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The ERA future and the consultation

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Outline

- I. What is ERA and why should it be completed by 2014?**
- II. What has been achieved?**
- III. The way forward – taking ERA to a new level**



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I. What is ERA and why should it be 'completed' by 2014?



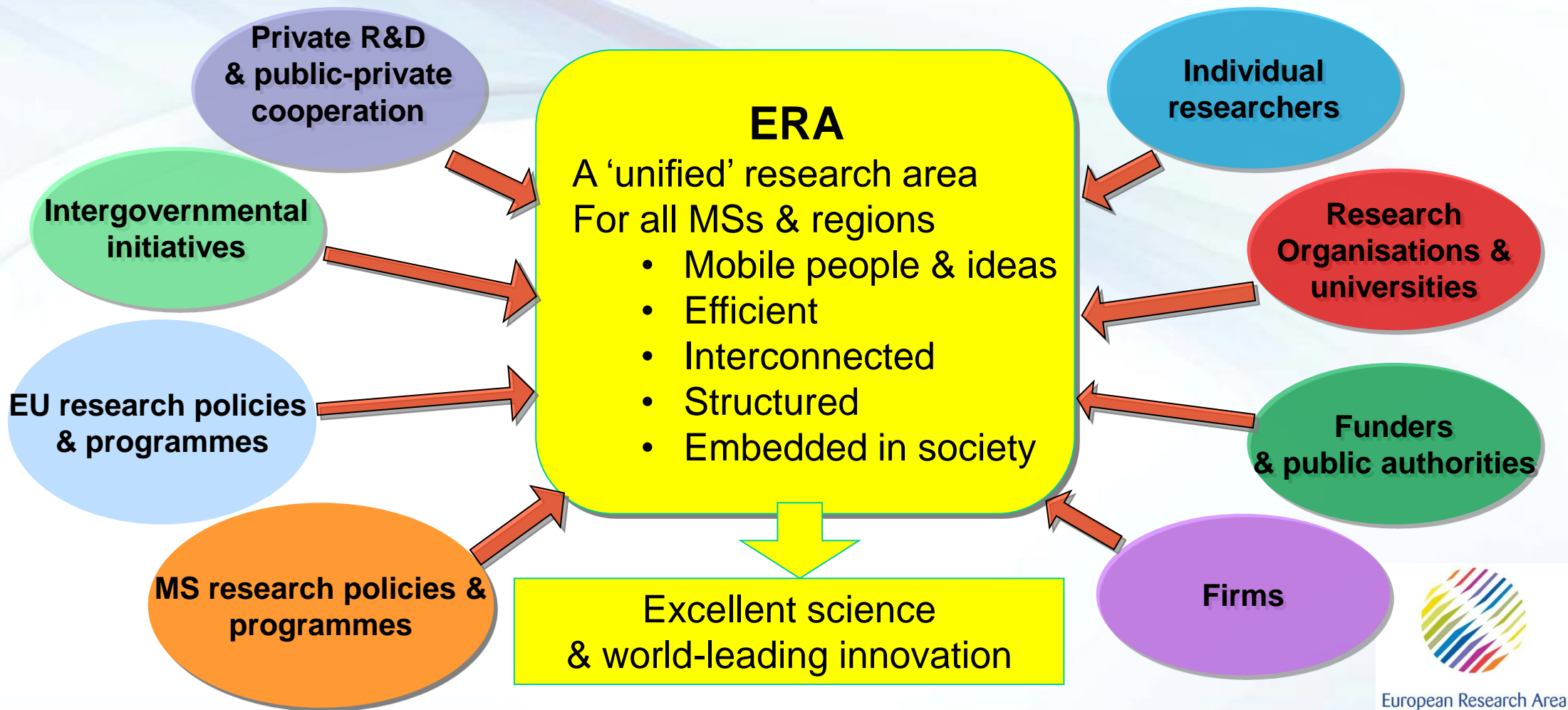
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ERA is about raising scientific **quality**, innovation **impact**, societal & citizen **relevance** of research in Europe via all forms of **cross-border** synergy



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ERA in concrete terms ...

- A single market for knowledge
- Cross-border...
 - ... **flows** of researchers and scientific knowledge
 - ... **funding**
 - ... **cooperation**
 - ... **opening** of national programmes
 - ... **access** to research capacities, infrastructures, results
 - ... **strategies & alliances** between research stakeholders
- EU-level governance
 - Transnational & cross-sectoral policy coordination, common priorities, monitoring and evaluation



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ERA Vision 2020

*“By 2020, all actors fully benefit from the ‘Fifth Freedom’ across the ERA: **free circulation** of researchers, knowledge and technology. The ERA provides **attractive conditions** and effective and efficient **governance** for doing research and investing in R&D intensive sectors in Europe. It creates strong **added value** by fostering a healthy Europe-wide scientific **competition** whilst ensuring the appropriate level of **cooperation and coordination**. It is responsive to the needs and ambitions of **citizens** and effectively contributes to the **sustainable development** and **competitiveness** of Europe.”*

(Competitiveness Council 2nd Dec 2008)



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If Europe lags on research & innovation it will be left behind economically

Size, performance, efficiency & integration of the EU's research system incommensurate with the smart growth and jobs ambitions of the Union

Research in Europe needs to:

- Invest more in R&D (2.01 % of GDP; shrinking global share) **BIGGER**
- Raise critical mass, efficiency, quality & consistency with other policy areas **BETTER**
- Take calculated risks – co-ordinated foresight-based prioritisation of new fields **BOLDER**
- Make 'smart' strategic choices to help solve the Union's economic, social & environmental challenges **BRIGHTER**

... and of course be open to the world & capable of speaking with a single coherent and authoritative voice in international fora.



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II. What has been achieved?



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ERA key milestones

- 2000** ERA & Lisbon Strategy
- 2002** 6th Framework Programme & 3% target
- 2003** 3% Action Plan & Open Method of Coordination
- 2007** ERA Green Paper & 7th Framework Programme
- 2008** European Council: 5th freedom
Council: Ljubljana Process & ERA 2020 Vision
- 2009** Lisbon Treaty
- 2010** Europe 2020 & Innovation Union
- 2011** European Council : complete ERA by 2014
ERA Framework Public Consultation



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ERA instruments : 4 types

1) Funding of research activities from the Community budget

- **Direct FP funding**
 - Collaborative research (€19 Bn FP7 so far)
 - Marie Curie actions (€1.7 Bn)
 - SME support
 - **Delegated/externalised:**
 - European Research Council (€2.9 Bn)
 - Public Private Partnerships (3) & Joint Technology Initiatives (5)
 - Risk Sharing Finance Facility (€7 Bn)
 - **Joint Research Centre**
-

2) Processes of “ERA optimisation” of national funding

- **ERA-NETs, Art.185**
- **Joint Programming Initiatives**
- **ESFRI**
- **Thematic Intergovernmental Research Organisations**
- **COST actions, EUROCORES**
- **EUREKA**



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ERA instruments : 4 types

3) Soft tools supporting policy development and coordination

- Information provision / exchanges/ monitoring
 - Mutual learning / peer review
 - Guidelines based on good practices
- (e.g. OMC 3%, the five ERA partnership initiatives, etc.)
-

4) Legislation

- Third country researchers Directive 2005/71
 - Regulation for European Research Infrastructure Consortium
 - Competition, internal market, labour market legislation
-



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The five ERA partnership initiatives

1. European Partnership for Researchers
 - National Action Plans + other EU initiatives
2. Research infrastructures
 - 1st ERIC status Mar 2011, 10 (+16) ESFRI projects
3. Joint Programming
 - 4 launched, 6 more selected in 2010
4. Knowledge sharing
 - Some changes in national legislation
5. International cooperation
 - Pilots India (water), USA (energy) & China EU-Africa S&T policy dialogue



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Overall evaluation of progress

- Good & promising initiatives: ERA partnerships, ERANETs, ERC, ...
- Need for ERA acknowledged by stakeholders
- But overall progress slow and piecemeal
 - **Unclear rationale, operational objectives, expected outcomes and impacts, indicators**
 - **Few and weak systemic links between MSs & EU – MSs**
 - **Obstacles to openness, free circulation & under-exploitation of cross-border actions**
 - **Perception of a fragmented & complex patchwork of initiatives and instruments**
 - **Limitations of voluntary approach**
 - **Involvement of stakeholders in governance not well structured**
 - **Benefits to MSs of ERA unclear**



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III. The way forward



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Taking ERA to a new level

Politically ...

- Fiscal austerity & innovation gap
- Knowledge at core of Europe 2020
- European Council Feb 2011 *“complete ERA by 2014”*
- Innovation Union *“an ERA Framework and supporting measures to remove obstacles to mobility and cross-border co-operation”*

Legally, the Lisbon Treaty ...

- ... makes ERA an explicit objective of the Union

“The Union shall have the objective of strengthening its scientific and technological bases by achieving a European research area (...)” (TFEU Art.179)
- ... gives the Union legislative powers to reach this objective

... shall establish the measures necessary for the implementation of the European research area (TFEU Art. 182.5)



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Towards an ERA Framework

Evidence-based approach (*ex ante* Impact Assessment)

- Substantiate **obstacles/problems**, their size, importance & **underlying causes**
- Principles of **proportionality, subsidiarity**
- Map how **research in the MSs** is governed/regulated

Options:

- Funding, soft-law, regulation
- Overarching, issue-specific or both
- Assess **benefits and costs**, and all significant **impacts**
- Only consider policy options after problem analysis



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Theme-specific key issues

- Researchers:** career prospects/ employment conditions, cross border, transnational & intersectoral mobility
- Cross-border operation:** cross-border combined effort to tackle major challenges; cross-border research with national funds; incompatibilities between systems, rules, definitions, priorities, etc.
- Infrastructures:** exponential growth of research data, sub-optimal exploitation of RIs' potential, sustainability, development of new RIs
- Knowledge circulation:** lack of common strategic & comprehensive approaches on KT, use of public research by industry, level of cooperation between industry & public research sector; availability of research in OA
- International dimension:** under-exploitation of EU potential; disconnection between EU & MS policies & programmes; lack of critical mass for coordinated/ joint EU-MS initiatives; insufficient sharing of info. & dialogue



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Other cross-cutting issues

Governance problem central – lack of political will to use instruments, EU perspective not taken into account nationally, benefits of ERA to MS not clear enough

- **Recent progress:** OMC, FP7 instruments, ERA initiatives, revamp of CREST into ERAC, EU2020/Innovation Union
- **Tension:** international nature of science vs. the largely national political framework
- **Different perspectives & interests to reconcile:** researchers, research organisations/ universities, funders / MS, businesses
- **Few & weak systemic links** between Member States and EU-Member States research policies
- **Barriers** to openness, free circulation & cross-border operations
- **Uncoordinated piecemeal policy** resulting in a patchwork of initiatives
- Lack of clear **definition & objectives** for ERA



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ERA Framework timing

*ERA Framework and supporting measures
announced for 2012*

- So far: problem analysis, collecting data & relevant EU and national studies, mapping national legal situation, pre-consultation discussions (with stakeholders & Member States)
- Public stakeholder consultation: **13 Sep - 30 Nov 2011**
- Consultation wrap-up event: **30 January 2012**
- Finish Impact Assessment: **Spring 2012**
- ERA Framework Commission Proposal: **mid 2012**



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Public consultation on the ERA Framework

http://ec.europa.eu/research/consultations/era/consultation_en.htm

Objective

- Identify/ prioritise issues on which to focus ERA measures & gather views and evidence
- Reinforce analysis & evidence
- Gather views on possible policy orientations / actions



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- *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/index_en.htm
 - Presentation & discussion at a wrap-up event with stakeholders in January 2012
- *Consultation document*
 - http://ec.europa.eu/research/consultations/era/consultation_era.pdf



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ERA in Horizon 2020

Horizon 2020 - the **main financial instrument** of EU research policy

Overall objective: *achievement and functioning of ERA => Specific Programmes => Work Programmes*

Specific elements supporting ERA goals:

- *policy coordination* - preparation, implementation, monitoring and evaluation of policies to support the functioning of ERA (Innovative Inclusive & Secure Societies - IISS)
- *activities to underpin ERA objectives* (e.g. actions to improve quality & excellence (ERC), mobility and researchers' careers (Marie Curie & IISS), research infrastructures via the ERC or closing the research and innovation divide (ERA Chairs) critical mass (CO-FUND)
- *cooperation and coordination between EU & MS programmes* (e.g. coordination between Horizon 2020 and Member State funding programmes, including on Joint Programming Initiatives, and. European Innovation Partnerships)
- *Rules of participation - catalysing up-take of soft-law measures* (e.g. confirmation of the principle of **open access** in the rules for participation, **grant-portability** under the Marie Curie grants, and knowledge transfer by obliging applicants to have a policy in place)



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Thank you for your attention!

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

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