

Horizon 2020 preparations

Joint Programming in Research

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The name...

Horizon 2020

Not: FP8

Not: CSF



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How much?

80 billion euro

- **Commission proposal** adopted on 29 June 2011
- **Overall amount for Horizon 2020** (does not include ITER construction)
- **€80 billion** in constant 2011 prices
- **Increasing share** of stable EU Budget (which will decrease as share of EU GNI). Research and innovation increases to **8.5%** of overall EU budget.
- **For decision by European Council, European Parliament**



What are the priorities (1)?

Excellent science base

World class excellence; developing and attracting talent

- European Research Council
- Future and emerging technologies
- Marie Curie actions on skills, training and career development
- Research infrastructures



What are the priorities (2)?

Industrial leadership & competitive frameworks

Business led R&I; raising private investment

- Enabling and industrial technologies (ICT, nano, materials, bio, manufacturing, space)
- Access to risk finance (loans, equity)
- Support for innovation in SMEs



What are the priorities (3)

Tackling societal challenges

Responding directly to EU objectives; whole cycle from research to market

- Health, demographic change & wellbeing
- Food security, sustainable agriculture & bio-based economy
- Secure, clean & efficient energy
- Smart, green and integrated transport
- Climate action and resource efficiency including raw materials
- Inclusive, innovative and secure societies



What are the priorities?

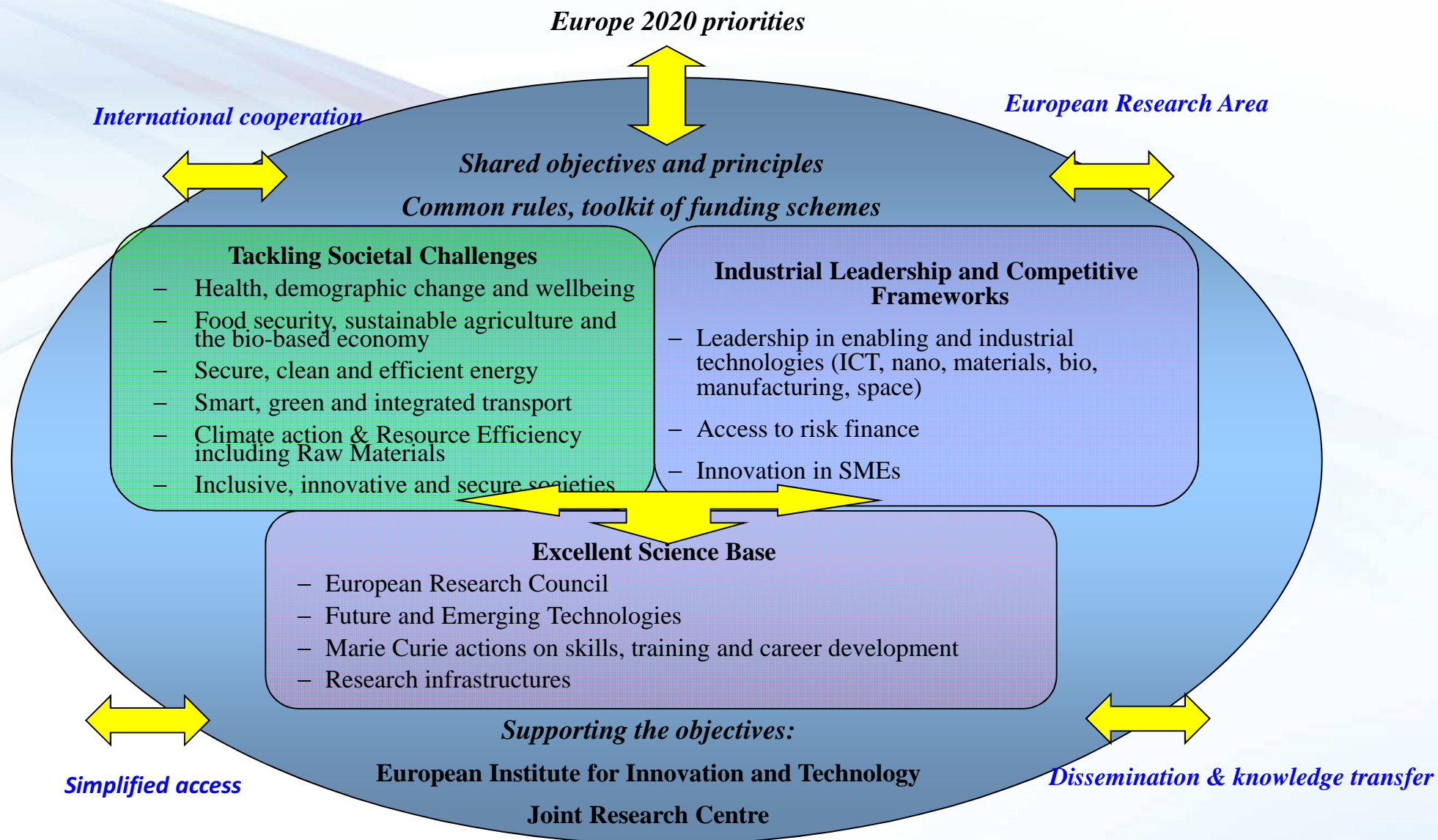
- Grant to the European Institute for Innovation and Technology (EIT)
- Direct actions of the Joint Research Center

Cross-cutting priorities:

- Simpler access, openness to newcomers
- Dissemination & knowledge transfer
- European Research Area
- International cooperation



Horizon 2020 – Objectives and structure



Why ?



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Added value of EU R&I funding

(evaluations, other sources)

- Cross-border **pooling** of resources to achieve **critical mass** and **diffusion of knowledge**
- Promote **competition** in research and innovation, thereby raising levels of **excellence**
- Offers **training possibilities**; enhances Europe's **international attractiveness**
- Address **pan-European policy challenges**; link to EU **market frameworks**
- **Leverages** private investments, combines public investments, **increases efficiency**

=> R&I for smart, sustainable and inclusive growth



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Stakeholder views

More than **2000 responses to Green Paper** on future EU research and innovation funding

- **Simplification** is a key priority!
- **Bring research and innovation together** in an integrated funding programme – but recognise differences!
- Support all stages, with **more attention for close to the market activities** (e.g. demonstration, piloting)
- **Build on what works**, e.g. European Research Council, Marie Curie, collaborative research
- **Better focus**, linked to **societal challenges** and EU policy objectives (climate change, ageing, energy security,...)
- More **openness and flexibility**, (less prescriptive calls, more **bottom-up instruments**)



Stakeholder workshops on priorities

Discussing priorities on:

- Future and Emerging Technologies
- Innovation and Horizon 2020
- Marie Curie actions
- Food Security, Sustainable Agriculture and the Bio-Economy
- Research infrastructures
- Access to risk finance
- The health, demographic change and wellbeing challenge
- Innovation in Small and Medium Enterprises
- Towards more inclusive, innovative and secure societies challenge
- Secure, clean and efficient energy challenge
- Smart, green and integrated transport challenge
- Leadership in enabling and industrial technologies
- Resource efficiency and climate action challenge

All workshop reports available at: http://ec.europa.eu/research/horizon2020/index_en.cfm?pg=workshops



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What's new?



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Horizon 2020: Real integration of existing programmes

- The **7th Framework Programme (FP7)** for research, technological development and demonstration
- Innovation elements from **Competitiveness and Innovation Framework Programme (CIP)**
 - Non-innovation elements to be included in a new “Competitiveness and SMEs” programme
- EU funding for **European Institute for Innovation and Technology (EIT)**

Strengthening complementarities with the **Structural Funds**



Horizon 2020 – Key common features

- **Clear set of objectives** based on Europe 2020 and Innovation Union
- Integrating research and innovation in a **seamless programme**
- Focus on overall policy priorities – using a **challenge based approach**
- Programme **structured by objectives**
- **Common toolkit** of funding schemes



Horizon 2020 – Simplification

- **Single set of rules** for eligibility, accounting, reporting, auditing
- **Simplified cost-reimbursement** approach
- Broader acceptance of **usual accounting practice**, greater use of **lump sums** and **flat rates**
- **Shorter negotiation** and **selection** phases
- **Unique IT portal**, common support structures, guidance
- **External management:** learning from experience with executive agencies, public private partnerships, public to public partnerships, financial instruments



Next steps

- **Negotiations on EU budget 2014-2020**
- **Commission proposals for Horizon 2020:** before end 2011
- **FP7 2013 Work Programmes**, to bridge towards Horizon 2020
- **Legislative decisions** on Horizon 2020 by the Council and European Parliament (2012-13)
- **Horizon 2020** (from 2014)



What is ERA about?



A European “single market” where researchers, technology and knowledge circulate freely across borders

Effective coordination and better integration of research activities at national and European level

Research initiatives implemented and funded at European level



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Scientific, economic and competitive benefits of the European Research Area

Avoiding fragmentation

Lowering costs of knowledge

Creating critical mass

- Scientific excellence

- Complex projects

- Scale economy

- Avoiding redundant investments

- Attracting industry



→ Free circulation will foster science and competitiveness



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The way forward: ERA by 2014

ERA Framework and supporting measures

Announced for 2012 (*Innovation Union Flagship*)

Cross-cutting scope

Covering **five key areas** with the potential to deliver significant gains for Europe's research system:

researchers

research infrastructures

cross-border operation of research, researchers and research institutions within the EU → *i.e. Joint Programming*

knowledge transfer and open access

international cooperation



Towards an ERA Framework

ERA FW ↔ Horizon 2020

Analysis of barriers that hamper ERA completion

Public stakeholders' consultation to involve all research actors in ERA policy-making

Adoption of ERA Framework in 2012

Measures aiming at completing ERA by 2014

**Have your say!
Participate in the ERA
public consultation:**

13 Sept -30 Nov 2011

www.ec.europa.eu/research/era



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ERA Framework Public Consultation

Why a public consultation on ERA ?

Complete change of economic environment

Call for a new level of ambition (legally and politically)

Lisbon Treaty : ERA as a means to strengthen EU's scientific and technological basis

European Council conclusions 04/02/2011: ERA to be completed by 2014

Objectives

Identify ERA's more important objectives & gather views and evidence on the remaining gaps for its completion in 2014

Reinforce Commission's analysis of the key issues to be addressed

Gather views on their importance

Orientations on possible actions to remedy some of the obstacles



ERA Framework Public Consultation

Target Groups

EU Member States and Associated Countries and their stakeholders (e.g. research performing organisations including universities, funding organisations, researchers, private sector and civil society)

Timing

From 13.09.2011 to 30.11.2011

Results

summary of results of the consultation will be published on the ERA portal

<http://ec.europa.eu/research/era>

Presentation & discussion at a wrap-up event with stakeholders in January 2012

Consultation document

http://ec.europa.eu/research/consultations/era/consultation_era.pdf



Joint Programming - specific obstacles: cross-border operation

Recent progress: ERA-NETs, ART. 185 TFEU, JTIs, Joint Programming Initiatives, voluntary common approaches, e.g. DACH, Lead Agency.

Key issues: cross-border combined effort to tackle major challenges; cross-border research with national funds; incompatibilities between systems, rules, definitions, priorities, etc.

Size: difficult to estimate – 4.5% coordinated X-border

Research impact: sheltered research less innovative; EU centres of excellence not emerging

Economic: potential missed opportunities to attract talent & investment; duplication



Joint Programming

Joint Programming : Why & What ?

Definition and rationale

Joint Programming : How ?

Approach according to Council Conclusions

Joint Programming: Now

Progress of the Joint Programming process

Joint Programming in the future

Recent developments



Joint Programming (Definition)

Member States engaging

voluntarily and on a **variable geometry basis**

in the **definition, development and implementation of common strategic research agendas**

based on a **common vision** on how to address **major societal challenges**.

It may involve collaboration **between** existing national programmes **or the** setting up of entirely new ones.

It entails putting resources together,

selecting or developing the most appropriate instrument(s), and collectively monitoring and reviewing progress.



Joint Programming : What ?

A Strategic Process

- Ambition,
- Scope, critical mass, long-term horizon
- Clearly defined strategy

A Structured Process

- New mindset where Member States consider EU added value,
- Sound methodology, appropriate governance structure,
- Clear rules of the game
- Subsidiarity (EU & MS), Openness, Transparency, Accountability

A Structuring Process

- Lasting impact on European research landscape
- Creating a new reference frame for public research (ERA Frame)
- Lasting, deep commitment from Member States



Joint Programming: How?

Implementation of the JP Initiatives

A three-stage process (*inspired by European Technology Platforms*):

1. Development of a **Common Vision** with long term objectives
2. Translate it into a **Common Strategic Research Agenda (SRA)** with SMART objectives, based on assessment of existing strengths and capabilities
3. **Implementation** of the SRA

Choose appropriate mix of instruments from the toolbox of public research instruments (regional, national, European?)

Regular monitoring & evaluation against SMART objectives

Regular reporting of results to political level

+ Lesson learned from pilot JPI :

**as soon as common will & vision are agreed,
define a solid management plan/board**

Joint Programming in a nutshell

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- ◆ **2/12/2008** Council conclusions on JP and “Alzheimer’s” JPI
- ◆ **3/12/2009** Identification of 3 first JPIs by GPC and Council
Commission Recommendations, then Council Conclusions on the basis of themes identified by the Joint Programming Group (GPC)
- ◆ **26/5/2010** Identification of 6 “second wave” Joint Programming themes by the GPC and the Council
- ◆ **4/11/2010** GPC adopts JP report, incl. 2010 Guidelines for Framework Conditions on Joint Programming

- ◆ **3/12/2009** Council adopts pilot Neurodegenerative Diseases JPI
- ◆ **12/10/2010** Council Conclusions on 3 first wave JPIs
- ◆ **25/11/2010** Council Conclusion on JP, First JP report to Council
- ◆ **During 2011** Launch of first joint activities by “first wave” JPIs
- ◆ **By end 2011** Commission Recommendations on 2nd wave JPIs



Identification of JPIs

First wave, **SELECTED** in 2009, **LAUNCHED** in 2010

JPI	Countries
Neurodegenerative diseases (JPND) (Alzheimer's)	22 MS participating
Agriculture, Food Security and Climate Change (FACCE)	20 MS participating
Cultural Heritage and global change: a new challenge for Europe	15 MS participating, 8 observing
Healthy diet for a healthy life	21 MS participating



Identification of JPIs

Second Wave JPIs, selected in 2010

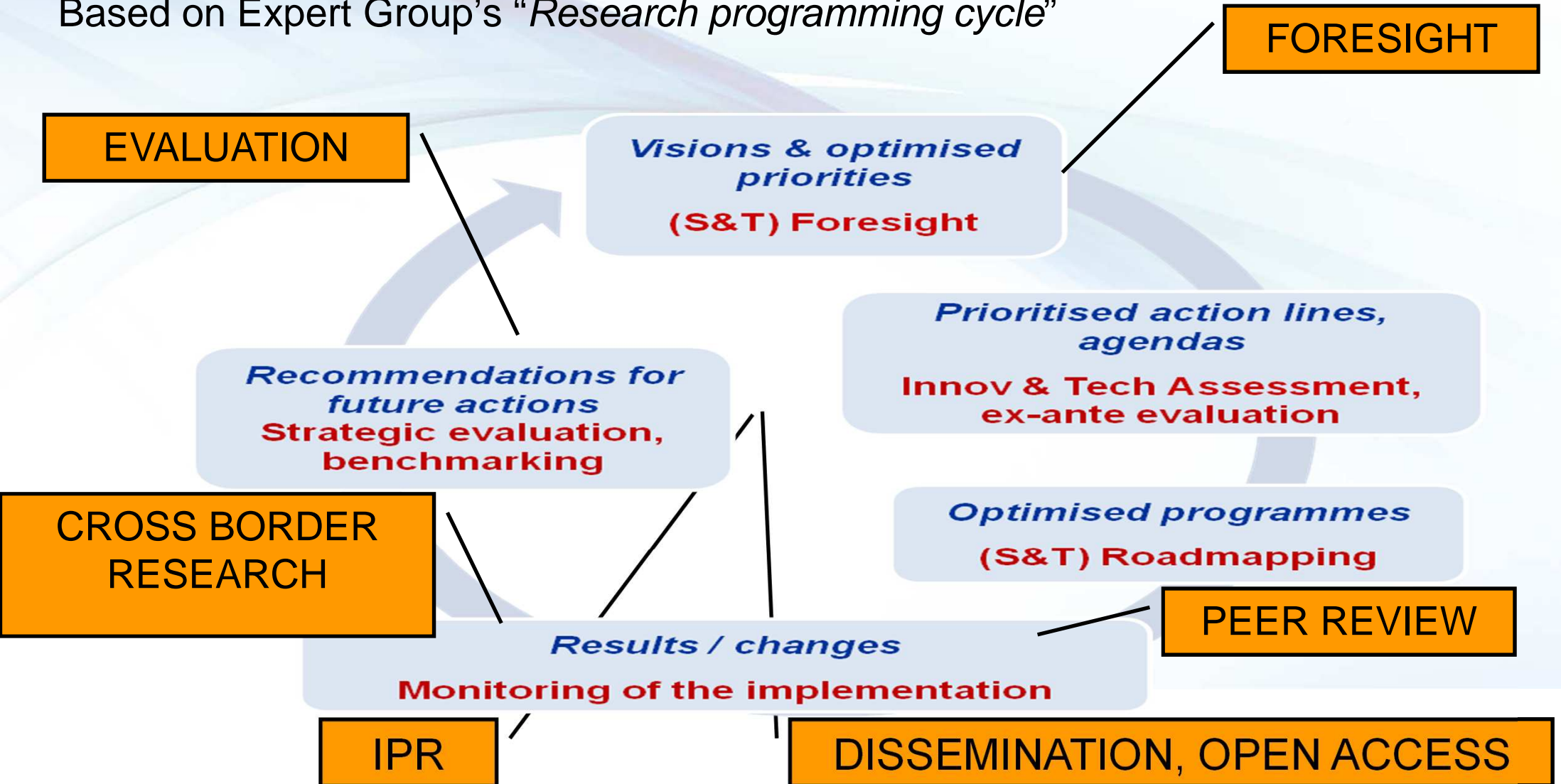
JPI	Supporting Countries
More Years, Better Lives (Demographic Change)	14 MS participating, 2 observing
Anti-Microbial resistance	15 MS participating
Healthy and Productive Seas and Oceans	11 MS participating, 5 observing
Water Challenges for a Changing World	14 MS participating, 6 observing
Connecting Climate Knowledge for Europe (Clik'EU)	12 MS participating, 3 observing
Urban Europe	15 MS participating



Joint Programming: How?

A WORKING METHOD

Based on Expert Group's "Research programming cycle"



Joint Programming: How?

Enabling tools to facilitate implementation

During 2010, the GPC with the support of the Commission as well as ESF and EUROHORCs developed voluntary guidelines

Framework Conditions for Joint Programming in Research

FC Guidelines endorsed by Council in November 2010

- Online:

http://ec.europa.eu/research/era/docs/en/voluntary_guidelines.pdf



JP in the future and recent developments

It is expected that all six 2nd wave JPIs will be adopted by the Commission and by the Council by the end of 2011 – Commission required Commitment letters from participating governments

CSAs as support for the further development of the JPIs will be opened in 2012

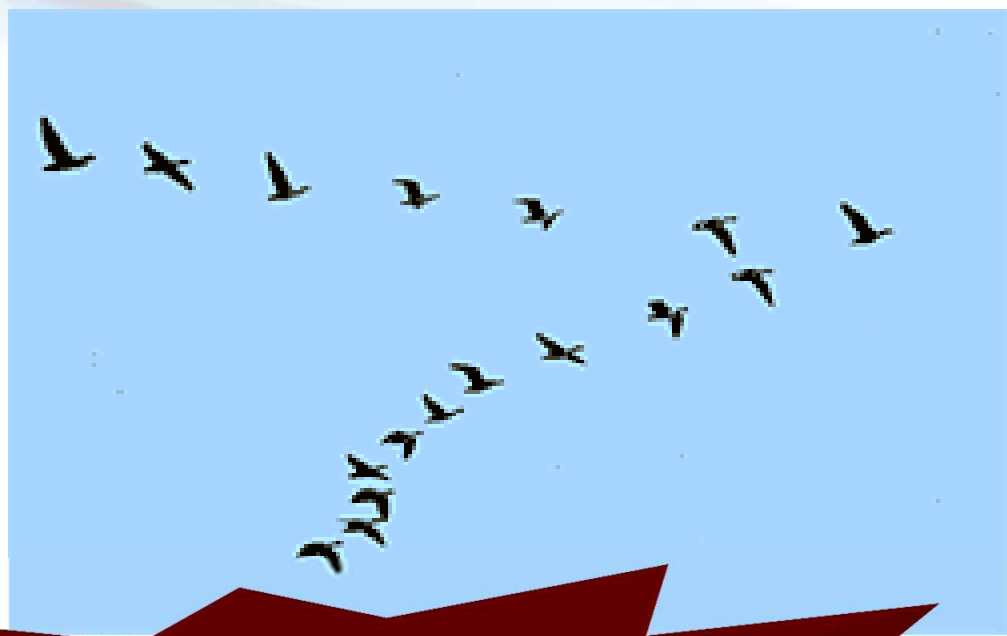
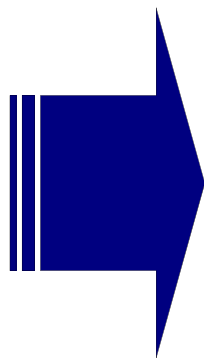
In parallel the GPC is contributing to the development of a possible ERA Framework relating to cross-border operation of research

Place of JPIs in the Innovation Union and relationships between JPIs and EIPs



Governance is key for an effective Joint Programming

Nature shows us the way: Birds coordinating their efforts



71 % gain of efficiency !



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Thank you for your attention

http://ec.europa.eu/research/era/areas/programming/joint_programming_en.htm

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