



EC Sixth Framework ERA-NET Project

## **EUPHRESCO**

(**EU**ropean **PH**ytosanitary **RE**search **CO**ordination)

Deliverable 3.1

Mechanisms and instruments for use in trans-national  
collaboration activities and research commissioning

Draft Operational Handbook

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## **1 Introduction**

### **1.1 Objectives of this tool book**

Commissioning of research activities by funder bodies involves a number of steps that can be identified and formalised, thus contributing to more transparent and efficient processes. At a high level of abstraction these steps are to a large extent similar, even between different funding mechanisms and different content matter.

In the ERA-net EUPHRESKO, as in various other ERA-nets, an inventory was made of the ways research commissioning is executed by the collaborating partners. This experience was added to those of other ERA-nets and to procedures followed by the European Commission in her various 'calls' for research assignments. In all cases, concrete forms, guides, criteria, and so forth, are being used to guide a part of the procedures. These forms we will now call 'tools'.

Within EUPHRESKO, the partners have undertaken to jointly fund a number of pilot research projects. Many tools needed to be described, agreed upon, applied, tested and evaluated for these projects to be selected, commissioned, monitored and concluded. From the broad inventory, tools were studied, adopted and adapted, and used for the research projects. Where no satisfactory examples were at hand, new tools were devised.

The tool book in front is the compilation of all tools that were used in all processes of the EUPHRESKO pilot projects. They can be an example or an inspiration for future joint projects of a similar nature.



## 2 Funding mechanisms

### 2.1 Basic funding mechanisms

Three basic different funding mechanisms are distinguished for joint funding of research projects: the real common pot, the virtual common pot and the non-competitive funding mechanism. The funding mechanisms vary in commissioning rules concerning competition and budget allocation.

#### **The real common pot funding mechanism**

Each partner country supplies funds into a real 'pot' in a single bank account. The best projects resulting from a competitive open call are funded regardless of the nationality of the researchers involved. Funders can source any research provider in contributing and non-contributing countries. Proposals compete. There is therefore a trans-national flow of funds.

#### **The virtual common pot funding mechanism**

Each partner country funds only for the involvement of its own researchers in projects resulting from an open common call. This mechanism too is competitive, like the real common pot. Each country commits to providing funds to a virtual pot, which may involve a Memorandum of Understanding between funders. There is competition between consortia and there may be competition between national research providers within individual countries, though some national funders may restrict their funding to one specific research organisation (see 2.2). Once the best projects are chosen, the national funder meets the costs of its own researchers through its normal contracting procedures. There is no competition between countries but there can be competition between research groups within a country. There is no trans-national flow of funds.

#### **The non-competitive mechanism funding mechanism**

A science/research problem or topic area is divided between research groups (preferred research suppliers) in different countries, according to their expertise. These research groups are organised in a consortium. Each country provides its own researchers to deliver work to the consortium according to its own payment structure; results are pooled together by mutual agreement. Funders can source just one single research provider in their country. There is no competition and there is no trans-national flow of funds.

### 2.2 Funding mechanisms in EUPHRESO practice

The three basic funding mechanisms will probably apply to the majority of transnational projects. Within each of the basic funding mechanisms further options exist. The reality may include certain intermediary forms also. It is quite possible to mix funding mechanisms. In EUPHRESO this has resulted in the following agreed principles for each of the funding mechanisms.

#### **EUPHRESO real common pot**

For the real common pot two topics were identified. The real common pot mechanism was applied as described, but with the following characteristics:

- Competition between research providers was limited to providers based in the partner countries contributing to the joint fund. The argument for this was predominantly political. Other options could have been to limit the competition to EUPHRESO partner countries, to the European Union member states, to EPPO member states, or to not limit in any way.
- The partners who participate in the real pot mechanism will collectively take the final decision on the project(s) to be piloted, though the Governing Board may advise, especially on processes and principles, e.g. 2-step processes, number of topics and competition between them.
- Subcontracting by the winning provider is allowed when need is demonstrated convincingly (complementary disciplines; a content-linked need. This would entail a content-linked need for hiring external services
- The topics chosen for the real common pot would potentially have the interest of a relatively large and unknown number of research providers. To be able to measure this interest a two-stage commissioning process was applied, consisting of a first stage in which an expression of interest



could be sent in, followed by an invitation to a selected group of research providers to elaborate a full proposal.

- In principle, single research providers can bid, as can consortia of providers; however, the evaluation criteria will be determined on a topic-by-topic basis and may specify and weight the desirability of collaboration. In the case of single providers, the bid needs to make a convincing case that the proposed research project is in the interest of all partners in the 'real pot'.
- Possible bids for both topics would have to compete for all funds, thus competing within each topic area as well as between the two topic areas.

#### **EUPHRESCO virtual common pot**

For the virtual common pot five topics were identified. Principal characteristics of the EUPHRESCO virtual pot were:

- In some partner countries there was a potential competition between national research providers. Implicit in this funding mechanism, bids can only be elaborated by consortia of research providers, so every single institution would need to look for partners in the other funding countries.
- As opposed to the procedure in the real pot mechanism, the commissioning process was a one-step process, calling for full proposals right away.
- In other countries participating research providers were limited to one available, earmarked or preferred research institute or laboratory in this EUPHRESCO virtual pot. Once the research contract was awarded, this meant that in fact the funding mechanism was a bit of a hybrid between the virtual pot and the non-competitive mechanism.

#### **EUPHRESCO non-competitive mechanism**

Four topics were identified for the non-competitive funding mechanism. Principal characteristics of the EUPHRESCO non-competitive mechanism were:

- EUPHRESCO partners that were interested commissioned directly their preferred national research institution or laboratory.
- EUPHRESCO and non-EUPHRESCO partners were invited to participate.



### 3 The process of research commissioning

#### 3.1 Introduction

In phytosanitary research, by its nature, much of the research carried out, is directed toward underpinning the national government's and the European Union's policy choices. From there, research commissioning can be viewed in four distinct generic subsequent stages that are defined more or less by the end-product they deliver and which marks their conclusion.

The first step is the initiation stage, in which policy choices lead to research priorities. In the preparation for the second phase of research commissioning, a decision also has to be taken on the procurement or funding mechanism. This last decision will to a large extent depend on the country's research infrastructure, the level of privatisation of its research institutions and on the chosen research topic. Legal aspects like competitiveness legislation may play a role here. The preference for a certain funding mechanism has important implications for the organisation of the stage that follows.

The second stage is one in which the formal, and often legal, aspects of awarding a research assignment take place. The complexity of this stage depends much on the chosen funding mechanism: a non-competitive direct commission is relatively simple, whereas a full competitive process involves many steps and much more work (and tools). After satisfactory conclusion of this stage, the actual research work can start.

Stage three takes place while the project is carried out. During the project the funder will be interested in monitoring the project and possibly intervene, subject to rules defined previously, in the contract, project description or otherwise.

Stage three is concluded when the research project delivers the result to the funder, after which follows the fourth, sometimes neglected stage: the deployment of the product that the funder had purchased.

Figure 1 at the end of this chapter gives a graphical representation of the four stages.

In all stages small and large decisions need to be taken. Often these decisions are clear-cut and easy to explain by those involved in them, but they are not always understood by others. Transparency is sometimes an issue. Use of proper tools can aid transparency and improve consistency. Associated with each stage comes a number of tools.

#### 3.2 Initiation

The initiation stage does not always have a clear beginning; yet it has a definite end-product. The process of arriving at a research topic ideally starts with a **policy agenda** from which a research agenda is derived. In the case of phytosanitary research, the research programme is policy lead. In this stage of the process, the research topics have to become clear.

Policy can be defined at both the national and the international level, and it can have validity over many years, or it can be subject to political influences.

The research agenda translates policy choices into concrete prioritized fields of research. Topics to be investigated can be chosen based on this agenda, and on available resources (infrastructure and funds).

Once the need and urgency of a topic have been established, budget has to be allocated. Now a decision needs to be taken on the funding mechanism. Many topics can be investigated in any of the three funding mechanisms or in hybrid combinations of those. Yet, some are more suited to a given funding mechanism.

The Real Common Pot allows funders to procure research products from any source. This can be relevant if the national research infrastructure is not necessarily up to providing these research products, in human resources, available installations, quality, price, or otherwise.

This mechanism allows for the identification of the most creative and innovative research proposals. This may even be more so, if single research providers are allowed to compete, without the need to establish a consortium. Overlap between the work that takes place in several countries is avoided. The two EUPHRESKO topics in this mechanism fit this description.



Virtual Common Pot seems more suited to projects where the funders want to stimulate international cooperation between research institutions. This mechanism allows national funders to continue to support their national research institutions. Topics most suited for this mechanism are those for which more than one country feels the need to maintain a national research base. By cooperating countries achieve this, possibly cheaper, and hopefully avoiding overlaps. The four EUPHRESKO topics chosen for this mechanism reflect this.

The non-competitive mechanism is most suited to topics in which research providers are limited to one or a few per country, and need to cooperate. Within EUPHRESKO this leads to all projects being directed at the validation of laboratory diagnostics methods. The research product is used or applied in an identical manner in each country and acceptance of it is reciprocal.

The initiation stage involves all kinds of preparation on many different aspects of the prospective research project, for instance:

- what kind of research is needed?  
Desk study; laboratory work; field trials; etc.?
- what exactly is the end appearance of the scientific product?  
A book; a conference; a presentation; a method; a protocol; input into a successive investigation?
- who is the benefactor of the research project?  
Policy makers; enforcement agency?
- what is the timeframe?  
is there a deadline; should the project cover a full agricultural production cycle, or more?

Furthermore one needs to take decisions on the organisation of the project and the demands that exist on a uniform project description that allows comparative assessment. Here one can think of

- Deliverables, interim products contributing to the end result
- Milestones
- Time plan
- Cost build-up, including standard basis for calculation, if this exists.
- Etc.

All of this needs to be made explicit in the **Terms of Reference**, which, combined with a more strategic decision on funding mechanism and available funds, marks the end of the initiation stage.

In the non-competitive mechanism this stage was concluded with a topic description.

### 3.3 Commissioning

The Commission stage is the more formal stage in which the research funder identifies the research provider, after which the two come to an agreement on the execution of the work.

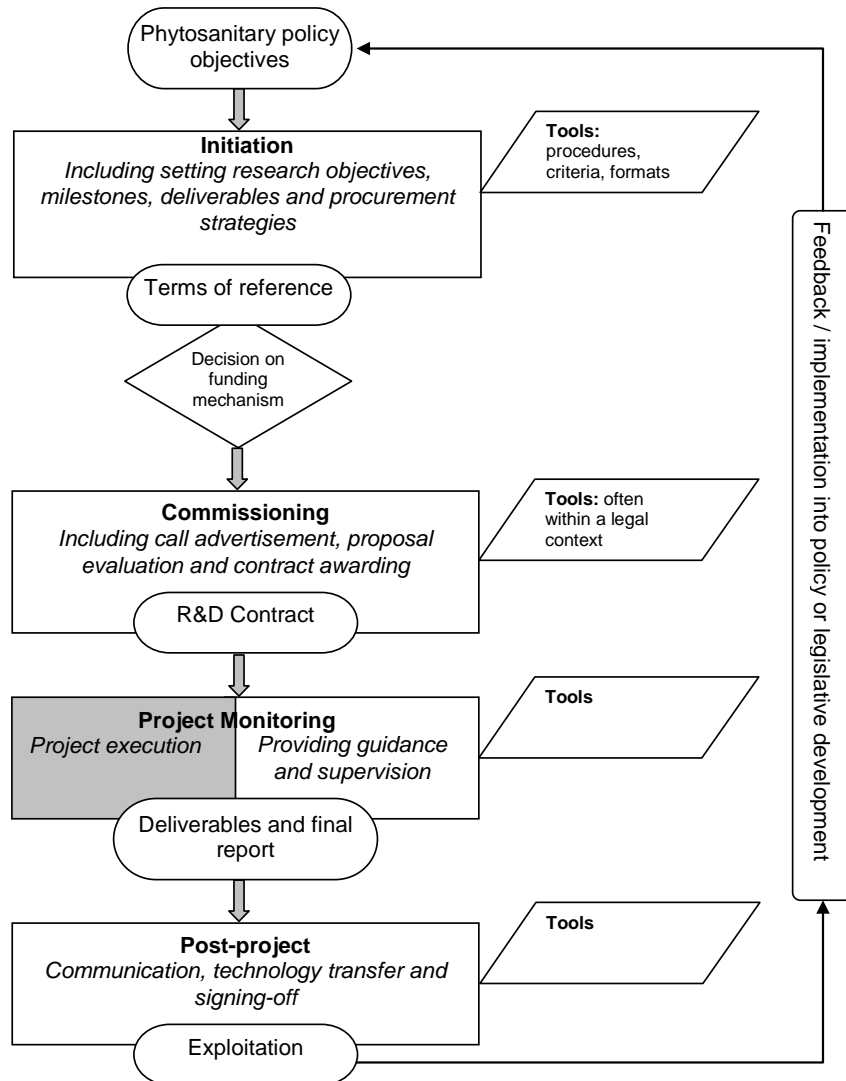
In a situation of competitive bidding, a call has to be published to let research providers know that a research programme is open for **proposals**. This call has to contain information on the topic and the programme, and information on how to apply. Application is done by sending in a proposal, which has to be evaluated to choose the best proposal for the project. This choice will lead to a **contract** with the research provider to run the project.

In EUPHRESKO this scenario was applied in the Real Common Pot and, to an extent, at the national level of some partners, in the Virtual Common Pot.

The competitive commissioning stage is one with many different tools. Transparency of the process is of the utmost importance as sometime European or National competitiveness laws apply.

The Terms of Reference integrated in the call information is all the information that a research provider needs to be able to formulate his bid.

Bids that come in before a given date need to be assessed on how they meet the specifications. This assessment can be done by peers in the same science area, and it can also be done by research providers who need to ascertain that the proposed end-product does indeed meet the policy objective.



**Figure 1. Graphic representation of research commissioning.**

After this assessment is concluded and the result is positive, the 'winning' projects can be commissioned through a contract.

In the non-competitive mechanism the commissioning stage was short and simple: it involved a direct 'order' to one selected laboratory to commence work according certain specifications. The research provider needed to transform these specifications into a project plan, which was part of the brief.

### 3.4 Project monitoring

The research funder most probably will like to know how a research project is faring. This is more than curiosity; often there may be a need to take certain decisions on the commencement of the next step in the project, depending on the successful accomplishment of a previous step. It is also imaginable





that a project encounters unforeseen delays or other problems, therefore not meeting certain deadlines or expectations. Here too the funders may be called in to take certain decisions.

These situations should be foreseen in the contract and/or the terms of reference. The most common way of dealing with them is through a supervisory body of representatives of the funders. This body may meet at certain time intervals, or when convened through the initiative of one of the members. Another arrangement may be that the funder only nominates one contact person who will maintain the link between funder and research project.

The role of the supervisor or supervisory body can be few or many. Some examples are:

- Approval of financial reports
- Approval of scientific reports
- Assessment of the quality of scientific output
- Organisation of peer reviews to assess quality of scientific output
- Release of (temporary) censorship of communication expressions (sometime key politicians need to be informed first before the general public is)
- Discharge of responsibilities from the contract, awarded by funder to researcher. The project is signed off.

With this last step, the funder declares officially to have received the output –whatever it was- of the research product, and that the product conforms to the specifications. Often this declaration is accompanied by the release of the final payment to the researcher.

### 3.5 Post-Project

The post-project stage has a clear beginning but not always a very clear conclusion. After the research project is finished, the research funder has in its possession the product that it asked for. He now has the responsibility to take this product to where it was intended to be used, the **users** and **stakeholders**. This is done by **communication** and **technical transfer** of the research products.

It is possible that part of this communication was part of the project and part of the terms of reference. Or, it is possible that a research end product is input for a follow project, either in research or in communication.

If the research product was commissioned because of its relevance to policy development, the funder will have to assure that mechanisms are in place to have policy development indeed be inspired or influenced. Or maybe policy needs to be altered completely. This feedback into policy development is an essential last activity of the whole process.



## 4 The Euphresco tool inventory

### 4.1 Introduction to Euphresco tools

Chapter 3 recognised four distinct stages in the whole process. Within each stage a number of process steps can be seen, and each of those can only be accomplished by the use of specific tools. Furthermore, many of these tools need to be applied before a next process step can be initiated. Some others may be applied in parallel. This chapter provides a long list of tools that were applied in the EUPHRESCO pilot commissioning work.

The implication of this for the organisation of this chapter is that process steps are described within each of the four stages, and tools listed and described. The individual tools themselves can be found in Part II.

The description of the tools follows a fixed, yet flexible pattern, as follows:

**Tool Name**  
*Acknowledgement*  
*Description*  
*Objective*  
*Physical format*  
*This tool provides*

Within the EUPHRESCO project, it was often necessary to develop new tools. Fortunately many others could be adopted, and adapted, from inspirational sources elsewhere, most notably other ERAs and the EU's Framework Programme. In EUPHRESCO Work Package 2 many EUPHRESCO partners supplied their national tools and those were very helpful too. Where relevant the source of the EUPHRESCO tool is acknowledged.

Most, but not all tools were applied in the various processes in EUPHRESCO. Where they are included here, but in effect not used, this was done as it is foreseen that in any future transnational cooperative work they may be needed.

#### 4.1.1 Need for common tools

It is clear that not every partner uses the same (kind of) tools. Also are certain tools obligatory for some partners, but not for all. Some of these tools will have to be made obligatory for all partners in order to be able to cooperate, while in other cases it will be enough to have the obligation only inside the countries where there is need.

We also have to use the tools that are obligatory within the EU, especially if the project budget is above €137,000.

Some tools have to be made universal in order to be able to use them, while other can differ per country and/or partner. Also it can be possible to have both a national version as well as an EUPHRESCO version, used next to each other, to meet some national demands of partners.

In order to have a simple, clear procedure, which stimulates transnational cooperation with many participants, it is important only to use the tools that are absolutely necessary.

It is desirable if tools that are used within the EUPHRESCO projects, can later on also be used for future transnational cooperation.

#### 4.1.2 Choosing tools as examples

How to choose a certain tool as an example for the EUPHRESCO tool? What criteria do we apply?

A tool should be transparent, clear in layout and structure, and the user should have the feeling that he knows what to do with it. Within EUPHRESCO, there are partners with specific demands for tools, based upon national rules and policy, so we have to take those demands into account. Also, some partners need very specific tool-content, while others want to and can keep more options open. A tool should serve both types of partners.



Mise en forme : Pucés et numéros

#### 4.1.54.1.3 Additional criteria for EUPHRESCO as a 'learning by doing' project

This set of criteria we found the most important for us to consider. After all, we are talking about the virtual pot and the non-competitive mechanism, so many policy-linked criteria should have been taken care of.

##### (a) The 'learning character' of the topic (pilot project proposal)

- *indicator: number of participating Euphresco partners (3 partners/funders minimum) (Y/N)*
- *indicator: every EUPHRESCO partner should have the possibility to participate in at least 1 project [(if partners have expressed interest for only 1 project and are not involved in any other project, the project proposal should be considered (if 3 partners))] (Y/N)*
- *indicator: estimation of success of the research endeavour (measurable results of a research product) (Y/N)*
- *indicator: likelihood of success of the coordination between research financiers (low risk of failure)*

##### (b) Manageability of the pilot project

- *indicator: achievable within time frame of 12-15 months (Y/N)*
- *indicator: sufficient time and capacity for call & proposal assessment (starting date)*
- *indicator: achievable within the funds allocated (Y/N)*

#### 4.1.4 Additional criteria for attribution of policy priority

##### (a) National interest of participating countries (Y/N)

*This criterion is individual for each country; the proposal of the pilot topic in effect can be considered an expression of the national interest. Therefore, we have not looked at this criterion.*

- *indicator: implicit or explicit priority level (value)*
- *indicator: need to maintain expertise at national level (Y/N)*

##### (b) Collective interest of countries in one particular project (Y/N)

*Does not necessarily mean European added value; this collective interest is expressed by undersigning a project. Therefore, we didn't need to consider these anymore, either.*

- *indicator: similarity in agro-climatical circumstances*
- *indicator: similarity in trade characteristics/issues*
- *indicator: sharing a single technical issue (=crop or pest/disease)*

##### (c) Transnational interest or "European added value" (Y/N) add explanation

- *indicator: topic meeting the challenge of eroding expertise at an European level (Y/N)*
- *indicator: this topic is a model for a larger group of topics (Y/N)*
- *indicator: topic meeting the challenge of growing global trade (Y/N)*
- *indicator: pooling research budgets would provide for financial 'critical mass' to do anything (Y/N)*
- *indicator: these partners' research institutions provide a combination of expertise which is necessary for success (Y/N)*

##### (d) Synchronisation with / strengthening of other agendas (Y/N)

- *indicator: topic is complementary to and not overlapping with FP7 themes (Y/N)*
- *Indicator: topic is in line with COPHS research priorities and/or EPPO priorities (Y/N)*
- *indicator: topic supports an EC policy need for a given pest (e.g. SCPH/SANCO) (Y/N)*

Notes on the discussion on criteria:

- The various indicators are not an exhaustive list, but should be understood as examples. Often, more, or other, indicators will be used or are more relevant for a given situation.
- Criteria come in two types. One kind is the criteria that make a topic more or less relevant, whereas the other kind is a pure 'cut-off' criteria. If the topic doesn't meet this criterion, it is off the list.
- We have considered as cut-off criteria the minimum number of three interested partners and the consistency with other agendas. Also the duration of the project is a cut-off criterion.



- The criteria on policy relevance we have applied all through this process.

#### 4.1.5 Additional criteria and principles for real pot pilot topics

In addition to all considerations mentioned overhead, for the topics to be piloted under the Real Common Pot Mechanism, some additional criteria and principles were deemed relevant.

We agreed on the following principles for this mechanism:

1. any research provider in the countries funding the 'real pot' can bid.
2. in principle, single research providers can bid, as can groups (consortia) of providers; however, the evaluation criteria will be determined on a topic-by-topic basis and may specify and weight the desirability of collaboration.
3. in the case of single providers, the bid needs to make a convincing case that the proposed research project is in the interest of all partners in the 'real pot'.
4. subcontracting by the winning provider is allowed (complementary disciplines; a content-linked need).
5. subcontracting to a subcontractor outside the Real Pot' funder's country is allowed only when need is demonstrated convincingly. This would entail a content-linked need for hiring external services
6. in the tender information, total (maximum) amount of money available will be made known.
7. but the lowest bids may be given preferential treatment since "value for money" would be a major selection criteria.
8. it is clear that the 'real pot mechanism' is a valuable and interesting mechanism to be tested within EUPHRESKO. This means that all parts of the process are completely transparent and open to comments by all partners.

## 4.2 Tools for project initiation

As was previously said, this stage has no definite beginning, but it does have a finishing point.

### 4.2.1 Topic selection

Topic selection started by an initial inventory, carried out by WP2, through a Topic Questionnaire.

<b>Tool Name</b>	Topic Questionnaire (only digital form on web)
<b>Description</b>	A questionnaire used to compile a <b>longlist</b> of topics proposed by the EUPHRESKO partners.
<b>Objective</b>	Inventory of research needs
<b>Physical format</b>	Digital questionnaire
<b>This tool provides</b>	A non-prioritized list of possible topics for transnational funding

This longlist was regrouped in a workshop, taking all similar topics together, and reject some topics that had an overlap with FP7. Also partners have withdrawn some topics. A distinction was made between the three funding mechanisms: the Real Pot funding mechanism, the Virtual Pot funding mechanism and the Non-competitive funding mechanism.

<b>Tool Name</b>	Workshop to discuss the longlist (no document present)
<b>Description</b>	A meeting of all partners to roughly select eligible topics.
<b>Objective</b>	Find a consensus on which proposed topics will proceed further
<b>Physical format</b>	Meeting of representatives of the funding organisations
<b>This tool provides</b>	Consensus on criteria and on the way of applying them

Throughout the project implicit or explicit criteria were applied to the proposed topics. This list of criteria is in itself is a tool. Preferably all criteria are accompanied by an indicator and by a cut-off value. Compare the indicator temperature, by the criterion degrees Celsius and the cut-off value 20 degrees.

Unfortunately this logic application of criteria was not always possible in the type of topics that we were assessing within EUPHRESKO.



Taking the measure of policy priority of a given topic was done very implicitly within EUPHRESCO. No clear set of indicators exists. Most people involved somehow 'know' the importance of a certain topic; however it is difficult to express this in objective and transparent criteria, let alone in a tool.

<b>Tool Name</b>	Eligibility criteria for first selection
<b>Description</b>	Set of basic criteria for use in the workshop in which the longlist is discussed
<b>Objective</b>	To provide a filter to be able to narrow the list of topics
<b>Physical format</b>	Paper set of criteria
<b>This tool provides</b>	condensed topic list per funding mechanism

Each of those topics got a topic coordinator assigned, based on who first brought in the topic. Interested partners would contact the coordinator and together they would write a short topic description. This short description could later on be used for the call description.

<b>Tool Name</b>	Topic coordinator tasks
<b>Description</b>	Official who liaises between EUPHRESCO partners and the research institution(s). He/she in effect is the representative of the funders.
<b>Objective</b>	Maintain all Euphresco partners informed, also those who are not involved financially.
<b>Physical format</b>	Flesh and blood person, list of tasks
<b>This tool provides</b>	The necessary conduit between the researchers of a given topic and the wider EUPHRESCO community

<b>Tool Name</b>	Template for short descriptions
<b>Description</b>	A standard format for describing the content of each topic and the rationale for doing research
<b>Objective</b>	Getting an overview of the contents of all proposed topics on the list
<b>Physical format</b>	Digital template
<b>This tool provides</b>	A standardized description for each topic

The compilation of topics with short descriptions was subject to selection criteria (answerable by yes or no), which eventually led to a **shortlist** per funding mechanism.

<b>Tool Name</b>	Selection criteria
<b>Description</b>	List of all criteria, their indicators and, if applicable, cut-off points.
<b>Objective</b>	To prioritize topics
<b>Physical format</b>	Paper set of criteria
<b>This tool provides</b>	<b>shortlist</b> per funding mechanism.

Because even then there were too much topics left, all partners were asked to prioritize the topics in which they wanted to participate. They could assign one major priority (1) and several second priorities (2). This priority list was discussed and some final changes made, in a plenary meeting. This finally led to a **final shortlist**.

<b>Tool Name</b>	Topic prioritizing
<b>Description</b>	Excel sheet to mark topic priority for each partner
<b>Objective</b>	To prioritize topics
<b>Physical format</b>	Excel document
<b>This tool provides</b>	Prioritized shortlist per funding mechanism.

#### 4.2.2 Assignment of priority

Partners assign their own priority to topics. This priority can be based upon the current and/or future research programme, the own phytosanitary situation and needs, and possibly also available budget.

In EUPHRESCO the selected topics were not arranged in an explicit order of importance. No tools were applied.



#### 4.2.3 Funding mechanism

Some of the chosen topics fit better in one funding mechanism than in another where others can be financed through any possible funding mechanism. The considerations need to be made explicit. Vice versa, a particular funding mechanism may provide opportunities for a certain research approach. The funding partners have a decisive role in this consideration as well, as some are not able to fund foreign research providers, and are therefore limited to participating only in the NC or VP mechanisms.

<b>Tool Name</b>	Selection of Funding Mechanism
<b>Description</b>	Considerations for choosing a funding mechanism for a particular topic
<b>Objective</b>	To arrive at the most relevant and most practical funding arrangement to make it possible to jointly fund a research project.
<b>Physical format</b>	List of questions / considerations.
<b>This tool provides</b>	Attribution of a topic to a funding mechanism

#### 4.2.4 Budget allocation

National financial contributions to the pilot projects come from a wide and very diverse range of sources, all national. Some common sources were current national research programme, or was specially allocated for the purpose of the EUPHRESCO project.

Within EUPHRESCO a decision by the Governing Board, confirmed with later correspondence, provided the basis for a written commitment by all funders, for each of the different funding mechanisms.

<b>Tool Name</b>	Letter of Intent funders NC
<b>Description</b>	Expression of intention to support a given research project through a given funding mechanism, in a concrete amount of money.
<b>Objective</b>	Written confirmation of financial contribution
<b>Physical format</b>	Letter, signed by duly authorised officer
<b>This tool provides</b>	The financial basis for the total available budget for each research project

<b>Tool Name</b>	Letter of Commitment VP
<b>Description</b>	Expression of commitment to support a given research project through a given funding mechanism, in a concrete amount of money.
<b>Objective</b>	Written confirmation of financial contribution
<b>Physical format</b>	Letter, signed by duly authorised officer
<b>This tool provides</b>	The financial basis for the total available budget for each research project

<b>Tool Name</b>	Letter of Commitment RP
<b>Description</b>	Expression of commitment to support a given research project through a given funding mechanism, in a concrete amount of money.
<b>Objective</b>	Written confirmation of financial contribution
<b>Physical format</b>	Letter, signed by duly authorised officer
<b>This tool provides</b>	The financial basis for the total available budget for each research project

#### 4.2.5 Conclusion of initiation stage

At this point the key ingredients of the commissioning phase have been assembled: the short scientific description of the research topic, the rationale for engaging in research, the benefits of this endeavour, total funds available for the projects, and the decision with which funding mechanism these funds will be made available.

This will be sufficient information for research providers to start writing their proposal. This information will be integrated with the necessary legal and administrative information, this way creating the applicant's guideline in the next stage.

For the non-competitive mechanism at this point we know the partners involved, the topic coordinator and the project coordinator.



All of this information is laid down in the TOR, terms of reference of each topic, but different for each funding mechanism.

<b>Tool Name</b>	Terms of Reference VP (deliverable topic selection)
<b>Description</b>	List of final topics per mechanism, with budget allocated per funding partner
<b>Objective</b>	To supply the elements for commissioning
<b>Physical format</b>	Digital/paper document
<b>This tool provides</b>	TOR

<b>Tool Name</b>	Terms of Reference NC (deliverable topic selection)
<b>Description</b>	List of final topics per mechanism, with budget allocated per funding partner
<b>Objective</b>	To supply the elements for commissioning
<b>Physical format</b>	Digital/paper document
<b>This tool provides</b>	TOR

<b>Tool Name</b>	Terms of Reference RP (deliverable topic selection)
<b>Description</b>	List of final topics per mechanism, with budget allocated per funding partner
<b>Objective</b>	To supply the elements for commissioning
<b>Physical format</b>	Digital/paper document
<b>This tool provides</b>	TOR

### 4.3 Tools in the Commissioning Stage

#### 4.3.1 Overall management of the Commissioning Stage

The Commissioning Stage is, above all, a stage with important legal aspects. This stresses the importance of exact and detailed description of all aspect and decisions. A list of open questions was filled in by the partners to find the consensus on various topics. The agreed answers were the base for a Principles Paper. It describes the process and puts all necessary action in a logical sequence. It applies predominantly to the Real Common Pot and to the Virtual Common Pot funding mechanisms. Tools related to the Non-competitive mechanism are grouped together later in this chapter.

<b>Tool Name</b>	Open questions to call processes (only digital Excel document)
<b>Description</b>	A list of all questions to be answered by all partners on various topics and subtopics, concerning the calls.
<b>Objective</b>	To find a consensus on many topics in one.
<b>Physical format</b>	Digital Excel document
<b>This tool provides</b>	Information for the Principle Paper

An essential aspect of the Commissioning Stage is the call for proposals, in short 'the call'.

The Principles Paper includes, amongst other things, the end result of decisions taken by the funders, for example, but not limited to:

- Minimum number of participating funders
- Maximum number of participating funders
- Number of funders from one country
- If consortium: Minimum number of research providers per consortium
- If consortium: Maximum number of research providers per consortium
- Time line of all individual actions in this stage
- A description of various aspects of the call

Much of the text that follows, is already incorporated in this Principles Paper.

All things concerning the call, from publishing to receiving the proposals to managing the review, to assigning the contract, need to be managed. It can be that every topic has its own contact person, in which case those contact persons can form a 'call managing' group. It is also possible to have an



external call secretariat, which handles the calls on behalf of the funders. Several ERANets have an assigned call management. Some have a secretariat for all topics together (CoreOrganic, EuroTransBio, EraChemistry), or a call coordinator per topic (SafeFood). A group formed by the participating partners per topic is also possible (CRUE).

Within EUPHRESCO, with a large number of participating partners, it has been decided to use a call secretariat for the management of the call. In practice, the real common pot and the virtual common pot each have their own call secretariat.

<b>Tool Name</b>	Project Meeting mandate to Call Secretariat
<b>Description</b>	Basic legitimacy of the operations and actions undertaken by the Call Secretariat, as described in the Principle Paper and authorized by the collective funders.
<b>Objective</b>	To provide a sound description of the authority of the Call Secretariat
<b>Physical format</b>	Documented Project Meeting agreement; part of the agreement between funders.
<b>This tool provides</b>	legitimacy of the operations and actions undertaken by the Call Secretariat

In EUPHRESCO this brief was described in the EUPHRESCO Contract with the European Commission and its respective Work Plan.

#### 4.3.2 Research institutions that (can) participate

For the Virtual Common Pot and the Non-competitive mechanism, the funder partner determines whether there is a national competitive process or if it assigns the research task to a preferred supplier, for instance a public research institution. In all cases the participating research institution is selected under nationally determined eligibility criteria.

In the Real Common Pot, there are few conditions on the part of the funders. In EUPHRESCO the research institutions that could participate needed to be based within the borders of the funding countries. Here the participating research institution is eligible under eligibility criteria, determined by the funders collectively.

The participation of any research institution is limited by the constraints of the research topic itself. Certain regulated organism can only be investigated in laboratories that adhere to a minimum quality standard (eg containment level).

No explicit tools were used to select research institutions.

#### 4.3.3 Managing the Real Common Pot

Before a call can be made, individuals need to be assigned to manage this whole process. All things concerning the call, from publishing to receiving the proposals to managing the reviewing to assigning the contract, should be managed. It can be that every topic has its own contact person, in which case those contact persons can form a 'call managing' group. It is also possible to have an external call secretariat, which handles the calls on behalf of the funders. Several ERANets have an assigned call management. Some have a secretariat for all topics together (CoreOrganic, EuroTransBio, EraChemistry), or a call coordinator per topic (SafeFood). A group formed by the participating partners per topic is also possible (CRUE).

Call management needs to address all tools in the commissioning phase, how to handle them and how to form a management group. Normally, this would be described in a 'principles paper'. Because of the small group of Funders, in the EUPHRESCO Real Common Pot mechanism the Applicants' guide was chosen for this purpose.

<b>Tool Name</b>	Principles Paper Real Common Pot (links to Applicants' guide RP)
<b>Description</b>	Management and mandate guideline for the call secretariat
<b>Objective</b>	To give basis and authority to the call secretariat and transparency to its operations.
<b>Physical format</b>	Paper
<b>This tool provides</b>	An overview of all steps and procedures in this stage





#### 4.3.4 Managing the Virtual Common Pot

Similarly to the Real Common Pot, here too, management activities by the Call Secretariat are described in the Principles Paper.

<b>Tool Name</b>	Principles Paper Virtual Common Pot
<b>Description</b>	Management and mandate guideline for the call secretariat
<b>Objective</b>	To give basis and authority to the call secretariat and transparency to its operations.
<b>Physical format</b>	Paper
<b>This tool provides</b>	An overview of all steps and procedures in this stage

#### 4.3.5 Publication of calls

To get research proposals from providers, there first has to be a call or an announcement on what research is needed. In the case of preferred research providers, it can be a letter or any other mailing to let the provider know what the topic specifications (TOR) and allocated budgets are for the next year. The same can be done by publishing the research programme which the topic is part of. If there are no preferred research providers, the announcement will be an open call. A call can be announced via a known (research) website, and/or via other media like scientific papers. To alert the research community in an early stage a call can be preceded by a first announcement via a newsletter, and/or the same media that will publish the call. To inventory the potential interests by research providers a call for an Expression of Interest (EOI) can be launched as part of a two-phased application.

The call needs to address the following:

- **Introduction of the programme or project:** the underlying policy objectives and the needs,
- **Invitation for tender:** the specific topic or topics with an explanation; the background, the allocated budgets and time limits, and who is invited to apply. Followed by information on the application: what needs to be addressed in the proposal, what is the deadline, how much information is needed, etc. Usually the call is accompanied by guidelines for application, and an application form.
- Some information is given on the evaluation of the proposals: how, who and what.

<b>Tool Name</b>	Call Announcement VP
<b>Description</b>	The call announcement is the text that draws attention to the opening of the call and provides the interested party with all relevant information and context, specifically the Applicant's Guide and the Application form.
<b>Objective</b>	To reach and inform potential bidders (researchers)
<b>Physical format</b>	Website text
<b>This tool provides</b>	Basic and specific information for interested research partners

<b>Tool Name</b>	Call Announcement RP
<b>Description</b>	The call announcement is the text that draws attention to the opening of the call and provides the interested party with all relevant information and context, specifically the Applicant's Guide and the Application form.
<b>Objective</b>	To reach and inform potential bidders (researchers)
<b>Physical format</b>	Website text
<b>This tool provides</b>	Basic and specific information for interested research partners

The Call Announcement can be published and distributed through various media. For the EUPHRESKO pilot projects the central source for dissemination was the EUPHRESKO website. At the same time attention was drawn to the EUPHRESKO website through a number of ways:

- direct emailing to potentially interested researchers
- the EUPHRESKO newsletter, with many subscribed readers
- many informal contacts in conferences and meetings



Language can be a barrier; joint calls often have to be produced in the national language. Consequently, it is likely that EUPHRESKO joint calls could be first produced in English and then translated in the national language if and when necessary. Because time after topic selection will be short, EUPHRESKO has chosen to have a first announcement of the calls a year before the calls are actually made, while collecting the information for the Questionnaire. Then there will be a pre-announcement two months before the call. There will be a call for the Real Common Pot and the Virtual Common Pot, but, obviously, not for the Non-competitive Mechanism.

#### 4.3.6 Application

Application can be done by filling in an application form. This form is accompanied by guidelines. In case of an Expression of Interest (EOI), interested research providers first have to fill in a short application form. The research providers with an positively appraised EIO will be invited to write a full proposal. In addition the EOIs can be used to connect partners to form a research consortium, but only if there is a list of subscribers which others can see.

Application can be sent it in paper or digital form. Paper submission is compulsory in Bulgaria, Cyprus, Turkey, Spain, Germany (BMELV), Finland (MMM YH and Metla), UK Plant Health, Denmark, Italy and Slovenia.

The EUPHRESKO partners want to see addressed in a proposal the introduction/ abstract/ summary, the aims and objectives, description of work, relevance, time plan and milestones, cost plan and requested resources.

The guidelines have to address practical information: what is the deadline, how much information is needed, where should the application go to, where can more information be found or asked.

The following tools are used to explain to potential bidders what the process is like. The application form often is incorporated in the guide, but here it is presented separately.

<b>Tool Name</b>	Applicants' guide VP
<b>Description</b>	Guidelines for the researchers who want to submit an application
<b>Objective</b>	To fully inform potential bidders on all aspect of the application: process and content
<b>Physical format</b>	Digital, with possibility to print a paper copy to be signed
<b>This tool provides</b>	All information needed by the researchers for submitting their research proposal

<b>Tool Name</b>	Application form VP
<b>Description</b>	Form to be used by researchers for submitting a research proposal
<b>Objective</b>	Fixed form to make sure all applicants give the same information in the same way, for objective reviewing
<b>Physical format</b>	Digital form, to be printed after filling in
<b>This tool provides</b>	All information needed by the reviewers

<b>Tool Name</b>	Guidelines Expression of Interest RP
<b>Description</b>	Guidelines for the researchers who want to submit an Expression of Interest
<b>Objective</b>	To inform potential bidders on all aspect of the application: process and content
<b>Physical format</b>	Digital, with possibility to print
<b>This tool provides</b>	All information needed by the researchers for submitting their Eoi

<b>Tool Name</b>	Application form Expression of Interest RP
<b>Description</b>	Form to be used by researchers for submitting an Eoi
<b>Objective</b>	Fixed form to make sure all applicants give the same information in the same way, for objective reviewing
<b>Physical format</b>	Digital form, to be printed after filling in
<b>This tool provides</b>	All information needed by the reviewers

<b>Tool Name</b>	Applicants' guide Full Proposals RP
<b>Description</b>	Guidelines for the researchers who want to submit an application form
<b>Objective</b>	To fully inform potential bidders on all aspect of the application: process and



<i>Physical format</i>	content
<i>This tool provides</i>	Digital, with possibility to print All information needed by the researchers for submitting their research proposal

<b>Tool Name</b>	Application form Full Proposal RP
<i>Description</i>	Form to be used by researchers for submitting a research proposal
<i>Objective</i>	Fixed form to make sure all applicants give the same information in the same way, for objective reviewing
<i>Physical format</i>	Digital form, to be printed after filling in
<i>This tool provides</i>	All information needed by the reviewers

<b>Tool Name</b>	Research Consortium coordinator tasks VP
<i>Description</i>	Official who liaises between EUPHRESKO partners and the research institution(s). He/she in effect is the representative of the researchers.
<i>Objective</i>	First contact between Funders and Research Consortium
<i>Physical format</i>	Flesh and blood person, list of tasks
<i>This tool provides</i>	The necessary conduit between the researchers of a given topic and the wider EUPHRESKO community

#### 4.3.7 Eligibility check of bids (completeness, budgetary limits)

To check the eligibility submitted proposal have to meet criteria for completeness, which can be simply ticked off by using a checklist. The check can be done by a call secretariat or a call contact person. In some cases the eligibility check is part of a peer review.

<b>Tool Name</b>	Eligibility check compilation VP
<i>Description</i>	Check-off list with the eligibility criteria
<i>Objective</i>	To objectively select eligible bidders
<i>Physical format</i>	Digital Excel form
<i>This tool provides</i>	An transparent way to check all proposals for eligibility

<b>Tool Name</b>	Eligibility check RP
<i>Description</i>	Check-off list with the eligibility criteria for proposals
<i>Objective</i>	To objectively select eligible bidders
<i>Physical format</i>	Digital form, can be printed
<i>This tool provides</i>	An transparent way to check all proposals for eligibility

#### 4.3.8 Scientific assessment of bids

After a proposal has passed the completeness check, it has to be scientifically appraised, or reviewed by peers that are experts on the subject.

Each partner proposes names of some experts. A selection from this list is invited to peer review proposals. Those persons must be independent and have no conflict of interest. This they have to declare by signing a statement to that effect.

In Non-competitive routes, proposals can be written in collaboration between the funder and the provider. Assessment can be done by a supervisory team/ programme project management and by a governing board/ steering group. Ranking and scoring systems are used for evaluation, together with evaluation sheets and guidelines. The evaluation procedure has to be as simple as possible, cost effective, fair and objective.

The peers assess the proposals by using a form with the scientific criteria where they fill in their opinion, based on scores and comments. The peer review scores and comments are combined in one summation table, as a simple report of the outcome of the peer review.

Tools for the Virtual Common Pot:



<b>Tool Name</b>	Peer reviewer check VP (also used for RP)
<i>Description</i>	Form in which the call secretariat administers the suitability of peers
<i>Objective</i>	To aid in selecting peers
<i>Physical format</i>	paper
<i>This tool provides</i>	Contribution to end list of peers

<b>Tool Name</b>	Peer review form VP with integrity statement of reviewer
<i>Description</i>	Form in which the registers his/her opinion of the proposal
<i>Objective</i>	To uniformly collect reviews from all peers AND to be used as official declaration by peer that there is no conflict of interest.
<i>Physical format</i>	Digital, needs to be printed for signing
<i>This tool provides</i>	The peer review

<b>Tool Name</b>	Peer review guidelines VP
<i>Description</i>	Guidelines to help the peer to fill in the review form
<i>Objective</i>	Uniform approach to conducting the review
<i>Physical format</i>	Digital, can be printed
<i>This tool provides</i>	Information to peers

<b>Tool Name</b>	Peer review compilation VP
<i>Description</i>	Summation of assessment scores from all peers
<i>Objective</i>	Easy access to overall assessment
<i>Physical format</i>	Excel document
<i>This tool provides</i>	Rapid summary of peer reviews

Tools for the Real Common Pot:

<b>Tool Name</b>	Peer reviewer check RP (same as for VP)
<i>Description</i>	Form in which the call secretariat administers the suitability of peers
<i>Objective</i>	To aid in selecting peers
<i>Physical format</i>	Paper
<i>This tool provides</i>	Contribution to end list of peers

<b>Tool Name</b>	Peer review form RP with integrity statement of reviewer
<i>Description</i>	Form in which the registers his/her opinion of the proposal
<i>Objective</i>	To uniformly collect reviews from all peers AND to be used as official declaration by peer that there is no conflict of interest.
<i>Physical format</i>	Digital, needs to be printed for signing
<i>This tool provides</i>	The peer review

<b>Tool Name</b>	Peer review guidelines RP
<i>Description</i>	Guidelines to help the peer to fill in the review form
<i>Objective</i>	Uniform approach to conducting the review
<i>Physical format</i>	Digital, can be printed
<i>This tool provides</i>	Information to peers

<b>Tool Name</b>	Peer review compilation RP (same as VP)
<i>Description</i>	Summation of assessment scores from all peers
<i>Objective</i>	Easy access to overall assessment
<i>Physical format</i>	Excel document
<i>This tool provides</i>	Rapid summary of peer reviews

#### 4.3.9 Policy relevance (Funders' selection)

It can happen that proposals having been positively assessed by peers do not sufficiently support policy objectives. The funders, being the guardians of the policy objectives, have the final say in which projects can go ahead.

Also, at the end of the proposal application process it may occur that the allocated budget is oversubscribed by scientifically sound proposals. In that case a further selection needs to be made.



The call secretariat or call managing group could take their responsibility in making conclusive weightings or a funder governing board may do the final decisions.

In EUPHRESKO the funders involved in a particular topic form a Call Steering Committee to make the final decision as to which proposal serves the topic description and desired outcome the best. The committee uses the scientific review by the peer reviewers (compilation report) and add their own opinion, by filling in a form with scores and comments. These forms are combined to create an overview. The funders meet to discuss their opinions and take the final decision, supported by a decision matrix.

#### Tools for Virtual Common Pot:

<b>Tool Name</b>	Funders Review Guidelines VP
<i>Description</i>	Set of guidelines for the funders' review
<i>Objective</i>	To objectively evaluate and score the policy relevance of proposals
<i>Physical format</i>	Paper
<i>This tool provides</i>	Guidelines for assessment

<b>Tool Name</b>	Funders Review VP
<i>Description</i>	Form in which assessment is registered
<i>Objective</i>	To make possible an objective assessment
<i>Physical format</i>	Paper
<i>This tool provides</i>	Formalised assessment

<b>Tool Name</b>	Call Steering Committee VP
<i>Description</i>	The physical meeting in which the assessment are discussed and a conclusion is arrived at. Preferably with an independent chair person.
<i>Objective</i>	Exchange opinions and reach decision
<i>Physical format</i>	Meeting
<i>This tool provides</i>	A decision

<b>Tool Name</b>	Decision matrix VP (only digital Excel document)
<i>Description</i>	Large matrix with questions, which leads to the right decision on funding
<i>Objective</i>	To support the decision making process in the CSC meeting
<i>Physical format</i>	Digital Excel document
<i>This tool provides</i>	Support for making a decision

#### Tools for Real Common Pot:

<b>Tool Name</b>	Funders Review Guidelines RP
<i>Description</i>	Set of guidelines for the funders' review
<i>Objective</i>	To objectively evaluate and score the policy relevance of proposals
<i>Physical format</i>	Paper
<i>This tool provides</i>	Guidelines for assessment

<b>Tool Name</b>	Funders Review RP
<i>Description</i>	Form in which assessment is registered
<i>Objective</i>	To make possible an objective assessment
<i>Physical format</i>	Paper
<i>This tool provides</i>	Formalised assessment

<b>Tool Name</b>	Call Steering Committee RP
<i>Description</i>	The physical meeting in which the assessment are discussed and a conclusion is arrived at. Preferably with an independent chair person.
<i>Objective</i>	Exchange opinions and reach decision
<i>Physical format</i>	Meeting
<i>This tool provides</i>	A decision



#### 4.3.10 Research assignment (type of contracts)

In case of a national research programme, there can be a contract between funder and provider. This contract can range from a full-body contract to a simpler variant of a letter of approval in case of a preferred research provider, or all projects are put together in a general research plan which acts as confirmation. Most of the partners have no real research project.

The content of the contract is according to the national rules for contract research. European commissioning rules are obligatory if the budget is higher than €137,000.

If there is more than one funder involved in national or trans-national contracting there should be a contract between funding parties (Memorandum of Understanding) containing information on allocated budget and responsibilities per funder.

<b>Tool Name</b>	Memorandum of Understanding (between funders) RP
<b>Description</b>	The MoU expresses the financial commitment between funders to fund specific research endeavours previously agreed upon.
<b>Objective</b>	To guarantee to the other partners the willingness to fund
<b>Physical format</b>	Letter with agreed text, that all partners sign
<b>This tool provides</b>	Formalised commitment

If there is more than one research provider involved there should be a contract between those researching parties (Memorandum of Understanding) containing information on dividing the workload and the end results.

Also a contract is necessary between the consortium of funders and the Coordinating research provider, containing obligation as agreed in the project and other aspects, like confidentiality and Property rights.

At this moment there are no ways of harmonizing the national contracts for use as international contracts. Such a contract has still to be worked out.

Various tools are possible here: Research contract between coordinating provider and (consortium of) funder(s); Memorandum of Understanding between funders, Letter of Confirmation of Funders, Memorandum of Understanding between research providers.

<b>Tool Name</b>	Research contract (not available)
<b>Description</b>	The contract addresses obligations and rights of both funders and researchers, confidentiality, property rights, payments, publications, ...
<b>Objective</b>	The research contract binds not only the research consortium to the funders, but also the consortium partner to each other.
<b>Physical format</b>	Written agreement
<b>This tool provides</b>	The legal assurance for the cooperation between consortium partners and to the funders that the consortium will meet its obligations.

<b>Tool Name</b>	Letter of Confirmation VP
<b>Description</b>	The LoC expresses the financial commitment between funders to fund specific research endeavours previously agreed upon.
<b>Objective</b>	To guarantee to the other partners the willingness to fund
<b>Physical format</b>	Letter with agreed text, that each partner signs to confirm its own involvement
<b>This tool provides</b>	Formalised commitment

#### 4.3.11 Managing the Non-competitive funding mechanism

The non-competitive mechanism has a simplified commissioning phase. There is no competition between research providers and the assignments are given directly to a specific laboratory.

Project leader receive an instruction on the elaboration of the project, including time frame and reporting requirements.



<b>Tool Name</b>	Instruction for elaboration of NC-project
<b>Description</b>	Instruction that makes clear the scientific objective, and various process-linked arrangements.
<b>Objective</b>	Commencement of a joint project
<b>Physical format</b>	Paper
<b>This tool provides</b>	First step in commissioning

Partners in the NC-project sign a letter of intent to formalise their participation.

<b>Tool Name</b>	Letter of Intent research providers NC
<b>Description</b>	Letter of Intent between research providers committing themselves to the project.
<b>Objective</b>	Commitment to the project
<b>Physical format</b>	Paper letter, digital format acceptable, signed by authorised officer
<b>This tool provides</b>	Assurance to the project leader and partners

#### 4.3.12 Conclusion of Commissioning Stage

At the end of the Commissioning Stage, the research projects can commence. All preconditions are met. The research projects have a budget, terms of reference and staff is allocated. Time lines are clear, as are the expected deliverables.

#### 4.4 Tools for project monitoring

When the research projects are under way, the funders will want to monitor their progress. Sometimes decisions need to be taken (including go / no-go decisions), on specific research questions. Sometimes there is a relevant need to deviate from the initial project description, which requires the intervention by funders.

The Project Monitoring Stage includes all that.

##### 4.4.1 Project supervision

The Call Steering group (CSC) was the group of funders interested in the particular research project. It is this group that will create a structure of supervision of the project. Both the topic coordinator and the Research Consortium coordinator, who played an pivotal role in the elaboration of the project continues to exercise their responsibility in the contact between EUPHRESCO and the project.

<b>Tool Name</b>	Project Supervisory Committee (in this case the Call Steering Committee)
<b>Description</b>	This tool describes how the supervisory committee of each individual project is made up.
<b>Objective</b>	Observation and supervision of the project
<b>Physical format</b>	Group of funder representatives who may meet in person or remotely
<b>This tool provides</b>	The description of the supervisory committee, its members, its responsibilities, a chairperson (topic coordinator?) who liaises with the project coordinator one the one hand, and with the Euphresco partners, on the other.

##### 4.4.2 Evaluations and assessments

The monitoring of the research projects can involve formalised tools. They include for example interim (annual) reports, Financial reports, Appraisals, etc. On the basis of these sort of tools decisions can be taken to adjust the project, to prematurely end certain activities within the project, etc.

None of these tools have yet been developed or applied in EUPHRESCO projects.

<b>Tool Name</b>	Report form (interim)
<b>Description</b>	A standard report form for interim reporting on project progress
<b>Objective</b>	To inform the funders on the project progress
<b>Physical format</b>	Standard report form
<b>This tool provides</b>	Information on project progress



<b>Tool Name</b>	Report form final report
<i>Description</i>	A standard report form for final reporting on project results
<i>Objective</i>	To inform the funders of the project results
<i>Physical format</i>	Standard report form
<i>This tool provides</i>	Information on project results

<b>Tool Name</b>	Report Funder Review
<i>Description</i>	Form for reviewing the final report
<i>Objective</i>	To let the Funders review the project report
<i>Physical format</i>	Review form to be filled in
<i>This tool provides</i>	Formalised assessment

<b>Tool Name</b>	Report Peer Review
<i>Description</i>	Form for peer reviewing the final report
<i>Objective</i>	To provide the Funders with a peer review of the project report
<i>Physical format</i>	Review form to be filled in
<i>This tool provides</i>	Insight in the scientific standard of the project report

<b>Tool Name</b>	Final letter of discharge
<i>Description</i>	Confirmation from the funder that the research product was well received and the obligations under the contract were met.
<i>Objective</i>	Conclusion of the contract
<i>Physical format</i>	Written letter
<i>This tool provides</i>	Closure

#### 4.5 Tools for post-project stage

The last, often undervalued stage of the public commissioning of scientific research is the one in which research results need to be applied to policy development and/or to legislation.

The research findings need to lead to one of two possibilities:

- A research result is satisfactorily used for refinement or development of a policy instrument, like legislation
- A research result can lead to a demand for a further investigation.

In EUPHRESCO no tools have been developed for this stage. However, it is possible to envisage many ways in which results of research projects can be exploited or deployed. Often these involve communication endeavours: conferences, workshops, written forms of information transfer, etc. The objective always needs to be valorization; all communication needs to lead to a use of the research product by an end-user. Somehow this use should be measured. Possible tools can then include questionnaires, interviews, etc.

For example:

<b>Tool Name</b>	Questionnaire on research result deployment
<i>Description</i>	
<i>Objective</i>	
<i>Physical format</i>	
<i>This tool provides</i>	

If the Post-Project stage is given sufficient attention, the funders will be happy to continue funding research in regulatory plant health, and only then one can argue that a large part, or all, of the previous stages were not superfluous....





## 5 The tool key

Tools specific for a particular funding mechanism

	Non-competitive Mechanism	Virtual Pot Mechanism	Real Pot Mechanism
<b>Initiation</b>			
Policy objectives	E	E	E
Procurement strategies	E	E	E
Terms of reference	E	E	E
<b>Commissioning</b>			
Call advertisement	N	E/N	E
Application	N	E/N	E
Proposal evaluation	N	E/N	E
Contract	E/N	E	E
<b>Implementation</b>			
Managing (Supervision)	N	E/N	E
Evaluation of the project	N	E/N	E
<b>Post-project</b>			
Communication / Tech-transfer	N	E/N	E
Signing-off	N	E/N	E
Final report	E/N	E	E

E	EUPHRESCO tool
N	National tool per partner
E/N	Choice for EUPHRESCO or National tool