Annex 1

Swiss Agency for Development and Cooperation Rectors' Conference of the Swiss Universities

Programme Document for

Sciex-NMS<sup>ch</sup>

Scientific Exchange Programme between Switzerland and the New Member States of the European Union

2009 - 2016

Revised version
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# **Abbreviations**

aring and Coordination Office at the CRUS General Secretariat
ss Francs
tors' Conference of the Swiss Universities
ppean Economic Area
ppean Research Council (Funding Instrument within FP7)
ss Government grants foreign students university scholarships
ppean Union
nework Programmes in Research of the European Union
enth Framework Programme
rmediate Body
tors' Conference of the Swiss Universities of Applied Sciences
norandum of Understanding
onal Coordination Unit
Member States
entific Exchange Programme between Switzerland and the New Member States are EU
ss Agency for Development and Cooperation
e Secretariat for Education and Research
wegian Centre for International Cooperation in Higher Education
ss National Science Foundation
versity of applied Sciences
versity Preparatory Courses for Studies in Switzerland

# A - The Setting

## 1 Introduction

The enlargement of the European Union (EU) represents a major step towards securing peace, stability and prosperity in Europe. To support this process, the Swiss Parliament has decided to finance a contribution to the reduction of economic and social disparities in the enlarged European Union. The contribution is specifically allocated to the ten New Member States (NMS) that have joined the EU on the 1<sup>st</sup> of May 2004. Bilateral framework agreements on the Swiss contribution were concluded with each member state, detailing the specific funding lines and areas in which programmes and projects are to be financed.

Ten of the NMS, i.e. Bulgaria, the Czech Republic, Estonia, Hungary, Latvia, Lithuania, Poland, Romania, the Slovak Republic and Slovenia, have decided that scientific cooperation, and in particular scholarships, are to be part of the Swiss contribution. The resulting scientific exchange programme is to be open to all faculties and sciences.

Based on a first round of consultations with the partner states<sup>1</sup> as well as on discussions among core institutions of the Swiss scientific community<sup>2</sup>, the Scientific Exchange Programme with the New Member States of the EU (Sciex-NMS<sup>ch</sup>) has been conceptualised. The programme is to last from 2009 to 2016, and a total amount of CHF 44.973 Million of Swiss funding has been earmarked for this purpose. The present Programme Document outlines the proposed Sciex-NMS<sup>ch</sup> design.

# 2 Background

The countries that today form the NMS of the EU had already given considerable importance to higher education and scientific research before 1989. A high and specialised research standard had been established – particularly in the natural and technical sciences. Lacking the necessary support for the research system and structures after the former political systems disintegrated, research standards deteriorated. During the socialist era, researchers had developed few international contacts with western countries and were left isolated when the transition process started in the early 90s and the networks established within the socialist countries ceased to function.

The NMS reacted promptly to this process and had already started to address the deficits before joining the EU. They have since successfully developed high quality research institutions along

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<sup>&</sup>lt;sup>1</sup> See Fact Sheet Research Scholarships within the Swiss Contribution, 30.11.2007

<sup>&</sup>lt;sup>2</sup> The main stakeholders are the State Secretariat for Education and Research, the Swiss National Science Foundation, the cantonal Universities and Federal Institutes of Technology, the Swiss Universities of Applied Sciences, and the Federal Research Institutions. Discussions among these organisations on the programme started in 2005.

with equally qualified human resources. Integrating into the international scientific discourses and research communities has played a major role in these efforts. In a short period of time, the NMS have achieved a good scientific reputation in Europe and Switzerland. Consequently, demand for increased inter-country scientific cooperation is equally high from the NMS side as well as in the European and Swiss universities and research institutions.

Switzerland is particularly attractive for NMS researchers as it offers a qualified research area with renowned researchers and institutions<sup>3</sup> combined with top working conditions, high quality of life and adherence to the principle of equal remuneration without regard to sex, age or nationality. Consequently, demand for research- and degree-related exchange by NMS scholars with Swiss universities and research institutions is high.

# 3 The Current Research Promotion Landscape in the NMS

Switzerland has considerable experience with international mobility programmes for university students and scientists. It participates in the EU's Seventh Framework Programme/FP7 (2007-2013) as well as the Erasmus Programme for inter-university cooperation (since 1996).

Since 1990, the NMS have been included in Switzerland's promotion efforts in research and higher education in the context of its independent cooperation with Eastern Europe. Under the ESKAS programme, the State Secretariat for Education and Research (SER) provides grants for university scholarships to foreign students to further their education and to undertake research work in the fields in which the Swiss universities are particularly active.

The Scientific Cooperation Programme between Eastern Europe and Switzerland (SCOPES) of the Swiss National Science Foundation (SNSF) is a partnership programme between Swiss and Eastern European research institutions with the aim of maintaining scientific capacities and fostering international scientific exchange. Also worth mentioning is the private sector foundation sponsored Swiss Baltic Net that came to an end in 2008.

Other relevant exchange and scholarship programmes in the NMS are operated under the EU Research Framework Programme (FP), the European Economic Area (EEA) and by Norway.

In FP7, specific programmes work together to promote and encourage the creation of European poles of (scientific) excellence. The European Research Council (ERC) complements other funding activities in Europe such as those of the national research funding agencies, and is a flagship component of the 'Ideas Programme' of FP7<sup>4</sup>.

<sup>4</sup> Switzerland is one of the countries, which are most successful in grant writing to the ERC. The Swiss scientific culture underlying the applications was identified as the major cause for this success.

6

<sup>&</sup>lt;sup>3</sup> More than half of the twelve Swiss universities are regularly ranked among the 200 best universities of the world. Switzerland is globally on the fourth position with respect to innovation.

4 Switzerland is a second to the fourth position with respect to innovation.

The Norwegian Centre for International Cooperation in Higher Education (SIU) is the national focal point in Norway for the scholarship- and training funds established through the EEA grants. The funds encompass 11 countries and will disburse around Euro 28 million over five years.

#### 4 **Major Lessons Learnt**

Past experience from European and Swiss scholarship programmes is relevant when designing a new programme. The essence of this experience is:

- In order to be effective, a new programme needs to be complementary to programmes financed through the EU, EEA and Norway as well as to other Swiss programmes. It should therefore focus on activities that are not, or at least only partially, considered within other financial sources.
- Brain drain continues to be a pertinent problem in the NMS<sup>5</sup>. Mobility of researchers must have an added value not only for the individual researcher but also for the home country and its scientific institutions<sup>6</sup>. Programmes therefore need to be designed to minimise the risk of brain drain.
- Quality should come before quantity. Fewer but better designed research stays can be expected to produce the targeted scientific results and yield more sustainable relationships and networks.
- Research projects that provide opportunities for junior researchers with fellowships must be co-designed by cooperating scientists, who can rely on the support of their institutions. Consequently, all involved parties are mutually responsible for the quality of their projects.
- For junior researchers participating in a scientific exchange programme, clear agreements on career steps are essential. Mentoring of junior researchers by experienced scientists is equally crucial.
- Reasonable remunerations motivate high quality applications.
- Satisfying working and living conditions are important 'soft factors' for success of research exchange ventures. Next to reasonable wages as well as professional scientific advice and supervision, proximity assistance in the host country is relevant for this purpose.
- Finally, flexible programmes with lean administrative requirements are more effective.
- Furthermore, the time period between applications and approval needs to be kept short. The European Commission has formulated a broad set of recommendations, principles and requirements which are considered to provide employers, funders and researchers with a

<sup>6</sup> European Commission, DG-Research Communication, 2008: Open Labour Market for Researchers.

<sup>&</sup>lt;sup>5</sup> Kelo, Maria, et. al, 2004. Brain Drain and Brain Gain. ACA Brussels.

valuable instrument to undertake initiatives for the improvement and consolidation of researchers' career prospects.<sup>7</sup>

Based on these lessons learnt, the Sciex-NMS<sup>ch</sup> has been designed accordingly:

The following Part B presents the details of the Programme in terms of (1) Participating Organisations, (2) goal and objectives, (3) overall design, (4) instruments, (5) organisation, (6) selection procedures, (7) management, (8) funding and budget, (9) monitoring and reporting, and (10) risks and mitigating strategies. Annexes provide further operational details.

<sup>7</sup> Charter for Researchers and the Code of Conduct for the Recruitment of Researchers. <u>www.europa.eu.int/eracareeers/europeancharter</u>

# **B** - The Programme

# 1 Participating Organisations

In the NMS, the National Coordination Units (NCU) are formally in charge of administering the entire Swiss Contribution. The NCU may delegate implementation responsibilities for the Sciex-NMS<sup>ch</sup> to specific national Coordination Bodies.

On the Swiss side, the Swiss Agency for Development and Cooperation (SDC) is responsible for the implementation of the Sciex-NMS<sup>ch</sup> programme. The Rectors' Conference of the Swiss Universities (CRUS) has been designated as the Swiss Intermediate Body. For programme implementation and management, it acts also on behalf of the Rectors' Conference of the Universities of Applied Sciences (KFH).

Direct beneficiaries of the programme are researchers from renowned research and higher education institutions in ten NMS. The selection of participating institutions is made by each country.

Swiss participating institutions are the cantonal Universities and the Swiss Federal Institutes of Technology (members of CRUS), the Universities of Applied Sciences (members of KFH), The Universities of Teacher Education (COHEP's members) the Federal Research Institutes of the ETH Domain and Research Institutions outside the university sector, which are subsidised according to Article 16 of the Federal Law on Research<sup>8</sup>.

# 2 Programme Goal and Objectives

The Scientific Exchange Programme (Sciex-NMS<sup>ch</sup>) aims at contributing to the reduction of economic and social disparities in the enlarged European Union through fostering the scientific capacities of researchers in NMS and promoting sustainable research partnerships between the ten NMS and Switzerland.

The main goal of the programme is to establish scientific partnerships, which will:

- (1) Develop individual researchers' capacities (human capital);
- (2) Foster scientific progress and innovation (scientific prospects); and
- (3) Establish or enhance networks between researchers (networking).

<sup>8</sup> The participating Swiss institutions must have signed a CRUS declaration concerning their HR-strategy, stating their adherence to «The European Charter for Researchers» and «The Code of Conduct for the Recruitment of Researchers».

This goal is to be achieved by three specific Programme objectives. Objectives 1 and 2 directly refer to the main programme instruments (research fellowships and short-term research visits), while objective 3 refers to the 'downstream' impact that the programme intends to achieve.

## Objective 1

Developping capacities - Junior Researchers conduct research projects that allow them: to enhance their research skills; attain higher degrees; and proceed in their academic careers.

## Objective 2

Foster progress and innovation - Senior Researchers of the NMS meet Swiss partners to conceptualise, design and steer research projects. In general, these projects will: provide room for Junior Researchers (objective 1); require the mentoring by the Senior Researchers; foster the exchange of know-how between all researchers involved; and may require the sharing of research infrastructure.

## **Objective 3**

Networks - Successful research partnerships lead to: sustainable research networks between researchers and research institutions; and enhanced cooperation in the future (follow-up or new projects).

# 3 Overall Programme Design

In principle, Sciex-NMS<sup>ch</sup> provides funding for research projects in all academic disciplines and subjects where two Swiss and NMS researchers or departments want to cooperate and have the required expertise and qualified human resources. The selection of candidates will be based exclusively on the quality of the fellowship proposal. All candidates will have equal opportunities and rights, independently of their gender or ethnic origin. Evidently, this requires a robust qualification and selection process for research ventures to be financed (see Chapter 6). Rules and regulations for the committees, which will evaluate the research ventures, are based on European best practice models with respect to ensuring gender balance.

Any eligible research project has to be based on cooperation between two (or more) researchers or departments from the NMS and Switzerland. The individual research projects are conceptualised and designed by two (or more) Senior Researchers, usually professors, who are acknowledged specialists in their respective fields. Under their leadership, Junior Researchers are to conduct their research in order to attain higher degrees and/or to proceed in their academic careers. Junior Researchers are usually team members. Senior Researchers applying for are usually team leaders with mentoring experience.

Consequently, the two interlinked programme instruments provide for (1) Research fellowships for Junior Researchers as well as for (2) Short-term research visits for Senior Researchers, who

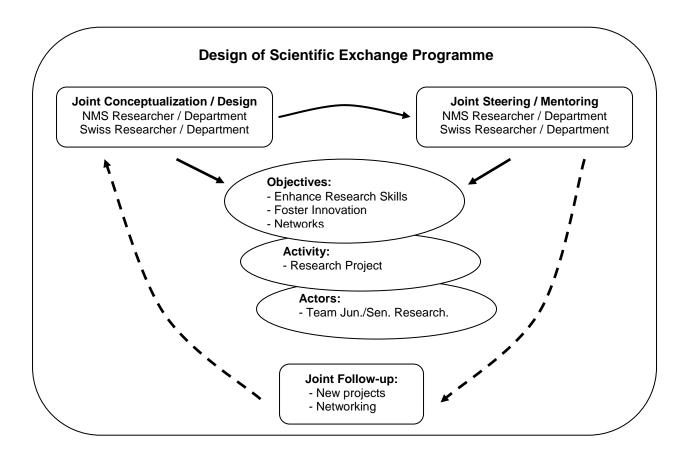
are encouraged to engage in their own research activities and act as mentors to the Junior Researchers within an approved Sciex project

Research fellowships are only provided for NMS Junior Researchers. Short term research visits are provided for both NMS and CH Senior Researchers.

Preference is given to 'package' research projects that – at the same time – allow (1) Junior Researchers to attain higher degrees (PhD) or pursue postdoctoral (PostDoc) studies, and (2) involve Senior Researchers who, next to their own research activities, act as responsible mentors to the Junior Researcher.

In order to attain the Programme objectives of fostering scientific progress and establishing networks, Swiss PhD or PostDoc students should preferably also form part of the research endeavour, but must be financed from other independent sources.

The following illustration depicts the main components of the programme.



# 4 Programme Instruments

## 41 Research Fellowships

Research fellowships have a duration between a minimum of 6 and a maximum of 18 months for PostDocs and 24 months for doctoral candidates. These fellowships are reserved for promising postgraduate NMS Junior Researchers who (1) aim at attaining a PhD Degree or (2) pursue postdoctoral research, normally with the intention to qualify for professorship.

Scientific supervision, monitoring and support to the fellowship recipient are provided by the two Senior Researchers employed at an eligible institution, who act as mentors. To this end, funding for short term research visits are provided for Senior Researchers (see below).

Past experience has shown that, in addition to qualified scientific mentoring and supervision, effectiveness and ultimately success of a research stay depend also on so-called soft factors. To ensure a satisfactory stay in Switzerland, the euraxess service centres can provide Junior Researchers with proximity assistance (relocation, housing, insurances, language courses, opening of bank accounts, telephones, assistance to family members, dual careers, etc.) on a demand basis.

## **Deliverables of research fellowships**

Expected results or deliverables of research fellowships are defined separately for each Junior Researcher and are part of the Multi-partite Contract (see chapter 522). Normally they will include:

- The long-term obligation of attaining the intended degree by submitting the respective thesis to the home institution and passing the required examinations.
- Active participation in colloquia, units of doctoral programmes and other provisions for doctoral candidates.

Depending on the individual situation and in particular for PostDoc researchers, deliverables may also consist of:

- Submission of paper(s) in renowned scientific journals;
- Presentation(s) at professional conventions in Switzerland;
- Teaching experience.

#### Eligible costs

An average fellowship for each 6-month period will be CHF 25'000 (in the 1<sup>st</sup> year) and CHF 27'500 (in the 2<sup>nd</sup> year) in the case of a PhD candidate and CHF 40'000 for Post Docs. The fellowship is composed of employment costs, excluding costs of infrastructure. Employment costs of Sciex Junior Researchers vary slightly among cantons and correspond to standards of salaries of scientific collaborators with corresponding qualifications. Travel costs between home

country and Switzerland, transport costs within Switzerland, participation in conferences and publication costs will be covered up to a maximum amount. More detailed information on the eligible costs is given in the Annex 4.

## **Employment and taxes**

Junior Researchers are formally employed at the host institution<sup>9</sup>. The contract of employment is governed by and construed in accordance with the laws of Switzerland.

Sciex Junior Researchers have the same status and performance requirements as scientific collaborators at their host institution. In the multipartite contract the Junior Researchers performance requirements are described. The Junior Researcher will undergo an initial three-month trial period to ensure that his/her qualifications and performance meet the standards agreed upon in the multipartite contract.

The host university and the Junior Researcher may agree on an initial payment at the beginning of the stay in Switzerland. The initial payment will be deducted proportionally from the first six monthly salaries. In accordance to Swiss Law, taxes and social security fees<sup>10</sup> will be deducted directly from monthly salaries. Accident insurance of employees is covered. According to the Federal Health Insurance Act, health insurance coverage is compulsory for all persons domiciled in Switzerland. Health insurance coverage will not be deducted directly from monthly salaries and insurance premiums have to be paid by the Sciex Junior Researcher. On request Sciex Junior Researchers can be exempted from the compulsory Swiss health insurance, if they provide evidence about insurance in their home country, covering all compulsory fields.

Double funding are not allowed during the Sciex research stay (even in case of grants, the Fellow will have to stop them for the duration of the Sciex Fellowship)<sup>11</sup>.

#### 42 Short-term research visits

Short-term research visits are provided for Senior Researchers from the NMS and from Switzerland of the approved Sciex Fellowships.

Short-term visits shall serve the following purposes:

- (1) Implementing with the partner scientist the joint research project that employs the junior scientist who has a fellowship;
- (2) Mentoring visit(s) to support Junior Researchers involved in the research project;
- (3) Strengthening the cooperation and the networks between partners;

If the social taxes increase within the project' duration, the Host Institution will have to bear the costs itself.

13

<sup>&</sup>lt;sup>9</sup> "Employers and/or funders of researchers should ensure that researchers enjoy fair and attractive conditions of funding and/or salaries with adequate and equitable social security provisions (including sickness and parental benefits, pension rights and unemployment benefits) (...)" General Principles applicable to Employers and Funders, Charter & Code for Researchers 2005.

Charter & Code for Researchers 2005.

The amount of the social taxes is calculated according to the SNSF rules and are fix for the whole duration of the Fellowship.

<sup>&</sup>lt;sup>11</sup> The PhD scholarships from Lithuania are an exception.

(4) If applicable and relevant, setting-up follow-up research projects.

Maximal 3 Short-term Visits are reimbursed per approved project with a maximal amount of CHF 2'500.- per visit. Short-term Visits have to take place within the project duration (until the final reporting). One Short-term Visit is compulsory for the Home Mentor (NMS). More detailed information and maximal allowances are described in the Annex 4.

The overall amount for the Short-term Visits (CHF 7'500.-) is transferred with the amount of the approved Fellowship to the Swiss Host Institution. The Mentors from NMS and from Switzerland have to deal with the corresponding Swiss Host Institution for reimbursement.

## **Deliverables from short-term visits**

The results of the Short-term Visits (which may include (joint) publication of paper(s) in renowned scientific journals or chapters in reference books and presentation(s) at professional conventions) will be reported in the Progress and Scientific Reporting that the project has to deliver every 6 months.

In the final Financial Reporting, there will be the statement of account between Sciex and the Swiss Host Institution (or the Sciex project) and the funds that are not used will have to be repaid to Sciex.

## 43 Expected Number of Participants and Impact

Preliminary financial calculations have led to the following estimate of assignments of fellowships and short-term research visits per year. These estimates are made for average costs per 12 twelve-months periods. Actual figures may differ as these will depend on the effective costs of admitted proposals.

Tentative figures indicate that 460 twelve-months fellowships with 1'380 short-term visits related are expected. This means that about 460 Junior Researchers (depending on the length of their stay) and 920 Senior Researchers will be engaged in scientific cooperation and exchange (see Annex 2).

Senior and Junior Researchers may form research networks in various academic fields and thus contribute to the establishment of long-term, sustainable academic relationships.

# 5 Programme Organisation

# 51 Levels of Organisation

The Programme organisation consists of three main levels:

• The first level consists of SDC and the National Coordination Units (NCU) in the NMS, which are in charge of supervising the entire Swiss contribution.

- In Switzerland, the second level consists of CRUS as the designated Intermediate Body for Switzerland and its related structures (see below under Programme Management) as well as its subcontractors.
  - In the partner countries, the second level consists of the Coordination Bodies that may be set-up specifically for implementing Sciex-NMS<sup>ch</sup>. These Bodies act as a counterpart to CRUS. In each partner country, their role and responsibility may vary.
- The third level in the NMS and Switzerland consists of the participating research departments, research institutions as well as the involved Junior and Senior Researchers.

## 52 Contractual Arrangements

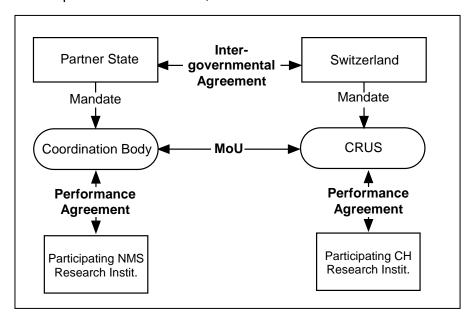
Given the rather significant number of institutions and individuals involved in implementing the Programme, a range of contractual arrangements are required. In this context, it is important to distinguish between:

- (1) Contractual arrangements on the institutional programme level;
- (2) Contractual arrangements for fellowships;

## 521 <u>Contractual arrangements on the institutional programme level</u>

The following illustration depicts actors and contractual arrangements at the institutional programme level. The illustration is applicable, if the Coordination Body is mandated by the NCU. There may be deviations from the depicted contractual arrangement, e.g. the Coordination Body may be mandated by CRUS.

In the specific case of Poland, a Contact Point is established and mandated by CRUS (annex 6)



**Inter-governmental agreement.** Switzerland will conclude an inter-governmental project agreement with each NMS. This agreement provides the legal framework for implementing Sciex-NMS<sup>ch</sup>. The agreement details among other the main roles, rights, and obligations of the contracting partners, as well as the procedures, budgets, as per the present Programme Document.

**Mandating agreement with CRUS.** In Switzerland, SDC concludes an agreement with CRUS, which retains, among other, the implementation, planning and management responsibilities of CRUS. Details of tasks and procedures as well as the related operational structures are provided in this agreement.

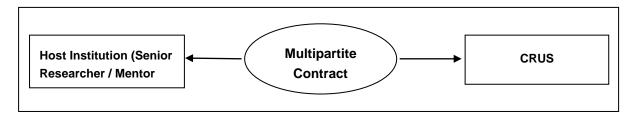
**Mandating agreement with the Coordination Body.** The NCU may conclude a similar mandate with the Coordination Body. The agreement details the respective roles, tasks and responsibilities.

**Memorandum of Understanding CRUS - Coordination Body.** Based on the mandating agreements, a separate Memorandum of Understanding (MoU) may be concluded between each Coordination Body and CRUS. The MoUs detail the coordination arrangements, scoring mechanism and assessment criteria, planning of calls and timing, reporting and monitoring arrangements as well as information and communication arrangements. Ideally, these MoU would be annexed to the above Inter-governmental Agreements.

Agreements with research institutions. CRUS will conclude Performance Agreements with the participating Swiss research institutions. These agreements outline the different roles and obligations for all procedural steps for research fellowships and short-term research visits (concerning scoring obligation of the Scoring Committee, financial flows and adherence to the Charter and Code for Researchers). If deemed necessary, the Coordination Body in the NMS may conclude Performance Agreements with the participating institutions in the NMS.

#### 522 Contractual arrangements for research projects and fellowships

The following illustration depicts contractual arrangements for fellowship within a research project.



**Multipartite contract.** A multipartite contract is concluded for each formally approved research cooperation that includes a fellowship. Contracting parties are the Host Institution and CRUS The contract defines the scope of the research project, the fellowship and details for the parties involved: their respective tasks, timeframes, budgets as well as the expected results and

deliverables.

The contract part applicable to the researchers is based on the Charter & Code for researchers "General Principles and Requirements applicable to Researchers" and the contract part applicable to the institutions is based on the Charter & Code "General Principles and Requirements applicable to Employers and Funders".

The general rules for the three financed short-term research visits per Fellowship for mentoring and/or furthering of the research project are included in the multipartite contract.

#### 6 Selection Procedures

Senior researchers in the NMS and in Switzerland initiate the conceptualization of a research partnership that provides room for research fellowships. An experienced Senior Researcher (Mentor NMS) and a Junior Researcher from the partner state will develop together with a Swiss Senior Researcher (Mentor CH) a joint proposal. The assessment of the proposal consists in two different levels: first an assessment by a Sciex Scoring Committee at the Host Institutions and, if applicable Home Countries. Scoring Committees at the Host Institutions will ensure an assessment according to the Code of Conduct for Recruitment, and hence also include best practice models with respect to gender balance. The second level is an assessment by the Sciex Evaluation Committee, exclusively based on the scientific quality of the proposals. The decision for financing of fellowships will be accomplished by the Steering Committee of the Programme and will be based on the results of the evaluation and the available financial allocation for fellowships.

# 61 Eligible participants

**Eligible research institutions.** Eligible research institutions in Switzerland and the NMS are in principle the following:

	Switzerland	Partner Countries
Research partners	<ul> <li>Universities (incl. ETHZ and EPFL)</li> <li>Institutions of the Federal Institutes of Technology Domain</li> <li>Universities of Applied Sciences</li> <li>Universities of Teacher Education</li> <li>Research Institutes subsidised by the Confederation</li> </ul>	<ul> <li>Universities</li> <li>Academies</li> <li>National Research Institutes</li> </ul>

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<sup>12</sup> See http://ec.europa.eu/euraxess/index\_en.cfm?I1=0&I2=3

The Coordination Body in the NMS will designate eligible research institutions in their country and communicate these to CRUS.

The above Swiss Research Institutions are definitely registered, after undersigning a Performance Agreement.

**Eligible researchers.** There are no age restrictions. Researchers, who apply for a Junior Researcher's fellowship in a research institution or a university, must hold a Master's or a PhD degree.

#### **62 Information**

CRUS will coordinate its information activities with the Coordination Body in the partner country. Furthermore, CRUS will actively inform research institutions in Switzerland and – if desired – will inform directly partner organisations in the NMS<sup>13</sup>. Participating partner organisations will receive different guidelines that detail all steps and deadlines from submission to completion of a research fellowship application. These guidelines will provide information about the eligible projects and the assessment criteria. Applicants will be able to access the submission process and related forms on-line.

#### 63 Number of calls

Calls for proposals will take place annually. The Coordination Body and CRUS may mutually decide to launch calls semi-annually.

## 64 Approval process for research fellowships

The following (page 19) scheme provides an overview of the process of proposal preparation, assessment and decision making.

CRUS will also inform partners directly in the NMS, if desired or more information is needed

<sup>&</sup>lt;sup>13</sup> CRUS will actively inform the following target groups:

Researchers in Switzerland via Website www.euraxess.ch and Swiss Euraxess Network

Euresearch Switzerland

Swiss Embassies and Cooperating Offices in NMS

NMS embassies in Switzerland

Research Institutions in NMS

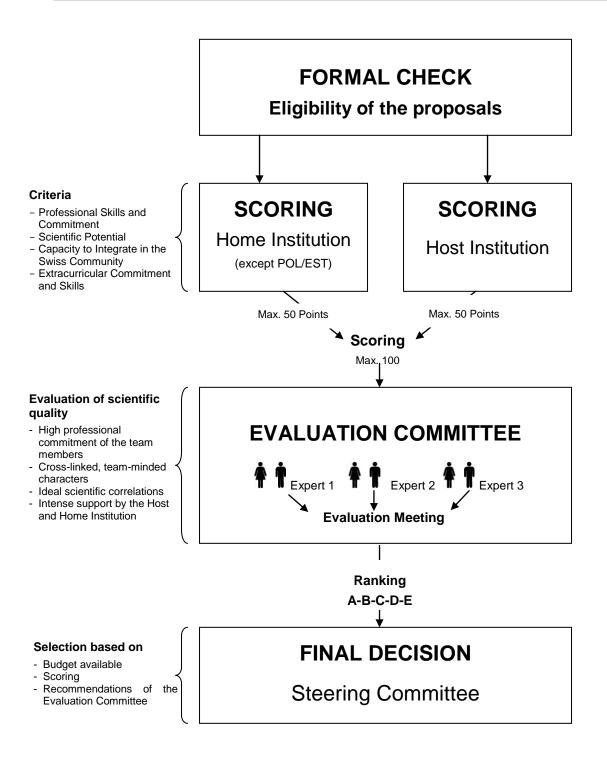
Euraxess Offices in NMS (Extranet)

European Euraxess (conferences and meetings in Brussels)

NMS Rectors' Conferences (EUA)

NMS Funding Agencies

# **Evaluation Procedure of the Sciex Proposals**



Stage 1: Preparation of proposal - The Junior Researcher defines a research stay project together with a Senior Researcher from his home department (home mentor). Contacts are established with a Senior Researcher from the envisaged host department in Switzerland (host mentor). A fellowship proposal is prepared by the Junior Researcher in close cooperation with the Senior Researchers from the host and the home department. The proposal includes details on the scientific cooperation and the Senior Researchers professional status, the potential and objectives of the fellowship candidate, description and justification of the research stay project, theoretical and methodological aspects and context, requests for funding and envisaged research environment (e.g. PhD programme, research team etc.). The short-term visits of the Mentors should be mentioned in the application. The host mentor as main applicant coordinates the filling in of the application forms and submits the proposal to sciex@crus.ch.

CRUS makes the proposals available on the restricted area of <a href="www.sciex.ch">www.sciex.ch</a> (« Case Management » for the Formal Check and « Project Proposals » for the scoring) and prepares the different stages of the assessment and decision making (scrutinizes the results of the scoring, distributes the proposals between the different experts of the Evaluation Committee, prepares the documentation for decision making of the Steering Committee).

**Stage 2: Assessment** - Each involved institution evaluates the fellowship proposal according to predefined criteria described in annex 3. The main stages of the assessment process are displayed below.

#### a) Formal Check

The Coordination Bodies are in charge of controlling the administrative completeness of the respective country proposals. They have access to the proposals through the restricted area of <a href="https://www.sciex.ch">www.sciex.ch</a> (under the « Case Management ») and inform the Sciex Management Team about the results of the Formal Check. On this basis, the Sciex Management Team contacts - if necessary - the Main Applicant, who has 5 working days to provide the missing documents or complete the proposal.

After this delay, the proposals will be defined as eligible or non-eligible.

#### b) Scoring

Scoring by the Home Country and Host Institution

Both scoring run parallely and are the indicator of the interest in the project and in the collaboration of the institutions, focussing beside the scientific quality of the project, on soft skills of the project team.

- Scoring by the Home Country (if applicable)

The Coordination Bodies are in charge of organizing the coordinating the scoring their respective proposals with respect to the potential of the researcher, the potential of the scientific project and the sustainability of the fellowship. The way how the scoring is conducted in the different NMS and the criteria taken into account are defined in detail in the Agreement on the

Scholarship Fund. The assessment results are transmitted to CRUS via the Coordination Body in the partner country.

Scoring by the Host Institution

The Charter and Code Supporters of the Host Institutions are in charge of organizing and coordinating the scoring of the proposals in their respective institution.

The host institution's Scoring Committee screens and scores the proposal with respect to the potential of the researcher and the potential of the scientific project . The Scoring Committee confirms that both the research project and the involved researchers fit the institution's quality standards. The Scoring Committee acts in adherence to the Charter & Code and especially with respect to the recommendations concerning gender balance. After the assessment is completed, the host institution transmits - via the Charter and Code Supporters - the documentation to CRUS. No appeals for the quality assessment done by Scoring Committees are envisaged.

### c) Evaluation Committee

The Evaluation Committee is composed of experts covering the different fields of the proposals; they are all Professors and coming from the different Swiss institutions of Higher Education.

The Evaluation Committee is exclusively dedicated to the evaluation of the general scientific quality of the proposals. To this purpose, the Evaluation Committee takes into account the results of the scoring and revises them if necessary.

The evaluation criteria are:

- High professional commitment of the team members;
- Cross-linked, team-minded characters;
- Ideal scientific correlations, scientific quality with respect to international state of the art;
- Intense support by the Host and Home Institution.

At this stage, each proposal is evaluated by 3 experts of the Evaluation Committee (from the field of the proposal) and ranked according to the following graduation:

A=excellent; B=good; C=satisfactory; D= poor; E= not acceptable.

Afterwards the experts meet one whole day to discuss and exchange their evaluation on the different proposals and to fix the final ranking A, B, C, D, E. The experts are also in charge of formulating the scientific arguments for the refusal of a proposal.

No appeals for the quality assessment done by the Evaluation Committee are envisaged.

**Stage 3 : Decision** - The final decision is taken by the Steering Committee which considers the results of the scoring, the recommendations of the Evaluation Committee (eligibility, quality and

competitiveness) and the budget available.

By order of priority, the Steering Committee first considers the recommendations of the Evaluation Committee (ranking) and second, if there are still funds available, the scoring.

The Steering Committee chooses explicitly to take the revised scoring given by the Evaluation Committee as second factor in order to emphasize the weight of the scientific evaluation in the global evaluation procedure.

Approval (or denial – with the arguments of the experts) will be communicated by CRUS. Decisions of the Steering Committee cannot be appealed.

A contract is subsequently prepared and sent to the host institution (respectively the Host Mentor) for signature. The signing of the Multi-partite Contract and relocation can take place within three months after the decision of the Steering Committee.

# 7 Programme Management

## 71 "Coordination Bodies" in NMS

The NCU may designate a Coordination Body to be in charge of the in-country management of the Programme. Though its exact shape and role may vary, the main tasks will be along the following lines:

#### A. General

- Conclude a Memorandum of Understanding with CRUS;
- Advertise the Sciex-NMS<sup>ch</sup> and communicate related procedures in country:
- Install at the beginning of the programme a national Sciex website.

#### B. Programme Cycle

- Disseminate information about the programme and calls among eligible institutions;
- Provide assistance to researchers in their native language;
- Control formal requirements of all fellowship proposals;
- Coordinate the scoring of / assess the fellowship proposals according to the predefined scoring system;
- Send all result of scoring the CRUS;

#### C. Monitoring and Reporting

 Provide data on the eligibility and quantity of received proposals to CRUS for compilation of the required progress reports; - Monitor the long-term success of the fellowships and the projects in which the fellowship recipient has been involved (press articles, satisfaction of researchers and institutions, success rates).

The detailed tasks and respective procedural steps may be defined in the MoU between CRUS and the Coordination Body.

#### 72 CRUS

SDC mandates the Rectors' Conference of the Swiss Universities (CRUS) as the Swiss Intermediate Body with the responsibility for Programme implementation and management. CRUS will supervise and control the necessary Swiss bodies and organisations that allow it to fulfil the mandate according to the specifications as contained in this Programme Document.

Internally, CRUS sets up a Clearing and Coordination Office (CCO) as a unit within its Secretariat General.

The CCO is in charge of day-to-day programme management, including controlling of the subcontractors. The ten Regional offices in Switzerland, which are coordinated by CRUS, will provide regional case management. The main tasks of the CCO are described below.

## Related to Sciex-NMS<sup>ch</sup> Agreements:

- Develop, sign and monitor the implementation of MoUs with Coordination Bodies;
- Develop, sign and monitor the implementation of the agreements with Swiss host institutions;
- Develop, sign and monitor and supervise contracts with Swiss sub-contractors.

#### Related to overall Programme management:

- Draft half-yearly Plans of Operation and related budget proposals for approval by the Steering Committee;
- Submit half-yearly country-wise and overall physical and financial progress reports to the Steering Committee for approval;
- Provide secretarial support for the Evaluation Committee;
- Provide secretarial support for the Steering Committee;
- Set-up and operate an overall management and reporting system;
- Set-up and operate a financial management and reporting system, including the transfer of funds to participating host institutions;
- Cooperate with Coordination Bodies in the partner countries (information activities, reporting requirements, etc.):
- Advertise Sciex-NMS<sup>ch</sup> within the Swiss research community and communicate procedures and requirements;

Organise information flow to European research organisations and to the Swiss public.

#### Related to Programme Cycle:

- Provide the Evaluation Committee with fellowship proposals for scientific screening;
- Provide the Steering Committee with fellowship proposals for decision taking;
- Communicate the Steering Committee's decisions to applicants, the Coordination Body and Regional offices in Switzerland;
- Draft, and co-sign the Multi-partite Agreement for each approved fellowship;
- Set-up and operate a standard system to monitor the fellowship implementation and to intervene in case of delays or problems;
- Ensure the timely completion of fellowships and follow-up obligations as defined in the individual multi-partite agreements.

## The main tasks of the regional offices<sup>14</sup> in Switzerland are:

- Advertise and communicate the Sciex-NMS<sup>ch</sup> programme to interested researchers regionally;
- Monitor researcher's progress at host institutions of the region according to their competence;
- Provide case progress reports as per agreed schedule;
- Provide demand-based on-location assistance to researchers:
- Cooperate with the euraxess units in the partner countries, especially regarding relocation and follow-up.

## 73 Steering Committee

The Steering Committee of the SciexNMS<sup>ch</sup> Programme is responsible for the general operational decisions of the programme. It also discusses and approves the list of proposed fellowships first based on the ranking from the Evaluation Committee and sedond on the scoring revised by the Evaluation Committee and approves the correct implementation of the predefined criteria. The main functions of the Steering Committee are:

- Approval of half-yearly Plans of Operation and related budget proposals;
- Approval of half-yearly reports on reached objectives and financial progress;

-

<sup>&</sup>lt;sup>14</sup> Cooperating with Euraxess network

- Definition of evaluation criteria in Switzerland (for the scoring and the Evaluation Committee) and final approval of proposed research fellowships on the basis of the evaluation procedure results;
- Definition of rules for selection and decision on the submitted proposals;
- Advice in any matter directly relevant to the Programme (arbiter of last resort will jointly be SDC and the NCU).

The Steering Committee is composed of the Swiss research stakeholders, i.e. delegated representatives of the following organisations: CRUS (1 delegate as President of the Steering Committee); State Secretariat for Education and Research (with one vote: 1 delegate ESKAS, 1 delegate "Bridge to the Research Institutions outside the university sector, which are subsidised according to Article 16 of the Federal Law on Research"); the Swiss National Science Foundation (with one vote: 1 delegate career development, 1 delegate international cooperation); Swiss cantonal universities and Swiss Federal Institutes of Technology (2 delegates elected by CRUS with one vote); Swiss Universities of Applied Sciences (1 delegate elected by KFH); ETH-Domain (1 delegate elected by ETH-Rat); SDC (1 delegate). Each partner state may delegate an observer to the Steering Committee.

One delegate from CRUS chairs the Steering Committee. The CRUS Clearing and Coordination Office (CCO) provides the secretarial support to the Committee.

# 74 Participating Universities and Research Institutions

Participating NMS universities and research institutions will foremost be responsible for:

- Signature of and adherence to Performance Agreements with Coordination Bodies (if applicable);
- Disseminating information on Sciex-NMS<sup>ch</sup> to faculty and staff;
- Screening and assessment of fellowship proposals;
- Submission of assessment results the fellowship proposals to Coordination Body;
- Reporting to the Coordination Body as per agreed schedule.

Participating Swiss universities and research institutions will foremost be responsible for:

- Signature of performance agreements with CRUS;
- Disseminating information on Sciex-NMS<sup>ch</sup> to faculty and staff;
- Quality screening (scoring) of proposals with respect to the scientific and HR strategy of the institution;
- Arranging work space, etc. for fellowship holders;
- Gathering, checking and sending to CRUS the documents required for the regular

employment of the Fellow and for the payment of the Fellowship (work contract, specification sheet, residence and work permit);

- Ensuring a flow of funds to fellowship holders, including account keeping and financial reporting;
- Reporting to CRUS/CCO.

# 8 Funding and Budget

Main costs incurring in Switzerland include research fellowships, short-term research visits, programme reviews and programme management by CRUS. All these costs will be financed by the Swiss Contribution. A budget overview is provided in Annex 1 and 2.

Main costs incurring in the NMS include the information on Sciex-NMS<sup>ch</sup>, the selection process for fellowships done by the home institution and the management costs of the Coordination Body. All local costs will be financed by the partner country, either as co-financing of the Swiss contribution, or as a financing based on other funding sources.

The Swiss part of the overall Programme budget is CHF 44.973 Million. The geographic distribution according to the bilateral framework agreements is as follows:

Country	Mio CHF
Poland	12.00
Czech Republic	7.00
Hungary	4.00
Latvia	2.00
Bulgaria	2.00

Country	Mio CHF
Romania	8.00
Lithuania	4.00
Slovak Republic	3.00
Estonia	1.973
Slovenia	1.00

7.7 % of the total Programme budget (CHF 3.463 Million) is earmarked for Programme management and will be deducted proportionally from the above country budgets. For details on the programme management budget, see the annex 1.

CRUS is responsible for the financial administration of the entire Programme budget (budgeting, account keeping, reporting). SDC will transfer instalments to a separate CRUS account on a call forward-basis.

CRUS releases funds to specific Sciex account positions within the host institutions financial accounts for fellowships assigned by the Steering Committee. The universities and host institutions release funds to the Senior and Junior Researchers bank account and provide CRUS with the appropriate financial reports.

Audits will be done annually at CRUS.

# 9 Monitoring and Reporting

As with the contractual arrangements, a distinction has to be made between (1) monitoring and reporting on the entire Sciex-NMS<sup>ch</sup> Programme and (2) monitoring the fellowships in the research stay projects as well as the short-term research visits. A detailed financial and operational monitoring system will be developed by CRUS at the beginning of the Programme implementation. The system will include quantitative and qualitative components.

## 91 Quantitative Component

The main quantitative controlling instrument is the data base that will be developed and operated by CRUS. It will allow the case management of individual fellowships and the monitoring of the overall programme implementation. The data base will be user friendly and will allow integrating the qualitative monitoring instruments described below. Actual data will be available upon short notice.

## 92 Qualitative Component

The following table lists the qualitative instruments that will be used for case monitoring, along with the data contained in the data base mentioned above.

Monitoring subject	Instrument / Responsible	Timing
Research Fellowship:		
Progress assessment (incl. final assessment)	Brief progress report on the reached objectives / fellowship recipient and mentors	Every 6 months
Personal assessment on the project research / programme (both Fellows and Mentors)	Satisfactory Questionnaire	End of fellowship
Gender balance	Database and reports	Annually
Short-term research visits	Report / visiting researcher (within the progress report)	End of visit (in the semi- annual progress report)

Standardised reporting forms and questionnaires will be provided by CRUS.

# 93 Independent Programme Progress Reviews

The seven year Sciex-NMS<sup>ch</sup> Programme with its substantial budget warrants two brief external reviews to:

- (1) Assess progress achieved against set objectives and targets, and
- (2) Provide advice and direction for corrective measures, if required.

These two external reviews differ from the annual consolidated and externally reviewed statements of account organized by CRUS.

Tentatively, the mid-term review is scheduled for around 2011. An independent evaluation may be conducted after the Programme completion. In both cases SDC will be responsible for organizing the assessments. Results will be communicated to CRUS as well as to all partner countries.

Risks	Mitigation Strategies
Too many proposals submitted and consequent rejection and disappointments in NMS (too high demand)	Selections by scientific panels (nominated ad hoc) • Communication on programme limitations
Insufficient quantity of submitted proposals in a given country (too low demand, underutilised country budget)	<ul> <li>Increase of PR activities in NMS and CH •</li> <li>Matchmaking efforts between Swiss and NMS institutions</li> </ul>
Insufficient quality of research projects, which provide the frame for the fellowship	• Enhance the role of the Senior Researchers (short-term visits) to improve the quality of the research projects
Drop-outs among fellowship holders	Clarification with CRUS and home institutions on the minimum requirements for participants
Sub-standard performance (mentoring, scientific performance, subcontractors)	Sanctions (up to stopping payments)
No gender balance	Adjustment in proposal forms • Training of Scoring Committees • Intensify support structures

# **Annex 1: Budget for Management of the Swiss part of the Programme**

The amounts corresponding to the budgetary items shown below are indicative and may be adjusted during the implementation of the programme.

Management Budget Sciex-NMS <sup>CH</sup>	CHF
CCO-CH: salaries/indirect costs	3'112'921
Database	150'000
Conferences	100'000
Print Material / Brochures / Reports	70'000
Reviews *	30'000
Total (7,7%)	3'462'921

## \* NB:

- **CHF 30'000** will be managed by SDC in order to carry out the two brief external reviews (see point 93).
- The total budget for management covering CRUS costs is CHF 3'432'921

# Annex 2: Budget overview for fellowships and short term research visits

# Indicative budget for 12 months Fellowships (full granted) and Short-term Visits per Country in CHF\*

Country	Budget Fellowships	No of 12 months Fellowships	Bugdet STV	No of STV
Bulgaria	1'696'000	20	150'000	60
Czech Republic	5'913'500	73	547'500	219
Estonia	1'671'079	20	150'000	60
Hungary	3'384'500	41	307'500	123
Latvia	1'696'000	20	150'000	60
Lithuania	3'384'500	41	307'500	123
Poland	9'996'000	124	930'000	372
Romania	6'761'500	83	622'500	249
Slovak Republic	2'536'500	31	232'500	93
Slovenia	848'000	10	75'000	30
Total	37'887'579	463	3'472'500	1389

<sup>\*</sup> Basis for calculation - 2 basic indicative hypotheses:

- 1) Average duration of a Fellowship is 12 months
- 2) Fellowships are equally distributed between Doctoral Candidates and PostDocs

#### Indicative basis for Calculation:

Average between the Costs of a Fellowship for a Doctoral Candidate and the Costs of a Fellowship for a PostDoc: 88'000 CHF (70'000+106'000/2)

- Costs of a Fellowship for a Doctoral Candidate (12 months): 50'000 (salary) + 10'000 (social taxes) + 2'500 (allowances) + 7'500 (STV) = 70'000
- Costs of a Fellowship for a PostDoc (12 months): 80'000 (salary) + 16'000 (social taxes)
   + 2'500 (allowances) + 7'500 (STV) = 106'000

## Summary - Main budget lines (CHF):

 Management
 7.7 %
 3'462'921

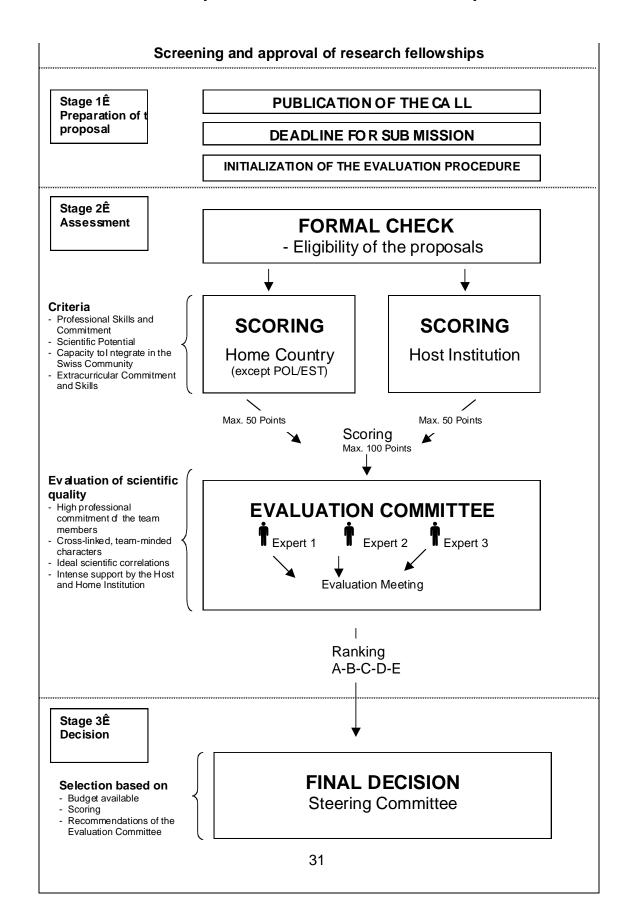
 Contact Point Poland 15
 0.34 %
 150'000

 Grants
 91.96 %
 41'360'079

 Grand Total
 100.00 %
 44'973'000

<sup>&</sup>lt;sup>15</sup> The cost of the Contact Point Poland (fix amount 150'000 CHF) is charged exclusively on the Scholarship Fund Poland

# **Annex 3: Assessment process for research fellowships**



# Annex 4: Eligible Costs for Fellowships and short term research visits

Component	Description	Duration	Max allowance
A. Fellowship	Fellowship for the junior researcher NMS	6-24 months	CHF 120'000 <sup>16</sup>
B. Short term research visit	Mentor visit and research cooperation of the senior researchers	5 days	CHF 2'500

## A. Eligible costs for Fellowships for the junior researcher

Category	Eligible costs
Fellowship	Fellowship: PhD candidates for the first twelve months of stay CHF 50'000 PhD candidates for the second twelve months of stay CHF 55'000 Post Docs CHF 80'000 for twelve months (maximum length of stay 18 months) Plus social taxes as fixed by SNF and Research Institutions.
Transport	Travel costs between home country and Switzerland (maximum CHF 1000) Transport within Switzerland (maximum CHF 1000)
Research	Participation in Conferences (including external meals and possible hotel costs) Publication costs (Maximum CHF 500)

Not covered are: Admission fees (equivalent to other scientific collaborators at the RI with an employment contract)

## B. Eligible costs for short term research visits (CH & NMS Researcher)

Costs for short term visits by NMS Researchers will be remunerated according to actual expenses. Costs for short term visits by Swiss researchers will be remunerated according to their home institution's specific regulations.

Category	Eligible costs
Transport	Travel costs between home country and Switzerland Transport within country
Accommodation and Food	Hotel costs Daily allowance

Not covered are: Admission fees (equivalent to other scientific collaborators at the RI)

<sup>&</sup>lt;sup>16</sup> Maximal allowance does not include social taxes. The amount may be exceeded in specific cases.

## **Annex 5: Contact Point Poland**

# Sciex-NMS<sup>ch</sup> Contact Point Poland (Sciex-CP-POL)

#### Annex 1 to the Mandate Agreement CRUS - FRSE from November 2009

1		Contents	
	1	Contents	1
	2	General Arrangements	1
	3	Tasks	
	3.1	1 Information Management	
	3.2	Tasks related to the programme cycles	
		<ul> <li>3.2.1 Number and schedule of calls</li> <li>3.2.2 Report to CCO-FR during the contracting period</li> <li>3.2.3 Provide proximity assistance to applying parties in Poland</li> <li>3.2.4 As soon as an allocation has been made</li> </ul>	3 3 3 3
	3.3	3 Completion Phase: 1 <sup>st</sup> of November 2015 – 30 <sup>st</sup> of April 2016	
	4	Data Management and Data Protection	

Based on the Programme Document and the Rules of Procedure of the CCO, the "Rules of Procedure of the Sciex NMS<sup>ch</sup> Contact Point Poland" describe the tasks and duties of the Sciex-CP-POL. For details see "G-5 Guidelines to the Sciex-NMS<sup>ch</sup> Contact Point Poland".

# 2 General Arrangements

The Sciex-NMS<sup>ch</sup> Contact Point Poland is the local face of the Programme. The Sciex CPP Officers know the country's research area, the profiles of the Home Institutions and are in daily contact with national researchers. They are informed in detail about the "cases" or fellowship projects, which emerge from their research area. They have access to all the data of their fellowship projects and provide all relevant information to the programme managers at the Clearing and Coordination Office, who are located at CRUS (Head of Management) and in the University of Fribourg (Deputy Head of Management).

The Sciex-CP-POL is located at FRSE. The Sciex-CP-POL officers ensure a smooth and transparent communication between the *Clearing and Coordination Office* (*CCO*) in Switzerland, the *project teams* (Fellows and Mentors, who are in Poland) and *Home Institutions in Poland*.

Sciex-CP-POL is involved in the European Euraxess network and exchanges good practices with the other partners fullfilling analogous tasks in Sciex.

Sciex-CP-POL will be appointed during the first official proposal submission period. Sciex-CP-POL will submit one operational report in September according to the Mandate Agreeement and

a progress report in March. Sciex-CP-POL will be active during the implementation phase with general duties.

Sciex-CP-POL proactively disseminates information about the programme and about the country's Euraxess Service Centres.

Sciex-CP-POL immediately informs CCO (in Switzerland) on any changes or events which influence the individual projects and which were reported to them by Home Institutions, Mentors and Fellows.

### 3 Tasks

## 3.1 Information Management

- Publish information on a Website <u>www.sciex.pl</u> (domain must be reserved! Link to a sub-page of the organisation's main site)
  - Link to www.sciex.ch
  - Details of the contact persons involved in the implementation of the programme.
  - Time schedule for the submission of proposals etc. (to be defined with CCO)
  - The official list of eligible institutions (as provided by the NCU) if possible with links to the institutions' websites.
  - Frequently asked Questions and standardised answers in Polish.
- The communication strategy has to be fixed together with CCO and will entail the participation in European, Polish and Swiss events. The budget will relate to these aspects.
  - Sciex-CP-POL assists the CCO in the organisation of events for Polish Sciex researchers in Poland.
  - Dissemination of information material (provided by CCO or developed in cooperation)
- Provide proximity assistance to the Polish researchers' teams in the following subjects
  - How to find a partner in Switzerland (forward sources of information which are provided by CCO)
  - How to submit proposals
  - Who is eligible
  - Procedures and requirements
- Control formal requirements (eligibility criteria) of the proposed forms within the given deadlines (Check List and G-4 Guidelines for Coordination Bodies provided by CCO).
- Give feedback to CCO on instruments for the implementation of Sciex, such as
  - Reporting forms
  - User satisfaction questionnaires
  - Information material and brochures

## 3.2 Tasks related to the programme cycles

#### 3.2.1 Number and schedule of calls

Calls for proposals will take place annually in September of each year. Sciex-CP-POL and CCO will together decide to launch additional calls. All Sciex Fellows must have left Switzerland on 31st of October 2015.

## 3.2.2 Report to CCO-FR during the contracting period

- Annual financial report in September
  - Sciex-CP-POL fills in a reporting form, which we will create together.
- Report on case progress, success stories and failures (based on project reports and personal contacts) in March.
  - Sciex-CP-POL fills in a reporting form, which we will create together with colleagues from the other partner countries.
- Communicate incorrect or doubtful project proposals during the negotiation phase (December 2009 – January 2010; 15 November – 15 December 2010 - 2014)
  - Sciex-CP-POL controls formal correctness and eligibility of the projects using a checklist and according to the G-4 Guidelines (both provided by CCO and tested during the Pilot Phase).
- Encountered difficulties and possible mitigation strategies.
  - Sciex-CP-POL meets every March at a training session in Switzerland with colleagues from the other partner countries.
- Changes in any funded project (communicate directly to CCO-FR by mail).

#### 3.2.3 Provide proximity assistance to applying parties in Poland

- Sciex-CP-POL helps researchers to fill in applications (on request, per mail or telephone).
- Sciex-CP-POL endeavours to prevent ineligible parties from submitting proposals by communicating the frame of the programme (e.g. no funding of project work, which is carried out in Poland).

#### 3.2.4 As soon as an allocation has been made

- Sciex-CP-POL directs Fellows to the Polish and the Swiss Euraxess Network to ensure proximity assistance to Fellows for relocation, health insurance, etc.
- Provide CCO with information on individual cases (including home institution), which
  has to be updated on the Sciex-IMS and on the website's restricted area "case
  management". Sciex-CP-POL immediately alerts CCO-FR, if any abuse by the
  multipartite-contract partners is observed, especially with respect to
  - Progress of Fellows
  - Mentors' duties and Short-term visits
  - Home Institution and department according to Form 3a.
- Sciex-CP-POL immediately notifies CCO-FR, if failures or major problems occur.
- Sciex-CP-POL monitors and reports on the satisfaction of Fellows, Mentors, Departments and Home Institutions.

 Reports will be based on user satisfaction questionnaires, which must be created in cooperation with the other partner countries.

# 3.3 Completion Phase: 1<sup>st</sup> of November 2015 – 30<sup>st</sup> of April 2016

A progress completion report will be delivered after the completion of the Mandate Agreement. Sciex-CP-POL will provide assistance to CCO with respect to finishing reports.

# 4 Data Management and Data Protection

Sciex-CP-POL, NCU and SCO receive a password to log into the restricted area "case management" of <a href="www.sciex.ch">www.sciex.ch</a>. The password is set at the CCO. It allows access to data relating to the case management of Polish Fellowships in Sciex and to the internal information of the management. Sciex-CP-POL is responsible for protecting the password and not giving access to sensitive data to any persons, who are not working at the Sciex-CP-POL. If staff members, who were allowed to use the password, quit Sciex-CP-POL must immediately alert CCO. Sciex-CP-POL will receive a new password.

All data are subject to the data protection law in force ("Bundesgesetz über den Datenschutz") and must not be used for any other purpose than to reach the objectives of the programme.