

# *Information Society Technologies In the 6th Framework Programme*

*DG Information Society, IST programme*



# The timetable for FP6

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- 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 2002.....Final adoption of FP
- Sept/Oct/Nov 2002..... Final adoption of SP and rules for participation, model contract
- ~December 2002 .....First FP6 call



# A new context for EU supported RTD: ERA

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

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- From Project-thinking to “Initiative”-thinking
  - New instruments: IPs and NoEs
  - More strategic thinking
- Develop European approaches
  - Making use of community funding helps to complement member states and private effort
  - Not just supporting a particular RTD work...
- Different way of describing content and calls
  - Lighter WP?, different sequencing of calls, ...

*FP6 is not business as usual!*



# 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
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## STRENGTHENING THE FOUNDATIONS OF ERA

Coordination of research activities	Development of research/innovation policies
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# IST in FP6: Key elements

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## 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

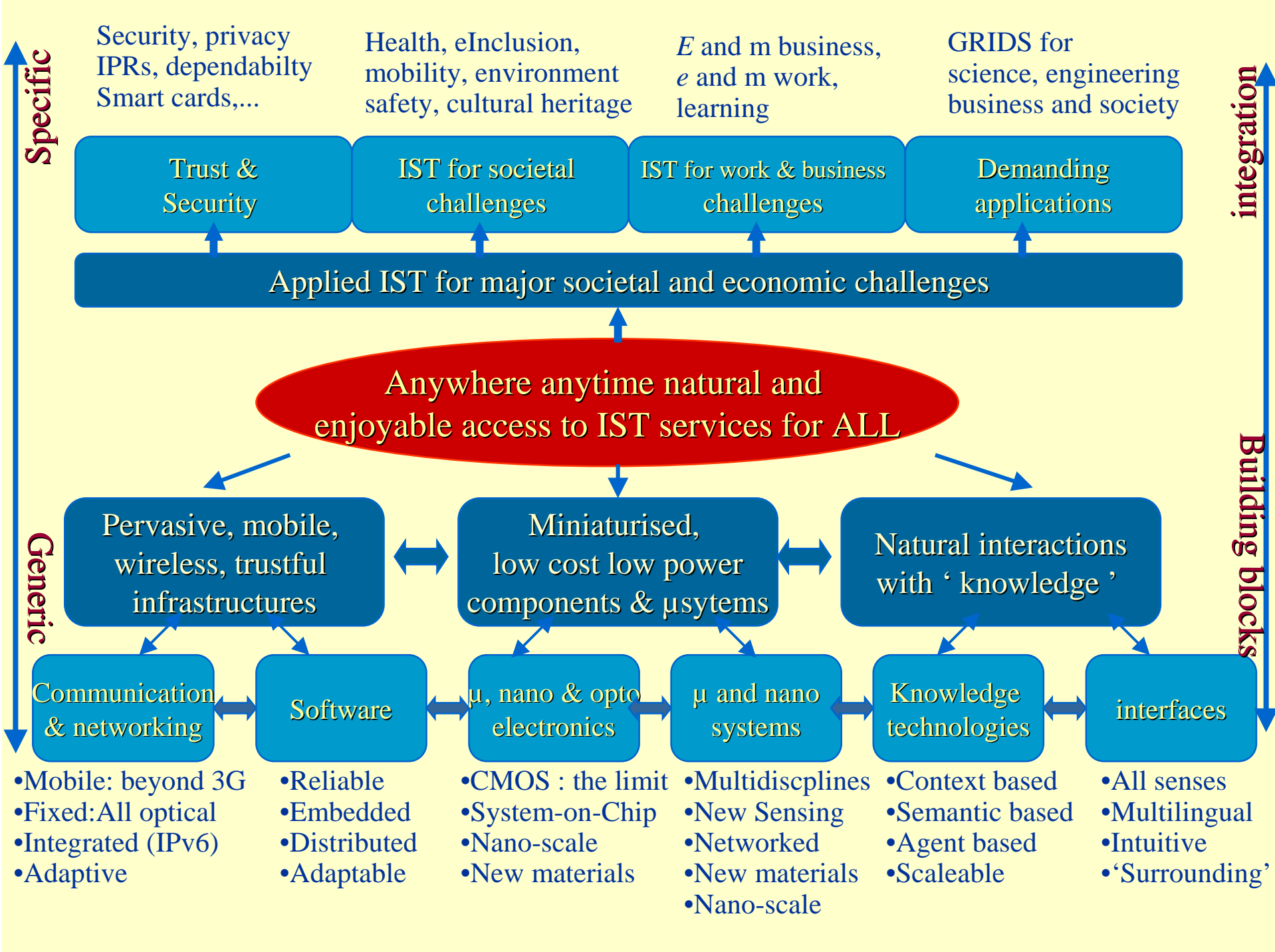


# The IST vision

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- Building the knowledge society for ALL
- Bringing the users, “people”, to the foreground the “centre of our attention”
  - and build trustful technologies for the background (almost invisible)
- Moving to an era where: *‘Our surrounding is the interface’ to IST applications and services*
- Exploring beyond “the PC, screens & keyboard interfaces”...
- Enabling multi-sensorial dialogues supported by computing & networking
  - ‘everywhere’, embedded in everyday objects (e.g: furniture, clothes, vehicles, smart materials, ...)





# IST activities outside priority 2

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- Exploring future visions and paradigms
  - Anticipation of S&T needs, Priority 8
  - “Parts” of current FET: Interdisciplinary
- Support to eEurope
  - Anticipation of policy needs, Priority 8
- Research Networks, GEANT+GRIDs
  - Research Infrastructures
  - “In addition” to priority 2
- The IST constituency can also benefit from:
  - Support to SMEs
  - International co-operation
  - Strengthening ERA activities
  - Innovation activities
  - mobility of researchers..
  - ...



# Budget

● Focussing & Integrating			
– Genomics	2255 M€		
– <b>IST</b>	<b>3625 M€</b>	→	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	430 M€		
• Specific InCo	315 M€		
• Anticipating needs	555 M€	→	Of which 350 MEuro in the initial phase
● Strengthening ERA foundations	320 M€		
● Structuring ERA			
– Research and Innovation	290 M€		
– Human resources	1580 M€		
– <b>Research Infrastructures</b>	<b>655 M€</b>	→	Of which 200M€ for GEANT/GRID
– Science/Society	80 M€		
● Joint Research Centre	760 M€		

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16, 270 B€



# IST-in-FP6 : Conclusions

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- A new generation of technologies and applications is emerging
- Europe is well positioned to shape the future and compete
- The pace of development is increasingly fast
- The aim is “people first” in all-inclusive knowledge society
  
- Concentration, critical mass and flexibility are key
- Simplification of procedures and fast reactivity
- Need to address the (steep) learning-curve FP5→FP6



# 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”

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- 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 for “priority areas”

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- Individual Take-up Actions
- SME Exploratory Awards



# FP6: Instruments for “priority areas”

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- “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)

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- 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)

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- 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

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- 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

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- 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

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- 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?

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- 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)

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- 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)

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- 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 throughout duration of IP
  - Reduced retention



# Further financial details (provisional)

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- **Possible continuation of FP5 cost models**
  - FC: full actual direct and actual indirect costs
  - FCF: full actual direct plus 20% flat rate
  - AC: additional direct costs plus 20% flat rate
- **Maximum rates of support for FC/FCF 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

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- 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

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- 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)

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- 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)

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- Participants share
  - Collective technical responsibility
  - Collective 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

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- 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



# Project monitoring

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- By Commission Project Officer (PO) or group of POs
- 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



# Targeted RTD projects

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- 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

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- 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 FCF
- Joint and several financial liability



# Participation

## 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

(Number 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

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- 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

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- “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)...



# The Joint Programme of Activity

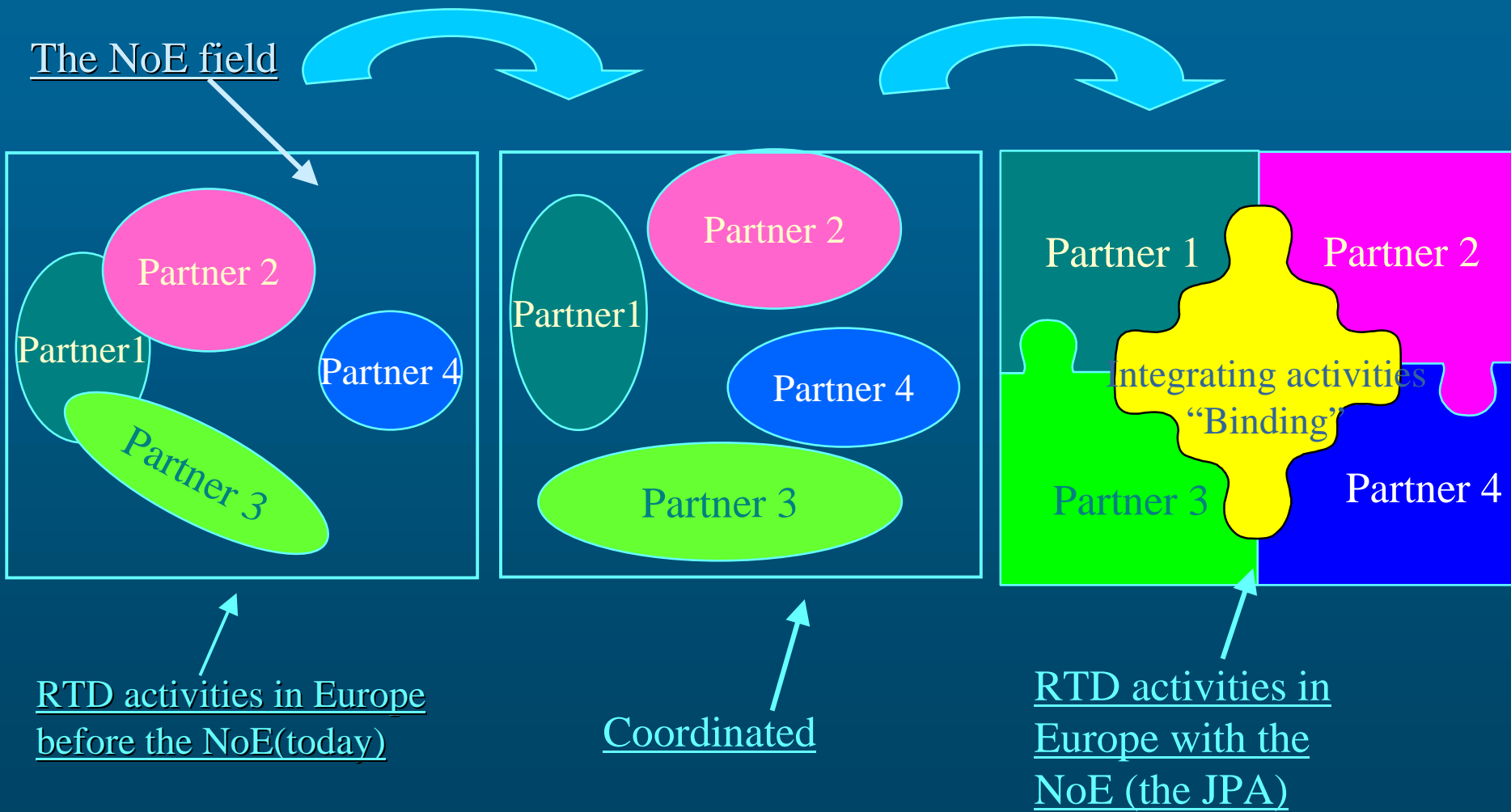
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- “Rethought” RTD activities of participants
  - Co-ordinated as “one” RTD programme
  - less redundancy, better coverage
- Integrating activities e.g.
  - common Software libraries,
  - common development platforms, ..
  - joint RTD teams
  - Exchange of researchers
  - Shared knowledge and IPR
- Dissemination
  - Training of researchers
  - Technology transfer to industry, SMEs...



# The JPA: integrating/shaping research

The NoE field



# NoEs: Implementation

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- 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

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- 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...



# Evaluation criteria

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- excellence and ambition of
  - the network as a whole
  - the joint programme of activities
  - the individual members
- extent, depth and lasting character of the integration
- contribution to spreading of excellence
- management and governance of the network...



# Flexibility and autonomy

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- 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 and activities on an autonomous manner (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



# NoEs financial regime (1) (provisional)

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- 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...



# Financial regime (2) (provisional)

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- Payments
  - disbursed in annual instalments
  - according to planned progress in the Joint Programme of Activity
  - including the effort towards lasting integration
  - possibly reducing to avoid dependence
  - Can be used by the network for any activity



# Coordination actions

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



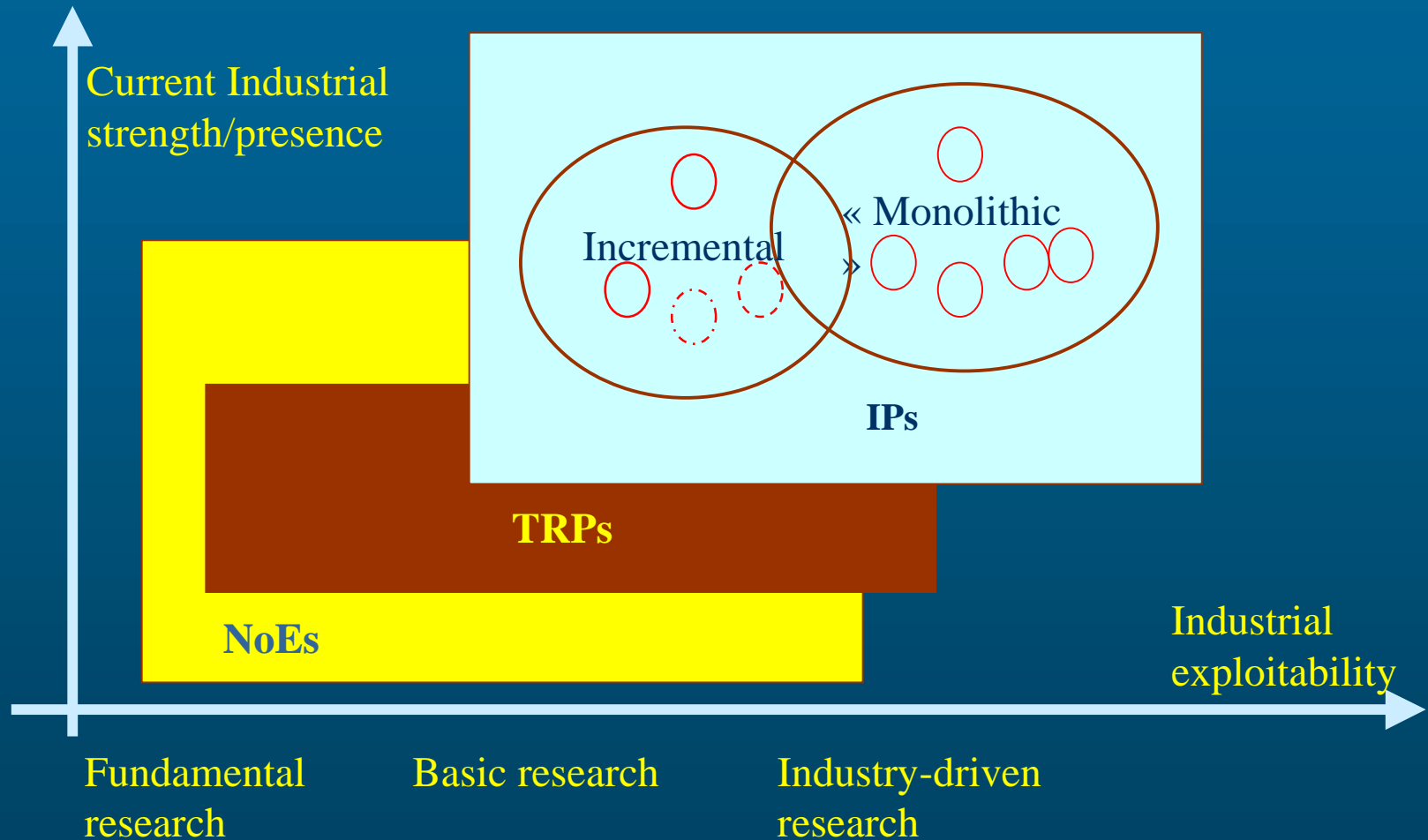
# Specific support actions

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- 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



# Example of implementation in an IST field



# Actions on the Commission side

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- Prepare for implementation and operations
  - Contracts, Calls, evaluations, decision procedures, ...
- Prepare for content and calls
  - With the Committee and the advisory structure
  - Draft the Workprogrammes
  - Inform the constituency eg websites, documents
  - Summary of Expressions of Interest



# For further information

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

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