



EUROPEAN
COMMISSION

Community research

JOINT TECHNOLOGY INITIATIVES



in the Seventh Framework
Programme

Etienne Magnien

Prague, 30 October, 2008

European Commission - DG Research - EU Coordination & Major initiatives





EUROPEAN
COMMISSION

Community research

JTI
JTI

JOINT TECHNOLOGY INITIATIVES

General principles

1. General principles
2. Specificities
3. Launch
4. Lessons



European Commission - DG Research - EU Coordination & Major initiatives

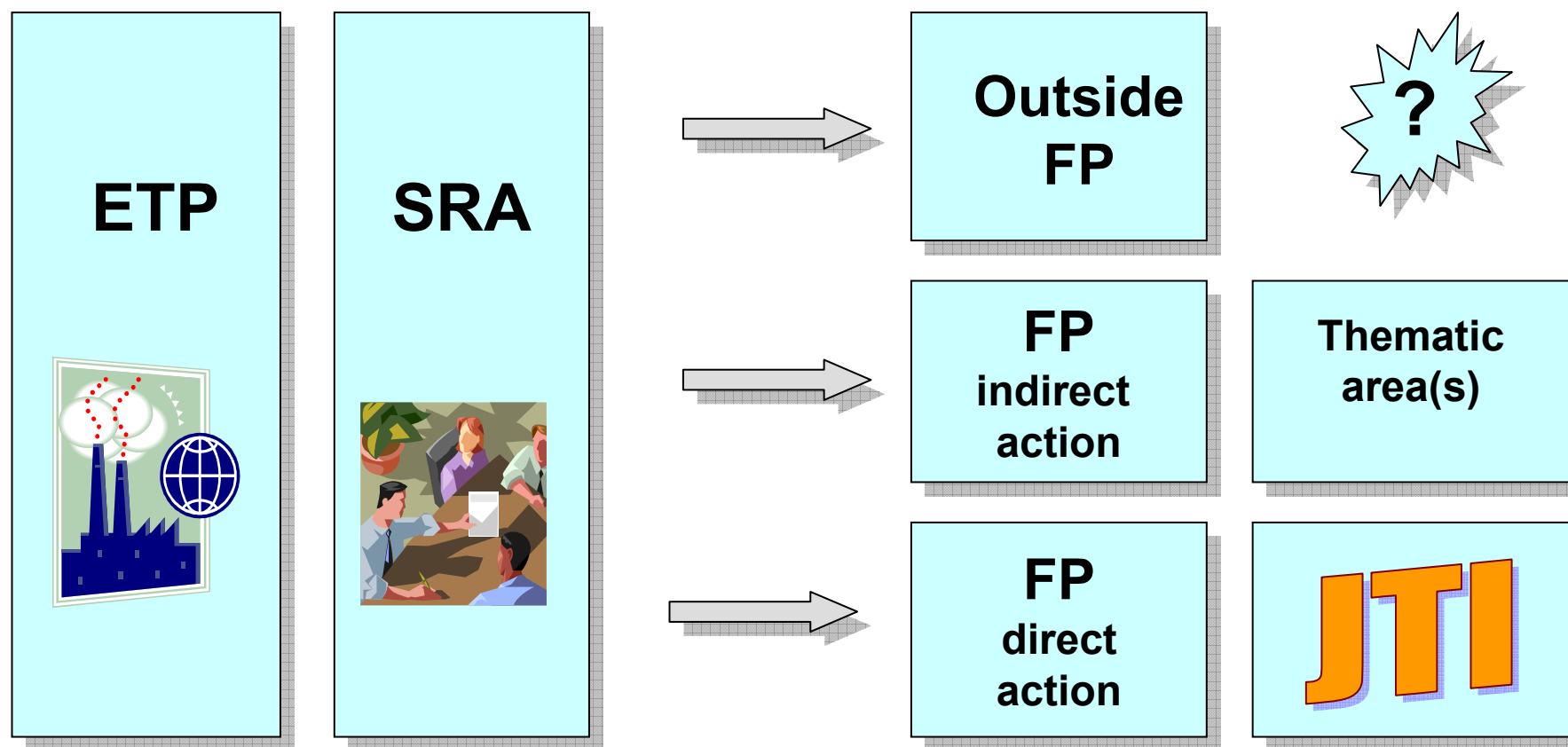


EUROPEAN
COMMISSION

Community research

JTI
JTI

From a European Technology Platform ... to a JTI



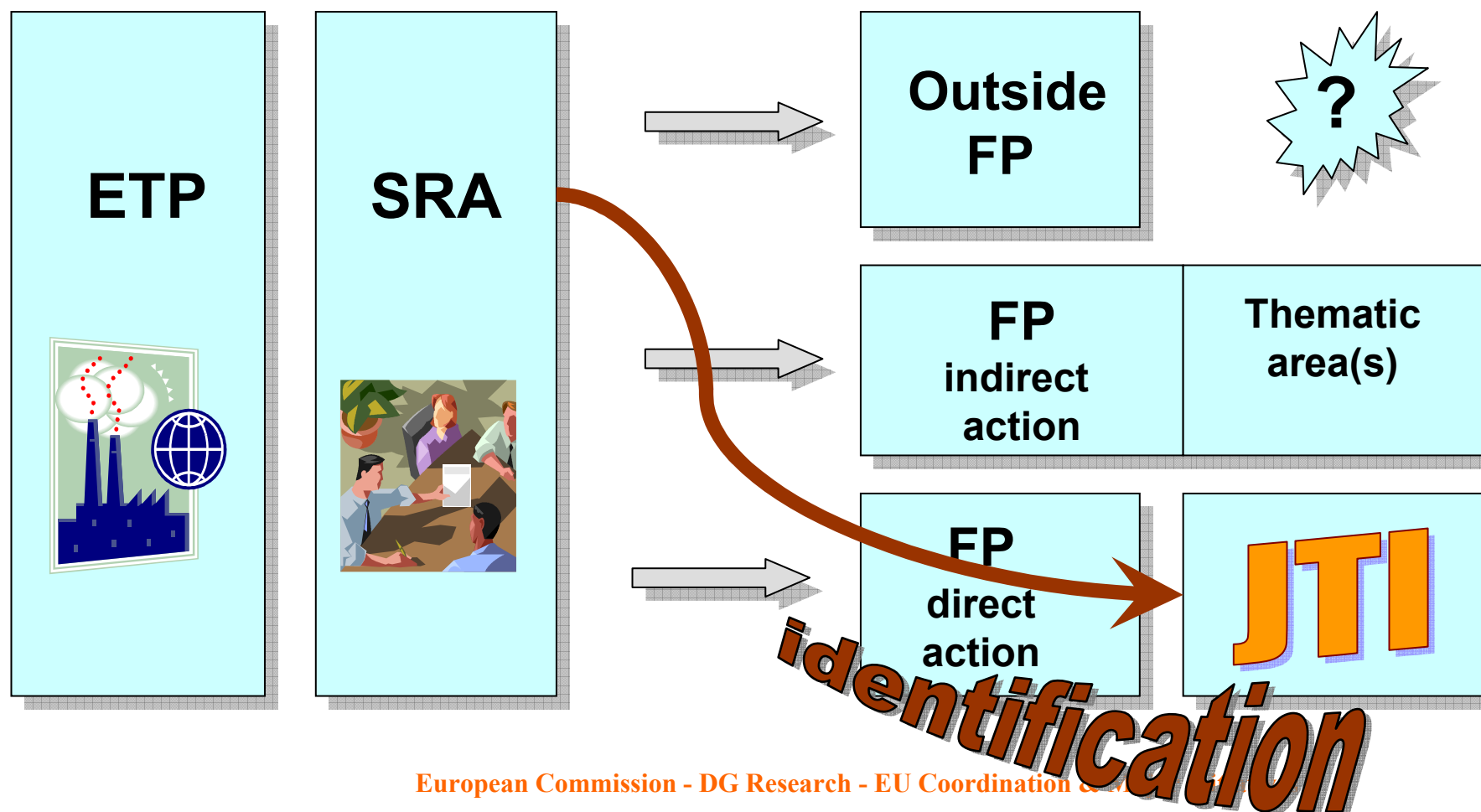


EUROPEAN
COMMISSION

Community research

JTI
JTI

From a European Technology Platform ... to a JTI



European Commission - DG Research - EU Coordination & Support



EUROPEAN
COMMISSION

Community research

Identification criteria

Decision 1982/2006/EC FP7

JTI
JTI

- **Added value** of European-level intervention
- Degree and clarity of definition of **objective**
- **Strength of commitment** from industry
- Scale of impact on industrial **competitiveness** and growth
- Importance of contribution to broader **policy objectives**
- Capacity to attract additional national support and **leverage** industry funding
- **Inability** of existing instruments to achieve objective

European Commission - DG Research - EU Coordination & Major initiatives



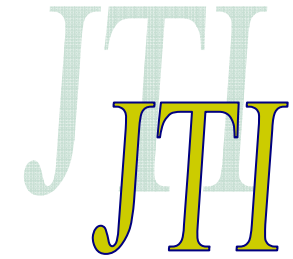


EUROPEAN
COMMISSION

Community research

General principles

COM(2005) 800 of 10.06.2005



- No 'one-size-fits-all' approach ...
 - nature of technological challenges vary
 - stakeholder relations differ
 - tailored financial engineering needs
- ... but inspired by common principles
 - Principle of efficiency and durability
 - Principle of long-term stakeholder commitment
 - Principles of openness, transparency and cooperation



EUROPEAN
COMMISSION

Community research

JTI
JTI

Common features

- ❑ founding members: industry and EC (*and ...*)
- ❑ financial contribution of the EC: max. 50%
- ❑ legal entities set up under Article 171 of the EC Treaty
- ❑ governance structure (*Joint Undertakings*)
- ❑ decision-making mechanisms (*vote and veto rights*)
- ❑ Community bodies (*framework Financial Regulation for Community bodies*)



EUROPEAN
COMMISSION

Community research

JTI
JTI

Common features

- ☐ Programme and projects (*Calls for proposals*)
- ☐ Peer evaluation of proposals
- ☐ Attention to SMEs
- ☐ Preparatory period (*Article 16 of the Regulations*)
- ☐ Finite period of 10 years
- ☐ Reporting



EUROPEAN
COMMISSION

Community research

Common features: *Governance structure*

JTI
JTI

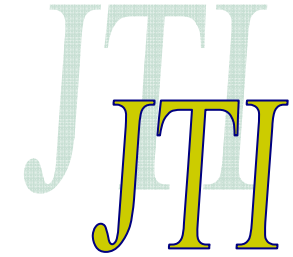
- bodies of the JU
 - Governing Board
 - Executive Director (*and staff*)
 - Public Authorities Board (ARTEMIS / ENIAC)
- external advisory bodies
 - States Representatives Group (IMI / Clean Sky / FCH)
 - Scientific Committee, Forum, ITD Steering Committees



EUROPEAN
COMMISSION

Community research

Community bodies *but ...* *public-private partnerships*



- Implications include:
 - EC Staff Regulations
 - EC Protocol on Privileges and Immunities
 - EC framework Financial Regulation
 - Budgetary discharge by the European Parliament
- With some flexibility
 - Derogations to framework Financial Regulation
 - Implementing Measures of the Staff Regulations, *e.g. flexibility in staff recruitment procedures*
- FP Rules for Participation do not apply, *but FP used as a basis*
 - Model grant agreement
 - IPR
 - In-kind contributions (i.e. own resources)

European Commission - DG Research - EU Coordination & Major initiatives





EUROPEAN
COMMISSION

Community research

JOINT TECHNOLOGY INITIATIVES

JTI
JTI



Specificities

1. General
2. Specificities
3. Launch
4. Lessons

European Commission - DG Research - EU Coordination & Major initiatives





EUROPEAN
COMMISSION

Community research

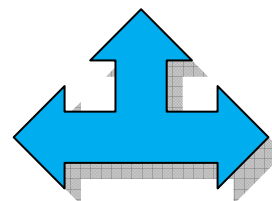
Partners



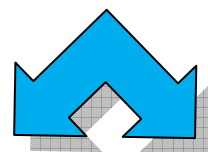
Industrial founding
members *with research
organisations*

JTI
JTI

Industrial founding
members

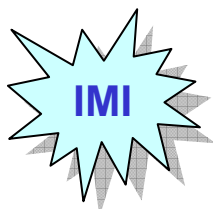


Industrial founding
members *with
participating States*



Industrial founding
members *via a
Federation*

Industrial founding
members *as
companies*



European Commission - DG Research - EU Coordination & Major initiatives





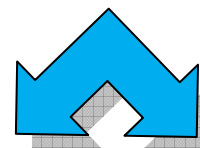
EUROPEAN
COMMISSION

Community research

Calls for Proposals

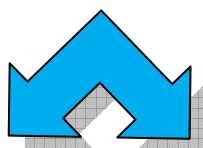
**Approach to Calls
for Proposals**

JTI
JTI



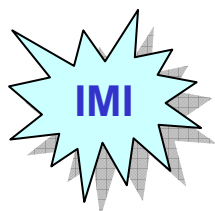
**Implementation of the
entire budget**

**Implementation of
part of the budget**



**Industrial founding
members **not eligible**
for the EC contribution**

**Industrial founding
members **eligible**
for the EC contribution**



European Commission - DG Research - EU Coordination & Major initiatives





EUROPEAN
COMMISSION

Community research

JTI
JTI

Participation of non- Member States/Associated Countries: in the Joint Undertaking

	IMI Clean Sky	FCH	ARTEMIS ENIAC
Participation of States	Not foreseen	Not foreseen	Yes <i>upon acceptance</i>
Participation of legal entities	Not foreseen	Not foreseen	Yes <i>upon acceptance</i>



EUROPEAN
COMMISSION

Community research

JTI
JTI

Participation of non-Member States/ Associated Countries: in the research projects

	IMI Clean Sky	FCH	ARTEMIS ENIAC
Participation of legal entities (without financing)	Yes <i>upon acceptance by the Board and conditions</i>	Yes <i>upon conditions</i>	Yes <i>(for the first call: upon conditions)</i>
Participation of legal entities (with financing)	Yes <i>upon conditions</i>	Yes <i>upon conditions</i>	Not foreseen <i>(for the first call: No)</i>



EUROPEAN
COMMISSION

Community research

Facilitating SME participation

JTI
JTI

Specific measures taken to facilitate SME participation include:

- **IMI:** 100% of research funding for academia, SMEs, patient organisations & other non-for-profit legal entities
- **Clean Sky:** 22 SMEs selected as Associates in 1st call; 2nd call is underway and further calls will be organised
- **ARTEMIS / ENIAC:** SME 'chamber' in industrial grouping, lower membership fee & represented in Steering Board
- **FCH:** Seat allocated in Governing Board; lower fee for small and micro-companies

European Commission - DG Research - EU Coordination & Major initiatives





EUROPEAN
COMMISSION

Community research

JTI
JTI

Reporting to Member States

- **IMI, Clean Sky & FCH:**
 - States Representatives Groups are responsible for disseminating information at national level
 - SRGs keep thematic NCPs informed
- **ARTEMIS & ENIAC:**

Member States involved as founding members
=> represented in JU decision-making bodies



EUROPEAN
COMMISSION

Community research

JTI
JTI

JOINT TECHNOLOGY INITIATIVES

Launch

1. General principles
2. Specific objectives
3. Launch
4. Lessons



European Commission - DG Research - EU Coordination & Major initiatives



EUROPEAN
COMMISSION

Community research

Putting into action

JTI
JTI

- Article 16 of the Council Regulations:
the Commission shall be responsible, in collaboration with the founding members, until the JU has the operational capacity to implement its own budget
- Actions to be taken during the preparatory period:
 - *Interim Executive Director*
 - *Staff recruitment*
 - *Location of the Joint Undertakings*
 - *Service Level Agreements*
(DG ADMIN, BUDG, DIGIT, EPSO, OIB, PMO)
 - *Bank account*
 - *Use of EC funds, industry will be invoiced later*

European Commission - DG Research - EU Coordination & Major initiatives



LAUNCH

Community research

governance

Nomination of Board Members
Rules of procedure
Interim Executive Director
EC position in Board
Acceptance of the Statutes

Annual work programme
Text of calls and related documents
Financing decision
Publication
IT support

Amending budget 2008
Preliminary Draft Budget 2009
Financial Rules of JUs
General Financing Agreement

Establishment plan
Implementation of the Staff Regulations
Executive Director
Accounting Officer and other staff
Buildings and host site agreement

calls for
proposals

budget

Art.
16

secretariat

JTI

autonomy

Major initiatives





EUROPEAN
COMMISSION

Community research

JTI
JTI

A sustained pace ...



*Commission proposals
May 2007*

*Council Regulations
December 2007*

*Legal entities
February 2008*

*First Calls for Proposals
April - May 2008*



European Commission - DG Research - EU Coordination & Major initiatives



EUROPEAN
COMMISSION

Community research

Work Programme 2008

JTI
JTI

- Launch of first Calls for Proposals

- **IMI** (*in two stages*):
- **ARTEMIS / ENIAC**:
- **Clean Sky**:
- **FCH**:

30 April 2008

8 May 2008

foreseen end 2008

foreseen autumn 2008

138
proposals
123 mio €

27/12
proposals
35/32 mio €

- IT systems for Calls
- Accounting systems
- Autonomy of JUs (*capacity to implement their own budgets*)

European Commission - DG Research - EU Coordination & Major initiatives





EUROPEAN
COMMISSION

Community research

JTI
JTI

JOINT TECHNOLOGY INITIATIVES

Lessons

1. General principles
2. Specificities
3. Launch
4. Lessons



European Commission - DG Research - EU Coordination & Major initiatives



EUROPEAN
COMMISSION

Community research

Mutual learning



- Looking back on very few examples
- Drawing lessons on three levels:

1. General approach

- No 'one-size-fits-all'
- Define common denominators ...
- ...and possible differences

2. Legal bases

- JTIs as public-private partnerships
- JTIs as Community bodies
- Other forms of partnership ... (Infrastructures?)

3. Selecting priority areas

- Role of industrial ETPs and of the Council
- Balance FP / externalisation





EUROPEAN
COMMISSION

Community research

JTI
JTI

Externalisation?

- ❑ **Two Executive Agencies**

€7,5 billion for the ERC and €7,0 billion for the REA

- ❑ **JTI**

€3,14 billion for the five initiatives

- ❑ **ITER**

€1,155 billion from Euratom

- ❑ **Art.169**

€0,49 billion (subject to outcome of co-decision process)

=> Nearly €20 billion from FP7 spent via indirect centralised management





EUROPEAN
COMMISSION

Community research

JTI

For more information



<http://cordis.europa.eu/fp7/jtis>