
**Austrian Position Paper
for the Negotiations
on the 7th EU Research Framework Programme**

23 November 2004

Imprint:
Federal Ministry for Education,
Science and Culture
A-1014 Vienna, Minoritenplatz 5

Internet: <http://www.bmbwk.gv.at>

All rights reserved. Extracts may only be reprinted
if they include a reference to the source.

Edited by: bm:bwk, EU Research Policy and Coordination Unit
(Christian SEISER, Martin SCHMID)
christian.seiser@bmbwk.gv.at
martin.schmid@bmbwk.gv.at

Vienna, 2004

Table of Contents

1. INTRODUCTION	5
1.1. The Preparation Process in Austria	5
1.2. General Objectives of the 7 th Framework Programme.....	5
<i>AUSTRIAN INTERESTS CONCERNING THE 7TH FRAMEWORK PROGRAMME</i>	8
2. MAIN AXES OF THE 7TH FRAMEWORK PROGRAMME	8
2.1. Collaborative Research ("Poles of Excellence").....	8
2.2. Technology Platforms.....	10
2.3. Basic Research	11
2.4. Human Resources.....	14
2.5. Research Infrastructures.....	16
2.6. Coordination of National Research Programmes.....	17
2.7. Security Research.....	18
2.8. Space Research	18
3. HORIZONTAL TOPICS OF THE 7TH FRAMEWORK PROGRAMME	19
3.1. Promoting Innovation	19
3.2. Supporting SMEs.....	20
3.3. International Cooperation.....	21
3.4. Science and Society	23
3.5. Women in Science	23
3.6. Foresight / Strategic Intelligence	24
3.7. Joint Research Centre (JRC)	25
4. (7TH) EURATOM FRAMEWORK PROGRAMME	25
5. BUDGET AND IMPLEMENTATION OF THE 7TH FRAMEWORK PROGRAMME	26
5.1. Budget	26
5.2. Instruments.....	27
5.3. Management	29
5.4. Administrative Rules and Procedures.....	29
6. RELATION TO OTHER POLICY AREAS RELEVANT TO RESEARCH	30
6.1. European Investment Bank (EIB).....	30
6.2. Structural Funds / Regional Dimension.....	30
6.3. Lisbon and Barcelona Objectives	31
6.4. EUREKA.....	32
6.5. COST.....	33

7. OUTLOOK ON THE NEGOTIATIONS..... 33

- 7.1. Common Position 33
- 7.2. Austrian EU Presidency 2006..... 34
- 8.1. *Statistical Results of the 6th EU Framework Programme as of 09/2004 (PROVISO)..... 35*
(PROVISO Data on Austrian Participation in the 6th Framework Programme)

1. INTRODUCTION

1.1. The Preparation Process in Austria

Work on preparing an Austrian position on the 7th Framework Programme was begun on 9 March 2004, with an invitation to a **brainstorming in writing** on the 7th Framework Programme. This invitation was sent to a wide section of institutions from research, science, business, and administration.

After the Communication from the Commission “Science and technology, the key to Europe's future - Guidelines for future European Union policy to support research“ had been published on 16 June 2004, the second step was taken in Austria: A **working symposium** was held on 28 June 2004, with the European Commission participating. In addition, **platforms** on several topics were set up in order to discuss specific issues. The opinions and the results of the symposium and of the platforms were eventually integrated into the preparation of the position paper on hand.

Discussion process in Austria

As soon as the European Commission submits its official proposal on the 7th Framework Programme, a **further symposium** is envisaged in Austria, with the widest possible participation of all interested parties, in order to discuss the substance of the measures planned.

1.2. General Objectives of the 7th Framework Programme

The European Union shares its competence in research funding with the member states. Austria acknowledges the necessity of European research Programmes, insofar as these European programmes prove to be of use in a way which cannot be better achieved at the level of the member states and their regions. Wherever research funding in a national or regional context appears to be more expedient, Austria is against additional activities at EU level (**observing the principle of subsidiarity**).

Avoiding duplication of national research policies

Two-step Examination (Objectives, Political Level of Activity)

As a first step, Austria will examine the European Commission proposals for the 7th Framework Programme with regard to whether they can make sub-

stantial contributions to achieving the following **general objectives** of research policy, independent of whether this happens through Community funds or at member state level:

- ✓ Promoting the competitiveness of European industry, in particular through increased cooperation of excellent research partnerships from science and industry;
- ✓ Promoting the scientific, economic, social and ecological basis of Europe within the framework of the Lisbon agenda;
- ✓ Promoting the framework conditions for private investment in research, technological development and innovation (Barcelona objectives);
- ✓ Promoting excellence in a Europe-wide competition of the best brains;
- ✓ Promoting cooperation and durable networking of research teams from different regions of Europe;
- ✓ Promoting the cooperation of Europe with global partners;
- ✓ Promoting EU projects which exceed the possibilities of an individual member state (critical mass);
- ✓ Promoting research on topics which investigate European or global challenges in the service of the European citizens;
- ✓ Promoting research on preparing and implementing Community policies.

Examining the general objectives

Each of the measures of the 7th Framework Programme must credibly pursue at least one of the objectives mentioned, for Austria to support it.

Examining the level of activity (EU / national / regional)

Where the general objectives are reflected in the measures of the 7th Framework Programme, it remains to be justified - as a second examination step - why a concrete measure is implemented in the 7th Framework Programme, and not at member state level.

In recent years, European research policy has increasingly made use of the **Open Method of Coordination (OMC)**. By means of this method, it is possible for the member states to implement their national and regional activities in coordination with each other, in order to achieve overall European objectives as a result. Therefore when submitting its proposal on the 7th Framework Programme, the European Commission has to give reasons why a proposed measure should be implemented through the Framework Programme rather

Open Method of Coordination

than through the member states by means of the Open Method of Coordination.

Austria expects the proposal on the 7th Framework Programme to embed the Community measures into the **concept of the European Research Area** in a well-founded manner. The European Research Area aims at opening up limited national and regional research zones in the long term, enlarging and supplementing research funds by European mechanisms, as well as coordinating the framework conditions of research policy within the European Union. The European Research Area is expressed in the Barcelona and Lisbon objectives. As a consequence, the European Research Area is interlinked with other Community policies, first and foremost the Financial Perspective and the European Structural Funds.

European Research Area

The Financial Perspective and the European Structural Funds will be decided for the period of 2007 – 2013. Austria is of the opinion that it is justifiable to adapt the 7th Framework Programme to this time frame. Some of the priorities planned for the 7th Framework Programme (Basic Research, Research Infrastructures, Technology Platforms) are long-term projects by their nature. This substantiates an extension of the duration of the 7th Framework Programme from a content-related point of view. A **seven-year duration** would, however, require an intermediate evaluation **of the Framework Programme** which would allow a rapid **adaptation** of the objectives, topics, instruments and resources to new challenges **in the year 2010** – without a formal co-decision procedure. This intermediate evaluation would have to be conducted under strong consideration of the interests of the member states and the European Parliament as well as of science and industry.

Duration of FP 7

2. MAIN AXES OF THE 7TH FRAMEWORK PROGRAMME

2.1. Collaborative Research ("Poles of Excellence")

The core task of the European Framework Programmes is promoting collaboration between researchers from different countries. This type of research funding supports research partnerships from different regions, sectors and disciplines.

Austria regards **Collaborative Research as the core** of the 7th Framework Programme. Collaborative Research should therefore also have priority with regard to the budget. Through Collaborative Research, a large number of researchers can experience European research policy in concrete terms. It creates access to knowledge and competence which could not be made accessible by national means alone, in particular for smaller member states and research units. It bridges the gaps between industry, SMEs, universities as well as private and public non-university research institutions, NGOs and public institutions successfully.

Central axis of FP 7

Special attention is directed to the selection of topics and instruments within this axis of the 7th Framework Programme particularly because Austria has the greatest interest in Collaborative Research.

Topics

From the Austrian point of view, the selection of the large topics of the 7th Framework Programme should be characterised by **continuity** with regard to the previous Framework Programme. Also in future scientific and technological research should continue to focus on the fields of life sciences, information and communication technologies, materials and production processes including nanosciences, transport, including aeronautics and space, non-nuclear energy, sustainable development, as well as the humanities, social sciences and cultural studies.

Continuity for thematic priorities

The topics of the 7th Framework Programme should be selected so as to be based immediately on the state-of-the-art in science and technological development. **Transdisciplinary and interdisciplinary research approaches**, such as those that have emerged e.g. through the development of Converging Technologies, deserve particular attention. From an Austrian point of view, a large field which has been paid too little attention in recent years is sustainable agriculture and the development of rural and urban areas.

The Collaborative Research axis should also include "Policy-oriented Research". In this respect, Austria is in favour of greater transparency with regard to the selection of the policy-relevant topics selected by the Commission and the reasons given for them.

Public research funding requires high ethical standards to be observed. In particular, Austria's attitude with regard to funding research on **human stem cells** is that adult stem cells are to be given absolute priority over funding research on embryonic stem cells.

Bioethics

In Austria and in many EU countries there are serious ethical concerns against therapeutical cloning, and in particular against reproductive cloning, of human embryos. These concerns have to be taken seriously. Therefore public funding of reproductive cloning is rejected in particular.

Instruments

Austrian participants in the 6th Framework Programme are against a radical change of the existing instruments. Austria endorses the respective recommendations of the "Marimon Report" which would like to keep the existing instruments, albeit in an improved form.

Improvement of instruments is required

In connection with the envisaged revision of the instruments "Integrated Projects" and "Networks of Excellence" in the "Collaborative Research" axis, Austria demands a clarification of the objectives, the scope and the content of the existing instruments. In addition, Austria calls for a delimitation of these instruments from the objectives and target groups of the "Technology Platforms" and "Basic Research" axes.

Austria proposes a share of at least **50% of the Collaborative Research funds for STREPs** (Strategic Targeted Research Projects), **SSAs** (Specific Support Actions) and **CAs** (Coordination Actions). In addition, the scope of Integrated Projects should be reduced, in order to make cooperation within the consortium and the management of such projects easier. The objectives of the Networks of Excellence have to be revised so as to enable these projects to achieve a realistic measure of "integration" and to support the involvement of industry in an appropriate form.

More funding for smaller projects

2.2. Technology Platforms

Funding technology platforms may be a practicable way to increase industry participation in the Framework Programme and to strengthen cooperation between industry, science and administration in the member states. Therefore the **Technology Platforms should focus on those topics which are of high economic importance** and which by their nature can be most effectively implemented at an overall European level. Where the share of industry is predominant, industry should also be given the leading role in managing the platform.

Concentration on platforms relevant to industry

It will be decisive for all Technology Platforms in the 7th Framework Programme to develop a **strategic research plan** which leads to research projects between the participants above all.

No platform without research

Austria has great interest in the following **framework conditions**:

- The financing of Technology Platforms must not be based exclusively on public funds (EU, EIB, national, regional), but has to contain an adequate funding contribution by industry (leverage effect);
- The costs for preparing Technology Platforms have to be in a justifiable relation to the expected benefit;
- Specific activities which are covered by Technology Platforms must not be duplicated by other axes of the Framework Programme; however, it may be expedient to fund supplementary measures through other axes of the Framework Programme;
- Mechanisms have to be provided which support the participation of small research units, in particular of SMEs;
- The platforms have to remain open to new participants (no "closed

Framework conditions

- shops"); therefore training measures, calls for access for additional partners as well as open IPR rules have to be provided;
- The responsibility for success and failure of Technology Platforms has to be assigned clearly ("accountability");
 - The member states should be fully informed in due time about all proposals concerning new Technology Platforms as well as all envisaged work steps and results of the Technology Platforms. The member states follow the work of the Technology Platforms in "mirror groups";
 - The rules for selecting and implementing the Technology Platforms have to be transparent for all participants and all interested parties; in implementation, special attention should be paid to making procedures as simple as possible and keeping red tape to a minimum;
 - In implementation, the existing instruments (Integrated Projects, ERANETS) should be applied above all; in few specific cases, the application of Art. 171 of the EC Treaty could be considered, however, the selection process has to be transparent and comprehensible, as for all Technology Platforms.

Austria will **examine** the proposals of **concrete Technology Platforms** by means of criteria (e.g. benefit for industry, for research institutions, public interest, leverage effect, critical mass, European added value, sustainability, etc.) and will bring its attitude into the negotiations on a case by case basis.

Examining concrete platforms by means of criteria

From the Austrian point of view, it appears to make sense to carry out **pilot projects** for individual Technology Platforms first. Ex-ante evaluation, accompanying monitoring as well as ex-post evaluation have to be ensured for these Technology Platforms. On the basis of experiences gained, it could be considered to expand this axis at a later stage.

Pilot phase

Cooperation between the Technology Platforms and EUREKA should be intensified, building on good-practice models. Some EUREKA clusters have already been integrated in the developing Technology Platforms.

2.3. Basic Research

There is far-reaching consensus about the fact that basic research secures the scientific basis and develops it further. Thus basic research is particularly important for increasing the competitiveness of Europe. The **concept of basic**

research refers to research that is **exclusively driven by the interest of researchers** and the dynamics of the sciences ("investigator-driven research").

Community efforts in this field should be strengthened by more money and by measures which help to overcome the fragmentation in research funding.

Competition between the best teams at European level has to be promoted.

A comparison with the United States shows that on the one hand Europe is investing too little in this field, and on the other hand that there is no Europe-wide competition for funds in basic research.

Austria therefore **supports the creation of a specific instrument for funding excellence in European basic research** in the next Framework Programme, as already proposed by the Commission in its Communication of 14 January 2004, and confirmed by the Council in its Conclusions of 11 March 2004. In this context, both the national institutions and the future European structure will be facing the challenge of defining a **sensible division of labour**. It would be inefficient if European and national funding competed for the same projects. This would not lead to the desired pooling of resources.

In the interest of such a distribution of labour between basic research funding at EU level and in the member states, it should be considered in how far the European Research Council (ERC) could carry out **mission-oriented priority activities, amongst others**. After consulting the strategic steering body to be created, such priorities would be defined bottom-up by the scientific bodies of the ERC.

It has to be clear that the European funding does in no way replace national basic research funding. It will also be possible to achieve the desired effects only if national funding for basic research is not reduced in exchange for European funding. Networking activities of national research funds also have to be expanded further at European level.

Furthermore the following points should receive attention:

- **The most important criterion** for selecting the projects to be funded must be their **scientific excellence**. The criterion of excellence is the only way to stimulate competition between the best research teams in Europe in order to increase European research competence. The distinctive feature to distinguish excellence at EU level from excellent basic research at national level should be that excellence at EU level should always have a

Promoting excellent basic research

Division of labour between the EU and the member states

Excellence as the most important criterion

European dimension: This could be either research topics that are significant for Europe, or the possible effects of the research projects on Europe.

- In many cases, it may be quite desirable for the projects to be transnational; however, this should not play any role in the selection procedure. The objective of strengthening the cooperation between the member states will have to be pursued through other instruments (e.g. ERA-NET, Collaborative Research).
- The research topics should be selected according to the "**bottom up**" **principle**. Limiting them *a priori* to specific research topics is not adequate to basic research. **All disciplines** should have the **same access opportunities** in principle. The respective research project has to be initiated by scientists, there has to be room for creativity, and interdisciplinary work has to be promoted.
- As a consequence, there have to be **transparent criteria** for whether proposals should be submitted at European or at national level, in the interest of maximum efficiency for potential proposers.
- Furthermore, with reference to the distribution of work between the EU and the national level when funding basic research in the 7th Framework Programme, a decisive **European added value** has to be guaranteed. This added value is created on the one hand by competition at European level; on the other hand, from an Austrian point of view, this added value requires a certain **minimum size** – adequate to the research fields - to be defined for the projects. This also appears to be necessary because otherwise hopeless oversubscription and unwelcome competition between national funding programmes would have to be feared.
- With a view to the possible application of basic research results, **industry** has to be integrated adequately.
- Projects have to be selected by means of an **international peer-review procedure** with well-known specialists from the disciplines relevant to the evaluation of the proposals. In this context, attention has to be paid to the fact that interdisciplinary approaches are not put at a disadvantage. Both the criteria for the selection of evaluators and the evaluation criteria themselves have to be made transparent.
- The formation of a "closed shop" has to be prevented by a maximum

Bottom-up principle

Integrating industry

measure of transparency. Thus also **young** researchers and **researchers** or teams not working in large research institutions or at famous universities should be offered the chance of receiving funding.

A structure for carrying out basic research should be found which guarantees **simple, efficient processes and maximum transparency** and responsibility. It should also be suitable for gaining the confidence of the "scientific community". In order to achieve this objective, it appears to be necessary to create a European Research Council (ERC) which is independent of the Commission to a large extent and which is headed by a committee of high-ranking scientists. The **legal structure** chosen for the European Research Council (ERC) should be the one most suitable to fulfil the conditions mentioned (Community Agency, Executive Agency, ...).

*Legal structure of
European Research
Council*

A body of high-ranking representatives from all fields of science should be formed as soon as possible in order to enable the European Research Council to start working in time for the start of the 7th Framework Programme. This body should elaborate the tasks and the structure of the institution to be created.

The funding of "New and Emerging Science and Technologies" (**NEST**) was introduced in the 6th Framework Programme as a flexible instrument for funding unconventional and visionary research projects. It should be considered to continue this type of funding within the framework of the European Research Council.

2.4. Human Resources

Human resources in research are of outstanding importance for the competitiveness of Europe and for achieving the Lisbon and Barcelona objectives. Therefore special attention has to be paid to this field with a view to the 7th Framework Programme. From an Austrian point of view, the **essential objectives** to be pursued in strengthening human resources are the following:

- Increasing the attractiveness of Europe as a research location
- Removing barriers to mobility, continuing current efforts to create mobility-friendly framework conditions at EU level and in the member states
- Increasing the research quota in enterprises

Key objectives for supporting human resources

- Improving the working conditions and the career perspectives of researchers
- Promoting young researchers, in particular increasing human potential in the natural sciences and technical disciplines
- Increasing the number of women in research
- Improving education and training of researchers, imparting competence in the fields of research management, research financing, and exploitation of results, amongst others
- Improving knowledge transfer between academia and industry, in particular SMEs.

The **Marie-Curie Actions** have already made a large contribution to strengthening human resources in Europe up to now and should therefore **be expanded**. In future, however, they are to be more strongly oriented towards the objectives mentioned. When designing the Marie-Curie Actions in the 7th Framework Programme, the following points should be considered in particular, from an Austrian point of view:

- Administration should be made simpler and more efficient.
- The period between submitting a proposal and signing the contract has to be shortened, in order to facilitate appropriate future planning and career planning of the researchers.
- Alternative forms of management should be considered – for instance by including national funding organisations.
- In some fields, oversubscription of the Marie Curie Actions has exceeded the measure of what is acceptable. In order to achieve approval rates that are acceptable to the proposers, fundamental improvements have to be considered.
- It should be considered to separate excellence funding from education measures, since the target groups, and also the objectives pursued, are very different. In this context, the possibility of transferring grants promoting excellence to the European Research Council should be examined.
- Current measures for promoting the return and/or re-integration of researchers have to be extended and improved, in order for them to continue their scientific careers in an EU member state or an associated

*Strengthening Marie
Curie Actions*

state.

In order to develop the European Research Area further and to optimise the implementation of the Marie Curie Actions, it will be necessary to improve **the framework conditions for researchers** in Europe. In this context, the member states and the European Commission will be required to act jointly, in particular in the following fields:

- Efforts have to be massively increased to bring the benefit of research closer to the citizens. These efforts have to be made both in schools and in adult education. Objectives are a research-friendly climate and an improved status of researchers in public. Attempts should be made to fill young people with enthusiasm for science and research at a very early stage and to make them aware of possible professional opportunities.
- Both the motivation of young people to aim at a scientific career and the performance of researchers depend decisively on how good the career perspectives or the development possibilities are, how high the prestige of the researcher as a profession is in public, and whether researchers are adequately paid for their work. Priority should therefore be given to implementing the measures proposed by the European Commission in its Communication on the careers of researchers.
- Both transnational and intersectoral mobility should contribute to mobility being perceived as a positive element in scientific careers.
- Mobility has to be promoted through appropriate framework conditions, in particular by removing administrative obstacles within the EU, also with regard to accompanying family members.
- Research-oriented training should be intensified and funding for young researchers increased, with particular attention to recruiting women for research.

2.5. Research Infrastructures

Due to high investment and operation costs, international cooperation is indispensable in the field of research infrastructures in many cases. Austria therefore supports an **intensification of cooperation** in the field of research infrastructures within the framework of the European Union. Attention will

*Supporting careers of
researchers*

*Priority for coopera-
tion in access to infra-
structures*

first of all have to be directed towards promoting access to research infrastructures, as well as towards other integrative measures in this field.

Under the framework of funding research infrastructures, **virtual or electronic infrastructures** have to be considered appropriately. On the one hand, this concerns advanced initiatives, such as GEANT and GRID, and on the other hand also infrastructures in the humanities, social sciences and cultural studies.

The **participation models** for infrastructure facilities should be designed more flexibly. An exclusive orientation on economic criteria (GDP) is often inadequate, in particular for smaller countries, since the latter often only have a small number of scientists in individual scientific disciplines. This small number does not justify the participation of the respective country in an infrastructure facility according to GDP key.

Fair participation of smaller countries

Funds from the Framework Programme for the **development of new infrastructures** should **only** be provided **in specially justified cases**. From an Austrian point of view, the prerequisite for such funding is that the realisation of such a project has to be of general European interest and that the Community contribution has a critical catalyst effect on the respective project.

New infrastructures only in special cases

Establishing the "**European Strategy Forum on Research Infrastructures**" (ESFRI) was an important step with regard to strengthening cooperation in the field of research infrastructures in Europe. Austria supports the role of ESFRI as an advisory committee of the Council for pertinent issues. Austria is also in favour of medium and long-term planning of research infrastructure projects in Europe by drawing up a "**European Roadmap for Research Infrastructures**". ESFRI can play a central role in this context. However, ESFRI recommendations must not prejudice the allocation of Community funds.

Role of ESFRI

2.6. Coordination of National Research Programmes

The **ERA-NET scheme** has given an essential impulse to the process of networking of national programmes, which was progressing only slowly before. A large number of national programmes has been integrated successfully into networks. This instrument should therefore be **developed further** in the next Framework Programme. From an Austrian point of view, the following points have to be considered in this context:

ERA-NET should be expanded

- Many national programmes suitable for the ERA-NET scheme have already been included. In future, the issue will therefore mainly be to transfer the successful ERA-NETs of the 6th Framework Programme into the 7th Framework Programme, with as little administrative effort as possible.
- The focus will then have to be on developing these ERA-NETs further. The objective should be **carrying out joint calls**. Austria supports the idea of promoting research through **co-funding by the Community** and is therefore also in favour of increasing the budget provided for ERA-NET.
- In addition to developing ERA-NETs further, ERA-NETs should also be opened up, in particular with a view to **bringing in the new member states**. We suggest the possibility of a financially supported observer status for representatives from countries which have not yet developed their own programmes in the respective fields. Thus the member states could be supported in setting up their own programmes.

In principle Austria supports the approach of examining the applicability of **Art 169 of the EC Treaty** in selected fields. This will mainly be worth considering in fields where the research results are of great public interest and where integration has reached a high level.

*Article 169 of the
EC Treaty*

2.7. Security Research

Austria welcomes the objective of **improving** the quality of life and the **security of the population** through research and thus to act jointly and effectively against potential and actual threats (e.g. terrorism, failure of important infrastructures, catastrophes). In security research Austria aims at the best possible participation of its public and private research institutions and the use of the results security research yields. This presupposes that the **rules of access for the projects** in this thematic area are designed to be **open and transparent**. At the same time, reliable mechanisms have to be introduced which ensure **increased confidentiality** when dealing with sensitive research processes and research results.

*Best possible security
for the population*

2.8. Space Research

Austria is **in favour of space as a thematic priority in the 7th Framework Pro-**

gramme. This thematic priority should be designed and managed in close coordination and cooperation with the infrastructure and application-oriented topics and activities of the European Space Agency (ESA).

*Close cooperation
between the EU and
ESA*

From Austria's point of view, the potential and the content of a European Space Programme, its delimitation from the topics of the 7th Framework Programme as well as future ESA activities, and the coordination of responsibilities of the European Commission, ESA and the member states are topics for future discussions. They are to be seen in connection with the negotiations concerning the Financial Perspective.

3. HORIZONTAL TOPICS OF THE 7TH FRAMEWORK PROGRAMME

3.1. Promoting Innovation

Promoting innovation takes place in a policy field which goes beyond the support of technological innovation. What is meant by innovation is that new knowledge and R&D are exploited quickly on the market through improved products and processes. Promoting innovation also has to include organisational innovations as well as learning innovation techniques. Austria is in favour of this **comprehensive approach** where measures for promoting innovation in the 7th Framework Programme are concerned. Austria is in favour of a horizontal programme for funding innovation, but also observes with interest the discussion on a separate Framework Programme for "Innovation and Competitiveness", as suggested by the European Commission within the framework of the Financial Perspective.

*Broad understanding
of innovation*

On the innovation policy level, it will be decisive to recognise the **horizontal cross-sector character** of this policy field, and to ensure that the relevant measures of research, education, competitiveness, SMEs, industry, finance, cohesion and environmental policies are coordinated with each other. The topic of innovation should receive greater attention in the 7th Framework Programme. The 7th Framework Programme should make its contribution in order to create a **European innovation culture**.

*Better coordination
between policies*

The connections between the policy fields mentioned above have to be taken

into consideration better in the Framework Programme. At the same time, research funding has to be the core of each Framework Programme. Bearing this objective in mind, the **main stress of the activities funding innovation in the 7th Framework Programme** is to be laid on those aspects which are most closely related to research:

- Technological innovations;
- Rapid technology transfer, in particular towards SMEs;
- Imparting know-how which is relevant to innovation, amongst others by developing the Innovation Relay Centres (IRCs) further;
- Funding innovative networks, clusters and programmes;
- Cooperating with the European Investment Bank and promoting a European risk capital market.

Generally the concrete implementation of R&D results should be considered in the projects of the 7th Framework Programme. In the innovation field, which is close to market, and in connection with implementing research and development results, the possibilities for cooperation and synergies with the EUREKA initiative should be strengthened.

3.2. Supporting SMEs

Small and medium-sized enterprises are generally recognised as a traditional target group of research funding in the Framework Programme; however, considerable deficits have emerged as to the accuracy and effectiveness of the measures implemented up to now. What is meant by **lack of accuracy** is that SMEs are far from reaching the target of 15% participation in the thematic priorities of the 6th Framework Programme. Vice versa, the high level of oversubscription in the SME-specific measures of the 6th Framework Programme also expresses the misjudgement of what the actual needs of such enterprises are. The **low effectiveness** of SME measures can be seen in the often marginalised role which SME participants are allocated in the new instruments of the 6th Framework Programme. High-tech SMEs cooperate substantially in the consortia, while purely application-oriented SMEs have difficulties in playing a leading role in the projects.

Austria attaches **great importance to funding research-intensive SMEs**. In the 7th Framework Programme, support for this target group should be strengthened in several ways:

Innovation funding in the context of research policy

Insufficient support for SMEs in FP 6

- Expanding SME-specific measures (both CRAFT and Collective Research) by increasing the budget for this field;
- Maintaining a 15% target quota for the participation of SMEs in Collaborative Research projects and in Technology Platforms, in order to avoid the creation of ghettos in SME-specific instruments;
- Funding specific education and training for persons working in or for SMEs in order to improve their know-how of issues relevant to research and innovation (e.g. concerning access to patents, venture and risk financing)

Priorities of SME funding in FP 7

Supplementing the immediate measures in the 7th Framework Programme, participation of the Community in the SME-funding programmes of several member states could be considered, provided there is sufficient interest in jointly **establishing a European SME programme according to Art. 169 of the EC Treaty**. At the same time, national funding shares for the respective SMEs in the member states must not decrease.

Criteria for successful participation of SMEs in the 7th Framework Programme will be, amongst others:

- reserving one area of the Framework Programme for SMEs, without any strict thematic or political requirements (bottom-up approach), since this is the most attractive form of participation for SMEs;
- increasingly carrying out open calls;
- making the SME-specific programme flexible, so that the project objectives can be adapted quickly to the changing requirements;
- providing flexible duration for SME projects;
- keeping the period between submission of the project proposal and start of the project as short as possible (six months maximum);
- accelerating the payment of financial contributions to SMEs;
- ensuring that procedures and project administration are as simple as possible;
- Providing targeted support to SMEs in their project partner search (NCP, CORDIS).

Success criteria for SMEs

3.3. International Cooperation

International cooperation measures should be strengthened in the 7th

Framework Programme. This could be achieved by establishing a horizontal programme action line. In this context, the possibility of direct contacts between the European Commission, the member states and the INCO target countries should be created under the framework of a **platform**. This platform would serve the exchange of experience and could submit suggestions for the field of international cooperation in the 7th Framework Programme.

Establishing a separate INCO platform

The 6th Framework Programme has attempted to integrate measures for promoting cooperation with third countries increasingly into the thematic priorities. From an Austrian point of view, this has not yet yielded the desired success. Austria is therefore in favour of the 7th Framework Programme concentrating **increasingly on specific measures** which are harmonised with the needs of these countries and the requirements of the scientific community in international cooperation. In addition, **participation of the INCO target countries** in Collaborative Research should be made easier **in all thematic areas**, and the possibilities for participation in the **Mobility Actions** should be increased in particular. In order to improve cooperation, support could also be provided for establishing national contact points (NCPs) in the partner countries.

More specific measures for international cooperation

From an Austrian point of view, it is of particular importance in the field of international cooperation to **bring the West Balkan countries** as future candidate countries **closer** to the 7th Framework Programme. Already up to now, Austria has supported the Action Plan for the West Balkans, and Austria advocates its swift further implementation.

West Balkans

INTAS has proved to be a flexible instrument for the NIS group which can be used well for east-west cooperation; it should therefore be continued. However, the very different needs of these countries should be taken into consideration by a design which is specifically adjusted to these needs.

INTAS

The research cooperation between the EU and **China** should receive particular attention from Austria's point of view, in order to be able to keep up with China's emerging further development from a low-wage country to a key player in the research and technology sector, and in order to position the EU as a strategic partner in the field of research and technological development at an early stage.

China

For countries with scientific-technical cooperation agreements with the EU, evaluation reports have been submitted recently. Suitable modalities for con-

crete cooperation in the 7th Framework Programme which would support a substantial expansion of the cooperation in joint projects should be developed on the basis of these reports.

3.4. Science and Society

The increasing importance and complexity of research on the one hand require measures investigating the social implications of research; on the other hand, it is equally important to give the citizens themselves the opportunity of being able to contribute to research which concerns them. In the **dialogue** between science and society, opportunities and risks of research become evident, and the acceptance or reasoned rejection of research topics can be discussed reasonably.

Austria is in favour of continuing an independent research field dedicated to the dialogue between science and society in the 7th Framework Programme. This research field should also receive funding adequate to its tasks. However, on the basis of experience in the 6th Framework Programme up to now, Austria advocates a **clearer focus** of the programme on scientific issues and objectives. In addition, science and society aspects should be integrated as a **horizontal topic** into the thematic areas and projects of Collaborative Research.

Concentration of measures

Horizontal topic

3.5. Women in Science

Europe cannot afford to do without some of its most innovative ideas only because they stem from the minds of women researchers, who are still on the edge of the European research business, systematically and structurally speaking. Europe has to **exploit its intellectual potential**, which will require measures in order to promote the integration of women in science on **four axes**:

1. Efforts to integrate women increasingly at all levels of the 7th Framework Programme (project participants, coordinators, evaluators);
2. Specific measures for promoting women in science within the framework of the Human Resources axis;
3. Continuous analyses in the thematic area "Women in Research" and

Comprehensive promotion of women in science

- monitoring of funding measures;
4. Integrating the gender dimension into the research projects (to be considered in the research issues, the methods, the analysis and the interpretation of effects in the recommendations).

3.6. Foresight / Strategic Intelligence

The **long-term further development of European research policy** requires options for action based on well-founded studies, scenarios and participatory processes of those carrying out research or those concerned by its results. These options help to recognise the future paths of development and to react to unexpected developments. This applies in the same manner to the evaluation of potentials and risks of new research and technology fields (technology assessment) and to the social opportunities and challenges that can be addressed by means of research. The ethical dimension of research in particular has to receive greater attention in this context.

*Foresighted policy
advice*

Austria acknowledges the importance of the systematic gathering, processing and evaluation of strategic information in this context. This "strategic intelligence" comprises the overall cycle from the identification of the future action required ("foresight") via the development and structuring of concrete options for action ("policy options") to the evaluation of experience with political measures ("policy learning"). Austria regards this as a **specific European task**, in particular where the challenges and future issues not only concern individual member states, but European society as a whole. In order to maximise the usefulness of foresighted research and of "strategic intelligence" for the political decision-makers at all levels (European Commission, European Parliament, member states, regions), it will be decisive to provide targeted funding for **access to and dissemination of research results**. This is where Austria sees room for improvement in the 7th Framework Programme.

*Better cooperation
between EC and mem-
ber states required*

Beyond access to and dissemination of results of "strategic intelligence", however, the integration of these results into political strategies, in a foresighted and transparent manner, will also have to be promoted.

3.7. Joint Research Centre (JRC)

The Framework Programmes were created for promoting the research cooperation between science and industry in the European Union member states. This is the central mission of each Framework Programme, and any deviations from this principle have to be particularly well justified.

The Joint Research Centre carries out **research by direct order** of the Community. It is a European Commission institution and has its specific mandate in carrying out **excellent research in selected research fields**, in the service of the European citizens. A basic condition for the JRC therefore is that it works under framework conditions where excellent research performance is to be expected.

The high requirements which are connected with the activity of the JRC require a **detailed examination** before each new Framework Programme whether the resources to be allocated to the JRC are adequate. In any case Austria is in favour of the JRC continuing to acquire a share of third funds of up to 20% on the market. For Austria, the following will have to be examined in particular in preparing the 7th Framework Programme:

- On which thematic areas will the JRC focus its activities, and in how far could these activities not be carried out better by research institutions in the member states (**subsidiarity**);
- To which extent does the JRC **cooperate** with competent research institutions in the member states and regions in its activities, both at concrete research project level and in the exchange, education and training of human resources from the member states;
- Up to which amount are the financial, staff-related and administrative funds adequate to the research topics which the Joint Research Centre will have to work on during the 7th Framework Programme (**resources**).

4. (7TH) EURATOM FRAMEWORK PROGRAMME

In the 6th Framework Programme, 93% of all funds were dedicated to non-nuclear research fields, whereas the 6th EURATOM Research Framework Programme received 7% of the funds. A central Austrian interest for the negotia-

Examining the research need of the JRC

Reduction of research share for EURATOM in FP 7

tions on the 7th Framework Programme will be reducing the **share for EURATOM to below 7% of the total budget.**

In the 7th EURATOM Framework Programme, research efforts in the field of **nuclear safety** will be necessary in any case, in particular in **radiation protection and risk research.** These include amongst others:

- Developing methods for risk assessment (above all in the face of new types of threats);
- Permanently observing and evaluating technological progress;
- Risk potential of nuclear technology facilities – monitoring international development for the purpose of policy advice (protection mechanisms against intentionally caused damage, evaluation of interfaces to terrorism research);
- Reactor safety – contributions to the further development of European and international regulation systems;
- Emergency planning in connection with radiation protection.

Austrian priorities for nuclear research

Austria **rejects** research on new **reactor technologies** on the basis of nuclear fission to be funded by the Community for fundamental considerations.

No funding of new nuclear reactors

5. BUDGET AND IMPLEMENTATION OF THE 7TH FRAMEWORK PROGRAMME

5.1. Budget

The Lisbon Agenda has been moving research policy into the centre of efforts to make Europe more competitive. This objective will only be achieved if the member states and the European Commission **increase the funds for research** according to the negotiation results for the Financial Perspective and at the same time ensure that these **funds** are used **efficiently and effectively.**

Yes to a budget increase, but...

The 7th Framework Programme will be negotiated simultaneously with the future Financial Perspective. Against this background, the Austrian position will be led by the following **principles:**

- The negotiations on the 7th Framework Programme must not prejudice those on the Financial Perspective.
- Being a net payer, Austria's declared objective has to be limiting the funds in the EU budget to an upper limit of 1% maximum of the EU gross national income, in the course of the urgently required national

... without prejudice for overall EU budget

budget consolidation. The budget for the 7th Framework Programme has to orient itself on the funds available for the EU budget.

- The duration of the 7th Framework Programme should be adapted to that of the Financial Perspective, i.e. the programme should be equipped with a budget for the years 2007 to 2013.

5.2. Instruments

Austria regrets that the instruments introduced in the 6th Framework Programme have many deficiencies. These should, however, be remedied during the remaining period of the current Framework Programme.

From Austria's point of view, it would be wrong to reject the existing instruments on the grounds of their deficits, in order to introduce another change of paradigm in their place. Austria is in favour of **continuity with regard to the instruments**.

This continuity has to be accompanied by an **improved orientation** of the instruments. The strategic objectives which are pursued by a specific instrument should be formulated so as to be comprehensible to the project participants. In particular, these objectives have to be better oriented towards the needs of industry and SMEs, in order to increase participation of this sector in the 7th Framework Programme significantly.

The requirements for **Integrated Projects** have to ensure that the Integrated Projects are of a reasonable, **manageable size** – under consideration of the conditions which differ between the thematic areas – and that they are not overloaded with regard to requirements and objectives.

The **objectives of the Networks of Excellence** have to be reformulated in order to meet the needs and interests of the scientific community. "Mutual Specialisation" and "Integration" can only be accepted as objectives in those fields where the fragmentation of capacities represents a problem actually perceived by the players.

Furthermore, **secure and continuous funding for research projects** in the 7th Framework Programme is essential. In the 6th Framework Programme, more and more financing gaps have emerged between the funded and the actual

Keeping FP6 instruments

Orientation will have to become more industry-friendly

project costs, which could not be compensated by additional funding on the part of the member states either. The European Commission is requested to discontinue cost reductions on a "take it or leave it" basis in the project negotiations.

Warning against financing gaps

Austria is adding a supplementary **list of suggestions for improvement** for the future use of the instruments in the 7th Framework Programme:

- More information for those interested in projects on the strategic objectives and conditions as well as on the differences between the various instruments;
- More information for the project proposers about the reasons for the rejection of a proposal;
- Developing timetables for the calls in all parts of the programme and communicating them to the researchers (roadmaps);
- Within the framework of the new orientation of Integrated Projects and Networks of Excellence, even more attention should be paid to their project sizes being realistic and manageable and to the project management being adequate;
- Implementation strategies for the research results should be better integrated in the projects;
- The requirements for the project management have to be defined and regulated clearly;
- Making the procedures for taking up new partners into research projects more transparent and open (sub-calls);
- Generally, the duration of negotiations up to the conclusion of a project contract should be shortened;
- The two-step procedure should be applied more often in the selection of projects, with the first step being kept short and observing the anonymity of the proposers;
- The peer-review procedure should be improved in the 7th Framework Programme (e.g. by anonymising part of a project proposal or by stricter incompatibility regulations or stricter obligations to produce supporting documents concerning the active research work of evaluators; all proposers should be available for project evaluations in principle).

Ideas for improved application of instruments

Austria stresses the fact that the 7th Framework Programme has to offer realistic and attractive participation opportunities for **organisations from the new member states and the candidate countries**. The criterion "Support for

other EU Policies" also has to apply to "Enlargement". This means that the 7th Framework Programme should contain actions supporting the integration of these countries into the European Research Area. The same applies in favour of the West Balkan countries.

5.3. Management

Austria is in favour of **separating the strategic level and the operative level** when planning and implementing the 7th Framework Programme. Nonetheless, outsourcing the management of individual parts of the Framework Programme must not lead to responsibilities being watered-down or overlapping, or to loss of coherence in the overall programme (fragmentation). For this reason, Austria attaches importance to efficient coordination and consultation as well as to the **full integration of the member states** into the implementation of the measures (NCP network, programme committees, mirror groups). Standardised, unambiguous and transparent guidelines are required for the management and control of the projects. In addition, the European Commission and the member states have to have an overview of the status of implementation of the 7th Framework Programme at any time. This shows itself, amongst others, in the European Commission's ability to provide the member states **regularly with the most recent data on participation** of research institutions in a standardised, complete and processable format.

Outsourcing versus coherence

Data on participation required

5.4. Administrative Rules and Procedures

With regard to the 7th Framework Programme, Austria is in favour of a drastic **reduction of administrative hurdles**. From the Austrian point of view, the following changes in the procedures have to be aimed at in particular:

- With reference to oversubscription of programmes and calls, corresponding considerations absolutely have to be made and measures have to be taken before the first calls;
- Shortening the period between the submission of the project proposal and the signing of the contract. This period should be a maximum of half a year;
- The periods available for contract negotiations could possibly be shortened considerably by means of external audits during this phase, since this would mean the time-consuming formal and financial

Removing obstacles to participation

- checks by the Commission services would cease to apply;
- Standardising requirements: The current administration of EU projects often requires a duplication of forms and information.

Furthermore, from the Austrian point of view, attention should be paid to preventing shortcomings from appearing in the 7th Framework Programme that existed at the start of the 6th Framework Programme. **Relevant documents**, such as Model Contracts, Financial Guidelines, Reporting Guidelines and Project Management Guidelines, Guidelines for Evaluators etc., have to be available in their final form in time **before the start of the first calls** under the 7th Framework Programme.

All documents have to be available at the start of FP 7

6. RELATION TO OTHER POLICY AREAS RELEVANT TO RESEARCH

6.1. European Investment Bank (EIB)

The 7th Framework Programme will deal with areas where **long-term financial security mechanisms** will be required for safeguarding the investments of private and public financiers. This applies in particular to the building of new research infrastructures as well as to large-scale Technology Platforms.

From an Austrian point of view, the European Investment Bank should contribute to a suitable financing mix in these fields with its credit and guarantee mechanisms. With regard to the fact that large-scale research funding projects involve special risks, the EIB should design its support instruments so that the **investment risk inherent in research** does **not** become **an obstacle for funding** such projects. In addition, Austria explicitly supports activities carried out in favour of SMEs within the framework of the European Investment Fund (EIF).

EIB orientation on R&D risk projects

6.2. Structural Funds / Regional Dimension

According to the European Commission proposals, the Structural Funds should be linked more closely to the Lisbon objectives in their coming funding period (2007 – 2013). In addition to funding employment, social cohesion and sustainable development, support for European competitiveness is thus more

Lisbon targets as common denominator of FP 7 and Structural Funds

and more becoming the focus of the political decision-makers' attention.

Austria welcomes the **orientation of the Structural Funds on the Lisbon objectives** in general; nonetheless, sufficient room for manoeuvre for the regions has to be considered, in order to be able to ensure flexible adaptation to the respective regional conditions and requirements in an integrated approach. In this context, the new objective "**Regional Competitiveness and Employment**" will be of great interest to Austria in future. This objective aims, amongst others, at strengthening innovation and the knowledge-based economy through research funding.

In principle, Austria acknowledges the importance to be attached to the Structural Funds in building up infrastructures in less strongly developed regions in Europe. From a research policy point of view, Austria considers it as reasonable that the new member states in particular can **improve their framework conditions for research and development**.

Structural Funds as opportunity for new member states

At the same time, Austria would welcome the **complementarity** between two of the most important European funding mechanisms (Structural Funds and Research Framework Programme) to be increased in future.

6.3. Lisbon and Barcelona Objectives

Research, technological development and innovation play a particular role in the Lisbon agenda. In the mid-term evaluation of the Lisbon process, Austria is in favour of keeping the three pillars (competitiveness, employment, environment), but **concentrating forces on growth and employment** for the period up to 2010.

R&D as growth and employment factor

The contribution that can be made by research in this context is on the one hand a further increase in research funding towards 3% of GDP, with 2% coming from private investment (Barcelona objectives); on the other hand an **increase in quality of research funding** in Europe is to be aimed at, in particular by

- Establishing the European Research Area;
- Better coordination between Community, bilateral, national and regional research initiatives;
- Concentrating on those areas of research funding which improve

Ways towards better cooperation of policy areas in Europe

European competitiveness in the long term, in particular competitiveness of industry and SMEs;

- Better coordination and complementary use of the relevant individual policies (e.g. research, education, innovation, finance and competitiveness policies) through the Open Method of Coordination at EU level.

6.4. EUREKA

In the 7th Framework Programme, EUREKA with its flexible bottom-up approach should become a **stronger cooperation partner** of the European Commission in the field of market-oriented R&D projects. Thus a further step towards establishing a European Research and Innovation Area could be taken.

The "Joint Technical Groups" were already set up in the design process of the 6th Framework Programme jointly by EUREKA and the European Commission. These groups should work out appropriate suggestions for improvement – also with a view to **co-funding research projects** of joint interest. In the Rules of Participation for the 7th Framework Programme, clear and practicable regulations for coordination and for mutual co-financing of EU research projects and EUREKA projects should be drawn up. Co-funding of EU projects and initiatives by the European Investment Bank would also have to be regulated concretely in this context. Thus a new model of European research funding cooperation (national / regional / EU-wide) could be created. The synergies between the Framework Programme and the market-oriented "bottom-up" approach to funding by EUREKA, which is particularly important for SMEs, could thus be strengthened.

The ERA-Net scheme (and its further development ERA-NET plus respectively) is a suitable instrument for the cooperation and coordination between the Framework Programme and EUREKA, and the possibilities of synergies in this field should be used better. The co-financing between the EU and EUREKA that has been mentioned should also be applied to the Technology Platforms.

Also in the course of the concrete implementation of research results in the projects of the 7th Framework Programme, cooperation with EUREKA should be considered more strongly in future.

*Increased cooperation
is to be aimed at*

6.5. COST

COST has proved to be successful as a cooperation instrument in the field of scientific and technical research in Europe, and also in cooperation with third countries from a foreign policy point of view. The cooperations with the Balkan states, the US, Canada, Japan, Australia, Russia, Ukraine, as well as Israel within the framework of its special status as a "cooperating state", should be emphasised. The strength of COST lies in particular in its flexibility, achieved by combining the bottom-up principle with the principle of à-la-carte participation of the member states in the COST activities, thus ensuring participation according to national priorities.

*Sufficient funding for
COST*

Austria is therefore in favour of **continuing funding of the COST Secretariat** from Community funds in the 7th Framework Programme. In this context, the **increase in costs**, in particular due to enlargement, has to be taken into consideration.

For the 7th Framework Programme, the use of **synergies between the Framework Programme and COST** should be considered. In particular with regard to funding basic research within the framework of the European Research Council (ERC), the use of research results by COST should be given some thought.

7. OUTLOOK ON THE NEGOTIATIONS

7.1. Common Position

Austria is awaiting the negotiations on the 7th Framework Programme with great interest. The European Commission is requested to submit **the negotiation proposal for the 7th Framework Programme as soon as possible in early 2005**.

The timetable for the negotiations suggests that it will only be possible to adopt the 7th Framework Programme in time if the negotiations in the Council of Ministers are concluded with a "Common Position" by the end of 2005 at the latest. Austria sees this timetable as realistic and ambitious and will support the Luxembourg and the UK presidencies in their endeavours to **achieve a "Common Position" by the end of 2005**.

*"Common Position"
by end of 2005*

7.2. Austrian EU Presidency 2006

On 1 January 2006, Austria will take over the presidency of the European Union for six months.

Austria is determined to make progress with the negotiations on the 7th Framework Programme as far as possible during the time of its EU presidency. Austria is aware of its responsibility according to which an orderly transition from the 6th to the 7th Framework Programme requires the **decision on the 7th Framework Programme to be taken by the summer of 2006**. With this objective in mind, Austria will exercise its role as an impartial mediator between the 24 member states of the European Union and as a fair negotiation partner for the European Parliament and the European Commission.

*Milestone FP 7 by
summer 2006*

8. ANNEX

8.1. Statistical Results of the 6th EU Framework Programme as of 09/2004 (PROVISO)

8.1.a Funding

From the calls under the 6th Framework Programme up to now, Austrian researchers have so far been allocated 163 million euro (partly these amounts are still to be negotiated). Austria's share in EU-funding committed up to now amounts to 2.27% in the overall Framework Programme, and to 2.23% when including EURATOM. Austria is therefore slightly below the current share Austria is paying on the basis of its contributions to the EU budget (2003: approx. 2.3%).

In the first thematic area (1. Focussing and Integrating Community Research) this share amounts to almost 2.4% for the Thematic Priorities (1.1) and to 3% for the Specific Activities (1.2). In the third thematic area, Strengthening the Foundations of the European Research, Austrian partners are even receiving more than 8% of the funding in programme 3.1 Support for the Coordination of Activities (ERA-NET).

The 2nd thematic area (2. Structuring the European Research Area) has a low share of 0.3%; however, there is hardly any financial data available from the Mobility programme. Austria's share in the EURATOM programme is equally low.

Austria and EU Research: Results of the 6th Framework Programme

Financial (Funding)	Austria
Programme	Austria
Austrian share in EU funding negotiated or recommended under this programme up to now	
Integrating and Strengthening the European Research Area	
1. Focusing and Integrating Community Research	
1.1. Thematic Priorities	
1.1.1. Life Sciences, Genomics and Biotechnology for Health (LIFESCIHEALTH)	1.7%
1.1.2. Information Society Technologies (IST)	3.7%
1.1.3. Nanotechnologies and Nanosciences, Knowledge-based Multi-Functional Materials and New Production Processes and Devices (NMP)	2.2%
1.1.3.a Joint IST and NMP Calls	1.4%
1.1.4. Aeronautics and Space (AERO/SPACE)	1.0%
1.1.5. Food Quality and Safety (FOOD)	1.6%
1.1.6. Sustainable Development	2.8%
1.1.6.a. Sustainable Energy Systems (ENERGY)	2.7%
1.1.6.b. Sustainable Surface Transport (TRANSPORT)	1.9%
1.1.6.c. Global Change and Ecosystems (GLOBAL)	3.2%
1.1.7. Citizens and Governance in a Knowledge-based Society (CITIZENS)	3.2%
1.2. Specific Activities Covering a Wider Field of Research	
1.2.1. Policy Support and Anticipating Scientific and Technological Needs (SSP/NEST)	1.8%
1.2.1.a. Research for Policy Support (SSP)	2.1%
1.2.1.b. New and Emerging Science and Technologies (NEST)	5.2%
1.2.2. Horizontal Research Activities Involving Small and Medium-sized Enterprises (SME)	1.4%
1.2.3. Specific Measures in Support of International Cooperation (INCO)	no data available
1.3. Non-nuclear Activities of the Joint Research Centre (JRC)	
2. Structuring the European Research Area	
2.1. Research and Innovation (INNOV)	0.5%
2.2. Marie Curie Actions - Human resources and mobility (MOBILITY)	no data available
2.3. Research Infrastructures (INFRA)	0.5%
2.4. Science and Society (SCS)	0.6%
3. Strengthening the Foundations of the European Research Area	
3.1. Support for the Coordination of Activities (ERA-NET)	8.5%
3.2. Support for the Coherent Development of Policies (CDRP)	no Calls open
6th EC Framework Programme total	2.27%
	162.8 Mio Euro
Specific Programme for Nuclear Energy (EURATOM)	
1. Priority Thematic Areas of Research	0.3%
6th EC Framework Programme + EURATOM Programme total	2.23%
	163.4 Mio Euro
as of 09/2004	
source of data: European Commission	
data processing: PROVISIO	
calculations: PROVISIO	
remarks:	
- financial data is available for approx. 80% of the projects recommended for funding	
- the amount of funding is not known for approx. 15% of the Austrian participations recommended for funding	

8.1.b Projects

Austria and EU Research: Results of the 6th Framework Programme						
Projects	Total			Austria		Success rate
	Proposals evaluated	Proposals retained	Success rate	Proposals with Austrian participations evaluated	Proposals with Austrian participations retained	
Programme	Proposals evaluated	Proposals retained	Success rate	Proposals with Austrian participations evaluated	Proposals with Austrian participations retained	Success rate
Integrating and Strengthening the European Research Area						
1. Focussing and Integrating Community Research						
1.1. Thematic Priorities						
1.1.1. Life Sciences, Genomics and Biotechnology for Health (LIFESCIHEALTH)	921	248	26.9%	177	47	26.6%
1.1.2. Information Society Technologies (IST)	2,443	359	14.7%	561	110	19.6%
1.1.3. Nanotechnologies and Nanosciences, Knowledge-based Multi-functional Materials and New	1,411	178	12.6%	337	39	11.6%
1.1.3.a Joint IST and NMP Calls	128	24	18.8%	36	6	16.7%
1.1.4. Aeronautics and Space (AERO/SPACE)	419	125	29.8%	38	16	42.1%
1.1.5. Food Quality and Safety (FOOD)	385	82	21.3%	89	20	22.5%
1.1.6. Sustainable Development						
1.1.6.a. Sustainable Energy Systems (ENERGY)	479	86	18.0%	117	27	23.1%
1.1.6.b. Sustainable Surface Transport (TRANSPORT)	376	119	31.6%	90	37	41.1%
1.1.6.c. Global Change and Ecosystems (GLOBAL)	507	88	17.4%	123	30	24.4%
1.1.7. Citizens and Governance in a Knowledge-based Society (CITIZENS)	426	59	13.8%	175	27	15.4%
1.2. Specific Activities Covering a Wider Field of Research						
1.2.1. Policy Support and Anticipating Scientific and Technological Needs (SSP/NEST)						
1.2.1.a Research for Policy Support (SSP)	452	170	37.6%	80	29	36.3%
1.2.1.b New and Emerging Science and Technologies (NEST)	438	25	5.7%	58	2	3.4%
1.2.2. Horizontal Research Activities Involving Small and Medium-sized Enterprises (SME)	1,740	233	13.4%	272	41	15.1%
1.2.3. Specific Measures in Support of International Cooperation (INCO)	539	118	21.9%	70	14	20.0%
1.3. Non-nuclear Activities of the Joint Research Centre (JRC)						
1.3.1. Policy Support and Anticipating Scientific and Technological Needs (SSP/NEST)						
1.3.1.a Research for Policy Support (SSP)	452	170	37.6%	80	29	36.3%
1.3.1.b New and Emerging Science and Technologies (NEST)	438	25	5.7%	58	2	3.4%
1.3.2. Horizontal Research Activities Involving Small and Medium-sized Enterprises (SME)	1,740	233	13.4%	272	41	15.1%
1.3.3. Specific Measures in Support of International Cooperation (INCO)	539	118	21.9%	70	14	20.0%
2. Structuring the European Research Area						
2.1. Research and Innovation (INNOV)	112	20	17.9%	9	7	77.8%
2.2. Marie Curie Actions - Human resources and mobility (MOBILITY)	5,205	1,095	21.0%	340	55	16.2%
2.3. Research Infrastructures (INFRA)	284	49	17.3%	44	10	22.7%
2.4. Science and Society (SCS)	233	49	21.0%	30	4	13.3%
3. Strengthening the Foundations of the European Research Area						
3.1. Support for the Coordination of Activities (ERA-NET)	102	50	49.0%	32	19	59.4%
3.2. Support for the Coherent Development of Policies (CDRP)						
Alle Programme: ACC/ISSA General	102	28	27.5%	10	4	40.0%
6th EC Framework Programme total	16,702	3,205	19.2%	2,688	544	20.2%
Specific Programme for Nuclear Energy (EURATOM)						
1. Priority Thematic Areas of Research	100	56	56.0%	16	10	62.5%
6th EC Framework Programme + EURATOM Programme total	16,802	3,261	19.4%	2,704	554	20.5%
as of 09/2004						
source of data: European Commission						
data processing: PROVISIO						
calculations: PROVISIO						

8.1.c Participations

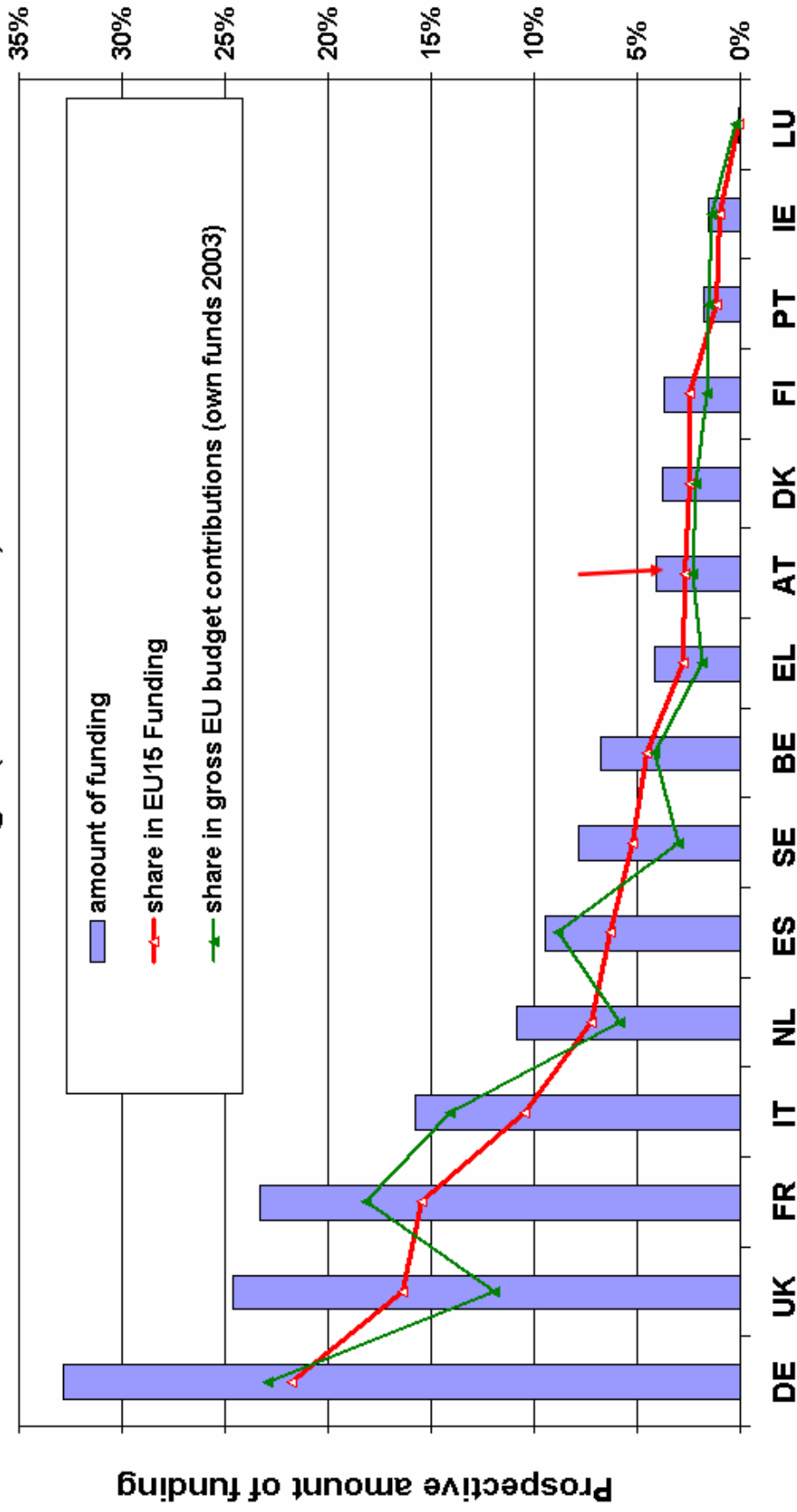
Austria and EU Research: Results of the 6th Framework Programme						
Participations	Programme	Participations evaluated		Participations retained		Success rate
		evaluated	retained	evaluated	retained	
		Total		Austria		Success rate
Integrating and Strengthening the European Research Area						
1. Focussing and Integrating Community Research						
1.1. Thematic Priorities						
1.1.1.	Life Sciences, Genomics and Biotechnology for Health (LIFESCIHEALTH)	12,801	3,666	257	68	26.5%
1.1.2.	Information Society Technologies (IST)	31,531	5,570	877	172	19.6%
1.1.3.	Nanotechnologies and Nanosciences, Knowledge-based Multi-Functional Materials and New	23,814	2,347	568	55	9.7%
1.1.3.a	Joint IST and NMP Calls	2,972	716	58	10	17.2%
1.1.4.	Aeronautics and Space (AERO/SPACE)	3,699	1,460	53	28	52.8%
1.1.5.	Food Quality and Safety (FOOD)	6,994	1,524	126	31	24.6%
1.1.6.	Sustainable Development					
1.1.6a.	Sustainable Energy Systems (ENERGY)	6,563	1,457	227	48	21.1%
1.1.6b.	Sustainable Surface Transport (TRANSPORT)	4,992	1,917	158	52	32.9%
1.1.6c.	Global Change and Ecosystems (GLOBAL)	8,233	1,814	203	44	21.7%
1.1.7.	Citizens and Governance in a Knowledge-based Society (CITIZENS)	6,933	1,065	249	38	15.3%
1.2. Specific Activities Covering a Wider Field of Research						
1.2.1.	Policy Support and Anticipating Scientific and Technological Needs (SSP/NEST)					
1.2.1.a	Research for Policy Support (SSP)	4,213	1,802	100	36	36.0%
1.2.1.b	New and Emerging Science and Technologies (NEST)	2,728	142	72	2	2.8%
1.2.2.	Horizontal Research Activities Involving Small and Medium-sized Enterprises (SME)	16,478	2,429	473	78	16.5%
1.2.3.	Specific Measures in Support of International Cooperation (INCO)	4,339	1,025	89	16	18.0%
1.3. Non-nuclear Activities of the Joint Research Centre (JRC)						
Structuring the European Research Area		no data available		no data available		
2.1.	Research and Innovation (INNOV)	119	27	10	8	80.0%
2.2.	Marie Curie Actions - Human resources and mobility (MOBILITY)	18,666	3,011	403	67	16.6%
2.3.	Research Infrastructures (INFRA)	2,752	696	60	11	18.3%
2.4.	Science and Society (SCS)	1,501	320	33	3	9.1%
3. Strengthening the Foundations of the European Research Area						
3.1.	Support for the Coherent Development of Activities (ERA-NET)					
3.2.	Support for the Coherent Development of Policies (CDRP)	723	415	45	28	62.2%
Alle Programme: AC/SSA General		577	217	10	4	40.0%
6th EC Framework Programme total		160,628	31,620	4,071	799	19.7%
Specific Programme for Nuclear Energy (EURATOM)						
1. Priority Thematic Areas of Research		1,103	766	19	13	68.4%
6th EC Framework Programme + EURATOM Programme total		161,731	32,386	4,090	812	19.9%
as of 09/2004						
source of data: European Commission						
data processing: PROVISIO						
calculations: PROVISIO						

8.1.d Coordinators

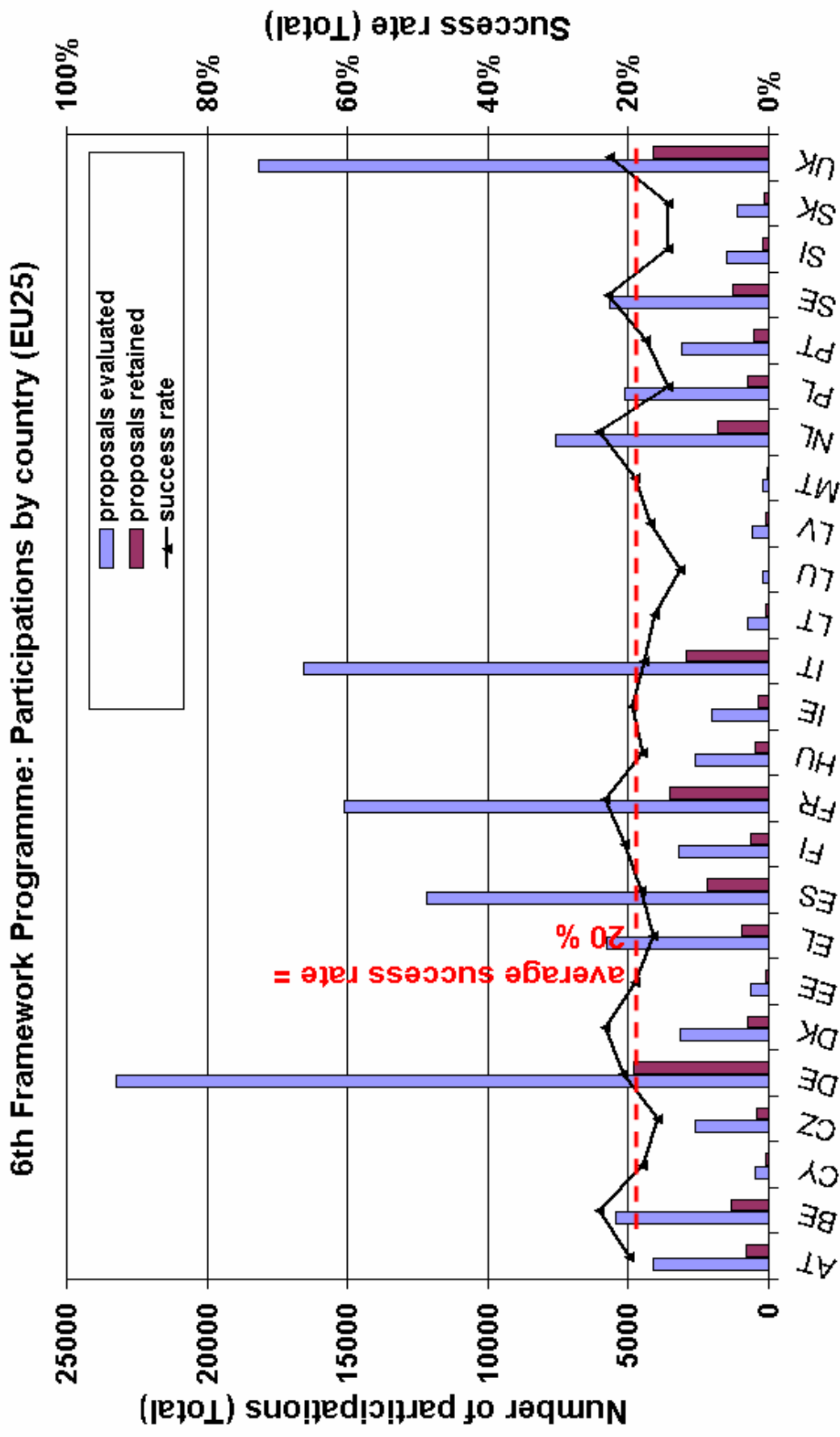
Austria and EU Research: Results of the 6th Framework Programme						
Programme	Coordinators evaluated	Coordinators retained	Success rate	Austria		Success rate
				Austrian coordinators evaluated	Austrian coordinators retained	
Total		Coordinators retained	Success rate	Austrian coordinators evaluated	Austrian coordinators retained	Success rate
Integrating and Strengthening the European Research Area						
1. Focussing and Integrating Community Research						
1.1. Thematic Priorities						
1.1.1. Life Sciences, Genomics and Biotechnology for Health (LIFESCIHEALTH)	921	248	26,9%	21	7	33,3%
1.1.2. Information Society Technologies (IST)	2,443	359	14,7%	70	14	20,0%
1.1.3. Nanotechnologies and Nanosciences, Knowledge-based Multi-Functional Materials and New	1,411	178	12,6%	30	2	6,7%
1.1.3.a Joint IST and NMP Calls	128	24	18,8%	4	1	25,0%
1.1.4. Aeronautics and Space (AERO/SPACE)	419	125	29,8%	3	2	66,7%
1.1.5. Food Quality and Safety (FOOD)	385	82	21,3%	5	1	20,0%
1.1.6. Sustainable Development						
1.1.6a. Sustainable Energy Systems (ENERGY)	479	86	18,0%	14	2	14,3%
1.1.6b. Sustainable Surface Transport (TRANSPORT)	376	119	31,6%	15	4	26,7%
1.1.6c. Global Change and Ecosystems (GLOBAL)	507	88	17,4%	8	2	25,0%
1.1.7. Citizens and Governance in a Knowledge-based Society (CITIZENS)	426	59	13,8%	17	2	11,8%
1.2. Specific Activities Covering a Wider Field of Research						
1.2.1. Policy Support and Anticipating Scientific and Technological Needs (SSP/NEST)						
1.2.1.a Research for Policy Support (SSP)	452	170	37,6%	14	6	42,9%
1.2.1.b New and Emerging Science and Technologies (NEST)	438	25	5,7%	14	2	14,3%
1.2.2. Horizontal Research Activities Involving Small and Medium-sized Enterprises (SME)	1,740	233	13,4%	28	8	28,6%
1.2.3. Specific Measures in Support of International Cooperation (INCO)	539	118	21,9%	34	6	17,6%
1.3. Non-nuclear Activities of the Joint Research Centre (JRC)		no data available			no data available	
2. Structuring the European Research Area						
2.1. Research and Innovation (INNOV)	112	20	17,9%	3	1	33,3%
2.2. Marie Curie Actions - Human resources and mobility (MOBILITY)	5,205	1,095	21,0%	133	23	17,3%
2.3. Research Infrastructures (INFRA)	284	49	17,3%	6	-	0,0%
2.4. Science and Society (SCS)	233	49	21,0%	4	1	25,0%
3. Strengthening the Foundations of the European Research Area						
3.1. Support for the Coordination of Activities (ERA-NET)	102	50	49,0%	6	4	66,7%
3.2. Support for the Coherent Development of Policies (CDRP)		no Calls open			no Calls open	
Alle Programme: ACC/FSSA General	102	28	27,5%	1	-	0,0%
6th EC Framework Programme total	16,702	3,205	19,2%	430	88	20,5%
Specific Programme for Nuclear Energy (EURATOM)						
1. Priority Thematic Areas of Research	100	56	56,0%	1	1	100,0%
6th EC Framework Programme + EURATOM Programme total	16,802	3,261	19,4%	431	89	20,6%
as of 09/2004						
source of data:	European Commission					
data processing:	PROVISO					
calculations:	PROVISO					

8.1.e Funding by Country (EU15)

6th Framework Programme: EU15 Funding by Country vs. Contributions to EU Budget (EU15 = 100%)



8.1.f Participations by Country



8.1.g Coordinators by Country (EU 25)

