

**Acceding and Candidate Countries and the
6th Framework Programme
Bucharest, February 12-13, 2004**

**An analysis of Acceding and
Candidate Countries' participation in
the 6th Framework Programme**

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FP5: setting the stage for integration

- participation increased continuously
- success rate improved
- Centres of Excellence selected
- successful accompanying measures
- administrators, NCPs integrated
- final balance of FP5 is positive
- **FP5: a substantial step towards integration**

FP6 and ERA: Challenges and opportunities

A new political context for RTD in Europe:

- increasing EU and national RTD funding
- creating new structures for S&T excellence
- integrating critical mass from MS & CC & AS
- involving SMEs in EU RTD activities
- strengthening the innovation capacities
- mobilising the S&T workforce
- **contributing to Lisbon & Barcelona objectives!**

The Lisbon Strategy ...

“ ... The Sixth Framework programme should therefore make full use of the new instruments, among others, for promoting a network of excellence, integrated projects and the joint implementation of national programmes within its focused set of priorities, **taking into account the need to reinforce cohesion and small and medium sized enterprises.”**

GR Presidency Conclusions on the Lisbon strategy: Lissabon to Thessaloniki (June 2003)

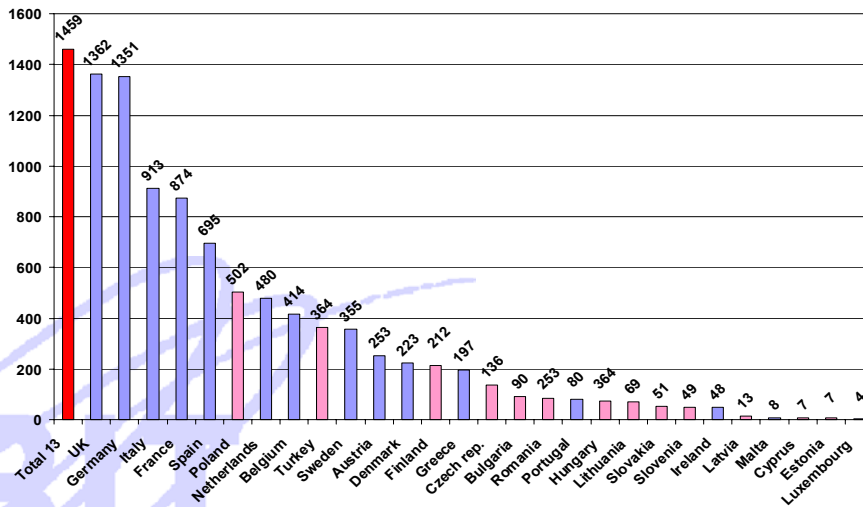
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From FP5 to FP6 and ERA: Implementing a new approach ...

- Coping with a break with the past**
- re-training the RTD community**
- making optimal use of the new instruments**
- coordinating national RTD programmes**
- stimulating mobility of researchers**
- intensifying the science-society dialogue**
- strengthening the participation of women**
- opening up to the whole world**

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High interest and high expectations: Results from the 2002 EoI-Exercise



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FP6: Key indicators for the first round

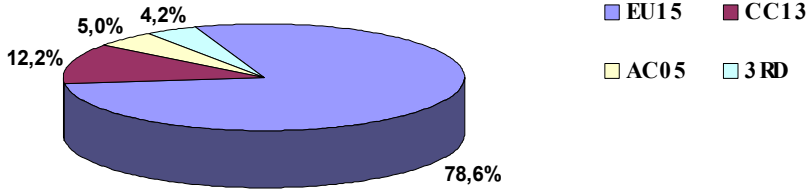
AC&CC in FP6:

- ~8 % share of participations in projects
- poor results in new instruments
- practically no coordinators
- generally very low success rates
- in some priorities very little/no participation
- very low SME participation
- financial return in most cases far too low
- ...
- **FP6: an instrument for integration?**

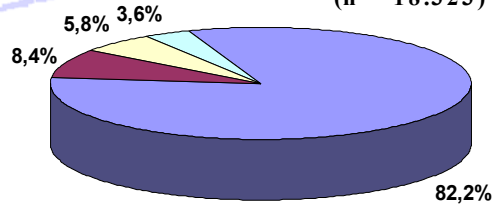
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FP6: A balanced participation?

Participations in submitted Proposals
(n = 97.096)



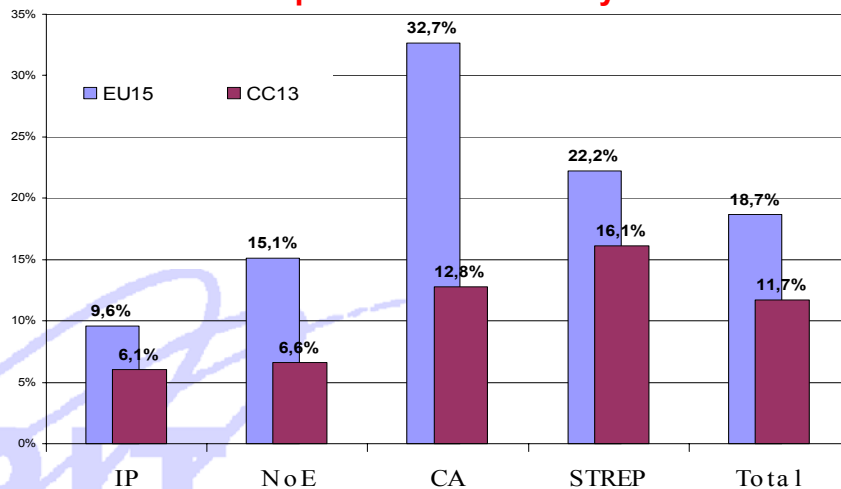
Participations proposals retained for funding
(n = 18.323)



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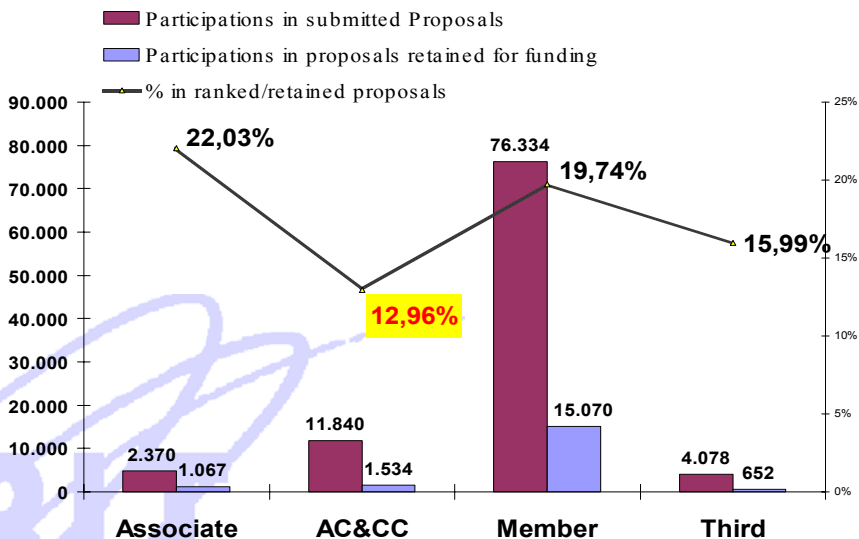
Success rates by Instrument

Example data from Priority 7



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FP6: Unbalanced success



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Some first thoughts on participation in FP6 ...

→ FP6: a real “break with the past” ...?

→ New instruments:

- ⇒ IPs and NoE:
old boys & big shots / newcomers & nobodies
- ⇒ Who can afford the huge preparation costs?
- ⇒ Is the money well spent?
- ⇒ NoE not well understood
- ⇒ Is there a balanced participation by the different actor groups: IND & SME, UNI, ROR, OTH?
- ⇒ A one page Evaluation Summary Report is not sufficient

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FP6: the instrument for creating ERA

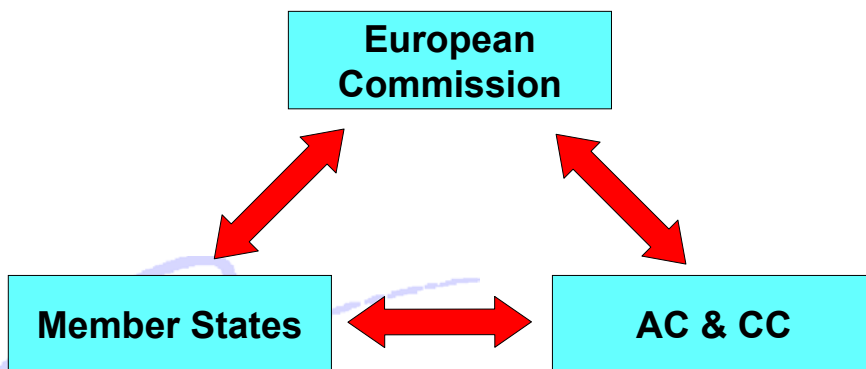
→ Appropriate instruments have to be applied that

- ⇒ support the development of excellence and the integration of capacities
- ⇒ offer realistic opportunities for participation and integration of the best teams from the MS, CC, AC
- ⇒ ensure the formation of critical mass at the level of individual projects and of the European innovation system as a whole

→ FP6 has to contribute to the goals of the **enlargement process** in the context of the **Lisbon** and **Barcelona** strategies and the ERA concept

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FP6, ERA and enlargement: A call for action for all parties!



Developing a common European vision for 2010!

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A need for strategic intelligence

- ERA is an agreed objective**
- develop FP towards learning organisation**
 - ⇒ ensure possibility of piecemeal improvement
- A need for in-depth analysis of results**
 - ⇒ consider more than “success rate”, avoid simplistic view
 - ⇒ analyse more complex reasons for failures for every Call
 - ⇒ reflect weaknesses of participants vs weaknesses of FP6
- activate strategy & operational networks**
 - ⇒ programme delegates, national research managers
 - ⇒ National Contact Points (NCPs)
- integration, cooperation and learning at all levels**
- implement a Rolling Action Plan for enlargement**

Action Plan 1

Specific Support Actions for AC&CCs

- Information and awareness**
- Training**
- Stimulation of CCs/MS cooperation**
 - ⇒ Partner search
 - ⇒ Mobility of researchers
 - ⇒ Centres of excellence and NCP networks
- Measures in support of SMEs**
- Evaluation of research systems**
- Very important, but more is needed ...!**

Action Plan 2

Utilise opportunities in FP6

General Aspects: Evaluation and negotiations

- **Re-introduce anonymity**
- **better feedback to proposers - ESR**
 - ⇒ include all comments and summary, see NEST
 - ⇒ give good and weak points explicitly
- **European dimension and support of EU policies: stress “enlargement”**
 - ⇒ strive for geographical balance, e.g. in 2nd stage
 - ⇒ but avoid “alibi” AC&CC partners
- **involve more evaluators from AC&CC**
- **avoid “kick out” of AC&CC partners during contract negotiations**

Action Plan 2

Utilise opportunities in FP6

1. Focussing and Integrating Community Research (1)

- **Integrating AC&CC into IPs and NoE**
 - ⇒ specific Calls for AC&CC partners
 - ⇒ involve NCPs and national delegates
- **adapt balance of new instruments / STREPs**
 - ⇒ utilise “stairways to excellence” for AC&CCs
- **Coordination Actions to link MS / AC&CC**
 - ⇒ thematic networks: CoEs, MS organisations, NoEs
 - ⇒ create bilateral “excellence teams”
 - ⇒ linking CoEs to JRC institutes

Action Plan 2

Utilise opportunities in FP6

1. Focussing and Integrating Community Research (2)

→ Specific Support Actions - enlargement budget!

- ⇒ promoting AC&CC in Member States
- ⇒ training in proposal writing, project management, IPR, dissemination and exploitation
- ⇒ NCP networks to stimulate MS / AC&CC projects
 - Coordinating NCPs, Thematic NCPs, Mobility NCPs
- ⇒ special ETIs for integrating SMEs from AC&CCs
- ⇒ support for CoE: evaluation, expert advice

→ Enlargement Policy Support

- ⇒ Mapping of Excellence, Technology Foresight

→ Special SME Calls for AC&CCs

→ NEST Road Show in AC&CCs

Action Plan 2

Utilise opportunities in FP6

1. Focussing and Integrating Community Research (3)

JRC Enlargement Actions:

→ Networking

→ developing a pan-European S/T ref. system

→ transfer of “acquis communautaire”

→ contributing to cohesiveness of AC&CC

- ⇒ partnership in research projects
- ⇒ training
- ⇒ opening up of networks
- ⇒ informal contact points & liaison officers networks

→ JRC Marie Curie Initiative

→ <http://www.jrc.cec.eu.int/enlargement>

→ for consideration: JRC institute in AC&CC

Action Plan 2

Utilise opportunities in FP6

2. Structuring the European Research Area (ERA) (1)

→ Research and Innovation

- ⇒ Regional Innovation Strategies - transfer of good practice from MS to AC&CCs - expert advice

→ Human Resources and Mobility

- ⇒ make strategic use of Marie Curie System 

→ Science and Society

- ⇒ René Descartes Prize
- ⇒ Governance, scientific advice, outreach and communication
- ⇒ women in science and research

Action Plan 2

Utilise opportunities in FP6

2. Structuring the European Research Area (ERA) (2)

Human resources and mobility:

→ Individual fellowships

- ⇒ more frequent deadlines
- ⇒ prepare EU projects involving host & home org.

→ host driven actions including reciprocity

- ⇒ stimulate MS - AC&CC mobility
- ⇒ include short term fellowships for exploratory visits
- ⇒ more PhD students and young researchers
- ⇒ conferences, joint workshops

→ offer SSA also for the mobility scheme

- ⇒ networking and co-operation of NCPs
- ⇒ development of joint platforms and initiatives

Action Plan 2

Utilise opportunities in FP6

2. Structuring the European Research Area (ERA) (3)

→ Research Infrastructures

- ⇒ European Strategy Forum on Res. Infrastructures
- ⇒ Design studies for new infrastructures with European dimension...
- ⇒ Accompanying Measures for promoting a more coordinated approach to research infrastructures
- ⇒ GEANT and GRID
- ⇒ utilise synergies with other Community instruments -- EIB, EBRD

Action Plan 2

Utilise opportunities in FP6

3. Strengthening the European Research Area (ERA)

→ ERA-Net

- ⇒ stimulate coordination and cooperation of national programmes
- ⇒ SSA for integration of AC&CC programmes
- ⇒ strengthen networking of NCPs and national delegates to horizontal configuration
- ⇒ ERA-Net road show in AC&CCs

→ Development of research/innovation policies

- ⇒ technology foresight, technology indicators
- ⇒ benchmarking, mapping of excellence
- ⇒ improving the environment for research & innovation

General flanking measures

Active measures of MS and AC&CC

- **Action plans of large MS research organisations**
 - ⇒ short term visits of MS ↔ AC&CC
- **take targeted measures to integrate AC&CC partners into project proposals**
 - ⇒ raise awareness of MS coordinators on enlargement
- **use bi-lateral programmes and cooperation agreements to stimulate joint EU RTD activities**
- **twinning activities**
 - ⇒ national delegates and NCPs
 - training, joint workshops, staff exchange
 - ⇒ research administrators and programme managers

General flanking measures

Centres of Excellence (CoE)

- **General SSA for CoEs in FP6**
 - ⇒ increase visibility in MS
 - ⇒ develop virtual CoE between MS and AC&CC
 - ⇒ support integration in FP6 proposals
- **SSA for strengthening of CoE**
 - ⇒ facilitating networking & partnering, road shows
 - ⇒ exploratory visits, staff placements
 - ⇒ twinning and networking with CoE in MS
- **Develop strategic plan for integrating CoE in FP6 and FP7**

General flanking measures

Active promotion of enlargement in RTD

→ A need for more visibility in the EU

- ⇒ web bases and data bases
- ⇒ Conference participation and fairs
- ⇒ presentations in EC and MS - road shows

→ promoting active approaches of MS

- ⇒ motivate the MS to plan targeted initiatives for integrating AC&CC partners
- ⇒ road shows of MS NCPs in AC&CCc, e.g. for stimulating Marie Curie actions

General flanking measures

Create a supportive environment in AC&CC (1)

→ improve science-industry cooperation

- ⇒ learn from best practice - integrated approaches
- ⇒ create national and regional critical mass
- ⇒ stimulate cooperation with MS joint ventures and branches of companies

→ transforming the RTD sector

- ⇒ ERA and FP6 in institutional missions & strategies
- ⇒ utilise expert support in re-organisation
- ⇒ use other Community instruments for infrastructure
- ⇒ tap into experience from Eastern Germany

General flanking measures

Create a supportive environment in AC&CC (2)

→ Cooperation of national delegates and NCPs

- ⇒ develop inter-regional strategies, e.g. TRICO
- ⇒ use other instruments: e.g. INTERREG
- ⇒ explore possibilities for Technology Platforms

→ National Contact Points

- ⇒ evaluate performance and improve services
- ⇒ activate NCP networks for joint actions
- ⇒ organise user oriented practical training

→ National detached experts

- ⇒ get in-depth experience on EU programme mgmt
- ⇒ improve information on AC&CCs in Europ Comm

General flanking measures

Targeted enlargement measures

→ Integrate AC&CC representatives at all levels

→ raise involvement of AC&CC experts

- ⇒ updating the Work Programmes
- ⇒ monitoring and evaluation panels

→ learn from **MID-TERM EVALUATION**

http://www.cordis.lu/fp6/instruments_review/

- ⇒ First draft report due on 18 February!

→ establish **ENLARGEMENT MONITORING PANEL**

→ based on analysis of financial return:

- ⇒ consider flat rate rebate for AC&CC till 2006

→ **FP7: consider enlargement from the start!**

Summary

- Bucharest: a new stimulus for enlargement!
- Refine FP6 based on first experiences
- start targeted activities of MS and AC&CCs - develop a co-operative spirit for ERA
- support continuous learning processes
- start preparations of FP7 in time
- use synergies with other Community instruments

**EU RTD was the first area of real enlargement -
Fp6 has to become a success!**

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I thank you for your attention!

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**BIT is an initiative of the Austrian government and the
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