**

- Short visit grants are reimbursed, on a per diem basis of 85 EUR plus actual travel expenses up to a maximum of 500 EUR after the visit on submission of a completed balance payment form accompanied by the original travel tickets. No payment will be made without the scientific report.

- Exchange Grants are reimbursed on the basis of an allowance of 1 600EUR per month/400EUR per week/57EUR per day plus actual costs for travel, up to a maximum of 500EUR.

The grants do not cover health insurance, taxes, or retirement scheme contributions.

## Applications

**The submission of electronic documents should be operational in January 2004.**

It is suggested that applications are dealt with by email sent directly to the Chair.

Applicants are invited to fill in the electronic [application form](#) (*in preparation*).

Exchange Grants should be supported by a letter of recommendation from someone familiar with the applicant's work (if appropriate), a letter of acceptance from the host at the receiving institution and a curriculum vitae of two A4 pages.

Both Exchange Grant applicants and Short Visit Grant applicants must provide a short description of the proposed project work (about 1000 words for Exchange Grants) and (about 250 words for Short Visit Grants). These letters can be emailed in advance to the Chair and to the ESF liaison officer, but the original should be sent by post to the Chair.

The Chair is responsible for circulating the application for decision and relaying the decision to the ESF office.

If the application is successful, the grantee receives a letter with the electronic address of the [acceptance form](#) (*in preparation*) that he/she must fill in order to receive 80% of the allowance as advance payment.

At the end of the visit the grantee should fill in electronic [balance payment form](#) (*in preparation*) and attach a file with the scientific report in order to get the final payment. In case of cancellation or unreasonable delay (six months or more), all advances must be returned to the ESF. If the length of the stay is shorter than the foreseen period, the grantee should reimburse the ESF the amount of unspent funds.

## Evaluation of Scientific Reports

All reports should be submitted by the due date indicated in the letter of award, to the Chair of the Programme, or an alternative contact if indicated, with a copy to the ESF Liaison Officer. All reports will be evaluated within the Programme, normally by the sub-group delegated to recommend the awards, and if necessary using external peer review. Statistics concerning the number of reports due, received and their quality will be kept. These statistics should be used in the assessment of subsequent proposals, and must be presented to the Steering Committee on a regular basis (e.g. yearly) for monitoring purposes. Unless other arrangements are agreed, the contents of reports will be considered as being in the "public domain" and may be used, suitably acknowledged, in the compilation of reports submitted by the Programme to ESF.

## 1. Introduction

Once a Programme is officially launched, some activities need to be undertaken to communicate its objectives and ways of operating in a concise way. These **publicity** actions are needed to inform Member Organisations and other interested external parties. They also serve to update and more specifically describe the common aims and actions of the Programme for the participants. In subsequent years these publicity actions may continue in various forms. Information on **websites** may be added to this. Towards the end of a Programme, **publications** may result from the work being done. This section also provides guidelines for the contacts with publishers and for the budgetary issues involved.

## 2. Publicity

Publicity starts with the production of a **Programme brochure** which must be finished within the first six months of each Programme. Often, in subsequent years a **regular newsletter** is produced informing the readers of the progress being made. Other communication activities may involve the production of a poster, the announcement of the Programme's activities in scientific journals, the participation in radio or television programmes etc.

## 3. Websites

The main data of a Programme will be made accessible on the ESF **website**, as a standard service of ESF. In addition, a Programme Steering Committee may also establish its own **local website**, with more detailed and elaborate aspects related to the Programme. The local website may have an area for public access and for restricted access, and act as a facility to assist in the communication between the members of the Programme.

ESF does not take any responsibility for the editorial content of the local website built up by the Steering Committee. A few general guidelines should be followed:

ESF provides a web design package for Programme Steering Committees that wish to build a local website. To receive this package, the ESF liaison officer should be contacted.

The ESF webmaster ([webmaster@esf.org](mailto:webmaster@esf.org)) is available for advice. In any case, the liaison officer will check the conformity of pages according to the present guidelines, and links from and to the ESF website in collaboration with the ESF webmaster.

The ESF logo should be visible and the Programme should be clearly identified as an ESF Programme in the title on the activity's homepage.

- A small introduction giving the origin of the Programme with reference and hyperlink to ESF and possibly to the relevant Standing Committee(s) should be included in the activity's homepage.
- The disclosure of persons' names, addresses, activities, and so on, should follow the general EU rules and the relevant national rules for data protection, e.g. the subject has to give their agreement. A restricted access to this information could be envisaged. Whereas the ESF website is set up as a public access area, the exchange of

data, notes and manuscripts could be envisaged on restricted use basis.

- Webmasters of participating research organisations have to be informed of any link to their website.
- Advertisements from private companies and sponsorship ([See Annex 4.1](#)) are possible but through a website agreement between the company and the host organisation, complying with the ESF guidelines and ethical standards (a standard agreement can be obtained from ESF).
- Scientific publications or pictures under copyright cannot be copied on to the website without the permission of the journal or author.

#### 4. Publications

Very often, results of Programmes are published in scientific journals according to standard procedures for submission of manuscripts. The guidelines that follow are not meant for such papers. In stead, they are directed towards book publications. What follows are a few general guidelines:

- Normally, the Programme Steering Committee is expected to identify a suitable publisher and produce a proposal on issues such as number of volumes, pages, illustrations, and of production issues such as binding and dates.
- After the initial discussion between the Steering Committee and the publisher, ESF must be involved. When the Steering Committee does approach publishers, it should ensure that the publishers are familiar with the ESF contract preconditions. A general guideline is that when submitting texts for printing, manuscripts should be camera-ready. This entails that all necessary permission has been sought and granted, e.g. permission for illustrations ). This is the responsibility of the individual authors. In addition, this should be realised in accordance with the requirements of the publisher.
- Prior to finalising the contract, the publisher provides ESF with a budget for the total publication costs. This budget constitutes the basis for negotiations on the size of royalties, for instance dealing with the royalties being paid given an amount of copies being sold.
- Contracts may be signed only by the publisher and the ESF. The ESF signatories are the Director of Finance and Administration and the appropriate Head of Unit.
- Specifics to be included in the contract are:
  - the number of free copies, and to whom they should be given; e.g. ESF, Steering Committee members, editors.
  - the possibility for participants and for ESF to purchase additional copies from the publisher at a discount price. The percentage discount must be included in the negotiations and in the contract preconditions.
  - free copies should be distributed by the publisher upon receipt of pre-addressed mailing lists, and at the publisher's expense.
  - copyright: the copyright should be shared between authors, ESF and the publisher.

## 5. Costs for publicity, websites and publications

An estimate of the costs under the budget heading "Publicity, websites and publications" must have been included in the original Programme proposal. No Programme should subsequently introduce a budget line without approval of the ESF.

This budget heading covers costs related to:

### a. Publicity

Costs related to the production of the Programme brochure. Also the costs of other communication activities, such as the production of newsletters of other Programmes.

### b. Websites

The costs of maintaining the web pages of the Programme on the ESF website will be covered by the general budget of ESF. However, costs for the development and maintenance of a local, dedicated Programme website should be entered under this budget item.

### c. Publications

The **direct costs** covered under this item may involve a subsidy to the publisher, to assist in the production of these publications. Alternatively, it may take the form of a guarantee to buy a number of volumes. **Related costs** such as editing costs and the costs of editorial group meetings will also be covered by this item. In a more limited way, the specific costs for translations and for honoraria can also be covered, but these will not be paid unless prior approval of ESF has been obtained.

If a Programme intends to generate a series of working papers and/or produce a final series of edited volumes as an end result of the Programme's research activities, the Steering Committee should decide on an annual provision for publications from the first year of the Programme, with the aim of using these funds towards the end of the Programme.

## 6. ESF visibility

To ensure awareness of the ESF Programme in supporting publicity, websites and publications, the organisers should clearly identify such productions as being ESF-funded or co-funded activities, e.g. in announcements, books, abstracts, etc. ESF Member Organisations contributing to the activity should also be credited in relevant publications. The ESF secretariat will send a package including the ESF logo to the organiser to be used for this purpose.

## **External Administrative Costs**

## **Annex 7**

This heading covers administrative costs incurred by the Chair's and/or Programme Coordinator's office in managing the various activities related to the Programme. The main items covered are secretarial costs, postage, fax, telephone facilities and other office running expenses. This heading is intended as a contribution to the costs of an existing office. New computers, printers, fax machines or other equipment, rental of space or subscription to a network provider are not covered. Charges under this heading will normally be reimbursed against claims made by the Chair's or Coordinator's institution. Claims made by an individual must be supported by all original vouchers etc.

This heading must be included and justified in the proposal and approved by the relevant Standing Committee. The Steering Committee, at its first meeting, must approve the budget level.

### Background

The ESF Standing Committees undertake mid-term reviews of those programmes which are of a 4 or 5-years duration.

Programmes are peer reviewed by external referees and are based on

- the programme's mid-term report,
- the original programme proposal, and
- the programme's use of funds so far.

### Guidelines for Programme Chairs

The **Programme Chair/Steering Committee** is asked to submit to ESF a **Programme Mid-term Report**. The Report should summarise the achievements of the programme so far and provide a forward-look for the second term of the programme. The baseline for the Report should be the original programme proposal. If the programme has deviated from the proposal (or is expected to do so), the reasons for this must be presented. Report size: 6 pages maximum (plus appendices). The Report should be submitted by email as either a WORD document or in rich text format (rtf). Hardcopies of key publications<sup>1</sup> linked to the Programme (newsletters, scientific papers/books/conference proceedings, ...) may also be submitted.

### Content and structure of the Mid-term Report

The report should address the mid-term evaluation criteria of ESF (see below) and be structured as follows:

#### 1. Programme objectives

according to the Programme Proposal and as progressed to-date

#### 2. Results achieved to-date

for example: workshops, exchange visits, research results, publications\*, education and training activities, collaboration with industry, scientific-strategic actions, and support of young researchers/scientists

#### 3. European 'added value' and visibility of the Programme achieved to-date

for example: impact on research in Europe, collaboration with other researchers and with other scientific activities/organisations in Europe and world-wide, dissemination and eventual impact of programme results, possible other added values

#### 4. Programme finances and management

#### 5. Publicity (Newsletters, web site, etc.)

#### 6. Forward Look

justification for the continuation of the programme in terms of the objectives and value of the 2nd stage of the programme

#### 7. Appendices \*\*

- Complete list of the Programme Steering Committee and Programme Collaboration
- List of the supporting ESF Member Organisations (and any others)
- Expenditure of funds to date by major headings
- List of programme activities undertaken (workshops, scientific exchange visits, ...)
- List of programme publications\*
- Optional: Hardcopies of the main programme publications (newsletters, scientific papers/books/conference proceedings, ...)
- Other

\* Publications should contain a visible reference/acknowledgement to the ESF Programme.

\*\* Lists to be compiled by the ESF Programme Administrator in interaction with the Programme Chair

# Mid-term Evaluation Criteria

(for referees)

## Evaluation Criteria for Referees

Referees are asked to consider the following questions:

<b>1. Programme objectives and basic programme plan</b>
Level to which the programme has reached its objectives to-date as compared to the programme proposal?
If there were changes to the programme plan, are they justified?
<b>2. Scientific quality of the programme's activities to mid-term</b>
Scientific standards of the programme's activities?
Scientific visibility and impact (e.g. of the workshops, publications)?
How do you rate the most relevant publications referred to in the mid-term report?
Other scientific values of the programme's activities?
<b>3. Quality and impact of the networking activities of the programme so far</b>
Scientific meetings/workshops/conferences?
Programme exchange visits?
Other activities?
Collaboration with industry?
Collaboration with other organisations?
<b>4. European added value of the programme so far</b>
European dimension of the programme collaboration?
Benefits of the programme to the national R&D participating groups?
Benefits for young scientists?
Impacts and benefits from the programme for European science and/or the R&D community?
<b>5. Management and use of funds to mid-term</b>
How would you rate the management of the programme?
How would you assess the use of funds so far?
<b>6. Conclusion</b>
Has this programme made any difference to the European R&TD scene?
Would it make any difference to the European R&TD scene if this programme were to be terminated early?
<b>Overall conclusion:</b> Is it recommended that this programme complete its term?
With any changes? If yes, please provide details.

### Background

The ESF Standing Committees undertake a final review of the programmes upon their completion.

Referees are asked to peer review its programmes based on

- the programme's final report,
- the original programme proposal
- the programme's mid-term report (where one was required)
- the programme's publications, and
- the programme's use of funds.

### Guidelines for Programme Chairs

The Programme Chair/Steering Committee is asked to submit to ESF a [Final Programme Report](#). The Report should summarise the achievements of the programme. The basis for the Report should be the original programme proposal and the programme's mid-term report (where appropriate). If the programme has deviated from the proposal, the reasons for this must be presented. Report size: 6 pages maximum (plus appendices). The Report should be submitted by email as either a WORD document or in rich text format (rtf). Hardcopies of key publications<sup>1</sup>) linked to the Programme (newsletters, scientific papers/books/conference proceedings, ...) may also be submitted.

#### Content and structure of the Final Report

The report should address the final evaluation criteria of ESF (see below) and be structured as follows:

##### 1. Executive summary of the Programme

(1-2 pages to be posted on the Internet)

##### 2. Programme objectives

according to the Programme Proposal and the extent to which these have been reached

##### 3. Results achieved

for example: workshops, exchange visits, research results, publications\*, education and training activities, collaboration with industry, scientific-strategic actions, and support of young researchers/scientists

##### 4. European 'added value' and visibility of the Programme

for example: impact on research in Europe, collaboration with other researchers and with other scientific activities/organisations in Europe and world-wide, dissemination and eventual impact of programme results, possible other added values

##### 5. Programme finances and management

##### 6. Publicity (Newsletters, web site, etc.)

##### 7. Appendices \*\*

- Complete list of the Programme Steering Committee and Programme Collaboration
- List of the supporting ESF Member Organisations (and any others)
- Expenditure of funds by major headings
- List of programme activities undertaken (workshops, scientific exchange visits, ...)
- List of programme publications\*
- Optional: Hardcopies of the main programme publications (newsletters, scientific papers/books/conference proceedings, ...)
- Other

\* Publications should contain a visible reference/acknowledgement to the ESF Programme.

\*\* Lists to be compiled by the ESF Programme Administrator in interaction with the Programme Chair

# Final Report Evaluation Criteria

(for referees)

## Evaluation Criteria for Referees

Referees are asked to consider the following questions:

<b>1. Programme objectives and basic programme plan</b>
Level to which the programme has reached its objectives as compared to the programme proposal?
If there were changes to the programme plan, are they justified?
<b>2. Scientific quality of the programme's activities</b>
Scientific standards of the programme's activities?
Scientific visibility and impact (e.g. of the workshops, publications)?
How do you rate the most relevant publications referred to in the final report?
Other scientific values of the programme's activities?
<b>3. Quality and impact of the networking activities of the programme</b>
Scientific meetings/workshops/conferences?
Programme exchange visits?
Other activities?
Collaboration with industry?
Collaboration with other organisations?
<b>4. European added value of the programme</b>
European dimension of the programme collaboration?
Benefits of the programme to the national R&D participating groups?
Benefits for young scientists?
Impacts and benefits from the programme for European science and/or the R&D community?
<b>5. Management and use of funds</b>
How would you rate the management of the programme?
How would you assess the use of funds?
<b>6. Conclusion</b>
Has this programme made any difference to the European R&TD scene?
Do you have final recommendations of any kind?