

2. Goals pursued by the New Instruments

In general, there is broad agreement with the goals for which the New Instruments have been created. There is however a high level of scepticism whether the New Instruments are adequate for certain goals particularly:

- stimulate scientific risk taking,
- simplify administration,

and concern as to adverse effects like the higher difficulty for new research groups to emerge.

Table 2.1: Opinion on the goals pursued (n=275) (on 5-points scale, whereby 5 = fully agree)

Statement	Successful n=130	Unsuccessful n=145
Creating critical mass is a goal worth pursuing and will enhance the efficiency of research in the EU	4.2	3.7
Durable integration of research means and teams will contribute to creating critical mass and efficiency	4.1	3.6
A more flexible implementation will lead to higher efficiency of EU research funding	4.3	4.2
Administrative simplification through larger size projects is a goal worth pursuing in order to enhance the efficiency of EU research funding	3.6	3.1
The trend to bigger projects and consortia will lead to reduced competition among research groups	2.7	2.8
The trend to bigger projects and consortia will make it more difficult for new research groups to emerge	3.5	3.9
The trend to bigger projects and consortia will stimulate scientific risk taking	2.8	2.7
The new instruments (iP and NoE) are adequate tools to implement the goal of flexible implementation	3.2	2.8
The new instruments (iP and NoE) are adequate tools to implement the goal of creating administrative simplification through larger size projects	2.7	2.6
The new instruments (iP and NoE) are adequate tools to achieve an efficient critical mass	3.8	3.3

Overall, respondents agree with the majority of the statements. On three important statements, however, there was disagreement both among successful and unsuccessful proposers:

- respondents do not agree that bigger projects and consortia will reduce competition among research groups (in the same proportion for successful and unsuccessful);
- neither do they believe bigger projects and consortia stimulate scientific risk taking;
- the new instruments are not regarded as adequate tools to create administrative simplification through larger size projects.

Opinions are split on the stimulation of scientific risk taking by the new instruments. A majority is giving negative scores, but there still is a significant group of respondents giving a positive score: 7 % of respondents fully agree with the statement.

Priorities where the group of respondents who 'don't agree at all' is the largest are priority 1 (with 29 % giving this extreme score) and Priority 6 (with 35 %). The split in opinions among respondents is the biggest in Priority 1, where 35 % of respondents still give a positive score (4 or 5).

Another important result is the expectation that the trend to bigger projects will make it more difficult for new research groups to emerge. The difference between successful (score of 3.5) and unsuccessful proposers (3.9) is high and can be explained by the difference in attitude. Still, 24 % of the successful proposers fully agree with the statement as formulated. As a comparison 43 % of the unsuccessful proposers fully agree with the statement. We did not notice any significant difference according to the type of respondent (university, research centre or industry) or the priority.

Differences in opinions between successful and unsuccessful proposers (where scores differ 0.4 points or more, marked in yellow) appear mainly on statements related with the creation of critical mass. Clearly, the unsuccessful proposers are less convinced that the new instruments can have a positive contribution to creating critical mass and efficiency.

Respondents are in favour of the objective to pursue a higher efficiency through more flexibility. They are however sceptical that this can be achieved through the new instruments:

Statement	Successful n=130	Unsuccessful n=145
A more flexible implementation will lead to higher efficiency of EU research funding	4.3	4.2
The new instruments (IP and NoE) are adequate tools to implement the goal of flexible implementation	3.2	2.8

The same applies to administrative simplification, where the 'negative' scores dominate for both the successful and unsuccessful proposers. The claim that the New Instruments would reduce the red tape is apparently not convincing. 20 % of all respondents answer 'don't agree at all' to the statement "*The new instruments (IP and NoE) are adequate tools to implement the goal of creating administrative simplification through larger size projects*".

Regarding the goal of critical mass, opinions are quite mixed on whether the New instruments contribute to the goal. Even if the average scores are 'positive' (3.8 and 3.3 – see above) to the statement, there is a large group who do not agree with the statement. Overall, 20 respondents (7%) said not to agree at all with this statement and more than 21 % gave a 'negative' score (don't agree or don't agree at all). Respondents from universities are the most negative: more than 35 % gave a negative score to this statement.

3. Proposal preparation

Survey results on the application process are showing that the New Instruments lead to a high level of "additionality":

Proposers are pushed to propose projects with a higher level of ambition and to involve more partners (from more countries) than they would normally do.

On the other hand, opinions of the coordinators and participants seem to prove that there are significant adverse effects, and that their behaviour as a reaction to the new instruments is not necessarily the most adequate:

Partnerships are enlarged artificially, proposals may also be artificially adapted to fit work programmes, and scientific risk taking would not be stimulated.

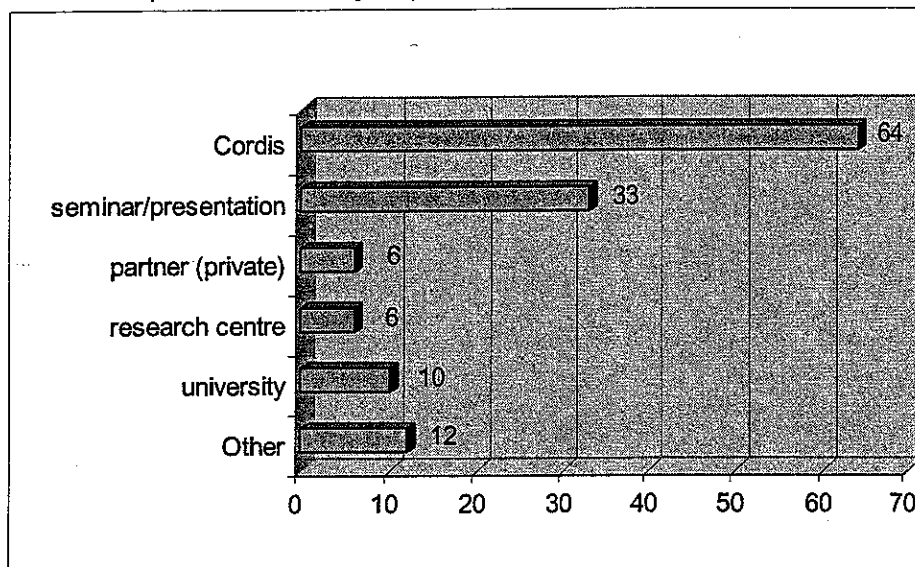
As mentioned above, most of the respondents to this survey played a leading role in the preparation of their proposal. Many of the respondents also mentioned multiple involvements in FP6, both as coordinator and as participant, sometimes of both NoE and IP.

Obtaining information

Table 3.1: Opinion on statements related to information (n=275) (on 5-points scale, whereby 5 = fully agree)

Statement	Successful n=130	Unsuccessful n=145
Obtaining full information about the new instruments has been easy and efficient	3.3	3.2
Information about the new instruments was clear and straightforward	2.9	2.8

Chart 3.2: Sources of information most used (multiple answers were possible – percentage mentioned corresponds to how many respondents mentioned this source) (n=275)



Respondents, due to their profile, should probably be considered as rather well informed and experienced in Community research. Cordis and participation in presentations on FP6 or the new instruments are clearly the two dominating sources of information.

The main sources mentioned among 'other sources' are direct contact with EC officials and National Contact Points.

There are no significant differences between successful and unsuccessful participants.

A university as a source of information is most mentioned in priority 1 (where most respondents are from universities).

Cordis has a lower penetration as a source of information in priorities 7 and 6.

Penetration of Cordis as a source is higher among SMEs and other type of organisations (public sector outside research, NGOs) than with universities and research centres.

Results on the statements mentioned in table 3.1 correspond to what could be expected. The novelty of the New Instruments and the learning process explain the lower score on the quality of the information. The relatively low scores on easiness and efficiency to obtain information is more surprising from experienced participants, but is also probably explained by the novelty of the New Instruments.

It is to be expected that these shortcomings will automatically be avoided in the frame of the successive calls.

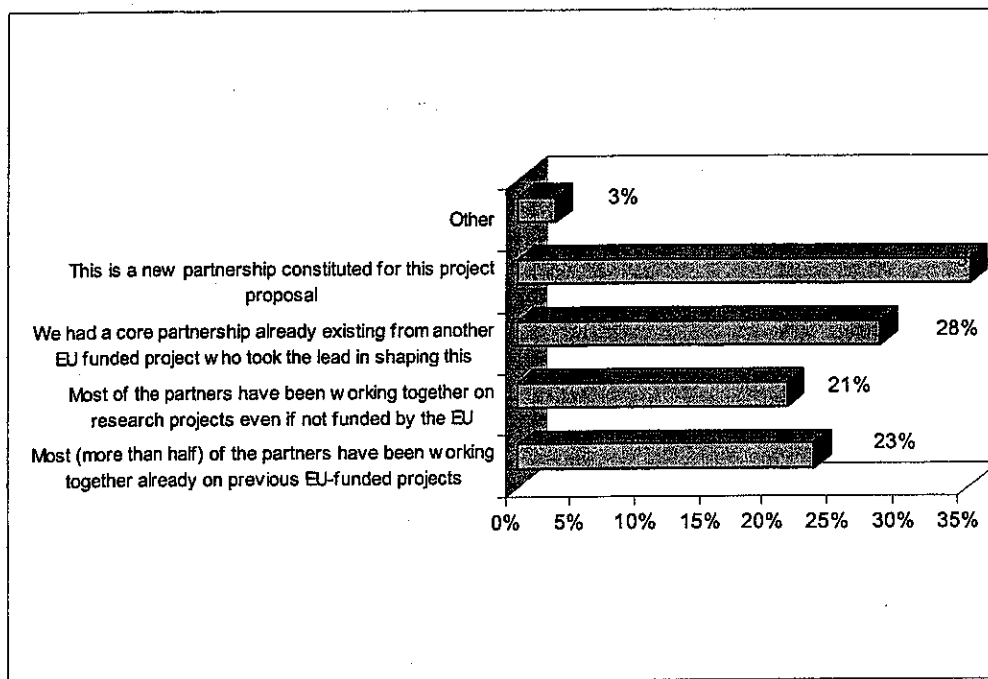
Consortium

Table 3.3: Opinion on statements related to finding partners (n=275) (on 5-points scale, whereby 5 = fully agree)

Statement	Successful n=130	Unsuccessful n=145
Finding potential project partners has been easy	3.8	3.7
Setting up a consortium for an IP/NoE and concluding (non financial) agreements with project partners does not pose major problems	3.1	3.1

Creating the partnership has not been a main problem as is proven by the average result to the statement "finding potential partners has been easy". The result of the second statement is however much lower and an indicator of a problem related to coming to agreements among consortium members. This can be interpreted as a consequence of the larger autonomy left to proposers in FP6, and therefore the need to adapt and find new ways of working together. This low average score is hiding the fact that respondents are split in two camps, those who consider they had no problems, and those with a different opinion. 30 % of respondents do not agree with the statement. This is an important group the size of which is the same over all priorities. However, there is a significant difference in response between coordinators and partners. Partners (of successful consortia) tend to give a negative answer to this statement (40 % both for IP and NoE against an average of 30 % for the full sample).

Chart 3.4 : In how far was the partnership shaped before starting the proposal preparation (multiple answers were possible – percentages correspond to the share of respondents indicating this answer) (n=275)



The above table shows that an important part of the consortia (for 35 % of the respondents) were created for the purpose of the project.

Application process

Statement	Successful n=130	Unsuccessful n=145
The Cordis database of EOIs on projects has proven very useful in the proposal preparation phase	3.1	3.0
The forms for proposal submission, as required by the Commission, are clear	3.4	3.5
The workload required of the project co-ordinator to prepare the proposal dossier is reasonable in relation to the budgets concerned	2.2	2.5
We had to adapt the research programme in order to fit with the work programme of FP6	2.8	3.3
The time / investment required of the project partners to prepare the proposal dossier is reasonable in relation to the budgets concerned	2.6	2.8
The time foreseen by the Commission between opening and closing date of a Call is realistic	3.5	3.0

The average scores obtained on the different statements are overall lower than '4', indicating that there is scope for improvement in this area. The most important element of criticism from the part of project proposers is the workload required of the project co-ordinator to prepare

the proposal, which is generally considered as not reasonable in relation to the budgets concerned.

On two statements, there appears a significant difference in opinions among successful and unsuccessful proposers (where scores differ 0.4 points or more, marked in yellow) :

- a majority of the unsuccessful proposers (54 %) confirm they had to adapt the research programme in order to fit with the work programme of FP6, whereas this proportion amounts only to 36 % of the successful proposers;
- whereas 59 % of the successful proposers agree that the time foreseen by the Commission between opening and closing date of a Call is realistic, only 40 % of the unsuccessful proposers share this opinion.

The fact that proposers are adapting their research programmes to fit the work programme of FP6 is not necessarily negative. It can be a sign that the research programmes are more ambitious on the one hand, or it can be a sign that they are making adaptations to maximise the chance of funding, even if the changes made are not necessary from a scientific point of view. On this item again, the respondents are split into two groups. Those answering negatively (meaning they did not adapt their research programme) is a group of 30 % of all respondents, the group answering positively is a group of 45 % of respondents.

This adaptation of the work programme seems to happen:

- more often for NoEs than for IPs;
- more often for priority 3 and 6 than for other priorities.

Table 3.5: Opinion on the added value of the application process (n=275) (on 5-points scale, whereby 5 = fully agree)

Statement	Successful n=130	Unsuccessful n=145
It is an unnecessary burden that reduces the time available to do research	2.8	3.0
It helps in defining ambitious goals	3.6	3.4
It forces us to find new partners and extend our networks	3.5	3.7
It creates artificially large partnerships	3.2	3.7

As the table shows, there are no significant differences in opinion among successful and unsuccessful proposers where the added value of the application process is concerned. Both groups tend to agree that the application process helps in defining ambitious goals, finding new partners and extending their networks. However, a majority of the respondents (61 %) at the same time considers that the application process also creates artificially large partnerships.

Additionality¹²

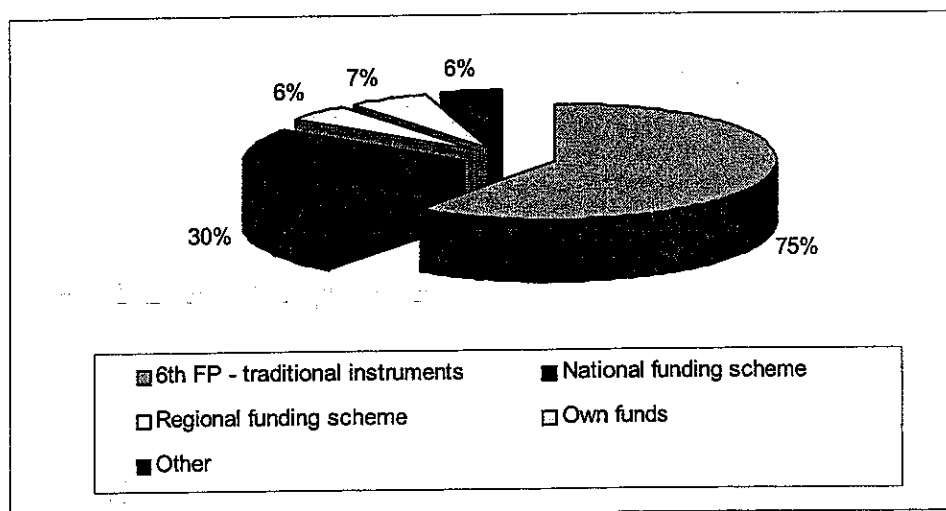
Respondents were also asked what would have happened to their RTD project if an 'Integrated Project' or a 'Network of Excellence' had not existed under the 6th Framework Programme.

While 5 % said not to have an opinion, 43 % stated it is (very) unlikely that a comparable project would have been submitted through other means. Looking at the different thematic areas, this share was considerably higher (75 % stating it is (very) unlikely) for 'Food Quality and Safety'.

A very small majority (52 %) answered it is (very) likely that a comparable project would have been submitted through other means. This proportion amounted to 67 % for thematic area 'Nanotechnologies and nanosciences, knowledge-based multi-functional materials and new production processes and devices'.

Those respondents who answered it is (very) likely, were asked under which scheme they think the project would have been submitted. On this question, 72 % of the respondents stated that the project would probably have been submitted as a traditional instrument under the 6th FP. Results are shown in the chart below. No significant differences appeared when looking at the answers of successful and unsuccessful applicants.

Chart 3.6 : Scheme under which the project might have been submitted alternatively – multiple answers were accepted (n=140)



Respondents who answered it is (very) likely they would have submitted their proposal to other funding mechanisms, were also asked in how far the project would have been changed. Their answers appear in the chart below (next page).

¹² The concept of 'additionality' is used to justify the use of taxpayers money. The question to answer is what would have happened if no European public funds would have been made available : would the project or activities have taken place, and in which form ? Measuring additionality is consequently difficult, because it is trying to know what would have happened in another situation.

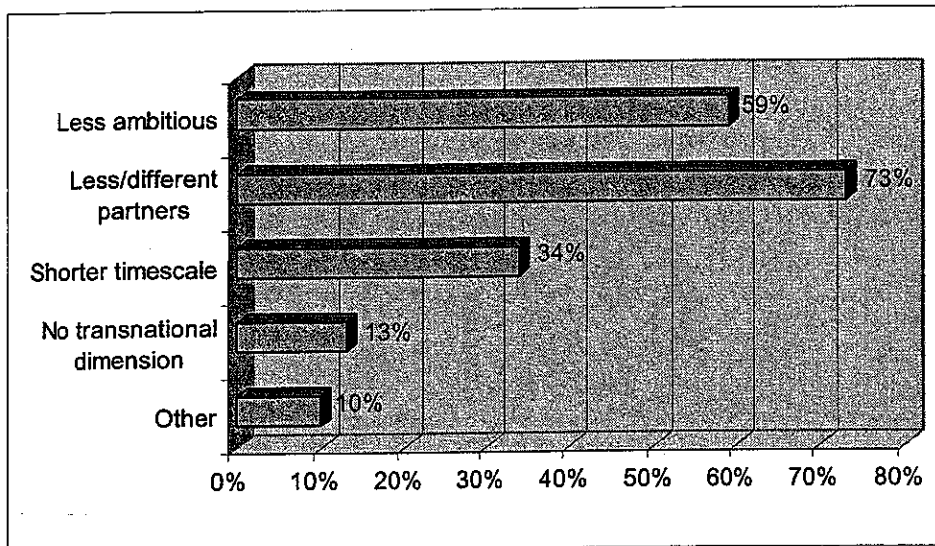
These results confirm that projects submitted under the New Instruments have a higher level of ambition. The fact that they would be submitted with less/different partners is probably directly linked to this level of ambition. The question that these results raise is also in how far the partnerships are not artificially inflated to fit the criteria of the New Instruments, as perceived by the participants.

There are significant differences between successful and unsuccessful proposals:

- for the transnational dimension. More of the successful proposals would not have a transnational dimension (17 % against 10 % for unsuccessful proposals);
- more successful proposers expect their proposal would have been less ambitious (66 % against 55 % for the unsuccessful).

Among the successful proposers, there are significant differences between NoE and IP: None of the NoE coordinators mentioned there would be an absence of transnational dimension in their alternative proposal; nearly all coordinators of NoE said their project proposal would be less ambitious; only one in ten of the NoE coordinators said they would have less/different partners.

Chart 3.7: Main differences in implementation between project submitted as IP/NoE or through another funding mechanism (n=140) – Results are in % - multiple answers were possible.

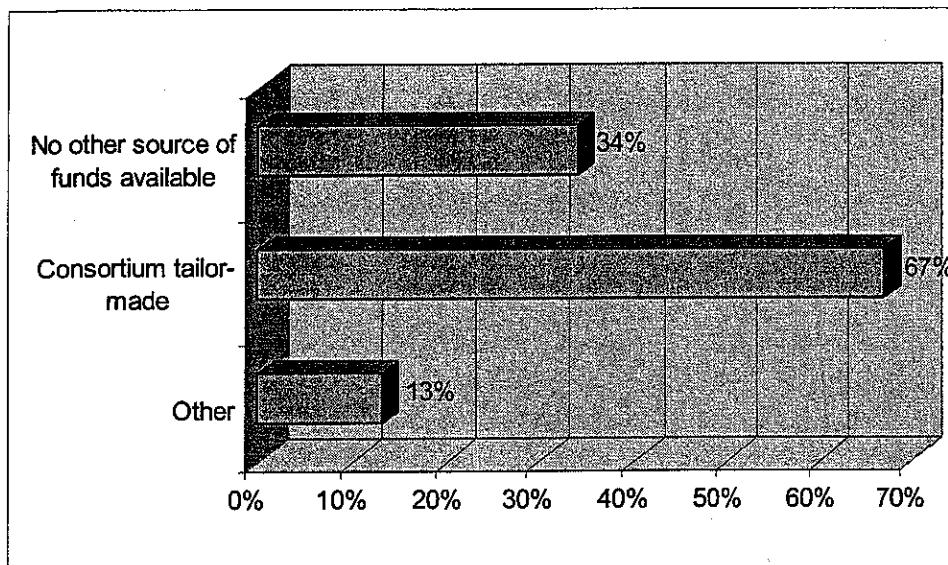


Differences among the priorities are rather minor. Some significant differences are:

- shorter timescale was answered by only two of the 29 respondents of priority 1;
- absence of transnational dimension is answered by only 2 of the 46 respondents of Priority 2.

As mentioned above, respondents were asked what would have happened to their RTD project if an 'Integrated Project' or a 'Network of Excellence' had not existed under the 6th Framework Programme. Those who answered (very) unlikely to the question whether the project would have been submitted through other means, were asked why.

Chart 3.8: Main reasons why project would not have been submitted to another source of funding (n=108) – Results in % - Multiple answers possible



No significant differences are noticed between successful and unsuccessful projects, nor between NoE and IP or by priority.

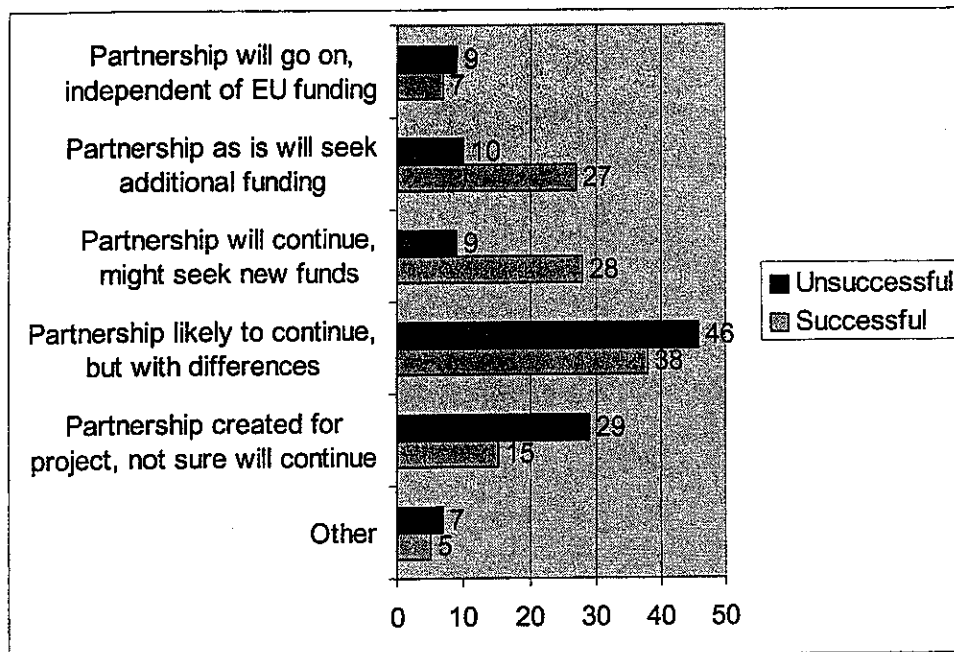
Future of the partnership

Another question asked to all participants, was their expectation as to the future of their partnership.

The different answers proposed were formulated as follows (answers are shortened in the charts below):

- The partnership will go on, independently of funding by the EU
- The partnership, in its present form, will seek additional funding for additional tasks
- The partnership will continue after the project, and might seek new sources of funding
- The partnership is likely to continue, but under a different form (with less partners, or with partially other partners)
- The partnership has been created for this project and it is not sure it will continue after the project, or if the project funding is not secured
- Other

Chart 3.9: Expectation for the future of the partnership – (n=275) - Results in % - Multiple answers possible



Successful and unsuccessful proposers have answered this question from different perspectives and therefore results need to be interpreted differently.

For **unsuccessful** proposers, the proportion of partnerships that are likely to continue even if under different forms is high. Results show that 57% of consortia created in the context of unsuccessful proposals would continue in one form or another. This is a high additionality effect of the application process.

For the **successful** proposers, the interesting result is that a large group plans to seek additional funds either during or after the project (both more than 25 %). Results on this question also confirm the 'inflation' in the consortia for new instruments.

16 % of successful proposers do not expect this consortium to continue after the project is finished and 42 % expect it will continue but at this early stage they already expect it will be under a different form. These two percentages are high.

Continuation of the partnership under its present form seems to be higher with NoE, probably due to the "durable integration" requirement, than with IP projects:

- 36 % of NoE coordinators expect they will seek additional funding during the project, against 23 % of IP coordinators
- 42 % of NoE coordinators expect they will continue with their network after its end (after the end of the funding period) and they will seek additional funding for this, against 25 % of IP coordinators.
- Only 1 of 36 NoE coordinator said not to be sure the network would continue, against 16 % of the IP coordinators.

4. Evaluation and contracting process

The high level of dissatisfaction regarding the process transparency is surprisingly high for successful proposers. This is a sign that there is still significant room for improvement.

Questions on this subject were asked only to the successful proposers, as they had the most comprehensive experience. This should be taken into account when interpreting results.

Table 4.1: Opinion on different aspects related with the evaluation and contracting process (n=130 – only successful proposers answered this question) (on 5-points scale, whereby 5 = fully agree)

Statement	Successful proposers n=130
Funding by FP6 can be a determinant factor to obtain funding from other sources	3.5
Feedback provided by the EC confirms the evaluation is done adequately and professionally	3.4
The foreseen evaluation process is appropriate for the new instruments	3.3
I believe decisions taken by proposal evaluators are adequate and fair	3.3
I am satisfied with the comprehensiveness of the feedback received on the evaluation of my proposal	3.3
The evaluation process is fully transparent	2.9
Proposals with similar or complementary goals and methods, and similar rankings, should be encouraged to merge, and only the merged proposals should be funded	2.9
The time taken for evaluation could be longer than what it is now as very large projects need to be evaluated thoroughly	2.7
In comparison to the evaluation process of other funding agencies, the evaluation process of FP6 is superior	2.7
The final decision by the Commission services after negotiation has been consistent with the evaluation report	2.6
Contract negotiation was smooth and efficient	2.6
The evaluation criteria, as we have interpreted them, have inhibited taking research and scientific risks in our research programme	2.5
In comparison to the evaluation process of previous FPs, the evaluation process of FP6 is superior	2.5
Proposals who scored above the threshold should have been funded even if at the expense of reducing the funds of the higher ranked projects	2.5

The average 'no reply' rate on each of the statements proposed to the respondents has been 9 %. The above table shows that respondents overall are rather unpronounced in their opinions with regard to the evaluation and contracting process. Still, with a majority of the statements receiving average scores below '3', one can conclude that several aspects of the evaluation and contracting process need to be looked at carefully in order to improve on the present situation.

Following elements notably are criticised, with significantly higher (very) negative scores:

- the transparency of the evaluation process : 34 % of the respondents (strongly) disagree that the evaluation process is fully transparent;
- the smoothness and efficiency of the contract negotiation : 31 % of the respondents (strongly) disagrees that this process was smooth and efficient;
- the comprehensiveness of the feedback : 27 % of the respondents declared not to be satisfied (at all) with the comprehensiveness of the feedback received on the evaluation of their proposal.

Looking at the thematic areas, the highest rates of (very) negative scores were obtained in 'life sciences, genomics and biotechnology for health'; and in 'sustainable development, global change and eco-systems'.

5. Efficiency

New Instruments are perceived as likely to improve the efficiency of the actions supported.

Table 5.1: Opinion on different aspects related with efficiency (n=130) (on 5-points scale, whereby 5 = fully agree)

Statement	Successful proposers n=115
By the fact that more management responsibility is given to the consortium in case of an IP / NoE, a higher efficiency will be achieved	3.8
I believe that the provisions and requirements of the Commission for project funding (including monitoring, financial controls, reporting required, etc.) ensure proper accountability	3.7
The flexibility at the level of work programme and budgets of IPs and NoEs will lead to higher efficiency	3.8
The research proposals (work packages, etc.) were detailed enough as to guarantee an efficient follow-up of the approved projects	3.9
Budget provisions were detailed enough as to guarantee an efficient follow-up of the approved projects	3.6
It may be efficient to follow up on some close-to-win projects for future calls	3.6

The average 'no reply' rate for the above statements has been 14 %, probably due to the fact that these respondents consider it is still too early in the process to express themselves on these issues since the major part of the negotiation processes were still under course when the questionnaire have been filled out.

The majority of those respondents who did give their opinion, however, agreed with each of the statements given. No significant differences can be observed when looking at the different thematic areas.

6. Comparison with FP5 and traditional instruments

Opinions are clearly in favour of a continuation of the co-existence, with a significant group that would prefer traditional instruments to be enhanced.

A question was included to verify the previous experience of respondents with EU RTD.

The results are given in the table below.

	No reply	Once	More than once	Never
Have been coordinator of a project funded by EC RTD in the past	10%	22%	32%	36%
Have been a participant	11%	10%	59%	20%
Have applied unsuccessfully	20%	15%	38%	27%

The Experience level of successful participants is significantly higher as from unsuccessful applicants. This result is not surprising.

Of the 145 unsuccessful applicants, 31 have answered 'never' on all three questions above. For the 115 successful applicants, this figure is 14 only.

Table 6.1: Comparison of an IP / NoE as an instrument with a traditional shared cost research project in previous FPs (n=230, those who have previous experience with EU RTD) (on 5-points scale, whereby 5 = much higher / better with new instruments than with previous instruments)

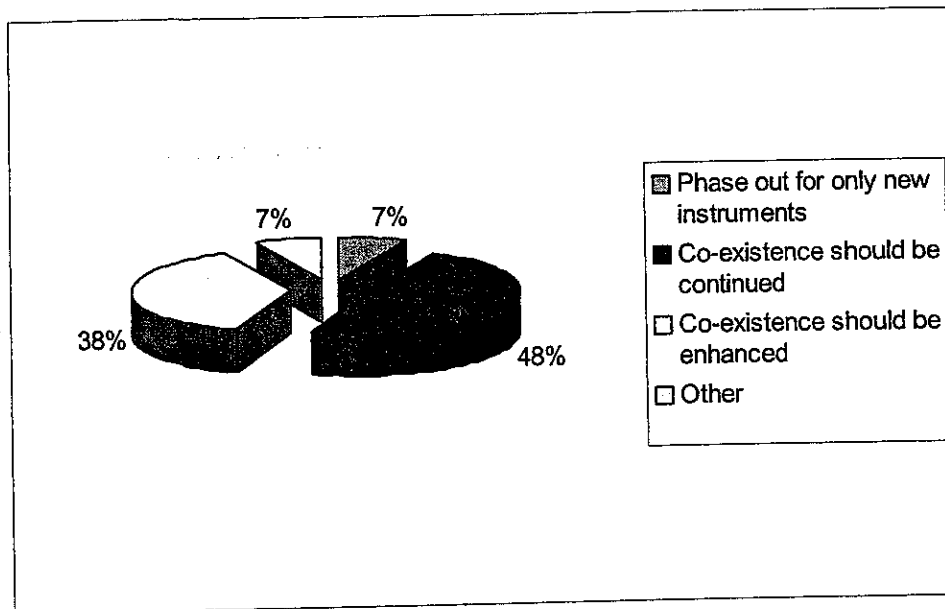
Statement	Successful n=116	Unsuccessful n=114
The possibility to fit the needs of my organisation	3.1	2.6
The share of time needed from the co-ordinator for management issues	4.0	3.8
The level of ambition	4.1	3.9
The level of risk-taking (scientific and other risks)	3.6	3.3
The level of flexibility allowed in the course of the project (in terms of size of the consortium and content of the project)	3.8	3.5
The level of bureaucracy	3.3	3.5
The level of complexity of IPR issues	3.7	3.8
The level of cost-efficiency for the project co-ordinator	3.0	2.9

The chart below gives the average result regarding the **co-existence of new instruments with traditional instruments**. There are significant differences between the successful and unsuccessful applicants. Those considering traditional instruments should be enhanced represent 28 % of the successful applicants, and 47 % of the unsuccessful.

There are no significant differences according to thematic priorities on this subject. When looking at the type of organisation of the respondent, research centres and universities are slightly more in favour of enhancing the traditional instruments than private sector organisations.

Other answers mentioned are a mix of opinions: some linked to the bureaucratic burden, one is pro NoE but against IP, or suggesting to create a European Research Council.

Chart 6.2: Opinion on co-existence of new instruments with traditional instruments (n=230) – Results in %



Annex 3

High level Panel of experts for the evaluation of the impact of the FP 6 New Instruments

Hearing of participants Rome – Prague – Munich

Annex 3 to the report of the High Level Expert Panel

I. Factual issues

Participants

- All three hearings were mixing both **successful and unsuccessful** participants. This has not really been a problem as participants were very experienced and had often been involved in many proposals over time.
- The mix between academia, research centres and industry was different in each group. Overall, there was a good balance. SMEs were clearly underrepresented through these hearings. Academia was rather dominating in Prague and Rome. Munich was probably the best balanced participation.
- Although all participants demonstrated a **good level of knowledge** of the FP mechanisms, there was a significant difference between participants from EU Member states and from New Member States. Participants in Prague had a different type of experience, as partner rather than as coordinator, as institutions learning how to participate, rather than as main actors or initiators.

Discussion

The discussions were always open and frank.

Regarding the status of the Panel, it was necessary to underline the independence of the Panel, some participants being convinced that it was depending on the Commission itself.

II. Issues related to the application

Main points made

- **“Evolving character”** of the information, in particular regarding the size of projects (partnership, cost, contribution), the definition of IPs and NoEs, the definition of the “level of ambition” expected;
- Impression that there exist **inconsistencies** between the “official” information and the “unwritten” one which can only be known via a direct contact with EC officials
- These impressions often resulted in a **perception of the New Instruments** as having implicit requirements regarding (large) size and (spread) composition. Such perceptions shaped the applications.
- **Mixed views regarding the role of the EOI** and, in particular, in their role in defining the final Work Programmes. While for some participants there was a good match between EOI, WPs and their proposals, for many others the process was not transparent and lead to inefficient adaptations of proposals to the detailed WPs.

- The **difficulty to reduce the size of consortia**: based on first information received and also the EOI exercise, consortia were sometimes very large. It is very difficult later on to reduce. This has led to management problems consortia which are bigger than necessary.
- The **high level of responsibility for the coordinator** to organise the application process.
- The level of investment for the preparation of a proposal. Examples of costs mentioned were all (well) above 100 000 Euro, and up to 1.2 million Euro (in particular given the low expected success rate).
- Various examples were given of the **difficulty to involve SMEs**. There are barriers to their participation (availability of 1 or 2 experts to prepare the proposal; difficulty to plan over 4 year period) and they seem difficult to motivate for participation.

Why is industry more reluctant:

- Lower average grant per participant per year in FP6
- The large size of consortia is creating barriers: less focus, results are less concrete, risks associated with managing such projects
- Lack of strategic character of many proposals.
- Large industry is approached by scientists to take a management role (IPs). They tend to refuse due to the high responsibility and risks.
- SMEs are difficult to involve: low motivation is the main barrier, coupled to limited resources (both for preparing the application and for execution).

Direct contact with EC officials is a major source of information in the preparation process, mainly resulting from the conviction of several participants that there are "additional rules" which they need to know when preparing their proposal.

III. Issues related to the evaluation process

Main observations

- The participants mentioned a **good quality level** of the evaluation process. However, no consensus was reached regarding the feedback and in particular the satisfactory character of the **ESR** (evaluation summary report). In Prague, the need to receive a feedback that allows learning and improving was expressed even more strongly.
- There is consensus on the fact nothing better exists than a peer review, but concerns were expressed regarding the **selection of evaluators** given that, for the new Instruments it is not easy to find Europeans which are impartial and outside the EU it is not necessarily easy to recruit high quality evaluators.
- Mixed views regarding the **two stage evaluation** (as applied by thematic priority 3, NMP). For some it was perceived as not having been efficiently implemented, while for others it was seen as a way to reduce unnecessary application costs. The principle to balance effort and chance of success is perceived as a necessary goal.
- The **budget cuts** were perceived as not linked to the evaluation result, and against the principle of the New Instruments.

Other observations:

- Suggestions were made as to invest in the training of evaluators. Examples were given of inconsistencies or examples of decisions showing misinterpretations of new instruments by evaluators.

- Frustration at the concept of hearing: this is a one way communication. The opportunity to correct misunderstandings through a dialogue or discussion is lost with this concept (Munich only).
- Difference in speed of decision-taking and feedback between priorities is not understood.

IV. Issues related to the negotiation phase

Main observations

- Criticism was expressed regarding the **unrealistic delays** conceded to the participants in order to provide information already supplied in another format;
- The "take it or leave it" approach of the negotiation was criticised;
- Some concerns were expressed towards the **dominating role taken by the coordinator** (Rome and Prague).
- Participants seem to consider that **bureaucracy** is rather increasing than decreasing, in particular for what regards the financial and contractual aspects.
- Consortium agreement and **Intellectual Property issues**: the higher level of autonomy has some adverse effects. The different interests of science based organisations versus industry and the two legal models (EU versus US) are now in direct confrontation. Not all (types of) participants are able to cope with this new situation. IPR related problems, as appeared in the Munich group, will become more and more of an issue.

V. Opinion on the New Instruments

As a rule, the global opinion on the New Instruments is positive; nobody is saying they should be discontinued. The overall opinion is that this is the right direction to help structure European Research.

Positive assessment

- **Adequacy of the goals** pursued and good means to achieve the ERA;
- Necessity to **maintain** the current range of instruments offered in order to ensure continuity;

Furthermore, participants mentioned that even if not selected, the **efforts** conceded were **not lost**, since the partnerships set up will continue and might re-submit other proposals in the future.

Criticism or problems identified

- New Instruments were too much identified as rewarding – and, possibly, requiring - large consortia. Given the success rate and the amount finally granted to successful proposals, the ex-ante expectations were seldom fulfilled.
- New Instruments seem more dedicated to large and strong organisations and difficult for smaller and newer teams.
- Size of projects and consortia is also leading to adverse effects: efficiency problems, new power games are emerging, scientists are not prepared nor equipped to manage

such large projects, size is not synonymous of higher risk or more innovative actions, etc.

- The "winner takes all strategy" which seems to have been often implemented, is criticised, in particular in areas where it is difficult to ex-ante choose the winners and where allowing for competition among different approaches might lead to better results.
- The New Instruments are not always the best solution. All depends on the aims pursued (e.g. competitiveness, structuring...) Structuring is not always the main goal that should be pursued. A large scale project is not always a necessity.
- Coordinators with the ideal profile are extremely difficult to find. Many of the statements were linked to the need for a coordinator to combine scientific excellence (a condition to be accepted as a coordinator) with management capabilities, flexibility (lack of bureaucracy) and having the right connections.
- The increased flexibility is perceived as positive. The restriction to the use of subcontracting is not understood. Sub-contracting allows involving expertise during the project which is not yet identified at the start. This is impossible with the New Instruments.
- New Instruments are leading to artificially large consortia (too many participants).

Necessity of continuation of traditional instruments

There was a strong opinion and consensus in all three groups that the traditional instruments should be continued and for most even enhanced. This is particularly necessary not to exclude smaller teams and in order to support more innovative actions.

VI. Specific questions to Networks of Excellence coordinators

Some **misunderstandings** obviously remain regarding NoEs, such as, mainly, the financial mechanism (establishment of the grant and use of the grant), and the concept of integration.

Those who have understood the concept agree this instrument is an excellent idea (but not per se suitable for industry). The main message is however that NoEs are not always the right instrument. Some prior conditions have to be met before you can start this type of integration process.

Annex 4 – Estimate of average contribution / year and participant – First calls of FP6

IP	PTA1	PTA2	PTA3	PTA4a	PTA4s	PTA5	PTA6.1	PTA6.2	PTA6.3	PTA7	Total
Total EU contribution proposed (000)	379200	626000	171600	124300	28970	81600	131000	155900	100070	8000	1806640
Total number of participants	907	1727	404	204	134	284	483	267	425	62	4897
average duration in years	5	3	5	5	5	5	5	5	5	5	5
average contribution/participant/year	83616	120826	84950	121863	43239	57465	54244	116779	47092	25806	73786
NoE	PTA1	PTA2	PTA3	PTA4a	PTA4s	PTA5	PTA6.1	PTA6.2	PTA6.3	PTA7	0
Total EU contribution proposed	123800	190000	92400	7500	6000	86400	26000	31600	39930	14000	617630
Total number of participants	551	1205	326	14	56	119	66	183	157	93	2770
average duration in years	5	4	5	5	5	5	5	5	5	5	5
average contribution/participant/year	44936	39419	56687	107143	21429	145210	78788	34536	50866	30108	44594

Comments:

This estimate was done based on information provided by the European Commission on the results of the first calls. The duration of projects was not provided and has been estimated. There is no comparable estimate done for STREPs in FP6 or for FP5 as no information was available to the Panel. Comparable information for FP5 was not found, but informal and partial sources mentioned averages that are quite similar to the averages mentioned above for IPs.