



**Welcome to the the Workshop**

**Future of Joint Programming  
and its instruments**

## How can Joint Programming be improved?

The aim of this workshop is to reach agreement on the main areas and issues deserving attention if the performance of Joint Programming is to be improved

In particular, we shall consider the need for:

- Clearer aims for joint initiatives
- Greater focus concerning the scope of initiatives
- Simpler governance structures
- More stable, longer-term financial arrangements

## Format

During the remainder of the day we will discuss the four key areas identified in the background paper

- Aims and Objectives
- Scope and Focus
- Governance
- Finance

Plus other areas of concern as they arise



# Public-Public Partnerships

**Status quo Joint Programming and  
its instruments**

# P2Ps – why?

## Research & technological development - a shared competence

- ➔ Art.181 defines a clear responsibility for the Union and the Member States to  
*"coordinate their research and technological development activities so as to ensure that national policies and Union policy are mutually consistent."*
- ➔ *"in close cooperation with the Member State, the Commission may take any useful initiative to promote [this] coordination".*

## P2Ps in action – from FP6 ...

**FP6 introduces ERA-NET actions:** supporting the coordination of programmes, bottom-up, Member States (or rather funding agency) driven

→ first evaluations (Horvat report) showed potential of the instrument, but also major limitations (few had started launching calls)

**EDCTP as the first attempt to use Art.185** (Art.169): at that time still as a grant agreement

### **Proposal for FP7 included**

1. ERA-NET Plus actions: additional EU financial support to facilitate joint calls for proposals
2. Participation in Art.185 (Art.169) initiatives

## and FP7 ...

**ERA-NET in FP7 - from bottom-up to top-down, driven by thematic strategies**

### **Two waves of Art.185 initiatives**

→ political fast track versus step by step preparation  
from ERA-NET via ERA-NET plus to Art.185

### **Council Conclusions 2008**

→ endorsed the concept of Joint Programming as a Member State-driven process and resulted in establishing the Joint Programming Process and launching 10 Initiatives (JPIs) on grand societal challenges

### **Design of H2020 with respect to P2Ps influenced by**

1. Lund Declaration 2009
2. Joint Programming process and JPIs
3. Simplification agenda

## to Horizon 2020

- **Coordination via programme committees**
- **Art.26, Public-Public Partnerships:** support to P2Ps via ERA-NET and Art.185, paying particular attention to JPIs

***Overall, EU support for P2Ps rose from 380 m€ in FP6 (2.1% of the budget), to approximately 2,500 m€ in Horizon 2020 (around 3.1% of the budget)***

### **Recent and upcoming milestones:**

1. Lund Declaration 2015
2. Evaluation Joint Programming
3. National ERA Action Plans
4. Evaluation ERA-NET Cofund
5. ERA Progress Report 2016 (forthcoming)
6. Evaluation package Art.185 as part of H2020 interim evaluation

# Analysis National Action Plans (Priority 2a – Optimal transnational cooperation)

**Top Action Priority:** *"Improving alignment within and across the Joint Programming Process and the resulting initiatives and speeding up their implementation"*

*In total 70 actions are implemented and/or announced in view of strengthening the Joint Programming Process;*

*The measures can be grouped as follows*

- Communication and information measures
- Governance and coordination measures within the R&I system
- Outreach measures towards smart specialisation and sectorial policies
- Dedicated funding measures
- Harmonisation measures with regard to funding rules

# ERA Progress Report 2016

**Headline Indicator for priority 2A: GBARD (EUR)**  
 allocated to Europe-wide transnational, as well as bilateral or  
 multilateral, public R&D programmes per FTE researcher in  
 the public sector (2010-2014)

Country	Weight in GDP	Score (2014)	CAGR (2010-14)	Lead/Gap to EU-28 CAGR	Trendline (2007-14)
<b>EU-28</b>		<b>2 507</b>	<b>7.8%</b>	<b>N/A</b>	
Cluster 1	25.9%	10 923	5.0%	-2.8	
Cluster 2	36.6%	3 642	5.4%	-2.4	
Cluster 3	36.2%	1 140	15.0%	7.2	
Cluster 4	1.2%	63	-22.8%	-30.6	

# ERA Progress Report 2016

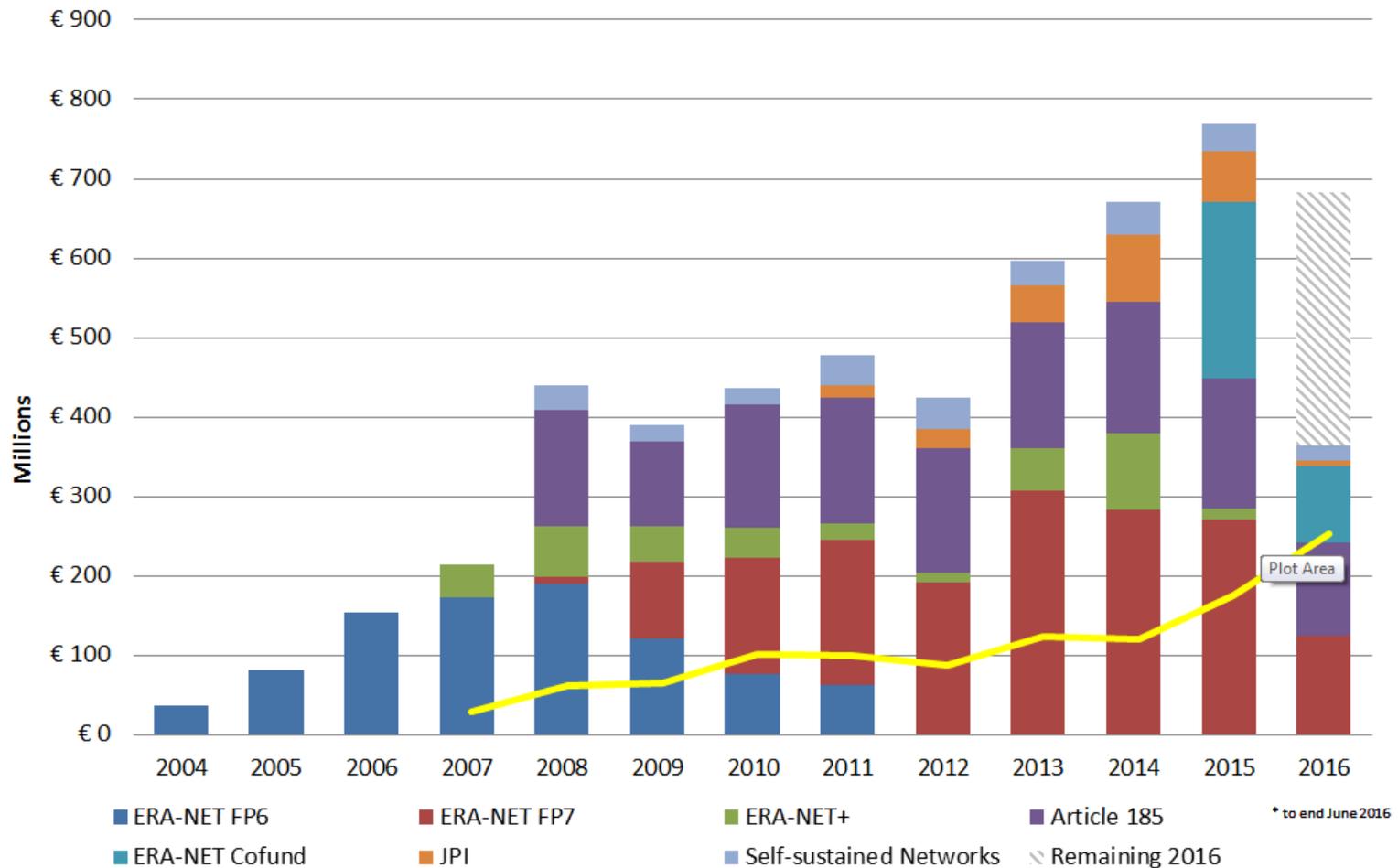
**Complementary Indicator für priority 2A:** Member State participation (EUR) in Public-to-Public collaborations per FTE researcher in the public sector (2012-2014)

Country	Weight in GDP	Score (2014)	CAGR (2012-14)	Lead/Gap to EU-28 CAGR	Trendline (2012-14)
<b>EU-28</b>		<b>512</b>	<b>42.1%</b>	<b>N/A</b>	
Cluster 1	3.6%	2 836	123.8%	81.8	
Cluster 2	14.6%	1 176	94.7%	52.6	
Cluster 3	81.8%	302	66.9%	24.8	
Cluster 4	N/A	N/A	N/A	N/A	

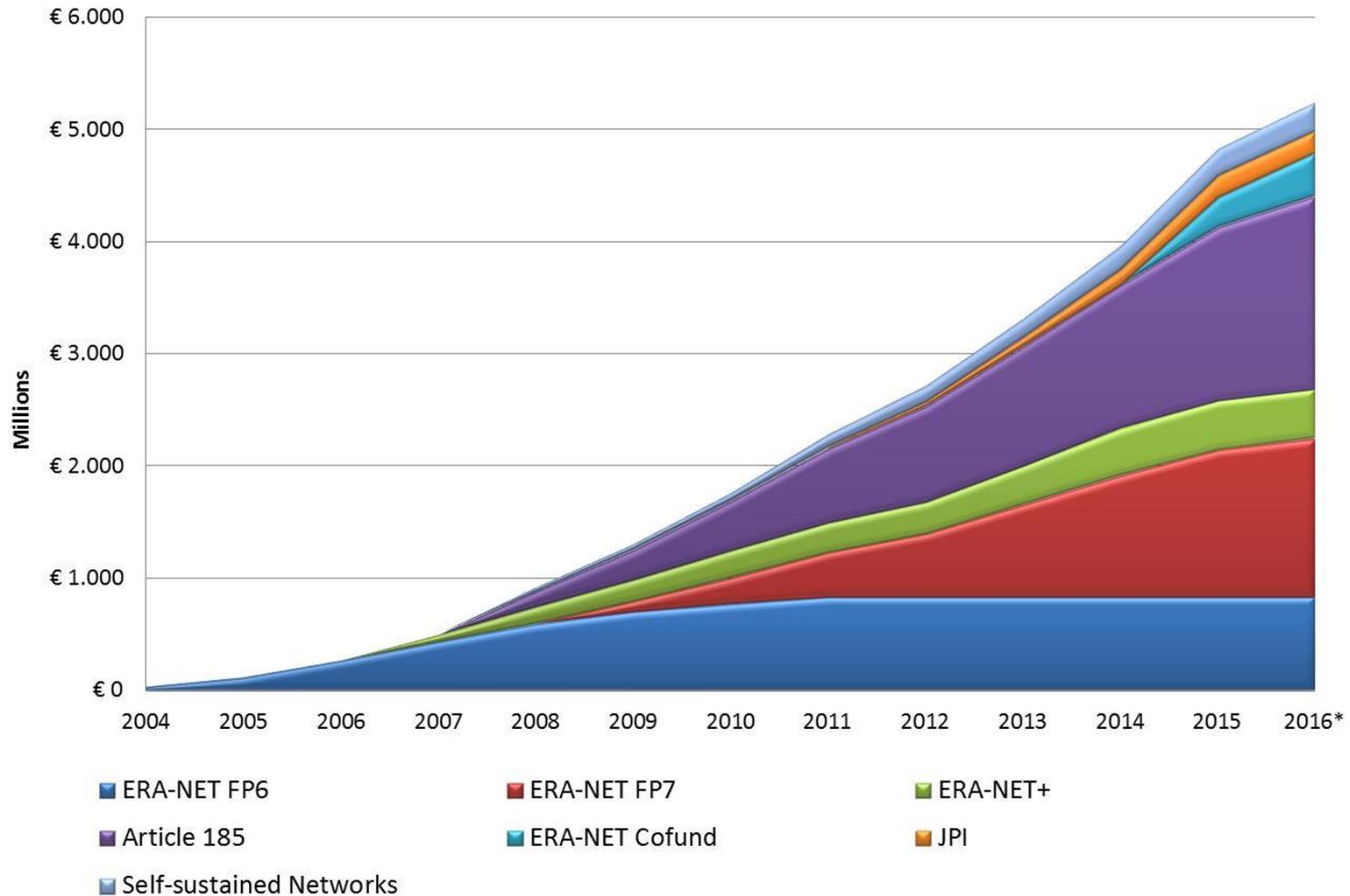
# Performance to date - facts and figures ...

*.... thanks to ERA-LEARN and  
to all networks providing data!*

# Annual Investment in P2Ps



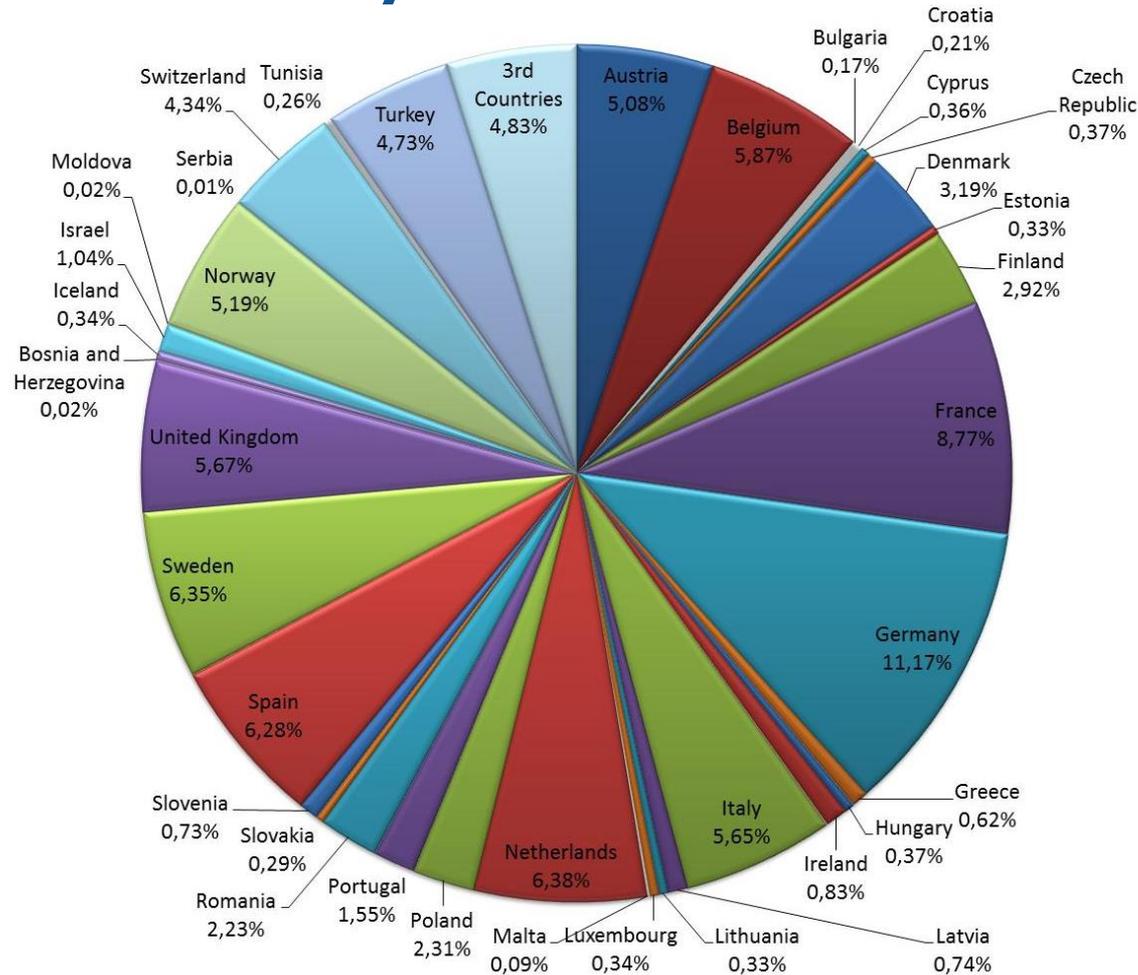
# Cumulative investment in P2Ps



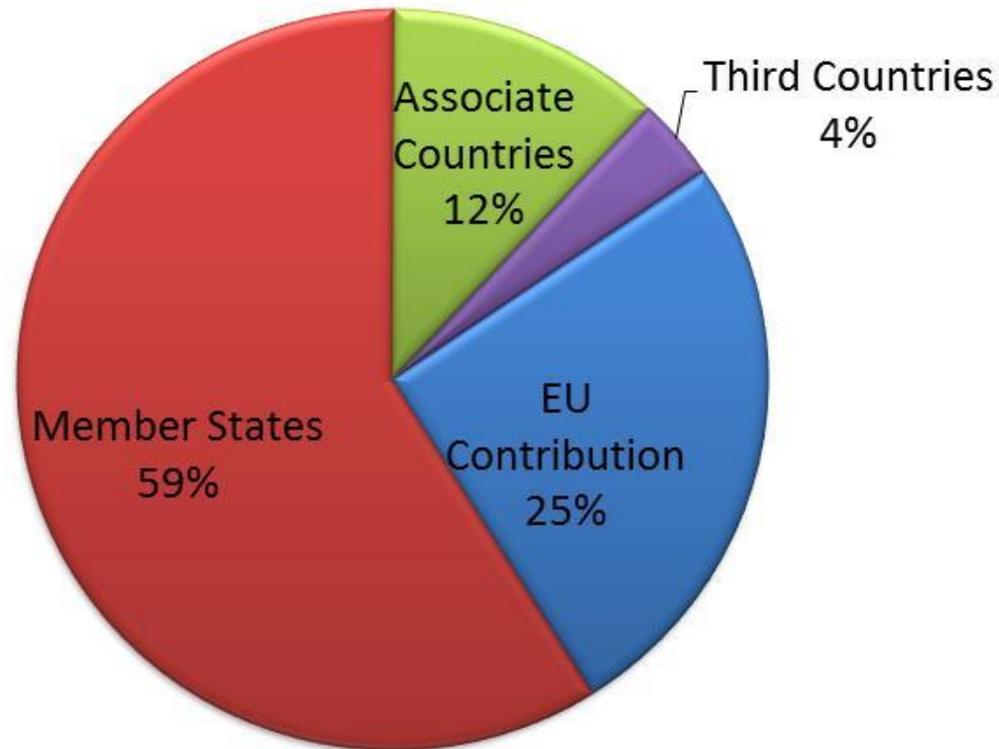


European  
Commission

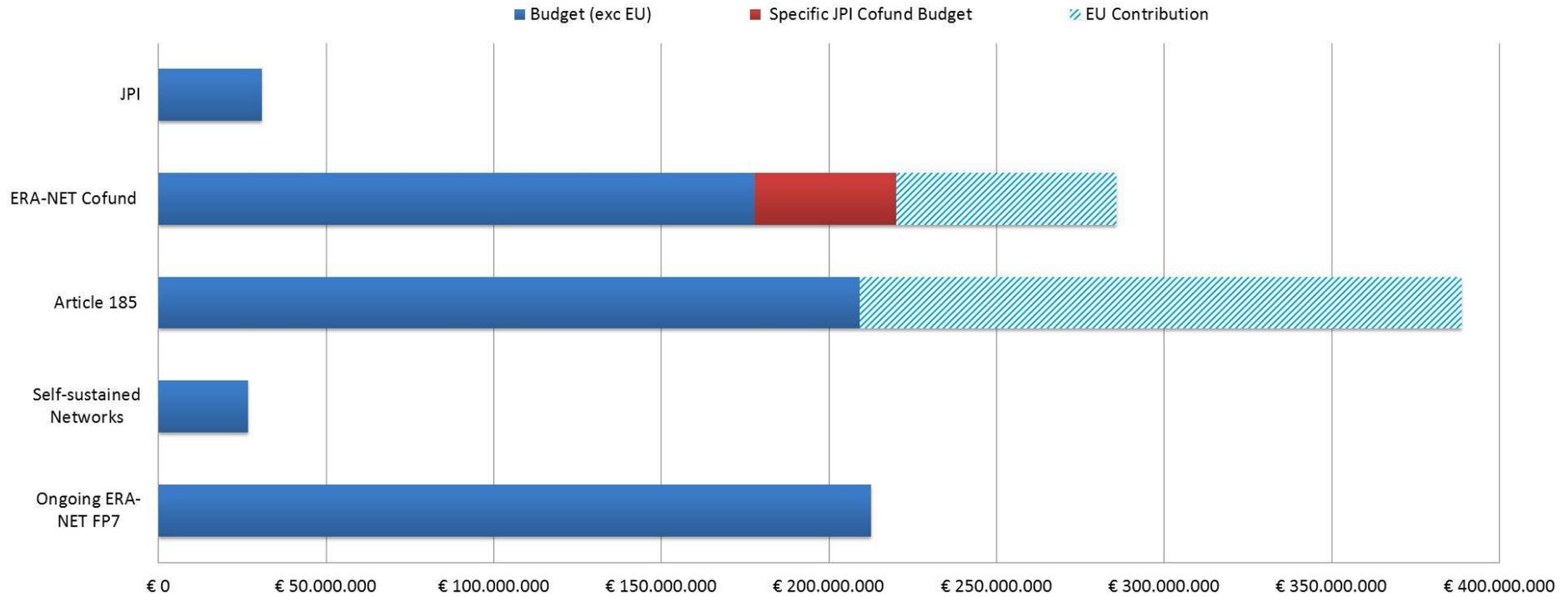
# Distribution of Pre-Call Committed Budget for all calls 2015/16



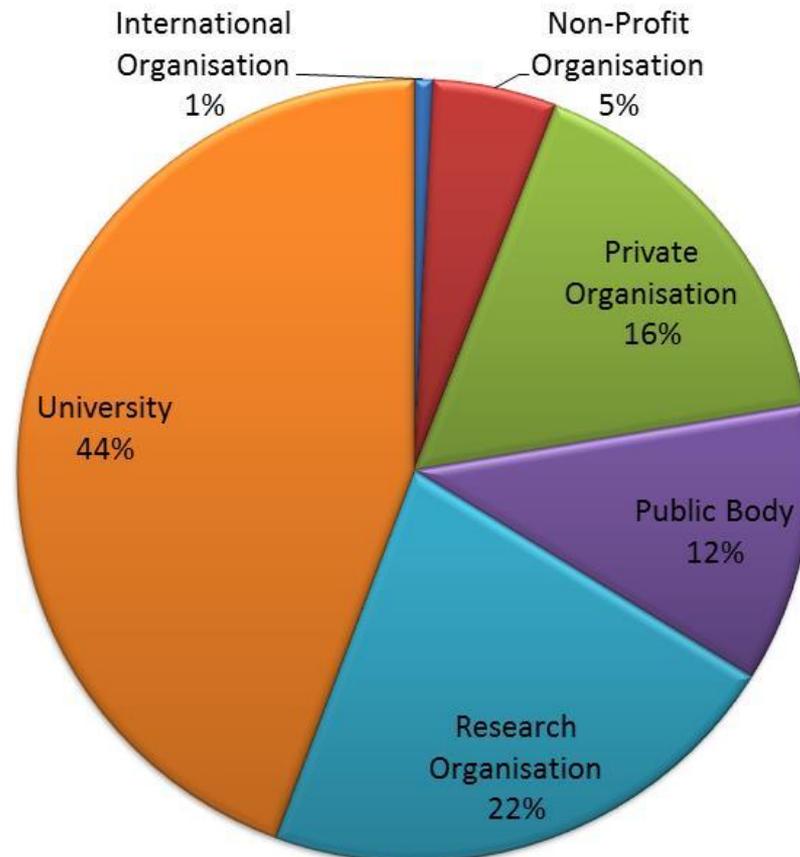
# Distribution of Pre-Call Committed Budgets for all calls 2015/16



# Call Budgets: 2015/2016



# Requested Grant, by type of Beneficiary ERA-NET Cofund only



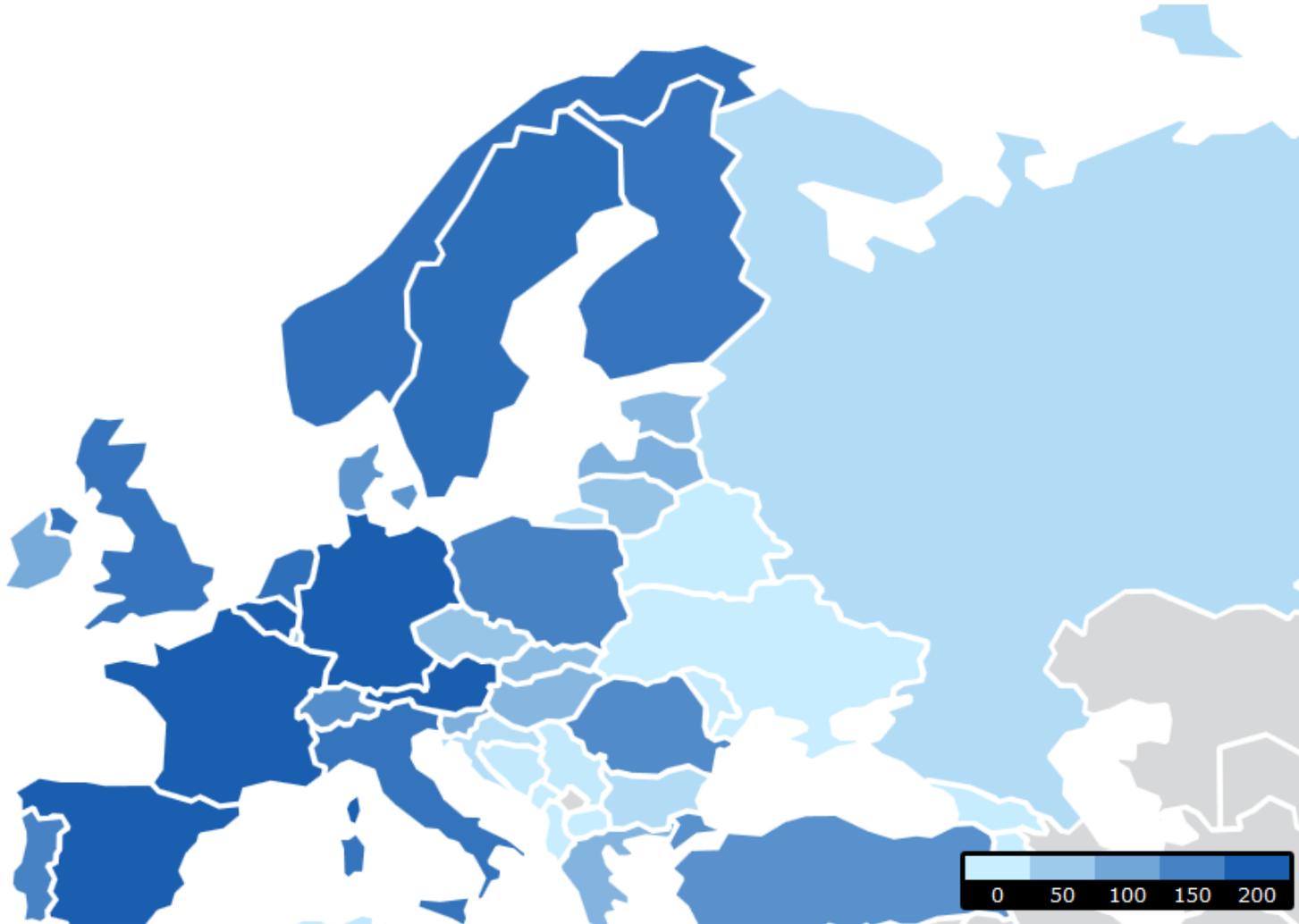
## Projects funded by P2Ps

- Average public funding < Euro 1 million
  - In many networks focusing on research of public organisations / universities
  - But also very targeted networks:
    - SMEs (Eurostars, Manunet)
    - National Metrology Institutes
    - ...
- ➔ **Sufficient distinction/complementarity to national projects and FP projects?**
- ➔ **Innovation dimension?**

## P2Ps and inclusiveness– ERA-NET Cofund 2014/15

	FP7	H2020
Number of countries per call	10	15
Average call budget incl. EU [Euro million]	8,8	29,0
Share of EU13		
- participation	13%	20%
- budget	5%	5%
H2020 comparison		
- participation		8,5%
- Budget		4,5%

## P2P participation - Number of calls



# Internationalisation of P2Ps

The "Open to the world" Strategy of Commissioner Moedas fully applies to Public-Public Partnerships:

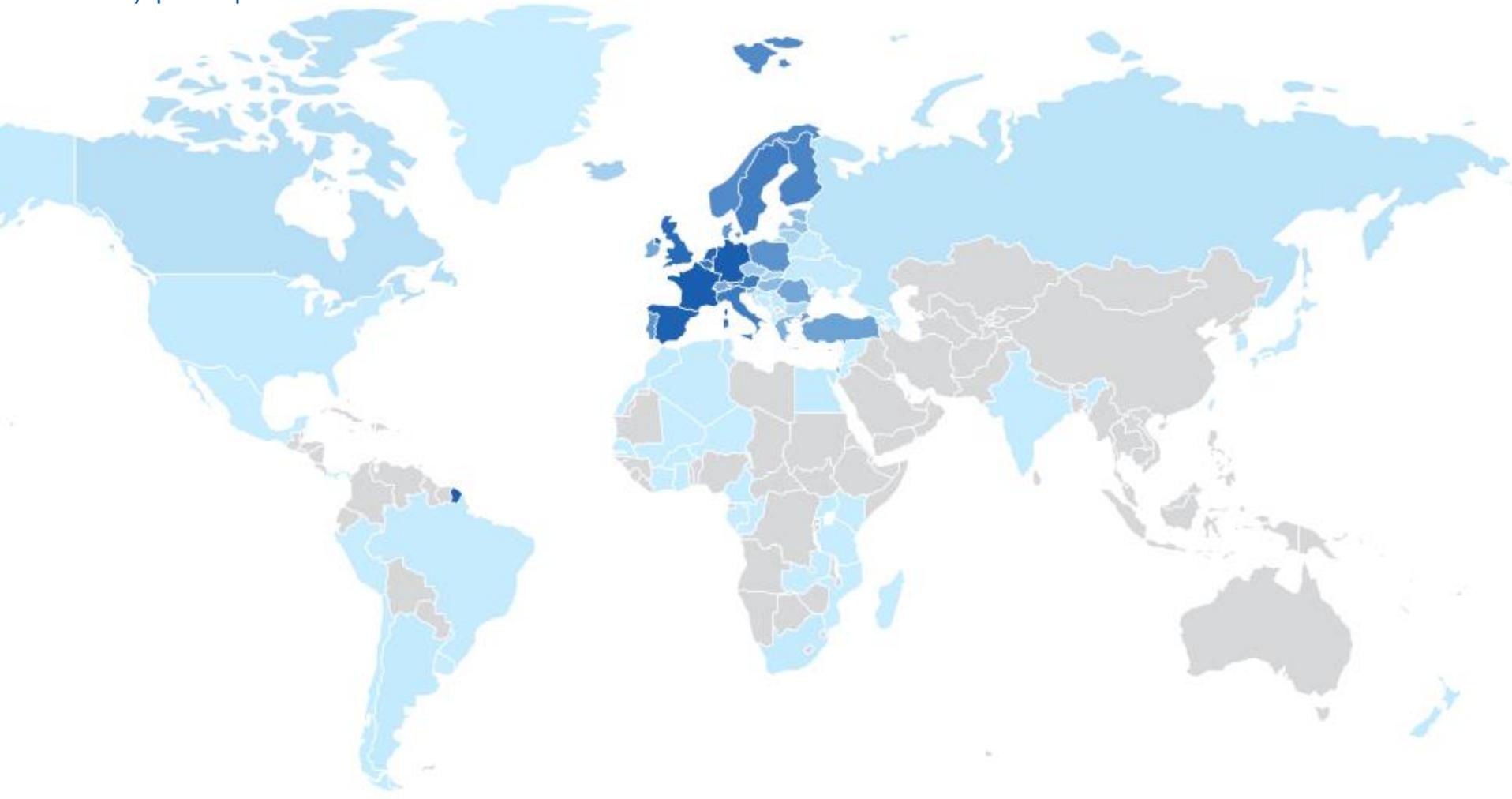
- Many initiatives establish a strong collaboration and partnership with other regions of the world, e.g.:
  - EDCTP Art.185 on clinical trials with sub-Saharan Africa;
  - ERA-NET LAC to underpin the EU-CELAC policy dialogue;
- JPIs and ERA-NETs collaborate with more than 70 third countries.
- By doing so, they demonstrate their potential to set global Research and Innovation agendas, contribute to increasing the visibility of the European research community and involve more partners in advanced, emerging and developing countries.

**➔ estimate: international participation in P2P networks is twice as high as in H2020 projects**



European  
Commission

## Country participation in P2Ps



# Performance to date – qualitative assessment Lund declaration 2015

*"Despite an ever-greater need for efficiency and effectiveness, resources across Europe aimed at societal challenges are still spent sub-optimally. This makes it difficult to bring together a truly critical mass of resources for the societal challenges we are addressing today".*

*"Europe needs clear political commitment to step-up efforts to align strategies, instruments, resources."*

# Performance to date – qualitative assessment Joint Programming evaluation

*"...the Joint Programming Process does not yet have sufficient Commitment from national stakeholders to achieve its potential.*

*Whilst the short term recommendations should improve the situation, it seems unlikely that all of the current JPis will be able to secure sufficient national commitment to becoming truly joint programmes. Since there is not yet any procedure or milestone to change this situation then there is a long term risk to the JPI portfolio beyond the current Framework Programme".*

# Performance to date – follow up Joint Programming evaluation - examples

- National ERA actions plans address JP issues
- GPC Working Group on Long-term strategies of Joint Programming
- Mutual Learning Exercise (MLE) on alignment and interoperability
- Regular meetings of JPI chairs to address common issues
- Continuation of ERA-LEARN 2020
- DG RTD develops clear Conditions and Criteria under which JPIs [and ERA-NETs] can be supported for the remainder of Horizon 2020

# Performance to date – qualitative assessment ERA-NET Cofund evaluation

*"Coordination needs to be improved among different ERA-NET Cofund actions in similar areas, and between ERA-NET Cofund actions and other instruments and initiatives supporting public-public or public-private partnerships ..."*

*"ERA-NET Cofund actions are not deeply embedded in national policy portfolios and/or national strategies possibly reflecting Member States' lack of ambition to fully realise the instrument's potential."*

## Strengths

- There is the potential for high European Added Value (EAV) and National Added Value (NAV) due to the more efficient and effective use of public resources;
- There has been a clear contribution to the better design and implementation of sectoral policies aligned towards societal challenges;
- Participating countries invest significant amounts in P2Ps and consider that they offer effective ways of supporting cross-border collaboration;
- There have been significant streamlining, leverage and alignment effects as a consequence of the exchange of good practice, notably in terms of mobilising and aligning national resources with initiatives with similar objectives in other countries and with EU level objectives;
- The potential for cooperation with international partners both within and outside of Europe has been enhanced.

## Weaknesses

- Despite their potential benefits, the long-term commitment of national funds to P2Ps is limited by budgetary and legal constraints;
- Although there have been alignment effects, the strategic positioning of P2Ps between national initiatives and EU initiatives is not always clear;
- The focus of P2Ps to date has been on competitive funding, which is in short supply in many countries, and the potential for aligning and integrating institutional support mechanisms remains relatively untapped (apart from the Article 185 on metrology);
- Many potential national partners in Joint Programming P2Ps lack the institutional, organisational and strategic management capacities to participate effectively;
- Weak interactions in some countries between national research communities and other actors located within national innovation systems (e.g. public authorities, industry and other end users) limit the potential for downstream impacts.

# Performance to date – key issues for improvement

1. Aims of initiatives
2. Scope of initiatives
3. Governance structures
4. Financial arrangements

# Aims of initiatives – critical aspects

Distinction between initiatives:

- (a) specifically aimed at stimulating joint activities between the EU and Member States;
- (b) primarily aimed at promoting joint activities between Member States alone. Scope of initiatives

Choices concerning instruments are made prior to mutual agreement concerning the aims of the initiative

**→ From 'instrument-based' planning to 'ambition-based' planning**

Lack of a clear, shared perception of the purpose of joint activities and their strategic positioning within the policy portfolios of both the EU and Member States.

**→ What contribution are expected to MS/EU goals?**

## Aims and Objectives

*There is a clear need for mutually agreed aims and objectives if performance is to be improved*

- Do you agree with the hypothesis?
- Are there some areas of Joint Programming that suffer from poorly specified or conflicting aims and objectives?
- How could this be avoided?
- What steps need to be taken now?

# Scope of initiatives – critical aspects

## **Current scope of the different initiatives is very broad!**

- basic-, applied- or technology-driven; sector- or regionally-focused; thematic or problem-oriented in nature, including those oriented towards societal challenges.
- diverse set of target groups and potential impact areas, generating knowledge impacts, innovation impacts, organisational impacts, structural impacts and policy impacts.

## **How does this fit with the EU policy focus on tackling societal challenges?**

- Support a multitude of topics vs. spreading resources too thinly?
- Support to networks vs. co-investment?

## Scope and Focus

*A greater focus on the scope of initiatives is needed to make the best use of resources and avoid obvious barriers, traps and pitfalls*

- Do you agree with the hypothesis?
- Are there some areas of Joint Programming where the scope is too broad or unfocused?
- How could this be avoided?
- What steps need to be taken now?

# Governance structures – critical aspects

- Governance structures are highly varied and often complex, with the EU playing different roles in different initiatives
  - Often dissociated from the governance of the Framework Programme
  - Considerably different from governance at MS level
- 
- ➔ Need for a better articulation between JP and FP governance?
  - ➔ Increase synergy between the interests of the EU and the Member States?
  - ➔ Position in the overall governance of European research and innovation policy?

## Governance

*Clear leadership, lines of responsibility and rules of procedure are essential to sound governance*

- Do you agree with the hypothesis?
- Are there some areas of Joint Programming where governance is weak or over-complex?
- How could this be avoided?
- What steps need to be taken now?

# Financial arrangements – critical aspects

Lack of sustained commitment of substantial resources and effort over long periods of time

- how to ensure adequate long-term commitments?
- Today only ensured on an annual basis
- National commitments to JPIs beyond joint calls not visible/recorded
- Levels of commitment to joint calls vary considerably across countries and stages of implementation

**Stability of legally-binding financial commitments**



**Volatile finances for competitive R&I in national settings**

## Finance

*Better mechanisms are needed to ensure more stable, longer-term financial arrangements*

- Do you agree with the hypothesis?
- Are there some areas of Joint Programming where lack of secure finance has hindered progress?
- How could this be avoided?
- What steps need to be taken now?

## Other areas

- Are there areas of concern that we have not yet discussed?
- What are they?
- What steps need to be taken now?

# Performance to date – key issues for improvement

1. Aims of initiatives
2. Scope of initiatives
3. Governance structures
4. Financial arrangements
5. Impacts

# Aims of initiatives – critical aspects

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→ **What contribution are expected to MS/EU goals?**

## Aims and Objectives – pointers from MS WS

- Need to clarify / redefine aims and objectives of P2Ps /Joint Programming in general
- JPIs as a knowledge hub and not as a call machine?
- Aims and objectives of instruments/type of initiatives vs. those of the individual networks
- How to articulate them in the context of European and national R&I strategies?
- Connectivity between P2P agendas / objectives and FP?
- Need to have a clear intervention logic (problem definition, objectives, actions, impacts)
- Complexity of a universe of multiple initiatives

# Scope of initiatives – critical aspects

## **Current scope of the different initiatives is very broad!**

- basic-, applied- or technology-driven; sector- or regionally-focused; thematic or problem-oriented in nature, including those oriented towards societal challenges.
- diverse set of target groups and potential impact areas, generating knowledge impacts, innovation impacts, organisational impacts, structural impacts and policy impacts.

## **How does this fit with the EU policy focus on tackling societal challenges?**

- Support a multitude of topics vs. spreading resources too thinly?
- Support to networks vs. co-investment?

## Scope of initiatives - pointers from MS WS

- Flexibility and multiplicity vs. need to focus and concentrate scarce resources
- Current range of P2P instruments allows sufficient flexibility
- Scope of networks ↔ scope of "contracts" providing support
- Scope of networks ↔ scope of the FP priority they are linked to
- Maintain current focus on societal challenges ↔ priority for a smaller number of challenges
- Flexibility of MS driven topic selection ↔ expectation towards funding from FP

# Governance structures – critical aspects

- Governance structures are highly varied and often complex, with the EU playing different roles in different initiatives
  - Often dissociated from the governance of the Framework Programme
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- ➔ Need for a better articulation between JP and FP governance?
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  - ➔ Position in the overall governance of European research and innovation policy?

# Governance structures - pointers from MS WS

- Keep it simple
- Role of Programme committees, lack of link to P2P (in particular JPI) knowledge?
- Keep it as it is  $\leftrightarrow$  stronger role of JPIs
- Everyone agreed on the need to improve coordination, collaboration and coherence, but no consensus on to how
- Expectations from the P2P community are high ...

... but not easy to fulfil.

# Financial arrangements – critical aspects

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- how to ensure adequate long-term commitments?
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**Stability of legally-binding financial commitments**



**Volatile finances for competitive R&I in national settings**

# Financial arrangement - pointers from MS WS

- Long term financial commitments remain difficult ...
- The easy way out proposed: more support from the FP
- Strong request to better support network and other joint activities...
- The use of Structural Funds for P2Ps needs to be redesigned
- Need to increase efficiency – too resource intensive!
- Steady increase in investment from Participating States, yet often underspending of earmarked budgets and low success rates for some countries

## Impacts - pointers from MS WS

- Full agreement on the need to demonstrate the impacts of P2Ps
  - At European level
  - At national level
  - At network level
  - At project/activity level
- Crucial to make value of P2Ps recognised
- Impacts as a driver for formulating future strategies of P2Ps, or of the role of P2Ps in the context of achieving certain missions!

# Thank you for your attention!

## Contact

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