



CONCOURS EXTERNE D'INGENIEUR DE RECHERCHE - TI 2

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BAP J – Gestion et pilotage

Emploi type : **RESPONSABLE DE LA VALORISATION DE LA RECHERCHE**

1 poste de chargé(e) des partenariats européens

Affectation : **Centre de Recherche INRIA Rennes – Bretagne-Atlantique**

Lieu de travail : **Rennes**

EPREUVE ECRITE D'ADMISSION DU 26 JUIN 2009

9 H 00 – 12 H 00

L'ensemble de cette épreuve est noté sur 20 points et affecté du coefficient 3

Durée : 3 heures

- *La notation prendra en compte la qualité des réponses mais aussi la présentation, le style et l'orthographe.*
- *Ne pas omettre de noter votre numéro d'ordre sur les copies et les feuilles intercalaires.*
- *Veillez à respecter l'anonymat dans les réponses.*
- *L'énoncé et son annexe sont les seuls documents autorisés.*
- *L'usage de la calculatrice et du dictionnaire d'anglais est interdit.*



Question 1 (14 points dont 6 points pour le résumé en anglais)

A partir de votre connaissance des programmes européens et des documents fournis en annexe :

Rédigez une note destinée aux chercheurs du centre de recherche INRIA mettant en évidence les principales différences existant entre la JTI (« Joint Technology Initiatives ») ARTEMIS, les projets collaboratifs du thème ICT (Information and Communication Technologies) du FP7, et le cluster ITEA2 de l'initiative intergouvernementale EUREKA, en ce qui concerne les objectifs, les modalités des appels à projets et le soutien financier apporté aux projets pour un organisme comme l'INRIA.

Faites un résumé d'une vingtaine de lignes, en anglais, destiné aux chercheurs non-francophones du centre de recherche.

Documents en annexe :

- *Commission Staff Working Document : Joint Technology Initiatives : Background, State-of-Play and Main Features*
- *ARTEMIS : Intelligence for the Future*
- *ARTEMIS : Guide for Applicants (extraits)*
- *ARTEMIS : fiche Ministère*
- *FP7 : the Rules of the Collaborative Projects (extraits)*
- *EUREKA en bref*
- *ITEA2 : European Leadership in Software-intensive Systems and Services*

Question 2 (3 points)

Un projet collaboratif européen associe plusieurs partenaires (recherche académique, entreprises), venant de plusieurs pays. Le projet fait l'objet de la signature d'un contrat avec la Commission européenne, auquel est joint le programme de travail prévu (Description of Work) : étapes, résultats attendus, ...

La réalisation de ce projet, qui s'étalera sur plusieurs années, demande que les partenaires s'entendent de façon explicite sur les règles qu'ils veulent mettre en place : c'est « *l'accord de consortium* » qui organise les relations contractuelles entre les participants (système de gouvernance, confidentialité, propriété intellectuelle, responsabilités, ...) pour l'exécution du contrat CE. C'est en quelque sorte le « règlement intérieur » du consortium.

Quels sont, de votre point de vue, les titres des principaux articles d'un tel accord ?

Quels sont les articles qui sont particulièrement importants et qui feront l'objet de négociations parfois délicates ?



Question 3 (3 points)

Le 7e PCRDT se subdivise en 4 programmes spécifiques (hors les activités EURATOM et celles du Centre Commun de Recherche). Quels sont ces programmes ?

Présentez les objectifs et les modalités de mise en œuvre de chacun de ces programmes spécifiques.



COMMISSION OF THE EUROPEAN COMMUNITIES

Brussels, 15.05.2007
SEC(2007) 692

COMMISSION STAFF WORKING DOCUMENT

**Joint Technology Initiatives:
Background, State-of-Play and Main Features**

COMMISSION STAFF WORKING DOCUMENT

Joint Technology Initiatives: Background, State-of-Play and Main Features

1. Introduction

Joint Technology Initiatives (JTIs) are a major **new element of the Seventh Framework Programme**¹. They provide a new way of realising public-private partnerships in research at European level. They focus on key areas where research and technological development can contribute to Europe's wider competitiveness.

In this context, this document has four main purposes. Firstly, it sets out the origins and definition of JTIs. Secondly, it highlights a number of potential positive leveraging and mobilising effects of JTIs on research investment. Thirdly, it assesses possible implications with regard to competition policy. Fourthly, recognising the novelty of the instrument, it sets out a number of common features for JTIs.

2. Background

2.1 Origins and Definition

JTIs are **public-private partnerships** in key areas where research and technological development could contribute to Europe's wider competitiveness goals and where the traditional instruments of the Framework Programme (e.g. collaborative research) are not adequate.

The Seventh Framework Programme identifies JTIs as a means to **support trans-national cooperation** in fields of key importance for industrial research. JTIs will be set up under Article 171 of the Treaty² as a new way of realising public-private partnerships in research at European level.

Such partnerships can play an important role in **fostering stronger links between research and industry** and so contributing to the realisation of the European Research Area. European industry is increasingly hindered by inadequate technological content. At the same time, the capacity of the research sector to contribute to redressing this situation is weakened by inadequate funding and lack of scale to focus on key strategic projects that have high downstream industrial potential.

Accordingly, increasing the **scale and impact of research investment**, enhancing the co-ordination and integration of research in Europe and raising the technology content of industrial activity are essential if Europe is to strengthen its position as a technologically innovative economy with the potential to develop comparative advantage in new areas.

¹ Decision 1982/2006/EC of the European Parliament and of the Council of 18/12/2006 concerning the Seventh Framework Programme of the European Community for research, technological development and demonstration activities (2007-2013)

² Article 171 states that "*The Community may set up joint undertakings or any other structure necessary for the efficient execution of Community research, technological development and demonstration programmes*"

Public-private partnerships involving industry, the research community and public authorities can play a significant role in meeting these challenges. JTIs are a **new way of realising public-private partnerships** at European level. They send a strong signal of the EU's intention to enhance co-ordination of research efforts. This is an important argument in addressing any misperception that JTIs, in effect, reserve Community financing for more technologically advanced Member States.

As described in the Commission report to the June 2005 European Council³, JTIs **arise primarily from the work of European Technology Platforms (ETPs)**. ETPs are informal networks that bring together stakeholders, led by industry, to define and implement medium to long-term strategic research agendas. In a small number of cases, ETPs have achieved such an ambitious scale and scope that they require public-private partnerships in the form of legal entities to be set up to mobilise large-scale public and private investments as well as substantial research resources to implement important elements of their Strategic Research Agendas. JTIs are proposed as an effective means of meeting the needs of this small number of ETPs.

Based on a thorough and **rigorous identification process** detailed in the Co-operation Specific Programme⁴, six areas emerged where a JTI could have particular relevance: Fuel Cells and Hydrogen ("FCH"), Aeronautics and Air Transport ("Clean Sky"); Innovative Medicines ("IMI"); Nanoelectronics ("ENIAC"); Embedded Computing Systems ("ARTEMIS"), and Global Monitoring for Environment and Security ("GMES"). It is not excluded that, following the mid-term review of FP7, additional proposals for JTIs may be identified.

The budgets foreseen, including the anticipated Community contribution, are indicated in Annex I.

2.2 Preparation of JTI Proposals

JTIs are being developed by means of **close collaboration with industry**, as well as in consultation with and, in the case of ARTEMIS and ENIAC, the participation of, Member States.

A roadmap for JTIs was presented in the December 2006 **Competitiveness Council**. It was also sent to the **European Parliament**.

The roadmap establishes the process leading to the presentation of JTI proposals (a timetable is included in Annex II). It indicates that to assess the state of preparedness, two inputs are required for each potential JTI. The industrial partners participating in the potential JTIs are required to demonstrate how the **"keys for success"** (notably additionality, market failure, governance and the role of Member States) will be met. At the same time, the Commission services responsible for the JTIs undertake an objective **analysis of the economic and social effects** of each JTI, with the support of external, independent experts where appropriate.

³ Report on European Technology Platforms and Joint Technology Initiatives: Fostering Public-Private R&D Partnerships to Boost Europe's Industrial Competitiveness, SEC(2005) 800 of 10.06.2005

⁴ Council Decision 971/2006/CE of 19/12/2006 adopting a Specific Programme for Research, Technological Development and Demonstration: 'Cooperation' (2007 – 2013)

3. Leveraging and Mobilising Effects of JTIs on Research Investment

JTIs can be expected to have a **leverage effect** on both private investment and national funding in the technological areas being addressed by the JTIs for a number of reasons.

JTIs facilitate a pan-European approach that will **create sufficient critical mass** in the face of competing initiatives worldwide and make Europe a more **attractive location** for inward investment in research.

By creating a **co-ordinated approach** that allows different sources of investment to be brought together in a way that traditional instruments of the Framework Programme cannot facilitate, JTIs will make possible investments that could not take place otherwise.

- The **industry contribution to research can be higher** than with the traditional instruments of the Framework Programme. For example, in IMI, the industry partners will pay 100% of their research costs, whereas under the Framework Programme instruments, industry only pays 50% of its costs.
- JTIs allow funding from the Framework Programme to be **combined with other public funding sources**, including, where appropriate, the Structural Funds and the Risk-Sharing Finance Facility and, in the case of ARTEMIS and ENIAC, national funds. This can have a significant leverage effect on private investment in JTIs and related economic activity.
- JTIs, by facilitating increased networking between large companies and SMEs, can be expected to facilitate greater **investment in research by SMEs**.
- The pan-European approach embodied in JTIs can also be expected to facilitate greater **co-ordination with the priorities of national programmes** in similar areas.

In addition, there are key elements in JTIs that are expected to contribute to a **greater mobilisation of research across Europe**.

JTIs are **open to new members** from all countries.

- JTIs will lead to the **formation of wide partnerships** that will involve a very large number of players from industry, including notably SMEs, the research community and wider society.
- A particular advantage of JTIs is that they will involve **SMEs in their networks**. As SMEs focus on technological niches across the full range of Member States, their involvement will help in particular the smaller Member States to become involved.
- Given the long-term partnerships that underpin JTIs, they can serve to **increase the breadth of technological coverage** in the areas that they focus on, thus having a positive effect on research across the 27 Member States and countries associated to the Framework Programme and so fostering Europe's competitive position in a global perspective.

4. Competition Policy Aspects

In developing proposals for JTIs, it is important to ensure that their design is **compatible with competition rules**.

Any competition assessment will depend on a set of facts that is specific to each case. Accordingly, the assessment may change if new and/or diverging facts are brought to the attention of the Commission services. A detailed description of the competition rules that have particular relevance to JTIs is included in Annex IV. The aspects that require particular consideration relate to **state aid, anti-trust and merger control**.

JTIs will channel substantial amounts of public money to selected undertakings in areas that may give them a technological edge and therefore a competitive advantage. The Community should not apply different **project selection principles** in the frame of JTIs to the principles defined – in the context of state aid policy - for the selection of projects by Member States.

The **state aid framework for Research, Development and Innovation (RDI)** has introduced a series of criteria for evaluating whether a given RDI project is acceptable. These guidelines should be used for guidance in selecting projects to benefit from JTI funding. In particular, JTI funding should by definition target a market failure, have an incentive effect (additionality), be proportional and result in only limited distortions to competition and trade.

While funding by JTIs should follow state aid rules, it appears, from a procedural point of view, that it **will not constitute State aid** within the scope of Article 87(1) EC. No notification to the Commission of any JTI funding will therefore be necessary.

Where national funding is linked to JTI funding, it cannot be excluded that this national funding could constitute State aid and must be notified to the Commission. However, if national funding is automatically granted to projects selected by the JTI, the rules and governance relating to the selection of projects by the JTI should be designed in such a way as to **avoid any Member State having a dominant influence** on the selection of projects. This is necessary to avoid state aid implications.

Under certain circumstances, joint research and development may give rise to **anti-trust issues** such as restrictive effects on prices, output, innovation, or variety and quality of products. Projects which are restrictive of competition and not automatically exempted under the R&D Block Exemption Regulation must be assessed on a **case-by-case basis**.

It must also be borne in mind that **cooperation should not be misused** by participants as a forum for exchanging commercially sensitive information between competitors which is not directly related to the project as such. This risk is greater to the extent that companies from the same industry operating on the same markets participate in some of the JTIs.

To the extent that a JTI might constitute a full-function joint venture with a Community dimension, scrutiny under the **EC Merger Regulation**⁵ may be required to check for any possibly adverse impact on competition which the arrangement might bring about.

⁵ Council Regulation (EC) No 139/2004 of 20 January 2004 on the control of concentrations between undertakings, OJ L 24 of 29.01.2004, p. 1.

5. Main Features of JTIs

Certain **guiding principles** have been identified with regards to the governance and management structures of JTIs to help ensure their success, at the same time recognizing that a "one-size-fits all" approach is not appropriate due the specific characteristics of each JTI in terms of nature of the technological challenges addressed, the stakeholders involved and the financial engineering needs. These guiding principles relate to the efficiency and durability of structures, long-term stakeholder commitment and implementation of the principles of openness, transparency, co-operation and sound financial management.

To reflect this, the proposed structures of JTIs include a number of **common features**, as described below.

5.1 Legal structure

The legal entities for JTIs will take the form of **Joint Undertakings** established on the basis of Article 171 of the Treaty.

The legal texts which will be agreed for the **first proposals can serve as models** for subsequent JTIs. For example, the provision on transparency regarding the beneficiary of funds⁶, which has recently been added to IMI and ARTEMIS, must be included in subsequent proposals.

In line with the concept that structures established on the basis of Article 171 of the Treaty are set up under Community law and receive Community funds, Joint Undertakings in the case of the six JTIs identified in the Seventh Framework Programme, will be set up as **Community bodies** as referred to in Article 185 of the Financial Regulation.

In its note on ELE (the European ITER Joint Undertaking), the Legal Service of the Council assimilates ELE to a Community agency for the purpose of applying Article 47 of the Inter-Institutional Agreement (IIA)⁷ and as a Community body for the purposes of Article 185.2 of the Financial Regulation⁸. Accordingly, as in the case of ELE, this has the following **implications for JTIs**: discharge for the implementation of the budget by the European Parliament⁹, the application of the framework Financial Regulation for bodies set up by the Communities¹⁰ with derogations as necessary and that the European Parliament must approve the budgetary implications of setting up a Joint Undertaking¹¹. In addition, the Principle of Transparency (in particular Article 30 of the Financial Regulation) applies.

Derogations from the framework Financial Regulation can be allowed in the case of well justified specific needs¹², subject to prior consent of the Commission.

In contrast to the legal structures of SESAR and Galileo, which involve an international organisation as a founding member, as well as third country representatives, the Protocol on

⁶ New Article 30.3 of the Financial Regulation

⁷ Opinion 6838/07 of the Legal Service of the Council of 27.02.2007, paragraph 12

⁸ Opinion 6838/07 of the Legal Service of the Council of 27.02.2007, paragraph 15

⁹ Article 185, paragraph 2, of the Financial Regulation

¹⁰ Commission Regulation (EC, Euratom) No 2342/2002 of 23 December 2002 laying down detailed rules for the implementation of Council Regulation (EC, Euratom) No 1605/2002 on the Financial Regulation applicable to the general budget of the European Communities

¹¹ Article 47 of the Inter-Institutional Agreement

¹² Article 185, paragraph 1, of the Financial Regulation

Privileges and Immunities applies and Joint Undertakings can **benefit from tax exemptions** (VAT, excise duties).

The Commission is the 'ordonnateur' for the Community contribution to the Joint Undertaking. The Executive Director is responsible for the implementation of the activities and the budget of the Joint Undertaking and represents the Joint Undertaking with regard to the discharge procedure. As the public and private contributions are linked in the operation of the JTI and form a consolidated whole in its accounts, it is envisaged that Parliament's discharge will cover the entire JTI budget. It will be made clear, however, that this constitutes a precedent and that in this context the **specificities of the public-private partnership**, in particular of the private sector contribution, will have to be taken into account.

However, a Community body does not mean that a JTI will be a Community agency since the objective is to create a public-private partnership. An appropriate account should be taken of the **specificities resulting from the needs of JTIs** as public-private partnerships.

The Staff Regulations of officials of the European Communities will be applied to staff of the Joint Undertakings, with the necessary **flexibility in terms of the implementing rules**.

The Joint Undertakings will have their **own internal audit capability**. The Commission and the Court of Auditors may carry out on-the-spot checks on the Joint Undertaking and among the recipients of the Joint Undertaking's funding. Necessary provisions will be made for this in the grant agreements and contracts with funding beneficiaries

5.2 Form of the Community contribution to JTIs

In accordance with the Financial Regulation¹³, the Community financial support for JTIs does not constitute a grant, but a **contribution**.

A Joint Undertaking which is created as a structure under Community Law falls under Article 54.2.b of the Financial Regulation. Moreover, contributions to such bodies do not constitute a grant in the meaning of Title VI of the Financial Regulation (Article 108.2.f of the Financial Regulation) and consequently Article 120.2 of the Financial Regulation ("cascade grants") does not apply.

The draft legislative proposals for JTIs include several provisions in order to **protect the financial interests of the Community**. These, in particular, address:

- Veto right of the Community: a list of minimum issues on which the Community should enjoy a veto right is being established (such as the use of the Community contribution, the modification of the Statutes, the derogations to the framework Financial Regulation, the method of calculating in kind contributions);
- Internal and external controls by the Joint Undertaking;
- On-the-spot checks by the Court of Auditors and the Commission (including OLAF) on the recipients of funding;
- Right of the Community to recover amounts unduly received or to reduce or suspend its contribution to the Joint Undertaking if irregularities are discovered or obligations are not respected.

Financial contributions are not subject to the specific rules on grants defined in the Financial Regulation. Furthermore, the **Rules for Participation of the Seventh Framework**

¹³ New Articles 108a.1 and 108.2.f of the Financial Regulation

Programme are not applicable to contributions made to bodies set up under Article 171 of the Treaty. However, the aspects of the Rules relating to participation and to dissemination should be taken into account in the internal regulations of the Joint Undertaking.

Moreover, the rules regarding participation and dissemination should be seen in the context of the **added value of each JTI** in comparison with alternative approaches, in particular conventional support under the Framework Programme. An important issue is the need to strike an appropriate balance between the provisions to be included in the JTI Regulation and/or the Statutes and those which could figure in the internal regulations of the Joint Undertaking.

To ensure full transparency, two separate budget lines will be created; one for the running costs of the Joint Undertaking and another one for the research costs. However, when establishing the Preliminary Draft Budget, the Joint Undertaking's **running costs will be considered as operational expenditure** and will not be accounted as administrative expenditure under the terms of the Seventh Framework Programme.

At the same time, terminology used in the rules of participation and dissemination of the Joint Undertaking will, as a general rule, be **in line with the overall terminology applied in the Seventh Framework Programme** and, notably, as set out in its Rules for Participation.

5.3 Organisation of consortia/calls for proposals

As stated in the Commission report to the June 2005 European Council¹⁴, JTIs should not be "closed shops", but should be **open structures**.

As regards the issue of the openness of JTI consortia, **any legal entity** established in a Member State or country associated to the Seventh Framework Programme is eligible to become a member of a Joint Undertaking during its operation.

With regard to calls for proposals, the Community contribution to JTIs will be used to support projects selected via **open calls for proposals**, in addition to supporting part of the running costs of the Joint Undertakings.

'Open calls' implies that any legal entity is eligible to respond to calls for proposals to be organised by the Joint Undertaking. Community funding will be allocated on the basis of the Framework Programme **principles of excellence and competition**. The key principle is that the research should be performed in Europe.

If exceptions to open calls, for example calls only open to members of a JTI, were to be considered, they would need to be provided for in the legal base. In addition, particular attention would need to be paid to the **respect of competition rules**.

5.4 Accountability, communication and reporting

Common features in terms of accountability, communication and reporting are as follows:

- Annual activity report (scientific and financial issues) from the Joint Undertaking to its members (activities undertaken during the previous year and foreseen during the following year);
- Annual report from the Commission to the Council and European Parliament on the activities of the previous year;

¹⁴ Report on European Technology Platforms and Joint Technology Initiatives: Fostering Public-Private R&D Partnerships to Boost Europe's Industrial Competitiveness, SEC(2005) 800 of 10.06.2005

- Accountability of the Commission and Joint Undertaking (the latter through its Executive Director), to the Council and European Parliament (the latter gives discharge to the Joint Undertaking)¹⁵;
- Mid-term and final evaluation of the Joint Undertaking by the Commission (possibly with the support of independent experts) and presentation of results to the Council and European Parliament;
- Harmonisation regarding the dissemination of calls (e.g. announcement in CORDIS and/or the Official Journal).

5.5 Protection of the financial interests of the Community

The legislative proposals for JTIs include the **standard provisions** regarding the protection of the financial interests of the Community (further details are provided in Annex III).

Furthermore, the contribution of the Community is limited in all cases to a **maximum of 50% of the total cost of projects** supported by the Joint Undertaking and the provision on effective and efficient internal control¹⁶ of the Financial Regulation applies.

5.6 Intellectual Property Rights

A **harmonised approach** to intellectual property rights (IPR) has been taken across JTIs as regards the terms and definitions as well as the ownership and access rules. In addition, unless required by individual JTIs for operational reasons, the detailed rules should be included in the internal regulations of the JTI.

5.7 In-kind contributions

A set of **principles to assess the value** of in-kind contributions at project level has been developed. These are as follows:

- Use of the Implementing Rules of the Financial Regulations as guidelines;
- Additional items covered by International Accounting Standards;
- Assessment of contributions to research projects in accordance with the values generally accepted on the market in question (Art 172(2)(b) of the Implementing Rules of the Financial Regulation); verification by an independent auditor.

In general, the Rules for Participation of the Seventh Framework Programme provide an appropriate basis for identifying and calculating eligible costs.

5.8 Financial issues

Financial resources are necessary to support the running costs of the Secretariat as well as the costs of the R&D. In all JTIs, these will be **provided jointly** by the public and private partners.

The way in which the R&D will be financed differs between JTIs. In addition, the financial mechanisms for JTIs are tailored to their specific objectives and stakeholder base. While the procedures for organising **calls for proposals are open** in all JTIs, the precise way in which funds will be disbursed differs.

¹⁵ Article 47 of the Inter-Institutional Agreement

¹⁶ Article 28a of the Financial Regulation

5.9 Governance structure

Each Joint Undertaking will include one or more **decision-making bodies**, a Secretariat, Executive Director (appointed by the decision-making body; responsible for day-to-day management; legal representative of the Joint Undertaking) and in some cases a scientific advisory committee.

In addition, **clear rules** for the adoption of the annual implementation plan and its implementation (e.g. via calls for proposals or public procurement) are defined by each JTI.

5.10 Role of the Commission in governance

The European Community (represented by the Commission) is a **founding member** of each JTI and is involved in the decision-making process. In each initiative, the Commission enjoys a **veto right** (a list of minimum issues on which the Commission enjoys veto right is being established).

At the same time, the **nature of the Commission's involvement** in individual JTIs is dependent on the specific characteristics of its governance structure.

6. Conclusions

Given the political importance of JTIs, it is important that the **principles and features** of the JTIs are fully understood from the outset.

In addition, the definitive commitment letters to be signed by the private partners (before adoption of the Regulations by Council) will include references not only to the overall budget to be committed by industry, but also to their **commitment to the governance and financial aspects** of the Joint Undertakings, particularly acknowledging the consequences of the specific legal status of the Joint Undertakings under Community law.



GUIDE FOR APPLICANTS

ARTEMIS Joint Undertaking

Second Call for proposals

ARTEMIS Call 2009 (ARTEMIS-2009-1)

***Further copies of this Guide, together with all information related to this Call for Proposals, can be downloaded from
https://www.artemis-ju.eu/call_2009***

1. The ARTEMIS Joint Undertaking

The ARTEMIS Joint Undertaking (JU) was created in February 2008 in order to implement a Joint Technology Initiative (JTI) in Embedded Computing Systems; the main component of this JTI is a research programme addressing the design, development and deployment of embedded systems. The ARTEMIS JU is set up as a public-private partnership, bringing together the European Commission and about 20 European countries with ARTEMISIA, which is an association representing the R&D actors in the area of embedded systems (companies, research centres, universities). The operational costs of running the JU are financed by the ARTEMIS Industrial Association (ARTEMISIA) paying up to 20-30 M€ and the European Commission paying up to 10 M€. The research budget of the JU is financed entirely by the European Commission. ARTEMISIA finances their contribution to the ARTEMIS JU operational costs from a 1.5% contribution fee on eligible project costs. Non-members of ARTEMISIA will be invited by ARTEMISIA to voluntarily sign a Declaration of Acceptance to pay the same 1.5% contribution fee to ARTEMISIA, as the ARTEMISIA members do, in order to participate in the support of the initiative.

The ARTEMIS JU will support **R&D projects** through open and competitive **calls for proposals**. The technological content of calls for proposals is described in detail in the ARTEMIS Annual Work Programme (AWP). A longer term strategy is described in the ARTEMIS Multi-Annual Strategic Plan (MASP).

Funding decisions under the ARTEMIS JU Annual Work Programme are made on the basis of proposals submitted in response to a call. Proposals should describe planned research activities, information on who will carry them out, and how much they will cost. The ARTEMIS JU evaluates all eligible proposals in order to identify those whose quality is sufficiently high for possible funding. This **evaluation** is a peer-review carried out by independent experts.

Following the evaluation, the Public Authorities Board¹ of the ARTEMIS JU decides on the selection of proposals and the allocation of public funding (ARTEMIS JU and national funding). The ARTEMIS Joint Undertaking then **negotiates** with selected proposals taking into account the maximum public funding allocated and the potential recommendations for changes.

If negotiations are successfully concluded, grant agreements providing for a **JU financial contribution** (JU grant agreements) are established with the participants. Participants from ARTEMIS Member States must also conclude national grant agreements with their own **national funding authorities** as they normally also receive a **national financial contribution**. Each project participant established in an ARTEMIS Member State thus receives two streams of funding: one from the JU (which comes from the EU budget) and one from the ARTEMIS Member State. If the participant comes from an EU Member State or a country associated to the Framework Programme that is *not* an ARTEMIS Member State then he receives only the JU financial contribution. The remaining support needed to cover the costs of the proposed work comes from the participants' own resources.

ARTEMIS Member States are:

Austria, Belgium, Czech Republic, Cyprus, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Netherlands, Norway, Portugal, Romania, Slovenia, Spain, Sweden, United Kingdom.

This Guide for Applicants contains the essential information to guide you through the process of preparing and submitting a proposal.

¹ The Public Authorities Board is a body of the ARTEMIS JU composed of the public authorities (ARTEMIS member States and the European Commission)

2. ARTEMIS research projects

Purpose

ARTEMIS research projects are industry-driven projects in the field of embedded systems, which aim at generating new and improved technologies and in applying them in products, processes or services; in order to strengthen the competitiveness of European industry, improve sustainability, and facilitate the emergence of new markets and applications that respond to societal needs.

The projects should have clearly defined and sharply focused objectives and approach. All projects should have a proper balance of application focus vs. generic technology development. The description of work and the composition of the consortium are normally fixed for the duration of the project.

Size and resources

The consortium must be composed of at least three 'legal entities' established in at least three different ARTEMIS Member States. The entities must be independent of each other.

The size, scope and internal organisation of projects can vary. Normally we expect projects to involve between 6 and 15 participants. The ARTEMIS JU promotes the involvement of SMEs in its activities. More specific guidance may be given in the ARTEMIS Annual Work Programme.

Duration

Projects are expected to last typically two to three years. However, there is no formal minimum or maximum duration. More specific guidance for particular research objectives may be given in the ARTEMIS Annual Work Programme or call text.

Activities

The activities to be carried out in the context of a project can include:

- research and technological development activities, reflecting the core activities of the project; these should aim at a significant advance beyond the established state-of-the-art
- demonstration or experimental development activities, designed to prove the viability of new technologies that offer a potential economic advantage, but which cannot be commercialised directly (e.g. testing of product-like prototypes)
- management activities linking together all the project components and maintaining communications with the ARTEMIS JU
- other activities including dissemination, exploitation and market watch

Financial Regime

Support to projects is implemented through a co-funding scheme. The projects will be supported both by public funding (the financial contributions from the ARTEMIS Joint Undertaking and from the ARTEMIS Member States to reimburse part of the eligible costs) as well as by contributions in kind from the project participants. Public funding will be provided at a percentage of the total eligible costs incurred by participants to implement the projects. The total public financial contribution to a participant shall not give rise to a profit (i.e. it will not exceed its eligible costs).

The **financial contribution of the ARTEMIS Joint Undertaking** to selected projects is published in the Call. For the ARTEMIS Call 2009 it will be 16.7% of eligible costs incurred by a participant to implement a project.

The indicative maximum budget committed by the JU is published in the Call.

A JU financial contribution may be given to any legal entity established in any EU Member State or FP7 Associated country (including the European Commission's Joint Research Centre). These are presently:

Albania, Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Israel, Italy, Latvia, Liechtenstein, Lithuania, Luxembourg, FYR Macedonia, Malta, Montenegro, Netherlands, Norway, Poland, Portugal, Romania, Serbia, Slovakia, Slovenia, Spain, Sweden, Switzerland, Turkey, United Kingdom.

Further countries are currently negotiating FP7 association; please check: http://cordis.europa.eu/fp7/who_en.html for the latest information.

The **financial contribution of the ARTEMIS Member States** will be a certain percentage of eligible costs incurred by a participant to implement a project, which may vary according to the type of participant and the type of R&D activity as specified by each ARTEMIS Member State (see Annex 5). The list of ARTEMIS Member States and the maximum total financial contribution of each are specified in each Call.

Eligible costs¹ are defined in the following way:

- For participants established in ARTEMIS Member States, eligible costs are defined by the respective funding authorities issuing the national grant agreements (see Annex 4).
- For participants established in EU Member States or Associated Countries to the Seventh Framework Programme that are *not* ARTEMIS Member States, eligible costs are defined by the ARTEMIS Joint Undertaking (see Annex 4).

Project Agreement

Participants to ARTEMIS JU projects need to jointly sign a 'Project Agreement' before entering into the ARTEMIS JU Grant agreement. A Project Agreement means an agreement between Project participants setting forth all or part of the terms and conditions that apply between them regarding a specific Project. The Project Agreement should cover:

- the internal organisation of the consortium including the decision making procedures;
- rules on dissemination and use, and access rights;
- the settlement of internal disputes, including cases of abuse of power;
- liability, indemnification and confidentiality arrangements between the beneficiaries.

Templates for Project Agreements can be found at the ARTEMISIA and CORDIS websites (see Annex 1)

Project monitoring and review

The JU will set up procedures for the supervision and control of the R&D activities of projects which are underway. The aim of a technical audit or review shall be to assess the work carried out under the Project over a certain period, *inter alia*, by evaluating the Project reports and deliverables relevant to the period in question. Such audits and reviews may cover scientific, technological and other aspects relating to the proper execution of the Project and the grant agreement.

¹ VAT is not considered as an eligible costs under any circumstance

A.5.8 France

Reference website where partners can calculate what their eligible cost are according to national rules: <http://www.telecom.gouv.fr/artemis>

Type of Organisation Type of activity	Percentage of the national subsidy to the beneficiaries			
	Large Enterprises, Groups and Associations of Enterprises (1)	Medium Enterprises (1)	Small Enterprises (1)	Public Research Institutes and Universities (2)
Fundamental/Basic Research	0%	0%	0%	0%
Industrial/Applied Research	8,3%	13,3%	13,3%	83,3%
Experimental development	8,3%	13,3%	13,3%	83,3%

Notes:

(1) The basis for eligible costs are total costs.

(2) The general basis for eligible costs are the marginal costs. For more details, see the reference website.

Preparation of Part C. Only for the Full Project Proposal (not for the Project Outline):

Please note that for each French participant you need to create a ZIP file with administrative information requested by the French authorities and upload this in the ARTEMIS Proposal Submission system as Part C of the **FPP** (one file for each participant).

Application forms, guidelines, information required (including regulations), instructions and auxiliary terms and conditions, as well as specific information how to create the ZIP file for the Part C of the FPP can be found at: <http://www.telecom.gouv.fr/artemis>

> Taux de subvention utilisé par les autorités françaises

Les autorités françaises distinguent trois types de partenaires :

1. Les entreprises et autres entités assimilées, pour lesquelles les dépenses éligibles sont basées sur les **dépenses totales** associées au projet : sociétés commerciales, groupements d'intérêt économique, entreprises publiques, centres techniques, certains établissements publics à caractère industriel et commercial, ainsi que certaines associations dont le fonctionnement est comparable à celui des entreprises (chiffre d'affaires, charges de personnel et frais généraux élevés, actif immobilisé important).
2. Les partenaires pour lesquels les dépenses éligibles sont basées sur les **coûts marginaux** associés au projet : entités (unités de recherche, laboratoires ..) faisant partie d'établissements, d'écoles ou d'instituts publics.
3. Les associations, et assimilés, vérifiant les trois conditions suivantes :
 - i. L'activité principale est la R&D
 - ii. Le financement est majoritairement sur crédits publics
 - iii. Le financement est compatible avec une subvention basée sur les dépenses totales (notamment compte tenu de la part des financements hors dotations budgétaires annuelles).

R étant le taux de financement de l'entreprise commune, les autorités françaises utiliseront les taux de subvention suivants :

- Les partenaires de la catégorie **1** seront soutenus par voie de subvention, à un taux de (30% -R) de leurs dépenses éligibles pour les PME et (25%-R) de leurs dépenses éligibles pour les autres entités.
- Les partenaires de la catégorie **2** seront soutenus par voie de subvention, à un taux de (100% -R) de leurs dépenses éligibles.
- Les partenaires de la catégorie **3** sont, en règle générale, soutenus selon les règles applicables aux partenaires de la catégorie 2. Toutefois, ces partenaires peuvent demander à bénéficier d'un soutien selon les principes applicables aux partenaires de la catégorie 1. Dans ce cas, le taux de subvention utilisé est de (40% -R) des dépenses éligibles

N.B. : Pour l'année 2009, R a été fixé à 16,7%



8 mai 2008 [Dernière mise à jour : 19 mars 2009]

© Ministère de l'Économie, de l'industrie et de l'emploi - 2008

Appel Internet plus sûr

Appels à projets Web 2.0 et Serious Gaming

Appels Artemis et Eniac 2009

Appel CIP-ICT PSP-2009-3 bis

Accès à nos services

Appels à concurrence

Soumettre un événement

Rechercher un partenariat

ACCÈS RÉSERVÉS

Achpub
TIC & e-Santé
Comité PIIC
GTN-TIC
PCRDT
Comité IIE

The ICT Theme in FP7
How to submit a proposal

The Rules of the
Collaborative Projects

ICT Event

Lyon November 2008

Minimum consortia

- Three independent legal entities from three different EU Member States or Associated countries
- EEIGs composed of members that meet the criteria above can participate
- International (intergovernmental) organisations can participate
- Participants from third countries if in addition to minima
- Collaborative projects for specific cooperation actions (SICA) dedicated to international cooperation partner countries (ICPC): minimum 4 participants of which 2 in different MS or AC and 2 in different ICPC countries unless otherwise specified
- Support actions; no restrictions

Community financial contribution

Eligibility for Funding:

- Legal entities from MS and AC or created under Community law (and the JRC)
- International European interest organisations
- Legal entities established in international cooperation partner countries (ICPC-INCO)

and

- International organisations
- Legal entities established in 3rd countries other than ICPC-INCO, if provided for in SP or WP or essential for carrying out action; if or provision for funding is provided for in a bilateral agreement between Community and that country

Grant agreement

Model grant agreement to be negotiated:

- to establish rights and obligations of participants (including submission of reports, termination, access rights);
- to identify whether and what part of EC financial contribution is based on reimbursement of eligible costs, lump sums or flat rates;
- to identify which changes in the consortium require prior publication of competitive call;
- shall reflect general principles of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers
- specific provisions for certain types of actions (IPR particularly)
- grant agreement comes into force upon signature by coordinator and Commission and applies to each participant that accedes

Consortia

- **Consortium agreements obligatory** unless exempted by call for proposals, Commission to publish guidelines
- **Coordinator** acts as efficient interface between consortium and Commission (verifies accession, monitors compliance, receives and distributes EC contribution, keeps financial records and ensures timely delivery of reports)
- Tacit approval for changes in consortium membership, except if associated with other changes
- Written approval for change of coordinator

Reimbursement of eligible costs

Cost reporting models eliminated; all participants report **direct** and **indirect** (overhead) eligible costs

Eligible costs

- Actual
- Incurred during the project
- Determined according to usual accounting and management principles/practices
- Used solely to achieve project objectives
- Consistent with principles of economy, efficiency and effectiveness
- Recorded in accounts (or the accounts of third parties)
- Exclusive of non-eligible costs
- Average personnel costs may be used if consistent with above and do not differ significantly from actual - but only if a certificate on the way to calculate the average costs is submitted

Direct costs IP, STREP, NoE

- **Research and technological development activities:**
 - **50%** funding of eligible costs except for:
 - Public bodies (non-profit): – **75%**
 - Secondary and higher education establishments: – **75%**
 - Research organisations (non-profit): – **75%**
 - Small and Medium sized Enterprises - SMEs: – **75%**
- **Demonstration activities:** all: – **50%** of eligible costs
- **Other activities:** all: – **100%** including e.g. consortium management, dissemination, certification costs

Direct costs CA, SA

- **Coordination and support actions** – **100%**

Indirect costs IP, STREP, NoE

Any participant

- **Actual** indirect costs (participants may use a simplified method of calculation)
or
- **Flat-rate** of direct eligible costs excluding subcontracts (to be established by the Commission – currently **20%**)

Non-profit public bodies, secondary and higher education establishments, research organisations and SMEs unable to identify real indirect costs

- Flat-rate of **60%** of total direct eligible costs (for calls closing before the end of 2009, i. e. ICT calls 4 and 5)
- Flat rate of **minimum 40%**, to be established by the Commission (as of calls closing after the 1/1 2010, i. e. ICT call 6)

Indirect costs CA, SA

Flat rate of indirect costs: **7%**



Représente la France dans le réseau EUREKA



EUREKA en bref

Initiative intergouvernementale, créée en 1985 sous l'impulsion de la France et de l'Allemagne, pour promouvoir la coopération entre entreprises et instituts de recherche européens, EUREKA vise à développer des produits, procédés ou services innovants et rapidement compétitifs sur le marché mondial. EUREKA est ainsi à l'origine de succès reconnus comme le renouveau de l'industrie de la microélectronique européenne mais aussi l'implication croissante de Pme basées en Europe dans la conquête de marchés internationaux.

En 2008, EUREKA regroupe 39 membres dont :

- 26 des 27¹ pays de l'Union européenne, (Allemagne, Autriche, Belgique, Chypre, Danemark, Espagne, Estonie, Finlande, France, Grèce, Hongrie, Irlande, Italie, Lettonie, Lituanie, Luxembourg, Malte, Pays-Bas, Pologne, Portugal, République Tchèque, Roumanie, Royaume Uni, Slovaquie, Slovénie, Suède),
- 12 autres pays d'Europe (Ancienne République yougoslave de Macédoine, Croatie, Islande, Israël, Monaco, Norvège, Russie, Saint Marin, Serbie, Suisse, Turquie, Ukraine),
- la Commission européenne.

EUREKA s'organise au travers de présidences annuelles et le réseau se réunit quatre fois par an (janvier, avril, juin et Octobre) pour approuver l'attribution des labels. Les prochaines présidences sont :

- Portugal Juillet 2008-Juin 2009,
- Allemagne Juillet 2009-Juin 2010,
- Israël Juillet 2010-Juin 2011.

Le Label EUREKA certifie la qualité du projet. Puissant vecteur de communication de notoriété internationale, il valorise l'offre produit des partenaires du projet, et constitue une référence pour les investisseurs. Les projets EUREKA et les partenaires sont habilités à arborer le logo EUREKA, confortant ainsi leur image de marque technologique et de dimension internationale.

Les projets sont librement choisis par les entreprises, quel que soit le secteur industriel concerné. L'exploitation des résultats obtenus se fait, conformément à l'accord de consortium convenu directement entre les partenaires. La procédure à suivre pour créer ou se joindre à un projet EUREKA est très simple.

Les critères d'éligibilité d'un projet sont clairs et en nombres limités :

- des partenaires indépendants d'au moins deux pays membres d'EUREKA,
- une réelle valeur d'innovation,
- un produit, procédé ou service rapidement commercialisable pour des marchés civils,
- un partenariat relativement équilibré (investissement, valeur ajoutée et retours économiques),
- une viabilité technique, économique et financière vérifiable.

La durée moyenne de retour sur investissement en fonds publics engagés dans un projet EUREKA est de 2 ans.

Les initiatives stratégiques " Clusters " et " Parapluies " d'EUREKA

Les Clusters EUREKA sont des initiatives industrielles à long terme qui visent à développer les technologies génériques les plus essentielles pour la compétitivité européenne, notamment dans le secteur des TIC et, plus récemment, dans celui de l'énergie. Ils sont généralement animés par un conseil issu de grands groupes concurrents mais associent aussi de petites entreprises, des instituts de recherche et des universités.

Les Parapluies EUREKA sont des réseaux thématiques qui identifient des domaines d'actions à privilégier pour susciter des projets EUREKA.

Les projets d'initiative individuelle dans EUREKA

Les projets d'initiative individuelle, élaborés en très grande majorité par des Pme, doivent aboutir à un produit, un procédé ou un service, destiné à être commercialisé à court ou moyen terme. Le consortium est constitué au minimum de deux partenaires de deux pays EUREKA auxquels peuvent s'ajouter des partenaires issus de la recherche publique. Les projets sont évalués en continu en 3 à 4 mois.

Le programme Eurostars, élaboré par EUREKA et la Commission européenne est une variante des projets individuels, destinée à stimuler les PME performantes en R&D. Il fait l'objet d'appels à projets annuels.

• ¹ la Bulgarie faisant provisoirement exception,

L'organisation d'EUREKA France

EUREKA demeure un enjeu stratégique pour la France, elle en est non seulement l'un des fondateurs, mais également un de ses membres les plus actifs.

EUREKA France est organisé autour d'un comité interministériel placé sous l'autorité des ministères en charge de la Recherche et de l'Industrie, et associe l'ensemble des ministères et des agences chargés de soutenir la Recherche - Développement et l'Innovation en France. Les Ministères techniques ou agences contribuent à l'évaluation des projets qui entrent dans leurs missions spécifiques et peuvent dans certains cas les soutenir financièrement.

Les liens d'EUREKA France avec les aides publiques

Les organismes susceptibles d'apporter une aide publique sont principalement :

- La Direction générale de la compétitivité, de l'industrie et des services (MEIE/DGCIS) : www.telecom.gouv.fr/rubriques-menu/soutiens-financements/programme-eureka/50.html
- Le groupe OSEO : www.oseo.fr/votre_projet/innovation/aides_et_financements/aides

Et sous certaines conditions Liées à leurs procédures propres :

- Le Fond Unique Interministériel (FUI) : www.minefe.gouv.fr
- L'Agence Nationale de la Recherche (ANR) : www.agence-nationale-recherche.fr
- L'Agence de l'Environnement et de la Maîtrise de l'Energie (ADEME) : www2.ademe.fr
- Les ministères techniques peuvent, dans certains cas, soutenir financièrement les projets qui entrent dans leurs missions spécifiques.

EUREKA France examine en outre, avec ses homologues européens les conditions dans lesquelles les partenaires étrangers des entreprises françaises peuvent être financés, pour la part de R & D qui leur revient, par leurs instances nationales. En France, le financement public peut s'opérer au cas par cas sous forme de subventions allant de 30% pour les TPE-PME à 100% des coûts marginaux pour les laboratoires de recherche publique ou sous forme de prêt à taux zéro remboursable en cas de succès) à concurrence de 60% de l'assiette retenue pour les dépenses de R & D.

Les participants des projets EUREKA peuvent bénéficier d'une aide financière publique dispensée par les Etats dont ils relèvent. A cet égard, la démarche EUREKA permet dans de nombreux pays, et particulièrement en France, de stimuler les engagements des organismes chargés d'accorder des aides publiques vis-à-vis des partenaires nationaux.

Dans le cas où les financements ne pourraient être attribués (dispositions spécifiques à chacun des pays, nature des travaux et des partenaires par exemple), le label EUREKA peut être accordé pour autant que les partenaires formalisent cette situation auprès de leur représentation EUREKA par un engagement d'autofinancer leur part de projet.