EUROPEAN COMMISSION
DIRECTORATE GENERAL FOR RESEARCH & INNOVATION

Reflection Group on the core policy competences of DG Research and Innovation

26 OCTOBER 2012

Focusing on

Policy Development and Impact

Re-defining the profile of our DG

Report of the Reflection Group:

Paraskevas Caracostas (chair), Agnieszka Stasiakowska (rapporteur), Jean-Claude Burgelman, Matthieu Delescluse, Glyn Evans, Sieglinde Gruber, Maria Vidal-Ragout.

"Quality is never an accident; it is always the result of high intention, sincere effort, intelligent direction and skilful execution; it represents the wise choice of many alternatives, the cumulative experience of many masters of craftsmanship." - **John Ruskin**

"The intellectual equipment needed for the job of the future is an ability to define problems, quickly assimilate relevant data, conceptualize and reorganize the information, make deductive and inductive leaps with it, ask hard questions about it, discuss findings with colleagues, work collaboratively to find solutions and then convince others." - **Robert B. Reich**

Contents

Introduction

The present report with its Annexes is submitted to the Director General as an input to the ongoing reflection on the future of our DG in the context of new management modes for the next MFF. It presents a proposal for a vision of our DG as a policy[i]-driven DG, the core policy and technical competences it should master, as well as recommendations on how to move towards the full development and deployment of our policy capabilities. It is complementary to the work carried out in other groups within the DG (new management modes, coherent set of implementation rules, common services, Horizon 2020 governance and cross-cutting issues, strengthening impact assessment, reinforcing the innovation dimension). **The Group would like to stress that redefining the profile of our DG is a tremendous opportunity for paying tribute to the experiences accumulated over many years and for further enriching the jobs of our staff. It will take time and it has to be seen as a medium-term participative process with key milestones. Leadership from top management and a full involvement of and engagement with the middle management, as well as constant communication between all levels, will be essential for a successful transformation.**

Why do we need to develop our policy competences and our policy profile?

Transforming our DG into a policy-driven Research and Innovation DG is not a defensive, re-active strategy, let alone an answer to the externalisation of project management (which is not to be confused with an outsourcing process!). **It would be needed even if the decision to use new management modes for the next MFF had not been taken**. There are two main reasons why this transformation is necessary:

1. **To make our DG fit for the 21st century where R&I policies are no longer executed as when this DG was created**. Contrary to say 30 years ago, all Members States have R&I high on their agenda and are aware that being at the forefront of science and technology is essential for future growth. Cooperation across frontiers has increased in various forms and contexts. To a large extent this is also due to the success of our DG: via the Framework programmes we have been able to keep these issues high on the agenda and to improve – through cooperation - the average quality of research in Europe. But, given the new global R&I landscape, if Europe wants to remain a key player in R&I, it needs to overcome its fragmentation and better manage collectively its intellectual assets. The raison d´être of EU R&I policy and thus of DG Research and Innovation has to change towards a much more **"primus inter pares" role on the scene of R&I policies in Europe** rather than a 28th or 29th funder of R&I.

2. Secondly, as has been underlined in the impact assessment of Horizon 2020, **we must make sure that we can deliver what we promise** (see point 5.6 of this impact assessment, focusing on risks and risk mitigation, in relation to the involvement of and leverage on actors and Member States, policy coordination, etc.). The only way to succeed in this is to stress our role as a policy DG. In fact, this impact assessment almost forces us to do this in order to do our job better!

What we have learned from our consultations

Our numerous discussions with colleagues have highlighted a number of issues in the way policy work is carried out and perceived in DG Research and Innovation (see, for example, Annex 6 presenting results of the Heads of Unit survey on policy activities and Annex 7 with conclusions of the middle management participatory workshop, both originated by the Reflection Group):

- Our identity as a policy DG is blurred: we are often perceived by the outside as a funding Agency; our internal and external communication still reflects this dominant image despite the important policy fields/activities we have recently been leading (Innovation Union, ERA communication, strategic programming and contributions to the European Semester, …). This is particularly problematic given the increased complexity of the Research and Innovation Policy landscape in the Commission and the growing number of actors involved.
- DG Research and Innovation is not recognised as a 'core DG' for shaping and monitoring major EU strategies (e.g. Europe 2020); some colleagues explain this by the common perception/understanding that research and innovation policy is one thematic policy among others and not a cross-cutting horizontal matter (as macroeconomic or employment policies can be), but it could also be the result of the issues quoted in this section.
- The transformation of DG Research into DG Research and Innovation is still on-going. Many colleagues have questions on the precise scope of the DG's activities and their relative priority (research policy, technology policy, innovation policy, policy for science, science for policy, combinations of all these?). Clarity on this question is a prerequisite for redefining the profile, missions and jobs of a policy DG.
- The trend towards more and more co-governance of the FP with other DGs as well as the message that Joint Programming is an issue mainly for Member States induce questions of many colleagues in relation to the policy leadership of our DG. There is a widespread feeling that our role is more and more, in addition to managing a big share of the FP and ensuring coherence in its implementation, a "facilitator" role. This is often seen as necessary but not sufficient to lead R&I policy in the Commission.
- Policy support activities (hereafter named 'strategic intelligence and watch') which allow to better define the EU added value of policy initiatives (forward looking activities, monitoring & analyses of R&I trends and of Europe's strengths and weaknesses, of Member States policies and programmes, of third countries policies and programmes, of global initiatives, of trends in related industrial and public sectors, ex post evaluations and impact assessments) are insufficiently and unevenly developed and are not part of a permanent and coherent system; this partly explains the difficulties of the DG to produce high quality ex-ante impact assessments which are now required as a standard practice for underpinning policy proposals in the Commission.
- The interaction between the so-called 'horizontal' and 'thematic' Directorates in terms of policy development is often perceived as sub-optimal despite the well accepted fact that policy is a matter for all (a Communication on ERA is policy as are proposals for JTIs or the drafting of work programmes).

For the future many colleagues converged on the need to move from:
- A focus on money spending and funding instruments to an approach to **how to influence R&I policies & actors to impact growth and well-being in Europe**
- Project management to **policy & justification ('Why EU action'?) & programmes**
- And from inputs ('we have good projects', 'we spend X Mio euros in this area') to **outcomes and impacts** ('our policies & programmes have produced these results & impacts'!)

Nearly all colleagues interviewed also indicated that **staff is our main asset and the key to developing into a policy-driven DG**. They pointed to the need to retain the best expertise in relation to the domains we are responsible for, to train and retrain policy officers in both 'horizontal' and 'thematic' Directorates, in particular in public policy design, monitoring and evaluation, and to recruit the best specialists corresponding to our needs. Colleagues are proud of the specialized competences and expertise of our staff.

Finally the discussions often underlined that new management modes for Horizon 2020 call for a clear division of labour between our policy DG and the executive agencies and other bodies that will manage P2Ps and PPPs as well as for specific arrangements to organize policy oversight and feedback mechanisms from projects to policy.

Taking into account the abovementioned considerations as well as our own reflections and analyses the following sections present the key elements for an 'ideal' R&I policy DG in the current EU context[ii].

The basics: legal basis, policy directions, mission, added value

The Treaty

The Treaty gives the legal basis for the **promotion of 'S&T advances', strengthening of S&T basis, promoting industrial competitiveness and research in support of other EU policies, exploiting the industrial potential of policies of innovation, research and technological development** (TEU Article 3.3; TFEU Article 173 and 179), realizing the **European Research Area** (TFEU Articles 179 and 182), promoting the **coordination of EU and Member States RTD actions** (TFEU Article 181) and international cooperation (TFEU Article 180), **proposing and implementing FPs** (TFEU Articles 182-187). The Euratom Treaty provides a separate legal base for nuclear research: **promote nuclear research and ensure the dissemination of technical information** (EURATOM Articles 2, 4, 5, 6, 7).

Policy directions

During the term of the present Commission, the main policy directions for EU research and innovation policy are **Europe 2020** and its **Innovation Union** flagship initiative.

Mission

Given the Treaty provisions and the policy context our DG is a policy DG whose **main mission** is to elaborate, propose and organize the implementation and evaluation of EU level **public**

policy initiatives and measures which concern **the transformation of Europe's research and innovation landscape for delivering new growth trajectories and improved wellbeing, taking into account the global context. Addressing key societal challenges should be the basic element for collectively developing the DG's vision.** EU level Public policy means that the initiatives and measures developed must prove they are justified both in relation to private actors (existence of a market failure; necessity to promote public goods and the public interest) and to Member States (existence of systemic failures, fragmentation, and added value of EU intervention). Their results and impacts must be analysed and communicated.

Added value of a Research and Innovation Policy DG

A Research and Innovation Policy DG is unique because:
- it is the only DG which can be the **champion of R&I at the top of the EU policy agenda,** given that it closely monitors the strategies and trends of research and innovation in the wider policy and socio-economic context and has structured relationships with a wide range of stakeholders (Member States Ministries, etc.)
- it is the only DG legitimate to develop **policies to address structural problems of the EU research and innovation system** in a global and societal context (structural reforms in Member States, ERA, Innovation Union, international cooperation, public engagement) and to promote coordination of EU and Member States policies for that purpose; it is the only DG capable to ensure that **a link is established between these structural problems and the various research and innovation areas & activities** covered by EU R&I policy (e.g. Horizon 2020; EIPs);
- it is the only DG whose role is to **think in a long term perspective** as research and innovation shape the future of our societies and leads to a re-articulation of today's policy challenges and domains; it is therefore the only DG capable of **articulating EU research and innovation policy with a wide set of EU policies** (for example a challenge like 'Smart, green and integrated transport' is not only related to EU transport policy but also to environment, industrial, urban policies) and to address **cross-disciplinary**, **cross-challenge and cross-policy** issues;
- it is the only DG capable of ensuring **policy coherence** across research and innovation domains (like DG COMP does for competition policy) and guaranteeing that the FP is used to promote research and innovation policy and not only other sector policies
- It is the only DG who can promote the **EU interest for research and innovation on the international scene** by articulating a coordinated EU and Member States voice vis-à-vis and with our global partners and international organizations.

Core policy competences & deliverables

Scope

The DG develops research and innovation policy in a specific EU **institutional** framework, provided for by the Treaty. Being the lead DG for ensuring the implementation of the Innovation Union flagship initiative and the FP, DG Research and Innovation (whose current abbreviation - DG RTD - could be changed, e.g. into DG INNOV or DG FUTUR) is responsible for **public policy initiatives and measures** which cover a wide range of domains - from basic

research to non-research-based innovation - in their socio-economic context and across S&T&I areas. **It must first define which policy domains** (besides RTD which remains its natural field of competence) **it wishes to lead and which ones it wants to indirectly connect to** (e.g. clusters, standards, social innovation - see Annex 4). For addressing the domains it is directly responsible for, it allocates the appropriate human resources, uses a mix of legislation, non-legislative instruments (e.g. Communications, White papers, etc.), policy coordination (e.g. European semester, State of the IU report) and funding measures and closely coordinates its work with the DGs whose policy area impacts on research and innovation (e.g. DG COMP, DG MARKT, DG REGIO,…) or needs research and innovation (e.g. DG ENTR, MOVE, SANCO, CLIMA, ENER).

Core competences & deliverables

The situation and role of our DG cannot be strictly compared to the role of a Ministry in one of the EU Member States. **In many Member States, the ministry is in charge of the policy function *excluding* to a large extent its programming dimension (programme design, programme implementation, programme evaluation), which is mainly placed under the responsibility of agencies (see Annex 5). The R&I policy DG covers the policy function, *including* the programme design and evaluation, delegating only the programme execution function to executive agencies.**

The core policy competences and related **deliverables** (in bold) of a policy-driven DG – analysed on the basis of the policy cycle - are thus outlined below. The issues related to the points below as well as concrete recommendations on how to move forward are set out in Annex 2 following the same structure as below.

1. Policy watch and incubation of new initiatives, strategic intelligence

- A two-way communication with the outside world and the organization of a permanent policy watch helps to produce **innovative ideas on new policy initiatives to be incubated and launched in accordance with the new guidelines for the Commission's Work Programme.**
- Anticipating and monitoring developments in the European integration process (e.g. President Barroso's proposals for a federation of Nation-states) and assessing their implications for R&I policy (e.g. further revisions of EU Treaties) might lead to suggesting **revised/new Treaty provisions.**
In order to proactively shape the EU R&I landscape, the DG undertakes **'strategic intelligence'** activities, horizontally and in the specific fields/sectors:
- Forward looking activities and consultations with stakeholders produce **visions**, **roadmaps** and contribute to **innovative research agendas and partnerships with stakeholders**
- Monitoring & analyses of R&I trends and of Europe's strengths and weaknesses, of Member States policies and programmes (this might get even more important if the coordination of economic policies in the Eurozone increases significantly), of third countries policies and programmes, of global initiatives, of trends in related industrial and public sectors allow to better define the EU added value of activities and are concretized in **reports** and other **notes.**

- Monitoring & analysis of the needs of other policies in terms of research, knowledge, technologies, etc., and of the impact of EU research policy initiatives on other EU policies are an important input to our policy design phase; **productive partnerships with other DGs** should be based on regular brainstormings at the highest level (focusing on long term needs and opportunities), service arrangements to implement political agreements annually or every two years and concrete monitoring mechanisms at the working level.
- Monitoring and **analyses of the results of our actions**, **ex-post evaluations and impact studies**.

Where possible these 'strategic intelligence' activities are developed in cooperation with Member States in order to develop **a shared understanding of the challenges to be addressed by the EU and its Member States**.

2. Policy Preparation and Design

On the basis of the activities described under point 1, the DG uses the structured approach to policy preparation and design commonly followed in the Commission**: Policy initiatives** are prepared and accompanied by **ex-ante impact assessments** (IA).
Among the final products of this policy work are: **Framework programmes**, **specific programmes**, **international cooperation agreements, participation rules**, **communications, recommendations, Directives, Regulations, Decisions, Action Plans, White papers**.
In relation to implementation of the Framework Programme, the core policy tasks are: ensuring an optimal evidence-based preparation of **strategic programming documents** and **work programmes, Article 185 & 187 initiatives** (based on analysing and monitoring science and technology trends in their socio-economic context, trends in Member States and third country policies and programmes, behaviour of key actors in the research and innovation ecosystem, trends in the related industrial and service sectors, EU added value).
The DG then supports **policy negotiation**s and decision-making, ensuring good cooperation with other EU institutions.
Finally, developing a robust system for the analysis of the Economic, Social and Cultural Drivers and Impacts of Research and Innovation (including Economics of Science) is a cross-cutting competence which may be mobilized for many policy discussions, e.g. in order to produce **analyses which influence discussions on the Union's Multi-Annual Financial Framework.**

3. Implementation & Monitoring

- Ensures a **good and open governance** in implementing all policy initiatives and funding programmes (it delivers **organizational solutions** as it manages interfaces with and between DGs, with programme committees, with advisory bodies, with stakeholders)
For legislative initiatives and funding programmes alike, the DG:
- Defines implementation agents and ensures **public policy coherence in implementation (common set of rules, common services for policy implementation)**
- Develops specific arrangements for the **feedback from implementation to policy design**

- Monitors implementation (project management by Executive Agencies, implementation of recommendations by Member states, etc.), permanently **analysing and communicating results/outputs** and promoting **mid-term evaluation**

*N.B. In areas 1, 2 and 3 above, the DG produces **information, knowledge and expertise** for the college, for other DGs, for Member states & regions, for partner countries, for its stakeholders, for specialized think tanks and R&I policy research groups.*

4. Strategic positioning in the EU and global context

- The DG is a major and proactive player in the Commission policy process (SPP, APS, CLWP) and in inter-DG interactions (**responses to ISCs on the substance of other EU policies**), for example **in the Europe 2020 monitoring process together with the 'core DGs'** (SG, ECFIN, EMPL, TAXUD); it stimulates, monitors and exploits developments in other EU policies – those that are essential for the R&I policy agenda (e.g. IPR, state aids, venture capital & innovative financing, standards, regional policy, trade policy) - ensuring that **new EU policy approaches and measures** favour research & innovation.
- it actively orients and influences the debate on R&I policies in the Member States; facilitates and promotes mutual exchanges on these policies between the Member States, building common understanding of the issues and possible solutions.
- it **takes an active part in the international fora** where R&I policy ideas are taking shape (like OECD), promoting there a coordinated EU and Member States voice.

5. Core infrastructures, resources & horizontal tasks.

- an active staff policy makes it possible to recruit, train and re-train, stimulate and manage highly knowledgeable staff with the appropriate mix of profiles and skills; to organize mobility from and to other DGs, from and to national administrations; it produces **guidelines**; **appropriate mission statements; hiring** and **training programmes; career paths;**
- an ICT service provides staff and management with the infrastructures and tools they need to share and co-create knowledge (information and documentation, revamped Intranet, tools for creative thinking, **knowledge management systems);**
- legal, budgetary and administrative services provide the DG with ready-to-use and flexible solutions for **launching tender procedures, preparing contracts, logistics of events, meetings, etc.**
- a proactive and two-way communication activity focused on **promoting the added value of the EU** ('EU is the solution!') together with Member states and stakeholders.
- a publications policy focusing on the **promotion of a limited number of (periodic) flagship reports** (like the STI Outlook published every two years by the OECD).

Measuring success: being recognized as the reference point on Research and Innovation on the EU policy scene and beyond.

Based on the development, effective deployment and updating of the abovementioned competences the DG is recognized as:

- the **R&I policy point of reference** for the EU as a whole: for researchers, research Ministries & organizations, industry, public agencies, civil society organizations and citizens; as well as for the Commission and other EU institutions;
- the **DG who fights for scientific evidence and plural expertise in EU policy-making** (in close cooperation with the Chief Scientific Advisor and the JRC)
- a **leader DG possessing the best intelligence and knowledge about R&I in Europe,** thus being respected and solicited by other DGs, Member states, other partner countries and international organizations (such as the OECD), R&I policy research groups and think tanks;
- a **key contributor in parliamentary debates** (EP/STOA, Technology Assessment offices in national parliaments), especially on issues which interest civil society and citizens most, by disseminating the results of EU policy and programmes.

Top ten recommendations (all equally important):

- **Start now!** The end point of the DG's transformation should be identified and action should be initiated now with clear milestones. The role of management for supporting change at all levels should be highlighted.
- **Build a vision!** The DG should, on the basis of shared values (public interest, EU added value, right of initiative of the Commission), collectively build up a new culture (change its vocabulary, name, image) reflecting the shift to a strengthened policy focus. This may take the form of an outward-looking visioning process (where do we want to be in 2015?) supported by professional facilitators to be initiated now and run until end 2013.
- **List the priorities!** The DG should decide on the scope of its activities (and fix the boundaries with other DGs) and allocate the required highly qualified human resources to a dedicated number of priorities for which it wants to play a leading role. Among the wide range of domains covered by EU R&I policy (from basic research to social and organizational innovation) negative priorities should equally be decided. The DG should identify the Horizon 2020 activities that it will still directly manage at the end of the transition to the new management modes.
- **Strengthen the knowledge base!** The DG should develop before June 2013 an Action Plan for evidence gathering (foresight, ex-ante & ex-post evaluation and impact assessment, analysis of S&T and industrial trends), organize a distributed system and set up the related quality review mechanisms. A step change in the quantity and quality of the evidence base is a pre-condition for credibility within and outside the Commission.
- **Move closer to the 'core group' of Europe 2020 DGs!** The DG should substantially reinforce it's capacity to monitor, analyse, compare and assess national R&I policies (in Europe and in partner countries) and the impact EU policy has on them.
- **Think big!** The DG should define the key R&I policy European and international fora and devise a roadmap for pro-actively positioning itself in these fora (timeframe, resources, level of representation).
- **Put people first!** The DG should accompany the transition to its new policy-driven profile by an active personnel policy: launch of a screening of qualifications, experience and skills of staff and redefinition of the jobs and roles in a participative approach; recruitment of specialists in the fields required; quantitative target (2/3) for the proportion of policy officers in total staff; launch of a massive training programme for administrators in the field of R&I policy (basic introductory training followed by specialized modules on policy design, policy monitoring, policy evaluation and impact assessment, etc.).
- **Incentivise change!** The DG should define the new missions of staff and management in the new context of policy focus. Evaluation and reward systems (CDR, promotions) should reflect excellent performance in exercising the core policy competences described in this report. Missions of Directorates and units should reflect the new focus on policy.
- **Keep all on board!** Guidelines for organizing our relations to Executive Agencies and other bodies should be finalized in 2013. In particular in view of developing our policy oversight role, specific arrangements should be devised to organize feedback from project management to policy design.
- **Move from a control to a support culture!** The horizontal services (budget, public procurement, legal advice, staff policy, ICT, communication) should re-assess their role in the context of the development of policy competences in the DG. Centralized management support services should provide ready-made solutions in terms of expert contracts, procurement of studies, organization of Conferences, etc.

ANNEXES

Annex 1 suggests how to articulate the mission, competences and performance indicators for a new R&I policy DG.

Annex 2 presents more detailed recommendations on how to achieve our vision.

Annex 3 recalls the mission of the Reflection Group and describes its working method

Annex 4 presents policy areas related to the Innovation Union that could be mastered directly or indirectly by the DG

Annex 5 describes how some Member States are organized in terms of policy-making (relations between Ministries and Agencies)

Annex 6 presents an analysis of the replies to the questionnaire sent to the Heads of unit

Annex 7 reports on the 17 October Workshop with Heads of unit and Advisors from DG RTD, ERCEA and REA

ANNEX 1 – Missions, Competences, Deliverables, Performance indicators

TREATY PROVISIONS FOR R&I POLICY
- The Union shall promote scientific and technological advance (TEU Article 3.3)   - Strengthening the scientific and technological bases of Europe (TFEU Article 179)   - Enhancing the competitiveness of European industries (TFEU Article 179)   - Providing support to other EU policies (TFEU Article 179)   - Fostering better exploitation of the industrial potential of policies of innovation, research and technological development (TFEU Art. 173)   - Realizing the European Research Area (TFEU Articles 179 and 182)   - Promoting the coordination of EU and Member States R&I actions (TFEU Article 181)   - Proposing & implementing the Framework Programme (TFEU Article 182-187)   - Promoting international cooperation in R&I (TFEU Article 180)   - Promoting nuclear research and ensure the dissemination of technical information (EURATOM Articles 2, 4, 5, 6, 7)

DG RTD MAIN MISSION & SCOPE (deriving from Europe 2020 and Innovation Union)
To elaborate, propose and organize the implementation and evaluation of **EU level public policy** initiatives and measures which: - concern **the transformation of Europe's research and innovation landscape for growth and wellbeing**.   - cover **a wide range of domains, from basic research to non-research-based innovation in their socio-economic and global contexts and across all S&T&I areas**   - ensure **coherence of EU and MS policies**

DG RTD 2015 TARGETS	EXAMPLES OF PERFORMANCE INDICATORS
Being a point of reference for R&I in the EU policy scene	i.e. Being 'chef de file' for all R&I dossiers in the EC
Being a leader DG possessing the best intelligence and knowledge about R&I	i.e. Number and quality of Flagship Reports on R&I in Europe quoted in EU/MS policy documents
Being an intellectual leader in the discussions on R&I policy, a key actor in parliamentary debates (e.g. EP/STOA, national parliaments)	i.e. Number of times the DG provided scientific evidence and plural expertise in parliamentary debates
Influencing disruptive change/advising national R&I systems/policies	i.e. . Steering/Influencing xx% of EU's R&I effort (now 5-10%); rate of growth of S&T cooperation of EU/MS with key countries
Ensuring the most productive interactions between R&I policy and other EU policies with a view to positioning R&I policy among main policies of the EU	i.e. Becoming one of the 'core DGs' for the Europe 2020 monitoring process; Having representative of DG RTD in the IAB

ACTIVITIES /COMPETENCES	DELIVERABLES
Policy watch & incubation, Strategic intelligence - FP ex-post evaluation - Monitoring of MS and other countries' policies, their economic and R&I strengths and weaknesses (at both thematic and horizontal level) - Monitoring of STI trends (at both thematic and horizontal level, e.g. internationalisation of R&D) - Analyses of industries and markets related to a specific domain - Monitoring and analysis of Economic, Social and Cultural Impacts of Research (including Economics of Science)	Internally drafted & externally contracted (expert group, call for tender) notes and study reports on: - ex-post evaluations, impact studies - comparative analysis of MSs' policies, MSs' performances, scoreboards - comprehensive and updated database of R&I statistics; new indicators - S&T and industrial trends - economic and social dimensions of R&I

• Monitor and exploit developments in other EU policies (IPR, state aids, VC, regulations and standards, and thematic: regional, trade, health, environment, energy polices, …) • Foresight	- links between R&I policy and other EU policies - forward looking activities (visions, roadmaps, innovative research agendas)
Policy & Programme preparation and design • Incubation and maturation of new, evidence based ideas for new policy initiatives, instruments, new approaches to innovation • Ex-ante impact assessment • Development and assessment of policy instruments • Design and priority setting for FP, SP and WPs (themes, topics, instruments) • Policy follow-up/negotiations with other DGs, EU institutions • Policy negotiations with 3rd countries	• Green/white papers, communications, action plans, strategies, regulations/directives and accompanying ex-ante IA reports • Recommendations to MS (i.e. European Semester) • Recommendations to research organisations, etc. • Thematic policy briefs and workshops on specific policy issues and new approaches to innovation • Strategic programming & work programmes • Cooperation agreements with 3rd countries
Steering and monitoring of implementation • Promote coherent implementation and good and open governance • Challenge-oriented approach (analyse what the ERC, EIT, Research Infrastructures, KET support in an area covered by a challenge) • Monitoring of implementation	• Organisational solutions (e.g. for feedback from implementation to policy design) • Common implementation rules & procedures • Analysing and communicating results/outputs, mid-term evaluations
Strategic positioning in the EU and global context • **Within the Commission:** pro-active participation and influencing EC policy process and inter-DG interactions: participation in ISG, inter-DG networks, steering groups. Ensuring that new EU policy approaches and measures favour research & innovation • **With External stakeholders:** organising dialog with stakeholders, facilitating partnerships • **With Member States:** all kinds of interactions aiming at steering EU wide R&I policy and influencing disruptive change; building a shared understanding of the challenges to be addressed by the EU and its MS • **In the International fora:** take active part in the international fora where R&I policy ideas are taking shape (e.g. OECD)	• Content-related responses to ISC • Inputs to the preparation of policy documents of other DGs • Partnerships with other DGs • Deliver advice to other DGs based on the FP research projects • Animation of stakeholders fora (i.e. ETPs, social platforms) • Stakeholders' consultations (through Internet, workshops, conferences) • Animation of MSs policy makers fora, peer-reviews of national R&I systems • Presence in parliamentary debates (EP/STOA, Technology assessment offices in national parliaments)
Core infrastructures, resources & horizontal tasks • Active staff policy to recruit, train and manage highly knowledgeable staff with the appropriate mix of profiles and skills • Centralised management support service • Communication of previously analysed results, impacts, success stories of R&I policies, FP to promote the added value of the EU • Publication policy focusing on the promotion of a limited number of (periodic) flagship reports	• Guidelines; appropriate mission statements; hiring and training programmes; career paths • Mobility from and to other DGs, from and to national administrations; • Knowledge management systems • Ready-to-use and flexible solutions for launching tender procedures, preparing contracts, logistics of events, meetings • Communication initiatives • Flagship reports (like the STI Outlook published every two years by the OECD).

ANNEX 2 – More detailed recommendations[1]

Policy activity/ Competence	Issue/Problem	Recommendation(s)	Example of practises in DG RTD, other DGs, MS (or elsewhere)
1. Policy Watch and Incubation, strategic intelligence			
Policy watch and incubation of new policy initiatives	DG Research and Innovation currently does not have such a competence. The issue is to be able to capture new policy initiatives launched by MS or by third countries and assess their implications/potential relevance for EU R&I policy.	This function could be assigned to a small team (existing or to be set up) or to a group of Advisors, with the possibility to acquire innovative interaction tools, Web mining systems, relevant information and documentation systems	Policy-Making 3.0 initiative, part of the Digital Futures project of DG CONNECT
Anticipating and monitoring developments in the European integration process	There are scattered competences in the DG that need to be networked & strengthened	A small team could be entrusted to organize such a monitoring activity (e.g. to monitor discussions in the 'four presidents', Padoa-Schioppa, Spinelli or Westerwelle groups)	
Forward looking activities and consultations with stakeholders	Capacities are scattered, methods are not discussed and FLAs are unevenly developed and insufficiently related to R&I policy development (only 18% of surveyed heads of units in the DG performed this kind of activities in the last 3 years)[2]. C2 has been assigned a coordination function and all	***Each Directorate should be requested to prepare and regularly update such analyses in order to develop the evidence base of policy or work programme preparation. Clear guidelines should be developed for that purpose. Sufficient competent staff should be allocated to these activities within each Directorate.***	SCAR foresight exercises of Directorate E; Directorate I, WP 2013, topic on "Network for forward looking activities and assessment of research and innovation prospects", socio-economic foresight projects & expert groups in Directorate B, Digital Futures project of DG CONNECT, (Many foresight and Horizon

[1] This list of recommendations is not exhaustive.

[2] Heads of Unit survey on Policy Activities in DG Research and Innovation, See Annex 6

	Directorates should permanently develop their FLAs with its support and support from the recently created advisory group EFFLA	*A stocktaking/mapping exercise should be organized immediately to see to what extent and in which configuration these activities are developed <u>by each Directorate</u>:*	Scanning activities at national and regional levels in Europe)
Analyses of Europe's strengths and weaknesses and trends in S&T domains	Unit C6 currently develops indicators and fiches on MSs R&I performance at horizontal and sectoral levels. Analyses of specific S&T domains are rare. 78% of surveyed heads of units from DG Research and Innovation declares that this activity should be reinforced.	*On the basis of this mapping, a comprehensive action programme should be designed, discussed and decided at the level of the DG to better organize a systematic, proactive and permanent evidence-gathering system for the next 3 to 5 years (including in view of the 2015 FP7 ex-post evaluation and the preparation of the successor to H2020). If possible the WP2013 should be revised in order to develop such activities. Alternatively the*	DG ENTR, High Level Expert Group on Key Enabling Technologies, Report 2011 (FR CNRS Rapport de Conjoncture)
Analyses of industries and markets related to a specific domain	Such analyses are rare	*services should try to exploit in an optimal way existing evidence and expertise. They could for example collect and buy existing studies, organize specific workshops, etc.*	Directorate G study on future Value Added Materials, 2012; Directorate K 2011 Technology Map of the SET Plan
Analyses of Member states policies and programmes	Unit C6 currently develops fiches on MS policies for the European Semester. Research & Innovation Observatory is to be developed with the JRC. Such analyses are very rare in relation to specific S&T domains. They are also very broad/generalist, covering all aspects of R&I policy. Additional, in-depth and detailed analysis of key aspects of R&I policies in MSs would be beneficial. A Policy Support Facility is to be set up under Horizon 2020. 85% of heads of unit declares that this activity should be reinforced.	*In this context quality review committees (for foresight, analyses of MS policies, etc) must be established in the DG on the model of the Impact Assessment Quality Review Committee* *Competences should be reinforced in demand-side or market-oriented measures for innovation (markets regulation, standards, public procurement, IPs, user-driven innovation). The EU policies in these domains should be closely followed.* *Full time policy officers (1 per country, including third countries) organized in geographical units (i.e. group of 4-5 comparable countries) should work on the analysis of MSs R&I policies and performance, including in specific S&T domains, in liaison with 1) thematic Directorates , 2) units (including in other DGs) in charge of particular*	Directorate B's METRIS (SSH) and MASIS (science in society) projects under FP7 are monitoring MS policies in the related fields. DG ECFIN has three Directorates monitoring MS economies organised in geographic units, with several desk officers per country. DG EMPL has two 'geographic' Directorates as DG AGRI for rural development. OECD's STI Outlook Report is the reference worldwide for the analysis of national policies.

Analyses of third countries strengths & weaknesses in a specific domain and rationale for cooperation with them	Such analyses are rare.	*aspects of R&I policy (e.g. IU commitments)*	DG CONNECT, ISTAG international cooperation working group, report March 2012, "ICT research and innovation in a globalised world"
Analysis of developments in other EU policies	Such analyses of the implications for EU R&I policy are rare.		
Economic & Social Impact Analysis of Research (including Economics of Science)	Such analyses are rare and scattered. Only about 20% of Heads of unit performed this kind of activities over the past three years. Usually they are produced by external experts. The I4G Expert Group managed by unit C2 provides inputs.	The DG could nominate a Chief Economist (Principal Advisor) to stimulate, coordinate and exploit in a structured way future work in this area.	(In the past DG RTD had Alexis Jacquemin, a famous Belgian industrial economics expert, as Principal Advisor); today DG COMP's chief economist is supported by a team of nearly 20 economists.
Consultation with stakeholders (including civil society organizations and citizens)	The degree of openness in the preparation of policy initiatives and work programmes varies. No capitalization on experience.	An approach will be developed for Horizon 2020 (A note is being prepared by unit B6).	European Technology Platforms (very diverse in terms of participation of civil society and public users of research), Social Platforms supported by FP7/SSH programme; Mobilization and Mutual Learning Platforms supported by 'Science in Society;' Policy-Making 3.0 initiative, part of the Digital Futures project of DG CONNECT (AGORA 2020 in FR; Public Engagement initiatives of Research Councils UK)
Monitoring and analyses of the results of our actions, ex post evaluations and impact studies	The approach and the quality of evaluations is very diverse. Lack of harmonized data for analysing outputs and impacts. Database of results on CORDIS.	The DG should assess the possibility of buying tools existing on the market which allow to constantly collecting output and outcome data. A pilot is being experimented by Directorate F. Research on new methods for evaluation and impact	(Researchfish e-Val, developed by the UK Medical Research Council)

	SESAM is being developed.	assessment should be supported under Horizon 2020 (Challenge 6)	
Analyses of FP's contribution to ERA in specific domains	Such analyses are rare.	The DG should regularly assess the impacts of its actions on the achievement and functioning of ERA	Directorate I, ERA for environment study, 2011
2. Policy Preparation and Design			
Preparation of policy initiatives and ex ante IA	'Too little, too late' syndrome. Policy initiatives are prepared without a clear understanding of the time required for preparation and for IA. Ex ante IA often suffer from an insufficient knowledge of the IA philosophy and from insufficient evidence (as a consequence of scattered or rare 'strategic intelligence' and ex-post evaluation competences.)	To be proposed for introduction in the CWP, a policy initiative must comply with a certain number of criteria and provide the time needed for preparing the IA. (A note has been finalised by unit A5 on how to improve IA in the DG.)	IAQRC chaired by the DDG assessing the quality of IAs and providing recommendations.
Development and assessment of policy instruments	Most legal expertise is mobilized in relation to funding instruments (RoP, model contract, etc.). There is a lack of legal expertise in relation to structural research policy (ERA, IU, etc.), e.g. on what legal instrument to use for influencing national reforms (Directives, recommendations, etc.).	See point 4, personnel policy, § 5) below.	
3. Implementation & Monitoring			
Monitor and exploit the results of the projects when project management is done by executive agencies (EAs) and other bodies	We should invent mechanisms to organize our relations with EAs.	***Defining at the level of the DG the future partnerships with EAs (N.B. ERCEA is a particular case) in terms of 'reporting for policy' is a priority.*** Very preliminary ideas are sketched hereafter: 0) A clear division of tasks should be established and explained to staff. 1) A permanent dialogue between our DG and EAs is	DG ENTR experience with REA.

		absolutely necessary. For example, four times a year a brainstorming meeting between the DG and EAs, and after those meetings our DG will draw its conclusions and report back also to other policy DGs. 2) Ex post evaluation and Impact Assessment should remain our responsibility. Evaluations should be performed by external, independent experts/studies. 3) Preparation/drafting of work programmes is our DG's responsibility: a systematic approach, balance private and public interests, our own foresight studies or use existing ones, knowledge of MS and third countries' programmes; wider and richer interaction with experts, ad hoc, workshops, etc. However EAs can make suggestions on this probably as well; especially if each EA is in charge of gathering elements of the evidence base for the work programme preparations. 3) Policy research (in support of R&I policy as well as studies/projects focused on the development and assessment of other EU policies) should be managed by our DG; calls for tender, studies as inputs to policy. For CSAs/CAs, the more strategic ones, a case by case analysis is necessary. *4) To be discussed: involvement (e.g. selection of evaluators/participation in moderation meetings) in project evaluation.* Our DG should be present to brief the evaluators on the policy context. *In certain cases it should be involved in the evaluation if it concerns big projects which may deserve a policy approach.* 5) Negotiation is mainly financial, should be done by the EA. 6) The EA should send to DG Research and Innovation the scientific reports. Clustering of projects for reporting back to us; bring them together every year or 18 months to discuss their results; or twice a year a review meeting with cluster(s) of	

		projects	
		A similar approach should be developed for Art. 185 and Art.187 initiatives to guarantee the DG's policy shaping and oversight role.	
Ensure policy coherence in terms of science policy	In the different fields of action covered by Horizon 2020 there is a need to ensure synergies across the three 'pillars'. For example the DG should be able to know at some point in time the links between research on eco- technologies under challenge 5, related research funded by the ERC and technologies developed under pillar 2.	Beyond the traditional confrontation/comparison of annual work programmes, the DG could support the production of comprehensive 'scientific reviews' or 'policy reviews' supported collectively by several Directorates and DGs. This would ensure that work programmes are conceived on the basis of productive complementarities.	

4. Strategic positioning in the EU and global context

| Proactively participate in the Commission policy process and in inter-DG interactions | Currently interactions with other DGs are very formalised (ISC) and rarely constructive (in 2011 only 50% of DG RTD responses to ISC – i.e. corresponding to 6.5% of ISC received - contained substantial comments), especially outside the 'Research family'. The 'mind your own yard' approach prevails over 'common development of policies'. DG RTD is not recognised as a 'core DG' for shaping and monitoring major EU strategies. | Based on knowledge coming from monitoring of other EU policies (see above), the DG should be able to actively influence these policies and ensure that new EU policy approaches and measures favour research & innovation. New ways of working with other DGs, already on the very early stage in policy preparation, should be invented. Staff in DG RTD responsible for following a given EU policy should be in daily contact with colleagues from a respective DG. 6-months exchanges of staff with other DGs could be organised. **TO BE FURTHER DISCUSSED** : The DG should take a strategic decision in which IU related issues (see Annexe 4) it will take a lead, develop these competences and be 'chef the file' for new policy proposals. The DG should use all its competences to become a 'core DG' for monitoring of all competitiveness and growth oriented initiatives like Europe 2020. Have a DG RTD representative in the Impact Assessment Board. | |

Actively orient and influence the R&I policy debate in the Member States.	This influence is limited today.	The DG should liaise more with the policy development function in MS. Beyond what is practised in the context of ERAC (Peer reviews), more field trips, regular meetings of officials from national research ministries and ministries of economy, exchanges of staff with national administrations should be organised	3% target, future Europe 2020 innovation indicator, European Semester, ERAC
Taking active part in the international fora	Today DG RTD is present in many international meetings, however it is often reactive and it is not clear what the priorities are.	The latest communication on international cooperation lists a number of important international fora and foresees that the Commission will step up its participation. A roadmap should be developed in order to plan the required level of representation and the resources to be allocated for this participation to be effective.	
5. Core infrastructures, resources & support tasks			
Personnel policy (including a strong recruitment, training and career development policy)	To carry out its policy tasks DG RTD needs a highly qualified workforce. 1) It is very difficult today to identify staff trained and experienced in policy support activities as colleagues classified as 'policy officers' do not necessarily have such a background and conversely those classified as 'project or scientific officers' might have 2) There is a big challenge here: to plan for and steer a major reconversion of staff at all levels to new activities/jobs. 82% of surveyed Heads of unit stated that 'Availability of staff with the required 'policy-making' competences' will be an important challenge for DG RTD to become a	1) *A systematic screening of DG RTD's staff knowledge and professional experience should be organized* in order to better assess the DG's human potential and make the case for recruiting new colleagues to fill up existing or potential gaps. 2) The staff must be specialised/trained in the activities related to the policy tasks of the policy cycle: Agenda-setting and Problem definition, Ex ante Impact Assessment, Policy formulation, Decision / Adoption, Monitoring, Evaluation and Ex post Impact Assessment. *A massive training and retraining programme, especially for administrators and middle managers, should be designed.* Combining the acquisition of general knowledge about EU R&I policy with the development of specific skills (in fields like policy analysis, foresight, evaluation, etc.) this programme will be constantly updated to address emerging needs. Part of the staff must have a field/professional experience in research and innovation activities (from business sector, academia). Annex 4 attempts to list such innovation-related areas of competences/skills of staff. In	

	policy driven organisation	"thematic directorates", staff must have a scientific/research experience in the different subjects/domains covered by the themes. *3) A specialized competition (concours) could be prepared now and discussed with DG HR in order to have a list of potential colleagues by 2014.* The job profile and the skills and knowledge required should be drafted by a group of colleagues specialized in policy analysis from 'horizontal' and 'thematic' Directorates. *4) Flexible formulas for attracting highly specialized experts should be explored* (temporary agents, visiting scientists, …). *5) All Directorates should reserve posts for lawyers specialized in EU law-making.* The capacity for proposing legal instruments and evaluating their advantages and disadvantages should be enhanced. 6) Rewards for high quality policy work should be introduced to career development system.	
Knowledge Preservation & Management	There is no system to preserve institutional memory and to manage and share policy knowledge. There is a lack of institutional memory and reflexive processes regarding policy instruments (e.g. when moving to societal challenges in H2020, what lessons learned from FP5 'key actions'?)	An approach to this critical element could combine the development of **a dedicated policy support Intranet** (on which policy documents, analyses, toolkits, etc, would be posted in a structured framework), **regular interviews with experienced colleagues** (it is urgent given that many experienced colleagues recruited in the mid-1980s will retire soon) and information sessions/debates.	The newly created Knowledge Sharing unit in DG CONNECT.
Legal, budgetary and administrative support	Currently each Directorate needs to mobilise its own resources for launching tender procedures what appears as a burdensome exercise. As a consequence little policy studies are being procured.	A centralised service specialised in launching tender procedures (including framework contracts), preparing contracts, logistics of events, meetings, etc, should be provided.	JRC management support service

ANNEX 3 – Mission and working method of the Reflection Group

On 16 July 2012 the Director-General of DG Research and Innovation (DG RTD) announced the creation of a Reflection Group to provide input for the definition of the core policy competences of DG Research and Innovation. He met with its members on 26 July. The Reflection Group's mandate was:

*Given the scope of EU research and innovation policy and the activities which are necessary to develop it, monitor its implementation and assess its results and impacts, **to provide advice on the definition of the related core policy competences and activities of DG Research and Innovation**.*

The Reflection Group held eight meetings, consulted with a large number of members of top management, middle managers, advisors and other colleagues, including from other DGs, from July to October 2012.

A questionnaire was sent to all RTD Heads of unit (see analysis of the responses in Annex 6).

A progress report of the Group's work was presented at the DG RTD Management seminar on 9 October 2012.

A participatory workshop where all Heads of unit and Advisors of DG RTD, ERCEA and REA were invited took place on 17 October 2012 (see minutes in Annex 7).

ANNEX 4 – Examples of innovation-related issues (most of them are in the IU) that require specific competences and that can be handled directly or indirectly (through coordination with other DGs) by a R&I policy DG

– IPRs
– Competition policy, state aids, fiscal policy
– Clusters
– Financing innovation and firms' growth, financial engineering, venture capital
– Public sector innovation, public procurement of innovation
– Standards
– Knowledge diffusion to SMEs
– Social innovation
– Non-technological innovation, design, trademarks
– Trade policy aspects of IPR

ANNEX 5 – Research and innovation policy in Member States: the division of tasks between Ministries and Agencies

The overall representation of research funding systems is based on four layers - representing different functions in research funding - namely policy, funding agencies, performing organizations and research groups, as well as two main allocation modes, namely institutional and project funding.
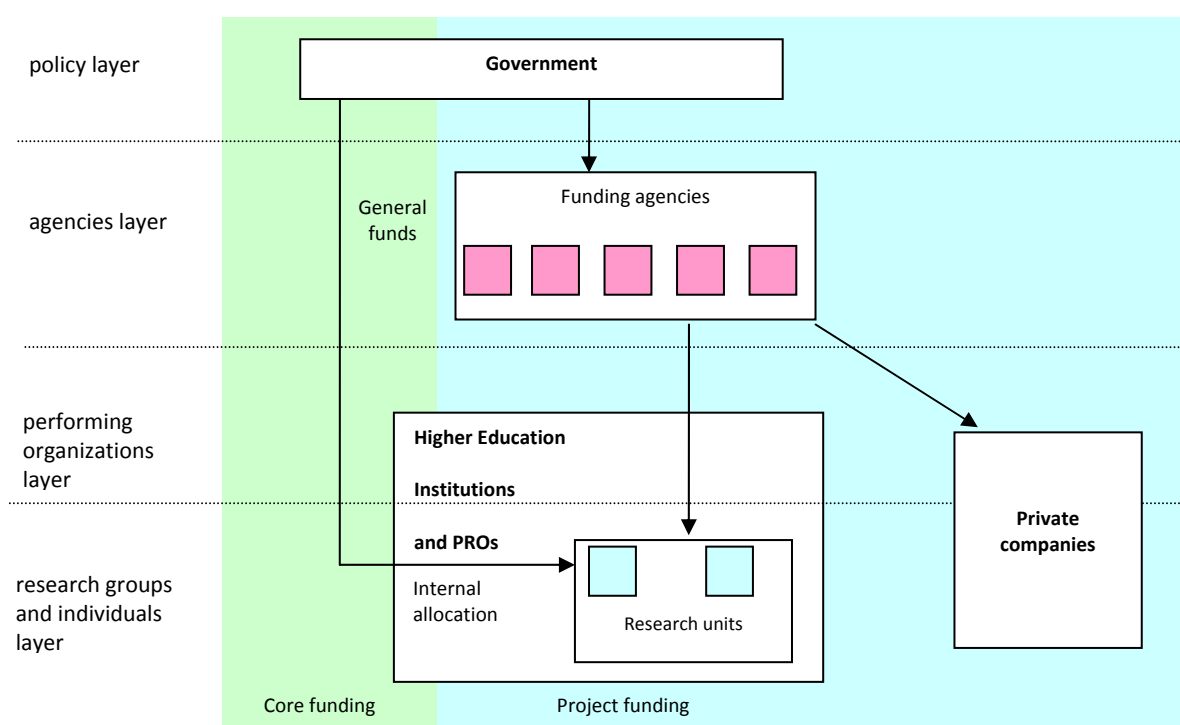
Source: Study "Investments in joint and open programmes and analysis of their economic impact" (JOREP), 2012

Comparative studies have shown that, while national systems differ widely in the specific organization of each layer and in the share of resources devoted to institutional vs. project funding, in most European countries the four layers are organizationally separate – e.g. with a clear separation between funding agencies and research organizations – and the distinction between project and institutional funding can be drawn quite clearly.

The main relevant exception to this scheme is represented by vertically integrated national organizations which assume both the role of funding agency and of research performers, like Academy of sciences in some Central and Eastern European Countries and organizations like CNRS in France.

In the 1960s, one would probably not have represented the agencies layer as a fully-fledge, separate layer. This layer has developed in EU (and more generally OECD) countries over time and in some countries only recently (the French agency ANR was created in 2005, see below). As a result of this "agencification" of the national research funding systems, agencies at arm's length of the ministry

are now responsible for the whole programming function in the system, i.e. the *design*, *implementation* and *evaluation* of public research programmes.

As responsible for the design, implementation and evaluation of a public research programme, **DG RTD acts like funding agencies at national level**. However, in addition to that, for years **DG RTD has been carrying out a number of policy activities** that would fall under the responsibility of **ministries** in national research systems. DG RTD is therefore active in both the policy layer and the funding agency layer in the above representation.

However, the importance of the FP's design and good execution by DG RTD, as well as the considerable size of the associated budget – one of the biggest research programmes, if not the biggest, in the world - has de facto given the prevalence to the funding agency function of DG RTD. As a consequence, DG RTD is currently mainly perceived as an actor of the funding agency layer and little as an actor of the policy layer, despite its important policy activities. The change envisaged now is to transfer the emphasis from the agency function to the policy function, by giving the responsibility of the FP execution to a dedicated agency and by expanding further the policy activities of the DG.

The reflections and proposals of this report however do not go as far as transferring the whole programming function from DG RTD to an agency: DG RTD would remain responsible for the programme's design and evaluation functions, only the programme's execution would be transferred. In that sense, the proposal is not to follow the national research systems where the design and evaluation functions are also placed mainly under the responsibility of agencies and not under the responsibility of the ministries.

It is also worth noting that there are a number of differences between ministries in Member States and DG RTD. DG RTD does not entirely dispose of some of the instruments and levers at the disposal of national ministries and that can serve as transmission channels of a research and innovation policy, for instance:
– ministries can have contractual relationships with universities, non-university public research organisations, regions; the contractual policy of the State with these entities is an important instrument that shapes the national research system.
– ministries can decide on a funding allocation system (e.g. balance between institutional and project-based funding, modes of allocation of institutional funding)
– ministries can organise the evaluation of actors/institutions/laboratories/personnel (possibly through a dedicated evaluation body).
– national (and regional) authorities can decide where (physically) to locate major investments, in particular for research infrastructures.
– national (and regional) authorities can implement a site-related policy ("politique de sites"), create synergies between actors locally and nationally.
– more generally, the government shapes the fiscal policy which is an important determinant of research and innovation activities in firms.

One of the fundamental policy levers of DG RTD remains the FP itself, i.e. the programming function now in the hands of agencies at national level.

In conclusion:
1) In many MSs, the ministry is in charge of the policy function *excluding* to a large extent its programming dimension (programme design, programme implementation, programme evaluation) which is mainly placed under the responsibility of agencies (see a schematic description of France, Germany and the UK below). The R&I policy DG would cover the policy function, *including* the programme design and evaluation, delegating the programme execution function to an agency.

2) Regarding the core policy function, the R&I policy DG does not dispose of some of the direct levers that ministries do have. The programme design function remains one of the key policy levers of the DG.

France:

The **Ministry for Research and Higher-Education** is in charge of the **orientation** (policy) function. It includes the production of the 4-year National Strategy for Research and Innovation which contains some broad thematic orientations. The ministry is composed of a DG for Higher Education and a DG for Research and Innovation. However, the latter is mainly a DG for Research, a large part of the innovation policy being under the responsibility of a DG of the Ministry of Economy, namely DG Competitiveness, Industry and Services. The DG R&I is composed of two horizontal Directorates (respectively on the financing and performance of public research institutions and on enterprises and research valorisation) and one thematic Directorate which includes thematic units (e.g. Environment, Energy, Mathematics, physics, ICT), Bio-resources, Health, SSH).

The **programming** function (design, implementation, evaluation of programmes) is ensured by several agencies, the main ones being the **Agence Nationale de la Recherche** (ANR) and **OSEO**. OSEO finances innovation activities in SMEs and firms of intermediary size (ETIs, 250-5000 employees). In addition: ADEME and AIRD but minor ones in terms of budget volume. Non-university RPOs are thematically grouped in several Alliances which do also play a role in the programming function of these agencies.

The basic cycle of the ANR :
Programme planning – Selection of projects – Follow-up of projects/Assessment of programmes

Programme planning: foresight, wide consultation (research performing organisations and Alliances, companies and Competitiveness clusters, international advisory panels, programmes' follow-up and monitoring exercises

Selection process: evaluation panel and external peer-reviewers, two stages

Follow-up process: reporting obligation in projects, evaluation of projects against their objectives, feed internal decisions on scientific, economic and societal orientations.

The organisation of the ANR:
7 scientific departments (1 for the "Blanc", non-thematic programmes , 6 thematic departments), 1 horizontal department "Partnerships and Competitiveness".

ANR programming is structured around 4 pillars:
- Programmes "Blancs", non-thematic, with excellence as unique criterion
- Thematic programmes related to grand societal challenges
- Programmes for public-private partnerships
- International cooperation, joint programmes

Non-university Research Performing Organizations (CNRS, INSERM, etc.) are responsible for their own programming and allocation of resources internally.

The evaluation of research performing institutions (universities, PROs) and labs is ensured by an independent agency: the *Agence pour l'Evaluation de la Recherche et de l'Enseignement Supérieur* (AERES).

Germany:

The **Ministry for Education and Research** is in charge of the **orientation** (policy) function. It includes the production. The ministry regularly conduct foresight exercises. The ministry is composed of five horizontal Directorates and three thematic Directorates (Key technologies for Innovation, Life Sciences for Health, climate and Energy).

The **programming** function (design, implementation, evaluation of programmes) is ensured by several agencies, the main one being the **Deutsche Forschungsgemeinschaft** (DFG). In addition, there are several funding agencies dedicated to broad thematic areas/societal challenges.

The DFG funds individual grants programmes, coordinated programmes (research centres), Excellence Initiatives (e.g. clusters of Excellence), scientific prizes, research infrastructures, trans-national joint programmes.

Non-university Research Performing Organizations (Max-Planck, Helmholz, Fraunhofer, Leibniz) are responsible for their own programming and allocation of resources internally. They receive institutional funding from the federal government through multiannual Wissenschaftspackts.

Universities receive institutional funding from the Länder.

UK[3]:

In the UK, the **Department for Business, Innovation and Skills (BIS)** has oversight for the majority of R&D policy formulation (**orientation** function) (under the watchful gaze of Cabinet and of the relevant Parliamentary Committees) and forms the main author of strategic policies for R&D and innovation, while the 7 Research Councils will develop their specific R&D policies (coordinated by RCUK and also under the oversight of BIS). BIS encompasses the remit of the former Department for Business, Enterprise and Regulatory Reform (BERR) and that of the former Department for Innovation, Universities and Skills (DIUS). BIS is therefore concentrating on regulation, entrepreneurship, business, higher and further education, skills, science, research and innovation.

Substantial funds are also allocated in the form of block grants to UK universities from the **Higher Education Funding Councils**. These were formerly allocated on the basis of a mechanism known as the Research Assessment Exercise, a peer review process which produces 'quality profiles' for each submission of research activity made by HEIs. The majority of universities' research funding however is provided in the form of grants from the Research Councils, awarded to individual researchers as well as to longer running programmes, units and centres.

Seven Research Councils, organised on a broad disciplinary basis, support R&D and research training both in HEIs and their own institutions. Using a range of funding mechanisms, they support a highly diversified portfolio of research, comprising the full spectrum of academic disciplines. Research funded ranges from basic, blue skies investigator-led research, through longer-term strategic research, observation and survey, to more applied research activities. Funds are awarded to UK universities, the Research Councils' own institutes, other Public Sector Research Establishments (PSREs) and independent research organisations, on the basis of applications, in the form of research grants, based on independent, expert peer review. Awards are made on the basis of the research potential and are irrespective of geographical location. This mode of funding (project-based) supports projects ranging from small travel grants to multi-million pound research programmes and from one-month to six years. The funding covers a wide range of activities, including research projects, feasibility studies, instrument development, equipment, travel and collaboration, and long-term funding to develop or maintain critical mass.

Each Research Council sets out its research priorities in a strategic plan, developed through extensive consultation with both the academic community and a wide range of users and stakeholders. Established as a strategic and equal partnership between the seven Research Councils, Research Councils UK (RCUK) oversees and coordinates their work. Also, common administrative, secretarial tasks are ensured by an administrative body common to the 7 Research Councils.

---

[3] For the sake of simplicity and conciseness, the elements below do not include the role of devolved administrations/bodies.

The **programming** function (design, implementation, evaluation or programmes) is therefore ensured by **Research Councils** that act as funding agencies and as research performing institutions simultaneously. The overall envelope (budget) of each Council is decided by the BIS, each Research Council being autonomous in ventilating its budget across the thematic areas under its responsibility.

The **Technology Strategy Board** finances R&D and innovation programmes in businesses.

Civil society (trade and sector associations, trades unions of scientists, NGOs) also plays an important role in the funding system.

ANNEX 6 – Results of the HoUs survey on policy activities in DG Research and Innovation

The survey was designed to provide the Reflection Group with the quantitative evidence on different R&I policy activities in DG RTD and investigate views of heads of unit about the future needs for these activities. Members of the Reflection Group were assisted by unit A5 in developing the questionnaire, which was also fully supported by the Director-General. 69 heads of unit from DG RTD were invited through email to fill in the anonymous, electronic (IPM) questionnaire between 24th of September 2012 and 5th of October 2012. This deadline was further extended until 12th of October 2012.

39 replies were received in total which represent 56% of all invited respondents. The profile of the units represented can be identified on the basis of a question about the 'main mission' of the unit. However, it does not allow the identification of mutually excluding profiles as the respondents could mark maximum three categories as 'main mission' or 'secondary mission'.
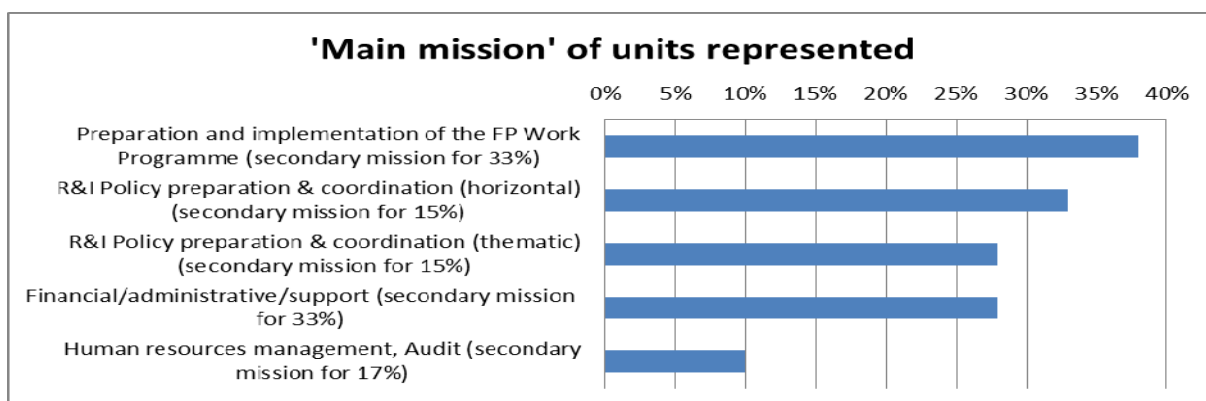

Activities performed by the units

The respondents were asked to tick all activities that were performed by their unit during the past three years. 15 categories were proposed among which 8 could be identified as related to **policy preparation & design** (Foresight; Economic analysis, statistical evidence base; Preparing FP work programmes; Drafting new policy proposals and ensuring necessary follow-up; FP ex-post evaluation & monitoring; Ex-ante impact assessment; Monitoring and assessment of Member States and/or other countries' policies and performance; Monitoring of STI trends); 4 were **coordination & communication activities** (Coordination activities with other DGs; Coordination activities with external stakeholders; Coordination activities with Member States, third countries and other EU institutions; Communication). The remaining were related to **Framework Programme and resources management** (Financial/administrative/support/resources management; Scientific management of FP projects) and there was also 'Other ' category – where the respondents mainly provided more details about their usual activities. On average the respondents marked 6.5 activities out of 15. This number was the smallest (3) among units having financial and administrative support as main mission and the highest among units dealing with thematic R&I policy preparation & coordination (9.3), which could indicate that their work is the most diverse.

> **Coordination activities were among the most performed** (between 60%-78% of respondents), **as the policy preparation and design activities** (besides FP work programme preparation and drafting new policy proposals) **were marked each by less than 40% of respondents**, with Foresight at the extreme, performed by less than 20% of units. **Horizontal and thematic policy units** were the one marking the most often **policy preparation and design activities** (53% on average), the opposite is true for financial and administrative support units (7% on average), which is a logical consequence of their mission. For the units dealing mainly with preparation and implementation of the FP work programme, that was on average 25%.
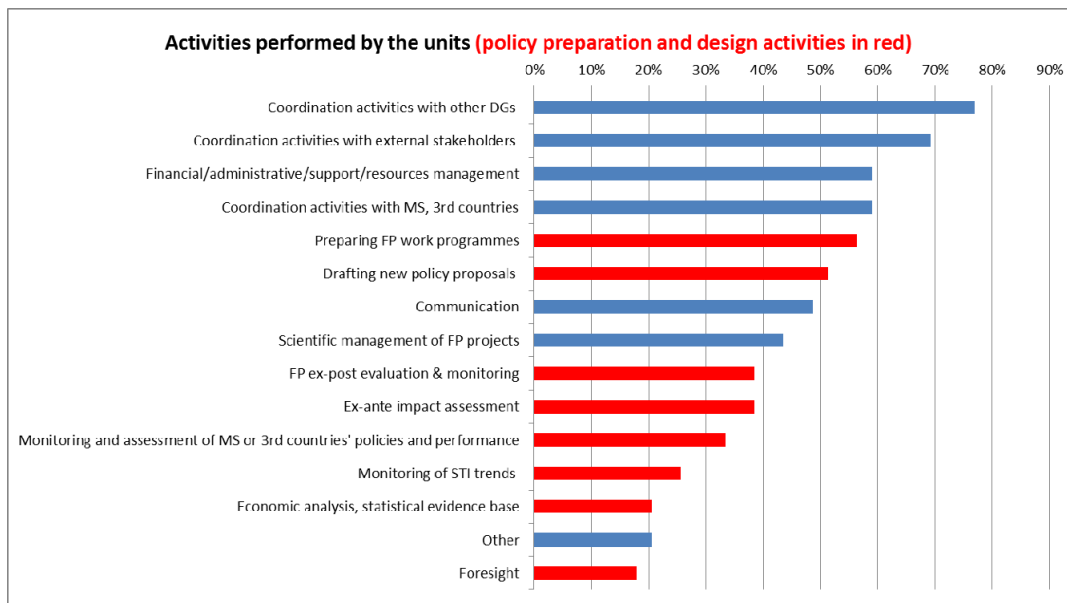
Products of the policy work

The respondents were asked to tick all products of their policy work from the past 3 years. On average the respondents marked 4.3 out of 9 categories proposed. As in the case of the previous question, this number was the smallest (1.8) among units having financial and administrative support as main mission and the highest among units dealing with thematic R&I policy preparation (6), which thus produced the most policy products. The units dealing with preparation and implementation of the FP work programme indicated on average 4.6 policy products, which shows that their production of policy deliverables is aligned with the average of the DG.
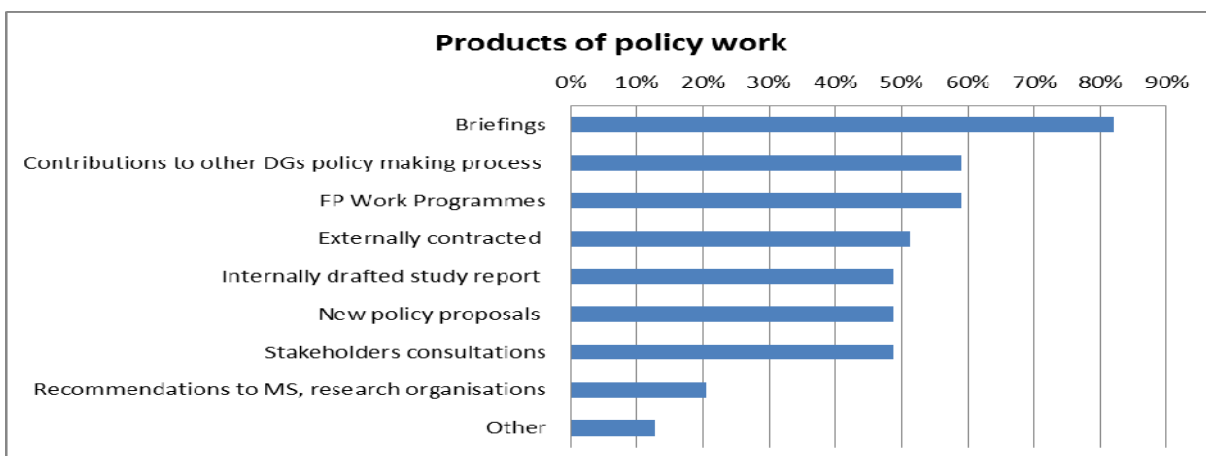
'Briefings' are the most popular policy products **mentioned by 82% of respondents,** followed by 'Contributions to other DGs policy making' and 'FP Work Programmes' - 59% each. **'Recommendations to MS and research organisations' was the least marked category (20%).** The analysis by main mission of the unit did not provide any distortions from what could be called a logical consequence of the unit's mission.

The responses given for 'Other' category were very diverse, i.e: 'responses to other Institutions' or 'registration of invoices in ABAC' were mentioned as policy products.

Origins of ideas for new policy proposals

This additional question was asked to respondents who marked 'new policy proposals' as products of their policy work (49% of all respondents, mainly from horizontal and thematic policy units). The respondents were asked to tick all originators of their new policy proposals. On average the respondents marked 2.5 originators out of 6 possible replies.

95% of respondents indicated that the new policy proposals were originated by their units, 58% that the idea came from DG RTD hierarchy, 37% mentioned the Commissioner, 32% the industry and 16% Other EU institutions. Among 'other' replies were: 'expert groups', 'MS individual officials & Expert groups', 'Other EU policies and Policy DGs'.

Activities to be reinforced within the DG Research & Innovation

The respondents were asked to evaluate on a scale (1=definitely reinforce, 2=rather reinforce, 3=remain the same, 4=rather decrease, 5=definitely decrease, 6=hard to tell) what should happen with the activities from the question 1 in the context of the upcoming transition.

The majority of participants indicated that the **activities linked to FP and resource management should decrease or definitely decrease** (85% for financial support activities and 69% for scientific management of FP projects) as the activities related to **policy preparation and design should be reinforced or definitely reinforced (see the graph below).**
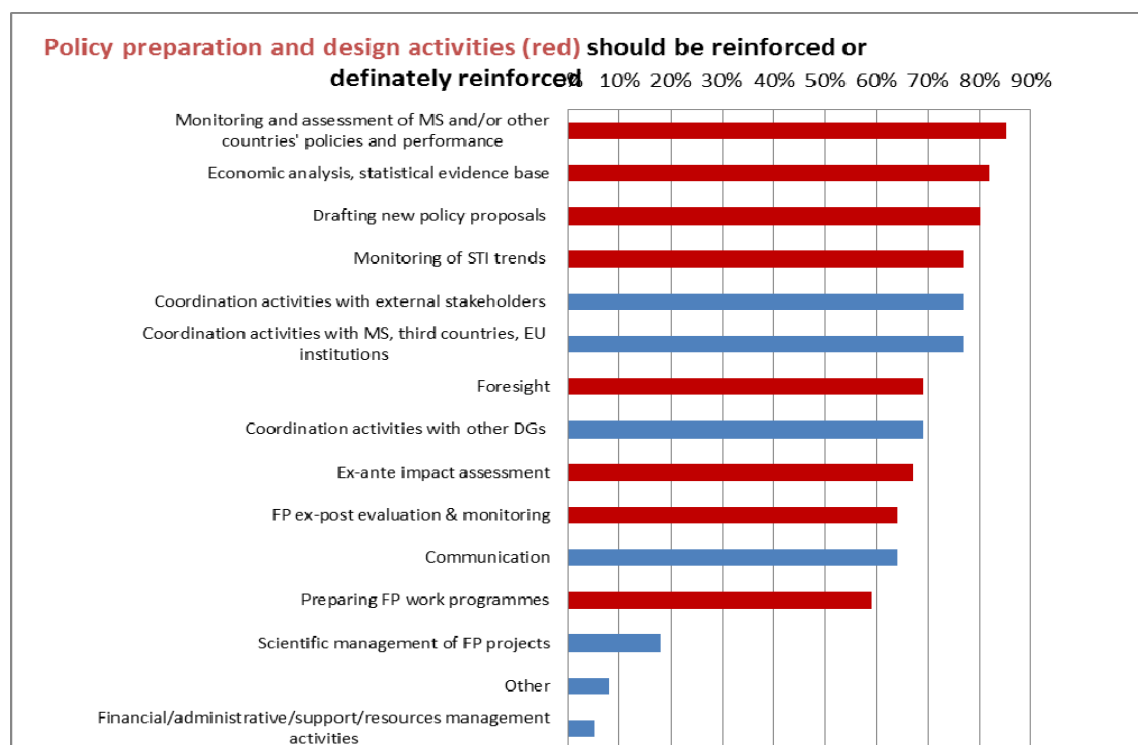
The analysis by type of unit showed that units defining their main mission as financial and administrative support gave less support to reinforcement of policy preparation and design and coordination activities than other types of units and marked more often 'should remain the same' for these categories. In terms of support given to reinforcement of policy activities, the views of different types of units concerning the ex-ante impact assessment were the most divergent: ranging from 90% support for reinforcement of this category given by thematic policy units to 54% support given by units dealing with financial and administrative support.

The replies provided for the 'other' category concerned reinforcement of: 'strategic international cooperation', 'information and training for negotiators to ensure everything is foreseen in the signed grant agreements' and 'In order to effectively control potential policy development in executive agencies under the control of DG R and I, better policy feedback loops will be required with implementing agencies'.

Challenges for DG Research & Innovation to become a policy oriented organisation

The respondents were asked to evaluate on a scale (1=important challenge, 2=rather important challenge, 3=not relevant, 4= Rather not important challenge, 5= definitely not important challenge, 6=hard to tell) which from the 4 provided statements are important challenges for DG RTD to become a policy oriented organisation.

'Reinforcement of policy-making culture within the DG', 'Availability of staff with the required 'policy-making' competences', 'Improving institutional visibility: getting other DGs, other EU institutions, national administrations, stakeholders to perceive DG RTD as a policy DG' and 'Dealing with subsidiarity issues: Convincing MSs that, despite that R&I is perceived as primarily national competence, more needs to be done in cross-border cooperation' **were all marked by the grand majority of heads of unit (between 82% and 92%) as important or rather important challenges for DG RTD to become a policy oriented organisation.**

'Other' challenges proposed as important by respondents are: 'Define clearly the scope of policy activities such as scientific issues assessment, innovation-related key policy instruments and sectorial technology policy'; 'loss of direct contact with scientific evaluators and implementation can lead to loss of knowledge and 'ivory tower' policymaking. Effective implementation is important for credibility'; 'The specific policies to create for innovation (of economics, of finance)'; 'develop a vision for this DG: becoming a policy DG is fine, but for which policy? Science policy in a general sense or innovation (industry) policy or sectorial research policy?'; 'Development of a common vision of R&I's contribution to the sustainable development of the European (and international) economies and societies'.

Resources for implementation of DG's policy activities

The respondents were asked to evaluate on a scale on which resources the DG should rely to implement its policy activities given the new context.

The majority of respondents marked that the DG should rely and definitely rely on retraining of current personnel (79%), recruiting staff with subject specific knowledge and field experience (69%) and recruiting staff with public policy design and evaluation knowledge and experience (67%). As it concerns external expertise, either coming from individual and groups of experts or contracted studies via tender procedure, **the respondents were more reluctant**, with 44%-51% of support given to relying on these resources.

Resources DG RTD should rely on for its policy activities
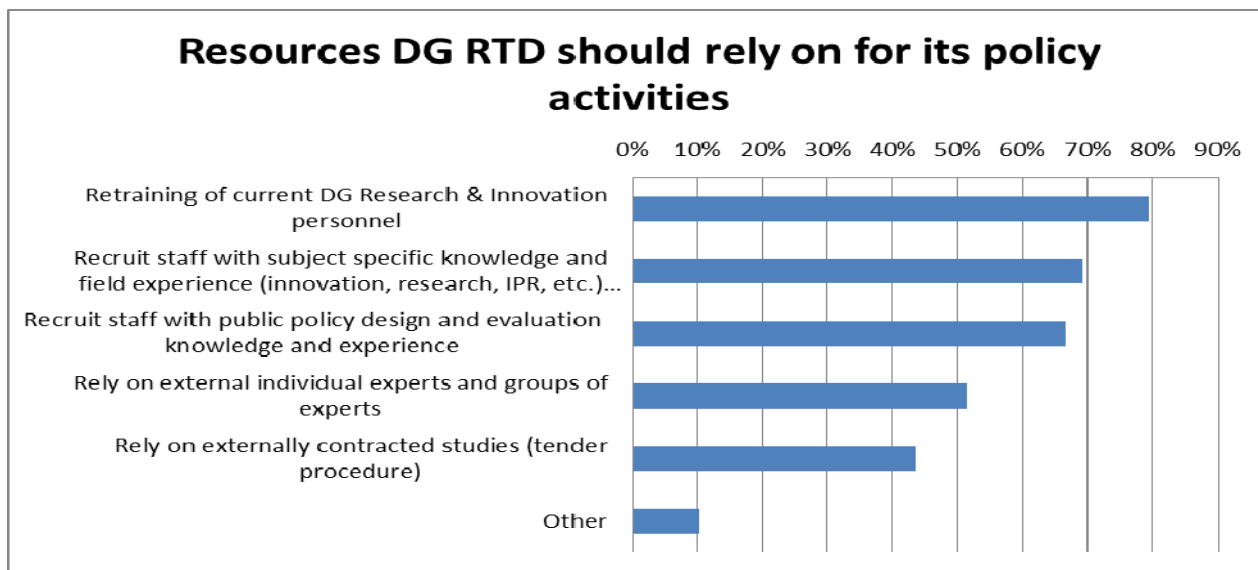
Analysis of replies by types of unit showed that the views of respondents were the most divergent when considering the support to relying on recruiting staff with public policy knowledge and experience: as 84% of horizontal policy units provided support to relying on this category, the same was the case for only 46% of units focusing on preparation and implementation of FP work programme. The strongest disagreement for using external experts was expressed by horizontal policy units where 31% marked 'should not rely on it'. However this type of unit provided the strongest support to relying on externally contracted studies (46%). At the same time, 36% of respondents from thematic policy units marked 'rather should not rely on it' for externally contracted studies, which was the strongest disagreement with relying on this resource.

The scarce 'other' replies were:

- "What is needed is simply sound and open minds from general competition in economics and in law. Should avoid to be a place to recruit consultants with a good network of relations"

- "There is not a thing like policy relevant knowledge per se. what you need for any task is a diverse team with a multitude of competences and ability. Without a discussion on the content of the policy, a discussion on competences and re-deployment does not make sense".

- "rely on strategic exchange of DG R&I staff with EU Agencies, Member States and relevant third countries/international organisations (secondments)".

Annex 7 – Newsletter of Participatory Workshop with DG RTD, ERCEA and REA Heads of unit & Advisors

"Focusing on policy development and strategic impact of EU R&I policy – Re-defining the profile of DG Research and Innovation"

17 October 2012

COV2 00 SDR2, 9h00-17h00

How it all started...

The idea of the participatory workshop engaging middle management of DG RTD, ERCEA and REA took shape throughout the work of the Reflection Group on the core policy competences of DG Research and Innovation. The Group was set up at the request of the Director-General of DG RTD in view of our upcoming transition from implementation-oriented organisation to a policy-focussed organisation. The multiple interviews conducted by the Group members revealed a real need amongst middle management to discuss in a structured way and take an active part in this transition. Moreover, the Reflection Group wanted to widen as much as possible its consultation with colleagues, to enrich its report with their contributions. The Director-General gave his full support to the proposal to call for a participatory workshop that was organised and hosted by DG RTD facilitators. The group and hosting team were ready to make the event a success.

A Unique opportunity! - Purpose of the workshop by Paraskevas Caracostas

Paraskevas Caracostas, chair of the Reflection Group, opened the workshop by welcoming the participants and presenting the members of the Reflection Group: Jean-Claude Burgelman, Matthieu Delescluse, Glyn Evans, Sieglinde Gruber, Agnieszka Stasiakowska (rapporteur) and Maria Vidal-Ragout and the hosting team. He reminded the very clear mandate of the Group which is to advise on core policy competences of the future policy-oriented DG Research and Innovation. He stressed that the workshop represented a unique opportunity to meet colleagues from across three services and brainstorm on the opportunities offered by the upcoming transition. Contributions and new ideas were particularly welcomed in relation to the four key questions identified by the Reflection Group. Paras informed the participants that the outcome of the

multiple conversations would be carefully harvested to enrich the reflections of the Group. The harvest would then be annexed to the Report of the Reflection Group, who will retain the responsibility for its finalisation and delivery to the Director-General.

Let's work together! - Presentation of the Programme of the day by Philippe Galiay

Philippe introduced the flow of the day, insisting on the purpose of the workshop: "Focusing on policy development and strategic impact of EU R&I policy - Re-defining the profile of DG Research and Innovation".

He explained how the participants would be invited to work together to discuss the four questions called upon by the Reflection Group as well as any others that could emerge throughout the day.

Having introduced the hosting team (Gilles Laroche, Karen Fabbri, Cornelia Nauen, Andrea Erdei, Jim Dratwa, Carmen Ianosi and himself) and underlined the valuable support of Matthieu Kleinschmager (DG HR) during the preparation of the workshop, Philippe listed the overarching principles to be adhered to in such participatory events: the need to be pro-active, to take your space and leave space to others, to mind the time and… to have a good time!
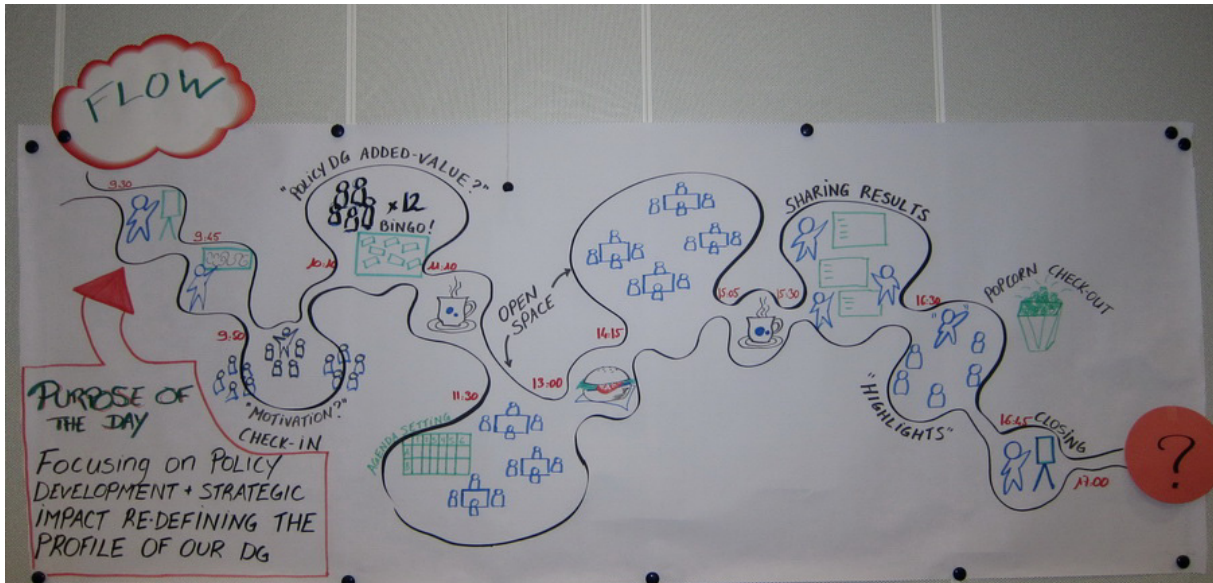
Check-in by Karen Fabbri

The participants were invited to share their answers to the question: **What motivated me to participate in this workshop today?**

The groups then distilled and shared their motivations in plenary.

Among the replies recorded were:

WORLD CAFÉ conversations hosted by Andrea Erdei and Cornelia Nauen

The World Café was structured around the calling question: **What should be the added-value of a R&I policy DG?**

After two rounds of lively conversations, participants were invited to summarise their ideas in three key statements. A round of "bingo" facilitated finding ideas common to several groups.

There were lingering concerns in the room about whether the change would be successful. After many years of focussing on programme implementation, can the DG drastically change its profile?

The need of **defining our VISION** for the future clearly formulated from discussions. All other important issues can then be better resolved if guided by the overall vision.

Future R&I policy should be placed high on the agenda of European policies.

DG R&I will need to define the role it wants to play within the Commission.

Elements possibly leading to the vision were identified as:

- The science and innovation policy challenge of the future is to keep the EU a global player in relation to the US, China and other global players.

- RTD should aspire to shape the research landscape not only in Europe but in other world regions.

- Being a policy DG will strengthen our capacity to build an efficient ERA for Europe.

- Recognition and authority needs to be gained to influence other EU policies and policies of Member States.

- RTD should determine choices in research and innovation for top level policy priorities of the Union.

- RTD/I should assume a "pro-active" role (as opposed to "reactive mode") to be a leader in research and innovation vis-à-vis the other DGs and Member States.

- Promote new policies and be a bridge between research and innovation and other policies.

- The DG should drive a/the common R&I policy for Europe.

- The new legal base should be fully exploited.

- We need better focus to find synergies easier between thematics (cross fertilisation) and related actors and stakeholders.

- Research is a policy on its own and not just a funding pool that other policies can exploit. We need to oversee the whole research cycle from education through basic research to innovation.

Tasks and activities associated with defining and implementing the RTD/I vision were put forward as:

- Measuring our impact in order to renew the policy;

- Taking stock of what we already have and our current strengths and weaknesses;

- Improving our ability to build long-term solutions;

- Defining mechanisms for priorisation:

  ○ Developing a long-term vision and strategy to bring added value is a prerequisite (e.g. starting from the COM Vision, FP, WPs, etc.);

  ○ Sharpening the notion of what the policy is for (a policy of what?)

Taken together, the above elements are expected to help us build a strong common science, research and innovation policy.

The discussion over **the links with the implementation activities (to be externalized)** raised a lot of concerns and more questions than answers e.g.:

  ○ Does this new policy DG need to have funding to carry weight?

  ○ Whether and how the DG could keep a strong science and

innovation competence via the executive agencies?

- ○ How to orchestrate the functioning of H2020 in the light of externalisation.
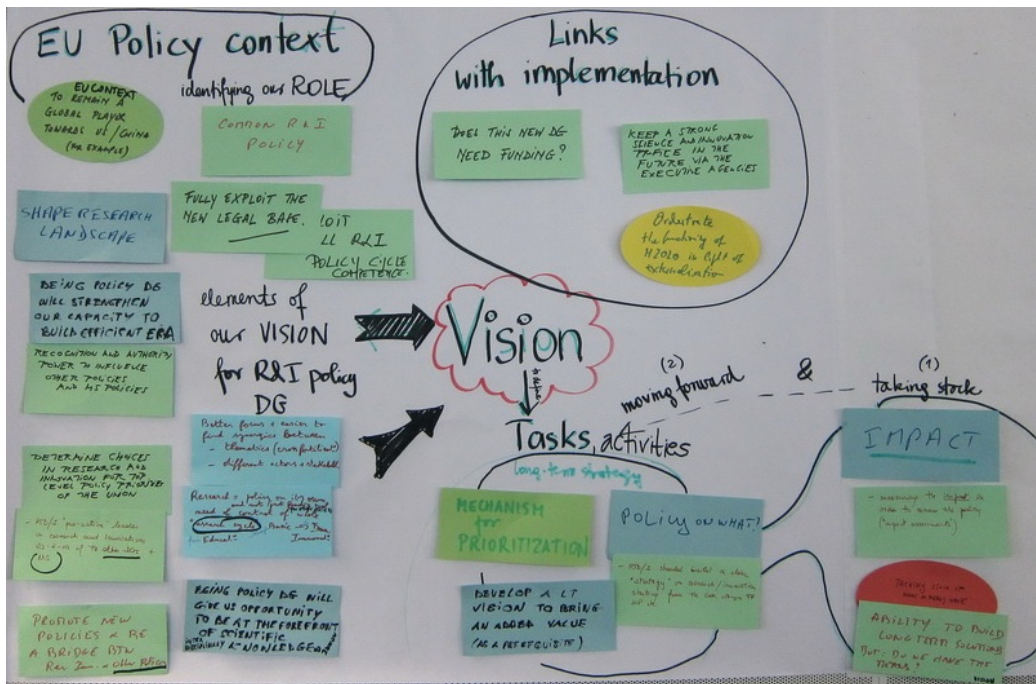
Open Space

hosted by Jim Dratwa and Carmen Ianosi

In introducing the Open Space, Jim explained the different roles in this context and the principles of Open Space, drawing attention to passion as well as to responsibility. There were four ways in which a participant could take part:

- By actively proposing a question or issue. The proposer would then call and host a conversation on this issue, in one of the two time slots provided;

- By taking part in such a conversation;

- By 'shopping' between –in fact cross-fertilizing– conversation groups, which indeed participants were to do if and when they felt that they could best learn and contribute elsewhere.

- By taking time for reflection.

Building on the earlier conversations and harvests, the trigger question was: *what are the conversations we need to have to make this happen*, to tap into or unlock this potential and this added value?

Introducing the Open Space principles

The Reflection Group had already put forward three questions which its members felt were important for finalising the report. Other participants proposed additional burning questions. In total, six groups discussed the following questions in the morning (hosts calling the sessions are indicated in brackets):

1. How to design a system that generates evidence for a R&I policy DG? (Jean-Claude Burgelman)

2. How to follow the results of EU funded projects and use them in designing our Research and Innovation policies? (Glyn Evans)

3. What is the job of a policy making officer in the future R&I DG? How do we go about developing these jobs? (Sigi Gruber)

4. What should be the scope / mission of a R&I policy DG? (Frederick Marien)

5. What are the implications and challenges to be a policy DG with money? (Thomas Arnold)

6. What / how could be the target organigramme chart of our R&I policy DG? (Bruno Wastin)

…And the following three groups worked in the afternoon session:

1. How should R&I policy in the EC be organised from a SecGen perspective? (Johannes Klumpers)

2. How to make it happen while managing a small fraction of public policy support? (Bruno Schmitz)

3. How a R&I policy DG can still be considered the leader in R&I activities once all management is passed to other bodies? (Andrea Tilche)

After two intense rounds of open space, it was time to share the outcome of these meaningful conversations in plenary.

MOVING KEY AREAS FORWARD
OPEN SPACE CONVERSATIONS THAT MATTER

Sharing the results

All nine groups had prepared 'harvesting sheets', on which they indicated their calling question, the host and summarised the key points of the conversation about issues identified and proposed next steps. These sheets were made available to the Reflection Group for consideration in finalising their report to the DG immediately after the seminar.

The hosts of each group reported back in plenary to share the results of their intense conversations orally.

Because of the nature of the challenges, there was a certain overlap in the problem statements, the issues in need of priority attention identified and the proposed responses in the short and medium term.

In order to enhance readability of the newsletter of the event, we opted for a presentation of key points cutting across all working groups instead of a sequential presentation of each group.

We can group the points arising from the conversation in several clusters or headings in the bullets below. Selected quotations illustrate convergent concerns or comments.

DG Research and Innovation has and will have added value!

The move is not from a spending DG to a policy DG, but from a policy DG with money to a different policy DG with money and with more options for policy.

If you devolve responsibility for research policy you will lose the policy.

Research centralised under one umbrella (such as DG R&I) provides an added value through:

- Increasing effectiveness by avoiding the repetition of actions by other services in the Commission
- Providing for a better 'think tank' for planning strategic programming
- Ensuring continuity in the research cycle, from education to innovation
- Increasing synergies of research actions between thematic domains for meeting Grand Challenge objectives

- Better management of international participation in support to the implementation of global objectives (i.e. for combatting climate change) or for the creation of large infrastructures (CERN, ITER, diseases, etc)
- DG as a knowledge base for other DGs to support their policy making: NB: this is a service, it does not drive R&I policy in Europe
- Do not allow that our thematic activities are split among other policy DGs
- Decision makers need to understand that research projects are a long-term investment for delivering results.

Key factors of success for a policy-oriented DG RTD

The transition phase is very difficult to manage.

We are already a policy DG and should therefore avoid the potential misperception of "we and the others" and "us wanting to become like the others".

We need VISION:
- Our challenge is going beyond the simple implementation of the Treaty provisions by understanding and responding to the needs of the whole knowledge triangle, from education to innovation.
- MGQ is the Commissioner for Research, Innovation and Science. Right now, we do not have a science policy, but a research policy. We need a clearly defined role (science for policy, policy of

science, both, attention to non-technological innovation, what else?)
- DG RTD has no legal basis to work on innovation, DG ENTR has such a legal base
- Supporting policies does not mean to be a policy maker; RTD policy is not to be confused with JRC.
- We need to accept that the policy and RTD cycles are 'out of sync'! We need to go beyond the short term.
- FP rules are cumbersome. It is difficult to drive policy with a cumbersome tool – we therefore need

- to separate policy and funding programme budgets.
- Involve and represent a variety of actors, but not just as a facilitator.
- Think big! Focus only on high added-value initiatives.

We need an evidence gathering system to underpin policy development and implementation. It involves:
- Deep knowledge on thematic trends (foresight, horizon scanning) to stay ahead of the frontier in thematic areas;
- Deep knowledge on R&I policies in MS, Europe and globally (country, continent desks, observatories). This implies we need a systematic input from MS trends and developments;
- More performance audits, going beyond impact assessments (value for money) as input to start new policy cycles;
- This implies developing key performance indicators.
- Matrix: combine the knowledge of "country desks" with thematic trend analysis
- A coherent methodology for defining what evidence is needed;

- Evidence needed on the impact of R&I on growth and sustainability;
- we need to know very well what goes on in the thematic DG's as well as the related policy DGs.

<u>We need a definition of the new mission to translate into job profiles & competencies</u>
- Composition of units: mix of competences: science-related issues; innovation part (what industry and other stakeholders want); economists, lawyers; negotiating skills, capacity to follow-up what goes on in other MS and policy DGs.
- Within the Unit s/he could occupy the whole range of positions (e.g.: an economist could manage to get some expertise in a policy field, move to a communication function and then get a head of sector position.
- Head of Unit positions would be for the generalists only. Specialists would strengthen their expertise and if possible get an advisory position for their DG.

<u>We need to ensure that contact remains between policy design and implementation structures</u>
- define relation/task distribution between policy DG and Agencies (clear missions, mutual interest needed)

- organise feedback mechanisms – important a) for credibility of policy maker, b) for the usability of results for other policy DGs
- organise interaction with the scientific community (not necessarily only through consultants, who know how to please client)
- for the flow of information, we need to create forums, where people (knowledge producers and knowledge users) can meet, exchange ideas and collaborate

- Project level info might not be appropriate to be directly channelled into policy design! Policy design is more than exploiting project level info, but such info is important to underpin the credibility of more aggregate messages! = evidence for policy making/examples to be extracted
- The future organigram should prevent the disconnection between the Agencies and the Policy Units.

Next Key actions:

Clarify paradigms and internally communicate the direction of change to avoid misunderstandings.

- Define the scope of our DG
- Convince others that research can play an essential role at European level for meeting grand challenges and for coordinating research. DG RTD should be recognised essential for the design and implementation of the European R&I policy
- Make inventory of what we are good at in, the successes we have made as a policy DG throughout the three past decades (like ERC), and learn lessons from other DGs

- Common policy implementation /support services (legal advice, audit, monitoring, evaluation, dissemination, communication, IT) encompassing all actors and going beyond common governance should be developed
- Identifying (in writing) the impact of devolving research and innovation policy to sectoral policies
- The scope and extent of Partnerships with MS need to be defined (we should not limit ourselves to facilitation).
- Analyse the contributions our DG is giving indirectly (through other DG's and Eurostat, for example Eco-Innovation indicators) to the European Semester, may be contribution not recognised as DG RTD contribution.
- Develop key performance indicators for research (e.g. lead research in batteries) and for R&I policy (e.g. more industry research by X)
- Systematic scanning of thematic areas;
- Need to do a skills audit: We don't know the present capacities of the staff
- Communication aspect: urgency to pass a positive message to motivate staff to stay (not only decentralisation). Make staff understand that they still have the competencies for a policy DG. We need to retain the best competences. We need to communicate that now.

- Define what we want from the system: meaningful info to be extracted from projects.
- Design feedback mechanism between major stakeholders: society, other policies, executive agencies, scientific community, etc.
- Design a communication strategy, systematic exchange of info with major stakeholders
- Launch of big ("man on the moon" like) cross-thematic activities.

Questions that need answers:

- What will change for us as a policy DG with money, when a major part of implementation will be done through agencies?
- How to ensure thematic coherence between agencies/DGs? (see the experience DG ENTR with space and security)?

- How to develop relations with other DGs with an increasing temptation in other DGs to take control over research budget?
- What role /coherence with direct actions of JRC? Scientific Advisor?
- How to exercise hard power/soft power through money?
- How to ensure a common identity seen from outside?
- If our own policy is research & innovation - why should we keep environment research?
- What are Research Ministries doing in the MS? Would allow us to better understand what our key role could be?
- How to capture societal concerns? Make R&I meaningful for citizens? -- Frameworks for observation to be set and measurements;

Pop Corn Check-Out

Karen led the check-out of the day, which took on the form of a "pop-corn". She thanked participants for their openness and willingness to share and offered a good stretch of legs and the last opportunity of the day to express themselves freely. She proposed to pop out reactions along three options for this last individual sharing: "to highlight something that was already raised during the day, and which was especially important or meaningful to mention in the closure", "to raise a new issue that has not been spoken today and would merit being explored", or "to comment on the process of the workshop".

The outcome is depicted overleaf.

48

Closing the Day

Sigi Gruber captured the mood when she said "We have enjoyed a day of very productive conversations together. We thank the hosting team for helping to create the conditions for this. We are coming out of this day with a good number of ideas and proposals for the future of DG Research and Innovation as a fully-fledged policy DG. One day is not enough to elaborate all the ideas in sufficient detail, but we see this as an excellent beginning. We would like to invite Robert Jan Smits to join and host the continuation of this conversation and to engage with middle management in shaping the future of our DG."

The closing remarks by Paras stayed in participants ears: "We need to be ambitious although some things seem impossible to implement now!"

LIST OF PARTICIPANTS

ARANO Begona (RTD)
ARNOLD Thomas (RTD)
BELLENS Marc (RTD)
BERNOT Christine (REA)
BURGELMAN Jean-Claude (RTD)
BOHLE Martin (RTD)
CARACOSTAS Paraskevas (RTD)
CORPAKIS Dimitri (RTD)
DELIYANAKIS Nicholas (RTD)
DI VIRGILIO Sergio (RTD)
EVANS Glyn (RTD)
FAVREL Vincent (RTD)
FERNANDEZ-CANADAS Priscila (RTD)
GAUTIER Fabienne (RTD)
GRUBER Sieglinde (RTD)
HALL Timothy (RTD)
HERMANS Stefaan (RTD)
HOEVELER Arnd (RTD)
JOLIFF-BOTREL Gwennael (RTD)
KARAPIPERIS Leonidas (RTD)
KLUMPERS Johannes (RTD)
KOLAR Patrik (RTD)
LAROCHE Gilles (RTD)
LECBYCHOVA Rita (RTD)
LIPIATOU Elisabeth (RTD)
MALO Jean-David (RTD)
MATHY Pierre (RTD)
MARIEN Frederick (RTD)
MATTHIESSEN Line (RTD)
MILUKAS Arnoldas (RTD)
NARAI Istvan Laszlo (RTD)
PAPAGEORGIOU Georges (RTD)

PAPAZOGLOU Theodore (ERCEA)
PRISTA Luisa (RTD)
PROST Thierry (ERCEA)
SCHMITZ Bruno (RTD)
TILCHE Andrea (RTD)
VANNSON Philippe (RTD)
VIDAL-RAGOUT Maria Jose (RTD)
WASTIN Bruno (REA)
ZANCHI Marina (RTD)

For those interested to learn more about how we designed and run this seminar and how we collected its results

THE APPROACH:

The overall approach used to design, host and harvest this strategic conversation is called the **Art of Participatory Leadership** in the context of the European Commission and the **Art of Hosting meaningful conversations outside** (www.artofhosting.org)
It activates the collective intelligence of a group in order to find new solutions to shared challenges. It is particularly helpful to engage groups in large-scale conversations around strategic areas. This approach is gradually being brought into more and more organisations and communities across the world through the hosting and facilitation of meetings and through dedicated training actions.

Should you want to learn how to practice this approach in your working contexts, we regularly offer 3-day intensive seminars at the Commission – Check the dates available in Syslog Web Training under 'participatory leadership'.

You can read more about the methodology here:
http://www.cc.cec/wikis/display/learninganddevelopment/Participatory+leadership

LANDSCAPE:

A Landscape is a visual representation of a participatory process. It includes both what we are going to do during the process and how we are going to work together. It allows everyone to project themselves into the event from the start and to follow its progression through its development. It can also be used to capture key insights that surface during the conversations.

CHECK-IN & CHECK-OUT:

Usually practiced in circle (except with large groups), the check-in is an introductory question which allows people to get to know each other, to settle-down and to focus everyone's attention on what matters. The check-out is based on a question designed to capitalise on the individual and collective learning. This practice can be used systematically at the beginning and end of meetings in all contexts.

WORLD CAFÉ:

The World Café is a method for creating a living network of collaborative dialogue around questions that matter in real life situations. It is a provocative metaphor: as we create our lives, our organizations, and our communities, we are, in effect, moving among 'table conversations' at the World Café.

www.theworldcafe.com

OPEN SPACE:

The goal of an Open Space meeting is to create time and space for people to engage creatively around issues of concern to them. The agenda is set by those people present who have the passion and commitment to see it through. After their work in groups, the hosts of the session report back to the plenary. It is a simple and practical way to catalyze effective working conversations and to invite organisations to thrive in times of swirling change.

www.openspaceworld.org

HARVESTING & CONVERGENCE METHODOLOGIES:

Harvesting the fruits of meaningful conversations is more than just taking notes. What if we were planning not a meeting but a harvest? For meaningful conversations to produce all their benefits each conversation must feed into the next one. When approaching any meeting in this spirit, we must become clear about why we are initiating the process. We must sense the need, prepare the field, plan the harvest to identify what would be useful and add value and in which form it would serve best, then harvest and - to finish - plan for the next harvest.

There are many ways to collect the results of important conversations and to make sense of them.

www.artofhosting.org/thepractice/artofharvesting/

www.interchange.dk/practices/artofharvesting

ENDNOTES

[i] There are many definitions of the term 'policy'. For example: « A set of interrelated decisions taken by a political actor or group of actors concerning the selection of goals and the means of achieving them within a specified situation where those decisions should, in principle, be within the power of those actors to achieve. », William Jenkins (1978), *Policy Analysis*, London: Martin Robinson, p.15

[ii] It is clear that the transformation of the EU into a 'federation of nation-states' as advocated by President Barroso would most probably impact the field of R&I policy and the role of our DG.