

**DECISION OF THE GOVERNING BOARD OF  
THE EUROPEAN INSTITUTE OF INNOVATION AND TECHNOLOGY (EIT)**

**of 4 June 2010**

**ADOPTING THE ANNUAL ACTIVITY REPORT 2009**

THE GOVERNING BOARD OF THE EUROPEAN INSTITUTE OF INNOVATION AND TECHNOLOGY,

Having regard to Regulation (EC) No 294/2008 of the European Parliament and of the Council of 11 March 2008 establishing the European Institute of Innovation and Technology (hereinafter referred to as the "EIT Regulation")<sup>1</sup> and in particular to Articles 13 and 15(b);

Whereas:

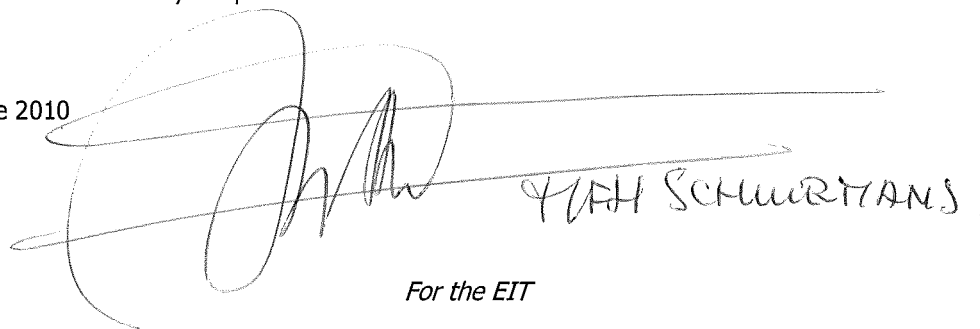
- (1) Article 15(b) stipulates that the EIT shall adopt an annual report by 30 June each year outlining the activities conducted by the EIT during the preceding calendar year and assess the results with respect to the objectives and timetable set, the risks associated with the activities carried out, the use of resources and the general operation of the EIT;
- (2) In accordance with Article 13 of the EIT Regulation, the EIT shall make public without delay its annual activity report via its website;

HAS DECIDED AS FOLLOWS:

*Sole Article*

The Annual Activity Report for 2009 is hereby adopted.

Done in Barcelona, on 4 June 2010



YVONNE SCHUURMANS

*For the EIT*

*Chairman of the Governing Board*

ANNUAL REPORT  
ACTIVITIES & ACHIEVEMENTS  
2009  
ANNEXES

<http://eit.europa.eu>

28<sup>th</sup> JUNE 2010

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## 1. Annexes:

### 1.1. Implementation of the EIT budget 2009

#### 2009 EIT work programme and budget

Based upon the proposal of the EIT and following an inter-service consultation the 2009 EIT work programme was adopted by Commission decision C(2008)8475 of 17 December 2008.

#### Revision of the WP and budget

The initial 2009 budget provided only for administrative costs in 2009. However, as part of the host agreement, the Hungarian authorities offered to provide accommodation for the EIT. This greatly reduced the need for administrative credits during 2009. The GB proposed to use these available credits to bring forward the date for designation of the KICs and, subsequently, the date at which KIC implementation activities could start. Following a decision of principle the Commission requested the budgetary authority to transfer € 3 000.000 from the line 08.24.01 (administrative appropriations) to 08.24.02 (operational appropriations). Following this transfer the Commission amended the 2009 work programme accordingly on 13 November 2009 by decision C(2009)8738.

## Commitments

<b>EXPENDITURE</b>	<b>Executed Budget 2008</b>	<b>Executed Budget 2009</b>
<b>Title 1 Staff Expenditure</b>		
11 Salaries & allowances	0,00	470.097,08
12 Expenditure relating to Staff recruitment	200.626,23	97.314,27
13 Mission expenses	0,00	30.000,00
14 Socio-medical infrastructure	0,00	0,00
Training	0,00	0,00
External Services	0,00	0,00
17 Receptions and events	0,00	0,00
<b>Title 1 - Total</b>	<b>200.626,23</b>	<b>597.411,35</b>
<b>Title 2 Infrastructure and operating expenditure</b>		
20 Rental of buildings and associated costs		45.000,00
21 Information and communication technology	8.400,39	264.827,80
22 Movable property and associated costs		218.183,78
23 Current administrative expenditure	542.945,90	259.000,00
24 Postage / Telecommunications		7.291,97
25 Meeting expenses		535.710,87
<b>Title 2 - Total</b>	<b>551.346,29</b>	<b>1.330.014,42</b>
<b>Title 3 Operating expenditure</b>		
Translations	50.000,00	
Communication (incl. translation, events)	263.256,03	386.280,12
Studies, counselling, experts	115.160,00	586.342,77
Other expenses	796.634,50	
Knowledge and Innovation Communities (KIC) Support	0,00	3.000.000,00
<b>Title 3 - Total</b>	<b>1.225.050,53</b>	<b>3.972.622,89</b>
<b>TOTAL EXPENDITURE</b>	<b>1.977.023,05</b>	<b>5.900.048,66</b>

## Payments

<b>EXPENDITURE</b>	<b>Executed Budget 2008</b>	<b>Executed Budget 2009</b>
<b>Title 1 Staff Expenditure</b>		
11 Salaries & allowances		322.968,46
12 Expenditure relating to Staff recruitment		220.154,26
13 Mission expenses		
14 Socio-medical infrastructure		
142 Professional development		
- For temporary agents		
- For contract agents		
17 Receptions and events		
<b>Title 1 - Total</b>	<b>0,00</b>	<b>543.122,72</b>
<b>Title 2 Infrastructure and operating expenditure</b>		
20 Rental of buildings and associated costs	0,00	6.994,79
21 Information and communication technology	0,00	8.246,15
22 Movable property and associated costs	0,00	662,00
23 Current administrative expenditure	49.422,11	394.000,00
24 Postage / Telecommunications	0,00	2.894,29
25 Meeting expenses	0,00	298.938,23
<b>Title 2 - Total</b>	<b>49.422,11</b>	<b>711.735,46</b>
<b>Title 3 Operating expenditure</b>		
Communication, incl. translation	63.817,97	791.961,45
Studies, counselling, experts	56.080,00	276.149,36
Other expenses	45.971,08	0,00
Knowledge and Innovation Communities (KIC) Support		0,00
<b>Title 3 - Total</b>	<b>165.869,05</b>	<b>1.068.110,81</b>
<b>TOTAL EXPENDITURE</b>	<b>215.291,16</b>	<b>2.322.968,99</b>

## 1.2. Summaries of decisions of the EIT Governing Board in 2009

The Governing Board of the European Institute of Innovation and Technology (EIT):

9th January 2009

- Unanimously approved the draft EIT Financial Rules for submission to the Commission, in conformity with the procedure described in Article 21(1) of the EIT Regulation.

20<sup>th</sup> February 2009

- Finalized the selection criteria of the first Knowledge and Innovation Communities (KICs);
- Mandated the Executive Committee to finalize the modalities of the KIC selection process;
- Unanimously agreed upon a minimal set of Intellectual Property Rights (IPR) guidelines for KICs;
- Initiated reflections on the establishment of an EIT Foundation;
- Adopted its draft 2010 budget;
- Unanimously agreed that the Board will organize a back-to-back event in Wroclaw including a seminar on entrepreneurship (6<sup>th</sup>-7<sup>th</sup> May 2009) and an info-day for KIC proposers (8<sup>th</sup> May);
- Unanimously agreed to accede to the Interinstitutional Agreement concerning internal investigations by the European Anti-Fraud Office (OLAF).

20th-21st April 2009

- Adopted unanimously the preliminary orientations of the EIT's first rolling Triennial Work Programme (2010-2012).
- Adopted the EIT Financial Rules, following their approval by the Commission, in conformity with the procedure described in Article 21(1) of the EIT Regulation.

23rd June 2009

- Unanimously adopted its draft rolling Triennial Work Programme for the period 2010-2012;
- Unanimously adopted its draft annual report for the calendar year 2008;
- Mandated the Chairman to produce finalized versions of the above documents in view of their transmission by 30<sup>th</sup> July 2009 at the latest to the European Parliament, the Council, the Commission, the Court of Auditors, the European Economic and Social Committee and the Committee of Regions.

16th September 2009

- Elected Dr. Gérard de Nazelle as the first EIT Director.

6th November 2009

- Finalised the practical arrangements for the selection of Knowledge and Innovation Communities (KICs) during the December Governing Board meeting;
- Unanimously agreed on the roadmap for the negotiation and signature of KIC framework and grant agreements during the first half of 2010.

16-17th December 2009

- Adopted a formal decision on the three Knowledge and Innovation Communities (KICs) designated following hearings of KIC proposers on 16<sup>th</sup> December:
  - Climate KIC (climate change mitigation and adaptation)
  - InnoEnergy (sustainable energy)
  - EITICT Labs (future information and communication society)
- Adopted the EIT Work Programme / financing decision for 2010 ;
- Adopted the final version of its Triennial Work Programme 2010-2012 in response to comments made by EU institutions on the draft version.

### 1.3. Staff

The following posts were filled at the EIT during 2009:

#### Contract Agents

1. Human Resources Officer, 1<sup>st</sup> April
2. Policy Officer, KICs, 1<sup>st</sup> of July

#### Temporary Agent

3. Director, 1<sup>st</sup> of November

Moreover, three officials from the European Commission were recruited during 2009 and detached to the EIT in order to support the set-up phase of the organisation, namely:

- IT Assistant, 1<sup>st</sup> September
- Finance & Contracts Assistant, 1<sup>st</sup> September
- Human Resources Assistant, 1<sup>st</sup> October

### 1.4. Contracts in 2009

Infrastructure and operating expenditure	
Information and communication technology	Title
	30 Desktops computers for EIT
	Servers for EIT
	Network attached storage for EIT
	EIT: Mobile Equipment
	EIT: Local Area Network
Movable property and associated costs	Title
	Aménagement des bureaux du président, du directeur et des chefs d'unité de l'EIT à Budapest
	Aménagement des 62 bureaux de l'EIT à Budapest
Postage / Telecommunications	Title
	PDA Communication
Meeting expenses (GB meeting, EIT meetings, GB members travels)	Title
	Frais de representation GB (+ Réunion Experts Jan. + GB meeting February)
	GB 19-21 avril 2009 Bruxelles
	GB juin et septembre 2009
	GB novembre et décembre 2009
	GB October

## 1.5. Commission opinion of 26.10.2009 on the draft 2010-2013 TWP of EIT

### Background

(1) On 11th March 2008, by virtue of Regulation (EC) No 294/2008 of the European Parliament and of the Council (hereinafter "the Regulation"), the European Institute of Innovation and Technology (hereinafter "EIT") was established.

(2) The objective of this new Community Body, as defined in Article 3 of the Regulation, is "[...] to contribute to sustainable European economic growth and competitiveness by reinforcing the innovation capacity of the Member States and the Community. It shall do this by promoting and integrating higher education, research and innovation of the highest standards."

(3) In accordance with Recital 21 and in particular Articles 15(a) and 8(l) of the Regulation, the EIT transmitted on 15m July, within 12 months of its creation, its first draft rolling Triennial Work Programme 2010-2012 (hereinafter "TWP") to the European Parliament, the Council and the Commission for their respective opinions.

The latter must formulate their opinions on the draft within 3 months of its reception, by 15th October 2009 at the latest. Upon reception, the EIT Governing Board itself has 3 months to reply, indicating any adjustments to its priorities and planned activities.

(4) In accordance with Article 20(5) of the EIT Regulation, the draft EIT 2011-2013 TWP, accompanied by a draft budget estimate and draft establishment plan, will be transmitted to the Commission by 31st March 2010.

### Comments

#### Overall approach

(5) The Commission welcomes the first Triennial Work Programme established by the EIT as the first body at Community level to focus on the promotion of innovation by developing interactions between actors of the "knowledge triangle" (higher education, research, business). The emphasis placed by the EIT on promoting multidisciplinary education and in particular entrepreneurship as a key linking factor between the various strands of the triangle is fully

Operating expenditure	
Communication (seminars, info days, brochures, events, EIT brand)	Title
	Leaflets
	Brochure 15 langues
	Brochure 3 langues (exemption report)
	Mission préparatoire Wroclaw
	Journalist seminar
	Seminaire Press-Journalists
	Réunion-déjeuner Fondation Rome 15/5
	Photographer
	Wroclaw 5-8 mai 2008
	EIT Communication strategy
KIC's Selection Proces	Title
	Evaluation panel meeting: Evaluation, briefing and panels (dec.next year)
	Helpdesk Kic's
	Expert registration system
	ESS : Contrat, proposal, evaluation service (13)
	EPSS :Reception Services (EAC/05)
Studies, counselling	Title
	Assistance juridique pour l'établissement de la Fondation



supported; the extent to which entrepreneurship interacts with and reinforces the other strands should however be made somewhat more explicit. The Commission also notes with interest the concept of "co-location centres" as facilitators of day-to-day interaction between the diverse partners within Knowledge and Innovation Communities (KICs), so that such centres can facilitate the creation, sharing and transfer of knowledge. The Commission also welcomes the emphasis put on simplicity of procedures, leadership and accountability to ensure world class delivery and impact.

Prioritising the consolidation of the KICs

(6) The Commission supports the EIT's intention to consolidate the establishment of the first KICs once they are operational, notably via a series of initiatives outlined in the EIT Annual Plan 2010 (chapter 6). These include for example the "EIT Academy for Entrepreneurship" (p9, pl3) and an "interactive Communication strategy" (p9), itself encompassing a number of sub-actions (summer schools, newsletters, website...)

While estimated delivery dates for the above activities are generally indicated, the TWP should indicate more concretely:

- i) How these actions are to be prioritized in relation to each other,
- ii) What financial and human resources are to be made available,
- iii) How they are to be implemented in operational terms and
- iv) How their added value and impact is to be assessed and quantified.

(7) The next EIT rolling triennial work programme, due by 31 March 2010, should provide further clarifications on elements outlined above and their implementation in the period 2011-2013.

Ensuring complementarity and cross-fertilization with other EU bodies and initiatives

(8) The Commission underlines the importance of the EIT's ambition to "capitalize upon and promote strong bonds with existing and forthcoming EU initiatives" (chapter 2) and the aim that KICs, on various levels (innovation-driven research, knowledge management and transfer, mobility, skills development and human resources management, responsible approaches to public-private funding...), should feed into the objectives of related EU strategies: ERA, EHE A, upcoming Innovation Plan and strategies related to the thematic areas of the KICs.

(9) The Commission highlights in particular the need for continuous exchanges and cooperation with the EIT and relevant Commission services in order to avoid duplication and promote synergies at all levels (e.g. multidisciplinary knowledge resources in the fields of climate change adaptation -clearinghouse- and eco-innovation -the Europe Innova Eco-Innovation Observatory-). Discussions with relevant Commission services should be further pursued once the first 2 or 3 KICs are selected, to seek ways to promote cross-fertilization on a more operational basis.

(10) The EIT should strive to build as much as possible on existing benchmarks and indicators as regards the development of the "KIC Performance Scorecard" (chapter 2), the development of a "world-class education benchmark" for KICs (p7) and the proposed EIT "benchmark analysis and report on knowledge transfer and innovation" (p8).

Mobilizing adequate funding for KICs ' long-term sustainability

(11) The Commission appreciates, as the TWP states in chapter 4, the fact that the EIT will rely heavily on the strong commitment of partner institutions and that it must, draw on various sources of public and private funding, at regional, national and Community levels. Access to Community funding, including under Cohesion policy, should follow established rules and procedures. However, the TWP should explain in more detail how the KICs are to draw on and assimilate these various sources and what further concrete actions (timetable, budget, impact...) the EIT intends to undertake in order to fully mobilise all potential financial resources for innovation, notably from the private sector: business community, venture capital funds, investment banks and so forth. The Commission perceives a certain lack of focus on the specific participation of the business community, notably with respect to the more targeted and detailed chapters on education and entrepreneurship: incentives for such participation, essential for the success of the initiative, should be more strongly underlined. Finally, the Commission encourages the EIT in its proposed development of an EIT Foundation (pi 1) – thus making full use of potential resources offered in the EIT Regulation (Art. 5.2) - as a practical instrument for receiving additional funds and for financing EIT activities.

The Commission offers its full support in making this operational.

## 1.6. Financial rules

[http://eit.europa.eu/fileadmin/Content/Downloads/PDF/Official\\_documents/EIT\\_Financial\\_Regulation.pdf](http://eit.europa.eu/fileadmin/Content/Downloads/PDF/Official_documents/EIT_Financial_Regulation.pdf)

KICs as role models and SIA

(12) The Commission welcomes the EIT's proposal that approaches and mechanisms pioneered in the development of KICs should be used as the basis for dissemination of good practice (chapter 5) However, the TWP should better underline how KICs are to share new innovation models and other best practice so as to serve clearly as role models for existing and form coming EU initiatives, for the greater benefit of the EU as a whole.

(13) The Commission welcomes the development of KICs as the first,, operational "knowledge and innovation" entities to integrate the higher education dimension at the transnational level, with a particular focus on upgrading multidisciplinary and entrepreneurial skills. The development of new labelled EIT degrees and diploma awarded by participating higher education institutions within KICs is thus supported, as are references to existing frameworks and initiatives such as the Bologna Process or the Erasmus Mundus programme (p7).

(14) The Commission underlines its willingness to continue its full support to the EIT all through the final stages of its establishment and looks forward to working hand-in-hand with the Governing Board from the outset, especially as regards the orientations of the first EIT Strategic Innovation Agenda (SIA) in 2011 at the latest, to be adopted by the Commission.

( Maros SEFCOVIC, Member of the Commission )

## 1.7. KIC Selection Criteria

Article 7.1 of the EIT Regulation (EC) N° 294/2008 stipulates that "A partnership shall be selected and designated by the EIT to become a KIC on the basis of a competitive, open and transparent procedure. Detailed criteria for the selection of the KICs, based on the principles of excellence and innovation relevance, shall be adopted and published by the EIT."

This document sets out the criteria that the EIT Governing Board has established for the selection of the first KICs.

### 1. Proposals for Knowledge and Innovation Communities

The EIT shall publish, in 2009, a call for proposals for Knowledge and Innovation Communities. The proposal shall consist of:

- Part A – this part contains administrative information on the partners and the proposal;
- Part B – (indicative length: 20 pages plus a one-page summary); this part is the body of the proposal and describes the proposed KIC, what it wants to accomplish, its strategy, activities, work programme and processes, business plan (including provisions for sustainable and long-term self-supporting financing), its co-location plan and its IPR plan and the plans for dissemination of the KIC's activities and innovative education models;
- Part C – (indicative length: 15 pages); this part addresses the credibility of the proposal, particularly in terms of the organization, management and governance of the KIC, the individual capability, capacity and international reputation of the partners and how this is integrated into a coherent world-class innovation chain from education through to economic and societal impact;
- Part D – this part contains a declaration from the legal representative of each partner, as listed in part A of the proposal, on their endorsement of the proposal, the KIC organization and governance and their commitment to the objectives and aims of the KIC.

The proposal will principally address one of three priority areas:

- climate change mitigation and adaptation;
- sustainable energy;
- future information and communication society.

### 2. Eligibility of proposals

Prior to evaluation, a proposal will be examined for conformity to the following eligibility criteria:

- the proposal must have been submitted by the call deadline;
- the proposal must contain completed parts A, B, C and D;
- the combined length of parts B and C may not exceed 40 pages;
- part D must contain the signed declaration from the legal representative of every partner listed in part A;
- the proposed KIC must contain at least three independent partner organizations established in at least three Member States;
- the majority of the partner organizations shall be established in the Member States;
- the proposed KIC shall include at least one higher education establishment and one private company.

Only proposals satisfying all of the eligibility criteria shall pass to the following evaluation stages.

### 3. Initial Go/No-Go assessment

Proposal parts A and B will be assessed with respect to:

- the consistency of the KIC topic with the targeted priority area and broad innovation goals, i.e. the degree to which the KIC addresses the priority area in a competitive and sustainable way.

This assessment will result in a Go/No-Go decision:

- Go: the proposal primarily addresses the targeted priority area and broad innovation goals
- No-Go: the proposal does not primarily address the targeted priority area and broad innovation goals

Only proposals receiving a "Go" decision will pass to the next step of the evaluation.

#### 4. Step 1: evaluation of the quality of the proposed work programme and business plan (maximum 100 points)

The "Go" proposals will be assessed with respect to the following criteria:

- Novelty and attractiveness of the proposal (maximum 20 points);
- Economic, environmental, societal and innovation impact of the KIC in the context of European challenges and policies and potential to make a major contribution to the aims of the EIT (maximum 20 points);
- Internal coherence of the KIC strategy and activities (maximum 10 points)
  - completeness of tools and resources of partners and level of integration between partners to form the innovation chain
  - provisions for innovation activities and investments including measures involving the private and financial sectors, SMEs, start-ups and spin-offs and new partners
  - extent to which the technological and non-technological research is innovation-driven, of high quality and with the potential to make a major impact
  - relevance and consistency of the education plan to KIC objectives;
  - Quality of the co-location plan (maximum 20 points)
    - completeness and complementarity of KIC co-location centres
    - plan of operation: within each co-location centre and between co-location centres and the other partners in the partnership
    - people management in respect of co-location;
    - Planning for the management and use of intellectual property (maximum 10 points)
      - effectiveness of the IPR plans including transfer, licensing and industrial value creation and consistency with KIC objectives
      - mechanisms to promote innovative research and creativity including remuneration and reward schemes;
      - Completeness and credibility of the KIC business plan (maximum 10 points)
        - market analysis and competitive benchmarks

- completeness and credibility of the financial plan including identification of the responsible actors, short-/medium-/long-term milestones, key performance indicators (KPIs) and sensitivity analysis (risk-assessment)

- potential of the KIC in terms of innovation added value such as new business creation through spin-outs and within established companies, licensing etc.; and creation of societal impact, for example job creation or other contributions to improvement of people's lives

- potential return on investment over a 10-year period, including financial and nonfinancial indicators;

- Quality of the plans for dissemination of best practice and public outreach activity (maximum 10 points)

- effectiveness of plans for external dissemination of best practice and excellence in the innovation sector, including education plans and programmes

- effectiveness of public outreach.

To pass this step of the evaluation, proposals must obtain at least 30% of the maximum points for each of the seven criteria listed above and at least 50 points in total for this step. Only the five highest-scoring proposals from each priority area will pass to the next step of evaluation.

#### Step 2: evaluation of the commitment, capability and combined strength of the partners involved (maximum 100 points)

Proposals passing step 1 will be assessed with respect to the following criteria:

- Management, governance and organization of the partnership and co-location, covering also financial and legal aspects of the KIC (maximum 50 points)

- suitability of the legal and financial structure: the proposal must demonstrate that the structure must fully supports the aims of the KIC

- appropriateness of the organization and management including key people profiles and time commitment in order to enable the KIC to function as an integrated entity

- degree to which the governance structure supports clear and timely decision-making within the KIC;

- The combined strength of the partners (maximum 50 points)

- the strength of the KIC in terms of the capability and capacity of the partners in the fields of higher education, research, innovation and entrepreneurship
- the strength and track record of partners' existing experience within the innovation chain
- the commitment of the partners to integrate activities and resources within the KIC
- the coherence of the partners' collaboration to form a world-class innovation chain closely linking all activities from education through to economic and societal impact.

The final score of a proposal is the sum of the scores for steps 1 and 2, maximum 200.

The three top scoring proposals from each priority area will be examined by an independent panel of experts.

#### 6. Assessment by a final panel and hearings

At the end of step 2, a final panel will examine the three top-scoring proposals from each priority area (9 proposals in total) together with their associated evaluation reports. The final panel will:

- adjust, if necessary, the final scores to ensure consistency between the three priority area evaluation panels;
- make recommendations concerning the selection of the designated KICs;
- make recommendations concerning the way in which the selected proposals need to be improved or strengthened.

The selection panel will prepare a report for the EIT Governing Board.

Upon receipt of this report, the EIT Governing Board will decide on whether to hold hearings prior to the designation of 2 or 3 KICs.

Where hearings are held, these will be with the representatives of the highest-ranked proposals taken in order from the respective priority area lists. No more than 6 proposals will be invited to hearings.

#### 7. Designation of the KICs

The Governing Board will designate 2 or 3 KICs.

## 1.8. IPR Guidelines

The IPR guidelines are intended to contribute to the EIT's objective of reinforcing the innovation capacity of the Member States and the Community, creating an entrepreneurship friendly environment which encourages the creation of spin-offs and start-ups. A suitably structured open innovation environment can help reaching this goal and speed-up translation in the business context and commercial application.

These guidelines are primarily intended to serve for the drafting of a future KIC agreement on the management and use of intellectual property ('IP plan'), as required by Article 10.2 of the EIT Regulation. They also give indications on the preliminary description to be provided at the proposal stage of the 'planning for the management and use of intellectual property'.

1. Each KIC will establish a motivating IP policy, defining principles for the ownership of IP and access right respecting EU rules.
2. Each KIC will define an appropriate internal policy governing the rights (e.g. assignment) and obligations of researchers and students involved in mobility.
3. Each KIC will negotiate in good faith to licence IP to interested EU and non EU parties and to optimise the exploitation and uptake of KIC knowledge and technologies, bearing in mind the business goals of the KIC parties and the EIT goal of boosting EU competitiveness and innovation.
4. Each KIC must set up a suitably-empowered IP Board responsible for managing knowledge transfer and IP issues, notably:
  - A policy covering protection, ownership of and access rights to IP, based on principles of fairness and promotion of innovation;
  - A method for identification and valuation of background prior to starting activities which should be sufficiently flexible to enable updating of background as necessary throughout a KIC's lifetime;

- A strategy for direct and indirect exploitation of IP results;
  - A formal policy to disclose all R&D results generated among partners which should not conflict with protection and use of the results;
  - A methodology to assess financial and non-financial contribution from all parties, including contributions from later-entering members;
  - Provisions for newly-entering parties to maximise collaboration among KIC members and to protect the interests of parties involved in KICs, as well as rules for departure of partners to minimise disruption to KIC activities;
  - An appropriate procedure for notification and approval (or otherwise) for publication and dissemination activities, considering also the "open access" option for promoting results;
  - Appropriate measures to ensure that all KIC members are treated with fairness when negotiations on the assignment of IP right take place.
5. To respond to the 'Planning for the management and use of intellectual property'-selection criteria, KIC proposals must include an IP-plan describing:
- The composition of the IP-board
  - Mechanisms for decision making
  - First elements and direction for further IP policy development

## 1.9. Reports from EIT seminars ( short versions )

Budapest (Hungary) - 23 January 2009

### "Future information and communication society"

Chaired by Prof. Yrjö Neuvo, Member of the EIT Governing Board and Executive Committee, this EIT seminar focused on one of the thematic areas designated for the first two to three Knowledge and Innovation Communities (KICs): The Future Information and Communication Society.

Having generated high interest from across Europe and beyond, the more than fully booked EIT seminar on "Shaping the Knowledge and Innovation Communities (KICs) – Future Information and Communication Society" stimulated an active discussion among interested parties. Attendance was well balanced from all sides of the "knowledge triangle", including a very active participation from the business community (approximately 1/3 of all participants) – thereby effectively reflecting the EIT's objective of bringing together all parts of the innovation chain. For the first part of the seminar, the EIT had invited several keynote speakers, representing various sectors and organisms, in order to spark discussion and provide different angles on the subject matter.

All presentations highlighted the necessity of creating a more innovation friendly context in Europe; and speakers also stressed the importance of exploring and intensifying ways of collaboration among innovation players – both of which are core elements of the EIT's mission.

In a second part, an open discussion between EIT Governing Board Members and the audience was centred on a number of questions. The aim was to address key features of KICs.

The seminar was perceived as a very timely initiative both by participants and Governing Board members. Apart from fruitful discussions, the meeting also provided a much utilised opportunity for networking and partnering activities in view of the formation of future KICs.

## Vienna (Austria) - 16 February 2009 "Sustainable Energy"

Chaired by Prof. Wolfgang Herrmann, Member of the EIT Governing Board and Executive Committee, this EIT seminar focused on one of the thematic areas designated for the first two to three Knowledge and Innovation Communities (KICs): Sustainable Energy.

The EIT seminar on "Sustainable Energy" was the second in a row of three seminars on the themes of the Knowledge and Innovation Communities. Interest in the subject was extremely high, with demand for participation heavily exceeding places available. The final audience – just under 200 participants from over 20 countries - reflected very well the variety of actors involved in the knowledge triangle, with representatives from higher education, research, technology transfer, government and business. The latter made up about one quarter of the audience, thereby confirming a very positive trend of stable interest in the EIT from the private sector.

During the first part of the seminar, Prof. Herrmann presented the views of the Governing Board on the KICs and on 'Sustainable energy' as a KIC theme. He stressed the idea of co-location centres, which will have to be an intrinsic feature of the the KIC fabric. Colocation centres are meant to be four to six major 'nodes' within a KIC, where staff from different stakeholders come to work together, face-to-face and which link other partners, such as local clusters of SMEs. Furthermore, each co-location centre should encompass a significant part of the innovation chain.

As regards the 'sustainable energy' topic, Prof. Herrmann pointed out that there were significant areas of synergies with the KIC topic of 'climate change adaptation and mitigation', e.g. carbon capture and storage; energy efficiency; alternative fuels; energy storage; the electric economy: heating vehicles etc; or the hydrogen economy. He stressed that such overlap was not only expected, but seen as a positive element of having KICs on these two critical topics. For the sake of focus and for the purpose of the assessment process, KIC applicants will however need to identify the central topic area (sustainable energy or climate change adaptation and mitigation) for their application. The EIT had also invited several keynote speakers to set scene for discussion.

Speakers represented a complementarity of sectors and organisms within the 'sustainable energy' theme, in order to provide different angles on the subject matter.

During the second part of the seminar, an open discussion with EIT Governing Board Members addressed key features of the Knowledge and Innovation Communities, and helped to clarify several questions from the audience in relation to the preparations for the KIC partnerships.

## Madrid (Spain) - 16 March 2010 "Climate change mitigation and adaptation"

Chaired by Prof. Julia E. King, Member of the EIT Governing Board, this EIT seminar focused on one of the thematic areas designated for the first two or three Knowledge and Innovation Communities (KICs): Climate change mitigation and adaptation.

The EIT seminar on "Climate change mitigation and adaptation", which took place in Madrid on 16 March 2009, completed the series of thematic seminars that was held for each one of the three potential topics for the future Knowledge and Innovation Communities (KICs). As for the previous two seminars, interest was high and the audience was a good reflection of the variety of actors involved in the knowledge triangle, with representatives from higher education, research, technology transfer, government and business.

To set the scene for the seminar, Prof. Julia E. King presented the views of the Governing Board on 'Climate change mitigation and adaptation' as a KIC theme.

Sketching out the potential scope of this thematic area, Prof. King mentioned for the area of mitigation– by way of example: low carbon transport; forestry and farming; waste and landfill; energy efficiency devices; low energy/low emissions processes; and small scale carbon capture and storage. For the field of adaptation, potential topics include for instance prediction and planning; weather and flood; crops and farming; infrastructure impact; resilient water sources. However, not only are these lists non-exhaustive, but there are also

possible synergies with the two other KIC themes, i.e. Future information and communication society; and sustainable energy, and notably with the latter.

To shed further light on the topic from different angles, a number of keynote speakers from a variety of backgrounds shared their views on the challenges lying ahead in this field

In a session dedicated more particularly to the KIC opportunity in the area of climate change, Prof. King highlighted the idea of co-location centres: a key element of the KIC structure. KICs are meant to have four to six co-location centres or major 'nodes', where staff from different stakeholders comes to work together. This will be a crucial element for the success of the KICs, since – in Prof. King's words – knowledge transfer is a "contact sport" where people need to meet face-to-face. Furthermore, each co-location centre should encompass a significant part of the innovation chain and actively reach out to other partners, such as local clusters of SMEs.

The co-location centres as well as other crucial features of the KICs were clearly outlined in the selection criteria for the KICs, which were published in early March. In this context, Prof. King highlighted the novelty and innovative nature of the KIC selection procedure, which will be carried out during the second half of 2009. A major advantage of the KIC selection procedure is its non-bureaucratic approach, making the submission of proposals simple, transparent and cost-effective. Proposals for KICs should not exceed 40 pages and will need to focus on a business plan and on the organisational, managerial and governance arrangements. The evaluation will be carried out in several steps by independent panels of external experts.

In a second part, an open discussion with EIT Governing Board Members addressed key features of the KICs, and helped to clarify several questions from the audience in relation to the preparations for the KIC partnerships. Among the central questions discussed were: Co-location centres, Development of a KIC, Incentives etc.

## Wroclaw (Poland) - 6-7 May 2009 "EIT Entrepreneurship Seminar"

This seminar, chaired by Dr. Daria Golebiowska-Tataj, Member of the EIT Governing Board's Executive Committee, focused on entrepreneurship and entrepreneurial education as one of the key elements of the European Institute of Innovation and Technology (EIT) and the Knowledge and Innovation Communities (KICs).

The EIT Entrepreneurship seminar, organised in Wroclaw (Poland) on 6-7 May 2009, was the last one in a series of seminars on the Knowledge and Innovation Communities (KICs) held since November 2008. With a first seminar on 'Shaping the KICs', followed by thematic seminars on each one of the three potential topics for the future KIC, the Entrepreneurship seminar now put the focus on another one of the core elements of the EIT strategy: entrepreneurship and entrepreneurial education.

The seminar brought together an audience of over 160 interested parties from across Europe and beyond, with participants representing all parts of the innovation chain, from higher education and research to business and innovation.

## Wroclaw (Poland) - 8 May 2009 "EIT Info day for the call EIT-KICS-2009"

The info day, chaired by Martin Schuurmans, Chairman of the EIT Governing Board was used to present the EIT and the KICs call to stakeholders and potential proposers.

The main aim of the Info Day was to provide interested parties with further clarifications on the Knowledge and Innovation Communities (format, selection criteria, operation etc.) by answering to questions in a comprehensive and service-oriented way and to provide interest parties with a networking opportunity.

The Info day brought together an audience of over 160 interested parties from across Europe and beyond, with participants representing all parts of the



innovation chain, from higher education and research to business and innovation.

Dr Martin Schuurmans, Chairman of the EIT Governing Board presented the EIT its expectations and the concepts underlying the call for proposals EIT-KICS-2009, Knowledge and Innovation Technologies. During the presentation and the interactive discussion sessions with the participants, Dr Schuurmans was assisted by Executive Committee members as well as EIT support staff.

The main event was followed by a presentation of the EIT Proposals Submission Service.

## 1.10. KIC partners – Co-location centers

### 1.10.1. Climate KIC

<http://eit.europa.eu/kics1/climate-kic.html>

The core partner group consists of Bayer, Beluga Shipping, Cisco, DSM, EDF, ETH Zürich, Imperial College, IPSL/ParisTech, PIK, Regional Innovation Implementation Communities, SAP, Schiphol Group, Shell, Solarvalley, Thales, and Utrecht University (coordinating partner - interim CEO is Prof. G.J. van der Zwaan).

#### The core academic partners

The core academic partners will act as pillars in their geographies, integrating a range of actors at the local level and including core corporate and public sector partners, research institutes, government agencies, businesses, and investors.

Imperial College. Consistently ranked among the world's best universities, Imperial College London is a science-based institution with a reputation for excellence in teaching, research, entrepreneurship and technology transfer. With its affiliate partners, the College delivers climate change expertise across the innovation chain. The KIC will access these capabilities through world-class facilities such as the Grantham Institute for Climate Change, the Energy Futures Lab, the Centre for Transport Studies, and Silwood Park (ecosystem impacts and adaptation research).

ETH Zürich. As the leading technical university in continental Europe, ETH Zürich's strengths lie in engineering, architecture, mathematics, and system-oriented and natural sciences. ETH Zürich has longstanding expertise in all Climate-KIC areas, and has identified climate change as a strategic development area.

German consortium. PIK and GFZ, both ranked among the top 1% of geoscience institutes worldwide, as well as the Technical Universities of Berlin (TUB) and München (TUM) form the German consortium. PIK links climate science to climate economics in a unique solution-driven way. Its director advises the EC president on climate and energy and represents German climate research in the Industry-Science Research Alliance of the German government, and its deputy director co-chairs the IPCC-WG on 'Mitigation of Climate Change.' TUB and TUM cover adaptation and mitigation relevant topics like low carbon energy and production, sustainable cities and mobility, or sustainable land use in research, education, and entrepreneurship support. GFZ offers unique expertise on earth system observation, flood risk analysis, CO2 storage and geothermal technologies, and its director presides over the German Academy of Technical Sciences.

French consortium. The French consortium, coordinated by the Plateau de Saclay foundation (FCS Digiteo-Triangle de la physique), has 7 partners: IPSL comprises ~600 climate change researchers and has a leading role in climate change research, e.g. coordinating two large EU projects, ICOS and ENES, on carbon management, modelling, and instrumentation. ParisTech and the Universities of Versailles (UVSQ) are among the best educational institutions in France, with a strong focus on mitigation, adaptation, and eco-technologies. CEA has a proven track record in innovation-oriented research, technology transfer to industry, and spin-off creation in domains such as energy, bio- and cleantech. INRA is the world's 2nd largest research institute in agriculture, food and environment. MétéoFrance is a world-class climate research centre. Similar to Paris Region's Advancity, which has an urban systems project portfolio worth €120M, all consortium partners have established partnerships with industry as well as climate change start-ups and SMEs, such as AriaTech, Noveltis, NumTech, or Leospere. Climate-KIC will benefit from government initiatives to develop the Plateau de Saclay campus (low carbon energy, agriculture, environment, and food) and Paris-Est (sustainable cities), and receive support from the French Ministry of Energy, Ecology and Sustainable Development.

Dutch consortium. The Dutch consortium has world leading expertise in climate mitigation and adaptation. It forms a strong innovation ecosystem built around science parks with universities, intermediate knowledge institutes, provinces and regions, and private partners. The consortium's expertise is focused on interdisciplinary research into adaptation in urban deltas, low-carbon energy systems including bio-renewables and CCS, and agriculture. In addition it has significant research facilities and pilot areas in which innovation projects concerning water risks and low-carbon cities can be tested with scalable pilots.

#### The regional partners

The Regional Innovation and Implementation Communities (RIC), led by the Hungarian Bioenergy Competence Centre OBEKK, form a network of six major European regions (combined population >26 M), which share a clear and demonstrable commitment to tackling climate change. They comprise Central Hungary, Lower Silesia (Poland), Midlands (UK), Hessen (Germany), Emilia Romagna (Italy) and Valencia (Spain). RIC has access to a range of funding sources, e.g., EU Structural Funds, national/regional R&D funding, and is able to coordinate these funding streams at city and regional levels. These resources will be available for the Climate-KIC from the start of the programme. RIC will initially focus on carbon emission reduction in the research areas low carbon living and low carbon mobility, by participating in implementation programmes, demonstration projects, and strategic support programmes. It will be drive knowledge management, exchange and dissemination.

#### The core corporate partners

The Climate-KIC corporate and regional partners will bring complementarities in research focus, implementation capabilities, and scale.

Beluga Shipping is a specialist for precise customer-specific transport solutions, and has been world market leader in its segment since 2008.

Bayer is active in the areas of health care, nutrition, and high-tech materials, with climate change priorities including EcoCommercial Building (reducing energy consumption in commercial and industrial buildings, currently emitting 7% of worldwide GHG), and Climate Change and Agriculture (focusing on improving the stress tolerance of plants and second generation biofuels). Bayer's main research interests with Climate-KIC are in the areas of integrated examination of energy processes, thermal energy management, innovative insulation materials, application of energy saving strategies from production processes to the construction of eco-buildings as well as in the area of integrated land management and the development and assessment of concepts for ecosystem services.

Cisco is global leader in solutions for Internet networking, communication, collaboration and unified computing with a strong innovation focus, dedicating 13% of revenues to R&D. Cisco's Planetary Skin R&D public private partnership is world class in ICT R&D, earth observation, and climate change modelling. Together with Climate-KIC, the Planetary Skin Institute (PSI) will research and develop a near-to-real-time global monitoring system of environmental conditions, providing an R&D platform for open, cross-sector collaboration. PSI will focus on capabilities to effectively manage resources (e.g., energy, water, food, biomass, land), manage climate change related risks (e.g., sea level rise, drought related crop yield reductions), and enable new environmental markets (e.g., carbon, water).

Royal DSM N.V. creates innovative products and services in Life Sciences and Materials Sciences that contribute to the quality of life and sustainability. End markets include human and animal nutrition and health, personal care, pharmaceuticals, automotive, coatings and paint, electrical and electronics, life protection and housing. DSM engages in large governmental-public programmes, mostly in the field of bio-renewables.

Électricité de France, (EDF), a leading European electricity company, spans the energy value chain: generation, distribution, sales and trading, supply and energy services. Leader in the French electricity market, the Group also has

solid positions in the United Kingdom, Germany and Italy. EDF is active in reducing CO2 emission and develops generation facilities without fossil fuels (nuclear, hydraulic, renewable). Its total CO2 emission levels in Europe are 80% less than those of its competitors. EDF improves energy efficiency and promotes the substitution of higher CO2 emissions with the use of electricity.

SAP is a leading international provider of business software and the world's third-largest independent software manufacturer, selling licenses for software solutions and related support services. SAP Research operates a model of co-innovation with prestigious universities, partners, and customers to develop groundbreaking ideas for future markets. SAP Ventures independently invests in companies that develop promising technologies and applications, and in entirely new fields promising very high profitability.

The Schiphol Group is an international airport operator and area developer based in the Netherlands that develops AirportCities in the Netherlands and abroad. Schiphol's particular interests lie in the area of sustainable aviation, transport hubs, and city and area development. Schiphol will participate in Climate-KIC technological development programmes and demonstration projects, thus aligning its development path with key partners.

Shell is a global group of energy and petrochemicals companies. The Climate-KIC allows Shell to further intensify its existing fruitful co-operation with many of the universities involved in the Climate-KIC, e.g., sustainable mobility programme with the Delft University of Technology, CCS programmes with Imperial College and the University of Utrecht.

Solarvalley Mitteldeutschland e.V. is a regional association of 27 companies including SMEs across the photovoltaic (PV) industry value chain and representing more than 90% of the employees organized in the Solarvalley and research and education institutions representing one of the world's leading PV clusters, the goal of the association is to link industrial partners, research institutions, and investors across the innovation chain to develop competitive technologies which will assure Europe's leading position in the PV.

Thales, through its subsidiary Thales Alenia Space France (TAS-F) is at the heart of the most high-performance satellite technologies in both civil and defence sectors. TAS-F is already deeply involved in environmental projects based on Earth observation programme (GMES), in meteorology, atmospheric chemistry and climatology sciences.

### 1.10.2. KIC Inno Energy

<http://eit.europa.eu/kics1/kic-innoenergy.html>

Co-location Centres (CC) and their Existing Eco-Innovation System

CC Germany (Karlsruhe)

Karlsruhe University (UKA) was founded in 1825 as the first polytechnical school in Germany after the concept of the Ecole Polytechnique in Paris. UKA is a research university particularly focused on engineering, natural sciences and economics.

Stuttgart University (US), founded in 1829, is also a research university with key competences in engineering, natural sciences, humanities, economics and social sciences. Today 40,000 students are enrolled at UKA and US together.

Forschungszentrum Karlsruhe (FZK), established in 1955, is the largest German energy research centre, coordinating the energy research within the Helmholtz Association. Research at the FZK on a technical scale is complemented by research at UKA on a laboratory scale.

The German Aerospace Centre (DLR) Stuttgart has focused its energy research on combustion and gas turbines, fuel cells, concentrated solar systems and thermal storage including efficient conversion of fossil and other chemical fuels.

KIT (Karlsruhe Institute of Technology, since October 1st, 2009 the merger of the Karlsruhe University with the Forschungszentrum Karlsruhe.), US and DLR will form a CC devoted to research, education and innovation focused on energy from chemical fuels. At the co-location site a well-established innovation infrastructure already exists.

EnBW as one of four national utilities is headquartered in Karlsruhe and Stuttgart. It is exploring new technologies such as carbon capture, geothermal energy in the river Rhine valley, smart grids, smart metering and the inclusion of PHEV as grid stabilising elements.

MIRO, located in Karlsruhe, is the largest refinery in Germany with close links to the chemical and process engineering department of UKA.

Intel and SAP are important key players in energy management and related IT.

The Steinbeis-Europa-Zentrum establishes links between industry, academia and politics and the TTI GmbH (Stuttgart) aims to support all potential start-up businesses in the Stuttgart region.

The incubator Technologiefabrik (est. 1983), the Technologiepark Karlsruhe (TPK) and the Centre for Innovation and Entrepreneurship (CIE) provide services and infrastructure, and the Landesbank Baden-Württemberg directs investment capital and helps to evaluate business plans.

Associated Partners: DLR, Intel, LB-BW, Steinbeis Europa Zentrum

CC Alps Valleys (Grenoble)

Alps Valleys have for more than a century presence in the sector of low-C energy supply technologies (hydroelectricity, nuclear). Schneider Electric, Grenoble INP and CEA have inherited this experience while keeping it alive. Grenoble is also a world-wide reference for fundamental research with two

major intergovernmental European Institutes: von Laue Langevin Institute (ILL) and European Synchrotron Radiation Facility (ESRF).

CC Alps Valleys will also attract other stakeholders on education programmes: Paris Tech, a well-known consortium of several French 'grandes écoles' of the Paris area (equivalent to Technology Universities), Mines de Nantes, INSA Lyon, Universities of Aix-Marseille, INSTN, which are all involved in MSc related to sustainable nuclear energy and convergence with renewable energies. AREVA, especially interested in all the activities carried out in these fields, is also very active in the field of nuclear engineering education (European Academy of Nuclear Energy, together with other industrial partners). Renault is interested in the development of local systems for energy storage. Alistore-ERI, managed by the CNRS, is a European network comprising Research, Education and Industry, which develops electrolytic storage solutions.

Associated Partners: Renault, Mines de Nantes

CC Benelux (Eindhoven-Leuven)

The Formal Partners of the CC Benelux are TU/e, K.U. Leuven, TNO, Vito and Eandis.

The Associate Partners of this CC include Philips Research, IMEC, ECN, Elia, NXP and Energy Delta Institute.

These ten Partners will concentrate their KIC-related activities in two physical locations: the High-Tech Campus Eindhoven and Genk-Waterschei.

Eindhoven University of Technology (TU/e) and K.U. Leuven are leading universities in the field of science and technology. Both universities also have an excellent track record in commercialising technological innovations also through the TU/e Innovation Lab and K.U. Leuven Research & Development (LRD), the technology transfer offices of these universities.

TNO and VITO are leading research centres conducting applied research. TNO and VITO play a pivotal role in commercialising research – in the region Eindhoven-Leuven, but also elsewhere in Belgium and the Netherlands.

Eandis owns, operates and maintains the distribution system of both gas and electricity in a major part of Flanders, with over four million customers.

Philips is a technology-driven global player in the health and well-being industry, focusing on improving people's lives through timely innovations.

IMEC is Europe's largest independent research centre in nano-electronics and nano-technology that develops solutions for better healthcare, smart electronics, sustainable energy, and safer transport.

ECN is a powerful player in the process of energy innovation in Europe, in the area of both sustainable energy technology and energy policies.

The Energy Delta Institute (EDI) is an international business school focusing on energy, created as a public-private partnership of Gasunie, University of Groningen, Gasprom, Shell and RWE.

Associated Partners: Philips, IMEC, ECN, Elia, EDI, NXP

CC Iberia (Barcelona)

The Technical University of Catalonia (Universitat Politècnica de Catalunya, UPC). UPC is also the Spanish Technical University with the highest budget from EU Projects. UPC is also very active in technology transfer (with international companies, as well as local SMEs) and innovation (strong collaboration with MIT, etc).

ESADE is committed to the development of highly professional leaders in the areas of management and law. It has founded the first International Innovation Centre for Open and Cross Innovation (EsadeCreapolis). ESADE is

currently ranked in the highest positions amongst the world business schools, especially with regard to executive education, innovation and entrepreneurship management.

Instituto Superior Técnico de Lisboa (IST) was founded in 1911 and it is the nonpareil of engineering schools in Portugal. The traditional relevance of IST is in education of specialised and high performance engineers, technical managers and research leadership. IST is currently very actively collaborating with the MIT.

CIEMAT (Centro de Investigaciones Energéticas, Medioambientales y Tecnológicas, Centre of Energy, Environmental and Technological Research) is one of the leading Spanish energy research centres. CIEMAT's excellence is particularly owed to the wide spectrum of topics offered and the outstanding quality of scientific and technological developments achieved, for instance, in the field of solar CSP and wind energy systems.

IREC (Institut de Recerca en Energia de Catalunya, Energy Research Institute of Catalonia) was founded in 2008 and has already managed to take root as a major institution for energy research in the region of Catalonia. The IREC Board members include the three main Catalan Universities and big companies like ENDESA, GAS NATURAL-UNIÓN FENOSA, AGBAR. In particular, IREC is promoting contact with the MIT, UCDAVIS-CLTC, University of Sherbrooke, NREL and others to make the Barcelona eco-innovation system even more active and relevant.

Associated Partners: Tecnia, EDP, Galp Energia, Alstom-Ecotécnica, AGBAR, Atersa IS

#### CC PolandPlus

AGH University of Science and Technology (AGH) is one of the biggest technical universities in Poland. AGH ranked first nationally and is recognised as a leader in research (highest category for almost all faculties) and education

(certification with distinction). Krakow is recognised as a main academic centre in Poland with over 180 000 students and well-known universities including Jagiellonian University (founded in 1364), which closely cooperates with AGH.

Silesian University of Technology (SUT) is classified within the highest rank of universities in Poland. Consequently SUT bears a category '1' label for its competences in education and research. In the field of energy SUT is active through its Faculty of Energy and Environmental Engineering (FEEE) which again holds the highest category label – '1'.

The Institute for Chemical Processing of Coal (IChPW) was established in 1955 as a research and development centre dedicated to supporting the coal-processing industry. The mission of the institute is to deliver innovation knowledge to increase the competitiveness of the energy and carbochemical industry including efficient use of fossils, renewable and fuels.

IChPW is currently engaged in the development of two CCS projects in Polish power plants (Polygeneration power plant ZAK Kedzierzyn and BOT Belchatow Power Plant).

The Central Mining Institute (GIG) is a governmental research and development centre with more than eighty years' experience in the mining industry. Currently it employs 526 persons, including 118 researchers. GIG established sixteen accredited laboratories supporting research/technology experiments.

The main industrial Formal Partner is ZAK K•dzierzyn, operating one of the biggest chemical plants in Poland and possessing a CCS demonstration unit project.

Further associated industrial partners are: Tauron Polska Energia S.A., the main power producer and supplier in the south of Poland (Kraków-Katowice-Wroc•aw), PGE BOT Be•chatów, operating the biggest and modern conventional (lignite) power plant in Poland and implementing a CCS

demonstration unit (858 MW), RAFAKO S.A., a boiler engineering company, and LOTOS S.A., active in oil production, processing and distribution and implementing a project for CO2 storage under the sea.

CC Sweden

CC Sweden involves KTH, the largest University of Science and Engineering in Sweden with 15,000 engineering students and 1,600 PhD students with energy as a priority area as well as

Uppsala University (UU), Sweden's highest ranked university with 40,000 students and 2,000 PhD students. Energy is the single largest area of research within the Faculty of Engineering and Science at UU.

SLU, the Swedish University of Agricultural Sciences, a leading European player in biofuels and environmental assessment contributes as Associated Partner. CC Sweden has a broad and cross-disciplinary energy education programme (>20 MSc, five Erasmus Mundus, and one Nordic Master programmes) and PhD level (>500 PhD students), with outstanding research facilities.

KTH, UU and SLU have formed a strategic energy research alliance, STandUP, that received competitive funding from the Swedish Strategic Research Initiative of 2009. Research and education are integrated in EU programmes but also linked globally such as the KTH-China energy centre involving several joint research centres with leading institutions in China on different topics within energy.

Technion from Israel is an Associate Partner, adding competences within grid, storage and innovation chain development.

The major industrial partners are Vattenfall and ABB, with further support of SVK (Swedish Transmission System operator). Together these parties have taken Sweden to a leading position in transmission and distribution technology introducing controllable smart elements in the power system such as Flexible

AC Transmission (FACTS) and High Voltage Direct Current (HVDC). Key technologies for smart grids have been developed by ABB, often in cooperation with KTH and Vattenfall, like the first fully computerised (smart) grid control system. This cooperation is institutionalised by industry/government funded, university-hosted research centres and programmes.

Associated Partners: SLU, Technion, Svenska Kraftnät, STING, Seabase

KIC level partners

Two formal industrial partners at KIC level have transverse interests in all CCs and contribute to all thematic areas:

EDF, the leading European electricity company, is active in various fields: generation, distribution, energy sales and trading, supply and energy services.

Total is the fifth-largest publicly-traded integrated oil and gas company in the world and a major actor in the chemical business.

### 1.10.3. EIT ICT Labs

Co-location Centre Berlin

The Berlin Co-location Centre consists of six core partners (Deutsche Telekom AG, Siemens AG, SAP AG, Fraunhofer Gesellschaft e.V., DFKI gGmbH and TU Berlin) plus seven affiliate partners Max Planck Institute for Informatics, Saarland University, TU Darmstadt - Center for Advanced Security Research Darmstadt (CASED), TU München, Karlsruhe Institute of Technology (KIT), EICT GmbH and Opera Software ASA with complimentary competencies fully committed to fulfill the ambitious goals of EIT ICT Labs.

Deutsche Telekom AG (DTAG) is one of the world's leading telecommunications and information technology service providers. Main activities in research and innovation will be provided to EIT ICT Labs along the

focus fields of intuitive usability, integrated service components, intelligent access, infrastructure development and inherent security. An “entrepreneur in residence” program will be provided to stimulate the foundation of spin-offs in conjunction with T-Venture activities. Furthermore, a particular “search for talents” program at DTAG will stimulate collaborations between industry and education. DTAG will provide knowledge and best practice in user-driven development methods (e.g. user clinics and participatory design).

DFKI, Deutsches Forschungszentrum für Künstliche Intelligenz gGmbH, with its sites in Berlin and Saarland covers the complete cycle of innovation in the area of advanced software technology from world-class basic research and technology development to leading-edge prototypes and product commercialization.

The Fraunhofer-Gesellschaft undertakes applied research of direct utility to private and public enterprise and of wide benefit to society. The Fraunhofer society works on a broad range of scientific topics such as next generation media and services delivery platforms, security and identity management, mobile and context aware services. The technologies are applied to several industrial fields, e.g. telecommunication, medicine, eGovernment and SW/HW development.

SAP has grown to become the world’s leading provider of e-business software solutions. It is the world’s largest inter-enterprise software company and the world’s third-largest independent software supplier, overall. SAP Research is the technology research department of SAP responsible for identifying, developing and evaluating emerging technologies, processes and e-business solutions. SAP Research will bring to EIT ICT Labs its knowhow in bridging the gap between open, collaborative research with external partners and exploitation into product lines through development groups.

Siemens AG (Berlin and Munich) is a global powerhouse in electronics and electrical engineering, operating in the industry, energy and healthcare sectors. Within the EIT ICT Labs context, Siemens AG will lend its expertise mainly to

two application areas of main interest. Firstly managing the complexity of embedded systems which are increasingly distributed and networked, and secondly to the Internet of Things and Internet of Services – Cyber Physical Systems with emphasis on eEnergy, eHealth, eMobility and eServices.

The Technische Universität Berlin is a strong research university, which combines its excellence in basic research with a predominantly engineering science approach that emphasizes application-oriented research. TUB will promote open and disruptive innovation in enabling knowledge communities including services in several domains, architectures for the future Internet, intelligent interfaces to the community and Semantic knowledge provisioning. TU’s involvement in EIT ICT Labs will build upon ongoing strategic research programmes for eEnergy, eWater, eMobility, eHealth, and eServices.

#### Co-location centre Eindhoven

The Dutch ICT Labs Node consists of three core partners: Philips, 3TU.NIRICT and Novay, with TNO-ICT and CWI as prime affiliate partners. Together with a network of national and regional partners they intend to form a Co-location Centre at the High-Tech Campus Eindhoven (HTCE).

The Dutch node will built upon the existing high-tech eco-system of Point One (Dutch high-tech innovation program for nano-electronics, embedded systems and mechatronics), the Embedded System Institute (ESI), the new Dutch ICT ecosystem COMICT, and the new Service Innovation Platform program.

3TU.NIRICT is the Netherlands Institute for Research on ICT that forms the academic core of the ICT research within the 3TU Federation of the Universities of Technology of Eindhoven, Delft and Twente.

Philips Electronics Nederland BV is a wholly owned subsidiary of Royal Philips Electronics of the Netherlands. On average, Philips has nearly 100 collaborative projects with public co-funding running under European, intergovernmental



and national programmes in Europe. Many of these have relevance for the scope of EIT ICT Labs.

Novay, formerly known as Telematica Instituut, is the Dutch Technological Top Institute in the area of ICT, connecting companies, knowledge partners and governmental organizations in an open network to realize ground-breaking ICT innovations with an impact on people, society and economy. Novay actively collaborates with over 50 business partners and 10 knowledge partners via both national and EU Framework programmes, and has an active commercial spin-off policy.

#### Co-location centre Helsinki

The Helsinki Node is a partnership of three organisations: Nokia Corporation, VTT Technical Research Center of Finland and Aalto University (starting in January 2010), a three-way merger of TKK the Helsinki University of Technology, HSE the Helsinki School of Economics and TaiK the University of Art and Design Helsinki.

TKK, Helsinki University of Technology is the leading and most diversified university of technology and architecture in Finland. World-class ICT competences in TKK include advanced computational methods, adaptive informatics, radio-science and interaction research.

HSE, Helsinki School of Economics, is the largest and leading business school in Finland and a globally acknowledged player in management education. HSE has received a “Triple crown” accreditation from AACSB, AMBA and EQUIS. HSE is recognized for its close ties with the business world and high-quality research.

TaiK, University of Art and Design Helsinki is an internationally recognised pioneer in cross-disciplinary doctoral level education and research in the fields of design, art education, visual culture and digital media. The most active research units at TaiK with respect to the EIT ICT Lab's objectives are the

School of Design focusing on user-centered design approaches and social impacts of communication technology and the Media Laboratory with its interests in on-line collaboration and digital cultural heritage.

VTT Technical Research Centre of Finland is the largest multidisciplinary technological R&D organization in the Nordic region. Its activities cover everything from electronics to construction. The synergies between VTT's different research fields, its heavy involvement in EU projects and national innovation networks are a particular strength.

Nokia Research Center is the global research unit of Nokia with Finnish sites in Helsinki and Tampere. NRC has created a pioneering global network for open collaboration. Open Innovation and empowering the developer community are vitally important for the new Nokia solutions strategy where innovations need to cover the whole human life in its full richness. Joint idea creation, innovation acceleration and piloting activities and events are being pursued and planned together on campus also for the benefit of EIT ICT Labs.

#### Co-location centre Paris

The French EIT ICT Labs co-location centre is located in the Paris-Saclay hotspot. Core partners are Alcatel-Lucent, Orange-France Télécom, Thomson, INRIA, Université Pierre et Marie Curie Paris 6, Université Paris-Sud 11, and Institut Télécom. The Paris-Saclay co-location benefits from two major “competitiveness clusters”, System@tic and Cap Digital and a forefront research cluster Digiteo dedicated to research in software-intensive embedded systems that already developed and structured a dynamic ICT innovation ecosystem in the region, gathering all key players and in particular a strong community of innovative SMEs. It will also benefit from the French R&D lab on Next Generation Internet under creation in Paris which will co-locate in Paris joint teams from major Academic and Industrial stakeholders to play a prominent role in EIT ICT Labs landscape.

Two European R&D leading hubs in ICT will reinforce the French co-location, through the affiliation of Rennes 1 and Nice-Sophia-Antipolis Universities, and the related competitiveness clusters, “Image & Réseaux” and “Secured Communication Systems” (SCS).

INRIA is the only French public institute entirely dedicated to research in Information and Communication Science and Technology.

Institut Telecom is a group of French top level engineering schools (‘Grandes Ecoles’) combining education, research and innovation activities in ICT, focusing on networks of the future, communicating objects, digital media and services, and socio-economical issues of the Digital Society. Institut Telecom acts as an incubator for the development of the Digital Society.

Université Pierre et Marie Curie (Univ. Paris 6) is the #1 research university in France and is dedicated to science, engineering and medicine. Within Univ. Paris 6, ICT research is mainly organized in a single lab (LIP6) which has established many international ties, in research and education, some of which are highly relevant to the foreseen EIT ICT Labs activities.

Université Paris-Sud 11 (Univ. Paris 11) is one of the largest French universities with a high reputation in major fields, including ICT. It is one of the founding members of the Digiteo research park in ICT. It hosts the Laboratory for Computer Science (LRI), jointly founded with the National Center for Scientific Research (CNRS) 30 years ago and today one of the top French academic labs in Computer Science. LRI conducts internationally recognized research in areas related to EIT ICT Labs: networking in both fundamental and practical aspects, software technology for large and distributed systems, web data processing (semantic web and data mining) and human-computer interaction.

Alcatel-Lucent provides solutions that enable service providers, enterprise and governments worldwide, to deliver voice, data and video communication services to end-users. Alcatel-Lucent has one of the largest research,

technology, and innovation organisations in the telecommunications industry. Its research arm, Bell Labs will be responsible for contribution to the EIT ICT Labs.

Orange-France Telecom is the number three mobile operator, the number one provider of broadband Internet services in Europe and one of the world leaders in providing telecommunication services to multinational companies. Orange Labs (formerly France Telecom R&D) and CNET have been major actors in the emergence of the Internet. Orange-France Télécom has a long history of collaboration with the other EIT ICT Labs French partners (INRIA, Institut Télécom, Alcatel, etc.).

Thomson will be involved in the EIT ICT Labs both through the involvement of researchers from Corporate Research and the support of Intellectual Property experts from the Licensing and Innovation team. Thomson Corporate Research has been developing novel communication architectures and applications and will bring to the EIT ICT Labs the Nano-datacenter model and the opportunistic mobile networking activities. In addition, Thomson has a unique expertise in the exploitation of inventions and will support EIT ICT Labs in identifying suitable patenting strategies.

#### Co-location centre Stockholm

The Stockholm Node comprises four Core Partners; Ericsson, TeliaSonera, SICS and KTH, who together with the network of local and regional partners contribute to the dynamic development of our co-location environment in Kista Science City – the renowned wireless systems hotspot of the world and a successful innovation cluster since two decades. Prominent local partners are the Electrum Foundation, the hub of our PPP triple helix collaboration including its SME networks and innovation support company STING with associated VC funds and the City of Stockholm and the Region. The universities of Stockholm, Luleå and Lund as well as the research institutes Acreo and Interactive Institute will provide additional human resources and competence to our co-location activities.

KTH, Royal Institute of Technology, accounts for one-third of Sweden's technical research and engineering education capacity at the university level. KTH hosts 12,000 full-year equivalent students on bachelor and master levels, more than 1,400 active postgraduate students and 2,800 employees. KTH foresees contributions to the EIT ICT Labs in the following areas: Innovation support; Research in Access Infrastructures, Internet of Things, Systems and business models for Services and by hosting a thematic Graduate School on "Systems for Services"; and master's programmes In Wireless/Communication Systems, Tele-economics (in cooperation with Helsinki/TKK), Security & Privacy (with TKK), Large Scale Distributed Systems and System-on-a-Chip.

SICS, Swedish Institute of Computer Science, is part of Swedish ICT Research AB, a non-profit research organization owned by the Swedish government (60%) and industry (40%). SICS will contribute to the EIT ICT Labs in the areas of Future Internet Architectures, Internet of Things, and Mobile Services.

Ericsson AB is a world-leading provider of telecommunications equipment and related services to mobile and fixed network operators globally, and is one of Sweden's largest companies in terms of turn-over and number of employees. The EIT ICT Labs and its associated research teams will be the key vehicle of academic research cooperation for Ericsson in the next 5-10 year period. Joint research project and joint participation in EU-projects with the active participation of Ericsson in terms of both research direction/problem formulation as well as direct participation with manpower in projects is foreseen. Exchange of staff/internships is another means of interaction.

TeliaSonera AB is the leading provider of telecommunication services in the Nordic and Baltic countries, with over 115 million subscribers. TeliaSonera has a particular interest to participate in EIT ICT Labs joint research programmes on mobile services and business models for systems and services.

# ANNUAL REPORT

## ACTIVITIES & ACHIEVEMENTS

2009

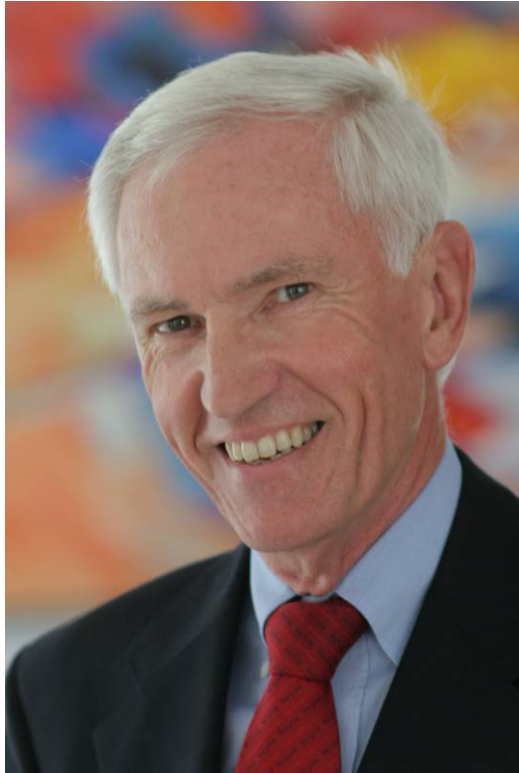
<http://eit.europa.eu>

28<sup>th</sup> JUNE 2010

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## 1. A word from the Chairman



In 2009, the EIT accomplished all the tasks foreseen in the EIT Regulation for its initial establishment. A call for KIC proposals was prepared and published in a timely manner and three Knowledge and Innovation Communities (KICs) were selected on 16<sup>th</sup> December 2009. The EIT office was constructed in Budapest over the course of 2009 and its first Director, Gérard de Nazelle, chosen and formally appointed. In 2009, stakeholders were informed and EIT concepts were developed

and promoted in various meetings and contexts. These included individual meetings of Board members with stakeholder organizations, meetings with the ITRE Committee of the European Parliament and with various MEPs, meetings with President Barroso and various Commissioners, and open conferences building on the Knowledge Triangle concept, entrepreneurship as its glue and driver towards impact and the crucial role of

leadership within KICs. Right from the start, the EIT's focus has been on innovation impact, focussing on strengthening existing businesses, generating new businesses, strengthening education and in particular entrepreneurship education, and enhancing the impact of research on innovation.

Key EIT values have rapidly developed:

- "Can-do" attitude and approach, by constantly seizing new and emerging opportunities;
- Results-orientated, focussing on outcomes and deliverables (nb. the EIT is neither a funding agency nor a programme);
- Top-class excellence and highest standards, capable of competing at the global level and attracting the best talents and resources;
- Strong leadership, simplicity and strategic focus, by the EIT Board itself as an autonomous EU body and via the KICs' CEOs;
- Quick mobilization and timely delivery,
- Simplicity, giving the fullest possible leeway and flexibility to KICs;
- Seeking strong societal and economic impact and returns.

Today, the EIT is gradually gaining recognition as a change agent and an "ice-breaker" in the European innovation landscape. We could not have accomplished this alone. We are grateful for the ongoing support of President Barroso, Commission services as the key engine behind EIT support in 2009, the Commissioners and

leaders of all related Directorate-Generals, the Hungarian authorities and all those countless people who have gone beyond the call of duty to deliver on the KIC call and selection in 2009, to ensure formidable promotion effort and to contribute to building the EIT brand. The lasting support of the European Parliament - and in particular the ITRE Committee - is also gratefully acknowledged.

Few believed that the EIT could pull off its main task in 2009: the selection of the KICs in just 15 months since the Governing Board's first meeting in September 2008. Now we face the challenge of putting the KICs together as integrated legal and financial entities with strong leadership and which start delivering on the desired innovation impact. This has never been done and we are aware that the process of getting there is followed with great interest across the EU. Under the leadership of the EIT in Budapest and jointly with the KICs and the Commission's support, I like to assure you: we can and will do!

Prof. Dr. Martin Schuurmans  
Chairman of the EIT Governing Board

## 2. BUILDING A WORLD-CLASS INNOVATION PLAYER

### 2.1. Establishing the EIT Headquarters in Budapest

2009 was essential for preparing the establishment of the permanent EIT headquarters in Budapest. Following the negotiations between Member States on the headquarters during the European Council of 2008, the Hungarian government made the following commitments:

- to cover the office rental fees of the EIT Headquarters for 20 years
- to provide a suitable and prestigious location within the technological centre of Budapest, either in one of the new buildings of the Budapest "Infopark" or in its vicinity near the Budapest Technical University campus.

The Hungarian authorities promptly launched a procurement procedure to obtain the appropriate office space corresponding to the EIT's needs as a growing institution. As a result, an impressive, modern and functional office space in the Infopark in Budapest was put at the EIT's disposal on 1<sup>st</sup> December 2009.



EIT Office in Budapest

On the basis of the planned office arrangements, the EIT rapidly ordered essential office furniture and IT equipment in December.

Nb. During the transitory phase before the final establishment of the headquarters, meetings in 2009 took place in the prestigious "Collegium" building in Buda, which was kindly offered to the EIT by its Rector, Dr. Andrew Sors, as suitable temporary meeting accommodation.

#### Finalizing the "Host agreement"

Another important aspect of EIT relations with the Hungarian Government was the negotiations on the EIT Host Agreement, which spells out the precise relations between the EIT as an EU agency and Hungary as its host country. By the end of 2009 the EIT, had already agreed upon the annexes covering the precise implementation of HU commitments to the headquarters and salary contributions and convened a quasi-final text covering immunities and privileges of the EIT and its staff. The conditions granted to the EIT meet its expectations and are on a par with conditions offered by host countries of other European Union agencies.

## 2.2. EIT Human Resources

### 2.2.1. Commission support to the EIT during the interim phase

From the EIT Legal Representative to the first EIT Director

As required by the EIT Regulation, the Commission provided continuous support to the EIT during the interim set-up phase to ensure the rapid establishment of the EIT support structure whilst allowing the Governing Board to be fully operational in the meantime. In particular, the Commission (DG EAC) supplied the EIT Secretariat function, preparing Board meetings, lending any required assistance and facilitating contacts with other Commission services and EU institutions. The Director of Resources of DG EAC was named in April 2008 as the interim legal representative of the EIT, in charge of all matters related to staff, administration and finances, including the implementation of the EIT budget. He was replaced in this function by the first EIT Director who took up his new function on 1<sup>st</sup> November 2009 (cf. "Selection of the first EIT Director" under 2.2.2., below). This coincided with the start of the gradual phasing out of the Commission's support role, as preparations for the recruitment of EIT staff were put in motion and the transitory period began drawing to a close.

### 2.2.2. Human Resources Activities 2009

Activities in the area of Human Resources (HR) Management at the EIT focussed strongly on recruitment, in order to form the team that would start operating from the Budapest Headquarters in 2010. The



foundations for several other HR processes at the EIT, such as learning and career management, were also laid in 2009.

Furthermore, the EIT established its own specific legal framework in the area of HR Management through the adoption of Rules on the recruitment of temporary/contractual agents and other staff.

### Recruitment of EIT Staff

In total, the EIT carried out two waves of recruitment processes during 2009 to fill the posts under its Multiannual Staff Policy Plan 2010-2012. These processes took place between June and December 2009 and the last interviews were to take place in January 2010. A third wave of recruitment was also planned and published before the end of 2009, still ongoing in early 2010.

Additional recruitment efforts carried out during 2009 led to the first members of staff joining the EIT. By the end of 2009, a small group of staff was in place, whereas several other posts were to be filled by early 2010 with selected candidates from the published vacancies mentioned above. (cf. more details in Annex 6.3)

Prior to the formal launch of the first EIT in 2009, access to the EU CV on-line tool for recruitment processes was granted by the European Commission, and the different steps of the procedure were formally planned and organized. Thereafter, a guide for candidates was published together with the vacancy notices on the EIT website, and a recruitment guide for internal use was adopted.

### Internal & external relations

In order to manage its staff, the EIT put in place a number of agreements with different services during 2009. Many of these contracts took the form of Service Level Agreements (SLA), including for example contracts concluded with DG HR (Learning and Development Unit) and the EAS (European Administrative School), in the area of training.

Furthermore, the EIT took an active role in the network of Regulatory EU Agencies as well as in several other fora organised by EU Institutions in order to exchange best practices and provide mutual support.

### HR forward planning

During 2009, the EIT identified the core areas for the HR function at the EIT, and assigned priorities to related tasks accordingly.

In April 2009 the EIT formally adopted its Multiannual Staff Policy Plan for the period 2010-2012, which served as a reference to plan further steps in HR Management at the EIT. Moreover, several roadmaps and action plans with key milestones on HR were also drawn up in the context of the EIT's ambition to rapidly achieve administrative and financial autonomy from the Commission.

### Selection of the first EIT Director

The Governing Board adopted a four-step process for selecting the Director during its meeting of October 2008. A vacancy notice for the post was published on 15<sup>th</sup> November 2008, with a deadline for the

submission of applications on 6<sup>th</sup> January 2009. There were 268 applicants in total, of which 57 were deemed non-eligible. The first step of the process included a pre-selection panel (composed of 2 Governing Board members and 3 high-level Commission representatives) which opted to interview 16 candidates on 24-25<sup>th</sup> March 2009. Following the interviews, the Panel underlined the excellent performance of 6 candidates, who went to the next stage of the selection.

During the second step, the Consultative Committee on Appointments (CCA), an advisory body for the appointment of senior officials within the Commission, took note of the conclusions of the pre-selection panel, invited all candidates to assessment centre evaluations in May 2009 and then invited all candidates to interviews on 11<sup>th</sup> June 2009. Following these interviews, the Committee short-listed 5 candidates.

The third step included interviews by Vice-President Kallas, the (then) Commissioner responsible for Personnel issues. During the fourth step, the Commission adopted the shortlist of 5 candidates following the recommendations of the Committee and of Commissioner Kallas.

Finally, all short-listed candidates were invited for interviews with the EIT Governing Board during their meeting of 16<sup>th</sup> September 2009, following which Gérard de Nazelle was formally appointed as EIT Director by the Board during a secret ballot with a simple majority vote.

### 3. Putting the EIT's strategic vision into practice: The EIT Triennial Work Programme (2010-2012)

The EIT's rolling Triennial Work Programme (TWP) for the 2010-2012 period was the Governing Board's first opportunity to put forward its strategic vision and orientations for the EIT in a short- to mid-term perspective, and included a detailed Annual Plan outlining activities for 2010. The rolling Work Programme is itself a precursor to the EIT's upcoming seven-year Strategic Innovation Agenda (SIA), due by June 2011, which will shape the future of the EIT's long-term development.

The EIT Governing Board sent its draft TWP on 15th July 2009 – one year after the Board's appointment, as laid down in the EIT Regulation – to the European Parliament, the Council and the Commission, who had three months to convey any comments and opinions.

The EIT Chairman also made oral presentations to the European Parliament and the Council on the TWP, which received broad endorsement. The Commission was the only institution to make written comments on the draft TWP. A Commission Opinion, summarizing the comments of various relevant Commission services, can be found in extenso in Annex (1.5). The draft TWP was welcomed by the Commission, which highlighted in particular the KICs' pioneering role in the integration of the knowledge triangle, with entrepreneurship and entrepreneurship education at its core as the key linking factor or "glue" between the various strands of the triangle. The Commission also guaranteed its ongoing support to the EIT until its full establishment, including in the development of the SIA.

In light of the Commission's written Opinion, the EIT Governing Board decided to hold an extraordinary meeting to discuss in more detail the EIT's future strategic orientations, notably in view of adopting its first draft SIA.

The EIT took account of the Commission's written suggestions, which called for some clarifications on the implementation of activities planned for 2010, and adopted its final TWP in December. The latter can be found on the EIT website (cf. <http://eit.europa.eu/about-eit/official-documents.html>).

### Securing financial commitment and leverage from the private and philanthropic sectors: the EIT Foundation

The full participation and long-term commitment of business and industry from the outset is crucial to the EIT's and to the KICs' credibility and success.

The EIT Foundation intends to play a crucial role in safeguarding the EIT's financial sustainability and autonomy. It will be a convenient vehicle to attract donations from sponsors from most EU countries - and beyond - to support the activities of the EIT and its KICs.

The Foundation will be at the EIT's service, with which it shares the general objective of contributing to Europe's innovation capacity. The EIT Foundation is therefore not a goal in itself. It will function as a kind of "clearing-house" for the external private donations that the EIT aims to attract.

The EIT Governing Board initiated their reflections on the setting up of the EIT Foundation during its meeting in February 2009.

In the absence of a legal possibility to establish a European foundation, an ad hoc solution was found by establishing the Foundation under the national legislation of one of the EU Member States.

In this perspective, the EIT Governing Board sought the advice of the European Foundation Centre, which conducted a comparative study on the legal status and tax regimes for Foundations in different EU countries. The report of this study, which was presented at the April EIT Governing Board meeting, recommended that the EIT Foundation be established in the Netherlands where it would benefit from a charitable status and enjoy a favourable fiscal regime for attracting international donations.

During its September meeting, the EIT Governing Board agreed on the necessity to obtain support from external legal experts in order to prepare the proper establishment of the EIT Foundation.

At the request of the EIT, DG EAC subsequently launched a call for tender (EAC/36/2009) on its behalf by negotiated procedure on "Legal advice, drafting of documents necessary for the creation and the registration of the EIT Foundation in the Netherlands".

In December 2009 a contract was concluded with the Dutch law firm Pels Rijcken NV. The legal establishment of the EIT Foundation will be realized by summer 2010.

The EIT and the EIT Foundation will be two separate legal entities. While the EIT, as an EU body, is accountable to the European Parliament and the Council and must comply with EU rules and procedures, the Foundation, established under Dutch law, will comply

with Dutch legislation and will be financially and legally accountable to the Dutch authorities.

## 4. Setting up the KICs: the KIC Selection Process

### 4.1. Preparing the KIC call

Prior to publication of the first call for KICs, regulatory and practical considerations required a certain number of elements to be in place beforehand. These include:

- The specific financial rules of the EIT<sup>1</sup>;
- The detailed criteria for the selection of the KICs;
- 2009 EIT budget and work programme;
- Adoption of guidelines on Intellectual Property Rights (IPRs).

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<sup>1</sup> According to Article 21.1 of the EIT Regulation the EIT shall adopt its financial rules in accordance with Article 185(1) of Regulation (EC, Euratom) No 1605/2002. These may not depart from Regulation (EC, Euratom) No 2343/2002 except where the EIT's specific operating needs so require and with the Commission's prior consent.

## The financial rules of the EIT

In accordance with Article 13.2 of the EIT Regulation, the EIT made public its Financial Rules on 2 April 2009 (see link to Financial Rules in Annex 1.6)

The EIT Governing Board adopted the draft EIT financial rules on 9th January 2009. This draft was then submitted to the Commission for a formal decision, which was taken by the Commissioner responsible on 2nd April. (The Governing Board subsequently confirmed their adoption of the final text on 20th April 2010.)

## Publication of the KIC selection criteria

- In accordance with Article 13.2 of the EIT Regulation, and following the Governing Board decision of 20th February 2009, the EIT made public on its website, on 2nd April 2009, the criteria for the selection of KICs. Despite the tight timescale imposed by the Regulation for the selection of first KICs ("within 18 months of the Governing Board's appointment") the Board has succeeded in setting up the KIC selection framework, slightly ahead of schedule. The KIC selection criteria (cf. annex) were posted on the EIT website one month before the call publication.
- Major decisions taken by the Board on KIC selection criteria can be summarized as follows :
- Ø Each KIC must comprise 4-6 "co-location" centres where partners from most or all areas of the "innovation chain" come together over extended periods to work together, face-to-face in diverse, multidisciplinary teams. KICs will thus not only be virtual entities,

but also dynamic, physical communities in order to foster trust and long-term commitment between partners.

- Ø The Board lays strong emphasis on entrepreneurship as the essential link between academia and the business context. KICs must therefore have a strong entrepreneurship component, developing entrepreneurial people across borders, sectors and disciplines. All KIC education programmes must include entrepreneurial and innovation-orientated skills encouraging graduate mobility and multi-disciplinarity.
- Ø KICs are expected to operate on a budget of 50-100 million Euros each per year. The EIT grant will fund up to 25% over time (perhaps more during the initial phase), subject to evaluation on milestones. KICs are therefore expected to leverage 4 times the Community contribution in total, via a wide variety of public-private sources. This reflects the high level of commitment and integration the EIT GB expects from KIC partners.
- Ø Extraordinary emphasis was put on strong leadership of the KICs and a business plan with clear annual deliverables - generating impact.
- Ø Simplicity is a key driver: the KIC call criteria were only 4 pages long, the KIC call text only 9 pages and call proposals no longer than 40 pages.

## 2009 EIT work programme and budget

Based on a proposal from the EIT Board, the 2009 EIT work programme was adopted by Commission<sup>2</sup>.

### Guidelines on Intellectual Property Rights

The KIC selection criteria state that KIC proposers need to put forward "motivating IPR rules" for their partnerships. IPR guidelines were published on the EIT website (see Annex 1.8) by the Governing Board at the same time of the KIC call (2<sup>nd</sup> April 2009). These guidelines were purposely minimal so that (a) potential business partners are not dissuaded by excessive regulation (b) KIC partners themselves propose and develop their own specific IPR strategy according to their needs – ie. in a bottom-up manner – and over time. KICs are not expected to have a fully developed IPR policy upfront, but a credible plan, to be implemented gradually.

#### 4.2. KIC call publication

##### Raising awareness among stakeholders – EIT information seminars

Following a decision of the Governing Board, three seminars promoting the EIT among stakeholders and explaining the EIT GB approach to KICs were organized in 2009 on each potential thematic area of KICs, and in four different Member States: Budapest (Hungary) "Future

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<sup>2</sup> Decision C(2008)8475 of 17 December 2008.

information and communication society", Vienna (Austria) "Sustainable Energy" and Madrid (Spain) "Climate change mitigation and adaptation". High participation levels (between 150-200 at each seminar, of which 20-25% from the business community) indicated strong and continued interest for the EIT, while questions put forward during these meetings (focussing on "how" to prepare KICs rather than "why") indicated that the concept and added value of the EIT have now been generally understood and acknowledged by both academia and business. (cf. detailed accounts of each seminar in Annex).

Moreover, a dedicated info-day for potential KIC proposers was organized in Wroclaw (8th May 2009). It was held back-to-back with a special two-day seminar on entrepreneurship (6th-7th May 2009), reflecting the importance which the Board attaches to entrepreneurship and entrepreneurship education - at the heart of the knowledge triangle - in KIC proposals.

To facilitate information flows with all potential interested parties, DG EAC provided for an EIT-specific enquiry service (based upon the "Europe Direct" platform). This ensured that all enquiries received concerning the EIT/KICs were logged and tracked. The questions and answers were also used systematically to aliment a dedicated FAQ (frequently asked questions) list, published on the EIT website, so that all potential proposers had access to the information and explanations given.

### The proposal submission system

A negotiated procedure for a proposal submission service for a single call for proposals (Tender EAC/05/2009) was launched on 11th March 2009.

Following the report of the award committee and the award decision, a contract was signed with Intrasoft International S.A on 12th May 2009.

The electronic proposal submission system opened for the registration of KIC proposals on 24th May 2009. This was simultaneously announced on the "KIC call" page of the EIT website.

### Call opening and closure

The KICs call was published in the Official Journal<sup>3</sup> and on the EIT website on 2th April 2009.

The call closed at 17h on 27th August 2009. Twenty proposals were received.

### 4.3. Selection of external experts

A list of registered EIT experts was established following a call addressed to individuals for the establishment of a database of prospective independent experts to assist the EIT with tasks in connection with the evaluation and implementation of Knowledge and Innovation Communities (KICs). This list was then used for the selection of independent experts to assist in the evaluation of the KIC proposals.

The call was published in the Official Journal<sup>4</sup> and on the EIT website on 14th May 2009. This list of registered experts will be valid until the

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<sup>3</sup> (OJ publication 2009/C 79/07 of 2nd April 2009)

<sup>4</sup> (OJ publication 2009/C 110/05 of 14 May 2009 )

end of 2013. Registrations may be made at any time up until 30th September 2013.

A negotiated procedure for an expert registration system (Tender EAC/03/2009) was launched on 25th February 2009. Following the report of the award committee and the award decision, a contract was signed with Milkround Online on 6th May 2009.

All experts registered prior to 29th July 2009 were assessed by two representatives of the following Directorate Generals: DGs ENTR, RTD, INFSO, ENV and the REA, with respect to their expertise and suitability for use in the evaluation of the KIC proposals. On the basis of these initial assessments, lists of between 15 and 25 experts per pool were drawn up for the Governing Board's consideration on 31<sup>st</sup> July.

Once the expertise of candidates in the chosen field and the suitability of the candidates for the evaluation of the KICS had been assessed, experts were ranked according to the sum of the scores reached in both categories.

Following the closure of the KIC call, the exact number of experts needed was established and contracted. In total, 29 experts were selected to participate in the evaluation process. Top-ranked experts were retained as final panellists.

An evaluator briefing meeting was held in Budapest with the participation of the EIT Chairman and two Board members. Presentations and discussions covered the essential aspects of the KICs and the evaluation criteria as well as the technical and organizational aspects of the evaluations.

#### 4.4. Evaluating KIC proposals

Prior to the evaluations, all proposals were checked with respect to the eligibility criteria. 18 out of 20 proposals were deemed eligible and were thus retained for evaluation.

The evaluation of proposals took place thereafter between 17th September 2009 and 27th November 2009.

A negotiated procedure for a proposal evaluation service for a single call for proposals (Tender EAC/13/2009) was launched on 27th April 2009. Following the report of the award committee and the award decision, a contract was signed with INFOTECHNIQUE S.A.

The evaluation process included two major steps, followed by a final panel.

First, each proposal was evaluated by one expert from the corresponding thematic pool and one expert from each horizontal pool (i.e. 5 experts in total). Following remote-access reading and individual assessment, evaluators from the three evaluation panels attended panel meetings in Brussels on 15th-16th October 2009 to discuss the proposals. Proposals attaining all thresholds then passed to step two of the evaluation process.

For step two, the evaluators assessed the second set of criteria – each proposal being again evaluated by 5 experts, as for step one. Following remote-access reading and individual assessment, evaluators from the three evaluation panels attended panel meetings in Brussels on 10th November 2009 to discuss the proposals. The outcome of these meetings is a panel consensus report for each proposal. Step one and two consensus reports were then combined to produce the evaluation

summary report for each proposal, the final score being the sum of the scores from steps one and two. The three top-ranked proposals from each panel (9 in total) passed to the final panel for review.

The final panel consisted of 7 members (one from each pool). These were given remote access to the 9 proposals and their evaluation summary reports. Following remote-access reading and preparation of their individual reports, the final panellists attended a meeting in Brussels on 26th November 2009. The outcome of these meetings took the form of a report to the Governing Board containing key findings and recommendations.

The coordinator and two other representatives of choice from each of the top two KICs from each priority area were invited, on 30th November, to hearings with the Governing Board in Budapest on 16th December 2009. Immediately after the hearings, the Governing Board met in closed session to discuss the proposed KICs and to designate 2 or 3 KICs - in conformity with the EIT Regulation - from the following priority themes: Climate Change Mitigation and Adaptation, Sustainable Energy and Future Information and Communication Society. These themes had earlier been chosen by the board of EIT. In a single secret vote, three KICs were chosen by the Board from the six finalists:

Climate change mitigation and adaptation - "Climate KIC", coordinator: Utrecht University, Netherlands;

Sustainable energy - "InnoEnergy", coordinator: Karlsruhe Institute of Technology, Germany;

Future information and communication society - "EIT ICTLabs", coordinator: KTH, Sweden.

### Climate-KIC:

Addressing climate change requires a huge transformation of the global economy. Climate-KIC's mission is to accelerate and stimulate the innovation for this transformation and ensure benefits for Europe. This KIC will focus on achieving excellence in four areas: assessing climate change & managing its drivers, transitioning to low-carbon resilient cities, adaptive water management and zero carbon production.

Climate-KIC has five co-location centres, in London, Zürich, the Berlin metropolitan area, the Paris metropolitan area and the Randstad metropolitan area.

Its core partners include Bayer, Beluga Shipping, Cisco, DSM, EDF, ETH Zürich, Imperial College, IPSL/ParisTech, PIK, SAP, Schiphol Group, Shell, Solarvalley, Thales and Utrecht University.

(cf. more details about the partners in document "Annual report - Annexes" 1.10.1 and link to website)

### KIC InnoEnergy:

InnoEnergy intends to contribute to paving the way towards an independent and sustainable energy system enabling a climate-neutral Europe by 2050 achieved by the successful commercialization of innovations. The partners have jointly developed a strategy to tackle the weaknesses of the European innovation landscape and aim to be the leading motor for innovation in the field of sustainable energy.

KIC InnoEnergy has six co-location centres, in Karlsruhe, Grenoble, Eindhoven/Leuven, Barcelona, Krakow and Stockholm.



The main partners include KIT, Total, Vattenfall, KTH, EDF, ESADE, EnBW, SAP, ABB, CEA, Iberdrola, TNO, TUE, UPC, ZAK and AGH.

(cf. more details about the partners in document "Annual report - Annexes" 1.10.2 and link to website)

### EIT ICT Labs:

EIT ICT Labs targets the radical transformation of Europe into a knowledge society with an unprecedented proliferation of internet-based services. Committed to an efficient open innovation model, EIT ICT Labs will generate faster transformation of ideas and ICT technologies into real products, services and business, boosting Europe's future competitiveness in all sectors of society.

EIT ICT Labs has five co-location centres, in Berlin, Eindhoven, Helsinki, Paris and Stockholm.

The core partners include Deutsche Telekom, Siemens, Fraunhofer Gesellschaft, TU Berlin, Philips, Novay Nokia Corporation, VTT, Aalto University, Alcatel-Lucent, Orange-France Télécom, Thomson, INRIA, Université Pierre et Marie Curie Paris 6, Université Paris-Sud 11, Institut Télécom, Ericsson, TeliaSonera and KTH.

(cf. more details about the partners in document "Annual report - Annexes" 1.10.3 and link to website)

## 5. Communication Strategy and institutional relations

### 5.1. EIT communication activities

EIT communication activities in 2009 aimed to raise awareness and to inform the public, both specialized and general, about the process of the setting up of the EIT. In the continuing effort to build up the EIT and its KICs as a brand of excellence, communication and visibility activities have been and continue to be of crucial importance. In 2009 the EIT's main communication focus was on the selection of the first three KICs.

During the second half of 2009 the EIT adopted a new communication strategy for the coming years, based on an in-depth analysis and needs assessment and assisted by an external communication expert. The overall aim of the strategy is to brand the EIT as a modern, accessible, transparent and efficient organization that acts as a driving force for innovation and has a positive image among higher education institutions, research centres and businesses alike. The EIT Communication Strategy covers in the mid-term the period during which the EIT is established and the KICs become fully operational, as well as the EIT Foundation for the longer term. The strategy outlines the measures the EIT will implement to develop the "EIT" label into a highly attractive world-class brand of excellence, with the KICs as its main drivers.

### 5.1.1. Press and public relations

Press and public relations were an important part of EIT communication activities in 2009 and steadily increased over the year as a result of proactive public relations activities. Coverage of the EIT in the press increased visibly, together with a manifest growth in brand awareness and interest in the EIT from a wide variety of stakeholders. Indeed, the "EIT" and "KICs" brand names rapidly became highly successful and sought-after labels, even before initial KIC operations were in place.

In order to maintain momentum, various communication and information channels were put in place in 2009, including:

- § EIT Website
- § A flyer for KICs call for proposals
- § EIT Factsheet
- § EIT and KICs FAQs
- § KIC Factsheets

Specific communication activities related to the deadline for the call for KIC proposals, the selection of the EIT Director and the official designation of KICs were also conducted in 2009. Finally, a press event with President Barroso and the EIT Governing Board was organized in April 2009,

Besides these communication highlights, ongoing press activities included: press work for the EIT and the Governing Board members; EIT presence at events and seminars, updating the EIT website, preparation of comprehensive information for stakeholders and for the general public about the EIT and the call for KIC proposals. Moreover, the EIT constantly deals with all EIT-related queries, submitted via the EIT website, with the help of the service of Europe Direct.

### 5.1.2. Information material and graphic charter

In 2009 a flyer for the call for KIC proposals was produced.

In May 2009 the graphic charter of the EIT was finalized. In the run-up to the designation of the first KICs, logos for the KICs, based on the EIT graphical charter, were also created.

As to communication activities regarding the designation of the KIC, the EIT Factsheet was substantially updated. Moreover, FAQs on the EIT and KICs as well as individual factsheets for each respective KIC were created.

### 5.1.3. Events

The following four seminars were organized in 2009 (cf. chapter on KICs, 4.2., above):

- § EIT seminar on "Shaping the KICs – Future Information and Communication Society", 23rd January, Budapest
- § EIT seminar on "Shaping the KICs – Sustainable Energy", 16th February, Vienna
- § EIT seminar on "Shaping the KICs – Climate change mitigation and adaptation", 16 March, Madrid
- § EIT "Entrepreneurship Seminar & Info Day", 6th-8th May, Wroclaw

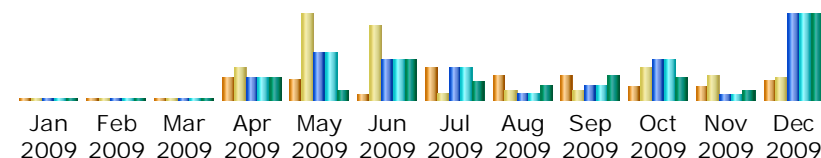
Moreover the EIT, together the communication unit in DG EAC, was organized a specific seminar for journalists, in the framework of the European Year of Creativity and Innovation (EYCI 2009).

At the end of 2009, plans started on the format and content of the KIC launch conference to be held during the Spanish Council Presidency in 2010.

### 5.1.4. EIT Website

In April 2009 the new EIT website was launched, with a consistent degree of web traffic. After the publication of the call for KIC proposals (at the beginning of April) and in the run-up to the designation of the first three KICs (in December 2009), the EIT's website traffic was extremely high.

### Website Traffic January – December 2009



Month	Unique visitors	Number of visits	Pages	Hits	Bandwidth
Jan 2009	1	1	5	5	3.94 KB
Feb 2009	2	2	8	8	59.99 KB
Mar 2009	17	74	1213	1213	18.45 MB
Apr 2009	13807	20550	71847	71847	1.25 GB
May 2009	17980	26878	84619	84619	1.42 GB
Jun 2009	14901	22575	66699	66699	1.15 GB
Jul 2009	11986	18674	56295	56295	1.01 GB
Aug 2009	10245	16565	48244	48244	905.59 MB
Sep 2009	10167	16710	51078	51078	948.31 MB
Oct 2009	13115	20856	67216	67216	1.24 GB
Nov 2009	13111	21072	75087	75087	1.44 GB
Dec 2009	15683	25561	135781	135781	2.35 GB
<b>Total</b>	<b>121015</b>	<b>189518</b>	<b>658092</b>	<b>658092</b>	<b>11.69 GB</b>

## 5.2. Inter-institutional relations

Throughout 2009, the EIT also expanded and consolidated its network with key players within the "knowledge triangle" across Europe, reflecting its holistic and integrated approach to innovation, by stepping up contacts with relevant organizations and institutions. These include, inter alia :

- Salient European and international umbrella organizations: eg. meetings with the European University Association (EUA), the Conference of European Schools for Advanced Engineering Education and Research (CESAER) and the European Association of Research and Technology Organisations (EARTO); BusinessEurope, the European Roundtable of Industrialists (ERT) and the European Industrial Research Management Association (EIRMA) & Science-business; Europa InterCluster, European agency for cluster cooperation ; International Science, Technology and Innovation Centre for South-South cooperation (ISTIC)
- EU and European institutions: the Industry, Research and Energy (ITRE) Committee of the European Parliament (two oral presentations made by the EIT Chairman on separate occasions); the European (Competitiveness) Council; the European Commission, including contacts with the European Research Council (ERC), the European Research Area Board (ERAB) and the Joint Research Centre (JRC); the Organisation for Economic Co-operation and Development (OECD).

Members of the EIT Governing Board have been in contact with various relevant services of the Commission, including for instance DG Education and Culture, DG Research, DG Industry and DG Information Society. In particular, a very fruitful and constructive meeting took place in April between the EIT Governing Board, President Barroso and the three Commissioners constituting the knowledge triangle, namely: Commissioner Figel' (Education), Commissioner Potocnik (Research) and Commissioner Verheugen (Industry).



Members of the EIT Governing Board with Mrs. Odile Quintin, (then) Director-General of DG EAC