Towards Joint Programming in Research

Working together to tackle common challenges more effectively

Joint Programming

French CPU

May 2011

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European Research Area

3 concepts

– the creation of an "internal market" in research
(free movement of knowledge, researchers and technology)

– the restructuring of the European research fabric
(improved coordination of national research activities
and policies) – "**Ex-Post**" ☞ ☞ ☞ ERA-NET and Art.185

– the development of a European research policy (taking
into account other EU and national policies)
"**Ex-Ante plug-ins**" ☞ ☞ ☞ **Joint Programming**

Co-ordination & Integration of public research in the ERA
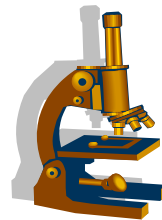
Policy level   ☞ **Leverage 1 : 100?**

✓open method of coordination, mapping, benchmarking…
✓Legislation (e.g. 3rd Country researchers, ERICs)
✓**Joint Programming addressing Societal Challenges**

Programme level   ☞ **Leverage 1 : 2 → 1 : 10**
✓ERA-NET
✓ERA-NET Plus
✓Article 185 initiatives

Project level   ☞ **Leverage 1 : 1**
✓FP7 funding schemes

1. Joint Programming in research

JOINT PROGRAMMING (Definition)

- **<u>Member States</u>** engaging

  - ➢ voluntarily and **<u>on a variable geometry basis</u>**

  - ➢ in the **<u>definition, development and implementation</u>** of **<u>common strategic research agendas</u>**

  - ➢ based on a **<u>common vision</u>** on how to address **<u>major societal challenges</u>**.

- It may involve **<u>collaboration</u>** between **<u>existing national programmes</u>** or the **<u>setting up of entirely new ones</u>**.

- It entails **<u>putting resources together</u>**,

  - ➢ **<u>selecting or developing the most appropriate instrument(s)</u>**, and

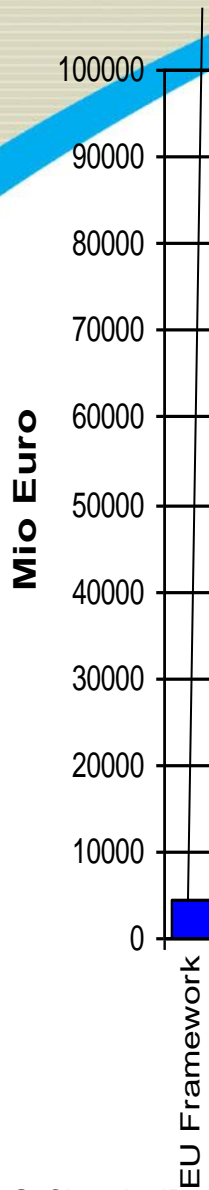 - ➢ **<u>collectively monitoring and reviewing progress</u>**.

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What Joint Programming is not

◆ it is <u>not</u> about asking for more money for the Framework Programme

◆ it is <u>not</u> about asking for more power at EU level

◆ it is <u>not</u> a new instrument for Community research
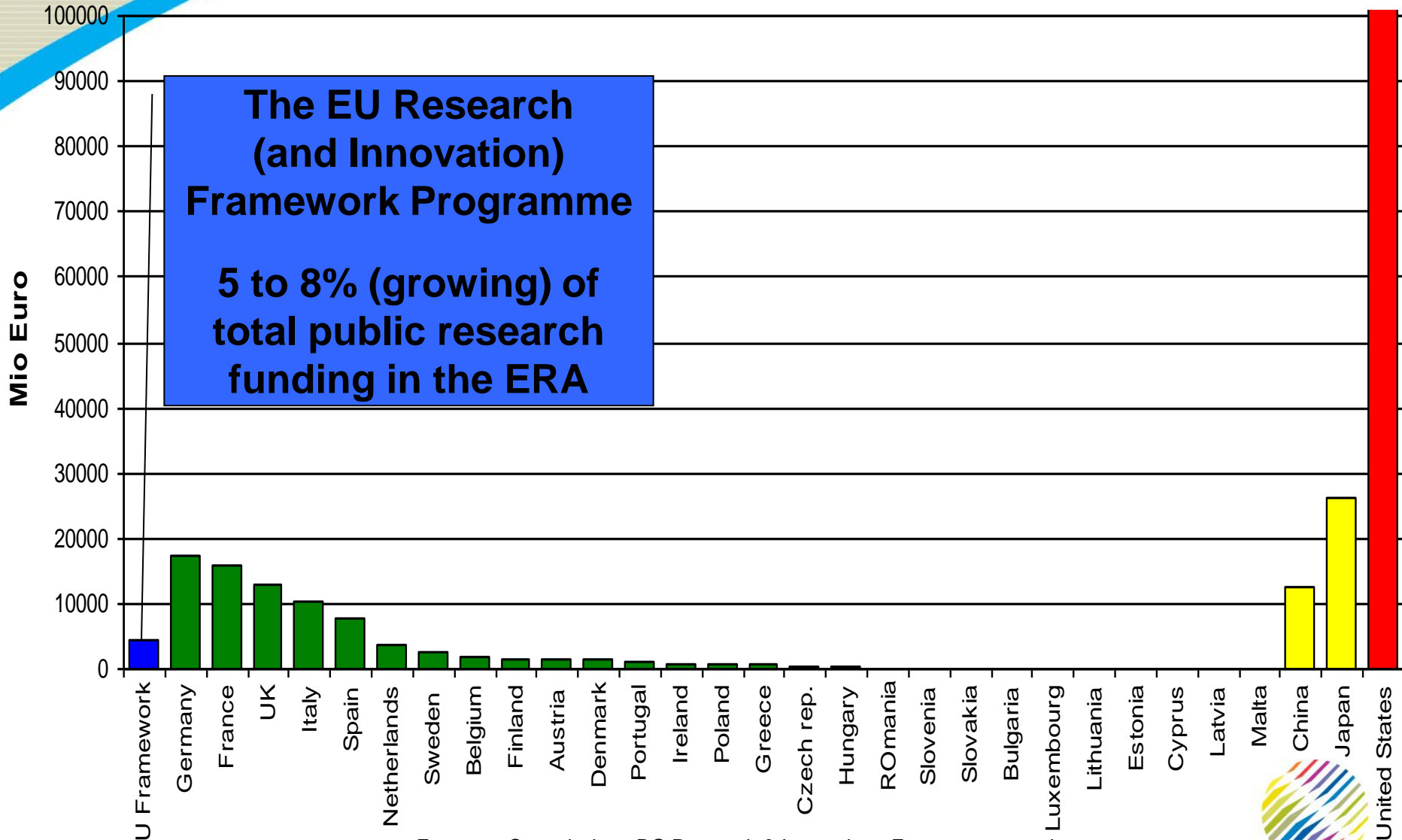
◆ it will <u>not</u> involve Community funding a priori

**The EU Research (and Innovation) Framework Programme**

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Public Funding for Research (Source : ERA Key Figures 2007, EC**)**

The EU Research (and Innovation) Framework Programme

5 to 8% (growing) of total public research funding in the ERA

Mio Euro

EU Framework, Germany, France, UK, Italy, Spain, Netherlands, Sweden, Belgium, Finland, Austria, Denmark, Portugal, Ireland, Poland, Greece, Czech rep., Hungary, ROmania, Slovenia, Slovakia, Bulgaria, Luxembourg, Lithuania, Estonia, Cyprus, Latvia, Malta, China, Japan, United States

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A compartmentalised ERA

Public Funding for Research (Source : ERA Key Figures 2007, EC)
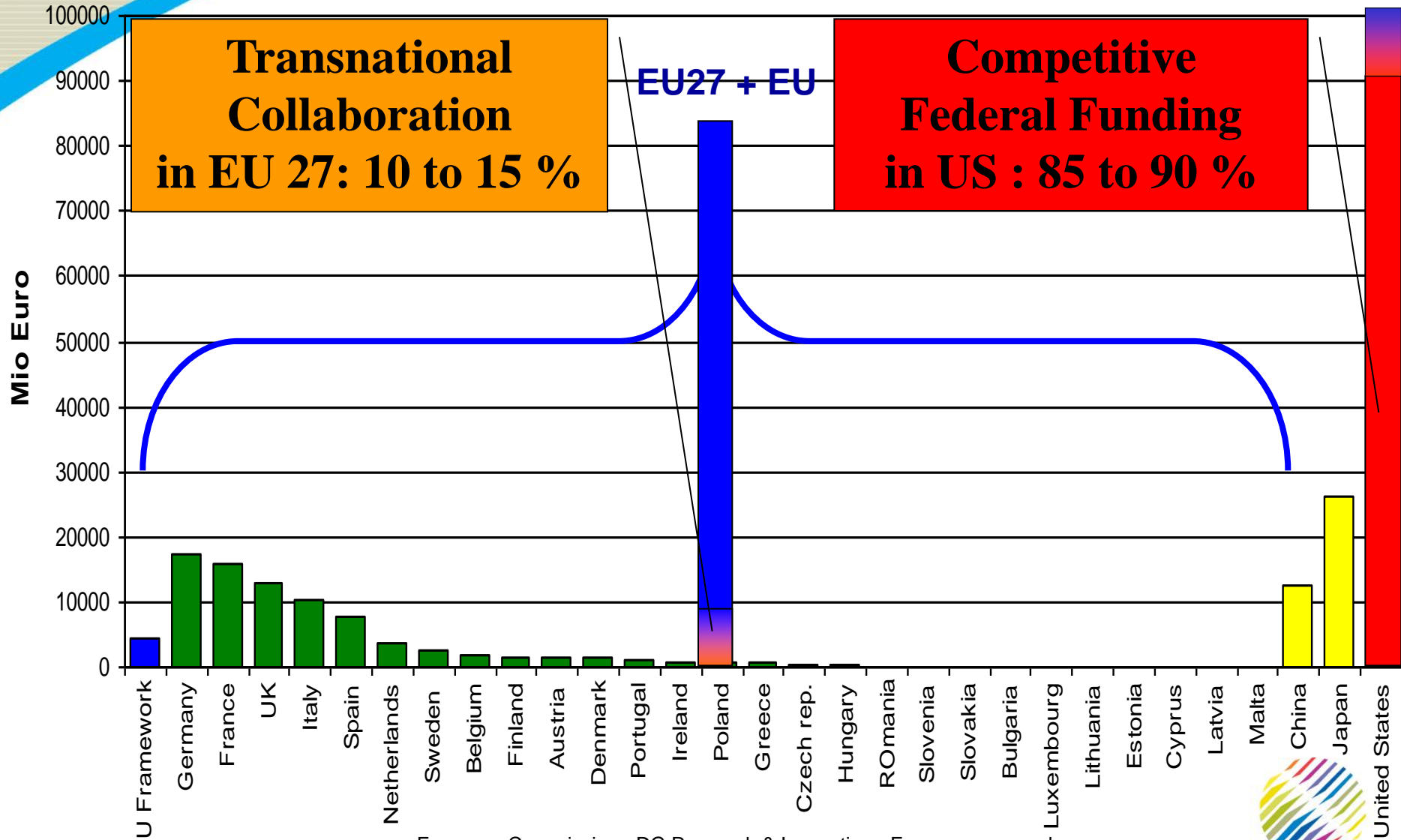
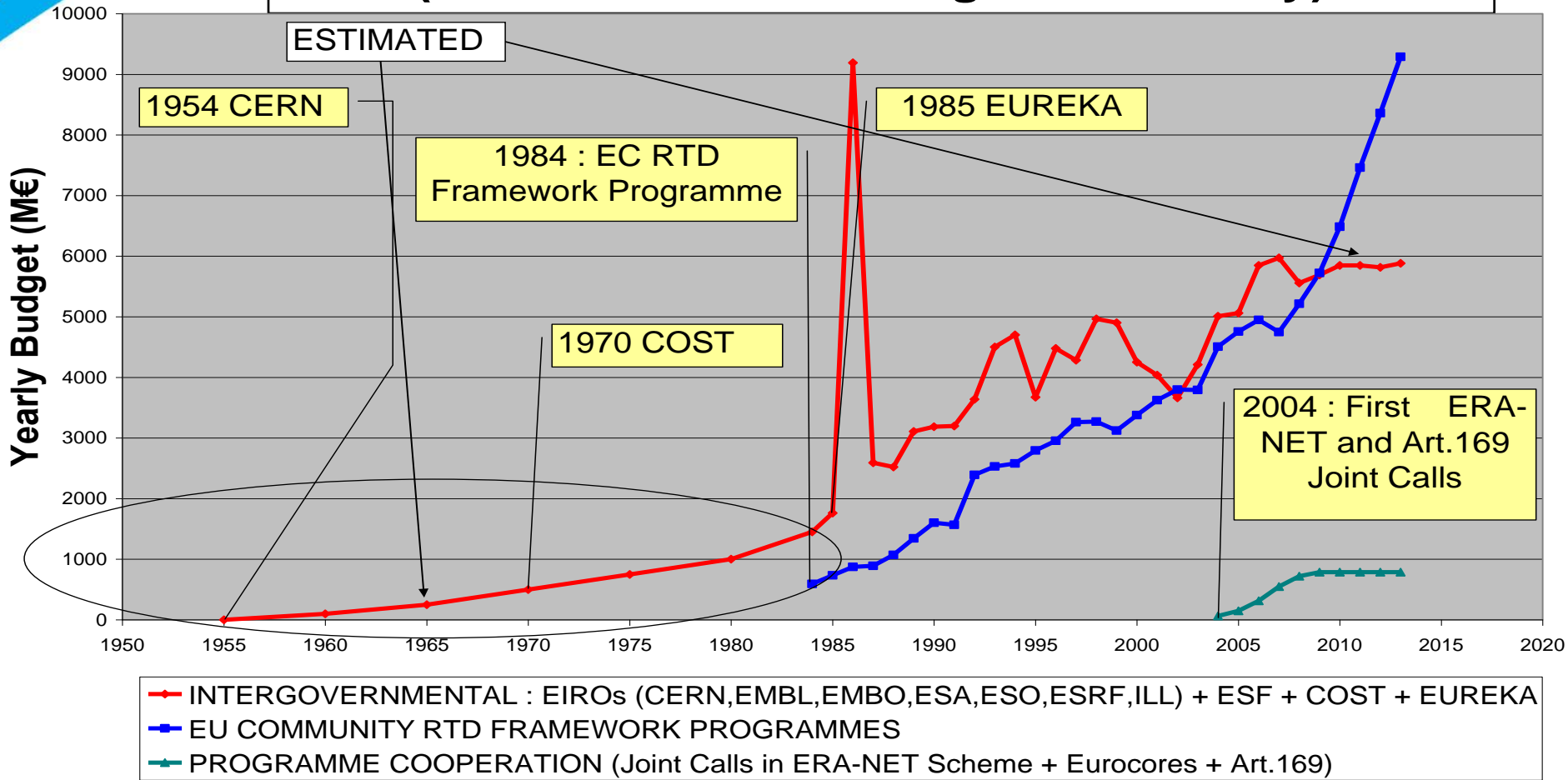Transnational Collaboration in EU 27: 10 to 15 %

EU27 + EU

Competitive Federal Funding in US : 85 to 90 %

COLLABORATION & COOPERATION in the EU
(Public Research Programmes only)*

Yearly Budget (M€)

ESTIMATED

1954 CERN

1984 : EC RTD Framework Programme

1985 EUREKA

1970 COST

2004 : First ERA-NET and Art.169 Joint Calls

INTERGOVERNMENTAL : EIROs (CERN,EMBL,EMBO,ESA,ESO,ESRF,ILL) + ESF + COST + EUREKA
EU COMMUNITY RTD FRAMEWORK PROGRAMMES
PROGRAMME COOPERATION (Joint Calls in ERA-NET Scheme + Eurocores + Art.169)

* **Sources :** FP7 & Joint Programming Impact Assessments

COLLABORATION and COOPERATION in the EU
Collaborative programs as % of total EU public research*

Total EU R&D financed by national governements (EU27 + EFTA+CH+EC)

EUREKA

Other Intergovernmental (EIROs + COST)

EU RTD Framework Programmes

(Stacked area chart with y-axis from 0 to 30, x-axis years 1994 to 2013, with a red vertical line at 2008)

* **Sources :** FP7 & Joint Programming Impact Assessments

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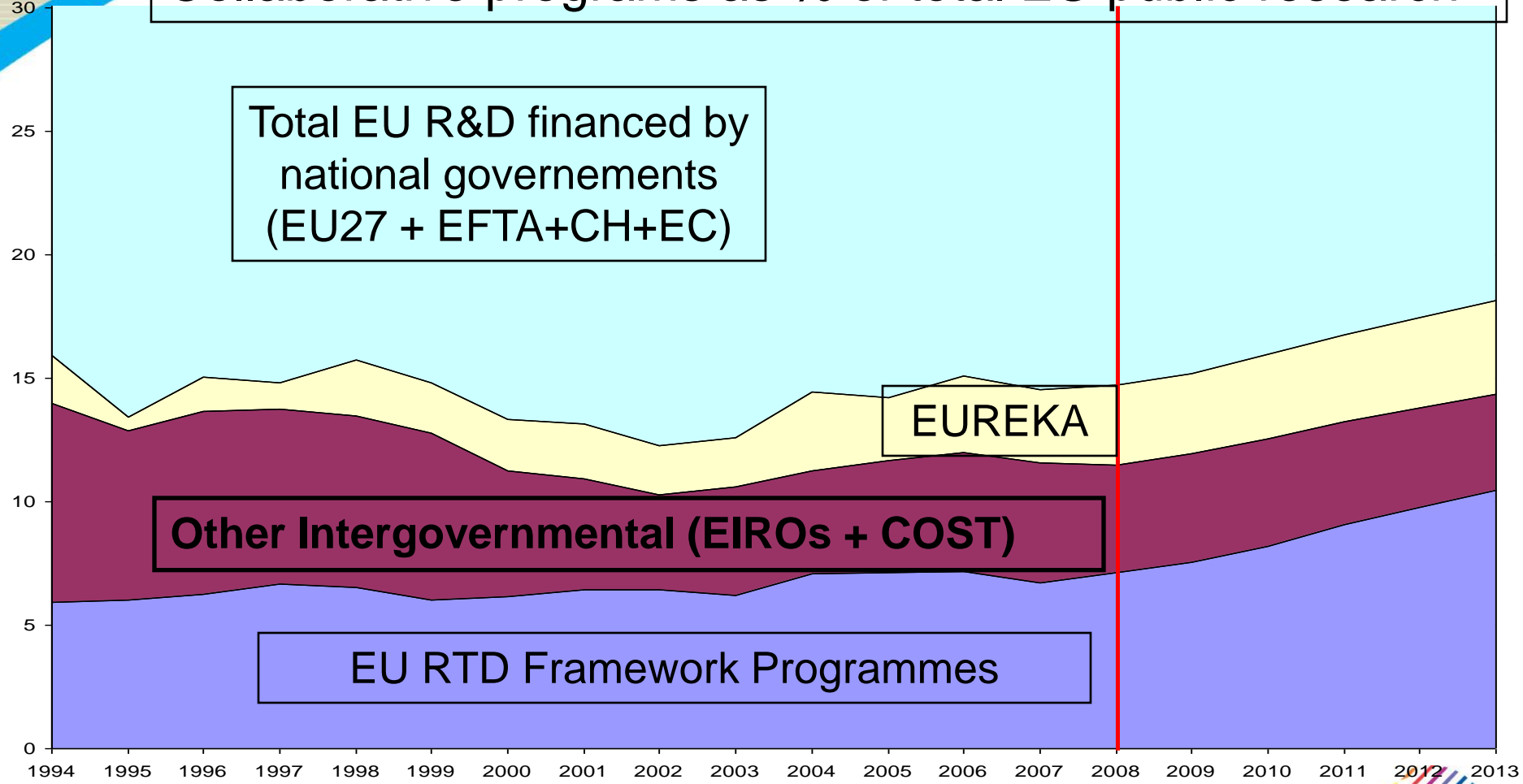
2. Joint Programming : What ?

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

P H A S E 1

◆**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

P H A S E 2

◆**3/12/2009** Council adopts pilot Neurodegenerative Diseases JPI

◆**12/10/2010** Council Conclusions on 3 first wave JPIs

Setting up of management structures, development of visions, drafting of the Strategic Research Agendas, pooling the resources, analysis of the potential of existing instruments or the need for new ones. Commission supports as deemed necessary.

◆**25/11/ 2010** Council Conclusion on JP, First JP report to Council

◆**2011 …** Launch of first joint activities by "first wave" JPIs Commission Recommendations on second wave JPIs

1st Report on the Joint Program-ming process (Nov. 2010)

1. Summary

2. Background and Aim of the JP Process

3. Implementation of the Joint Programming Initiatives

4. Analysis of scope, coherence and complementarity of initiatives

5. Challenges identified and lessons learned

6. Options for going forward

7. Conclusions

8. Acknowledgements

9. Annex I : Synopsis of GPC meetings

10. Annex II : Voluntary Guidelines on Framework Conditions for JP

5. Challenges to the JP process

◆ <u>Commitment of Member States in real terms</u>, aligning their national programmes for the benefit of particular JPI topics;
  – Involve programme owners (Ministries) & programme managers (Agencies)
  – Lessons from the SET plan : commitment can be in kind

◆ <u>Priority setting for JPIs</u>, learning from the GPC and the ESFRI experience, possibly using in the future more Forward Looking Activities;

◆ <u>Stakeholder involvement</u>, is especially relevant when it comes to selecting priority topics, defining a JPI Strategic Research Agenda or monitoring its implementation.

◆ <u>Links to innovation and the Innovation Union</u> flagship;

◆ The use of <u>appropriate funding modes</u> for joint trans-national actions;
  – Programme owners and research actors have different views

◆ <u>Synergies with other ERA initiatives</u>, such as ESFRI, and joint research co-ordination instruments such as the ERA-NET scheme & Art.185.

◆ <u>Internationalisation strategies of individual JPIs</u>.

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6. Options for going forward

◆ A <u>moratorium is proposed on selecting new JPI themes</u>, to first learn from the 10 selected ones;

◆ The 2010 <u>Guidelines on Framework Conditions are a living document</u> which will require updating and refinement;

◆ <u>JPIs will have to be monitored closely</u> allowing Member State to learn from their experience;

◆ There is a need to <u>clarify the role of the Commission in the Joint Programming process</u> and <u>the interaction between the JPIs and other EU Research and Innovation actions</u>, including the Innovation Union flagship;

◆ Different ways to <u>involve industry more closely in JPIs</u> should be considered.

The **Joint Programming process continues to have the potential to bring major benefits to the European Research Area** by :

◆ helping to <u>optimise the scope of research programmes across Europe</u> and diminish duplication;

◆ making it <u>easier to address common challenges</u>;

◆ providing a <u>forum for a common prioritisation process between Member States</u> (and associated countries), and <u>updating the state of play of European research</u> in areas where JPIs are developing;

◆ allowing <u>Europe to speak with one voice in the world in that field of research</u>, where appropriate;

◆ <u>enhancing scientific excellence and relevance</u>;

◆ <u>promoting cross-border mobility and training of researchers.</u>

7. …and lessons learned

◆ Its potential with respect to the Europe 2020 strategy;

◆ Its interaction with the ERA in the new inter-institutional setting;

◆ Its preliminary achievements in strengthening the coordination of EU national public research programmes;

◆ The commitment of Member States and available resources;

◆ The involvement of actors (e.g. the GPC itself, Member States, the Council and industry)

– Can EU wide representatives for industry be found in all areas ?

– For several areas, social systems are key for innovation (e.g. health systems, care providers, education systems…)

NB: The report does not address the specific role of the Commission in the Joint Programming process

◆ **November 2010 Council – points on second wave JPIs**

   – 7. ACKNOWLEDGES the efforts of the coordinators of the 6 **"2nd wave" JPIs to demonstrate their maturity**. INVITES the Commission, to **further contribute to the preparation of JPIs** which correspond to these themes with a view to adopting Recommendations as soon as possible in 2011;

   – 7 (cont.) INVITES the participating MS to facilitate preparation:

     • by nominating members to management boards

     • by providing state of play of relevant national research instruments

     • identify how these could be further developed to support the JPI

◆ **Innovation summit of 4 February 2011 – point on societal challenges**

   – Innovation contributes to tackling the most critical societal challenges. To mobilise resources in a coherent manner between the EU and the Member States (…) Joint programming should be developed. The launch of the pilot Innovation Partnership on active and healthy ageing is an important step in that context.

◆ **Council Conclusions on European Innovation Partnership – March 2011**

   – In this respect, the Council stresses the independent and voluntary nature and the essential role of Joint Programming, the implementation of which should be actively pursued, and looks forward to the Commission's timely contribution to the preparation of the six "second wave" JPIs

G. Clarotti - JP - France - 5-11
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Competitiveness Council 9/3/2011

<u>Speech of Commissioner Geoghegan-Quinn</u>

◆ Let me be clear about this. I believe that Joint Programming will have a very important role to play post-2014.

◆ I want to work together with you to find good, practical ways of making Joint Programming even more effective and results-focussed.

◆ The European Innovation Partnerships are not intended to replace or in some way diminish the importance of Joint Programming. Rather, we need to capitalise on links and synergies which may, in some cases at least, exist between them.

◆ The Commission is committed to drawing lessons from setting up the pilot before proposing further Innovation Partnerships, based on robust selection criteria and a transparent process.

◆ The proposals for Partnerships which meet the criteria will be presented to Council and European Parliament later in 2011 as part of the continued roll-out of the Europe 2020 Strategy.

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First wave, SELECTED in 2009, LAUNCHED in 2010

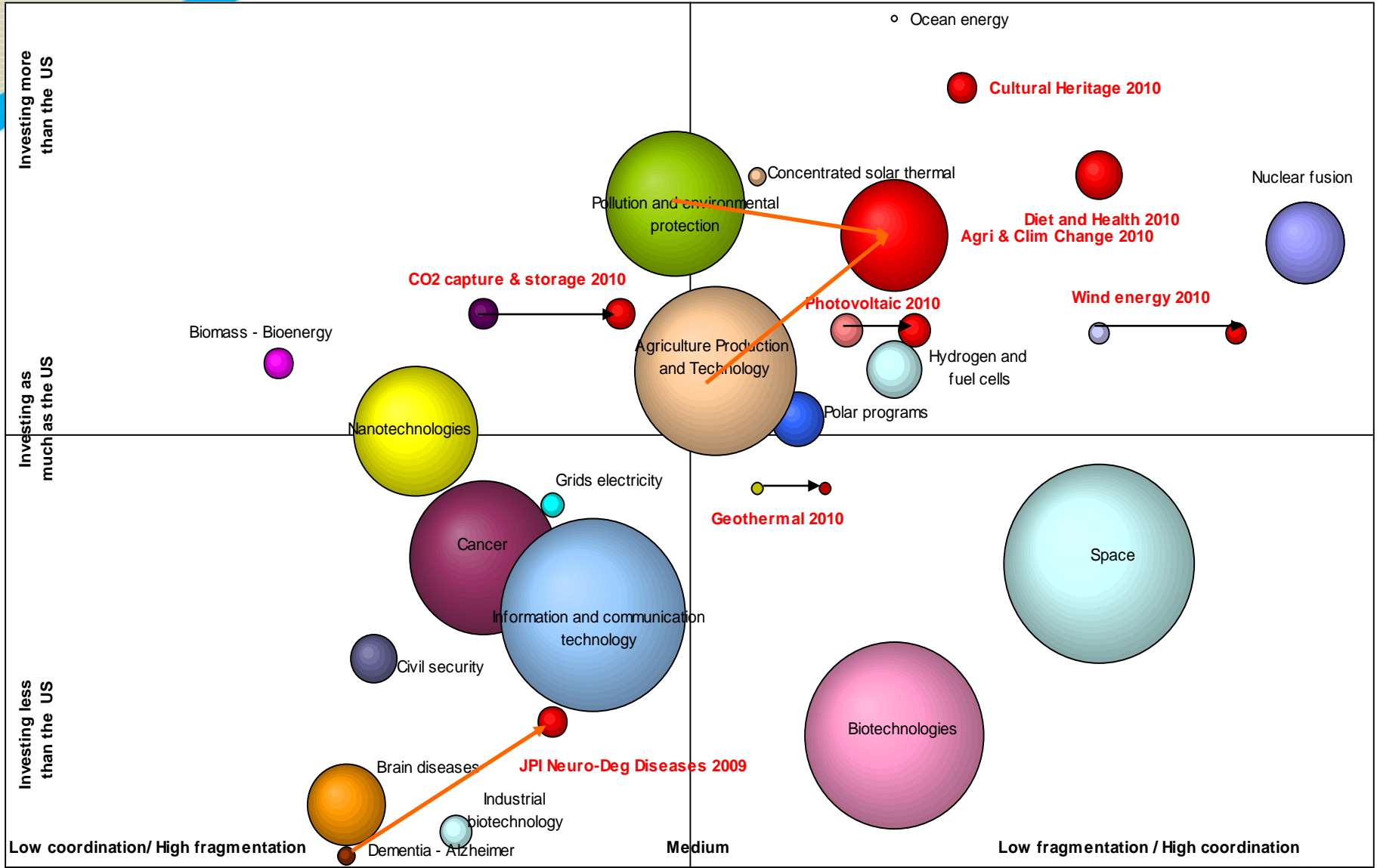| JPI	Progress	Involved Countries (3/'11)
Neurodegenerative diseases (JPND) (Alzheimer's)	- Council conclusions (12/08) and (12/'09) - Manage Board → SRA by mid 2011 - First joint calls on Centres of Excellence and on Biomarkers for Alzheimer's (1/'11)	15-Fr+ De,UK,It,Es,Cz,Dk, Fi,Ie,Nl,Pt,Sk,Se+Ch,No + 8 - Be,He,Hu,Lu,Po,Si + Tr & Al joined in 2009+'10
Agriculture, Food Security and Climate Change (FACCE)	- Commission Recommendation (4/'10) Council conclusions (10/'10) - Managem. Board → SRA by mid 2011 - First joint call ?	12 – Fr+UK,De,Es,It +At,Dk,Ee,Fi,Ie,Nl + No +7 – Be,Pl,Ro,Se + Il,Ic,Tk who joined in 2010
Cultural Heritage and global change: a new challenge for Europe	- JPI proposal (10/'09) - Commission Recommendation (4/'10) - Council conclusions (10/'10) - Managem. Board → SRA by end 2011	14 - IT+At,Bg,Cz,Cy,Fr, +Ie,Nl,Pl,Ro,Si,Es,UK+Tr + 2 Obs (De,Sk) & 9 follow - 1 Ic due to crisis
Healthy diet for a healthy life	- JPI proposal (10/'09) - Commission Recommendation (4/'10) - Council conclusions (10/'10) - Managem. Board established end 2010	20-Nl+De in core group + At,Cy,Dk,Fi,Fr,Ie,It,Nl,Pl, Ro,Sk,Si,Es,Se,Uk + Kr,No,Tr

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Identifying JPIs

Second Wave JPIs, SELECTED in 2010

JPI	Progress (Updated to GPC 5/'11)	Supporting Countries (Updated to GPC 5/'11)
More Years, Better Lives (Demographic Change)	- 4/'11: Updated proposal - 6/'11: Com. Recommendation	13 : DE + 12 Countries + 3 Observers
Anti-Microbial resistance	- 4/'11: Updated proposal - Q4/'11: Com. Recommendat°	16 : SE + up to 15 Countries
Healthy and Productive Seas and Oceans	- 4/'11: Updated proposal - 9/'11: Com. Recommendation	14 : NO+ES+BE + 11 Countries + 2 Obs.
Water Challenges for a Changing World	- 4/'11: Updated proposal - Q4/'11: Com. Recommendat°	14 : ES+NL + 12 Countries + 6 Obs.
Connecting Climate Knowledge for Europe (Clik'EU)	- 4/'11: Updated proposal - 2011 : Possible Commission Recommendation	6 : DE+AT+FI + Fr,It,Nl + 9 supporting countries + ERA-NET Circle
Urban Europe	- 4/'11: Updated proposal - Q4/'11: Com. Recommendat°	14 - AT+It,Fr,Nl in core group + 6 to 10 countries

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Joint Programming first results?

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A WORKING METHOD

FORESIGHT

Based on Expert Group's "*Research programming cycle*"

EVALUATION

Visions & optimised priorities

(S&T) Foresight

Prioritised action lines, agendas

Innov & Tech Assessment, ex-ante evaluation

Recommendations for future actions
Strategic evaluation, benchmarking

CROSS BORDER RESEARCH

Optimised programmes

(S&T) Roadmapping

PEER REVIEW

Results / changes

Monitoring of the implementation

IPR

DISSEMINATION, OPEN ACCESS

◆ FC Guidelines annexed in November Competitiveness Council Conclusions

 "Joint Programming Framework Conditions 2010"

◆ FC Guidelines are Annex II of Biennial report of the GPC on Joint Programming to the Council, published in November 2010

◆ Publication of the FC Guidelines by the Commission

◆ Promotion on Europa-Website

◆ It is an open and living document to be further developed in the future as JPIs take shape

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JPIs vs. EIPs?

JPI zone

EIP zone

+ Policy planning

	Fundamental research	Basic technology research	Applied technology research	Demonstration & prototypes
Public/*Private* Funding ratio				+ Finance, Procurem., Str.Funds...
Patents	*Ideas, concepts* Pioneer	Basic & generic	Application	Devices & systems
Annual budget Per action	0,5 – 1 M€	1 – 5 M€	2 – 20 M€	50 – 100 M€
Time-to-Market *(typical)*	Undefined	5-10 years	2-5 years	<2 years

Explore ideas & concepts

Deliver to market

Adapted from B. Bigot - CEA

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Adapted from P. Wintlev-Jensen – DGINFSO - European Commission - 2011
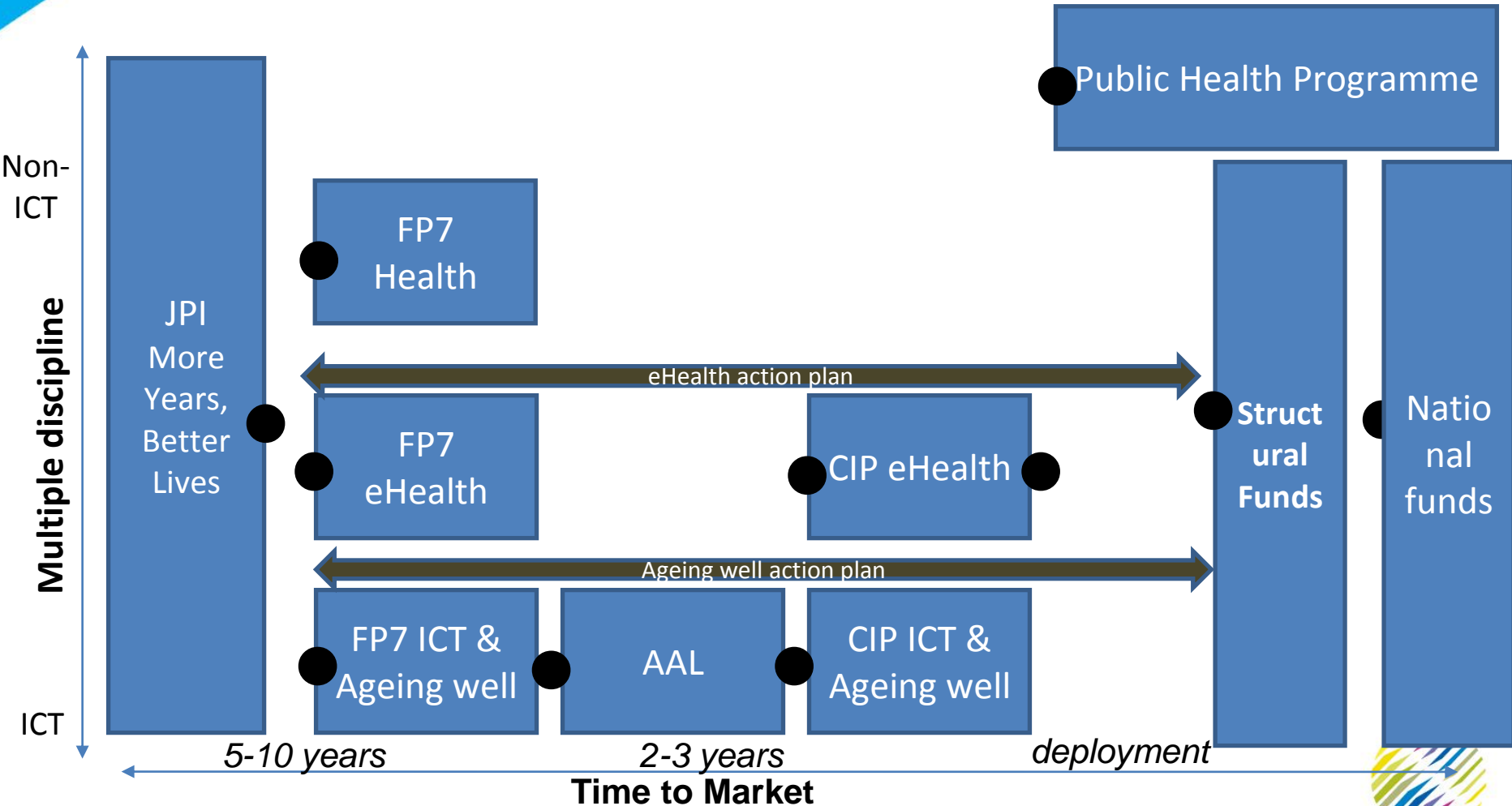
Governance is key for an effective Joint Programming

Nature shows us the way: Birds coordinating their efforts

☞ **71 % gain of efficiency**