

EUROPEAN ASSOCIATION OF  
RESEARCH AND TECHNOLOGY  
ORGANISATIONS

## **EARTO 2010-2011**

**A Report on EARTO Activities in 2010  
and First Priorities for 2011**



# FOREWORD

## FROM THE PRESIDENT OF EARTO



Dear Colleagues,

2010 was a very special year for our association, for we celebrated the 10<sup>th</sup> anniversary of its foundation.

Looking back over the past ten years, we see that we have made good progress: the membership of the association has grown steadily and today EARTO is well established on the Brussels scene and is recognized as the authoritative voice of Europe's RTOs.

Proper recognition of RTOs – by the European Commission and the European Parliament, but also by national and regional governments in Europe – has always been the association's key objective, and it was the principal motivating force behind the original decision to merge the two earlier associations, EACRO and FEICRO, into EARTO.

Events since then have proven that the founding fathers of EARTO took the right decision. We have clearly succeeded in raising the profile of RTOs. More and more European decision makers now understand that research and technology policy is about more than just academic research and business R&D: RTOs are an important "third force", with a distinctive role linking the worlds of

government, business and university research.

But much more remains to be achieved. As you will read in the following pages, last year saw a substantial strengthening of EARTO's communications strategy, specifically timed to coincide with the start of the policy discussions about the next generation of European research and innovation policies. EARTO and its member RTOs enter these discussions with a collective image and credibility that they never had previously.

The economic and financial crisis has hit RTOs in some countries quite hard. But, interestingly, not in all. Some governments have recognized that more public investment in innovation is needed to help exit the crisis and have protected budgets for research. That is good news for the RTO community.

There is good news, too, in the European Commission's *EU2020* and *Innovation Union* proposals. There seems to be an emerging consensus among policy makers that we must focus on tackling the major societal challenges that confront us – climate change, resource scarcity, security of energy supply – while simultaneously building and sustaining a globally competitive economy. This is a policy agenda in which RTOs have a major role to play. And it is the agenda that your association will promote in 2011.

A handwritten signature in dark ink, appearing to read 'Erkki KM Leppävuori'.

**Erkki KM Leppävuori**

President and CEO of VTT Technical Research  
Centre of Finland  
President of EARTO



# INTRODUCTION

## FROM THE SECRETARY GENERAL OF EARTO



2010 was an extremely busy year for the secretariat of your association.

A particular highlight was the celebration of the 10<sup>th</sup> anniversary of the foundation of EARTO, which made the annual conference in Gothenburg last May a particularly convivial occasion.

2010 may well go down as the year that marked a major turning point in European research and innovation policy. A new Commissioner for Research, Innovation and Science mapped out an agenda for future European policies, focused on tackling societal grand challenges, which accords well with the mission of RTOs.

Your association was quick to understand the challenge and the

opportunity. EARTO has significantly stepped up its activities to reinforce the RTO message and brand. The report on the *Impacts of European RTOs: A Study of Social and Economic Impacts of Research and Technology Organizations* that we commissioned from Technopolis Group has attracted much attention, and the parallel publication of a collection of high-impact innovation case studies featuring EARTO members has further pushed home the message that RTOs have a key role to play in combating the financial and economic crisis, in sustaining a competitive economy, and in helping to tackle societal grand challenges.

In parallel, less visibly perhaps but no less importantly, EARTO has continued to pursue during this past year its strategy of meeting individually with selected policy makers in the European Commission and European Parliament, quietly explaining RTOs'

distinctive importance. Slowly the message percolates.

At the same time, we have been active in producing well-argued position papers and in testifying before Parliament committees and Commission expert groups.

The work continues. 2011 will be an equally busy year, for many of the key decisions about future European research and innovation policy, including FP8, will have been substantially formed by the end of the coming year.

On 12<sup>th</sup>-13<sup>th</sup> May we will have an opportunity to discuss together these and other developments at the 2011 EARTO Annual General Meeting in Poland. I very much hope to see you there.

A handwritten signature in black ink, appearing to be 'CJH', with a stylized flourish at the end.

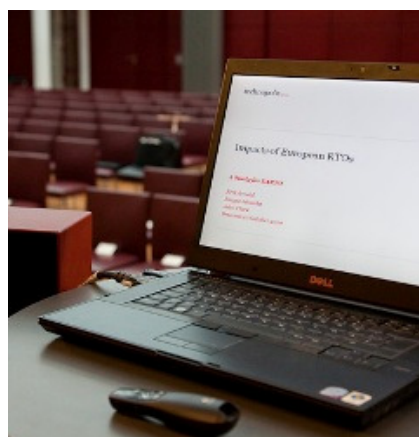
**Christopher John Hull**  
Secretary General of EARTO



# TABLE OF CONTENTS

<b>Highlights of the year</b>	<b>8</b>
<b>EARTO activities in 2010</b>	<b>11</b>
<b>Section 1 – Key policy priorities</b>	<b>12</b>
<b>Section 2 – Engagement with key stakeholders</b>	<b>18</b>
<b>Section 3 – Communication activities</b>	<b>20</b>
<b>Section 4 – Events, networking and exchange among members</b>	<b>22</b>
<b>Section 5 – Promotion of best practices</b>	<b>24</b>
<b>Section 6 – Additional members’ services</b>	<b>26</b>
<b>EARTO meetings and events in 2010</b>	<b>29</b>
<b>EARTO in 2011: initial priorities and activities</b>	<b>34</b>
<b>Who’s who</b>	<b>36</b>
<b>EARTO Executive Board</b>	<b>36</b>
<b>EARTO Secretariat</b>	<b>37</b>

# HIGHLIGHTS OF THE YEAR



EARTO commissioned an **independent study on the role and impact of RTOs** in Europe, which was conducted by the **Technopolis Group**. The study – the first of its kind at European level – demonstrates that RTOs are key actors in the European innovation system. It estimates their annual economic impact at up to €40 billion – and up to €100 billion in a longer-term perspective – and highlights their importance in tackling key societal challenges.

The report, which has attracted substantial press coverage and will help to raise the profile of RTOs at European and national level, makes several key policy recommendations to help governments fully exploit the potential of RTOs.

2010 also saw the implementation of a reinforced **EARTO communication strategy**, supported by a task force of corporate communications specialists from EARTO members, which oversaw the publication of a set of high-impact case studies illustrating the key contribution of RTOs to innovation. The objective is to strengthen RTOs' visibility and positioning in the discussions about the next generation of EU research and innovation programmes, which began with the publication in October 2010 of the Commission's Innovation Union proposals.



On the **EU policy side** 2010 brought important Commission proposals on the **simplification** of the Framework Programme, on Tolerable Risk of Error and on the Triennial Revision of the Financial Regulation. EARTO took a leading role in the debates on simplification throughout the year, adopting two key position papers on simplification and on the revision of the Financial Regulation, and representing RTOs, and research organizations more generally, in key EU Presidency and



European Parliament workshops and hearings.

EARTO also continued its programme of individual meetings with key European decision makers, including prominent MEPs, to raise awareness of the distinctive role of RTOs.



2010 marked the start of policy discussions on the **next generation of European research and innovation policies and programmes**, with the publication of the European Commission's EU2020 Strategy and its Innovation Union flagship initiative as well as of interim evaluation reports for all of the present major research and innovation programmes.

EARTO was prominent in the related discussions, publishing a position paper on the contribution of RTOs in Addressing the Grand Challenges in May 2010 and preparing a position paper on the next generation of EU research and innovation programmes for release at the start of 2011.



The 2010 EARTO Innovation Prize award ceremony attracted prestigious speakers, notably the *European Commissioner for Research, Innovation and Science* **Máire Geoghegan-Quinn**, and over 150 high-level participants from the European Commission, the European Parliament, national and regional representations in Brussels, industry and other research stakeholders.



The 2010 EARTO Annual Conference took place in Gothenburg, Sweden, from 19 to 21 May 2010. It was kindly hosted by RISE (Research Institutes of Sweden) Holding AB and took as its theme Sustainable RTO's for a Sustainable Economy and Society. Some 150 participants enjoyed a varied programme of stimulating contributions in a highly convivial atmosphere, a high point of which was the celebration of the tenth anniversary of the founding of EARTO.



# **EARTO ACTIVITIES IN 2010**

## SECTION 1 – KEY POLICY PRIORITIES

Key policy priorities in 2010 included tracking the implementation of present EU research and innovation programmes, monitoring policy developments and the preparation of the next generation of programmes, and ensuring the involvement of EARTO and RTOs in new policy initiatives.

### IMPLEMENTATION OF EXISTING PROGRAMMES

#### *Ex-Post FP6 Project Audits*

Throughout 2010 EARTO continued to monitor with the greatest attention the issue of ex-post FP6 project audits, which has threatened serious financial harm to many RTOs. Following a successful lobbying campaign by EARTO and other key stakeholders, the Commission adopted a Communication on Simplification of the Recovery Process in the Framework of the Audit Strategy under the Framework Programmes for Research at its last meeting before Christmas 2009. The Secretariat thereupon produced guidance

for members experiencing problems with ex-post audits.

This Commission Communication was intended, among other things, as a response to the discharge report on the 2007 budget voted by the European Parliament, and in particular its resolution which stipulated that the Commission should refrain from recalculating the financial statements of FP6 projects already approved and settled. Following successful lobbying efforts by EARTO, the discharge report on the 2008 budget, voted in April 2010, repeated many of these same points.

The EARTO Task Force on ex-post FP6 project audits met several times in 2010 to consider joint action towards the Commission and to exchange information and ideas on how best to respond to Commission accusations of financial reporting errors. The Task Force also examined a model for calculating eligible costs produced by Norwegian RTOs. The focus of the Task Force was widened to cover other financial issues, including FP simplification.

The Secretariat met with key Members of the European Parliament throughout 2010, to raise awareness about the issue of ex-post FP6 project audits and to highlight the damage the ex-post audit campaign had created. EARTO was also able to raise these issues during several parliamentary hearings on FP simplification and on the revision of the Financial Regulation.

These efforts proved successful inasmuch as Parliament adopted a report on FP Simplification in November 2010 stating that EU financial control systems should clearly distinguish between fraud and errors and arguing for the use of a "single audit approach" and "real-time" auditing to enable beneficiaries to correct any systemic errors and submit improved cost

statements the following year. While the impact of this Parliament resolution on the FP6 ex-post audits campaign is likely to remain limited, it will put pressure on the Commission to adopt a different control system for FP7.

### **Implementation of FP7 and Simplification**

Simplification of the Framework Programme has been one of the top priorities of the new Commission which took office in early 2010. This issue is mainly strategic and long-term, as many of the needed changes would only apply to FP8. However, it is also an opportunity to progress on important issues such as solving the ex-post FP6 audit crisis or finding appropriate solutions to FP7 implementation problems. EARTO has been very active from the start and has pushed for meaningful simplification for all actors involved – Commission and beneficiaries.

In the first quarter of 2010, EARTO was deeply involved in the debate that preceded the adoption of the Commission Communication on Simplification. At a very early stage, EARTO contacted the influential CREST Committee (high-level committee of Member State R&D officials) to warn against certain worrying ideas contained in a Commission discussion paper.

EARTO was represented at a Spanish Presidency invitation-only workshop on the issue of simplification on 25 February 2010. This workshop was a direct consequence of a call by EARTO at a European Parliament hearing in 2009 for an inter-institutional workshop to reach common agreement on key issues of FP implementation.

EARTO was also among the speakers at a hearing on the implementation of FP7 organised by the European Parliament's Budgetary Control Committee on 27 April 2010.

These various discussions fed into the Commission Communication on Simplification of the Framework Programmes for Research, published on 29 April 2010. EARTO issued a position paper in response to the Communication,

welcoming some proposals, particularly the idea of a uniform interpretation of the rules across Commission services and the recognition of beneficiaries' usual accounting practices. However, the Association simultaneously opposed proposals based on a "one-size-fits-all" approach and the widespread use of flat rates.

The second half of the year was marked by the adoption of the Parliament's and Council's respective positions on FP simplification. EARTO was consulted by both institutions throughout the process, participating in a Belgian EU Presidency workshop on 14 July and a parliamentary hearing on 1 September 2010.

EARTO met key Members of the European Parliament from the ITRE (R&D) and CONT (budgetary control) committees – including the latter's rapporteur on simplification, Maria da Graça Carvalho – to promote its position paper on simplification.

The Association was instrumental in securing a number of key amendments asking the Commission to adopt simplification changes as a matter of urgency and to radically change its control approach to ensure that the ex-post FP6 audit fiasco would not happen again.

EARTO worked with other trade associations, and with members, to influence the Council Conclusions on Simplification. Both positions – EP report and Council Conclusions, respectively adopted on 11 November and 12 October – were broadly in line with EARTO's positions.

EARTO took part in a joint hearing co-organised by the Belgian EU Presidency and the European Parliament on 30 November to explore possible follow-ups to the Commission Communication on simplification. The Commission announced that it would shortly introduce a package of four simplification measures under FP7 rules, including broader acceptance of usual accounting practices and average personnel costs and uniform interpretation of the rules. EARTO sent a letter to Commissioner Geoghegan-Quinn on 16

November to urge her to implement these changes as a matter of urgency.

Simplification will remain a priority for EARTO in 2011 – both for an improved implementation of FP7 and in preparation for FP8.

### ***Triennial Revision of the Financial Regulation***

In May 2010 the Commission proposed changes to the Financial Regulation and its Implementing Rules, as part of the recurring triennial revision. The Financial Regulation is the general framework which defines the rules for the establishment and implementation of the budget of the European Communities.

EARTO has made proposals for taking into account the full economic cost of research, ensuring a uniform application and interpretation of the rules for participation at all levels, adopting proportionate controls, and reducing bureaucracy in the Framework Programme.

EARTO was invited to represent the research community at a public hearing on the revision of the Financial Regulation organised by the group of Socialists and Democrats of the Budgetary Control Committee in the European Parliament on 9 December 2010.

EARTO will continue its lobbying efforts on this issue with Parliament and the Council during 2011.

### ***Implementation of Research for SMEs and SME Associations Programmes***

In February 2010, upon request from a group of EARTO members, the Secretariat prepared guidance on a number of issues that had arisen in relation to the implementation of the SME-specific programmes (Research for SMEs and Research for SME Associations).

The EARTO guidance note was sent to the Research Executive Agency (REA), resulting in a meeting between EARTO, REA and DG RTD in May 2010. Although issues remain, EARTO obtained assurances with regard to the direct payment of RTD

performers by project co-ordinators and the use of escrow (trust) accounts, and the discussions confirmed that there is no objection in principle to the use of non-default IP transactions. Also, there is some hope that progress may be achieved on the recognition of SME associations as SMEs in R4A.

### ***IMI***

EARTO took a leading role during 2010 in constructively criticising the imbalanced IP-handling policy of the Innovative Medicines Initiative (IMI) and its 20% cap on indirect costs.

EARTO announced in December 2009 that the IMI Member States Representatives Group had accepted to review the IMI funding arrangements in 2010 and that the IMI IP Working Group would propose adjustments in relation to the IMI IPR policy. Several months later, however, the discussions did not seem to be progressing towards concrete improvements. EARTO then contacted other stakeholders in the medical research community and in July eleven pan-European organisations representing universities, research centres and biopharmaceutical SMEs issued a joint statement asking for an urgent revision of IMI's IP policy and its funding model, in time for the third IMI call for proposals. The statement attracted considerable press attention and was supported by other research stakeholders.

Although IMI published an *IP Guidance Note* in November, EARTO considers that this does not address certain crucial issues and remains in contact with other stakeholders to take further joint action in 2011.

EARTO Secretary General Christopher John Hull was invited to meet the independent expert panel reviewing the IMI JTI at the end of October 2010.

### ***JTIs Interim Evaluations***

Mid-term reviews of four of the five Joint Technology Initiatives took place in the second half of 2010. EARTO monitored the process closely. Comments on the ENIAC and ARTEMIS interim evaluation reports were integrated into the EARTO position

paper on the next generation of EU research and innovation programmes.

### ***European Institute of Innovation and Technology***

EARTO continued to monitor very closely the development of the EIT, including the first contractual agreements between the EIT and the three selected Knowledge and Innovation Communities (KICs), in which several EARTO members play a prominent role.

The main focus in 2011, in addition to the roll-out of the first KICs, will be the preparation of the EIT's Strategic Innovation Agenda, which will define its medium-term development strategy.

### ***Joint Programming***

Throughout 2010 EARTO tracked the implementation of the first wave of Joint Programming Initiatives, the selection of the second wave, and provided regular updates on the process via EARTO News.

EARTO was invited to provide comments on the framework conditions for joint programming by the dedicated CREST High Level Group on Joint Programming. The EARTO paper on Addressing the Grand Challenges served as a basis for our comments. EARTO insisted on the need for a strong element of top-down management when designing and implementing Joint Programming Initiatives, and pointed to the need for a real common-pot management budget.

## **INNOVATION POLICY AND NEXT GENERATION OF EU PROGRAMMES FOR R&D AND INNOVATION**

### ***Contribution of RTOs in Addressing the Grand Challenges***

A small invited delegation of CEOs from EARTO members met DG RTD Deputy-Director General Anneli Pauli, responsible for the development of European Research Area policy, in mid-February.

EARTO was invited to propose ideas for the practical design and implementation of major programmes addressing societal grand challenges. EARTO produced its Addressing the Grand Challenges position paper in May 2010. A central argument is that addressing the grand challenges implies multi-year, multi-disciplinary programmes with strong central management. RTOs are particularly well equipped to provide this expertise and long-term commitment.

### ***FP7 Interim Evaluation***

2010 was the year of the interim evaluation (mid-term review) of FP7. The members of the FP7 Interim Evaluation panel had a broad mandate, covering the rationale, design, implementation and impact of FP7.

EARTO Secretary General Christopher John Hull was invited to meet the evaluation panel on 22 June 2010, to provide feedback on RTOs' experience in FP7.

### ***Position Paper on Innovation Union and the Next Generation of Programmes***

Following the publication of the Innovation Union flagship initiative by the Commission in October 2010 and of the FP7 interim evaluation report in November 2010, the Secretariat worked with the newly created FP8 Task Force appointed by the EARTO Executive Board (see below) to prepare a position paper on Innovation Union and the next generation of EU research and innovation programmes.

The paper, to be published in early January 2011, builds on earlier EARTO positions and is intended as a first RTO input into the policy debate which will continue and



intensify during 2011, with the preparation of FP8 and other research- and innovation-related programmes.

EARTO launched a membership survey on the CIP and its successor programme, incorporating resulting recommendations into its position paper on the next generation of EU research and innovation programmes.

### ***EARTO FP8 Task Force***

To help EARTO define its position on the next Framework Programme, a special FP8 Task Force with the participation of several EARTO Executive Board members has been launched. The Task Force had a first planning meeting in Munich on 13 December. Membership of the Task Force will be expanded to include other interested members, with regular meetings planned throughout 2011.

### ***Synergies between the CIP, FP and the Structural Funds***

In March 2010 EARTO was invited by the Spanish Presidency to participate in the *WIRE Conference on Innovative Regions* in Granada, Spain, from 15 to 17 March.

EARTO Secretary General Christopher John Hull spoke in a session on synergies between the Structural Funds, the CIP and the Framework Programme, emphasising the many practical misfits between the different programmes, the often unattractive financial conditions, and onerous audit requirements.

Following the conference, an expert group was launched to consider practical reform proposals, and EARTO was invited to nominate one of the members.

## **INVOLVEMENT OF EARTO AND RTOS IN NEW INITIATIVES**

### ***Stakeholder Platform on Common Principles for External Research Funding***

In March 2010 the European Commission's DG Research launched a stakeholder platform to produce recommendations aimed at reducing differences in research funding practices between European countries.

Christopher John Hull, EARTO Secretary General, represented RTOs, alongside representatives from the universities (EUA), the science funding organisations (EUROHORCs) and the applied research funding agencies (TAFTIE).

EARTO pressed for acceptance of three principles in particular:

- the full economic cost of research as the starting point for all funding programmes;
- full-cost accounting as the preferred cost-reporting method, and
- proportionate audit and other control procedures.

### ***High Level Group on Key Enabling Technologies***

Following the publication of a *Commission Communication on Key Enabling Technologies (KETs)* last autumn, the Commission established a High Level Group (HLG) to make recommendations for the more effective deployment of KETs in Europe. KETs include nanotechnology, micro- and nano-electronics, advanced materials, biotechnology, photonics, advanced manufacturing, and carbon capture and storage.

EARTO successfully nominated five of the 27 members of the HLG, including its chairman. They are: Jean Therme (CEA) – Chairman, Hans-Jörg Bullinger (President, Fraunhofer), Erkki Leppävuori (President, VTT and President of EARTO), Jan Mengelers (CEO, TNO) and Frank Rozelaar (QinetiQ).

The HLG promises to be a real opportunity to have a significant impact on future Commission research and innovation priorities, and the appointment of the five



EARTO nominees is recognition by the Commission of the important role of RTOs in developing and deploying strategic technologies.

## SECTION 2 – ENGAGEMENT WITH KEY STAKEHOLDERS



EARTO advances its policy messages and promotes the interests of its members through regular, targeted engagement with key stakeholders in the European institutions and in the wider Research and Innovation community.

### EUROPEAN COMMISSION

#### *Engaging with Commission Officials*

Throughout 2010 EARTO met with key officials in the European Commission and in the private office of Research, Innovation and Science Commissioner Geoghegan-Quinn, to ensure that the voice and the most pressing concerns of RTOs were heard.

In February 2010 a small delegation of CEOs and Senior Vice-Presidents of five large RTOs was invited by DG RTD Deputy Director General Anneli Pauli for a broad-ranging discussion of the role of RTOs in the developing European Research Area. An EARTO paper on RTOs contribution to *Addressing the Grand Challenges* was published as a follow-up to this meeting.

#### *European Commissioner at 2010 EARTO Innovation Prize Ceremony*

On 27 October 2010 the European Commissioner for Research, Innovation and Science, Máire Geoghegan-Quinn, made a keynote address at the award ceremony for the 2010 EARTO Innovation Prize. She shared her thoughts on the future direction of European research and innovation policies with the audience and presented the 2010 prize to the winning team from Fraunhofer-Gesellschaft.

### EUROPEAN PARLIAMENT

#### *Engaging with Key MEPs*

EARTO has an on-going programme of engagement with key Members of the European Parliament and their assistants. Throughout 2010 EARTO met MEPs with important roles in the Research (ITRE) and the Budgetary Control (CONT) Committees. The principal topics of discussion were FP simplification and revision of the Financial Regulation, in addition to generally raising awareness about the role and specific needs of RTOs. EARTO was notably instrumental in proposing key amendments for the European Parliament report on FP simplification, adopted in November 2010.

EARTO will intensify its relationship with key MEPs and their assistants in 2011 and 2012, when major matters such as Innovation Union, the future EU budget, and legislative proposals for FP8 and other research and innovation programmes will reach Parliament's agenda.

### ***Representing RTOs at Parliamentary Hearings***

In 2010, EARTO was invited to represent RTOs at several parliamentary hearings.

In April EARTO represented RTOs at a public hearing organised by the Budgetary Control Committee on implementation of FP7 and control systems under the FP and gave a robust presentation of the RTO's perspective on implementation problems in the FP and solutions for an improved management and control system of the Framework Programme for Research.

In September EARTO Secretary-General Christopher John Hull spoke at a public hearing on simplification of the Framework Programme organised by the EPP group of the European Parliament and its Rapporteur on FP simplification Maria da Graça Carvalho. EARTO highlighted key measures that RTOs would like to see implemented as a priority to improve the way the Framework Programme operates.

In December EARTO represented the research community at a parliamentary hearing on the triennial revision of the Financial Regulation, organised by the S&D group.

Throughout the year EARTO was regularly invited to participate in further roundtables and workshops organised by key MEPs. This is a measure of the growing recognition in the European Parliament of the importance of RTOs, and of the success of EARTO's on-going programme of engagement with key MEPs.

### ***Knowledge4Innovation***

The "Knowledge4Innovation" (K4I) platform, is a non-profit Brussels-based European association for organisations wishing to promote innovation and innovation policy dialogue. EARTO is a member of K4I and of the K4I Forum of the European Parliament, a platform designed for MEPs and the business and

science communities to effectively promote their respective agendas and to jointly discuss innovation policy issues.

### **EUROPEAN COUNCIL AND COUNCIL PRESIDENCIES**

EARTO proactively engaged with the European Council and the Spanish and Belgian Presidencies of the Council in 2010. The association was directly consulted by both presidencies on a number of key issues, including FP simplification and the implementation of Joint Programming.

EARTO will seek to build a good relationship with the Hungarian and Polish presidencies in 2011.

### **OTHER STAKEHOLDERS**

#### ***Cooperation and Exchange of Information with Other Research and Innovation Stakeholders***

2010 saw the intensification of existing partnerships and exchanges with fellow stakeholder organisations based in Brussels and the formation of new relationships and alliances.

Throughout the year EARTO exchanged information on pressing issues such as *ex-post* FP6 project audits, the Innovation Union, and the preparation of FP8. Relations with business representatives, in particular, were strengthened as a result of common interests on matters such as FP simplification and *ex-post* project audits.

#### ***Joint Projects with Research and Innovation Stakeholders***

During the year EARTO continued to work with other research and innovation stakeholders on a number of long-term joint projects, including the *DESCA Model Consortium Agreements* for FP7 and the *Responsible Partnering* initiative. EARTO will pursue these activities in 2011.

## SECTION 3 – COMMUNICATION ACTIVITIES



Communicating with members and with external audiences is vital for building the RTO community and communicating the RTO brand.

### CORPORATE COMMUNICATION

#### ***Enhanced EARTO Communication Strategy***

The EARTO Executive Board reviewed the Association's overall strategy in autumn 2009, resulting in a decision to reinforce communication activities.

Since then the Secretariat continues to develop and implement an enhanced communication strategy, in partnership with a task force of corporate communications experts from member RTOs.

#### ***EARTO Communication Task Force***

The Secretariat and the Communications Task Force, which comprises corporate communications experts from several EARTO member RTOs, worked during the spring and summer of 2010 to develop a first publication of high-impact case studies illustrating the contribution of RTOs to innovation. Further case studies are planned for 2011.

The Communication Task Force will continue in 2011, also operating as a Working Group to exchange information and experience about how RTOs can best communicate key messages and their achievements

#### ***RTO branding***

The key focus of EARTO communication activities throughout 2010 was further development and projection of RTO branding. While existing activities supporting this goal – such as the EARTO Innovation Prize – continued, two important new initiatives were undertaken.

EARTO commissioned an independent study on the role and impact of European RTOs. The study – the first of its kind at European level – was conducted by the Technopolis Group. The report, released on 27 October 2010 at the EARTO Innovation Prize ceremony, clearly demonstrated that RTOs are key actors in the European innovation system. It estimates their annual economic impact in Europe at up to €40 billion – and up to €100 billion in a longer-term perspective – and highlights RTOs' importance in tackling key societal challenges.

The Technopolis report contains recommendations to European and national policy makers for more fully exploiting the potential of RTOs in Europe. The report has attracted substantial press coverage and will be instrumental in raising the profile of RTOs.

A brochure summarising the key messages from the report will be published in early 2011 for wide distribution in Brussels and nationally.

Throughout the year, EARTO received good press coverage.

The EARTO Innovation Prize ceremony on 27 October saw the publication of a brochure featuring case studies of high-impact innovations developed with a substantial input from an EARTO member RTO.

## **MEMBERS' COMMUNICATION**

### ***Newsletter EARTO News***

EARTO News is an electronic newsletter produced by the EARTO Secretariat every three to four weeks. It contains information about EARTO activities and events, European policy developments, and other RTO-relevant information. 14 issues were published in 2010.

### ***EARTO Website***

The EARTO website offers information on EARTO activities, publications and events as well as more general information of interest to RTOs. News of general interest to RTOs is updated on the EARTO website daily.

## **MEDIA RELATIONS**

The EARTO Secretariat runs an active programme of media interaction (general and specialised press) to ensure that EARTO messages are communicated to a wider audience.

The Secretariat maintains a media page on the EARTO website and prepares media-friendly documents, such as an RTO factsheet explaining what RTOs are and what they do, and providing useful statistics on the sector.

A press conference was organised to present the findings of the Technopolis report on the impact of European RTOs and the winner of the 2010 EARTO Innovation Prize.

## SECTION 4 – EVENTS, NETWORKING AND EXCHANGE AMONG MEMBERS

EARTO offers its members regular opportunities for networking and tailored exchanges of information and experience

### EVENTS

#### ***EARTO 2010 Annual Conference***



The 2010 EARTO Annual Conference and associated meetings in Gothenburg on 19 – 21 May were a great success. Organised around the theme of *Sustainable RTOs for a Sustainable Economy and Society* and hosted by RISE - Research Institutes of Sweden – the several events attracted around 150 participants. The 2010 Annual

Conference marked the tenth anniversary of the founding of EARTO.

#### ***EARTO 2010 Innovation Prize ceremony***



The second edition of the EARTO Innovation Prize attracted 11 submissions, out of which five went forward for final scrutiny by an independent jury. The winner of the 2010 Prize was Fraunhofer-Gesellschaft for its *Multi-junction Solar Cells* innovation, with commendations going to Joanneum Research (Viasense), SINTEF (FunzioNano), VTT (Eco-Mining) and TNO (Eolus).

The award ceremony for the prize took place at the prestigious Permanent Representation of the Free State of Bavaria to the EU in Brussels on 27 October. It attracted over 140 participants and featured presentations by:

- the European Commissioner for Research, Innovation and Science, Máire Geoghegan Quinn
- the Secretary of State of the Bavarian Ministry for Economic Affairs, Infrastructure, Transport and Technology, Katja Hessel, and
- Alain Demaegd, Member of the Private Office of Belgian Capital-Region Minister Benoît Cerexhe, representing the Belgian EU Presidency.



## **K4I 2d Innovation Summit**



Following the success of the first European Innovation Summit, organised by Knowledge4Innovation (K4I), a second event took place in the European Parliament on 11 and 12 October 2010.

This year's Summit focused on the need to address societal Grand Challenges. The event was attended by a large number of key players in the innovation field and several MEPs. EARTO was among the speakers during a session on the new Innovation Union strategy.

### ***Other events supported by EARTO***

EARTO supported a number of events organised by stakeholders in Brussels and elsewhere in Europe. A list is presented in the following section *Other Meetings with EARTO in 2010*.

## **NETWORKING AND EXCHANGE AMONG MEMBERS**

### ***EARTO Working Groups and Task Forces in 2010***

EARTO Task Forces active during the year included:

- EARTO Innovation Prize Preparatory Task Force
- EARTO-EUROTECH *ex-post* FP6 Audits Task Force (the remit of the Task Force being extended to cover Financial Management and Simplification issues under FP7)
- EARTO Communications Task Force
- FP8 Task Force

## **EUROTECH**

EUROTECH is a Special Interest Group in which the Chief Executive Officers and other senior management of the larger "national" RTOs meet twice a year to discuss issues of common interest. Some thematic working groups and task forces have been established through EUROTECH, including in the field of defence and security research and Framework Programme administrative issues (see above).

### ***ÆRTOS: An RTO ERA-NET***

A group of EUROTECH RTOs, with the assistance of the EARTO Secretariat, in 2007 prepared a successful proposal for an RTO ERA-NET project. This project raises the profile of RTOs and is intended as a strategic exercise in exploring and implementing longer-term transnational cooperation between them.

The original ÆRTOs partners are FhG (Coordinator), CEA, SINTEF, TNO and VTT. They were joined in 2009 by SP Group of Sweden and Tecnalia of Spain.

EARTO is participating in the project as a sub-contractor, with the particular role of facilitating the participation of additional RTOs in joint activities identified by the ÆRTOs partners

## SECTION 5 – PROMOTION OF BEST PRACTICE

EARTO seeks to promote best practices within and for the RTO sector.

### DESCA



EARTO has taken an active role in the DESCA initiative, in which a group of European and national organizations – ANRT, EARTO, Eurochambres, German CA-Team, UNITE – jointly developed a set of Model Consortium Agreements for FP7 which are well attuned to the needs and interests of RTOs. EARTO hosts the DESCA website.

The DESCA Core Group and Consultation Group met several times in 2010 to discuss potential amendments to the DESCA 2.0 Model Agreement. An updated version is expected to be released next year.

The Core Group also discussed the possibility of preparing Model Agreements adapted to specific sub-programmes, such as Marie Curie.

### RESPONSIBLE PARTNERING



The Responsible Partnering Initiative – launched by EIRMA and implemented jointly since 2005 by EARTO, EIRMA, EUA

and Proton Europe – has achieved significant visibility and is recognized politically as an important contribution to improving research-enterprise cooperation and supporting the adoption of “open innovation” practices in Europe.

A new edition of the Responsible Partnering Handbook was released in 2009. The revision brought the Handbook up-to-date without fundamentally changing the principal recommendations. Information on State Aid was added, the section on human aspects of effective collaborative research was extended and a new checklist for implementation of the guidelines was introduced. EARTO promoted and disseminated the updated version of the Handbook widely throughout 2010.

The Responsible Partnering guidelines will be further updated in the course of 2011, in accordance with proposed changes in the State Aid rules. Proposals contained in the Innovation Union flagship initiative published by the European Commission in October 2010 might also have an impact on the guidelines.



## BENCHMARKING SERVICE



EARTO launched its FP7 benchmarking database in 2008. This enables individual RTOs to compare their FP7 success against other RTOs, e.g. what percentage of

project proposals passes the evaluation threshold, what percentage gets accepted for funding, etc... Comparisons can be made separately for each of the main programmes within FP7 (thematic priorities, ERC, SME measures, etc...).

The survey was expanded in 2009 to include the CIP programme (ICT PSP – Information Communication Technologies Policy Support Programme – and IEE – Intelligent Energy Europe) and other European research programmes.

## SECTION 6 – ADDITIONAL MEMBERS' SERVICES

EARTO Membership provides additional benefits to RTOs, from special discounts to participate in third-party events to FP7 support services and a fully equipped meeting room in Brussels

### **SPECIAL RATES AND DISCOUNTS FOR EARTO MEMBERS**

EARTO tries to obtain special discounts on events and services to its members. For example, EARTO members benefited from a reduced registration rate to attend the WIPO workshop on IPR, Valuation and Dispute Resolution in November 2010.

### **FP7 TRAINING COURSES AND PROPOSALS REVIEW**

#### ***FP7 Training Courses***

To help its members explore European funding opportunities and participate in European programmes, EARTO endorses training courses on FP7 Proposal Writing and FP7 Project Management offered by Hyperion Ltd.

#### ***FP7 Proposals Review Services***

With the start of FP7, EARTO launched its FP7 proposal preparation service, which offers members the services of four carefully selected, specialized consultancy organizations at a highly advantageous price. The service providers offer support from the initial planning of a proposal through to final preparation, including a critical review of the complete proposal before submission to the Commission.

### **EARTO OFFICE AND MEETING ROOM IN BRUSSELS**



The EARTO Secretariat helps members in their contacts with the European Commission and with other European institutions and organizations. Typical requests for assistance concern obtaining documents, arranging appointments, advice about whom to contact, interpreting work programmes and calls for proposals, evaluation procedures, and complaint processes. We also help members establish their own presence in Brussels.

The Secretariat maintains a meeting room which is available for members wishing to organize events in Brussels (capacity of up to 12). In addition, we can help to obtain larger meeting rooms for up to 40 persons. We have recently acquired a conference phone allowing members to set up teleconferences when using our meeting room.





# **EARTO MEETINGS AND EVENTS IN 2010**

# EARTO MEETINGS IN 2010

## MANAGEMENT OF THE ASSOCIATION

<b>Annual General Meeting</b>	May 21 <sup>st</sup>	Gothenburg
<b>Executive Board</b>	May 20 <sup>th</sup> October 27 <sup>th</sup>	Gothenburg Brussels
<b>Steering Committee Meeting</b>	January 11 <sup>th</sup>	Brussels

## EARTO WORKING GROUPS, TASK FORCES, CONFERENCES, WORKSHOPS

<b>EARTO-EUROTECH EU Coordinators</b>		March 2 <sup>nd</sup> September 15 <sup>th</sup>	London Brussels
<b>EARTO-EUROTECH Special Interest Group</b>		April 8 <sup>th</sup> -12 <sup>th</sup> October 2 <sup>nd</sup> -4 <sup>th</sup>	Spitsbergen Eindhoven
<b>EARTO Communications Task Force</b>		April 19 <sup>th</sup> May 12 <sup>th</sup> June 10 <sup>th</sup> July 8 <sup>th</sup> September 16 <sup>th</sup> October 28 <sup>th</sup> December 2 <sup>nd</sup>	Brussels Brussels Brussels Delft Brussels Brussels Munich
<b>EARTO Task Force on FP6 ex-post Project Audits</b>		April 22 <sup>nd</sup> May 26 <sup>th</sup> November 24 <sup>th</sup>	Brussels Brussels Brussel
<b>EARTO Innovation Prize</b>	<b>Task Force</b>	May 7 <sup>th</sup>	Brussels
	<b>Jury</b>	September 15 <sup>th</sup>	Brussels
	<b>Award Ceremony</b>	October 27 <sup>th</sup>	Brussels
<b>EARTO Working Group</b>		May 19 <sup>th</sup>	Gothenburg
<b>EARTO Annual Conference</b>		May 20 <sup>th</sup> -21 <sup>st</sup>	Gothenburg
<b>EARTO Task Force on FP8</b>		December 13 <sup>th</sup>	Munich

## OTHER MEETINGS WITH/SUPPORTED BY EARTO IN 2010

<b>AERTOs ERA-NET Project</b>	<b>Board Meeting</b>	January 19 <sup>th</sup> -20 <sup>th</sup>	Brussels
	<b>Foresight Meeting</b>	January 20 <sup>th</sup>	Brussels
	<b>Board Meeting</b>	September 1 <sup>st</sup>	Brussels
	<b>Board Meeting</b>	October 28 <sup>th</sup>	Munich
	<b>Board Meeting</b>	December 14 <sup>th</sup>	Munich
<b>DG Research Workshop on Principles of External Funding</b>		January 20 <sup>th</sup>	Brussels
<b>DESCA Model Consortium Agreement</b>	<b>Core Group</b>	January 21 <sup>st</sup>	Brussels
	<b>Core Group</b>	September 22 <sup>nd</sup>	Brussels
	<b>Consultation Group</b>	September 23 <sup>rd</sup>	Brussels
<b>FEDIT FP7 Conference</b>		January 28 <sup>th</sup>	Madrid
<b>DG Research Foresight Expert Group</b>		February 25 <sup>th</sup>	Brussels
<b>K4I Management Board Meeting</b>		March 2 <sup>nd</sup>	Brussels
<b>R&amp;D Funding Stakeholder Meeting</b>		March 9 <sup>th</sup> April 26 <sup>th</sup> June 23 <sup>rd</sup> September 22 <sup>nd</sup>	Brussels Brussels Brussels Brussels
<b>European Week of Innovation Regions - WIRE</b>		March 15 <sup>th</sup> -18 <sup>th</sup>	Granada
<b>CLORA Workshop on Joint Programming</b>		March 25 <sup>th</sup>	Brussels
<b>European Parliament Hearing on Efficiency and Effectiveness of FP7</b>		April 27 <sup>th</sup>	Brussels
<b>FFA Annual Conference</b>		May 11 <sup>th</sup>	Oslo
<b>AERTOs Workshop</b>		May 19 <sup>th</sup>	Gothenburg
<b>FP7 Interim Evaluation Panel</b>		June 22 <sup>nd</sup>	Brussels
<b>EU Presidency Workshop on Simplification of the Framework Programme</b>		July 14 <sup>th</sup>	Brussels
<b>EPP Hearing on Simplification of the Framework Programme</b>		September 1 <sup>st</sup>	Brussels
<b>EU Presidency Workshop on Joint Programming</b>		September 15 <sup>th</sup>	Brussels
<b>Second European Innovation Summit</b>		October 11 <sup>th</sup> -14 <sup>th</sup>	Brussels

<b>IMI Interim Evaluation Panel</b>	October 27 <sup>th</sup>	Brussels
<b>AIRI Outsourcing Conference</b>	November 2 <sup>nd</sup>	Rome
<b>ACC1Ó Workshop on Innovative Regions</b>	November 11 <sup>th</sup>	Brussels
<b>WIPO Workshop on IPR, Valuation and Dispute Resolution</b>	November 12 <sup>th</sup>	Brussels
<b>COST Seminar on EARTO</b>	November 17 <sup>th</sup>	Brussels
<b>S&amp;D CONT hearing on the Triannual Review of the Financial Regulation</b>	December 9 <sup>th</sup>	Brussels





# EARTO IN 2011: INITIAL PRIORITIES AND ACTIVITIES

The following events and priorities are currently foreseen for 2011. Other events and activities will be introduced according to need and demand.

The Secretariat welcomes proposals from members for new activities, including subjects for Working Groups to exchange experience and good practice among member RTOs.

## TASK FORCES AND WORKING GROUPS

### *EARTO Working Groups in 2011*

The following Working Groups are currently planned for 2011:

- Quality Management Working Group (covering issues such as client satisfaction measurement, impact assessment, quality management procedures, complaints-handling procedures, corporate social responsibility policies, etc.)
- Corporate Communications Task Force and Working Group

### *EARTO Task Forces in 2011*

The following Task Forces will be active in 2011:

- FP8 Task Force
- State Aid and IP Issues Task Force
- FP Financial Management Issues Task Force (formerly EARTO-EUROTECH Task Force on *ex-post* FP6 projects audits)

## EVENTS

<b>EARTO FP8 Task Force Meeting</b>	February 15 <sup>th</sup>
<b>EUROTECH Special Interest Group</b>	April 10 <sup>th</sup> -11 <sup>th</sup>
<b>EARTO Annual Conference</b>	May 11 <sup>th</sup> -13 <sup>th</sup>
<b>2011 EARTO Innovation Prize ceremony</b>	December 7 <sup>th</sup>

## PRIORITIES

Key policy priorities for EARTO in 2011 will be:

- Implementation of the Innovation Union proposals, including Joint Programming, European Innovation Partnerships, European Research Area Framework
- Preparations for FP8 and the next generation of research and innovation programmes
- FP simplification

EARTO will release a position paper on Innovation Union and the next generation of European research and innovation programmes in early January 2011.

The European Commission is expected to release an orientation paper on FP8 in early February 2011. This paper will form the basis of a public consultation on FP8, which is expected to run until the summer.

Legislative proposals on FP8 will be adopted by the Commission before the end of 2011. EARTO will seek to influence the process at every step, forming alliances with like-minded stakeholders when appropriate. The EARTO FP8 Task Force will be instrumental in this work.

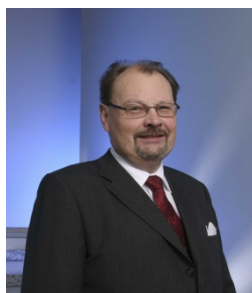
With regard to simplification, EARTO will seek to ensure that measures such as the acceptance of usual accounting practices and average personnel costs, and the uniform interpretation and application of FP rules and procedures, are implemented as a matter of urgency. EARTO will resist initiatives which could bring complication or disadvantage for RTO participants in the FP, in particular the widespread use of lump sums or results-based funding and control.

To reach these policy goals, EARTO will further engage with key Commission officials, Members of the European Parliament, EU Council presidencies, and other research and innovation stakeholders.

The Association will continue to strengthen the RTO brand, building on the findings of the Technopolis report on the impact of European RTOs and implementing an enhanced communication strategy designed to increase the visibility of RTOs and of the RTO community.

# EARTO EXECUTIVE BOARD

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## TREASURER



***Jan Mengelers\****, President, TNO, NL

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