



Common principles guiding temporary Working Groups to prepare Implementation Plans

This document contains a set of common principles to be applied in the preparation of Implementation Plans to achieve the targets. These common principles will ensure that each Working Group follows and respects at large these principles. However, detailed working methods will need to be developed for each Working Group and the characteristics of each sector and/or Declaration of Intent will have to be taken into account.

An Implementation Plan describes the technological and non-technological R&I activities that need to be implemented in order to achieve the targets adopted in the Declarations of Intent.

Set-up of temporary Working Groups

Mission: each Working Group (WG) will prepare one Implementation Plan addressing one Declaration of Intent.

Composition: in principle a maximum of 30 members forming a balanced group of:

- SET Plan countries: 1) committed in principle to use their energy R&I national programmes and policies to implement some of the R&I activities that will be selected; and 2) preferably interested in developing and pursuing joint research with other countries (at least with one other SET Plan country)¹. Country representatives in the WG shall be government representatives, or nominated by their governments, and as such cannot represent a stakeholder;
- Stakeholders: experts from ETIPs (where they exist), EERA, public-private partnerships, etc. The WGs' Chairs and Co-Chairs assisted by the EC will give preference to those stakeholders who provided inputs to the Issues Papers as well as those who were active in developing the Integrated Roadmap;
- EC: facilitates and supports the WGs as needed in agreement with the Chair and Co-Chair.

Nomination and role of Chairs/Co-Chairs:

- Each WG is preferably chaired by a single SET Plan country;
- A stakeholder, preferably from industry, is expected to Co-chair;
- Chairing and Co-chairing will involve steering, coordinating and facilitating agreements in the work of the WG for preparing the Implementation Plan;
- Nomination of the Chair and Co-chair should preferably take place before the first WG meeting. The EC will invite SET Plan Steering Group members to express their interest to become Chair of a specific WG. The Chair, with the assistance of the EC will invite the relevant stakeholders to express their interest to become Co-Chair;

¹ In particular, the coordinator of each ERA-Net, or his/her representative, as programme owner or programme manager, is expected to be part of the temporary Working Group as appropriate.

- On the basis of a proposal from the EC, Chair and Co-Chair should agree on the working methods of the WG, as well as on the list of stakeholders who will be part of the WG. The working methods will be shared among the WG members and agreed by them.

SET Plan countries not chairing but participating in WGs are expected to have an active role in helping the Chairs to perform their work in relation to the tasks described in the following section - Implementation Plans. They will do so by:

- Providing information on the ongoing R&I activities in their country, in relation to how they could help achieve the targets, and sharing the main results of these activities with the WG;
- Identifying at least one national Flagship activity contributing to achieving the target(s), demonstrating the activity of the country in the sector;
- Sharing their experience, if any, in monitoring the targets;
- Highlighting concrete non-technological barriers/enablers experienced in their country;
- Identifying potential new Joint R&I activities with other countries in the WGs or complementing existing ones (e.g. ongoing ERA-Nets).

SET Plan countries will be assisted in their work by the EC, especially by SETIS for the synthesis and presentation of their aforementioned inputs into the WGs. Depending on the number of SET Plan countries participating in the WG, a specific role may be assigned to countries interested in supporting the work of the Chair (e.g. responsible for identifying the non-technological barriers/enablers and producing an analysis) - to be decided on a case by case.

SET Plan countries not participating in a given WG: in order to keep all SET Plan countries informed, the minutes of each meeting will be circulated to the SET Plan Steering Group. Regular updates will be provided in the SET Plan Steering Group meetings, where countries not participating in a WG will be invited to inform about important activities or flagship activities of relevance to this WG and taking place at their national level. In addition, each final Implementation Plan will be endorsed by the SET Plan Steering Group; this will provide all SET Plan countries the possibility to intervene even at a late stage in the process.

Organisation of meetings: Phone conferences are to be favoured since no travel costs will be reimbursed. If considered necessary, it is up to Chairs and Co-Chairs to propose physical meetings to the other members of the WGs.

Implementation Plans

Selection of R&I Activities: informed by the relevant actions contained in the document 'Towards an Integrated Roadmap'², each Implementation Plan has to identify the priority R&I activities to be carried out by the various actors (SET Plan countries, stakeholders or, within its mandate, the EC) in order to achieve the targets set in the Declarations of Intent.

In particular, each Implementation Plan should contain:

- A limited number (a maximum of 10) of technology-related priority activities;
- Activities addressing non-technological barriers/enablers, if relevant (in such a case the intervention needed has to be clearly explained).

It may happen that ongoing R&I activities (conducted at national and/or at European level and/or by industry) are considered enough to reach some targets. In such a case, no additional R&I activities will be proposed in the Implementation Plan. The main results of such ongoing R&I activities, in terms of contribution to achieving the targets, are expected to be shared within the SET Plan community.

Funding of selected R&I Activities:

- The main source of funding must be provided at national level [e.g. from government, and/or from stakeholders (industry alone in some cases)];
- In selected cases, activities may also be financed from EU sources provided that they comply with the legal frameworks and provisions in force under the TFEU and the Euratom Treaty³ and a strong EU added value is justified. The EU programmes used as a source of funding will be chosen in due course among those having innovation as a prominent feature;
- Joint R&I activities between SET Plan countries (with and without EU funds) are expected to be an important dimension of the Implementation Plans.

Information on the R&I Activities selected: additional information should be provided about each R&I activity, namely who implements what (at national level, jointly with other SET Plan country(ies) or at EU level when there is strong EU added value), with what resources (private /public/jointly), and by when (according to the template in Annex).

Identification of Flagship Activities: i.e. prominent ongoing R&I activities contributing to achieving the targets and of interest to the public at large.

Flagship activities are expected to be identified at national level (i.e. funded by national funds) by the SET Plan countries and at EU level (i.e. funded by EU funds) by the EC. It will be important to publicise SET Plan activities and to show that they are not limited to activities supported by the EC.

A Flagship activity can be a project or programme considered as the best example of what R&I can achieve in a given sector or with a specific technology towards reaching the SET Plan targets. It is not necessarily the largest and does not necessarily draw the highest financial volume. The innovation potential and the possibility of establishing a positive

² <https://setis.ec.europa.eu/set-plan-process/integrated-roadmap-and-action-plan>

³ Treaty on the Functioning of the European Union and Treaty establishing the European Atomic Energy Community

public image are key, as well as a capacity to "lead by example". The results of such a project or programme are expected to make a real difference.

Identification of international cooperation Activities relevant to achieving the targets. These activities may be identified by SET Plan countries and/or the EC. Their contribution in terms of achieving targets is expected to be shared within the SET Plan community.

Such international cooperation activities, whenever appropriate, will be of particular relevance to present the contribution of the SET Plan to Mission Innovation.

Monitoring progress: to agree on the quantification of targets and on the monitoring and reporting mechanisms is necessary to enable SETIS' mandate. In general this will include:

- Current state-of-play for the targets (baseline);
- Approaches for quantifying the progress of activities.

Transparency

Sharing of information with the SET Plan community will be done via SETIS. This will relate in particular to:

- The launch and composition of the WG;
- Final Implementation Plans agreed by the WG and endorsed by the SET Plan Steering Group.

Timeline

Implementation Plans should be drafted by the WGs within 3-5 months (depending on the complexity of each Declaration of Intent). A document proposing timing for the WGs' kick-off meetings will be prepared. Work for all the 10 Key Actions is expected to be completed by Sept. 2017.

Annex: Implementation Plan template

Structure

Main Key Action / Declaration of Intent

Summary: a description of the R&I Activities to be undertaken, their relationships and synergies (max. 15 lines)

State of the art: (max. 15 lines)

R&I Activities: no more than 5-10 per Implementation Plan. Further details below

Non-technological aspects: a description of concrete non-technological barriers/enablers and how they will be overcome (max. 10 lines)

Ongoing R&I Activities (Flagship activities or not): relevant to achieving the targets

Name	Description: including an explanation on how its contributes to the target(s) and, if it is the case, why it is considered as Flagship activities	Timeline: start and end dates	Location/Party (countries / stakeholders / EU)	Budget
<i>Fill in one line per ongoing R&I Activity</i>

International cooperation: specific international cooperation activities if relevant (max. 5 lines)

Name	Description: including an explanation on how its contributes to the target(s)	Timeline: start and end dates	Countries involved	Budget per country
<i>Fill in one line per international Activity</i>

Contacts: contact names of the Chair/Co-Chairs

Description of each R&I Activity (repeat as many times as the number of R&I Activities)

Title: a concise but informative title of the R&I Activity (max. two lines)

Targets: the targets that the R&I Activity will help to achieve	Monitoring mechanism: an explanation of how each target will be monitored and reported to SETIS
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Description: a summary of the R&I Activity including the goals and a justification of why the Activity is key

TRL: Advanced research /Industrial research & demonstration / Innovation & market uptake. Also mention TRL at start and envisaged at the end

Total budget required

Expected deliverables	Timeline	
<i>Fill in one line per deliverable</i>	...	
Party / Parties (countries / stakeholders / EU)	Implementation instruments	Indicative financing contribution
<i>Each R&I Activity might be implemented by one or more groups of parties working together. One line should be filled in per group of parties</i>