

WORK PROGRAMME 2010

CAPACITIES

PART 6

SUPPORT FOR THE COHERENT DEVELOPMENT OF RESEARCH POLICIES

(European Commission C(2009)5905 of 29 July 2009)

6. SUPPORT FOR THE COHERENT DEVELOPMENT OF RESEARCH POLICIES

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Objectives:

Enhancing the effectiveness and coherence of national and Community research policies and their articulation with other policies, improving the impact of public research and its links with industry, and strengthening public support and its leverage effect on investment by private actors.

I CONTEXT

In March 2000, the European Union set itself the ambitious goal to become, by 2010, "the most competitive and dynamic knowledge-based economy in the world", what has become known as the Lisbon strategy.

Leveraging *investment in R&D* became a key element of this strategy following the Barcelona European Council's objective to raise the EU's overall R&D investment to approach 3% of GDP by 2010.

The ways and means to achieve this objective were initially defined in 2002 in the Commission's communication 'More research for Europe – Towards 3% of GDP'¹, which was followed by the Action Plan 'Investing in research'², adopted by the Commission in 2003.

A further communication '*More Research and Innovation - A Common Approach*'³, adopted on the 12th of October 2005, sets out an integrated action plan that addresses the full research and innovation spectrum. It outlines a number of new actions, going beyond the 3% Action Plan of 2003.

In 2005, the new Commission undertook a thorough review of the Lisbon strategy. This led the Commission to propose a *European Partnership for Growth and Jobs*, with '*knowledge and innovation for growth*' being one of its main pillars⁴. The revised Lisbon Strategy is currently being implemented through Member State-owned National Reform Programmes (NRP) and their yearly progress reports, a Community Lisbon Programme and multilateral surveillance organised at the Community level.

In 2006, the Commission widened the innovation debate beyond the traditional reimits of research and innovation policies via two Communications - *Putting knowledge into practice: a broad-based innovation strategy for the EU*⁵ and *An innovation-friendly, modern Europe*⁶ which culminated in a nine-point list of strategic priorities adopted by the Council⁷ and endorsed by the European Council.⁸

¹ COM(2002) 499

² COM(2003) 226

³ COM(2005) 488

⁴ COM(2005) 24

⁵ COM(2006) 502

⁶ COM(2006) 589

⁷ 2769th Competitiveness Council meeting, 4/12/2006 Press:337 Nr: 15717/06

⁸ European Council - 14/15 Dec 2006 – Presidency Conclusions 15/12/2006 Nr: 16879/1/06 REV1

In 2007, the Commission launched a broad debate on future perspectives for the European Research Area, on the basis of a Green Paper⁹. Throughout 2008, the Commission has adopted a number of proposals for new policy initiatives in the axes outlined in the Green Paper. Furthermore, the Competitiveness Council has in April 2008 launched the Ljubljana process to improve the governance of the European Research Area. The Ljubljana process will be based on a shared 2020 vision for the ERA, which the Council adopted in December 2008.

The first three year cycle under the revised Lisbon strategy was finalised in 2007. In December 2007, the Commission published its strategic report, outlining the orientations for the second three year cycle. For knowledge and innovation in particular, the Commission proposed to focus attention on realising the Fifth Freedom, i.e. the free circulation of knowledge. The realisation of the European Research Area through a partnership between national authorities and the European Commission is an integral part of this.

The European Commission responded to the economic crisis by adopting in November 2008 a European Economic Recovery Plan.¹⁰ The plan combines short term measures to boost demand, save jobs and help restore confidence, with smart investment to yield higher growth and sustainable prosperity in the longer term. The plan calls upon Member States to continue to increase their public investments in R&D in line with their national targets and proposes the launch of three large scale public-private partnerships.

In the meantime, work has started on defining an approach for the post-2010 period. The Commission is expected to adopt its proposals in this respect in December 2009.

Approach for 2010

The objective of this activity is to promote the coherent development of research policies at regional, national and Community level by supporting

- the development of indicators and analysis on research activity and its economic impact to strengthen the evidence base for R&D policy making;
- actions to stimulate interaction and coordination between Member States and between the Member State and the Community level.

The approach for 2010 will consist of

- providing a grant to IPTS for developing an activity focused on the monitoring of selected third countries, complementary to existing ERAWATCH activities;
- launching a limited number of studies and expert groups to extend the knowledge base as regards ERA and progress towards its realisation and to prepare further ERA policy initiatives;
- supporting events of the Belgian and Hungarian presidencies.

⁹ COM(2007) 161

¹⁰ COM(2008) 800

The launch of a new OMC-NET call for proposals has been temporarily suspended as the results obtained so far through the OMC-NET scheme have not been fully satisfactory in terms of amount and quality of the proposals received and impact of the projects on policy coordination in Europe. An ex-post evaluation of the FP6 OMC-NET call for proposals is being foreseen in the work programme 2009. A decision on whether or not to launch a new OMC-NET call for proposals at a later stage will take into account the outcome of this evaluation and policy developments and needs.

International cooperation

Concerning the international dimension of the proposed actions, two specific actions have been included: a grant to JRC-IPTS to monitor the research policies of selected third countries (complementary to ERAWATCH activities) and a study to develop a coordinated monitoring of the internationalisation of European research. Although international cooperation has been an explicit part of the debate on future perspectives for the European Research Area, the actual development of a strategy for cooperation with third countries is supported in other work programme parts.

Dissemination actions

The results of actions developed under this work programme are disseminated through websites such as http://ec.europa.eu/invest-in-research/index_en.htm, <http://cordis.europa.eu/erawatch> or http://ec.europa.eu/research/era/index_en.html, ad hoc workshops and conferences, and through regular publication of the reports of experts groups and studies. They are also discussed in CREST and specific policy fora, such as the Steering Group on Human Resources and Mobility or the European Strategy Forum for Research Infrastructures.

Modalities of implementation

Implementation of this activity will mainly be through expert groups, studies and a number of grants to named beneficiaries, including in support of activities undertaken by JRC-IPTS. Open calls for proposals will only be used to implement the OMC-NET scheme.

II CONTENT OF CALLS

This work programme does not include new calls for proposals.

III IMPLEMENTATION OF CALLS

This work programme does not include new calls for proposals.

IV OTHER ACTIONS

Activity: 6-1 Monitoring and analysis of research-related public policies and strategies

The objective of this action line is to provide qualitative and quantitative information and analyses in support of the design, implementation, evaluation and trans-national co-ordination of public research-related policies and strategies.

Area: 6-1-1 Development of an information and intelligence service (ERAWATCH)

ERAWATCH is an information and intelligence system on national and/or regional research policies. The aim of ERAWATCH is to provide a stable and long-term source of information and analysis to support evidence-based policy-making. ERAWATCH is developed through a partnership between the European Commission's Directorate-General for Research and by the European Commission's Joint Research Centre (Institute for Prospective Technological Studies – IPTS). The ERAWATCH website is integrated in CORDIS and developed in cooperation with the Publications Office¹¹.

Basic information on national R&D policies (of the EU-27 Member States, the Associated Countries and selected third countries) is available on the ERAWATCH website¹² since October 2006. Intelligence products, making cross-cutting or comparative analyses on selected R&D policy issues, have over the past year started to become available as well.

ERAWATCH is a complementary initiative to the INNOPOLICY TrendChart project managed by DG ENTERPRISE of the European Commission. Both initiatives contribute to policy monitoring and policy learning in the context of the revised Lisbon strategy. They both aim at collecting information, analysing it and disseminating it widely. Continuous attention is being paid to coordinating both projects to ensure optimal synergies and complementarities.

2010 actions

A new administrative arrangement will be concluded with JRC-IPTS for a period of three years to monitor and analyse the research policies of selected third countries. This activity will complement existing ERAWATCH activities.

(Coordination and Support Action – grant to a named beneficiary¹³ : Joint Research Centre Institute for Prospective Technology Studies – EUR 0.90 million)

¹¹ http://publications.europa.eu/index_en.htm

¹² Public website available at <http://cordis.europa.eu/erawatch>

¹³ In accordance with Art. 14 (a) of Regulation (EC) No 1906/2006 of 18 December 2006 laying down the rules for the participation of undertakings, research centres and universities in actions under the Seventh Framework Programme (FP7) and for the dissemination of research results

Area 6-1-2 Industrial research investment monitoring activity

The EU's R&D investment deficit vis à vis its main competitors is largely due to underinvestment in the private sector, reflecting in part differences in industrial structure.

While extensive data and analysis on industrial research investment are available in the Member States, data availability and comparability need to be improved in order to better understand the factors driving investment trends, identify upcoming challenges, and anticipate barriers to, and opportunities for, improving research and innovation investment.

To remedy these shortcomings, an Industrial Research Investment Monitoring system (IRIM) was established in co-operation with the European Commission's Joint Research Centre (Institute for Prospective Technological Studies – IPTS). An important building block of this system is the annual European Industrial Research Investment Scoreboard.

An new administrative arrangement was concluded with JRC-IPTS to support the development of IRIM for a further 4 years (2008-2011).

2010 actions

No new actions.

Area 6-1-3 Development and analysis of indicators on research activity and its impact on the economy

This will include the preparation and publication of national and regional science and technology key figures and scoreboards using official statistical indicators and other relevant data where appropriate; the assessment of the strengths and weaknesses of Member States' R&D systems; the development of indicators to assess progress in the realisation of the European Research Area; the development of indicators of economic impact; and the analysis of EU's position and performance in scientific and technological research.

2010 actions

Following the negotiation of a Framework Contract (FC), a first specific contract will be concluded for the implementation of this FC in order to provide, maintain and update a standardised tool for collection and storage of data to support the yearly Science, Technology and Competitiveness Key Figures report.

(Coordination and Support Action – public procurement¹⁴ : to be implemented through a Framework Contract in the second half of 2010 – EUR 0.50 million)

Activity: 6-2 Coordination of research policies

¹⁴ In accordance with Art 14(b) of Regulation (EC) No 1906/2006 of 18 December 2006 laying down the rules for the participation of undertakings, research centres and universities in actions under the Seventh Framework Programme and for the dissemination of research results (2007-2013)

The goal of this action line is to strengthen, on a voluntary basis, the coordination of research policies. There is a need for further policy learning and for assessing good practices in support of research with regard to their transferability and methods of implementation. Through this action line, European platforms will be provided to share and validate good practices, bringing together the relevant stakeholders and encouraging peer reviews.

Area 6-2-1 Support to the implementation of the Open Method of Coordination:

The Open Method of Coordination (OMC) in the field of research policy was launched in support of the Barcelona 3 % objective. Its field of application subsequently evolved towards policy issues of general relevance to the development of the European Research Area. The OMC is a valuable tool for helping Member States further develop their research policy portfolios. It has since 2003 been implemented under the auspices of the European Union's Scientific and Technical Research Committee (CREST).

Between 2003 and begin 2009, four cycles of OMC have been finalised¹⁵. An evaluation of the impact generated by the OMC has been published early 2009.¹⁶ CREST has recently decided to launch under the 5th OMC cycle further work on policy mix peer reviews and universities. The future of the OMC and how its objectives and modalities could be adapted to support the Ljubljana process will be addressed by CREST by the end of 2009.

CREST has also become involved in the analysis of the research aspects of the revised Lisbon strategy. In December 2008, a third mutual learning exercise was carried out on the basis of the National Reform Programmes and subsequent Progress Reports. Further exercises will increasingly focus on Member States' policies and measures to progress towards their national R&D investment targets and to address ERA objectives.

This action line will further support CREST's work on OMC and the Ljubljana process. In addition, and where appropriate, taking into account the evolving policy context and needs, further support will be given to activities paving the way for future policy development and/or in preparation and follow-up of Community initiatives which come in support of Member States' efforts.

2010 actions

*Public procurement will be used to launch a **study** for providing a coordinated monitoring of the internationalisation of European research. This information is necessary to contribute to an evidence based development of a coherent policy perspective for international collaboration in research.*

(Coordination and Support Action – public procurement¹⁴ : open call for tender to be launched in the first half of 2010 – EUR 0.30 million)

***Public procurement** will be used to launch a study for monitoring the impact of European Technology Platforms. This analysis follows up on one of the recommendations of the ETP*

¹⁵ Information on previous OMC cycles is available at : http://ec.europa.eu/invest-in-research/coordination/coordination01_en.htm

¹⁶ Available at http://ec.europa.eu/invest-in-research/pdf/download_en/omc_coordination_2009.pdf

Evaluation Study¹⁷ and is necessary to measure the policy impact of networks that are supported by the Commission, in view of assessing their contribution to ERA objectives. (Coordination and Support Action - public procurement¹⁴: open call for tender to be launched in the first half of 2010 - EUR 0.30 million)

***Expert groups** will continue to support CREST in the context of the application of the Open Method of Coordination and its work in the context of the Ljubljana process. ERAWATCH will continue to provide input where appropriate through the collection and analysis of relevant information. (Coordination and Support Action – expert contracts¹⁸ – EUR 0.20 million)*

*A maximum of three **expert groups** will be supported to assist in the preparation of further Community ERA initiatives, such as on e.g. international IP aspects of knowledge transfer, specialisation or obstacles to the mobility of researchers. (Coordination and Support Action – expert contracts¹⁸ – EUR 0.33 million)*

*A **grant** will be provided to support an event organised by the Belgian Presidency of the Council of the European Union (second half 2010). (Coordination and Support Action – grant to a named beneficiary¹³ : Research in Brussels vzw, Latour de Freins, Engelandstraat 555, B-1180 Brussels – EUR 0.20 million)*

*A **grant** will be provided to support an event organised by the Hungarian Presidency of the Council of the European Union (first half 2011). (Coordination and Support Action – grant to a named beneficiary¹³ : Nemzeti Kutatási és Technológiai, Hivatal, Budapest, Neumann János u. 1/c, H-1117 Hungary – EUR 0.20 million)*

Area 6-2-2 Support to bottom up policy coordination initiatives undertaken by several countries and regions (OMC-NET)

In addition to the multilateral coordination processes under the supervision of CREST, OMC-NET was developed to support policy coordination initiatives undertaken by several Member States and/or regions on specific research policy issues of common interest.

The results obtained so far through the OMC-NET scheme have not been fully satisfactory in terms of amount and quality of the proposals received and impact of the projects on policy coordination in Europe. An ex-post evaluation of the FP6 OMC-NET call for proposals is been foreseen in the work programme 2009. A decision on whether or not to launch a new OMC-NET call for proposals at a later stage will take into account the outcome of this evaluation and policy developments and needs.

2010 actions

No new actions

¹⁷ Available at <ftp://ftp.cordis.europa.eu/pub/technology-platforms/docs/evaluation-etps.pdf>

¹⁸ In accordance with Articles 14(c), 17 and 27(5) of Regulation (EC) No 1906/2006 of 18 December 2006 laying down the rules for the participation of undertakings, research centres and universities in actions under the Seventh Framework Programme and for the dissemination of research results (2007-2013)

Indicative budget

The budget allocated to 'Support to the coherent development of research policies' is EUR 2.93 million for the 2010 budget¹⁹.

¹⁹ Under the condition that the preliminary draft budget for 2010 is adopted without modifications by the budgetary authority

Budgetary overview table

Activity/Area	Description of actions	2010 ²⁰	Funding scheme
6-1-1 ERAWATCH	Monitoring of selected third countries' research policies (new administrative arrangement with JRC-IPTS, complementary to existing ERAWATCH activities)	EUR 0.90 million	Coordination and Support Action, grant to a named beneficiary (European Commission – Joint Research Centre – Institute for Prospective Technological Studies)
6-1-3 – Indicators and impact	First specific contract on the basis of a Framework Contract for collection and storage of Key Figures data	EUR 0.50 million	Coordination and Support Action, public procurement – specific contract on the basis of Framework Contract
6-2-1 - Support the implementation of the Open Method of Coordination	Call for tender on coordinated monitoring of the internationalisation of European research	EUR 0.30 million	Coordination and Support Action, public procurement – open call for tender
	ETP monitoring study	EUR 0.30 million	Coordination and Support Action, public procurement – open call for tender
	Support to CREST activities	EUR 0.20 million	Coordination and Support Action, expert contracts

²⁰ Under the condition that the preliminary draft budget for 2010 is adopted without modification by the budgetary authority

FP7 Capacities Work Programme: Support for the Coherent Development of Research Policies

Activity/Area	Description of actions	2010²⁰	Funding scheme
	Support to a maximum of three expert groups in support of the development of future Community ERA initiatives	EUR 0.33 million	Coordination and Support Action, expert contracts
	Support for Belgian Presidency event	EUR 0.20 million	Coordination and Support Action, grant to a named beneficiary (Research in Brussels vzw, Latour de Freins, Engelandstraat 555, B-1180 Brussels)
	Support for Hungarian Presidency event	EUR 0.20 million	Coordination and Support Action, grant to a named beneficiary (Nemzeti Kutatási és Technológiai Hivatal, Budapest, Neumann János u. 1/c, H-1117 Hungary)
ESTIMATED TOTAL BUDGET ALLOCATION		EUR 2.93 million	

Budget figures in this work programme

All budgetary figures given in this work programme are indicative. Following the evaluation of proposals, the final budget awarded to actions implemented through calls for proposals may vary:

- by up to 10% of the total value of the indicated budget for each call, and
- any repartition of the call budget may also vary by up to 10% of the total value of the indicated budget for the call.

The final budgets for evaluation, monitoring and review may vary by up to 20% of the indicated budgets for these actions. The final budget awarded for all other actions not implemented through calls for proposals may vary by up to 10% of the indicated budgets for these actions.

V INDICATIVE PRIORITIES FOR FUTURE CALLS

An ex-post evaluation of the pilot FP6 OMC-NET call for proposals launched in 2005 will be carried out in 2009. Depending on the outcome of this evaluation and the experience gained with the first FP7 OMC-NET call launched in 2007, a further OMC-NET call for proposals may be launched during the remainder of FP7.