WORK PROGRAMME 2011

CAPACITIES

PART *6*

SUPPORT FOR THE COHERENT DEVELOPMENT OF RESEARCH POLICIES

(European Commission C(2010)4903 of 19 July 2010)

6. SUPPORT FOR THE COHERENT DEVELOPMENT OF RESEARCH POLICIES

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Objectives:

The overall aim of this Work Programme is:
Enhancing the effectiveness and coherence of national and EU 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.

More specifically, it will pursue this aim by focussing on the main challenges identified by the *Europe 2020* strategy and by the *European Research Area* (ERA) vision 2020.

I CONTEXT

In 2007, the Commission launched a broad debate on future perspectives for the European Research Area (ERA), on the basis of a *Green Paper*[1]. In the course of 2008, the Commission proposed a number of new policy initiatives along the axes outlined in the Green Paper and the Council launched the Ljubljana process to improve the governance of the ERA. As a first step, the Council adopted in December 2008 a shared vision for the ERA in 2020.

The reaction of the Commission to the economic crisis was the *European Economic Recovery Plan*[2] adopted in November 2008. 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.

It is in this context that the new Commission presented its Communication *Europe 2020: A strategy for smart, sustainable and inclusive growth*[3] which recognises the key role of knowledge and innovation for future growth and proposes an "Innovation Union" flagship initiative re-focusing R&D and innovation policy on the major societal challenges. The strategy was examined by the Spring Council in March 2010 and was adopted by the European Council in June.

This reinforces the importance of the activities of this part of the work programme in supporting evidence based policy developments at EU and national levels, including a broader based approach to the design, coordination, monitoring and assessment of policy mixes to enhance the research and innovation performance in Europe.

Activities in 2012 and 2013 will further take into account new policy orientations arising from the Research and Innovation Plan that will be proposed by the Commission in autumn 2010.

<u>Approach for 2011</u>

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1 COM(2007) 161
2 COM(2008) 800
3 COM(2010) 2020

The objective of this part of the work programme is to promote the coherent development of research policies at regional, national and EU 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 States and the European Commission.

The main activities foreseen in 2011 will consist of

- ensuring continuation of the current *Industrial Research Monitoring Activity* (IRMA) project finishing end of 2011, by a new grant to JRC-IPTS for a period of four years;

- developing methodologies, data collection and indicators to contribute to the monitoring of progress towards ERA objectives, and improving the evidence base for policy making through quantitative and qualitative analysis;

- identifying/analysing emerging issues linked to the development of ERA in the context of the Europe 2020 strategy and supporting the coordination, development, monitoring and evaluation of ERA related policies and actions at national and EU levels.

Gender dimension

The pursuit of scientific knowledge and its technical application towards society requires the talent, perspectives and insight that can only be assured by increasing diversity in the research workforce. Therefore, all projects are encouraged to have a balanced participation of women and men in their research activities and to raise awareness on combating gender prejudices and stereotypes. The Commission has set targets to have a 40% representation of both sexes on all groups, panels and committees including those associated with the Research Framework programmes. In addition, specific actions to promote gender equality in research can be financed as part of the proposals, as specified in Appendix 7 of the Negotiation Guidance Notes[4].

International cooperation

The development of an international strategy for S&T cooperation with third countries is mainly supported through other parts of the work programme. Concerning the international dimension of this part of the work programme, two specific actions are planned in 2010: the monitoring of 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. The 2011 work programme will complement these actions by assessing the evolution of the Chinese S&T performance and of its economic impact on Chinese productivity and competitiveness.

Dissemination actions

[4] ftp://ftp.cordis.europa.eu/pub/fp7/docs/negotiation_en.pdf

The results of actions developed under this part of the work programme are discussed, validated and 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*, workshops and conferences, and through 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, the Strategic Forum for International Cooperation or the European Strategy Forum for Research Infrastructures. In 2011, an ERA (biennial) conference will be organised, as well as supporting events under the Polish and Danish presidencies. Moreover, in order to better associate stakeholders to EU research policy development and in particular render results more relevant to interested stakeholders, the development of an ERA stakeholders' forum is planned in 2011.

Modalities of implementation

This part of the work programme will mainly be implemented through Coordination and Support Actions: expert groups, public procurement and a number of grants to named beneficiaries, including in support of activities undertaken by JRC institutes.

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 activity 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/regional research systems and policies which constitutes a key building block of the future ERA information system[5]. Its aim is to provide up-to-date information and analysis to support policy monitoring, policy learning and evidence-based policy-making in the context of the ERA and the *Europe 2020 strategy*. Country profiles and analytical reports for all Member States (and a number of other countries) are available on the ERAWATCH website[6].

ERAWATCH is developed through a partnership between the Commission's Directorate-General for Research and the Commission's Joint Research Centre (Institute for Prospective Technological Studies – IPTS). A new administrative arrangement between DG RTD and JRC has been concluded in 2009 for a period of three years to allow the continuity and improvement of this activity.

2011 actions

No new actions

Area 6-1-2 Industrial research investment monitoring activity

Europe's R&D investment gap vis-à-vis its main competitors is mainly due to underinvestment in the private sector. While extensive data and analyses on industrial research investment are available in the Member States, these data need to be complemented and their comparability improved and more detailed and systematic analyses are required to better understand the factors driving investment trends, identify upcoming challenges, and anticipate barriers to, and opportunities for, improving research and innovation investment.

This is why an Industrial Research Investment Monitoring system (IRMA) was established in co-operation with the Commission's Joint Research Centre (Institute for Prospective

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[5] Council conclusions of 3 December 2009 on the enhanced governance of the ERA

[6] Public website available at http://cordis.europa.eu/erawatch

Technological Studies – IPTS). An important building block of this system is the annual European Industrial Research Investment Scoreboard, complemented by an annual survey of top R&D spending companies in Europe, a series of analytical studies and European Conferences on Corporate R&D.
This activity will contribute to the *Europe 2020* flagship initiative *'Innovation Union*' by providing improved information and analysis, relevant for the development of policies at the EU and national levels to foster private investment in research and innovation.
The current administrative arrangement between DG RTD and JRC, lasting four years, is expiring end of 2011.

2011 actions

A grant to the JRC-IPTS will be awarded for the continuation and development of the Industrial Research Investment Monitoring Activity for a period of four years.
(Coordination and Support Action – grant to a named beneficiary[7] : Joint Research Centre - Institute for Prospective Technology Studies – EUR 6.00 million).

Expected Impact: The continued cooperation with JRC-IPTS will provide an important contribution to development of the evidence base for policy-making. The corporate-level dataset is a unique tool which allows to monitor/analyse the competitiveness of Europe versus our main trade partners and to advance the understanding of the drivers of business R&D investment in Europe. More specifically, it will serve to: (i) identify and assess issues where policy intervention at the level of the EU could be improved and/or developed, (ii) contribute to the development of more effective EU, national and regional R&D policies and (iii) help European enterprises to benchmark and improve their strategic decisions based on better and more reliable information about private R&D.

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

In support of the *Europe 2020* flagship initiative 'Innovation Union', actions in this area will support the preparation and publication of scoreboards and a set of indicators using official statistical sources and other relevant data where appropriate, as well as the strengthening of the evidence base for R&D policy making through analysis of the economic impact of research and innovation activities.

It includes the assessment of the strengths and weaknesses of national R&D systems; the development of indicators of progress towards ERA; the development of indicators of economic impact; and the comparative analysis of the S&T performance of Europe and its main trade partners.

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[7] In accordance with Art. 14 (a) and 33(3) 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. Also in accordance of the Implementing Rules of the Financial Regulation, namely Article 168(e), as the Article 6(4) of the Specific Programme "Capacities" provides for the possibility of the Work Programme to identify beneficiaries without calls for proposals and as the project is not under the scope of a call for proposals.

2011 actions

Development of a selected number of ***composite indicators*** *to contribute to the monitoring of progress towards ERA objectives ("ERA monitoring framework") in the context of 'Europe 2020' priorities in areas such as research and innovation performance; mobility of researchers; research efficiency; research excellence; research and cohesion; and structural change. The choice of indicators to be developed will depend on the results of a feasibility study launched in 2010 as well as on the policy priorities that will be defined in the Europe 2020 flagship initiative "Innovation Union" (autumn 2010).*
(Coordination and Support Action – grant to a named beneficiary[7]: JRC Institute for the Protection and Security of the Citizen (IPSC) – EUR 0.50 million)

Expected Impact: The new composite indicators will be part of a larger set of key indicators that will be used by the Commission and the Council to monitor progress towards the ERA objectives ("ERA monitoring framework"). They will specifically allow to monitor progress in multidimensional policy areas where simple indicators are not sufficient.

Development and application of a methodology to match ***patent databases*** *with information from other sources in order to qualify the type of firms/entities involved in patent activities. The study, to be managed by Eurostat, will allow constructing reliable patent related statistics and indicators, in particular on the involvement of SMEs in patent activities.*
(Coordination and Support Action – public procurement[8]: open call for tenders to be launched in the first half of 2011 - EUR 0.20 million)

Building on a pilot mapping carried out in 2009 as part of the Foundations Research and Mapping (FOREMAP)[9] project, development of a ***coordinated system of data collection on research foundations across Europe*** *to quantify and assess foundations' financial support and policies for research and identify the trends/potential.*
(Coordination and Support Action – public procurement[8]: open call for tenders to be launched in the first half of 2011 - EUR 0.60 million)

Assessment of the evolution of the ***S&T performance of China*** *and analysis of its economic impact on Chinese productivity and competitiveness, looking at differences between different S&T domains, economic sectors and types of actors involved. The insight gained should help develop strategies for EU research taking into account the emerging role of China as a competitor as well as a partner of the EU.*
(Coordination and Support Action – public procurement[8]: open call for tenders to be launched in the first half of 2011 - EUR 0.60 million)

Activity: 6-2 Coordination of research policies

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[8] 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)

[9] The final report can be found at http://www.efc.be/Networking/InterestGroupsAndFora/Research%20Forum/Documents/Understanding%20European%20Research%20Foundations_2009_09_FOREMAP.pdf

The objective of this activity is to strengthen, on a voluntary basis, the coordination of national research policies. In particular, 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. This activity will provide support to a range of European platforms to share and validate good practices, bringing together 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 3 % target. Its field of application was subsequently broadened to cover any policy issue relevant to the development of the European Research Area.

The European Union's 'Scientific and Technical Research Committee' (CREST), now renamed European Research Area Committee (ERAC), plays an important role in the implementation of the OMC. Between 2003 and beginning of 2009, CREST carried out four cycles of OMC[10]. An evaluation of the impact generated by the OMC was published early 2009[11]. In 2009 CREST decided to launch, under the 5th OMC cycle, further work on policy mix peer reviews and the modernisation of universities. CREST was also involved in the implementation of the revised Lisbon strategy through mutual learning exercises carried out each year on the basis of the National Reform Programmes and related Progress Reports. The fourth such exercise took place in November 2009.

In addition to supporting activities undertaken by ERAC on the OMC, this action line also supports actions paving the way for future policy development and/or the preparation and follow-up of new EU initiatives, notably in the context of the Europe 2020 strategy.

This requires launching actions to identify/explore emerging issues and related policy implications linked to the development of ERA (including synergies between research and innovation policies) pertaining to themes such as: attractiveness of EU for conducting research; specialisation and research-based innovation; research and innovation as drivers of sustainable recovery and new sources of growth; research and innovation policies to address key societal challenges; factors affecting productivity of research and changes in research and innovation processes; weight and articulation of the components of the "knowledge triangle" in contributing to the progress of the knowledge-based society; factors affecting the development of human resources in S&T; drivers for the creation/growth of knowledge-intensive SMEs.

These actions will cover data collection, evaluations, analyses, as well as the production of short policy briefs and the organisation of focussed workshops. Depending on the policy issue addressed, the actions may be implemented through public procurement, experts groups or a combination of the two.

2011 actions

***Support to** ERAC in the application of the Open Method of Coordination and its work in the context of the Ljubljana process.*

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[10] Information on these OMC cycles is available at : *http://ec.europa.eu/invest-in-research/coordination/coordination01_en.htm*

[11] Available at *http://ec.europa.eu/invest-in-research/pdf/download_en/omc_coordination_2009.pdf*

(Coordination and Support Action – expert contracts[12] – EUR 0.20 million)

*Support to the development of an **'ERA stakeholder forum'** - a structured platform based on a dedicated IT tool/environment (Web ERA 2.0) supporting interaction with research stakeholders through a variety of means to increase stakeholder involvement in open policy consultations, discussions as well as bottom-up policy debates .*
(Coordination and Support Action – public procurement[8]: open call for tenders or through framework contracts to be launched in the first half of 2011 – EUR 0.40 million)

*Launch of up to five **expert groups to identify and document emerging issues** and related policy implications linked to the development of ERA in the wider context of the Europe 2020 strategy. For an indicative list of the themes to be considered, see introduction to Area 6-2-1 above.*
(Coordination and Support Action – expert contracts[12] – EUR 0.35 million)

*Launch of up to ten **contracts to document, analyse and discuss emerging issues** and related policy implications linked to the development of ERA in the wider context of the Europe 2020 strategy. For an indicative list of the themes and types of actions to be considered, see introduction to Area 6-2-1 above.*
(Coordination and Support Action – public procurement[8]: open calls for tenders or through framework contracts to be launched in the first and second half of 2011 – EUR 1.00 million)

*Limited work of external **experts for reviewing** contracted deliverables, analytical and/or policy documents and publications.*
(Coordination and Support Action – expert contracts[12] – EUR 0.05 million)

*Support to an event organised by the **Polish Presidency** of the Council (second half 2011).*
(Coordination and Support Action – grant to a named beneficiary[7]: The Ministry of Science and Higher Education, 1/3 Wspólna Street, Warsaw – EUR 0.20 million)

*Support to an event organised by the **Danish Presidency** of the Council (first half 2012).*
(Coordination and Support Action – grant to a named beneficiary[7]: The Danish Agency for Science Technology and Innovation, Bredgade 40, 1240 Copenhagen K – EUR 0.20 million)

Expected Impact: Both events organised by the Polish and Danish Presidencies aim to improve the coordination and coherence of policy initiatives and actions at EU and national levels and thereby will contribute to advance the realisation of the objectives of the ERA.

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

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[12] 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)

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

An ex-post evaluation of the FP6 OMC-NET call for proposals is ongoing. A decision on whether or not to launch a new OMC-NET call for proposals during the remainder of FP7 will take into account the outcome of this evaluation and new policy developments and needs.

2011 actions

No new actions

Indicative budget

The budget allocated to 'Support to the coherent development of research policies' is EUR 10.30 million for the 2011 budget[13].

[13] Under the condition that the draft budget for 2011 is adopted without modifications by the budgetary authority

V BUDGET

Activity/Area	Description of actions	2011[14]	Funding scheme
6-1-2 - IRMA	**Grant** to JRC-IPTS for the continuation of the *Industrial Research Investment Monitoring Activity* for a further 4 years period	EUR 6.00 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	**Grant** for the development of several **composite indicators** relevant for the monitoring of the progress towards specific ERA objectives	EUR 0.50 million	Coordination and Support Action, grant to a named beneficiary (JRC-IPSC, Institute for the Protection and Security of the Citizen)
	Study to develop and apply a methodology to construct reliable patent related statistics and indicators, in particular on the **involvement of SMEs in patent activities**	EUR 0.20 million	Coordination and Support Action, public procurement – open call for tender
	Study to develop a **coordinated system of data collection on research foundations** across Europe	EUR 0.60 million	Coordination and Support Action, public procurement – open call for tender
	Study to assess the **S&T performance of China** and its economic impact	EUR 0.60 million	Coordination and Support Action, public procurement – open call for tender

[14] Under the condition that the draft budget for 2011 is adopted without modification by the budgetary authority

Activity/Area	Description of actions	2011[14]	Funding scheme
6-2-1 – Support the implementation of the Open Method of Coordination	Support for the development of an **'ERA stakeholder forum'**	EUR 0.40 million	Coordination and Support Action, public procurement – open call for tender or through framework contracts
	Up to five **expert groups** for identifying and documenting **emerging ERA-related *issues*** and policy implications	EUR 0.35 million	Coordination and Support Action, expert contracts
	Up to ten **contracts** *for* documenting, analysing and discussing **emerging ERA-related issues** and policy implications	EUR 1.00 million	Coordination and Support Action, public procurement – open calls for tender or through framework contracts
	Support to ERAC activities	EUR 0.20 million	Coordination and Support Action, expert contracts
	Support by external experts for **reviewing** contracted deliverables, analytical and/or policy papers and publications	EUR 0.05 million	Coordination and Support Action, expert contracts
	Support for **Polish Presidency** event	EUR 0.20 million	Coordination and Support Action, grant to a named beneficiary (The Ministry of Science and Higher Education, 1/3 Wspólna Street, Warsaw)
	Support for **Danish Presidency** event	EUR 0.20 million	Coordination and Support Action, grant to a named beneficiary (The Danish Agency for Science Technology and Innovation, Bredgade 40, 1240 Copenhagen K)

Activity/Area	Description of actions	2011[14]	Funding scheme
ESTIMATED TOTAL BUDGET ALLOCATION		EUR 10.30 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.

VI INDICATIVE PRIORITIES FOR FUTURE CALLS

An ex-post evaluation of the pilot FP6 OMC-NET call for proposals launched in 2005 is being carried out since December 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.