

**SIXTH FRAMEWORK PROGRAMME PRIORITY: ERA-NET**

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**SSA CIRCLE**

**Climate Impact Research Coordination for a Larger Europe**

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approaches and procedures of those programmes  
represented in CIRCLE**

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## Preface

During a workshop in Stockholm, the management of the CIRCLE Programmes was elaborated on. This report gives a short overview of programme management, aiming to bring forward similarities and differences between the CIRCLE Programmes. For the preparation of future joint calls, we highlight common ways of management to show which programmes might be suitable for project clustering. It is important to notice that the management issue also has to reflect the programme funders rules and procedures, as some programmes will be finalized at the time for application to EU7.

This report will focus on mechanisms for funding, call and application procedures and evaluation strategies, with certain emphasis on the evaluation procedures. To get an overview of the management of CIRCLE Programme, we have created matrix and schemes regarding the most important methods.

### *Definitions*

Words and expressions are interpreted differently within the EU-countries. We therefore add a list of definitions we will use within CIRCLE.

- 1) **Programmes** normally have a background document stating the aims and principles of the programme. Programmes can emanate either top-down from the Government or funding agencies or bottom-up from the research community in dialogue with stakeholders. When evaluating projects within the programme, the added value set out for the whole programme must be secured.
- 2) **Projects** refer to a single, isolated research study. It is not eligible in CIRCLE, which only includes programmes, consistent of several projects.
- 3) **Cluster of projects** forming a programme. Such a “programme” could be the result of a Government prioritising and earmarking grants. Projects could be without internal correlation.
- 4) **Multi diciplinar** – co-operation between scientists within the same discipline.
- 5) **Inter diciplinar** – co-operation between two or more scientific disciplines.
- 6) **Trans diciplinar** – integrated approach between relevant disciplines and relevant stakeholders.

### *CIRCLE Programmes*

The CIRCLE Programmes and the funding or managing organisation represented at the workshop are shown in figure 1.

ProVISION-AT	UBA and BMBWK, Austria	Programme
GICC-F	MEDIAS, France	Programme
FIPPGC-FI	AKA, Finland	Cluster of projects
CCS-HU and VAHAVA-HU	MEW, Hungary	Programme
SCRM-SE	SEPA	Cluster of projects
COPE-SE	SEPA, Sweden	Programme
DEKLIM-DE	BMB-F, Germany	Programme
SPCC-SE	FORMAS, Sweden	Cluster of projects
NRP-CC-NL	MINVROM, Netherlands	Programme
NWO-NL	MINVROM, Netherlands	Cluster of projects

*Figure 1.* Overview of CIRCLE Programmes, the related organisations represented and type of programme.

## Programme structure

This chapter describes the CIRCLE Programmes structure and perspective. Mechanisms that could be of interest in the CIRCLE-project are e.g. the category of funding body, the time frame for a programme, international co-operations, gender equality and support to young scientists. How these mechanisms are distinguished in each CIRCLE Programme is shown in the matrix in figure 2.

	Category of the funding organisation represented	Funding org. also taking part in the management	Time frame of programme	International co-operation	Gender perspective in the programme	Support to young scientists	Can fund private companies /institutes	Salaries that grants can be used for <sup>5</sup>
<b>ProVISION-AT</b>	Ministry	Yes	2004-2006 (planned to be extended until 2013)	Yes <sup>1</sup>	Yes	Planned	Yes	All salaries
<b>GICC-F</b>	Ministry	Yes	1999-2003: Phase 1 2004-2008: Phase 2	No	No	No	Yes	All salaries
<b>FIPPGC-FI</b>	Research council	No	2004-2007	Yes <sup>2</sup>	No	Yes	Yes	Only salaries to scientists
<b>VAHAVA-HU</b>	Ministry	Yes	3 years	Yes	No	No	Yes	Only salaries to scientists
<b>CCA-HU</b>	Ministry	Yes	5 years	No	No	No	Not institutes	Only salaries to scientists

<b>SCRM-SE</b>	Environmental agency	No	1996-2003: Phase 1 2003-2005: Phase 2	Yes	No	No	No	All salaries
<b>COPE-SE</b>	Environmental agency	No	2001-2005	No <sup>3</sup>	Yes	No	No	All salaries
<b>DEKLIM-DE</b>	Ministry	No	2001-2006	Yes	No	Yes	Yes	Researcher and PhD students
<b>SPCC-SE</b>	Research council	No	3 years	No <sup>4</sup>	Yes.	Yes	No	Researcher and PhD students
<b>NRP-CC-NL</b>	Ministry	No	2002-2007	Yes				
<b>NWO-NL</b>	Ministry	No		Yes				

**Figure 2.** Overview of how selected mechanisms are treated in the CIRCLE Programmes.

<sup>1</sup> International participant can not be funded at the moment, although international collaboration (funded by additional sources) is a criterion for some kind of projects

<sup>2</sup> Focus on mobility of scientists

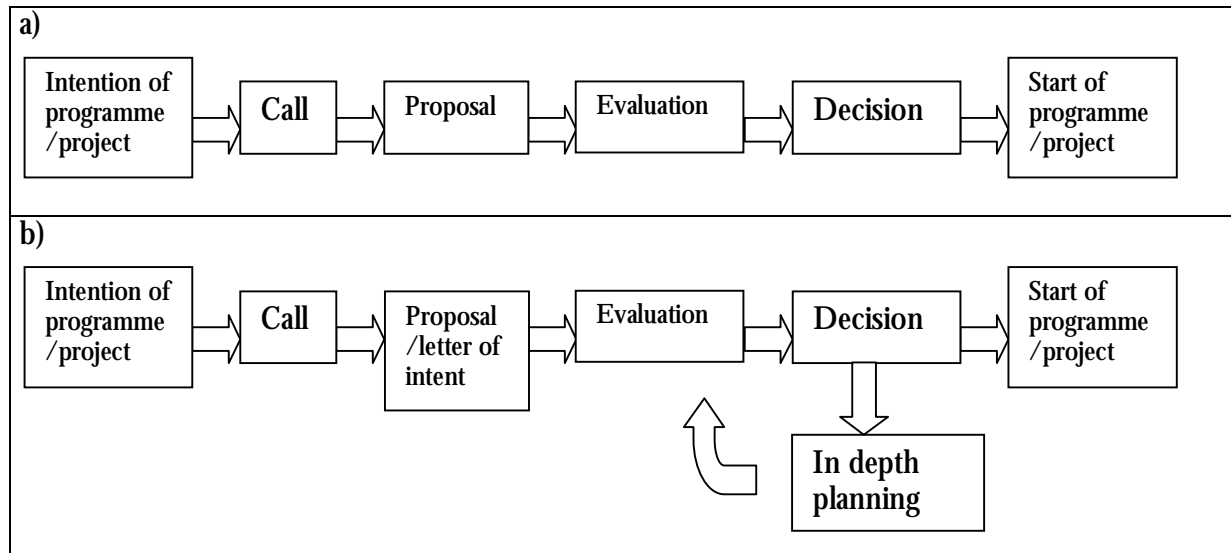
<sup>3</sup> COPE is on National basis but there are foreign scientists in the reference group

<sup>4</sup> Sharing of infrastructure

<sup>5</sup> All programmes support travel expenses, publications, arranging workshops etc. All salaries includes technicians, assistants etc.

## Programmes and projects procedure

The CIRCLE Programmes represent several functions and tasks at different levels, which can be arranged in different ways. The nature of the CIRCLE Programmes varies in terms of definitions described in the preface. The procedure for one partner's programme projects can look almost the same as for another partner's programme, as well as two partner's programmes can look very different. Therefore this chapter will start with describing an overall picture of the procedure for both programmes and projects see figure 3a and 3b. The processes for the intension, the call and application, the evaluation and the final decision will be described in more detail and from the CIRCLE Programmes point of view in the next sections.



**Figure 3a).** The flow shows the basic process for a research programme and project, from intension to start of programme or project.

**3b).** In some programmes/project the evaluation will be carried out in two-step (or even three-step). The first application is in such case more a way of showing interest to participate (participate in the research or to co-fund) or to give input to the topic of the programmes/projects. After the first decision the programme/project planning will proceed and then get evaluated again before the final decision.

### ***Programme idea***

The initiation of a research programme can be categorised into two principal types: top-down and bottom-up. Bottom-up research originates entirely from the research communities. The researchers define and describe the programme/project within a wide frame. Top-down initiated research originates from major stakeholders e.g. the research councils, boards, ministries, governmental, industrial or political bodies.

CIRCLE Programmes are initiated top down, as all CIRCLE Programmes have a top down launching from a ministry, agency or a research council. However, calls for programme ideas and programme projects are bottom up in the sense that the research community plays a central role in defining the scope of the programme and project, either through discussions or letter of intent.

### ***Call and Application***

The practices described in this section refer to the calls and applications for programme projects. Figure 4 shows the number of calls, the language of calls and proposals, where to find the calls, if foreign scientists can apply and if the application can be sent in electronically in the different CIRCLE Programmes.

	Number of calls in the programme <sup>1</sup>	Language of calls	Announcement of call for proposals	Language of application <sup>2</sup>	Foreign applications	Electrical application system
<b>ProVISION-AT</b>	several	National	Funding org. and other websites. Media	National/ English	Planned	Planned
<b>GICC-F</b>	one	National	Funding org. and other websites	national	NO	NO
<b>FIPPGC-FI</b>	one	National/ English	Funding org. Websites. Media	National/ English	YES	YES
<b>VAHAVA-HU</b>	several	National	Funding org. and managing org. websites. Media	national	NO	NO
<b>CCS-HU</b>		National	Funding org. Websites. Media	national	NO	NO
<b>COPE-SE</b>	One-two	National	Funding org. websites	National/ English	Planned	YES
<b>DEKLIM-DE</b>	several	National/ English	Funding org. and other websites Journals	National/ English	NO	NO
<b>SPCC-SE</b>	one	National	Funding org. websites	National/ English	YES	YES
<b>NRP-CC-NL</b>	tranches <sup>3</sup>				YES	
<b>NWO-NL</b>	several				YES	

**Figure 4.** The matrix show how the calls and applications are treated in the different CIRCLE-Programmes.

<sup>1</sup> All programmes have calls fixed in time.

<sup>2</sup> All programmes require CV's, a proposals description, a research description, a clear presentation of the budget and clarify if grants are provided by another funding body.

<sup>3</sup> NRP-NL works in tranches, not with calls. The manager can initiate programme projects with or without consultations.

## ***Evaluation***

The evaluation process is quite complex and individually organised from one organisation to another. In this chapter we will detect some basic routines and way of handling the evaluation in the different programmes. Figure 5 shows details about the establishment, whereas figure 6 shows the constitutions of the group of evaluators. Figure 7 show the evaluation process in time for each programme. For more details about the evaluation process in some programmes, see appendix 2.

	One- or two-step evaluation	Foreign evaluators	Internal evaluators <sup>1</sup>	Evaluator fee	Number of evaluators	Standard formulary	Anonymous evaluators
<b>ProVISION-AT</b>	Two-step <sup>2</sup>	Yes	Yes	No	3	Yes	Yes
<b>GICC-F</b>		Yes	No	No	3	No	No
<b>FIPPGC-FI</b>		Yes	No	Yes	2	Yes	No
<b>VAHAVA-HU</b>	One	No	Yes	Yes	2	Yes	No
<b>CCS-HU</b>		No	Yes	No			No
<b>SCRM-SE</b>	Two-step	Yes	No	Yes	3	Yes	No
<b>COPE-SE</b>	Two-step <sup>3</sup>	Yes	No	Yes	3	Yes	No
<b>DEKLIM-DE</b>	One-, two- and also three-step <sup>3</sup>	Yes	No	No		Yes	Yes
<b>SPCC-SE</b>	Two-step	Yes	No	Yes	10	Yes	No

*Figure 5.* The figure gives an overall picture of the evaluation procedure.

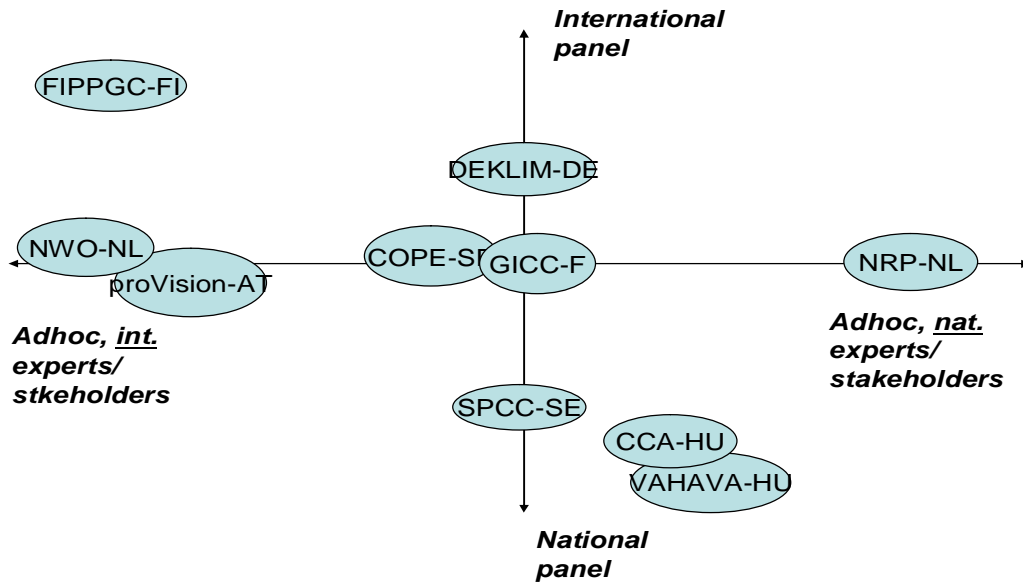
<sup>1</sup> By internal we mean persons who are formally connected to the organisations decision making body; members of the council, committees, steering groups etc.

<sup>2</sup> In proVISION-AT a letter of intent in the first evaluation step means to show interests to participate and to co-fund the projects.

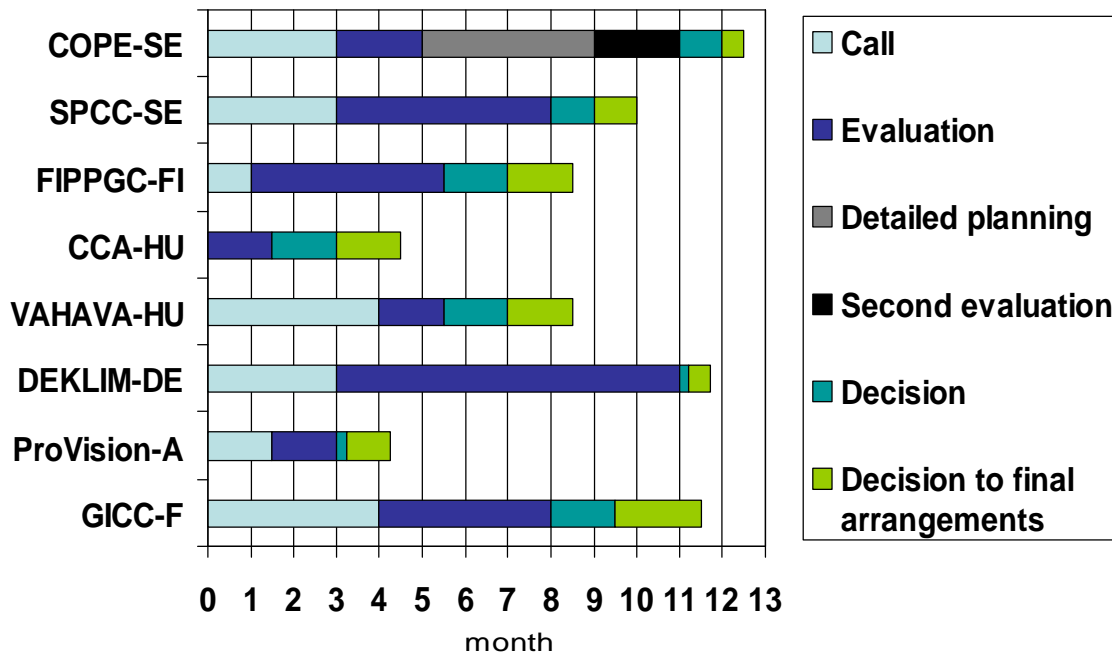
<sup>3</sup> The letter of intent was used to give input for the programme outline for COPE-SE.

<sup>4</sup> For DEKLIM-DE the letters of intent gives ideas of topics for the projects within a given programme.

**Evaluation**



**Figure 6.** The figure shows whether the programmes use a panel or an adhoc constitution of the evaluation group. It also distinguishes between national or international evaluators (see figure 5). Adhoc experts/stakeholders are persons recruited from the scientific community or from major stakeholders. In the case of proVISION-AT and VAHAVA-HU the figure is true for the project, but not for the programme evaluation.

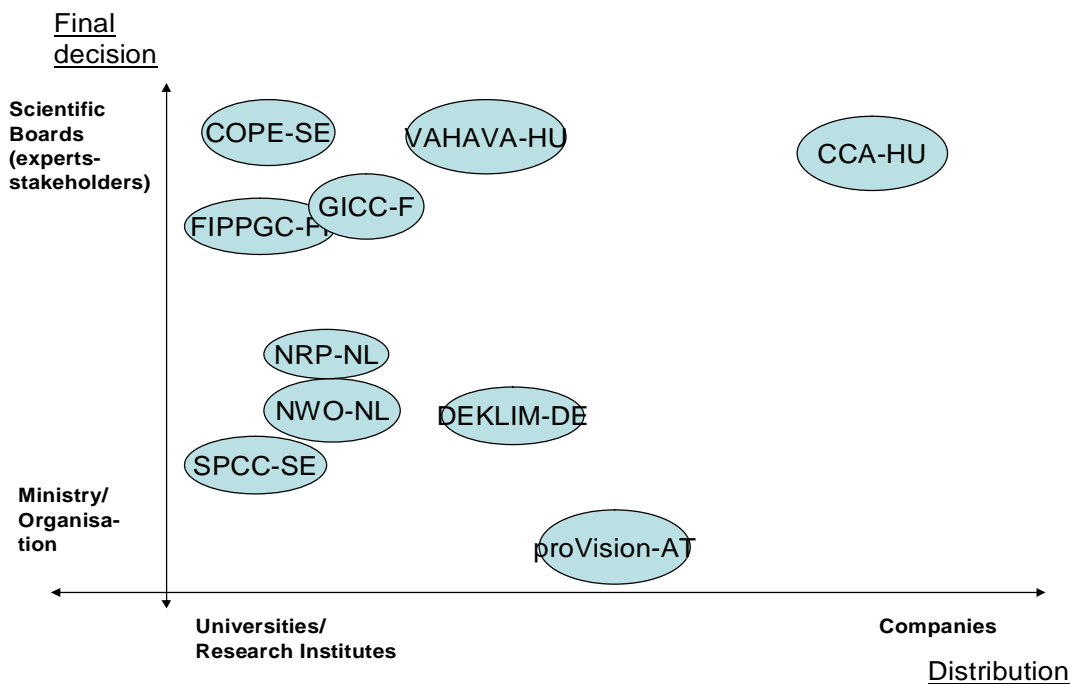


**Figure 7.** Given time in month for evaluation process. The evaluation process for the CIRCLE Programmes varies in time from 4 months to more than a year. For COPE-SE the process

includes the programme and programme projects evaluation. For proVISION-AT and VAHAV-A-HU it only shows the time for project proposals after the end of a call.

### *Final decision*

Based on the evaluation results of each application, the final funding decision are taken by the research councils, steering committee or board. As the final decisions are taken at different levels in the CIRCLE Programmes it is important to discuss. In figure 8, the funding decisions are split between scientific boards and ministries/organisations. The diagram shows that most decisions about funding in the CIRCLE Programmes are taken by scientific boards (experts/stakeholders).



**Figure 8.** The vertical (y) axes in the diagram shows the picture of who's taking the final decision about funding a programme or projects. The other axes (x) shows how the funding is distributed between private companies and universities/Research Institutes (see figure 2). In most of the programmes it's a scientific board that takes the final decision about funding. In for example DEKLIM-DE both experts/stakeholders, as well as agency employees take part in the final decision for the programme projects. In GICC-F and VAHAV-A-HU stakeholders take the final decision. COPE-SE and its projects were decided on by the Environmental Research Board which has a composition of 50/50 scientists and experts from the environmental sectors. Most funds go to universities and public research institutes.

## **Dissemination of results/Communication**

All CIRCLE partners require some kind of reporting and outreach activities of the results. This chapter will give a broad view of the activities within the CIRCLE Programmes.

Scientists write scientific articles or present their research in reviewed papers and at scientific conferences. Research councils inform the public of their programmes on the web, in the council's information, in journals, in small booklets on actual themes, synthesising reports for the users.

## **Appendix 1. Full name of the Research programmes and organisations**

**ProVISION-AT:** Provision for Nature and Society

**UBA-A:** Umweltbundesamt (Federal Environment Agency), Austria

**BMBWK:** Bundesministerium für Bildung, Wissenschaft und Kultur

(Federal Ministry for Education, Science and Culture), Austria

**GICC-F:** Gestion et Impacts du Changement Climatique

**MEDIAS:** CERFACS, Ministry for Ecology and Sustainable Development, France

**FIPPGC-FI:** Finnish Project Programme for Global Change,

**AKAFI:** Academy of Finland, Finland

**VAHAVA-HU:** KlímaVÁltozás-HATások-VÁlaszok

**CCS-HU :** Climate Change Action

**MEW:** Ministry for Environment and Water management, Hungary

**COPE –SE (Kommunikation, Organisation, Makt, Effektivitet) and SCRM-SE (Swedish Climate Research Modelling)**

**SEPA:** Swedish Environment Protection Agency, Sweden

**DEKLIM-DE:** Deutsches Klimaforschungsprogramm

**BMBF:** Federal Ministry of Education and Research, Germany

**SPCC-SE:** Swedish programme of climate change

**FORMAS:** The Swedish Research Council for Environment, Agricultural Sciences and Spatial Planning, Sweden

**NRP-CC-NL (Research Programme on Global Air Pollution and Climate Change) and**

**NWO-NL (Netherlands Organisation for Scientific Research)**

**MINVROM:** Ministry of Housing, Spatial Planning and Environment, The Netherlands

## **Appendix 2. Evaluation procedures**

### **COPE-SE**

COPE-SE was initiated after a more than a year long process including several steps within SEPA. The scientific community was alerted to send in “Letters of intent “. An ad hoc team of two scientists and one stakeholder evaluated the applications mainly regarding competence and relevance. The Environmental Research Board decided to provide funds for two proposals to contribute further

planning of a scientific programme. The same ad hoc evaluation team scientifically evaluated the two programme proposals and in co-operation with the SEPA contact persons put forward a proposal to the Environmental Research Board. After support from the Board the programme can start more or less directly. At one or two occasions during the programme time frame, special calls for projects can be actualized. After one and a half year a midterm evaluation takes place. At least one of the scientists from the ad hoc team shall take part.

### *proVISION-AT*

ProVISION-AT has a two-step procedure when evaluating projects within the programme. The first evaluation for a project within proVISION-AT regards a sketch for a project idea within a call. The sketches are formally evaluated by the managers if approved, evaluation regarding the scientific quality are done by international evaluators. In the second step the sketches with the best international evaluation are invited to send full proposals. These proposals are again evaluated formally by the managers and then, after a positive assessment, sent to international evaluators. ProVISION-AT as a programme is evaluated each year before new funds are provided

### *SPCC-SE*

This programme is the result of a Government assignment, where all climate related research funding organisations discussed priorities. Since this programme (cluster of projects) was a special event, it was evaluated by an ad hoc evaluation team of about ten scientists, including scientists from other Scandinavian countries.

### *VAHAVA-HU*

VAHAVA-HU uses evaluators chosen from a list, practically it is between panel and adhoc. The list is quite wide, evaluators are suggested by the Academy and ministries. Altogether, many programmes are evaluated by external evaluators, only VAHAVA-HU has exclusively internal, national evaluators (two scientific).

### *DEKLIM-DE*

The DEKLIM programme had been divided into 3 parts in the application and review phase:

- a) climate impact research
- b) climate system research

c) young scientist's programme

a) was reviewed in a three-stage process (2 stages based on drafts, 1 stage on full applications), b) was reviewed in a two-stage process (one based on drafts and one on full applications), c) had one stage, based on the full applications.

For a), b) and c) separate groups of reviewers had been established (total amount over all three parts about 35).

a) and b) had been peer reviewed by international reviewers (written) prior to discussion and decision by the panel boards.