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***Research Infrastructures and synergies
between the
EU R&I Framework Programme and the
Structural Funds***

**Manfred Horvat
Rapporteur
Synergies Expert Group (SEG)**

Overview

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The Synergies Expert Group (SEG)

Synergies Framework Programme, CIP and Structural Funds

- **Frans van Vught, The Netherlands (Chair)**
- **Manfred Horvat, Austria (Rapporteur)**
- **Helena Acheson, Ireland**
- **Dan Andree, Sweden**
- **Anton Anton, Romania**
- **Guy Clause, Luxembourg**
- **Giovanni Colombo, Italy**
- **Erzebet Dobos, Hungary**
- **Michel Gaillard, France**
- **Jana Kolar, Slovenia**
- **Eleni Marianou, Greece**
- **Helena L. Nilsson, Sweden**
- **Peter Oakley, United Kingdom**
- **Tea Petrin, Slovenia**
- **Carlo Rizzuto, Italy**
- **Olle Sternberg, Sweden**

Final Report, 1st June 2011:

<http://ec.europa.eu/research/index.cfm?pg=reports>

Terms of Reference

To make recommendations:

- **for the development of ‘synergies in practice’ for the current programming period,**
- **concerning enhanced “synergies of policies and programmes” for R&D, innovation and cohesion for the next programming period, and**
- **in particular for the future of the two regional actions in FP7**
 - Regions of Knowledge (RoK) and
 - Research Potential (REGPOT)

Approach taken

- **Following the ‘innovation systems’ approach**
- **Considering the ‘location-based dimension’ of innovation and the role of proximity for knowledge spillovers**
- **FP7, transnational cooperation, role of ‘local-global connectedness’ for regional policies**
- **Orienting the different rationalities of the programmes regarding objectives, target groups and instruments towards the common objectives of the European Union**

Synergies

- **The SEG defines ‘synergies’ as the alignment of and cooperation between policy frameworks, programmes and actions allowing more and better attainment of their objectives**
- **‘Synergies’ concern the effects produced by separate programmes that are indeed different but may produce coordinated effects by intensive interaction.**

Changed contexts: European policies

- **Current Programmes developed under Lisbon strategy (2000 and 2005)**
 - Previous contributions on ‘Synergies’ from ITRE, EURAB, ERAB, CREST, ERAC, REGI, ESFRI
- **New policy context**
 - Europe 2020
 - Smart, sustainable and inclusive growth
 - Innovation Union and A digital Agenda for Europe
 - Key role of research and innovation
 - EU Budget Review
 - Common Strategic Frameworks
 - The EU Budget 2014-2020
 - Multi-Annual Financial Framework – HORIZON 2020

Changed context: Globalisation of science

- **Increasing international collaboration**
 - 35% of articles published in international journals are internationally collaborative, up from 25% 15 years ago.
 - The average collaboration distance increased more or less linearly from 334 kilometres in 1980 to 1,553 km in 2009
 - Grand societal challenges
 - European Research Area and other ‘research areas’
- **Emergence of e-science***
 - Changing landscape of knowledge production
 - Increasing number of scientists and publications
 - Virtualisation of science
 - Transmission of scientific data
 - On-line joint research programmes
 - On-line, post-graduate inter-university programmes

* See e.g.: The ERAB 2030 Milestones, Riding the wave, ICT Infrastructures for e-Science

Main issues

- **Fragmentation of innovation policies at EU level**
- **Lack of common strategies in accordance with Europe 2020**
- **Lack of coherent and interacting governance**
- **Weak complementarities and compatibilities as well as interoperability of policies and programmes**
- **Lack of instruments for pooling of European and national funds**
- **Poor communication, coordination and cooperation**

Current programming period (i)

Recommendations

- **Test possibilities of interoperability of programmes**
- **Consider potential impacts of strengthened focus on innovation**
- **Explore the potential of ‘new financial instruments’ and wider use of EIB for funding of innovation**
- **Fine-tune IPR rules for activities closer to the market considering the requirements of universities and research organisations**
- **Promote using Marie-Curie fellowships, the Life-long Learning programme and also the European Social Fund (ESF) to become more innovation-oriented**

Current programming period (ii)

Recommendations

- **Strengthen linkages between CIP and other programmes**
- **Monitor the development of EIT KICs and test their possible catalytic function for research/innovation**
- **‘Seal of excellence’: Consider positively evaluated FP7 projects for funding from Structural Funds**
- **Exploit Structural Funds for innovative public procurement, pre-commercial procurement and demonstration**
- **Improve communication and cooperation between different bodies for advice, implementation, monitoring as well as information and assistance**
- **Follow the example of FP7 and simplify also procedures of Structural Funds**

Next programming period (i)

Basic assumption on future synergies

Two Common Strategic Frameworks

that are different but will produce coordinated effects by intensive interaction while aiming jointly to contribute to the objectives of Europe 2020 and the Innovation Union:

- **HORIZON 2020 and Cohesion Policy Funds**
(EU Budget: € 80 bn + € 60 bn)

Next programming period (ii)

HORIZON 2020 & CPF: Clear objectives and profiles

- **HORIZON 2020** (*EU Budget: € 80 bn*)
 - Will work at EU level
 - oriented towards promoting **excellence**
 - addressing **grand societal challenges**, and supporting **competitiveness**,
 - based on competitive project selection procedures applying **international peer review**
- **Cohesion Policy Funds (CPF)** related to R&D, innovation and entrepreneurship (*EU Budget: € 60 bn*)
 - working at **regional level** and
 - focus on **‘capacity building’** – ‘Staircases to excellence’
 - **national and regional relevance** will play a role

Next programming period (ii)

Principles 1

- **Excellence** as a general principle
- **Interoperability** and improved **communication** of the two programmes
 - Compatible rules & procedures, coherent application formats and evaluation criteria; synchronised roadmaps and administrative cycles
 - Cohesion Policy Funds accepting ‘Seal of excellence’ for positively evaluated HORIZON 2020 projects
 - Allowing projects to be funded from different sources
 - Offering optimal access through common entry points

Next programming period (iii)

Principles 2

- Making a reality of the **knowledge triangle** between education, research and innovation and promoting the **Triple Helix** of government authorities, industry and research institutions
- **Smart specialisation**: regions developing their specific strengths
- **International peer review** where possible and appropriate also in Cohesion Policy Funds
- Improve **communication, coordination and cooperation** between committees and advisory bodies
- **Simplification**

Next programming period (v)

Key recommendations 1

- **Clearly indicate funds supporting innovation and related activities**
- **Introduce a Small Business and Innovation Research Scheme**
- **Offer CIP functions across HORIZON 2020; enhancing the innovation and entrepreneurial culture in Europe; establish inter-DG steering group**
- **EIT and KICs providing testbeds for new approaches towards exploitation of research results and innovation**
- **Support KIC co-location centers in convergence regions**

Next programming period (vi)

Key recommendations 2

- **European Research Infrastructures and Regional Partner Facilities are key support structures for the European Research Area**
 - At EU level, HORIZON 2020 should support the general policy development, feasibility studies and the networking between and the open access to Research Infrastructures and will also support the operations based on peer review
 - At regional level, Cohesion Policy Funds (and Member States and regions) may put construction and upgrade of Research Infrastructures and of Regional Partner Facilities on the agenda of regional research and innovation strategies
- **Strengthen RSFF and offer new financial instruments for technology transfer and innovation activities**

Next programming period (vii)

Key recommendations 3

- **Align National Reform Programmes and the Development and Investment Partnership Contracts with objectives of Europe 2020 and Innovation Union**
- **Consider a ‘performance reserve’ for awarding excellent performance of regions implementing their R&I strategies in accordance with Europe 2020**
- **Focus Cohesion Policy Funds on clusters as favourable eco-systems for innovation; foster streamlining of EU cluster schemes**
- **Use Cohesion Policy Funds for the modernisation of universities and research organisations: equipment, infrastructure, human resource development**

Next programming period (viii)

Key recommendations 4

- **Launch a unified EU technology licensing process enhancing the commercialization of R&D results from universities, non-profit organizations and SMEs across EU Member States**
- **Develop further and simplify public procurement including pre-commercial procurement**
- **Utilize the possibility of greater transnational cooperation and cross-border investment e.g. for strengthening global value chains, developing networks within macro-regions and accessing new markets or key technologies**
- **Allow the use of Cohesion Policy Funds in other Member States (regions) to develop, in those regions, specific industrial and technology transfer capabilities from which multiple regions can benefit**

Regions of Knowledge, Research Potential

- **Preferably anchor RoK in the Territorial Cooperation part of Cohesion Policy Funds**
 - Support especially research driven clusters strengthening regional research and innovation excellence
 - Ensure that all regions can participate
 - Consider widening the focus of RoK to the networking of clusters
 - Fully integrate the RoK scheme in the Operational Programmes considering smart specialisation strategies
- **Integrate the REGPOT scheme as inclusive capacity building scheme into Cohesion Policy Funds**
 - Offer a centralised management approach for voluntary participation based on a common pot in order to keep EU wide competition
 - Build on the evaluation experience of DG RTD
 - Ensure a substantially increased budget; maintain 100% funding and explore possibilities to diversify funding sources

Summary

- **The next programming period 2014-2020 will be a decisive phase for promoting EU R&I activities in a new global context**
- **Close coordination and cooperation of HORIZON 2020 and the Cohesion Policy Funds oriented towards the objectives of the Europe 2020 and Innovation Union will strengthen R&I in the EU**
- **HORIZON 2020 and Cohesion Policy Funds working together will present an important European competitive advantage – the Commission as ‘facilitator’ and the Member States and regions as the main actors**

Thank you!

Prof. Manfred Horvat

Vienna University of Technology
European and International
Research- and Technology Cooperation

manfred.horvat@tuwien.ac.at

manfred.horvat@gmx.net