



EUROPEAN
COMMISSION

Community research

Joint Technology Initiatives (JTIs)

**European Commission
DG Research**

**RTD.B.1: Coordination of national research programmes –
joint programming and major European initiatives**

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Not legally binding





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Overview

- **JTIs and FP7**
- **Main common features / divergences**
- **Preparatory actions**
- **Calls for proposals / Grants**



Introduction

- **European Technology Platforms (ETPs)**
- **Public Private Partnerships (PPPs)**
- **EC Art. 171:**
 - “The Community may set up joint undertakings or any other structure necessary for the efficient execution of Community research, technological development and demonstration programmes”
 - ✓ does not prejudice the legal form
 - ✓ Council decides by qualified majority
 - ❖ the European Parliament and the Economic and Social Committee are consulted
- **Previous Joint Undertakings (JUs) under EC Art. 171:**
 - **Galileo, SESAR**





JTIs and FP7 (1) – Main provisions

- **JTIs: a special funding scheme for the implementation of FP7**
 - when the *scope* of an RTD objective and the *scale* of the resources involved could justify setting up PPPs
- **Need to ensure:**
 - transparent operation, excellence and competition
 - openness to a wide range of participants, in particular SMEs
 - overall coherence and coordination between JTIs and programmes and projects in the same fields
- **Rules of participation and dissemination of results: do not apply**





JTIs and FP7 (2) – Identification criteria in FP7

- ***Inability of existing instruments to achieve the objective***
- ***Impact on industrial competitiveness and growth***
- ***Added value of European-level intervention***
- ***Degree and clarity of definition of the objective and deliverables to be pursued***
- ***Strength of the financial and resource commitment from industry***
- ***Importance of the contribution to broader policy objectives including benefit to society***
- ***Capacity to attract additional national support and leverage current and future industry funding***





JTIs and FP7 (3) – Initiatives identified

➤ In the Specific Programme “Cooperation”

5 JTIs adopted: <i>[Commission proposal / adoption by Council]</i>	EC cont. (€)	Ant. total (€)
“Innovative Medicines Initiative” (IMI) [15.05.2007 / 20.12.2007]	1 bn	>2 bn
“Aeronautics and Air Transport” (Clean Sky) [13.06.2007 / 20.12.2007]	800 mio	1,6 bn
“Embedded Computing Systems” (ARTEMIS) [15.05.2007 / 20.12.2007]	420 mio	2,7 bn
“Nanoelectronics Technologies 2020” (ENIAC) [22.06.2007 / 20.12.2007]	450 mio	3,0 bn
“Hydrogen and Fuel Cells Initiative” (FCH) [09.10.2007 / 30.05.2008]	470 mio	>940 mio

- 6th: “GMES” to be implemented through ESA & grants

➡ **No “one size fits all”**





Main features / divergences in the five JTI Regulations (1)

- **Each JU is established by a Council Regulation:**
- **Main part; Statutes**
 - **Legal status:**
 - ✓ JUs have legal personality
 - ✓ JUs are **Community bodies** receiving a “contribution”
 - ❖ **Financial Rules: JU specific**
 - » based on the framework Financial Regulation for Community bodies
 - » derogations on the basis of specific JTI operating needs
 - ❖ **Discharge by the European Parliament**
 - **Protection of financial interests and anti-fraud measures**
 - ✓ internal audit capacity
 - ✓ on-the-spot checks by the Commission, Court of Auditors
 - ✓ investigations by OLAF





Main features / divergences in the five JTI Regulations (2)

- **EC Staff Regulations apply**
 - ✓ Appointing authority is the JU
 - ✓ Implementing measures to be adopted by the JU
- **EC Protocol on Privileges & Immunities applies**
 - ✓ to the JU; its staff
 - ✓ directly / via host agreement
- **Liability: contractual; non contractual**
- **Jurisdiction: Court of Justice**
- **Applicable law: Community law**
 - ✓ for matters not covered: law of the host state
- **IPR rules based on FP7 rules**
 - ✓ but adapted to specific needs



Main features / divergences in the five JTI Regulations (3)

- **Founding Members:**
 - ✓ European Community
 - ✓ Industrial Association [In Clean Sky: 12 ITD Leaders + 74 ITD Associates]
 - ✓ [+18/13 Member States only in ARTEMIS/ENIAC]
- **Possibility to become new Members:**
 - ✓ [States only in ARTEMIS/ENIAC:
 - ❖ Member States (MS), Associated Countries (AC)
 - ❖ Other Countries (OC) subject to acceptance]
 - ✓ **Legal entities:**
 - ❖ from MS or AC (subject to acceptance) [FCH: only Research Grouping (it actually became Member on 14.07.2008)]
 - ❖ [from OC only in ARTEMIS/ENIAC subject to acceptance]



Main features / divergences in the five JTI Regulations (4)

- **JU bodies:**
 - ✓ **Governing Board; Executive Director;**
 - ✓ **Other bodies:**
 - ❖ **IMI: Scientific Committee**
 - ❖ **Clean Sky: ITD Steering Committees; Technology Evaluator Steering Committee; General Forum; Advisory Board to be established by the JU**
 - ❖ **FCH: Scientific Committee**
 - ❖ **ARTEMIS/ENIAC: Public Authorities Board; Industry & Research Committee**
 - ✓ **External advisory bodies:**
 - ❖ **IMI: States Representatives Group; Stakeholder Forum**
 - ❖ **Clean Sky: States Representatives Group**
 - ❖ **FCH: States Representatives Group; Stakeholder General Assembly**



Main features / divergences in the five JTI Regulations (5)

- **Reporting to MS and AC:**
 - ✓ **IMI, Clean Sky, FCH:**
 - ❖ States Representatives Groups are responsible for disseminating information at national level
 - ✓ **ARTEMIS, ENIAC:**
 - ❖ MS and AC that are members of the JU are represented in the Governing Board and the Public Authorities Board
 - ❖ MS and AC that are not members of the JU can participate in the Public Authorities Board as observers



Main features / divergences in the five JTI Regulations (6)

- **Voting and veto (Commission represents the European Community)**

	IMI	Clean Sky	FCH	ARTEMIS/ENIAC
Representatives/ Votes	<ul style="list-style-type: none"> - EC: max.5/5 - EFPIA: max.5/5 - New members: max.5/tbd - All votes are indivisible. 	<ul style="list-style-type: none"> - EC: 1/1 - 12 Leaders (of 6 ITDs): 12/12 - 6 ITD Associates: 6/6 	<ul style="list-style-type: none"> - EC: 5/5 - IG: 6/6 - RG: 1/1 - EC vote is indivisible. 	<ul style="list-style-type: none"> - Public Authorities (=EC+JU States): 50% - - distributed annually in proportion to funds committed in the last 2 years (EC min. 10%) - - initial distribution: 1/3 for EC, 2/3 equally amongst JU States - Industrial Association: 50% - New members that are not Public Authorities: max. 10% (tbd) - The Public Authorities and the Industrial Association must have equal voting rights.
Majority	- 3/4 majority.	- 2/3 majority of all eligible votes. - Eligible votes include those of members that are not present at the Governing Board meeting.	- 3/4 majority.	- 3/4 majority.
EC Veto	A negative vote of the EC (or EFPIA) is a veto.	E.g.: Use of EC financial contribution, >10% changes in the budget of affected ITDs, Strategy, Conclusion of contracts, Admission of new members, Assessment of in-kind contributions, ...	The voting rules imply the possibility to block a decision.	E.g.: Use of EC financial contribution, Admission of new members, Termination of memberships ...





Main features / divergences in the five JTI Regulations (7)

- **Implementation of R&D activities:**
 - ✓ **JU launches calls for proposals [Clean Sky allocates 400 mio € to ITD leaders and 200 mio € to ITD associates]**
 - ✓ **Possibility to participate in JU research projects:**
 - ❖ **legal entities in MS or AC: Yes, minimum conditions may apply**
 - ❖ **legal entities in OC: Yes, subject to acceptance and minimum conditions**
 - ✓ **Possibility to receive funding from JU research projects**
 - ❖ **legal entities in MS or AC: Yes [In IMI, EFPIA members are not eligible]**
 - ❖ **legal entities in OC: Not excluded [In ARTEMIS/ENIAC first call: No]**
 - ✓ **Peer review**
 - ✓ **Grant Agreements [also by MS in ARTEMIS/ENIAC]**
 - ❖ **In kind contributions**
- **Duration: 10 years**



Preparatory actions (other than call logistics)

- ✓ **Appointment of:**
 - ❖ **Governing Board representatives**
 - ❖ **Interim Executive Directors**
- ✓ **Governing Board Rules of Procedure**
- ✓ **JU Financial Rules**
- ✓ **Amending Budget 2008, Budget 2009**
- ✓ **Financing decisions**
- ✓ **Model Grant Agreements**
- ✓ **Staff**
 - ❖ **Staff Policy Plans, Staff Establishment Plans**
 - ❖ **Staff Regulations Implementing Measures**
 - ❖ **Vacancies, including Executive Directors**
- ✓ **Accounting system including tool**
- ✓ **Model General Financing Agreement**
- ✓ **Core Service Level Agreements**
 - ❖ **ADMIN, PMO, BUDG, DIGIT, OIB.**
- ✓ **Housing**
- ✓ **Host agreement with Belgium**



Calls for proposals / Grants

➤ IMI:

- Call published on 30.04.2008
- Indicative EC contribution: 122.7 mio €

➤ ARTEMIS / ENIAC:

- Calls published on 08.05.2008
- Indicative EC contribution of 35.1 Mio € / 32 Mio €

➤ Clean Sky:

- Grants to named beneficiaries (=members) in 2008
- Call for proposals in 2009

➤ FCH:

- Call published on 08.10.2008
- Indicative EC contribution: 28.1 mio €





Further information

➤ Background documents:

- Report on ETPs and JTIs: **SEC(2005)800 of 10.06.2005**
- Working document: **SEC(2007)692 of 15.05.2007**

➤ JTIs web site:

- <http://cordis.europa.eu/fp7/jtis>
 - ✓ Brochure available