

**EUROPEAN COMMISSION**

Research Executive Agency (REA)

Director

**GRANT AGREEMENT****NUMBER — 693857 — TRACES**

This **Agreement** ('the Agreement') is **between** the following parties:

**on the one part,**

*the Research Executive Agency (REA) ('the Agency'), under the power delegated by the European Commission ('the Commission')*<sup>1</sup>,

represented for the purposes of signature of this Agreement by Head of Unit, Research Executive Agency (REA), Industrial Leadership and Societal Challenges Department, Inclusive, Innovative and Reflective Societies, Corinna AMTING,

**and****on the other part,**

1. 'the coordinator':

**UNIVERSITAET KLAGENFURT (UNI-KLU)**, N/A, established in UNIVERSITAETSSTRASSE 65-67, KLAGENFURT 9020, Austria, ATU37868802, represented for the purposes of signing the Agreement by vice-rector, Friederike WALL

and the following other beneficiaries, if they sign their 'Accession Form' (see Annex 3 and Article 56):

2. **POLITECNICO DI MILANO (POLIMI)**, CF80057930150, established in PIAZZA LEONARDO DA VINCI 32, MILANO 20133, Italy, IT04376620151,

3. **HUMBOLDT-UNIVERSITAET ZU BERLIN (UBER)**, not applicable, established in UNTER DEN LINDEN 6, BERLIN 10099, Germany, DE137176824,

4. **UNIVERSITETET I OSLO (UNIVERSITY OSLO)**, 971035854, established in PROBLEMVEIEN 5-7, OSLO 0313, Norway, NO971035854MVA,

5. **ZURCHER HOCHSCHULE DER KUNSTE (ZHDK)**, established in PFINGSTWEIDSTRASSE 96, ZURICH 8031, Switzerland, CHE116070490MWST, as 'beneficiary not receiving EU funding' (see Article 9),

6. **HOSMAN DURABIL (Hosman Durabil)** RO1, 101092005, established in STR BISERICII 234, HOSMAN 557168, Romania, RO18172521,

7. **NATURHISTORISCHES MUSEUM (NHM)**, FN236724Z, established in BURGRING 7, WIEN 1010, Austria, ATU38020609,

8. **THE UNIVERSITY OF EDINBURGH (UEDIN)**, SC005336, established in OLD COLLEGE, SOUTH BRIDGE, EDINBURGH EH8 9YL, United Kingdom, GB592950700,

9. **UNIWERSYTET JAGIELLONSKI (UJAG)**, 000001270, established in Ul. Golebia 24, KRAKOW 31007, Poland, PL6750002236,

<sup>1</sup> Text in *italics* shows the options of the Model Grant Agreement that are applicable to this Agreement.

10. **UNIVERSITY OF ULSTER (ULster)** GB22, RC000726, established in CROMORE ROAD, COLERAINE BT52 1SA, United Kingdom, GB672390524,

11. **DRUSTVO ZA DOMACE RAZISKAVE (DRS)** SI3, 1929429000, established in SARHOVA 34, LJUBLJANA 1000, Slovenia, SI34737090,

Unless otherwise specified, references to ‘beneficiary’ or ‘beneficiaries’ include the coordinator.

The parties referred to above have agreed to enter into the Agreement under the terms and conditions below.

By signing the Agreement or the Accession Form, the beneficiaries accept the grant and agree to implement it under their own responsibility and in accordance with the Agreement, with all the obligations and conditions it sets out.

The Agreement is composed of:

#### Terms and Conditions

- |         |   |
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# TERMS AND CONDITIONS

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## **CHAPTER 1 GENERAL**

### **ARTICLE 1 — SUBJECT OF THE AGREEMENT**

This Agreement sets out the rights and obligations and the terms and conditions applicable to the grant awarded to the beneficiaries for implementing the action set out in Chapter 2.

## **CHAPTER 2 ACTION**

### **ARTICLE 2 — ACTION TO BE IMPLEMENTED**

The grant is awarded for the action entitled '*Transmitting Contentious Cultural Heritages with the Arts: From Intervention to Co-Production — TRACES*' ('action'), as described in Annex 1.

### **ARTICLE 3 — DURATION AND STARTING DATE OF THE ACTION**

The duration of the action will be **36 months** as of *1 March 2016* ('starting date of the action').

### **ARTICLE 4 — ESTIMATED BUDGET AND BUDGET TRANSFERS**

#### **4.1 Estimated budget**

The '**estimated budget**' for the action is set out in Annex 2.

It contains the estimated eligible costs and the forms of costs, broken down by beneficiary and budget category (see Articles 5, 6). *It also contains the estimated costs of the beneficiaries not receiving EU funding (see Article 9).*

#### **4.2 Budget transfers**

The estimated budget breakdown indicated in Annex 2 may be adjusted by transfers of amounts between beneficiaries or between budget categories (or both). This does not require an amendment according to Article 55, if the action is implemented as described in Annex 1.

However, the beneficiaries may not add costs relating to subcontracts not provided for in Annex 1, unless such additional subcontracts are approved by an amendment or in accordance with Article 13.

## **CHAPTER 3 GRANT**

### **ARTICLE 5 — GRANT AMOUNT, FORM OF GRANT, REIMBURSEMENT RATES AND FORMS OF COSTS**

#### **5.1 Maximum grant amount**

The '**maximum grant amount**' is **EUR 2,303,358.75** (two million three hundred and three thousand three hundred and fifty eight EURO and seventy five eurocents).

## 5.2 Form of grant, reimbursement rates and forms of costs

The grant reimburses **100% of the action's eligible costs** (see Article 6) (**'reimbursement of eligible costs grant'**) (see Annex 2).

The estimated eligible costs of the action are EUR **2,711,052.50** (two million seven hundred and eleven thousand fifty two EURO and fifty eurocents).

Eligible costs (see Article 6) must be declared under the following forms (**'forms of costs'**):

(a) for **direct personnel costs**:

- as actually incurred costs (**'actual costs'**) or
- on the basis of an amount per unit calculated by the beneficiary in accordance with its usual cost accounting practices (**'unit costs'**).

Personnel **costs for SME owners or beneficiaries that are natural persons** not receiving a salary (see Article 6.2, Points A.4 and A.5) must be declared on the basis of the amount per unit set out in Annex 2 (**unit costs**);

(b) for **direct costs for subcontracting**: as actually incurred costs (**actual costs**);

(c) for **direct costs of providing financial support to third parties**: *not applicable*;

(d) for **other direct costs**: as actually incurred costs (**actual costs**);

(e) for **indirect costs**: on the basis of a flat-rate applied as set out in Article 6.2, Point E (**'flat-rate costs'**);

(f) *specific cost category(ies): not applicable*.

## 5.3 Final grant amount — Calculation

The **'final grant amount'** depends on the actual extent to which the action is implemented in accordance with the Agreement's terms and conditions.

This amount is calculated by the *Agency* — when the payment of the balance is made (see Article 21.4) — in the following steps:

Step 1 – Application of the reimbursement rates to the eligible costs

Step 2 – Limit to the maximum grant amount

Step 3 – Reduction due to the no-profit rule

Step 4 – Reduction due to improper implementation or breach of other obligations

### 5.3.1 Step 1 — Application of the reimbursement rates to the eligible costs

The reimbursement rate(s) (see Article 5.2) are applied to the eligible costs (actual costs, unit costs and flat-rate costs; see Article 6) declared by the beneficiaries (see Article 20) and approved by the *Agency* (see Article 21).

### 5.3.2 Step 2 — Limit to the maximum grant amount

If the amount obtained following Step 1 is higher than the maximum grant amount set out in Article 5.1, it will be limited to the latter.

### 5.3.3 Step 3 — Reduction due to the no-profit rule

The grant must not produce a profit.

‘**Profit**’ means the surplus of the amount obtained following Steps 1 and 2 plus the action’s total receipts, over the action’s total eligible costs.

The ‘**action’s total eligible costs**’ are the consolidated total eligible costs approved by the *Agency*.

The ‘**action’s total receipts**’ are the consolidated total receipts generated during its duration (see Article 3).

The following are considered **receipts**:

- (a) income generated by the action; if the income is generated from selling equipment or other assets purchased under the Agreement, the receipt is up to the amount declared as eligible under the Agreement;
- (b) financial contributions given by third parties to the beneficiary specifically to be used for the action, and
- (c) in-kind contributions provided by third parties free of charge and specifically to be used for the action, if they have been declared as eligible costs.

The following are however not considered receipts:

- (a) income generated by exploiting the action’s results (see Article 28);
- (b) financial contributions by third parties, if they may be used to cover costs other than the eligible costs (see Article 6);
- (c) financial contributions by third parties with no obligation to repay any amount unused at the end of the period set out in Article 3.

If there is a profit, it will be deducted from the amount obtained following Steps 1 and 2.

### 5.3.4 Step 4 — Reduction due to improper implementation or breach of other obligations — Reduced grant amount — Calculation

If the grant is reduced (see Article 43), the *Agency* will calculate the reduced grant amount by deducting the amount of the reduction (calculated in proportion to the improper implementation of the action or to the seriousness of the breach of obligations in accordance with Article 43.2) from the maximum grant amount set out in Article 5.1.

The final grant amount will be the lower of the following two:

- the amount obtained following Steps 1 to 3 or
- the reduced grant amount following Step 4.

#### 5.4 Revised final grant amount — Calculation

If — after the payment of the balance (in particular, after checks, reviews, audits or investigations; see Article 22) — the *Agency* rejects costs (see Article 42) or reduces the grant (see Article 43), it will calculate the ‘**revised final grant amount**’ for the beneficiary concerned by the findings.

This amount is calculated by the *Agency* on the basis of the findings, as follows:

- in case of **rejection of costs**: by applying the reimbursement rate to the revised eligible costs approved by the *Agency* for the beneficiary concerned;
- in case of **reduction of the grant**: by calculating the concerned beneficiary’s share in the grant amount reduced in proportion to its improper implementation of the action or to the seriousness of its breach of obligations (see Article 43.2).

In case of **rejection of costs and reduction of the grant**, the revised final grant amount for the beneficiary concerned will be the lower of the two amounts above.

### ARTICLE 6 — ELIGIBLE AND INELIGIBLE COSTS

#### 6.1 General conditions for costs to be eligible

‘**Eligible costs**’ are costs that meet the following criteria:

(a) for **actual costs**:

- (i) they must be actually incurred by the beneficiary;
- (ii) they must be incurred in the period set out in Article 3, with the exception of costs relating to the submission of the periodic report for the last reporting period and the final report (see Article 20);
- (iii) they must be indicated in the estimated budget set out in Annex 2;
- (iv) they must be incurred in connection with the action as described in Annex 1 and necessary for its implementation;
- (v) they must be identifiable and verifiable, in particular recorded in the beneficiary’s accounts in accordance with the accounting standards applicable in the country where the beneficiary is established and with the beneficiary’s usual cost accounting practices;
- (vi) they must comply with the applicable national law on taxes, labour and social security, and
- (vii) they must be reasonable, justified and must comply with the principle of sound financial management, in particular regarding economy and efficiency;

(b) for **unit costs**:

(i) they must be calculated as follows:

{amounts per unit set out in Annex 2 or calculated by the beneficiary in accordance with its usual cost accounting practices (see Article 6.2, Point A)

multiplied by

the number of actual units};

(ii) the number of actual units must comply with the following conditions:

- the units must be actually used or produced in the period set out in Article 3;
- the units must be necessary for implementing the action or produced by it, and
- the number of units must be identifiable and verifiable, in particular supported by records and documentation (see Article 18);

(c) for **flat-rate costs**:

(i) they must be calculated by applying the flat-rate set out in Annex 2, and

(ii) the costs (actual costs or unit costs) to which the flat-rate is applied must comply with the conditions for eligibility set out in this Article.

## 6.2 Specific conditions for costs to be eligible

Costs are eligible if they comply with the general conditions (see above) and the specific conditions set out below for each of the following budget categories:

- A. direct personnel costs;
- B. direct costs of subcontracting;
- C. *not applicable*;
- D. other direct costs;
- E. indirect costs;
- F. *not applicable*.

‘Direct costs’ are costs that are directly linked to the action implementation and can therefore be attributed to it directly. They must not include any indirect costs (see Point E below).

‘Indirect costs’ are costs that are not directly linked to the action implementation and therefore cannot be attributed directly to it.

### A. Direct personnel costs

#### Types of eligible personnel costs

A.1 **Personnel costs** are eligible, if they are related to personnel working for the beneficiary under an employment contract (or equivalent appointing act) and assigned to the action (‘**costs for employees (or equivalent)**’). They must be limited to salaries (including during parental leave), social security contributions, taxes and other costs included in the **remuneration**, if they arise from national law or the employment contract (or equivalent appointing act).

Beneficiaries that are non-profit legal entities<sup>2</sup> may also declare as personnel costs **additional remuneration** for personnel assigned to the action (including payments on the basis of supplementary contracts regardless of their nature), if:

- (a) it is part of the beneficiary's usual remuneration practices and is paid in a consistent manner whenever the same kind of work or expertise is required;
- (b) the criteria used to calculate the supplementary payments are objective and generally applied by the beneficiary, regardless of the source of funding used.

Additional remuneration for personnel assigned to the action is eligible up to the following amount:

- (a) if the person works full time and exclusively on the action during the full year: up to EUR 8 000;
- (b) if the person works exclusively on the action but not full-time or not for the full year: up to the corresponding pro-rata amount of EUR 8 000, or
- (c) if the person does not work exclusively on the action: up to a pro-rata amount calculated as follows:

{{EUR 8 000

divided by

the number of annual productive hours (see below)},

multiplied by

the number of hours that the person has worked on the action during the year}.

A.2 The **costs for natural persons working under a direct contract** with the beneficiary other than an employment contract are eligible personnel costs, if:

- (a) the person works under the beneficiary's instructions and, unless otherwise agreed with the beneficiary, on the beneficiary's premises;
- (b) the result of the work carried out belongs to the beneficiary, and
- (c) the costs are not significantly different from those for personnel performing similar tasks under an employment contract with the beneficiary.

A.3 The **costs of personnel seconded by a third party against payment** are eligible personnel costs, if the conditions in Article 11.1 are met.

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<sup>2</sup> For the definition, see Article 2.1(14) of the Rules for Participation Regulation No 1290/2013: '**non-profit legal entity**' means a legal entity which by its legal form is non-profit-making or which has a legal or statutory obligation not to distribute profits to its shareholders or individual members.



A.4 **Costs of owners** of beneficiaries that are small and medium-sized enterprises (**‘SME owners’**) who are working on the action and who do not receive a salary are eligible personnel costs, if they correspond to the amount per unit set out in Annex 2 multiplied by the number of actual hours worked on the action.

A.5 **Costs of ‘beneficiaries that are natural persons’** not receiving a salary are eligible personnel costs, if they correspond to the amount per unit set out in Annex 2 multiplied by the number of actual hours worked on the action.

### Calculation

Personnel costs must be calculated by the beneficiaries as follows:

{hourly rate

multiplied by

the number of actual hours worked on the action},

plus

for non-profit legal entities: additional remuneration to personnel assigned to the action under the conditions set out above (Point A.1)}.

The number of actual hours declared for a person must be identifiable and verifiable (see Article 18).

The total number of hours declared in EU or Euratom grants, for a person for a year, cannot be higher than the annual productive hours used for the calculations of the hourly rate. Therefore, the maximum number of hours that can be declared for the grant is:

{the number of annual productive hours for the year (see below)

minus

total number of hours declared by the beneficiary for that person in that year for other EU or Euratom grants}.

The **‘hourly rate’** is one of the following:

(a) for personnel costs declared as **actual costs**: the hourly rate is the amount calculated as follows:

{actual annual personnel costs (excluding additional remuneration) for the person

divided by

number of annual productive hours}.

The beneficiaries must use the annual personnel costs and the number of annual productive hours for each financial year covered by the reporting period. If a financial year is not closed at the end of the reporting period, the beneficiaries must use the hourly rate of the last closed financial year available.

For the ‘number of annual productive hours’, the beneficiaries may choose one of the following:

(i) ‘fixed number of hours’: 1 720 hours for persons working full time (or corresponding pro-rata for persons not working full time);

(ii) ‘individual annual productive hours’: the total number of hours worked by the person in the year for the beneficiary, calculated as follows:

{annual workable hours of the person (according to the employment contract, applicable collective labour agreement or national law)

plus

overtime worked

minus

absences (such as sick leave and special leave)}.

‘Annual workable hours’ means the period during which the personnel must be working, at the employer’s disposal and carrying out his/her activity or duties under the employment contract, applicable collective labour agreement or national working time legislation.

If the contract (or applicable collective labour agreement or national working time legislation) does not allow to determine the annual workable hours, this option cannot be used;

(iii) ‘standard annual productive hours’: the ‘standard number of annual hours’ generally applied by the beneficiary for its personnel in accordance with its usual cost accounting practices. This number must be at least 90% of the ‘standard annual workable hours’.

If there is no applicable reference for the standard annual workable hours, this option cannot be used.

For all options, the actual time spent on **parental leave** by a person assigned to the action may be deducted from the number of annual productive hours;

(b) for personnel costs declared on the basis of **unit costs**: the hourly rate is one of the following:

(i) for SME owners or beneficiaries that are natural persons: the hourly rate set out in Annex 2 (see Points A.4 and A.5 above), or

(ii) for personnel costs declared on the basis of the beneficiary’s usual cost accounting practices: the hourly rate calculated by the beneficiary in accordance with its usual cost accounting practices, if:

- the cost accounting practices used are applied in a consistent manner, based on objective criteria, regardless of the source of funding;
- the hourly rate is calculated using the actual personnel costs recorded in the beneficiary’s accounts, excluding any ineligible cost or costs included in other budget categories.

The actual personnel costs may be adjusted by the beneficiary on the basis of budgeted or estimated elements. Those elements must be relevant for calculating

the personnel costs, reasonable and correspond to objective and verifiable information;

and

- the hourly rate is calculated using the number of annual productive hours (see above).

**B. Direct costs of subcontracting** (including related duties, taxes and charges such as non-deductible value added tax (VAT) paid by the beneficiary) are eligible if the conditions in Article 13.1.1 are met.

**C. Direct costs of providing financial support to third parties** *not applicable.*

**D. Other direct costs**

**D.1 Travel costs and related subsistence allowances** (including related duties, taxes and charges such as non-deductible value added tax (VAT) paid by the beneficiary) are eligible if they are in line with the beneficiary's usual practices on travel.

**D.2 *The depreciation costs of equipment, infrastructure or other assets (new or second-hand) as recorded in the beneficiary's accounts are eligible, if they were purchased in accordance with Article 10.1.1 and written off in accordance with international accounting standards and the beneficiary's usual accounting practices.***

*The costs of renting or leasing equipment, infrastructure or other assets (including related duties, taxes and charges such as non-deductible value added tax (VAT) paid by the beneficiary) are also eligible, if they do not exceed the depreciation costs of similar equipment, infrastructure or assets and do not include any financing fees.*

*The costs of equipment, infrastructure or other assets **contributed in-kind against payment** are eligible, if they do not exceed the depreciation costs of similar equipment, infrastructure or assets, do not include any financing fees and if the conditions in Article 11.1 are met.*

*The only portion of the costs that will be taken into account is that which corresponds to the duration of the action and rate of actual use for the purposes of the action.*

**D.3 Costs of other goods and services** (including related duties, taxes and charges such as non-deductible value added tax (VAT) paid by the beneficiary) are eligible, if they are:

- (a) purchased specifically for the action and in accordance with Article 10.1.1 or
- (b) contributed in kind against payment and in accordance with Article 11.1.

Such goods and services include, for instance, consumables and supplies, dissemination (including open access), protection of results, certificates on the financial statements (if they are required by the Agreement), certificates on the methodology, translations and publications.

**D.4 Capitalised and operating costs of ‘large research infrastructure’<sup>3</sup> directly used for the action are eligible, if:**

- (a) *the value of the large research infrastructure represents at least 75% of the total fixed assets (at historical value in its last closed balance sheet before the date of the signature of the Agreement or as determined on the basis of the rental and leasing costs of the research infrastructure<sup>4</sup>);*
- (b) *the beneficiary’s methodology for declaring the costs for large research infrastructure has been positively assessed by the Commission (‘ex-ante assessment’);*
- (c) *the beneficiary declares as direct eligible costs only the portion which corresponds to the duration of the action and the rate of actual use for the purposes of the action, and*
- (d) *they comply with the conditions as further detailed in the annotations to the H2020 grant agreements.*

**E. Indirect costs**

**Indirect costs** are eligible if they are declared on the basis of the flat-rate of 25% of the eligible direct costs (see Article 5.2 and Points A to D above), from which are excluded:

- (a) costs of subcontracting and
- (b) costs of in-kind contributions provided by third parties which are not used on the beneficiary’s premises;
- (c) *not applicable;*
- (d) *not applicable.*

Beneficiaries receiving an operating grant<sup>5</sup> financed by the EU or Euratom budget cannot declare indirect costs for the period covered by the operating grant.

<sup>3</sup> ‘**Large research infrastructure**’ means research infrastructure of a total value of at least EUR 20 million, for a beneficiary, calculated as the sum of historical asset values of each individual research infrastructure of that beneficiary, as they appear in its last closed balance sheet before the date of the signature of the Agreement or as determined on the basis of the rental and leasing costs of the research infrastructure.

<sup>4</sup> For the definition, see Article 2(6) of Regulation (EU) No 1291/2013 of the European Parliament and of the Council of 11 December 2013 establishing Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020) (OJ L 347, 20.12.2013 p.104)-(**Horizon 2020 Framework Programme Regulation No 1291/2013**): ‘**Research infrastructure**’ are facilities, resources and services that are used by the research communities to conduct research and foster innovation in their fields. Where relevant, they may be used beyond research, e.g. for education or public services. They include: major scientific equipment (or sets of instruments); knowledge-based resources such as collections, archives or scientific data; e-infrastructures such as data and computing systems and communication networks; and any other infrastructure of a unique nature essential to achieve excellence in research and innovation. Such infrastructures may be ‘single-sited’, ‘virtual’ or ‘distributed’.

<sup>5</sup> For the definition, see Article 121(1)(b) of Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002 (OJ L 218, 26.10.2012, p.1) (**Financial Regulation No 966/2012**): ‘**operating grant**’ means direct financial contribution, by way of donation, from the budget in order to finance the functioning of a body which pursues an aim of general EU interest or has an objective forming part of and supporting an EU policy.

## **F. Specific cost category(ies)**

*Not applicable*

### **6.3 Conditions for costs of linked third parties to be eligible**

*not applicable*

### **6.4 Conditions for in-kind contributions provided by third parties free of charge to be eligible**

**In-kind contributions provided free of charge** are eligible direct costs (for the beneficiary), if the costs incurred by the third party fulfil — *mutatis mutandis* — the general and specific conditions for eligibility set out in this Article (Article 6.1 and 6.2) and Article 12.1.

### **6.5 Ineligible costs**

‘**Ineligible costs**’ are:

(a) costs that do not comply with the conditions set out above (Article 6.1 to 6.4), in particular:

- (i) costs related to return on capital;
- (ii) debt and debt service charges;
- (iii) provisions for future losses or debts;
- (iv) interest owed;
- (v) doubtful debts;
- (vi) currency exchange losses;
- (vii) bank costs charged by the beneficiary’s bank for transfers from the *Agency*;
- (viii) excessive or reckless expenditure;
- (ix) deductible VAT;
- (x) costs incurred during suspension of the implementation of the action (see Article 49);

(b) costs declared under another EU or Euratom grant (including grants awarded by a Member State and financed by the EU or Euratom budget and grants awarded by bodies other than the *Agency* for the purpose of implementing the EU or Euratom budget); in particular, indirect costs if the beneficiary is already receiving an operating grant financed by the EU or Euratom budget in the same period.

### **6.6 Consequences of declaration of ineligible costs**

Declared costs that are ineligible will be rejected (see Article 42).

This may also lead to any of the other measures described in Chapter 6.

## **CHAPTER 4 RIGHTS AND OBLIGATIONS OF THE PARTIES**

### **SECTION 1 RIGHTS AND OBLIGATIONS RELATED TO IMPLEMENTING THE ACTION**

#### **ARTICLE 7 — GENERAL OBLIGATION TO PROPERLY IMPLEMENT THE ACTION**

##### **7.1 General obligation to properly implement the action**

The beneficiaries must implement the action as described in Annex 1 and in compliance with the provisions of the Agreement and all legal obligations under applicable EU, international and national law.

##### **7.2 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

#### **ARTICLE 8 — RESOURCES TO IMPLEMENT THE ACTION — THIRD PARTIES INVOLVED IN THE ACTION**

The beneficiaries must have the appropriate resources to implement the action.

If it is necessary to implement the action, the beneficiaries may:

- purchase goods, works and services (see Article 10);
- use in-kind contributions provided by third parties against payment (see Article 11);
- use in-kind contributions provided by third parties free of charge (see Article 12);
- call upon subcontractors to implement action tasks described in Annex 1 (see Article 13);
- call upon linked third parties to implement action tasks described in Annex 1 (see Article 14).

In these cases, the beneficiaries retain sole responsibility towards the *Agency* and the other beneficiaries for implementing the action.

#### **ARTICLE 9 — IMPLEMENTATION OF ACTION TASKS BY BENEFICIARIES NOT RECEIVING EU FUNDING**

##### ***9.1 Rules for the implementation of action tasks by beneficiaries not receiving EU funding***

*Beneficiaries not receiving EU funding must implement the action tasks attributed to them in Annex 1 according to Article 7.1.*

*Their costs are estimated in Annex 2 but:*

- *will not be reimbursed and*

- *will not be taken into account for the calculation of the grant (see Articles 5.2, 5.3 and 5.4, and 21).*

*Chapter 3, Articles 10 to 15, 18.1.2, 20.3(b), 20.4(b), 20.6, 21, 23a, 26.4, 27.2, 28.1, 28.2, 30.3, 31.5, 40, 42, 43, 44, 47 and 48 do not apply to these beneficiaries.*

*They will not be subject to financial checks, reviews and audits under Article 22.*

*Beneficiaries not receiving EU funding may provide in-kind contributions to another beneficiary. In this case, they will be considered as a third party for the purpose of Articles 11 and 12.*

## **9.2 Consequences of non-compliance**

*If a beneficiary not receiving EU funding breaches any of its obligations under this Article, its participation of the Agreement may be terminated (see Article 50).*

*Such breaches may also lead to any of the other measures described in Chapter 6 that are applicable to it.*

## **ARTICLE 10 — PURCHASE OF GOODS, WORKS OR SERVICES**

### **10.1 Rules for purchasing goods, works or services**

10.1.1 If necessary to implement the action, the beneficiaries may purchase goods, works or services.

The beneficiaries must make such purchases ensuring the best value for money or, if appropriate, the lowest price. In doing so, they must avoid any conflict of interests (see Article 35).

The beneficiaries must ensure that *the Agency*, the Commission, the European Court of Auditors (ECA) and the European Anti-Fraud Office (OLAF) can exercise their rights under Articles 22 and 23 also towards their contractors.

10.1.2 Beneficiaries that are ‘contracting authorities’ within the meaning of Directive 2004/18/EC<sup>6</sup> or ‘contracting entities’ within the meaning of Directive 2004/17/EC<sup>7</sup> must comply with the applicable national law on public procurement.

### **10.2 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under Article 10.1.1, the costs related to the contract concerned will be ineligible (see Article 6) and will be rejected (see Article 42).

If a beneficiary breaches any of its obligations under Article 10.1.2, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

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<sup>6</sup> Directive 2004/18/EC of the European Parliament and of the Council of 31 March 2004 on the coordination of procedures for the award of public work contracts, public supply contracts and public service contracts (OJ L 134, 30.04.2004, p. 114).

<sup>7</sup> Directive 2004/17/EC of the European Parliament and of the Council of 31 March 2004 coordinating the procurement procedures of entities operating in the water, energy, transport and postal services sectors (OJ L 134, 30.04.2004, p. 1).

## **ARTICLE 11 — USE OF IN-KIND CONTRIBUTIONS PROVIDED BY THIRD PARTIES AGAINST PAYMENT**

### **11.1 Rules for the use of in-kind contributions against payment**

If necessary to implement the action, the beneficiaries may use in-kind contributions provided by third parties against payment.

The beneficiaries may declare costs related to the payment of in-kind contributions as eligible (see Article 6.1 and 6.2), up to the third parties' costs for the seconded persons, contributed equipment, infrastructure or other assets or other contributed goods and services.

The third parties and their contributions must be set out in Annex 1. The *Agency* may however approve in-kind contributions not set out in Annex 1 without amendment (see Article 55), if:

- they are specifically justified in the periodic technical report and
- their use does not entail changes to the Agreement which would call into question the decision awarding the grant or breach the principle of equal treatment of applicants.

The beneficiaries must ensure that *the Agency*, the Commission, the European Court of Auditors (ECA) and the European Anti-Fraud Office (OLAF) can exercise their rights under Articles 22 and 23 also towards the third parties.

### **11.2 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the costs related to the payment of the in-kind contribution will be ineligible (see Article 6) and will be rejected (see Article 42).

Such breaches may also lead to any of the other measures described in Chapter 6.

## **ARTICLE 12 — USE OF IN-KIND CONTRIBUTIONS PROVIDED BY THIRD PARTIES FREE OF CHARGE**

### **12.1 Rules for the use of in-kind contributions free of charge**

If necessary to implement the action, the beneficiaries may use in-kind contributions provided by third parties free of charge.

The beneficiaries may declare costs incurred by the third parties for the seconded persons, contributed equipment, infrastructure or other assets or other contributed goods and services as eligible in accordance with Article 6.4.

The third parties and their contributions must be set out in Annex 1. The *Agency* may however approve in-kind contributions not set out in Annex 1 without amendment (see Article 55), if:

- they are specifically justified in the periodic technical report and
- their use does not entail changes to the Agreement which would call into question the decision awarding the grant or breach the principle of equal treatment of applicants.



The beneficiaries must ensure that *the Agency*, the Commission, the European Court of Auditors (ECA) and the European Anti-Fraud Office (OLAF) can exercise their rights under Articles 22 and 23 also towards the third parties.

## **12.2 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the costs incurred by the third parties related to the in-kind contribution will be ineligible (see Article 6) and will be rejected (see Article 42).

Such breaches may also lead to any of the other measures described in Chapter 6.

## **ARTICLE 13 — IMPLEMENTATION OF ACTION TASKS BY SUBCONTRACTORS**

### **13.1 Rules for subcontracting action tasks**

13.1.1 If necessary to implement the action, the beneficiaries may award subcontracts covering the implementation of certain action tasks described in Annex 1.

Subcontracting may cover only a limited part of the action.

The beneficiaries must award the subcontracts ensuring the best value for money or, if appropriate, the lowest price. In doing so, they must avoid any conflict of interests (see Article 35).

The tasks to be implemented and the estimated cost for each subcontract must be set out in Annex 1 and the total estimated costs of subcontracting per beneficiary must be set out in Annex 2. The *Agency* may however approve subcontracts not set out in Annex 1 and 2 without amendment (see Article 55), if:

- they are specifically justified in the periodic technical report and
- they do not entail changes to the Agreement which would call into question the decision awarding the grant or breach the principle of equal treatment of applicants.

The beneficiaries must ensure that *the Agency*, the Commission, the European Court of Auditors (ECA) and the European Anti-Fraud Office (OLAF) can exercise their rights under Articles 22 and 23 also towards their subcontractors.

13.1.2 The beneficiaries must ensure that their obligations under Articles 35, 36, 38 and 46 also apply to the subcontractors.

Beneficiaries that are ‘contracting authorities’ within the meaning of Directive 2004/18/EC or ‘contracting entities’ within the meaning of Directive 2004/17/EC must comply with the applicable national law on public procurement.

### **13.2 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under Article 13.1.1, the costs related to the subcontract concerned will be ineligible (see Article 6) and will be rejected (see Article 42).

If a beneficiary breaches any of its obligations under Article 13.1.2, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

## **ARTICLE 14 — IMPLEMENTATION OF ACTION TASKS BY LINKED THIRD PARTIES**

*Not applicable*

## **ARTICLE 15 — FINANCIAL SUPPORT TO THIRD PARTIES**

### **15.1 Rules for providing financial support to third parties**

*Not applicable*

### **15.2 Financial support in the form of prizes**

*Not applicable*

### **15.3 Consequences of non-compliance**

*Not applicable*

## **ARTICLE 16 — PROVISION OF TRANS-NATIONAL OR VIRTUAL ACCESS TO RESEARCH INFRASTRUCTURE**

### **16.1 Rules for providing trans-national access to research infrastructure**

*Not applicable*

### **16.2 Rules for providing virtual access to research infrastructure**

*Not applicable*

### **16.3 Consequences of non-compliance**

*Not applicable*

## **SECTION 2 RIGHTS AND OBLIGATIONS RELATED TO THE GRANT ADMINISTRATION**

## **ARTICLE 17 — GENERAL OBLIGATION TO INFORM**

### **17.1 General obligation to provide information upon request**

The beneficiaries must provide — during implementation of the action or afterwards and in accordance with Article 41.2 — any information requested in order to verify eligibility of the costs, proper implementation of the action and compliance with any other obligation under the Agreement.

## **17.2 Obligation to keep information up to date and to inform about events and circumstances likely to affect the Agreement**

Each beneficiary must keep information stored in the 'Beneficiary Register' (via the electronic exchange system; see Article 52) up to date, in particular, its name, address, legal representatives, legal form and organisation type.

Each beneficiary must immediately inform the coordinator — which must immediately inform the *Agency* and the other beneficiaries — of any of the following:

- (a) **events** which are likely to affect significantly or delay the implementation of the action or the EU's financial interests, in particular:
  - (i) changes in its legal, financial, technical, organisational or ownership situation
- (b) **circumstances** affecting:
  - (i) the decision to award the grant or
  - (ii) compliance with requirements under the Agreement.

## **17.3 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

## **ARTICLE 18 — KEEPING RECORDS — SUPPORTING DOCUMENTATION**

### **18.1 Obligation to keep records and other supporting documentation**

The beneficiaries must — for a period of *five* years after the payment of the balance — keep records and other supporting documentation in order to prove the proper implementation of the action and the costs they declare as eligible.

They must make them available upon request (see Article 17) or in the context of checks, reviews, audits or investigations (see Article 22).

If there are on-going checks, reviews, audits, investigations, litigation or other pursuits of claims under the Agreement (including the extension of findings; see Articles 22), the beneficiaries must keep the records and other supporting documentation until the end of these procedures.

The beneficiaries must keep the original documents. Digital and digitalised documents are considered originals if they are authorised by the applicable national law. The *Agency* may accept non-original documents if it considers that they offer a comparable level of assurance.

#### **18.1.1 Records and other supporting documentation on the scientific and technical implementation**

The beneficiaries must keep records and other supporting documentation on scientific and technical implementation of the action in line with the accepted standards in the respective field.

### 18.1.2 Records and other documentation to support the costs declared

The beneficiaries must keep the records and documentation supporting the costs declared, in particular the following:

- (a) for **actual costs**: adequate records and other supporting documentation to prove the costs declared, such as contracts, subcontracts, invoices and accounting records. In addition, the beneficiaries' usual cost accounting practices and internal control procedures must enable direct reconciliation between the amounts declared, the amounts recorded in their accounts and the amounts stated in the supporting documentation;
- (b) for **unit costs**: adequate records and other supporting documentation to prove the number of units declared. Beneficiaries do not need to identify the actual eligible costs covered or to keep or provide supporting documentation (such as accounting statements) to prove the amount per unit.

In addition, for **direct personnel costs declared as unit costs calculated in accordance with the beneficiary's usual cost accounting practices**, the beneficiaries must keep adequate records and documentation to prove that the cost accounting practices used comply with the conditions set out in Article 6.2, Point A.

The beneficiaries may submit to the Commission, for approval, a certificate (drawn up in accordance with Annex 6) stating that their usual cost accounting practices comply with these conditions (**'certificate on the methodology'**). If the certificate is approved, costs declared in line with this methodology will not be challenged subsequently, unless the beneficiaries have concealed information for the purpose of the approval.

- (c) for **flat-rate costs**: adequate records and other supporting documentation to prove the eligibility of the costs to which the flat-rate is applied. The beneficiaries do not need to identify the costs covered or provide supporting documentation (such as accounting statements) to prove the amount declared at a flat-rate.

In addition, for **personnel costs** (declared as actual costs or on the basis of unit costs), the beneficiaries must keep **time records** for the number of hours declared. The time records must be in writing and approved by the persons working on the action and their supervisors, at least monthly. In the absence of reliable time records of the hours worked on the action, the *Agency* may accept alternative evidence supporting the number of hours declared, if it considers that it offers an adequate level of assurance.

As an exception, for **persons working exclusively on the action**, there is no need to keep time records, if the beneficiary signs a **declaration** confirming that the persons concerned have worked exclusively on the action.

### 18.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, costs insufficiently substantiated will be ineligible (see Article 6) and will be rejected (see Article 42), and the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

## ARTICLE 19 — SUBMISSION OF DELIVERABLES

### 19.1 Obligation to submit deliverables

The coordinator must submit the ‘**deliverables**’ identified in Annex 1, in accordance with the timing and conditions set out in it.

### 19.2 Consequences of non-compliance

If the coordinator breaches any of its obligations under this Article, the *Agency* may apply any of the measures described in Chapter 6.

## ARTICLE 20 — REPORTING — PAYMENT REQUESTS

### 20.1 Obligation to submit reports

The coordinator must submit to the *Agency* (see Article 52) the technical and financial reports set out in this Article. These reports include requests for payment and must be drawn up using the forms and templates provided in the electronic exchange system (see Article 52).

### 20.2 Reporting periods

The action is divided into the following ‘**reporting periods**’:

- RP1: from month 1 to month 12
- *RP2: from month 13 to month 36*

### 20.3 Periodic reports — Requests for interim payments

The coordinator must submit a periodic report within 60 days following the end of each reporting period.

The **periodic report** must include the following:

(a) a ‘**periodic technical report**’ containing:

- (i) an **explanation of the work carried out** by the beneficiaries;
- (ii) an **overview of the progress** towards the objectives of the action, including milestones and deliverables identified in Annex 1.

This report must include explanations justifying the differences between work expected to be carried out in accordance with Annex 1 and that actually carried out.

The report must also detail the exploitation and dissemination of the results and — if required in Annex 1 — an updated ‘**plan for the exploitation and dissemination of the results**’;

- (iii) a **summary** for publication by the *Agency*;
- (iv) the answers to the ‘**questionnaire**’, covering issues related to the action implementation and the economic and societal impact, notably in the context of the Horizon 2020 key performance indicators and the Horizon 2020 monitoring requirements;

(b) a ‘**periodic financial report**’ containing:

- (i) an ‘**individual financial statement**’ (see Annex 4) from each beneficiary, for the reporting period concerned.

The individual financial statement must detail the eligible costs (actual costs, unit costs and flat-rate costs; see Article 6) for each budget category (see Annex 2).

The beneficiaries must declare all eligible costs, even if — for actual costs, unit costs and flat-rate costs — they exceed the amounts indicated in the estimated budget (see Annex 2). Amounts which are not declared in the individual financial statement will not be taken into account by the *Agency*.

If an individual financial statement is not submitted for a reporting period, it may be included in the periodic financial report for the next reporting period.

The individual financial statements of the last reporting period must also detail the **receipts of the action** (see Article 5.3.3).

Each beneficiary must **certify** that:

- the information provided is full, reliable and true;
- the costs declared are eligible (see Article 6);
- the costs can be substantiated by adequate records and supporting documentation (see Article 18) that will be produced upon request (see Article 17) or in the context of checks, reviews, audits and investigations (see Article 22), and
- for the last reporting period: that all the receipts have been declared (see Article 5.3.3);

- (ii) an **explanation of the use of resources** and the information on subcontracting (see Article 13) and in-kind contributions provided by third parties (see Articles 11 and 12) from each beneficiary, for the reporting period concerned;

(iii) *not applicable*;

- (iv) a ‘**periodic summary financial statement**’ (see Annex 4), created automatically by the electronic exchange system, consolidating the individual financial statements for the reporting period concerned and including — except for the last reporting period — the **request for interim payment**.

#### **20.4 Final report — Request for payment of the balance**

In addition to the periodic report for the last reporting period, the coordinator must submit the final report within 60 days following the end of the last reporting period.

The **final report** must include the following:

- (a) a ‘**final technical report**’ with a **summary** for publication containing:
  - (i) an overview of the results and their exploitation and dissemination;
  - (ii) the conclusions on the action, and
  - (iii) the socio-economic impact of the action;
- (b) a ‘**final financial report**’ containing:
  - (i) a ‘**final summary financial statement**’ (see Annex 4), created automatically by the electronic exchange system, consolidating the individual financial statements for all reporting periods and including the **request for payment of the balance** and
  - (ii) a ‘**certificate on the financial statements**’ (drawn up in accordance with Annex 5) for each beneficiary, if it requests a total contribution of EUR 325 000 or more, as reimbursement of actual costs and unit costs calculated on the basis of its usual cost accounting practices (see Article 5.2 and Article 6.2, Point A).

## 20.5 Information on cumulative expenditure incurred

*Not applicable*

## 20.6 Currency for financial statements and conversion into euro

Financial statements must be drafted in euro.

Beneficiaries with accounting established in a currency other than the euro must convert the costs recorded in their accounts into euro, at the average of the daily exchange rates published in the C series of the *Official Journal of the European Union*, calculated over the corresponding reporting period.

If no daily euro exchange rate is published in the *Official Journal of the European Union* for the currency in question, they must be converted at the average of the monthly accounting rates published on the Commission’s website, calculated over the corresponding reporting period.

Beneficiaries with accounting established in euro must convert costs incurred in another currency into euro according to their usual accounting practices.

## 20.7 Language of reports

All reports (technical and financial reports, including financial statements) must be submitted in the language of the Agreement.

## 20.8 Consequences of non-compliance — Suspension of the payment deadline — Termination

If the reports submitted do not comply with this Article, the *Agency* may suspend the payment deadline (see Article 47) and apply any of the other measures described in Chapter 6.

If the coordinator breaches its obligation to submit the reports and if it fails to comply with this obligation within 30 days following a written reminder sent by the *Agency*, the Agreement may be terminated (see Article 50).

## ARTICLE 21 — PAYMENTS AND PAYMENT ARRANGEMENTS

### 21.1 Payments to be made

The following payments will be made to the coordinator:

- one **pre-financing payment**;
- one or more **interim payments**, on the basis of the request(s) for interim payment (see Article 20), and
- one **payment of the balance**, on the basis of the request for payment of the balance (see Article 20).

### 21.2 Pre-financing payment — Amount — Amount retained for the Guarantee Fund

The aim of the pre-financing is to provide the beneficiaries with a float.

It remains the property of the *EU* until the payment of the balance.

The amount of the pre-financing payment will be EUR **1,497,183.19** (one million four hundred and ninety seven thousand one hundred and eighty three EURO and nineteen eurocents).

The *Agency* will — except if Article 48 applies — make the pre-financing payment to the coordinator within 30 days either from the entry into force of the Agreement (see Article 58) or from 10 days before the starting date of the action (see Article 3), whichever is the latest.

An amount of EUR **115,167.94** (one hundred and fifteen thousand one hundred and sixty seven EURO and ninety four eurocents), corresponding to 5% of the maximum grant amount (see Article 5.1), is retained by the *Agency* from the pre-financing payment and transferred into the '**Guarantee Fund**'.

### 21.3 Interim payments — Amount — Calculation

Interim payments reimburse the eligible costs incurred for the implementation of the action during the corresponding reporting periods.

The *Agency* will pay to the coordinator the amount due as interim payment within 90 days from receiving the periodic report (see Article 20.3), except if Articles 47 or 48 apply.

Payment is subject to the approval of the periodic report. Its approval does not imply recognition of the compliance, authenticity, completeness or correctness of its content.

The **amount due as interim payment** is calculated by the *Agency* in the following steps:

Step 1 – Application of the reimbursement rates

Step 2 – Limit to 90% of the maximum grant amount



### 21.3.1 Step 1 — Application of the reimbursement rates

The reimbursement rate(s) (see Article 5.2) are applied to the eligible costs (actual costs, unit costs and flat-rate costs ; see Article 6) declared by the beneficiaries (see Article 20) and approved by the *Agency* (see above) for the concerned reporting period.

### 21.3.2 Step 2 — Limit to 90% of the maximum grant amount

The total amount of pre-financing and interim payments must not exceed 90% of the maximum grant amount set out in Article 5.1. The maximum amount for the interim payment will be calculated as follows:

{90% of the maximum grant amount (see Article 5.1)}

minus

{pre-financing and previous interim payments}}.

### 21.4 Payment of the balance — Amount — Calculation — Release of the amount retained for the Guarantee Fund

The payment of the balance reimburses the remaining part of the eligible costs incurred by the beneficiaries for the implementation of the action.

If the total amount of earlier payments is greater than the final grant amount (see Article 5.3), the payment of the balance takes the form of a recovery (see Article 44).

If the total amount of earlier payments is lower than the final grant amount, the *Agency* will pay the balance within 90 days from receiving the final report (see Article 20.4), except if Articles 47 or 48 apply.

Payment is subject to the approval of the final report. Its approval does not imply recognition of the compliance, authenticity, completeness or correctness of its content.

The **amount due as the balance** is calculated by the *Agency* by deducting the total amount of pre-financing and interim payments (if any) already made, from the final grant amount determined in accordance with Article 5.3:

{final grant amount (see Article 5.3)}

minus

{pre-financing and interim payments (if any) made}}.

At the payment of the balance, the amount retained for the Guarantee Fund (see above) will be released and:

- if the balance is positive: the amount released will be paid in full to the coordinator together with the amount due as the balance;
- if the balance is negative (payment of the balance taking the form of recovery): it will be deducted from the amount released (see Article 44.1.2). If the resulting amount:

- is positive, it will be paid to the coordinator
- is negative, it will be recovered.

The amount to be paid may however be offset — without the beneficiary's consent — against any other amount owed by the beneficiary to the *Agency*, the Commission or another executive agency (under the EU or Euratom budget), up to the maximum EU contribution indicated, for that beneficiary, in the estimated budget (see Annex 2).

### **21.5 Notification of amounts due**

When making payments, the *Agency* will formally notify to the coordinator the amount due, specifying whether it concerns an interim payment or the payment of the balance.

For the payment of the balance, the notification will also specify the final grant amount.

In the case of reduction of the grant or recovery of undue amounts, the notification will be preceded by the contradictory procedure set out in Articles 43 and 44.

### **21.6 Currency for payments**

The *Agency* will make all payments in euro.

### **21.7 Payments to the coordinator — Distribution to the beneficiaries**

Payments will be made to the coordinator.

Payments to the coordinator will discharge the *Agency* from its payment obligation.

The coordinator must distribute the payments between the beneficiaries without unjustified delay.

Pre-financing may however be distributed only:

- (a) if the minimum number of beneficiaries set out in the call for proposals has acceded to the Agreement (see Article 56) and
- (b) to beneficiaries that have acceded to the Agreement (see Article 56).

### **21.8 Bank account for payments**

All payments will be made to the following bank account:

Name of bank: RAIFFEISENLANDESBANK KAERNTEN, REG.GEN.M.B.H.  
Address of branch: 11, UNIVERSITATSSTRASSE:NAUTILUSWEG KLAGENFURT,  
Austria  
Full name of the account holder: UNIVERSITY OF KLAGENFURT  
Full account number (including bank codes):  
IBAN code: AT423900000002515039

### **21.9 Costs of payment transfers**

The cost of the payment transfers is borne as follows:

- the *Agency* bears the cost of transfers charged by its bank;
- the beneficiary bears the cost of transfers charged by its bank;
- the party causing a repetition of a transfer bears all costs of the repeated transfer.

### **21.10 Date of payment**

Payments by the *Agency* are considered to have been carried out on the date when they are debited to its account.

### **21.11 Consequences of non-compliance**

21.11.1 If the *Agency* does not pay within the payment deadlines (see above), the beneficiaries are entitled to **late-payment interest** at the rate applied by the European Central Bank (ECB) for its main refinancing operations in euros ('reference rate'), plus three and a half points. The reference rate is the rate in force on the first day of the month in which the payment deadline expires, as published in the C series of the *Official Journal of the European Union*.

If the late-payment interest is lower than or equal to EUR 200, it will be paid to the coordinator only upon request submitted within two months of receiving the late payment.

Late-payment interest is not due if all beneficiaries are EU Member States (including regional and local government authorities or other public bodies acting on behalf of a Member State for the purpose of this Agreement).

Suspension of the payment deadline or payments (see Articles 47 and 48) will not be considered as late payment.

Late-payment interest covers the period running from the day following the due date for payment (see above), up to and including the date of payment.

Late-payment interest is not considered for the purposes of calculating the final grant amount.

21.11.2 If the coordinator breaches any of its obligations under this Article, the grant may be reduced (see Article 43) and the Agreement or the participation of the coordinator may be terminated (see Article 50).

Such breaches may also lead to any of the other measures described in Chapter 6.

## **ARTICLE 22 — CHECKS, REVIEWS, AUDITS AND INVESTIGATIONS — EXTENSION OF FINDINGS**

### **22.1 Checks, reviews and audits by the *Agency and the Commission***

#### **22.1.1 Right to carry out checks**

The *Agency or the Commission* will — during the implementation of the action or afterwards — check the proper implementation of the action and compliance with the obligations under the Agreement, including assessing deliverables and reports.

For this purpose the *Agency or the Commission* may be assisted by external persons or bodies.

The *Agency or the Commission* may also request additional information in accordance with Article 17. The *Agency or the Commission* may request beneficiaries to provide such information to it directly.

Information provided must be accurate, precise and complete and in the format requested, including electronic format.

### **22.1.2 Right to carry out reviews**

The *Agency or the Commission* may — during the implementation of the action or afterwards — carry out reviews on the proper implementation of the action (including assessment of deliverables and reports), compliance with the obligations under the Agreement and continued scientific or technological relevance of the action.

Reviews may be started **up to two years after the payment of the balance**. They will be formally notified to the coordinator or beneficiary concerned and will be considered to have started on the date of the formal notification.

If the review is carried out on a third party (see Articles 10 to 16), the beneficiary concerned must inform the third party.

The *Agency or the Commission* may carry out reviews directly (using its own staff) or indirectly (using external persons or bodies appointed to do so). It will inform the coordinator or beneficiary concerned of the identity of the external persons or bodies. They have the right to object to the appointment on grounds of commercial confidentiality.

The coordinator or beneficiary concerned must provide — within the deadline requested — any information and data in addition to deliverables and reports already submitted (including information on the use of resources). The *Agency or the Commission* may request beneficiaries to provide such information to it directly.

The coordinator or beneficiary concerned may be requested to participate in meetings, including with external experts.

For **on-the-spot** reviews, the beneficiaries must allow access to their sites and premises, including to external persons or bodies, and must ensure that information requested is readily available.

Information provided must be accurate, precise and complete and in the format requested, including electronic format.

On the basis of the review findings, a ‘**review report**’ will be drawn up.

The *Agency or the Commission* will formally notify the review report to the coordinator or beneficiary concerned, which has 30 days to formally notify observations (‘**contradictory review procedure**’).

Reviews (including review reports) are in the language of the Agreement.

### **22.1.3 Right to carry out audits**

The *Agency or the Commission* may — during the implementation of the action or afterwards — carry out audits on the proper implementation of the action and compliance with the obligations under the Agreement.

Audits may be started **up to two years after the payment of the balance**. They will be formally notified to the coordinator or beneficiary concerned and will be considered to have started on the date of the formal notification.

If the audit is carried out on a third party (see Articles 10 to 16), the beneficiary concerned must inform the third party.

The *Agency or the Commission* may carry out audits directly (using its own staff) or indirectly (using external persons or bodies appointed to do so). It will inform the coordinator or beneficiary concerned of the identity of the external persons or bodies. They have the right to object to the appointment on grounds of commercial confidentiality.

The coordinator or beneficiary concerned must provide — within the deadline requested — any information (including complete accounts, individual salary statements or other personal data) to verify compliance with the Agreement. The *Agency or the Commission* may request beneficiaries to provide such information to it directly.

For **on-the-spot** audits, the beneficiaries must allow access to their sites and premises, including to external persons or bodies, and must ensure that information requested is readily available.

Information provided must be accurate, precise and complete and in the format requested, including electronic format.

On the basis of the audit findings, a ‘**draft audit report**’ will be drawn up.

The *Agency or the Commission* will formally notify the draft audit report to the coordinator or beneficiary concerned, which has 30 days to formally notify observations (‘**contradictory audit procedure**’). This period may be extended by the *Agency or the Commission* in justified cases.

The ‘**final audit report**’ will take into account observations by the coordinator or beneficiary concerned. The report will be formally notified to it.

Audits (including audit reports) are in the language of the Agreement.

The *Agency or the Commission* may also access the beneficiaries’ statutory records for the periodical assessment of unit costs or flat-rate amounts.

## 22.2 Investigations by the European Anti-Fraud Office (OLAF)

Under Regulations No 883/2013<sup>15</sup> and No 2185/96<sup>16</sup> (and in accordance with their provisions and procedures), the European Anti-Fraud Office (OLAF) may — at any moment during implementation of the action or afterwards — carry out investigations, including on-the-spot checks and inspections, to establish whether there has been fraud, corruption or any other illegal activity affecting the financial interests of the EU.

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<sup>15</sup> Regulation (EU, Euratom) No 883/2013 of the European Parliament and of the Council of 11 September 2013 concerning investigations conducted by the European Anti-Fraud Office (OLAF) and repealing Regulation (EC) No 1073/1999 of the European Parliament and of the Council and Council Regulation (Euratom) No 1074/1999 (OJ L 248, 18.09.2013, p. 1).

<sup>16</sup> Council Regulation (Euratom, EC) No 2185/1996 of 11 November 1996 concerning on-the-spot checks and inspections carried out by the Commission in order to protect the European Communities' financial interests against fraud and other irregularities (OJ L 292, 15.11.1996, p. 2).

## 22.3 Checks and audits by the European Court of Auditors (ECA)

Under Article 287 of the Treaty on the Functioning of the European Union (TFEU) and Article 161 of the Financial Regulation No 966/2012<sup>17</sup>, the European Court of Auditors (ECA) may — at any moment during implementation of the action or afterwards — carry out audits.

The ECA has the right of access for the purpose of checks and audits.

## 22.4 Checks, reviews, audits and investigations for international organisations

*Not applicable*

## 22.5 Consequences of findings in checks, reviews, audits and investigations — Extension of findings

### 22.5.1 Findings in this grant

Findings in checks, reviews, audits or investigations carried out in the context of this grant may lead to the rejection of ineligible costs (see Article 42), reduction of the grant (see Article 43), recovery of undue amounts (see Article 44) or to any of the other measures described in Chapter 6.

Rejection of costs or reduction of the grant after the payment of the balance will lead to a revised final grant amount (see Article 5.4).

Findings in checks, reviews, audits or investigations may lead to a request for amendment for the modification of Annex 1 (see Article 55).

Checks, reviews, audits or investigations that find systemic or recurrent errors, irregularities, fraud or breach of obligations may also lead to consequences in other EU or Euratom grants awarded under similar conditions (**‘extension of findings from this grant to other grants’**).

Moreover, findings arising from an OLAF investigation may lead to criminal prosecution under national law.

### 22.5.2 Findings in other grants

The *Agency or the Commission* may extend findings from other grants to this grant (**‘extension of findings from other grants to this grant’**), if:

- (a) the beneficiary concerned is found, in other EU or Euratom grants awarded under similar conditions, to have committed systemic or recurrent errors, irregularities, fraud or breach of obligations that have a material impact on this grant and
- (b) those findings are formally notified to the beneficiary concerned — together with the list of grants affected by the findings — no later than two years after the payment of the balance of this grant.

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<sup>17</sup> Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002 (OJ L 298, 26.10.2012, p. 1).

The extension of findings may lead to the rejection of costs (see Article 42), reduction of the grant (see Article 43), recovery of undue amounts (see Article 44), suspension of payments (see Article 48), suspension of the action implementation (see Article 49) or termination (see Article 50).

### 22.5.3 Procedure

The *Agency or the Commission* will formally notify the beneficiary concerned the systemic or recurrent errors and its intention to extend these audit findings, together with the list of grants affected.

22.5.3.1 If the findings concern **eligibility of costs**: the formal notification will include:

- (a) an invitation to submit observations on the list of grants affected by the findings;
- (b) the request to submit **revised financial statements** for all grants affected;
- (c) the **correction rate for extrapolation** established by the *Agency or the Commission* on the basis of the systemic or recurrent errors, to calculate the amounts to be rejected if the beneficiary concerned:
  - (i) considers that the submission of revised financial statements is not possible or practicable or
  - (ii) does not submit revised financial statements.

The beneficiary concerned has 90 days from receiving notification to submit observations, revised financial statements or to propose a duly substantiated **alternative correction method**. This period may be extended by the *Agency or the Commission* in justified cases.

The amounts to be rejected will be determined on the basis of the revised financial statements, subject to their approval.

If the *Agency or the Commission* does not receive any observations or revised financial statements, does not accept the observations or the proposed alternative correction method or does not approve the revised financial statements, it will formally notify the beneficiary concerned the application of the initially notified correction rate for extrapolation.

If the *Agency or the Commission* accepts the alternative correction method proposed by the beneficiary concerned, it will formally notify the application of the accepted alternative correction method.

22.5.3.2 If the findings concern **improper implementation** or a **breach of another obligation**: the formal notification will include:

- (a) an invitation to submit observations on the list of grants affected by the findings and
- (b) the flat-rate the *Agency or the Commission* intends to apply according to the principle of proportionality.

The beneficiary concerned has 90 days from receiving notification to submit observations or to propose a duly substantiated alternative flat-rate.

If the *Agency or the Commission* does not receive any observations or does not accept the observations or the proposed alternative flat-rate, it will formally notify the beneficiary concerned the application of the initially notified flat-rate.

If the *Agency or the Commission* accepts the alternative flat-rate proposed by the beneficiary concerned, it will formally notify the application of the accepted alternative flat-rate.

## **22.6 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, any insufficiently substantiated costs will be ineligible (see Article 6) and will be rejected (see Article 42).

Such breaches may also lead to any of the other measures described in Chapter 6.

## **ARTICLE 23 — EVALUATION OF THE IMPACT OF THE ACTION**

### **23.1 Right to evaluate the impact of the action**

The *Agency or the Commission* may carry out interim and final evaluations of the impact of the action measured against the objective of the *EU* programme.

Evaluations may be started during implementation of the action and up to *five* years after the payment of the balance. The evaluation is considered to start on the date of the formal notification to the coordinator or beneficiaries.

The *Agency or the Commission* may make these evaluations directly (using its own staff) or indirectly (using external bodies or persons it has authorised to do so).

The coordinator or beneficiaries must provide any information relevant to evaluate the impact of the action, including information in electronic format.

### **23.2 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the *Agency* may apply the measures described in Chapter 6.

## **SECTION 3 RIGHTS AND OBLIGATIONS RELATED TO BACKGROUND AND RESULTS**



## **SUBSECTION 1 GENERAL**

### **ARTICLE 23a — MANAGEMENT OF INTELLECTUAL PROPERTY**

#### **23a.1 Obligation to take measures to implement the Commission Recommendation on the management of intellectual property in knowledge transfer activities**

Beneficiaries that are universities or other public research organisations must take measures to implement the principles set out in Points 1 and 2 of the Code of Practice annexed to the Commission Recommendation on the management of intellectual property in knowledge transfer activities<sup>18</sup>.

This does not change the obligations set out in Subsections 2 and 3 of this Section.

The beneficiaries must ensure that researchers and third parties involved in the action are aware of them.

#### **23a.2 Consequences of non-compliance**

If a beneficiary breaches its obligations under this Article, the *Agency* may apply any of the measures described in Chapter 6.

## **SUBSECTION 2 RIGHTS AND OBLIGATIONS RELATED TO BACKGROUND**

### **ARTICLE 24 — AGREEMENT ON BACKGROUND**

#### **24.1 Agreement on background**

The beneficiaries must identify and agree (in writing) on the background for the action (**‘agreement on background’**).

**‘Background’** means any data, know-how or information — whatever its form or nature (tangible or intangible), including any rights such as intellectual property rights — that:

- (a) is held by the beneficiaries before they acceded to the Agreement, and
- (b) is needed to implement the action or exploit the results.

#### **24.2 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

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<sup>18</sup> Commission Recommendation C (2008) 1329 of 10.4.2008 on the management of intellectual property in knowledge transfer activities and the Code of Practice for universities and other public research institutions attached to this recommendation.

## **ARTICLE 25 — ACCESS RIGHTS TO BACKGROUND**

### **25.1 Exercise of access rights — Waiving of access rights — No sub-licensing**

To exercise access rights, this must first be requested in writing (**‘request for access’**).

**‘Access rights’** means rights to use results or background under the terms and conditions laid down in this Agreement.

Waivers of access rights are not valid unless in writing.

Unless agreed otherwise, access rights do not include the right to sub-license.

### **25.2 Access rights for other beneficiaries, for implementing their own tasks under the action**

The beneficiaries must give each other access — on a royalty-free basis — to background needed to implement their own tasks under the action, unless the beneficiary that holds the background has — before acceding to the Agreement —:

- (a) informed the other beneficiaries that access to its background is subject to legal restrictions or limits, including those imposed by the rights of third parties (including personnel), or
- (b) agreed with the other beneficiaries that access would not be on a royalty-free basis.

### **25.3 Access rights for other beneficiaries, for exploiting their own results**

The beneficiaries must give each other access — under fair and reasonable conditions — to background needed for exploiting their own results, unless the beneficiary that holds the background has — before acceding to the Agreement — informed the other beneficiaries that access to its background is subject to legal restrictions or limits, including those imposed by the rights of third parties (including personnel).

**‘Fair and reasonable conditions’** means appropriate conditions, including possible financial terms or royalty-free conditions, taking into account the specific circumstances of the request for access, for example the actual or potential value of the results or background to which access is requested and/or the scope, duration or other characteristics of the exploitation envisaged.

Requests for access may be made — unless agreed otherwise — up to one year after the period set out in Article 3.

### **25.4 Access rights for affiliated entities**

Unless otherwise agreed in the consortium agreement, access to background must also be given — under fair and reasonable conditions (see above; Article 25.3) and unless it is subject to legal restrictions or limits, including those imposed by the rights of third parties (including personnel) —

to affiliated entities<sup>19</sup> established in an EU Member State or ‘**associated country**’<sup>20</sup>, if this is needed to exploit the results generated by the beneficiaries to which they are affiliated.

Unless agreed otherwise (see above; Article 25.1), the affiliated entity concerned must make the request directly to the beneficiary that holds the background.

Requests for access may be made — unless agreed otherwise — up to one year after the period set out in Article 3.

### 25.5 Access rights for third parties

*Not applicable*

### 25.6 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

## SUBSECTION 3 RIGHTS AND OBLIGATIONS RELATED TO RESULTS

### ARTICLE 26 — OWNERSHIP OF RESULTS

#### 26.1 Ownership by the beneficiary that generates the results

Results are owned by the beneficiary that generates them.

‘**Results**’ means any (tangible or intangible) output of the action such as data, knowledge or information — whatever its form or nature, whether it can be protected or not — that is generated in the action, as well as any rights attached to it, including intellectual property rights.

#### 26.2 Joint ownership by several beneficiaries

Two or more beneficiaries own results jointly if:

<sup>19</sup> For the definition, see Article 2.1(2) of the Rules for Participation Regulation No 1290/2013: ‘**affiliated entity**’ means any legal entity that is under the direct or indirect control of a participant, or under the same direct or indirect control as the participant, or that is directly or indirectly controlling a participant.

‘Control’ may take any of the following forms:

- (a) the direct or indirect holding of more than 50% of the nominal value of the issued share capital in the legal entity concerned, or of a majority of the voting rights of the shareholders or associates of that entity;
- (b) the direct or indirect holding, in fact or in law, of decision-making powers in the legal entity concerned.

However the following relationships between legal entities shall not in themselves be deemed to constitute controlling relationships:

- (a) the same public investment corporation, institutional investor or venture-capital company has a direct or indirect holding of more than 50% of the nominal value of the issued share capital or a majority of voting rights of the shareholders or associates;
- (b) the legal entities concerned are owned or supervised by the same public body.

<sup>20</sup> For the definition, see Article 2.1(3) of the Rules for Participation Regulation No 1290/2013: ‘**associated country**’ means a third country which is party to an international agreement with the Union, as identified in *Article 7 of Horizon 2020 Framework Programme Regulation No 1291/2013. Article 7 sets out the conditions for association of non-EU countries to Horizon 2020.*

- (a) they have jointly generated them and
- (b) it is not possible to:
  - (i) establish the respective contribution of each beneficiary, or
  - (ii) separate them for the purpose of applying for, obtaining or maintaining their protection (see Article 27).

The joint owners must agree (in writing) on the allocation and terms of exercise of their joint ownership (**'joint ownership agreement'**), to ensure compliance with their obligations under this Agreement.

Unless otherwise agreed in the joint ownership agreement, each joint owner may grant non-exclusive licences to third parties to exploit jointly-owned results (without any right to sub-license), if the other joint owners are given:

- (a) at least 45 days advance notice and
- (b) fair and reasonable compensation.

Once the results have been generated, joint owners may agree (in writing) to apply another regime than joint ownership (such as, for instance, transfer to a single owner (see Article 30) with access rights for the others).

### **26.3 Rights of third parties (including personnel)**

If third parties (including personnel) may claim rights to the results, the beneficiary concerned must ensure that it complies with its obligations under the Agreement.

If a third party generates results, the beneficiary concerned must obtain all necessary rights (transfer, licences or other) from the third party, in order to be able to respect its obligations as if those results were generated by the beneficiary itself.

If obtaining the rights is impossible, the beneficiary must refrain from using the third party to generate the results.

### **26.4 Agency ownership, to protect results**

26.4.1 *The Agency* may — with the consent of the beneficiary concerned — assume ownership of results to protect them, if a beneficiary intends — up to four years after the period set out in Article 3 — to disseminate its results without protecting them, except in any of the following cases:

- (a) the lack of protection is because protecting the results is not possible, reasonable or justified (given the circumstances);
- (b) the lack of protection is because there is a lack of potential for commercial or industrial exploitation, or
- (c) the beneficiary intends to transfer the results to another beneficiary or third party established in an EU Member State or associated country, which will protect them.

Before the results are disseminated and unless any of the cases above under Points (a), (b) or (c) applies, the beneficiary must formally notify the *Agency* and at the same time inform it of any reasons for refusing consent. The beneficiary may refuse consent only if it can show that its legitimate interests would suffer significant harm.

If the *Agency* decides to assume ownership, it will formally notify the beneficiary concerned within 45 days of receiving notification.

No dissemination relating to these results may before the end of this period or, if the *Agency* takes a positive decision, until it has taken the necessary steps to protect the results.

26.4.2 *The Agency* may — with the consent of the beneficiary concerned — assume ownership of results to protect them, if a beneficiary intends — up to four years after the period set out in Article 3 — to stop protecting them or not to seek an extension of protection, except in any of the following cases:

- (a) the protection is stopped because of a lack of potential for commercial or industrial exploitation;
- (b) an extension would not be justified given the circumstances.

A beneficiary that intends to stop protecting results or not seek an extension must — unless any of the cases above under Points (a) or (b) applies — formally notify the *Agency* at least 60 days before the protection lapses or its extension is no longer possible and at the same time inform it of any reasons for refusing consent. The beneficiary may refuse consent only if it can show that its legitimate interests would suffer significant harm.

If the *Agency* decides to assume ownership, it will formally notify the beneficiary concerned within 45 days of receiving notification.

## **26.5 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such breaches may also lead to the any of the other measures described in Chapter 6.

## **ARTICLE 27 — PROTECTION OF RESULTS — VISIBILITY OF EU FUNDING**

### **27.1 Obligation to protect the results**

Each beneficiary must examine the possibility of protecting its results and must adequately protect them — for an appropriate period and with appropriate territorial coverage — if:

- (a) the results can reasonably be expected to be commercially or industrially exploited and
- (b) protecting them is possible, reasonable and justified (given the circumstances).

When deciding on protection, the beneficiary must consider its own legitimate interests and the legitimate interests (especially commercial) of the other beneficiaries.

## 27.2 Agency ownership, to protect the results

If a beneficiary intends not to protect its results, to stop protecting them or not seek an extension of protection, *the Agency* may — under certain conditions (see Article 26.4) — assume ownership to ensure their (continued) protection.

## 27.3 Information on EU funding

Applications for protection of results (including patent applications) filed by or on behalf of a beneficiary must — unless the *Agency* requests or agrees otherwise or unless it is impossible — include the following:

*“The project leading to this application has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 693857”.*

## 27.4 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such a breach may also lead to any of the other measures described in Chapter 6.

## ARTICLE 28 — EXPLOITATION OF RESULTS

### 28.1 Obligation to exploit the results

Each beneficiary must — up to four years after the period set out in Article 3 — take measures aiming to ensure ‘**exploitation**’ of its results (either directly or indirectly, in particular through transfer or licensing; see Article 30) by:

- (a) using them in further research activities (outside the action);
- (b) developing, creating or marketing a product or process;
- (c) creating and providing a service, or
- (d) using them in standardisation activities.

This does not change the security obligations in Article 37, which still apply.

### 28.2 Results that could contribute to European or international standards — Information on EU funding

If results are incorporated in a standard, the beneficiary concerned must — unless the *Agency* requests or agrees otherwise or unless it is impossible — ask the standardisation body to include the following statement in (information related to) the standard:

*“Results incorporated in this standard received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 693857”.*

### 28.3 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced in accordance with Article 43.

Such a breach may also lead to any of the other measures described in Chapter 6.

## ARTICLE 29 — DISSEMINATION OF RESULTS — OPEN ACCESS — VISIBILITY OF EU FUNDING

### 29.1 Obligation to disseminate results

Unless it goes against their legitimate interests, each beneficiary must — as soon as possible — ‘**disseminate**’ its results by disclosing them to the public by appropriate means (other than those resulting from protecting or exploiting the results), including in scientific publications (in any medium).

This does not change the obligation to protect results in Article 27, the confidentiality obligations in Article 36, the security obligations in Article 37 or the obligations to protect personal data in Article 39, all of which still apply.

A beneficiary that intends to disseminate its results must give advance notice to the other beneficiaries of — unless agreed otherwise — at least 45 days, together with sufficient information on the results it will disseminate.

Any other beneficiary may object within — unless agreed otherwise — 30 days of receiving notification, if it can show that its legitimate interests in relation to the results or background would be significantly harmed. In such cases, the dissemination may not take place unless appropriate steps are taken to safeguard these legitimate interests.

If a beneficiary intends not to protect its results, it may — under certain conditions (see Article 26.4.1) — need to formally notify the *Agency* before dissemination takes place.

### 29.2 Open access to scientific publications

Each beneficiary must ensure open access (free of charge online access for any user) to all peer-reviewed scientific publications relating to its results.

In particular, it must:

- (a) as soon as possible and at the latest on publication, deposit a machine-readable electronic copy of the published version or final peer-reviewed manuscript accepted for publication in a repository for scientific publications;

Moreover, the beneficiary must aim to deposit at the same time the research data needed to validate the results presented in the deposited scientific publications.

- (b) ensure open access to the deposited publication — via the repository — at the latest:
  - (i) on publication, if an electronic version is available for free via the publisher, or

- (ii) within six months of publication (twelve months for publications in the social sciences and humanities) in any other case.
- (c) ensure open access — via the repository — to the bibliographic metadata that identify the deposited publication.

The bibliographic metadata must be in a standard format and must include all of the following:

- the terms “*European Union (EU)*” and “*Horizon 2020*”;
- the name of the action, acronym and grant number;
- the publication date, and length of embargo period if applicable, and
- a persistent identifier.

### **29.3 Open access to research data**

*Not applicable*

### **29.4 Information on EU funding — Obligation and right to use the EU emblem**

Unless the *Agency* requests or agrees otherwise or unless it is impossible, any dissemination of results (in any form, including electronic) must:

- (a) display the EU emblem and
- (b) include the following text:

*“This project has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 693857”.*

When displayed together with another logo, the EU emblem must have appropriate prominence.

For the purposes of their obligations under this Article, the beneficiaries may use the EU emblem without first obtaining approval from the *Agency*.

This does not however give them the right to exclusive use.

Moreover, they may not appropriate the EU emblem or any similar trademark or logo, either by registration or by any other means.

### **29.5 Disclaimer excluding *Agency* responsibility**

Any dissemination of results must indicate that it reflects only the author's view and that the *Agency* is not responsible for any use that may be made of the information it contains.

### **29.6 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).



Such a breach may also lead to any of the other measures described in Chapter 6.

## **ARTICLE 30 — TRANSFER AND LICENSING OF RESULTS**

### **30.1 Transfer of ownership**

Each beneficiary may transfer ownership of its results.

It must however ensure that its obligations under Articles 26.2, 26.4, 27, 28, 29, 30 and 31 also apply to the new owner and that this owner has the obligation to pass them on in any subsequent transfer.

This does not change the security obligations in Article 37, which still apply.

Unless agreed otherwise (in writing) for specifically-identified third parties or unless impossible under applicable EU and national laws on mergers and acquisitions, a beneficiary that intends to transfer ownership of results must give at least 45 days advance notice (or less if agreed in writing) to the other beneficiaries that still have (or still may request) access rights to the results. This notification must include sufficient information on the new owner to enable any beneficiary concerned to assess the effects on its access rights.

Unless agreed otherwise (in writing) for specifically-identified third parties, any other beneficiary may object within 30 days of receiving notification (or less if agreed in writing), if it can show that the transfer would adversely affect its access rights. In this case, the transfer may not take place until agreement has been reached between the beneficiaries concerned.

### **30.2 Granting licenses**

Each beneficiary may grant licences to its results (or otherwise give the right to exploit them), if:

- (a) this does not impede the rights under Article 31 and
- (b) *not applicable*.

In addition to Points (a) and (b), exclusive licences for results may be granted only if all the other beneficiaries concerned have waived their access rights (see Article 31.1).

This does not change the dissemination obligations in Article 29 or security obligations in Article 37, which still apply.

### **30.3 Agency right to object to transfers or licensing**

*Not applicable*

### **30.4 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such a breach may also lead to any of the other measures described in Chapter 6.

## **ARTICLE 31 — ACCESS RIGHTS TO RESULTS**

### **31.1 Exercise of access rights — Waiving of access rights — No sub-licensing**

The conditions set out in Article 25.1 apply.

The obligations set out in this Article do not change the security obligations in Article 37, which still apply.

### **31.2 Access rights for other beneficiaries, for implementing their own tasks under the action**

The beneficiaries must give each other access — on a royalty-free basis — to results needed for implementing their own tasks under the action.

### **31.3 Access rights for other beneficiaries, for exploiting their own results**

The beneficiaries must give each other — under fair and reasonable conditions (see Article 25.3) — access to results needed for exploiting their own results.

Requests for access may be made — unless agreed otherwise — up to one year after the period set out in Article 3.

### **31.4 Access rights of affiliated entities**

Unless agreed otherwise in the consortium agreement, access to results must also be given — under fair and reasonable conditions (Article 25.3) — to affiliated entities established in an EU Member State or associated country, if this is needed for those entities to exploit the results generated by the beneficiaries to which they are affiliated.

Unless agreed otherwise (see above; Article 31.1), the affiliated entity concerned must make any such request directly to the beneficiary that owns the results.

Requests for access may be made — unless agreed otherwise — up to one year after the period set out in Article 3.

### **31.5 Access rights for the EU institutions, bodies, offices or agencies and EU Member States**

*The beneficiaries must give access to their results — on a royalty-free basis — to EU institutions, bodies, offices or agencies, for developing, implementing or monitoring EU policies or programmes.*

*Such access rights are limited to non-commercial and non-competitive use.*

*This does not change the right to use any material, document or information received from the beneficiaries for communication and publicising activities (see Article 38.2).*

### **31.6 Access rights for third parties**

*Not applicable*

### **31.7 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

## **SECTION 4 OTHER RIGHTS AND OBLIGATIONS**

### **ARTICLE 32 — RECRUITMENT AND WORKING CONDITIONS FOR RESEARCHERS**

#### **32.1 Obligation to take measures to implement the European Charter for Researchers and Code of Conduct for the Recruitment of Researchers**

The beneficiaries must take all measures to implement the principles set out in the Commission Recommendation on the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers<sup>22</sup>, in particular regarding:

- working conditions;
- transparent recruitment processes based on merit, and
- career development.

The beneficiaries must ensure that researchers and third parties involved in the action are aware of them.

#### **32.2 Consequences of non-compliance**

If a beneficiary breaches its obligations under this Article, the *Agency* may apply any of the measures described in Chapter 6.

### **ARTICLE 33 — GENDER EQUALITY**

#### **33.1 Obligation to aim for gender equality**

The beneficiaries must take all measures to promote equal opportunities between men and women in the implementation of the action. They must aim, to the extent possible, for a gender balance at all levels of personnel assigned to the action, including at supervisory and managerial level.

#### **33.2 Consequences of non-compliance**

If a beneficiary breaches its obligations under this Article, the *Agency* may apply any of the measures described in Chapter 6.

### **ARTICLE 34 — ETHICS**

#### **34.1 Obligation to comply with ethical principles**

The beneficiaries must carry out the action in compliance with:

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<sup>22</sup> Commission Recommendation 2005/251/EC of 11 March 2005 on the European Charter for Researchers and on a Code of Conduct for the Recruitment of Researchers (OJ L 75, 22.3.2005, p. 67).

- (a) ethical principles (including the highest standards of research integrity — as set out, for instance, in the European Code of Conduct for Research Integrity<sup>23</sup> — and including, in particular, avoiding fabrication, falsification, plagiarism or other research misconduct) and
- (b) applicable international, EU and national law.

Funding will not be granted for activities carried out outside the EU if they are prohibited in all Member States.

The beneficiaries must ensure that the activities under the action have an exclusive focus on civil applications.

The beneficiaries must ensure that the activities under the action do not:

- (a) aim at human cloning for reproductive purposes;
- (b) intend to modify the genetic heritage of human beings which could make such changes heritable (with the exception of research relating to cancer treatment of the gonads, which may be financed), or
- (c) intend to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.

### 34.2 Activities raising ethical issues

Activities raising ethical issues must comply with the ‘**ethics requirements**’ set out in Annex 1.

Before the beginning of an activity raising an ethical issue, the coordinator must submit (see Article 52) to the *Agency* copy of:

- (a) any ethics committee opinion required under national law and
- (b) any notification or authorisation for activities raising ethical issues required under national law.

If these documents are not in English, the coordinator must also submit an English summary of the submitted opinions, notifications and authorisations (containing, if available, the conclusions of the committee or authority concerned).

If these documents are specifically requested for the action, the request must contain an explicit reference to the action title. The coordinator must submit a declaration by each beneficiary concerned that all the submitted documents cover the action tasks.

### 34.3 Activities involving human embryos or human embryonic stem cells

Activities involving research on human embryos or human embryonic stem cells may be carried out only if:

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<sup>23</sup> The European Code of Conduct for Research Integrity of ALLEA (All European Academies) and ESF (European Science Foundation) of March 2011.

[http://www.esf.org/fileadmin/Public\\_documents/Publications/Code\\_Conduct\\_ResearchIntegrity.pdf](http://www.esf.org/fileadmin/Public_documents/Publications/Code_Conduct_ResearchIntegrity.pdf)

- they are set out in Annex 1 or
- the coordinator has obtained explicit approval (in writing) from the *Agency* (see Article 52).

#### **34.4 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43) and the Agreement or participation of the beneficiary may be terminated (see Article 50).

Such breaches may also lead to any of the other measures described in Chapter 6.

### **ARTICLE 35 — CONFLICT OF INTERESTS**

#### **35.1 Obligation to avoid a conflict of interests**

The beneficiaries must take all measures to prevent any situation where the impartial and objective implementation of the action is compromised for reasons involving economic interest, political or national affinity, family or emotional ties or any other shared interest (**‘conflict of interests’**).

They must formally notify to the *Agency* without delay any situation constituting or likely to lead to a conflict of interests and immediately take all the necessary steps to rectify this situation.

The *Agency* may verify that the measures taken are appropriate and may require additional measures to be taken by a specified deadline.

#### **35.2 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43) and the Agreement or participation of the beneficiary may be terminated (see Article 50).

Such breaches may also lead to any of the other measures described in Chapter 6.

### **ARTICLE 36 — CONFIDENTIALITY**

#### **36.1 General obligation to maintain confidentiality**

During implementation of the action and for four years after the period set out in Article 3, the parties must keep confidential any data, documents or other material (in any form) that is identified as confidential at the time it is disclosed (**‘confidential information’**).

If a beneficiary requests, the *Agency* may agree to keep such information confidential for an additional period beyond the initial four years.

If information has been identified as confidential only orally, it will be considered to be confidential only if this is confirmed in writing within 15 days of the oral disclosure.

Unless otherwise agreed between the parties, they may use confidential information only to implement the Agreement.

The beneficiaries may disclose confidential information to their personnel or third parties involved in the action only if they:

- (a) need to know to implement the Agreement and
- (b) are bound by an obligation of confidentiality.

This does not change the security obligations in Article 37, which still apply.

The *Agency* may disclose confidential information to its staff, other EU institutions and bodies or third parties, if:

- (a) this is necessary to implement the Agreement or safeguard the EU's financial interests and
- (b) the recipients of the information are bound by an obligation of confidentiality.

Under the conditions set out in Article 4 of the Rules for Participation Regulation No 1290/2013<sup>24</sup>, the Commission must moreover make available information on the results to other EU institutions, bodies, offices or agencies as well as Member States or associated countries.

The confidentiality obligations no longer apply if:

- (a) the disclosing party agrees to release the other party;
- (b) the information was already known by the recipient or is given to him without obligation of confidentiality by a third party that was not bound by any obligation of confidentiality;
- (c) the recipient proves that the information was developed without the use of confidential information;
- (d) the information becomes generally and publicly available, without breaching any confidentiality obligation, or
- (e) the disclosure of the information is required by EU or national law.

## **36.2 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

## **ARTICLE 37 — SECURITY-RELATED OBLIGATIONS**

### **37.1 Results with a security recommendation**

*Not applicable*

### **37.2 Classified results**

*Not applicable*

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<sup>24</sup> Regulation (EU) No 1290/2013 of the European Parliament and of the Council of 11 December 2013 laying down the rules for participation and dissemination in "Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)" (OJ L 347, 20.12.2013 p.81).

### **37.3 Activities involving dual-use goods or dangerous materials and substances**

*Not applicable*

### **37.4 Consequences of non-compliance**

*Not applicable*

## **ARTICLE 38 — PROMOTING THE ACTION — VISIBILITY OF EU FUNDING**

### **38.1 Communication activities by beneficiaries**

#### **38.1.1 Obligation to promote the action and its results**

The beneficiaries must promote the action and its results, by providing targeted information to multiple audiences (including the media and the public) in a strategic and effective manner.

This does not change the dissemination obligations in Article 29, the confidentiality obligations in Article 36 or the security obligations in Article 37, all of which still apply.

Before engaging in a communication activity expected to have a major media impact, the beneficiaries must inform the *Agency* (see Article 52).

#### **38.1.2 Information on EU funding — Obligation and right to use the EU emblem**

Unless the *Agency* requests or agrees otherwise or unless it is impossible, any communication activity related to the action (including in electronic form, via social media, etc.) and any infrastructure, equipment and major results funded by the grant must:

- (a) display the EU emblem and
- (b) include the following text:

For communication activities: *“This project has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 693857”.*

For infrastructure, equipment and major results: *“This [infrastructure][equipment][insert type of result] is part of a project that has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 693857”.*

When displayed together with another logo, the EU emblem must have appropriate prominence.

For the purposes of their obligations under this Article, the beneficiaries may use the EU emblem without first obtaining approval from the *Agency*.

This does not, however, give them the right to exclusive use.

Moreover, they may not appropriate the EU emblem or any similar trademark or logo, either by registration or by any other means.

#### **38.1.3 Disclaimer excluding *Agency* responsibility**

Any communication activity related to the action must indicate that it reflects only the author's view and that the *Agency* is not responsible for any use that may be made of the information it contains.

## 38.2 Communication activities by the *Agency*

### 38.2.1 Right to use beneficiaries' materials, documents or information

The *Agency* may use, for its communication and publicising activities, information relating to the action, documents notably summaries for publication and public deliverables as well as any other material, such as pictures or audio-visual material that it receives from any beneficiary (including in electronic form).

This does not change the confidentiality obligations in Article 36 and the security obligations in Article 37, all of which still apply.

However, if the *Agency's* use of these materials, documents or information would risk compromising legitimate interests, the beneficiary concerned may request the *Agency* not to use it (see Article 52).

The right to use a beneficiary's materials, documents and information includes:

- (a) **use for its own purposes** (in particular, making them available to persons working for the *Agency* or any other EU institution, body, office or agency or body or institutions in EU Member States; and copying or reproducing them in whole or in part, in unlimited numbers);
- (b) **distribution to the public** (in particular, publication as hard copies and in electronic or digital format, publication on the internet, as a downloadable or non-downloadable file, broadcasting by any channel, public display or presentation, communicating through press information services, or inclusion in widely accessible databases or indexes);
- (c) **editing or redrafting** for communication and publicising activities (including shortening, summarising, inserting other elements (such as meta-data, legends, other graphic, visual, audio or text elements), extracting parts (e.g. audio or video files), dividing into parts, use in a compilation);
- (d) **translation**;
- (e) giving **access in response to individual requests** under Regulation No 1049/2001<sup>25</sup>, without the right to reproduce or exploit;
- (f) **storage** in paper, electronic or other form;
- (g) **archiving**, in line with applicable document-management rules, and
- (h) the right to authorise **third parties** to act on its behalf or sub-license the modes of use set out in Points (b),(c),(d) and (f) to third parties if needed for the communication and publicising activities of the *Agency*.

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<sup>25</sup> Regulation (EC) No 1049/2001 of the European Parliament and of the Council of 30 May 2001 regarding public access to European Parliament, Council and Commission documents, OJ L 145, 31.5.2001, p. 43.



If the right of use is subject to rights of a third party (including personnel of the beneficiary), the beneficiary must ensure that it complies with its obligations under this Agreement (in particular, by obtaining the necessary approval from the third parties concerned).

Where applicable (and if provided by the beneficiaries), the *Agency* will insert the following information:

“© – [year] – [name of the copyright owner]. All rights reserved. Licensed to the *Research Executive Agency (REA)* under conditions.”

### **38.3 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

## **ARTICLE 39 — PROCESSING OF PERSONAL DATA**

### **39.1 Processing of personal data by the *Agency and the Commission***

Any personal data under the Agreement will be processed by the *Agency or the Commission* under Regulation No 45/2001<sup>26</sup> and according to the ‘notifications of the processing operations’ to the Data Protection Officer (DPO) of the *Agency or the Commission* (publicly accessible in the DPO register).

Such data will be processed by the ‘**data controller**’ of the *Agency or the Commission* for the purposes of implementing, managing and monitoring the Agreement or protecting the financial interests of the EU or Euratom (including checks, reviews, audits and investigations; see Article 22).

The persons whose personal data are processed have the right to access and correct their own personal data. For this purpose, they must send any queries about the processing of their personal data to the data controller, via the contact point indicated in the ‘service specific privacy statement(s) (SSPS)’ that are published on the *Agency and the Commission* websites.

They also have the right to have recourse at any time to the European Data Protection Supervisor (EDPS).

### **39.2 Processing of personal data by the beneficiaries**

The beneficiaries must process personal data under the Agreement in compliance with applicable EU and national law on data protection (including authorisations or notification requirements).

The beneficiaries may grant their personnel access only to data that is strictly necessary for implementing, managing and monitoring the Agreement.

The beneficiaries must inform the personnel whose personal data are collected and processed by the *Agency or the Commission*. For this purpose, they must provide them with the service specific privacy statement (SSPS) (see above), before transmitting their data to the *Agency or the Commission*.

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<sup>26</sup> Regulation (EC) No 45/2001 of the European Parliament and of the Council of 18 December 2000 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data (OJ L 8, 12.01.2001, p. 1).

### 39.3 Consequences of non-compliance

If a beneficiary breaches any of its obligations under Article 39.2, the *Agency* may apply any of the measures described in Chapter 6.

#### ARTICLE 40 — ASSIGNMENTS OF CLAIMS FOR PAYMENT AGAINST THE *AGENCY*

The beneficiaries may not assign any of their claims for payment against the *Agency* to any third party, except if approved by the *Agency* on the basis of a reasoned, written request by the coordinator (on behalf of the beneficiary concerned).

If the *Agency* has not accepted the assignment or the terms of it are not observed, the assignment will have no effect on it.

In no circumstances will an assignment release the beneficiaries from their obligations towards the *Agency*.

## CHAPTER 5 DIVISION OF BENEFICIARIES' ROLES AND RESPONSIBILITIES

### ARTICLE 41 — DIVISION OF BENEFICIARIES' ROLES AND RESPONSIBILITIES — RELATIONSHIP WITH COMPLEMENTARY BENEFICIARIES — RELATIONSHIP WITH PARTNERS OF A JOINT ACTION

#### 41.1 Roles and responsibilities towards the *Agency*

The beneficiaries have full responsibility for implementing the action and complying with the Agreement.

The beneficiaries are jointly and severally liable for the **technical implementation** of the action as described in Annex 1. If a beneficiary fails to implement its part of the action, the other beneficiaries become responsible for implementing this part (without being entitled to any additional EU funding for doing so), unless the *Agency* expressly relieves them of this obligation.

The **financial responsibility** of each beneficiary is governed by Articles 44, 45 and 46.

#### 41.2 Internal division of roles and responsibilities

The internal roles and responsibilities of the beneficiaries are divided as follows:

(a) Each **beneficiary** must:

- (i) keep information stored in the 'Beneficiary Register' (via the electronic exchange system) up to date (see Article 17);
- (ii) inform the coordinator immediately of any events or circumstances likely to affect significantly or delay the implementation of the action (see Article 17);
- (iii) submit to the coordinator in good time:

- individual financial statements for itself and, if required, certificates on the financial statements (see Article 20);
- the data needed to draw up the technical reports (see Article 20);
- ethics committee opinions and notifications or authorisations for activities raising ethical issues (see Article 34);
- any other documents or information required by the *Agency or the Commission* under the Agreement, unless the Agreement requires the beneficiary to submit this information directly to the *Agency or the Commission*.

(b) The **coordinator** must:

- (i) monitor that the action is implemented properly (see Article 7);
- (ii) act as the intermediary for all communications between the beneficiaries and the *Agency* (in particular, providing the *Agency* with the information described in Article 17), unless the Agreement specifies otherwise;
- (iii) request and review any documents or information required by the *Agency* and verify their completeness and correctness before passing them on to the *Agency*;
- (iv) submit the deliverables and reports to the *Agency* (see Articles 19 and 20);
- (v) ensure that all payments are made to the other beneficiaries without unjustified delay (see Article 21);
- (vi) inform the *Agency* of the amounts paid to each beneficiary, when required under the Agreement (see Articles 44 and 50) or requested by the *Agency*.

The coordinator may not delegate the above-mentioned tasks to any other beneficiary or subcontract them to any third party.

### 41.3 Internal arrangements between beneficiaries — Consortium agreement

*The beneficiaries must have internal arrangements regarding their operation and co-ordination to ensure that the action is implemented properly. These internal arrangements must be set out in a written ‘consortium agreement’ between the beneficiaries, which may cover:*

- *internal organisation of the consortium;*
- *management of access to the electronic exchange system;*
- *distribution of EU funding;*
- *additional rules on rights and obligations related to background and results (including whether access rights remain or not, if a beneficiary is in breach of its obligations) (see Section 3 of Chapter 4);*

- *settlement of internal disputes;*
- *liability, indemnification and confidentiality arrangements between the beneficiaries.*

*The consortium agreement must not contain any provision contrary to the Agreement.*

#### **41.4 Relationship with complementary beneficiaries — Collaboration agreement**

*Not applicable*

#### **41.5 Relationship with partners of a joint action — Coordination agreement**

*Not applicable*

### **CHAPTER 6 REJECTION OF COSTS — REDUCTION OF THE GRANT — RECOVERY — PENALTIES — DAMAGES — SUSPENSION — TERMINATION — FORCE MAJEURE**

#### **SECTION 1 REJECTION OF COSTS — REDUCTION OF THE GRANT — RECOVERY — PENALTIES**

#### **ARTICLE 42 — REJECTION OF INELIGIBLE COSTS**

##### **42.1 Conditions**

42.1.1 The *Agency* will — at the time of an **interim payment**, at the **payment of the balance** or **afterwards** — reject any costs which are ineligible (see Article 6), in particular following checks, reviews, audits or investigations (see Article 22).

42.1.2 The rejection may also be based on the **extension of findings from other grants to this grant**, under the conditions set out in Article 22.5.2.

##### **42.2 Ineligible costs to be rejected — Calculation — Procedure**

Ineligible costs will be rejected in full.

If the *Agency* rejects costs **without reduction of the grant** (see Article 43) or **recovery of undue amounts** (see Article 44), it will formally notify the coordinator or beneficiary concerned the rejection of costs, the amounts and the reasons why (if applicable, together with the notification of amounts due; see Article 21.5). The coordinator or beneficiary concerned may — within 30 days of receiving notification — formally notify the *Agency* of its disagreement and the reasons why.

If the *Agency* rejects costs **with reduction of the grant** or **recovery of undue amounts**, it will formally notify the rejection in the ‘**pre-information letter**’ on reduction or recovery set out in Articles 43 and 44.

##### **42.3 Effects**

If the *Agency* rejects costs at the time of an **interim payment** or **the payment of the balance**, it will deduct them from the total eligible costs declared, for the action, in the periodic or final summary

financial statement (see Articles 20.3 and 20.4). It will then calculate the interim payment or payment of the balance as set out in Articles 21.3 or 21.4.

If the *Agency* — **after an interim payment but before the payment of the balance** — rejects costs declared in a periodic summary financial statement, it will deduct them from the total eligible costs declared, for the action, in the next periodic summary financial statement or in the final summary financial statement. It will then calculate the interim payment or payment of the balance as set out in Articles 21.3 or 21.4.

If the *Agency* rejects costs **after the payment of the balance**, it will deduct the amount rejected from the total eligible costs declared, by the beneficiary, in the final summary financial statement. It will then calculate the revised final grant amount as set out in Article 5.4.

## ARTICLE 43 — REDUCTION OF THE GRANT

### 43.1 Conditions

43.1.1 The *Agency* may — **at the payment of the balance or afterwards** — reduce the maximum grant amount (see Article 5.1), if the action has not been implemented properly as described in Annex 1 or another obligation under the Agreement has been breached.

43.1.2 The *Agency* may also reduce the maximum grant amount on the basis of the **extension of findings from other grants to this grant**, under the conditions set out in Article 22.5.2.

### 43.2 Amount to be reduced — Calculation — Procedure

The amount of the reduction will be proportionate to the improper implementation of the action or to the seriousness of the breach.

Before reduction of the grant, the *Agency* will formally notify a ‘**pre-information letter**’ to the coordinator or beneficiary concerned:

- informing it of its intention to reduce the grant, the amount it intends to reduce and the reasons why and
- inviting it to submit observations within 30 days of receiving notification

If the *Agency* does not receive any observations or decides to pursue reduction despite the observations it has received, it will formally notify **confirmation** of the reduction (if applicable, together with the notification of amounts due; see Article 21).

### 43.3 Effects

If the *Agency* reduces the grant at the time of **the payment of the balance**, it will calculate the reduced grant amount for the action and then determine the amount due as payment of the balance (see Articles 5.3.4 and 21.4).

If the *Agency* reduces the grant **after the payment of the balance**, it will calculate the revised final grant amount for the beneficiary concerned (see Article 5.4). If the revised final grant amount for the beneficiary concerned is lower than its share of the final grant amount, the *Agency* will recover the difference (see Article 44).

## ARTICLE 44 — RECOVERY OF UNDUE AMOUNTS

### 44.1 Amount to be recovered — Calculation — Procedure

The *Agency* will — after **termination of the participation of a beneficiary, at the payment of the balance or afterwards** — claim back any amount that was paid but is not due under the Agreement.

Each beneficiary's financial responsibility in case of recovery is limited to its own debt, except for the amount retained for the Guarantee Fund (see Article 21.4).

#### 44.1.1 Recovery after termination of a beneficiary's participation

If recovery takes place after termination of a beneficiary's participation (including the coordinator), the *Agency* will claim back the undue amount from the beneficiary concerned, by formally notifying it a debit note (see Article 50.2 and 50.3). This note will specify the amount to be recovered, the terms and the date for payment.

If payment is not made by the date specified in the debit note, the *Agency or the Commission* will **recover** the amount:

- (a) by '**offsetting**' it — without the beneficiary's consent — against any amounts owed to the beneficiary concerned by the *Agency, the Commission* or *another* executive agency (from the EU or Euratom budget).

In exceptional circumstances, to safeguard the EU's financial interests, the *Agency* may offset before the payment date specified in the debit note;

- (b) *not applicable*;

- (c) by **taking legal action** (see Article 57) or by **adopting an enforceable decision** under Article 299 of the Treaty on the Functioning of the EU (TFEU) and Article 79(2) of the Financial regulation No 966/2012.

If payment is not made by the date specified in the debit note, the amount to be recovered (see above) will be increased by **late-payment interest** at the rate set out in Article 21.11, from the day following the payment date in the debit note, up to and including the date the *Agency or the Commission* receives full payment of the amount.

Partial payments will be first credited against expenses, charges and late-payment interest and then against the principal.

Bank charges incurred in the recovery process will be borne by the beneficiary, unless Directive 2007/64/EC<sup>27</sup> applies.

#### 44.1.2 Recovery at payment of the balance

If the payment of the balance takes the form of a recovery (see Article 21.4), the *Agency* will formally notify a '**pre-information letter**' to the coordinator:

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<sup>27</sup> Directive 2007/64/EC of the European Parliament and of the Council of 13 November 2007 on payment services in the internal market amending Directives 97/7/EC, 2002/65/EC, 2005/60/EC and 2006/48/EC and repealing Directive 97/5/EC (OJ L 319, 05.12.2007, p. 1).

- informing it of its intention to recover, the amount due as the balance and the reasons why;
- specifying that it intends to deduct the amount to be recovered from the amount retained for the Guarantee Fund;
- requesting the coordinator to submit a report on the distribution of payments to the beneficiaries within 30 days of receiving notification, and
- inviting the coordinator to submit observations within 30 days of receiving notification.

If no observations are submitted or the *Agency* decides to pursue recovery despite the observations it has received, it will **confirm recovery** (together with the notification of amounts due; see Article 21.5) and:

- pay the difference between the amount to be recovered and the amount retained for the Guarantee Fund, **if the difference is positive** or
- formally notify to the coordinator a **debit note** for the difference between the amount to be recovered and the amount retained for the Guarantee Fund, **if the difference is negative**. This note will also specify the terms and the date for payment.

If the coordinator does not repay the *Agency* by the date in the debit note and has not submitted the report on the distribution of payments: the *Agency* or the Commission will **recover** the amount set out in the debit note from the coordinator (see below).

If the coordinator does not repay the *Agency* by the date in the debit note, but has submitted the report on the distribution of payments: the *Agency* will:

- (a) identify the beneficiaries for which the amount calculated as follows is negative:

$\left\{ \left\{ \left\{ \text{beneficiary's costs declared in the final summary financial statement and approved by the } \right. \right. \right.$   
*Agency* multiplied by the reimbursement rate set out in Article 5.2 for the beneficiary concerned}

divided by

the EU contribution for the action calculated according to Article 5.3.1 }

multiplied by

the final grant amount (see Article 5.3)},

minus

{pre-financing and interim payments received by the beneficiary} }.

- (b) formally notify to each beneficiary identified according to point (a) a **debit note** specifying the terms and date for payment. The amount of the debit note is calculated as follows:

{amount calculated according to point (a) for the beneficiary concerned

divided by

the sum of the amounts calculated according to point (a) for all the beneficiaries identified according to point (a)}

multiplied by

the amount set out in the debit note formally notified to the coordinator}.

If payment is not made by the date specified in the debit note, the *Agency* will **recover** the amount:

- (a) by ‘**offsetting**’ it — without the beneficiary’s consent — against any amounts owed to the beneficiary concerned by the *Agency*, *the Commission* or *another* executive agency (from the EU or Euratom budget).

In exceptional circumstances, to safeguard the EU’s financial interests, the *Agency* may offset before the payment date specified in the debit note;

- (b) by **drawing on the Guarantee Fund**. The *Agency or the Commission* will formally notify the beneficiary concerned the debit note on behalf of the Guarantee Fund and recover the amount:

(i) *not applicable*;

- (ii) by **taking legal action** (see Article 57) or by **adopting an enforceable decision** under Article 299 of the Treaty on the Functioning of the EU (TFEU) and Article 79(2) of the Financial Regulation No 966/2012.

If payment is not made by the date in the debit note, the amount to be recovered (see above) will be increased by **late-payment interest** at the rate set out in Article 21.11, from the day following the payment date in the debit note, up to and including the date the *Agency or the Commission* receives full payment of the amount.

Partial payments will be first credited against expenses, charges and late-payment interest and then against the principal.

Bank charges incurred in the recovery process will be borne by the beneficiary, unless Directive 2007/64/EC applies.

#### 44.1.3 Recovery of amounts after payment of the balance

If, for a beneficiary, the revised final grant amount (see Article 5.4) is lower than its share of the final grant amount, it must repay the difference to the *Agency*.

The beneficiary’s share of the final grant amount is calculated as follows:

{ {beneficiary’s costs declared in the final summary financial statement and approved by the *Agency* multiplied by the reimbursement rate set out in Article 5.2 for the beneficiary concerned}

divided by

the EU contribution for the action calculated according to Article 5.3.1 }

multiplied by



the final grant amount (see Article 5.3)}.

If the coordinator has not distributed amounts received (see Article 21.7), the *Agency* will also recover these amounts.

The *Agency* will formally notify a **pre-information letter** to the beneficiary concerned:

- informing it of its intention to recover, the due amount and the reasons why and
- inviting it to submit observations within 30 days of receiving notification.

If no observations are submitted or the *Agency* decides to pursue recovery despite the observations it has received, it will **confirm** the amount to be recovered and formally notify to the beneficiary concerned a **debit note**. This note will also specify the terms and the date for payment.

If payment is not made by the date specified in the debit note, the *Agency* will **recover** the amount:

- (a) by '**offsetting**' it — without the beneficiary's consent — against any amounts owed to the beneficiary concerned by the *Agency*, the Commission or another executive agency (from the EU or Euratom budget).

In exceptional circumstances, to safeguard the EU's financial interests, the *Agency* may offset before the payment date specified in the debit note;

- (b) by **drawing on the Guarantee Fund**. The *Agency or the Commission* will formally notify the beneficiary concerned the debit note on behalf of the Guarantee Fund and recover the amount:

- (i) *not applicable*;

- (ii) by **taking legal action** (see Article 57) or by **adopting an enforceable decision** under Article 299 of the Treaty on the Functioning of the EU (TFEU) and Article 79(2) of the Financial Regulation No 966/2012.

If payment is not made by the date in the debit note, the amount to be recovered (see above) will be increased by **late-payment interest** at the rate set out in Article 21.11, from the day following the date for payment in the debit note, up to and including the date the *Agency or the Commission* receives full payment of the amount.

Partial payments will be first credited against expenses, charges and late-payment interest and then against the principal.

Bank charges incurred in the recovery process will be borne by the beneficiary, unless Directive 2007/64/EC applies.

## **ARTICLE 45 — ADMINISTRATIVE AND FINANCIAL PENALTIES**

### **45.1 Conditions**

Under Articles 109 and 131(4) of the Financial Regulation No 966/2012, the *Agency* may impose **administrative** and **financial penalties** if a beneficiary:

- (a) has committed substantial errors, irregularities or fraud or is in serious breach of its obligations under the Agreement or
- (b) has made false declarations about information required under the Agreement or for the submission of the proposal (or has not supplied such information).

Each beneficiary is responsible for paying the financial penalties imposed on it.

Under Article 109(3) of the Financial Regulation No 966/2012, the *Agency or the Commission* may — under certain conditions and limits — publish decisions imposing administrative or financial penalties.

#### 45.2 Duration — Amount of penalty — Calculation

**Administrative penalties** exclude the beneficiary from all contracts and grants financed from the EU or Euratom budget for a maximum of five years from the date the infringement is established by the *Agency*.

If the beneficiary commits another infringement within five years of the date the first infringement is established, the *Agency* may extend the exclusion period up to 10 years.

**Financial penalties** will be between 2% and 10% of the maximum EU contribution indicated, for the beneficiary concerned, in the estimated budget (see Annex 2).

If the beneficiary commits another infringement within five years of the date the first infringement is established, the *Agency* may increase the rate of financial penalties to between 4% and 20%.

#### 45.3 Procedure

Before applying a penalty, the *Agency* will formally notify the beneficiary concerned:

- informing it of its intention to impose a penalty, its duration or amount and the reasons why and
- inviting it to submit observations within 30 days.

If the *Agency* does not receive any observations or decides to impose the penalty despite of observations it has received, it will formally notify **confirmation** of the penalty to the beneficiary concerned and — in case of financial penalties — deduct the penalty from the payment of the balance or formally notify a **debit note**, specifying the amount to be recovered, the terms and the date for payment.

If payment is not made by the date specified in the debit note, the *Agency or the Commission* may **recover** the amount:

- (a) by ‘**offsetting**’ it — without the beneficiary’s consent — against any amounts owed to the beneficiary concerned by the *Agency*, the Commission or another executive agency (from the EU or Euratom budget).

In exceptional circumstances, to safeguard the EU’s financial interests, the *Agency* may offset before the payment date specified in the debit note;

(b) by **taking legal action** (see Article 57) or by **adopting an enforceable decision** under Article 299 of the Treaty on the Functioning of the EU (TFEU) and Article 79(2) of the Financial Regulation No 966/2012.

If payment is not made by the date in the debit note, the amount to be recovered (see above) will be increased by **late-payment interest** at the rate set out in Article 21.11, from the day following the payment date in the debit note, up to and including the date the *Agency or the Commission* receives full payment of the amount.

Partial payments will be first credited against expenses, charges and late-payment interest and then against the principal.

Bank charges incurred in the recovery process will be borne by the beneficiary, unless Directive 2007/64/EC applies.

## **SECTION 2 LIABILITY FOR DAMAGES**

### **ARTICLE 46 — LIABILITY FOR DAMAGES**

#### **46.1 Liability of the *Agency***

The *Agency* cannot be held liable for any damage caused to the beneficiaries or to third parties as a consequence of implementing the Agreement, including for gross negligence.

The *Agency* cannot be held liable for any damage caused by any of the beneficiaries or third parties involved in the action, as a consequence of implementing the Agreement.

#### **46.2 Liability of the beneficiaries**

##### **46.2.1 Conditions**

Except in case of force majeure (see Article 51), the beneficiaries must compensate the *Agency* for any damage it sustains as a result of the implementation of the action or because the action was not implemented in full compliance with the Agreement.

Each beneficiary is responsible for paying the damages claimed from it.

##### **46.2.2 Amount of damages - Calculation**

The amount the *Agency* can claim from a beneficiary will correspond to the damage caused by that beneficiary.

##### **46.2.3 Procedure**

Before claiming damages, the *Agency* will formally notify the beneficiary concerned:

- informing it of its intention to claim damages, the amount and the reasons why and
- inviting it to submit observations within 30 days.

If the *Agency* does not receive any observations or decides to claim damages despite the observations it has received, it will formally notify **confirmation** of the claim for damages and a **debit note**, specifying the amount to be recovered, the terms and the date for payment.

If payment is not made by the date specified in the debit note, the *Agency or the Commission* may **recover** the amount:

- (a) by ‘**offsetting**’ it — without the beneficiary’s consent — against any amounts owed to the beneficiary concerned by the *Agency*, the Commission or another executive agency (from the EU or Euratom budget).

In exceptional circumstances, to safeguard the EU’s financial interests, the *Agency* may offset before the payment date specified in the debit note;

- (b) by **taking legal action** (see Article 57) or by **adopting an enforceable decision** under Article 299 of the Treaty on the Functioning of the EU (TFEU) and Article 79(2) of the Financial Regulation No 966/2012.

If payment is not made by the date in the debit note, the amount to be recovered (see above) will be increased by **late-payment interest** at the rate set out in Article 21.11, from the day following the payment date in the debit note, up to and including the date the *Agency or the Commission* receives full payment of the amount.

Partial payments will be first credited against expenses, charges and late-payment interest and then against the principal.

Bank charges incurred in the recovery process will be borne by the beneficiary, unless Directive 2007/64/EC applies.

### **SECTION 3 SUSPENSION AND TERMINATION**

#### **ARTICLE 47 — SUSPENSION OF PAYMENT DEADLINE**

##### **47.1 Conditions**

The *Agency* may — at any moment — suspend the payment deadline (see Article 21.2 to 21.4) if a request for payment (see Article 20) cannot be approved because:

- (a) it does not comply with the provisions of the Agreement (see Article 20);
- (b) the technical reports or financial reports have not been submitted or are not complete or additional information is needed, or
- (c) there is doubt about the eligibility of the costs declared in the financial statements and additional checks, reviews, audits or investigations are necessary.

##### **47.2 Procedure**

The *Agency* will formally notify the coordinator of the suspension and the reasons why.

The suspension will **take effect** the day notification is sent by the *Agency* (see Article 52).

If the conditions for suspending the payment deadline are no longer met, the suspension will be **lifted** — and the remaining period will resume.

If the suspension exceeds two months, the coordinator may request the *Agency* if the suspension will continue.

If the payment deadline has been suspended due to the non-compliance of the technical or financial reports (see Article 20) and the revised report or statement is not submitted or was submitted but is also rejected, the *Agency* may also terminate the Agreement or the participation of the beneficiary (see Article 50.3.1(l)).

## ARTICLE 48 — SUSPENSION OF PAYMENTS

### 48.1 Conditions

The *Agency* may — at any moment — suspend, in whole or in part, the pre-financing payment and interim payments for one or more beneficiaries or the payment of the balance for all beneficiaries, if a beneficiary:

- (a) has committed or is suspected of having committed substantial errors, irregularities, fraud or serious breach of obligations in the award procedure or under this Agreement or
- (b) has committed — in other EU or Euratom grants awarded to it under similar conditions — systemic or recurrent errors, irregularities, fraud or serious breach of obligations that have a material impact on this grant (**extension of findings from other grants to this grant**; see Article 22.5.2).

### 48.2 Procedure

Before suspending payments, the *Agency* will formally notify the coordinator:

- informing it of its intention to suspend payments and the reasons why and
- inviting it to submit observations within 30 days of receiving notification.

If the *Agency* does not receive observations or decides to pursue the procedure despite the observations it has received, it will formally notify **confirmation** of the suspension. Otherwise, it will formally notify that the suspension procedure is not continued.

The suspension will **take effect** the day the confirmation notification is sent by the *Agency*.

If the conditions for resuming payments are met, the suspension will be **lifted**. The *Agency* will formally notify the coordinator.

During the suspension, the periodic report(s) (see Article 20.3) must not contain any individual financial statements from the beneficiary concerned. When the *Agency* resumes payments, the coordinator may include them in the next periodic report.

The beneficiaries may suspend implementation of the action (see Article 49.1) or terminate the Agreement or the participation of the beneficiary concerned (see Article 50.1 and 50.2).

## ARTICLE 49 — SUSPENSION OF THE ACTION IMPLEMENTATION

### 49.1 Suspension of the action implementation, by the beneficiaries

#### 49.1.1 Conditions

The beneficiaries may suspend implementation of the action or any part of it, if exceptional circumstances — in particular *force majeure* (see Article 51) — make implementation impossible or excessively difficult.

#### 49.1.2 Procedure

The coordinator must immediately formally notify to the *Agency* the suspension (see Article 52), stating:

- the reasons why and
- the expected date of resumption.

The suspension will **take effect** the day this notification is received by the *Agency*.

Once circumstances allow for implementation to resume, the coordinator must immediately formally notify the *Agency* and request an **amendment** of the Agreement to set the date on which the action will be resumed, extend the duration of the action and make other changes necessary to adapt the action to the new situation (see Article 55) — unless the Agreement or the participation of a beneficiary has been terminated (see Article 50).

The suspension will be **lifted** with effect from the resumption date set out in the amendment. This date may be before the date on which the amendment enters into force.

Costs incurred during suspension of the action implementation are not eligible (see Article 6).

### 49.2 Suspension of the action implementation, by the *Agency*

#### 49.2.1 Conditions

The *Agency* may suspend implementation of the action or any part of it:

- (a) if a beneficiary has committed or is suspected of having committed substantial errors, irregularities, fraud or serious breach of obligations in the award procedure or under this Agreement;
- (b) if a beneficiary has committed — in other EU or Euratom grants awarded to it under similar conditions — systemic or recurrent errors, irregularities, fraud or serious breach of obligations that have a material impact on this grant (**extension of findings from other grants to this grant**; see Article 22.5.2), or
- (c) if the action is suspected of having lost its scientific or technological relevance.

#### 49.2.2 Procedure

Before suspending implementation of the action, the *Agency* will formally notify the coordinator:

- informing it of its intention to suspend the implementation and the reasons why and
- inviting it to submit observations within 30 days of receiving notification.

If the *Agency* does not receive observations or decides to pursue the procedure despite the observations it has received, it will formally notify **confirmation** of the suspension. Otherwise, it will formally notify that the procedure is not continued.

The suspension will **take effect** five days after confirmation notification is received by the coordinator (or on a later date specified in the notification).

It will be **lifted** if the conditions for resuming implementation of the action are met.

The coordinator will be formally notified of the lifting and the Agreement will be **amended** to set the date on which the action will be resumed, extend the duration of the action and make other changes necessary to adapt the action to the new situation (see Article 55) — unless the Agreement has already been terminated (see Article 50).

The suspension will be lifted with effect from the resumption date set out in the amendment. This date may be before the date on which the amendment enters into force.

Costs incurred during suspension are not eligible (see Article 6).

The beneficiaries may not claim damages due to suspension by the *Agency* (see Article 46).

Suspension of the action implementation does not affect the *Agency's* right to terminate the Agreement or participation of a beneficiary (see Article 50), reduce the grant or recover amounts unduly paid (see Articles 43 and 44).

## **ARTICLE 50 — TERMINATION OF THE AGREEMENT OR OF THE PARTICIPATION OF ONE OR MORE BENEFICIARIES**

### **50.1 Termination of the Agreement by the beneficiaries**

#### **50.1.1 Conditions and procedure**

The beneficiaries may terminate the Agreement.

The coordinator must formally notify termination to the *Agency* (see Article 52), stating:

- the reasons why and
- the date the termination will take effect. This date must be after the notification.

If no reasons are given or if the *Agency* considers the reasons do not justify termination, the Agreement will be considered to have been '**terminated improperly**'.

The termination will **take effect** on the day specified in the notification.

#### **50.1.2 Effects**

The coordinator must — within 60 days from when termination takes effect — submit:

- (i) a periodic report (for the open reporting period until termination; see Article 20.3) and
- (ii) the final report (see Article 20.4).

If the *Agency* does not receive the reports within the deadline (see above), only costs which are included in an approved periodic report will be taken into account.

The *Agency* will **calculate** the final grant amount (see Article 5.3) and the balance (see Article 21.4) on the basis of the reports submitted. Only costs incurred until termination are eligible (see Article 6). Costs relating to contracts due for execution only after termination are not eligible.

Improper termination may lead to a reduction of the grant (see Article 43).

After termination, the beneficiaries' obligations (in particular Articles 20, 22, 23, Section 3 of Chapter 4, 36, 37, 38 and 40) continue to apply.

## **50.2 Termination of the participation of one or more beneficiaries, by the beneficiaries**

### **50.2.1 Conditions and procedure**

The participation of one or more beneficiaries may be terminated by the coordinator, on request of the beneficiary concerned or on behalf of the other beneficiaries.

The coordinator must formally notify termination to the *Agency* (see Article 52) and inform the beneficiary concerned.

If the coordinator's participation is terminated without its agreement, the formal notification must be done by another beneficiary (acting on behalf of the other beneficiaries).

The notification must include:

- the reasons why;
- the opinion of the beneficiary concerned (or proof that this opinion has been requested in writing);
- the date the termination takes effect. This date must be after the notification, and
- a request for amendment (see Article 55), with a proposal for reallocation of the tasks and the estimated budget of the beneficiary concerned (see Annexes 1 and 2) and, if necessary, the addition of one or more new beneficiaries (see Article 56). If termination takes effect after the period set out in Article 3, no request for amendment must be included unless the beneficiary concerned is the coordinator. In this case, the request for amendment must propose a new coordinator.

If this information is not given or if the *Agency* considers that the reasons do not justify termination, the participation will be considered to have been **terminated improperly**.

The termination will **take effect** on the day specified in the notification.

### **50.2.2 Effects**

The coordinator must — within 30 days from when termination takes effect — submit:



- (i) a report on the distribution of payments to the beneficiary concerned and
- (ii) if termination takes effect during the period set out in Article 3, a '**termination report**' from the beneficiary concerned, for the open reporting period until termination, containing an overview of the progress of the work, an overview of the use of resources, the individual financial statement and, if applicable, the certificate on the financial statement (see Articles 20.3 and 20.4).

The information in the termination report must also be included in the periodic report for the next reporting period (see Article 20.3).

If the request for amendment is rejected by the *Agency*, (because it calls into question the decision awarding the grant or breaches the principle of equal treatment of applicants), the Agreement may be terminated according to Article 50.3.1(c).

If the request for amendment is accepted by the *Agency*, the Agreement is **amended** to introduce the necessary changes (see Article 55).

The *Agency* will **calculate** — on the basis of the periodic reports, the termination report and the report on the distribution of payments — if the (pre-financing and interim) payments received by the beneficiary concerned exceed the beneficiary's EU contribution (calculated by applying the reimbursement rate(s) to the eligible costs declared by the beneficiary and approved by the *Agency*). Only costs incurred by the beneficiary concerned until termination takes effect are eligible (see Article 6). Costs relating to contracts due for execution only after termination are not eligible.

- If the payments received **exceed the amounts due**:
  - if termination takes effect during the period set out in Article 3 and the request for amendment is accepted, the beneficiary concerned must repay to the coordinator the amount unduly received. The *Agency* will formally notify the amount unduly received and request the beneficiary concerned to repay it to the coordinator within 30 days of receiving notification. If it does not repay the coordinator, the *Agency* will draw upon the Guarantee Fund to pay the coordinator and then notify a **debit note** on behalf of the Guarantee Fund to the beneficiary concerned (see Article 44);
  - in all other cases (in particular if termination takes effect after the period set out in Article 3), the *Agency* will formally notify a **debit note** to the beneficiary concerned. If payment is not made by the date in the debit note, the Guarantee Fund will pay to the *Agency* the amount due and the *Agency* will notify a debit note on behalf of the Guarantee Fund to the beneficiary concerned (see Article 44);
  - if the beneficiary concerned is the former coordinator, it must repay the new coordinator according to the procedure above, unless:
    - termination is after an interim payment and
    - the former coordinator has not distributed amounts received as pre-financing or interim payments (see Article 21.7).

In this case, the *Agency* will formally notify a **debit note** to the former coordinator. If payment is not made by the date in the debit note, the Guarantee Fund will pay to the *Agency*

the amount due. The *Agency* will then pay the new coordinator and notify a debit note on behalf of the Guarantee Fund to the former coordinator (see Article 44).

- If the payments received **do not exceed the amounts due**: amounts owed to the beneficiary concerned will be included in the next interim or final payment.

If the *Agency* does not receive the termination report within the deadline (see above), only costs included in an approved periodic report will be taken into account.

If the *Agency* does not receive the report on the distribution of payments within the deadline (see above), it will consider that:

- the coordinator did not distribute any payment to the beneficiary concerned and that
- the beneficiary concerned must not repay any amount to the coordinator.

Improper termination may lead to a reduction of the grant (see Article 43) or termination of the Agreement (see Article 50).

After termination, the concerned beneficiary's obligations (in particular Articles 20, 22, 23, Section 3 of Chapter 4, 36, 37, 38 and 40) continue to apply.

### **50.3 Termination of the Agreement or the participation of one or more beneficiaries, by the *Agency***

#### **50.3.1 Conditions**

The *Agency* may terminate the Agreement or the participation of one or more beneficiaries, if:

- (a) one or more beneficiaries do not accede to the Agreement (see Article 56);
- (b) a change to their legal, financial, technical, organisational or ownership situation is likely to substantially affect or delay the implementation of the action or calls into question the decision to award the grant;
- (c) following termination of participation for one or more beneficiaries (see above), the necessary changes to the Agreement would call into question the decision awarding the grant or breach the principle of equal treatment of applicants (see Article 55);
- (d) implementation of the action is prevented by force majeure (see Article 51) or suspended by the coordinator (see Article 49.1) and either:
  - (i) resumption is impossible, or
  - (ii) the necessary changes to the Agreement would call into question the decision awarding the grant or breach the principle of equal treatment of applicants;
- (e) a beneficiary is declared bankrupt, being wound up, having its affairs administered by the courts, has entered into an arrangement with creditors, has suspended business activities, or is subject to any other similar proceedings or procedures under national law;

- (f) a beneficiary (or a natural person who has the power to represent or take decisions on its behalf) has been found guilty of professional misconduct, proven by any means;
- (g) a beneficiary does not comply with the applicable national law on taxes and social security;
- (h) the action has lost scientific or technological relevance;
- (i) *not applicable*;
- (j) *not applicable*;
- (k) a beneficiary (or a natural person who has the power to represent or take decisions on its behalf) has committed fraud, corruption, or is involved in a criminal organisation, money laundering or any other illegal activity affecting the EU's financial interests;
- (l) a beneficiary (or a natural person who has the power to represent or take decisions on its behalf) has — in the award procedure or under the Agreement — committed:
  - (i) substantial errors, irregularities, fraud or
  - (ii) serious breach of obligations, including improper implementation of the action, submission of false information, failure to provide required information, breach of ethical principles;
- (m) a beneficiary has committed — in other EU or Euratom grants awarded to it under similar conditions — systemic or recurrent errors, irregularities, fraud or serious breach of obligations that have a material impact on this grant (**'extension of findings from other grants to this grant'**).

### 50.3.2 Procedure

Before terminating the Agreement or participation of one or more beneficiaries, the *Agency* will formally notify the coordinator:

- informing it of its intention to terminate and the reasons why and
- inviting it, within 30 days of receiving notification, to submit observations and — in case of Point (l.ii) above — to inform the *Agency* of the measures to ensure compliance with the obligations under the Agreement.

If the *Agency* does not receive observations or decides to pursue the procedure despite the observations it has received, it will formally notify to the coordinator **confirmation** of the termination and the date it will take effect. Otherwise, it will formally notify that the procedure is not continued.

The termination will **take effect**:

- for terminations under Points (b), (c), (e), (g), (h), (j), and (l.ii) above: on the day specified in the notification of the confirmation (see above);
- for terminations under Points (a), (d), (f), (i), (k), (l.i) and (m) above: on the day after the notification of the confirmation is received by the coordinator.

### 50.3.3 Effects

(a) for **termination of the Agreement**:

The coordinator must — within 60 days from when termination takes effect — submit:

- (i) a periodic report (for the last open reporting period until termination; see Article 20.3) and
- (ii) a final report (see Article 20.4).

If the Agreement is terminated for breach of the obligation to submit the reports (see Articles 20.8 and 50.3.1(l)), the coordinator may not submit any reports after termination.

If the *Agency* does not receive the reports within the deadline (see above), only costs which are included in an approved periodic report will be taken into account.

The *Agency* will **calculate** the final grant amount (see Article 5.3) and the balance (see Article 21.4) on the basis of the reports submitted. Only costs incurred until termination takes effect are eligible (see Article 6). Costs relating to contracts due for execution only after termination are not eligible.

This does not affect the *Agency's* right to reduce the grant (see Article 43) or to impose administrative and financial penalties (Article 45).

The beneficiaries may not claim damages due to termination by the *Agency* (see Article 46).

After termination, the beneficiaries' obligations (in particular Articles 20, 22, 23, Section 3 of Chapter 4, 36, 37, 38 and 40) continue to apply.

(b) for **termination of the participation of one or more beneficiaries**:

The coordinator must — within 60 days from when termination takes effect — submit:

- (i) a report on the distribution of payments to the beneficiary concerned;
- (ii) a request for amendment (see Article 55), with a proposal for reallocation of the tasks and estimated budget of the beneficiary concerned (see Annexes 1 and 2) and, if necessary, the addition of one or more new beneficiaries (see Article 56). If termination is notified after the period set out in Article 3, no request for amendment must be submitted unless the beneficiary concerned is the coordinator. In this case the request for amendment must propose a new coordinator, and
- (iii) if termination takes effect during the period set out in Article 3, a **termination report** from the beneficiary concerned, for the open reporting period until termination, containing an overview of the progress of the work, an overview of the use of resources, the individual financial statement and, if applicable, the certificate on the financial statement (see Article 20).

The information in the termination report must also be included in the periodic report for the next reporting period (see Article 20.3).

If the request for amendment is rejected by the *Agency* (because it calls into question the decision awarding the grant or breaches the principle of equal treatment of applicants), the Agreement may be terminated according to Article 50.3.1(c).

If the request for amendment is accepted by the *Agency*, the Agreement is **amended** to introduce the necessary changes (see Article 55).

The *Agency* will **calculate** — on the basis of the periodic reports, the termination report and the report on the distribution of payments — if the (pre-financing and interim) payments received by the beneficiary concerned exceed the beneficiary's EU contribution (calculated by applying the reimbursement rate(s) to the eligible costs declared by the beneficiary and approved by the *Agency*). Only costs incurred by the beneficiary concerned until termination takes effect are eligible (see Article 6). Costs relating to contracts due for execution only after termination are not eligible.

- If the payments received **exceed the amounts due**:
  - if termination takes effect during the period set out in Article 3 and the request for amendment is accepted, the beneficiary concerned must repay to the coordinator the amount unduly received. The *Agency* will formally notify the amount unduly received and request the beneficiary concerned to repay it to the coordinator within 30 days of receiving notification. If it does not repay the coordinator, the *Agency* will draw upon the Guarantee Fund to pay the coordinator and then notify a debit note on behalf of the Guarantee Fund to the beneficiary concerned (see Article 44);
  - in all other cases, in particular if termination takes effect after the period set out in Article 3, the *Agency* will formally notify a **debit note** to the beneficiary concerned. If payment is not made by the date in the debit note, the Guarantee Fund will pay to the *Agency* the amount due and the *Agency* will notify a debit note on behalf of the Guarantee Fund to the beneficiary concerned (see Article 44);
  - if the beneficiary concerned is the former coordinator, it must repay the new coordinator the amount unduly received, unless:
    - termination takes effect after an interim payment and
    - the former coordinator has not distributed amounts received as pre-financing or interim payments (see Article 21.7)

In this case, the *Agency* will formally notify a **debit note** to the former coordinator. If payment is not made by the date in the debit note, the Guarantee Fund will pay to the *Agency* the amount due. The *Agency* will then pay the new coordinator and notify a debit note on behalf of the Guarantee Fund to the former coordinator (see Article 44).

- If the payments received **do not exceed the amounts due**: amounts owed to the beneficiary concerned will be included in the next interim or final payment.

If the *Agency* does not receive the termination report within the deadline (see above), only costs included in an approved periodic report will be taken into account.

If the *Agency* does not receive the report on the distribution of payments within the deadline (see above), it will consider that:

- the coordinator did not distribute any payment to the beneficiary concerned, and that
- the beneficiary concerned must not repay any amount to the coordinator.

After termination, the concerned beneficiary's obligations (in particular Articles 20, 22, 23, Section 3 of Chapter 4, 36, 37, 38 and 40) continue to apply.

## **SECTION 4 FORCE MAJEURE**

### **ARTICLE 51 — FORCE MAJEURE**

'Force majeure' means any situation or event that:

- prevents either party from fulfilling their obligations under the Agreement,
- was unforeseeable, exceptional situation and beyond the parties' control,
- was not due to error or negligence on their part (or on the part of third parties involved in the action), and
- proves to be inevitable in spite of exercising all due diligence.

The following cannot be invoked as force majeure:

- any default of a service, defect in equipment or material or delays in making them available, unless they stem directly from a relevant case of force majeure,
- labour disputes or strikes, or
- financial difficulties.

Any situation constituting force majeure must be formally notified to the other party without delay, stating the nature, likely duration and foreseeable effects.

The parties must immediately take all the necessary steps to limit any damage due to force majeure and do their best to resume implementation of the action as soon as possible.

The party prevented by force majeure from fulfilling its obligations under the Agreement cannot be considered in breach of them.

## **CHAPTER 7 FINAL PROVISIONS**

### **ARTICLE 52 — COMMUNICATION BETWEEN THE PARTIES**

#### **52.1 Form and means of communication**

Communication under the Agreement (information, requests, submissions, ‘formal notifications’, etc.) must:

- be made in writing and
- bear the number of the Agreement.

**Until the payment of the balance:** all communication must be made through the electronic exchange system and using the forms and templates provided there.

**After the payment of the balance:** formal notifications must be made by registered post with proof of delivery (‘formal notification on paper’).

Communications in the electronic exchange system must be made by persons authorised according to the ‘Terms and Conditions of Use of the electronic exchange system’. For naming the authorised persons, each beneficiary must have designated — before the signature of this Agreement — a ‘Legal Entity Appointed Representative (LEAR)’. The role and tasks of the LEAR are stipulated in his/her appointment letter (see Terms and Conditions of Use of the electronic exchange system).

If the electronic exchange system is temporarily unavailable, instructions will be given on the *Agency and Commission* websites.

#### **52.2 Date of communication**

**Communications** are considered to have been made when they are sent by the sending party (i.e. on the date and time they are sent through the electronic exchange system).

**Formal notifications** through the **electronic** exchange system are considered to have been made when they are received by the receiving party (i.e. on the date and time of acceptance by the receiving party, as indicated by the time stamp). A formal notification that has not been accepted within 10 days after sending is considered to have been accepted.

Formal notifications **on paper** sent by **registered post** with proof of delivery (only after the payment of the balance) are considered to have been made on either:

- the delivery date registered by the postal service or
- the deadline for collection at the post office.

If the electronic exchange system is temporarily unavailable, the sending party cannot be considered in breach of its obligation to send a communication within a specified deadline.

#### **52.3 Addresses for communication**

The **electronic** exchange system must be accessed via the following URL:

<https://ec.europa.eu/research/participants/portal/desktop/en/projects/>

The *Agency* will formally notify the coordinator and beneficiaries in advance any changes to this URL.

**Formal notifications on paper** (only after the payment of the balance) addressed **to the Agency** must be sent to the following address:

*Research Executive Agency (REA)  
Inclusive, Innovative and Reflective Societies  
COV2 - 16/46  
B-1049 Brussels Belgium*

Formal notifications on paper (only after the payment of the balance) addressed **to the beneficiaries** must be sent to their legal address as specified in the 'Beneficiary Register'.

## **ARTICLE 53 — INTERPRETATION OF THE AGREEMENT**

### **53.1 Precedence of the Terms and Conditions over the Annexes**

The provisions in the Terms and Conditions of the Agreement take precedence over its Annexes.

Annex 2 takes precedence over Annex 1.

### **53.2 Privileges and immunities**

*Not applicable*

## **ARTICLE 54 — CALCULATION OF PERIODS, DATES AND DEADLINES**

In accordance with Regulation No 1182/71<sup>28</sup>, periods expressed in days, months or years are calculated from the moment the triggering event occurs.

The day during which that event occurs is not considered as falling within the period.

## **ARTICLE 55 — AMENDMENTS TO THE AGREEMENT**

### **55.1 Conditions**

The Agreement may be amended, unless the amendment entails changes to the Agreement which would call into question the decision awarding the grant or breach the principle of equal treatment of applicants.

Amendments may be requested by any of the parties.

### **55.2 Procedure**

The party requesting an amendment must submit a request for amendment signed in the electronic exchange system (see Article 52).

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<sup>28</sup> Regulation (EEC, Euratom) No 1182/71 of the Council of 3 June 1971 determining the rules applicable to periods, dates and time-limits (OJ L 124, 8.6.1971, p. 1).



The coordinator submits and receives requests for amendment on behalf of the beneficiaries (see Annex 3).

If a change of coordinator is requested without its agreement, the submission must be done by another beneficiary (acting on behalf of the other beneficiaries).

The request for amendment must include:

- the reasons why;
- the appropriate supporting documents;
- for a change of coordinator without its agreement: the opinion of the coordinator (or proof that this opinion has been requested in writing).

The *Agency* may request additional information.

If the party receiving the request agrees, it must sign the amendment in the electronic exchange system within 45 days of receiving notification (or any additional information the *Agency* has requested). If it does not agree, it must formally notify its disagreement within the same deadline. The deadline may be extended, if necessary for the assessment of the request. If no notification is received within the deadline, the request is considered to have been rejected

An amendment **enters into force** on the day of the signature of the receiving party.

An amendment **takes effect** on the date agreed by the parties or, in the absence of such an agreement, on the date on which the amendment enters into force.

## **ARTICLE 56 — ACCESSION TO THE AGREEMENT**

### **56.1 Accession of the beneficiaries mentioned in the Preamble**

The other beneficiaries must accede to the Agreement by signing the Accession Form (see Annex 3) in the electronic exchange system (see Article 52) within 30 days after its entry into force (see Article 58).

They will assume the rights and obligations under the Agreement with effect from the date of its entry into force (see Article 58).

If a beneficiary does not accede to the Agreement within the above deadline, the coordinator must — within 30 days — request an amendment to make any changes necessary to ensure proper implementation of the action. This does not affect the *Agency's* right to terminate the Agreement (see Article 50).

### **56.2 Addition of new beneficiaries**

In justified cases, the beneficiaries may request the addition of a new beneficiary.

For this purpose, the coordinator must submit a request for amendment in accordance with Article 55. It must include an Accession Form (see Annex 3) signed by the new beneficiary in the electronic exchange system (see Article 52).

New beneficiaries must assume the rights and obligations under the Agreement with effect from the date of their accession specified in the Accession Form (see Annex 3).

## **ARTICLE 57 — APPLICABLE LAW AND SETTLEMENT OF DISPUTES**

### **57.1 Applicable law**

The Agreement is governed by the applicable EU law, supplemented if necessary by the law of Belgium.

### **57.2 Dispute settlement**

If a dispute concerning the interpretation, application or validity of the Agreement cannot be settled amicably, the General Court — or, on appeal, the Court of Justice of the European Union — has sole jurisdiction. Such actions must be brought under Article 272 of the Treaty on the Functioning of the EU (TFEU).

*As an exception, if such a dispute is between the Agency and UNIVERSITETET I OSLO, ZURCHER HOCHSCHULE DER KUNSTE, the competent Belgian courts have sole jurisdiction.*

If a dispute concerns administrative or financial penalties, offsetting or an enforceable decision under Article 299 TFEU (see Articles 44, 45 and 46), the beneficiaries must bring action before the General Court — or, on appeal, the Court of Justice of the European Union — under Article 263 TFEU. *Actions against enforceable decisions must be brought against the Commission (not against the Agency).*

## **ARTICLE 58 — ENTRY INTO FORCE OF THE AGREEMENT**

The Agreement will enter into force on the day of signature by the *Agency* or the coordinator, depending on which is later.

## **SIGNATURES**

For the coordinator

For the *Agency*



**EUROPEAN COMMISSION**

Research Executive Agency (REA)

Inclusive, Innovative and Reflective Societies



**ANNEX 1 (part A)**

**Research and Innovation action**

**NUMBER — 693857 — TRACES**

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# 1.1. The project summary

Project Number <sup>1</sup>	693857	Project Acronym <sup>2</sup>	TRACES
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**One form per project**

**General information**

Project title <sup>3</sup>	Transmitting Contentious Cultural Heritages with the Arts: From Intervention to Co-Production
Starting date <sup>4</sup>	01/03/2016
Duration in months <sup>5</sup>	36
Call (part) identifier <sup>6</sup>	H2020-REFLECTIVE-SOCIETY-2015
Topic	REFLECTIVE-2-2015 Emergence and transmission of European cultural heritage and Europeanisation
Fixed EC Keywords	Cultural heritage, cultural memory
Free keywords	contentious heritage(s), contentious collections, (creative) co-production, art-based research, contested identity, contested memory, social aesthetization, heritage transmission, everyday agency

**Abstract <sup>7</sup>**

Transmitting Contentious Cultural Heritages with the Arts: From Intervention to Co-Production (TRACES) aims to provide new directions for cultural heritage institutions to contribute productively to evolving European identity and reflexive Europeanization. To do so, it deploys an innovative ethnographic/artistic approach, focused on a wide range of types of ‘contentious heritage.’ Attention to contentious heritage is crucial as it is especially likely to raise barriers to inclusivity and convivial relations, as well as to be difficult to transmit to the public. Transmitted effectively, however, it is potentially especially productive in raising critical reflection and contributing to reflexive Europeanization, in which European identity is shaped by self-awareness and on-going critical reflection. Through rigorous and creative in-depth artistic/ethnographic research, TRACES will provide a systematic analysis of the challenges and opportunities raised by transmitting contentious, awkward and difficult pasts. It will do so by setting up Creative Co-Productions (CCPs) in which artists, researchers, heritage agencies and stakeholders work together in longer term engagements to collaboratively research selected cases of contentious heritage and develop new participatory public interfaces. These will be documented and analysed, including educational research. These interfaces, which include online as well as physical exhibitions and other formats, are part of the significant output planned for TRACES, along with academic publications and a novel reflective Contentious Heritage Manual that will synthesise results to provide directions for future practical reflexive transmission of cultural heritage in Europe. TRACES is a multi-disciplinary team, bringing together established and emerging scholars, and providing high-level expertise, relevant experience and creative energy, to provide a rigorous and innovative approach to the transmission of European cultural heritage.

## 1.2. List of Beneficiaries

Project Number <sup>1</sup>	693857	Project Acronym <sup>2</sup>	TRACES
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### List of Beneficiaries

No	Name	Short name	Country	Project entry month <sup>8</sup>	Project exit month
1	UNIVERSITAET KLAGENFURT	UNI-KLU	Austria	1	36
2	POLITECNICO DI MILANO	POLIMI	Italy	1	36
3	HUMBOLDT-UNIVERSITAET ZU BERLIN	UBER	Germany	1	36
4	UNIVERSITETET I OSLO	UNIVERSITY OSLO	Norway	1	36
5	ZURCHER HOCHSCHULE DER KUNSTE	ZHDK	Switzerland	1	36
6	HOSMAN DURABIL	Hosman Durabil	Romania	1	36
7	NATURHISTORISCHES MUSEUM	NHM	Austria	1	36
8	THE UNIVERSITY OF EDINBURGH	UEDIN	United Kingdom	1	36
9	UNIWERSYTET JAGIELLONSKI	UJAG	Poland	1	36
10	UNIVERSITY OF ULSTER	ULster	United Kingdom	1	36
11	DRUSTVO ZA DOMACE RAZISKAVE	DRS	Slovenia	1	36

## 1.3. Workplan Tables - Detailed implementation

### 1.3.1. WT1 List of work packages

WP Number <sup>9</sup>	WP Title	Lead beneficiary <sup>10</sup>	Person-months <sup>11</sup>	Start month <sup>12</sup>	End month <sup>13</sup>
WP1	Artistic Research: Creative Co-Production Beyond Intervention	2 - POLIMI	88.00	1	36
WP2	Ethnographic research on/with art production	4 - UNIVERSITY OSLO	22.50	1	36
WP3	Research on education and stakeholder involvement	5 - ZHDK	53.50	1	36
WP4	Performing Heritage: Creative everyday practices in popular culture	1 - UNI-KLU	66.00	1	36
WP5	Contentious Collections: Research on Material Culture of Difficult Cultural Heritage	3 - UBER	42.00	1	36
WP6	Dissemination and Communication	2 - POLIMI	45.00	1	36
WP7	Management	1 - UNI-KLU	25.00	1	36
WP8	Ethics requirements	1 - UNI-KLU	N/A	1	36
<b>Total</b>			342.00		

1.3.2. WT2 list of deliverables

Deliverable Number <sup>14</sup>	Deliverable Title	WP number <sup>9</sup>	Lead beneficiary	Type <sup>15</sup>	Dissemination level <sup>16</sup>	Due Date (in months) <sup>17</sup>
D1.1	Questionnaire	WP1	2 - POLIMI	Report	Public	24
D1.2	Workshop on artistic practices: summary report	WP1	2 - POLIMI	Report	Confidential, only for members of the consortium (including the Commission Services)	20
D1.3	Exhibition CCP4: report	WP1	8 - UEDIN	Report	Public	31
D1.4	Exhibition CCP3: report	WP1	11 - DRS	Report	Public	30
D1.5	Exhibition CCP2: report	WP1	9 - UJAG	Report	Public	32
D2.1	Survey progress report	WP2	4 - UNIVERSITY OSLO	Report	Confidential, only for members of the consortium (including the Commission Services)	6
D2.2	Main Research I progress report	WP2	4 - UNIVERSITY OSLO	Report	Confidential, only for members of the consortium (including the Commission Services)	14
D2.3	Main Research II contributions report	WP2	4 - UNIVERSITY OSLO	Report	Confidential, only for members of the consortium (including the Commission Services)	22
D2.4	Critical examination closing report	WP2	4 - UNIVERSITY OSLO	Report	Confidential, only for members of the consortium (including the Commission Services)	36
D3.1	Report and material on approaches to education	WP3	5 - ZHDK	Report	Confidential, only for members of the consortium (including the Commission Services)	12
D3.2	Educational material for learning with ethnographic collections (results	WP3	5 - ZHDK	Other	Public	30



<b>Deliverable Number</b> <sup>14</sup>	<b>Deliverable Title</b>	<b>WP number</b> <sup>9</sup>	<b>Lead beneficiary</b>	<b>Type</b> <sup>15</sup>	<b>Dissemination level</b> <sup>16</sup>	<b>Due Date (in months)</b> <sup>17</sup>
	action research with the Weltkulturen Museum Frankfurt)					
D3.3	Minutes of stakeholder workshops with the CCPs on educational approaches	WP3	5 - ZHDK	Report	Confidential, only for members of the consortium (including the Commission Services)	30
D4.1	Minutes of local workshop for stakeholders and experts	WP4	1 - UNI-KLU	Report	Public	13
D4.2	Printed summary for stakeholders	WP4	1 - UNI-KLU	Report	Public	18
D4.3	Contentious Heritage Manual	WP4	1 - UNI-KLU	Report	Public	36
D4.4	Video documentation of participatory Opera in Dordolla	WP4	1 - UNI-KLU	Websites, patents filling, etc.	Public	9
D4.5	Online-catalogue of Peć	WP4	1 - UNI-KLU	Websites, patents filling, etc.	Public	10
D5.1	Workshop Berlin: Summary Report	WP5	3 - UBER	Report	Public	24
D5.2	Workshop Edinburgh: Summary Report	WP5	8 - UEDIN	Report	Public	30
D6.1	Kick-off Meeting: summary report	WP6	2 - POLIMI	Report	Public	4
D6.2	Basic dissemination tools	WP6	2 - POLIMI	Websites, patents filling, etc.	Confidential, only for members of the consortium (including the Commission Services)	4
D6.3	TRACES Magazine	WP6	2 - POLIMI	Websites, patents filling, etc.	Public	8
D6.4	Midterm workshop: summary report	WP6	2 - POLIMI	Report	Public	24
D6.5	Final event: summary report	WP6	2 - POLIMI	Report	Public	36

<b>Deliverable Number</b> <sup>14</sup>	<b>Deliverable Title</b>	<b>WP number</b> <sup>9</sup>	<b>Lead beneficiary</b>	<b>Type</b> <sup>15</sup>	<b>Dissemination level</b> <sup>16</sup>	<b>Due Date (in months)</b> <sup>17</sup>
D6.6	Final Exhibition: report	WP6	2 - POLIMI	Report	Public	36
D7.1	Interim Progress Report	WP7	1 - UNI-KLU	Report	Confidential, only for members of the consortium (including the Commission Services)	24
D7.2	Report on ethical issues	WP7	1 - UNI-KLU	Report	Confidential, only for members of the consortium (including the Commission Services)	3
D7.3	Naming of Ethical Advisory board	WP7	1 - UNI-KLU	Report	Public	2
D8.1	H - Requirement No. 1	WP8	1 - UNI-KLU	Ethics	Confidential, only for members of the consortium (including the Commission Services)	3
D8.2	NEC - Requirement No. 3	WP8	1 - UNI-KLU	Ethics	Confidential, only for members of the consortium (including the Commission Services)	3
D8.3	POPD - Requirement No. 2	WP8	1 - UNI-KLU	Ethics	Confidential, only for members of the consortium (including the Commission Services)	3

### 1.3.3. WT3 Work package descriptions

<b>Work package number</b> <sup>9</sup>	WP1	<b>Lead beneficiary</b> <sup>10</sup>	2 - POLIMI
<b>Work package title</b>	Artistic Research: Creative Co-Production Beyond Intervention		
<b>Start month</b>	1	<b>End month</b>	36

#### Objectives

WP1 supervises the setting up of the five CCPs and analyses participatory methods and models of innovative contemporary creative collaborations between artists, researchers, heritage agencies and their stakeholders.

The Creative Co-Productions (CCPs) are based on long-term research of contentious cultural heritage and its public interfaces. The CCP artists understand the role of contemporary art to be an artistic strategy to enable the usage of sensitive and self-critical approaches within institutions that own or host contentious cultural heritage. Artistic institutional critique projects have often had limited results due to short-term, interventionist and promotion-oriented strategies, although they have successfully located points of conflicting and contradictory meanings within the institutions hosting the interventions.

This WP will focus on cross-disciplinary participatory research methods and collaborative production models of art practices for the CCPs. Models for this approach are a few rare projects that visibly enhance and prove the potential for positive outcomes, e.g. galvanising the social change processes through representing contentious cultural heritage.

Each CCP develops a specific model of work and this WP compares the established protocols of collaborative work from the perspective of participatory art practice (in close collaboration with WP2). This approach, supported by this WP, encourages the creation of sustainable models and tool-kits to enable local stakeholders to continue the participatory research and the contemporary art creative productions for new projects.

The research questions of this WP are:

1. What kind of contemporary art strategies are the most relevant for engaging common citizens with contentious cultural heritage in European heritage sites?
2. How can benefits from the creative collaboration between art researchers, humanist or social science researchers and heritage agents be made to be long-lasting and therefore productive for institutional and social change?
3. How can art research methods assist humanist and social science research methods dealing with contentious cultural heritage?
4. How can tensions between aesthetic aspects of presentation, which customarily dominate contemporary art displays, be challenged and negotiated? How can the relational aspects between researchers, artists and cultural agents as an important ethical aspect that is formative for such projects also be challenged and negotiated?

This WP works closely with the five CCPs on the production and on a “meta level” in trying to understand the creative potential of the arts-based research for scientific research and vice versa. It contributes to the development of informal heritage knowledge production within the hosting institutions, both in content and method. The activities of this WP will support TRACES in grounding methodological advice for practitioners of art and cultural production by means of an analysis of representation and transmission of the contentious cultural heritage. The effects on both communities - the community of the projects’ expert researchers and of the wider audiences - will be explored in fields, such as Holocaust education and multidirectional memory work. Furthermore, the project will address contradictions within contemporary art dealing with race and anti-racism and global art displays in “critical” art museums.

Objectives:

- Following, supporting and analysing the development of participatory art practices in the CCPs.
- Following and analysing the artistic outcomes of the CCPs’ projects.
- Following and analysing the inclusion and impact of the audience for the CCPs’ projects.
- Evaluating the projects’ impact on the existing artistic approaches of the artists in the CCPs.
- Evaluating the sustainability of the CCP projects and the prospects of their continuation by the stakeholders after TRACES has concluded.

#### Description of work and role of partners

**WP1 - Artistic Research: Creative Co-Production Beyond Intervention** [Months: 1-36]

**POLIMI**, UBER, UNIVERSITY OSLO, ZHDK, Hosman Durabil, NHM, UEDIN, UJAG, ULster, DRS

Task 1.1. Overview and critical research on participatory art practices (M1-12)

Critically researching participatory art practices with a focus on the tensions and contradictions between representational regimes and the basic assumptions of collaborative, relational and participatory aesthetics.

**Task 1.2. Coordinating art production of CCPs (M1-36)**

Coordinating artistic production and communication interfaces between all CCPs and between the CCPs and the WPs.

**Task 1.3. Developing a workshop with CCPs and stakeholders (M1-24)**

In close collaboration with WP3. The workshop for the five CCPs and involved stakeholders will focus on: participatory approaches; tensions between regimes of display of contentious cultural heritage and the establishment of new relations; building sustainable networks of artists and researchers; analysis of the aesthetic and ethical potential and limitations of such practices.

**Task 1.4. Composing questionnaire collaboratively (M1-24)**

The team members will develop a self-assessing questionnaire by contributing to its content with different questions concerning the effectiveness of different methods of communication, collaborative research and organisation of such complex networks of cross-disciplinary work.

**Task 1.5. Synthesis (M25-36)**

Collect data and results from all research areas of this WP for WP4 for further analysis and incorporation into the Contentious Heritage Manual” of successful practices and impacts of the innovative mediating of contentious cultural heritage.

**Task 1.6. Curating exhibition (M18-36)**

Exhibition presenting different arts-based research methods for dealing with contentious cultural heritage based on the CCPs’ projects.

**PARTNERS ROLE:**

**POLIMI/Politecnico di Milano:** The POLIMI research group, drawing on its expertise in project management and its involvement as dissemination leader (WP6) will support the supervising activity and will contribute to the organisation of the WP-related events and final exhibition. As principal investigator, the WP will involve a scholar with specific skills in art history and curatorship and who is highly qualified in the field of artistic practices of participation and social engagement. This scholar will be supported by an artist whose main tasks will consist of contributing to the analysis and development of participatory methods and models of innovative contemporary creative collaborations between artists, researchers, heritage agencies and stakeholders and investigating innovative and relevant art strategies aimed at engaging common citizens with contentious heritage in European heritage sites.

**UBER:** WP1 will involve the task manager Tal Adler (from research team UBER), who will develop participatory methods and models of innovative contemporary creative collaborations between artists, researchers, heritage agencies and stakeholders in close collaboration with the principal investigator. He will coordinate artistic production and communication interfaces among all the CCPs, and between the CCPs and the various Work Packages. He will also verify and support the development of participatory art practices in the CCPs and evaluate and foster their outcomes and impact.

**Participation per Partner**

Partner number and short name	WP1 effort
2 - POLIMI	6.00
3 - UBER	22.00
4 - UNIVERSITY OSLO	0.50
5 - ZHDK	2.00
6 - Hosman Durabil	38.00
7 - NHM	0.50
8 - UEDIN	2.00
9 - UJAG	10.00
10 - ULster	3.00
11 - DRS	4.00

Partner number and short name	WP1 effort
<b>Total</b>	88.00

**List of deliverables**

Deliverable Number <sup>14</sup>	Deliverable Title	Lead beneficiary	Type <sup>15</sup>	Dissemination level <sup>16</sup>	Due Date (in months) <sup>17</sup>
D1.1	Questionnaire	2 - POLIMI	Report	Public	24
D1.2	Workshop on artistic practices: summary report	2 - POLIMI	Report	Confidential, only for members of the consortium (including the Commission Services)	20
D1.3	Exhibition CCP4: report	8 - UEDIN	Report	Public	31
D1.4	Exhibition CCP3: report	11 - DRS	Report	Public	30
D1.5	Exhibition CCP2: report	9 - UJAG	Report	Public	32

**Description of deliverables**

**D1.1 : Questionnaire [24]**

Collaboratively assembled questionnaire for self-assessment of cross-disciplinary teams.

**D1.2 : Workshop on artistic practices: summary report [20]**

Report of the workshop on artistic participatory approaches for contentious cultural heritage work, including the programme of the workshop and a summary of the main topics discussed.

**D1.3 : Exhibition CCP4: report [31]**

The report will include the exhibition programme, data, and images about the exhibition related to CCP4. CCP4 will launch an exhibition of the artistic research project in Edinburgh, to explore the philosophical, aesthetic, historical and scientific implications of collections of human remains. (Responsible partner: University of Edinburgh)

**D1.4 : Exhibition CCP3: report [30]**

The report will include the exhibition programme, data, and images about the exhibition related to CCP3. CCP3 will contribute to the understanding of the representation of death in the process of identity making in Slovenia through the development of a public presentation. (Responsible partner: Domestic Research Society)

**D1.5 : Exhibition CCP2: report [32]**

The report will include the exhibition programme, data, and images about the exhibition related to CCP2. CCP2 will create an exhibition which will lead to a permanent change of “vernacular Holocaust art” status within ethnographic collections, as well as within a broader discourse on the “art and the Holocaust”. (Responsible partner: Uniwersytet Jagielloński).

**Schedule of relevant Milestones**

Milestone number <sup>18</sup>	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS1	Project launch	2 - POLIMI	8	Kick of meeting held; dissemination and

Schedule of relevant Milestones

Milestone number <sup>18</sup>	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
				communications tools and platforms online; first issue of the TRACES magazine released; Advisory board named, and ethic report delivered.
MS2	Overview on contemporary discourse	3 - UBER	16	First research tasks completed: task 1.1; tasks 2.1 and 2.2; task 3.1; task 4.1 and task 5.1
MS3	Research and CCPs interim advancement	1 - UNI-KLU	24	Action research activities, workshops and questionnaire on CPPS developed (tasks 1.3, 1.4 and 3.4 completed ); Ethnographic research fulfilled (tasks 2.3 and 4.2 completed)
MS4	Exhibitions of the CCPs and workshops	2 - POLIMI	32	Catalogues and other CCP results, workshop in Edinburgh, first draft of the manual exists.
MS5	Synthesis and end of the project	1 - UNI-KLU	36	Fulfilment of the final project tasks devoted to synthesis and critical analysis; final event and exhibition; TRACES contentious Heritage Manual

<b>Work package number</b> <sup>9</sup>	WP2	<b>Lead beneficiary</b> <sup>10</sup>	4 - UNIVERSITY OSLO
<b>Work package title</b>	Ethnographic research on/with art production		
<b>Start month</b>	1	<b>End month</b>	36

**Objectives**

- \* Collaboratively constructing a detailed research agenda for the WPs and CCPs.
- \* Critically guiding and observing the ethnographic research process on and within the CCPs.
- \* Conducting their own empirical research on artistic research of the post-colonial legacy of collections and collaborations with new communities.
- \* Providing workshops and an international conference.
- \* Supporting WP4 with analytical and comparative material for the Contentious Heritage Manual.
- \* Publishing an open-access edited volume with the results of the research.

**Description of work and role of partners**

**WP2 - Ethnographic research on/with art production** [Months: 1-36]  
**UNIVERSITY OSLO**, Hosman Durabil, UEDIN, UJAG, ULster, DRS

This WP has two main functions. On the one hand it critically guides and accompanies the research process of the CCPs. For this purpose it convenes a number of workshops and also involves five M.A. students who will carry out ethnographic research on the relationships between researchers, artists and heritage agencies in situ. On the other hand, this WP carries out its own empirical research in order to critically evaluate artistic research and process in the context of heritage providers (museums) facing the challenges of a post-colonial legacy of their collections, as well as in the framework of collaborations with end-user applications for new communities (i.e. new immigrants). The research is specifically and deliberately set in a seemingly culturally consolidated context, i.e. central Italy, which has a stereotypical image of a heritage industry feeding on its Renaissance past. It is in this context that non-traditional heritage agencies (an anthropological museum with colonial and post-colonial collections and a contemporary art museum) have been chosen and the team has been filled out by the addition of an artistic researcher and an anthropologist.

The WP has a comparative focus and is meant to generate insight for the participating institutions and communities in terms of improved practices of heritage provision and new forms of heritage transmission.

**Description of work**

**Task 2.1 Survey (M1-6)**  
 In an initial workshop this WP together with representatives from the CCPs, survey the state of the arts and the potential advancement of the WP topic through regular meetings, initial pilot research (including interviews and preliminary fieldwork), resulting in the creation of a detailed research agenda for the main phases of the research (Tasks 3 & 4).

**Task 2.2: Main Research I (M6-12)**  
 Based on the research agenda created in Task 1, in the main research phase I, anthropological research accompanies the artistic co-production a) by five MA students on the individual CCPs, and b) by the WP in its own empirical research into contested parts of the collections of the heritage providers (e.g. the anthropology museum of Florence), and new potential user communities (i.e. new migrants, e.g. Chinese community in Prato) for the contemporary art museum of Prato. Main Research I will conclude with a workshop in which initial research results are discussed and critically evaluated by the project partners and outside experts.

**Task 2.3: Main Research II (M13-24)**  
 On the basis of the critical evaluation of recommendations received from the workshop at the end of main research phase I (Task I), in the main research phase II anthropological research, a) by the five MA students on the different CCPs, and b) by the WP team itself, continues to accompany artistic interventions into contested parts of the collections of the heritage providers (e.g. the anthropological museum of Florence), and new potential user communities (i.e. new migrants, e.g. Chinese community) for the contemporary art museum of Prato. The results will be disseminated within an international conference at the final event in M36 (D6.5) involving outside experts (through an international call for papers) and partners from the other WPs, in order to critically present and dissect the results. Conference proceedings will disseminate the results.

**Task 2.4.: Critical Examination (M25-36)**  
 On the basis of tasks 1,2,3, the material is critically examined. The final WP report, culminating in an edited volume, will be the principle point where results are presented. The results will also be made available online in collaboration with the heritage providers and communities involved.

Task 2.5.: Synthesis (M25-36)

Collect data and results from all research areas of this WP for WP4 for further analysis and the Contentious Heritage Manual of successful practices and impacts of the innovative mediating of contentious cultural heritage.

**Participation per Partner**

Partner number and short name	WP2 effort
4 - UNIVERSITY OSLO	15.50
6 - Hosman Durabil	2.00
8 - UEDIN	1.00
9 - UJAG	2.00
10 - ULster	1.00
11 - DRS	1.00
<b>Total</b>	22.50

**List of deliverables**

Deliverable Number <sup>14</sup>	Deliverable Title	Lead beneficiary <sup>14</sup>	Type <sup>15</sup>	Dissemination level <sup>16</sup>	Due Date (in months) <sup>17</sup>
D2.1	Survey progress report	4 - UNIVERSITY OSLO	Report	Confidential, only for members of the consortium (including the Commission Services)	6
D2.2	Main Research I progress report	4 - UNIVERSITY OSLO	Report	Confidential, only for members of the consortium (including the Commission Services)	14
D2.3	Main Research II contributions report	4 - UNIVERSITY OSLO	Report	Confidential, only for members of the consortium (including the Commission Services)	22
D2.4	Critical examination closing report	4 - UNIVERSITY OSLO	Report	Confidential, only for members of the consortium (including the Commission Services)	36

**Description of deliverables**

D2.1 : Survey progress report [6]

Report on the results on the survey from the workshop held after the kick-off meeting.



**D2.2 : Main Research I progress report [14]**

Based on the research agenda created in Task 1, in the main research phase I, anthropological research accompanies the artistic co-production a) by five MA students on the individual CCPs, and b) by the WP in its own empirical research into contested parts of the collections of the heritage providers (e.g. the anthropology museum of Florence), and new potential user communities (i.e. new migrants, e.g. Chinese community in Prato) for the contemporary art museum of Prato. Main Research I will conclude with a workshop in which initial research results are discussed and critically evaluated by the project partners and outside experts.

**D2.3 : Main Research II contributions report [22]**

On the basis of the critical evaluation of recommendations received from the workshop at the end of main research phase I (Task I), in the main research phase II anthropological research, a) by the five MA students on the different CCPs, and b) by the WP team itself, continues to accompany artistic interventions into contested parts of the collections of the heritage providers (e.g. the anthropological museum of Florence), and new potential user communities (i.e. new migrants, e.g. Chinese community) for the contemporary art museum of Prato.

**D2.4 : Critical examination closing report [36]**

The final WP report, culminating in an edited volume, will be the principle point where results are presented. The results will also be made available online in collaboration with the heritage providers and communities involved.

**Schedule of relevant Milestones**

Milestone number <sup>18</sup>	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS2	Overview on contemporary discourse	3 - UBER	16	First research tasks completed: task 1.1; tasks 2.1 and 2.2; task 3.1; task 4.1 and task 5.1
MS3	Research and CCPs interim advancement	1 - UNI-KLU	24	Action research activities, workshops and questionnaire on CPPS developed (tasks 1.3, 1.4 and 3.4 completed ); Ethnographic research fulfilled (tasks 2.3 and 4.2 completed)
MS5	Synthesis and end of the project	1 - UNI-KLU	36	Fulfilment of the final project tasks devoted to synthesis and critical analysis; final event and exhibition; TRACES contentious Heritage Manual

<b>Work package number</b> <sup>9</sup>	WP3	<b>Lead beneficiary</b> <sup>10</sup>	5 - ZHDK
<b>Work package title</b>	Research on education and stakeholder involvement		
<b>Start month</b>	1	<b>End month</b>	36

**Objectives**

- Contributing to the development of heritage education (informal education in heritage institutions, and materials/ activities in the school and adult training context) both in content and method.
- Building close research collaborations with all the CCPs to support their educational and stakeholder activities and to find ways to implement their innovative methods in curricula and training programmes.
- Researching and developing new methods to foster communication on contentious collections with wider and differentiated audiences.

**Description of work and role of partners**

**WP3 - Research on education and stakeholder involvement** [Months: 1-36]  
**ZHDK, POLIMI, UBER, Hosman Durabil, UEDIN, UJAG, ULster, DRS**

This work package is dedicated to the educational aspect of transmitting contentious cultural heritage in Europe. In collaboration with the local CCPs it is responsible for the involvement of stakeholders and learning activities, both in implementation and research on these actions. Additionally the WP will conduct several research actions for the development of new educational methods in museums and on contentious collections. It therefore is a key part of the approach of the project as a whole to combine research with experimental practice development.

The WP asks: Which pedagogies can open spaces to reflect on contentious cultural heritage, and thereby contribute to a “reflective Europeanisation”? Based on social-constructivist learning theories, current literature on museum education with contentious collections (Golding 2009; Lynch 2014; Lagerkvist 2006; Krmpotich/Anderson 2005) and studies on learning history in diverse societies (e.g. on Holocaust learning in migration society, Sternfeld 2012; Rahner/Lauré al-Samarai 2014) the WP acknowledges that education dealing with cultural heritage embedded in historical and current conflicts, as opposed to a sender-receiver model, has to provide in itself spaces of conflict and negotiation. It responds to the need for in-depth research contributing to practice development, as well as a comprehensive European perspective in this field.

**Task 3.1. Cross-analysis of Educational Approaches to Contentious Cultural Heritage (M1-12)**  
 This task is concerned with reviewing existing approaches to education on contentious cultural heritage in Europe. Methods and reflections existing, from fields such as Holocaust Education and Memory Work, Anti-racism Education, Global Learning, Museum and Gallery Education and artistic-deconstructive pedagogical approaches, will be cross-analyzed according to the research questions: How do these educational approaches deal with conflict and different positionalities of participants? How can educational activities instil self-reflection, and a questioning of one’s own convictions and narratives, especially in informal educational settings?

**Task 3.2. Support and accompanying research on educational activities of the CCPs (M1-36)**  
 The CCPs are supported in planning and conducting educational activities as part of their projects. These activities serve to test pedagogical approaches and research their development and reception. Following the educational activities (e.g. workshops with school groups, professional training for teachers or educators), interviews and Focus group discussions with the local educators supply data on the perceptions of the programmes, as well as on relevant curricula. In group discussions with the local stakeholders in the education sector, possibilities of implementation of the innovative approaches to contentious cultural heritages into curricula will be discussed. Questions for accompanying research: Which educational goals do the institution, the artists, the researchers pursue in relation to the conflictive heritage they are working on? How do the projects conceive their public? How are different stakeholders addressed/involved? Does the heritage institution “learn” in this process, and how does this learning take place (Inreach, Kamel/Gerbich 2014)? The staff of the CCP receives support to conduct educational activities and to document their development and realization. At the kick-off workshop, a set of methods for this research will be provided. Results of task 1 (pedagogical approaches) will serve the development of the educational activities of the CCPs.

**Task 3.3. Task Oral history school project, Romania (M24-36)**  
 The CCP in Romania will develop for this WP a project on oral history with a school group as part of their project “absent heritage”.

Task 3.4. Task action research on education with contentious collections at the Weltkulturen Museum, Frankfurt, Germany (M12-24)

Research project to develop educational strategies and materials concerning selected items of the ethnographic collections at Weltkulturen Museum Frankfurt. The research is conducted by a researcher of the Institute for Art Education, ZhdK Zurich, with educators of the museum (practitioner-researchers), as well as external collaborators from the areas of political education and social justice in Frankfurt. Following an action research paradigm, experimental educational formats are developed following a participatory analysis of the current learning programmes of the museum, which are then implemented and analysed in a triangulation of perspectives (educators/researcher). This task will contribute to the sustainable implementation of new educational methods for educating with ethnographic collections taking into account the conflicts such collections bring with them.

Task 3.5. Educational program for “Dead Images”, Scotland (M12-36) in close collaboration with WP5 and CCP4.

Development of a set of learning resources concerning the scientific collection of crania and the question of how we deal with these collections within contemporary cultures of memory and identity as articulated in reference to our encounters with human remains.

Task 3.6. Research on Museum Design to foster communication (M3-36)

The POLIMI research group will focus on the development of extensive surveys and investigations aimed to identify innovative and paradigmatic design strategies and tools for the enhancement and the transmission of contested heritages in museums, exhibitions and heritage sites. In this field, a particular effort will be dedicated to the different design practices – ranging from re-installations and implementation of new technologies, to the entwining of new museographic or artistic interventions dialoguing with the existing displays – which could overcome the difficulties in upgrading historical museums and installations with the aim to enable the revision of representation approaches, open up different layers of meaning and foster communication with wider, differentiated and multi-lingual audiences.

Task 3.7. Synthesis (M25-36)

Collect data and results from all research areas of this WP for WP4 for further analysis and the Contentious heritage manual of interesting practices, and methodologies of the innovative mediating of contentious heritage.

#### Participation per Partner

Partner number and short name	WP3 effort
2 - POLIMI	12.00
3 - UBER	2.00
5 - ZHDK	25.00
6 - Hosman Durabil	7.00
8 - UEDIN	2.00
9 - UJAG	2.00
10 - ULster	1.50
11 - DRS	2.00
<b>Total</b>	<b>53.50</b>

#### List of deliverables

Deliverable Number <sup>14</sup>	Deliverable Title	Lead beneficiary	Type <sup>15</sup>	Dissemination level <sup>16</sup>	Due Date (in months) <sup>17</sup>
D3.1	Report and material on approaches to education	5 - ZHDK	Report	Confidential, only for members of the consortium (including the	12

**List of deliverables**

Deliverable Number <sup>14</sup>	Deliverable Title	Lead beneficiary	Type <sup>15</sup>	Dissemination level <sup>16</sup>	Due Date (in months) <sup>17</sup>
				Commission Services)	
D3.2	Educational material for learning with ethnographic collections (results action research with the Weltkulturen Museum Frankfurt)	5 - ZHDK	Other	Public	30
D3.3	Minutes of stake holder workshops with the CCPs on educational approaches	5 - ZHDK	Report	Confidential, only for members of the consortium (including the Commission Services)	30

**Description of deliverables**

Report and material on approaches to education on contentious cultural heritage in Europe  
 Stake holder workshops with the CCPs on educational approaches, “Practical advice” on education on contentious cultural heritage in local contexts  
 Analysis of the accompanying educational programs of the CCPs for practical advices  
 Educational material for learning with ethnographic collections (results of the action research with the Weltkulturen Museum Frankfurt)

D3.1 : Report and material on approaches to education [12]  
 Result of the research on approaches to education on contentious cultural heritage; the materials serve to inform the educational work of the CCPs

D3.2 : Educational material for learning with ethnographic collections (results action research with the Weltkulturen Museum Frankfurt) [30]  
 The action research programme will result in materials to be used in learning programmes at the Weltkulturen Museum, with possibilities of methodological transfer to further institutions.

D3.3 : Minutes of stake holder workshops with the CCPs on educational approaches [30]  
 The educational programmes and stakeholder work of CCPs will be analyzed in focus groups with stakeholders from the educational sector.

**Schedule of relevant Milestones**

Milestone number <sup>18</sup>	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS2	Overview on contemporary discourse	3 - UBER	16	First research tasks completed: task 1.1; tasks 2.1 and 2.2; task 3.1; task 4.1 and task 5.1
MS3	Research and CCPs interim advancement	1 - UNI-KLU	24	Action research activities, workshops and questionnaire on CPPS

**Schedule of relevant Milestones**

<b>Milestone number <sup>18</sup></b>	<b>Milestone title</b>	<b>Lead beneficiary</b>	<b>Due Date (in months)</b>	<b>Means of verification</b>
				developed (tasks 1.3, 1.4 and 3.4 completed ); Ethnographic research fulfilled (tasks 2.3 and 4.2 completed)
MS4	Exhibitions of the CCPs and workshops	2 - POLIMI	32	Catalogues and other CCP results, workshop in Edinburgh, first draft of the manual exists.
MS5	Synthesis and end of the project	1 - UNI-KLU	36	Fulfilment of the final project tasks devoted to synthesis and critical analysis; final event and exhibition; TRACES contentious Heritage Manual

<b>Work package number</b> <sup>9</sup>	WP4	<b>Lead beneficiary</b> <sup>10</sup>	1 - UNI-KLU
<b>Work package title</b>	Performing Heritage: Creative everyday practices in popular culture		
<b>Start month</b>	1	<b>End month</b>	36

**Objectives**

- As a Transversal Collector and the theoretical backbone to the project, WP4 will ensure the comparative research approach by collaborating with WP6 on the dissemination of all TRACES activities report and by reviewing and theorising on best-practice examples to be collated in the Contentious Heritage Manual.
- Conceptualising and editing the Contentious Heritage Manual on the basis of contributions from all WPs and CCPs. This enables TRACES to contribute to a renewed European identity through best practice suggestions.
- Conducting artistic and ethnographic research into popular heritage repertoires in the rural Alpine-Adriatic region (Dordolla and Peč (Petzen) / Dreiländereck, with WP4 team member UNIKUM) and an urban area (Brixton in London, with stakeholders such as Black Cultural Archives).
- Enhancing citizens' agency by generating best-practice examples based on researching and performing popular heritage repertoires in everyday life including intangible heritage, digital formats and the living arts.
- Focussing on contentious cultural heritage related to multi-lingualism, cultural diversity and socioeconomic resources (e.g. alternative concepts of tourism and urban renewal).
- Identifying, assessing and evaluating reflexive tools and strategies of heritage transmission as building blocks for a new European identity, based on popular heritage repertoires.
- Developing and circulating contentious cultural heritage formats which are transferrable across Europe.

**Description of work and role of partners**

**WP4 - Performing Heritage: Creative everyday practices in popular culture** [Months: 1-36]  
**UNI-KLU, POLIMI, UBER, UNIVERSITY OSLO, ZHDK, Hosman Durabil, NHM, UEDIN, UJAG, ULster, DRS**  
 WP4 introduces and develops the new research perspective of reflexive Europeanisation from the margins in the context of contentious cultural heritage transmission with the arts. On the one hand, it acts as a theoretical backbone and Transversal Collector across all WPs and will edit the Contentious Heritage Manual in collaboration with all participants. The Contentious Heritage Manual will make available best practice advice based on the overall TRACES research and thereby contribute to a renewed and reflexive European identity. On the other hand, WP4 conducts ethnographic basic research with a focus on popular culture, especially intangible heritage (living arts, digital heritage). An everyday perspective ensures that citizens' agency is taken into account. The research addresses the question of how European conflicts in the recent and distant past are negotiated in the present through popular heritage repertoires and how, in turn, conflicts in the present are dealt with by recurring to the past. To meet TRACES' need to cover the widest possible range of popular heritage repertoires, two field-sites were selected. As both are affected by conflicts in past and present, the highest ethical standards need to be applied to ensure that research participants are properly informed and treated respectfully throughout the research interaction.

The rural field-site is the multi-lingual Alpine-Adriatic region (Austria, Slovenia, Italy). Two participatory artistic projects provide the focus for ethnographic research: a participatory opera production (Dordolla, Italy) and an art exhibition in the landscape at Peč (Petzen) / Dreiländereck, Carinthia/Austria). These are realised by WP4-member UNIKUM, a civic organisation who has been conducting participatory art projects and artistic research in the region for the past 25 years, drawing on popular culture. Two experienced ethnographers will accompany these productions through participant observation and narrative interviews. They will be supported by specially trained MA students of AAU, and work closely with UNIKUM.

The urban field-site is Brixton, a culturally diverse and multi-lingual urban neighbourhood facing urban renewal. As the urban landscape is transformed in a contentious process, the strong heritage of the neighbourhood is re-negotiated. Citizens of different backgrounds insist on their own narratives, using popular culture (intangible heritage, living arts, digital heritage). WP4 will cooperate throughout the ethnographic process with local networked citizen groups and the Brixton-based Black Cultural Archives.

The ethnographic research will provide a comparative perspective. It covers (1) marginality in a structurally underdeveloped rural area and in a global city neighbourhood where marginalised groups are facing removal caused by urban renewal (-> Europeanisation from the margins); (2) economic perspectives related to heritage such as alternative forms of tourism and urban renewal; (3) contention due to rural and urban exodus and decline; (4) different relationships to European cultural heritage, mediated by a long history of borderlands in central Europe dating back to the Hapsburg Empire and the Cold War; by British colonial and post-colonial history; and by the global flows of communication

(Appadurai 1996) amongst global cities (Sassen 2008) and in rural areas; (5) different forms of multi-lingualism, multi-culturalism and immigration: several long-standing language groups in the Alpine-Adriatic region plus more recent EU immigrants; in Brixton, in addition to numerous first languages, different versions of English exist as a lingua franca, including creoles spoken by post-war immigrants from the West-Indies and versions of 'Euro-English' spoken by more recent EU immigrants; (5) heritage-related creativity facilitated by institutions (civic association UNIKUM, Black Cultural Archives) and through a network logic (e.g. 'Reclaim Brixton' citizens' network); (6) urban and rural heritage repertoires (graffiti, sound-systems, video, choirs, theatre groups).

Within the methodological framework of reflexive ethnography, WP4 will draw on visual and media anthropology (Postill/Pink 2012, Rose 2012). Three approaches will be triangulated: (1) Collecting, securing and evaluating digital/social and print media on project-related creative and heritage activities, including stakeholder's own media; (2) Participant observation of production, performance and perception of popular heritage repertoires (e.g. video clips, websites, public assemblies, opera performance, landscape installation). This will be documented through visual and textual field-notes; (3) Narrative interviews and ethnographic conversations (Gajek 2014) with stakeholders and other actors of popular heritage repertoires will provide data on the subjective positions of citizens.

Additional innovative and participatory methods will be deployed, including initiating workshops on techniques of memory-making (narration, video, photography) with local residents and community groups. This enabling, agency-enhancing format increases public impact, while creating a space for ethnographic interaction.

#### Task 4.1 Research Review (M1-6)

WP 4 will review research at the intersection of cultural heritage, everyday practices and popular culture, including empirical examples. This includes work on urban and rural intangible heritage; digital memory practices; living arts, multi-lingualism and tourism. It will also review work on reflexive Europeanisation and social movement literature on repertoires, public performance and collective action.

#### Task 4.2 Ethnographic Research (M1-18 phase I; M18-24 phase II)

- Conducting ethnographic research in the rural Alpine-Adriatic region (Dordolla, Peč (Petzen) / Dreiländereck)
- Conducting ethnographic research in the urban London neighbourhood of Brixton.
- Processing research materials
- Reflecting upon and theorising research materials

#### Task 4.3 Public Impact / Public Awareness (M1-36)

Developing creative community-led local development approaches.

Realisation of an art exhibition in the landscape (Peč (Petzen) / Dreiländereck, Carinthia/Austria) and an opera production (Dordolla, Italy) by WP4 team member UNIKUM (part of the WP budget).

Co-producing and co-evaluating community-led digital forms of heritage transmission using popular culture (e.g. selfies) with citizens and stakeholders (Brixton, London).

Organising local workshop with stakeholders and experts in research field; results will be fed back to stakeholders by producing and disseminating printed results (poster or brochure).

Providing WP6 with materials on WP4 ethnographic and artistic research.

#### Task 4.4 Workshops/Exchange with CCPs other WPs (M3-M34)

WP 4 contributes sessions to general TRACES workshops and meetings

- Initial CCP workshop (with WP1 and WP2), guided session on reflexive ethnographic methods: developing shared research questions using reflexive methods; tools for ethnographic data collection on everyday culture, agree on tools for feedback to Transversal Collector.
- TRACES Intermediary Seminar (with WP1), training session for CCPs on reflexive interpretation of ethnographic material, guidance in preparing qualitative data on CCP research process for Transversal Collector.
- TRACES Final Event: session "doing heritage": a practice-based everyday perspective on intangible heritage.
- Conversing with CCPs and WPs on developing, implementing and evaluating contentious cultural heritage practices based on popular culture, focusing on digital heritage (e.g. selfies) (all CCPs), multi-lingualism (esp. CCP1) and tourism (esp. CCP1, 4).

#### Task 4.5 Synthesis & Integration (M3-M36)

As a Transversal Collector and theoretical backbone of the project, WP4 is dedicated to the management of the synthetic results of each WP (in relation to the five key objectives) and to the overall definition and presentation of the outcomes of the project (related to the achievements of the five key objectives). This includes:

- Establishing a process for transmitting information on WP processes, working papers, dossiers, selected qualitative data.
- Reviewing, synthesising and theorising materials from all WPs in preparation for TRACES Contentious Heritage Manual, including integration of local results.

- Conceptualising and editing TRACES Contentious Heritage Manual.
- Conducting editing workshop (M 30)
- Policy report on the value of contentious cultural heritage transmission with the arts in urban and rural settings

**Participation per Partner**

Partner number and short name	WP4 effort
1 - UNI-KLU	56.00
2 - POLIMI	1.00
3 - UBER	1.00
4 - UNIVERSITY OSLO	1.00
5 - ZHDK	1.00
6 - Hosman Durabil	0.50
7 - NHM	0.50
8 - UEDIN	0.50
9 - UJAG	2.00
10 - ULster	1.00
11 - DRS	1.50
<b>Total</b>	<b>66.00</b>

**List of deliverables**

Deliverable Number <sup>14</sup>	Deliverable Title	Lead beneficiary	Type <sup>15</sup>	Dissemination level <sup>16</sup>	Due Date (in months) <sup>17</sup>
D4.1	Minutes of local workshop for stakeholders and experts	1 - UNI-KLU	Report	Public	13
D4.2	Printed summary for stakeholders	1 - UNI-KLU	Report	Public	18
D4.3	Contentious Heritage Manual	1 - UNI-KLU	Report	Public	36
D4.4	Video documentation of participatory Opera in Dordolla	1 - UNI-KLU	Websites, patents filling, etc.	Public	9
D4.5	Online-catalogue of Peć	1 - UNI-KLU	Websites, patents filling, etc.	Public	10

**Description of deliverables**

D4.1 : Minutes of local workshop for stakeholders and experts [13]  
 The stakeholder workshop in Brixton will bring together members of different communities affected by urban renewal, to reflect together on contentious heritages using creative means such a graphic design or story-telling.



Potential participants are local artists, musicians, graphic designers and cultural workers as well as citizens' community groups. Brixton Black Cultural Archives will be invited.

D4.2 : Printed summary for stakeholders [18]

A printed summary of the different heritages unearthed during fieldwork will be delivered to stakeholders, including residents of the affected communities, citizens groups and local institutions. Depending on local needs, this summary will emphasize either visualisation (poster), text (brochure) or both.

D4.3 : Contentious Heritage Manual [36]

Contentious Heritage Manual

D4.4 : Video documentation of participatory Opera in Dordolla [9]

Within WP4 a participatory Opera in Dordolla, a little village in the Alps, is planned where all the inhabitants are part of. A video documentation will be made and submitted.

D4.5 : Online-catalogue of Peč [10]

In the economically troubled area of the Dreiländereck / Peč various actions/installations will take place and also result in an online-catalogue.

### Schedule of relevant Milestones

Milestone number <sup>18</sup>	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS2	Overview on contemporary discourse	3 - UBER	16	First research tasks completed: task 1.1; tasks 2.1 and 2.2; task 3.1; task 4.1 and task 5.1
MS3	Research and CCPs interim advancement	1 - UNI-KLU	24	Action research activities, workshops and questionnaire on CPPS developed (tasks 1.3, 1.4 and 3.4 completed); Ethnographic research fulfilled (tasks 2.3 and 4.2 completed)
MS4	Exhibitions of the CCPs and workshops	2 - POLIMI	32	Catalogues and other CCP results, workshop in Edinburgh, first draft of the manual exists.
MS5	Synthesis and end of the project	1 - UNI-KLU	36	Fulfilment of the final project tasks devoted to synthesis and critical analysis; final event and exhibition; TRACES contentious Heritage Manual
MS6	UNIKUM projects and relating data collection finished	1 - UNI-KLU	8	Programs of "UNIKUM-Dordolla – Participatory opera with citizens" and "UNIKUM Peč (Petzen) / Dreiländereck – Participatory art project with citizens"

<b>Work package number</b> <sup>9</sup>	WP5	<b>Lead beneficiary</b> <sup>10</sup>	3 - UBER
<b>Work package title</b>	Contentious Collections: Research on Material Culture of Difficult Cultural Heritage		
<b>Start month</b>	1	<b>End month</b>	36

**Objectives**

- To establish Creative Co-Productions (CCPs) of engagements with three selected areas of contentious cultural heritage of death and the human body and by doing so to engage a range of stakeholders, especially heritage institutions, in reflection, research, debate, and artistic representation of those collections.
- To undertake comparative and contextual analysis in order to identify the particular challenges and potentials involved in transmitting such heritage.
- To provide thorough documentation of the Creative Co-Productions (CCP) to act as case-studies in broader debates about difficult heritage.
- Through the previous objectives, to collaborate with the research of WP3 for finding new ways of mediating difficult collections and using them for educational purposes.
- Through the above to contribute to the TRACES Contentious Heritage Manual (WP4) for reflexive heritage transmission.

**Description of work and role of partners**

**WP5 - Contentious Collections: Research on Material Culture of Difficult Cultural Heritage** [Months: 1-36]  
**UBER, ZHDK, NHM, UEDIN, UJAG, DRS**

This WP researches and supports CCP4 (Dead Images), CCP2 (Awkward Objects) and CCP3 (Casting of Death) in their work on collections of human remains, death masks and Holocaust vernacular art. It organises a workshop for the CCPs and relevant stakeholders on material culture and museum practices of keeping and representing difficult collections and making them accessible to the public. It supports the CCPs in contextualising their work in a broad context of museology and contentious cultural heritage work and in developing creative approaches for working with the sensitive collections. Through the research in this WP, local case studies can be understood in relation to the history of museums and collections and their implication for the collections. The WP helps the CCPs to better understand their work and ensures scientific standards. In order to achieve reflexive Europeanisation with regard to practice and work in local museums and collections, this WP extends the inventory beyond the case studies of the individual CCPs and develops a general European understanding of these collections.

Prof. Sharon Macdonald (WP leader) is professor of social anthropology specialising in museology and critical heritage studies.

**Task 5.1. Literature Overview and a Survey of Contentious Cultural Heritage (M1–12)**

- Providing an overview of the contemporary discourse of contentious cultural heritage and difficult museum objects.
- Undertaking surveys of human remains in European museum collections (P3, P7, P8, CCP4); collections of death masks in Slovenian public heritage institutions (P11, CCP3); and vernacular Holocaust art in Poland (P9, CCP2).

**Task 5.2. Undertake Engagements with CCPs with Contentious Collections (M6-30)**

- Hold joint training session with other WPs on ethical issues and support WP7 to set up a board of experts for consultation and guidance.
- Conduct collaborative research and artistic representation of the three case-studies CCP2, CCP3, CCP4.

**Task 5.3 Undertake Documentation and Comparative Analysis of the Challenges and Potentials of CCP of Representations of Contentious Collections (M6-36)**

- Conduct continuous documentation of the case studies in process.
- Analyse each one in relation to its specific context, aims and implications for engagements with contentious cultural heritage.
- Analyse the three in comparative relationship to (a) each other and (b) broader cases and theorising from the literature review in order to assess the challenges and potentials for reflexive heritage in Europe.
- Collect data and results from all research areas of this WP for the WP6 in order for them to (a) disseminate the findings of the project to stakeholders and (b) to encourage stakeholders to raise questions around contentious cultural heritage.
- Collect data and results from all research areas of this WP for WP4 for further analysis and the publication of successful practices and impacts of the innovative mediating of contentious cultural heritage.

**Task 5.4. Support the Development of Exhibitions, Workshops, Educational Programmes and Digital Interfaces for Broader Audiences on Contentious Collections (M12-36)**

Diverse dissemination actions with CCPs 2,3,4 and broad audiences will serve to (a) involve the public and stakeholders in the research and outcomes of the CCPs, (b) provide a platform for the implementation and analysis of innovative approaches to contentious cultural heritage, (c) provide materials for publications on the dissemination of contentious cultural heritage.

- Provide a workshop in collaboration with WP3 on museology aspects of contentious cultural heritage for teams of CCPs 2,3,4, involved stakeholders, and the public in Berlin.
- Support and augment research done by NHM (P7) for an exhibition at UEDIN (P8) on human remains in museum collections (CCP4).
- Support a two-day interdisciplinary workshop held by CCP4 at UEDIN (P8) on the legacy of skull collections in Europe.
- CCP2 will create a dynamic digital collection of vernacular Holocaust art through collaborations with ethnographic museums, private collectors and the vernacular artists/their inheritors.
- CCP3 will create a digital open database of death masks and their impact on national narratives and identities.

**Task 5.5. Publishing Articles and Conference/research Papers on European Contentious Collections/online Videos (M18-36)**

This task is undertaken in close collaboration with WP6 (Dissemination).

- The workshop proceedings at UEDIN (P8) will be made into an online video essay and form the basis of edited publications concerning scientific skull collecting in Europe.
- Publishing a book with artwork and scientific research on collections of vernacular Holocaust art in Poland (CCP2).
- Publishing an online database of death masks and their implications.
- Contributing to the TRACES Contentious Heritage Manual for reflexive heritage transmission.

**Participation per Partner**

Partner number and short name	WP5 effort
3 - UBER	30.00
5 - ZHDK	1.00
7 - NHM	2.00
8 - UEDIN	2.00
9 - UJAG	4.00
11 - DRS	3.00
<b>Total</b>	<b>42.00</b>

**List of deliverables**

Deliverable Number <sup>14</sup>	Deliverable Title	Lead beneficiary	Type <sup>15</sup>	Dissemination level <sup>16</sup>	Due Date (in months) <sup>17</sup>
D5.1	Workshop Berlin: Summary Report	3 - UBER	Report	Public	24
D5.2	Workshop Edinburgh: Summary Report	8 - UEDIN	Report	Public	30

**Description of deliverables**

D5.1 : Workshop Berlin: Summary Report [24]

The workshop will be held in collaboration with WP3 on museology aspects of contentious cultural heritage for all WP5 related CCPs and stakeholders. Responsible partner: UBER

D5.2 : Workshop Edinburgh: Summary Report [30]

Report on the workshop on human remains in collections. The workshop will focus on different attitudes and voices regarding such sensitive collections (i.e. voices of communities who might want to have their ancestral remains returned and buried, theoreticians who develop recommendations for ethical questions, scientist who work with human remains,...), and its results results will also nurture the CCP4 exhibition (see D1.3). Responsible partner: University of Edinburgh

**Schedule of relevant Milestones**

Milestone number <sup>18</sup>	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS2	Overview on contemporary discourse	3 - UBER	16	First research tasks completed: task 1.1; tasks 2.1 and 2.2; task 3.1; task 4.1 and task 5.1
MS4	Exhibitions of the CCPs and workshops	2 - POLIMI	32	Catalogues and other CCP results, workshop in Edinburgh, first draft of the manual exists.
MS5	Synthesis and end of the project	1 - UNI-KLU	36	Fulfilment of the final project tasks devoted to synthesis and critical analysis; final event and exhibition; TRACES contentious Heritage Manual

<b>Work package number</b> <sup>9</sup>	WP6	<b>Lead beneficiary</b> <sup>10</sup>	2 - POLIMI
<b>Work package title</b>	Dissemination and Communication		
<b>Start month</b>	1	<b>End month</b>	36

**Objectives**

The main objective of TRACES dissemination activities is to foster a wide utilisation of the advancement of knowledge produced by the project: this task is meant

- 1) to enable the knowledge acquired through research activities to be considered for use in decision- making processes and
- 2) to stimulate change or to act as a catalyst for further specific actions and research projects designed to enhance the role of heritage in promoting a wider, more “open” and inclusive awareness of European identities.

This Work Package has a two-sided mission: on the one hand it is intended to effectively communicate and promote the project outcomes, on the other it aims to identify and experiment with innovative tools for incisively transmitting the results of research projects operating within the field of the social sciences and heritage. In this framework, the concept of dissemination is indissolubly linked with the development of research activities and the availability and accessibility of the findings produced. In order to implement this concept, an extensive set of open access tools, resources and public events will be organised. The development of a multi-layered and multi-target communication plan will allow for the valorisation of the specific features and scientific value of the different actors and activities related to the project, as well as the promotion of a unitary, consistent and recognisable identity.

Through the design, implementation and management of a set of traditional and innovative dissemination tools and actions, this Work Package intends:

- To efficiently and comprehensively display, communicate and promote the different activities and outcomes of the project to specific target audiences as well as to the public at large;
- To individuate, develop and experiment with innovative dissemination strategies and instruments aimed at nurturing and contributing to the enhancement of research activities, building on the mutual relationships between the production and communication of knowledge which characterises social sciences and humanities;
- To widen and strengthen the societal impact of the project and to enhance the dissemination and exploitation of its findings and products;
- To facilitate the project coordination tasks, to manage the communication between the partners, and to foster interdisciplinary exchanges and collaborations within and beyond the project consortium.

**Description of work and role of partners**

**WP6 - Dissemination and Communication** [Months: 1-36]  
**POLIMI**, UNI-KLU, UBER, UNIVERSITY OSLO, ZHDK, Hosman Durabil, UEDIN, UJAG, ULster, DRS  
 Task 6.1 (0 - 8 months): Design and Implementation of the Project Dissemination Tools

The dissemination tools implemented and exploited by the project will include: Brand Identity Pack (project logo, letterhead, and the templates for brochures and policy briefs, newsletters, web platforms, magazine, poster, banner, postcards, books, etc.); project leaflet (a printed flyer aimed at providing basic information about the project, to be circulated at conferences and meetings); Project website, blog, newsletter, social-media accounts and other online platforms aimed at presenting the project and its development, providing up-to-date and comprehensive information, promoting the project activities and events within virtual communities and networks, as well as fostering interactions with individuals and groups by exploiting the dialogic communication system enabled by the Internet; internal website (a private online platform operating as the repository of the project documents and identity pack tools, allowing for the sharing of the materials and facilitating communication and cooperation among the partners). In addition to these traditional dissemination instruments, the project will develop:

TRACES Magazine: a quarterly journal aimed at illustrating the activities developed within all the WPs and CCPs, and promoting the in-progress and final results of the project. The journal will be a publication shared through all the project dissemination tools (website, newsletter, social media accounts, etc.) as well as through further websites and repositories; a limited number of paper copies will be printed to be distributed in selected museums and other institutions (starting with the project partners). The Magazine will be edited by POLIMI with contribution from all the partners as well as selected guests. Each WP leader will be responsible for the production of one thematic special issue (reporting the activities and outcomes of the WP) to be scheduled at the end of the WP (or in a specific strategic moment along the WP timeline). The first Magazine issue will be conceived as the initial project brochure and will synthetically present the overall activities and objectives.

TRACES Video Channel: an online platform (in the form of a video-blog, you tube channel or similar means) operating as a communicative project aimed at assembling, conveying and sharing the main results of the CCP and WP investigations, facilitating exchanges and collaborations within and beyond the consortium, and thus strengthening the impact of the project. This tool is also conceived to overcome the difficulties related to travel costs (within the present economic frame) and to allow scholars, practitioners, artists and policymakers to participate and access the results of the scientific events and the CCPs although they cannot be physically present at the venues where they will take place. The online platform will consist of an archive of digital contributions (e.g. lectures, talks, interviews, performances, etc.) to be posted and thus made accessible for the scientific and artistic communities at large. The organisation of this online platform should allow for a wide-open transmission and sharing of the project contents.

Task 6.2 (0 - 36 months): Management of the Dissemination Tools.

The task focuses on the updating, editing and managing of the website, bulletins and newsletters, the video-blog, the Magazine, the internal website and the social media accounts. This task also includes supporting all the partners in using the project platforms and instruments, and the coordination and organisation of their contribution to the development of the dissemination tools (posting contents on the video-blog, proposing contributions to the Magazine, etc.).

Task 6.3 (0 - 36 months): Design, Organisation and Promotion of Dissemination Events.

The task includes:

- the organisation of the project general events aimed at presenting the overall activities and results – these are: the opening Kick-off Meeting, the Midterm Seminar and the closing Final Event;
- the promotion of all the events organised within the project through the comprehensive use of the project Dissemination tools;
- the organisation of the public events related to the promotion of the individual CCPs or to the dissemination of the main findings of WPs.

Task 6.4 (8 - 36 months): Development of the Project Dissemination.

The task includes the following activities:

- To support knowledge advancement by detecting, fostering and enhancing the contribution of dissemination tools and action to research activities.
- To promote the project results by means of dissemination tools as well as participating in international events, facilitating exchanges with other scholars, practitioners, artists and policymakers, and exploiting the interplay with international, national or local platforms and events (e.g. from ICOM conferences to local initiatives in the areas where the CCP are going to take place).
- To promote the construction of wealthy and fruitful collaborations and research networks by fostering cooperation among inter-disciplinary research groups, different museums, galleries, archives, public bodies, etc.
- To support the production of a relevant set of policies for use by the EC, by developing an efficient exploitation plan of the project results, as well as by organising roundtables with policymakers aimed at effectively defining and applying the project impact.

Task 6.5 (0 - 36 months): Coordination of the Project Internal Communication.

The task includes the management of the tools, activities and events related to communication between the partners (e.g. from the management of the internal website to the organisation of internal meetings intended to gather all members of the consortium together); the task aims to facilitate and foster exchanges and collaborations within and beyond the project consortium.

#### PARTNERS ROLE

POLIMI/Politecnico di Milano will lead this Work Package, and will therefore be responsible for the organisation and coordination of the tasks, as well as for the verification of the advancement and fulfillment of the results. In particular, POLIMI will design and organise the implementation of the dissemination tools; manage the development and up-grade of the different online platforms (website, video-blog, etc.); edit the Magazine; organise and promote the general public events (Kick-off Meeting and Final Event); promote the brand identity of the project to specific target audiences as well as to the public at large. Furthermore, it will support all the other partners in the use of and contribution to the project dissemination platforms and tools, and will foster communication and cooperation within and beyond the consortium.

All partners included in the TRACES consortium will be involved in the communication and dissemination activities at various levels (e.g. contributing to the implementation of the dissemination tools, producing contents to be included in the Magazine and Online Symposia platform, organising and promoting dissemination events, etc.).

All partners operating as WP Leader and the CCP teams will be responsible for the release of a special issue of the project Magazine.

**Participation per Partner**

Partner number and short name	WP6 effort
1 - UNI-KLU	6.00
2 - POLIMI	28.00
3 - UBER	2.00
4 - UNIVERSITY OSLO	1.00
5 - ZHDK	1.00
6 - Hosman Durabil	1.50
8 - UEDIN	1.50
9 - UJAG	1.50
10 - ULster	1.00
11 - DRS	1.50
<b>Total</b>	<b>45.00</b>

**List of deliverables**

Deliverable Number <sup>14</sup>	Deliverable Title	Lead beneficiary	Type <sup>15</sup>	Dissemination level <sup>16</sup>	Due Date (in months) <sup>17</sup>
D6.1	Kick-off Meeting: summary report	2 - POLIMI	Report	Public	4
D6.2	Basic dissemination tools	2 - POLIMI	Websites, patents filling, etc.	Confidential, only for members of the consortium (including the Commission Services)	4
D6.3	TRACES Magazine	2 - POLIMI	Websites, patents filling, etc.	Public	8
D6.4	Midterm workshop: summary report	2 - POLIMI	Report	Public	24
D6.5	Final event: summary report	2 - POLIMI	Report	Public	36
D6.6	Final Exhibition: report	2 - POLIMI	Report	Public	36

**Description of deliverables**

D6.1 : Kick-off Meeting: summary report [4]

Summary report of the Kick-off Meeting including programme of the event, data, images, and dissemination materials.

D6.2 : Basic dissemination tools [4]

Basic dissemination tools: design, setting, implementation and release of: the project websites (internal and public), the project leaflet, and the project corporate image (project logo, and the templates for brochures and policy briefs,

letterhead, newsletters, web platforms, magazine, poster, banner, postcards, books, etc.). Platform for communication and documentation of the aims, tasks, developments, timelines and deliverables of the CCPs' projects.

D6.3 : TRACES Magazine [8]

Release of the first issue of the Magazine.

D6.4 : Midterm workshop: summary report [24]

Report on the Midterm workshop including programme, summary of the issue discussed and other details. The midterm workshop will be a moment aimed at presenting the in-progress development of the project, as well as at gathering further stimuli for the research activities through debate and exchange with scholars, museum practitioners, cultural operators and policy makers.

D6.5 : Final event: summary report [36]

Report of the final public event aimed at illustrating and disseminating the overall outcomes of the project. The event will include also a conference organised in collaboration with University Oslo. The event will include a conference (organized in collaboration with WP2 and University Oslo (P4)) and a final exhibition organized in collaboration with WP1. The report will include the programme of the event, a summary of its core topics, data and other materials such as flyers, press release, etc.

D6.6 : Final Exhibition: report [36]

Report including conference programme and images from the final exhibition. This will be an exhibition on arts-based research methods for dealing with contentious cultural heritage. The exhibition will be fed by the artistic outcomes/exhibitions of the CCPs and will be organised within the Project final event.

#### Schedule of relevant Milestones

Milestone number <sup>18</sup>	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS1	Project launch	2 - POLIMI	8	Kick of meeting held; dissemination and communications tools and platforms online; first issue of the TRACES magazine released; Advisory board named, and ethic report delivered.
MS5	Synthesis and end of the project	1 - UNI-KLU	36	Fulfilment of the final project tasks devoted to synthesis and critical analysis; final event and exhibition; TRACES contentious Heritage Manual



<b>Work package number</b> <sup>9</sup>	WP7	<b>Lead beneficiary</b> <sup>10</sup>	1 - UNI-KLU
<b>Work package title</b>	Management		
<b>Start month</b>	1	<b>End month</b>	36

**Objectives**

- To manage the project according to approved plans.
- To monitor, track and control deviations due to progress, costs, financial and scheduling changes.
- To ensure that the required reporting is prepared and delivered in a timely manner according to quality assurance standards and homogeneity.
- To ensure that ethic requirements are met.

**Description of work and role of partners**

**WP7 - Management** [Months: 1-36]  
**UNI-KLU, POLIMI, UBER, UNIVERSITY OSLO, ZHDK, Hosman Durabil, NHM, UEDIN, UJAG, ULster, DRS**

**7.1. Overall project management (M1-36)**  
 UNI-KLU (P1) assumes the overall management of the project and of the TRACES consortium. The Project Coordinator (PC) will be the contact point with the EC. It will collect the administrative, legal and financial documents to be submitted to EC; should it be necessary the PC will prepare requests of amendments to the European Commission (e.g. amendment request for entrance or withdrawal of beneficiaries).  
 Task 7.1 also includes the preparation and distribution of agendas and minutes for the monthly Steering Committee (SC) video-call meetings and preparation and arrangement of the annual consortium meetings. UNI-KLU will organise the kick-off meeting and the enclosed workshop. It will monitor the project, e.g. through defining and checking consequences according to budget, scheduling and objectives.

**Task 7.2. Evaluation and Quality Assurance (M1-36)**  
 This task encompasses assessment of the quality of processes and deliverables, as well as identification of key success factors. It is carried out together with the other WP leaders.

**Task 7.3. Progress and Cost Reporting (M1-36)**  
 This task will establish a clear reporting structure for reporting to the EC and for internal communication within the project. Activities that have to be performed in this task are:

- Cost control: UNI-KLU (P1) prepares periodical status reviews on expenditure for each individual partner and a summary of the overall consortium; these are communicated by the PC to each partner and/or to the entire consortium.
- Providing administrative/financial data and relative explanations requested for each reporting period: table including detailed explanation of the use of resources for each partner, Form C and if applicable Certificate on Financial Statement.
- Providing customised reporting templates to all partners.
- Assisting the administrative staff of partners on how to complete the templates and revising their first draft documents to be submitted to the PC.
- Controlling the administrative/financial documents provided by the partners.
- Maintaining a document repository for reporting.
- Submitting punctual reports and cost claims.

**Task 7.4. ethics compliance (M1-36)**  
 UNI-KLU (P1) is responsible for the compliance with the ethical standards on national and EU level within the project. It takes care that the ethical standards and guidelines of Horizon2020 will be rigorously applied, also in Norway and Switzerland. It will timely submit all necessary approvals, information sheets and informed consent papers. It will also guarantee that data collection, storage, protection, retention and destruction complies with national and EU legislation, as well as the fulfilment of all issues identified within the ethical review and stated in the ethical screening report.

**Task 7.5. other Legal Issues (M1-36)**  
 This task is based on the Consortium Agreement and mainly deals with the definition of access rights to the project knowledge. The Steering Committee establishes the rules for the access and exploitation of the pre-existing knowledge of the individual partners and of the results obtained thus far. This task is strictly related to the implementation and maintenance of the Consortium Agreement signed between the project partners defining and implementing technical, managerial, financial and Intellectual Property Rights (IPR) related provisions to enable partners to carry out their work.

**Task 7.6. Internal Communication and Networking (M1-36)**

UNI-KLU (P1) will be responsible for efficient communication between the TRACES partners. UNI-KLU will disseminate minutes and other outcomes from the Steering Committee and Ethical Advisory Board meetings to all partners.

**Participation per Partner**

Partner number and short name	WP7 effort
1 - UNI-KLU	18.00
2 - POLIMI	1.00
3 - UBER	1.00
4 - UNIVERSITY OSLO	1.00
5 - ZHDK	1.00
6 - Hosman Durabil	0.50
7 - NHM	0.50
8 - UEDIN	0.50
9 - UJAG	0.50
10 - ULster	0.50
11 - DRS	0.50
<b>Total</b>	<b>25.00</b>

**List of deliverables**

Deliverable Number <sup>14</sup>	Deliverable Title	Lead beneficiary	Type <sup>15</sup>	Dissemination level <sup>16</sup>	Due Date (in months) <sup>17</sup>
D7.1	Interim Progress Report	1 - UNI-KLU	Report	Confidential, only for members of the consortium (including the Commission Services)	24
D7.2	Report on ethical issues	1 - UNI-KLU	Report	Confidential, only for members of the consortium (including the Commission Services)	3
D7.3	Naming of Ethical Advisory board	1 - UNI-KLU	Report	Public	2

**Description of deliverables**

- Drafting of the reports and associated documents and forms as required by the agreement with the EC;
- Streamlining and coordinating activities of TRACES with other activities relevant to the project to ensure synergies and avoid redundancies and duplications;
- Acting as the primary spokesman of the SC on behalf of the participants of TRACES for all formal written and verbal communication with the EC;
- Distributing the EC funds to the partners as agreed.

D7.1 : Interim Progress Report [24]

UNI-KLU will deliver a short report to update the commission on activities in the 12 months before.

D7.2 : Report on ethical issues [3]

Collection of the necessary ethical approvals and letters for informed consent is completed and the report will - together with the papers mentioned above - be sent to the EC.

D7.3 : Naming of Ethical Advisory board [2]

Until M3 and with support of WP5 we want to set up an ethical advisory board which is available for questions, discussions and advice concerning ethical issues of the topics touched within the project. Members will also be invited to contribute to the workshop of WP5 on ethical issues concerning contentious collections.

**Schedule of relevant Milestones**

Milestone number <sup>18</sup>	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
MS1	Project launch	2 - POLIMI	8	Kick of meeting held; dissemination and communications tools and platforms online; first issue of the TRACES magazine released; Advisory board named, and ethic report delivered.
MS5	Synthesis and end of the project	1 - UNI-KLU	36	Fulfilment of the final project tasks devoted to synthesis and critical analysis; final event and exhibition; TRACES contentious Heritage Manual

<b>Work package number</b> <sup>9</sup>	WP8	<b>Lead beneficiary</b> <sup>10</sup>	1 - UNI-KLU
<b>Work package title</b>	Ethics requirements		
<b>Start month</b>	1	<b>End month</b>	36

**Objectives**

The objective is to ensure compliance with the 'ethics requirements' set out in this work package.

**Description of work and role of partners**

**WP8 - Ethics requirements** [Months: 1-36]  
**UNI-KLU**  
 This work package sets out the 'ethics requirements' that the project must comply with.

**List of deliverables**

<b>Deliverable Number</b> <sup>14</sup>	<b>Deliverable Title</b>	<b>Lead beneficiary</b>	<b>Type</b> <sup>15</sup>	<b>Dissemination level</b> <sup>16</sup>	<b>Due Date (in months)</b> <sup>17</sup>
D8.1	H - Requirement No. 1	1 - UNI-KLU	Ethics	Confidential, only for members of the consortium (including the Commission Services)	3
D8.2	NEC - Requirement No. 3	1 - UNI-KLU	Ethics	Confidential, only for members of the consortium (including the Commission Services)	3
D8.3	POPD - Requirement No. 2	1 - UNI-KLU	Ethics	Confidential, only for members of the consortium (including the Commission Services)	3

**Description of deliverables**

The 'ethics requirements' that the project must comply with are included as deliverables in this work package.

D8.1 : H - Requirement No. 1 [3]  
 1. Details on the procedures and criteria that will be used to identify/recruit research participants must be provided because project is orientated to contentious heritage. 2. Detailed information must be provided on the informed consent procedures that will be implemented. 3. The applicant must clarify whether children and/or adults unable to give informed consent will be involved and, if so, justification for their participation must be provided. 4. The applicant must clarify how consent/assent will be ensured in case children and/or adults unable to give informed consent are involved. 5. The applicant must clarify which vulnerable individuals/groups will be involved. Details must be provided about the measures taken to prevent the risk of enhancing vulnerability/stigmatisation of individuals/groups.

D8.2 : NEC - Requirement No. 3 [3]  
 1. The applicant must confirm that the ethical standards and guidelines of Horizon2020 will be rigorously applied, regardless of the country in which the research is carried out, Switzerland and Norway

D8.3 : POPD - Requirement No. 2 [3]

1. Copies of ethical approvals for the collection of personal data by the competent University Data Protection Officer / National Data Protection authority must be submitted, before the commencement of the relevant work package. 2. Justification must be given in case of collection and/or processing of personal sensitive data. 3. Detailed information must be provided on the procedures that will be implemented for data collection, storage, protection, retention and destruction and confirmation that they comply with national and EU legislation.

#### Schedule of relevant Milestones

Milestone number <sup>18</sup>	Milestone title	Lead beneficiary	Due Date (in months)	Means of verification
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### 1.3.4. WT4 List of milestones

Milestone number <sup>18</sup>	Milestone title	WP number <sup>9</sup>	Lead beneficiary	Due Date (in months) <sup>17</sup>	Means of verification
MS1	Project launch	WP1, WP6, WP7	2 - POLIMI	8	Kick of meeting held; dissemination and communications tools and platforms online; first issue of the TRACES magazine released; Advisory board named, and ethic report delivered.
MS2	Overview on contemporary discourse	WP1, WP2, WP3, WP4, WP5	3 - UBER	16	First research tasks completed: task 1.1; tasks 2.1 and 2.2; task 3.1; task 4.1 and task 5.1
MS3	Research and CCPs interim advancement	WP1, WP2, WP3, WP4	1 - UNI-KLU	24	Action research activities, workshops and questionnaire on CPPS developed (tasks 1.3, 1.4 and 3.4 completed ); Ethnographic research fulfilled (tasks 2.3 and 4.2 completed)
MS4	Exhibitions of the CCPs and workshops	WP1, WP3, WP4, WP5	2 - POLIMI	32	Catalogues and other CCP results, workshop in Edinburgh, first draft of the manual exists.
MS5	Synthesis and end of the project	WP1, WP2, WP3, WP4, WP5, WP6, WP7	1 - UNI-KLU	36	Fulfilment of the final project tasks devoted to synthesis and critical analysis; final event and exhibition; TRACES contentious Heritage Manual
MS6	UNIKUM projects and relating data collection finished	WP4	1 - UNI-KLU	8	Programs of "UNIKUM-Dordolla – Participatory opera with citizens" and "UNIKUM Peč (Petzen) / Dreiländereck – Participatory art project with citizens"

1.3.5. WT5 Critical Implementation risks and mitigation actions

Risk number	Description of risk	WP Number	Proposed risk-mitigation measures
R1	IPR unclearities	WP1	Setting up an appropriate IPR plan
R2	Lack of effectiveness of the overall coordination and management structure	WP7	Written rules and procedures in the Consortium Agreement before the start of the project and they will be collected in an input document applicable to all work packages. Consortium meetings will be organised every 6 months, and whenever needed upon partner request; they will be aimed at discussing about research advancements and possible problems that may come to light during the development of the project activities. This guarantees that every issue can be properly assessed and timely addressed. Meetings will be held both via Skype-conference and face-to-face (at least yearly).
R3	Organizational structures or key personnel may change at one or more of the centres	WP1, WP2, WP3, WP4, WP5, WP6, WP7	The structure of TRACES is based on a previously well established network between most of the consortium members, WP 1 and the CCPs. This network is based on commitment, shared interests and trust. This strong SC and consortium will work together under the lead of an advanced networker to collectively find solutions to solve any problems or crises. The periodical Consortium meetings will contribute to keep partners timely updated about changes and prevent the problems that may ensue.
R4	Disparity of research interests	WP1, WP2, WP3, WP4, WP5, WP6, WP7	TRACES brings together a broad variety of research interests around our common research question of how to find

Risk number	Description of risk	WP Number	Proposed risk-mitigation measures
			creative methods to transmit contentious cultural heritage. From that perspective the function of the “transversal collector” (WP4) is crucial. There is also a possible tension embedded in the TRACES approach as we develop collaborations between artists and from the field of ethnography, social sciences, humanities; this tension is a part of our research interest.
R5	Non-involvement of citizens	WP1, WP4	All the CCPs and the research projects of WP 4 work closely with local communities and the direct participation of the citizens. The innovative approach of the CCPs is based on participatory citizen involvement. WP1 is mainly responsible for ensuring the participatory approach within the CCPs.
R6	Stakeholders are not involved sufficiently	WP3	One of the main objectives of TRACES is the involvement of stakeholders. That’s why a whole WP is dedicated to education and the involvement of stakeholders (WP3). In collaboration with this WP all the local CCPs will organise workshops for their specific stakeholder (from the field of cultural and educational politicians to the teachers, churches, NGOs, museums and touristic agencies). The aim of these workshops is the inclusion of the stakeholder in the development of the new innovative CCP approach, the new method to transmit contentious cultural heritage and to develop reflexive Europeanisation. The concept of accompanying



Risk number	Description of risk	WP Number	Proposed risk-mitigation measures
			<p>research used by ZHdK leading WP3 has the advantage that results of the research are fed back into the process in a circular way. As the way the CCPS approach stakeholders and conceive their publics is one of the research questions, problems to achieve this will not only be detected at an early stage by the research, but also this analysis will be brought back to the CCPs for the development of solutions. Additionally a wide range of communication tools will be implemented: these will guarantee an effective dissemination of the project, targeted to different audiences including stakeholders.</p>
R7	Differences and conflicts within the CCPs	WP1, WP7	<p>This risk is part of the research interest – the conflicts will be analysed to provide good ideas of how to solve them. We have actively selected partners for this production mode who we believe are capable of managing this innovative way of production. The lead and the task manager for the CCPs have rich experiences of similar projects in the artistic field and are foreseen to act as mediators.</p>

### 1.3.6. WT6 Summary of project effort in person-months

	WP1	WP2	WP3	WP4	WP5	WP6	WP7	WP8	Total Person/Months per Participant
1 - UNI-KLU	0	0	0	56	0	6	18		80
2 - POLIMI	6	0	12	1	0	28	1		48
3 - UBER	22	0	2	1	30	2	1		58
4 - UNIVERSITY OSLO	0.50	15.50	0	1	0	1	1		19
5 - ZHDK	2	0	25	1	1	1	1		31
6 - Hosman Durabil	38	2	7	0.50	0	1.50	0.50		49.50
7 - NHM	0.50	0	0	0.50	2	0	0.50		3.50
8 - UEDIN	2	1	2	0.50	2	1.50	0.50		9.50
9 - UJAG	10	2	2	2	4	1.50	0.50		22
10 - ULster	3	1	1.50	1	0	1	0.50		8
11 - DRS	4	1	2	1.50	3	1.50	0.50		13.50
<b>Total Person/Months</b>	88	22.50	53.50	66	42	45	25		342

### 1.3.7. WT7 Tentative schedule of project reviews

<b>Review number <sup>19</sup></b>	<b>Tentative timing</b>	<b>Planned venue of review</b>	<b>Comments, if any</b>
RV1	14	Brussels (TBC)	First reporting period review
RV2	36	Brussels (TBC)	Second (final) reporting period review. Will be held M36-M38

### **1. Project number**

The project number has been assigned by the Commission as the unique identifier for your project. It cannot be changed. The project number **should appear on each page of the grant agreement preparation documents (part A and part B)** to prevent errors during its handling.

### **2. Project acronym**

Use the project acronym as given in the submitted proposal. It can generally not be changed. The same acronym **should appear on each page of the grant agreement preparation documents (part A and part B)** to prevent errors during its handling.

### **3. Project title**

Use the title (preferably no longer than 200 characters) as indicated in the submitted proposal. Minor corrections are possible if agreed during the preparation of the grant agreement.

### **4. Starting date**

Unless a specific (fixed) starting date is duly justified and agreed upon during the preparation of the Grant Agreement, the project will start on the first day of the month following the entry into force of the Grant Agreement (NB : entry into force = signature by the Commission). Please note that if a fixed starting date is used, you will be required to provide a written justification.

### **5. Duration**

Insert the duration of the project in full months.

### **6. Call (part) identifier**

The Call (part) identifier is the reference number given in the call or part of the call you were addressing, as indicated in the publication of the call in the Official Journal of the European Union. You have to use the identifier given by the Commission in the letter inviting to prepare the grant agreement.

### **7. Abstract**

### **8. Project Entry Month**

The month at which the participant joined the consortium, month 1 marking the start date of the project, and all other start dates being relative to this start date.

### **9. Work Package number**

Work package number: WP1, WP2, WP3, ..., WPn

### **10. Lead beneficiary**

This must be one of the beneficiaries in the grant (not a third party) - Number of the beneficiary leading the work in this work package

### **11. Person-months per work package**

The total number of person-months allocated to each work package.

### **12. Start month**

Relative start date for the work in the specific work packages, month 1 marking the start date of the project, and all other start dates being relative to this start date.

### **13. End month**

Relative end date, month 1 marking the start date of the project, and all end dates being relative to this start date.

### **14. Deliverable number**

Deliverable numbers: D1 - Dn

### **15. Type**

Please indicate the type of the deliverable using one of the following codes:

- R Document, report
- DEM Demonstrator, pilot, prototype
- DEC Websites, patent filings, videos, etc.
- OTHER
- ETHICS Ethics requirement

### **16. Dissemination level**

Please indicate the dissemination level using one of the following codes:

PU Public  
CO Confidential, only for members of the consortium (including the Commission Services)  
EU-RES Classified Information: RESTREINT UE (Commission Decision 2005/444/EC)  
EU-CON Classified Information: CONFIDENTIEL UE (Commission Decision 2005/444/EC)  
EU-SEC Classified Information: SECRET UE (Commission Decision 2005/444/EC)

**17. Delivery date for Deliverable**

Month in which the deliverables will be available, month 1 marking the start date of the project, and all delivery dates being relative to this start date.

**18. Milestone number**

Milestone number: MS1, MS2, ..., MSn

**19. Review number**

Review number: RV1, RV2, ..., RVn

**20. Installation Number**

Number progressively the installations of a same infrastructure. An installation is a part of an infrastructure that could be used independently from the rest.

**21. Installation country**

Code of the country where the installation is located or IO if the access provider (the beneficiary or linked third party) is an international organization, an ERIC or a similar legal entity.

**22. Type of access**

VA if virtual access,  
TA-uc if trans-national access with access costs declared on the basis of unit cost,  
TA-ac if trans-national access with access costs declared as actual costs, and  
TA-cb if trans-national access with access costs declared as a combination of actual costs and costs on the basis of unit cost.

**23. Access costs**

Cost of the access provided under the project. For virtual access fill only the second column. For trans-national access fill one of the two columns or both according to the way access costs are declared. Trans-national access costs on the basis of unit cost will result from the unit cost by the quantity of access to be provided.



## Horizon 2020

Call: H2020-REFLECTIVE-SOCIETY-2015

Topic: REFLECTIVE-2-2015

Type of action: RIA

Proposal number: 693857

Proposal acronym: TRACES

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<i>Section</i>	<i>Title</i>	<i>Action</i>
1	General information	
2	Participants & contacts	
3	Budget	
4	Ethics	
5	Call-specific questions	

## History of Changes

Version	Date	Changes
1a	2015-12-09	<p>Annex I, Part A</p> <p>Work Packages</p> <p>P3-UBER Summary of staff effort corrected</p> <p>Suzana Milevska is out of the consortium</p> <p>WP1:</p> <p>Task 1.2. more detailed information on the task</p> <p>WP4:</p> <p>description has been condensed</p> <p>Heritage manual is now an extra task</p> <p>Task 4.5: editing WS added</p> <p>WP5:</p> <p>Task 5.4 more detailed information on the task</p> <p>WP5 deliverables of CCP outcomes moved to WP1</p> <p>WP7:</p> <p>Ethical issues have been added in Task 7.2</p> <p>Deliverables:</p> <p>Task 1.6 moved to WP6 Task 6.3. for better dissemination, Deliverables of CCP outcomes moved to WP1 from WP5</p> <p>WP2: D 2.2 has been moved to M9</p> <p>WP3: WP3 deliverables specified and added</p> <p>WP7: D7.2 Interim Progress report has been added</p> <p>Milestones: have been drawn together</p> <p>Critical Risks: 2,3 and 6: Measures have been added and improved.</p>
1b	2015-12-09	<p>Annex I, Part B</p> <p>CCP names in graph corrected in accordance to naming in proposal</p> <p>TRACES Map has been corrected and exchanged</p> <p>Structure of TRACES graph has been corrected and exchanged</p> <p>Milestones have been drawn together and – according to the five phases we had before – shrunked to five milestones with a slightly different time schedule</p> <p>Gantt-Chart has been updated</p> <p>other direct costs + justifications have been corrected</p> <p>Jagiellonian University: Artist is now identified and described</p> <p>Chapter on ethic issues has been elaborated and exchanged</p>
2a	2016-01-09	<p>Annex I, Part A</p> <p>Correcting Workload of P7 NHM; since P7 NHM and P8 UEDIN work together on one CCP and the exhibition is organised by P8 UEDIN, no work from P7 for WP3 is necessary.</p> <p>Correcting Workload of P3 UBER and P10 UU, due to more precise numbers of staff costs.</p> <p>Correcting Workload of P2 POLIMI since research fellows are seen as subcontractors.</p> <p>Correcting the budget of P2 POLIMI since research fellows are seen as</p>

		<p>subcontractors. Correcting the names and add more precise descriptions of the deliverables</p>
2b	2016-01-09	<p>Updating and correcting the tables 3.5a and 3.5b - putting out the tables 3.5a for P3 UBER and P5 ZHdK since their other direct costs are below 15 % of the staff costs Chapter on ethic issues has been more elaborated small changes within partner descriptions (P2 POLIMI, P10 UU)</p>
3a	2016-01-20	<p>Annex I, Part A - Refinements in the description of the Milestones - Finances: a) Introduction of Subcontract costs for POLIMI and according changes within other direct costs b) Hosman Durabil: shift from other direct costs to personal costs, due to corrections required after a comprehensive recalculation of the workload</p>
3b	2016-01-20	<p>Annex I, Part B - Adjustments in 3.2 Work package descriptions / Milestones 3 + 4 and inserting Milestone 1a (which is Milestone 6 in Part A) - Correction of table 3.5a - Corrections of tables 3.5b (P1, P2, P4, P6) - Inserting a further explaining paragraph concerning the possibility of an opt-in to the open research Data Pilot</p>
4b	2016-01-28	<p>Annex I, Part B - further breakdown and corrections of costs in tables 3.5 b for P1, P2, P4 an P6 - insertion of a table 3.5 c subcontracting for P2 (POLIMI)</p>
5a	2016-02-15	<p>Annex I, Part A - P4 (UiO): Shifting € 20.000,-- from „other direct costs and services“ to „personal costs“. - updating infomation on WP1, small adjustments in WP2 concerning the conference which collapsed with the final event in WP6 and inserting the initial heading in WP6 - improving description of Deliverables of WP3 - deleted D 3.4 and D 4.4 since there was an overlap with Task 6.4 - changing description of D 5.2 in order to have it clearer - setting D 6.4 to M24 which will be combined with D 5.1 - setting D 7.3 to M2 (instead of M3)</p>
5b	2016-02-15	<p>Annex I, Part B - Tools for Dissemination: Exchange of Online Symposia through Video Channel - 3.4 insertion of a paragraph on subcontracting (a) research fellow(s) at POLIMI - 3.5a adding some text in footnote 11 on the increase of PM s through the subcontracting - 3.5a Correcting Workload of P2 POLIMI, due to more precise numbers of staff costs. - 3.5b UNI-KLU (P1) further splitting up of „other costs and services“</p>



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# 1 Excellence

## 1.1 Objectives

The current economic and political crisis of Europe is also a crisis of values and identities, and therefore a cultural crisis. Social and political conflicts between and within European states are acted out on the field of culture, including heritage institution and practices. This leads to a continuous and ubiquitous confrontation with European histories, values and conflicts. Such – often conflictual – negotiations are embodied and performed in tangible and intangible heritages. TRACES regards current conflicts involving cultural heritage not as an end, but as the starting point for a renewed and strengthened European identity leading to more cohesion and less exclusion, using artistic, academic and popular methods of reflection. Thus TRACES rises to the challenge defined by the EU H2020-work programme “REFLECTIVE-SOCIETY-2015 to explore and show how critical reflection on the historical, cultural and normative roots of Europe’s cultural and democratic practices and institutions contribute to an evolving European identity today”.

TRACES develops, researches and establishes innovative, artistic/aesthetic and collaborative approaches which productively challenge taken-for-granted assumptions on contentious cultural heritage and thereby contribute to their negotiation in new and different ways. The TRACES case studies critically assess and evaluate how and in which arrangements artistic/aesthetic methods and creative everyday practices contribute to strengthening communities both culturally and economically; and to emphasising minority voices and ultimately setting in motion a process of reflexive Europeanisation from below which unfolds within Europe and beyond its borders. TRACES seeks to enhance this through empirically and theoretically grounded best-practice advice and reports for policy-makers and stakeholders.

The established interrelation between heritage, identity and history – the memory-identity-heritage complex – (Macdonald 2013) is today no longer univocal (Speller, Lyons & Twigger-Ross, 2002): augmented mobility and migration flows combined with the acceleration of communication technology development are enhancing a social condition characterized by multi-transculturality and multi-ethnicity, and generally multi-perspectivity. As contemporary societies – including Europe – are diversified and hybridised, the past is presented to us as plural. Different expressions and interpretations of heritage emerge from different socio-economic structures, national and regional identities and social positionalities. By defining cultural heritage in terms of the use of the past as a cultural, political and economic resource for the present (and the future), we must consider the problem from a perspective acknowledging that not only cross-nationally, but also “within a single society, pasts, heritages and identities should be considered as plurals” (Graham and Howard, 2008). The new and complex relationships between cultural heritages and their meanings, histories, values, significances, compositions, conservation and use, are community-related issues, and constitute one of the challenges outlined in June 2012 by the *Joint Programming Initiative on Cultural Heritage*, which stated the need “to understand and implement solutions to foster the role of cultural heritage as a factor of cohesion in such a diversified community”.

The TRACES research project adheres to a notion of heritage as a relational process, often contentious or conflictual, where places and communities are constantly re-made through interpretation, practices, negotiations and creativity. It is about the way people interpret and use the past for future developments. The purpose of the project is to investigate and stress the potentialities of *contentious cultural heritage* as an active factor in the construction of European identity and cohesion, as well as a source of economic and societal progress. TRACES intends to approach heritage management as a contemporary action of deploying materials and resources within places as well as coordinating citizens in fostering and producing identity, participation, knowledge and economical growth.

The task of the research is to assert the role of cultural heritage as a fundamental tool towards an inclusive citizenship: this entails renovating cultural institutions for new users or dwellers; promoting the cultural fruition of heritage rooted in different places; enhancing knowledge and skills, defining opportunities, especially for new generations, in the creation of new jobs and activities related to the revitalisation of heritages, both in economical and cultural terms.

TRACES commitment is to define a new correlation between multiple identities and different interpretations of heritage, which will account not only for the local scale but also take into account the current mobility of European and global populations (Römhild 2009). Both may benefit from culture and knowledge; these tasks would consequently activate or foster job creation and new economies, based on traditional skills or advanced professions.

This manner of caring for and enhancing a common European constituency involves in particular a real meeting of the people concerned with the negotiations of their own (sometimes difficult) memories, using tangible and intangible heritage performed by heritage providers and citizens. This is particularly relevant for new citizens and

younger generations claiming the possibility to participate in the social production of wealth, knowledge, culture, quality of life and new jobs in innovative ways. To this end, not only museums, libraries, archives and collections, but also thus far unrecognised sites of historical interest, in urban as well as rural areas, must become places of cultural production and co-production, where synergies between past contentious cultural heritage and contemporary conflicts and creativity take place.

Crucially, the arts should be promoted, in order to encourage dialogue between generations and different constituencies, to foster the integration of different cultural heritages in everyday life.

Throughout the contemporary economic and financial crisis, heritage represents a real resource, a tangible opportunity, still to be exploited, with an inner economic and societal potential which must be taken advantage of by going beyond traditional ideas of recognition and conservation.

In this context the very operational aspect of the TRACES proposal is to foster the key role of the arts in cultural production in this dynamic process; to reveal and critically research its crucial role in activating social cohesion, hereby creating new jobs and opportunities, in all the traditional and innovative sectors of the economy. With its inherent dynamism and growth potential, the so-called “creative sector” has attractive qualities from a local development perspective, as stated in the *European Agenda for Culture*: “it makes use of a range of skills at a series of different levels, it tends to be socially responsible and inclusive and it usually involves ‘clean’, environmentally friendly processes”. Creative activities often generate positive externalities in the areas where they are located.

TRACES goes beyond academic boundaries to generate policies, practices, operational proposals and on-site interventions. Its objectives include the development of integrated projects of specific forms of Creative Co-Production (CCPs) that may be able to be presented to and exploited by public and private authorities and agencies at different levels (national, regional and especially local): policy makers, cultural institutions, new enterprises, relevant business interests and representatives of civil society, workers and consumer cooperatives, new generation cooperatives (NGCs), nonprofit organizations, civic associations, different professionals, etc.

TRACES is characterized by an on-site approach, both through its Creative Co-Productions and through ethnographic research. It is structured to develop a number of experimental participative actions and integrated multi-disciplinary projects in specific places, involving different stakeholders (citizens, dwellers and workers, tourists, bypassers, researchers and scholars, etc.), demonstrating the potentialities of generating knowledge through actual practice using research methods and promoting innovative methodologies of intervention in cultural heritage valorisation, that can be transferred to and implemented in different contexts.

The TRACES task is therefore focused on the development of a set of innovative and collaborative art-based actions and policies which may be relevant at different levels and scales of intervention (from local to European) and could offer a *reference methodology* for protection, re-appropriation and valorisation of European heritage. In the face of the current economic, political, and - crucially - cultural crisis of Europe, TRACES works towards a renewed, multi-perspective, self-critical and reflexive European identity.

TRACES addresses contentious cultural heritage through the lens of cooperative, art-based and reflexive forms of heritage transmission performed by artists, citizens, heritage- and civil society institutions. The focus on contentious cultural heritage and conflict seeks to make visible (and, potentially, transform) the diverse actors, discourses, and voices present in memory/heritage practices, hereby especially allowing and encouraging inquiry into gender relations and the manner(s) in which gender intersects with categories such as “age”, “class” and “race”. The research is guided by the concept of reflexive Europeanisation (Römhild 2009). This fresh research perspective on heritage posits that a renewed European imagination must be built from its geographical, cultural or social margins. TRACES’ main objective is to identify, assess and evaluate creative and reflexive formats, tools and strategies of transmitting contentious cultural heritage as building blocks for a renewed European identity, aimed at heritage practitioners, citizens and policy makers.

### **Artistic practices as instruments of research and intervention**

Although the arts and cultural sector cannot be reduced to a mere ‘animator’ of the public, they occupy an important position in regard to heritage transmission work. Contemporary artistic approaches such as relational art, community or public art promote reflexive relationships between the site, the community that inhabits it and the artistic research, focusing not so much on the production of objects, as on the activation of shared processes with spectators that become co-authors, patrons or co-producers: They “add a developed sensibility about audience, social strategy, and effectiveness that is unique to visual art as we know it today” (Lacy, 2010). Henceforth, artists can be considered as aesthetic activists. Through careful analysis of the context, they propose negotiated and participated actions, which aim at the valorisation of tangible and intangible heritage, linked to memory and to personal experiences, both evident and submerged. This understanding of art practice also means “that artists had to put to the test the discourses of authorship, cultural rights and public and private space. This led to the development of new public practices, including the emergence of artists’ collectives and collaborations between

artists and non-artists, whether they be experts in other fields, community members or more casual passersby. Importantly, it resulted in an enlarged role for the public as maker, informer, participant, as well as spectator” (Jacob, 2009).

Collaborations between artists, researchers from the social sciences and humanities as well as architects and practitioners in developing strategies of heritage valorisation have had fruitful results. Citizens have reappropriated heritage in participatory and creative development processes of integrated projects. In accordance with the objectives of the Horizon 2020 Programme, as well as with the definition of landscape promoted by the *European Landscape Convention*, TRACES aims at investigating the operative results of the re-recovery, re-use and re-activation process applied to different contentious cultural heritages, by referring to the term *Creative Co-Production* in its pervasive implementation on the different dimensions of reality.

The Creative Co-Productions (CCPs) proposed by TRACES represent an innovative approach for processing and mediation of contentious cultural heritage, while moving beyond the way art-and-research projects usually function in the cultural field. The CCPs are based on a mutual, equal process in which the artist, researcher, heritage agencies (museums, sites, phenomena) and stakeholders (citizens, organisations, policy makers) develop together ways to reflect on, approach, research, communicate, display and educate the contentious, difficult heritage in question. Besides specific outputs, the CCPs aim at sustainably changing forms of understanding and representing cultural heritage within the respective host (institution, agency or community). Using art and research, the CCPs produce participatory public interfaces to support a reflexive, cohesive and sustainable emergence of Europeanization. This collaborative research and production will be supported, supervised, embedded, and contextualised by experienced scholars in the fields of cultural and social anthropology, European ethnology, critical heritage studies, museology, and education research. A crucial objective is that the results exceed both the actual sites and life-span of the research project. Based on critical evaluation of the processes, proposals and methods for art-based heritage transmission will therefore be made available to stakeholders of heritage transmission. The overall participatory approach used within TRACES is informed by an intersectional awareness of categories of difference (such as age, class, gender, ethnicity, disability) that position actors differently and give them different degrees of agency; with this awareness, artists and researchers seek to ensure participation of a heterogeneous/diverse group of people. In that perspective gender is one dimension of power that will be addressed by all WPs and CCPs when looking at historic and current practices.

### Process objectives

The process objectives are both theoretical and empirical, and they inform the methods and structure of the research:

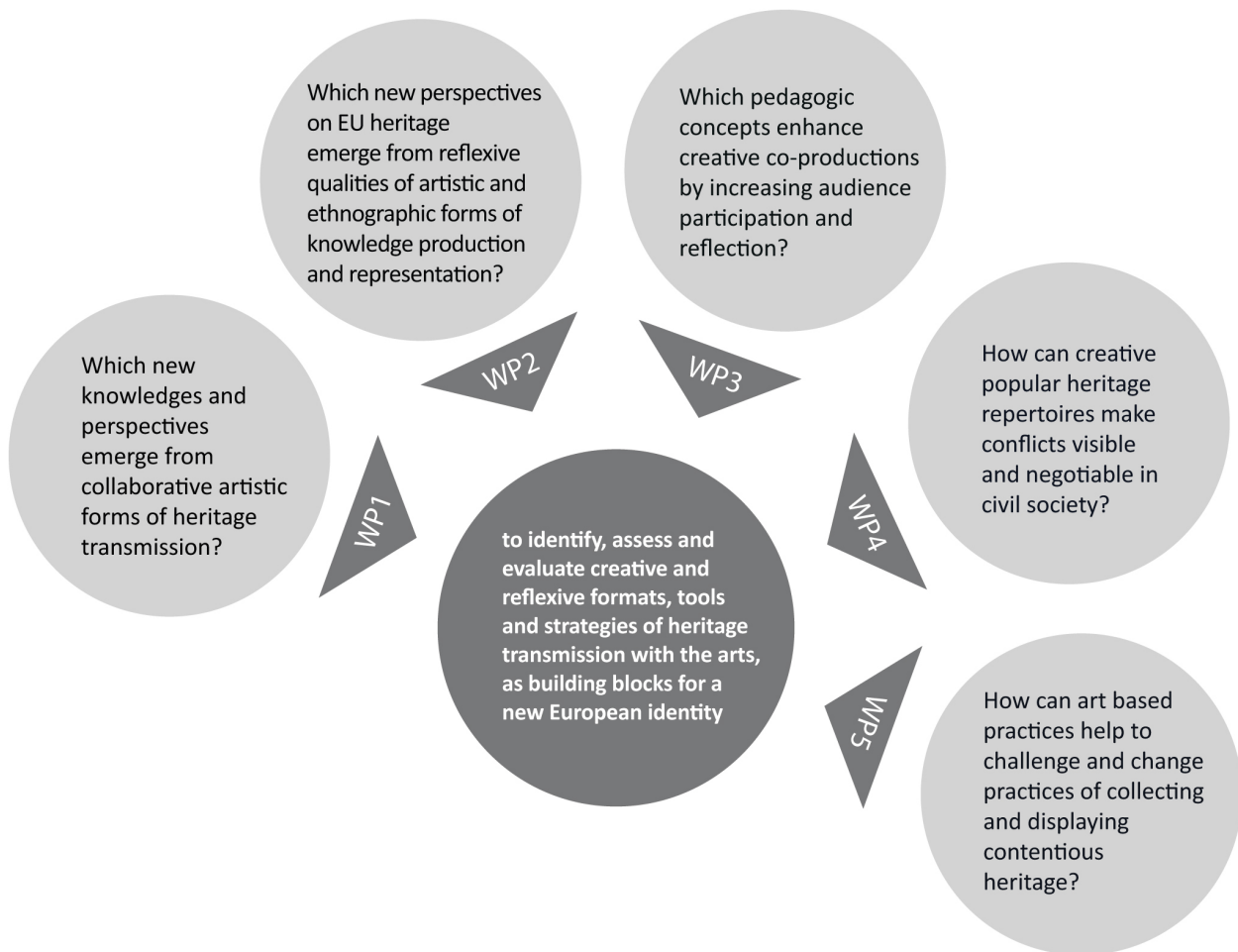
- To identify/produce innovative research methodologies, combining qualitative research with action research, academics with end-users, theorisation with intervention, classical methodologies with ICT. This means including multi-disciplinary approaches in the phases of both strategy elaboration and action execution, with particular regard to art practices as a means to involve a broader audience in cultural co-production and stimulate the creation of new jobs and professionalism within the creative industries; in parallel the contexts of the creative industries will be critically reflected.
- To convey research results in operational indications by elaborating site-specific strategies and art action-research, able to generate an immediate impact within the research project development;
- To disseminate the results as widely as possible, in the EU and worldwide, devising strategies to involve relevant communities, stakeholders, practitioners, policy makers and educational institutions in the making and/or diffusing of relevant issues in the cultural heritage field;
- To provide adequate platforms to discuss topics and issues and stimulate and produce knowledge advancement, both face-to-face (brainstormings, workshops, international conferences) and online (website, blog, etc.);
- To involve the local population in strategies of cultural co-production, in order to develop a potent exchange between topdown academic approaches and bottom-up practices, and to enable direct users to actively participate in the process.

The main outcomes of the research will encompass a wide range of results and products related to the previously presented objectives; they will be pursued and achieved through specific WPs, to become exemplary models of intervention in different contexts. All the outcomes will provide, together with the expected advancement of the state of art, effective answers to the project objectives, in order to increase awareness about and capabilities of contentious cultural heritage in promoting social cohesion and EU citizenship, and re-enhance heritage sites as a source of sustainable economical and cultural development. The overall imprint of the TRACES research project is to combine theoretical and operational methods of researching, taking advantage of the multi-disciplinary expertises involved (Cultural Studies; Economy, Cultural and Social Anthropology; Ethnography; Art History;

Museology and Museography), in order to realise concrete actions of intervention.

From this aspect, the outcomes of the project are quantifiable and concrete and will have significant impact on actors operating in a territorial framework (ministries, local administrations, etc.).

## Research questions



The strategic importance of artistic approaches in the field of heritage transmission in the memory-heritage-identity complex (Macdonald 2012), as well as the need to acknowledge the contentious dimension of European cultural heritage is widely recognized (see concept and approach). Nevertheless, questions both on the conceptual and operational level remain open and require further research. TRACES designed five research questions to focus expertise from the fields of artistic research, anthropology, education research, critical heritage studies and museology on its main objective of providing practical advice to policy makers and stakeholders of heritage transmission geared towards a renewed European identity.

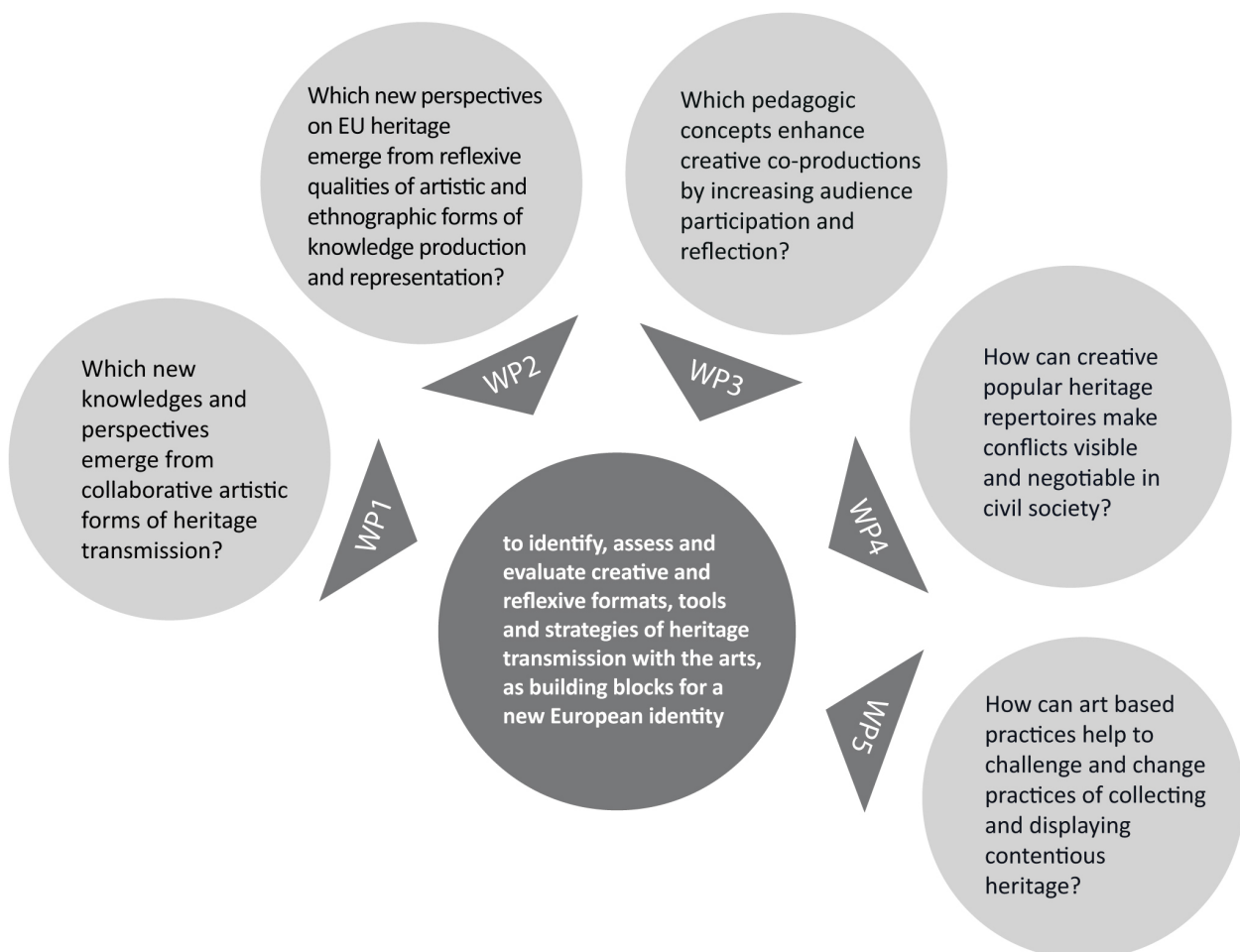
**Artistic research and production:** Which new knowledges and perspectives onto a renewed European identity based on contentious cultural heritage emerge from long-lasting collaborations between artists, researchers (humanities and social sciences) and cultural agencies? How can these be made productive for institutional and social change? This research question will be tackled in five especially established Creative Co-Productions (CCPs). The CCPs are based on a mutual, equal process in which artists, researchers, heritage agencies (museums, sites, phenomena) and stakeholders (citizens, organisations, policy makers) develop together ways to reflect on, approach, research, communicate, display and educate the contentious, difficult heritage in question. The CCPs represent an innovative approach for the mediation of contentious cultural heritage, while moving beyond the way art-and-research projects customarily function in the cultural field. (WP1).

**Ethnographic research on CCPs:** Contentious European heritage mobilises powerful social and emotional dynamics, often resulting in entrenched positions. What are the challenges and innovative potentials of Creative Co-Productions? How can ethnographies on processes of artistic collaboration and co-production help to produce innovations and knowledge regarding how these co-productions can be established? Are such long-term, cross-disciplinary collaborations able to open up new and multiple perspectives on contentious cultural heritage and European identity? How can the reflexive qualities of artistic and ethnographic forms of knowledge production and

representation be forged into a transferrable set of tools and strategies for stakeholders and policy makers? (WP2)  
Art and heritage education: Education dealing with cultural heritage embedded in historical and current conflicts, as opposed to a sender-receiver model, must provide, within itself, spaces for conflict and negotiation. Which pedagogic concepts can be applied to enhance CCPs by increasing audience participation and reflection? Which pedagogic formats can be developed to open creative spaces to reflect on contentious cultural heritage? How do educational approaches from the fields of Holocaust education and memory work, anti-racism education, global learning, museum and gallery education and artistic-deconstructive pedagogical approaches deal with conflict and different positionalities of participants? How can educational activities instil self-reflection, and a questioning of one's own convictions and narratives, especially in informal educational settings? (WP3)

Ethnographic research on popular culture: European citizens face major challenges especially in the geographic and social margins. How can intangible and digital heritage be harnessed for contentious cultural heritage transmission with the aim of reflexive Europeanisation? Popular culture is a rich resource for creatively mobilising, articulating and reflecting upon contentious cultural heritage. In which ways do creative popular heritage repertoires (intangible heritage) mobilise (or stifle) civic agency (facilitated by NGOs and other civic organisations)? What are the potentials and challenges in developing new economic, social and cultural perspectives in tourism, urban renewal and multi-lingualism? (WP4)

Museology/ contentious collections: Contentious collections, particular those including the material culture of death and the human body, are problematic for heritage institutions partly due to the fact that their history is often embedded in violent or troubling events. The fact that this 'bodily' heritage is especially capable of unsettling – and of provoking emotional responses – makes it potentially productive for transmitting some of the most awkward aspects of heritage within Europe. At the same time, however, it must be approached with special care. How can the potential for collaboration between heritage organisations and artists be used in the transmission of this contentious material culture? (WP5)



### 1.1.1 General Objectives

These research questions will be grouped in three clusters, which will be pursued in each WP and each empirical setting from different angles. The overall aim to provide building blocks for a renewed European identity by

transmitting contentious cultural heritage through the arts will be pursued by

- Developing and experimenting with innovative research practices for the production and representation of knowledge (“research and development”)
- Providing empirically and theoretically grounded reflexive tools in the field of heritage transmission (“basic research”)
- Providing formats for interfacing between heritage institutions and audiences (“best-practice advice”)
- Research & Development: TRACES takes a practice-based approach to knowledge production and representation. Therefore, research is structured around five real-life Creative Co-Productions (CCPs), each in a specific historical, geographical and institutional setting, involving built heritage, material culture and intangible heritage. All settings have in common that the heritages they work with are, in different ways, contentious (WP1). All CCPs are run by a team containing artists, researchers and a heritage institution, who will work together throughout the life-span of the project with the aim of engaging in a shared research process involving local communities and resulting in various formats of artistic production, i.e. innovative ways of representing knowledge. The research process is cross-disciplinary; this is facilitated by the openness of artistic research to embrace methods from the social sciences and the humanities, such as ethnography, action research, contextual and discursive analysis, historical and art-historical methods and so forth, depending on the needs that arise from each specific setting. Locally, this approach will facilitate artists, researchers, and other participants to develop personal and professional skills, discover new talents, test new perspectives and experience interaction. However, the research processes towards artistic production will generate knowledge beyond its immediate, situated purpose. To ensure this, experienced artists and curators (WP1) and a leading expert (WP2) in art-ethnography collaborations will guide and support the CCPs to thoroughly reflect on their work, with the aim of evaluating the research and generating transferrable knowledge which will be made available for stakeholders of heritage transmission. TRACES ensures that the work of the CCPs will be embedded in several excellent academic environments which are tailored to their needs. Critical heritage studies, museology and educational research will provide and further develop concepts for increased audience involvement (tourists and local citizens including school children, teachers and migrants) (WP3, 2) and for dealing with “contentious collections” (WP5). European ethnologists experienced in studying everyday and popular culture as well as digital practices will provide concepts and methods to direct attention to everyday practices which can serve as an interface between heritage institution and citizens (WP4). The work in the CCPs will also be complemented by ethnographic studies in other settings, involving other forms of creative heritage transmission and raising different questions, which will – again – enrich the CCPs (WP 2, 4, 6). TRACES’ overall results will be represented and circulated through an elaborate set of dissemination measures, both in digital and printed form. This is undertaken by an experienced team which has successfully developed ways to represent knowledge in previous EU-projects (WP6).
- Basic research: TRACES offers a fresh research perspective in the field of heritage transmission by drawing on the concept of reflexive Europeanisation (Römhild 2009). This approach holds that Europe today can only be understood when seen from its social, cultural or geographic margins, thus encouraging European identity processes in which multiple and sometimes conflicting perspectives coexist, rather than being set against each other. TRACES’ objective is to harness this approach for the field of heritage transmission with the aim of strengthening a renewed European identity which valorises forgotten, neglected, contentious or otherwise difficult heritages (Macdonald 2009). This contributes to citizens finding their place in Europe. Reflexivity, in this context, is on the one hand a research tool helping to identify multiple perspectives on Europe. On the other hand, European citizens themselves engage in reflexivity in their everyday processes of meaning-making, and making sense of past and present contradictions in their worlds, using, amongst others, symbolic creativity and digital communication. TRACES puts theoretical, artistic and popular reflexivity into interaction. All empirical research fields, including CCPs, museum studies and ethnographic fieldwork, are built around contentious cultural heritages and situated at the European margins. This includes remote and structurally underdeveloped rural areas in the Alpine-Adriatic region and a considered “rough” neighbourhood in the global city of London currently undergoing urban restructuring; both with a multi-ethnic and multi-lingual heritage which is in and of itself contentious. Furthermore, citizens also mobilise their heritage to negotiate contemporary conflict through civic engagement and creative practices. TRACES identifies cases in which such popular heritage repertoires help to negotiate conflicts based on multi-lingualism and to engage with alternative forms of tourism and urban development (WP4). Margins also come to the fore through material culture, for instance in the rare collections of vernacular Holocaust art by survivors and bystanders in Poland (CCP2), or various ethnographic collections which remind of Europe’s colonial past (WP5). TRACES will set standards to contextually research, expand and highlight such contentious collections, and thus provide



museums and heritage institutions with new and, while contentious, also attractive formats.

- **Best practice advice:** Based on (1) and (2), TRACES develops, circulates and implements best practice advice for stakeholders, including heritage providers and policy-makers, artists, citizens, teachers. It identifies interfaces between heritage institutions and audiences through CCPs, ethnographic fieldwork and museum studies. TRACES aims to transform creative popular heritage repertoires into transferrable transmission formats and creates new formats and standards based on the interaction between artists, art and heritage educators and researchers, art historians, ethnographers and institutions.

Thus the general objectives of TRACES' research are:

- to provide scientific evidence for public institutions, policy makers and the general public regarding how the protection and revitalisation of contentious cultural heritage can promote social cohesion, inclusiveness, and pluralism;
- to promote cultural heritage as a source of sustainable development, which may generate relevant spin-offs to revive economies and create jobs especially for young generations;
- to preserve and re-activate tangible and intangible heritage as a system of knowledges and traditions which can provide new means of identification (including transgenerational) in multi-cultural, multi-ethnic, and multi-lingual contemporary Europe;
- to move towards an operational approach, producing actions and agency in real contexts, using collaborative art-based practices as an innovative way not only to increase knowledge, but to perform the research;
- to engage a fruitful dialogue amongst and between local populations in order to trigger a bottom-up approach through participatory processes of identification and meaning-making, related to contentious cultural heritage as an active factor of progress for the present and the future;
- to support heritage valorisation through the development of innovative tools, such as long-term Creative Co-Production (CCPs) for heritage promotion, education and communication.

The structure of TRACES is articulated in a collaborative European Consortium of Partners (11 organizations, comprising universities, museums, associations from nine different countries) and a network of end-users (such as associations operating in the heritage/cultural field; national, regional and local institutions; community groups). The task is to develop a set of actions and policies whose aim is to be usable at different levels and scales of intervention (from local to European) and that can be a reference methodology for heritage valorisation also outside Europe.

### 1.1.2 Specific Objectives

The TRACES specific objectives are organised to support, reflect upon and contextualise the CCPs, focussing on different aspects.

All WPs will generate material for a Contentious Heritage Manual of best-practice advice for stakeholders and citizens. This will enable TRACES to circulate its innovative concepts and contribute to a renewed European identity.

By establishing the function of a Transversal Collector (WP4), TRACES will ensure that data can be compared and that materials are fed into the dissemination operation (WP 6) and then developed into best-practice examples (Contentious Heritage Manual) using the new research perspective of reflexive Europeanisation (WP4).

Dissemination and knowledge advancement: TRACES aims to make the knowledge gained available to policy makers, stakeholders and researchers in new ways. These new methods will provide – beyond the immediate purpose – innovative tools for incisively transmitting the results of research projects operating within the field of the social sciences and heritage. To achieve this, a multi-layered and multi-target communication plan was designed, which uses innovative tools in order to (1) efficiently and comprehensively display, communicate and promote the activities and outcomes of the project to specific target audiences as well as to the public at large; (2) individuate, develop and experiment with innovative dissemination strategies and instruments aimed at nurturing and contributing to the enhancement of research activities, building on the mutual relationships between the production and communication of knowledge which characterises the social sciences and humanities; (3) widen and strengthen the societal impact of the project and enhance the exploitation of its findings and products; (4) facilitate the project coordination tasks, manage communication amongst the partners, and foster inter-disciplinary exchanges and collaborations within and beyond the project consortium.

Harnessing artistic research for heritage transmission: TRACES will set up and support throughout the timespan of the project five Creative Co-Productions (CCPs) in Romania, Poland, Slovenia, Northern-Ireland and Austria/United Kingdom using carefully chosen standards to ensure long-term collaboration and mutual equality amongst team members. These will be analysed and evaluated in terms of (a) the development of participatory art practices; (b) the artistic outcomes; (c) inclusion of and perceptions by audiences; (d) impact on personal

development of artists involved and their artistic approaches (WP1). Further artistic research will be conducted in two rural fieldsites in the Alpine-Adriatic region (Italy, Austria, Slovenia) and an urban fieldsite in London (Brixton), with a focus on popular culture, symbolic creativity and civic engagement (WP4).

**Ethnographic research on/with art collaborations:** The artistic research within the CCPs will center around contentious cultural heritage, using artistic reflexive tools. In a further round of reflexivity, they will work with trained ethnographers focussing on the potentials and challenges of art-ethnography research collaboration. A leading expert in the field will critically guide and observe the ethnographic research process and provide workshops as well as an international conference (WP2). To contextualise the CCPs with other types of participatory art-based collaborations, further ethnographic research will be conducted with civic institutions and citizens in rural and urban fieldsites (WP4).

**Educational approach:** The art-based, collaborative research and production by the CCPs will be supported by art- and heritage educators, who will – in close collaboration - develop formats targeting heritage institutions as well as develop materials for heritage education. Pedagogical approaches developed will be discussed with stakeholders concerning implementation in education programmes and curricula. A focus of this research is on contentious collections, for which an action research case study on education in an ethnographic museum and a study of museum design are conducted (WP3).

**Ethnography/performing heritage:** The CCPs will be complemented by basic ethnographic research into rural and urban popular heritage repertoires (especially intangible heritage). Here, the main objective is to contribute to the analysis of reflexive Europeanisation by identifying and analysing popular contentious cultural heritage repertoires, the historical conflicts upon which they are based (e.g. colonialism, nationalisms, Cold War) and how they are used to negotiate current conflicts. Citizens’ agency will be enhanced by participatory research, validation of heritage practices in everyday life, forms of symbolic creativity and by producing best-practice examples on this basis (Contentious Heritage Manual). Particular attention is given to digital heritage practices in the research fields and CCPs. The focus is on contentious cultural heritages related to multi-lingualism, cultural diversity and socio-economic resources such as alternative forms of tourism and urban renewal (WP4).

**Contentious Collections:** Basic research into collections relating to death and the human body will combine artistic research and critical heritage studies in close collaboration with CCPs. Objectives are to engage stakeholders, especially heritage institutions, in reflection, research, debate and artistic representation of those collections. Comparative and contextual analysis will identify the particular challenges and potentials involved in transmitting such heritage. Thorough documentation of the CCPs will enable them to act as case-studies in broader debates about difficult heritage (WP5). Contributions on reflexive heritage transmission will be made to the TRACES Contentious Heritage Manual (WP4). Additional ethnographic research on the post-colonial legacy of collections and on artistic research in this respect will be conducted (WP2).

## 1.2 Relation to the Work Programme Topic

Work program topic	TRACES
Personal development of citizens; enabling them to find their place in society; to serve as a source of inspiration for the development of personalities and talents.	<p>Overall: Artists and researchers trained in ethnographic and participatory research and art methods will apply their observational and reflexive skills in their respective fields, working with heritage institutions. This ensures that heritages that are the source of or mobilised by present conflict become an asset for citizens’ personal development.</p> <p>WP3: the CCPs will involve local citizen participation, such as school classes, teachers and (museum) educators. By encouraging an open discourse on the diversity of individual backgrounds, the shared heritage of a multi-lingual Europe, then and now, will be celebrated.</p> <p>WP4: Creative, community-led local development approaches will enable and support citizens (communities, interest groups) to better reflect upon and articulate significant pasts using their creative abilities and other talents. Research and deliverables will increase citizens’ agency in developing local prospects to overcome local economic and cultural crises, using up-to-date strategies developed in both rural and urban research fields.</p> <p>CCP1: Local citizens of the town of Mediaş, Romania, will engage with the absent Jewish heritage.</p> <p>CCP5: A cooperation with interested parties and stakeholders will enable debate and discussion regarding possible futures for contentious sites. A utopian model of Long</p>

	<p>Kesh/Maze site will be built in collaboration with students from the Ulster University. Additional community involvement includes making proposals and participation in dialogical online platforms.</p>
Stimulus for re-vising EU policies	<p>TRACES outcomes will feed into an EU policy paper on the local, regional, national and European level, outlining the best ways to foster community involvement in the process of reflexive Europeanisation.</p> <p>TRACES will be a stimulus for a change of perspective in EU policies towards a renewed process of European identity based on reflexivity and citizens' involvement from below.</p>
To explore and show how critical reflection on the historical, cultural and normative roots of Europe's cultural and democratic practices and institutions contribute to an evolving European identity today. (place of critical reflection in sustaining this as a cultural resource)	<p>Overall: TRACES develops reflexive tools based on art-research-heritage institution co-productions to strengthen an evolving European identity today.</p> <p>WP1: demonstrates in CCPs how reflexivity contributes to new perspectives on contentious cultural heritages in Europe through a creative participatory process and artistic productions.</p> <p>WP2: provides an overall analysis of the CCPs leading to reflexive tools.</p> <p>WP4: A case study in the urban research field (Brixton, London) will exemplify how collaborations between local artists, heritage and civic institutions, and researchers take shape in moments of social unrest and civic dissent, drawing on the arts to mobilise and reflect upon cultural heritage.</p> <p>WP5; CCP2, 3, 4: collaborations between cultural institutions and collections in heritage institutions focus on vernacular Holocaust art or material culture of death and the human body held in museum collections. These collections are problematic for the cultural institutions because they are often rooted in violent or troubling events in European history. Such "strong" events are particularly powerful stimuli for processes of identity. TRACES will draw on these with the aim of putting competing versions of heritage into interaction, feeding into a renewed European identity.</p> <p>WP6: circulates experiences and results from different European localities beyond the TRACES project, encouraging recognition of points of connection across Europe.</p>
Multidisciplinary research	<p>TRACES' research is multi-disciplinary throughout, bringing together approaches, experts and practitioners from the arts, social sciences and humanities. The reflexive collaborative research process in the CCPs (WP1, 2) and throughout TRACES encourages participants to overcome disciplinary boundaries. It enables incorporation of concepts in all disciplines using fresh methods. Moreover, by involving stakeholders in the research process, TRACES research is cross-disciplinary.</p>
Comparative research	<p>TRACES compares different ways of art-research-heritage agency co-operations in different European locations and from different perspectives of research and art production.</p> <p>WP1 and 2 compare five Creative Co-Productions in different European locations and institutional settings each dealing with different types of contentious cultural heritage (built heritage, collections), focussing on collaborative practice.</p> <p>WP4 compares rural and urban contentious cultural heritage repertoires in different European regions. Using the concept of reflexive Europeanisation, it compares different heritage perspectives on Europe "from the margins" using material from all research sites.</p> <p>WP5 conducts comparative and contextual analysis in order to identify the particular challenges and potentials involved in transmitting specific examples of contentious collections. Data and results from all research areas are collected in order to compare their specific findings.</p>
Historical perspective	<p>TRACES research is based on a historical perspective throughout, using archives and collections (WP5, CCP1) as well as citizen's narratives of the past (WP4). It touches on the history of Europe's position in colonialism (WP4, 5), migration (WP dissemination, WP2, WP4) and globalisation as well as specific regional, urban and national histories.</p>
Find the best way to transmit cultural heritage	<p>The main idea underlying TRACES is that thoughtful art-research-heritage agency/citizen collaborations can act as important intensifiers of the experience of confronting contentious cultural heritage. This helps to raise questions and address both those charged with dealing with such heritage and those who 'consume' it. By initiating CCPs, a new innovation strategy is implemented. By evaluating this strategy on different levels</p>

	(WP1, 2, 3, 4, 5) TRACES aims to prove that this is one of the most effective ways to transmit contentious cultural heritage.
Content and methodology of education and curricula; formal and non-formal education and training,	WP3 researches on and contributes to the content and methodology of education and curricula in the local partner communities. To archive this, WP3 establishes school programmes and focus-groups with teachers, educators and stake holders of education policies (in collaboration with CCP1-5). The purpose of these research activities is to propose new methods of transmitting contentious cultural heritage and strengthen reflexive European identity.
Role of new technologies and media	<p>WP4: As digital practices are firmly established in everyday popular heritage repertoires, new media technologies are an important research focus of WP4. Citizens` use of social media and video art for heritage practices is central in the urban fieldsite. In the rural fieldsites, project partner UNIKUM will use new media and interactive formats in its artistic productions, encouraging citizen participation in the production of reflexive digital spaces (“spaces of longing”). WP4 will also analyse digital heritage activities in the CCPs.</p> <p>WP6: has a strong focus on using new technologies as a means of dissemination, e.g. publishing an e-journal, a blog, videos, etc.</p> <p>CCP1: Archival materials in original and digital form will be used for research and exhibition purposes. A project website and blog will display material highlighting the stories of individuals born in the town of Medias but who later emigrated to Germany, Hungary, Israel, or elsewhere, thus creating a contemporary “virtual community” of Mediaş citizens while preserving the memories of those who are now absent.</p> <p>CCP2: Will create a dynamic digital collection of vernacular Holocaust art through collaborations with ethnographic museums, private collectors and the vernacular artists/their inheritors</p> <p>CCP3: Will create a digital open database of death masks and their impact on national narratives and identities</p> <p>CCP4: The workshop proceedings at UEDIN (P8) will be made into an online video essay and form the basis of edited publications concerning scientific skull collecting in Europe.</p>
Local, regional, national and European aspects of cultural heritage are interlinked	To interlink the local, regional, national and European aspects of cultural heritage not only on a theoretical but on a practical level is one of the main ambitions of TRACES. Hence we established five local Creative Co-Productions (CCPs) and two creative community-led local development approaches (WP4). In these research and production actions a local case of contentious cultural heritage will be researched and transmitted. The local cases will be connected, compared and analysed on a national and European level (WP1-5).
Citizens, stakeholders, and cultural heritage promoters interpretation of and interaction with the cultural heritage	All the local Creative Co-Productions (CCPs), the research actions and creative community-led local development approaches are based on a deep participatory approach. Citizens, stakeholders and promoters of cultural heritage will be engaged in all research activities. Hence, TRACES will provide findings conveying how to acquire the interest of citizens and engage them in a positive, productive way in the project of reflexive Europeanisation.
Europeanisation and citizens' perceptions on Europe	All the research actions and the Creative Co-Productions (CCPs) are dedicated to fostering a new and deeper understanding of Europeanisation. Many studies will focus on traumatic histories of contentious cultural heritage. This approach is meant to establish the source for more cosmopolitan (Levy and Sznajder) or transcultural (Macdonald 2003) and hence truly European identities.
Tangible and intangible cultural heritage	WP4 especially concentrates on intangible cultural heritage in its research, while WP5 has a strong focus on material culture heritage collections.
Less established or popular examples of cultural heritage	All TRACES research sites were chosen as examples focusing on contentious cultural heritage and the manner in which local communities deal or do not deal with historical conflicts. Thus all of our examples revolve around “less established” and “popular”

	formats of cultural heritage. On special note here is the CCP “Awkward Objects”, which deals with collections of vernacular Holocaust art. The existence of these collections is relatively unknown since they generally belong to private collectors and museums, considering them “awkward objects”, try to hide their existence.
Living arts	TRACES includes research on the living arts especially in WP4. With its focus on popular heritage repertoires, WP4 necessarily includes the living arts, which are of eminent importance in popular local communication, but also as a means to communicate transregionally or even Europe-wide. In the rural field (Dordolla, Peč (Petzen) / Dreiländereck), citizens’ groups using creative practices are at the core of the artistic productions facilitated by UNIKUM. In the urban field (London, Brixton), local graffiti-music and video artists are crucial proponents in popular heritage practices.
Differentiating between commercial and non-commercial aspects.	In the structurally underdeveloped research fields, all activities and especially the artistic productions include commercial aspects.
Multi-lingual nature, axiological, linguistic, social and cultural aspects of multi-lingualism	WP4: Multi-lingualism is a crucial and historically negotiated everyday practice in all research fields. Research in the cross-national Alpine-Adriatic region (Peč (Petzen) / Dreiländereck, Dordolla) focuses on the use of Slovenian, German, Italian and Furlan. Artistic activities will be multi-lingual. In the urban research field (London, Brixton) the role of English as a lingua franca in a multi-lingual constituency will be probed in relation to contentious cultural heritage repertoires. CCP1: Transylvania’s multi-lingualism will be plumbed using archival material in German, Hungarian, Romanian, and Yiddish. The possibility of myriad translingual identities (Romanian, Hungarian, German, Jewish, European, Transylvanian) will be probed.
Development of social, axiological, linguistic, cultural and political memories or imaginaries	TRACES focuses on the potential of artistic practices on popular and professional levels to find the best methods to transmit sensitive cases of cultural heritage. Art is seen as a rich resource to be used when negotiating and developing imaginaries, memories and different narratives of the past.
Touristic potential of EU level cultural heritage.	WP4: Research activities in the rural Alpine-Adriatic region (Dordolla, Peč (Petzen) / Dreiländereck) analyse, in collaboration with UNIKUM, how touristic impacts are negotiated in the process of artistic contentious cultural heritage transmission, and how creative heritage work can strengthen tourism in the area. In the urban research field (Brixton, London), the multi-lingual heritage is celebrated as a touristic asset, but also threatened by urban renewal. CCP1: By enabling the synagogue and the adjoining building and garden courtyard to become a locally and nationally recognized centre of culture and learning, the project increases the town’s attractiveness for tourists and the tourist industry. The synagogue will be the only in the region functioning as a public space with regular hours and events and will promptly be added to the bus routes of frequent tourist groups from Israel and Germany.

## 1.3 Concept and Approach

TRACES follows the approach of critical heritage studies that understands “heritage” as thoroughly part of social relations and process (Smith 2006; Harrison 2012). Rather than seeking to determine ‘objective’ values of heritage, it gives attention to ‘past presencing’ (Macdonald 2013) – the ways in which the past is mobilised in the present and what flows from this. A central focus in critical heritage studies has been on the politics of heritage (Smith 2006; Macdonald 1998), examining questions of whose pasts come to be given attention in which locations; and also to which pasts are not given public recognition. The field of what has variously been called contentious, dissonant (Ashworth et al 2007) and difficult heritage has emerged as particularly significant in this regard. Such research acknowledges not only that the valuation of the past may vary between groups (or stakeholders) but also that it may be the source of entrenched divisions between peoples, sometimes persisting over centuries. Within Europe, there has been considerable attention to national histories and heritage (Ruesen 2000. Berger 2015) and to the ways in which this can potentially both contribute to marginalising and even silencing positions and voices of minority groups but also how it may strengthen boundaries between nations, thus playing against potentials for more European identities or consciousness (Macdonald 2000). It has been argued, however, that traumatic histories and contentious cultural heritage can, potentially be the source for more cosmopolitan (Levy and Sznajder 2006) or transcultural (Macdonald 2003) identities. Whether this can be further mobilised, including into encouraging more convivial relations between groups, requires further research and also practical ‘experimentation’ (Macdonald and Basu 2007).

### 1.3.1 TRACES – Creative Co-Production

At the centre of TRACES practical ‘experimentation’ is the development, investigation, contextualisation and implementation of a new way of transmitting contentious cultural heritage: the CCPs – Creative Co-Productions. This innovative approach responds to the current economic-political conditions (1.3.2 Europe in Crisis). It reflects and takes further cutting-edge theoretical groundwork on the configuration of a renewed European identity (1.3.3. Reflexive Europeanisation). The new approach will also influence the concept of cultural heritage (1.3.4 Contentious Cultural Heritage). The structure and direction of the CCPs reflect the importance of creative practices and citizens’ agency in the current socio-economic transformations, both in the popular, micro-cultural field of everyday life (1.3.5) and in the artistic field (1.3.6). The methods used in the CCPs and in the complementing TRACES ethnographic fieldwork are based on these research topics as well as applicants’ practical experiences in artistic-ethnographic co-operations (1.3.6).

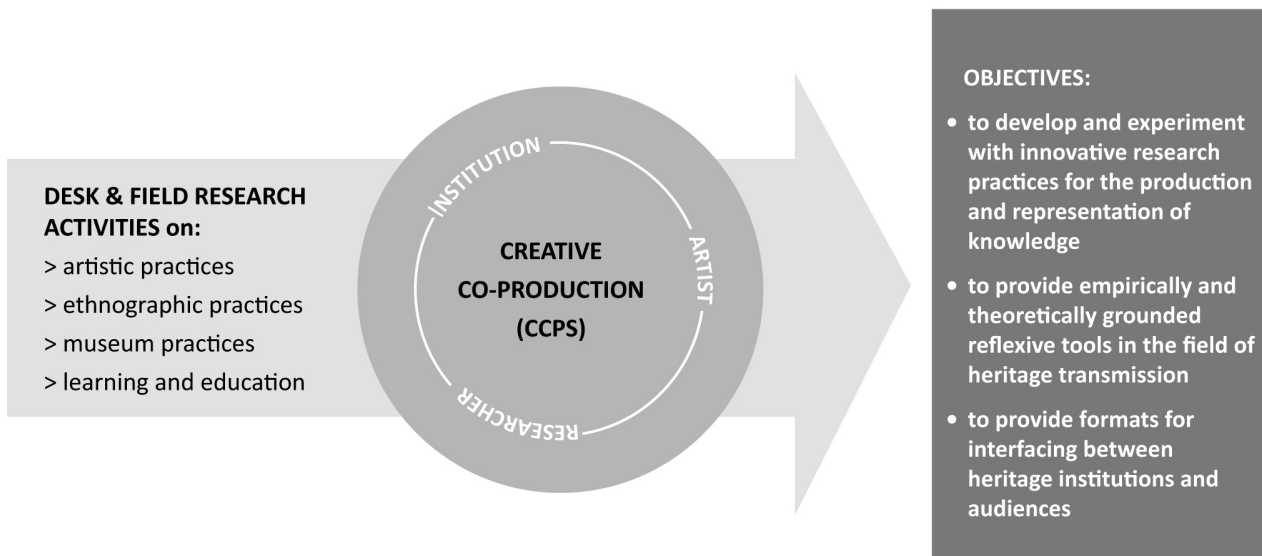
Members of the CCP – heritage providers, artists and researchers – start working together from the onset of the project and share not only the creative process, but also the formulation of the scientific questions, research strategies and methodologies. Designing the research, as well as the formation of the artistic process and outcomes, is carried out in a mutual process of discussions, negotiations and consent. It is a learning process for all parties involved, and at the same time a teaching, guiding, coaching process that demands patience and sharing capabilities. The artists have to open their ideas, even if still in raw form, for discussion and intervention and be able to share the creative process and practices with the other members of the CCP. The researchers have to be able to have their scientific methodologies challenged, discussed and/or adjusted. CCP members will learn about the others’ field, its history and conventions; they will have to engage with the others’ professional experience with respect and sensitivity.

The heritage agencies are usually institutions with a long tradition of hosting, owning, presenting, representing and/or educating their asset – the heritage. They might or might not regard it as contentious or difficult. They will need to consider the artists and researchers as equal partners, once the collaboration is agreed upon. They should not see the artists as contractors commissioned for aesthetic or PR work, nor the researchers as service providers of a compartmentalised, limited research. Instead, the heritage agency will need to be courageous and trust the artists and researchers by sharing with them important decisions regarding the fate of their assets, the way they work with them and the way they mediate or share them with the public.

In this context, the stakeholders are individuals, communities, politicians or institutions that have an interest or concern in the heritage in question and can affect or be affected by the CCP’s actions and treatment of the heritage. Stakeholders are therefore at the center of the CCP’s concerns when developing their work programme.

Stakeholders will be included in the process throughout the duration of the project. They will share their needs and wishes with the CCP and will equally participate in the design of the work programme (in research collaboration with WP3).

In contrast to the usual practice of artistic interventions in the public space (1.3.6.), the heritage agency might face the need to change the way they work with the heritage, in a permanent and sustainable way. This is undoubtedly a difficult process that requires not only sensitivity and time, but also financial facilities.



The budget will reflect the need to engage all parties – artists, researchers, heritage agency and stakeholders for a durational work on equal terms and to allow enough time for a process of trust and co-production to be established. Within TRACES, heritage institutions and stakeholder groups will rely on their own financial resources and the CCP budget will be used for securing availability of the artists and researchers, and to support the artistic production. However, heritage institutions and stakeholders will have to allocate time and committed staff to participate in the CCP, based on their interests in the work. The CCP members will decide on the need for additional funding resources and will share the burden of attaining them.

The five CCPs for TRACES reflect an accurate selection of topics and geographies to provide the different work-packages (WPs) with rich research material and innovative case studies on which to base a part of their ambitious research.

The CCPs will not only work locally, but will also participate in a process of exchange amongst each other (organised by WP1) and the ethnographic research processes of WP4 or 5 (see below). Every CCP researches its own work process and documents the experiences made in the collaborations (WP2). Thus these experiences can be sustainably made available for others (WP4, WP6, WP7).

Memory work and heritage are set within gender-power relations. Thus gender will be addressed by all WP leaders and facilitators when looking at historic and current heritage practices.

## Places, Partners, Topics and Goals of CCPs

### 1. ABSENCE AS HERITAGE

*Where:* Mediaş, Romania

*Researcher:* Julie Dawson  
(<http://jbat.lbi.org/peoplea>)

*Artist:* open call

*Partner/Host:* NGO Hosman Durabil (<http://www.hosman-durabil.org/>)

*Other institutions/partners:* Mediaş Synagogue

*Topic:* In the town of Mediaş, founded by the Transylvanian Saxons, ethnic and linguistic identities remain a sensitive topic in the region. While a sense of pride in Transylvania's multiethnic character (as opposed to southern Romania) is often commonly found amongst the population, there is a simultaneous amnesia or ignorance regarding the history and role of other segments of the population, now absent, in particular the Jewish population, whose absence is a result of mass emigration during the 1950s and 1960s. Discovered in 2009 in a locked and shuttered synagogue, the archives and library of the former Jewish community of Mediaş, Romania, contain thousands of documents and books recording the peaceful evolution of a commonplace Jewish community in multiethnic Central Europe over the course of approximately 200 years.

*Goals:* Explore and exploit the built heritage of the synagogue complex and the documentary heritage of archives and religious and secular printed material using artist and researcher residencies. The artist and researcher will develop projects incorporating the spaces and material of "Jewish Mediaş," hereby transforming the decrepit

synagogue complex, into a space of vibrancy within the town of Medias.

Connect to Transylvania's intrinsic multilingualism with documents or publications in German, Hungarian, Romanian, and Yiddish. Evaluate the value of heritage of absent populations to those that remain. Research on how disappearing cultural heritage(s) can be preserved, explored, and understood. Research on how these places, items, or traditions of "abandoned" heritage can be used to understand a collective past and how they can be employed to create a future of positive, multifaceted European identities. Question identity and the possibility of myriad identities – Romanian, Hungarian, German, Jewish, European, Transylvanian.

## 2. AWKWARD OBJECTS OF GENOCIDE

Vernacular Art on the Holocaust and Ethnographic Museums

*Where:* Krakow, Poland

*Artist:* Wojciech Wilczyk

*Researcher:* Roma Sendyka, Centre for Memory Studies/Jagiellonian University.

(<https://sites.google.com/site/romasendyka/>)

*Partner/Host:* Centre for Memory Studies/Jagiellonian University.

*Topic:* Eastern Europe witnessed 14 million deaths in a period of little more than a decade between 1933 and 1945. In many respects, the impact of such widespread and wanton killing reverberated in towns, villages and affected communities for many decades. It may be safely assumed that every community produced artistic responses to that traumatic memory. Local, vernacular artists may have even been the most prolific group trying to represent the events they witnessed.

*Goals:* To research ethnographic collections in Poland in search for Holocaust art. To contact vernacular artists (or their inheritors) and international collectors to identify further objects. To assess the scale of the phenomenon of non-professional visual practices undertaken to memorialise the Holocaust. To fashion academic interpretations of the found objects. To challenge the state of oblivion or "awkwardness" attributed to the objects in question. To change permanently the status of "vernacular Holocaust art" within ethnographic collections, as well as within a broader discourse on "art and the Holocaust".

## 3. CASTING OF DEATH

*Where:* Ljubljana, Slovenia

*Researchers/artists:* Domestic Research Society

(<http://www.ddr.si/indexenglish.htm>)

*Other institutions/partners:* The National and University Library, the Moderna Galerija Ljubljana (National Museum of Modern Art), the National Museum of Contemporary History

*Topic:* The research focuses on several collections of death masks held by heritage institutions in Slovenia. These collections range from the 1880s (Jurij Šubic, a Paris-based painter) to the 1980s (Josip Broz Tito, a president of the Socialist Federal Republic of Yugoslavia). In the 19th century one of the oldest portrait techniques in the history of sculpture went hand in hand with the affirmation of bourgeois society, in which the establishment of a public museum played a crucial role. The death masks of prominent people (politicians, scientists, artists) functioned as an exploitation medium that fit well into precisely structured political and societal projects (nationalism, class struggle, secularisation).

*Goals:* To research the process of omitting masks from rearranged memorial rooms and storage in museum depots. To research the social and cultural changes apparently have brought an end to the making of death masks. To research the role of a fine artist (who took the casts and was cast himself when he died) and its continuation in the activities of a contemporary visual artist. To contribute to the understanding of the representation of death in the process of identity making in Europe.

## 4. DEAD IMAGES

The Scientific Deracination of the Human Story and the Search for its Revivification

*Where:* Vienna, Austria / Edinburgh, United Kingdom

*Researcher:* Anna Szoeker

*Artist:* Tal Adler (<http://memscreen.info>)

*Partner researchers/artists:* University of Edinburgh: Linda Fibiger, John Harries, Joan Smith

([http://www.ed.ac.uk/history-classics-archaeology/about-us/staff-profiles/profile\\_tab1\\_academic.php?uun=lfibiger](http://www.ed.ac.uk/history-classics-archaeology/about-us/staff-profiles/profile_tab1_academic.php?uun=lfibiger),

[http://www.sps.ed.ac.uk/staff/social\\_anthropology/harries\\_john](http://www.sps.ed.ac.uk/staff/social_anthropology/harries_john), <http://www.eca.ed.ac.uk/school-of-art/joan-smith>)

*Partner researcher:* Natural History Museum, Vienna: Maria Teschler-Nicola



([http://www.nhm-wien.ac.at/en/maria\\_teschler-nicola](http://www.nhm-wien.ac.at/en/maria_teschler-nicola))

*Partner/Host Researcher:* Natural History Museum, Vienna / University of Edinburgh

*Topic:* The Anthropology Department at the Natural History Museum in Vienna holds a collection of some 40,000 human skulls collected from all over the world. Housed within this collection is the department's photography collection of approximately 50,000 items. Both the skull and photography collections contain items that relate to early ethnographic research. A large number are related to racial research in the first half of the 20th century including the racial investigations in the Nazi period. Both the skull and photography collections are kept for research purposes and not exhibited to the public.

*Goals:* To explore the philosophical, aesthetic, historical and scientific implications of these collections. To launch a traveling exhibition of the artistic research project in Edinburgh. To launch a programme of events and educational interfaces around the project. To follow practices of successful and failed repatriation efforts and to involve the broad public in the discussion of this topic. To examine and propose facilities for successful repatriation claims. To examine and propose standardised practices for the use of photographs of contentious collections.

## 5. TRANSFORMING LONG KESH/MAZE PRISON

A Dialogical Project to Counter the Antagonistic Politics of Architectural and Linguistic Limbo

*Where:* Belfast, Northern Ireland

*Artist/researcher:* Martin Krenn, Aisling O'Beirn (<http://www.martinkrenn.net>, <http://www.aislingobeirn.com/>)

*Partner/Host:* Ulster University

*Other partners:* organisations / individuals to realise the model of the Utopian vision for the site of of Long Kesh/Maze prison

*Topic:* The former Category A prison, known variously as Long Kesh, H Blocks and Maze located just outside Belfast has long been a contested territory. It famously housed political prisoners during the period of recent conflict in Northern Ireland (operational from early 1971 – 2000). All that remains are one H Block and the former prison hospital. The site was initially agreed by the Stormont Government to be redeveloped under the Maze Long Kesh Redevelopment to include a Libeskind designed peace building and reconciliation centre. However the agreement stalled and the site now remains vacant, apart from hosting the annual Royal Ulster Agricultural Show. Its lack of use renders it again a contested site, which is non-the-less loaded with latent potential.

*Goals:* To reinvigorate debate to reactivate the site, acknowledging its historical importance and its future possibilities as a locus for change. To see the site's importance and difficulties acknowledged in a progressive way. To document the site via photography, film, audio recordings and castings of architectural details. To conduct interviews with ex-protagonists and interested parties (ie interviewees might include ex-prisoners, ex-wardens, architects, planners etc). To build a large open-air utopian model based on proposals of participants in our dialogical platforms that speculates as to how contested sites, despite the absence of local political consensus, can still be used to ignite debate about the role of such sites in post- conflict situations. To create a website that will act as a repository for our project interviews and documentation of the prison.

### 1.3.2 Europe in Crisis – Reading Challenge as Opportunity for the Transmission of European Cultural Heritage

TRACES re-formulates the cultural crisis of the idea of Europe as an opportunity. It acknowledges that a shared European identity and with it the imagination of a historically grounded, unified European cultural heritage have become fragile and cannot be taken for granted.

Since the 1980s, the 'grand narratives' of nation and political identity (communism, democracy etc) have lost credibility both at the level of everyday, subjective meaning-making and at an institutional level. This has affected the grand, forward-looking vision of a democratic, unified Europe which matured between the two World Wars of the 20th century and provided the basis of today's European Union. On the level of intellectual traditions in Europe, proponents of the cultural and post-colonial turns have vehemently criticised homogenising concepts of identity and the assumption of a set of universally valid norms and values (Hall et al 1992). These very theories not only explain the disintegration/collapse of the vision of a unified Europe into a multiplicity of separate, competing and contradictory heritages. They also indicate a path towards finding coherence, interaction and connection in that which appears as separation. Especially in criticising a static understanding of cultural heritage (Smith/Akagawa 2009, 5; Kurin 2004), these theories offer conceptual tools to integrate different cultural imaginations on a socio-political level into a shared narrative.

Paradoxically, while the heritage of Europe is receding, a boom of local and regional heritage activities in Europe, accompanied by vehement critique of the so-called 'heritage industry' can be observed, establishing a veritable memory phenomenon (Macdonald 2013). TRACES will show how the creative and controversial activities in the

memory-identity-heritage complex (Macdonald) can be harnessed for a renewed Europeanisation.

The idea of a unified identity, including the European identity represented by speakers in authoritative, often institutional positions is challenged on several fronts and affects the work of heritage practitioners. At the seminal 1999 conference “Whose Heritage” addressing arts and heritage stakeholders, Stuart Hall, a central proponent of the cultural turn, observed that “the questions – ‘Who should control the power to present?’, ‘Who has the authority to re-present the culture of others?’ – have resounded through the museum corridors of the world, provoking a crisis of authority” (Hall 1999). He also observed a “decline in the acceptance of the traditional authorities in authenticating the interpretative and analytic frameworks which classify, place, compare and evaluate culture” (Hall 1999, 7f.).

In the field of art and cultural work, museums are recognised as complex power structures. As a consequence, conceptual artists began to criticise such institutions through interventions outside and sometimes inside museums. Thus the authority of heritage institutions as sole guardians and carriers of cultural knowledge is increasingly contested, resulting in a crisis of transmission.

Crisis, however, opens up new avenues as to what counts as heritage and how it may be transmitted. TRACES proposes to revive the goal of a democratic Europeanisation. This implies re-adjustment in how we understand and imagine European identity. Cultural heritage is widely recognised as an important medium (mode) for the transmission of identity. Under the current circumstances, European cultural heritage cannot be regarded as a homogenising force. Therefore, TRACES adopts the concepts of reflexive Europeanisation (1.3.3) and contentious cultural heritage (1.3.4).

### 1.3.3 Reflexive Europeanisation

Scholars around the Frankfurt Institute of European Ethnology have extensively studied Europe from the perspective of migration (Römhild, Hess, Tsianos, Karakayali). Numerous ethnographic studies into everyday lives under conditions of migration have generated the concept of reflexive Europeanisation (Römhild 2009).<sup>1</sup> This concept encourages seeing Europe “from the margins” (all CCPs; field research WP4). By adopting this research perspective for art-based and ethnographic case studies on contentious cultural heritages, TRACES focuses research onto the productive-practical potential of transmitting cultural heritage for a renewed European imagination with less exclusion. Based on the marginal position of migrants, this concept directs attention towards and facilitates an understanding of those heritages which have long been perceived as the “Other” in Europe – an exclusion which fuels racism, right-wing extremism and Islamophobia amongst others (all CCPs in research exchange with WP1 – WP5).

By relying on reflexive Europeanisation and in line with the propositions of the cultural turn, TRACES abandons the search for a unified and fixed European heritage and a type of Europeanisation that is compulsory-for-all. Instead, reflexive Europeanisation relies on a multi-perspective and process-oriented understanding of European culture and identity, one which is continuously negotiated and critically reflected upon and includes non-dominant perspectives (Römhild 2009). Reflexive Europeanisation unfolds through the dynamic relationship between institutions and practices of everyday life (de Certeau 1984) and by harnessing the micro practices of the everyday. In relation to the practice-fields of heritage transmission, reflexive Europeanisation means that conflicts around cultural practices, institutions and values are no longer excluded or silenced – instead, they can be actively embraced and dealt with. TRACES mobilises this concept for the transmission of European heritage developing and using innovative collaborative research approaches (WP4). Taking a relational approach, it analyses contentious cultural heritage contents and repertoires in different European regions through their relationships. Therefore, each individual case can unfold beyond its immediate environment.

In the face of increasing right-wing extremism, racism, new anti-Semitism and Islamophobia, a reflexive understanding of Europeanisation can contribute to a development where, for instance, citizens with a migrant background with and without an EU passport are no longer discursively placed outside Europe, but inside. In turn, descendents of earlier migrations become aware of their own multiple identities (WP2, 3). Those formats of heritage transmission which are participatory and invite creativity can open up fixed stereotypical assumptions/attributions and, to a certain degree, empower citizens in minority and marginalised positions (WP4). An open, processual and flexible understanding of Europeanisation, identity and heritage strengthens democracy, as it requires negotiation and facilitates ways of dealing with conflict. Thereby it contributes to European integration and cultural cohesion. Reflexive Europeanisation aides an evolving European, democratic and enlightened public imagination, which is the basis for an emerging European identity.

<sup>1</sup>This is a poignant example how the gaze onto Europe from the margins (in this case, the migrants traversing Europe) displaces a taken-for-granted European identity.

### 1.3.4 Contentious Cultural Heritage

Considering the current brisance of European conflicts, it is crucial to look at those institutional and popular heritage repertoires (practices of memory-making and “doing Heritage”) which are contentious, based on seemingly incompatible perspectives of European history with its deep traumas and numerous and not infrequently tragic exclusions, as well as its celebrated diversity.

Critical cultural heritage scholarship has drawn attention to how the concept of heritage is situated and processual, something we ‘do’ rather than a thing we ‘have’ (see Lambek 1996 qt. in Macdonald 2013, 12). This marks a departure from earlier works where heritage was imagined as a fixed, static, objectified and naturalised “thing”. Recent works agree that cultural heritage as a mode of identity production is continuously produced and negotiated in the form of conflicting practices (Macdonald 2013, 18; Tschofen 2007, 19; Csáky/Sommer 2006; Urry 1996). Numerous ethnographic studies have demonstrated that heritage, like memory, is neither static nor a fixed entity already in existence, but that it is constructed and produced. As such, heritage is seen as a “mode of cultural production in the present that has recourse to the past” (Kirshenblatt-Gimblett 1995, 369; 2004, see also Macdonald 2011; Smith/Akagawa 2009; Smith 2006; Graham/Ashworth/ Tunbridge 2000; Lowenthal 1998). Thus heritage workers on all levels engage in “discursive practice, shaped by specific circumstances” (Littler 2005, 1; see also Hertzfeld 2010, 259 and Hall, 1999).

TRACES takes this understanding of heritage further by focussing on contentious cultural heritage. This focus directs attention to the “dissonant” (Kuutma 2009, 9), unsettling, awkward, painful or “difficult” qualities of “past-presencing” or the “memory complex” (Macdonald 2013). This focus especially allows inquiry into gender relations, as it seeks to make visible the diverse actors, discourses, and voices participating in memory/heritage practices.

Even in its most innocent manifestations, such as the famous Akropolis, European cultural heritage is revealed, at second sight, to be necessarily fragmented, with multi-perspectives, conflicted or, in short, contentious (Yalouri 2001). Conflicting or controversial perspectives on different historical memories and experiences have been colliding in Europe’s culturally diverse landscape in the past and continue to do so in the present. A particularly poignant example is the ongoing conflict around the site of the former Long Kesh/Maze prison in Northern Ireland (CCP5).

Especially scholars of post-colonialism have pointed out that cultural heritage is always contested (Kuutma 2009, 9). In this vein, TRACES explores postcolonial practices of representing ‘the Other’ in European museums of culture<sup>2</sup> (CCP4, WP2, WP3, WP5) and looks at perceptions of Europe from those who have migrated here (WP2, 3WP3) Multi-lingualism is part of the European heritage, although it has been fiercely contested, oppressed or silenced across Europe in the process of nation-building (Anderson 2006). The perception of multi-lingualism as an obstacle for a unified identity is contrasted by numerous positive narratives on the level of everyday living and remembering. TRACES highlights this by working with bilingual cultural groups in multi-lingual regions of Italy and Carinthia (WP4). In the multi-lingual Italian village Dordolla, tendencies to maintain a traditional, unified local identity are continually crisscrossed by disagreements on culture and ways of life which extend past lines of conflict into the present (WP4).

As memory becomes a cultural asset as heritage, more and more groups claim a public space for addressing their versions of the past. Popular or oppositional memories are beginning to become visible as part of official memory (Macdonald 2009). Heritage is sometimes harnessed in social struggles, if, for instance, a local movement against urban restructuring in London considers registering the historic town hall as UNESCO cultural heritage in order to save it from demolition (WP4).

Conflicts, together with strategies to resolve them, are intimately linked to the idea of democracy. Conflicts involving differences - in ways of life, values and practices – are often performed at the site of heritage. TRACES works on the hypothesis that the contribution of heritage work to an actualisation of European identity takes place precisely through conflict. TRACES focuses on contentious cultural heritage as a means to face conflict rather than something to be glossed over and suppressed. A proposal on how contentious cultural heritage can be transformed into integration was made by Michael Rothberg’s influential concept of multidirectional memory (Rothberg 2009).<sup>3</sup> His work on the competing memories of colonialism and the Holocaust is an important impulse for TRACES, as it helps to put into interaction heritages of colonialism and post-colonialism, racism, migration, and the Holocaust. The Alpine-Adriatic region between Austria, Italy (WP4) and Slovenia, for instance, holds

2 See: „MeLa\* European Museums in an age of migrations“ (FP7 project) <http://www.mela-project.eu/project> (seen 10.01.2015).

3 See for instance the debates on the Frankfurt Memory Studies platform, especially Rothberg/Yildiz <http://www.memorystudies-frankfurt.com/de/events/michael-rothberg-and-yasemin-yildiz/> (accessed 21.01.2015). His work also provides an important basis for historical education and work on memorial sites in current migration societies (Garnitschnig 2010; Messerschmidt 2010; Sternfeld 2013). This is relevant because in current migration societies, competing versions of the past and its interpretation need to be taken into consideration.

competing memories of the Yugoslavian Tito era (CCP3) and the Cold War, fascism and World War II (partisans, Nazi-supporters, and everything in between, all this under governments on opposite sides of the war). Concepts such as multidirectional memory helps to acknowledge these (see Blacker et al. 2013). Macdonald argues that sites and domains of contention – what she calls ‘difficult heritage’ – set up particular challenges for identity-making, and especially for the establishment of positive self-identities. At the same time, however, she argues that these kinds of difficult heritages (troublesome or uncomfortable pasts) can be particularly valuable for identity reflection – though this needs insightful modes of transmission. Furthermore, she posits that the opportunity for such reflection is part of what motivates people to visit sites of difficult or contentious cultural heritage. Thoughtful artworks can act as important intensifiers of the experience of confrontation with contentious cultural heritage, helping to raise questions and prompting both those charged with dealing with such heritage and those who ‘consume’ it. Such reflective forms of transmission can help prevent those involved from simply continuing in their usual, perhaps entrenched, positions. This, in turn, can help lead to more reflexive forms of past presencing and contemporary engagements.

TRACES mobilises the theoretical concepts of reflexive Europeanisation and contentious cultural heritage using a perspective “from below” and with reference to citizens’ everyday practices. Thus TRACES emphasises the creative productions in popular culture and, relating to this, practices of symbolic creativity.

### 1.3.5 Civic Engagement and Everyday Heritage Practices: Symbolic Creativity in Popular Culture

TRACES asserts the Horizon 2020 reflexive societies call in that the transmission of European heritage and identity “*should address how the local, regional, national and European aspects of cultural heritage are interlinked, how they are understood or not by citizens and encouraged or not by various stakeholders and promoters of cultural heritage*” (call). To overcome the current European crisis and strengthen European values in local cultural heritages, citizens’ creative everyday heritage practices need to be considered by stakeholders in their regional and local diversity, with all their contradictions. In a globalised world, the local, regional, national and global are intertwined, they mutually constitute each others “multi-scalar space”, (Sassen 2008). European cultural heritage is therefore linked to the most local cultural expressions (ideas, practices, values) as well as global flows of communication (Appadurai 1996). The local and popular dimension, including citizens’ civic engagement, is of eminent importance in stimulating European cultural heritage. In turn, local heritage repertoires draw on European stimulations and shape them according to their specific, situated needs. They re-cast and connect them to local, regional or national practices, habits, memories, heritages and values. The phenomenon of transnationalisation of public performances has been pointed out by scholars of social movements (della Porta/Diani 2006; Della Porta/Tarrow 2005; Bennet 2005).

Popular culture is a powerful resource in the construction and transmission of cultural, especially intangible heritage locally, regionally, nationally and across the European space. The UNESCO has acknowledged this by including the notion of *intangible* heritage (Tauschek 2013). Cultural anthropologists (Lottermann/Welz 2009) as well as historians (Kaiser/Starie 2005; Loth 2005 and Kaelbe 1987) have pointed out that the appropriation of Europe from below is embedded in diverse, contradictory or consciously conflictual processes of interpretation. TRACES highlights the artistic dimension of popular heritage repertoires by extending the definition of “art” to “symbolic creativity” (Willis 1991) performed by citizens. This takes into account the everyday agency of citizens, as they interpret and re-define their position in past and present using popular culture. Symbolic creativity allows TRACES to draw on popular culture as a resource for heritage work, including folklore, the living arts, the work of cultural and civic associations, graffiti- and video artists (WP4) and vernacular art such as Holocaust memorabilia produced by survivors and bystanders in Poland (CCP2).

Anthropologists recognise digital practices of doing and meaning-making as a topic for ethnographic research (Juris 2004, Miller/Slater 2000, Hamm 2011). With the increasing vernacularisation of digital technologies (Hengartner), they are increasingly ubiquitous in everyday practices and meaning-making processes involving the production, circulation and negotiation of heritage. This is particularly relevant in popular heritage repertoires. TRACES includes local, everyday perspectives as crucial factors of sustainable heritage transmission. Heritage transmission can feed on everyday practices of citizens. If it does so, it will also be able to reach out to citizens, simply because it will “speak the same language”.

To contextualize the CCPs, TRACES conducts basic ethnographic research specifically into heritage-related everyday life creativity and civic engagement in digital, rural and urban ethnographic research settings using a *community-led local development approach* (WP4). All fieldsites allow for a perspective from the margins: the rural fieldsites are structurally under-developed, the urban fieldsite directs attention to a long neglected neighbourhood. The chosen field-sites also allow for new, heritage-related economic perspectives to be studied, such as alternative forms of tourism and urban renewal.

Two rural ethnographic research fields are situated in the Alpine-Adriatic region and conducted with the civic partner organization UNIKUM. In both, multi-lingual interventions, artists and citizens will work together, facilitated by local popular culture associations:

- (1) An art exhibition with installations in the landscape titled “Im Eck | V kotu | Nell'angolo” at the idyllic Peč (Petzen) / Dreiländereck area deals with conflicts around the imminent loss of the local cable car. The cable car is the main tourist attraction in the area and provides important infrastructure. This is negotiated against the background of belonging to different linguistic groups as well as different lifestyles. The installation uses artistic formats including digital media and the internet. Citizen participation includes local cultural associations.
- (2) Inhabitants of the multi-lingual Italian village of Dordolla will perform a folk-opera titled “Sisyphos”. Staging the opera is a means to engage with conflicting lifestyles, values, economic perspectives and identities in a village where many activities aim to develop soft tourism (agro-tourism) as a viable but controversial economic perspective. These contradictions are organised along the lines of language: long-term residents use the Roman language Furlan, a more recent group speaks Italian, and newcomers from Britain, Germany and Austria promote alternative lifestyles. Citizen participation includes the theatre group TROTAMORA (Carinthia), the all-woman vocal group PRAPROTNICE as well as local lay actors.
- (3) The urban ethnographic research field is Brixton, a neighbourhood in the global city of London which is currently undergoing urban restructuring. This dynamic situation sets in motion a reconfiguration of heritage repertoires, involving contentious civic engagement. Brixton is one of the most socio-culturally diverse and multi-lingual neighbourhoods in London, marked particularly by the post-war influx of workers from the West Indies and documented in the UK's only black heritage centre (Black Cultural Archives). Its lively cultural scene includes artists from different European countries. Brixton heritage encompasses narratives of successful multi-lingualism and integration as well as bitter experiences of racism, social unrest and urban neglect. In the current negotiations on urban restructuring, citizens and local authority are mobilising different versions of local heritage. This is performed in the streets through graffiti and public performances, and also by digital means (local weblogs, the council's participatory citizen website). Different stakeholders bring forward competing interpretations of the nature of local heritage and debate whether urban redevelopment must be seen as a threat or an asset to local heritage.
- (4) The digital ethnographic field is shaped by, but extends the urban and rural fieldsites to include cross-European connections and includes the activities of the TRACES Creative Co-Productions. Digital communities play an important role in popular heritage transmission (CCP1). In Brixton, the recent demolition of a modernist social housing estate was justified by its bad reputation of dilapidation and crime. In contrast, former inhabitants and an active scene of micro-bloggers are challenging the dominant narrative by “recreating it” as a collective memory of good neighbourhood and urban heritage.

TRACES thus encourages Europeanisation from below rather than promoting a top-down perspective.

### 1.3.6 Using the Arts in Shaping Europe's Identities

Practices of transmitting cultural heritage in the memory-identity-heritage complex (Macdonald 2013) show that “the arts” – as creativity, as artistic research, as a skill or virtuosity – inhabit an increasingly central position in today's social formation.

#### Social Aesthetisation

The invocation of professional art on the part of institutional heritage providers is an expression of the current social formation, which has been described as a highly ambivalent process of *social aestheticisation* (Reckwitz 2012). In today's “aesthetic capitalism” or “cognitive capitalism” (Reckwitz 2012, Moulrier-Boutang 2003), art and knowledge are seen as “indispensable components in dealing with complexity. In every project on industrial innovation, we find an artist or author as a member of the respective team”<sup>4</sup> (Moulrier-Boutang 2014: 20). At the passage of an industrial society to a knowledge society, social aestheticisation indicates a societal need for self-realisation and new forms of self-expression. Social theorists have critically acknowledged this process by denouncing the “creative industries as mass deception”<sup>5</sup> (Raunig 2007). Beyond the creative industries, a “culturalisation of the economy” (McRobbie 1999) has been observed in the field of labour, extending to everyday life. The new post-Fordist paradigm of labour subscribes to the “creative imperative” (Reckwitz 2012) by embracing aesthetic practices and encouraging creative and participatory ambitions, including by social groups who were traditionally not seen as creative. As a result, citizens generate important heritage repertoires drawing on popular culture.

<sup>4</sup>Translated from German by TRACES.

<sup>5</sup>Translated from German by TRACES.

Thus TRACES acknowledges professional, vernacular and popular artistic agency, and puts them into interaction. It harnesses both traditional and popular forms of creative meaning-making with the aim to generate and provide innovative formats for the transmission of heritage. This will support the strengthening of communication processes between stakeholders and citizens. The innovative approach CCP is thus a cutting-edge response to a major societal transformation. It introduces reflexive and participatory practices that will allow heritage work to strengthen European identities.

### **From Intervention to Co-Production: Between Artists, Educators and Heritage Providers**

Institutional heritage providers such as history- and ethnographic museums, memorial sites, local councils or commercial tourism providers are increasingly seeking collaboration with artists who are working on cultural heritage. The trend to transmit heritage using professional artistic production owes less to the expectation that artists might present existing heritages in aesthetically more appealing (“nice”) ways. Rather, artists are ascribed an ability to make difficult, awkward or silenced heritage negotiable by using aesthetic and communicative methods and techniques (Toolkit 2008). In turn, artists increasingly extend their sites of work from the art museum, the gallery or the arts market to public places such as monuments and memorial sites, to institutions such as ethnographic museums with their “difficult” (Macdonald 2012) collections, or into specific communities, where they aim to set in motion shared creative processes. When institutions of heritage transmission such as museums commission artists, their work largely takes the form of short-term, selective interventions. Such art interventions involving museum collections and other cultural heritage institutions have been around for more than four decades. The artists whose art practice was defined as institutional critique (Fraser 2005, 278; Alberro/Stimson 2011) were particularly keen on questioning, redefining and reconceptualising the starting premises on which such cultural heritage collections and institutions were originally based. After entering the museums’ depots and researching the history and genealogy of the collections, artists would embark on producing new art works based on certain research data, acquired via quantitative and qualitative research methods. Proponents of this reflexive turn in the art world, such as Michael Asher, Hans Haacke, Marcel Brothaers, Robert Smithson, Andrea Fraser, Mark Dion, Martha Rosler, Adrian Piper, Guerrilla Girls, or Fred Wilson, have all targeted the inner contradictions and hierarchies entailed in terms such as “culture” or “cultural heritage” and the role and position of contemporary art in this context. Such art practice is based on the assumption that contemporary art sooner or later also becomes cultural heritage. Therefore it is very important that contemporary artists position themselves towards the cultural context and heritage in which they operate and in which their art production is going to be subsumed. Institutional actors, for instance in ethnographic museums, reacted to the challenge of the reflexive turn and the crisis of representation with increasingly reflexive and self-critical positions vis-à-vis their own subject matter (see amongst others Beier-de Haan 2007; 186; Stylianou 2013). Critical curators of ethnographic museums regarded collaborations with artists as an opportunity to open up the “orthodoxy of the museum” (Stylianou 2013) within their own institutions.

Based on these developments museums today are questioning their role in the knowledge society, in which visitors are always potential “prosumers”, and in which a wide range of voices from networked learning communities are now challenging the validity of expert knowledges. Museums now think of themselves as sites of knowledge exchange, places geared up for active engagements with the conjunction of past and present: the keyword here is “participation” (Simon 2012; Gesser et al 2013). This development gives new relevance to the knowledges and strategies specific to educational practice. Hence it has been recognised since the 1990s that educational work in exhibitions and museums is not merely a service to be provided, but has the potential to develop as a culturally productive practice in its own right on the interface of knowledge sharing, cultural education, performative artistic processes, and even activism (Jaschke/Sternfeld 2012; IAE 2013). From this perspective, museum education is developing as a critical practice capable of questioning, extending, and changing both exhibitions and institutions and influencing the museological debate.

Although the debate on contentious cultural heritage, especially around ethnographic museums, including this turn to collaborative museology (Phillips 2003), highlights the relevance of learning processes, museum education is little scrutinized in the debate. This concerns on the one hand the complex configuration of audiences and stakeholders (in opposition to a binary of “collaborators” and “the audience”) and on the other hand taking into account the developments in the education field towards collaborative practices and museum education as knowledge production.

Parallel to these debates and developments in the educational fields, museology in recent years has shown considerable engagement with questions of innovative practice, focusing on the possibilities of involving artists (Macdonald and Basu 2007). There has also been a significant turn towards questions of engaging with ‘communities’ and also with social inclusion (Sandell 2002). These often draw on post-colonial theorising and a politics of recognition that challenge hegemonic national representations and seek to provide a ‘voice’ to those who have been ignored or marginalised within earlier theorising and practice. They are, however sometimes based

upon somewhat naïve or instrumental premises, including an idea that the world is grouped into ‘communities’ each of which has a common outlook and agenda - a perspective that naturalises communities and fails to recognise divisions within (Modest and Golding 2013). Nevertheless, they have generated many attempts by museums to ‘reach out’ to diverse groups through innovative practices. This in turn has helped to reshape museology into a more dynamic discipline (Macdonald 2006), with considerable focus on the potential of museums to engage with diverse social groups and thus enrich museological practice in the process. It is notable that a new volume highlighting significant transformations and futures in museums puts especial store by such engagement with groups beyond museums’ traditional constituencies and also by innovative coalitions of museological production, including those involving artists (Coombes and Phillips 2015). At the same time, however, they caution, as do Basu and Macdonald (2007) against lazy moves by some museums or heritage organisations to ‘bring in an artist’ when there is a difficult topic in order to absolve the institution of responsibility. Establishing more robust modes of embedding artists is, therefore, clearly an important direction for future museology.

For heritage agents, educators and artists who were seriously interested in reflecting on exciting forms of heritage transmission, art practice and the medium of ‘intervention’ turned out to be insufficient and often resulted in a dead end. Some exhibitions were closed down as “too critical” since they revealed a lot of hidden “skeletons” (e.g. Hans Haacke’s projects)<sup>6</sup>. Some of the less critical projects were used by the organising institutions as a specularisation, recuperation and justification for continuing the criticised practice, as if the artistic interventions were enough and self-explanatory evidence of the institution’s will to change. In South- and Eastern Europe, artists developed a different strategy: In Slovenia, for instance, Tadej Pogačar established the P.A.R.A.S.I.T.E. Museum and Institute and Alenka Pirman Institute, a predecessor of the Domestic Research Society, a partner in this project. They established these self-governed institutions in order to question the cultural policies of local and regional institutions. They worked collaboratively with them, but also often hit the wall when tackling more delicate questions (Zabel 2002).

The practice of artistic intervention recently developed towards more relational, collaborative and participatory models of work (Bourriaud 2002; Kester 2004; Milevska 2006). However due to the short term nature of most such projects, the partial commitment of artists to ambitiously envisioned and conceptualised projects, the lack of funding, etc. such projects still start and end very similarly to any other artistic project: with an exhibition that is more or less successful and has its limited audience which exists parallel to the duration of the exhibition, but does not ‘intervene’ and reflect on the inner power structures and programming in the long-run. Responding to these shortcomings, TRACES develops a methodology which is based on an interdisciplinary merging of research methodologies taken from social humanities and social sciences (art history and theory, museology, cultural anthropology, ethnography) and artistic research. Importantly, the CCPs are oriented towards ‘voluntary participatory methods’ (Tal Adler). This method implies that artists are not offering their individual artistic interventions to the institutions as ‘outsiders,’ but become part of research and co-producing team(s), delegate different tasks and eventually produce not only art projects, but also self-sustainable structures and models of future participatory research projects that will reshape the inner structures and concepts of institutions dealing with contentious cultural heritage.

### **Combining Art and Ethnography: Challenges and Potentials**

Ethnographic approaches are based upon a series of commitments (Miller 1997) to be directly engaged in the ongoing practices of the research subjects rather than relying only upon texts they produce. Moreover, there is a commitment to be involved with the research subjects long enough to go beyond the kinds of self-presentations which might be given to researchers undertaking more ‘hit-and-run’ approaches. Increasingly, calls are for more ‘democratic’ forms of ethnography (Macdonald 2009; Marcus 1995) which engage directly in ongoing debates and even in forms of co-production of research and creative practice.

Increasingly, research projects combine artistic and scholarly epistemologies and methodologies (see, for instance Binder/Neuland-Kitzerow/Noack 2008, Schneider/Wright 2006, Schneider 2008)<sup>7</sup>. Such combinations contribute to dissolving the boundaries between different methodologies (Schönberger 2013; Schönberger et. al 2016) and disciplines. The combined approach is a result of the 1980s “Writing Culture” debate on ethnographic representation (Clifford/Marcus 1986) and marks the cultural turn in anthropology (Laister 2008). The crisis of representation drew attention to certain positions of artists and ethnographers which are remarkably similar in topic, approach and mediated representation. The contact points between ethnography and artistic research are

<sup>6</sup>Several exhibitions of Hans Haacke addressing the decline of the Museum’s Board of Trustees’ and donators’ wealth were cancelled, e.g. his exhibition in Wallraf-Richartz Museum Haacke, Project ‘74 because of his research on the Third Reich’s provenance of one of the paintings.

<sup>7</sup>See, for instance, two emblematic book titles: Wolcott’s introduction titled “The Art of Fieldwork” (2004) and Hal Foster’s much-debated essay “The Artist as Ethnographer” (1995).

striking. Anthropologists emphasize that both artists and ethnographers are dedicated to making visible (marginalised) ways of life; questioning taken-for-granted cultural issues; fluidifying hard-and-fast assumptions on the only possible world (and its order); representing conflict and exploring spaces of possibility<sup>8</sup> (Binder 2008a, 11). Both ethnographers and artists are also concerned about representing the results of their work. While ethnographers, in addition to writing “thick descriptions”, experiment with poetic, literary, visual and performative modes of representation (Denzin 2003) to represent “webs of meaning” (Geertz 1973), artists are shifting away from the primary importance of the material piece of art. The artwork, in these understandings, is that which has the potential to make something evident (Mersch 2007, 64ff), to facilitate new experiences and provoke actions and reflections amongst the audience (Schenker 2004, 1). Both artists and ethnographers are interested in the relations between people; both ethnographic fieldwork and artistic research requires participation and reflection. Most importantly, both artistic and ethnographic research creates spaces of reflection, opportunity and possibility (Bippus/Hesse 2008, 50; for ethnography see e.g. Hamm 2013; Wolcott 2005). In the ethnographic research relationship, field actors are able to step out of their everyday realities. Artistic practices, in turn, are said to make hard-to-grasp or silenced “implicit knowledge” (Polanyi 1985) accessible, for debate and negotiation by condensing and mediating it (Borgdorff 2009, Huber 2009, Mareis 2012, Ritter 2013). Such implicit knowledge is often beyond that which can be said, and thereby hard to capture through scientific methods. With reference to contentious cultural heritage, the creation of reflexive spaces out of the ordinary is crucial to overcome entrenched positions and enable interaction. Over the last decade, combined artist-ethnographic research practice has also directed attention to the challenges arising from the crossing of disciplinary boundaries.

TRACES draws on the expertise of empirical projects initiated and carried out by artists and scholars together. By reflecting on combined research practice in the CCPs and case studies, TRACES will contribute to this debate, and most importantly provide best-practice advice for collaborative research of artists, scholars and practitioners in the field of heritage transmission.

### Collaborative practice

Transdisciplinary cooperations between artists and ethnographers have been assessed in different ways. Recent research<sup>9</sup> (Hengartner/Schönberger 2015) suggests that such cooperations provide promising new approaches (Holfelder/Ritter 2012). While commentators agree that such cooperations are highly desirable, critical questions arise when such ambitious projects are put into practice. Important groundwork on critical points when establishing artist-researcher co-productions has been done in two Swiss national science foundation funded research projects on artistic and ethnographic approaches to popular usages of technological devices.<sup>10</sup> It provides important expertise on establishing research designs that account for disciplinary collaboration between art and ethnography in a goal-oriented and knowledge-generating manner. Importantly, methodological tools ensure that the specific qualities of artistic and academic approaches (research practices, forms of knowledge) neither level each other out, nor remain in an additive, yet unconnected relation to each other. The challenge rests not only in disciplinary rationalities and traditions, but also in ensuring that the logics of different institutional settings (academia, art-world and heritage transmission) engage with rather than block each other. Five points have been identified to deal with this challenge in TRACES, drawing on theoretical and methodological groundwork to which the applicants contributed with numerous publications and practical experiences (see Schönberger 2013a; 2013b, Schneider/Wright 2007). Asymmetric power relations: Concerns have been raised that crossdisciplinary projects tend to be dominated by academic approaches (Schenker 2004, 6), while artists are relegated to a role as supplier of material (ibid.; Borgdorff 2012, 78). This can be avoided through co-production (Schönberger 2013a), collaboration and dialogic approaches, where the collaboration importantly begins with establishing research questions (Holfelder/Schönberger 2015). If the epistemic potential of art is acknowledged as “thick knowledge” (Schenker 2007), art will not be regarded as a mere supplier of images (Bippus 2013).

Specific disciplinary self-interest: Artistic and academic careers follow different rules and need to justify their work in different professional communities. Therefore, it is important to ensure that the self-interests of all participants are equally taken into consideration.

Representation of results: Art and academia require specific forms of representing results.

Logic of production: Different logics of production operate in the field of art and academia. TRACES deals with this by planning each sub-project including the CCPs for three years, thus ensuring a shared horizon for all co-

<sup>8</sup>Binder states that the shared aims are “making visible (marginalised) ways of life, questioning cultural issues that are taken for granted, making fluid assumptions on the one-and-only world (and its order), representing conflict and exploring spaces of possibility” (Binder 2008a, 11).

<sup>9</sup>See the NFSNF-Project led by Prof. Klaus Schönberger at the ZHdK Zurich: „Handyfilme – künstlerische und ethnographische Zugänge zu Repräsentationen jugendlicher Alltagswelten“ (2012-2014).

<sup>10</sup>See previous footnote and the NFSNF co-production project „Mit Kopfhörern unterwegs – Wahrnehmung, Aneignung und diskursive Konstitution von öffentlichem Raum. Künstlerische und ethnografische Verfahren im Dialog“ (2015-2017).



productions.

A major challenge is posed by the different epistemological logics in different disciplinary fields. If a productive dialogue is achieved, proponents of both systems of knowledge will be able to identify each other's blind spots (Dombois 2005; Schönberger 2013a). Crucially, they will need to establish a reflexive relationship between their respective results (Laister/Hieslmair 2013) and acknowledge that it will not always be possible to synthesize the different epistemologies. Especially in the institutional setting of memory/heritage sites, the relation between artistic and ethnographic results may have to be one of bricolage rather than synthesis. Regarding the potentials of co-production focusing on the transmission of contentious cultural heritage, it appears promising to create a dialogue between the epistemologies of art and ethnography, as this warrants reflexive multi-perspectivity both in the research process on and the transmission of contentious cultural heritages.

### 1.3.7 Methodological Approaches

Cultural and social anthropology and particularly ethnographic research does not test theories but develops theories and concepts from empirical data; it uses an inductive methodology and therefore has the necessary openness for discovering new, surprising and irritating facts; this makes it possible to explore the significance of a gender dimension and its intersection with other dimensions grounded in empirical data. In that aspect TRACES combines three distinctive but connected methodological approaches. All of them emphasise reflexivity, involvement of researchers in their fields, interaction between stakeholders and participation.

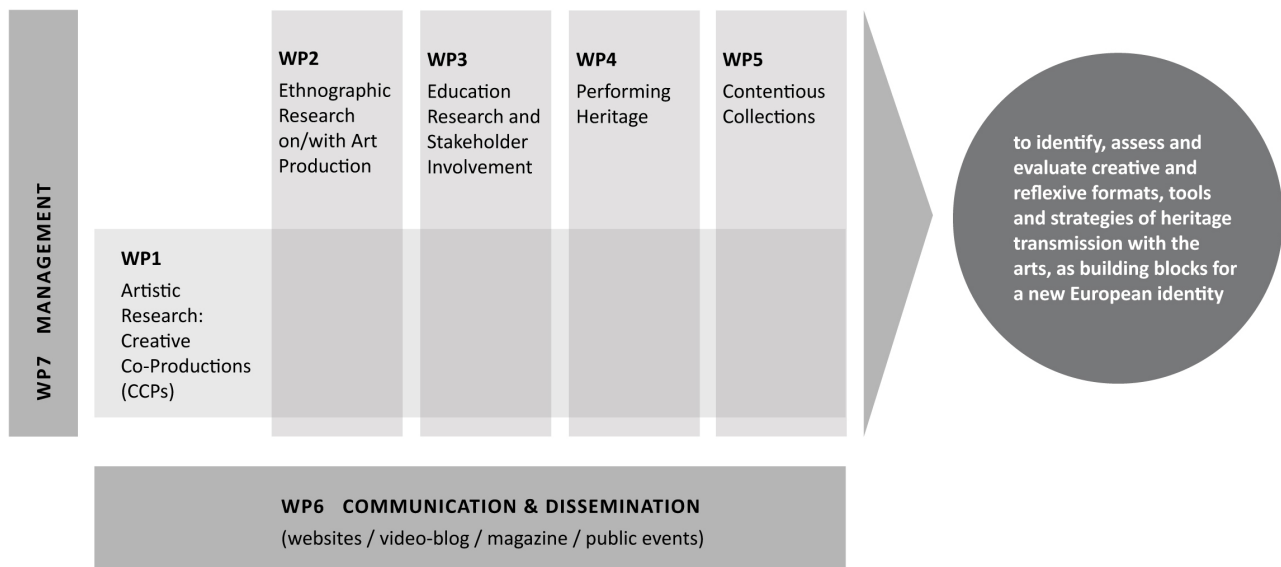
Reflexive Ethnography (WP4): facilitates researcher's participation in the field and provides rigid methodological control for scholarly reflection (Aull Davis 1999). At the same time, because of its flexibility, ethnography allows the methodological repertoire to be radically adapted to each specific fieldsite in order to produce the best results. Ethnography provides methodological tools to help the researcher identify questions and contradictions, perceive the logic of her field, document their research visually and textually and reflect upon the results (e.g. open-ended narrative interviews, ethnographic conversations, fieldnote-taking, mobilising the irritations of the researcher as a starting point for analysis, thick description etc). Ethnography provides the framework for establishing sensitive research relationships with field actors, ensuring they are taken seriously. It allows the engaged participation of the researcher in field processes, while providing the scholarly tools to maintain a crucial distance from the subject.

Action Research (WP3): ensures a focus on practical outcomes which will benefit stakeholders (Reason 2007). Action research encourages the participation of field actors in the research process. Researchers identify the needs of field actors, then focus research designs on practice and implementation. It mobilises the knowledge inherent in the field. WP3 in particular will draw on action research in a case study on education with ethnographic collections (Weltkulturen Museum Frankfurt), using approaches developed in educational science (Altrichter/Posch 2007; Fichten et al. 2004; Carr/Kemmis 1986). By combining research with practice development and involving practitioners as researchers in a research-action cycle (analysis-research-action-analysis), relevance and applicability of results in practice are ensured. Taking into account the tradition of participatory action research (PAR, Fals Borda 1987) and the critique of narrow focus on professional and institutional perspectives in educational action research (Carr/Kemmis 1986; Kemmis 2006), action research in this project will methodically ensure the involvement of educational project participants in research.

Art-based Research (WP1, WP2, WP5 and all CCPs): Over the last decades, participatory research approaches focusing on practice developments have expanded to include artistic research methods. The research-action-reflection circuit follows the same logic as described above, but "action" is understood as an art-based action or the perception of an artwork. Hence art-based research seeks if and how new knowledge can be produced in the process of artistic production. Art-based research uses a variety of ideas, concepts, techniques and methods to approach research questions and open up new perspectives. TRACES uses those specific approaches from the methodological repertoire of art-based research which aim to involve citizens and stakeholders in a process of critical reflection geared towards real change, based on artistic approaches, methods and techniques.

### 1.3.8 Structure of the Research of the Project

Three WPs (WP1, WP2, WP3) are directly connected with the production (WP1) and research (WP1 and WP2) and educational (WP3) approach of the CCPs



### WP1 Artistic Research: Creative Co-Production beyond Intervention

This WP supervises the setting up of the five CCPs. It researches and analyses their artistic processes in relation to their outcomes and in the context of a broad contemporary history of art and institutional critique. It provides workshops on participatory and art-based research methodologies for the CCPs and involved partners. It sets up and maintains the communication interfaces between the CCPs and the members of the consortium.

The WP will be lead by a scholar with specific skills in art history and curatorship and highly qualified in the field of artistic practices of participation and social engagement. Tal Adler, the WP1 task manager, is a conceptual artist specialised in durational art-based research on contentious cultural heritage using participatory practices. The POLIMI research group, drawing on its expertise in project management and its involvement as dissemination leader (WP6) will support the supervising activity and will contribute to the organisation of the WP related events and final exhibition.

### WP2 Ethnographic Research on/with Art Production

This WP follows the work in the CCPs and their interrelations via ethnographic research over the course of the entire project. For this purpose, the WP leader develops tools for the individual CCPs that will enable them to document their own processes and reflect on the relations within their group, hereby also making their experiences accessible for research purposes (in collaboration with WP4).

The analyses are returned to the projects involved for discussion and further development. To achieve this, a systematic process of mutual exchange between the local CCPs, their actors and WP2 will be prepared and realised in the form of workshops, conferences, online-platforms and publications nurturing also WP6. In addition, this WP conducts selected accompanying collaborative research on art interventions in Italian museums dealing with colonial cultural heritage.

Prof. Arnd Schneider (WP leader) is professor of anthropology specialising in the relationship between contemporary art and anthropology and in ethnographic work on and with contemporary art and heritage agents in a postcolonial perspective.

### WP3 Research on Education and Stakeholder Involvement

This WP is dedicated to the educational aspect of transmitting contentious cultural heritage in Europe. In collaboration with the local CCPs it is responsible for the involvement of stakeholders and educational activities, both in terms of their implementation and research on these actions. Additionally, the WP will conduct several research actions for the development of new educational methods in museums and on contentious collections. It is therefore a key element of the overall project approach of combining research with experimental practice development.

Additionally, this WP conducts stakeholder workshops together with local CCPs and discusses the possible integrations into curricula of new approaches in transmitting contentious cultural heritages. This enables feedback for the proposals and approaches developed as well as the implementation of newly developed methods in the sense of reflexive Europeanisation.

This WP conducts two research projects on museums' mediation. Following an action research paradigm,

experimental educational formats are developed based on a participatory analysis of the current learning programmes of the Weltkulturen Museum Frankfurt.

Prof Carmen Moersch is the head of the Institute of Arts Education (IAE) at the ZHdK. She is acknowledged for her wide experience in practice based research in arts education and in theory building in the field of museum and gallery education.

Two WPs (WP4, WP5) are defined as the main field research-oriented WPs. They will conduct ethnographic fieldwork on “performative and digital practice/intangible heritage“ (WP4) and museologically-oriented research on “Contentious Collections“ (WP5).

The CCPs – depending on whether their focus is collection- or performance- and community-related – work closely together with one of these WPs.

#### **WP4 Performing Heritage: Creative everyday Practices in Popular Culture**

This WP conducts ethnographic basic research on practices of “doing heritage” in popular culture. Taking the notion of symbolic creativity (Willis 1991) as a starting point, this WP directs attention to artistic heritage repertoires from below, including its digital forms. These are rarely situated in designated heritage institutions, and not necessarily led by professional artists. This WP provides an everyday perspective on how contentious cultural heritage is produced creatively. WP4 investigates expressive heritage practices including public performances, customs, rituals and other forms of communication. The ethnographic research is conducted in rural and urban fields in collaboration with artists, community groups, NGOs, living-arts initiatives, social movements and other civil society actors. This directs attention to processes of appropriation, interpretation and negotiation in relation to dominant heritage narratives as well as those from below. The ambition of this WP is to analyse, on the basis of ethnographic research on contentious cultural heritage, how performative meaning-making processes from below can contribute to a better understanding of processes of reflexive Europeanisation and in that perspective the empowerment of local communities through creativity. Hence this WP establishes creative community-led local development approaches with artists and initiatives.

The CCPs dealing with community work approaches (CCP1 Absence as Heritage and CCP5 Transforming Long Kesh/Maz Prison) are in close contact with this WP. Their local research is connected to the ethnographic fieldwork conducted in WP4: they receive impulses for their own work from the ethnographic basic research, WP4 holds guided sessions for CCPs on an everyday perspective, using reflexive ethnographic methodology (developing shared research questions, ethnographic data collection on everyday culture, evaluation). Together with the CCPs, WP4 develops, implements and evaluates community-led digital forms of heritage transmission based on popular culture (e.g. selfies).

WP4 also organises local workshops for academics and/or stakeholders in their respective research fields. Thus WP4 enables the CCPs to discuss the role of citizens in their own research as well as in a wider context and helps the CCPs to achieve a better understanding of the active role of citizens when establishing their own participatory experiments.

Prof. Klaus Schönberger (WP leader) is professor of cultural anthropology specialising in practices of digitalisation and everyday life practices, cultural history and cultural heritage.

#### **WP5 Contentious Collections: Research on Material Culture of Difficult Cultural Heritage**

This WP researches and supports CCP4 (Dead Images), CCP2 (Awkward Objects) and CCP3 (Casting of Death) in their work on collections of human remains, death masks and Holocaust vernacular art. It organises a workshop for the CCPs and relevant stakeholders on material culture and museum practices of keeping and representing difficult collections and making them accessible to the public. It supports the CCPs in contextualising their work in a broad context of museology and contentious cultural heritage work and in developing creative approaches for working with the sensitive collections. Through the research in this WP, local case studies can be understood in relation to the history of museums and collections and their implication for the collections. The WP helps the CCPs to better understand their work and ensures scientific standards. In order to achieve reflexive Europeanisation with regard to practice and work in local museums and collections, this WP extends the inventory beyond the case studies of the individual CCPs and develops a general European understanding of these collections.

Prof. Sharon Macdonald (WP leader) is professor of social anthropology specialising in museology and critical heritage studies.

All the WPs evaluate (different) data from the CCPs for their basic research according to their focus. This allows them to enrich their ethnographic fieldwork using comparative European data. The backbone of the research is provided by WP4 (Transversal Collector). All the data will be collected in this WP and comparatively analysed by

the distinguished academic researchers of this WP. This dimension of TRACES strengthens the practice-based innovations and relates them to high-level academic discourses. The backbone of the project, WP4, will also contextualise the findings within the overall research question: How can new ways of reflexive Europeanisation be created and implemented in local communities using creative approaches? TRACES thereby contributes to multi- and transdisciplinary and practice-related theoretical development in the area of art-based research, cultural heritage studies, museology, arts education and debates on European identity. TRACES will also be able to feed the analyses back to stakeholders – through the local partners – in the form of workshops and advice. Thereby the entire transmission of cultural heritage is lifted to a higher level.

TRACES is built on a set of transdisciplinary fieldwork projects which will be conducted by the WPs according to their focus and brought together by WP4 (Transversal Collector) and WP6 (Dissemination). Each of the research-oriented WPs (1-5) will conduct its own field research project, which in turn will work closely with NGOs, artists or cultural initiatives in the regions or museums being researched.

WP No.	Title	Country	Institution	WP leader
WP1	Artistic Research: Creative Co-Production beyond Intervention	IT	Politecnico di Milano	Luca Basso Peressut
WP2	Ethnographic Research on/with Art Production	NO	University of Oslo	Arnd Schneider
WP3	Research on Education and Stakeholder Involvement	CH	Zurich University of the Arts (ZHdK)	Carmen Mörsch
WP4	Performing Heritage: Creative Everyday Practices in Popular Culture	AT	Alpen-Adria-Universität Klagenfurt	Klaus Schönberger
WP5	Contentious Collections: Research on Material Culture of Difficult Cultural Heritage	DE	Humboldt University Berlin	Sharon Macdonald
WP6	Dissemination and Communication	IT	Politecnico di Milano	Francesca Lanz
WP7	Management	AT	Alpen-Adria-Universität Klagenfurt	Klaus Schönberger

TRACES thus mediates between and connects different perspectives on aesthetic-artistic practices focusing on contentious cultural heritage (WP1 in cooperation with WP4). TRACES researches contentious cultural heritage from a variety of disciplinary perspectives, including artistic techniques and methods. This enables TRACES to develop the innovative transmission product/instrument of the CCPs which will be informed by all types of artistic expression (and research about them). Beyond its remarkable form of transdisciplinarity (art, scholarship/science, institutions, heritage-related NGOs), production and research is marked by a multidisciplinary perspective in the relevant practice fields (artists, curators, art mediators/educators, museologists, cultural anthropologists, historians, art historians) in the respective WPs and CCPs.

Concepts, ideas, reflections and realisations will be developed on the basis of mutual exchange and discussion. A synopsis of the art-based research in the CCPs (WP1), ethnographic research (WP4) and museologist research (WP5) will allow a concise overview of the possibilities of creative practices in the field of heritage transmission. This is the precondition for developing and implementing, in cooperation with stakeholders, new forms of heritage transmission using the arts.

The innovative instrument of the CCPs developed by TRACES for heritage transmission goes beyond existing forms of practical proposals (e.g. Toolkit 2008). Beyond this, the CCPs are informed by empirical ethnographic research on everyday culture and citizens' symbolic creativity. Best-practice advice and policy papers will therefore ensure that heritage work takes place with and not against citizens' everyday activities. Practitioners and researchers working in CCPs and WP3 (heritage transmission, education, stakeholder work) will draw on the empirical research on everyday symbolic creativity in close collaboration with WP4 and WP5. These exchanges will enable TRACES to underscore its proposals and policy papers with a scholarly perspective.

## 1.4 Ambition beyond the State of the Art and Groundbreaking Nature of the Project

### 1.4.1 State of the Art

TRACES' ambitions arise from the context of the debate of critical heritage and museum studies which take

conflicts and the voices from the margins into consideration.

In this aspect, several EU-funded research projects have pursued the objective of facing conflicted memories and contentious cultural heritage (e.g. CRIC project FP7-SSH-2007-1), of developing “innovative and creative concepts (tools) to realise the ‘change of perspective’ as the key to ‘Europeanisation’ of museum work” (e.g., EMEE 2012-1016, frame of EU Culture Programme (EACEA) or have “aimed to delineate new approaches for museums in relation with the conditions posed by the migrations of people, cultures, ideas, information and knowledge in the global world” (MeLa European Museums in an age of migrations; 2011 to 2015; FP7). Especially the MeLa Project managed to define new standards of participation in heritage research and practices as it fostered “collaboration between museums and communities, and between museums in different countries with connecting or comparable histories of migration.” The MeLa project applied “art practice as critical interrogations to define problems and alternative perspective on research topics”.

#### 1.4.2 TRACES beyond the State of the Art

Despite a growing body of research on heritage, as well as on the attempts to construct European heritage, the possibility to understand how these operate still tends to be framed by models derived from the understanding of national identities.

This ‘forensic’ model, however, is increasingly recognised as insufficient for the fluidity and indeterminacy of much contemporary identity-formation in Europe. A still very limited amount of research has begun to highlight how local heritage practice may not necessarily conform to such understandings of the significance and nature of heritage and identity (e.g. Filippucci 2009; Macdonald 2012 and 2013). Alternative forms of temporality (which may emphasise mobility and migration as threads of collective identification) and notions of authenticity (perhaps rooted in social relations rather than materials) may, for example, be involved. They may offer important alternatives for re-theorising heritage and identity, and they can represent an important dimension of heritage in Europe today, even if under-recognised.

The significance of place within the construction of one’s sense of identity has been recognised and documented by a range of disciplines, including social and cultural geography, cultural anthropology and sociology. This topic involves an important phenomenological strand of research, which gives emphasis to localised practices which highlight the significance of perceptions of place and what Degnen calls the ‘three-dimensionality’ of memory (2005).

An interesting focus of the research on identities and place has been framed in terms of boundary formation. This issue has origins in classic works about the symbolic construction of boundaries which, were extended into notions of “community” and “belonging”. While these concepts remain important and are even being re-discovered (Macdonald 2011), a growing body of research has developed a critical approach to the idea that identity is necessarily or centrally concerned with boundary-formation (Anheier and Isar 2011). Whether these newer perspectives can be reconciled or not with phenomenological positions arguing for the existential significance of a sense of belonging within a localised place – and, eventually, by which means, – remain questions to be further examined.

Nevertheless, further alternatives to boundary models are offered by several heritage researchers. Through his work on memorials (1993), James E. Young has developed the notion of “collected memory” as an alternative to what he regards as the problematic notion of “collective memory”. Instead of assuming a homogeneous collective of people, whose identity is represented by a particular heritage item (e.g. a monument), he argues that heritage/memorials may act as sites for the collection of diverse and even contested perspectives. This opens up important methodological opportunities to investigate different “typologies” of heritage, such as contentious cultural heritage for the potentially diverse identities and meanings that may gather around it, rather than as necessarily emblematic of specific discrete identities. Consistent research activity on this issue has grown (Bender and Winer 2001; Byron and Kockel 2006; Macdonald 2009; Harrison 2012), though there has been a tendency to relate it to identifiably “contested” or “difficult” heritage, rather than in relation to more low-key developments and practices. Likewise, there is still only a limited amount of research that addresses the ways in which different models of heritage practice and place-making – official and local – may come together (Heinich 2009) and perhaps be reshaped in the process (Hemme et al. 2008; Anico and Peralta 2009).

It is also important to raise questions about the relation to such notions as “transcultural” and “cosmopolitan” identities (Beck and Grande 2007; Macdonald 2003; Daugbjerg and Fibiger 2011). If place is significant to identity, what happens when people move? Do they take their old identities with them or form new ones? Research has given attention to issues concerning dislocation, as well as migrants or “new citizens”, who are part of an overall mobility (at the local, regional, national and transnational scales). These migrants and their stories characterise the contemporary age and may create new perceptions of “home” and a sense of belonging in new places. This issue also includes the potential for existing heritage to be mobilised in order to exclude new arrivals.

How this might be overcome is a crucial area for further research.

The traditional role of conservation must be in tune with the processes of heritage transformation and innovation which should generate conscious methods of valorising and managing new uses for historical artefacts and goods. The Faro Convention on the Value of Cultural Heritage for Society (2005) fostered the development of a growing space for a more inclusive conception of heritage – where the everyday and “ordinary” has as much value as the iconic. The canon has expanded to include everything people inherited and not only what is designated by experts for its architectural or aesthetic value. Less conventional tangible heritage sites can represent an extremely resourceful breeding ground for the enhancement of place image, local cohesion, identity and economic growth. This is the argument that should support a new perspective to heritage, considering it not as something to be merely conserved but as a resource to be re-used, re-interpreted and consequently actualised, in order to become a source for contemporary creativity.

In this way, heritage can be kept alive and be an object of change: if more emphasis is put on what people value in their local areas and not only on “anchor” sites, then social cohesion, cultural significance and identity creation would be much stronger. This would make heritage more people-centred and enable contentious cultural heritage to be used as a even stronger tool for strengthening civic values rooted in a re-evaluated sense of memory.

This is the case for spontaneous movements, driven by marginalised groups, of re-appropriation of “contentious places”, which are now being increasingly incorporated into the official place-promotion discourse. Interestingly, this is also true for new cultural tourists who look for less standardised experiences and destinations (D'Auria 2009).

Non-traditional tangible heritages have thus turned into “new architectural symbologies” (Scott 2008) or into new interpretations of existing collection of objects (e.g. in ethnographic museums) that bear an amount of contentious representations; they not only contribute to shaping visual representation but can also be reframed into places that serve a diversity of economic and cultural purposes. Their transformation can definitely contribute to sustainable development. The topic also includes important reflections regarding the economic sphere: contrary to the traditional notion of heritage which calls for public spending in conservation, this new conception is rooted in life and economy, becoming essential for creating art and attracting an audience. These places can provide a milieu for creativity and innovation, allowing small businesses to grow and fostering the creation of synergies, technological spillovers, income and generating jobs. Innovation also includes governance structures and mechanisms. This is clearly not restricted to built heritage: intangible heritage such as know-how, skills and capabilities can be perpetuated and re-invented throughout generations, as demonstrated by recent sub-cultural movements of the “do-it-yourself” approach, followed by young artists and craftsmen.

### **Creative Co-Productions beyond Short-term Interventions**

With the innovative approach Creative Co-Productions (CCPs) TRACES moves beyond the way art-and-research projects usually function in the cultural field. The CCPs are based on a mutual, equal process in which artists, researchers, heritage agencies (museums, sites, phenomena) and stakeholders (citizens, organisations, policy makers) develop together ways to reflect on, approach, research, communicate, display and educate about a specific case of local contentious heritage.

Interestingly, in industry and business such an approach is not really innovative anymore:

In today’s “aesthetic” or “cognitive capitalism” (Reckwitz 2012; Moulrier-Boutang 2003), art and knowledge are seen as “indispensable components in dealing with complexity. In every project on industrial innovation, we find an artist or author as a member of the respective team” (Moulrier-Boutang 2010). The EU co-funded project *Managing artistic interventions in organisations: a comparative study of programmes in Europe* documented how organisations and artists are learning to work together in new ways. The report speaks about a qualitatively new possibility, in which, due to medium-term projects lasting several months, people from the world of the arts and the world of organisations seek to learn from each other and create new knowledge together (Berthoin Antal 2011). Interestingly the cultural field appears to be behind the development in industry and business. With its innovative long-term art-researcher-heritage-agency-stakeholder teams, TRACES sets new standards in the cultural field and, at the same time, observes and researches these developments and their implications in a critical way. By doing so TRACES will also develop new theoretical approaches of how to understand the role of art and artists in contemporary society. Furthermore, TRACES will not only develop and test these innovative approaches of transmitting cultural heritage, but implement them in a sustainable way in the field of heritage transmission.

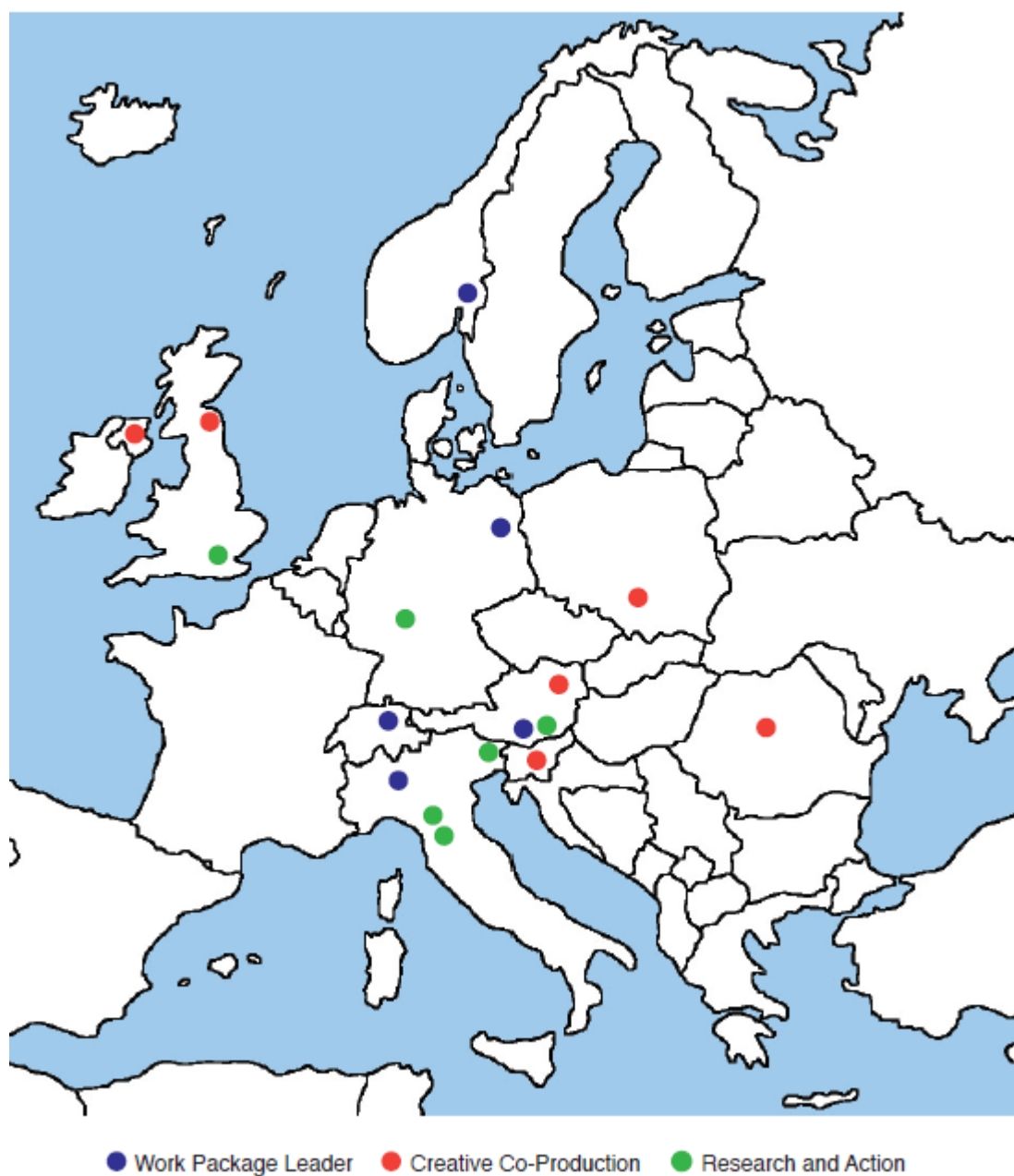
With its co-productions and research collaborations, TRACES exceeds the epistemic systems and familiar logics of knowledge production. New hybrid forms of knowledge emerge from the CCPs as well as in the ethnography-art-citizens cooperations. Besides opening up new perspectives, TRACES creates real situations where things can be negotiated anew. Working on specific cases of contentious cultural heritage in co-productions and research collaborations allows all participants to overcome entrenched positions and integrate their counterpart’s perspectives into their own. This opens up the possibility to deal productively with situations in which participants’

relationship to a shared cultural heritage is entrenched, impaired or marred, or ridden by unspoken conflict. TRACES exploits applicants' longstanding experience with research-art co-operations, and the field of heritage transmission. Thus, the project will be able to harvest an unusually extensive collection of relevant experiences, which, additionally, will already have been reflected upon in numerous academic publications and artistic productions. Applicants will be aware of moments of tension and crises in such co-operations, and command the reflexive tools to deal with them. More importantly, they are well positioned to evaluate them productively with the goal of identifying useful strategies to be used as best-practice proposals for heritage transmission. In other words, TRACES exploits the structural homology between dynamic conflicts contained in contentious cultural heritage settings and those arising in cooperative processes. Focusing on conflicts thus opens up opportunities to transgress and create interaction between competing cultural fields: art-academia-institution in the cooperation and conflicting versions of the past in contentious cultural heritage transmission. The groundbreaking nature of TRACES is that it opens up contradictions, crises and their resolution to research, evaluation and finally implementation (WP2). TRACES integrates practice-based projects in academic ethnographic and museological research and thereby sets new standards for art-based research (WP4, WP5).

### **Beyond the State of the Arts in the Field of Heritage Transmission**

- Contrary to common practice in the art and cultural field, TRACES interventions and artistic projects take into account pedagogical knowledge and reflect on the educational approach of their projects from the very beginning (WP 3 in cooperation with all CCPs).
- WP1 conducts artistic productions on contentious cultural heritage which are beyond the state of the art. It develops new collaborative models of team work and participatory research methods. In order to achieve this, it is important that an experienced artist leads this process based on already established and tested platforms
- WP2 increases mutual critical awareness between heritage providers and new immigrant communities by using art-based interventions to question the colonial heritages of museum collections.
- WP3 joins educational methods from different fields to develop new reflexive approaches for education on contentious cultural heritage. Conducting participatory action research with mediators in the Weltkulturenmuseum Frankfurt, WP3 develops educational approaches to critically reflect on ethnographic collections, taking into account conflicts within museums (representation, colonial history, ownership). WP3 actively creates spaces for reflection to work on these conflicts. Further, WP 3 develops new approaches for analysing communicative aspects of museum design with architecture-based research methods (research by the POLIMI research group).
- WP4 connects the field of art to the field of popular culture through the concept of symbolic creativity (Willis 1991). The resulting broad understanding of art includes popular culture, vernacular and the living arts. Including citizens' creative talents and reflexive capacities in artistic heritage work goes beyond the current state of the arts, in which citizens tend to be seen as audience rather than co-producers.
- This allows citizens to get involved and participate in artistic co-productions on equal terms, develop new skills, have their talents validated and find their place in the world. By collectively reflecting and acting upon contentious cultural heritages, citizens' agency increases.
- WP4 introduces a fresh research perspective on European heritage. It uses the concept of reflexive Europeanisation in a new way by applying it to contentious cultural heritage. With a focus on migration reflexive Europeanisation develops new perspectives on Europe and European identity "from the margins" (Römhild 2009). WP4 identifies marginal perspectives on European identity through popular heritage repertoires found in the rural landscapes of South and Central Europe and a global city on the British Isles.
- The study will develop an innovative approach combining visual culture studies, digital anthropology and social movement theory (repertoire and transnationalisation). Participatory research collaborations with local artists, community groups and heritage institutions will be thoroughly reflected and enhance the heritage repertoire of the wider EU project by providing conceptual and practical tools.
- TRACES focusses on contentious cultural heritages on the margins and develops new perspectives on Europe: What does Europe look like when viewed from remote, economically feeble locations such as a rural landscape on the Italian-Austrian border, a small town in central Romania, a dilapidated London housing estate or the shell of a prison reminding of "the troubles" (CCP1, 5)?
- WP5 develops new standards of research on "Contentious Collections" (dealing with human remains, death masks). In CCP2 "Awkward Objects", an artistic intervention will permanently change the status of "Vernacular Holocaust Art" within ethnographic collections, and also within the more general discourse on "Art and the Holocaust".

The map of the TRACES



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## 2 Impact

The TRACES project is **problem oriented**, and its general objective is to avoid the isolation of the research world, and its lack of communication with subjects that can benefit from the results achieved. This general objective informs the work programme, providing it with a **strong on-field component** and **promoting a potent exchange** among the researcher community and about the real status of the investigated topics.

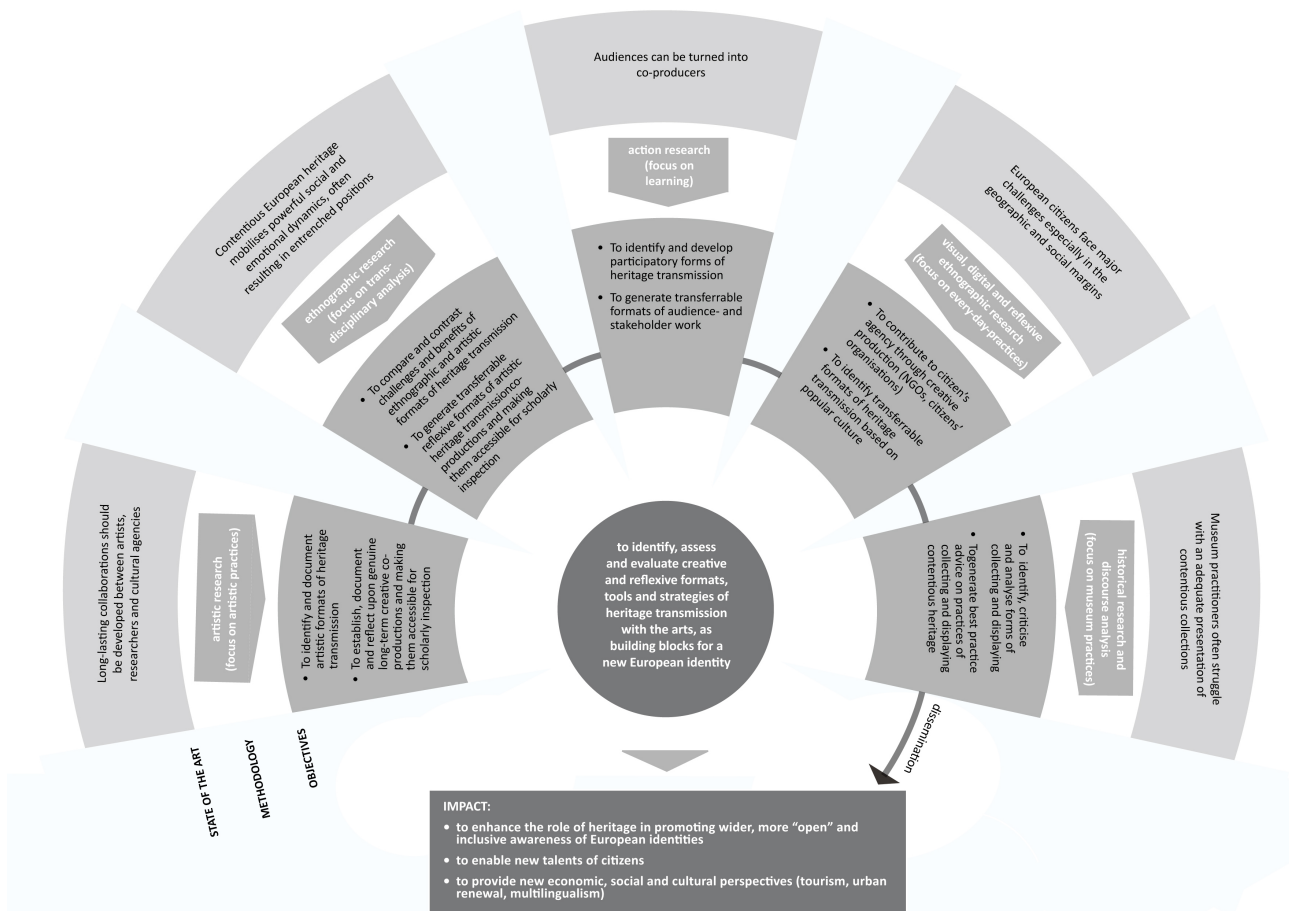
The project aims at impacting both research and practice connected with the contentious cultural heritage field, through:

- the promotion of a **different approach to cultural heritage studies**, underlining the potential that contentious cultural heritage can have in activating new affiliations between places and people. This applies in particular to the young generation which is the only generation able to interpret this category as still to be explored and exploited for its future-oriented character;
- the performance of real actions of intervention in selected contexts (CCPs) in order to fill the gap between academic research and the real world, using all possible resources available and committing almost half of the project budget to this purpose.

The project develops a particular commitment **towards new generations**, which is two-sided: on the one hand, the

project promotes the involvement of young researchers at a university level; on the other, it aims at developing new job profiles related to the cultural heritage field.

To successfully fulfill the call requirements, specific steps are needed. The project is structured by means of a progression of phases which will take advantage of contributions from the multidisciplinary teams involved.



## Innovative Methods

Direct contact with local actors, innovative bottom-up means of investigation, the involvement of artistic practices in the actions: TRACES is founded on **problem-oriented methods** going beyond mere academic research. Working at the **intersection** of various research fields with the reality of end-users, TRACES realises a model of development centred on contentious cultural heritage.

Every strategy of valorisation is aimed not only at a simple exploitation of resources, but at the generation of **autonomous spin-offs and long-term benefits**.

Moreover, the employment of **artistic practices** as a mean of investigation and as actions, may lead to a co-creative re-use of heritage and to the constitution of new artistic careers.

The application of cultural co-production in research may lead to inedited progress in the use of new practices in tangible and intangible heritage valorisation, a possibility that will be explored by the development of CCP-based action. The innovation in this field is given by the **double role of CCPs in the project**, not only as a tool for communication but also as a means of valorising heritage and performing research which can be used by academics, stakeholders and communities.

## European Dimension of the Research

The idea that heritage is not a simple legacy to be preserved and transmitted, but an asset to be collectively examined and performed, goes **beyond national borders** and requires a European-wide consideration of the complex territories in which our contentious cultural heritages lay.

The weakening of the nation-state, together with contemporary phenomenon such as **migration** and **globalisation**, requires a collective effort to help the citizens of tomorrow participate in such active processes. Even though the places of study and intervention are geographically localised, the project will have a European impact due to its broad approach to heritage, leading to the **creation of strategies and good practices** that can be easily exported and retailored to similar settings. Since every European country presents a **stratification of populations and**

**civilisations**, limiting the research to a very specific local or national context without taking into account the European panorama would deprive the respective project of a consistent component. Moreover, only in the framework of the European Union is it possible for a real **policies examination and planning** to occur, one which is able not only to insert a specific area into a larger context, but also to propagate and coordinate models of heritage transmission. A European shared approach can facilitate the **circulation of people, goods and practices** beyond national borders.

TRACES moves in the framework of already **existing EC programmes on cultural heritage**, bringing together excellence factors and covering intersectional areas among them.

TRACES structure reflects the transnational approach existing at the level of projects like Cultural Routes or Net-Heritage, stressing the importance of a **territorial dimension** and of a synergy among researchers from different European countries.

The project is aware of the importance of **cultural and creative industries** as one of Europe’s most dynamic sectors, as stated in the ‘European Competitiveness Report 2010’. The centrality of the creative sector in the future of Europe opens new perspectives on job creation, moving in the panorama of already existing EU projects like Workage and Neujob.

### Potential Areas and Markets of Application

TRACES delivers to end-users economic, social and cultural policies. **Local administrations and heritage institutions** are the first beneficiaries of the project results, able to take advantage of the range of strategies and good practices created throughout the research progression and benefit from the innovative use of CCPs in the field. The CCPs are intended to represent replicable action methodologies, able to be used in other areas exhibiting a complex heritage territory.

In a second step, **stakeholders and local communities** benefit from the non-institutional approach of the project. By involving them in the creation of new paths of heritage transmission, sustainable models and practices are realistically developed for the direct end-users and beneficiaries.

### External Factors that may Determine whether Impacts will be Achieved

The goal of the project is to activate effective processes which can be fostered and continued by local populations and institutions. Any failure in the development of such an interaction with end-users is limited by the backing provided by the network, that will constantly report TRACES progression to them. The bottom-up approach of the project guarantees its development as an **open process** that will give life to **spin-offs** and long-term best practices of transmitting and benefiting from cultural heritage. The involvement of **external expertise** in the implementation of actions, which are intended to function as a bridge between the academic world and the public, as well as the on-site work that characterises the overall project progression, are expected to automatically determine the impact of the undertakings.

## 2.1 Expected Impact

<p>Research will support the EU cultural policies linked to fostering the (a) emergence, (b) transmission and (c) use of cultural heritage at the local regional, national and, in particular, European level.</p>	<p>(a) Through the activities of TRACES, intangible cultural heritage will be supported and created.</p> <p>(b) We expect more awareness amongst citizens and stakeholders since they will be involved through the work of TRACES CCPs, who aim to be visible by getting in touch with the public and provoking debate, but also through workshops with stakeholders and school projects.</p> <p>(c) TRACES deals with contentious cultural heritage. Through pointing at some examples we expect to enable discussions at different levels and through this also to raise awareness of this particular (contentious) cultural heritage.</p>
<p>It will provide different stakeholders at all relevant levels in various sectors of cultural heritage with an ambitious approach to sharing the development and preservation of heritage, suggesting innovative synergies between various levels of responsibility.</p>	<p>In pointing at contentious cultural heritage with the help of the CCPs we enable a process of unearthing what has been buried and thus alleviate the process of reattaining more positive associations.</p>

<p>These activities are expected to offer practical advice, best practices and a set of proposals regarding European cultural and educational institutions that could promote European cultural heritage and its use in Europe and internationally in full cooperation with relevant authorities and experts and the due participation of EU citizens at relevant levels.</p>	<p>A website is going to be installed including a blog, newsletter social media accounts and other online platforms providing up-to-date and comprehensive information, promoting project activities and events within virtual communities and networks, as well as fostering interactions with individuals and groups by exploiting the dialogic communication system enabled by the Internet. A video channel and a quarterly journal will also contribute to circulating our experiences and results. Our findings will be collected and published as a compass, including best practices, the core conclusion and practical instructions.</p>
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## 2.2 Measures to Maximise Impact

In the framework of the TRACES project, activities related to communication, dissemination and exploitation will play a key role and will be significantly intertwined with research activities. Accordingly, communication, dissemination and exploitation will be fostered through a rich set of different activities and tools, aimed at providing multiple opportunities to circulate and guarantee open access to the in-progress and final results. Research outcomes will be shared throughout the overall development of the project, thus facilitating mutual exchanges within the TRACES consortium and beyond (with academics, cultural operators, policy makers and citizens) and helping to promote their use and maximise their impact.

The possibility of fostering the circulation and exploitation of knowledge acquired will be further enhanced through the participation in the communication and dissemination activities of all the partners involved in the TRACES consortium, building on the multi-disciplinary cooperation between academics, artists, curators, educators, mediators and NGOs.

Within the TRACES project the dissemination activities and tools have been conceived to respond to manifold purposes. On the one hand, they are meant to effectively circulate project results and promote the exploitation of project outcomes helping to advance the knowledge produced:

- to be recognised and used as a significant contribution to the development of practices related to the conception and transmission of European cultural heritage;
- to be appropriately considered for use in decision-making;
- to trigger societal and cultural changes;
- to inspire further specific actions and research projects designed to enhance the role of heritage in promoting wider, more “open” and inclusive awareness of European identities.

On the other hand, dissemination activities and tools are also intended to foster the identification, experimentation with and validation of innovative practices and tools for incisively transmitting heritage. They also serve to produce and communicate knowledge within the field of the social sciences and humanities.

In order to respond to these complex objectives, the TRACES project will implement an extensive multi-purpose, multi-layered and multi-target **communication and dissemination strategy** based on the design, development, application and release of a rich set of activities and tools which will be implemented in cost-efficient and coherent ways.

The TRACES communication and dissemination strategy has been conceived to promote the wide-open visibility, availability and accessibility of the project outcomes, findings and policies. In order to achieve this task, the results and the products of the research activities will be disseminated:

- by **combining traditional and innovative actions and tools**, in order to exploit the effectiveness of consolidated communication modalities as well as to experiment with ground-breaking instruments for representing and transmitting knowledge and heritage;
- by **combining different communication practices and instruments**, in order to support a comprehensive circulation and dissemination of the project results – for example, the combination of producing hard copies of leaflets, brochures and books, and releasing digital documents and online platforms will offer the possibility to promote a broad and democratic distribution of the advancement of knowledge (on the one hand considering the digital divide, on the other exploiting the global and instant spread of information enabled by new information and communication technologies);
- by **guaranteeing open-access** at different levels and through different tools, in order to allow for the wide



circulation and exploitation of the knowledge advancement within the scientific community, the museum community and policymakers.

The TRACES communication and dissemination will operate through a rich set of tools which include:

- **Brand Identity Pack:** definition and design of graphic elements creating a corporate image, aimed at guaranteeing a unitary and consistent identity in the promotion of the project products and results, and at enhancing their recognisability and affiliation; this includes the project logo and templates for all the different communication tools (letterhead, brochures, web platforms, poster, banner, postcards, etc.).
- **Project Leaflet:** a printed flyer to be circulated at conferences and meetings, aimed at providing basic information about the project, synthetically presenting its activities and objectives, and engendering familiarity with the TRACES “brand name”.
- **Project Website:** a public online platform presenting the project and its development, providing up-to-date and comprehensive information about the activities promoted by the project, and operating as the repository of the project results and products.
- **Social Media account/s:** an account operating within Internet-based applications currently in use aimed at sharing information, promoting the project activities within virtual communities and networks, as well as at interacting with individuals and groups through a dialogic communication system.
- **TRACES Magazine:** a quarterly e-journal aimed at illustrating the activities developed within all the WPs and CCPs, and promoting the in-progress and final results of the project. The journal will be a publication shared through all the project dissemination tools (website, newsletter, social media accounts, etc.) as well as through further websites and repositories; a limited number of paper copies will be printed to be distributed in selected museums and other institutions (starting with the project partners). The Magazine will be edited by POLIMI with contribution from all the partners as well as selected guests. Each WP leader will be responsible for the production of one thematic special issue (reporting the activities and outcomes of the WP) to be scheduled at the end of the WP (or in a specific strategic moment along the WP timeline). The first Magazine issue will be conceived as the initial project brochure and will synthetically present the overall activities and objectives.
- **TRACES Video Channel:** an online platform (in the form of a video-blog, you tube channel or similar means) operating as a communicative project aimed at assembling, conveying and sharing the main results of the CCP and WP investigations, facilitating exchanges and collaborations within and beyond the consortium, and thus strengthening the impact of the project. This tool is also conceived to overcome the difficulties related to travel costs (within the present economic frame) and to allow scholars, practitioners, artists and policymakers to participate and access the results of the scientific events and the CCPs although they cannot be physically present at the venues where they will take place. The online platform will consist of an archive of digital contributions (e.g. lectures, talks, interviews, performances, etc.) to be posted and thus made accessible for the scientific and artistic communities at large. The organisation of this online platform should allow for a wide-open transmission and sharing of the project contents.
- **TRACES Contentious Heritage Manual:** an extensive volume offering a comprehensive overview of the pivotal findings resulting from project activities, critically outlining best practices and policies addressed to the transmission of contentious cultural heritage, and thus raising awareness and nurturing the debate on reflexive Europeanisation; this will be circulated in hard copies but will also be available as an open-access digital publication.

The circulation and dissemination of the knowledge advancement developed within the TRACES project will also be promoted through the commitment of the researchers involved to produce policy-oriented documents as well as to publish **scientific papers in peer-reviewed and open-access journals**. These publications will be aimed at illustrating the in-progress and final results of the research activities and at reporting the main findings, critical suggestions and policies produced within the project development. The publications will also present the processes which guided the desk and field investigations as well as the practice-based research activities by documenting and critically commenting on methodologies involved and approaches and tools used.

All the scientific publications resulting from the project research activities will be available as open-access documents (in their final or pre-print version); depending on the agreement developed with the individual editors and publishers, “green open-access” or “gold open-access” will be provided. Accordingly, the open-access version of the scientific publications will be deposited in institutional or subject-based/thematic repositories. In the case that it is not possible to exploit any one of these, publications will be uploaded within the OPENaire centralised repository. All publications will be also available on the TRACES website – which will operate as an open-access repository – as well as on the TRACES Online Video Channel.

All publications will be released under the adequate form of copyright license, which must always guarantee that the work is clearly attributed to the respective author as well as to the TRACES project.

The TRACES communication and dissemination strategy will also foster debate about the project findings through

the **organisation and promotion of various events**, which will contribute to the presentation as well as to the development of research activities on different scales:

- (a) on a “micro scale”: the implementation of each CCP will be complemented by workshops, meetings and seminars aimed at fostering a systematic process of mutual exchange between the actors involved in the single CCPs, the researchers involved in the various TRACES Work Packages, external academics and practitioners, as well as policy makers;
- (b) on a “macro scale”: TRACES will also promote several specific public events aimed at offering comprehensive insight on the overall project progress and outcomes for the public at large:
  - **Kick-off Meeting**, launching the activities of the project and presenting its main activities and objectives;
  - **Midterm Seminar**, presenting the in-progress development of the project, as well as gathering further stimuli for the research activities through debate and exchange with scholars, museum practitioners, cultural operators and policy makers.
  - **Final Event**, illustrating and disseminating the overall outcomes of the Project through a conference and an exhibition.

## b) Communication Activities

The activities and tools included in the TRACES communication and dissemination strategy will allow for the extensive and widespread communication of the in-progress and final results throughout the overall development of the project. These activities and tools will be managed by the development of reliable, easily accessible, up-to-date and comprehensive communication platforms.

Within TRACES we will identify relevant stakeholders (e.g. museums, researcher, politicians, associations and NGOs). TRACES will raise awareness about the research topics and actively address these stakeholders (eg. through special local workshops), citizens (via activities taking place within the CCPs and other actions), teachers (through local workshops), and policy makers (through targeted policy papers).

The presentation of the objectives, activities and outcomes of the research will be fostered by:

- the release of the **Project Leaflet**;
- the creation and constant updating of the **Project Website**;
- the creation and management of **Social Media accounts**;
- the quarterly release of the open-access e-journal **TRACES Magazine** (circulated through the project dissemination tools – e.g. website, newsletter, social media accounts, etc. – as well as through further websites and repositories);
- the development of the **TRACES Video Channel**, promoting the collection and sharing of multi-disciplinary contributions in the form of audio and/or video blog-posts;
- the release of **scientific and policy-oriented publications**;
- the organisation and promotion of **public events** aimed at specifically presenting and debating the outcomes of individual CCP actions as well as at illustrating the overall progress and outcomes of the project.

The TRACES communication and dissemination plan is conceived to operate at various scales – global, European, national, local – and to address to **different target audiences**. The implementation of a heterogeneous set of communication strategies, media and channels is meant to activate multi-layered communication, enabling the dissemination of project findings beyond the project community, and cultivating engagement with a specific or generalised public.

Communication activities, tools and “languages” will be customised according to the needs and the modalities required by different audiences:

Target audience	Dedicated dissemination and communication activities and tools
Stakeholders	local workshops promoted within the CCP programmes, public seminars, scientific publications, project websites, TRACES video channel, Magazine
Teachers and educators	local workshops promoted within the CCP programmes, participation in WP3 research activities, public seminars, scientific publications, project websites, TRACES video channel, Magazine
Policy makers	local workshops promoted within the CCP programmes, public seminars, scientific publications, specific policy-oriented papers, project websites,

	TRACES video channel, Magazine
Citizens	various actions and events promoted within the CCP programmes, participation in WP4 practice-based research activities, public seminars, project websites and social media accounts, TRACES video channel, Magazine

The various communication activities and tools will be implemented and developed to raise awareness about the role and transmission of contentious cultural heritage among different target audiences, to facilitate their participation in the research and dissemination activities promoted by the project, and to maximise the political, social and cultural impact of the TRACES results.

## 3 Implementation

### 3.1 Work Plan, Work Packages

#### Methodology and associated work plan

Strategically, TRACES is determined to address important societal challenges through an integrated approach, specifically designed to improve the success of meaningful results and effective impacts, and, in the meantime, to establish a replicable and methodological framework appropriate to the respective topic. Some strategic key points explain the proposed innovative approach and research process at different levels:

- 1) on **content**: choosing from the mainstream dimension proposed in the call the concept of “contentious cultural heritage”, focusing on its potential as identity and development promoter;
- 2) on **methodology**: combining theoretical and empirical and, moreover, participatory, community-led models to avoid academic solipsism and propagate the research results among the general public. The TRACES research project assumes multidisciplinary approaches, tools and methods for investigation, from an integrated and comparative perspective. Beyond this already state-of-the-art approach, TRACES applies a new methodology for heritage transmission. TRACES develops five local Creative Co-Productions where artists, researchers and heritage agencies work together on a local case of contentious cultural heritage. This innovative format will implement new standards in transmitting cultural heritage within Europe. Hence TRACES applies new, innovative participatory and bottom-up consultancy as a critical means of defining problems and identifying alternative perspectives on research topics, especially in the heritage framework;
- 3) on **structure organisation**: reflecting the project methodology and overcoming conventional practices and procedures usually used by experts in cultural heritage studies and exploitation;
- 4) on **objectives**: producing not only a theoretical progression of the state-of-the-arts, but also on-site interventions intended to be necessary components of research practices.

#### Explanation: Structure of TRACES

Three WPs (WP1, WP2, WP3) are directly connected with production (WP1); research (WP1 and WP2) and the educational approach (WP 3) of the CCPs.

These WPs oversee the production of the CCPs (WP1), research their collaborative processes (WP2) and educational approaches as well as the involvement of stakeholders (WP3).

Additionally, WPs1-3 conduct their own, specific research to expand relevant knowledge:

WP1 will research the specific participatory approach of the CCP production, including the inclusion of citizens in the creative production. Hence this WP will develop a new theory and method on creative co-production and participatory arts-based research.

WP1 also sets up and maintains the communication interfaces between the CCPs and the members of the consortium.

WP2 will set up its own research collaboration (art-ethnography) and will produce and research artistic interventions in museums focusing on a postcolonial approach.

WP3 will set up its own PAR research with educators in a museum, focusing on the museum’s ethnographic collection, its colonial heritage and the best ways of engaging audiences in controversial discussions. WP3 will also research design, architecture and technologies in museums focussing on audience communication. Within their museum research, both WP2 and WP3 specifically take into account new citizens (migrant communities).

Every CCP is connected with one of the two main research WPs (4 and 5).

WP4 is dedicated to research on “intangible” and “digital” heritage and the performative approach of citizens to develop and deal with contentious cultural heritage. WP4 conducts collaborative ethnographic fieldwork in rural and urban communities. In this research, artistic and creative practices of citizens, civic associations, NGOs and artists (mainly in the field of living arts) will be included with the aim of participation and empowerment. Hence WP4 is connected with the CCPs also working intensely with communities and their contentious cultural heritage: CCP1 and CCP5; beside that WP4 will research all approaches to digitalisation used in the CCPs.

WP5 is dedicated to research on “tangible” heritage: contentious collections and their material culture in museums. This WP includes, supervises and uses all the research in the local CCPs that deal with contentious collections: CCP2, CCP3, CCP4; WP5 will also establish collaborations with the TRACES research projects dealing with museums and aiming to change ways of representation and audience inclusion (WP2, WP3).

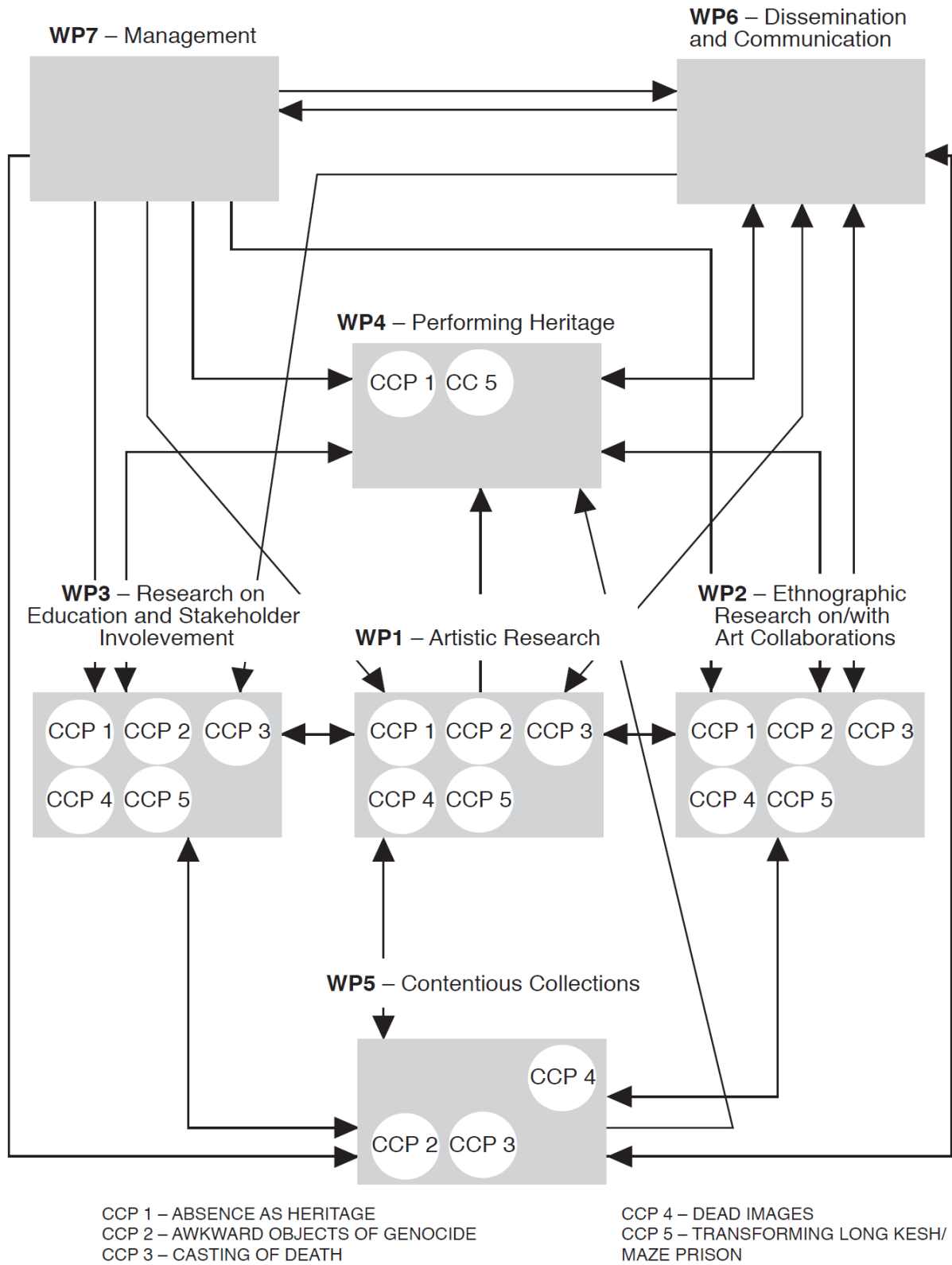
WP4 also acts as the TRACES Transversal Collector, i.e. the scientific backbone of TRACES. All data and findings will be collected within WP4. WP4 will compare, analyse and build first theses and theories, using inductive approaches as exemplified in grounded theory methodology. These will be fed back to the consortium at its annual meetings.

All WPs and CCPs as well as the Transversal Collector (WP4) will be in permanent communication with WP6 to produce best results for dissemination.

WP7 is in charge of the overall TRACES management. It oversees the budget, is responsible for the overview of the project, organising consortium meetings and supervising the TRACES research process as a whole.

**Structure of TRACES**

Transmitting Contentious Cultural Heritages with the Arts: From Intervention to Co-Production



## 3.2 Work Package Descriptions

### Overall structure of the work plan

TRACES has two strong columns: field research and workshops.

#### Milestone 1 (M8), Kick-off meeting enclosed Workshop

Within this first phase, the focus is on preparing the kick-off meeting and its enclosed workshop for CCP members

#### Workshops for the CCPs

- 1) Ethnography-based workshop: Process documentation analysis

Mentored by WP2, WP4 and WP1, CCP members will be trained in reflexive methods of process documentation. This will ensure their capacity to document their collaborative processes and to provide relevant data for WP2, which will develop theses on art-researcher collaboration. These analyses will form the basis for the TRACES Contentious Heritage Manual (collaboration with WP4)

- 2) Workshop on methods of education and stakeholder involvement

Mentored by WP3 and WP1, CCP members will discuss, research and develop participatory and educational approaches for their work and projects. They will agree on formats and methods of stakeholder involvement. Based on these agreements the CCPs will develop stakeholder workshops and public programmes such as school programmes or NGO training programmes in their own local communities. They will provide data for WP3 and WP1 to analyse the collaborative process and to develop policy papers on education and possible curricula implementation of new approaches in the field of contentious cultural heritage transmission.

Additionally, WP1 and WP6 establish open and internal web-based research- and dissemination platforms. The CCPs will be able to upload their research data (on process, collaboration, stakeholder involvement) on the internal platform. Thus all dissemination activities of the local CCPs and the WPs can be followed from a synchronised, European perspective.

#### Milestone 1a (M8), UNIKUM projects and relating data collection

UNIKUM-Dordolla – Participatory opera with citizens; UNIKUM – Peč (Petzen)/Dreiländereck – Participatory Art Project with citizens

#### Milestone 2 (M16), Overview on contemporary discourse

An overview on the contemporary discourse on contentious cultural heritage and popular culture will be created.

#### Milestone 3 (M24), Ethnographic research finished

- a) Action research activities
- b) a partly open workshop (WP5, WP1) on museology aspects of contentious cultural heritage to connect the work of the CCPs with ethnographic fieldwork and to discuss the findings of the CCPs in this context
- c) This is the main research part, mainly consisting of ethnographic field work in different phases.

#### Milestone 4 (M32), Exhibitions of the CCPs and Workshops

- a) Exhibitions of the CCPs
- b) local workshops with educators and other stakeholders (WP3)
- c) internal workshop in order to edit the TRACES Contentious Heritage Manual (WP4)

#### Milestone 5 (M36), Syntheses

Organising a final event consisting of an exhibition combined with a conference (WP1, WP2, WP6), delivering papers, producing the TRACES Contentious Heritage Manual (WP4)



### 3.3 Management Structure and Procedure

A Consortium Agreement will be signed by all participants about details on organisational and legal provisions. The management structure will consist of:

#### 3.3.1 Project Coordinator

The Project Coordinator (P1) is the University of Klagenfurt (UNI-KLU) represented by Prof. Klaus Schönberger. In terms of the central management of TRACES, the Coordinator has the following specific responsibilities:

- Monitoring the inter-work package alignment and progress of the work package deliverables towards the overall objectives of TRACES;
- Monitoring ethical issues within the project
- The preparation of Steering Committee (SC) meetings, including timely preparation and distribution of the agendas and any supporting documents necessary, and minutes of the meetings;
- Drafting of the reports and associated documents and forms as required by the agreement with the EC;
- Streamlining and coordinating activities of TRACES with other activities relevant to the project to ensure synergies and avoid redundancies and duplications;
- Acting as the primary spokesman of the SC on behalf of the participants of TRACES for all formal written and verbal communication with the EC;
- Distributing the EC funds to the partners as agreed.

#### 3.3.2 Steering Committee

The SC is the highest decision-making body in TRACES. Its main responsibility is to ensure a correct implementation of the project in accordance with the EC contract and the Consortium Agreement. The SC is responsible for the scientific progress of the project activities towards the main objectives of the project. The SC will be composed by all WP Leaders as well as the task leader of setting up and accompanying the CCPs, Tal Adler. Each member of the SC is entitled to nominate an alternate to attend any meeting that such member is unable to attend.

The Steering Committee (SC) will consist of all the Work Package Leaders: UNI-KLU (P1) represented by Prof. Klaus Schönberger; POLIMI (P2) represented by Prof. Gian Luca Basso Peressut and Francesca Lanz; UBER (P3) represented by Prof. Sharon Macdonald and Tal Adler (Task leader CCPs in the frame of WP 1); UiO (P4) represented by Prof. Arnd Schneider; and ZhdK (P5) represented by Prof. Carmen Mörsch. The SC will be convened and chaired by the Project Coordinator.

The SC will meet at least every three months in phone conferences and face to face once every twelve months. Extraordinary meetings can be convened at any time, following a written request by any member of the SC to the Coordinator. At other times, communication between the consortium members and other partners involved will take place by means of postal mail, e-mail, telephone and internet-based forums. The SC meetings will be used to review the progress of TRACES, discuss problems and set future directions. As such, the SC is the appropriate decision-making body in the following issues:

- Disputes: in case of disputes between two or more partners concerning access rights to background knowledge, protection of foreground knowledge, transfer and ownership of foreground knowledge and the use and dissemination of knowledge, the SC shall decide on any resolving measures by majority voting;
- Consortium composition: identification of and corrective measures to (including termination) defaulting, adding or replacement of partners and the change of the Coordinator;
- Agenda setting: definition of the scientific agenda and monitoring of the overall course of the project, including major deviations in the course, objectives and/or financial budgets of the activities that require consulting the EC and amendments to the EC contract;
- Changes in the Consortium Agreement: changes in the rights and obligations of the partners and/or decision-making procedures that necessitate amendments in the agreement;
- Reporting to the EC: agree on the completeness and quality of all formal reports to the EC;
- Supervising and controlling the scheduled activities and ensuring the adherence to the project timetable and setting the priorities, within the existing objectives and budget framework; monitoring and reporting processes and results, based on deliverables accomplished;
- Decisions will be made by consensus whenever possible. The Consortium Agreement will address further details of above mentioned issues including voting procedures, veto rights, representations and agreed



procedures on distribution of meeting documents.

Meetings may be convened upon the request of any SC member to consider any matter, which requires an urgent consideration. Decisions will be made by consensus whenever possible. When a major dispute arises (for example between partners or between members of the SC) a decision will be made by simple majority. In the event of a deadlock, the Coordinator (UNI-KLU) will have the casting vote.

### 3.3.3 Project Office

A Project Office (PO) for central day-to-day management will be established at UNI-KLU. Project Office staff will include the Coordinator (Prof Klaus Schönberger) and a Project Administrator. The Project Administrator will take care of administrative, legal and financial issues concerning the whole project. The in-house research department will assist the Project Administrator in monitoring the budget and financial reporting to the EC and is available to the consortium partners for financial or budgetary questions during the implementation of TRACES.

The main responsibilities of the PO include the activities allocated to the Project Management work package (WP7). This includes the preparation of the annual consortium and SC meetings, including timely preparation and distribution of the agendas as well as supporting documents and minutes of the meetings.

### 3.3.4 Work Package Teams

At the operational level, Work Package (WP) Teams are responsible for an effective and efficient implementation of the work associated with a specific work package. The WP Teams consist of the leading investigators of the consortium partners who are active in that work package, together with a Work Package Leader (WPL). Each WPL is responsible for the implementation of each of the WP objectives and will coordinate all task leaders so as to guarantee work fulfilment. The WPLs are responsible for:

1. the operational coordination of work package related activities;
2. monitoring and reporting the progress of the activities towards the specific deliverables and objectives of the work package, based on the defined milestones and means of verification;
3. taking decisions on minor alterations in work package related activities and associated budgets. These alterations may not have any impact beyond the boundaries of the work package itself;
4. periodic progress reporting to the SC, including suggestions for corrective measures in case of contingencies, delays and/or disputes.

### 3.3.5 Partners

At the partner level, each participant appoints one formal contact for the SC. This partner contact is the first spokesperson for his/her institute concerning the SC and the Project Office on issues related to:

Data acquisition and analysis;

Recruitment of information on financial performance in relation to the partner budget input (e.g. Forms C or certificate of costs)

### Reporting

Periodic reports and the final report, cost certificates (audit certificates) as well as any other deliverables foreseen will be sent to the EC Project Officer by the deadlines given in the grant agreement. One periodic report at month 12 and an interim progress report at month 24 is foreseen. Several formal reporting procedures will be agreed upon in the Consortium Agreement.

### Decision-making mechanisms

The SC agrees on IPR, exploitation rights of the projects results, common knowledge access rights, etc. The partners enter into and adhere to a Consortium Agreement.

### Meetings

The following table gives an overview on planned meetings and their characteristics. All meetings are planned by the Coordinator and open to EC officers.

Steering Committee, at least every three months	Telephone / Skype conferences; Project progress monitoring, inter-WP coordination, development of task guidance steering
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Consortium meetings, once a year	Face to face meeting, overall progress of the WPs to the project objectives, inter-WP alignment, scientific discussions and associated decisions, financial reporting.
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### Critical Risks for Implementation

Table 3.3b: Critical Risks for Implementation

Description of risk	Work package(s) involved	Proposed risk-mitigation measures
IPR unclearities	WP1	Setting up an appropriate IPR plan
Lack of effectiveness of the overall coordination and management structure	WP7	Written rules and procedures in the Consortium Agreement before the start of the project and they will be collected in an input document applicable to all work packages. Steering committee meetings will be organised at least every three months, and whenever needed upon partner request; they will be aimed at discussing about research advancements and possible problems that may come to light during the development of the project activities. Meetings will be held both via Skype-conference and face-to-face (at least yearly). The Consortium will meet at least early face-to-face. This guarantees that every issue can be properly assessed and timely addressed.
Organizational structures or key personnel may change at one or more of the centres	All WPs	The structure of TRACES is based on a previously well established network between most of the consortium members, WP 1 and the CCPs. This network is based on commitment, shared interests and trust. This strong SC and consortium will work together under the lead of an advanced networker to collectively find solutions to solve any problems or crises. The periodical Steering Committee and Consortium meetings will contribute to keep partners timely updated about changes and prevent the problems that may ensue.
Disparity of research interests	All WPs and CCPs	TRACES brings together a broad variety of research interests around our common research question of how to find creative methods to transmit contentious cultural heritage. From that perspective the function of the “transversal collector” (WP4) is crucial. There is also a possible tension embedded in the TRACES approach as we develop collaborations between artists and from the field of ethnography, social sciences, humanities; this tension is a part of our research interest.
Non-involvement of citizens	WP4, WP1, all CCPs	All the CCPs and the research projects of WP 4 work closely with local communities and the direct participation of the citizens. The innovative approach of the CCPs is based on participatory citizen involvement. WP1 is mainly responsible for ensuring the participatory approach within the CCPs.
Stakeholders are not involved sufficiently	WP3, all CCPs	One of the main objectives of TRACES is the involvement of stakeholders. That’s why a whole WP is dedicated to education and the involvement of stakeholders (WP3). In collaboration with this WP all the local CCPs will organise public workshops for their specific stakeholder (from the field of cultural and educational politicians to the teachers, churches, NGOs, museums and touristic agencies). The aim of these workshops is the inclusion of the stakeholder in the

		<p>development of the new innovative CCP approach, the new method to transmit contentious cultural heritage and to develop reflexive Europeanisation.</p> <p>The concept of accompanying research used by ZHdK leading WP3 has the advantage that results of the research are fed back into the process in a circular way. As the way the CCPS approach stakeholders and conceive their publics is one of the research questions, problems to achieve this will not only be detected at an early stage by the research, but also this analysis will be brought back to the CCPs for the development of solutions.</p> <p>Additionally a wide range of communication tools will be implemented: these will guarantee an effective dissemination of the project, targeted to different audiences including stakeholders.</p>
Differences and conflicts within the CCPs	WP1, WP7	<p>This risk is part of the research interest – the conflicts will be analysed to provide good ideas of how to solve them. We have actively selected partners for this production mode who we believe are capable of managing this innovative way of production. The lead and the task manager for the CCPs have rich experiences of similar projects in the artistic field and are foreseen to act as mediators.</p>

### 3.4 Consortium as a Whole

The TRACES consortium distinguishes itself through the combination of research, art and heritage institutions and the multi-disciplinarity of the research fields. Another strength is its geographical and thematic distribution, especially of the CCPs, as well as the case studies from places with a long history of contentious cultural heritages. Through the combination of research on the one hand and artists and institutions of heritage transmission on the other it wonderfully reflects the skills needed for finding creative and innovative ways of transmitting this contentious cultural heritage with the aim to strengthen Europeanisation and a shared European identity. Arriving from the fields of European Ethnology, Cultural and Social Anthropology, Architecture, Contemporary Art, Arts-Based Research, Museology, Art History, Curatorial Practices and Studies, Contemporary History, Memory Studies, Research into Art Education and Heritage Mediation, they form a consortium built on complementarity. The TRACES consortium is composed in such a way that institutional matters, artistic and academic research retro-act into the CCPs in terms of artistic and scientific practices rather than blocking each other, as often happens within these constellations. Researchers who already have experience in applied perspectives are members of the consortium as well as artists who comply with the artistic-research-approach.

Additionally, the TRACES consortium includes acknowledged experts in the fields of art theory and participatory approach, art and ethnography (Arnd Schneider) or museology and cultural heritage (Sharon Macdonald and Luca Basso Peressut).

Sharon Macdonald (WP5) contributes considerable expertise in ethnographic methods and participatory research, in the analysis and theorising of Europeanisation and of ‘difficult’ heritage, in innovative forms of transmission and in comparative perspectives. She will be director of a new Centre for Anthropological Research on Museums and Heritage (CARMaH), funded by the Alexander von Humboldt Foundation (€3.5 million over the next five years). She will contribute to TRACES her innovative programme of research – emphasising transnational comparative perspectives and ethnographic approaches – on museums and heritage.

Arnd Schneider (WP2) is the intellectual key figure in the context of the debate on art and anthropology. He holds the highest research experience in the academic field of art-anthropology cooperation in theory production and practice. Together with visual anthropologist and artist Chris Wright he has published several cutting-edge studies tackling the role of the artist in collaborative work, the process of art-anthropology collaboration and the question of how these collaborations can challenge cultural and social anthropology.

The Institute for Art Education (IAE) at the Zurich University of the Arts (Carmen Mörsch, WP3, Research on education and stakeholder involvement) is the only academic institute in Europe that is dedicated to the research on arts education. IAE is best known for research and development in formal and informal art and cultural education with an emphasis on gender centred participatory research, community involvement and critical museology. The academic expertise regarding publications and research projects is the highest within the European

context. Its experience in action research and research in practice in these fields, as well as arts-based educational research are necessary for TRACES.

The Coordinator (Klaus Schönberger, WP4) has a rich experience in leading art-anthropology collaborations and was himself part of such collaborations in Switzerland and Germany. He is familiar with non-academic forms of representation of scientific knowledge (e.g. lecture performances) and he teaches and conducts research in art universities as well as in academic universities.

The dissemination partner (POLIMI) has extensive and recognised experience in the field of museography and design for cultural heritage and therefore contributes consolidated expertise in building, organising and managing innovative and effective practices and tools for dissemination activities. Luca Basso Peressut (POLIMI) was Project Coordinator of the FP 7-Research Project “MeLa - European Museums in an age of migrations” and Francesca Lanz (POLIMI) was the Assitant Coordinator and Dissemination Manager.

POLIMI will resort on the contribution of a research fellow who will be mainly involved in WP1 as Principal investigator. He/she will have an international profile, skills in art history and curatorship and will be highly qualified in the field of artistic practices of participation and social engagement.

Furthermore, the TRACES consortium provides an excellent mix of universities (P1, P4, P5, P9, P10, P11), academic art institutions (P3, P6), non-profit heritage organisations (P7), museums, educators and artists (P2, P8). It connects expertise in practical, local heritage work and art-based practices with scholarly and art-based research. The CCPs are strongly locally embedded with its respective specific contentious cultural heritages. Within TRACES, researchers and social artists join forces in a common search for new ways of transmitting contentious cultural heritage. Moreover, the diverse and partly non-academic composition of the consortium ensures that project outcomes are practical and user-friendly for policy makers and target groups.

### 3.5 Resources to be Committed

**Table 3.5a: Summary of staff effort**

	WP1	WP2	WP3	WP4	WP5	WP6	WP7	Total Person/ Months per Participant
<b>P1-UNI-KLU</b>				56		6	18	80
<b>P2-POLIMI</b>	6		12	1		28	1	48 <sup>11</sup>
<b>P3-UBER</b>	22		2	1	30	2	1	58
<b>P4-UiO</b>	0,5	15,5		1		1	1	19
<b>P5-ZHdK</b>	2		25	1	1	1	1	31
<b>P6-Hosman Durabil</b>	38	2	7	0,5		1,5	0,5	49,5
<b>P7-NHM</b>	0,5			0,5	2		0,5	3,5
<b>P8-UEDIN</b>	2	1	2	0,5	2	1,5	0,5	9,5
<b>P9-UJAG</b>	10	2	2	2	4	1,5	0,5	22
<b>P10-UU</b>	3	1	1,5	1		1	0,5	8
<b>P11-DRS</b>	4	1	2	1,5	3	1,5	0,5	13,5
<b>Total Person/Months</b>	88	22,5	53,5	66	42	45	25	342

**Table 3.5b: ‘Other direct cost’**

For what concerns "other direct costs" listed in table 3.5b please note that the figures included in the details are tentative.

<sup>11</sup> POLIMI will involve research fellow(s), whose contribution will be about 36 PM in addition to the 48 PM given, mainly contributing to WP1 and WP6.

<b>P1 UNI-KLU</b>	<b>Cost (€)</b>	<b>Justification</b>
<b>Travel</b>	30.000,00	Travel and subsistence related to the development of research activities, participation in meetings of the project consortium, other TRACES meetings relevant to WP4, and public events promoted within the project, attendance in relevant conferences, visits to selected case studies;
<b>Equipment</b>		
<b>Other goods and services</b>	45.000,00	Audit (approx. 5.000,--); costs for printing and material (8.000,--); digital/internet promotion (3.000,--), small technical and manual services for the mounting and dismounting of the scenes for the opera and the local exhibition (5.000,--); material costs for the art productions (8.000,--) interview transcripts for all ethnographic case studies (8.000,--); translation and proofreading costs (3.000,--); publication costs (4.400,--); handling fee/service charge for ethical approval (600,--)
<b>Total</b>	75.000,00	

<b>P2 POLIMI</b>	<b>Cost (€)</b>	<b>Justification</b>
<b>Travel</b>	35.000,00	Travel costs related to the development of research activities and CCPs; participation in the meetings of the Project Consortium and in the events promoted by the Project; attendance to relevant conferences; visits to selected case studies.
<b>Equipment</b>	5.000,00	Purchase of the instruments (laptop, tablet and video-camera) that are necessary to enable the researchers involved to develop the assigned task, encompassing both research activities and the management of the dissemination activities and tools.
<b>Other goods and services</b>	85.000,00	Implementation of the Project Coordinated Image (logo, templates, letterhead, etc) and implementation of the Project websites (public and internal) (estimated cost: 25.000€); part of the costs related the organisation of the main public events including: Kick-off Meeting, Midterm Seminar, Final Event (a part of the costs will be covered by other Partners and the Project Coordinator) (estimated cost: 40.000); English translation and editing of scientific papers and dissemination texts (estimated cost: 15.000€); audit certificates (about 5.000€).
<b>Total</b>	125.000,00	

<b>P4 UiO</b>	<b>Cost (€)</b>	<b>Justification</b>
<b>Travel</b>	75.000,00	Travel and subsistence for steering committee/consortium meetings/ workshops and field research costs according to Norwegian state travel allowance (WP leader Prof. Arnd Schneider in collaboration with the artist Leone Contini will carry out 7 months fieldwork in Italy: 1 month in the autumn of 2016, and 6 months in 2017).
<b>Equipment</b>		
<b>Other goods and services</b>	50.000,00	Audit, publication, work shop costs, translation and transcription costs from interviews (10.000 €) Artists material and production costs and honorarium (30.000,-- € installation/exhibition costs, high-resolution photographic prints, research costs/books/photographic research prints, plaster casts from originals, artist's catalogue). Workshop with the members of the WP2 and selected CCP participants (10.000 €).
<b>Total</b>	125.000,00	

<b>P6 HOSMAN DURABIL</b>	<b>Cost (€)</b>	<b>Justification</b>
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<b>Travel</b>	7.685,--	Travel and subsistence costs for consultation meetings, artist and research residencies.
<b>Equipment</b>	2.250,--	2x video recorders, 2x audio recorders, 2x laptops
<b>Other goods and services</b>	15.100,--	Translations, internet platform for local stakeholder involvement, audio and video processing software, associated accessories for school cooperation projects and oral histories project; publication materials, artist production costs, final local exhibition and event production costs, utilities.
<b>Total</b>	25.035,--	

<b>P7 NHM</b>	<b>Cost (€)</b>	<b>Justification</b>
<b>Travel</b>		
<b>Equipment</b>	1.000,--	Five rental days: 1x 4k video camera, 1x 4k external recorder, 1x LED light
<b>Other goods and services</b>	13.000,--	Video files color grading, video editing, audio editing, large format color printing, graphic design, transcriptions, translations, subtitling.
<b>Total</b>	14.000,--	

<b>P8 UEDIN</b>	<b>Cost (€)</b>	<b>Justification</b>
<b>Travel</b>	4.000,--	Workshop attendance and research related travel.
<b>Equipment</b>		
<b>Other goods and services</b>	25.120,--	Materials for educational programme; production costs for exhibition „Dead Images“(Installation construction: including the mounting as a free-standing structure of a life-sized photograph of the display of skulls at the Natural History Museum (P7, NHM), and associated interpretive signage, audio visual displays etc.; Printing costs: invitation, folder, handout brochure, printed information in exhibition, etc.); costs for two days symposium „Dead images“ with installation and 25 invited speakers.
<b>Total</b>	29.120,--	

<b>P9 UJAG</b>	<b>Cost (€)</b>	<b>Justification</b>
<b>Travel</b>	10.000,--	1. Research travels to institutions (ethnographic museums), research trips to death camps areas to individual artist (their inheritors), research trips to non-institutional collectors 2. Trips to conferences and workshops (researchers presenting research results) 3. Costs of travel of invited discussants for mid-term internal workshops of UJAG research team
<b>Equipment</b>	200,--	purchase of one sound recorder to collect interviews with artists, collectors, inheritors; sound quality fit for online collection presentation
<b>Other goods and services</b>	14.760,--	Costs of online collection presentation (2.000 €), Costs of translation of texts for online presentation of identified items (item infos, bios of artist: 2.760 €), costs of CCP exhibition (10.000 €)
<b>Total</b>	24.960,--	

<b>P10 UU</b>	<b>Cost (€)</b>	<b>Justification</b>
<b>Travel</b>	9.500,--	Travel and subsistence for consortium meetings and project workshops; research travels

<b>Equipment</b>		
<b>Other goods and services</b>	18.980,--	Internet platform for improved stakeholder involvement (setting up/maintenance); own research seminar and a public conference with four invited participants and including bus trips to Kesh Maze; Collaboration with organisations / individuals to realise the model of the Utopian vision for the site of of Long Kesh/Maze prison over 3 yrs
<b>Total</b>	28.480,--	

<b>P11 DRS</b>	<b>Cost (€)</b>	<b>Justification</b>
<b>Travel</b>	5.000,--	Participation in the consortium meetings and project workshops, attendance to relevant conferences; visits to selected case studies; local field research travels.
<b>Equipment</b>	2.400,--	Purchase of the technical equipment (laptops, scanner) for the DRS researchers for the field research activities and the management of the dissemination activities.
<b>Other goods and services</b>	3.400,--	Implementation of online contribution for the TRACES platforms (web, blog and video channel), video editing (2.000,--); translation and editing services for the field reports and scientific and dissemination texts (1.400,--).
<b>Total</b>	10.800,--	

### 3.6 Subcontracting

POLIMI is the only partner having subcontracting.

POLIMI will resort on the contribution of a research fellow for a total amount of about 36 PM (3 year). The appointed researcher will be involved as Principal investigator in WP1, and in the organisation of the final exhibition (WP6). A public call for applications will be issued for the award of 1 temporary research fellowships for research activities pursuant to the “Regulations for the award of temporary research fellowships for research activities in independently funded research programmes”, issued with Rectoral Decree no. 667/AG (28 February 2011), as modified with R.D. no. 2013/AG (30 April 2015), for 12 months (renewable for another 12+12 months). The Candidate will have an international profile, skills in art history and curatorship and he/she will be highly qualified in the field of artistic practices of participation and social engagement.

The budget for the appointment of a research fellow (3 years, about 24.000,00 € per year) is 73.000,00 € which has been allocated under the voice “direct costs of subcontracting” according to the most recent interpretation given from the EC of Research Fellow and “Workforce contracts”.

Indeed, being a Public Institution, according to national rules, POLIMI will have to collect and compare different offers (at least 3) for each task, and select the best one in relation to the quality/price ratio. A different choice or procedure requires a written motivation of such decision, usually concerning the quality of the service/product. These procedures, the evaluation of the quotes presented and the final decision shall be made under conditions of transparency and equal treatment, avoiding conflicts of interest in the selection.

## 4.1 Participants (Applicants)

### 4.1.1 Universität Klagenfurt (P1)

#### Brief description of the organisation

Founded in 1970, the **University of Klagenfurt** (UNI-KLU) rapidly established itself in the national and international academic landscape as a critical research hub in the Alpine-Adriatic region, with over 10.700 students from 83 countries. Four faculties cover Interdisciplinary Studies, Humanities, Technical Sciences and Management and Economics. These are connected by seven transdisciplinary research clusters, including sustainability, education and visual culture. The university has extensive experience with EU projects; in FP7 alone it has participated in 27 projects which operated under the EU's financial care. UNI-KLU in general and the Faculty of Humanities in particular actively encourage interdisciplinary collaboration. They also promote multilingualism and intercultural education, particularly with regard to the Slovenian minority in Carinthia and the Alpine-Adriatic region, both of which have significant relevance for TRACES.

Consequently, the **institute for culture, literature and musicology** (ICLM) combines language, cultural theory and cultural management and thus exploits synergies between theoretical, practice-based and artistic approaches. The new division of cultural anthropology (founded in 2015) specialises in cultural heritage and folklore, popular culture including digital practices, as well as European ethnology with a focus on ethnographic methods.

#### Main task attributed to the organization

- Leading WP7 :
- To be responsible for financial issues (financial consolidation of financial reports), legal issues and Intellectual Property Rights, any ethical issues, ensuring ethical standards.
- To conduct general administrative tasks: contract preparation and amendments, preparation of the consortium agreement, overall project management, evaluation and quality assurance, progress and cost reporting;
- To lead WP 4
- To conducting ethnographic fieldwork in two research fields (rural and urban areas)
- To conducting two participatory art actions
- To maintain the TRACES network: developing and organising TRACES workshops including internal learning sessions for all partners.
- To act as Transversal Collector: UNI-KLU will evaluate TRACES research materials with a focus on strengthening European identity through reflexive Europeanisation based on the transmission of contentious cultural heritage and present them to the consortium as a basis for further guidelines regarding policy-briefing and incorporation into the Contentious Heritage Manual.

#### Previous experience relevant to those tasks (up to 5):

Participation in national and international research projects:

1. *Getting 'round with headphones – perception, appropriation and discursive constitution of public space. Artistic and ethnographic methods in dialogue* (in German); 01/03/2015-28/02/2017; Swiss National Science Foundation (SNF No. 100016\_156790 ); led by Klaus Schönberger at Zurich University of the Arts (ZHdK) and ICLM, UNI-KLA and Thomas Hengartner, Institute for Social Anthropology and Empirical Cultural Studies (ISEK), University of Zurich. Participating artists: Cathy van Eck (CH), <http://www.cathyvaneck.net/biography/> and Ligna (DE), <http://ligna.blogspot.com/2007/11/die-gruppe-ligna-existiert-seit-1995.html> .

2. *Camera Phone Videos – artistic and ethnographic approaches to representation of youth everyday worlds* (in German); 01/02/2012-31/1/2014 (SNF No. 100013 138178); led by Klaus Schönberger, ZHdK and Thomas Hengartner, ISEK. <http://www.isek.uzh.ch/forschung/projekte/drittmittelprojekte/laufende/handyfilme.html> . Exhibitions based on this project:

2a. *Between Pop Culture and Invention of the Self: Camera Phone Videos in youth everyday life* (in German); 4-5/2013 ZHdK. <https://www.zhdk.ch/index.php?id=55347> .

2b. *Private Matter*; 5-7/2013; Art Department of Baden Technical School (Berufsfachschule BBB) (CH); Eva Paulitsch and Uta Weyrich. <http://www.kunstlehrstuhl-bbb.ch/en/index/private-matter.html> .

3. *Begging for creativity*; 2/2013-10/2013 Urbane Künste Ruhr (Labor Mülheim, DE); Kreativitätskombinat Klein



Riviera: Ute Holfelder and Klaus Schönberger in collaboration with !Media group Bitnik.

<https://www.zhdk.ch/index.php?id=55369>.

4. Scientific coordinator of *Forschungskolleg Kulturwissenschaftliche Technikforschung* (Research College for Cultural Studies of Technology), Institute for Cultural Anthropology, University of Hamburg (2005-2009);

Webpage: <http://www.technik-kultur.uzh.ch/aboutus/kolleg.html>.

5. Several policy reports on uses of digital media, including *Persistence and recombination. NGOs and civil society organisations between traditional and developed practices of political agency in web-based communication* (in German) for the research office for technological impact assessment (TAB) at German Federal Parliament, 17.10.2005. Contribution to the report of the committee for education, research and technological impact assessment (committee 17) Internet and democracy – final report on TA project *Analysis of net-based communication from a cultural perspective* (in German) for the research office for technological impact assessment (TAB) at German Federal Parliament, 17.10.2005.

<http://dip21.bundestag.de/dip21/btd/15/060/1506015.pdf> .

### **Principal scientific and artistic personal involved**

**Klaus Schönberger (M)** is full professor for cultural anthropology and head of the division for cultural anthropology at the Institute for **Culture, Literature and Musicology (ICLM)** at UNI-KLU and a member of the research cluster for visual culture. He is chair of the committee for labour cultures of *German Society for Folklore Studies* and editor of the book series *Labour and the everyday. Contributions to the ethnography of labour cultures* (in German) at Campus publishers. He co-edits the academic online journal [kommunikation@gesellschaft](http://www.kommunikation-gesellschaft.de) (<http://www.kommunikation-gesellschaft.de>) and is a member of the academic board of the Austrian Museum for Folklore and Folk Art, Vienna. He has published extensively on digitality and socio-cultural change. Since 1978, he has initiated and participated in numerous local projects on civic cultural heritage nationally and internationally. He was a co-founder of the history workshop movement in Germany and editor of several special issues of the national journal *History Workshop*, and continues to chair the Alexander-Seitz-History Workshop Marbach a.N (DE). He has also published numerous books and articles on the local history of southern Germany.

**Marion Hamm (F)** is a cultural anthropologist with a PhD in sociology; she coordinates the PhD-programme for visual cultures (ViCe) at the University of Graz (AT). She currently holds a fellowship at the Centre of Digital Anthropology (University College London). She led a successful research application for a multi-disciplinary international DocTeam at Austrian Academy of Sciences. She co-edits the book series *Cultural Figurations* (in German) at Springer publishers. Her doctoral research (Performing Protest: Media Practices in the Trans-urban Euromayday Movement of the Precarious) was conducted through *Protest Media – Media of Protest* (University of Lucerne, CH). She has published extensively on digital communication, social movements and ethnographic and participatory methodology. She has worked on contentious heritages in academic and civic capacities (University of Tübingen; German Historical Institute, London; History Workshop Tübingen).

**UNIKUM** (University Cultural Centre) is part of University Klagenfurt/Celovec. UNIKUM is an organisation for applied cultural activities connecting artistic practice with creative research. It defines itself as an aesthetic »cell« and is both a workshop and an experimental space in which art and cultural projects are developed and realised. The primary focus includes contemporary, innovative and multidisciplinary art forms, particularly in the areas of fine art, music, literature and new media. The trans-regional and multilingual projects are undertaken in Austria as well as in the neighbouring countries of Slovenia and Italy. UNIKUM is well connected to civic, educational, folklore and artistic actors across the Alpine-Adriatic region. In cooperation with partners, interdisciplinary activities, installations and interventions in public spaces are presented to a qualified audience. Design and communication processes as well as artistic excellence are of utmost import. In 2009, UNIKUM was awarded the Rizzi-Preis of the Slovenian Cultural Association. In the past 25 years more than 1.500 artists from different European countries have participated in various artistic actions.

### **Relevant publications, services or other achievements (up to 5):**

- Schönberger, Klaus / Hengartner, Thomas et al (eds.) (2016): Kunst und Ethnografie – zwischen Ko-operation und Ko-Produktion? Anziehung– Abstoßung – Verwicklung: Epistemische und methodologische Perspektiven. Zürich, forthcoming 2016.
- Holfelder, Ute/Schönberger Klaus (Kreativitätskombinat Klein Riviera) (2015): Creativity to go: „Bitte um Kreativität“
- Schönberger, Klaus (2013): "Ich sehe was, was Du nicht siehst?" Ethnographische und künstlerische Forschung im Prozess der Entgrenzung von Wissensformaten", in: Jöhler, Marchetti, Tschofen et al (eds.): Kultur\_Kultur. Denken, Forschen, Darstellen. Münster, New York, et al: S. 272-277.

4. Schönberger, Klaus (2006): Using ICT and socio-cultural change: Persistent and recombinant practices in using weblogs. In: Sudweeks, Fay/Hrachovec, Fay/Ess, Charles (Eds.): Cultural Attitudes towards Technology and Communication 2006. Proceedings of the Fifth international conference on Cultural Attitudes towards Technology and Communication Tartu, Estonia, 28 June-1 July 2006. Murdoch 2006, S. 642-658.
5. Hamm, Marion (2015, forthcoming): Understanding Urban Social Movements in Cognitive Capitalism: Methodological Reflections on Participatory Research and Reflexive Ethnography. In: Anthropological Journal of European Cultures.

## 4.1.2 Politecnico di Milano (P2)

### Brief description of the organisation:

**Politecnico di Milano** is ranked as one of the most outstanding European universities in Engineering, Architecture and Industrial Design; in many disciplines it is regarded as a worldwide leading technical institution. Since its foundation in 1863 POLIMI has fostered high quality and innovative teaching and research activities, collaborations with the most qualified European institutions, and cooperation and alliances with the industrial system by means of experimental approaches and technological transfer.

The **Department of Architecture and Urban Studies (DAStU)** is the second largest department at Politecnico di Milano and one of the most important research structures in Italy in the fields of urban planning and territorial governance, conservation and intervention on natural and built heritage, historical and critical interpretation of architecture, architectural design, interior and exhibition design. The department is embedded in a well-established international network of centres of excellence, and it develops relevant cooperation and partnerships with institutional and social actors at the local, national and international level.

The research group MIBE (Museums, Interiors and Built Environment) involved in the TRACES Project has a extensive and recognised experience in the field of museography and design for cultural heritage. It has collaborated with highly qualified national and international universities and museums, and has promoted, coordinated and participated in several projects focussed on heritage, museums, exhibitions, and their interactions with contemporary political, economical, social and cultural issues. The members of the group are architects and researchers who are widely engaged in the field of museum and heritage studies, museum design and exhibition design, and have contributed to the international debate with their research, projects, publications and pedagogic activities. Moreover they have acquired considerable experience in event planning, exhibition organisation, digital platform design and the experimentation with innovative and effective practices and tools for the production, representation and communication of knowledge.

Building on its consolidated expertise, POLIMI offers a highly qualified contribution to the development of research as well as dissemination activities.

### Main tasks attributed to the organisation:

- To design, organise and manage dissemination actions and tools, in order to display, communicate and promote the activities and outcomes of the project to specific target audiences as well as to the public at large.
- To individuate, develop and experiment with innovative dissemination strategies and instruments for the production and communication of knowledge, aimed at fostering mutual relationships with research activities and fuelling them through manifold stimuli and perspectives.
- To strengthen the societal impact of the project, promote its dissemination, and enhance the exploitation of the findings and products.
- To facilitate the coordination tasks through enhancing communication and cooperation within the project consortium.
- To develop extensive surveys and investigations with the aim of identifying innovative and paradigmatic design strategies, practices and tools for enhancing and transmitting contentious heritages in museums, exhibitions and heritage sites.

POLIMI will also appoint a researcher with specific skills in art history and curatorship and who is highly qualified in the field of artistic practices of participation and social engagement, which will be in charge:

- To analyse and develop participatory methods and models of innovative contemporary creative collaborations between artists, researchers, heritage agencies and stakeholders.
- To critically research participatory art practices that may assist humanist and social science research methods dealing with contentious cultural heritage, with a special focus on the tensions and contradictions between representational regimes and the basic assumptions of collaborative, relational and participatory aesthetics.
- To investigate innovative and relevant art strategies aimed at engaging common citizens with contentious heritage in European heritage sites.

- To coordinate artistic production and communication interfaces among all the CCPs and between the CCPs and the various Work Packages.
- To verify and support the development of participatory art practices in the CCPs and evaluate and foster their outcomes and impact.

### **Previous experience relevant to those tasks (up to 5):**

Participation in several national and international research projects:

1. MeLa - *European Museums in an age of migrations* (funded by the European Commission within the Seventh Framework Programme, Socio-economic Sciences and Humanities, 2011-2015, [www.mela-project.eu](http://www.mela-project.eu)). Role: Project Coordinator.
2. REcall - *European Conflict Heritage Landscape Reappropriation* (funded by the European Commission within the EC Culture 2007-13 Programme, 2012-2014). Role: Project Coordinator.
3. Re-Cycle Italy (funded by MIUR within the PRIN Programme, 2013-2015, <http://recycleitaly.iuav.it/index.php?p=3&cat=48>). Role: Partner/Investigator.
4. The Intervention in Archaeological Areas for Activities Related to Museum and Cultural Communication (funded by MIUR within the PRIN Programme, 2008-2012, <http://arceoshow.jimdo.com>). Role: Partner/Investigator.
5. The Atlantic Wall Linear Museum (funded by the European Commission within the EC Culture 2004-2005 Programme, 2004-2005, <http://www.atlanticwall.polimi.it>). Role: Project Coordinator.

### **Principal scientific and artistic personnel involved:**

**Professor Luca Basso Peressut (M):** Architect, PhD in Architectural Composition (IUAV, Istituto Universitario di Architettura, Venezia), he is full professor of interior architecture, exhibition design and museography at Politecnico di Milano, and coordinator of the academic board of the doctoral programme in architectural, urban and interior design. He is co-founder and former director of the Master course "IDEA in Exhibition Design." He is director of the International Workshop of Museography and Archaeology "Villa Adriana-Premio Piranesi" held in Tivoli and Rome since 2003. Within the areas pertaining to the theory and practice of museography and design for cultural heritage, he has published widely in the field, organised national and international conferences and participated in design competitions (resulting in several developed and realised projects). He is a member of the Scientific Committee for the National Conference of Interiors 2005, 2007 and 2010, and a member of the Scientific Board and co-organizer of the international conferences IFW-Interiors Forum World. He is a member of the Scientific Board of Museography of Edifir Publisher and consultant for the architectural magazine Area since 1997. He is also a member of the research unit *Museums Interiors and Built Environment*. From 1993 to 1998 he served as local coordinator for three national research projects funded by MURST concerning the "The Museum of Work". From 1998 to 2000 he was national coordinator of the research project "Architecture and Material Culture in Museums of Science". From 2001-2003 he acted as coordinator for a national research project co-financed by MURST entitled "The New Museum. Architecture, Territory and Landscape". He was project coordinator of the research project MeLa - *European Museums in an Age of Migrations*, funded by the European Commission within the Seventh Framework Programme under Socio-economic Sciences & Humanities (March 2011 - February 2015).

**Gennaro Postiglione (M):** Architect and PhD in interior architecture and exhibition design, he is associate professor of interior architecture at Politecnico di Milano and chairperson for the Politecnico Internationalisation Programme. Since 2004, he acts as promoter of *PublicArchitecture*, an interdisciplinary research group investigating strategies and practices for social awareness and public relevant architectural practices ([www.lablog.org/uk](http://www.lablog.org/uk)). He is also a member of the research unit *Museums Interiors and Built Environment*. His research interests relate to the fields of museography and cultural heritage landscapes, focussing on the preservation and communication of collective memory and cultural identity. In the last years he has been promoting and coordinating several national and international research projects; among these, he has been technical manager of the research project MeLa - *European Museums in an Age of Migrations*, as well as project coordinator of the research project REcall - *European Conflict Heritage Landscape Reappropriation*.

**Cristina Bergo (F):** Architect and PhD in Interior Architecture and Exhibition Design at the Politecnico di Milano. Her research interests and expertise are in the field of architectural design and interior studies. In 2000 she joined the Politecnico di Milano where she currently works and for which has followed several research projects, exhibitions and teaching activities, among which several editorial enterprises and events organisation.

**Francesca Lanz (F):** Architect and PhD in interior architecture and exhibition design, she is lecturer at the Department of Architecture and Urban Studies. Since 2009 she teaches interior design as adjunct professor at the School of Architecture and Society of Politecnico di Milano, and since 2006 she has been collaborating in several national and international research projects and teaching activities, teaming up with various POLIMI departments. Most recently, she has contributed to the EU funded research project MeLa - *European Museums in an Age of Migrations*, serving as assistant coordinator and dissemination manager.

**Jacqueline Ceresoli (F):** Theorist and historian of contemporary visual arts, she holds a degree in literature and philosophy, specialising in the history of contemporary art. She is lecturer of contemporary art at the School of Architecture of Politecnico di Milano. She is artistic director of Centro TAM (Trattamento Artistico dei Metalli), at the School of Art of Pietrarubbia established by Arnaldo Pomodoro, where she teaches contemporary art history. She is scientific coordinator of the MA programme in New Technologies for Art and adjunct professor of "Techniques of Audio Visual Documentation - Cities as Metalanguage of the Contemporary Culture" at Accademia di Belle Arti di Brera in Milan. She is also adjunct professor at Accademia di Belle Arti A. Galli in Como, teaching courses on Contemporary Art and History of Art and critic of Art. She has curated several exhibitions and is widely published in the field of contemporary visual arts. She collaborates with L'Arca, LUCE, Flash Art and Il Giornale. [www.exibart.com](http://www.exibart.com), [www.kritikaonline.net](http://www.kritikaonline.net).

Besides the principal investigators, the participation of the research group in the TRACES project will be fuelled by the involvement of several Phd candidates and experienced post-doc researchers and research fellows, with specific thematic skills, experience and expertises.

#### **Relevant publications, services or other achievements (up to 5):**

- Basso Peressut, Luca, Francesca Lanz and Gennaro Postiglione, eds. 2013. *European Museums in the 21st Century: Setting the Framework*. Milan: Politecnico di Milano. (this publication is included within the MeLa Book Series, a collection of open-access volumes available at <http://www.mela-project.eu/contents/the-mela-books-series> ).
- Lanz, Francesca and Elena Montanari, eds. 2014. *Advancing Museum Practices*. Turin: Allemandi.
- Basso Peressut, Luca and Pier Federico Caliarì. 2014. *Architettura per l'Archeologia. Museografia e Allestimento*. Roma: Prospettive.
- Bassanelli, Michela, and Gennaro Postiglione, eds. 2013. *Re-enacting the Past. Museography for Conflict Heritage*. Siracusa: LetteraVentidue.
- The MeLa Critical Archive (<http://www.mela-archive.polimi.it/>) .

### 4.1.3 UBER (P3)

#### Brief description of the organization

Founded in 1810, the **Humboldt-Universität zu Berlin** (UBER) is a world-class university and designated one of Germany's Universities of Excellence in 2012. With more than 430 professors and 38.000 students, it covers all the major academic disciplines. In the area of humanities and social sciences, it is ranked in the top 30 in the QS World University Rankings in most humanities and social sciences subjects. To continue and promote a strong tradition of research with social responsibility and cultural presence, and reflecting on its own role and past, was specified as a core principle within the University, especially since 1989. Numerous projects have been implemented with the support of the European Union. In the 7th Framework Program Humboldt-Universität is participating in more than 60 Cooperation and Marie Curie projects and an additional 9 ERC Grants with a total budget of more than 27 million Euros.

The **Institute of European Ethnology** (IfEE) is the largest institute in its discipline in Germany and has played a key role in shaping the discipline in outward-facing directions. Within the Humboldt University, it is active in interdisciplinary collaborations, reflected in the fact that it has the top faculty ranking for grant award. The IfEE puts particular emphasis on ethnographic research and collaboration with communities and organisations. Its areas of strength include migration, Europeanisation and museums, all of which have significant relevance for TRACES. From October 2015, IfEE will become home to a new international research centre: the **Centre for Anthropological Research on Museums and Heritage** (CARMaH), directed by Sharon Macdonald. Funded by the Alexander von Humboldt Foundation (€3.5 million over the next five years), the centre will develop an innovative programme of research – emphasising transnational comparative perspectives and ethnographic approaches – on museums and heritage.

**UBER** will contribute considerable expertise in ethnographic methods and participatory research, in the analysis and theorising of Europeanisation and of 'difficult' heritage, in innovative forms of transmission and in comparative perspectives.

#### Main tasks attributed to the organisation

- To lead WP5.
- To supervise and contextualise the scientific work of CCP2, CCP3 and CCP4.
- To coordinate artistic production and communication interfaces between all CCPs and between the CCPs and the WPs (Tal Adler, as task leader for WP1).
- To support WP3 with finding new ways of mediating difficult collections and using them for educational purposes.
- To collect and submit research results to WP4 for the comparative analysis of TRACES.
- To edit and combine the research and action segments for the transmission of coherent data for stakeholders through WP6.
- To contribute to the conference and exhibition program in Edinburgh on questions around human remains and the representation of the human body in collections (within the budget of the University of Edinburgh – P9).
- To host a workshop on contentious heritage, the first part dedicated to working with the teams of CCPs 2, 3, 4 and the second part being open to the public, involving students and other stakeholders.

#### Previous experience relevant to those tasks (up to 5)

Please note that as some UBER participants previously held posts elsewhere, we included some of these due to their relevance. Collectively we have considerable expertise in research supervision, including doctoral research, and in conducting innovative research projects, including art projects.

1. *TransForNation: Dual Citizenship Recognition and Equal Rights in Germany: Construction of a (Trans)national Form of Citizenship in 21st Century Europe*; 10/2014-09/2016; EU FP7 Marie Curie Intra-European Fellowship; grant no.: 622400; PI Römhild in IfEE, UBER. <https://www.euroethno.hu-berlin.de/de/forschung/drittmittelprojekte/transformation> .

2. *Religion – Knowledge – Discourse*, 2013-17; HU excellence initiative funding; PhD programme; programme member Römhild in IfEE, UBER. <https://www.theologie.hu-berlin.de/en/phd-rkd-en> .

3. *Assembling Alternative Futures for Heritage*; 1/04/2015-31/03/2019; AHRC, grant no: AH/M004376/1. CoI: Macdonald at University of York. <http://www.ucl.ac.uk/archaeology/research/directory/assembling-alternative-futures-heritage> .

4. *MemScreen: An Art-Based Archive of Translation and Narration*; 01/01/2011-31/12/2013; grant no.: AR 96-G21; FWF Austrian Science Fund (PEEK); Researcher: Tal Adler at Academy of Fine Arts Vienna.

<http://memscreen.info/category/projects/> .

5. *Conserved Memories - History Making in Austria told in Stories and Pictures*; 01/01/2013-31/12/2015; grant no.: AR 212; FWF Austrian Science Fund (PEEK); Researchers: Tal Adler, Anna Szoëke at Academy of Fine Arts Vienna. [http://memscreen.info/category/conserved\\_memories/](http://memscreen.info/category/conserved_memories/) .

### **Principal scientific and artistic personnel involved**

**Professor Sharon Macdonald (F)** is (from October 2015) Alexander von Humboldt Professor of social anthropology (with emphasis on museum and heritage studies) at the IfEE, UBER. She is currently Anniversary Professor of cultural anthropology in the Department of Sociology at the University of York, where she also directs the European Centre for Cultural Exploration. She has extensive experience in research management, including PhD and post-doc supervision; and is widely known for her work on European identities, difficult heritage, museology and exhibition experiments.

**Professor Regina Römhild (F)** is professor of European ethnology at the IfEE, UBER. Her research is especially concerned with border regimes, migration and mobility, Europeanisation, transnationalisation and cosmopolitanisation. She has directed many research programmes and is widely published in these areas. She has experience in working with artists, museums and heritage organisations and communities, especially in her role as co-curator of the collective exhibition 'Projekt Migration,' a product of the transdisciplinary research project *Transit Migration/Projekt Migration*. She is a co-founding member of the Berliner Institut für empirische Integrations- und Migrationsforschung (BIM).

**Tal Adler (M)** is an artist and researcher currently at the Academy of Fine Arts, Vienna. Since 2011 he has been conducting extensive artistic research on contentious heritage and the politics of memory and display in Austria, publishing and exhibiting artistic work on difficult heritage at marginal and established museums, landscapes, sites of commemoration and education and civil society organizations. For over two decades he has been developing methods of participatory artistic research for engaging with difficult pasts and conflicted communities in Israel/Palestine and in Europe. He is the author of the traveling project *Unrecognized* which has collaborated with and engaged communities of the unrecognized Bedouin villages in the Negev, concerned NGOs and researchers.

**Anna Szöke (F)** is an art historian, curator and researcher. Until 2013 she was curator of contemporary and Indian art at the Essl Museum in Austria. From 2013-2015 she worked at the Academy of Fine Arts, Vienna on an art-based research project funded by the Austrian Science Fund and centred on human remains in institutional collections, in close collaboration with the Natural History Museum, Vienna. Currently she is researching contentious collections and practices of repatriation of human remains in European institutions.

### **Relevant publications, services or other achievements:**

1. Adler, Tal 2012 *Stories Your Guide Won't Tell You About Vienna*, Vienna: Wien Woche.
2. Adler, Tal 2013 *The Crime Scenes of Mauthausen – Searching for Traces*, Mauthausen Concentration Camp Memorial permanent exhibition (visual research and artistic work).
3. Macdonald, Sharon 2013 *Memorylands. Heritage and Identity in Europe Today*, London: Routledge.
4. Römhild, Regina et al. 2014 (eds) *Vom Rand ins Zentrum. Perspektiven für eine kritische Migrationsforschung*. Berlin: Panama.
5. Römhild, Regina et al. 2013 'The Post-Other as Avantgarde', in D.Baker and M.Hlavajova (eds) *We Roma. A Critical Reader in Contemporary Art*. Amsterdam: Valiz.

#### 4.1.4 Universitetet i Oslo (P4)

##### **Brief description of the organisation**

The **University of Oslo** was founded in 1811 as the first university in Norway. Today it is the country's largest public institution of research and higher learning with 27.000 students and 6.000 employees. UiO is the highest ranked institution of education and research in Norway - and one of the World's Top 100 universities, according to the Shanghai World Ranking. As a classical university with a broad range of academic disciplines, UiO has top research communities in most areas. Since its establishment in 1964, the **Department of Social Anthropology (SAI)** has been an important arena and starting point for the Norwegian anthropological tradition. SAI is the largest anthropological department in Scandinavia, and one of the largest in Europe. The active research staff consists of 19 scholars, 10-13 PhD research fellows and 5 post-doctoral fellows. This staff has attracted a wide variety of external funding from the EU, the European Research Council (ERC), European Science Foundation/HERA and the Norwegian Development and Foreign Ministries. The research team for TRACES will be led by Prof. Schneider, who has a long and recognised track record in ethnographic work on and with contemporary arts and heritage providers. Prof. Schneider has been a senior researcher of the European Science Foundation/HERA funded project "Creativity and Innovation in a World of Movement" (2010-12), and a co-organiser of the seminal international conference "Fieldworks" at the Tate Modern (2003), funded by the Wenner Gren Foundation and the British Academy.

##### **Main tasks attributed to the organisation:**

- Responsible for WP2; here: to coordinate and advice research on the CCPs.
- To carry out ethnographic research on the CCPs with a group of MA students led by Prof. Schneider (WP2).
- To carry out exemplary in-depth ethnographic research together with a contemporary artist on specific heritage providers in Italy with contested (post) colonial collections (WP2).
- To convene a number of workshops to discuss research progress and initial results.
- To produce a number of publications resulting from the research.

##### **Previous experience relevant to those tasks (up to 5):**

1. HERA project Creativity and Innovation in a World of Movement

<http://www.qub.ac.uk/sites/CreativityandInnovationinaWorldofMovement/> .

Role: Senior Researcher

2. Co-organiser of FIELDWORKS conference at the Tate Modern, 2003 <http://www.tate.org.uk/context-comment/video/fieldworks-dialogues-between-art-and-anthropology-day-1> .

3. Co-organiser "Performance, Art and Anthropology", Musée du quai Branly, Paris, 2009, <http://actesbranly.revues.org/109> .

4. Co-organiser "Experimental Film, Art, Anthropology", Musée du quai Branly, Paris, 2012

[http://www.quaibrantly.fr/fileadmin/user\\_upload/enseignement\\_et\\_recherche/programmes/final\\_program\\_EXPERIMENTAL\\_FILM\\_AND\\_AND\\_ANTHROPOLOGY-2E.pdf](http://www.quaibrantly.fr/fileadmin/user_upload/enseignement_et_recherche/programmes/final_program_EXPERIMENTAL_FILM_AND_AND_ANTHROPOLOGY-2E.pdf) .

##### **Principal scientific and artistic personnel involved:**

**Professor Arnd Schneider (M)**, PhD in anthropology, London School of Economics; Habilitation in social anthropology, University of Hamburg. For more than two decades Prof. Schneider has been writing and researching on the relationship between contemporary art and anthropology, as well as on ethnographic film and visual anthropology and is considered a major voice in this interdisciplinary field. His main publications in this respect include *Art and Identity in Argentina* (Palgrave 2006), *Contemporary Art and Anthropology* (Berg 2006, co-edited with Chris Wright), *Between Art and Anthropology* (Berg 2010), and *Anthropology and Art Practice* (Bloomsbury, 2013). He was a co-organiser of the international conference Fieldworks: Dialogues between Art and Anthropology (Tate Modern, 2003). *Experimental Film and Anthropology* (co-edited with Caterina Pasqualino) was published by Bloomsbury in 2014. He has been an invited visiting scholar at numerous universities and delivered many keynote lectures at international conferences on the relation between art and anthropology. Prof. Schneider will lead a team consisting of a scientific/administrative assistant (to be appointed), a contemporary artist based in Italy, and five MA students from SAI, University of Oslo.

##### **Relevant publications, services or other achievements (up to 5):**

1. Schneider, Arnd. Appropriation as Practice: Art and Identity in Argentina. Institute for the Study of the Americas



(University of London)/Palgrave, New York; 2006.

2. -----, *Experimental Film and Anthropology*, co-edited with Caterina Pasqualino, London: Bloomsbury, 2014.
3. -----, *Art and Anthropology Practice*, co-edited with Chris Wright, London: Bloomsbury, 2013.
4. -----, *Between Art and Anthropology*, co-edited with Chris Wright. Oxford: Berg Publishers, 2010.
5. -----, *Contemporary Art and Anthropology*, co-edited with Chris Wright. Oxford: Berg Publishers, 2006.

#### 4.1.5 Zürcher Hochschule der Künste (ZHdK) – Institute for Art Education (P5)

##### Brief description of the organisation

The Institute for Art Education (IAE) is a research institute for arts education at Zurich University of the Arts (ZHdK), directed by Carmen Mörsch. The Institute's work is situated at the interface between cultural theories, artistic practices and the development of educational theory in art education. Research at the IAE is dedicated to the teaching of the arts in schools on the one hand, and, on the other, to museum and gallery education as well as cultural education and mediation in the social environment and the public sphere. This is where the IAE's contribution is located: through artistic-pedagogical work, decision-making in cultural politics as well as research, the institute works towards being a partner and a reference for actors shaping these fields from a critical perspective and whose aim is the constructive enhancement of practice.

##### Main tasks attributed to the organisation:

- To lead WP3
- To research on the educational relevance of contentious cultural heritage and mediation methods, in a perspective connecting the arts with social and educational science.
- To conduct a cross-analysis of educational approaches to contentious cultural heritage.
- To provide support and conduct accompanying research on the educational activities of the CCPs.
- To establish an action research program with the team of educators in the Weltkulturenmuseum Frankfurt.
- To deliver practical advice and materials on mediating contentious cultural heritage.

##### Previous experience relevant to those tasks (up to 5):

1. *Learning in ethnographic museums: decolonising perspectives*, PhD project (ongoing), Nora Landkammer. This research focuses on education and learning programmes in anthropology museums in German-speaking regions. Which position do current discourses and practices of education in ethnological museums take concerning the post-colonial critique of the ethnographic museum? The aim of the project is to discuss the possibilities for an anti-racist, decolonising educational practice using anthropology collections, in an exchange with educators and drawing on current debates in post-colonial theory.
2. *Art.School.Differences. Researching Inequalities and Normativities in the Field of Higher Art Education*. Research project (ongoing), SERI, ZHdK Zurich, HEAD Geneve, HEM Geneve, led by Carmen Mörsch, Sophie Vögele, Philippe Saner and Pauline Vessely. Art.School.Differences is a research and development project at three Swiss art schools. It focusses on the complex configurations of inequality, inclusions and exclusions at the art school, with the aim of understanding these dynamics and – in specific areas – of contributing to change them.
3. *Another Roadmap for Arts Education*, research network, since 2012. The international network Another Roadmap for Arts Education is an association of practitioners and researchers working towards art education as an engaged practice in schools, museums, universities and artistic/educational projects. They view arts education as deeply embedded in social and political contexts – but also as a tool to question and transform the social setting. Since its foundation, 22 research groups on four continents have entered the network, with the goal to reflect and develop educational practice and to research its histories and political frameworks.
4. *Gallery Education in Transformation*. Research project, SNF Swiss National Science Foundation, 2009-2011, led by Carmen Mörsch and Bernadett Settele. The project researched gallery education in Switzerland in a collaboration between four art academies and six museums of design and contemporary art, connecting experimental practice with a team-based reflexive process and accompanying research.
5. *Contemporary Curating and Museum Education: Ethnographic Museums*, conference panel, International Conference: Contemporary Curating and Museum Education, Zurich University of the Arts, Nov 21/22, 2014. With Bernadette Lynch, Adriana Muñoz and Juana Paillalef Carinao. Moderation: Nora Landkammer.

##### Principal scientific and artistic personnel involved:

**Carmen Mörsch (F)** has been trained as an artist, educator and researcher. Her research interests include museum and gallery education as critical practice; collaborative practices in art and education; postcolonial and queer perspectives in art education. She worked as a freelance gallery educator and artist – educator from 1993 – 2003. In 1999 she co-founded the group Kunstcoop© which comprised seven artists seeking to conceive gallery education as a critical arts practice. Kunstcoop© conducted the education programme of NGBK Berlin (New Society for Visual Arts Berlin) from 1999 – 2001. Since 2003 she has been conducting several team-based action - research projects in the field, including the research and consultation of documenta 12 education in 2007. From 2003 to 2008 she was professor in the department of cultural studies, Carl von Ossietzky University, Oldenburg,

Germany. Since 2008 she has been head of the Research Institute for Art Education (IAE), at the University of Arts, Zurich, Switzerland. From 2009 to 2012 she directed research for the programme on “Kulturvermittlung” (cultural mediation) at the Swiss Cultural Foundation Pro Helvetia. In 2011 she was a visiting researcher at WITS School of Art, Johannesburg, SA.

**Nora Landkammer (F)** is a gallery educator and research associate at the Institute for Art Education at Zurich University of the Arts, where she currently coordinates the international research network “Another Roadmap for Arts Education”. She studied Art and Communicative Practices at the University of Applied Arts, Vienna and Spanish Studies at Vienna University. As an educator, she worked at documenta 12 (2007), Kunsthalle Vienna and is currently at Shedhalle Zürich. She teaches in the MA programme on art education and specialises in curating and education at ZHdK and is working on a PhD project on decolonizing perspectives in education in ethnographic museums.

**Karin Schneider (F)** is an arts educator and researcher. She studied contemporary history and gender studies at Vienna University. Currently she is engaged in the art-based research project “conserve memories” at the Academy of Fine Arts, Vienna; the participatory outreach program “New Worlds – Sharing Stories” at the Weltmuseum Vienna and educational programs at the Austrian Museum of Folk Life and Folk Art. Since 2007 she has been involved in several participatory and art-based research projects such as “Science with All Senses – Science and Gender in the Making” (2007-2010), “MemScreen” (2010-2012) and “Field research with young students and children” (2008-2010; 2013-2015). Since 2013 she has been teaching methods of arts education at the University of Applied Arts in Vienna. From 2001-2007 she was head of the arts education department at the Museum of Modern Art (MUMOK) in Vienna; in 2008 she co-curated the show “Overlapping Voices – Israeli and Palestinian Artists” (with Tal Adler et.al) at the Essl Museum, Austria.

**Relevant publications, services or other achievements (up to 5):**

1. Mörsch, Carmen et al. (Ed.): documenta 12 education II. Between Critical Practice and Visitor Services. Results of a Research Project. Berlin: diaphanes: 2009.
2. Landkammer, Nora: Vermittlung als kollaborative Wissensproduktion und Modelle der Aktionsforschung [Museum education as collaborative knowledge production and models of action research]. In: Bernadett Settele, Carmen Mörsch et al. (Ed.): *Kunstvermittlung in Transformation*, Zürich: Scheidegger&Spiess, 2012.
3. Mörsch, Carmen/Landkammer, Nora (Ed.) (2014): Art Education Research No. 8/2014: *In Widersprüchen handeln. Kunstvermittlung und -unterricht in der Migrationsgesellschaft*, Teil II [Working in contradictions: Gallery education and art teaching in migration society, part II], online: <http://iae-journal.zhdk.ch/no-8/> (26.1.2015).
4. Mörsch, Carmen et al. (2013): Responding to "Why the Arts Don't Do Anything: Toward a New Vision for Cultural Production in Education. In: *Harvard Educational Review*, Vol. 83, Nr. 3, 2013, S. 513-528.
5. Schneider, Karin; Hubin, Andrea: Doing Research with Anthropologists, Designers, Mediators and a Museum: A Project on, for and with Families in Vienna. In: *Engage Magazine*, issue 25 ('Family Learning'), Spring 2010, pp.31-40.

#### 4.1.6 Hosman Durabil Association (P6)

##### Brief description of the organisation

Founded in 2005, the Hosman Durabil Association ([www.hosman-durabil.org](http://www.hosman-durabil.org)) is composed of a group of local activists based in southern Transylvania, Romania. Its core focus is the sustainable development of the village of Hosman and the Hârtibaciu valley, a region bordered by the towns of Braşov, Sibiu, Mediaş and Sighişoara. For the Hosman Durabil activists, development represents both preserving architectural and cultural heritage as well as contributing to a higher quality of life for the region's inhabitants. Currently, Hosman Durabil is implementing the project „Solidarity for Economic Development in the Hârtibaciu Valley (SOLID.E.D)“, co-financed by the Swiss-Romanian Partnership Programme. Hosman Durabil has extensive experience working to involve local communities both in shorter, hands-on projects as well as in longer-term initiatives. By working under the aegis of Hosman Durabil, the project in Mediaş benefits from comprehensive technical and practical know-how gleaned over years of working with local communities and on complex cultural preservation projects and at the same time acquires a high degree of legitimacy in the eyes of the local and regional authorities. Their vast network of local organisations and individuals who support such grassroots initiatives is invaluable to the success of the project.

##### Main tasks attributed to the organisation

- To support and sustain CCP1
- To promote and raise awareness to the public activities of the project in the region
- To organise annual 2-month artist and research residencies during which the artist and researcher will explore notions of identity through art and archival materials
- To hold ongoing events in the evenings and on the weekends to encourage visitors to spend the night in the town, stimulating the hospitality and gastronomy industries and researching the role of tourism in the mediation of contentious heritage
- To support the exhibition with outcomes of the project in Mediaş
- To work with WP3 on providing educational activities to local stakeholders

##### Previous experience relevant to those tasks (up to 5)

- Rehabilitation of the Hosman Old Mill complex (2004- 2010, EEA-Grants, Mihai Eminescu Trust, [www.moara-veche.ro](http://www.moara-veche.ro)).
- International theatre productions based on local stories (2007 - „ZALINA“ awarded with the Sibiu European Capital of Culture excellence award; 2008, 2010).
- Development of the region's Samuel von Brukenthal Cultural Hiking Trail, first one of its kind in the region (2007, Sibiu – European Capital of Culture).
- Sustainable exemplary sanitary and waste water concept for the village of Fofeldea (2008-2011, German Federal Environmental Foundation).
- Restoration of the Gerendi House, the oldest preserved building in the Hârtibaciu Valley dating from 16th century (2008/09, Mihai Eminescu Trust).

##### Principal scientific and artistic personnel involved

**Anda Reuben (F)**, MA in Informal Jewish Education (Jewish Theological Seminary, NYC); BA in Journalism and Philosophy (Spiru Haret University, Bucharest). Following her studies in NYC, Ms Reuben served as national education director for the Jewish community in Romania (FEDROM). In 2014 she assumed leadership of the “Saving the Mediaş Endangered Archives: Processing, Cataloging and Digitisation Project,” coordinated by Ms Dawson and with the cooperation of the Mihai Eminescu Trust and Leo Baeck Institute (project funded through a grant of approx. 25,000GBP). In the context of the above project, Ms Reuben has catalogued and digitised thousands of documents while also organising community educational and cultural events around and in the synagogue complex. For the Absence as Heritage project, Ms Reuben will be responsible for all on-site project coordination and management, including working with educators and school children, organising cultural events, selection of and collaboration with the artist partner (together with Julie Dawson and other committee members), supervision of use of archival material – both digital and original – in schools and by the artist, and all on-site bureaucratic management. Ms Reuben speaks Romanian, English, Hebrew, and French.

**Julie Dawson (F)**, MA in Jewish Studies and Certificate in East Central European Studies (Columbia University, NYC); BA in German; BM in Ethnomusicology (Northwestern University, Evanston, IL). Ms Dawson has worked

in the southern Transylvanian region since 2007. Since 2010 she has been actively involved in researching the Jewish history of the region, first in the context of her Master's thesis and currently as project initiator and director of the Leo Baeck Institute's multi-year survey of Jewish archives in Transylvania and Bukovina (JBAT, <http://jbat.lbi.org/>), funded through a grant of over 100.000GBP. Ms Dawson also developed and coordinated the project "Saving the Mediaş Endangered Archives: Processing, Cataloging and Digitisation Project" (2014-2015). In the context of the Absence as Heritage project Ms Dawson is responsible for the overall project supervision, aspects of historical research and exhibition presentation, selection of and collaboration with the artist partner (together with Anda Reuben and other committee members) and grant reporting. When not in Romania, Ms Dawson is based in Vienna. She speaks English, German, Romanian, Yiddish and reads basic Hungarian and Hebrew. <http://jewish-transylvania-bukovina.tumblr.com/>.

**Joachim Cotaru (M)**, MA in History ([www.cotaru.com](http://www.cotaru.com)), worked as regional manager for a local development association and as community facilitator for the World Wide Fund for Nature's Romanian branch. He was responsible for the technical organisation of the 2009 international conference "Restoring Transylvania's monuments in terms of environmental and climatic influences" in Mediaş, funded by the German Federal Environmental Foundation, DBU. **Gabriela Cotaru (F)**, architectural draftsman, participated in the restoration and maintenance program of the baroque Avrig Brukenthal Park and is a board member of the Romanian preservation society, Monumentum. She is currently project manager for the Swiss-Romanian Partnership Programme's project with Hosman Durabil. The Cotarus speak Romanian, German, English and basic French and Swedish.

**Artist (M/F)** to be determined. Pending award of the grant, a call will be put out for artist applications. The call will describe the Absence of Heritage project in the context of the TRACES framework and seek Romanian conceptual artists interested in a 3-year collaboration (with an annual 2-month residency in Mediaş) using the synagogue spaces, archives, local multicultural heritage, and absent populations as departure points.

#### **Relevant publications, services or other achievements**

- Hosman Durabil, recipient of Swiss-Romanian Partnership grant for "Solidarity for economic development in the Hartbaci Valley (SOLD.E.D.)".
- Hosman Durabil's collaborative theatre project, "Zalina: A Village Speaks," recipient of the Excellence Award for the Sibiu European Capital of Culture by the Sibiu Standard newspaper ("Bestes Programm des Kulturhauptstadtjahres Hermannstadt 2007").
- Dawson, Julie. "Discovery in Transylvanian Synagogue Spurs Major Survey of Romanian Archival Holdings on German-Jewish Life." *Leo Baeck Institute Newsletter*, Fall 2013. <http://www.lbi.org/2013/11/discovery-romania/>.
- Dawson, Julie. "Finding Blanka: A Story of Sorrow and Strength in Post-War Romania." *Holocaust. Studii și cercetări*, vol. V, nr. 1(6) (2013): 87-99.

#### 4.1.7 Naturhistorisches Museum Wien (P7)

##### Brief description of the organisation

With the collections dating back to 1750, the **Vienna Natural History Museum's** (NHM) departments are home to approximately 30 million specimens (and growing), amongst the largest and most valuable in the world. More than 60 scientists carry out fundamental research in a wide range of fields related to earth sciences, life science and human sciences. This makes the museum one of the largest non-university research centres in Austria but also a significant public institution. The **Department of Anthropology** was originally founded as the Department of Anthropology and Ethnography at the k.u.k. (Imperial and Royal) Naturhistorisches Hofmuseum in 1876. Today, it houses substantial collections of more than 60.000 specimens, including human skeletal remains, photographs and x-rays, casts and moulds, and metric/morphological finds. The comprehensive collections of the Department of Anthropology at the Vienna Natural History Museum make it a global leader in its field. NHM can contribute considerable knowledge on historical and scientific aspects based on the osteological collection. Since 2009 the department has undertaken systematic research on the collection's history.

##### Main tasks attributed to the organisation:

- To participate in creative co-production with CCP4 to develop innovative transmitting methods of the collections' difficult heritage.
- To support and augment the research on the osteological collection and anthropometric photographs for CCP4 and WP5.
- To contribute to the workshop held in Edinburgh CCP4 (P9) and give expertise in the discussion around human remains in museums collections.
- To publish new research on the skull collection and selected biographies of collectors and remains.

##### Previous experience relevant to those tasks:

The NHM has acted as the principal investigator of and participant in several national research projects:

1. *Rudolf Pösch – Anthropologist, Explorer, Media Pioneer*: a comprehensive collaborative research project funded by the Austrian Science Fund FWF (P17761-G6, 2005 ), <http://poech.fox.co.at/en/> (Role: applicant and PI, equal partner H. Wilfing, University of Vienna).

2. *Euphorischer Anfang – dysphorische Gegenwart: Anthropologische Sammlungen im Spannungsfeld von Wissenschaft und Ethik*: research project funded by the Austrian Federal Ministry of Science, Research and Economy for|Muse program

[http://wissenschaft.bmwf.gv.at/fileadmin/user\\_upload/forschung/Europa/forMuse\\_Projekte.pdf/](http://wissenschaft.bmwf.gv.at/fileadmin/user_upload/forschung/Europa/forMuse_Projekte.pdf/) (Role: applicant and PI).

3. *Anthropology in NS-time*: a collaborative research project funded by the Austrian Science Fund FWF (Role: applicant, equal partner K. Stuhlpfarrer and others, University of Vienna, P13779-HIS, 2001-2003).

4. *Allochthonie und Autochthonie in der Kamptalregion*: research project funded by the Austrian Science Fund FWF (Role: applicant, P09491-HIS, 1993).

##### Principal scientific and artistic personnel involved:

**HR a.o. Univ. Prof. Dr. Maria Teschler-Nicola (F)** Human biologist and anthropologist.

Since 1998 she has been director of the Anthropological Department at the Vienna Natural History Museum. She has also been a lecturer at the Department of Anthropology at the University of Vienna since 1978. She has published extensively on the history of the discipline in Austria with special focus on the time period between 1860–1945 and paleoanthropology, prehistoric anthropology and palaeopathology.

**Scientific research assistant (F/M)** to be appointed.

##### Relevant publications, services or other achievements:

1. Maria Teschler-Nicola, Das forMuse-Projekt und die Beforschung und Restitution überseeischer menschlicher Skelettreste in Wiener Sammlungen. In: Stoecker H., Schnalke T., Winkelmann A. (eds.), *Sammeln, Erforschen, Zurückgeben? Menschliche Gebeine aus der Kolonialzeit in akademischen und musealen Sammlungen*. 1st ed. Ch. Links Verlag, Berlin, 2013, pp. 259–78.

2. -----, Die Novara-Forschungsreise (1857-1859): *Kremser Humanistische Blätter* 15, 2013, 9–53.

3. -----, Richard Arthur Hans Kummerlöwe alias Kumerloeve (1903-1995): Erster Direktor der wissenschaftlichen Museen in Wien in der NS-Zeit. *Mitteilungen der Anthropologischen Gesellschaft Wien* 142, 2012, 279-304.

4. -----, Rudolf Pösch's osteologische Lehr- und Forschungssammlung im Spannungsfeld von Wissenschaft und

Ethik. *Mitt. Anthropol. Ges. Wien* 141, 2011, 51-66.

5. -----, 'Volksdeutsche' and Racial Anthropology in Interwar Vienna: The 'Marienfeld' project. In: Turda, M. and Weindling P. J. (Eds.), *Blood and Homeland. Eugenics and Racial Nationalism in Central and Southeast Europe 1900-1940*. CEU Press: Budapest, New York, 2007, 55-82.

#### 4.1.8 University of Edinburgh (P8)

##### **Brief description of the organisation**

Participants include members of the departments of **Social Anthropology, Archaeology** and the **Edinburgh College of Art**, all part of the College of Humanities and Social Sciences at the **University of Edinburgh**.

Founded in 1583, the University is one of the world's leading research and teaching universities, making a significant, sustainable and socially responsible contribution to Scotland, the UK and the world.

Social Anthropology at Edinburgh is a major international centre of undergraduate and postgraduate training, and offers regional specialisations in Africa, South Asia and Latin America. It is one of the premier research departments in the United Kingdom. Rooted in a strong disciplinary tradition its research asks challenging questions about contemporary global problems, putting it at the cutting edge of Social Anthropology.

The Edinburgh Archaeology Department has a long and distinguished tradition of teaching, research and fieldwork going back to the 19th century, all of which are closely integrated. It places the subject in the modern world and research areas range from the early hominids through later prehistoric ranked societies to the Byzantine world and include a range of scientific expertise, notably within bioarchaeology, including osteoarchaeology, and forensic anthropology.

Edinburgh College of Art is a vibrant and creative community of students and academics: a place of experimentation, exploration, intellectual stimulation and exciting collaborations. The College enjoys an international reputation for the quality of its teaching and research across the disciplines of art, design, architecture and landscape architecture, history of art and music. It traces its history back to the 1770s and remains at the forefront of teaching and research, ideally placed to engage with the challenges of the future.

##### **Main tasks attributed to the organization:**

- To support, augment and participate in the research and implementation of CCP4, WP5.
- To curate and carry out an exhibition project with accompanying public program on aspects of the human story in anthropological collections of human remains (CCP4, WP5).
- To create and carry out an educational program on the legacy of human remains collections, integrate learning materials into existing programmes and courses in anthropology, archaeology and the creative arts within the University of Edinburgh, develop a set of learning resources to be used with other stakeholders (in collaboration with WP3, WP5).
- To organise a workshop on the legacy of human remains collections in Europe and the diverse forms of engagement with these collections (in close collaboration with CCP4, WP5).
- To produce a video essay and edited publication concerning scientific skull collecting in Europe and its legacy (in collaboration with WP6).

##### **Previous experience relevant to those tasks:**

1. J. Smith, J. Harries and L. Fibiger with Emma Black, Caroline Douglas, Elena Kranioti, John Nowak, Gillian Taylor and Diego Zamora. The bones beneath the face.

<https://surgeonshallmuseum.wordpress.com/2014/08/14/word-of-mouth-talking-about-how-we-interpret-skulls/>

2. J. Smith et al. The Bone Library: art exhibition at Summerhall in Edinburgh as part of the 2014 Edinburgh Science Festival, resulting from a collaboration between artists and veterinary surgeons.

<http://www.summerhall.tv/2014/susan-rhind-the-bone-library/>

##### **Principal scientific and technical personnel involved:**

**John Harries (M)**, Teaching Fellow in Social Anthropology, Co-founder of the Bones Collective

[http://www.san.ed.ac.uk/research/grants\\_and\\_projects/current\\_projects/bones\\_collective](http://www.san.ed.ac.uk/research/grants_and_projects/current_projects/bones_collective) . Research and teaching focus on issues of memory, materiality and identity, with particular focus on investigating the emotive materiality and affective presence of human remains. His own research explores question of memory, materiality and contested articulations of indigeneity with specific reference to the ways in which the people of Newfoundland remember the Beothuk, a native people exterminated by white settlers to the island.

[http://www.sps.ed.ac.uk/staff/social\\_anthropology/harries\\_john](http://www.sps.ed.ac.uk/staff/social_anthropology/harries_john)

**Linda Fibiger (F)**, Lecturer in Human Osteoarchaeology. Programme director of The MSc in Human Osteoarchaeology. Member of the Paleopathology Association Ad Hoc Committee on the Disposition of Human Remains. Promotion of professional standards, ethics and legislation in human osteoarchaeology. Contributor to recent AHRC-funded LBK Lifeways project. Research focus is on interpersonal violence and cranial trauma,



investigating how age and gender influence involvement in violent interaction in the tribal societies of Neolithic Europe.

[http://www.ed.ac.uk/history-classics-archaeology/about-us/staff-profiles/profile\\_tab1\\_academic.php?uun=lfibiger&search=2](http://www.ed.ac.uk/history-classics-archaeology/about-us/staff-profiles/profile_tab1_academic.php?uun=lfibiger&search=2)

**Joan Smith (F)**, Lecturer in Art, director of Undergraduate Studies at Edinburgh College of Art. Artist and printmaker, teaches anatomy and art at ECA; currently involved in art/science research project with Surgeons Hall in Edinburgh, investigating representations of women in their collection. Professional Member of the Society of Scottish Artists.

<http://www.eca.ed.ac.uk/school-of-art/joan-smith>

**Relevant publications, services or other achievements:**

1. Márquez-Grant, N. & Fibiger, L. (eds.) 2011. The Routledge Handbook of Archaeological Human Remains and Legislation. An international guide to laws and practice in the excavation and treatment of archaeological human remains. London, Routledge.
2. J. Harries, Fontein, J. & Filippucci, P. 2012. Encountering the past: Unearthing remnants of humans in archaeology and anthropology. In D Shankland (ed.), Archaeology and Anthropology: Past, Present and Future. ASA Monographs 48. Berg, London, pp. 197–217.
3. J. Harries and Fontein, J. 2013, The vitality and efficacy of human substances, Critical African Studies, Vol 5, No. 3, pp. 115-126.
4. J. Smith, “Smugglerius Unveiled” exhibition at the Talbot Rice Gallery, Edinburgh 2010. Collaborative art and anthropology project with Dr Jeanne Cannizzo from the Department of Social Anthropology, University of Edinburgh.

#### 4.1.9 Jagiellonian University (P9)

##### **Brief description of the organisation**

**Jagiellonian University** is a leading research institution in Poland, conducting research across a wide range of disciplines. It occupies the leading position in rankings of universities and higher education institutions in Poland. The University comprises 15 departments, Polish Studies being the youngest one, and holding the highest accreditation from the Polish Accreditation Committee (A+), the agency of the Ministry of Research and Higher Education and therefore is considered the best Polish Studies Department Poland-wide. In 2006 Jagiellonian University was awarded the Crystal Brussels Prize, a prestigious honour given in recognition of the most active and successful participation in the 6th Framework Programmes of the European Union. In 2013 JU was among the candidates for the Crystal Brussels Prize for active participation in the 7th Framework Programme. Since then JU managed international research and educational projects within different programmes, such as: Horizon2020, 7th Framework Programme, Lifelong Learning Programme, Erasmus+ COST and many others. At the moment JU manages 23 projects within the 7th Framework Programme, three projects within Horizon 2020, three projects with ERASMUS+, 25 within the LLP scheme (educational projects). All together the staff of the Jagiellonian University work on 124 international projects within the above mentioned schemes and 918 national research projects. The **Research Centre for Memory Cultures** was established on October 1, 2014. It focusses on contested aspects of collective memory in Poland, difficult heritage and transmission of memory (postmemory). It runs a project: “Unmemorialised Genocide Sites and Their Impact on Collective Memory, Cultural Identity, Ethical Attitudes and Intercultural Relations in Contemporary Poland”.

The **Seweryn Udziela Ethnographic Museum in Cracow** (participating as stakeholder of the CCP2) was founded in 1911. It cooperates with other European institutions such as: Fratelli Alinari Foundation/ Alinari National Museum of Photography (Florence, Italy), Institute Mémoires de l'édition contemporaine (Paris/ Caen, France), Cardiff University/ Aberdeen University (UK), Perspektivet Museum (Tromsø, Norway), Museum of Walloon Life in Liège. In 2013 the museum launched an exhibition on Jewish figures in Polish folk art (curator: Erica Lehrer) with the following partners: CEREV (Centre for Ethnographic Research and Exhibition in the Aftermath of Violence); Concordia University; Festival of Jewish Culture, Krakow; POLIN – Museum of the History of Polish Jews, Warsaw; Jewish Community Centre in Kraków; Jewish Museum Galicia, Kraków.

##### **Main tasks attributed to the organisation:**

- To develop academic and artistic research, extensive surveys and investigations on the subject of vernacular Holocaust art (CCP2, WP5).
- To identify objects for the team's study and to construct a database of vernacular Holocaust art; to manage the database through the Ethnography Museum in Cracow.
- To develop theoretical approaches to objects and collected data.
- To develop new ways of mediating difficult collections and using them for educational purposes (in collaboration with WP3).
- To contribute to the conference and exhibition program on vernacular Holocaust art at the partnering institutions.
- To host regular workshops on contentious heritage and vernacular Holocaust art for stakeholders.
- To support with academic tools archival and pedagogical works of the institutional stakeholders.
- To support an exhibition program, building new ways of mediating difficult collections and using them in cooperation with other partners (owners of objects of vernacular Holocaust art).

##### **Previous experience relevant to those tasks:**

1. 2011- ongoing, Virtual Folk Woodcuts Museum, The Ethnographic Museum, Kraków. Exhibition was awarded Sybilla Prize for the best ethnographic exhibition in Poland in 2014. The project is co-financed by the Ministry of Culture and National Heritage as part of the Cultural Heritage programme, Folk Culture priority.

<http://www.folkwoodcuts.eu/projekt>

2. 2013 - *Souvenir, Talisman, Toy*, Exhibition on Jewish figures in Polish folk art

3. 2012- PhotoProxima: experimental work with archival photographic resources of several project partners from France, Italy and Poland. Financed by the European Union as part of the Małopolska Regional Operating Programme 2007–2013.

##### **Principal scientific and technical personnel involved:**

**Roma Sendyka (F)**, Assistant professor, director of the Research Center for Memory Cultures (Polish Studies, Jagiellonian University). Author of *The Modern Essay (2006)*, *From the I-Culture to the Self-Culture (2015)*, co-edited *Od pamięci biodziedzicznej do postpamięci (From Biohereditary Memory to Postmemory, 2013)*, *Pamięć i afekty (Memory and Affects, 2014)*, *Afektywne historie i polityki pamięci (Affective Histories and Politics of Memory, 2015)* *Nowa Humanistyka (New Humanities, Institute of Literary Studies, Polish Academy of Science)*. Visiting professor at the University of Chicago (2011 - Christian A. Johnson Endeavor Program), recipient of the Kosciuszko Foundation Grant (visiting fellow, University of Chicago 2011), recipient of an award within the Patterns Program (Erste Stiftung, Vienna, 2010-2012) for the project "(In)visible Loss. The Holocaust and the Everyday Visual Experience in Contemporary Poland and Central Europe"; EHRI research fellow at NIOD (Amsterdam, 2013). 1997-1999 junior fellow in the Volkswagen Stiftung research grant at University Osnabrück (Leader: prof. Manfred Spieker) *Katholische Kirche und Zivilgesellschaft in Osteuropa: postkommunistische Transformationsprozesse in Polen, Tschechien, der Slowakei und Litauen*. From 2011 she has coordinated annual summer schools in modern theory and memory studies for PhD-candidates in Poland (Transdyscyplinarne Szkoły Letnie, grant from the National Endowment for Humanities). Her work combines elements drawn from three major disciplines: literature, cultural studies and visual studies. She currently works on a project on non-sites of memory/ contested and abandoned locations of past violence in Central and Eastern Europe.

**Magdalena Zych (F)**, curator, research coordinator at the Ethnographic Museum in Cracow (MEK); PhD candidate at the Jagiellonian University in Cracow; Faculty of History, Institute of Ethnology and Cultural Anthropology. Since 2009, she has coordinated multi-annual multidisciplinary research projects at the Ethnographic Museum in Krakow: "The art of the allotment" on the culture of community gardens (2009-2012); "Wedding 21" about vernacular wedding rituals (2009-2015); "Soil" on the relationship of rural people with the land (since 2012). Zych is a member of a Polish-Belgian international team in Liège, working on the project "Migrants" (2013-2016, Museum of Walloon Life in Liège). In 2003 she was a research fellow in a programme at the Institute of Archaeology and Ethnology, National Academy of Science in a project entitled "Contemporary Carpathian village in Poland in terms of cooperation and mutual assistance".

**Erica Lehrer (F)** is a socio-cultural anthropologist and curator (PhD University of Michigan). She is currently Associate Professor in the departments of History and Sociology-Anthropology at Concordia University, Montreal, where she holds the Research Chair in Post-Conflict Memory, Ethnography, & Museology. She is also the founding director of the Centre for Ethnographic Research & Exhibition in the Aftermath of Violence. She is the author (among other publications) of *Jewish Poland Revisited: Heritage Tourism in Unquiet Places* (Indiana University Press 2013) and editor (with Michael Meng) of *Jewish Space in Contemporary Poland*. In 2013 she curated the exhibit *Souvenir, Talisman, Toy* at the Seweryn Udziela Ethnographic Museum in Krakow and in 2014 published the accompanying book *Lucky Jews* and the online exhibit [www.luckyjews.com](http://www.luckyjews.com).

**Wojciech Wilczyk (M)** is a photographer, author of essays and art critical texts, and curator of exhibitions. Curated the exhibition *Photorealism* (2003, Fotorealizm) at the Zderzak Gallery in Kraków. member of the Association of Polish Art Photographers (ZPAF) since 1997. He received the Scholarship of the Ministry of Culture and National Heritage (2001), and of the Ministry of Culture (2005). His major photographic projects include *Moscow Conducts the War* (Moskwa prowadzi wojnę) – a reportage series created in Moscow in 1995, during the war with Chechnya; *Symbolic Landscape* (Pejzaż symboliczny, 1992-96) documenting the process of the deconstruction of the Walenty-Wawel coke plant in Ruda Śląska. His work focuses on difficult heritage of (postindustrial or cultural, ethnic) pasts. His acclaimed "No Such Thing as an Innocent Eye" project (2006–2008) includes more than 300 photos depicting buildings in the present-day Poland which once served as synagogues, Beit Hamidrash and prayer houses. The "Holy War" project (2009-2014) he photographed graffiti and murals made by football supporters armed with abusive language and images using slogans and symbols.

#### **Relevant publications, services or other achievements:**

1. Erica Lehrer, *Jewish Poland Revisited: Heritage Tourism in Unquiet Places*, Indiana University Press, Bloomington 2013.
2. Erica Leher (with Michael Meng, eds.), *Jewish Space in Contemporary Poland*, Indiana University Press, Bloomington 2015.
3. [www.luckyjews.com](http://www.luckyjews.com): online exhibit of the *Souvenir, Talisman, Toy* exhibition at the Ethnographic Museum, Kraków (vernacular sculpture and the figuration of Jews in Poland), 2013.
4. Roma Sendyka, *Understanding a non-site of memory* (non-lieu de memoire), transl. by J. Croft, in: *EuTropes. The Paradox of European Empire*, ed. J. W. Boyer, B. Molden, "Cahiers Parisienne", vol. 7, Paris 2014.
5. Roma Sendyka (with R. Nycz, Z. Budrewicz, eds.) *Pamięć i afekty [Memory and Affects]*, Warsaw: IBL, 2014.

#### 4.1.10 Ulster University (P10)

##### Brief description of the organisation

The **Ulster University** was established in 1968 as the New University of Ulster. In 1984 it merged with Ulster Polytechnic to become University of Ulster operating across four campuses in Northern Ireland. However it can trace its roots back to 1845 and 1849 respectively when Magee College was founded in Derry and the School of Art and Design was established in Belfast. The 2014 REF (Research Excellence Framework, a peer review of Higher Education in the UK) ranked Ulster University as one of the top five universities in the UK for world-leading research in law, biomedical sciences, nursing and art and design. The University has recently rebranded itself as Ulster University (2014).

**Research Institute for Art and Design (RIAD)** supports and promotes research conducted by UU staff. RIAD performed exceptionally well in the most recent 2014 REF, receiving a 4\* rating. O' Beirn is a member of RIAD. This institution has supported the practices of O' Beirn & Krenn. O' Beirn and Krenn propose working with Collaboration with organisations / individuals campaigning for more equitable built environment. They deal with problematic urban issues and are ideally placed to partner in investigating Long Kesh / Maze.

##### Main tasks attributed to the artistic research team:

- To conduct artistic research into Long Kesh Maze as a physical and conceptually difficult site (CCP5).
- To document the site using various means e.g. photography, film, audio recordings, interviews and castings of architectural details.
- To organise dialogical discussions with interested participants who might not agree on the sites' immediate interpretation or future use.
- To use the site to consider a more international approach in discussing how post conflict societies deal with such difficult sites.
- To build a Utopian model derived from research with interested parties, which does not claim to present solutions, but proposes to allow productive debate.
- To launch a website that will act as a repository for our documentation / interviews and research findings.
- To contribute and feed back research to WP1.
- To develop strategies for educational interfaces with various stakeholders (in collaboration with WP3).

##### Previous experience relevant to those tasks (up to 5):

1. O' Beirn, Aisling Quaternion Quest (2014), The LAB, Dublin, solo show curated by S. Barrett, Sept 14 <http://www.aislingobeirn.com/quaternion.htm>.
2. O' Beirn, Aisling Quantum Questions For Dummies, Dadapost Berlin curated by M.Hager and H. McCaleb, (2011), <http://www.aislingobeirn.com/quantum.htm>.
3. O' Beirn, Aisling History Now, 1999 Artist residency in Long Kesh prison.
4. Martin Krenn Gedenktafel Hotel Metropole (2015), <http://oe1.orf.at/hotelmetsropole>.
5. Martin Krenn World's End (2011 – 2013), [http://www.martinkrenn.net/?page\\_id=1937](http://www.martinkrenn.net/?page_id=1937).

##### Principal scientific and artistic personnel involved:

**Aisling O' Beirn (F)** is an artist based in Belfast and lecturer in Fine Art at the University of Ulster. She was awarded a PhD by the University of Ulster in 2005. She has exhibited nationally and internationally being one of the artists chosen for Northern Ireland's first participation in the 51st Venice Biennale. She is a member of the group Centrifugal consisting of artists, architects, theorists and curators from Zagreb Helsinki and Belfast, investigating notions of peripherality in a European context. She is a co-founder of CROW (City Right of Way) organising regular vernacular walks exploring overlooked urban spaces. [www.crowwalks.blogspot.com](http://www.crowwalks.blogspot.com) Her current sculptural work explores space as a physical structure and political entity by making and animating forms relating to observed and theoretical structures being studied by contemporary astronomers and physicists. This work, facilitated by Armagh Observatory and Dunsink Observatory (Dublin) is an extension of previous work on the relationship between the politics of place. The work takes various forms including sculpture, installation animations and public temporary projects. [www.aislingobeirn.com](http://www.aislingobeirn.com)

**Martin Krenn (M)** is an artist, curator and lecturer at the University of Applied Arts in Vienna, Austria. His work is represented by Galerie Zimmermann Kratochwill, Graz. International solo shows include Graz (Neue Galerie), Vienna (Kunsthalle Exnergasse and Passagegalerie Künstlerhaus), Salzburg (Salzburger Kunstverein and Galerie 5020), Brest (Centre d'art Passerelle), Ljubljana (Mala galerija Cankarjev Dom), and Bucharest (Centre for Visual

Introspection). Krenn's research focuses on historical lapses and blind spots in official versions of history. He cooperates with theoreticians, artists and students, investigating the relationship between monuments, history and politics. He collaborated with the University of Applied Arts Vienna on an open call to transform the statue of Karl Lueger, former anti-Semitic, Viennese mayor (1897 -1910), into a monument opposing anti-Semitism and racism in Austria. Krenn and a pressure group are still negotiating to realise the winning proposal. Krenn and Andrea Domesle curated "On the Tectonics of History" (2005 – 2009). This show travelled through Europe with its last stop at ISCP, New York. The exhibition exposes historical traces of the Nazi era and reflects on how present day society deals with this time-period. [www.martinkrenn.net](http://www.martinkrenn.net)

**Relevant publications, services or other achievements (up to 5):**

1. Aisling O'Beirn, The Centrifugal Book of Europe, contributor, The Third Space, Belfast 20105 & ,Some Actions Around the Centrifugal Book of Europe' Book launch & events (organisor).
2. Aisling O'Beirn, Art Can Function on Different Levels, Can't It?', The Third Space, Belfast.
3. Aisling O'Beirn, A Constellation of Derry Nicknames (or so I'm told), Fugitive Papers, 4 Summer 2013, Eds., cutaya, M., Merrigan, J., Galway 2013, [http://www.fugitivepapers.org/pdfs#!\\_\\_pdfs](http://www.fugitivepapers.org/pdfs#!__pdfs).
4. Martin Krenn, Handbook for a Redesign of the Lueger Monument, Krenn and students of the University of Applied Arts Vienna/ Art and Communication Practices: Vienna 2011, ZVR: 662773619.
5. Martin Krenn, Perspektiven auf ein politisches Kunstprojekt im öffentlichen Raum – Statt Rassismus, Studia Universitätsverlag Innsbruck; Auflage: 1.Auflage, 2011.

#### 4.1.11 Domestic Research Society (P11)

##### **Brief description of the organisation:**

The Domestic Research Society (DRS) is a non-profit artistic and curatorial collective based in Ljubljana, Slovenia. It was established in 2004 to record, collect, research and present domestic phenomena. The members have been active in the fields of contemporary art and heritage since 1991. They strive to conduct collaborative and interdisciplinary research, which enables the development of innovative approaches in contemporary art, by actually addressing a broader audience. They have collaborated with numerous contemporary art institutions and public art & new media spaces (Škuc Gallery; City Gallery Ljubljana; Centre for Contemporary Art Celje; Museum of Modern Art Ljubljana; Museum of Modern and Contemporary Art Rijeka; Pensart and Espacio Trapezio, Madrid; Shinbun Onna Gallery, Osaka; Ljudmila, Ljubljana Digital Media Lab), heritage institutions (National and University Library, City Museum Ljubljana, National Museum of Contemporary History) and academic institutes (University of Ljubljana, Université Paris Ouest Nanterre). The Domestic Research Society has developed innovative collaborative projects that have significantly changed the notion of heritage, authority (including the artist's), artwork & art projects (a shift towards an ongoing, sustainable activity), and transformed the role of a general visitor or spectator into an active participant. Each project, however, was designed bottom-up, considering the different inputs from the participants and stakeholders.

##### **Main tasks attributed to the organisation:**

Main tasks of CCP3 will be carried out in collaboration with the heritage institutions in Slovenia and their stakeholders (National and University Library, Museum of Modern Art, the City Museum Ljubljana, etc.)

- To research the existing collections of death masks and the phenomenon of their omission from the public displays.
- To generate a suitable interdisciplinary methodology and invent formats of public events that will encourage the participants' contribution.
- To provide documentation and data for the project's overall analysis of the state of the art of artistic intervention and co-production in the field of heritage transmission.
- To create a digital database of the death mask collections and contextualise their significance
- To establish a unique digitised cross-museum collection on the representation of death, provided, maintained and contextualised by the involved heritage institutions.
- To develop and document a creative co-production methodology of research and public presentation that will serve as a reference or a set of recommended guidelines for the stakeholders (in collaboration with WP1).
- To engage stakeholders in the formation of an education programme around the topic of the research (in collaboration with WP3).

##### **Previous experience relevant to those tasks (up to 5):**

1. *Hard Facts* (2012-2013): An international research project exploring the difference between media- or science-generated history and history constructed by ordinary people. The project was supported by the European Cultural Foundation. It focussed on material culture in the private realm and took place in Ljubljana (Slovenia), Rijeka (Croatia) and Madrid (Spain).
2. *Domestic Spider* (ongoing since 2008): Research into the geographical, technological and design characteristics of an overlooked phenomena – a metal wall spider, an ornament that has been adorning the walls of Slovenian homes for over 60 years. A documentary on the project was shown on a national TV programme as well as in the Museum of Modern Art in Ljubljana.
3. *Word for Word Without Words* (2010): An interdisciplinary research project and a multimedia exhibition (Mestna galerija Ljubljana) based on a literal translation of language idioms into objects and visual art works. It juxtaposed over 40 vernacular, artistic and museum artefacts.
4. *Animals 1914-1918* (ongoing since 2004): A research project on the role of animals in World War I. In 2014 DRS members painted the Animal Danse Macabre, a 7-metre canvas. It was premiered at 1906 metres of altitude at the Mount Mangart hut (close to the WW1 Isonzo front) and is on tour until 2018.
5. *The Cabinet* (2005-2010): A temporary mobile exhibition laboratory featured eight exhibitions as display experiments, hosting several authors and collectors. Although functioning as a contemporary black cube, it was inspired by the historical cabinets of curiosity.

**Principal scientific and artistic personnel involved:**

**Jani Pirnat (M)**, art historian and free-lance curator. Working experience in art mediation programmes for people with learning disabilities and disorders; in 2008 he received a national licence of museum curator of tangible heritage and worked also in the National Museum of Slovenia (conservation, multimedia advisor on museum displays). As a contemporary art curator he has worked at the Škuc Gallery in Ljubljana and in the Centre for Contemporary Arts Celje. He held two longer residencies in China (2009-2010) and Japan (2013-2014).

**Alenka Pirman (F)**, contemporary artist and PhD student of heritology (museum studies) at the Faculty of Arts, University of Ljubljana. Since 1991 she has worked as a visual artist, collaborating with various museums with an emphasis on police museums. She held several 1-2 month residencies (Belfast, Beirut, Vienna). Research/Interest: exhibitions, difficult heritage display, visual and material language of truth-making, (neo)conceptual art.

**Damijan Kracina (M)**, sculptor, (new) media artist, scenographer and teacher. He was the founding member of the Provokart art group and the founder and art director of ARTileria Festival in the Kluže Fortress (1997-2000). Residencies at the Tamarind Institute Albuquerque (2002) and at the SFAI Santa Fe, both in New Mexico (2004) were of particular importance for his career and the foundation of DRS. He teaches at the School for Design and Photography in Ljubljana.

**Katarina Toman Kracina (F)**, painter interested in the introduction of domestic crafts in contemporary artworks. She has followed her family's tradition and became an expert in restoration and conservation. She is a head of the Conservatory Centre of the City Museum of Ljubljana.

**Relevant publications, services or other achievements (up to 5):**

1. *Hard Facts blog* (2012-2013), a companion to a hands-on critical analysis of the methodological approaches in dealing with heritage in contemporary arts (Ljubljana-Rijeka-Madrid). The main principles: crowd-sourcing, public domain. Supported by the European Cultural Foundation.
2. *Unleashed Tongue* (ongoing since 2004), an extremely popular free online dictionary of the Slovenian spoken language and slang. Technological platform: wiki; the main principles: open source, crowd-sourcing, free licence (over 2,000 anonymous users have contributed over 3,000 articles). In 2007 and 2014 two books were printed (almost sold-out); the wiki also serves as an alternative source for academic research.
3. *Indija.si* (ongoing since 2008), Indija.si is an online bookshelf and alternative publishing project. Its main principles: open source, open access, public domain. It was developed in collaboration with Ljudmila, Ljubljana Digital Media Lab, and Ljubljana International Graphic Centre (MGLC).
4. *The Artwork book series* (2007-2010), DRS also published a series of original analytical texts on historical or contemporary artwork by 11 different authors. This groundbreaking series was co-produced with the Škuc Gallery and Centre for Contemporary Art Celje.

**4.2. Third parties involved in the project (including use of third party resources)**

No third parties involved.

## 5 Ethics and Security

### 5.1 Ethics Statement

#### 5.1.1 Ethical approach in the TRACES research activities

Part of TRACES' remit is challenging the way contentious heritage is perceived and dealt with on different levels, and fostering awareness of ethically sensitive matters. Hence development of and research on ethics in dealing with heritage are in themselves at the core of the entire TRACES research and production process, rather than merely a side effect. The TRACES research requires particularly careful attention to ethics standards for three reasons.

- First, it relies on research interactions involving contentious heritage. This touches on complex psychological and political issues. Even research participants who would not usually be seen as vulnerable may become so when reflecting on contentious heritage.
- Second, the research is consciously set in regions and communities which have been marginalised within Europe in cultural, linguistic, or economic ways. Thus research participants are potentially vulnerable to further marginalisation or stigmatisation.
- Third, it is based on anthropological and qualitative social science research. It will not only recruit research participants, but work practically with volunteers on specific contentious heritage community projects, especially in the CCPs.

As TRACES “addresses complex questions drawing upon multidisciplinary perspectives and multi-professional teams of researchers”, it balances responsibilities between individuals and institutions to achieve “a form of distributed collective responsibility” (Iphofen 2013:13). This includes research subjects, collaborating institutions (NGOs, museums, community groups), individual researchers (including artists, ethnographers, social scientists and facilitators), and WP leaders/ TRACES consortium.

#### Set of overall measures to ensure improved consideration of ethical aspects within TRACES

Each partner will be held responsible for fulfilment of all legal and ethical requirements in his/her country. The Steering Committee will support this by periodically discussing relevant ethical issues, evaluating ethical project aspects and monitoring adherence to national and EU ethical standards (responsibility of WP7, D7.2).

With support of WP5 he will set up an ethics advisory board group (D7.3) to consult and provide support on ethical issues as well as carry out an ethics preparation session at the kick-off meeting.

In collaboration with the CCPs, WP3 will re-assess and extend in continuous reflection the principles in dealing ethically with contentious heritage in diverse groups and settings.

TRACES research activities will be scrutinised and approved by the Research Ethics Committee being in charge of the participating universities e.g. Ulster University (for CCP5) and Klagenfurt (for the entire concept and WP4).

#### 5.1.2 Humans

##### Clarification of vulnerable individuals/groups involved

- People and NGOs involved in or dealing with ‘the conflict’ in Northern Ireland (CCP5)
- Holocaust survivors and members of the Jewish community (CCP1)
- Visitors of museums or exhibitions confronted with contentious collections, including children or participants of museum education projects (CCP2, CCP3, CCP4, WP5, WP3)
- Inhabitants of rural areas that face economic and cultural crises (WP4: Romania, Poland, areas of crises in Italy and south Carinthia)
- Inhabitants of an urban area currently undergoing urban restructuring, causing loss of familiar environments and social structures, and – in some cases – loss of homes (WP4: London)
- Members of black communities in London and members of a migrant community in Italy that might have experiences with racism and exclusion (WP4, WP2)
- Children and young people participating in educational programs (Oral history project of CCP1)

##### Measures to ensure ethical research

Standard ethical guidelines require appropriate procedures for participant information and obtaining voluntary



informed consent, and obtaining ethical approval. For each research action, TRACES will provide:

- Voluntary informed consent forms or oral consent cards (where reasonable, see below)
- Participant information sheets (until M3)
- Copies of ethical approvals where needed before the begin of any research action. (P1 UNI-KLU, P10 UU)

Voluntary informed consent is usually obtained in written form. However, qualitative approaches in anthropology, social science and humanities may bring up situations where standard procedures for written consent are harmful or offensive to the participants, rather than providing them with protection. The EU ethics guide for anthropology and ethnography (Iphofen 2013) and the EASA ethics network of the European Association of Social Anthropologists (EASA, see section guidelines below) recommend a processual consent procedure, and state that in face-to-face situations, the giving of oral consent “does appear more natural and consequently more consistent with the ethos of qualitative enquiry”. In such situations, for instance in informal settings, TRACES researchers will obtain and document oral consent.

### ***Informed consent procedure***

In order to avoid any discomfort, distress or harm, TRACES will ensure that research participants (respondents, volunteers, participants in community actions etc) are adequately informed about the research and its implications, and that voluntary informed consent will be obtained. The challenge in developing a consistent informed consent procedure for TRACES is that its research actions are drawing upon multidisciplinary perspectives and multi-professional teams of researchers. They include ethnographic fieldwork, action research and art-based activities and take place in different areas, contexts and institutions. Hence a single standardized consent procedure would be inappropriate. In the ethnographic studies (WP2, WP4) and to an extent in the CCPs, consenting will be embedded in a fluid process rather than constituting an isolated event, with “distinctive markers throughout” (Iphofen 2013:29). For instance, in WP4 participant information will not only be given to individuals, but also to the public using local and social media, and a trust relationship will be built over time, taking into account advice and commentary from participants. Therefore, each research- and production team will develop its own informed consent procedure based on the specific needs of participants and the project as a whole. Participant information and consent forms or cards will be communicated in appropriate language, ensuring that research participants know that they are taking part in the TRACES project, and what their consent entails. Participant information sheets will be made available. Where appropriate, information will be given and consent obtained orally, for instance in informed consent meetings or using oral consent cards. In some cases, social and local media will be used additionally (e.g. WP4).

### ***Participant information***

TRACES researchers will ensure that participants are informed about

- Voluntary participation: Participants will be ensured that their participation is entirely voluntary.
- Right to withdraw: participants will explicitly be made aware of the right to withdraw their participation or data at any point during the research action without any consequences, for instance if they do not want to or feel they cannot continue engaging with the contents. This refers to all research actions, including exhibition related programmes (including children and their legal guardians), educational actions, focus groups related to the CCPS such as oral history programs, and ethnographic interaction.
- Implications of participating in the research action
- Confidentiality and privacy regarding personal data will be granted.
- Anonymity: Unless explicitly agreed otherwise, respondents identities will be anonymised<sup>12</sup>
- Aim and content of the research action
- Methods of the research, and details of the specific interaction (interview, oral history, community action, workshop etc)
- Contact details of the researcher and respective WP leaders
- the TRACES project (including link to online information)
- Access to research outcomes: Participant will be offered access to outcomes of workshops, focus-groups discussions, or interviews, and to project reports if they are interested.

### ***Obtaining voluntary informed consent***

On the basis of participant information, voluntary informed consent will be obtained in the following ways:

<sup>12</sup> The project also involves actions (such as participatory projects with communities) where an omission of the participants' names would deny their authorship.

- Every researcher and artist will ask participants for consent for recording, taking pictures and using collected data. Interactions will be only be documented if permitted (MP3, note-taking, photography)
- Consent will be documented (written, protocol or audio-recording)
- Consent will be obtained if any direct citation is planned.
- Consent will be obtained for any formal research interaction with individuals (oral history, interviews) or groups (community action, community development approach, museum research, focus groups, workshops).

### **Special case: Unconsented observational study**

Some research actions include ethnographic or artistic forms of participant observation (WP1?, WP2, WP4), where the researcher notes everyday behaviour mainly without engaging in formal research interaction, and often without the subjects' knowledge. Such observations provide valuable insight in practices concerning contentious heritage. Regarding consent, TRACES follows the EU ethics guide, which states: "It would not be expected that retrospective consent for such commentary should (or even could) be sought. (...) But it [unconsented observation study] must be employed with care and sensitivity to the individual's awareness that their accounts and behaviour might be 'collectable' and reportable in a research study" (Iphofen 2013:47). This will be achieved by transparency about the observers' role as a researcher. Great care will be taken to respect the rights of others. Participant observation, especially when conducted in private spaces, is inevitably to a certain degree intrusive. In such cases, the right to privacy and public interest will be carefully balanced.

### **Identifying and recruiting research participants in sensitive settings**

This section refers to TRACES research actions which are situated in sensitive settings and work with groups which are vulnerable due to the setting: WP4 ethnographic field work and the related CCP1 and CCP5.

**WP4** conducts ethnographic research in an underdeveloped rural region (Alps-Adriatic) and a multi-cultural urban neighbourhood facing urban restructuring (Brixton, London). Some groups of residents have been stigmatised due to their linguistic, historical or social identities or their cultural backgrounds. This includes, for instance, immigrants from the West-Indies and their descendents, the unemployed, council tenants or squatters (London), and speakers of Furlan (Alps-Adriatic). Respondents will be identified and and recruited in a respectful and sensitive process. The recruitment process will unfold organically during fieldwork.

The research will be carried out by experienced ethnographers and artists. Advanced students will participate after extensive training in ethnographic methods in addition to theory and regional specifics. In the Alps-Adriatic region, the civic organisation UNIKUM (part of P1 UNI-KLU) is well respected for their long-term creative heritage work. The urban research will be conducted by an experienced ethnographer who has previously been involved in community work in the area. All researchers will use their awareness of the difficult, but also empowering cross-cultural relationships and of the social implications of specific conflicts to approach potential participants adequately and respectfully. In both fields, residents have been consulted during the development of the research design. The following measures will be taken:

- Trusted research relationships are essential and rely on strict confidentiality. They will be established on the basis of professional experience and previous involvement in community and heritage work of TRACES.
- Concerns, suggestions and views from members of the respective communities will be taken on board throughout on the basis of the processual and dialogic character of reflexive ethnography.
- Transparency will be ensured by informing the public using local and social media.
- Potential respondents will be made aware of purpose and scope of the research via participant information sheets or in consent meetings to ensure that decision to participate (or decline) is well informed.
- Voluntary informed consent will be obtained using oral consent cards or, where possible, consent forms.
- Throughout the recruitment process, it will be emphasised that participation in the research is entirely voluntary, that privacy will be respected and that research interactions will be treated with strict confidentiality.
- Respondents from different social positions and groups will be balanced to avoid exclusion. Community members will be consulted to identify further potential respondents (snowball sampling). Participant observation in a range of relevant activities will provide opportunities to identify and recruit potential individual respondents in appropriate settings.
- Throughout the recruiting process, the need to approach respondents will be carefully balanced with the risk of intrusive or potentially damaging interaction.

**CCP1 (Medias, Romania):** The researchers and NGO members have been doing heritage work and research in Medias (Romania) for several years. They are familiar with the Jewish and multi-lingual heritage of the region and its issues and are well embedded and accepted in the communities. In the oral history part, research participants will be identified and recruited in the course of school history classes and via students' family connections. Participant information sheets and informed consent forms – also for parents or legal guardians – will be delivered beforehand.

**CCP 5 (Northern Ireland)** needs to ensure its ability to respond sensitively to any ongoing political changes or developments over the course of the project. Therefore, all NGOs / Charitable Trusts currently working in the field of the 'conflict' will be treated equally. All participants will be approached carefully as a part of the research process; voluntary informed consent will be obtained; this procedure ensures that the conflict will be dealt with in the most sensitive way. The procedure at UU for researchers is to seek ethics approval through the Research Ethics Filter Committee at UU. Once ethics approval has been secured all participants are given an information sheet and sign a consent form. They have the option to opt out of the process at any stage should they so choose.

## **Preventing risk of enhancing existing vulnerability/stigmatisation**

### ***Measures in educational, artistic and community work (mainly CCPs and WP3)***

All CCPs are in close contact with local communities, NGOs and stakeholders, which have been working on the specific conflict. They will use this knowledge to prevent every risk of enhancing vulnerability/stigmatisation. One of the main purposes of TRACES is to develop a cooperative climate within and through the CCPs and their stakeholders. The CCPs will be supported throughout by WP1 to develop and implement best practice in ethical standards in their communication and work with vulnerable groups. All CCPs will be supported in their sensitive stakeholder work by WP3, where development and research on stakeholder implementation is a main task. Members and lead of WP3 are internationally acknowledged experts in the field of museum communication on sensitive histories.

For the collaborative research actions, specific methods will be used and developed to empower participants to express themselves. For instance, conducting oral history interviews through of a checklist of questions may bear the risk of enhancing vulnerability. Therefore participants in the CCP1 oral history project will be asked to choose 1-3 objects of heritage which they took with them upon emigration or, in the case of those who remained in Medias, which are of particular value to the respective individual. By explaining the stories behind the objects and the personal value they bear for the individual, a sensitive communication setting is established and new stories and memories are brought into the open.

### ***Provisional set of principles for artistic, educational and community work***

The CCPs and WP3 have drawn up a provisional set of principles and 'areas of attention' for the community work in the CCPs and educational projects. It will serve as the basis for overall principles:

- Increased attention will be given to conflicting lines of inequality in all programmes. For instance, a focus on historical and present racisms, should not divert attention from (symbolic) violence enacted on the basis of gender, age, ability within a group or in programme conception.
- Not every conflicting point of view has to be expressed in clear words to be taken into account. It is recognised that the most relevant 'entanglements' need time to be formulated, and sometimes need 'safe spaces' to be pronounced.
- All participants in actions concerning contentious heritage (educational programmes, focus groups, artistic interventions) have the right to withdraw from the programme at any time, for instance if they do not want to or feel they cannot continue engaging with the contents. This right will be actively pronounced.
- The role of teachers or persons in a direct position of power towards the participants will be carefully discussed for each space of interaction to avoid indirect coercion in participating in activities and pronouncing opinions, or negative consequences for participants due to opinions expressed or actions taken in the programme.
- In collaboration between heritage institutions and stakeholder groups and organizations, especially of vulnerable groups, the imbalance of power (access to resources, potential for taking advantage of the project publicly, etc.) will be discussed transparently from the start of the collaboration. Measures will be taken to ensure horizontality and reciprocity in the collaboration (e.g. structures for joint decision-making, agreement on who controls the representation of the project and development of possibilities to share this representation)
- Reflection on possible consequences of representing the data, and on who has to be involved in the

decisions, will be explicitly part of every action.

- In the collection of demographic data, we follow a reflective approach regarding population categories (ethnicity/gender/origin, e.g. possibility for self-definition and rejection of categories, e.g. “male”, “female”, “other”, “I don’t care”; or “Do you consider yourself as white?”) to prevent re-stigmatisation.

### ***Measures in ethnographic work***

Ethnographic research is well placed to prevent risk of causing harm or distress to research participants due to its reflexivity and its processual flexibility. This requires taking participants’ concerns and views into consideration at all times and not excluding groups because they may be difficult to approach. WP4 combines this with a community-led development approach. This methodology and research attitude corresponds with the provisional set of principles and ‘areas of attention’ outlined above. The three main instruments for risk prevention are: Reflexivity will help researchers to develop appropriate language and behaviour in addressing sensitive topics. Reflection on their own position in relation to field actors will enable them to develop a clear role as researchers to avoid disappointment, harm or distress. Irritations and open questions will be recorded in a field diary. This will be the main instrument for reflecting research relationships, power relations (for instance when a white researcher works with members of black communities in the urban research field), actions and consequences for participants. The field diary “acts as a retrospective check on reliability and validity but can also aid the researcher in active ethical decision making” (Iphofen 2013:17). To avoid exclusions or subconscious stigmatisation, the ethnographic researcher will participate in fieldwork supervision led by a professional supervisor (Becker et al. 2013). Purpose and time-frame of the research will be clearly communicated.

Processual flexibility means that the research and methodology are continuously adapted to the dynamics of the field. This allows researchers to respond sensitively to participants’ needs and concerns. Narrative interviews, for instance, rely on flexible interview guides rather than fixed questionnaires, allowing respondents to decide what they wish to share. Some respondents may feel more comfortable with informal ethnographic conversations. Others may invite researchers to participate in heritage-related events, but not agree to give interviews. Some may welcome group sessions. Participants will be made aware of the possibility to partially or completely withdraw from the research at any time. Researchers will accommodate participants’ needs and potential reservations regarding extent and frequency of interaction as well as depth and intensity of topics discussed. Researchers will thus respect and protect participants’ boundaries.

Community-led development approach enhances and develops formats and methods for community self-empowerment. Ethnographers and artists will collaborate with a variety of field actors. This includes the UNIKUM public performances, the Brixton workshop on representing memories, and the Selfie activities. WP4 researchers regard self-empowerment as one of the best ways to prevent the risk of enhancing vulnerability/ stigmatisation. Nevertheless, the potential benefit of the research for residents will not be over-emphasized to avoid disappointment and distress.

### **5.1.2 Protection of Personal data**

TRACES will collect contextualised materials in specific, known regions, cities or villages. These will contain personal data such as materials generated through ethnographic fieldwork or qualitative interviews. Informed voluntary consent will be obtained for scientific use by TRACES researchers (e.g. evaluation of interviews) and confidentiality will be granted to participants. To protect respondents’ privacy, their names will be anonymised, and lists of real names will be kept separately except otherwise agreed. The project also involves actions (such as participatory projects with communities) where an omission of the participants’ names would deny their authorship.

Storage of TRACES research material will need to balance public and scientific interest with the need to protect respondents’ privacy. Even though names will be anonymised, external users of original data may be able to deduct the identity of individual research participants. This may potentially cause harm to respondents. Consent for scientific use in TRACES does not extend to general access for the scientific community or the public as a whole, for instance in publicly available open repositories.

### **Collection and/or processing of personal sensitive data**

For data collection involving people, TRACES has chosen qualitative, especially ethnographic methods as appropriate for this research both in terms of knowledge production, and in ethical terms. Qualitative and ethnographic research relies, amongst other methods, on qualitative interviews. These may contain personally sensitive data.

Data collection may involve digital recording and pictures of voluntary participants in stakeholder workshops,

interviews, focus groups discussions, art-based actions and ethnographic interaction. They will be stored in a password protected data space and kept for continuing use for research purposes only. We do not foresee exchange of these data or their commercial use.

### **Open Research Data Pilot**

A trusted research relationship is the cornerstone of avoiding risk of stigmatisation or marginalisation of vulnerable groups. Amongst others, this is based on confidentiality, especially where qualitative methods are used, where respondents often disclose personal and potentially sensitive data. Research participants must be assured that the data will only be used by TRACES researchers, and not be taken out of context. In order to protect the identity and privacy of potentially vulnerable groups, TRACES will need to opt out of the Open Research Data Pilot.

TRACES needs to opt out of the Open Data Pilot, because

- *participation in the Pilot on Open Research Data is incompatible with the need for confidentiality in connection with security issues.*

The security of people in communities with contentious heritage can only be ensured if their data are treated confidentially

- *participation in the Pilot on Open Research Data is incompatible with existing rules concerning the protection of personal data;*

In TRACES, personal data cannot be protected simply by anonymising the names of respondents, because the fields of research are known, and data will be collected with reference to these specific fields of research. If, however, every reference to specific settings and functions (geographic names, associations, civic functions) are anonymised, the data lose their contextualizing values.

- *participation in the Pilot on Open Research Data would jeopardise the achievement of the main aim of the action;*

The main aim of TRACES is to provide best practice examples based on confidential interaction with relevant respondents. These interactions are only possible if strict confidentiality can be guaranteed. While results and analysis can be published, the raw data cannot in order to protect respondents. If all raw data need to be made publicly accessible, the TRACES researchers are unlikely to be able to collect the necessary data for the analysis.

However, as already stated above, the TRACES project is problem-oriented. Its general objective is to contribute to European/ worldwide research; as a matter of course we intend for others to benefit from the results achieved. The project has an intense field research component and aims to promote a potent exchange between the research community and local actors.

Drawing on this statement, the TRACES partners commit themselves to carefully consider the possibility of participating in the open data pilot over the course of the project, depending on whether the nature of the collected data will permit such participation and whether this will strengthen the impact of the research activities developed within the project.

### **5.1.3 Non-EU countries**

TRACES has partner institutions in Norway (P4, UiO) and Switzerland (P5, ZhdK).

We confirm that the ethical standards and guidelines of Horizon2020 will be rigorously applied, regardless of the country in which the research is carried out, also in Switzerland and Norway.

### **5.1.4 Used guidelines on ethical standards**

Amongst others, the following guidelines on ethical standards have been consulted:

Iphofen, Ron (AcSS) (2013): Research Ethics in Ethnography/Anthropology. Published by European Commission, DG Research and Innovation. Online: [http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/ethics-guide-ethnog-anthrop\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/ethics-guide-ethnog-anthrop_en.pdf)

Macdonald, Sharon (2009): Making Ethics, in: Ethnographic Practice in the Present, ed. M.Melhuus, J.Mitchell and H.Wulff, 80-94. Oxford: Berghahn, pp 80-94

The National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research: The Belmont Report. Ethical Principles and Guidelines for the Protection of Human Subjects of Research.

DHEW Publication No. (OS) 78-0014. Online:

[http://videocast.nih.gov/pdf/ohrp\\_appendix\\_belmont\\_report\\_vol\\_2.pdf](http://videocast.nih.gov/pdf/ohrp_appendix_belmont_report_vol_2.pdf)

Recommendations of the EASA ethics network. Online: <http://www.easaonline.org/networks/ethics>

For guidelines on data retention, major archive sites will be consulted on the policies for qualitative research in the UK:

<http://www.qualidata.essex.ac.uk>

<http://www.dipex.org.uk>

Extensive information on data protection policies and regulations across Europe can be found on the RESPECT project website: [www.respect.org](http://www.respect.org) (source: Iphofen 13)

For information data archiving licences with depositors and a downloadable option for the respective form, the website of the UK Data Archive will be consulted:

<http://www.data-archive.ac.uk/depositingData/LicenceAgreement.asp>

## 5.2 Security

Please indicate if your project will involve:

Activities or results raising security issues: (YES/NO)

'EU-classified information' as background or results: (YES/NO)

## ESTIMATED BUDGET FOR THE ACTION (page 1 of 2)

Estimated eligible <sup>1</sup> costs (per budget category)									EU contribution			Additional information			
A. Direct personnel costs		B. Direct costs of subcontracting	[C. Direct costs of fin. support]	D. Other direct costs	E. Indirect costs <sup>2</sup>	Total costs	Reimbursement rate %	Maximum EU contribution <sup>3</sup>	Maximum grant amount <sup>4</sup>	Information for indirect costs	Information for auditors	Other information:			
A.1 Employees (or equivalent) A.2 Natural persons under direct contract A.3 Seconded persons [A.6 Personnel for providing access to research infrastructure]		A.4 SME owners without salary A.5 Beneficiaries that are natural persons without salary		D.1 Travel D.2 Equipment D.3 Other goods and services D.4 Costs of large research infrastructure						Estimated costs of in-kind contributions not used on premises	Declaration of costs under Point D.4	Estimated costs of beneficiaries/ linked third parties not receiving EU funding			
Form of costs <sup>6</sup>	Actual	Unit <sup>7</sup>	Unit <sup>8</sup>		Actual	Actual	Actual	Flat-rate <sup>9</sup>							
							25%								
	(a)	Total (b)	No hours	Total (c)	(d)	(e)	(f)	(g)=0,25x ((a)+(b)+ (c)+(f) +[(h1)+(h2)]- (m))	(i)= (a)+(b)+(c)+ (d)+(e)+(f)+ (g)+(h1)+(h2)+(h3)	(j)	(k)	(l)	(m)	Yes/No	
1. UNI-KLU	376000.00	0.00	0	0.00	0.00	0.00	75000.00	112750.00	563750.00	100.00	563750.00	563750.00	0.00	No	
2. POLIMI	217000.00	0.00	0	0.00	73000.00	0.00	125000.00	85500.00	500500.00	100.00	500500.00	500000.00	0.00	No	
3. UBER	305600.00	0.00	0	0.00	0.00	0.00	24000.00	82400.00	412000.00	100.00	412000.00	412000.00	0.00	No	
4. UNIVERSITY OSLO	175110.00	0.00	0	0.00	0.00	0.00	125000.00	75027.50	375137.50	100.00	375137.50	375137.50	0.00	No	
5. ZHDK <sup>13</sup>									407193.75						407193.75
6. Hosman Durabil	40800.00	0.00	0	0.00	0.00	0.00	25035.00	16458.75	82293.75	100.00	82293.75	82293.75	0.00	No	
7. NHM	8000.00	0.00	0	0.00	0.00	0.00	14000.00	5500.00	27500.00	100.00	27500.00	27500.00	0.00	No	
8. UEDIN	36880.00	0.00	0	0.00	0.00	0.00	29120.00	16500.00	82500.00	100.00	82500.00	82500.00	0.00	No	
9. UJAG	39040.00	0.00	0	0.00	0.00	0.00	24960.00	16000.00	80000.00	100.00	80000.00	80000.00	0.00	No	
10. ULster	50862.00	0.00	0	0.00	0.00	0.00	28480.00	19835.50	99177.50	100.00	99177.50	99177.50	0.00	No	
11. DRS	54000.00	0.00	0	0.00	0.00	0.00	10800.00	16200.00	81000.00	100.00	81000.00	81000.00	0.00	No	
Total consortium	1590469.00	0.00		0.00	73000.00	0.00	519973.00	527610.50	2711052.50		2303858.75	2303358.75	0.00		407193.75

## ESTIMATED BUDGET FOR THE ACTION (page 2 of 2)

- (1) See Article 6 for the eligibility conditions
- (2) The indirect costs covered by the operating grant (received under any EU or Euratom funding programme; see Article 6.5.(b)) are ineligible under the GA. Therefore, a beneficiary that receives an operating grant during the action's duration cannot declare indirect costs for the year(s)/reporting period(s) covered by the operating grant (see Article 6.2.E).
- (3) This is the theoretical amount of EU contribution that the system calculates automatically (by multiplying all the budgeted costs by the reimbursement rate). This theoretical amount is capped by the 'maximum grant amount' (that the Commission/Agency decided to grant for the action) (see Article 5.1).
- (4) The 'maximum grant amount' is the maximum grant amount decided by the Commission/Agency. It normally corresponds to the requested grant, but may be lower.
- (5) Depending on its type, this specific cost category will or will not cover indirect costs. Specific unit costs that include indirect costs are: costs for energy efficiency measures in buildings, access costs for providing trans-national access to research infrastructure and costs for clinical studies.
- (6) See Article 5 for the forms of costs
- (7) Unit : hours worked on the action; costs per unit (hourly rate) : calculated according to beneficiary's usual accounting practice
- (8) See Annex 2a 'Additional information on the estimated budget' for the details (costs per hour (hourly rate)).
- (9) Flat rate : 25% of eligible direct costs, from which are excluded: direct costs of subcontracting, costs of in-kind contributions not used on premises, direct costs of financial support, and unit costs declared under budget category F if they include indirect costs
- (10) See Annex 2a 'Additional information on the estimated budget' for the details (units, costs per unit).
- (11) See Annex 2a 'Additional information on the estimated budget' for the details (units, costs per unit, estimated number of units, etc)
- (12) Only specific unit costs that do not include indirect costs
- (13) See Article 9 for beneficiaries not receiving EU funding
- (14) Only for linked third parties that receive EU funding



## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**POLITECNICO DI MILANO (POLIMI)**, CF80057930150, established in PIAZZA LEONARDO DA VINCI 32, MILANO 20133, Italy, IT04376620151 ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become *beneficiary*** No ('2')

**in Grant Agreement No** 693857 ('the Agreement')

**between** UNIVERSITAET KLAGENFURT **and** *the Research Executive Agency (REA) ('the Agency')*, under the power delegated by the European Commission ('the Commission'),

**for the action entitled** 'Transmitting Contentious Cultural Heritages with the Arts: From Intervention to Co-Production (TRACES)'.

**and mandates**

**the *coordinator*** to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**HUMBOLDT-UNIVERSITAET ZU BERLIN (UBER)**, not applicable, established in UNTER DEN LINDEN 6, BERLIN 10099, Germany, DE137176824 ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become *beneficiary*** No ('3')

**in Grant Agreement No 693857** ('the Agreement')

**between** UNIVERSITAET KLAGENFURT **and** *the Research Executive Agency (REA) ('the Agency')*, *under the power delegated by the European Commission ('the Commission')*,

**for the action entitled** 'Transmitting Contentious Cultural Heritages with the Arts: From Intervention to Co-Production (TRACES)'.  
'

**and mandates**

**the *coordinator*** to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**UNIVERSITETET I OSLO (UNIVERSITY OSLO)**, 971035854, established in PROBLEMVEIEN 5-7, OSLO 0313, Norway, NO971035854MVA ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become *beneficiary*** No ('4')

**in Grant Agreement No 693857** ('the Agreement')

**between UNIVERSITÄT KLAGENFURT and *the Research Executive Agency (REA) ('the Agency')***, under the power delegated by the European Commission ('the Commission'),

**for the action entitled** 'Transmitting Contentious Cultural Heritages with the Arts: From Intervention to Co-Production (TRACES)'.

**and mandates**

**the *coordinator*** to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**ZURCHER HOCHSCHULE DER KUNSTE (ZHDK)**, established in PFINGSTWEIDSTRASSE 96, ZURICH 8031, Switzerland, CHE116070490MWST ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become *beneficiary*** No ('5')

**in Grant Agreement No 693857** ('the Agreement')

**between UNIVERSITAET KLAGENFURT and *the Research Executive Agency (REA) ('the Agency')***, under the power delegated by the European Commission ('the Commission'),

**for the action entitled** 'Transmitting Contentious Cultural Heritages with the Arts: From Intervention to Co-Production (TRACES)'.

**and mandates**

**the *coordinator*** to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**HOSMAN DURABIL (Hosman Durabil)** RO1, 101092005, established in STR BISERICII 234, HOSMAN 557168, Romania, RO18172521 ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become *beneficiary*** No ('6')

**in Grant Agreement No 693857** ('the Agreement')

**between** UNIVERSITAET KLAGENFURT **and** *the Research Executive Agency (REA) ('the Agency'), under the power delegated by the European Commission ('the Commission'),*

**for the action entitled** 'Transmitting Contentious Cultural Heritages with the Arts: From Intervention to Co-Production (TRACES)'.  
'

**and mandates**

**the *coordinator*** to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**NATURHISTORISCHES MUSEUM (NHM)**, FN236724Z, established in BURGRING 7, WIEN 1010, Austria, ATU38020609 ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become *beneficiary*** No ('7')

**in Grant Agreement No 693857** ('the Agreement')

**between** UNIVERSITAET KLAGENFURT **and** *the Research Executive Agency (REA) ('the Agency')*, under the power delegated by the European Commission ('the Commission'),

**for the action entitled** 'Transmitting Contentious Cultural Heritages with the Arts: From Intervention to Co-Production (TRACES)'.

**and mandates**

**the *coordinator*** to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**THE UNIVERSITY OF EDINBURGH (UEDIN)**, SC005336, established in OLD COLLEGE, SOUTH BRIDGE, EDINBURGH EH8 9YL, United Kingdom, GB592950700 ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become *beneficiary*** No ('8')

**in Grant Agreement No 693857** ('the Agreement')

**between** UNIVERSITAET KLAGENFURT **and** *the Research Executive Agency (REA) ('the Agency')*, under the power delegated by the European Commission ('the Commission'),

**for the action entitled** 'Transmitting Contentious Cultural Heritages with the Arts: From Intervention to Co-Production (TRACES)'.

**and mandates**

**the *coordinator*** to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**UNIWERSYTET JAGIELLONSKI (UJAG)**, 000001270, established in Ul. Golebia 24, KRAKOW 31007, Poland, PL6750002236 ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become *beneficiary*** No ('9')

**in Grant Agreement No 693857** ('the Agreement')

**between** UNIVERSITAET KLAGENFURT **and** *the Research Executive Agency (REA) ('the Agency')*, under the power delegated by the European Commission ('the Commission'),

**for the action entitled** 'Transmitting Contentious Cultural Heritages with the Arts: From Intervention to Co-Production (TRACES)'.

**and mandates**

**the *coordinator*** to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary



## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**UNIVERSITY OF ULSTER (ULster)** GB22, RC000726, established in CROMORE ROAD, COLERAINE BT52 1SA, United Kingdom, GB672390524 ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become *beneficiary*** No ('10')

**in Grant Agreement No** 693857 ('the Agreement')

**between** UNIVERSITAET KLAGENFURT **and** *the Research Executive Agency (REA) ('the Agency')*, under the power delegated by the European Commission ('the Commission'),

**for the action entitled** 'Transmitting Contentious Cultural Heritages with the Arts: From Intervention to Co-Production (TRACES)'.  
'

**and mandates**

**the *coordinator*** to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

## ANNEX 3

### ACCESSION FORM FOR BENEFICIARIES

**DRUSTVO ZA DOMACE RAZISKAVE (DRS)** SI3, 1929429000, established in SARHOVA 34, LJUBLJANA 1000, Slovenia, SI34737090 ('the beneficiary'), represented for the purpose of signing this Accession Form by the undersigned,

**hereby agrees**

**to become *beneficiary*** No ('11')

**in Grant Agreement No** 693857 ('the Agreement')

**between** UNIVERSITAET KLAGENFURT **and** *the Research Executive Agency (REA) ('the Agency'), under the power delegated by the European Commission ('the Commission'),*

**for the action entitled** 'Transmitting Contentious Cultural Heritages with the Arts: From Intervention to Co-Production (TRACES)'.  
'

**and mandates**

**the *coordinator*** to submit and sign in its name and on its behalf any **amendments** to the Agreement, in accordance with Article 55.

By signing this Accession Form, the beneficiary accepts the grant and agrees to implement the grant in accordance with the Agreement, with all the obligations and conditions it sets out.

SIGNATURE

For the beneficiary

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MODEL ANNEX 4 FOR H2020 GENERAL MGA — MULTI

FINANCIAL STATEMENT FOR [BENEFICIARY [name]/ LINKED THIRD PARTY [name]] FOR REPORTING PERIOD [reporting period]

Eligible <sup>1</sup> costs (per budget category)											Receipts	EU contribution			Additional information			
A. Direct personnel costs				B. Direct costs of subcontracting	[C. Direct costs of fin. support]	D. Other direct costs		E. Indirect costs <sup>2</sup>	[F. Costs of ... ]		Total costs	Receipts	Reimbursement rate %	Maximum EU contribution <sup>3</sup>	Requested EU contribution	Information for indirect costs :		
A.1 Employees (or equivalent)		A.4 SME owners without salary				D.1 Travel	[D.4 Costs of large research infrastructure]		[F.1 Costs of ...]			Receipts of the action, to be reported in the last reporting period, according to Article 5.3.3				Costs of in-kind contributions not used on premises		
A.2 Natural persons under direct contract		A.5 Beneficiaries that are natural persons without salary				D.2 Equipment												
A.3 Seconded persons						D.3 Other goods and services												
[A.6 Personnel for providing access to research infrastructure]																		
Form of costs <sup>4</sup>	Actual	Unit	Unit		Actual	Actual	Actual	Actual	Flat-rate <sup>5</sup>	Unit	Unit							
									25%									
	a	Total b	No hours	Total c	d	[e]	f	[g]	h=0,25 x (a+b+c+f+[g] + [i1] <sup>6</sup> + [i2] <sup>6</sup> - o)	No units	Total [i1]	Total [i2]	j = a+b+c+d+[e] + f + [g] + h+[i1] + [i2]	k	l	m	n	o
[short name beneficiary/linked third party]																		

The beneficiary/linked third party hereby confirms that:  
 The information provided is complete, reliable and true.  
 The costs declared are eligible (see Article 6).  
 The costs can be substantiated by adequate records and supporting documentation that will be produced upon request or in the context of checks, reviews, audits and investigations (see Articles 17, 18 and 22).  
 For the last reporting period: that all the receipts have been declared (see Article 5.3.3).

Please declare all eligible costs, even if they exceed the amounts indicated in the estimated budget (see Annex 2). Only amounts that were declared in your individual financial statements can be taken into account lateron, in order to replace other costs that are found to be ineligible.

<sup>1</sup> See Article 6 for the eligibility conditions  
<sup>2</sup> The indirect costs claimed must be free of any amounts covered by an operating grant (received under any EU or Euratom funding programme; see Article 6.2.E). If you have received an operating grant during this reporting period, you cannot claim any indirect costs.  
<sup>3</sup> This is the *theoretical* amount of EU contribution that the system calculates automatically (by multiplying the reimbursement rate by the total costs declared). The amount you request (in the column 'requested EU contribution') may have to be less (e.g. if you and the other beneficiaries are above budget, if the 90% limit (see Article 21) is reached, etc).  
<sup>4</sup> See Article 5 for the form of costs  
<sup>5</sup> Flat rate : 25% of eligible direct costs, from which are excluded: direct costs of subcontracting, costs of in-kind contributions not used on premises, direct costs of financial support, and unit costs declared under budget category F if they include indirect costs (see Article 6.2.E)  
<sup>6</sup> Only specific unit costs that do not include indirect costs

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**ANNEX 5**

**MODEL FOR THE CERTIFICATE ON THE FINANCIAL STATEMENTS**

- For options [*in italics in square brackets*]: choose the applicable option. Options not chosen should be deleted.
- For fields in [grey in square brackets]: enter the appropriate data

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**Terms of Reference for an Independent Report of Factual Findings on costs declared under a Grant Agreement financed under the Horizon 2020 Research and Innovation Framework Programme**

This document sets out the **‘Terms of Reference (ToR)’** under which

[OPTION 1: [insert name of the beneficiary] (*‘the Beneficiary’*)] [OPTION 2: [insert name of the linked third party] (*‘the Linked Third Party’*), third party linked to the Beneficiary [insert name of the beneficiary] (*‘the Beneficiary’*)]

agrees to engage

[insert legal name of the auditor] (*‘the Auditor’*)

to produce an independent report of factual findings (*‘the Report’*) concerning the Financial Statement(s)<sup>1</sup> drawn up by the [Beneficiary] [Linked Third Party] for the Horizon 2020 grant agreement [insert number of the grant agreement, title of the action, acronym and duration from/to] (*‘the Agreement’*), and

to issue a Certificate on the Financial Statements’ (*‘CFS’*) referred to in Article 20.4 of the Agreement based on the compulsory reporting template stipulated by the Commission.

The Agreement has been concluded under the Horizon 2020 Research and Innovation Framework Programme (H2020) between the Beneficiary and [OPTION 1: *the European Union, represented by the European Commission (‘the Commission’)*][ OPTION 2: *the European Atomic Energy Community (Euratom,) represented by the European Commission (‘the Commission’)*][OPTION 3: *the [Research Executive Agency (REA)] [European Research Council Executive Agency (ERCEA)] [Innovation and Networks Executive Agency (INEA)] [Executive Agency for Small and Medium-sized Enterprises (EASME)] (‘the Agency’), under the powers delegated by the European Commission (‘the Commission’).*]

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<sup>1</sup> By which costs under the Agreement are declared (see template *‘Model Financial Statements’* in Annex 4 to the Grant Agreement).

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The *[Commission]* *[Agency]* is mentioned as a signatory of the Agreement with the Beneficiary only. The *[European Union]**[Euratom]**[Agency]* is not a party to this engagement.

### 1.1 Subject of the engagement

The coordinator must submit to the *[Commission]**[Agency]* the final report within 60 days following the end of the last reporting period which should include, amongst other documents, a CFS for each beneficiary and for each linked third party that requests a total contribution of EUR 325 000 or more, as reimbursement of actual costs and unit costs calculated on the basis of its usual cost accounting practices (see Article 20.4 of the Agreement). The CFS must cover all reporting periods of the beneficiary or linked third party indicated above.

The Beneficiary must submit to the coordinator the CFS for itself and for its linked third party(ies), if the CFS must be included in the final report according to Article 20.4 of the Agreement..

The CFS is composed of two separate documents:

- The Terms of Reference ('the ToR') to be signed by the *[Beneficiary]* *[Linked Third Party]* and the Auditor;
- The Auditor's Independent Report of Factual Findings ('the Report') to be issued on the Auditor's letterhead, dated, stamped and signed by the Auditor (or the competent public officer) which includes the agreed-upon procedures ('the Procedures') to be performed by the Auditor, and the standard factual findings ('the Findings') to be confirmed by the Auditor.

If the CFS must be included in the final report according to Article 20.4 of the Agreement, the request for payment of the balance relating to the Agreement cannot be made without the CFS. However, the payment for reimbursement of costs covered by the CFS does not preclude the *[Commission]*,*[Agency]*, the European Anti-Fraud Office and the European Court of Auditors from carrying out checks, reviews, audits and investigations in accordance with Article 22 of the Agreement.

### 1.2 Responsibilities

The *[Beneficiary]* *[Linked Third Party]*:

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- must draw up the Financial Statement(s) for the action financed by the Agreement in compliance with the obligations under the Agreement. The Financial Statement(s) must be drawn up according to the *[Beneficiary's] [Linked Third Party's]* accounting and book-keeping system and the underlying accounts and records;
- must send the Financial Statement(s) to the Auditor;
- is responsible and liable for the accuracy of the Financial Statement(s);
- is responsible for the completeness and accuracy of the information provided to enable the Auditor to carry out the Procedures. It must provide the Auditor with a written representation letter supporting these statements. The written representation letter must state the period covered by the statements and must be dated;
- accepts that the Auditor cannot carry out the Procedures unless it is given full access to the *[Beneficiary's] [Linked Third Party's]* staff and accounting as well as any other relevant records and documentation.

### The Auditor:

- *[Option 1 by default: is qualified to carry out statutory audits of accounting documents in accordance with Directive 2006/43/EC of the European Parliament and of the Council of 17 May 2006 on statutory audits of annual accounts and consolidated accounts, amending Council Directives 78/660/EEC and 83/349/EEC and repealing Council Directive 84/253/EEC or similar national regulations].*
- *[Option 2 if the Beneficiary or Linked Third Party has an independent Public Officer: is a competent and independent Public Officer for which the relevant national authorities have established the legal capacity to audit the Beneficiary].*
- *[Option 3 if the Beneficiary or Linked Third Party is an international organisation: is an [internal] [external] auditor in accordance with the internal financial regulations and procedures of the international organisation].*

### The Auditor:

- must be independent from the Beneficiary *[and the Linked Third Party]*, in particular, it must not have been involved in preparing the *[Beneficiary's] [Linked Third Party's]* Financial Statement(s);
- must plan work so that the Procedures may be carried out and the Findings may be assessed;
- must adhere to the Procedures laid down and the compulsory report format;
- must carry out the engagement in accordance with this ToR;
- must document matters which are important to support the Report;
- must base its Report on the evidence gathered;
- must submit the Report to the *[Beneficiary] [Linked Third Party]*.

The Commission sets out the Procedures to be carried out by the Auditor. The Auditor is not responsible for their suitability or pertinence. As this engagement is not an assurance engagement, the Auditor does not provide an audit opinion or a statement of assurance.

### 1.3 Applicable Standards

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The Auditor must comply with these Terms of Reference and with<sup>2</sup>:

- the International Standard on Related Services ('ISRS') 4400 *Engagements to perform Agreed-upon Procedures regarding Financial Information* as issued by the International Auditing and Assurance Standards Board (IAASB);
- the *Code of Ethics for Professional Accountants* issued by the International Ethics Standards Board for Accountants (IESBA). Although ISRS 4400 states that independence is not a requirement for engagements to carry out agreed-upon procedures, the [Commission][Agency] requires that the Auditor also complies with the Code's independence requirements.

The Auditor's Report must state that there is no conflict of interests in establishing this Report between the Auditor and the Beneficiary [and the Linked Third Party], and must specify - if the service is invoiced - the total fee paid to the Auditor for providing the Report.

### 1.4 Reporting

The Report must be written in the language of the Agreement (see Article 20.7).

Under Article 22 of the Agreement, the [Commission] [Agency], the European Anti-Fraud Office and the Court of Auditors have the right to audit any work that is carried out under the action and for which costs are declared from [the European Union] [Euratom] budget. This includes work related to this engagement. The Auditor must provide access to all working papers (e.g. recalculation of hourly rates, verification of the time declared for the action) related to this assignment if the [Commission] [Agency], the European Anti-Fraud Office or the European Court of Auditors requests them.

### 1.5 Timing

The Report must be provided by [dd Month yyyy].

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<sup>2</sup> Supreme Audit Institutions applying INTOSAI-standards may carry out the Procedures according to the corresponding International Standards of Supreme Audit Institutions and code of ethics issued by INTOSAI instead of the International Standard on Related Services ('ISRS') 4400 and the Code of Ethics for Professional Accountants issued by the IAASB and the IESBA.



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**1.6 Other terms**

*[The [Beneficiary] [Linked Third Party] and the Auditor can use this section to agree other specific terms, such as the Auditor's fees, liability, applicable law, etc. Those specific terms must not contradict the terms specified above.]*

[legal name of the Auditor]

[legal name of the [Beneficiary][Linked Third Party]]

[name & function of authorised representative][name & function of authorised representative]

[dd Month yyyy]

[dd Month yyyy]

Signature of the Auditor

Signature of the [Beneficiary][Linked Third Party]

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**Independent Report of Factual Findings on costs declared under Horizon 2020 Research and Innovation Framework Programme**

*(To be printed on the Auditor's letterhead)*

To

[ name of contact person(s)], [Position]

[ *Beneficiary's* ] [ *Linked Third Party's* name ]

[ Address]

[ dd Month yyyy]

Dear [Name of contact person(s)],

As agreed under the terms of reference dated [dd Month yyyy]

with [ *OPTION 1: insert name of the beneficiary* ] ('the Beneficiary') [ *OPTION 2: insert name of the linked third party* ] ('the Linked Third Party'), third party linked to the Beneficiary [ *insert name of the beneficiary* ] ('the Beneficiary'),

we

[name of the auditor ] ('the Auditor'),

established at

[full address/city/state/province/country],

represented by

[name and function of an authorised representative],

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have carried out the procedures agreed with you regarding the costs declared in the Financial Statement(s)<sup>3</sup> of the [Beneficiary] [Linked Third Party] concerning the grant agreement

[insert grant agreement reference: number, title of the action and acronym] ('the Agreement'),

with a total cost declared of

[total amount] EUR,

and a total of actual costs and 'direct personnel costs declared as unit costs calculated in accordance with the [Beneficiary's] [Linked Third Party's] usual cost accounting practices' declared of

[sum of total actual costs and total direct personnel costs declared as unit costs calculated in accordance with the [Beneficiary's] [Linked Third Party's] usual cost accounting practices] EUR

and **hereby provide our Independent Report of Factual Findings ('the Report')** using the compulsory report format agreed with you.

### **The Report**

Our engagement was carried out in accordance with the terms of reference ('the ToR') appended to this Report. The Report includes the agreed-upon procedures ('the Procedures') carried out and the standard factual findings ('the Findings') examined.

The Procedures were carried out solely to assist the [Commission] [Agency] in evaluating whether the [Beneficiary's] [Linked Third Party's] costs in the accompanying Financial Statement(s) were declared in accordance with the Agreement. The [Commission] [Agency] draws its own conclusions from the Report and any additional information it may require.

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<sup>3</sup> By which the Beneficiary declares costs under the Agreement (see template 'Model Financial Statement' in Annex 4 to the Agreement).

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The scope of the Procedures was defined by the Commission. Therefore, the Auditor is not responsible for their suitability or pertinence. Since the Procedures carried out constitute neither an audit nor a review made in accordance with International Standards on Auditing or International Standards on Review Engagements, the Auditor does not give a statement of assurance on the Financial Statements.

Had the Auditor carried out additional procedures or an audit of the [Beneficiary's] [Linked Third Party's] Financial Statements in accordance with International Standards on Auditing or International Standards on Review Engagements, other matters might have come to its attention and would have been included in the Report.

**Not applicable Findings**

We examined the Financial Statement(s) stated above and considered the following Findings not applicable:

*Explanation (to be removed from the Report):*

*If a Finding was not applicable, it must be marked as 'N.A.' ('Not applicable') in the corresponding row on the right-hand column of the table and means that the Finding did not have to be corroborated by the Auditor and the related Procedure(s) did not have to be carried out.*

*The reasons of the non-application of a certain Finding must be obvious i.e.*

- i) if no cost was declared under a certain category then the related Finding(s) and Procedure(s) are not applicable;*
- ii) if the condition set to apply certain Procedure(s) are not met the related Finding(s) and those Procedure(s) are not applicable. For instance, for 'beneficiaries with accounts established in a currency other than euro' the Procedure and Finding related to 'beneficiaries with accounts established in euro' are not applicable. Similarly, if no additional remuneration is paid, the related Finding(s) and Procedure(s) for additional remuneration are not applicable.*

**List here all Findings considered not applicable for the present engagement and explain the reasons of the non-applicability.**

....

**Exceptions**

Apart from the exceptions listed below, the [Beneficiary] [Linked Third Party] provided the Auditor all the documentation and accounting information needed by the Auditor to carry out the requested Procedures and evaluate the Findings.

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### Explanation (to be removed from the Report):

- If the Auditor was not able to successfully complete a procedure requested, it must be marked as 'E' ('Exception') in the corresponding row on the right-hand column of the table. The reason such as the inability to reconcile key information or the unavailability of data that prevents the Auditor from carrying out the Procedure must be indicated below.
- If the Auditor cannot corroborate a standard finding after having carried out the corresponding procedure, it must also be marked as 'E' ('Exception') and, where possible, the reasons why the Finding was not fulfilled and its possible impact must be explained here below.

**List here any exceptions and add any information on the cause and possible consequences of each exception, if known. If the exception is quantifiable, include the corresponding amount.**

....

### Example (to be removed from the Report):

1. The Beneficiary was unable to substantiate the Finding number 1 on ... because ....
2. Finding number 30 was not fulfilled because the methodology used by the Beneficiary to calculate unit costs was different from the one approved by the Commission. The differences were as follows: ...
3. After carrying out the agreed procedures to confirm the Finding number 31, the Auditor found a difference of \_\_\_\_\_ EUR. The difference can be explained by ...

### Further Remarks

In addition to reporting on the results of the specific procedures carried out, the Auditor would like to make the following general remarks:

### Example (to be removed from the Report):

1. Regarding Finding number 8 the conditions for additional remuneration were considered as fulfilled because ...
2. In order to be able to confirm the Finding number 15 we carried out the following additional procedures: ....

### Use of this Report

This Report may be used only for the purpose described in the above objective. It was prepared solely for the confidential use of the [Beneficiary] [Linked Third Party] and the [Commission] [Agency], and only to be submitted to the [Commission] [Agency] in connection with the requirements set out in Article 20.4 of the Agreement. The Report may not be used by the [Beneficiary] [Linked Third Party] or by the [Commission] [Agency] for any other purpose, nor may it

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be distributed to any other parties. The [Commission] [Agency] may only disclose the Report to authorised parties, in particular to the European Anti-Fraud Office (OLAF) and the European Court of Auditors.

This Report relates only to the Financial Statement(s) submitted to the [Commission] [Agency] by the [Beneficiary] [Linked Third Party] for the Agreement. Therefore, it does not extend to any other of the [Beneficiary's] [Linked Third Party's] Financial Statement(s).

There was no conflict of interest<sup>4</sup> between the Auditor and the Beneficiary [and Linked Third Party] in establishing this Report. The total fee paid to the Auditor for providing the Report was EUR [ ] (including EUR [ ] of deductible VAT).

We look forward to discussing our Report with you and would be pleased to provide any further information or assistance.

[legal name of the Auditor]

[name and function of an authorised representative]

[dd Month yyyy]

Signature of the Auditor

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<sup>4</sup> A conflict of interest arises when the Auditor's objectivity to establish the certificate is compromised in fact or in appearance when the Auditor for instance:

- was involved in the preparation of the Financial Statements;
- stands to benefit directly should the certificate be accepted;
- has a close relationship with any person representing the beneficiary;
- is a director, trustee or partner of the beneficiary; or
- is in any other situation that compromises his or her independence or ability to establish the certificate impartially.

**Agreed-upon procedures to be performed and standard factual findings to be confirmed by the Auditor**

The European Commission reserves the right to i) provide the auditor with additional guidance regarding the procedures to be followed or the facts to be ascertained and the way in which to present them (this may include sample coverage and findings) or to ii) change the procedures, by notifying the Beneficiary in writing. The procedures carried out by the auditor to confirm the standard factual finding are listed in the table below.

If this certificate relates to a Linked Third Party, any reference here below to 'the Beneficiary' is to be considered as a reference to 'the Linked Third Party'.

The 'result' column has three different options: 'C', 'E' and 'N.A.':

- 'C' stands for 'confirmed' and means that the auditor can confirm the 'standard factual finding' and, therefore, there is no exception to be reported.
- 'E' stands for 'exception' and means that the Auditor carried out the procedures but cannot confirm the 'standard factual finding', or that the Auditor was not able to carry out a specific procedure (e.g. because it was impossible to reconcile key information or data were unavailable),
- 'N.A.' stands for 'not applicable' and means that the Finding did not have to be examined by the Auditor and the related Procedure(s) did not have to be carried out. The reasons of the non-application of a certain Finding must be obvious i.e. i) if no cost was declared under a certain category then the related Finding(s) and Procedure(s) are not applicable; ii) if the condition set to apply certain Procedure(s) are not met then the related Finding(s) and Procedure(s) are not applicable. For instance, for 'beneficiaries with accounts established in a currency other than the euro' the Procedure related to 'beneficiaries with accounts established in euro' is not applicable. Similarly, if no additional remuneration is paid, the related Finding(s) and Procedure(s) for additional remuneration are not applicable.

Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
A	<b>ACTUAL PERSONNEL COSTS AND UNIT COSTS CALCULATED BY THE BENEFICIARY IN ACCORDANCE WITH ITS USUAL COST ACCOUNTING PRACTICE</b>		

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>The Auditor draws a sample of persons whose costs were declared in the Financial Statement(s) to carry out the procedures indicated in the consecutive points of this section A.</p> <p><i>(The sample should be selected randomly so that it is representative. Full coverage is required if there are fewer than 10 people (including employees, natural persons working under a direct contract and personnel seconded by a third party), otherwise the sample should have a minimum of 10 people, or 10% of the total, whichever number is the highest)</i></p> <p>The Auditor sampled [ ] people out of the total of [ ] people.</p>		
<b>A.1</b>	<p><b>PERSONNEL COSTS</b></p> <p><u>For the persons included in the sample and working under an employment contract or equivalent act (general procedures for individual actual personnel costs and personnel costs declared as unit costs)</u></p> <p>To confirm standard factual findings 1-5 listed in the next column, the Auditor reviewed following information/documents provided by the Beneficiary:</p> <ul style="list-style-type: none"> <li>○ a list of the persons included in the sample indicating the period(s) during which they worked for the action, their position (classification or category) and type of contract;</li> <li>○ the payslips of the employees included in the sample;</li> <li>○ reconciliation of the personnel costs declared in the Financial Statement(s) with the accounting system (project accounting and general ledger) and payroll system;</li> <li>○ information concerning the employment status and employment conditions of personnel included in the sample, in particular their employment contracts or equivalent;</li> </ul>	<p>1) The employees were i) directly hired by the Beneficiary in accordance with its national legislation, ii) under the Beneficiary's sole technical supervision and responsibility and iii) remunerated in accordance with the Beneficiary's usual practices.</p> <p>2) Personnel costs were recorded in the Beneficiary's accounts/payroll system.</p> <p>3) Costs were adequately supported and reconciled with the accounts and payroll</p>	



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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> <li>○ the Beneficiary’s usual policy regarding payroll matters (e.g. salary policy, overtime policy, variable pay);</li> <li>○ applicable national law on taxes, labour and social security and</li> <li>○ any other document that supports the personnel costs declared.</li> </ul> <p>The Auditor also verified the eligibility of all components of the retribution (see Article 6 GA) and recalculated the personnel costs for employees included in the sample.</p>	<p>records.</p> <p>4) Personnel costs did not contain any ineligible elements.</p> <p>5) There were no discrepancies between the personnel costs charged to the action and the costs recalculated by the Auditor.</p>	
	<p><i>Further procedures if ‘additional remuneration’ is paid</i></p> <p>To confirm standard factual findings 6-9 listed in the next column, the Auditor:</p> <ul style="list-style-type: none"> <li>○ reviewed relevant documents provided by the Beneficiary (legal form, legal/statutory obligations, the Beneficiary’s usual policy on additional remuneration, criteria used for its calculation...);</li> <li>○ recalculated the amount of additional remuneration eligible for the action based on the supporting documents received (full-time or part-time work, exclusive or non-exclusive dedication to the action, etc.) to arrive at the applicable FTE/year and pro-rata rate (see data collected in the course of carrying out the procedures under A.2 ‘Productive hours’ and A.4 ‘Time recording system’).</li> </ul>	<p>6) The Beneficiary paying “additional remuneration” was a non-profit legal entity.</p> <p>7) The amount of additional remuneration paid corresponded to the Beneficiary’s usual remuneration practices and was consistently paid whenever the same kind of work or expertise was required.</p>	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p><i>IF ANY PART OF THE REMUNERATION PAID TO THE EMPLOYEE IS NOT MANDATORY ACCORDING TO THE NATIONAL LAW OR THE EMPLOYMENT CONTRACT ("ADDITIONAL REMUNERATION") AND IS ELIGIBLE UNDER THE PROVISIONS OF ARTICLE 6.2.A.1, THIS CAN BE CHARGED AS ELIGIBLE COST TO THE ACTION UP TO THE FOLLOWING AMOUNT:</i></p> <p><i>(A) IF THE PERSON WORKS FULL TIME AND EXCLUSIVELY ON THE ACTION DURING THE FULL YEAR: UP TO EUR 8 000/YEAR;</i></p> <p><i>(B) IF THE PERSON WORKS EXCLUSIVELY ON THE ACTION BUT NOT FULL-TIME OR NOT FOR THE FULL YEAR: UP TO THE CORRESPONDING PRO-RATA AMOUNT OF EUR 8 000, OR</i></p> <p><i>(C) IF THE PERSON DOES NOT WORK EXCLUSIVELY ON THE ACTION: UP TO A PRO-RATA AMOUNT CALCULATED IN ACCORDANCE TO ARTICLE 6.2.A.1.</i></p>	<p>8) The criteria used to calculate the additional remuneration were objective and generally applied by the Beneficiary regardless of the source of funding used.</p>	
		<p>9) The amount of additional remuneration included in the personnel costs charged to the action was capped at EUR 8,000 per FTE/year (up to the equivalent pro-rata amount if the person did not work on the action full-time during the year or did not work exclusively on the action).</p>	
	<p><i>Additional procedures in case “unit costs calculated by the Beneficiary in accordance with its usual cost accounting practices” is applied:</i></p> <p>Apart from carrying out the procedures indicated above to confirm standard factual findings 1-5 and, if applicable, also 6-9, the Auditor carried out following procedures to confirm standard factual findings 10-13 listed in the next column:</p>	<p>10) The personnel costs included in the Financial Statement were calculated in accordance with the Beneficiary's usual cost accounting practice. This methodology was consistently used in all H2020 actions.</p>	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> <li>○ obtained a description of the Beneficiary's usual cost accounting practice to calculate unit costs;</li> <li>○ reviewed whether the Beneficiary's usual cost accounting practice was applied for the Financial Statements subject of the present CFS;</li> <li>○ verified the employees included in the sample were charged under the correct category (in accordance with the criteria used by the Beneficiary to establish personnel categories) by reviewing the contract/HR-record or analytical accounting records;</li> <li>○ verified that there is no difference between the total amount of personnel costs used in calculating the cost per unit and the total amount of personnel costs recorded in the statutory accounts;</li> <li>○ verified whether actual personnel costs were adjusted on the basis of budgeted or estimated elements and, if so, verified whether those elements used are actually relevant for the calculation, objective and supported by documents.</li> </ul>	11) The employees were charged under the correct category.	
		12) Total personnel costs used in calculating the unit costs were consistent with the expenses recorded in the statutory accounts.	
		13) Any estimated or budgeted element used by the Beneficiary in its unit-cost calculation were relevant for calculating personnel costs and corresponded to objective and verifiable information.	
	<p><u>For natural persons included in the sample and working with the Beneficiary under a direct contract other than an employment contract, such as consultants (no subcontractors).</u></p> <p>To confirm standard factual findings 14-18 listed in the next column the Auditor reviewed following information/documents provided by the Beneficiary:</p> <ul style="list-style-type: none"> <li>○ the contracts, especially the cost, contract duration, work description, place of work, ownership of the results and reporting obligations to the Beneficiary;</li> </ul>	14) The natural persons reported to the Beneficiary (worked under the Beneficiary's instructions).	
		15) They worked on the Beneficiary's premises (unless otherwise agreed with the Beneficiary).	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> <li>○ the employment conditions of staff in the same category to compare costs and;</li> <li>○ any other document that supports the costs declared and its registration (e.g. invoices, accounting records, etc.).</li> </ul>	16) The results of work carried out belong to the Beneficiary.	
		17) Their costs were not significantly different from those for staff who performed similar tasks under an employment contract with the Beneficiary.	
		18) The costs were supported by audit evidence and registered in the accounts.	
	<p><u>For personnel seconded by a third party and included in the sample (not subcontractors)</u></p> <p>To confirm standard factual findings 19-22 listed in the next column, the Auditor reviewed following information/documents provided by the Beneficiary:</p> <ul style="list-style-type: none"> <li>○ their secondment contract(s) notably regarding costs, duration, work description, place of work and ownership of the results;</li> <li>○ if there is reimbursement by the Beneficiary to the third party for the resource made available (in-kind contribution against payment): any documentation that supports the costs declared (e.g. contract, invoice, bank payment, and proof of registration in its accounting/payroll, etc.) and reconciliation of the Financial Statement(s) with the accounting system (project accounting and general ledger) as well as any proof that the amount invoiced by the third party did not include any profit;</li> </ul>	19) Seconded personnel reported to the Beneficiary and worked on the Beneficiary’s premises (unless otherwise agreed with the Beneficiary).	
		20) The results of work carried out belong to the Beneficiary.	
		<p><i>If personnel is seconded against payment:</i></p> <p>21) The costs declared were supported with documentation and recorded in the</p>	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> <li>○ if there is no reimbursement by the Beneficiary to the third party for the resource made available (in-kind contribution free of charge): a proof of the actual cost borne by the Third Party for the resource made available free of charge to the Beneficiary such as a statement of costs incurred by the Third Party and proof of the registration in the Third Party's accounting/payroll;</li> <li>○ any other document that supports the costs declared (e.g. invoices, etc.).</li> </ul>	<p>Beneficiary's accounts. The third party did not include any profit.</p> <p><i>If personnel is seconded free of charge:</i></p> <p>22) The costs declared did not exceed the third party's cost as recorded in the accounts of the third party and were supported with documentation.</p>	
<b>A.2</b>	<p><b>PRODUCTIVE HOURS</b></p> <p>To confirm standard factual findings 23-28 listed in the next column, the Auditor reviewed relevant documents, especially national legislation, labour agreements and contracts and time records of the persons included in the sample, to verify that:</p> <ul style="list-style-type: none"> <li>○ the annual productive hours applied were calculated in accordance with one of the methods described below,</li> <li>○ the full-time equivalent (FTEs) ratios for employees not working full-time were correctly calculated.</li> </ul>	<p>23) The Beneficiary applied method [<i>choose one option and delete the others</i>]</p> <p>[A: 1720 hours]</p> <p>[B: the 'total number of hours worked']</p> <p>[C: 'annual productive hours' used correspond to usual accounting practices]</p>	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>If the Beneficiary applied method B, the auditor verified that the correctness in which the total number of hours worked was calculated and that the contracts specified the annual workable hours.</p> <p>If the Beneficiary applied method C, the auditor verified that the ‘annual productive hours’ applied when calculating the hourly rate were equivalent to at least 90 % of the ‘standard annual workable hours’. The Auditor can only do this if the calculation of the standard annual workable hours can be supported by records, such as national legislation, labour agreements, and contracts.</p> <p><i>BENEFICIARY’S PRODUCTIVE HOURS’ FOR PERSONS WORKING FULL TIME SHALL BE ONE OF THE FOLLOWING METHODS:</i></p> <p><i>A. 1720 ANNUAL PRODUCTIVE HOURS (PRO-RATA FOR PERSONS NOT WORKING FULL-TIME)</i></p> <p><i>B. THE TOTAL NUMBER OF HOURS WORKED BY THE PERSON FOR THE BENEFICIARY IN THE YEAR (THIS METHOD IS ALSO REFERRED TO AS ‘TOTAL NUMBER OF HOURS WORKED’ IN THE NEXT COLUMN). THE CALCULATION OF THE TOTAL NUMBER OF HOURS WORKED WAS DONE AS FOLLOWS: ANNUAL WORKABLE HOURS OF THE PERSON ACCORDING TO THE EMPLOYMENT CONTRACT, APPLICABLE LABOUR AGREEMENT OR NATIONAL LAW PLUS OVERTIME WORKED MINUS ABSENCES (SUCH AS SICK LEAVE OR SPECIAL LEAVE).</i></p>	<p>24) Productive hours were calculated annually.</p> <p>25) For employees not working full-time the full-time equivalent (FTE) ratio was correctly applied.</p> <p><i>If the Beneficiary applied method B.</i></p> <p>26) The calculation of the number of ‘annual workable hours’, overtime and absences was verifiable based on the documents provided by the Beneficiary.</p> <p><i>If the Beneficiary applied method C.</i></p> <p>27) The calculation of the number of ‘standard annual workable hours’ was verifiable based on the documents provided by the Beneficiary.</p>	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p><i>C. THE STANDARD NUMBER OF ANNUAL HOURS GENERALLY APPLIED BY THE BENEFICIARY FOR ITS PERSONNEL IN ACCORDANCE WITH ITS USUAL COST ACCOUNTING PRACTICES (THIS METHOD IS ALSO REFERRED TO AS 'TOTAL ANNUAL PRODUCTIVE HOURS' IN THE NEXT COLUMN). THIS NUMBER MUST BE AT LEAST 90% OF THE STANDARD ANNUAL WORKABLE HOURS.</i></p> <p><i>'ANNUAL WORKABLE HOURS' MEANS THE PERIOD DURING WHICH THE PERSONNEL MUST BE WORKING, AT THE EMPLOYER'S DISPOSAL AND CARRYING OUT HIS/HER ACTIVITY OR DUTIES UNDER THE EMPLOYMENT CONTRACT, APPLICABLE COLLECTIVE LABOUR AGREEMENT OR NATIONAL WORKING TIME LEGISLATION.</i></p>	<p>28) The 'annual productive hours' used for calculating the hourly rate were consistent with the usual cost accounting practices of the Beneficiary and were equivalent to at least 90 % of the 'annual workable hours'.</p>	
<p><b>A.3</b></p>	<p><b>HOURLY PERSONNEL RATES</b></p> <p><u>l) For unit costs calculated in accordance to the Beneficiary's usual cost accounting practice (unit costs):</u></p> <p>If the Beneficiary has a "Certificate on Methodology to calculate unit costs " (CoMUC) approved by the Commission, the Beneficiary provides the Auditor with a description of the approved methodology and the Commission's letter of acceptance. The Auditor verified that the Beneficiary has indeed used the methodology approved. If so, no further verification is necessary.</p> <p>If the Beneficiary does not have a "Certificate on Methodology" (CoMUC) approved by the</p>	<p>29) The Beneficiary applied [choose one option and delete the other]:</p> <p>[Option I: "Unit costs (hourly rates) were calculated in accordance with the Beneficiary's usual cost accounting practices"]</p> <p>[Option II: Individual hourly rates were applied]</p>	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>Commission, or if the methodology approved was not applied, then the Auditor:</p> <ul style="list-style-type: none"> <li>○ reviewed the documentation provided by the Beneficiary, including manuals and internal guidelines that explain how to calculate hourly rates;</li> <li>○ recalculated the unit costs (hourly rates) of staff included in the sample following the results of the procedures carried out in A.1 and A.2.</li> </ul> <p><u>II) For individual hourly rates:</u></p> <p>The Auditor:</p> <ul style="list-style-type: none"> <li>○ reviewed the documentation provided by the Beneficiary, including manuals and internal guidelines that explain how to calculate hourly rates;</li> <li>○ recalculated the hourly rates of staff included in the sample following the results of the procedures carried out in A.1 and A.2.</li> </ul> <p><u>“UNIT COSTS CALCULATED BY THE BENEFICIARY IN ACCORDANCE WITH ITS USUAL COST ACCOUNTING PRACTICES”:</u></p> <p><i>IT IS CALCULATED BY DIVIDING THE TOTAL AMOUNT OF PERSONNEL COSTS OF THE CATEGORY TO WHICH THE EMPLOYEE BELONGS VERIFIED IN LINE WITH PROCEDURE A.1 BY THE NUMBER OF FTE AND THE ANNUAL TOTAL PRODUCTIVE HOURS OF THE SAME CATEGORY CALCULATED BY THE BENEFICIARY IN ACCORDANCE WITH PROCEDURE A.2.</i></p> <p><u>HOURLY RATE FOR INDIVIDUAL ACTUAL PERSONAL COSTS:</u></p> <p><i>IT IS CALCULATED BY DIVIDING THE TOTAL AMOUNT OF PERSONNEL COSTS OF AN EMPLOYEE VERIFIED IN LINE WITH</i></p>	<p><i>For option I concerning unit costs and if the Beneficiary applies the methodology approved by the Commission (CoMUC):</i></p> <p>30) The Beneficiary used the Commission-approved methodology to calculate hourly rates. It corresponded to the organisation's usual cost accounting practices and was applied consistently for all activities irrespective of the source of funding.</p> <p><i>For option I concerning unit costs and if the Beneficiary applies a methodology not approved by the Commission:</i></p> <p>31) The unit costs re-calculated by the Auditor were the same as the rates applied by the Beneficiary.</p> <p><i>For option II concerning individual hourly rates:</i></p>	



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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<i>PROCEDURE A.1 BY THE NUMBER OF ANNUAL PRODUCTIVE HOURS VERIFIED IN LINE WITH PROCEDURE A.2.</i>	32) The individual rates re-calculated by the Auditor were the same as the rates applied by the Beneficiary.	
<b>A.4</b>	<p><b>TIME RECORDING SYSTEM</b></p> <p>To verify that the time recording system ensures the fulfilment of all minimum requirements and that the hours declared for the action were correct, accurate and properly authorised and supported by documentation, the Auditor made the following checks for the persons included in the sample that declare time as worked for the action on the basis of time records:</p> <ul style="list-style-type: none"> <li>○ description of the time recording system provided by the Beneficiary (registration, authorisation, processing in the HR-system);</li> <li>○ its actual implementation;</li> <li>○ time records were signed at least monthly by the employees (on paper or electronically) and authorised by the project manager or another manager;</li> <li>○ the hours declared were worked within the project period;</li> <li>○ there were no hours declared as worked for the action if HR-records showed absence due to holidays or sickness (further cross-checks with travels are carried out in B.1 below) ;</li> </ul>	<p>33) All persons recorded their time dedicated to the action on a <b>daily/ weekly/ monthly</b> basis using a <b>paper/computer-based</b> system. <i>(delete the answers that are not applicable)</i></p> <p>34) Their time-records were authorised at least monthly by the project manager or other superior.</p> <p>35) Hours declared were worked within the project period and were consistent with the presences/absences recorded in HR-records.</p>	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>○ the hours charged to the action matched those in the time recording system.</p> <p><i>ONLY THE HOURS WORKED ON THE ACTION CAN BE CHARGED. ALL WORKING TIME TO BE CHARGED SHOULD BE RECORDED THROUGHOUT THE DURATION OF THE PROJECT, ADEQUATELY SUPPORTED BY EVIDENCE OF THEIR REALITY AND RELIABILITY (SEE SPECIFIC PROVISIONS BELOW FOR PERSONS WORKING EXCLUSIVELY FOR THE ACTION WITHOUT TIME RECORDS).</i></p>	<p>36) There were no discrepancies between the number of hours charged to the action and the number of hours recorded.</p>	
	<p><u>If the persons are working exclusively for the action and without time records</u></p> <p>For the persons selected that worked exclusively for the action without time records, the Auditor verified evidence available demonstrating that they were in reality exclusively dedicated to the action and that the Beneficiary signed a declaration confirming that they have worked exclusively for the action.</p>	<p>37) The exclusive dedication is supported by a declaration signed by the Beneficiary's and by any other evidence gathered.</p>	
<b>B</b>	<b>COSTS OF SUBCONTRACTING</b>		
<b>B.1</b>	<p><b>The Auditor obtained the detail/breakdown of subcontracting costs and sampled _____ cost items selected randomly</b> <i>(full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest).</i></p> <p>To confirm standard factual findings 38-42 listed in the next column, the Auditor reviewed the</p>	<p>38) The use of claimed subcontracting costs was foreseen in Annex 1 and costs were declared in the Financial Statements under the subcontracting category.</p>	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<p>following for the items included in the sample:</p> <ul style="list-style-type: none"> <li>○ the use of subcontractors was foreseen in Annex 1;</li> <li>○ subcontracting costs were declared in the subcontracting category of the Financial Statement;</li> <li>○ supporting documents on the selection and award procedure were followed;</li> <li>○ the Beneficiary ensured best value for money (key elements to appreciate the respect of this principle are the award of the subcontract to the bid offering best price-quality ratio, under conditions of transparency and equal treatment. In case an existing framework contract was used the Beneficiary ensured it was established on the basis of the principle of best value for money under conditions of transparency and equal treatment).</li> </ul> <p>In particular,</p> <ol style="list-style-type: none"> <li>i. if the Beneficiary acted as a contracting authority within the meaning of Directive 2004/18/EC or of Directive 2004/17/EC, the Auditor verified that the applicable national law on public procurement was followed and that the subcontracting complied with the Terms and Conditions of the Agreement.</li> <li>ii. if the Beneficiary did not fall under the above-mentioned category the Auditor verified that the Beneficiary followed their usual procurement rules and respected the Terms and Conditions of the Agreement..</li> </ol> <p>For the items included in the sample the Auditor also verified that:</p> <ul style="list-style-type: none"> <li>○ the subcontracts were not awarded to other Beneficiaries in the consortium;</li> </ul>	<p>39) There were documents of requests to different providers, different offers and assessment of the offers before selection of the provider in line with internal procedures and procurement rules. Subcontracts were awarded in accordance with the principle of best value for money.</p> <p><i>(When different offers were not collected the Auditor explains the reasons provided by the Beneficiary under the caption “Exceptions” of the Report. The Commission will analyse this information to evaluate whether these costs might be accepted as eligible)</i></p> <p>40) The subcontracts were not awarded to other Beneficiaries of the consortium.</p>	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	<ul style="list-style-type: none"> <li>○ there were signed agreements between the Beneficiary and the subcontractor;</li> <li>○ there was evidence that the services were provided by subcontractor;</li> </ul>	41) All subcontracts were supported by signed agreements between the Beneficiary and the subcontractor.	
		42) There was evidence that the services were provided by the subcontractors.	
<b>C</b>	<b>COSTS OF PROVIDING FINANCIAL SUPPORT TO THIRD PARTIES</b>		
<b>C.1</b>	<p><b>The Auditor obtained the detail/breakdown of the costs of providing financial support to third parties and sampled [redacted] cost items selected randomly</b> (<i>full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest</i>).</p> <p>The Auditor verified that the following minimum conditions were met:</p> <ul style="list-style-type: none"> <li>a) the maximum amount of financial support for each third party did not exceed EUR 60 000, unless explicitly mentioned in Annex 1;</li> <li>b) the financial support to third parties was agreed in Annex 1 of the Agreement and the other provisions on financial support to third parties included in Annex 1 were</li> </ul>	43) All minimum conditions were met	

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Ref	Procedures	Standard factual finding	Result (C / E / N.A.)
	respected.		

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D	OTHER ACTUAL DIRECT COSTS		
D.1	<p><b>COSTS OF TRAVEL AND RELATED SUBSISTENCE ALLOWANCES</b></p> <p><b>The Auditor sampled [ ] cost items selected randomly</b> <i>(full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is the highest).</i></p> <p>The Auditor inspected the sample and verified that:</p> <ul style="list-style-type: none"> <li>○ travel and subsistence costs were consistent with the Beneficiary's usual policy for travel. In this context, the Beneficiary provided evidence of its normal policy for travel costs (e.g. use of first class tickets, reimbursement by the Beneficiary on the basis of actual costs, a lump sum or per diem) to enable the Auditor to compare the travel costs charged with this policy;</li> <li>○ travel costs are correctly identified and allocated to the action (e.g. trips are directly linked to the action) by reviewing relevant supporting documents such as minutes of meetings, workshops or conferences, their registration in the correct project account, their consistency with time records or with the dates/duration of the workshop/conference;</li> <li>○ no ineligible costs or excessive or reckless expenditure was declared.</li> </ul>	44) Costs were incurred, approved and reimbursed in line with the Beneficiary's usual policy for travels.	
		45) There was a link between the trip and the action.	
		46) The supporting documents were consistent with each other regarding subject of the trip, dates, duration and reconciled with time records and accounting.	
		47) No ineligible costs or excessive or reckless expenditure was declared.	
D.2	<p><b>DEPRECIATION COSTS FOR EQUIPMENT, INFRASTRUCTURE OR OTHER ASSETS</b></p> <p><b>The Auditor sampled [ ] cost items selected randomly</b> <i>(full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is the highest).</i></p> <p>For “equipment, infrastructure or other assets” [from now on called “asset(s)”] selected in the</p>	48) Procurement rules, principles and guides were followed.	
		49) There was a link between the grant agreement and the asset charged to the action.	

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	<p>sample the Auditor verified that:</p> <ul style="list-style-type: none"> <li>○ the assets were acquired in conformity with the Beneficiary's internal guidelines and procedures;</li> <li>○ they were correctly allocated to the action (with supporting documents such as delivery note invoice or any other proof demonstrating the link to the action)</li> <li>○ they were entered in the accounting system;</li> <li>○ the extent to which the assets were used for the action (as a percentage) was supported by reliable documentation (e.g. usage overview table);</li> </ul> <p>The Auditor recalculated the depreciation costs and verified that they were in line with the applicable rules in the Beneficiary's country and with the Beneficiary's usual accounting policy (e.g. depreciation calculated on the acquisition value).</p> <p>The Auditor verified that no ineligible costs such as deductible VAT, exchange rate losses, excessive or reckless expenditure were declared (see Article 6.5 GA).</p>	50) The asset charged to the action was traceable to the accounting records and the underlying documents.	
		51) The depreciation method used to charge the asset to the action was in line with the applicable rules of the Beneficiary's country and the Beneficiary's usual accounting policy.	
		52) The amount charged corresponded to the actual usage for the action.	
		53) No ineligible costs or excessive or reckless expenditure were declared.	
<b>D.3</b>	<p><b>COSTS OF OTHER GOODS AND SERVICES</b></p> <p><b>The Auditor sampled [redacted] cost items selected randomly</b> (<i>full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest</i>).</p> <p>For the purchase of goods, works or services included in the sample the Auditor verified that:</p> <ul style="list-style-type: none"> <li>○ the contracts did not cover tasks described in Annex 1;</li> </ul>	54) Contracts for works or services did not cover tasks described in Annex 1.	
		55) Costs were allocated to the correct action and the goods were not placed in the inventory of durable equipment.	

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	<ul style="list-style-type: none"> <li>○ they were correctly identified, allocated to the proper action, entered in the accounting system (traceable to underlying documents such as purchase orders, invoices and accounting);</li> <li>○ the goods were not placed in the inventory of durable equipment;</li> <li>○ the costs charged to the action were accounted in line with the Beneficiary's usual accounting practices;</li> <li>○ no ineligible costs or excessive or reckless expenditure were declared (see Article 6 GA).</li> </ul> <p>In addition, the Auditor verified that these goods and services were acquired in conformity with the Beneficiary's internal guidelines and procedures, in particular:</p> <ul style="list-style-type: none"> <li>○ if Beneficiary acted as a contracting authority within the meaning of Directive 2004/18/EC or of Directive 2004/17/EC, the Auditor verified that the applicable national law on public procurement was followed and that the procurement contract complied with the Terms and Conditions of the Agreement.</li> <li>○ if the Beneficiary did not fall into the category above, the Auditor verified that the Beneficiary followed their usual procurement rules and respected the Terms and Conditions of the Agreement.</li> </ul> <p>For the items included in the sample the Auditor also verified that:</p> <ul style="list-style-type: none"> <li>○ the Beneficiary ensured best value for money (key elements to appreciate the respect of this principle are the award of the contract to the bid offering best price-quality ratio, under conditions of transparency and equal treatment. In case an existing framework contract was used the Auditor also verified that the Beneficiary ensured it was established on the basis of the principle of best value for money under conditions of transparency and equal treatment);</li> </ul> <p><i>SUCH GOODS AND SERVICES INCLUDE, FOR INSTANCE, CONSUMABLES AND SUPPLIES, DISSEMINATION (INCLUDING OPEN ACCESS), PROTECTION OF RESULTS, SPECIFIC EVALUATION OF THE ACTION IF IT IS REQUIRED BY THE</i></p>	<p>56) The costs were charged in line with the Beneficiary's accounting policy and were adequately supported.</p>	
		<p>57) No ineligible costs or excessive or reckless expenditure were declared. For internal invoices/charges only the cost element was charged, without any mark-ups.</p>	
		<p>58) Procurement rules, principles and guides were followed. There were documents of requests to different providers, different offers and assessment of the offers before selection of the provider in line with internal procedures and procurement rules. The purchases were made in accordance with the principle of best value for money.</p> <p><i>(When different offers were not collected the Auditor explains the reasons provided by the Beneficiary under the</i></p>	



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	<p><i>AGREEMENT, CERTIFICATES ON THE FINANCIAL STATEMENTS IF THEY ARE REQUIRED BY THE AGREEMENT AND CERTIFICATES ON THE METHODOLOGY, TRANSLATIONS, REPRODUCTION.</i></p>	<p><i>caption “Exceptions” of the Report. The Commission will analyse this information to evaluate whether these costs might be accepted as eligible)</i></p>	
<p><b>D.4</b></p>	<p><b>AGGREGATED CAPITALISED AND OPERATING COSTS OF RESEARCH INFRASTRUCTURE</b></p> <p>The Auditor ensured the existence of a positive ex-ante assessment (issued by the EC Services) of the cost accounting methodology of the Beneficiary allowing it to apply the guidelines on direct costing for large research infrastructures in Horizon 2020.</p> <p><i><b>In the cases that a positive ex-ante assessment has been issued (see the standard factual findings 59-60 on the next column),</b></i></p> <p>The Auditor ensured that the beneficiary has applied consistently the methodology that is explained and approved in the positive ex ante assessment;</p> <p><i><b>In the cases that a positive ex-ante assessment has NOT been issued (see the standard factual findings 61 on the next column),</b></i></p> <p>The Auditor verified that no costs of Large Research Infrastructure have been charged as direct costs in any costs category;</p>	<p>59) The costs declared as direct costs for Large Research Infrastructures (in the appropriate line of the Financial Statement) comply with the methodology described in the positive ex-ante assessment report.</p>	
		<p>60) Any difference between the methodology applied and the one positively assessed was extensively described and adjusted accordingly.</p>	
		<p>61) The direct costs declared were free from any indirect costs items related to the Large Research Infrastructure.</p>	

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	<p><b><i>In the cases that a draft ex-ante assessment report has been issued with recommendation for further changes (see the standard factual findings 61 on the next column),</i></b></p> <ul style="list-style-type: none"> <li>The Auditor followed the same procedure as above (when a positive ex-ante assessment has NOT yet been issued) and paid particular attention (testing reinforced) to the cost items for which the draft ex-ante assessment either rejected the inclusion as direct costs for Large Research Infrastructures or issued recommendations.</li> </ul>		
<b>E</b>	<b>USE OF EXCHANGE RATES</b>		
<b>E.1</b>	<p><u>a) For Beneficiaries with accounts established in a currency other than euros</u></p> <p><b>The Auditor sampled [redacted] cost items selected randomly and verified that the exchange rates used for converting other currencies into euros were in accordance with the following rules established in the Agreement ( full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest):</b></p> <p><i>COSTS INCURRED IN ANOTHER CURRENCY SHALL BE CONVERTED INTO EURO AT THE AVERAGE OF THE DAILY EXCHANGE RATES PUBLISHED IN THE C SERIES OF OFFICIAL JOURNAL OF THE EUROPEAN UNION (<a href="https://www.ecb.int/stats/exchange/eurofxref/html/index.en.html">https://www.ecb.int/stats/exchange/eurofxref/html/index.en.html</a> ), DETERMINED OVER THE CORRESPONDING REPORTING PERIOD.</i></p> <p><i>IF NO DAILY EURO EXCHANGE RATE IS PUBLISHED IN THE OFFICIAL JOURNAL OF THE EUROPEAN UNION FOR THE CURRENCY IN QUESTION, CONVERSION SHALL BE MADE AT THE AVERAGE OF THE MONTHLY ACCOUNTING RATES ESTABLISHED BY THE COMMISSION AND PUBLISHED ON ITS WEBSITE (<a href="http://ec.europa.eu/budget/contracts_grants/info_contracts/inforeuro/inforeuro_en.cfm">http://ec.europa.eu/budget/contracts_grants/info_contracts/inforeuro/inforeuro_en.cfm</a> ),</i></p>	62) The exchange rates used to convert other currencies into Euros were in accordance with the rules established of the Grant Agreement and there was no difference in the final figures.	

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	<p><i>DETERMINED OVER THE CORRESPONDING REPORTING PERIOD.</i></p>		
	<p><u>b) For Beneficiaries with accounts established in euros</u></p> <p><b>The Auditor sampled [redacted] cost items selected randomly and verified that the exchange rates used for converting other currencies into euros were in accordance with the following rules established in the Agreement ( full coverage is required if there are fewer than 10 items, otherwise the sample should have a minimum of 10 item, or 10% of the total, whichever number is highest):</b></p> <p><i>COSTS INCURRED IN ANOTHER CURRENCY SHALL BE CONVERTED INTO EURO BY APPLYING THE BENEFICIARY’S USUAL ACCOUNTING PRACTICES.</i></p>	<p>63) The Beneficiary applied its usual accounting practices.</p>	

***[legal name of the audit firm]***

***[name and function of an authorised representative]***

***[dd Month yyyy]***

***<Signature of the Auditor>***

**ANNEX 6**

**MODEL FOR THE CERTIFICATE ON THE METHODOLOGY**

- For options [*in italics in square brackets*]: choose the applicable option. Options not chosen should be deleted.
- For fields in [grey in square brackets]: enter the appropriate data.

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**Terms of reference for an audit engagement for a methodology certificate in connection with one or more grant agreements financed under the Horizon 2020 Research and Innovation Framework Programme**

This document sets out the **‘Terms of Reference (ToR)’** under which

*[OPTION 1: [insert name of the beneficiary] (‘the Beneficiary’)] [OPTION 2: [insert name of the linked third party] (‘the Linked Third Party’), third party linked to the Beneficiary [insert name of the beneficiary] (‘the Beneficiary’)]*

agrees to engage

**[insert legal name of the auditor]** (‘the Auditor’)

to produce an independent report of factual findings (‘the Report’) concerning the *[Beneficiary’s]* *[Linked Third Party’s]* usual accounting practices for calculating and claiming direct personnel costs declared as unit costs (‘the Methodology’) in connection with grant agreements financed under the Horizon 2020 Research and Innovation Framework Programme.

The procedures to be carried out for the assessment of the methodology will be based on the grant agreement(s) detailed below:

**[title and number of the grant agreement(s)]** (‘the Agreement(s)’)

The Agreement(s) has(have) been concluded between the Beneficiary and *[OPTION 1: the European Union, represented by the European Commission (‘the Commission’)] [OPTION 2: the European Atomic Energy Community (Euratom,) represented by the European Commission (‘the Commission’)] [OPTION 3: the [Research Executive Agency (REA)] [European Research Council Executive Agency (ERCEA)] [Innovation and Networks Executive Agency (INEA)] [Executive Agency for Small and Medium-sized Enterprises (EASME)] (‘the Agency’), under the powers delegated by the European Commission (‘the Commission’)].*

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The *[Commission] [Agency]* is mentioned as a signatory of the Agreement with the Beneficiary only. The *[European Union] [Euratom] [Agency]* is not a party to this engagement.

### 1.1 Subject of the engagement

According to Article 18.1.2 of the Agreement, beneficiaries *[and linked third parties]* that declare direct personnel costs as unit costs calculated in accordance with their usual cost accounting practices may submit to the *[Commission] [Agency]*, for approval, a certificate on the methodology ('CoMUC') stating that there are adequate records and documentation to prove that their cost accounting practices used comply with the conditions set out in Point A of Article 6.2.

The subject of this engagement is the CoMUC which is composed of two separate documents:

- the Terms of Reference ('the ToR') to be signed by the *[Beneficiary] [Linked Third Party]* and the Auditor;
- the Auditor's Independent Report of Factual Findings ('the Report') issued on the Auditor's letterhead, dated, stamped and signed by the Auditor which includes; the standard statements ('the Statements') evaluated and signed by the *[Beneficiary] [Linked Third Party]*, the agreed-upon procedures ('the Procedures') performed by the Auditor and the standard factual findings ('the Findings') assessed by the Auditor. The Statements, Procedures and Findings are summarised in the table that forms part of the Report.

The information provided through the Statements, the Procedures and the Findings will enable the Commission to draw conclusions regarding the existence of the *[Beneficiary's] [Linked Third Party's]* usual cost accounting practice and its suitability to ensure that direct personnel costs claimed on that basis comply with the provisions of the Agreement. The Commission draws its own conclusions from the Report and any additional information it may require.

### 1.2 Responsibilities

The parties to this agreement are the *[Beneficiary] [Linked Third Party]* and the Auditor.

The *[Beneficiary] [Linked Third Party]*:

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- is responsible for preparing financial statements for the Agreement(s) ('the Financial Statements') in compliance with those Agreements;
- is responsible for providing the Financial Statement(s) to the Auditor and enabling the Auditor to reconcile them with the [Beneficiary's] [Linked Third Party's] accounting and bookkeeping system and the underlying accounts and records. The Financial Statement(s) will be used as a basis for the procedures which the Auditor will carry out under this ToR;
- is responsible for its Methodology and liable for the accuracy of the Financial Statement(s);
- is responsible for endorsing or refuting the Statements indicated under the heading 'Statements to be made by the Beneficiary/ Linked Third Party' in the first column of the table that forms part of the Report;
- must provide the Auditor with a signed and dated representation letter;
- accepts that the ability of the Auditor to carry out the Procedures effectively depends upon the [Beneficiary] [Linked Third Party] providing full and free access to the [Beneficiary's] [Linked Third Party's] staff and to its accounting and other relevant records.

The Auditor:

- *[Option 1 by default: is qualified to carry out statutory audits of accounting documents in accordance with Directive 2006/43/EC of the European Parliament and of the Council of 17 May 2006 on statutory audits of annual accounts and consolidated accounts, amending Council Directives 78/660/EEC and 83/349/EEC and repealing Council Directive 84/253/EEC or similar national regulations].*
- *[Option 2 if the Beneficiary or Linked Third Party has an independent Public Officer: is a competent and independent Public Officer for which the relevant national authorities have established the legal capacity to audit the Beneficiary].*
- *[Option 3 if the Beneficiary or Linked Third Party is an international organisation: is an [internal] [external] auditor in accordance with the internal financial regulations and procedures of the international organisation].*

The Auditor:

- must be independent from the Beneficiary [and the Linked Third Party], in particular, it must not have been involved in preparing the Beneficiary's [and Linked Third Party's] Financial Statement(s);
- must plan work so that the Procedures may be carried out and the Findings may be assessed;
- must adhere to the Procedures laid down and the compulsory report format;
- must carry out the engagement in accordance with these ToR;
- must document matters which are important to support the Report;
- must base its Report on the evidence gathered;
- must submit the Report to the [Beneficiary] [Linked Third Party].

The Commission sets out the Procedures to be carried out and the Findings to be endorsed by the Auditor. The Auditor is not responsible for their suitability or pertinence. As this engagement is not an assurance engagement the Auditor does not provide an audit opinion or a statement of assurance.

### 1.3 Applicable Standards

The Auditor must comply with these Terms of Reference and with<sup>1</sup>:

- the International Standard on Related Services ('ISRS') 4400 *Engagements to perform Agreed-upon Procedures regarding Financial Information* as issued by the International Auditing and Assurance Standards Board (IAASB);
- the *Code of Ethics for Professional Accountants* issued by the International Ethics Standards Board for Accountants (IESBA). Although ISRS 4400 states that independence is not a requirement for engagements to carry out agreed-upon procedures, the Commission requires that the Auditor also complies with the Code's independence requirements.

The Auditor's Report must state that there was no conflict of interests in establishing this Report between the Auditor and the Beneficiary [*and the Linked Third Party*] that could have a bearing on the Report, and must specify – if the service is invoiced - the total fee paid to the Auditor for providing the Report.

### 1.4 Reporting

The Report must be written in the language of the Agreement (see Article 20.7 of the Agreement).

Under Article 22 of the Agreement, the Commission, [*the Agency*], the European Anti-Fraud Office and the Court of Auditors have the right to audit any work that is carried out under the action and for which costs are claimed from [*the European Union*] [*Euratom*] budget. This includes work related to this engagement. The Auditor must provide access to all working papers related to this assignment if the Commission, [*the Agency*], the European Anti-Fraud Office or the European Court of Auditors requests them.

### 1.5 Timing

The Report must be provided by [dd Month yyyy].

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<sup>1</sup> Supreme Audit Institutions applying INTOSAI-standards may carry out the Procedures according to the corresponding International Standards of Supreme Audit Institutions and code of ethics issued by INTOSAI instead of the International Standard on Related Services ('ISRS') 4400 and the Code of Ethics for Professional Accountants issued by the IAASB and the IESBA.



**1.6 Other Terms**

*[The [Beneficiary] [Linked Third Party] and the Auditor can use this section to agree other specific terms, such as the Auditor’s fees, liability, applicable law, etc. Those specific terms must not contradict the terms specified above.]*

[legal name of the Auditor]	[legal name of the [Beneficiary] [Linked Third Party]]
[name & title of authorised representative]	[name & title of authorised representative]
[dd Month yyyy]	[dd Month yyyy]
Signature of the Auditor	Signature of the [Beneficiary] [Linked Third Party]

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**Independent report of factual findings on the methodology concerning grant agreements financed under the Horizon 2020 Research and Innovation Framework Programme**

*(To be printed on letterhead paper of the auditor)*

To

[ name of contact person(s)], [Position]

[[Beneficiary's] [Linked Third Party's] name]

[ Address]

[ dd Month yyyy]

Dear [Name of contact person(s)],

As agreed under the terms of reference dated [dd Month yyyy]

with [OPTION 1: [insert name of the beneficiary] ('the Beneficiary')] [OPTION 2: [insert name of the linked third party] ('the Linked Third Party'), third party linked to the Beneficiary [insert name of the beneficiary] ('the Beneficiary')],

we

[ name of the auditor] ('the Auditor'),

established at

[full address/city/state/province/country],

represented by

[name and function of an authorised representative],

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have carried out the agreed-upon procedures ('the Procedures') and provide hereby our Independent Report of Factual Findings ('the Report'), concerning the *[Beneficiary's] [Linked Third Party's]* usual accounting practices for calculating and declaring direct personnel costs declared as unit costs ('the Methodology').

You requested certain procedures to be carried out in connection with the grant(s)

[title and number of the grant agreement(s)] ('the Agreement(s)').

## The Report

Our engagement was carried out in accordance with the terms of reference ('the ToR') appended to this Report. The Report includes: the standard statements ('the Statements') made by the *[Beneficiary] [Linked Third Party]*, the agreed-upon procedures ('the Procedures') carried out and the standard factual findings ('the Findings') confirmed by us.

The engagement involved carrying out the Procedures and assessing the Findings and the documentation requested appended to this Report, the results of which the Commission uses to draw conclusions regarding the acceptability of the Methodology applied by the *[Beneficiary] [Linked Third Party]*.

The Report covers the methodology used from [dd Month yyyy]. In the event that the *[Beneficiary] [Linked Third Party]* changes this methodology, the Report will not be applicable to any Financial Statement<sup>2</sup> submitted thereafter.

The scope of the Procedures and the definition of the standard statements and findings were determined solely by the Commission. Therefore, the Auditor is not responsible for their suitability or pertinence.

Since the Procedures carried out constitute neither an audit nor a review made in accordance with International Standards on Auditing or International Standards on Review Engagements, we do not

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<sup>2</sup> Financial Statement in this context refers solely to Annex 4 of the Agreement by which the Beneficiary declares costs under the Agreement.

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give a statement of assurance on the costs declared on the basis of the [Beneficiary's] [Linked Third Party's] Methodology. Had we carried out additional procedures or had we performed an audit or review in accordance with these standards, other matters might have come to its attention and would have been included in the Report.

### Exceptions

Apart from the exceptions listed below, the [Beneficiary] [Linked Third Party] agreed with the standard Statements and provided the Auditor all the documentation and accounting information needed by the Auditor to carry out the requested Procedures and corroborate the standard Findings.

**List here any exception and add any information on the cause and possible consequences of each exception, if known. If the exception is quantifiable, also indicate the corresponding amount.**

.....

*Explanation of possible exceptions in the form of examples (to be removed from the Report):*

- i. the [Beneficiary] [Linked Third Party] did not agree with the standard Statement number ... because...;*
- ii. the Auditor could not carry out the procedure ... established because .... (e.g. due to the inability to reconcile key information or the unavailability or inconsistency of data);*
- iii. the Auditor could not confirm or corroborate the standard Finding number ... because ....*

### Remarks

We would like to add the following remarks relevant for the proper understanding of the Methodology applied by the [Beneficiary] [Linked Third Party] or the results reported:

*Example (to be removed from the Report):*

*Regarding the methodology applied to calculate hourly rates ...*

*Regarding standard Finding 15 it has to be noted that ...*

*The [Beneficiary] [Linked Third Party] explained the deviation from the benchmark statement XXIV concerning time recording for personnel with no exclusive dedication to the action in the following manner:*

...

### Annexes

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Please provide the following documents to the auditor and annex them to the report when submitting this CoMUC to the Commission:

1. Brief description of the methodology for calculating personnel costs, productive hours and hourly rates;
2. Brief description of the time recording system in place;
3. An example of the time records used by the [Beneficiary] [Linked Third Party];
4. Description of any budgeted or estimated elements applied, together with an explanation as to why they are relevant for calculating the personnel costs and how they are based on objective and verifiable information;
5. A summary sheet with the hourly rate for direct personnel declared by the [Beneficiary] [Linked Third Party] and recalculated by the Auditor for each staff member included in the sample (the names do not need to be reported);
6. A comparative table summarising for each person selected in the sample a) the time claimed by the [Beneficiary] [Linked Third Party] in the Financial Statement(s) and b) the time according to the time record verified by the Auditor;
7. A copy of the letter of representation provided to the Auditor.

### Use of this Report

This Report has been drawn up solely for the purpose given under Point 1.1 Reasons for the engagement.

The Report:

- is confidential and is intended to be submitted to the Commission by the [Beneficiary] [Linked Third Party] in connection with Article 18.1.2 of the Agreement;
- may not be used by the [Beneficiary] [Linked Third Party] or by the Commission for any other purpose, nor distributed to any other parties;
- may be disclosed by the Commission only to authorised parties, in particular the European Anti-Fraud Office (OLAF) and the European Court of Auditors.
- relates only to the usual cost accounting practices specified above and does not constitute a report on the Financial Statements of the [Beneficiary] [Linked Third Party].

No conflict of interest<sup>3</sup> exists between the Auditor and the Beneficiary [and the Linked Third Party] that could have a bearing on the Report. The total fee paid to the Auditor for producing the Report was EUR [ ] (including EUR [ ] of deductible VAT).

<sup>3</sup> A conflict of interest arises when the Auditor's objectivity to establish the certificate is compromised in fact or in appearance when the Auditor for instance:

- was involved in the preparation of the Financial Statements;

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We look forward to discussing our Report with you and would be pleased to provide any further information or assistance which may be required.

Yours sincerely

[legal name of the Auditor]

[name and title of the authorised representative]

[dd Month yyyy]

Signature of the Auditor

- 
- stands to benefit directly should the certificate be accepted;
  - has a close relationship with any person representing the beneficiary;
  - is a director, trustee or partner of the beneficiary; or
  - is in any other situation that compromises his or her independence or ability to establish the certificate impartially.

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**Statements to be made by the Beneficiary/Linked Third Party ('the Statements') and Procedures to be carried out by the Auditor ('the Procedures') and standard factual findings ('the Findings') to be confirmed by the Auditor**

The Commission reserves the right to provide the auditor with guidance regarding the Statements to be made, the Procedures to be carried out or the Findings to be ascertained and the way in which to present them. The Commission reserves the right to vary the Statements, Procedures or Findings by written notification to the Beneficiary/Linked Third Party to adapt the procedures to changes in the grant agreement(s) or to any other circumstances.

If this methodology certificate relates to the Linked Third Party's usual accounting practices for calculating and claiming direct personnel costs declared as unit costs any reference here below to 'the Beneficiary' is to be considered as a reference to 'the Linked Third Party'.

<b>Please explain any discrepancies in the body of the Report.</b>	
<b>Statements to be made by Beneficiary</b>	<b>Procedures to be carried out and Findings to be confirmed by the Auditor</b>
<p><b>A. Use of the Methodology</b></p> <p>I. The cost accounting practice described below has been in use since [dd Month yyyy].</p> <p>II. The next planned alteration to the methodology used by the Beneficiary will be from [dd Month yyyy].</p>	<p><b>Procedure:</b></p> <p>✓ The Auditor checked these dates against the documentation the Beneficiary has provided.</p> <p><b>Factual finding:</b></p> <p>1. The dates provided by the Beneficiary were consistent with the documentation.</p>
<p><b>B. Description of the Methodology</b></p> <p>III. The methodology to calculate unit costs is being used in a consistent manner and is reflected in the relevant procedures.</p> <p><i>[Please describe the methodology your entity uses to calculate <u>personnel</u> costs, productive hours and hourly rates, present your description to the Auditor and annex it to this certificate]</i></p> <p><i>[If the statement of section "B. Description of the methodology" cannot be endorsed by the Beneficiary or there is no written methodology to calculate unit costs it should be listed here below and reported as exception by the Auditor in the main Report of</i></p>	<p><b>Procedure:</b></p> <p>✓ The Auditor reviewed the description, the relevant manuals and/or internal guidance documents describing the methodology.</p> <p><b>Factual finding:</b></p> <p>2. The brief description was consistent with the relevant manuals, internal guidance and/or other documentary evidence the Auditor has reviewed.</p> <p>3. The methodology was generally applied by the Beneficiary as part of its usual costs accounting practices.</p>

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<b>Please explain any discrepancies in the body of the Report.</b>	
<b>Statements to be made by Beneficiary</b>	<b>Procedures to be carried out and Findings to be confirmed by the Auditor</b>
<i>Factual Findings:</i> - ...]	
<p><b>C. Personnel costs</b></p> <p><u>General</u></p> <p>IV. The unit costs (hourly rates) are limited to salaries including during parental leave, social security contributions, taxes and other costs included in the remuneration required under national law and the employment contract or equivalent appointing act;</p> <p>V. Employees are hired directly by the Beneficiary in accordance with national law, and work under its sole supervision and responsibility;</p> <p>VI. The Beneficiary remunerates its employees in accordance with its usual practices. This means that personnel costs are charged in line with the Beneficiary's usual payroll policy (e.g. salary policy, overtime policy, variable pay) and no special conditions exist for employees assigned to tasks relating to the European Union or Euratom, unless explicitly provided for in the grant agreement(s);</p> <p>VII. The Beneficiary allocates its employees to the relevant group/category/cost centre for the purpose of the unit cost calculation in line with the usual cost accounting practice;</p> <p>VIII. Personnel costs are based on the payroll system and accounting system.</p> <p>IX. Any exceptional adjustments of actual personnel costs resulted from relevant budgeted or estimated elements and were based on objective and verifiable information. <i>[Please describe the 'budgeted or estimated elements' and their relevance to personnel costs, and explain how they were reasonable and based on objective and verifiable information, present your explanation to the Auditor and annex it to this certificate].</i></p> <p>X. Personnel costs claimed do not contain any of the following ineligible costs: costs related to return on capital; debt and debt service charges; provisions for future losses</p>	<p><b>Procedure:</b></p> <p><i>The Auditor draws a sample of employees to carry out the procedures indicated in this section C and the following sections D to F.</i></p> <p><i>[The Auditor has drawn a random sample of 10 full-time equivalents made up of employees assigned to the action(s). If fewer than 10 full-time equivalents are assigned to the action(s), the Auditor has selected a sample of 10 full-time equivalents consisting of all employees assigned to the action(s), complemented by other employees irrespective of their assignments.]. For this sample:</i></p> <ul style="list-style-type: none"> <li>✓ the Auditor reviewed all documents relating to personnel costs such as employment contracts, payslips, payroll policy (e.g. salary policy, overtime policy, variable pay policy), accounting and payroll records, applicable national tax, labour and social security law and any other documents corroborating the personnel costs claimed;</li> <li>✓ in particular, the Auditor reviewed the employment contracts of the employees in the sample to verify that:             <ul style="list-style-type: none"> <li>i. they were employed directly by the Beneficiary in accordance with applicable national legislation;</li> <li>ii. they were working under the sole technical supervision and responsibility of the latter;</li> <li>iii. they were remunerated in accordance with the Beneficiary's usual practices;</li> <li>iv. they were allocated to the correct group/category/cost centre for the purposes of calculating the unit cost in line with the Beneficiary's usual cost accounting practices;</li> </ul> </li> <li>✓ the Auditor verified that any ineligible items or any costs claimed under other costs categories or costs covered by other types of grant or by other grants financed from the European Union budget have not been taken</li> </ul>



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<b>Please explain any discrepancies in the body of the Report.</b>	
<b>Statements to be made by Beneficiary</b>	<b>Procedures to be carried out and Findings to be confirmed by the Auditor</b>
<p>or debts; interest owed; doubtful debts; currency exchange losses; bank costs charged by the Beneficiary's bank for transfers from the Commission/Agency; excessive or reckless expenditure; deductible VAT or costs incurred during suspension of the implementation of the action.</p> <p>XI. Personnel costs were not declared under another EU or Euratom grant (including grants awarded by a Member State and financed by the EU budget and grants awarded by bodies other than the Commission/Agency for the purpose of implementing the EU budget).</p> <p><u>If additional remuneration as referred to in the grant agreement(s) is paid</u></p> <p>XII. The Beneficiary is a non-profit legal entity;</p> <p>XIII. The additional remuneration is part of the beneficiary's usual remuneration practices and paid consistently whenever the relevant work or expertise is required;</p> <p>XIV. The criteria used to calculate the additional remuneration are objective and generally applied regardless of the source of funding;</p> <p>XV. The additional remuneration included in the personnel costs used to calculate the hourly rates for the grant agreement(s) is capped at EUR 8 000 per full-time equivalent (reduced proportionately if the employee is not assigned exclusively to the action).</p> <p><u>If certain statement(s) of section "C. Personnel costs" cannot be endorsed by the Beneficiary they should be listed here below and reported as exception by the Auditor in the main Report of</u></p>	<p>into account when calculating the personnel costs;</p> <ul style="list-style-type: none"> <li>✓ the Auditor numerically reconciled the total amount of personnel costs used to calculate the unit cost with the total amount of personnel costs recorded in the statutory accounts and the payroll system.</li> <li>✓ to the extent that actual personnel costs were adjusted on the basis of budgeted or estimated elements, the Auditor carefully examined those elements and checked the information source to confirm that they correspond to objective and verifiable information;</li> <li>✓ if additional remuneration has been claimed, the Auditor verified that the Beneficiary was a non-profit legal entity, that the amount was capped at EUR 8000 per full-time equivalent and that it was reduced proportionately for employees not assigned exclusively to the action(s).</li> <li>✓ the Auditor recalculated the personnel costs for the employees in the sample.</li> </ul> <p><b>Factual finding:</b></p> <ol style="list-style-type: none"> <li>4. All the components of the remuneration that have been claimed as personnel costs are supported by underlying documentation.</li> <li>5. The employees in the sample were employed directly by the Beneficiary in accordance with applicable national law and were working under its sole supervision and responsibility.</li> <li>6. Their employment contracts were in line with the Beneficiary's usual policy;</li> <li>7. Personnel costs were duly documented and consisted solely of salaries, social security contributions (pension contributions, health insurance, unemployment fund contributions, etc.), taxes and other statutory costs included in the remuneration (holiday pay, thirteenth month's pay, etc.);</li> <li>8. The totals used to calculate the personnel unit costs are consistent with those registered in the payroll and accounting records;</li> <li>9. To the extent that actual personnel costs were adjusted on the basis of budgeted or estimated elements, those elements were</li> </ol>

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<b>Please explain any discrepancies in the body of the Report.</b>	
<b>Statements to be made by Beneficiary</b>	<b>Procedures to be carried out and Findings to be confirmed by the Auditor</b>
<p><b>Factual Findings:</b></p> <p>- ...]</p>	<p>relevant for calculating the personnel costs and correspond to objective and verifiable information. The budgeted or estimated elements used are: — (indicate the elements and their values).</p> <p>10. Personnel costs contained no ineligible elements;</p> <p>11. Specific conditions for eligibility were fulfilled when additional remuneration was paid: a) the Beneficiary is registered in the grant agreements as a non-profit legal entity; b) it was paid according to objective criteria generally applied regardless of the source of funding used and c) remuneration was capped at EUR 8000 per full-time equivalent (or up to up to the equivalent pro-rata amount if the person did not work on the action full-time during the year or did not work exclusively on the action).</p>
<p><b>D. Productive hours</b></p> <p>XVI. The number of productive hours per full-time employee applied is <i>[delete as appropriate]</i>:</p> <p>A. 1720 productive hours per year for a person working full-time (corresponding pro-rata for persons not working full time).</p> <p>B. the total number of hours worked in the year by a person for the Beneficiary</p> <p>C. the standard number of annual hours generally applied by the beneficiary for its personnel in accordance with its usual cost accounting practices. This number must be at least 90% of the standard annual workable hours.</p> <p><u>If method B is applied</u></p> <p>XVII. The calculation of the total number of hours worked was done as follows: annual workable hours of the person according to the employment contract, applicable labour agreement or national law plus overtime worked minus absences (such as sick leave and special leave).</p> <p>XVIII. 'Annual workable hours' are hours</p>	<p><b>Procedure (same sample basis as for Section C: Personnel costs):</b></p> <ul style="list-style-type: none"> <li>✓ The Auditor verified that the number of productive hours applied is in accordance with method A, B or C.</li> <li>✓ The Auditor checked that the number of productive hours per full-time employee is correct and that it is reduced proportionately for employees not exclusively assigned to the action(s).</li> <li>✓ If method B is applied the Auditor verified i) the manner in which the total number of hours worked was done and ii) that the contract specified the annual workable hours by inspecting all the relevant documents, national legislation, labour agreements and contracts.</li> <li>✓ If method C is applied the Auditor reviewed the manner in which the standard number of working hours per year has been calculated by inspecting all the relevant documents, national legislation, labour agreements and contracts and verified that the number of productive hours per year used for these calculations was at least 90% of the standard number of working hours per year.</li> </ul>

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<b>Please explain any discrepancies in the body of the Report.</b>	
<b>Statements to be made by Beneficiary</b>	<b>Procedures to be carried out and Findings to be confirmed by the Auditor</b>
<p>during which the personnel must be working, at the employer’s disposal and carrying out his/her activity or duties under the employment contract, applicable collective labour agreement or national working time legislation.</p> <p>XIX. The contract (applicable collective labour agreement or national working time legislation) do specify the working time enabling to calculate the annual workable hours.</p> <p><u>If method C is applied</u></p> <p>XX. The standard number of productive hours per year is that of a full-time equivalent; for employees not assigned exclusively to the action(s) this number is reduced proportionately.</p> <p>XXI. The number of productive hours per year on which the hourly rate is based i) corresponds to the Beneficiary’s usual accounting practices; ii) is at least 90% of the standard number of workable (working) hours per year.</p> <p>XXII. Standard workable (working) hours are hours during which personnel are at the Beneficiary’s disposal performing the duties described in the relevant employment contract, collective labour agreement or national labour legislation. The number of standard annual workable (working) hours that the Beneficiary claims is supported by labour contracts, national legislation and other documentary evidence.</p> <p><i>[If certain statement(s) of section “D. Productive hours” cannot be endorsed by the Beneficiary they should be listed here below and reported as exception by the Auditor:</i></p> <p>- ...]</p>	<p><b>Factual finding:</b></p> <p><u>General</u></p> <p>12. The Beneficiary applied a number of productive hours consistent with method A, B or C detailed in the left-hand column.</p> <p>13. The number of productive hours per year per full-time employee was accurate and was proportionately reduced for employees not working full-time or exclusively for the action.</p> <p><u>If method B is applied</u></p> <p>14. The number of ‘annual workable hours’, overtime and absences was verifiable based on the documents provided by the Beneficiary and the calculation of the total number of hours worked was accurate.</p> <p>15. The contract specified the working time enabling to calculate the annual workable hours.</p> <p><u>If method C is applied</u></p> <p>16. The calculation of the number of productive hours per year corresponded to the usual costs accounting practice of the Beneficiary.</p> <p>17. The calculation of the standard number of workable (working) hours per year was corroborated by the documents presented by the Beneficiary.</p> <p>18. The number of productive hours per year used for the calculation of the hourly rate was at least 90% of the number of workable (working) hours per year.</p>
<p><b>E. Hourly rates</b></p> <p>The hourly rates are correct because:</p> <p>XXIII. Hourly rates are correctly calculated since they result from dividing annual personnel</p>	<p><b>Procedure</b></p> <ul style="list-style-type: none"> <li>✓ The Auditor has obtained a list of all personnel rates calculated by the Beneficiary in accordance with the methodology used.</li> <li>✓ The Auditor has obtained a list of all the relevant employees, based on which the</li> </ul>

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<b>Please explain any discrepancies in the body of the Report.</b>	
<b>Statements to be made by Beneficiary</b>	<b>Procedures to be carried out and Findings to be confirmed by the Auditor</b>
<p>costs by the productive hours of a given year and group (e.g. staff category or department or cost centre depending on the methodology applied) and they are in line with the statements made in section C. and D. above.</p> <p><i>[If the statement of section 'E. Hourly rates' cannot be endorsed by the Beneficiary they should be listed here below and reported as exception by the Auditor:</i></p> <p>- ...]</p>	<p>personnel rate(s) are calculated.</p> <p>For 10 full-time equivalent employees selected at random (same sample basis as Section C: Personnel costs):</p> <ul style="list-style-type: none"> <li>✓ The Auditor recalculated the hourly rates.</li> <li>✓ The Auditor verified that the methodology applied corresponds to the usual accounting practices of the organisation and is applied consistently for all activities of the organisation on the basis of objective criteria irrespective of the source of funding.</li> </ul> <p><b>Factual finding:</b></p> <p>19. No differences arose from the recalculation of the hourly rate for the employees included in the sample.</p>
<p><b>F. Time recording</b></p> <p>XXIV. Time recording is in place for all persons with no exclusive dedication to one Horizon 2020 action. At least all hours worked in connection with the grant agreement(s) are registered on a <b>daily/weekly/monthly</b> basis <i>[delete as appropriate]</i> using a <b>paper/computer-based system</b> <i>[delete as appropriate]</i>;</p> <p>XXV. For persons exclusively assigned to one Horizon 2020 activity the Beneficiary has either signed a declaration to that effect or has put arrangements in place to record their working time;</p> <p>XXVI. Records of time worked have been signed by the person concerned (on paper or electronically) and approved by the action manager or line manager at least monthly;</p> <p>XXVII. Measures are in place to prevent staff from:</p> <ul style="list-style-type: none"> <li>i. recording the same hours twice,</li> <li>ii. recording working hours during absence periods (e.g. holidays, sick leave),</li> <li>iii. recording more than the number of productive hours per year used to calculate the hourly rates, and</li> </ul>	<p><b>Procedure</b></p> <ul style="list-style-type: none"> <li>✓ The Auditor reviewed the brief description, all relevant manuals and/or internal guidance describing the methodology used to record time.</li> </ul> <p>The Auditor reviewed the time records of the random sample of 10 full-time equivalents referred to under Section C: Personnel costs, and verified in particular:</p> <ul style="list-style-type: none"> <li>✓ that time records were available for all persons with not exclusive assignment to the action;</li> <li>✓ that time records were available for persons working exclusively for a Horizon 2020 action, or, alternatively, that a declaration signed by the Beneficiary was available for them certifying that they were working exclusively for a Horizon 2020 action;</li> <li>✓ that time records were signed and approved in due time and that all minimum requirements were fulfilled;</li> <li>✓ that the persons worked for the action in the periods claimed;</li> <li>✓ that no more hours were claimed than the productive hours used to calculate the hourly</li> </ul>

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<b>Please explain any discrepancies in the body of the Report.</b>	
<b>Statements to be made by Beneficiary</b>	<b>Procedures to be carried out and Findings to be confirmed by the Auditor</b>
<p>iv. recording hours worked outside the action period.</p> <p>XXVIII. No working time was recorded outside the action period;</p> <p>XXIX. No more hours were claimed than the productive hours used to calculate the hourly personnel rates.</p> <p><i>[Please provide a brief description of the <u>time recording system</u> in place together with the measures applied to ensure its reliability to the Auditor and annex it to the present certificate<sup>4</sup>].</i></p> <p><i>[If certain statement(s) of section “F. Time recording” cannot be endorsed by the Beneficiary they should be listed here below and reported as exception by the Auditor:</i></p> <p>- ...]</p>	<p>personnel rates;</p> <ul style="list-style-type: none"> <li>✓ that internal controls were in place to prevent that time is recorded twice, during absences for holidays or sick leave; that more hours are claimed per person per year for Horizon 2020 actions than the number of productive hours per year used to calculate the hourly rates; that working time is recorded outside the action period;</li> <li>✓ the Auditor cross-checked the information with human-resources records to verify consistency and to ensure that the internal controls have been effective. In addition, the Auditor has verified that no more hours were charged to Horizon 2020 actions per person per year than the number of productive hours per year used to calculate the hourly rates, and verified that no time worked outside the action period was charged to the action.</li> </ul> <p><b>Factual finding:</b></p> <ol style="list-style-type: none"> <li>20. The brief description, manuals and/or internal guidance on time recording provided by the Beneficiary were consistent with management reports/records and other documents reviewed and were generally applied by the Beneficiary to produce the financial statements.</li> <li>21. For the random sample time was recorded or, in the case of employees working exclusively for the action, either a signed declaration or time records were available;</li> <li>22. For the random sample the time records were signed by the employee and the action manager/line manager, at least monthly.</li> <li>23. Working time claimed for the action occurred in the periods claimed;</li> <li>24. No more hours were claimed than the number productive hours used to calculate the hourly</li> </ol>

<sup>4</sup> The description of the time recording system must state among others information on the content of the time records, its coverage (full or action time-recording, for all personnel or only for personnel involved in H2020 actions), its degree of detail (whether there is a reference to the particular tasks accomplished), its form, periodicity of the time registration and authorisation (paper or a computer-based system; on a daily, weekly or monthly basis; signed and countersigned by whom), controls applied to prevent double-charging of time or ensure consistency with HR-records such as absences and travels as well as its information flow up to its use for the preparation of the Financial Statements.

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<b>Please explain any discrepancies in the body of the Report.</b>	
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	<p>personnel rates;</p> <p>25. There is proof that the Beneficiary has checked that working time has not been claimed twice, that it is consistent with absence records and the number of productive hours per year, and that no working time has been claimed outside the action period.</p> <p>26. Working time claimed is consistent with that on record at the human-resources department.</p>

**[official name of the [Beneficiary] [Linked Third Party]]**

**[official name of the Auditor]**

**[name and title of authorised representative]**

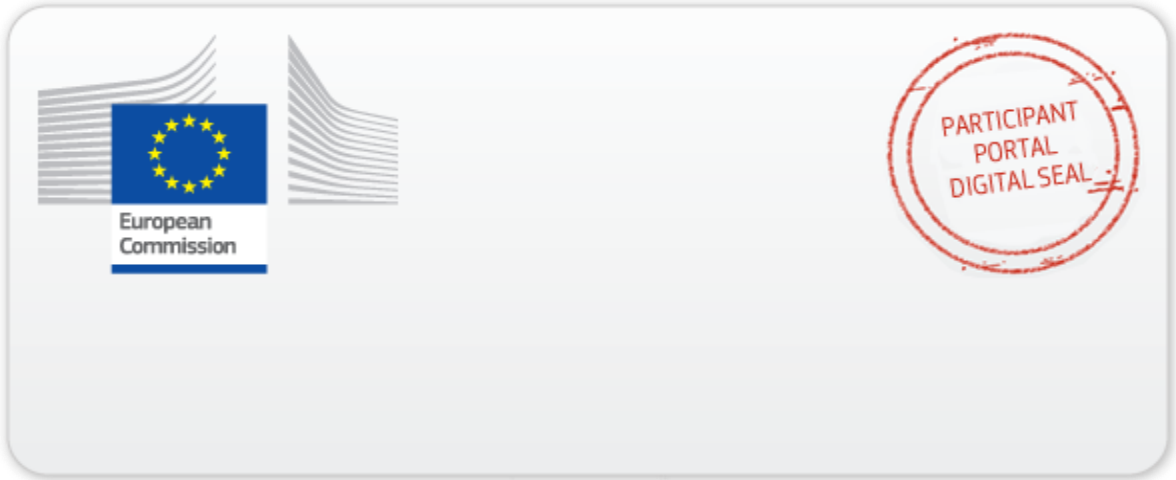
**[name and title of authorised representative]**

**[dd Month yyyy]**

**[dd Month yyyy]**

**<Signature of the [Beneficiary] [Linked Third Party]>**

**<Signature of the Auditor>**



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