Trade Unions and Transnational Projects

A Guide to Managing European Projects

9th edition

The first version of the handbook was produced in 1994. Since then, it has also been regularly updated as a means of underpinning our own trade union training activities and supporting and developing those of other ETUC affiliated organisations.

For the past 20 years, training for project work and project management has also been an important area of work for ETUI Education, stimulated by the production of that first handbook. In response to the demands from our affiliated organisations we have developed and delivered a range of courses in this field. In cooperation with national affiliates, we now offer a certified three-level training programme, addressing trade union project needs at sectoral, regional, national and European level. You will find more details of this in Appendix 5.

Like its predecessors, this revised edition of the handbook is the work of a team of trade union experts in the management of European projects, particularly in the area of education and training. The text of this edition has been written by Silvana Pennella (ETUI Education), Nikos Nikolaou (Director of the SEK Trade Union School) and Derek Stubbs (The Lyndhurst Partnership), an independent consultant and project manager. Silvana and Derek have also been responsible for editing and coordinating the production of the handbook. We are also grateful to Roberto Pettenello (former trade union officer of CGIL), Frank Vaughan (Head of Education at ICTU), Sylviane Mathy and Carine Boon (ETUI) for their contributions to previous editions.

This edition of the handbook will be available initially in English and French. Thanks to assistance from national confederations, older editions are also available in Bulgarian, Croatian, Czech, English, French, Hungarian, Italian,
Polish, Romanian, Russian, Spanish and Swedish (paper version only). This ninth edition of the handbook has been revised to take account of the principal changes that have recently taken place in the European Union, including the new generation of EU funding programmes for the period 2014-2020, and of the ever-evolving experience of trade unions in working together on European projects.

This edition of the handbook exists only in an electronic format (Word and PDF). You can download copies by visiting the ETUI web site at: http://www.etui.org/Publications2/Guides.

In thanking all the contributors, present and past, we hope you find the handbook useful and wish you every success with your projects.

This handbook was validated by ETUI Pedagogical Committee in October 2014.

Ulisses Garrido
Director
ETUI Education
2014
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Introduction

This handbook is intended as a helpful guide for trade union officers and representatives who are already involved in transnational project work, as well as a stimulus and encouragement to others who are interested in exploring this area. Although it is focused quite specifically on work at a European level, there are significant elements – particularly in Part One – which could also be useful for colleagues undertaking national projects or other task-oriented work at a local level.

The handbook sets out to:

- Explore the benefits of collaborating on projects with partners in other European countries
- Introduce some of the basic skills involved in managing European projects
- Consider both the organisational and the wider European contexts of this work
- Provide some basic information on the European Union and the European Trade Union Confederation and some of their key policies
- Provide information on a range of EU funding programmes and the possibilities they offer for trade unions.

Part One looks at the role and nature of project work and at some of the basic skills of project management. It does so in the context of the life-cycle of a project to be funded by the European Union.

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1 If you are reading this on-screen, text like this acts as a hyperlink, allowing you either to navigate to another part of the text, or to access external web sites. Place your cursor over the text, hold down the CTRL key and click to activate the link. The Contents list on the previous two pages is similarly hyperlinked: clicking on the title of a chapter will take you to the start of the chapter.
Part Two of the handbook explores the European context for trade union project work, looking at the institutions of the European Union and some of its key policies, as well as providing an introduction to the European Trade Union Confederation. A final chapter in this section looks in more detail at the European Social Dialogue.

Part Three provides information on some of the key areas of European Union financial support. While the handbook is not a comprehensive compendium on EU funding, these chapters cover funding programmes and budget lines most likely to be of interest to trade unions. They contain the most recent information on these programmes available at the time of publication, but this is a constantly changing field. For more up-to-date information, please consult the various European Commission web sites referenced in the text.

The handbook has been produced by a team of people involved in managing trade union projects at a European level, convinced of the enormous benefits of working in this way, but equally conscious of the challenges. It is a way of sharing that experience, of offering some key insights into the process of project management and hopefully of helping others achieve success in their project work.

We hope that more trade unionists will be encouraged to collaborate to create innovative and exciting projects - and to manage them successfully.

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2 The EU’s web sites and their pages are subject to frequent changes; the references provided in this document were correct at the point of publication. Please note, however, that there have since been significant changes to the structure of the European Commission. For more information, see http://ec.europa.eu/about/juncker-commission/index_en.htm.
PART I

MANAGING PROJECTS
Chapter 1

Trade unions and project activities

This handbook is about trade unions and transnational projects and this section of the handbook is about the process of developing and managing projects. There are lots of other handbooks about project management, many covering much of the same ground as this. What makes this one distinctive is that it focuses on trade union projects – and on trade union projects at a European level.

This part of the handbook is concerned principally with the processes and techniques of coordinating and managing formally recognised projects at a transnational level. These projects may be funded wholly from an organisation’s internal resources, although the assumption here is that the project will at least in part be externally funded, by the European Commission or some similar body with a formal application procedure and specific criteria and conditions for support.

Project work and project management

Working on projects is not a new phenomenon – we could, for example, see something like the construction of the Great Pyramid of Giza as a project. However, there are new approaches to the planning and management of projects that have been developed over the past 100 years, initially in the fields of construction and engineering and more recently in the field of software development.

Some of these approaches and models are very sophisticated and highly structured. The more common include:

- PMP, a classical project management model, defined by the US Project Management Institute
- PRINCE2 (Projects in a Controlled Environment), a model developed initially by a UK government agency but now recognised globally
- Logical Framework Approach, a model widely used in international development projects
CCPM (Critical Chain Project Management), developed for complex projects with a lot of uncertainties
AGILE, used widely in software development, a method based on flexible, adaptive progression rather than a wholly pre-planned process, and using a set of distinctive techniques, including SCRUM and EXTREME Programming.

We don’t have time to explore these in more detail here but, if you are interested in studying project management more seriously, you could find it useful to look at one or two of these models in more depth. The approach we have adopted in the chapters that follow is a fairly traditional one but we can only offer an overview, together with a few specific pointers, rather than a detailed methodology.

Alongside the development of these various models, the role of the dedicated project manager has become more widely recognised, leading to the development of professional associations, diplomas and other qualifications.

Many of the more sophisticated technical procedures are designed for managing large-scale projects, externally commissioned and funded. The underlying concepts, approaches and many of the basic tools and techniques can, however, also be useful in smaller projects in a national, regional or local context – including more routine trade union work that is not officially recognised as a ‘project’ in any formal sense. This could include activities such as organising an information campaign, producing a newsletter, setting up a web site or planning a seminar. A structured approach, some basic tools, skills in managing teams – all part of the project manager’s essential toolkit – can be extremely useful in many areas of trade union work.

**Trade union involvement in projects**

Trade unions have been involved over many years in transnational projects at a European level. Here is just a handful of examples to illustrate the range and diversity:

- An international conference on the European Social Dialogue, in collaboration with employers’ organisations, to explore the main challenges that national social partners face in effective involvement in the EU social dialogue, including a review of the extent to which EU social dialogue agreements have been implemented at national level.
- An exchange project for trainers of people facing special disadvantages in the labour market (the long-term unemployed, people with basic qualifications) that allowed the exchange of experience, as well as the comparison and assessment of pedagogic approaches and teaching and learning aids. Its aim was to improve the quality of vocational training by specially adapted qualification...
programmes and teaching methods and to improve the labour market opportunities of the trainees.

- A project led by a national educational fund, jointly established by 3 trade unions and a national employers’ confederation, to raise the skills and qualifications of workers from the participating unions. It focused on extending the guidance and counselling available to low-paid workers and aimed to help them participate in lifelong learning through the provision of vocational guidance in the workplace. The project delivered an online course in 11 languages, targeted at trade union activists, vocational guidance counsellors and human resource personnel.

- A project conducting research and providing information on teleworking, coordinated by a trade union research organisation and involving various university departments, employers, city authorities, research institutes and consultants in six countries.

- A project, bringing together a European trade union institution, a university department and two small businesses, to produce an interactive computer-based training package on health and safety at work.

- A project to establish a network of 14 trade union organisations and universities from 9 EU Member States. Its principal aim was to facilitate the exchange and transfer of models of cooperation between trade unions and universities in the delivery of work-based learning to trade union members and employees.

In some of these projects, trade union organisations were leaders and promoters; in others, they were partners in projects led by other organisations. In all cases, they both brought a valuable contribution to the project and gained valuable experience and results in the process.

So why are trade unions interested in projects? What are the likely benefits?

**The benefits of project work**

Here are some of the benefits that trade unions can derive from involvement in projects:

- Projects offer useful possibilities for collaboration - both with other trade unions, as well as with enterprises, local and regional authorities, research institutes, colleges and universities. Through such collaboration, organisations may be able to achieve things that they would be unable to manage alone.

- Trade unions, like other organisations, can benefit from innovation and change. New ideas may also come from working with others. Projects, because they are limited activities, can also offer time and resources for experimentation within strictly circumscribed limits. If they are then successful, their results can be rolled out more widely.
Projects can also offer trade unions a forum for collecting and analysing information from different national or local contexts and for exchanging ideas and best practice. By using the opportunity provided by working together on joint projects, unions can share experiences and learn from each other.

More and more funding (both state funding and finance from other sources) is being made available as project funding (i.e. tightly targeted and time-limited) rather than as core organisation funding. Part Three of this handbook provides a lot of information on sources of funding at a European level that could be of interest to trade unions.

On the other hand, organisations need to be wary of just following the money. A project will only have potential benefit for a trade union if it can make a clear contribution to helping achieve its strategic goals as an organisation.

The project as a strategic tool

Whether as leader or as partner, the projects that an organisation undertakes need to be closely related to its central strategic planning. Viewed from an organisational perspective, effective projects can often best be thought of as measures to devise and test potential solutions to specific challenges that the organisation has encountered. The more precisely an individual project can be focused and targeted to explore a specific area, or to provide answers to specific questions highlighted by strategic reviews, the more valuable it is likely to be.

This view of the relationship between project and organisation has a number of implications, which apply equally to commercial enterprises, public sector organisations, educational institutions and trade unions:

- The definition of the project needs to be informed by a clear understanding of the strategic vision and priorities of the organisation: there needs to be a transparent rationale for the project in terms of its contribution to the development of the organisation.
- At its heart, the project is concerned with problem-solving and consequently is focused on the possibility of change – either on improving existing ways of doing things or on developing new services and products. It can contribute to helping the organisation move from where it is to where it ideally wants to be.
- As well as being informed by these concerns, the project needs to be integrated within the organisation. Amongst other things, this means that it will need recognition and institutional support beyond the immediate project team. It will, in a real sense, need to be ‘sponsored’ and supported by the organisation.
If it is to be effective, the project has also to be informed by clearly identified needs which it will seek to address. In the case of a project concerned with internal change, these needs may simply be articulated within the organisation itself. In most cases, however, they will also include the needs of intended target groups for particular products and services.

If the project is to have any real worth as a pilot experiment, its results need to be monitored and evaluated against an appropriate set of criteria, so that its success can be judged. And crucially, the results of the evaluation need to be fed back into the larger organisation.

It is important to appreciate, too, that a project may not achieve its expected outcome. Whilst every effort needs to be made to maximise its success, it will inevitably have an element of risk associated with it. The investment in a project that does not achieve its anticipated objectives may nonetheless still be extremely valuable in providing important information and experience that can help the organisation in its future development.

Finally, if the project has been successful, there needs to be a clear plan of how its results will be exploited by the organisation. In some cases this may entail further development work, but the aim must be to incorporate the results eventually within the normal ongoing work of the organisation and also perhaps to share those results with other affiliates and sister organisations.
Chapter 2

Managing projects

Projects of any scale – and particularly those involving partners from different organisations – require careful planning and coordination which is normally the responsibility of a **project manager**. This chapter looks at what needs to be managed and at some of the key skills and understandings that a project manager needs. First, though, it will be helpful to look in a little more detail at what we understand by a ‘project’.

**What is a project?**

There’s no single, agreed definition of the term but we can normally distinguish a project as a **new set of activities undertaken to achieve unique goals and objectives**. Projects come in very different shapes and sizes, as you will have seen from the examples in the previous chapter. Here are some other, smaller activities from a trade union context that we could think of as projects:

- Producing a new web site
- Mounting a recruitment drive
- Organising a campaign
- Moving to new office accommodation
- Publishing a new research report.

And here are some larger examples from a more commercial environment:

- Building the Channel Tunnel
- Marketing a new brand of chocolate
- Designing Airbus
- Building a new hotel
- Developing a new software package.

What links all these is that they each constitute a unique endeavour with a clear and specific goal. Though they may differ in size, they share many characteristics:
Projects are **limited** activities – limited by time, limited by resources, limited by scope. As such, they differ from the normal ongoing activities of an organisation which are generally semi-permanent and repetitive: running a transport system, selling clothes, assembling cars. Projects, on the contrary, are in themselves ‘one-off’ activities, although they may later provide the basis for more routine products and services.

Projects frequently involve **teams of people**, often from very different backgrounds, disciplines and organisations, all contributing to a shared goal. Their success depends on skilled coordination and effective collaboration and communication.

Projects are frequently associated with innovation and change, creating new products and services, devising new methodologies. This also means that they are often associated with high degrees of **risk** and may be subject to frequent adjustments and changes of plan.

The complexity of many projects requires careful **planning**, **detailed documentation** and regular **monitoring and reporting** against agreed targets, to ensure that the project is on track to deliver its anticipated results.

## The project life-cycle

Although each project will be unique and have its own distinct trajectory, most projects follow a similar sequence of major phases, often referred to as the **project life-cycle**. Again, there is no single accepted model of the project life-cycle but most are based on a 4-stage process to which is often added a fifth element of Monitoring and Controlling:

- **Initiation** – This phase includes producing an initial project definition, setting out the original idea, its scope and its justification, sometimes including a feasibility study. It will also identify the core team and other key interested parties and will be used as the basis for gaining outline approval to move the project forward.

- **Planning and Design** – Once outline approval has been given, there will be need for more detailed planning and budgeting of the project, designating additional personnel, sourcing any materials or equipment, producing detailed workplans and defining mechanisms for managing the project, so that approval can be given to begin the main body of work.

- **Execution** – This is the phase when the plans are put into action and the main work on the project is undertaken.

- **Completion** – This would normally include some kind of final review and report and the handover of any products to their eventual users, as well as the archiving of project documentation.
**Monitoring and Controlling** – Unlike the others, this phase covers the whole project period and is concerned with managing the project workplan and the team to ensure that everything is kept on track throughout the project’s life-cycle.

The diagram below shows how those phases overlap in a typical project and the differing levels of activity they are likely to demand at different stages of the life-cycle of the project.

This classic view of the project life-cycle provides an outline structure of the stages through which most projects pass, but each will need to be broken down into much more detailed sets of activities before the real business of managing the project can begin.

**Core elements**

At the heart of any project are four core elements that need to be managed:

- The time scale
- The cost
- The product performance or quality
- The project team.

The first three of these are principally concerned with the material aspects of the project, whilst the fourth - the team - calls for skills in understanding and managing people. All, however, are dynamically interrelated.
Time, Cost and Quality

The key material dimensions to any project are:

- **Time** - set out in the detailed schedule or workplan
- **Cost** - set out in the budget for the project
- **Quality or Performance** - what the product of the project will do, set out in detail in the project specification.

These three elements have been conceptualised as three points of a triangle:

In an ideal world - and in many projects - we want to keep an even balance between these different forces, so that the project is realised on time, within budget and achieves maximum performance or quality. The ball is held at the mid-point of the triangle. In other situations, however, certain factors may need to be prioritised over others:

- If we are preparing materials for a conference on a specific date, it’s no use if we are a week behind schedule
- If we are writing a handbook on safe handling of hazardous substances, then the quality of the information is likely to be the overriding concern
- Equally, whatever the project, if our resources are extremely limited, cost may be the determining factor.

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Whatever the case, it is important to be clear what the dominant factor is, for this will inform all our planning and decision-making. And because of the interrelationship between these three factors, prioritising one will have consequences for the others.

If we look again at the example of the conference materials, where time is of the essence, the ball will have moved and the figure will look like this:

If the materials production is running late, it may be possible still to meet the delivery date by:

- Employing more people or working overtime (i.e. sacrificing the Cost factor)
- Reducing the amount or quality of materials to be produced (i.e. compromising the Quality factor).

Equally, if we are to meet the Quality factor of the safety handbook, we may well need to sacrifice something on Cost and/or Time. And if Cost is our key factor, it is likely to have implications for Quality or Performance - and we may need to take longer.

It is essential to know in precise terms what the objectives of the project are, how they relate to each other, and where the priority lies. They represent inter-related but potentially competing forces, which will dominate the direction of the entire project.

The Project Team

If we look at the examples of trade union projects mentioned in the previous chapter, we will see that they draw on contributions from a range of different people and organisations. This is one of the characteristics of most projects: they are team activities. Even relatively small-scale projects within one
organisation or company are likely to draw together specialists from different departments.

This process of bringing together people from different backgrounds to work on a common task is one of the great strengths of project work, but it can also be a source of problems, if not properly understood and managed. All members of the team need to have a clear and common understanding of the goals of the project and of their particular contribution to it. They also need to learn to work harmoniously together, usually in a very short space of time, for it is generally the case that a team is assembled specifically for an individual project. Effective team work, however, can bring enormous benefits. The team not only makes possible what before was not achievable individually; it can also provide a source of mutual support, companionship and sociability and can, at its best, create a shared learning environment for the community of the project.

In the case of transnational projects, not only will the team be composed of people with different areas of skill and competence, but it will bring together people from different organisations and from different national cultures with different mother tongues. Note, too, that in some of the examples of projects in the last chapter not all the partner organisations were trade union bodies. There were instances of collaboration with universities, commercial enterprises and consultancies. In these cases particularly, different partners may have somewhat different emphases and want different things from the project. It will be even more important to ensure that there are common understandings about the nature and scope of the project. Clear communication is essential.

Assembling and managing a strong and well-integrated team is one of the keys to successful project work.

**Working with stakeholders**

Although they may be at its core, the project team is not the only group of people who have an interest in the project. To understand fully the context of the project and to be able to manage it effectively, we need to identify all of its stakeholders and understand their various interests. The project stakeholders are all those organisations (and individuals) who are actively involved in the project or whose interests may be affected by its work. As well as the organisation promoting the project, they are likely, as a minimum, to include:

- The project manager and project team
- Partner organisations, their leaders and senior staff
- End users and their organisations (i.e. those who will be recipients of the products and services the project is developing)
- Funding organisations and sponsors supporting the project.
Their interest in the project and the objectives they hope to achieve may differ considerably from stakeholder to stakeholder. These are differences which can frequently be the source of tensions and it is important to understand, manage and negotiate them, if the project is to be successful. This is an essential ingredient to be taken into account in framing the initial project plan. It is also crucial to monitor changes in stakeholder attitudes and expectations during the project and to provide appropriate feedback on progress to all stakeholders at every stage.

In the context of European trade union projects, key stakeholders are likely to be national trade union confederations and their affiliated organisations. However, there are likely to be other stakeholders who need to be taken into account, including the European Trade Union Confederation, government departments, local authorities, voluntary agencies and, of course, the European Commission as a potential source of financial support. Managing the relationship with those stakeholders is an essential part of project management.

Risk

Finally, because they are unique ventures, because they depend on new ad-hoc groupings of people and because they usually need to achieve their objectives within tight constraints, projects involve a significant element of risk. We have mentioned some of these risks already – the risk of late delivery, going over-budget and of not meeting performance criteria. There are other risks associated with the team element of the project – of assembling a group of people who may be perfectly competent individuals, but who find difficulties in working together. Equally, there may be risks associated with the management of the project – for example, of poor communication, of vital decisions going by default or crucial documentation being lost.

It is important that the risks involved in the project are understood from the outset and that, from the early stages of planning, appropriate steps are taken to recognise and avoid or minimise those risks.

The Project Manager

Let us now focus on the figure of the project manager. What are the key qualities which this role demands? What specific skills and understandings does the project manager need?

The precise needs will vary according to the individual projects. Different individuals will inevitably have different areas of expertise and different styles of operating. In general terms, however, it should be clear that a project manager will need to have:
A clear and detailed grasp of the aim and shape of the project. S/he may not be an expert in the subject field of the project but, if not, will need to be a speedy learner. They need to understand the project fully to be able to negotiate successfully with team members and other stakeholders.

- Good planning and organisational skills, together with the ability to communicate information effectively and appropriately, both within the project team, to other stakeholders and in more general dissemination activities. Planning and communication lie at the heart of effective management.

- A sound, logical approach to things, which will include the ability to understand, synthesise and sometimes challenge information from different specialist areas.

- Skills in team leadership, including a flexible approach and the ability to work with people from diverse backgrounds, encouraging, motivating and supporting where necessary, but always having a keen eye on the underlying tasks of the project.

- Good problem-solving and negotiating skills, in order to resolve tensions and conflicts both internally and externally.

- Administrative skills of a high order with careful attention to detail. S/he will need technical skills, including IT skills, as well as the ability to balance a concern for detail with the need to keep in focus the main purposes of the project.

- Good financial skills in handling budgets, establishing appropriate monitoring and reporting systems and cost reporting, and generally managing the resources of the project.

- Skills in time management, both at a personal level and in keeping the project overall on schedule.

- A commitment to quality processes and outcomes which will help the project achieve its objectives to the highest possible degree.

**Training for project work**

This profile of a project manager combines areas of:

- Technical skills
- Interpersonal skills
- Information and understanding
- Personal attributes and attitudes.

Increasingly, trade unions and other organisations are recognising the importance of the role and the complex nature of the demands which are made on a project leader or manager. This has led to the recognition of the need for specific training - a need that some trade unions are now beginning to address by delivering courses in their national organisations. This is an important initiative which ETUI Education is helping consolidate and
develop further in various ways, including training courses, workshops and a network of project management experts. The ETUI courses differ from the many other courses in project management that are available commercially, in that they are focused on training for project work specifically in a trade union environment.

We should also think, in developing and planning a project, whether there is likely to be a need for training for the project team. This might include, for example, training for the whole team on improving communication skills. Alternatively, it may be appropriate to provide some specific targeted training for one or more partners in a specialised field. The training might involve an expert from outside the team, but in many cases could also be led by a member of the project team itself. Handled effectively, this not only deepens the sense of the project as a learning experience for its participants but can also help develop group identity.

The remainder of this part of the handbook explores the process of developing and managing a project in more detail, looking at each of the five phases of its life-cycle:

- Initiation
- Planning and design
- Execution
- Monitoring and controlling
- Completion.

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4 For more information on project management training, see Appendix 5
Chapter 3

The Project Initiation phase

First thoughts

Where does a project start? All too frequently projects start in response to the specific funding calls for proposals, such as those issued by the European Commission. Whilst these can act as useful prompts, the prospect of financial support per se is not necessarily the best stimulus for a successful project - and generally the two to three month period from call date to submission date is not long enough to assemble a team and develop a well-prepared proposal. As we have said previously, the project should start from the awareness and definition of a need, which the outcome of the project will help satisfy. The initiator of the project should be absolutely clear about the need and about the benefits which should accrue.

We can all have bright ideas about doing something new, but moving from that first flash of inspiration to the point of submitting a fully-developed project proposal takes time, dedication, clarity of thought and careful planning.

Let us assume that you have all the necessary commitment and energy to pursue your idea. How should you proceed?

Testing the idea

First, test your idea rigorously:

- Why do you think it is important?
- Will it address significant needs and problems that your organisation or its members are experiencing?
- What evidence do you have for this?
- Have there been previous efforts to address these issues?
- Are these issues likely to represent common challenges faced by organisations in other European countries, or are they locally specific? If the latter, they may not provide a sound basis for a European project.
Let’s assume, for example, that you’re a trade union officer with a responsibility for education and training in a national organisation. You’re aware that the issue of training for European Works Council representatives is important for trade unions, but also that experience is very variable in different countries. You feel that your own union needs to be addressing this more actively, but you are not an expert in the field and, to the best of your knowledge, neither are any of your colleagues. It would be good to do something, though - perhaps a manual for trade union officers might be useful, but they’d need some training as well. Or maybe a conference might be a better way to start? Or perhaps an information campaign would be more effective? And what should the focus be? Is it more important to concentrate on the legislation and its implementation, or to provide detailed advice on how representatives can best operate? You’ll clearly need some help, too. There was the Spanish colleague you met at a conference last year - she was talking about preparing a course on Works Councils. It might be worth contacting her. And it could be useful to get some input about experience in Germany...

That’s a promising start, but there’s an enormous amount of work to be done before it’s a proper proposal. As your ideas are tested, some will inevitably fall by the wayside, as you realise that they are inappropriate or unrealistic. Those that do stay the course will almost certainly change considerably as you develop your proposal.

**Developing the idea**

Once you are convinced that the idea has some strength, put it on paper and prepare an outline sketch that you can share with others:

- Start by outlining the context and the rationale for the project and define the needs and challenges that it seeks to address
- Then set out the aim and main objectives of the project. Make sure that these are clear, concrete and realistic and that you indicate clearly who will be the immediate beneficiaries of the project
- Next set out in broad terms the method and approach that you think would best achieve those goals
- Describe any concrete products that you think the project would produce: for example, training modules and learning resources, web sites, reports, specifications for qualifications, or new methodologies
- Sketch out what you think the overall results of the project are likely to be, as well as the longer-term impact and benefits
- Finally, consider how you might ensure that the benefits of the project are sustained and exploited when the period of initial project funding is over.
Organisational alignment

This is the point at which you should share your ideas.

- Show your initial outline to colleagues and ask for feedback. They may have useful advice to offer that could help to improve your idea. Some may also be able to contribute directly to the work of the project, if you are successful in securing approval and funding.
- Make sure that your idea is aligned with the general objectives and policy of your organisation. If you are to progress the idea, you will certainly need institutional support, both financial and moral. You will need to negotiate time and resources to allow you and your colleagues to participate and your organisation will be one of the major stakeholders in the project. Involve key decision-makers from the outset and plan how you will keep them as informed and enthusiastic supporters.
- Be clear about what expertise and resources your organisation will be able to provide and what its strengths and its limitations are. This will help you identify what help you will need from other partners and where the added-value at a European level lies.

Financial support

Now you need to think about how you might fund the project. At this stage you will probably only have a very rough idea of how much it might cost to realise the project. It’s unlikely that your organisation will have the resources to fund the project on its own, but you may be able to find some support from one of the European Commission’s funding programmes. You will need to do some research.

Most of the EU funding programmes operate through Calls for Proposals – invitations to submit project proposals on specific themes by a certain date. Most will set out specific criteria about the amount of funding available, the length of project, the minimum number of partners and their eligibility and will also have their own application forms and guidelines.

They will also have submission deadlines, normally three months after publication of the Call. This presents a very tight timetable to do all that’s necessary to produce a detailed proposal for a project of any scale, so it’s best to be planning ahead and to do as much outline work on your project idea as possible before any specific Call for Proposals is announced. The Commission web site and documentation for previous Calls will give you a good idea of what’s possible.

Once the Call documents are available, you may need to scale back your original idea or adjust it slightly to make it fit the terms of the Call.
long as you you're not compromising the essential parts of your original idea: project planning often involves frequent modification and adjustment.

**Finding partners**

Now you need to think about appropriate partners to help realise the project:

- Think first about the needs of the project: what aspects you and your immediate colleagues can deliver, where you will need outside assistance, and what particular strengths additional partners can bring.
- For an EU-funded project, think too about the **geographical spread** of your partnership. There may be particular advantages to be gained by bringing together partners from both northern and southern Europe and by linking new and old Member States. The key question should be whether they face similar challenges and whether they might have something distinctive to offer to a collaborative response. Often the answer may lie in finding partners at a regional level, in communities and industries in different geographical situations who are experiencing similar problems.
- Consider, too, in planning your project team, the benefits that can come from including a range of **different types of organisation**, not simply a broad geographical distribution. A multi-actor partnership, involving a combination of trade unions, companies, local and regional authorities, education and training establishments, or research bodies, can often make a stronger project team than one that contains a single type of organisation.
- Think carefully about the **size of the partnership** in relation to the scale and ambition of the project. Do not make it too small to be effective, but equally do not make it unnecessarily large. Partners should be invited because they genuinely have something essential and distinctive to contribute and all should have a clear and necessary role to play.
- Make sure that each of the partners has a **clear motivation to become involved**, otherwise their participation is likely to be half-hearted. Be clear about what they have to gain from the project and understand that this may differ from partner to partner. It is important that the project should enable them all to realise their objectives.
- It is important to choose partners carefully. They need to be organisations and individuals who can make a real contribution to the work of the project. They need to have specific tasks to do and specific skills to contribute. You are building a **working team** – not a friendship group or a political lobby.
- Conversely, if you yourself are approached to participate in a project, you need to think carefully about what the benefits will be.
for your organisation, what contribution you can usefully make and how the project fits within organisational priorities. Will you be able to commit sufficient time and energy to it? It’s always nice to be asked to join in projects, but think seriously about the commitment involved and the reasons for joining before you agree.

But how best to find partners? You will find this easier, once you have clarified the roles that you are looking for.

— You might first try your own contacts. Ask people you know if they have suggestions for potential partners, perhaps ones that they have already collaborated with on other European projects.

— Can your organisation also help bring added-value by drawing on wider networks? Is it linked perhaps to a group of national experts on the topic who can act as an occasional reference point for the project? Could it put you in touch with, say, appropriate companies, a regional authority or a local community organisation that might offer useful feedback or facilities as the project proceeds?

— Look on the European Commission’s web site to see if there are databases of previous projects in the same field or try one of its partner search databases.

— The specific funding programme you’re addressing may have a National Agency. They can provide advice on your proposal and can also help you find partners by circulating your partner request to other National Agencies.

Then undertake some research on the organisations you have identified. Look at their web sites, talk to people who might know them, find out about their work and their experience. Try, if possible, to meet them face-to-face.

Once you have identified possible partners, send them a copy of your outline proposal and ask for their comments. Be prepared to adapt it to take account of their concerns, as long as this does not deflect from its original aim or make it too unwieldy.

Organisational approval

Let’s assume that your Works Council project has been successfully defined and focused. There were a lot of initiatives you wanted to pursue but, after looking at time and resources, you and your potential partners have agreed that it would be best to proceed stage by stage, starting with developing and testing a pilot training course for trainers, supported by some training materials. You’ve decided to frame a proposal to one of the European programmes. You’ve looked at the programme’s web site, downloaded and read the Applicant’s Guide, together with background documents and the appropriate application forms. You’ve looked at the criteria - there’s support for a 12-month programme of work, which fits with your time scale. You need at least one
partner in another Member State, which your partnership will certainly meet. And there’s likely to be a new Call for Proposals announced in two months’ time. Now you have the beginnings of a realistic plan.

Your initial outline document will have been refined quite a lot by this stage. It should now include not only a clear definition of the project and the benefits it can bring, but also a proposal for how it might be funded, how long it will run and who the prospective partners might be. You should also add, if you haven’t already done so, three or four other short sections on:

- The **stakeholders** in the project and how you envisage them being involved and informed
- The **scope** of the project – clarifying precisely the key areas of work that lie within the work of the project and noting any associated work that falls outside the work of the project itself. For example, in our EWC training course we might need to make clear that the project will develop and test a pilot course but that subsequent deliveries of the course fall outside the scope of the project, or that the project will cover a limited print run only of any materials produced
- A note on any **key risks** that you foresee at this stage and their likely impact
- An **outline plan and timetable** for the drafting of a detailed project plan and full application to the European Commission for funding.

Now you have a clear and comprehensive outline of the project idea and a plan of how to move forward that can be presented to your organisation for formal approval. If you’ve made a convincing case, you’ll now be in a position to proceed to the next phase.
Chapter 4

The Project Planning and Design phase

Once the Initiation phase is complete and you have organisational approval for the project, it’s time to start on the detailed planning and design. This will mean revisiting your initial outline document, working through everything in much more detail. You may, as a result, realise that you need to make some changes. Project planning and project management are processes that depend on frequent review and adjustment: project plans often go through several iterations before they are finally signed off.

It is important at the outset to understand that this phase of the project is likely to incur significant costs, even if only in terms of staff time. All partners need to realise that these are not costs that they will be able to recoup from the project budget, because they will have been incurred outside the period of the project itself. On the other hand, with a strong proposal and good preparation, and a project that can bring tangible benefits, this will have been a good investment.

Twin objectives

In the case of an externally-funded project, like our EWC training course that we hope the European Commission is going to support, this Planning and Design phase has two objectives:

- It must produce a detailed plan for the whole project which can be the blueprint for the work that you and your colleagues on the project team will undertake
- It must also produce a successful application document that will convince an external funding body to provide financial support for the project.

These two objectives are not contradictory but neither are they identical. The European Commission and most other funding agencies will make specific demands for information and will almost certainly have standard forms in which this must be presented. These forms are designed to provide them with certain types of information that can help them decide
whether or not to support your project. It is most unlikely that simply collecting the information requested and filling in the application form will provide you with a sufficiently detailed document to guide the day-to-day work of the project.

What does this mean, then, for the planning process?

- You clearly need to be aware at the earliest possible stage of the objectives, priorities, funding regulations and application process of the organisation you are hoping will help fund the project. Familiarise yourself with the application guidelines, forms and any other published material available – newsletters, reports, web sites, etc.
- With these at the back of your mind, go back to your initial project outline and flesh out the detail to turn it into a comprehensive project plan. Check, as you proceed, that the details still meet the terms and conditions of the funding body, but concentrate on producing a detailed workplan.
- Finally, think about how you can take elements from your plan to be re-presented within the constraints of the application form.

Preparing a detailed project plan and a successful application takes time. The time needed will vary according to the scale and complexity of the project, but you need to plan carefully not only the project itself but also the planning process.

The project plan

The project plan is often referred to as the ‘Project Charter’ or the ‘Project Bible’. As such, it needs to document:

- The rationale for the project
- Its aim and objectives
- The things it will produce
- A breakdown of the various areas of work, the tasks involved and how they will relate to each other
- How the tasks will be mapped out over the project period
- How much the project will cost, how these costs will be met and how finances will be controlled and managed
- Details of the project team and their responsibilities
- The quality requirements of each of the products or services
- How the success of the project will be evaluated
- How the project will communicate: internally within the project team, with its immediate stakeholders and, if appropriate, with a wider public
- Who will own and who may exploit any intellectual property that may be produced
How the results of the project will be disseminated and used
The risks the project may encounter and how they might be dealt with
The role and responsibility of each of the partner organisations involved in the project consortium
How the project will be managed and how decisions will be taken, including any changes to the project plan
The procedures for monitoring and controlling the work of the project.

The size and weight of this document will obviously vary from project to project but for complex projects of any scale it is likely to be considerable. It is a crucial document and has several uses:

- It maps out the concept of the project and how it should proceed
- As such, it acts as a common point of reference for the whole team
- It provides a baseline against which progress can be checked
- It also provides a point of (re)orientation if changes need to be made
- And, of course, it will provide the basis of much of the essential information for a funding application.

The key elements of the plan merit further detailed consideration which you will find in the subsequent sections of this chapter.

Only when you have produced a detailed project plan that you are satisfied with, should you start to complete the application forms for funding.

**Partner involvement**

Although most of the work of preparation and planning is likely to fall on you and perhaps one or two colleagues, the Planning and Design phase should involve all the partner organisations, as they will all need to understand and agree to their respective roles in the project.

A project which is genuinely transnational should bring potential core partners into the planning at a relatively early stage. After all, you want them to feel they ‘own’ the project, too, so that there is a genuinely shared commitment and a sense of mutual benefit.

They will also almost certainly need to supply information for the budget, for example, and to provide documentation to form part of the funding application.

Involving them in the process from an early stage and circulate draft material for comment. Consider, too, whether it is useful to have a face-to-face meeting or a tele-conference with the key team as part of the Planning and Design phase.
Let’s look now in more detail at the work involved in the Planning and Design phase. We’ve broken this down into the following sections:

- Defining aims and objectives: towards a quality plan
- Evaluation
- Dissemination and exploitation
- The team
- Project organisation
- Scheduling the project
- Budgeting the project
- Planning for risks
- Preparing an application for funding.
4.1 Aims and objectives: towards a Quality Plan

Our starting point for the project plan should be to focus on the Quality aspect of the project: to refine more precisely what we want it to achieve or produce.

Defining aims and objectives

A project is likely to have a single aim which will encapsulate what the project as whole is intending to achieve. It will be closely related to the goals of the organisation sponsoring the project. It is likely to be set out in very general terms and may well not be wholly realisable through a single project. The aim sets out the changes you hope to achieve as a result of your work.

At the same time, a project is likely to have several objectives – lower-order statements which will all contribute to the overall aim. These objectives describe the activities to be undertaken or the services to be provided to bring these changes about. They represent defined end-points to be achieved by the project. They will be much more concrete and are likely to focus on tangible products and outcomes.

For example, a trade union project may have as its aim to help improve the access of marginalised groups to the job market. Among the specific objectives might be:

- To establish a drop-in centre to provide information and advice
- To establish links with a local college providing access to training courses
- To work with the college to construct a new course to prepare people for the job market
- To establish a group of local employers to support the scheme
- To offer a support service in making job applications and preparing for interviews.

If we take the example of our EWC project, we need to give this some careful thought at the outset. We can probably quickly agree on a general statement such as the following as the aim of the project:

*The project aims to improve the capacity of the partner organisations to participate more effectively in the work of European Works Councils.*

Before we can give a similar definitive account of the objectives, however, we need to have given more thought to what precisely the project will achieve.
Are we seeking principally to provide information about EWCs? Is the project focused on providing training in being an effective EWC representative? If we are principally focused on a training course, is this to improve the skills of people who are already EWC members, or to train new representatives? What preparatory work – research, training needs analysis, etc – needs to be undertaken before we can deliver our course? What tangible materials – reports, manuals, training materials, etc – will the project produce?

As we begin to answer these questions, we are both defining the **scope** of the project and also laying the basis for a definition of its **objectives**.

Let’s assume that we’ve reached some conclusions on these points and that we can now establish the following objectives:

- To develop and pilot a training course for trade union members from partner organisations who are potential new representatives on European Works Councils
- To produce a report on the legislation concerning EWCs and their operation
- To produce a report based on a survey of members in partner organisations to establish more precisely their training needs in this area
- To produce various materials to support the training course, including a handbook which can be made available more generally
- To produce and distribute information about the project
- To evaluate the work of the project and to produce a published report
- To plan how to exploit further the work of the project following its completion.

You will notice that all the objectives start with ‘To...’; objectives are about actions.

In practice, many projects begin with objectives that are quite loosely and broadly stated but it is important that, during the early stages of planning the project, these loose formulations are reframed more precisely.

The definition of objectives, like much of project planning, is an iterative process. Decisions made elsewhere in the planning process may mean that we need to modify previous statements, so we need to keep them constantly under review and, if necessary, refine them.

**Starting from products**

If you look back at the objectives we have listed for our EWC project, you will notice that, as well as identifying an action, each objective is concerned with producing something tangible – a training course, a survey report, training
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materials, a handbook, publicity materials, an evaluation report, a plan for further exploitation and sustainability. Other projects will clearly produce different things – a web site, a prototype, a database, a series of specifications. These are all generally referred to as **products** or **deliverables** – and they form an excellent starting point for the writing of clear **objectives**.

## Making objectives SMART

Well-defined objectives are also **SMART**:

- **Specific** – dealing as precisely as possible with one particular aspect of the project’s aim
- **Measurable** – containing clearly defined criteria by which their achievement can be measured. These may be either **quantitative** (i.e. measurable and objectively verifiable) or **qualitative** (objectively verifiable but with non-measurable criteria, relating normally to changes in attitude, behaviour, processes or structures)
- **Achievable** – being realistic in terms of the time and resources available
- **Relevant** – relating directly to the overall aim of the project
- **Time-related** – providing a clear time frame within which the objective should be realised.

It’s worth adding to this list that they should also be clear and unambiguous, understood by all of the project participants and stakeholders.

If we look back at our list of objectives above for the EWC project, we can perhaps see now how defining their products more precisely can make them SMART. Here is just a handful of points to think about:

- How are we going to gather information about legislation? What are the essential features that need to be covered? How will this information be captured and presented? If it is in the form of a report, roughly how many pages? When does it need to be produced by?
- Similar questions will apply to the training needs survey. If there is to be a questionnaire, how many members will be surveyed and when?
- For our training course, we should specify the length of the course and roughly when it will happen. How many people will be trained? We won’t be in a position yet to specify the detailed content, but we should indicate that this will be based on two other products: the training needs survey and the research report on legislation.
- Precisely what publications do we intend to produce? What is their purpose? How many pages? How many languages? How many copies? When will they be produced?
Performance indicators

Having defined more precisely the objectives for the project, we also need to agree how we shall know that they have been accomplished — we need to define **performance indicators** (or ‘achievement criteria’) which must be met before the specific objective can be considered to have been achieved.

Performance indicators may be either:

- Quantitative indicators – objectively verifiable and measurable criteria, such as the number of people trained, their distribution by age/country/industrial sector/gender, the number of publications produced, the number of visitors to a conference
- Qualitative indicators – objectively verifiable criteria concerning, for example, changes in knowledge, skills, attitude and behaviour, as well as changes to processes, structures and systems.

Performance indicators can be presented in a variety of different forms. Here are two examples, using principally quantitative indicators, the first from our EWC project, the second from a project on lifelong learning:

**Example 1**

**Objective**
To produce a report based on a survey of the training needs of potential European Works Council representatives in three partner organisations, relating to their familiarity with current legislation and their understanding of and confidence in representing members via the works council, to inform the development of a pilot training course.

**Performance indicators**

*Quantitative indicators:*
- Survey will analyse returns from at least 30 respondents from each of 3 national trade unions in different countries
- Report will be produced by end of month 4 of the project

*Qualitative indicators:*
- Survey provides baseline data in all focus areas which can be used in subsequent evaluation studies
- Report reviewed and approved by officers responsible for
Example 3

Evaluation of a transnational event/course/conference against a range of different performance indicators. Each indicator is assessed on a score of 1-4. (An example of just one of these indicators is provided below, together with two of the associated descriptions of performance level.)

**Key area:** Quality of the transnational event

- Report reviewed and approved by project tutor team as providing adequate information to inform development of training module

Example 2

**Objective**
To stage half-day awareness-raising events on trade union learning opportunities for target audiences of 250 people in 10 regional centres

**Performance indicators**

**Quantitative indicators:**
- Minimum total attendance 2,000
- Minimum attendance per event 150
- 10 events delivered between month 6 and month 9 of project
- Minimum of 60% satisfaction with each event as recorded in questionnaires
- Minimum of 25% of total audience requesting details of forthcoming training courses
- Minimum of 10% following through with applications for courses

Here is another example of the use of performance indicators, this time focused wholly on qualitative criteria:
Performance indicator 1.1: Input into the event by the project partners

Description: This performance indicator is concerned with the following themes:

- Extent to which each partner contributes to the transnational event
- Evidence of partners sharing roles and responsibilities during the event, or within the overall project

It refers to the quality of the transnational partnership in terms of the contribution of each partner to the event element of the transnational project, with clear evidence of an appropriate division of tasks and responsibilities.

Level 4 performance

- Each partner plays a role in the preparation and delivery of the event according to an agreed prior division of roles and responsibilities
- There is clear evidence of a collaborative approach, with strong teamworking

Level 2 performance

- There is a lack of clarity in the partners’ division of roles and responsibilities and consequently there may be evidence of a failure to contribute as required
- Where problems have arisen, there is evidence of a lack of commitment to finding a mutually acceptable solution

This example is derived from McLeod, R. Guidelines for Evaluating Your European Project (2003), available from http://www.i-probenet.net/library/McLeodguidelines.doc

Quality Plan

As we have worked through this process, we have identified:

- The principal products that the project will produce
- The performance criteria that each must meet.

We have in effect defined in measurable terms the minimum acceptable quality that each product must have. You will find it helpful to document this
separately as a **Quality Plan**, listing a SMART definition of each product and its performance criteria. This will be invaluable as you move through the project, ensuring that each can be signed-off as fit-for-purpose and can be handed over to those responsible for the next stage of the project.

Your SMART objectives and your Quality Plan will ultimately also be of crucial importance in evaluating the project – the focus of the next section of this chapter.
4.2 Evaluation

The project team and its stakeholders all need to know how successful they are in achieving their goals. This chapter looks at the process of evaluation and considers some of the key issues to be addressed in planning the evaluation of a project.

The importance of evaluation

Once our project is underway, we really need to make the most of the experience. We need to manage it effectively, so that it has the best chance of achieving its aims. We also need to treat it as a great learning experience, a chance to understand more about what works well and what doesn’t work so well. If we do meet problems, it’s important to understand as much as we can about why they’ve happened and how they might have been avoided. And at the end of the project, we need to reflect together on what we’ve learned and what we’ve achieved, and how those insights might be useful in the future work of our organisations. Good evaluation will help us do all of this.

There is often a tendency to treat evaluation as something of an afterthought, to start to consider it only when the project is half over (and sometimes even later!). Often, too, there is a tendency just to concentrate evaluation on the end results, rather than the entire process of the project. This is not the most productive approach.

In order to manage the project effectively, we need to know whether or not it is on track to meet its objectives, whether it is within budget and on schedule, and whether any corrective action needs to be taken. We also need to know what the project has achieved, how appropriate and effective its actions have been and what implications its results might have for stakeholders and participants and for future work in this field. To do so, we need to have a plan for evaluation – and often for different kinds of evaluation - from the outset.

Defining evaluation

Let’s start by defining what we understand by ‘evaluation’:

By ‘evaluation’ we mean an assessment carried out at one or more specific points in the life-cycle of a project, examining, for example, the efficiency, effectiveness, impact and sustainability of the project in terms of its stated
objectives. Evaluation is therefore something to be carried out on a limited number of occasions. Evaluation often involves assessment at the start of the project (to establish a baseline condition for the project), at the mid-point (to assess progress), and at the end of the project (to assess its direct results and achievements). It can also be very useful to conduct an assessment some time after completion of the project (to establish its longer-term impact and outcomes). We would normally expect evaluation to be an in-depth, analytic process, providing possible explanations for particular results and outcomes, rather than just describing them.

It is important, too, to distinguish two main types of evaluation:

- **Formative evaluation** is conducted during the lifetime of the project, providing information to improve ongoing activity. The principal beneficiaries of formative evaluation would normally be the project partners and participants.

- **Summative evaluation** is undertaken retrospectively at or after the end of the project, reviewing key aspects of the project’s activities, results and outcomes and their significance. The principal beneficiaries of summative evaluation would normally be project partners and stakeholders through, for example, the highlighting of significant issues concerning the incorporation of project results into mainstream organisational activity or the design and implementation of future projects.

At its heart, evaluation is concerned with assessing value. However, to be effective, evaluation needs to have a clear focus; statements of value cannot be made in a vacuum. There need to be clear yardsticks against which assessment can be made.

**Objectives and performance indicators**

For both monitoring and evaluation, the best starting point for assessment is normally the **objectives** of the project. As we saw in the previous section of this chapter, effectively defined objectives are important in helping provide a clear basis for project planning. Those objectives and the performance criteria that we established at the outset are the reference points for evaluating the success of the project. And the SMARTer they are, the easier the task of evaluation will be.

Some evaluations may also find it useful to establish external **benchmarks** against which to assess performance. In this context a benchmark would be a standard of achievement attained by a similar activity or project in a similar sector or environment.
Planning evaluation

A project is a complex entity and it is impossible to evaluate all of its facets and dimensions. We need to be selective and we need to develop an evaluation plan. In preparing the plan, we will need to answer the following key questions:

- **Why** are we conducting this particular evaluation exercise? What is its purpose? Who do we expect to benefit directly from its results and in what way?
- **What** will we be evaluating? There needs to be agreement between the project team and other major stakeholders on the key aspects of the project to be evaluated. While there will be some aspects of the project that we may wish to monitor continuously, there needs to be agreement on the foci to be selected for evaluation and on the criteria by which these selected aspects are to be evaluated. These foci will vary according to the precise content and methodology of the project but among the broader, more general categories we might consider:
  
  - **Relevance and appropriateness of the project design** – to what extent were the project’s objectives pertinent to evolving needs and priorities in the target populations? Do they have continuing relevance?
  - **Efficiency** – how economically has the project applied its resources? Does it represent good value for money?
  - **Effectiveness** – how far have the project’s results and outcomes contributed to achieving its objectives? Was the content of the project appropriate? Were the methodology and approach adopted also appropriate? Did the project consortium and the project team function efficiently? What problems were encountered and how might they be avoided in future?
  - **Innovation** – how far did the project succeed in being innovative? What were the novel features of activities and products? What are the potential barriers to these innovations being mainstreamed?
  - **Impact** – what was the effect of the project on its wider environment? How do the results and outcomes of the project compare with the needs of its target population?
  - **European added value** – what have been the particular benefits to the project of involving partners in different countries?
  - **Sustainability** – how likely is it that the positive results of the project will last beyond the project period? What steps have the partners taken to ensure that activities can be maintained and built upon, either by individual partners or by the consortium?

- **When** will evaluation take place? In some instances there will be contractual conditions which in part determine this: a requirement
for a mid-term and final evaluation report. It can often be helpful, too, to conduct a survey at the start as part of the project evaluation. Even though there may be no formal requirement for this, it can establish a useful view of the baseline conditions within which the project is making its intervention.

**How** will we evaluate the selected aspects of the project? What kinds of methods and tools will we use? This is perhaps the most difficult and complex question.

In terms of formative evaluation it may be appropriate to undertake a relatively informal self-evaluation exercise. This might involve, for example, inviting all the partners to take a broad view of the project as a whole and consider how it is performing in relation to its objectives and programme of work and to cite evidence for their conclusions. These views could then be discussed and agreement reached on one or two areas for closer examination, leading to the production of a brief report and a further discussion on how to address any problems identified.

In other situations, particularly in the case of a final evaluation report, a more formal methodology might be more appropriate. This would normally involve:

- **Selecting data collection methods** – for example, course evaluation sheets, postal questionnaires, online surveys, tape-recorded interviews, focus groups, participant observation, online conferences, activity logs, library research
- **Identifying data sources** – project partners, project stakeholders, project participants and beneficiaries, other individuals, groups and organisations, published reports
- **Producing data collection tools** – constructing questionnaires, producing guidance notes for interviewers, creating materials for use with focus groups
- **Deciding how the data will be processed, analysed and interpreted** – depending on the type of exercise and data selected, this may involve a range of different techniques. Some may include numerical tables, ratios, cross-tabulation and in some cases more sophisticated forms of statistical analysis. Other approaches may be more descriptive and impressionistic. In all cases, clearly defined performance indicators will help to avoid ambiguity and subjectivity in the interpretation of results. Where these do not exist, it will be important to make as explicit as possible the assumptions underlying the analysis and interpretation of results
- **Agreeing how the results are to be reported and disseminated** – for example, by a published report to be presented at a conference, an internal report to the Project Management Committee (PMC), a presentation to the project team and immediate stakeholders.
Who will be responsible for conducting the evaluation? Again, this will vary according to the decisions made on some of the previous points. There is a key decision to be made about whether the project appoints an external evaluator, whether this responsibility is given to one of the partners, or whether there is some form of collective evaluation conducted by the project team. The decision will be determined in part by the size and complexity of the project and the resources available.

On balance, however, we would recommend that, wherever possible, the project should appoint someone with appropriate skills and expertise to be responsible solely for this aspect of the project work. In the case of the EWC project, this might be someone from, say, the Education Department of a trade union or from a University, but someone who had no other role in the project and who could evaluate the results from a relatively neutral position.

It is crucial that the process of planning the evaluation should involve all the partners and stakeholders. Their views need to guide the evaluator in identifying key aspects of the project to be selected for evaluation; their assistance will be needed in collecting the data; and they need to feel that they have a real stake in the results. It is also important for the project to provide an opportunity for the partners, participants and stakeholders to discuss and comment on the draft version of the report, ideally in a workshop situation. Most important of all, they need jointly to reflect on what has been learnt and what significance this holds for the future.

You will have understood, then, why the Planning and Design phase should also include the production of an evaluation plan for the project.
4.3 Dissemination and exploitation

Most applications for EU-funding will require a detailed plan for dissemination and exploitation. Even if it is not a formal requirement, these are elements that a project manager needs to take account of in the project plan. If we are investing time and energy in a project, we will want to ensure not simply that it is a successful piece of work in its own terms but also:

- That it can have maximum impact
- That maximum value is drawn from its results.

We can’t assume that this will simply happen of its own accord. We need to inform others in a systematic way about the work of the project; we need to make sure that its results are widely publicised to appropriate audiences; and, if there are tangible products, we need to ensure that they are distributed and made easily available.

If we take the example of our EWC course, we will be working with a small group of partners to produce and test a training module. The immediate direct beneficiaries of the project (i.e. the participants on the pilot course itself) will be quite limited in number. Our intention, though, should be that, if the pilot is successful, each of the partner organisations will incorporate it in their normal training programmes. There will be other colleagues both in the partner organisations and in the wider trade union community who could also be interested in the work of the project. Some of them might be interested in translating or adapting the materials to form the basis of new training modules for their own national or local contexts. In this way what has started as a relatively small-scale project can have much wider impact.

This kind of wider reach is unlikely to be achieved, however, without a clear plan. Some of the activities in the plan are likely to fall outside the period of the project itself (and consequently outside the scope of the project budget). Some, however, will form a vital part of the project activities themselves. If you have followed through all of the points raised in Chapter 3, you will already have begun to give some thought to these issues. Now you need to re-visit them in more detail and begin to develop a clear plan of how the project will ensure that it maximises its impact - a plan for dissemination and exploitation.
Unpacking the jargon

Project management and the European Union often make use of somewhat specialised vocabulary – acronyms, jargon and terminology which may not be easily understood.

Let us look for a moment at the two terms from the chapter heading.

- **Dissemination** is a process of providing information about the work of a project and its results to other key individuals and organisations who could be interested in them. Dissemination activities might include developing a project website, mounting press and media campaigns, organising a conference to promote the results of the project.

- **Exploitation** involves both **mainstreaming** (transferring the successful results of a project to decision-makers in other organisations and to other contexts) and **multiplication** (convincing other individuals or organisations to adopt these results and use them). It concerns the **sustainability** of the project results.

- Dissemination and exploitation are often referred to in an EU context as ‘valorisation’ (i.e. maximising the value that can be obtained from the results of a project). In many funding programmes, the EU places a major emphasis on the quality of the valorisation plan in deciding whether or not to support a project. As funder, the EU has an obligation to ensure that the results of a project are widely publicised and exploited.

Developing a dissemination and exploitation plan

To be successful, dissemination and exploitation need to be built in from the earliest stages of the project and should take the form of carefully planned and targeted actions. They need to form part of a continuing process, with activities occurring at appropriate moments throughout the life-cycle of the project. They should include plans to ensure that the results of the project are accessible and usable after the end of the project period, to achieve maximum impact and sustainability.

What follows are a set of suggestions of points to consider in constructing an appropriate dissemination and exploitation plan:

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You will find a list of some of the main terms and acronyms in the **Glossary**
What key points should the plan cover? Here it could be useful to think about three key areas:

- **Promotion and awareness-raising activities** – these will be aimed at publicising the existence of the project and the importance of the issues it is addressing. These activities are likely to be concentrated during the period of the project’s life-cycle.

- **Dissemination of results** – these activities will be focused on promoting the actual results of the project, including any tangible products (e.g. reports, brochures, DVDs, training materials) and on distributing them. Some of these activities may occur during the lifetime of the project itself, as things are produced. Much, however, is likely to take place in the final stages of the project and/or after the end of the formal project.

- **Exploitation of results** – these activities will be designed to ensure that the results of the project continue to be used after the end of the project. There are likely to be some measures that can be taken during the project period to ensure that this happens but a large part of the activity will happen post-project.

A large part of the plan is likely to focus on communication activities of one kind or another. Think about:

- Who needs to be told about what? Think about the different stakeholders and other audiences. Precisely what information do they need?
- At what stage of the project will this information be available?
- At what stage of the project will it be most effective to release the information?
- What is the most appropriate form of communication for each particular audience? Here are some of the things you might consider, but be aware that particular media may be appropriate for some audiences but not for others. Some will also bring a heavier cost implication than others:
  - Verbal and/or written reports at union meetings
  - Leaflets
  - Project newsletter (printed or electronic)
  - Project web site
  - Visiting cards, branded items with a project image (folders, pens, bags, etc)
  - Press releases
  - Articles in trade union journals & yearbooks/academic journals/newspapers
  - Paid advertising
  - Conferences
  - Facebook, Twitter and other social media
Trade unions are extremely well-placed to transmit information through their various networks, both formal and informal, at local, national and transnational level. Don’t forget to capitalise on this in your plan.

For a larger-scale project, it could be useful to develop an image, a house style for publications and a project logo.

Most dissemination activities principally involve communications outward from the project team to a wider set of audiences. Think also about how these activities could also be used to generate responses, so that you might gain helpful feedback from potential users and might, for example, check that the project results were likely to meet actual user needs.

Activities for the dissemination and exploitation of results should be planned from the outset of the project. There is likely to be scope for awareness-raising and dissemination at every stage of the implementation of the project.

The responsibility for dissemination and exploitation should be shared by all the partners. All should play an active and clearly defined role.

In your dissemination and exploitation plan, ensure that the tasks are described in detail, are clearly allocated to specific partners and include, wherever possible, quantified targets (e.g. numbers of people reached by particular activities or events, number of website hits, number of articles published, number of possible multipliers contacted and outcomes).

Set out clearly how the consortium intends to sustain the results of the project beyond the project period. Could the results be transferred to other sectors, organisational contexts or target groups? If so, are there things that could be done to assist this? Is the product or service designed in such a way that other users can easily access it and take it up? If there is a technical product, are there clear user and technical manuals? If it is a training course, are there tutor notes? Do the products exist in several languages, so that they could be used in different countries?

Are you likely to need additional resources to ensure the sustainability of the project after the end of the project period? If so, where might you be able to find them? Could the partners provide sufficient resources themselves? If not, might there be other sources of grant funding available?

In certain circumstances, a project might produce results that were capable of being exploited commercially – for example, a book or a DVD that might be sold. Project funding from the European Commission would normally allow this possibility, but either the funding contract or a written agreement between project partners should make clear who holds intellectual property rights in the results of the project and who is allowed to do what with materials produced. (Note, too, that any income generated from sales during
the period of the project itself must be used to reduce the grant offered by the European Commission.

In developing your dissemination and exploitation plan, bear in mind that you are aiming to ensure maximum impact and sustainability for the results of your work.

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6 See the section Estimating income in Chapter 4.7.
4.4 The team

We have already mentioned in Chapter 2 the importance of the team element in project work. If the team is working well, it can become a crucible of energy and creativity. It can, though, if it is dysfunctional, be a source of tremendous problems. It is important to recognise that within any team there will inevitably be different perspectives - that is one of its strengths. On the other hand, in transnational projects, differences of language and culture may make working together more difficult. Different people may also have different motives for being in the team. In a sense, each individual may have their own specific ‘project’. One of the skills of managing is to combine those individual ‘projects’ and focus them within a single overall trajectory.

Team roles

Try to identify clearly what roles are needed within the team and what are the specific responsibilities that each team member needs to fulfil. There’s a lot in common here with interviewing for a permanent post. You need to have a clear view of the whole operation and what the project ‘organisation’ needs. Some of the posts and their responsibilities are likely to be apparent immediately. Others, however, may be less clear. Various combinations of skill sets may be possible.

It’s best to start with a clean sheet of paper and think how you would like to break down responsibilities in an ideal world, even though you know you’re unlikely to be able to find people who neatly fit all of these job descriptions. At least then you will have mapped out the main competences needed and you will have a useful schema which you can adapt as necessary. You may even already know colleagues in your own organisation who fit some of the job descriptions and will be able to take part.

Almost inevitably, however, some of the project participants are going to be people you don’t know, who have been assigned by their respective organisations, sometimes without the requisite skill set. Possibilities for negotiation here may be limited and you may just have to find the best way possible of coping with the people you have. You must, though, ensure that somewhere within the team you have sufficient skills and resources to cover all the key points in your original set of job descriptions.

Try as far as possible to construct a team with a balanced workload – that is, not one where one organisation is doing 75% of the work and five or six others have simply ‘walk-on’ roles.
There is often a tendency for the nucleus of a successful project team to stay together for future projects. This can be very helpful as they will know each other’s strengths and weaknesses and should be able to work well together. It is important, though, that they each have a distinct and relevant contribution to make to the new project. This needs to be an effective work group not just a group of friends.

**Transnational projects**

Team problems can arise even within a single organisation but they can become more difficult to resolve in transnational projects involving not one but several partner organisations. Immediately the challenges are multiplied.

We have to ensure that the aims and the working structures of the project are consonant, not just within one organisation but between several. Each individual will be bringing to the project team not simply their own perspectives and aspirations, but also those of their organisation. Each of those organisations is likely to have its own organisational culture - its own way of operating, its own aims and priorities, and its own history. It is important that all the team members - and most particularly the project manager - understand what kind of role the other team members occupy and what kind of organisation they come from. It helps to confront these issues at the Planning and Design stage.

Here are some of the problems frequently encountered in trade union projects:

- People from different organisations come with different degrees of authority - in some cases, individuals are empowered to commit their organisation to particular decisions of the project team; others need constantly to refer back to other parties before any progress can be made, with a consequent impact on the project’s ability to deliver tasks on schedule
- Some organisations may accord the project a very high priority, delegate experienced staff and provide a high level of resources; others may regard it very differently and send staff with little experience of the field
- Some members of project teams may find it impossible to reconcile the work demands of the project with their existing work commitments. Tasks for which they are responsible slip behind schedule. This has a knock-on effect on the work of other partners and on the overall delivery of the project
- In some cases, unions may find it impossible to sustain their involvement throughout a long-term project and, as a consequence, the composition of the project team may need to be changed. This poses another problem for effective team work
- Some unions may want to tackle issues of, for example,
unemployment in a more directly political way than others

Often partners join a project with different aims in view. For example, in one specific training project for young people, one partner wanted to establish educational exchanges, while another wanted to develop a course for trainers. Another wanted to focus on foreign language support for young workers, and a fourth was principally interested in providing re-training and practical assistance in the job market. These differences had not been acknowledged and recognised in the original project proposal.

In some cases, partners may be persuaded to join a project without any clear motivation or any clear view of how their own organisation might benefit from the project. This is likely to mean that commitment is low and that there is no agreement or understanding about how the results of the project can be exploited further.

These are just some examples of the ways in which the aims, structures, priorities and cultures of different partner organisations can interact within a project team. In some cases, it may prove impossible to resolve these tensions and the outcome of the projects is likely to be significantly affected. In others – such as the youth training project mentioned above, which eventually produced a number of sub-projects, each with two partners - effective working solutions may be found. All, however, are situations which might either be avoided or whose impact might be lessened with more careful thought and preparation at the project planning stage.

Language

Another key problem for many transnational projects is the issue of language. It is not uncommon to find that there is no single shared language, spoken by all members of the team. This can become a barrier to effective communication. Again, project teams may forget to plan for this at the outset. Discussions may then move uneasily across several languages, with different partners being excluded from communication at different points. In other instances, English may be chosen as the working language because the majority of the team members have a certain level of competence.

We need to make sure, though, that no one is disadvantaged by this – and simply having one of the other participants offering an impromptu interpretation is not likely to provide a satisfactory solution. It may work reasonably for part of the time, but there are also likely to be moments when concentration slips and also when an initial misunderstanding of the English becomes compounded by a mistranslation into another language.

Our advice is: be clear from the start which will be the working language(s) of the project. Be clear, too, about what the impact of this will be on individual team members. Will they all have the necessary level of linguistic ability - both passive comprehension and active performance? If not, we need to make
Trade Unions and Transnational Projects

Ensure that adequate translation facilities are available for both discussions and written communications.

In some situations, the best option will be to engage professional interpreters; it’s an unfair burden to expect other team members to perform this role under normal circumstances. It is important, though, to plan for this. In addition to the obvious cost implication, additional time will need to be allowed in discussion sessions and in responding to written communications. Even then there may be problems, as the interpreter is may not grasp the rich sub-text of many discussions and may not capture the precise nuance of particular terms and exchanges.

Even more problematic is the frequent need for communication at a distance, whether this is a question of spoken communication by telephone or video-conference link, or written communication by e-mail or letter. In project work, when groups need to plan a joint task, or are involved in a European training course, this is a frequent problem. There are no magic solutions, but there are a number of things that can alleviate the difficulties, many of them on a no-cost basis.

In some situations, it may be appropriate to structure work groups partly on a linguistic basis, whilst still retaining an element of transnationality. In other contexts, individuals may have colleagues within their organisations who are able to speak other languages who may be able to help with simple translations. Equally, projects may find it helpful to make a budgetary provision specifically for some translation assistance with e-mails and letters. It is also often helpful to make use of online multilingual glossaries or even jointly to compile a list of key terms for your individual project. Finally, although they are far from foolproof, online machine translation tools may provide some help with more formal texts.

Culture

We have already mentioned the potential for misunderstandings between different organisational cultures, which might occur in any situation. With transnational projects there are frequently also differences in national culture to be dealt with.

Whilst it is important to avoid the clichés of national stereotyping, it would be foolish not to acknowledge that different national cultures have different

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7 See, for example, the European Commission’s Interactive Terminology for Europe at: http://iate.europa.eu/iatediff/.
8 See, for example, http://translate.google.com/
emphases, different values, different histories, and different ways of doing things. This has an impact on transnational project work at every level – from basic practical matters such as the structure of the working day, expectations about food and mealtimes, and the timing of holiday periods, to more subtle behavioural issues, such as the degree of formality with which partners from different countries approach discussions or the style of written documents.

Equally, trade union organisation and culture differs substantially from one country to another - and not just on the basis on which trade unions are organised (craft-based, politically or religiously-based). Collective bargaining structures differ significantly from country to country. Trade union education, too, occupies a different role within different national cultures and in some countries is more centralised and professionalised than in others.

What is important in managing the situation is to understand the differences and to try wherever possible to capitalise on the strengths of this diversity.
4.5 Project organisation

This chapter is principally concerned with the internal organisation of the project – with key areas of responsibility, with decision-making and internal communications – but you will also find a final sub-section on the place of project work within an organisational structure.

Legal and contractual responsibilities

We should distinguish first of all between the legal and contractual responsibilities of different parties involved in the project and the operational responsibilities – as far as management of the project is concerned - of certain named individuals.

In terms of legal and contractual responsibilities, it is common in EU-funded projects to distinguish between three types of party within the project, although the precise terminology may vary from programme to programme:

- Promoter/Contractor/Lead Beneficiary/Applicant
- Partner/Associated contractor/Co-beneficiary
- Sub-contractor.

In the case of the EWC project, let’s assume it involves your own organisation and two main partners. Another national union will make a particular contribution to the research workpackage. The final evaluation will be handled by an independent consultant.

Promoter/Contractor/Lead Beneficiary/Applicant

It is likely that your own organisation, as initiator of the project, would act as the Promoter or Contractor for the project. In some funding programmes, the applicant organisation may be referred to as the ‘Lead Beneficiary’. As the promoter, your organisation would sign a formal funding contract with the Commission, assuming that your application for support was successful. In doing so, your organisation would be accepting the full legal and financial responsibility for completing the work specified in the application. This is a significant undertaking, so your organisation should make sure to put in place a formal written agreement with the other two major partners, concerning their involvement with the project, as it cannot complete the work alone.
In some cases it might be that all three main partners acted as Joint Contractors or Co-applicants, each being a signatory to the contract and assuming liability jointly and severally for completing the work, though this is not the norm in an EU-funded project.

Partner/Associate Contractor/Co-beneficiary

If, then, the partner organisations did not themselves sign a contract with the Commission, they would need to have a signed partnership agreement, concluded directly with the Promoter / Contractor⁹, the terms of which may need to be approved by the Commission. This agreement would normally specify items such as:

- The work contribution and the financial contribution to be made to the project by each partner, together with any financial support to be received
- Procedures in the case of one or other of the partners defaulting
- Arrangements concerning ownership and exploitation - subject to any terms in the contract with the Commission - of any products or services and of any copyright in any materials produced by the project or in any patents, designs or other intellectual property rights

The application for funding will also need to be accompanied by a letter from each of the partner organisations, committing themselves to participate in the project and, if appropriate, to provide a proportion of the costs of the project.

In some of the Commission’s programmes, partners may be referred to as Associate Contractors or Co-beneficiaries.

Sub-contractor

A Sub-contractor is an individual or organisation that works directly for one or other of the project partners and is paid the full cost of their work. They gain no other benefit from the project, being simply hired to do a specific job. The Sub-contractor is not a partner and may be a commercial undertaking, a university or research institute or even another trade union organisation. The financial regulations for the specific funding programme will set out strict criteria for sub-contracting, relating both to the proportion of the budget that it is permitted to sub-contract and to the procedures for tendering and contracting¹⁰. You are also quite likely to come across other terms to designate organisational roles within a project, including:

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⁹ See Appendix 3 for a sample partnership agreement.

¹⁰ For more on sub-contracting, see the section in Chapter 4.7.
Project Coordinator

One of the partners – normally, but not necessarily, the Promoter or Applicant organisation - would be nominated as Project Coordinator, to act as the link between the various partner organisations and the European Commission. The Coordinator’s responsibilities would include general liaison with the Commission and the submission of all documents, including progress and financial reports and project deliverables. They would also normally be responsible for distributing the appropriate payments from the Commission to other partners.

Affiliated entity

This indicates an organisation that has a specific relation to one of the beneficiaries of the projects. In a trade union context, it might refer, for example, to the affiliated union of a national confederation, or to a training institution with which the trade union has an ongoing working relationship. An Affiliated Entity would normally be required to sign a letter of commitment and to provide documentation showing its legal relationship to the beneficiary organisation.

Associate organisation

Not to be confused with an ‘Associate Contractor’, an Associate Organisation in some funding programmes refers to other organisations that may be participating in a project on a ‘no cost’ basis i.e. none of the costs they might incur are to be included in the budget, nor do they receive any funding from the project resources.

It is important to be clear about which partner organisations are fulfilling which responsibilities and to ensure that the appropriate formal agreements are in place to underpin these relationships.

Managerial roles and responsibilities

So far, we’ve been dealing with the legal and contractual responsibilities of different organisations. Now we need to look at how we can structure the managerial roles and responsibilities within the project.

Project Director

It is important to identify someone as the Project Director, who will take responsibility for the overall leadership of the project. This would normally be someone who had been centrally involved in preparing the project proposal,
who was a member of the Promoter organisation, and who had specialist knowledge of the subject of the project. The Project Director would normally be responsible for direct contact with the Commission.

**Project Manager**

Someone also needs to be responsible for the detailed planning, administration and day-to-day management of the project - a Project Manager. If the Project Director also has these skills, it may be appropriate for these responsibilities to be added to his or her other duties. Alternatively, someone who is essentially a Project Manager may also be able to assume the responsibilities of the Director role. In some cases, however - particularly in the case of larger and more complex projects - it may be advisable to have different people fulfilling each role.

**Partner representative**

It is helpful for each of the partner organisations in the project to designate a Partner Representative, who will act as the principal channel of communication on managerial and resource issues relating to their organisation.

**Workpackage coordinator**

It is also good practice to designate a specific person as being responsible for the detailed organisation and management of particular workpackages, ensuring that they are completed on time and on budget and that deliverables match the specified criteria in the Quality Plan.

It is important to be clear about the managerial roles that individuals are to occupy and to draw up a detailed list of responsibilities for each of them.

**Decision-making structures**

It is also essential to establish how key policy and management decisions concerning the project are to be reached. In most cases, the best solution will involve the establishment of a **Project Management Committee**.

The precise composition of the Project Management Committee (PMC) will vary from project to project, but it should normally include one representative - preferably the Partner Representative - from each of the main partner organisations. Before deciding, however, think carefully about how the PMC will operate. Although it is good for everyone to feel included in making key decisions, consider also that a larger body may find it more difficult to meet at short notice and may find it more difficult to come to a common view. The PMC
needs to be a manageable size and to be an effective decision-making body. The PMC will be chaired by the Project Director and serviced by the Project Manager, who should effectively act as a combination of secretary and chief executive.

It is essential to be clear about the powers of the PMC and whether these are executive or merely advisory. In cases where the full contractual responsibility for the delivery of the project rests with the Promoter, an advisory function may be the most appropriate.

Consideration also needs to be given to the rules of the PMC and how it reaches decisions. The procedures of the PMC should be drawn up as part of the initial planning of the project and should include reference to the frequency of ordinary meetings, circulation of agendas and minutes, procedures for calling extraordinary meetings, for changing details of the project schedule, budget and product specification, and for resolving any major dispute between partners.

Decisions reached at the PMC should be binding on all partners and one of the responsibilities of the Project Manager should be to ensure that they are carried out.

At an early stage, the PMC should also agree what delegated powers of action the Project Director and Project Manager should have to take decisions about issues that arise from the day-to-day management of the project, without having to refer those issues to the Committee.

Although the PMC will be the chief decision-making forum of the project, there will, of course, be a need for other kinds of meeting and other levels of decision-making. Most particularly, there will be a need for task-oriented work group meetings to collaborate on progressing particular areas of work and it is important to ensure that these are kept quite separate from the business of the PMC.

It is important to establish a clear and effective structure of decision-making, spell out the operational rules of all decision-making bodies and make clear the precise scope of executive power held by particular individuals.

**Communication structures**

In addition to careful preparation and planning, one of the other keys to successful project management is close and effective communication within the project team.

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11 See also the section *Managing change* in Chapter 6.
We need to make sure that everyone knows what is required of them, how things are progressing, what new challenges have arisen, what changes are required, when contributions are needed, how reports should be prepared, whose responsibility it is to do what. A lot of this communication is likely to flow from the Project Manager outwards to the rest of the team, but there will also need to be a lot of timely communication between individual partners as they work together on elements of the project plan.

Communication pervades project work at every level - face-to-face conversation in meetings and task groups, telephone conversations, letters, e-mails, faxes, minutes, reports, presentations, seminars, publicity and information leaflets. Some of these exchanges will take place in formal contexts (committee meetings, conferences), others may be informal (casual conversation, social events). Clearly not all of these can be planned, but some - particularly the more formal elements - can.

Meetings

One clear example is the formal meeting. Communication can be improved if there is a clear agenda and if proposals are set out succinctly and circulated in advance. The meeting also needs to be well chaired - focusing discussion on key points, encouraging contributions, but preventing any one party from dominating the proceedings. It is crucial to ensure that clear decisions are reached and that the outcomes and responsibilities for action are clearly minute and circulated to the relevant parties. This may seem too obvious to be stated, but we have all known instances of minutes not being taken, not being circulated until well after the time for action has passed, or not being sent to all the partners.

These are things that can be planned for - indeed, they should figure as tasks within the Project Management workpackage. Checklists can be prepared of dates when key communications are due, who is responsible for preparing them and to whom they should be circulated. To a large extent, we can also define standard categories of information and who will need to receive them.

Means of communication

We can also make some key planning decisions about channels of communication - both who is responsible for communicating with whom about what kind of issue and what medium of communication is most appropriate.

It is likely that in most instances e-mail will form the main means of communication, as it is fast, provides a written record of the message and also allows other documents to be attached.

Then too there is telephone communication. Whilst much of this may be individual to individual, it may also be useful on occasions for small groups to hold
telephone conferences. Any decisions made, however, should be formally noted and circulated to anyone else they may affect.

Video-conferencing is becoming an increasingly realistic proposition for project work, too. Internet-based solutions can now provide reasonable quality sound and vision, with some services offering the possibility to share documents and even computer screens in real time.

There are also a wide range of internet sites offering project communication tools – structured message boards and discussion forums, so that exchanges are easily accessible and not lost in the general welter of an e-mail Inbox. Many of these also offer online repositories for documents, often allowing tracked editing by different team members, project calendars and alerts for approaching deadlines.

All of these can be helpful tools to ensure effective communication within the project team.

Document circulation

Frequently one of the most critical aspects of communication is making sure that a primary exchange of documents between two parties is also seen by anyone else who needs to know. Circulation lists and check boxes can be a great help here.

Often, too, the key person who is missed is the Project Manager - yet it is crucial that s/he knows what is happening, for their responsibility is to monitor progress. If Partner A has a crucial task to perform before reporting to Partner B and the Project Manager does not receive a copy of the communication, then progress is in doubt. The Project Manager should sit at the heart of the communication processes of the project. He or she should be responsible for overseeing the circulation of key information and should receive a copy of all important written communication, together with a note of all key verbal communication which affects the overall progress of the project. Again, e-mail and electronic communication makes this very easy to implement.

At the same time, we need to avoid an overload of information. Most of us have e-mail Inboxes that are overloaded, often with information that we do not need and do not have the time to read. The solution is to think carefully who needs to receive what kind of information, rather than to circulate everything to the whole team by default.

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12 See Appendix 4 and the Resources section for more information on software for use in projects.
Documentation systems

Successful projects depend on a high degree of interaction and exchange of information and are likely, too, to generate a large amount of documentation. One essential requisite of the central administration of the project is a comprehensive and well-ordered filing system.

Another important requisite is a common reference system for identifying documents that is understood and used by all partners. You may decide to code by type of document, by workpackage, by date and originator, or whatever - but it is important that each document - and crucially each draft or version of each document - has a unique identifier, so that there is no space for confusion in communications about particular documents. Alongside all the other responsibilities, the Project Manager needs to be an archivist, ensuring that the collective memory of the project is coherently stored and easily retrievable.

Here, as in many other spheres, modern computer technology has a lot to offer the management of the project documentation. Wordprocessing aids the speedy editing and revision of documents; database systems can help with the storage and retrieval of information; spreadsheets enable the swift modification of financial information. There are also an increasing number of free or inexpensive ‘cloud-based’ storage solutions which make it easy to establish an online archive for all the project documentation.

Just as you will have drawn up a plan for communications with stakeholders and other interested parties, you need to plan the internal communications within the project team.

The place of project work in organisational structures

With these points in mind, it will be helpful to think in a little more detail about the place of project work within the management structures of an organisation and to be aware of potential problem areas.

Every organisation needs to have some way of dividing up work, and with it responsibility and accountability. This is what provides the basic structure of the organisation and how it operates. Without a coherent structure, there will be tasks that don’t get done, information which never reaches its appropriate destination and decisions which are made randomly, if at all. Clearly, structures will vary between different individual organisations, but traditionally most large organisations have had a structure something like this:
It is a pyramid, or hierarchy of different levels, vertically structured into departments of one kind or another. In a trade union organisation, the departments might be, for example, Membership, Regions, Education, Research, International, Communications & PR, Finance. At the top is likely to be a General Secretary with various Deputies or Assistants who form the Secretariat. Whatever the detail, which will vary greatly, it will essentially provide some kind of variant on a line-management model, with vertical lines of authority and with the responsibility for coordination remaining at a fairly senior level within the hierarchy. For a large institution, maintaining a continuing range of activities, this may be perfectly appropriate (though many management experts are now beginning to question this).

A project, however, as we have already seen, has a different profile. It is a specific set of activities, with a limited goal and time-scale, and is essentially dependent on a team of people, who are likely to be drawn from different departments. It will need a different kind of management structure, as it is essentially a work group. The project team is likely to be a much more fluid organism than an organisation - more informal in its relationships and more egalitarian in its structure. Almost certainly it will have a much ‘flatter’ structure i.e. far fewer hierarchical layers, and there will need to be much greater horizontal communication and integration at every level. How then are projects to be fitted into the overall management structure of the organisation?

One solution, which can be applied in a trade union organisation, is to appoint one or more project managers, who sit outside the vertical department structures and whose role is to coordinate the inputs of the various departmental personnel, as shown below:
When it functions well, this so-called ‘matrix’ structure can be very effective. However, as you can see, in coordinating his/her own project each project manager has to rely on the cooperation of the departmental line managers to progress that work, against competition from all the priorities of other work. Each project will inevitably become a small organisation in its own right and take on a life of its own. How is this to be controlled and managed within the larger organisation?

There are no foolproof answers, but here are some good starting points:

- Most importantly, the potential for conflicting priorities needs to be recognised and understood
- There needs to be general agreement about the place the project has in helping the organisation achieve its larger goals. This needs to be understood both by the project team and by senior managers within the organisation
- There needs to be an agreement between the organisation’s senior management and the project manager about the priority which the project is to be accorded within the organisation’s overall plans
- Once these matters have been decided, the project needs to have a ‘champion’, someone who will back the project and who can provide organisational support at a senior level
- There need to be clear understandings about what resources can be committed to the project
- There needs to be an agreed process of decision-making, particularly in relation to any conflicts of interest which may occur
There needs to be a clear and effective structure of communications between the project manager and other key members of the organisation.

Paying attention to these points will help minimise the likelihood of conflicts, as well as providing clear structures for resolving any differences which do arise.
4.6 **Scheduling the project**

How are we going to construct a detailed plan of the time available for the project and how it is to be used - a plan which can also help us cost the project and later act as a guide, as we manage its implementation?

It’s just possible that you’ve already been involved in a similar project and that you have an earlier plan which can act as a reliable model or can even provide a template, only needing a few adjustments here and there. If so, you have a clear advantage. But if this is the first time you’re facing this task, it’s unlikely that you have anything more than an intuitive feel for how long it will take, for instance, to develop and deliver the pilot course in our EWC project. Until you’ve undertaken a much more detailed breakdown, you won’t know whether the project is actually feasible in the 12 months the funding programme allows.

**Identifying workpackages**

To help us organise our project, we need to divide it into manageable and coherent areas of work. We first need to see the basic building blocks and to have an idea of how they all fit together. The work we have done on defining the scope and the objectives will have helped us here – particularly if we focus on the key products or deliverables. There’s one other important area of work we may have forgotten, though - the work of managing the project itself.

If we take our EWC project and break it down into its major constituent elements, we might arrive at something like this:
It’s important to start with this large scale-map. Too often in project planning there is a tendency to get so closely focused on the detail that we lose sight of the overall structure.

Now we’ve distinguished our main areas of work - or workpackages as they are often referred to - it’s helpful to construct a diagram which shows the relationships between them - a logical structure of the key work components of the project.

![Diagram](image)

**Work Breakdown Structure**

When it comes to producing a schedule for the project, we could just take the workpackages we’ve identified and make a simple timetable list of the separate activities that go to make up them each of them.

At first sight this seems fine (though if we list our tasks end to end, the chances are that, when we add up the estimated time involved, we’ll find we’ve no time left to run the course!). What this kind of list doesn’t indicate, however, is that some of these tasks are more complex than others. Nor does it show how the tasks are related to each other. In order for us to progress our scheduling, it will be helpful to do three things:
Let’s go back to our overall plan and number the seven workpackages we’ve identified:

Workpackage 1: Management
Workpackage 2: User needs analysis
Workpackage 3: Pilot course
Workpackage 4: European Works Councils research
Workpackage 5: Materials production
Workpackage 6: Evaluation
Workpackage 7: Dissemination

Note that this structure is not necessarily chronological. It is driven by the need to manage the project and to identify key areas of work within a logical rather than a chronological structure.

Now that we have identified these major building blocks, we need to look at things in more detail: we need to produce a Work Breakdown Structure (also known as a ‘WBS’ or a ‘Task breakdown’). Often this is represented as a hierarchical tree structure with the individual workpackages being broken down into levels of tasks and sub-tasks. Here’s an example for our EWC project, with just a single workpackage, Workpackage 3: Pilot Course, shown in its expanded form:
In Workpackage 3 you will see we have identified 5 major tasks, 3 of which have several sub-tasks. Here they are again in a more linear structure:

<table>
<thead>
<tr>
<th>Task 3.1</th>
<th>Prepare programme</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.1.1</td>
<td>Identify objectives, target group, content, materials</td>
</tr>
<tr>
<td>3.1.2</td>
<td>Construct draft course plan</td>
</tr>
<tr>
<td>3.1.3</td>
<td>Agree final programme</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Task 3.2</th>
<th>Assemble team of tutors</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.2.1</td>
<td>Identify and recruit tutors</td>
</tr>
<tr>
<td>3.2.2</td>
<td>Hold team planning meeting</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Task 3.3</th>
<th>Arrange venue and facilities</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Task 3.4</th>
<th>Advertise and recruit participants</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.4.1</td>
<td>Prepare publicity material</td>
</tr>
<tr>
<td>3.4.2</td>
<td>Distribute publicity material</td>
</tr>
<tr>
<td>3.4.3</td>
<td>Process applications</td>
</tr>
<tr>
<td>3.4.4</td>
<td>Distribute detailed course information</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Task 3.5</th>
<th>Deliver pilot course</th>
</tr>
</thead>
</table>

Of course, we could probably continue and break the sub-tasks down into sub-sub-tasks. This raises the question of what degree of detail (often referred to as ‘granularity’) we need to plan and document. It is difficult to give any universal rule, as much will depend on the nature, scale and duration of the project; however, there are two things that it may be helpful to bear in mind:

- If the tasks are too large and cover too long a time period, it will be difficult to track progress and to manage them
- If, on the other hand, you break the project down into too many small tasks, it will become time-consuming to monitor and is also likely to result in over-management.
Producing a Gantt chart

Let’s assume that we’ve produced a comprehensive Work Breakdown Structure, covering the whole project. This provides us with an analysis of the project at the level of workpackages and tasks, but we have still to order these in a time sequence. For this, we’re going to use a Gantt chart, a fairly straightforward bar chart, named after Henry L Gantt who first devised this system of task representation.

The Gantt chart provides a graphical representation of the project by mapping individual tasks on to the project calendar. It is constructed with a horizontal axis representing the total time span of the project, broken into segments (usually days, weeks, months or quarters), and a vertical axis representing the tasks that make up the project. Each task is represented by a horizontal bar.

This kind of chart is very useful and quite easy to produce. You can draw one on a sheet of paper, but it may be easier to use index cards, a strip board or sheets of coloured sticky paper, so that you can move things around as you work towards a final plan. The Gantt chart above only shows the seven workpackages, though. We really need one which takes account of the whole Work Breakdown Structure, if it is to be a useful tool for planning and management. For this, it will probably easier to use a computerised Gantt chart program that can easily be edited and modified. Depending on its sophistication, the program may also be used to capture other kinds of information, such as task ownership, task dependency, associated documents and in some cases may have in-built team communication functions.

For now, though, let’s again just take Workpackage 3: Pilot Course as an example, and explore what this might look like as a Gantt chart. Let’s assume, too, for the sake of the example, that Workpackage 1: User Needs Analysis is going to take 3 months starting in January, and that we have first to complete that, before we can begin to construct the training programme. For Workpackage 3, we have already identified the major tasks and sub-tasks; here they
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are again below with some suggested times added. Here, we are estimating the duration of the task from start to finish.

<table>
<thead>
<tr>
<th>Task 3.1</th>
<th>Prepare programme</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.1.1</td>
<td>Identify objectives, target group, content, materials  <strong>(3 weeks)</strong></td>
</tr>
<tr>
<td>3.1.2</td>
<td>Construct draft course plan <strong>(3 weeks)</strong></td>
</tr>
<tr>
<td>3.1.3</td>
<td>Agree final programme <strong>(1 week)</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Task 3.2</th>
<th>Assemble team of tutors</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.2.1</td>
<td>Identify and recruit tutors <strong>(6 weeks)</strong></td>
</tr>
<tr>
<td>3.2.2</td>
<td>Hold team planning meeting <strong>(2 days)</strong></td>
</tr>
</tbody>
</table>

| Task 3.3 | Arrange venue and facilities **(4 weeks)** |

<table>
<thead>
<tr>
<th>Task 3.4</th>
<th>Advertise and recruit participants</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.4.1</td>
<td>Prepare publicity material <strong>(2 weeks)</strong></td>
</tr>
<tr>
<td>3.4.2</td>
<td>Distribute publicity material <strong>(8 weeks)</strong></td>
</tr>
<tr>
<td>3.4.3</td>
<td>Process applications <strong>(4 weeks)</strong></td>
</tr>
<tr>
<td>3.4.4</td>
<td>Distribute detailed course information <strong>(4 weeks)</strong></td>
</tr>
</tbody>
</table>

| Task 3.5 | Deliver pilot course **(1 week)** |

As we begin to map out our tasks on the timeline of the Gantt chart, it should become clear that, while some tasks may run in parallel, others are dependent for their start date on certain other tasks already having been completed. The chart below shows this more detailed breakdown for Workpackage 3, with the tasks listed in numerical sequence.
You may have noticed that, although the workpackage still starts in April, it now finishes a month earlier than originally envisaged, enabling you to run the pilot course in September and still have time to evaluate the work and produce a report on the project before the 12-month period is over. We’ve managed to save the time by preparing a more detailed task breakdown, and by thinking carefully about how the individual tasks relate to each other. Let’s look at this in more detail.

While you can’t begin to produce your draft plan (T3.1.2.) before you’ve identified the course objectives (T3.1.1.), you can begin to identify possible tutors (T3.2.1) before you’ve completed planning - in fact, you will almost certainly want them to contribute at least to the final stages of planning the programme (T3.1.3). And alongside this, from the point at which you’ve drawn up an outline plan for the course, you can already begin to arrange a venue and plan the publicity.

In the chart below, which has been produced using a computer Gantt chart program, you can see the whole project, with the detailed tasks for Workpackage 3. This time we’ve traced in the relationships between the tasks, so that it’s possible to see at a glance the logical interconnections. You can also see where there might be any slack time, in case things are running late. For instance, the long horizontal line between producing the final course plan (T3.1.3) and holding the course (T3.5) indicates that it would not be disastrous if the final plan was not available until August. On the other hand, any slippage in the sequence of tasks from arranging the venue (T3.3) to sending information to the selected participants (T3.4.4) could seriously jeopardise the project.
In any project that is tightly scheduled there will be at least one route through a sequence of dependent tasks from start to finish of the project that will have no slack. This is known as the **Critical Path**, because all the tasks in the sequence will need to be completed on time. From a management point of view, you need to know which tasks are the critical ones for the overall schedule.

As well as workpackages and tasks, it is useful to add **milestones** to your Gantt charts to mark key events in the progression of the project, for example, the date for completion of a publication or submission of a major report. This makes tracking progress easier. A milestone differs from a task in being a single event with zero duration. On a Gantt chart, milestones are normally represented by a diamond or inverted triangle.
On large-scale projects, the sets of task dependencies can become complex and confusing. There are other forms of diagrammatic representation that can be helpful, particularly in these circumstances, including a PERT (Program Evaluation Review Technique) chart – sometimes known as a Network Diagram.

For small-scale projects, you may find it sufficient just to use pen and paper or a wall-planner. However, even here computer programs can still be very useful, making it easy to change details and see their impact on the overall schedule. Some of the more sophisticated programs will also highlight scheduling problems, track progress and recalculate to show the impact of overdue tasks.

You will need to work through the whole project, workpackage by workpackage, breaking it down into individual tasks, estimating their duration and noting their interrelationships, before you can complete your schedule. You’ll then need to consider:

- Whether there are tasks you can schedule more economically by overlapping certain activities
- Whether you can shorten the duration of any of your tasks
- Whether your time allocation can be extended.

**Elapsed time and labour time**

Let’s assume that we’ve successfully broken down the whole project and that we’ve fitted the individual tasks together in a way that seems to work logically and that meets our desired time span. The schedule of our project is complete, but there is another set of considerations we need to bear in mind as well. So far we have been considering simply the tasks which need to be done and the time they are likely to require from start to finish - the ‘task duration’ or the ‘elapsed time’, in planning language.

We need also to consider precisely how much labour time is required for each task and who is to provide it. This is crucial, since the elapsed time and the labour time - generally quantified in person-days or person-months - may bear no relation to each other.

For example, in our plan **Task 3.4.2: Distribute publicity material** is scheduled as requiring an elapsed time of eight weeks. During that time we can assume that there may be a mailshot to various target groups and that advertisements may be appearing in union journals and newsletters, but the actual labour from the project team may only amount to a week of one person’s time, or five person-days. Conversely, although the tutors’ meeting (Task 3.2.2) only takes two calendar days, it may involve three people and represent six person-days.

We need to have this very much in mind when we think about the effort we will be asking individual members of the team to contribute.
Allocating resources

This consideration of the staffing resources allocated to specific tasks is crucial for a number of reasons:

- It will allow you to fine-tune your schedule
- In some situations, if time is pressing, it may be worth considering if a task can be accomplished more quickly by applying more people
- It is important for partner organisations to know precisely who will be required to undertake what task when - and for everyone to be confident that the right people will be available at the right time.

This last point is particularly important in complex projects with several tasks taking place at the same time, or in organisations with various projects running in parallel. In these situations, it’s often easy to overlook that fact that you’ve committed the same person to two different tasks at the same time. This is another area where project management software can be very helpful in pointing out and helping resolve conflicts of this kind.

As you work through the project, task by task, allocating individual tasks to specific members of the team, it’s also useful, alongside the detail on human resource requirements, to make a brief note of any other resources that a particular task will need - materials, equipment, travel and transport, bought-in services from a sub-contractor and so on. Some tasks will also result in a material product - a report, a training course, a handbook, a web site or whatever. These are normally referred to as **products** or **deliverables**. It is also useful to note any such products at this stage, so that you have a set of handy reference sheets with summary information on each task. What you include will obviously differ according to the nature of the task, but Figure 5.6 provides an example based on **Task 3.5: Deliver course**. You will find your notes on Task Resources very helpful when you come to budget your project.

We’ll assume that the EWC project is being led by a UK trade union (UK), with partners from Germany (DE) and Portugal (PT) also involved in delivering the course. Here’s what the Task Resources sheet might look like:
Task Resources
Workpackage No: 3
Task No: 3.5
Task Name: Deliver Course

<table>
<thead>
<tr>
<th>Staff</th>
<th>3 tutors, 1 from each partner organisation, 5 days for course + 1 day preparation Hosted by UK partner</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sub-contracted staff</td>
<td>4 experts (2 from UK, 1 each from other partner countries) Interpreters – 2 per language x 5 days</td>
</tr>
<tr>
<td>Travel</td>
<td>UK partner 1 tutor, 9 participants, 2 experts – all train DE partner 1 tutor, 8 participants, 1 expert – air fares PT partner 1 tutor, 8 participants, 1 expert – air fares</td>
</tr>
<tr>
<td>Accommodation/subsistence</td>
<td>UK partner 1 tutor x 6 days, 9 participants x 5 days, 2 experts x 1 day DE partner 1 tutor x 6 days, 8 participants x 5 days, 1 expert x 1 day PT partner 1 tutor x 6 days, 8 participants x 5 days, 1 expert x 1 day</td>
</tr>
<tr>
<td>Documentation</td>
<td>25 pages – original in English, translation to DE and PT</td>
</tr>
<tr>
<td>Rooms</td>
<td>3 rooms x 5 days</td>
</tr>
<tr>
<td>Equipment</td>
<td>Interpreter booths, headphones, etc – 5 days Computer and video projector – 5 days</td>
</tr>
</tbody>
</table>

Products: 5 day course
Course report

You will, of course, need to consult partners and involve them in this planning process. You will need to make sure that everyone agrees to the estimates concerning their own contribution to the project and has had a hand in preparing them.

When you have completed the schedule and resource allocations and are satisfied with them, you will be in a position to move on and produce a detailed budget for the project.
4.7 Budgeting the project

Calculating the budget is an important task. The more detailed the work you have undertaken on writing the project description and preparing the work breakdown, the easier you will find it to prepare an accurate budget.

If you are not experienced in preparing budgets, you may be tempted to panic at the prospect of having to prepare a financial plan for the project. Stay calm! Budgeting is a simple and straightforward procedure, if you’ve done the basic preparation work in specifying the objectives, describing the products or deliverables, scheduling the project and identifying the human and other resources needed. Of course, you also need to understand the basic financial conditions attaching to any funding you will receive. Budgeting can be time-consuming, but it’s not intrinsically difficult.

Remember that a budget can only ever be an estimate; actual costs will almost certainly vary. However, the more care you put into constructing the budget, the better the estimate is likely to be. You will also be able to present a more detailed and robust justification for your figures. If the project is approved, you will then have a valuable tool to help you monitor and control the finances of the project.

European Commission grants

A budget contains an estimate of both the cost of the project and the income streams that are going to finance these costs. The expenditure and the income sides of the budget need to balance exactly. You should also be aware that, in operating its programmes of grant funding, the European Commission needs to ensure that no profits accrue to any of the project organisations.

The European Commission has different forms of funding:

- Some activities in certain funding programmes may be offered a **flat-rate** or **fixed sum** grant – a common specified amount of money, irrespective of the actual cost of the project. In this case, you will not need to submit a detailed budget with your application; you will, though, still need to prepare a budget to allow you to manage the project effectively. You need to be confident that you will have sufficient to cover the real costs of the project.
- In other cases, particularly for exchanges and visits, the grant may be calculated according to a **fixed scale of unit contributions** (for example, x days at y rate). Again, a detailed estimate of the cost will be essential for you to know the project is viable.
In many cases, however, grants will be calculated as a fixed percentage of the actual costs of the project. Here it will be essential to submit a detailed budget as part of the application and to demonstrate how you will fund the remaining percentage of the project costs.

Our EWC project will almost certainly fall into this latter category. The European Commission funding will only cover a proportion of the costs of our project, with the balance needing to be provided by partners’ contributions or from other sources.

The first two types of funding are becoming increasingly common and look very straightforward. Certainly, the work involved in completing the financial parts of the application form is likely to be easier (and there is less administrative load on Commission staff!). However, as project manager, you still need to work through exactly the same detailed process as you would do for a fixed percentage grant in order to produce a comprehensive, fully-costed budget that will help you manage the project.

**European Commission budget forms**

Before you start to work on the budget for your project, you need to read carefully the application pack for the funding programme you are applying to and, in particular, you need to study the budget form you will need to complete. This will differ from programme to programme, although there is increasing standardisation of cost types and budget categories across the Commission. We will look here at a typical budget structure which should provide you with a good idea of what to expect, even though you may encounter some variations.

**Direct Eligible Costs**

Many Commission budgets will make an initial distinction between Direct Eligible Costs (D) and Indirect Eligible Costs (I). The Direct Eligible Costs will then be broken down into different major categories, such as:

- Staff costs (D1)
- Travel and subsistence costs (D2)
- Services/Activities costs (D3)
- Administration costs (D4).

The costs must be:

- Reasonable and represent value for money
- Based on real costs, not a notional fixed price
- Essential to carry out the project
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- Incurred only during the period of the project contract (with the possible exception of costs involved in producing a final audit and report)
- Related to activities involving the eligible countries specified in the Call for Proposals
- Actually incurred by the beneficiary organisation and recorded in its accounts in accordance with the standard accounting principles of its country and declared in accordance with the applicable tax and social legislation
- Clearly identifiable and recorded, normally in a dual entry, computerised accounting system. (A separate project bank account is often required and is in any case recommended for projects of any size.)
- Supported by appropriate documents, including staff time sheets, invoices and receipts, travel tickets and signed attendance sheets for courses and conferences.

Indirect Eligible Costs

Indirect Eligible Costs (I) are the other costs which an organisation incurs in servicing its activities within the project and which it is difficult to quantify accurately, such as heating, lighting, office accommodation, phone costs, postage and photocopying, often referred to as ‘overhead costs’.

Income

The Total Eligible Costs (D+I) then need to balance the Total Income, which is made up of:

- The partners’ financial contribution (C)
- Any revenue generated by the project itself (R)
- The Commission grant requested (S).

Non-eligible costs

The following are considered ineligible costs and should not be present in the budget:

- Debt and debt service charges
- Return on capital
- Provisions for losses or potential future liabilities
- Interest owed
- Doubtful debts
- Exchange losses
- Costs covered by another action or work programme receiving a European Commission grant
Excessive or reckless expenditure
- Purchase of capital assets, including the cost of any buy-out option at the end of a lease or rental period
- Costs of opening and operating bank accounts
- Costs associated with the preparation of the application to the funding programme, including costs incurred in relation to any document required to be submitted with the application (audit reports, etc.).

Producing the budget

Most of the Commission budget forms are presented as electronic spreadsheets (normally in Microsoft Excel format). Even if the required submission format is paper-based, rather than electronic, you will still find it much easier to use a spreadsheet program to prepare your budget. It will make the process of calculation - and, most particularly, any subsequent reviews and amendments - much simpler, speedier and more reliable.

It is important to remember, though, what we said at the start of this chapter about not just relying on the information asked for in the application forms. This is emphatically the case when we are dealing with budgeting. As well as a successful application, you will need a detailed budget that allows you to manage the project.

The Commission application pack will require you to present figures in a particular form. It may ask you simply to present total figures for each of the principal cost categories, with some more detailed listing of sub-categories. It may on the other hand also ask you to present figures sub-totalled by workpackage, or even by task. It may also require you to present figures analysing individual partners’ costs and contributions. Whether or not these different and more detailed presentations are required by the Commission, you will almost certainly need to produce them for your own purposes, so that you have effective targets against which to monitor costs and also to manage individual partner contributions. This again is where a spreadsheet package will help.

Start by producing as full and detailed a budget as you can, but also have in mind how you can easily reformat this to provide information for the application forms.

Now let’s work through budgeting part of our EWC project in detail.

Estimating Direct Eligible Costs

Whatever the final form of presentation required, the easiest way to approach a budget is by producing a costing on a workpackage and task basis first. In scheduling, we broke the project down into progressively smaller activities; in
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preparing the budget, we need to retrace our steps, working up from task cost to workpackage cost and finally to the overall project cost.

The illustration below shows an itemised costing of Task 3.5: Deliver course, based on the information from the Task Resources sheet in the previous chapter. It includes a column indicating the partner organisation responsible for the particular cost, as well as a column indicating the type of cost (D1 – D4: staffing, travel, etc) referred to above. It also shows in each case the unit cost, the number of units and the total.

<table>
<thead>
<tr>
<th>WP</th>
<th>Task</th>
<th>Cost type</th>
<th>Partner</th>
<th>Description</th>
<th>Unit type</th>
<th>Unit cost</th>
<th>No units</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>3</td>
<td>3, 5</td>
<td>D1</td>
<td>UK</td>
<td>Tutor</td>
<td>Day</td>
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<td>Travel</td>
<td>Train</td>
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<td>1 500</td>
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<td>Equipment hire</td>
<td>Day</td>
<td>500</td>
<td>5</td>
<td>2 500</td>
</tr>
</tbody>
</table>

When we’ve worked through all of the tasks, listing all of the Direct Eligible Costs in this way, we can use the functions of the spreadsheet to present them in a variety of different ways, according to the Commission’s and our own requirements. For example, if we need to present estimated totals of staff costs, travel and subsistence costs, etc, we can use the in-built functions of our spreadsheet program to do so. We would make a new Copy of the sheet, then Sort the data by Cost Type (Column 3 of our sheet) and tell the program to insert a Sub-total after every change in Cost Type. This would produce the following:
Managing Projects

<table>
<thead>
<tr>
<th>WP</th>
<th>Task</th>
<th>Cost type</th>
<th>Partner</th>
<th>Description</th>
<th>Unit type</th>
<th>Unit cost</th>
<th>No units</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>3</td>
<td>3,5</td>
<td>D1</td>
<td>UK</td>
<td>Tutor</td>
<td>Day</td>
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<td>Tutor</td>
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<td>Tutor</td>
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<td><strong>3 630</strong></td>
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<tr>
<td>3</td>
<td>3,5</td>
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<td>Travel</td>
<td>Train</td>
<td>125</td>
<td>12</td>
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<td>Travel</td>
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<td>2 500</td>
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<td>Travel</td>
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<td>47</td>
<td>7 050</td>
</tr>
<tr>
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<td>3,5</td>
<td>D2</td>
<td>PT</td>
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<td></td>
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<td><strong>2 Total</strong></td>
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<td>1 000</td>
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<td>D3</td>
<td>UK</td>
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</tr>
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<td><strong>21 650</strong></td>
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<tr>
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<td>D4</td>
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<td>D4</td>
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<tr>
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<td></td>
<td></td>
<td></td>
<td><strong>Grand Total</strong></td>
<td></td>
<td></td>
<td></td>
<td><strong>58 330</strong></td>
</tr>
</tbody>
</table>

The basic information remains the same; we are simply changing the presentation.
Alternatively, we could use the same procedure to sort and sub-total the figures - this time by partner organisation:

<table>
<thead>
<tr>
<th>WP</th>
<th>Task</th>
<th>Cost type</th>
<th>Partner</th>
<th>Description</th>
<th>Unit type</th>
<th>Unit cost</th>
<th>No units</th>
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</tr>
</thead>
<tbody>
<tr>
<td>3</td>
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<td>D1</td>
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<td>Tutor</td>
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<td>6</td>
<td>1 350</td>
</tr>
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</tr>
<tr>
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<td>3,5</td>
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</tr>
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<td>Expert</td>
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<td>500</td>
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<td>500</td>
</tr>
<tr>
<td></td>
<td>DE Total</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td>11 400</td>
</tr>
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<td>D1</td>
<td>PT</td>
<td>Tutor</td>
<td>Day</td>
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<td>1 080</td>
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<td>500</td>
</tr>
<tr>
<td></td>
<td>PT Total</td>
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<tr>
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<td>UK</td>
<td>Travel</td>
<td>Train</td>
<td>125</td>
<td>12</td>
<td>1 500</td>
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<td>3</td>
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<tr>
<td>3</td>
<td>3,5</td>
<td>D3</td>
<td>UK</td>
<td>Interpreters</td>
<td>Day</td>
<td>650</td>
<td>30</td>
<td>19 500</td>
</tr>
<tr>
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<td>3,5</td>
<td>D3</td>
<td>UK</td>
<td>Translation</td>
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</tr>
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<td>3,5</td>
<td>D4</td>
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<td>2 000</td>
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<tr>
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<td>3,5</td>
<td>D4</td>
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<td>Equipment</td>
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<td>2 500</td>
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<tr>
<td></td>
<td>UK Total</td>
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<td></td>
<td></td>
<td></td>
<td>35 800</td>
</tr>
</tbody>
</table>

Manipulating the figures in this way, using the **Copy**, **Sort** and **Sub-total** functions of the spreadsheet program and re-positioning or hiding particular columns, we can convert them into the format required for entry into the Commission budget form, whilst still retaining our original workpackage by workpackage breakdown.

**EU finance rules**

Now let’s look in more detail at each of the main categories of Direct Costs and the main financial regulations affecting each.

**Staffing costs (D1)**

This category of cost refers only to those members of staff working on the project who are actually **employed** by your own organisation or by one of your partners. Any staff who are hired in will normally need to be treated as
sub-contracted staff and included either in a category such as our D3 (Services/Activities) or in a separate Sub-contracts section if there is one in the application form. However, staff from affiliated organisations or temporary staff recruited through a specialised external agency can often be treated as if they were employees of the relevant partner organisation; this is frequently the case in trade union projects where, for instance, a national confederation can consider employees of its affiliates as if they were its own staff members.

Budgets will normally require you to calculate staff costs in numbers of days worked. To calculate the costs for a particular member of staff, you need to know the gross annual salary cost paid to the member of staff, plus the employer’s contribution to social costs (including pensions), but excluding any other bonus payments or allowances. To calculate a daily rate, you will also need to take into account the number of annual leave days and the number of public holidays in the relevant organisation and country.

So, for example, assuming our staff member works 5 days per week, this would give us a potential 260 working days in a year, from which we need to subtract the number of leave days and public holidays. For example:

\[
\begin{align*}
260 \text{ potential work days} \\
- 25 \text{ leave days} \\
- 10 \text{ public holidays} \\
225 \text{ actual working days}
\end{align*}
\]

We then need to divide our annual figure by the number of actual working days. So if our staff member had an annual cost of €27,000, the daily rate would be \(\frac{27,000}{225} = €120\) per day.

In preparing your budget, you should obtain actual costs wherever possible. However, if there are difficulties – for example, if you are not yet sure who the individual is who will be undertaking a particular task - it is acceptable to enter an average cost for a particular grade of staff. Remember, though, that when you come to report the costs for the project, you will need to report actual salaries and social costs, rather than estimates.

Note, too, that many funding programmes will impose maximum salary levels for specific grades of staff, above which it is not possible to claim reimbursement from project funds. These levels will vary from country to country and will be specified in the application documents from the Commission. The application of the various staff rates is determined by the country in which the partner organisation is registered, irrespective of where particular activities may take place.

Remember, too, that all or part of the staffing costs of a partner organisation (as well as any sub-contracted costs) can be counted as a ‘cash contribution’ for co-financing purposes, as long as they can be verified and are not recouped from the Community grant. (See Partners’ financial contribution below).
Travel and subsistence costs (D2)

Include under this code the cost of all travel associated with the project. Estimate, too, the price of any hotel or training centre accommodation and include the cost of any living expenses and meals. The application guidelines are likely to set limits on the modes and costs of transport allowable and to determine different maximum daily amounts for subsistence and accommodation in the various Member States.

- Reimbursement of travel costs is normally based on the actual costs incurred and should include all associated costs, including visas and insurance. Journeys should make use of the most direct and economical means of travel, taking advantage of any reduced fares, and may include:
  - **Air**: air travel is usually only acceptable for journeys over 400 km each way and at economy rates (with a justification, if it is not possible to meet these criteria).
  - **Rail**: first-class fare is allowed.
  - **Car**: reimbursement is at the equivalent of a first-class rail fare for the same journey or in some cases at a rate of €0.22 per km.
  - **Hire car or taxi**: is normally acceptable only if the need is unavoidable and if the cost is not excessive in comparison with other means of transport.

- Costs of any local travel, once the point of principal destination has been reached, should not be included as part of Travel Costs. These costs are intended to be covered by subsistence allowances.

- Reimbursement of subsistence allowances, to cover accommodation, meals and local travel, is based on the internal rules of the partner organisations, which may be on actual costs (i.e. reimbursement of receipts) or on the basis of a daily allowance. In either case, the partner organisation will need to provide proof of attendance. The daily cost must also not exceed the maximum daily subsistence rate allowed for the country in which the costs are actually incurred. A pro-rata reduction must be applied for periods of less than a full day. The specific national rates will be set out in the application documents.

Services/Activities (D3)

This category will include most of the costs relating to the principal activities of the project. The detail will obviously vary according to the specific focus and nature of the project but is likely to include some of the following:

- **External experts, consultants and trainers**: these are people who are not employees of one of the partner organisations and who will consequently be regarded as sub-contracted. The Commission
has strict rules on the use of sub-contracts, which are set out at the end of this section on Direct Costs.

- **Publications**: this should normally include everything other than photocopied documents, which are treated as part of the indirect or overhead cost. The costs for publications should include design, layout and artwork and should specify the number of pages and number of copies to be produced. These costs may also require tenders and sub-contracts, unless the publications can be produced in-house.

- **Translation costs**: calculate the number of pages, the number of languages and the rate per page. This is likely to require a sub-contract and a tendering process, depending on the sums involved.

- **Interpreters**: you are required to hire these locally, wherever possible. Many Commission programmes currently have a maximum daily rate per interpreter of €700 (including VAT), which must include any travel and subsistence costs for the interpreter.

**Administration (D4)**

This category normally covers all other costs associated with administering the project, with the exception of overhead costs. In many programmes it will include:

- **Equipment costs**: including, for example, rental of interpreting booths, microphones and headsets, computers and video projectors and the equipment costs of establishing a web site. Normally, capital purchase costs are not allowed. Partners may either rent equipment or claim a depreciation charge for any equipment that they have purchased. Normally, equipment costs (including allowances for depreciation) may not form more than 10% of the total direct costs of the project. Equipment relating to the administration of the project (e.g. office computers) rather than to the central substantive activities, together with any equipment purchased before the start of the project, is considered as an indirect cost and therefore not directly chargeable as an equipment cost.

- **Depreciation charges**: these effectively are notional allowances for the use of equipment that is purchased or owned. However, only the portion of the equipment’s depreciation corresponding to the period and usage of the equipment within the project may be included. As a rule, depreciation rates used must be those generally accepted in the country concerned. If, for example, depreciation on a certain type of equipment is normally calculated over a 4-year period, then an item of equipment costing €1,000 will depreciate at 25% per annum or €250 per year. If the equipment were to be used within the project during a six month period only, then the amount allowable would be €250 x 50% i.e. €125.
- **Room hire:** this includes rental charges for rooms used for seminars and conferences, as well as rental of temporary offices. Charging for provision of accommodation owned by partner organisations themselves is not allowed.

- **Finance and insurance costs:** in the case of larger scale projects, the Commission may require a financial guarantee from a bank as security over any project funding advanced.

- **Audit costs:** again with larger scale projects, the Commission may require that the project cost reports are audited by an independent accredited auditor, before they are submitted to the Commission. This is quite distinct from any audit which the Commission itself may undertake.

### Sub-contracted costs

As noted above, the Commission has strict rules on the use of subcontractors. Sub-contracting is normally allowable where your own and partner organisations do not have the necessary expertise or resources to carry out particular activities or to provide specific services. However, there is a need to justify all sub-contracting and the total sub-contracting should not normally exceed 30% of the total project budget.

Specialist services that are engaged to carry out a part of the project must be the subject of **procurement contracts** and in many circumstances of formal tender processes. This includes services provided by self-employed individuals, such as consultants or experts who are not employees of one of the members of the consortium, as well as services provided by private or public enterprises, including translation, interpretation and printing. The management and general administration of the project may not be subcontracted.

In an attempt to ensure value for money, the Commission requires various procurement procedures to be followed for sub-contracts, according to the sums involved:

- For contracts worth less than €12,500, it is permissible to choose any contractor and pay simply on presentation of an invoice
- For contracts worth between €12,500 and €25,000, there must be a restricted invitation to tender involving at least three potential suppliers
- For contracts worth between €25,000 and €60,000, a restricted invitation to tender must be organised with a list of at least five suppliers, chosen by virtue of their special qualifications
- For contracts in excess of €60,000, national rules on procurement should be applied.

These regulations are subject to change and it is advisable to check the Call documentation very carefully.
Indirect Eligible Costs (I)

These are general overhead costs, related to work on the project, including:

- All equipment used in administering the project (phones, PCs, etc)
- Stationery and photocopying
- Mail, telephone and fax costs
- Data processing
- Heating, lighting and any other necessary general expenditure.

Many programmes allow a budget allocation of up to 7% of the Direct Eligible Costs for these elements and normally do not require detailed documentation to support claims for these.

Dealing with VAT and currencies

Generally, costs should be entered net of VAT. However, if an organisation is not VAT registered and is unable to reclaim input VAT (which is the case with many trade union organisations) then the total cost of items, including any VAT, should be entered and reclaimed.

Unless stated otherwise in the application documentation, all costs should be shown in Euros. The Commission publishes monthly conversion rates for national currencies, which should be used for budgeting and reporting purposes, at: http://ec.europa.eu/budget/contracts_grants/info_contracts/inforeuro/inforeuro_en.cfm.

Estimating income

Once you have an idea of the likely cost of the whole project, you will need to consider how the cost is to be financed. Of course, you are hoping to find some of this in the form of support from the European Commission, but it is very unlikely that the full cost of the project can be met from this source.

The majority of European Commission projects are supported on a shared cost basis, with each programme normally contributing a percentage of the cost up to a stated maximum sum. The percentage will vary from programme to programme. Commission support ranges from 33% in some cases to 75% or even 90% in others, although occasionally some actions, such as dissemination activities, may be financed 100%. In most cases, though, you and your partners will need to find a significant proportion of the total cost yourselves.
Partners’ financial contribution (C)

The Commission’s funding regulations do not allow ‘in kind’ contributions. This means that making available free of charge to the project such items as accommodation or equipment owned by a partner organisation cannot be counted as a partner contribution to the budget. Instead, partners’ financial contributions must be ‘cash’ contributions. This is defined as ‘a financial flow that can be traced in the written accounts of the promoter, the partners or third parties’.

The cash contribution could take the form of a financial deposit into the project bank account. Most trade unions, however, make their cash contribution in the form of the staffing costs of people employed by partner organisations (and others, in certain circumstances – see the earlier section on Staffing Costs). If these are detailed in the project budget as costs and are not wholly recouped from the project grant, then the element that is not reimbursed is counted as a cash contribution. These staffing costs must, however, be supported by time sheets and salary documents. Equally, if a third party contributes the cost of equipment or rooms, this is acceptable, as long as they have incurred a real additional cost and can provide the documentation to support it. What is crucial in each case is that:

- A real cost must be incurred
- There must be appropriate documentation in the form of invoices, receipts, travel tickets, time sheets or bank statements
- These must be recorded in the formal accounting systems of the partner organisations.

Revenue generated by the project (R)

Any revenue generated by the project must be used to reduce the Commission contribution. This includes, for instance, registration fees from courses and conferences, income from the sale of publications or CD-ROMs and any bank interest earned on monies advanced by the Commission. The partner organisations must not be seen to profit in financial terms from the EU grant.

Commission grant requested (S)

The balance left will be the amount of money you are requesting as a subsidy from the Commission. Make sure, however, that it falls within the parameters allowable within the specific Call.

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13 For an example of a staff time sheet, please see the Supporting documents section of Chapter 6
Iteration in budgeting

Almost inevitably, you will find that your first budget needs to be revised to meet your potential income sources. You will need to review it thoroughly, considering whether all of the elements are essential to the project, and whether any tasks can be accomplished more cheaply or more quickly than you had originally thought. Remember, too, that some of the changes you make here may have implications for the schedule and will need to be reflected in revisions to the WBS and Gantt chart.

In making these changes, you will also need to think carefully about their implications not simply for Time but also for Quality. Can they still deliver the objectives you have established for the project?

You should also be prepared for the situation where the Commission support available in practice is less than the maximum amount advertised or less than the amount you have requested. This situation is not uncommon as the Commission seeks to spread its fixed resources across an ever-larger number of projects. What other sources might you look to?

- Perhaps it may be possible for individual partners to gain support from one or more public or private sector funds in individual Member States. This could be a good thing to think about anyway, as it can demonstrate that your proposal is not reliant simply on your organisation and the Commission. The financial burden and the risk are being shared. Make sure, however, that if these are public sector funds, they are not funds that have been supplied to your national government via another European Union grant.
- In certain cases, it may be worth considering whether some element of the project may be eligible for support under a different Commission programme. You need to be very careful about this, as in many instances this possibility is specifically excluded. In some cases, though, this kind of synergy between complementary projects is encouraged, as long as there are no elements of overlapping or double funding, but you would clearly need to remove the appropriate elements from this proposal and submit them as a separate application.

Cashflow

The final element of our financial calculation is basically a mapping of income and expenditure against time.

Our budget has provided us with a view of the total cost of the project and we have also established where the income from the project is to be found. We may find ourselves in some difficulty, however, if 75% of the costs are incurred
in the first three months of the project and 75% of the income is not available until two months after the project is completed.

This may seem extreme but, in fact, is not impossible, as most Commission programmes hold back a significant proportion of funding until some time after completion of the project. Even then, payments are often not made as promptly as the original contract might suggest. The partner organisations will then need to be in a position themselves to bear the major part of the project costs during the period of the project itself, until the remainder of the income is released. If the sums of money involved are relatively small, this may not put a real strain on an organisation’s overall resources. Even so, it is important for everyone to understand precisely what kind of financial commitment is being required of them at what stage. To see that, we need to prepare a cashflow forecast.

On the cost side, we can see from our Gantt chart what tasks are due to take place when. Relating this to the cost information in our Task Resources sheets and our budget, we can then prepare a month-by-month schedule of the costs which the project is likely to incur. In a similar way, we can take the information we have about our income sources and map that, too, on a month-by-month basis. The difference between income and expenditure each month will need to be borne by the partner organisations, who will each need to consider what arrangements they need to make - for example, in extreme cases, a bank loan to cover the temporary deficit.

The spreadsheet on the next page shows a simple cashflow forecast form. It will probably be most helpful to prepare a separate form for each partner organisation, as well as a forecast for the project overall. Again, a spreadsheet program is the best tool to use to prepare this.
<table>
<thead>
<tr>
<th>EXPENDITURE</th>
<th>Month 1</th>
<th>Month 2</th>
<th>Month 3</th>
<th>Month 4</th>
<th>Month 5</th>
<th>Month 6</th>
<th>Month 7</th>
<th>Month 8</th>
<th>Month 9</th>
<th>Month 10</th>
<th>Month 11</th>
<th>Month 12</th>
<th>Month 13</th>
<th>Month 14</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staff costs</td>
<td>3,000</td>
<td>3,000</td>
<td>5,000</td>
<td>6,500</td>
<td>7,000</td>
<td>7,500</td>
<td>2,000</td>
<td>2,000</td>
<td>2,000</td>
<td>6,000</td>
<td>2,500</td>
<td>2,000</td>
<td>3,000</td>
<td></td>
<td>49,500</td>
</tr>
<tr>
<td>Travel/Subsistence</td>
<td>2,500</td>
<td>2,500</td>
<td></td>
<td>3,000</td>
<td></td>
<td></td>
<td></td>
<td>28,550</td>
<td></td>
<td>2,500</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>39,050</td>
</tr>
<tr>
<td>Services/Activities</td>
<td></td>
<td></td>
<td></td>
<td>2,000</td>
<td>2,000</td>
<td>2,000</td>
<td></td>
<td>21,650</td>
<td></td>
<td>2,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>29,650</td>
</tr>
<tr>
<td>Administration</td>
<td>500</td>
<td>500</td>
<td></td>
<td>500</td>
<td></td>
<td></td>
<td></td>
<td>4,500</td>
<td></td>
<td>1,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>7,000</td>
</tr>
<tr>
<td>Indirect costs</td>
<td>390</td>
<td>390</td>
<td>325</td>
<td>423</td>
<td>455</td>
<td>845</td>
<td>260</td>
<td>260</td>
<td>3,946</td>
<td>163</td>
<td>130</td>
<td>553</td>
<td></td>
<td></td>
<td>8,138</td>
</tr>
<tr>
<td>Total</td>
<td>6,390</td>
<td>6,390</td>
<td>5,325</td>
<td>6,923</td>
<td>7,455</td>
<td>13,845</td>
<td>4,260</td>
<td>4,260</td>
<td>64,646</td>
<td>2,663</td>
<td>2,130</td>
<td>9,053</td>
<td>0</td>
<td>0</td>
<td>133,338</td>
</tr>
</tbody>
</table>

| INCOME               |         |         |         |         |         |         |         |         |         |          |          |          |          |          |        |
| Partner contributions| 1,598   | 1,598   | 1,331   | 1,731   | 1,864   | 3,461   | 1,065   | 1,065   | 16,161  | 666       | 533      | 2,263    |          |          | 33,335 |
| Revenue generated    |         |         |         |         |         |         |         |         |         | 5,000     |          |          |          |          |          | 5,000  |
| Commission contribution| 38,001 |          |         |         |         |         |         |         | 28,501  | 0         |          |          |          |          | 95,004 |
| Total                | 1,598   | 39,599  | 1,331   | 1,731   | 1,864   | 3,461   | 1,065   | 1,065   | 21,161  | 29,167    | 533      | 2,263    | 0        |          | 133,338|

| Month Balance        | -4,793  | 33,209  | -3,994  | -5,192  | -5,591  | -10,384 | -3,195  | -3,195  | -43,484 | 26,504    | -1,598   | -6,789   | 0        | 28,501  |
Most of the form is self-explanatory. However, it might be helpful to add a point of clarification on the figures in the final three rows:

- The Month Balance figure is simply the total income for the month less the total expenditure for the month.
- The Brought Forward Balance figure is the balance left at the end of the previous month i.e. the Carried Forward Balance figure from the previous month (which may, of course, be a negative figure).
- The Carried Forward Balance is the sum of the Month Balance plus the Brought Forward Balance and represents the total cashflow surplus or deficit at that point of the project. In this example, most months have a positive figure, but it is clear that there are likely to be deficits from Month 9 onwards which the partners will have to bear until the final grant payment is received.

It is unlikely that the application forms for the project will ask you for a cash-flow forecast, but it can be a useful tool to manage the finances of the project.

This section has focused on preparing a budget – a vital component of the overall plan for the project. In Chapter 6 we will look in more detail at what is involved in monitoring and controlling finances once the project is underway.
4.8 Planning for risks

We’ve already mentioned the issue of risks several times in previous chapters but in the Planning and Design phase of the project we need to focus on it more closely.

A risk in this context is anything that could adversely affect the outcome of the project. Before we embark on the implementation of the project, we need to step back and think about what could go wrong. Then we need to consider how we will manage if any of these possibilities do in fact occur. We cannot eradicate risks from project work, but we can try to manage them effectively.

There is a generally accepted systematic approach to risk management:

- Identify the risks
- Consider the likely impact each one would have on progress
- Consider the likelihood of each one occurring
- Consider what steps can be taken to avoid the risk occurring and what we can do to minimise its impact.

Identifying risks

The precise risks will vary from project to project but here are some of the common ones that might affect your project:

- Setting unrealistic objectives
- Allowing too little time for particular tasks
- Running out of money
- Insufficient experience and skills in the team
- Team members are ill or drop out
- Team members don’t deliver on time
- Poor leadership
- Poor communications
- Lack of support from senior management, leading to under-resourcing
- Changes in the external environment that mean objectives and/or products need to be altered.

In project work there is always a risk that things may not go according to plan. This is an increased risk for projects that are relying on new technologies where systems may take a lot of time to get right. One approach to identifying
risk, particularly in these kinds of context where there is a high degree of innovation, is to think through the workflow in the project and to list what could go wrong with the delivery of each product or deliverable.

The longer the duration of a project and the more complex, the more chance there is of something going wrong. On the other hand, don’t assume that because your project is small-scale and has a very small team that it is less susceptible to risk. Losing one member from a team of three is likely to have much more impact on the project than losing one member from a team of 30.

As you identify the risks, it is helpful to compile a Risk Register with an entry for each risk you have identified, noting its likely impact, its probability, what measures you can put in place to deal with it, and who is responsible for monitoring and, if appropriate, taking action.

**Impact and probability**

There are sophisticated techniques for defining the likely impact and probability of risks using mathematical weighting. For most projects, however, it will be sufficient to use less complex models, for instance, by locating specific risks within a 3 x 3 grid mapping impact and probability:

<table>
<thead>
<tr>
<th>High Probability</th>
<th>Medium Probability</th>
<th>Low Probability</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>High Impact</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Medium Impact</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Low Impact</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Managing risk**

You most definitely need to have a plan of how to deal with any risks that you have identified as having high impact and high probability. It would also be wise to have plans for dealing with medium impact and/or medium probability. Depending on the nature of the risk, it may be possible to put in place measures that ensure that the risk will be eliminated. In other situations, you may be able to take specific steps to minimise the impact and/or the probability. Low impact and low probability risks you may not need to concern yourself about too much. Some risks, however, you may just have to live with. The important thing is to log all of them in the Risk Register along with any control measures and to review and update this on a regular basis.
Preparing an application for funding

Having completed all the major elements of your project plan, now is the time to address the task of preparing and submitting the funding application. You will, of course, already be very familiar with the detailed conditions and the forms themselves and will have needed to cross-check continually to ensure that your project plan will conform to the official requirements. We suggest, however, that only at this point do you turn to address the actual writing of the application itself.

Writing an application

Each funding programme is likely to have its own application form, structured according to its own requirements. In general, though, each is likely to require:

- A succinct summary of the aims, objectives and methods of the project, including a justification of how it meets the priorities of the programme and the specific Call for Proposals
- A detailed workplan for the project
- An argument of the benefits to be derived from the project and plans for the dissemination of its results, together with their potential for mainstreaming and/or commercial exploitation
- A detailed budget for the project and information about the project’s administrative structures
- Details of the participant organisations and their experience relevant to the project.

Given the diversity of project types and application forms, the advice we can offer here on writing applications can only be very general. Here, however, are some important points to consider:

- Familiarise yourself fully with the background documents and the application form itself before you start to complete it, as well as with the key elements of the policy context.
- Try to obtain other documentation which that particular programme or department has produced; there will almost certainly be information on websites or in printed documentation setting out the key objectives of major programmes, together with newsletters, reports on previous projects, and a range of incidental publications. All of this will help you understand more about the precise nature and priorities of your target programme. At an early
stage, ask to have your name put on a mailing list for any regular
distribution of information. From time to time, most programmes
organise conferences and other events to discuss their work.
You should also try to obtain the fuller policy documents and
underlying Council decisions that implemented the programme.
And you should certainly seek detailed help and advice from one of
the national offices associated with the various programmes.

■ Try to find information on previous projects that the programme
has supported; it is important to ensure that you do not simply
reproduce work that has already been pursued in existing projects.
On the other hand, if you are able to identify complementary
projects, which might provide useful results which you could build
on or extend and consolidate in an innovative way, this could be
a strong selling point. The mutual reinforcement and integration
of work both within and between programmes is one of the
Commission’s key current objectives. And above all, remember to
emphasise the transnational European dimension not simply of
your team but, most particularly, of the outcomes of the project.

■ It is helpful to be aware, too, of the Commission’s major policy
objectives and to demonstrate how your project can contribute
to their achievement. You will find some of these mentioned in
Chapter 9, but there are others, such as support for development
in peripheral regions, the encouragement of small and medium
enterprises (SMEs), and the integration into the workplace of people
with disabilities, which are also worth bearing in mind.

■ One of the other things you need to be aware of is that your original
planning document was principally guided by the strategic
priorities of your own trade union organisation. Your funding
application needs to be written also with the stated priorities of
the funding organisation clearly in mind. Try to put yourself in the
shoes of the people who are going to assess your application. Does
it present a clear enough picture of what you are trying to achieve
and why? Will it look like an attractive proposition to them? What
can you do to improve its ‘selling quality’?

■ Make sure that you and your partners, and the project itself, meet
all the eligibility criteria.

■ Explain precisely how the project will help meet the funding
programmes objectives and priorities. A mere assertion that it will
do so is not necessarily convincing.

■ Try to find out how your application is likely to be assessed and
whether the assessment criteria are made public. This may also be
a useful guide in which points to emphasize.

■ All of the applications must be produced by computer.
Handwritten or typed responses are not allowed. If the activity
you are applying for has an online application process, see if it is
possible to download an offline version of the form to enable you to
prepare your answers more conveniently. You can then go back to
the online form for the final version. Be sure to print out a copy for
your own records before you finally submit it.
Make sure that you have completed every question and filled in every box with the appropriate response.

Answer all of the free text questions as straightforwardly and directly as possible. In many sections of the application forms there will be strict limits on the number of words/characters permissible. It is important that you write clearly and concisely, so that you can make all the relevant points whilst still respecting the limits.

It is likely that your partners will need to complete some sections of the application form and/or that they will need to provide letters of intent. Make sure that they are alerted in good time to provide the necessary information or to obtain the appropriate signatures.

Do not include in your application further supporting documentation additional to the official application forms, unless you are specifically requested to do so.

Finally, before you package up the application forms, check them thoroughly. Make sure you have any necessary annexes and accompanying documents and that they are all signed, dated and stamped appropriately. (N.B. Unless instructed otherwise, you should use BLUE ink in all cases where original signatures are required, to avoid any possibility that they might be mistaken for photocopied documents.)

Assessing the application

Once your finely honed proposal and any accompanying documents have been sent to your national governments (or, in some submission procedures, to Brussels or Luxembourg), you may have to wait some months for a response. In many cases, proposals will first be scrutinised by Commission staff to ensure that proposals meet the technical criteria (size of consortium, level of finance requested, time period, etc) before being passed to independent external evaluators, who will comment on the core aspects of the proposals and grade them.

Here’s a quick checklist of some of the key general aspects that the Commission is likely to take into account when reviewing your proposal:

- Technical compliance with the terms of the call for proposals, including submission by the required date, presence of all stipulated documents, balanced budget within the eligible range of funding, duration, commitment letters and authorised signatures
- Conformity with the specific themes of the Call
- Realistic and achievable objectives
- Goals which can be measured
- Innovative aspects and ideas
- Sound management plans and methods
- Appropriateness of the consortium for this particular project, both in terms of range of skills and levels of experience and qualifications

Managing Projects
The reports from the evaluators will then be considered by the Commission, who will make a final judgement about which proposals are to receive funding - and what amount of funding is to be awarded. It’s not uncommon for the Commission to reduce the percentage support and/or the maximum amount available per project between announcing the Call and making the awards. In most cases this will occasion some reworking of the budget or the work programme before the project can start. You may well find that there is a period of contract negotiation as these details are sorted out.

Once you know that the contract will be awarded, it is important to begin to establish organisational arrangements and carry through the planning of the project in more detail. Try to find out precisely when you can expect to receive a fully executed contract document and what date it is intended to run from, so that you can be ready to start immediately. Time is usually in very short supply - and all too often the contract arrives late or is back-dated, allowing you effectively less than the full contract period in which to complete the work. If that happens, there’ll need to be some more re-planning.
Inheriting a project

The assumption we’ve made so far in this section of the handbook is that the person who is responsible for managing the project is actually the one who has developed the project idea, has gathered support for the idea and helped raise the finance, and has overseen the Initiation and Planning & Design phases.

It is sometimes the case, though, that someone else has designed the project, put together a successful funding application and that the project manager is only appointed once the project has been approved and the budget agreed. On other occasions, a project manager may leave part way through the project and you are called in to oversee completion. These situations present more difficult challenges but they are not uncommon.

Here are a few thoughts on how best to proceed if this happens:

- Unless you are very unlucky, there should be an opportunity for whoever has been responsible for the work to date to organise a proper handover with detailed briefings
- You will need to familiarise yourself very speedily with the project documentation. Consider carefully whether:
  - The scope of the project and its objectives are clearly defined in the documentation
  - The workplan seems realistic and achievable
  - There a sufficiently detailed budget and financial plan to allow you to manage the project successfully
  - The management structure seems appropriate.

- Once you have familiarised yourself with the plan, you may also have begun to identify possible problem areas or things which you think need to be improved
- Next meet with the team, either collectively or individually, and make a thorough assessment of what has been achieved to date. Is everything on target or are there significant difficulties? If you think that changes need to be made, then discuss these, first with the team and then with the Project Management Committee
- Finally meet with key stakeholders, including funders, to introduce yourself, to report progress and to discuss with them any possible changes to the project plan before proceeding to implement them.

In effect, you will need to check that all of the processes outlined in this chapter have been followed appropriately, that the project plan is adequately documented and that there is a sound basis on which you can proceed with confidence.
Chapter 5

The Project Execution phase

The Execution phase of the project is where the main work of the project takes place. The precise content and nature of the work undertaken during this phase will vary enormously according to the specifics of the individual project.

If we take the example of our EWC project, during this phase we will be:

- Undertaking a user needs survey in order to be able to target our training approach more precisely
- Producing a research report on current developments in European Works Councils
- Developing a training module
- Producing training materials
- Delivering a pilot version of the course
- Evaluating the success of the project
- Communicating with stakeholders and raising awareness about the work of the project
- Disseminating the results of the project
- Putting measures in place to ensure the sustainability of the work beyond the period of project funding.

During the period when all this work is taking place, there will also be a lot of energy devoted to managing the project and to monitoring and controlling its progress. We will look at this aspect in more detail in Chapter 6.

Although the specific focus and the detail of the core activities will vary enormously from project to project, there are certain elements that are likely to be common to all. There are also a number of aspects and activities that we think represent good practice and could be useful in any project.

Establishing systems and procedures

As soon as the project contract is signed, the project manager needs to begin to establish systems and procedures. These are likely to include:
Establishing procedures for meetings
Setting out roles and responsibilities
Establishing communications systems (e.g. web site, online workspace or forum)
Establishing documentation and archiving systems
Establishing finance systems.

Much of this will need to have been thought of earlier, but now is the time to put those ideas into practice.

If systems are to be effective, they need also to be documented so that everyone can understand them and use them in a consistent manner. It is a good idea to produce a handbook or ‘bible’ for the project that can be distributed electronically to members of the team. This might contain, for instance, key elements of the project plan or funding application, contact details for team members, an outline calendar, key points on communication and documentation, finance rules and procedures, as well as templates for key documents.

The Start-up meeting

It is a good idea to hold a meeting at an early point with all of the project participants – that is, everyone who has a role in delivering the project. Several people may not have been involved in the actual development of the project proposal but may have simply been assigned roles by their organisations. Even some of those who have been involved from the start could usefully be reminded of some of the specifics of the project.

A Start-up meeting allows the project manager to present up-to-date information on the project plan. This is a time for the plan to be reviewed and refined and for any uncertainties to be clarified. It is also an important opportunity to generate enthusiasm for and commitment to the project and for team members to meet each other.

There will, of course, be costs involved in organising this kind of event and you need to make sure that you have included it in your workplan and budget.

Much of the content of this kind of start-up event is likely to deal with technical and procedural issues, explaining systems, clarifying responsibilities and establishing methods of communication. If, however, your budget allows, it might also be useful to include something that could make a useful contribution to the core work of the project – in the case of our EWC example, perhaps a presentation by a visiting speaker on current issues confronting EWCs. This would mean that our Start-up meeting had not merely ensured that everyone was familiar with the project plan and procedures but had also provided an initial impetus to the core work.
Delegating tasks

Individuals in the team will all have various tasks assigned; some are likely to be workpackage coordinators, leading small groups and responsible for the delivery of specific products. It is essential that everyone is clear about what is expected of them. As you delegate tasks to individuals, make sure that:

- They are given a detailed written brief of what they are to do. If you’ve done your planning well, this is likely simply to be an extract from the project plan. For workpackage coordinators, it should, though, as a minimum include a detailed description of the product(s) the workpackage will produce, the budget allocated, the staffing resource and the delivery date.
- Discuss the assignment with them and resolve any questions they may have.
- Agree with them the scope they have for any deviation from the plan – for example, if a task looks like slipping by more than two days, they need to alert you immediately.
- Set out the procedures for signing off the completion of the work and, if appropriate, the handover process to the group responsible for the next stage of the workflow or the next workpackage in the sequence.

Working with the project team

We’ve already considered some of the issues concerning the project team in the section devoted to the Planning and Design phase. The Execution phase is, however, likely to be the point in most projects when the core planning team will be expanded and when the project manager will need to deploy his/her team-building and leadership skills most effectively.

One can find a range of different leadership styles in project work. We, however, are representatives of trade union organisations which have common value bases that we would expect to find reflected in the ways in which our project managers approach their work – values such as:

- Fairness and justice – open and just procedures for all members of the team.
- Equality and equity – zero tolerance of open or covert discrimination on grounds of race, gender, religion, disability, sexual orientation or age.
- Democracy – broad consultation in decision-making and a transparent sharing of information.
Whilst there may be occasions when a project manager needs to take difficult or unpopular decisions, this should not be the norm and all such decisions need to be justified and explained. A ‘command and control’ style of leadership is not something that we would want to encourage.

Working with a project team does bring particular challenges, however. It is also important to recognise that, like any other partnership, the members of a project team will need time to get to know each other before they can work together efficiently and, all too often, under the pressures of a tight schedule, insufficient time is allowed for this to happen.

Within the vast literature on managing groups, some of the most interesting work has focused on the composition of effective task groups and the types of roles which people occupy within them. Different analysts have described these in varying ways. One of the most frequently quoted models is that described by Belbin\textsuperscript{14}, which entails eight basic roles that, in his view, are essential for the composition of any effective group:

- **The chairman** - a coordinator, good listener and good judge
- **The shaper** - the task leader, full of drive and initiative
- **The ideas person** - imaginative and knowledgeable, but careless of detail
- **The monitor-evaluator** - analytically intelligent, critical
- **The resource investigator** - positive and extrovert, good on contacts
- **The company worker** - the practical organiser, with common-sense and hard work
- **The team builder** - good at building bridges between people, likeable and uncompetitive
- **The finisher** - the one who worries about schedules and completion and has the determination to meet them.

Individual people may fulfil more than one of these roles and different roles will come into prominence in different situations. Belbin’s is one model and we don’t suggest that it is the only useful one. What we do want to emphasise is that, as managers, we need to be aware of the different roles people can occupy within the team and how they relate to each other, in order to help the team function effectively. A model such as this can help us understand how a particular group is operating.

\textsuperscript{14} Belbin, R.M. (2010), *Management Teams* (3rd Edn.), Routledge, UK
Dealing with problems

Any work team will have two key dimensions:

- The **task** dimension - where the focus is on what the group is trying to achieve
- The **group** dimension - where the focus is on the internal relationships and dynamics: the quality of group life.

When the group is functioning effectively, both of these dimensions are operating in parallel - the social relations of the group are harmonious, individuals adopt constructive roles and the task dimension is furthered.

We have all been in situations, though, where individual interests are so contradictory and dominate to such an extent that no progress can be made on the task in hand. Equally, there are some occasions where the group dimension becomes the key focus, the demands of the task are effectively lost sight of and the collectivity becomes a social group, rather than a work team. Being aware of this balance and being able to manage it is extremely important.

There are other common group problems:

- Occasions when pressing tasks need to be completed, but the dynamic does not allow anyone to take the initiative to progress them
- Situations where work on the project overall is blocked, because one or more members have not delivered on tasks they are responsible for
- Situations where decision-making becomes difficult, either because there is no clear and agreed structure, or because the group finds it impossible to handle difficult decisions, particularly those which may have implications for social relationships
- The development of a ‘blame culture’, where individuals find it impossible to accept responsibility for shortcomings and instead deflect criticism onto others
- Low self-esteem and lack of morale, when a project seems to be having difficulty in achieving its objectives.

Often there is a tendency to ignore these problems, which may be difficult to deal with. Usually, however, they do not go away of their own accord. Neglected, they may disappear for a time, only to surface later in a more serious form.

Among the leadership skills that the project manager needs are these:

- Fostering a sense of commitment within the team
- Ensuring there are good communications both between the project leadership and the team and between individual team members
- Valuing and recognising the contribution that each person makes
- Supporting colleagues who may be having difficulties.
At the same time, the project manager needs to ensure that each member of the team delivers on their commitments. If there are problems e.g. missed deadlines, then the project manager needs to act swiftly to investigate why and to explore what can be done to help, but also to make sure that the team member concerned appreciates that the success of the project depends on everyone fulfilling their tasks on time.

If problems persist, then try wherever possible to resolve these through open discussion. Very occasionally, however, there may be a situation where someone’s attitude or actions threatens both the success of the project and the morale of the rest of the team. If it proves impossible to resolve the situation through dialogue, then the project manager may have no option but to report this to the Project Management Committee. This might then involve notifying the partner organisation formally and even in extreme cases asking them to remove the individual from the project team.

It is important to try to establish a constructive working context, to motivate people, but to be continually alert to difficulties and to deal promptly and openly with problems when they arise.

**Working with ‘back office’ staff**

All too often when we think about the project team we forget to include the administrative, clerical and financial staff who work in the background. Most projects rely heavily on them for support – for arranging meetings and travel, for organising mailouts and publicity, and for producing regular reports to funders. For many of them, project work can suddenly just appear as an additional item on an already heavy workload.

The more we can do to include our ‘back office’ staff, to help them to understand the project and their role within it and to make them feel a real part of the team, the more we will be able to count on their invaluable help and support.

In some of the trade union projects we are familiar with, it has been helpful to bring together key administrative and financial staff from each partner organisation for an initial workshop – either as part of the Start-up meeting or on a separate occasion. These events have provided an opportunity to present a brief overview of the project and to explain key elements of communications and reporting, as well as financial regulations. This has helped considerably both with personal relationships and has avoided many of the problems that can arise with finance and reporting.
Working with other stakeholders

While the main work of the project is proceeding, there is also a lot of work to be done keeping key stakeholders informed about its progress and generally promoting its activities. One part of this – liaising with funders – will almost certainly be covered by formal, contractual reporting requirements. Don’t forget, though, to keep key members of your own and partner organisations informed about developments.

Your dissemination plan should have already laid the groundwork for most of this but right from the start of the Execution phase (and even before) you should try to maximise the opportunities for raising awareness. This might involve producing leaflets, organising a web site, presenting brief reports at other trade union meetings. Try to ensure that all your partner organisations are also spreading the word.

Planning for sustainability

As the Execution phase progresses, you will also need to focus more closely on ensuring that the products, services and the experience that the project has generated can be capitalised on in the future. Don’t be tempted to leave all this until the final phase of the project, as it is more than likely that that will be too late.

In the case of our EWC pilot course, you and your partner organisations need be firming up plans to bring this into your mainstream training programme. Who needs to approve this? At what point does it need to be incorporated into the organisation’s annual workplan and budget? Can you exploit the materials you have produced more widely? Might there be other organisations interested in using them, too? If they are organisations in other countries, who could translate and adapt the materials? And where might you find additional financial support for this? If there is a web site with valuable information or resources, how will this be maintained and updated? Does your team now have particular expertise that could be of interest to others? If so, how might this be exploited? If this project has been successful, is there an obvious development that might form the basis of another project together?

These are just a few examples of the questions you should be asking (and answering) as you move through the Execution phase.

Time for reflection

The Execution phase is the point in the project life-cycle when there is most activity, most people involved and when things are likely to be most pressured. Almost inevitably, there will be modifications that need to be made to the project plan (we will return to this in more detail in Chapter 6) and decisions that need to be made swiftly.
It is all the more important that, as project manager, you carve out within this busy schedule some time for reflection, both for yourself and for members of the core team. There will be moments when you need a little distance from the day-to-day demands of the work to take a longer view on how things are progressing, to think through the longer term implications of decisions you might need to take and possibly to realign the overall strategy in consultation with the team and key stakeholders.

**Celebrate success**

And finally, don’t forget to celebrate success – for example, as a significant milestone is achieved on time (or even better, ahead of schedule!). Marking these moments and sharing these successes with the rest of team – even if it’s just with an e-mail informing everyone and thanking them – is an important way of building a successful team.
Chapter 6

The Project Monitoring & Controlling phase

Throughout the life-cycle of the project, we have been constructing plans and then implementing them. Almost certainly, we will also have been revising them. Plans for each of the workpackages and tasks that constitute the activities of the project, plans for the team and task allocation, financial plans, time plans, plans for dissemination and evaluation – the list is endless. These plans map out the journey we are intending to take as we work on our project and they provide us in each case with a base plan against which we can monitor progress.

‘Monitoring’ we understand to mean a more or less continuous process carried out during the execution of a project, in which the progress of activities is reviewed against various criteria. These include, for example, budget, cashflow, resource allocation, schedule, objectives and results, as well as any changes in the wider project environment which may impact on the continuing relevance of the project activities.

Monitoring allows us to check that everything is on track – and if it’s not, to take appropriate action. In most cases that will mean intervening to bring things back on course. It may, however, sometimes mean a more substantial re-think and a more significant change of plan.

What is most important, though, is that, as project managers, we carry out regular monitoring from the earliest stage of the project and that we have sufficiently robust and speedy communication and documentation systems to provide us with the up-to-date information necessary. It is particularly important to monitor effectively when we are dealing with projects involving a spread of partners in different organisations and different countries. We can’t just rely on our own organisation’s internal information systems.

Contractual requirements

If our project is externally funded, then almost certainly there will be stipulations in the funding contract about monitoring and reporting. There is likely to be a standardised progress report to be submitted periodically to the funding body, together with a financial report. We will be required to report on
how far advanced the project is, to mention any problems, either encountered or envisaged, that may affect progress and to detail the measures we plan to put in place to address them. Our financial report will need to provide details of costs incurred up to the report date. In many cases, the acceptance of an interim financial report will be the trigger for the release of another tranche of funding, so it will be critical to have accurate financial reporting.

In an EU-funded project with a duration of two years, the contractual monitoring and reporting may only require a mid-term report at the end of the first year and then a final report at the end of the project. This may be sufficient for the funder to monitor progress to its satisfaction, but a project manager needs to monitor progress much more frequently and almost certainly in more detail than a funding body requires. Imagine the scope for problems to arise, if the project manager decided to check on the financial situation only after a year’s work had been undertaken and then again once the project had finished. In the first few months, spending could have run completely out of control without the project manager being aware of it. At the end of the project, partners could be confronted with a large and wholly unexpected deficit, because there had been insufficient monitoring.

The key lesson to be drawn here is that, along with all the other plans for the project, the project manager needs to draw up an appropriate plan for monitoring and controlling. The detail will vary from project to project according to need, as will the frequency – it’s unlikely to be necessary to produce weekly cost reports on a small low-budget project, but a two-year project, with funding running into several hundred thousand Euros or more, will almost certainly need to produce detailed finance reports at least every two to three months in order to control the budget effectively. This internal monitoring needs, of course, to dovetail with the demands for external reporting but under no circumstances should you simply rely on the monitoring and reporting demands of the funder to gather and review information.

Controlling the schedule

One of the major aspects of the project to control is TIME. It is very easy for an element of the project to fall behind schedule. If it does, you need to know immediately, to estimate the impact this is likely to have overall and to plan how best to deal with the situation.

In a large-scale project, this means establishing close communication links with the people responsible for coordinating individual workpackages, wherever they may be located, and developing a culture where they understand the importance of timely information.

A single time slippage may have very limited impact on the overall progress of the project; it could however be crucial, if it forms part of the project’s critical path (see Chapter 4.6). Your work on planning and delegating work should
Trade Unions and Transnational Projects

have ensured that you would be alerted speedily to any significant variation of delivery dates for key products. If there is a significant problem, consider whether it could be resolved by bringing in additional staff and whether the budget could allow that. Is there work elsewhere in the project that is less critical that could allow resources to be redeployed? This kind of change, though, may require additional authorisation (see the section below on Managing change).

The Gantt chart that you prepared during the Planning and Design Phase should provide you with an ideal tool against which to map and measure progress. Keep it updated on a regular basis to show progress as you move through the project and modify it to reflect any changes in the overall schedule. And, of course, make sure that everyone is circulated with the latest version.

Controlling quality

We need not simply to keep tasks on schedule, however; we also need to make sure that the deliverables they produce are of good quality and fit for purpose. If we’ve been thorough in our planning, we will have defined in our Quality Plan the quality/performance criteria for everything that the project is producing. As we move through the project, we need to check the Quality Plan to ensure that what’s produced actually meets those criteria.

The handover from one person or group at the end of one task or workpackage to another is a critical point in any project and one that needs to be monitored closely. If, for instance, one task is producing a specification for a set of training materials or a web site, we need to check that it meets the main criteria we originally established and that what has been produced is sufficiently clear and detailed for whoever is handling the next task in the sequence to work efficiently. It is all too easy to assume that just because everything is on schedule, all is going well.

At the same time, check that the specification and criteria in the Quality Plan for the product from the next stage in the process are still adequate. Has anything changed, either in the previous work process or in the external environment, that indicates that there should be some modification? If so, discuss with colleagues and agree any alterations now, before work starts on the next stage.

Don’t ignore quality issues and be particularly alert to possible problems at the points of handover.

Controlling risk

In a similar manner, we need to be using the Risk Register to monitor and control risks. While we may not need to update the Quality Plan, if we’ve defined products and criteria clearly at the outset, we will almost certainly need to update the Risk Register. If we pass through various possible crisis points
successfully, we can mark those risks as eliminated. More importantly, though, we need to review our list periodically to ensure that we note any new risks that we have become aware of. As work on the project develops, new risks may emerge that were not obvious when we drew up our original plan. As ever, this is an iterative process – identify, assess, plan measures to adopt, monitor & control, then review and begin the cycle again. Try to involve the whole team in being alert to risks, reporting them and finding solutions.

Financial control

The key to financial control, as with all the other aspects of monitoring that we have dealt with so far in this chapter, is timely and accurate information. In any transnational project, key parts of this information will come from partner organisations. Your funding contract will require you to have copies of original documents, some of which (e.g. invoices) may well be in languages that you do not understand. Close and effective cooperation between partner organisations will be critical here.

Authorising expenditure

The starting point for good financial control is to have clear systems for authorising and documenting expenditure. In discussion with your own organisation’s finance officer and with the PMC, agree what expenditure can be authorised by the project manager or by a partner representative. This may be a question of agreeing certain financial limits or it may be about devolving authority for particular areas of work or specific purchases. Make sure that these procedures are documented and respected. This will not only help you to control finances but will be important in the event of an audit.

Inevitably some transactions will be in cash but try to avoid this wherever possible. Cheques or bank transfers provide much more secure and traceable means of payment. For a large scale project, it could be helpful to require dual signatories for cheques and other bank transactions. If team members do need to use cash for small items, make sure that they get receipts.

Cost reports

You should probably aim to produce a complete cost report for your Project Management Committee at least every two months. However, in order for you, as project manager, to have adequate financial control of the project expenditure, you will probably need to have additional reports more frequently. Otherwise major divergences from budget could occur without adequate time to address them.

Financial monitoring of a transnational project with partners in different countries incurring expenditure, sometime in different currencies, can present a real
challenge. It’s important to prepare systems and procedures before the Execution phase starts, to document them well and to make sure that your partners all understand them. In a larger project, this is where an early workshop involving administrative staff from partner organisations can help enormously.

You will need to produce a template for a cost report that can be circulated to all partners, preferably as a spreadsheet. Most EU funding programmes will have their own templates for cost reports and it may be that you can use this for your own internal reports, too. However, the format may not be appropriate or adequate for your requirements, in which case produce something yourself that can easily dovetail with your funder’s report form.

You may well need to ask someone in your finance department to help with these processes. If you are not confident in constructing and manipulating spreadsheets yourself, then ask for assistance. It is important, though, that you are involved in designing the reports in the way that you want them. You need to understand them fully and to feel confident that they are supplying you with clear information in the form that you need to monitor and control the project finances.

To really control finances, you need to be checking not simply that the project costs overall are where you expect them to be at this stage of the project, but that:

- Each category of cost (staffing, travel, equipment, etc) is within the planned budget for this stage of the project
- Each partner organisation is within budget for this stage of the project
- Each workpackage is within budget for this stage of the project.

If they are not, then this may signal problems that will have to be addressed.

Here’s an example of what a partner’s cost report for our EWC project might look like:

<table>
<thead>
<tr>
<th>WP</th>
<th>Title</th>
<th>Staff</th>
<th>Travel &amp; Subsistence</th>
<th>Service / Activities</th>
<th>Admin</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Management</td>
<td>£1,175</td>
<td>£1,896</td>
<td></td>
<td></td>
<td>£3,071</td>
</tr>
<tr>
<td>2</td>
<td>User Needs</td>
<td>£2,568</td>
<td></td>
<td>£368</td>
<td></td>
<td>£2,936</td>
</tr>
<tr>
<td>3</td>
<td>Pilot Course</td>
<td>£1,575</td>
<td>£1,356</td>
<td></td>
<td></td>
<td>£2,931</td>
</tr>
<tr>
<td>4</td>
<td>EWC Research</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>£0</td>
</tr>
<tr>
<td>5</td>
<td>Materials</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>£0</td>
</tr>
<tr>
<td>6</td>
<td>Evaluation</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>£0</td>
</tr>
<tr>
<td>7</td>
<td>Dissemination</td>
<td>£789</td>
<td></td>
<td></td>
<td></td>
<td>£789</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td></td>
<td><strong>£6,107</strong></td>
<td><strong>£3,252</strong></td>
<td><strong>£368</strong></td>
<td></td>
<td><strong>£9,727</strong></td>
</tr>
</tbody>
</table>
With one of these from each partner organisation, you should be able easily to produce a consolidated report with all the information needed.

Supporting documents

Each of the figures in the report, however, will require documents to support it. In many cases this will be straightforward – suppliers’ invoices, receipts for meals, hotel bills, travel tickets (NB. including boarding passes), bank statements. There are two other things to be aware of:

- All expenditure must be shown in Euros. Anything in another currency needs to be converted – and for a formal cost report to the Commission, it needs to be converted at the Commission’s recognised rate for the month of the cost report itself. (You can find a list of official conversion rates at http://ec.europa.eu/budget/contracts_grants/info_contracts/inforeuro/inforeuro_en.cfm)

- Staffing costs will need to be supported by individual time sheets and salary records, and possibly by copies of pay slips. The next page shows an example of a blank staff time sheet. Every day the member of staff fills in the hours worked on any specific project task and the spreadsheet calculates the number of working days spent in the month. The sheet is then signed off by the staff member and by the partner organisation’s senior administrator and sent to the project manager, as part of the cost report documentation.
## Trade Unions and Transnational Projects

### Task Title Distribution

| Task Title | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 | 21 | 22 | 23 | 24 | 25 | 26 | 27 | 28 | 29 | 30 | 31 | Total Hours | Total Days |
|------------|---|---|---|---|---|---|---|---|---|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----------------|-------------|
| WP1        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| 1.1        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| 1.2        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| 1.3        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| 1.4        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| **Subtotal** |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| WP2        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| 2.1        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| 2.2        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| 2.3        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| 2.4        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| **Subtotal** |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| WP3        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| 3.1        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| 3.2        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| 3.3        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| 3.4        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| **Subtotal** |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| WP4        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| 4.1        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| 4.2        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| 4.3        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| 4.4        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| **Subtotal** |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| WP5        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| 5.1        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| 5.2        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| 5.3        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| 5.4        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| **Subtotal** |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| WP6        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| 6.1        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| 6.2        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| 6.3        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| 6.4        |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| **Subtotal** |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| **TOTAL hours** |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |
| **Total days** |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |   |        |

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**Administrative Officer (signed)**

**Date**

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**Staff Member (signed)**

**Date**
Handling advances

If your organisation is the project coordinator, then you will have responsibility not only for collating and submitting the project cost reports but also for distributing their share of grant funding to each of your partners. For the first instalment of the grant — normally due shortly after signature of the contract — you will need to pay to each of the partners an advance, pro-rata according to their percentage of the overall budget. For interim advances and particularly for the final instalment of the grant, you will need to control partner costs carefully to ensure that you do not overpay. It is also possible that you may need to reclaim monies already advanced, if there is not sufficient evidence of costs incurred to substantiate the monies paid.

Final cost report and audit

Almost certainly you will have a contractual requirement to produce a Final Cost Report for the project. In many cases EU funding programmes allow an additional period of up to two months following the end of the project period per se in which to produce a Final Evaluation Report and the Final Cost Report. Costs incurred in relation to these will normally be accepted as allowable costs, even though they fall outside the formal contract period.

Depending on the specific funding programme and the amount of funding awarded, you may also have a contractual obligation to have your Final Cost Report (and in some cases Interim Reports, too) audited by an external accredited auditor. The auditor will need to have access to all supporting documentation justifying the costs that you are claiming, normally in the form of original copies. This will apply not simply to costs incurred by your own organisation but those incurred by partner organisations, too. As project manager, you need to make sure that your partners understand this requirement and ensure that the documents are available when required. You may also need to arrange translations of certain financial documents.

It will help to be as well-prepared and as transparent in this process as possible. In an EU-funded project, your Final Cost Report and the auditor’s report will be reviewed by the European Commission. Any discrepancies or irregularities will at best result in further queries and delays in receiving the final instalment of the grant. If items are missing or issues cannot be resolved, there are likely to be further delays and a consequent reduction in the grant aid available.

Also be aware that a funding body and/or your national legislation is likely to require that all financial documents are retained for a certain number of years. For EU-funded projects, the period is five years following receipt of the final grant payment.
Managing change

Given the nature of project work, it is most unlikely that everything will go exactly according to your original plan. Almost inevitably, there will be changes:

- A piece of work may take longer and/or cost more
- You may need to adjust one or more of the deliverables to take account of changes in the external environment
- Someone may leave the team or a partner organisation may pull out of the project
- You may find a more efficient way of producing one of the deliverables.

These are just some examples of what can happen, even within a project that is ultimately very successful. Your monitoring process needs to be alert to them, as any of them will necessitate a revision of the project plan. Most importantly, however, you need to have a clear procedure for handling changes. If changes are handled in a haphazard and unorganised way, there is likely to be confusion and the project will be put at risk.

Managing change is an important part of any project. It is helpful to break it down into four separate stages:

- Request change
- Review request
- Authorise change
- Implement change.

Remember, too, that:

- Everyone needs to understand the procedures for requesting a change to the project plan
- Everyone needs to be consulted about the impact that any proposed changes are likely to have on their own areas of work and responsibility
- Everyone needs to be informed of all approved changes and of their role in implementing them. They will also require copies of updated documentation.

Request change

Although in many situations it may be the project manager who has identified an issue which will necessitate a change to the project plan, requests may come from any member of the project team or indeed from key stakeholders. In every case the request should be documented.
In larger scale projects, it is good practice to have a standardised Change Request form that the person requesting the change completes and submits to the project manager, explaining and justifying the need for the change. These forms are then logged in the Change Register and form part of the project documentation.

**Review request**

The project manager then needs to review the request, considering amongst other things whether it falls within the original scope of the project, what its impact is likely to be on the schedule and budget and on other areas of the project, including risks. It is essential to discuss with other members of the team who may be affected before any decision is made.

Some changes may have little impact elsewhere. In some situations, a delay of two or three days in producing one of the deliverables may be perfectly acceptable; in others it could be critical.

**Authorise change**

If the change is likely to have little or no impact on the project overall, then it is probably appropriate for the project manager alone to make the decision on whether or not to authorise. Anything that is likely to have a significant impact, however, should be referred to the Project Management Committee or other controlling body for its approval. Other stakeholders may also need to be involved.

Changes that affect the scope of the project are particularly significant. They are likely to impact not simply on the scope of the project itself but also to entail significant changes to WBS, schedule and budget. Make sure that all key stakeholders are party to these discussions.

The procedure for handling changes and the degree of authority devolved to the project manager should be discussed with the PMC and other key stakeholders at an early stage of the project.

**Implement change**

If the change is authorised, then make sure that it is clear who is responsible for implementing the change and who is directly responsible for monitoring and reporting back on its progress. As project manager, ensure that the key project planning documents are updated to reflect the changes and that everyone is informed.
Dealing with change in EU-funded projects

Many medium to large-scale projects funded by the EU will have a project officer at the European Commission who is responsible for monitoring progress and to whom the project must submit periodic reports. It is vital that you keep your project officer informed of any significant changes that are proposed. For major changes, you may even have to submit a revised proposal to form, if approved, an appendix to the funding contract.

In matters of variation within the approved budget of an EU-funded project, you are normally allowed a movement of up to 10% between different major categories of cost (staffing, travel & subsistence, etc) without prior approval from the Commission. You should, however, report them to the Commission in a timely fashion.
Chapter 7

The Project Completion phase

As you will remember from the discussion of the project life-cycle and the diagram in Chapter 1, these individual phases do not form wholly discrete units. Rather they should be thought of as spheres of activity that overlap in time and relate closely one with the other, with differing emphases and degrees of priority at different points in the life-cycle. So, although most of the activity in the Completion phase of our project is likely to fall at the end of the project period, there will be elements that we will need to put in place long before.

In the Completion phase, we will be aiming to ensure that:

- We have covered all the work in the project plan and that we have met all our objectives
- We have completed the project within budget
- We have fulfilled all our obligations to funders and stakeholders
- We have robust measures in place for the sustainability and future exploitation of the work
- We have measures in place to safeguard the key results of the project and its documentation in an accessible form
- We have publicised and widely promoted the results of the project and will continue to do so.

Again, the precise details are likely to vary from project to project but here are some of the key things that form part of most Completion phases.

Evaluation

We considered the main issues concerning evaluation in Chapter 4.2 in the context of drawing up an evaluation plan and you will no doubt have been conducting various formative evaluation exercises as the project proceeds. Usually, however, projects will find it essential to carry out a summative evaluation towards the end of the project. Often some kind of Final Evaluation Report will be a contractual requirement imposed by funders, but even if it is not, you should arrange for a relatively thorough evaluation exercise to be conducted.
This should be as objective as possible. As a minimum, it should aim to establish how far the project has been successful in terms of achieving its objectives. It provides an opportunity to capture the key lessons learnt from the project, to note key challenges encountered and to offer guidance for future work.

**Project Report**

Often a published Final Report can provide an important tool for disseminating the work and the results of a project. The Final Evaluation Report can provide useful information to form part of this, but the two will have different purposes and different audiences. The Evaluation Report will be addressed to the project team, funding organisations and other major stakeholders. The published Final Report will be for a wider audience. It will set out the context for the project, what it tried to achieve, the approach adopted and the results. Consider producing a Final Report that is well-presented, with appropriate illustrations, photos and designs – and make provision for this in the budget for dissemination.

**Final conference**

Another useful dissemination tool that could form part of the Completion phase is a final conference. This could offer an important opportunity both to bring the project team together for final joint activity and also to present the results of the project to wider audience. If you are going to organise a final conference, you should normally have included it in your original project plan and you will need to start detailed planning 6 to 12 months in advance.

**Archiving the project**

As the project winds down, you will need to consider what to archive and how. Precisely what you keep will again depend on the specifics of each individual project. If you’ve put in place good documentation and filing systems at an early point, the actual archiving should not present too big a problem. You will probably have key documents in different drafts as well as a final version. For most of these, it is probably worth keeping only the final version.

You do need to consider, though, whether you will archive these in an electronic form or as hard copies. Where will they be kept and who will have access to them? Remember, too, that you will need to keep financial documents for at least five years.

Any archiving system also needs to be understandable to other potential users. There needs to be a key document of some kind, so that if someone needs
to search for a document in four or five years’ time, when you may no longer be there, it is possible to find it easily.

Think, too, not simply of documents. If you have organised a project web site or a Facebook page, how will you archive these? Or are they components that you intend to continue to maintain and use?

**Sustainability / transfer**

We’ve already discussed the importance of sustainability both in Chapter 4.3 and in the last chapter. In this final phase of the project, it is important to make sure that the measures you have planned to exploit the results after the formal closure of the project are securely in place. It’s likely that this will be one of the main preoccupations in the closing stages of any successful project.

Think, too, about whether the results could be transferred to other contexts, to other trade unions. We want to extract maximum value from the work undertaken. You may be able to find other funding assistance to enable this kind of transfer.

**Formal closure**

For an EU-funded project, there will be a formal closure with the acceptance of the Final Report and the Final Cost Statement. This will trigger the release of any outstanding monies, some of which you will need to disburse to partner organisations. Although the project will formally be closed, there will be certain contractual commitments that will still remain in force.

So much for the formal, administrative side of things. For the team, though, this will have been an important and hopefully successful journey together – and that is worth marking in some way. It may not always be possible to bring everyone together physically at the end of the project, but at the very least think about a letter from a senior officer of the promoter organisation, thanking everyone for their participation.

**Follow up**

All the evaluation work and feedback to date will have been conducted within the project period – in the case of our EWC project, while the module and material was still being developed and piloted. If we are really interested to know the impact of the project and what it has achieved, we might well have a better view 12 to 18 months after the project has closed. Might it be useful
to collate some data at that point and share it, both with team members and stakeholders? Of course, it probably wouldn’t be as thorough an evaluation as before, but it could be very illuminating to see, for instance, how many participants had been trained in which organisations and to get some basic feedback from them on how useful they had found the training and whether they had suggestions for improving things.

Finally, consider whether there are any useful ways to build further on the work that has been undertaken. Is there additional work in this field that needs to be undertaken? If so, could you involve some or all of the current team? Perhaps this is the moment to start preparing your next project...
PART II

THE EUROPEAN CONTEXT
Chapter 8

The European Union

This handbook aims to help trade unions in developing and managing transnational projects within an EU funding environment. If we are to develop successful projects, we need to understand a little about:

- The political and economic structures of the European Union
- The key policies and priorities which it promotes
- The key measures and instruments which the European Union adopts to implement those policies\(^\text{15}\).

This, together with a complementary consideration of how trade unions relate to the European Union, including particularly the policies and priorities of the European Trade Union Confederation, is the main focus of this second part of the handbook. It is important information, if you wish to develop a transnational project that can be attractive and useful from a trade union perspective and can also contribute to realising EU policy, so proving eligible for financial support.

For many of us, the world of the European Union appears complex and remote. It is a continuously changing and evolving world – and certainly attitudes towards the European Union, its policies and future direction are as varied within trade unions in the different Member States as they are in the general populations of those countries.

What is clear, though, is that the institutions of the European Union play an increasing role in shaping our lives at national and regional levels, that the Single Market is a major factor in our national economies, and that Directives on various social and welfare issues shape an increasingly significant part of

\(^{15}\) The information in this handbook about the European Union was correct at the time of writing in June 2014, following the elections to the European Parliament but before the formation of the new European Commission. For more recent changes to the structure of the European Commission, please see http://ec.europa.eu/about/juncker-commission/index_en.htm.
domestic legislation.

For trade unions, the European Union is particularly important because it:

- Articulates policy and promotes action with far-reaching effect in central aspects of economic and social life in the Member States
- Recognises certain basic fundamental rights of workers and their representative organisations and offers a structured role for trade union organisations in the formulation of policy, legislation and action
- Provides resources to promote its policies, some of which can be used to support trade union activities.

The development of the European Union

The European Union is a grouping of democratic European countries that have committed themselves to working together and have agreed to delegate elements of their sovereignty to common institutions operating at a European level. The size of the European Union has grown progressively since its inception to include now 28 Member States with a total of just over 500 million citizens 16.

<table>
<thead>
<tr>
<th>Year</th>
<th>Member States</th>
</tr>
</thead>
<tbody>
<tr>
<td>1951</td>
<td>Belgium, France, Germany, Italy, Luxembourg, Netherlands</td>
</tr>
<tr>
<td>1973</td>
<td>Denmark, Ireland, UK</td>
</tr>
<tr>
<td>1981</td>
<td>Greece</td>
</tr>
<tr>
<td>1986</td>
<td>Portugal, Spain</td>
</tr>
<tr>
<td>1995</td>
<td>Austria, Finland, Sweden</td>
</tr>
<tr>
<td>2004</td>
<td>Cyprus, Czech Republic, Estonia, Hungary, Latvia, Lithuania, Malta, Poland, Slovakia, Slovenia</td>
</tr>
<tr>
<td>2007</td>
<td>Bulgaria, Romania</td>
</tr>
<tr>
<td>2013</td>
<td>Croatia</td>
</tr>
</tbody>
</table>

The Union also includes the overseas territories of France, Portugal and Spain, including the Azores, the Canary Islands, Guadeloupe, Guyana, Ma-

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The institutional system of the European Union is difficult to classify, because the Union is much more than an intergovernmental organisation; it has its own legal status and powers. Established under a series of Treaties, it is a complex system of interlocking bodies with different responsibilities and authority, in which decisions are made through a range of sophisticated negotiating and voting procedures. Here, we can simply provide a brief sketch of some of the most important elements.  

The European Union was created as a result of the Treaty of Maastricht in 1992. This was an important moment in an evolving process of European integration which began much earlier. The first steps were taken in 1951 with the development of the European Coal and Steel Community (ECSC), establishing a common market for coal and steel between France, Germany, Belgium, Luxembourg, Netherlands and Italy. This was followed by the foundation of the European Atomic Energy Commission (EURATOM) and, most significantly, the European Economic Community (EEC), both incorporated in the Treaty of Rome in 1957. The Treaty of Brussels (the 'Merger Treaty') in 1965 provided the three bodies with a common set of institutions and a new name, 'The European Communities'. The three were then brought together to form the European Community (EC) in the Single European Act (sometimes referred to as the 'EC Treaty') in 1986, one of whose aims was the completion of a ‘Single Market’ by the end of 1992 to ensure the free movement of trade across Member States’ borders.

The Treaty of Maastricht, which came into force in 1993, comprised three 'pillars', bringing together the European Community (the first 'pillar') with two new ones – provision for a common foreign and security policy and provision for a common policy on justice and home affairs – to form the European Union (EU).

The Maastricht EU Treaty and the previous EC Treaty were subsequently revised and extended by the Treaty of Amsterdam (1997), which came into force in May 1999. The Amsterdam Treaty emphasised the responsibility for concerted action on employment, provided increased freedom of movement as well as cooperation on security, and, looking forward to an enlarged Union, introduced significant changes in representation and decision-making.

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18 For more information on these topics see the European Union web site: [http://europa.eu/about-eu/index_en.htm](http://europa.eu/about-eu/index_en.htm)
It increased the role of the European Parliament in decision-making and significantly reduced the number of fields in which decisions in the Council of Ministers required unanimity. Further changes in the structure and decision-making processes of the Union were introduced in the Treaty of Nice (2001) which came into force in February 2003.

On agreeing the Nice Treaty in December 2001, it was acknowledged that there was further work to be done to provide a fully effective set of institutions, able to meet the demands of an enlarged European Union. The Council agreed to establish a Convention, involving a wide range of stakeholders, to initiate a debate on the future of the EU. In the event, the Convention produced a draft Constitution, consolidating all of the previous treaties and incorporating further reforms in a single text which was to have replaced the existing Treaties. It also proposed a Charter of Fundamental Rights which would form an intrinsic part of the Constitution. The text set out the respective roles of the European Parliament, the Council and the Commission and included a series of far-reaching changes to the functioning of the European Union. This draft Treaty Establishing a Constitution for Europe was presented to an Intergovernmental Conference (IGC) in July 2003 and, following further amendment, was adopted by another IGC in June 200419.

The European Constitution was planned to come into force on 1 November 2006, following ratification by the Member States. However, its ratification was rejected in the French referendum on 29 May 2005 and in the Dutch referendum three days later. Although the ratification process continued, with the majority of the Member States approving the Constitutional Treaty, it was clear that an alternative solution would have to found which would be capable of achieving unanimous support.

The result was The Treaty of Lisbon amending the Treaty on European Union and the Treaty establishing the European Community (also frequently referred to as the ‘Reform Treaty’)20. The text was signed by heads of government in Lisbon on 13 December 2007 but then faced strong opposition in certain countries, most particularly in Ireland. However, following a second Irish referendum and the resolution of outstanding difficulties with the Czech Republic, the text was finally ratified by all Member States and came into force on 1 December 2009.

It dropped all reference to a European Constitution and instead took the form of a series of amendments to two key documents - the Treaty of Rome (establishing the European Community in 1957), which was renamed the Treaty on the Functioning of the European Union, and the Maastricht Treaty of 1992 (es-
establishing the European Union) – as well as introducing some technical adjustments to the 1957 Euratom Treaty. The new treaty removed the three ‘pillars’ of the Maastricht Treaty, effectively terminating the existence of the European Community. With the Lisbon Treaty, the European Union for the first time acquired a single legal personality, allowing it to conclude international agreements within all areas of its competence.

The Lisbon Treaty introduced significant changes, not only to the institutions of the EU, which we look at below, but also to areas of policy, including increased collaboration between Member States in fields such as justice and home affairs, security and defence, the environment and climate change, and an increased significance for regional policy. It also reinforced objectives in the area of social policy, including full employment and a social market economy, while also strengthening the legal basis of public services. Social dialogue and the role of the social partners are also enshrined in the Treaty, although there were no substantial changes introduced in these areas.

The treaty also makes explicit reference for the first time to the possibility of a Member State withdrawing from the Union.

The Treaty also recognised a newly revised Charter of Fundamental Rights, which is of particular interest for trade unions. Whereas this would have formed an integral part of the proposed Constitution, it remains now as a separate entity, albeit one that has the same legal value as the Treaties and is legally binding, both on the Union itself and on individual Member States (with the exception of the UK, Poland and the Czech Republic, all of whom have negotiated different forms of opt-out). The Charter sets out fundamental rights in six areas: dignity, freedom, equality, solidarity, citizenship and justice, and includes social rights within companies, such as workers’ rights to be informed, to negotiate and to take collective action.

There were also amendments coming from the negotiations to secure ratification by Ireland and the Czech Republic annexed to the revision to the Treaty in 2010-2011. The full impact of the adoption of the Lisbon Treaty has yet to be felt and the detailed implications for some of the institutions of the European Union are still being worked through. The information in this chapter provides as clear an account as possible at the current time of how the new European Union is functioning.

**Decision making in the European Union**

How then does this rather complex body that plays such an important role in shap-
ing our everyday lives operate? What are its powers? How does it introduce and enforce legislation? These are some of the questions we’ll try to answer in this section.

A simple overview

The European Union operates through a number of key institutions, including most notably:

- The Council of the European Union, representing the governments of the Member States and comprising their ministers
- The European Council, comprising the Heads of State or Government
- The European Parliament, representing and elected by the citizens of each Member State
- The European Commission, which is the executive arm of the EU.

We will look at each of these institutions, as well as various other EU bodies, in more detail later in the chapter.

European legislation is normally proposed by the Commission and debated and adopted, depending on its content, either by the Council of the European Union (i.e. ministers of national governments) acting alone, or jointly by the Council and the European Parliament.

Together, these three institutions produce the policies and laws that apply throughout the EU.

The Commission has the sole responsibility for proposing new laws which the Parliament and Council then adopt (or modify or reject). The Commission and the Member States then implement the laws, and the Commission ensures that they are properly applied and implemented.

You can see the three bodies at the heart of the diagram below, together with some of the other key EU institutions that support this process.

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22 See section Institutions of the European Union below

23 The diagram is re-produced under a Creative Commons licence from the Polipedia Project at http://www.polipedia.eu/tiki-index.php?page=EU+institutions+and+power+relations

Mr Van Rompuy will hold the Presidency of the European Council until the end of November 2014. A new president will take office on 1 December.
In most areas, proposed legislation is subject to what is known as the Ordinary Legislative Procedure (formerly known as the 'Co-decision procedure')²⁴. This means it must be approved by a vote in both the Council of the European Union and the Parliament before it can pass into law. We’ll look at this in a little more detail below.

The powers of the European Union

European legislation takes one of the following forms:

- **Regulations**: these are binding and applicable in all Member States and take precedence over national law
- **Directives**: these are binding as to their intentions, terms and conditions, but the form and methods of implementation are left to

²⁴ See Legislative Procedures below
the discretion of national authorities

- **Decisions**: these are binding only on those parties to whom they are specifically addressed: governments, institutions, private enterprises
- **Recommendations, Opinions, Resolutions or Declarations**: These are not binding.

The Lisbon Treaty divides the European Union’s legislative and regulatory activity into 3 categories:

- **Legislative acts or Level 1 acts** (Directives or Regulations) that establish basic principles of EU policy
- **Level 2 acts** (known as ‘delegated acts’) correspond to strategic measures; they are general and non-essential
- **Level 3 acts**: these are individual, administrative and technical implementation measures (e.g. authorisation of the use of certain medicines).

Any legislation that is proposed must fall within the framework and objectives of the current Treaty and must be consistent with the principle of **subsidiarity**.

### Subsidiarity

This important principle stipulates that the European Union may only deal with matters which, because of their scale or effect, **cannot be handled satisfactorily at a national or regional level**.

The Treaty of Lisbon now requires the principle of subsidiarity to be respected in all draft legislative acts. It also allows national parliaments to object to a proposal on the grounds that it breaches the principle. They have six weeks to discuss a legislative proposal, from the date when the Commission makes it available to the European Parliament and to the Council up to the date when it is placed on the Council’s agenda. If national parliaments object, the proposal may be maintained, amended or withdrawn by the Commission, or blocked by the European Parliament or the Council.

If a third of the national parliaments (a quarter in the field of Justice and Home Affairs) oppose a draft, the Commission must review it. Moreover, if over half of all national parliaments oppose an act that is subject to the Ordinary legislative procedure, then the European Parliament and the Council are required to decide whether or not to proceed with the legislative process.

National parliaments may also take a case to the European Court of Justice, if they consider that a legislative act is contrary to the principle of subsidiarity.

### Competences
The Treaty of Lisbon clarifies the **division of competences** between the Union and the Member States. Alongside the principle of subsidiarity, it includes the **principle of conferral**. This principle provides that the Union shall only act and legislate within the limits of the competences conferred upon it by the Member States in specified areas.

The Treaty recognises three types of competences:

- **Exclusive competences**: only the Union may legislate in these areas
- **Shared competences**: both the Union and the Member States may legislate in these areas. However, Member States may only exercise their competence as long as the Union has not exercised its competence
- **Supporting competences**: Member States retain competences in these areas, but the Union may complete their action by carrying out supporting or coordinating actions.

<table>
<thead>
<tr>
<th>Exclusive competence:</th>
<th>Shared competence:</th>
<th>Supporting competence:</th>
</tr>
</thead>
<tbody>
<tr>
<td>&quot;The Union has exclusive competence to make directives and conclude international agreements when provided for in a Union legislative act.&quot;</td>
<td>&quot;Member States cannot exercise competence in areas where the Union has done so.&quot;</td>
<td>&quot;The Union can carry out actions to support, coordinate or supplement Member States’ actions in.”</td>
</tr>
<tr>
<td>• The customs union</td>
<td>• The internal market</td>
<td>• Protection and improvement of human health</td>
</tr>
<tr>
<td>• Competition rules necessary for the functioning of the internal market</td>
<td>• Social policy, for the aspects defined in the Treaty</td>
<td>• Industry</td>
</tr>
<tr>
<td>• Monetary policy for the Member States whose currency is the euro</td>
<td>• Economic, social and territorial cohesion</td>
<td>• Culture</td>
</tr>
<tr>
<td>• Conservation of marine biological resources under the common fisheries policy</td>
<td>• Agriculture and fisheries, excluding the conservation of marine biological resources</td>
<td>• Tourism</td>
</tr>
<tr>
<td>• Common commercial policy</td>
<td>• Environment</td>
<td>• Education, youth, sport and vocational training</td>
</tr>
<tr>
<td>• Conclusion of certain international agreements</td>
<td>• Consumer protection</td>
<td>• Civil protection (disaster prevention)</td>
</tr>
<tr>
<td></td>
<td>• Transport</td>
<td>• Administrative cooperation</td>
</tr>
<tr>
<td></td>
<td>• Trans-European networks</td>
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</tr>
</tbody>
</table>
You can find an overview of the various areas in which these different competences are exercised under the Lisbon Treaty in the table below.

**Legislative procedures**

Around 95% of EU legislation is subject to the **Ordinary Legislative Procedure**, requiring approval by both the Council and the Parliament. Its areas of application include agriculture, fisheries, transport, employment and social affairs, structural funds, freedom, security and justice, as well as the budget.

Under the Ordinary Legislative Procedure, the Commission submits a legislative proposal to the Parliament and Council. At the first reading, Parliament adopts its position. If the Council approves the Parliament’s wording, then the act is adopted. If not, it formulates its own amendments and passes it back to Parliament with explanations. The Commission also informs Parliament of its own position on the matter.

At the second reading, the act is adopted if Parliament approves the Council’s text or if it fails to take a decision. The Parliament may reject the Council’s text, leading to a failure of the law, or it may modify it and pass it back to the Council. The Commission gives its opinion once more. Where the Commission has rejected amendments in its opinion, the Council must act unanimously rather than by majority.

If, within three months of receiving Parliament’s new text the Council approves it, then it is adopted. If it does not, then the Council President, with the agreement of the President of the Parliament, convenes the Conciliation Committee. This is composed of the Council and an equal number of members of the Parliament (with the attendance, as moderator, of the Commission). The committee draws up a joint text on the basis of the two positions. If within six weeks it fails to agree a common text, then the act has failed. If it succeeds and the committee approves the text, then the Council and Parliament (acting by majority) must then approve the said text (third reading). If either fails to do so, the act is not adopted.

In a small number of areas, including aspects of competition law and the internal market, and the admission or withdrawal of Member States, **Special Legislative Procedures** are used. These give more power to the Council. The most common are the **Consultation Procedure**, where Parliament must be consulted but does not vote on the legislation itself, and the **Consent Procedure**, where Parliament must give its assent to the proposal before it can become law but does not have the right to amend the proposal.

Decisions in the European Parliament are taken by majority voting. Depending on the subject, decisions in the Council of the European Union and the European Council are reached by unanimous agreement, by absolute majority voting or by ‘**qualified majority**’ voting, as determined by the Treaties. We
will look in more detail at this latter process when we consider the individual institutions.

Depending on the field of legislation, there are also statutory obligations on the Parliament and the Council to seek the views of other bodies, including social partners, in a variety of consultation processes, before proposals can be adopted.

The Treaty of Lisbon also introduced the Citizens’ Initiative, establishing the right of at least a million citizens coming from at least 7 Member States to sign a petition inviting the Commission to submit a proposal on any area of EU competence. At the time of writing, the Commission is considering the first successful petition under the Citizens’ Initiative. If, after consultation with the organisers, the Commission decides to draw up a proposal based on the petition, this will then follow the appropriate legislative procedure.

The Institutions of the European Union

Now let’s look at the various institutions of the European Union in more detail.

The Council of the European Union

The Council of the European Union (normally referred to as ‘The Council’ but also known as ‘The Council of Ministers’) is one of the main decision-making bodies within the Union. The Council comprises representatives of the governments from the current 28 Member States:

<table>
<thead>
<tr>
<th>Austria</th>
<th>Belgium</th>
<th>Bulgaria</th>
<th>Croatia</th>
<th>Cyprus</th>
</tr>
</thead>
<tbody>
<tr>
<td>Czech Republic</td>
<td>Denmark</td>
<td>Estonia</td>
<td>Finland</td>
<td>France</td>
</tr>
<tr>
<td>Germany</td>
<td>Greece</td>
<td>Hungary</td>
<td>Ireland</td>
<td>Italy</td>
</tr>
<tr>
<td>Latvia</td>
<td>Lithuania</td>
<td>Luxembourg</td>
<td>Malta</td>
<td>Netherlands</td>
</tr>
</tbody>
</table>

25 The Right2Water Initiative maintains that ‘water is a right, not a commodity’. For more details, see http://europa.eu/rapid/merid-express-23-12-2013.htm
The Council is a single body, consisting of ministers from the governments of each of the Member States. Under the terms of the Lisbon Treaty, it meets, however, in ten different configurations depending on the subjects under discussion: General affairs; Foreign affairs; Economic and financial affairs; Cooperation in the fields of justice and home affairs; Employment, social policy, health and consumer affairs; Competitiveness; Transport, telecommunications and energy; Agriculture and fisheries; Environment; Education, youth and culture. Foreign Ministers attend meetings on foreign policy; Agriculture Ministers those dealing with agricultural issues, and so on.

The Council is assisted by a permanent Representative Committee (COREPER), comprising the permanent representatives (ambassadors) of the Member States of the Union. Its main task is to prepare the ground for Council meetings.

Meetings of the Council are chaired by the representative of the Member State that holds the EU Presidency at the time, an office which is rotated between Member States every six months. Most of working groups that prepare meetings of the Council are similarly chaired in rotation. The one exception to this
Trade Unions and Transnational Projects

is the area of foreign affairs and security policy. Council meetings dealing with these fields are now chaired by the High Representative for Foreign Affairs and Security Policy and working groups are chaired by a member of the European External Action Service (EEAS) (see below under European Commission).

As a general rule, decisions in the Council of the EU are taken by qualified majority. The bigger a country’s population, the more votes it has; but in fact the numbers are weighted in favour of the less populous countries:

<table>
<thead>
<tr>
<th>Country</th>
<th>Votes</th>
<th>Population (millions)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Austria</td>
<td>10</td>
<td>8.48</td>
</tr>
<tr>
<td>Belgium</td>
<td>12</td>
<td>11.16</td>
</tr>
<tr>
<td>Bulgaria</td>
<td>10</td>
<td>7.26</td>
</tr>
<tr>
<td>Croatia</td>
<td>7</td>
<td>4.28</td>
</tr>
<tr>
<td>Cyprus</td>
<td>4</td>
<td>0.88</td>
</tr>
<tr>
<td>Czech Republic</td>
<td>12</td>
<td>10.52</td>
</tr>
<tr>
<td>Denmark</td>
<td>7</td>
<td>5.61</td>
</tr>
<tr>
<td>Estonia</td>
<td>4</td>
<td>1.28</td>
</tr>
<tr>
<td>Finland</td>
<td>7</td>
<td>5.44</td>
</tr>
<tr>
<td>France</td>
<td>29</td>
<td>63.82</td>
</tr>
<tr>
<td>Germany</td>
<td>29</td>
<td>80.64</td>
</tr>
<tr>
<td>Greece</td>
<td>12</td>
<td>10.76</td>
</tr>
<tr>
<td>Hungary</td>
<td>12</td>
<td>9.89</td>
</tr>
<tr>
<td>Ireland</td>
<td>7</td>
<td>4.66</td>
</tr>
<tr>
<td>Italy</td>
<td>29</td>
<td>59.38</td>
</tr>
<tr>
<td>Latvia</td>
<td>4</td>
<td>2.01</td>
</tr>
<tr>
<td>Lithuania</td>
<td>7</td>
<td>2.96</td>
</tr>
<tr>
<td>Luxembourg</td>
<td>4</td>
<td>0.45</td>
</tr>
<tr>
<td>Malta</td>
<td>3</td>
<td>0.42</td>
</tr>
<tr>
<td>Netherlands</td>
<td>13</td>
<td>16.80</td>
</tr>
<tr>
<td>Poland</td>
<td>27</td>
<td>38.55</td>
</tr>
<tr>
<td>Portugal</td>
<td>12</td>
<td>10.61</td>
</tr>
<tr>
<td>Romania</td>
<td>14</td>
<td>19.86</td>
</tr>
<tr>
<td>Slovakia</td>
<td>7</td>
<td>5.41</td>
</tr>
<tr>
<td>Slovenia</td>
<td>4</td>
<td>2.06</td>
</tr>
<tr>
<td>Spain</td>
<td>27</td>
<td>46.96</td>
</tr>
</tbody>
</table>
At the time of writing, the rules of the Nice Treaty still apply to voting in the Council. Under these, a qualified majority is reached when:

- At least 15 of the 28 EU countries vote in favour (18 if the legislation was not proposed by the Commission)
- At least 260 of the possible 352 votes are cast in favour
- The Member States supporting the proposal represent at least 62% of the total EU population.

If any one of these criteria is not met, the proposal cannot be adopted.

From November 2014, however, this will change as the new principle of ‘double majority’ established by the Lisbon Treaty will come into force. This will simply require a decision to be supported by at least 55% of the members of the Council (i.e. a minimum of 15 of the current 28 Member States), and representing at least 65% of the population of the European Union. A blocking minority voting against a proposal has to include at least 4 Member States. Between November 2014 and March 2017, any Member State may request that the current weighted voting system be applied instead of the double majority.

In votes in certain areas, including security, external affairs and taxation, decisions in the Council have to be unanimous. This means that a single country can veto a decision.

The European Council

The European Council provides the overall strategic direction and general political guidance of the Union. It comprises the Heads of State or Government of all the Member States, together with the President of the European Commission. It is the EU’s highest level decision-making body and meets four times each year. Amongst its other duties, it is empowered to settle any issues on which the Council of the European Union cannot reach agreement. It has no powers to pass laws.

The Lisbon Treaty recognises the European Council as an independent institution, distinct from the Council of the European Union. It also created a fixed full-time post of President of the European Council to replace the

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Not to be confused with the Council of Europe, which is a separate organisation, representing 47 European countries.
previous rotating presidency. The President is elected by the European Council by qualified majority voting for a period of two and a half years, renewable once. The election of the President is subject to the approval of the European Parliament. The President’s role is to ensure the preparation and continuity of the work of the European Council and to represent the Union externally on issues concerning common foreign and security policy.

Except where the Treaties provide otherwise, decisions of the European Council are taken by consensus. In other cases, it adopts decisions by unanimity or by qualified majority, depending on what the Treaty provides for.

The presence of two-thirds of the members of the European Council is required to enable the European Council to vote. The President of the European Council and the President of the Commission are not included in the calculation of the quorum, nor do they vote.

In 2011 the UK exercised the first veto in the Council to block moves to make changes to the current Treaty.

The European Parliament

Under the Treaty of Rome, the role of the European Parliament was purely one of consultation. However, subsequent treaties have extended its influence to amending and adopting legislation. As we have seen, in most cases both the Council and the Parliament must now agree any proposed legislation before it can pass into European law, although there are areas such as taxation, social security and defence matters where its powers are limited. The Parliament also elects, rather than approves, the appointment of the President of the European Commission and its consent is also needed in the appointment of the EU’s High Representative for Foreign Affairs and Security Policy.

The Parliament, which since 1979 has been directly elected by universal suffrage of all citizens in the Member States over the age of 18 (16 in the case of Austria), is currently composed of 751 members (MEPs) whose mandate lasts for 5 years. Within the Parliament, MEPs are grouped by party political, rather than national, allegiance. There are currently 7 political groupings in the Parliament.

The work of the Parliament is split between Strasbourg, which usually houses the full sessions of the Parliament; Brussels, where extraordinary sessions and the work of the Parliamentary Committees take place; and Luxembourg, where the Parliament administration is based.

The European Commission

As we have already noted, legislation is proposed, in the first instance, by the third key institution - the European Commission - which is essentially the Civil Service of the Union. In broad terms, the Commission acts as a body independent of the Council and the Parliament and has the role of:

- Proposing legislation
- Ensuring the application of the Treaties
- Overseeing the application of Union law under the control of the European Court of Justice
- Executing the budget and managing the funding programmes
- Initiating the Union’s annual and multi-annual inter-institutional programme
- Ensuring the Union’s external representation, except in the area of the common foreign and security policy
- Exercising coordination, executive and management functions, as laid down in the Treaties. It also has the right of legislative initiative in areas such as the budget and the Structural Funds
- Exercising an almost exclusive right of initiative in matters where the ‘Community method’ applies (matters where Member States have transferred a part of their responsibilities, such as the Common Agricultural Policy, the Customs Union, the internal market and the Euro).

Since 1 January 2007, the European Commission has consisted of 28 Commissioners, one from each Member State, appointed for a five-year period. The current Commission under the President, José Manuel Barroso, took office in 2010. The Lisbon Treaty had originally proposed to reduce the number of Commissioners in 2014 to a number inferior to that of the number of Member States. However, the European Council of 11 - 12 December 2008 needed to find appropriate assurances to eliminate Irish reservations following the first (negative) referendum on the Lisbon Treaty and, in particular, agreed that each Member State should keep a Commissioner for the foreseeable future.

The central offices of the Commission are divided between Brussels and Luxembourg and house some 38,000 employees. The Commission also has offices in each of the Member States, which function principally as information services.

29 See http://ec.europa.eu/
The Commission is made up of 43 Directorates-General (DGs) (including internal services), each one responsible for a particular area of activity – education and training, energy, agriculture, foreign affairs, media, technology, etc. Each of these is the direct responsibility of one of the Commissioners. Each DG has responsibility for an agreed programme of work with a budget to support it.

The Lisbon Treaty created a new post of **High Representative for the Union in Foreign Affairs and Security Policy**, which combines three functions:

- Acting as the Council’s representative for the Common Foreign and Security Policy (CFSP)
- Acting as the President of the Foreign Affairs Council
- Acting as a Vice-President of the European Commission.

The post carries responsibility for steering foreign policy and common defence policy and also representing the Union on the international stage in the field of CFSP. The High Representative is appointed by the European Council, with the consent of the European Parliament and the approval of the President of the Commission, for a period of five years, coinciding with the Commission’s term of office. The High Representative is assisted by a new body, the **European External Action Service (EEAS)**, and has authority over some 141 EU external delegations in different countries. The EEAS is effectively the European Union’s diplomatic corps. It is functionally autonomous from other EU bodies, but has a legal responsibility to ensure its policies are consistent with other EU policies.

**Court of Justice of the European Union**

The **Court of Justice of the European Union** (ECJ), which has its seat in Luxembourg, consists of three courts: the Court of Justice, the General Court and the Civil Service Tribunal.

The Court of Justice is composed of 28 Judges and eight Advocates-General. The Judges and Advocates General are appointed by the governments of the Member States, after consultation with a panel responsible for giving an opinion on prospective candidates’ suitability to perform the duties concerned. They are appointed for a term of office of six years, which is renewable. They are chosen from among individuals whose independence is beyond doubt and

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30 The composition of the European Commission and its Directorates-General is about to change. For up-to-date information, please consult [http://ec.europa.eu](http://ec.europa.eu).


who possess the qualifications required for appointment, in their respective
countries, to the highest judicial offices, or who are of recognised competence.

The Judges of the Court of Justice elect from among themselves a President
and a Vice-President for a renewable term of three years. The President di-
rects the work of the Court and presides at hearings and deliberations of the
full Court or the Grand Chamber.

The Advocates-General assist the Court. They are responsible for presenting,
with complete impartiality and independence, an ‘opinion’ in the cases as-
signed to them.

The role of the Court of Justice is to adjudicate on matters of interpretation
of European Union law. This includes, for example, deliberating on a claim
by the Commission that a Member State has not implemented a Directive. It
also provides rulings on issues concerning the interpretation and application
of EU legislation, referred from national courts. These rulings are then binding
on the national court. The ECJ can only interpret the law; it cannot decide on
the rights and wrongs of a particular case, which must be referred back to the
national court.

The General Court is principally concerned with hearing actions brought
against the EU institutions by individuals or by Member States. The Civil Ser-
vice Tribunal hears and determines disputes between the EU institutions and
their staff members.

European Court of Auditors

The European Court of Auditors (ECA)\(^{33}\), comprising one representative
from each Member State, is responsible for auditing the budget of the European
Union and reporting on its handling. One of the Court’s most important jobs is
to present the European Parliament and the Council with an annual report on
the previous financial year (the ‘annual discharge’). Parliament examines the
Court’s report thoroughly before deciding whether or not to approve the way
in which the Commission has handled the budget. The Court also has to give
its opinion on EU financial legislation and how to help the EU fight fraud. The
Court of Auditors has no legal powers of its own. If auditors discover fraud or
irregularities, they inform the OLAF – the European Anti-Fraud Office.

European Central Bank

\(^{33}\) See [http://eca.europa.eu/portal/page/portal/aboutus](http://eca.europa.eu/portal/page/portal/aboutus)
The European Central Bank (ECB)\textsuperscript{34} is responsible for monetary policy and managing the Euro. The ECB’s main task is to maintain the Euro’s purchasing power and thus price stability in the Euro area, comprising the 18 EU countries that have introduced the Euro since 1999.

Other European Bodies

While the Council of the European Union, the European Parliament, the European Commission, the Court of Justice, the European Court of Auditors and the European Central Bank are full EU institutions, there are a number of other important European bodies, including:

- **The European Ombudsman** whose office deals with citizens’ complaints about maladministration by any EU institution or body
- **The European Investment Bank** which helps achieve EU objectives by financing investment projects.

Advisory bodies

The European Parliament, the Commission and the Council are assisted by two advisory bodies:

- **The European Economic and Social Committee (EESC)\textsuperscript{35}** is currently composed of 353 members from representative national organisations (employers, workers and other interest groups). Members are nominated by national governments and appointed by the Council of the European Union for a renewable term of five years. The Committee delivers consultative opinions in areas specified by the Treaties, most particularly concerning the internal market and European social policy. The Lisbon Treaty represents an opportunity for the EESC to widen its role, particularly in the social field and in the Citizens’ Initiative.
- **The Committee of the Regions (CoR)\textsuperscript{36}** was established under the Maastricht Treaty, in response to several Member States’ demands that regional and local authorities should be directly involved at Union level. The Lisbon Treaty has improved the standing of regions and cities in the European Union’s political

\textsuperscript{34} See \url{http://www.ecb.int/home/html/index.en.html}

\textsuperscript{35} See \url{http://www.eesc.europa.eu/}

\textsuperscript{36} See \url{http://www.cor.europa.eu/}
system and has boosted the institutional role of their representative body in Brussels throughout the legislative process. In addition to extended consultation requirements during the adoption of EU legislation, the CoR now also has the right to bring legal actions before the European Court of Justice in two instances: firstly, to protect its own institutional prerogatives and to request the annulment of new EU legislation that it considers being in breach of the principle of subsidiarity; and secondly, in the policy areas where the EU Treaty requires that the CoR be consulted, including education, youth, culture and economic and social cohesion. The Committee of the Regions currently comprises 353 members, drawn from the 28 Member States.

A number of agencies and other bodies complete the system.

Interinstitutional bodies

- The Office for Official Publications of the European Communities publishes, prints and distributes information about the EU and its activities.
- The European Communities Personnel Selection Office recruits staff for the EU institutions and other bodies.
- The European School of Administration provides training for staff of the EU institutions.

Agencies and other EU bodies

A number of specialised and decentralised EU Agencies have been established to support the EU Member States and their citizens. They handle specific technical, scientific or management tasks.

They are grouped into several categories:

Decentralised agencies

There are more than 30 agencies in different EU countries. They play an important role in implementing EU policies, especially tasks of a technical, scientific, operational and/or regulatory nature. This frees up the EU institutions, especially the Commission, to concentrate on policy-making. They also support cooperation between the EU and national governments in important policy areas, by pooling technical and specialist expertise from both the EU institutions and national authorities.

The decentralised agencies are independent legal entities under Europe-
an public law, distinct from the EU institutions (Council, Parliament, Commission, etc). They are set up by an act of secondary legislation in order to accomplish a very specific technical, scientific or managerial task.

At present they are:

- Agency for the Cooperation of Energy Regulators (ACER)
- Body of European Regulators for Electronic Communications (BEREC)
- Translation Centre for the Bodies of the European Union (CdT)
- European Centre for the Development of Vocational Training (Cedefop)
- European Fisheries Control Agency (EFCA)
- Community Plant Variety Office (CPVO)
- European Aviation Safety Agency (EASA)
- European Asylum Support Office (EASO)
- European Centre for Disease Prevention and Control (ECDC)
- European Chemicals Agency (ECHA)
- European Environment Agency (EEA)
- European Food Safety Authority (EFSA)
- European Institute for Gender Equality (EIGE)
- European Monitoring Centre for Drugs and Drug Addiction (EMCDDA)
- European Medicines Agency (EMA)
- European Maritime Safety Agency (EMSA)
- European Network and Information Security Agency (ENISA)
- European Railway Agency (ERA)
- European Training Foundation (ETF)
- European Agency for Safety and Health at Work (EU-OSHA)
- European Foundation for the Improvement of Living and Working Conditions (EUROFOUND)
- European Union Agency for Fundamental Rights (FRA)
- European Agency for the Management of Operational Cooperation at the External Borders (FRONTEX)
- European GNSS Agency (GSA)
- Office for Harmonisation in the Internal Market (OHIM)
- European Police College (CEPOL)
- The European Union’s Judicial Cooperation Unit (EUROJUST)
- European Police Office (EUROPOL)
- European Agency for the operational management of large-scale IT systems in the area of freedom, security and justice (eu-LISA)
- European Banking Authority (EBA)
The European Context

- European Insurance and Occupational Pensions Authority (EIOPA)
- European Securities and Markets Authority (ESMA)

Common Foreign and Security Policy Agencies
These Agencies have been set up to carry out specific technical, scientific and management tasks within the framework of European Union’s Common Foreign and Security Policy (CFSP). At present these agencies are:

- European Defence Agency (EDA)
- European Union Institute for Security Studies (EUISS)
- European Union Satellite Centre (EUSC)

EURATOM agencies and bodies
These bodies are created to support the aims of the European Atomic Energy Community Treaty (EURATOM). The purpose of the Treaty is to coordinate the Member States’ research programmes for the peaceful use of nuclear energy, to provide knowledge, infrastructure and funding of nuclear energy and to ensure sufficiency and security of atomic energy supply. At present, these agencies are:

- EURATOM Supply Agency (ESA)
- European Joint Undertaking for ITER and the Development of Fusion Energy (Fusion for Energy)

Executive agencies
Executive agencies are organisations established with a view to being entrusted with certain tasks relating to the management of one or more Community programmes. These agencies are set up for a fixed period. Their location has to be at the seat of the European Commission (Brussels or Luxembourg).

At present, these agencies are:

- Education, Audiovisual and Culture Executive Agency (EACEA)
- Executive Agency for Competitiveness and Innovation (EACI)
- European Research Council Executive Agency (ERC Executive Agency)
- Executive Agency for Health and Consumers (EAHC)
- Research Executive Agency (REA)
- Innovation and Networks Executive Agency (INEA)

Other agencies
The European Institute of Innovation and Technology (EIT) has been created with the mission of developing and capitalising on the innovation capacity and capability of actors from higher education, research, business and entrepreneurship from the EU and beyond, through the creation of highly-integrated Knowledge and Innovation Communities. The European Institute of Innovation and Technology (EIT) is a body of the European Union based in Budapest, Hungary. It was established by the Regulation (EC) No 294/2008 of the European Parliament and of the Council of 11 March 2008. It became operational in 2010.
The European Systemic Risk Board (ESRB) was also set up in January 2011 to facilitate the sharing of information between authorities on lending in foreign currencies, replacing the former EU Supervisory Committees.

**EU funding mechanisms**

As part of its remit in administering Union funds, the Commission, through its various Directorates-General (DGs) and other sub-divisions, is formally responsible for the establishment of a wide range of financial mechanisms. These are concerned, amongst other things, with redressing regional imbalances, developing infrastructural resources across the Union, enhancing the Union’s economic competitiveness, and increasing the knowledge and skills base of the Union.

These mechanisms take a variety of forms: some are major economic intervention funds, such as the Structural Funds, deployed in partnership with Member State governments; others are concerned with support for more limited projects and programmes of work, some of which are directly accessible by different groups and organisations. Some may be funded on an annual basis; others may be part of a larger multi-annual funding programme. The support provided takes the form of grant aid and is of a non-commercial nature, designed to further EU policies.

The Commission has a variety of measures through which it can offer support to training and education. The principal measures consist of support via:

- The Structural Funds
- Specific Programmes of funding operated by some of the DGs
- Other budget allocations.

Since each Directorate-General is to some extent independent, the procedures, rules, and eligibility criteria for applying to individual programmes can differ, as can the culture within which they operate. Opportunities to apply for support for particular projects are announced periodically as **Calls for Proposals** in the *Official Journal of the European Union*, a publication that appears daily, as well as via the web site of the DG concerned and through national information centres. Generally the closing date for application is three months after the date of the call, though this can vary from programme to programme.

It is important to distinguish between Calls for Proposals, which relate to grant aid support, and **Calls for Tender**, which concern the supply of services to the Commission on a commercial basis.

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Most of the large scale multi-annual funding programmes are organised on a seven-year basis, with 2014 marking the introduction of a new series. It is important to note that many of the new generation of EU programmes and grants 2014-2020 are addressed more broadly to ‘civil society’ rather than specifically to ‘social partners’. This means that the competition in the submission of project proposals is likely to be greater with the consequent need to make sure that proposals are of a high quality, if they are to have a chance of success. This is an area where more training of trade union officers in project work could be critical.

Part Three of this handbook looks in more detail at some of the possibilities for grant aid from the EU. It includes chapters on the major programmes and budget lines supporting areas of interest to trade unions, as well as on funding sources supporting work in countries outside the EU.

First, however, it is useful to look more closely at current EU policy issues, to gain a deeper understanding of the thinking and priorities which provide a context for the various funding interventions.
Chapter 9

The European Union: Some Key Policy Themes

As we noted at the end of the previous chapter, European Union funding programmes are established to act as instruments to further EU policies. If you are to be successful in securing funding for your project from the European Commission, you need to understand its key policies and priorities.

In this chapter we highlight some of the current major themes in European Union policy in areas which are likely to be of interest within a European trade union context. This will help you consider and explain to the European Commission, one of the key potential stakeholders, how your project can contribute to achieving their objectives.

It is particularly important to be aware of the current state of those policies, as many of the more traditional funding programmes are changing as part of the new Multiannual Financial Framework. The Multiannual Financial Framework (MFF) 2014-2020\(^\text{38}\) sets out the spending priorities and maximum annual amounts which the European Union may spend in different policy fields over a fixed period (seven years).

EU policy is a vast and complex area. All we can do here is provide some pointers on major themes, and how they have developed, together with some references to key documents where you can begin to acquire a more informed view. EU policies concerning education and training are looked at in particular detail in the second half of the chapter.

Economic consolidation and harmonisation

The early stages of European integration focused on economic cohesion. Although considerable progress was made in the late 1980s and early 1990s, the planned delivery of a fully integrated single market by 1992 did not material-

ise. This is still a goal to be achieved and forms one of the main ongoing tasks of the Union.

The most significant step of the last two decades has been the introduction in 1999 of Economic and Monetary Union (EMU) and the adoption of the Euro as a common currency by 12 of the then 15 Member States. Following subsequent enlargements, the Euro is now the currency of 18 Member States and is used by more than 333 million people in their everyday transactions.

The introduction of the Euro represented a major step in European integration and was generally welcomed, although some Member States were less enthusiastic and chose to retain their national currencies. However, as a result of the current crisis, it is becoming increasingly clear that insufficient measures were put in place to underpin the Euro and to ensure economic and fiscal coherence between the Eurozone countries. Further economic integration including, for example, harmonisation of tax regimes and the introduction of Eurobonds underwritten jointly by the 18 governments that now use the currency, remains a difficult issue.

EU enlargement

Established in 1957 by six countries, the European Union now comprises 28 Member States, following a further seven stages of enlargement. For the more recent accessions of Member States from Central and Eastern Europe, the EU has supported accession procedures through bilateral and financial instruments. This has involved the countries concerned in adapting their social and economic systems, including their provisions for education and training. The latest additions have been Bulgaria and Romania on 1st January 2007, followed by Croatia on 1 July 2013. These new Member States now participate formally in all decisions of the European Union, including the formation and management of its Cohesion Policy 2014-2020 and the new EU programmes.

39 Austria, Belgium, Finland, France, Germany, Greece, Ireland, Italy, Luxembourg, Netherlands, Portugal, Spain. These original members of the Eurozone have since been joined by Cyprus, Malta, Slovakia, Slovenia and Estonia. Latvia adopted the Euro on 1 January 2014 as the latest member of the Eurozone. Other Member States have signalled their intention to adopt the Euro over the coming years with Lithuania expected to adopt the euro in 2015. For a fuller account of the Euro, see: http://ec.europa.eu/economy_finance/euro/index_en.htm

such as Erasmus+ (the programme for Education, Training, Youth and Sports), that run for the period 2014-2020.

The impact of this major enlargement of the EU has yet to be reviewed, but, whilst in principle supporting enlargement, there are significant concerns for European trade unions about companies relocating to the newer Member States and the possibilities of ‘social dumping’. Further enlargement is also envisaged. Iceland applied in 2009; accession negotiations started in 2010 and already a large number of chapters of the negotiation have provisionally closed. The other countries that are recognised as candidate countries are the Former Yugoslav Republic of Macedonia, Montenegro, Serbia and Turkey. Albania, Bosnia and Herzegovina and Kosovo are all potential candidate countries.

Towards a Europe of Growth

The need for the European Union to become increasingly competitive in economic terms has been a major issue since the 1990s. One of its earliest expressions was in the Commission’s White Paper of December 1993 on Growth, Competitiveness and Employment. Its most significant formulation, however, and the determining framework for all subsequent Community policy in this area, was the formulation at the meeting of the European Council in March 2000 of the so-called Lisbon Strategy.

The Lisbon Strategy for growth and jobs did not, however, achieve its aims. By the end of the 10-year period dedicated to realising the Strategy, the economic crisis had hit Europe. To emerge from the crisis and to prepare Europe for the future, the European Commission launched the Europe 2020 Strategy which was adopted by the European Council in June 2010.

41 http://ec.europa.eu/programmes/erasmus-plus/index_en.htm
42 http://ec.europa.eu/education/index_en.htm
43 Ibid.
44 http://ec.europa.eu/youth/index_en.htm
45 http://ec.europa.eu/sport/index_en.htm
46 http://ec.europa.eu/enlargement/index_en.htm
The Lisbon Strategy

Although it has now been replaced by the Europe 2020 Strategy, it is important to be aware of the aims of the Lisbon Strategy, in order to understand more fully the context and approach of Europe 2020.

The Lisbon Strategy set the European Union

‘...a new strategic goal for the next decade: to become the most competitive and dynamic knowledge-based economy in the world capable of sustainable economic growth with more and better jobs and greater social cohesion. Achieving this goal requires an overall strategy aimed at:

- preparing the transition to a knowledge-based economy and society by better policies for the information society and R&D, as well as by stepping up the process of structural reform for competitiveness and innovation and by completing the internal market;
- modernising the European social model, investing in people and combating social exclusion;
- sustaining the healthy economic outlook and favourable growth prospects by applying an appropriate macro-economic policy mix.’

The ‘knowledge-based economy’ referred to in the Strategy is not a clearly defined concept. It emerged from a growing awareness of the challenges of increasing globalisation and the rapid development of information technology. It posited an economy that was radically different from the industrial economies of the past: an economy in which the (high value) skills and creativity of workers were central to the research, development and continuous innovation on which the new economy depended, rather than one based on (low value) physical labour. Implicit, too, were the exploitation of new information and communication technologies; new patterns of flexible working; new networks of communication; new training and educational needs, including continual updating and retraining; a new sense of active citizenship with new ways of accessing government and public services; and increased inclusivity for marginalised groups.

The Lisbon strategy also identified a list of targets for achieving its goals, either general ones (for example, economic growth averaging 3%; an employment rate of 70%, with 60% of women working by 2010) or more specific ones (for example, halving the number of people at risk of poverty throughout the EU; reducing school dropout rates to below 10%; ensuring that at least 85% of young people completed upper secondary education and that the average level of participation across the EU in Lifelong Learning was at least 12.5% of the adults aged between 25 and 64).

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48 For the full text of the Council conclusions, see: http://www.europarl.europa.eu/summits/lis1_en.htm#1
This ambitious strategy of transforming the European economy in the period up to 2010 had various strands. These involved not simply pushing further macro-economic reforms, including a fuller implementation of the Single Market, or making information and communication technologies available to all, but also profound changes in social policy and in education and training. It also introduced a new **open method of coordination** in formulating and implementing policy. This involved collaboration and discussion between the Commission and Member States, with full social partner involvement, to agree plans with specific targets to implement the various dimensions of the strategy, at the same time taking account of national and regional circumstances.

Even before the current economic crisis, however, it seemed clear that this strategy would not achieve all of its targeted objectives. Although progress had been made in several fields, there were some key targets that were a long way from being achieved. According to the data from 2010, the employment rate was 64.6% rather than 70%; the proportion of working women was 46% rather than 60%; the school dropout rate was 14.4% rather than less than 10%; and the proportion of adults involved in learning was 9.3% rather than 12.5%.

Various commentators, including the European Trade Union Confederation, pointed to a lack of cohesion and solidarity between the national governments and a lack of policies designed to stimulate the EU economy as being among the chief causes of this failure.

### Europe 2020 Strategy

In an attempt to provide new momentum and to prepare the EU for the coming decade, in March 2010 the European Commission launched the ‘Europe 2020 Strategy’. This strategy is based on three main priorities for growth to be implemented, at both European and national level, by means of concrete actions:

- **Smart growth** (promoting knowledge, innovation, education and the digital society)
- **Sustainable growth** (making production more economical, more carbon-efficient and more competitive)
- **Inclusive growth** (increasing participation in the labour market, increasing the acquisition of skills and combating poverty, encouraging social and regional cohesion).

The progress achieved will be measured against **5 headline EU targets**, which the Member States have been asked to translate into national targets:

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75% of the population aged from 20 to 64 years should be in employment
3% of EU GDP should be invested in R&D
The “20/20/20” climate and energy targets should be met (reduction in greenhouse gas emissions, use of energy from renewable sources, increase in energy efficiency)
The proportion of early school leavers should be under 10% and at least 40% of young people should have a degree or diploma
20 million fewer people should be at risk of poverty.

To meet these targets more effectively, the Commission proposes strengthening the Europe 2020 strategy through seven Flagship Initiatives to be implemented through actions at all levels: by EU organisations, Member States and local and regional authorities, in synergy with social partners:

- **Smart Growth**
  - **Innovation Union**: re-focusing R&D and innovation policy, closing the gap between science and the market to turn inventions into products
  - **Youth on the Move**: enhancing the quality and international appeal of Europe’s higher education system by promoting the mobility of students and young professionals
  - **Digital Agenda for Europe**: delivering sustainable economic and social benefits achieved through a Digital Single Market based on ultra-fast Internet. All Europeans should have access to high-speed Internet by 2013

- **Sustainable Growth**
  - **Resource-efficient Europe**: Supporting the shift towards a resource-efficient and low-carbon economy. Europe should adhere to its 2020 targets in terms of energy production, efficiency and consumption. This would reduce the cost of our oil and gas imports by 60 billion Euros by 2020
  - **An Industrial Policy for Green Growth**: helping the EU’s industrial base to be competitive in the post-crisis world, promoting enterprise and developing new skills to create millions of new jobs

- **Inclusive Growth**
  - **Agenda for New Skills and Jobs**: creating the conditions for modernising labour markets with a view to raising employment levels and ensuring the sustainability of European social models, at a time when baby-boomers will be taking retirement

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50 See “Europe 2020: the Commission proposes a new economic strategy in Europe”, 3rd March 2010
— **European Platform against Poverty:** ensuring economic, social and territorial cohesion by helping the poor and socially excluded and enabling them to take an active part in society.

It is clear that the Europe 2020 strategy has had to confront the most serious economic crisis of recent years. This crisis has increased the centrifugal tendencies of some Member States, making it more difficult to maintain a strong European strategy.

In its effort to progress the strategy despite the crisis, the European Union has taken additional steps to provide coordination and financial support, such as:

- Strong coordination of national economic policies via the European Semester\(^{51}\)
- Avoiding deficits and increasing fiscal discipline
- Watching out for macroeconomic imbalances
- Establishing mechanisms for financial stability, most particularly through the European Stability Mechanism (ESM)\(^{52}\)
- Growth and job creation
- Financing Europe 2020 (through the MFF 2014-20 and, in particular, the EU Structural Funds)
- Broad involvement (not only of the European Parliament, the Council, and the Commission, but also of national governments, local and regional authorities, social partners and civil society).

**Employment**

From the mid-1990s, there has been an increased concern with tackling the rise in unemployment in many Member States.

The economic crisis has pushed unemployment to unprecedented levels\(^{53}\). At the beginning of 2000, about 20 million people were unemployed in the EU-27 (i.e. the current Member States excluding Croatia), corresponding to 9% of the total labour force. By the end of 2012 unemployment increased to 26 million people, a record of 10.7% of the total labour force of the EU-27. At the same time, the unemployment rate in the euro area (EA-17) reached 11.8%, the highest since 1995\(^{54}\).

\(^{51}\) [http://ec.europa.eu/europe2020/making-it-happen/index_en.htm](http://ec.europa.eu/europe2020/making-it-happen/index_en.htm)

\(^{52}\) [http://ec.europa.eu/economy_finance/assistance_eu_ms/intergovernmental_support/index_en.htm](http://ec.europa.eu/economy_finance/assistance_eu_ms/intergovernmental_support/index_en.htm)


\(^{54}\) Ibid.
The European Employment Strategy (EES) provides a framework, via the open method of coordination, for EU Member States to share information and to discuss and coordinate their employment policies. Due to the high level of unemployment, the European Commission launched in April 2012 a set of measures to boost jobs, the so-called Employment package.

The EU’s main source of financial support to implement the EES is the European Social Fund, which finances measures to improve employability and to combat unemployment. From 2007 this was complemented by the PROGRESS Programme which, since January 2014, has been replaced by the new programme for Employment and Social Innovation-EaSI.

For anyone considering developing a major project, even at a local level, it will be important to be familiar in broad terms with the current EU developments in this area. The best starting point is to read carefully the Employment Package documents that look at how EU employment policies intersect with a number of other policy areas in support of smart, sustainable and inclusive growth.

Social Policy

The Lisbon Strategy and the Europe 2020 Strategy both clearly link economic growth and employment with support for a renewed and modernised social model that can address issues of social inclusion.

In July 2008 the European Commission adopted a Renewed Social Agenda, designed to ensure that EU policies could respond to the major challenges of technological change, globalisation and an ageing population. The Renewed Social Agenda has three interrelated goals:

- Creating Opportunities
  Creating opportunities means generating more and better jobs and facilitating mobility. In societies where each individual is regarded as being of equal worth, no barriers of any kind should hold people back. This means ensuring the chances for all to develop their own potential while respecting Europe’s diversity and tackling both overt and indirect discrimination and fighting racism and xenophobia.

- Providing Access
  Given the very different starting points in life, opportunity cannot

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57 See Chapter 14
be ensured without improving access for the most disadvantaged. All citizens must have access to good quality education, social protection, health care and services that can help to overcome inequalities in starting points and to enable all to enjoy longer, healthier lives. Europe’s youth must be equipped to take advantage of opportunities. All Europeans should have access to education and skills development throughout life (for example, second chance schools or life-long learning) so as to be able to adjust to change and start afresh at different points in their life.

**Demonstrating Solidarity**

Europeans share a commitment to social solidarity: between generations, regions, the better off and the less well off and wealthier and less wealthy Member States. Solidarity is part of how European society works and how Europe engages with the rest of the world. Real equality of opportunity depends on both access and solidarity. Solidarity means action to help those who are disadvantaged – who cannot reap the benefits of an open, rapidly changing society. It means fostering social inclusion and integration, participation and dialogue and combating poverty. It means giving support to those who are exposed to temporary, transitional problems of globalisation and technological change.

The Commission proposes to use a mix of different policy tools to achieve these objectives, including:

- **EU legislation** (including proposals on tackling discrimination outside the labour market, patients’ rights in cross-border health care, improving the functioning of European Works Councils)
- **Social dialogue** (encouraging representatives of workers and employers to make full use of the possibilities offered by the European Social Dialogue)
- **Cooperation between Member States** (in particular, reinforced cooperation in the area of social protection and social inclusion)
- **EU funding** (mobilising the EU’s Structural Funds, the Europe Globalisation Adjustment Fund⁵⁹, the European Social Fund⁶⁰ and the new programme for Employment and Social Innovation - EaSI⁶¹.)
- **Partnership, dialogue and communication** (involvement and consultation of non-governmental organisations, regional and local authorities and other stakeholders)

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Ensuring that all EU policies promote opportunities, access and solidarity (screening new initiatives for social and employment impacts, especially through the European Employment Strategy62).

The Charter of Fundamental Rights

The adoption of the Treaty of Lisbon63 and the Charter of Fundamental Rights in December 2009 has brought an enhanced legal status to certain aspects of EU social and employment policy.

Most trade unions agree that the Treaty has the potential to significantly enhance civil rights, including equal opportunities and employment rights, by establishing the European Charter of Fundamental Rights as primary EU law for the first time, although some critics of the Treaty have argued that its drafters could have done more to enhance workplace protection.

The Charter contains 50 rights, with binding legal force on both the EU and on most of the Member States64, grouped in six areas:

- Dignity
- Solidarity (which is where most of the employment and workplace rights appear in the Charter)
- Freedom
- Citizens’ Rights
- Equality
- Justice

A large number of specific employment-related rights included in the Charter will have additional legal force at EU level. They include:

- The prohibition of slavery, forced labour and human trafficking (Article 5)
- The right to collective bargaining and collective action, including strike action (Article 28)
- The prohibition of discrimination based on sex, race, colour, ethnic or social origin, genetic features, language, religion,

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63 Not to be confused with the Lisbon Strategy.

64 The UK, Poland and the Czech Republic have negotiated specific exceptions with regard to the legally binding jurisdiction of the European Court of Justice and national courts in relation to the Charter.
political belief, membership of a national minority, property, birth, disability, age or sexual orientation (Article 21)
- **Equality** for men and women in employment, work and pay (Article 23)
- **Protection** in the event of unjustified dismissal (Article 30)
- The right to **working conditions** that respect health, safety and dignity (Article 31)
- The right to limited maximum **working hours**, daily and weekly rest periods and paid annual leave (Article 31)
- Rights to **information and consultation** (Article 27)
- The prohibition of **child labour** and **protection of young people** at work (Article 32)
- The right to protection from **dismissal** for reasons connected with **maternity** (Article 33)
- The right to **paid maternity leave and parental and adoptive leave** (Article 33)
- Rights to **social security and assistance**, including in cases of maternity, illness, industrial accidents, old age and loss of employment (Article 34)
- The right of authorised ‘**third country**’ nationals to equivalent working conditions to EU citizens (article 15)
- Access to preventative health care, medical treatment and other public services (**services of general interest**) (Articles 35 and 36)
- The right to protection of **personal data** (Article 8).

While many of these rights already had strong legal effect through EU directives, others, including rights to collective bargaining and collective action (including strike action), did not.

The first and immediate benefit of achieving full legal status for the Charter is that the European Court of Justice (ECJ) has to place as much weight on the Charter – including its provisions on workplace and bargaining rights - as it does on all other EU laws and treaties. Although this does not give workplace rights precedence over market rules, it should for the first time give them equivalence when the ECJ makes its rulings. Legal experts say that this could have been significant in controversial judgements in the recent past. Following ratification of the Treaty, national courts and the European Court of Justice are obliged to give these rights the same weight as existing EU laws governing trade and the free market. EU legislators also have to give them equal weight when formulating new EU laws and national governments have to do the same when incorporating EU laws into national legislation.

Secondly, establishing the Charter’s 50 provisions as primary EU law prevents Member States from removing existing legal rights where they relate to EU laws, treaties or regulations. This should effectively strengthen workers’ protection at a time when employers, politicians and others are calling for deregulation as part of the response to the recession and world financial crisis.
Thirdly, achieving full legal status for the Charter should strengthen trade union campaigns for enhanced legal protection for workers, including representation rights. Although the Charter’s provisions do not automatically apply to all domestic laws, the rights it enshrines should apply when the EU is legislating, when its Member States are implementing or transposing EU law, and when the national courts and the ECJ are interpreting EU legislation. Unions will have to continue to campaign to have the Charter enshrined in national legislation, too. This will not be easy, but the fact that the Charter has been adopted as primary EU law opens up this possibility.

A horizontal ‘social clause’ ensures that the Union will take into consideration requirements such as the promotion of a high level of employment, adequate social protection, the fight against social exclusion, and need for high levels of education, training and protection of human health. This means in real terms that any European law contrary to these objectives can be declared void by the Court of Justice.

The social clause strengthens and reaffirms the role of the social partners, including the recognition of the Tripartite Social Summit for Growth and Employment.

**Research and Innovation**

‘Research and development’ and ‘innovation’ are key terms in the Europe 2020 Strategy. With over thirty action points, the Innovation Union strand of the Strategy aims to improve conditions and provide access to finance for research and innovation in Europe, to ensure that innovative ideas can be turned into products and services that create growth and jobs.

Within the new MFF 2014-2020, *Horizon 2020* is the financial instrument implementing the *Innovation Union*, one of the Europe 2020 Flagship Initiatives, aimed at securing Europe’s global competitiveness. It will combine all research and innovation funding currently provided through the *Framework Programmes for Research and Technical Development*, the innovation related activities of the *Competitiveness and Innovation Framework Programme (CIP)* and the *European Institute of Innovation and Technology (EIT)*.

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65 Note, however, that the UK, Poland and the Czech Republic all negotiated opt-outs from the Charter.


Innovation has been a recurrent theme in virtually all funding programmes, across a spectrum from technological innovation, through curriculum innovation to innovative models of combating social problems.

**Information Society**

The field of information and communications technology continues to provide an important plank in EU strategy. This is part of its industrial strategy, as the Union seeks to capitalise on perceived strengths in e.g. mobile telephony and multimedia production. Information and communications technology is also, however, placed within the wider social context of a knowledge-based economy and society, increasingly dependent on ICT at every level. This impacts directly on citizenship.

The Europe 2020 Flagship Initiative Digital Agenda for Europe aims to create a single digital market based on fast/ultrafast internet and interoperable applications with the following targets:

- By 2013: broadband access for all
- By 2020: access for all to much higher internet speeds (30 Mbps or above)
- By 2020: 50% or more of European households with internet connections above 100 Mbps.

The Digital Agenda Review\(^68\) published on 18th December 2012 identifies 7 key areas for further efforts to stimulate the conditions to create growth and jobs in Europe:

- Create a new and stable broadband regulatory environment.
- Support new public digital service infrastructures through Connecting Europe Facility loans
- Launch a Grand Coalition on Digital Skills and Jobs
- Propose a EU cyber-security strategy and Directive
- Update the EU’s Copyright Framework
- Accelerate cloud computing through public sector buying power
- Launch a new electronics industrial strategy – an “Airbus of Chips”\(^69\).

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As of January 2014, new funding programmes have been put in place, including **Horizon 2020** (see above) and the **Connecting Europe Facility (CEF)**.

### Education and Training

Education and training clearly plays a crucial role in delivering the knowledge-based economy advocated by the Lisbon Strategy, as well as in several of the Flagship Initiatives announced as part of the **Europe 2020** agenda. A strategy for education and training, **Education and Training 2010 (ET 2010)**, was developed as part of the implementation of the Lisbon Strategy and has since been superseded by the **Strategic Framework for European Cooperation in Education and Training 2020 (ET 2020)**.

The Maastricht Treaty (1992) provided the first legal basis for European intervention within education and training, in Articles 149 and 150. Both Articles depend, however, on the principle of **subsidiarity**.

The Union can only initiate actions which the individual Member States would be incapable of undertaking themselves, which effectively means actions to be conducted at a transnational level that involve or affect more than one Member State. On this basis, the Union is able, for example, to provide the opportunity for transnational education partnerships, exchange schemes and opportunities to learn abroad, innovative learning and teaching projects and the encouragement of academic and professional networks. It has, though, no power to define or impose a common education policy on Member States.

Instead, it seeks to promote cooperation between Member States and encourages a European dimension in education and training, aiming to preserve the best of the diversity in systems and methodologies, whilst seeking to improve standards overall and to meet the educational requirements of the 21st century.

Each EU country is responsible for its own education and training systems, so EU policy is designed to support national action and help address common challenges, such as ageing societies, skills deficits in the workforce, and global competition.

The EU acts as platform on issues of general interest for all Member States: it offers a forum for exchange of best practices, gathering and dissemination of information and statistics, as well as advice and support for policy reforms.

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70 For funding opportunities for Digital Agenda, see [https://ec.europa.eu/digital-agenda/en/funding-opportunities](https://ec.europa.eu/digital-agenda/en/funding-opportunities)
Funding is also available for activities that promote learning and education at all levels and for all age groups.

**Strategic Framework for European Cooperation in Education & Training 2020 (ET 2020)**

As early as 1996, the White Paper *Teaching and Learning: Towards the Learning Society* identified a series of challenges facing the European Union, including the impact of the information society, globalisation and scientific and technological knowledge, as well as the need for a broad personal knowledge base and the need to develop abilities for employment and economic life. The responses presented in that paper, coupled with responses to new challenges, have been developed in a long series of policy statements and strategy documents, culminating most recently in the *Strategic Framework for Education and Training 2020 (ET 2020)*.

It is clear that the disappointing results of the Lisbon Strategy and the current severe economic crisis have also had serious repercussions on education and training. Although some EU countries have increased commitments to and investments in research, education and training in an attempt to emerge from the crisis more effectively, others have made drastic cuts to the budgets for these sectors, making the road towards the ‘Europe of Knowledge’ launched in Lisbon even more difficult.

In this context, the new strategy launched with *Europe 2020* sets out to promote important objectives that will strengthen a Europe that bases its competitiveness on knowledge.

The following EU benchmarks for 2020 have been set for education in an attempt to improve on the results of the previous Strategy:

- At least 95% of children (from 4 to compulsory school age) should participate in early childhood education
- Fewer than 15% of 15-year-olds should be under-skilled in reading, mathematics and science
- Fewer than 10% of young people should drop out of education and training
- At least 40% of people aged 30-34 should have completed some form of higher education

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At least 15% of adults should participate in lifelong learning

At least 20% of higher education graduates and 6% of 18-34 year-olds with an initial vocational qualification should have spent some time studying or training abroad.

Progress on these benchmarks is assessed in each Member State through a yearly analysis, with the EU also providing recommendations. It is interesting, however, that the countries of the Eurozone that sought financial assistance (Ireland, Spain, Portugal, Greece and Cyprus) did not follow the same procedure, i.e. Country Specific Recommendations, but had to abide by the commitments set out in the Economic Adjustment Programmes they each signed.

The European Social Partners are involved in helping deliver the ET 2020 strategy, participating in technical working groups of the European Commission, each dealing with a specific agenda such as early school leavers, languages, entrepreneurship, or ITC. These are high-level working bodies of the European Commission, where each of the main social partners has one representative, sitting together with the representatives of the Ministries of Education of the Member States. These bodies prepare the basis for future policy initiatives of the Commission.

The 2020 Flagship Initiatives also include measures to increase, in particular, the importance of lifelong learning:

- **Youth on the move** aims to enhance the performance and international appeal of Europe’s higher education institutions and raising the overall quality of all levels of education and training within the EU, by promoting the mobility of students and trainees and improving the situation of young people with regard to employment. On this point, in September 2010, the Commission proposed a Recommendation to the Council on the mobility of young people.

- **A strategy for new skills and new jobs** aims at creating the right conditions for modernising the labour market, ensuring the viability of the European social model, while at the same time increasing the autonomy of citizens. It emphasises the acquisition of new skills, in order to enable labour, now and in the future, to adapt to new conditions and possible career changes.

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and to reduce unemployment and increase the productivity of labour. This initiative develops ideas set out in the Commission Communication, *New skills for new jobs*

The Communication presents a first assessment of future skills requirements up to 2020, looking at long-term trends in job creation and labour supply and at trends in skills needs and occupations. It suggests ways of improving capacities, including:

- The establishment of a European Labour Market Monitor with up-to-date information on short-term trends in the European labour market
- A multilingual dictionary of occupations and skills to help improve matching of job seekers to vacancies
- Match and Map, an online service for citizens, providing information on occupations, skills, learning and training opportunities across the EU. It will also provide geographic mapping of EU job offers matching a user’s profile and skills.

In 2010, the role of education and training in the Europe 2020 Strategy was further underlined in the Commission Communication *A new impetus for European cooperation in vocational education and training to support the Europe 2020 Strategy* and reinforced still further by *The Bruges Communiqué on enhanced European Cooperation in Vocational Education and Training for the period 2011-2020*. In this latter document, the Commission, the Ministers for Vocational Education and Training (VET) of 33 European countries (the then 27 EU Member States plus Croatia, Macedonia, Iceland, Liechtenstein, Norway and Turkey), as well as the representatives of the social partners, confirmed their common objectives for the coming decade with regard to training and education and endorsed a plan of action for the years 2011-2014. We will look at this in more detail later in the chapter.

**Lifelong Learning**

The 10-year work programme set out in ET 2010 encompassed the whole area of education and training, from primary school through to adult education. Underpinning this was the guiding principle of lifelong learning. Its most developed exposition can be found in the November 2001 Communication from

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75 http://ec.europa.eu/social/BlobServlet?docId=1496&langId=en
the Commission, *Making a European Area of Lifelong Learning a Reality*\(^78\), subsequently adopted by the Council.

As the name suggests, lifelong learning involves everyone at every stage of life. It can take place in schools, colleges and institutions of higher education as well as in the workplace and in trade unions. It can equally take place in the community, in libraries, civic centres and in many other informal settings. Lifelong learning encompasses learning for personal, civic and social purposes as well as for employment-related purposes. It implies raising investment in people and knowledge; promoting the acquisition of basic skills, including digital literacy; and broadening opportunities for innovative, more flexible forms of learning.

The aim has been to provide people of all ages with equal and open access to high-quality learning opportunities, and to a variety of learning experiences, throughout Europe. Indeed, the Communication stresses the need for Member States to transform formal education and training systems in order to break down barriers between different forms of learning. This approach to education and training underpinned the EU’s major Lifelong Learning Programme, which in 2008 brought what were previously diverse initiatives in education and training within a single framework programme.\(^79\)

The EU approach to lifelong learning has developed through a number of major initiatives:

- 1996: European Year of Lifelong Learning
- 2000: Lisbon Strategy and Memorandum on Lifelong Learning
- 2001: Commission Communication; ET 2010 Work Programme
- 2002: Council Resolution on Lifelong Learning
- 2008: Establishment of Lifelong Learning Programme
- 2010: Lifelong Learning in the future EU 2020 strategy.

**Erasmus**\(^80\) is the new EU programme for Education, Training, Youth and Sport for 2014-2020, starting in January 2014. This framework brings together elements of the former Lifelong Learning Programme (Leonardo, Comenius, Grundtvig, Erasmus and Jean Monnet actions), Youth in Action and five other interna-

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\(^80\) [http://ec.europa.eu/education/#erasmus-plus-01_en](http://ec.europa.eu/education/#erasmus-plus-01_en)
tional programs including Erasmus Mundus and Tempus into a single, simplified programme. The focus is on formal and informal learning across EU borders to improve the skills and employability of students, educators and workers\(^{81}\).

Vocational Education and Training – The Copenhagen Process

Within this wide field of lifelong learning, we will focus principally on issues concerning vocational education and training (VET), as this is the area most closely related to the world of work and the immediate concerns of trade unions.

One of the key moments in developing enhanced cooperation in the area of VET came in November 2002 when the Education Ministers of 31 European countries (EU Member States, candidate countries and EEA-EFTA countries) met with the Commission and the European social partner organisations to adopt The Copenhagen Declaration\(^{82}\). The work which has followed – referred to as the Copenhagen Process (and in many ways mirroring the Bologna Process relating to Higher Education\(^{83}\)) - has been developed within the perspective of lifelong learning, with an emphasis on making it possible to bring together and build on learning acquired at different stages of life, in both formal and non-formal contexts.

Since the 2002 meeting, the key partners of the Copenhagen Process (Commission, Member States and Social Partners), together with the addition of Croatia, have met several times to review progress towards the original goals. The reviews have been informed by reports from advisory groups, EUROSTAT, CEDEFOP, the European Training Foundation (ETF) and the High Level Group of Experts on the implementation of the Lisbon Strategy, as well as by the annual reports prepared by the social partners on progress on the Framework of actions.

As the difficulties of achieving the results laid down by the Lisbon strategy became greater, the key partners in the Copenhagen Process called for a more focused approach, with a limited number of priority areas and clear targets.

Consequently, the European Ministers for Vocational Education and Training, the European Social Partners and the European Commission, during their meeting in Bruges in December 2010, issued the Bruges Communiqué, aligning the Copenhagen Process with the Europe 2020 Strategy.

\(^{81}\) For more on Erasmus+, see Chapter 16


The Communiqué states:

‘Taking into account the priorities and overall objectives of the above-mentioned European Strategy and framework, and respecting the principle of subsidiarity, the following is adopted:

- a global vision for VET in 2020
- 11 strategic objectives for the period 2011-2020 based on that vision
- 22 short-term deliverables at national level for the first 4 years (2011-2014), with indication of the support at EU level
- general principles underlying the governance and ownership of the Copenhagen Process.’

The focus of the Communiqué maintains that, in order to emerge from the crisis, Europe needs ‘flexible, high-quality education and training systems which respond to the needs of today and tomorrow’⁸⁴.

So, according to the Communiqué, practical answers will have to be provided for the 76 million European citizens aged between 25 and 64 years who are low-skilled or unskilled, for the large number of young people between 18 and 24 years of age who leave education and training systems without qualifications, for the millions of children who leave the school system early, and for older adults and workers who, increasingly, will be required to update their qualifications, in the knowledge that, as CEDEFOP studies have shown, technological progress will increase demand for intermediate and higher-level qualifications.

It will be necessary therefore:

- To strengthen, at all levels, the capacity to anticipate needs for skills, by developing tools that provide a better knowledge of the emerging sectors and skills, while supporting the necessary transitions towards a green economy
- To work towards a VET system that achieves its twofold aim: to improve employability and to strengthen social cohesion, by making key skills stronger and more widespread
- To extend VET systems beyond the borders of Europe, whilst also attracting a larger number of foreign learners to European systems
- To avoid budgetary constraints leading to a reduction in investment in VET but to seek innovative solutions and a fair distribution of resources.

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The strategic objectives to achieving these results are contained in these key words:

- Improving the quality and efficiency of vocational education and training and increasing its appeal and its relevance for the labour market
- Making lifelong learning and mobility a reality
- Encouraging creativity, innovation and entrepreneurial spirit
- Promoting fairness, social cohesion and active citizenship.

Alongside each key word, the strategic objectives and short-term objectives are set out, emphasising, for each objective, the role of the Member States and the Commission and expressing the hope for strong involvement from the social partners.

The more specific commitments of the text in respect of the Member States include:

- To develop, by 2015, national procedures for the recognition and accreditation of skills acquired through non-formal and informal education and training, regardless of the context in which they have been acquired, including the workplace
- To contribute to achieving, by 2020, the main target of the Europe 2020 agenda, namely 40% of the population with a level of higher education
- To contribute to achieving, by 2020, the target of 15% of adults taking part in lifelong learning programmes
- To maximise the contribution of VET to another main objective of the Europe 2020 agenda: reducing the percentage of young people dropping out of school to less than 10%
- To ensure access, on an equal basis, especially for people at risk of exclusion in the labour market, for low-skilled people and older workers
- To use, with greater synergy, the European Programmes (including Erasmus+), as well as national and regional resources.

Qualifications, transparency and mobility

It is also important to note that the Copenhagen process was initiated 18 months before the European Union undertook the most significant enlargement in its history, with the advent of 10 new Member States from Mediterranean and Central and Eastern European countries. The impending increase in cross-border mobility gave added urgency to developing a common currency of qualifications and competences, the lack of which had long been recognised as an obstacle.

In the new knowledge society envisaged in the Lisbon Strategy, workers are expected not only to be highly skilled, but also to be highly mobile, able to enjoy the freedom of movement which the Union guarantees. Transferable
and generic skills are crucial to this mobility. However, there are critical barriers to increased labour mobility in a Europe where education and training systems differ significantly and skills, competences and qualifications are often not recognised transnationally. There is an urgent need for a Europe-wide framework to provide mutual recognition and transparency.

This has been one of the recurrent themes of the Copenhagen process and has resulted in the development of a series of common tools:

- **Europass**: this provides a single European framework for transparency and recognition of both formal and non-formal learning. It comprises five elements that every European citizen can use:
  - **Europass – CV**: a new common European format curriculum vitae, designed to allow people to illustrate their skills and competences, whether gained in formal or non-formal contexts
  - **Europass – Mobility**: using a common European format, this records all periods of transnational mobility for learning purposes at whatever level
  - **Europass – Diploma Supplement**: this is a supplementary document to describing the nature, level, context, content and status of any higher education courses completed
  - **Europass – Certificate Supplement**: this fulfils a similar function to the Diploma Certificate and relates to any vocational qualifications held
  - **Europass – Language Portfolio**: this enables users to present their linguistic abilities in accordance with a set of Europe-wide standards, as well as attaching a file of personal work to illustrate the level reached.

Europass was approved by the European Council in December 2004 and is supported by a web portal, allowing users to complete for themselves the CV and Language Portfolio. It is also supported by a network of National Europass Centres.85

- **The European Common Quality Assurance Reference Framework for Vocational Education and Training (EQAVET)**: the EQAVET is intended to serve as a reference instrument to help Member States to promote and monitor continuous improvement of their VET systems, based on common European references. It is based on a four-point quality cycle which seeks to promote a culture of quality improvement at all levels, while respecting the rich diversity of national education systems.

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In June 2009 the EQAVET was the subject of a Recommendation from the European Parliament and the Council to Member States with the proposal that within 2 years from the adoption of the recommendation they devise an approach aimed at improving quality assurance systems at national level and making best use of EQAVET, involving the social partners, regional and local authorities and all other relevant stakeholders\(^{86}\).

Although there has been progress on this, the recent report from the Commission in January 2014 makes clear that is still more work to be done\(^{87}\). The European Quality Assurance Reference Framework for VET belongs to a series of European initiatives that encourage mobility. It promotes the implementation of the European Qualifications Framework (EQF) and the European Credit System for Vocational Education and Training (ECVET) as well as the Common European Principle for the identification and validation of non-formal and informal learning presented below.

- **European Credit System for VET (ECVET)\(^{88}\):** this aims to create a European system to facilitate the transfer, validation and recognition of ‘learning outcomes’ (i.e. what the learner can do) acquired by individuals moving from one learning context to another or from one qualification system to another. In April 2008 the Commission released a final version of the scheme and in June 2009, a Recommendation\(^{89}\) of the European Parliament and the Council invited the Member States to apply measures aimed at using the ECVET as from 2012.

- **European Qualifications Framework (EQF)\(^{90}\):** this sets out to establish a common European framework to describe what a learner knows, understands and is able to do, regardless of the system where a particular qualification was acquired. The EQF relates different countries’ national qualifications systems to a common European reference framework, so that individuals and employers are better

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88 See \[http://europa.eu/legislation_summaries/education_training_youth/lifelong_learning/c11107_en.htm\]


90 See \[http://ec.europa.eu/ploteus/search/site?f[0]=im_field_entity_type%3A97\]
able to understand and compare the qualifications levels of different countries in the different education and training systems.

The EQF comprises eight separate reference levels, which are based on learning outcomes, thus shifting the focus away from the traditional approach, which emphasises learning inputs (length of a learning experience, type of institution). As an instrument for the promotion of lifelong learning, the EQF encompasses general and adult education, vocational education and training, as well as higher education. The eight levels cover the entire span of qualifications, from those achieved at the end of compulsory education to those awarded at the highest level of academic and professional or vocational education and training.

The EQF was adopted by the European Parliament and Council in April 2008. The resolution encouraged all Member States to relate their qualifications systems or frameworks to the EQF by 2010 and to ensure that all new qualifications issued from 2012 carried a reference to the appropriate EQF level.

Only 4 countries met the first milestone by the 2010 deadline and 6 had met both this and the second by the 2012 deadline. The evaluation report published in October 2013 makes clear that, although there is increasing interest and activity, it will be some time before the system can be fully implemented in all 28 Member States.

- **European Network on Quality Assurance (EQA-VET):** the Network was established in October 2005 and is a voluntary forum in which the stakeholders at different levels in the field of VET can exchange experiences and views and build consensus. One of its objectives is to promote the use of the Common Quality Assurance Framework (CQAF)

- **Key Competences for Lifelong Learning — A European Reference Framework:** in December 2006 the European Council and the Parliament adopted a Recommendation on Key Competences for Lifelong Learning which is intended as a European reference framework. It defines eight key competences that provide the basis for lifelong learning:

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92 See [http://www.eqavet.eu/gns/home.aspx](http://www.eqavet.eu/gns/home.aspx)

— Communication in the learner’s mother tongue
— Communication in foreign languages
— Mathematical competence and basic competences in science and technology
— Digital competence
— Learning to learn
— Social and civic competences
— Sense of initiative and entrepreneurship
— Cultural awareness and expression.

**Validation of non-formal and informal learning**: this latest development is the outcome of the Council Recommendation of 20 December 2012. Again, based on the principle of subsidiarity, the Member-States should by no later than 2018 have put in place the mechanisms that individuals can use to demonstrate what they have learned outside the scope of formal education and training and to make use of that learning for their careers and further learning. The Member States are to report on the development of this new initiative within their annual report for the development of the National Qualification Framework. CEDEFOP has been assigned as the Union agency to offer its expertise.

In the next chapter we will be touching again on many of these areas, as we look at the European Trade Union Confederation and some of its policies.

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Chapter 10

The European Trade Union Confederation

In this chapter, we present some basic information about the European Trade Union Confederation, the representative organisation for trade unions at a European level. We emphasised in Part One the importance of seeing project work within a broad organisational and strategic perspective and identified the European Trade Union Confederation as a stakeholder in trade union projects undertaken at a European level. In developing project proposals at European level, it is important to consider ways in which the outcomes could contribute to trade union policies and priorities at a European level, as well as simply benefitting specific national contexts.

This chapter outlines the Confederation’s structure, policies and priorities.

Structure of the ETUC

Founded in 1973, the European Trade Union Confederation (ETUC)\(^{96}\) is a democratic, independent, pluralistic organisation, formally recognised by the European Union, the Council of Europe and by the European Free Trade Association (EFTA) as the only social partner organisation representing workers at a European level. It represents the interests of more than 60 million trade unionists throughout Europe, with affiliates from both national trade union confederations and industrial sectors. Currently its membership includes 85 national confederations from 36 different European countries and 10 European industry confederations\(^{97}\), plus 7 observer organisations from Macedonia, Serbia, and Bosnia and Herzegovina. Other trade union structures such as EUROCADRES\(^{98}\) (the Council of European

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97 Please note that these figures change frequently

98 See [http://www.eurocadres.org/](http://www.eurocadres.org/)
Professional and Managerial Staff) and EFREP/FERPA (European Federation of Retired and Elderly Persons) also operate under the auspices of the ETUC.

The main institutions of the ETUC are the Congress, the Executive Committee, the Steering Committee and the Secretariat.

The Congress meets once every four years. (The last Congress was held in Athens in May 2011.) The Congress is attended by delegates from affiliated organisations, in proportion to their membership. It elects the General Secretary, the two Deputy General Secretaries and the Confederal Secretaries, as well as the President, whose role is to chair the ETUC's governing bodies. The General Secretary, currently Bernadette Ségol, is the head and spokesperson of the Confederation. The current President, elected at the Athens Congress, is Ignacio Fernández Toxo (CC.OO, Spain).

The Executive Committee meets four times a year. All affiliated organisations are represented on it, in proportion to the number of their members. Where necessary, decisions can be adopted by a two-thirds qualified majority vote. The Executive Committee decides on the mandate and the composition of delegations that will negotiate with European employers’ organisations in the European Social Dialogue and evaluates the results of that dialogue.

The Steering Committee, a smaller body, is responsible for following up the decisions of the Executive Committee between its sessions. It meets eight times a year and is composed of 21 members, elected from the Executive Committee.

The Secretariat runs the day-to-day activities of the ETUC and takes care of relations with the European institutions and the employers’ organisations, plans and recommends trade union action, and is responsible for the internal functioning of the ETUC. It comprises currently the General Secretary (Bernadette Ségol), two Deputy General Secretaries (Józef Niemiec and Patrick Itschert) and three Confederal Secretaries (Claudia Menne, Veronica Anna-Maria Nilsson and Luca Visentini).

The work of the ETUC focuses on a number of specific policy areas at European level. Currently these are:

- Social dialogue and industrial relations
- European economic governance
- Youth and unemployment

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100 See Chapter 11

101 The ETUC has reorganised its standing committees and working groups. For an update, please consult the website at http://www.etuc.org.
The ETUC makes special arrangements to consult and represent the interests of young people and women through its Youth Committee and Women’s Committee, the implementation of Equality Plans, and a policy of ‘mainstreaming’ gender equality into all ETUC decisions and activities.

The ETUC also convenes the Coordinating Committee of Interregional Trade Union Councils (IRTUCs), which comprises the Presidents of the IRTUCs and contributes to formulating ETUC policies, especially those relating to the welfare of workers in border regions. The IRTUCs bring together the regional trade union organisations of national ETUC-affiliated confederations in cross-border regions. There are 45 IRTUCs, ranging from the northern tip of Sweden to southern Spain, from Ireland in the west to Hungary in the east.

**The European Trade Union Institute**

Since April 2005, the work of the ETUC has been supported by the European Trade Union Institute (ETUI). The European Trade Union Institute is the ETUC’s independent research and training centre. Working closely with universities, academic and expert networks, the ETUI uses its expertise in the service of workers’ interests at European level and the strengthening of the social dimension of the European Union.

The Institute comprises two departments:

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102 See [http://www.etui.org](http://www.etui.org)
ETUI Education

Formerly known as the European Trade Union College (ETUCO), ETUI Education\(^\text{103}\) provides ETUC and its affiliated organisations with programmes and exchanges that strengthen the European trade union identity. It delivers a range of training courses each year, produces training materials and promotes cooperation between national trade union training organisations. It is also active in a range of European projects.

ETUI Research

The ETUI Research Department\(^\text{104}\) examines socio-economic issues and labour relations. It provides a link between European trade unions and the academic world, conducting and promoting independent research on subjects of strategic importance to the world of work. It networks with research centres in several European countries.

The Research department has three units: Europeanisation of industrial relations; Economic, employment and social policies; Working conditions, health and safety\(^\text{105}\).

The department produces a range of publications, including 2 quarterly journals: *Transfer (European Review of Labour and Research)*, and *SEER (South East Europe Review for Labour and Social Affairs)*. It also publishes the *HESAMAG* and a series of information booklets on European Health and Safety policy.

ETUI also maintains a major Documentation Centre on topics related to European industrial relations.

Role and mandate

The ETUC works to influence the legislation and policies of the European Union through direct representations to the various EU institutions (Commission, Parliament, Council), whilst ensuring trade union participation in the wide range of consultation processes involving the European authorities and the social partners, in areas such as employment, social affairs and macro-economic policy. The ETUC also coordinates trade union participation within several advisory bodies, including the European Economic and Social Committee.

\(^{103}\) See [http://www.etui.org/Training](http://www.etui.org/Training)

\(^{104}\) See [http://www.etui.org](http://www.etui.org)

\(^{105}\) Formerly the Trade Union Technical Bureau (TUTB)
and the European agencies for vocational training, living and working conditions and health and safety. The Directive on European Works Councils,\textsuperscript{106} the Directive on Information and Consultation Rights\textsuperscript{107}, the Directive on the European Company\textsuperscript{108} and the European Charter of Fundamental Rights\textsuperscript{109} are all achievements secured through ETUC action.

At the same time, the ETUC negotiates with employers on a series of issues through the ‘European Social Dialogue’\textsuperscript{110}. This is mirrored by social dialogue in 35 industrial sectors, coordinated by the European Industry Federations. The European social partners have adopted over 40 cross-industry and almost 500 sectoral joint texts. Following the EU’s recognition of the social partners’ capacity to negotiate European framework agreements, the ETUC concluded three European cross-sectoral framework agreements with its European employer counterparts (on parental leave, part-time work and fixed-term contracts) that were ratified by the Council of Ministers and are now enshrined as Directives in European legislation.

The Athens Manifesto

At its 12th Congress in May 2011, the ETUC adopted The Athens Manifesto which sets out its objectives for the current period\textsuperscript{111}.

In The Athens Manifesto, the ETUC asserts that wages are not the enemy of the economy but its motor and that the autonomy of social partners in collective bargaining must be respected. It denounces the danger of the ‘Euro Plus pact’\textsuperscript{112}. The ETUC is pledged to fight for a European New Deal for workers as opposed to austerity; for a European economic governance that serves the interests of the European people and not the markets; for a coordinated plan to counteract youth unemployment; and to prioritise the improvement of working conditions of all European workers. The ETUC commits itself to demanding effective and stringent regulation of financial markets and

\textsuperscript{106} See http://eur-lex.europa.eu/legal-content/EN/ALL/?jsessionid=dGfDTMjRRDFqK83pFkt1hxxwLTCC33n3ClgtMVxQLVSN7yGfKQTIl2062107871?uri=CELEX-3:2009L0038

\textsuperscript{107} See http://ec.europa.eu/social/main.jsp?catId=707&langId=en&intPageId=210

\textsuperscript{108} See http://www.eurofound.europa.eu/areas/industrialrelations/dictionary/definitions/europeancompany.htm

\textsuperscript{109} See http://ec.europa.eu/justice/fundamental-rights/index_en.htm

\textsuperscript{110} For more information on the Social Dialogue, see Chapter 11

\textsuperscript{111} For the full text of the Manifesto, see http://www.etuc.org/sites/www.etuc.org/files/Final_Manifesto_EN_reduced_1.pdf

ratings agencies and to campaign to ensure that fundamental social rights take precedence over economic freedoms. It seeks to have this principle enshrined in a Social Progress Protocol in European treaties, in a revised Post-ed Workers Directive and in internal market regulation known as ‘Monti II’. There have been several action days to promote the Manifesto’s aims.

Key policies and priorities

Social Europe

The ETUC is concerned to promote the establishment of a genuine Social Europe. This involves a strengthening of social rights and social democracy, in a context in which social policy is seen not merely as an adjunct to economic policy, but as an EU objective **per se**. Such a policy would involve increased harmonisation and convergence at an economic, social and environmental level. It would also include the realisation of key concerns such as equal opportunities and treatment for men and women, an end to discrimination and xenophobia, full involvement of workers in areas of information and consultation, health and safety, decent jobs, vocational training and qualifications and work organisation.

The ETUC believes that collective bargaining, social dialogue and good working conditions are key to promoting innovation, productivity, competitiveness and growth in Europe.

The Executive Committee, at its meeting of 23 April 2013, has taken a position on the social dimension of the European Union. It calls for a ‘social compact for Europe’ which would make ‘clear that Europe’s social dimension must be an integral part of the economic and fiscal governance and given equal attention’[^114]. It states that so far the macro-economic policies and labour market policies that have been implemented are harming the social achievements. It therefore calls for the following to be set as priorities:

- Stop cuts in public spending, social protection and wages. They are unfair, they increase unemployment, inequalities and poverty and they worsen recession.
- Stop competition on wage and working conditions. Stop tax competition, tax fraud, tax evasion. The EU is not only a free trade zone. It aims at full employment, and economic and social progress.

[^113]: See [http://www.etuc.org/2-social-europe](http://www.etuc.org/2-social-europe)

[^114]: [http://www.etuc.org/a/11136](http://www.etuc.org/a/11136)
Trade Unions and Transnational Projects

- Put the emphasis on investments for sustainable growth and employment.
- Promote social dialogue and collective bargaining at all levels.\(^{115}\)

This further develops the resolution adopted by the Executive Committee meeting of 5-6 June 2012, which argues that ‘Achieving the EU’s 2020 objectives requires socially stable societies, sustainable economic growth and financial institutions serving the real economy.’\(^{116}\)

**European Works Councils**

Another specific priority for the ETUC is the effective implementation of the European Works Council Directive. The first EWC Directive (Directive 94/45/EC) was adopted in September 1994 and by 2008, approximately 800 EWCs were active, representing 14.5 million employees. However, the ETUC was very concerned about the way the Directive was being applied. It appeared that early and extensive information on management decisions was rare and that EWCs were rarely involved in company decision-making and playing an effective role in the management of changes. The norm was for the EWC to be ‘consulted’ after management decisions had been finalized.

The ETUC and the European Trade Union Federations then began an active campaign, following which the European Parliament and the Council reached an agreement on a new EWC Directive (2009/38/EC)\(^{117}\). This came into force in May 2009 and has been fully operational since June 2011.

**Economic restructuring**

Another topic of great importance is economic restructuring. At its meeting in Brussels in March 2012, the Executive Committee of the ETUC adopted a resolution on anticipating change and restructuring\(^{118}\).

One of the key points of the resolution emphasised the importance of education and training in preparing and enabling workers to confront major changes in their working environment. The ETUC called on Member States and employers to invest in working men and women and to increase expenditure per employee on initial and continuing vocational training. It called particularly

\(^{115}\) Ibid., p.2
\(^{116}\) Ibid., p.4
\(^{118}\) See [http://www.etuc.org/a/9815](http://www.etuc.org/a/9815)
for support to young workers entering the labour market (through a European Youth Guarantee) and to redeploy those made redundant.

**Employment**

Employment is a central concern of the ETUC and most particularly the problems of **Youth Employment** 119. Today Europe faces a dire situation, with more than 5.5 million youngsters unemployed and almost half of those who are in work having only precarious jobs.

In the **European Social Partners’ Work Programme for 2012-2014** 120, the ETUC reiterated the urgency of the situation, committing itself to working alongside the employers and pledging to make a priority of negotiating a **Framework of Actions on Youth Employment** 121. This was eventually signed in 2013.

The ETUC has also strongly supported the EU proposal of creating a **Youth Guarantee** 122. The Guarantee is broadly designed to provide young people up to the age of 25 with a good-quality offer of continued education, an apprenticeship, a traineeship, or a job opportunity. A central element of the Youth Guarantee is its speedy intervention. It aims to intervene rapidly, within not more than four months of a young person leaving formal education or becoming unemployed.

The Youth Guarantee also includes an offer of financial support from EU funding to promote awareness-raising, exchanges of good practice and monitoring of its implementation. The adoption of the Youth Guarantee by the EU in 2013 shows the priority given to fighting youth unemployment, although the ETUC considers that the current budgetary allocation of £6 billion is insufficient.

**Europe 2020**

In an initial commentary on the EU’s new strategy proposal, **Europe 2020** 123, the ETUC was somewhat sceptical:

“The immediate priority for us all is not 2020 but the implementation at the European level of a bigger recovery plan for

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119 See also the section on employment in Chapter 9
120 See [http://www.etuc.org/a/9772](http://www.etuc.org/a/9772)
jobs, new schemes to get the unemployed, especially the young, into decent work and learning. In fact, much of the next decade will be dominated by the consequences of the current economic crisis. Unemployment is likely to remain higher than pre-crisis levels up to at least 2015/2016; and taxation will be higher and public spending lower as debts have to be repaid.’

This critical reaction was due to the fact that there was not a clear enough definition of how the goals could be reached. With the renewed intensity of the crisis, the ETUC highlighted the fact that the Europe 2020 strategy was not providing adequate solutions to bring it to an end.

Then, a year after the Europe 2020 strategy was adopted, it was overtaken by an austerity regime and locked into the new economic governance architecture which prescribed tough indicators for fiscal consolidation. The Europe 2020 objectives were sidelined and transformed into second tier goals which might be fulfilled in the new framework of austerity but which were no longer considered as obligatory as the fiscal ones.

In the majority of Member States, the specific discussion on the National Job Plans proposed by the Commission did not take place. Although some ETUC affiliates wrote to their governments to stress the need for such National Job Plans, most affiliates were not involved in the adoption of the Country Specific Recommendations (CSR). Very few were able to have direct links to their governments to influence the decision-making process. Affiliates from two countries only (Sweden and Italy) were able to influence the CSR in 2012 and of those only the Swedish affiliates were able to do so within the proper consultation process. The Europe 2020 Strategy emphasises the involvement of and the important role played by the social partners, but this has not been taken seriously or treated in an organised way. It is clear that, up until now, the majority of ETUC member organisations have not really been involved in the process, which poses the question of its democratic legitimacy.

ETUC has repeated its critical position in the Resolution of the March 2013 Executive Committee\textsuperscript{124}, demanding that:

\begin{itemize}
  \item ‘...the Europe 2020 objectives are incorporated into the framework of an alternative and more balanced economic governance structure. Employment, education, innovation, poverty reduction and climate protection targets must be as binding as those of fiscal consolidation;
  \item the Commission and the European Parliament conduct an investigation into the relevance of the existing framework, namely its instruments, for achieving the objectives;
\end{itemize}

\textsuperscript{124} See \url{http://www.etuc.org/a/11012}
the national and European social partners are fully involved in the Europe 2020 process – and that trade union suggestions are taken into account.’

Education and training

The ETUC itself is centrally involved in education and training at the level of policy development. It has direct representation on various EU bodies concerned with education and training, including the Advisory Committee on Vocational Training and two committees advising on specific funding programmes: the European Social Fund Committee125 and the Lifelong Learning Programme Committee126. It is also a key partner, together with BUSINESS-EUROPE (the European employers’ organisation – formerly UNICE) and CEEP (representing public sector enterprises at a European level) in the Social Dialogue Education and Training Work Group127.

Lifelong learning, education and training have consistently formed a central part of ETUC’s agenda, linking directly to many of its other major concerns and policy discussions. The resolutions and the work of the ETUC working group on Life Long Learning policies over recent years demonstrate this commitment.

In December 2010 the Executive Committee of the ETUC adopted the Resolution, More Investment in Lifelong Learning for Quality Jobs, addressing issues concerning education and training128.

The Resolution begins by claiming that the European Union needs a paradigm shift. It notes that the model of ‘free and deregulated’ markets pushed forward by Member States competing with each other in the European internal market place has failed. What is needed instead is a greater emphasis on European cooperation on quality jobs, common sustainable industrial policies, a more substantial European budget, moves towards an economic union alongside a monetary union, and common European approaches to financial regulation.

Europe’s social and economic well-being is dependent on having a well-educated and highly skilled population. Education and training play an essential

125 See Chapter 14.
126 See Chapter 16. Representation on the new Erasmus+ Programme Committee that will replace the Lifelong Learning Committee is currently unclear.
127 The UNICE web site can be found at http://www.businesseurope.eu/. The CEEP web site can be found at: http://www.ceep.eu/
128 For the full text of the resolution, see http://www.etuc.org/IMG/pdf/Final_12-EN-LLL-for-quality-jobs_2010_2_.pdf
role in giving citizens the knowledge, skills and competences they need to participate fully in society and the economy. In calling for a greater emphasis on European cooperation on quality jobs for both working men and women, the ETUC supports the goals of European education and training policies which promote flexibility between academic and vocational pathways.

The following section of the document notes various previous ETUC Resolutions as well a joint statement with BUSINESSEUROPE, CEEP and UEAPME on the Europe 2020 Strategy\textsuperscript{129}. In this statement the ETUC and the employers’ organisations underline, \textit{inter alia}, the importance of promoting the Knowledge Triangle (Education, Research, Innovation), whilst noting amongst other things that

> ‘Insufficient investment in innovation and further education is exacerbating economic problems and affecting labour productivity.’

The Resolution then goes on to identify key agenda points:

- Supporting top quality initial education
- Enabling equal access to education and training
- Recognising and validating non-formal and informal learning
- Easing the transition from initial education to working life
- Providing adequate and targeted funding for top quality education and training
- Participating in social dialogue on lifelong learning
- Making the best of European education and training initiatives and instruments
- Training the next generation of trade union members, representatives and officers.

In June 2012, the Executive Committee adopted an Action Programme, \textbf{Towards greater education and training for social Europe: ETUC Action Programme on lifelong learning and VET}\textsuperscript{130}, which further developed many of these concerns.

In the context of the continuing economic crisis, the ETUC feels that there is a clear risk that EU policies and instruments in the area of Lifelong Learning (LLL) and Vocational Education and Training (VET) will not meet the ambitious aims identified, because there has been an insufficient analysis of the context and a lack of adequate resources. In some instances, some EU policies also wrongly attribute to LLL the power to generate jobs, while for

\textsuperscript{129} See \url{http://www.etuc.org/a/7327}

\textsuperscript{130} The full text of the Action Programme can be found at \url{http://www.etuc.org/IMG/pdf/resolution_2012_EN-4.pdf}
the ETUC, LLL and VET can contribute to job quality but not necessarily to job creation.

The economic downturn should not lead to reduced investments in education and training. Consequently the ETUC demands more binding measures for Member States to fully meet education and employment objectives set out in the various EU instruments and initiatives. In particular, the ETUC demands concern incentives, resources and an enhanced partnership, not only at European level but at all levels where social partners play a role in defining these policies.

Among the other areas highlighted are:

- The need to ensure that European education and training instruments, such as the EQF, EUROPASS, ECTS and ECVET, are safeguarded, improved, better coordinated and developed further during the 2014-2020 funding period
- The need to establish credible processes for recognising and validating non-formal and informal learning. The document makes reference in this regard to an ETUC project with the topic *Informal and Non-formal Learning (NFIL): parallel practices for a systemic integration*.

The document sets out a series of objectives and then proceeds to set out an Action Programme, involving both the ETUC itself and its affiliates.

ETUC has also been active in various projects, for example, on work-based learning and apprenticeship, that have realised a constructive engagement with opportunities to further lifelong learning and vocational education and training. It has also, in collaboration with the ETUI, organised activities on all of the European tools for education and training to assist its member organisations perform better both at national and European level.

More recently, at its meeting in Brussels in October 2013, the Executive Committee adopted a Resolution on Supporting Workplace Learning to Tackle Unemployment in Europe.

Workplace learning is for those already in work and contributes to ensuring that they remain so. The ETUC has recently supported a year-long European project, developed by Unionlearn, the Education Department of the TUC (UK), in co-

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131 See Chapter 9
132 See http://www.etuc.org/a/10243
133 See http://www.etuc.org/a/11701
operation with DGB (Germany), FNV Format (the Netherlands), CITUB (Bulgaria), LO-S (Sweden), UIL (Italy), and ZNP (Poland), entitled *Building Trade Union Support for Workplace Learning throughout Europe*\(^{134}\). The Resolution builds on the outcomes of the project and in particular on the *London Manifesto for Workplace Learning*, adopted during its final conference.

For the latest information on ETUC policies, please consult the ETUC web site at [www.etuc.org](http://www.etuc.org).

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\(^{134}\) [http://www.unionlearn.org.uk/sites/default/files/Building%20trade%20union%20support%20for%20workplace%20learning%20throughout%20Europe.pdf](http://www.unionlearn.org.uk/sites/default/files/Building%20trade%20union%20support%20for%20workplace%20learning%20throughout%20Europe.pdf)
Chapter 11

Trade Unions and the Social Dialogue

We have already referred to ‘Social Dialogue’ in considering EU and ETUC policies. This chapter looks at this process in more detail, with a particular emphasis on social dialogue at the European level and some of its outcomes.

The EU recognises the importance of having organisations that represent workers and employers and the benefits of establishing ways in which they can contribute to policy formulation. Although there has been trade union representation within the Economic and Social Committee since the early days of the European Community, in recent years the notion of social dialogue has played an increasingly important role in many areas, including education and vocational training.

In addition to these consultative mechanisms, a new framework for a social dialogue directly between organisations representing workers (ETUC) and private and public sector employers (BUSINESSEUROPE (formerly UNICE135) and CEEP136) was launched by the President of the Commission, Jacques Delors, in 1985. These were originally the three recognised organisations in interprofessional social dialogue at European level. Since December 1998, when it concluded a cooperation agreement with UNICE, the UEAPME137 has also represented private sector employers in interprofessional social dialogue at a European level. Other organisations, such as EUROCADRES, CEC and other European sectoral federations affiliated to the ETUC are recognised as partner organisations in social dialogue in relation to specific industrial and commercial sectors.

135 The Union of Industrial and Employers’ Confederations of Europe changed its name to BUSINESSEUROPE in January 2007. See http://www.businesseurope.eu/
136 European Centre of Enterprises with Public Participation and of Enterprises of General Economic Interest. See http://www.ceep.eu/
137 European Association of Craft and Small and Medium-Sized Enterprises. See http://www.ueapme.com
The basis for the legal recognition of this dialogue is found in the Treaty on the Functioning of the European Union (TFEU). Article 152 of the TFEU states:

‘The Union recognises and promotes the role of the social partners at its level, taking into account the diversity of national systems. It shall facilitate dialogue between the social partners, respecting their autonomy.’

Article 154 further obliges the Commission to facilitate social dialogue and to promote the consultation of management and labour at a European level on a range of social issues, including freedom of movement, improvement of living and working conditions, social security, freedom of association and collective bargaining, vocational training, equal rights for men and women, information, consultation and participation of workers, and health and safety in the workplace. It further states that

‘...before submitting proposals in the social policy field, the Commission shall consult management and labour on the possible direction of Union action.’

If the Commission decides to put forward proposed legislation in these areas, then the Treaty again requires it to consult with management and labour and to consider the presentation of opinions or recommendations from the two sides before a proposal is submitted to the Council.

This enlargement of the role of the social dialogue has been reflected in the increased participation of the social partners in the work of the Union, including most particularly their involvement in the European Social Fund Committee and the Lifelong Learning Programme Committee. At the time of writing (May 2014) and with the introduction of the new Multiannual Funding Programme for 2014-2020, however, the participation of the social partners in the committee responsible for Erasmus+, which is replacing the Lifelong Learning Programme, remains unclear.

Under Articles 152 and 154 of the TFEU, it is clear that the role of the social partners is purely consultative. However, the Social Protocol to the Maastricht Treaty gave the social partners themselves the opportunity jointly to launch a legislative process. This is now enshrined as part of Article 155 of the TFEU:

‘Should management and labour so desire, the dialogue between them at Union level may lead to contractual relations, including agreements.’

The first result of this was the Framework Agreement on Parental Leave, signed by the ETUC, UNICE and CEEP in December 1995 (revised 2009), followed by two further agreements, on part-time working and on fixed-term contracts respectively. At the request of the social partners, all three of these agreements were ratified by the Council of Ministers and now form part
of EU legislation. In addition to these legislative agreements, the ETUC, UNICE/BUSINESEUROPE-UEAPME and CEEP have signed four voluntary agreements, whereby the social partners themselves take responsibility for implementing measures at national, sectoral and enterprise level. The first, in July 2002, was on teleworking; the second, in October 2004, on work-related stress; the third in 2007 on harassment and violence at work; and the fourth in 2010 on inclusive labour markets. More than 500 other texts (in the forms of joint opinions, responses, consultations and agreements) have also been produced as a result of the European social dialogue process.

The social partners have also adopted five frameworks of action:

- A framework of actions for the development of lifelong qualifications and competences in 2002
- A framework of actions on gender equality in 2005
- In May 2009 the European social partners adopted their third Multiannual Work Programme, to run until 2010, identifying areas of joint action
- In March 2012 the European social partners presented their fourth Work Programme, to run until 2014, addressing youth and employment as two of the main activities
- In June 2013 the most recent agreement, the Framework of Actions on Youth Employment, was signed.

We will look at some of these in more detail in the remainder of this chapter.

The Framework of Actions for the Lifelong Development of Competencies and Qualifications

Building on the work of the Social Dialogue Education and Training Work Group, in February 2002 as a prelude to the meeting of the European Council in Barcelona, the ETUC, UNICE/UEAPME and CEEP signed a common agreement, entitled Framework of actions for the lifelong development of competencies and qualifications. This is not a formal agreement, but a document which commits the social partners, at national and European levels,

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139 For copies of these documents and other recent products of cross-industry social dialogue, see: [http://ec.europa.eu/social/main.jsp?catId=479&langId=en](http://ec.europa.eu/social/main.jsp?catId=479&langId=en).
140 [http://www.etuc.org/3-framework-actions](http://www.etuc.org/3-framework-actions)
to work together on the development of competencies and the acquisition of qualifications, as major aspects of lifelong learning.

This commitment contains a request to the Member States and the Commission to promote this effort, as well as the identification of four priorities which are a matter for joint responsibility between the social partners:

- Identification and anticipation of needs in terms of skills and qualifications, both at enterprise and at national/sectoral level
- Recognition and validation of skills and qualifications, including provision of a system of transferable qualifications and identification of links and complementarities between recognised diplomas
- Information, support and advice to employees and businesses
- Mobilisation of all the available resources for the lifelong development of competencies by all parties (enterprises, public authorities and social partners), together with effective management of funding resources, including in particular the European Social Fund.

The Framework of Actions commits the social partners to disseminating and promoting this document throughout the Member States, at all appropriate levels, taking account of national practices. They are also committed to producing a series of annual reports on the national actions carried out on the four priorities identified, using examples of good bilateral practices. These have made a useful contribution to disseminating experiences to different countries and sectors.

**Joint Recommendations on Support to Economic Recovery by the European Social Fund**

The Joint Recommendations on support to economic recovery by the European Social Fund, signed in May 2009 by the ETUC, BUSINESSEUROPE-UEAPME and CEEP contain particularly important recommendations on training. The European social partners highlight the critical role of the European Social Fund (ESF) in supporting economic recovery and ask that the Member States and the European Commission involve the European social partners in decision-making and implementation processes regarding the ESF at all levels. They propose the following measures to improve access to ESF resources to:

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[142](http://www.etuc.org/sites/www.etuc.org/files/090507_Recommendations_ESF_Employment_Summit_FINAL_1.pdf)
- Improve the visibility of and information about the ESF
- Optimize the way the ESF operates by reducing and simplifying its procedures
- Introduce more flexibility into the ESF regulations within the existing operational programmes in order to allow them to respond more swiftly to changing circumstances
- Use more ESF resources to support social partners.

In the Joint Recommendations, the European social partners also propose specific measures to maximise the impact of the ESF on labour markets. They propose that Member States should consider using the fund to support working time arrangements linked to training/re-training. They further recommend that the ESF contribute to job creation by supporting:

- The start-up of new businesses and hand-over of small existing businesses
- Programmes that could stimulate employment in the low-carbon economy, in the renewable energy sector and in other environment-friendly activities
- Disadvantaged workers in improving their work-related skills and experience.

The social partners urge the ESF to provide particular support for young people, who are likely to face more difficulties in finding jobs in the current economic crisis. They recommend that the ESF be used to:

- Improve the guidance of young people
- Increase the availability of training opportunities open to them
- Finance mentoring or support programmes, including internships and apprenticeships
- Develop measures to reduce early school-leaving in line with Lisbon objectives.

**European Social Partners’ Joint Statement on the Europe 2020 Strategy**

In June 2010, ETUC, BUSINESSEUROPE-UEAPME and CEEP issued the European Social Partners’ Joint statement on the Europe 2020 Strategy. This response to the 2020 Strategy is set firmly within the context of the economic crisis. Investment in education and training is seen as one of the key components of emerging from the current difficulties.

‘Improving competitiveness by having the European economy move up the ladder of innovation, technology and productivity is important. For this, it is crucial to mobilise the EU’s human capital and the ingenuity of companies in an effective way. It is also important that Europe with its vast internal market becomes a greater engine of growth, with higher productivity and innovation gains and major investment in a greening of the economy. Social cohesion must also be seen as a precondition for a dynamic and sustainable economy. Promoting skills and entrepreneurship, revitalising the single market, developing an integrated EU industrial policy, supporting new means of financing for investment and taking on the fight against poverty and inequality will all be crucial factors for the EU’s future success.’

The *Joint Statement* includes sections on

- Promoting the Knowledge Triangle (Education, Research, Innovation)
- Employment and Social Policies
- Governance and procedures.

The more recent of the European social partners’ actions, from 2012 and 2013, include some joint initiatives on alleviating the impact of the current crisis by work on employment strategies and social issues, as well as the major issue of youth unemployment.

### The Work Programme of the European Social Partners 2012-2014

Taking account of the impact of the economic crisis that started in 2008, the European social partners have agreed on the following specific issues and activities to form the focus of their current work programme within the framework of social dialogue:

- Youth unemployment
- In-depth employment analysis
- Gender equality
- Education and lifelong learning
- Mobility and economic migration
- Better implementation and impact of social dialogue instruments

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144 See [http://www.etuc.org/3-framework-actions](http://www.etuc.org/3-framework-actions)
Capacity of social partner organisations
- Economic and social governance of the European Union.

These priorities and the specific actions noted may be revised, as the economic and social situation changes.

**The Framework of Actions on Youth Employment**

Taking account of the increasingly high rates of youth unemployment and the levels of precarious employment which also affect younger people, the social partners have decided on a new framework of actions\(^{146}\). In this agreement, they note the impact of the current crisis on young people and state:

‘Urgent action is required to provide more and better jobs for the young and avoid scarring effects both to young people and European economies and societies as a whole.’

The current debate on youth unemployment has led the European institutions and social partners to launch important initiatives, including the **Youth Employment Initiative**\(^{147}\) and the **Youth Guarantee**\(^{148}\), as well as the **European Alliance for Apprenticeship**\(^{149}\).

Both the European and national social partners have a role to play in these initiatives and the various declarations, policy statements and agreements set out specific actions to be undertaken by the social partners.

**Moving forward**

These, then, are some of the fruits of the European social dialogue. Not all of the experiences of the European social dialogue have been so positive; the ETUC has made it clear that it would wish to see a substantial strengthening of the role of the social partners, as well as the joint development of further legislative frameworks. Social dialogue does, however, represent a significant dimension for trade union participation and intervention in a wide range of areas, and one in which significant gains have been made.

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146 [http://www.etuc.org/a/11280](http://www.etuc.org/a/11280)
149 [http://www.etuc.org/IMG/pdf/2_-_FINAL_JOINT_DECLARATION_on_Alliance.pdf](http://www.etuc.org/IMG/pdf/2_-_FINAL_JOINT_DECLARATION_on_Alliance.pdf)
Demonstrating the importance that they place on social dialogue, the European social partners held a joint conference on 12-13 December 2013 under the title, *The EU social dialogue in a changing world: the way forward.* The objective of the conference was to discuss the state-of-play of the European social dialogue and the promotion of European social dialogue instruments, as well as the implementation and follow-up of autonomous framework agreements and frameworks of actions.

The European Commission has also established a web site devoted to the European Social Dialogue, which contains a history of its evolution, as well as key documents and information on grants available to support social dialogue. It has also recently published a very helpful handbook for social partners and their national affiliates – *Vademecum: Commission support to EU Social Dialogue.*

In conclusion, it is important to note that the themes and methodologies of the social dialogue constitute ‘a vital component of the European social model’. It is helpful to have an informed understanding of developments in this area, if you are involved in projects which touch on these fields.

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150 The European Social Dialogue web site can be found at [http://ec.europa.eu/social/main.jsp?catId=329&langId=en](http://ec.europa.eu/social/main.jsp?catId=329&langId=en). See also Chapter 13 or more detailed information on the Social Dialogue budget lines.


PART III

EUROPEAN UNION FUNDING PROGRAMMES
Following the adoption of the Europe 2020 strategy and of the Multiannual Financial Framework 2014-2020, a new cycle of EU funding programmes and grants has started.

Section Three of the handbook looks at some of those funding programmes, established by the European Commission to develop and realise EU political priorities.

You will find it helpful to refer to Chapters Eight and Nine for an understanding of major areas of EU policy, particularly of the Europe 2020 strategy which establishes the framework for the funding of the new programmes.

We will be providing a brief overview of programmes which might be of interest to trade unions seeking support for particular transnational projects. It will also be important to take into consideration ETUC policies that relate to areas of project content.

Many of the initiatives mentioned in this section of the handbook are funded from areas of the EU’s annual budget and are subject to re-negotiation each year. Some of the major interventions, however, such as the European Social Fund, the Erasmus + programme, or the new programme for Research and Technological Development, have budget allocations and regulations which cover several years. These larger programmes in turn comprise various sub-programmes, each with a distinctive set of objectives and regulations. Although the overall financial allocation for these programmes and sub-programmes is agreed at the start of a multiannual period, the priorities and the publication of individual Calls for Proposals are determined by detailed work programmes that are normally produced and published on an annual basis.
Each funding initiative – whether funded from the annual budget or from one of the larger programmes – will have its own published guidelines and/or vademecum and application forms. These can be obtained from the appropriate Directorate-General at the Commission, from the national offices of the Commission, or can be downloaded from the Commission web site.

At the time of writing, several Calls for Proposals from various programmes have yet to be published. The chapters on the individual funding programmes that follow are based on the information currently available. The detail of Calls for Proposals will also change from year to year. We have provided links to the relevant web pages of each of the programmes where you should be able to find up-to-date information.
Chapter 12

The Employment and Social Innovation Programme (EaSI) 2014-2020

The new EU programme for Employment and Social Innovation – EaSI – has been established to contribute to the implementation of the Europe 2020 strategy. It provides financial support for the Union’s objectives by promoting high quality and sustainable employment, guaranteeing decent social protection, combating social exclusion and poverty and improving working conditions.

The programme incorporates and extends the coverage of three existing programmes:

- PROGRESS - the programme for Employment and Social Solidarity which supports development and coordination of EU policy for employment, social inclusion, social protection, working conditions, anti-discrimination and gender equality
- EURES – the European Employment Services, a cooperation service that encourages worker mobility
- PROGRESS Microfinance Facility which aims to increase the availability of microcredit to individuals for setting up or developing a small business.

These are the three axes of the programme, responding to the challenges of the economic crisis that Europe is currently experiencing and acknowledging that, with extremely difficult labour market and social conditions, the divergence between countries is growing.

Objectives and priorities

The 2014 Work Programme for EaSI begins by defining the current context and the challenges that the EU is struggling with:

- High unemployment that has already led to all-time high long-term unemployment
- Large job destruction that has aggravated low employment
- At the same time precarious employment has increased and labour mismatches have occurred with the rise of structural unemployment
The impact of the crisis has seen rising inequality with the lower income groups hardest hit by job losses. The number of young people not in education, employment and training (NEET) has expanded. Poverty and social exclusion has increased, following the rise in jobless households and the rise in in-work poverty, and household incomes have declined.

The 2014 Work Programme states:

‘Policy responses to confront the employment and social challenges and ensure a job-rich recovery are necessary in following areas: investing in jobs and people; improving labour market functioning; increasing the effectiveness and efficiency of tax and benefit systems; and constructing a genuine social dimension of the European Monetary Union.’

Taking into account the context presented above, the Work Programme aims to:

- Address the policy challenges outlined above, the consequences of the economic crisis, particularly fighting unemployment and reducing poverty within a context of budgetary constraints.
- Ensure strong prioritisation and optimal alignment of EaSI-related expenditure with the goals of Europe 2020.
- Focus on activities with the highest EU added-value, including new legislative initiatives.
- Promote complementarities across axes and with other EU instruments, such as transnational cooperation under the European Social Fund or support for social dialogue.

This first Work Programme aims to define the policy priorities that will guide next year’s funding priorities. However, as 2014 is also the last year in office of the current EU Commission and EU Parliament, new priorities will need to be fixed for the next five years. The EaSI Work Programme will therefore be reviewed for 2015 and following years.

**EaSI PROGRESS - Thematic sections and specific objectives**

The PROGRESS axis supports the development, implementation, monitoring and evaluation of the Union instruments and policies. It will help the EU and the Member States to improve the policies in three main thematic sections: a) **employment, in particular to fight youth unemployment**; b) **social protection, social inclusion and the reduction and prevention of poverty**; c) **working conditions**.
The PROGRESS axis work programme for 2014 has four specific objectives:

- **To develop and disseminate comparative analytical knowledge and provide evidences on the Union’s policies**

  The employment thematic section will continue to support and develop the Commission’s capacity to analyse and assess national and EU employment policies in the framework of the Europe 2020 Semester and the implementation of the European Employment Strategy. Following the adoption of the Youth Employment Package in 2013, a comprehensive set of analytical activities and EU surveys will be launched. The anticipation of skills needs, analysis of skills supply and labour market needs will be supported through the monitoring of labour demand and supply across the EU and of the benchmarking of skills governance, including the effectiveness of Public Employment Services. The multilingual classification of European skills competences, occupation and qualification (ESCO) will be further continued.

  The social protection/social inclusion thematic section will continue to support the development of appropriate policy advice, research and analysis relating to social protection, social inclusion and long-term care. New topics for analytical work to address the social consequences of the crisis will be developed such as the methodology for determining the financial and social return on investment for social policies, the development of a framework for assessing health care and the stock-taking exercise on housing and social services.

  The main activities in the working conditions section will focus on evaluating EU labour law legislation, supporting the scientific committee on occupational exposure limits, launching a Eurobarometer on working conditions or analysing the EU labour inspection systems and the promotion of the occupational safety and health strategy (OHS). In addition, international organisations like the International Agency for Research on Cancer, the International Labour Organisation or the International Commission on Non-Ionizing Radiation Protection will be supported in their research activities in order to strengthen the knowledge base in the area of occupational health and safety.

  The Work Programme also includes analytical activities which combine issues and policy themes described above to enhance the knowledge of global employment and social policy challenges that may impact on EU policy in these fields (e.g. on migration or adults’ competences) as well as statistical tools (e.g. statistics on income and living conditions and a labour force survey on work organisation). The possibility to quickly launch specific targeted studies on emerging themes is also foreseen.
To Improve information-sharing, learning and dialogue

EaSI-Progress aims to foster a shared understanding of, and consensus among stakeholders on, problem identification and policy options or solutions that respond to real needs.

Under the employment thematic section the European Employment Policy Observatory (EEPO) will provide information on policy developments in the field of employment; mutual learning programmes are foreseen to support cooperation between public employment services, with the Sectoral Skills Councils and on various themes such as skills and employment, youth employment, social entrepreneurship and household services.

The social protection/social inclusion thematic section will support the new social policy experts’ network, mutual learning through the European Platform against Poverty and Social Exclusion, mutual Information on Social Protection (MISSOC) and the sharing of best practices in the fields defined in the Social Investment Package 4.

The thematic section on working conditions will support the European labour law network to provide the Commission with relevant information regarding the application of EU law in Member States, the work of the new EU platform on undeclared work, as well as the Labour inspectors (SLIC).

A set of activities on a combination of issues and policy themes will take place at EU level. Information and communication activities will raise awareness on priority issues. For instance, specific means will be dedicated to communication activities centred around growth and jobs; events and conferences will allow reinforcing dialogue and mutual learning at regional, national, European and international level and mobilise key policy/decision-makers and stakeholders with a view to creating support for EU objectives and priorities.

To test social and labour market policy innovation and to build capacity to design and implement social policy innovation

Support is foreseen through grants to public authorities and organisations to test innovative social and active labour market policy reforms aiming also at the modernisation of the welfare states in line with Europe 2020 and the policy priorities supported by the EaSI Programme. Dissemination and awareness-raising is also foreseen at national and regional level to encourage shared interest from stakeholders. It will in particular emphasise the link between the new tested measures and their transferability and
mainstreaming via other EU instruments (such as the ESF) and national/regional policies.

- **To increase the capacity of Union and national organisations to develop, promote and implement Union policies and law**

  The European Commission will pursue its key role in promoting the involvement of civil society, in particular under the social inclusion thematic section through **financial support for key Union level networks**.

  Support for the specific issue of **Roma integration** will also be addressed under the social inclusion thematic section; the capacity to deliver measures for Roma inclusion at local level will be the subject of cooperation with the Council of Europe.

  In addition, it is intended to support the capacity of Union and national organisations to implement EU policies and laws in the policy fields supported by the Programme. This will involve, for instance, supporting under the **youth employment** policy theme the implementation of Youth Guarantees, including apprenticeship and quality traineeships, programmes and initiatives. It will also imply, under the social protection thematic section, the support to **cross-border cooperation of pension and financial providers** and to support the Union’s electronic exchange of social security platform.

  Finally, administrative cooperation will also be strengthened for cross-border cooperation in the area of **posting of workers**.

**EaSI EURES – Thematic sections and specific objectives**

The EaSI-EURES axis aims to help the EU and the Member States to improve their policies in three fields:

- Transparency of job vacancies, job applications and any related information for applicants, jobseekers, workers and employers
- Development of services for the recruitment and placing of workers in employment through the clearance of job vacancies and job applications at Union level, in particular targeted mobility schemes
- Cross-border partnerships.

The **cross-border partnerships** will be further supported and developed, aiming to meet the need for information and coordination related to labour mobility in the border regions. These partnerships will bring together public employment and vocational training services, employers and trade union organisations, local authorities and other institutions dealing with employment and vocational training.
**EaSI Microfinance - Thematic sections and specific objectives**

The EaSI-Microfinance and Social Entrepreneurship axis will support actions in two thematic sections:

- Microfinance for vulnerable groups and micro-enterprises
- Social entrepreneurship.

**EaSI transversal priorities and issues**

The EaSi Work Programme will, in all its axes and actions, pay particular attention to:

- Promoting a high-level of quality and sustainable employment and guaranteeing adequate and decent social protection
- Combatting long-term unemployment, fighting against poverty and social exclusion and targeting people in vulnerable situation, such as young people who are in neither education, employment nor training
- Promoting equality between women and men including through gender mainstreaming and, where appropriate, gender budgeting
- Combating discrimination based on sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation.

**Eligible applicants**

The Programme is open to the EU 28 Member States.

The EEA countries and EFTA Member States will define whether they will participate in the Programme and integrate EaSI axes in the EEA Agreement.

Participation in the Progress and Microfinance and Social Entrepreneurship axes is also open to the Candidate Countries and to potential Candidate Countries (but not participation in the EaSI-EURES axis).

Progress is open to **all public and/or private bodies, actors and institutions**, and in particular to:
Trade Unions and Transnational Projects

- National, regional and local authorities
- Employment services
- Specialist bodies provided for under EU law
- Non-governmental organisations
- Higher education institutions and research institutes
- Experts in evaluation and in impact assessment
- National statistical offices
- The media.

**Application procedure**

The activities to be funded are defined in the Work Programme adopted by the Programme Committee.

Details about transnationality, project duration, funding and application procedures can be found in the individual Calls for Proposals. (At the moment of writing, no Call for Proposals has yet been launched).

**Further information**


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Trade unions have previously secured funding from PROGRESS, particularly in the fields of restructuring and sectoral issues. See, for example, [http://ec.europa.eu/social/BlobServlet?docId=5352&langId=en](http://ec.europa.eu/social/BlobServlet?docId=5352&langId=en).
Chapter 13

The Social Dialogue Budget Lines

Each year the EU approves a number of financial allocations to support measures aimed at supporting and improving social dialogue. These allocations, referred to as the ‘Social Dialogue budget lines’, provide valuable support to the activities of social partner organisations, in particular to trade unions.

From 2014 onwards, there will be four Social Dialogue budget headings (instead of the previous three). We will look at each of them in more detail in this chapter:

- Support for social dialogue
- Information and training measures for workers’ organisations
- Information, consultation and participation of representatives of undertakings
- Improving expertise in the field of industrial relations.

In this edition of the handbook, we will be making reference to the 2014 Calls for Proposals, in which some significant changes have been introduced. We also advise you to read carefully subsequent Calls for Proposals, as there may be further changes.

Budget heading: Support for Social Dialogue (VP/2014/001)

Under this budget heading, the European Commission provides grants to promote social dialogue at cross-industry and sectoral levels, and to develop European Social Dialogue through information exchange, consultation, negotiation and joint actions.

Financial assistance is available to support consultations, meetings, negotiations and other activities designed to achieve these objectives and to promote actions outlined in the European Commission’s Communication The European social dialogue: a force for innovation and change, in the Communication
Partnership for change in an enlarged Europe - Enhancing the contribution of European social dialogue, and in the Commission Staff Working Document on the Functioning and potential of European sectoral social dialogue.

Measures supported should help social partner organisations to contribute to addressing the challenges facing European employment and social policy, as set out in the Europe 2020 Strategy, in the European Council Conclusions of 25-26 March 2010 and 17 June 2010, in the Commission’s Communications Towards a job-rich recovery, Moving Youth into Employment and Towards Social Investment for Growth and Cohesion— including the European Social Fund 2014-2020 and in the Communication Strengthening the social dimension of the Economic and Monetary Union154.

It is important for trade unions to recognise that this Call for Proposals will give a high priority to joint projects that aim to implement parts of the work programme of the European Social Dialogue Committees, with an active involvement of employers’ organisations as co-applicants or associated organisations155.

Priorities

We are presenting here the priorities of the 2014 Call, as an example only. These priorities are likely to change each year.

The 2014 priorities cover measures and initiatives relating to the adaptation of social dialogue to changes in employment and work and to related challenges, such as:

- Modernisation of the labour market
- Quality of work
- Anticipation, preparation and management of change and restructuring
- Greening of the economy
- Flexicurity
- Skills, mobility and migration
- Youth employment
- Health and safety at work
- Reconciliation of work and family life
- Gender equality
- Action in the fields of anti-discrimination, active ageing, healthier and longer working lives, active inclusion and decent work.

154 More detailed references relating to the various documents mentioned in this and the preceding paragraph can be found in the Call for Proposals documents.

155 This is a new departure. For a definition of these terms and roles, please consult the Financial Guidelines in Annex 1 to the Call for Proposals documents.
Proposals are also welcomed which contribute to addressing the employment and social dimensions of EU priorities relating to recovery from the crisis and to achieving the objectives and targets of the Europe 2020 Strategy and its flagship initiatives. Strengthening synergies and exchanges between European Social Dialogue sectoral committees and between the sectoral committees and the inter-professional level is a horizontal objective.

Measures to support the European social partners and Social Dialogue committees will be particularly welcome.

The budget heading can also be used to finance actions involving representatives of the social partners from the Candidate Countries (i.e. those who are candidates at the time of the deadline for the submission of applications). These projects can also be related to the topic of equal participation of women and men in the decision-making bodies of both trade unions and employers’ organisations.

Any measures funded under this heading must be accessible by people with disabilities.

Activities supported

These include:

- Measures to prepare European social dialogue, e.g. preparatory surveys, meetings and conferences
- Negotiations, meetings to prepare for negotiations or activities relating to the implementation of negotiated agreements and other negotiated outcomes
- Measures to implement the European social partners’ work programmes (e.g. round tables, exchanges of experience and networks of key actors)
- Measures to monitor and follow up European social dialogue activities and outcomes, e.g. conferences and other initiatives to disseminate and evaluate the results of European social dialogue through European or national events, or through studies, paper or electronic publications (including translations)
- Measures to improve the coordination, functioning and effectiveness of European social dialogue, such as the exchange of good practice and related joint training events
- Measures (such as information and training seminars) to strengthen the capacity of social partners to contribute to European social dialogue with particular attention to New Member States and Candidate Countries
- Measures by social partners which contribute to the employment and social dimensions of the EU 2020 Strategy, including the monitoring and analysis of its impact on labour markets
Measures to support the European social partners and social dialogue committees in undertaking and contributing to impact assessment of the employment and social dimensions of EU initiatives.

Please note that measures related to the field of industrial relations are no longer covered by this budget line; they will be funded separately (see below).

Project duration

Maximum 24 months

Eligible applicants

To be eligible, applicants must:

- Be properly constituted and registered legal persons. Under Article 131 of the Financial Regulations, social partner organisations without legal personality are also eligible provided that they meet the conditions of the Financial Regulation, and
- Fall within one of the following categories:
  - Social Partners
    - European social partner organisations currently consulted in accordance with Article 154 TFEU.
    - European-level social partner organisations not covered by the above; for example, those involved in the preparation and launch of European social dialogue at sectoral level
    - National or regional social partner organisations, as long as the project has a European approach.
  - Organisations linked to Industrial Relations such as non-profit-making organisations, research centres and institutes, universities, non-profit-making networks of companies or of workers’ organisations
  - Public authorities
  - International organisations (such as UN Agencies) active in the fields of social dialogue (other than the ILO, with which the Commission will carry out a project under joint management).

The lead applicant organisation must have its registered office in one of the EU Member States. International organisations (such as UN Agencies) active

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An up-to-date list of these organisations can be found at [http://ec.europa.eu/social/BlobServlet?docId=2154&langId=en](http://ec.europa.eu/social/BlobServlet?docId=2154&langId=en)
in the fields of social dialogue and/or industrial relations whose registered office is outside the EU are also eligible. Co-applicants must have their registered office in one of the EU Member States or in a candidate country.

**Transnational Partnership**

For projects not submitted by a European-level or international organisation, the application must demonstrate the genuine involvement of co-applicants, affiliated entities or associate organisations from more than one Member State and/or Candidate Country.

This will be a matter for enhanced scrutiny in the case of proposals from social partner organisations that are not also international organisations. The Commission is concerned to ensure that there is significant actual involvement from co-applicant or associate organisations. It stresses that projects need to have a stronger link with social dialogue and industrial relations development at EU level. Letters of support from EU-level organisations will no longer be seen as sufficient to demonstrate a genuine involvement.

If a workers’ organisation is lead or co-applicant, the action must also have the real involvement – as co-applicant or associate organisation - of an employers’ organisation.

**EU funding**

The EU contribution will be a maximum of 90% of the total eligible costs (or 95% of the total cost of social dialogue actions involving negotiations, meetings to prepare for negotiations, or joint social partner actions relating to the implementation of the results of European Social Dialogue negotiations).

The project beneficiaries must provide an own contribution covering 10% of the project total costs.

Minimum amount of EU funding per project: €108,000.

**Application procedure**

The application, to be completed online, must be sent directly to the European Commission’s DG Employment who will process, evaluate and manage the applications process.

Details and addresses are in the text of the Call.
Interest to trade unions and ETUI training

The ETUC and the national trade unions have been using this budget heading for many years, as it impacts directly on trade union activities and priorities. ETUI Education organises transnational training sessions, timed to coincide with the annual Call for Proposals. These aim to inform potential promoters of trade union projects about the requirements of the Call, to help with setting up networks and trade union partnerships and to improve the quality of project proposals submitted to the European Commission.

Further information and enquiries

For further information, please see: http://ec.europa.eu/social/main.jsp?catId=629&langId=en&callId=402&furtherCalls=yes

Enquiries by e-mail may also be sent to: empl-vp-social-dialogue@ec.europa.eu

Budget heading: Information and training measures for workers’ organisations (VP/2014/002)

This budget heading is intended to finance information and training measures for workers’ organisations, including representatives in the Candidate Countries.

Objectives

Objectives and priorities for the 2014 Call include measures to strengthen the capacity of workers’ organisations to address, at EU or transnational level, topics such as:

- Modernisation of the labour market
- Quality of work
- Skills
- Anticipation, preparation and management of change and restructuring
- Actions in the field of anti-discrimination
- Active ageing
- Healthier and longer working lives
- Active inclusion and decent work
- Greening the economy
- Flexicurity
- Skills
- Mobility and migration
- Youth employment
- Health and safety at work
Reconciliation of work and family life
- Gender equality.

The European Commission has a particular interest in supporting measures that contribute to addressing the employment and social dimensions of EU priorities relating to the recovery from the crisis, taking into account the increasing inequalities within and between Member States.

This budget heading can also be used also to finance actions involving representatives of workers’ organisations from the Candidate Countries (at the time of the deadline for the submission of applications). It is also intended to promote equal participation of women and men in the decision-making bodies of workers’ organisations.

Activities supported

Information and training activities

Project duration

Maximum 24 months

Eligible applicants

The lead applicant must be a social partner organisation representing workers at European, national or regional level. It must also have its registered office in one of the Member States of the European Union. Co-applicants must have their registered office in one of the Member States or Candidate Countries. Applicants must be properly constituted and registered legal persons. Workers’ organisations without legal personality are also eligible, provided that the conditions of the Financial Regulation related thereto are met.

Transnational partnership

Actions must:

- Have the involvement of co-applicants, affiliated entities or associate organisations from more than one Member State and/or Candidate Country in the case of proposals which are not submitted by a European-level workers’ organisation
- Have a genuine involvement, as co-applicant or associate organisation, from a European-level social partner organisation, if the proposal is submitted by a national or regional workers’ organisation.
This new requirement that national or regional level organisations submitting applications must also involve a European level organisation in the form of co-applicant or associated organisation means that letters of support from EU-level organisations will no longer be seen as sufficient to demonstrate a genuine involvement. If your project proposal addresses a specific sector or a certain group of workers represented by a European Federation, then the relevant Federation should be involved. Otherwise, you should seek the involvement of ETUC.

EU funding

The EU contribution will be a maximum of 90% of the total eligible costs. The project beneficiaries must provide an own contribution covering 10% of the project total costs. Any application seeking more than 90% funding will be excluded automatically. Minimum amount of EU funding per project: €108,000.

Application procedure

The application, to be completed online, must be sent directly to the European Commission’s DG Employment who will process, evaluate and manage the applications process. Details and addresses are in the text of the Call.

Interest to trade unions and ETUI training

This budget heading has always been the ‘ad hoc’ budget line to provide support for workers’ organisations. Starting in 2014, this Call will fund ‘workers only’ projects promoted by trade unions, without employers.

Each year to coincide with the launch of the yearly Call for proposals, ETUI Education organises a transnational training course which aims to:

- Inform trade union promoters about the requirements of the Call
- Help in setting up networks and partnerships
- Improve the quality of project proposals submitted to the European Commission.

Further information and enquiries

For further information, please see: http://ec.europa.eu/social/main.jsp?catId=629&langId=en&callId=403&furtherCalls=yes

Enquiries may also be sent via email to: empl-vp-info-training@ec.europa.eu
Budget heading: Information, consultation and participation of representatives of undertakings (VP/2014/003)

The purpose of this budget heading, better known as the budget line for European Works Councils, is to foster the development of employee involvement in undertakings, in particular by raising awareness and contributing to the application of EU law and policies in this area. This relates to any mechanism, including information, consultation and participation, through which employees’ representatives may exercise an influence on decisions to be taken within the company.

Objectives and priorities

The budget line is implemented through a yearly Call for Proposals. The 2014 Call for Proposals sets out the following priorities:

- The setting up of transnational information, consultation and participation bodies and mechanisms arising from the application of EU law on employee involvement
- The exchange of information and good practice aimed at creating favourable conditions for the setting up of national information, consultation and participation bodies and mechanisms arising from the application of EU law on employee involvement
- Familiarisation of the social partners and actors at company level with the content of EU law on transnational employee involvement in order to enable them to exercise their rights and duties in this regard
- Transnational actions involving representatives of the new Member States and of Candidate Countries in the field of employee involvement
- The promotion of actions aiming to familiarise the actors represented at company level with transnational company agreements and to strengthen their cooperation within the European Union
- Development of expertise across the Member States, promoting cooperation between relevant authorities and stakeholders and fostering relations with the EU Institutions so as to support the implementation and improve the effectiveness of EU law on employee involvement.

Activities supported

- Conferences, seminars, short training actions, manuals and exchanges of information and of good practices involving workers’ and/or employers’ representatives
Analysis papers on quantitative and qualitative aspects and results of subjects related to workers’ and employers’ representation and to social dialogue at undertaking level in a transnational cooperation context

Websites, publications, newsletters and other means for the dissemination of information.

Project duration

Maximum 24 months

Eligible applicants

The applicant must have its registered office based in one of the Member States of the European Union. Applicants must be properly constituted and registered legal persons, although social partner organisations without legal personality are also eligible, provided that the conditions of the Financial Regulation related thereto are met. Co-applicants must have their registered office in one of the Member States or Candidate Countries.

A project applicant cannot be an individual.

Applicants must be representatives of workers or employers:

- **For workers**: applicants may be works councils or similar bodies ensuring the general representation of workers; regional, national, European, sectoral or multi-sectoral trade unions
- **For employers**: applicants may be the management of undertakings, organisations representing employers at regional, national, European, sectoral or multi-sectoral level. In the case of commercial undertakings, the objective of the project must be non-commercial in nature.

As an exception, applicants may also be technical bodies, such as non-profit training or research bodies. The technical bodies and commercial undertakings will be considered eligible only where they are expressly mandated by one or more eligible organisations representing workers or employers in Member States and when a mandatory letter of endorsement is included.

In order to strengthen co-operation between workers’ and employers’ representatives in respect of information, consultation and participation within undertakings operating in more than one Member State, projects involving only one information and consultation body should be submitted as joint projects from representatives of workers and employers. Where particular circumstances do not allow submitting such a joint project, the reasons must be specified in the application.
For the purposes of the 2014 Call, a ‘European organisation’ means a legal entity, having its registered office based in one of the Member States of the European Union and ensuring the general representation, at European level, of workers’ or employers’ national associations in Member States and promoting their common interests at European level according to their own by-laws.

Transnational partnership

In the case of proposals which are not submitted by a European-level workers’ or employers’ organisation, the project proposal must involve co-applicants, affiliated entities or associate organisations from more than one Member State and/or Candidate Country.

Participants in projects should be representatives of workers or employers from the Member States and Candidate Countries at the deadline for the submission of applications (i.e. members or future members of information, consultation and participation bodies; management of undertakings or groups or members of employers’ associations; officials of workers’ organisations or trade union representatives; experts nominated by the eligible social partners).

EU funding

The EU contribution will be a maximum of 90% of the total eligible costs. The project beneficiaries must provide an own contribution covering 10% of the project total costs. Any application seeking more than 90% funding will be excluded automatically. Minimum amount of EU funding per project: €108,000.

Application procedure

The application, to be completed online, must be sent directly to the European Commission’s DG Employment who will process, evaluate and manage the applications process.

Details and addresses are in the text of the Call.

Interest to trade unions and ETUI training

This budget heading is particularly important for trade unions as it is closely linked to the issues of mergers, restructuring and relocation, and to information and consultation in transnational bodies.

Each year to coincide with the launch of the annual Call for Proposals, ETUI Education in cooperation with ETUC organises a transnational training course which aims to:
Inform trade union promoters about the requirements of the Call
Help with setting up networks and partnerships
Improve the quality of project proposals submitted to the European Commission.

Further information and contact

For further information, please see: http://ec.europa.eu/social/main.jsp?langId=en&catId=630&callId=242&furtherCalls=yes

Enquiries may also be sent via e-mail to: EMPL-VP-2014-003@ec.europa.eu

Budget heading: Improving expertise in the field of industrial relations (VP/2014/004)

This budget heading covers actions supporting industrial relations, in particular those designed to develop expertise and the exchange of EU-relevant information, as well as actions to improve knowledge about industrial relations institutions and practices across the EU and also the dissemination of results.

‘Industrial relations’ is seen as referring to the set of rules governing employment and relations at the workplace, together with the ways in which the rules are made, changed, interpreted and implemented by trade unions, employers and the state.

Against this background, the overarching objective of the 2014 Call is to improve expertise and knowledge concerning industrial relations, in particular through analysis and research activities, both at EU level as well as in comparative terms (i.e. identifying convergences and differences in the industrial relations systems in place in the EU Member States and in Candidate Countries), thereby contributing to developing and reinforcing industrial relations structures in Europe.

Objectives

The specific objectives of the Call include measures and initiatives linked to the adaptation of industrial relations systems to changes in employment and work and related challenges, such as:

- The employment and social dimensions of EU priorities in the context of the recovery from the crisis (taking into account the increasing inequalities within and between Member States)
- The modernisation of the labour market
- Quality of work
Anticipation, preparation and management of change and restructuring
The greening of the economy
Flexicurity
Skills, mobility and migration
Youth employment
Health and safety at work
Reconciliation of work and family life
Gender equality
Action in the field of anti-discrimination
Active ageing, healthier and longer working lives
Active inclusion and decent work.

Strengthening synergies and exchanges between European social partners and academia and research centres is a horizontal objective.

Activities supported

The following categories of action are targeted:

- Initiatives contributing to the preparation and use (presentation, discussion and dissemination) of the European Commission’s *Industrial Relations in Europe* reports
- Activities to further deepen the analysis of topics/key findings that were examined in the previous editions of the *Industrial Relations in Europe* report, including: industrial relations in the public sector; industrial relations in Central and Eastern European countries; social partner involvement in social security; the role of social dialogue in fostering economic performance and the transition towards a low carbon economy; industrial relations in the framework of Economic and Monetary Union; the role of social dialogue in promoting youth employment
- Research activities including preparatory studies, surveys and other forms of data collection, monitoring exercises and studies
- Initiatives to enhance the collection and use of information on national industrial relations systems and on developments at European level of measures to identify and exchange information in the area of industrial relations, including through the activities of networks involving industrial relations parties and/or experts
- Initiatives to promote knowledge of effective industrial relations practices, at both national and European level, including successful forms of worker participation, particularly with regard to the anticipation, preparation and management of change
- Actions to disseminate such findings in publications, round tables, seminars, conferences, training measures and training tools.

Measures aimed at directly supporting EU social partners’ initiatives and processes, such as consultations, meetings, negotiations and other actions related
to the work of Social Dialogue Committees at both sectoral and cross-industry level, are covered by the Call related to the Support for Social Dialogue budget heading (See above).

Project duration

Maximum 24 months

Eligible applicants

The lead applicant must have its registered office in one of the EU Member States. Co-applicants must have their registered office in one of the EU Member States or the Candidate Countries.

Applicants must be:

- International organisations active in the fields of social dialogue and/or industrial relations
- Social partners:
  - European social partner organisations currently consulted in accordance with Article 154 of the Treaty on the Functioning of the European Union
  - European-level social partner organisations not covered in the previous point; for example, those involved in the preparation and launch of European social dialogue at sectoral level
  - National or regional social partner organisations, as long as the project is part of a European approach
- Organisations linked to industrial relations, research bodies, universities, networks of companies or of workers’ organisations
- Public authorities.

Transnational Partnership

Projects which are not submitted by a European-level or international organisation must have the involvement of co-applicants, affiliated entities or associate organisations from more than one Member State and/or Candidate Country.

EU funding

The EU contribution will be a maximum of 90% of the total eligible costs. The project beneficiaries must provide an own contribution covering 10% of the project total costs. Any application seeking more than 90% funding will be excluded automatically. Minimum amount of EU funding per project: €108,000.
Application procedure

The application, to be completed online, must be sent directly to the European Commission’s DG Employment who will process, evaluate and manage the applications process. Details and addresses are in the text of the Call.

Interest to trade unions and ETUI training

This budget heading, with its provision for surveys and studies on industrial relations, is particularly interesting for research departments of trade unions.

Each year to coincide with the launch of the annual Call for Proposals, ETUI Education organises a transnational training course which aims to:

- Inform trade union promoters about the requirements of the Call
- Help with setting up networks and partnerships
- Improve the quality of project proposals submitted to the European Commission.

Further information and contacts

For further information, please see: http://ec.europa.eu/social/main.jsp?catId=629&langId=en&callId=404&furtherCalls=yes

Enquiries may also be sent by e-mail to: empl-vp-industrial-relations@ec.europa.eu
Chapter 14

The European Structural and Investment Funds (ESIF)

Among the most important funding mechanisms at the disposal of the European Commission are the new European Structural and Investment Funds, of which the most significant from a trade union perspective is the European Social Fund.

Article 174 of the Treaty on the Functioning of the European Union (TFEU) provides that, in order to strengthen its economic, social and territorial cohesion, the Union will aim to reduce disparities between the levels of development of the various regions and the backwardness of the least favoured regions or islands, and that particular attention is to be paid to rural areas, areas affected by industrial transition, and regions which suffer from severe and permanent natural or demographic handicaps. The new ESI Funds have a major role to play in addressing these challenges.

The five main Funds will work together to support economic development across all EU countries, in line with the objectives of the Europe 2020 strategy:

- The European Regional Development Fund (ERDF) aims to strengthen economic and social cohesion in the European Union by correcting imbalances between its regions. The ERDF focuses its investments on these key priority areas:
  - Innovation and research
  - The digital agenda
  - Support for small and medium-sized enterprises (SMEs)
  - The low-carbon economy

- The European Social Fund (ESF) invests in people, with a focus on improving employment and education opportunities across the European Union. It also aims to improve the situation of the most vulnerable people at risk of poverty. The ESF investments cover all EU regions, with an addition of at least € 3.2 billion allocated to the Youth Employment Initiative.

- The Cohesion Fund (CF) is aimed at Member States whose Gross National Income (GNI) per inhabitant is less than 90 % of the EU average. It aims to reduce economic and social disparities and to promote sustainable development. For the 2014-2020 period, the Cohesion Fund concerns Bulgaria, Croatia, Cyprus,
the Czech Republic, Estonia, Greece, Hungary, Latvia, Lithuania, Malta, Poland, Portugal, Romania, Slovakia and Slovenia.

The European Agricultural Fund for Rural Development (EAFRD) is used to achieve a range of rural development goals, including improving the competitiveness of farm, forest and agri-food businesses; helping protect the natural environment; supporting rural economies; and assisting quality of life in rural areas.

The European Maritime and Fisheries Fund (EMFF) aims to help fishermen in the transition to sustainable fishing, to support coastal communities in diversifying their economies, to finance projects that create new jobs and improve quality of life along European coasts and to facilitate easier access to financing.

Any EU region may benefit from the ERDF and the ESF. However, only the less-developed regions may receive support from the Cohesion Fund.

After a general view of the reform of the Cohesion Policy 2014-20 and the ESIFs, this chapter looks in more detail at the European Social Fund and its importance for trade unions.

**The reform of the Cohesion Policy 2014-2020 and the new European Structural Investment Funds (ESIF)**

As part of the EU’s 2014-2020 budget, the Cohesion Policy and its instruments have undergone a significant reform with the aim of having a maximum impact on growth and jobs.

Financial instruments, involving the commitment of EU funds alongside co-financing from national governments and/or private sector bodies, have been used for delivering investments from Structural Funds since the 1994-1999 programming period. Targeting projects with potential economic viability, financial instruments provide support for investments by way of loans, guarantees, equity and other risk-bearing mechanisms, possibly combined with technical support, interest rate subsidies or guarantee fee subsidies within the same operation. Their relative importance has increased during the period 2007-2013. In the light of the current economic situation and the increasing scarcity of public resources, financial instruments are expected to play an even stronger role in cohesion policy in the 2014-2020 programming period.

The reform will in fact invest €325 billion in Europe’s Member States, their regions and cities, not only to deliver the EU-wide goals of growth and jobs, but

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157 For more detailed information on the financial instruments, see [http://ec.europa.eu/regional_policy/thefunds/instruments/index_en.cfm](http://ec.europa.eu/regional_policy/thefunds/instruments/index_en.cfm)
also to tackle climate change, energy dependence and social exclusion. Taking into account the national contribution of Member States, and the leverage effect of financial instruments, the overall sum involved in these initiatives is likely to be more than €500 billion\textsuperscript{158}.

The key elements of the reform include:

- Investing in all EU regions and adapting the level of support and the national contribution (co-financing rate) to their levels of development:
  - Less Developed regions (GDP < 75% of EU-27 average)
  - Transition regions (GDP 75% to 90% of EU-27 average)
  - More Developed regions (GDP > 90% of EU-27 average)

- Targeting resources at key growth sectors: investments under the European Regional Development Fund (ERDF) will be concentrated on 4 key priorities:
  - Innovation and research
  - The digital agenda
  - Support for small and medium-sized businesses (SMEs)
  - The low-carbon economy
  with the amount of co-finance depending on the category of region (Less Developed: 50%, Transition: 60%, and More Developed: 80%).

- Through the European Social Fund (ESF), Cohesion Policy will provide a significant contribution to EU priorities in the field of employment; for example, through training and life-long learning, education and social inclusion (at least 20% of the ESF in each Member State will have to be used to support this objective). The ESF allocation will be established according to the needs of each Member State, subject to a pre-defined minimum, resulting in a total of at least €70 billion. The new Youth Employment Initiative, linked to the ESF and worth at least €6 billion, will support the implementation of the Youth Guarantee\textsuperscript{159}.

- Fixing clear, transparent, measurable aims and targets for accountability and results: countries and regions will have to announce upfront what objectives they intend to achieve with the available resources and identify precisely how they will measure progress towards those goals. This will allow regular monitoring and debate on how financial resources are used. It will mean additional funds can be made available to better performing programmes (through a so-called ‘performance reserve’) towards the end of the period.

\textsuperscript{158} For more detailed information on the allocation of funding, see \url{http://ec.europa.eu/regional_policy/thefunds/funding/index_en.cfm}

\textsuperscript{159} See also Chapter 19 for more information on measures addressing youth employment.
Introducing conditions that must be met before funds can be channelled to ensure more effective investments. For example, ‘smart specialisation’ strategies to identify particular strengths and potential; business-friendly reforms; transport strategies; measures to improve public procurement systems; compliance with environmental laws; strategies to fight youth employment and early school leaving or to promote gender equality and non-discrimination are all necessary preconditions.

Establishing a common strategy for more coordination and less overlap: a Common Strategic Framework provides the basis for better coordination between the European Structural and Investment Funds. This also improves links to other EU instruments like Horizon 2020, the Connecting Europe Facility or the Programme for Employment and Social Innovation.

Cutting red tape and simplifying the use of EU investments through a common set of rules for all European Structural and Investment Funds as well as simpler accounting rules, more targeted reporting demands and more use of digital technology (‘e-cohesion’).

Enhancing the urban dimension of the policy by earmarking a minimum amount of resources under the ERDF to be spent for integrated projects in cities - on top of other spending in urban areas.

Reinforcing cooperation across borders and encouraging the setting-up of more cross-border projects. Also ensuring that macro-regional strategies, like those concerning the Danube and the Baltic Sea, are supported by national and regional programmes.

Ensuring that Cohesion Policy is better linked to wider EU economic governance: programmes will have to be consistent with National Reform Programmes and should address the relevant reforms identified through country-specific recommendations in the European Semester. If necessary, the Commission can ask Member States – under the so-called ‘macro-economic conditionality’ clause - to modify programmes to support key structural reforms. As a last resort, it can suspend funds if economic recommendations are repeatedly and seriously breached.

Encouraging the increased use of financial instruments to give SMEs more support and access to credit.

What has changed from 2007-2013?

Rules

In contrast to the 2007-2013 programming period, the rules adopted for 2014-2020 financial instruments are non-prescriptive in regard to the sectors,
beneficiaries, types of projects and activities that are to be supported. Member States and managing authorities may use financial instruments in relation to all thematic objectives covered by Operational Programmes (OPs), and for all Funds, where it is efficient and effective to do so.

The new framework also contains clear rules to enable better combination of financial instruments with other forms of support, in particular with grants, as this can further stimulate the design of well-tailored assistance schemes that meet the specific needs of Member States or regions.

Financial instruments are a special category of spending and their successful design and implementation hinges on a correct assessment of market gaps and needs. Therefore, in the context of an OP, there is a new provision that financial instruments should be designed on the basis of an \textit{ex ante} assessment that has identified market failures or sub-optimal investment situations, respective investment needs, possible private sector participation and resulting added value of the financial instrument in question. Such an \textit{ex ante} assessment will also help to avoid overlaps and inconsistencies between funding instruments implemented by different actors at different levels.

**A range of new implementation options**

Across Member States and regions, the operational environment for financial instruments, as well as the administrative capacity and technical expertise required for their successful implementation, vary significantly. Against this background, the new regulations offer different implementation options from which Member States and managing authorities may choose the most suitable solution.

**More flexible co-financing modalities and additional financial incentives**

Payments by the Commission to managing authorities will in future be strictly linked to implementation on the ground. There will also be a possibility to include in the payment declaration the expected national contribution which is to be paid to the financial instrument or at the level of final recipients within the eligibility period.

- For contributions to an EU-level financial instrument under Commission management, a separate priority axis is to be envisaged in the OP. The co-financing rate for this priority axis or national programme will be 100%.
- For contributions to national, regional, transnational or cross-border financial instruments, the EU co-financing share will be increased by ten percentage points in cases where a priority axis is fully implemented through financial instruments.
Clear financial management rules

Building on the recent guidance issued to the Member States through the Coordination Committee of the Funds (COCOF), the Regulations provide for continuity and certainty regarding the financial management of EU contributions to financial instruments. The new framework contains clear rules in terms of the qualification of financial streams at the different levels of financial instruments and corresponding eligibility or legacy requirements.

Reporting on progress

Given the specific procedures and delivery structures for financial instruments, the availability of reporting data on the use of budgetary resources from the ESI Funds is of key importance to all cohesion policy stakeholders, as they allow conclusions to be drawn about the actual performance of supported instruments and adjustments that may be needed to safeguard their effectiveness. Therefore, the new framework requires managing authorities to send to the Commission a specific report on operations comprising financial instruments, as an annex to the annual implementation report. Based on the reports submitted, the Commission will provide summaries of data collected.

The European Social Fund

The ESF is Europe’s main instrument for supporting jobs, helping people get better jobs and ensuring fairer job opportunities for all EU citizens. It works by investing in Europe’s human capital – its workers, its young people and all those seeking a job. The ESF financing of €10 billion a year aims to improve job prospects for millions of Europeans, in particular those who find it difficult to get work, and to mitigate the consequences of the economic crisis – especially the rise in unemployment and poverty levels.

Priorities

The European Commission and EU Member States in partnership set the ESF’s priorities and how it spends its resources.

- **Getting people into jobs**: the ESF will support organisations throughout the EU to put in place projects aimed at training people and helping them get work. Initiatives supporting entrepreneurs with start-up funding and companies who need to cope with restructuring or a lack of qualified workers will also be funded.

- **Helping young people enter the labour market** will be a top priority for the ESF in all EU countries; the new Youth Guarantee will be partly funded by the ESF.

- **Social inclusion**: the ESF will continue to finance many
thousands of projects that help people in difficulty and those from disadvantaged groups to get skills and jobs and to have the same opportunities as others do.

- **Better education**: across the EU, the ESF is financing initiatives to improve education and training and ensure young people complete their education and get the skills that make them more competitive on the job market. Reducing school drop-out is a priority here, along with improving vocational and tertiary education opportunities.

- **Concentrating funding for achieving results**: the ESF will focus its interventions on a limited number of priorities in order to ensure a sufficiently high critical mass of funding to make a real impact in addressing Member States’ key challenges.

- **Greater support for social innovation**, i.e. testing and scaling-up innovative solutions to address social, employment and education needs.

**A stronger role for partners in running the ESF**

The Commission has adopted a common set of standards to improve consultation, participation and dialogue with partners during the planning, implementation, monitoring and evaluation of projects financed by the European Structural and Investment Funds (ESIF), particularly the ESF.

The new **European Code of Conduct on the Partnership Principle** requires Member States to strengthen cooperation between their authorities responsible for spending EU structural and investment funds and project partners, so as to facilitate the sharing of information, experience, results and good practices in the 2014-20 programming period, so helping to ensure that this money is spent effectively. Such partners could be regional, local, urban and other public authorities, trade unions, employers, non-governmental organisations or bodies responsible for promoting social inclusion, gender equality and non-discrimination.

The Code of Conduct, which takes the form of a legally binding Commission Regulation, sets out objectives and criteria to ensure that Member States implement the partnership principle. This means that Member States are required to:

- Ensure transparency in the selection of partners representing regional, local and other public authorities, social and economic partners and bodies representing the civil society, to be appointed as full members in the monitoring committees of the programmes
- Provide partners with adequate information and sufficient time as a prerequisite for a proper consultation process
- Ensure that partners are effectively involved in all phases of the process, i.e. from the preparation and throughout the implementation, including monitoring and evaluation, of all programmes
Support the capacity building of the partners in improving their competences and skills in view of their active involvement in the process.

Create platforms for mutual learning and exchange of good practice and innovative approaches.

The Regulation establishes the principles that Member States must apply but leaves flexibility for Member States to organise the practical details of how they will involve relevant partners in the different stages of the programming.

How the ESF works

Each Member State, in partnership with the European Commission, agrees on one or more Operational Programmes for ESF funding for the seven-year programme period. OPs describe the priorities for ESF activities and their objectives.

The EU distributes ESF funding to the Member States and regions to finance their Operational Programmes. These programmes fund employment-related projects which are run by a range of public and private organisations. The projects benefit their participants – usually individuals, but also companies or organisations.

Principles

The European Social Fund is designed and implemented in a partnership between the European Commission and national and regional authorities. This partnership also involves a wide range of other partners, such as NGOs and workers’ organisations, in the design of the ESF strategy and the monitoring of its implementation. Working in partnership is the best way to ensure that spending is as effective and efficient as possible and meets the needs of the region or community concerned.

Two other important principles guide the functioning of the ESF:

- **Co-financing** ensures ownership at national and regional level: ESF funding is always accompanied by public or private financing. Co-financing rates vary between 50% and 85% (95% in exceptional cases) of the total project costs, depending on the relative wealth of the region.

- **Shared management** allows for taking responsibility at the appropriate level: ESF guidelines are designed at European level through consultation with a wide variety of stakeholders, and Operational Programmes are negotiated between national authorities and the Commission. Implementation on the ground, through Operational Programmes, is managed by the relevant authorities in each country.
How to participate in projects

The ESF funds a rich variety of projects that improve people’s employment prospects and the jobs they do. ESF projects are applied for and run by a wide variety of organisations, including public administrations, workers’ and employers’ organisations, NGOs, charities and companies. Organisations involved in running projects are referred to as beneficiaries; the individuals taking part in an ESF project are called participants. These could include, for example, older workers training for new skills, young job-seekers getting work placements, or people seeking advice on how to set up their own business.

There is a great variety in the nature, size and aims of ESF projects, and they address a wide variety of target groups. There are projects aimed at education systems, teachers and schoolchildren; at young people and at older job-seekers; and at potential entrepreneurs from all backgrounds.

Trade unions and the ESF

Although decisions concerning individual projects — will remain in most cases the responsibility of institutional bodies, trade unions should make good use of the Code of Conduct, in which trade unions are formally recognised. However, the new Code also demands more proactive responsibility on behalf of trade unions. In the past, national and regional authorities have not always been receptive to projects involving trade unions. However issues such as training, social dialogue, youth unemployment, help for weaker workers, the fight for the social inclusion, combating discrimination are an essential part of trade union strategic priorities.

Professional training needs to be interpreted in the broadest possible sense and could be seen to include a number of areas of expertise relevant to trade union training; for example, the professional training of trade union officials whose job is to track ESF programming, job market policies, initiatives to boost employment, youth unemployment, immigration issues, equal opportunities and various forms of inequality. Work undertaken could include:

- Analysis of training needs
- Drafting curricula and implementation of training pathways
- Drafting guidelines, innovative pedagogical material.

You will find a lot of examples of previous ESF funded projects and an interactive map at http://ec.europa.eu/esf/main.jsp?catId=46&langId=en
ETUC and ETUI networks can play an important role here in helping to share experiences, good practices and advice, as well as realising transnational activities in the framework of trade union projects.

ETUI training

In 2007, ETUI Education, in cooperation with ETUC and the European Commission, launched a series of transnational training courses to capitalise on the start of the programming period 2007-2013 and to assist and inform trade union colleagues from the new Member States who were using the ESF for the first time.

The activity has been continuing in the last 2 years, with a focus on the new Regulations 2014-20 and on their implications for trade unions. If you are interested in participating in future courses, please consult the ETUI website at http://www.etui.org/Training/ETUI-Course-Programme-2014-2015.

Further information and contact

ESF funding is available through Member States and regions. The ESF does not fund projects directly from Brussels. Organisations and individuals interested in taking part can use the links given below:

- **Organisations** interested in ESF funding for a project should contact the ESF Managing Authority in their country or region. To find the relevant ESF contact address, visit the Support in your country section of the ESF web site at http://ec.europa.eu/esf/main.jsp?catId=45&langId=en.

- **Individuals** interested in participating in ESF projects can find the relevant ESF contact address their country in the Support in your country section of the ESF web site at http://ec.europa.eu/esf/main.jsp?catId=45&langId=en. National and regional ESF websites, as well as local employment services, are also a good source of information on the opportunities proposed by the ESF.
Chapter 15

**The European Globalisation Adjustment Fund**

Also within the framework of the EU funding mechanisms offered by DG Employment, Social Affairs and Inclusion is the European Globalisation Adjustment Fund (EGF). This fund provides support to people losing their jobs as a result of major structural changes in world trade patterns, due to globalisation. The fund intervenes when a large company shuts down or production is moved outside the EU.

The EGF has a maximum annual budget of €150 million for the period 2014-20. It can fund up to 60% of the cost of projects designed to help workers who have been made redundant find other jobs or set up their own business.

As a general rule, the EGF can be used only where more than 500 workers are made redundant by a single company (including its suppliers and downstream producers), or if a large number of workers are laid off in a particular sector in one or more neighbouring regions.

EGF projects are managed and implemented by national or regional authorities. Each project runs for 2 years.

**What support can the EGF provide?**

The EGF can co-finance projects including measures such as:

- Help with looking for a job
- Careers advice
- Education, training and re-training
- Mentoring and coaching
- Entrepreneurship and business creation.

It can also provide training allowances, mobility/relocation allowances, subsistence allowances or similar support.

The EGF does **not** co-finance social protection measures, such as pensions or unemployment benefit.
Who can benefit?

Individual workers made redundant can benefit from EGF projects. Over the period 2014-2020 this can include the self-employed, temporary workers and fixed-term workers.

Until the end of 2017, young people not in employment, education or training (NEETs) in regions with high youth unemployment can also benefit from EGF support in equal numbers to workers receiving support in those regions.

The EGF cannot be used to keep companies in business or to help them modernise or restructure.

How does the EGF differ from the EU Structural and Investment Funds?

The EU Structural and Investment Funds, particularly the European Social Fund\(^{161}\), take a strategic, long-term perspective in anticipating and managing the social impact of industrial change through activities such as life-long learning.

The EGF provides workers with one-off individual support that is limited in time.

EGF Regulation for 2014-2020

The rules on intervention criteria, eligible beneficiaries, eligible applications, measures and so on are set out in the European Globalisation Adjustment Fund Regulation\(^{162}\). See also the website at: [http://ec.europa.eu/social/main.jsp?catId=326&langId=en](http://ec.europa.eu/social/main.jsp?catId=326&langId=en).

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\(^{161}\) For more information on the European Social Fund, see Chapter 14 and [http://ec.europa.eu/esf/home.jsp?langId=en](http://ec.europa.eu/esf/home.jsp?langId=en)

Chapter 16

The Erasmus+ Programme

The Multiannual Funding Programme 2014 – 2020 includes a new programme - Erasmus+ - that will fund activities related to education, training, youth and sport.

Erasmus+ subsumes seven programmes from the previous funding period:

- The Lifelong Learning Programme (including sub-programmes Erasmus, Leonardo da Vinci, Comenius and Grundtvig)
- Youth in Action
- Erasmus Mundus
- Tempus
- Alfa
- Edulink
- Programmes of cooperation with industrialised countries in the field of higher education.

These former programmes have provided support for actions in the fields of higher education (including an international dimension), vocational education and training, school education, adult education and youth (including an international dimension).

These will now effectively become sub-programmes of Erasmus+, with the former names being kept, in order to help participants and previous beneficiaries to find their way within the new programme. So, for example:

- **Erasmus+: Leonardo da Vinci** will support the programme’s activities exclusively related to the field of vocational education and training
- **Erasmus+: Grundtvig** will support the programme’s activities exclusively related to the field of adult learning
- **Erasmus+: Youth in Action** will support the programme’s non-formal and informal learning activities exclusively related to the field of youth.

Overall the programme will support actions, cooperation and tools consistent with the objectives of the Europe 2020 Strategy and its Flagship Initiatives, such
as Youth on the Move and the Agenda for New Skills and Jobs\textsuperscript{163}. The Programme will also contribute to achieving the objectives of the ET 2020 Strategy, the European Youth Strategy and the EU external dimension of higher education.

**Objectives**

The General Objective of the Erasmus+ Programme is to contribute to the achievement of:

- The objectives of the Europe 2020 strategy and its headline education targets: to raise to 40\% (from nearly 36\% now) the proportion of the young adult population (30-34 year-olds) who have completed a higher education qualification and to reduce the proportion of early school leavers to less than 10\%
- The objectives of the Strategic Framework for European Cooperation in Education and Training (ET 2020), including its corresponding benchmarks
- The sustainable development of Partner Countries in the field of higher education
- The overall objectives of the renewed framework for European cooperation in the youth field (2010-2018)
- The objective of developing the European dimension in sport, in particular grassroots sport, in line with the EU Workplan for Sport
- The promotion of European values in accordance with Article 2 of the Treaty on European Union\textsuperscript{164}.

Erasmus+ also supports EU transparency and recognition tools – in particular Europass, Youthpass, the European Qualifications Framework (EQF), the European Credit Transfer and Accumulation System (ECTS), the European Credit System for Vocational Education and Training (ECVET), the European Quality Assurance Reference Framework (EQAVET), the European Quality Assurance Register (EQAR) and the European Association for Quality Assurance in Higher Education (ENQA)\textsuperscript{165}, as well as EU-wide networks in the field of education and training supporting these tools, in particular the National Academic Recognition Information Centre (NARIC) and Euroguidance networks and the National Europass Centres.

\textsuperscript{163} See Chapter 9.

\textsuperscript{164} The Union is founded on the values of respect for human dignity, freedom, democracy, equality, the rule of law and respect for human rights, including the rights of persons belonging to minorities. These values are common to the Member States in a society in which pluralism, non-discrimination, tolerance, justice, solidarity and equality between women and men prevail.

\textsuperscript{165} For more information on all these, see Chapter 9.
The promotion of language learning and linguistic diversity is another important area of the programme’s work. Linguistic support is also provided for participants involved in mobility activities abroad.

**Structure of Erasmus +**

The structure is composed of 3 Key Actions:

1. **Learning mobility of individuals (Key Action 1)**

   The Key Action 1 (better known as ‘Erasmus’) supports:

   - Mobility of learners and staff
   - Joint Master Degrees
   - Master Student Loan Guarantee.

2. **Cooperation for innovation and exchange of good practices (Key Action 2)**

   The Key Action 2 supports:

   - Transnational **Strategic Partnerships** which will develop initiatives in education, training and youth, and will promote innovation, exchange of experience and know-how between different types of organisations involved in education, training and youth or in other relevant fields
   - **Knowledge Alliances** between higher education institutions and enterprises designed to foster innovation, entrepreneurship, creativity, employability, knowledge exchange and/or multidisciplinary teaching and learning
   - **Sector Skills Alliances** for designing and delivering joint vocational training curricula, programmes and teaching and training methodologies, drawing on evidence of trends in a specific economic sector
   - **Capacity Building projects** in the field of youth
   - IT support platforms, such as eTwinning and the European Platform for Adult Learning.
3. Support for policy reform (Key Action 3)

The Key Action 3 supports projects on:

- **Knowledge in the fields of education, training and youth**, within the framework of Europe 2020
- Initiatives to stimulate **innovative policy developments** among stakeholders and public authorities
- **Support for European policy tools** for the recognition of skills and qualifications, as well as the transfer of credits, to foster quality assurance, and to support the validation of non-formal and informal learning
- **Cooperation with international organisations**
- **Stakeholder dialogue, policy and Programme promotion** with public authorities, providers and stakeholders.

**Applicant organisations**

Erasmus+ projects are submitted and managed by participating organisations representing the participants. If a project is selected, the applicant becomes the *beneficiary* of an Erasmus+ grant. Beneficiaries sign a grant agreement or receive a grant decision which entitles them to receive financial support for the realisation of their project. (N.B. Grant agreements are not offered to individual participants, although some Actions of the Programme are also open to informal groups of young people.)

As a general rule, organisations participating in Erasmus+ projects must be established in a Programme Country (see below).

The specific conditions for participating in an Erasmus+ project depend on the type of Action. In general terms, the Programme is open to any organisation active in the fields of education, training, youth or sport. Several Actions are also open to the participation of other players in the labour market.

**Eligible countries**

For Erasmus+ the Programme Countries are:

- The 28 EU Member States
- The EFTA/EEA countries: Iceland, Liechtenstein, Norway (subject to the EEA Committee decision at the time of the grant award decision)
The EU Candidate Countries: Turkey and the Former Yugoslav Republic of Macedonia (subject to the signature of the Memorandum, otherwise these countries will not be funded and not taken into account in establishing the size of consortia and partnerships)

The participation of the Swiss Confederation is subject to a bilateral agreement still to be concluded.

Some Actions of the Programme are open to certain other countries (Partner Countries). For more details, please consult the Erasmus+ Programme Guide at: http://ec.europa.eu/programmes/erasmus-plus/discover/guide/index_en.htm

**EU Funding**

The financing mechanism applied under the Erasmus+ Programme in most cases provides grants based on fixed scales of unit contributions\(^\text{166}\). These types of grant help applicants to calculate easily the requested grant amount, although accurate budgeting will still need to be based on a realistic and detailed financial plan for the project.

However, funding rules vary according to the individual Actions. It is therefore essential to consult the details for each Action in the Erasmus+ Guide.

**Interest to trade unions**

In the remainder of this chapter we will focus on three Key Actions that are likely to be the most relevant for the work of trade unions: Key Action 1: Learning Mobility of Individuals, Key Action 2: Strategic Partnerships and Key Action 2: Sector Skills Alliances.

**Key Action 1: Learning Mobility of Individuals**

This Key Action is the successor to the previous Erasmus Programme, used by many students all over Europe.

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\(^{166}\) See the section European Commission Grants in Chapter 4.7.
Actions supported

This Key Action supports:

- Mobility projects in the field of education, training and youth
- European Voluntary Service events
- Joint Master Degrees
- Master Student Loan Guarantee.

The mobility activities supported under this Key Action, involving students, trainees, apprentices, young people and volunteers, are meant to produce the following outcomes:

- Improved learning performance
- Enhanced employability and improved career prospects
- Increased sense of initiative and entrepreneurship
- Increased self-empowerment and self-esteem
- Improved foreign language competences
- Enhanced intercultural awareness
- More active participation in society
- Better awareness of the European project and the EU values
- Increased motivation for taking part in future (formal/non-formal) education or training after the mobility period abroad.

The mobility activities for staff, youth workers and professionals involved in education, training and youth are expected to produce the following outcomes:

- Improved competences, linked to their professional profiles (teaching, training, youth work, etc.)
- Broader understanding of practices, policies and systems in education, training or youth across countries
- Increased capacity to trigger changes in terms of modernisation and international opening-up within their educational organisations
- Greater understanding of interconnections between formal and non-formal education, vocational training and the labour market respectively
- Better quality work and activities in favour of students, trainees, apprentices, pupils, adult learners, young people and volunteers
- Greater understanding and responsiveness to social, linguistic and cultural diversity
- Increased ability to address the needs of the disadvantaged
- Increased support for and promotion of mobility activities for learners
- Increased opportunities for professional and career development
- Improved foreign language competences
- Increased motivation and satisfaction in their daily work.

Activities supported under this Action are also expected to produce the following outcomes for participating organisations:
Increased capacity to operate at EU/international level: improved management skills and internationalisation strategies; reinforced cooperation with partners from other countries; increased allocation of financial resources (other than EU funds) to organise EU/international projects; increased quality in the preparation, implementation, monitoring and follow up of EU/international projects

Innovative and improved ways of operating vis-à-vis their target groups, by providing for example: more attractive programmes for students, trainees, apprentices, young people and volunteers in line with their needs and expectations; improved qualifications of teaching and training staff; improved processes of recognition and validation of competences gained during learning periods abroad; more effective activities for the benefit of local communities, improved youth work methods and practices to actively involve young people and/or to address disadvantaged groups, etc.

More modern, dynamic, committed and professional environments within organisations, ready to integrate good practices and new methods into daily activities; openness to synergies with organisations active in different social, educational and employment fields; strategic planning for the professional development of staff in relation to their individual needs and organisational objectives.

Aims

Education, training and youth activities play a key role in providing people of all ages with the necessary means to participate actively in the labour market and in society at large. Projects under this Action should promote transnational mobility activities targeting learners (students, trainees, apprentices, young people and volunteers) and staff (professors, teachers, trainers, youth workers, and people working in organisations active in the education, training and youth fields) aiming to:

- Support learners in the acquisition of competences (knowledge, skills and attitudes) with a view to improving their personal development and employability in the European labour market
- Support the professional development of those who work in education, training and youth with a view to innovating and improving the quality of teaching, training and youth work across Europe
- Enhance notably the participants’ foreign languages competence
- Raise participants’ awareness and understanding of other cultures and countries, offering them the opportunity to build networks of international contacts, to participate actively in society and develop a sense of European citizenship and identity
- Increase the capacities, attractiveness and international dimension of organisations active in the education, training and youth fields, within and outside Europe
Reinforce synergies and transitions between formal and non-formal education, vocational education and training (VET), employment and entrepreneurship

Ensure a better recognition of competences gained through the learning periods abroad.

This Action also supports international mobility activities from or to Partner Countries in the fields of higher education and youth.

Further aims of the Action are to:

- Enhance the attractiveness of higher education in Europe and support European higher education institutions in competing in the higher education market worldwide
- Support the internationalisation, attractiveness and modernisation of higher education institutions outside Europe with a view to promoting the development of Partner Countries
- Promote non-formal learning and cooperation in the field of youth with Partner Countries.

Characteristics of a mobility project

A mobility project will consist of the following stages:

- Preparation (including practical arrangements, selection of participants, set up of agreements with partners and participants, linguistic/intercultural/task-related preparation of participants before departure)
- Implementation of the mobility activities
- Follow-up (including the evaluation of the activities, the formal recognition, where applicable, of the learning outcomes achieved by participants during the activity, as well as the dissemination and use of the project’s outcomes).

There are some important innovations compared to the mobility actions supported under the previous programmes:

- Improvement of foreign language competences before and during periods abroad. A European online linguistic support service will be gradually launched by the European Commission starting in 2014 (more detailed information on the support for language learning can be found in Annex I of the Erasmus+ Programme Guide)
- Increased opportunities for developing mobility activities that involve partner organisations with different backgrounds and who are active in different fields or socio-economic sectors (e.g. traineeships of university students or VET learners in enterprises, NGOs, public bodies; teachers in schools following professional development courses in companies or training centres; business
experts giving lectures or training in higher education institutions; companies active in Corporate Social Responsibility developing volunteering schemes with associations and social enterprises.)

- Erasmus+ participating organisations will have the possibility to organise mobility activities within a broader strategic framework and in the medium term. Through a single grant application, covering a period of up to two years, the coordinator of a mobility project will be able to organise several mobility activities, allowing many individuals to go abroad to different countries. As a consequence, under Erasmus+ the applicant organisations will be able to conceive their project in line not only with the needs of participants, but also according to their own internal plans for internationalisation, capacity building and modernisation.

Depending on the profile of participants involved, the following types of mobility projects are supported under Key Action 1:

- In the field of Education and Training
  - Mobility projects for higher education students and staff
  - Mobility projects for VET learners and staff
  - Mobility projects for school staff
  - Mobility projects for adult education staff

- In the field of Youth
  - Mobility projects for young people and youth workers.

In what follows we will look more closely at mobility projects for VET learners and staff and for young people and youth workers.

**Mobility projects for VET learners and staff**

The following activities can be funded:

- **Learners’ mobility**: a VET traineeship abroad for up to 12 months. This activity is open to both apprentices and students in vocational training schools. The learners undertake a vocational training placement in another country. Learners are hosted either at a workplace (in an enterprise or other relevant organisation) or at a VET school (with periods of work-based learning in an enterprise or other relevant organisation).

  Each mobility activity is set within a quality framework previously agreed upon by the sending and receiving organisations to ensure a high level of quality for the activity, including a ‘Learning Agreement’.

  The learning outcomes are formally recognised and validated at an institutional level; course contents are adapted as necessary to
ensure that the mobility period abroad fits well with the course in which the apprentice/VET student is enrolled.

In order to strengthen the employability of young people and to facilitate their transition to the labour market, recent graduates from VET schools or companies providing VET to apprentices can participate in this activity as well.

- **Staff mobility: teaching/training assignments:** this activity allows staff of VET schools to teach at a partner VET school abroad. It also allows staff of enterprises to provide training at a VET organisation abroad.

- **Staff training:** this activity supports the professional development of VET staff in the form of a work placement or a job shadowing/observation period abroad in an enterprise or any other VET organisation.

**Project duration**
From 3 to 24 months.

**Eligible applicants**
Any public or private organisation active in the field of VET; any public or private organisation active in the labour market or in the fields of education, training, and youth.

Trade unions are specifically mentioned as eligible, as are research institutes.

Additional eligibility criteria for staff mobility include any person working for an organisation active in the field of VET and being in charge of VET (such as teachers, trainers, international mobility officers, staff with administrative or guidance functions, etc.). In addition, in the case of teaching/training assignments, the Action is also open to persons from enterprises, the public sector and/or civil society.

**Transnational partnership**
A mobility activity is transnational and involves a minimum of two participating organisations (at least one sending and at least one receiving organisation) from different countries. In the case of projects presented by a National VET Consortium, all members of the Consortium must be from the same Programme Country. A consortium must comprise at least 3 VET organisations.

**Mobility projects for young people and youth workers**
The following activities can be funded:

**Mobility projects for young people**

- **Youth Exchanges:** these allow groups of young people from different countries to meet and live together for up to 21 days.
During a Youth Exchange, participants jointly carry out a work programme designed and prepared by them before the Exchange. Youth Exchanges allow young people to: develop competences; become aware of socially relevant topics/thematic areas; discover new cultures, habits and life-styles, mainly through peer-learning; strengthen values like solidarity, democracy, friendship, etc. The learning process in Youth Exchanges is triggered by methods of non-formal education. Youth Exchanges are based on a transnational cooperation between two or more participating organisations from different countries within and outside the European Union.

The following activities are not eligible for grants under Youth Exchanges: academic study trips; exchange activities which aim to make financial profit; exchange activities which can be considered as tourism; festivals; holiday travel; performance tours.

- **European Voluntary Service (EVS):** this activity allows young people aged 17-30 to express their personal commitment through unpaid and full-time voluntary service for up to 12 months in another country within or outside the European Union. Young volunteers are given the opportunity to contribute to the daily work of organisations dealing with youth information and policies, young people’s personal and socio-educational development, civic engagement, social care, inclusion of disadvantaged, environment, non-formal education programmes, ICTs and media literacy, culture and creativity, development cooperation, etc. An EVS project can include between 1 and 30 volunteers who can do their voluntary service either individually or as part of a group.

**Mobility projects for youth workers**

- **Youth workers’ training and networking:** This activity supports the professional development of youth workers in the form of a) participation of youth workers in seminars, training courses, contact-making events, study visits; b) a job shadowing/observation period abroad in an organisation active in the youth field.

**Eligible applicants**

A participating organisation can be:

- A non-profit organisation, association, NGO
- A European Youth NGO
- A social enterprise
- A public body at local level
- A group of young people active in youth work but not necessarily in the context of a youth organisation (i.e. an informal group of young people)
- A public body at regional or national level
- An association of regions
A European Grouping of Territorial Cooperation
- A profit-making body active in Corporate Social Responsibility.

Organisations must be established in a Programme Country or in a Partner Country neighbouring the EU (see the Erasmus + Programme Guide for more detailed information).

**Transnational partnership**
A mobility activity has to involve at least two participating organisations from different countries.

**Activities within Programme Countries:** all participating organisations must be from a Programme Country.

**Activities with Partner Countries neighbouring the EU:** the activity must involve at least one participating organisation from a Programme Country and one participating organisation from a Partner Country neighbouring the EU.

In order to maintain a clear link with the country where the National Agency is based, either the sending organisation(s) or the receiving organisation(s) in each activity must be from the country of the National Agency receiving the application.

**Application procedure**
Applications should be sent to the National Agency of the country in which the applicant organisation is established. The list is available at [http://ec.europa.eu/programmes/erasmus-plus/national-agencies_en.htm](http://ec.europa.eu/programmes/erasmus-plus/national-agencies_en.htm).

**Key Action 2: Strategic Partnerships**

**Aim**
To support the development, transfer and/or implementation of innovative practices at organisational, local, regional, national or European levels.

**Objectives**
- To develop new and innovative approaches in education, training and youth work and support the dissemination of best practices
- To foster the provision and the assessment of key competences, including basic skills and transversal skills particularly entrepreneurship, languages and digital skills
- To reinforce links between education, training or the youth fields and the world of work
To use strategically Information and Communication Technologies (ICT), open educational resources (OER), open and flexible learning and innovative learning methods

To promote structured interregional and cross-border cooperation, committing local and regional public authorities

To improve the capacities of organisations active in the fields of education, training and youth, notably in the areas of strategic development, organisational management, leadership, quality of learning provision, internationalisation, equity and inclusion, qualitative and targeted activities for specific groups

To promote entrepreneurship education to develop active citizenship, employability and new business creation (including social entrepreneurship)

To support future learning and career paths for individuals in line with their personal and professional development

To develop quality career guidance, counselling and support services

To facilitate the transition of learners through different levels and types of formal/non-formal education and training through the use of European reference tools for the recognition, validation of competences and qualifications.

In addition, according to the Annual Work Programme 2014 (which is likely to be revised and updated in future years), priority will also be given to:

- Promoting the professional development of staff and youth workers in ICT methodologies
- Facilitating the validation of non-formal and informal learning and its permeability with formal education pathways.

Activities supported

- Curricula, courses, joint study programmes, common modules (including e-modules), integration of a greater variety of learning modes (distance, part-time, modular learning)
- Pedagogical material and tools
- Workshops, virtual laboratories, virtual collaboration spaces
- Capacity building and networking activities
- Strategic cooperation plans
- Information, guidance, coaching and counselling activities
- Surveys, comparative analyses, evidence-gathering, studies of real life cases
- Definition of qualitative standards and competence-based/occupational profiles
- Improvement of qualifications frameworks, credit transfer, quality assurance, recognition and validation
- Training, teaching and learning activities.
Project duration

For Partnerships in the youth field: between 6 months and 2 years.

For other types of Partnerships projects: 2 or 3 years.

The duration has to be chosen at the application stage, based on the objective of the project and on the type of activities.

Eligible applicants

- Trade unions
- Craft/professional associations
- Research institutes
- Intercompany training centres
- Higher education institutions
- Schools/institutes/educational centres (at any level, including vocational education and adult education)
- Non-profit organisations/NGOs
- Cultural organisations, libraries, museums
- Public bodies at local regional or national level
- European Youth NGOs, youth organisations
- Organisations that work across a range of fields and sectors (e.g. skills centres or chambers of commerce)
- Public sector bodies
- Enterprises, companies, representatives of business and labour market.

Examples of Strategic Partnerships project proposals

- A project on building basic skills aiming to improving competences of disadvantaged adult groups (migrants, socio-economically disadvantaged, etc.), to be delivered by an adult education organisation in cooperation with social partners. Outputs could be curricula, a handbook for trainers, kits for adult learners.
- A project on the recognition and validation of learning outcomes, in which partner organisations may give significant input to the process of validation of non-formal and informal learning, through an exchange of ideas and experiences.

Transnational partnership

A consortium has to involve a minimum of 3 organisations from 3 different Programme Countries. In the case of a project involving only schools or local/
regional school authorities or youth, the minimum is 2 organisations from 2 Programme Countries. A school authorities project must also include at least one school and one local organisation active in another field of education, training and youth or in the labour market.

EU Funding

Maximum grant: 150,000 € per year.

Application process

Applications should be sent to the National Agency of the country in which the applicant organisation is established. The list is available at http://ec.europa.eu/programmes/erasmus-plus/national-agencies_en.htm.

At each deadline, the same consortium of partners can submit only one application and to one National Agency only.

Further information


Key Action 2: Sector Skills Alliances

Sector Skills Alliances will fund transnational projects related to skills needed in a specific economic sector. They will work to design and deliver joint vocational training programmes and teaching and training methodologies.

A particular focus is to be put on work-based learning, providing learners with the skills required by the labour market. Sector Skills Alliances also put into practice tools for the EU-wide recognition of skills and qualifications167.

The sectors that will be eligible under this Action are:

- Textile/Clothing/Leather
- Commerce

167 See the Education and Training section of Chapter 9.
Advanced Manufacturing
Information and Communication Technologies
Environmental Technologies (Eco-Innovation)
Cultural and Creative sectors.

Activities supported

- Defining skills and training needs in one of the specific economic sectors
- Designing joint curricula
- Delivering joint curricula

Eligible organisations

- Trade unions
- Chambers of commerce and craft professional associations
- Research bodies
- Cultural bodies
- VET centres
- Guidance and counselling bodies
- Accreditation, certification or qualification bodies

Duration of the project

2 or 3 years. The duration has to be chosen at the moment of the application, according to the project objectives and the activities. In exceptional cases, the duration may be extended by up to 6 months, with the agreement of the Executive Agency. In such cases, the total grant will not change.

Transnational Partnership

A Sector Skills Alliance must involve a minimum of 9 eligible organisations from 3 Programme Countries, including 2 Member States. An organisation can only be involved in one Sector Skills Alliance application at any one time.

The Alliance must include at least one organisation from each of the following categories in each of the countries involved:

- Public or private body providing VET
- Public or private body having a sector specific expertise and being a representative for/in a sector at regional, national and European level (such as social partners, European sectoral or professional associations of employers or employees, cultural bodies, research centres)
Public or private entities having a regulatory function for education and training systems at local, regional or national level (such as local authorities, accreditation and certification bodies and careers guidance services).

EU Funding

Maximum EU contribution for a 2-year project: 700,000 €
Maximum EU contribution for a 3-year project: 1,000,000 €
The financing mechanism is based on unit costs.

Application procedure


Further information

Chapter 17

The Horizon 2020 Programme

Horizon 2020\textsuperscript{168} is the new EU funding programme for research and innovation, running from 2014 to 2020 with a budget of €80 billion. It is the successor to the 7th Framework Programme for Research and Technological Development.

Horizon 2020 is the financial instrument implementing the Innovation Union, a Europe 2020 Flagship Initiative\textsuperscript{169} aimed at securing Europe’s global competitiveness. Viewed as a means to drive economic growth and create jobs, it is at the heart of the EU’s blueprint for smart, sustainable and inclusive growth and jobs.

By coupling research and innovation, Horizon 2020 is helping to achieve these objectives with its emphasis on excellent science, industrial leadership and tackling societal challenges. Its goal is to ensure that Europe produces world-class science, removes barriers to innovation and makes it easier for the public and private sectors to work together in delivering innovation.

Overview of Horizon 2020 structure

Horizon 2020, like its predecessors, is an enormous programme covering a wide range of scientific and technological research and its application.

It is divided into 3 pillars, corresponding to its main priorities:

- Excellent Science
- Industrial Leadership
- Societal Challenges

\textsuperscript{168} See the Programme web site at \url{http://ec.europa.eu/programmes/horizon2020/}

\textsuperscript{169} See Chapter 9 for more detailed information on Europe 2020 and its Flagship Initiatives.
Excellent Science

The Excellent Science pillar of Horizon 2020 supports world-class science in Europe, by developing, attracting and retaining research talent and supporting the development of the best research infrastructures. It covers:

- The European Research Council (ERC)
- Future & emerging technologies
- Marie Sklodowska-Curie actions which offer opportunities for training and career development
- Research infrastructures (including e-infrastructure).

Industrial Leadership

The Industrial Leadership pillar supports research on key technologies, such as microelectronics, advanced manufacturing, etc., covering both existing and emerging sectors. It also aims to attract more private investment into R&I (research and innovation) and to support increasing numbers of innovative SMEs in Europe.

It covers:

- Leadership in Enabling and Industrial technologies (ICT, nanotechnologies, materials, biotechnology, manufacturing, space)
- Access to risk finance: this section will help companies and other types of organisation engaged in R&I to gain easier access, via financial instruments, to loans, guarantees, counter-guarantees and hybrid, mezzanine and equity finance
- Innovation in SMEs: this section will help foster all forms of innovation in all types of SMEs. The focus on SMEs was already present in the former 7th Framework Programme, as SMEs have long been seen as a crucial motor for the European economy. This strand aims to create a bridge between the core of the Framework programme - support for research, development and innovation projects - and the creation of a favourable ecosystem for SME innovation and growth.

Societal Challenges pillar

The Societal Challenges pillar supports R&I that targets society and citizens (climate, environment, energy, transport, etc.).

This pillar, the closest to the mission and activities of trade union research institutes and departments, covers the following topics:

- Health, demographic change & wellbeing
- Food security, sustainable agriculture and forestry
Marine/maritime/inland water research and the bio-economy
Secure, clean & efficient energy
Climate action, environment, resource efficiency & raw materials
Europe in a changing world: inclusive, innovative & reflective societies
Smart, green & integrated transport
Secure societies - freedom and security in Europe.

Other sections

In addition to the three main pillars, Horizon 2020 contains a number of additional sections. The most significant from a trade union perspective are:

- **Spreading Excellence and Widening Participation**: this section aims to maximise investment in research and innovation, to enable the European Research Area to function in a more streamlined and homogeneous way, and to allow the individual strengths of each Member State to be optimised.
- **Science with and for Society**: this section aims to build effective cooperation between science and society, to recruit new talent for science and to pair scientific excellence with social awareness and responsibility.

The *Science with and for Society* section sets out to address the European societal challenges tackled by Horizon 2020, building capacities and developing innovative ways of connecting science to society. It aims to make science more attractive (notably to young people), to increase society’s appetite for innovation, and to open up further research and innovation activities. It will allow all societal actors (researchers, citizens, policy makers, business, third sector organisations, etc.) to work together throughout the research and innovation process, in order better to align both the process and its outcomes with the values, needs and expectations of European society.

This approach is called ‘Responsible Research and Innovation’ (RRI), an inclusive approach to research and innovation, ensuring that societal actors work together during the whole research and innovation process. In general terms, RRI implies anticipating and assessing potential implications and societal expectations with regard to research and innovation. In practice, it consists of designing and implementing R&I policy that will:

- Engage society more broadly in its research and innovation activities
- Increase access to scientific results
- Ensure gender equality, in both the process and content of research
- Take into account the ethical dimension
- Promote formal and informal science education.
Project duration

There are no minima/maxima set for the duration of projects, unless specifically published in the topic description.

Eligible applicants

Legal entities established in the following countries and territories will be eligible to receive funding through Horizon 2020:

- The Member States of the European Union, including their overseas departments
- The Overseas Countries and Territories (OCT) linked to Member States
- All countries associated to the former Seventh Framework Programme will in principle be associated to Horizon 2020 by the time the first grant agreements are signed: Albania, Bosnia and Herzegovina, the Faroe Islands, the Former Yugoslav Republic of Macedonia, Iceland, Israel, Liechtenstein, Moldova, Montenegro, Norway, Serbia, Switzerland and Turkey
- A wide range of third countries170 may also be eligible to participate, depending on the specific regulations relating to individual Calls for Proposals
- International European interest organisations will also be eligible to receive funding from Horizon 2020.

Applications procedure

The plans for implementing each of the specific Programmes are set out in a series of annual work programmes171.

Proposals must be submitted electronically using the electronic submission system of the Participant Portal, an online tool that guides you step-by-step through the preparation of a proposal172.

170 For up-to-date information on participating countries, please consult http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/international-cooperation_en.htm
The proposal itself consists of 2 main parts: administrative forms (structured information providing basic administrative data, declarations of partners, organisations and contact persons, etc.) and the technical annex, which is the detailed description of the planned research and innovation project. We advise you to read very carefully the requirements for the technical annex in which the proposed work has to be described in detail, as well as the evaluation criteria of the Call/topic. For most types of action, the technical annex requires a detailed description of the project idea and a work plan which:

- Divides the planned work into work packages
- Assigns the related responsibilities and resources within the consortium
- Sets out a project time schedule, main milestones and deliverables
- Describes the project management structure
- Describes the communication and exploitation plans.

Additional annexes or supporting documents may also be required, e.g. consortium description, supporting documents for ethics issues.

Proposals must normally be created and submitted by a representative/contact person of the coordinating organisation, although in fellowships and proposals for the European Research Council’s types of actions, the individual researcher (Fellow/Principal Investigator) takes the lead on the proposal.

The simplified rules and submission and grant management tools made available by Horizon 2020 should help make things easier, but the programme requires a good level of project management skills. For that reason, if an organisation is getting involved for the first time, it is probably advisable to take the role of a project partner, rather than coordinator.

**Interest for trade unions**

In recent years, several trade union organisations have been partners in or coordinators of research projects under the previous Framework Programmes for Research and Development.

One example of a sustainable trade union project is the TURI network project, coordinated by ETUI, which established a structural platform for formal contacts and networking between various trade union research institutes. The network has 27 full members and 9 associated members\(^{173}\).

\(^{173}\) For more information on the TURI network project, see [http://www.turi-network.eu/](http://www.turi-network.eu/)
One of the more interesting topics for trade unions in Horizon 2020 is *Europe in a changing world: inclusive, innovative and reflective societies* within the Societal Challenges pillar\(^1\). The 2014-2015 work programme for the topic\(^2\) outlines a series of Calls for Proposals, each with a number of specific foci:

- **Overcoming the Crisis: New Ideas, Strategies and Governance Structures for Europe**: includes resilient economic and monetary Union, EU growth agenda, EU social policies, the future of European integration, emerging technologies in the public sector
- **The Young Generation in an Innovative, Inclusive and Sustainable Europe**: includes job insecurity, youth mobility, adult education, social and political engagement of young people, modernisation of public administrations
- **Reflective Societies: Cultural Heritage and European Identities**: includes transmission of European cultural heritage, cultural heritage of war in contemporary Europe, 3D modelling for accessing EU cultural assets
- **Europe as a Global Actor**: includes enhancing and focusing research and innovation cooperation with third countries, new geopolitical order in the Mediterranean, EU eastern partnership and other third countries
- **New Forms of Innovation**: includes ICT-enabled open government, business model innovation, social innovation community, ICT for learning and inclusion.

### Further information and publication of Calls

For more information, please consult:

- [http://ec.europa.eu/programmes/horizon2020/find-your-area](http://ec.europa.eu/programmes/horizon2020/find-your-area)


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Chapter 18

The Rights, Equality and Citizenship Programme

A new EU programme, Rights, Equality and Citizenship, has been launched to contribute to the further development of equality and the rights of persons, as enshrined in the EU Treaty, the Charter of Fundamental Rights and the international human rights conventions.

The new programme replaces three earlier funding programmes which expired in 2013:

- Fundamental Rights and Citizenship Programme
- Daphne III Programme
- Progress Programme: Anti-discrimination and Gender Equality strands.

Objectives

The Programme aims to:

- Promote non-discrimination
- Combat racism, xenophobia, homophobia and other forms of intolerance
- Promote rights of persons with disabilities
- Promote equality between women and men and gender mainstreaming
- Prevent violence against children, young people, women and other groups at risk
- Promote the rights of the child
- Ensure the highest level of data protection
- Promote rights deriving from Union citizenship
- Enforce consumer rights.
Activities supported

- Training activities (staff exchanges, workshops, development of training modules)
- Mutual learning, cooperation activities, exchange of good practices, peer reviews, development of ICT tools, etc.
- Awareness-raising activities, dissemination, conferences, etc.
- Support for main actors (key European NGOs and networks, Member States’ authorities implementing Union law, etc.)
- Analytical activities (studies, data collection, development of common methodologies, indicators, surveys, preparation of guides, etc.)

Participating countries

All Member States are eligible to participate in the programme. Should third countries conclude an agreement with the Union on their participation in the programme as of 2014, this will be announced in the relevant call for proposals and/or on the programme’s website at http://ec.europa.eu/justice/grants1/programmes-2014-2020/rec/index_en.htm.

Work programme 2014

In order to implement the Work Programme 2014, the Commission is publishing a series of Calls for Proposals. The priorities of the 2014 Calls include:

- To prevent and combat all forms of violence against children, young people and women, as well as violence against other groups at risk, in particular groups at risk of violence in close relationships, and to protect victims of such violence
- To promote and protect the rights of the child
- To promote the effective implementation of the principle of non-discrimination on the grounds of sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation, and to respect the principle of non-discrimination on the grounds provided for in Article 21 of the Charter
- To prevent and combat racism, xenophobia, homophobia and other forms of intolerance
- To promote and protect the rights of persons with disabilities

To promote equality between women and men and to advance gender mainstreaming.

Activities to be funded

This Call for Proposals will fund mutual learning and cooperation activities, in particular projects aimed at sharing concrete best practices offering effective responses to racist, xenophobic and homophobic incidents.

Priority will be given to projects involving a large number of participating countries. The activities should result in the production of a manual summa-rising best practices, which could be disseminated to all relevant stakeholders in the participating countries. European added-value will be a determining criterion in awarding funding. Wide dissemination of results and concrete recommendations to relevant stakeholders in all participating countries should be foreseen in the proposals.

EU funding

Total funding for the programme for the 2014-2020 period is €439 million. The maximum possible rate of co-financing of the eligible costs is 80%.

Further information

Chapter 19

EU funding possibilities for Youth

Since the start of the current economic crisis, youth unemployment in Europe has reached an alarming level: almost 5.4 million young people under 25 are unemployed in the EU-28 (March 2014 figures). This represents an unemployment rate of 22.8%. More than one in five young European job-seekers cannot find a job; in Greece and Spain, it is more than one in two. And the average youth unemployment rate is more than twice as high as the rate for adults in most Member States (in March 2014, the overall unemployment rate in the 28 EU Member States was 10.5%).

The statistics indicate that:

- 7.5 million young people aged 15-24 are neither employed, nor in education, nor in training (the so-called NEETs)
- The gap between the countries with the highest and the lowest jobless rates for young people remains extremely high: there is a gap of more than 50 percentage points between Germany at 7.8% and Greece at 56.8%
- Compared with March 2013, youth unemployment decreased by 322,000 in the 28 EU Member States and by 166,000 in the euro area. The outlook is for a further stabilisation in 2014 and a modest decline in the unemployment rate in 2015 (to 10.1% in the EU and 11.4% in the euro area), but with cross-country differences remaining very large.

One of the headline targets of the Europe 2020 strategy is to raise participation in higher education to 40% among the young adult population. Another key educational target is to reduce the share of early school leavers from the current 12.7% to less than 10%.

Investing in young people and fighting youth unemployment has become one of the top priorities in the EU agenda. In this chapter we look at the different measures taken at European level to tackle youth unemployment.
Erasmus +

The new Erasmus + programme offers possibilities to help people to enrich their skills through studying and training abroad (the continuation of the former Erasmus strand of the programme) and to help education and training institutions to innovate and modernise.

The main opportunities are offered by:

- **KA1: Youth mobility projects** (young people and young workers). For details, refer back to the description of the youth mobility projects in Chapter 16
- **KA2: Cooperation and innovation for good practices, subsection Strategic Partnerships.** This can fund: cross-sectoral cooperation between organisations to exchange good practices; cooperation between regional authorities to integrate measures in local and regional development; innovative practices in the field of youth, education and training; validation of competences acquired through non-formal and informal learning (which can be very interesting for trade union education activities); transnational initiatives fostering entrepreneurial skills to encourage active citizenship and new enterprise creation
- **KA2: Cooperation and innovation for good practices, subsection Capacity building.** This can fund: strategic cooperation between youth organisations and public authorities; capacity building for youth councils, platforms and national/regional and local institutions dealing with youth; youth mobility activities between the Partner Countries
- **KA3: Support for policy reform** aiming to develop youth policy cooperation at European level, and to promote the EU Youth Strategy. This Key Action will fund activities and meetings between young people and decision makers. This could be very interesting for the Youth Departments of trade union organisations and for the Youth Committee of ETUC.

The Youth Guarantee

The Youth Guarantee\(^\text{177}\) is intended to provide young people with entitlement to a job, training or education within a defined period. This entitlement is provided by public institutions, usually the public employment service, often in combination with private and third-sector organisations.

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\(^{177}\) For more information on the Youth Guarantee, see Chapter 10 and [http://ec.europa.eu/social/main.jsp?catId=1079&langId=en](http://ec.europa.eu/social/main.jsp?catId=1079&langId=en)
At national level, Youth Guarantees have already been pioneered by the Scandinavian countries, in Sweden (1984), Norway (1993), Denmark (1996) and Finland (1996). In recent years, Austria, Denmark, Germany, Poland, Norway and the Netherlands have been offering early school leavers young unemployed apprenticeships, training and active labour market measures for a given period of time. France has already launched its Youth Guarantee, while Italy and Portugal have adopted similar measures.

At EU level, the European Commission reacted to the rise in youth unemployment across the EU as a whole by launching the Youth Opportunities Initiative in 2011. The Initiative was complemented by the Commission’s Youth Employment Package, containing a proposal for a Youth Guarantee which was subsequently adopted by the Council as a Recommendation to the Member States in April 2013.

According to the Council Recommendation, the Member States of the European Union shall

‘ensure that all young people under the age of 25 years receive a good-quality offer of employment, continued education, an apprenticeship or a traineeship within a period of four months of becoming unemployed or leaving formal education’.

For many Member States, the implementation of the Youth Guarantee will require structural reforms. For example, public employment services must be able to ensure that individual young people receive appropriate advice on jobs, education and training opportunities most relevant to their own situation. The Commission’s June 2013 proposal for a Decision to help public employment services to maximise their effectiveness through closer cooperation can play a useful role.

Another area requiring structural reform concerns vocational education and training systems, where Member States must ensure that they give young people the skills that employers are looking for. In this respect, dialogue between trade unions, employers’ organisations, educational establishments and public authorities on the structure and content of education and training courses can prove useful.

The Financing of the Youth Guarantee

The European Social Fund will provide more than €10 billion every year in the 2014-2020 period. It is important that Member States devote a significant proportion of their European Social Fund allocations for 2014-20 to implement the Youth Guarantee.

To supplement the currently available EU financial support to those regions where youth unemployment is higher, the Council and the European Parliament agreed to create a dedicated Youth Employment Initiative (YEI). YEI sup-
The YeI funding will comprise €3 billion from a specific new EU budget line dedicated to youth employment, to be matched by at least €3 billion from the European Social Fund national allocations. The YeI is programmed as part of the ESF 2014-20.

The sectors identified as having the most significant job creation potential for young people are information and communications technology (ICT), the greening of the economy and healthcare. In the ICT sector, up to 900,000 posts could be unfilled in 2020, due to a lack of skilled professionals. The EU’s app sector alone could employ 4.8 million people by 2018 (today the app economy employs 1.8 million). Job growth in eco-industries has been strong throughout the crisis, with already more than 4.2 million people working in this field.

**The EaSI Programme**

This programme, one of whose priorities is to fight youth unemployment, will complement other Union programmes (for instance, Rights, Equality and Citizenship or Horizon 2020 and the Structural Funds, especially the European Social Fund and the Youth Employment Initiative.

For a more detailed description of EaSI, please refer back to Chapter 12.

**Budget Heading: Information and Training Measures for Workers’ Organisations**

Youth employment is one of the priority topics for several of the Social Dialogue budget lines, including most particularly that relating to information and training measures for workers’ organisation.

For a more detailed description, please refer back to Chapter 13.
Chapter 20

Support for external countries

The European Union has adopted a new package of instruments for providing support to external countries during 2014-2020, as a continuation of the previous reform started in 2007. The range of instruments will support developing countries, as well as countries in the European neighbourhood and those that are preparing for accession to the EU.

The new proposals will support the Commission’s new approach - the Agenda for Change\textsuperscript{180} - and will focus EU aid more tightly within two priority areas:

- Supporting democracy, human rights and good governance
- Creating inclusive and sustainable growth.

Under the new principle of differentiation, the EU will allocate a greater proportion of funds where aid can have the highest impact: in the regions and countries that are most in need, including in fragile states. Countries that can generate enough resources to ensure their own development will no longer receive bilateral grant aid and will instead benefit from new forms of partnership. They will continue to receive funds through thematic and regional programmes. This will be complemented by different innovative cooperation modalities, such as the blending of grants and loans.

The full range of external support under the EU budget includes nine geographic and thematic instruments. In this chapter we will be looking at four of these that may be of particular interest to trade unions\textsuperscript{181}:

\textsuperscript{180} For more information on the Agenda for Change, see \url{http://ec.europa.eu/europeaid/news/agenda_for_change_en.htm}

\textsuperscript{181} The other instruments are: the Instrument for Stability, the Development Cooperation Instrument, the Instrument for Nuclear Safety Cooperation, the Instrument for Greenland and the European Development Fund.
The Instrument for Pre-accession Assistance

The Instrument for Pre-accession Assistance (IPA) is the means by which the EU supports reforms in the ‘enlargement countries’ with financial and technical help. The IPA funds build up the capacities of these countries throughout the process of accession to the EU. For the period 2007-2013, the IPA had a budget of some € 11.5 billion; its successor, IPA II, will build on the results already achieved by dedicating € 11.7 billion for the period 2014-2020.

Current beneficiaries are the EU Candidate Countries: the former Yugoslav Republic of Macedonia, Iceland, Montenegro, Serbia, and Turkey and potential EU candidates: Albania, Bosnia and Herzegovina, and Kosovo.

Aim

The pre-accession funds help the beneficiaries to make political and economic reforms, preparing them for the rights and obligations of being a Member State. Those reforms should provide their citizens with better opportunities and allow for the development of standards equal to the ones we enjoy as citizens of the EU.

What is new in IPA II?

IPA II sets a new framework for providing pre-accession assistance for the period 2014-2020. The most important innovation is its strategic focus. Specific strategic planning documents - Country Strategy Papers - are made for each beneficiary for the 7-year period. A Multi-Country Strategy Paper will address priorities for regional cooperation or territorial cooperation.

IPA II targets reforms within the framework of pre-defined sectors. These sectors cover areas closely linked to the enlargement strategy, such as democracy and governance, rule of law or growth and competitiveness. The sector approach promotes structural reform that will help transform a given sector and bring it up to EU standards. It allows a move towards a more targeted assistance, ensuring efficiency, sustainability and focus on results.

IPA II also supports measures for public administration reform, legal topics, sustainable economy, human resources and inclusion, gender equality, education and training, education and skills development, regional and agricultural development.
Structure and management

Programmes are grouped under 5 different subject headings or components, and are managed by the following Commission departments:

- **Component I – Transition assistance & institution building** – DG Enlargement.
- **Component II – Cross-border cooperation** – DG Enlargement (for programmes between beneficiary countries) and DG for Regional and Urban Policy (programmes with EU countries).
- **Component III – Regional development** – DG for Regional and Urban Policy.
- **Component IV – Human resources development** – DG Employment, Social Affairs & Inclusion
- **Component V – Rural development** – DG Agriculture and Rural Development

IPA-funded tasks are implemented and managed in various ways:

- **Centralised** – the Commission manages components like *Transition assistance & institution building*, and *Cross-border cooperation* – until the relevant national authorities are accredited to manage the funds
- **Decentralised** – the beneficiary countries manage the *Regional development*, *Human resources development* and *Rural development*, delegated by the Commission; the Commission still retains the overall final responsibility for the general budget execution.
- **Joint management** – Implementation tasks of, for example, some multi-beneficiary actions, are delegated to an international organisation such as the United Nations or the World Bank.

One of the main objectives of IPA II is to transfer know-how and experience to beneficiary countries by encouraging them to take ownership and responsibility for implementation. Decentralised management is therefore expected to become the norm. For this to be achieved, individual recipient countries should have specific strategies, action plans and timetables in place for moving towards decentralised management and prepare their national authorities to take on these increased responsibilities.

Financial Framework and programmes

Funding to candidate and potential candidate countries is planned in the following stages:
Multiannual Indicative Financial Framework (MIFF). This document allocates IPA funds by country and by components, based on objective and transparent criteria, including needs assessment. The MIFF is reviewed every year and published each autumn together with the progress reports and the enlargement strategy, which sets out the overall strategic framework for the pre-accession process, including the IPA. The MIFF is the link between the strategic political framework and the budgetary process.

Multiannual Indicative Planning Documents (MIPDs). Based on the MIFF allocations and on the priorities identified within the strategic political framework for each country, the Commission, working closely with the beneficiary countries, establishes multi-annual indicative planning documents (MIPD). Following a careful assessment of the country/countries specific needs and challenges, the MIPDs indicate the major areas of intervention, highlighting a limited number of priorities which will receive IPA funding. The MIPDs are established for a three-year rolling period, with annual reviews.

National authorities are very closely involved in the preparation of the MIPDs in order to ensure full ownership of the process. Civil society representatives are consulted during the preparation of the MIPDs. EU countries and other bilateral and multilateral donors are also consulted to ensure coordination, coherence and complementarity between the respective assistance programmes. The priorities outlined in the MIPDs are translated into detailed measures, operations and projects. These are all then included in programmes, which can be annual or multiannual. Annual/multiannual programmes are financing decisions adopted by the European Commission specifying fields of intervention, objectives pursued, expected results, management procedures, and the total amount of financing planned.

Interest for trade unions

The ETUC has been active in facilitating and maintaining cooperation between local organisations, and in supporting links between local organisations and ETUC affiliates based in the EU, in order to assist and advise in the accession process\textsuperscript{182}.

\textsuperscript{182} For a fuller account of ETUC policy in external relations, see http://www.etuc.org/issue/external-relations
ETUC has also been involved in coordinating an interesting trade union project with Turkish confederations, called *Bringing together workers from Turkey and EU through a shared culture of work*\(^{183}\).

**European Neighbourhood Instrument (ENI) 2004 -2020**

The ENI, one of EuropeAid’s\(^{184}\) geographical instruments, is the financial tool of the European Neighbourhood Policy (ENP).

The ENI covers Algeria, Egypt, Israel, Jordan, Lebanon, Libya, Morocco, the Occupied Palestinian Territory, Syria, Tunisia, Armenia, Azerbaijan, Belarus, Georgia, Moldova, and Ukraine. It was first developed in the context of the EU’s 2004 enlargement with the objective of avoiding a new division between the enlarged EU and its neighbours, at the same time having the objective of strengthening the prosperity, stability and security of Europe’s neighbourhood.

**Objectives**

The objectives of the ENI are:

- Fostering human rights and fundamental freedoms, the rule of law, equality, sustainable democracy, good governance and support from and to civil society
- Achieving progressive integration into the EU internal market and enhanced cooperation
- Creating conditions for the well managed mobility of people and promotion of people-to-people contacts
- Encouraging development, poverty reduction, internal economic, social and territorial cohesion, rural development, climate action and disaster resilience
- Promoting confidence building and other measures contributing to security and the prevention and settlement of conflicts
- Enhancing sub-regional, regional and Neighbourhood-wide collaboration as well as Cross-Border Cooperation.

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\(^{184}\) EuropeAid is a new Directorate–General (DG) of the European Commission, responsible for designing EU development policies and delivering aid through programmes and projects across the world. See [http://ec.europa.eu/europeaid/index_en.htm](http://ec.europa.eu/europeaid/index_en.htm)
Priority areas

The areas that will be given high priority are:

- Youth and employment
- Civil society engagement
- Climate change action
- Mobility of people
- Energy cooperation
- Gender equality promotion
- Economic integration
- People-to-people contacts
- Transport
- Boosting small businesses.

What’s new?

The ENI will build on the achievements of the previous European Neighbourhood and Partnership Instrument (ENPI) and aims to bring more tangible benefits to both the EU and its Neighbourhood partners.

The changes incorporated in the ENI will:

- Reduce the complexity and length of the programming process
- Offer incentives for best performers, allowing the EU to increase its support to those partners that are genuinely implementing what has been jointly agreed (the ‘more for more’ approach)
- Be increasingly policy-driven, based on the key policy objectives agreed with the partners, mainly in the ENP bilateral action plans
- Allow for greater differentiation, meaning that the EU can allocate a greater proportion of funds where aid can have the highest impact
- Aim for mutual accountability, taking greater account of human rights, democracy and good governance when it comes to allocating assistance.

The ENI will also encourage closer links between the EU and partner countries to enable their citizens to participate in successful EU internal programmes, such as student mobility, youth programmes or support to civil society. Special emphasis will be given to engagement with civil society.

Implementation

EU Delegations in partner countries are responsible for the management of external aid, in order to make actions more responsive to local needs, to facilitate coordination between different donors and to speed up implementation.

The ENI is implemented through 3 types of programmes:
Bilateral programmes between the EU and one partner country

Multi-country programmes, which address challenges common to all or to a number of partner countries, based on priorities of the Eastern Partnership\(^{185}\) and the southern dimension of the ENPI

Cross-border cooperation programmes addressing cooperation between one or more Member States, on the one hand, and one or more partner countries and/or the Russian Federation, on the other hand.

The Russian Federation will continue to be eligible for regional and Cross-border Cooperation Programmes, but bilateral cooperation will be addressed under a new Partnership Instrument (PI)\(^{186}\).

Role for civil society

Through the ENI, the EU seeks to support the strengthening of the capacity of civil society organisations to guarantee effective domestic accountability and local ownership, and to play a full role in the democratisation process.

According to the ENI Regulation, external action partners, including civil society organisations and local authorities, will be involved in preparing, implementing and monitoring EU support, given the importance of their roles.

Furthermore, civil society organisations are called upon to participate in the development of the three financial programmes – the Bilateral, Multi-country and Cross-border Cooperation programmes – and, together with local and regional authorities, will be their main beneficiaries.

A clear demonstration of the backing offered to civil society is the fact that provision is made for the possibility of increasing support, should there be a serious regression in the country. More specifically, the ENI Regulation stipulates that the support and the amounts given to partner countries will be based on the actual progress achieved and thus levels of support can be reviewed and, if necessary, reduced.

Further information and publication of Calls

For further information, please consult the EuropeAid web site at [http://ec.europa.eu/europeaid/index_en.htm](http://ec.europa.eu/europeaid/index_en.htm).

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\(^{185}\) The Eastern Partnership is a policy initiative launched at the Prague Summit in May 2009. It aims to deepen and strengthen relations between the European Union and its 6 Eastern neighbours: Armenia, Azerbaijan, Belarus, Georgia, Moldova and Ukraine.

\(^{186}\) See below.
More information, including a very useful glossary, can also be found in the EU Neighbourhood Info Centre Handbook: EU Funding for the Neighbourhood and Russia\textsuperscript{187}.

For information on Calls for Proposals, see https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome.

**Partnership Instrument for Cooperation with Third Countries (PI) - 2014-2020**

The Partnership Instrument replaces the Instrument for Cooperation with Industrialised and other high income countries and territories (ICI) 2007-2013, which has been the EU’s main vehicle for collaboration with developed countries. The Partnership Instrument, in particular, allows the EU to pursue agendas beyond development cooperation with global players and to defend core interests with any other partner country as the need arises. It can also underpin new relationships with countries graduating from bilateral development assistance.

The Partnership Instrument is seen as a key external policy tool. Its overall objective is to advance and promote EU interests by projecting the external dimension of EU internal policies (e.g. competitiveness, research and innovation, migration) abroad, and by addressing major global challenges (e.g. energy security, climate change, intellectual property rights, fighting human trafficking, environment).

**Objectives**

The Partnership Instrument’s objectives include:

- Implementing the international dimension of the Europe 2020 strategy by supporting EU bilateral, regional and inter-regional cooperation partnership strategies
- Improving market access and developing trade, investment and business opportunities for European companies, in particular SMEs, by means of economic partnerships and business and regulatory cooperation
- Enhancing widespread understanding and visibility of the Union and its role on the world scene by means of public diplomacy, education/academic cooperation and outreach activities to promote the European Union’s values and interests.

\textsuperscript{187} See http://www.enpi-info.eu/mainmed.php?id=605&id_type=9&lang_id=450
Activities supported

The Partnership Instrument will support:

- Promotion of cooperation, partnership and joint undertakings between economic, academic and scientific actors in the EU and the partner countries
- Stimulation of bilateral trade, investment flows and economic partnership
- Promotion of dialogues between political, economic and social actors and NGOs
- Promotion of people-to-people links, education and training programmes, intellectual exchanges and the enhancement of mutual understanding between cultures and civilisations
- Promotion of cooperative projects in the areas of research, science and technology, energy, transportation and environmental matters
- The enhancement of awareness about and understanding of the European Union and of its visibility in partner countries
- Support for specific initiatives, including research work, studies, pilot schemes or joint projects.

Implementation

Multi-annual programmes will be developed. In particular, funding for higher education activities in third countries will be available in the context of the Erasmus + Programme. In order to promote the international dimension of higher education, an indicative amount of €1,680,000,000 from the different external instruments (Development Cooperation Instrument, European Neighbourhood Instrument, Instrument for Pre-accession Assistance, Partnership Instrument), will be allocated to actions of learning mobility to or from non-EU countries, and to the cooperation and policy dialogue with authorities/institutions/bodies from these countries.

Eligible countries

All third countries, regions and territories may be eligible for cooperation under this Regulation.

European Instrument for Democracy and Human Rights (EIDHR) 2014-2020

Launched in 2006, the European Instrument for Democracy and Human Rights (EIDHR) replaces and builds upon the European Initiative (2000-2006). This thematic instrument has a broad scope of action. Its aim is to provide support for the promotion of democracy and human rights in non-EU countries.
The EIDHR is designed to help civil society to become an effective force for political reform and the defence of human rights. Building on its key strength, which is the ability to operate without the need for host government consent, the EIDHR is able to focus on sensitive political issues and innovative approaches and to cooperate directly with local civil society organisations which need to preserve independence from public authorities, thus providing great flexibility and increased capacity to respond to changing circumstances.

The EIDHR instrument can grant aid where no established development cooperation exists. It can support groups or individuals within civil society defending democracy as well as intergovernmental organisations working for the protection of human rights. Working with, for and through civil society organisations gives the EIDHR its critical profile. Assistance under EIDHR complements other tools which are used to implement EU policies for democracy and human rights. These range from political dialogue and diplomatic initiatives to various instruments for financial and technical cooperation, including the Development Co-operation Instrument and the ENI. It also complements the more crisis-related interventions of the Instrument for Stability.

Assistance under the EIDHR is implemented through:

- Grants to finance projects submitted by civil society and/or international/intergovernmental organisations
- Small grants to human rights defenders
- Grants to support the operating costs of the Office of the UN High Commissioner for Human Rights and the European Inter-University Centre for Human Rights and Democratisation (EIUC)
- Human and material resources for EU election observation missions
- Public contracts.

Based on the new Financial Regulation, the EIDHR can finance non-legal entities. It also allows the possibility of ‘re-granting’: in order to enhance human rights in the most difficult and dangerous situations, it allows civil society organisations in charge of the project implementation to then award small grants to other local organisations, non-legal entities or individual human rights defenders.

What’s new in EIDHR 2014?

- Increased budget
- Concentration of interventions
- More flexibility, more reactivity in the field
- Simplified procedures
- New focuses
- Independence from government consent.
Implementation

The selection of projects funded under the EIDHR takes place in several ways:

- **Global calls for proposals:** the projects cover all the objectives of EIDHR and are selected by the Commission in consultation with its local delegations.
- **Country calls for proposals:** these are specific to one country (Country Based Support Schemes – CBSS) and cover local projects designed to reinforce the role of civil society in promoting human rights and democratic reforms, in facilitating the peaceful reconciliation of group interests and in consolidating political participation and representation. The calls are managed by local EU delegations.
- **Direct support to Human Rights Defenders through small grants:** when quick intervention through small and targeted actions is needed, the European Commission manages small *ad hoc* grants of up to €10,000 Euro to be awarded to human rights defenders in need of urgent support.

Eligible applicants

Calls for Proposals are often open to civil society organisations based anywhere in the world. The entities eligible for funding, depending on the specific objectives of each action/Call for Proposals, are:

- Civil society organisations
- Public- and private-sector non-profit organisations
- National, regional and international parliamentary bodies, international and regional inter-governmental organisations
- Natural persons, when their help is necessary for achieving the aims of the EIDHR.

Further information and publication of Calls

For further information, please consult the EIDHR web site at [http://www.eidhr.eu/](http://www.eidhr.eu/).

Chapter 21

The Europe for Citizens Programme

2014-2020

In April 2014, the Council of the European Union unanimously adopted the Regulation setting up the Europe for Citizens Programme for the period 2014-2020, as a continuation of the former programme with the same name.

The programme is structured in two thematic areas and one horizontal action:

- **European Remembrance**: this strand of the programme focuses on Europe as a peace project. The programme will support initiatives which reflect on the causes of totalitarian regimes, and consider different historical perspectives. Remembering the lessons of the past is seen as a pre-requisite for building a brighter future.

- **Democratic engagement and civic participation**: this part of the programme aims at strengthening the general public’s understanding of how EU policies are shaped today. It also aims to foster the close involvement of civil society in European policy-making.

- The **horizontal action** is concerned with **valorisation**, related to the analysis, dissemination and use of project results from the thematic areas.

**Aims and priorities**

- To contribute to citizens’ understanding of the EU, its history and diversity
- To foster European citizenship and to improve conditions for civic and democratic participation at EU level
- To raise awareness of remembrance, common history and values
- To encourage the democratic participation of citizens at EU level, by developing citizens’ understanding of the EU policy-making process and by promoting opportunities for societal and intercultural engagement and volunteering at EU level.

In line with the general objectives of the Europe for Citizens programme, annual priorities are defined by the European Commission after consultation with the
programme committee. Applicants are encouraged to develop projects in line with the objectives of the programme and targeting the annual priorities.

Priorities 2014 for Strand 1: European remembrance

According to Article 3 of the Treaty of the European Union, the EU’s aim is to promote peace, its values and the well-being of its peoples. In the context of this article and the general description of Strand 1, the Europe for Citizens programme will support projects reflecting on causes of totalitarian regimes in Europe’s modern history, as well as projects concerning other defining moments and reference points in recent European history.

Historical moments commemorated in particular in 2014 are the 100th anniversary of the beginning of World War I, the 25th anniversary of the Fall of the Berlin Wall and the 10 years of enlargement of the European Union to Central and Eastern Europe. These key moments of European modern history have therefore been chosen as priorities for the year 2014.

Priorities 2014 for Strand 2: Democratic engagement and civic participation

This year the elections to the European Parliament, held in all Member States in May 2014, have been the first to be held under the terms of the Lisbon Treaty which enhanced the role of EU citizens as political actors. So the annual priority of Strand 2 of the programme for the year 2014 has been built around the elections to the European Parliament and citizens’ participation in the democratic life of the EU.

Transnationality

Transnationality is a particularly important feature of the Europe for Citizens Programme. This can be expressed in different ways:

- The theme of the project can be transnational by tackling an issue from a European perspective or by critically comparing different national points of view. Such a transnational theme can be implemented by giving the floor directly to persons from different national backgrounds or to people having an original, transnational point of view on the issue
- The transnationality can also derive from the nature of the project promoters: the project can be developed and implemented through the cooperation of a number of partner organisations, coming from different participating countries
Transnationality can also be achieved by ensuring that the project is targeted directly to a public from different countries or by disseminating the results of the project across borders, thereby reaching indirectly a European audience.

**Eligible countries**

The Programme is open to

- The 28 Member States of the European Union
- Candidate Countries and potential Candidate Countries (provided that they have signed a Memorandum of Understanding with the Commission)
- The EFTA Countries.

**Eligible applicants**

The applicants and partners must be either public bodies or non-profit organisations having a legal personality, established in a participating country. At least one partner from an EU Member State must be involved in each project.

**EU funding**

The Europe for Citizens programme offers two different kinds of grants:

- **Action grants**: these are grants for projects (within both strands of the programme) i.e. for actions with a limited lifetime during which proposed specific activities are implemented
- **Operating grants**: these provide financial support for costs required for the proper conduct of the usual and permanent activities of an organisation.

Action grants are calculated on the basis of lump sum financing, allocated in tranches. The same parameters are valid for all participating countries. The lump sums cover all the eligible costs of an action, including the cost of

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188 For more detailed information, please refer to the specific eligibility criteria of each strand/measure
research and IT tools needed for preparatory activities for ‘European remembrance’ and ‘Civil society projects’.189

**Interest for trade unions**

The ‘Democratic engagement and civic participation’ strand supports activities covering civic participation, focusing in particular on European Union policies. The strand includes three specific measures:

- **Town twinning** – supporting projects bringing together citizens from twinned towns
- **Networks of towns** – providing funding to municipalities and associations working together on a common theme in a long term perspective and wishing to develop networks of towns to make their cooperation more sustainable
- **Civil society projects** – supporting projects gathering citizens in activities directly linked to EU policies, providing an opportunity for direct participation in the policy making process. Funded activities may include promotion of societal engagement and solidarity, gathering of opinions, volunteering.

Trade unions may be particularly interested in being involved in activities to be funded by the measure ‘Civil society projects’. As a reminder, many European and national trade unions have used previous Programmes to organise meetings, exchanges, study visits, encounters in Brussels and in Member States as a way of bringing the EU institutions closer to their own reality and environment. The experience has been extremely interesting for a lot of trade unionists who have learnt to approach their work on a transnational basis and have been able to cascade the results of the activities.

This measure aims to support projects promoted by transnational partnerships and networks directly involving citizens. Those projects gather citizens from different horizons, in activities directly linked to Union policies, with a view to giving them an opportunity to participate concretely in the Union policy-making process in areas related to the objectives of the Programme.

The project ideas should involve stimulating and organising reflection, debates or other activities related to the annual priority themes of the Programme; proposing concrete solutions that can be developed through cooperation or coordination at European level; ensuring a concrete link with the policy-

189 For more detailed information on finance, please see the Europe for Citizens Programme Guide at [https://eacea.ec.europa.eu/sites/eacea-site/files/COMM-2013-00367-00-00-EN-TRA-00.pdf](https://eacea.ec.europa.eu/sites/eacea-site/files/COMM-2013-00367-00-00-EN-TRA-00.pdf)
making process indicated above. The implementation of projects should actively involve a large number of citizens and aim to provide the basis for, or encourage the development of, long-term networking between several organisations active in the field.

Specific criteria for Civil Society projects include:

**Funded activities**

A Civil Society project must include at least two of the following three types of activities:

- Promotion of societal engagement and solidarity: activities able to promote debate/campaigns/actions on the themes of common interest in the larger framework of the rights and responsibilities of the Union’s citizens and making the link to the European political agenda and policy-making process
- Gathering of opinions: activities aiming at gathering the individual opinions of citizens on a specific topic to be defined annually, favouring a bottom-up approach (including the use of social networks, webs, etc.) and media literacy
- Volunteering: activities promoting solidarity among Union citizens and beyond.

The activities must take place in one or more of the eligible countries.

**Project duration**

The project must start within the relevant eligibility period\(^{190}\). The maximum project duration is 18 months.

**Eligible applicants and partners**

Applicants should be non-profit organisations, including civil society organisations, educational, cultural or research institutions.

Partners should be public local/regional authorities or non-profit organisations, including civil society organisations, educational, cultural or research institutions, town-twinning committees and networks.

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\(^{190}\) See the calendar in the *Programme Guide*. 

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A project must involve organisations from at least 3 eligible countries of which at least one is an EU Member State.

EU funding

The maximum eligible grant for a Civil Society project is €150,000.

Further information and contacts

DG Communication holds overall responsibility for the Europe for Citizens Programme. Responsibility for the implementation of the Programme has been delegated to the Education, Audiovisual and Culture Executive Agency.

The European Commission has also established a series of Europe for Citizens Contact Points to provide information and support. For more details see the Programme web site at http://eacea.ec.europa.eu/citizenship/index_en.php.


Contact for Civil Society projects in the 'Democratic engagement and civic participation' strand: eacea-p7-civilsociety@ec.europa.eu
Appendix 1

A Checklist of Project Planning Stages

1. **Identification of needs**

   1.1 Describe the need(s) you want to fulfil or the problem(s) you want to solve.

   1.2 Describe the group which has the need.

   1.3 Do you need to conduct a more detailed needs assessment to gain a more precise analysis? If so, will you do this before the project, or can this be one of the activities of the project?

   1.4 How does fulfilling the needs of this target group contribute to meeting the needs and objectives of your own organisation?

   1.5 Can you expect support from your own organisation in developing the project?

2. **Definition of objectives**

   2.1 Define objectives for the project in terms of the particular needs you have identified.

   2.2 Consider how these objectives relate to the objectives of your own organisation.
2.3 Make sure that the objectives are formulated as precisely as possible. Are they measurable? Can you use them effectively as yardsticks to help you evaluate success?

2.4 If the objectives involve broadening the scale of some existing activities, discuss your ideas with the people who would be involved in the development.

2.5 If the objectives involve obtaining additional expertise from outside the organisation, check your proposal with prospective partners.

2.6 If the objectives involve developing new activities, check your proposal with those involved in organising the activities.

3. **Considering feasibility**

3.1 How much of the project can your own organisation deliver?

3.2 Are there problems which your organisation is likely to experience in relation to the project?

3.3 If the problem is a shortage of money, you will need to look for co-financing. The possibilities include:

- European Union / banks / national or regional government / other sources of public funding / charitable foundations / business sponsorship / sister organisations.

Think carefully about which would be the best source of co-finance.

3.4 Request detailed information from any co-financier(s) you think might help. For example:

- Guidelines or conditions for a proposal to a European Commission programme via the national advisory or information body or from the programme website.
- Arrangements with possible partners who might make their own financial contribution.

3.5 If the shortage is people, you will need to approach partners or sub-contractors. (N.B. Not every co-financier is happy with external sub-contracting.)

3.6 Think carefully about who would make a good partner in the project. What range of skills and abilities will you need to achieve the project?
3.7 Ask potential partners for their views on collaboration. Set out your ideas as far as you can. If there is a positive response, discuss what skills they have and whether they would be in a position to participate.

3.8 If the shortage is materials and/or equipment, consider whether it is possible to rent during the period of the project.

3.9 Consider whether your organisation has gathered enough basic information to start the project. If not, you will need to undertake some further research.

3.10 Consider whether your organisation has the necessary infrastructure to handle the project. If not, is it possible to establish this? Do you have the requisite authority to do this?

3.11 Check the commitment of colleagues within your organisation and ask them directly if you can count on their practical cooperation. Specify what their contributions would be.

3.12 Check that colleagues outside your organisation understand fully what their involvement would be. Ask them what contribution they think they can make to the content of the project. Ask them to think about the time and costs involved, including wage costs.

3.13 Evaluate the feasibility of realising the project. Analyse the key risks involved if you go ahead, and identify ways to reduce or avoid them.

4. **The workplan and schedule**

4.1 Identify the scope of the project. What are the boundaries? What is included/excluded?

4.2 What work must be undertaken to achieve the planned outcomes of the project? Consider not only the core activities of the project, but also other essential tasks, such as management, evaluation, dissemination and exploitation.

4.3 Make a basic flow chart diagram of the project. Start by breaking the project into major areas of work (workpackages) and make a plan of the overall structure. Then produce a work breakdown schedule.

4.4 Estimate the time needed for each task. Schedule each activity and make a Gantt chart. Review and amend this, until you have produced a workable schedule.
When you have drawn up a satisfactory schedule, think about possible problems and how you might approach them. Build in an element of flexibility. Consider your priorities in terms of time, cost and quality.

Allocate resources to the tasks and produce a set of task resource sheets.

Make sure that you communicate carefully and fully with all the partners about the detail of the schedule, so that everyone understands the planning.

5. Preparing the organisation

Establish who will take responsibility for deciding whether or not to proceed with the proposal.

Who will take decisions about what, during the execution of the project? Which decisions will be taken by the project coordinator, and which by other partners?

It is advisable to establish a Project Management Committee. You may also wish to appoint an advisory group for the project, drawing together people with particular expertise and experience.

As you come to appoint people to the project team, with particular tasks, make sure you have a clear set of criteria.

- Can they achieve the desired product quality?
- Can they work to a deadline?
- Can they accept fewer outcomes than they originally envisaged, if there are problems?
- Can they handle stressful times?
- Can they respond flexibly in uncertain situations?
- Are they good communicators?
- Can they work in a disciplined way to achieve the project outcomes?

Draw up a clear set of roles and responsibilities.
6. **Budget issues**

6.1 To estimate costs you need to have information on the normal labour costs of the staff members involved from your own and other organisations.

6.2 You will also need to estimate costs for other elements, such as materials, travel and equipment hire. You would do well to gain some understanding of your own organisation’s system of accounting and bookkeeping.

(N.B. International projects are often expensive in terms of translation, interpreters, travel and hotel accommodation.)

6.3 Start by costing the individual tasks, then work up via workpackage costs to the overall project cost. Then prepare a cashflow forecast and note any periods when partners will need to finance a cashflow deficit. When you have reached a final costing for the project, consider whether this is feasible for your own organisation.

6.4 When you have reached an internal consensus on the budget, consider what you will do, if the maximum grant you are counting on is reduced.

6.5 Check that the partners are in a position to pay their contribution. How will they demonstrate this?

7. **Planning for quality**

7.1 What will be the key criteria for quality and the main performance indicators? Consider each task in terms of both the quality of any products and the quality aspects of the working process.

7.2 Consider carefully the interface or hand-over point between different phases of the project and between different partners’ contributions. What can you do to ensure that there are shared understandings about what will be accomplished, so that expectations are fulfilled?

8. **Preparing an information and communication strategy**

8.1 Make a list of the key kinds of information, documentation and communication your project will demand. Who will be responsible for producing them? Who will they need to be seen by? Draw up a plan of communications and circulation.
8.2 What will be the main channels of communication for the project? What kinds of meeting is the project likely to generate?

8.3 Decide on the working language(s) and what you will need to do to support communication between partners speaking different languages.

8.4 Consider where and how the key information base of the project will be located, how information will be classified and referenced, and how it will be accessed.

9. Preparing evaluation and dissemination

9.1 Consider how the project will be evaluated and at what points. Evaluation can be conducted by different people: by a contracted organisation, by the project team, by each partner organisation, by an advisory committee and/or by the project target group.

9.2 Consider both formative evaluation, which can feed into the development of the project, and summative evaluation, which will principally be retrospective and concerned with the results of the project.

9.3 Also draw up a plan to secure the sustainability of the initiative beyond the period of project funding. How will the results of your project be disseminated and how can they be more widely exploited?

Once the proposal is in a final draft form, circulate it to your project partners for their final acceptance and request a letter of intent/commitment. Then send the proposal, together with the letters, to the co-financier.

(N.B. Make sure all the forms are completed correctly and signed, that you send the requisite number of copies, and that you meet any submission deadlines!)

10. Directly after the decision on funding

10.1 If the funding body gives the proposal full approval, then the process of agreeing a contract begins. In addition to the contract with your funder, you will need to prepare detailed contracts between your organisation and your partners and any sub-contractors. Make sure that these set out clearly the work and financial contributions expected; benefits accruing to the partner, including any rights in products; and procedures in the case of default.
10.2 If there is a negative decision on financing the project, try to find out the reasons. Explore whether re-submission in an amended form would be possible.
Appendix 2

Sample Letter of Intent/Commitment

There is normally a requirement for applications to be submitted with a Letter of Intent (or more usually a stronger Letter of Commitment) from each Partner or Contractor to the Promoter or Coordinator of the project, indicating their agreement to participate. In many cases, pro-formas are provided as part of the application documents. Here is a useful template, if a standard format is not provided.

Dear [Name of Project Director or Project Manager],

[PROJECT TITLE]

Thank you for your invitation to participate in the project proposal entitled [PROJECT TITLE] as part of the [PROGRAMME NAME] Programme, which we are pleased to accept.

This letter acts as a formal {Letter of Intent/Letter of Commitment} on behalf of my organisation to participate in the project, which is to be coordinated by [COORDINATING ORGANISATION] under your leadership. I undertake, on behalf of my organisation, to fulfil the objectives of the project as set out in the proposal document and agree to the details regarding tasks, personnel and resources, finance, ownership, dissemination, exploitation and the transfer of results.

We agree that our principal role in the project will be [BRIEF DESCRIPTION OF ROLE]. Our estimated total budget for this work is [TOTAL BUDGET FOR ORGANISATION] Euros. Under the terms of the [PROGRAMME NAME] Programme,
we understand that [e.g. 75%] of this would be reimbursed by the European Commission. Our organisation would provide the balance of [AMOUNT TO BE CONTRIBUTED BY ORGANISATION] Euros in cash from {e.g. its own resources/national funding}. If the proposal is successful, we look forward to entering a formal agreement with [COORDINATING ORGANISATION]. We reserve the right to re-negotiate with you the terms of our participation in the project, in the event that there are any changes made in the configuration of the project, prior to its final approval.

We look forward to hearing from you in due course that our proposal has been successful and to working with you on the project.

Yours sincerely,

[NAME]
[POSITION]
Appendix 3

Sample Partnership Agreement

A Letter of Intent, in the form suggested in Appendix 2 – or even a firmer Letter of Commitment - submitted with the proposal, normally does not set out full details the relationship between the project partners, or the terms and conditions governing their cooperation in the project. If the proposal is successful, the Promoter or Coordinator will need to establish more detailed partnership agreements, setting out clearly the role and responsibilities of each partner. In many cases the Promoter will be the only signatory to the contract with the Commission, legally bearing sole responsibility for the delivery of the project. Such partnership agreements provide some protection for the Promoter, as well as for the other partners. The precise form of the agreements will clearly vary from project to project, will reflect the specific terminology and requirements of particular funding programmes and contracts, and will differ in detail from partner to partner.

There are, however, certain basic points which any partnership agreement should cover:

- Agreement to the content and conditions of the grant agreement or contract with the funding body, including all its technical and financial annexes
- Agreement to the total approved budget and a commitment to provide partner contributions to it in the prescribed forms
- Agreement to remain united in the event of any problems, or of a failure by one or more of the partners to meet their obligations, and to seek collectively to find speedy solutions, or if this proves impossible, to inform the funding body speedily
- Agreement to keep appropriate financial accounts in the manner prescribed and to provide all necessary information required for the reporting process promptly and efficiently
- Agreement to participate whole-heartedly and to the best of the
partner’s ability in the delivery of the tasks assigned to them, including the management and coordination of the project, and to participate in the dissemination and mainstreaming of outcomes and results, as well as in the evaluation of the project.

- Agreement on the ownership and exploitation of any intellectual property rights which might be used by and/or created during the project.

As an example, here is a sample partnership agreement, based on that drawn up by ETUCO (now ETUI Education) for its DIALOG-ON project:

**Partnership Agreement Template**

An agreement made on [DATE] between

[Contractor organisation] (“the Contractor”)

and

[Partner organisation] (“the Partner”)

calling the project [Project name]

1. Preamble

The Contractor has formally concluded a Grant Agreement (Agreement Reference No. XXX/YYYY/ZZZZ) (hereafter referred to as “the Agreement”) with the European Communities, represented by the European Commission, regarding a project, [Project name], (hereafter referred to as “the Project”) to be conducted within the framework of programmes and actions in the {e.g. social and employment} sectors.

2. Participation as partner

The Partner hereby agrees to participate as a partner in the Project, to be coordinated and managed by the Contractor. The Partner undertakes itself to be bound by the terms of the Agreement and:

a) To contribute to the best of its ability to the realisation of the objectives and workplan for the Project as set out in Appendix I of the Agreement, including the details concerning its own tasks, personnel and resources

b) To observe the general terms and conditions applicable to European Community project grant agreements set out in Annex II of the Agreement

c) To work within the terms of the detailed forward budget for the Project set out in Annex III of the Agreement.
The Partner further agrees that its main tasks in the Project will be:

[Details to be inserted]

The Partner further agrees

a) To participate in the evaluation, dissemination and mainstreaming of the outcomes and results of the project
b) To participate fully in the management, coordination and concrete implementation of the actions that are entrusted to it as part of the project.

3. Finance

The Partner agrees that the estimated total budget for its work within the project is [total budget for organisation] €.

The Partner specifically hereby undertakes:

a) To keep separate accounts of expenditure for the Project
b) To supply the Contractor with all necessary and relevant information concerning all expenditure, including copies of all invoices and receipts, in the required form by the requested dates
c) To abide by the rules of subcontracting, as defined in the Agreement
d) To contribute to the Project from its own resources, such contribution to take the form of a cash contribution of [cash contribution] €.

The Contractor hereby undertakes:

a) To reimburse the Partner up to a maximum of [partner maximum grant] € for its work in the Project, subject to the satisfactory completion of its tasks and the provision of all reports and financial documentation requested and subject to the release of monies to the Contractor by the European Commission as set out in Article 4 of the Agreement.
b) To advance such monies within 21 days of receipt from the European Commission, such payments normally to be staged as follows:

- An advance payment following signature of this contract of 30% of [partner maximum grant] €
- An interim payment in year two of the Project of 70% of [partner maximum grant] € less the total of monies previously advanced
- A final payment covering the balance due upon completion of the Project and acceptance by the European Commission of the Project’s final report and final financial statement.
The Partner hereby agrees that:

- **a)** All costs claimed by the Partner shall have been incurred directly in carrying out its tasks in the Project and shall comply with the definition of Eligible Costs set out in Article 11 of Annex II of the Agreement.
- **b)** All monies provided by the Contractor shall be treated as advances until the final accounts of the Project have been approved by the European Commission and may be subject to repayment in part or in full in the event that the accounts are not so approved.
- **c)** Monies may only be reclaimed from the Project up to the maximum of the Partner’s agreed budget against actual costs incurred.
- **d)** Failure to contribute the agreed level of own resources in cash will lead to a pro rata reduction in the amount of monies released by the Contractor for work within the Project.
- **e)** It will promptly repay to the Contractor any unspent monies and any other monies which it is required to repay.

### 4. Management and reporting

The Partner hereby agrees:

- **a)** That the Project is managed by the Contractor, advised by a Project Management Committee (PMC), comprising representatives of [PMC member organisations]. Responsibility for the day-to-day management and administration of the entire project lies with the Project Director, [insert name].
- **b)** That the Partner and its representatives will abide by the internal management and administrative procedures for the Project, as set out in the Project Administration Handbook and such other documentation as the Contractor may from time to time publish.
- **c)** That the Partner will provide the Contractor promptly with regular progress reports, in such formats and at such times as required by the Contractor.

### 5. Liability

The Partner shall indemnify the Contractor against the Partner’s failure to complete its tasks in the Project and for any damage resulting from its participation in the Project. It shall also assume sole liability towards third parties for any damage of any kind sustained by them which results from the Partner’s activities within the Project.

### 6. Confidentiality

Both parties to this contract undertake to preserve the confidentiality of any document, information or other material communicated to them in confidence.
7. Publicity

All publicity produced about the Project, including dissemination events, courses and seminars delivered as part of the Project activities, must acknowledge both the DIALOG-ON Project and the support provided by the European Commission. They must also specify that the Commission is not responsible for the content or information conveyed in such publications or events.

8. Ownership of Project Results

Subject to Article 7 of Annex II of the Agreement, the Contractor agrees to conclude in good faith with all partners in the Project and at an early stage an agreement concerning the ownership of intellectual property in the products of the Project and the exploitation of those products.

9. Termination

The Contractor shall have the right to terminate this contract

   a) If the Partner is declared bankrupt, is wound up or is the subject of any similar proceeding
   b) If the Partner fails to comply with any of the terms of this contract
   c) If the Agreement with the European Commission is terminated.

The Partner shall have the right to terminate this contract by serving not less than three month’s written notice on the Contractor. In this event, the Partner shall be entitled to payment of monies only for the tasks in the Project which have been carried out at the date of termination and subject to the terms of Clause 3 of this contract.

10. Amendment

Any amendment of this contract must be set out in writing and must be agreed by both parties.

11. Jurisdiction

This contract shall be governed by the laws of Belgium.

12. Signatories

The authorised representatives of the parties to this contract able legally to bind their respective organisations and responsible for supervising the implementation and performance of this contract are:
Appendices

For the Contractor: [insert name]
For the Partner: [insert name]

Signed:  Signed:

For and on behalf of [Contractor organisation]  For and on behalf of [Partner organisation]
Appendix 4

Information Technology and Project Work

In the twenty years since the publication of the first edition of *Trade Unions and Transnational Projects*, information technology (IT) has undergone an astonishing development. At that time, if we worked on computers at all, they were likely to be heavy desktops with perhaps a wordprocessing package and a spreadsheet. E-mail was possible but its use was not widespread. Even less familiar were the one or two rudimentary software programs dedicated to project management. The world of the Internet was not widely available, most trade unions didn’t have e-mail or web sites, and smartphones, tablets and social media were unimaginable.

The revolution in communications and informatics has transformed how we live and work. This is as true in the areas of project work and project management as in our social lives. In this Appendix, we look at some of the possibilities that these transformations have opened up for planning and implementing transnational projects in a trade union environment.

Basic tools

There are certain basic IT tools that any project is likely to make use of:

- A **wordprocessing** program to produce and edit documents and reports
- **E-mail** as a key means of communication, with the possibility of attaching documents and reports in a variety of formats
- A **web browser** as a research tool to find various kinds of information and to download documents. The information may be needed as background information for the subject matter of the
project, but there is also a lot of useful information about project management itself available on the web[^1].

Whilst these are tools that we could perhaps reasonably expect almost all members of a project team to understand and use, there are three other common tools that are likely to be used in most projects:

- **Spreadsheets** to calculate budgets
- **Accounts package** to track income and expenditure
- **Presentation tools** (e.g. PowerPoint) to support meetings and conferences.

### Communication tools

At the heart of any successful transnational project lies good communication: between team members, between the team and the organisations supporting it, and between the project and its wider audiences. Whilst e-mail is likely to be the most widely-used form of communication, it is also worth bearing in mind other possibilities that could be useful.

### External communications & dissemination

- A project **web site** can be a very effective means of publicising your project to a wider audience. You will need to set up a web server with a unique address or alternatively negotiate a dedicated space on one of the partner organisations’ sites. Producing web pages is cheap and easy with free software available online.
- Your web site can also be used to distribute downloadable documents in a variety of formats – word-processed files, spreadsheets, portable document files (PDFs), photos and graphics, for example. You may also be able to use it to market particular products, with the possibility of online ordering and even payment, through a facility such as PayPal.
- Try to make ensure that your web site is also easily viewable and usable by smartphones and tablets.
- For a more interactive involvement with a wider public think about including on your web site one or more forums that could encourage discussion of some of the key issues your project is tackling, or perhaps add a blog. Both of these work only if they are maintained and regularly updated, but they may help generate an

[^1]: See *Project Management: Web Sites* in the Resources for Project Work section of the handbook.
active following for the project as it develops. There are also simple tools available for creating questionnaire surveys that again can help maintain involvement and generate valuable feedback.

- More and more people are using social media not simply for personal exchanges but also for more official communications. Many trade unions now have Facebook pages. Depending on the nature of your project and the audiences you are trying to reach, some form of social media may provide a useful additional tool.

Internal communication and tools for collaboration

- It is often useful to have an private shared workspace for the project team — somewhere to store different versions of working documents, to place a project calendar, to offer message forums with structured discussion ‘threads’ on different aspects of the development work of the project. There are lots of web-based tools that offer these and other facilities to support the work of distributed teams, often with the possibility of assigning different permissions (read, edit, delete, etc) to different groups of users.
- Although e-mail will probably be the key means of internal communication, Skype can offer a useful complement, providing telephone conference facilities for small groups (5-6 maximum). Similarly, internet video-conferencing solutions are now much cheaper and more reliable.
- Although not perfect, translation tools like Google Translate can often help support communications between participants from different language communities.

Project Management tools

There is also a wide range of programs, specifically designed for the management of projects. Many of these are based around work breakdown structures and tasks and produce schedules in the form of Gantt and/or PERT charts, or just simple To Do lists and calendars. The degree of sophistication varies enormously, so it is important to think

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192 Details of a small selection of these are noted in Project Management: Software in the Resources for Project Work section of the handbook.
carefully about what would be most useful for your project and how precisely you will use the program.

- Traditional project management software has been designed for a single-user working on one or more standalone projects. It would probably be used simply by the project manager to plan and track progress on a project, with paper copies of the project plan being circulated to the team.

- Some programs can combine data from more than one project. This is particularly useful, for example, if you have team members whose workload is spread across several projects simultaneously, enabling you to make sure that they are not over-committed.

- More recently, there has been an emphasis on collaborative working around project schedule and tasks, using web-based tools. These can offer different levels of permission to different users, all connecting to a single ‘cloud-based’ set of data, so that some people have the right to create a new project schedule, others to add comments or even edit particular elements, and other just to view.

- Some of these more collaborative tools also build in other features – address books, dedicated e-mailing facilities, automatic reminders for tasks, ability to attach documents to particular tasks and even simple budgeting, as well as the possibility of recognising holidays and other non-working days.

- The advantages that virtually all of these products bring are of being able both to produce a comprehensive breakdown of the project and then to be able to track progress against it. Also, if task dependencies are described correctly, then needing to adjust the timing of one task will automatically show the repercussions elsewhere in the schedule. Producing revisions to the plan is then just a question of simple editing, rather than having to create a whole new schedule from scratch.

Other tools

The ever-increasing number of applications – and particularly the huge range of apps for smartphone and tablets – makes it impossible to list all of the IT products that might usefully find a place in project work. Here, however, are two others that might be helpful in certain situations:

- **Mind Mapping software** allows you to create visual representation of ideas and to create links between them. It can often be useful in the initial process of generating project ideas, listing project objectives or defining team member roles and responsibilities. The entire project may also be represented in a visual map which can aid the process of understanding how all the parts fit together into a coherent overall structure, as part of the process of building a work breakdown structure.
Although this is not really project management software, there is a category of software that may be useful, particularly in training projects: online classrooms, commonly referred to as **Virtual Learning Environments (VLEs)**. Programmes such as these are normally web-based and act as repositories of course materials, often interactive in form, with simple facilities for creating quizzes, multiple choice questions and questionnaires. Most will have some kind of discussion forums, course calendars and perhaps in-built audio- or video-conferencing.

**Some final thoughts**

Anyone managing a transnational project is likely to need at least basic IT skills – particularly as most of the funding programmes we have looked at in Part Three of the handbook require applications to be completed and submitted online. Partners, too, are likely to need to have the appropriate skills to submit progress and financial reports. Quite how much more IT familiarity and which particular applications will be useful will vary from project to project, though in general for a project of any scale some kind of scheduling programme is likely to be very helpful.

There are two key considerations to be borne in mind: what could bring positive benefits to the quality and efficiency of the work of the project; and how comfortable is the project team likely to be with using particular programs. Firstly, choose only products that you think can make a significant contribution and don’t be seduced just by the latest gimmickry. Secondly, if there are team members who don’t feel too confident with IT, consider what additional support the project can provide? If you have a multi-lingual team, are there products that have, for example, an interface and Help pages in several languages? Is there a member of the team who could be responsible for dealing with IT support? Think about both the product and the likely users.

Manufacturers have a tendency to maximise profit by continually updating products, often meaning that later versions are incompatible with previous ones. This is frequently the case with basic tools that most team members are likely to need, such as wordprocessing programmes and spreadsheets. It is a good idea to try to sort out these kinds of problem at an early stage of the project and wherever possible to agree common standards.

Finally, just because tools or technologies are available, it does not mean that people will use them well, or will use them in the same way. If someone cannot set priorities for their work or has difficulty meeting deadlines, technology cannot solve what is in effect an individual human problem. So whilst we can demonstrate the considerable potential benefits that IT can bring to project work, we have to remember that the tools and technologies are only as effective as the ways in which they are used - and that good projects depend much more upon the way people work, and work together, than upon the technologies themselves.
ETUI Training for Project Work and Project Management

Since 1992, ETUI Education has offered a range of services and activities for trade unions, dealing with transnational projects and project management.

Alongside the work on producing and updating the current handbook, ETUI Education has delivered a range of training courses on project work and project management, as well as courses on specific EU funding programmes such as Budget Lines for Social Dialogue, the European Social Fund and funding available for Health and Safety activities. A thoroughgoing review of this work in 2010 has led to the creation of a new and exciting three-level training programme, addressing trade union project needs at sectoral, regional, national and European level, and leading to the award of externally accredited qualifications.

The training programme begins with an introductory level course Project work for trade union representatives, delivered at national level by our affiliated organisations. Participants then have the possibility of working together with colleagues from other countries while following an intermediate course, delivered at European level by ETUI education. A third level will then offer a variety of advanced modules on different project management topics. Underpinning the Introductory level courses is another certified course for trainers at national and sectoral level, together with a toolkit of training materials[^193] to equip them to deliver the introductory course in their local contexts. The new

[^193]: Copies of the Toolkit in various languages are available at [http://www.etui.org/Publications/Guides/Toolkit-Trade-Union-Training-for-Project-Work](http://www.etui.org/Publications/Guides/Toolkit-Trade-Union-Training-for-Project-Work)
strategy has been enthusiastically welcomed by a wide number of affiliates who have already delivered some 20 national courses.

Accreditation has been an essential element of the process. For the first time ETUI, with the support of TUC and Edinburgh College, has been able to obtain externally validated certification of its project work training courses. The qualifications correspond to Levels 3 and 4 of the European Qualifications Framework. The process of certification has not only provided participants with a valuable paper qualification but has also helped ETUI consistently to improve the quality of its training work.

You can find more information about these and other ETUI courses at http://www.etui.org/Training.
The European Union is rich in abbreviations, acronyms and other terminology which can be very confusing. In this glossary we provide an explanation of some of the terms most commonly encountered both in project work and in EU documents. The Commission itself also provides very useful online information sources which help de-mystify EU terminology and jargon:

- [http://europa.eu/abc/eurojargon/index_en.htm](http://europa.eu/abc/eurojargon/index_en.htm) provides a lexicon of ‘eurojargon’
- [http://europa.eu/legislation_summaries/glossary/](http://europa.eu/legislation_summaries/glossary/) contains some 233 terms relating to European integration and the institutions and activities of the EU
- [http://europa.eu/geninfo/info/guide/index_en.htm#term](http://europa.eu/geninfo/info/guide/index_en.htm#term) offers a page of links to other EU glossaries, information sources and contacts

In the list that follows, the asterisk (*) denotes former Programmes or bodies no longer in operation. Text that is *italicised in bold* indicates an entry elsewhere in the Glossary.

**A**

ACP
African, Caribbean and Pacific Countries, parties to the Lomé Convention

**ACQUIS COMMUNAUTAIRE**
French term, indicating the rights and obligations that *EU* countries share. The *acquis* includes all the EU’s treaties and laws, declarations and resolutions, international agreements on EU affairs and the judgments given by the European Court of Justice. *Candidate countries* have to accept the *acquis* and incorporate it within their own national law before they can join the *EU*. 
ACTIVE CITIZENSHIP
Cultural, economic political/democratic and/or social participation of citizens in society as a whole and in their communities

ADULT LEARNER
Learner participating in adult education.

ALA
Asian and Latin American countries.

AMSTERDAM TREATY
Came into force in May 1999. It revised the Maastricht Treaty, with key emphases on action on employment, freedom of movement, cooperation on security, and changes in representation and decision-making in view of impending EU enlargement.

APPLICANT ORGANISATION
The partner organisation legally responsible for a project application. If the application is approved, the Applicant Organisation becomes the Beneficiary Organisation and is legally responsible for its execution.

ASEAN
Association of South-East Asian Nations.

ASSOCIATED PARTNER
An organisation that will be contributing to the work of the project but is not formally a member of the project consortium and is not eligible to receive funding from the project budget.

BARCELONA COUNCIL
In March 2002, the European Council agreed that education was one of the bases of the European social model and that Europe’s education systems should become a ‘world quality reference’ by 2010. It outlined a work programme with a series of detailed objectives to achieve this goal.

BARCELONA DECLARATION/BARCELONA PROCESS
The EU’s policy towards the Mediterranean region is governed by the Euro-Mediterranean Partnership, set out in the Barcelona Declaration at the 1995 Conference between the European Union and its 10 Mediterranean Partners (Algeria, Egypt, Israel, Jordan, Lebanon, Morocco, Palestinian Authority, Syria, Tunisia and Turkey).

BENEFICIARY/BENEFICIARY ORGANISATION
An individual or organisation that will benefit in various ways from the implementation of a project. In the European programmes, they are also often
understood as the entities receiving financial grants. Also in financial terms, the organisation, institution or individual with whom the contract or grant agreement is signed and who is legally responsible for delivery of the project. (See also Final Beneficiary)

**BEUC**
European Bureau of Consumers’ Unions.

**BIC**
Business and Innovation Centres (BIC) is a Community measure for the creation and development of business and innovation centres and associated networks. (DG Regional & Urban Policy)

**BUSINESSEUROPE**
The Confederation of European Business – the representative body of enterprises and employers working in the private sector and a recognised participant in the European Social Dialogue. Formerly the Union des Industries de la Communauté européenne (UNICE).

**CANDIDATE COUNTRIES**
Countries seeking to join the EU. Currently formal candidates are the Former Yugoslav Republic of Macedonia, Iceland, Montenegro, Serbia, and Turkey. Albania, Bosnia and Herzegovina and Kosovo are also recognised as potential candidate countries.

**CAP**
Common Agricultural Policy. (DG Agriculture & Rural Development (AGRI))

**CEDEFOP**
European Centre for the Development of Vocational Training.

**CEECs**
Central and Eastern European Countries.

**CEEP**
European Centre of Enterprises with Public Participation and of Enterprises of General Economic Interest – the representative body for enterprises and employers working in the public services sector and a recognised participant in the European Social Dialogue.

**CLIL**
Content and Language Integrated Learning (CLIL) involves learning which introduces students to new ideas and concepts in traditional curriculum subjects using a foreign language as the medium of communication.
COMMERCIALISATION
The process of exploiting the products and services produced by a project on a commercial basis. The ownership, title and intellectual patent or property rights in the results of the project are vested in the contractor and may be shared with partners, subject to the terms of a partnership agreement. In addition, the contractor shall grant the National Agency and the European Commission the right to use the results produced or deriving from the project for dissemination or demonstration purposes. To help project coordinators understand this complex issue, the European Commission have set up an IPR Helpline, accessible at www.ipr-helpdesk.org.

CONCERTATION
Process of bringing together different parties for consultation and exchange of information. Social Concertation forms part of the European Social Dialogue process. Several EU funding programmes hold Concertation Meetings which bring together participants in different projects to share experience and consider topics of common interest.

CONSORTIUM
The grouping of organisations that will be responsible for the direct implementation of a project.

COORDINATING ORGANISATION
The organisation within a project responsible for the overall leadership and day-to-day management. Normally this is also the Applicant Organisation, although the two roles may in some cases be handled by separate organisations.

COPENHAGEN PROCESS
Process of improving coordination and modernising national systems of VET in Europe. Takes its name from The Copenhagen Declaration issued by the Education Ministers of 31 European Countries, the European Commission and the European social partners in 2002.

CORDIS
Community Research and Development Information Service - an online information service on research and development activities, part of the Office for Official Publications of the European Communities.

COREPER
Permanent Representatives Committee, comprising the permanent representatives (ambassadors) of the Member States of the EU.

COSME
COSME is the EU programme for the Competitiveness of Enterprises and Small and Medium-sized Enterprises (SMEs) running from 2014 to 2020 with a planned budget of €2.3bn. COSME will support SMEs in the following areas: better access to finance for Small and Medium-sized Enterprises; access to
markets; supporting entrepreneurs; more favourable conditions for business creation and growth.

**COST**  
European Cooperation on Scientific and Technical Research - an intergovernmental network supporting cooperation between scientists and researchers across Europe. (DG Informatics (DIGIT))

**COUNCIL OF THE EUROPEAN UNION**  
It is one of the decision-making bodies within the Union. It comprises representatives of governments from the 28 **Member States**. Also known as the **Council of Ministers**.

**CQAF**  
Common Quality Assurance Framework. **EU** framework for assuring quality in **VET**.

**CREATIVE EUROPE**  
This programme replaces the Culture Programme and MEDIA, providing support to the culture and media sectors. (DG Education and Culture)

**CREST**  
Scientific and Technical Research Committee - the chief scientific body offering advice to the European Council and the Commission.

**CSCE**  
Conference on Security and Cooperation in Europe – now the Organisation for Security and Cooperation in Europe (**OSCE**).

**CSF**  
Community Support Framework (DG Regional & Urban Policy)

**CSO**  
Civil Society Organisation.

**D**

**DAPHNE II (2004-2008)**  
Community action programme supporting measures and actions to combat violence against children, young people and women, and to protect the victims and groups at risk. (DG Justice)

**DCI**  
Development Cooperation Instrument – funding instrument for the period 2014-20, supporting the eradication of poverty in the context of sustainable
development, as well as the promotion of democracy, good governance and respect for human rights and the rule of law. (EuropeAid Development & Co-operation (DEVCO))

DECLARATION OF HONOUR
A legally binding declaration from the Project Contractor submitting a project application, acting as both a formal request for funding and as a warranty inter alia that the information in the application is correct, and that the organisation has the capacity to carry out the project and is financially sound.

DELIVERABLE
A term used in project management to refer to the end result or product of a particular stage of the project’s work, normally of a workpackage. Distinction is sometimes made between internal deliverables (i.e. which are for the benefit of the project team and are essential elements of the working process) and external deliverables which are final products to be presented to the project’s external stakeholders and beneficiaries.

DG
Directorate-General of the European Commission.

DISSEMINATION
A planned process of providing information on the quality, relevance and effectiveness of the results of programmes and initiatives to key actors and stakeholders. It occurs as and when the results of programmes and initiatives become available.

DISSEMINATION AND EXPLOITATION PLAN
A plan for dissemination and exploitation that indicates those dissemination and exploitation activities that are going to be carried out during a project’s lifetime (and possibly afterwards). Dissemination and exploitation are now frequently referred to as valorisation.

DOMs
Départements Outre Mer – French overseas departments that are part of European Union territory (in contrast to OCTs).

EACEA
Education, Audiovisual and Cultural Executive Agency, a body jointly established by the European Commission’s DG Education and Culture, Communication and Humanitarian Aid to manage certain parts of the EU’s programmes in the fields of education, training, culture, audiovisual, youth, sport and volunteering.
Trade Unions and Transnational Projects

EAFRD
European Agricultural Fund for Rural Development – one of two funds supporting the delivery of the CAP from 2007. (DG Agriculture & Rural Development (AGRI))

EAGF
European Agricultural Guarantee Fund - one of two funds supporting the delivery of the CAP from 2007. (DG Agriculture & Rural Development (AGRI))

EaSI
The EU Programme for Employment and Social Innovation 2014-2020 (EaSI) brings together the former EU programmes PROGRESS, EURES and Progress Microfinance. As of January 2014, these programmes form the three axes of EaSI.

EBRD
European Bank for Reconstruction and Development.

EC
European Community – the union of the ECSC, EURATOM and the EEC, created by the Single European Act in 1986.

ECA
European Court of Auditors.

ECB
European Central Bank.

ECJ
European Court of Justice.

EMPLOYABILITY
Capacity for people to be employed. It relates not only to the adequacy of their knowledge and competences, but also the incentives and opportunities offered to individuals to seek employment.

ECSC
European Coal and Steel Community, established in 1951, to provide a common market in coal and steel between France, Germany, Belgium, Luxembourg, the Netherlands and Italy. The first stage in the evolution of the current EU.

ECVET
European Credit System for Vocational Education and Training – European framework to support mobility and facilitate the transfer, validation and recognition of vocational education and training between different systems and countries. (DG Education and Culture)
EDF
European Development Fund - the main instrument providing Community aid for development cooperation with the ACP countries and the OCTs. (DG Europeaid Development & Cooperation (DEVCO))

EEA
European Environment Agency.

EEA
European Economic Area (European Union and EFTA countries, with the exception of Switzerland).

EEAS
European External Action Service. Created in 2009, the EEAS is the European Union’s diplomatic corps. It supports the EU foreign affairs chief (High Representative for Foreign Affairs and Security Policy) in conducting the common foreign and security policy. It has Delegations around the world representing the EU as a whole.

EEC
European Economic Community, established by the Treaty of Rome in 1957. Replaced by the EU – European Union.

EEO
European Employment Observatory – provides information, comparative research and evaluation on employment policies and labour market trends in the EU, Norway, Iceland, Croatia and Turkey, the information base for the European Employment Strategy (EES). (DG Employment, Social Affairs & Inclusion (EMPL))

EES
European Employment Strategy - coordinating the EU’s policies in order to create more and better jobs. Within this framework, annual Employment Guidelines are produced at European level, which then form the basis for National Reform Plans (NRPs). (DG Employment, Social Affairs & Inclusion (EMPL))

EESC
European Economic and Social Committee - advisory body to the European Council, European Commission and European Parliament, representing the interests of the various social and economic groups, including employers and employees.

EFTA
European Free Trade Association (Iceland, Norway, Liechtenstein and Switzerland).
EIDHR
Originally the European Initiative for Democracy and Human Rights, a European Union funding programme that aimed to promote and support human rights and democracy in third countries. In 2007, it was superseded by a new European Instrument for Democracy and Human Rights (EIDHR), supporting a thematic programme for the promotion of Democracy and Human Rights Worldwide. (DG Europeaid Development & Cooperation (DEVCO))

EMI
European Monetary Institute. (DG Economic and Financial Affairs)

EMU
Economic and Monetary Union.

ENPI

ENQA-VET
European Network on Quality Assurance in Vocational Education and Training.

EQARF
The European Common Quality Assurance Reference Framework for Vocational Education and Training (EQARF) is intended to serve as a reference instrument to help Member States to promote and monitor continuous improvement of their VET systems, based on common European references. (DG Education and Culture)

EQF
European Qualifications Framework – proposed common European framework to describe learning outcomes, covering entire span of qualifications, both academic and vocational. (DG Education and Culture)

ERASMUS+
The new Erasmus+ programme supports actions in the fields of Education, Training, Youth and Sport for the period 2014-2020. Erasmus+ replaces: the Lifelong Learning Programme (Erasmus, Leonardo da Vinci, Comenius and Grundtvig), Youth in Action, five international cooperation programmes (Erasmus Mundus, Tempus, Alfa, Edulink, the programme for cooperation with industrialised countries) and the new sport action. (DG Education and Culture)

ERC
European Research Council.
ERCEA
The European Research Council Executive Agency implements and applies the strategies and methodologies of the ERC in the management and operations of the ERC funding activities and programmes

ERDF
European Regional Development Fund – one of the key Structural and Investment Funds (DG Regional & Urban Policy (REGIO))

ESF
European Social Fund – one of the key Structural and Investment Funds. Its focus is on employment, the development of human resources and the promotion of social integration. (DG Employment, Social Affairs & Inclusion (EMPL))

ESIF
European Structural and Investment Funds. A new set of structural and investment funds, adopted in January 2014. They include the European Regional Development Fund (ERDF), the European Social Fund (ESF), the Cohesion Fund, the European Agricultural Fund for Rural Development (EAFRD) and the European Maritime and Fisheries Fund (EMFF).

ESSPROS
European System of integrated Social Protection Statistics (Eurostat).

ETUC
European Trade Union Confederation - the representative body for workers and trade unions at European level and a recognised participant in the European Social Dialogue.

ETUI
The European Trade Union Institute.

ETUI EDUCATION
The education and training department of ETUI. Formerly ETUCO.

EU
European Union, established by the Maastricht Treaty in 1992. Currently comprises 28 Member States (Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, United Kingdom).

EU-CANADA PROGRAMME *
Cooperation programme between the European Union and Canada in the area of Higher Education and training. (DG Education and Culture)
EU-USA PROGRAMME *
Cooperation programme between EU and USA, supporting student mobility, exchanges, development of innovative curricula, research internships, short intensive programmes, teaching assignments and other innovative projects including the use of new technologies and distance learning. First signed in 1995, the Agreement was renewed for the period up to 2013, leading to the Atlantis programme on higher education and training. (DG Education and Culture)

EURATOM
European Atomic Energy Community, established by a second Treaty of Rome in 1957, separate from, but composed of the same membership as, the EEC.

EURES
European Employment Services - brings together the European Commission and the public employment services of the countries belonging to the EEA and Switzerland. Other regional and national bodies concerned with employment issues are also included, such as trade unions, employers' organisations, as well as local and regional authorities. (DG Employment, Social Affairs & Inclusion (EMPL))

EUR-LEX
Online database of EU legislation.

EURO
The official currency of 18 EU Member States.

EUROCADRES
The Council of European professional and managerial staff - EUROCADRES is the European representative organisation for employees who hold professional or managerial posts.

EUROJUST
Eurojust is a European Union body established in 2002 to enhance the effectiveness of the competent authorities within Member States when they are dealing with the investigation and prosecution of serious cross-border and organised crime.

EUROMED MEDITERRANEAN DIALOGUES (2004-2005)*
The Mediterranean Dialogues focused on the 3rd section of the Barcelona declaration (Barcelona Process), which aimed to bring about better information and active dialogue between the citizens on the two sides of the Mediterranean.

EUROPE 2020
Successor to the Lisbon Strategy. Europe 2020 is the EU's growth and jobs agenda for the coming decade. Launched in 2010, and designed to build
a smart, sustainable and inclusive economy. Concretely, the strategy has set five objectives - on employment, innovation, education, social inclusion and climate/energy - to be reached by 2020. Actions at EU and national levels underpin the strategy.

EUROPA
Main web portal of the European Union, with links to other EU servers. URL: [http://europa.eu](http://europa.eu)

EUROPASS
Single European framework for transparency and recognition of both formal and non-formal learning, including CV, Mobility (record of periods of training abroad), Diploma Supplement, Certificate Supplement and Language Portfolio. (DG Education and Culture)

EUROPE FOR CITIZENS
The Europe for Citizens Programme 2014-2020 is intended to strengthen the dialogue between the EU and its citizens, to contribute to citizens’ understanding of the Union, its history and diversity; and to foster European citizenship and improve conditions for civic and democratic participation at Union level.

EUROPEAID
The EuropeAid Cooperation Office’s mission is to implement the external aid instruments of the European Commission which are funded by the European Union budget and the EDF.

EUROPEAN COMMISSION
The civil service of the EU.

EUROPEAN COUNCIL
Highest decision-making body of the EU, comprising presidents and prime ministers of the Member States.

EUROPEAN PARLIAMENT
Currently composed of 751 MEPs, elected by voters in the Member States for a period of 5 years.

EUROPEAN SOCIAL DIALOGUE
Consultation procedures involving the European social partners: BUSINESSEUROPE, CEEP, ETUC and UEAPME. It encompasses discussions, joint actions and sometimes negotiations between the European social partners, and discussions between the social partners and the institutions of the European Union.

EUROPOL
Europol is the European law enforcement organisation, aiming to improve the effectiveness and cooperation of the competent authorities in the Member States in preventing and combatting terrorism, unlawful drug trafficking and other serious forms of international organised crime.
EUROSTAT
Statistical office of the European Union.

EURIDYCE
Information network on education in the European Union. (DG Education and Culture)

EVALUATION
Evaluation (at project level) allows a qualitative and quantitative assessment of the results achieved against the aims (as regards activities/products). Evaluation (at EU programme level) is defined as a judgement of interventions according to their results, impacts and the needs they aim to satisfy.

EWC
European Works Council – body for the information and consultation of workers in European-scale enterprises. EU Directive 94/45/EC imposes this as an obligation on any undertaking with at least 1,000 employees within the Member States and at least 150 employees in each of at least two Member States.

FINAL BENEFICIARY (END BENEFICIARY)
A final beneficiary is an individual or an organisation directly and positively influenced by the outcome of a project. Not necessarily receiving a financial grant and possibly not directly involved in the project, the beneficiary may exploit project outcomes for its own purposes.

FOLLOW-UP ACTIVITIES
Follow-up activities take place after a project is finished in administrative terms. Their aim is to keep results alive and sustainable. They may include updating results, certifying the results, further take-up of the results, transfer of the results to another sector or target group, or the commercialisation of the results.

FORMAL LEARNING
Learning typically provided by an educational or training institution, structured (in terms of learning objectives, outcomes, time or support) and leading to certification.

FORMATIVE EVALUATION
Evaluation activities undertaken during the course of a project or other activity to ensure that work is on course or to enable corrective action to be taken in the event of any problems. This kind of evaluation provides import feedback for the project team.
HORIZON 2020
The new EU Programme for Research and Innovation, successor to the 7th Framework Programme for Research and Technological Development

ICT
Information and Communication Technologies.

IEA
International Energy Agency (OECD).

ILO
International Labour Organization - specialised agency of the United Nations, dealing with labour issues and promoting equitable employment practices, workers' rights, social protection and social dialogue.

IGC
Inter-Governmental Conference.

INFORMAL LEARNING
Learning resulting from daily life activities related to work, family or leisure. It is not structured (in terms of learning objectives, outcomes, time or support) and typically does not lead to certification.

INFORMATION SOCIETY
Distinctly European term, relating to the development and use of ICT applications and content within a social context that enables all citizens to participate in a knowledge-based and information-based economy and society.

INNOVATION
Innovative results are those which represent some new and distinctive features, distinguishing them from others with similar characteristics, and adding value in relation to conventional solutions.

INTERGENERATIONAL LEARNING
Learning that occurs through the transfer of experience, knowledge or competences from one generation to another.

IPR
Intellectual Property Right.

IPA II
Instrument of Pre-Accession Assistance, providing support for countries seeking to join the EU and replacing the former PHARE, ISPA, SAPARD and
CARDS Programmes and the support programmes for Turkey. Helps build the capacities of those countries throughout the accession process. Current beneficiaries are the EU Candidate Countries: the Former Yugoslav Republic of Macedonia, Iceland, Montenegro, Serbia, and Turkey, and potential EU candidates: Albania, Bosnia and Herzegovina, Kosovo. (DG Enlargement)

**IST**
Information Society Technologies.

**ITUCs**
Trade Union Inter-regional Councils.

**IVT**
Initial Vocational Training.

**KNOWLEDGE-BASED SOCIETY**
A society whose processes and practices are based on the production, distribution and use of knowledge.

**LEARNING COMMUNITY**
A community that widely promotes a culture of learning by developing effective local partnerships between all sectors of the community and supports and motivates individuals and organisations to participate in learning.

**LEARNING ORGANISATION**
An organisation that encourages learning at all levels (individually and collectively) and continually transforms itself as a result.

**LEARNING REGION**
A region in which stakeholders collaborate to meet specific local learning needs and implement joint solutions to common problems.

**LEARNING SOCIETY**
A society that widely promotes a culture of learning. See the European Commission Communication *Teaching and Learning: Towards the Learning Society*.

**LETTER OF INTENT/COMMITMENT**
A formal letter from a partner organisation within a project consortium, submitted as part of the application process and stating its agreement to participate according to the project plan and budget and to accept the financial and administrative conditions.
**LIFELONG LEARNING**
All learning undertaken actively throughout life, with the aim of improving knowledge skills and competences within a personal, civic, social and/or employment related perspective.

**LIFELONG LEARNING PROGRAMME***
A framework funding programme (2007-2013), designed to foster innovation in and cooperation between education and training systems in participating countries at every stage of life. It integrated the previously separate Come-nius, Erasmus, Leonardo da Vinci and Grundtvig Programmes. It has now been subsumed within the new *Erasmus+ Programme.* (D-G Education and Culture)

**LISBON STRATEGY/LISBON AGENDA***
Now replaced by *Europe 2020.* At its meeting in Lisbon in March 2000, the *European Council* set a new goal: to become, within a decade, ‘the most competitive and dynamic knowledge-based economy in the world, capable of sustainable growth with more and better jobs and greater social cohesion’. The ‘Lisbon Strategy’ covered matters such as research, education, training, Internet access and on-line business, as well as a reform of Europe’s social protection systems.

**LISBON TREATY**
The *Treaty of Lisbon amending the Treaty on European Union and the Treaty establishing the European Community* (also frequently referred to as the ‘Reform Treaty’) came into force on 1 December 2009. It takes the form of a series of amendments to two key documents - the *Treaty of Rome* (establishing the *European Community* in 1957 which is now renamed as the *Treaty on the Functioning of the European Union*) and the *Maastricht Treaty* of 1992 (establishing the *European Union*) – as well as introducing some technical adjustments to the 1957 *Euratom Treaty.* The new treaty removed the three ‘pillars’ of the Maastricht Treaty, effectively terminating the existence of the European Community, meaning that now the European Union has a single legal personality. The Lisbon Treaty emerged as a compromise measure, following the failure of certain *Member States* to ratify the proposed *Treaty Establishing a Constitution for Europe.*

**MAASTRICHT TREATY**
The Maastricht Treaty, which came into force on 1 November 1993, established the European Union (*EU*), consisting of three ‘pillars’: the European Communities, the Common Foreign and Security Policy (*CFSP*) and police and judicial cooperation in criminal matters. It also introduced the concept of European citizenship, reinforced the powers of the *European Parliament* and launched the process of *EMU.*
MAINSTREAMING
The process through which innovative activities and their results are transferred into general policy and practice.

MEP
Member of the European Parliament.

MILESTONE
Milestones provide the basis by which project implementation is monitored and managed. They are key events that provide a measure of progress and a target for the project team to aim at, including most frequently the date estimated for completion of an activity, a workpackage or a deliverable.

MISEP
Mutual Information System on Employment Policy - network to collect and share information on labour market policy measures in the Member States. Part of the EEO. (DG Employment, Social Affairs & Inclusion (EMPL))

MOBILITY
Spending a period of time in another Member State in order to undertake study, work experience, or other learning or teaching activity or related administrative activity, supported as appropriate by preparatory or refresher courses in the host language or working language.

MONITORING
In relation to a project, monitoring involves continuous and systematic control of the project’s progress. The intention is to correct any deviation from the operational objectives and thus improve performance. Monitoring consists of supervision of activities, comparison with the work plan and using the information obtained for the improvement of the project.

NAP*

NARIC
The NARIC network aims at improving academic recognition of diplomas and periods of study in the Member States of the EU, the EEA countries and the associated countries in Central and Eastern Europe and Cyprus. The network received support from the Socrates Programme. (DG Education and Culture)
NATIONAL AGENCY
A body established within one of the Member States with the role of promoting an EU Programme and administering particular aspects of it (see, for example Erasmus+ and Europe for Citizens).

NEEDS ANALYSIS
In relation to a project, a needs analysis is often an integral part of preparation, taking place at the planning stage, before starting the project (ex ante needs analysis). The aim is to define the needs of a target group (future beneficiaries and users of the project results) and to better orientate the project’s activities, with the objective of meeting those needs.

NETWORK
Formal or informal grouping of bodies active in a particular field, discipline or sector.

NICE TREATY
The Treaty of Nice, which came into force on 1 February 2001, provided for the institutional reform needed for EU enlargement with the accession of countries from eastern and southern Europe. The main changes made by the Treaty relate to limiting the size and composition of the Commission, extending qualified majority voting, a new weighting of votes within the European Council, and making the strengthened cooperation arrangements more flexible.

NIS
New Independent States of the former Soviet Union.

NON-FORMAL LEARNING
Learning that is not provided by an education or training institution and typically does not lead to certification. Unlike informal learning, it is structured in terms of learning outcomes, objectives, time and support.

NRP
National Reform Programme - as part of the European Employment Strategy (EES), every Member State draws up a National Reform Programme which describes how the Employment Guidelines are put into practice at the national level. (DG Employment, Social Affairs & Inclusion (EMPL))

OCTs
Overseas Countries and Territories – countries and territories that are constitutionally linked to four of the Member States (Denmark, France, the Netherlands and the United Kingdom) and are not independent states. They are not part of the EU (unlike the DOM) and Community legislation does not apply, unless specifically adopted.
ODL
Open and distance learning.

OJ
Official Journal.

OSCE
Organisation for Security and Cooperation in Europe - with 56 states from Europe, Central Asia and North America, the OSCE forms the largest regional security organisation in the world. Formed in 1995 from the previous CSCE.

OVERHEADS / OVERHEAD COSTS
These terms refer to certain costs, usually relatively small, which are associated with the administration and organisation of a project and which it is difficult to identify and calculate separately from the general running costs of the organisation participating. They include items such as postage, photocopying, heating and lighting. In many cases, a lump sum figure or a small percentage of the project budget is accepted as a means of acknowledging these costs, without the necessity to provide detailed calculations or documents to justify.

OUTCOME
The longer term impact of a project, generally assessed some time after the project’s formal conclusion. (Cf Result)

OUTPUT
A project deliverable may also be referred to as an ‘output’. The term includes any particular services, results, or products that are generated as a result of a particular project-related process. Outputs can come in a multitude of formats, including written reports and specifications as well as material products and prototypes.

PARTNERSHIP
A bilateral or multilateral agreement between a group of institutions or organisations in different Member States to carry out joint European activities.

PLACEMENT
In the context of the Erasmus+ Programme, spending a period of time in an enterprise or organisation in another Member State, supported as appropriate by preparatory or refresher courses in the host language or working language, with a view to helping individuals to adapt to the requirements of the Community-wide labour market, to acquiring a specific skill and to improving understanding of the economic and social culture of the country concerned in the context of acquiring work experience.
Glossary

PMO
Project Management Committee.

PRODUCT
In project management, a term usually employed to refer to one of the tangible outputs of a project.

PROGRESS*
The Progress Programme (2007-2013) has become one of the 3 axes of the new EaSI programme, with 3 key foci: employment, in particular to fight youth unemployment; social protection, social inclusion and the reduction and prevention of poverty; and working conditions.

PROJECT
Cooperation activity with a defined outcome, developed jointly by a formal or informal grouping of organisations or institutions.

PROJECT CONTRACTOR
The organisation or institution responsible for submitting a project for funding, for signing the contract for funding and for carrying the legal and financial responsibility for its execution.

PROJECT COORDINATOR
The organisation or institution in charge of the implementation of a project by a multilateral grouping.

R & D
Research and Development.

R & I
Research and Innovation.

RESULT
The initial impact of a project, generally assessed at the time of the project’s formal conclusion. (Cf Outcome)

RIGHTS, EQUALITY & CITIZENSHIP

ROME, TREATY OF
The Treaty of Rome (March 1957) established the European Economic Community (EEC). A second treaty, signed on the same day, established EURATOM.
RTD
Research and technological development.

S

SAP
Stabilisation and Association Process – process to secure peace, stability and economic prosperity and to promote democracy and the rule of law in the Western Balkan countries.

SAPARD*
Special Accession Programme for Agriculture and Rural Development – funding programme to help Candidate Countries to deal with the problems of the structural adjustment in their agricultural sectors and rural areas. Now replaced by the IPA. (DG Agriculture & Rural Development (AGRI))

SINGLE EUROPEAN ACT
The Single European Act (1986) revised the Treaties of Rome in order to add new momentum to European integration and to complete the internal market. It amended the rules governing the operation of the European institutions and expanded Community powers, notably in the fields of research and development, the environment and common foreign policy.

SINGLE MARKET
The European Single Market came into existence on 1 January 1993. Its aim is to ensure the free movement of people, goods, services and capital within the European Union.

SMEs
Small and medium-sized enterprises.

SOCIAL DIALOGUE
Social dialogue is defined by the ILO as including all types of negotiation, consultation or simply exchange of information between, or among, representatives of governments, employers and workers, on issues of common interest relating to economic and social policy. It can exist as a tripartite process, with the government as an official party to the dialogue or it may consist of bipartite relations only between labour and management (or trade unions and employers’ organisations), with or without indirect government involvement. Concertation can be informal or institutionalised, and often it is a combination of the two. It can be inter-professional, sectoral or a combination of all of these. It can take place at national, regional company or European level (European Social Dialogue).

SOCIAL INCLUSION
When people can participate fully in economic, social and civic life, when their access to income and other resources (personal, family, social and cultural) is
sufficient to enable them to enjoy a standard of living and quality of life that is regarded as acceptable by the society in which they live and when they are able fully to access their fundamental rights.

SOCIAL PARTNERS
Organisations participating in Social Dialogue.

STAKEHOLDERS
Individuals or institutions that may, directly or indirectly, positively or negatively, affect or be affected by a project and/or a programme. Examples of stakeholders in the activity field of education and culture include decision makers, social partners and sectoral organisations.

STRUCTURAL FUNDS*
Now replaced by the ESIF. Major EU funding programmes aiming to reduce disparities between different regions and Member States and to promote economic, social and territorial cohesion. They include the European Regional Development Fund (ERDF), the European Social Fund (ESF) and the Cohesion Fund. (DG Regional & Urban Policy (REGIO) and DG Employment, Social Affairs & Inclusion (EMPL))

SUSTAINABILITY
Sustainability is the capacity of a project to continue its existence and functioning beyond the end of the project period per se. The project results are used and exploited continuously. Sustainability of results implies use and exploitation of results in the long term.

TARGET GROUP
The target group of a project is those who will be affected directly and positively by the project by its activities and its results.

THIRD SYSTEM AND EMPLOYMENT
The ‘Third System’ model is based on the delivery of goods and services which ‘conventional’ providers (the public and private sectors) either cannot provide, or find difficulty in providing, and which at the same time are capable of creating employment opportunities (e.g. welfare and home care services; recycling of waste products, particularly those where there is no effective commodity market; insulation and housing stock maintenance, particularly in social housing funded through public sources; demand for vacations and leisure from those with restricted mobility and low incomes, who need personal care service to be able to participate). There was an EU-funded Third System and Employment Pilot Scheme (1997-2001). (DG Employment, Social Affairs & Inclusion (EMPL))
TRAINEE
A person undergoing vocational training either within a training institution or training organisation or in the workplace.

TRANSFER OF INNOVATION
The aim of the innovation transfer process is the adaptation and/or further development of innovative results of a project, their transfer, piloting and integration into public and/or private systems, companies, organisations at local, regional, national and/or European level. The process has the objective of answering the needs of new target groups and users.

TUTB
Trade Union Technical Bureau – related to research on Health and Safety for workers, now part of ETUI.

UEAPME
European Association of Craft and Small and Medium-Sized Enterprises - the representative body of SMEs and a recognised participant in the European Social Dialogue.

UNCTAD
United Nations Conference on Trade and Development.

UNICE
Union of Industries of the European Community - the representative body of enterprises and employers working in the private sector and a recognised participant in the European Social Dialogue. Since January 2007, known as BUSINESSEUROPE.

UNIDO

VALORISATION
‘Valorisation’ is the French term for dissemination and exploitation of results and is often used in EU documentation.

VET
Vocational Education and Training.
VETPRO
Professionals in Vocational Education and Training – a term used in relation to Mobility actions within the Leonardo da Vinci programme.

VOLL
Vocationally Oriented Language Learning (VOLL) is an approach to the teaching of a foreign language targeted on the professional needs of a specific vocational group.

WBS
See Work Breakdown Structure.

WEU
Western European Union – European defence organisation, with representation from all the EU Member States and Turkey (several with Associate or Observer status only).

WHO
World Health Organisation.

WORK BREAKDOWN STRUCTURE
A work breakdown structure (or WBS) breaks down the work of a project into smaller elements (workpackages and tasks). The WBS reflects the structure of how work on the project will be implemented and performed and in which costs and data will be summarised and reported.

WORKPACKAGE
A term used in project management which refers to the basic building block of a work breakdown structure. In most situations a workpackage can be thought of as a sub-project, comprising one or several tasks.

YOUTH GUARANTEE
Approved by the EU in 2013 as a reply to the rise of youth unemployment, the Youth Guarantee is intended to provide young people under the age of 25 with entitlement to a job, training or education within a defined period.

YOUTH IN ACTION PROGRAMME*
RESOURCES FOR PROJECT WORK
Resources for Project Work

This is a selective list of different kinds of resources which people may find useful in working further on projects and project management. It has a strong English language bias. We would be very grateful for recommendations of other texts/tools which people have found useful, particularly in other languages.

Managing EU Projects: Handbooks


T-kit on Project Management – a variety of highly recommended tools available from the Commission’s Salto-Youth portal. Searchable database of training tools includes the excellent T-Kit on Project Management
http://www.salto-youth.net/
http://www.salto-youth.net/find-a-tool/68.html

Innovation across Cultural Borders: an integrated tool to improve communication in transnational Innovation Project – a product of the EU Innovation programme
http://cordis.europa.eu/tvp/src/culture1.htm

Handbook of Participatory Project Planning Guidelines – useful handbook from Nordic-Dutch Trade Union Centres (FNV, LOFTF, LOTCO, LO Norway, SASK)
Project Management: General Texts


Briner, W., Hastings, C. & Geddes, M. Project Leadership, Gower, UK (1996)

Forsyth, P. First Things First, Pitman, UK (1994)


Portney, S. Project Management for Dummies, John Wiley & Sons, UK (2001)


Wabnegg, H. Gewerkschaftliche Projektarbeit, ÖGB Verlag, Austria (1998)


Project Management: Web sites

There are hundreds of web sites devoted to project management. Some of them run by professional associations of project managers. These include:

http://www.apm.org.uk/
http://www.ipma.ch/
http://www.pmi.org/

Others are libraries of resource materials or blogs on project topics. Here are some of the ones we’ve found interesting or useful:
How to Manage a Camel – a project management blog with interesting articles (see, for example, *Nine fundamental steps to project success*)
http://www.arraspeople.co.uk/camel-blog/projectmanagement/nine-fundamental-steps-to-project-success/

Max’s Project Management Wisdom – another blog with, amongst other things, a fairly exhaustive glossary of project management terminology
http://www.maxwideman.com/pmglossary/index.htm

Project Management Podcast – podcasts on various topics relating to project work and project management
http://www.project-management-podcast.com/

A Girl’s Guide to Project Management – an award-winning blog with a wide range of articles, reviews and other contributions
http://www.pm4girls.elizabeth-harrin.com/

Mind Tools

Project Magazine – series of articles on team working
http://www.projectmagazine.com/

Project Management (MAP) – complete, highly integrated library aimed at the needs of NGOs from the US Management Assistance Program (MAP)
http://www.managementhelp.org/plan_dec/project/project.htm

Strategic Planning (MAP) – comprehensive guide to strategic planning
http://www.managementhelp.org/plan_dec/str_plan/str_plan.htm

Project Kickstart: project tips – useful series of brief tips from the publishers of Project Kickstart software
http://www.projectkickstart.com/html/tips.htm
As well as general office programs (word-processing, spreadsheet, organiser, database) and communications (e-mail, conferencing, document management), there are now hundreds of computer programs and apps designed to help with project work and project management. They vary in sophistication, price, functionality and quality. We mention only a small number here as an indication of what is available. As with any software, you should research thoroughly before purchasing to ensure that it will meet your needs.

Classic tools in this category are essentially single-user, computer-based programs. Some will handle multiple projects, allowing you to coordinate resource allocation.

**Microsoft Project** (Microsoft) is probably the most widely known project management software. Sophisticated and suitable for large projects, but relatively expensive.

**TurboProject** (IMSI) is available in a number of versions and is moderately priced.

**Project Kickstart** (Experience In Software) is simple and easy to use. Can be exported to Microsoft Office programs and MS Project and links with MindManager (see below). Available in a number of languages.

More recent are a wide range of ‘cloud-based’ applications combining classic tools, such as Gantt charts, with increased facilities for team collaboration, often accessible via tablet or smartphone. Here are some that cater for both multiple users and multiple projects.

**Smartsheet**
[http://www.smartsheet.com](http://www.smartsheet.com)

**Zoho Projects**
[http://www.zoho.com/projects](http://www.zoho.com/projects)

**Webplanner**
[http://www.webplanner.com](http://www.webplanner.com)

**Basecamp**
[http://basecamp.com](http://basecamp.com)

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See also Appendix 4.
Ace Project
http://www.aceproject.com

Mind Mapping software can also be a useful tool for use in projects. Here are a couple of examples of what is available:

Mind Genius
http://www.mindgenius.com/

ConceptDraw Project
http://www.conceptdraw.com/

General Internet Resources

Europa
The main website of the European Union provides information on the European Commission, funding programmes and projects, and provides links to other EU servers.
http://europa.eu/

ETUC
The ETUC site includes useful dossiers on a variety of policy areas which may be useful to trade unions in framing project ideas.
http://www.etuc.org

ETUI
The European Trade Union Institute site has a wealth of publications produced by both the Research Department and the Education Department. Also details of courses on project work and on EU funding programmes.
http://www.etui.org

Education & Training

There are a number of sites dealing particularly with education and training policy and programmes of the EU.

Funding Programmes gives an overview of the programmes available
http://ec.europa.eu/education/index_en.htm

SCADPlus provides a general overview of EU policy on education and training
Employment and Social Affairs/ Regional Policy

Similarly, the following sites offer information on EU policy on employment and social affairs and on regional policy:

**DG Employment, Social Affairs and Inclusion** has a wealth of information, and links to a variety of policy areas, on its website [http://ec.europa.eu/social/main.jsp?langId=en&catId=1](http://ec.europa.eu/social/main.jsp?langId=en&catId=1)

**European Social Fund (ESF)**  

**Social Dialogue**: DG Employment, Social Affairs & Inclusion has a dedicated section of its web site at  

**Regional Policy information** is available on the Commission’s site at [http://ec.europa.eu/regional_policy/index_en.htm](http://ec.europa.eu/regional_policy/index_en.htm)