EUROPEAN COMMISSION

Inter-DG FP6 IT Project Office

FP6 IT PROJECT OFFICE

Functional Specifications of Negotiation Module

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1. INTRODUCTION

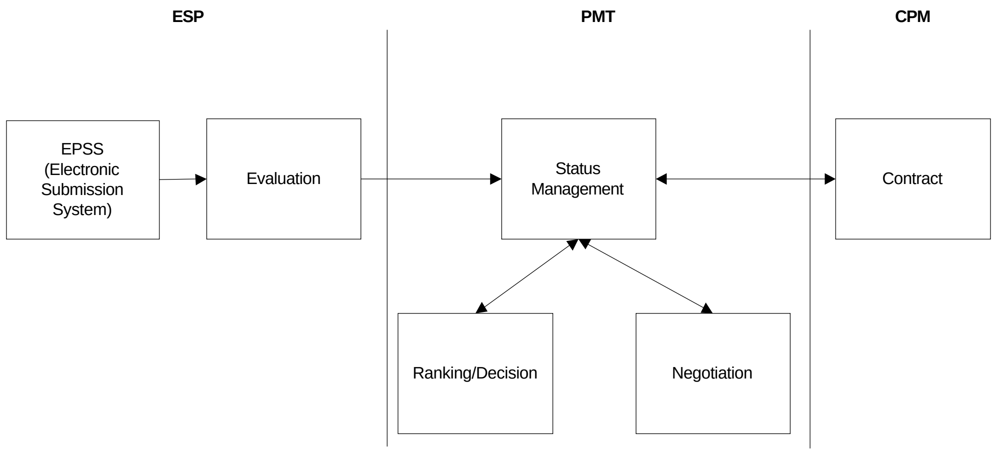
1.1. Purpose of the Document

This document provides the business process description, a data storage summary and potential IT solutions.

1.2. General Overview

Our general objective is to have a central IT system, for the five DGs involved in research, based on Web technology for the storage and management of the essential proposal data and documents.

The general business process is described by the following figure:



1.3. Goal of the negotiation

- Collection and finalisation of all the documents and information required to produce a contract for a given proposal (for any instrument and funding system of FP6, see Annex 1).
- Implementation of the recommendations of the experts and requirements imposed by the Commission.

1.4. Characteristics of the negotiation

The negotiation is an interactive and iterative process between the Commission on one hand and, mainly, the coordinator on the other hand. In some cases, the Commission communicates also directly with other project partners.

Communication means are mail, e-mail, phone, meetings, and might include web-based electronic submission.

1.5. Starting point of the negotiation preparation

- There is no clearly defined starting point of the preparation of the negotiation. Activities described in section 2 which do not imply contacts with proposal participants may potentially be undertaken before the negotiation authorisation is given

1.6. Starting point of the negotiation

- The authorisation to negotiate is given by the responsible EC official.

1.7. Input required

- After the submission and evaluation phase
  - Ø Call details (FP, call identifier, year of publication, etc)
  - Ø Coordinator and partner logins/passwords
  - Ø Proposal forms
  - Ø Proposal files
    - ♦ scientific/technical description
    - ♦ management information
    - ♦ Other documents attached to the proposal, if any
  - Ø Final ESR for each proposal
  - Ø Evaluation sheets of the individual evaluators
- After the EC ranking and GoD
  - Ø List of proposals to be negotiated
  - Ø List of proposals in reserve
  - Ø Where applicable, additional requirements to be respected for some or all the proposals in the form of minutes and/or specific instructions per proposal (e.g. cost reduction, etc.)
- From other EC sources prior to negotiation
  - Ø Budget for the call and possibly sub-budgets
  - Ø Templates for standard letters, e-mails, checklist of documents required from CO/partners
  - Ø Names of responsible EC officials (SO, negotiator, HoU, director, etc) and his/her unique ID code (e.g. username or similar code)

- Deadlines (for the receipt of the CPFs, for the finalisation of the negotiation)

- From the coordinator/partners

    - CPFs

    - Annexes to CPF ("Annex II", annual reports, legal documents establishing the organisation, organisation structure, certified bank account). They may be sent in paper form and should be scanned and stored electronically.

    - The project's cost and requested EC contribution broken down per activity/workpackage/partner as required to calculate the project totals *(to be checked for FP6 – details/decision pending)*

    - The man-months broken down per activity/workpackage/ partner *(to be checked for FP6 – details/decision pending)*

    - The requested EC contribution by year or for the first 18 months in case of Integrated Projects and Networks of Excellence

    - Where applicable in FP6, justification if EC funding is requested for third countries

    - If required in FP6:

        - Signed mandates

        - Letter of the new partner

        - Agreement of the consortium to include the new partner

        - Consortium agreement (optional)

1.8. Output to be produced at the end of the negotiation

- Output for the contract phase

    - Finalised CPFs, parts to be used:

        - project title

        - short title

        - proposal number

        - call identifier

- thematic priority or any other EC internal and organisational sub-division under which the proposal(s) is/are financed

- instrument type

- duration of the project

- project-specific administrative details which are not related to the organisation as legal entity and not recorded in the organisation data base (such as names and contact details of scientists, etc.)

- SINCOM key for the banking information (based upon banking details provided by the CO and, for new accounts, certified by the bank)

- Financial information as required for the contract (total EC contribution)

Ø Finalised DoW

Ø To be provided by EC staff during negotiation:

- Unique organisation ID code (to retrieve the organisation data for the contract from the organisation database)

- Financial details (advance, payment schedule, etc. *as required for FP)*

- Reference numbers of pre-defined project-specific special clauses

- Protection measures to be taken as a result of LFV checks (e.g. reduced/no advance payment, bank guarantee, etc.)

- Language of the contract

- Contract type (including “lump sum funding” where applicable, see Annex I*)*

- the starting date of the contract (if fixed, otherwise first day of the month following the signature)

- required reports (number, language, timing)

- Other output

Ø Additional information to complete the negotiation report

Ø Finalised CPF (information necessary for negotiation but not required for the contract)

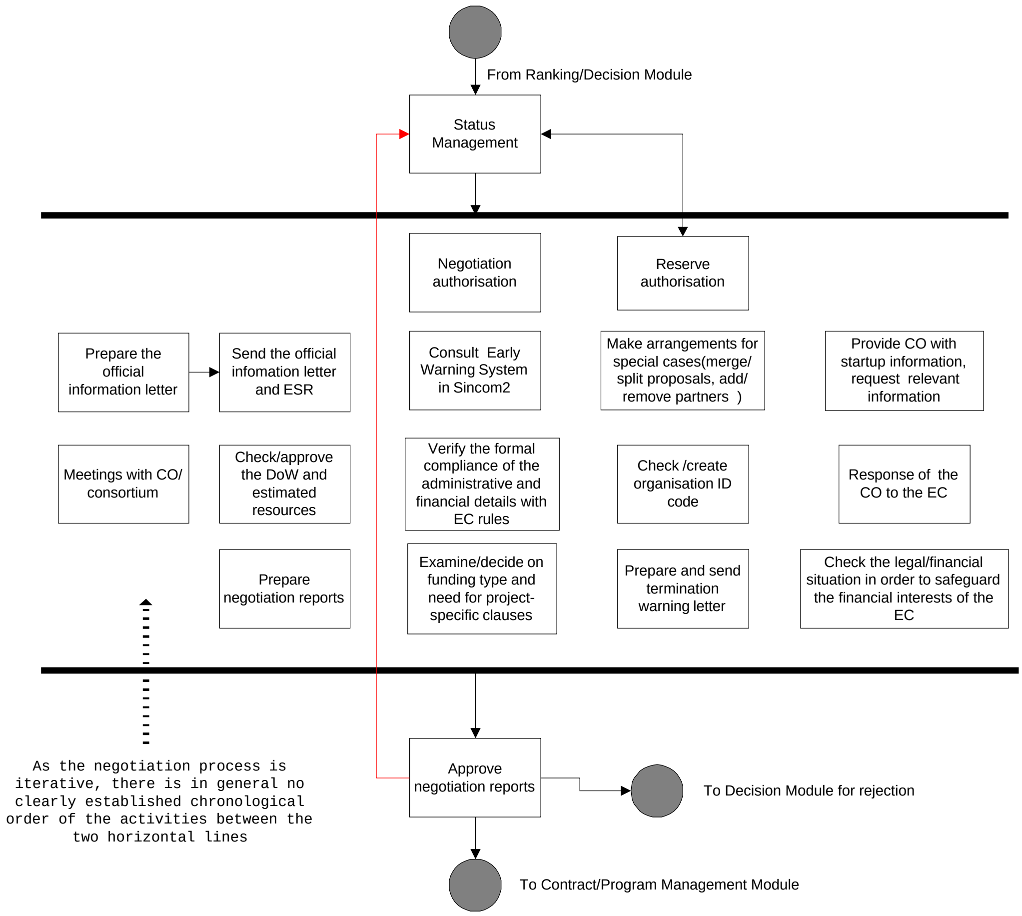
- Ø Finalised project's cost and requested EC contribution broken down per activity/workpackage/partner as required to calculate the project totals *(to be checked for FP6 – details/decision pending)*
- Ø Finalised man-months broken down per activity/workpackage/partner *(to be checked for FP6 – details/decision pending)*
- Ø Finalised requested EC contribution by year or for the first 18 months in case of Integrated Projects and Networks of Excellence
- Ø Up-dated data in the organisation database and documents in the electronic organisation library
- Ø Results of legal checks of contractors
- Ø Results of the financial check of contractors

1.9. End point of negotiation

Approval by the responsible EC official(s) of the negotiation report (i.e. approval to produce a contract or to terminate the negotiation).

2. Business Process

2.1. Overview of business activities



2.2. Description of business activities

2.2.1. Negotiation authorisation

Process:

1. Change the proposal status to “negotiation authorised”.

2. Send notification to relevant EC staff (HoU, SO, Negotiator, etc …).

Input:

1. Results from EC ranking and GoD.

Output:

1. The proposal status is updated in the database.

2. The date of authorisation is registered.

2.2.2. Preparation of the official information letter with ESR to open the negotiation

Process:

1. Prepare a standard information letter, with deadlines for the receipt of the CPFs and finalisation of the negotiation, and with an attached ESR, for proposals to be negotiated.

2. If the proposal to be negotiated is initially on the reserve list, (i) the standard letter will be different than mentioned in 1 and will not contain again the ESR; (ii) the reasons for the transfer into the negotiation phase should be stated in the database.

3. Cross checking of the contents of the information letter and possible corrections.

4. Printing of the letter

5. Signature of the letter

Input:

1. Templates for the information letter (projects to be negotiated; reserve).

2. Deadlines for the submission of CPFs and finalisation of the negotiation

3. Proposal data and evaluation results.

Output:

1. The final information letter should be stored in the electronic library.

2.2.3. Sending of the official information letter and ESR to coordinator

Process:

1. Dispatching of the letter with attached ESR by mail.

2. Optional sending in addition by e-mail

Input:

1. Signed letter (paper)

2. Electronic version of the letter saved in the electronic library.

Output:

1. The date of dispatch should be stored in the database

2.2.4. Consult Early Warning System of Sincom2

NOTE: see the note in 2.2.11 "check the legal and financial situation …" which may apply here as well.

Process:

1. Consultation of the EWS to find out whether any of the proposal partners has committed administrative errors or fraud.

2. Decision on further steps depending on the result .

Input:

1. Organisation data from the proposal

Output:

1. Results of the consultation.

2.2.5. Arrangements for special cases (merge/split proposals, add/remove partners)

Process:

A. Merge

1. Selection of one of the initial proposal numbers to become the new merged proposal number.

2. Selection of the partners from the initial proposals which will be participants of the merged proposal.

3. Definition of who among the partners will be the Coordinator of the merged proposal.

4. Choice/definition od a project title and a project acronym

5. Establishing of a link between each of the initial proposals and the merged proposal (i.e. it must be possible to trace back all the initial proposals from the merged proposal and vice-versa)

6. Request from the CO, the DoW, detailed financial planning, CPFs etc. for the merged proposal, as for a “normal” one.

B. Split

1. Keeping of the initial proposal number for one of the new proposals, and use of additional numbers respectively for each of the other new proposals from a pool of available numbers (separate pools per DG in the interim phase).

2. For each of the new proposals selection of the partners from the initial proposal who will be participants

3. Definition for each of the new proposals of who will be the Coordinator among the partners

4. Choice/definition for each of the new proposals of a project title and of a project acronym.

5. Establishing of a link between the initial proposal and each new proposal. (i.e. it must be possible to find from the initial proposal all the new proposals and vice-versa)

6. Request from the COs of each new proposal the DoW, detailed financial planning, CPFs etc., as for a “normal” one.

C. a partner

1. Addition/removal of a partner to/from the negotiation database.

2. If added: checking of the organisation ID code, the legal/financial status etc as for any other partner.

Input:

1. Initial proposal(s).

2. In case B, additional proposal numbers from a pool.

Output:

1. In case A, the merged proposal; in case B, several new proposals; in case C, the same proposal as the initial one, but with more or less partners.

2.2.6. Provide Coordinator with start-up information, request relevant information

Process:

1. Using a standard draft, preparation of an e-mail or a letter to the CO with general guidance and guidelines for the negotiation process including a checklist of documents required from the CO/each partner, project-specific instructions based on the evaluation results and instructions from EC ranking and GoD, and on the examination of the proposal information.

2. Adaptation of the template e-mail as necessary

3. Pre-filling of the CPFs for the project and each partner using

> a) only the structured information available from the proposal OR
>
> b) structured information available from the proposal and the organisation administrative information from the validated organisation database if the organisation ID codes were already confirmed for the CO and each partner.

4. Providing the CO with the e-mail and the pre-filled CPFs when the negotiation authorisation has been given

5. Contact to the CO as necessary by telephone or other.

Input:

1. Proposal data and evaluation results.

2. Results from EC ranking and GoD.

3. Template for e-mail, checklist of documents required from the CO/partners

4. Validated organisation administrative data from the organisation database.

5. Negotiation authorisation (for processes 4 and 5)

Output:

1. Letters/e-mails/phone calls/other means

2. Pre-filled CPFs

2.2.7. Meetings with CO/consortium

Process:

1. Planning of meetings

2. Discussion of administrative, financial and scientific aspects of the project

Input:

1. Proposal data and evaluation results

2. Any other information required (depending on the specific case, it is usually communicated to and/or discussed with the CO by the responsible EC staff before the meeting)

Output:

1. Meeting summary, conclusions, action plan with deadlines etc.

2.2.8. Response of the Coordinator to the EC

Process:

1. CO collates information from the partners to establish/revise the DoW (and any other unstructured information)

2. CO collates information from the partners to establish a detailed financial planning (estimates of resources)

3. CO distributes to/collates from the partners the CPFs and completes his forms as participant and coordinator

4. <u>If needed in FP6</u> and for those partners for which it is required, the CO collates financial and accounting rules, including overhead calculation from the partners and his own documents (where confidential, in sealed envelopes)

5. Where applicable CO collates legal documents establishing the organisation, annual reports & balance sheets, organisation structure) from the partners and his own documents (where confidential, in sealed envelopes)

6. Where applicable CO collates signed mandates, letter of new partner, agreement of the consortium to include the new partner, and establishes a Consortium Agreement signed by all partners

7. CO submits all information to the EC

Input:

1. Pre-filled CPFs and guidelines and instructions from the EC

Output:

1. DoW

2. detailed financial planning

3. completed CPFs

4. company documents

5. mandates, letters of partners, agreement of consortium with new partners, Consortium Agreement

6. explanations and comments

2.2.9. Checking/approval of the DoW and estimated resources for the proposal

Process:

1. Reception of revised DoW and/or estimated resources

2. Examination and verification of the changes made and whether they satisfy all the requirements (evaluation, GoD decision, modifications discussed, plausibility of estimates vs. work)

4. Where necessary tracking and traceability (notepad, storage of interim documents locally)

3. If required, request for further modification of DoW and/or estimated resources

Input:

1. Proposal data and evaluation results

2. All input from EC ranking and GoD

3. Discussions held during negotiation

4. Previous versions of DoW and/or estimated resources

5. Revised versions of DoW and/or estimated resources

Output:

1. Approval of the DoW and/or estimated resources by SO

2. Approval of the DoW stored in the database

3. Approval of the resources stored in the electronic library

2.2.10. Verification of the formal compliance of the administrative and financial details with EC rules

Process:

1. Reception of (revised) CPFs

2. Determination of the changes made in case of revised CPFs

3. Examination and verification of whether the CPFs comply with EC requirements

- Compliance with agreed estimates of resources
- Compliance with formal FP6 requirements and FP6 rules (details pending)

4. Cross-checking of the consistency of the CPF data with the data contained in the organisation database (particularly the cost basis of the participants)

5. Request for modifications (if required)

Input:

1. CPFs

2. Revised CPFs (if needed)

3. Agreed estimates of resources

4. FP6 rules *(definition of details pending)*

Output:

1. Approval of the CPF by SO and by FO/Negotiator

2.2.11. Checking of the legal/financial situation of each partner in order to safeguard the financial interest of the EC

NOTE: In view of the need of a common organisation database for the 5 Research DGs in FP6, a working group is examining how it will be established and operated, how the organisation ID codes will be generated, and how the various LFV checks will be done.

It seems that this could become a central service. In this case, all relevant documents should be submitted (electronically) to the central service which would return the results of the checking and generate the organisation ID code (if checking results were positive).

Whether or not carried out centrally, the following steps and checks are in principle required.

Process:

1. Where necessary paper documents must be scanned and stored in the electronic organisation library (or first in a buffer until the authorised person decides to put them into the organisation library).

2. EWS should be consulted in order to find out whether any of the proposal partners has committed administrative errors or fraud.

3. Checking of whether and when each of the partners has already contracts and collecting of the key information (status and anticipated termination date of the contract, status of the partner in the contract, costs of the partner, anticipated funding)

4. Checking of whether the organisation is being involved in other ongoing negotiations.

5. Examination of the Annual Report, Certificate of Registration, Company structure to determine if the company exists

6. Undertaking of a financial a priori control of the coordinator on the basis of the financial data provided

7. If the result is not satisfactory initiation of a Quick Audit by external audit company

8. Verification of the existence of a SINCOM key for the banking information. If it does not exist sending of banking information certified by the bank to DG Budget to create a key.

9. Recording of the results in the organisation database, including financial data

actions by the operational and/or administrative unit responsible for the proposal after the checking:

10. Exclusion of non-existing companies from the project

11. If necessary replacement of the Coordinator by other partner/request bank guarantee /request insurance /request block account /reduce advance payment

Input:

1. Annual reports

2. Certificate of registration

3. Organisation structure

4. CPFs (including Annex II)

5. Banking details certified by the bank

6. Existing information in the organisation database

Output:

1. Up-dated organisation data base and library

2. Decision on the rejection of partner if not exists

3. Decision on protective measures

- Letter asking for block account/insurance/bank guarantee
- Reduced advance payment
- Replacement of coordinator

4. SINCOM key (third party database of SINCOM)

2.2.12. Checking/Creation of an organisation ID code

NOTE: see the note in 2.2.11 "Checking of the legal and financial situation …"

Process:

1. Search in the organisation database of whether or not a unique organisation ID code exists for the organisation in question (possibly under another name).

2. If yes, the organisation data in the database must be updated, and an organisation ID code must be obtained.

3. If no, creation of an organisation ID code on the basis of the organisation information provided in the CPFs

4. In case of problems additional measures must be taken, such as consulting the internet or contacting the organisation. Where necessary notify the EC official responsible for the negotiation (particularly if the cost basis of a partner on the CPFs is different from the available data in the organisation database)

5. Storage of the validated (possibly corrected) organisation data in the organisation database and validate the organisation identifier

6. Sending of the organisation ID code to the EC staff responsible for the negotiation.

Input:

1. Organisation data on the basis of organisation documents (or on the basis of CPFs if they were verified against the company documents before this activity) .

2. Information from other sources such as internet, the organisation itself, etc.

Output:

1. Validated organisation ID code.

2. Validated organisation data in the organisation database.

2.2.13. Examination/decision on the funding type and the need for project-specific special clauses

Process:

1. In case different funding types are possible in FP6 the project situation must be examined and a decision must be taken either on "grant to the budget" or "lump sum" funding (*to be checked for FP6*).

2. Examination and decision of whether project specific special clauses are required such as

- Participation by the Joint Research Centre (Commission)
- Participation by associated States (EC)
- Participation by associated States (Euratom)
- Participation by European EEIGs
- Complementary contracts
- Signature mandate (possibly)
- Arbitration
- Mid-term assessment
- Etc *to be completed upon availability*

Input:

1. Proposal data

2. Negotiation data

Output:

1. choice of funding type

2. choice of project-specific clauses

2.2.14. Preparation and sending of a Termination-Warning letter to the CO

Process:

1. Preparation of a standard warning letter to the Coordinators not meeting the deadlines threatening to cancel the negotiation.

2. Preparation of non-standard warning letters, if and when required.

3. Cross check of the contents of the letter and possible corrections.

4. Printing of the letter

5. Signature of the letter

6. Dispatching of the letter by mail

7. Optional sending of the letter in addition by e-mail

Input:

1. Templates for warning letter.

2. Schedule (calendar/alarm clock)

3. Current situation of the negotiation.

Output:

1. The final warning letter should be stored in the electronic library.

2.2.15. Preparation of the negotiation report

Process:

1. Completion of a defined template based upon what has been done and approved earlier where this is not done automatically by the system (template and contents to be decided)

2. Submission of the form to responsible EC official(s) for approval

Input:

1. results obtained during the negotiation

Output:

1. Draft negotiation report

2.2.16. Approval of the negotiation reports

Process:

1. Approval of the report by the authorised EC official(s)

2. Sending of a notification to relevant EC staff (HoU, SO, Negotiator, etc …) upon approval by last person .

Input:

1. results obtained during the negotiation

Output:

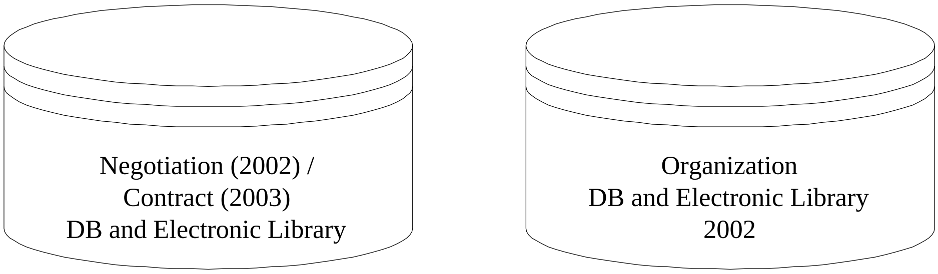
1. Approved negotiation report

2. The proposal status is updated in the database.

3. The date(s) of approval(s) is/are registered.

3. DATA STORAGE

3.1. Data base overview



- Organisation database
  - validated organisation data
  - results of legal/financial checks
  - unique organisation ID code
- Organisation Electronic library, storage of organisation related documents such as:
  - annual report
  - certificate of registration
  - organisation structure
  - certified banking details
  - etc.
- Negotiation/contracts database
  - unique organisation ID code for each contractor to enable the subsequent contracts module to pick-up the required organisation data from the organisation database
  - all other project specific data relevant to produce a contract (see section 1.8)
- Project Electronic Library, storage of project related documents such as:
  - Final DoW
  - CPFs (scanned version of signed paper form, if required in FP6)
  - Publishable summary (if not part of the database)
  - Correspondence (alternative: link to ADONIS)

- Scanned document where required
- Reports and deliverables etc (project phase later on)

3.2. Data Storage Policy

The negotiation/contracts database does not keep the history of the negotiation. Upon acceptance, new or revised data overwrite the existing data in the database.

Any preliminary data that might be necessary to be kept during negotiation should either be stored locally or on a central data storage that will be cleared upon the termination of the negotiation.

The Project Library keeps only one copy of the DoW.

4. BUSINESS REQUIREMENTS

User friendliness

The system must be easy to use by all users. Users should quickly reach the parts of the applications they need.

Tools helping the management and follow-up of the negotiation of each project:

- "Notepad" for comments. It should be possible to add the same note at once to a selection of projects.

- Calendar/alarm clock should be available to record deadlines and other dates together with comments as required by the SO and the Negotiator. At customisable times in advance of the dates, the system should send a notification to the person concerned.

- As there are similar functions in the mandatory checklist (see below), the Notepad, Calendar/alarm clock and checklist should be suitably integrated to avoid double entries and to provide the negotiation situation of the project in a clear manner

- Since the negotiation is highly iterative, it must be possible to compare new/revised data (CPFs, detailed cost estimates, DoW) with previous data in order to be able to identify all the changes made.

Read access (across the DGs of FP6 projects and of earlier FPs)

- EC officials in charge of a proposal must have access to all data related to the project generated in previous stages (e.g. during negotiation information about the proposal/ evaluation/ ranking/ decision phase)

- Contracts:

  - Ø All the public information should be read-accessible across the DGs

  - Ø Information on existing contracts, such as DoWs, reports etc., should in principle be read accessible across the DGs. The person responsible for the project should have the option to restrict the read-access to authorised EC staff (him/herself and hierarchy)

- Projects being negotiated:

- Ø The same as for existing contracts. In addition, the reponsible person can restrict the access to the notepad

- It should be possible to obtain for any organisation a list of existing contracts in which it is involved and a list of proposals being negotiated in which it is involved.

- A search facility is required to find out existing contracts and projects being negotiated e.g. on the basis of key-words, text in titles, text in abstracts.

Write/Change-access

- It should be possible that people share part of the work (e.g. SO and secretary). The responsibility remains with the person authorised to approve results (in the example the SO).

- In case of the New Instruments, people with the same or different responsibilities may need to share the work. Depending on the circumstances, approval of the results by one or more authorised people may be required.

Assignment/re-assignment of people

- Flexibility is required. The hierarchical superior should be able to assign and re-assign staff at any time; for example the HoU to (re-) assign to a person the role of the SO to negotiate a proposal or list of proposals.

- It should be possible to pre-define the replacement of the persons having the same rights as the person possibly to be replaced (main actor, for example SO for a project). The replacement persons would work only, if required by the business. The advantage is that no re-assignment is required (e.g. in case of illness of the main actor).

It should be possible to identify and record who did what and when. It should inform the main actor if and when a replacement person logged onto her/his field of responsibility and which changes or data entries were made.

Overviews

Commission staff involved in the process must be provided with appropriate overviews of the status of the negotiation (either for individual proposals or groups of proposals). This is essential for an efficient management. The details provided to individuals will depend on their roles and access rights and must be tailored to their needs (General Director, Director, HoU, SO, Negotiator/FO, etc).

Overviews should include filter and sort facilities.

It should be possible to print the (customised) overviews.

Check POINTS

The database should record the essential "milestones" and management steps in the negotiation process of each project which, inter alia, would form the basis for status overviews. Any additional checks should be managed locally. Together with each "tick" the date and the ID code of the EC official should be stored and displayed.

The mandatory checkpoints to be considered are:

Check point	Yes-tick-box (if not stated otherwise)	N/A-tick-box
Authorisation of negotiation given by director		
Letter sent to CO opening officially the negotiation		
Letter sent to the CO informing him that the proposal is on the reserve list		
SO has contacted the CO for the first time	Put date of contact	
CPFs received for the first time	Put date of receipt	
CPFs accepted by SO		
CPFs accepted by negotiator/FO		
Receipt of all CPF-Annexes as required	Put date of receipt	
Final DoW accepted by SO		
All required legal checks successful		
Unique organisation ID codes available for all partners		
Required financial checks successful		
Project – specific special clauses determined		
Negotiation report completed		
Negotiation report accepted by responsible EC official(s)		

5. DRAFT IDEAS OF IT SOLUTIONS

Basically, there are two kinds of IT solutions, namely web-based application or off-line application.

All EC staff will use a web-based application that is installed on a web-application server.

After a user successfully login the system, he/she will be able to select “Proposal Negotiation Module” if he/she has the right profile. Then he/she will get a proposal summary page which lists all the proposals that he/she will treat. The status of each proposal will be displayed.

Based on proposal status, different business functions (i.e. the IT solutions for business activities) will be displayed. Again, based on a user’s profile, he/she will or will not be able to run a business function.

Coordinators and partners with an internet access will be able to use a project-specific web-based application to receive information from the Commission and to transmit data to the Commission.

Coordinators and partners without internet access will be invited to use an off-line tool to collect and complete information electronically and to send it to the Commission.

Let us now describe the potential IT solutions for each business activity.

5.1. Negotiation authorisation

This activity will be handled by the Web-based application.

This activity will be undertaken for all the proposals to be negotiated.

Initially a proposal has a “to be negotiated” status. The user with the right profile will be able to undertake this activity. The system will provide him/her the possibility to view all the available proposal data and/or to download all the attached files. The system will also provide him/her the possibility to give the authorisation to a proposal or a group of proposals. After he/she gives the authorisation, the proposal status will be changed from “to be negotiated” to “negotiation authorised”.

The system should register the date of authorisation for each proposals. It should also record the unique ID of the EC official giving the authorisation.

Moreover, the system will send a notification to the offical(s) who will carry out the negotiation.

5.2. Sending of the official information letter and ESR to coordinator

This activity will be handled by the Web-based application.

This activity will be undertaken for all the proposals to be negotiated.

Initially a proposal or a group of proposals has the status “negotiation authorised”. The user with the right profile will be able to undertake this activity. He/she can ask the system to generate official information letters. The system will store the generated letter(s) in the negotiation electronic library.

The system will allow the user to print/download the information letter(s) and the ESR(s).

The system will also allow the user to modify the information letter(s).

The information letter and the ESR will be sent by mail. The user can ask the system to record the fact that the information and the ESR have been sent. In this case, the proposal has a sub-status: “information letter and ESR sent”. The user will be able to register the date in which the information letter is sent.

Whether the system should be able to send the information letter and the ESR will be investigated.

The possible link between the system and ADONIS will also be investigated.

Remark: Similarly, an official letter can be generated for reserve proposals.

5.3. Consultation of the Early Warning System of Sincom2

The feasibility that the system provides a hyperlink to access Sincom2 will be investigated.

5.4. Arrangements for special cases (merge/split proposals, add/remove partners)

The web-based system will allow the users with the right profile to select several proposals to merge them. This will result in a merged proposal. If a partner appears in different proposals, he will appear only once in the merged proposal.

The system will allow the users to select one proposal and split it into several proposals. The users can also add or remove a partner in the selected proposal.

5.5. Providing the Coordinator with start-up information, request of information

A potential IT solution for section 5.5 and section 5.7 is described now.

CPFs on-line:

If the coordinator has full internet access, he/she will be able to access the system via CORDIS and to download all start-up information using a web browser. The web-based system will provide him/her the pre-filled CPFs. He/she can fill the CPFs on-line.

If the partners have also an internet access, then they can also fill their part of CPFs on-line. Otherwise, the coordinator can use the off-line tool described below which he can download from the Web or print the separated CPFs and ask the partners to fill them.

CPFs off-line

If the coordinator has no internet access, then he/she will receive an off-line tool on diskette/CD-ROM or e-mail. This off-line tool will contain pre-filled CPFs for each partner and for the overall proposal information. The tool allows the CO to split the CPFs into separated CPFs for each partner that he can send to them electronically. The tool can also merge the separated CPFs. In this case it will calculate automatically the overall financial totals of the proposal.

Finally, the web-based system can allow the coordinator to electronically submit the completed CPFs either by e-mail (diskette) or by uploading the information via the Web. EC staff will be able to upload the CPFs onto the system, if received by e-mail or diskette.

CPFs on paper

It will be possible to print the CPFs at any stage so that a signed copy can be sent to the EC, should this be required in FP6.

Other start-up information

Other start-up information, such as guidelines etc. will be available on the Web for COs having access to it. Otherwise it will be sent by e-mail (or mail).

Receipt of other information by the EC from the CO

The CO will be able to up-load the DoW and other electronic information onto the system or to send them by e-mail. In this case EC staff will up-load the information.

Company documents, in particular confidential information, will be sent to the Commission by mail.

Financial information required for the “contrôle a priori”, if so required in FP6, could be submitted using an electronic form either via Web or e-mail.

5.6. Meetings with CO/Consortium

The web-based system will provide a calendar. The user can use it to note the date and time of meetings.

The system will be able to remind the user before the meetings.

The system will allow the user to store the meeting summary, conclusions and action plan in the negotiation library.

5.7. Response of the Coordinator to the EC

See 5.5 Provide Coordinator with start-up information, request relevant information.

5.8. Checking/approval of the DoW and estimated resources for the proposal

The EC offical will login the web-based application. The system will check his/her profile. If he/she has the right profile for this activity, he/she will be able to print or download the latest version of DoW and estimated resources.

He/she can approve the DoW (by setting a flag for the documents).

5.9. Verification of the formal compliance of the administrative and financial details with EC rules

The EC official will login the web-based application. The system will check his/her profile. If he/she has the right profile for this activity, the system will provide a tool to automatically compare previous with revised CPFs.

If it is possible the system will assist to automatically determine the compliance with formal FP6 rules.

The user will be able to compare the contents of the CPFs with the data organisation database and the system will provide a warning in case of inconsistencies.

5.10. Checking/Creation of an organisation ID code

The EC offical will login the web-based application. The system will check his/her profile. If he/she has the right profile for this activity, she/he will be able to search the organisation database to find out whether or not an organisation ID code has already been allocated to a given organisation.

He/she can print or view the current CPF. He/she can also check and update the validated organisation data for the given organisation.

The system will provide the organisation ID code for an organisation that is encoded (possibly under a variant of its name). If an organisation is not encoded, the user with the right profile can encode it and create an ID code. The system should be able to refuse a newly created ID code if it already exists.

5.11. Checking the legal/financial situation of each partner in order to safeguard the financial interest of the EC

The EC offical will login the web-based application. The system will check his/her profile. If he/she has the right profile for this activity the system will enable him/her to encode financial data of the organisations as provided in their company documents or to use the data provided by the partners in electronic form and to run an automatic “contrôle à priori”.

The official will be able to obtain suitable information about the involvement of the organisation in existing contracts or ongoing negotiations.

To be finalised

5.12. Examination/decision on funding type and need for project-specific special clauses

The web-based system will be able to display all the clauses for the user with the right profile.

The user can record the choice of the special clauses and funding type in the database.

5.13. Preparation of negotiation reports

The web-based system will provide the users with the right profile a template of the negotiation report form.

The system will allow the authorised EC officials to review the negotiation report form. He/she can approve the form (or, depending on his/her role, parts of the form) by checking the check boxes in the form. The system will record the unique ID of the EC official.

Abbreviations

AC	Additional Cost Funding Model
ADONIS	Electronic Document Management System, Mail Input/Output Registration System
AMPERE	IT system of the DG RTD for the management of the RTD projects
AuC	Audit Certificate
Cag	Consortium Agreement
CETO	IT system of the DG INFSO for the management of contracts and payments
CMIF	Contract Management Information Form
CO	Coordinator
CORDIS	Community Research & Development Information Service
CPF	Contract Preparation Forms
CPM	Contract and Project Management
CS	Cost Statement
CV	Curriculum Vitae
D	Deliverable
DB	Database
DG	Directorate General
DoW	Description of Work
EEIG	European Economic Interest Group
ELECTRA	Excel-based electronic CPF forms ; (an electronic interface between the contractors and the Commission services)
EPSS	Electronic Proposal Submission System
ESP	Evaluation Service Provider
ESR	Evaluation Summary Report
EWS	Early Warning System (part of Sincom II)
EXSIS	Expert Sub-Information System
FC	Full Cost Funding Model
FF	Full Cost Flat Rate (Overheads) Funding Model
FO	Financial Officer
FP	Framework Programme
FP6-IT system	The new common IT system to be developed for the whole life-cycle of the RTD proposals, projects and contracts
FR	Final Report
GoD	Group of Directors
HoU	Head of Unit
ICON	Contracts Database under development by DG Budget
ID code	Identification Code
IP	Integrated Project
IT	Information Technology
LFV	Legal and Financial Viability
LOV	List of Values
MR	Management Report
MUS	Monetary Unit Sampling
NoE	Network of Excellence
OR	Other Report

OS	Operational Sector (DG INFSO)
P	Proposal
PDF	Portable Document Format
PMT	Proposal Management Tool
PVC	‘Plan de Valorisation et Connaissance’ (the new TIP in the FP6)
S/T	Scientific / technological
SINCOM2 or SI2	Commission Database for all commitments and payments
SMEs	Small and Medium Enterprises
SO	Scientific Officer or Project Officer
TCL	Task Contract Letter
TIP	Technology Implementation Plan
TPR	Technical Progress Report
ZIP	Data compression tool

6. ANNEX 1: FP6 INSTRUMENTS AND FUNDING SYSTEMS

FP6 Instruments	**FP6 Funding system**		
	Grant for Integration	Grant to the Budget	Lump sum
Network of Excellence	X		
Integrated Projects		X	
Specific targeted research or innovation projects		X	
Actions to promote human resources and mobility		X	X
Integrated initiatives relating to infrastructure		X	
Specific research projects for SMEs		X	
Coordination actions		X	
Specific support actions		X	X
Contracts for Article 169			

Grant for integration: as a general rule up to 25% of the value of the capacity and resources proposed for integration by *participants*

Grant to the budget: depending on the activity a certain maximum percentage contribution to the actual costs

Lump sum: Fixed amount

7. ANNEX 2: NEGOTIATION REPORT

Proposal for FP6:

The negotiation report is a collection of information relevant for the EC official(s) who approve(s) to go ahead with placing a contract or to terminate a negotiation. The individual parts of the information are stored in the database during the negotiation and approved by the EC official(s) responsible for their contents. The report could be displayed by the system and it would also be possible to print it. At the end of the negotiation process it would contain all information required for the responsible EC official(s) to approve to prepare a contract or to reject a proposal after negotiation.

It is proposed that the negotiation report contains:

Proposal number
Proposal type
Title
Proposal Acronym
Thematic priority (or any other EC-internal organisational subdivision under which the proposal is financed)
Call identifier
Initial proposal number(s) in case of merge/split of proposals, initial proposal type(s)

Date of GoD approval
Date of negotiation authorisation
Initial status of proposal (to be negotiated/reserve)
Reasons for transfer from the reserve list (if applicable)

Results of LFV checks
EC contribution initially requested
EC contribution accepted by GoD
EC contribution accepted after S/T negotiation
Final EC contribution
Final total costs
Advance
Level of state-financed matching funds
Budget line details
Contract type
Project-specific special conditions
Start date
Duration

List of participants (number, organisation name, type, country, role, cost basis, total cost, EC contribution, man-months)

Project summary
Change of EC contribution: comments/reasons
Change of number of participants: comments/reasons
Follow-up of evaluators recommendations: comments
Any other observation: comments

Contract to be established (tick box)
Proposal to be rejected (negotiation failed) (tick box)

List of responsible EC officials with button(s) to make a final approval of the parts for which they are responsible (scientific officer, negotiator, operational HoU, administrative HoU, etc)