

IGLO Training WG, 8 June 2009



The 7th Research Framework Programme and its instruments

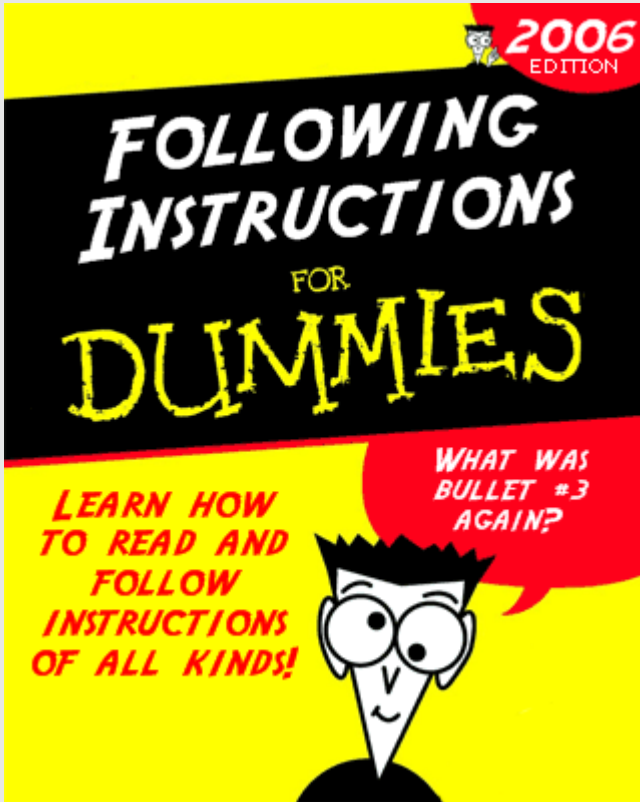
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FP7 for dummies...



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Overview

- **FP7 Basics**
- **FP7 Structure**
- **FP7 Budget**
- **FP7 Instruments**
- **FP7 Rules**
- **FP7 Implementation**
- + **Questions and (hopefully) answers**

FP7 Basics

What?

FP7 is the European Union's (EU) **main research funding instrument**. It runs from **2007 to 2013** and has a total **budget of about €53 billion**.

Why?

Objective of FP7: increase the **competitiveness of the European industry** - focus on pre-competitive, problem-oriented („applied“) R&D.

How?

Four main chapters with different focus: **Cooperation, Ideas (ERC), People (Marie Curie) & Capacities**.

Who?

Reseachers from **universities** & higher education institutes, public & private **research centres, industry, SMEs**, civil society organisations, individuals.

Where?

In Europe at large: EU Member States (MS) and Associated Countries (i.e. Switzerland, Norway, Turkey, Israel).

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FP7 Basics

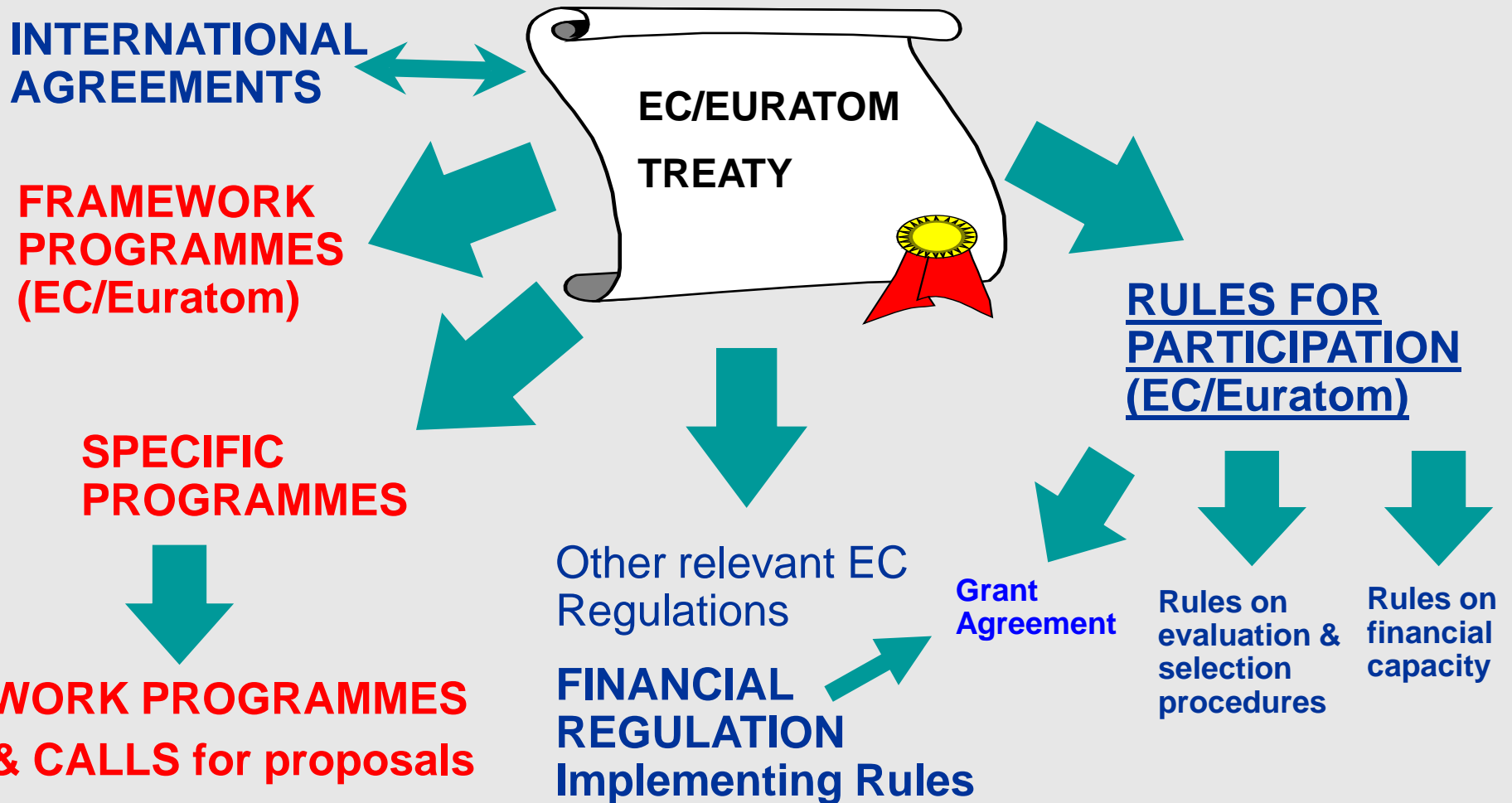
The new elements in FP7 compared to previous FPs

- 40% increase of the budget compared to FP6 (Total: €53.3 billion)
- Duration of 7 years (FP2-FP6: 4 years)
- Support for fundamental (ERC) and security research
- More user-friendly and simplified rules – really?
- Instruments: STREPs and IPs disappeared – long live large-size and small-size projects...
- Novelties: Joint Technology Initiatives, ERA-NET+

FP7 Structure



FP7 Structure



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FP7 Structure

Four main Specific Programmes:

- 1. COOPERATION:** largest budget, mainly funds trans-national collaborative research through thematically defined calls (*mainly top-down*).
10 Themes: Health, FoodAgriBiotech, ICT, NanoMatPro, Energy, Environment, Transport, SSH, Space, Security.
- 2. IDEAS (ERC):** New in FP7, funding for individual teams doing „frontier“ research (*bottom-up*).
- 3. PEOPLE (Marie Curie):** Actions for the career development and the mobility of researchers (*bottom-up*).
- 4. CAPACITIES:** to strengthen research potential; support to infrastructures, SMEs, „science in society“, regional dimension, international cooperation, research policy (*mainly top-down*).

FP7 Structure

Cooperation - 10 Themes

1. Health
2. Food, agriculture and fisheries, and biotechnology (a.k.a. KBBE)
3. Information and communication technologies (ICT)
4. Nanosciences, nanotechnologies, materials and new production technologies (NanoMatPro)
5. Energy
6. Environment (including climate change)
7. Transport (including aeronautics)
8. Socio-economic sciences and the humanities (SSH)
9. Space
10. Security

FP7 Structure

Ideas – one single institution

The „Ideas“ Specific Programme is implemented through the European Research Council (ERC)

People – five streams

The „People“ Specific Programme is implemented via five main streams:

- Initial training of researchers
- Life-long training and career development
- Industry-academia pathways and partnerships
- International dimension
- Specific actions

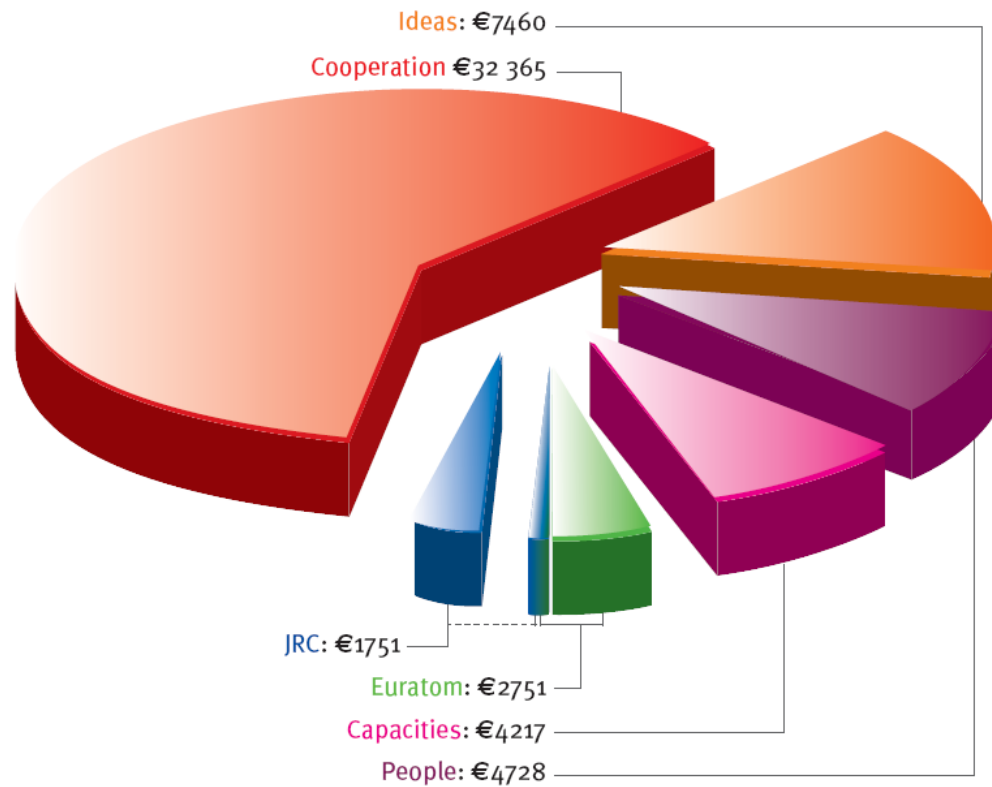
FP7 Structure

Capacities – seven chapters

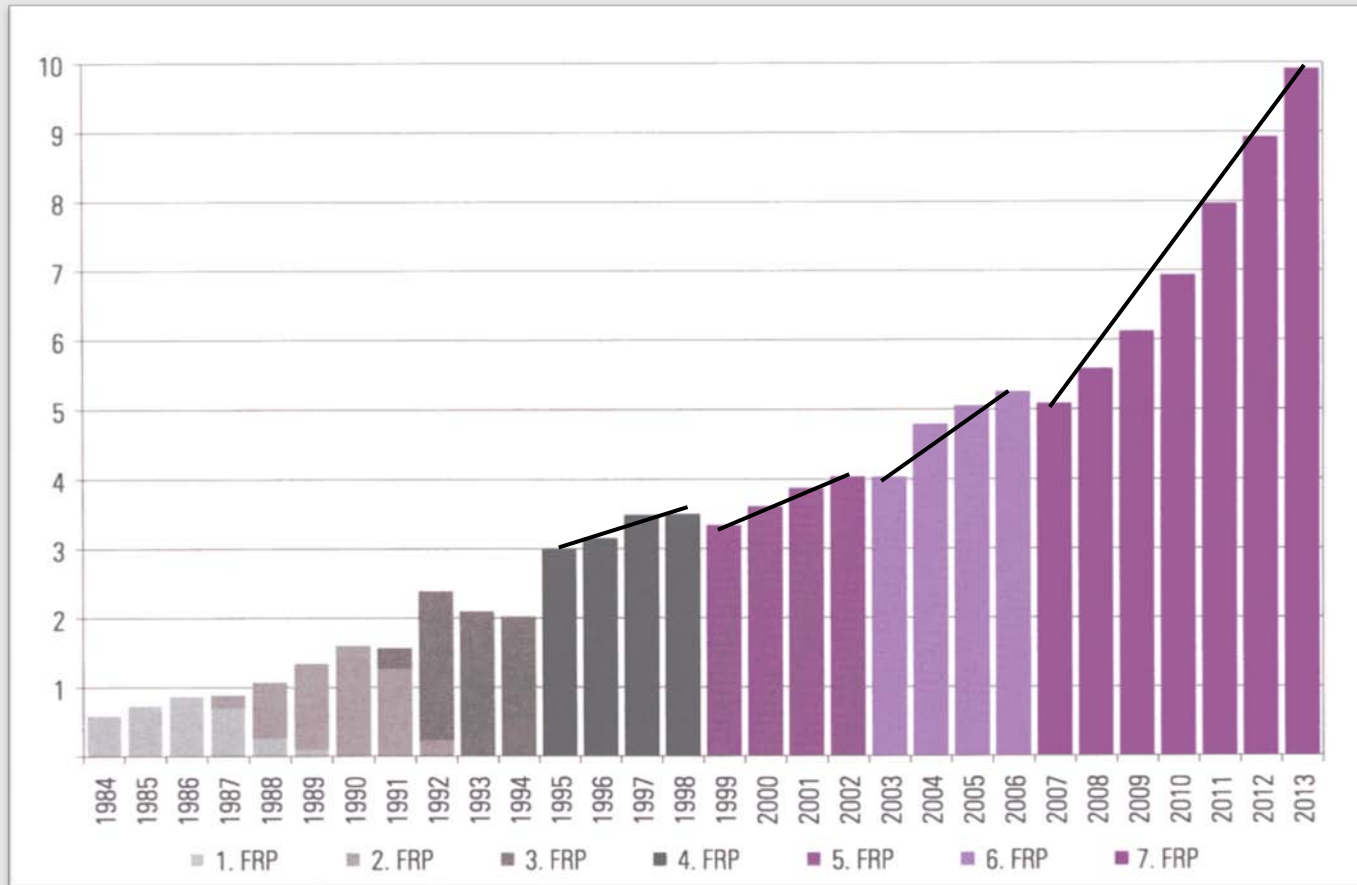
1. Research Infrastructures
2. Research for the benefit of SMEs
3. Regions of Knowledge
4. Research Potential
5. Science in Society
6. Coherent Development of Policies
7. Activities of International Cooperation

FP7 Budget

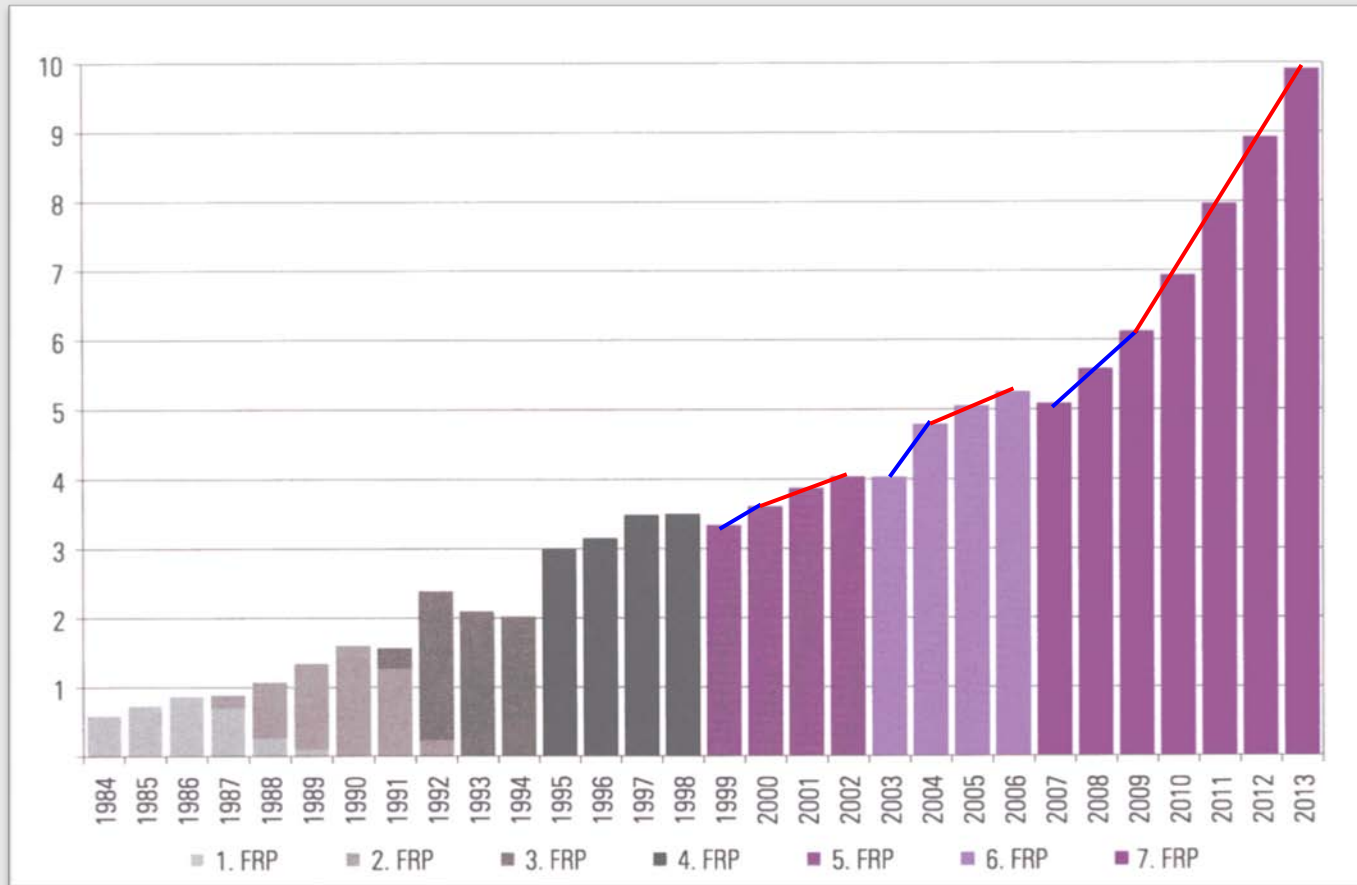
The indicative breakdown (€ million) of FP7



FP7 Budget

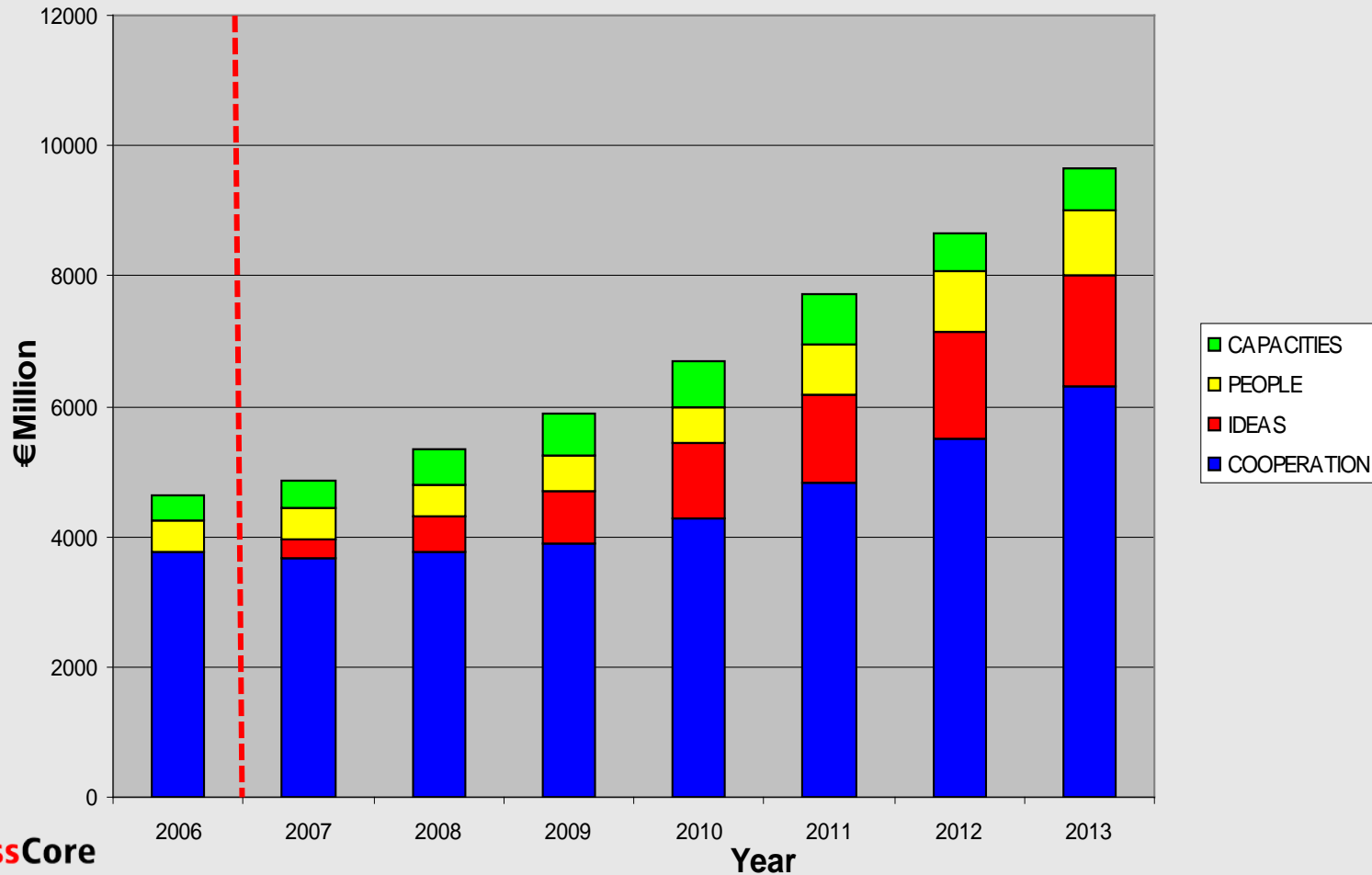


FP7 Budget



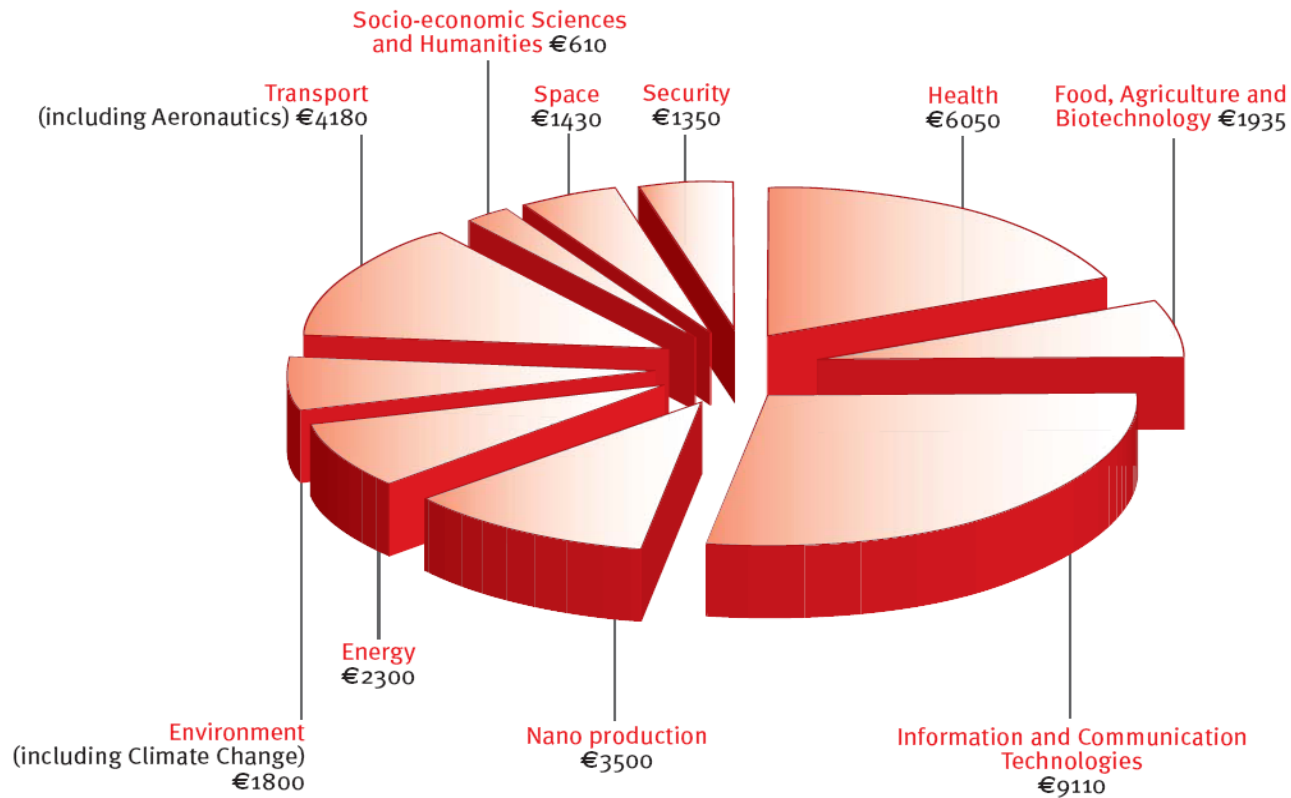
FP7 Budget

FP7 Budget Evolution



FP7 Budget

The Cooperation Programme breakdown (€ million)



FP7 Instruments

Types of projects (see FP7 Decision, Annex III)

- Collaborative Projects (CP)
- Networks of Excellence (NoE)
- Coordination and Support Actions (CSA)
- Support for Frontier Research (ERC)
- Research for the Benefit of Specific Groups (e.g. SME, SICA, CSO)
- Support for Training and Career Development of Researchers (Marie Curie)
- Combinations – e.g. CP and CSA

FP7 Instruments

Collaborative Projects (CP)

- The most typical FP7 project, usually comes in **small** and **large** sizes (Theme-dependent)
- Work to be performed in a **consortium** of at least three partners
- **Small projects**: more „academic“, exploratory research
- **Large projects**: usually industry and SME involvement required, „from idea to product“
- Size is defined by **maximum budget**
- **Coordination** of consortium can be quite a burden...

FP7 Instruments

Networks of Excellence (NoE)

- Usually large networks of academic institutions or research centres
- Joint Programme of Activities for longer-term integration
- Goal is to „integrate“ the research activities of the partners – not really funding for research...
- Funded activities include staff exchange, workshops, training schools, definition of standards etc.
- Problems occurred at the end of FP6 with the interpretation of „durable integration“

FP7 Instruments

Coordination and Support Actions (CSA)

- Funding for coordination or support of research activities, e.g. networking, exchanges, trans-national access to research infrastructures, studies, conferences, etc.
- Can be implemented via Calls for Tender (e.g. expert reports)
- Specific funding rules (100+7%)

FP7 Instruments

Support for Frontier Research:

The European Research Council (ERC)

New in FP7: Funding for **individual teams** doing „frontier“ research, **bottom-up**, **excellence** as sole evaluation criterion.

ERC as an institution:

- **Scientific Council:** 22 members, defines the strategy and the work programmes of the ERC + Secretary-General.
- **Executive Agency:** implements the ERC work programmes.

Funding streams:

- **Starting Grants (StG)** 3-8y after PhD, to attain or consolidate independence
-> discussion to split into „starters“ and „consolidators“
 - **Advanced Grants (AdG)** for established scientists
- > So far, four calls (2xStG, 2xAdG), 1 each/year from 2010

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FP7 Instruments

Support for Training and Career Development of Researchers (Marie Curie Actions)

Initial training of researchers

- Initial Training Networks (ITN)

Life-long training and career development

- Intra-European Fellowships (IEF)
- European Reintegration Grants (ERG)
- International Reintegration Grants (IRG)
- Co-funding of national programmes (COFUND)

Industry-academia pathways and partnerships

- Industry-Academia Partnerships and Pathways (IAPP)

International dimension

- International Outgoing Fellowships (IOF)
- International Incoming Fellowships (IIF)
- International Staff Exchange Scheme (IRSES)

Specific actions

- Researchers' Night (NIGHT)
- Marie Curie Awards (AWARDS)
- ERA-MORE

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FP7 Instruments

Research for the benefit of specific groups & other project types

- **Research for the benefits of SMEs:** chapter under Capacities, funding for universities and research centres to perform research project for a group of SMEs or SME associations
- **Specific International Cooperation Actions (SIICA):** minimum requirements: 2+2 partners, often targeted at specific groups of International Cooperation Partner Countries (ICPC)
- **Actions for Civil Society Organisations (CSO):** mainly under Science and Society in Capacities

FP7 Instruments

Joint Technology Initiatives (JTI)

- Large-scale initiatives to co-fund the Strategic Research Agenda together with an industry sector (pharma, aeronautics)
- Five JTI under FP7: ARTEMIS, ENIAC, IMI, CleanSky, FCH
- Implemented via a Joint Undertaking under Art. 171 of the EU Treaty
- Specific participation and funding rules

FP7 Instruments

Coordination of national research programmes

ERA-NET: research programme owners (e.g. ministries) or managers (e.g. research funding org.) coordinate their funding activities to launch joint transnational calls

ERA-NET+: similar to ERA-NET, EC gives top-up (~30%) to ,common pot' for one single call

Article 169 initiatives: EC co-finances joint research programme of several countries; common implementation structure required (e.g. EuroStars)

FP7 Rules

The FP7 Rules for Participation

- Detail the basic requirements for participation in FP7, dissemination of results (i.e. IPR), procedures for evaluation, monitoring and evaluation of FP7, funding rules
- One of the legal bases for the Grant Agreement
- Adopted by the European Parliament and the Council of the EU through co-decision

FP7 Rules

Participation

- **Basic rule:** at least 3 independent „legal entities“ from three different Member States or Associated Countries
- **Notable exceptions:** SICA (2+2 rule), some CSA, ERC Grants, Marie Curie individual actions
- The partners form a **consortium** and have to sign the Grant Agreement with the EC and a Consortium Agreement among themselves
- The **coordinator** leads the consortium

FP7 Rules

Financial provisions

- Most grants are implemented through **reimbursement of eligible costs**
- **Lump sums** and **scale of unit** costs are also used (e.g. Marie Curie)
- **Direct** as well as **indirect costs** are reimbursed
- **Upper funding limits:**
 - For RTD activities, 75% for universities, non-profit public bodies and SMEs, 50% for all others
 - CSA, ERC, 100%
 - Management and training activities: 100%
- **Indirect costs:** eligible costs or flat rate (20%/60%)

FP7 Rules

Intellectual Property Rights (IPR)

A complex matter, worth a whole lecture on its own...



www.ipr-helpdesk.org

FP7 Implementation

Work Programmes

- Annual document
- One single timetable for publication of all annual work programme texts
- Structure:
 - General Introduction
 - Chapters – for Themes/Parts
 - Annexes – ICPC, Evaluation Criteria, Forms of the Grant/Reimbursement Rates
 - Cooperation WP – Annex on General Activities (CORDIS, ERA-NET, Eureka, RSFF)

FP7 Implementation

Work Programmes (2)

- Provides further details of the topics
- Expected impact statements at the level of the topic or research area
- Details of funding scheme(s) to be used
- Call 'fiche' – the official announcement of the call
- Any specific eligibility or evaluation criteria
- Grants to named recipients, calls for tender

FP7 Implementation

Evaluations

- Evaluated by independent peer review
- Evaluation criteria
 - Scientific and/or technological excellence (& relevance to SP)
 - Potential impact through the development, dissemination & use of project results
 - Implementation and management
- Scientific excellence as sole criterion for ERC
- Detailed criteria in WPs – including thresholds and weightings
- Ethics principles cannot be contravened

FP7 Implementation

After the evaluation

- Evaluation summary reports sent to applicants
 - "initial information letter"
 - Redress procedure
- Draw up final ranking lists
- Information to the Programme Committee
- Contract negotiation
- Formal consultation of Programme Committee (when required)
- Commission selection decisions
- Contract signatures

Information

CORDIS

http://cordis.europa.eu/fp7/home_en.html

EUROPA FP7 SITE

<http://ec.europa.eu/research/fp7/>

EUROPA RESEARCH SITE

<http://ec.europa.eu/research/index.cfm?lg=en&pg=who&cat=a>

EC RESEARCH ENQUIRY SYSTEM

<http://ec.europa.eu/research/index.cfm?pg=enquiries>

Thank you for your attention.

Questions?

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