

Second ERA-NET CRUE Funding Initiative for Research in Flood Risk Management

Implementation Concept

April 10, 2008

Introduction

The main basis for the second ERA-NET CRUE funding initiative is the call text with its respective national funding rules. The purpose of this document is to give further information about specific rules concerning the implementation of the funding initiative.

Bodies and responsibilities

Funding Organisations

The funding organisations are CRUE-Partners or organisations from third countries funding research projects initiated by the second common call of the ERA-Net CRUE.

Steering Committee

The Steering Committee consists of representatives from the CRUE-Partners which are participating in the second CRUE funding initiative. Every CRUE-Partner can bring one or two advisers to the Steering Committee meetings. Decision making is carried out in accordance with the CRUE consortium agreement and its regulations for the CRUE Project Steering Group.

The Steering Committee is the main board for decision making within the second CRUE funding initiative. For example it is responsible for

- Nominating the members of the scientific advisory board
- Final ranking and selection of project proposals (i.e. taking final decisions)
- Organising the process of project evaluation and monitoring
- Initiation of planning and implementation of conferences/workshops, in close cooperation with the coordination project which will be initiated by the second common call
- Steering of the whole funding initiative
- Support to dissemination measures

Scientific Advisory Board

The Scientific Advisory Board consists of experts nominated by the CRUE-Partners participating in the common call. Every participating country can engage 1 to 3 experts (considering the national quota of project proposals). The advisory board should not exceed 20 participants. The Scientific Advisory Board advises the Steering Committee and gives recommendations to the research groups. The main tasks are:

- Scientific assessment of project proposals

- Attendance of kick-off, mid-term and final meeting and evaluation of interim and final results

In certain cases one or more members of the Scientific Advisory Board will be asked to monitor selected joint projects.

Coordination by CRUE work package 6 “common calls” and scientific coordination project

The leadership of the CRUE work package 6 “common calls” is located at the German funding organisation PTKA-WTE. On behalf of the Steering Committee, PTKA-WTE is currently responsible for the higher level coordination and implementation of the 2nd CRUE funding initiative. This task may be assigned to another funding organisation during the life time of the funding initiative. In doing so, the WP6 leader is supported by the scientific coordination project.

Tasks assigned to the WP6 leader are:

- Coordination of the evaluation procedure in cooperation with the participating CRUE-Partners:
 - Receipt of proposals
 - Acknowledgement of proposal receipt
 - Eligibility check
 - Compilation/Overview of proposals and assigned funding organisations
 - Coordination of evaluator selection
 - Preparation of evaluator guidelines
 - Sending proposals and further documents to evaluators
 - Compilation and analysis of evaluation results
 - Preparation of Scientific Advisory Board and the Steering Committee meetings
 - Documentation of evaluation results
 - Information of applicants
- Support to the organisation of kick-off, mid-term and final meeting/ workshops, in cooperation with CRUE partners
 - Consultation/agreements between CRUE-Partners regarding date, location, agenda etc.)
 - Invitation of participants
 - Organisational preparation (rooms, technical equipment, subsistence, etc.)
 - Documentation and evaluation
- Information exchange
 - Contributions to internet site for internal use in cooperation with website administrator
 - Information and information requests to research projects and funding organisations
- Initiation of / support to dissemination activities
 - Press release
 - Internet site
 - Newsletter/ Contributions to CRUE Snapshot
- Coordination of reporting
 - Requirements and template
 - Timing
 - Synthesis report

Project officer

Every collaborative project will be attended by one project officer from the CRUE funding organisations. Normally the project officer will be nominated by the funding organisation financing the coordinator of a joint project. If appropriate, also other arrangements are applicable, which have to be decided by the Steering Committee. The project officer is responsible for checking the progress of the whole joint project. Changes or adaptations of the project description of work or of the time schedule have to be agreed between the research group and the project officer. If necessary, the funding organisations responsible for the respective partial projects will be involved by the project officer. The project coordinator and all leaders from the partial projects are obliged to inform the project officer regularly about progress (by reports, CRUE meetings and project meetings).

Proposal evaluation

As outlined in the call text project, proposals are evaluated in three steps:

1. Evaluation according to general criteria (eligibility check)
2. Evaluation according to specific criteria by an international Scientific Advisory Board
3. Ranking and proposal selection by the Steering Committee

In step 2, the common proposals are sent to selected evaluators (members of the Scientific Advisory Board). Normally, the funding organisations of the countries represented in a collaborative project will decide which evaluator will be asked for proposal evaluation. The written evaluation will be carried out on the basis of an evaluation form. Each evaluator will give a score for each criterion (1 – 5; 5 means best). Furthermore every reviewer is asked to give comments to each criterion. An overall score is calculated as the sum of the single scores for each criterion.

To support the evaluators in the assessment of the proposals, a reviewers' guide will be provided.

All pre-evaluations of project proposals will be finally discussed in a meeting of the evaluators. The Steering Committee members will also attend this meeting. For each proposal, the responsible evaluators will present their assessment. Afterwards the proposal assessments are discussed. The evaluators will use this discussion to validate or to revise their judgement (comments and scores) and to come to a final score.

A mean of the final scores will be used for a preliminary ranking of the project proposals. In a subsequent meeting of the Steering Committee, the final selection of the project proposals will be agreed on the basis of scientific evaluation and preliminary ranking, on the basis of strategic aspects and interests and under consideration of available budgets in the participating CRUE partner countries.

As a result of the evaluation process, a list of selected proposals for funding will be published on the CRUE website. Furthermore, all applicants will be informed within 4 weeks after the final Steering Committee meeting about the evaluation result.

Approval of funding

Partial projects of a selected collaborative project will normally be funded by different funding organisations according to their specific funding rules. Therefore separate preparations and negotiations between funding organisation and funding recipients are necessary.

For each collaborative project, a common project officer from one of the involved CRUE funding organisations will be named. The project officer takes care for a coordinated common start of the partial projects. Furthermore the project officer will be informed about and invited to the meetings of the collaborative projects.

According to the call text, the partners of each collaborative project have to conclude a consortium agreement. The submission of a signed consortium agreement is a prerequisite for funding. Even if contracts or notifications are signed for partial projects, funds will be withdrawn if a consortium agreement is not concluded within a given time period.

Programme monitoring and evaluation

As outlined in the call text, each collaborative project has to submit one common interim and one final scientific report, written in English language. For that purpose, the Steering Committee will define specific reporting requirements. Furthermore, a template for reporting will be made available via the CRUE website.

All collaborative projects are furthermore asked to present their project and work planning in a common kick-off-meeting. Interim and final results have to be presented in a mid-term and in a final meeting. All meetings will be attended by the members of the Scientific Advisory Board, by the Steering Committee and by other invited stakeholders from flood risk management. During the kick-off meeting, researchers will have to provide evidence that they have considered advice and suggestions for improvements by the evaluators. The mid-term meeting will be used for progress evaluation and recommendations for the future work.

Another purpose of the meetings will be information exchange between the projects and the enhancement of cooperation. Therefore specific workshops or other actions will be included in the meetings.

Promotion and dissemination of results

The promotion and dissemination of results from the second CRUE funding initiative will be realised on two levels:

1. Projects / funding recipients (project level)
2. CRUE funding initiative (programme level), supported by the scientific coordination project

Dissemination measures on project level

Every collaborative project will be obliged to publish a project website within 3 months after it has started. Websites have to be maintained at least 1 year after project completion.

If requested by the CRUE Steering Committee or the scientific coordination project, every collaborative project is obliged to provide further material for information and dissemination (e.g., newsletter and other text contributions, abstracts of project results and key messages, etc.)

Involvement of flood risk management practitioners and stakeholders:

Great significance is attached to the inclusion of institutions concerned with practical applications of flood risk management in the research projects. This primarily means authorities charged with making decisions related to water management, but also other organisations like consultant engineers, planning institutions, disaster control teams etc.

There are basically three possibilities or stages for actively including practitioners and stakeholders in the research projects:

1. Exchange of information between the research groups and the practitioners and stakeholders via meetings, workshops, conferences etc.
2. Involvement of practitioners and stakeholders in project-related bodies (e.g. advisory board)
3. Inclusion of practitioners and stakeholders in the research work as project partners and recipients of funding

The final option in particular enables very intensive cooperation to be established in the form of transdisciplinary work in which the objectives and needs of the users are included in the projects from the very beginning. Therefore the inclusion of practitioners and stakeholders is mandatory as laid down in the call text; applicants have to provide evidence of their cooperation partners in the proposals.

Dissemination measures on programme level

The dissemination on programme level will be coordinated by the CRUE Steering Committee, with the support of the scientific coordination project. It encompasses the following measures:

- Separate call-webpage on www.crue-eranet.net
- Newsletter / contributions to CRUE snapshot
- Meetings (kick-off; mid-term, final)
- Programme brochure or flyer (printed and/or digital)
- Several press releases
- Synthesis report of research results