

**WORK PROGRAMME 2013**

***CAPACITIES***

**PART 6**

***SUPPORT FOR THE COHERENT DEVELOPMENT OF RESEARCH POLICIES***

European Commission C (2012) 4526 of 09 July 2012

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## Objective

*Enhancing the effectiveness and coherence of national and European Union 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

### Political landscape

Against the backdrop of the current economic situation and increased global competition, the Union has defined a strategy to support growth and job creation, Europe 2020<sup>1</sup>. The Innovation Union Flagship initiative supports this strategy through specific commitments. Research and innovation are key drivers of competitiveness, jobs, sustainable growth and social progress.

The Coherent Development of Research Policies (CDRP) work programme 2013 aligns with, and contributes towards, the objectives of Europe 2020, the Innovation Union Flagship, and other EU policies. There is a determined focus on fostering new ideas, supporting world class teams tackling significant societal challenges, and on ensuring that the fruits of our investments can be properly exploited.

In this way the work programme provides for a smooth transition towards the new research and innovation programme for 2014-2020, Horizon 2020<sup>2</sup>.

### Approach for 2013

A successful Europe 2020 strategy needs structural reforms, backed up by a transparent and clear monitoring of progress. CDRP supports in particular the development of evidence (e.g. economic analyses), tools (e.g. policy monitoring and indicators) and processes (e.g. mutual learning between Member States) that help policymakers develop and implement coherent and effective Research and Innovation (R&I) policies.

In line with the European Council conclusions of 2 March 2012<sup>3</sup>, this work programme focuses on a limited number of key strategic orientations in order to make the bridge with Horizon 2020 which consist of: an *integrated approach for research and innovation policy* at regional, national and EU level, *the roll-out of the European Research Area (ERA) Framework*, and the *creation of a single market for research and innovation* with a special attention given to *tackling obstacles* to the development of *fast-growing innovative firms, in particular SMEs*.

In support of these key strategic orientations, the work programme is structured under the following three blocks:

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<sup>1</sup> <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2011:0808:FIN:en:PDF>

<sup>2</sup> <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2011:0808:FIN:en:PDF>

<sup>3</sup> <http://europa.eu/rapid/pressReleasesAction.do?reference=MEMO/12/153&format=HTML&aged=0&language=EN&guiLanguage=en>

1. **Activity A** - comprising actions aimed at **providing evidence-base and monitoring of R&I policies and supporting policy coordination** to tackle *societal challenges* by increasing synergies and consistency at the EU level.

Emphasis is put on linking the performance of the EU and national R&I systems to the wider budgetary and economic context and the preparation of National Reform Programmes, taking into account the need to pursue smart fiscal consolidation and identify ways for R&I to better contribute to growth. Actions under this block intend also to pave the way for the roll-out of the future Policy Support Facility envisaged to be set up under the proposed Horizon 2020.

2. **Activity B** - comprising actions aimed at **supporting a single market for R&I and delivering the ERA Framework** with a focus on topics underpinning policies that foster *excellent science*, such as quality of research training, mobility and career development for researchers.
3. **Activity C** - (complementary to the Competitiveness and Innovation Programme) comprising actions aimed at analysing how **to improve the business environment and foster European partnerships in R&I** in view of unleashing the EU's innovation potential, leveraging private investment and fostering European competitiveness. Actions under this block intend to analyse the ways to improve the overall framework conditions for innovation, tackle the specific barriers preventing the growth of innovative firms, highlight excellence in innovation through the means of awards and support initiatives bringing innovative solutions to society.

All the actions under these three blocks correspond to specific Innovation Union commitments<sup>4</sup>.

### **Innovation dimension of the activities and bridging towards Horizon 2020:**

This work programme addresses **specific innovation-related topics** such as social innovation, public sector innovation, standard setting, public procurement etc. which have not yet been sufficiently tackled in the previous CDRP work programmes. All the three blocks comprise actions that aspire to contribute to the three key pillars of Horizon 2020. In addition, it aims at exploring new forms of innovations which may be further developed and implemented through Horizon 2020.

- SME relevant research

Actions in the third block (Activity C) include measures to analyse the various existing national support structures to fast growing innovative firms, in particular SMEs.

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<sup>4</sup> <http://i3s.ec.europa.eu/commitments.html>

➤ Dissemination actions

The results of the actions developed under this part of the work programme are disseminated through:

- The new comprehensive and user-friendly website on Innovation Union; [http://ec.europa.eu/research/innovation-union/index\\_en.cfm?pg=intro](http://ec.europa.eu/research/innovation-union/index_en.cfm?pg=intro).  
The Innovation Union website acts as the portal to provide information on all activities related to the Innovation Union such as ERA, expert groups etc.
- The dedicated Innovation Union Information and Intelligence System which is the European Commission platform for all Innovation Union stakeholders.  
It provides easy access to updated, comprehensive and comparable information on the nature and implementation of all the 34 Innovation Union Commitments; <http://i3s.ec.europa.eu/home.html>
- The ERA website [http://ec.europa.eu/research/era/index\\_en.htm](http://ec.europa.eu/research/era/index_en.htm)
- The ERAWATCH website, linked to the Innovation Union website, provides information on European, national and regional research systems, policies, and programmes in the EU and beyond <http://erawatch.jrc.ec.europa.eu/>

Results are discussed, validated and disseminated through success stories, case studies etc. in workshops and conferences, as well as through publications of reports and studies. They are discussed in the European Research Area Committee (ERAC) and specific policy forums, 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 2014, the second 'Innovation Convention' will be organised, as well as supporting events under the EU 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 to be launched in 2013 under this work programme.

➤ Overall expected impact

CDRP activities contribute to the realisation of the political guidelines of the Commission: to combine European research efforts to overcome fragmentation and achieve higher coherence and synergies of research and innovation policies between the EU, national and regional levels and with other policies (notably employment, education, industrial and regional), in order to collectively tackle societal challenges, to achieve world excellence in research, to increase innovation by equipping all sectors of our economy to be more competitive, and to attract world class researchers to the EU, and making thus the Innovation Union a reality (including ERA).

## **International Cooperation**

The development of an international strategy for Science and Technology (S&T) cooperation with Third Countries is mainly supported through another part of the 'Capacities' specific programme. This work programme will implement two specific studies; one to better identify the ways third countries provide State support in S&T domains and the other focusing on a comparative analysis of growth enhancing measures in Member States, Associated Countries and some selected Third Countries.

## **Modalities of implementation**

This work programme will be implemented through Coordination and Support Actions via calls for proposals, expert groups, grant to identified beneficiaries, public procurements, and prizes.

## II CONTENT OF CALLS

This section describes all the topics for which proposals will be called in this work programme. This concerns only the content of the calls. For all practical modalities related to these calls, please refer to section III 'Implementation of calls'. For actions not implemented through calls for proposals, please refer to section 'IV Other actions'.

### **1. Activity: B. Supporting a single market for R&I and delivering the ERA Framework**

**Area:** *B1. Implementation of the ERA Framework*

Developing an open and competitive ERA is at the core of the research and innovation agenda of the Commission, as defined in the Innovation Union flagship<sup>5</sup>.

The main premise of ERA is to increase research quality and impact, as well as to raise the attractiveness of the EU as a research location, by exploiting cross-border synergies. This would help to realise research critical mass and economies of scale unattainable at national level and to overcome deficiencies and inefficiencies arising from fragmentation, and duplication in R&D activities, and from a lack of policy coherence and coordination at and between regional, national and European level. Tackling these depends on how much high-level political/ministerial commitment is matched by concerted action and effective partnership between the Member States, the Commission and the research stakeholder organisations as well as concrete research initiatives leading to substantial progress and improvements in research quality, impact and funding efficiency.

#### **Title of topic: FP7-CDRP-2013-STAKEHOLDERS**

#### **Description of topic:**

The objective of this topic is twofold: *first*, to involve European umbrella research stakeholder organisations in ERA policy-making and in the implementation process through a higher commitment and reinforced ERA partnership approach; *second*, to gather evidence on the state of advancement on the various ERA dimensions in participating members of the European umbrella research stakeholder organisations.

European umbrella research stakeholder organisations, which represent most of the research funding and performing organisations, have so far only been indirectly and independently involved in ERA policy decision making. The proposal(s) would support networking between them as well as the development and implementation of a research stakeholder's platform.

Proposal(s) could address either one or both of the objectives. It is expected that the topic funds either one project covering both objectives, or two projects covering the objectives separately.

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<sup>5</sup> [http://ec.europa.eu/research/innovation-union/pdf/innovation-union-communication\\_en.pdf](http://ec.europa.eu/research/innovation-union/pdf/innovation-union-communication_en.pdf)

To achieve the *1st objective*, the project(s) is/are expected to deliver:

- Common strategies and joint agendas for action between participants in European umbrella research stakeholder organisations;
- A set of indications to monitor progress as well as identify gaps to be addressed by ERA policy;
- Common interface or portal with relevant tools that enhance interaction of the stakeholder network, including exchange of information and best practices;
- A set of conditions for the sustainability of the stakeholder platform(s) created by the project(s).

Proposals addressing the *1st objective* are also expected to consider including the following activities:

- Organisation of working level meetings to discuss and develop common research objectives and agendas, identification of key principles in contribution to and implementing the ERA policy agenda, and setting-up monitoring tools to evaluate the progress made in the ERA activities and start implementing it from 2014 on
- Organising an annual conference of major ERA stakeholders
- Other activities essential to the preparation, implementation and management of the platform, the working groups and the conference.

To achieve the *2nd objective*, the project(s) is/are expected to deliver:

- An assessment of current measures to promote ERA implemented so far by research organisations represented by European umbrella research stakeholder organisations
- A long-term evaluation system to monitor future progress to be made by stakeholder organisations involved in implementing ERA policy initiatives (of relevance to them), beyond 2014.

Proposal(s) addressing the second objective are expected to include at least a representative survey of research funding and research performing organisations represented by European research stakeholder umbrella organisations.

It is of utmost importance that major recognised European research stakeholder umbrella organisations are deeply involved in the project, representing the interests of main stakeholders in the area of EU Research policy (researchers, research infrastructures, research performing or research funding organisations, industry and research users). Flexibility in the approach would ensure that the variability in competences and remit of the different specific stakeholder organisations are catered for in the project.



### **Expected impact:**

This action will further enhance the ERA partnership and the role that European umbrella research stakeholders organisations will play in delivering the ERA policy. Moreover, it will help understanding the current attention paid to ERA in participating institutions and setting up a monitoring system operational in 2014, which will support policy decision making. Furthermore, stakeholders would further assert their commitment to undertake a set of actions to promote ERA such as joint transnational coordinated bottom-up and top-down calls and research agendas, transnational peer reviewed evaluation systems, co-operation with third countries, open recruitment, portability of grants, gender action plans, open access to scientific publications and data, etc.

### **2. Activity: C. Improving business environment and European partnerships in R&I**

**Area:** *C1. Support to the development, implementation and evaluation of initiatives aimed at improving the business environment, enhancing economic growth*

The activity includes support for the coordination and networking of incubators for social innovation. Social innovation can be defined as a new product, service or model that simultaneously meets social needs (more effectively than alternatives) and creates new social relationships or collaborations. Social innovations are not only important for the specific new solutions to societal needs, but can furthermore impact on society's capacity to innovate.

In order to realise this potential, intermediaries, networks and other infrastructures are needed across Europe, similar to those existing for business innovations but adapted to social innovations. Complementary to the actions linked to the Social Innovation Europe Initiative<sup>6</sup> and those supported by the European Social Fund, this topic supports research and innovation partnerships which link civil society with public and private organisations across Europe, in particular through the coordination and the implementation of common actions within a transnational network of incubators for social innovation.

**Title of topic: FP7-CDRP-2013-INCUBATORS Support to trans-national network of incubators for social innovation**

### **Description of topic:**

Incubators can accelerate the growth of small innovative businesses (for profit and non-profit) and, in the case of social innovation, enable experiments that are small and locally successful to be applied in other places across Europe, spreading good ideas and innovations. The action will provide support for up to two transnational networks of incubators to facilitate the scaling up of social innovations from their local communities to higher levels across Europe.

A broad definition of "incubators for social innovation" is applied, including business clusters and networks, social innovation parks, universities, technological institutes, private research institutions and bodies. Incubators for social innovation may work in a similar manner to technology incubators, by bringing together the resources, skills, and expertise needed to assist entrepreneurs and innovators, including from the public sector, seeking to build a social enterprise or to address a societal need.

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<sup>6</sup> <http://www.socialinnovationeurope.eu/>

**Scope of the action**

The network (or networks) will:

- a) assess and select social innovations successful at local level;
- b) ensure the provision of the professional services needed to scale up these social innovations, notably legal and financial advice and business coaching;
- c) implement the necessary activities to support the scaling up of the selected social innovations across Europe.

In addition, the network(s) could provide further services, such as dissemination events (e.g. success stories) and broad stakeholder collaboration (e.g. intensifying links between social and other businesses).

A transnational network supported by this call is expected to scale up more than 300 social innovations. The partners of the network(s) could be any type of organisations such as business networks, technology parks, universities or other science and research bodies with experience in incubating services including for social enterprises and social innovators.

**Expected impact:**

The action is expected to increase the innovation capabilities of social innovators and to enable small and locally successful social innovations to be realised across Europe. The action is also expected to provide new evidence of the role of incubators networks in accelerating and scaling up social innovations, test social incubation processes and show what works and how across Europe.

### III IMPLEMENTATION OF CALLS

For description of the topics of the calls, please refer to section II 'Content of calls'

#### **Call title: Support to the development of an ERA Stakeholders platform**

- **Call identifier: FP7-CDRP-2013-STAKEHOLDERS**
- **Date of publication<sup>7</sup>: 10 July 2012**
- **Deadline<sup>8</sup>: 07 November 2012 at 17.00.00, Brussels local time**
- **Indicative budget: EUR 0.60 million<sup>9</sup>.**

The budget for this call is indicative. The final budget of the call may vary by up to 10% of the total value of the indicated budget for the call.

Activity	Topics called	Funding Schemes and eligibility criteria
<p><i>1. B. Supporting a single market for R&amp;I and delivering the ERA Framework</i></p> <p><i>B1. Implementation of the ERA Framework</i></p>	<p><b>FP7-CDRP-2013-STAKEHOLDERS</b></p> <p><i>Up to 2 projects are expected to be funded</i></p>	<p>CSA-SA</p> <p><i>Coordination and Support Action (supporting action)</i></p>

- **Eligibility conditions**
  - The general eligibility criteria are set out in Annex 2 to this work programme and in the Guide for Applicants. Please note that the completeness criterion also includes that part B of the proposal shall be readable, accessible and printable.

Funding scheme	Minimum conditions
Coordination and Support Actions (supporting action)	At least 1 independent legal entity.

<sup>7</sup> The Director-General responsible for the call may publish it up to one month prior to or after the envisaged date of publication.

<sup>8</sup> The Director-General responsible may delay this deadline by up to two months.

<sup>9</sup> Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

- Only information provided in part A of the proposal will be used to determine whether the proposal is eligible with respect to budget thresholds and/or minimum number of eligible participants.

- **Evaluation procedure:**

- The evaluation criteria and scoring scheme are set out in Annex 2 to the work programme.
- Proposal page limits: Applicants must ensure that proposals conform to the page limits and layout given in the Guide for Applicants, and in the proposal part B template available through the **electronic Submission Services of the Commission**.

The Commission will instruct the experts to disregard any pages exceeding these limits.

The minimum font size is 11. All margins (top, bottom, left, right) should be at least 15 mm (not including any footers or headers).

- Experts will carry out the individual evaluation of proposals remotely.
  - The procedure for prioritising proposals with equal scores is described in Annex 2 to the work programme.
- **Indicative timetable:** Evaluation results are estimated to be available within 4 months after the deadline. Grant agreement signature: it is estimated that it should come into force 8 months after the closure date.
  - **Consortia agreements:** Participants are encouraged to conclude a consortium agreement.
  - **The forms of grants and maximum reimbursement rates** which will be offered are specified in Annex 3 to the Capacities work programme.
  - **Flat rates to cover subsistence costs:** In accordance with Annex 3 of this work programme, this call provides for the possibility to use flat rates to cover subsistence costs incurred by beneficiaries during travel carried out within grants for indirect actions. For further information, see the relevant Guides for Applicants for this call. The applicable flat rates are available on the Participant Portal at: [http://ec.europa.eu/research/participants/portal/page/fp7\\_documents](http://ec.europa.eu/research/participants/portal/page/fp7_documents) under 'Guidance documents for FP7/Financial issues/Flat rates for daily allowances'.

**Call title: Support to transnational networks of incubators for social innovation**

- **Call identifier:** FP7-CDRP-2013-INCUBATORS
- **Date of publication<sup>10</sup>:** 10 July 2012
- **Deadline<sup>11</sup>:** 07 November 2012 at 17.00.00, Brussels local time
- **Indicative budget:** EUR 2 million<sup>12</sup>

The budget for this call is indicative. The final budget of the call may vary by up to 10% of the total value of the indicated budget for the call.

- **Topics called:**

Activity	Topics called	Funding Schemes and eligibility criteria
<p><b>2. C. Improving business environment and partnerships in R&amp;I</b></p> <p><b>CI. Support to the development, implementation and evaluation of initiatives aimed at improving the business environment, enhancing economic growth</b></p>	<p><b>FP7-CDRP-2013-INCUBATORS</b></p> <p><b>Support to transnational networks of incubators for social innovation</b></p> <p><i>Up to 2 projects are expected to be funded</i></p>	<p>CSA-CA</p> <p><i>Coordination and Support Action (coordinating action)</i></p>

- **Eligibility conditions**

- The general eligibility criteria are set out in Annex 2 to this work programme and in the Guide for Applicants. Please note that the completeness criterion also includes that part B of the proposal shall be readable, accessible and printable.

Funding scheme	Minimum conditions
Coordination and Support Actions (coordinating action)	At least 3 independent legal entities, each of which is established in a MS or AC, and

<sup>10</sup> The Director-General responsible for the call may publish it up to one month prior to or after the envisaged date of publication.

<sup>11</sup> The Director-General responsible may delay this deadline by up to two months.

<sup>12</sup> Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority

	no 2 of which are established in the same MS or AC.
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- Only information provided in part A of the proposal will be used to determine whether the proposal is eligible with respect to budget thresholds and/or minimum number of eligible participants

- **Evaluation procedure:**

- The evaluation criteria and scoring scheme are set out in Annex 2 to the work programme.
- Proposal page limits: Applicants must ensure that proposals conform to the page limits and layout given in the Guide for Applicants, and in the proposal part B template available through the electronic Submission Services of the Commission.

The Commission will instruct the experts to disregard any pages exceeding these limits.

The minimum font size is 11. All margins (top, bottom, left, right) should be at least 15 mm (not including any footers or headers).

- Experts will carry out the individual evaluation of proposals remotely.
- The procedure for prioritising proposals with equal scores is described in Annex 2 to the work programme.

- **Indicative timetable:** Evaluation will be carried out in November-December 2012. The call results are estimated to be available within 4 months after the deadline. Grant agreement signature expected to come into force 9 months after the closure date.

- **Consortia agreements:** Participants are encouraged to conclude a consortium agreement.

- **The forms of grants and maximum reimbursement rates** which will be offered are specified in Annex 3 to the Capacities work programme.

- **Flat rates to cover subsistence costs:** In accordance with Annex 3 of this work programme, this call provides for the possibility to use flat rates to cover subsistence costs incurred by beneficiaries during travel carried out within grants for indirect actions. For further information, see the relevant Guides for Applicants for this call. The applicable flat rates are available on the Participant Portal at: [http://ec.europa.eu/research/participants/portal/page/fp7\\_documents](http://ec.europa.eu/research/participants/portal/page/fp7_documents) under 'Guidance documents for FP7/Financial issues/Flat rates for daily allowances'.

#### **IV OTHER ACTIONS<sup>13</sup> (not implemented through calls for proposals)**

##### **A. Providing evidence-base and monitoring of R&I policies and supporting policy coordination**

This block of actions aims at supporting policymakers by providing evidence-base, monitoring R&I policy developments and performance - including through the development of indicators, data and information platforms - and supporting policy coordination and mutual learning in view of increasing synergies and consistency across the EU.

*A.1 - Strengthening of the economic analysis and providing evidence base for R&I systems and reporting on overall progress on R&I performance  
Addressing IU commitments 8 and 34*

This series of actions aims at launching a set of "economic analysis" studies to ensure better international comparability with Europe's main trade partners, to extend the provision of the indicators (investment, bibliometrics, patenting, mobility and cross-border cooperation, impact) used for monitoring innovation and ERA performance and to deepen the analysis of Europe's R&I challenges.

It comprises the following studies along the R&I value cycle:

1. Maintenance of a data collection and analysis of joint national research funding (joint programmes) and of national research programmes open to non-resident researcher performers in order to monitor progress in the degree of opening-up of national research programmes and the degree of coordination of national research funding.
2. Analysis of national public research funding, by theme and by type of allocation (competitive project-based funding versus institutional block funding).
3. Identification of the patenting activities of different category of firms per sector and size by matching different data bases.
4. Identification and analysis of the international business investment flows (foreign direct investments) in R&I.
5. Data mining on knowledge and technology flows in priority domains within the private sector and between public and private sector.
6. Maintenance of national data collection and analysis of R&I investment in different sectors, thematic areas and societal challenges.

Indicative timeline: 4<sup>th</sup> quarter of 2013.

*Coordination and Support Action (supporting action), public procurement - EUR 2.7 million<sup>14</sup>*

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<sup>13</sup> In accordance with Articles 14, 17 and 27 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).

7. Statistical analysis and monitoring the use of Composite indicators in research and innovation.

- Objectives: This action is a continuation and extension of the feasibility study conducted in 2011 (CDRP work programme 2010) and of the study conducted in 2012 (CDRP work programme 2011) for DG Research and Innovation by the Group of Research on the Impact of the Innovation Union (GRIU) of the Joint Research Centre, to develop four sets of indicators in view of measuring respectively a) progress towards a more open and integrated ERA, b) progress towards higher research excellence, c) nature and speed of structural change towards a more knowledge-intensive economy and d) capacity of the national and European R&I systems to diffuse knowledge and technology.

This study will firstly further progress in improving the relevance and comprehensiveness of the core sets c and d mentioned above, which comprises a series of sub-indicators still at a stage of development. It will secondly update the indicators used in the first ERA related core set, in order to integrate new data collected to measure the impact of the ERA framework and to take into account feedback of the stakeholders. It will thirdly compute updated value and time series for these core set of indicators. Thirdly, it will continue to provide statistical analysis in support of the interpretation of the variation in the value of these indicators and in support of the regular production by DG Research and Innovation of the Innovation Union Competitiveness report.

- Expected impact: The indicators developed will serve policy-makers at the European level, in the EU Member States and regions. They provide an objective, scientifically tested assessment of performance and impact of policies, which are crucial to foster the development of a knowledge-intensive, innovative and economically efficient economy at the various geographical levels of the European Union. Such a development is one of the key priorities of the Europe 2020 strategy and of its Innovation Union flagship initiative. Its importance has recently been underlined with the priority given to smart growth-enhancing measures in the annual orientations (AGS) of the Europe 2020 strategy.

The Coordination and Support Action will be evaluated based on the evaluation criteria set out in Article 15 of the FP7 rules of participation (available in Annex 2 to this work programme). The maximum possible rate of co-financing is set out in Article 33 of the FP7 rules of participation (available in Annex 3 to this work programme).

*Coordination and Support Action (supporting action), Grant to identified beneficiary Joint Research Centre (JRC)/The Institute for the Protection and Security of the Citizen (IPSC) - EUR 0.40 million*<sup>15</sup>

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<sup>14</sup> Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

<sup>15</sup> Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.



*A.2 - Strengthening the monitoring of the Member States' R&I policies and systems, and support to policy coordination, notably in view of assessing Europe 2020 National Reform Programmes*

*Addressing IU commitments 25, 31 and 33*

1. Comparative analysis of growth enhancing measures in Member States, Associated Countries and some selected Third Countries.

Indicative timeline: To be launched by 4<sup>th</sup> quarter of 2013.

*Coordination and Support Action (supporting action), public procurement - EUR 0.15 million<sup>16</sup>*

2. Support to peer reviews and policy mutual learning activities in the context of the European Research Area Committee (ERAC). Paving the way for the future Policy Support Facility these activities will build on the IU self-assessment tool<sup>17</sup> to promote the identification and diffusion of experiences and good practices including from the point of view of higher education institutions, researchers and private stakeholders. Policy areas covered could include R&I policies addressing societal challenges; the definition of growth- enhancing policy mixes; the evaluation of smart specialisation strategies; and the building of S&T capacity through the use of structural funds.

*Coordination and Support Action (supporting action), expert contracts - EUR 0.20 million<sup>18</sup>*

*A.3 - Development of forward looking activities and dialogue with stakeholders*  
*Addressing IU commitments 8 and 13*

This series of actions aims at providing financial support to different expert groups which are expected to put forward strategic advice on the Innovation Union and other European R&I policy issues as well as provide fresh thinking on how to put into action a globally competitive ERA. This includes also a study to analyse "State support schemes for RDI" in the EU's international competitors in the fields of science, R&I and an assessment of the CDRP Programme and its future in the context of the proposed Horizon 2020.

1. A study on "State support schemes for RDI in the EU's international competitors in the fields of science, research and innovation", by sector / industry and type of beneficiary.

Indicative timeline: To be launched by 4<sup>th</sup> quarter of 2013.

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<sup>16</sup> Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

<sup>17</sup> Annex 1 to the Innovation Union Flagship Initiative Communication, at [http://ec.europa.eu/research/innovation-union/pdf/innovation-union-communication\\_en.pdf](http://ec.europa.eu/research/innovation-union/pdf/innovation-union-communication_en.pdf)view=fit&pagemode=none

<sup>18</sup> Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

*Coordination and Support Action (supporting action), public procurement - EUR 3.00 million<sup>19</sup>*

2. An expert group to assess the support given through the CDRP Programme and draw lessons for the future.

*Coordination and Support Action (supporting action), expert contracts - EUR 0.05 million<sup>20</sup>*

3. The European Research and Innovation Board (ERIAB) is expected to advise the Commission on the development and realisation of the ERA as well as integrated Research and Innovation policies and Innovation Union flagship initiative, at the request of the Commission, or on ERIAB own initiative. ERIAB will be composed of 15 members and includes prominent innovators and leaders from business, science and government. To this end the following actions are supported:

- Support to ERIAB members for attendance at meetings related to their work, including the setting up of ad-hoc expert groups or inviting experts to participate in the work of ERIAB.

*Coordination and Support Action (supporting action), expert contracts – EUR 0.20 million<sup>21</sup>*

- Support to the work of ERIAB through a range of services such as facilitation of meetings, preparation of documents, writing proceedings, preparation of annual report etc. , including studies to support its work. The studies will be used as key input to deliberations on the topic in question. Indicative timeline: To be launched by 1<sup>st</sup> quarter of 2013.

*Coordination and Support Action (supporting action), public procurement - EUR 0.275 million<sup>22</sup>*

4. The European Forum on Forward Looking Activities (EFFLA) is expected to enhance collective intelligence and help devise better European policies and R&I in particular, which need a long term perspective. It is also expected to build genuine stakeholder commitment to action. The forum brings together a set of high-level experts and decision makers from academia, industry, government, European and international organisations, NGOs, as well as think tanks with very diverse profiles, able to mobilise the best available expertise and interact with key networks.

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<sup>19</sup> Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

<sup>20</sup> Ibid.

<sup>21</sup> Ibid.

<sup>22</sup> Ibid.

5. The Innovation for Growth group (I4G) is expected to provide strategic economic advice to EU R&I policies and their potential impact on growth. Its members are top economists from the academia. To this end the following actions are supported:
  - Support to the work of EFFLA and I4G experts.  
*Coordination and Support Action (supporting action), expert contracts - EUR 0.46 million<sup>23</sup>*
  - Approximately 10 studies to support the work of EFFLA and I4G.  
Indicative timeline: To be launched during 1<sup>st</sup> and 2<sup>nd</sup> quarter 2013  
*Coordination and Support Action (supporting action), public procurement - EUR 0.10 million<sup>24</sup>*

## **B. Supporting a single market for R&I and delivering the ERA Framework**

This block of actions aims at supporting **the roll-out of the ERA Framework** and the establishment of a genuine internal market for research as well as specific research policy areas requiring action at EU and/ or Member State level.

### *B1. Implementation of the ERA Framework Addressing IU commitments 4 and 30*

1. Evaluations: appointed external experts will be used for the evaluation of proposals relating to the call for proposals FP7-CDRP-2013 STAKEHOLDERS.

*Coordination and Support Action (supporting action), expert contracts - EUR 0.05 million<sup>25</sup>*

2. Two or more studies in support of the implementation of the ERA Framework.
3. Indicative time line: 1st quarter 2013

*Coordination and Support Action (supporting action), public procurement- EUR 0.29 million*

4. Expert groups in support of the implementation of the ERA Framework.

*Coordination and Support Action (supporting action) - public procurement and expert contracts - EUR 0.06. million<sup>26</sup>*

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<sup>23</sup> Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

<sup>24</sup> Ibid.

<sup>25</sup> Ibid.

<sup>26</sup> Ibid.

*B2. Excellence in science  
Addressing IU commitment 4*

1. A European accreditation mechanism for Human Resources (HR) Excellence in Research will be set up. Its aim is to further encourage and incentivise the take-up of the ERA principles related to the HR management in research institutions and universities (including the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers).

Indicative timeline: To be launched by the 4<sup>th</sup> quarter of 2013.

*Coordination and Support Action (supporting action), public procurement - EUR 0.30 million<sup>27</sup>*

2. To support the setting up of pan-European (supplementary) pension funds for researchers a series of Mutual Learning Activities will be implemented. The aim of the Mutual Learning Activities is to allow institutions more advanced in the pension project to share their experiences with those only about to join the fund, and to provide more clarity on this subject. Indicatively six specific contracts using a Framework Service Contract.

Indicative timeline: To be launched by 4<sup>th</sup> quarter of 2013.

*Coordination and Support Action (supporting action), public procurement - EUR 0.30 million<sup>28</sup>*

3. Various awareness raising activities at the Commission initiatives related to researchers' careers and mobility, including the HR Excellence in Research accreditation will be supported. This may include for example the production of leaflets and brochures, a launch event for the accreditation mechanism for HR Excellence in Research with selected guests, or small working level events with relevant stakeholders. Indicatively eight specific contracts using a Framework Service Contract. Indicative timeline: To be launched by 4<sup>th</sup> quarter of 2013.

*Coordination and Support Action (supporting action), public procurement- EUR 0.35 million<sup>29</sup>*

4. Experts Groups on the role of Universities and Research Centres in Smart Specialisation. The role of the experts groups would be to analyse the role of universities and research centres in the Smart Specialisation Process, examine strengths and weaknesses and identify opportunities and propose recommendations for policy makers.

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<sup>27</sup> Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

<sup>28</sup> Ibid.

<sup>29</sup> Ibid.

*Coordination and Support Action (supporting action), expert contracts - EUR 0.20 million*<sup>30</sup>

### **C. Improving business environment and European partnerships in R&I**

This block of actions aims at analysing the ways of improving the overall framework conditions for innovation, tackling specific barriers preventing the growth of innovative firms and in particular SMEs and enterprises of intermediate size as well as highlighting excellence in innovation through the means of awards.

*C.1 - Support to the development, implementation and evaluation of initiatives aimed at improving the business environment and enhancing economic growth  
Addressing IU commitments 10, 13, 16 and 34*

1. Standards are strategic assets for securing Europe's competitiveness and key tools for knowledge dissemination, interoperability, and validation of novel ideas and promotion of innovation. Standardisation will expand more and more into new areas and will cover new subjects. To this end an expert group will be appointed to support an independent review in the area of innovation and technological development, announced in the Innovation Union flagship initiative (commitment 16) and the standardisation package.
2. An expert group will also be established to test feasibility with national experts and stakeholders, and provide advice and recommendations, for guidance on application of EU public procurement directives for facilitating and driving demand for innovative products and services.

*Coordination and Support Action (supporting action), expert contracts - EUR 0.20 million*<sup>31</sup>

*C.2 - Support to the implementation or testing of initiatives aimed at improving the linkage between business, academia and public administrations  
Addressing IU commitments 2, 21 and 29*

#### **1. Innovation- fostering awards**

This initiative aims to drive innovation through the recognition of achievements, promotion of role models and highlighting of excellence in innovation through the means of awards.

##### **1.1 A Prize for Women Innovators 2014**

After the success of the first Prizes for Women Innovators, awarded in 2011, the Commission continues its drive to spotlight women researchers who have brought about outstanding innovations to the market. Europe urgently needs more innovators to stay competitive in the coming decades. The large number of well-educated women researchers who, for various reasons, including lack of awareness, do not consider entrepreneurship as an option, represents a tremendous untapped pool of innovation. Awards have a strong potential to drive innovation through the recognition of achievements and the promotion of role models.

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<sup>30</sup> Ibid.

<sup>31</sup> Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

The Prize for Women Innovators 2014 will aim to increase public awareness of this issue, to encourage women to exploit the commercial and business opportunities offered by their research projects and become entrepreneurs, it will therefore help to achieve the objectives of the Europe 2020 Strategy. The prizes will not reward research or innovation proposed for the future, but results that have been already obtained.

The Commission intends to award up to three "Prize for Women Innovators 2014" following a contest.

### **Implementation and management:**

The rules of the contest are established and published by the Commission, which will launch and manage the contest and award the prizes. An information campaign will be launched to advertise it via National Contact Points and Programme Committees in order to encourage candidates to apply. Applications have to be submitted by the contestant (natural person) via the web-based submission forms on [www.ec.europa.eu/women-innovators](http://www.ec.europa.eu/women-innovators).

The applicant will have to provide proof of eligibility and a written presentation of her achievements, which will be presented to a High Level Jury for evaluation.

The High Level Jury will consist of a group of independent experts from business and academia appointed by the Commission.

They will appraise the quality of the entries and submit to the Commission the final list of up to 3 women selected for the award of the following prizes:

First prize: EUR 0.10 million

Second prize: EUR 0.05 million

Third prize: EUR 0.03 million

**Funding scheme:** prizes<sup>32</sup>

*Coordination and Support Action (supporting action), prizes - EUR 0.18 million<sup>33</sup>*

**Date of publication of the contest<sup>34</sup>:** 10 July 2012

**Date of opening of the contest<sup>35</sup>:** 15 April 2013, at 12:00:00 Brussels local time

**Deadline to submit applications<sup>36</sup>:** 15 October 2013, at 17:00:00 Brussels local time

### **Eligibility criteria:**

Contestants for the "Prize for Women Innovators 2014" shall comply with the following eligibility criteria to participate:

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<sup>32</sup> In accordance with Article 30 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).

<sup>33</sup> Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

<sup>34</sup> The Director- General responsible for the contest may publish it up to one month prior or after the envisaged date of publication.

<sup>35</sup> The Director-General responsible may delay this deadline up to two months.

<sup>36</sup> The Director-General responsible may delay this deadline up to two months.

1. The contestant must be a woman.  
Example of proof: Copy of any official document of identification e.g. passport, identity card.
2. The contestant must be an ordinary resident in an EU Member State or in Associated Countries<sup>37</sup> of the Research Framework Programmes.  
Example of proof: Copy of any official document of identification e.g. passport, driving licence etc.
3. The contestant must be the founder or co-founder of an existing and active company.  
Example of proof: Copy of any official document showing clearly that the candidate has (co-) founded a company.
4. The company has been registered before 1 January 2011.  
Example of proof: Copy of any official document showing the date of registration of the company (e.g. copy from the business register).
5. The annual turnover of the company was at least EUR 0.10 million in 2011 or 2012.  
Example of proof: Copy of a document showing the annual turnover in 2011 (e.g. copy of the annual report to the tax authorities).
6. Either the contestant as a natural person or the company founded/co-founded by the contestant have received or is receiving funding from the European Union or the European Atomic Energy Community Research Framework Programme, or from the Competitiveness and Innovation Framework Programme (CIP).  
Example of proof: Copy of a document demonstrating the past or current EU funding.

**Award criteria:**

The winners of the "**Prize for Women Innovators 2014**" will be selected according to the following award criteria, which will be assessed by the High Level Jury:

1. The originality and marketability of the developed product or service provided by the company of the contestant.
2. The economic relevance for Europe.  
The economic relevance of a product or service of the company for Europe is measured by the number of countries (inside and outside the EU) where the product or service is sold, and by the size of the turnover achieved with this service or product in 2011 and 2012.
3. The social relevance for Europe  
The social relevance of a product or service of the company for Europe is defined by the potential of the service or product to help Europe address the grand societal challenges such as the ageing of the European population, global warming, clean water, renewable energy and resource efficiency.
4. The high scientific content of the innovation

The contestant must have been involved in the research and innovation activities connected to the origin of the product or service provided by the company she has founded or co-founded. Entries will be compared according to the number of patents/co-patents, scientific publications (or co-publications) and trademark.

Contestants can at any time be required to submit official proof to support claims made under any of the above eligibility and award criteria.

**Expected impact:**

In face of the demographic development of the European continent, Europe can no longer afford to leave unused the greatest untapped pool of innovative entrepreneurs, the European-based women researcher. The prizes will both boost the public awareness of the contribution, potential and importance of women researchers to entrepreneurship and will encourage entrepreneurial women themselves to become innovators.

**1.2 A group of independent experts** (in the form of a High Level Jury) will be in charge of assessing the quality of the applications for the '**Prize for Women Innovators 2014**' against the rules of the contest.

*Coordination and Support Action (supporting action), expert contracts - EUR 0.02 million<sup>38</sup>*

**2. A European Prize for Innovation in Public Administration**

The public sector accounts for half of GDP in the EU<sup>39</sup>. Therefore, in order to excel and stay competitive, Europe needs to mobilise innovation and modernisation in its public administrations. Awards have a strong potential to drive innovation through the public recognition of achievements and the provision of role models.

The Commission plans to award prizes to successful, already running, and innovative public initiatives. The initiatives, managed by the national, regional or local public administrations, will have made significant improvements in citizens' lives. With this Prize the Commission wants to reward excellence and innovation in strategies, services, networks, processes and infrastructure. All public administrations from EU Member States or Associated Countries of the Research Framework Programme are invited to submit their innovative initiatives or programmes.

The awarded money will be used by the winning public administration to scale up and expand their initiative thereby leveraging and inducing further excellence and innovation in public administration. The Commission will remain in close contact with the winners and ensure follow-up for the implementation of the subsequent stages of their initiatives.

**Implementation and management:**

The Commission wants to recognise the outstanding achievements of public administrations in the following three categories:

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<sup>38</sup> Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

<sup>39</sup> Total general government expenditure in EU27 was 50.6% of GDP in 2010 (Source: Eurostat).



1. Initiatives for **citizens**  
(e.g. special assistance for the elderly; eco-friendly public transport; participatory budgeting)<sup>40</sup>
2. Initiatives for **firms**  
(e.g. providing networking platforms for start-ups; supporting rural entrepreneurs with e-trade tools)<sup>41</sup>
3. Initiatives for **education and research**  
(e.g. new approaches to vocational training; fostering a better learning environment for primary schools; facilitating entrepreneurship of researchers<sup>42</sup>)

The High Level Jury evaluating submissions will consist of a group of independent experts from public administration, business and academia appointed by the Commission. The High Level Jury will submit to the Commission a shortlist of up to six initiatives in each category. In each of the three categories, monetary prizes of EUR 0.1 million will be awarded to each of the three best initiatives.

The Commission will manage the award. An information campaign will be launched to encourage contestants to apply.

**Funding scheme:** Prizes<sup>43</sup>, (9 prizes)

*Coordination and Support Action (supporting action), prizes - EUR 0.90 million<sup>44</sup>*

**Date of publication<sup>45</sup>:** 10 July 2012

**Opening of the submission phase:** 17 September 2012, at 12:00:00 Brussels local time

**Deadline to submit applications<sup>46</sup>:** 15 February 2013, at 17:00:00 Brussels local time

**Eligibility criteria:**

Contestants for the "**European Prize for Innovation in Public Administration**" shall comply with the following **eligibility criteria** to participate:

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<sup>40</sup> The examples given are by no means to be regarded as complete or exhaustive.

<sup>41</sup> Ibid.

<sup>42</sup> Ibid.

<sup>43</sup> In accordance with Article 30 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).

<sup>44</sup> Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

<sup>45</sup> The Director-General responsible for the contest may publish it up to one month prior or after the envisaged date of publication.

<sup>46</sup> The Director-General responsible may delay this deadline up to two months.

1. The candidate must be an established public administration at the national, regional or local level in an EU Member State or in Associated Countries of the Research Framework Programme<sup>47</sup>.
2. The candidates' submission will consist of a complete application for the "European Prize for Innovation in Public Administrations".
3. The on-going initiative or programme has been running for at least 1 year but not longer than 4 years at the time of submission.
4. The initiative or programme is owned by the contestant (idea, planning, design, launch, administration etc.).
5. The initiative or programme cannot have already been awarded a monetary prize by an EU Institution.

### **Award criteria:**

The winners of the "**European Prize for Innovation in Public Administration**" will be selected according to the following award criteria, which will be assessed by a High Level Jury:

1. The **social relevance** for the community concerned  
In line with the Europe 2020 strategy goals, initiatives will be assessed on their potential to address grand societal challenges (e.g. the ageing of Europe, climate change, clean water, renewable energy and resource efficiency).  
Importance will also be given to the level of citizen engagement and satisfaction as well as the involvement of direct users in the design and operation of the initiative.
2. The **originality and replicability**  
Initiatives must be highly innovative and will be judged on the level of quality of implementation and potential for being replicated in other European contexts.
3. The **economic relevance** for the community concerned.  
Important aspects to be considered will be, for example: increased efficiency in resource allocation; more effective use of personnel, ICT platforms or green technology; increased cost efficiency; improved attractiveness for investors; better service delivery.
4. The **planned use of the prize money**  
Plans to use the prize money to scale-up or expand the initiative will be judged based on their ambition and feasibility, on the expected impact and benefits for citizens and on their potential to attract further financial or technical support from other sources for their realisation.

Candidates can at any time be required to submit official proof to support claims made under any of the above award criteria.

### **Expected impact:**

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<sup>47</sup> Associated Countries are: Israel, Switzerland, Norway, Iceland, Liechtenstein, Turkey, Croatia, the Former Yugoslav Republic of Macedonia, Serbia, Albania, Montenegro, Bosnia & Herzegovina, Faroe Islands and the Republic of Moldova.

By awarding the "European Prize for Innovation in Public Administration" the Commission will showcase innovations in the public administration and give visibility to the most dynamic, forward-looking and innovative public administrations and their initiatives. The winners' innovative initiatives will have a strong potential for replicability and scaling up and should be used as role models for other public administrations in Europe. Furthermore, the awards aim to challenge persistent negative stereotypes and also to increase citizens' expectation for excellence in public administration in Europe.

- 2.1 A group of independent experts (in the form of a High Level Jury) will be in charge of assessing the quality of the applications for the "European Prize for Innovation in Public Administrations" in accordance with the contest rules.

*Coordination and Support Action (supporting action), expert contracts- EUR 0.03 million<sup>48</sup>*

3. First pilot of the Award on "European City of Science and Innovation". Building on the feasibility assessment of an expert group, the purpose of the award would be to provide a distinction to those European cities which are making major efforts to promote innovative solutions for their citizens. This initiative intends to acknowledge the role of the cities as places where most creativity concentrates and cross-fertilises, thus making them propellers of innovation in Europe. It is expected that some knowledge cities investing in innovation to address common challenges provide valuable models for world centres of excellence.

*Coordination and Support Action (supporting action), expert contracts - EUR 0.15 million<sup>49</sup>*

4. Study on monitoring of knowledge transfer. The purpose of the study is to monitor the actual performance of higher education institutes and public research organisations as regards their performance in transferring knowledge to the private sector.  
Indicative timeline: To be launched by 4<sup>th</sup> quarter of 2013.

*Coordination and Support Action (supporting action), public procurement - EUR 0.20 million<sup>50</sup>*

### *C.3 – Support to the cross-cutting aspects of implementing and evaluating EIPs Addressing IU commitments 15 and 29*

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<sup>48</sup> Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

<sup>49</sup> Under the condition that the draft budget for 2013 is adopted without modification by the budgetary authority.

<sup>50</sup> Ibid.

1. An independent expert evaluation of the European Innovation Partnership approach will be carried out, assessing its effectiveness and efficiency, utility and sustainability, and EU added value. The evaluation will cover European Innovation Partnerships in different phases of development and with both common and specific features.

*Coordination and Support Action (supporting action), expert contracts – EUR 0.20 million<sup>51</sup>*

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<sup>51</sup> Ibid.

## V BUDGET

### Part - Indicative budget

Activities	Budget 2013 <sup>52</sup> EUR million
<b>Call FP7-CDRP-2013-STAKEHOLDERS</b>	0.60
<b>Call FP7-CDRP-2013-INCUBATORS</b>	2
<ul style="list-style-type: none"> <li>• Evaluations (EUR 0.05 million)</li> <li>• Actions implemented through public procurement, expert groups and grant to identified beneficiary (EUR 9.84 million)</li> <li>• Actions implemented through prizes (EUR 1.08 million)</li> </ul>	10.97
<b>Estimated total budget</b>	<b>13.57</b>

All budgetary figures given in this work programme are indicative. The final budgets 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.

For actions not implemented through calls for proposals:

- 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 budget for these actions.

<sup>52</sup> Under the condition that the draft budget for 2013 is adopted without modifications by the budget authority.