

Research and innovation in the EU – preparing for Horizon 2020

State of play with a Brussels perspective per Oct 2011

Presentation for Unica at Stockholm University

Magnus Härviden, Research Counsellor

Disposition

- Framework conditions (EU2020 and more)
- Preparing for Horizon 2020
- Other important current research policy matters

EU-financed R&I should support the EU 2020 strategy

EU Growth Strategy EU2020



Five main targets with national monitoring of progression :

- (1) increase employment
- (2) **improve conditions for R&I, aiming at 3% of GNP**
- (3) reduce CO2 emissions
- (4) improve education
- (5) **reduce social exclusion**

10 guidelines

- ...
- (4) *Optimize support for R&D&I, strengthen the knowledge triangle*
- ...
- (9) Improve educational systems and encourage mobility
- ...



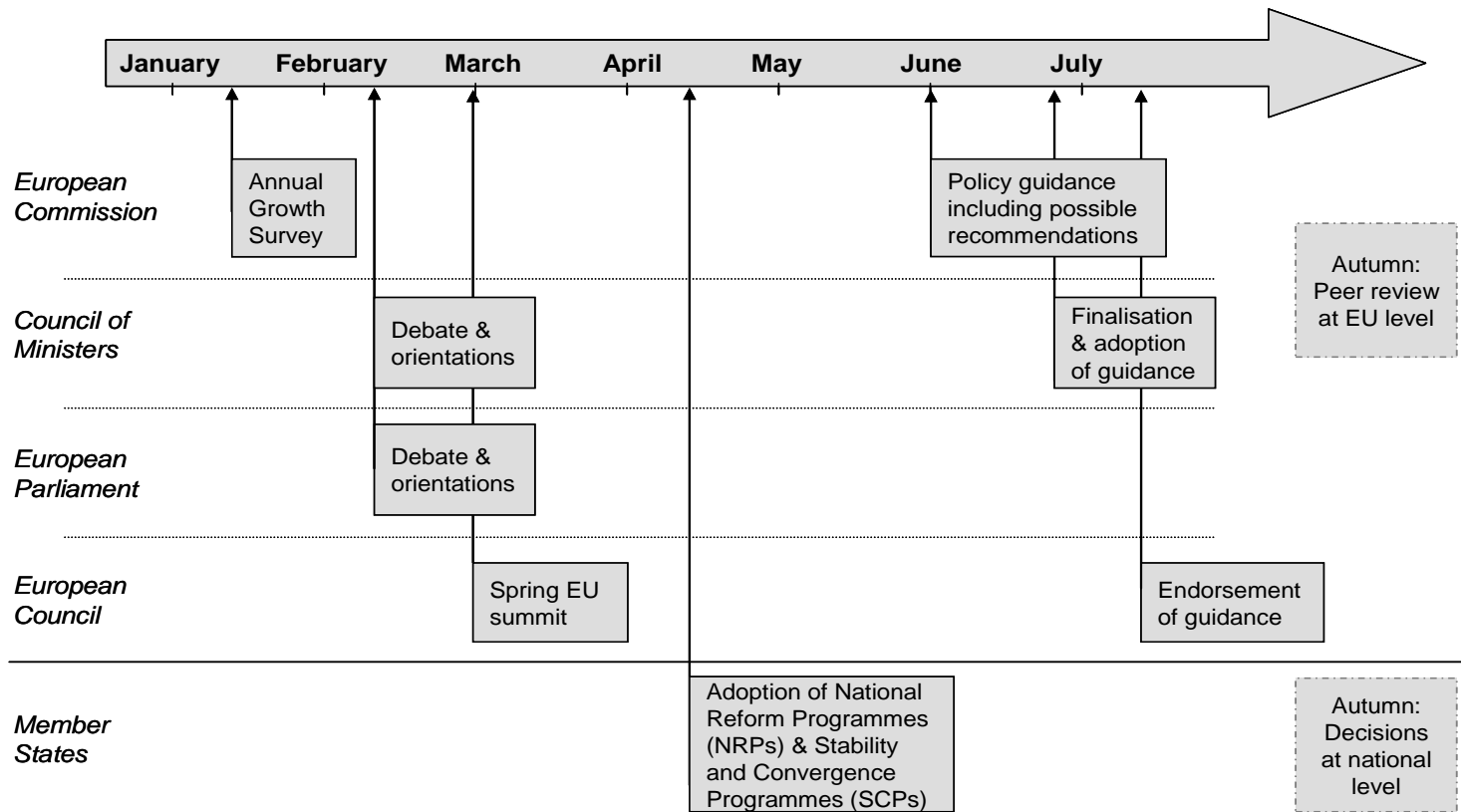
Seven flagship initiatives

- | | |
|-----------------------------------|-----------------------------|
| 1. Digital agenda | 5. New Skills and New Jobs |
| 2. Youth on the move | 6. Platform against Poverty |
| 3. <i>Innovation union</i> | 7. Resource Efficiency |
| 4. New Industrial Policy | |

The European semester

- The first cycle started in spring 2011
- In January every year, the Commission shall present a yearly growth report which will be the basis for an economic score card from the European Council in February
- In April, the Member States shall present their convergence programs and their reform programs
- The Commission will give its country specific recommendations in June, based on the national reporting above. These recommendations will be discussed by concernce council formations and "blessed" by the European Council in July.

Yearly cycle overview



Council conclusions from the European Council in February 2011

- **European Innovation Partnerships (EIP) approved**
 - pilot on Active and Healthy Ageing
- **Improved framework conditions for innovation**
 - patent, standardization, procurement, simplification and more
- **European Research Area (ERA) completed by 2014**
 - communication to come in spring 2012

Next framework program – Horizon 2020

- A Common Strategic Framework named Horizon 2020 for 2014-2020, integrating innovation and education with research and development
- CIP and EIT included
- Co-decision by the Council and the Parliament

FP7 recap

- 50,5 mdr euro for the period 2007-2013
- Yearly spending budget increased to around 10 bn euro by 2013
- Cooperation, Ideas, People, Capacities

Time table for Horizon 2020

- **June 29** MFF presented, 80 bn euro proposed for H2020
- **Sep-Oct** Inter Service Consultation
- **Nov 30** Commission decision (framework program, three programs, Euratom, rules of participation) specific
- **Dec 6** First discussion in the Council, start of negotiations
- **Jan 2014** Start of new framework program

Some considerations for the Commissions

“top down”

vs.

free projects

small innovative projects

vs.

large scale projects

more financing for ERC

vs.

more financing to coordination projects

curiosity drive research

vs.

applied research

Horizon 2020 probable structure

1. Tackling Societal Challenges
2. Industrial leadership and competitive frameworks
3. Excellence in the science base

Tackling Societal Challenges

- Health
- Bio based economy
- Clean and efficient energy
- Smart and green transports
- Resource efficiency and climate
- Social science and humanities

Industrial leadership and competitive frameworks

- **“Key enabling technologies”:**
 - ICT
 - Nano technology
 - Bio technology
 - Space
 - Innovation support for SME
- **Cross-border venture capital**
- **Partnerships in R&I**

Excellence in the science base

- ERC
- Mobility (like Marie Curie)
- Research infrastructures
- “Future and Emerging Technologies Flagships”

Some key points

- Links to R&I financing in other headings
- How to increase research capacity in weaker regions without sacrificing the excellence criteria
- How to increase participation from groups with low participation (women, MS-12 etc)
- Simplification without losing control

Simplification actions (first ministerial report from 2010)

Overview of the recommendations of the Informal Ministerial Expert Group on Simplification

- On 12 October 2010 an Informal Ministerial Expert Group on Simplification (the “Group”) was appointed in order to monitor the actions taken by the Commission on simplification. Below the Group formulates its intermediate recommendations, further explained in the next paragraphs, in reaction to the recent developments within the Commission.
- **Recommendation 1**
 - The Group states that it is crucial for all beneficiaries that the Commission’s package, comprising four recommended solutions, is adopted by the end of 2010 as foreseen. Uniform interpretation and application of rules and procedures throughout the whole project cycle should be guaranteed by all DGs and other stakeholders involved (Project Officers, Auditors or different Executive Agencies) to ensure legal certainty to the beneficiaries.
- **Recommendation 2**
 - The Group states that the implementation of the two-stage application procedure where appropriate and the size of consortia is a matter to be dealt with the FP7 annual work programmes that are adopted by the Commission after a positive opinion by the Programme Committees, and should be part of the official call documents. The Group looks forward to the outcome of the pilot on prizes as under consideration for 2012.

Recommendations 3-5

- **Recommendation 3**

- The Group states that the personal liability of Project Officers is linked with the discussion on uniform interpretation and application of rules and procedures. The Group will organise a meeting with DG Human Resources officials.

- **Recommendation 4**

- The Group states that the extension of the Research Participant Portal will be followed up by the Group. In addition, the Group insists on implementing measures to reduce the time-to-grant, e.g. the percentage of grants signed in less than eight months in 2011 and in less than six months in 2012 and 2013 should be improved.

- **Recommendation 5**

- The Group will follow up the reactions of the Council and Parliament to the Commission Communication on the Tolerable Risk of Error as well as the outcome of the actual level of error.

Recommendations 6-7

- **Recommendation 6**

- The Group states that the implementation of the Innovation Union should not lead to a more complicated R&I landscape. The envisaged European Innovation Partnerships should address this issue. It should be taken into account that the European research community is multifaceted and diverse. It is important that the Commission's intervention mechanisms and funding instruments mirror this diversity. It therefore takes good note that the Commission's innovation union puts forward a strategic, integrated approach which aims at covering the whole chain from R&S all the way to the market rather than a too rigid and narrowly defined European research and innovation policy which would be counterproductive and must be avoided. However the types of funding instrument should not lead to a complex structure of different kinds of rules and regulations. The Group stresses the need for streamlining and simplifying instruments and, where appropriate, effectively coordinating relevant programmes, rules, regulations and procedures. The Group is looking forward toward the communication on FP8 in spring 2011, building on the innovation union flagship initiative.

- **Recommendation 7**

- The Group requests that excessive control mechanisms should be lightened in order to achieve a better risk/trust balance, e.g. the simplification of time-recording mechanisms to an acceptable level. Different funding rates, indirect cost calculation models for different types of beneficiaries should be maintained and universities and other research organizations that wish to move towards full-cost accounting should be supported. The grants should be based on the expected efforts and resources deployed by each beneficiary and in conformity with national accounting practices of the beneficiary in the forthcoming R&I programmes using cost-based approach. These grants should lead to fixed amounts for a specific project.

Some of the other ongoing discussions

- **Euratom 2012-13**
 - should be aligned in time with other programs by 2014
 - ITER the main issue
- **Simplification**
 - all institutions agree in principle, the hard thing is to realise concrete measures
- **EIT – strategic agenda to be presented in November**
 - KIC start up phase
- **Space program**
 - With the Lisbon treaty now a EU competence
 - fourth dimension of Competitiveness Council
 - main challenge will be governance issues and financing
- **ERA Framework**
 - communication in spring 2012

Thanks for listening!

magnus.harviden@foreign.ministry.se