



EUROPEAN COMMISSION  
RESEARCH DIRECTORATE-GENERAL

Directorate A - Inter institutional and legal matters – Framework programme  
**Interinstitutional relations and coordination of the Framework programme**

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## **A ROADMAP TOWARDS THE COMMISSION'S PROPOSALS FOR FP8**

### **1. THE BROADER CONTEXT AND OVERALL APPROACH**

This note presents a roadmap and working modalities for the preparation of the Commission's proposals for the next Framework Programme (FP8), throughout 2010 and 2011.

The broader context in which research and innovation policy operate has changed quite drastically since the start of FP7. Global competition has become fiercer and responding to the grand societal challenges is becoming ever more necessary. It is to be expected that throughout the coming years the focus will continue to be strongly on recovering from the crisis through developing new and sustainable sources of growth on the basis of research and innovation. At the same time, public budgets will be very tight, calling for increased efficiency and effectiveness of spending.

The FP8 proposals will be developed against the backdrop of a number of major political initiatives, the main ones being: the Europe 2020 strategy (Commission proposals published early March), the Research and Innovation Plan (expected September 2010), an ERA action plan (expected in the course of 2011), and the Commission's proposals for the next financial perspectives (expected by summer 2011).

A number of ongoing initiatives will also feed into the debate: the Commission's Communication on simplification and the debate it will stimulate, the FP7 interim evaluation (report expected in September 2010) and the ongoing implementation of the ERA initiatives launched in 2008 (including Joint Programming in the context of which three Commission proposals for Council recommendations are due to be adopted soon).

From the above, a number of issues can be derived which are likely to become central elements in the debate on FP8:

- Developing the optimal Framework Programme architecture and instruments to tackle the grand societal challenges;
- As a necessary tool to achieve the above, forging stronger links between research and innovation policy to increase effectiveness and impact;
- Supporting the creation of the European Research Area;
- Strengthening support to the mobility of researchers and to excellent frontier research;
- Taking further steps towards simplification of the Framework Programmes;
- Developing efficient and credible programme management modes.

It will be vital to establish clearly the relevance of research funding at the European level, notably by demonstrating its added value in terms of contributing to the efficiency and

effectiveness of the European research system and its contribution to the provision of societal benefits, including growth and jobs.

In terms of institutional activity, the proposed approach is similar to the one that was followed in the preparation of the FP7 proposals<sup>1</sup>: a short policy document setting out main orientations would be published early to mid 2011, on the basis of which a broad consultation would be organised. The sequencing of this document with the Commission's proposal for the next financial perspectives would have to be seen. On the basis of the outcome of the consultation process, the actual proposals for FP8 would be further developed and ultimately adopted by the Commission early 2012, accompanied by full impact assessments.

## **2. MAKING THE TRANSITION FROM FP7 TO FP8**

Although the legal framework for FP7 is fixed at this stage, certain elements of Europe 2020 can already be addressed through the current instruments. In this context, work is ongoing on assessing how the innovation (including SME) dimension of the FP7 work programmes 2011-2013 can be reinforced<sup>2</sup>.

Furthermore, the budget of FP7 will be significantly increased in its last two years of implementation, providing scope for strengthening ongoing initiatives and, as appropriate, for introducing new approaches, e.g. in the context of the European Innovation Partnerships.

Gradually refocusing FP7 and its instruments towards the priorities of Europe 2020 would have the added advantage of allowing for a smoother transition from FP7 to FP8.

## **3. INTERNAL ORGANISATION OF WORK**

DG RTD will be the lead service for the development of the FP8 proposals under the guidance of the Cabinet. Regular DG-CAB meetings on the subject of FP8 preparation will be organised.

To facilitate discussions with the other Research DGs, a Framework Programme steering group will be set up. This steering group will in a first instance be used to ensure the smooth integration of Europe 2020 priorities in the remainder of FP7 (as announced in note D(2010) 518664), but should also be used as an inter-DG discussion platform on FP8.

Internal preparation in DG RTD will be overseen by an FP8 preparation committee. This committee will be chaired by Wolfgang Burtscher (DG RTD Deputy Director-General). At this stage, it is foreseen that other members of the committee would be: Rudolf Strohmeier (DG RTD Deputy Director-General), Anneli Pauli (DG RTD Deputy Director-General), Robert-Jan Smits (DG JRC Deputy Director-General), Clara de la Torre (DG RTD Director, Directorate A, overall coordination), Franco Biscontin (DG RTD Director, Directorate R, resources) and Isi Saragossi (DG RTD Director, Directorate C, links to ERA and innovation policy). It is possible that "thematic" directors could also take part in the work of the committee. DG RTD Unit A.1 will provide support to the whole process.

The role of this committee will be to steer and coordinate the FP8 preparation process, including overseeing the drafting of both the 2011 policy document and the proposals for the FP8 Decisions, FP8 Specific Programme Decisions and the FP8 Rules for Participation.

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<sup>1</sup> For FP7, the following sequence took place: 26 February 2004, the Commission's proposal for the financial perspectives 2007-2013; 16 June 2004, the Commission's consultation document on FP7. The legislative proposals themselves for FP7 came on 6 April 2005.

<sup>2</sup> See in particular notes D(2010) 507788, I(2010) 5687 and D(2010) 520847

In addition, the following will be important milestones and deliverables for the FP8 preparation committee:

- October 2010: first outline of the 2011 policy document;
- January 2011: draft of the 2011 policy document;
- May 2011: outlines of the FP8 proposals;
- September 2011: drafts of the FP8 proposals.

Issue groups will be mandated by the FP8 preparation committee to work on specific aspects:

- *Framework Programme architecture and instruments*: this group will focus its discussions on the architecture, instruments and contents needed to operationalise Europe 2020's main priorities, i.e. addressing grand societal challenges and strengthening the innovation dimensions, but should also tackle issues such as the role of the ERC in FP8, putting FP8 at the service of the realisation of ERA or forging closer links with other Union policies (including external relations) and instruments (including the CIP, EIT and the Structural Funds);
- *Simplification of the Framework Programmes*: the work of this group will focus on the follow-up to the forthcoming Communication;
- *Management modes and externalisation*: this group should explore the most optimal options for delivering the Framework Programme through a combination of direct and indirect management by the Commission including through agencies, public-public and public-private partnerships;
- *Economic analysis and impact assessment*: this group should contribute to building sound rationales for the options chosen for the next Framework Programme; it should also pave the way and subsequently guide the drafting of the ex-ante impact assessment which is to accompany the FP8 proposals.

The issue groups addressing the first three aspects are due to report to the FP8 preparation committee on four occasions:

- July 2010: with an assessment of main lessons learned from the first half of FP7 and broad policy options for FP8, which would form the basis for a first round of consultation (in autumn) and for the work on impact assessment. The issue groups would at this stage also be expected to make a proposal and roadmap for further work;
- End-2010: with more detailed policy options and approaches for FP8, which would form the basis of the 2011 policy document launching the broad stakeholder consultation;
- Mid-2011: further detailed policy options and approaches for FP8, elaborated on the basis of the initial results of the stakeholder consultation;
- End 2011: with a final contribution to the FP8 proposals on the basis of the results of the stakeholder consultation.

The issue group on economic analysis and impact assessment will report to the FP8 preparation committee by summer 2010 with a stock taking on available material and a proposal and roadmap for further work. It will work in close relation with the other issues groups and report end 2010 with argumentations and analysis on the impact of the policy options proposed to be included in the 2011 policy paper. This group will develop the ex-ante impact assessment which should accompany the FP8 proposals.

The specific FP8 preparation structures will need to duly take account of the work of other ongoing task forces and groups:

- The group of Commissioners on Innovation, chaired by Commissioner Geoghegan-Quinn, supported by DDG Anneli Pauli, which will provide overall and high level political guidance on priorities for future research and innovation policy and funding;
- The task force set up for drafting the Research and Innovation Plan, chaired by DG RTD Director-General J-M Silva-Rodríguez;
- The task force looking into the operationalisation of the Research and Innovation Partnerships, chaired by DG RTD DDG R. Strohmeier; and
- The task force looking into the management of the research budget, chaired by Secretary-General C. Day.

#### **4. THE CONSULTATION PROCESS**

Throughout the development of the FP8 proposals, there will be a continuous need for consultation, both inside the Commission and with other stakeholders (other institutions, research and innovation community and society at large).

Intra-Commission consultation will be organised on an informal level through the Framework Programme Steering Committee mentioned above. It is proposed to hold an open orientation debate on the priorities for FP8 in this setting in autumn 2010. Both on the 2011 policy document and the FP8 proposals, formal interservice consultations will be needed.

As regards the other stakeholders, it is proposed to organise, throughout autumn 2010, a targeted consultation on the basis of a set of key questions. These key questions should be derived from the first deliverables of the issues groups, which are to be presented by summer 2010. This consultation would allow the testing of the feasibility and support for the policy options which would be included in the 2011 policy document.

This limited consultation would involve:

- The Commission's policy and horizontal DGs, to build alliances;
- Discussions with CREST, on the basis of orientations provided by the Commission services (including on examining the partnership with Member States);
- Discussions with the European Parliament, including the ITRE committee;
- Discussions on key issues with a focussed group ('sounding board') composed of a limited number of representatives of the research and innovation community (academia, public research organisations, private sector, SMEs,...).

Following the publication of the 2011 policy document, a broader consultation process will be kicked off. The Council, the European Parliament, the EESC and the Committee of Regions will at that stage follow their usual institutional procedures to express their views. Many Member States, regions, representative organisations, interest groupings, individual organisations and even individual persons will also express their views.

This consultation could include the organisation of a high level event (see below).

#### **5. COMMUNICATION STRATEGY**

A specific communication strategy for FP8 and its main orientations needs to be developed. A proposal for such a strategy will be worked upon.

As mentioned above, a major element in the communication strategy could be the organisation of a 'European Research and Innovation Summit' (analogous to the European Business Summit), which would gather at high level the main stakeholders of the research and innovation community to launch, discuss and gain support for the next Framework Programme's main orientations. Its timing and scope need to be carefully assessed.

## **6. TIMELINE**

Three separate, but interlinked, timelines are presented below, for the institutional process, the internal organisation of work and the consultation process, directly related to the preparation of FP8. A broader overview of institutional processes is provided below.

## COMMISSION DG RTD INTERNAL CONSULTATION

2010	July		<ul style="list-style-type: none"> <li>• <i>FP8 preparation committee and issue groups established</i></li> <li>• <i>first report issue groups</i></li> </ul>	<ul style="list-style-type: none"> <li>• <i>FP steering committee established</i></li> </ul>
	Oct	<ul style="list-style-type: none"> <li>• <i>R &amp; I Plan adopted</i></li> <li>• <i>Interim evaluation FP7</i></li> </ul>	<ul style="list-style-type: none"> <li>• <i>first outline 2011 policy document and input to budget debate</i></li> </ul>	<ul style="list-style-type: none"> <li>• <i>CREST orientation debate on FP8</i></li> <li>• <i>sounding board discussions</i></li> </ul>
	Jan		<ul style="list-style-type: none"> <li>• <i>second report issue groups</i></li> <li>• <i>draft 2011 policy document and outline of ex-ante impact assessment</i></li> </ul>	<ul style="list-style-type: none"> <li>• <i>CIS on 2011 policy document</i></li> </ul>
2011	April	<ul style="list-style-type: none"> <li>• <i>adoption of 2011 policy document</i></li> <li>• <i>adoption of Commission proposals for next financial perspectives</i></li> </ul>	<ul style="list-style-type: none"> <li>• <i>outline FP8 proposals</i></li> </ul>	<ul style="list-style-type: none"> <li>• <i>start of broad consultation</i></li> </ul>
	July		<ul style="list-style-type: none"> <li>• <i>third report issue groups</i></li> </ul>	
	Oct		<ul style="list-style-type: none"> <li>• <i>draft FP8 proposals and ex-ante impact assessment</i></li> </ul>	<ul style="list-style-type: none"> <li>• <i>Research and Innovation Summit</i></li> <li>• <i>CIS on FP8 proposals</i></li> </ul>
2012	Jan	<ul style="list-style-type: none"> <li>• <i>FP8 proposals adopted</i></li> </ul>	<ul style="list-style-type: none"> <li>• <i>fourth report issue groups</i></li> </ul>	
	April			

## TOWARDS FP8 - IMPORTANT MILESTONES

COUNCIL PRESIDENCY	TIMING	ACTIONS
<i>Spain</i>	<b>1<sup>st</sup> half 2010</b>	Commission Communication on the mid-term review of the Financial Framework 2007-2013
		Interim evaluation of Euratom FP7 and its SPs
	<b>April 2010</b>	Commission Communication on FP simplification
	<b>May 2010</b>	Commission proposal for the revision of the Financial Regulation
<i>Belgium</i>	<b>September 2010</b>	Commission Communication on a European Plan for Research and Innovation
	<b>November 2010</b>	Interim evaluation of TFEU FP7 and the SPs and Commission reply
	<b>December 2010</b>	Commission proposals for Euratom FP covering 2011+ (FP, SPs, Rules for participation) <sup>3,4</sup>
	<b>Last quarter 2010</b>	Commission Communication on "tolerable risk of error"
<i>Hungary</i>	<b>By July 2011</b>	- Commission proposal on the next Financial Framework <sup>5</sup>
<i>Poland</i>		- Commission Communication on an overarching action plan for the development of ERA  - ( <i>poss.</i> ) Commission Communication on orientations for future EU research funding (2011 policy document)
<i>Denmark</i>	<b>January 2012</b>	Entry into force of the Euratom FP covering 2012-2013
	<b>Early 2012</b>	Commission proposals for TFEU and Euratom FP8 (FPs, SPs, Rules for participation (and dissemination)) <sup>6</sup>
<i>Cyprus</i>		

<sup>3</sup> The Financial Framework 2007-2013 provided for Euratom FP budget for the whole period 2007-2013. The limitation of the FP duration to 2011 is due to the Euratom Treaty requirement for a maximum duration of five years for research programmes.

<sup>4</sup> Consultation procedure applies for all acts.

<sup>5</sup> As ordered by the European Council of December 10-11, 2009. The next financial framework will be formally and legally decided upon by Council and Parliament (a reflection, in legal terms, of an already established political practice).

<sup>6</sup> The ordinary legislative procedure ('co-decision') applies for the TFEU FP and the Rules for participation and dissemination, whereas the consultation procedure applies for all other acts under TFEU and Euratom (as in the past).

<i>Ireland</i>	<b>1<sup>st</sup> half 2013</b>	Ex-post evaluation of Euratom FP7
<i>Lithuania</i>	<b>2<sup>nd</sup> half 2013</b>	Agreement on the next Financial Framework
<i>Greece</i>	<b>January 2014</b>	Start of the next Financial Framework
		Entry into force of the TFEU and Euratom FP8
	<b>June 2014</b>	EP elections
<i>Italy</i>		
<i>Latvia</i>		
<i>Luxembourg</i>		
<i>Netherlands</i>	<b>1<sup>st</sup> half 2016</b>	Ex-post evaluation of TFEU FP7