Trade Unions and Transnational Projects

A guide to managing European projects
8th edition
Trade Unions and Transnational Projects: 
A guide to managing European projects

Version 8

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Since the publication of the last edition of this handbook, there have been several important changes in the European Trade Union Institute (ETUI) and in the Education Department. These include new ways of addressing the fresh challenges facing trade unions and trade union education through training activities focusing on the key issues facing the European trade union movement. These new training programmes and supporting materials aim to develop the main skills necessary in trade union work at a European level. They are targeted at officers in our affiliated organisations, in particular at young officers, project managers and trainers. This handbook represents one of the key elements in that process.

The first version of the handbook was produced in 1994. Since then, it has been regularly updated as a means of underpinning our own trade union training activities and supporting and developing those of other ETUC affiliated organisations. It also reflects the ongoing work of the ETUI’s service, SETUP (Support for European Trade Union Projects). The service was established by the Education Department and, through its various activities, including information on funding, newsletters, seminars on project management, training materials and advice, has continued to provide assistance with the development and management of European projects. This edition of the handbook will be available initially in English. 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 eighth edition of the handbook has been revised to take account of the principal changes that have recently taken place in the European Union and of the ever-evolving experience of trade unions in working together on European projects.

Like its predecessors, this revised edition is the work of a team of trade union experts in the management of education and training projects, coordinated by Silvana Pennella (ETUI Education), with important contributions from Roberto Petttenello (CGIL), Frank Vaughan (ICTU), Sylviane Mathy (ETUI Education) who provided valuable assistance with web research, as well as overseeing translation and final production, and Derek Stubbs, an independent consultant and project manager, who also edited the handbook.
This edition of the handbook only exists in an electronic format (Word and PDF). You can download copies and check for updated information on European programmes by visiting the SETUP Service web site at:

http://www.etui.org/Services/Support-for-European-Trade-Union-Projects-SETUP

We hope you find the handbook useful and wish you every success with your projects.

Ulisses Garrido
Director
ETUI Education
2012
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Bibliography and Resources for Project Work
This handbook is written principally for trade union officers involved in education and training, though trade unionists with other responsibilities who are interested in working together on transnational projects will also find it interesting and useful. It is intended as a helpful guide for those 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:

— Consider the need for fresh approaches in education and training
— 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
— Explain the role of the European Commission in supporting transnational initiatives in education and training
— 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. **Chapter One** sets the scene, by looking at the changing world in which trade unions have to operate and recognising the potential which transnational training and education projects can bring to the development of a European trade union culture. **Chapter Two** examines some of the key characteristics of project work, while **Chapter Three** explores the ways in which project work must fit within the broader context of organisational priorities. **Chapter Four** looks at some of the principal challenges concerned with managing European projects and **Chapter Five** then provides a detailed step-by-step breakdown of the process of planning a project. **Chapter Six** looks at issues of monitoring and evaluating project work.

**Part Two** of the handbook then explores the European context for trade union project work. **Chapter Seven** provides a brief introduction to the European Union and its institutions. This is developed further in **Chapter Eight** which explores some of the major current priorities in EU policy and the ways in which they may impact on education and training projects. **Chapter Nine** looks at the role of the European Trade Union Confederation and its activities and policy priorities, particularly in the fields of education and training, while **Chapter Ten** explores one of these priorities in more detail: the development of the social dialogue.

**Part Three** provides information on key areas of European Union support which can be accessed by trade union education and training projects. While the handbook is not a comprehensive compendium on EU funding, these chapters cover programmes and budget lines most likely to be of interest to trade union trainers and educators. They contain the most up-to-date information on these programmes available at the time of writing.
time of publication, but this is a constantly changing field. For more recent information, please consult ETUI SETUP Service (http://www.etui.org/Services/Support-for-European-Trade-Union-Projects-SETUP) and the various European Commission web sites referenced in the text².

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.

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.
PART I : PROJECT WORK
Trade Union Education in a Changing World

In this chapter we outline some of the key challenges which confront trade union education and the ways in which collaboration on transnational projects can help to meet these challenges.

Trade Unions and Education

Since their foundation in the nineteenth century, trade unions have organised and promoted educational activities.

Such activities range from awareness-raising campaigns, promoting a particular policy, to the job-specific training of union officers at all levels. Today many trade unions also sponsor individual members who wish to follow courses of non-vocational education.

At its core, however, trade union education has always sought to support

— The strengthening of union membership and organisation
— The process of negotiating and bargaining with employers, carried out by workers and their representatives
— The achievement of union aims and policy objectives in all areas of society where trade union members and their families have interests to be represented
— The role of trade unions in macro-economic and political discussions, involving civil and political authorities and employers’ organisations.

Trade union education takes many forms. These include face-to-face courses which may last a single day or several months. They may also involve distance learning, using a mixture of mail, telephone, fax, and computer for communications between students and tutors.

The topics covered by trade union education are too numerous to list, stretching from workplace concerns, such as pay, working hours, and equal opportunities, to the role of world trade agreements and the impact of globalisation.

What we can say, however, is that trade union education seeks to meet a rich mixture of needs. These include the collective needs of the trade union as an organisation with defined aims and objectives, as well as the collective needs of a group of workers seeking to improve their conditions of employment. At the same time, trade union education recognises the importance of meeting the individual needs of a union member, representative or officer, in terms of increasing their confidence, skills, and knowledge.

Each trade union, however, has its own history, traditions and organisational culture. Consequently, the detail of the objectives and the scope and methodology
of the training provision will vary enormously from one union to another, and from one country to another.

In many cases, education and training activity is conducted directly by trade unions themselves, using their own resources and teaching staff. In others, activities are carried out in partnership with different organisations (including workers’ education associations, study centres, adult and further education colleges and universities) in order to benefit from the resources which they can provide, such as tutors and trainers, funding, materials and equipment.

Trade union education is carried out at workplace level, at industry level, at national and at transnational levels. Students on a particular course may come from a single trade union, or from many. This handbook, however, takes as its context transnational trade union education and training activities, involving organisations from two or more European countries.

**An era of global change**

We live in an era of increasingly rapid change, brought about principally by the development of new technologies. We can see this in relation to changes in production techniques, but also most significantly in changes to modes of communication. Over the past hundred years - and most particularly over the past 25 years - the world has become effectively a much smaller place.

The combined sales of the world’s top 200 enterprises are now greater than the combined economies of 182 countries - every country on earth, excluding the nine biggest. These corporations have almost twice the economic clout of the poorest four-fifths of humanity. They control well over a quarter of the world’s economic activity. They are truly global in size, outlook, and impact.

Trade unions, therefore, now find themselves dealing with employers who may be more powerful than any they have known. At the same time those companies are more flexible in their structure, due to the increased use of sub-contracting arrangements and the growth of short-term and part-time employment contracts.

The markets for many goods and services are now global ones. Many large enterprises also see the labour market in global terms, taking advantage of local subsidies and lower labour costs in one country compared to another. Everywhere traditional national boundaries are being transcended.

New technology has had a significant role to play in this process. Manufacturing processes can be broken down and dispersed across national boundaries and brought together only at the point of completion of the finished product.

Today’s new technologies enable production processes to be carried out by smaller workforces. Those smaller workforces are increasingly based upon a core of essential workers and a periphery of other workers whose employment can be regulated to meet demand. An enterprise’s core and peripheral workers may not even be employed in the same country, let alone in the same building or on the same site.

The impact of new information and communication technologies has also led to the growth of knowledge or information-based industries. Together with the
development of rapid global communications networks, this has revolutionised the world-wide market for information-based products.

The marketing, distribution, and selling of published materials (in all formats) is on the threshold of tremendous change.

In the hands of bankers and industrialists, capital has always tended to be global. Today the use of computers and modern forms of communication has placed it even more outside of national controls.

All this presents a series of important challenges to trade unions, who increasingly need to operate at a similar transnational level.

**A changing Europe**

Against this global background, Europe is itself undergoing radical change at an economic and political level as it strives for greater coordination through the European Union (EU), whilst at the same time witnessing a resurgence of national and cultural identities.

The European Union seeks the development of an economic bloc, transcending traditional national boundaries. It also seeks to stimulate and create social and political conditions across Europe, allowing the single European (economic) market to function, if not on a level playing field, then at least with the minimum of distortions between EU Member States.

This has created a whole new landscape within which trade unions must work. The free movement of goods and labour throughout the EU presents challenges, many of which trade unions will be familiar with.

At the same time, the harmonisation of key economic and social legislation within the EU presents many new opportunities for trade unions to advance the cause of individual and social protection.

European integration brings the need for closer collaboration between trade unions in responding both to the demands of the internal market and also to the opportunity to make positive contributions to policy-making within the European Union.

As European economic integration proceeds and the Union itself grows in size with the accession of countries from the Mediterranean region and Central and Eastern Europe, trade unions more and more need to develop their international consciousness and practice. This places demands upon the ability of trade unionists to “think local and act global”.

There is much to learn and understand about the industrial and employment practices of other European countries, as well as their trade union practices. There are also questions of language and culture which have to be addressed, in order to arrive at European trade union policies and objectives which mean as much to workers in offices, factories, shops, and hospitals, as they do to the trade union leaders who discuss and agree them at European meetings.
Transnational trade union education

In this context, transnational cooperation on education and training activities can assist the process of developing greater understanding and awareness of the European dimension to local and national trade union work.

Such cooperation, at the level of trade union officers and representatives, can also support the processes of developing and implementing transnational trade union policy and initiatives.

A European perspective in trade union work is by no means a new thing. Many unions have European departments and there have long been European associations of trade unions. Equally, there has been European monitoring of major corporations and displays of solidarity in European disputes since the nineteenth century.

Often, however, European work has been seen as a somewhat specialised and isolated activity, away from the mainstream aims of the union, and remote from the day-to-day experiences of most of its members and officers.

In the changing world we have outlined - and particularly in the changing Europe in which we live and work - the transnational dimension needs to be brought into the centre of trade union activity, if we are to respond effectively to the challenges which confront us.

It is within this context that this handbook is written. It starts from a premise that trade unions have a key role to play in responding to those global challenges which we are all faced with today: of creating employment opportunities, managing industrial change, combating social exclusion, and establishing a more open, democratic, European and international culture.

In meeting these challenges trade union education and training departments have a significant contribution to make.

Trade union education and Europe

A wide range of education and training activities with a European dimension already takes place. Many of these are coordinated by ETUI Education, the training service of the European Trade Union Confederation (ETUC). Equally, there are many national training activities which include a European dimension and which are seen as important elements of the normal work of a trade union. Some trade unions have also established a continuing programme of educational exchanges and transnational workshops which support their cooperation activities.

Since the autumn of 2008, European and international trade unionism has been faced with a global crisis which has had an impact on economic, financial, social, environmental issues and has affected employment on a scale not previous experienced. Given this crisis, the ETUC, its partners and affiliated organisations are developing measures and campaigns that aim to combat it and to develop a more equitable society. This strategy rests on demands for more and better quality jobs, stronger social protection systems to ensure greater security and avoid social exclusion, better employment rights, the strengthening of collective bargaining, and greater European solidarity in the face of the excesses of casino capitalism.
To confront these new and urgent situations, the Education Department has begun to develop actions with the following objectives:

- **A closer relationship with affiliated organisations**, based on concepts of ‘partnership’, with service contracts facilitating closer collaboration and shared responsibility for training pathways that respond to the needs of the organisation.

- **A higher profile for educational measures**, taking account of the very diverse realities which cut cross trade unionism and systems of industrial relations in Europe, and of the need for affiliated organisations to consider strategies for training their leaders and educators in the objectives set for the various activities.

- **Strategic trade union courses**, with priority given to certain courses which focus on the essential roles of European trade unionism - namely young trade union officers, project managers and trainers. Two of these activities are currently under development; the third, concerning project managers, has started during the autumn 2009 and will be operational for the 2012-13 programme.

- **Validation of the skills of trade union officers and Euro-trainers.** The introduction of a system of validation or certification based on the principle of voluntary participation by affiliated organisations and stakeholders and involving:
  - A unit-based credit system, compatible with all systems of certification, all types of learning and all approaches to education
  - Flexible individual learning paths, where learners can accumulate the required units of learning outcomes over time, in different countries and in different learning modes in order to achieve a qualification
  - The opportunity to draft common standards for vocational education and training (VET) qualifications, given the common structure and conventions.
  - An ongoing process, demanding genuine and lasting commitment from the institutions and authorities concerned, the social partners, sectors and providers, as well as strong synergies between the initiatives adopted at European, national and sectoral levels.

**The role of transnational project work**

Alongside the new approaches to education and training outlined above, it is crucial that the European trade union movement takes advantage of the opportunities to work together on specific projects of mutual interest and benefit. Working together in this way is an important element of building a common European trade union culture and brings many benefits. Transnational cooperation on project work offers trade unions the possibility of mutual assistance, as well as being a potentially important motor for innovation and change. Projects can provide important vehicles for:

- The sharing of perspectives and information
- The development of new ideas, techniques and materials
- The pooling of resources to achieve more ambitious goals
- The dissemination of examples of best practice in particular areas
- The coordination of individual national initiatives
- The opportunity to pilot innovative approaches
- The development of a broader European trade union culture
- The establishment of ongoing networks at a European level.
It is on this area of project work and its specific qualities that Part One of this handbook focuses.

There are many examples of previous European projects, involving a wide range of trade union organisations throughout Europe. Some examples are referred to in this handbook. Examples of others can be found on the ETUI Education web site\(^3\), on other web sites maintained both by trade union organisations and by the European Commission, as well as in reports produced by the various EU funding programmes. Part Two of the handbook explores further the European context for project work and Part Three possible sources of funding.

Throughout, however, we need to keep in mind our main objectives in undertaking this kind of work: to improve the quality of trade union education - a key resource for strengthening the European trade union movement, building solidarity and shaping a European trade union identity.

\(^3\) See [http://www.etui.org/Services/Support-for-European-Trade-Union-Projects-SETUP](http://www.etui.org/Services/Support-for-European-Trade-Union-Projects-SETUP)
Chapter 2

The Nature of Project Work

This chapter provides a brief overview of project work and its distinctive features. It looks at the important role of teamwork and at the relationship between time, cost and quality in project work, as well as taking account of risk factors.

What is a project?

All projects share one determining set of characteristics: they are the combination of new ideas and activities in a wholly unique and novel endeavour. This means that the path from conception to realisation can never be foreseen with total accuracy. Before we begin, we will need to plan carefully and predict major difficulties, but there will always be unexpected problems that have to be dealt with.

Projects can come in all shapes and sizes. Here are some examples:

- Organising an international conference
- Building the Great Pyramid
- Marketing a new brand of chocolate
- Designing Airbus
- Building a new hotel
- Conquering Gaul
- Moving to new office accommodation
- Mounting a recruitment drive.

What links all these is that they each constitute a unique endeavour with a clear goal. As such, they also have a clear beginning and a definite end.

As you can see, projects are often complex undertakings, combining the skills of different sets of people and organisations and drawing on a whole range of materials and resources. This calls for particular skills in managing - having a clear and consistent vision of the goal of the undertaking, organising tasks, people and resources effectively, foreseeing risks and problems and evolving strategies for dealing with them - in order that the project can be completed successfully.

Although there are common elements, managing a project differs in important respects from managing an ongoing organisation in, say, a service or manufacturing industry. There, energies are focused on maintaining or refining what is essentially a continuing activity - running a transport system, selling clothes, assembling cars. Projects, however, are one-off activities. No two are ever entirely alike.

It will be clear from the list above that working on projects is not a new phenomenon. What is new, however, is the analytic approach to thinking about projects and the development of sets of skills and techniques associated specifically with project management. These sets of sometimes highly sophisticated and technical procedures have been developed principally over the past 60 years, particularly in the areas of construction, civil engineering and defence systems. Whilst some of the detailed techniques may not be relevant to the size and scope of projects we are concerned with here, the underlying concepts and approaches can be extremely useful.
Trade unions and transnational European projects

Few of the project examples we’ve quoted so far in this chapter have much to do with trade unions and none is concerned with transnational education and training. Before we go any further, then, let’s offer a few examples that are more specifically oriented to trade union education:

— A three-year project, involving six trade union organisations from three different European countries, to design and deliver six innovative training modules for young unemployed people
— A two-year project, with six trade union organisations and an external consultant, examining the role of trade union officers in different countries, moving from an analysis of occupational functions to the formulation of training needs at a national level, and exploring the possibility of establishing common standards and programmes at a European level
— A two-year project involving nine national trade union training organisations, five European industry federations, the European Trade Union College and two universities, to explore the use of information society tools to enable partners to participate more effectively in social dialogue and support the process of adaptation to the new economy
— 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 two-year 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.

These are just some of the quite diverse range of projects in which trade union organisations have collaborated in recent years at a European level. And, of course, this handbook originated as one of the products of another such transnational project.

We will be drawing on the experiences of these and other projects to illustrate various points later in the handbook. They may also provide some idea of what kinds of collaboration have proved feasible in the past as well as acting as a stimulus for new initiatives in the future. At the same time, however, it is important not to be limited by the ideas of others in the mistaken belief that emulation is safer than innovation.

Project phases

Although each project will be unique and have its own distinctive trajectory, most projects follow a similar sequence of major phases:

— First, there is the initial stage of conception - having the initial idea, defining the goals of the project, identifying the key team members, planning a schedule and budget.
— Next, there is often a user needs analysis – researching in more detail the situation and specific needs of the people who will be using the product or service which the project aims to develop.
— Then there is usually a design stage, where the detailed planning of the final product takes place - be it an office block, a computer database, an advertising campaign or a seminar.

— Then comes the implementation phase, when the results of the design stage are realised - the office block is constructed, the database is programmed and tested, the campaign is launched and the seminar takes place.

For some projects the implementation phase may represent the conclusion, but for many there will be supplementary phases which are likely to vary according to the nature of the project:

— For the office block there will be a commissioning phase, as the building is handed over to the client and brought into use.
— For the database, too, there is likely to be a commissioning phase, as well as a maintenance process.
— The outcomes of the advertising campaign are likely to be analysed in an evaluation phase.
— The seminar, too, will be evaluated and its major conclusions may need to be more generally publicised in a dissemination phase.
— And for most projects there will also be an exploitation phase, where the products of the pilot projects are developed further and brought within the mainstream activities of the organisation or applied in other contexts. Sustainability and exploitation beyond the period of the project itself are key elements of consideration for both project organisers and funders.

This, though, represents only a broad outline structure of the stages through which a project may pass and each will need to be broken down into a much more detailed set of activities and tasks, before the real business of managing the project can begin.

**Key elements**

Managing the project, however it is achieved, involves coordinating four key elements in order to realise the original goals of the project:

— The project team
— The product performance or quality
— The time scale
— The cost

The first of these elements - the team - calls for skills in understanding and managing people, while the other three are principally concerned with the material aspects of the project. All, however, are dynamically interrelated.

**The Project Team**

If we look at the examples of trade union projects given earlier, we will see that not only do they have quite specific goals and clearly limited time-scales, but 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 our examples not all the partner organisations are trade union bodies. There are instances of collaboration with universities, commercial enterprises and consultancies. It is likely that different partners may have somewhat different emphases and want different things from the project. In these cases, 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.

**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 triangle⁴:

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.

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.

**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 seen some of these risks in the previous section – 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.

**Summary**

In this chapter we have explored some of the basic characteristics of project work. Here again are some of the key points we have covered:

— Every project is a unique undertaking.
— Projects have specific goals.
— Projects have limited time-spans with clear beginnings and ends.
— Many projects involve similar sets of major phases - conception, design and implementation.
— Projects also involve four key elements - the team, cost, time and quality.
— Project teams are likely to involve people from different disciplines and organisations and - in the case of transnational projects - people from different languages and cultures.
— Projects often operate outside or across normal institutional structures.
  Successful projects understand the relationship between time, cost and quality objectives.
— Projects involve risks, which successful projects recognise and avoid.

We shall return to these ideas in more detail in subsequent chapters.
Chapter 3

Understanding the Organisational Context

Most projects operate within an organisational context. In this chapter we are going to look at:

— The importance of understanding the organisational context in which a project is located
— The use of projects in developing and piloting solutions to organisational needs
— How projects relate to organisational structures
— The importance of identifying project stakeholders and understanding and negotiating their various interests.

The project as an organisational tool

Projects, as we have seen, are focused initiatives with limited objectives, limited duration and limited resources. Viewed from an organisational perspective, effective projects can often best be thought of as measures to devise and test potential solutions to problems which the organisation has encountered. They can provide the organisation with the tools to design and pilot new products or services, or to find ways of improving current practice, within a defined framework and a specific commitment of resources.

The projects that an organisation undertakes need to be closely related to its central strategic planning. 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. In this way, although at an operational level it may sit somewhat outside the normal structure and workflow of the organisation, the project can be seen to be contributing directly to its ongoing development.

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’ 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 products and services. As we noted in the previous chapter, many projects include a formal needs assessment as an early phase of the project work, in order to provide a more detailed definition of user needs.

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. Equally, the results of the evaluation need to be fed back into the larger organisation.

It is important to recognise, too, the possibility 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 which does not achieve its anticipated objectives may nonetheless be extremely valuable in providing important information and experience that can still 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. 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 perhaps in that of other affiliates and sister organisations. In a trade union education context, this may involve, for example, taking a training package in a new field, which has been produced and piloted in a project context, revising it in the light of the feedback obtained, and offering it within the mainstream programme of courses.

Managing organisations and managing projects

Within this view of the role of project work in an organisational context, we need to look in more detail at how the management of the project relates to the management structures of the organisation and to be aware of areas where problems may emerge.

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 Figure 3.1.
It’s a pyramid, or hierarchy of different levels, vertically structured into departments of one kind or another. It could equally well be a commercial organisation, an education institution or a charity body. If it’s an engineering company, the department boxes might be labelled Design, Production, Purchasing, Sales, Accounts, Personnel, etc.; if it’s a trade union, they might be Membership, Field Officers, Education, International, Finance. At the top is likely to be a Chief Executive or a General Secretary, answerable ultimately to a Board of Directors or a General Council. 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. 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.

Let’s take the example of a manufacturing company, which wants to produce a range of new product lines. Each project team may well include people drawn from design, production, purchasing, sales and other departments, who may also hold different positions within the hierarchy. How are these projects to be fitted into the overall management structure of the organisation?

One frequent solution - which might equally well be applied to 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 in Figure 3.2:
When it functions well, this so-called ‘matrix’ structure can be very effective. However, as you can see, each project manager in coordinating his/her own project has to rely on the cooperation of the departmental line managers to progress the work on a particular project, 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 conflict needs to be recognised and understood.
— Before embarking on the project, the aims need to be clearly defined and there needs to be general agreement about the place those project aims have in helping the organisation achieve its larger goals, which 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.

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.
Working with stakeholders

It is also clear, though, that in many projects there are not simply the interests of a single organisation to be considered, but those of several. 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 coordinating organisation, 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 attitude and expectation 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.

To summarise, then:

- Projects can be seen as important tools to address organisational needs.
- To be effective, projects need to be understood and integrated within their wider organisational context. This also means ensuring institutional support and ‘buy-in’ at senior level.
- Lastly, there is a need to consider and address the needs of all the project stakeholders, both inside and outside the sponsoring organisation.
Chapter 4

Managing Projects

In Chapter Two we touched on some of the key elements at work in any project

— The Team
— Quality
— Time
— Cost.

Although each of these is different in kind, each exerts its own influence and pressures on the project as a whole. These are the elements that need to be managed, if the goals of the project are to be achieved. This chapter will concentrate mainly on managing the team, which calls for particular understandings and skills to do with working with people. It will also touch on some of the difficulties associated with managing quality, time and cost, as well as considering the skills needed by the project manager.

Managing the team

In the last chapter we looked at the project from an organisational perspective. The work team is likely to be a much more fluid organism than the organisation itself - more informal in its relationships and more egalitarian in its structure. If it’s working well, these are enormous benefits, which can enable it to 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. 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 meld those individual ‘projects’ and focus them within a single overall trajectory.

Team roles

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\(^5\), 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 are occupying 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.

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.

Any work team has 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. They may
disappear for a time, only to surface later in a more serious form. It is important to try to establish a constructive working context, to be continually alert to such difficulties and to deal promptly and openly with problems when they arise.

**Transnational projects**

Team problems can become even more complex 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.

Some of the trade union projects we mentioned in Chapter Two initially found difficulties here. These are some of the problems they found:

- People from different organisations came with different degrees of authority - in some cases, individuals were empowered to commit their organisation to particular decisions of the project team; others needed constantly to refer back to other parties before any progress could be made, with a consequent impact on the project’s ability to deliver tasks on schedule.
- Some organisations accorded the project a very high priority, delegated experienced staff and provided a high level of resources; others regarded it very differently and sent staff with little experience of the field.
- Some members of project teams found it impossible to reconcile the work demands of the project with their existing work commitments. Tasks for which they were responsible slipped behind schedule. This had a knock-on effect on the work of other partners and the overall delivery of the project.
- In some cases, unions found it impossible to sustain an involvement throughout a long-term project and the composition of the project team changed. This posed another problem for effective team work.
- Some unions wanted to tackle issues of, for example, unemployment in a more directly political way than others.
- Often partners joined the project with different aims in view. For example, in one of the training projects 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 joined a project without any clear motivation or any view of how their own organisation might benefit from the project. This meant that commitment was low and there was no agreement or understanding about how the results of the project could 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 of the cases, it proved impossible to resolve these tensions and the outcome of the projects was significantly affected. In others - including the youth training project, which eventually produced a number of sub-projects, each with two partners - effective working solutions were found. In all cases, though, they were problems which had not been foreseen and planned for, and which took valuable working time to resolve. Many could have been avoided by clearer agreement at the outset about:

- Aims
- Priorities
- Resources
- Decision-making structures
- Communications

- in other words, by more careful preparation and planning.

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 great hindrance to effective communication. Again, in some of the projects this was not planned for at the outset. Discussions moved uneasily across several languages, with different partners being excluded from communication at different points. In other instances, English was the working language with, for example, an English- and Spanish-speaking Italian partner translating for a Spanish colleague, who understood no English. Whilst this may work reasonably for much of the time, there may also be important occasions when an initial misunderstanding by the Italian becomes compounded by a mistranslation into Spanish.

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 sure 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 unlikely to 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 might 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 glossaries⁶ or even jointly to compile a list of key terms for your individual project. Finally, although they are far from foolproof, online machine translation tools⁷ 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 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. We need to be aware, too, that trade union education occupies a different role within different national cultures and in some countries is more centralised and professionalised than in others. Also crucially, there are often divergences in training methodology between different European unions.

What is important in managing the situation is to understand the differences and to try to capitalise on the strengths of this diversity.

**Time, Cost and Quality**

So far we have been considering issues concerned with managing teams. We should, however, briefly note some of the problems our transnational projects had with those other key elements of Time, Cost and Quality. These are some of the difficulties they encountered:

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⁶ See, for example, the European Commission’s Inter Active Terminology for Europe at: [http://iate.europa.eu/iatediff/](http://iate.europa.eu/iatediff/).

⁷ See, for example, [http://www.systran.co.uk/](http://www.systran.co.uk/) and [http://www.worldlingo.com/products_services/worldlingo_translator.html](http://www.worldlingo.com/products_services/worldlingo_translator.html).
Time
— In some cases there was no clear time-plan for the project.
— Too much time was spent on redefining the aims and/or on administration, and there was insufficient time to progress the key tasks.
— Often the goals set were unrealistic for the timescale allowed.

Cost
— In some cases the budget was not discussed with all partners before the project began.
— The labour costs in the budget were not always related to the time actually spent on the project.
— Partners often found that their costs were higher than originally planned.
— Partners did not understand or found it difficult to comply with the cost-reporting systems required.

Quality
— In some instances, partners’ commitment to projects was obtained with little explanation or understanding of the implications.
— Detailed objectives and quality criteria were not clearly formulated at the start of the project.
— Expectations about quality often varied within the team, as did the quality of actual contributions from individual partners.
— There were difficulties in producing quality outcomes which were effective both at European and at national levels.

There is not space to explore all these issues in detail here, but if we look carefully for the causes of the difficulties, they can almost all be attributed to a single cause: a lack of careful preparation and planning.

The Project Manager
So far in this chapter we have
— Considered some of the principal features of team work.
— Examined some of the specific difficulties associated with transnational teams.
— Noted briefly some other common problems encountered in transnational training projects.

Let us now focus for a moment 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 also have different styles of operating. In general, however, thinking about what we have learned in this chapter, it is 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 so, 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 information technology 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**

The profile of the project manager we have just sketched out 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 is leading 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 experts⁸.

This chapter has focused centrally on the project team and some of the problems which can arise in team-work, particularly at a transnational level. It is important that the core team is involved in the planning process. In larger projects this process will almost certainly include some face-to-face meetings. Most projects will also benefit from an early Start-up Workshop, involving all the key participants – to enable people to get to know each other, to act as an induction meeting to the project, and also to explore some of the potential difficulties we have noted here.

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⁸ For more information on project management training, see Appendix 8
However, we should also think, in developing and planning a project, whether there is 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.

**Preparation and planning**

At the heart of good management is sound preparation and planning. Many of the difficulties encountered by the projects we looked at could have been avoided or minimised if there had been more forethought at the planning stage. We are all familiar with people who say, ‘Well, you can’t plan for everything’, or ‘Things are too complicated to predict’, or ‘You can plan things out of existence’. They are to be resisted most strongly! Whilst there is, of course, a micron of truth in what they say, it should not be used as an excuse not to prepare plans.

Let’s imagine for a moment we intend to walk to a small village we have heard of many miles away across empty mountainous terrain. It is unlikely that we would feel confident about setting out without a clear fix on the destination, a fair idea of how long the journey is, and a good sense of the route. Almost certainly, we would want a map, rather than setting off blindly, hoping to find help along the way. The more information we could assemble before we started and the more detailed the map, the more confident we would feel. We may even find part way along our journey, that the map is out of date: what appeared on the map as a small stream is now a reservoir and we’ll have to make a substantial detour. We still, though, have the map to give us a general sense of direction and from the map we can assess how much longer it’s likely to take us.

We need to think of plans as the maps of a project - another kind of expedition into unknown territory. There will be different kinds of maps, concerned with different aspects of the journey. Some will concentrate on pinpointing the destination, others on the route; others again may have details of logistics, resources, costs. Some will be large-scale, covering the whole territory; others more detailed and precisely focused. All will serve a dual function - as an aid to reaching the destination and as a key element of communication with the rest of the party. All, too, are to a greater or lesser extent provisional; we may have to redraw the maps from time to time, as we become more familiar with the actual terrain and the ability of the team. They are, though, the bedrock of our endeavour and the more carefully we can prepare them - anticipating dangers wherever possible and preparing contingencies - the more likely is the success of our project.

We shall need to bear all this in mind when we look in more detail at the process of planning a European project in the next chapter.
In this chapter we are going to look at how to plan a project, specifically in the context of preparing an application to one of the European Commission programmes. In doing so, we will be working through a six-stage process:

- **Stage 1:** Defining the project
- **Stage 2:** Planning a work schedule
- **Stage 3:** Preparing a budget
- **Stage 4:** Planning for quality
- **Stage 5:** Managing the team
- **Stage 6:** Submitting a proposal

Inevitably, this can only be an introductory sketch as we lack the space, in the context of this handbook, to provide an in-depth training guide to procedures and specialised techniques. We will, though, be exploring some of the most important features of planning, as well as providing some simple forms for collecting and processing information.

**Stage 1: Defining the project**

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 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.

Let’s assume that you’re a trade union officer in a national organisation with a responsibility for education and training. You’re aware that the issue of training for European Works Councils representatives is increasingly important for trade unions, but 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 is 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.

Organisational commitment
Firstly, you need to discuss the idea further within your own organisation. How would such a project fit within the organisation’s priorities and what kind of outcomes would be most important?

You need to pin down much more precisely what the actual need is which you want to address. Be as specific as you can:

— Who is the target group?
— What additional skills and information do they need to have?
— How would the project contribute to meeting the needs of your organisation?
— What specific outcomes would the project produce for the organisation and for the target group?

These are some of the issues you will need to address in defining the initiative more precisely. Make a brief proposal to share with colleagues in your own organisation. What do you need to do to secure formal organisational support for the project?

Outline structure
Assuming that your initial idea is supported by the organisation, you need to develop an outline structure for the project. In defining the needs you want to address, you have already begun to identify the objectives of the project. Now you need to think about what methods you will apply and what actions you will need to take to achieve those ends. These are some of the questions you must begin to consider:

— Is it necessary to carry out a needs assessment to acquire a more detailed view of the needs of the target group?
— Will the project involve other research activity?
— How will you begin to address the needs you have identified?
— Where will the central work of the project lie – in promoting awareness? In delivering training courses? In training trainers? In developing training methodologies? In producing materials? In developing new services?
— What specific products will the project need to produce?
— How will you evaluate the success of the project?
— How will you publicise and disseminate the work of the project?
— Will there be a strong European dimension, or will the project simply produce a series of national outcomes?
— If the project is successful, how will you and your partners bring the results of the project into your mainstream activities?

When you’ve answered these questions, you can begin to draft an outline of the project on paper.
Involving partners
Answering the questions above and developing an outline of the project will have raised other key questions:

— What other skills and resources will you need to find?
— Which partner organisations might provide them?
— What would the benefits be for other possible partners?

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.

A key consideration here is how far to progress the proposal yourself before approaching potential partners. This depends partly on the nature of the individual project but also on the nature of the relationship you want to develop. If the initiative is principally for a national outcome, and you are seeking some specific input and support from other organisations, it may be appropriate to wait until you have defined your project in some detail. For a project which is genuinely transnational, however, it would be advisable to bring potential 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. You will need to think, too, about how the planning phase will be conducted. Can it be handled just through an exchange of e-mails and documents or would it benefit from some face-to-face discussion with key partners?

Funding support
Once you’ve begun to elaborate the outline for the project, and identified some possible partners, you will probably also have a rough notion of the scale of the project - how much time you’re going to need and what it’s likely to cost. These will only be the most approximate of impressions, but they will be sufficient for you to begin to consider how feasible the project is and what sources of finance you might be able to secure. It’s at this point that it’s worth considering support from European programmes. At this stage, it is important to do a little research. You will find information about most of the current programmes offering support for training and education in Part Three of this handbook. Would your project fit within the remit of any of them and, if so, what are the detailed criteria of specific Calls for Proposals? You may find it useful to consult ETUI Education for advice on this9 - and possibly for suggestions of other potential partners, too.

You can find information about other trade union projects on the ETUI Education web site10 and on other web sites maintained by trade union organisations. The

9 See Appendix 8
10 See http://www.etui.org/Services/Support-for-European-Trade-Union-Projects-SETUP
European Commission also publishes details of projects supported by its various funding programmes on its web sites and in printed compendia\(^{11}\). This information will help you see whether your project is likely to get funding and may suggest partners who have expertise to contribute.

How far does your proposal reproduce something which has been done before by another project? Whilst it is useful to see what others have done, it is important not simply to replicate it. An original project proposal, well thought-out and prepared, will be more convincing and is likely both to be more successful and to create more significant outcomes, at both national and European levels.

Refining the definition
Thinking about time, cost and potential resources, even at this early stage, may have identified some problems. It may be immediately apparent that your project is too ambitious. You may need to rethink a bit - but don’t give up: project management is about constant rethinking. Perhaps you can reframe the idea on a smaller scale. Or maybe you can break the project down into separate elements which can be realised over a longer time scale as a number of smaller projects. Don’t try to do too much in a single project.

There are one or two other things you should do at this stage, too:

— Make a list of the major problems which the project is likely to face and the steps you can take to avoid them or deal with them.
— Review the objectives for the project. Do they still accurately describe what you want to achieve? Are they still realistic? Can you refine or reformulate them in any way to make them more detailed and specific? Is their achievement capable of being verified?
— In relation to the objectives, consider how you will know whether or not your project is successful: identify the main performance indicators or measurable criteria by which you can measure success (e.g. in a training context, numbers of people trained, levels of skill acquired). These will be important when you come to think about evaluation\(^{12}\).
— Think back to Chapter Two and the relationship between Time, Cost and Quality. Where do the priorities lie for your project?
— Define as precisely as you can the scope of the project. What activities does it include and what are its boundaries?

It would be useful to make a brief written summary of all these key points, which can act as a quick reference point for you and can be included in your outline document for discussion with others.

Planning the project
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

\(^{11}\) For more information, see the chapters on individual programmes in Part Three and also in Appendix 7 on sources of information about the European Commission.

\(^{12}\) You will find more information on defining objectives and performance indicators in Chapter 6 Project Evaluation.
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 you need to submit an application in three months’ time. Now you really need to start planning.

Let’s consider the plans you will need to produce:

— Plans to do with the Time element of the project.
— Plans to do with the Cost elements of the project.
— Plans to do with the Quality aspects of the project.
— Plans to do with the Team aspects of the project.

These plans will be drawn up principally to help guide you through the process of managing the activity of the project itself. They will also function as a means of communication with other members of the team and as a common reference point. In addition, once you have prepared a satisfactory set of plans, you will be well on the way to producing your application for financial support.
Stage 2: Planning a work schedule

To help us organise the project, we first need to divide it into manageable and coherent areas of work. We need to see the basic building blocks and to have an idea of how they all fit together. If we take the European Works Council project and begin to break it down into its major constituent elements, we will probably identify two major strands:

- Producing materials
- Developing and delivering the pilot course

If we think about it more carefully, though, we will quickly find that there are other activities which fall within the scope of the project. We would do well to add some preliminary research activity - both research into Works Councils and research into the specific training needs of our target group. We should also remember that we need to evaluate the experience and to share the results with others who might be interested. There’s one other important area of work which we’ve forgotten, though - the work of managing the project itself.

Our revised breakdown would look like this:

Now we’ve distinguished our main areas of work, it’s helpful to construct a diagram which shows the relationships between them - a logical structure of the key work components of the project.

You’ll notice in Figure 5.2 that we’ve also begun to identify how these seven blocks of work relate to each other. From here we can move on to prepare more detailed plans to do with the actual timetabling of work. It’s important, though, 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 strategy.
Task breakdown

We have seen in Chapter Two the importance of managing the Time element of the project and how this interacts with Cost and Quality. 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 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. Until you’ve undertaken a much more detailed breakdown, you won’t know whether the project is actually feasible in the 12 months allotted.

We could just take the major blocks of work we’ve identified - or workpackages, as they are often referred to - and make a simple timetable list of the separate activities which go to make them up.

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:

— Introduce a numbering system for workpackages and tasks.
— Introduce a number of different levels of detail into our plan.
— Introduce a system of visual representation into our timetabling.
Let’s go back to our overall plan and number the seven major blocks 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

It might be useful to set out our initial impressions at this stage about sequence and timings as a simple bar chart - usually known as a Gantt chart, named after Henry L Gantt who first devised this system of task representation (see Figure 5.3).

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’s often 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. You can also use a computer graphics or spreadsheet program. This bar chart just shows the seven workpackages, though. We really need to look at things in more detail: we need to produce a Task breakdown (also referred to as a ‘Work Breakdown Structure’ or ‘WBS’).

If we take Workpackage 3: Pilot Course as an example, what are the major tasks which have to be completed? Let’s assume, 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 might decide the major tasks are:

Task 3.1: Prepare programme
Task 3.2: Assemble team of tutors
Task 3.3: Arrange venue and facilities
Task 3.4: Advertise and recruit participants
Task 3.5: Deliver course
It will be useful, though, as some of these are lengthy and complex activities, to identify further levels of task detail. Then we can begin to identify the time required for each task more precisely. At this stage, we are estimating the duration of the task from start to finish:

**Task 3.1**  
Prepare programme  
3.1.1 Identify objectives, target group, content, materials (3 weeks)  
3.1.2 Construct draft course plan (3 weeks)  
3.1.3 Agree final programme (1 week)

**Task 3.2**  
Assemble team of tutors  
3.2.1 Identify and recruit tutors (7 weeks)  
3.2.2 Hold team planning meeting (2 days)

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

**Task 3.4**  
Advertise and recruit participants  
3.4.1 Prepare publicity material (2 weeks)  
3.4.2 Distribute publicity material (8 weeks)  
3.4.3 Process applications (4 weeks)  
3.4.4 Distribute detailed course information (4 weeks)

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

Finally, when we have identified the time needed to complete each task and - most importantly - the relationship between tasks, we can begin to construct a more detailed Gantt chart. It will become clear that, while some tasks may run in parallel, some are dependent for their start on certain other tasks already having been completed. With this information in hand, we can proceed to map the individual tasks onto a calendar plan. Figure 5.4 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 and leaving plenty of 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 to the final stage 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 Figure 5.5, which again uses a simple bar chart format, 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, which 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. You will also find it 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. A milestone differs from a task in being a single event with zero duration. Milestones are normally represented on a Gantt chart 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 complex projects, specialised computer programmes for project management that are widely available are an essential tool. For most small to medium scale education and training projects, however, they are unlikely to be a necessity, though they can still be very useful and can certainly save a lot of time by highlighting scheduling problems, tracking progress and recalculating to show the impact of overdue tasks. You can find out more about this in **Appendix 4**.

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 may well find, when you first put things together on your Gantt chart, that your plan exceeds the time you have allotted to the project. 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.

Let’s assume that we’ve successfully broken down the whole project in the way in which we’ve dealt with **Workpackage 3**, and that we’ve fitted the individual tasks together in a way that seems to work logically and that meets our desired time span. There is still a further stage to go through before our schedule is complete. So far we have been considering simply the tasks which need to be done and 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.
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 one area where project management software can be very helpful in pointing out and helping resolve conflicts of this kind.

In working through a task breakdown in this way, there are two other areas which it’s easy to underestimate:

— The time involved in travelling and participating in project meetings of one kind and another. There is often a tendency to minimise both the number of meetings and the time, but they will be crucial for the success of the project.
— Project management itself is also a time-consuming activity, which again is often under-estimated. As we have seen in Chapter Four, a transnational project is much more difficult to deal with than a national or internal project - more demanding in terms of time, diplomatic skill and administration.

As you work through the project, task by task, in this way, it’s also useful to make notes and, alongside the detail on human resource requirements, to make a brief note of any other resources which 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 outputs 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 have assumed, for the purposes of this exercise, that your project is being led by a UK trade union (UK), with two partners from Germany (DE) and Portugal (PT) also involved in delivering the course.
## Task Resources

**Workpackage No:** 3  
**Task No:** 3.5  
**Task Name:** Deliver Course

### Staff
3 tutors, 1 from each partner organisation, 5 days for course + 1 day preparation  
Hosted by UK partner

### Sub-contracted staff
4 experts (2 from UK, 1 each from other partner countries)  
Interpreters – 2 per language x 5 days

### Travel
- 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

### Accommodation/subsistence
- 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

### Documentation
25 pages – original in English, translation to DE and PT

### Rooms
Day

### Equipment
Interpreter booths, headphones, etc – 5 days  
Computer and video projector – 5 days

**Outputs:**  
5 day course  
Course report

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Fig. 5.6
You will, of course, need to consult partners and involve them in this process. Unless you are very experienced in all the areas of work which the project involves, it is unlikely that you will be able to draw up a detailed schedule single-handed, without information from others. Even then it will be important to make this a collaborative effort. You 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.

At the end of this stage, you will have produced:

— A basic diagram, showing the main workpackages of the project and how they relate to each other.
— A detailed task breakdown for each workpackage.
— A Gantt chart, mapping tasks across the whole time-frame of the project and showing their dependent relationships.
— A set of task resource sheets, detailing which staff are required for each task and for how long, together with a preliminary consideration of what other resources are needed.

In doing so, you will have accomplished one of the most important - and most difficult - elements of project planning. You will have a much clearer idea of what’s involved in the project and how it all fits together. And you will also, in the process, have collected most of the underlying information necessary to prepare a budget for the project.
Stage 3: Preparing a 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. It can be time-consuming, but it’s not intrinsically difficult.

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.

Many 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 review and amendment - much simpler, speedier and more reliable. The section which follows assumes the use of such a program.

Direct Eligible Costs

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

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

Direct Eligible Costs must be:

- Reasonable and represent value for money
- Based on real costs not a notional fixed price
- Essential to carry out the project
- Incurred during the period of the project
- Identified and recorded, normally in a dual entry, computerised accounting system. (A separate bank account is also normally required for major projects.)
- 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, such as heating, lighting, office accommodation, phone costs, postage and photocopying, often referred to as ‘overhead costs’.
Some European funding in certain programmes may be calculated according to a fixed scale of unit contributions (for example, \(x\) days at \(y\) rate) or may take the form of a flat-rate grant or fixed sum, irrespective of the actual cost. In most cases, however, it will be based on reimbursing a fixed percentage of the actual costs of the project. The remainder of this section assumes that this will be the basis of our project budget. The European Union will only fund a proportion of the costs of the project, with the balance being provided by partners’ contributions or from other sources. The Total Eligible Costs (D+I) then need to balance the Total Income, which is made up of the partners’ financial contribution (C), plus any revenue generated by the project itself (R), plus the Commission grant requested (S).

The Commission application pack will require you to present these figures in a particular form. It may ask you simply to present total figures for each of the principal categories, with some more detailed listing of sub-categories. It may perhaps ask you to present figures sub-totalled by workpackage, or even by task. It may also require you to present figures showing individual partners’ costs and contributions. However, 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.

Estimating Direct Eligible Costs

Whatever the final form of presentation required, we find 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 preparing the budget, we need to retrace our steps, working up from task level to workpackage cost and finally to the overall project cost.

Figure 5.7 shows an itemised costing of Task 3.5: Deliver course, based on the information from the Task Resources sheet in Figure 5.6. 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) referred to above. It also shows in each case the unit cost, the number of units and the total.
When we’ve worked through all of the tasks, listing all of the Direct Eligible Costs in this way, we can present them in a variety of different ways, according to the Commission’s and our own requirements. For example, sub-totalling the costs by Cost Type would produce the following (Figure 5.8):

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<th>WP</th>
<th>Task</th>
<th>Cost type</th>
<th>Partner</th>
<th>Description</th>
<th>Unit type</th>
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**Fig. 5.7**

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**Fig. 5.8**
Alternatively, we could use the spreadsheet program to sort and sub-total the figures by partner organisation (Figure 5.9):

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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.

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

**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 in category D3 (Services/Activities), although staff from affiliated organisations or temporary staff recruited through a specialised external agency can often be treated as if they were employed by the relevant partner organisation. Staff costs should include the gross salary cost paid to the member of staff, plus the employer’s contribution to social costs (including pensions), but should exclude any other bonus payments or allowances. To calculate a daily rate, the annual cost should be divided by not more than 220 days. In preparing your budget, obtain actual costs wherever possible. However, if there are difficulties, it is acceptable to enter an average cost for a particular grade of staff. Remember, though, that in reporting these costs you will need to report actual salaries and social costs, rather than estimates.
Note that some funding programmes may impose maximum salary levels for specific grades of staff, varying according to country, beyond which it is not possible to claim reimbursement from project funds.

Note, 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 below).

**Travel and accommodation costs (D2)**

Include here 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.

**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 include everything other than photocopied documents. Costs 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, which must include any travel and subsistence costs.

**Administration (D4)**

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

- **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 allowance for any equipment that they have purchased.

- **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 to secure the monies 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 sub-contractors. 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.

In an attempt to ensure value for money, the Commission requires various procedures to be followed, 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 stationery, photocopying, mail, telephone and fax costs, data processing, heating, electricity 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. Others, such as the Seventh Framework Programme, allow several possibilities for claiming Indirect Eligible Costs, including both an apportionment of actual costs incurred and different flat rate reimbursements, based on different percentages of Direct Eligible Costs according to the type of organisation.

**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 purposes, at:

http://ec.europa.eu/budget/inforeuro

**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 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 no longer accept ‘in kind’ contributions of items, such as use of an organisation’s accommodation and equipment. 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’.

This means that, for instance, staffing costs of people employed by partner organisations (and others, in certain circumstances – see the earlier section on Staffing Costs) are normally acceptable as a cash contribution, as long as they are 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 there must be a real cost, that there must be appropriate documentation in the form of invoices, receipts, travel tickets, time sheets or bank statements, and that 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.
**Commission grant requested (S)**

The balance 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.

You must 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 arises frequently 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.
- For certain types of project, particularly where there may be the possibility of commercial exploitation, it may be worth considering borrowing money from a bank.
- 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 over-lapping or double funding, but you would clearly need to remove the appropriate elements from this proposal and submit them as a separate application.

Almost inevitably, though, 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. Remember, too, that some of the changes you make may have implications for the schedule and will need to be reflected in revised Gantt charts and task breakdowns. In making these changes, you will also need to think carefully about their implications not simply for Time but also for Quality. Can they all be matched with the priorities you have established for the project?

**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 will find ourselves in great 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. It is clearly 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, with a bank loan to cover the temporary deficit.

Figure 5.10 shows a simple cashflow forecast form. It will probably be most helpful to prepare a separate form for each partner organisation, rather than just a forecast for the project overall. Again, a spreadsheet program can be very helpful in preparing this.

![Figure 5.10](image)

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 same as the Carried Forward Balance figure for 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.
Stage 4: Planning for quality

In the previous two sections we have been concerned with planning Time and Cost. Now we need to turn our attention to planning the third element of the triangle: Quality. At first sight this might appear more difficult than the other two. We can easily tell if our project is behind schedule or over-budget - but Quality...? Isn’t that a very subjective area?

Of course, different people may have different views about the quality of a particular product or service, but all too often these views are based on superficial and impressionistic judgements. If we can tell when a project is behind schedule or over-budget, it is because we have some clear and agreed criteria by which to judge this. We can also define parameters and elaborate criteria in the field of quality, which will help us conduct more focused and realistic evaluations. This should be an essential part of planning. And, like everything else, Quality needs to be planned for - it doesn’t just happen.

Quality assurance

Quality is the crucial element that is too often overlooked. We keep an eye on the schedule and a tight control on the budget. The project seems to work like clockwork - but the product is unexciting and unchallenging or the service that is available doesn’t really satisfy people’s needs. This is a very familiar scenario, even in the education and training field. And if we look around the different areas of our everyday lives, we will probably be overwhelmed by the number of instances in which a lack of concern for quality results in waste and dissatisfaction.

A concern for quality is easily confused with a notion of Quality Control. This term, originally derived from a manufacturing environment, has traditionally involved checking products against a set of carefully defined criteria in order to identify defective products and ensure they do not leave the factory. Whilst this sort of monitoring may have some part to play, it is essentially too passive and reactive and occurs too late in the process for our purposes. It does not in itself help us achieve or improve quality - it merely enables us, after the event, to identify failure. Equally, as it has been traditionally practised as a final stage of an industrial process, it separates a concern for quality from the main elements of production.

For our projects, whilst we are certainly concerned to evaluate the end product - particularly so that we can incorporate pointers for improvement into any future activities - we are principally concerned to view quality as an issue at every stage of the process. If our concern is continually to improve quality, then quality needs to be a central consideration for every member of the project team.

The basis of all this will be a clear specification of expectations that all the members of the project team can share. This will start initially with the project specification itself (Stage 1), which will identify the main quality aspects of the project. These are likely to include the expected standards of performance or operation for the products and services that the project is developing. Equally, they will need to specify the operational and management processes and responsibilities through which the project will seek to ensure quality. A central element of this process will be the clear documentation of these standards and processes, so that all who are involved can work according to a common set of understandings and values.
One of the key points at which problems are likely to arise is the moment of hand-over - the point at which responsibility within a particular task or set of tasks passes from one partner to another. This is the point at which there is frequently confusion and misunderstanding about who should have done what: work is handed over without being thoroughly reviewed, no checklist of key aspects has been drawn up, elements are incomplete and the next task cannot start. We also need to recognise here, just as we have in constructing the schedule, that the project is a process comprising many individual activities. It will be beneficial to plan for quality within each task.

In planning each task we can ask:

— What are the key quality objectives we are aiming for and how can we ensure their achievement?
— Who is responsible for monitoring performance and assessing quality in this task and what feedback systems are in place to promote improvement?

We should also be clear that in most cases we should be monitoring and reviewing the quality of both the outcome of the task and the process by which it is accomplished. Equally, we need to make sure that feedback systems are in place to enable the project to improve its processes and products, as work on the project progresses. In some cases it may be appropriate to produce a Quality Assurance Manual to document these arrangements. They should, in any case, be taken account of in the project planning process. Figure 5.11 provides a simple form which may be useful.

These processes, which are designed to assure, maintain and improve quality, also interface closely with aspects of project monitoring and evaluation, which we will look at in Chapter Six.
Stage 5: Managing the team

Just as it has been essential to plan the elements of time, cost and quality, we now need to plan how the people side of our project will work. There are lots of aspects to consider here. Some of them will be familiar to you from Chapter Four:

- How does your project relate to your organisation’s goals and priorities and those of your partners? What are the implications of this for the operation of the team?
- Are there likely to be key differences in motivation, size of contribution, skill, experience, or commitment? How can you best integrate these individuals into a coherent team?
- How well do people know each other? What can you do to create a social dimension to facilitate both group cohesion and task commitment?

In this chapter, however, our concentration will be on:

- Clarifying legal and contractual responsibilities
- Clarifying managerial roles and responsibilities
- Establishing decision-making structures
- Establishing communication structures.

Legal and contractual responsibilities

We need to 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 to distinguish between three types of party within the project, although the precise terminology may vary from programme to programme:

- Promoter/Contractor
- Partner/Associated contractor
- Sub-contractor

Let’s assume that your own organisation and two main partners are involved in the European Works Council project. Another national union will make a particular contribution to the research workpackage. The final evaluation will be handled by an independent consultant.

Promoter/Contractor

It is likely that your own organisation, as initiator of the project, would act as the Promoter or Contractor for the project, signing the contract with the Commission if the application for funding was successful, and accepting the legal and financial responsibility for completing the work specified. Your organisation would need to have a formal written agreement with the other two major partners, concerning their involvement with the project.

In some cases it might be possible for all three main partners to act as Joint Contractors, each being a signatory to the contract and assuming joint and several liability for completing the work, though this is not the norm for most EU programmes.
Partner/Associate Contractor

Normally partner organisations would not sign a contract with the Commission but would need to have a signed partnership agreement, concluded directly with the Promoter or Contractor, the terms of which may need to be approved by the Commission. The 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 remuneration or 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

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

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 may be a commercial undertaking, as in the case of our evaluation partner, or even another trade union organisation. As we have seen, sub-contracting is governed by strict criteria, relating both to the proportion of the budget that it is permitted to sub-contract and to the procedures for tendering and contracting. The application guidelines will normally provide details of these conditions, which must be fully adhered to. It would be unusual for a Sub-contractor to be granted any rights in the result of the project, as their relationship to the project would be one of a straightforward provision of goods or services on a commercial basis.

Project Coordinator

One of the partners - normally the Promoter - would be nominated as Project Coordinator, to act as the link between the various partner organisations and the European Commission. The Coordinator’s responsibilities 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.

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.

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13 See Appendix 3 for a sample partnership agreement.
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 helpful 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 Project Coordinator organisation, and had a specialist knowledge of the subject of the project. The Project Director would normally be responsible for direct contact with the Commission.

**Project Manager**

As we have argued throughout this handbook, there is a need for someone 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 separate people fulfilling each role.

It may also be useful to designate specific people as **Workpackage Coordinators**, responsible for the detailed organisation and management of particular workpackages. Equally, we should also designate, for each of the main partners, a **Partner Representative**, who will act as the principal channel of communication on managerial and resource issues relating to the partner organisation.

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

**Decision-making structures**

It is also essential to establish how key policy and management decisions concerning the project are to be reached. Our strong recommendation is 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. It should normally be chaired by the Project Director and serviced by the Project Manager, who should effectively act as a combination of secretary and chief executive. You will also need 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.

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14 See the section in Chapter 4 on the Project Manager.
Some 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 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.

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. 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. At a management level, it may be useful occasionally in the case of particularly complex or unwieldy workpackages, to institute a Workpackage Sub-Committee, responsible to the PMC, to handle the detailed management issues arising from the Workpackage, but in most instances this should not be necessary. At an early stage, the PMC should also agree what delegated powers of action the Project Director and Project Manager should have to intervene in the day-to-day management of the project, without having to refer issues to the Committee.

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 effective communication. We need to make sure that everyone knows what is required of them, how things are progressing, what problems have arisen, what changes are required, when contributions are needed, how reports should be prepared, whose responsibility it is to do what. And we need to ensure that there is clear and confident communication between our various partners, so that we can avoid some of the difficulties of transnational projects that we mentioned in Chapter Four.

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, if proposals are set out succinctly and circulated in advance, if the meeting is well chaired - focusing discussion on key points, encouraging contributions, but preventing one party dominating proceedings - if clear decisions are reached and if the outcomes and responsibilities for action are clearly minuted 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 who they should be circulated to. 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. Most projects will find it useful to make e-mail the main means of communication, if all partners have that facility. E-mail provides a relatively informal mode of communication, with an easy means of copying messages to a range of other relevant partners. It is cheap and fast and provides a record of communications. It also allows other documents to be sent as electronic attachments, enabling partners to collaborate swiftly and easily in the production and editing of documents and designs, even though they are based in different countries. For some kinds of formal communication, and particularly if speed is not a concern, post may be adequate. For more urgent contact, there is the telephone, although this has the disadvantage that there is normally no documentation of the call and its outcome.

**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 they know 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 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.

**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. The other is a common reference system for identifying documents, which 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

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15 For more information on using electronic communications in project work, see Appendix 4.
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. Wordprocessing aids the speedy editing and revision of documents; mailmerge systems simplify the regular circulation of material; and database systems can help with the storage and retrieval of information. It is an advantage if partners are using the same wordprocessing application, although the exchange of data files between different formats is now generally very easy.

**Dissemination**

Although this section is about managing the project team, we should also emphasise again, while we are discussing communications, the importance of dissemination. This will be one of the important tasks of the project – and it is often one that is either left to the last moment or neglected entirely. We have suggested earlier that it merits a workpackage in its own right. Although we do not have the space here to explore dissemination in detail, part of the planning of the project’s communications should entail the development of a clearly articulated information policy and strategy. What kinds of information about your project will you make public, to which audiences and at what points in the project? What kinds of communication channels and media – newsletters, leaflets, press releases, electronic mail-lists, conferences, brochures, web sites, etc. - will be the most appropriate to choose for the various items of information and audiences? And who will be responsible for overseeing and executing the various parts of the strategy?

In short, establish a clear and comprehensive plan for communications both within the project team and between the project team and external bodies, with the Project Manager at its centre. Ensure that there is a well-organised documentation system, which is easy to use.
Taking stock
Let’s remind ourselves of the ground we’ve covered so far in this chapter.

Stage 1: Defining the project
— Organisational commitment
— Outline structure
— Involving partners
— Funding support
— Refining the definition
— Planning the project

Stage 2: Planning a work schedule
— Task breakdown
— Resource allocation

Stage 3: Preparing a budget
— Estimating costs
— Income sources
— Cashflow

Stage 4: Planning for quality
— Quality assurance

Stage 5: Managing the team
— Legal and contractual responsibilities
— Managerial roles and responsibilities
— Decision-making structures
— Communication structures

Now you’ll understand better the remarks at the start of the chapter about three months being too short a time to plan and organise a good project application from scratch - unless you’re very experienced and working with a tried and trusted team. Planning demands time, concentration and analysis, and plenty of communication with partners. But, if you’ve followed through this process so far, you will be in possession of a set of clear plans\(^\text{16}\).

Remember, though, that the plan is not a reality. It represents a vision and a set of detailed preparations, but it is not a total prescription. It is a blueprint for action, but it will need to alter and change as it encounters the real world. As the project manager, you need to build that sense of flexibility into the planning from the start, by envisaging options and alternative possibilities.

All this will enable you now to put together a strong proposal and to manage the execution of the project with a good chance of success.

\(^{16}\) There is also a checklist of the main project planning stages in Appendix 1 which you may find helpful.
Stage 6: Submitting a proposal

Writing a draft proposal

Different sections of the Commission and different support programmes have their own ways of operating, their own sub-cultures and sets of priorities. They are also likely to differ in the way they require proposals to be structured, in the kinds of application forms they use, and in the particular way in which information needs to be presented. There is an increasing move towards the use of electronic and online application procedures which can help, for example, with data entry, but which often place restrictions on the length of responses. Equally, each specific Call for Proposals within a particular programme is likely to have its unique emphases or priority themes. There are, however, certain common aspects and elements that it will be useful to note.

Every proposal will require:

- A succinct summary of the aims, objectives and methods of the project
- 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.

These will be structured differently in different documents, but they will form the key elements of any proposal.

A project proposal is essentially a ‘selling’ document. Together with your partners, you have developed your initial concept and produced a set of plans to demonstrate its feasibility. Now you have to sell the idea to a sponsor - and your main vehicle for clinching the deal is the proposal document. Before you can write it, you need to think yourself into the other party’s shoes, in order to realise the key presentational points which - without distorting your original idea - will convince them that your project precisely meets their objectives and must be supported.

Firstly, read the documentation that comes with the proposal forms very thoroughly. Note its key emphases and its major concerns. Then try to obtain other documentation which that particular programme or department has produced; there will almost certainly be information on web sites 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

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17 You will find more information about the operation of the Commission in Chapter Seven, about its current priorities in Chapter Eight, and about individual funding programmes in Part Three.
programme. And you should certainly seek detailed help and advice from one of the national offices associated with the various programmes\textsuperscript{18}.

This should give you a clear impression of the critical concerns for the individual programme and provide you with some crucial pointers on the particular inflections to give to your proposal. You would do well to pay attention to the previous projects that the programme has supported; it is important to ensure that similar ideas have not 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 \textbf{Chapter Eight}, 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.

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:

\begin{itemize}
  \item 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
  \item Conformity with the specific themes of the Call
  \item Realistic and achievable objectives
  \item Goals which can be measured
  \item Innovative aspects and ideas
  \item Sound management plans and methods
  \item Appropriateness of the consortium for this particular project, both in terms of range of skills and levels of experience and qualifications
  \item Financial soundness - demonstrable resources to see the project through
  \item Consistency with the overall strategy of partner organisations
  \item Community benefit and the potential for dissemination, exploitation and mainstreaming
  \item Clear and concise presentation - but make sure that all the main points of your proposal are sufficiently explained. Don’t be afraid to add a few supplementary pages if necessary, with further details, bar charts or more budgetary information, if the application documents allow you this possibility.
\end{itemize}

\textsuperscript{18} See \textit{Appendix 7} for details.
Submitting a final proposal
Once you’ve assembled a draft proposal in a form for submission to the Commission, we would recommend most strongly that you circulate it to partners and, if possible, arrange a meeting to discuss it, so that comments can be incorporated and an agreed text submitted.

You may also need to submit with the proposal a copy of any contractual documents that set out the relationship between the various partners. It is not uncommon for there to be no formal inter-partner agreement at this stage, but you may then be advised to enclose a draft agreement which the partners would sign, if the proposal for funding were successful. You would also in that case need to submit signed letters of intent or commitment19 from each of the partners to the Project Promoter, agreeing in principle to participate in the project.

Establishing or participating in a planning team is not to be undertaken lightly. By this stage all the partners will have incurred significant costs in the process of undertaking the preliminary planning and preparing the proposal for submission. It is important for all partners to realise that these are not costs that they will be able to recoup from the project budget. On the other hand, with a strong proposal and good preparation, the project can bring enormous benefits, which a single organisation would be unlikely to achieve.

Once your finely honed proposal and any accompanying documents have been sent to Brussels or Luxembourg (or, in some submission procedures, to your national governments), you may have to wait some months for a response. In many cases, proposals will be seen first by independent external evaluators, who will comment on them and grade them. 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. As we’ve indicated earlier in this chapter, 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.

You will not normally be able to recoup any costs incurred during this period from the project budget. The budget will only be available for work carried out during the actual project period. On the other hand, 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. Consider what you will do if that arises.

19 Appendix 2 provides a sample letter of intent/commitment.
Managing the project

On one level once the contract is signed, the planning phase is over and the project is on its way. There will be new and different challenges to be managed, fresh skills to be brought into play: working with the team, producing the materials, monitoring progress, smoothing out communication problems, preparing cost statements and progress reports, managing changes to the project plan and on occasions troubleshooting and fire-fighting.

How well that whole process of executing the project progresses will depend in large part on the quality of the initial planning. The plans you have prepared during this initial stage will provide the key direction indicators that guide the whole project. Not only that, but the skills, perceptions and understandings you have gained during the early planning process will be drawn on again and again, as you review progress and adjust the plan. They will continue to play a major role as you finally transform your original vision into a reality.
Chapter 6

Monitoring and evaluation

This chapter provides an overview of the functions of monitoring and evaluating project performance, as well as exploring a set of key issues to be addressed in their planning.

The importance of monitoring and evaluation

Once our project is underway, we really need to make the most of the experience. We need to manage it effectively, so that we have the best chance of it 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 and products might be useful in the future work of our organisations. Good monitoring and evaluation will help us do all of this.

On occasions, there is a tendency to view monitoring and evaluation as among the less important elements of project work – even sometimes to see them as a bureaucratic chore or to treat them as an afterthought. If we approach them constructively, however, they can be amongst its most important and valuable activities. 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. Monitoring and evaluation hold the key to this.

Some definitions

Let’s start by defining some basic terms.

In what follows, we shall use the term ‘monitoring’ 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. The information derived from monitoring enables the project management to take appropriate corrective action, where necessary, to bring the work of the project back on course. It also provides data which can form the basis of regular progress reports, to the Project Management Committee and/or to a funding body such as the European Commission.
‘Evaluation’ we shall use to distinguish 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 will therefore be carried out on a limited number of occasions, whilst monitoring is implemented throughout the project period. 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), at the end of the project (to assess its direct results and achievements) and, if possible, some time after completion of the project (to establish its longer-term impact and outcomes). We would normally expect evaluation to be a more in-depth, analytic process than monitoring, providing possible explanations for particular results and outcomes, rather than just describing them.

We would also 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. While an aim or goal usually provides a general statement of the purpose of a project, an objective is much more specific—a single attainment or target that the project sets out to achieve, whose accomplishment will contribute to the overall aim of the project.

As we saw in Chapter Five, effectively defined objectives are important in helping provide a clear basis for project planning. They are also vital in providing a basis for monitoring and evaluation of the project’s achievements. However, in practice, many projects begin with objectives that are quite loosely and broadly stated and it is important that, during the early stages of the project, these loose formulations are reframed more precisely.

It is frequently said that effectively defined objectives need to be **SMART**:

− **Specific** – dealing as precisely as possible with one particular aspect of the project’s aim
− **Measurable** – containing clearly defined criteria (either quantitative or qualitative) by which their achievement can be measured
− **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.

Having defined more precise 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 but non-measurable 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 some examples:

Example 1

<table>
<thead>
<tr>
<th>Objective:</th>
</tr>
</thead>
<tbody>
<tr>
<td>To conduct a training needs analysis of knowledge and skills for women trade union representatives, relating to basic workplace health and safety issues, to inform the development of a pilot training course.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Performance indicators:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Quantitative indicators:</td>
</tr>
<tr>
<td>— Survey includes returns from at least 100 respondents from 3 national trade unions in different countries</td>
</tr>
<tr>
<td>— Report produced by end of month 4 of the project</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Qualitative indicators:</th>
</tr>
</thead>
<tbody>
<tr>
<td>— Survey provides baseline study data in all focus areas which can be used in subsequent evaluation studies</td>
</tr>
<tr>
<td>— Report reviewed and approved by Health and Safety and Education officers of the 3 national trade unions</td>
</tr>
<tr>
<td>— Report reviewed and approved by project tutor team as providing adequate information to inform development of training modules in workpackage 5.</td>
</tr>
</tbody>
</table>
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 2,500
- 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 request details of forthcoming training courses
- Minimum of 10% follow through with applications for courses

Example 3²⁰

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

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

²⁰ This example is derived from McLeod, R. Guidelines for Evaluating Your European Project (2003), available from http://www.aberdeen-education.org.uk/european/ftp/GUIDELINES FOR EVALUATING YOUR EUROPEAN PROJECT.doc
In addition to specific objective-related performance indicators, the project will have other implicit performance indicators, such as the budget, schedule and milestones, against which it will assess progress. These indicators will normally be quantitative and are likely to be most important in the monitoring process.

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 monitoring and evaluation**

A project is a complex entity and it is impossible to monitor and evaluate all of its facets and dimensions. We need to be selective and we need to develop a plan – or better, two plans: a plan for the monitoring activities and an evaluation plan. In drawing up both, we will need to answer a similar set of key questions:

- **Why** are we conducting this particular monitoring or evaluation exercise? What is its purpose? Who do we expect to benefit directly from its results and in what way?
- **What** will we be monitoring and evaluating? There needs to be agreement between the project team and other major stakeholders on the key aspects of the project to be monitored. We shall certainly want to monitor progress against budget and schedule on a regular basis. There are other aspects of the project which we may wish to monitor continuously, including management, communication and partner involvement. In addition, there will be key aspects of the specific tasks which will vary according to the project. Some aspects of monitoring are likely to be important at particular points of the project life-cycle and not relevant at others, so it’s important to bear this in mind when drawing up a plan. Our decisions here are likely to be shaped by the answers we have provided about the purpose of the exercise.

Similarly, 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 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? 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?
- **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 the monitoring and 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, for instance, or for quarterly progress reports and financial statements. In many cases, however, these formal reporting requirements will not provide all the monitoring necessary for the efficient running of the project and it is advisable to draw up a plan based firstly on what we think are the needs of the project. This might include, for example, a weekly check on what activities are underway and what progress has been made against the scheduled work plan. Equally, we might find it helpful to produce an internal financial report more frequently than the contract requires, so that we can better manage the project’s resources. In terms of evaluation, too, it is often important to conduct a survey at the start of the project to establish a view of the baseline conditions within which the project is making its intervention, even though there may be no formal requirement for this.

- **How** will we monitor and evaluate the selected aspects of the project? This is perhaps the most difficult and complex question, particularly in the case of evaluation.

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, 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 PMC, a presentation to the project team and immediate stakeholders
Who will be responsible for conducting the monitoring or evaluation? Again, this will vary according to the decisions made on some of the previous points. Probably most of the monitoring will be undertaken by the project director, the project manager or the PMC. There may be aspects, though, which can be delegated to other project partners. In the case of evaluation, 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. This might be someone from, say, the Education Department of a trade union not involved in the project in any other role, or from a University.

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.
PART II  THE EUROPEAN CONTEXT
Chapter 7

The European Union

In Chapter One we considered the importance of fresh initiatives for trade unions at a European level and, in particular, the need for projects which could operate transnationally. In order for these initiatives to function effectively, it is important to be aware of:

- The political and economic structures of the European Union
- The key policies and priorities which it promotes
- The place of education and training in furthering those policies
- The key measures and instruments in the field of education and training which the European Union adopts to implement those policies.

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 vital information to have, if you wish to develop a transnational project which can be attractive and useful from a trade union perspective and can contribute to realising EU policy and prove eligible for 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 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 27 Member States with a total of just under 500 million citizens\(^2\).

<table>
<thead>
<tr>
<th>Year</th>
<th>New Members</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>
</tbody>
</table>

The Union also includes the overseas territories of France, Portugal and Spain, including the Azores, the Canary Islands, Guadeloupe, Guyana, Madeira, Martinique and Réunion. Further enlargement is also under active consideration. Current candidate countries are Turkey, Croatia and the Former Yugoslav Republic of Macedonia, while the Western Balkan states (Albania, Bosnia and Herzegovina, Montenegro, and Serbia including Kosovo) are potential candidate countries.

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\(^2\).

The European Union was created as a result of the **Maastricht Treaty** 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. These three institutions 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 Maastricht Treaty, 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).

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\(^2\) For more information on these topics see the European Union web site [http://europa.eu/abc/index_en.htm](http://europa.eu/abc/index_en.htm) and Appendices 5, 6, 7.
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. 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 2004.23

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 has been **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’)24. 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 drops all reference to a European Constitution and instead 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 removes the three ‘pillars’ of the Maastricht Treaty, effectively terminating the existence of the European Community. For the first time, the European Union will have a single legal personality, allowing it to conclude international agreements within all areas of its competence.

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23 You can find the full text of the Treaty Establishing a Constitution for Europe at: [http://europa.eu/scadplus/constit/index_en.htm](http://europa.eu/scadplus/constit/index_en.htm)

24 For detailed information and the full text of the Treaty of Lisbon, see: [http://europa.eu/lisbon_treaty/index_en.htm](http://europa.eu/lisbon_treaty/index_en.htm)
The Lisbon Treaty introduces significant changes, not only to the institutions of the EU, which we look at below, but also to areas of policy, including increased collaboration 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 reinforces 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 are no substantial changes proposed.

The Treaty also recognises 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.25

The Institutions of the European Union

The full impact of the adoption of the Lisbon Treaty has yet to be felt and the implications for some of the institutions of the European Union are unclear. There are also some amendments from the negotiations to secure ratification by Ireland and the Czech Republic annexed to the revision in 2010-2011. The information in this section provides as clear an account as possible at the time of how the new European Union will function.

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
– The European Council, comprising the presidents and prime ministers
– The European Parliament, representing the citizens
– The European Commission, which is the executive arm of the EU.

European legislation is normally proposed by the Commission and debated and adopted, depending on its content, either by the Council of the European Union acting alone, or jointly by the Council and the European Parliament. Irrespective of the voting procedure, European legislation takes one of the following forms:

– Regulations: binding and applicable in all Member States and taking precedence over national law
– Directives: binding as to their intentions, terms and conditions, but the form and methods of implementation being within the discretion of national authorities
– Decisions: binding on those parties to whom they are addressed: governments, institutions, private enterprises
– Recommendations, Opinions, Resolutions or Declarations: not binding.

25 See Chapter 8 for more detailed information.
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, depending on the field of legislation, before proposals can be adopted.

Such legislation as is proposed must also fall within the framework and objectives of the current Treaty and must be consistent with the principle of subsidiarity. This important principle, introduced in the Treaty of Maastricht, 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.

Under the Treaty of Lisbon, national parliaments will have eight weeks to examine draft European legislative acts. If a third of them (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 subject to co-decision, the European legislator (a majority of the European Parliament or 55% of the votes in the Council) must 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. The treaty also makes explicit reference to the possibility of a Member State withdrawing from the Union.

In another innovatory step, the Citizens’ Initiative, the right has been established for a million citizens to sign a petition inviting the Commission to submit a proposal on any area of EU competence.

### The Council of the European Union

The Council of the European Union[^26] (normally referred to as ‘The Council’ but also known as ‘The Council of Ministers’) is the main decision-making body within the Union, whose power is increasingly shared with the Parliament. It comprises representatives of the governments from the current 27 Member States:

<table>
<thead>
<tr>
<th>Austria</th>
<th>Belgium</th>
<th>Bulgaria</th>
<th>Cyprus</th>
<th>Czech Republic</th>
</tr>
</thead>
<tbody>
<tr>
<td>Denmark</td>
<td>Estonia</td>
<td>Finland</td>
<td>France</td>
<td>Germany</td>
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<tr>
<td>Greece</td>
<td>Hungary</td>
<td>Ireland</td>
<td>Italy</td>
<td>Latvia</td>
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<tr>
<td>Lithuania</td>
<td>Luxembourg</td>
<td>Malta</td>
<td>Netherlands</td>
<td>Poland</td>
</tr>
<tr>
<td>Portugal</td>
<td>Romania</td>
<td>Slovakia</td>
<td>Slovenia</td>
<td>Spain</td>
</tr>
<tr>
<td>Sweden</td>
<td>United Kingdom</td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

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 will meet, 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.

Traditionally, meetings of the Council have been chaired by the representative of the Member State which held the EU Presidency, an office which was rotated between Member States every six months. The Lisbon Treaty, however, has now established an elected Presidency for the European Council (see below). Nonetheless, at the time of writing, the principle of rotation still lives on in the day-to-day work of the Council of Europe. The Council and the working groups that prepare meetings of the Council will continue to be chaired in rotation. The one exception to this will be the area of foreign affairs and security policy. Council meetings dealing with these fields will now be chaired by the new High Representative for Foreign Affairs and Security Policy and working groups will be chaired by a member of the new European External Action Service (EEAS).

**The European Council**

The [European Council](#) comprises the presidents and prime ministers 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.

The Lisbon Treaty recognises the European Council as an independent institution, distinct from the Council of the European Union. It also creates a fixed full-time post of [President of the European Council](#) to replace the previous rotating presidency. The President is elected by the European Council by qualified majority voting and subject to the approval of the European Parliament for a period of two and a half years, renewable once. The President’s role is to ensure the preparation and continuity of the work of the European Council and to ensure the external representation of the Union on issues concerning common foreign and security policy.

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. Certain areas, however, including taxation, foreign affairs, justice and constitutional change require unanimous consent. In 2011 the UK exercised the first veto in the Council to block moves to make changes to the current Treaty.

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27 Not to be confused with the Council of Europe, which is a separate organisation, representing 47 European countries. For more information, see [http://www.coe.int/](http://www.coe.int/).
<table>
<thead>
<tr>
<th>Country</th>
<th>Votes</th>
<th>Population (millions)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Austria</td>
<td>10</td>
<td>8.355</td>
</tr>
<tr>
<td>Belgium</td>
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<td>10.755</td>
</tr>
<tr>
<td>Bulgaria</td>
<td>10</td>
<td>7.607</td>
</tr>
<tr>
<td>Cyprus</td>
<td>4</td>
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<tr>
<td>Czech Republic</td>
<td>12</td>
<td>10.468</td>
</tr>
<tr>
<td>Denmark</td>
<td>7</td>
<td>5.511</td>
</tr>
<tr>
<td>Estonia</td>
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<td>Finland</td>
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<tr>
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<td>Greece</td>
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<td>Ireland</td>
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<td>Lithuania</td>
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<tr>
<td>Luxembourg</td>
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<td>Malta</td>
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<td>13</td>
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<td>Poland</td>
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<td>Romania</td>
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<tr>
<td>Slovenia</td>
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<td>Sweden</td>
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</tr>
<tr>
<td>UK</td>
<td>29</td>
<td>61.635</td>
</tr>
</tbody>
</table>

From November 2014, however, a new principle of ‘double majority’ will come into force, requiring a decision to be supported by at least 55% of the votes cast by the members of the Council (i.e. a minimum of 15 of the current 27 Member States), and representing at least 65% of the population of the European Union. A blocking minority 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.
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 or even adopting legislation, so that the Council and the Parliament now share decision-making in many cases, using three different procedures, according to the particular issue under consideration:

— Under the cooperation procedure, it gives its opinions on draft legislation proposed by the Commission, which the Commission may then amend to take account of Parliament’s comments
— Under the assent procedure, it must give its assent to various items, including enlarging the membership of the EU, international agreements and any changes in election rules
— Under the co-decision procedure, which is applied in an increasing number of fields, including the internal market, free movement of workers, health, environment, education and consumer affairs, it has equal decision-making power with the Council and, on an absolute majority vote, can reject legislation proposed by the Council.

The Treaty of Lisbon further extends the scope of the co-decision procedure (which is re-named the ‘legislative procedure’) and clearly states that ‘the European Parliament exercises legislative and budgetary functions jointly with the Council’. Under the new arrangements, approximately 95% of European laws will be adopted jointly by the Parliament and the Council. Amongst other things, the principle of co-decision is extended to the areas of agriculture, fisheries, transport and structural funds. Only the most sensitive areas remain subject to unanimity: tax, social security, citizens’ rights, and the main lines of common foreign, security and defence policies. In some of these areas, such as antidiscrimination measures, the European Parliament will gain the right of consent. The Parliament will also elect, rather than approve, the appointment of the President of the European Commission. Its consent is also needed in the appointment of the EU’s new High Representative for Foreign Affairs and Security Policy. (See below)

The Parliament, which since 1979 has been directly elected by voters in the Member States, was until recently composed of 736 members (MEPs), whose mandate lasts for 5 years. Under the Lisbon Treaty, the maximum number of MEP’s has been set at 751. The maximum number of seats per Member State has been reduced to 96 and the minimum number increased to 6. The difference between the 736 MEP’s elected in June 2009 (under the terms of the Treaty of Nice) and the number of seats provided for by the Treaty of Lisbon is being addressed during the period 2009-14. Under the Treaty of Nice, Germany had 99 MEPs and will keep these until the next elections in 2014, thus raising temporarily the number of MEPs to 754. Within the Parliament, MEPs are grouped by party political, rather than national, allegiance.

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.

28 See http://www.europarl.europa.eu/
The European Commission

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 for the common foreign and security policy.

Since 1 January 2007, the European Commission has consisted of 27 Commissioners, one from each Member State, appointed for a five-year period. 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 20,000 employees. The Commission also has offices in each of the Member States, which function principally as information services.30

The Commission is made up of 45 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 and each has responsibility for an agreed programme of work and for a financial 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 the new diplomatic body, the European External Action Service, and has authority over some 130 EU external delegations in different third countries.

29 See [http://ec.europa.eu/](http://ec.europa.eu/)
30 See Appendix 7 for a list of these.
31 See Appendix 6 for a list of current Commissioners and their responsibilities.
Court of Justice of the European Union

The Court of Justice of the European Union (ECJ)\(^{32}\), which has its seat in Luxembourg, consists of three courts: the Court of Justice, the General Court and the Civil Service Tribunal. The Court is composed of 27 judges and 8 Advocates-General and adjudicates 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, not decide on the rights and wrongs of a particular case, which is referred back to the national court.

The General Court is principally concerned with hearing actions brought against the Community institutions by individuals or by Member States. The Civil Service Tribunal hears and determines disputes between the Communities 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

The European Central Bank (ECB)\(^ {34}\) is responsible for monetary policy and managing the Euro. ECB’s main task is to maintain the Euro’s purchasing power and thus price stability in the Euro area, comprising the 17 EU countries that have introduced the Euro since 1999. The Treaty of Lisbon promotes the ECB to the status of a fully-fledged EU institution.

Other European Bodies

While the Council of the European Union, the European Parliament, the European Commission, the European Council, 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.

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\(^{33}\) See [http://eca.europa.eu/portal/page/portal/aboutus](http://eca.europa.eu/portal/page/portal/aboutus)

\(^{34}\) See [http://www.ecb.int/home/html/index.en.html](http://www.ecb.int/home/html/index.en.html)
Advisory bodies

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

- **The European Economic and Social Committee (EESC)** is currently composed of 344 members from representative national organisations (employers, workers and other interest groups). This will increase to 350 members under the terms of the Lisbon Treaty with the next EU enlargements. 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 new 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)** 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 improves the standing of regions and cities in the European Union's political system and boosts 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, secondly, to request the annulment of new EU legislation that it considers being in breach of the principle of subsidiarity, in the policy areas where the EU Treaty requires that the CoR be consulted, including education, youth, culture and economic and social cohesion. Membership of the Committee of the Regions will also increase from 344 to 350.

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.

Agencies and decentralised 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.

The Agencies are grouped into several categories:

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Regulatory agencies and bodies

These include:

Policy agencies
A policy agency is a body governed by European public law; it is distinct from the EU Institutions (Council, Parliament, Commission, etc.) and has its own legal personality. It is 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)
Community Fisheries Control Agency (CFCA)
Community Plant Variety Office (CVPO)
European Agency for Safety and Health at Work (OSHA)
European Agency for the Management of Operational Cooperation at the External Borders (FRONTEX)
European Asylum Support Office (EASO)
European Aviation Safety Agency (EASA)
European Centre for Disease Prevention and Control (ECDC)
European Centre for the Development of Vocational Training (Cedefop)
European Chemicals Agency (ECHA)
European Environment Agency (EEA)
European Food Safety Authority (EFSA)
European Foundation for the Improvement of Living and Working Conditions (EUROFOUND)
European Maritime Safety Agency (EMSA)
European Medicines Agency (EMEA)
European Monitoring Centre for Drugs and Drug Addiction (EMCDDA)
European Network and Information Security Agency (ENISA)
European Railway Agency (ERA)
European Training Foundation (ETF)
European Union Agency for Fundamental Rights (FRA)
Office for Harmonisation in the Internal Market (Trade Marks and Designs) (OHIM)
Translation Centre for the Bodies of the European Union (CdT)

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 (ISS)
European Union Satellite Centre (EUSC)

Police and Judicial Cooperation in Criminal Matters Agencies
Another group of agencies has been set up to help the EU Member States cooperate in the fight against organised international crime. At present, these agencies are:

European Police College (CEPOL)
European Police Office (EUROPOL)
The European Union’s Judicial Cooperation Unit (EUROJUST)
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).

Financial supervisory bodies

Three European supervisory authorities were established in January 2011 to prevent the build-up of risks that threaten the stability of the overall financial system. They are:

**European Banking Authority (EBA)**
**European Securities and Markets Authority (ESMA)**
**European Insurance and Occupational Pensions Authority (EIOPA)**

The **European Systemic Risk Board (ESRB)** was also set up in January 2011 to replace the former **EU Supervisory Committees**.

Other agencies

A new institute, the **European Institute of Innovation and Technology (EIT)**, has recently 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 Treaty of Lisbon established the **European External Action Service (EEAS)**: the EEAS helps the High Representative ensure the consistency and coordination of the Union's external action as well as prepare policy proposals and implement them after their approval by Council. It also assists the President of the European Council and the President as well as the Members of the Commission in their respective functions in the area of external relations and ensures close cooperation with the Member States.

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37 See also Appendix 5 (link [http://europa.eu/agencies/executive_agencies/index_en.htm](http://europa.eu/agencies/executive_agencies/index_en.htm))
EU funding mechanisms

As part of its remit in administering Union funds, the Commission, through its various Directorates-General 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, 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. 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 substantially, 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 Communities, a publication that appears daily\(^{38}\), 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 will 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.

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

First, however, it will be 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.

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Chapter 8

The European Union: Some Key Policy Themes

European Union funding programmes are not created and managed in a vacuum. They exist as instruments to further EU policies.

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 education context. It is important, if you are considering developing a project proposal which may be seeking EU support, to understand something of the current major concerns of the Union and of how they have been developed. 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.

This 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 materialise. 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 decade 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. The introduction of the Euro represented a major step in European integration and was generally welcomed, although some governments 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 17 governments that use the currency, remains a difficult issue.

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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. Other Member States have signalled their intention to adopt the Euro over the coming years. For a fuller account of the Euro, see: [http://en.wikipedia.org/wiki/Eurozone](http://en.wikipedia.org/wiki/Eurozone).
EU enlargement

One of the main elements of the so-called ‘Agenda 2000’\textsuperscript{40} was enlargement of the European Union and the need to prepare the candidate countries for accession to the enlarged Union. This involved them in adapting their social and economic systems, including their provisions for education and training. On 1\textsuperscript{st} May 2004, 10 additional countries became members of the European Union\textsuperscript{41}, followed by Bulgaria and Romania on 1\textsuperscript{st} January 2007. These new Member States now participate formally in all decisions of the European Union, including the management of its Structural Funds and EU programmes such as the Lifelong Learning Programme and the 7\textsuperscript{th} Framework Programme on Research and Technological Development.

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: Croatia has recently begun the formal accession process which should be completed in 2013 and the Former Yugoslav Republic of Macedonia is also currently recognised as a candidate country as, more controversially, is Turkey. Albania, Bosnia and Herzegovina, Kosovo, Montenegro, Serbia and Iceland are all potential candidate countries.

Some history: Towards a Europe of Innovation and Knowledge

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 is in the Commission’s White Paper of December 1993 on Growth, Competitiveness and Employment\textsuperscript{42}. 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

This 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;

\textsuperscript{40}Agenda 2000 was an action programme, the main aims of which were to strengthen Community policies and provide the European Union with a new framework for funding the preparations for enlargement during the period 2000-2006. For more information, please see: \url{http://europa.eu.int/comm/agenda2000/index_en.htm}

\textsuperscript{41}Cyprus, Czech Republic, Estonia, Hungary, Latvia, Lithuania, Malta, Poland, Slovakia and Slovenia.

— 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.\textsuperscript{43}

The ‘knowledge-based economy’ 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 posits an economy that is radically different from the industrial economies of the past: an economy in which the (high value) skills and creativity of workers are central to the research, development and continuous innovation on which the new economy depends, rather than one based on (low value) physical labour. Implicit, too, are 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 produced a list of targets for achieving its goals, either general ones (economic growth averaging 3% average; an employment rate of 70% with 60% proportion of women working by 2010) or 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 should be at least 12.5% of the adults aged between 25 and 64).

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 had 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, taking account of national and regional circumstances.

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

Together with others, 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.

\textsuperscript{43}For the full text of the Council conclusions, see: \url{http://www.europarl.europa.eu/summits/lis1_en.htm#1}
Europe 2020

In an attempt to provide new momentum and to prepare the EU for the coming decade, on 3rd March 2010 the European Commission launched the ‘EUROPE 2020 strategy’. This strategy is based on three main engines 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 main representative headline EU targets, which the Member States will be asked to translate into national targets:

— 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 a series of Flagship Initiatives to be implemented through actions at all levels: in 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;
  — 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 pit itself against 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, which the Commission seems unable to develop.

Employment

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

One of the solutions which the Commission is keen to explore is the adoption of a ‘flexicurity’ approach which would combine flexibility and security in the labour market, based on:

— Flexible contractual arrangements
— Active labour market policies
— Lifelong learning provisions
— Modernised social security provisions, supporting mobility of labour anywhere within the EU

The EU’s main source of financial support to implement the European Employment Strategy (EES) is the European Social Fund which finances measures to improve employability and combat unemployment. From 2007 this is complemented by the PROGRESS Programme.

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. A useful summary can be found in Employment and Social Developments in Europe, a review published annually by the Commission. The review and its policy recommendations form part of the framework of the Europe 2020 strategy.

Social Policy

The Lisbon Strategy and Europe 2020 both clearly link economic growth and employment with support for a renewed and modernised social model which 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:

45 See Chapter 13.
46 For the 2011 edition of the review, see : http://ec.europa.eu/social/main.jsp?langId=en&catId=89&newsId=1137&furtherNews=yes
— **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 potentials 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 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 European Globalisation Adjustment Fund[^47] and the PROGRESS Programme)

— **Partnership, dialogue and communication** (involvement and consultation of non-governmental organisations, regional and local authorities and other stakeholders)

— **Ensuring that all EU policies promote opportunities, access and solidarity** (screening new initiatives for social and employment impacts).

The Treaty of Lisbon and the Charter of Fundamental Rights

The adoption of the Treaty of Lisbon[^48] and the Charter of Fundamental Rights in December 2009 brings an enhanced legal status to certain aspects of EU social and employment policy.


Most trade unions have agreed 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 of Fundamental Rights

The Charter contains 50 rights, with binding legal force on both the EU and on most of the Member States\(^49\), grouped in six areas:

- Dignity, Solidarity (which is where most of the employment and workplace rights appear in the Charter), Freedom, Citizens’ Rights, Equality, and 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, 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) will have 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 will 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 recent controversial judgements. Following ratification of the

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\(^{48}\) Not to be confused with the Lisbon Strategy.

\(^{49}\) 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.
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 will also have to give them equal weight when formulating new EU laws and national governments will have to do the same when incorporating EU laws into national legislation.

Secondly, establishing the Charter’s 50 provisions as primary EU law will prevent Member States from rowing back on existing legal rights where they relate to EU laws, treaties or regulations. This should effectively strengthen workers’ protections 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 protections for workers, including representation rights. Although the Charter’s provisions will not automatically apply to all domestic laws, the rights it enshrines should apply when the EU is legislat ing, when its Member States are implementing or transposing EU law, and when the national courts and the ECJ are interpreting EU legislation. Unions would 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 this possibility.

The Solemn Declaration on workers’ rights and social policy

The ‘Solemn Declaration on Workers’ Rights and Social Policy’ was among the guarantees obtained after the first Lisbon referendum. The declaration sets out EU actions and attitudes in the field of social policy including employment, equality and the provision of public services.

The Solemn Declaration is essentially a restatement of EU policies as set out in the Lisbon Treaty and existing treaties. In itself, it is not legally binding. This is because some of the issues it covers are already the subject of EU law (e.g. equality) while others are areas where national governments retain considerable areas of sovereignty (e.g. labour markets and public services).

The Declaration outlines the achievements of Social Europe. It reaffirms EU commitments on equality between women and men, the rights of the child, social exclusion, employment and social protection. It explicitly states that Member States – not the EU – have the authority to organise their own public services, and that each Member State has a veto when it comes to international trade agreements that might affect social, education or health services.

The social clause

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 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. These concerns have underpinned objectives in funding programmes such as Seventh Framework Programme for Research and Development.

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. This theme is followed through in the Competitiveness and Innovation Framework Programme, as well as in the Seventh Framework Programme.

Information Society

The field of information and communications technology continues to provide an important plank in EU strategy. This is in part a direct element of 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.

Various funding measures contribute to the achievement of these objectives, including the Seventh Framework Programme for Research and Development and the Competitiveness and Innovation Framework Programme, as well as aspects of the Lifelong Learning Programme.

Education and Training

Education and training clearly plays a crucial role in delivering the knowledge-based economy advocated by the Lisbon Strategy and several of the Flagship Initiatives announced as part of the Europe 2020 agenda.

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 and involving or affecting 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. It provides a forum for discussion on education and training and, through the open method of coordination developed as part of the Lisbon Strategy, has developed a framework to encourage convergence of national policies and collaborative identification of objectives, yardsticks and standards for Member States to measure their progress towards improvement.

As early as 1996, the White Paper Teaching and Learning: Towards the Learning Society50 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.

_Education, training and the Lisbon Strategy_

These themes were all brought into sharper focus in the Lisbon Strategy which set out some quantifiable targets for the Member States, the Council and the Commission in the fields of training and education, including:

- To ensure a year-on-year increase in investment per inhabitant in human resources
- To halve, between 2000 and 2010, the number of persons aged 18 to 24 who have completed only the first cycle of secondary education and are not continuing with either study or training
- To ensure that schools and training centres all have Internet access and gradually evolve into multi-purpose local learning centres accessible to all, by developing partnerships between schools, training centres, businesses and research establishments
- To encourage mobility among students, teachers, trainers and researchers through making best use of the existing Community programmes, by removing obstacles and through greater transparency in the recognition of qualifications and periods of study and training.

The objectives of the Lisbon Strategy with regard to education and training were further refined by the meeting of the European Council in Barcelona in March 2002. The _Detailed work programme on the follow-up of the objectives of education and training systems in Europe_51(also referred to as the _Education and Training 2010 work programme_), approved by the Council at that meeting:

- Reconfirmed training as playing a key role in the context of the European Social model for three reasons. Firstly, training is crucial to an individual’s development, because it helps them to fully realise their potential both in professional life and in the active citizenship of a democratic society. Secondly, training is fundamental for

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the development of the society because it promotes social cohesion, encouraging tolerance and the respect for human rights. Lastly, it is crucial for economic development that workers’ qualifications should be able to meet the economic and technological challenges that are foreseen

- Urged a closer integration between education, vocational training and the labour market, including developing appropriate forms of mutual recognition for both formal qualifications and skills acquired at work
- Called for a closer cooperation between the different institutional (Ministries, regions, local authorities) and non-institutional bodies (social partners, civil society organisations, etc.) involved in education and training, and a closer link between resources and the local social and economic context.

The Barcelona Council defined detailed objectives, based on three strategic themes, which would constitute the challenges facing the EU and the Member States in the period up to 2010:

- Strategic objective 1: To improve the quality and effectiveness of education and training systems in the EU
- Strategic objective 2: To facilitate the access of all to education and training systems
- Strategic objective 3: To open up education and training systems to the wider world

These objectives were each accompanied by a specific timetable, with performance indicators for every action and a more precise definition of each sub-objective.

In May 2003, the Council further agreed a series of five benchmarks to be applied in monitoring progress in the field of education and training towards the Lisbon goals in the period to 2010:

- The EU average rate of early school leavers (the share of the population aged 18-24 with only lower secondary education or less and not in education or training) should be no more than 10%.
- The total number of graduates in mathematics, science and technology in the EU should increase by at least 15% while at the same time the gender imbalance within this group should decrease.
- At least 85% of 22 year-olds in the EU should have completed upper secondary education.
- The percentage of low-achieving 15 year-olds in reading literacy in the EU should have decreased by at least 20% in comparison with the level in 2000.
- The EU average level of participation in Lifelong Learning should be at least 12.5% of the 25-64 age group.

It is also important to note that the Barcelona Council called for closer collaboration between national and local institutions and the social partners in delivering the objectives of the work programme, in order to forge closer links between the training strategy and the development of social cohesion and employment. Shortly before the Council meeting, the European Trade Union Confederation and the other European social partner organisations had also signed an important document on vocational training, *A framework of actions for the lifelong development of competencies and qualifications*[^52], which again confirmed the importance of improving workers’ skills and qualifications in facing up to the challenges posed by competition and globalisation.

[^52]: For more information on the *Framework of actions* document, see Chapter 10
Lifelong Learning

The 10-year work programme set out in Barcelona encompasses the whole area of education and training, from primary school through to adult education. Underpinning this is the guiding principle of ‘lifelong learning’. Its most developed exposition can be found in the November 2001 Communication from the Commission, *Making a European Area of Lifelong Learning a Reality*, 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 is 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 has underpinned the EU’s major Lifelong Learning Programme, which has brought what were previously diverse initiatives in education and training within a single framework programme.

Vocational Education and Training – The Copenhagen Process

Within this wide field of lifelong learning, the remainder of this chapter will focus principally on issues concerning *vocational education and training (VET)*. 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*. The work which has followed – referred to as the *Copenhagen Process* (and in many ways mirroring the Bologna Process relating to Higher Education) - has been developed within the perspective of lifelong learning, with an emphasis on making it possible to link 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

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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. However, it is important to highlight the fact that the desired quantitative results have not been achieved, although the process has strengthened cooperation between the Member States and the social partners on the themes of education and training. It has also resulted in the development of some important common tools which are outlined below.

It is also important to underline that trade unions were acknowledged as important stakeholders in the process which was to deliver the Lisbon Strategy, and most particularly in the development of the European systems of VET. Together with the other European social partner organisations, they are key participants in the Copenhagen process to which the annual reports on the Framework of actions make an important contribution. They are also represented on the Committees overseeing both the Lifelong Learning Programme and the European Social Fund. Trade unions at national level, too, are seen as significant stakeholders in these developments and have an important role to play both at the level of policy-making and of implementation.

**Qualifications, transparency and mobility**

It is also important to note that the Copenhagen process was born 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\(^57\).

- **European Credit System for VET (ECVET)**: this aims to create a European system to facilitate the transfer, validation and recognition of learning outcomes 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\(^58\) 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)**: 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 able to understand and compare the qualifications levels of different countries in the different education and training systems. As an instrument for the promotion of lifelong learning, the EQF encompasses general and adult education, vocational education and training, and higher education.

  The EQF comprises eight separate reference levels, which are based on ‘learning outcomes’ (i.e. what the learner can do), 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 encourages 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 carry a reference to the appropriate EQF level\(^59\).

- **The European Common Quality Assurance Reference Framework for Vocational Education and Training (EQARF)**: the EQARF is intended to serve as a reference instrument to help Member States to promote and monitor continuous quality assurance in vocational education and training.

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\(^{57}\)For more information, please consult the EUROPASS portal at: [http://europass.cedefop.europa.eu/europass/home/hornav/Introduction/navigate.action](http://europass.cedefop.europa.eu/europass/home/hornav/Introduction/navigate.action)


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. The EQARF is currently 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 EQARF, involving the social partners, regional and local authorities and all other relevant stakeholders.\(^{60}\)

- **European Network on Quality Assurance (ENQA-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).\(^{61}\)

- **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:
  - 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.

**Funding the Education and Training agenda**

The European Union has a long history of supporting transnational collaboration in education and vocational training, dating back even before the adoption in 1994 of two major funding programmes: SOCRATES, supporting education, and LEONARDO DA VINCI, dealing with vocational training. To these were subsequently added COMENIUS (addressed to schools), GRUNDTVIG (adult education), LINGUA (language learning) and MINERVA (supporting e-learning and the use of ICT). For the period 2007-2013 and in line with the increasing integration and harmonisation underlying the developments we have noted above, these initiatives are all being brought within the common framework of the new *Lifelong Learning Programme.*

Vocational training has also been and continues to be a major focus of the *European Social Fund,* with an increasing emphasis on the interrelationship of education and training, employment, employability and social cohesion.


EUROPE 2020: education and training in the crisis

It is clear that the very incomplete results of the Lisbon Strategy and the exceptionally severe crisis which is throwing the whole world into confusion 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.

However, the new strategy launched with ‘Europe 2020’ seems, at least on paper, to promote important objectives that will strengthen a Europe that bases its competitiveness on knowledge.

As we have already pointed out, it is significant that the main objectives include

— Reducing the average school dropout rate from 15% in 2010 to below the 10% mark in 2020

— Increasing the percentage of the population aged between 30 and 34 who have completed higher education from 31% in 2010 to 40% in 2020.

It is also important to emphasise the fact that the Lisbon target of investing 3% of GDP in R&D has not been reached.

The ‘Flagship Initiatives’ also include measures to increase, in particular, the importance of lifelong learning:

— **YOUTH ON THE MOVE**, aimed at enhancing 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, combining both excellence and fairness, 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.63

— **A STRATEGY FOR NEW SKILLS AND NEW JOBS**, aimed 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 the citizens. This should be achieved through the acquisition of new skills, in order to enable labour, now and in the future, to adapt to new conditions and possible career changes, and to reduce unemployment and increase the productivity of labour. This initiative continues along the route embarked upon by the Commission Communication *New skills for new jobs*64.

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 then goes on to suggest 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.

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— 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 given another boost by the Commission Communication *A new impetus for European cooperation in vocational education and training to support the Europe 2020 Strategy* and even more so by *The Bruges Communiqué on enhanced European Cooperation in Vocational Education and Training for the period 2011-2020*. In this, the Commission, the Ministers for Vocational Education and Training of 33 European countries (the 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.

In line with the Commission Communication and the necessary updating of the Copenhagen Process, the Bruges Communiqué states 11 strategic objectives to be achieved by 2020, as well as 22 medium-term objectives for the period 2011-2014. It attempts to implement the Europe 2020 objectives linked to education and training and also puts forward suggestions for strengthening, through measures to be applied at national and European level, the links between VET and the more general objectives of Europe 2020 on employment, sustainability and inclusion.

The focus of the Communiqué maintains that, in order to emerge from the crisis properly, Europe needs “flexible, high-quality education and training systems which respond to the needs of today and tomorrow”. 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 the Cedofop studies showed, technological progress will increase demand for intermediate and higher-level qualifications. It will be necessary to strengthen, at all levels, the capacity to anticipate needs for skills, through tools that provide a better knowledge of the emerging sectors and skills, while supporting the necessary transitions towards the green economy. It will be necessary 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. It will be necessary, on the one hand, to extend VET systems beyond the borders of Europe and, on the other, to attract a larger number of foreign learners to the European systems. Finally, it will be necessary to avoid letting budgetary constraints lead to a reduction in investment in VET, while also seeking innovative solutions and a fair distribution of resources.

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

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67 Ibid p1.
— 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 to 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 by 2020;
— 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 Social Fund, EU Programmes (including Lifelong Learning), national and regional resources.

As can be seen, the Communiqué makes interesting proposals, although the binding commitments for the Member States and for the Commission are still rather general.

However, the ETUC preferred to express a fairly positive view of the final document68 and emphasised the importance of the role of education and training in the Europe 2020 strategy, while emphasising the importance of the involvement of the social partners in the whole process.

It will be incumbent upon the political and social forces, which have a sincere belief in the fundamental role that education, training and research can play in our recovery from the crisis, to ensure that these policy directions underpin real political choices.

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.

68See ETUC, Bruges Communiqué on Enhanced Cooperation, Education and Training, 8.12.2010
Chapter 9

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 European level. We emphasised in Chapter Three 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. This chapter outlines the Confederation’s structure, policies and priorities, with a particular emphasis on education and training.

Structure of the ETUC

Founded in 1973, the European Trade Union Confederation (ETUC) 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 83 national confederations from 36 different European countries and 12 European industry confederations, plus 4 observer organisations in Macedonia, Serbia and Bosnia and Herzegovina. Other trade union structures such as EUROCADRES (the Council of European 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, four Confederate 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.

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69 See http://www.etuc.org/
70 Please note that these figures change frequently
71 See also: http://www.etuc.org/r/11
72 See Chapter 10
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 the General Secretary (Bernadette Ségol), two Deputy General Secretaries (Józef Niemiec and Patrick Itschert) and four Confederal Secretaries (Judith Kirton-Darling, 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
- Social policies
- Social Europe
- Posting of workers
- Equality
- Economic and employment policies – Europe 2020 strategy
- Domestic workers
- Flexicurity
- Internal market and public services
- Social Progress Protocol / ECJ rulings
- Environment
- External relations
- Specific groups of interest
- European trade unionism
- The Better Regulation Agenda
- Financial Reform

The ETUC has reorganised its standing committees and working groups. For an update, please consult the website at http://www.etuc.org/r/3.

The ETUC also convenes the Interregional Trade Union Councils (IRTUCs) Coordinating Committee, 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 44 IRTUCs, ranging from the northern tip of Sweden to southern Spain, from Ireland in the west to Hungary in the east.

The ETUC has also established The European Trade Union Institute to assist it in its work.
European Trade Union Institute (ETUI)

Since April 2005, the work of the ETUC has been supported by the European Trade Union Institute (ETUI)\(^73\). The main mission of ETUI is to strengthen a European trade union identity and to provide European trade unions with the tools to participate in the European debate and contribute to the development of a Social Europe. ETUI brings together what were previously three independent organisations.

The Institute is structured into three departments:

**ETUI Education**

Formerly known as the European Trade Union College (ETUCO), ETUI Education\(^74\) provides ETUC and its affiliated organisations with a European education and training service, and helps to develop a European dimension in trade union education. 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, as well as providing an invaluable source of information and support for project work through its SETUP Service\(^75\).

**ETUI Research**

The ETUI Research Department\(^76\) 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 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).

**ETUI Working Conditions, Health and Safety**

Formerly the Trade Union Technical Bureau (TUTB)\(^77\), this department promotes a high level of health and safety in European workplaces. It monitors the drafting, transposition and implementation of European legislation concerning health and safety in the workplace and advises the ETUC and its affiliates. It 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**

At its 12\(^{th}\) Congress in May 2011, the ETUC adopted *The Athens Manifesto* which sets out its objectives for the next period\(^78\) .

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\(^73\) See [http://www.etui.org](http://www.etui.org)

\(^74\) See [http://www.etui.org](http://www.etui.org)

\(^75\) The SETUP Service is accessible online at [http://www.etui.org/Services/Support-for-European-Trade-Union-Projects-SETUP](http://www.etui.org/Services/Support-for-European-Trade-Union-Projects-SETUP). SETUP offers a broad set of activities of advice, assistance, information and training for ETUC affiliates.

\(^76\) See [http://www.etui.org](http://www.etui.org)

\(^77\) See [http://www.etui.org/Publications2](http://www.etui.org/Publications2)

\(^78\) For the full text of the Manifesto, see [http://www.etuc.org/r/1223](http://www.etuc.org/r/1223)
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’. 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 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 Posted Workers Directive and in internal market regulation known as ‘Monti II’. An action day has been approved to promote the Manifesto’s aims.

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 and the European agencies for vocational training, living and working conditions and health and safety. The Directive on *European Works Councils*, the Directive on *Information and Consultation Rights*, the Directive on the *European Company* and the *European Charter of Fundamental Rights* 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’⁷⁹. This is mirrored by social dialogue in 35 industrial sectors, coordinated by the European Industry Federations. 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). These agreements were ratified by the Council of Ministers and are now enshrined as Directives in European legislation. The ETUC also negotiates other European-level agreements directly with employers under the system of ‘autonomous’ social dialogue. To date, three such agreements have been signed, along with two frameworks of action.

**Key policies and priorities**

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, vocational training and qualifications and work organisation. Another specific priority in this context is the effective implementation of the European Works Council Directive.

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⁷⁹ For more information on the Social Dialogue, see Chapter 10.
The ETUC considers that progress towards this will be achieved by a combination of legislation and free collective bargaining. On the one hand, the Union Treaty needs to recognise various fundamental individual and collective rights. On the other, social partners must be free to enter into binding agreements independently of the legislative authorities within a framework of organised social dialogue. The broadening and strengthening of this social dialogue is another key objective.

**Employment** is a central concern, with the objective of increasing both the quantity and quality of jobs available and contributing to a massive reduction in the current levels of unemployment in the European Union. In this context, the ETUC welcomed the increased emphasis on employment within the Amsterdam Treaty and the commitment to developing National Employment Plans. It has also been broadly supportive of the progress towards Economic and Monetary Union, but is concerned to see this based principally on a genuine convergence and harmonisation of economies, rather than on purely monetarist criteria such as interest rates and inflation.

The ETUC strongly supported European enlargement and integration, including the accession of the candidate countries from Central and Eastern Europe.

It was also strongly in favour of the proposed European Constitution and has broadly welcomed the new Treaty of Lisbon, whilst regretting that its social dimension is not stronger and that the Charter of Fundamental Rights does not form part of the Treaty itself and is not legally binding on the UK and Poland, nor now on the Czech Republic. In its December 2009 Resolution, the ETUC declared that it would also be exploring with its affiliates how to use the new provisions of the Lisbon Treaty and how to build on its social features, including:

- The reinforcement of social values and principles (such as solidarity, equality and gender equality, non-discrimination, etc.)
- The social and employment objectives (‘full employment’, ‘social market economy’)
- The recognition of the role of the social partners
- The incorporation of the Charter of Fundamental Rights
- The right of initiative for citizens
- The legal base for services of general interest
- The social clause.

It also reminded members that during the negotiations of the European Convention some important demands of the ETUC were not met, including:

- Qualified majority voting to become the usual procedure for social policy,
- ‘Economic governance’ to be introduced, in particular in the Euro zone,
- Social governance if necessary via enhanced cooperation to avoid a standstill.

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80 See also the section on employment in Chapter 8.
81 More detailed information on ETUC policies and priorities can be found at http://www.etuc.org/
82 See http://www.etuc.org/a/4383.
83 See http://www.etuc.org/a/6741.
The ETUC and Europe 2020

With the renewed intensity of the crisis, the ETUC highlighted the fact that the Europe 2020 strategy was not providing solutions to end the crisis, stating that:

‘The right question is not if but how national debt should be reduced. On the contrary, what needs to be done is to pursue the opposite of the austerity policy. Securing and turning the recovery into a process of autonomous growth must be the priority. Europe will be able to rid itself of its debts only through growth and by creating new jobs, rather than destroying them.’

The ETUC therefore proposes that Europe act together and play a leading political role itself by launching a European initiative for debt and investments, revolving around the following points:

— the launch of a green Eurobond, used to support a recovery based on investments aimed at developing infrastructure for a greening of the European economy (for example, an intelligent European electricity network, investments in renewable energies, etc.);
— in return, investments and economic recovery should be dedicated to a gradual but continuous reduction in national deficits;
— at the same time, Europe should adjust the pace of the deficit reduction, by changing its target to 3% by 2016-2017 – instead of by 2012-2014
— new sources of financing for servicing European debt, for example a European tax on financial transactions and a minimum European tax on company profits.

Education and training policy

We have already mentioned that ETUI Education is directly involved in developing and delivering services in these fields. In addition, however, 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 Committee and the Lifelong Learning Programme Committee. It is also a key partner, together with BUSINESSEUROPE (the European employers’ organisation – formerly UNICE) and CEEP (representing public sector enterprises at a European level) in the Social Dialogue Education and Training Work Group.

Resolution on Lifelong Learning for All

As regards the ETUC’s own training policy, it formulated one of its most significant position papers on education and training in 2001, in response to the Commission’s Memorandum on Lifelong Learning. This response, which still represents the ETUC’s position on many key issues, is incorporated as a supporting document to the Commission’s Communication on Making a European Area of Lifelong Learning a Reality.

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84 Europa Press release, 3rd March 2010
85 See Chapter 7.
86 See Chapter 12.
87 The UNICE web site can be found at http://www.businesseurope.eu/. The CEEP web site can be found at: http://www.ceep.eu/
In its response, extracts from which are reproduced here, the ETUC considers that the creation of the knowledge-based society, envisaged by the European Council in its Lisbon strategy, should provide new opportunities for everyone. In order to achieve the construction of a new culture of lifelong education and training, the ETUC maintains that Europe needs to develop innovative and integrated approaches as well as greater synergy between the different policies and instruments involved, notably between the Structural Funds and the funds for education and training, and between the national and European authorities. All the players, including the social partners, need to be involved in a concrete and active way.

To do this, the major need is to move away from a strategy that is too generic and to create effective structures to address the following key issues:

**Access to lifelong education and training.** There is a need to recognise, at the national and European levels, the individual right of access to lifelong training for all categories of workers, including the elderly, atypical workers, seasonal workers, the disabled, ethnic minorities and people with a low level of basic qualifications. This right needs to be closely linked to individual aspirations. Possibilities for career progression, geographical or professional mobility and increased employability are needed. Trade union organisations have a very important role to play, through collective bargaining and trade union training, in helping to increase awareness among workers, trade union officials and delegates of the challenges raised by the knowledge-based society.

**Increased investment in human resources.** The notion of lifelong learning is in the strategic interest not just of individuals, but also of companies and of society as a whole. So it is necessary to increase the level of public spending on education and to consider investments in human resources not as costs to businesses, but as a means of boosting productivity and competitiveness. It must always be borne in mind that the prime responsibility for such financing cannot fall on individuals themselves. The provision of individual ‘learning accounts’, with resources allocated for the specific purpose of buying education and training services, is an important means of realising this. Equally, such investment should not be seen merely as a money matter, but viewed within the broader scope of general work organisation.

**Time for training.** Policies on lifelong learning and on working time need to be linked and the social partners need to negotiate fresh balances between them. There are already practices, in some European countries, which begin to address this issue (for example, through the use of ‘time credits’, whereby overtime is recorded in special accounts, which can then be used for periods of rest or training leave).

**The recognition of the results of training.** It is important to accelerate the implementation of instruments which recognise and validate the training courses followed, to ensure the portability of qualifications between different work contexts. There should also be ways of certifying skills and qualifications, obtained in an informal context within the workplace. The social partners should have an enhanced responsibility in this field.

**The organisation of work and training.** A new organisation of work implies the creation of conditions that are favourable to learning in the workplace. The social partners should negotiate instruments to identify training needs as well as access for all to lifelong learning within the workplace. These negotiations would include the
establishment of training plans, the identification of the needs of the business as well as individual needs, and the use of skills audits and other appropriate tools.

**A fresh understanding of partnership.** A strong and dynamic partnership between all the players concerned in the promotion of lifelong education and training – individuals, the social partners, education and training organisations, and public authorities at the different levels – is a precondition for the successful implementation of these policies. The public authorities, however, have a unique role, since they bear the responsibility for ensuring social equality and justice. They therefore need to ensure that appropriate opportunities for learning are equally available to all people at all stages of their lives and to provide information, careers and advisory services to play a key role in promoting them. This will involve reinforcing the links between the various sectors in the education systems, by promoting new approaches to providing every individual, irrespective of age or gender, with basic training and the new technical and social skills needed to build the knowledge society. It is also necessary to disseminate tools to anticipate social and economic change, so as to be able to predict the need for specific skills and qualifications and to provide appropriate guidance and vocational training for all those who are currently excluded from the labour market.

**Innovation in teaching and training methods.** The introduction of lifelong education and training needs also to involve the development of new methods of teaching and new teaching materials, the increasing use of information and communication technologies (ICTs), the expansion of various forms of training, the reinforcement of infrastructures and the active participation of students. But it will also require the active involvement of teachers and trainers, whose qualifications in the field of ICTs represent an initial challenge, as well as the promotion of a European dimension in the profession. This could be supported by the creation of a European Teacher Training Institute.

**Closer ties at the local level.** Opportunities for learning must be brought closer to home. This should underpin all local and regional policies and actions promoting economic development and social cohesion, in which education and training should also play a key role. That is why the setting up of local multidisciplinary centres for the acquisition of knowledge, the establishment of partnerships at local and regional levels and the implementation of regional and locally based employment pacts, involving a major role for training, represent another important challenge for the social partners.

**The social dialogue.** We need to broaden the framework of the national and European social dialogue; experience shows that it is easier to achieve a broad consensus on identifying future problems and challenges, than to obtain joint commitments on measures for implementing lifelong education. However, the ETUC wishes to pursue this policy, with a view to achieving a European framework agreement on arrangements facilitating workers’ access to lifelong education and training.

In line with these points, the ETUC has subsequently reminded the Commission and the Member States, during the implementation process of the Lisbon Strategy, of the need:

— To support the key role of the Information Society in concrete terms, by supporting access to training opportunities available to every European citizen and worker and

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89 See Chapter 10 for more information on the Framework of actions for the lifelong development of competencies and qualifications, signed by the ETUC, UNICE/UEAPME and CEEP in February 2002.
increasing their competences, with significant investments from European funds in the period 2007-2013

— To identify means of recognising both non-formal and informal competences, including those gained in work experience, within the context of the European Qualification Framework (EQF)\(^\text{90}\) and of the European Credit Transfer System for Vocational Training (ECVET)\(^\text{91}\);

— To increase the involvement of social partners in every phase of this process and also to take into account the key issues highlighted in the *Framework of actions for the lifelong development of competencies and qualifications*, adopted by the ETUC, UNICE, UEAPME and CEEP in February 2002\(^\text{92}\).

**Resolution on More investment in lifelong learning for quality jobs**

In December 2010 the Executive Committee of the ETUC adopted a further Resolution: *More Investment in Lifelong Learning for Quality Jobs*, addressing issues concerning education and training\(^\text{93}\).

The Resolution begins by claiming that the European Union needs a paradigm shift. The model of ‘free and deregulated’ markets pushed forwards 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.

In order to contribute to 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 ETUC is convinced that learning without setting appropriate socio-political objectives will ultimately fail and so calls on the EU, Member States and employers throughout Europe to invest more in lifelong learning.

**1. Context**

In this first section of the document, the ETUC notes that Europe’s social and economic well-being is dependent on having a well educated and highly skilled population, and education and training play an essential role in giving citizens the knowledge, skills and competences they need to participate fully in society and the economy.

Global competition, demographic developments, technological progress, climate change obligations and shifts in patterns of employment individually and collectively are having a dramatic impact on labour markets and the need for new knowledge, skills and competences. All these changes are also taking place at a time of great economic uncertainty and at a time of high unemployment.

**2. The EU response**

The next section notes that the EU’s response to this financial and economic crisis has been to move from the Lisbon Strategy, whose professed aim was for the EU `to

\(^{90}\) See Chapter 8

\(^{91}\) See Chapter 8

\(^{92}\) See Chapter 10

\(^{93}\) http://www.etuc.org/IMG/pdf/Final_12-EN-LLL-for-quality-jobs_2010_2_.pdf
become the most dynamic and competitive knowledge-based economy in the world by 2010 capable of sustainable economic growth with more and better jobs and greater social cohesion and respect for the environment’, to another 10-year initiative Europe 2020 – A European strategy for smart, sustainable and inclusive growth. It notes the headline targets for 2020, the two Flagship Initiatives that are directly linked to education and training and the labour market, ‘An Agenda for New Skills and Jobs’ and ‘Youth on the Move’ and the developments in the Copenhagen process94.

3. The ETUC response

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 Strategy95. In this statement the ETUC and the employers’ organisations underline, inter alia, the importance of promoting the knowledge triangle (education, research, innovation), whilst noting amongst other things that

‘In this context the notion of innovation has to be widened to all kind of non-technological innovation including "social innovation" in order to increase social capital which is important for both competitiveness and social cohesion. Insufficient investment in innovation and further education is exacerbating economic problems and affecting labour productivity.’

4. The ETUC lifelong learning agenda

The final section of the document sets out the ETUC’s lifelong learning agenda which has the following key points:

1. Supporting top quality initial education

Education is a fundamental human right and essential for the exercise of all other human rights. Top quality initial education provides a fundamental start in life, and the ETUC calls on Member States to support publicly funded and properly regulated institutions of initial education, covering pre-primary, primary and secondary schools, vocational training and tertiary education, with well qualified and well trained teaching and support staff on good pay and conditions.

In the light of the Europe 2020 strategy the ETUC calls on the EU to propose a Recommendation for reducing the numbers of early school leavers based on prevention, intervention and compensation and also a Recommendation for achieving the 40 % figure for the younger generation with a tertiary degree.

2. Enabling equal access to education and training

Equal access to initial education and training is essential to launch citizens on their way, but equal access to continuing education and training is essential to respond to citizens’ changing circumstances and aspirations on the one hand and the needs of the labour market on the other.

The ETUC calls on the EU to underpin this access with a workers’ right to training. The ETUC considers that employers, and particularly SMEs, should support lifelong learning initiatives by making learning more accessible during working hours, and better suited to workers’ needs, either through the individualisation of learning plans, the shift to competence-based training, the move to modularisation or the use of distance learning.

94 For more information on these, see Chapter 8.
95 See http://www.etuc.org/a/7327
3. **Recognising and validating non-formal and informal learning**

Participation in non-formal and informal learning after leaving initial education is essential for citizens, both men and women, to improve their knowledge, skills and competences. The validation of non-formal and informal learning provides opportunities for integration into society in general and into the labour market in particular.

The ETUC calls on the EU to put forward a Recommendation, with full involvement of the social partners at European and national level, on the validation of non-formal and informal learning which improves validation practices, where they exist, and which introduces new legal structures and policy frameworks to support non-formal and informal learning, where they do not.

The ETUC calls on Member States to consider ways in which the validation of non-formal and informal learning can be integrated into National Qualification Frameworks and to establish rigorous and credible instruments with social partners for the recognition and transferability of skills obtained via non-formal and informal learning.

The ETUC calls on employers to examine ways of recognising the validation of non-formal and informal in the workplace, by means of career development and salary increases.

4. **Easing the transition from initial education to working life**

If working men and women are to take advantage of employment opportunities, both nationally and Europe-wide, they need to have the right knowledge, skills and competences and to match them to labour market needs.

The ETUC calls on the EU and Member States to continue to invest in socio-economic research and to develop more reliable systems for the anticipation of future skill needs and skill shortages, with the active participation of social partners. The fruits of this research need to be disseminated in a clear and user-friendly way.

The ETUC calls on Member States and employers to make greater provision for fully-funded on-the-job training and apprenticeships.

The ETUC calls on Member States to develop greater permeability and mobility between academic and vocational education systems within the context of National Qualifications Frameworks.

Finally the ETUC calls on Member States to establish integrated guidance and counselling services and efficient job placement services which are closely linked to the needs of the labour market.

5. **Providing adequate and targeted funding for top quality education and training**

Europe’s social and economic well-being is dependent on having a population that is highly qualified and able to understand the world in which we live, and this requires adequate and targeted funding. It is counter-productive for European governments to cut funding for education and training during the financial and economic crisis, as a growing economy is dependent on the supply of highly skilled workers and on the mobilisation of the skills and competences of the unemployed.
The ETUC demands that Member States do not take advantage of the financial and economic crisis to make public spending cuts which will have a deleterious impact on the provision of top quality education and training.

The ETUC calls on Member States and employers to invest in working men and women and to increase expenditure per employee for continuing vocational training.

6. Participating in social dialogue on lifelong learning
Trade union participation in social dialogue on lifelong learning is a key element for the successful design, management, monitoring and assessment of public policies and of national and EU vocational training systems.

The ETUC calls on the EU and Member States to support the participation of trade unions in this process of tri-partite social dialogue on lifelong learning at all levels. The ETUC calls on the European Commission to set up European sector skills councils within the context of the ‘An Agenda for new skills and jobs’ as a means of support for European Social Dialogue.

The ETUC calls on employers at all levels (European, national, regional and workplace) to recognise that trade union organisations and employers have shared interests in terms of the development of a highly skilled work force and to engage in a process of collective bargaining and/or social dialogue with trade unions, particularly at the workplace with union representatives and union learning representatives, on the subject of continuing vocational training.

7. Making the best of European education and training initiatives and instruments
The EU is in the process of implementing a series of initiatives, the European Qualifications Framework (EQF), EUROPASS, the European Credit Transfer and Accumulation System (ECTS), the European Credit System for Vocational Education and Training (ECVET) and the European Quality Assurance Reference Framework for Vocational Education and Training (EQAVET), and in the process of modernising the Professional Qualifications Directive (2005/36/EC)96. It has a number of initiatives for supporting education and training activities, including the European Centre for the Development of Vocational Training (CEDEFOP), the European Social Fund and the Lifelong Learning Programme.

The ETUC calls on the EU and Member States to ensure that these European initiatives, which have been designed to facilitate transparency, to encourage mobility and to improve overall quality, follow a similar ‘learning outcomes’ approach and are successfully implemented so as to respond to workers’ education and training needs, with social partner involvement at the European and national level.

The ETUC calls on the EU and Member States to ensure that these European instruments are safeguarded and developed further in the next EU funding period (2014-2020).

96 See Chapter 8
8. Training the next generation of trade union members, representatives and officers

If European trade unions are to succeed in facing the challenges caused by global competition, demographic developments, technological progress, climate change obligations and shifts in patterns of employment, they will need competent and effective trade union members, representatives and officers.

The ETUC supports the provision of trade union education programmes and initiatives which will then ensure that trade union officers and representatives have the appropriate knowledge, skills and competences to defend the interests of their trade union members.

In order to contribute to a greater emphasis on European cooperation on quality jobs for working men and women, the ETUC calls on the EU, Member States and employers throughout Europe to invest more in lifelong learning.

In developing projects proposals at European level, it is important to consider ways in which the outcomes could contribute to such trade union policies and priorities at a European level, as well as simply benefiting specific national contexts. This chapter should have given you some pointers on this.
Chapter 10

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, particularly in the field of education and training.

The EU recognises the importance of organisations representing 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 those of 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 (UNICE\textsuperscript{97} and CEEP\textsuperscript{98}) 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, although 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. Since December 1998, when it concluded a cooperation agreement with UNICE, the UEAPME\textsuperscript{99} has also represented private sector employers in interprofessional social dialogue at a European level.

The basis for the legal recognition of this dialogue is found in Article 139 of the Treaty of Amsterdam (the former Article 118b of the Maastricht Treaty), which requires the Commission to strive to develop dialogue between the social partners at a European level on a range of social issues, including free 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. The Treaty requires consultation with management and labour and the presentation of opinions or recommendations from the two sides before proposals in these areas are submitted to Council.

This enlargement of the role of the social dialogue is reflected in the increased participation of the social partners in the work of the Union, including their involvement in the European Social Fund Committee and the Lifelong Learning Programme Committee.

In most of these areas, their role is purely consultative. However, the Social Protocol to the Treaty, adopted by all the Member States, gives the social partners themselves the chance jointly to launch a legislative process. The historic first instance of this was the Framework Agreement on Parental Leave, signed by the

\textsuperscript{97} The Union of Industrial and Employers’ Confederations of Europe changed its name to BUSINESSEUROPE in January 2007. See \url{http://www.businesseurope.eu/}

\textsuperscript{98} European Centre of Enterprises with Public Participation and of Enterprises of General Economic Interest. See \url{http://www.ceep.eu/}

\textsuperscript{99} European Association of Craft and Small and Medium-Sized Enterprises. See \url{http://www.ueapme.com}
ETUC, UNICE and CEEP in December 1995, followed by two further agreements on part-time working and on fixed-term contracts. 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/UEAPME and CEEP have signed three 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; and the third in 2007 on harassment and violence at work. Almost 500 sectoral agreements have also been concluded.

The social partners have also adopted two frameworks of action: a framework of actions for the development of lifelong qualifications and competences in 2002 (which we will look at in more detail later in this chapter) and a framework of actions on gender equality in 2005.

Not all of the experiences of Social Dialogue have been so positive and the ETUC 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, including vocational training.

The European Commission has recently established a web site devoted to the European Social Dialogue, which contains a history of its evolution as well as key documents, a Social Dialogue Toolkit and information on grants available to support Social Dialogue.

**European Social Dialogue and Training**

Since 1986 the European Social Dialogue has also resulted in a series of ‘Common Opinions’ - joint statements from the ETUC, UNICE and CEEP, outlining mutual positions and identifying common objectives regarding social policy.

From the whole group of Common Opinions so far agreed, there emerges a particular concern for education and training and the role of Social Dialogue itself in these fields. Recurrent themes include:

— The role of vocational training as a lever of development, which constitutes a common interest for the social partners and governments in all its aspects (policies, resources, priorities, etc.)
— The importance of encouraging workers to achieve higher qualifications by providing more information and opportunities
— The development of quality continuing vocational training and a reciprocal recognition of qualifications, together with a stronger role for the social partners at all stages, from needs analysis and policy definition to the implementation of projects and monitoring and evaluation
— The evaluation of activities and services for vocational guidance, linked to a greater anticipation of the need for new forms of training and qualifications

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100 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).
See also Chapter 14 for more detailed information on the Social Dialogue budget lines.
A more widespread diffusion of initial training, which can provide a broad general education and guarantee the attainment of recognised qualifications, involving close links between schools and the business sector.

A particular attention to the role of training in supporting equality of opportunities for women.

On all these themes, the Common Opinions contain proposals for intervention by the Community, by Member State governments and their institutions, and by social partner organisations themselves, both at Community and Member State level.

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\(^{102}\). This is not a formal agreement, but a document which commits the social partners, at national and European levels, 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.

The most recent of the European social partners’ Common Work Programmes\(^{103}\), covering the years 2009-10, includes some joint initiatives on employment strategies and social issues. The ETUC believes, however, that these key issues must also be linked to a more effective bargaining process, overcoming resistance from many employers’ associations.

\(^{102}\) See [http://www.etuc.org/a/580](http://www.etuc.org/a/580)

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\textsuperscript{104}, 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 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 all propose the following measures to improve access to ESF resources:

- To improve the visibility of and information about the ESF
- To optimize the way the ESF operates by reducing and simplifying its procedures
- To introduce more flexibility into the ESF regulations within the existing operational programmes in order to allow them to respond more swiftly to changing circumstances
- To 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. Member States should consider using the fund to support working time arrangements linked to training/re-training.

They 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.

They 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. The social partners 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.

\textsuperscript{104} See http://www.ceep.eu/images/stories/pdf/publications/joint/090507_Recommendations_ESF_Employment_Summit_FINAL.pdf
European Social Partners’ Joint Statement on the Europe 2020 Strategy

In June 2010, ETUC, BUSINESSEUROPE, UEAPME and CEEP issued 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.

In conclusion, it is important to note that the themes and methodologies of the social dialogue constitute one of the major priorities in all the EU programmes concerned with lifelong learning. It is helpful to have an informed understanding of developments in this area, if you are involved in projects supported by these programmes.

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PART III
EUROPEAN UNION FUNDING PROGRAMMES
Chapter 11

An overview of EU funding programmes

Section Three of the handbook looks at some of the funding programmes established by the European Commission to develop and realise EU political priorities. It will be helpful to refer to Chapters Seven and Eight for background on major areas of policy.

This chapter provides a brief overview of programmes which might be of interest to trade unions seeking support for particular transnational projects.

Whilst many of the initiatives are funded from lines within the annual budget which are subject to re-negotiation each year, some of the major interventions such as the European Social Fund, the Lifelong Learning Programme, or the Framework Programme for Research and Technological Development have budgets and programmes of work which cover several years. These larger programmes in turn comprise a number of separate sub-programmes, each with a distinctive set of objectives and regulations.

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 national offices of the Commission106, or can be downloaded from the Commission web site.

The information which follows represents an indicative selection of some of the programmes available at the time of writing which are likely to be of interest to trade unions. The detail of what is available will change from year to year. You can find updated information in the SETUP pages 107 on the ETUI web site or on the web site of the relevant DG.

The information is arranged here under a number of thematic headings. An individual programme may appear under more than one heading. Some of the major initiatives, including the Lifelong Learning Programme, the European Social Fund and the Seventh Framework Programme for Research and Technological Development, also form the subject of separate chapters in this section.

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106 See Appendix 7
107 See Appendix 8.
Education & Training

As we noted in Chapter Eight, education and training have had a key role to play in securing the goals of the former Lisbon Strategy. This is a major area of Commission funding and involves not simply programmes administered by DG Education and Culture, but also aspects of other programmes and budget lines.

Lifelong Learning Programme (2007-2013)
The Lifelong Learning Programme comprises four specific sectoral sub-programmes: Comenius for school education; Erasmus for university level education; Leonardo da Vinci for vocational training; and Grundtvig for adult education. These bring together what were formerly separate programmes into a new integrated framework.

The Lifelong Learning Programme also includes a Transversal Programme with four Key Activities, focused respectively on policy cooperation and innovation, language learning, information and communication technologies, and dissemination and exploitation of results. In addition, the Jean Monnet Programme aims to strengthen the development of bodies and institutions active in the field of European integration108.

Documentation:

European Social Fund
The European Social Fund (ESF) regulations for 2007-2013 are more focused than the previous ones. Under both the 'Convergence' and the 'Regional Competitiveness and Employment' objectives, the ESF will provide support for anticipating and managing economic and social change throughout the Union. Its intervention focuses on the following key areas for action:

— Increasing adaptability of workers and enterprises
— Enhancing access to employment and participation in the labour market
— Reinforcing social inclusion by combating discrimination and facilitating access to the labour market for disadvantaged people
— Promoting partnership for reform in the fields of employment and inclusion109.

Within the ‘Convergence’ objective, social partners are encouraged to participate actively in capacity building actions and to undertake joint activities in policy areas where they play a decisive role (e.g. lifelong learning, modernisation of work organisation and tackling the consequences of restructuring).

Documentation:
http://ec.europa.eu/employment_social/esf/index_en.htm

108 See Chapter 12 for a more detailed description.
109 See Chapter 13 for a more detailed description.
Seventh Framework Programme for Research and Technological Development

The Seventh Framework Programme for the period 2007-2013 is a programme largely concerned with technological development and increasing cooperation between researchers, although it may also provide possibilities for exploring innovative social applications of technologies, including ICT\textsuperscript{110}.

Documentation:

Youth Action Programme

The Support Actions for this programme include training opportunities for those involved in activities with young people aged between 15 and 25.

Documentation:
http://ec.europa.eu/youth/index_en.htm

eLearning Programme

The activities covered by the former eLearning Programme have been absorbed by the Transversal Programme of the Lifelong Learning Programme 2007-2013. Details of the content and requirements are included in the Calls for Proposals and Guidelines of the new programme, published regularly in the Service SETUP of ETUI\textsuperscript{111}.

Documentation:

04.03.03.02 Information and training measures for workers’ organisations

This annual budget line supports information and training measures for workers’ organisations\textsuperscript{112}.

Documentation:
http://ec.europa.eu/social/main.jsp?catId=329&langId=en&furtherCalls=yes&callType=2

and

\textsuperscript{110} See Chapter 17 for a more detailed description.
\textsuperscript{111} See http://www.etui.org/Services/Support-for-European-Trade-Union-Projects-SETUP/Open-Calls-for-proposals-and-tenders
\textsuperscript{112} See also Chapter 14
EU-US Cooperation Programme in Higher Education and Vocational Education and Training
The European Commission has signed a cooperation agreement with the US for the continuation of this Programme for the period 2006-2013\textsuperscript{113}.

Documentation:
http://ec.europa.eu/education/eu-usa/doc1156_en.htm

EU-Canada Cooperation Programme in Higher Education and Vocational Training
The EU and Canada have signed a cooperation agreement for the period 2006-2013. Consortium projects will continue to be a cornerstone of the new programme\textsuperscript{114}.

Documentation:
http://ec.europa.eu/education/eu-canada/doc1563_en.htm

ALBAN Programme
The ALBAN Programme, which is now closed, aimed to reinforce European Union/Latin America cooperation in the area of Higher Education. It covered studies for postgraduates (in the context of Master and Doctorate degrees) as well as advanced training for Latin-American professionals and future decision-makers, in institutions or centres in the European Union. The new programme for cooperation between the EU and Latin America in the field of Higher Education is now part of the Erasmus Mundus Programme 2009-2013.

Documentation:

Erasmus Mundus
The Erasmus Mundus Programme 2009-2013 is a cooperation and mobility programme in the field of higher education. It aims to enhance quality in European higher education and to promote intercultural understanding through cooperation with third countries. It is open to higher education institutions, to students and staff directly involved in higher education, and to other public and private bodies active in this field.

Erasmus Mundus Partnership is a complementary programme that funds higher education student and staff exchanges and visits between European universities and universities from other countries

Documentation:

\textsuperscript{113} For more details, see Chapter 18
\textsuperscript{114} For more details, see Chapter 18
Tempus Plus
The Tempus Plus programme focuses on cooperation and development in higher education, vocational training, and school and adult education. It covers 27 countries in the Western Balkans, Eastern Europe and Central Asia, North Africa and the Middle East.

Documentation:

Employment & Employability
The key responsibility for employment policy clearly rests with DG Employment and Social Affairs but there are also close links with workforce training activities supported by DG Education and Culture. Current possibilities of support include:

04.02.12 EURES (European Employment Services)
This funding supports the operation for the EURES network, aimed at providing advice and information services on employment in Member States, exchanging job vacancies and applications at Community level and across borders, and sharing information between Member States on labour market trends and living and working conditions.

Documentation:
http://ec.europa.eu/eures/

European Social Fund 2007-2013
The European Social Fund 2007-2013 focuses, through its new instrument ‘Regional competitiveness and employment’, on promoting and improving employability\textsuperscript{115}.

Documentation:
http://ec.europa.eu/employment_social/esf/index_en.htm

Industrial relations
There are a number of annual budget lines dealing with industrial relations and worker representation, including currently:

04.03.03.01 Industrial relations and social dialogue
This funding supports measures for promoting social dialogue at cross-industry and sectoral level, as well as activities in the field of industrial relations, especially those aimed at developing expertise and exchange of information on a European basis. It also covers measures to promote good practices and networks, as well as studies and projects promoting financial participation by workers\textsuperscript{116}.

\textsuperscript{115} See Chapter 13 for a more detailed description.
\textsuperscript{116} See also Chapter 14.
04.03.03.02 Information and training measures for workers’ organisations
This budget line supports information and training measures for workers’ organisations, including participation of representatives of social partners from applicant countries\(^{117}\).

Documentation:
http://ec.europa.eu/social/main.jsp?catId=630&langId=en&callId=240&furtherCalls=yes

04.03.03.03 Information, consultation and participation of representatives of undertakings
This budget line supports measures to strengthen transnational cooperation between workers’ and employers’ representatives in information, consultation and participation matters, within undertakings operating in more than one Member State. It may also be used to fund training for representatives in transnational information, consultation and participation bodies\(^{118}\).

Documentation:
http://ec.europa.eu/social/main.jsp?catId=630&langId=en&callId=241&furtherCalls=yes

Social and environmental issues
The Commission also supports projects concerned with a wide range of social and environmental issues, including gender equality, discrimination and social exclusion, environmental problems and health and safety in the workplace.

PROGRESS Programme
PROGRESS has replaced the existing Community Programmes and budget lines in the fields of employment, social inclusion and protection, working conditions and antidiscrimination, including the Community Programme on Gender Equality\(^{119}\).

Documentation:

\(^{117}\) See also Chapter 14.
\(^{118}\) See also Chapter 14.
\(^{119}\) See Chapter 16 for a more detailed description.
European Social Fund 2007-2103
The European Social Fund has a strong emphasis on promoting equality and combating discrimination.\textsuperscript{120}

Documentation:
http://ec.europa.eu/employment_social/esf/index_en.htm

Daphne III - EU programme to combat violence against children, young people and women and to protect victims and groups at risk (2009-2013)

The Daphne III programme forms part of the General Programme ‘Fundamental Rights and Justice’ and is a continuation of Daphne II. The general objective of Daphne III is to contribute to the protection of children, young people and women against all forms of violence and to attain a high level of health protection, well-being and social cohesion. These general objectives will contribute to the development of Community policies, in particular those related to public health, human rights and gender equality.

The programme's specific objective aims to contribute to the prevention of, and the fight against, all forms of violence occurring in the public or the private domain against children, young people and women, including sexual exploitation and trafficking in human beings, by taking preventive measures and by providing support and protection for victims and groups at risk./

Documentation:
Daphne III is implemented through regular Calls for Proposals, available, together with the annual work programme and related documents


07.03.02 Community action programme promoting non-governmental organisations primarily active in the field of environmental protection
This line in the Commission’s annual budget is designed to support NGOs active in the field of environmental problems and sustainable development. It is open to EU Member States, candidate countries and Balkan countries.

Documentation:
http://ec.europa.eu/environment/funding/grants_en.htm

Health protection, hygiene and safety at work
Actions in the field of health and safety at work are supported by the PROGRESS programme (2007-2013), as well as by the budget lines on social dialogue (See Education & Training section).
Documentation:
http://ec.europa.eu/social/main.jsp?langId=en&catId=82

\textsuperscript{120} See Chapter 13 for a more detailed description.
Seventh Framework Programme for Research and Technological Development
The environment constitutes one of the themes of the Seventh Framework Programme for the period 2007-2013\textsuperscript{121}.

Documentation:
http://cordis.europa.eu/fp7/home.html

**Information Society**

Information society issues run through many programmes and range from technological innovation to online learning. The following is a small selection of the funding opportunities in this field:

Lifelong Learning Programme (2007-2013)
A transversal programme of the Lifelong Learning Programme, the Key Activity 3: Information and Communication Technologies (ICT), deals with the use of information and communication technologies within education and training\textsuperscript{122}. Other parts of the Lifelong Learning Programme can also support the use of ICT for learning purposes with specific age groups.

Documentation:

Seventh Framework Programme for Research and Technological Development and Demonstration
Information and communication technologies constitute one of the themes of the Seventh Framework Programme\textsuperscript{123}.

Documentation:
http://cordis.europa.eu/fp7/home.html

Competitiveness and Innovation Programme
The Competitiveness and Innovation Programme is designed to boost Europe's growth, jobs and competitiveness during the period 2007-2013. Part of its activities replaces the previous eTEN Programme\textsuperscript{124}.

Documentation:
http://ec.europa.eu/cip/index_en.htm

\textsuperscript{121} See Chapter 17 for a more detailed description.
\textsuperscript{122} See Chapter 12 for a more detailed description.
\textsuperscript{123} See Chapter 17 for a more detailed description.
\textsuperscript{124} See Chapter 17 for a more detailed description.
Languages and culture

The Commission supports a range of initiatives concerned with European culture and heritage, language learning and the protection of minority European languages and cultures.

The Culture Programme (2007-2013)

The Culture 2007 Programme takes over from the Culture 2000 Programme, focusing on three objectives:

— Transnational mobility for everyone working in the cultural sector in the EU
— Transnational circulation of works of art and cultural/artistic products
— Intercultural dialogue.

Documentation:
http://ec.europa.eu/culture/index_en.htm

Lifelong Learning Programme (2007-2013)

A transversal programme of the Lifelong Learning Programme, Key Activity 2: Languages, deals with improving the skills and competencies of EU citizens in language learning125. Other parts of the Lifelong Learning Programme can also support elements of language learning for specific age groups126.

Documentation:

Measures to promote and safeguard regional and minority languages and cultures

Funding is provided to support actions to promote and safeguard the Community’s regional languages and cultures, including those minority languages that do not belong to a specific region, such as Yiddish and gypsy language.

Documentation:
http://ec.europa.eu/education/languages/languages-of-europe/doc139_en.htm
and
http://ec.europa.eu/education/languages/languages-of-europe/doc147_en.htm

Cooperation and Development

The EU supports a wide range of international cooperation activities with countries outside the Community. Support is also offered, principally to non-government organisations (NGOs), for international cooperation in development activities outside

125 See Chapter 12 for a more detailed description.
126 See also http://ec.europa.eu/education/languages/eu-programmes/index_en.htm
the European Union, including education and social development. More information on cooperation and development initiatives can be found in Chapter 18 and at:

http://ec.europa.eu/europeaid/index_en.htm

EU-US Cooperation Programme in Higher Education and Vocational Education and Training
The European Commission has signed a cooperation agreement with the US for the continuation of this Programme during the period 2006-2013. The new agreement renews and reinforces the longstanding EU-US cooperation programme that was established in 1995.

Documentation:
http://ec.europa.eu/education/eu-usa/doc1156_en.htm

EU-Canada Cooperation Programme in Higher Education and Vocational Training
The EU and Canada have signed a cooperation agreement for the period 2006-2013. Consortium projects will continue to be a cornerstone of the new programme.

Documentation:
http://ec.europa.eu/education/eu-canada/doc1563_en.htm

AÎBAN Programme
The AÎBAN Programme, which is now closed, aimed to reinforce European Union/Latin America cooperation in the area of Higher Education. It covered studies for postgraduates (in the context of Master and Doctorate degrees) as well as advanced training for Latin-American professionals and future decision-makers, in institutions or centres in the European Union. The new programme for cooperation between the EU and Latin America in the field of Higher Education is now part of the Erasmus Mundus Programme 2009-2013.

Documentation:

Erasmus Mundus
The Erasmus Mundus Programme 2009-2013 is a cooperation and mobility programme in the field of higher education. It aims to enhance quality in European higher education and to promote intercultural understanding through cooperation with third countries. It is open to higher education institutions, to students and staff directly involved in higher education, and to other public and private bodies active in this field.

127 For more details, see Chapter 18.
128 For more details, see Chapter 18.
Tempus Plus

The Tempus Plus programme focuses on cooperation and development in higher education, vocational training, and school and adult education. It covers 27 countries in the Western Balkans, Eastern Europe and Central Asia, North Africa and the Middle East.

Documentation:

European Neighbourhood and Partnership Instrument (ENPI)

The former MEDA and TACIS programmes, together with the cross-border cooperation activities of the INTERREG programme, were replaced in 2007 by the new European Neighbourhood and Partnership Instrument (ENPI). This is the financial instrument of the European Neighbourhood Policy, developed in the context of the 2004 enlargement, with the objective of setting up a zone of peace and prosperity with the countries neighbouring the EU129.

Documentation:
http://ec.europa.eu/world/enp/index_en.htm

The EU Infrastructure Trust Fund for Africa

The EU Infrastructure Trust Fund for Africa is an innovative co-financing instrument of the EU-Africa Partnership on Infrastructure. It brings together the EC, Member States, the European Invest Bank (EIB), and European Development Financing Institutions, who can pool their respective efforts and resources to directly co-finance relevant projects. The Trust Fund provides grants that will attract and leverage additional funds from other donors and private investors for project components that have a substantial demonstrable social or environmental benefit.

Documentation:

Promoting Gender Equality in Development Cooperation

For the period 2007 - 2013, the EU external co-operation in the field of gender equality and women empowerment is financed through:

– Geographical instruments at national and regional level;
– Thematic instruments: Investing in People and the European Instrument for Democracy and Human Rights

Documentation:

129 For details of countries, action plans and themes, see Chapter 18.
Decentralised cooperation and civil society
Civil society and the broader set of non-state actors (NSAs) and Local Authorities (LA) are privileged partners of the EU. Support from the EU for these actors encourages them to work towards better governance and more participatory development, increasingly involving citizens through their specific, often complementary, approaches. To facilitate its relationship with civil society and local authorities, the EC has established a space for dialogue and tools tailored to their specific requirements (143).

Documentation:
http://ec.europa.eu/europeaid/what/civil-society/index_en.htm

Instrument for Pre-accession Assistance (IPA)
In 2007, a new Instrument for Pre-accession Assistance replaced the former PHARE, ISPA, SAPARD and CARDS Programmes and the instruments providing financial support to Turkey, streamlining all pre-accession assistance within a single framework.

Documentation:

Democracy and Human Rights
The European Union has been keen to promote democracy and human rights, both within the Member States and in its dealings with third countries. European Union believes that democracy and human rights are universal values that should be vigorously promoted around the world. They are integral to effective work on poverty alleviation and conflict prevention and resolution, in addition to being valuable bulwarks against terrorism. In 2006, the Community established the European Instrument for Democracy and Human Rights (EIDHR). This financial instrument allows the EU to provide support for the promotion of democracy and human rights worldwide.

Documentation:

See also: Investing in People:

and the European Instrument for Democracy and Human Rights

130 See Chapter 18.
**Visits and Exchanges**

Several of the initiatives already listed offer support for visits, meetings and exchanges between people from different European countries. For trade unions, these opportunities might be of interest both in their own right and also as an initial stage of exploring project ideas and partnerships. They include:

04.03.03.01 Industrial relations and social dialogue  
Documentation:  
http://ec.europa.eu/social/main.jsp?catId=629&langId=en

04.03.03.03 Information, consultation and participation of representatives of undertakings  
Documentation:  
http://ec.europa.eu/social/main.jsp?catId=629&langId=en

Lifelong Learning Programme  
Documentation:  

Europe for citizens 2007-2013  
Documentation:  

Youth Programme 2007-2013  
Documentation:  
http://ec.europa.eu/youth/index_en.htm

The funding initiatives listed in this chapter are intended only as a representative sample of what is available at the time of writing. For more detailed and more up-to-date information, please consult:

ETUI Service SETUP (Support for European Trade Union Projects)  
http://www.etui.org/Services/Support-for-European-Trade-Union-Projects-SETUP  
or the web sites maintained by the respective Directorates-General. You will find a list of these in Appendix 5.
Chapter 12

The Lifelong Learning Programme 2007-2013

Introduction

In this chapter, we will provide a broad overview of the Lifelong Learning Programme, together with a more detailed look at two of the sub-programmes that are likely to be of most interest to trade unions: Leonardo da Vinci and Grundtvig.

Following an extensive process of consultation, the European Commission proposed a new generation of education and training programmes for the period 2007-2013. During the consultations, which involved the social partners, the ETUC and its affiliates underlined the need for two main guidelines to be taken into account:

— A coherent embedding within the Lisbon Strategy, focused on the development of lifelong learning accessible to all European workers and citizens, together with the promotion of a lifelong learning culture
— A consistent link with the European Employment Strategy.

Following the period of consultation, the Commission published a Communication, The new generation of Community education and training programmes after 2006, outlining the proposed content of two major new programmes:

— An Integrated Action Programme in Lifelong Learning, for mobility and cooperation between the EU, EEA/EFTA and Candidate Countries, which would subsume the existing Socrates, Leonardo da Vinci, eLearning and Jean Monnet Programmes
— A Tempus Plus programme, for the countries neighbouring the EU and for the existing Tempus countries, which would focus on cooperation and development in higher education, vocational training, school and adult education131.

The Commission saw the proposed Lifelong Learning Programme (LLP) as responding to four key factors:

— Changes across the EU where education and training systems were becoming increasingly integrated within a lifelong learning context
— A growing awareness among Member States of the importance of placing education and training at the heart of the Lisbon Strategy, echoed by the Bologna (higher education)132 and Copenhagen (vocational education and training)133 processes.
— A need to address the perceived fragmentation and lack of synergy present in the previous programmes
— A need to simplify and rationalise the Community legislative instruments and administrative systems.

Following further review, the Parliament and the Council voted in November 2006 to establish the Lifelong Learning Programme134.

133 See http://ec.europa.eu/education/vocational-education/doc1143_en.htm
The Lifelong Learning Programme 2007-2013

Whereas previously individual programmes dealt with different aspects of education and training, many of these have now been brought within the common overarching framework provided by the new Lifelong Learning Programme\textsuperscript{135}.

The Lifelong Learning Programme comprises four specific sectoral sub-programmes:

- **Comenius** for pre-school and school education
- **Erasmus** for university-level education
- **Leonardo da Vinci** for vocational training
- **Grundtvig** for adult education.

The new Programme also includes a **Transversal Programme**, with four Key Activities focused respectively on:

- Policy cooperation and innovation
- Language learning
- Information and communication technologies
- Dissemination and exploitation of results.

The LLP also includes the **Jean Monnet Programme**, which aims to strengthen the development of bodies and institutions active in the field of European integration.

Objectives

**The overall policy objective** (Article 1 (2)) of the programme is ‘to contribute, through lifelong learning, to the development of the Community as an advanced knowledge society, with sustainable economic development, more and better jobs and greater social cohesion’. It aims to foster interchange, cooperation and mobility between education and training systems within the EU, so that they become ‘a world quality reference’.

The Lifelong Learning Programme also has a series of **specific objectives** to which all the component sub-programmes contribute:

- To contribute to the development of quality Lifelong Learning, to promote high performance, innovation and a European dimension in systems and practices in the field
- To support the realisation of a European area for Lifelong Learning
- To help improve the quality, attractiveness and accessibility of the opportunities for Lifelong Learning available within Member States
- To reinforce the contribution of Lifelong Learning to social cohesion, active citizenship, intercultural dialogue, gender equality and personal fulfilment

To promote creativity, competitiveness, employability and the growth of an entrepreneurial spirit

To contribute to increased participation in Lifelong Learning by people of all ages, including those with special needs and disadvantaged groups regardless of their socio-economic background

To promote language learning and linguistic diversity

To support the development of innovative ICT-based content, services, pedagogies and practices for Lifelong Learning

To reinforce the role of Lifelong Learning in creating a sense of European citizenship based on understanding and respect for human rights and democracy, and encouraging tolerance and respect for peoples and cultures

To promote cooperation in quality assurance in all sectors of VET in Europe

To encourage the best use of results, innovative products and processes and to exchange good practice in the field covered by the Lifelong Learning Programme, in order to improve the quality of education and training.

In addition, each of the component sub-programmes has its own specific and operational objectives. The latter also include the following quantified targets:

- 1 in 20 school pupils involved in Comenius actions during the period 2007-2013
- 3 million Erasmus students by 2011
- 150,000 Leonardo placements by 2013
- 25,000 Grundtvig mobilities by 2013

The Programme is also intended to contribute to furthering the horizontal policies of the Community, in particular by:

- Promoting an awareness of the importance of cultural and linguistic diversity within Europe, as well as of the need to combat racism, prejudice and xenophobia
- Making provision for learners with special needs, and in particular by helping to promote their integration into mainstream education and training
- Promoting equality between men and women and contributing to combating all forms of discrimination based on sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation.

Each year the Commission also announces Strategic Priorities for each of the sub-programmes which provide additional focus to the annual Calls for Proposals.

Supported activities
The activities supported by the Lifelong Learning Programme include:

- Mobility of people in lifelong learning in Europe, including staff and student exchanges, visits and work placements
- Bilateral and multilateral partnerships
- Multilateral projects designed to improve national education and training systems
- Unilateral and national projects
- Multilateral networks
- Observation and analysis, studies and comparative research
- Accompanying measures
- Operating grants for organisations active in the fields covered by the Lifelong Learning Programme
Participation
Since its start, the programme is open to applicants from:

- 27 EU Member States (including Overseas Countries and Territories, although special rules may apply)
- Iceland, Liechtenstein, Norway, Switzerland
- Turkey, Croatia

The Jean Monnet Programme is open to higher education institutions worldwide.

New: provided that the formal steps for participation for each country are completed in due time, the following countries will be formally participating: Albania, Bosnia and Herzegovina, the Former Yugoslav Republic of Macedonia, Montenegro, Serbia. In this case the 2012 LLP Call documents will be revised accordingly and made available on the EC website.

Participation of the above countries will be limited to the centralised actions of the sectoral sub-programmes Comenius, Erasmus, Leonardo da Vinci and Grundtvig and of the Transversal Programme of the Lifelong Learning Programme. Participation in the decentralised actions of the programme, managed by the National Agencies in the participating countries, will not be open to applicants of the five countries above.

Overall the Programme is aimed at:

- Pupils, students, trainees and adult learners
- Teachers, trainers and other staff involved in any aspect of lifelong learning
- People in the labour market
- Institutions or organisations providing learning opportunities within the context of the LLP, or within the limits of its sub-programmes
- The persons and bodies responsible for systems and policies concerning any specific aspect of lifelong learning at local, regional and national level
- Enterprises, social partners and their organisations at all levels, including trade organisations and chambers of commerce and industry
- Bodies providing guidance, counselling and information services relating to any aspect of lifelong learning
- Associations working in the field of lifelong learning, including students’, trainees’, pupils’, teachers’, parents’ and adult learners’ associations
- Research centres and bodies concerned with lifelong learning issues
- Not-for-profit organisations, voluntary bodies, NGOs.

Specific actions within particular sub-programmes are targeted at particular types of participant.

Budget
The overall budget finally agreed for the period 2007-2013 is €7 billion.

Administrative procedures
The LLP is the responsibility of the European Commission’s Directorate-General for Education and Culture, based in Brussels. It has established a European level agency, the Education, Audiovisual and Culture Executive Agency (EACEA), which is charged with the implementation and day-to-day management of the LLP.
This includes drawing up Calls for Proposals, overseeing selection procedures, issuing contracts and monitoring progress, as well as overall financial control.

In line with the EU’s policy on subsidiarity, however, a major responsibility for the administration of the LLP is devolved to Member States, each of which has one or more National Agencies, charged with the implementation and management of particular elements of the overall programme, as well as providing information and advice.

There are three different application procedures, depending on the type of project or activity:

— For all individual Mobility activities, Bilateral or Multilateral Partnerships and Unilateral or National Projects, applications are made to the National Agencies of each applicant or partner, who select projects and allocate funding.

— For Leonardo da Vinci Multilateral Transfer of Innovation Projects, requests are made to the National Agency of the project coordinator, which draws up a shortlist and makes recommendations to the Commission. The Commission makes a decision, and the National Agency then allocates funds.

— All other actions, including Multilateral Projects, Networks, Studies and Comparative Research and Accompanying Measures are handled through a centralised process. Applications are made directly to the EACEA136 which selects and funds the projects.

Strategic Priorities for the Call for Proposals 2012

The Strategic Priorities change each year. We are presenting here the priorities for the 2012 Call for Proposals as an example only.

The overarching priority of the Lifelong Learning Programme (LLP) is to reinforce the contribution of education and training to the goals set out in the EUROPE 2020 Strategy, thus creating value by basing growth on knowledge, empowering people in inclusive societies and ensuring that citizens can access lifelong learning and up-skilling throughout their lives.

Education and training play a key role to achieve the priorities set out in the EU 2020 Strategy, which as one of its five headline targets aims at reducing school drop-out rates below 10 % and at least 40 % of 30-34 years old completing third level education (or equivalent).

The priority areas as set out in the EU 2020 Strategy are addressed by seven flagship initiatives at EU, national, regional and local level, of which four are most relevant for education and training:

— **Youth on the Move**: its aim is to increase the chances of young people of finding a job by enhancing student and trainee mobility and improving the quality and attractiveness of education and training systems in Europe.

— **Agenda for new skills and jobs**: its aim is to make it easier for people to get the right skills and competences and to be able to use them in appropriate jobs. To do this, it is important to make the best possible predictions about what skills will be needed in the future and to help people develop those skills through education and training.

— **Innovation Union**: its aim is to improve conditions and 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.

— **Digital agenda for Europe:** its overall aim is to deliver sustainable economic and social benefits from a digital single market based on fast and ultra internet and interoperable applications. More particularly the LLP supports the implementation of European policy in education and training as set out in the strategic framework for European cooperation in education and training ET 2020, adopted in May 2009.

A full set of reference policy documents on these topics is published on DG EAC website\(^ {137} \).

These major strategic priorities are then elaborated further in relation to each of the actions within the individual sub-programmes.

**Trade Unions and the Lifelong Learning Programme**

In the past, many European trade unions have participated in the Leonardo da Vinci and Grundtvig Programmes. In the light of this experience, we are providing further information here on the specific priorities in 2012 for these sub-programmes.

**Leonardo da Vinci**

Specific initiatives to promote the further development, testing and implementation of the common European tools for vocational education and training will continue to be a focus of the programme activity. These include the development and testing of the European Credit System for Vocational Education and Training (ECVET), the implementation of the European Qualifications Framework (EQF), and the promotion, development and use of the European Quality Assurance Reference Framework for VET.

Special attention will be given to facilitating the participation of sectors, social partner organisations and companies, in particular small and medium-sized enterprises (SMEs), in all Leonardo da Vinci actions. Regional cooperation strategies to stimulate mobility of young VET students contribute to these objectives.

**Mobility**

— Mobility for learning/training purposes of trainees in initial vocational training: apprentices and trainees in initial vocational education based on alternate learning or work-related training in enterprises, and trainees in school based initial vocational training

— Mobility for people on the labour market in continuing vocational training

— Mobility of professionals in vocational education and training.

**Multilateral Projects**

**Transfer of innovation (TOI)-decentralised management**

— Encouragement of cooperation between VET and the world of work

— Support to initial and continuous training of VET teachers, trainers, tutors and VET institution managers

— Promotion of the acquisition of key competences in VET

— Development and transfer of mobility strategies in VET

— ECVET for transparency and recognition of learning outcomes and qualifications

— Improving quality assurance systems in VET

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Development of innovation (DOI) – centralised management (project proposals to be sent to the Executive Agency of DG Education and Culture)

- Implementing ECVET for transparency and recognition of learning outcomes and qualification
- Improving quality assurance systems in VET
- Developing Vocational Skills considering the labour market needs – New Skills and Jobs

Networks

- Cooperation between the VET and the world of work. Networks under this priority should involve stakeholders in VET (e.g. VET schools, institutions, organisations, representative associations) as well as stakeholders in the world of work (e.g. sector representations, branches, enterprises, social partners).
- Development of mobility strategies in VET.

Grundtvig

Mobility of Individuals - In-service Training for Adult Education Staff

- In-service training for staff – no particular priorities.

Multilateral Projects

Under the Multilateral projects support will be provided for projects which will share experience and good practice and give rise to concrete results and outputs suitable for dissemination (methods, tools, materials, courses) and thereby develop innovation and/or disseminate innovation and good practice with a potential for significant impact. Particular priority will be given to projects which foresee among their outputs the organisation of in service training courses for adult education staff.

- Acquisition of key competences through adult education.
- The role of adult education in strengthening social inclusion and gender.
- Intergenerational learning; learning for senior citizens and family learning.
- Quality assurance of adult learning, including the professional development of staff

Networks

- Promoting social cohesion through improved adult learning opportunities for specific social groups, such as migrant and ethnic minorities and Roma, prisoners, senior citizens,
- and for special themes such as developing strategies in adult language learning, and development of special needs in adult education, in particular for disabled.

National Priorities

Potential applicants should also be aware that, for the decentralised actions of Mobility, Partnerships and the Leonardo da Vinci ‘Transfer of Innovation’ Projects, which are handled through national Calls for Proposals, the National Agencies in the various countries are also likely to attach additional national priorities. You need to look at the web site of your National Agency or contact them for the relevant information and documents, if you are considering one of these actions.
For further information

For general information on the Lifelong Learning Programme, please see:

For the Programme Guide and other documentation for the 2012 Call, see:
http://ec.europa.eu/education/llp/doc848_en.htm

For information on actions using the centralised application procedure, see the
EACEA web site at:

For information on actions using the decentralised procedures, also see the
appropriate National Agencies listed at:

ETUI Education has also produced a guide to the programme, The EU Lifelong
Learning Programme: a handbook for trade unions, which provides a more detailed
account of the programme as well as advice on preparing applications. See:
http://www.etui.org/Publications2/Guides/The-EU-Lifelong-Learning-programme-a-
handbook-for-trade-unions-4th-edition

The online Service of ETUI, Support for European trade union projects, called
SETUP) and its newsletter will also provide up-to-date information about the
changing content, priorities, procedures and Calls for Proposals:
http://www.etui.org/Services/Support-for-European-Trade-Union-Projects-SETUP
Chapter 13

The Structural Funds

As we noted in Chapter 11, among the most important funding mechanisms at the Commission’s disposal are the so-called ‘Structural Funds’, of which perhaps the most significant from a trade union perspective is the European Social Fund. After a general overview of the Structural Funds, this chapter looks in more detail at the European Social Fund and the role for trade unions within it.

The Structural Funds

The Structural Funds are the principal tools used by the European Union, in partnership with the Member States, to support the less-favoured areas within the Union. They are used to reduce the socio-economic gap between Member States and between different territorial areas. They aim to boost economic and social cohesion, competitiveness and employment, in the context of a sustainable development model, the most important of the EU’s political priorities.

The funds involved are:

— **The European Regional Development Fund** (ERDF), used to fund productive investments, infrastructures and initiatives designed to reduce economic and social disparities between the Union’s territorial areas

— **The European Social Fund** (ESF), focused on employment, the development of human resources and the promotion of social integration

— **The Cohesion Fund**, focused on environmental policies and on trans-European transport infrastructure, applies to the entire territory of those Member States whose per capita gross national income (GNI) is less than 90% of the Community average.

These funds are directed towards the three priority objectives defined for the period 2007-2013:

— Convergence
— Regional Competitiveness and Employment
— European Territorial Cooperation.

The Convergence objective

The Convergence objective aims to accelerate the convergence of the least-developed Member States and regions, by improving conditions for growth and employment through:

— Increasing and improving the quality of investment in human and physical capital
— Promoting innovation and the knowledge society
— Encouraging adaptability to economic and social changes
— Ensuring the protection and improvement of the environment
— Pursuing administrative efficiency.
The regions targeted by this objective are those where per capita gross domestic product (GDP), calculated on the basis of Community figures for the period 2000 to 2002, is less than 75% of the average GDP of the EU-25 for the same reference period.

The Regional Competitiveness and Employment objective
This aims to strengthen competitiveness and employment and to anticipate economic and social change. It is intended to promote:

— Increased quantity and quality of investment in human capital
— Innovation and the idea of a knowledge society
— Entrepreneurship
— The protection and improvement of the environment
— The improvement of accessibility, adaptability of workers and businesses
— The development of inclusive job markets.

The regions targeted by this objective are those that are not covered by the Convergence objective.

The European Territorial Cooperation objective
This objective aims to strengthen:

— Cross-border cooperation through joint local and regional initiatives in the border regions
— Transnational cooperation between those regions listed as eligible by the European Commission, by means of actions which are both conducive to integrated territorial development and linked to the Community priorities
— Interregional cooperation and exchange of experience across the entire territory of the Community.

**Transitional support** is available for regions which would have met the criteria for the Convergence objective, had their GDP per capita level been measured in terms of the EU-15 countries, rather than the EU-25. Similar transitional support is available for States which would have met the criteria for support from the Cohesion Fund had, their GNI been measured against that of the EU-15, rather than the EU-25 countries.

The Convergence objective is supported by all of the above Funds. The Regional Competitiveness and Employment objective is supported by the ERDF and the ESF. The European Territorial Cooperation objective is supported exclusively by the ERDF.

It is important to point out that since 2007 the Structural Funds are open to all 27 EU Member States.

Each Member State, working in conjunction with the European Commission, was required to prepare a framework document (known as the National Strategic Reference Framework) by the end of 2006. This document provides both general and specific guidelines for interventions under each objective.

In addition, each country, again in consultation with the Commission, was required to submit an **Operational Programme**, which contained the planned
implementation measures, funding plans and handling and monitoring methods for each intervention.

Member States are required to involve regional and local authorities, together with economic and social partners, including trade unions, in the preparation, implementation, monitoring and evaluation of the Operational Programmes.

Funding for the Structural Funds
The overall sum for EU finance committed to the Funds for the period 2007-2013 is €308,041 million. This is allocated to the various objectives, as follows:

- Convergence objective                              81.54%
- Regional Competitiveness and Employment objective  15.95%
- European Territorial Cooperation objective        2.52%

In addition, sums are earmarked for national co-funding. Normally, each country must contribute matching funding, amounting to at least 25% for areas included under the Convergence objective and 50% for areas included under the Regional Competitiveness and Employment objectives, although there are some exceptions to this, including areas benefiting from transitional support.

The European Social Fund
The European Social Fund has been refocused to meet the demands of the Lisbon Strategy. It is now designed to support Community objectives in relation to social inclusion, non-discrimination, the promotion of equality, and education and training. The links between the ESF and the policy framework – the European Employment Strategy – are being reinforced, with an emphasis on employment and training. It is therefore worth looking in some detail at the priorities that the Community Regulations for 2007-2013 have outlined for the Convergence and Regional Competitiveness and Employment objectives. They are:

a) increasing adaptability of workers, enterprises and entrepreneurs, with a view to improving the anticipation and positive management of economic change, in particular by promoting:
   (i) lifelong learning and increased investment in human resources by enterprises, especially SMEs, and workers, through the development and implementation of systems and strategies, including apprenticeships, which ensure increased access to training by, in particular, low-skilled and older workers, the development of qualifications and competences, the dissemination of information and communication technologies, e-learning, eco-friendly technologies and management skills, and the promotion of entrepreneurship and innovation and business start-ups;
   (ii) the design and dissemination of innovative and more productive forms of work organisation, including better health and safety at work, the identification of future occupational and skills requirements and the development of employment, training and support services, including outplacement, for workers in the context of company and sector restructuring;

b) enhancing access to employment and the sustainable inclusion in the labour market of job seekers and inactive people, preventing unemployment, in particular long-term and youth unemployment, encouraging active ageing and increasing participation in the labour market, in particular by promoting:

(i) the modernisation and strengthening of labour market institutions, in particular employment services and other relevant initiatives in the context of the strategies of the European Union and the Member States for full employment;

(ii) the implementation of active and preventive measures ensuring the early identification of needs with individual action plans and personalised support, such as tailored training, job search, outplacement and mobility, self-employment and business creation, including cooperative enterprises, incentives to encourage participation in the labour market, flexible measures to keep older workers in employment longer, and measures to reconcile work and private life, such as facilitating access to childcare and care for dependent persons;

(iii) mainstreaming and specific action to improve access to employment, increase the sustainable participation and progress of women in employment and reduce gender-based segregation in the labour market, including by addressing the root causes, direct and indirect, of gender pay gaps;

(iv) specific action to increase the participation of migrants in employment and thereby strengthen their social integration and to facilitate geographic and occupational mobility of workers and integration of cross-border labour markets, including through guidance, language training and validation of competences and acquired skills;

c) reinforcing the social inclusion of disadvantaged people, with a view to their sustainable integration into employment and combating all forms of discrimination in the labour market, in particular by promoting:

(i) pathways to integration and re-entry into employment for people experiencing social exclusion, early school leavers, minorities, people with disabilities, and people providing care for dependant persons through employability measures, access to vocational education and training; and other actions such as care services that improve employment opportunities;

(ii) acceptance of diversity in the workplace, and the combating of discrimination in accessing and progressing in the labour market through awareness raising, the involvement of local communities and enterprises and the promotion of local employment initiatives;

d) enhancing human capital and promoting partnership for reform in the fields of employment and inclusion, in particular by promoting:

(i) the design and introduction of reforms in education and training systems, in order to develop employability, the improvement of initial and vocational education and training and the continual updating of the skills of training personnel with a view to innovation and a knowledge-based economy;

(ii) networking activities between higher education institutions, research centres and enterprises;
e) promoting partnerships, pacts and initiatives through networking of relevant stakeholders such as the social partners and non-governmental organisations at the transnational, national, regional and local levels in order to mobilise for reforms in the field of employment and labour market inclusiveness.

The Convergence objective also has the following priorities:

a) expanding and improving investment in human capital, in particular by promoting:
   (i) the implementation of reforms in education and training systems, especially with a view to raising people’s responsiveness to the needs of a knowledge-based society and lifelong learning;
   (ii) increased participation in education and training throughout the life-cycle, including through actions aiming to achieve a reduction in early school leaving and in gender-based segregation of subjects and increased access to and quality of initial, vocational and tertiary education and training;
   (iii) the development of human potential in research and innovation, notably through post-graduate studies and the training of researchers;

b) strengthening institutional capacity and the efficiency of public administrations and public services at national, regional and local level and, where relevant, of the social partners and non-governmental organisations, with a view to reforms, better regulation and good governance especially in the economic, employment, education, social, environmental and judicial fields, in particular by promoting:
   (i) mechanisms to improve good policy and programme design, monitoring and evaluation, including through studies, statistics and expert advice, support for interdepartmental coordination and dialogue between relevant public and private bodies;
   (ii) capacity building in the delivery of policies and programmes in the relevant fields, including with regard to the enforcement of legislation, especially through continuous managerial and staff training and specific support to key services, inspectorates and socio-economic actors including social and environmental partners, relevant non-governmental organisations and representative professional organisations.

Within the framework of these objectives, the ESF supports the Operational Programmes prepared by Member States at a national or regional level. The ESF resources also represent one of the main tools for promoting the European Employment Strategy\textsuperscript{139}, launched by the Luxembourg European Council in 1997 and updated by the Brussels European Council in July 2005\textsuperscript{140}.

In line with the new \textbf{Europe 2020 strategy}, the European Employment Strategy seeks to create more and better jobs throughout the EU.

\textsuperscript{139} See \url{http://ec.europa.eu/social/main.jsp?catId=101&langId=en}
\textsuperscript{140} For more detail, see \url{http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2005:205:0021:01:EN:HTML}
To reach these objectives, the EES encourages measures to meet three headline targets by 2020:

- 75% of people aged 20-64 in work
- School drop-out rates below 10%, and at least 40% of 30-34-year-olds completing third level education
- At least 20 million fewer people in or at risk of poverty and social exclusion

The ESF finances transnational and interregional actions to promote the dissemination of good practice and the development of timely and appropriate strategies for managing change. It also supports actions that incorporate lessons learnt from the Community Initiative EQUAL (one of the main EU Community Initiatives funded by the ESF during the period 2000-2006 but no longer operating). These actions also include providing support, through strengthening transnational cooperation, to the integration of migrants, including asylum-seekers, and of other groups marginalized in relation to the labour market.

**Trade Unions and the Structural Funds**

Community Regulations provide for the full involvement of trade union and employers’ organisations in the various stages of implementing the Structural Funds, with particular emphasis on the preparation, the implementation and monitoring of plans and actions. This includes participation in the Monitoring Committees, which will be set up for each Operational Programme established by the Structural Funds. In these Committees, trade unions can offer guidance on the initiatives to be supported, as well as monitoring the relationship between the financial allocations and the main objectives for workers.

Decisions concerning individual projects will remain for the most part the province of institutional bodies such as ministries and regional authorities, which in the past have not always been receptive to projects involving trade unions. However, throughout the general objectives in the European Social Fund, there is continual reference to workers, to social partners and to the importance of training as a crucial factor in improving employability.

Trade unions should make good use of these references, noting particularly the ESF resources that, for the first time, the ESF Regulation assigns to the Convergence objective. These include increasing the social partners’ capacities to realise ESF objectives, through ‘training, networking measures, strengthening social dialogue, and other activities jointly undertaken by the social partners, in particular with regard to the adaptability of workers and enterprises’. The relevance of this for trade union participation is clear.

The best opportunities are likely to arise in connection with projects aimed at training or re-training workers, or at providing support for the professional orientation of young people and the unemployed. This is a crucial issue now, given the economic crisis affecting Europe and the rest of the world. Most of these

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opportunities are likely to take the form of professional training projects, a field in which not all European trade union organisations are currently taking an active role.

Professional training needs to be interpreted in the broadest possible sense and to include a number of areas of expertise proper to those trade union structures that are involved in trade union training. The professional training of trade union officials whose job it is to track European Social Fund programming, job market policies, initiatives to boost employment at the local level, immigration problems, equal opportunities and the various forms of inequality present at the local level, must include crucial areas of training expertise, including:

- Prior analysis of training needs
- Drafting of curricula and the implementation of training pathways
- Drafting of guidelines, innovative material and IT aids.

Given the opportunities to realise transnational actions through the ESF and also through the new European Territorial Cooperation objective, trade unions will need to make the best possible use of the networks within the ETUC and ETUI Education, in order to identify the best resources and opportunities and potential partner organisations to help define and realise successful transnational activities. The networks and results of some of the major projects realised by ETUI in the last few years offer an important resource for this. These include DIALOG-ON with 16 partner organisations, which concentrated on exploring the use of Information Society tools in the context of Social Dialogue, and TRACE143, with 20 partners, which was concerned with building capacity within European Trade Unions to anticipate and manage change.

In addition, ETUI Education has launched a new series of training courses to capitalise on the start of the European Social Fund 2007-2013 programme and its opening up to the New Member States. The courses provide information about the possibilities for trade unions to use the ESF to pursue the objectives of the former Lisbon strategy, now Europe 2020, and offer a forum in which to share experiences with trade union colleagues already skilled in using the previous European Social Funds144. The courses are supported by the publication, The European Social Fund 2007-2013: a handbook for trade unions145

For further information:

- European Commission and Social European Fund web sites
  http://ec.europa.eu/esf/home.jsp?langId=en
- SETUP Service
  http://www.etui.org/Services/Support-for-European-Trade-Union-Projects-SETUP/Updated-information-about-EU-grants-for-trade-union-development

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143 See: http://www.traceproject.org
144 For more information, see: http://www.etui.org/Training


Chapter 14

The Social Dialogue Budget Lines

Each year the budget of the European Union contains a series of financial allocations to support measures aimed at improving social dialogue. These budget lines, administered by the Directorate-General Employment, Social Affairs and Equal Opportunities, provide valuable support to the activities of social partner organisations, including trade unions. In this chapter we look at three of these in more detail:

- Budget line 04.03.03.01 - Industrial relations and social dialogue
- Budget line 04.03.03.02 - Information and training measures for workers’ organisations
- Budget line 04.03.03.03 - Information, consultation and participation of representatives of undertakings

The European Commission has recently established a web site devoted to the European Social Dialogue, which contains useful background information, as well as current Calls for Proposals\textsuperscript{146}.

04.03.03.01 - Industrial relations and social dialogue

Introduction

This budget line (formerly B3-4000) is intended to finance the participation of social partners in the European Employment Strategy. It provides grants to promote social dialogue at cross-industry and sectoral level, in accordance with Articles 154 and 155 TFEU (ex Art 138 and 139 TEC).

The appropriation will therefore be used to finance consultations, meetings, negotiations and other activities designed to achieve these objectives and to promote actions outlined in the European Commission’s \textit{Communication on The European social dialogue, a force for innovation and change} (COM(2002) 341 final)\textsuperscript{147} and in the Communication \textit{Partnership for change in an enlarged Europe - Enhancing the contribution of European social dialogue} (COM(2004) 557 final)\textsuperscript{148}. The measures should help social partner organisations to contribute to addressing the overarching challenges facing European employment and social policy. The budget line also covers support for actions in the field of industrial relations, in particular those aiming to develop expertise and exchanges of information on a European basis.

\textsuperscript{146} See \url{http://ec.europa.eu/social/main.jsp?catId=329&langId=en}. See also Chapter 10 for more information on Social Dialogue.

\textsuperscript{147} See: \url{http://europa.eu/legislation_summaries/employment_and_social_policy/social_dialogue/c10716_en.htm}

\textsuperscript{148} See: \url{http://europa.eu/legislation_summaries/employment_and_social_policy/social_dialogue/c10129_en.htm}
The budget line is implemented through a Call for Proposals, launched by the European Commission, and published in the OJ of the European Communities, usually in January or February\(^\text{149}\).

**Activities supported**
These include:

- General seminars or conferences on industrial relations, including preparatory surveys
- Measures linked to the development of European social legislation
- Measures to further the collection and use of information on national industrial relations systems and on developments at a European level
- Initiatives to promote knowledge of effective industrial relations practices
- The use (i.e. presentation, discussions or dissemination) or preparation of the European Commission’s *Industrial Relations in Europe* report
- Exchanges of experiences, networks of players and/or experts.

**Interest to trade unions and training for submitting quality applications**
The ETUC and national trade unions have been very active in taking advantage of the provisions of this budget line, as it impacts directly on trade union political priorities and activities. Trade unions can present project proposals related to consultations, meetings, negotiations and other initiatives aimed at achieving the above priorities.

ETUI Education, in cooperation with ETUC, has been delivering a yearly training activity in coincidence with the launch of Call for proposals:

- to inform promoters of possibilities for receiving European funding for European social dialogue activities;
- to improve the quality of project proposals submitted to the European Commission;
- to stress the importance of the partnership in the setting up of a transnational project.

**For further information** relating to this budget line, see:

http://ec.europa.eu/social/main.jsp?catId=630&langId=en&callId=240&furtherCalls=yes

You can also find information on previously funded projects on the same page.

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\(^\text{149}\) See also http://ec.europa.eu/social/main.jsp?catId=630&langId=en&callId=240&furtherCalls=yes.
Information on current/most recent call for proposals
The Call usually has two deadlines each year for submission of applications.

Priorities
We are presenting the latest priorities below as an example only. The priorities are likely to change each year.

The 2011 Call identifies a number of types of eligible initiatives and operations, grouped into two sub-programmes:

1. Support of the European social dialogue, through:

   — Measures to prepare the European social dialogue e.g. preparatory surveys, meetings and conferences
   — Measures regarded as part of the social dialogue within the meaning of Articles 154 and 155 TFEU (ex Art.138 and 139 TEC), such as negotiations, meetings to prepare for negotiations or 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 initiatives to disseminate and evaluate the results of European social dialogue through European or national events, or through studies, paper publications or electronic publications (including translations)
   — Measures to strengthen the capacity of social partners to contribute to European social dialogue with particular attention to New Member States and Candidate Countries (such as information and training seminars)
   — Measures by social partners which contribute to the employment and social dimensions of the follow up of Lisbon Strategy, the EU 2020 Strategy, and actions to implement the European employment strategy (EES) and to monitor and analyse its impact on labour markets
   — Measures to support the European social partners and social dialogue committees undertake and contribute to impact assessment of the employment and social dimensions of EU initiatives.

2. Improving expertise in the field of industrial relations and promoting the exchange of experience on industrial relations through:

   — Seminars or conferences on industrial relations, including preparatory studies, round tables, exchanges of experience and networks of players and/or experts
   — Initiatives designed to further the collection and use of information on national industrial relations systems and on developments at European level
   — Initiatives designed to promote knowledge on effective industrial relations practices, including successful forms of worker participation
   — Initiatives connected with the use (i.e. presentation, discussions and dissemination) or preparation of the European Commission’s Industrial Relations in Europe report.

Special attention is given to improving the level of female participation and to participation from the new Member States and candidate countries.
**Duration**

12 months

**Participation**

Project proposals must involve active partners from several Member States, unless the project is submitted by a European or international organisation.

Applicants must be properly constituted and registered legal entities. In derogation from this requirement, social partners without legal personality are also eligible for grants for operations falling within the scope of Articles 154 and 155 TFEU (ex Art. 138 and 139 TEC).

Applicants can be:

1. Social partners:
   - European social partners (as under Articles 154 and 155 TFEU, ex Art. 138 and 139 TEC), as defined in the list established by the EC, annexe 5 of COM (2004) 557
   - National or regional members of European social partners, if the project is framed in a European context and developed in co-operation with their European organisation
   - European social partners dealing with activities related to European social dialogue at sectoral level

2. Organisations linked to industrial relations: non-profit-making organisations, research centres and institutes, universities, non-profit-making networks of companies or of workers' organisations

3. Public authorities, at national and regional level, including related associations and government services or agencies

4. International organisations (such as UN Agencies) active in the fields of social dialogue and/or industrial relations.

If the applicant is a national or regional social partner, or if the activity is to form part of sub-programme I, a signed letter indicating involvement of the European organisation is necessary.

The budget line is open to applications from organisations in the Member States and candidate countries.

**Finance available**

A maximum of 80% of the costs will be reimbursed. However, the Commission may decide to finance up to 95% for actions involving negotiations in accordance with Articles 154 and 155 TFEU (ex Art. 138 and 139 TEC), meetings to prepare for negotiations (sub-programme I – second bullet point), or joint social partner actions relating to the implementation of the results of European social dialogue negotiations. Social dialogue meetings organised by the European social partners themselves can also be financed up to a rate of 95%.

Applicants will need to provide a minimum contribution from their own resources of 5%-20% of the total project cost. This needs to be a cash contribution.

**Application process**

Applications can be sent directly to the European Commission:

Budget heading 04.03.03.01  
European Commission – DG EMPL/B.1  
J-54 01/004 B – 1049 Brussels  
Belgium  

E-mail: empl-04-03-03-01@ec.europa.eu

Usually there are two submission deadlines a year, but it is strongly recommended to apply as early as possible, to avoid the risk of the budget being fully allocated before the final deadline.

**Further information**

The compulsory on-line grant application form, as well as other related forms and relevant documents (including the *European Communities' Financial Regulation and Implementing Rules*) can be found at:

http://ec.europa.eu/social/main.jsp?catId=629&langId=en

**04.03.03.02 - Information and training measures for workers’ organisations**

**Introduction**

This budget line is intended to finance information and training measures for workers’ organisations, including representatives in the candidate countries. It forms part of the Community action on the social dimension of the internal market, including gender equality issues, and monetary union.

A Call for Proposals is published in the OJ of the European Communities, usually in January or February of each year.

**Activities supported**

Information and training activities.

**Interest to trade unions and training for submitting quality applications**

This budget heading has always been the ‘ad hoc’ budget line to provide support for workers’ organisations. The ETUC, through ETUI Education and its affiliates at national and sectoral levels, has been very active in projects that have made use of this appropriation to raise awareness among trade unionists of European issues and to help develop a European culture within the trade union movement.

ETUI Education, in cooperation with ETUC, has been delivering a yearly training activity in coincidence with the launch of Call for proposals:

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151 See Chapter 5 for a definition of *cash contribution*. 

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— to inform promoters of possibilities for receiving European funding for European social dialogue activities;
— to improve the quality of project proposals submitted to the European Commission;
— to stress the importance of the partnership in the setting up of a transnational project

For further information on this budget line, see: http://ec.europa.eu/social/main.jsp?catId=629&langId=en

You can also find details of previously funded projects at: http://ec.europa.eu/social/main.jsp?catId=632&langId=en

**Information on current/most recent call for proposals**
The deadline for the receipt of applications for the annual Call for Proposals is usually in April\(^{152}\).

**Priorities**
We are presenting the 2011 priorities below as an example only. The priorities are likely to change each year.


Objectives of this call include measures and initiatives related to the adaptation of social dialogue to changes in employment and work and related challenges, such as addressing modernisation of the labour market, quality of work, anticipation, preparation and management of change and restructuring, flexicurity, skills, mobility and migration, youth employment, contributions to the health and safety strategy, reconciliation of work and family life, gender equality, action in the field of anti-discrimination, active ageing, active inclusion and decent work. Measures which will contribute to addressing the employment and social dimensions of EU priorities relating to the exit from the economic crisis and reaching the objectives and targets of the Europe 2020 Strategy and its flagship initiatives, will be particularly welcome.

— Measures to support workers’ organisations' initiatives related to the European Year for Active Ageing are welcome
— Special attention is given to improving the level of female participation and to participation from the new Member States and Candidate countries.

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\(^{152}\) To check on future Calls, please consult the ETUI web site for EU open calls for proposals at http://www.etui.org/Services/Support-for-European-Trade-Union-Projects-SETUP/Open-Calls-for-proposals-and-tenders

Duration
12 months

Participation
Promoters must be social partner organisations, representing workers at European, national, regional or local level. The Commission does not require a minimum number of transnational partners, but the European context must be an essential feature of any proposal. Part of the finances available is intended to support measures involving representatives of social partners in the candidate countries, a large proportion of which should go to women representatives.

Finance available
A maximum of 90% of the costs will be reimbursed. Applicants will need to provide a contribution from their own resources of 10% of the total project cost. This needs to be a cash contribution.\textsuperscript{154}

Application process
Applications can be sent directly to:

Budget Heading 04.03.03.02
European Commission – DG EMPL/B.1
J-54 01/004
B-1049 Brussels
Belgium

E-mail: empl-04-03-03-02@ec.europa.eu

Further information
The compulsory on-line grant application form, as well as other related forms and relevant documents (including the \textit{European Communities' Financial Regulation and Implementing Rules}) can be found at:

http://ec.europa.eu/social/main.jsp?catId=630&langId=en&callId=241&furtherCalls=yes

04.03.03.03 - Information, consultation and participation of representatives of undertakings

Introduction
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, as regards information, consultation and participation in Community scale undertakings, especially within the framework of their European Work Councils, and to familiarise the actors represented at company level with transnational company agreements and strengthen their cooperation within the Community framework.

\textsuperscript{154} See Chapter 5 for a definition of \textit{cash contribution}.
The budget line funds, in particular, measures aimed at strengthening transnational cooperation between worker and employer representatives in respect of information, consultation and participation within undertakings operating in more than one Member State. It also covers the establishment of information and observation points to inform and help social partners and undertakings to set up transnational consultation, participation and information structures and to foster links with EU institutions. The budget line may also be used to fund short training actions for representatives in transnational information, consultation and participation bodies, as well as actions involving representatives of social partners in the candidate countries.

The budget line is implemented through a yearly call for proposals launched by the European Commission and published in the OJ of the European Communities.

Activities supported

— Conferences, seminars, short training actions and exchange of information and good practice involving workers’ and/or employers’ representatives

— Analysis papers on subjects related to the structures concerning workers' and employers' representatives, and the social dialogue at undertaking level in a transnational cooperation context

— Websites, publications, newsletters and other means of dissemination.

Interest to trade unions and training for submitting quality project proposals

This budget heading is particularly important for trade unions as it is strongly linked to the contentious issues of mergers, restructuring and relocations, and information and consultation in transnational bodies. Since its creation, it has been widely used by trade unions, at company, national and transnational levels.

ETUI Education, in cooperation with ETUC, has been delivering a yearly training activity in coincidence with the launch of Call for proposals:

— to inform promoters of possibilities for receiving European funding for European social dialogue activities;

— to improve the quality of project proposals submitted to the European Commission;

— to stress the importance of the partnership in the setting up of a transnational project

For further information, see:
http://ec.europa.eu/social/main.jsp?catId=629&langId=en

Information on current/most recent call for proposals

The Call usually has two deadlines each year for submission of applications.

Priorities

We are presenting the 2011 priorities below as an example only. The priorities are likely to change each year.

For the financial year 2011, two categories of projects will be supported:
Transnational cooperation projects

— Actions designed to prepare the setting up of information, consultation and participation structures in the context of the European Company and the European Cooperative Society and Limited Liability Companies involved in cross-border mergers, as per Art.16 of Directive 2005/56/EC

— Promotion of information and consultation in undertakings, through the exchange of information and good practices, as foreseen by Directive 2002/14/CE

— Actions aiming to familiarize the social partners and actors at company level with the content of Directive 2009/38/EC on European Works Councils and setting up of new European Works Councils, to improve the information and consultation processes in Community-scale undertakings and Community-scale groups of undertakings

— Transnational cooperation, particularly involving the representatives from new Member States and candidate countries in the fields of information, consultation and participation of workers

— Actions aiming to enable the social partners to exercise their rights and their duties as regards information, consultation and participation in Community-scale undertakings, especially within the framework of their European Works Councils

— Actions aiming to familiarise the actors represented at company level with transnational company agreements and to strengthen their cooperation within the Community framework

— Innovative measures relating to the management of information, consultation and participation, aimed at supporting the anticipation of change and the prevention and resolution of disputes in the context of restructuring, mergers, take-overs and relocation of enterprises.

Information and observation points

— Support for the preparation, launching and monitoring of transnational cooperation projects in the fields of information, consultation and participation of workers

— Monitoring, analysing and assessing experience regarding the establishment of transnational representative bodies at enterprise level and the extent to which the objectives regarding information, consultation and participation have been effectively fulfilled within such bodies.

Eligible measures

For transnational cooperation projects

— Conferences, seminars, training activities and exchanges of information involving workers' and employers' representatives

— Studies on subjects related to the structures concerning workers’ and employers’ representatives and the social dialogue at undertaking level in a transnational cooperation context

— Websites, publications, newsletters and other means of dissemination.
For information points

— Helpdesks
— Assistance with transnational cooperation projects
— Observation of experiences regarding transnational representative bodies at enterprise level through: studies, websites, publications, newsletters, reports and databases.

Duration

12 months.

Participation

— For the transnational cooperation projects:
  Representatives of workers or employers having their registered offices in one of the Member States. In particular:
  — *For proposals on behalf of workers*: works councils or similar bodies ensuring the general representation of workers; regional, national, European, sectoral or multi-sectoral trade union organisations, based in one of the Member States of the European Union;
  — *For proposals on behalf of employers*: management of the undertaking or group of undertakings concerned, or from organisations representing employers at regional, national, European, multi-sectoral or sectoral level, based in one of the
  — Member States of the European Union;
  — *Non-profit training bodies or research bodies* will be eligible only if they get a mandate from the above mentioned partners and are properly constituted legal entities.

*Commercial undertakings* may be eligible on similar terms to non-profit training and research bodies, providing no profit accrues from their involvement.

Unless there are exceptional circumstances, projects involving only one information and consultation body must be submitted as joint projects from both workers’ and employers’ representatives.

Joint projects should be submitted by one of the parties who will fulfill the contractual commitments *vis-à-vis* the Commission and the other party must indicate in writing its agreement to the joint implementation of the project.

A project applicant cannot be an individual.

— For information and observation points, applicants must be European organisations representing workers and employers.

— Eligible participants:
  Workers' and employers' representatives, from the Member States and the Candidate countries, such as: members or future members of information, consultation and participation bodies; management of undertakings or groups or members of employers’ associations; officials of workers’ organisations and trade
union representatives; experts nominated by the above mentioned social partners.

Finance available
A minimum financial contribution of 20% is required from the applicant. This needs to be a cash contribution\textsuperscript{155}.

Application process
Applications can be sent directly to the European Commission:

Budget Heading 04.03.03.03
European Commission - DG EMPL/B.2
ARCHIVE Rue Joseph II, 54
B-1049 Brussels
Belgium

E-mail: empl-04-03-03-03@ec.europa.eu

Usually there are 2 deadlines a year, but it is strongly recommended to apply as early as possible to avoid the risk of the budget being fully allocated before the final deadline.

Further information
The compulsory on-line grant application form, as well as other related forms and relevant documents (including the European Communities' Financial Regulation and Implementing Rules) can be found at:

http://ec.europa.eu/social/main.jsp?catId=630&langId=en

Training
Since 2002, ETUI Education (formerly ETUCO) has organised an annual training course on the Social Dialogue Budget Lines, in cooperation with the ETUC, aiming to improve the quality of trade union project proposals, their implementation and the presentation of their final reports. The course is usually delivered in Brussels to coincide with the launch of the Call for Proposals by the European Commission.

For more information on this, see: http://www.etui.org/Training

or write to Silvana Pennella (spennell@etui.org)

\textsuperscript{155} See Chapter 5 for a definition of cash contribution.
Chapter 15

The Europe for Citizens Programme 2007-2013

Introduction
A new programme, Europe for Citizens, has been established for the period 2007-2013, following a decision taken by the European Parliament and Council on 12 December 2006156. The Europe for Citizens Programme supersedes the earlier Community Action Programme to promote active European citizenship which ran from 2004 to 2006 and had as its objective to strengthen the dialogue between the European Union and its citizens, with a view to encouraging the emergence of an active and participatory European citizenship.

Objectives
The Europe for Citizens Programme contributes to the following general objectives:

— Giving citizens the opportunity to interact and participate in constructing an ever closer Europe, which is democratic and world-oriented, united in and enriched through its cultural diversity, thus developing citizenship of the European Union
— Developing a sense of European identity, based on common values, history and culture
— Fostering a sense of ownership of the European Union among its citizens
— Enhancing tolerance and mutual understanding between European citizens, respecting and promoting cultural and linguistic diversity while contributing to intercultural dialogue.

The programme also has the following specific objectives, which are to be implemented on the basis of transnational actions:

— Bringing together people from local communities across Europe to share and exchange experiences, opinions and values, to learn from history and to build for the future
— Fostering action, debate and reflection related to European citizenship and democracy, shared values, common history and culture through cooperation within civil society organisations at European level
— Bringing Europe closer to its citizens by promoting Europe's values and achievements, while preserving the memory of its past
— Encouraging interaction between citizens and civil society organisations from all participating countries, contributing to intercultural dialogue and bringing to the fore both Europe's diversity and unity, with particular attention to activities aimed at developing closer ties between citizens from Member States of the European Union as constituted on 30 April 2004 and those from Member States which have acceded since that date.

156 Full details may be found in the Official Journal at http://eur-lex.europa.eu/LexUriServ/site/en/oj/2006/l_378/l_37820061227en00320040.pdf
Activities supported

Programme activities are divided into four Actions, reflecting the specific objectives above. Many of the activities were also supported in the 2004-2006 Community Action Programme to promote active European citizenship. However, it should be noted that not all of the previously supported activities appear in the same format and structure as in the previous programme.

The four Actions and sub-measures are as follows:

— **Action 1 - Active citizens for Europe**
  - Town-twinning
  - Citizens’ projects and support measures.

— **Action 2 - Active civil society in Europe**
  - Structural support for European public policy research organisations or 'think tanks' (i.e. operating grants)
  - Structural support for organisations of civil society at a European level (i.e. operating grants)
  - Support for projects initiated by civil society organisations. (This activity replaces the previous separate calls for proposals for activities run by cross-industry trade unions, NGOs and European Associations/Federations.)

— **Action 3 - Together for Europe**
  - High visibility events
  - Studies, surveys and opinion polls
  - Information and dissemination tools.

— **Action 4 – Active European Remembrance**
  - Preserving the main sites and archives associated with deportations and commemorating the victims of Nazism and Stalinism, as a means of moving beyond the past and building the future.

Budget

The agreed budget for the full Programme period amounts to €215 million. The decision establishing the Programme specifies that the overall breakdown of spending between the different actions should be the following:

— Action 1: at least 45%
— Action 2: approximately 31%
— Action 3: approximately 10%
— Action 4: approximately 4%.

The remaining 10% is allocated to administrative expenditure for the management of the Programme.

Interest to trade unions

In general terms, the programme will be open to all stakeholders promoting active European citizenship, in particular to local authorities and organisations, European public policy research organisations ('think-tanks'), citizens' groups, and other civil society organisations.
It is worth noting that in the annex to the programme decision, civil society organisations are defined as including

‘inter alia, trade unions, educational institutions and organisations active in the field of voluntary work and amateur sport’.

This is a positive statement, making clear that trade unions, including the European Federations, are welcome participants and potential partners in the Programme. This position was confirmed to the ETUC by the European Commission.

Trade unions will be particularly interested in Action 2 (Projects initiated by civil society organisations). They should find that the grants available for ‘event’ type activities offer good potential to propose relevant projects, especially as the permanent priority themes established for the Programme include areas directly relevant to the role of unions, both in the workplace and in the community. They include, for example:

— Wellbeing of people in Europe: employment, social cohesion and sustainable development
— Impact of EU policies on societies
— Future of the European Union and its basic values.

Management of the Programme and Further Information

The Europe for Citizens Programme is jointly managed by the European Commission DG Education and Culture (DG EAC) and the Education, Audiovisual and Culture Executive Agency (EACEA).

Most of the measures adopted under Actions 1, 2, and 4 will be implemented by the EACEA. DG EAC will retain political oversight of the Programme and will be primarily responsible for implementing Action 3.

A detailed Programme Guide, containing details of grants available and deadlines for the submission of applications, has been published and is available http://eacea.ec.europa.eu/citizenship/programme/programme_guide_en.php

It should be stressed that the Guide is expected to be up-dated periodically and so the website should be checked for new versions from time to time.

The citizenship pages of the EACEA website157 contain the relevant documentation for grant applications under Actions 1, 2, and 4. With the exception of measures 1 and 2 of Programme Action 2 (i.e. requests for operating grants), no individual Calls for Proposals will be published. The Programme Guide has itself effectively been given the status of a Call for Proposals, covering a wide range of activities.

Action 3 measures are likely to be implemented by public procurement contracts, details of which are expected to be published by DG EAC.

Contacts

The EACEA will be largely responsible for implementing and managing Actions 1, 2, and 4 of the programme. All relevant information can be obtained from:

Education, Audiovisual and Culture Executive Agency
Unit P7 Citizenship
BOUR 00/17
Avenue du Bourget 1
B- 1140 Brussels
Belgium
Tel: +32 299 11 11
Fax: +32 2 296 23 89
E-mail: eacea-p7@ec.europa.eu

The European Commission department responsible for implementing and managing Action 3 will be Unit D4 of Directorate-General Education and Culture.
Tel: +32 2 299 00 61
Fax: +32 2 299 93 02
E-mail: eac-info@ec.europa.eu
Chapter 16

The Community Programme for Employment and Solidarity - PROGRESS (2007-2013)

Introduction

The former Social Agenda (2005-2010), Europe’s roadmap for social and employment policy, with the overall strategic goal of modernising Europe’s social model as part of the Lisbon Strategy, now Europe 2020, has been promoting more and better jobs and offering equal opportunities for all158. As part of its implementation and within the context of the financial perspectives for the period 2007-2013, the European Commission decided to integrate the previous individual Action Programmes and Budget Lines covering antidiscrimination, gender equality, the fight against social exclusion and the promotion of labour law, including health and safety, within a single framework programme: the Community Programme for Employment and Social Solidarity - PROGRESS. Regrouping the programmes and budget lines in this way is intended to simplify administration and to increase the visibility, clarity and coherence of the different policy areas covered.

The overall aim of PROGRESS is to support the objectives of the EU in the employment and social affairs area, as set out in the Social Agenda, and thereby contribute to the achievement of the Lisbon Strategy goals in these fields.

The Programme is structured in 5 sections:

- Employment
- Social protection and social inclusion
- Working conditions
- Antidiscrimination and diversity
- Gender equality.

Objectives

The programme will pursue the following main objectives, which also give some clear indication of the activities to be supported, in relation to the five policy sections:

- To improve the knowledge and understanding of the situation prevailing in the Member States (and in other participating countries) through analysis, evaluation and close monitoring of policies
- To support the development of statistical tools and methods and common indicators, where appropriate broken down by gender and age group, in areas covered by the programme
- To support and monitor the implementation of Community law, where applicable, and policy objectives in the Member States and assess their effectiveness and impact

158 For more information on the Social Agenda and the Lisbon Strategy, see Chapter 8.
— To promote networking, mutual learning, identification and dissemination of good practice and innovative approaches at the EU
— To enhance the awareness of the stakeholders and the general public about EU policies and objectives pursued in each of the 5 strands
— To boost the capacity of key EU networks, to promote, support and further develop EU policies and objectives, where applicable.

**Eligible Applicants**

Public and private bodies, actors and stakeholders from the 27 Member States, EFTA/EEA countries, candidate countries and potential candidate countries, including local and regional authorities, public employment services and national statistics offices, research institutes and universities, social partners, and NGOs.

**Funding**

PROGRESS provides co-financing of up to a maximum of 80% of the total eligible costs of projects.

**Further information**

Details of the Calls for Proposals, including funding, eligibility rules, application packages and relevant contact details for information, will be posted on the DG Employment, Social Affairs and Equal Opportunities web site:

http://ec.europa.eu/social/main.jsp?catId=629&langId=en

as well as on the PROGRESS web site:

Chapter 17


Together with the Lifelong Learning Programme159, the 7th Framework Programme for Research and Technological Development (FP7) and the Competitiveness and Innovation Framework Programme (CIP) provide the three corners of the EU’s ‘Knowledge Triangle’ – education, research, innovation - a major element of the Lisbon Strategy of making Europe ‘the world’s most competitive and dynamic economy’ and of combining economic growth with more and better jobs. This chapter provides an overview of the 7th Framework Programme, followed by a brief section on the Competitiveness and Innovation Programme.

An overview of FP7

The 7th Framework Programme for Research and Technological Development, like its predecessors, is an enormous programme, covering a wide range of scientific and technological research and its application. It represents an important area of EU policy, with a whole chapter in the EU Treaty being devoted to Research and Technological Development (RTD). The budget for FP7 is over €50 billion - representing an increase of over 63% at current prices on the previous Framework Programme and accounting for about 3% of the EU’s overall budget. FP7 runs for 7 years from 2007 to 2013.

RTD is an essential element in the functioning of industrialised societies and represents a key component of the EU’s drive to improve competitiveness and increase employment. FP7 is both larger and more complex than its predecessors, but at the same time aims to be more flexible and to run with simplified procedures. Its two main strategic objectives are:

- To strengthen the scientific and technological base of European industry
- To encourage the EU’s international competitiveness, while promoting research that supports EU policies.

Structure

FP7 is made up of five Specific Programmes, each with a number of Themes:

Cooperation

The Cooperation Programme forms the heart of FP7 and receives two-thirds of the overall funding. It sets out to foster collaborative research through projects, managed by transnational consortia, in ten thematic areas. The Themes and their respective budget allocations are:

159 See Chapter 12.
Ideas

The Ideas Programme is intended to support ‘frontier research’ – cutting edge science at its most excellent in any area, including engineering, socio-economic sciences and the humanities. Unlike the Cooperation Programme, projects here do not need to be based on transnational collaboration, but may be led by an ‘individual team’ established around a ‘principal investigator’. The Ideas Programme is to be organised via a new European Research Council (ERC) of Europe’s top scientists and researchers. The indicative budget for the programme is €7,510 million.

People

The People Programme sets out to support the mobility and career development of researchers, both within the European Union and internationally. It operates through a series of measures, providing fellowships and other support, including:

— Initial training of researchers - Marie Curie Networks
— Industry-academia pathways and partnerships
— Co-funding of regional, national and international mobility programmes
— Lifelong training and development – individual European fellowships
— International dimension - outgoing and incoming fellowships, international cooperation scheme, reintegration grants
— Excellence Awards

The People Programme has a budget of €4,750 million.

Capacities

This Programme aims to strengthen research capacities and includes the following activities:
Nuclear Research
The Euratom Programme, which runs until 2011 will receive €2.7 billion during the period, with a significant part allocated to the ITER project on fusion energy. The Joint Research Centre (JCR) receives an additional allocation of €1,751 million for non-nuclear activities.

Funding schemes
FP7 operates by a variety of ‘Funding Schemes’. These are effectively different types of projects and actions through which the various Programmes are implemented. They are similar to what in the 6th Framework Programme (FP6) were referred to as ‘Instruments’ and include:

Collaborative Projects
These are focused research projects, carried out by consortia of universities, research institutes, industrial and other organisations from various countries. The precise make-up of consortia will vary between the individual Programmes and Themes. This is likely to be the most common type of project, particularly within the Cooperation Programme. It equates to the ‘Integrated Project’ category, established under FP6.

Networks of Excellence
Networks of Excellence aim to integrate the activities and capacities of several research institutions within a given field, thereby creating ‘virtual’ centres of excellence. They are seen as instruments to tackle the fragmentation of European research. Networks of Excellence are active in implementing the priority thematic areas of FP7 with their involvement based on a ‘Joint Programme of Activities’.

Coordination and support actions
These are actions concerned with the coordination of projects and policies, rather than being directly concerned with the research itself. They include, for example:

- Coordination and networking activities, dissemination and use of knowledge
- Studies or expert groups assisting the implementation of the Framework Programme
- Support for transnational access to major research infrastructures
- Actions to stimulate the participation of small and medium-sized enterprises (SMEs) and civil society organisations and their networks
- Support for cooperation with other European research schemes.

Individual projects
Individual Projects are part of the Ideas Programme and are carried out by individual research teams, led by a ‘principal investigator’ and funded through the ERC.
Support for training and career development of researchers

These are support actions, named after Marie Curie, used to implement elements of the People Programme.

Research for the benefit of specific groups (in particular SMEs)

For some time the RTD Framework Programmes have included a specific focus on involving SMEs, seen as a crucial motor of the European economy. Whilst SMEs are encouraged to participate as partners in other Funding Schemes, such as Collaborative Projects, the Research for the Benefit of Specific Groups scheme (BSG), provides an opportunity for projects where the bulk of the research is carried out by actors such as universities and research centres, on activities defined by and for the benefit of specific groups, most particularly SMEs.

However, the BSG Funding Scheme is not restricted to SMEs. FP7 includes specific encouragement for civil society organisations and their networks\textsuperscript{160} to participate in this Funding Scheme (BSG-CSOs). Research for CSOs will aim to develop scientific knowledge related to CSOs’ activities in order to contribute to public debate. The BSG-CSOs Funding Scheme can be used in the work programmes of the Cooperation and the Capacities Programmes. A BSG Funding Scheme requires a minimum of 3 participant organisations from 3 different Member States or Associated Countries, at least one of which must be a CSO.

Finance

Most activities in FP7 are co-financed, with the European Commission providing grant aid to reimburse a percentage of the cost of a project. The standard rate of reimbursement for RTD activities is 50%. However, certain types of organisation, including non-profit public bodies, SMEs, research organisations and higher education establishments can receive up to 75%. Some activities, including consortium management, networking, training, coordination and dissemination, can be financed up to 100%.

Applications

The plans for implementing each of the Specific Programmes are announced in annual ‘Work Programmes’, published by the Commission. Each Programme is subdivided into Themes (e.g. the Socio-economic Sciences and Humanities Theme is part of the Cooperation Programme) with Work Programmes being published for each Theme. Each Theme is then progressively sub-divided into Activities, Areas and Topics. For example, in the Socio-economic Sciences and Humanities:

Activity 8.1: Growth, employment and competitiveness in a knowledge society: the European case

Area 8.1.1: Changing role of knowledge throughout the economy

SSH-2009-1.1.1. Education in a European knowledge society

\textsuperscript{160} A ‘civil society organisation’ is defined as ‘any legal entity that is non governmental, not for profit, not representing commercial interest and pursuing a common purpose in the public interest’. This would clearly include trade union organisations.
Calls for Proposals are then issued, relating to specific Topics within the various Programmes. For each Call and Topic, the applicable Funding Schemes are also announced.

Applications are made using an online tool, the Electronic Proposal Submission Service (EPSS). A dedicated web site for FP7 exists on the CORDIS server 161, with the text of Work Programmes, Calls for Proposals, fact sheets, guides for applicants and other useful information.

**Possibilities for trade union involvement**

Although there were two projects in the Fourth Framework Programme led by trade union organisations, it is unlikely that most trade unions will have the resources and the project management skills necessary to coordinate a major FP7 project. The new possibilities opened up by the Funding Scheme for the Benefit of Specific Groups – Civil Society Organisations, however, could certainly offer opportunities for a trade union partner to lead a smaller project (EU funding up to €1M), with the bulk of the research activity being undertaken by other partners.

Trade unions, and particularly their research institutes, could also consider becoming a partner in a larger Collaborative Project or even a Network of Excellence that was coordinated by a larger enterprise or organisation, thereby avoiding the heavy task of project management and contractual arrangements. This would also reduce the potentially significant management and coordination costs which would need to be carried.

Among the key FP7 research priorities that are likely to be of particular interest for trade unions are those in the Socio-economic Sciences and Humanities Theme. In the 2009 Work Programme, these included, for example:

Area 8.1.2 Structural changes in the European knowledge economy and society
    SSH-2009-1.2.1 Growth and service industries
Area 8.1.3 Strengthening policy coherence and coordination in Europe
    SSH–2009-1.3.1 Public economic policy for growth
Area 8.2.1 Socio-economic development trajectories
    SSH-2009-2.1.2 Cities and sustainable development
    SSH-2009-2.1.3 Impacts of corporate social responsibility
Area 8.2.2 Regional, territorial and social cohesion
    SSH-2009-2.2.1 Social inequalities, their implications and policy options
Area 8.3.2 Societal trends and lifestyles
    SSH-2009-3.2.3 Quality of work and impact on quality of life and economy

There is also scope for trade unions to become involved in FP7 projects concerned with health, transport, information and communication technology and environment issues within the Cooperation Programme. Trade unions representing academic staff in higher education and research institutions may have a particular interest in elements of the People Programme. There may be other interesting possibilities for

trade unions in becoming involved in dissemination activities, particularly of results from the Socio-economic and Humanities thematic area.

Outline proposals for prospective projects can be published and read, and appropriate partners can be sought, using the online CORDIS Partners Service\textsuperscript{162}.

There may also be possibilities for unions to be involved in FP7 through discussion with employers. Many major employers in Europe will have active European Works Councils. Whilst it may not be usual practice, there is no reason why union representatives should not raise the issue of research activities and FP7. It would be interesting to discover whether the employer is, or has considered, participating in a FP7 proposal as part of a consortium. If relevant and appropriate, it could then at least allow the unions to follow developments, if not to take part directly in any project activities.

Whilst FP7 is at first sight not the most obvious place for trade union participation, it is certainly worth considering, particularly in the light of the new opportunities offered under the BSG-CSO Funding Scheme and the emphasis in many areas on social and economic issues and the societal impact of science and technology.

**The Competitiveness and Innovation Framework Programme**

The Competitiveness and Innovation Framework Programme (CIP) complements FP7 and contributes to the Lisbon Strategy by improving competitiveness\textsuperscript{163} and innovation capacity within the EU. It is intended to support the development of a knowledge society and sustainable development, based on balanced economic growth.

There are three specific sub-programmes within the CIP framework:

*The Entrepreneurship and Innovation Programme (EIP)*

This is the largest programme of the three and brings together activities aimed at promoting entrepreneurship, industrial competitiveness and innovation, with a specific focus on SMEs. It includes instruments for accessing start-up finance and investment, as well as support services offering business advice. It also provides opportunities for the exchange of best practices and supports projects that exploit the full potential of environmental technologies (‘eco-innovation’).

\textsuperscript{162} See: \url{http://cordis.europa.eu/partners/web/guest/home}

\textsuperscript{163} In this context, ‘competitiveness’ is defined as ‘the capacity of enterprises to adapt quickly to change, exploit their innovation potential and develop high-quality products’, while ‘innovation’ is defined as the ‘renewal and extension of the range of products and services, introduction of new design, production, supply and distribution methods, introduction of changes to management methods, work organisation and employees’ terms and conditions of employment and qualifications’.

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**The ICT Policy Support Programme (ICTPSP)**

This programme supports the adoption and use of information and communication technologies (ICT) and forms part of the integrated strategy, *i2010 – European Information Society 2010*[^164]. The strategy is now coming to an end and is going to be followed by a new initiative – the Digital Agenda

http://ec.europa.eu/information_society/digital-agenda/index_en.htm

**The Intelligent Energy-Europe Programme (IEE)**

This programme sets out to encourage the wider take up of new and renewable energies, to improve energy efficiency and to foster compliance with the EU energy regulatory framework.

**Finance**

The CIP runs from 2007 to 2013 with a global budget of €3.6 billion. Of this €2.17 billion is allocated to the Entrepreneurship and Innovation Programme, €730 million to ICT Policy and €730 million to the Intelligent Energy-Europe Programme.

**Interest to trade unions**

The CIP is included here primarily for information, as a significant element of the Lisbon Strategy and as a complementary programme to FP7. It is not an obvious programme for trade union participation, although there may be opportunities for participation in some of the dissemination activities or in some of the e-content elements in the ICT area. It may, however, also be useful for trade unions to be aware of the CIP and its possibilities because of the potential involvement of employers, in both the public and the private sectors, and particularly because of the opportunities provided to SMEs.

**Further information**

**FP7**

For more information on the Seventh Framework Programme, including detailed work programmes for specific areas, you should consult:


Details of forthcoming Calls for Proposals can be found at:

http://ec.europa.eu/research/participants/portal/page/fp7_calls

See also the European Research Portal:

http://ec.europa.eu/research/home.cfm

and the updated Information on SETUP Service at:[^165]

http://www.etui.org/Services/Support-for-European-Trade-Union-Projects-SETUP/Updated-information-about-EU-grants-for-trade-union-development

**CIP**

For more information on the Competitiveness and Innovation Framework Programme, see: http://ec.europa.eu/cip/index_en.htm

[^165]: The EU Information Service will shortly change its name to ‘SETUP’.
Support for external countries

Much of the emphasis in this handbook has been on transnational collaboration between organisations in the current Member States of the European Union. It is important also to consider other possibilities with a wider geographical scope, as the European Commission offers support for collaboration with organisations in other countries worldwide.

In reviewing the operation of support to external countries during the period 2007-2013, the European Commission decided to reduce and simplify the range of financial instruments through which it would be administered. The ‘External Assistance Reform’, which is now in place, gives more autonomy and responsibility to the EC delegations in the countries outside the EU. As a result, many funds will be managed in a decentralised way, so as to be closer to grass-roots organisations and to the needs of the applicants, to improve the quality of proposals and to speed up delivery of activities.

This chapter presents some of the key programmes and budget lines providing external aid and support for such activities, which could be of interest to trade unions:

- The Instrument for Pre-Accession Assistance
- The European Neighbourhood and Partnership Instrument
- The Development Cooperation Instrument
- The thematic programme ‘Investing in People’ 2007-2013
- The Instrument for Democracy and Human Rights Worldwide.

It also notes certain other programmes which include possibilities for cooperation with external countries.

The Instrument for Pre-Accession Assistance

Introduction

One of the key priorities in EU external relations policy is to promote stability and peace in the Western Balkans, where an important part of the external assistance has been used by the EU, since the enlargement process started.

The former programme CARDS (the Community Assistance programme for Reconstruction, Development and Stabilisation), starting in 2000, continued the previous activities undertaken by the EU to support the development of civil society in Albania, Bosnia and Herzegovina, Croatia, the Former Yugoslav Republic of Macedonia, Montenegro and Serbia.

In line with the aim of simplifying and coordinating the delivery of external assistance, the Commission’s major objective in setting up in 2007 an Instrument for Pre-Accession Assistance (IPA) is to streamline all pre-accession assistance into a single framework for both ‘candidate’ and ‘potential candidate’ countries, which...
replaces the former PHARE, ISPA, SAPARD and CARDS programmes, as well as the instruments providing financial assistance to Turkey.

At the same time, the new instrument differentiates between the ‘candidate’ (at the time of writing: Croatia, Turkey, and former Yugoslav Republic of Macedonia) and ‘potential candidate’ countries (at the time of writing: Albania, Bosnia and Herzegovina, Serbia, Kosovo and Montenegro). The IPA will ensure, therefore, that the Western Balkans benefits from a focused pre-accession strategy, before they gain candidate status, building on the progress made under the former CARDS Programme.

**Implementation**
The IPA is composed of five components:

- I: Institution and Transition Building
- II: Regional and Cross-border Cooperation
- III: Regional Development
- IV: Human Resources Development
- V: Rural Development.

Components I and II are open to all beneficiary countries, and operate under central management

**Component I** falls under the responsibility of the Commission’s Directorate-General

**Components III, IV and V** are open to **candidate countries only**, and are designed to mirror structural, cohesion and rural development funds in preparation for the management of such funds upon accession. They therefore require the relevant management structures to be in place (decentralisation). Potential candidates can benefit from similar measures implemented through component I.

**Role for civil society**

Besides a significant increase in financial assistance to civil society projects under the IPA, the Commission intends to continue improving consultations with civil society representatives. Support to civil society development and dialogue will be coordinated and streamlined by focusing on three areas of intervention:

- Support to local civic initiatives and capacity building enforcing the role of civil society
- Visitor programmes to EU institutions and bodies for groups with influence over decision making and society; such as journalists, young politicians, trade union leaders, teachers etc.
- Activities carried out in partnership between civil society organisations in the Beneficiary countries and the EU leading to a transfer of knowledge and networks.

**Funding**

The IPA will provide a total amount of €11.468 millions over the 2007-2013 period.
Each programme under IPA (and under the former pre-accession assistance) is made up of one or more projects. There are hundreds of ongoing projects across all sectors, countries and regions.

The EU regularly publishes invitations to tender and calls for proposals. These are organised either by the Commission services in Brussels (for centralised programmes); by the Commission Delegation in a given beneficiary country (under de-concentration); or by the relevant contracting authority within the beneficiary country's public administration (under decentralisation).

Grants decided and globally committed by the European Commission in the field of external aid are subject to an annual work programme\(^{166}\) adopted by the Commission which contains a list of all the grant schemes planned under all the IPA programmes for a given year.

Several examples of projects can be found on the Selected Projects page, at:


Information on the EC work programme, in the field of external aid, is available at:


**Interest to trade unions**

The ETUC has been active in facilitating and maintaining cooperation between local organisations, and in supporting links between local organisations and those based in the EU, to assist with the stabilisation and accession process. For a fuller account of ETUC policy in external relations, see: http://www.etuc.org/r/249

You can find the ETUC political responsible, by geographical area, are at http://www.etuc.org/r/772

An interesting project from trade union point of view has been coordinated by the ETUC with Turkish confederations. For knowing more on the project called "Bringing together workers from Turkey and European Union through a shared culture of work", click on http://www.etui.org/Services/Support-for-European-Trade-Union-Projects-SETUP/Projects-list/Civil-Society-Dialogue-Bringing-together-workers-from-Turkey-and-European-Union-through-a-shared-culture-of-work.

**The European Neighbourhood and Partnership Instrument**

**Introduction**

Since 1 January 2007, as part of the reform of EU external assistance instruments, the European Neighbourhood and Partnership Instrument (ENPI) has replaced the assistance provided by the MEDA, TACIS and other programmes to the EU’s immediate neighbours. The European Neighbourhood Policy (ENP), which the ENPI implements, was developed in the context of the EU’s 2004 enlargement, with the objective of avoiding the emergence of new dividing lines between the enlarged EU and its neighbours, and at the same time strengthening the prosperity, stability and security of all concerned.

\(^{166}\) See http://ec.europa.eu/europeaid/work/funding/index_en.htm
The ENP was first outlined in a Commission Communication *Wider Europe – Neighbourhood: A New Framework for Relations with our Eastern and Southern Neighbours*\(^{167}\), followed by a more developed Strategy Paper on the European Neighbourhood Policy\(^{168}\), published in May 2004. This document sets out in concrete terms how the EU proposes to work more closely with these countries.

The European Neighbourhood Policy applies to the EU’s immediate neighbours by land or sea – Algeria, Armenia, Azerbaijan, Belarus, Egypt, Georgia, Israel, Jordan, Lebanon, Libya, Moldova, Morocco, Occupied Palestinian Territory, Syria, Tunisia and Ukraine. Since the ENP builds upon existing agreements between the EU and the partner in question (Partnership and Cooperation Agreements, or Association Agreements in the framework of the EuroMediterranean Partnership), the ENP is not yet ‘activated’ for Belarus, Libya or Syria since no such Agreements are yet in force. Although Russia is also a neighbour of the EU, the relations are instead developed through a Strategic Partnership covering four ‘common spaces’\(^{169}\).

The EU offers its neighbours a privileged relationship, building upon a mutual commitment to common values (democracy and human rights, rule of law, good governance, market economy principles and sustainable development). The ENP goes beyond existing relationships to offer a deeper political relationship and economic integration. The level of ambition of the relationship will depend on the extent to which these values are effectively shared, but the EU has clarified that the ENP is not about enlargement and does not offer an accession perspective.

**Implementation**

The central element of the ENP is a series of bilateral Action Plans (3-5 year work programmes), agreed between the EU and each partner country\(^{170}\). These are country-specific, tailor-made political documents which jointly define an agenda of political, economic and sectoral reforms. They cover the following areas:

- Political dialogue and reform
- Economic and social cooperation and development
- Trade-related issues, market and regulatory reform
- Cooperation in Justice, Liberty and Security issues (formerly Justice and Home Affairs)
- Sectoral issues e.g. transport, energy, information society, environment, research and development
- Human Dimension: people-to-people contacts, civil society, education, public health.

The incentives on offer, in return for progress on relevant reforms, are greater integration into European programmes and networks, increased assistance and enhanced market access. Implementation of the reforms is supported through various forms of EC-funded financial and technical assistance\(^{171}\), including not only instruments which have proved successful in supporting reforms in Central, Eastern

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\(^{169}\) For more information on relations with Russia and the Strategic Partnership, see: [http://ec.europa.eu/comm/external_relations/russia/intro/index.htm](http://ec.europa.eu/comm/external_relations/russia/intro/index.htm)

\(^{170}\) See [http://ec.europa.eu/world/enp/documents_en.htm](http://ec.europa.eu/world/enp/documents_en.htm)

\(^{171}\) See [http://ec.europa.eu/world/enp/funding_en.htm](http://ec.europa.eu/world/enp/funding_en.htm)
Europe and South-Eastern Europe but also new instruments, such as the **Neighbourhood Investment Facility (NIF)**\(^{172}\) and the **Governance Facility**\(^{173}\).

A specific and innovative feature of the instrument is its cross border co-operation component. Under this component, the ENP will finance cross-border contacts and cooperation between local and regional actors and civil society across the EU’s external borders in the East and the South. Unfortunately, the current situation is such that the differences between the rules applying to funding programmes inside and outside the EU make it difficult to support cross-border cooperation along the EU’s external border. This was one of the underlying reasons for the Commission’s proposal to replace all existing funding instruments for these countries with a single instrument, the ENPI, which, by using the same rules and procedures as the EU’s Structural Funds, would make it easier to implement projects which straddled the EU’s external borders (land or maritime).

**Role for civil society**

As far as civil society and non-governmental organisations (within which the EU now includes trade unions) are concerned, they will also need to work towards the objectives set out in the ENP Action Plans, agreed with the governments of each partner country. In many cases, there should be complementarity between the reforms which the EU is seeking from outside, and those which civil society and non-governmental organisations are promoting inside their countries. Reporting and monitoring by civil society and non-governmental organisations, whether national or international, will be one of the sources on which the EU will draw in assessing the progress being made in implementing the reform commitments.

**Funding**

For the budgetary period 2007-2013, approximately €12 billion is available to support partners' reforms under the ENPI, an increase of 32% in real terms over earlier programmes. Funds allocated to individual country programmes depend on their needs and absorption capacity, as well as their implementation of agreed reforms. The ENPI cross-border cooperation programme for the period 2007-2013 will receive financial support of €1.18 billion.

**Technical assistance**

New forms of technical assistance have been extended to ENP partners. Legislative approximation, regulatory convergence and institution-building are being supported through mechanisms which proved successful in transition countries that are now EU Member States i.e. targeted expert assistance through the Technical Assistance and Information Exchange (TAIEX)\(^{174}\), long-term twinning\(^{175}\), arrangements with EU Member States’ administrations – national, regional or local – and participation in relevant Community programmes and agencies.

\(^{172}\) See [http://ec.europa.eu/world/enp/faq_en.htm#4.6](http://ec.europa.eu/world/enp/faq_en.htm#4.6)

\(^{173}\) See [http://ec.europa.eu/world/enp/faq_en.htm#4.5](http://ec.europa.eu/world/enp/faq_en.htm#4.5)


Introduction

As we have noted, the External Assistance Reform process has led to a major restructuring of the framework for financial support to third countries and a significant simplification and reduction in the number of funding instruments. While the new IPA and ENPI programmes deal with assistance to the EU’s closest neighbours, a third general instrument, the Development Cooperation and Economic Cooperation Instrument, was proposed to provide direct support for the Union’s external policies in relation to other external countries not eligible for support under one of the other two Instruments. In the subsequent process of negotiations between Council, Commission and Parliament, the proposed third instrument developed into two separate instruments:

— Instrument for Cooperation with Industrialised and Other High-Income Countries and Territories (ICI)\textsuperscript{176}
— Instrument for Development Cooperation (DCI)\textsuperscript{177}.

The Regulation of 18 December 2006 establishing the DCI also repeals and replaces various former Regulations dealing with individual budget lines, on issues such as gender equality in developing countries, schemes carried out by NGOs and decentralised cooperation.

The Instrument is guided by various articles of the Union Treaty. Under Article 177, the Community’s development policy is intended to foster

‘the sustainable economic and social development of the developing countries, and more particularly the most disadvantaged among them, the smooth and gradual integration of the developing countries into the world economy and the campaign against poverty in the developing countries... Community policy in this area shall contribute to the general objective of developing and consolidating democracy and the rule of law, and to that of respecting human rights and fundamental freedoms.’

The primary and overarching objective of the DCI is the eradication of poverty in partner countries and regions in the context of sustainable development, including pursuit of the UN Millennium Development Goals (MDGs)\textsuperscript{178}, as well as the promotion of democracy, good governance and respect for human rights and for the rule of law. Consistent with this objective, cooperation with partner countries and regions shall:

— Consolidate and support democracy, the rule of law, human rights and fundamental freedoms, good governance, gender equality and related instruments of international law
— Foster the sustainable development - including political, economic, social and environmental aspects - of partner countries and regions, and more particularly the most disadvantaged among them

\textsuperscript{178} See http://www.un.org/millenniumgoals/
— Encourage their smooth and gradual integration into the world economy
— Help develop international measures to preserve and improve the quality of the environment and the sustainable management of global natural resources, in order to ensure sustainable development, including addressing climate change and biodiversity loss
— Strengthen the relationship between the Community and partner countries and regions.

Implementation

The DCI initially covers the period 2007-2013. Measures are financed under either geographical (countries or regions) or thematic programmes, or in the context of global initiatives. In relation to the geographical and thematic programmes, strategy papers are agreed to provide the framework for coordination between the Community and the partner or region. Such strategy papers are based on dialogue with the partner country or region, involving civil society, and must provide a framework for not more than seven years which will be reviewed from time to time. They provide the basis for multi-annual programmes, setting out priority areas, objectives and anticipated results.

Countries eligible to participate are those classed as Official Development Assistance (ODA) recipients by the Development Assistance Committee of the Organisation for Economic Cooperation and Development (OECD/DAC). Geographic programmes are divided into the following regions:

— Latin America
— Asia
— Central Asia
— Middle East
— South Africa.

Thematic programmes cover the following themes, each of which has a number of sub-themes:

— Investing in people
— Environment and sustainable management of natural resources
— Non-State actors and local authorities in development
— Food security
— Migration and asylum.

Funding

The amount available for the implementation of the DCI during the period 2007-2013 is €16.897 million. An amount of €465 million has been included within this total to finance activities that benefit the ENPI countries. The amounts allocated to each programme can be found in Annex IV of the Regulation establishing the DCI.

For further information, please consult the DCI website
Thematic Programme 'Investing in People' 2007-2013

Investing in People is a thematic programme committed to poverty reduction worldwide. As part of the EC development cooperation, it aims to support actions in the area of human and social development, in particular: education, health, gender equality, social cohesion, employment, childhood and youth, as well as culture.

For 2011-2013 the budget is € 502 million with the following allocations:

- Good health for all: €280 million (56% of the total)
- Education and skills: €72 million (14.5% of the total)
- Gender equality: €37 million (7.5% of the total)
- Other aspects of human and social development: €113 million (22% of the total)

Funding is usually disbursed through Calls for Proposals https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome).

For global or strategic initiatives, agreements are also signed with international organisations, such as UN agencies or the World Bank.

The programme is implemented through Annual Action Programmes (AAPs)

Entities eligible for funding are specified in the guidelines of each call for proposals, depending on the objectives of the call. Usually, they are:

- Non-State Actors (NSAs), including non-governmental organisations, social partner organisations, such as professional associations, universities and research institutes, etc.;
- local authorities and consortia thereof or associations representing them;
- international (intergovernmental) organisations, as defined by Article 43 of the Implementing Rules of the Financial Regulation of the European Community.

For more information, see http://ec.europa.eu/europeaid/how/finance/dci/investing_en.htm
Thematic Programme for the promotion of Democracy and Human Rights Worldwide

Introduction

The package of Regulations concerning external assistance, adopted by the European Union in December 2006, also includes an Instrument for the promotion of Democracy and Human Rights Worldwide\(^{179}\), which allows for assistance to activities strengthening and protecting democracy and human rights in countries outside the EU, independent of the consent of third party governments and other public authorities. This instrument supersedes the previous European Initiative for Democracy and Human Rights (EIDHR).

The principles of liberty, democracy, respect for human rights and the rule of law form a cornerstone of the European Union, as laid down in the Universal Declaration on Human Rights, complemented by a series of other Declarations and Conventions, which together constitute an important source of inspiration for the EU with regard to defining its priorities.

In 1994 the European Parliament created a new Budget Chapter, the EIDHR, which brought together all the existing budget lines dealing with the promotion of human rights. The Treaty of Amsterdam in 1999 marked another significant step forward. Article 6 of the treaty states that:

‘The European Union is founded on the principles of liberty, democracy, respect for human rights and fundamental freedoms, and the rule of law, principles common to all Member States’.

The new Regulation establishes a European Instrument for Democracy and Human Rights under which the Community will provide assistance, within its framework of policy on development cooperation, and economic, financial and technical cooperation with third countries, consistent with the EU’s foreign policy as a whole, contributing to the development and consolidation of democracy and the rule of law, and of respect for all human rights and fundamental freedoms.

The assistance is targeted in particular at:

a) Enhancing respect for and observance of human rights and fundamental freedoms, as proclaimed in the Universal Declaration of Human Rights and other international and regional human rights instruments, and promoting and consolidating democracy and democratic reform in third countries, mainly through support for civil society organisations, providing support and solidarity to human rights defenders and victims of repression and abuse, and strengthening civil society active in the field of human rights and democracy promotion;

b) Supporting and strengthening the international and regional framework for the protection, promotion and monitoring of human rights, the promotion of democracy and the rule of law, and reinforcing an active role for civil society within these frameworks;

c) Building confidence in and enhancing the reliability of electoral processes, in particular through election observation missions, and through support for local civil society organisations involved in these processes.

**Implementation**

The Regulation covers the period 2007-2013. During this period assistance is to be implemented through a series of measures, including Strategy Papers, Annual Action Programmes, Special Measures and Ad Hoc Measures. Strategy Papers contribute to the Community’s strategy and the priority areas selected for financing, together with objectives, expected results and performance indicators. These then form the basis of a series of Annual Action Programmes with specific finances attached.

**Funding**

During the period 2007-2013, funding for the implementation of the thematic programme for the promotion of Democracy and Human Rights Worldwide will be €1,104,000,000.

For further information, see: http://ec.europa.eu/europeaid/how/finance/eidhr_en.htm

**Interest to trade unions**

The areas of human rights, democratisation, and combating racism and xenophobia are ones where the trade union movement has been very active and trade unions have successfully presented projects on these themes.

For example, funded by the former PHARE and Democracy programme (one of the former strands in EIDHR), ETUI Education coordinated a project called ‘Development of a trade union education network in Central and Eastern Europe’, which set out to develop cooperation in the field of trade union education between the trade unions of Central and Eastern Europe. This project established a network of trade union educators which is still very active in trade union education and in the dissemination of new learning resources.

**Other possibilities**

Several other EU programmes also offer the possibility of cooperation with external countries on activities which might be of interest to trade unions. These include two transatlantic cooperation programmes on education and training.

**EU-US Cooperation Programme in Higher Education and Vocational Education and Training**

The European Commission has signed a cooperation agreement with the US for the continuation of this Programme for the period 2006-2013.

It is planned to allocate €45 million with a target of 6,000 EU and US persons participating in mobility activities over the duration of the programme. The programme’s core activities are joint curriculum development and student exchanges in a wide range of disciplines such as International Education Development, Environment and Agriculture, Engineering, Health Science and International Business. The Cooperation Programme consists of:
— **Transatlantic Degree**: the programme supports partnerships between EU and US institutions to establish joint study programmes – including joint/double degrees – and exchanges of students and staff
— Excellence Mobility Projects
— Policy-oriented measures
— Schuman-Fulbright Programme providing scholarships to highly qualified professionals to undertake studies or training on the opposite side of the Atlantic.

Policy-oriented measures provide support to multilateral EU-US projects and activities designed to enhance collaboration in the higher education and vocational training field, and may include studies, seminars, working groups, benchmarking exercises that address comparative higher education and vocational training issues, including recognition of qualifications and issues of accreditation. The projects may also include comparative studies and analyses, language and content integration, dissemination of projects, software and web development, e-learning and open education, and infrastructure and resources development.

The programme is open to higher education institutions and to any type of public, semi-public or private vocational education and training institution which designs or undertakes vocational education or training, further vocational training, refresher vocational training or retraining.

Documentation:
http://ec.europa.eu/education/eu-usa/doc1156_en.htm

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**EU-Canada Cooperation Programme in Higher Education and Vocational Training**

The EU and Canada have signed a cooperation agreement for the period 2006-2013. Projects, led by consortia of EU and Canadian higher education institutions and vocational education and training institutions, to promote and develop joint study and/or training programmes and to implement student/faculty mobility, will continue to be a cornerstone of the new programme. Activities supported by this programme may include the development and dissemination of innovative international curricula, student mobility and the development of its organisational framework, structured exchanges and teaching assignments for teachers, trainers, administrators and other relevant specialists and the joint development and dissemination of web-based and computer-based technologies. Important new dimensions are added, such as measures to foster an in-depth dialogue on policy issues, as well as new activities in the area of youth.

Documentation:
http://ec.europa.eu/education/programmes/eu-canada/index_en.html
http://ec.europa.eu/education/eu-canada/doc1563_en.htm

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The **Seventh Framework Programme for Research and Technological Development**

The 7th Framework Programme (FP7) also offers opportunities for cooperation with external countries. Of particular interest is the Europe in the World Activity, part of the Socio-economic Science and Humanities area of the FP7 Cooperation programme.\(^{180}\)

\(^{180}\) For more detail on the 7th Framework Programme, see Chapter 17.
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 web site.
   - 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 **task breakdown**.

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.

4.5 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.

4.6 **Allocate resources** to the tasks and produce a set of task resource sheets.

4.7 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**

5.1 Establish who will take responsibility for deciding whether or not to proceed with the proposal.

5.2 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?

5.3 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.
5.4 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?

5.5 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. Then send the proposal, together with the letters of intent, 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.
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]
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")
concerning 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:

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

It was the Canadian media guru Marshall McLuhan who, in 1964, coined the phrase ‘global village’. More than 40 years on, even McLuhan would have been astonished at how the Internet has made this vision of the world a reality. Developments in Information and Communications Technology (ICT) have transformed the way all of us work, not least in project management. In this Appendix, we look at how ICT and specialist software programmes can assist in planning and implementing transnational projects.

Electronic communications

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. Chapters Four and Five have emphasised the importance of this.

Just because tools or technologies are available, it does not mean that people will use them, or will use them in the same way. If someone cannot set priorities to 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 advantages of electronic communications, we have to remember that the tools and technologies are only as effective as the way 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.

The most pervasive electronic technologies available to people are e-mail and the Internet. Nearly all trade unions now use e-mail as a primary means of communication, and many will have their own separate web sites.

E-mail programmes range from modest applications with only basic functionality to sophisticated communication management tools. Many are free, while others are bundled with software packages that can be quite expensive. All share an ability to store addresses, arrange contacts in groups or lists, handle the attachment of files and send and receive messages almost instantaneously. All e-mail programmes can deliver messages in plain text format, while most now also support HTML (the language of the Internet), which allows for more advanced formatting and the inclusion of images and graphics.

If your trade union has its own network, it may be possible to get remote access to your e-mail account and files. This can be particularly useful when you are away from your office, meeting partners or conducting other project business. The use of laptop computers, modern PDAs (Personal Digital Assistants) and smartphones make this a relatively easy process.

The Internet now hosts millions of web sites in hundreds of languages and can, if used properly, be an invaluable resource for those engaged in projects. Even if
SMS technology - sending messages from a desktop, mobile phone or PDA – may be useful in reminding people of deadlines or meetings.

Finally, video conferencing – while still not widely used – can now be implemented relatively inexpensively from personal computers, and may be a useful means of making direct contact with partners, if time or financial pressures make face-to-face meetings difficult.

If we now consider the various stages of the project life-cycle, we can see how electronic communications might help.

**Project development**

A transnational project starts from an idea, with a set of aims and objectives, to which a group of organisations and individuals from different countries commit themselves. At the point of developing the project idea, it is highly unlikely that there will be funding to bring potential partners together to discuss and develop their ideas. Therefore e-mail offers an ideal way of having discussions and exchanging ideas at very little real cost. It is possible to set up a mailing list of potential partners you are discussing the idea with, allowing you quickly and simply to circulate messages and documents to a group, however large or small.

Having access to the Internet offers tremendous advantages, even in developing your initial ideas. As with e-mail programs, many web browsers (such as Internet Explorer, Firefox or Opera) are free. You can - using modern search engines - research the topic you are interesting in, establishing, for example, what the issues are, where the expertise lies, and what work has been done already. This can be helpful not only in clarifying your ideas, but also in identifying potential partners.

As you will have realised from this handbook, the institutions and agencies of the European Union make available a large amount of their public information free of charge on the Internet, for the obvious reasons of reducing costs and increasing efficiency. This includes information about programmes and budget lines, which can provide funding to support transnational projects and activities. In recent years, the Commission has also moved to increased use of electronic rather than paper-based application forms for some programmes, making Internet access not only useful but essential. All you need is an Internet connection with a service provider or access through your trade union’s Local Area Network (LAN), to be able to read and store this information on your computer for future use.

ETUI Education has also established a substantial EU Information Service on the Internet for trade union educators. This provides up-to-date information on EU programmes and budget lines and as well as advice on the preparation and management of projects\(^\text{181}\).

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\(^\text{181}\) See [http://www.etui.org/Services/Support-for-European-Trade-Union-Projects-SETUP](http://www.etui.org/Services/Support-for-European-Trade-Union-Projects-SETUP)
Project management

Just as e-mail can support the development of a project, it can also support its organisation and ongoing work, once funding is secured. Whilst it will not replace the need for face-to-face project meetings, it can provide a particularly speedy and efficient communications system for project management, which may help the project to operate more effectively on a limited travel budget.

All projects produce key documents (minutes of meetings, budgets, draft reports) which are largely for internal use amongst partners. These can be circulated to partners via e-mail, once an agreed format for producing documents has been agreed. You should bear in mind that not everyone may be using the same computer operating system (e.g. Windows, Mac or Linux) or software (e.g. Microsoft Office, WordPerfect or Star Office), so an agreed common format is important.

Projects always need to produce reports of activities, as one of the conditions of receiving financial assistance from a sponsor. This involves obtaining information from all partners, often within a short period of time. E-mail and the exchange of documents can help enormously with this process. Some word-processing software programmes support Review and Merge functions that allow a number of users to comment on or edit a single document, with amendments being merged into a final version. This can be useful when completing a report requiring input from a number of partners.

In addition, it can be very helpful to create a closed access area (i.e. password protected) on an Internet server, as a form of project library. Here you can put the most up-to-date copies of various project documents, enabling partners to read or download a copy at any time - a very useful facility when partners misplace their original copies, or cannot find the most recent version of a document. Some projects have also found it useful to combine this with a closed online discussion forum for project members, which can provide a more focused space for discussion than a standard e-mail package.

Many European Commission programmes and budget lines now publish the structure and format of their project report forms on the Internet, together with any further guidance notes that may be available. The sooner you can get hold of these, the more time you will have to understand and prepare for the reporting process you have to go through. Again, access to the Internet will speed things up for you and should ensure that you have the most up-to-date version of documents produced by the European Commission.
**Dissemination**

Successful transnational projects result in the completion of new services or new products, such as handbooks, training materials, and reports.

Dissemination (and marketing, if appropriate) is the key to creating the conditions in which your project’s products and services are noticed, taken up, and used by others. Electronic communications can play a major role in a project dissemination strategy. This may simply be a question of developing a further targeted e-mail list. However, publishing project pages on a web site allows you to make information about your project, its activities and results more generally available.

Anyone creating a web page can also make available from within it whole documents in a variety of formats – word-processed files, spreadsheets, zipped files, portable document files (PDF), photos and graphics, for example. Thus, if you have produced a substantial report, training manual, or other materials that are too long to publish as a normal web page, you can still make them available for downloading and printing as files.

Equally, if you are selling your products, the Internet can provide you with an opportunity to market and make more people aware of what you have to offer. You may even give them the opportunity to order items on-line.

As well as publishing information on your own organisation’s web site, you might also find it helpful to provide material for publication on the ETUI SETUP web site. In the Resources section of the site, you will also find training materials and information sheets on using information technology within trade unions.

**Project Management Software**

Our emphasis so far in this Appendix has been on the use of ICT tools for communication within projects. However, there are also various types of project management software which can – if used properly – considerably aid the whole process of project management and provide real assistance in keeping your work ‘on track’. Equally, though, if misused, they can be frustrating, time-wasting and ultimately counter-productive.

There is now a plethora of specialised ‘Project Management’ software packages available, with a huge range of complexity and price. The first decision you must make is whether you need such software at all. If your project is small and reasonably simple, it is unlikely that you will benefit from specialised software. A basic spreadsheet package may be all that you may need. This can not only handle your budget, but also assist you in scheduling and linking tasks.

If your project is a little more complex – and transnational projects often are – you may find that a basic Project Management package will assist you. For large-scale, truly complex projects, you should consider investing in a more advanced product. If you opt for the latter path in particular, make sure you also invest time in learning how to use the package effectively.

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You need also to understand what the program can and cannot do. First of all, it can’t come up with the project idea for you! Nor can it automatically generate all the activities and tasks you must undertake. What typical Project Management software can do is to provide a logical framework in which you can both develop and implement your project plan. Its starting point is the Work Breakdown Structure (see Chapter 5). Once you have identified the top-level activities in your WBS, you can use the software to input this information into the computer. You can then break these activities down into greater detail, enter start, finish and duration times, allocate resources (financial and personnel) to each task, identify milestones, establish relationships, and produce Gantt and PERT charts.

In addition, during project implementation, your software can track progress, generate ‘planned versus actual’ comparisons, highlight difficulties in scheduling or resources, and generally give you detailed information to help you in your management of the work. Some packages can also integrate with your e-mail or scheduling software, or export data to spreadsheet or word-processing packages. This can also provide an important aspect of your communications strategy, giving clear and understandable reports that can support your team in working together.

There is another category of software available that – whilst not being project management software as such – may also be very useful for projects. Mind Mapping software allows you to create visual representation of ideas and to create links between them. It may be used 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.

We list a number of these software packages in the Bibliography and Resources Appendix.
Appendix 5

The Structure of the European Commission

The European Commission is divided into Directorates-General - or DGs - together with a number of additional general and specialised services, each with particular areas of responsibility. This Appendix provides a list of these, with links to web sites, followed by a list of other autonomous agencies and foundations, established by the Commission or the Council.

Directorates-General and Services

Further information can be found on the European Union web site http://ec.europa.eu/about/ds_en.htm

General Services

- Central Library
- Communication (COMM)
- European Anti-Fraud Office (OLAF)
- Eurostat (ESTAT)
- Historical archives
- Joint Research Centre (JRC)
- Publications Office (OP)
- Secretariat General (SG)

Policies

- Agriculture and Rural Development (AGRI)
- Budget (BUDG)
- Climate Action (CLIMA)
- Competition (COMP)
- Economic and Financial Affairs (ECFIN)
- Education and Culture (EAC)
- Employment, Social Affairs and Inclusion (EMPL)
- Energy (ENER)
- Enterprise and Industry (ENTR)
- Environment (ENV)
- Health and Consumers (SANCO)
- Home Affairs (HOME)
- Information Society and Media (INFSO)
- Internal Market and Services (MARKT)
- Justice (JUST)
- Maritime Affairs and Fisheries (MARE)
- Mobility and Transport (MOVE)
- Regional Policy (REGIO)
- Research and Innovation (RTD)
- Taxation and Customs Union (TAXUD)
External Relations
- Enlargement (ELARG)
- EuropeAid Development & Cooperation (DEVCO)
- Foreign Policy Instruments Service (EEAS)
- Humanitarian Aid (ECHO)
- Trade (TRADE)

Internal Services
- Bureau of European Policy Advisers (BEPA)
- European Commission Data Protection Officer
- Human Resources and Security (HR)
- Informatics (DIGIT)
- Infrastructures and Logistics - Brussels (OIB)
- Infrastructures and Logistics - Luxembourg (OIL)
- Internal Audit Service (IAS)
- Interpretation (SCIC)
- Translation (DGT)
- Legal Service (SJ)

In addition to the Directorates-General and central services of the Commission, there are also Agencies, Foundations and Centres which were established by a European Commission or a European Council decision but which work as autonomous bodies.

Policy Agencies

Agency for the Cooperation of Energy Regulators (ACER)

At planning stage, Slovenia

Community Fisheries Control Agency (CFCA)

Edificio Odriozola, Avenida García Barbón 4
E-36201 Vigo
Spain

Tel: + 34 986 12 06 10
E-mail: cfca@cfca.europa.eu
Internet: http://www.cfca.europa.eu

Community Plant Variety Office (CVPO)

Postal address:
P.O. Box 2141
F-49021 Angers Cedex 02
France

Street address:
3, Boulevard Maréchal Foch
F-49100 Angers
France

Tel: +33-2-41 25 64 00
Fax: +33-2-41 25 64 10
E-mail: cpvo@cpvo.europa.eu
Internet: http://www.cpvo.europa.eu

**European Agency for Safety and Health at Work (EU-OSHA)**
Gran Vía 33
E-48009 Bilbao
Spain
Tel: +34-94-479 43 60
Fax: +34-94-479 43 83
E-mail: information@osha.europa.eu
Internet: http://www.osha.europa.eu

**European Agency for the Management of Operational Cooperation at the External Borders (FRONTEX)**
Rondo ONZ 1
00 124 Warsaw
Poland
Tel: +48-(0)-22-544 95 00
Fax: +48-(0)-22-544 95 01
E-mail: frontex@frontex.europa.eu
Internet: www.frontex.europa.eu

**European Asylum Support Office (EASO)**
At planning stage, Malta.

**European Aviation Safety Agency (EASA)**
*Visiting address:*
Ottoplatz 1
D-50679 Köln
Germany

*Postal address:*
PO Box 101253
D-50452 Köln
Germany
Tel.: +49-221-89 99 00 00
Fax: +49-221-89 99 09 99
E-mail: tren-easa-info@ec.europa.eu
Internet: http://www.easa.europa.eu

**European Centre for Disease Prevention and Control (ECDC)**
*Postal Address:*
171 83 Stockholm
Sweden

*Visiting address:*
Tomtebodavägen 11A
Solna
Sweden
Tel: +46-(0)-8 586 01000
European Centre for the Development of Vocational Training (Cedefop)
PO Box 22427 Finikas
GR-55102 Thessaloniki
Greece
Tel.: +30-23 10 49 01 11
Fax: +30-23 10 49 00 49
E-mail: info@cedefop.europa.eu
Internet: www.cedefop.europa.eu

European Chemicals Agency (ECHA)
Visiting address:
Annankatu 18
00120 Helsinki
Finland

Mailing address:
P.O.Box 400
00121 Helsinki
Finland

Telephone: +358-9-686180
Fax: +358-9-68618210
Contact: http://echa.europa.eu/about/contact_en.asp
Internet: http://echa.europa.eu

European Environment Agency (EEA)
Kongens Nytorv 6
DK-1050 Copenhagen K
Denmark

Tel: +45-3336 7100
Fax: +45-3336 7199
Internet: www.eea.europa.eu

European Food Safety Authority (EFSA)
Largo N. Palli 5/A
I-43100 Parma
Italy

Tel: +39-0521-036 111
Fax: +39-0521-036 110
E-mail: info@efsaeuropa.eu
Internet: www.efsa.europa.eu

European Foundation for the Improvement of Living and Working Conditions (EUROFOUND)
Wyattwille Road
Loughlinstown
IRL-Dublin 18

Tel: +353-1-204 31 00
European GNSS Supervisory Authority (GSA)
rue de la Loi, 56
1049 Brussels
Belgium
Tel: + 32 2 297 16 16
Fax: + 32 2 296 72 38
E-mail: info@gsa.europa.eu
Internet: http://www.gsa.europa.eu/

European Institute for Gender Equality (EIGE)
Švitrigailos g. 11M
LT-03228 Vilnius
Lithuania
Tel: + 370 5 2394140
e-mail: eige.sec@eige.europa.eu
Internet: www.eige.europa.eu

European Maritime Safety Agency (EMSA)
Lisbon Office:
Cais do Sodré
1249-206 Lisbon
Portugal
Tel.: +351 21 1209 200
Fax: +351 21 1209 210
E-mail: information@emsa.europa.eu
Internet: www.emsa.europa.eu

European Medicines Agency (EMA)
7, Westferry Circus
Canary Wharf
London E14 4HB
United Kingdom
Tel.: +44-20-74 18 84 00
Fax: +44-20-74 18 84 16
E-mail: info@emea.europa.eu
Internet: www.emea.europa.eu

European Monitoring Centre for Drugs and Drug Addiction (EMCDDA)
Cais do Sodré
1249-289 Lisboa
Portugal
Tel +351-211 21 02 00
Fax +351-218 13 17 11
E-mail: info@emcdda.europa.eu
Internet: www.emcdda.europa.eu/
**European Network and Information Security Agency (ENISA)**

*Postal address:*
P.O. Box 1309  
71001 Heraklion - Crete  
Greece

*Street address:*
Science and Technology Park of Crete (ITE)  
Vassilika Vouton,  
700 13 Heraklion  
Greece

Tel: + 30-28 10 39 12 80  
Fax: + 30-28 10 39 14 10  
E-mail: info@enisa.europa.eu  
Internet: http://www.enisa.europa.eu

**European Railway Agency (ERA)**

*Visiting address, headquarter in Valenciennes:*
European Railway Agency  
120, rue Marc Lefrancq  
59300 Valenciennes  
France

Tel: +33 327 096-500  
Fax: +33 327 334-065

*Visiting address, conference centre in Lille:*
European Railway Agency  
Espace International  
299, Boulevard de Leeds  
F-59777 Lille  
France

*General postal address of the Agency:*
European Railway Agency  
BP 20392  
F-59307 Valenciennes Cedex  
France

E-mail: press-info@era.europa.eu  
Internet: www.era.europa.eu

**European Training Foundation (ETF)**

Villa Gualino  
Viale Settimio Severo 65  
I-10133 Torino  
Italy

Tel +39-011-630 22 22  
Fax +39-011-630 22 00  
E-mail: info@etf.europa.eu  
Internet: www.etf.europa.eu
Executive Agencies

Executive agencies are organisations established in accordance with Council Regulation (EC) No 58/2003 (OJ L 11, 16.1.2003) 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).

Education, Audiovisual and Culture Executive Agency (EACEA)
Avenue du Bourget, 1
B-1140 Brussels

Visiting address:
Rue Colonel Bourg, 135-139
B-1140 Brussels
Tel: +32 (0) 2 299 11 11
E-mail: eacea-info@ec.europa.eu

European Research Council Executive Agency (ERC)
COV2 24/164
BE-1049 Brussels
Tel: +32 (0)2 296 8870
Fax: +32 (0)2 299 3173  
E-mail:  erc-info@ec.europa.eu  
Internet:  http://erc.europa.eu  

**Executive Agency for Competitiveness and Innovation (EACI)**

*Postal address:*
European Commission  
EACI Agency  
B-1049 Brussels  

*Visiting address:*
Covent Garden Building  
Place Rogier 16  
B-1210 Brussels  
Enquiries:  [http://ec.europa.eu/eaci/contact_en.htm](http://ec.europa.eu/eaci/contact_en.htm)  
Internet:  [http://ec.europa.eu/eaci](http://ec.europa.eu/eaci)  

**Executive Agency for Health and Consumers (EAHC)**

**DROSBACH** building  
12, rue Guillaume Kroll  
L-1822 Luxembourg  

Tel: +352 4301 32015  
Fax: +352 4301 30359  
E-mail:  PHEA@ec.europa.eu  

**Research Executive Agency (REA)**

COVE B-1049  
B-1049 Brussels  


**Trans-European Transport Network Executive Agency (TEN-T EA)**

Trans-European Transport Network Executive Agency (TEN-T EA)  
*Visiting address:*
Chaussée de Wavre 910  
B-1049 Brussels  

*General questions:*  TENT-AGENCY@ec.europa.eu  
*Human Resources questions:*  TREN-TENT-HR@ec.europa.eu
# Current European Commissioners and their Responsibilities

Commissioners are nominated by Member States. For up-to-date information on Commissioners see: [http://ec.europa.eu/commission_2010-2014/index_en.htm](http://ec.europa.eu/commission_2010-2014/index_en.htm)

## President
José Manuel BARROSO  
Portugal

## Vice-Presidents
- **High Representative of the Union for Foreign Affairs and Security**
  Catherine ASHTON  
  United Kingdom
- **Competition**
  Joaquín ALMUNIA  
  Spain
- **Digital Agenda**
  Neelie KROES  
  The Netherlands
- **Industry and Entrepreneurship, Inter-Institutional Relations and Administration**
  Antonio TAJANI  
  Italy
  Maroš ŠEFČOVIČ  
  Slovakia
- **Justice, Fundamental Rights and Citizenship**
  Viviane REDING  
  Luxemburg
- **Transport**
  Siim KALLAS  
  Estonia

## Other Commissioners

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<th>Commissioner</th>
<th>Country</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agriculture and Rural Development</td>
<td>Dacian CIOLOS</td>
<td>Romania</td>
</tr>
<tr>
<td>Climate Action</td>
<td>Connie HEDEGAARD</td>
<td>Denmark</td>
</tr>
<tr>
<td>Development</td>
<td>Andris PIEBALGS</td>
<td>Latvia</td>
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<tr>
<td>Economic and Monetary Affairs</td>
<td>Olli REHN</td>
<td>Finland</td>
</tr>
<tr>
<td>Education, Culture, Multilingualism and Youth</td>
<td>Androulla VASSILIOU</td>
<td>Cyprus</td>
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<td>Employment and Social Affairs and Inclusion</td>
<td>László ANDOR</td>
<td>Hungary</td>
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<td>Energy</td>
<td>Günter OETTINGER</td>
<td>Germany</td>
</tr>
<tr>
<td>Enlargement and EU neighbourhood policy</td>
<td>Štefan FÜLE</td>
<td>Czech Republic</td>
</tr>
<tr>
<td>Environment</td>
<td>Janez POTOČNIK</td>
<td>Slovenia</td>
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<tr>
<td>Financial Programming and Budget</td>
<td>Janusz LEWANDOWSKI</td>
<td>Poland</td>
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<tr>
<td>Health and consumer policy</td>
<td>John DALLI</td>
<td>Malta</td>
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<tr>
<td>Home Affairs</td>
<td>Cecilia MALMSTRÖM</td>
<td>Sweden</td>
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<tr>
<td>Internal Market and Services</td>
<td>Michel BARNIER</td>
<td>France</td>
</tr>
</tbody>
</table>
International Cooperation, Humanitarian Aid and Crisis Response
Kristalina GEORGIEVA Bulgaria

Maritime Affairs and Fisheries Regional Policy
Maria DAMANAKI Greece
Research Innovation and Science
Johannes HAHN Austria
Maire GEOGHEGAN-QUINN Ireland

Taxation and Customs Union, Audit and Anti-Fraud
Algirdas ŠEMETA Lithuania

Trade
Karel DE GUCHT Belgium
Appendix 7

Sources of Information about the European Commission and other European Institutions

In this Appendix you will find information about the European Commission, together with web sites of key European institutions.

The Offices of the European Commission

Appendix 5 contains web links to the various Directorates-General and other central Commission services. In addition to its central offices in Brussels and Luxembourg, the European Commission is also represented in each Member State of the European Union. These delegations:

— Represent the Commission in each Member State
— Promote Union policies
— Develop relations between the Commission and its political and special interest partners, including the media
— Meet public information needs relating to the Commission and the Union.

These Commission Offices are a useful point of contact for preliminary enquiries, although in view of the volume and range of public information demand, these may well be referred to more specialised relay centres in the Member States, dealing with particular programmes or aspects of Union affairs. A list of the Commission Offices in Member States, together with their Directors, follows below:

See http://ec.europa.eu/contact/local_offices_en.htm

Austria
Wipplingerstraße 35
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Tel: +43 (1) 516 18-0
Fax: +43 (1) 513 42 25
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Internet: http://ec.europa.eu/austria/
Mr Richard Künel

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Mr Willy Helin

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Fax: +359 2 933-52-33
E-mail: com-rep-sof@cec.eu.int
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Ms. Zinaida Zlatanova

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Fax: +420- 224 312 850, 224 320 810
E-mail: comm-rep-cz@cec.eu.int
Internet: http://www.evropska-unie.cz/
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00101 Helsinki
Tel. +358 9- 622 6544
Fax +358 9- 656 728
E-mail: comm-rep-hel@ec.europa.eu
Internet: http://ec.europa.eu/finland/
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Fax: +33 (0)1 45 56 94 17/18/19
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Internet: http://ec.europa.eu/france/
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Fax: +33 (0)4 91 90 98 07
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Internet: http://ec.europa.eu/france/marseille/index_fr.htm
Blandine Pellistrandi

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Internet: http://ec.europa.eu/ellada/index_el.htm

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1052 Budapest
Deák Ferenc u. 15
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Fax: +36-1-466-4221
E-mail: com-rep-bud@ec.europa.eu
Internet: http://www.eu.hu/
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Fax: +39-06 6791658 - 6793652
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Internet: http://ec.europa.eu/italia/
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Fax: +39-02 4818543
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Fax: +371-7085448
E-mail: com-rep-latvia-info@ec.europa.eu
Internet: http://www.eiropainfo.lv
Ms Iveta Šulca

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Kęstutis SADAUSKAS

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Ernst Moutschen

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Fax: +31-070 364 66 19
E-mail: burhay@ec.europa.eu
Internet: http://www.europa.nl/netherlands/
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Fax: +48 22 556 89 98
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E-mail: com-rep-ro@ec.europa.eu
Internet: http://ec.europa.eu/romania/index_ro.htm
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Fax: +46-08 - 562 444 12
E-mail: bursto@ec.europa.eu
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Tel: +44-020 7973 1992
Fax: +44-020 7973 1900/1910
E-mail: Sarah.Lambert@ec.europa.eu
Internet: http://ec.europa.eu/unitedkingdom/index_en.htm
Sarah Lambert (Acting Head of Representation)

European Commission Office in Northern Ireland
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Fax: +44-028 9024 8241
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Maurice Maxwell

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Fax: +44 0131 226 4105
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Neil Mitchison

European Commission Office in Wales
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Caspian Way/Ffordd Caspian
Cardiff/Caerdydd
CF10 4QQ
Tel: +44 029 20895020
Fax: +44 029 20895035
E-mail: Andy.Klom@ec.europa.eu
Andy Klom
The privilege and also obligation of holding the Presidency was introduced in the Treaty of 1957 establishing European Communities. As experience has shown, however, the period of six months is not enough for a state holding the Presidency to effectively realise the objectives that are set. Thus, a new idea began to emerge of a group Presidency with three Member States which are to exercise the Presidency one after the other, coordinating their objectives to be met within 18 months, or the period of three subsequent Presidencies. The calendar of the next presidencies follows (at time of writing).

<table>
<thead>
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<td>January-June 2014</td>
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<td>Italy</td>
<td>July-December 2014</td>
</tr>
<tr>
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<td>July-December 2015</td>
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<td>January-June 2016</td>
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<td>Malta</td>
<td>January-June 2017</td>
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<td>United Kingdom</td>
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<td>Estonia</td>
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<td>July-December 2018</td>
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<td>July-December 2019</td>
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<td>Finland</td>
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– European Commission
   http://ec.europa.eu/index_en.htm

Directorates-General and Services
http://ec.europa.eu/about/ds_en.htm
European Social Fund
http://ec.europa.eu/esf/home.jsp?langId=en
Statistical Office of the European Communities
http://epp.eurostat.ec.europa.eu/portal/page/portal/eurostat/home
Other Agencies and Bodies (E.M.E.A., EEA, CEDEFOP, etc.)
http://europa.eu/agencies/community_agencies/index_en.htm
European Environment Information and Observation NETwork
http://www.eionet.europa.eu/
RAPID - Press Release Service of the European Commission
Europe Direct (EU Information Centres)
http://europa.eu/europedirect/index_en.htm
Representations in Member States and in third countries
http://ec.europa.eu/represent_en.htm
EUR-LEX – Access to EU law
http://eur-lex.europa.eu/
Interactive Terminology in Europe Database (formerly "Eurodicautom")
http://iate.europa.eu/iatediff/
SCADPLUS – Summaries of EU legislation
PreLex – monitoring decision-making between institutions
http://ec.europa.eu/prelex/apcnet.cfm?CL=en
EURES – European Employment Database
http://ec.europa.eu/eures/
ARCHISplus – Database of historical archives

– Court of Justice of the European Communities
   http://curia.europa.eu/

– European Court of Auditors
   http://www.eca.eu.int

– European Central Bank
   http://www.ecb.int

– Economic and Social Committee
   http://eesc.europa.eu/

– Committee of the Regions of the European Union
   http://www.cor.europa.eu/

– European Investment Bank
   http://www.eib.org

– EUR-OP: Office for Publications
   http://publications.europa.eu/
Official Journal, Treaties, Legislation - EUR-Lex
http://eur-lex.europa.eu/
- TED - Tenders Electronic Daily, Supplements to the Official Journal
http://ted.europa.eu/

- European Ombudsman
  http://www.euro-ombudsman.eu.int

- European Police Office - EUROPOL
  http://www.europol.europa.eu/

  http://ec.europa.eu/index_en.htm#

- European University Institute, Firenze
  http://www.iue.it

- Historical Archives of the European Communities
  http://www.iue.it/ECArchives/EN/

Other useful links

- Euro-Site
  http://ec.europa.eu/economy_finance/euro/our_currency_en.htm

- Dialogue with Citizens and Business
  http://ec.europa.eu/citizensrights/index.htm

- Council of Europe
  http://www.coe.int/DefaultEN.asp
  - Parliamentary Assembly
    http://assembly.coe.int/
  - European Court of Human Rights
    http://www.echr.coe.int/
  - Council of European Municipalities and Regions
    http://www.ccre.org

- Organisation for Economic Cooperation and Development
  http://www.oecd.org

- European Youth
  http://ec.europa.eu/youth/index_en.htm
Appendix 8

ETUI Services Supporting Transnational Project Work

Since 1992, ETUCO and more recently ETUI Education have been offering a range of services and activities for trade unions, dealing with transnational projects and project management. The former EU Information Service has been relaunched with a new name “SETUP” (Support for European Trade Union Projects) and it has become a service for all ETUI affiliates in order to take account of the broader ETUI mission in the field of project work.

It offers various kinds of assistance, designed to support European trade union officers involved in transnational projects and to increase the potential for transnational collaboration in trade union activities. It includes a substantial online resource - a ‘one-stop shop’ on European projects and funding - published on the ETUI web site at:

http://www.etui.org/Services/Support-for-European-Trade-Union-Projects-SETUP

The facilities include:

- **Up-to-date information about EU grants for trade union development**, including:
  - Information on EU Programmes and budget lines, organised by topics of interest to trade unions.
  - A list of open Calls for Proposals and Calls for Tender.
  - A newsletter, SETUP News highlighting particular Calls for Proposals and other EU funding opportunities which offer support for trade unions. The newsletter can be downloaded from the website but it can also be delivered by e-mail on subscription.

- **A Publications** section offering specific tools to help trade unionists with designing and managing European projects. It includes:
  - *The EU Lifelong Learning Programme: a handbook for trade unions*. Produced in collaboration with the ETUC, the handbook. Available in English and French.
  - *Trade Unions and Transnational Projects: a guide to managing European training projects*. This handbook can also be downloaded from the web site. The updated 8th Edition is available only in English and French. However, ETUI Education is able to help confederations to translate it into their national languages by covering 50% of their costs.
  - *The European Social Fund: a handbook for trade unions*. Produced in collaboration with the ETUC, the handbook provides general information on the new structure of the European Social Fund for the period 2007-2013. It is available in English, French, German, Greek, Italian, Portuguese and Spanish, as well as in all the languages of the New Member States.

- **A Links** section providing links to useful EU web sites, including newsletters and information centres.
In addition, SETUP provides:

– **Transnational training courses** on:

  – **Project management.** These are normally organised twice a year and are intended for trade union officers who already have some experience of transnational project work. Since 2010 the participants in the “project management” course have been earning an accreditation officially recognised by the British TUC and National Open College Network. This experiment will continue within the context of the new European Qualifications Framework.

  – The **Social Dialogue budget lines** and the **European Social Fund**, organised in collaboration with the ETUC.

  – **EU Funding for Health and Safety** organised in collaboration with the ETUI Health and Safety Department.

For dates of forthcoming courses please consult:

http://www.etui.org/content/view/search/89/(all)/1

– **Information Days.** The EUIS Education Officer, Silvana Pennella, is available to organise information days for national confederations and European industry federations about particular aspects of EU funding and project work.

– **Individual advice** on EU fundraising, finding partners for project work, as well as assistance on project proposals.

– **A projects’ corner : a data base of European trade union projects**

For more details on any of these services, please contact Silvana Pennella (spennell@etui.org).
GLOSSARY
Glossary of Abbreviations, Acronyms and EU Terminology

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/scadplus/glossary/index_en.htm](http://europa.eu/scadplus/glossary/index_en.htm) contains some 250 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

**ACTIVE EUROPEAN CITIZENSHIP***
Action programme to promote Active European Citizenship (2004-2006), with the aim of bringing citizens closer to the EU and its institutions. It has now been replaced by the *Europe for Citizens Programme*, which aims to strengthen dialogue between the EU and its citizens. This includes promoting dialogue with civil society organisations, such as trade unions. (DG Education and Culture)

**ADULT LEARNER**
Learner participating in adult education. In the context of the *Lifelong Learning Programme*, a person over 25 years of age or a younger person no longer participating in initial education
AGENDA 2000*
Action programme, the main aims of which were to strengthen Community policies and provide the European Union with a new framework for funding the preparations for enlargement during the period 2000-2006.

ALA
Asian and Latin American countries.

ALBAN*
European Union Programme of high-level scholarships for Latin America. The Programme aimed to reinforce European Union–Latin America cooperation in the area of Higher Education. This has now been subsumed within the Erasmus Mundus Programme. (DG Education and Culture)

ALFA II
América Latina-Formación Académica (ALFA) is a programme of cooperation between Higher Education institutions of the European Union and Latin America. (EuropeAid Cooperation Office)

@LIS*
Alliance for the Information Society is a Programme of the European Commission aiming to reinforce the partnership between the European Union and Latin America in the field of the Information Society. Its objectives are to establish dialogue and cooperation on policy and regulatory frameworks in key areas and to boost interconnections between research networks and communities in both regions. (EuropeAid Cooperation Office)

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.

ARION (2000-2006)*
Programme of study visits for education specialists within the former Socrates Programme. (DG Education and Culture)

ARTICLE 6 (INNOVATIVE MEASURES)*
Article 6 of the ESF Regulations supported innovative measures to assist the development of future policy and programmes, by exploring new approaches to the content and organisation of employment, including vocational training and industrial adaptation. (DG Employment and Social Affairs)

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 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).

CAP
Common Agricultural Policy. (DG Agriculture)

CARDS*
Community Assistance for Reconstruction, Development and Stabilisation. This Programme’s objective was to support the participation of the countries of the Western Balkans (Albania, Bosnia and Herzegovina, Croatia, Serbia, Montenegro and the former Yugoslav Republic of Macedonia) in the Stabilisation and Association Process (SAP). It has been replaced in 2007 by the IPA (Instrument for Pre-Accession Assistance).

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.
CFSP
Common Foreign and Security Policy.

CIP
The Competitiveness and Innovation Programme (CIP) for the period 2007-2013 is a framework programme designed to boost Europe’s growth, jobs and competitiveness. Part of its activities replaces the former eTEN Programme. It also supports entrepreneurship and innovation as well as the Intelligent Energy Europe Programme. (DG Enterprise)

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.

COMENIUS
Originally an action within the Socrates Programme, Comenius is now a sectoral sub-programme within the Lifelong Learning Programme (2007-2013). It focuses on European cooperation in the field of pre-school and school education. (DG Education and Culture)

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.

COMMUNITY INITIATIVES*
Reform of the Structural Funds in 1988 resulted in the provision of a budget for special programmes, known as Community Initiatives, aimed at finding innovative solutions to specific problems affecting the whole of the EU. In the period to 2006, a number of Community Initiatives were instituted, including EQUAL, LEADER and INTERREG.

COMMUNITY PROGRAMME ON GENDER EQUALITY (2001-2006)*
The purpose of this programme was to promote gender equality, in particular by providing assistance and support for the Community framework strategy. The Programme coordinated, supported and financed the implementation of horizontal transnational activities under the fields of intervention of the Community framework strategy on gender equality. Its work has now been integrated into the PROGRESS Programme.

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.

CONNECT*
Funding programme, launched in 1999, supporting innovative projects which reinforced synergies and links in the areas of education, training and culture, associated with new technologies. This area of work now forms part of the transversal programme on information and communication technologies within the Lifelong Learning Programme. (DG Education and Culture)

CONSORTIUM
The grouping of organisations that will be responsible for the direct implementation of a project. In the context of the Lifelong Learning Programme, it is a generic term applicable to both Partnerships and Networks.
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.

COST
European Cooperation on Scientific and Technical Research - an intergovernmental network supporting cooperation between scientists and researchers across Europe. (DG Information Society)

CQAF
Common Quality Assurance Framework. EU framework for assuring quality in vocational education and training

CREST
Scientific and Technical Research Committee - the chief scientific body offering advice to the European Council and the Commission.

CSCE*

CSF
Community Support Framework (DG Regional Policy)

CSO
Civil Society Organisation.

CULTURE 2007
This programme replaces the Culture 2000 Programme and focuses on transnational mobility for EU cultural workers, transnational circulation of cultural products, and intercultural dialogue. (DG Education and Culture)

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 and Home Affairs)

DCI
Development Cooperation Instrument – funding instrument for the period 2007-13, 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 Cooperation Office)

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).

DOMs
Départements Outre Mer – French overseas departments that are part of European Community 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 and DG Information Society and Media to manage certain parts of the EU’s programmes in the fields of education, culture and audiovisual.

EAFRD
European Agricultural Fund for Rural Development – one of two funds supporting the delivery of the CAP from 2007. (DG Agriculture)

EAGF
European Agricultural Guarantee Fund - one of two funds supporting the delivery of the CAP from 2007. (DG Agriculture)

EAGGF*
European Agricultural Guidance and Guarantee Fund – former instrument supporting delivery of the CAP. (DG Agriculture)

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.

**ECONOMIC REFORM AND RECOVERY (2000-2006)**
Programme which promoted economic reform and recovery in the **NIS** and Mongolia. Took over from **TACIS**. (DG Enlargement)

**eCONTENTplus (2005-2008)**
Programme aiming to make digital content more accessible, usable and exploitable by facilitating the creation and dissemination of information at EU level. Replaced earlier eContent Programme. (DG Information Society)

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 Development)

EEA
European Environment Agency.

EEA
European Economic Area (European Union and **EFTA** countries, with the exception of Switzerland).

EEC
European Economic Community, established by the **Treaty of Rome** in 1957.

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 and Social Affairs)
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 and Social Affairs)

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*
The European Initiative for Democracy and Human Rights (EIDHR) was 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, supporting a thematic programme for the promotion of Democracy and Human Rights Worldwide. (EuropeAid Cooperation Office)

eLEARNING PROGRAMME (2004–2006)*
Programme aimed at improving the quality and accessibility of European education and training systems through the effective use of information and communication technologies. Effectively now replaced by the Information and Communication Technologies transversal programme within the Lifelong Learning Programme. (DG Education and Culture)

EMI
European Monetary Institute. (DG Economic and Financial Affairs)

EMU
Economic and Monetary Union.

ENPI
European Neighbourhood and Partnership Instrument for the period 2007-2013, replacing MEDA, TACIS and other programmes giving assistance to the EU’s immediate neighbours. (DG External Relations).

ENQA-VET
European Network on Quality Assurance in Vocational Education and Training.

EQUAL*
One of the Community Initiatives, during the period 2000-2006, established to promote innovative practices in the fight against discrimination and inequality. (DG Employment and Social Affairs)

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
Originally an EU action scheme for the mobility of university students, part of the Socrates Programme. Now one of the sectoral sub-programmes within the Lifelong Learning Programme, with a focus on Higher Education. (DG Education and Culture).

ERASMUS MUNDUS
The Erasmus Mundus Programme 2009-2013 is a cooperation and mobility programme in the field of higher education. It aims to enhance quality in European higher education and to promote intercultural understanding through cooperation with third countries. (DG Education and Culture)

ERC
European Research Council.

ERDF
European Regional Development Fund – one of the key Structural Funds (DG Regional Policy)

ESF
European Social Fund – one of the key Structural Funds. Its focus is on employment, the development of human resources and the promotion of social integration. (DG Employment and Social Affairs)

ESSPROS
European System of integrated Social Protection Statistics (Eurostat).

eTEN*
eTEN (1995-2006) was the European Community Programme designed to help the deployment of telecommunication networks based services (e-services) with a trans-European dimension. It was replaced by the ICT Policy and Support Programme (ICTPSP), part of the CIP (Competitiveness and Innovation) Framework Programme. (DG Enterprise)

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.

ETUCO*
European Trade Union College – former training body of the ETUC. It has now been replaced by ETUI Education.

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 27 Member States (Austria, Belgium, Bulgaria, 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 Community 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. (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 and Social Affairs)

EURISTOTE
Computerised information system on university research relating to European integration. (DG Education and Culture)

EUR-LEX
Online database of EU legislation.

EURO
The official currency of 12 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.

EUROPA
Main web portal of the European Union, with links to other EU servers.
URL: 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
Programme intended to strengthen the dialogue between the EU and its citizens, operating during the period 2007-2013. This supersedes former Community Action Programme to promote Active European Citizenship.

EUROPEAID
The EuropeAid Cooperation Office's mission is to implement the external aid instruments of the European Commission which are funded by the European Community budget and the EDF.
EUROPEAN COMMISSION
The civil service of the EU, comprising 39 Directorates-General.

EUROPEAN COUNCIL
Highest decision-making body of the EU, comprising presidents and prime ministers of the Member States.

EUROPEAN PARLIAMENT
Currently composed of 785 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 combating terrorism, unlawful drug trafficking and other serious forms of international organised crime.

EUROSTAT
Statistical office of the European Community.

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.

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.
FP7
The Seventh Framework Programme for Research and Technological Development aims to encourage international cooperation and to strengthen the scientific and technological base of European industry and society. (DG Research)

GRUNDTVIG
Originally one of the actions within the Socrates Programme, with a specific focus on adult education. Now one of the sectoral sub-programmes within the Lifelong Learning Programme. (DG Education and Culture)

ICT
Information and Communication Technologies.

ICTPSP
The ICT Policy and Support Programme (2007–2013) is part of the CIP (Competitiveness and Innovation Framework Programme) and aims to stimulate innovation and competition through the wider uptake and best use of ICT by citizens, governments and businesses. (DG Enterprise)

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.

Also the name of a multi-annual programme (1998-2002) to stimulate the establishment of the information society in Europe, now replaced by initiatives within the i2010 policy framework. (DG Information Society)

INFORMATION SOCIETY TECHNOLOGIES*
One of the thematic priorities of the 6th Framework Programme for Research and Technological Development (2002-2006), which aimed to increase innovation and competitiveness in European business and industry, and to contribute to greater benefits for all European citizens. (DG Research)
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.

ISPA*
Instrument for Structural Policies for Pre-Accession (2000-2006), providing support originally for the 10 applicant countries who joined the EU in 2004 and for Bulgaria and Romania. In 2007, superseded by the IPA.

IPA
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. (DG Enlargement)

INTERREG PROGRAMMES*
Series of Community Initiative Programmes (1990-2006) aiming at transnational and cross-border cooperation to promote regional development, not only within the EU, but also between neighbouring border regions, including external land borders and certain maritime borders. Since 2007, replaced by the European Territorial Objective of the Structural Funds and by the ENPI.

IST
Information Society Technologies.

ITUCs
Trade Union Inter-regional Councils.

IVT
Initial Vocational Training.

i2010 - A EUROPEAN INFORMATION SOCIETY FOR GROWTH AND EMPLOYMENT
EU framework for Europe's information society and media policy, to be achieved by 2010, with three priorities: creating a Single European Information Space, strengthening innovation and investment in ICT research and achieving an inclusive European information and media society. To be achieved through a variety of initiatives and programmes, including eLearning, eContentplus and FP7.

JEAN MONNET PROGRAMME
This programme aims to strengthen the development of bodies and institutions active in the field of European integration. Now part of the Lifelong Learning Programme (DG Education and Culture).
KNOWLEDGE-BASED SOCIETY
A society whose processes and practices are based on the production, distribution and use of knowledge.

LEADER/LEADER+*
Community Initiative Programmes, financed by EU Structural Funds, and designed to help rural actors consider the long-term potential of their local region, with a strong focus on partnership and networks of exchange of experience. From 2007-2013, the new Rural Development Policy, funded by the EAFRD, will include a ‘Leader axis’, based on experience from the Community Initiatives and introducing possibilities for locally based bottom-up approaches to rural development. (DG Agriculture)

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.

LEI
Local employment initiative.

LEONARDO DA VINCI
Action Programmes on vocational training (1995-2006), supporting innovative transnational initiatives in VET. From 2007 to 2013, one of the four sectoral sub-programmes within the Lifelong Learning Programme, with a specific focus on vocational training. (DG Education and Culture)

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, designed to foster innovation in and cooperation between education and training systems in participating countries at every stage of life. Currently running for seven years (2007-2013). It integrates the previously separate Comenius, Erasmus, Leonardo da Vinci and Grundtvig Programmes into a new framework and also includes transversal programmes on policy cooperation and integration, language learning,
ICT and dissemination, as well as the Jean Monnet Programme. (D-G Education and Culture)

LINGUA*
Actions within the Socrates Programme (1990-2006) promoting the teaching and learning of foreign languages in the EU. It is now replaced by the transversal programme on language learning within the Lifelong Learning Programme. (DG Education and Culture)

LISBON STRATEGY/LISBON AGENDA
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’ covers matters such as research, education, training, Internet access and on-line business. It also covers reform of Europe’s social protection systems, which must be made sustainable so that their benefits can be enjoyed by future generations.

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 removes the three ‘pillars’ of the Maastricht Treaty, effectively terminating the existence of the European Community. Henceforth the European Union will have 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.

MEDIA PROGRAMMES*
Series of Programmes (1996-2006), including various sub-programmes (e.g. MED-CAMPUS, MED-URBS, EUROMED YOUTH), supporting the reform of economic and social structures in the framework of the Euro-Mediterranean Partnership and the Barcelona Process. Replaced in 2007 by the ENPI. (DG External Relations)

MEDIA PROGRAMME/MEDIA PLUS/MEDIA 2007
Series of Programmes (1991 - ) aimed at strengthening the competitiveness of European film, TV and new media industries and to increase international circulation of European audiovisual product. The MEDIA 2007 Programme comprises a series of support measures for the European audiovisual industry, focusing on training professionals, developing production projects, distributing and promoting films and audiovisual programmes, and supporting film festivals. (DG Information Society and Media)
**MEP**  
Member of the European Parliament.

**MERCATOR**  
Network of research and documentation centres on minority languages and cultures in Europe. (DG Education and Culture)

**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**.

**MINERVA**  
Action within the **Socrates Programme** (2000-2006) aiming to promote European cooperation on the use of **ODL** and **ICT** within education. Activities now subsumed within the information and communication technologies transversal programme of the **Lifelong Learning Programme**. (DG Education and Culture)

**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 and Social Affairs)

**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**  
National Action Plan – annual plan produced by Member States as part of the European Employment Strategy (**EES**). Since 2005, replaced by National Reform Programmes (**NRP**). (DG Employment and Social Affairs)

**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**  
Within the **Lifelong Learning Programme**, a body established within one of the **Member States** with the role of promoting the Programme and administering particular aspects, most notably **Mobility** and **Partnership** activities.

**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 and Social Affairs)

**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.

**OJEC**
Official Journal of the European Communities.

**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.

**OUTCOME**
The longer term impact of a project, generally assessed some time after the project’s formal conclusion. (Cf Result)
PARTNERSHIP
A bilateral or multilateral agreement between a group of institutions or organisations in different Member States to carry out joint European activities.

PHARE PROGRAMME*
European Union initiatives (1989-2006), providing grant finance to support its partner countries in Central Europe and Eastern Europe to the stage where they were ready to assume the obligations of European Union membership. Now replaced by the IPA. (DG Enlargement)

PLACEMENT
In the context of the Lifelong Learning 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.

PMC
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) is a framework programme which replaces previous individual Programmes in the fields of employment, social inclusion, working conditions and anti-discrimination. It will support the objectives of the European Union in the employment and social affairs area and thereby contribute to the achievement of the Lisbon Strategy, promoting more and better jobs and promote equal opportunities for all.

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.

RESULT
The initial impact of a project, generally assessed at the time of the project’s formal conclusion. (Cf Outcome)
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.

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 (Bosnia and Herzegovina, Croatia, the Former Yugoslav Republic of Macedonia, and Serbia and Montenegro including Kosovo).

SAPARD*
Special Accession Programme for Agriculture and Rural Development – funding programme (2000-2006) 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)

SDA
Social Development Agency – non-profit-making organisation supported by the ETUC. Works to extend international social dialogue, to carry out specific projects on social issues and to advise European Works Councils and workers’ representatives.

SEVENTH FRAMEWORK PROGRAMME (FP7)

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 to include 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*.

**SOCRATES PROGRAMMES***
Community action Programmes (1995-2006) promoting European cooperation in the field of education, covering the whole range of education activities from pre-school to adult education and including actions such as *Comenius, Erasmus, Grundtvig, Lingua* and *Minerva*. From 2007 to 2013, these have been subsumed within the *Lifelong Learning Programme*. (DG Education and Culture)

**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**
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 Policy)

**TACIS PROGRAMME ***

**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.

**TEMPUS/TEMPUS PLUS PROGRAMMES**
Trans-European mobility schemes (1990-2006) for university studies - funded projects between the higher education sector in the EU and its 26 partner countries, to facilitate university modernisation, mutual learning between regions and peoples, and understanding between cultures. The TEMPUS partner regions are the Western Balkans, Eastern Europe and Central Asia, North Africa and the Middle East. A new TEMPUS PLUS Programme will run from 2007 to 2013. (DG Education and Culture)

**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 and Social Affairs)
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 Community level. The process has the objective of answering the needs of new target groups and users.

TUTB
Trade Union Technical Bureau – 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

URBAN PROGRAMMES*
Series of Community Initiative Programmes (1994-2006) dedicated to the regeneration of urban areas and neighbourhoods in crisis. (DG Regional Policy)

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 IN ACTION PROGRAMME
Bibliography and 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. Please send suggestions to Silvana Pennella at ETUI Education.

Managing EU Projects: Handbooks

**EU Programmes Information Service** - ETUI Education online information library and help desk:
http://www.etui.org/education/eu_information_service

**Project Cycle Management Guidelines (2004)** - excellent guide from the Commission’s EuropeAid Cooperation Office

**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/about/
http://www.salto-youth.net/find-a-tool/68.html

**From Idea into Project:** A handbook for planning a transnational education and training project - downloadable handbook from the Finnish Leonardo Centre
http://www.leonardodavinci.fi/publications/ideasta/idea-eng.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, LOFT, LOTCO, LO Norway, SASK)

**The EU Lifelong Learning Programme:** a handbook for trade unions – downloadable from the ETUI Education web site at:

**The European Social Fund 2007-2013:** a handbook for trade unions – downloadable from the ETUI Education web site at:
Project Management: General Texts

Forsyth, P. *First Things First*, Pitman, UK (1994)
Wabnegg, H. *Gewerkschaftliche Projektarbeit*, ÖGB Verlag, Austria (1998)

Project Management Websites

There are many WWW sites devoted to project management, several of them run by professional associations of project managers. These include:

http://www.pmforum.org/
http://www.ipma.ch/
http://www.pmi.org/

Other useful sites include:

Project Management Wisdom
http://www.maxwideman.com/index.htm

Spottydog's Project Management Web Site
http://www.spottydog.u-net.com/

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 programmes (word-processing, spreadsheet, organiser, database) and communications (e-mail, conferencing, document management), there are a number of computer programmes designed to assist the management of large-scale projects. Such has been the recent popularity of the Project Management approach, that there are now hundreds of such programmes, as a search on the Internet will demonstrate. 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.

**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.
http://www.officeworksoftware.com/productfamily_TP.php

**Project Kickstart** (Experience In Software) is simple and easy to use. Can be exported to Microsoft Office programmes and MS Project and links with MindManager (see below). Available in a number of languages.
http://www.projectkickstart.com/

**ProjeX** is an impressive add-on for Microsoft Excel that provides a lot of project management functionality. Freeware version available.
http://www.waa-inc.com/projex/index.htm

As mentioned in Appendix 4, Mind Mapping software may be a useful tool for use in projects. The following products are examples of what is available:

**MindManager**
http://www.mindjet.com/

**Mind Tools**

**Mind Genius**
http://www.mindgenius.com/

**ConceptDraw Project**
http://www.conceptdraw.com/

In addition to desktop-based software, there are now a number of web-based online applications available. Examples include:

**iTeamwork**
http://www.iteamwork.com

**Ace Project**
http://www.aceproject.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

EU Programmes Information Service – ETUI Education’s online information library provides information on calls for proposals and help on projects:
http://www.etui.org/education/eu_information_service

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

SCADPlus provides a general overview of EU policy on education and training

The Leonardo da Vinci programme maintains a comprehensive database of previous projects and products

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 Equal Opportunities 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
European Social Fund (ESF)
http://ec.europa.eu/employment_social/esf/index_en.htm

Regional and Cohesion Policy information is available on the Commission’s site at http://ec.europa.eu/regional_policy/index_en.htm