

Sitzung der strategischen Plattform IST



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Tagesordnung

1. Begrüßung und Annahme der Tagesordnung
2. Sachstand – 4. IST-Ausschreibung
3. IST-FP6 Budget und Ausblick 5. Ausschreibung
4. Sachstand – 7. Rahmenprogramm (FP7)
 - IST in FP7
 - ETPs
 - ...
5. Verschiedenes



IST Operations

Overview of the 4th IST Call

ISTC 20 April, 2005





Received proposals - Overview of 6 April, 2005

	IP	NoE	STREP	CA	SSA	total new	total old	Total
2.4.1 Nanoelectronics	12	0	38	1	3	12	42	54
2.4.2 Micro/nano integration	15	0	54	3	2	15	59	74
2.4.3 Security	15	1	84	5	4	16	93	109
2.4.4 Broadband for all	6	4	66	0	14	10	80	90
2.4.5 Mobile and wireless	14	4	71	0	10	18	81	99
2.4.6 Networked AV systems	11	2	54	0	8	13	62	75
2.4.7 Semantics	21	5	120	0	6	26	126	152
2.4.8 Cognitive	19	1	62	3	0	20	65	85
2.4.9 eGovernment	12	1	72	5	14	13	91	104
2.4.10 eLearning	24	1	91	2	0	25	93	118
2.4.11 eHealth	25	0	109	5	9	25	123	148
2.4.12 eSafety	5	0	46	0	14	5	60	65
2.4.13 Enlarged Europe	0	0	141	0	1	0	142	142
2.3.4 FET Proactive	40	2	0	0	0	42	0	42
Out of scope of call	0	0	0	0	2	0	2	2
Total	219	21	1008	24	87			1359



Breakdown per activity

FP6 Call 4 - Breakdown per Activity					
Activity type	Participations	Coordinators	SME participations	SME Coordinators	
HES	4359	378	65	5	
IND	4335	430	2142	148	
OTH	2248	170	950	80	
REC	2865	377	440	63	
Sum:	13807	1355	3597	296	
			26,05%	21,85%	



TIMETABLE IST Call 4 -2005

- 6-10 June: INFSO units preparation of funding scenarios
- 13-24 June: Preparation of Draft Implementation Plan (DIP) by DG INFSO
- 27 June: Transmission of DIP to ISTC, RIG.
- (28 June: Invitations to retained proposers for negotiation)
- 27 June- 8 July: Interservice consultation on DIP
- 12 July: ISTC Meeting: Comments on DIP and budget distribution for the call.
- 13 July: Bilaterals on individual proposals
- 15-16 July: Finalisation of Implementation Plan
- (19 July: Invitations to retained proposers for negotiation)





European Commission



Information Society

IST FP6 Budget Overview

Budget Consumption WP2003-04

Budget Allocation WP2005-06

ISTC 9 March 2005

IST Budget Execution

– Consumption Calls WP2003-2004 –

		Total	
	status	# prop	Funding (€)
Call 1	contracted	229	1.073.447.504
Call 2	contracted	150	524.602.958
Call 3	partly contracted	48	29.905.000
FET Open	partly contracted	41	60.000.000
FET Proactive	under negotiation Q1/2 2005	11	79.816.000
1 st Joint NMP Call	contracted	8	26.500.000
2 nd Joint NMP Call	under negotiation Q1/2 2005	35	91.500.000
Total		522	1.885.771.462

IST WP 2003-04: Budget consumption per year

	Total	2003 in M€	2004 in M€	2005 in M€ (call 3 only)
IST Call1	1073.0 M€*	811	262	-
IST Call2	525.0 M€	-	525	-
FET OPEN	60.0 M€	3	57	-
NMP Joint Call 1	26.5 M€*	-	26.5	-
Call3 - IST	30.0 M€	-	-	30.0
Call3 - NMP	91.5 M€	-	-	91.5
Call3 - FET Proactive	80.0 M€	-	-	80
Total	1886 M€	814	871.5	201.5

* incl. funding from 2004 budget (calls in 2003) for Swiss partners

IST FP6 Budget Overview – Status March 2005

Council Decision IST (EUR25)	3984	M€
Plus EFTA & 3 rd Country credits (estimated) *	+ 290	M€
Sub-total	4274	M€
Less staff & admin	- 290	M€
Less 'other expenditures'	- 110	M€
Expected FP6 TOTAL (WP calls)	3874	M€
* Uncertainty in estimates: min. 220 M€, max. 290 M€ 'contributions' during FP6 expected – includes a carry over from 2002 to 2003		

Other Expenditures IST FP6 2003-04 Consumption & 2005-06 Planning

	2003-2004 consumption	2005-2006 estimate *
Evaluations, reviews, etc.	23.2 M€	30.5 M€
Studies, IST conferences, publications, etc.	11.5 M€	28.4 M€
Other (HSFP, ACC-SSA, IST Results etc.)**	8.0 M€	8.0 M€
Sub-Totals	42.7 M€	66.9 M€
Estimated Total FP6:	109.6 M€	

* Uncertainty in estimate - no experience with FP6 reviews yet

** HSFP: Human Science Frontiers Programme
ACC-SSA: Special support actions for ACC countries, etc.

IST WP 2005-06: Budget allocation

	Total in M€		2005 in M€	2006 in M€
IST Call4	1.120		875	245
IST Call5	638		-	638
FET OPEN	60		30	30
Sub-TOTAL	1818		905	913
Not yet allocated	170		-	170
TOTAL	1988		905	1083

IST WP 2005-2006 – Budget availability

Expected Total (FP6 WP Calls)	3874 M€
➤ Less Consumption Calls WP 2003-04 – Calls 1,2,3, FET, NMP	- 1886 M€
Available expected Total WP2005-06 calls	1988 M€
➤ Less Allocation Calls WP2005-06 – Calls 4,5, FET, NMP	- 1818 M€
Not yet allocated 2006 budget	170 M€

IST Intervention Budget and calls in FP6

Budget: 814 M€		Budget: 872 M€		Budget: 1106 M€		Budget: 1083 M€	
2003		2004		2005		2006	
IST Call 1	IST Call 2	IST Call 3	IST Call 4	IST Call 5			
	Budget 2003	Budget 2004	Budget 2004	Budget 2005	Budget 2005	Budget 2006	Budget 2006
	811 M€	263 M€	525 M€	29.9 M€	875 M€	245 M€	638 M€
	3 M€	57 M€ 27 M€		80 M€ 91.5 M€	30 M€	30 M€	max. 170 M€
FET OPEN C NMP 1		FET PI NMP 2		FET OPEN C		Not yet allocated	
2003		2004		2005		2006	

IST Call 5 (Call-ID: FP6-2005-IST-5)
Dauer: 17. Mai 2005 bis 21. September 2005 (17:00 Uhr)
Budget: 628 Mio. €

Strategic Objectives 2005-06	Instruments	new/old	Budget
2.5.1 Photonic components	IPs, STREPs, CAs, SSAs	65/35	47
2.5.2 Micro/nano based sub-systems	IPs, STREPs, CAs, SSAs	70/30	58
2.5.3 Embedded Systems	all	60/40	68
2.5.4 Advanced Grid Technologies, Systems and Services	IPs, STREPs, SSAs, CAs	70/30	62
2.5.5 Software and Services	all	60/40	67
2.5.6 Research networking testbeds	all	65/35	18
2.5.7 Multimodal Interfaces	IPs, STREPs	60/40	54
2.5.8 ICT for Networked Businesses	all	55/45	46
2.5.9 Collaborative Working Environments	IPs, STREPs, SSAs, CAs	70/30	40
2.5.10 Access to and preservation of cultural and scientific resources	IPs, STREPs, CAs	40/60	36
2.5.11 eInclusion	IPs, STREPs, CAs, SSAs	50/50	29
2.5.12 ICT for Environmental Risk Management	IPs, STREPs, CAs, SSAs	60/40	40
FET Proactive Initiative			9

7th Framework Programme (FP7)

Strategic Objectives of FP7 (Lisbon Agenda):

- Knowledge for Growth
- Increasing of EU Research Funding
- Triangle of Knowledge – Research, Education and Innovation
- Simplified Framework Programme (FP7)

Four Basic Components of European Research

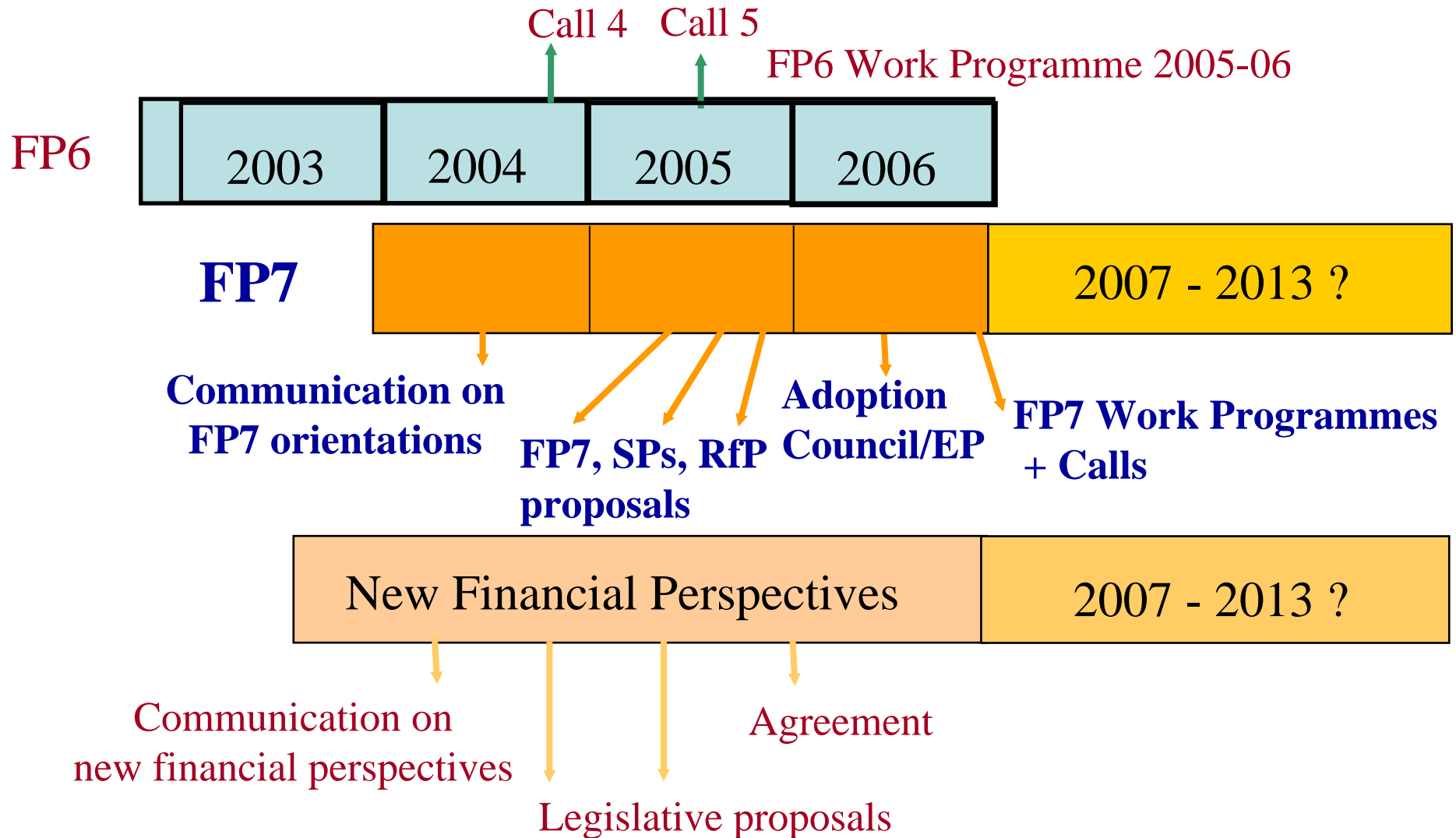
1. Collaborative Research
2. Basic Research – ERC: European Research Council
3. Human Potential
4. Research Capacity – Infrastructures, SME and INCO

FP7 Overview

Collaborative Research (10 high level themes)

1. Health
2. Food, Agriculture and Biotechnology
3. Information and Communication Technologies (IST-FP7)
4. Nanoscience (**new**), Nanotechnologies, Materials and New Production Technologies
5. Energy
6. Environment and Climate Change
7. Transport
8. Socio-economic Science and the Humanities
9. Space (**new**) and Security Research (**new**)

Time Schedule



IST-FP7: Main Themes and Activities

ICT Technology Pillars

pushing the limits of performance, usability, dependability, cost-efficiency

Integration of Technologies

integrating multi-technology sets that underlie new functionalities, services and applications

Applications Research

providing the knowledge and the means to develop a wide range of ICT-based services and applications

Future and Emerging Technologies

ICT Technology Pillars

- Nano-electronics, photonics and integrated micro/nano-systems
- Ubiquitous and unlimited capacity communication networks
- Embedded systems, computing and control
- Software, Grids, security and dependability
- Knowledge, cognitive and learning systems
- Simulation, visualisation, interaction and mixed realities
- New perspectives emerging in ICT drawing on other science and technology disciplines

Integration of Technologies

- **Personal environments**
 - personal communication and computing devices, accessories, wearables, implants; their interfaces and interconnections to services and resources
- **Home environments**
 - communication, monitoring, control, assistance; seamless interoperability and use of all devices; interactive digital content and services
- **Robotic systems**
 - advanced autonomous systems; cognition, control, action skills, natural interaction; miniaturisation
- **Intelligent infrastructures**
 - tools making infrastructures that are critical to everyday life more efficient, easier to adapt and maintain, more robust to usage and resistant to failures

Applications Research

- **ICT meeting societal challenges**
 - for health; to improve inclusion; for mobility; in support of the environment; for governments
- **ICT for content, creativity and personal development**
 - new media and content; technology-enhanced learning; digital cultural assets
- **ICT supporting businesses and industry**
 - business processes; collaborative work; manufacturing
- **ICT for trust and confidence**
 - identity, authentication, authorization, privacy, rights

ICT RTD, FP7 Components and Instruments

Collaborative Projects

To remain the bulk and the core activity using IP/STREP, NoE, CA/SSA

Joint Technology Initiatives (new)

Nanoelectronics, embedded systems, mobile communications, ...

Coordination (neu)

Ambient assisted living, embedded systems, ... **Collaborative Research**

Fundamental Research through individual grants

ERC including ICT-related priorities **Basic Research**

Development of Human Resources

Part to be defined top-down? **Human Potential**

Research Infrastructures

Nanoelectronics clean rooms, ...
GÉANT, Grids, Supercomputing, ...

SME measures, regional clusters, etc **Research Capacity**

ERA Vision for more Private-Public Partnerships in FP7

Implemented through “European Technology Platforms (ETPs)”

- bring together the main stakeholders in a research and development field
- develop a **strategic research agenda (SRA)** and a roadmap to achieve these goals
- stakeholders include industry, academia and the investors in research (public or private)
- operating at a **strategic level**
not directly related to any specific programme

Issues to clarify :

- Criteria for selecting ETPs
- Legal and financial mechanisms that can be used to support an ETP
- Constituency to be involved and openness of an ETP
- How to launch an ETP
- How many ETPs can we realistically support

ETP “For the Research Actors, by the Research Actors”

Europe's R&D is fragmented



Strategic Priorities within IST/FP6

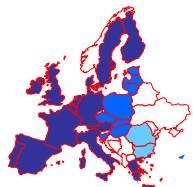
- 3.5 B€

ICT cluster projects within EUREKA

- ITEA (1999-2007): software-intensive systems;
3.2 B€ costs
- MEDEA+ (2001-2008): systems on silicon;
4.4 B€ costs

National/regional programs

- NL: PROGRESS, ESI
- DE: IT 2006



Council EU and EUREKA Ministers call for closer cooperation and more synergy between FP and EUREKA

– Instrumental role for ETPs, JTI, Art. 169 and/or Art. 171

Platform as “integrator” of R&D

- Eureka, national & regional programs
 - MEDEA+, ITEA, PIDEA and Eurimus in particular
 - ERA implementation through the Platform
- Possible mechanisms
 - Improve and formalize information exchange
 - Joint road mapping activities
 - Funding from multiple sources
 - Co-ordination of calls?
 - (Partial) integration within a joint structure

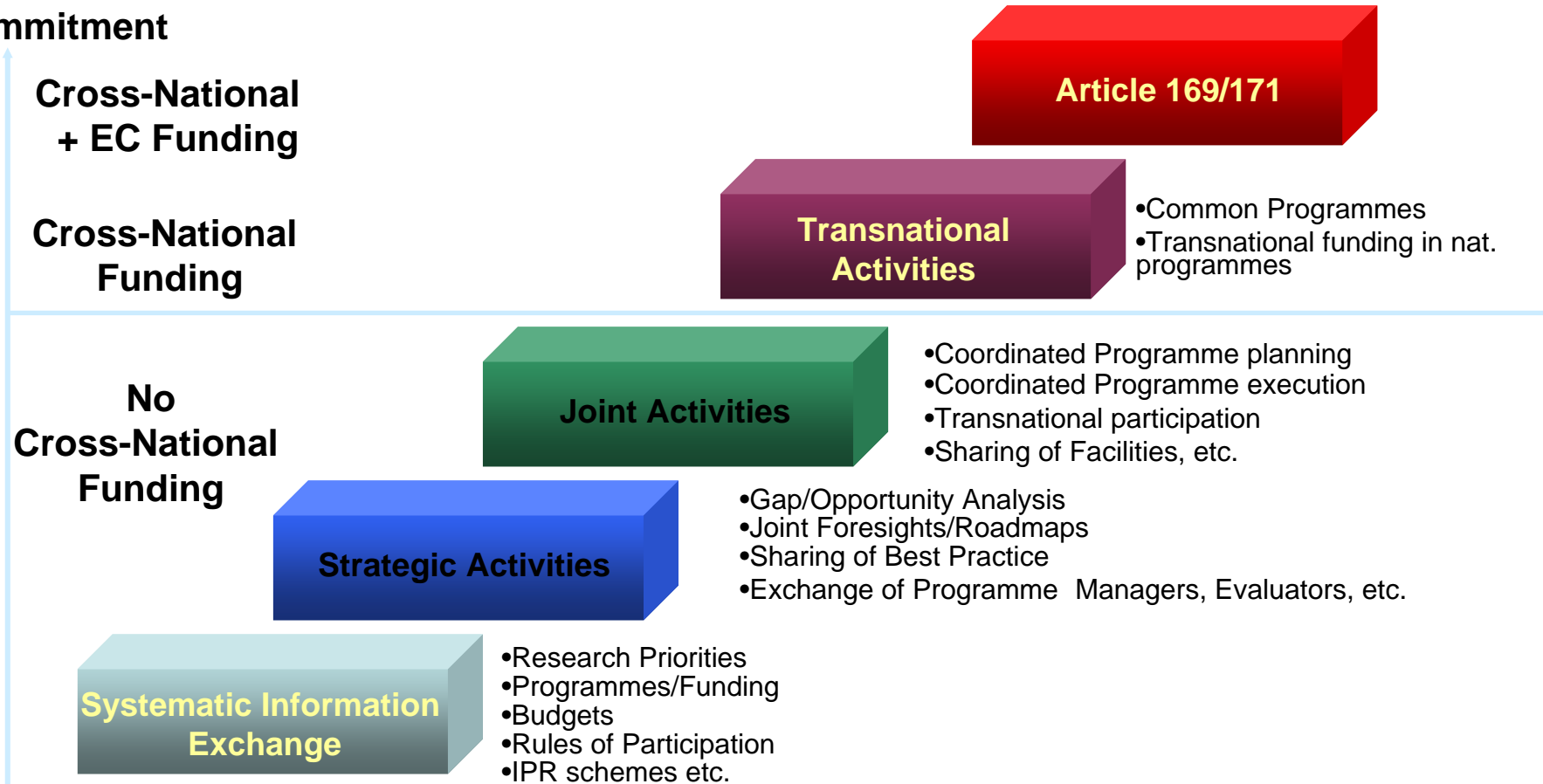


Art. 169 / 171

Possible Levels of ERA Coordination

- Joint EC/National Initiatives
- Joint EC/National Undertakings with Industry

Level of Commitment



- European + National Programmes
- Variable Geometry



Scenaria ranging from coordination to integration

1. Baseline: coordination of existing programs
2. Enhanced coordination with EC premium
 - ERA-NET (FP6, FP7?): EC contribution to coordination costs
 - ERA-NET+ (FP7?): EC contribution to coordination and research costs in joint Calls of MS (e.g. through ITEA/MEDEA+?)
 - Art. 169: EC participation in integrated programs of several MS (e.g. ITEA/MEDEA+?)
3. Bonus Model (DG INFSO)
4. JTI / Art. 171 (DG R&D Model)
 - Joint undertaking, pooling all public and private funding in common pot
 - One program, replacing IST, ITEA/MEDEA+, national/regional activities
 - Handling, selecting, labeling, monitoring, reviewing projects
 - Only attractive if “lean”, simple and efficient
 - Only very few ETPs will qualify

Toolbox of funding schemes – Art. 169

- **Art. 169 EU Treaty:** “In implementing the multi-annual framework programme the Community may make provision, in agreement with the Member States concerned, for participation in research and development programmes **undertaken by several Member states**, including participation in the structures created for the execution of those programmes”
- **Co-decision** of European Parliament and Council
- Only one example: **Clinical Trials Poverty-Related Diseases**
- Rules, Structure? (**New Legal Interpretation!**)

Toolbox of funding schemes – Art. 171

- **Art. 171 EU Treaty:** “The Community may set up **joint undertakings** or any other structure necessary for the efficient execution of Community research, technological development and demonstration programs”
- **Council decision** (QMV) in consultation with European Parliament
- Only one example: **Galileo**
- In FP7 for **Joint Technology Initiatives** (JTI) as public-private partnerships
- Rules, Structure?

Technology Platform: Funding Options

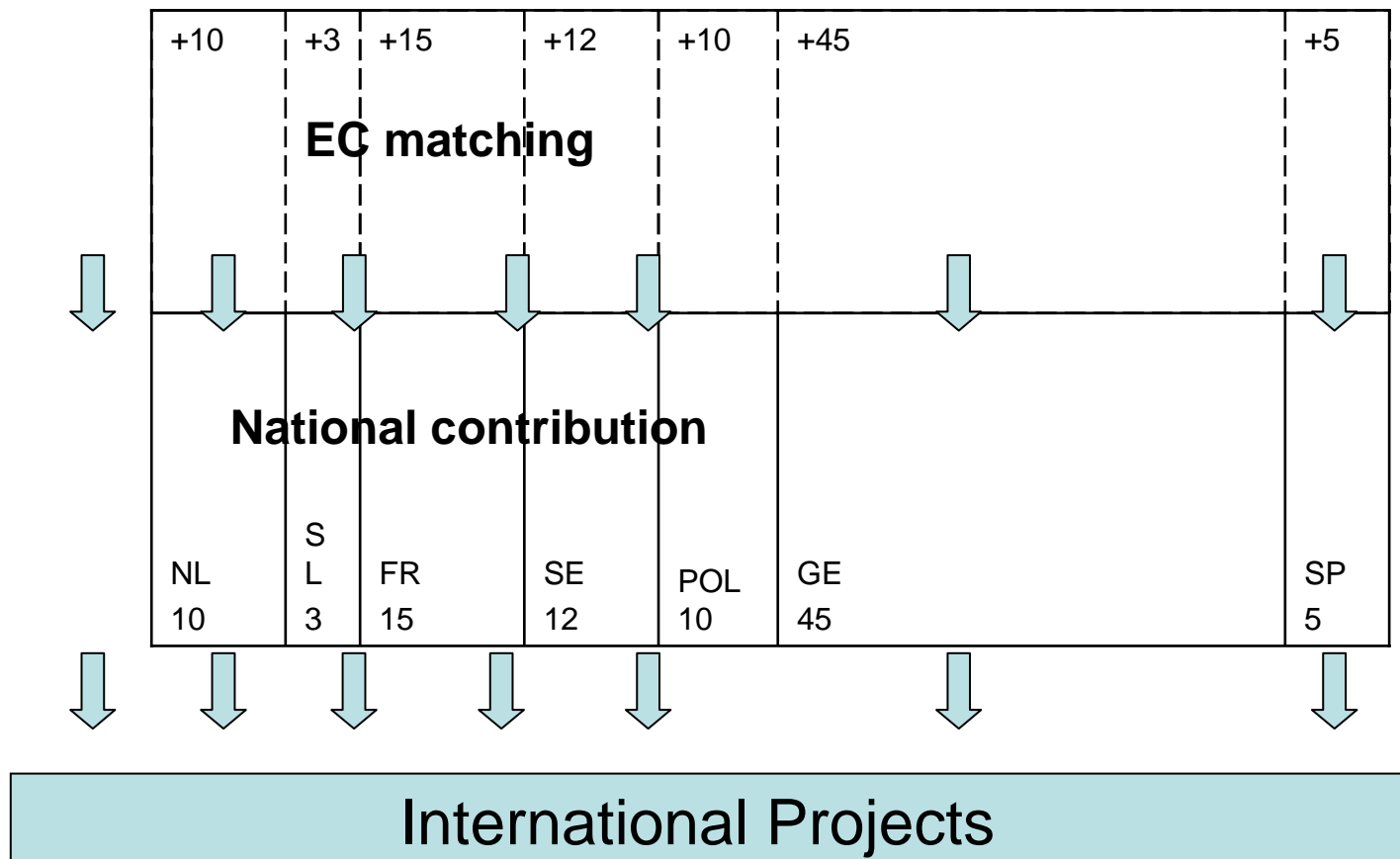
Mechanism:

- 171 JTI for common pot of EC + MS
- 171 JTI for coordinated funding
- 171 JTI with E! outside common structure
- EC top-up via 169
- **EC top-up via 171**
- EC top-up via ERA-NET+
- EC bridging fund for harmonization/synchronization of E! funding
- 171 JTI for implementation of part of SRA
- Full merger of E! (ITEA/MEDEA+) into TecPlatform (ARTEMIS/ENIAC) under 171

Structure Element:

- EEIG of firms
- EEIG or Joint Undertaking of MS or national programs/agencies

EC top-up for EUREKA ICT cluster projects



Bonus System

- **Beteiligte Staaten: Reservieren Gelder (earmarking)**
- **Beteiligte Firmen: Reservieren Gelder (earmarking)**
- **EU-Kommission: Gibt x % zur jeweiligen Bewilligung, analog zur nationalen Förderung**

Prinzip: Geld nur virtuell in einen gemeinsamen Topf.

Jedes MS finanziert seine eigenen Projekte.

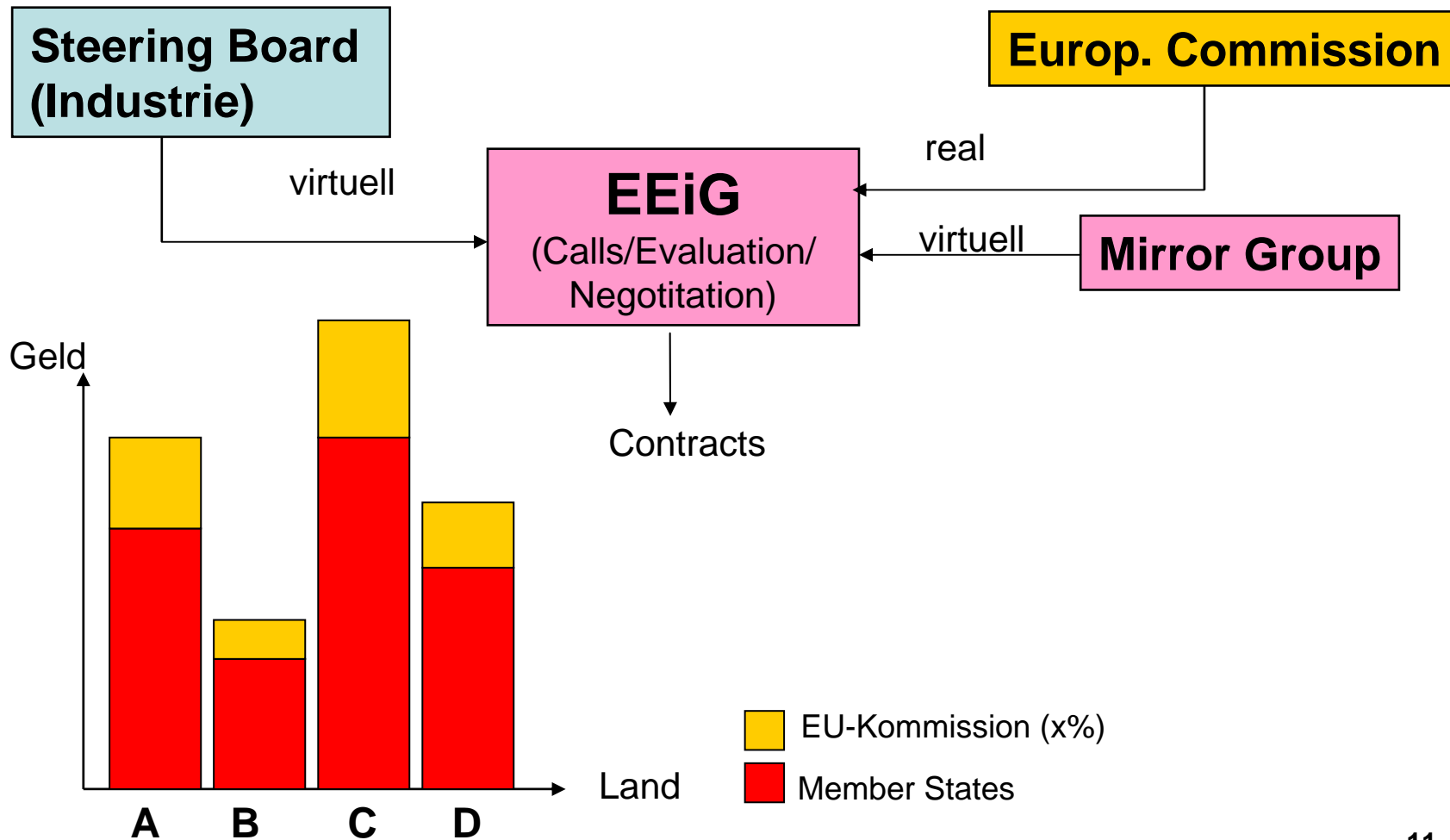
Evaluierungsprozess und Bewilligung durch EEIG und Office.

Vorteil: Für jeden € der national eingesetzt wird, gibt die EU-Kommission x % an zusätzlichen Mittel.

Problem: Beteiligung der MS und der EC

Konditionen: Earmarking, Angleichung Prozeduren, Gleichzeitiger Start

Technologieplattform: Bonus System/Struktur



Vorteile:

- **E! Prinzip und Struktur bleiben erhalten (Bottom Up, Industrieführung, Zusammenarbeit der Starken)**
- **Mitwirkung bei SRA ist gesichert**
- **Nationales Geld verbleibt im eigenen Land**
- **Rückflussquote: Automatismus und x % Hoch**
- **Bevorzugt große Staaten mit viel Geld**

Nachteile:

- **Eingeschränkte Mitsprachemöglichkeit bei Bewilligung**
- **Geld wird für Technologie Plattform reserviert,**
- **Haushaltsflexibilität des MS wird reduziert**
- **Autonomie BMBF wird eingeschränkt**
- **E! Organisation wird geschwächt**

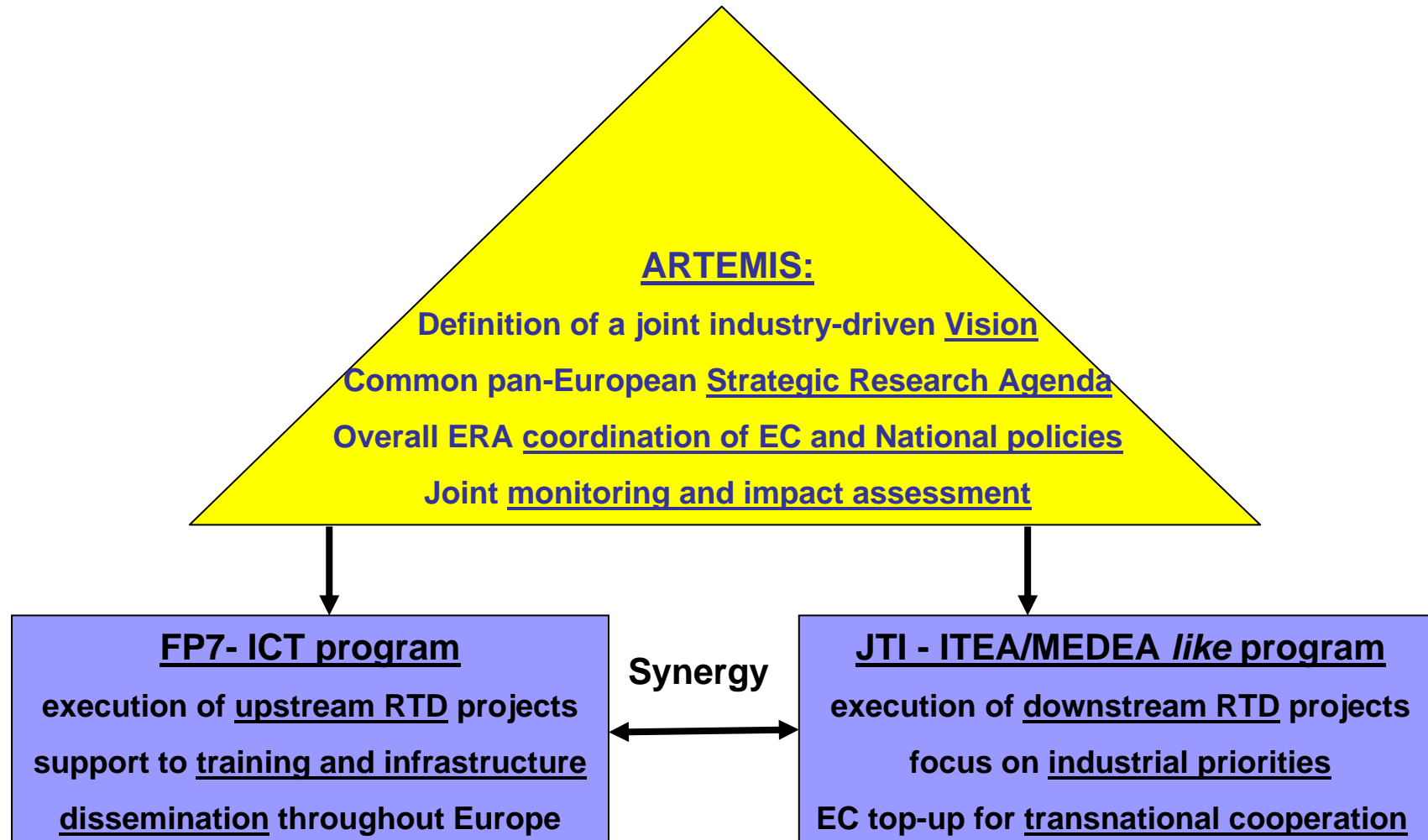
Risiken:

1. Technologie Plattformen kommen nicht:

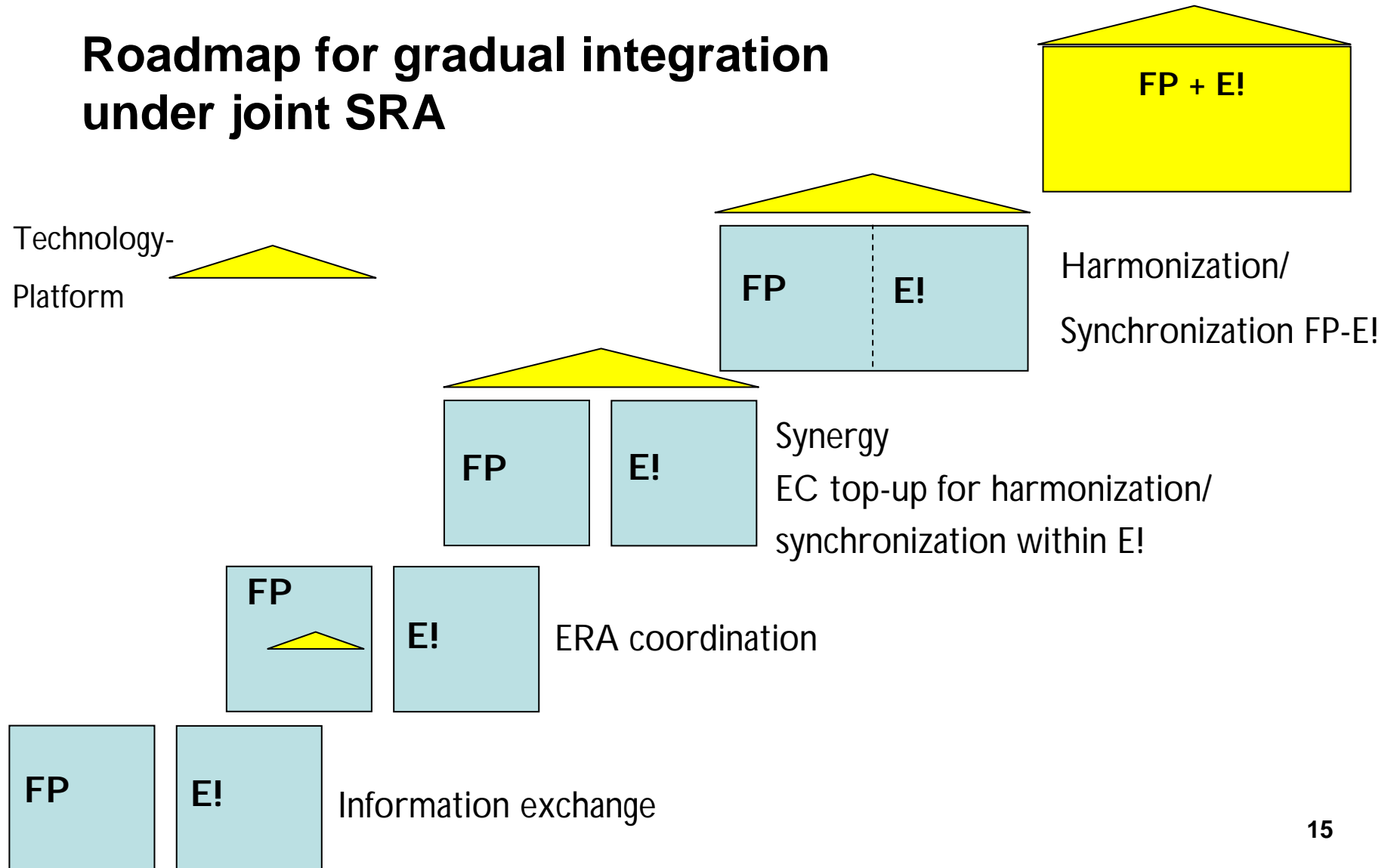
- Kein zusätzliches Geld
- Parlament oder Rat (Problem: kleine Staaten)
- Keine Einigung MS/EC (SRA, Prozeduren, EEiG, Haftungsfragen,...)
- Finanzminister

2. Bonus System funktioniert nicht

3. Industrie steigt aus



Roadmap for gradual integration under joint SRA



FP7

Commission staff working document Simplification in the 7th Framework Programme

[SEC(2005) 431final) of 6 April 2005]

FP7 Simplification principles

Continuation of the simplification measures introduced in FP6: Autonomy and management responsibility to consortia

- ❖ Flexibility – necessary tools to implement FP7 (move from instruments to funding schemes)
- ❖ Rationalisation – better balance between risks and controls, avoid unnecessary rules and requests
- ❖ Coherence – clarify rights and obligations – use participants own rules as much as possible

FP7 Simplifications 10 measures

1. Simple set of flexible funding schemes
 - Work programmes or calls specify types of funding schemes, categories of participants, types of activities
2. Consistent, high quality communication
 - Better texts written by professionals, avoid duplication of information
 - Establish single entry point for information by the Commission
3. Rationalisation of requests for information from participants
 - Centralised electronic registration of participants legal and financial data submitted only once and reused
 - Eliminate contract preparation forms, rationalise reports

FP7 Simplification 10 points

4. Reduce a-priori controls to a bare minimum

- During evaluation operational capacity of participants is checked
- Financial viability checked according to published list of criteria
- More flexible approach to financial guarantees

5. Full operational autonomy to consortia

- Flexibility in implementation
- Streamlining of reporting and audit certificate requirements
- Definition of eligible costs to take account of participants management practises
- Commission help desk for consortium agreements

6. Streamlining of selection process

- Information on selection to committee and other services

FP7 Simplification 10 points

7. Effective use of research budget
 - Staged commitments or decommitments
8. Extended use of flat rates – lump sums
 - Lump sums – NoEs, some CAs and SSAs
 - Grant for budget – Collaborative research – flat rates for overheads
9. Remove complex cost reporting models, clarify definition of eligible costs
10. Simplified support rates per type of activities
 - Support rates linked only to type of activities (research, demonstration, management etc)
 - Non profit public organisations: EC contribution cover all eligible costs
 - Profit making bodies: ceilings for EC contribution to be revised
 - Aim: Equal or greater EC contribution in FP7