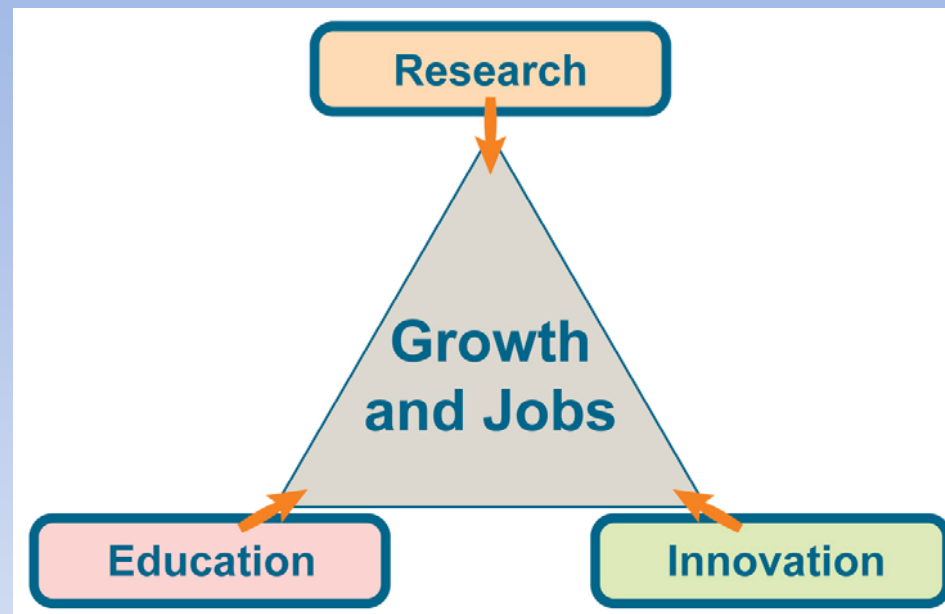


How to present FP7 to a non-European audience

Nadine Müller

EU Bureau of the Federal Ministry
for Education and Research

Lisbon Strategy



S&T contributes to the Lisbon objectives: economic growth, employment creation, environmental protection, social challenges: fight poverty, improve human health and quality of life (remote working, safe roads, etc.)

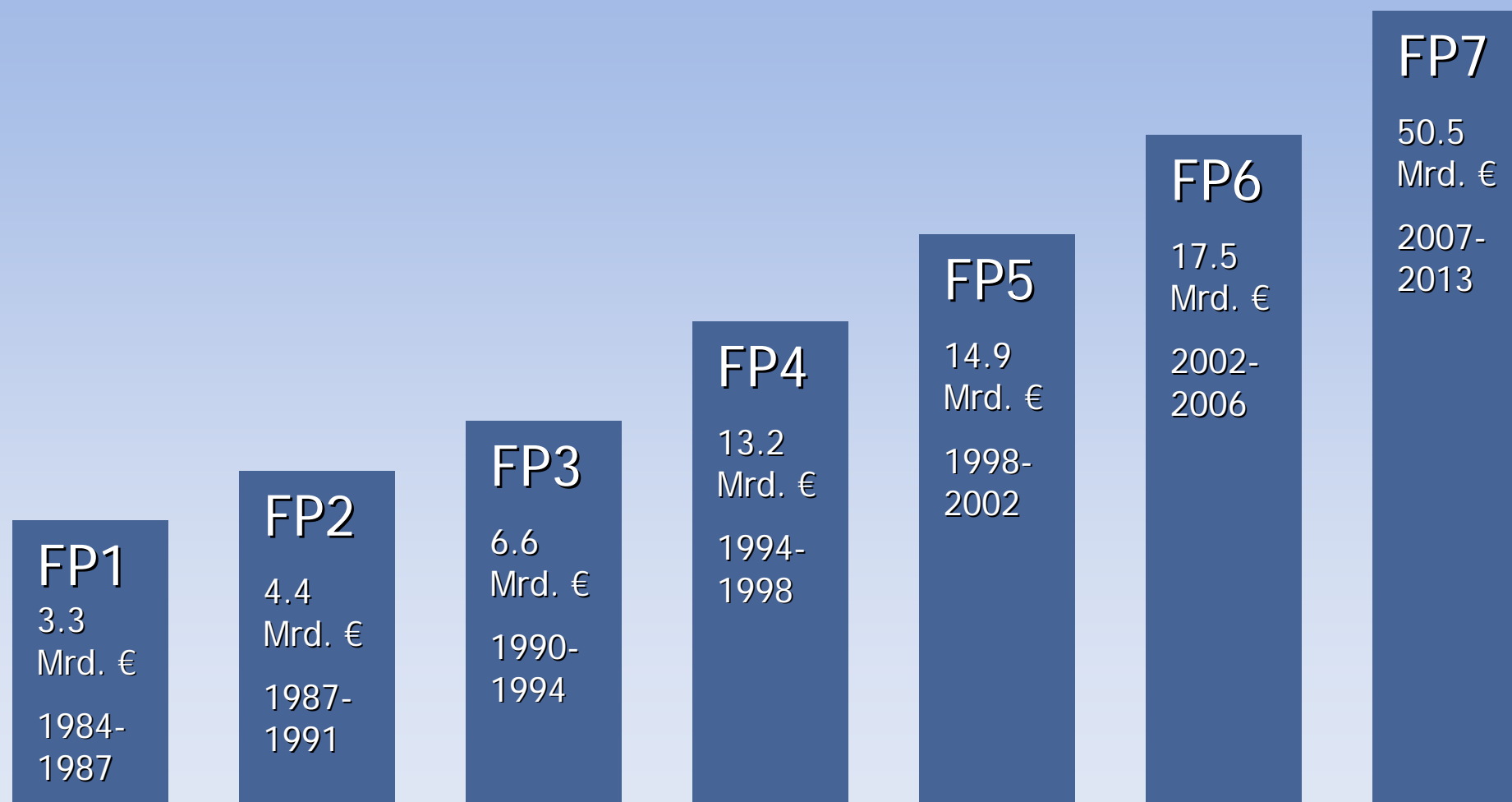
Framework Programme 7 (FP7) is one of the instruments at the heart of the European Union's Lisbon Strategy to become the "most dynamic competitive knowledge-based economy in the world"

History of European Framework Programmes



- 1952:** ECSC treaty; first projects started March 1955
- 1957:** Euratom treaty; Joint Research Centre set up
- 1983:** ESPRIT programme
- 1984:** First Framework Programme (1984-1987)
- 1987:** “Single European Act” – science becomes a Community responsibility; **Second** Framework Programme (1987-1991)
- 1990:** Third Framework Programme (1990-1994)
- 1993:** Treaty on European Union; role of RTD in the enlarged EU
- 1994:** Fourth Framework Programme (1994-1998)
- 1998:** Fifth Framework Programme (1998-2002)
- 2000:** Lisbon Process, Concept for a European Research Area
- 2002:** Sixth Framework Programme (2002-2006)
- 2007:** Start of the **Seventh** Framework Programme (2007-2013)
Start of the Competitiveness and Innovation Programme (2007-2013)

Framework Programme Evolution



7th Framework Programme – FP7

- FP7 is EU's main central funding tool for supporting research and technological development
- Duration 2007-2013
- Total budget of over € 50 Billion
- Supports research in selected priority areas
- Main Objectives
 - Contribute to sustainable development worldwide
 - Foster Europe's excellence in science and technology
 - Support European competitiveness
 - Underpin EU policies

International Cooperation in FP7 - Objectives

- ✓ Address specific problems that third countries face or that have a global character, on the basis of mutual interest and mutual benefit
- ✓ Solve common problems
- ✓ Build lasting links and networks through researchers
- ✓ Developing common standards / market opportunities
- ✓ S&T for Development

Guiding Principles of International Cooperation

- ✓ Common interest
- ✓ Shared objectives
- ✓ Mutual benefit
- ✓ Equal treatment
- ✓ Reciprocity

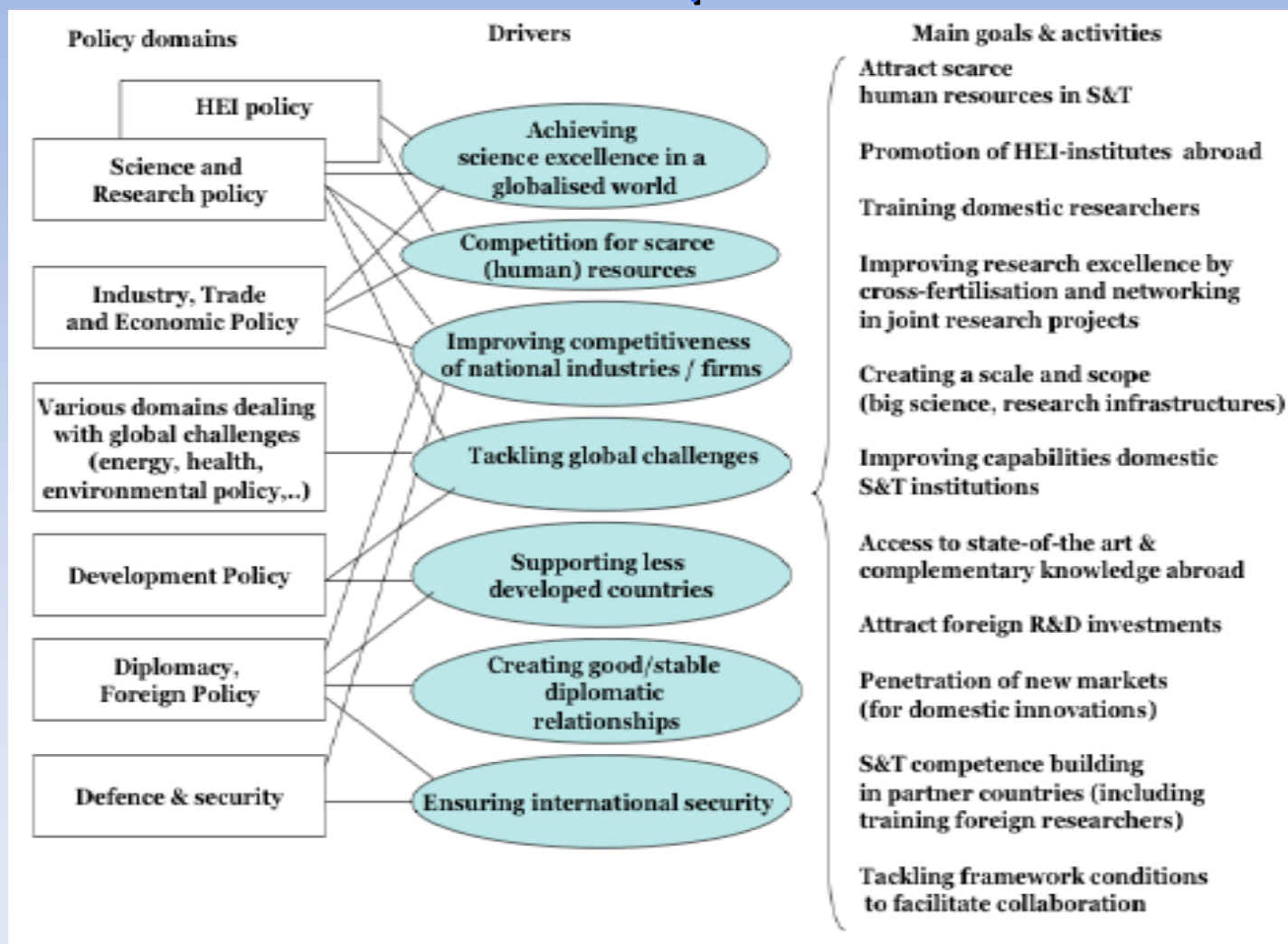
Advantages of International Cooperation

- Supporting competitiveness through strategic partnerships
- Building lasting links
- Supporting the coordination of national, european and international research and technology activities and policies
- Address specific problems on the basis of mutual interest and mutual benefit
- Solving common problems and global challenges
- Advancing science and technology
- Attracting researchers and resources
- Developing common standards/market opportunities
- Developing research for the global knowledgebased economy

Advantages of International Cooperation

- Scale of challenges = international collaboration more effective than regional approaches (climate change, environment etc.)
- Building a strategy for knowledge collaboration
- Setting up international research networks
- Increasing the mobility of individual researchers – brain circulation
- Supporting development of human potential in research communities
- Join the global processes of international/european S&T cooperation
- Integrating Third Country and European scientific and technological potential
- Sharing good practices, knowledge transfer = synergistic effects

Drivers of International S&T Co-operation



How to promote International Cooperation?

- Opening the whole Framework Program for International Cooperation
- Improving flexibility: different mechanisms serve a variety of needs, incl. the reciprocity
- Strengthening the dialogue, including joint identification of common priorities at different levels (operational and more political) and in different settings (bilateral, bi-regional, sub-regional etc.)

FP7 – Specific Programmes

Co-operation – Collaborative Research

Ideas – Frontier Research

People – Human Potential

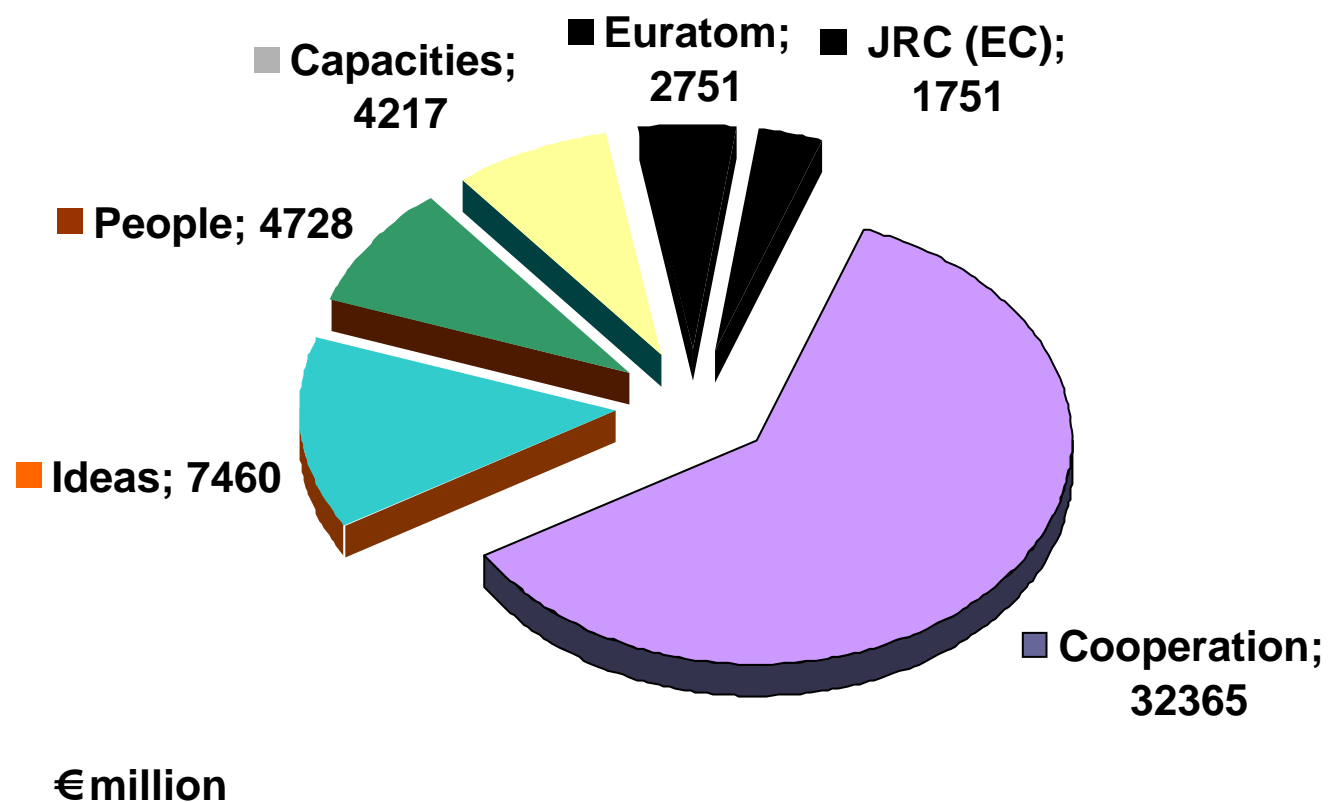
Capacities – Research Capacity

JRC - nuclear

JRC – non-nuclear

EURATOM

FP7 - Budget



Trans-national co-operation among NCPs for International Cooperation

FP7 Structure

Cooperation – Collaborative Research

Health
Food, Agriculture and Biotechnology
Information and Communication Technologies
Nanosciences, Nanotechnologies, Materials and new Production Technologies
Energy
Environment (including Climate Change)
Transport
Socio-Economic Sciences and the Humanities
Security and Space

Capacities

Research Infrastructures
Research for the Benefit Of SMEs
Regions of Knowledge
Research Potential
Science in Society
Activities of International Co-operation
Coherent Development of Policies

Ideas – Frontier Research

Starting Independent Researcher Grants
Advanced Investigator Grants

People – Human Potential

Initial Training of Researchers
Lifelong Learning and Career Development
Industry-Academia Partnerships and Pathways
The International Dimension
Specific Actions

Framework Programme participating countries

- International Cooperation = Cooperation with Third Countries
- Third Countries are countries which are
 - Not a **Member State of the European Union** (Austria, Belgium, Bulgaria, Cyprus, CzechRepublic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Irleand, Italy, Latvia,Lithunia, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, UK)
 - Not **associated** to the framework programme (Albania, Bosnia and Herzegovina, Croatia, FYR Macedonia, Montenegro, Serbia, Turkey, Iceland, Liechtenstein, Norway, Switzerland, Israel)

Framework Programme – Third Countries

- **International Cooperation Partner Countries (ICPC)**
 - **Countries neighbouring the EU** (Mediterranean Partner Countries, Western Balkans, Eastern European and Central Asian Countries)
 - **Developing countries** (ACP, ASIA, Latin America)
 - **Emerging economies** (e.g. China, India, Brazil, Russia, South Africa)
- **High-income Countries**
 - **USA, Canada, Japan, Korea, Singapore, Australia, New Zealand, Taiwan, Hong Kong, Macao, Vatican, San Marino, Monaco, Andorra**

http://cordis.europa.eu/fp7/who_en.html#countries

Framework Programme participating countries

- Framework Programme open for Third Country participation
- ICPC would generally be funded
- High-income countries are generally not funded

Framework Programme participating countries

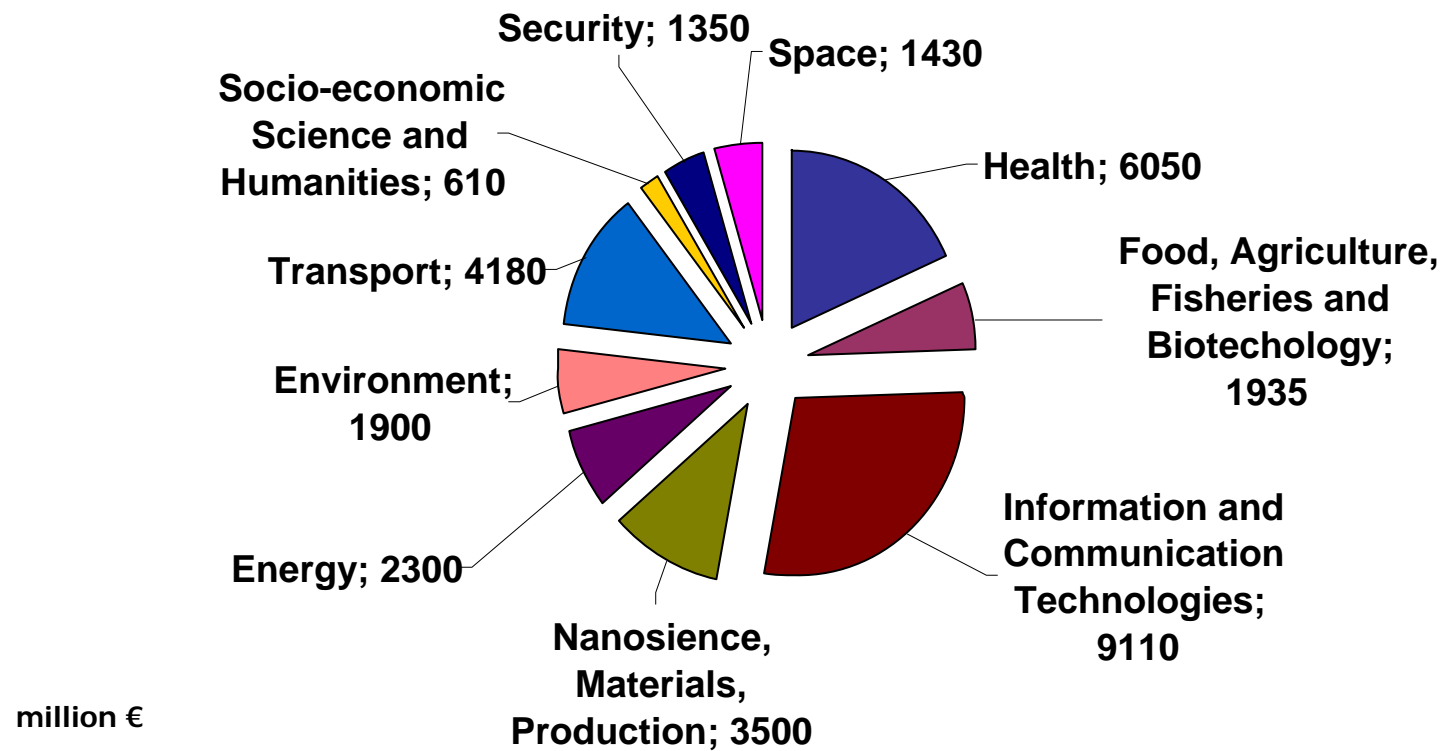
- High-income countries can participate:
 - As additional partner, if minimum rule of three partners from three MS/AC is fulfilled
 - It is in the interest of the European Commission
- High-income countries are generally not funded
- They may exceptionally receive funding if:
 - provision is made for in the work programme
 - funding is provided through bilateral S&T agreement
 - essential for carrying out the project (no alternative sources)

=> otherwise a self-financed participation is possible

Cooperation – Thematic Areas

1. Health
2. Food, Agriculture and Biotechnology
3. Information and Communication Technologies
4. Nanosciences, Nanotechnologies, Materials
5. Energy
6. Environment (including Climate Change)
7. Transport (including Aeronautics)
8. Socio-Economic Sciences and Humanities
9. Space
10. Security

Cooperation - Budget



Cooperation – International Cooperation

- Opening of all themes to third countries
- Specific International Cooperation actions in themes
- Early identification of problems in other parts of the world before these affect Europe
- Cooperation with and in third countries in finding solutions to such problems
- Dedicated activities within and across themes in order to address existing complexity in third countries

Cooperation – International Cooperation

- **All themes open to third countries**
 - Minimum 3 different EU Member State (MS) or Associated Countries (AC)
 - Beyond this minimum, all Third countries can participate
 - ICPC would generally be funded
 - Industrialised countries funded only if indispensable for the project

- **Targeted Opening**
 - Same rules apply (3 MS or AC)
 - Special focus on specific countries or geographic regions

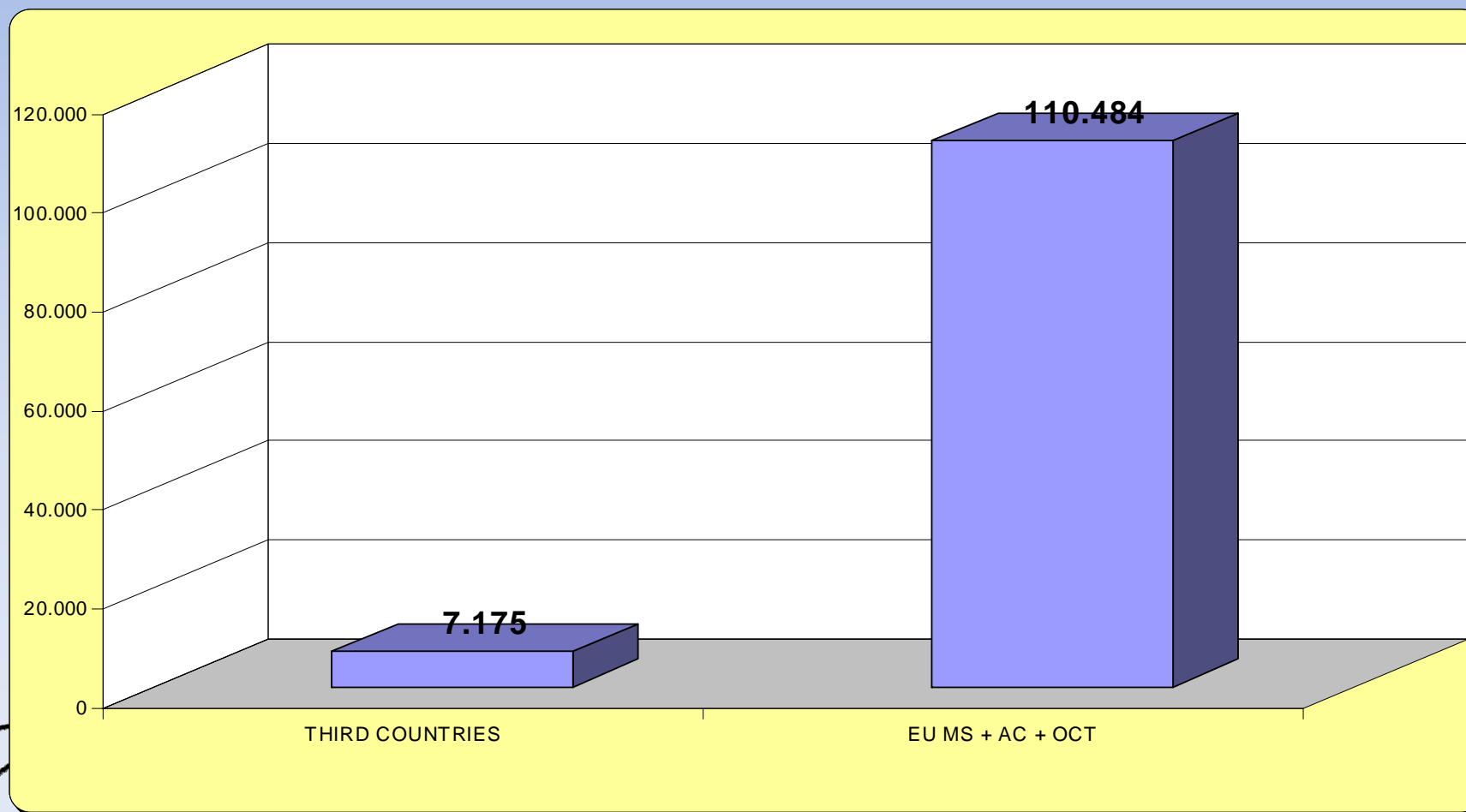
Cooperation – International Cooperation

- **Specific International Cooperation Actions (SICA) linked to the 10 themes**
 - Calls for proposals dedicated to ICPC in each Theme
 - made to enable and encourage the participation of low and middle income countries to participate and get funding in FP7
 - Minimum 4 participants from different countries: 2 ICPC + 2 MS or AC
 - ICPC participants get funding
- **Coordinated Call**
 - an FP call that is coordinated with a similar call issued by a funding agency in a third country with the aim of ensuring programme synergies
- **Twinning**
 - Twinning of projects based on common benefit and reciprocity.
 - Activities might include staff exchanges, share of data and knowledge, etc.

Kooperation – Third Country Participation

REFERENCE DATE: WP07+08-18Sept09

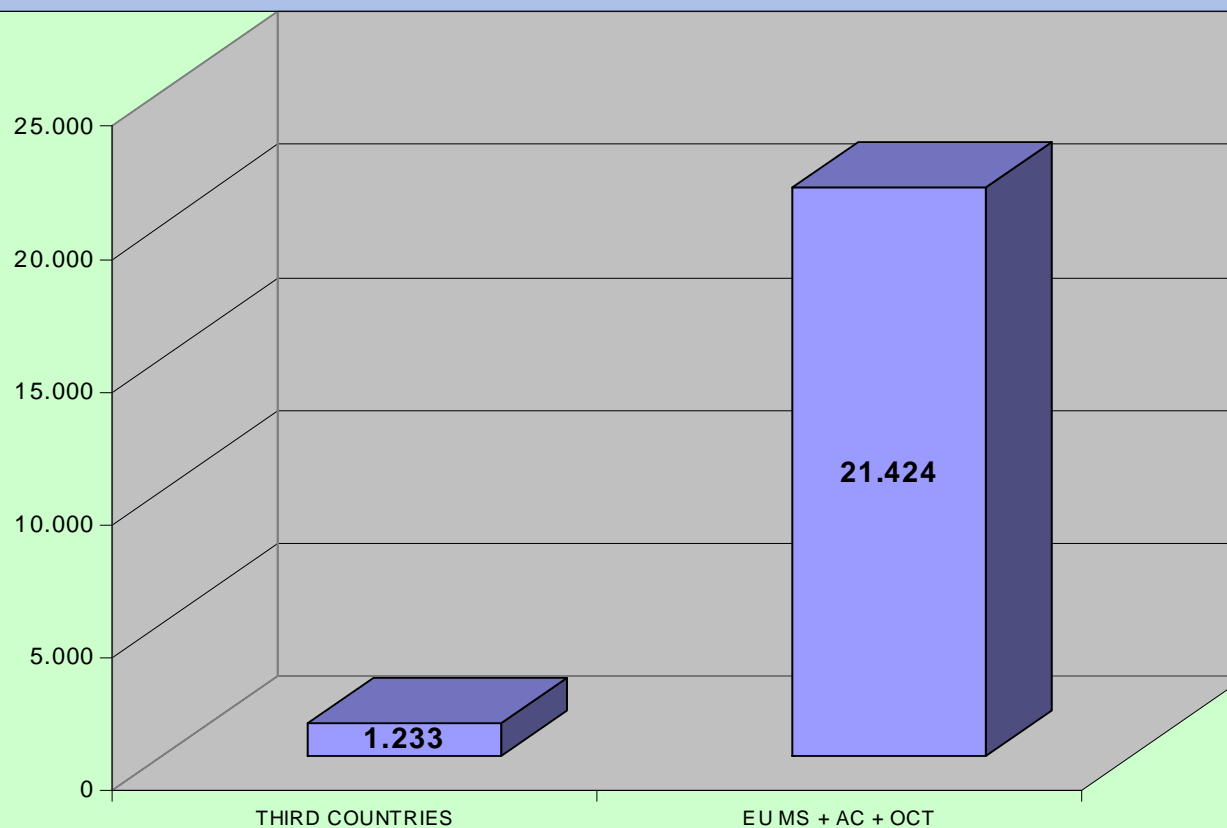
COOPERATION / all thematic areas
117659 APPLICATIONS (in proposals submitted)



Kooperation – Third Country Participation

REFERENCE DATE: WP07+08-18Sept09

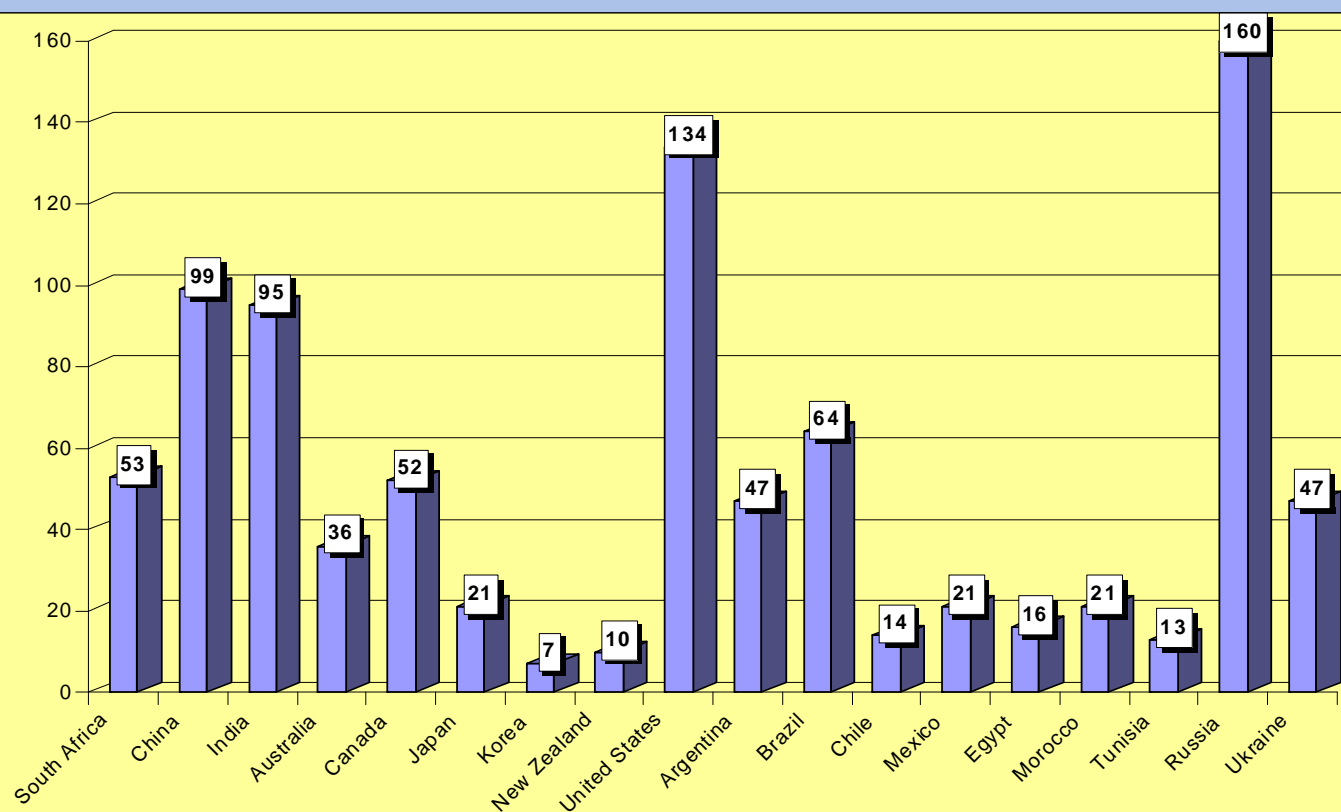
COOPERATION / ALL THEMATIC AREAS
22657 APPLICATIONS MAIN LISTED



Kooperation – Third Country Participation

REFERENCE DATE: WP07+08-18Sept09

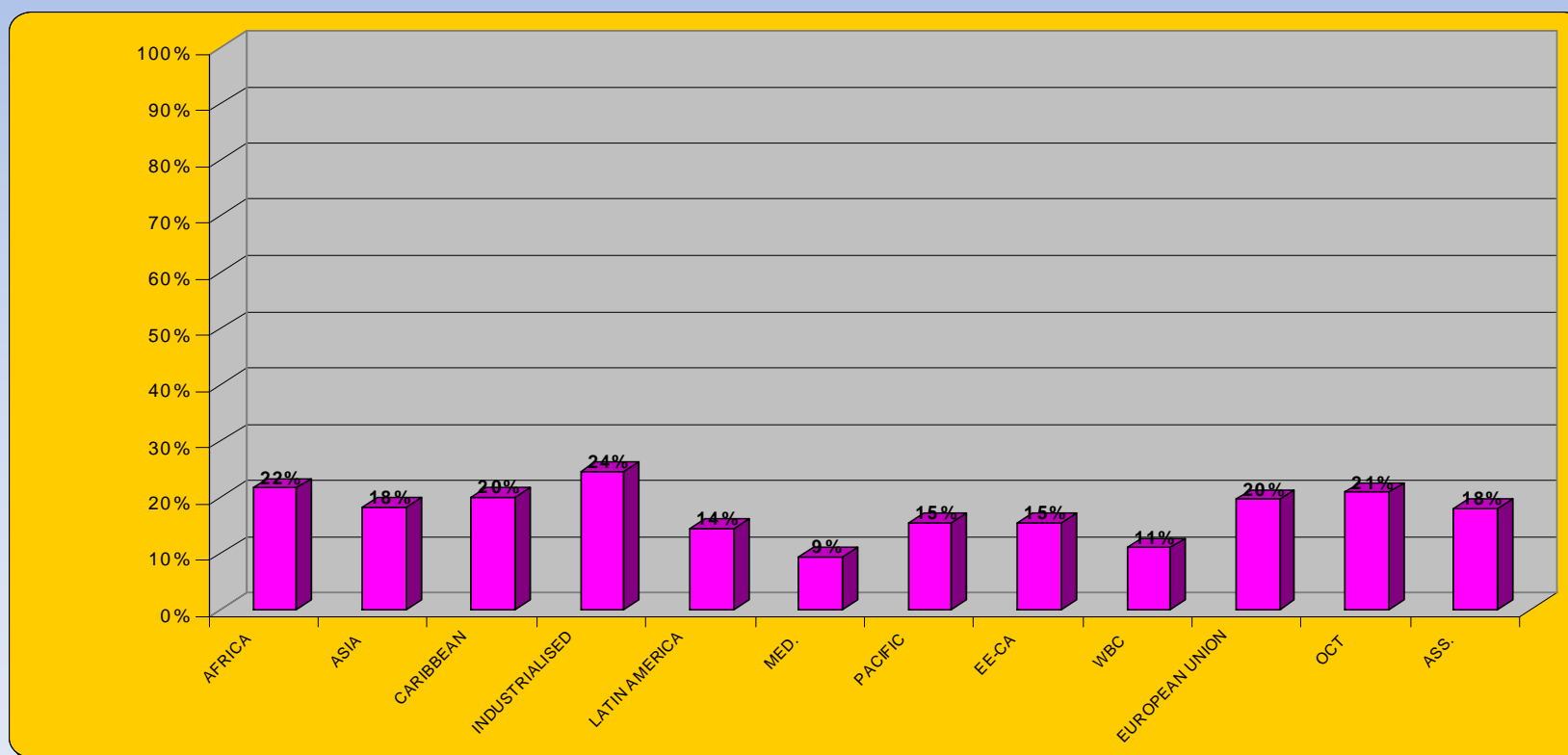
COOPERATION / ALL THEMATIC AREAS
SELECTED COUNTRIES: 910 APPLICATIONS MAIN LISTED



Cooperation – Third Country Participation

REFERENCE DATE: WP07+08-18Sept09

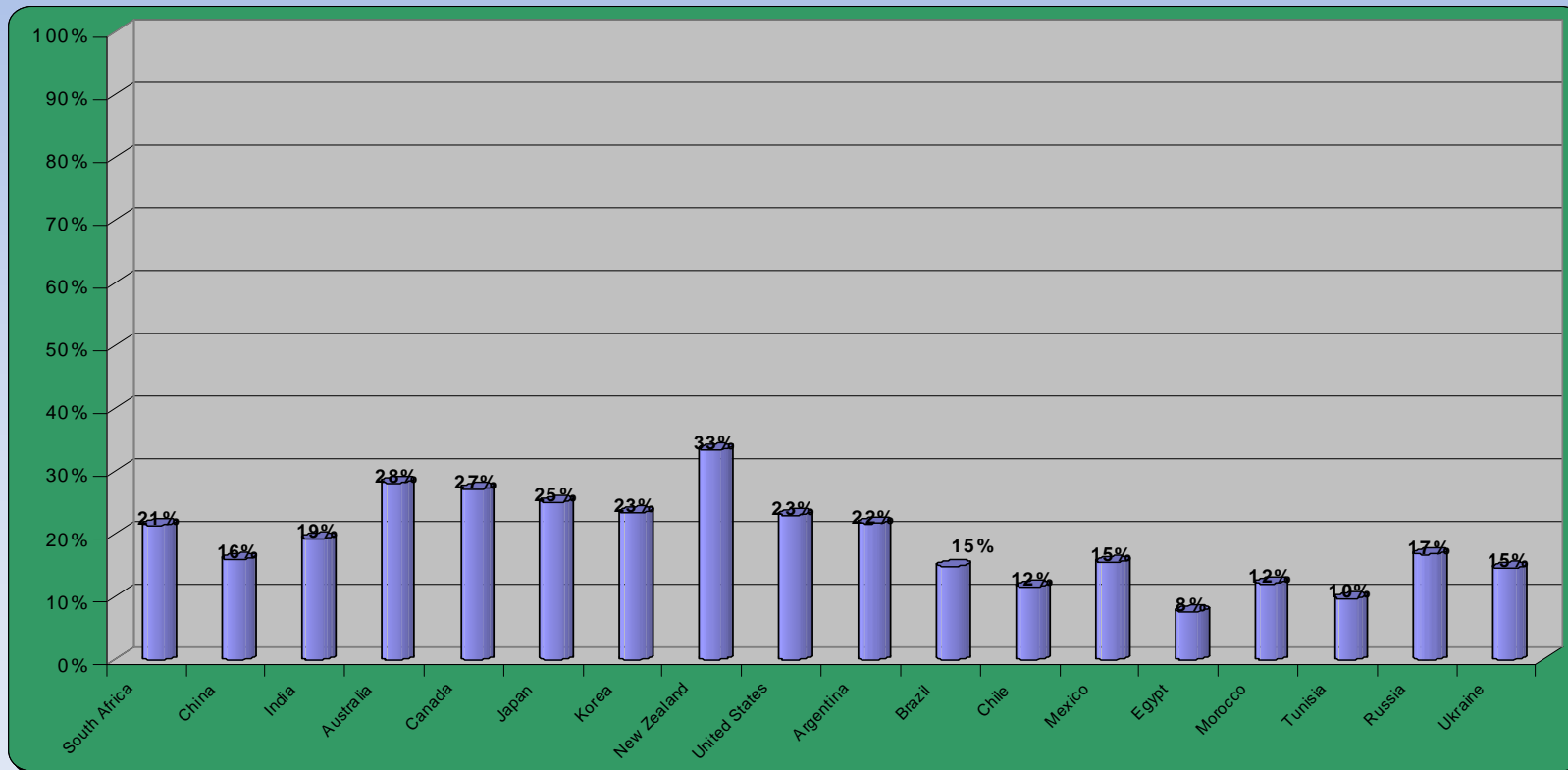
COOPERATION / SUCCESS RATE: ALL REGIONS
APPLICATIONS MAIN LISTED COMPARED TO APPLICATIONS EVALUATED (%)



Cooperation – Third Country Participation

REFERENCE DATE: WP07+08-18Sept09

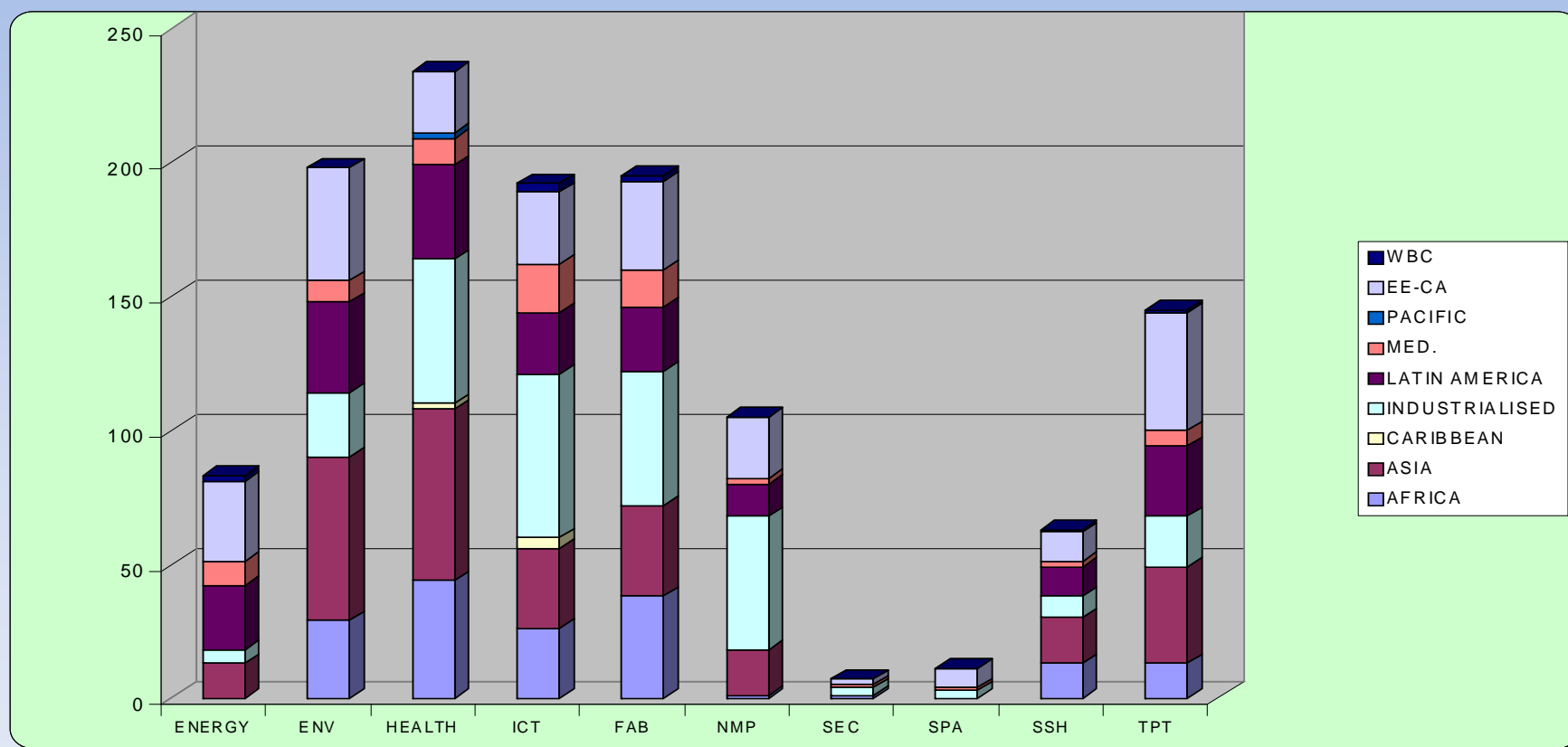
COOPERATION / SUCCESS RATE: SELECTED COUNTRIES
APPLICATIONS MAIN LISTED COMPARED TO APPLICATIONS EVALUATED (%)



Cooperation – Third Country Participation

REFERENCE DATE: WP07+08-18Sept09

COOPERATION / ALL THEMATIC AREAS
1233 THIRD COUNTRY APPLICATIONS MAIN LISTED



Ideas

- Frontier research
- “Bottom-Up” approach: No predetermined thematic or policy-driven priorities
- Impact: Projects of **ground breaking** and **visionary** nature at the frontiers of science, scholarship and engineering
- Interdisciplinarity: All research fields
- Implemented by individual teams
- Excellence as sole criterion
- Scientific autonomy

Specific Programme Ideas

Funding Streams

Two streams of activity:

1. **ERC Starting** Independent Researcher Grant Scheme (ERC Starting Grant)
2. **ERC Advanced** Investigator Researcher Grant Scheme (ERC Advanced Grant)

Both activities are open to Third Country scientists provided that they move to the EU + AC

Specific Programme - People

- Strengthening the human potential in research and technology
- Stimulating people to enter into researcher's profession
- Making Europe more attractive to the best researchers

Specific Programme - People

Initial Training of Researchers

Marie Curie Networks

Lifelong Learning and Career Development

Individual Fellowships

Industry-Academia Partnerships and Pathways

Industry-Academia Knowledge-sharing scheme

The International Dimension

Outgoing & Incoming International Fellowships

International Cooperation Scheme

Reintegration grants

Specific Actions

Researchers Night

Excellence Awards

Capacities – Thematic Areas

1. Research Infrastructures

2. Research for the Benefit of SMEs

3. Regions of Knowledge

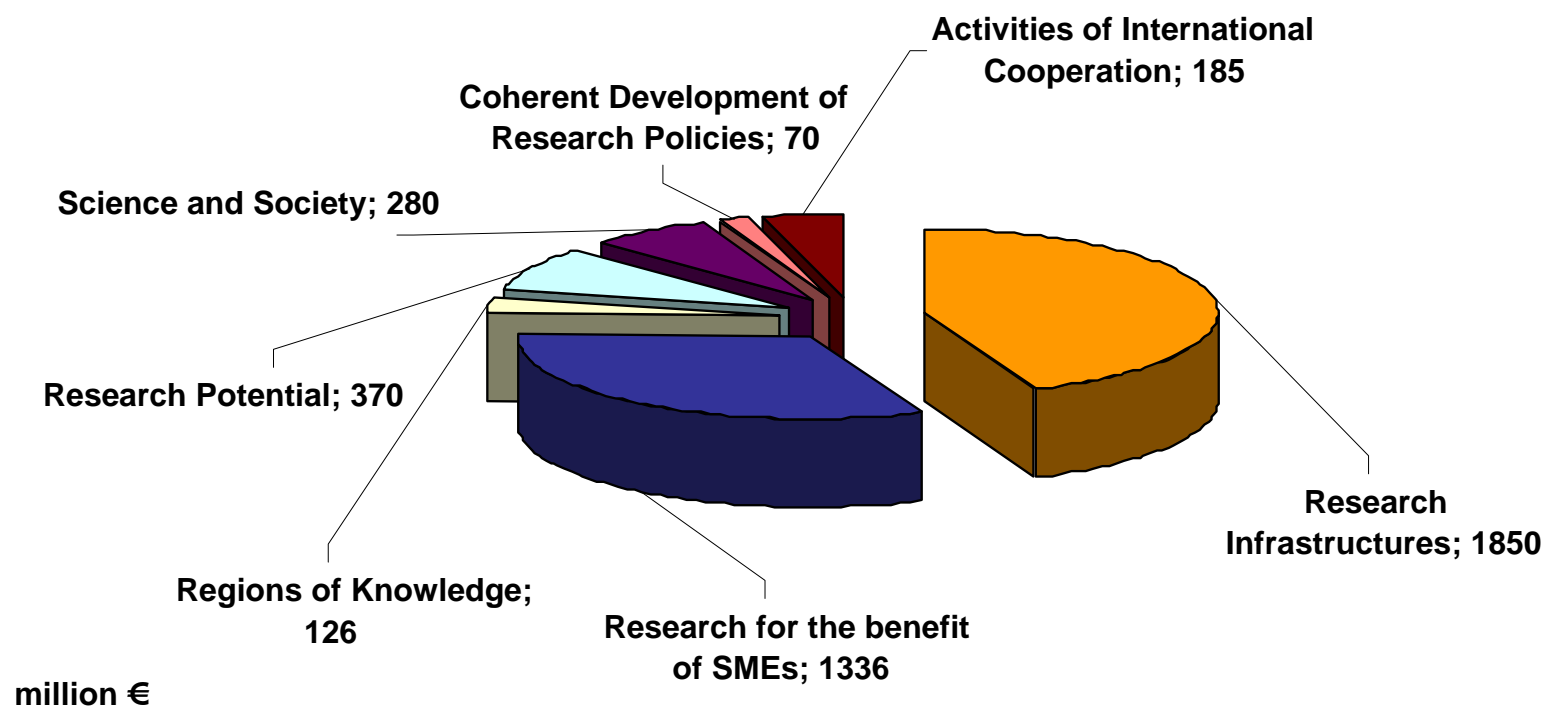
4. Research Potential

5. Science in Society

6. Support to the Coherent Development of Research Policies

7. International Cooperation

Capacities - Budget



Capacities INCO

- **No funding for research activities**
- **only horizontal activities for supporting research collaboration**

Objectives:

- Support competitiveness through strategic partnerships with 3rd countries in selected fields and by engaging the best 3rd country scientists to work in and with Europe
- Enhance the production of scientific excellence by enabling the establishment of contacts with partners in 3rd countries
- Facilitating access to research environments and promoting synergies on global scale
- Address specific problems of 3rd countries or of global character
- Coordination of national S&T programmes between MS/AC and 3rd countries

Bi-regional Coordination of S&T cooperation (INCO-NET)

- coordination platforms bringing together policy makers and stakeholders of one target region with the EU to establish:
- A regional policy dialogue in order to identify research areas for mutual benefit and interest and set-up S&T priorities;
- Implement activities in order to develop, promote and contribute to the participation of the targeted countries in the Framework Programme

Bilateral S&T

Cooperation Platforms (BILAT)

- Better identifying and demonstrating cooperation between Europe and Third countries
- Improving the process of providing information on programs and funding designed to promote cooperation between Europe and Third countries
- Sharing best practices using workshops and presenting in particular fields the state of the art and the prospects for cooperation

BILAT projects



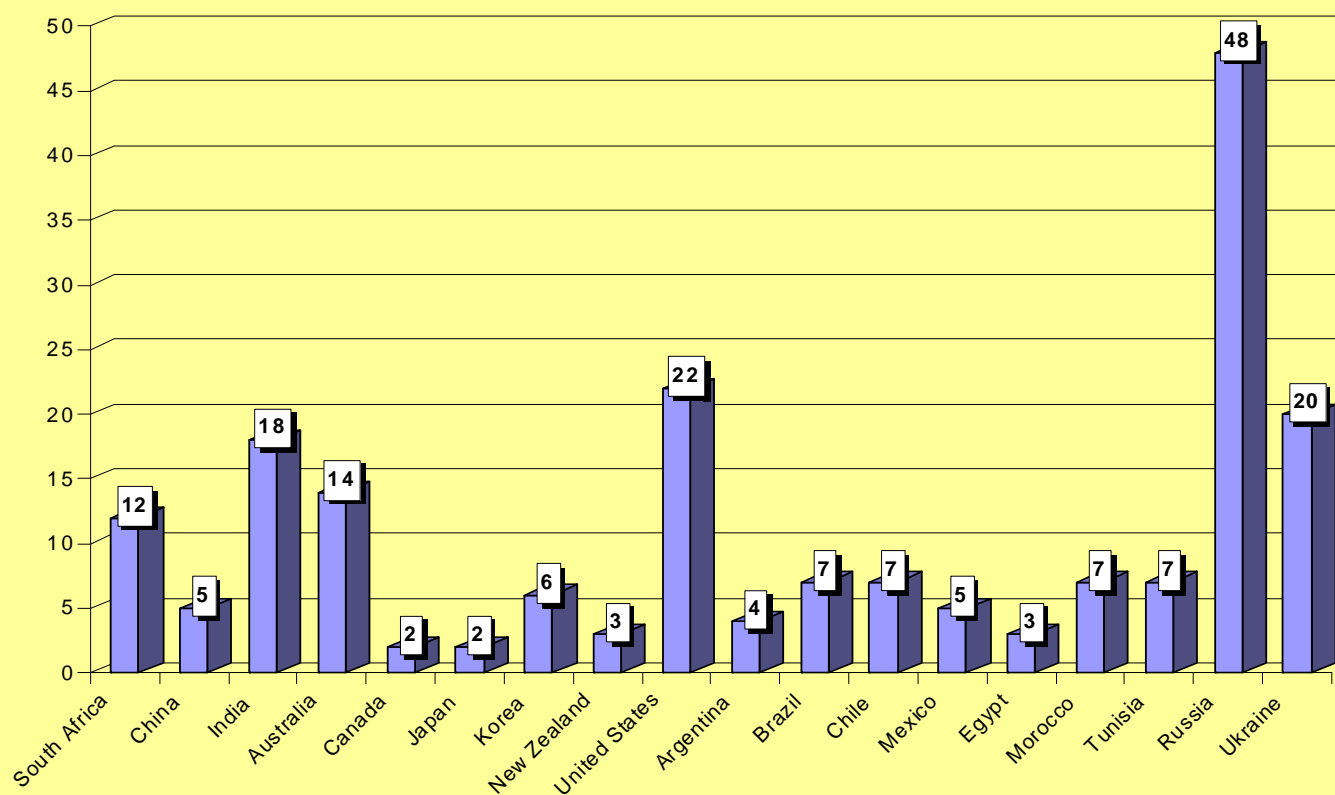
ACCESS4EU

- increasing the awareness and dissemination in the Member States and Associated Countries of access opportunities for European researchers and research organisations in national research and/or innovation programmes managed by third countries

Capacities - Third Country Participation

REFERENCE DATE: WP07+08-18Sept09

CAPACITIES / ALL THEMATIC AREAS
SELECTED COUNTRIES: 192 APPLICATIONS MAIN LISTED



International Cooperation - Funding

- ICPC – Countries have the possibility to chose being reimbursed on the basis of eligible costs or may opt for lump sum
- Lump sum contribution is defined per country income group in the „list of ICPC economies“

<i>Economy</i>	<i>contribution (€/researcher/year)</i>
<i>low income</i>	<i>8 000 €</i>
<i>lower middle income</i>	<i>9 800 €</i>
<i>upper middle income</i>	<i>20 700 €</i>

- Upper funding limits (50%, 75% 100%) have to be applied according to instrument and organisational form
- Lump sum is deemed to cover all costs

International Cooperation - Funding

Example:

Chinese partner in a collaborative project, duration 3 years,
4 researchers full-time, 1 researcher part time working on

China - lower middle income country

only carries out *RTD*-activities

=> country income group :

lower middle income 9 800 € / researcher / year

=> contribution:

$9\,800 \text{ EUR} * 4.5 * 3 * 0.75 = 99\,225 \text{ €}$

Sources of Information

- **INCONTACT**
<http://www.ncp-incontact.eu/>
- **Seventh Framework Programme**
<http://cordis.europa.eu/fp7/>
- **EU Reseach**
<http://ec.europa.eu/research/>
- **EU INCO**
<http://ec.europa.eu/research/iscp/index.cfm>
- **NCPs (exist in each country for each programme)**
http://cordis.europa.eu/fp7/ncp_en.html

*Thank you
for your attention!*