

Information Society Technologies In the 6th Framework Programme

Context, rationale and instruments

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Outline of presentation

- FP6 Overview
 - Timetable
 - The ERA context
 - FP6 structure
- The IST Priority
 - IST objectives & vision
- FP6 instruments
 - Integrated Projects
 - Specific Targeted Research projects
 - Networks of Excellence
 - Coordination actions & support measures
- The next steps of preparation

The timetable for FP6

- October 2001 Parliament 's first reading of FP6
- 10/12/2001 Council agreement on FP
- January 2002 Council formal common position
- 10/01/02..... Modified proposal on Rules for participation
- 31/01/02 Modified proposal on Specific programmes
- Feb - May 2002 Parliament second reading of FP
- ● June 3 Final adoption of the FP
- June-September Final adoption of SP & participation rules
- ~December 2002 First FP6 call

IST: part of a competitive “race” to knowledge

- The US invests 3 times more on RTD in IST
52% of RTD effort in IST in OECD countries is in the US
only 17% in Europe (22% in Japan)
- Public investment in the EU is 50% of the US effort
.... and the gap is widening
- The EU effort is fragmented
....critical mass is rarely reached in the member states
- ... and IST has shorter & shorter life-cycles...

ERA - a new context for EU supported RTD

- Moving to a European level Research Policy
- Strengthen co-operation between National & EU activities
- Improve links between National & EU policies & schemes
- Further preparation for the EU enlargement process
- Aims to simplify management & implementation procedures

- FP6 is an essential tool in support of ERA

“Maximising the value from each Euro invested in RTD”

ERA - implies a new way of “thinking”

- From “Project”-thinking to “Initiative”-thinking
 - new instruments: “Integrated and Structured Networks of Excellence”
 - more strategic thinking
- Develop European Initiatives
 - making use of existing funding helps aggregate resources over State & private funded effort(s)
 - it is not about supporting a particular RTD work...
- Different way of describing content and calls
 - a lighter workprogramme, different sequencing of calls, ...

FP6 is not business as usual!

IST: a high political and policy profile

- The Union has set an objective for the next decade ...

Lisbon council

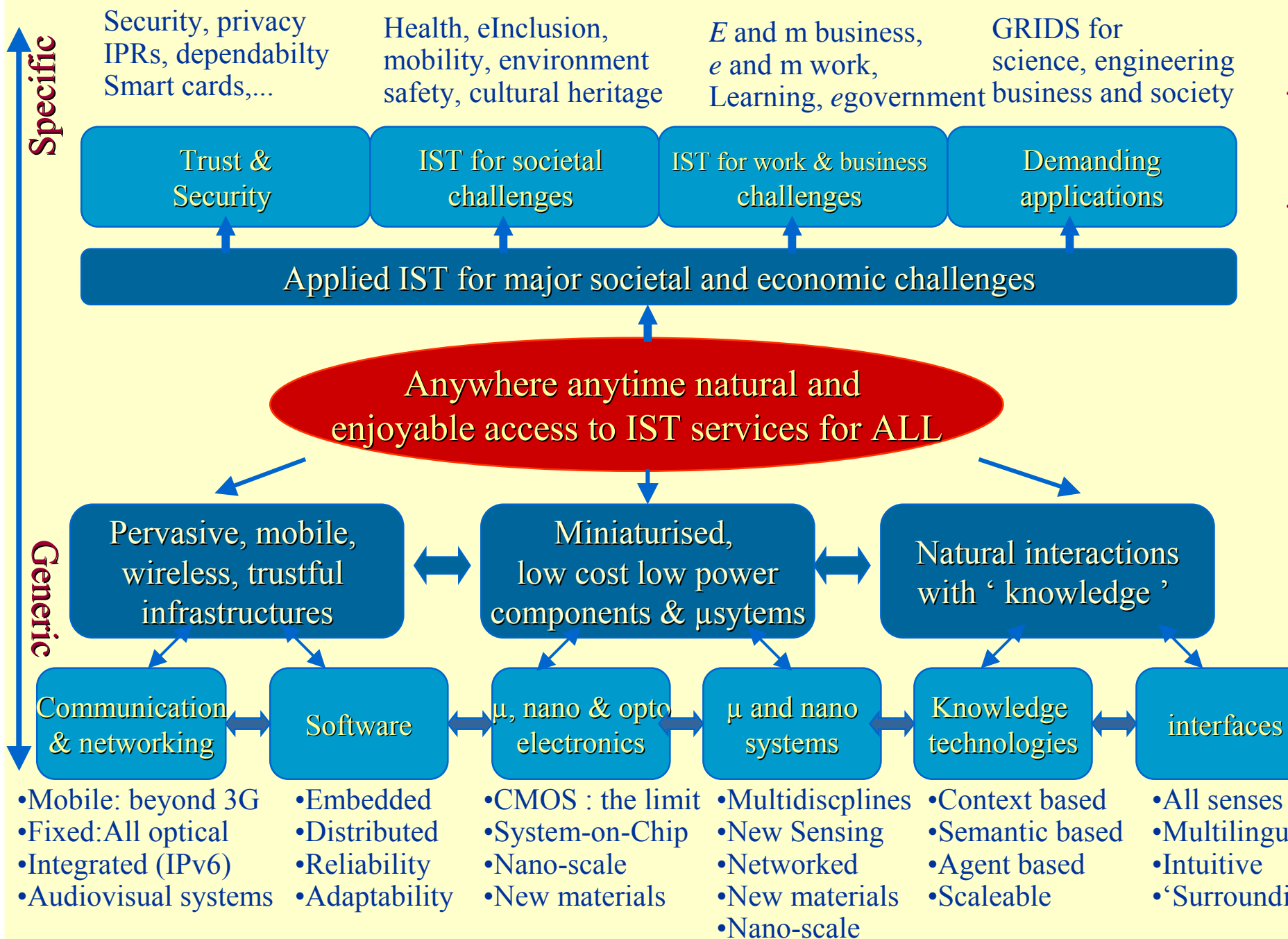
“To become the most competitive and dynamic knowledge-based economy in the world, capable of sustainable economic growth with more and better jobs and greater social cohesion.”

eEurope: A major instrument to attain this objective
providing consolidation in Member States

- IST providing the key technologies
for knowledge creation, sharing and exploitation

The IST vision

- Building the knowledge society for ALL
- Bringing the users, “people”, to the foreground.....
..... to the “centre of our attention”
 - building trustful technologies for the background (almost invis



IST in FP6: Key elements

- Main objectives

- Strengthening Europe's competitiveness & technology base
- Building the information and knowledge society for ALL

- Strategy

- Concentration and focus, building critical mass
- Capitalise on Europe's strengths
- Visionary, forward looking (longer term / high risk)
- Combine flexibility with greater speed in implementation
- Scope of activities: Core technologies & "pull-through" applications

Instruments: Rationale

- Higher integration and building critical mass
 - Realising ERA
- Simplifications of procedures
- Larger autonomy
 - higher responsibility for the consortium
- Higher flexibility

FP6: Six instruments for “Priority Areas”

- Integrated Projects
 - Objective driven
- Networks of Excellence
 - Exploratory research
- Article 169
 - Member states initiative
- Targeted research projects
 - (address specific issues)
- Co-ordination actions
- Support Actions

No longer available

- Individual Take-up Actions
- SME Exploratory Awards

Use of the IP and NoE Instruments

- Calls for proposals will identify
 - which instruments are to be used,
 - which have priority and for what
- IP's and NoE's will be the priority means
 - where it is deemed appropriate
 - while maintaining the use of specific “targeted research projects” and “co-ordination actions”
- In 2004, an independent evaluation
 - of the use of the instruments may lead to adjustments of their relative weightings

Integrated Projects - purpose

- Designed to support research that is
objective and result driven
 - clearly defined objectives and results
- Each IP should
 - integrate the types of activities needed to obtain the goals
 - integrate the critical mass of resources needed to obtain the goals
 - integrate all elements of technology chain to attain high-impact goals
 - support industry-academia collaboration including SME's

Integrated Projects - activities

- Activities integrated in a project
may cover the full research spectrum
 - research and technology development activities
 - demonstration activities
 - technology transfer or take-up activities
 - training activities
 - dissemination activities
- Project should comprise
 - a coherent set of activities
 - with an appropriate management structure

Integrated Project - what is critical mass?

- Resource wise:
 - will have the necessary size to achieve its ambitious objectives
 - budget may range up to several tens of millions of €
(no minimum threshold, provided necessary ambition & critical mass is achieved)
- Partnership wise:
 - minimum 3 participants from three different countries
(but in practice likely to be substantially more)
- Duration wise:
 - typically three to five years
(more if necessary to deliver the objectives)

Integrated Project - financial regime

- Community support in the form of a “grant to the budget”
- Paid as a contribution to actual costs
 - that are necessary for the project
 - determined in accordance with each participant’s own accounting definitions and practices
 - no pre-defined cost categories - only ineligible costs defined
- Annually, each participant to provide a summary financial statement
 - certified by an independent auditor
 - with a justification of costs coupled to a corresponding activity report
- Rolling advance scheme throughout duration

Integrated Projects - further financial details

PROVISIONAL

- Possible continuation of FP5 cost models
 - FC: full actual direct and actual indirect costs
 - FF: full actual direct costs plus 80% flat rate
 - AC: additional direct costs plus 20% flat rate
- Maximum rates of support for FC/FF participants
 - 50% for RTD components
 - 35% for any demonstration component
 - 100% (direct costs only) for management and training
- Additional cost participants supported at up to 100% of additional costs for all components of the project

Integrated Project - submission process

- Public calls for proposals
 - perhaps preceded by invitations for submission of “expressions of interest”
- Simplified proposal-making
 - reflecting evolutionary nature of the project if appropriate
 - but with sufficient detail to allow proper evaluation
 - S&T objectives, socio-economic impact
 - outline “implementation plan” for whole duration
 - detailed implementation plan for first 18 months
 - global budget estimate
 - justification of resources and budget
 - ethical and safety issues...

Integrated Project - evaluation process

- Evaluation by a strengthened peer-review system
 - possibly in stages, involving individual reviews, panel sessions, perhaps hearings of applicants...
- Evaluation criteria include
 - Relevance to objectives of Specific Programme
 - Scientific & Technical excellence
 - Effectiveness of knowledge management
 - Scale of ambition and potential impact
 - Critical mass in terms of activities and resources
 - Quality of project management

Integrated Project - contractual aspects #1

PROVISIONAL

- Contract initially signed between Commission and:
 - a single designated participant (or part of the participants), or,
 - a common legal structure (association, EEIG, etc)
 - Faster entry into force
- All participants are contractually linked to the Commission
 - Equality among participants (IPR, responsibilities...)

Integrated Projects - contractual aspects #2

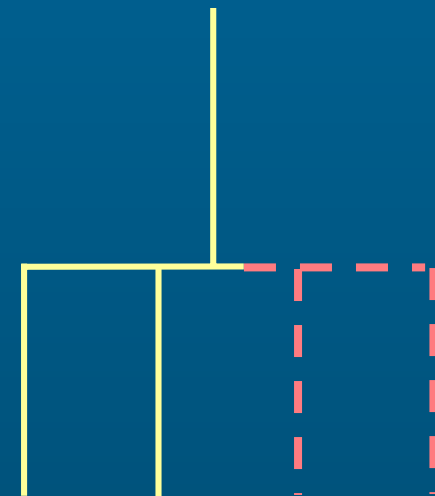
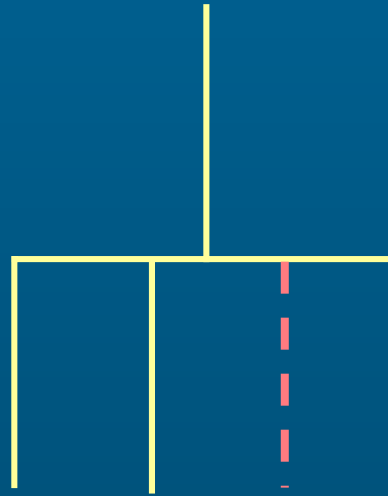
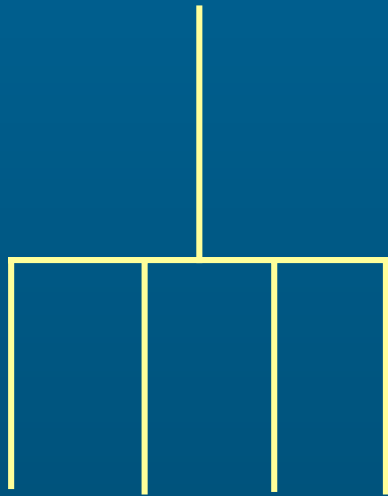
PROVISIONAL

- Participants share
 - Joint & several technical responsibility
 - Joint & several financial liability (exemption for public entities)
 - integral part of internal flexibility and autonomy
 - applied by Commission at last resort
- Model contract will specify general conditions
- Consortium agreement
 - not mandatory
 - but practically indispensable
 - to be signed as early as possible

Integrated Projects - flexibility & autonomy

- For the implementation plan, each year
 - consortium will propose detailed plans for the coming 18 months
 - and may propose to update the overall plan
(both need approval of the Commission to enter into force)
- For the Community contribution
 - the contract may not specify its distribution between participants nor between activities
- For changes in the consortium
 - the consortium may decide to take in new participants
(without additional funding)
 - the contract will specify when the addition of new participants must involve a competitive call
 - competitive call by Commission to add tasks and funding

Integrated Projects - three possible implementations



“Monolithic”

- Partners known at outset
- Tasks identified
- budget known

“Incremental” participation

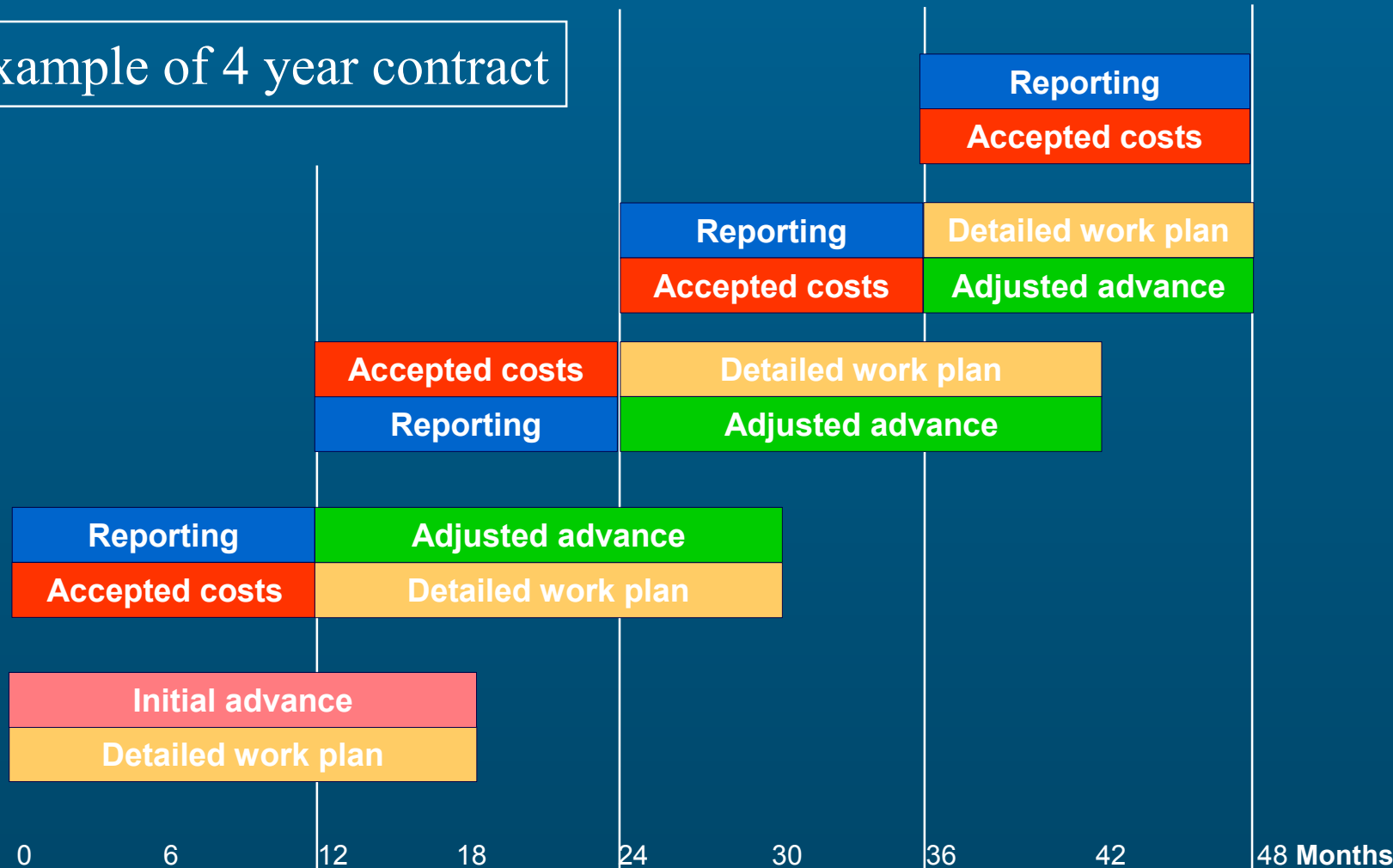
- Tasks identified
- budget known
- not all participants are in

“Incremental” funding

- objectives known
- technology roadmap known
- tasks to be completed
- budget to be changed
- Participants as well

Integrated Projects - payment & report schedule

Example of 4 year contract



Integrated Project - monitoring

- By Commission Project Officer (PO) or group of PO's
- Principle
 - more strategic monitoring of outputs
- Review schedule (with assistance of experts):
 - yearly
 - mid-term, with a “go” / “no go” decision to continue the project
 - final review
- Audits
 - every IP likely to be subjected to one financial audit

Networks of Excellence (NoE) - objectives

- To reinforce scientific and technological excellence
- By integrating research capacities across Europe.
- To progress knowledge on a particular theme
- To act as a “Virtual Centre of Excellence”

NoE - main features

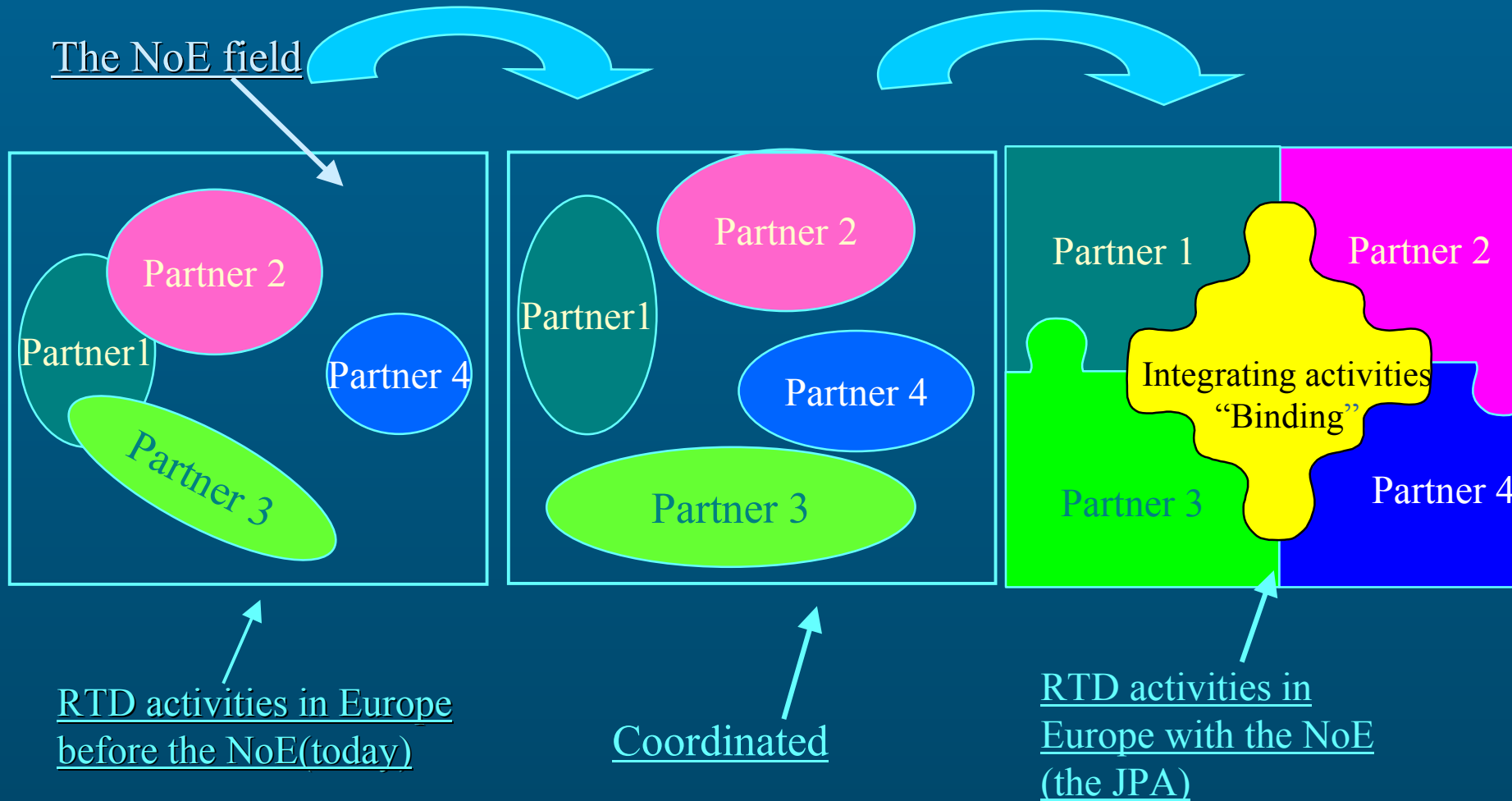
- “Virtual” centre of excellence
 - a clearly identified “Joint Programme of Activity” (JPA) (RTD, training, transfer, mobility...)
 - established or emerging fields
- Size
 - Several M€ per year
 - Participants
 - minimum of 3: Universities, Research Labs, Industrial Labs
 - bringing together a “critical mass” of key actors
 - universities, research centres, enterprises (SME’s & large companies)

NoE - the “Joint Programme of Activity”

- “Re-thought” RTD activities of participants
 - co-ordinated as “one” RTD programme
 - less redundancy, better coverage
- Integrating activities e.g.
 - common software libraries,
 - common development platforms, ..
 - joint RTD teams
 - exchange of researchers
 - shared knowledge and IPR
- Dissemination
 - training of researchers
 - technology transfer to industry, SME’s...

NoE - the JPA for integrating/shaping research

The NoE field



NoE - implementation

- Selection on the basis of calls for proposals
- Large degree of autonomy
 - possibility to modify plans and allocation of work
 - possibility to launch a call for participation
- Funding
 - grant for integration
 - should be less than 25% of total effort of the JPA
 - funding is NOT a ratio of the total cost

NoE - evaluation process & criteria

PROCESS

- Public calls for proposals
 - possibly preceded by calls for “expression of interest”
- A “strengthened” peer evaluation system:
 - in various stages, possibly involving individual reviews, panel sessions, hearings of applicants...

CRITERIA

- Excellence and ambition of
 - the network as a whole, the JPA, the individual members
- Extent, depth and lasting character of the integration
- Contribution to spreading of excellence
- Management and governance of the network...

NoE - flexibility & autonomy

- For the joint programme of activities, each year
 - detailed JPA for the coming 18 months
 - possible updating of the overall JPA
- For the allocation of the Community grant
 - distribution among partners & activities on an autonomous basis (consortium agreement)
 - requires different liability scheme
- For changes in the network partnership
 - the partnership may decide to take in new partners
 - can be through a competitive call (to be specified in the contract)

NoE - financial regime

PROVISIONAL

- Grant for integration
 - a lump sum per researcher 'involved'
 - starts from 20K€ per researcher
 - diminishes as the number of researchers increases
 - still to be further elaborated / validated...
- Payments
 - disbursed in annual instalments
 - according to planned progress in the JPA
 - including the effort towards lasting integration
 - possibly degressive to avoid dependence
 - Can be used by the network for any activity

FP6 instruments & financing schemes

	Grant for integration	Grant to the budget	Grant as a lump sum
Networks of Excellence	✓		
Integrated Projects		✓	
Targeted research projects		✓	
Specific Research activities for SMEs		✓	
Integrated initiatives for Infrastructure		✓	
Actions to promote human resources and mobility		✓	✓
Coordination actions		✓	
Specific support actions		✓	✓

Article 169

- At the initiative of the Member States
- Support to “National” programmes jointly executed according to article 169
- EC funding to support the jointly executed programme
- May be difficult to use in large numbers
 - each requires a co-initiative by national programmes and the Commission to generate a proposal
 - long and complex decision-making, as long as co-decisions of Council and Parliament are taken case-by-case
 - so far untried

FP6 - coordination & specific support actions

Coordination Actions

- Similar to current thematic networks
- Support to logistics, ..
- can cover up to 100% of additional costs

Specific Support Actions

- An evolved form of the accompanying measures of FP5
 - e.g. conferences, seminars, studies and analyses, expert groups, operational support, dissemination, information and communication activities

FP6 Participation rules

Who?

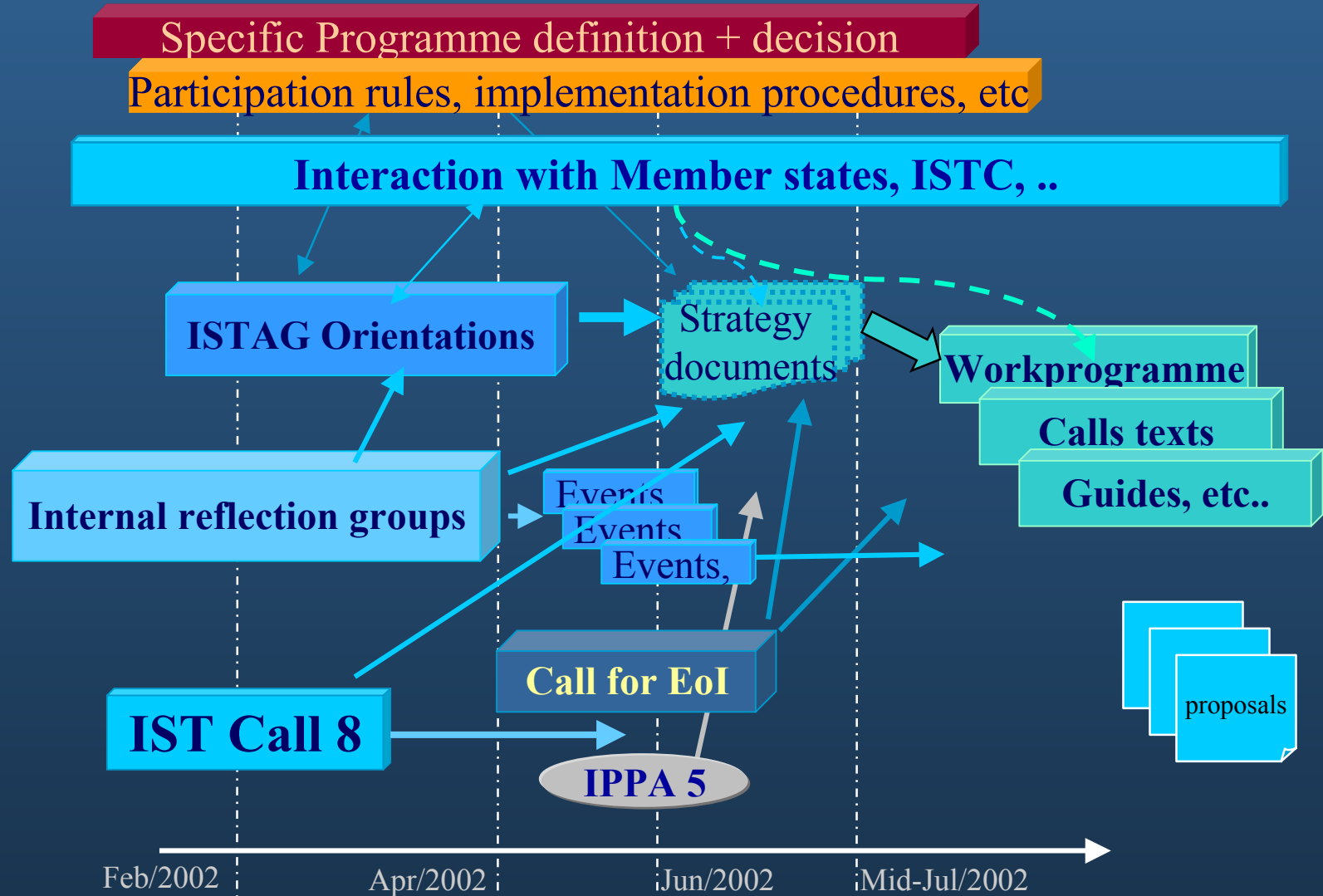
- Member States AND Associated candidate Countries, same rights & obligations
- European scientific cooperation organisations (ESA etc)
- Minimum number of legal entities
 - IP and NoE = 3 (2 from MS)
 - Other instruments = 2 (1 from MS).
 - Fellowships & support actions = 1 (possible)

(Numbers can be adjusted by WP)

3rd Countries

- IN the 'Integrating' part
 - ✓ All countries
 - ✓ Funding possible for INCO countries
- OUTSIDE 'Integrating' part
 - ✓ Countries with co-operation agreements under specified conditions
 - ✓ Other countries if necessary

The process leading to the 1st FP6 call



Conclusions: Opportunities & challenges

- Realising ERA requires
 - new “thinking”
 - concentration, critical mass & flexibility are key
- FP6 provides a key opportunity to shape and improve the impact of IST research in Europe
 - A new generation of technologies & applications is emerging
 - Europe is well positioned to shape the future & compete
 - The pace of development is increasingly fast
 - The aim is “people first” in all-inclusive knowledge society
- Simplification of procedures and fast reactivity
 - an extensive effort needed to mobilise the constituency
 - to address the (steep) learning-curve FP5→FP6

For further information



<http://www.cordis.lu>

[http:// www.cordis.lu/ist](http://www.cordis.lu/ist)

[http:// www.cordis.lu/ist/fp6/fp6.htm](http://www.cordis.lu/ist/fp6/fp6.htm)

[http:// www.cordis.lu/rtd2002](http://www.cordis.lu/rtd2002)

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