

# **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/](http://www.cordis.lu/rtd2002/) + Cordis News**

**Europa [http://europa.eu.int/comm/research/index\\_en.html](http://europa.eu.int/comm/research/index_en.html)**

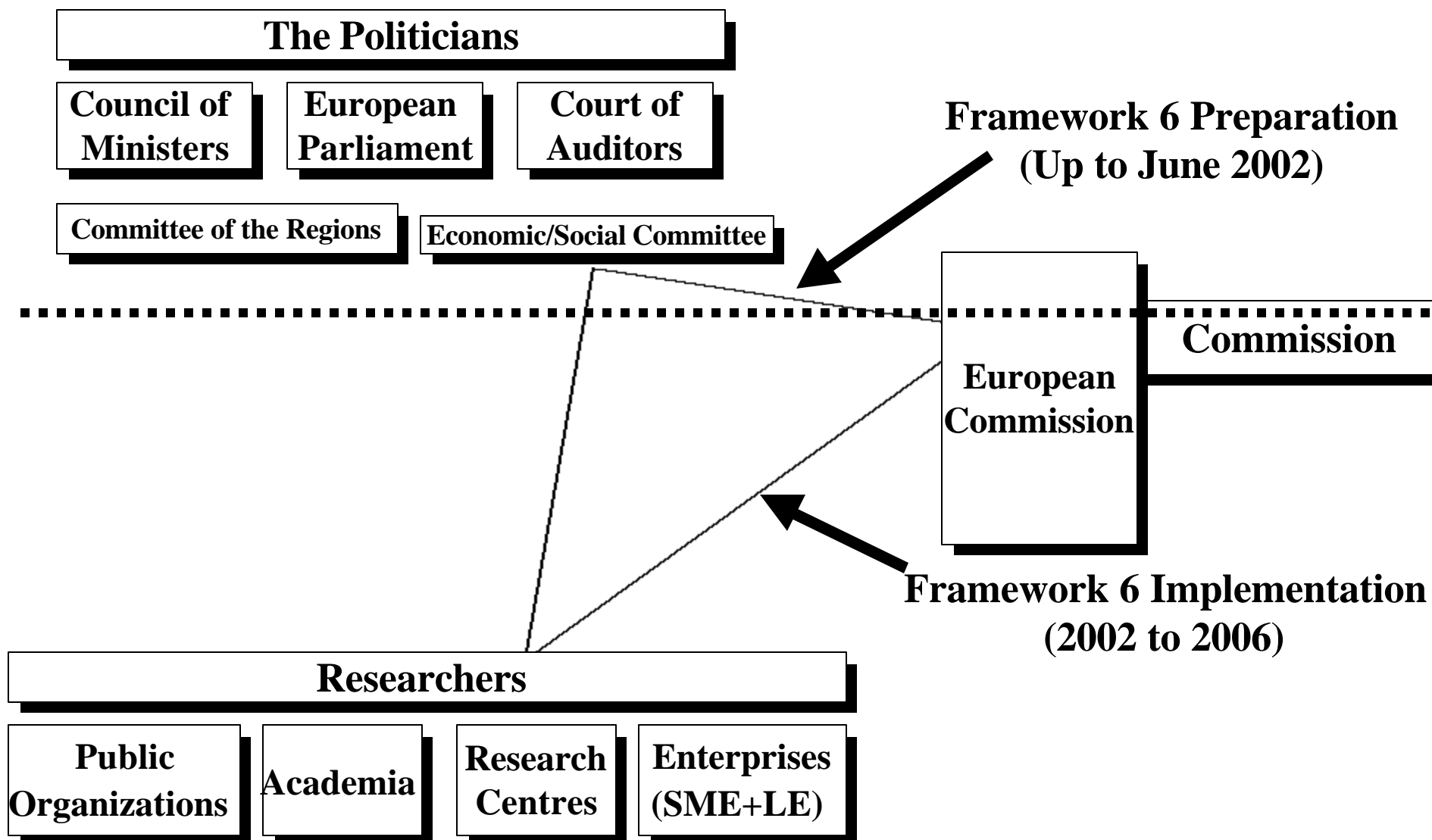
**Framework 6 Conference in London (January 2002)**

**[www.dti.gov.uk/ostinternational/eu\\_rtd\\_d/src/fp6/conference.html](http://www.dti.gov.uk/ostinternational/eu_rtd_d/src/fp6/conference.html)**

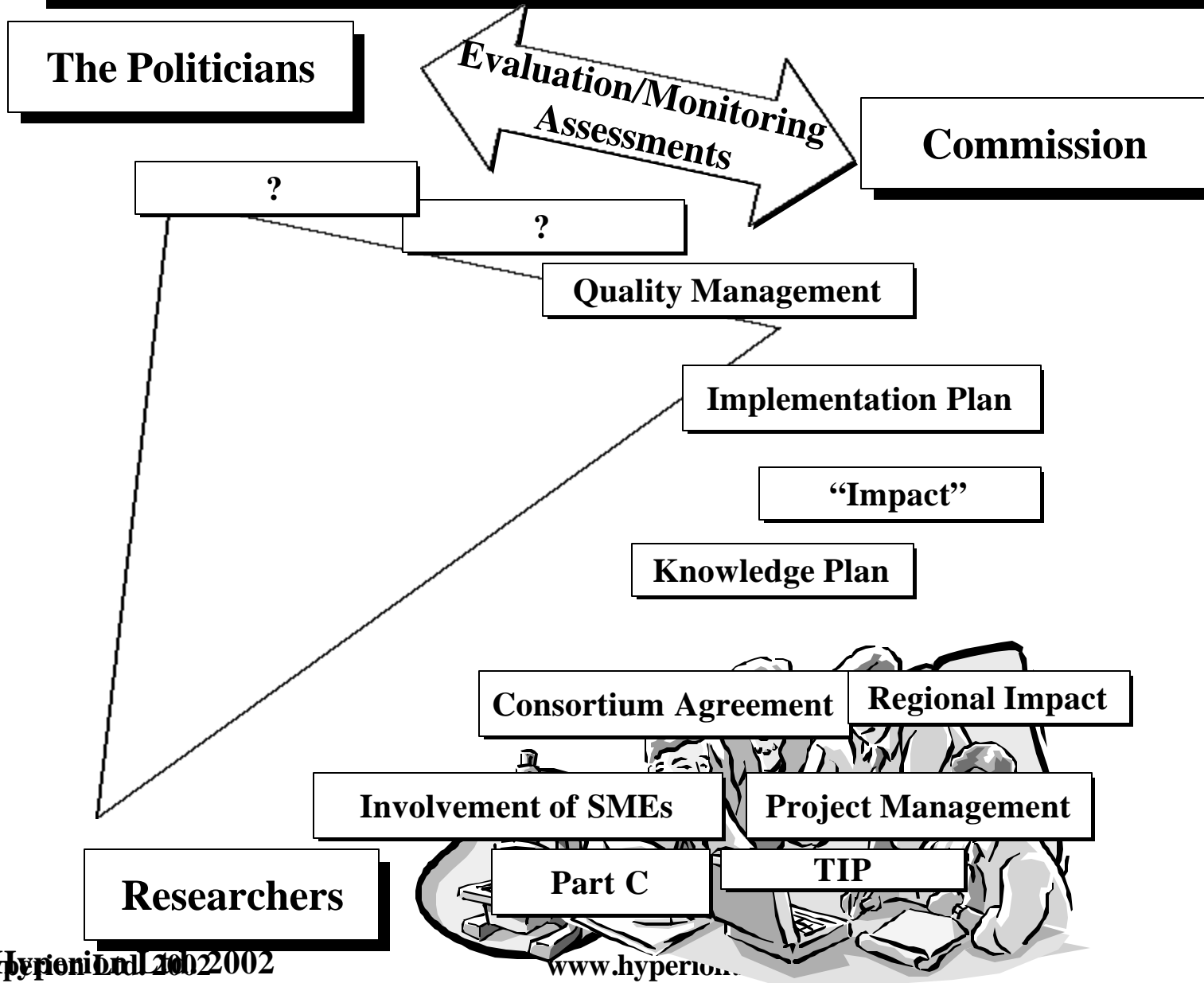
**CORDIS Focus <http://www.cordis.lu/focus/>**

**Course Website: [www.hyperion.ie/framework6websites.htm](http://www.hyperion.ie/framework6websites.htm)**

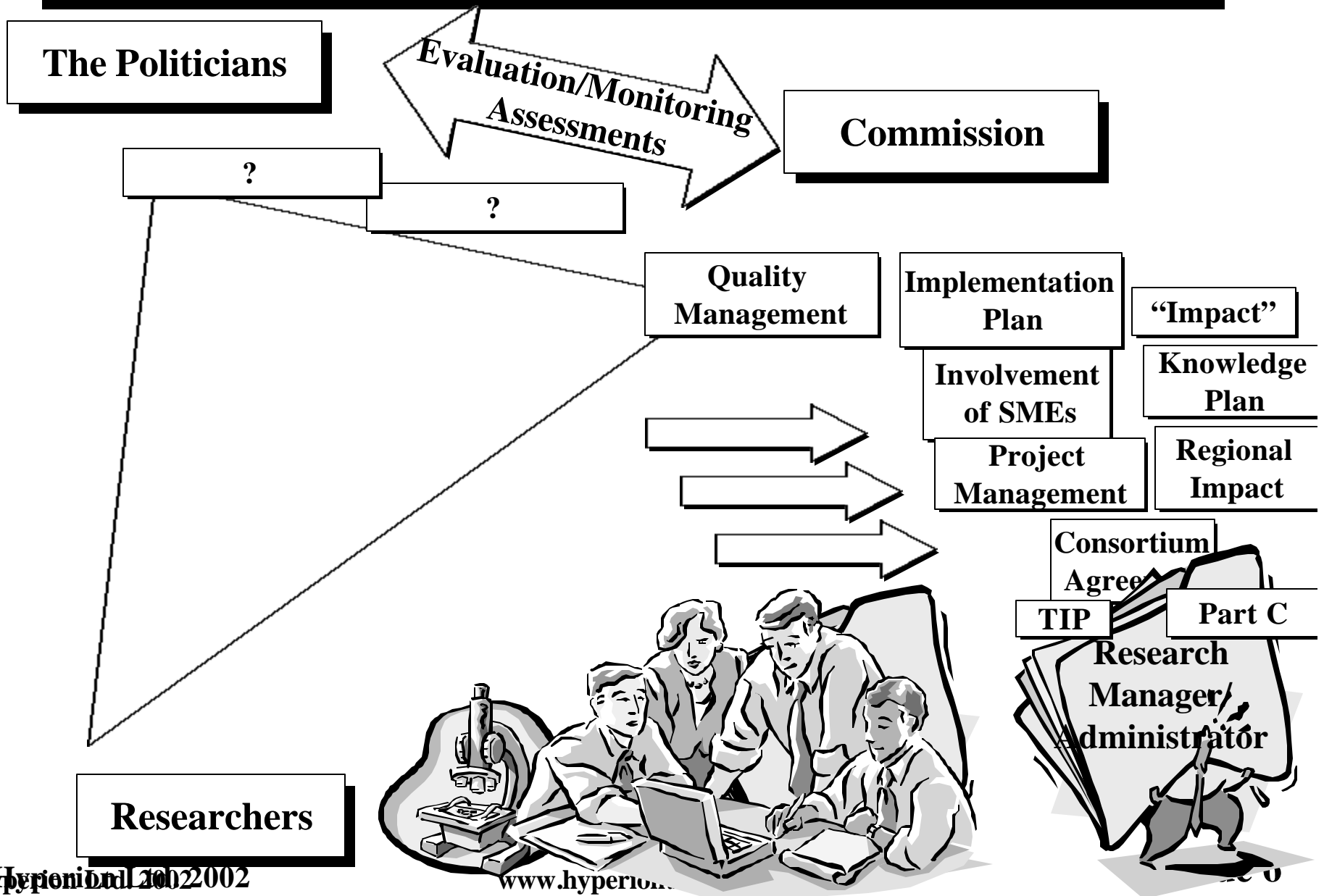
# How Framework 6 was Prepared



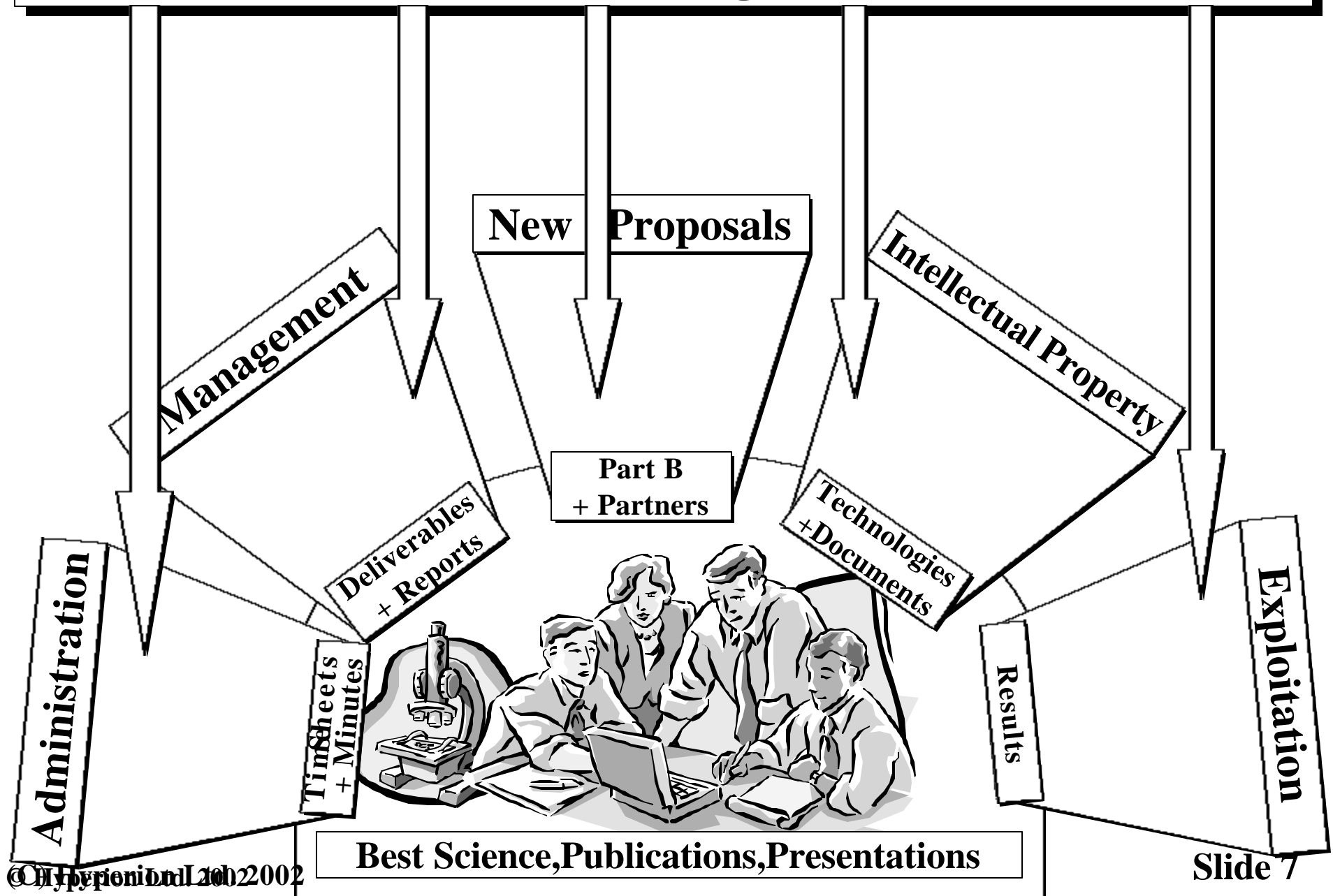
# The Impact on Research



# The Role of the Research Manager



# The Role of Research Manager and Administrator



# Documents and Procedures in Framework 5

	Proposal	Negotiation	Duration of Project	Audit
Administrator	Part A	CPF Forms + Budgets	Cost Statements E1, E2 and E3	Audit of Cost Statements
Manager (Co-ordinator)	Compiling Proposal	Evaluation Comments	Manage Project Link with EC	
Legal (IPR)	Consortium Agreement?	Model Contract	Consortium Agreement	
Exploitation Manager	Part C	Refine Plan for Exploitation	TIP + Dissemination	
Researcher	Part B	Technical Annex	Scientific work + Deliverables	



# Documents and Procedures in Framework 6

	Proposal	Negotiation	Duration of Project	Audit
Administrator	?	?	?	?
Manager (Co-ordinator)	?	?	?	?
Legal (IPR)	?	?	?	?
Exploitation Manager	?	?	?	?
Researcher	?	?	?	?

# Comparing Framework 5/6: KEY POINTS

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

# 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**

**Concerted Actions**

**Thematic Networks**

**Accompanying Measures**

**Fellowships (Marie Curie)**

**Research Infrastructures**

**Exploratory Awards**

**CRAFT(Cooperative Research)**

## **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)**

**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**

**Calls 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**

## 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**

EMBL(European Molecular Biology Laboratory)

ESO(European Southern Observatory)

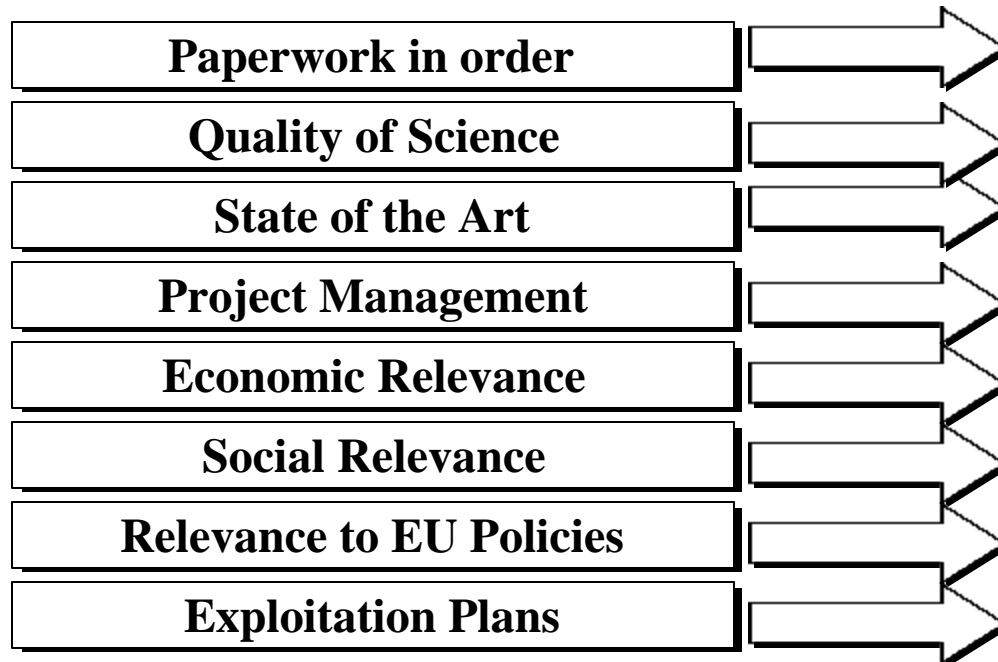
© Hyperion Ltd. 2002 Organisation for Nuclear Research [www.hyperion.ie](http://www.hyperion.ie)

ESF(European Science Foundation)

**Slide 14**

# COMPARING EVALUATION CRITERIA

## Framework 5



**Integrated Projects  
Networks of Excellence**

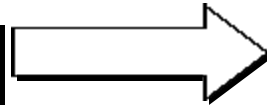
## Framework 6



# THE EVALUATION PROCESS

## Framework 5

Central Database



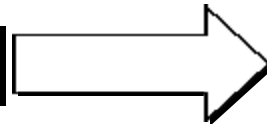
## Framework 6

Central Database

Experts identified by EC

International Experts

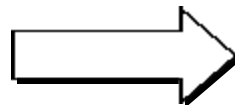
Central Evaluation



Central Evaluation

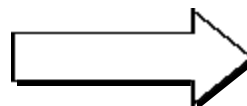
Review of Proposals  
Remote assessment  
before central evaluation

One Step Process



One Step Process

Two Step Process  
(Step 2 independent of Step 1)

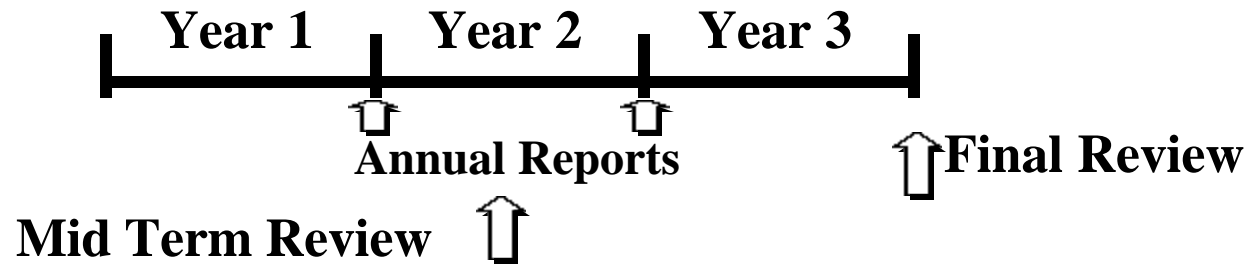


Two Step Process  
(Step 2 based on Step 1 proposals)

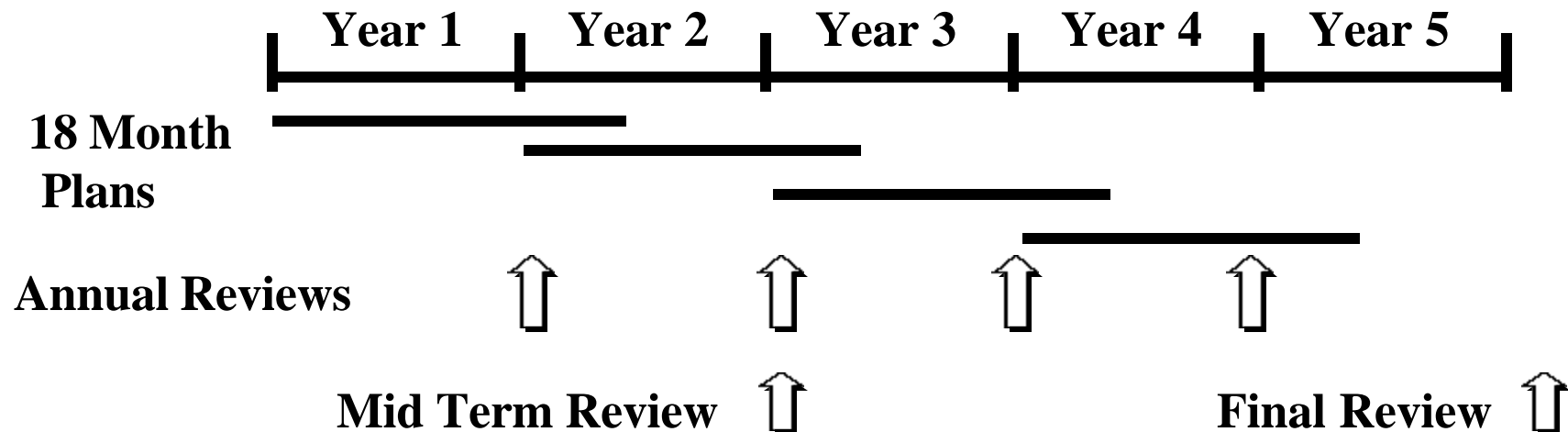


# Formal Reports in Framework 5 and 6

## Framework 5



## Framework 6



“An annual review will be considered a ‘Technical Audit’ “ Slide 17

## **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**

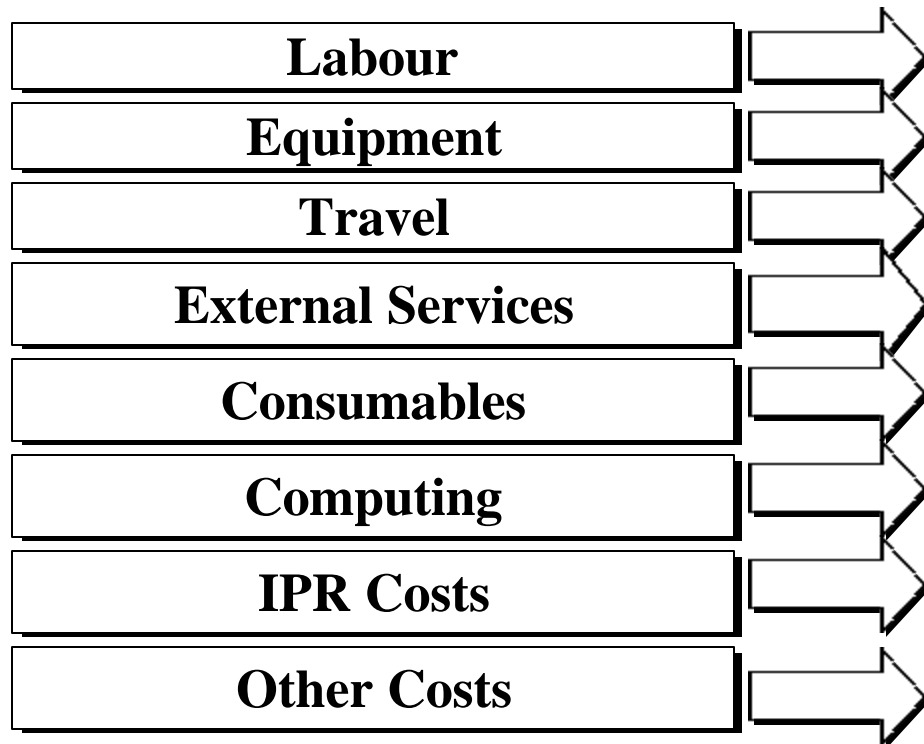
**Budget for Activities  
NOT pre-defined**

**No Bank Guarantees**

**EC Contributions  
'Grant to the budget' (IP)  
'Grant for Integration' (NOE)**

# **Audits and Costs Statements (FP5 and FP6)**

## **Framework 5**



## **Framework 5**

**Number of projects audited  
“between 5 and 10%”**

## **Framework 6 (Integrated Projects)**

**No Predefined Cost Categories**

**Based on partners own  
definitions and practices.**

## **Framework 6 (Integrated Projects)**

**For each IP “at least one audit  
will be carried out”**

# Cost Statements (FP5 and FP6)

## Framework 5

## Framework 6

**Cost Statements (Annual)**



### Summary Expenditure Report



**1. Audit Certificate**  
(External independent auditor)

**OR**

**Competent Public Servant**  
(for public organisations)

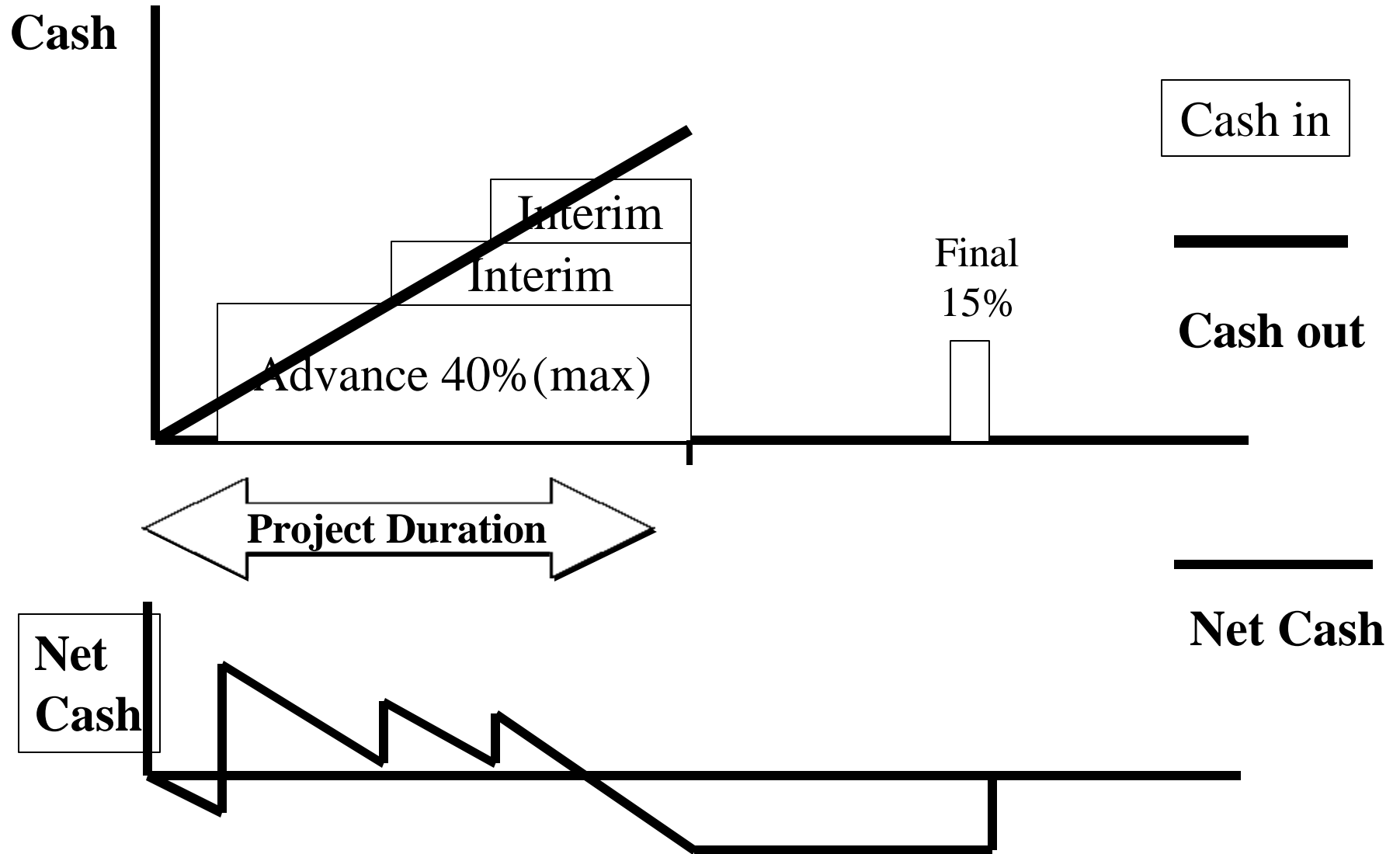
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**2. Management Justification**

+

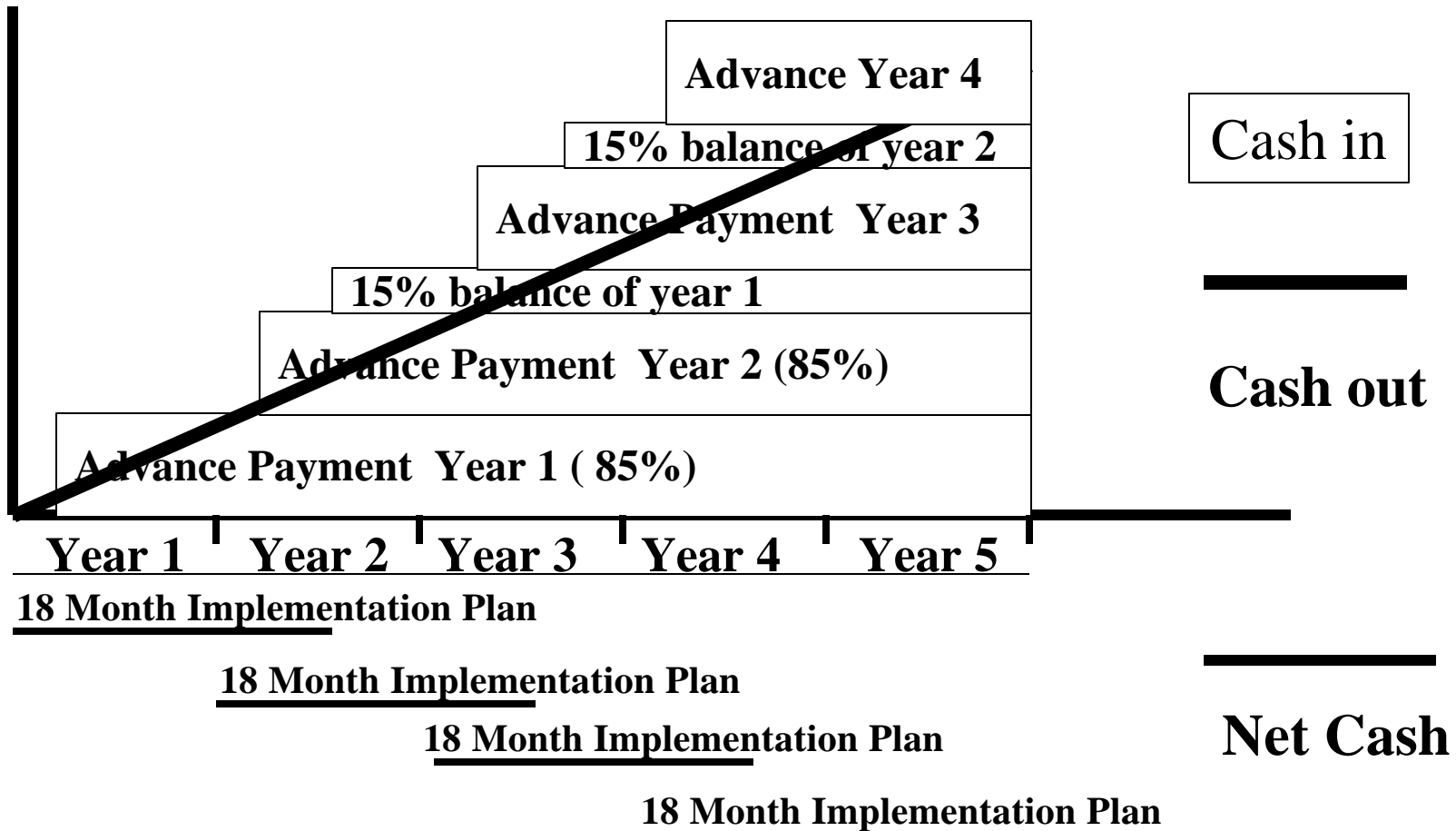
**3. Summary Certified Statement**  
(Co-ordinator only)

# CASHFLOW FRAMEWORK 5 PROJECT



# CASHFLOW FRAMEWORK 6 PROJECT

Cash



↑  
Annual  
Review

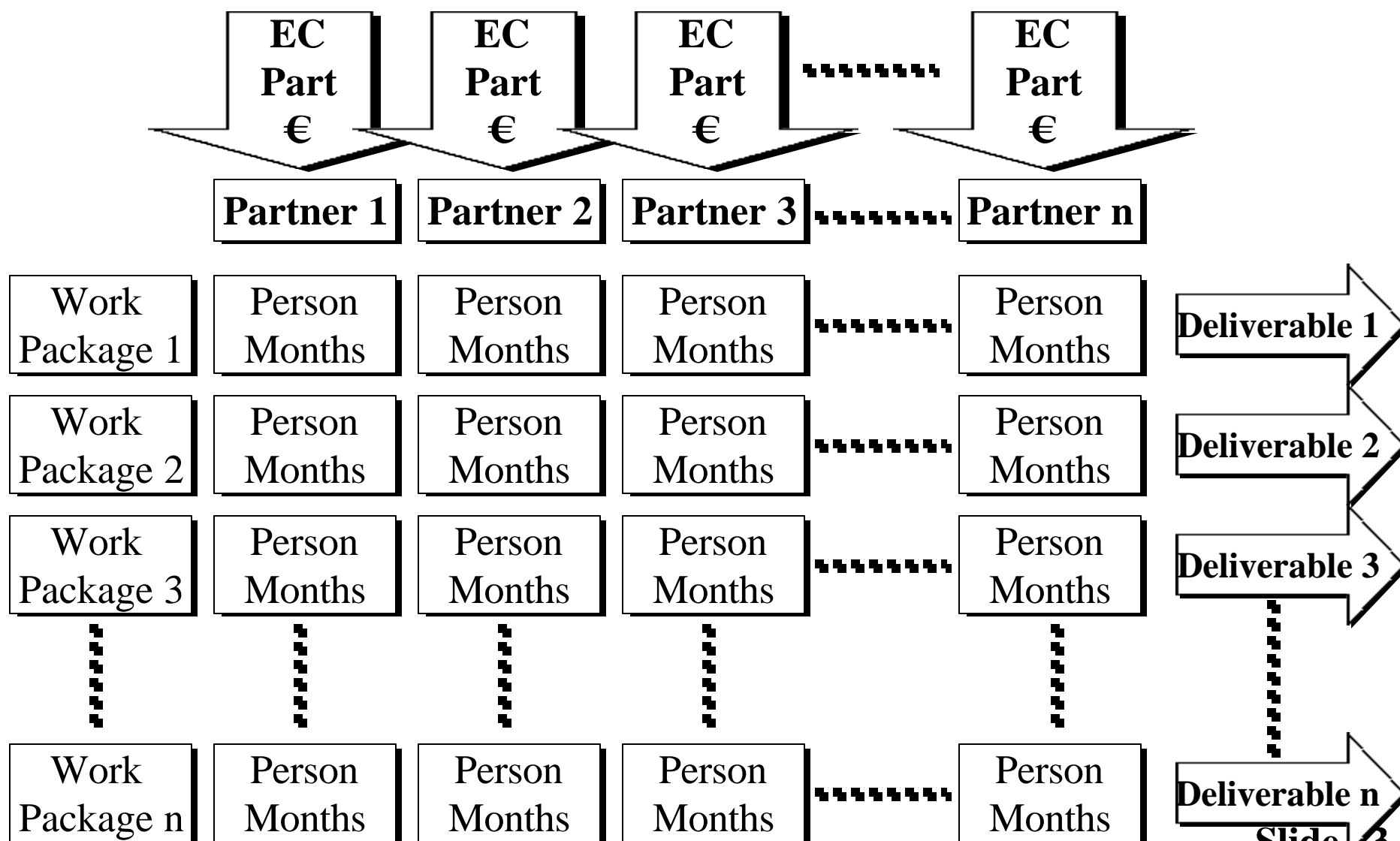
↑  
Annual  
Review

↑  
Annual  
Review

↑  
Annual  
Review

# Liability of Partners (Framework 5)

“ to protect the Community’s financial interests”



# 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

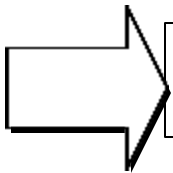
	Proposal	Negotiation	Duration of Project	Audit
Administrator	Part A ( 20-30 partners)	CPF? ( >20 partners)	Expenditure Reports Audit Certificates	Audit During the Project
Manager (Co-ordinator)	Overall Plan+18 Month Proposal Big Consortium	Detailed 18 Month Proposal	Annual Review+ 18 Month Imple- mentation Plan	Technical Audit (Annual review)
Legal (IPR)	Consortium Agreement (Essential)	Consortium Agreement	Consortium Agreement Calls (New Partners)	
Exploitation Manager	Verifiable Exploitation Plan	Verify Exploitation Plan	eTIP Knowledge Plan	Technological Audit
Researcher	More ambitious Part B	Discussions- EC Site Visits	Excellent Science + Deliverables	Technical Audit Ethical Audit Slide 25

# 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**

# **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’**

# Contents

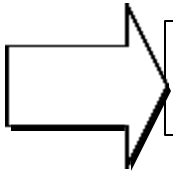
**New Management and Administration Tasks in FP6**

**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**

# **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**

# Contents

**New Management and Administration Tasks in FP6**

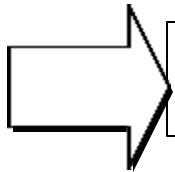
**New Documents in FP6**

**New Procedures in FP6**



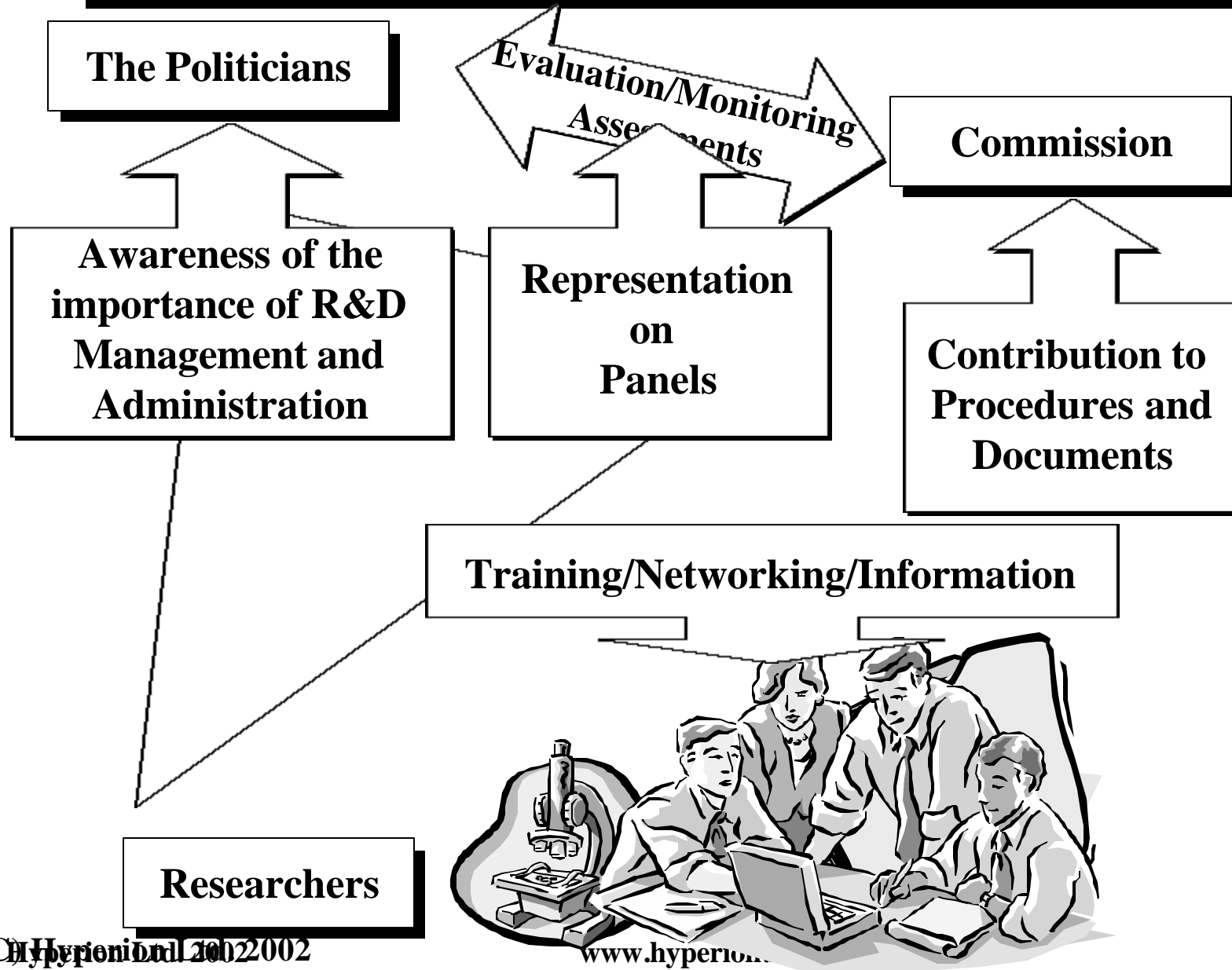
**New Skills needed for FP6**

**How to Get Ready for Framework 6**

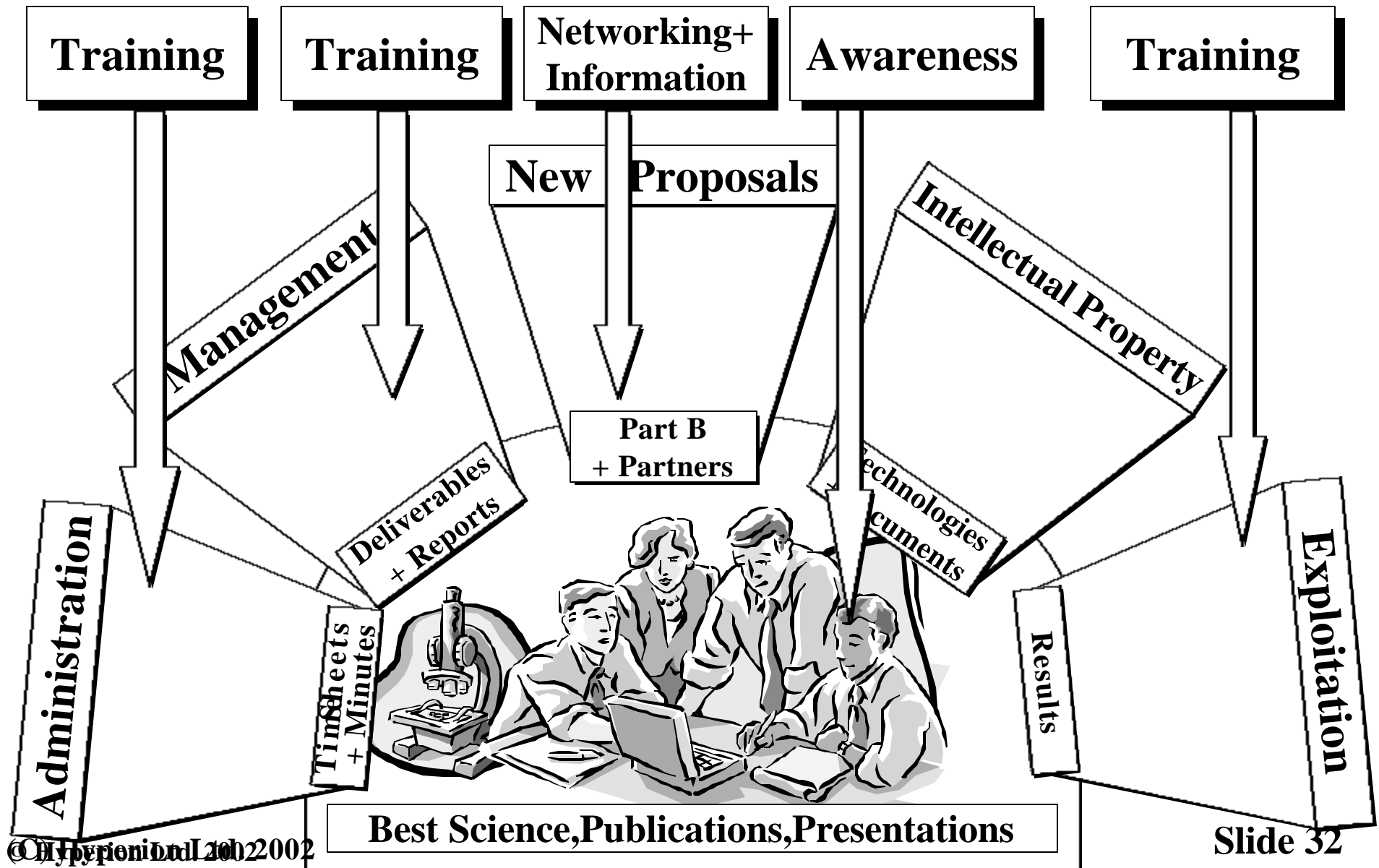


**How EARMA can help Managers and Administrators**

# The Role of EARMA



# The Role of EARMA





# 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)**