Towards Joint Programming in Research

Working together to tackle common challenges more effectively

KBBE ERA-NETs Meeting

Brussels

17 February 2009

European Commission - DG Research - Coordination of national programmes

Joint Programming : the next steps

1. Building the European Research Area

2. Joint Programming : Why & What ?

☞ **Definition and rationale**

3. Joint Programming : How ?

☞ **Next steps as identified in Council Conclusions**

4. Provisional Timetable

☞ **Joint programming in a nutshell**

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European Research Area
Joint Programming

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.169

– the development of a European research policy (taking
   into account other EU and national policies)

European Research Area

3 concepts

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

European Research Area
Joint Programming

1. Joint Programming in research

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**.

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Joint Programming

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

PURPOSE OF THIS COMMUNICATION

■ **Implement the Lisbon Strategy** : Apply **Joint programming in a strategic manner** to **a few**, **major societal challenges**

  ➢ Jobs & growth, quality of environment & of life, security of citizens & of the territory, immigration & social cohesion, food & energy supply…

■ Follow-up ERA Green Paper and request of the Spring 2008 European Summit "*Commission and Member States should continue developing initiatives for joint programming of research*"

■ Limits to **more public investment in research**, so let's do **better**:

  ➢ *To make a step change* on tackling the compartmentalisation of public research programmes in Europe and increase their impact

■ **Innovative Governance :**

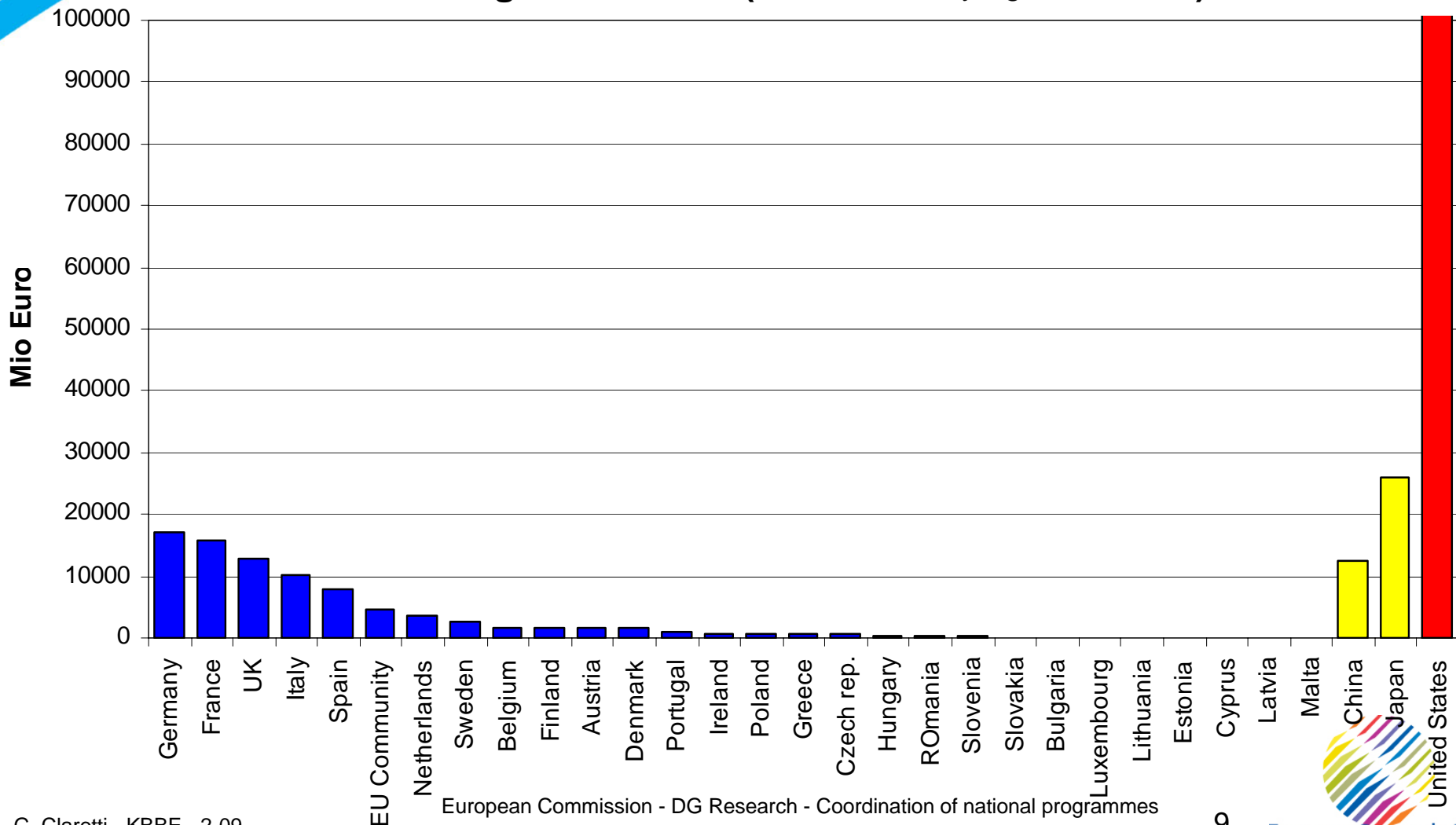 ➢ A new partnership between Member States and the Commission

2. Joint Programming : Why ?

- **Science and Technology must contribute to solving major societal challenges**

- **Public Research Programmes have solved societal challenges in the past … :**
  - ➢ Urbanisation (First world conference of 1898 aborted)
  - ➢ Quality of Life (Green revolution stopped famine in India)
  - ➢ Quality of Health (Penicillin cured syphilis & osteomyelitis)

- **… but there are benefits not optimised due to the compartmentalisation of public research funding in the European Union (27 + 1 Research Areas)**
  - ➢ national research programmes have their place…
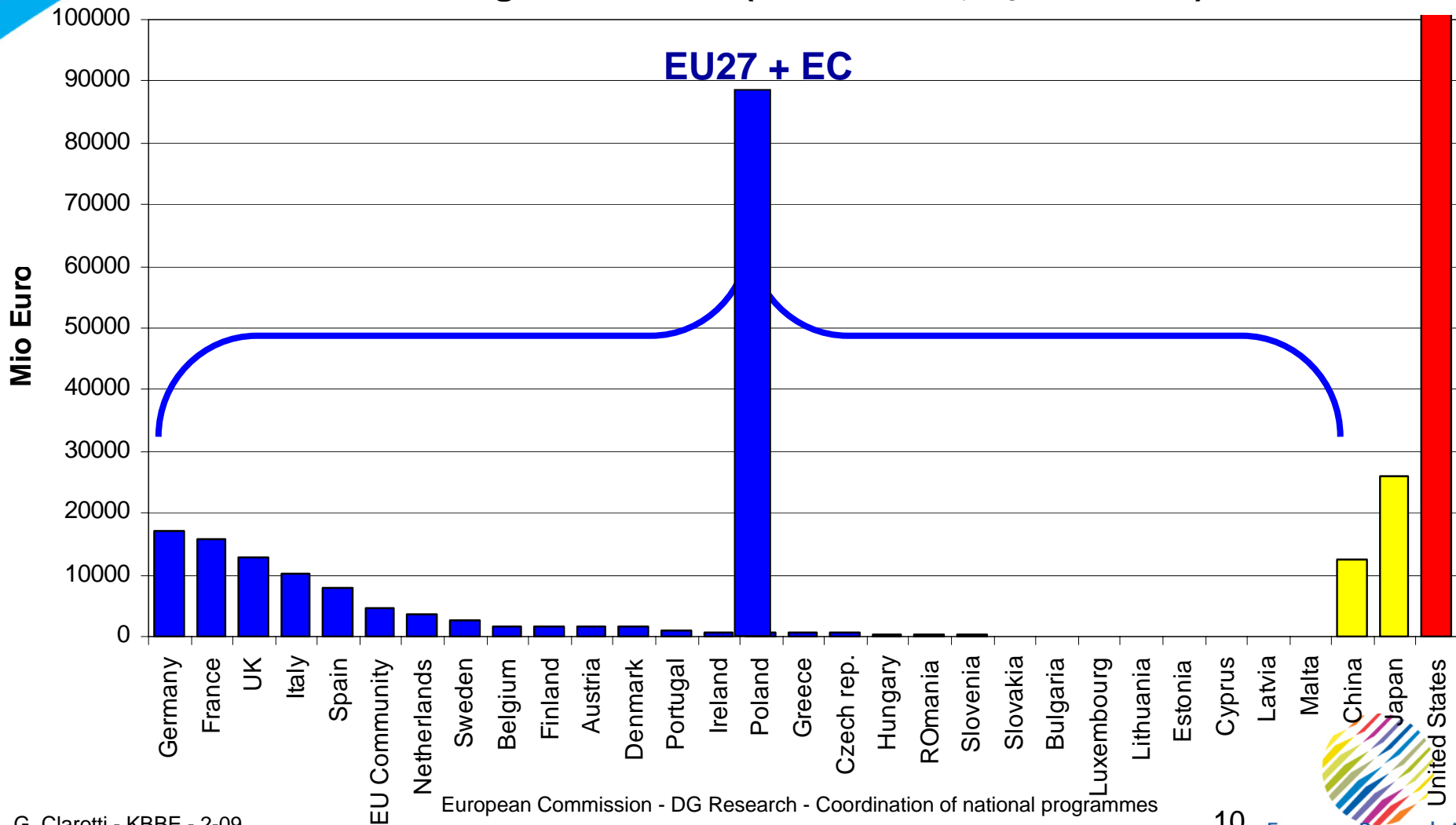 - ➢ … but cannot tackle alone some major societal challenges

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A compartmentalised ERA

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

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A compartmentalised ERA

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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 + EC

Competitive Federal Funding in US : 85 to 90 %

Mio Euro

Germany, France, UK, Italy, Spain, EU Community, 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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G. Clarotti - KBBE - 2-09

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Joint Programming
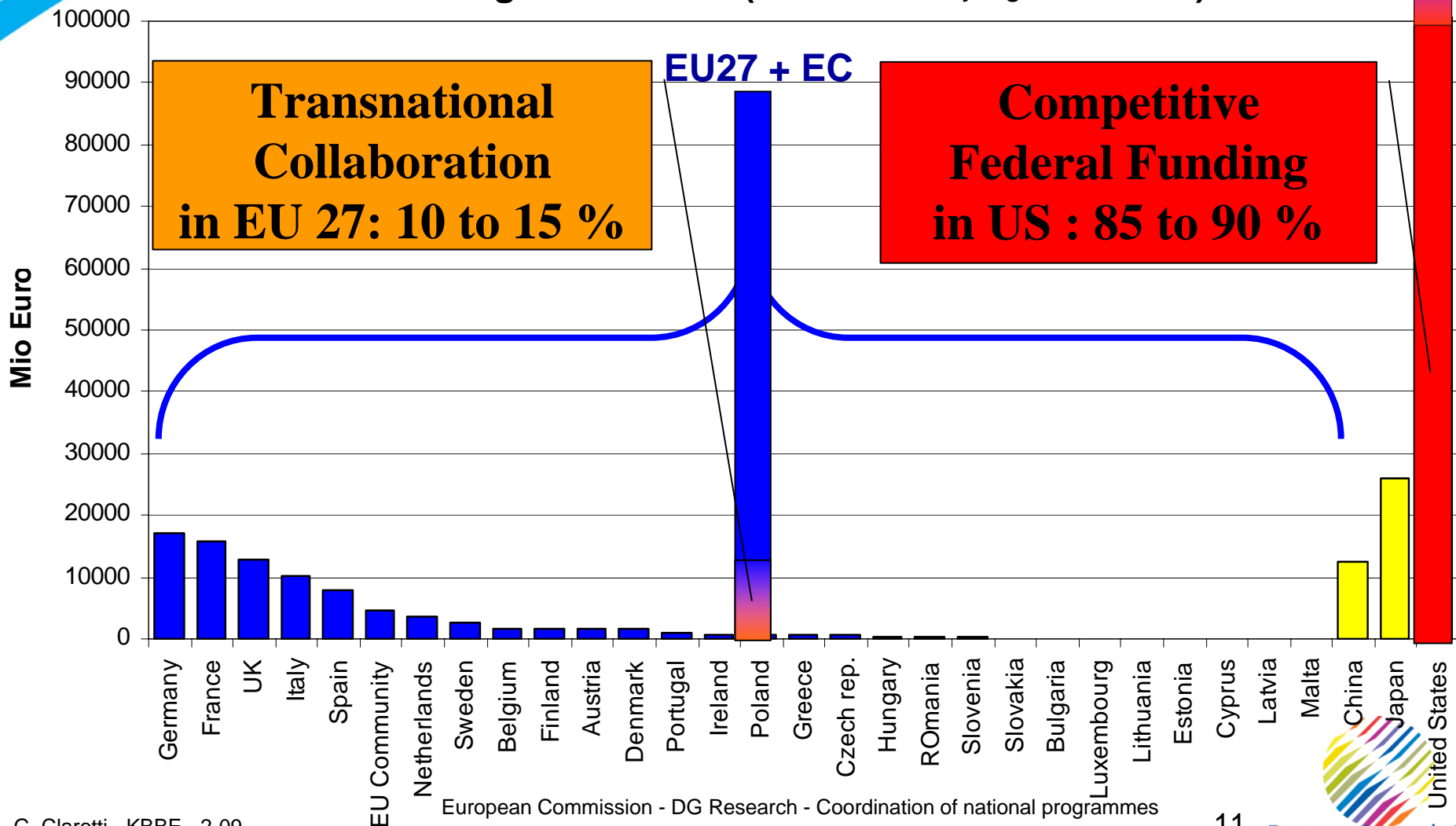
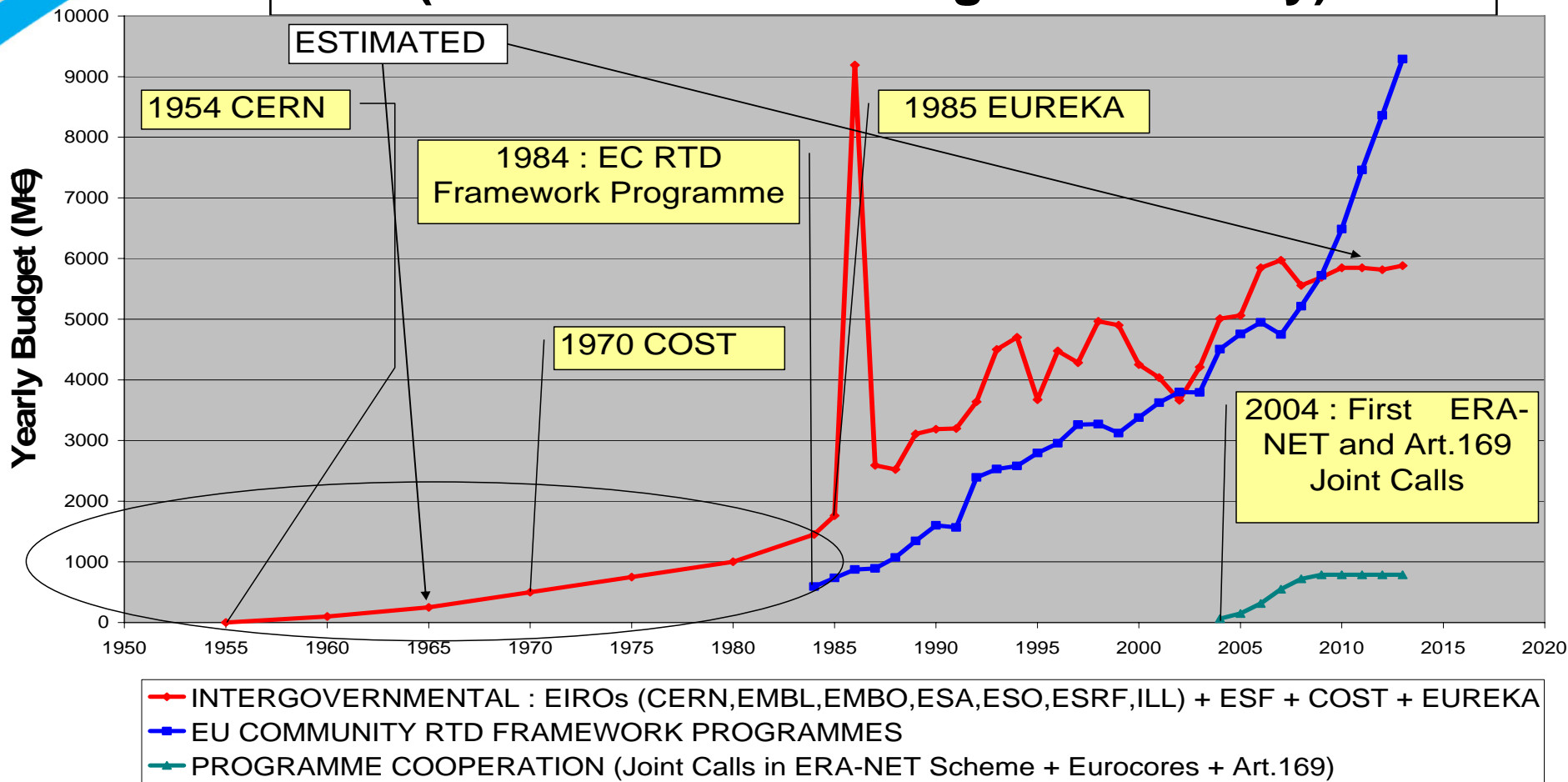# 2 (Cont.) Time is ripe for a step change

- 1950 : Increasing partnership between countries… :
  - ➢ '50s : Intergovernmental research organisations (CERN, ESA, ESO, EMBL…)
  - ➢ '70s - '80s : Intergovernmental schemes (COST, EUREKA, and European Community Framework Programme
  - ➢ 2000 : Coordination of national research (ERA-NET, Eurocores, Art.169 initiatives)

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

Yearly Budget (M€)

- ESTIMATED
- 1954 CERN
- 1985 EUREKA
- 1984 : EC RTD Framework Programme
- 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

G. Clarotti - KBBE - 2-09

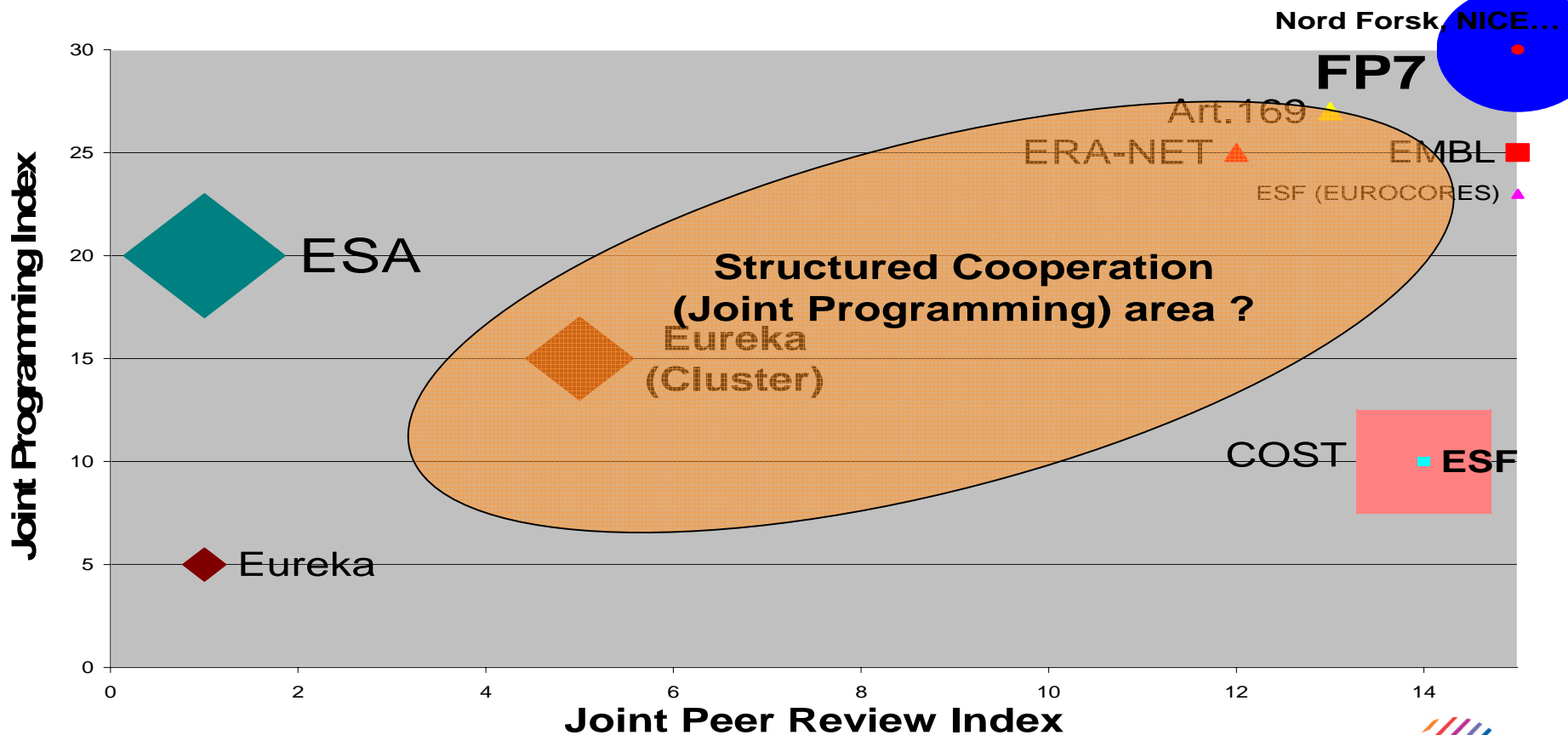European Commission - DG Research - Coordination of national programmes

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COLLABORATION and COOPERATION in the EU

Collaborative programs as % of total EU public research*
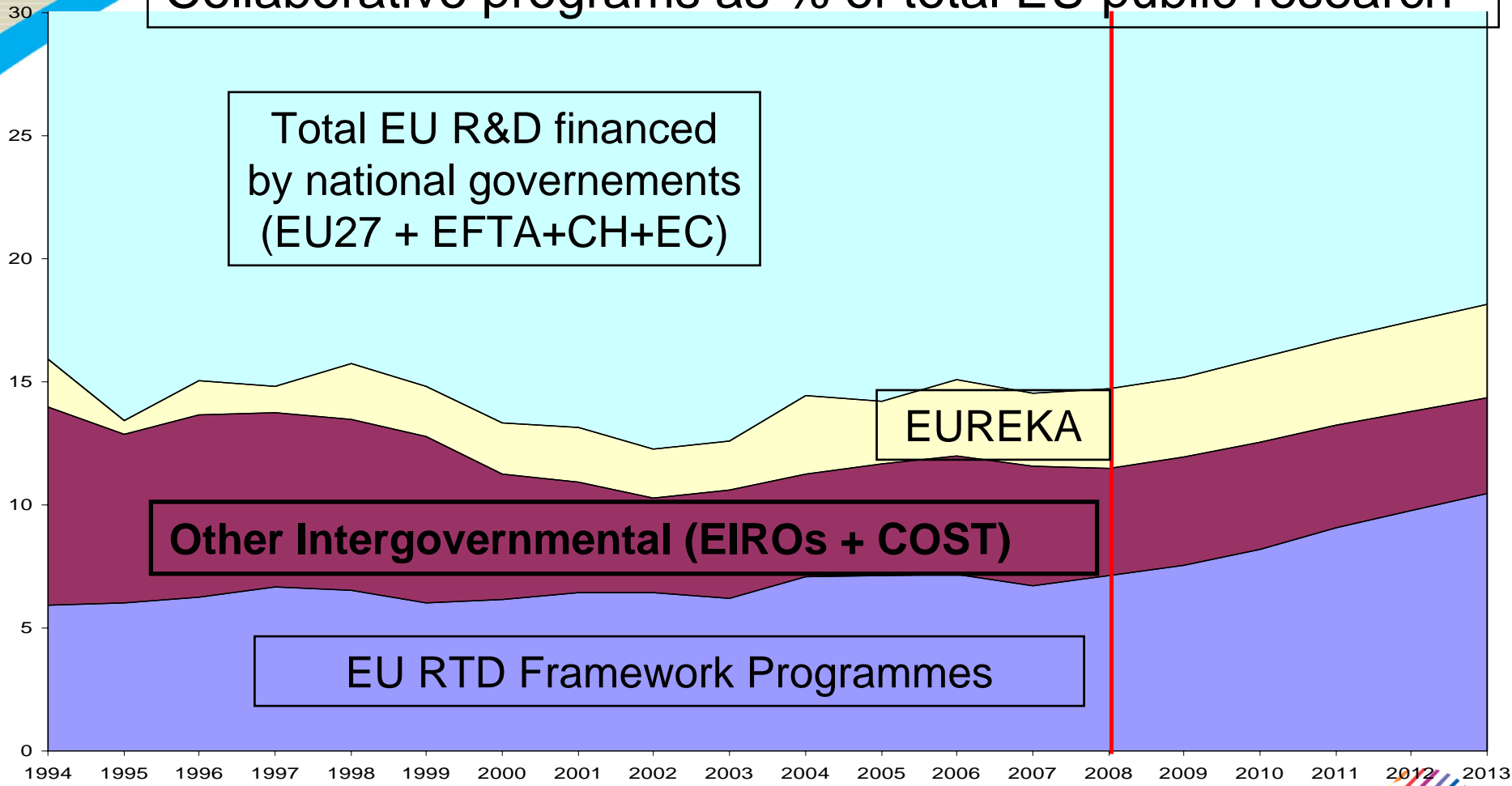
Total EU R&D financed
by national governements
(EU27 + EFTA+CH+EC)

EUREKA

Other Intergovernmental (EIROs + COST)

EU RTD Framework Programmes

1994 1995 1996 1997 1998 1999 2000 2001 2002 2003 2004 2005 2006 2007 2008 2009 2010 2011 2012 2013

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- **… simple expansion of current activities is insufficient !**

☞ **Need for a combination of schemes, in partnership between Member States and the Community**

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COLLABORATION and COOPERATION in the EU
Joint Programming & peer review by scheme
(Size of "dots" proportional to joint call budgets (2004-2008))*

Nord Forsk, NICE…

FP7

Art.169

ERA-NET

EMBL

ESF (EUROCORES)

ESA

**Structured Cooperation
(Joint Programming) area ?**

Eureka
(Cluster)

COST

ESF

Eureka

Joint Programming Index

Joint Peer Review Index

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

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Joint Programming

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

■ **Concept refined by Member States in 2008** **(Competitiveness Council Conclusions December 2008)**

■ **Joint Programming is a concept which :**

➢ Recognises the importance of existing activities and initiatives;

➢ Recognises the increasing need for a new and more strategic approach;

➢ Calls for the implementation of a Member States-led process to step up their R&D cooperation;

➢ Fully recognises the competence of member States and regions over the choice of R&D policies and the related allocation of resources

An innovative governance model based on a new partnership between the MS and the Commission

◆ **Council conclusions** endorsed the JP concept (02.12.2008) :
…Underline that Joint Programming is a Member State–led process

◆ Member States (*as appropriate, the Associated States*) should nominate **representatives** to the High Level dedicated configuration of CREST on Joint Programming ("GPC") by end January 2009.

◆ The GPC is **chaired by a representative of the EU Presidency**

◆ Following **national stakeholder consultation**, the representatives should put forward *"argumented"* thematic proposals to the GPC

◆ GPC should **identify the first list of themes for JP**, and allow thereafter a **continuous process of identification**

*"**The GPC should identify the first list of themes for JP**"*

A set of criteria (mostly from the JP Communication) :

◆ Sufficient and effective **commitment from Member States**

◆ **Selected themes address a pan European / global** (socio-economic or environmental) **challenge** (where public research is central)

◆ **Clear added value** to existing national and Community research, with economies of **scale** and thematic coverage (**scope**)

◆ Focussed with **clear and realistic objectives** (Feasibility to deliver)

◆ JP approach has **potential for benefits to citizens and competitiveness**, increasing **efficiency and impact** of public R&D involving **key public initiatives in the area**

◆ **Stakeholders** (regional, national, European, private, scientific and funding agencies) have been **involved** in developing the Themes

A WORKING METHOD

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

Visions & optimised priorities — (S&T) Foresight

Prioritised action lines, agendas — Innov & Tech Assessment, ex-ante evaluation

Optimised programmes — (S&T) Roadmapping

Results / changes — Monitoring of the implementation

Recommendations for future actions — Strategic evaluation, benchmarking

"*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 the appropriate mix of instruments from the toolbox of public research instruments (regional, national, poss. European?)

   – Regular monitoring and evaluation against SMART objectives

   – Regular reporting of results to political level

Enabling tools to facilitate implementation

◆ **For each Joint Programming Theme : Optimal use of existing R&D Instruments** (regional, national, intergovernmental and Community instruments).

◆ Member States – with the support of the Commission to consider / develop **Framework Conditions :**

– A coherent approach on the **peer review** procedures

– A coherent approach for **foresight activities** and **evaluation of joint programmes**

– A coherent approach to funding of **cross border research** by national or regional authorities

– Effective measures to ensure optimum **dissemination and use** of research findings

– **Involvement of stakeholders** (scientific and, where appropriate, industry communities)

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Joint Programming

P H A S E 1

◆ **13/2, 15/4, 23/6/09**   Meetings of Joint Programming Group

◆ **Throughout 2009**   Consultation of Stakeholders by Member States, proposals to GPC

◆ **End 2009- 2010**   Identification of Joint Programming themes by the group

Commission prepares proposal for Council Recommendation on the basis of themes identified by the Joint Programming Group

P H A S E 2

◆ **2010**   Council adopts Recommendation, launching the selected Initiatives

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.
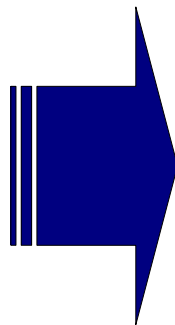
◆ **… by end 2010**   Implementation. Launch of first joint activities, first report to Council

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Nature shows us the way: Birds coordinating their efforts

71 % gain of efficiency