

**THE EU FRAMEWORK  
PROGRAMME**

**Government Response to  
Call for Evidence**

APRIL 2011

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# Introduction

The Framework Programme is the EU's principal instrument for supporting transnational collaborative research and technological development. The current programme (FP7) runs from 2007 to 2013 and operates to an overall budget of €50.5 billion.

The UK does well from the programme with our universities, research centres and businesses having won €2.28<sup>1</sup> billion since 2004. There is particularly strong take-up in the more academically focused areas, e.g. frontier research supported by the European Research Council (ERC), research infrastructures, life sciences and the Marie Curie mobility and training awards.

The purpose of this Call for Evidence was to better equip the UK to maximise on the opportunities on offer and inform the UK's negotiating position in advance of the next Programme. This document sets out a summary of the responses to each question, followed by a short Government response.

The responses received will help to inform the UK's Position Paper on the future on the future of EU funding for Research and Innovation. By developing a deeper understanding of UK stakeholders' views and priorities for the programme, the UK can generate best value of the opportunities it offers.

On 9<sup>th</sup> February 2011, the European Commission published a Green Paper entitled "From Challenges to Opportunities: Towards a Common Strategic Framework for EU Research and Innovation funding". In addition to launching a public consultation on the successor the FP7, it also outlined a Common Strategic Framework bringing together the Framework Programme, the Competitiveness and Innovation Programme and the European Institute of Innovation and Technology.

We will be submitting a UK response to the Commission consultation in Spring 2011 alongside our UK Position Paper on future EU funding for Research and Innovation. However, we would also encourage stakeholders to submit their own responses to the Commission's consultation.

Thank you to all those who took the time to respond to the UK Call for Evidence.

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<sup>1</sup> European Commission, FP7 grant agreements and participants database, Vs 6.0, released 29 October 2010

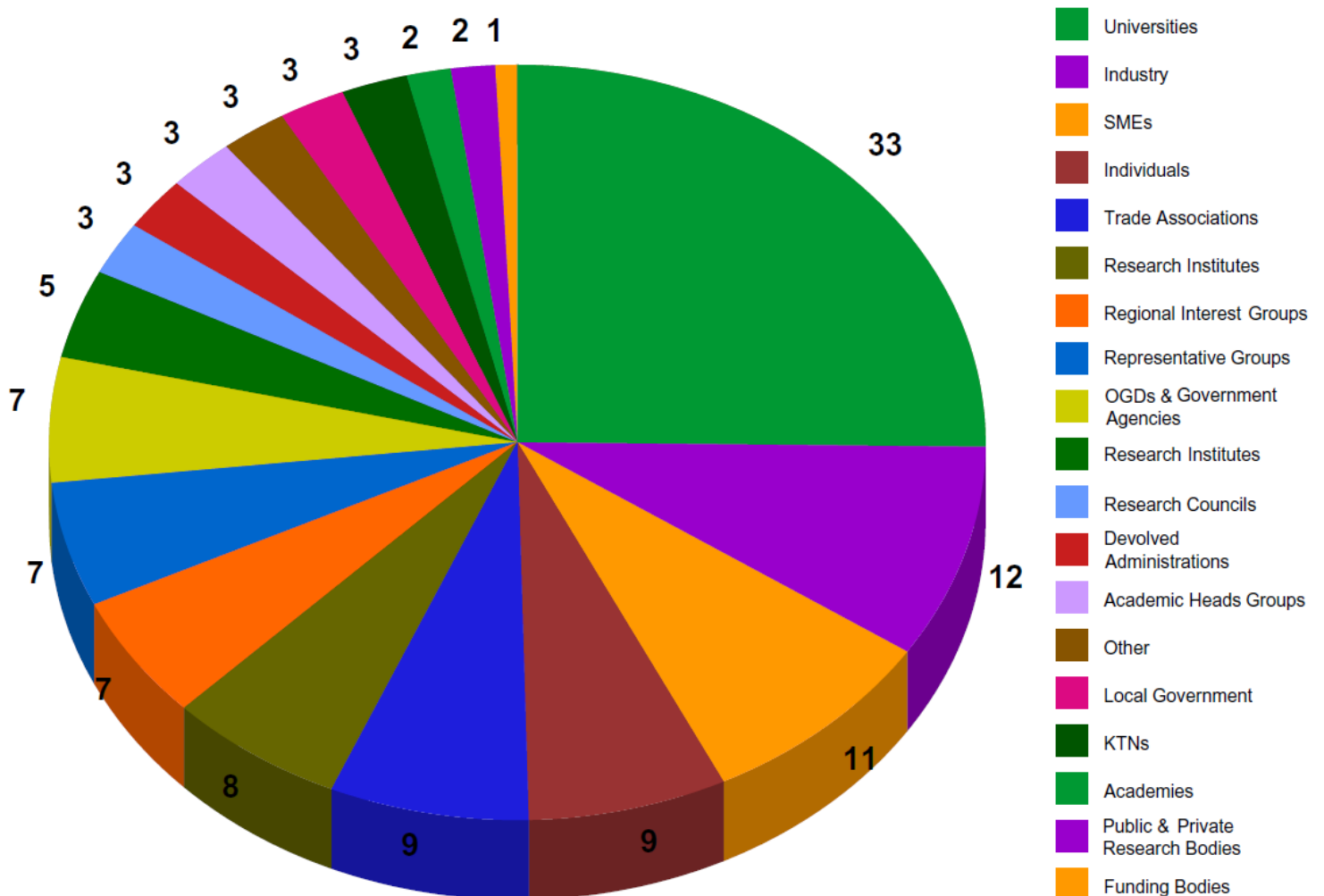
# The Consultation Process

The national public consultation was conducted between 13 October 2010 and 4 January 2011. The consultation asked 42 questions, split into six sections:

- Context of the Framework Programme
- Focus
- Outcomes and Impacts
- Participation
- Administration & Funding
- Support

Information about the Call for Evidence, including a link to the document, was sent to a wide range of representative stakeholders. It was available in electronic form and to order in hard copy through the BIS website.

A total of 131 responses to the consultation were received by the Government. The responses came from a variety of sources which the pie chart below illustrates. The categorisation of respondents was based on the best judgement of Government officials using the information supplied by respondents.



The Government was pleased with the high response to the consultation. These have been individually analysed by BIS and have been taken into account in the Government response. Some of the observations and comments made have been quoted in this document as representative of the thoughts and views expressed to the consultation. This paper seeks to reflect the views expressed, although it is not possible to describe all responses in detail.

The analysis of responses for each question posed by the consultation document is set out below. Where percentages have been used, they have generally been calculated on the basis of the number of responses to that particular question. It should be noted, however, that the consultation process was a qualitative and not a quantitative exercise, so the data are necessarily based on officials' analysis of respondents' answers.

### **Next Steps**

BIS will publish a UK Position Paper on future EU research and innovation programmes in spring 2011. This will set out in more detail the UK's priorities for future programmes. The Impact Assessment will also be updated to reflect stakeholder views at this time.

It will also include a response to the European Commission's consultation on future research and innovation programmes, which forms part of the green paper "From Challenges to Opportunities: Towards a Common Strategic Framework for EU Research and Innovation funding<sup>2</sup>" published on 9<sup>th</sup> February 2011.

### **Queries**

Please direct any queries about this document to:

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<sup>2</sup> [http://ec.europa.eu/research/csfr/pdf/com\\_2011\\_0048\\_csf\\_green\\_paper\\_en.pdf#page=2](http://ec.europa.eu/research/csfr/pdf/com_2011_0048_csf_green_paper_en.pdf#page=2)

# Analysis & Government Response

## Question 1: What should the UK's high-level objectives be for FP8?

There were 113 responses.

Category of respondent	Number of responses	% of overall
Universities	30	27
Representative groups	6	5
Local government/devolved administrations	6	5
Government departments and agencies	5	4
Regional interest groups	5	4
Funding bodies	3	3
Academies	2	2
Industry	12	11
SMEs	10	9
Trade associations	8	7
Research institutes	7	6
Professional institutes	4	4
Public/private research bodies	2	2
Academic heads groups	3	3
Knowledge Transfer Networks	3	3
Individuals – academic	5	4
Individuals – industry	2	2
Other	0	0
<b>Total</b>	<b>113</b>	<b>100</b>

Respondents suggested a wide range of objectives which the UK should be seeking. A significant number said that FP8 should continue to support and develop excellent, world-class research, and a high number pointed to the importance of FP8 supporting research which addressed Grand Challenges. There was strong support from industrial respondents for FP8 to support economic growth, and to focus on innovation and the application of research outputs. A number of respondents called for simplification to be a key priority in FP8.

From the UK perspective, respondents stated that the UK should aim to increase its share of funding, and increase synergies between UK and EU research priorities.

**The government believes that FP8 must deliver EU added-value and work alongside other EU funding sources including structural and cohesion funds.**

**FP8 must also be considered alongside other drivers of innovation for economic impact; including market preparation, skills provision and standards amongst others.**

**It should continue to be based on excellence and competition and should support world class research that drives competitiveness and other relevant EU policy objectives.**

## Question 2: How can FP8 help deliver economic growth throughout the life of the programme and beyond?

There were 107 responses.

Category of respondent	Number of responses	% of overall
Universities	29	27
Representative groups	6	6
Local government/devolved administrations	4	4
Government departments and agencies	4	4
Regional interest groups	5	5
Funding bodies	2	2
Academies	2	2
Industry	12	11
SMEs	10	9
Trade associations	8	7
Research institutes	5	5
Professional institutes	4	4
Public/private research bodies	2	2
Academic heads groups	3	3
Knowledge Transfer Networks	3	3
Individuals – academic	5	5
Individuals – industry	2	2
Other	1	1
<b>Total</b>	<b>107</b>	<b>100</b>

Respondents put forward a range of suggestions as to how FP8 could support economic growth, which were closely linked to innovation as a driver of economic growth. The most prominent was to ensure exploitation of research results, followed by the need to increase industry and SME participation in Framework Programme. Several respondents suggested sectors or areas of research which were likely to have a high economic benefit.

Some respondents highlighted the importance of knowledge transfer and dissemination, including partnerships between industry and academia. Several suggested the concept of specific 'follow on' funding to support exploitation of research.

**The Government acknowledges the importance of future EU research and innovation programmes reflecting areas of UK strength both in academic and industrial sectors.**

**Further details on the UK's position on this issue will be given in the Position Paper on the future of EU funding for Research and Innovation. The Government supports steps to improve the dissemination and exploitation of research results and to facilitate participation by business, especially SMEs.**

### Question 3: How should FP8 support the wider European context including Europe 2020 and the European Research Area?

There were 77 responses.

Category of respondent	Number of responses	% of overall
Universities	27	38
Representative groups	4	5
Local government/devolved administrations	5	6
Government departments and agencies	2	3
Regional interest groups	4	5
Funding bodies	2	3
Academies	1	1
Industry	4	5
SMEs	7	9
Trade associations	3	4
Research institutes	3	4
Professional institutes	3	4
Public/private research bodies	2	3
Academic heads groups	3	4
Knowledge Transfer Networks	2	3
Individuals – academic	4	5
Individuals – industry	1	1
Other	0	0
<b>Total</b>	<b>77</b>	<b>100</b>

There was a wide range of suggestions provided for this question. Many respondents commented that FP8 should support research into Grand Challenges, addressing the wider European context. Many commented on the importance of FP8 in creating and supporting world-class, excellent research and increasing the EU's scientific competitiveness.

Several commented that FP8 should contribute to the 3% target for investment in research and development set by the European Commission. Different areas within Framework Programme were identified as being of key importance for developing the European Research Area, including mobility actions and the Cooperation programme.

**The Government agrees that research and innovation programmes should support Europe 2020 and Innovation Union growth and jobs objectives and other relevant Treaty policy objectives. The guiding principle should be excellence underpinned by appropriate metrics, acting in those areas where there is genuine added value to be gained from EU level action.**

**A framework approach may be useful in order to bring all the elements together and ensure good integration and reduce bureaucracy.**

**In principle the UK supports appropriate actions to incentivise mobility upskilling of researchers (both across disciplines, which can help to address Grand Challenges, and between academia and industry); access to research infrastructures; and coordination of aspects of Member States' national research programmes as these underpin the European Research Area. However, it is important that implementation of the European Research Area respects areas of Member State competence.**



**Question 4: The Technopolis study identified a number of broad benefits to the UK of the programme. Are these benefits identified appropriately and are there other impacts that should be considered in addition?**

There were 61 responses.

Category of respondent	Number of responses	% of overall
Universities	21	34
Representative groups	4	7
Local government/devolved administrations	2	3
Government departments and agencies	0	0
Regional interest groups	3	5
Funding bodies	1	2
Academies	0	0
Industry	5	8
SMEs	2	3
Trade associations	6	10
Research institutes	4	7
Professional institutes	4	7
Public/private research bodies	1	2
Academic heads groups	3	5
Knowledge Transfer Networks	1	2
Individuals – academic	3	5
Individuals – industry	1	2
Other	0	0
<b>Total</b>	<b>61</b>	<b>100</b>

Amongst respondents who answered this question, the majority agreed that the benefits had been identified appropriately.

A few commented that the non-financial benefits had not be emphasised fully enough; such as the influence of research on policy making, networking with other researchers, increasing scientific competitiveness and mobility. Some respondents stated that impact was difficult to measure and required a more long-term evaluation.

**The Government welcomes the positive response to the Technopolis report. We agree that measuring impact requires long-term evaluation, and note that the Technopolis report was able to draw on information not just from the current FP7, but also FP6 and FP5 to give a better overview of long-term benefits.**

**We welcome the findings in the FP7 Interim Evaluation, published in November 2010, which agree with a number of findings in the Technopolis report.**

## Question 5: How can FP8 make a positive contribution to the UK economy - and the low-carbon economy in particular?

There were 99 responses.

Category of respondent	Number of responses	% of overall
Universities	27	27
Representative groups	4	4
Local government/devolved administrations	6	6
Government departments and agencies	5	5
Regional interest groups	3	3
Funding bodies	2	2
Academies	2	2
Industry	11	11
SMEs	8	8
Trade associations	8	8
Research institutes	5	5
Professional institutes	4	4
Public/private research bodies	2	2
Academic heads groups	3	3
Knowledge Transfer Networks	3	3
Individuals – academic	4	4
Individuals – industry	2	2
Other	0	0
<b>Total</b>	<b>99</b>	<b>100</b>

There was a range of responses to this question. Several respondents suggested supporting research of which the outcomes can be potentially exploited and commercialised as a way of contributing to the UK economy. Many respondents supported an increase in funding for their own areas of research, or suggested supporting sectors with a history of contributing to economic growth. Some said that increasing the synergies between UK and EU research priorities, and increasing the UK's share of Framework Programme funding, would support the economy. A few pointed out that strengthening research excellence in itself supports the economy.

Addressing the challenge of the low-carbon economy, respondents commented that the UK has some major strengths in low-carbon areas and should seek to capitalise on these. A couple commented on the importance of Social Science and Humanities research in supporting the low-carbon economy. Several areas of research within the low-carbon sector were identified.

**Innovation Union, a flagship of Europe 2020 launched in October 2010, addresses the removal of bottlenecks to innovation across Europe, and puts in place measures to ensure that research can be exploited. The UK supports this work and expects that this will help to ensure that research funded under future programmes positively impacts the economy. This includes understanding the role of research across the innovation landscape and the importance of building an understanding of the importance of the impact agenda from inception.**

**The Government agrees that the low-carbon agenda is extremely important across the EU, and that the UK can make a key contribution in this area.**

## Question 6: How can FP8 support innovation in the UK?

There were 107 responses.

Category of respondent	Number of responses	% of overall
Universities	30	28
Representative groups	5	5
Local government/devolved administrations	5	5
Government departments and agencies	3	3
Regional interest groups	5	5
Funding bodies	3	3
Academies	1	1
Industry	12	11
SMEs	10	9
Trade associations	8	7
Research institutes	6	6
Professional institutes	5	5
Public/private research bodies	2	2
Academic heads groups	3	3
Knowledge Transfer Networks	2	2
Individuals – academic	4	4
Individuals – industry	2	2
Other	1	1
<b>Total</b>	<b>107</b>	<b>100</b>

There was general support for an increase in business participation as a way of supporting innovation. Specifically, many respondents said that an increase in SME participation would be beneficial. Linked to this, a number called for simplification. Some respondents believed that the solution lay in better links between academia and industry.

Some respondents felt that there should be more focus on 'bottom-up' research to support innovation. Several respondents considered that better links between the Framework Programme (FP) and the Competitiveness and Innovation Programme (CIP) would be helpful, with some suggesting better alignment between Framework Programme and aspects of the Structural Funds.

**The government believes that the Framework Programme should support innovation at all stages from fundamental research, notably through the European Research Council, to demonstration.**

**The UK supports the goal of greater synergies between research and innovation programmes and the Structural Funds. In the UK's view, the high-level themes for the Structural Funds should be those that are most effective in stimulating sustainable economic growth and reducing growth 'bottlenecks'. We suggest that these themes should include innovation. However, we do not favour rigid, top-down targets in this respect.**

**Question 7: What are your views on the split of the FP7 budget between these specific programmes? Should this change in FP8? How can FP8 support innovation in the UK?**

There were 89 responses.

Category of respondent	Number of responses	% of overall
Universities	30	34
Representative groups	5	6
Local government/devolved administrations	3	3
Government departments and agencies	4	4
Regional interest groups	2	2
Funding bodies	3	3
Academies	2	2
Industry	10	11
SMEs	2	2
Trade associations	5	6
Research institutes	5	6
Professional institutes	4	4
Public/private research bodies	2	2
Academic heads groups	3	3
Knowledge Transfer Networks	2	2
Individuals – academic	4	4
Individuals – industry	2	2
Other	1	1
<b>Total</b>	<b>89</b>	<b>100</b>

A high number of respondents across the sectors said that they felt the current split was broadly appropriate. Several commented that ‘Cooperation’ should remain the largest portion of the budget.

There was strong support from the university sector for an increase in the budget for the European Research Council (ERC) and the budget for ‘People’ actions, with several specifically citing Marie Curie as a target for increased funding.

**The Government believes that EU funding for research and innovation must demonstrate clear EU added-value.**

**The Government acknowledges the importance of maintaining an appropriate degree of stability and continuity in funding whilst also ensuring sufficient flexibility to respond to new challenges and priorities.**

## Question 8: Which areas of the Framework Programme funding provide the most EU added-value? And which the least?

There were 63 responses.

Category of respondent	Number of responses	% of overall
Universities	23	37
Representative groups	4	6
Local government/devolved administrations	2	3
Government departments and agencies	3	5
Regional interest groups	3	5
Funding bodies	1	2
Academies	1	2
Industry	6	10
SMEs	2	3
Trade associations	5	8
Research institutes	2	3
Professional institutes	1	2
Public/private research bodies	0	0
Academic heads groups	3	5
Knowledge Transfer Networks	1	2
Individuals – academic	3	5
Individuals – industry	2	3
Other	1	2
<b>Total</b>	<b>63</b>	<b>100</b>

The majority of respondents stated that the Cooperation programme provided the most EU added-value. Respondents from the university sector also felt strongly that the Ideas and People programmes were amongst the areas providing the most added-value.

A small number of respondents identified areas with low added-value; the most often suggested was the Capacities programme, with the Joint Research Centre (JRC) and the Ideas programme also being criticised by some.

**The Government believes that future EU programmes for research and innovation must demonstrate clear EU added-value. This should be supported by improved metrics to inform evaluations of the outputs and outcomes of the programme.**

## Question 9: Can efficiencies be found in the Framework Programme because of overlaps between different areas of funding?

There were 70 responses.

Category of respondent	Number of responses	% of overall
Universities	25	36
Representative groups	1	1
Local government/devolved administrations	2	3
Government departments and agencies	2	3
Regional interest groups	5	7
Funding bodies	2	3
Academies	1	1
Industry	7	10
SMEs	6	9
Trade associations	4	6
Research institutes	5	7
Professional institutes	1	1
Public/private research bodies	0	0
Academic heads groups	2	3
Knowledge Transfer Networks	1	1
Individuals – academic	3	4
Individuals – industry	2	3
Other	1	1
<b>Total</b>	<b>70</b>	<b>100</b>

Overall, respondents felt strongly that efficiencies could be found within the Framework Programme, although some argued that the different parts were distinct and complementary. It was suggested that a Grand Challenge model and greater focus on interdisciplinary funding could better integrate the different areas and lead to fewer overlaps. Several respondents called for simplification of the Framework Programme landscape in order to reduce duplication.

Some respondents identified overlap with programmes outside FP, including CIP, JTI and Structural Funds.

**The Government supports the consideration of closer links between EU instruments such as FP and CIP, which should help streamline administrative procedures and provide more balanced support across the innovation landscape, from ground breaking frontier research to demonstration and knowledge transfer activities between public and private sectors.**

## Question 10: What are the arguments for and against FP8 moving towards funding research and development which addresses grand challenges?

There were 108 responses.

Category of respondent	Number of responses	% of overall
Universities	28	26
Representative groups	5	5
Local government/devolved administrations	4	4
Government departments and agencies	4	4
Regional interest groups	4	4
Funding bodies	3	3
Academies	2	2
Industry	11	10
SMEs	11	10
Trade associations	7	6
Research institutes	7	6
Professional institutes	5	5
Public/private research bodies	2	2
Academic heads groups	3	3
Knowledge Transfer Networks	2	2
Individuals – academic	6	6
Individuals – industry	2	2
Other	2	2
<b>Total</b>	<b>108</b>	<b>100</b>

Respondents mentioned a variety of arguments both for and against a focus on research addressing Grand Challenges.

Most often cited arguments in favour were that Grand Challenges by their nature require a large, collaborative effort, and that it allows a strong focus and targeted research funding. Arguments against put forward included the concern that there is currently no clear definition of what constitutes a Grand Challenge, and it is not clear how the would be selected.

A number of respondents stressed that FP8 should also fund research which fell outside the Grand Challenge areas. Many also argued that a Grand Challenge model must have flexibility to allow FP8 to respond to emerging Grand Challenges during the lifetime of the Programme. A small number of respondents expressed concern that a focus on Grand Challenges would disfavour frontier 'blue skies' research.

**In the UK, Research Councils have already adopted a number of cross-cutting multidisciplinary challenges including living with environmental change and global food security. The Government agrees that research is a necessary component of tackling Grand Challenges.**

**The Government agrees that EU research and innovation programmes can make an important contribution to tackling European and global socio-economic challenges. At the same time, sufficient flexibility should be built into the programme to support 'bottom-up' activity and research-based innovation across a range of sectors.**

**Retention of themes in future programmes is addressed in Question 13.**

**Question 11: Which grand challenges are best tackled on an EU-wide rather than a national level? Within these areas which particular aspects would benefit from an interdisciplinary focus?**

There were 95 responses.

Category of respondent	Number of responses	% of overall
Universities	28	29
Representative groups	3	3
Local government/devolved administrations	5	5
Government departments and agencies	4	4
Regional interest groups	4	4
Funding bodies	2	2
Academies	1	1
Industry	9	9
SMEs	6	6
Trade associations	6	6
Research institutes	6	6
Professional institutes	5	5
Public/private research bodies	2	2
Academic heads groups	3	3
Knowledge Transfer Networks	2	2
Individuals – academic	6	6
Individuals – industry	1	1
Other	2	2
<b>Total</b>	<b>95</b>	<b>100</b>

Respondents identified a wide range of Grand Challenges which would particularly benefit from being tackled at an EU level. The most popular were: energy; environmental challenges and climate change; health and diet; security; and food. A few respondents suggested that within each Grand Challenges there should be both aspects addressed by national-level and EU-level research.

Amongst those who commented on the interdisciplinary aspect, most said that all should have an interdisciplinary focus.

A small number of respondents stated that the Grand Challenges tackled at EU-wide level should be those with specific relevance to Europe.

**The Government recognises the range of areas which could be addressed under a Grand Challenge model. As yet, there is no pan-European definition of what constitutes a Grand Challenge, or definitive list of agreed Grand Challenges. The Government also considers that any Grand Challenge model should incorporate flexibility to be able to respond to emerging Grand Challenges during the lifetime of the Programme.**

**Most Grand Challenges by their very nature have an international relevance so efforts should be made to consider how third countries should be included in the development of these major initiatives early on in their strategic development.**



## Question 12: How should FP8 engage with countries outside the EU or associated to the Framework Programme in addressing global challenges?

There were 89 responses.

Category of respondent	Number of responses	% of overall
Universities	28	32
Representative groups	3	3
Local government/devolved administrations	3	3
Government departments and agencies	2	2
Regional interest groups	5	5
Funding bodies	3	3
Academies	1	1
Industry	9	10
SMEs	7	8
Trade associations	5	6
Research institutes	5	6
Professional institutes	3	3
Public/private research bodies	2	2
Academic heads groups	3	3
Knowledge Transfer Networks	2	2
Individuals – academic	4	5
Individuals – industry	2	2
Other	2	2
<b>Total</b>	<b>89</b>	<b>100</b>

A number of respondents stated that the arrangements for international cooperation in FP7 had worked well.

Most called for a greater international dimension in FP8, with a large number of these suggesting a focus on increase collaboration with researchers in emerging economies including Brazil, Russia, India and China. A smaller number supported an increase in collaboration with developed economies including the US and Japan, and suggested that joint calls with third countries would be an appropriate way to do this.

A number commented that Grand Challenges by their nature are often global, and therefore require international collaboration. Some identified areas of research within their own sector which particularly benefited from international cooperation.

Some respondents caveated their answer with the opinion that international cooperation should take place where necessary and appropriate, and if the economic benefit would remain in the EU.

**It is important that the EU programmes consider the opportunities that come from international collaboration. In general the UK supports an open approach to international cooperation.**

**The Government believes that involvement of “third countries” should be in line with the overall EU-level objectives for the programme or project to be funded.**

**Question 13: Should FP8 still provide some thematic focus e.g. in areas such as space and transport? Should any of the current themes be re-visited over the course of FP8 - and if so, how?**

There were 81 responses.

Category of respondent	Number of responses	% of overall
Universities	28	35
Representative groups	3	4
Local government/devolved administrations	2	2
Government departments and agencies	2	2
Regional interest groups	2	2
Funding bodies	3	4
Academies	2	2
Industry	10	12
SMEs	6	7
Trade associations	4	5
Research institutes	5	6
Professional institutes	2	2
Public/private research bodies	2	2
Academic heads groups	3	4
Knowledge Transfer Networks	0	0
Individuals – academic	4	5
Individuals – industry	2	2
Other	1	1
<b>Total</b>	<b>81</b>	<b>100</b>

There was overwhelming support for the retention of thematic focus in FP8, at least in some areas. Many respondents suggested specific themes which should be retained, of which space and transport were the most common.

A number of respondents commented on the increasingly interdisciplinary nature of research, and that thematic focus should not result in silos. Several commented on the possible relationship between Grand Challenges and a thematic focus, with the suggestion that they could be complementary. Some thought that a thematic focus could be a mechanism for funding research which fell outside Grand Challenges.

**The Government notes the strong support for certain themes expressed by respondents. We support a range of research and innovation areas reflecting UK and EU strengths.**

## Question 14: What should be the role of key enabling technologies e.g. ICT and nanotechnology in FP8?

There were 74 responses.

Category of respondent	Number of responses	% of overall
Universities	23	31
Representative groups	3	4
Local government/devolved administrations	2	3
Government departments and agencies	2	3
Regional interest groups	5	7
Funding bodies	3	4
Academies	0	0
Industry	8	11
SMEs	4	5
Trade associations	6	8
Research institutes	3	4
Professional institutes	3	4
Public/private research bodies	2	3
Academic heads groups	3	4
Knowledge Transfer Networks	2	3
Individuals – academic	3	4
Individuals – industry	2	3
Other	0	0
<b>Total</b>	<b>74</b>	<b>100</b>

Respondents felt strongly that key enabling technologies were necessary and should have a key role in FP8. A high number felt that they should be better embedded across theme.

Many respondents recognised that key enabling technologies were tools underpinning the development of new products and services. A number stressed that they were also key enablers for Grand Challenges, and should be included in a Grand Challenge-oriented FP8.

**The Government agrees that key enabling technologies play an important part in underpinning research and innovation across a wide range of sectors key to Europe's future competitiveness. Consequently they should be accorded appropriate treatment in the design of the next programme.**

**Question 15: Services form a crucial part of the UK economy. Should research into services be addressed specifically in the Framework Programme, and if so, how?**

There were 75 responses.

Category of respondent	Number of responses	% of overall
Universities	25	33
Representative groups	4	5
Local government/devolved administrations	3	4
Government departments and agencies	1	1
Regional interest groups	4	5
Funding bodies	2	3
Academies	2	3
Industry	8	11
SMEs	8	11
Trade associations	3	4
Research institutes	4	5
Professional institutes	1	1
Public/private research bodies	2	3
Academic heads groups	3	4
Knowledge Transfer Networks	0	0
Individuals – academic	3	4
Individuals – industry	2	3
Other	0	0
<b>Total</b>	<b>75</b>	<b>100</b>

Respondents were divided over this issue, but overall the balance was in favour of research into services being specifically addressed in the Framework Programme, with a few stating that it was essential. Amongst the arguments supporting this was that services are increasingly becoming economically important both in the UK and EU, and build on areas of existing strength.

Several respondents commented on the link between research into services and Social Sciences and Humanities (SSH). Some suggested that it could be addressed under an SSH theme in FP8, and several commented on possible links between research into services and Grand Challenges.

**The Government recognises the value of services to both the UK and EU economy, and the importance of process innovation as well as product innovation. Particular consideration will need to be given to linkages between the Framework Programme and the Competitiveness and Innovation Programme (CIP) in the development and adoption of technology in service sectors (see question above).**

**Question 16: What are your views on how the Framework Programme allocation for collaborative research should be apportioned between themes; enabling technologies and underpinning areas of research e.g. social sciences and humanities?**

There were 81 responses.

Category of respondent	Number of responses	% of overall
Universities	28	35
Representative groups	4	5
Local government/devolved administrations	2	2
Government departments and agencies	2	2
Regional interest groups	3	4
Funding bodies	4	5
Academies	1	1
Industry	6	7
SMEs	6	7
Trade associations	4	5
Research institutes	5	6
Professional institutes	3	4
Public/private research bodies	1	1
Academic heads groups	3	4
Knowledge Transfer Networks	2	2
Individuals – academic	5	6
Individuals – industry	2	2
Other	0	0
<b>Total</b>	<b>81</b>	<b>100</b>

There was strong support, especially amongst respondents from universities, for funding for Social Sciences and Humanities research to be maintained or even increased in FP8, and several pointed out that this is an area of UK strength. Some also commented that the different aspects should become increasingly integrated in FP8.

There was some support for an increased allocation of funding for enabling technologies.

A number of respondents felt that the current allocation was appropriate.

**The Government notes the important role played by research into Social Sciences and Humanities in underpinning broader research areas, and acknowledges the strong support for research into Social Sciences and Humanities. We note that this discipline area is not just underpinning but has important thematic elements that need focussed attention.**

**Question 17: To what extent should ERC funding focus on supporting frontier research? Are there other areas in which ERC could add value?**

There were 74 responses.

Category of respondent	Number of responses	% of overall
Universities	30	41
Representative groups	5	7
Local government/devolved administrations	3	4
Government departments and agencies	1	1
Regional interest groups	2	3
Funding bodies	3	4
Academies	2	3
Industry	3	4
SMEs	4	5
Trade associations	2	3
Research institutes	4	5
Professional institutes	2	3
Public/private research bodies	2	3
Academic heads groups	3	4
Knowledge Transfer Networks	2	3
Individuals – academic	5	7
Individuals – industry	1	1
Other	0	0
<b>Total</b>	<b>74</b>	<b>100</b>

A large majority strongly supported ERC’s ongoing focus on supporting frontier research.

A number also said that ERC should continue to have a focus on frontier research but also broaden its programmes slightly. Suggestions included stronger links to policy and funding for PhD students. A couple called for additional ‘follow-on’ funding to bridge the gap to commercialisation, allowing exploitation of research funded by ERC grants. Some respondents stated that excellence should continue to be the only criteria for funding under ERC.

**The Government strongly agrees that funding under the Framework Programme should be on the basis of excellence. We recognise that ERC is popular in the UK and that researchers at UK institutions are well represented amongst ERC grant holders. Any broadening of the scope of ERC’s activities must not dilute its core mission and must deliver EU added-value.**

## Question 18: Should ERC's current emphasis on funding a single investigator continue into FP8?

There were 74 responses.

Category of respondent	Number of responses	% of overall
Universities	30	41
Representative groups	5	7
Local government/devolved administrations	3	4
Government departments and agencies	0	0
Regional interest groups	2	3
Funding bodies	3	4
Academies	2	3
Industry	3	4
SMEs	4	5
Trade associations	2	3
Research institutes	4	5
Professional institutes	3	4
Public/private research bodies	2	3
Academic heads groups	3	4
Knowledge Transfer Networks	1	1
Individuals – academic	5	7
Individuals – industry	2	3
Other	0	0
<b>Total</b>	<b>74</b>	<b>100</b>

The majority of respondents believed that the emphasis should continue to be on funding a single investigator. However, many respondents said that although the principle emphasis should be on funding a single investigator, there should also be provision to fund small teams or consortia. Several reiterated the importance of excellence as the sole funding criteria.

**The Government notes the responses given. The Government will consider whether the scope of the ERC's activities could be broadened, provided this does not adversely affect its successful core remit.**

## Question 19: Are there any options that could better link ERC activities with private sector interests?

There were 64 responses.

Category of respondent	Number of responses	% of overall
Universities	29	45
Representative groups	5	8
Local government/devolved administrations	0	0
Government departments and agencies	3	5
Regional interest groups	2	3
Funding bodies	2	3
Academies	1	2
Industry	4	6
SMEs	4	6
Trade associations	3	5
Research institutes	2	3
Professional institutes	2	3
Public/private research bodies	2	3
Academic heads groups	2	3
Knowledge Transfer Networks	0	0
Individuals – academic	2	3
Individuals – industry	1	2
Other	0	0
<b>Total</b>	<b>64</b>	<b>100</b>

There was a relatively low response rate to this question from industry respondents. In general, respondents argued that better links between the ERC and the private sector were unnecessary, and that the ERC should not be 'forced' to link to the private sector.

Some respondents did put forward suggestions about how links could be improved. These included improving knowledge transfer mechanisms between the ERC and industry, private sector involvement with exploitation activities towards the end of a project, and better support for mobility to allow former ERC grant holders to move into industry.

One respondent highlighted the 'Proof of Concept' scheme being launched in 2011 by ERC which offers ERC grant holders the option to apply for additional funding to establish the innovation potential of ideas arising from their ERC-funded frontier research projects.

**The Government agrees that the current ERC operating model has proven popular in the UK research community. It will be important to evaluate the implementation of the pilot 'Proof of Concept' scheme.**



## Question 20: What priority should researcher mobility and skills development have in FP8? What is the best way to address this?

There were 82 responses.

Category of respondent	Number of responses	% of overall
Universities	29	35
Representative groups	6	7
Local government/devolved administrations	3	4
Government departments and agencies	1	1
Regional interest groups	3	4
Funding bodies	3	4
Academies	2	2
Industry	9	11
SMEs	4	5
Trade associations	4	5
Research institutes	5	6
Professional institutes	3	4
Public/private research bodies	2	2
Academic heads groups	3	4
Knowledge Transfer Networks	0	0
Individuals – academic	4	5
Individuals – industry	1	1
Other	0	0
<b>Total</b>	<b>82</b>	<b>100</b>

The majority of respondents agreed that research mobility should have a high priority in FP8. Many expressed support for current research mobility and skills development, with strong support from the university sector for the Marie Curie scheme. Several supported an increase in funding for 'People' actions in FP8.

Respondents from industry argued for better schemes for industry/academia mobility, with several calling for the reintroduction of the Industry Host Fellowship. Several respondents said that there was a need for better mobility between different disciplines.

A number of respondents commented that a high priority for researcher mobility and skills supported to goals of the European Research Area (ERA).

**In general the Government agrees that researcher mobility, both cross-border and inter-sectoral, plays an important role in strengthening Europe's research base. The Government acknowledges the strong support for the Marie Curie scheme.**

**Support actions for mobility, especially between academia and industry, access to research infrastructures and coordination play an important part in developing the European Research Area. However, it is important that implementation of the European Research Area respects areas of Member State competence.**

**Question 21: The capacities specific programme currently covers several policy initiatives related to capacity-building. Which of these are of most value? Are there other areas which would merit funding?**

There were 60 responses.

Category of respondent	Number of responses	% of overall
Universities	21	35
Representative groups	2	3
Local government/devolved administrations	3	5
Government departments and agencies	3	5
Regional interest groups	3	5
Funding bodies	3	5
Academies	2	3
Industry	3	5
SMEs	4	7
Trade associations	4	7
Research institutes	1	2
Professional institutes	2	3
Public/private research bodies	2	3
Academic heads groups	2	3
Knowledge Transfer Networks	3	5
Individuals – academic	1	2
Individuals – industry	1	2
Other	0	0
<b>Total</b>	<b>60</b>	<b>100</b>

Amongst the responses to this question, the strongest support was for the ‘Research for the Benefit of SMEs’ programme. There was also support for the ‘Infrastructures’ programme, with some respondents commenting more generally on the importance of support for infrastructures, and more limited support for the ‘Science in Society’ programme. Many respondents commented on the links between FP and Structural Funds in relation to the Capacities programme, and the potential for better alignment. There were several comments about the need for clarification of objectives under the Capacities programme.

**The Government believes support for SMEs in both research and development phases is important, but the support from the Capacities programme could be better aligned with other instruments, including the CIP as well as the Structural Funds. It should consider both SMEs with research capacity of their own and those without. This will require radical simplification to reduce bureaucracy and achieve much faster time to grant than currently.**

**We welcome the support for the Research Infrastructures line in the Capabilities Programme and broadly support the potential for better alignment with other relevant initiatives such as Structural Funds. The UK has been particularly involved in the Science in Society Programme because of the importance of the topic at a national level and its broad expertise in the area.**

**The Government considers that the EUREKA Eurostars Joint Programme targeted at research performing SMEs has been successfully introduced in FP7 (as borne out by an interim report conducted by a group of independent experts); further improvements to its operation should be explored in the light of experience gained to date.**

## Question 22: What should the relative priority be for the Joint Research Centre under FP8? On which activities should it focus?

There were 43 responses.

Category of respondent	Number of responses	% of overall
Universities	16	37
Representative groups	3	7
Local government/devolved administrations	2	5
Government departments and agencies	0	0
Regional interest groups	2	5
Funding bodies	1	2
Academies	3	7
Industry	4	9
SMEs	0	0
Trade associations	2	5
Research institutes	2	5
Professional institutes	2	5
Public/private research bodies	2	5
Academic heads groups	3	7
Knowledge Transfer Networks	1	2
Individuals – academic	2	5
Individuals – industry	0	0
Other	0	0
<b>Total</b>	<b>43</b>	<b>100</b>

Comparatively few respondents addressed this issue in much detail.

Those who addressed this question stated that the JRC should continue to provide research supporting policy development in both the European Commission and in Member States. Some respondents commented that the work of JRC should be better aligned with research priorities in Member States.

A number felt that it should have a low priority in FP8, with several calling for a review of JRC.

**The Government notes the positive evaluation of JRC's performance in recent years (King Report<sup>3</sup>); and notes JRC's ongoing role in providing scientific and technical advice in the formulation and implementation of EU policy and legislation. The Government considers that the JRC could usefully take steps to deepen links with experts in member states, including the UK.**

<sup>3</sup> <http://ec.europa.eu/dgs/jrc/index.cfm?id=5260>

## Question 23: Please comment on the COST framework and its links with the Framework Programme

There were 44 responses.

Category of respondent	Number of responses	% of overall
Universities	25	57
Representative groups	3	7
Local government/devolved administrations	2	5
Government departments and agencies	0	0
Regional interest groups	1	2
Funding bodies	1	2
Academies	0	0
Industry	0	0
SMEs	2	5
Trade associations	0	0
Research institutes	2	5
Professional institutes	0	0
Public/private research bodies	2	5
Academic heads groups	3	7
Knowledge Transfer Networks	1	2
Individuals – academic	2	5
Individuals – industry	0	0
Other	0	0
<b>Total</b>	<b>44</b>	<b>100</b>

There was a comparatively low response rate to this question.

Amongst those who responded, many agreed that COST was effective in building European networks and provided opportunities for building consortia.

Several respondents called for COST to be integrated into Framework Programme, and a few criticised it for being excessively bureaucratic. A few suggested that it provides a useful platform to identify future areas of research priority for Framework Programme.

**The Government notes that COST networks are generally regarded as a popular and effective by users. The Interim Evaluation of COST in FP7 (Horvat Report<sup>4</sup>) identified integration of COST into the Framework Programme as an option. We agree this option should be carefully considered, although care would need to be taken in doing so not to inadvertently introduce new burdens or reduce the flexibility which is one of the most useful features of COST networks.**

<sup>4</sup> <http://ec.europa.eu/research/era/docs/en/cost-fp7-mid-term-evaluation.pdf>

## Question 24: Should FP8 directly support activities aimed at integrating the three sides of the knowledge triangle e.g. KICs?

There were 61 responses.

Category of respondent	Number of responses	% of overall
Universities	24	39
Representative groups	5	8
Local government/devolved administrations	3	5
Government departments and agencies	1	2
Regional interest groups	2	3
Funding bodies	2	3
Academies	0	0
Industry	4	7
SMEs	1	2
Trade associations	3	5
Research institutes	3	5
Professional institutes	3	5
Public/private research bodies	2	3
Academic heads groups	3	5
Knowledge Transfer Networks	2	3
Individuals – academic	2	3
Individuals – industry	1	2
Other	0	0
<b>Total</b>	<b>61</b>	<b>100</b>

Respondents from universities were split over this question, with other respondents tending to share the view that FP8 should support activities which aim to integrate the knowledge triangle. Those who supported better integration of the knowledge triangle under FP8 often qualified their responses with comments on current KICs, including the need to better integrate industry and the view that KICs should not be allocated preferential funding from FP but should be allowed to bid for FP funds.

Several commented that it was too early to be able to evaluate the effectiveness of KICs. Some respondents called for better strategic coordination between the three sides of the knowledge triangle, with a few commenting on possible synergies between KICs and the UK's Technology and Innovation Centres (TICs).

**The Government supports activities which integrate the three sides of the knowledge triangle, and last year announced a network of 'Technology and Innovation Centres' which will seek to do this at national level.**

**The European Institute for Innovation and Technology (via the Knowledge and Innovation Communities, KICs) focuses on strengthening links between Higher Education, research and innovation, including developing entrepreneurial people with high level skills. As it is still in a pilot stage we will need to await the interim evaluation scheduled for mid 2011 before adopting a position on EIT's future role.**

## Question 25: Which instruments (e.g. JTI, article 185 initiatives) should be retained for FP8? Are any new instruments required?

There were 68 responses.

Category of respondent	Number of responses	% of overall
Universities	20	29
Representative groups	4	6
Local government/devolved administrations	3	4
Government departments and agencies	4	6
Regional interest groups	4	6
Funding bodies	3	4
Academies	1	1
Industry	8	12
SMEs	1	1
Trade associations	4	6
Research institutes	4	6
Professional institutes	2	3
Public/private research bodies	1	1
Academic heads groups	3	4
Knowledge Transfer Networks	2	3
Individuals – academic	1	1
Individuals – industry	1	1
Other	2	3
<b>Total</b>	<b>68</b>	<b>100</b>

There was strong support for JTIs, although respondents frequently caveated this, citing problems with reimbursement levels, barriers to participation, bureaucracy and IP issues.

Many respondents said that there should be a full review of the instruments in FP7 before decisions were taken on whether to retain them in FP8. A number commented that the number of funding instruments made the FP7 landscape extremely complicated and that simplification should be a priority. Some commented that rules should be harmonised across the different instruments.

A number of respondents argued that there should be no new instruments in FP8.

**The Government notes the role Framework Programme has played in facilitating coordination of national programmes such as ERA-NETs.**

**The Government notes the problems that participants have experienced with JTIs, and is supportive of the Commission's efforts to address these.**

**Only two of the current five JTIs have had their interim evaluation published and the focus of these has necessarily been on the set-up phase: the projects funded under the JTI are in their early stages so it's not possible to determine their impact.**

**The Government would like to see a simpler landscape across the European Research Area, with instruments that are well-considered and adequately evaluated, so we can determine which are likely to deliver the greatest impact.**

## Question 26: Please comment on the Risk Sharing Finance Facility. Should a scheme of this kind be included within FP8?

There were 45 responses.

Category of respondent	Number of responses	% of overall
Universities	17	38
Representative groups	1	2
Local government/devolved administrations	2	4
Government departments and agencies	3	7
Regional interest groups	3	7
Funding bodies	1	2
Academies	0	0
Industry	3	7
SMEs	4	9
Trade associations	5	11
Research institutes	1	2
Professional institutes	1	2
Public/private research bodies	1	2
Academic heads groups	2	4
Knowledge Transfer Networks	1	2
Individuals – academic	1	2
Individuals – industry	1	2
Other	1	2
<b>Total</b>	<b>45</b>	<b>100</b>

Comparatively few respondents addressed this question. Those who did respond were strongly in favour of the Risk Sharing Finance Facility (RSFF), stating that it was useful and should be included in FP8. A number of respondents said that the RSFF had a relatively low visibility, and some expressed the view that it was not suitable for every sector. A couple suggested that it needed to be more accessible to SMEs.

**The Government notes that the RSFF has been successfully introduced during FP7 (confirmed by a recent external interim evaluation<sup>5</sup>), bringing benefits to a variety of research performers when many other sources of debt finance for high risk-research are limited. We agree that more could be done to further develop this product so as to improve access for SMEs and research infrastructures.**

<sup>5</sup> [http://ec.europa.eu/research/evaluations/pdf/archive/other\\_reports\\_studies\\_and\\_documents/mid-term\\_evaluation\\_of\\_the\\_risk-sharing\\_financial\\_facility\\_\(rsff\)\\_-\\_expert\\_group\\_report.pdf#view=fit&pagemode=none](http://ec.europa.eu/research/evaluations/pdf/archive/other_reports_studies_and_documents/mid-term_evaluation_of_the_risk-sharing_financial_facility_(rsff)_-_expert_group_report.pdf#view=fit&pagemode=none)

**Question 27: What should be the balance be between funding large-scale programmes e.g. the article 185 programmes above and smaller projects individually administered by the Commission?**

There were 65 responses.

Category of respondent	Number of responses	% of overall
Universities	25	38
Representative groups	3	5
Local government/devolved administrations	3	5
Government departments and agencies	1	2
Regional interest groups	5	8
Funding bodies	2	3
Academies	0	0
Industry	7	11
SMEs	4	6
Trade associations	4	6
Research institutes	2	3
Professional institutes	2	3
Public/private research bodies	2	3
Academic heads groups	2	3
Knowledge Transfer Networks	0	0
Individuals – academic	2	3
Individuals – industry	1	2
Other	0	0
<b>Total</b>	<b>65</b>	<b>100</b>

There was a range of answers to this question, but the consensus view supported an increase in the number of smaller projects. This was supported by arguments that large programmes could be inefficient and bureaucratic, small projects had the potential to yield more, and that it was difficult for smaller partners to become involved in large programmes.

However, this was matched by the strong opinion that there should be a balance of both projects and programmes, depending on the nature of the research and sector.

A smaller number of respondents commented that the current balance of funding between projects and programmes was appropriate.

**The Government acknowledges that different sizes of project or programme are appropriate for different stakeholders and different needs.**



## Question 28: What should be the role of public-private partnerships in FP8?

There were 64 responses.

Category of respondent	Number of responses	% of overall
Universities	23	36
Representative groups	2	3
Local government/devolved administrations	2	3
Government departments and agencies	0	0
Regional interest groups	2	3
Funding bodies	3	5
Academies	0	0
Industry	3	5
SMEs	3	5
Trade associations	6	9
Research institutes	5	8
Professional institutes	2	3
Public/private research bodies	1	2
Academic heads groups	3	5
Knowledge Transfer Networks	2	3
Individuals – academic	3	5
Individuals – industry	2	3
Other	2	3
<b>Total</b>	<b>64</b>	<b>100</b>

Overall, there was cautious support for public-private partnerships in FP8. Respondents were generally supportive although most qualified their support with a number of comments, such as harmonisation of rules, and the necessity for PPPs to be time-limited and avoid a ‘closed shop’ mentality.

Several commented that PPPs were important, and should continue to be industry-led and linked to industrial needs.

**The Government agrees that PPPs can play an important part in the suite of measures aimed at fostering business investment in key strategic sectors of the EU knowledge economy. It is essential that governance arrangements are appropriate and more user-friendly, in line with the ongoing ‘Simplification’ agenda.**

## Question 29: What lessons from evaluations of previous framework programmes can help with the development of FP8?

There were 77 responses.

Category of respondent	Number of responses	% of overall
Universities	27	25
Representative groups	4	5
Local government/devolved administrations	4	5
Government departments and agencies	2	3
Regional interest groups	4	5
Funding bodies	1	1
Academies	1	1
Industry	9	12
SMEs	5	6
Trade associations	5	6
Research institutes	1	1
Professional institutes	1	1
Public/private research bodies	2	3
Academic heads groups	3	4
Knowledge Transfer Networks	2	3
Individuals – academic	4	5
Individuals – industry	1	1
Other	1	1
<b>Total</b>	<b>77</b>	<b>100</b>

A large number of respondents highlighted the importance of simplification. Specific suggestions included a reduction in audit and reporting requirements, a reduction in the bureaucracy associated with working in a consortia and calls for a simpler bidding process. There was also support for a general decrease in administrative burden and a move towards more trust-based system.

Aside from simplification, a wide number of suggestions were put forward, the most prominent of which was a reduction in the time-to-grant. Several respondents pointed towards lessons identified in recent evaluations, including the FP7 Interim Evaluation.

**The Government supports the use of robust evaluations in the development of future programmes. The Interim Evaluation of FP7, published in November 2010, identified some key priorities for FP8, which the UK broadly welcomed.**

**The Government fully supports the Commission’s commitment to radical simplification in future Framework Programmes.**

## Question 30: What steps could be taken to ensure that knowledge gained from FP8 is disseminated and exploited - and remains easily accessible over time?

There were 92 responses.

Category of respondent	Number of responses	% of overall
Universities	26	28
Representative groups	4	4
Local government/devolved administrations	3	3
Government departments and agencies	5	5
Regional interest groups	4	4
Funding bodies	2	2
Academies	2	2
Industry	10	11
SMEs	6	7
Trade associations	5	5
Research institutes	6	7
Professional institutes	3	3
Public/private research bodies	2	2
Academic heads groups	3	3
Knowledge Transfer Networks	2	2
Individuals – academic	5	5
Individuals – industry	2	2
Other	2	2
<b>Total</b>	<b>92</b>	<b>100</b>

Respondents gave a range of suggestions for this question. The most frequent was the concept of a follow-on fund, to provide funding to support exploitation and dissemination of research. Several respondents also called for dissemination and exploitation strategies to be explicitly written into proposals. Better use of existing networks, for example Knowledge Transfer Networks, was seen by some as a possible method of improving dissemination.

Some respondents suggested a centralised, searchable database of research outcomes from research funded under the Framework Programme. Some respondents explicitly mentioned the concept of open access and were generally supportive.

Several respondents from industrial sectors expressed concern about possible implications for intellectual property.

**The Government believes that full attention should be given to adequate dissemination and exploitation of research results in future EU research and innovation funding programmes. This will be crucial to demonstrating greater socio-economic impact for European taxpayers' investment in these programmes. We await the results from the Open Access pilot currently underway.**

**Question 31: Would any proactive effort to alter the current balance of funding between universities, research organisations and businesses be appropriate or effective? If so, what might be involved?**

There were 88 responses.

Category of respondent	Number of responses	% of overall
Universities	26	30
Representative groups	5	6
Local government/devolved administrations	3	3
Government departments and agencies	1	1
Regional interest groups	5	6
Funding bodies	3	3
Academies	1	1
Industry	7	8
SMEs	7	8
Trade associations	8	9
Research institutes	4	5
Professional institutes	3	3
Public/private research bodies	1	1
Academic heads groups	3	3
Knowledge Transfer Networks	3	3
Individuals – academic	4	5
Individuals – industry	2	2
Other	2	2
<b>Total</b>	<b>88</b>	<b>100</b>

Respondents were divided over this question, with the majority of industry respondents favouring a proactive effort to alter the balance, arguing for an increase in levels of business and SME participation. Simplification was the most common suggestion as a mechanism for changing the balance of participation.

However, respondents from the university sector were generally opposed to a proactive effort, with several suggesting instead that barriers to participation should be addressed, to ensure easier access for applicants across all sectors. They also cited simplification as an example of addressing barriers to participation. They called strongly for the retention of excellence as the sole criterion for funding, and for funding to the Higher Education sector not to be reduced.

**The Government believes that funding under the Framework Programme should continue to be based on excellence. However, we welcome measures to improve access to Framework Programme for all participants, such as simplification of administrative procedures and more knowledge-sharing.**

## Question 32: What could be done at EU level to encourage more businesses - especially SMEs - to apply?

There were 98 responses.

Category of respondent	Number of responses	% of overall
Universities	27	28
Representative groups	5	5
Local government/devolved administrations	5	4
Government departments and agencies	2	2
Regional interest groups	6	6
Funding bodies	1	1
Academies	1	1
Industry	11	11
SMEs	11	11
Trade associations	8	8
Research institutes	4	4
Professional institutes	3	3
Public/private research bodies	1	1
Academic heads groups	3	3
Knowledge Transfer Networks	3	3
Individuals – academic	4	4
Individuals – industry	2	2
Other	1	1
<b>Total</b>	<b>98</b>	<b>100</b>

There was a range of suggestions put forward for this question. The vast majority of respondents called for simplification, identifying this as the single biggest factor. Many respondents made specific suggestions for areas of simplification, with the largest number calling for a simplified application process. Some specifically requested a two-stage application process.

There was also strong support for a reduction in the time-to-grant, with many respondents stating that this was a significant problem for SMEs. Other suggestions for increasing SME participation included a higher level of funding for SMEs, an expansion in instruments and programmes targeted specifically at SMEs and encouraging partnerships with larger partners such as universities and established consortia.

Some of the suggestions put forward related to actions which could be taken at UK level; these are addressed in question 40.

**The Government strongly agrees that simplification must be a key priority in enabling access to FP for not only SMEs and Industry but all participants.**

**We also consider that we must make better use of public-procurement to drive innovation at the national and EU-levels. The Government has stated that an EU Small Business Innovation Research (SBIR) programme should be established to identify technology-oriented public sector challenges and fund R&D projects to develop solutions.**

### Question 33: What could the Commission do to reduce bureaucracy of FP8 over and above the current simplification proposals (including changes to the Financial Regulations and Implementing Rules)?

There were 95 responses.

Category of respondent	Number of responses	% of overall
Universities	27	28
Representative groups	7	7
Local government/devolved administrations	5	5
Government departments and agencies	4	4
Regional interest groups	4	4
Funding bodies	2	2
Academies	2	2
Industry	9	9
SMEs	9	9
Trade associations	4	4
Research institutes	4	4
Professional institutes	3	3
Public/private research bodies	1	1
Academic heads groups	3	3
Knowledge Transfer Networks	3	3
Individuals – academic	5	5
Individuals – industry	1	1
Other	2	2
<b>Total</b>	<b>95</b>	<b>100</b>

Respondents mentioned a wide variety of possible measures that the Commission could take to reduce bureaucracy. Most often cited was the need for lighter auditing requirements and a more trust-based approach using organisations' own accounting procedures which would save both time and money. Several respondents from the university sector suggested that participants should be able to earn 'trusted participant' status, allowing them to implement lighter-touch auditing procedures. There was strong support for greater acceptance of national accounting practices.

Many respondents suggested that the application procedure should be simplified, with several calling specifically calling for simplification of language. Also identified were the need for a reduction in the time-to-grant and the need for better use of online systems including the Participant Portal. Some commented that the current Commission proposals were positive.

**The Government believes that it is essential that the Commission actively follows through on its stated determination to radically simplify the rules for participants, which remain much too burdensome for participants, especially SMEs. The proposed reform of the Financial Regulations will make an important contribution in this process and the EU rules must ensure much greater acceptance of beneficiaries' usual accounting practices, which will remove the need for parallel accounting systems to be set up.**

**The Government believes that there should be a step change in simplification towards a more trust-based and risk-tolerant regime where auditing and reporting requirements are kept to the absolute minimum necessary to protect public funds.**

## Question 34: Is there a role for a two-stage applications process analogous to that used by the Technology Strategy Board?

There were 93 responses.

Category of respondent	Number of responses	% of overall
Universities	29	31
Representative groups	6	6
Local government/devolved administrations	2	2
Government departments and agencies	2	2
Regional interest groups	4	4
Funding bodies	2	2
Academies	2	2
Industry	11	12
SMEs	10	11
Trade associations	5	5
Research institutes	5	5
Professional institutes	2	2
Public/private research bodies	2	2
Academic heads groups	3	3
Knowledge Transfer Networks	2	2
Individuals – academic	3	3
Individuals – industry	2	2
Other	1	1
<b>Total</b>	<b>93</b>	<b>100</b>

There was a large measure of support for the introduction of a two-stage application process, although almost all respondents qualified their support with a number of conditions. Most frequently cited was that a two-stage application process should not increase time-to-grant, and several said that it should not increase the net effort needed for an application.

Several stated that the criteria for the first stage evaluation should be transparent and consistent. A number of respondents said that a two-stage application process would help to reduce wasted effort, and some pointed out that the two-stage application process is already used in some areas of FP7.

**The Government supports the need for simplification across the Framework Programme, including simplification of the application process. We welcome the introduction of the two-stage application process in some parts of the Framework Programme, for example certain calls under the ‘Health’ theme, and support the wider use of this where appropriate, taking into account the concerns raised by stakeholders above.**

## Question 35: Should the programme move away from a cost/input-based funding model to one based more on results/outcomes/performance?

There were 89 responses.

Category of respondent	Number of responses	% of overall
Universities	27	30
Representative groups	5	6
Local government/devolved administrations	3	3
Government departments and agencies	1	1
Regional interest groups	4	4
Funding bodies	2	2
Academies	2	2
Industry	10	11
SMEs	9	10
Trade associations	4	4
Research institutes	4	4
Professional institutes	3	3
Public/private research bodies	2	2
Academic heads groups	3	3
Knowledge Transfer Networks	3	3
Individuals – academic	4	4
Individuals – industry	2	2
Other	1	1
<b>Total</b>	<b>89</b>	<b>100</b>

Respondents were split on this question, but with the majority favouring the retention of the present cost/input-based funding model. The university sector and research institutes were strongly supportive of the cost/input-based model, with industry respondents split between the results/outcomes-based and the cost/input-based models.

A number of respondents who supported the current cost/input-based model argued that research is by its nature uncertain, and that a move towards a results/outcomes-based model would deter risky research and lead to more conservative research proposals. Some commented that a results/outcomes-based model was more suitable for near-to-market research.

Some respondents who supported a more results/outcomes-based model suggested that funding could be linked to milestones and deliverables.

**The Government notes the concerns expressed by respondents in relation to results/outcomes-based funding. It is vital that EU programmes support ground-breaking research which is high-risk by nature. The Government will consider the extent to which it may be possible to promote the UK's 'excellence with impact' model at EU level.**



## Question 36: Should the rules on intellectual property in FP7 be changed for FP8?

There were 69 responses.

Category of respondent	Number of responses	% of overall
Universities	25	36
Representative groups	1	1
Local government/devolved administrations	2	3
Government departments and agencies	3	4
Regional interest groups	3	4
Funding bodies	3	4
Academies	0	0
Industry	8	12
SMEs	6	9
Trade associations	4	6
Research institutes	4	6
Professional institutes	0	0
Public/private research bodies	1	1
Academic heads groups	1	1
Knowledge Transfer Networks	1	1
Individuals – academic	4	6
Individuals – industry	2	3
Other	1	1
<b>Total</b>	<b>69</b>	<b>100</b>

There was broad agreement that the rules on intellectual property should not be changed for FP8, although some respondents highlighted areas where some change was necessary. Concern was expressed that rules on intellectual property could be a stumbling block to academic/industrial collaborations, although several respondents commented that the introduction of standard yet flexible model agreements in FP7 had been helpful.

There was some support for the introduction of a European patent.

**The Government believes that the current rules on intellectual property offer an effective framework that supports collaborative work. Use of standard model agreements has proved beneficial to all parties. The UK fully supports progress on a unitary patent.**

**Question 37: Is the proportion of overheads funded by FP7 appropriate? Should this be adapted in FP8 to create more consistency with other sources of funding?**

There were 84 responses.

Category of respondent	Number of responses	% of overall
Universities	29	35
Representative groups	5	6
Local government/devolved administrations	3	4
Government departments and agencies	2	2
Regional interest groups	3	4
Funding bodies	2	2
Academies	2	2
Industry	8	10
SMEs	7	8
Trade associations	3	4
Research institutes	4	5
Professional institutes	3	4
Public/private research bodies	2	2
Academic heads groups	3	4
Knowledge Transfer Networks	2	2
Individuals – academic	3	4
Individuals – industry	2	2
Other	1	1
<b>Total</b>	<b>84</b>	<b>100</b>

The university sector overwhelmingly expressed the view that the funding of overheads was not adequate. They argued that current reimbursement rates were not compatible with sustainability and strongly supported the use of Full Economic Costing when calculating overheads, although a few admitted that it would probably not be possible to introduce this in the foreseeable future. However, nearly all supported an increase in the overhead rate, with several calling for it to be brought into line with UK Research Council levels. Some stated that VAT should be reinstated as an eligible cost.

Respondents from other sectors were more divided, but with the majority also supporting the view that the level of overheads should be increased.

**The Government wants to see EU programmes funding a higher proportion of actual overheads so that this is at a sustainable level. Reimbursement rates overall need to be attractive while still recognising the principle of cost sharing.**

**Question 38: Within the current UK public expenditure constraints, could the UK do more on a cost-neutral basis to encourage participation in FP generally?**

There were 87 responses.

Category of respondent	Number of responses	% of overall
Universities	24	28
Representative groups	5	6
Local government/devolved administrations	4	5
Government departments and agencies	2	2
Regional interest groups	5	6
Funding bodies	1	1
Academies	1	1
Industry	8	9
SMEs	9	10
Trade associations	6	7
Research institutes	4	5
Professional institutes	4	5
Public/private research bodies	1	1
Academic heads groups	3	3
Knowledge Transfer Networks	3	3
Individuals – academic	4	5
Individuals – industry	2	2
Other	1	1
<b>Total</b>	<b>87</b>	<b>100</b>

Respondents provided a range of suggestions, some of which were not cost-neutral. The most popular was better publicity and information about the Framework Programme, with several respondents suggesting that this could be done through use of existing networks such as Knowledge Transfer Networks (KTNs).

Some respondents called for better synergy between UK and EU research priorities as a key way of encouraging participation. A number also suggested that the UK should fund the preparation of bids for FP funding, identifying examples of this through the PACER fund in Scotland. A suggestion was made that an industry equivalent to the UK Research Office (UKRO) in Brussels should be established, financed by subscriptions from industry.

A number of suggestions were made for areas that the UK should lobby for at EU level, including simplification and the allowance of VAT as a recoverable cost in FP. Some respondents commented that a long-term view should be considered when deciding whether a measure was cost-neutral or not.

**The Government is committed to optimising UK engagement in the Framework Programme and is continually looking at ways to improve participation rates. The Government is currently looking at a number of options for progressing this objective over the coming months, taking into consideration current public expenditure constraints.**

## Question 39: How effective are the current UK support services?

There were 88 responses.

Category of respondent	Number of responses	% of overall
Universities	27	31
Representative groups	3	3
Local government/devolved administrations	3	3
Government departments and agencies	1	1
Regional interest groups	6	7
Funding bodies	2	2
Academies	2	2
Industry	10	11
SMEs	9	10
Trade associations	3	3
Research institutes	4	5
Professional institutes	1	1
Public/private research bodies	2	2
Academic heads groups	3	3
Knowledge Transfer Networks	3	3
Individuals – academic	6	7
Individuals – industry	2	2
Other	1	1
<b>Total</b>	<b>88</b>	<b>100</b>

The consensus was that UK support services are generally effective. A high number of respondents, especially from the university sector, said that the UK Research Office (UKRO) was very good.

Comments on National Contact Points (NCPs) were split, with several respondents commenting that they were good, and several commenting that they varied, some emphasising regional variations. There was some suggestion that the NCP support in other Member States was more integrated, and that UK support could sometimes be fragmented.

Some respondents expressed concerns that the quality of support could suffer after the closure of the Regional Development Agencies (RDAs) in the UK.

**The Government welcomes the feedback on UK support services. We will look carefully at areas of best practice across the UK. We will work closely with partner organisations, including the Technology Strategy Board and the UK Research Office (UKRO) in developing the future provision of support services for UK participants in EU research and innovation programmes, taking into account current public expenditure constraints.**

## Question 40: What could be done at UK level to encourage more businesses - especially SMEs - to apply?

There were 90 responses.

Category of respondent	Number of responses	% of overall
Universities	24	27
Representative groups	3	3
Local government/devolved administrations	5	6
Government departments and agencies	1	1
Regional interest groups	5	6
Funding bodies	1	1
Academies	1	1
Industry	11	12
SMEs	10	11
Trade associations	7	8
Research institutes	4	4
Professional institutes	3	3
Public/private research bodies	2	2
Academic heads groups	3	3
Knowledge Transfer Networks	3	3
Individuals – academic	4	4
Individuals – industry	2	2
Other	1	1
<b>Total</b>	<b>90</b>	<b>100</b>

The responses to this question to a large extent echoed the responses given in question 38. These included financial support for businesses to prepare applications, and a better marketing and information strategy to promote participation in FP. There were also calls for an enhanced role for National Contact Points (NCPs) in promoting opportunities and networking participants.

Many respondents favoured providing more targeted support for SMEs. Several respondents suggested that creating better links between universities and SMEs and developing clusters would support SMEs in applying for FP funding.

Some of the suggestions put forward related to actions which could be taken at EU level; these are addressed in question 32.

**The Government recognises the importance of optimising UK business involvement in the Framework Programme and is continually looking at ways to improve participation rates, especially among SMEs. The Technology Strategy Board has primary responsibility for improving business participation in FP7 and provides support through a number of National Contact Point experts as well as a dedicated national helpline and website. The Technology Strategy Board is currently looking at improving the overall support provided to business and is taking into consideration the views expressed during the consultation.**

## Question 41: Are there any lessons from other countries that could help raise UK participation?

There were 61 responses.

Category of respondent	Number of responses	% of overall
Universities	14	23
Representative groups	1	2
Local government/devolved administrations	3	5
Government departments and agencies	1	2
Regional interest groups	5	8
Funding bodies	4	7
Academies	0	0
Industry	7	11
SMEs	7	11
Trade associations	6	10
Research institutes	1	2
Professional institutes	2	3
Public/private research bodies	1	2
Academic heads groups	1	2
Knowledge Transfer Networks	2	3
Individuals – academic	3	5
Individuals – industry	2	3
Other	1	2
<b>Total</b>	<b>61</b>	<b>100</b>

Respondents identified a range of lessons from other countries. Many respondents commented that other Member States had stronger and more coordinated support systems, with countries including Germany, the Netherlands and Spain. Several aspects of best practice in Germany was identified, including a high level of Industry participation and the important part played by the Fraunhofer Institutes in catalysing this. A few respondents suggested that Technology and Innovation Centres (TICs) could function in this way in the UK.

**The Government is committed to seeking examples of best practice from across the EU with regard to improving engagement with Framework Programme.**

**TICs will bring together participants from academia and industry, in a similar manner to Fraunhofer Centres in Germany, allowing them to link into and access EU programmes.**

## Question 42: Please add additional comments here in relation to UK interests in the Framework Programme

There were 57 responses.

Category of respondent	Number of responses	% of overall
Universities	18	32
Representative groups	2	4
Local government/devolved administrations	3	5
Government departments and agencies	1	2
Regional interest groups	2	4
Funding bodies	3	5
Academies	0	0
Industry	5	9
SMEs	6	11
Trade associations	2	4
Research institutes	3	5
Professional institutes	0	0
Public/private research bodies	1	2
Academic heads groups	1	2
Knowledge Transfer Networks	1	2
Individuals – academic	5	9
Individuals – industry	2	4
Other	2	4
<b>Total</b>	<b>57</b>	<b>100</b>

Respondents put forward many additional comments. Many of these emphasised what had been said previously or were specific to the respondent's sector.

Some commented on the UK's success in FP7 and that continuation of this success should be the key priority for FP8.

Many commented on the need for balance in FP8; between applied and fundamental research, between smaller projects and large-scale programmes and between academic and industry engagement.

**The Government notes the responses given in this question. The need for a balanced approach in future Framework Programmes has been addressed in several of the above questions.**

**The Government is committed to continuing to build on the past success of the Framework Programme, both for the UK and the EU as a whole, and will continue to work to achieve this.**

# Annex 1: Respondents

In accordance with Government transparency policy, copies of all of the responses are available at [www.bis.gov.uk/fp8-call-for-evidence](http://www.bis.gov.uk/fp8-call-for-evidence), or by contacting:

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## Respondents

5S Consulting  
Aberystwyth University  
ABPI  
ADS  
Arm Ltd  
Association of Independent Research and  
Technology Organisations (AIRTO)  
BAE Systems  
Barnsley Metropolitan Borough Council  
BHR Group  
BioIndustry Association  
Bristol University  
British Academy  
British Medical Association  
Bruce Edmonds  
Business Voice West Midlands  
Cancer Research UK  
Confederation of British Industry  
CBRNE Ltd  
Cefas  
Centre for Ecology and Hydrology  
Centre for Radiation, Chemical and  
Environmental Hazards  
Ceratium Ltd  
Chemistry Innovation KTN  
CISCO  
Coventry University  
Defra  
Durham University  
East of England European Partnership  
Enda Tseelon  
Engineering Professors' Council  
Environment Agency  
Economic and Social Research Council  
Food Standards Authority  
Geological Society of London

Goldsmiths, University of London  
Goodrich Control Systems  
Greater London Authority  
HE Wales  
Health & Safety Executive  
Health KTN  
Horticultural Trade Association  
Imperial College  
Institute for Development Studies,  
Brighton  
Institute of Education  
Institute of Ergonomics and Human  
Factors  
Institute of Food Research  
Institute of Physics  
Institute of Sports and Exercise Medicine  
Intellect  
Invest Northern Ireland  
IQE  
John Innes Centre  
Kevin Cooke  
Liverpool School of Tropical Medicine  
Logica UK  
Loughborough University  
Louise Ackers  
Martin Griffin  
Medical Product Development  
Partnerships  
Michael Overduin  
Ministry of Defence  
Modern Universities Research Group  
Nanotechnology KTN Workshop  
National Horticultural Forum  
National Physical Laboratory  
Natural Resources Ltd  
Natural Environment Research Council



Newcastle University School of  
Architecture  
Newcastle University Transport Research  
Group  
National Farmers Union  
NHS European Office  
North West Regional European  
Partnership  
North West Strategic Health Authority  
Open Hub Ltd  
Open University  
Oxford Instruments  
Peter Lilford  
Philip Mortimer  
Platform Solutions (BAE)  
Queen Mary, University of London  
Queen's University Belfast  
R3 Environmental Technology  
Research Councils UK  
Reg Sell  
Rolls Royce  
Royal Academy of Engineering  
Royal Society of Chemistry  
Russell Group  
Schumacher Institute  
Scottish Agricultural College  
Scottish Government  
Scottish Optoelectronics Association  
Scottish Power  
Select Group of Companies Ltd  
Serious Games Institute  
Shearline Precision Engineering  
Somerset County Council  
South West FP8 Expert Group  
Stephen Alexander

Swarm Systems Ltd  
Thales  
TTS Shipping  
TUV NEL  
UK Computing Research Committee  
UK Council of Heads and Professors of  
Sociology  
UK Deans of Science  
UK Space  
UK Collaborative on Development  
Sciences  
UNISON  
Universities UK Europe Unit  
University of Bath  
University of Cambridge  
University of Edinburgh  
University of Exeter  
University of Glasgow  
University of Hertfordshire  
University of Leeds  
University of Leicester  
University of Lincoln  
University of Liverpool  
University of Manchester  
University of Nottingham  
University of Oxford  
University of Plymouth  
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