

82 Legal Arrangement

821 Inter-governmental Agreement

SDC will conclude a Thematic Fund Agreement with the NCU of Romania. This agreement provides the legal framework for implementing the RSRP. The agreement details, inter alia, the main roles, rights, and obligations of the contracting partners, as well as the procedures, budgets, as per the present Programme Document.

822 Mandate Agreement with SNSF

In Switzerland, SDC concludes an agreement with SNSF, which retains, inter alia, the implementation, planning and management responsibilities of SNSF. Details of tasks and procedures as well as the related operational structures are provided in this agreement.

823 Mandate Agreement with UEFISCDI/MECTS

NCU may conclude a similar mandate with UEFISCDI/MECTS as national coordination body. The agreement details the respective roles, tasks and responsibilities.

824 Cooperation Agreement between SNSF and UEFISCDI/MECTS

Based on the Mandate Agreements, the Swiss Intermediate Body SNSF and UEFISCDI/MECTS shall conclude a separate Cooperation Agreement. The Cooperation Agreement details the coordination arrangements, the transfer of administrative funds, the scoring mechanism and assessment criteria, the planning of calls and timing, the reporting and monitoring arrangements as well as information and communication arrangements.

825 Decision Letter from SNSF to Swiss PIs and UEFISCDI/MECTS to Romanian PIs

SNSF communicates final decisions with decision letters to the Swiss PIs, and UEFISCDI/MECTS to Romanian PIs. For the applications to be funded, the letters include conditions such as reporting.

826 Grant Agreements

The Swiss and Romanian PIs will sign a Grant Agreement for each JRP. These agreements (including the research plan) define the scope of the JRPs, the contact persons, the duration of the project, obligations of the partners, including reporting, the budget, financial modalities (including financial contributions, audits, etc.), and other relevant matters, including IPR.

83 Financial procedure

831 Flow of funds

As a matter of principle SDC's share in the RSRP's budget, both for the JRPs and for the management, will be transferred to SNSF on the basis of the Thematic Fund Agreement concluded between SDC and the NCU as well as the Mandate Agreement signed between SDC and SNSF. Based on the Cooperation Agreement, SNSF will transfer the amount ear-marked for the management costs in Romania to UEFISCDI/MECTS. Instalments are based on reports according to the indicative payment schedule agreed in Annex 3 of this Programme Document.

The Romanian contribution is allocated to the Romanian PIs to co-finance JRPs activities by 15%; payments shall be transferred directly by UEFISCDI/MECTS to the respective Romanian institutions hosting the JRPs researchers groups based on contracts stipulating exact terms and amounts to be allocated. The remaining grant of the Swiss Contribution that is allocated for JRPs (85%) is allocated to the Swiss and Romanian PIs to finance JRPs activities; payments shall be transferred by SNSF to the Swiss institutions hosting the JRPs research groups. The Swiss institutions will then gradually transfer the share of the contribution to the respective Romanian institutions hosting the corresponding JRPs researchers groups according to the progress of the JRPs.

832 Advance payments

Advance payments from SDC to SNSF

As a general rule, SDC provides working capital advances to SNSF for the management as well as for the JRPs. A prerequisite for payments is the approval by SDC of the relevant progress and financial reports of SNSF covering the last-but-one period. The payment will be carried out annually based on the yearly activity and budget planning.

Advance payments from SNSF to UEFISCDI/MECTS

As a general rule, SNSF provides working capital advances to UEFISCDI/MECTS for the management in Romania. A prerequisite for payments is the payment the administrative costs from SDC to SNSF. The payment will be carried out annually based on the yearly activity and budget planning.

Advance payments from SNSF and from UEFISCDI/MECTS for the JRPs

Advance payments for each JRP shall be coherent with JRP progress and current practice for SNSF and UEFISCDI/MECTS managed research programmes. The budgets for JRPs are transferred in annual instalments to the Swiss PI at the beginning of a project year. The Swiss PI is responsible for the transfer of the Romanian part to the Romanian PI. After 12 months, a scientific and financial report is requested from the Swiss PI. In parallel, the subsequent instalments are to be paid to allow research activities to continue. However, this automatic process is immediately stopped if problems or irregularities occur in a project (the Swiss PI has the obligation to inform SNSF immediately. The Romanian PI has the same obligation to inform UEFISCDI, accordingly).

833 Guidelines for Grants Management

Based on past experiences, SNSF has elaborated guidelines for the management of grants for joint research projects that clarify financial and administrative issues that are binding for or just helping project partners. These guidelines delegate important coordination, monitoring and controlling tasks to the Swiss partner. They will be attached to the Grant Agreement of each JRP.

834 VAT and other taxes and charges

The JRP grants are not subject to VAT or other taxes and charges in Switzerland. In Romania, research is not excluded from VAT. Therefore, all costs budgeted in a JRP (e.g. equipments, consumables, etc.) will be charged to the programme, VAT included. However, VAT will not be considered as an eligible expenditure if the research institution (e.g. universities, public research organizations, etc.) is able to recover the VAT.

84 Publications and Patents

The PIs are obliged to publish research results coming from the JRPs in appropriate form and according to SNSF's standards. The publication will mention the support received from the RSRP. The following rules also apply:

- a. Publications are to be accessible, and to comply with Open Access regulations;
- b. The data collected within a JRP are to be accessible to other researchers for secondary research;
- c. SNSF and UEFISCDI/MECTS can request that publications containing data gained in the framework of JRPs be submitted to them.
- d. All results of research activities developed through the JRPs are subject to the regulation of the Romanian and Swiss host institutions.

Patents: SNSF and UEFISCDI/MECTS are to be informed – during and after a JRP – about patents that result from the JRP.

85 Monitoring and Reporting**851 Programme Level**

On hand of the reports listed below, SNSF will inform SDC about management activities and progress made in the JRPs including the experience gained through implementing the programme. UEFISCDI/MECTS shall contribute to the elaboration of the report by providing input. UEFISCDI/MECTS and NCU will receive a copy of the written reports.

Mid-year narrative reports shall cover management activities implemented during the past six months.

Annual scientific narrative reports shall provide information on management activities implemented during the past year, and progress and achievements of research activities. Finally, the reports shall assess achievements of the overall programme based on standards indicators for research programmes financed by the Swiss Contribution (see section 3 above and Annex 4).

Annual financial reports shall provide information on financial situation of the programme, a comparison of actual with planned expenses, an update on progress status while confirming financing.

A final programme report shall include also "lessons learnt".

Annual Reports, respectively the final programme report, shall be transmitted to SDC not later than 3 months, respectively not later than 6 months, after expiry of the given reporting period. Annual Reports are to be discussed with the Steering Committee.

SDC shall be kept informed at any time about relevant events and incidents.

A yearly activity and budget planning elaborated by SNSF and discussed in the Steering / Selection Committee shall be the basis for the annual advance payments. Copies of all relevant documents will be provided to UEFISCDI.

852 Level of JRP

Scientific reports: Each JRP, under the responsibility of the Swiss PI, will submit short annual reports and a final report to SNSF on the advancement of their project, providing information about timelines and progress made in implementing the JRP. The annual reports are checked by SNSF. The final report will be checked by the member of the evaluation panel that was responsible for the given proposal and must be approved by SNSF and UEFISCDI/MECTS. The report (approved) is the only document which serves the basis to declare the project as completed.

Financial reports: The Swiss PIs of each JRP will provide an annual and a final financial report to SNSF. This report must also include the budget of the Romanian partner. The budget of the Romanian partner will clearly be divided into a part that was funded by Switzerland and a part that was funded by Romania. In the financial reports expenditures will be compared with the initial budgets submitted. Financial reports will also be checked against the guidelines established at the start of the programme. Both SNSF and UEFISCDI/MECTS will check and approve these reports.

Templates for both types of report will be provided.

Financial control: The responsibility for overseeing the proper management of funds lies first with the Swiss PI. The Swiss PI, together with the host institution, must ensure that expenditure reflects the realities and is consistent with the work done, this also for the part claimed by the Romanian partner. Then, SNSF controls the financial reports of the whole JRP first in connection with the project progress and also on the basis of the supporting documents (receipts, reports, etc..). attached to the reports. UEFISCDI/MECTS eventually check in turn in the same way the Romanian part of the financial report.

86 Audit

In Switzerland

The usual controlling and audit mechanisms of the SNSF and Federal Administration are applied: internal controlling by the SNSF; internal auditors reporting to the Foundation Council (= statutory external auditors); financial supervision by the Swiss Federal Audit Office.

In Romania

UEFISCDI/MECTS will either apply standard audit mechanisms of Government structures or they will mandate internationally recognised experts to carry out the audits of the JRP.

External Audits

On the basis of the experience with the SCOPES programme and with the reporting and controlling system described above, no additional external audit is systematically required. According to the Framework Agreement, SDC reserves the right to ask for or to carry out technical and financial audits.

87 Promotion and Knowledge Sharing

In addition to the initial event in Romania (see 71 of the present document), RSRP's implementation will be accompanied by promotional activities in Romania, allowing for researchers to meet and to exchange views and share knowledge gained in the framework of the JRPs and in cooperating with the organisations managing the research programme.

88 Implementation Schedule

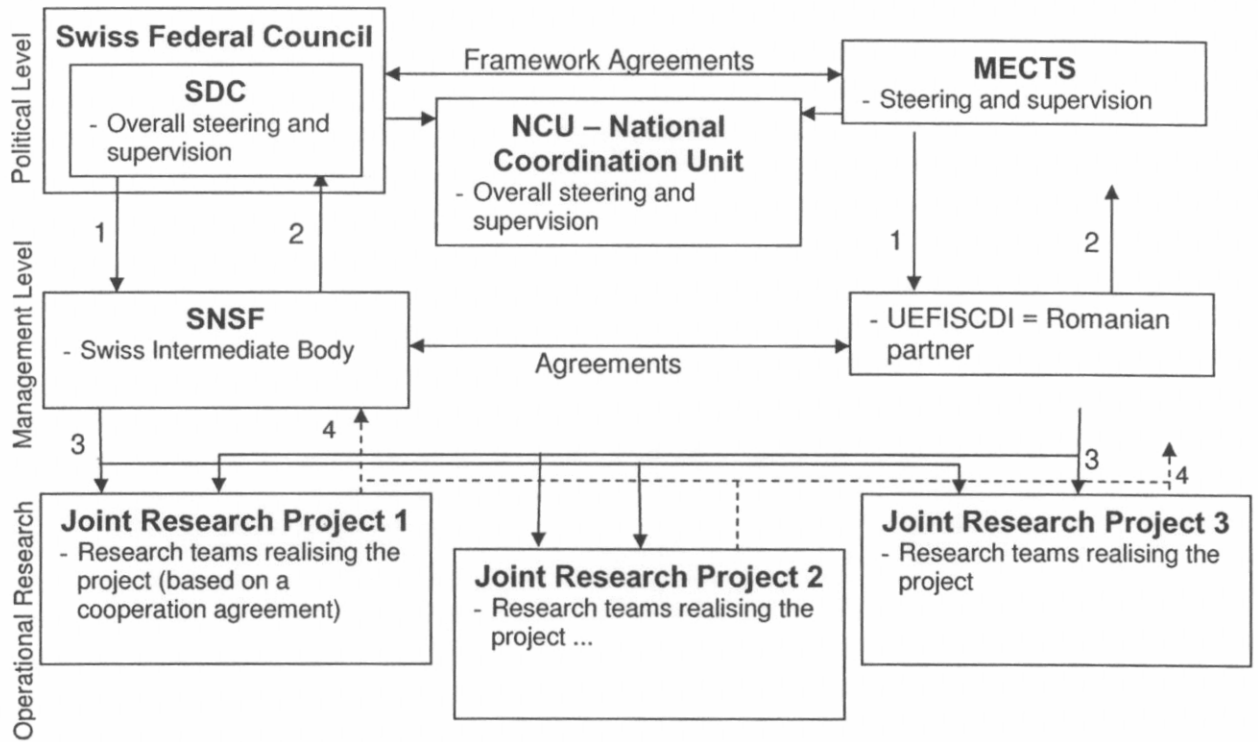
The tentative implementation schedule is as following:

Activity	Resp.	Schedule
1. Credit approval by Switzerland	SDC	15 Feb 2011
2. Signature of Thematic Fund Agreement between SDC and NCU	SDC & NCU	20 Feb 2011
3. Signature of Mandate Agreement between SDC and SNSF	SDC & SNSF	20 Feb 2011
4. Signature of the Cooperation Agreement between SNSF and UEFISCDI/MECTS	SNSF & UEFISCDI	28 Feb 2011
5. Information event of RSRP	SNSF & UEFISCDI	Beg. May 2011
6. Finalisation of the call document	SNSF & UEFISCDI	May-June 2011
7. Opening of the call	SNSF & UEFISCDI	Mid June 2011
8. Deadline for application	SNSF & UEFISCDI	30 Oct 2011
9. Evaluation panel meeting	SNSF & UEFISCDI	April 2012
10. Approval of JRPs by the Steering / selection Committee	SNSF & UEFISCDI SDC & NCU	April 2012
11. Dispatch of decision letters by SNSF and UEFISCDI to the beneficiaries	SNSF & UEFISCDI	May 2012
12. Start of JRPs implementation	SNSF & UEFISCDI	June 2012
13. Completion of last JRP (duration max 3 years + max 6 months extension)	SNSF & UEFISCDI	Dec 2015
14. Completion report, completion of RSRP	SNSF & UEFISCDI	Dec 2016

ANNEX 1 Abbreviations

FA IZ	Specialised Committee International Co-operation = Fachausschuss Internationale Zusammenarbeit
JRP	Joint Research Project
NCU	National Coordination Unit
MECTS	Ministry of Education, Research, Youth and Sports
PI	Principal Investigator
RSRP	Romanian-Swiss Research Programme
SDC	Swiss Agency for Development Cooperation
SIB	Swiss Intermediate Body
SNSF	Swiss National Science Foundation
SRCP	Swiss-Romanian Cooperation Programme
UEFISCDI	Executive Unit for Higher Education, Research, Development and Education Funding

ANNEX 2 Institutional Structure



- 1) Contract, funding
- 2) Reporting (financial, contents)
- 3) Funding
- 4) Reporting (financial, scientific)

ANNEX 3 Financial Plan

Budget								
	2011	2012	2013	2014	2015	2016	Total	
Management (only CH)	260'000	200'000	115'000	115'000	105'000	53'000	848'000	
For management in CH	200'000	120'000	70'000	70'000	70'000	35'000	565'000	
For management in Romania	60'000	80'000	45'000	45'000	35'000	18'000	283'000	848'000
Reserve			20'000	40'000	22'000	20'000	102'000	
Swiss Contribution	0	0	20'000	40'000	22'000	20'000	102'000	
Romanian Contribution	0	0	0	0	0	0	0	102'000
JRPs		2'050'000	4'100'000	2'950'000	1'253'000		10'353'000	
Swiss Contribution	0	1'750'000	3'500'000	2'500'000	1'050'000	0	8'800'000	
Romanian Contribution	0	300'000	600'000	450'000	203'000	0	1'553'000	10'353'000
Total	260'000	2'250'000	4'235'000	3'105'000	1'380'000	73'000	11'303'000	
Swiss Contribution	260'000	1'950'000	3'635'000	2'655'000	1'177'000	73'000	9'750'000	
Romanian Contribution	0	300'000	600'000	450'000	203'000	0	1'553'000	11'303'000
Planning of Advances								
	2011	2012	2013	2014	2015	2016	Total	
Total	600'000	4'600'000	3'030'000	3'000'000	73'000	0	11'303'000	
Swiss Contribution	300'000	4'000'000	2'580'000	2'797'000	73'000	0	9'750'000	
Romanian Contribution	300'000	600'000	450'000	203'000	0	0	1'553'000	11'303'000

ANNEX 4 Standard Indicators for the Cluster “Swiss Research Partnership” for the Swiss Contribution

“per country” means here for Romania; “in total” means for the 12 EU member states benefitting from the Swiss Contribution

Objectives of the Swiss research programmes	EU indicators	CHF Indicators with Eurostat reference indicators	CH indicators without Eurostat reference indicators
<p><u>Impact</u> Promote Economic growth</p>	<p>Gross domestic expenditure (GERD as % of GDP) per country and total, public funds, all sectors, for research</p>	<p>Amount of millions in CHF disbursed for the research programmes per country and in total</p>	
<p><u>Outcome</u> Benefits for end-users at policy level and/or at societal level</p>	<p>Total European patent applications per country and year</p>	<p>Number of submitted patent applications related to the Project's implementation</p>	<p>Number of innovations/inventions in terms of product, process, methodology etc. implemented and used including those submitted for patent</p>
<p><u>Output 1</u> Strengthening individual capacities</p>	<p>Doctoral graduates per 1000 population aged 25-34 per country</p> <p>Researchers as a percentage of persons employed, per country, all sectors, by gender and in total</p>	<p>Number of doctoral graduates who receive their grades following the participation in the research programmes per country (including CH) and in total</p> <p>number of researchers (including doctoral graduates) in the programmes per country (including CH), by gender and in total</p>	

<p><u>Output 2</u></p> <p>Strengthening research institutions</p>	<p>EU Structural funds for research infrastructure (new member states)</p>	<p>Expenditure for purchased scientific research infrastructure such as instruments, equipment in laboratories etc</p>	<p>Number of research institutions participating per country/in total</p>
<p><u>Output 3</u></p> <p>Transfer and sharing of knowledge</p> <p>Strengthening the research cooperation</p>	<p>EU-27 — Evolution of scientific publications and co-publications</p> <p>Share of co-publications (as regard to publications and to co-publications) which are with EU partners, among which with the 10 Member States with the lowest R&D intensity</p>	<p>Number of publications and co-publications written by researchers within the Swiss research projects</p> <p>Share of co-publications (as regard to publications and co-publications) written by researchers within the Swiss research projects</p>	<p>Number of joint research projects implemented per country/thematic area/total</p> <p>Number of seminars, workshops, conferences organised by the projects</p> <p>Number of participants at seminars, workshops, conferences</p>