

# A rough guide to the FP7 Work Programmes.

Who can be involved in the preparation?  
What to do, when and how?



MARCH 2008

# A rough guide to the FP7 Work Programmes (EU's seventh Framework Programme for Research).

Who can be involved in the preparation?

What to do, when and how?

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March 2008

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## Preface

I hope that this guide will be useful to anyone who would like, first, to understand the internal process of how the Work Programmes of the seventh Framework Programme are prepared by the Commission and, second, how to set up a strategy for giving constructive input to the Commission in shaping the Work Programmes.

The views put forward in this guide are entirely the personal view of the author.

Even if former colleagues at the Commission have not given input directly to this guide, it would not have been possible to write it without my experience from working there. In this context I would like to thank former colleagues at Directorate-General for Research and in particular Directorate A and its former director Mr Richard Escritt, Ms Clara de la Torre and Mr Brendan Hawdon and their team. I would also like to thank my secretary, Ms Claire Vandenhenden-Mayson, for guiding me through the Commission 'labyrinth' during my four years at the Commission.

Finally, I am grateful that the Ministry of Education and Research and the Swedish Governmental Agency for Innovation Systems (VINNOVA) have given me the opportunity to compile this guide and I would like to thank Ms Margareta Stridh, Ministry of Education and Research, Mr Timothy Chamberlain, Ministry for Foreign Affairs and Mr Björn Kerlin, VINNOVA for all help with editing and making the guide 'readable'.

Brussels, March 2008  
Dan Andrée



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## Summary

The Specific Programmes are the main source for the Commission in preparing the Work Programmes and the Commission ensures a 'one-to-one' mapping between the structure and headings. Nevertheless, it is clear that the Specific Programmes do not give sufficient detail and leave many aspects open to be defined in the Work Programmes, e.g. the 2007 Work Programmes is one way to implement the Specific Programmes but the 2007 Work Programmes could also have been very different while still complying with the legal text.

It should be noted that the Commission is responsible for the implementation of the Framework Programme and is not obliged to consult outside the Commission apart from what has been agreed in the legal basis, such as, for example, the European Technology Platforms and the Programme Committees. Further, the Commission has also on its own initiatives set up Advisory Groups with a mandate to give input to the Work Programmes.

Nevertheless, it is evident that the Commission needs input in order to prepare the Work Programmes. So the question is not WHETHER the Commission needs input, the question is more from whom, when and how the Commission is to get this input?

*Although this guide will indicate a number of opportunities to give input to the Commission in shaping the Work Programmes it should be clear that one should not have false expectations! It is not a straightforward process. However, the process itself, i.e. getting more involved, could also lead to many positive spin-off effects such as new networks and contacts and a better understanding of how the Framework Programme is implemented. The guide could be used as a 'handbook' in order to better understand how the Work Programmes are prepared inside the Commission. With this knowledge any 'stakeholder' should be in a better position to prepare his/her own strategy.*

It is never too late to get involved as there will be a new Work Programme in each of the year 2007–2013 and the budget will increase each year to reach in the maximum in the last year – EUR 10 500 m. In fact, while the overall increase in FP7 compared with FP6 is 60%, during the first four years the increase is a ‘modest’ 35% compared with the last four years (2010–2013), where the increase is 90%!

### *The FP7 Work Programmes*

This guide focuses on the Work Programmes, which are the most important documents to implement FP7 and which are decided by the Commission after opinion from the Programme Committees.

The adoption of the Work Programmes follows the same cycle each year but the timing can change, i.e. it is expected that the Work Programme will be adopted earlier each year – the 2007 Work Programmes were adopted at the end of December 2006, the 2008 Work Programme at the end of November 2007. The 2009 Work Programmes are planned for July 2008 and then remain the same for the Work Programmes 2010 and onwards. The earliest date for adoption would in practice be at the end of June. The timing is determined by the EU Annual Budget as set out in the Financial Regulation.

### *The three phases of the Work Programmes*

*(see the inner circle in figure 1.). Note: the three phases are used only for presentational purposes and do not formally exist. The dates given are also only for guiding purposes.*

#### **Phase 1: External Consultation (section 4.3).**

The Advisory Groups set up for the different parts of FP7 are the most important ‘single’ source for consultation on the Work Programmes. However, it should be noted that although they are set up to give input on the Work Programmes (not on the level of topics but at a more strategic level) they are not formally consulted on the draft texts (in practice many of the Advisory Groups do also give input on the drafts).

The Strategic Research Agendas of the European Technology Platforms have a major influence on the Cooperation Work Programme. The way

the European Technology Platforms influence the Work Programmes is unique in the history of the Framework Programme.

In addition there are also usually a number of different sources for external consultation such as web-based consultations (the result is often 'non-conclusive') and, more importantly expert groups, workshops, conferences and other events. From the 2010 Work Programme the consultation phase is expected to take place during the autumn, from September until November 2008.

## **Phase 2: Preparation of Draft Work Programme – internal consultation (section 4.4).**

The 'research DGs' (Research, Enterprise (space & security), Transport/Energy (parts of energy and transport), Information Society (ICT) and the Joint Research Centre (JRC) have a research budget and 'own' their parts of FP7 but they have to liaise with the 'policy DGs' of the Commission. The policy DGs (such as Environment, Health, Education, Agriculture, Fishery) do not have their own research budget but they give input on their research needs to the 'research DGs.' Important input to the Work Programmes comes from 'bilateral contacts' between 'research' and 'policy DGs'.

There are also contacts between the 'research DGs' and the 'horizontal' DGs such as Budget, Legal Service and Secretariat General, in particular DG Budget, but this concerns mostly issues which are of 'less interest' to 'stakeholders' such as the 'presentation' of the budget and formal legal requirements.

In the end a text has to be produced – and in most cases the text, for one area/topic is drafted by one Project Officers in the Commission with their Heads of Unit being the 'arbitrators'. When a Project Officer sits down, he or she must be confident that all relevant background information is there. What it boils down to is that the Project Officer gets the right information at the appropriate time in order for it to be useful.

When the first draft of a Work Programme exists, the possibility to give input drops significantly. It should be noted that the drafts of e.g. separate themes usually exists much earlier than the draft for the whole Cooperation Work Programme. From the 2010 Work Programme a consolidated draft could be available in april (2009) but drafts for individual themes could be available during the first months of 2009.

### **Phase 3: Adoption (section 4.5).**

The adoption phase starts with the Inter Service Consultation in which the Directorate-Generals are formally consulted and have the ‘possibility’ to block adoption if they are not satisfied. It is not uncommon that ‘policy DGs’ come up with very detailed ‘wish-lists’ of topics to be included.

The Inter Service Consultation is followed by the formal adoption of the opinion of the various Programme Committee configurations. At this stage it is very difficult to make any major changes to the Work Programme but an important aspect can be e.g. to make sure that no ‘topics’ are taken out. There is also the possibility to add ‘key-words’ which in practice can be very important to widening the scope of the topics.

In this phase the Programme Committee members become more ‘important’ as the Commission, in principle, has closed off any other external input.

Finally, after the opinion from the Programme Committee the Commission can formally adopt the Work Programme and immediately afterwards the calls for proposals may be published. From 2009 the adoption should be in July, hence the Inter Service Consultation will have to start around April each year.

*Who can give input on what, when and how?*

**Who** can give input to the Commission (section 5.1)?

Everybody can give input! The most important thing for the Commission is that the input is useable and comes at the right moment – but it is also important to be realistic and not to have unrealistic expectations. Programme Committee members have the potential of having a major impact on the Work Programmes and the same is true for ‘well-coordinated’ stakeholders.

**Which** parts could it be most useful to give input on (section 5.2)?

The most important part of the Work Programmes to give input on is the actual description of the topics. Most of the funds from the Framework Programme are allocated to these topics and the texts describing the topics are ‘completely’ new compared with the legal text. The expected impact connected to each topic is a new feature in FP7 and should also be of major interest to give input on. On the more political level there

are also many horizontal aspects which are of interest, such as SME-participation, dissemination and international cooperation.

**When** is the best time to provide input to the Commission (section 5.3)?

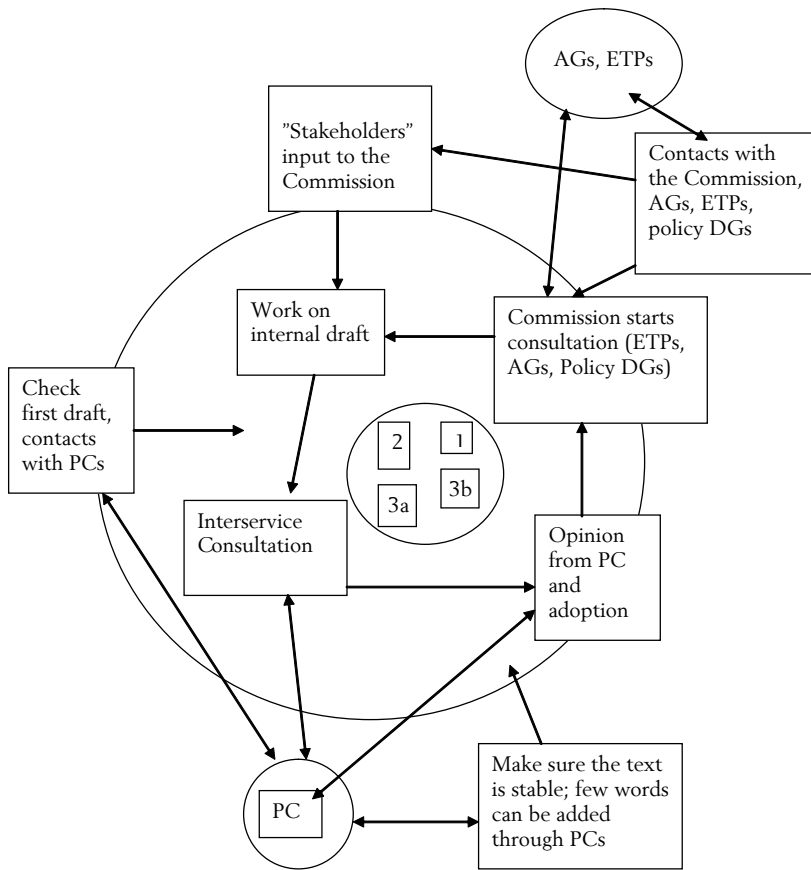
The input to the Work Programme for a specific year should be given as soon as the Work Programme for the previous year has been adopted, e.g. the consultation for the 2009 Work Programme started already in November 2007 and the consultation for the 2010 Work Programme is expected to start already in September 2008. The possibility to give input to the Work Programme gradually decreases and when the first drafts are available there is little possibility to propose new topics.

**How** do you do it (section 5.4)?

Establish a longer-term strategy, articulating what you want to see covered in the Work programme. For Programme Committee members it is important to follow-up the positions put forward during the formal negotiations of FP7 and relate to national programmes. For more 'non-political' stakeholders it is important to be familiar with the legal text and it can be useful to be aware of the positions of the different Member States.

An important part of the longer-term strategy is to establish a network to be used to 'communicate' the input to the Commission. This network should include officials in the Commission, including own nationals, Programme Committee members, Advisory Groups and relevant European Technology Platforms. The long-term strategy should cover the whole life-time of FP7, also taking into account the budget profile.

It is very important to allocate adequate human resources to the implementation of the strategy. For each year a shorter term strategy is needed including details on which topics and other aspects of the Work Programme to give input on. The crucial point is how to communicate the input to the Commission – 'the right input at the appropriate time'! The strategy set up to give input to the Work Programmes and the experience gained should be very useful when it comes to the planning of future Framework Programmes.



The cycle is the same every year but the timing can change. For the 2008 WP:  
 1. December 2006/January 2007      2. April 2007 - July 2007  
 3a. September 2007 - October 2007      3b. November 2007  
 For 2010 WP the Consultation could start as early as September 2008 with the adoption in July 2009.

Figure 1.  
 The preparation of the Work Programmes<sup>2</sup> can be seen as two inter related cycles: the inner-cycle describes the internal Commission preparation where the Commission interact with the stakeholders mainly via the Advisory Groups (AGs), European Technology Platforms (ETPs) and the Programme Committees (PCs). The outer circle indicates when different stakeholders can interact with the Commission.

<sup>2</sup> This guide frequently uses the abbreviations: WP for Work Programme, FP for Framework Programme and SP for Specific Programme. Further abbreviations are listed in annex 5.

## 1. Introduction

2007 was not only the 50-years' celebration of the EU (The Treaties of Rome establishing the European Economic Community (EEC) and the European Atomic Energy Community (Euratom) signed in March 1957); it also marked a historic year for European Research. Twenty-five years ago, on 21 December 1982, Council took the decision on a preparatory phase for a Community Research and Development Programme in the field of Information Technologies (ESPRIT)<sup>3</sup>. Before, research activities were of an ad-hoc nature linked to policy areas such as agriculture, coal, nuclear energy and steel.

It was challenges from the US which prompted initiatives like European Co-operation in the Field of Scientific and Technical Research (COST) and later on EUREKA (a pan-European network for market-oriented, industrial R&D) and ESPRIT and RACE in telecommunications. In that sense the research policy at this time was more re-active than pro-active. It is only in the last 10 years that research policy has become an important political instrument – in fact one of the major instruments for Europe to ensure economic growth and the creation of new jobs. Research policy has also been an important instrument to initiate cooperation during the enlargement process and is still very much an important instrument to form cooperation with countries outside Europe through bilateral agreements.

The budget of the Framework Programme has increased steadily since its start and now stands at around EUR 54 m over the seven years, 2007–2013, which means that FP7 is the world's largest research programme as well as the largest budget administered directly by the European Commission.

The European Research Area (ERA) was launched in 2000 as a key concept to implement the Lisbon strategy (by 2010) and later followed up by the 3% goal (increase spending on R&D to 3% of GNP, whereof 2/3 from private investments) set in Barcelona in 2002. The ERA concept

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<sup>3</sup> Official Journal (OJ) L369, 29/12/1982 P.37-40

encompasses three inter-related aspects:

- a European ‘internal market’ for research, where researchers, technology and knowledge can freely circulate;
- effective European-level coordination of national and regional research activities, programmes and policies; and
- initiatives implemented and funded at European level.

The Commission’s Green Paper<sup>4</sup> on the ERA of April 2007 takes stock and also acknowledges that 2010 should not be seen as an end date and that ERA will be an ongoing process with a ‘moving’ target. The first formal reaction from the Council came at the Competitiveness Council in November 2007<sup>5</sup> acknowledging the advances made since 2000 but noting that faster progress has been achieved by other major regions.

The Framework Programme is the main financial instrument to implement the ERA at EU level but it is clear that many other EU initiatives and in particular initiatives at national and regional level will have to be undertaken. Member States as well as Associated States work together in different fora, notably through CREST (advisory body to the Commission and the European Council).

The preparation of an FP is a long process which takes 3–4 years from the start of the preparation until the first calls can be published. The actual decision process (Council and Parliament) lasts nearly two years and all parties involved are usually much ‘relieved’ when the final legal basis (the Framework Programme, the Specific Programmes and the Rules for Participation) are adopted. However, it should be noted that the funds are distributed through calls for proposal specified in the annual Work Programmes (WPs) and not through the legal basis. It is of course a ‘fact’ that the annual WPs are entirely in line with the legal basis referred to above but the legal acts are not very detailed when it comes to specifying technical content and, topics, and give enormous ‘freedom’ to the Commission when it comes to preparing the WPs.

*This guide addresses the importance of the FP7 annual Work Programmes and why, how and when stakeholders should/could get more actively involved in the process of preparing them.*

<sup>4</sup> COM (2007) 161 final, 4 April 2007.

<sup>5</sup> The Future of Science and Technology in Europe, Council conclusions, 22-23 November 2007, 14865/07 (Presse 259)



## 2. FP7 Implementation and Characteristics

### Implementation

The legislative documents/legal basis for the implementation of FP7 are:

- The EC (2007–2013) and Euratom (2007–2011) Framework Programmes,
- the SPs (EC: Cooperation, Ideas, People, Capacities, JRC EC, Euratom and JRC Euratom) and
- The Rules for Participation (EC and Euratom).

The EC FP (and Rules for Participation) is a co-decision (Council and the EP), the Euratom FP, SPs and Rules are Council decisions (unanimity) and the EC SPs are Council decisions.

In practice all these decisions are a ‘package’ where the Council and the EP have to agree with on the principle that ‘nothing is agreed until everything is agreed’. In this process the task of the Commission is often to act as a mediator and facilitator in the negotiations.

In order to implement a FP a number of other documents must be approved, mainly by the Commission. The process to prepare these documents starts long before the final legal acts are adopted. As an example, the preparation of the 2007 WPs started already at the beginning of 2006, i.e. nearly a year before final adoption. The reason for this is that the adoption of the legal acts is nearly always delayed and, as in the case of the adoption of FP7, the 2007 WPs were adopted only a few days after the legal acts.

The SP Cooperation<sup>6</sup>, Article 6, gives the ‘mandate’ to the Commission:

<sup>6</sup> OJ, 22.02.07, L54

## The SP Cooperation, Article 6

1. The Commission shall draw up a WP for the implementation of this SP, setting out in greater detail the objectives and scientific and technological priorities set out in Annex I, the funding scheme to be used for the topic on which proposals are invited, and the timetable for implementation.
2. The WP shall take account of relevant research activities carried out by the Member States, associated countries and European and international organisations, and the achievement of European added-value as well as the impact on industrial competitiveness and the relevance for other Community policies. It shall be updated where appropriate.
3. Proposals for indirect actions under the funding schemes shall be evaluated and projects shall be selected considering the criteria set out in Article 15(1a) of the rules for participation and dissemination.
4. The WP may identify:
  - (a) organisations that receive subscriptions in the form of a membership fee;
  - (b) support actions for the activities of specific legal entities.

Further, Article 7 sets out the procedure by which the Programme Committee must give its opinion on, e.g., the WPs:

### Article 7

1. The Commission shall be responsible for the implementation of the SP.
2. The management procedure laid down in Article 8(2) shall apply for the adoption of the following measures:
  - (a) the WP referred to in Article 6 including the funding schemes to be used, the content of the calls for proposals as well as the evaluation and selection criteria to be applied.

Some other important documents needed in order to implement FP7 are:

*Legal documents for implementation:*

- Rules for submission, evaluation, selection, award
- Standard model grant agreement

These documents are decided by the Commission without formal input from Council or Parliament. In practice, the Commission takes advice, e.g. for the Grant Agreements an expert group was set up with representatives from Member States.

*Guidance documents:*

- Guidance Notes on Audit Certification
- Guide for beneficiaries
- Guide to Financial Issues
- Guide to Intellectual Property Rights (IPR)
- Checklist for the Consortium Agreement

These documents are ‘service documents’ provided by the Commission.

A number of proposals for Joint Technology Initiatives<sup>7</sup> (JTIs) and Article 169s<sup>8</sup> have been and are expected to be proposed by the Commission but, in principle, FP7 could be implemented without these proposals.

Finally, there are also a number of decisions needed for setting up the two dedicated agencies.

*The FP requires a large number of legal and other documents to be implemented. The decision by the Council and the Parliament on the ‘legal basis’ is only the start of the process to prepare these ‘implementation’ documents.*

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<sup>7</sup> See for example: [http://cordis.europa.eu/fp7/jtis/home\\_en.html](http://cordis.europa.eu/fp7/jtis/home_en.html)

<sup>8</sup> See for example: [http://cordis.europa.eu/fp7/art169\\_en.html](http://cordis.europa.eu/fp7/art169_en.html)

*This guide focuses on the WPs, which are the most important documents to implement FP7 and which are decided by the Commission after opinion from the Programme Committees.*

## *Characteristics*

1 January 2007 saw the start of FP7 which will run from 2007 to-2013.

The budget for the seven-year period is €EUR 50.521 billion for the EC part and while the Euratom budget for the next five years is €EUR 2.7 billion<sup>9</sup>.

Already in June 2004, the Commission launched a debate and a wide consultation which led to the formal FP7 proposal in April 2005 (amended in May/June 2006) and the SPs in September 2005. After the first reading (June 2006) in the European Parliament and the Common Position (September 2006) in Council, the FP7 was approved by the European Parliament on 30 November 2006 and by Council on 18 December 2006. The first calls for proposals were published on 22 December 2006. In response to these calls the Commission received around 26 000 proposals whereof over 9 000 to the European Research Council. During the autumn of 2007 the first projects under FP7 started.

A new element is the simple structure. FP7 is organised into four main programmes:

Cooperation – Collaborative research

Ideas – European Research Council – funding the best of European research

People – Human Potential, Marie Curie Actions (mobility actions)

Capacities – Research Capacity

In addition there is a SP for EURATOM nuclear research and training activities and two for the Joint Research Centre (direct actions in Euratom and non-nuclear activities).

There are important changes in the way the Commission intends to implement FP7. Here, the main issue is simplification of procedures and administration.

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<sup>9</sup> It is expected that EUR 1 310m will be added to cover the years 2012–2013 for the Euratom FP.

And for the first time, the management of a substantial part of the actions is externalised, particularly for those that involve a high number of small transactions such as Marie Curie actions and Small and Medium sized Enterprises (SME) support. These actions will be managed by a dedicated agency, separate from but reporting to the European Commission. The activities of the European Research Council will also be managed by a dedicated agency.

Other new elements in FP7 compared to previous programmes:

- Focus on developing research that meets the needs of European industry, through the work of European Technology Platforms and the new Joint Technology Initiatives
- Development of Regions of Knowledge
- Support to utilise the Research Potential in less favoured regions
- Stronger support to coordination of national/regional research programmes through ERA NET, ERA NET Plus (Cooperation and coordination of research activities carried out at national or regional level), and Article 169.
- A Risk-Sharing Finance Facility aimed at fostering private investment in research
- Integrated approach, meaning that the themes contain all aspects (international cooperation, dissemination, SME activities, flexibility, cross-cutting issues)
- Annual WPs gives comprehensive overview.

Although the budget for FP7 is significantly higher than its predecessor, the budget profile is very uneven, starting in the first year with a budget of around the same order as in the last year of FP6 and ending in 2013 with a budget of more than €EUR 10 billion. The overall increase in FP7 compared with FP6 is 60% but during the first four years the increase is a 'modest' 35% as the last four years (2010 – 2013) where the increase is 90%! This means that during the last four years of FP7 the budget will be nearly equal to 'two FP6'.

Further, during the first years of operation the themes in FP7 will have less funding than for corresponding themes in FP6 as FP7 also contains several new initiatives, notably the European Research Council (ERC). This has a major consequence for the WPs, as will be further elaborated in the following sections.

### FP7 Budget

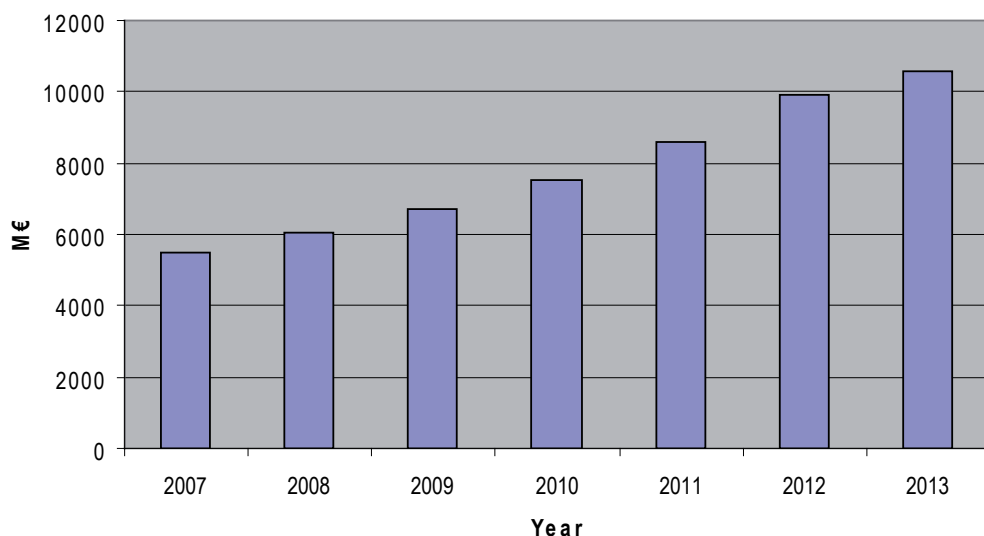


Figure 2.

The budget for the first year, 2007 was ‘only’ just over €EUR 5000m whereas it will be over €EUR 10000m in the last year, 2013. It should be noted that each year the budget is uncommitted. The budget for one year has to be fully committed at the end of that year but payments can be spread out during several years, for example the EUR 5000 million for 2007 had to be committed during 2007 but payments to projects will be spread out from 2008 and onwards.

*FP7 has over 60% higher budget than FP6 but 2/3 of the budget will be allocated during the last four years of FP7, 2010-2013.*

### 3. The EU's Annual Budget Cycle

In order to fully understand the preparation of the WPs it is necessary to be familiar with the general budget cycle of the Commission.

The 'inter-institutional agreement' on the Financial Perspectives for the period 2007–2013 includes the multi-annual financial framework, which establishes annual upper limits (known as 'ceilings') per heading. FP7 is included in heading:

#### 1a. Competitiveness for growth and employment.

Even though this multi-annual framework exists, the execution of the budget requires an annual decision.

Further, even though the final total budget for FP7 is more or less fixed, as well as the breakdown between the themes and the other activities, including a preliminary breakdown for each year, the budget authority comprised of the Council and the Parliament can amend this budget. The Commission can also propose, e.g., to allocate more funding for one theme during one year and to compensate this in the following years.

- The first step to establish a budget for year N starts in the late autumn of year N-2 with an orientation debate with in the Commission in order to establish the Annual Policy Strategy (APS), clearly stating the policy priorities and identifying initiatives which contribute to the achievements of these priorities. The funding level is indicated in the APS but on a very 'high' level (as specified in the Financial Perspectives), e.g. heading 1a. The APS is adopted by mid-February, year N-1.
- In parallel, at the end of January (year N-1) all the DGs are invited to make their requests for appropriations for the following financial year. DG Budget examines the requests and organises 'hearings' and on the basis of these hearings DG BUDGET draws up a proposal for the Preliminary Draft Budget (PDB<sup>10</sup>), which is normally adopted at the end of April.

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<sup>10</sup> Often, even when writing in English, the French acronym is used: APB (Avant-Projet de Budget).

*It is important to note that it is only after the adoption of the PDB that the Commission can, e.g. explicitly mention the budget for year N in, e.g. the WPs.*

- The PDB is then in May/-June sent to the budget authority (Council/Parliament).
- The procedure then starts in Council and Parliament, which normally continues until the end of December when Parliament should finally declare the budget adopted<sup>11</sup>.

As can be understood from the above, this puts some important restrictions on when the WPs for a specific year can be adopted.

The 'theoretical' earliest date for the adoption of a WP for a specific year would be at the beginning of May after the adoption of the PDB. In practice the earliest date would probably be the beginning of June.

It should be noted that there is of course an 'anticipated' budget for all the years 2007–2013 for FP7 but it is believed more or less impossible for the Commission to adopt the WP before the PDB is adopted.

There could be a case for making an exception for the FP, and maybe similar interventions such as the Competitiveness and Innovation Programme, where this rigid annual budget cycle imposes restrictions which influence implementation in a negative way.

However, no major exceptions are likely to happen during the life time of FP7 although this could be an issue to be discussed during the mid-term review of FP7, with a view to having an impact on future FPs.

In practice the problem is even worse, as usually it is not enough to use funds only for a specific year for calls in that year but also parts or all of the budget for the following year. This was the case for e.g. ICT and Health in the 2007 WP where these two themes used up most of the budgets for 2007 and 2008. A complicated and 'non-transparent procedure' had to be used in order to use the budget for the two years.

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<sup>11</sup> This is the reason why a footnote usually has to be included: 'Under the condition that the preliminary draft budget for '2007' is adopted without modifications by the budget authority.' This footnote can be removed when the budget is adopted.



The actual implementation and control of the budget is specified in the Financial Regulation<sup>12</sup> which is decided by the Council and the Parliament.

*The implementation of the FP7 budget has to follow the annual budget cycle set out in the Financial Regulation even though FP7 is a multi-annual programme. It is not anticipated that the Commission would be prepared to make any exception for FP7, as the ‘price’ of not complying with the Financial Regulation could be high.*

It should also be noted that the Financial Regulation puts many other requirements and conditions on the WPs, such as how ‘grants’ can be awarded, how calls can be published, exceptions from calls and how the budget can be presented. DG Budget exercises very strict control during the Inter Service Consultation – see further section 4.4.

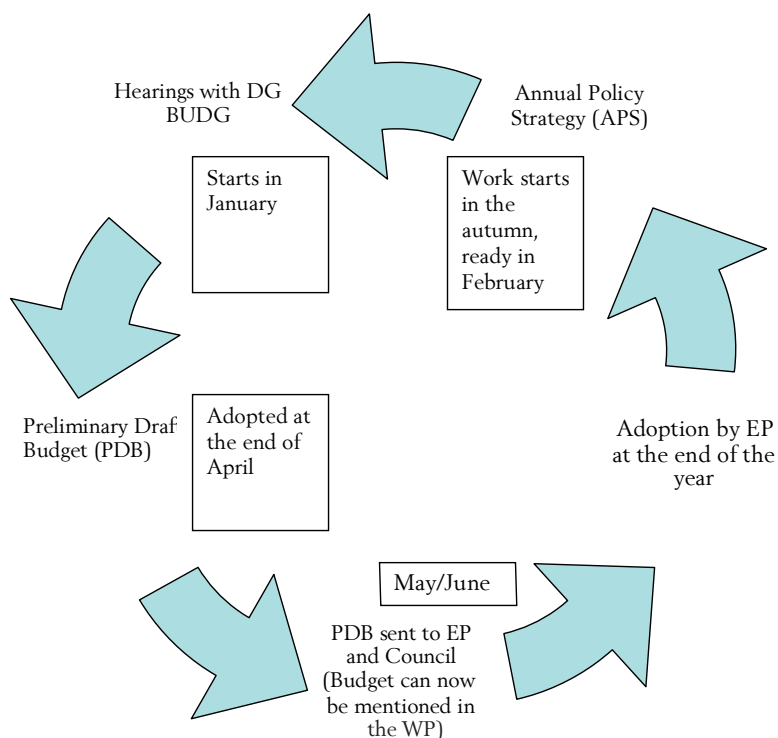


Figure 3.  
The preparation of the WPs has to be aligned with the EU’s Annual Budget Cycle.

<sup>12</sup> Council Regulation (EC, Euratom) No 1605/2002 of 25/06/2002 on the Financial Regulation applicable to the general budget of the European Communities (OJ L 248, 16/09/2002) Amended by: Council Regulation (EC, Euratom) No 1995/2006 of 13/12/2006, OJ L 390 of 30/12/2006.

## 4. The FP7 Work Programmes

Although the description in the following is based on the Cooperation WP<sup>13</sup> it is also largely valid for the other WPs, in particular the Fission part of the Euratom programme but also the parts of the Capacities WP and the People WP. However, it should be noted that the People WP as well as parts of the Capacities WP are mainly bottom-up and some parts of the description below is not applicable. This is even more true for the Ideas/ERC WP which is 'totally' bottom-up and drawn up in liaison with the Scientific Council. Finally, the two JRC WPs also follow another procedure, e.g. involving the Boards of Governors.

Mainly as a consequence of the annual budget cycle in the Commission, which in turn depends on the Financial Regulation, a WP for year N:

- Can only cover the budget for year N
- The budget has to be committed before the end of year N (payments can be spread out)  
i.e. most calls are as early as possible after the adoption
- Can also include planned use of year N+1 budget, but commitments can only be made in year N+1 and the budget cannot be mentioned in the WP until after the adoption of the PDB in May/June of year N<sup>14</sup>.

It should be noted that no funds from FP7 can be committed outside the WPs. The only exceptions are the agreed percentages for administration which are used by the Commission for administrative expenditure to implement the programme.

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<sup>13</sup> Minor changes in the structure and presentation can be expected in future WPs.

<sup>14</sup> This is the reason why there is a footnote in the WPs, such as: 'An amount from the 2008 budget is expected to be added for which a new financing decision to cover the budget for that year will be requested at the appropriate time.'

Another interesting ‘exception’ concerns the areas covered by JTIs and Article 169. The funding for these activities will be ‘lifted’ out from the WP and will not be subject to comitology. The reason for why this can be done is that they are separate Council and Council/Parliament decisions respectively.

#### 4.1 The Work Programme Annual Cycle

The WP for each year follows, in principle, the same yearly cycle, which could be summarised as follows (the different steps are described in more detail in sections 4.3 – 4.5). In order to prepare a WP, the following ‘activities’ can be identified:

- During the first phase there are different types of internal and external consultations.
- During the second phase Commission prepares a draft WP which is followed by
- An internal Inter Service Consultation.
- The FP7 Programme Committees give their formal opinion and
- the final adoption by the Commission can be made after positive opinion from the PCs.
- The Calls for Proposal can be published immediately after adoption by the Commission, but can also be spread.

The 2007 WPs were adopted on 21 December 2006 and there was a ‘big bang’ of calls announced on 22 December. The 2008 WPs were adopted on 29 November 2007 and 32 calls were announced on 30 November. The 2009 WPs is expected to be adopted in July 2008, but some themes might be adopted in the autumn. In principle the ‘theoretical’ earliest date would be in June, due to the internal budget cycle in the Commission.

*It is essential for anyone with ambitions to be involved in the preparation of the FP7 WPs to know and understand the timing of the Annual Cycle!*

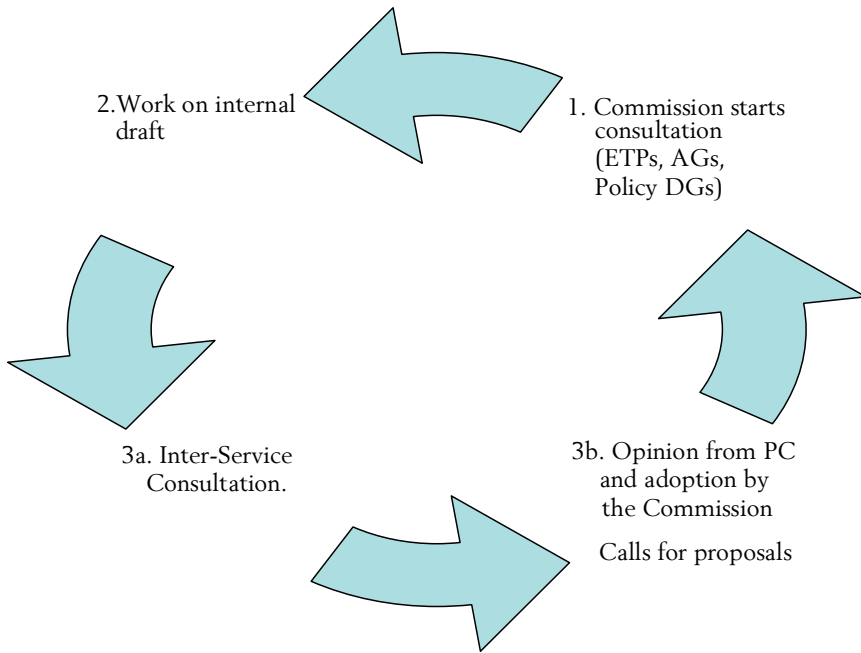


Figure 4. Internal Annual WP Cycle. For 2010 the Consultation (1) could start as early as September 2008 and work on the draft (2) would be in the beginning of 2009 and adoption (3) could be in July 2009.

## 4.2 An 'illustrative example' from the Environment 2007 Work Programme

In the Cooperation SP describing theme 6, Environment, one (sub-) activity is:

### *Natural hazards*

Managing natural disasters requires a multi risk approach, combining risk specific needs with comprehensive planning. There is a need for improved knowledge, methods and integrated framework for the assessment of hazards, vulnerability and risks. Furthermore, mapping, prevention, detection and mitigation strategies including consideration of economic and social factors need to be developed. Disasters related to climate (such as *storms*, droughts, forest fires, landslides, **avalanches**, floods and **other extreme events**), and geological hazards (such as earthquakes, volcanoes and tsunamis) and **their impact** will be studied. This research will allow the underlying processes to be

better understood. It will also allow for the detection, prediction and forecasting methods to be improved on the basis of deterministic and probabilistic approaches. It will underpin the development of early warning and information and **rapid response systems aiming also to reduce the vulnerability of human settlements**. Societal repercussions of major natural hazards will be quantified, **including impacts on ecosystems**.

The text in bold indicates changes introduced during the FP7 negotiations and where one would (or even should) expect Member States to make sure that these 'topics' are included in the WPs.

In the 2007 Cooperation WP this sub-activity was covered by four areas:

Sub-activity 6.1.3. Natural hazards

- Area 6.1.3.1. Hazard assessment, triggering factors and forecasting
- Area 6.1.3.2. Vulnerability assessment and societal impacts
- Area 6.1.3.3. Risk assessment and management
- Area 6.1.3.4. Multi-risk evaluation and mitigation strategies

Already here it can be noted that there is no simple 'one-to-one' match between the text in the SP and the description in the WP. In each area there is one or several topics, e.g. Area 6.1.3.1 has one topic:

Area 6.1.3.1. Hazard assessment, triggering factors and forecasting

ENV.2007.1.3.1.1. European *storm* risk

Storms trigger, on different spatial and temporal scales, natural hazards related to heavy wind, water, snow and ice precipitation, storm surges and landslides. Research is needed to: analyse past European storm events based on a homogeneous database of occurrence and related socio-economic damages, study key circulation structures and changes in dangerous storm occurrence with size and time and their connection to climatological proxy indicators. Analyse and map storm related risks in sensitive European regions (including, when applicable, the outmost regions) taking into account intensity, spatial extent, duration, hazard interaction effects. Consider regional

climate change impacts using output from related research activities. Contribute to the development of a probabilistic mapping and early warning and information system for the multiple risks triggered by storms, supporting long-term disaster reduction as well as timely relief operations.

Funding scheme: collaborative projects (small or medium-scale focused research projects)

Expected impact: Capitalisation and integration of knowledge and know-how; enhanced capacity for disaster anticipation. Better identification, in interaction with key stakeholders, of the sensitive regions of Europe in order to enable preparedness.

Here it can be noted that *storms* are clearly mentioned in the SP **but all the text describing the topic is entirely new**. In addition there is a description of the expected impact which is also ‘new’ text, as compared with the SP, as well as a limitation to ‘small-scale focused research projects’. The description of the topic very much decides **what** kind of research is expected and **which** type of projects can be supported. Even if this is outside the scope of this guide, it raises several interesting questions. Would one alternative be just to keep the heading, ‘European storm risk’, without the further specifications and limitation to funding scheme? In theory the answer could be yes but in practice it would, for budgetary reasons, not be possible to have such a bottom-up approach. In addition the FP has some guiding principles on focusing research where, for example, there is clear European added value.

Another, related issue is that while it is likely that many Member States strongly supported including ‘storms’ as one priority, it is not equally clear that the description in the WP is exactly what they had in mind.

The text under this topic could be a ‘product’ of one or a few Commission officials, possibly through input from different sources such as Advisory Groups or even from individual researchers or combinations. In the end it is the Commission that decides what goes into the WP.

Further, the other topics covered in this sub-activity were:

*ENV.2007.1.3.3.1. Assessing and managing volcanic threat*

*ENV.2007.1.3.3.2. Harmonising avalanche forecasting, risk mapping and warning*

### *ENV.2007.1.3.3.3. Investigating Europe's risk from droughts*

*As well as:*

*ENV.2007.1.3.2.1. Frame for better vulnerability assessment*

*ENV.2007.1.3.4. 1. European (multi) hazard database analysis*

It can be concluded that in the 2007 WP storms, droughts, avalanches and volcanoes are included.

In the foreseen areas for 2008 (set out in Section IV of the 2007 WP), the following areas are mentioned: landslides, floods, geological hazards and earthquakes. It is interesting to note that the only area not expected to be covered in 2007 or 2008 is 'forest fires'.

Looking at the actual 2008 WP the following areas are included: earthquakes, landslides, floods including generation of sediment and associated debris flow. This is well in line with the foreseen areas, neither more, nor less.

*This example shows how important it is for Member States and other stakeholders to get involved in the preparation of the WP in order to follow up the priorities put forward during the negotiations.*

## 4.3 The External Consultation Phase

The new structure, objectives and challenges of FP7 provided an opportunity for the Commission to rethink the way it seeks and obtains advice and takes account of important developments such as the emergence of European Technology Platforms. The FP is a large, complex programme involving many thousands of researchers. As such, it needs to be better known and operate in a transparent manner, and receive wide-ranging and high quality advice in a visible way. At the same time, external advice must be useable, relevant and timely, which requires a clear, simple and manageable structure. The move to a 7-year programme places an additional emphasis on strategic advice.

*It should be noted that the Commission is not obliged to seek advice on the WPs – but on the other hand the Commission has to ensure that the final product is received well among stakeholders – this can be achieved through consultations.*

The advice for the WPs falls into three categories:

- Advice, mainly on topics within the themes of Cooperation, parts of Capacities or People , with some important restrictions/boundaries:
  - compliance with the SP
  - certain continuity with FP6
  - taking into account the budget profile of FP7
  - taking into account priorities set out in previous FP7 WPs
- Cross-cutting and horizontal issues. Cross-cutting aspects have taken on greater prominence in FP7 and include horizontal issues, e.g. international cooperation, SME needs, dissemination/-knowledge transfer and broader public engagement), and cross-thematic areas (i.e. topics which are relevant to more than one theme).
- Purely bottom-up parts such as parts of the Capacities SP, Ideas SP and the People SP where there is considerably less 'freedom' to or change the WP. However, it should be noted that some bottom-up parts, such as SME actions, can also be focused in order to avoid over-subscription.

*Responsibility for obtaining advice.*

The first rule is that advice has to be useful for the 'user' – i.e. the Commission services. The needs are also different in different themes – the nature of research in e.g. health is very different from ICT, hence the need for advice is different. This is the main reason why the themes themselves are responsible for organising advice – they are in the best position to do so.

*There is general guidance on how to obtain advice on the FP7 WPs and some 'minimum' requirements, but the different Directorates responsible for the implementation of each FP7 theme, decide.*

In practice this means that any stakeholder wishing to give input to the FP7 WP would have to establish contact with the theme(s)/part(s) of their interest.



## Work Programme planning.

Advice must fit into the overall planning of the WP, i.e. the annual cycle described in section 4.1, the most important aspects being:

- WPs are adopted annually and at the same time, the 2010 WP is expected to be in July 2009.
- Within such an annual process, all inputs (external and internal) could be received in the autumn (2008 for the 2010 WP).
- Each year's WP normally includes indicative priorities for the next WPs and, if available, outcome from previous years' calls, to provide a starting point for all advice and inputs.

*It should be noted that the input should not be given too early!*

In principle the earliest time would be directly after the adoption of the previous WP. For example, the 2008 WPs were adopted on 29 November and the calls were published on the on 30 November. In principle, input for the 2009 WPs could be 'fed-in' to the Commission from December 2007.

In Section I of the WPs, under the heading 'approach', each theme and part should describe its approach to consultation, e.g.

In the 2008 WP, Environment:

*'The WP is the result of a consultation process with the FP7 Advisory Group and research stakeholders, informal exchanges and spontaneous submissions by Member States, and ad hoc meetings with relevant Technology Platforms and Commission services.'*

In the 2008WP, Health:

*'This WP aims to ensure continuity with the previous programme and to start new activities, within the budgetary constraints, in particular during the first three years of the programme. The content of the research topics selected reflects the input received from different sources, such as the Advisory Group for the Health Theme, the Programme Committee and various scientific conferences and workshops in the sector. In addition, the WP also takes into account the activities launched in FP6.'*

The Commission has undertaken to consult the research community and the two main sources for this advice are

- Advisory Groups (AGs)
- European Technology Platforms (ETPs)

– *Advisory Groups (AGs)* have been set up for each of the FP7 themes in the Cooperation Programme and relevant parts of Capacities (e.g. Science in Society) to provide consistent, consolidated advice for the WP and the theme/area more broadly. Compared to FP6, the AGs have an expanded mandate to include key cross-thematic and cross-priority issues (e.g. international cooperation, SMEs, dissemination/public engagement), and have an appropriate membership to contain the necessary expertise (e.g. members from third countries, from potential user groups, from social-economic and multidisciplinary backgrounds, etc.). The members sit on an AG in their personal capacity and do not represent any organisation or country. The members of the AGs can be found on: ([http://ec.europa.eu/research/fp7/advisory\\_en.html](http://ec.europa.eu/research/fp7/advisory_en.html)); see annex 3 for mandate for AGs.

A possible strategy for any ‘stakeholder’ could be to make contacts with national members of the AGs in order to ‘inform’ them of priorities. It is assumed that these members will be able to use such information in such a way that it does not compromise their role as an AG member. Up to 50% of the members are expected to be renewed after two years so there would also be the possibility to put forward proposals for new names.

One thing to note is that while the AGs give input to the Commission, they are not supposed to comment on the actual WPs. This does not mean that they do not receive drafts and also in many cases offer comments, but that is not their main role. In fact the Commission wants to avoid getting into ‘negotiations’ with any stakeholder on the actual draft as the Commission ‘owns’ the preparation of the WPs. Formally it is only the PCs which can comment on the WPs (apart from the other DGs through the Inter-Service Consultation).

The practical influence of the AGs depends on a number of factors: the commitments of the members of the AGs, the interest from the Commission (i.e. the Director responsible for the theme/part), the

nature of the theme/part (i.e. themes with few ETPs would tend to depend more on input from AGs and in particular 'softer' themes with no ETPs).

A concrete example from the Science in Society Advisory Group, second report, 26 June 2007:

*'As mentioned in the general comments section above and discussed at length in our First Report, this remains the area of the WP, where the Advisory Group identifies the most serious problem. This is, the absence of measures implementing the stated commitment to **two-way communication** – addressing the framing (as well as the dissemination) of science.*

*At a minimum, however, we feel that the commitment should be made to award the next prize under item 11 to an exercise in **two-way communication** concerning the framing of research reflecting the general discussion elsewhere in this commentary – and elaborated also in our First Report.'*

In the final 2008 WP one topic is:

SiS-2008-3.0.5.2 European Research Awards – Prizes for science communication:

Prizes awarded to organisations or individuals that have achieved outstanding results in science communication and which have been selected as winners of awards by European and/or national organisations. In principle, prizes will be awarded in the following categories:

The communicator of the year: scientists or professionals engaged in **two-way communicating** science to the public.

– *European Technology Platforms* are systematically consulted in relevant thematic areas. This can be seen as a real novelty in FP7 compared with FP6 and the experience from 2007 WPs shows that the ETPs have had a real impact on the WPs, [http://cordis.europa.eu/technology-platforms/individual\\_en.html](http://cordis.europa.eu/technology-platforms/individual_en.html); see annex 4 for rationale for obtaining advice from ETPs.

Several countries have established 'mirror' platforms, i.e. a platform in the same area but on a national level. It is beyond the scope of this guide to go into details on ETPs and any mirror platforms but establishing

mirror platforms, initiated by stakeholders in the area, could be seen as a long-term strategy to e.g. have an impact on the WPs.

A study made by the Commission after the first year clearly showed that the strategic research agendas for the ETPs are taken into account in the 2007 WPs even if there are differences between the platforms. There are some advantages for platforms which can be clearly linked to one theme compared with platforms which relates to several themes. It should be noted that the way the ETPs influence the WPs is unique in the history of the FPs. It is probably the single most important source for the Commission with regard to defining the topics in the WPs.

In a way it is not surprising that the ETPs have been given such a prominent role as it would be unfair otherwise compared with the Joint Technology Initiatives (JTIs). The JTIs, which all started as ETPs, are given a dedicated budget over which they have 'complete' control with regards to areas which will be supported.

An example from the 2007 WP:

In the overall goal for the Industrial Safety ETP it is stated:

*'By 2020, industrial safety shall have progressively improved (by a 25 %) in terms of reduction of accidents and diseases at work, control of environmental risks and in production losses due to accidents'.*

*This includes the development of:*

- *advanced detection and monitoring technologies at workplace*
- *secure integrated industrial processes*
- *a global approach all along the life cycle*
- *knowledge on health and environmental effects of nano-particles*

*Basic knowledge, methods and technologies need to be developed in:*

- *Technical issues*
- *Societal issues*
- *Enabling technology development*

In the 2007 WP for Nanosciences, Nanotechnologies, Materials and new Production Technologies (NMP) there are five topics covering these areas, but at the same time the topics are not a simple 'cut and paste' from the Strategic Research Agenda:

*NMP-2007-1.3-1 Specific, easy-to-use portable devices for measurement and analysis*

*NMP-2007-1.3-2 Risk assessment of engineered nano-particles on health and the environment*

*NMP-2007-1.3-3 Scientific review of the data and studies on the potential impact of engineered nano-particles on health, safety and the environment*

*NMP-2007-1.3-4 Creation of a critical and commented database on the health, safety and environmental impact of nano-particles*

*NMP-2007-1.3-5 Coordination in studying the environmental, safety and health impact of engineered nano-particles and nanotechnology based materials and products*

An example from the 2008 WP for NMP Theme (4):

In the 2008 WP there are eight topics under New Production, four of these have been derived from the ETP Manufacture Strategic Research Agenda, one relates to a 'sub-platform' of Manufacture which is dealing with Micro and Nano Manufacture. One topic comes from the SUSCHEM platform and one from the Construction Platform.

Some ETPs have been satisfied with the outcome with regards to coverage in the WP but less satisfied with the outcome of the project selection. However, it should be noted there there is an open competition and the topics are not earmarked for the ETPs but they should have an advantage over other potential applicants. There is a potential overlap between the AGs and the ETPs but the AGs have a much broader mandate whereas the ETPs should concentrate on topics relevant for their own ETP.

- Internet-based consultations. The Directorates are encouraged to use 'targeted' Internet-based consultations in order to reach a broader audience; however, the use of wide online consultations is not recommended as the Commission is often not able to process and use the results. Moreover, it would run the risk of raising expectations which the Commission might not be able to fulfil.

- Expert groups, workshops, events, wider public engagement, etc. organised on defined topics or aspects or making use of outputs from ERA NETs and other fora. In some themes there are ‘established’ groups such as PEER (Partnership for European Environmental Research) which can have a significant impact.
- Expression of Interest was used in the beginning of FP6 but it was decided not to use it, at least in the beginning of FP7. If there is a major ‘demand’ for it the Commission might use it towards the end of FP7 when the budget increases and if one can show a real need for it.

Programme Committees are not formally consulted but in many Programme Committee configurations Road Maps and/or Drafts are discussed and many individual Programme Committee members are active. The discussion on Road Maps, setting out a strategy for the coming years in one theme, are expected to be more wide spread in the future.

One question is the role of European Research Advisory Board (EURAB), or rather the new European Research Area Board (ERAB). In principle they should not play an important role in the consultation on the WPs. They are more a ‘CREST-type’ of body – looking into longer- term policy and advice. However, advice from e.g. ERAB could have an impact in the longer term.

In general the consultation process should be explained, e.g. on Community Research and Development Information Service (CORDIS).

*The consultation phase is important for the Commission to get input to the WPs but stakeholders would have to be pro-active in order to have an impact.*

*The AGs are important sources for input to the WPs.*

*The way the ETPs influence the WPs is unique in the ‘history’ of the FP. For the first time there is real evidence that the stakeholders can play an active part in the preparation of the WPs.*

## 4.4 The Preparation Phase – internal consultation

### *Contacts with the Cabinets*

Before the Inter-Service Consultation is launched the ‘dossier’ must be approved by the respective Cabinets. As the FP gets more ‘political’ and the FP and the SPs contain less detail the more the Cabinets can be expected to be involved in the preparation of the WPs. In fact, this is the main reason for this guide – namely, the political impact of the WPs means that ‘the Ministers’ are likely to be more ‘involved’ in the preparation of the WPs in the future. Commissioner Potočnik has already, from the start of the discussion on FP7, put forward some ‘visions’ such as simplifications, the importance of cross-cutting issues and international cooperation. It is only natural that the Cabinet would like to see these issues well reflected in the WPs and this would mean that the Cabinet would also need to get ‘involved’ at a much earlier stage than just before the ISC is launched. All in all this development should be welcomed – if the WPs are discussed on a more political level inside the Commission, this should also pave the way for a discussion on the same level outside the Commission.

### *Regular contacts between the Research DGs and Policy DGs*

In order to make the formal Inter Service Consultation (see below) easier there are regular contacts between the different DGs.

Although all DGs are more or less on the same ‘level’ one can distinguish between:

- Research DGs (RTD, ENTR, INFSO, TREN, JRC (its role in the ISC is more that of a policy DG))
- Policy DGs (e.g. ENV, SANCO, REGIO, AGRI, FISH, EAC)
- Horizontal DGs (DG BUDG, DG LS (Legal Service) and DG SG (Secretariat General)).

In principle the research DGs 'own' their part of FP7 but they have to take into account the needs of the different policy DGs, particularly for 'unforeseen policy needs' and in areas such as maritime research. To some extent research DGs also have to take into account needs from other research DGs on cross-cutting aspects. Such inputs could include 'emerging needs', international cooperation and research infrastructures (including advice from European Strategy Forum on Research Infrastructures (ESFRI)), and come from foresight studies, reflections on science in society, etc.

There are regular 'bilateral' dialogues between research and policy DGs and between the research DGs.

The discussion between the research DGs reflects the way each DG would like to implement their part of the programme. A 'good' example is the nomenclature for collaborative projects where DG INFSO more or less continues using STREPS and IPs. In the end there is a limit to how much DG RTD can insist on a common nomenclature. Other 'sticky' points are the level of 'taxation' in order to fund activities in Annex 4, in particular the level for activities which are not clearly specified in the SP, such as horizontal ERA-NETs. There are also other issues which could be very difficult and in any case not of interest to anyone outside the Commission services, such as internal administration/staffing etc.

A well-known consequence of this split between DGs is the differences within the Energy and Transport themes, as they are managed by two DGs (RTD and TREN).

Policy DGs are in a way the most interesting and 'complicated' DGs. It is tempting for the policy DGs to draw up a 'wish-list' of areas to be included. However, most DGs are also aware of the limitations and the 'rules of the game'. A well-known case is DG FISH, which in principle would like to see 'fish' in almost all themes. The same is true for maritime research.

The comments from the three DGs BUDG, LS and SG are of more internal 'cuisine'. The most intensive discussion (of all DGs) are normally with DG BUDG and mainly concern how the budget is presented in the WP and in the calls. In this context it should be mentioned that a part of the WP (incl. the calls) is also a financial fiche which is usually of no or little interest to people outside the Commission, as all relevant figures are also in the WP. The financial fiche contains details on how the commitments payments are spread out during the lifetime of FP7.



In fact the main 'obstacle' to greater transparency when it comes to presenting the amount for the calls is DG BUDG, i.e. DG BUDG as guarantor of the Financial Regulation!

### *Internal Draft Work Programme*

The first drafts for a theme/part might exist already in the beginning of the year (for 2010 WP it could be the beginning of 2009) and a consolidated draft of e.g. the Cooperation WP in April ahead of the ISC. The work on the drafts is mainly done in the different directorates with Directorate A in DG RTD as 'coordinator'. At this stage the discussion with the PC will start bearing in mind that there are still likely to be changes as a result of the ISC. Some PCs could start discussions even earlier; it very much depends on a combination of the nature of the theme/part and the 'practice' in the Directorate.

Most of the research DGs (RTD, TREN, ENTR, INFSO, JRC) are reorganised in line with the structure of FP7. This means, for example, that each theme where RTD is responsible has a Directorate with a Director. This is partly a consequence of the Financial Regulation<sup>15</sup>: as each theme has a budget line in the budget it also requires a responsible Director. Further, each of the units within a Directorate would be responsible for one or several areas as defined in the SP. This makes the Heads of Unit some of the most important officials as regards the WPs, as they are responsible for delivering their parts to the respective Director. In practice it is the Project Officers in the unit who are responsible for writing the content.

It is easy to understand that when a Project Officer gets the time to sit down to draft his or her part, and this work has to be done in between all other types of work such as evaluation and monitoring of projects, they need very timely and good quality input in terms of text proposals for topics. The way a Project Officer works will also depend on his/her 'skills' and scientific knowledge in the area. A specialist in the field would of course be able to make own judgements, whereas more of a generalist in the field would have to depend more on 'external' advice/input. A Project Officer would always think European and topics which seem to be too 'earmarked' will usually be left out or in the best case 'neutralised'.

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<sup>15</sup> In fact this is one reason why Joint Calls are complicated as projects supported from two different themes would require the signatures of two Directors and the opinions of two PC configurations.

A Head of Unit 'owns' his/her part of the WP and in practice takes the decision on what goes into and out of the WP. Of course, political pressure could mean that e.g. a Head of Unit is 'forced' by the Director to take on topics.

*The Heads of Unit 'own' their own area(s) and decide what goes into and out of the WP. The policy-oriented DGs can have a significant influence on WPs through their dialogues with the research DGs.*

#### 4.5 The Adoption Phase

*Inter-Service Consultation (ISC).*

The ISC is an important part and step in the procedure for the Commission to adopt a decision. Similar procedures exist in most countries' government procedures to prepare for a decision by the government. All government officials are well aware of the hurdles with this and similar procedures at national level, and the ISC in the Commission is no exception!

The total length of the ISC is usually 15 working days, which in practice means a month if one includes the time to prepare the dossier. But after the formal 15 days it can take several weeks for DG RTD to agree on all amendments proposed and if this agreement cannot be reached at service level it has to be taken up at Cabinet level.

The DGs have a lot of power as the final procedure for adopting the decision in the Commission cannot be launched as long as any DG has a 'reservation'. In practice most issues are resolved at 'service' level but a few outstanding issues might have to be resolved by the Cabinets.

As mentioned before, in parallel with the ISC the Commission has to start discussions with the PCs in order to keep to the time-table, i.e. adoption before the end of the year. This can be a tricky balance for the Commission as they are presenting a draft WP which could change rather a lot as a consequence of the ISC.

## *Formal opinion of Programme Committees*

The opinion from the PC is given on the Commission proposal as revised after the Inter-Service Consultation but before adoption by the Commission. Actually in order to adopt the proposal it is necessary to have an opinion from the PC. As most of those 'involved' know there is very little time during the period between the ISC and adoption, the discussion in the PC often starts before, based on drafts. However, even if the discussion starts ahead of the ISC there is still very little time! In principle it is also very difficult for the Commission to accommodate any substantial changes as this could require a new ISC with serious delays as a consequence.

The role of the PC at this stage is more to be the guarantor that the WPs are in line with the legal basis (FP7/SPs) rather than presenting 'wish lists'.

At this stage it is normally not possible to include completely new topics, but only to change the wording. However, one should not under-estimate the importance of trying to change the wording as a small addition might change the scope of the topics completely.

## *Adoption by the Commission*

After a positive opinion from the PCs the Commission can finally adopt the WPs, which is a procedure which takes around two weeks.

It should be noted that there is no formal obligation to adopt all WPs or not even all parts of a WP at the same time. This is a commitment from the Commission in order to increase transparency and to simplify for stakeholders. One example from the 2007 WPs is that the coherent development of policies in the Capacities WP was withdrawn at the last minute as the budget line for this activity was not ready. There might also be some exceptions in 2009 with later adoption in November for a few themes.

In fact there are many 'forces' trying to split the package, both within DG RTD and outside as different themes and parts would need different time cycles. One reason is budgetary, e.g. the budget for two years is needed to cover one call. However, DG RTD has been firm on this point and insists on the adoption of all WPs at the same time.

## *Publication of calls for proposals*

Immediately after adoption by the Commission, the calls can be published. Normally there is a ‘big bang’ of calls the day after but calls can in principle be spread out during the coming year. The reason for this, as explained before, is that the budget will have to be committed by the end of the year.

*The Inter-Service Consultation is a complicated internal procedure which is not well known outside the Commission. It is an important way for, in particular, the policy DGs to influence FP7. In fact one could say that they are more interested in having an impact on the WPs than the FP/SPs!*

*At the adoption phase – opinion of the PC and formal adoption by the Commission – it is too late to make any major changes in the WP.*

## 5. Who can give input on what, when and how?

This section draws on the description in the previous sections and describes:

- who can give input to the Commission,
- the parts which it could be most useful to give input on,
- when the best time is to provide input to the Commission, and finally
- how to do it.

It should be noted that the description concerns only activities/actions related to the WPs and how to give constructive input to the preparation of the WPs. It does not cover other aspects of e.g. the Programme Committee’s work, such as the selection of projects, evaluation or other comitology issues.

Also, this section concerns mainly the process of how to give input to the WPs rather than the FP/SPs, but the process and the experience should be useful when it comes to the planning of future FPs. Further, it deals with the issue of how to give input on the parts of the WPs which determine how the FP7 funds are allocated to projects. The description relates mainly to the themes in the Cooperation WP but is also applicable to other WPs.

However there are few or no ‘topics’ in the bottom-up parts of FP7 – see the section at the end of 5.2 for some comments on the other WPs.

It should be noted that there is nothing like ‘one size fit all’; all themes and parts of the FP are different and the working method could be different depending on the area.

## 5.1 Who can give input to the Commission?

One simple answer to this question could be: no one, for the reason that the Commission is responsible for drawing up the WPs and the formal opinions from the PCs give very little chance to change the content.

However, as is hopefully clear from the description in the earlier sections, there are much less formal rules for the preparation of the WPs than for e.g. the FP. The answer to the question is therefore: everybody can give input to the WPs!

In this context ‘everybody’ could be interpreted as, e.g.:

- Ministers,
- PC Members,
- organisations (universities, research organisations, enterprises, public organisations, NGOs etc.) and
- individual researchers.

The process to give input to the WPs is very different from the process for the FP/SPs, where there is a short ‘window of opportunity’ to give input to the Commission during the consultation phase and after that the preparation is more or less in the hands of the formal negotiations in Council and Parliament.

As will be discussed in the following sections, the different stakeholders will often be interested in influencing different parts of the WPs, e.g. a minister is not likely to put forward topics but rather be more interested in horizontal issues such as increased participation of SMEs, whereas individual researchers would be more likely to put forward a few very

concrete topics. Further, the strategy for the different stakeholders would be very different.

A ‘golden rule’ is that one should be careful about putting forward input which would only be an advantage for oneself. Instead one should rather formulate the input as being something good for Europe.

Due to the fact that PC members have a formal role, it is clear that they have a very special status. They also have ‘easy access’ to Commission officials. If the PC starts its deliberations on the draft WP at an early stage and PC members are ‘well organised’, it is clear that they can have a substantial impact on the WP. In this context ‘organised’ would mean having an organisation at national level to get advice from stakeholders and also having contacts with ‘like-minded’ PC members.

Even if in principle an individual researcher can give input to the WPs, one should not create false expectations – even with a good strategy it is not straight-forward.

*Everybody can give input to the WPs! The most important thing for the Commission is that the input is useable and comes at the right moment – but it is important to be realistic and not to have unrealistic expectations.*

*PC members have the potential of having a major impact on the WPs.*

*Think European when putting forward input to the Commission.*

## 5.2 Which parts of the Work Programmes are open to input?

This section looks at the parts of the Cooperation WP as described in annex 2 and points out what could be of most interest to give input on in order to have an impact on the way FP7 funds are allocated.

With a few exceptions, such as for Space and Fusion, most of the FP7 funds are allocated to:

- Open calls with well-defined topics – as described in Section II of the WPs.

However, it should be noted that parts of the funds are also allocated through:

- Calls for tenders – often used for impact and other studies, evaluations etc.
- Grants to named beneficiaries – such as Presidency conferences, support to the NCPs, COST, the Delegation Agreements between European Commission and the European Space Agency.

*The most important part to give input on is the actual text describing the topics in Section II of the WP.*

However even if the topics are the most important part to give input on there are several other parts of the WP which could be of interest. In this context, the ‘expected impact’ which is defined for most topics is a new feature in FP7 and is important in the evaluation of the proposals.

In summary the following aspects are the main ones where input could be given to the Commission:

*Calls for proposals, tenders, named beneficiary*

*Topics – impact – funding schemes*

*(Call budget)*

*Horizontal issues:*

*INCO - International Cooperation*

*Targeted calls*

*Specific International Cooperation Activities*

*Cross-cutting issues*

*Coordinated calls*

*Joint Calls*

*SMEs*

*ERA NET/ERA NET PLUS*

*Dissemination*

The rest of this section follows the structure of the Cooperation WP and points out the relevant parts to give input on.

### *General introduction*

In principle it does not make much sense to propose changes in the general introduction as it is a general summary of the approach and principles and is the same for all the themes in the Cooperation WP.

A change in only this part of the WP will not change anything related to the calls. However, as a part of a longer-term strategy, e.g. looking towards dissemination or international cooperation, this part of the WP would also be of interest especially at the more political level. In fact, if one would like to see a major shift in how e.g. international cooperation is dealt with in the WP, it would make sense to first look at the general introduction.

*The introduction should not be the first priority to make changes in as it will not, in the shorter term, change the contents of the calls, but could be of interest as part of a longer-term strategy.*

### SECTION I: Context

For the same reason as indicated above, one should not focus on the **Policy context** as it is mainly a list of important policy issues. It reflects the areas chosen in a given year – it is the rationale.

Much more important is the **Approach section**. Most of the issues mentioned here are of major importance to Member States and their stakeholders. However, it should be noted that any changes in this part should be followed up by subsequent changes in the relevant themes and/or topics. A textual change only in this part will not change the funding or any priorities unless such a change is made in the chapter describing the themes. A couple of examples:

- If one want to see more cross-cutting issues in the WP, it is not enough to change the text in the Context section, i.e. it would require major changes in the description of the topic and the calls. It is expected that the cross-thematic approach will increase through the second half of FP7 through more joint and coordinated calls in areas such as climate change.
- If more emphasis is needed on Dissemination it would mean to include new activities in annex 4 or topics in the themes or maybe changes in the form of calls for tenders.

The same is true for the other horizontal issues: international cooperation and SME relevant research. On for example international cooperation the strategy has not so far been very systematic. This is an area with high political interest and a well prepared input could have considerable impact.



One very important issue is the definition of the funding schemes and the thresholds. This definition very much determines the type of projects to be supported and Member States have not been involved in the discussion. However, it would be very difficult to change this part in the shorter term as any change would certainly require changes in most parts of Section II and III.

The problem here is to strike a balance between being too specific, which in a way helps applicants, and leaving the size of the projects totally open, which would give maximum freedom to the applicant. Being more specific also helps in the evaluation as projects would be of similar sizes, and it would also help in taking into account the overall budget for the call.

Similar restrictions/guidance can be given for the other funding schemes (coordination and support actions and network of excellence).

In relation to the funding schemes, there might also be some formulation on the number of projects to be funded under each topic. One common restriction is that only 'one project is expected to be funded under each topic'. This means that projects with less excellence might be funded as the 'quota' is already filled. This restriction is understandable from an implementation point of view, i.e. to get as many topics covered as possible – but could be questioned on the 'principle' that only the projects of highest quality should be funded. However, this very much influences the selection of projects to be funded and the consequence is that projects of higher quality might not be funded.

It would be fair to say that any major changes in the Context section which implicitly would require changes to most of the themes would be very difficult for the Commission to accommodate, especially at a late stage. It is therefore strongly recommended that any such changes are signalled very early in the process.

The final part of the Context section deals with: *other activities*.

- National Contact Points (NCP).  
This is usually formulated as a restricted call (NCPs) but there are some differences between the themes/parts.

*It would be difficult to make any major changes in this part.*

- Monitoring, Evaluation and Impact Assessment.  
This is an important activity, in particular in relation to the evaluation of FP6 but also on FP7. It can be implemented by means of named beneficiary, calls for tenders and normal calls.

*The Commission has a virtual 'monopoly' on this part of the WP and gets very little input from the outside.*

- Risk Sharing Finance Facility (RSFF)  
The RSFF is funded through a 'tax' on the themes and the Infrastructures part of the Capacities WP.

*It does not make sense to discuss this in each theme and any discussion should be referred to the Specific Configuration.*

*In conclusion, any proposals for major changes in the Context section should be carefully thought through and should be a part of a longer- term strategy, e.g. changing the thresholds for the funding schemes, including more topics suited for SMEs, engaging more partners from International Cooperation Partner Countries etc.*

*A discussion on the thresholds for the funding schemes could be well motivated, especially after the first years' experience. However, it should be acknowledged that the approach will have to differ depending on the theme.*

## SECTION II

This is the core part of the WP. The most important part is the actual description of the topics. The 'topic description' has to fit into the areas defined in the SP and before making any proposal one should carefully study examples from earlier WPs. The input to the Commission should be a text which could directly fit with the WP. It is also recommended to add a 'letter of motivation' or justification for any topic (s) put forward referring to the FP/SP, the European added value, on-going political debate, any Council conclusions, major conferences etc. You have to prove that you are thinking European. Another aspect is the level of details of the topics – a more 'open' topic could be one option (maybe combined with the use of a two-stage submission procedure).

In principle it is also possible to give input on the funding scheme to be used: small and medium scale focused research projects, large-scale integrating projects, network of excellence or coordination and support actions.

The third part is the Expected impact, which is an important criterion in the evaluation. As pointed out in the earlier section this is a new element in FP7 and there is still very little experience of how to define the impact and what the consequences are for the selection of projects. It is strongly recommended to study previous WPs. As for the thresholds for the funding scheme, it should be relevant to have a discussion on the experience gained during the first years of the use of expected impact in the evaluation.

One should also bear in mind the total budget for the call and try to estimate how many projects/topics it could be realistic to have, e.g. it makes little sense to propose 20+ topics for a call where you can expect 5-10 topics.

*This is the most important part of the WP and the description of the topics determines most of the funds from FP7. The 'expected impact' can be very important in the selection of projects to be funded. Be realistic and take into consideration the total budget of the call.*

### SECTION III

There is no new 'content' in this section, as this described in Section II. However there are other important aspects:

The date of publication and deadline: should usually not be a priority to change. However, sometimes the time from the deadline until the evaluation starts could be long. In some cases this could be an argument for e.g. extending a deadline.

The budget for the call: This is very interesting! The budget for a call is usually more or less in the hands of the Director of the theme/part. Normally the budget should be indicated for the whole call but this can easily be bypassed by splitting a call into several calls. The Director might want to keep some flexibility in the final selection procedure, after the evaluation. This flexibility depends on: if one or several projects can be supported (see Section I), how the budget is allocated to the calls (areas). In principle it should be an advantage if there is as little

flexibility as possible as this would be most transparent for applicants. The Director wishes to have some flexibility, e.g. to ensure that enough topics are covered by projects.

The following could be a strategy:

*Regardless of the level at which the budget is set (call, area, activity), only the projects with highest quality should be funded (this might leave some topics unfunded). Alternatively one could say: at least one project in each topic is expected to be funded, which would give some guarantee that each topic will be covered if a project is above the threshold.*

In fact one can ‘play’ with a number of different parameters in order to get different kinds of ‘margin of manoeuvre’: budget on call, area or topic level; number of projects to be funded under each topic, and the prescriptiveness of the funding schemes.

Finally, there is also information in this section on the evaluation procedures and the timetable. There are limited possibilities (and reasons) to make changes here, but one important aspect is whether the evaluation follows a one-stage procedure or a two-stage procedure.

*For most stakeholders this is not the section to concentrate on – however, for PC members there could be reason to look at the budget allocation with regard to the ‘margin of manoeuvre’. You should remember that even if you manage to get a topic in it is of little use if the budget is so low that no projects are funded in the end.*

## SECTION IV

Section IV is an interesting section as any activity mentioned here would certainly have to be included in the next years’ WPs unless there is well-justified reason not to do so. It can therefore be seen as an ‘investment’ for the future to try to get something included here. It could also serve as a buffer for the Commission to include topics here as a compromise. There are of course limits on how many topics can be included here and it would be a danger for the whole WP process if this section were to more or less pre-empt the discussion of the following years’ WPs.

A further development would be to try to open up a discussion on a ‘road map’ for the whole of FP7 but one should avoid removing all flexibility

for the coming years. In some of the themes this discussion has already taken place.

*It probably does not make so much sense to start proposing topics for this section – it should be seen as a negotiating possibility, e.g. in the PCs.*

### *The four annexes*

Annexes 1-3 are more or less the same for all WPs and are not foreseen to change substantially from year to year. The same principle and conclusion as for the general introduction above is also applicable to these annexes, i.e. changes should be proposed as part of a longer-term strategy but with the important addition that Annexes 1-3 also partly depend on the legal text (SPs and the Rules for Participation).

In this context it is not really possible to propose changes in Annex 1: List of International Cooperation Partner Countries, as this list is given by DG RELEX.

Annex 2: Eligibility and Evaluation Criteria for Proposals are partly determined by the Rules for Participation and partly also by the Financial Regulation (definition of selection and award criteria). However, the way in which and the details of how different criteria apply to the different funding schemes could be of interest for Member States to discuss. Any change here would have to be supported by a clear majority in e.g. the PC.

With regards to Annex 3: Forms of Grant and Maximum Reimbursement Rates for Projects Funded through the Cooperation WP, there is only one issue which could be of interest and this is the issue of the use of lump sum and flat rates. The use of these forms is likely to increase later in FP7. As for Annex 2, it would require a majority of Member States or a very strong lobby from, say, the university sector in order to initiate any changes. However, it should be of interest to discuss, e.g., the experiences of using flat rates after a few years.

*There have to be extremely well-motivated concerns in order to get the Commission to make changes in Annexes 1 – 3.*

Annex 4: This is an interesting part of the WP as it represents the only horizontal activities. It is true that there should be a limited number of these activities as the principle in FP7 is to integrate horizontal activities

in the themes. But this principle also has limitations and in justified cases there should be the possibility of different kinds of horizontal actions. One problem, as pointed out earlier, is that as there is no budget for these activities it means that the themes have to be 'taxed' and this is not a straightforward internal procedure.

CORDIS, COST, EUREKA and other research organisations:

There should be limited reason to change this section. However, only the budget for COST is more or less fixed in the legal text the others are not. Depending on the final contract with CORDIS the content of their work could be changed.

The same is true for RFSS where there is very little margin of manoeuvre for the Commission.

The main part to look at in Annex 4 is the ERA NETs and what is not there!

The ERA-NETs are mostly funded within the themes but it is also foreseen to fund ERA-NETs which falls outside the scope of the themes. The first priority should be to have the ERA-NETs in the themes, but if it is clear that the area falls outside the themes they should be included in Annex 4. One interesting aspect could be to look at the possibility to set up ERA NET actions in areas where there are ETPs.

There are a few other actions which could in principle also be included in Annex 4, notably dissemination actions. There is a clear 'legal basis' for this in the SP but it is not an obligation, as these actions could be within the themes only. On the other hand, the higher ambition spelled out in FP7 is still to be shown!

In principle there could be other types of horizontal activities, such as in international cooperation and SMEs, but there has to be a real case for this and it is likely that the Commission would resist this as there is no legal basis and it would be complicated to administer.

*The ERA-NETs in Annex 4 represent a possibility to include areas not directly linked to the themes. As a longer-term strategy it can be of interest to consider other horizontal activities such as dissemination.*

## *Capacities, Ideas, People and Euratom Work Programmes*

As indicated above, this description relates mainly to the Cooperation WP, but it is directly applicable to:

The Fission part of the Euratom WP and Science in Society in the Capacities WP as they are also mainly allocating funds through calls with defined topics.

In the other parts of the FP the WPs have less 'freedom' and consequently there are fewer opportunities to give input. In principle the AGs could be more important, in these 'bottom-up' parts, in order to give advice on strategic issues.

However, several parts of the Capacities Programme narrow the bottom-up approach in domains/areas such as SMEs, Regions of Knowledge and Research Potential.

Further, even if there are no topics there is usually Expected Impact, which could be important for the selection of projects.

Finally, there are of course other types of activities such as conferences, studies, evaluations, impact assessments etc. in these parts and here it could be possible to be pro-active and propose actions.

In general it is more important to liaise with PC members on these parts of the FP.

### 5.3 When to give input to the Commission

(the description in section 5.3 is based on the assumption that the WPs will be adopted in July from the 2009 WP and onwards)

The internal Commission process to prepare the WPs has been described in previous sections. The input to the Commission has to be useful and be delivered at the 'appropriate' time. In general, the input should come as early as possible but if it comes too early it could be considered to be 'too late', as it could be interpreted as input for the the previous year's WP and the Commission is not really in 'receiving mode'!

Looking at the yearly cycle the most important input to the Commission would come during the autumn and should probably not be later than November.

During the first months of the year drafts will be prepared in the Commission. During the Inter-Service Consultation (ISC) process and the PC opinion process in May and June, a limited number of changes can be introduced. At this stage it could be important to be in touch with PC members in order to make sure that, e.g. no topics are removed from drafts and/or changes made in the text of topics which might impose restrictions. In any case, in order to give input to, e.g., a policy DG ahead of the ISC this would have to be done earlier.

As the WPs will be adopted in July it could be confusing to give input to the Commission before that date<sup>16</sup>.

In practice anyone who wants to contribute would carefully have to follow the theme(s) or parts they are interested in as the time table might be slightly different, in particular in view of any online-consultation, work of expert groups etc.

Finally, in order to give this input to the Commission, the stakeholder would normally have to undertake substantial preparations, meaning that work would have to start well ahead of the time when the input is supposed to be given – see the following section.

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<sup>16</sup> Note that the adoption dates have been different for the 2007 and 2008 WPs.



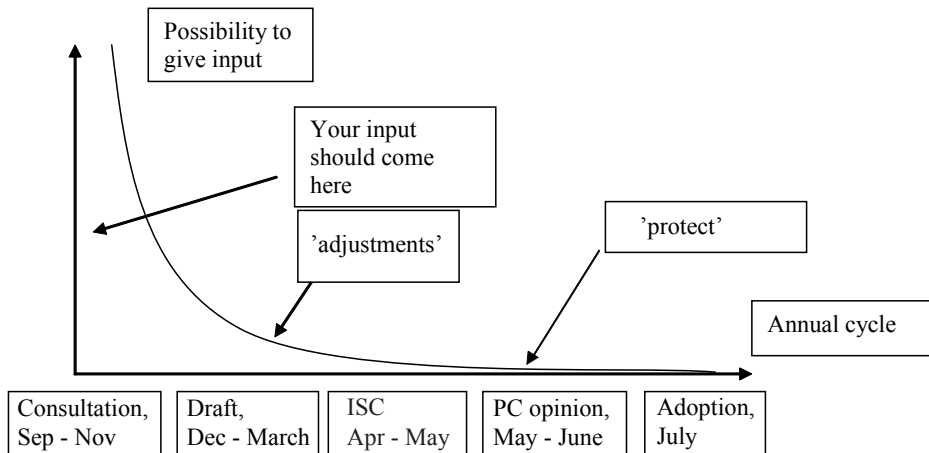


Figure 5. The possibility to have an impact decreases significantly once the first draft is available. The timing assumes adoption in July.

*As a 'rule of thumb' the input to the Commission for the WP year N could be given as soon as the WP for year N-1 is adopted. Preparation for this input would have to start well ahead of this. The possibility to give input to the WP decreases as the dates for the PC opinion and adoption approach.*

#### 5.4 How to do it!

The final section of this guide looks into how a strategy could be developed to make an impact on the WPs. In practice, the strategy would in most cases be very much tailored to the circumstances depending on which stakeholder one is representing and what kind of impact one is looking for.

Below some principles are outlined which hopefully could be useful in establishing such a strategy.

The wording in this section is mainly from a Programme Committee member's point of view, i.e. the more 'political level', but could easily be adapted to other levels such as 'organisation' and 'individual' levels as indicated.

### *Longer-term strategy (2010-2013)*

1. Establish an overall strategy for which parts of the WP you would like to have an impact on – as outlined in section 5.2. The basis for this strategy should be the legal acts (FP, SPs and to some extent Rules for Participation), priorities put forward during the negotiations and other areas within the scope of the SPs which are of importance. This would include thematic areas as well as horizontal and other aspects of the WP, at this stage maybe not specific text for topics but at least titles of topics/areas. For PC members it should not be difficult to develop such a strategy as there is usually very good documentation on the positions put forward during the FP7/SPs negotiations. This could be a strategy for the whole of FP7 in the form of a road map (some themes are actually drawing-up such road maps). As the budget increases each year it might be a good strategy to wait with some topics until later years rather than trying to get them in during the first years.

The longer-term strategy could be drawn-up with input from '(national) reference groups and other stakeholders when appropriate such as 'national mirror ETPs (see section 4.3). Be realistic and concrete, realistic in terms of number of requests (focus) and concrete down to 'topic' level. Do not forget that the WPs contain more than topics and other forms of interventions than calls for proposals such as calls for tenders and named beneficiaries.

The strategy could be divided into two parts: one dealing with more general policy and strategy issues and one dealing with concrete topics/thematic priorities/horizontal issues. This is about articulating the input to the Commission.

Also, note that if one would like to give input on certain parts of the WPs, e.g. the approach to international cooperation, this would require a much more elaborate strategy than, e.g., 'only' giving input on one or two topics.

For PC members it is also important to relate topics/areas to national programmes. It is clear that national programmes and the FP can mutually reinforce each other if they are 'coordinated' and it also helps researchers if they can build their FP participation on existing participation in national programmes. In this context it is also of interest to take into account relevant ERANETs.

For organisations or individuals the strategy does not need to draw on their national positions, but as these are known in the Commission it can be a strength to build on these positions when appropriate. Also, for these stakeholders it should be an advantage to draw on any participation in national programmes in order to benefit from national funding.

Companies usually have their internal strategy and should of course build on it, but could use national priorities in order to strengthen their position.

## 2. Establish a good network:

- Officials in the European Commission responsible for the areas of your interest: research DGs (RTD, JRC, TREN, ENTR, INFSO) and more policy-related DGs such as ENV, REGIO, SANCO, AGRI, EAC, FISH etc. Remember that research DGs are normally responsible for their respective part of the WP whereas the policy DGs give their input to the research DGs sometimes through formalised meetings and certainly during the Inter-Service Consultation. Depending on the circumstances the contacts could be at any level – Director – Head of Unit – Policy Officer. In general many practical contacts would be at Policy Officer level, bearing in mind that the Head of Unit ‘owns’ his/her area(s).
- Your ‘own’ nationals in the Commission regardless of area, as these persons can act as intermediaries and can usually give advice on whom to contact. It should be noted that your ‘own’ nationals will be loyal to the Commission and they know how to handle any conflict of interest.
- PC members, especially those from countries who are ‘like-minded’. The countries can vary depending on the different themes/parts. Of special interest could be to form alliances with members from the EU12(the last 12 Member-States to join). As their participation is still on the low side there should be a case to include topics ‘suited’ to the new Member States competence. This argument could also be true for some of the Associated States. It should be clear that this is not about accepting lower quality project but choosing topics with a specific profile. In particular it is important for organisations/individuals to establish contacts with their ‘own’ PC member and/or NCPs.

- Other stakeholders in Brussels, such as regional offices and R&D liaison offices, industrial organisations, depending on the area.
- In many themes there are established groups/organisation such as the PEER (Partnership for European Environmental Research) in Environment and it is important to make an inventory of any such groupings.
- Members of Advisory Groups: – it should be remembered that these experts are members of the AGs in their own personal capacity and do not represent any organisation or country. However, there is nothing to prevent you from inviting them to meetings and/or informing them of your position. As many members will be replaced after two years a part of the strategy could also be to propose new names.
- Members of relevant European Technology Platforms: – one cannot stress the importance of the ETPs enough and it is strongly advised to liaise with the appropriate platforms and in particular to establish contacts with your own nationals in these platforms. Note also the possibility of establishing mirror platforms as a strategy – see section 4.3. It could also be useful to establish contacts with relevant JTIs.
- Parliament and members of the EP have not featured very much in this guide for the reason that the EP does not have a formal role in the implementation of the FP but individual members could of course contribute. However, on one point the EP has a major say, i.e. on the annual budget. In principle the EP could change the priorities for one year but it will have to respect the indicative breakdown, i.e. if a theme gets a higher budget one year this would have to be corrected in later years. As part of a longer-term strategy it could be relevant to establish contact also with Member of the European Parliament (MEPs) in particular if your interests are in the more political part of the WP. In this context it can be mentioned that MEPs, in their personal capacity could and should be involved.
- Participants/coordinators of earlier FP-projects often provide input to the Commission in their own field of expertise. In this context it could also be of interest to make contacts with national funding agencies involved in ERA NET projects.

- Evaluators are important not from the point of view of influencing the selection procedure but from an experience point of view. They get valuable experience and can give advice on e.g. how to formulate the topics and the expected impact.

The network and the way the network is used depend strongly on which stakeholder you are - it is about forming 'strategic alliances'. A Minister would normally liaise with like-minded countries, depending on the issue. The same is true for PC members. PC members would also have to set up and use a national network, i.e. consult their national stakeholders and also be aware of national priorities.

Other stakeholders should where appropriate make contact with their 'own' PC members/NCPs, e.g. to make sure that topics included in earlier drafts are not taken out. PC members can also at a late stage always influence the wording of topics, which could be important for the selection of projects. Normally stakeholders would also have to liaise with similar stakeholders in other countries and/or international organisations/associations.

For some actors, e.g. large companies, it is normal to have a strategy. For their participation in the FP as this would be a part of their business strategy. However, a more-longer term strategy could be useful in order to have a larger impact on the FP/WP.

It is felt that some of the universities do not have a strategy for their participation and leave this to the individual researchers. There are probably many advantages to this 'non-strategy' but it should not rule out the need for a university as a whole to have a clear strategy relating to its own excellence. One strategy could for example be to try to influence the WPs so as to fit with participation in national programmes.

Universities and companies should make sure that they have links to national PC members through unofficial channels or more official ones such as reference groups. Through international contacts with other similar organisations this will also lead to indirect contacts with other countries' PC members as well.

### 3. Allocate human resources

Developing the strategy outlined above is the 'easy' part – the more difficult part is to implement the strategy as it requires resources. It is very

difficult to give any estimates of how much time would be needed, as it would very much depend on the type of stakeholder and the ambitions. During the first year or so when the overall strategy is developed and all the necessary contacts are established, it could require a substantial effort depending on the level one is starting from. After this initial work the work load should level out. However, the strategy should be seen as an investment.

At the beginning of Swedish membership of the EU, some estimates were made of how much time each PC member allocated to the work of the PCs, not including the type of work described in this guide. It turned out that the actual time varied between 5 and 50 %, but it was felt that around 30% would be a 'minimum'. If the work outlined here were to be included, the total work load would of course increase. On the other hand the work should also be divided among several people rather than only PC members such as experts and NCPs.

#### *Shorter-term strategy (next years' WPs)*

This is really about deciding What input should be given to Who and When. Do not wait for a draft from the Commission – be pro-active. When the first draft is out most of the WP is already 'carved in stone'. When the draft is out you are in the business of protecting what is already there or adding words.

Think about the timing, i.e. the annual cycle of the WPs.

Be realistic – do not make up a wish list, be concrete and focus on your priorities.

Relate to ongoing political discussion, Council conclusions e.g. energy/ climate change, terrorist threats, etc.

You cannot change the priorities set out in the SPs but you can:

- make your own interpretation
- argue that some priorities should be called now rather than in a few years' time.

Do not forget the budget allocation to each area/call. This can be at least as important as including topics, as without an appropriate budget very few projects will be supported. You have to be active within your own country, in other Member States and of course in Brussels. However,

this is not the time to establish a network; this is the time to use the established network! Just as important as providing good quality input to the Commission is how it is communicated. Do not forget to motivate/justify your 'requests'. The Commission is often asked to motivate why a topic is included in the WP in e.g. the PC and if your 'request' does not contain such a motivation it has little likelihood to get the way into the WP. Think European and try to 'sell' your topic. In most cases it is a strength to communicate it through 'established' networks, groups, organisations or associations. In this context the PC members are very important. You can of course put forward a topic as an individual – but you have to make a very strong case.

Liaise with 'like-minded' but one should note that this is not about negotiations, such as in Council where countries can agree to mutually support each other ('if you support me now I will support you later'). Such tactic is less likely to work in this context as it is more about 'convincing' the Commission.

One concrete way to have an impact is to organise a seminar or a workshop in Brussels around an area or topics which are expected to be included in the next WP. However, be realistic and do not aim for a large seminar. It is not the quantity of participants which counts, it is the quality! There is a tendency to overestimate how many people would be interested in a given seminar. Maybe the best form is often a 'round table' discussion, making sure that a handful of people from the Commission are present, especially the Heads of Unit. If such a workshop focuses on relevant topics and relevant stakeholders are taking part this could have a real impact on the WP. You should also find out about work shops/seminars which are relevant for you.

## *Timetable*

Longer-term strategy setting up a road map for FP7 and establishing a network.



Shorter-term strategy adapted to the annual WP cycle



Assuming that work is started during, e.g., the spring of 2008 this should enable a longer-term strategy to be ready by the autumn of 2008, although the network might still not be fully operational.

The shorter-term strategy could start giving real input ahead of the 2010 WP where the consultation should start in the autumn of 2008 and should be adopted in July 2009.



## Annex 1: Cooperation Work Programme

### TERMINOLOGY

Theme*	Each chapter of the Cooperation SP, which are numbered as in the legislative proposal e.g. 1. Health; 2. Food, Agriculture and Biotechnology; etc.
[Sub-theme]	May be used if a Theme is divided into different parts, e.g. the Transport Theme has sub-themes on Aeronautics, Surface Transport, Galileo.
Activity*	Each bullet point in the SP, normally corresponds to an activity, e.g. Theme 2 Food, Agriculture and Biotechnology has 'Activity 2.1:Sustainable production and management of biological resources...'. Theme 6 Environment (including climate change) has 'Activity 6.1.1 Climate change, pollution and risks: Pressures on environment and climate'.
[Area]	May be used to describe a part of an activity which includes a number of research topics within an Activity.
Topic	The level at which proposals are called which has a unique reference number and title. In cases where a call is bottom-up and does not define the scientific and technical content, a call may be at the level of an activity.
Funding scheme*	Refers to Networks of Excellence, Collaborative Projects, Coordination and Support Actions etc., as defined in Annex III to the FP.
Specific approach	Applies to International Cooperation Specific Actions, ERA-NET and ERA-NET Plus.
Action*	Refers to individual project, network or grant agreement.

\* These terms have been defined or standardised in the legislative proposals (FP7, SPs, Rules for Participation).

## Annex 2: Work Programme structure and content General Introduction

- 1 Health
- 2 Food, Agriculture and Fisheries, and Biotechnology
- 3 Information and Communication Technologies
- 4 Nanosciences, Nanotechnologies, Materials and new Production Technologies
- 5 Energy
- 6 Environment (including Climate Change)
- 7 Transport (including Aeronautics)
- 8 Socioeconomic Sciences and the Humanities
- 9 Space
- 10 Security

**Annex 1: International Cooperation Partner Countries**

**Annex 2: Eligibility and Evaluation Criteria for Proposals**

**Annex 3: Forms of Grant and Maximum Reimbursement Rates for Projects Funded Through the Cooperation Work Programme**

**Annex 4: General Activities**

### *THE STRUCTURE OF THE COOPERATION WP*

- The General Introduction focuses on the innovations introduced during the year, and refer to relevant major initiatives (e.g. new Art 169/ 171s launched), developments in European research policy and developments in how the FP is being implemented (e.g. new guidance documents).

The General Introduction contains guidance for applicants on issues such as Cross-Cutting Issues; Pluridisciplinary and Cross-Thematic Research, Including Joint Calls; Adaptation to Evolving Needs and Opportunities; Dissemination, Knowledge Transfer, Broader Engagement and Gender; SME Participation; Ethical Aspects; Collaborative Research; Joint Technology Initiatives; Coordination of

non-Community Research Programmes; International Cooperation; Risk-Sharing Finance Facility; Submitting a Proposal and Evaluation Criteria and Related Issues.

### *The 'Thematic Chapters' (1-10)*

The ten chapters on the themes follow the same structure although they are not 100% aligned. It is expected that there will be more harmonisation year by year and already in the 2008 WPs some improvements are made, in particular on aspects such as layout, style and presentation, making sure that the descriptions in Sections II and III of the WP are fully coherent, such as the presentation of e.g. international cooperation, presentation of JTI and Article 169 initiatives, and inclusions of coordinated and joint calls.

NOTE: The description below is based on theme 6. Environment in the 2007 WP and the examples (in italics) are taken from that theme.

## **Section I: Context**

### *Objective*

The objective should be exactly the same as in the SP.

### *Policy context*

Should give an overview of relevant policy developments in the field and current issues (discussed e.g. in the Council, the European Parliament or at international level such as Climate Change.)

### *Approach*

Gives an explanation of the structure, the focus of calls during the year and what activities (and areas) are open during the year. All themes, are also supposed to give a 'rationale' for all the various horizontal issues such as:

- SME-relevant research: describing the approach to including SMEs and also listing any calls/ areas of particular relevance to SMEs, e.g.

*(ENV.2007.3.1.1.1. Innovative technologies and services for sustainable water use in industries*

*ENV.2007.3.1.1.2. Technologies for measuring and monitoring networks)*

- International Cooperation: describing the approach to international cooperation and also indicating specific international cooperation calls and/or areas of particular relevance/interest to third country participation, e.g.

*(ENV.2007.1.1.5.3. Past and future climate change impacts in the Parana-Plata river basin of South America  
ENV.2007.1.2.2.3. Health impacts of drought and desertification including related socio-economic aspects)*

- Cross-thematic approaches: indicating cross-thematic topics, any use of joint or coordinated calls, and cross-references to other themes when relevant. Three types of coordinated calls are foreseen: coordinated calls, joint calls and coordinated international calls. The 2007 WP had a very limited number of such calls but it is expected that the number will increase and in the future. It should be noted that these calls are only used when there is a need. Much time has been spent during the negotiations in defining the topics and there should be a limited need for such calls. Equally important as coordinated/joint calls is a description of related topics in other parts of the Cooperation Programme, e.g.

*In the activity of environmental technologies, the water, waste, and built environment related areas are coordinated and complementary with the Theme 'Nanosciences, Nanotechnologies, Materials and Production Technologies'. Complementary research to risk assessment of chemicals and alternative strategies for testing is carried out in the Theme 'Health'.*

- Dissemination actions: indicating actions to promote dissemination (including to policy makers), knowledge transfer and public engagement, e.g.

*(ENV.2007.1.1.6.4. Exploitation and dissemination of climate change research results and public perception  
ENV.2007.2.2.1.7. Promoting access to information across marine themes)*

In addition there should be a description of actions promoting 'coordination of national programmes', e.g. the ERA-NET and ERA-NET + schemes and any other activities; (joint calls) whether and how any emerging needs/ unforeseen policy needs are included; cross references to any JTI/ Art. 169s (if relevant); and how consultations and advice were used in defining the priorities, e.g.

*(ENV.2007.1.1.5.1. Climate change impacts and adaptation strategies in water policies  
ENV.2007.1.1.6.1. Full costs of climate change)*

Finally, there should be a list of any funding without calls, i.e. named beneficiaries. This possibility is given by Article 6.4 in the SP:

4. *The WP may identify:*

- (a) organisations that receive subscriptions in the form of a membership fee;*
- (b) support actions for the activities of specific legal entities.*

Such funding can be used e.g. for supporting Presidency conferences or other ‘mandatory’ conferences. It is also used to support the COST Secretariat and some themes have used it to support the NCP network. The amount is usually small in comparison to the whole budget but there are exceptions such as support for the European Space Agency in the Space Theme.

Each theme should also describe its approach to the use of the funding schemes. The FP7 legal text, specifies:

*‘Support for research projects carried out by consortia with participants from different countries, aiming at developing new knowledge, new technology, products, demonstration activities or common resources for research. The size, scope and internal organisation of projects can vary from field to field and from topic to topic. Projects can range from small or medium-scale focused research actions to large-scale integrating projects for achieving a defined objective. Projects will also be targeted to special groups such as SMEs and other smaller actors’.*

Further, the Introduction to the 2007 WP states:

*‘Collaborative projects can range from small or medium-scale focused research actions, to large-scale integrating projects. When a distinction is made between these two types of projects, it will be based – unless specifically otherwise stated – on the size of the Community contribution requested. The related thresholds may vary for each Theme, and will be specified in the relevant parts of this WP. It is important to note that these thresholds will constitute eligibility criteria. Additional qualitative aspects may also be given in the relevant parts of this WP with respect to collaborative projects.’*

The 2007 Environment WP states:

*Funding schemes The WP will be implemented through a range of funding schemes as specified in each topic description. The following funding thresholds will apply to different types of projects:*

*Collaborative projects in this WP have been divided into a) small or medium-scale focused research projects, and b) large-scale integrating projects:*

*For small or medium-scale focused research projects, the requested Community contribution shall not exceed 3.5 million Euros, unless otherwise indicated in the topic description. For small or medium-scale focused research projects under the subactivity 6.4.2 'Forecasting methods and assessment tools for sustainable development taking into account differing scales of observation' the requested Community contribution shall not exceed 2 million Euros.*

*For large-scale integrating projects the requested Community contribution shall be from 4 up to 7 million Euros, unless otherwise specified in the topic description.*

Another important restriction is made, e.g. from the Environment theme:

*'Particularly, in the case of large-scale integrating collaborative projects and networks of excellence only one project will be retained per topic'.*

It is very important to note that the 'definition' of the funding schemes is different in the different themes.

## **Other activities**

*Risk Sharing Finance Facility (RSFF).*

The RSFF is funded through a 'tax' on the themes and the Infrastructures part of the Capacities WP. This is for general information as the substance of the RSFF is included in Annex 4.

*National Contact Points (NCP).*

This is usually formulated as a restricted call (NCPs) but there are some differences between the themes/parts.

### *Monitoring, Evaluation and Impact Assessment*

This is an important activity, in particular in relation to the evaluation of FP6 but also on FP7. It can be implemented by means of named beneficiary, calls for tenders and normal calls.

*Support to the 2007 activities of the GEO Secretariat (given as an example as it is only relevant in the Environment theme)*

In most of the themes there are some very specific actions such as the 'GEO Secretariat' in Environment and the ESA in the Space Theme.

### *External expertise*

From the Environment WP:

- The use of external assistance (by 'Project Technical Assistants') as necessary to enable detailed, prompt, pro-active, and scientifically competent following of the projects by the Commission (to be implemented through public procurement).
- The use of appointed external experts for the evaluation of project proposals and, where appropriate, for the reviewing of running projects.
- The set up of groups of external experts to advise on or support the design and implementation of Community research policy.

## **Section II Content**

Section II of the WP describes the content of the calls in a given year. The structure closely follows the structure in the SP which means that the number of levels can differ depending on the SP. In fact the text found here is mainly a description of topics:

### *ENV.2007.1.1.1.1. Stability of the Thermohaline Circulation*

*Integrated observation and process studies in key regions (e.g. the Arctic and sub-Arctic), modelling and palaeo-studies to assess the risk of the breakdown or sudden reduction of the thermo-haline circulation. Feedback with stability of ice-sheets in polar regions, changes and variability in atmospheric circulation and the hydrological cycle should be included. The participation of international cooperation partner countries (e.g. Russia) is encouraged. This topic is also a contribution to the International Polar Year.*

Description of the funding scheme:

*Collaborative projects (large-scale integrating projects) (Community contribution from 4 to 10 million Euros)*

And the expected impact:

*Much improved quantification of the risk, time horizon and possible scenarios for Thermohaline Circulation breakdown and related abrupt/rapid climatic change; understand the influence of ice sheets melting on THC; predict the THC in the future.*

The text concerning the funding scheme and/or the expected impact can cover one topic or can be given at a higher level, e.g. activity.

Finally an indicative budget is also given:

*Indicative available budget: 36 M*

The budget can also be indicated at a different level normally not at topic level but at the whole call or activity level. By considering the number of topics and the description of the funding schemes it is usually possible to estimate the number of expected projects to be supported.

In many cases it is only the title of the topics which stems from the SP, the actual text under the topics and the 'Expected' impact is totally new. In some cases the topic text/impact also reflects the 'spirit' as described in the 'Context' section (policy and approach).

### **Section III: Implementation of calls.**

Most of the information is contained in Section II but some important new details are added:

The date of publication and the deadline.

*Date of publication: 22 December 2006*

*Deadline: 2 May 2007 at 17:00, Brussels local time*



Indicative budget: EUR 200 million from the 2007 budget

Topics called:

<i>Activity/Area</i>	<i>Topics called</i>	<i>Funding schemes</i>
<i>Activity 6.1.</i>		
<i>Sub-activity 6.1.1. Pressures on environment and climate</i>		
<i>1.1.1.</i>	<i>ENV.2007.1.1.1.1. Stability of the ThermoHaline Circulation</i>	<i>Collaborative projects (large-scale integrating projects)</i>
<i>1.1.2.</i>	<i>ENV.2007.1.1.2.1. Megacities and regional hot-spots air quality and climate</i>	<i>Collaborative projects (small or medium-scale focused research projects)</i>

*Evaluation procedure:*

- A one-stage submission procedure will be followed.*
- Proposals may be evaluated remotely.*
- The evaluation criteria (including weights and thresholds) and sub-criteria together with the eligibility, selection and aware criteria for the different funding schemes are set out in annex 2 to this WP*

*Indicative evaluation and contractual timetable:*

*Evaluations are expected to be carried out during the month of May-June 2007. It is expected that the contract negotiations for the short-listed proposals will be opened in June/July 2007. A reserve list may be established.*

*Consortia agreements:*

*Participants in collaborative projects (large-scale integrating projects) and in the Networks of Excellence are required to conclude consortium agreements.*

*Particular requirements for participation, evaluation and implementation:*

*The minimum number of participating legal entities for all funding schemes is set out in the Rules for Participation.*

## Section IV: Indicative topics for future years

It could be tempting, for the Commission, to use this section for areas which can not be accommodated in the current year but where there is a strong pressure, e.g. from a policy DG. However, any area mentioned in this section would have consequences for the following year's WP.

*Activity: CLIMATE CHANGE, POLLUTION, AND RISKS*

*Sub-activity: Pressures on environment and climate*

- *Sea-level rise and climate change*
- *Earth system dynamics: Palaeoenvironmental analysis*

## Annex 4: General Activities (based on 2007 WP)

This Annex is a kind of 'compromise', i.e. to find a way to present activities which are horizontal across the themes and also activities where there are no budgets decided on the FP7/SP-level.

The Council and the EP have decided on the budget break down for the Cooperation SP into ten themes. In addition there is also a budget for COST and the RSFF. There are also a number of other activities which need a budget in order to be implemented: services offered by CORDIS, EUREKA and any bottom-up ERA-NET activities. As all funds are allocated to the ten themes it is necessary to 'tax' the ten themes in order to implement the 'horizontal' activities. The total amount for RFSS is known and in principle also for COST, but the decision does not give the yearly breakdown. For the other activities there are no budgets decided at all. All this leads to complicated internal procedures to agree to a 'tax' for each year. This problem is more pronounced at the beginning of FP7 when the yearly budget is rather low and should be less of a problem in the second half of FP7.

There would be less of a problem if all themes were administrated by DG RTD but as around 30% are administrated by DG INFSO (ICT) and around 7% each by DG ENTR (Space and Security) and DG TREN (parts of Energy and Transport), there has to be an agreement between all four services on the 'taxation'.

To illustrate the problem, it would maybe have been practical to give most of the EUR 210m to COST in one contract rather than spreading it out over all seven years. However, this was more or less impossible as it would have meant such a heavy tax on the themes in 2007.

The activities which are funded across the Programme are:

Dissemination, knowledge transfer and broader engagement

1. Description of CORDIS services. This is a special arrangement with one of the Commission services, the Office for Official Publications of the European Communities (OPOCE). For the first year it is set at EUR 7m.

Co-ordination of non-Community research programmes

2. The horizontal ERA-NET scheme
3. Research organisations in the EU  
Coordination and support actions to support EUREKA and other research organisations.
4. Strengthened coordination with EUREKA
5. Scientific and technological cooperation activities carried out in COST

The Community's funding to COST under FP7 is specified in the Cooperation SP, with a first instalment of EUR 30m agreed in 2007 and a further EUR 30m in 2008. This financial support is provided through a grant which is paid on the basis of a grant agreement between the Commission and the European Science Foundation, the legal entity designated by COST as its implementing agent, and communicated to the Commission by the General Secretariat of the Council.

Risk-Sharing Finance Facility

6. Contribution to the European Investment Bank (EIB)

### **The ERA-net scheme**

In contrast to FP6, the ERA-NET scheme is no longer a 'stand-alone' action in FP7. It is an implementation tool, which will be used mainly in the context of the Cooperation SP, but also in parts of the Capacities Programme.

Where the actions are of a horizontal nature or are not directly linked to the Cooperation themes, they will be supported jointly across all of the themes.

More precisely, the Cooperation SP says:

‘Where the actions are within the scope of one of the themes, they will be supported as an integral part of the activities under that theme. Where the actions are of a horizontal nature or not directly linked to the ten themes, they will be supported jointly across all of the relevant themes.

Where the actions are within the scope of another SP implementing the Seventh FP, they will be supported under that SP.’

However no budget has been decided for these ERA NET actions and the budget has to be agreed on a yearly basis as a ‘taxation’ of the themes.

Further, Annex 4 contains a rather lengthy text on a number of issues (both for ERA-NET and for ERA-NET + activities) including a description of the ,Eligibility/Funding Scheme, Technical content/scope, Activities funded [(i) Information exchange, (ii) Definition and preparation of joint activities, (iii) Implementation of joint activities and (iv) Funding of joint trans-national research] and Expected impact.

Finally on ERA-NET, the 2007 WP also contained some calls for tenders/proposals for studies and conferences.

### **Risk-sharing finance facility**

In accordance with Annex III of the Cooperation SP, the Community will provide a contribution to the European Investment Bank (EIB). This contribution will contribute to the Community’s objective to foster private sector investment in research, technological development and demonstration (RTD) as well as innovation through a Community contribution to a Risk-Sharing Finance Facility (RSFF), a financing instrument established by the European Investment Bank.

In compliance with Annex II to the 7th FP, the Community financial contribution to RSFF from the abovementioned contributing themes of the Cooperation Programme will be an amount of up to EUR 400m in the years until 2010.

The Community financial contribution to RSFF from the Cooperation Programme may reach a maximum amount of EUR 800m for 2007-2013.

In order to send a strong signal of the Community commitment to RSFF in line with the mandate from the Council, the Commission will commit, in 2007, an amount of EUR 160m for the period 2007-2008.

### Annex 3: Mandate for Advisory Groups in FP7

Mandate for Advisory Groups for the 7th FP (the example below is from the People SP).

#### Purpose

Under the SPs implementing the 7th FP (2007-13), the Commission is responsible for drawing up annual WPs. In doing so, the Commission wishes to draw on the best possible external advice.

Members of the Advisory Group should provide consistent and consolidated advice to the Commission services regarding the 'People'<sup>17</sup> SP. Advice should be provided on strategy, relevant objectives and scientific and technological priorities, and the topics on which proposals are to be invited.

The Advisory Group should provide a written input to the Commission on a yearly basis, which will be used in the preparation of the annual WP. The advice received from the Group will complement other sources of external advice received by the Commission, including from stakeholder consultations and where relevant from European Technology Platforms.

#### Capacity

Members participate in the Group in their individual capacity and commit themselves to discuss questions put forward and provide advice in their relevant fields of expertise to the best of their ability and in the best interest of Community research.

Advice to the Commission is the result of discussions within the Group. This advice is expected to represent the consensus view of the Group.

<sup>17</sup> There are slightly different mandates for the different AGs but the 'model' is the same.

However, in the event that a consensus cannot be found, for whatever reason, individual members may request to have divergent views recorded.

The advice may take account of documents provided to the Group by the Commission services. Additional experts may be invited to the meetings of the Group for discussion of particular questions.

### Transparency

Commission will make publicly available, unless there are valid reasons not to do so, including on the Internet:

- The names of the members of the Advisory Group.
- The written advice provided by the Advisory Group.

The WP to be adopted by the Commission may provide an overview of how the advice provided by the Group and other sources of external advice have been used.

### Confidentiality and conflict of interest

Without prejudice to Article 287 of the EC Treaty and Article 194 of the Euratom Treaty, members are required to not divulge information given in the context of the work of the advisory groups, when it has been indicated to them that the information is confidential. Members of the advisory groups must not seek or act in any way to take undue advantage of, or exercise undue influence on, the implementation of the 7th FP. They must not be involved in any way in the evaluation or selection of proposals for Community funding under FP7. Therefore members of the advisory groups:

- May not be members of the Programme Committees or called as experts before the Programme Committees;
  - May not act as evaluators of proposals submitted under the 7th FP
- Members of advisory groups may participate in consortia under the 7th FP, either in their personal capacity or as representative of the organisations to which they belong. However, should any item on the agenda or any subject discussed in a given meeting of an advisory group be of relevance for projects or proposals under the 7th FP that a member, or the organisation to which he/she belongs, has submitted or is likely to submit, the member should inform the Commission and the advisory

group of the situation. He/she can be requested to abstain from the deliberations and/or leave the room for the discussion of the concerned item/subject.

Members of the advisory groups will inform the Commission of all interests, not explicitly stated above, which could be considered prejudicial to their independence.

When a member of an advisory group is in breach of the requirements set out above, he/she will be considered as no longer being in a position to stay as a member of the group.

Reimbursement of costs

Travel and subsistence expenses will be reimbursed according to Commission rules.

#### Annex 4: European Technology Platforms:

- Provide a framework for stakeholders, led by industry, to define research and development priorities, timeframes and action plans on a number of strategically important issues where achieving Europe's future growth, competitiveness and sustainability objectives is dependent upon major research and technological advances in the medium to long term.
- Play a key role in ensuring an adequate focus of research funding on areas with a high degree of industrial relevance, by covering the whole economic value chain and by mobilising public authorities at national and regional levels. In fostering effective public-private partnerships, technology platforms have the potential to contribute significantly to the renewed Lisbon strategy and to the development of a European Research Area of knowledge for growth. As such, they are proving to be powerful actors in the development of European research policy, in particular in orienting FP7 to better meet the needs of industry.
- Address technological challenges that can potentially contribute to a number of key policy objectives which are essential for Europe's future competitiveness, including the timely development and deployment of new technologies, technology development with a view to sustainable development, new technology-based public

goods and services, technological breakthroughs necessary to remain at the leading edge in high technology sectors and the restructuring of traditional industrial sectors.

Detailed information on individual platforms is available by 'clicking' on the links below. The European Commission is not in any way bound by the views, results or recommendations arising from the activities of any of the ETPs.

- Advanced Engineering Materials and Technologies - EuMaT
- Advisory Council for Aeronautics Research in Europe - ACARE
- Embedded Computing Systems - ARTEMIS
- European Biofuels Technology Platform - Biofuels
- European Construction Technology Platform - ECTP
- European Nanoelectronics Initiative Advisory Council - ENIAC
- European Rail Research Advisory Council - ERRAC
- European Road Transport Research Advisory Council - ERTRAC
- European Space Technology Platform - ESTP
- European Steel Technology Platform - ESTEP
- European Technology Platform for the Electricity Networks of the Future - SmartGrids
- European Technology Platform for Wind Energy - TPWind
- European Technology Platform on Smart Systems Integration - EPoSS
- Food for Life - Food
- Forest based sector Technology Platform - Forestry
- Future Manufacturing Technologies - MANUFUTURE



- Future Textiles and Clothing - FTC
- Global Animal Health - GAH
- Hydrogen and Fuel Cell Platform - HFP
- Industrial Safety ETP - IndustrialSafety
- Innovative Medicines Initiative - IMI
- Integral Satcom Initiative - ISI
- Mobile and Wireless Communications - eMobility
- Nanotechnologies for Medical Applications - NanoMedicine
- Networked and Electronic Media - NEM
- Networked European Software and Services Initiative - NESSI
- Photonics21 - Photonics
- Photovoltaics - Photovoltaics
- Plants for the Future - Plants
- Robotics - EUROP
- Sustainable Chemistry - SusChem
- Water Supply and Sanitation Technology Platform - WSSTP
- Waterborne ETP - Waterborne
- Zero Emission Fossil Fuel Power Plants - ZEP



## Annex 5: Abbreviations

AG	Advisory Group
APS	Annual Policy Strategy
Article 169	Integration of national research programmes
CORDIS	Community Research and Development Information Service
COST	European Co-operation in the Field of Scientific and Technical Research
CREST	Scientific and Technical Research Committee
DG	Directorate General
DG AGRI	DG Agriculture and Rural Development
DG BUDG	DG Budget
DG EAC	DG Education and Culture
DG ENTR	DG Enterprise and Industry
DG ENV	DG Environment
DG FISH	DG Fishery and Maritime Affairs
DG INFSO	DG Information Society and Media
DG LS	DG Legal Service
DG REGIO	DG Regional Policy
DG RELEX	DG External Relations
DG RTD	DG Research
DG SANCO	DG Health and Consumer protection
DG SG	DG Secretariat General
DG TREN	DG Energy and Transport
EC	European Community
ERA	European Research Area
ERAB	European Research Area Board
ERANET	Cooperation and coordination of research activities carried out at national or regional level
ERC	European Research Council
ESFRI	European Strategy Forum on Research Infrastructures
ETP	European Technology Platform
EU	European Union
EURAB	European Research Advisory Board
EUREKA	a pan-European network for market-oriented, industrial R&D
FP	Framework Programme
FP7	seventh Framework Programme for Research

ICT	Information and Communication Technologies
IPR	Intellectual Property Rights
ISC	Inter Service Consultation
JRC	Joint Research Centre
JTI	Joint Technology Initiatives
MEP	Member of the European Parliament
NCP	National Contact Point
NMP	Nanosciences, Nanotechnologies, Materials and new Production
OJ	Official Journal
PC	Programme Committee
PDB	Preliminary Draft Budget
RSFF	Risk Sharing Finance Facility
SP	Specific Programme
WP	Work Programme



The preparation of the EU's Framework Programme for research is a long process which takes 3-4 years from the start until the first calls can be published. However the funds are distributed through calls for proposal specified in the annual Work Programmes and not through the Council and the Parliament decisions.

The guide describes how the FP7 Work Programmes are prepared by the Commission including how the Commission takes external advice, how the internal procedure works and the interaction with e.g. the FP7 Programme Committees.

The guide elaborates on questions like:

- Who can give input on the content of the Work Programmes?
- Which parts could be most useful to give input on?
- When is the best time to provide input to the Commission?
- How do you do it?

The guide concludes that in order to have an impact it is necessary to develop a long term strategy for the whole of FP7 as well as a shorter term strategy adapted to the annual Work Programme cycle. The crucial point is how articulate your input and how to communicate it to the Commission – 'the right input at the appropriate time'.

The guide could be useful for Programme Committee members, in particular new members. However, the guide could also be of interest for other 'stakeholders' such as National Contact Points and potential applicants, in particular 'large' actors such as universities, institutes, larger companies who would like to understand the process of the preparation of the Work Programmes.

The strategy set up to give input to the Work Programmes and the experience gained should be very useful when it comes to the planning of future Framework Programmes.



REGERINGSKANSLIET

**Ministry of Education  
and Research  
Sweden**

