



International collaboration in Horizon 2020

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Research and
Innovation



New approach to international cooperation

Horizon 2020: state of play



EU International Strategy for Research & Innovation

- Global Challenges
- International Science
- Innovation Opportunities

from **Framework Programme 7** (2007-2013)
to **Horizon 2020** (2014-2020)

Drivers of international cooperation in H2020

- **Need to access knowledge** produced outside Europe and gain access to new **markets**
- **Need to promote** Europe as an **attractive location** and **partner** for research and innovation
- **Need to join forces** globally to tackle **global challenges**





International cooperation in FP7: taking stock

High level of international cooperation

➤ "Bottom up":

- EU 27, plus 13 associated countries and over 100 "*3rd countries*"
- eg: 42 African countries involved by end-2012:
~1000 participations in ~400 FP7 research projects, mainly (73%)
Health, Environment and Food, Agriculture & Biotechnology.
- project database: <http://cordis.europa.eu/projects/>

➤ "Top down":

- *EDCTP*: HIV/AIDS, malaria & tuberculosis, with African countries
- *ITER*: nuclear fusion energy reactor (with Japan, Russia, USA, Korea...)

International participation in FP7





EDCTP

- **European and Developing Countries Clinical Trials Partnership (EDCTP)** partners: 14 EU Member States, Switzerland & Norway, and sub-Saharan African countries, tackling **HIV/AIDS, tuberculosis and malaria**.
- By end-2012: approximately €356 million (incl. co-funding) for 196 projects (57 clinical trials) and over 300 fellowships.
- Total EU contribution to EDCTP is €200 million.
- Plans for EDCTP-2...

www.edctp.org

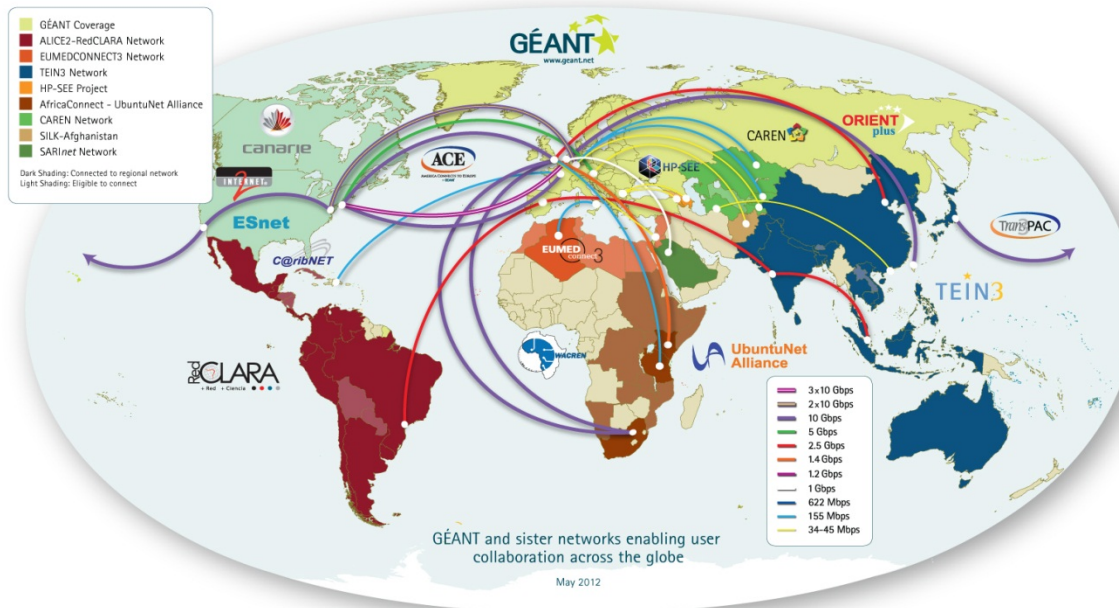


European Commission

GEANT

A hub for research and education IT networks, funded by the EU (partially through development cooperation instruments)

GEANT At the Heart of Global Research Networking





H2020: a new strategy for international cooperation in research and innovation

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

- Three main **objectives**:
 - Strengthen EU's excellence and attractiveness in R&I, as well as its industrial & economic competitiveness
 - Tackle global societal challenges
 - Support the EU's external policies
- Combining **openness** with better **targeted actions**
- Strengthened partnership with **Member States**
- Stronger contribution of R&I to **external policies of EU**
- see: <http://ec.europa.eu/research/iscp/index.cfm?pg=strategy>



Dual approach

▪ Openness:

- Horizon 2020 open to participation from across the world
- Revision of list of countries receiving automatic funding
 - *BRIC countries + Mexico will no longer receive automatic funding*
 - *all other countries: no change.*

▪ Targeted actions:

1. *Thematic targeting*: identifying areas for international cooperation on basis of EU policy agenda
2. Differentiation by *country/region* to identify partners for cooperation

➔ ***multi-annual roadmaps* for cooperation with key partners**



Thematic targeting

- Starting point: **Horizon 2020** societal challenges and enabling technologies
- **Identify areas** based on criteria of EU and potential partners:
 - Common interest and mutual benefit
 - Research and innovation capacity
 - Markets opportunities
 - Contribution to international commitments, e.g. MDGs or Rio+20
 - Frameworks in place to engage in cooperation
 - *Taking into account: reciprocal access, coordination with Member States, possible deficiencies in third country IPR systems*
- Support: **horizontal international cooperation activities**
(in Horizon 2020: Challenge 6; follow-up to Capacities INCO programme)



Multi-annual roadmaps for cooperation with countries/regions

- **Enlargement and neighbourhood countries, and EFTA**
 - Focus on alignment with the European Research Area (ERA)
 - Support enlargement and neighbourhood policies (support to developing a common 'Knowledge and Innovation Space')
- **Industrialised countries and emerging economies**
 - Focus on competitiveness
 - Tackle global challenges
 - Business opportunities and access to new markets
- **Developing countries**
 - Support development policy by building partnerships contributing to sustainable development
 - Address relevant challenges (e.g. poverty-related diseases, energy, food security, climate change, biodiversity...)

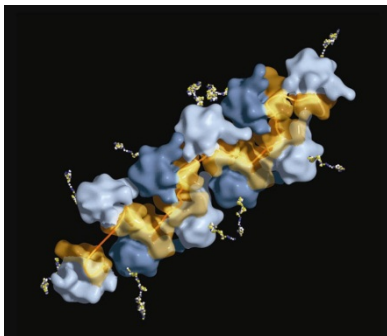


Coordination

- **Coordination with other policies and instruments of EU**
 - external policies (including development policy)
 - other policies with strong international dimension, e.g. trade
 - external dimension of other Union policies, e.g. education
- **International organisations and multilateral fora**
 - shaping global agendas: UN and OECD bodies, Carnegie forum...
 - strengthen links with intergovernmental organisations and initiatives: COST, EUREKA, EIROForum

Promoting common principles

- Promote **level playing field** for international cooperation
- **Mutually agreed principles** to build trust and confidence
- **Issues:** research integrity and ethics, peer review, role of women in science, research careers, fair and equitable treatment of IPR, open access, ...



Partnership with Member States

- Union activities must **add value** and **complement** those of Member States
- Acknowledge progress made through **SFIC**
- From national considerations to **European shared activities**:
 - associate MS to development of EU roadmaps
 - prepare joint European Union-MS roadmaps
 - common guidelines for international cooperation third countries (e.g. visa)





New Strategy - Key Novelties

- **General opening** of Horizon 2020, but with more **restricted approach to automatic funding**
- **Targeted activities** with **scale and scope** to achieve impact
- **Multi-annual roadmaps** for key partner countries/regions
- Stronger partnership with EU **Member States**
- **Common principles** for conduct of international cooperation
- Stronger role for EU in **international organisations** and **multilateral fora**
- Strengthened **implementation, governance, monitoring and evaluation**



Horizon 2020 - Structure

I - Excellent science

- 1. The European Research Council*
- 2. Future and Emerging Technologies*
- 3. Marie Curie actions on skills, training and career development*
- 4. European research infrastructures (including eInfrastructures)*

II - Industrial leadership

- 1. Leadership in enabling and industrial technologies*
- 2. Access to risk finance*
- 3. Innovation in SMEs*

III Societal challenges

- 1. Health, demographic change and wellbeing*
- 2. Food security, sustainable agriculture, marine research & the bio-economy*
- 3. Secure, clean and efficient energy*
- 4. Smart, green and integrated transport*
- 5. Climate action, resource efficiency and raw materials*
- 6. Inclusive, innovative and secure societies*



Horizon 2020 - Simplification

Summary:

- ***Single set of simpler and more coherent participation rules***
- ***New balance between trust and control***
- ***Fewer funding rates (just 2) for different beneficiaries & activities***
- ***Replacing the four methods to calculate overhead or "indirect costs" with a single flat rate***
- ***Major simplification under forthcoming financial regulation***
- ***Successful applicants to get working more quickly:***
*Target reduction of average time to grant by 100 days
(current average of around 350 days under FP7)*



Strategic Programme: focus areas

- *Personalising health and care for quality of life*
- *Sustainable food security*
- *Blue growth: unlocking the potential of oceans*
- *Smart cities technologies*
- *Competitive low-carbon energy*
- *Resource efficient transport*
- *Waste: a resource to recycle and reuse*
- *Water innovation: boosting its value for Europe*
- *Overcoming the economic, financial, political & social crisis: new strategies and governance structures*
- *Disaster-resilience: safeguarding society*
- *Digital security*



Priorities for ICT funding in H2020

- *New generation of components and systems (including micro/nano-electronics and photonics, components and embedded systems)*
- *Next generation computing, advanced computing systems and technologies*
- *Infrastructures, technologies and services for the future internet*
- *Content technologies and information management, including ICT for digital content and creativity*
- *Advanced interfaces and robots/robotics*



Instruments in Horizon 2020

- ***collaborative projects***
(3rd country participation required and/or taken into account in evaluation)
- ***networking*** between existing projects
- ***joint initiatives*** of Union and third countries:
 - *bilateral coordinated/joint calls*
 - *multi-lateral initiatives*
 - *contribution of Union to third country/international organisations*
 - *ERA-Net/Art185*
- ***also in support of programme level cooperation***
- ***accompanying measures for networking / dialogue***
(eg: CAAST-NET, ERAfrica, IST-Africa, EuroAfrica-ICT ...)
- ***Information gathering from multiple sources***
(ERAWATCH, OECD, UNESCO, EU Delegations and Science Counsellors...)



Strategic Programme 2014-2016

- *Strategic Programme is a novelty of Horizon 2020*
- *guidance for implementation of first 3 years of Horizon 2020 by **focusing resources on those areas where maximum impact can be achieved***
- *top priority: **exiting the crisis and tapping into new sources of growth***
- ***Elements of Strategic Programme:***
 - *Focus areas (pooling resources on key areas for future jobs and growth)*
 - *Leverage & boost engagement of industry (PPPs, dedicated SME instrument, Eurostars)*
 - *Access to finance*
 - *Knowledge and skills (Marie Curie, ERC)*
 - *Enabling technologies*
 - *International Cooperation*
 - *Others: research and innovation divide, partnership with Member States, ...*



Work programme preparation

- *work programme development guided by **Strategic Programme***
- *most likely: **one focus area = one dedicated call**, complemented by other calls to cover parts of Horizon 2020 not in focus areas*
- ***two year** work programmes*
- ***Groups of Directors** to steer work programme development (Directorate D involved for International Cooperation aspects)*
- *first draft work programmes by **summer 2013***
- ***First calls: January 2014** (tbc)*
- *For information: <http://ec.europa.eu/research/horizon2020>*



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International Cooperation Partner Countries List

EU International Strategy for Research and Innovation

Global Challenges
International Cooperation
Innovation Opportunities

The policy framework for international cooperation in research and innovation

On 14 September 2012, the Commission adopted a Communication entitled ['Enhancing and focusing EU international cooperation in research and innovation: a strategic approach'](#) (COM(2012) 497). The Communication sets out a new strategy for international cooperation in research and innovation, in particular with a view to implementing Horizon 2020. The Communication is accompanied by a Staff Working Document providing further background information and analysis.

Communication

[BG](#) 263 KB, [CS](#) 205 KB, [DA](#) 60 KB, [DE](#) 117 KB, [EL](#) 257 KB, [EN](#) 110 KB, [ES](#) 113 KB, [FR](#) 115 KB, [IT](#) 116 KB, [LT](#) 211 KB, [LV](#) 222 KB, [MT](#) 216 KB, [NL](#) 116 KB, [PL](#) 222 KB, [RO](#) 239 KB, [SK](#) 199 KB, [SL](#) 190 KB, [SV](#) 110 KB

Questions and answers

- [What are the core principles of the new strategy?](#)
- [Why a new strategy?](#)
- [How will priority areas and partners be selected for targeted activities?](#)
- [What instruments will be used to implement the strategy?](#)
- [What are the next steps?](#)

Thank you

<http://ec.europa.eu/research/iscp/index.cfm?lg=en&pg=strategy>

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