



European Science Foundation

**Research Networking
Programmes**

These guidelines are applicable to ESF Programmes resulting from proposals submitted after 1 August 2005.

**GUIDELINES FOR MANAGEMENT OF
ESF RESEARCH NETWORKING PROGRAMMES**

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INTRODUCTION

ESF Research Networking Programmes (formerly “Scientific Programmes”) are **self-coordinating activities** and the decision-making process is based on **the principle of self-management**. Responsibility for managing a Programme rests with its **Steering Committee**, to which each contributing organisation can nominate a member.

The Steering Committee typically meets once per year, and more frequently if necessary.

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 ESF 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, on an honorary basis, a reasonable amount of time and effort to the management of the Programme. Programme related travel other than participation in meetings of the Programme and external administrative costs can be reimbursed.

The Programme’s budget may cover the costs of an external **Programme Coordinator** to assist the Chair in managing and coordinating Programme activities.

An **ESF team**, including the **liaison officer** (administrative contact person) and the **scientific secretary**, under the supervision of the relevant ESF Head of Unit, will be responsible for working with the Programme Steering Committee.

ESF Research Networking 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. New participants to a Programme from participating countries can be co-opted during the lifetime of the Programme upon decision of the Steering Committee. In the case of participants from countries which do not contribute to the Programme, the decision lies with the relevant Head of Unit.

ESF evaluates Programmes at the mid and final term and may, at any time, recommend to the funding Member Organisations termination or redirection. ESF, on behalf of the contributing organisations, retains ultimate financial and management authority. ESF’s responsibility is to ensure that the budget is allocated and spent in an appropriate and effective manner within its financial rules.

MANAGEMENT STRUCTURE

STEERING COMMITTEE

Composition

Each organisation contributing funds to the Programme (otherwise referred to as 'contributing organisation') is eligible to nominate a member for the duration of its contribution. However, it is usual for there to be only one member per country, but flexibility may be shown if there are two or more contributing organisations from the same country.

The usual practice is for organisations to nominate the scientist from their country suggested as a Steering Committee member 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 and he/she should be from an ESF member country. In addition to the specific responsibilities of this position, the Chair will also act as the member for his/her contributing organisation.

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 meeting and is subject to approval by ESF. The expenses of such persons may be paid out of the Programme funds. These advisory experts are not members of the Steering Committee and are not entitled to vote.

ESF staff, assistants to the Chair, Programme Coordinators

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

Role

The primary objective of the Steering Committee is to ensure that the high-level scientific objectives of the approved proposal are achieved. The Steering Committee is responsible for the management of scientific activities and the financial planning for the Programme in consultation with ESF. As Budget Holder, ESF reserves the right to ensure the Steering Committee's decisions are in accordance with ESF principles and objectives.

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

Recognising that a degree of flexibility in scientific and financial management is essential for the success of a Programme, 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 organisations, or counter to ESF financial regulations.

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.

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 agenda and documents for a Steering Committee meeting related to policy/strategy, especially future programme planning and budget, must be agreed in advance with the ESF.
2. The Steering Committee should hold its first meeting at the ESF in Strasbourg within three months of the formal approval of the Programme.
3. Steering Committee members, as the representatives of the 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 country. They may also be required to provide progress reports on the Programme to their contributing organisation.
4. Steering Committee members should 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.
5. In the event of a vote (a quorum of 50 % is necessary), decisions will be made by a simple majority of those voting. The Chair and Steering Committee members present are all entitled to vote. The Chair shall have an additional casting (deciding) vote in the event of a tied vote. In the case of conflict of interest, members should refrain from voting.
6. When an Executive Group (composed of Steering Committee members) has been set up, it acts on behalf of the Steering Committee in taking care of the day-to-day tasks, in preparing recommendations to the Steering Committee, or in dealing with funding applications. *Ad hoc* working groups may be set up to carry out the detailed planning of Programme activities such as conferences and workshops.
7. The Programme Steering Committee Chair is responsible for the production of all Programme reports.
8. Intellectual Property Rights must be discussed and agreed at the first meeting of the Steering Committee.
9. At the first Steering Committee meeting, ESF staff will inform members of data protection issues including personal information kept in the ESF database and data protection regulations concerning external web sites.

Meeting expenses

The travel and associated costs of Steering Committee members and ESF staff 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](#)).

To economise on resources, a Committee meeting should be scheduled, if possible, in conjunction with a Programme workshop or conference and held at a convenient European location or at the home institute of a member of the Committee. It is expected for meetings to be scheduled around weekends so that cheaper air tickets can be purchased (Advance Purchase Excursion Fare / APEX).

This budget heading also covers:

- limited and justified costs of travel other than participation in meetings of the Programme incurred by the Chair and approved by the Steering Committee;
- costs of travel of the External Programme Coordinator to Programme meetings (see below);
- any costs of ESF mid-term or final review meetings on the Programme.

External Administrative Costs

This heading covers administrative costs incurred by the Chair's and/or Programme Coordinator's organisation in managing the various activities related to the Programme. The main items eligible 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.

EXTERNAL PROGRAMME COORDINATOR (OUTSIDE ESF)

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

The Coordinator is not a member of the Steering Committee.

Role

The role of the Programme Coordinator is to assist the Chair and the Steering Committee in achieving the Programme aims and objectives and includes all or part of the following tasks:

- Provide assistance to the Chair and the Co-Chair in organisation of Steering Committee meetings, including preparation of an agenda and documents and writing minutes;
- Organise scientific activities (e.g. workshops, conferences, schools, short and exchange visits) 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, publication of books, preparation and distribution of a Programme newsletter;
- Assist with the preparation of reports and other documentation and take general responsibility for the full documentation of the Programme;
- 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 and for the ESF office concerning the Programme.

The proposal for the use of a Programme Coordinator should be included and justified in the Programme proposal. 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 ESF's approval.

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. ESF has to be consulted regarding his/her appointment.

Appointment details

The appointment is usually for a maximum of a half-time position.

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.

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 and the relevant ESF Head of Unit. No contracts between ESF and the employing institution will be made.

This budget heading covers only contributions to the salary. Costs of travel to Programme meetings of the External Programme Coordinator shall be covered from the Steering Committee meetings budget line.

An audited report on this budget line is required.

MANAGEMENT OF PROGRAMME ACTIVITIES

To achieve its objectives, a Programme can include the following activities:

- Science meetings (workshops, conferences or schools) organised either by Programme participants or following an open call for proposals;
- Travel grants for short and exchange visits awarded following an open call for applications;
- Publication of information brochures, leaflets, scientific books and meeting proceedings etc; creation of websites;

- Creation of scientific databases at the European level.

All activities must be in the interests of the Programme and not necessarily limited geographically to contributing countries. The decision on funding lies with the Steering Committee. 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. In the case of doubt, decisions on eligibility will be taken by the ESF Head of Unit.

SCIENCE MEETINGS

Science Meetings are organised either by Programme participants or on the basis of an open call for proposals.

Decisions on the funding of Science Meetings are taken by the Programme Steering Committee using Guidelines for Assessment of Applications for Funding.

Appendix 1.

Potential organisers should consult the Guidelines for Proposers of Science Meetings on organisational and financial aspects. **Appendix 2.**

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

A conference – a scientific meeting with a broader impact – brings together a larger number of participants (> 50) for two to four days and consists of lectures, exchange of information and discussion on developments in a specific scientific area.

The Programme may apply for and co-sponsor an ESF Research Conference. Opportunities may also arise for a joint conference with an external partner. (Rules for co-sponsoring are explained under **Appendix 2.1**).

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

TRAVEL GRANTS FOR SHORT AND EXCHANGE VISITS

Grants are awarded on the basis of an open call for applications issued by a Steering Committee. Grants must be relevant to the overall aims of the Programme. Decisions on Grants will be taken by the Programme Steering Committee using Guidelines for Assessment of Applications for Funding. **Appendix 1.**

For application procedures, see Guidelines for Short and Exchange Visit Travel Grants. **Appendix 3.**

PUBLICITY, WEBSITES AND PUBLICATIONS

A general Programme brochure must be produced within the first six months of the Programme. ESF sets up a Programme homepage on its website and the Steering Committee may also establish a Programme website. Other communication activities may include a regular newsletter, scientific volumes, published proceedings of workshops or conferences, study reports, etc. **Appendix 4.**

SCIENTIFIC DATABASES

The Programme may pursue the establishment of a scientific database at the European level. This budget line might include honoraria (all relevant costs have to be justified in the application).

FINANCIAL MANAGEMENT

All costs for the Programme must be included and justified in the proposal; they will be revised and approved by the relevant Standing Committee(s) during the assessment and selection procedure.

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 Programme accounts are audited annually and the auditors' report is presented to the ESF General Assembly. The fiscal year of ESF is the calendar year.

REPORTING

Halfway through the Programme, a **Mid-term Report** will normally be requested to form the basis for evaluation by the ESF Standing Committee(s), whose evaluation report will be sent to organisations contributing to the Programme with a recommendation to continue or terminate funding.

At the end of the Programme, a **Final Report** will be requested so that the Standing Committee(s) can evaluate the results. Failure to submit a report will proscribe the applicant(s) from submitting further proposals for ESF activities, and may result in the retention of funds.

Final Reports will be sent to the contributing organisations and published on the ESF website.

In the case of Programmes of shorter duration than five years, the mid-term report requirement may be waived.

Reporting guidelines are available for

- Mid-term Reports (**See Appendix 5**) and
- Final Reports (**See Appendix 6**).

Travel costs related to the evaluation have to be covered by the Programme and included under the budget line for Steering Committee meetings.

All documents relating to Steering Committee meetings, selection and decisions on funding for travel grants and scientific meetings, other financial commitments, etc., must be provided to the ESF Office. The ESF Office will retain these and financial documents relating to the programme in accordance with its audit requirements.

DURATION AND EXTENSIONS

The month of the first meeting of the Steering Committee marks the launch of the Programme. A Programme ends on the last day of the final month of the funding period stated in the Letter of Approval for Launching sent by ESF to the proponent.

Some editorial or publishing activities may take place after the official completion date provided funds have been committed prior to this date.

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”. Decisions on extension 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.

Guidelines for Programme Steering Committees Concerning Assessment of Applications for Funding

Many ESF Programmes deliver part of their activity through the award of funds for the support of travel grants, conferences, workshops and schools. Frequently, such awards follow an open 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, to assess proposals and to select those recommended for funding. If a sub-group is set up, there should be a rotation of members.
3. It is recommended that these sub-groups consist of more than two persons: at least two members plus one person authorised to take the decision (typically the Committee Chair) to ensure that problems of conflicts of interests can be properly dealt with. External advice may be sought.
4. The Steering Committee should agree on the criteria for assessing proposals in line with the Programme's 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, intentional or unintentional, 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 fellowships for young researchers.
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 of 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 to the relevant ESF Member Organisation.

Guidelines for Proposers and Organisers of Science Meetings within a Programme [Appendix 2](#)

APPLICATIONS

The Steering Committee may decide to have a call for proposals or operate on a continuous submission basis. Consult the Programme home page for information.

Applications should be submitted through the Internet (for submission procedure, see below) 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 conferences, workshops and schools 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 should 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 will be assessed using [Guidelines for Programme Steering Committees Concerning Assessment of Applications for Funding \(Appendix 1\)](#), by the whole Steering Committee, or the Steering Committee may decide to delegate this task to a sub-group of the Committee.

PARTICIPATION

Priority should be given to participants from countries which financially support the ESF Programme (contributing organisations). The involvement of young scientists is strongly encouraged. Organisers are asked to ensure 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 (calculated on the basis of capita funded by ESF). The number of participants from non-ESF member countries can be increased provided they are funded from a source other than ESF. Special cases must be justified and agreed by 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 Research Networking 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 [Appendix 2.1](#))

FUNDING

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

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.

ESF funding should be principally 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.

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

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

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 may be used to fully or partially fund a meeting. 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 ESF approval is obtained prior to making any commitments and that sponsors comply with ESF policy and for providing the necessary written agreements and documentation.

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.

PROCEDURE

STEPS

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 receipt of the acceptance form, the ESF makes an advance payment (normally 80% of the allocated grant, two months before the meeting).
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 must 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.

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. Cases, where participants from non-contributing countries are supported by the Programme to participate, should be clearly indicated.

When making payments, the organisers must follow ESF's financial rules for the reimbursement of expenses.

RECORDING OF PARTICIPANTS

In order to obtain an accurate record of all ESF-funded participants, organisers are required to complete an electronic form on the ESF website with full coordinates 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/data>. In line with French law and with European Union directives on the protection of personal data, it is the organiser's responsibility to inform participants that their information is being entered into the ESF database.

SCIENTIFIC REPORT

Organisers are required to provide, within two months of the meeting, 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 six A4 pages, consisting of a summary (up to one page), a description of the scientific content of and discussion at the event (up to four pages), an assessment of the results and impact of the event on the future direction of the field (up to two pages), and the final

programme of the meeting. The full list of speakers and participants should also be attached to the report.

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. 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.

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.).

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 fees 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 1st 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 one person only.

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 of Conferences and Meetings

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, there may nevertheless 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](#) 

- [Good research practice](#) 
- [Genetically modified plants](#) 
- [Controlled clinical trials](#) 
- [Human stem cell research](#) 

These documents are available at the following address:

http://www.esf.org/esf_activity_home.php?language=0&domain=0&activity=5

Guidelines for Short and Exchange Visit Travel Grants

Appendix 3

A limited number of travel grants, mainly to support visits directly relevant to the Research Networking Programme in question and from one European country to another, are available.

The ESF supports two types of visits:

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

ELIGIBILITY

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.).

Applicants may be both pre-doctoral and post-doctoral and they must:

1. undertake work applicable to the Programme;
2. apply to stay in a country other than the country of origin;
3. return to the institution of origin upon termination, so that the applicant's institution may benefit from the broadened knowledge of the scientist.

As a general rule, having assessed scientific merit and relevance to the Programme, preference should normally be given to applications 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. In the case of doubt, decisions on eligibility will be taken by the ESF Head of Unit.

ADDITIONAL PROGRAMME SELECTION 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 meeting prior to any call. The Steering Committee may also decide to define the priority topics within the field of the Programme.

ASSESSMENT

Applications will be assessed using [Guidelines for Programme Steering Committees Concerning Assessment of Applications for Funding \(Appendix 1\)](#), by the whole Steering Committee, or the Steering Committee may decide to delegate this task to a sub-group of the Committee.

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.
- Exchange Visit Grants are reimbursed on the basis of an allowance of 1600 EUR per month/400 EUR per week/57 EUR per day plus actual travel expenses up to a maximum of 500 EUR.

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

APPLICATIONS

1. Applicants are asked to submit **online** the ESF application form for a Short or Exchange Visit Grant. The forms can be accessed from the relevant Programme website. Applications should generally include information listed below but additional information related to additional selection criteria may also be requested.

Short Visit Grant applications:

A short description of the proposed project work (about 250 words) and the aim of the visit
A curriculum vitae of two A4 pages
Full address details of the prospective host(s)
Proposed starting date
Estimated travel costs

Exchange Grant applications:

A short description of the proposed project work (about 1000 words) and the aim of the visit
A curriculum vitae of two A4 pages
List of five most recent publications
A letter of recommendation from someone familiar with the applicant's work
A letter of acceptance from the host at the receiving institution
Full address details of the prospective host(s)
Proposed starting date
Estimated travel costs

2. The Programme Chair, who automatically receives a copy of each application, is responsible for circulating the application for decision and relaying the decision to the ESF office.
3. The ESF will inform applicants of the outcome of the evaluation procedure.
4. If the application is successful, the grantee will receive instructions on how to complete the acceptance form and on reporting procedures.

5. For **Short Visits** – payment is made after the visit subject to submission of the scientific report, signed host statement form(s) and original travel ticket(s). If the length of stay is shorter than the foreseen period, the payment will be adjusted accordingly.
6. For **Exchange Visits** - upon receipt of the acceptance form, the ESF makes an advance payment (normally 80% of the allocated grant). The final payment will be made upon receipt at the ESF, **online**, of the **scientific report, signed host statement form(s) and original travel ticket(s)**. In the 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 to ESF the amount of unspent funds.

EVALUATION OF SCIENTIFIC REPORTS

All reports should be submitted online within one month of the end of the visit.

Scientific Reports for both Short and Exchange Visit Grants should contain the following information:

- Purpose of the visit
- Description of the work carried out during the visit
- Description of the main results obtained
- Future collaboration with host institution (*if applicable*)
- Projected publications/articles resulting or to result from the grant (ESF must be acknowledged in publications resulting from the grantee's work in relation with the grant).
- Other comments (*if any*)

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. 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.

ESF FINANCIAL RULES FOR THE REIMBURSEMENT 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 fees 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 1st 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 one person only.

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. Towards the end of a Programme, **publications** may result from the work being done. This section also provides guidelines for contacts with publishers and for the budgetary issues involved.

2. PUBLICITY

Publicity starts with the production of a **Programme brochure** which must be accomplished within the first six months of the 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 the ESF Programme Steering Committees that wish to build a local Programme website. To receive this package, the ESF liaison officer for the Programme should be contacted.

The ESF webmaster (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 general EU rules and the relevant national rules for data protection, e.g. the individual person has to give his/her agreement. 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 a restricted use basis.

- Webmasters of participating research organisations have to be informed of any links to their website.
- Advertisements from private companies and sponsorship ([See Appendix 2.1](#)) are possible but through a website agreement between the company and the host organisation, complying with 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 prior 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. A few general guidelines follow:

- 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 approaches 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 print-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 royalties paid upon sale of a certain number of copies.
- 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.
- Specific items 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.

This budget heading covers costs related to:

a. Publicity

These costs are those related to the production of the Programme brochure and other communication activities, such as the production of newsletters.

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 heading.

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 heading. In a more limited way, the specific costs for translations and for honoraria can also be covered, but these will not be paid unless the 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.

A copy of any article or publication resulting from an ESF-sponsored activity should be sent to ESF.

Mid-term Report Guidelines

Appendix 5

BACKGROUND

The ESF Standing Committees undertake mid-term reviews of those Programmes which are of 5-year duration.

Programmes are basically evaluated 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: six 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 linked to the Programme (newsletters, scientific papers/books/conference proceedings, etc.) 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 scientific objectives

According to the Programme Proposal: the focus should be on the scientific highlights and achievements so far - changes should be justified

2. Assessment of results achieved to date

How did the activities (such as workshops, exchange visits, research results, publications*, education and training activities, collaboration with industry, scientific-strategic actions, and support of young researchers/scientists) contribute to the overall goal of the Programme?

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 possible impact of Programme results, possible other added values

4. Programme finances and management - justification of unspent funds

(Consolidated accounts or expenditure to date is requested - provided by the ESF office)

5. Publicity

Newsletters, website, etc.

6. Future Planning

Justification for the continuation of the Programme in terms of the objectives and value of the second and final stage of the Programme

7. Appendices **

- Complete list of the Programme Steering Committee members and Programme Collaboration;
- List of the supporting ESF Member Organisations (and any others);
- Expenditure of funds to date broken down by budget heading (provided by the ESF office);
- List of Programme activities undertaken (workshops, scientific exchange visits, etc.);
- List of Programme publications*;
- Optional: Hard copies of the main Programme publications (newsletters, scientific papers/books/conference proceedings, etc.);
- Other.

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

** Lists of grants to be compiled by the ESF Programme Liaison Officer in interaction with the Programme Chair

Mid-term Evaluation Criteria (for referees)

Evaluation Criteria for Referees

Referees are asked to consider the following questions:

1. Programme objectives and basic Programme plan
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, were they justified?
2. Scientific quality of the Programme's activities to mid-term
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?
3. Quality and impact of the networking activities of the Programme so far
Scientific meetings / workshops / conferences?
Programme exchange visits?
Other activities?
Collaboration with industry?
Collaboration with other organisations?
4. European added value of the Programme so far
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?
5. Management and use of funds to mid-term
How would you rate the management of the Programme?
How would you assess the use of funds so far?

6. Conclusion

Has this Programme made any difference to the European R&D scene?

Would it make any difference to the European R&D scene if this Programme were to be terminated early?

Overall conclusion:
Is it recommended that this Programme complete its term?

With any changes? If yes, please provide details.

Background

The relevant ESF Standing Committee undertakes a final review of the Programme upon completion.

It evaluates the Programme based on:

- the Programme's final report,
- the original Programme proposal,
- the Programme's mid-term report (where one was required) and, where necessary, written reviews,
- 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: six 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 linked to the Programme (newsletters, scientific papers / books / conference proceedings, etc) 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

(One to two pages to be posted on the Programme website).

2. Programme scientific objectives

According to the Programme Proposal: the focus should be on the scientific highlights and achievements. Any changes should be explained.

3. Assessment of results achieved

How did the activities (like workshops, exchange visits, research results, publications*, education and training activities, collaboration with industry, scientific-strategic actions, and support of young researchers/scientists) contribute to the overall goal of the programme?

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 potential impact of programme results, possible other added values.

5. Programme finances and management

Justification of expenditure / unspent funds

6. Publicity

Newsletters, website, etc.

7. Future Perspectives

8. Appendices

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

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

** Lists to be compiled by the ESF Programme Liaison Officer in interaction with the Programme Chair.

Final Report Evaluation Criteria (for referees)

Evaluation Criteria for Referees

Referees are asked to consider the following questions:

1. Programme objectives and basic Programme plan
Level to which the Programme has reached its objectives as compared to the Programme proposal?
If there were changes to the Programme plan, were they justified?
2. Scientific quality of the Programme's activities
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?
3. Quality and impact of the networking activities of the Programme
Scientific meetings / workshops / conferences?
Programme exchange visits?
Other activities?
Collaboration with industry?
Collaboration with other organisations?
4. European added value of the Programme
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?
5. Management and use of funds
How would you rate the management of the Programme?
How would you assess the use of funds?
6. Conclusion
Has this Programme made any difference to the European R&D scene?
Do you have final recommendations of any kind?