

European Commission

Community Research



**Preparing for FP6**

# **Report on the Analysis of Expressions of Interest 2002**

**Call identifier EOI.FP6.2002**

**Report on the analysis of Expressions of Interest received in response to the invitation published<sup>1</sup> on 20 March 2002 with a deadline of 7 June 2002 (Identifier EOI.FP6.2002)**

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<sup>1</sup> OJ C 71/14 20.3.2002

# Analysis of Expressions of Interest (EoI)

## A. Introduction

### 1. Background

This analysis relates to the invitation to submit Expressions of Interest (EoI) to use the new instruments (Integrated Projects and Networks of Excellence) proposed for the Sixth RTD Framework Programme published in the Official Journal<sup>2</sup> on 20 March 2002 and which closed on 7 June 2002. Full information on the invitation to submit Expressions of Interest can be found at the web address: [www.cordis.lu/fp6/eoi-instruments](http://www.cordis.lu/fp6/eoi-instruments).

The Commission initiated the invitation to submit EoI prior to the formal adoption of FP6 and the Specific Programmes in order to consult the research community on its readiness to prepare research actions using the new instruments for funding research. The EoI initiative is providing the Commission with input for preparing the relevant Work Programme, as well as defining the scope of the first calls for proposals for FP6 envisaged before the end of 2002. It should also have been of help to potential participants in becoming familiar with the new instruments.

### 2. Reception of EoIs

All EoI submitted were received electronically. After removal of the incomplete submissions (some 800 only provided the 1 page administrative form) and duplicates, more than 11,700 EoI were available for the Commission services to analyse. This is seen as a huge response from the European Research Community.

Among those for analysis there was a good distribution across the thematic priorities substantially in proportion to the expected budget. However priorities 1.1.7 “Citizens and Governance in a Knowledge Based Society” and 1.1.6.3 “Global Change and Ecosystems” received a disproportionately large number of EoI.

Submissions came from more than 50 countries with 5% or more coming from each of the seven countries: France, Germany, Italy, Netherlands, Poland, Spain and UK. It is not evident however that the co-ordinator of an eventual proposal would be the same partner or from the same country as the EoI submitter.

In all thematic priorities more of the EoI submitted addressed IPs (65%) rather than NoE (35%).

Regarding the type of submitter the submissions were dominated by academic institutions (46%) followed by Research Organisations (32%) with industry at only 14% overall. Only

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<sup>2</sup> OJ C 71/14 of 20. 3. 2002

for 1.1.4 (Aeronautics and Space) and 1.1.6.2 (Transport) was industry the major type of submitter. It appeared that SMEs were poorly represented among industrial submitters.

### **3. Analysis of EoIs**

Only complete EoI, that is those containing the one page of administrative information and the 5-page summary, were analysed by the Commission Services. Independent experts, working as advisers, assisted the Commission with the analysis in most thematic priorities. Their principal task was to review the analysis prepared by Commission officials and where appropriate examine individual EoI

As indicated in the Guide for Submitters no feedback on individual EoIs will be published or sent to submitters. The information provided below is the Commission's analysis of the EoIs to identify the research actions ready for proposed Integrated Projects and Networks of Excellence which show a high relevance for Specific Programme topics and which may be used as a possible basis for the preparation of the Work Programme and first calls.

It is strongly emphasised that the submission of an EoI was by no means obligatory and gives no preference to any proposal in subsequent calls for proposals. All proposals will be evaluated against the published criteria. No account will be taken of whether or not they had been the subject of an EoI. It should also be noted that the Commission's treatment of the EoI does not oblige the Commission to formulate a call in a particular way.

The analysis showed that overall some 15-20% of EoI submitted convincingly met the requirements set out in the Guide for Submitters to demonstrate a readiness to participate in the first call with one of the new instruments with a topic fully in line with Specific Programme priorities.

Across the thematic priorities it was evident that many submitters did not fully understand the new instruments. Many EoI appeared to come from submitters who wished to be associated with a Specific Programme topic even though there was not a convincing use of the new instruments or indications of clear progress towards the development of a consortium. Many EoI would be more suitable for the traditional instruments.

### **4. Publication of EoIs**

The Commission is publishing on CORDIS all the complete EoIs other than those (some 20% generally but more in some thematic priorities) which did not wish them to be published. This is consistent with the principle that publication of EoI does not imply any endorsement or indication that it is within the scope of the thematic priorities (the EoI initiative is not a pre-proposal check!).

Originally it was intended to publish only the administrative form which had contact details and a short summary. However with the large response the Commission considered it would be more helpful in establishing partnerships if more information from submitters

was available. Accordingly submitters have been encouraged to add their 5-page description of the EoI (or at least a non-confidential version of it).

While the incomplete EoI (i.e. those made up only of the 1 page administrative form) are not being published, the submitters are strongly encouraged to make use of the CORDIS Partner Service ([http://www.cordis.lu/en/src/i\\_002\\_en.htm](http://www.cordis.lu/en/src/i_002_en.htm)) in order to better prepare for FP6.

## **5. Outcome**

The Commission services have highly appreciated the outcome of the EoI exercise. It has been able to mobilise the best European scientists in a huge brainstorming exercise. This has provided relevant information to the Commission that will help it to draft a sound Work Programme.

The huge number of EoI demonstrated a keenness to participate in research with a European dimension. Only a small fraction of those submitting EoI would be funded under FP6 if they go on to submit full eligible proposals, even among those that fully meet the requirements. The challenge is to nurture the interest expressed into the development of the ERA.

As only about 15 - 20% of the submissions were seen as fully meeting the requirements of FP6 it is evident that there is a lack of understanding over the new instruments, particularly the NoE, which must be addressed. The FP6 Conference in November will be an important opportunity for sending clear messages to potential participants.

While most of, and in some cases the entire traditional constituency was included among the EoI, there was a good number of new actors.

However it was clear that some of the consortia which submitted EoIs did not exhibit all of their new ideas. It appears that some were kept in reserve so as not to lose potential advantage against their competitors.

This exercise has helped European researchers to become familiar with the characteristics of the new Instruments and their applicability in FP6. This will be beneficial for a smooth transition between FP5 and FP6.

Expressions of Interest treated in response to the invitation published on 20 March 2002 with a deadline of  
7 June 2002 (Identifier EOI,FP6,2002)  
analysed by thematic priority and country of submitter

The Eols treated do not include the incomplete Eols (more than 800 came with only an administrative form) or the many duplicates received

|                             | Genomics    | Info Society | Nanotech.   | Aero/Space | Food        | Energy<br>(Short/Med) | Energy<br>(Med/Long) | Transport  | Global<br>Change | Citizens etc. | Radioactive<br>Waste | Radiation<br>Protection | All          |
|-----------------------------|-------------|--------------|-------------|------------|-------------|-----------------------|----------------------|------------|------------------|---------------|----------------------|-------------------------|--------------|
|                             | 1.1.1       | 1.1.2        | 1.1.3       | 1.1.4      | 1.1.5       | 1.1.6.1.i             | 1.1.6.1.ii           | 1.1.6.2    | 1.1.6.3          | 1.1.7         | 2.2                  | 2.3                     |              |
| <b>Total N° Eols</b>        | <b>1997</b> | <b>2591</b>  | <b>1670</b> | <b>378</b> | <b>1008</b> | <b>478</b>            | <b>452</b>           | <b>480</b> | <b>1412</b>      | <b>1187</b>   | <b>103</b>           | <b>99</b>               | <b>11855</b> |
| <b>Country of submitter</b> |             |              |             |            |             |                       |                      |            |                  |               |                      |                         |              |
| Austria                     | 2%          | 2%           | 2%          | 1%         | <1%         | 3%                    | 4%                   | 3%         | 3%               | 4%            | <1%                  | 7%                      | 2%           |
| Belgium                     | 5%          | 4%           | 3%          | 5%         | 5%          | 4%                    | 3%                   | 2%         | 2%               | 9%            | 12%                  | 3%                      | 4%           |
| Bulgaria                    | <1%         | 1%           | <1%         | <1%        | <1%         | 1%                    | <1%                  | <1%        | <1%              | 3%            | 3%                   | <1%                     | <1%          |
| Cyprus                      | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | <1%                  | <1%                     | <1%          |
| Czech Republic              | 2%          | 1%           | 2%          | 1%         | 1%          | 1%                    | <1%                  | <1%        | 2%               | 1%            | 2%                   | <1%                     | 1%           |
| Denmark                     | 3%          | 1%           | 1%          | <1%        | 4%          | 4%                    | 4%                   | <1%        | 2%               | 2%            | <1%                  | 2%                      | 2%           |
| Estonia                     | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | <1%                  | <1%                     | <1%          |
| Finland                     | 1%          | 2%           | 3%          | 1%         | 1%          | 2%                    | <1%                  | 2%         | 2%               | 2%            | <1%                  | <1%                     | 2%           |
| France                      | 10%         | 9%           | 9%          | 17%        | 8%          | 9%                    | 8%                   | 12%        | 9%               | 10%           | 17%                  | 11%                     | 9%           |
| Germany                     | 15%         | 13%          | 17%         | 15%        | 12%         | 17%                   | 21%                  | 14%        | 15%              | 14%           | 8%                   | 12%                     | 15%          |
| Greece                      | 1%          | 3%           | 2%          | 3%         | 2%          | 3%                    | 1%                   | <1%        | 2%               | 2%            | <1%                  | 3%                      | 2%           |
| Hungary                     | <1%         | 1%           | <1%         | <1%        | <1%         | 2%                    | <1%                  | <1%        | <1%              | 2%            | <1%                  | <1%                     | <1%          |
| Iceland                     | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | <1%                  | <1%                     | <1%          |
| Ireland                     | <1%         | 1%           | <1%         | <1%        | <1%         | 1%                    | 1%                   | <1%        | <1%              | <1%           | <1%                  | 2%                      | <1%          |
| Israel                      | 2%          | <1%          | 1%          | 2%         | <1%         | 1%                    | <1%                  | <1%        | <1%              | 2%            | <1%                  | 2%                      | <1%          |
| Italy                       | 11%         | 11%          | 8%          | 13%        | 10%         | 7%                    | 9%                   | 10%        | 8%               | 9%            | 5%                   | 6%                      | 10%          |
| Latvia                      | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | <1%                  | 1%                      | <1%          |
| Liechtenstein               | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | <1%                  | <1%                     | <1%          |
| Lithuania                   | <1%         | 1%           | 1%          | <1%        | <1%         | 1%                    | 1%                   | <1%        | <1%              | 1%            | 2%                   | 3%                      | <1%          |
| Luxembourg                  | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | <1%                  | <1%                     | <1%          |
| Malta                       | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | <1%                  | <1%                     | <1%          |
| Netherlands                 | 5%          | 4%           | 4%          | 3%         | 5%          | 5%                    | 9%                   | 8%         | 5%               | 5%            | <1%                  | 2%                      | 5%           |
| Norway                      | 1%          | 2%           | <1%         | <1%        | <1%         | 2%                    | 2%                   | 2%         | 2%               | 1%            | <1%                  | <1%                     | 2%           |
| Poland                      | 6%          | 3%           | 9%          | 2%         | 8%          | 5%                    | 2%                   | 4%         | 8%               | 3%            | 8%                   | 11%                     | 6%           |
| Portugal                    | <1%         | 1%           | <1%         | <1%        | <1%         | 1%                    | 1%                   | 1%         | 1%               | 1%            | <1%                  | 1%                      | <1%          |
| Romania                     | <1%         | 1%           | 1%          | 2%         | <1%         | 2%                    | <1%                  | <1%        | 1%               | <1%           | 3%                   | 4%                      | 1%           |
| Slovak Republic             | <1%         | <1%          | <1%         | <1%        | <1%         | 1%                    | <1%                  | <1%        | <1%              | <1%           | <1%                  | 1%                      | <1%          |
| Slovenia                    | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | 1%            | <1%                  | 1%                      | <1%          |
| Spain                       | 6%          | 15%          | 7%          | 5%         | 9%          | 6%                    | 7%                   | 4%         | 5%               | 10%           | 2%                   | 2%                      | 8%           |
| Sweden                      | 5%          | 4%           | 4%          | 3%         | 3%          | 6%                    | 6%                   | 6%         | 3%               | 2%            | 4%                   | 2%                      | 4%           |
| Switzerland                 | <1%         | 1%           | <1%         | <1%        | <1%         | 1%                    | <1%                  | 1%         | <1%              | <1%           | 3%                   | 1%                      | <1%          |
| United Kingdom              | 14%         | 14%          | 12%         | 14%        | 18%         | 11%                   | 14%                  | 17%        | 17%              | 16%           | 17%                  | 14%                     | 15%          |
| Pan-Europn assns            | <1%         | <1%          | <1%         | 5%         | <1%         | <1%                   | <1%                  | 5%         | <1%              | <1%           | <1%                  | <1%                     | <1%          |
| JRC                         | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | 5%                   | 1%                      | <1%          |
| Algeria                     | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | <1%                  | <1%                     | <1%          |
| Argentina                   | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | <1%                  | <1%                     | <1%          |
| Armenia                     | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | <1%                  | <1%                     | <1%          |
| Australia                   | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | <1%                  | <1%                     | <1%          |
| Bangladesh                  | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | <1%                  | <1%                     | <1%          |
| Belarus                     | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | <1%                  | <1%                     | <1%          |
| Bosnia & Herzegovina        | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | <1%                  | <1%                     | <1%          |
| Canada                      | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | <1%                  | <1%                     | <1%          |
| Chile                       | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | <1%                  | <1%                     | <1%          |
| China                       | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | <1%                  | <1%                     | <1%          |
| Croatia                     | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | <1%                  | <1%                     | <1%          |
| Georgia                     | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | <1%                  | <1%                     | <1%          |
| India                       | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | <1%                  | <1%                     | <1%          |
| Kazakhstan                  | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | 1%                   | 3%                      | <1%          |
| Kenya                       | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | <1%                  | <1%                     | <1%          |
| Lao PDR                     | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | <1%                  | <1%                     | <1%          |
| Moldova                     | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | <1%                  | <1%                     | <1%          |
| Russia                      | 1%          | 1%           | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | 2%                   | <1%                     | <1%          |
| Seychelles                  | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | <1%                  | <1%                     | <1%          |
| South Africa                | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | <1%                  | <1%                     | <1%          |
| Tunisia                     | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | <1%                  | <1%                     | <1%          |
| Turkey                      | 2%          | 3%           | 4%          | 3%         | 5%          | 4%                    | 2%                   | 3%         | 3%               | 2%            | <1%                  | <1%                     | 3%           |
| Ukraine                     | <1%         | <1%          | <1%         | <1%        | <1%         | <1%                   | <1%                  | <1%        | <1%              | <1%           | <1%                  | <1%                     | <1%          |
| Yugoslavia                  | <1%         | <1%          | 2%          | <1%        | <1%         | 1%                    | <1%                  | <1%        | <1%              | <1%           | 2%                   | 3%                      | <1%          |

## Expressions of Interest received in response to the invitation published on 20 March 2002 with a deadline of 7 June 2002 (Identifier EO1.FP6.2002) analysed by thematic priority for type of instrument, type of country and type of submitter

| Thematic Priority  | Genomics<br>1.1.1 | Info Society<br>1.1.2 | Nanotech.<br>1.1.3 | Aero/Space<br>1.1.4 | Food<br>1.1.5 | Energy<br>(Short/Med)<br>1.1.6.1.i | Energy<br>(Med/Long)<br>1.1.6.1.ii | Transport<br>1.1.6.2 | Global<br>Change<br>1.1.6.3 | Citizens etc.<br>1.1.7 | Radioactive<br>Waste<br>2.2 | Radiation<br>Protection<br>2.3 | Total        |
|--|-------------------|-----------------------|--------------------|---------------------|---------------|------------------------------------|------------------------------------|----------------------|-----------------------------|------------------------|-----------------------------|--------------------------------|--------------|
| <b>Total Number Treated</b>  | 1997              | 2591                  | 1670               | 378                 | 1008          | 478                                | 452                                | 480                  | 1412                        | 1187                   | 103                         | 99                             | <b>11855</b> |
| <b>Number for each instrument</b>  |                   |                       |                    |                     |               |                                    |                                    |                      |                             |                        |                             |                                |              |
| IP   | 62%               | 68%                   | 55%                | 70%                 | 43%           | 72%                                | 77%                                | 60%                  | 60%                         | 39%                    | 63%                         | 71%                            | <b>58%</b>   |
| NoE  | 33%               | 32%                   | 37%                | 30%                 | 24%           | 28%                                | 21%                                | 24%                  | 29%                         | 37%                    | 30%                         | 24%                            | <b>32%</b>   |
| Unspecified  | 5%                |                       | 8%                 |                     | 33%           |                                    | 2%                                 | 16%                  | 11%                         | 24%                    | 7%                          | 5%                             | <b>10%</b>   |
| <b>Country</b>   |                   |                       |                    |                     |               |                                    |                                    |                      |                             |                        |                             |                                |              |
| Member States  | 80%               | 81%                   | 73%                | 87%                 | 79%           | 79%                                | 89%                                | 85%                  | 76%                         | 87%                    | 66%                         | 69%                            | <b>81%</b>   |
| Associated Countries   | 11%               | 11%                   | 21%                | 9%                  | 14%           | 17%                                | 10%                                | 10%                  | 19%                         | 8%                     | 19%                         | 21%                            | <b>12%</b>   |
| Third Countries (Other)  | 9%                | 8%                    | 5%                 | 5%                  | 9%            | 5%                                 | 1%                                 | 5%                   | 5%                          | 3%                     | 12%                         | 9%                             | <b>6%</b>    |
| <b>Type of Submitter</b>   |                   |                       |                    |                     |               |                                    |                                    |                      |                             |                        |                             |                                |              |
| Industry (including SMEs)  | 6%                | 24%                   | 14%                | 35%                 | 8%            | 24%                                | 22%                                | 49%                  |                             | 3%                     | 8%                          | 7%                             | <b>14%</b>   |
| Public and Private Research Organisations  | 25%               | 22%                   | 35%                | 31%                 | 51%           | 26%                                | 29%                                | 23%                  | 50%                         | 25%                    | 49%                         | 55%                            | <b>32%</b>   |
| Universities/Educational Establishments  | 65%               | 41%                   | 48%                | 31%                 | 41%           | 36%                                | 32%                                | 29%                  | 42%                         | 66%                    | 26%                         | 24%                            | <b>46%</b>   |
| Other  | 4%                | 13%                   | 4%                 | 3%                  |               | 14%                                | 17%                                |                      | 8%                          | 6%                     | 17%                         | 14%                            | <b>8%</b>    |
| <b>Note:</b> The total number treated does not include the more than 800 incomplete EoIs (that is where only the 1 page administrative form was submitted) nor the numerous duplicate submissions. The small number of submissions from the Joint Research Centre are included under the heading Member States |                   |                       |                    |                     |               |                                    |                                    |                      |                             |                        |                             |                                |              |