

IST in Fp6

Content

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Outline of presentation

- FP6 structure
- IST priority objectives and vision
- Detailed content and budget



Commission proposal for FP6

INTEGRATING EUROPEAN RESEARCH									
PRIORITY THEMATIC AREAS							ANTICIPATING S/T NEEDS		
Genomic and biotechnology for health	Information society technologies	Nanotechnologies, intelligent mat., new production processes	Aeronautics and space	Food safety and health risks	Sustainable development and global change	Citizens and governance in the knowledge society	Research for policy support	Frontier research, unexpected developments	
							Specific SME activities		
							Specific international cooperation activities		
							JRC activities		

STRUCTURING THE ERA			
Research and innovation	Human resources & mobility	Research infrastructures	Science and society

STRENGTHENING THE FOUNDATIONS OF ERA	
Coordination of research activities	Development of research/innovation policies



IST in FP6: Key elements

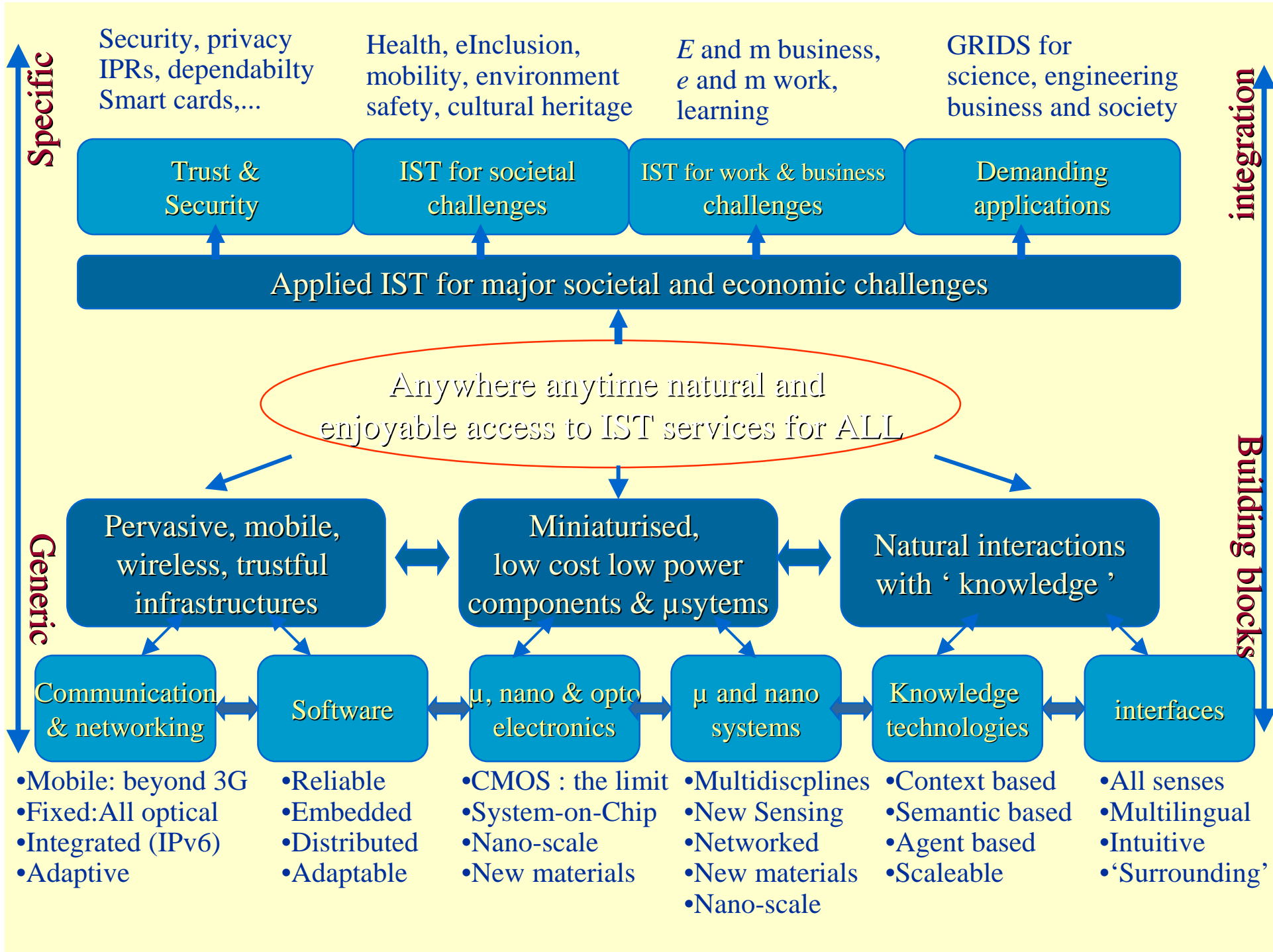
Main objectives

- 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





Budget

● Integrating & strengthening			
– Genomics	2200 M€		
– IST	3600 M€	→	Of which 100M€ for GEANT/GRID
– Nanotechnologies, int..	1300 M€		
– Aeronautics and space	1075 M€		
– Food quality and safety	685 M€		
– Sustainable development	2120 M€		
– Citizens and governance ..	225 M€		
– Anticipation of S&T needs			
• SMEs	450 M€		
• Specific InCo	300 M€		
• Anticipating needs	570 M€	→	Of which 350 MEuro in the initial phase
● Strengthening ERA foundations	330 M€		
● Structuring ERA			
– Research and Innovation	300 M€		
– Human resources	1630 M€		
– Research Infrastructures	665 M€	→	Of which 200M€ for GEANT/GRID
– Science/Society	50 M€		
● Joint Research Centre	760 M€		

16, 270 B€



IST in Fp6

*Integrated projects
and Targeted Research Projects*

*Morten Moller
DG INFSO, IST programme*



Outline of presentation

- FP6 instruments: overview
- Integrated Projects
- Specific Targeted Research projects



FP6 instruments and 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		✓	✓



FP6: 6 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



FP6: Instruments for “priority areas”

- “New” instruments (Integrated Projects and Networks of Excellence) characterised by capacity to
 - mobilise critical mass necessary to achieve ambitious objectives
 - produce structuring and integrating effects on fabric of European research



Principles guiding their design (1)

- Simplification and streamlining
 - to minimise the overheads for all concerned whether applicant, contractor or the Commission
 - to speed up procedures, especially time-to-contract
- Flexibility and adaptability
 - to enable instruments to be applicable throughout the priority themes
 - to enable projects to evolve



Principles guiding their design (2)

- Increased management autonomy
 - to eliminate unnecessary micro-management
- Commission monitoring to move
 - from detailed monitoring of inputs
 - to more strategic monitoring of outputs
- While preserving public accountability and preserving the interests of the Community



Use of the Instruments

- Calls for proposals will identify
 - which instruments are to be used,
 - which have priority and for what
- IPs and NoEs 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 SMEs



Activities

- Activities integrated by 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 appropriate management structure



What is critical mass?

- Resource wise:
 - An IP will have the necessary size to achieve its ambitious objectives
 - Budget may range up to €several tens of millions,
 - but no minimum threshold, provided necessary ambition and 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
 - but more if necessary to deliver the objectives



Financial regime (1)

- Community support will be 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
 - exclude indirect taxes...
 - note: no pre-defined cost categories - only defined ineligible costs



Financial regime (2)

- Annually, each participant to provide a summary financial statement
 - certified by an independent auditor
 - with a justification of costs
 - coupled to corresponding activity report
- Rolling advance scheme throughout duration of IP
 - Reduced retention



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
- **AC participants supported at up to 100% of additional costs for all components of the 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...



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
 - S&T excellence
 - effectiveness of knowledge management
 - scale of ambition and potential impact
 - critical mass in terms of activities and resources
 - quality of project management



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...)



Contractual aspects (2) (provisional)

- Participants share
 - Joint and several technical responsibility
 - Joint and 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

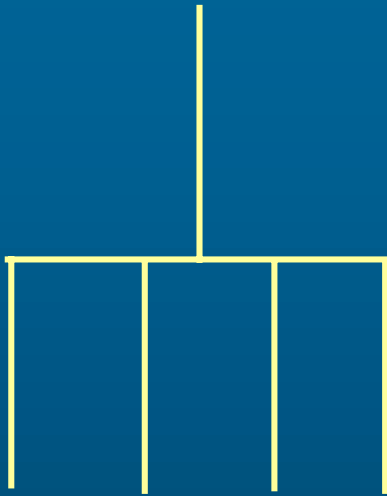


Flexibility and autonomy of implementation

- For the implementation plan, each year
 - the consortium will propose a detailed plan 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

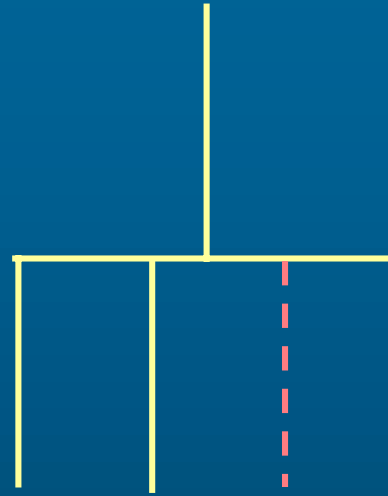


IPs : Three possible implementations



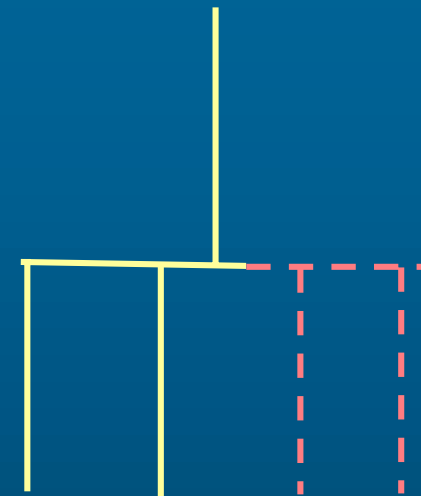
“Monolithic”

- 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



Targeted RTD projects

- Principle: Focused on one specific activity and specific results
 - by supporting research activities of more limited scope and ambition the IPs
- Similar to current RTD contracts
 - Research (50%)
 - Demonstration (35%)
 - Combined research and demonstration
- Participation: At least two independent organisations from at least two MSs or ASs



Targeted RTD projects

- Launching: Calls for proposals
- Evaluation: Peer review
- Funding: Grant to budget up to 50 % / 35%
- Partnership: More limited than IPs
 - particularly for smaller research actors, including SMEs, and for participants from candidate countries
- Cost models: AC, FC and FF
- Joint and several financial liability



Participation

Who?

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

(Nbr can be adjusted by WP)

3rd Countries

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



Networks of Excellence: Objectives

- To reinforce scientific and technological excellence
- by integrating research capacities across Europe.
- to progress knowledge on a particular theme
- Act as a “Virtual centre of excellence”



NoEs: main features

- “Virtual” centre of excellence
 - a clearly identified “joint programme of activity” (JPA)
 - RTD, training, transfer, mobility...
 - established or emerging fields
- Size
 - Several MEuro per year
 - Participants
 - minimum 3: Universities, Research Labs, Industrial Labs
 - bring together a “critical mass” of key actors
 - universities, research centres, enterprises (SMEs as well as large companies)...



NoEs: 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
 - It is NOT a ratio of the total cost



Evaluation

- 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...



NoEs financial regime (1) (provisional)

- Grant for integration
 - A lump sum per researcher ‘involved’
 - Starts from 20 KEuro per researcher
 - Diminishes as the number of researchers increases
 - Still to be further elaborated/validated...



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
 - for example, conferences, seminars, studies and analyses, expert groups, operational support, and dissemination, information and communication activities



Next steps on the Commission side

- Prepare for implementation and operations
 - Contracts, Calls, evaluations, decision procedures, ...
 - InterDGs WGs and Taskforces on Instruments

- Prepare for content and calls
 - Set up the advisory structure
 - Prepare the Workprogrammes
 - Prepare the constituency
 - Invitation for Expressions of Interest



Instruments and operations: Status

- “Detailed provisions for IPs and NoEs”
 - Working documents have been produced and are available on Cordis:
www.cordis.lu/rtd2002/fp-debate/cec.htm#integrated
 - Details on how these instruments will be implemented
 - including types of activities, financing, calls, evaluations,...
 - In line with the rules for participation
- Detailed provisions for the other instruments
 - TRPs and Coordination actions by end of March

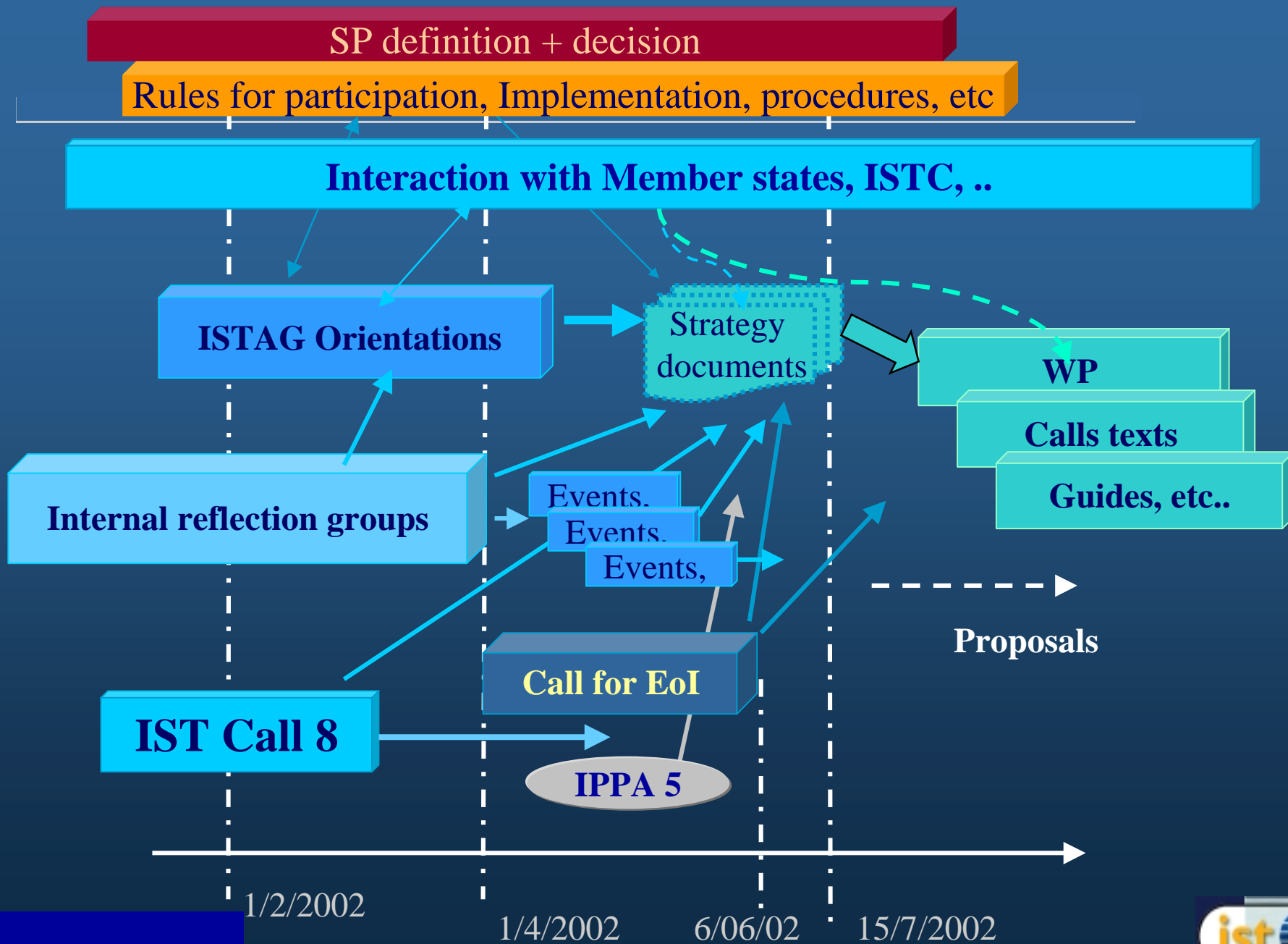


Defining further the Content

- From Project-thinking to “Initiative”-thinking
 - New instruments: IPs and NoEs
 - More strategic thinking
 - New approaches
- The ERA dimension
 - Making sure that public funding helps aggregate public and private effort
 - Not supporting a particular RTD work...
- A different way of describing content and calls
 - Lighter WP?, different sequencing of calls, ...
- A huge effort to prepare the constituency

FP6 is not business as usual!





The Process



The invitation for expressions of interest

- Open by March 20, deadline June 7
- Objectives:
 - Stimulate partnerships and proposal building
 - Input to the WP preparation
- Invitation for “embryonic” proposals in IPs and NoEs
 - i.e. ideas supported by a consortium
- Response will be analysed and a report produced
- The report is expected to be made public



The invitation for expressions of interest (2)

- It is NOT obligatory for FP6 proposers
 - proposals can be submitted in FP6 even if no EoI is done
 - There will be no feedback on individual EoI
- But would be an important input to identify areas where the constituency is ready to propose
- It is not binding for the Commission
 - It is one (important) input out of others

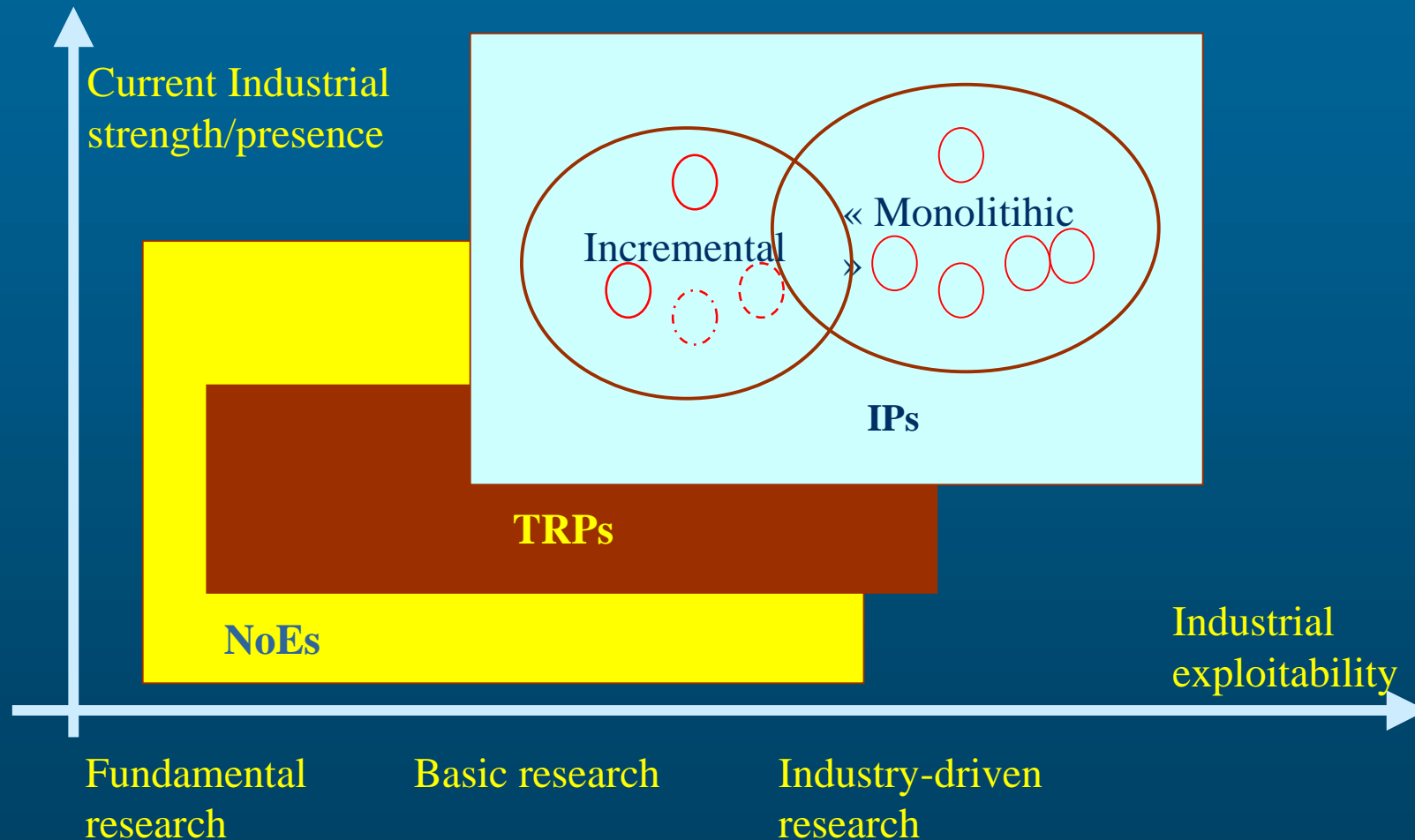


The invitation for expressions of interest (3)

- Eols should include
 - a short document (in no more than 5 pages)
 - containing the rationale for proposing the research action
 - the objectives and general approach
 - Answers to questions specific for each instrument (see guidelines and invitation for Eol)
- If proposers do not object, an abstract will be made public with the list of participants
 - To stimulate partnerships



Example of implementation in an IST field



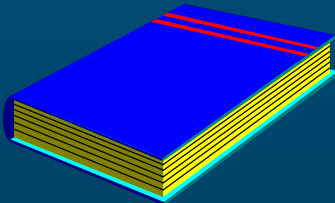
For further information



**www.cordis.lu
www.cordis.lu/ist
www.cordis.lu/rtd2002**



IST helpdesk
Fax : +32 2 296 83 88
E-Mail : ist@cec.eu.int



- Official Journal (invitationtexts)
- Guides for Proposers



For further information

Ministerio de Ciencia y Tecnología

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