Part A
Sixth Framework Programme of the EC
Content and instruments
Introduction: FP6 legal framework

Legal Framework

EC TREATY

INTERNATIONAL AGREEMENTS

FRAMEWORK PROGRAMME

SPECIFIC PROGRAMMES

WORK PROGRAMMES & Calls for proposals

PARTICIPATION AND DISSEMINATION RULES

CONTRACTS

GUIDELINES ON EVALUATION AND SELECTION PROCEDURES

Other relevant EC Regulations

FINANCIAL REGULATION

Other relevant EC Regulations

FINANCIAL REGULATION

DG Research - Directorate B - Unit 02: “Strengthening cooperation in research and European scientific base ”
Jean-David MALO - Lodz and Warsaw, 16 and 17/10/2003 - NOT LEGALLY BINDING - Page n°2
A new Research Framework Programme (FP) designed to help realise the European Research Area (ERA)

What is the European Research Area?

- Long-term goal of ERA, launched at Lisbon summit 2½ years ago
  - to create a true “internal market” for research in Europe

- Why do we need ERA?
  - Europe will fall far short of its economic potential unless it reverses decades of technological underperformance
  - but for that to happen, Europe must first tackle deep-rooted structural weaknesses in its research and innovation systems
  - hence ERA
What are these structural weaknesses?

- **Underinvestment in the research system**
  - both financial and human
  - particularly by the business sector

- **Unfriendly environment for research and innovation**
  - regulatory shortcomings
  - financial weaknesses
  - weak culture of entrepreneurship
  - networking failures
  - unfriendly social environment…

- **Excessive fragmentation of public research**
  - coupled to low levels of cooperation and coordination between countries on policies and programmes
Why FP6 became a tool to realise ERA?

- The FP is the only funding arm of EU research policy
  - primary mission of new FP must therefore be to help realise ERA

- Previous FPs had, however, a different mission
  - were not designed to tackle our structural weaknesses
  - were instead designed to support network-building and high quality research
    - though often failed to mobilise the critical mass needed to achieve ambitious objectives of European dimension
  - were also overly complex and excessively bureaucratic in their implementation

- Therefore, to address its new mission, the concept of the FP had to be totally rethought
1- Key features of FP6

- **For its objective-driven thematic components**
  - much greater concentration on a limited number of topics of strategic importance to Europe
    - where the research needs to be carried out at the European level
  - using new more effective instruments capable of mobilising the activities and resources necessary to achieve ambitious objectives of European dimension
    - integrated projects, networks of excellence, Article 169

*Note: these new instruments are the principal innovation in the thematic components of FP6*
1- Key features of FP6

- Better balance between objective-driven thematic research and actions to reinforce Europe’s research base
  - expanded and better targeted training & mobility actions
  - new bottom-up action to support emerging S&T (“NEST”)
  - expanded support for research infrastructures
  - mainstreaming of most international cooperation, innovation and SME support measures
  - new science and society action
  - expanded range of measures to support open coordination in research policy-making
  - new scheme (“ERA-NET”) to support the networking and mutual opening of national programmes
1- Key features of FP6

- **Simplified and streamlined implementation**
  - to reduce overheads of participating
  - to speed up procedures
  - to increase flexibility and autonomy of contractors

- **Full integration of the associated candidate countries**
  - research is first policy area where these countries are fully integrated into the EU
### 2- FP6 Budget

- **€17.5 billion (compared to €14.96 billion in FP5)**
  - an increase of 9% in real terms *(a satisfactory result)*

<table>
<thead>
<tr>
<th>Category</th>
<th>Funding (€ billion)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Focusing and integrating Community research (&quot;thematic&quot;)</td>
<td>13.345</td>
</tr>
<tr>
<td>Structuring ERA (&quot;underpinning&quot;)</td>
<td>2.605</td>
</tr>
<tr>
<td>Strengthening the foundations of ERA (&quot;coordinating&quot;)</td>
<td>0.320</td>
</tr>
<tr>
<td>Euratom (&quot;nuclear&quot;)</td>
<td>1.230</td>
</tr>
</tbody>
</table>
### 3- FP6 Structure*

#### Integrating European Research (76%)

<table>
<thead>
<tr>
<th>Priority Thematic Areas (64%)</th>
<th>Specific activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Life sciences ...</td>
<td>Policy-oriented research</td>
</tr>
<tr>
<td>Information society ...</td>
<td>New and emerging S &amp; T</td>
</tr>
<tr>
<td>Nanotechnologies ...</td>
<td></td>
</tr>
<tr>
<td>Aeronautics and space ...</td>
<td>Specific SME activities</td>
</tr>
<tr>
<td>Food quality and safety ...</td>
<td></td>
</tr>
<tr>
<td>Sustainable development ...</td>
<td>Specific international cooperation activities</td>
</tr>
<tr>
<td>Citizens and governance ...</td>
<td></td>
</tr>
</tbody>
</table>

#### Structuring ERA (15%)

- Research and innovation
- Human resources & mobility
- Research infrastructures
- Science and society

#### Strengthening ERA foundations (2%)

- Coordination of national activities
- Support for policy development

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4- Instruments

A wider range of better differentiated instruments

- **New**
  Networks of excellence, Integrated projects, Integrated initiatives infrastructures, Collective research projects (Specific research projects for SMEs), Article 169

- **Traditional**
  Specific targeted projects, Co-operative research projects (Specific research projects for SMEs), Actions to promote and develop human resources and mobility (Some are new), Co-ordination actions, Specific support actions
4- Instruments

**Principles guiding their design**

- **Simplification and streamlining**
  - to minimise the overheads for all concerned
  - to speed up procedures, especially time-to-contract

- **Increased legal and financial security**
  - to avoid weaknesses of FP5 instruments

- **Flexibility and adaptability**
  - to enable projects to adapt to changing circumstances, both in the science and in the partnership

- **Increased management autonomy**
  - to eliminate unnecessary micromanagement

- **While preserving public accountability and protecting interests of the Community**
## 4- Instruments

<table>
<thead>
<tr>
<th>Instrument</th>
<th>Purpose</th>
<th>Primary deliverable</th>
<th>Scale</th>
</tr>
</thead>
<tbody>
<tr>
<td>IP</td>
<td>objective-driven research</td>
<td>knowledge</td>
<td>med-high</td>
</tr>
<tr>
<td>NoE</td>
<td>tackle fragmentation</td>
<td>durable structuring</td>
<td>med-high</td>
</tr>
<tr>
<td>169</td>
<td>joint MS programmes</td>
<td>knowledge and/or structuring</td>
<td>high</td>
</tr>
<tr>
<td>STRP</td>
<td>research</td>
<td>knowledge</td>
<td>low-med</td>
</tr>
<tr>
<td>CA</td>
<td>coordination</td>
<td>coordination</td>
<td>low-med</td>
</tr>
<tr>
<td>SSA</td>
<td>support</td>
<td>support</td>
<td>low</td>
</tr>
</tbody>
</table>
THANK YOU FOR YOUR ATTENTION