



The 6th European Research Framework Program

The New Instruments IP & NoE

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Content



6th Framework Program (FP 6)

- n FP6 - Some Generalities
- n FP6 - Integrated Project (IP)
- n FP6 -Network of Excellence (NoE)





The RTD context



- n **FP6 is not business as usual!**
- n **ERA: Pooling of European RTD resources**
- n **FP6: a key tool to help realise ERA**
- n **A new approach and new instruments**





Political Priorities

n Extending FP6 to new participants

- Unrestricted participation of NAS (Bulgaria, Czech Republic, Cyprus, Estonia, Hungary, Latvia, Lithuania, Malta, Poland, Romania, Slovakia, Slovenia, Turkey*)
- Effort needed to include NAS !
- Minimum participation requirement - no member state necessary

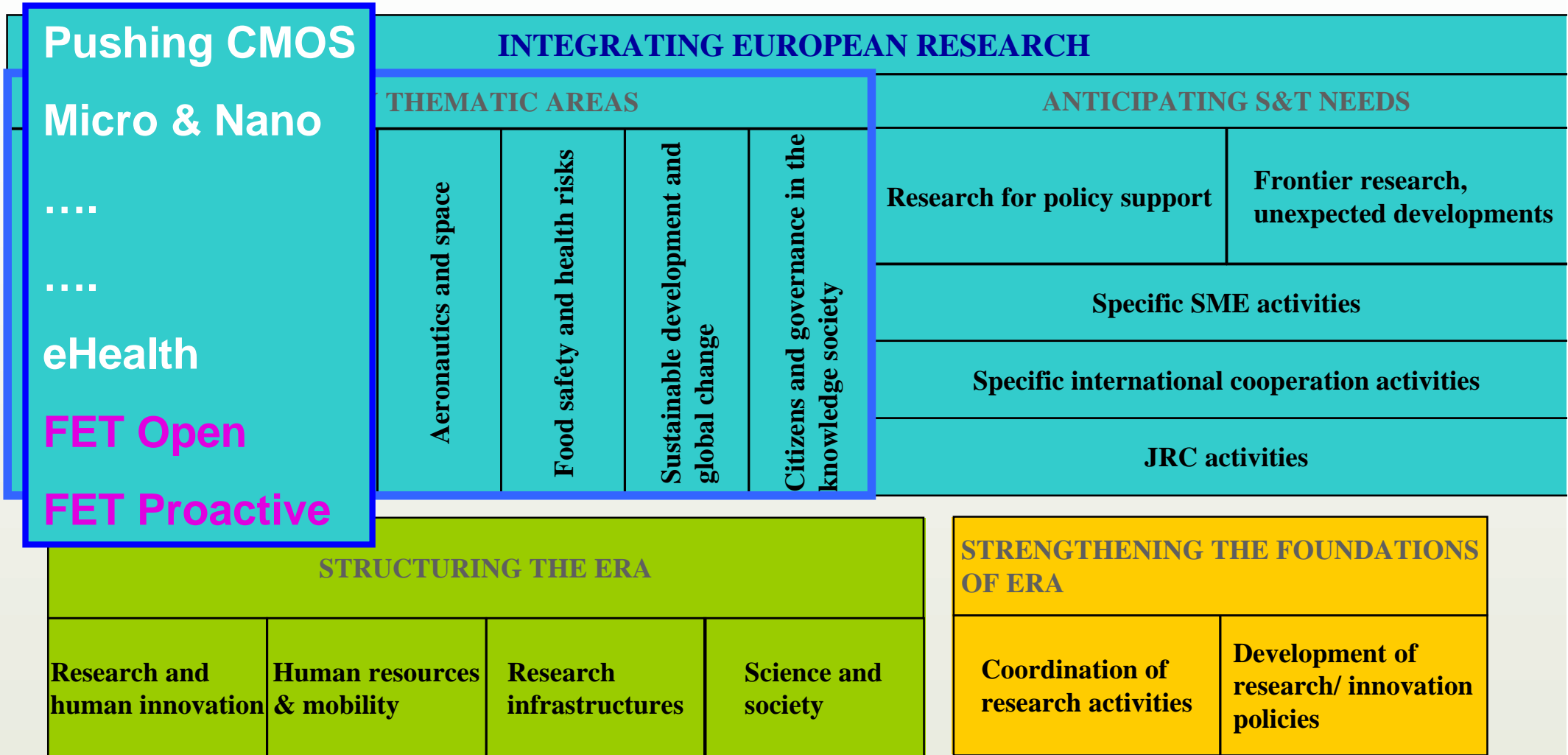
n New Instruments to become a success

- 2/3 IP & NoE
- revised weighting after 2 years





6th Framework Program Structure





Workprogram in FP6

- n Provides further details on ...
the Scientific and technical content of the calls
- n Defines the evaluation and selection criteria
 - common set derived from the rules for participation
 - additional criteria depending on objectives
- n Defines the terms of the calls for proposals
 - objectives to be called for
 - distribution of budget between old and new instruments
- n Updated as appropriate
 - every year for IST





6th Framework Program: Instruments



New Instruments

- n **Integrated Projects (IP)** - object driven
- n **Networks of Excellence (NoE)** - exploratory research

Traditional Instruments

- n **Specific Targeted Research Projects (STREP)**
- n **Co-ordination actions (CA)**
- n **Specific Support Actions (SSA)**
- n **Article 169**





Classification of the instruments

| Instrument | Purpose | Primary deliverable | Scale |
|-------------------|----------------------------------|-------------------------------------|-----------------|
| IP | objective-driven research | knowledge | med-high |
| NoE | tackle fragmentation | structuring | med-high |
| Art. 169 | joint MS programmes | knowledge and/or structuring | high |
| STREP | research | knowledge | low-med |
| CA | coordination | coordination | low-med |
| SSA | support | support | low-med |





Rationale of New Instruments

n Simplification & Streamlining

- minimise overheads for contractors & Commission
- speed-up procedures (e.g. time-to-contract)

n Flexibility & Adaptability

- instruments applicable throughout the priority themes
- allow projects to evolve

n Increased Management Authority

- reduce micro-management

While preserving public accountability & protecting interests of the Community !





Purpose of Integrated Projects (IP)

- n Designed to **generate the knowledge** required to implement the priority thematic areas of FP6
 - by integrating the **critical mass** of activities and resources needed
 - to achieve **ambitious, clearly defined scientific and technological objectives**

- n Essentially an instrument for supporting **objective-driven research** of a **European dimension**





Integrated Project (IP) - activities

Activities integrated by a project may cover the full research spectrum

- objective-driven **research** (long term & risky allowed)
- technological **development** and **demonstration** as appropriate
- may contain **training**
- effective management of knowledge is essential (e.g. **dissemination, patents, ...**)
- **take-up** measures can be included
- **societal** impact studies possible
- the whole carried out in a coherent **management** framework

MUST comprise:

- coherent set of activities
- appropriate management structure





Meaning of integration in IPs

- n Each IP should comprise a coherent set of component parts
- n Internal architecture may vary depending on topic, scope and managerial approach of each IP
- n Forms of integration:
 - “vertical” - full value chain of stakeholders
 - “horizontal” - multidisciplinary
 - “sectoral” - private/public
 - “financial” - synergy with other schemes (EIB, Eurêka)





Integrated Project (IP) - flexibility & autonomy

n Implementation plan

- detailed plan for next 18 months
- redefined every 12 months (after annual review)
- update of overall plan
- need approval of EC

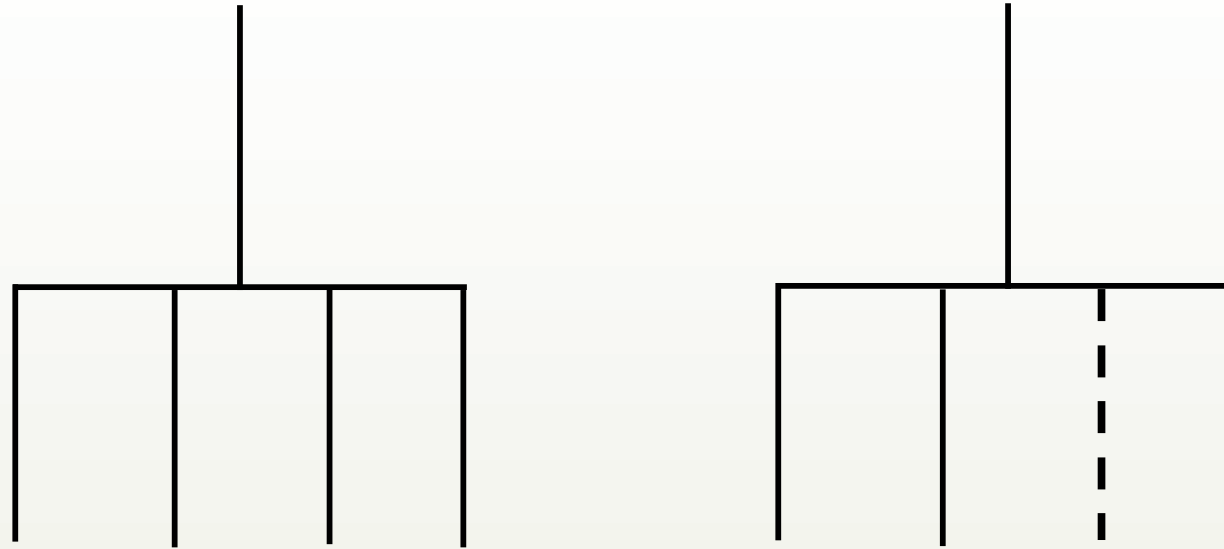
n Modifying the consortium

- the consortium can itself decide to take new participants (without additional funding)
 - replacement (no competitive call)
 - expansion (contract specifies the competitive calls)
- EC may decide to launch calls to add activities & participants (with additional funding)
 - cover new activities
 - involve particular type of participant (e.g. SME, NAS)





Integrated Project (IP) - possible implementation



“Monolithic”

- Partners known at outset
- Tasks identified
- budget known

“Incremental” participation

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





Integrated Project (IP) - critical mass

n Duration

- typically 3 to 5 years but more if necessary to deliver the objectives

n Resources

- each IP must assemble the critical mass of resources needed to achieve its ambitious objectives
- activities integrated may range up to several tens of million Euro
- no minimum threshold, provided necessary ambition and critical mass is achieved





Integrated Project (IP) - critical mass (cont'd)

n Partnership

- minimum 3 participants from three different Member States or Associated States, of which at least two should be Member States or Associated candidate countries
- but in practice likely to be substantially more

n SME participation is strongly encouraged

n 'third country' participants may be included, with a possibility of Community financial support for entities from certain groups of countries





Network of Excellence (NoE) - Objectives

- n **Strengthen Europe's excellence** on a particular research topic
 - by integrating the critical mass of expertise needed to provide European leadership and be a world force
 - around a joint programme of activities

- n **Tackling the fragmentation** of European research
 - where the main deliverable is a durable **structuring** and shaping of how research is carried out in Europe
 - durable **integration** of R&D capacities across Europe
 - progress **knowledge** on a particular theme
 - act as a **virtual centre of excellence**

- n **Spreading excellence** beyond its partners





NoE - The joint program of activities (1)

n Integrating activities

- coordinated programming of the partners' activities
- sharing of research platforms/tools/facilities
- joint management of the knowledge portfolio
- staff mobility and exchanges
- relocation of staff, teams, equipment
- reinforced electronic communication systems





NoE - The joint program of activities (2)

- n **Joint research activities: a programme of joint research to support the network's goals**
 - development of new research tools and platforms for common use
 - generating new knowledge to fill gaps in or to extend the collective knowledge portfolio





NoE - The joint program of activities (3)

n Activities to spread excellence

- training researchers and other key staff
- dissemination and communication activities
- networking activities to help transfer knowledge to teams external to the network
- where appropriate, promoting the exploitation of the results generated within the network
- where appropriate, innovation-related activities





NoE - The joint program of activities (4)

Network management

- overall coordination of the joint activities
- communication with the Commission, reporting
- activities linked to consortium-level financing and accounting management and legal issues
- coordination of the knowledge management activities, if appropriate, other innovation-related activities
- promotion of gender equality
- science and society issues
- supporting the governing board and other network bodies



Meaning of integration in NoEs

- n In their proposal, participants will include possible **qualitative and quantitative indicators** for measuring progress towards integration
- n Main factors to be examined:
 - extent of mutual **specialisation** and mutual **complementarity**
 - sharing /development for **common use** of research infrastructure, equipment, tools and platforms
 - regular joint execution of **research** projects
 - interactive working through **electronic communication** systems
 - joint management of the **knowledge portfolio**
 - joint **training** programme (researchers and other key staff)
 - coherent **management** framework





Network of Excellence - critical mass

n Expertise

- assemble the critical mass needed to achieve its ambitious goals
- varies from topic to topic
- up to several hundreds of researchers
- may be smaller, provided necessary ambition & critical mass achieved

n Partnership

- minimum 3 from 3 different countries
- in practice more

n Duration

- typically 5 years
- up to 7, if needed to create a durable integration



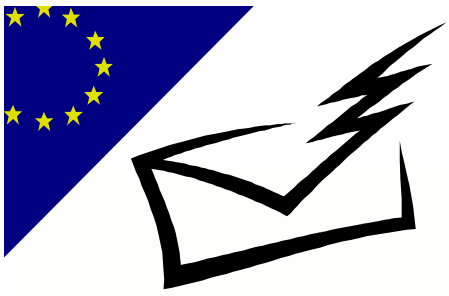


Network of Excellence (NoE) - monies



- n EC contribution = **grant** to the budget
- n Reimbursement against real incurred costs.
- n Head count is **NOT** budget distribution !
- n Global budget requirements based on head count
 - 50 researchers €1 million/year
 - 100 researchers €2 million/year
 - 150 researchers €3 million/year
 - 250 researchers €4 million/year
 - 500 researchers €5 million/year
 - 1000 researchers and above €6 million/year(for intermediate numbers, grant calculated by linear interpolation)
- n Budget managed & allocated centrally (task by task)





Where to find more

- n European Commission: europa.eu.int
- n 6th FWP: www.cordis.lu/fp6
- n IST in 6th FWP www.cordis.lu/ist
- n FET: www.cordis.lu/ist/fethome.htm

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Traditional Instrument: STREP

“Specific Targeted Research Project”

- n Targeted, well defined and precisely focused research and technological development
- n Demonstration component(s) as appropriate
- n Project management

equivalent to the projects in FP5





Traditional Instrument: CA

“Co-ordination Action”

- n Organisation of conferences;
- n Performance of studies, analysis;
- n Exchanges of personnel;
- n Exchange and dissemination of good practice;
- n Setting up of common information systems;
- n Setting up of expert groups;
- n Definition, organisation, management of joint or common initiatives.





Traditional Instrument: SSA

“Specific Support Action”

- n Conferences, seminars, working groups and expert groups;
- n Studies, analysis;
- n Fact findings and monitoring;
- n Trans-national technology transfer and take-up related services;
- n Development of research or innovation strategies;
- n High level scientific awards and competitions;
- n Operational support and dissemination, information and communication activities.

