How to Manage and Administer Integrated Projects and Networks of Excellence

EARMA Annual Conference
Budapest 14th June 2002

** Based on Information published by EC to June 2002 **

PRESENTER

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Contents

- New Management and Administration Tasks in FP6
- New Documents in FP6
- New Procedures in FP6
- New Skills needed for FP6
- How to Get Ready for Framework 6
- How EARMA can help Managers and Administrators
Framework 6 Websites
How to stay up to date on Framework 6

CORDIS www.cordis.lu/rtd2002/ + Cordis News

Europa http://europa.eu.int/comm/research/index_en.html

Framework 6 Conference in London (January 2002)
www.dti.gov.uk/ostinternational/eu_rtd_d/src/fp6/conference.html

CORDIS Focus http://www.cordis.lu/focus/

Course Website: www.hyperion.ie/framework6websites.htm
How Framework 6 was Prepared

The Politicians
- Council of Ministers
- European Parliament
- Court of Auditors
- Committee of the Regions
- Economic/Social Committee

Researchers
- Public Organizations
- Academia
- Research Centres
- Enterprises (SME+LE)

Framework 6 Preparation (Up to June 2002)
European Commission
Framework 6 Implementation (2002 to 2006)
The Impact on Research

The Politicians

Evaluation/Monitoring Assessments

Commission

?

?

Quality Management

Implementation Plan

“Impact”

Knowledge Plan

Consortium Agreement

Regional Impact

Involvement of SMEs

Project Management

Part C

TIP

Researchers

Part C
The Role of the Research Manager

The Politicians → Evaluation/Monitoring Assessments → Commission

Involvement of SMEs → Project Management

Consortium Agreement → "Impact" Knowledge Plan

Part C

Researchers

Quality Management → Implementation Plan

Regional Impact
The Role of Research Manager and Administrator

- Best Science, Publications, Presentations
- Time Sheets + Minutes
- Deliverables + Reports
- New Proposals
- Intellectual Property
- Technologies + Documents
- Part B + Partners
- Administration
- Exploitation

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Documents and Procedures in Framework 5

Proposal

Administrator
Part A
CPF Forms + Budgets

Manager (Co-ordinator)
Compiling Proposal
Evaluation Comments

Legal (IPR)
Consortium Agreement?
Model Contract

Exploitation Manager
Part C
Refine Plan for Exploitation

Researcher
Part B
Technical Annex

Negotiation

Duration of Project

Audit

Cost Statements E1, E2 and E3
Audit of Cost Statements

Manage Project Link with EC

Consortium Agreement

TIP + Dissemination

Scientific work + Deliverables
## Documents and Procedures in Framework 6

<table>
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<td>Exploitation Manager</td>
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<td>Researcher</td>
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## Comparing Framework 5/6: KEY POINTS

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<th>Framework 5</th>
<th>Framework 6</th>
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</thead>
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<tr>
<td>RTD Contracts</td>
<td>10,000</td>
<td>1000 (estimate)</td>
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<tr>
<td>Example</td>
<td>100 RTD contracts</td>
<td>10 RTD Contracts</td>
</tr>
<tr>
<td>Administration (EC)</td>
<td>7%</td>
<td>5.5%</td>
</tr>
<tr>
<td>EC Contribution</td>
<td>€ 1.6 million</td>
<td>€ 20-30 million</td>
</tr>
<tr>
<td>Number of Partners</td>
<td>8-10</td>
<td>15-30 (?)</td>
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<tr>
<td>Management Task</td>
<td>100% Funded</td>
<td>100% funded up to 6% of Budget</td>
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</tbody>
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Priorities of Framework 5 and 6

Framework 5

THEMATIC PROGRAMMES
1. QOL (Quality of Life)
2. GROWTH (Competitive and Growth)
3. IST (User-Friendly Information Society)
4. EESD (Energy, Environment and Sustainable Development)

HORIZONTAL PROGRAMMES
1. INCO (International Cooperation)
2. IPS (Innovation and SME Involvement)
3. IHP (Improving Human Potential)

Framework 6

SECTION 1: THEMATIC PRIORITIES
1. Genomics and Biotechnology for Health
2. Information Society Technologies
3. Nanotechnologies and nanosciences
4. Aeronautics and space
5. Food Quality and Safety
6. Sustainable development, global change/ecosystems
7. Citizens/governance in EU Knowledge Society
   Anticipating EU Needs/SMEs/International coop.

SECTION 2: STRUCTURING OF THE ERA
1. Research and Innovation
2. Researcher Mobility
3. Infrastructure
4. Science and Society

SECTION 3: STRENGTHENING THE FOUNDATIONS OF THE ERA
1. Co-ordination of European Research
2. Networking of National Research Activities
‘INSTRUMENTS’ IN FRAMEWORK 5 AND 6

Framework 5

- RTD Projects (1.6m€)
- Demonstration Projects
- RTD/Demonstration Projects

Framework 6

- Integrated Projects (20-30m€)
- Networks of Excellence (20-30m€)
- Article 169

- ‘Stairways of Excellence’
  - Targeted Research Projects
  - ‘Coordination Actions’

- Specific Support Actions
- Fellowships (Marie Curie)
- Infrastructures (Programme)

- Specific Programmes for SMEs
- CRAFT (Cooperative Research)
- Collective Research (New)

- Concerted Actions
- Thematic Networks
- Accompanying Measures
- Fellowships (Marie Curie)
- Research Infrastructures
- Exploratory Awards
- CRAFT (Cooperative Research)

‘Gone’
Structure of the Consortium (FP5 and FP6)

Framework 5
Consortium Fixed
(Duration of contract)

Framework 6
(Integrated Projects)
(Networks of Excellence)

‘Governing Council’
(Senior Representatives + Experts)

CORE GROUP

Assistants to Core Group

New Partners
(Based on Call for Proposals)

Calls launched by Consortium: No additional funding
Call launched by Commission: Additional funding
Who can participate (FP5 and FP6)?

**Framework 5**
- Minimum 2 Member States
- Candidate Countries
- Associate States
- European Economic Area
- Co-operative Agreements
- Joint Research Centres

**NEW**
- EMBL (European Molecular Biology Laboratory)
- ESO (European Southern Observatory)

**Framework 6**
- Minimum 2 Member States
- Candidate Countries
- Associate States
- European Economic Area
- Co-operative Agreements
- Joint Research Centres
- European Space Agency
- Eureka/ESF/ESO
- CERN + EMBL
THE EVALUATION PROCESS

Framework 5

Central Database

->

Central Evaluation

Framework 6

Central Database

Experts identified by EC

International Experts

Central Evaluation

Review of Proposals
Remote assessment
before central evaluation

One Step Process

Two Step Process
(Step 2 independent of Step 1)

->

One Step Process

Two Step Process
(Step 2 based on Step 1 proposals)
Formal Reports in Framework 5 and 6

**Framework 5**

Year 1  

Mid Term Review  

Year 2  

Annual Reports  

Year 3  

Final Review  

**Framework 6**

Year 1  

18 Month Plans  

Year 2  

Year 3  

Year 4  

Year 5  

Annual Reviews  

Mid Term Review  

Final Review  

“An annual review will be considered a ‘Technical Audit’”
Contract Budget (FP5 and FP6)

Framework 5

- Fixed Contract
- All contractors must sign before start
- Partner’s share defined
- Budget for Activities pre-defined
- Bank Guarantee at times
- EC Contribution % of ‘Eligible Costs’

Framework 6

- Contract may be expanded
- Contract may start after signature of coordinator
- Partner’s share not defined
- Budget for Activities NOT pre-defined
- No Bank Guarantees
- EC Contributions ‘Grant to the budget’ (IP)
  ‘Grant for Integration’ (NOE)
Audits and Costs Statements (FP5 and FP6)

Framework 5

- Labour
- Equipment
- Travel
- External Services
- Consumables
- Computing
- IPR Costs
- Other Costs

Number of projects audited “between 5 and 10%”

Framework 6 (Integrated Projects)

No Predefined Cost Categories

Based on partners own definitions and practices.

For each IP “at least one audit will be carried out”
Cost Statements (FP5 and FP6)

Framework 5

Framework 6

Cost Statements (Annual)

Information on Audit Certificates on www.cordis.lu/ist/manage.htm

Summary Expenditure Report

1. Audit Certificate
   (External independent auditor)
   OR
   Competent Public Servant
   (for public organisations)
   +

2. Management Justification
   +

3. Summary Certified Statement
   (Co-ordinator only)
CASHFLOW FRAMEWORK 5 PROJECT

Cash Flow Diagram:
- Cash
- Project Duration
- Net Cash

Cash Flow Stages:
- Advance 40% (max)
- Interim
- Interim
- Final 15%
CASHFLOW FRAMEWORK 6 PROJECT

Advance Year 1 (85%)

Advance Payment Year 1 (85%)

Advance Payment Year 2 (85%)

15% balance of year 1

Advance Payment Year 3

15% balance of year 2

Advance Year 4

18 Month Implementation Plan

Cash in

Cash out

Net Cash

Annual Review

Annual Review

Annual Review

Annual Review

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Liability of Partners (Framework 5)

“to protect the Community’s financial interests”

EC Part €
Partner 1
Work Package 1
Person Months

EC Part €
Partner 2
Work Package 2
Person Months

EC Part €
Partner 3
Work Package 3
Person Months

EC Part €
Partner n
Work Package n
Person Months

Deliverable 1

Deliverable 2

Deliverable 3

Deliverable n
Joint and Several Liability (Framework 6)

EC Contribution (€)
(Distribution NOT defined in EC Contracts)

Partner 1
Partner 2
Partner 3
Partner n

Work Package 1

Work Package 2

Work Package 3

Work Package n

Deliverable 1

Deliverable 2

Deliverable 3

Deliverable n
Documents and Procedures in Framework 6

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<tr>
<td>Manager (Co-ordinator)</td>
<td>Part A (20-30 partners)</td>
<td>CPF? (&gt;20 partners)</td>
<td>Expenditure Reports Audit Certificates</td>
<td>Audit During the Project</td>
</tr>
<tr>
<td>(Co-ordinator)</td>
<td>Overall Plan+18 Month Proposal Big Consortium</td>
<td>Detailed 18 Month Proposal</td>
<td>Annual Review+18 Month Implementation Plan</td>
<td>Technical Audit (Annual review)</td>
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<tr>
<td>Legal (IPR)</td>
<td>Consortium Agreement (Essential)</td>
<td>Consortium Agreement</td>
<td>Consortium Agreement Calls (New Partners)</td>
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<td>Exploitation Manager</td>
<td>Verifiable Exploitation Plan</td>
<td>Verify Exploitation Plan</td>
<td>eTIP Knowledge Plan</td>
<td>Technological Audit</td>
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<tr>
<td>Researcher</td>
<td>More ambitious Part B</td>
<td>Discussions-EC Site Visits</td>
<td>Excellent Science + Deliverables</td>
<td>Technical Audit</td>
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New Documents in FP6

New Procedures in FP6

New Skills needed for FP6

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How EARMA can help Managers and Administrators
New Skills Needed for Framework 6

How to Write a Competitive Proposal for Framework 6

How to Negotiate and Administer a Framework 6 Contract

How to Manage Integrated Projects/Networks of Excellence

How to Prepare a Consortium Agreement for FP6 Contracts

Audits in FP6 (Technical, Technological, Ethical, Financial)

How to Manage and Administer ‘Calls for Proposals’
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New Documents in FP6  New Procedures in FP6

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How EARMA can help Managers and Administrators
ROADMAP FOR 2002/2003
(Managers and Administrators)

Immediate
- Study New Model Contract
- Select Consortium Agreement
- Select Auditors for Audit Certificates
- Organise Project Databases
- Train staff on new procedures in FP6

June to November
- AGREE DIVISION OF WORK
  (Administration, Management, Exploitation, Legal, Research)

End of 2002
- Writing Proposals

Spring 2003
- Negotiating FP6 Contracts

Autumn+ 2003
- First FP6 Contracts launched
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How EARMA can help Managers and Administrators
The Role of EARMA

The Politicians

Awareness of the importance of R&D Management and Administration

Evaluation/Monitoring Assessments

Commission

Contribution to Procedures and Documents

Representation on Panels

Researchers

Training/Networking/Information
The Role of EARMA

- Training
- Training
- Networking + Information
- Awareness
- Training

- Management
- Deliverables + Reports
- Part B + Partners
- Intellectual Property
- Technologies + Documents
- Results

- Administration
- Time Sheets + Minutes
- Best Science, Publications, Presentations
- Exploitation

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Conclusions

Less Contracts (but more partners/bigger budgets)

More flexibility BUT more responsibility (liability)

It is public money: Strict financial accounting needed

Do not wait. Start preparing on Monday!

EARMA: Training/Information/Networking/Interfacing(EC)