



European Association  
of Research and Technology Organisations



2015

# Strengthening Positioning

[www.earto.eu](http://www.earto.eu)

## Dear Friends and Colleagues,

2015 was a key year for EARTO in strengthening RTOs' positioning in Europe as well as in strengthening its key partnerships with EU Institutions and others EU stakeholders.

First, I would like to thank Ms Maria Khorsand, our leaving EARTO President, for efficiently driving the EARTO association and greatly contributing in promoting RTOs' capabilities in Europe in the last two years. The key dossiers initiated last year are running now at full speed in the context of the active EU Dutch Presidency and are closely monitored by our Steering Committee and Secretariat. The efforts initiated last year to position EARTO at a higher level within the EU institutions are bringing visible results this year already.

Secondly, EARTO has positioned itself in the forefront thinking on the new idea of EU R&I Commissioner Carlos Moedas to set up a European Innovation Council, key element for the mid-term review of Horizon 2020 and the EU funding programmes post 2020. Throughout the year, EARTO also kept a vigilant eye on Horizon 2020 implementation. EARTO has already started last year its thinking on H2020 second wave of simplification, an effort that will surely continue and intensify in 2016 with the launch of H2020 mid-term review. Moreover, the new cooperation initiated with the European Court of Auditors on EU auditing policy will be continued as it is key for those dossiers.

# Annual report 2015

Thirdly, RTOs are now recognised as key actors of regional development able to support the design and implementation of Research & Innovation Strategies for Smart Specialisation (RIS3). EARTO's collaboration with the Joint Research Centre (JRC) last year has been vital for bringing forward such recognition by EU institutions, whether it was with the European Commission DG REGIO, the JRC itself managing the RIS3 platform, the Committee of the Regions or the European Parliament REGI Committee. Feedback on the JRC Policy Brief on RTOs & smart specialisation have been very good: hopefully EARTO members will be able to use this document further as a tool in their discussions at regional level. In 2016, EARTO will keep strengthening its new partnership with the JRC (MoU signed in June 2015).

Fourthly, 2015 was the year of President Juncker's new European Fund for Strategic Investments (EFSI), under which EARTO clearly pushed for a focus on research & innovation. As a conclusion of this intensive follow-up and adaptation of EFSI focus towards innovation, EARTO initiated a new partnership with the European Investment Bank (EIB) under the form of an InnovFin Advisory Service focusing on RTOs and mandated by the European Commission DG R&I. This mandate led to the creation of a joint working group gathering EIB and EARTO experts analysing RTOs' financial needs and the possible opportunities for RTOs under EFSI, EIB and EIF (current and future) instruments. These efforts will be completed by mid-2016 with an EIB paper highlighting policy recommendations addressing RTOs' needs to access finance.

Fifthly, open science and the digital single market strategy, with their related debate on open access to research data, were carefully monitored. RTOs' positions had to be raised during discussions throughout the year with the European Commission, the Council and its advisory Committee ERAC in collaboration with others stakeholders.

Furthermore, EARTO also supported the creation of the new position of EU Senior Adviser for Innovation within the European Commission last June. EARTO will be further supporting Mr Madelin, appointed for the position, in his work reporting on future innovation policy needs to EC President Juncker by summer 2016.

Lastly, the EARTO network also grew considerably welcoming 10 new RTOs in 2015. This annual report will give you a short overview of EARTO's achievements, activities and key events in 2015 which would not have been possible without the great support of its members this year again.

Thanking you all for your support to EARTO activities in 2015 and very much looking forward to a renewed level of engagement in 2016.

Kind regards,



**Frank Treppe**

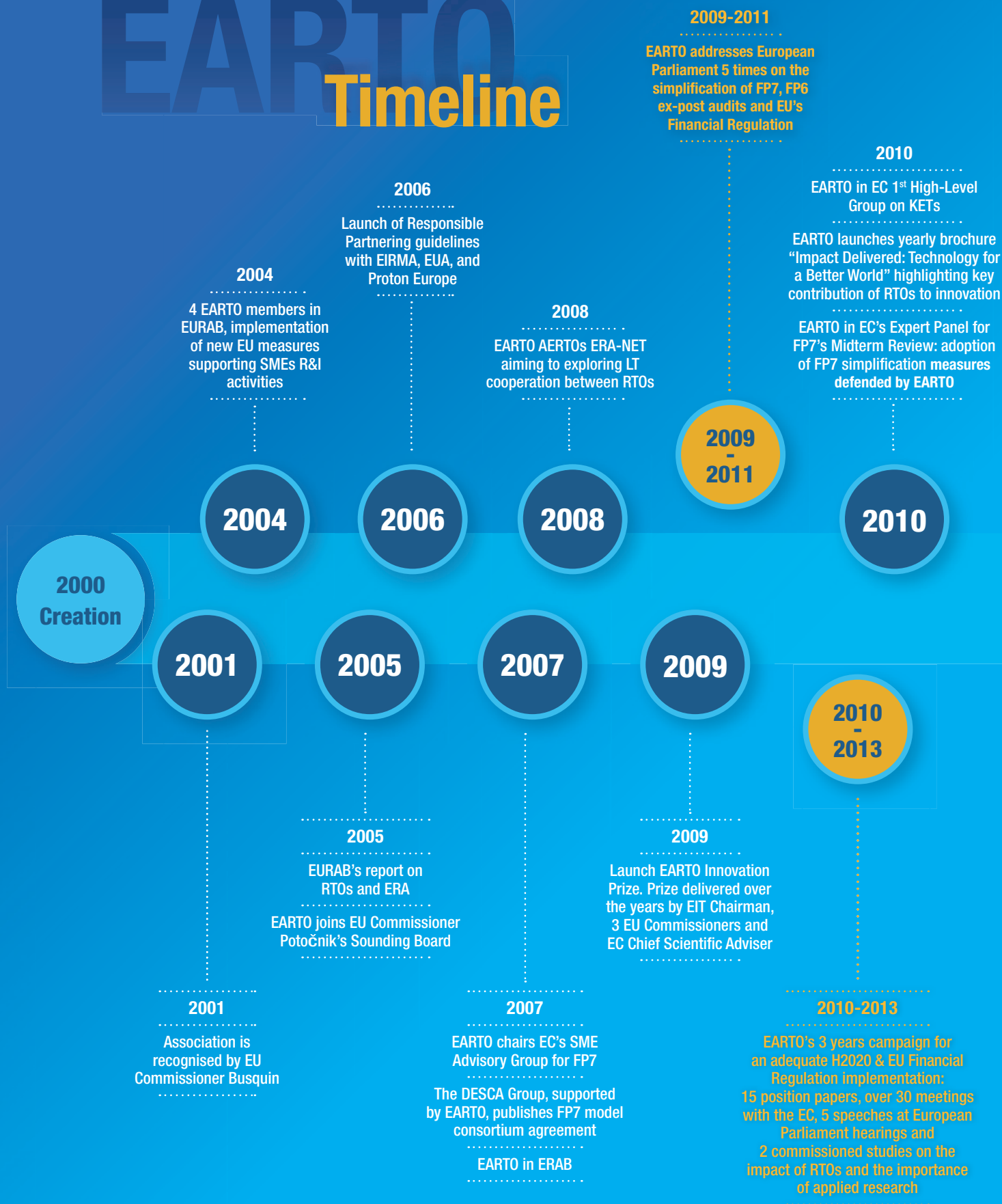
EARTO Vice-President, acting President

Director Corporate Strategy and International Affairs,  
Fraunhofer-Gesellschaft



# EARTO

## Timeline



## 2014

EARTO active on State Aid Rules Revision

EARTO ERRIN paper on Synergies  
ESIF/Horizon 2020

1<sup>st</sup> feedback paper on H2020  
1<sup>st</sup> calls with IGLO

EARTO Recommendations for Future  
EU Innovation Policy presented to 200  
EU policy makers & key stakeholders

1<sup>st</sup> Letter to EC President Juncker  
against cuts to H2020 in EFSI

## 2012

Member of ERA SHO Platform  
EARTO in ERIAB

Launch of LinkedIn group on H2020  
now over 10,200 members  
and Twitter account –  
now over 3700 followers

**10** active Working Groups

**8** press releases

**14** position papers

2012

2014

2015

2013

## 2013

Creation of the Large Research  
Infrastructure Scheme (LRI) in H2020,  
especially designed for RTOs

EARTO members in 2<sup>nd</sup> EC  
High-Level Expert Group on KETs

Creation of new working groups

InfoDay on H2020 with EIRMA

- EARTO, CESAER, EUA, LERU and Science Europe Joint Statement on Juncker Investment Fund & EARTO amendments to EFSI Regulation
- 15 EARTO Members CEOs meet EU R&I Commissioner Carlos Moedas, EU Senior Adviser for Innovation Robert Madelin, EU Regional Policy Commissioner Corina Crețu Cabinet
- EARTO Paper on Open Science & Open Innovation presented at European Parliament and 2<sup>nd</sup> EARTO Innovation School
- EARTO speaks at European Parliament on H2020 Midterm Review
- Launch of EARTO 1<sup>st</sup> Innovation School: Presenting EARTO Paper on TRLs scale with 50 EU officials
- Signature of MoU with JRC: publication of JRC Policy Brief “RTOs and Smart Specialisation”
- Launch of EIB InnovFin Advisory Services on RTOs and joint WG with EIB
- EARTO Paper on EIC handed over to R&I Commissioner Moedas at Innovation Awards

# EARTO NETWORKING

## OUR YEARLY EVENTS

To foster networking between members and exchanges with external partners, EARTO organises a number of internal meetings (Executive Board, Steering Committee, Working Groups) and public events. Yearly public events include:

- One **Annual Conference** with some 200 participants, co-hosted by one of EARTO members in its own country, rotating every year. This year, Luxembourgish EARTO member LIST kindly hosted the event.
- One **Policy Event** in Brussels discussing EU R&I Policy with also some 200 participants, followed by the **Innovation Awards Ceremony** in the evening, where EARTO members compete for the prize for best innovation of the year (two categories created in 2015: Impact Delivered & Impact Expected). Newly appointed EC Senior Adviser for Innovation Mr Robert Madelin gave the keynote speech of the Policy Event and European Commissioner Mr Carlos Moedas handed the Innovation Awards to the winners.

- Two **Innovation Schools**: EARTO launched in 2015 a new series of events, the Innovation Schools, specially dedicated to EU policy-makers. 2 sessions in 2015: Innovation & Technology Readiness Levels Scale (welcomed about 50 participants) and Open Science & Open Innovation (welcomed about 30 participants).

## OUR POLICY MONITORING

- EARTO Newsletter.
- EARTO website's news section updated daily with information from the monitoring of over 50 websites of EU Institutions and press. It also contains key press articles quoting EARTO.
- Twitter with over 3700 followers and EARTO LinkedIn Group on Horizon 2020 with over 10,200 stakeholders & policy makers.
- EARTO Members' Area contains all EARTO newsletters and WGs documents including key policy documents gathered as a result of networking efforts.

- EARTO attends over 60 events per year and spoke at 26 occasions in 2015. Reports of events are available in the newsletter. EARTO also encourages members' participation in key EU events on behalf of the Association to increase its reach.

## EARTO EXTRA SERVICES FOR ITS MEMBERS

- Meeting room: available to members for meetings of up to 12 participants for €250/day including projector, flipchart, wifi network and light refreshments (water, coffee and tea). Lunch arrangements are extra. Members needing a larger meeting room in Brussels are welcome to contact the EARTO Secretariat for assistance.
- New flexible working space: EARTO has recently reorganised its offices to accommodate an additional, one-person working space for its members to use whenever in Brussels. We warmly invite all our members to use this space any time during our offices opening hours.

## Our Network in Figures

### EARTO WGs:

**80%** of members actively involved  
**20** EU countries represented

EARTO WGs welcomed **24**  
speakers from EU institutions along the year

### Twitter & LinkedIn won more than

**500** followers and  
**1,000** members respectively  
in 2015

**7**

EARTO Newsletters

with total of

**105**

articles

**118**

articles

published on website news  
section, result of monitoring of over

**50**

websites

and some

**20**

external newsletters

**200**

people attended the EARTO Annual  
Conference in 2015.

**15%**

more

participants attended the Policy Event  
and Innovation Awards in 2015 when  
compared to 2014

Board & Steering Committee combined  
have met

**7 times**

(2 Board + 5 STCO)

# EARTO POSITIONING

## RAISING AWARENESS OF RTOS' POSITIONING IN BRUSSELS

- Published 3 key documents in 2015: "EARTO Paper on Open X", "The European Innovation Council - A New Framework for EU Innovation Policy" (handed over to R&I Commissioner Carlos Moedas at event), "Data on European RTOs".
- Raised the profile of RTOs and highlighted RTOs' success stories: Innovation Awards brochure and press release highlighting RTOs as global innovators.
- Continued high-level meetings with EU officials, including R&I Commissioner Carlos Moedas, EU Senior Adviser for Innovation Robert Madelin and Regional Policy Commissioner Corina Crețu.
- Strengthened collaboration with JRC with signature of an MoU and publication of JRC Policy Brief on "RTOs and smart specialisation" at dedicated workshop.
- Strengthened cooperation with industrial EU associations via meetings & coordinated actions on HR logo & open access to data.
- Renewed participation in the ERA Stakeholders' Platform advising the EC on R&I policy and supported the preparation of the EC Charter for Access to Research Infrastructures.
- Contributed to the on-going debate on R&I framework conditions in Europe linked with the EU semester.

## ENSURING RTOS' ACCESS TO EU FUNDING

- Worked to minimize the impact of Juncker's Fund for Strategic Investments (EFSI) on Horizon 2020: successfully tabled amendments to EFSI Regulation pushing R&I focus of those investments, joint statement with CESAER, EUA, LERU and Science Europe, signature of EIB InnovFin Advisory Services mandate on RTOs, joint EIB-EARTO WG exploring possible financial opportunities for RTOs under EFSI.
- Contributed to consultations on FP7 ex-post evaluation, simplification of Horizon 2020, and review of the Innovation Union Initiative.
- Continued the positioning of RTOs on EU regional dossiers: RIS3 implementation, synergies of funds, ESIF simplification (invited to 1st meeting of HLG ESIF Simplification). EARTO is member of EC Mirror Group and Expert Group on ESIF.
- Developed dialogue with European Court of Auditors: spoke at their internal workshop on principles of good audit with some 100 auditors in Luxembourg.
- Contributed to EP Resolution on the Digital Single Market, ERAC paper on Open Research Data and responded to DG GROW's Standards & Patents consultation.
- Proposed candidates for the ERC Scientific Council Board and EIT Governing Board.

## EARTO Positioning in Figures

EARTO Secretariat in

**EC High  
Level Groups**

on RIS3, ESIF and ERA SHO

EARTO **attended**

**63**

events

and **spoke in**

**26**

EARTO published

**14**

position papers

EARTO **published** **8** press releases

and **was mentioned** in over

**30**

press releases  
from other stakeholders

EARTO

**Partnerships** with

DG RTD | DG CONNECT | DG GROW | DG REGIO | DG JRC |  
DG COMP | ERA SHO Platform | EP | EIB | EIF | ECA | EASME |  
INEA | REA | IGLO | ERAC | EDA | EIRMA | Vanguard | ERRIN |  
Buisness Europe/Philips | Digital Europe/Nokia

### EARTO Members

in **H2020** (data Oct 2015):

EARTO members' total  
approved participations: **1334**

EC contribution received by EARTO members:  
**€735m**

Projects with EARTO members' received  
**€4,5bn** EC funding (out of €12bn)

Coordination by EARTO members:  
**258** EU H2020 projects

**54%** of the funding spent so far in Pillar II  
- Industrial Leadership has been given to  
projects with EARTO members (**41%**  
for Pillar III - Societal Challenges)

**EARTO**

# WORKING GROUPS

To organise internal discussions aiming to define common positions and exchange best practices, EARTO has Working Groups. Throughout 2015, 10 WGs were running with the following 3 created in 2015:

**Joint EIB-EARTO WG on Access to Finance for RTOs | WG European Innovation Council | WG Security Research.**

## H2020

**45** active experts  
**3** meetings in 2015  
 + **1** Innovation School Session



### Position Papers Produced in 2015

- 1** EARTO Press Release Welcoming KETs HLG Final Report
- 2** EARTO Letter to Mr Juncker on Appointment EC Adviser on Innovation



### Cooperation with EC DGs & other Stakeholders

DG R&I | DG CONNECT | DG GROW  
 EASME/INEA/REA | IPR Helpdesk | IGLO  
 ERAC | European Parliament (EP)  
 European Court of Auditors (ECA)



### Key Issues for 2016

- H2020 Implementation (Work Programmes, Calls, Proposals' Making, Evaluation, Instruments, Schemes)
- 2<sup>nd</sup> wave simplification H2020
- Preparation for H2020 midterm review

## SECURITY RESEARCH

**15** active experts  
**2** meetings in 2015



### Position Papers Produced in 2015

- 3** Inputs to EC Work Programme



### Cooperation with EC DGs & other Stakeholders

DG R&I | EDA



### Key Issues for 2016

- Ensuring RTOs' access to H2020 Security Work Programme
- Joint project proposals when possible
- Following Group of Personalities

## COMMUNICATION

**19** active experts  
**2** meetings in 2015



### Position Papers Produced in 2015

- 4** EARTO Innovation Awards Brochure



### Cooperation with EC DGs & other Stakeholders

- RTOs visibility (success stories)
- Communicating RTOs impact
- Reputation management
- Stakeholder management
- Communicating EARTO events
- Social media strategies

## HUMAN RESOURCES

**23** active experts  
**2** meetings in 2015



### Position Papers Produced in 2015

- 5** EARTO views on EC HR Excellence Logo (internal document)



### Cooperation with EC DGs & other Stakeholders

DG R&I



### Key Issues for 2016

- EU HR Excellence Logo and OTMR recruitment (Art. 32 H2020 MGA)
- Mobility of Researchers
- RTOs' HR Strategies

## WORKING WITH SMES

**35** active experts  
**1** meeting in 2015

Following the low level of activities and the main focus on SME instrument on H2020, the EARTO Steering Committee decided on 13 January 2016 to close this WG and transfer the follow-up of the SME Instrument under H2020 to the WG H2020



## EUROPEAN INNOVATION COUNCIL

**20** active experts  
**3** meetings in 2015



**Position Papers  
Produced in 2015**

**6** EARTO Paper - The European Innovation Council - A New Framework for EU Innovation Policy



**Cooperation with EC DGs  
& other Stakeholders**

DG R&I | DG CONNECT | EP



**Key Issues for 2016**

• Follow-up EIC creation

## FINANCIAL EXPERTS

**30** active experts  
**2** meetings in 2015



**Position Papers  
Produced in 2015**

**7** EARTO Paper on EU Auditing Policy

**8** EARTO Views on/Interpretation around LRI Scheme



**Cooperation with EC DGs  
& other Stakeholders**

DG R&I | ECA | EP



**Key Issues for 2016**

- Financial rules of Horizon 2020 (LRI scheme, costs calculation)
- Model Grant Agreement: new clauses
- Preparation for H2020 midterm review on costs models

## STRUCTURAL FUNDS

**20** active experts  
**1** meeting in 2015  
**+ 2** events: Open Days & Policy Brief Session



**Position Papers  
Produced in 2015**

**9** JRC Policy Brief on RTOs and Smart Specialisation



**Cooperation with EC DGs  
& other Stakeholders**

DG R&I | DG REGIO | DG JRC | DG CONNECT | DG GROW | ERRIN Business Europe/Philips | EP



**Key Issues for 2016**

- Synergies ESIF-H2020
- ESIF simplification
- RIS3 implementation
- Widening/teaming programme: RTOs participation
- Inputs to WIRE conference 2016 on regional development & innovation ecosystems

## COOPERATION WITH EIB ON ACCESS TO FINANCE FOR RTOS

**14** active experts  
**2** meetings in 2015



**Position Papers  
Produced in 2015**

**10** EARTO Open Letter to the European Parliament on EFSI

**11** EARTO, CESAER, EUA, LERU, Science Europe Joint Statement on Juncker Investment Fund



**Cooperation with EC DGs  
& other Stakeholders**

EIB | EIF | DG R&I | DG GROW  
DG CONNECT | EP



**Key Issues for 2016**

- Analysis of RTOs' needs to access finances
- Bi-lateral meetings EIB-RTOs
- Connection with other EIB efforts with DG CONNECT, DG RTD and DG GROW

## LEGAL EXPERTS

**10** active experts  
**3** meetings in 2015  
**+ 1** Innovation School Session



**Position Papers  
Produced in 2015**

**12** Answer to EC DG Grow's Consultation on IPR & Patents

**13** EARTO Paper on Open X

**14** EARTO Comments to ERAC paper on Open Research Data

**15** EARTO Amendments to European Parliament report on DSM



**Cooperation with EC DGs  
& other Stakeholders**

DG R&I | DG COMP | DG CONNECT  
DG GROW | Digital Europe/Nokia | EP



**Key Issues for 2016**

- Follow-up of new State-aid rules implementation
- Intellectual Property Rights issues
- Public Procurement
- Open Access (especially with the new EU digital single market Agenda & Dutch EU Presidency)
- Follow-up DESCA Consortium Agreement

# Members & Management Structure

EARTO counts 79 direct members, including 61 Individual members, 10 Association members, 4 Corresponding members and 4 Honorary members. In total, EARTO is the network of around 350 Research and Technology Organisations. In 2015, EARTO welcomed 10 new members: ATIGA (ES), Digital Catapult (UK), IFPEN (FR), Irish Manufacturing

Research (IE), ITAINNOVA (ES), ITENE (ES), LEITAT (ES), NRC Canada (CA), TS Catapult (UK) and Tyndall (IE). EARTO functions thanks to its members' annual membership contributions. In 2015, total income was of 736k€ and expenditure reached 732k€.

**EARTO**  
ORGANISATION



**President** Election process ongoing at publication date

**Vice-President** Frank Treppe, *Director Corporate Strategy and International Affairs, Fraunhofer Gesellschaft, DE*

**Treasurer** Ernst Kristiansen, *Vice-President, SINTEF, NO*

## EARTO Steering Committee (including the above)

Iñaki San Sebastian, *Deputy Managing Director, TECNALIA, ES*

Dominique Mazière, *Deputy Director for European Affairs, CEA, FR*

Antti Vasara, *Chief Executive Officer, VTT, FI*

Margaret Simonson McNamee, *Executive Vice President & Chief Technology Officer, SP Technical Research Institute, SE*

## Executive Board (including the above)

Johann Jäger, *Secretary General, ACR, AT*

Roger Dijkmans, *Director, VITO, BE*

Georges Kotrotsios, *Vice-President, CSEM, CH*

Tome Anticic, *Director, Rudjer Bošković Institute, CR*

Tasos Kounoudes, *Chief Executive Officer, SignalGeneriX, CY*

Ragnar Heldt Nielsen, *Director, GTS, DK*

Aureo Díaz-Carrasco, *Executive Director, FEDIT, ES*

Marie-Sabine Gavois, *Secretary General, Réseau CTI, FR*

Kieran Drain, *Chief Executive Officer, Tyndall, IE*

Luigi Barone, *General Manager, CETMA, IT*

Gabriel Crean, *Chief Executive Officer, LIST, LU*

Paul de Krom, *Chief Executive Officer, TNO, NL*

Tomasz Kosmider, *Director, Technology Partners Consortium, PL*

José Coutinho Sampaio, *Deputy Director for R&D, Innovation & Technology Transfer, INEGI, PT*

Jadran Lenarčič, *Director, Jožef Stefan Institute, SI*

Peter Oakley, *Associate Director, TWI, UK*

## EARTO VISION

A European research and innovation system without borders in which RTOs occupy nodal positions and possess the necessary resources and independence to make a major contribution to a competitive European economy and high quality of life through beneficial cooperation with all stakeholders.

## EARTO MISSION

To promote and defend the interests of RTOs in Europe by reinforcing their profile and position as key players in the minds of EU decision-makers and by seeking to ensure that European RD&I programmes are best attuned to their interests; to provide added-value services to members to help them to improve their operational practices and business performance; to provide members with information and advice to help them make the best use of European RD&I programmes funding opportunities.



### SECRETARIAT

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EARTO Group on LinkedIn: Horizon 2020 - News and Views

EARTO Twitter account: @EARTOBrussels