



Coopération Internationale dans Horizon 2020

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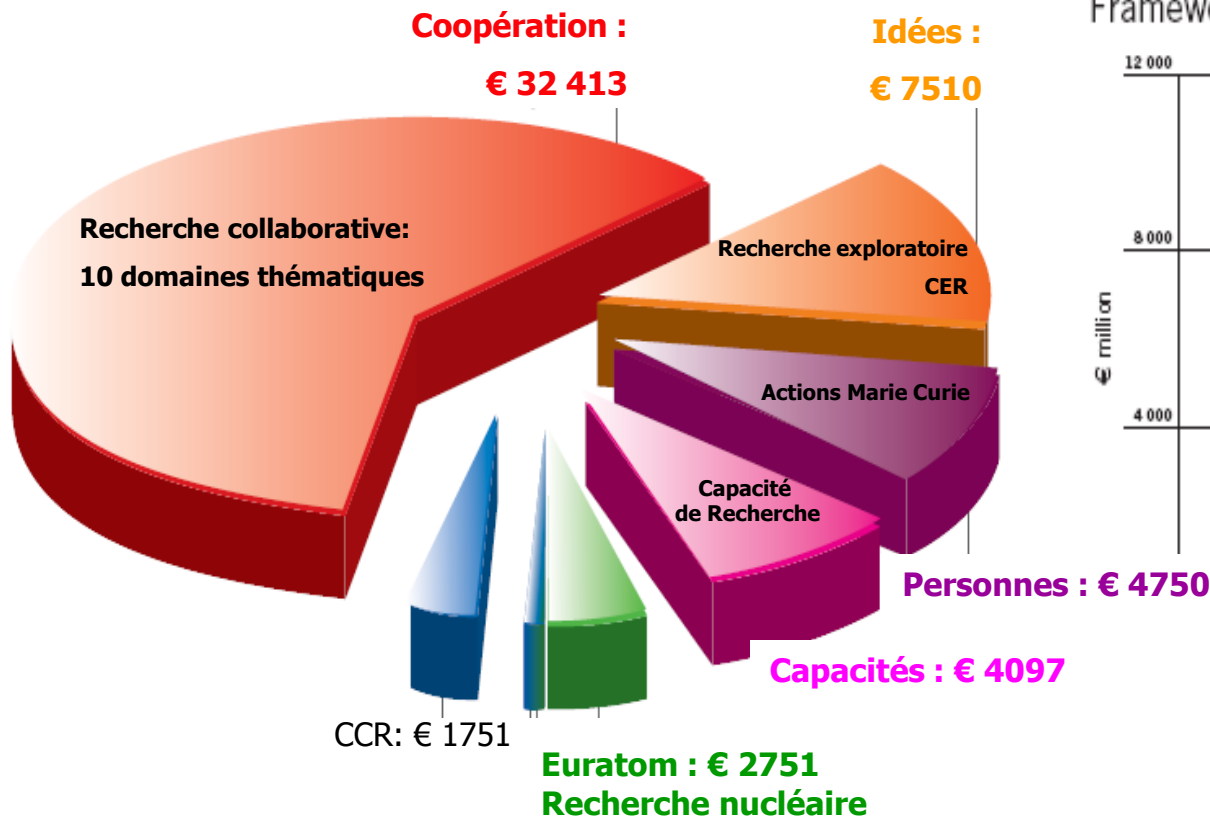
DG RTD – Commission Européenne

14 Mars 2012

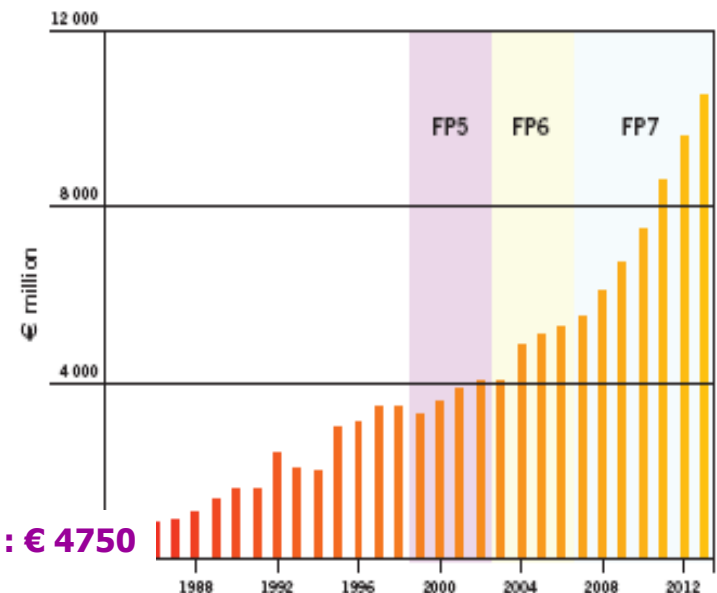
Plan

1. *Bilan FP7*
2. *Dimension internationale Horizon 2020*
3. *Vers une approche plus stratégique*

FP7 (2007-13) : Instrument principal de financement de la recherche de l'UE



Framework programme budget (1984-2013)



Vue d'ensemble – Jusqu'à 2012

*Participation des Pays Tiers (Programmes
Coopération et Capacités)*

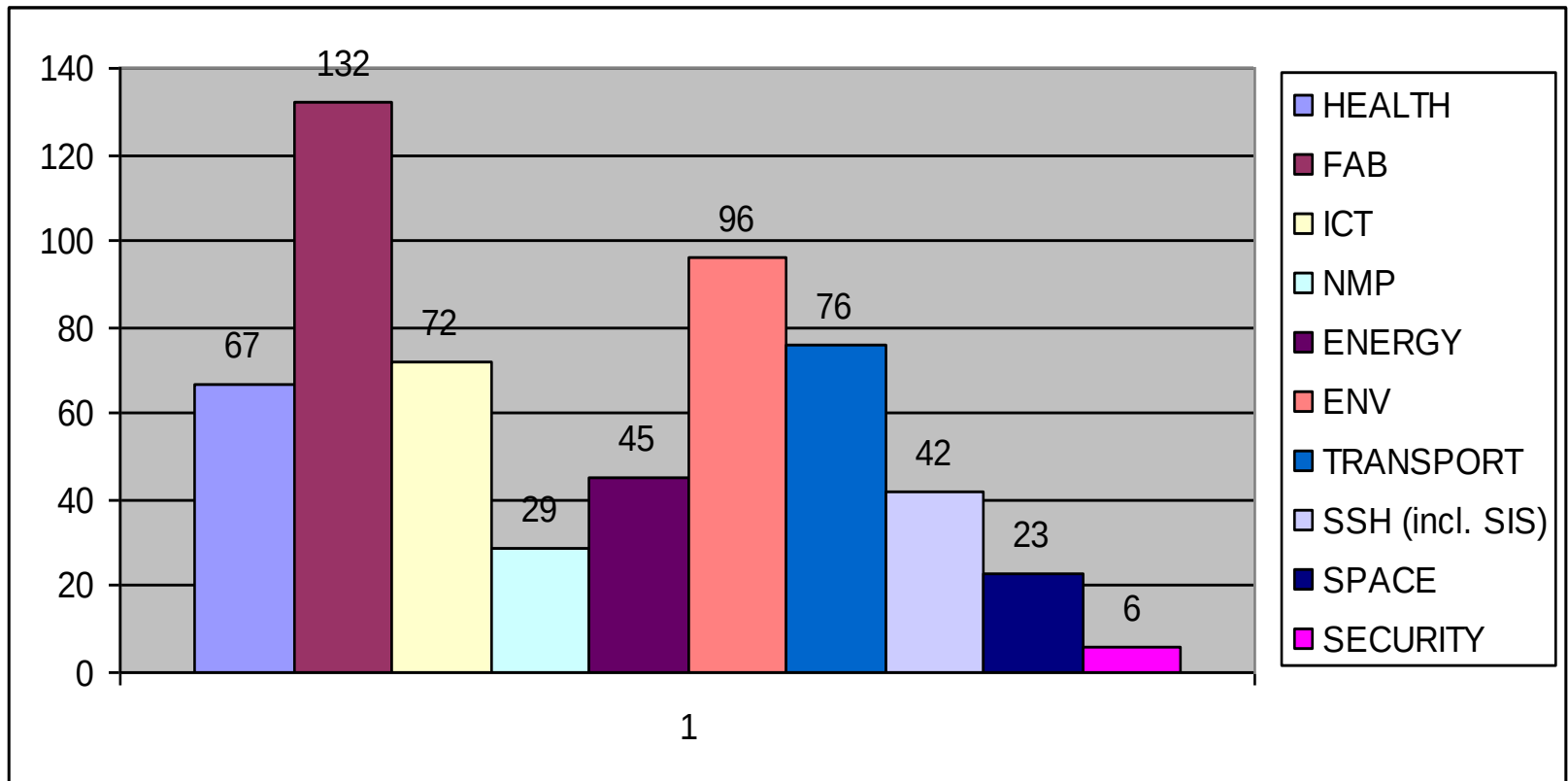
- **3054 pays tiers participants pour une contribution européenne de €360 millions**
- **5.7% de conventions de subventions**
- **2.3% du budget**

Topics in Work Programmes

Distribution by type of instrument

	WP2007	WP2008	WP2009	WP2010	WP2011	WP2012	Totals
SICA	41	20	39	47	36	10	193
Targeted opening (T.O.)	86	55	54	34	57	85	371
Coordinated Call (C.C.)	0	3	6	16	5	5	35
Twinning (TW-lightCC)	0	0	1	0	4	6	11
Totals	127	78	100	97	102	106	610

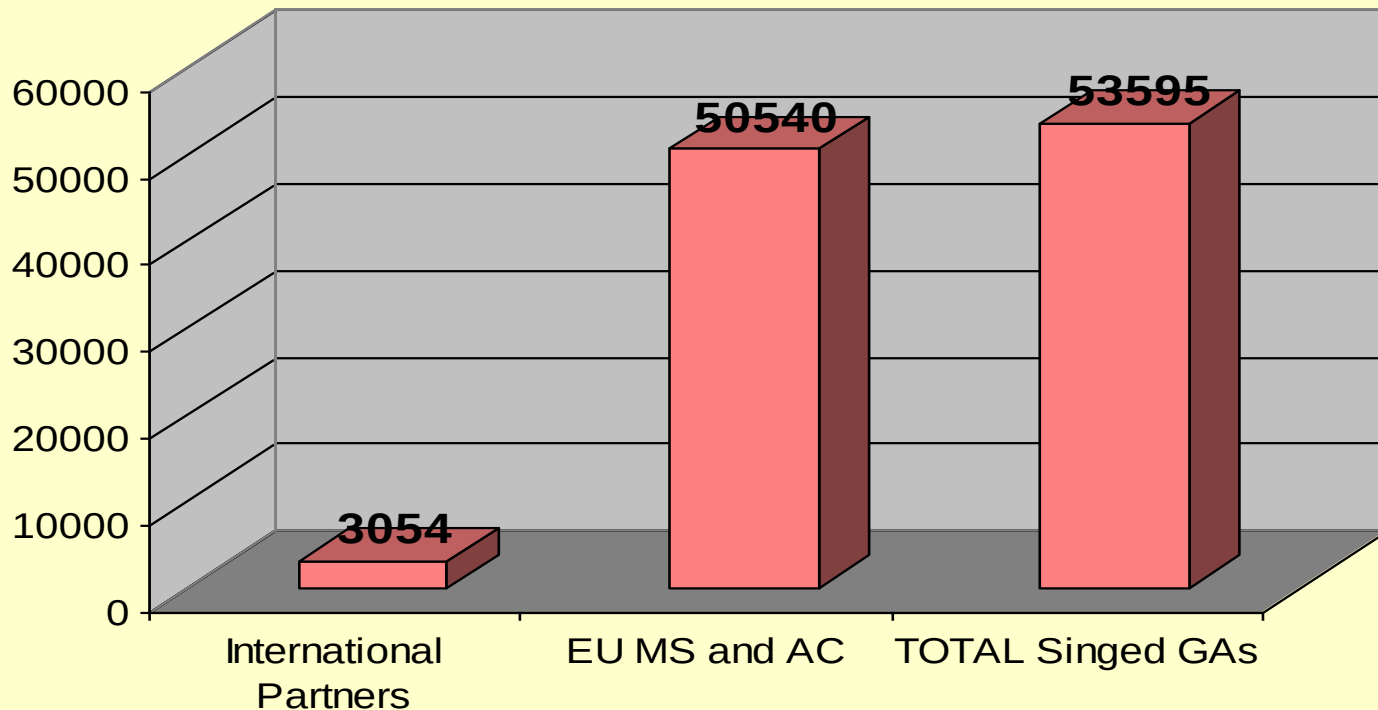
Distribution of topics by theme



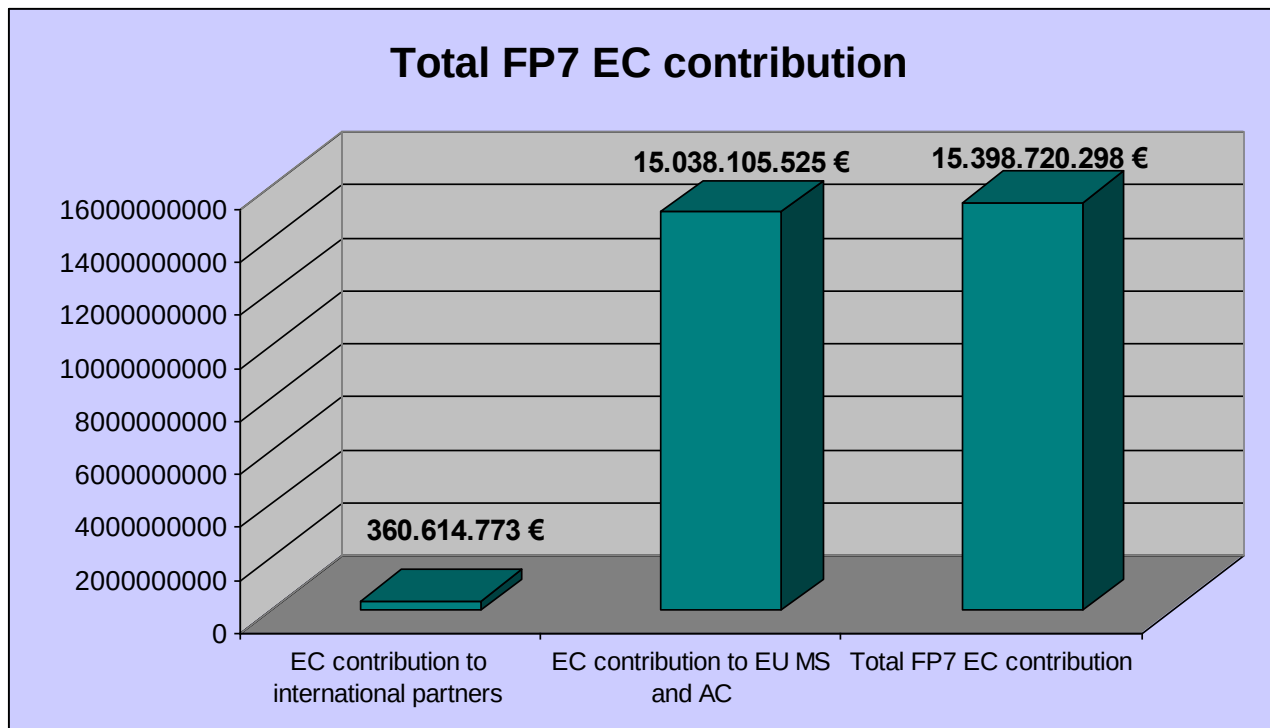
Grant agreements

FP7: Total Signed Grant Agreements (EU and associated countries and international partners)

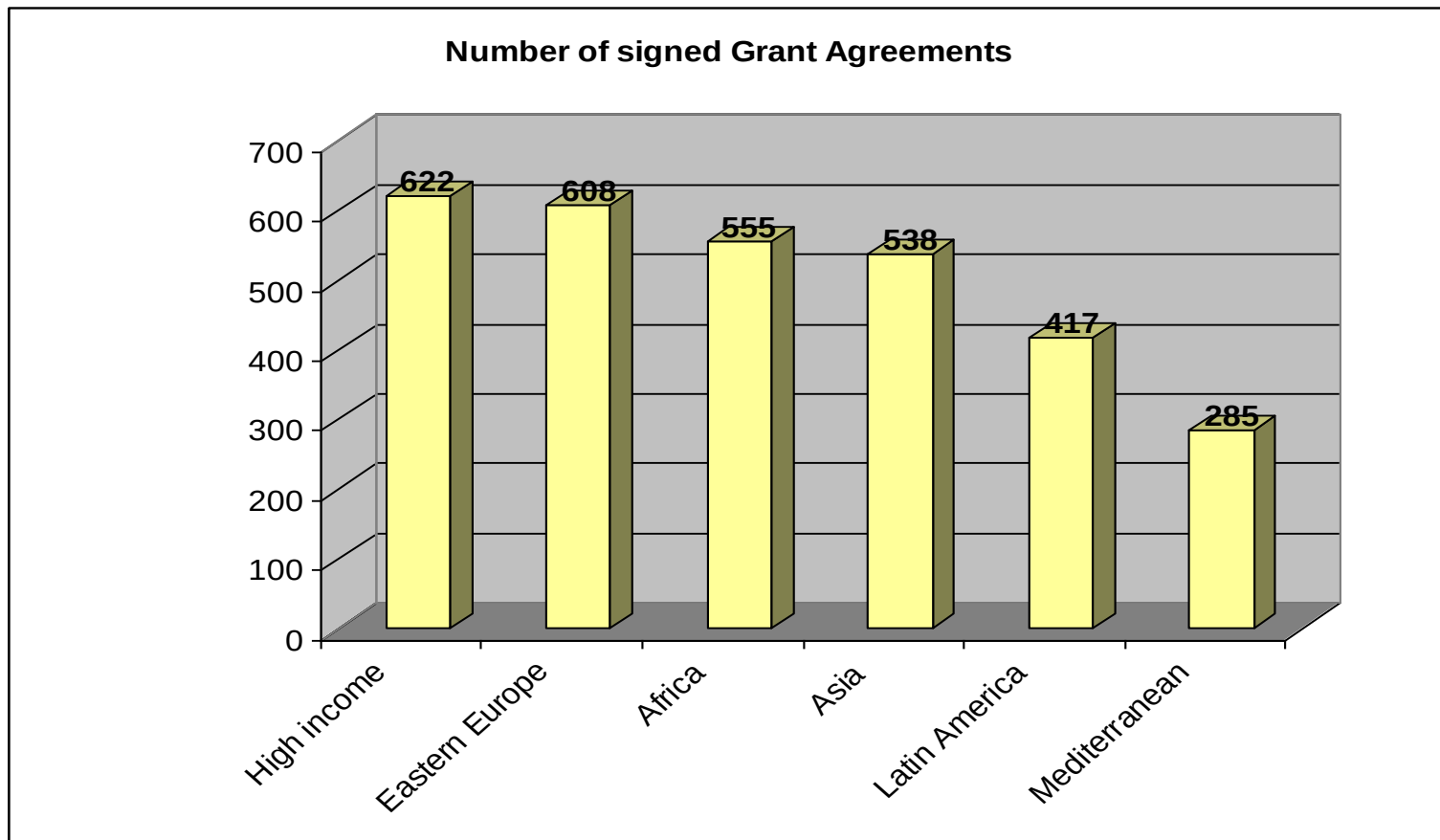
FP7 Total Signed Grant Agreements



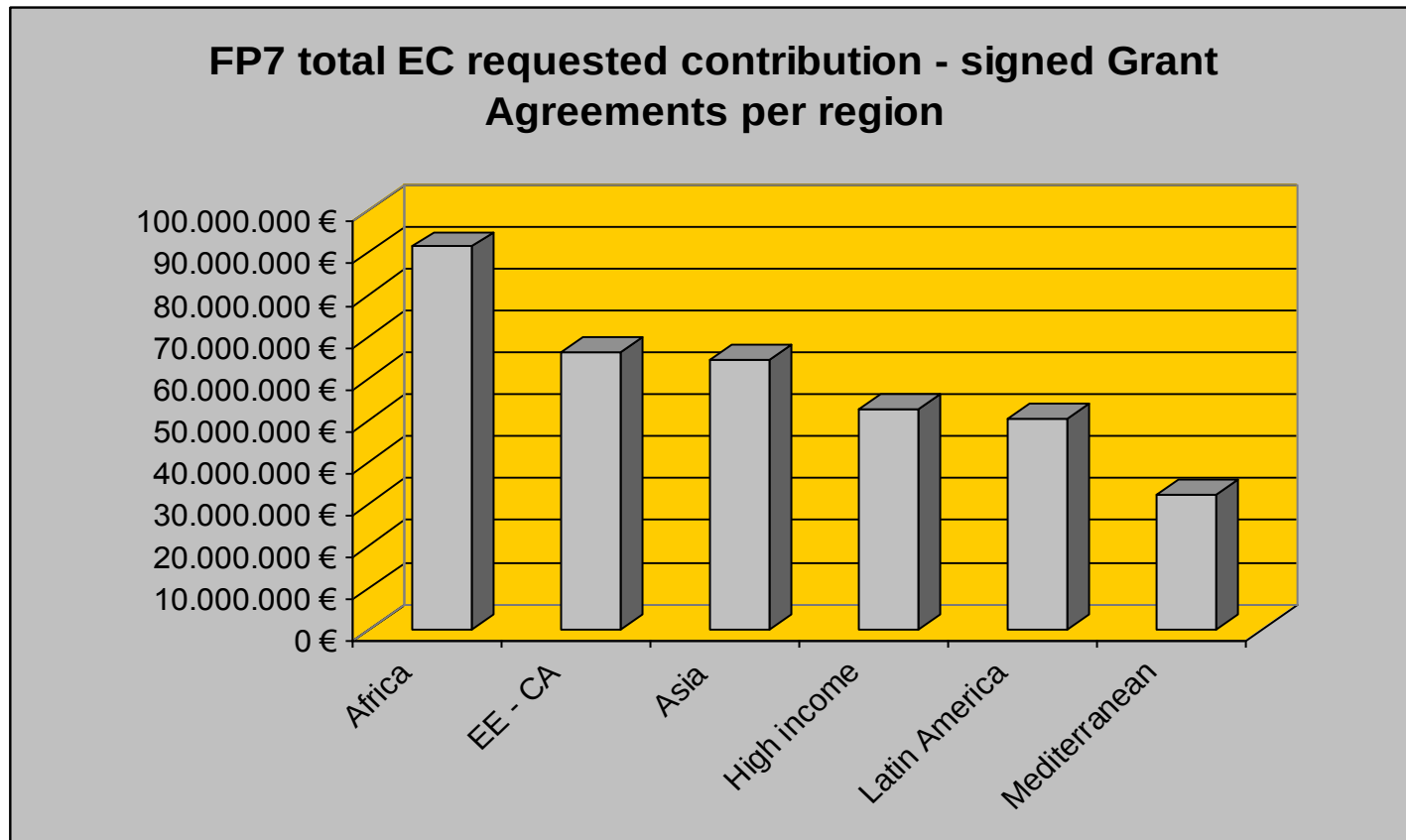
FP7 total EU requested contribution (signed Grant Agreements)



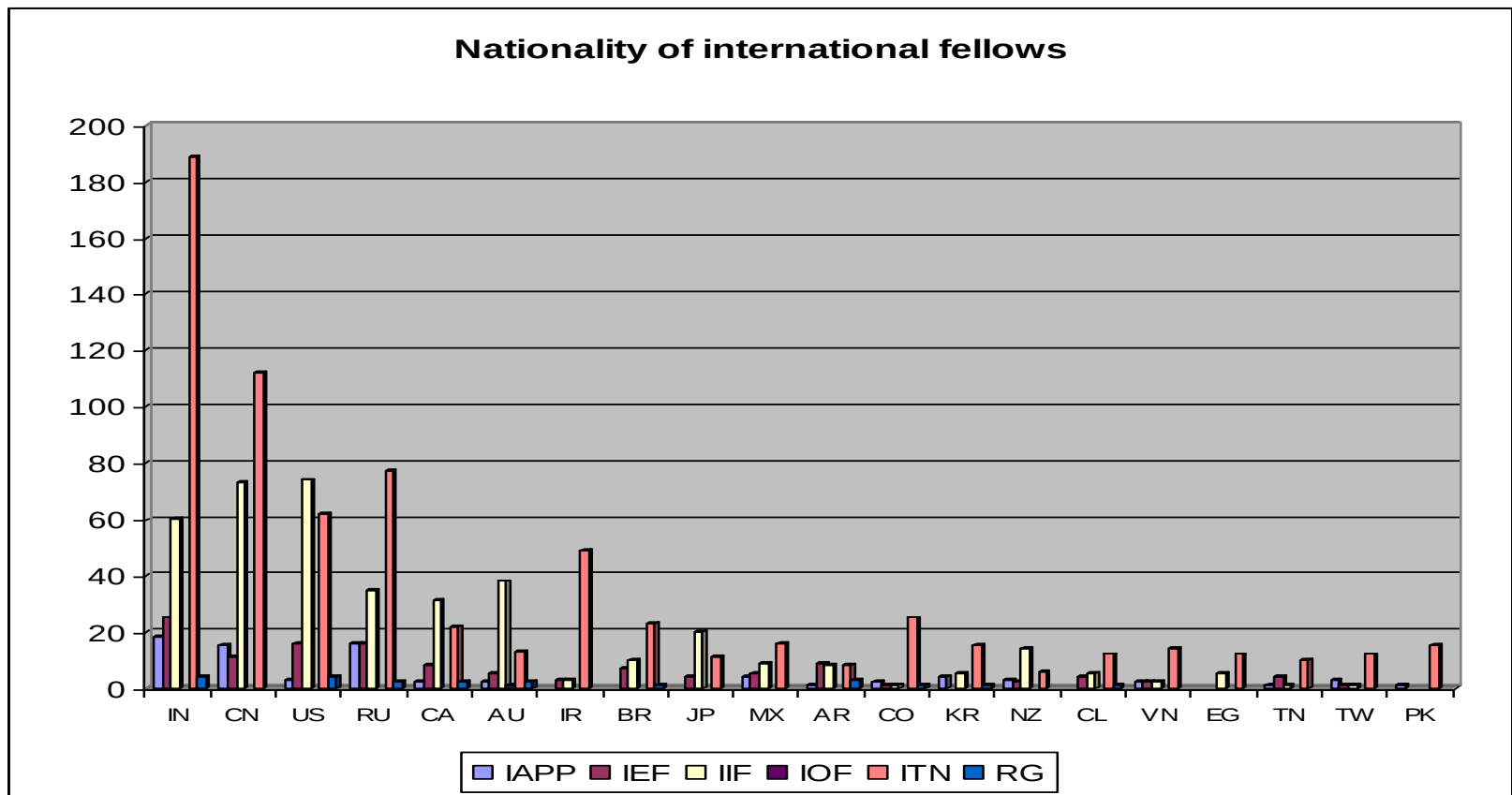
Total signed Grant Agreements with international partners per region



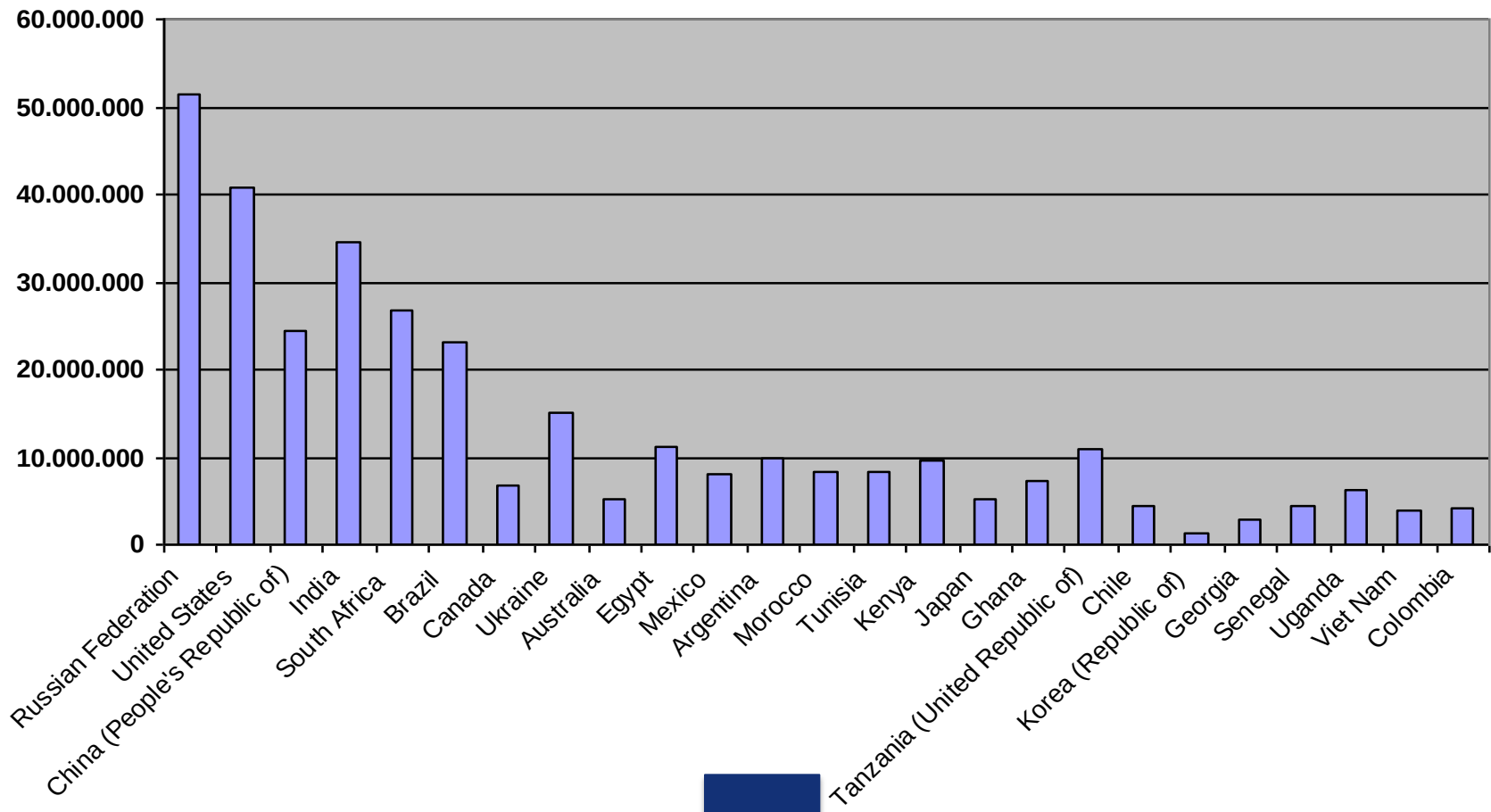
FP7 total EU requested contribution – signed Grant Agreements per region



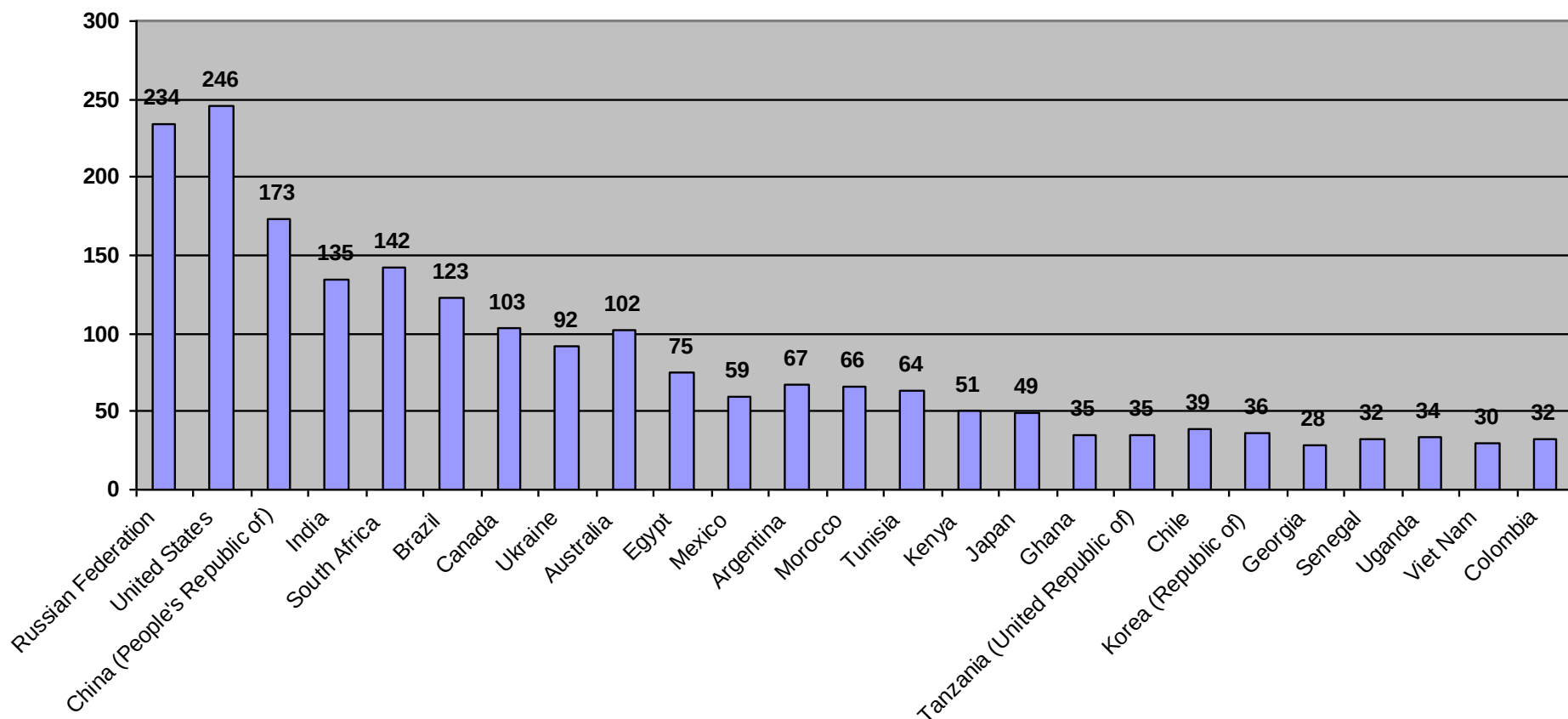
FP7 People Specific Programme – Top 20 nationalities of international fellows



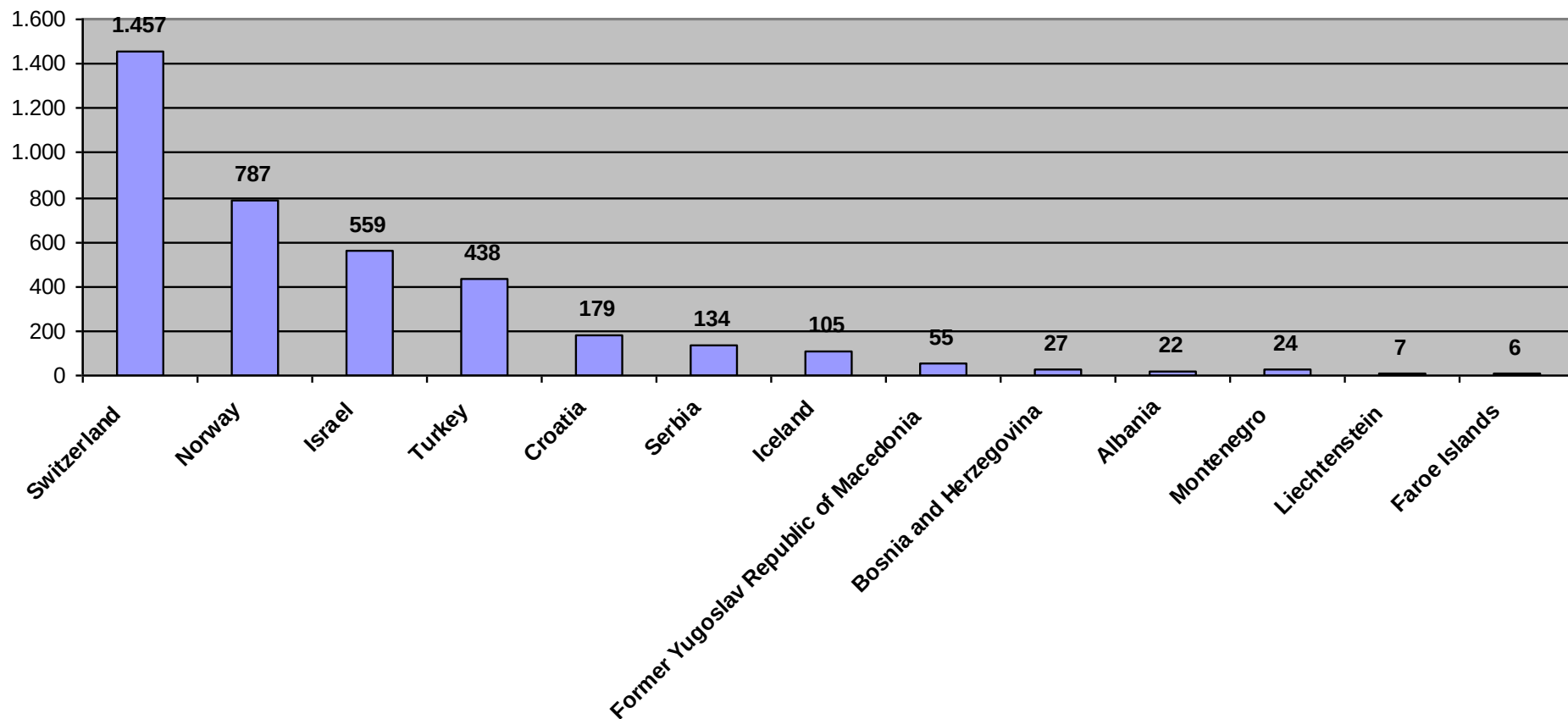
EU contribution: FP7 Cooperation and Capacities

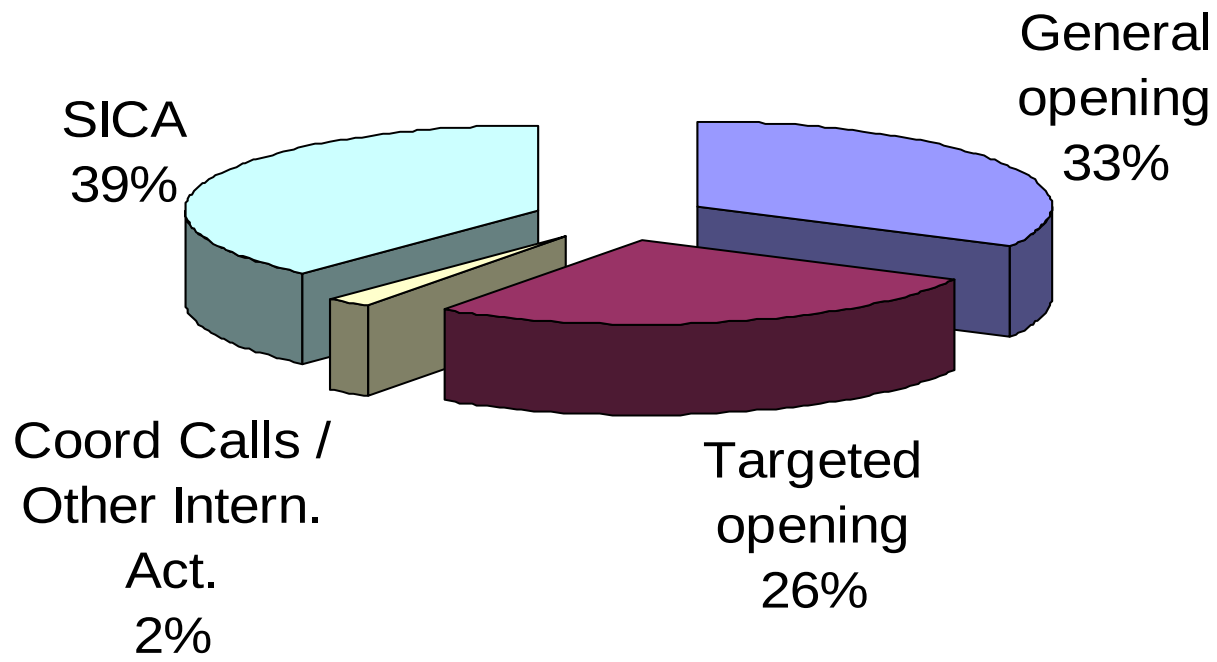


Signed contracts: FP7 Cooperation and Capacities



Signed contracts: FP7 Cooperation and Capacities





WP2013

WP not yet drafted: indicative trends:

- **Reduction in number of SICAs**
- **Increased focus on 'general opening'**
- **Significant targeting in Energy and Transport**
- **Focus on USA, China, Japan, Mediterranean**

Horizon 2020 - Ce qui est nouveau :

- **Un seul programme** rassemblant trois programmes/*initiatives* aujourd'hui séparés*
- **Davantage d'innovation**, de la recherche à la commercialisation, l'innovation sous toutes ses formes
- **Focus sur les défis sociétaux de l'UE**, tels que la santé, les énergies propres, et le transport
- **Un accès simplifié**, pour toutes les entreprises, universités et instituts, dans l'UE et au-delà

**Le 7^{ème} Programme-cadre de recherche (PC7), les aspects innovation du Programme-cadre pour l'innovation et la compétitivité (CIP), la Contribution de l'Union européenne à l'Institut européen d'Innovation et de Technologie (IET)*

Trois priorités :

1. *Renforcer l'excellence scientifique*
2. *Développer un leadership industriel*
3. *Relever les défis sociétaux*

Coopération internationale

Un engagement plus actif et stratégique

- **Ouverture générale des activités de coopération**
- **Actions ciblées d'un point de vue thématique et géographique**
 - Intérêt commun et bénéfice mutuel
 - Appels conjoints et autres modalités de financements
- **Efficacité accrue**
 - Coordination accrue avec les EM
 - Plus grand impact (scale and scope)
 - Coopération renforcée aux niveaux régional/multilatéral
- **Plus large éventail de modalités de financements**

Un renforcement de la coopération internationale

Cependant

- **Association possible sur la base de critères préétablis**
- **Accès au financement automatique plus limité**

A définir dans les programmes de travail

Exclusion des pays industrialisés et des économies émergentes

Exception dans des cas spécifiques

Horizon 2020: paquet législatif

Horizon 2020

- **Art 21 (Art 16 Euratom)**
 - Principe général d'ouverture
 - Objectifs spécifiques
 - Ciblage sur la base d'intérêts communs et de bénéfices mutuels
- **Art 7 (Art 7 Euratom)**
 - Association: tous les candidats, certains PEV et AELE

Programme spécifique

- **Annex 1**
 - Activités horizontales pour la coopération internationale

Règles pour la participation

- **Art 6**
 - Toute entité légale peut participer, cependant...
 - ... le programme de travail peut restreindre certaines participations ...
- **Art 9**
 - Règles reprenant qui sera financé (en général, à définir dans le programme de travail)
- **Art 11**
 - Appels conjoints

Association à Horizon 2020

Association ouverte aux:

- **Pays élargissement**
- **Pays tiers sélectionnés**

Avec une bonne capacité STI ...

...bons antécédents dans les programmes européens en R&I...

...des liens géographiques et économiques proches avec l'UE,

Et membres AELE ou de la politique de voisinage

- **Conditions**

Déterminées par des accords d'association' spécifiques

Contributions financières basées sur le PIB du pays associé

Horizon 2020: Mesures internationales spécifiques

- **Projets de recherche – Défis Sociétaux et Leadership industriel**
 - ciblage des sujets sur la base de l'intérêt mutuel
 - appels conjoints ou cofinancement de programme des pays tiers/organisations internationales, eg. (HFSP, EDCTP2, GEOSS)
- **Excellence scientifique**
 - **bourses Marie Curie** – incluent des actions pour stimuler l'innovation
 - développement des **grandes infrastructures de recherche** - Carnegie Group, UN, OCDE,
 - **Bourses ERC** ouvertes aux chercheurs du monde entier – projets de recherche doivent être effectués principalement dans les EM ou Pays Associés
- **Actions horizontales**
 - soutien aux dialogues politiques bilatéraux, multilatéraux et bi-régionaux
 - mise en réseau et jumelage – pour faciliter le choix de partenaires
 - coordination de politiques de coopération internationale entre EU et EM
 - renforcement de la présence européenne dans les pays tiers

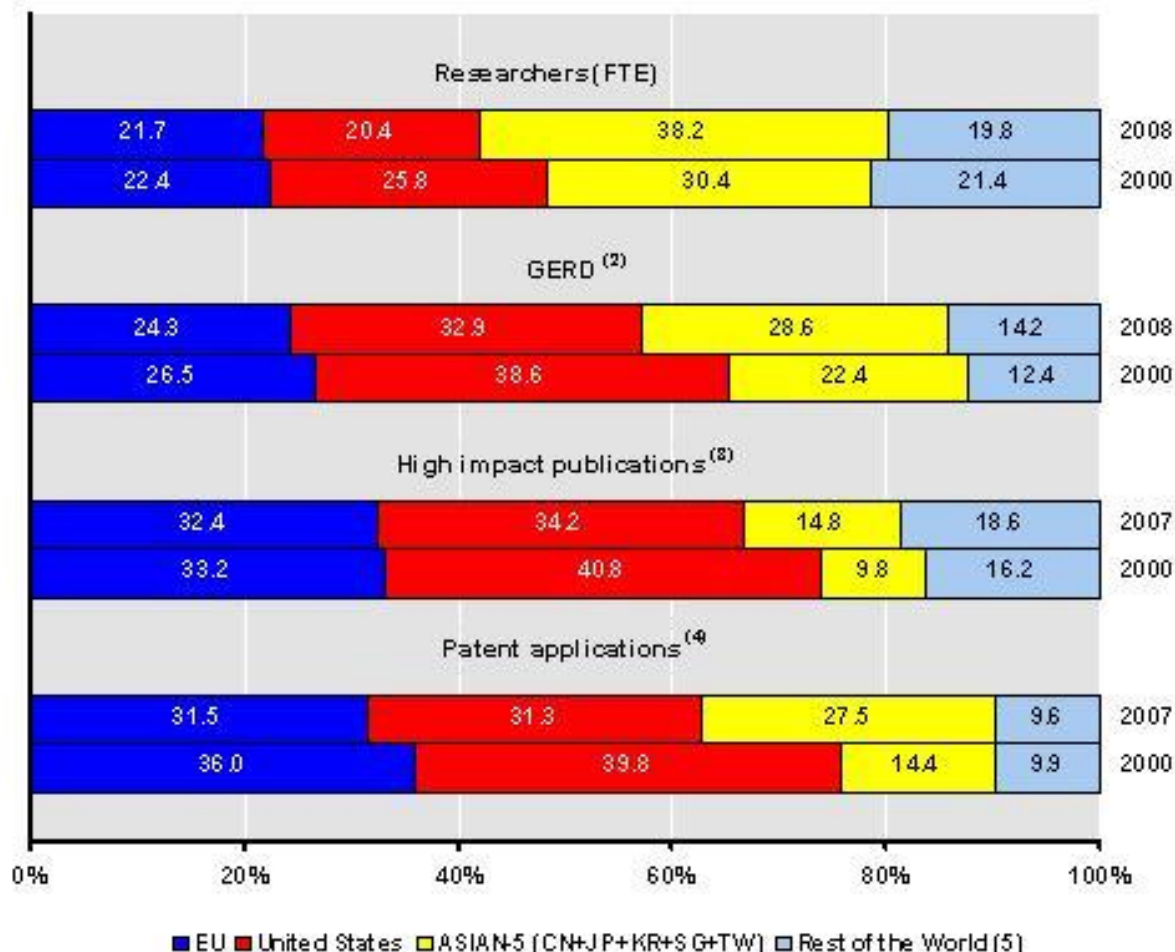
A rapidly changing context

From a triad to a multipolar world

STI increasingly internationally interconnected

Most societal challenges are global in nature

Figure 3 Participation in global R&D - %shares ⁽¹⁾



Challenges and Opportunities

Access** to **knowledge** produced outside Europe and to new and rapidly growing **markets

*Europe as an **attractive research location** and **partner** for cooperation*

*Build **critical mass** for tackling global challenges through **resources pooling** and **risk sharing** leading to more possibilities for **breakthroughs** and **innovation***

EU policy response (1)

*Large number of **S&T agreements** signed ad-hoc*

- 20 S&T cooperation agreements in 2011
- 14 associations to FP7

*Multiplication of **small coordinated calls***

- Fragmentation and lack of scale and scope
- Administrative burden

EU policy response (2)

*Lack of **coherence** and **synergies***

- Between FP7 overall and international cooperation activities
- Between projects funded under different parts of FP7
- Between EU and MS activities towards third partners
- Between FP7 and external policy instruments (IPA, EDF,...)

Annerberg report: 'A review based upon a thorough analysis of the current strategy towards international cooperation is needed. The international perspective must be integrated into all programmes and instruments.'

New approach

*Need to engage **more actively and strategically** in international cooperation:*

*Revised **objectives** and **principles***

Geographic differentiation

*More **targeted actions***

- Enhanced impact through scale and scope
- Based on common interest and mutual benefit
- Synergies between funding programmes
- Improved toolbox of instruments

Objectives

*Strengthen STI and economic **competitiveness***

- Access to excellence in third countries
- Facilitated access to markets (industrial partnerships, level playing field)

*Tackle **global societal challenges***

- More rapid and effective development/deployment of solutions
- Optimal development/use of large scale research infrastructures

*Support EU **external policies***

- Economic and social development through STI collaboration and increased STI capacity
- Science diplomacy as an effective and practical instrument of soft power

Principles

Openness

- General opening of Framework Programme
- Facilitated access to 3C programmes

Effectiveness

- Enhanced impact through scale and scope
- Joint programming with MS

Partnership

- Win-win cooperation (common interests, mutual benefits)

Synergy

- With other internal/external policies and funding programmes

Thematical targeting

*Align with **Horizon 2020** societal challenges and enabling technologies*

SWOT Analysis of EU versus World:

- Research and innovation capacity, including investment, human capital, infrastructures and output (publications, citations, patents, licenses, ...)
- Opportunities for joint deployment/access to markets
- Contribution to international commitments, e.g. MDG or Rio+20
- Willingness and ability of EU, international partners and MS to cooperate

**Horizon 2020 Societal Challenges
Key Enabling Technologies**

Objectives

1. Strengthen STI & econ. competitiveness
2. Tackle global societal challenges
3. Support EU external policies

Principles

1. Openness – 2. Effectiveness – 3. Partnership – 4. Synergy

**SWOT-type analysis
Europe vs Rest of the World**

Criteria

1. STI capacity/excellence/investment
2. Joint deployment/market opportunities
3. Support to EU intern. commitments (MDG)
4. Willingness to/experience in cooperation
5. ...

**EU External
Policies/Programs**
External Dim. Intern. Policies

**EU Member States
Stakeholders
Policies /Programs**
(SFIC, JPI, SET-Plan, ...)

INDICATORS

Road Map (2014–2020)

Areas X Countries
Regions

Annual Work Programmes
Toolbox of Financial Instruments

**Partner Countries
(S&T Cooperation
Agreements)**

**Third Regions
(Bi-Regional S&T
Policy Dialogues)**

**International
Organisations
(Multilateral Initiatives)**

Instruments

Policy instruments

- More strategic use of S&T agreements with key third countries
- Strengthened partnership with MS through SFIC
- Increased synergies across the Commission, more visibility for STI in general cooperation frameworks

General opening of Horizon 2020

- Open for participation from third countries
- Possible restrictions in automatic funding for emerging economies

Dedicated international cooperation activities

- Rationalised set of instruments in Horizon 2020
- Internationalisation of programmatic approaches (Art 185, JTI, EIP,...)
- Synergies with external instruments and JRC activities
- Enhanced partnership with MS

Communication

*Short **policy document***

- Building on 2008 strategy
- Building on Europe 2020/Innovation Union
- Following up on Horizon 2020 proposal

Outline

- A changing world
- Objectives and principles of international cooperation
- Enhancing and focussing the approach to international cooperation
 - Aligning with objectives of Horizon 2020*
 - Strategic choice of partner countries and regions*
 - Strengthening the partnership with the MS*
 - Instruments*
- Implementation, monitoring, evaluation