RESEARCH AND INNOVATION IN THE EU

UAB, BARCELONA, 27 SEPTEMBER 2019

CONTENT OF THE PRESENTATION

- Part: I – Introduction to Research & Innovation and Education policies and their funding opportunities in the EU

    A. Research and Innovation

    B. Education

- Part II - Practical overview of policy influence in Brussels and developing a new EU research framework programme

PART I: INTRODUCTION TO RESEARCH & INNOVATION AND EDUCATION POLICIES AND THEIR FUNDING OPPORTUNITIES IN THE EU

A. Research and Innovation

- Funding programme: Horizon 2020

B. Education

- Funding programme: Erasmus +

A. RESEARCH AND INNOVATION IN THE EU

500 million people - 28 countries - a single market*

- 7% of the World's population

- 24% of world expenditure on research

- 32% of high-impact publications

- 32% of patent applications

*Free movement of people, goods, services, capital and knowledge

A. RESEARCH AND INNOVATION IN THE EU

1. Why do we need a European research and innovation policy?

- R+I contribute to making Europe a better place: improve healthcare, transport digital services, new products and services
- To improve competitiveness, boost jobs and growth
- To address global challenges: demographic change, global warming, etc.
- To coordinate actions at European scale for greater impact vs 28 times funding the same research
- To create a European network of research excellence

Furthermore, Research & Technological Development is based in the Treaties of the EU…

A. RESEARCH AND INNOVATION IN THE EU

What's the legal base for R&I in the EU?

Three categories of EU competence:

- Exclusive competence (Article 3 TFEU)

- Shared competence (Article 4 TFEU)

- Competence to support, coordinate or supplement actions by Member States (article 6 TFEU)

- In addition: Competence to provide arrangements within which EU Member States must coordinate policy
(see Article 5 TFEU)

A. RESEARCH AND INNOVATION IN THE EU

What's the legal base for R&I in the EU?

- ➢ **Exclusive competence ([Article 3 TFEU](#))**
- ▪ [customs union](#)
- ▪ the establishing of the [competition](#) rules necessary for the functioning of the internal market
- ▪ [monetary policy](#) for the member states whose currency is the euro
- ▪ conservation of marine biological resources under the [common fisheries policy](#)
- ▪ [common commercial policy](#)
- ▪ concluding international agreements

A. RESEARCH AND INNOVATION IN THE EU

What's the legal base for R&I in the EU?

➢ **Shared competence** (Article 4 TFEU)

- research, technological development and space

- internal market

- social policy, limited to the aspects defined in the TFEU

- economic, social and territorial cohesion

- agriculture and fisheries, excluding the conservation of marine biological resources

- environment

- consumer protection

- transport

- trans-European networks

- energy

- area of freedom, security and justice

A. RESEARCH AND INNOVATION IN THE EU

What's the legal base for R&I in the EU?

➢ **Competence to support, coordinate or supplement actions of the Member States** ([Article 6 TFEU](#))

- protection and improvement of [human health](#)

- [industry](#)

- [culture](#)

- [tourism](#)

- [education, vocational training, youth](#) and [sport](#)

- [civil protection](#)

- administrative cooperation

Content of the TFEU

Lisbon, December 2007. Photo: © euobserver.com

A. RESEARCH AND INNOVATION IN THE EU

What's the legal base for R&I in the EU?

- **Legal base for EU policies and internal action: Treaty of Functioning of the EU (TFEU),** consolidated version of 2012
- **TITLE XIX**
- **RESEARCH AND TECHNOLOGICAL DEVELOPMENT AND SPACE**
- Read Articles 179 – 190

A. RESEARCH AND INNOVATION IN THE EU

A brief history of EU Research Policy

- **1950s**: Provisions for research are included in the European Coal and Steel Community (ECSC, 1951) and European Atomic Energy Community (Euratom, 1957) treaties.

- **1957**: The treaty setting up the European Economic Community (the EEC or 'common market') leads to a number of research programmes in areas considered priorities at the time, such as energy, the environment and biotechnology.

- **1983**: The European strategic programme on research in information technology (Esprit) launches a series of integrated programmes in information technology research, as well as development projects and industrial technology transfer measures.

- **1984: The first 'framework programme (FP)' for research is launched. These programmes will become the EU's main funding instrument for research. FP1 focuses on research in biotechnology, telecommunications and industrial technology**.

- **1986**: Research becomes a formal Community policy, with a specific chapter in the Single European Act. The objective is to 'strengthen the scientific and technological basis of European industry and to encourage it to become more competitive at international level'.

- **2000**: **The EU agrees to work towards a European research area (ERA): a unified research area open to the world and based on the internal market, in which researchers, scientific knowledge and technology can circulate freely.**

- **2007**: The European Research Council (ERC) is created as part of the seventh framework programme (FP7). Its mission is the support of frontier research across all fields, on the basis of scientific excellence.

- **2008**: The Budapest-based European Institute of Innovation and Technology is created: the first EU initiative to fully integrate all three sides of the 'knowledge triangle' (higher education, research and business) through support for knowledge and innovation communities. It becomes operational in 2010.

- **2010:** The EU launches the innovation union, an initiative consisting of more than 30 action points aimed at improving conditions and access to finance for research and innovation in Europe. The innovation union is placed at the heart of the Europe 2020 strategy to ensure that innovative ideas can be turned into products and services creating growth and jobs.

- **2014**: Horizon 2020, the biggest EU research and innovation framework programme ever, is launched. A major financial instrument for implementing the innovation union, it will run from 2014 to 2020 with a budget of almost €80 billion. Horizon 2020 is part of the drive to create new growth and jobs in Europe.

https://europa.eu/european-union/sites/europaeu/files/research_en.pdf

A. RESEARCH AND INNOVATION IN THE EU

2. How does the EU support Research and Innovation?

- Video R & I in the EU (1:48)

A. RESEARCH AND INNOVATION IN THE EU

2. How does the EU support Research and Innovation?

Evolution of Framework Programme funding:

ID	Framework Programme	period	Budget (billions of €)
FP1	First	1984–1987	3.8
FP2	Second	1987–1991	5.4
FP3	Third	1990–1994	6.6
FP4	Fourth	1994–1998	13.2
FP5	Fifth	1998–2002	15.0
FP6	Sixth	2002–2006	16.3
FP7	Seventh	2007–2013	50.5 over seven years + 2.7 for Euratom over five years
FP8	Horizon 2020 (Eighth)	2014–2020	77
FP9	Horizon Europe (Ninth)	2021–2027	94 (proposal by EC)

Research - investing in the knowledge society

Spending on research and development in 2015 (% of GDP)
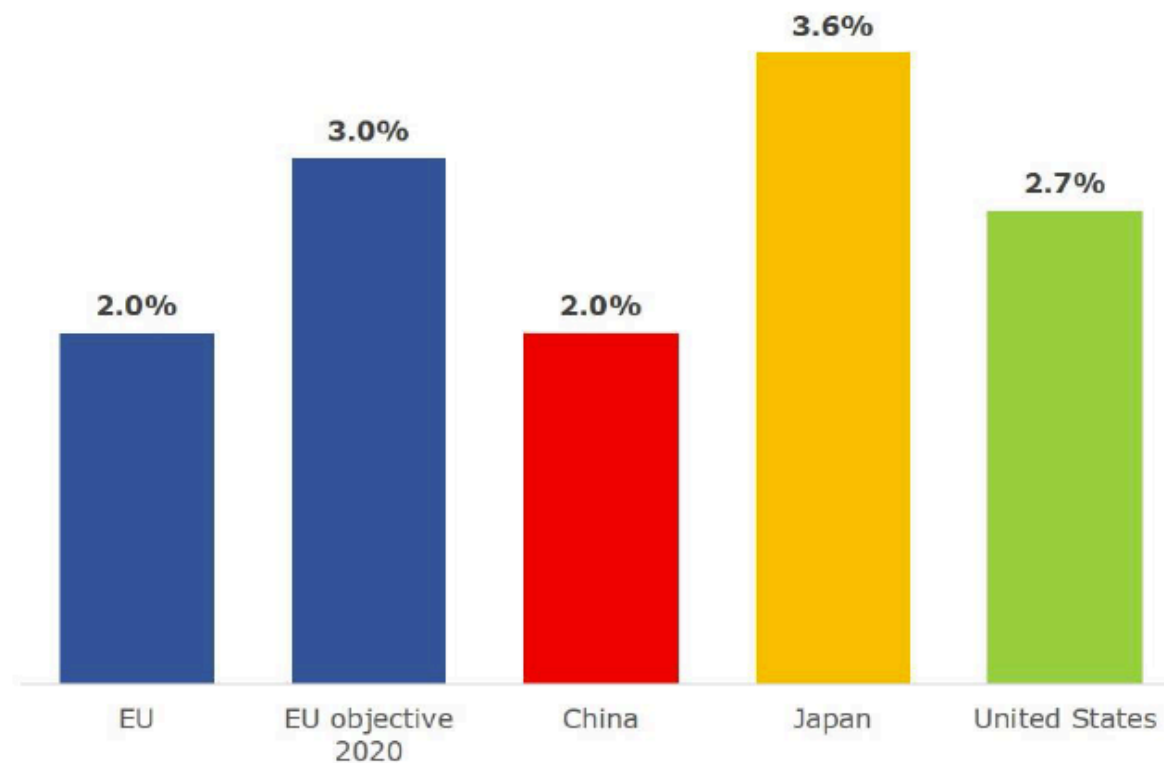
A. RESEARCH AND INNOVATION IN THE EU

- **Horizon 2020 (FP8) Budget in the EU Budget**

The Multiannual Financial Framework 2014-2020:
European Council conclusions, 8 February 2013

Key challenge: stabilise the financial and economic system while taking measures to create economic opportunities

1. **Smart & inclusive growth (€451 billion)**

   Education, Youth, Sport | Connecting Europe | Cohesion | Competitive Business SMEs | HORIZON 2020

2. **Sustainable growth, natural resources (€373 billion)**
3. **Security and citizenship (€16 billion)**
4. **Global Europe (€58 billion)**
5. **Administration (€61.6 billion)**

TOTAL €960 billion

HORIZON 2020

European Commission

HORIZON 2020 – THE CURRENT EU RESEARCH AND INNOVATION FRAMEWORK PROGRAMME (2014-2020)

- € 77 billion (increase in 23% on FP7) for 7 years

- New focus on innovation, deliver economic growth faster and delivering solutions to end users (focus on FP6 and FP7 was on technological research)

- Open to the World ! Participation of companies, universities, institutes in EU and beyond

- Link to EU policy objectives: Europe 2020 Strategy for *Smart, Sustainable and Inclusive Growth* and Juncker Commission's 10 priorities

HORIZON 2020

- **Current political priorities of the Juncker Commission**

The investment plan: a new boost for jobs, growth and investment

A connected digital single market

A resilient energy union with a forward-looking climate change policy

A deeper and fairer internal market with stronger industries

A deeper and fairer economic and monetary union

A reasonable and balanced free trade agreement with the United States

An area of justice and fundamental rights based on mutual trust

A new policy on migration

Europe as a stronger global actor

A European Union of democratic change

OBJECTIVES OF HORIZON 2020

Complete European Research Area (ERA) by coordinating national policies and pooling research funding in some areas to avoid duplication

Policy instrument to implement high level policy initiatives of the EU, such as Europe 2020 and the Innovation Union

HORIZON 2020

Motto of EU Commissioner for Research &Innovation, Carlos Moedas:

- The three O's:
    - Open Science
    - Open Innovation
    - Open to the World

HORIZON 2020: THREE PRIORITIES

Industry driven:
Strategic investments in key technologies Support to innovative companies

Researchers driven:
Excellent science is the foundation of tomorrow's technologies, jobs and wellbeing

1- Excellent science

€24.4 billion

Society driven:
Address concerns of citizens and society/ EU policy objectives Multidisciplinary collaborations

2- Industrial leadership

€17 billion

3- Societal challenges

€31 billion

H2020 PRIORITY 1. EXCELLENT SCIENCE

€24.4 Billion

Why:

- *World class science is the foundation of tomorrow's technologies, jobs and well-being*

- *Europe needs to develop, attract and retain research talent*

- *Researchers need access to the best infrastructures*

European Research Council *Frontier research by the best individual teams*	**13.095**
Future and Emerging Technologies *Collaborative research to open new fields of innovation*	**2.696**
Marie Sklodowska Curie Actions* *Opportunities for training and career development*	**6.162**
Research Infrastructures **(including e-infrastructures)** *Ensuring access to world-class facilities*	**2.488**

H2020 PRIORITY 2. INDUSTRIAL LEADERSHIP

€17 Billion

Why:

- *Strategic investments in key technologies (e.g. advanced manufacturing micro-electronics) underpin innovation across existing and emerging sectors*

- *Europe needs to attract more private investment in research and innovation*

- *Europe needs more innovative SMEs to create growth and jobs*

Leadership in enabling and industrial technologies *(ICT, nanotechnologies, materials, biotechnology, manufacturing, space)*	**13.557**
Access to risk finance *Leveraging private finance and venture capital for research and innovation*	**2.842**
Innovation in SMEs *Fostering all forms of innovation in all types of SMES*	**616**

H2020 PRIORITY 3. SOCIETAL CHALLENGES

€31 Billion

Why:

- *Concerns of citizens and society EU policy objectives (climate, environment, energy, transport etc.) cannot be achieved without innovation*

- *Breakthrough solutions come from multi-disciplinary collaborations, including social sciences & humanities*

- *Promising solutions need to be tested, demonstrated and scaled up*

|	
Health, demographic change and wellbeing	**7.472**
Food security, sustainable agriculture, marine and maritime and inland water research and the bioeconomy	**3.851**
Secure, clean and efficient energy	**5.931**
Smart, green and integrated transport	**6.339**
Climate action, environment, resource efficiency and raw materials	**3.081**
Inclusive, innovative and reflective societies	**1.310**
Secure societies	**1.695**
Science with and for society	*462*
Spreading excellence and widening participation	*816*

HORIZON 2020

- The programme is implemented through DG Research and Innovation and other DGs as well as Executive Agencies of the European Commission

HORIZON 2020

What and how:

- Horizon 2020 provides grants to research and innovation projects through open and competitive calls for proposals published in the EU Funding and Tenders Portal
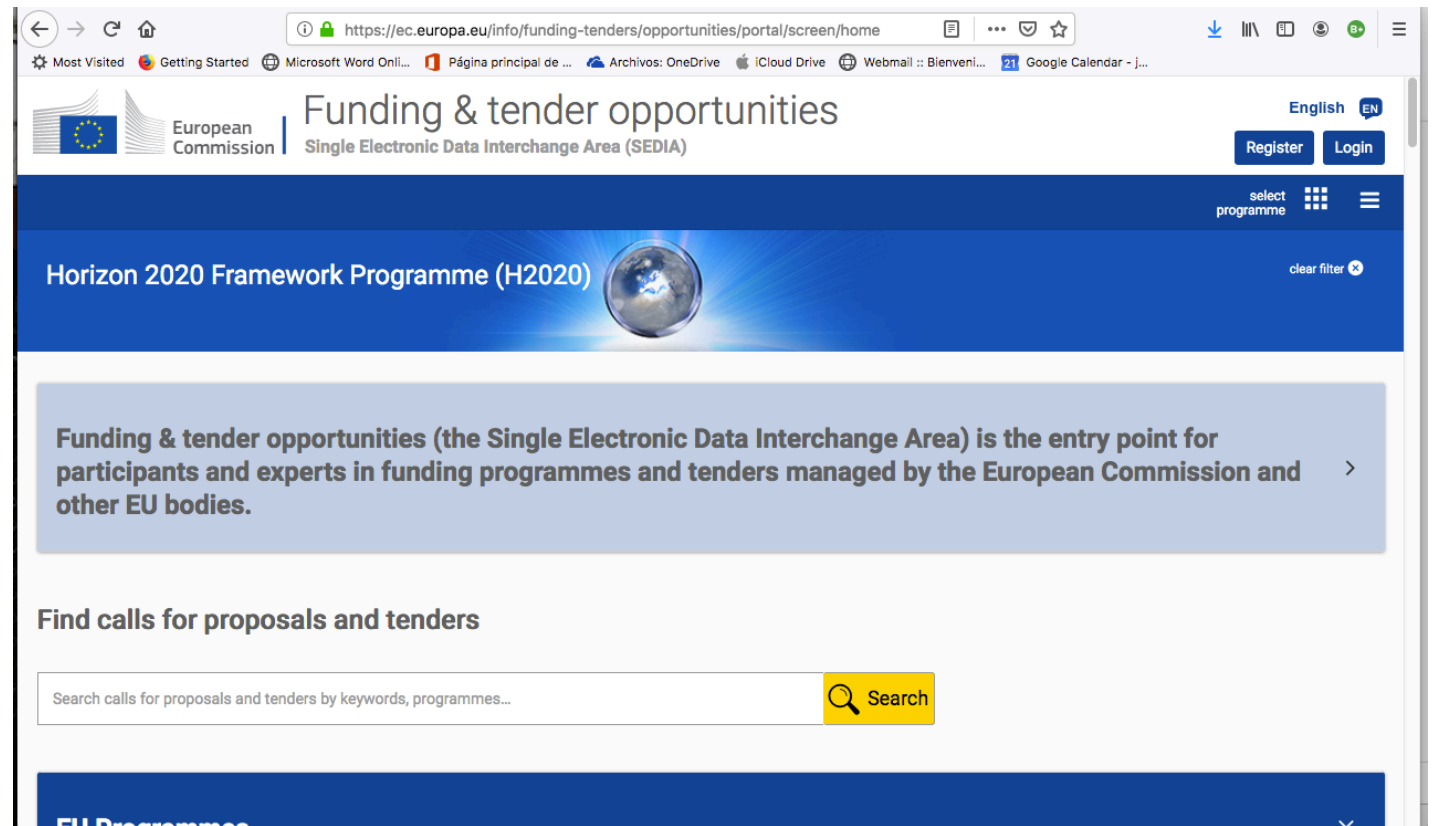
HORIZON 2020

Participation from outside the EU is explicitly encouraged

Who can apply:

- Researchers throughout the world can participate in Horizon 2020 projects - though they are not always eligible for H2020 funding

- Regarding funding, we can distinguish between countries that are automatically eligible for funding and those that are not:

  - Participants from EU Member States and Associated Countries to H2020 are automatically funded (16 AC, e.g. Iceland, Norway, Turkey, Israel, Switzerland, Ukraine, etc.)

  - Participants from 130 developing countries are automatically eligible for funding

  - Participants from industrialised countries and emerging economies are not automatically eligible for funding: specific circumstances apply

  - Individual researchers from any country in the world seeking the opportunity to work in Europe for a certain period of their career can apply for funding through the European Research Council and the Marie Skłodowska-Curie actions

HORIZON 2020

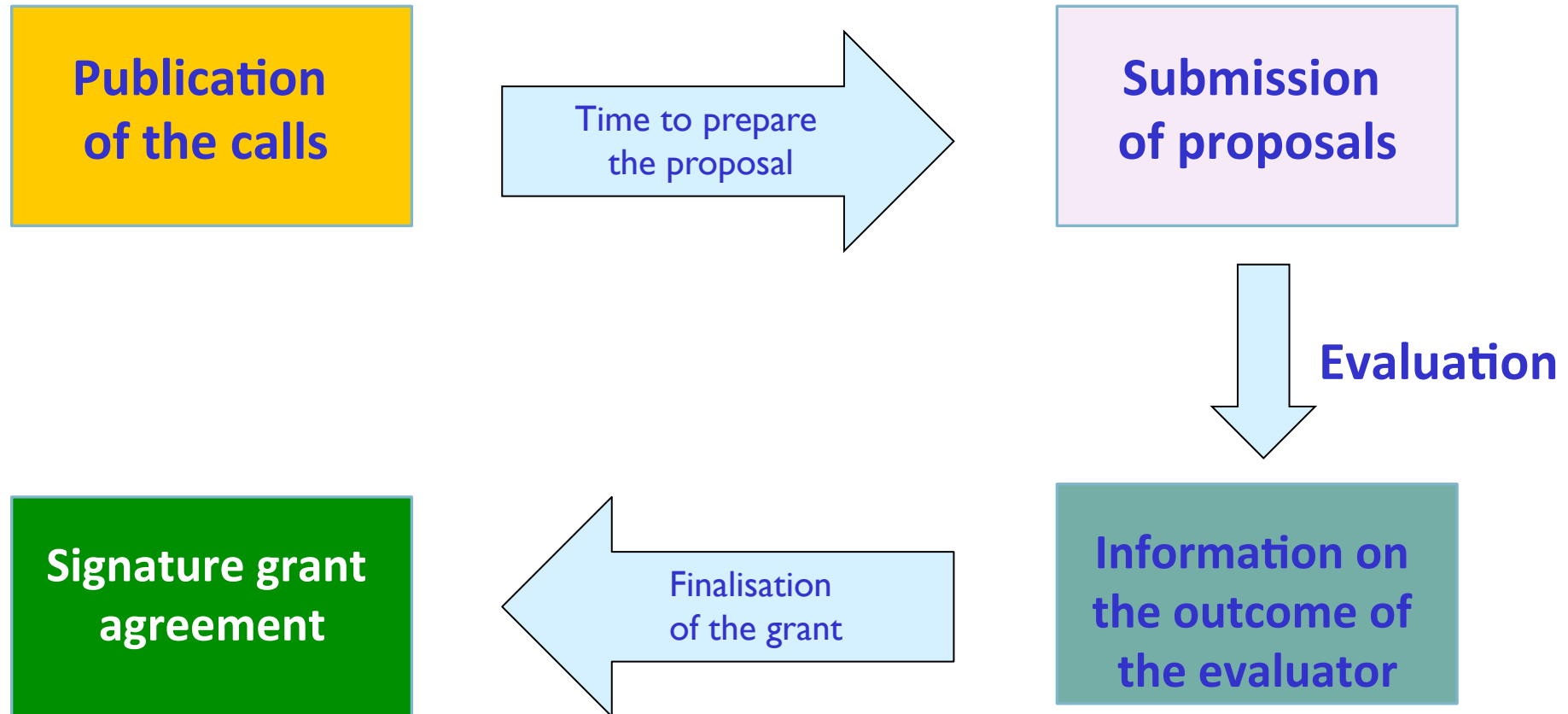**Simple rules for participation**

Minimum conditions:

- At least 3 independent legal entities

- Established in 3 different EU Member States or Associated Countries

However, in some calls/ topics also an international collaboration is expected and an international partner should be taken up in the consortium.

HORIZON 2020: FROM CALL TO GRANT

Publication of the calls

Time to prepare the proposal →

Submission of proposals

Evaluation ↓

Signature grant agreement

← Finalisation of the grant

Information on the outcome of the evaluator

HORIZON 2020: EVALUATION OF PROPOSALS

STANDARD AWARD CRITERIA

| EXCELLENCE | IMPACT | QUALITY & EFFICIENCY OF THE ACTION |

✓ **ERC** frontier Research actions ▸▸ only "EXCELLENCE"

✓ **Innovation actions** higher weighting for "IMPACT"

HORIZON 2020 PROJECT EXAMPLES

Breakthrough Prize awarded to black hole image team

On 5 September 2019, the 2020 Breakthrough Prize was awarded to the Event Horizon Telescope (EHT), a global scientific collaboration involving EU-funded scientists that captured the first-ever image of a black hole. The Breakthrough Prize, awarded since 2013, recognises achievements in life sciences, fundamental physics and mathematics. Each award is worth $3 million.

EU funding through the European Research Council (ERC) has provided crucial support to the Event Horizon Telescope. In particular, the EU has made available a grant of €14 million for three of the leading scientists and their teams involved in the discovery. Over the past 15 years some €30 million from Horizon 2020 and previous research framework programme supported the development and upgrading of the large telescope infrastructure essential to the success of the project. It was revealed in April this year and marked a paradigm shift in our understanding of black holes. It also confirmed the predictions of Albert Einstein's General Theory of Relativity and opened up new lines of enquiry into our universe.

HORIZON 2020 PROJECT EXAMPLES

A MAJOR CONTRIBUTION TO ERADICATING EBOLA

Horizon 2020 and Europe's pharmaceutical industry invested about EUR 300 million to speed up vaccine development and treatments for the deadly disease.

http://ec.europa.eu/research/health/index.cfm?pg=area&areaname=ebola-projects

EU-AFRICA: INCREASED COOPERATION IN RESEARCH AND INNOVATION

It will enhance the coordination of R&I programmes relevant to food and nutrition security in Europe and Africa. The EC has launched an Eranet cofund of 10 million euros in Horizon 2020 to achieve this. European and African countries are expected to contribute with around 20 million euros.

http://au.int

NEXT GENERATION OF INTERNET

The METIS-II project develops the overall 5G radio access network design and to provide the technical enablers needed for an efficient integration and use of the various 5G technologies and components currently developed.
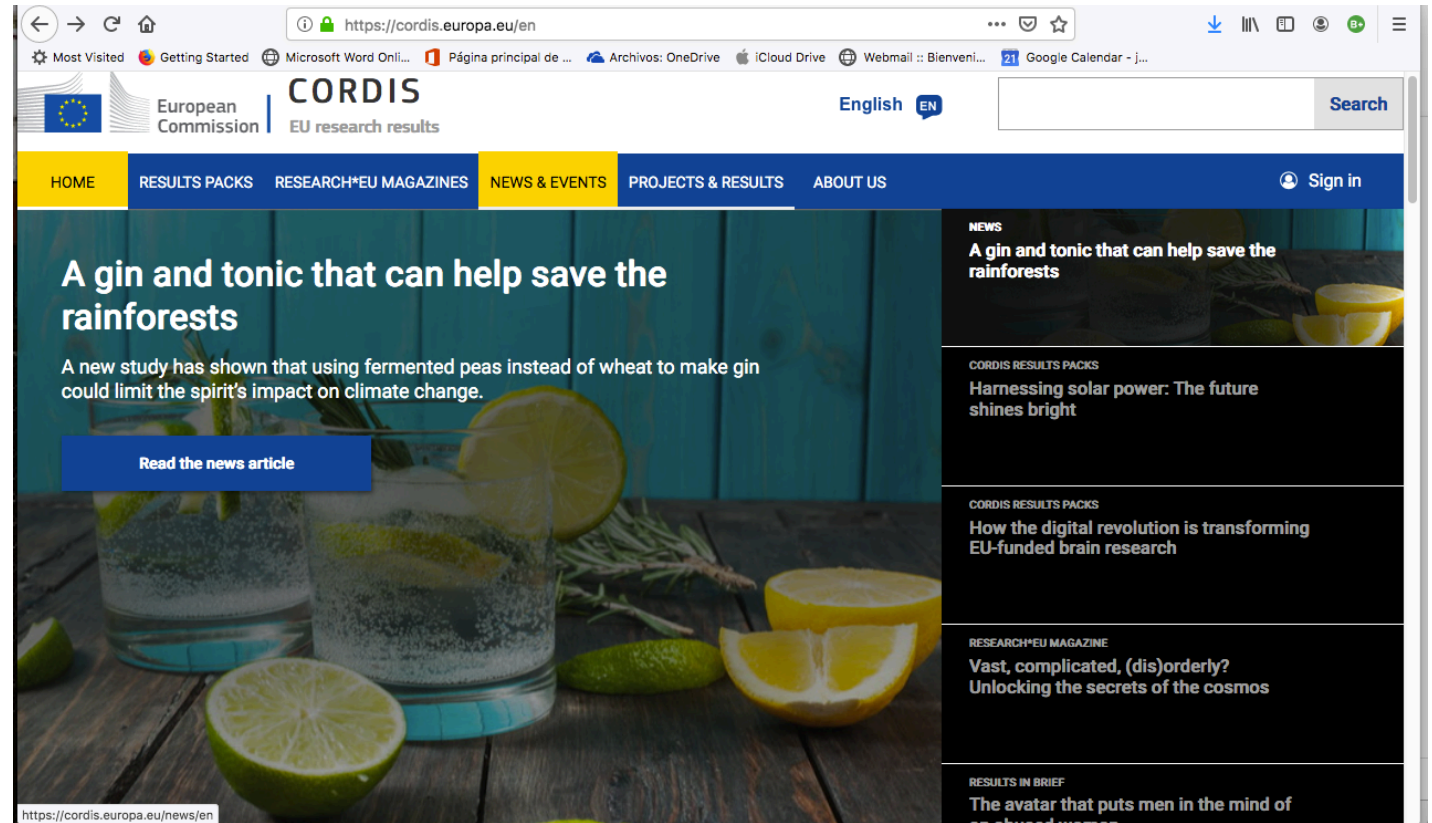
https://5g-ppp.eu/metis-ii/

TOWARDS NEAR ZERO-ENERGY BUILDINGS

ZERO-PLUS aims to reduce by 16% the current cost of developing near zero-energy buildings by optimising energy consumption in neighbourhoods.
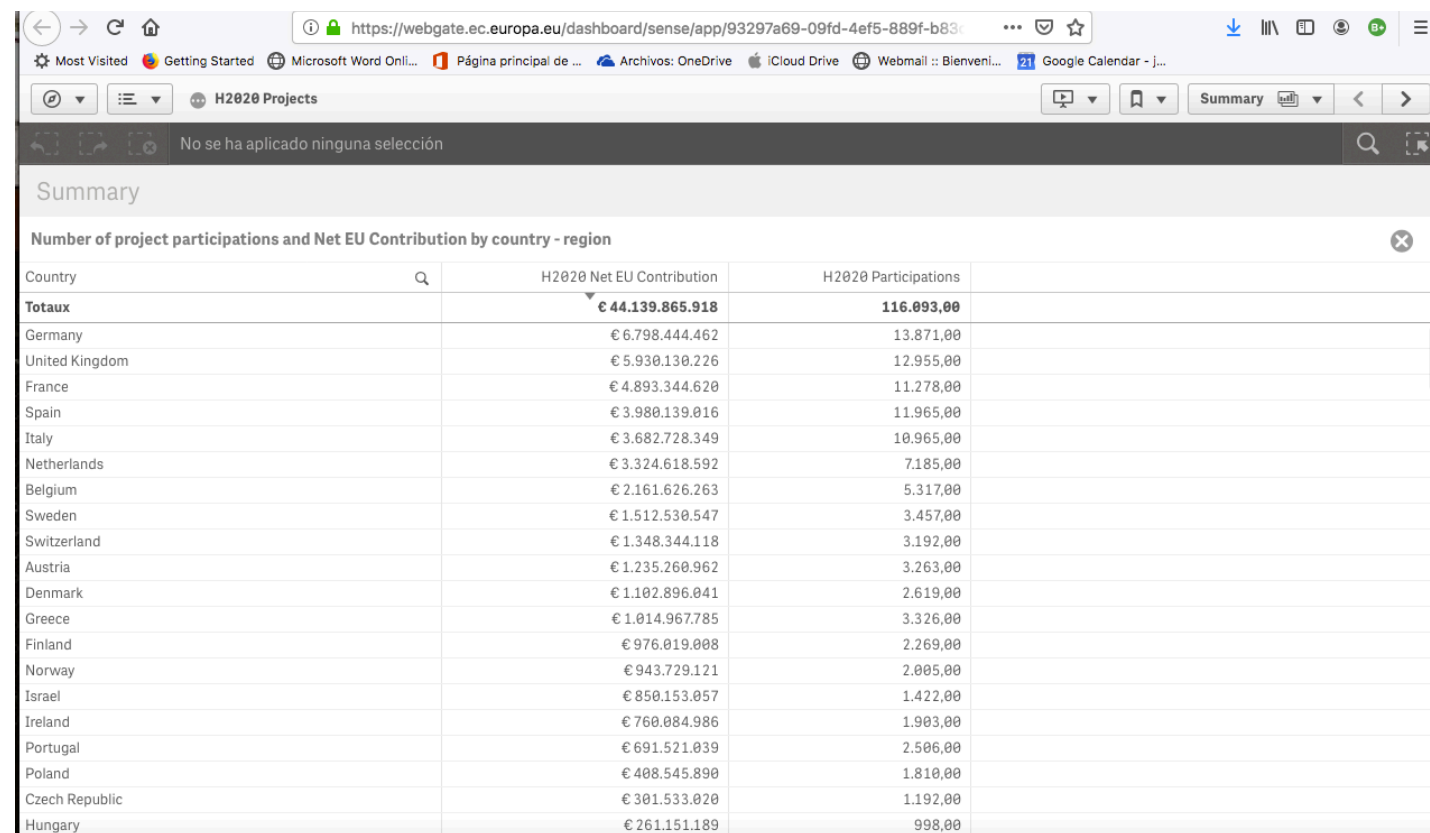
http://www.zeroplus.org/

HORIZON 2020 PROJECT EXAMPLES

- More information at CORDIS and at the
  Horizon 2020 Dashboard

HORIZON 2020 PARTICIPATION

- Nr of project participations and NET EU contribution by country-region

Browser window showing H2020 Projects dashboard at https://webgate.ec.europa.eu/dashboard/sense/app/93297a69-09fd-4ef5-889f-b83...

Summary

Number of project participations and Net EU Contribution by country - region

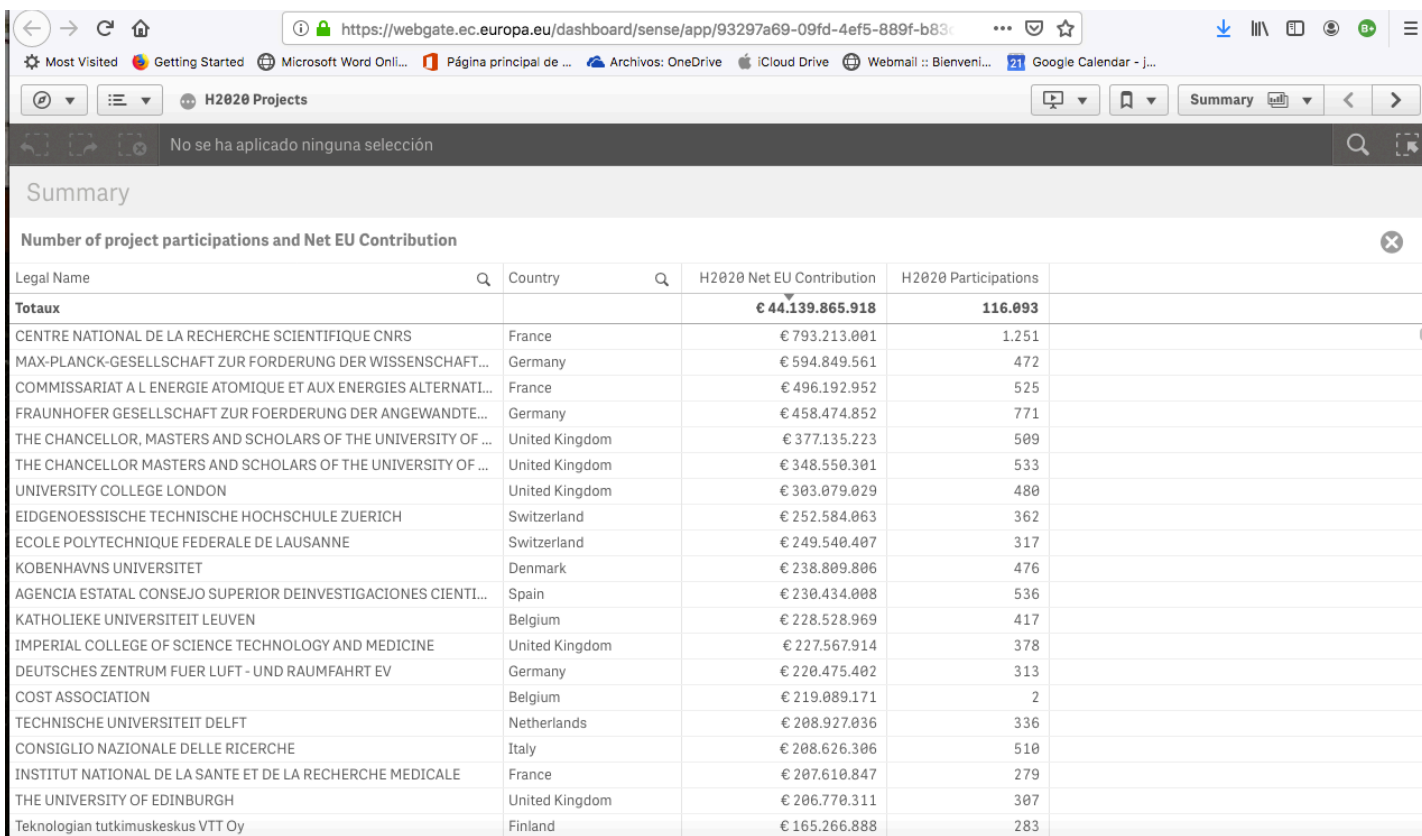| Country	H2020 Net EU Contribution	H2020 Participations
Totaux	**€ 44.139.865.918**	**116.093,00**
Germany	€ 6.798.444.462	13.871,00
United Kingdom	€ 5.930.130.226	12.955,00
France	€ 4.893.344.620	11.278,00
Spain	€ 3.980.139.016	11.965,00
Italy	€ 3.682.728.349	10.965,00
Netherlands	€ 3.324.618.592	7.185,00
Belgium	€ 2.161.626.263	5.317,00
Sweden	€ 1.512.530.547	3.457,00
Switzerland	€ 1.348.344.118	3.192,00
Austria	€ 1.235.260.962	3.263,00
Denmark	€ 1.102.896.041	2.619,00
Greece	€ 1.014.967.785	3.326,00
Finland	€ 976.019.008	2.269,00
Norway	€ 943.729.121	2.005,00
Israel	€ 850.153.057	1.422,00
Ireland	€ 760.084.986	1.903,00
Portugal	€ 691.521.039	2.506,00
Poland	€ 408.545.890	1.810,00
Czech Republic	€ 301.533.020	1.192,00
Hungary	€ 261.151.189	998,00

HORIZON 2020 PARTICIPATION

- Net EU contribution by Type of Organisation
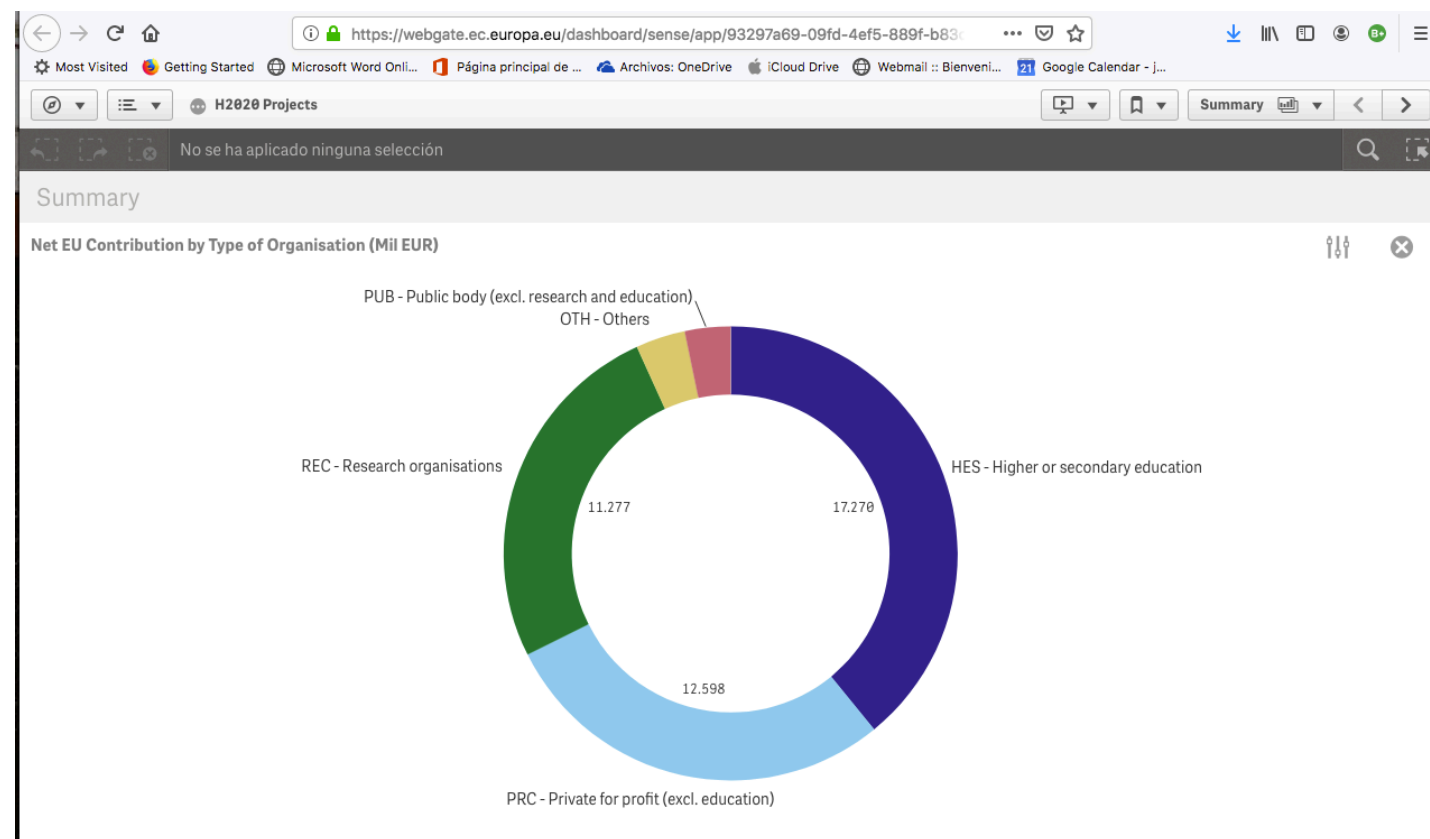
HORIZON 2020 PARTICIPATION

- Nr or project participations and net EU contribution by legal entity

Summary

Number of project participations and Net EU Contribution

Legal Name	Country	H2020 Net EU Contribution	H2020 Participations
Totaux		**€ 44.139.865.918**	**116.093**
CENTRE NATIONAL DE LA RECHERCHE SCIENTIFIQUE CNRS	France	€ 793.213.001	1.251
MAX-PLANCK-GESELLSCHAFT ZUR FORDERUNG DER WISSENSCHAFT...	Germany	€ 594.849.561	472
COMMISSARIAT A L ENERGIE ATOMIQUE ET AUX ENERGIES ALTERNATI...	France	€ 496.192.952	525
FRAUNHOFER GESELLSCHAFT ZUR FOERDERUNG DER ANGEWANDTE...	Germany	€ 458.474.852	771
THE CHANCELLOR, MASTERS AND SCHOLARS OF THE UNIVERSITY OF ...	United Kingdom	€ 377.135.223	509
THE CHANCELLOR MASTERS AND SCHOLARS OF THE UNIVERSITY OF ...	United Kingdom	€ 348.550.301	533
UNIVERSITY COLLEGE LONDON	United Kingdom	€ 303.079.029	480
EIDGENOESSISCHE TECHNISCHE HOCHSCHULE ZUERICH	Switzerland	€ 252.584.063	362
ECOLE POLYTECHNIQUE FEDERALE DE LAUSANNE	Switzerland	€ 249.540.407	317
KOBENHAVNS UNIVERSITET	Denmark	€ 238.809.806	476
AGENCIA ESTATAL CONSEJO SUPERIOR DEINVESTIGACIONES CIENTI...	Spain	€ 230.434.008	536
KATHOLIEKE UNIVERSITEIT LEUVEN	Belgium	€ 228.528.969	417
IMPERIAL COLLEGE OF SCIENCE TECHNOLOGY AND MEDICINE	United Kingdom	€ 227.567.914	378
DEUTSCHES ZENTRUM FUER LUFT - UND RAUMFAHRT EV	Germany	€ 220.475.402	313
COST ASSOCIATION	Belgium	€ 219.089.171	2
TECHNISCHE UNIVERSITEIT DELFT	Netherlands	€ 208.927.036	336
CONSIGLIO NAZIONALE DELLE RICERCHE	Italy	€ 208.626.306	510
INSTITUT NATIONAL DE LA SANTE ET DE LA RECHERCHE MEDICALE	France	€ 207.610.847	279
THE UNIVERSITY OF EDINBURGH	United Kingdom	€ 206.770.311	307
Teknologian tutkimuskeskus VTT Oy	Finland	€ 165.266.888	283

HORIZON 2020 PARTICIPATION

- H2020 Top-10 organisations (2014-2019)
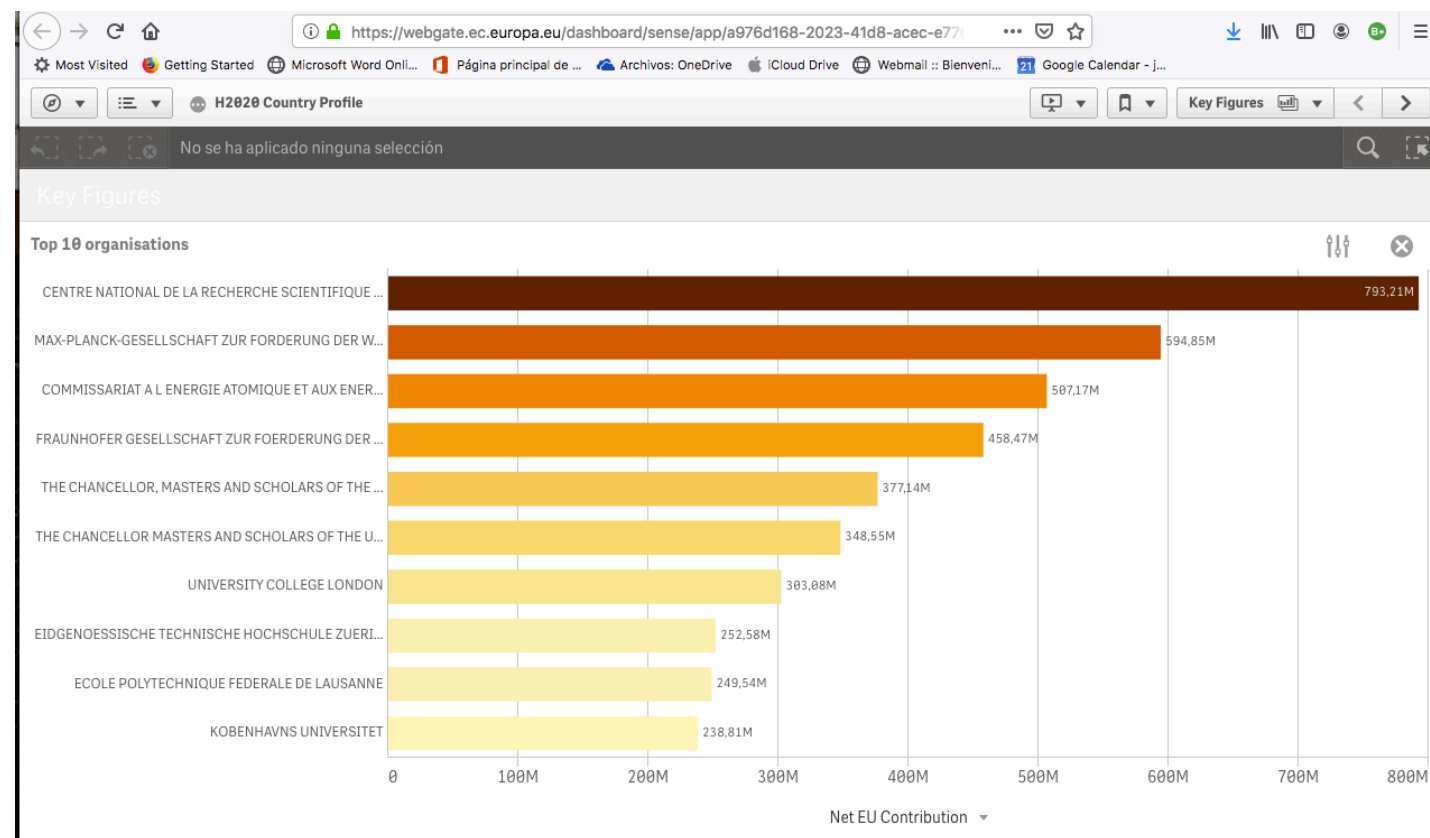
HORIZON 2020 PARTICIPATION

- EU Contribution by pillar/ thematic priority in H2020
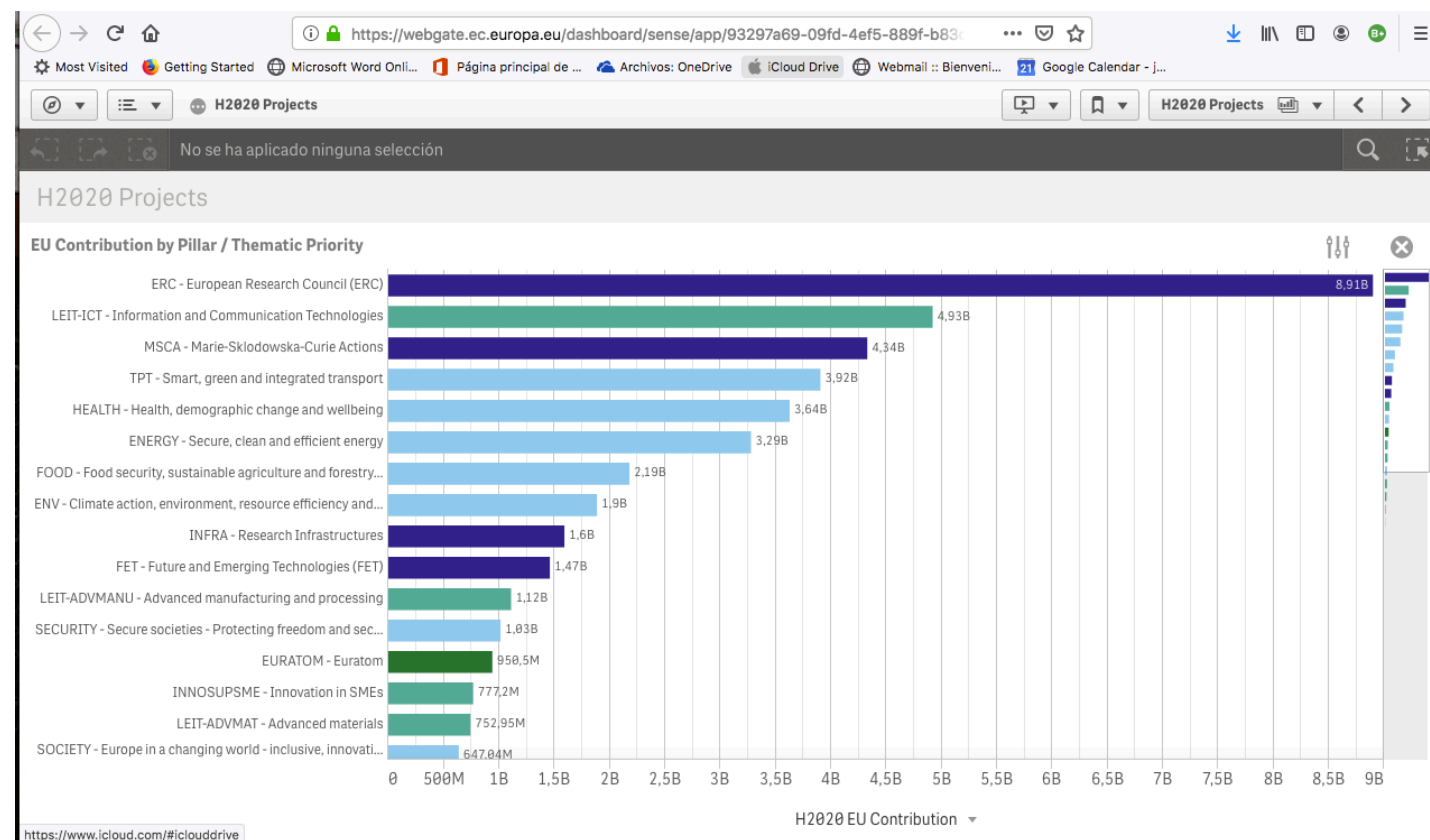
NEXT EU RESEARCH FRAMEWORK PROGRAMME: HORIZON EUROPE

- Budget proposed by EC: € 94.1 billion (still under negotiation)

- Main goals:

  - Strenghten EU science and technology thanks to increased investment in highly skilled people and research

  - Foster the EU's industrial competitiveness and its innovation performance, through the EIT and EIC

  - Deliver on the EU's strategic priorities: Paris Agreement on climate change & tackle global challenges

- 3 Pillars (evolution from H2020 but with some adjustments):

  - Excellent Science

  - Global Challenges & European Industrial Competitiveness

  - Innovative Europe

B. EDUCATION IN THE EU

B. EDUCATION IN THE EU

Legal base for Education in the EU:

- Reference in the TFEU: third part, title XII (arts. 165-166)
  - Art. 165.1
  - Art. 165.2
  - Art. 165.3
  - Art. 165.4

ERASMUS

- One of the biggest flagships and success stories of the EU: it started in 1987

- Inspired by Erasmus of Rotterdam but stands for: "*European Community Action Scheme for the Mobility of University Students*"

- Video (3:41)

ERASMUS

However, Erasmus (*the programme*) had a difficult start…
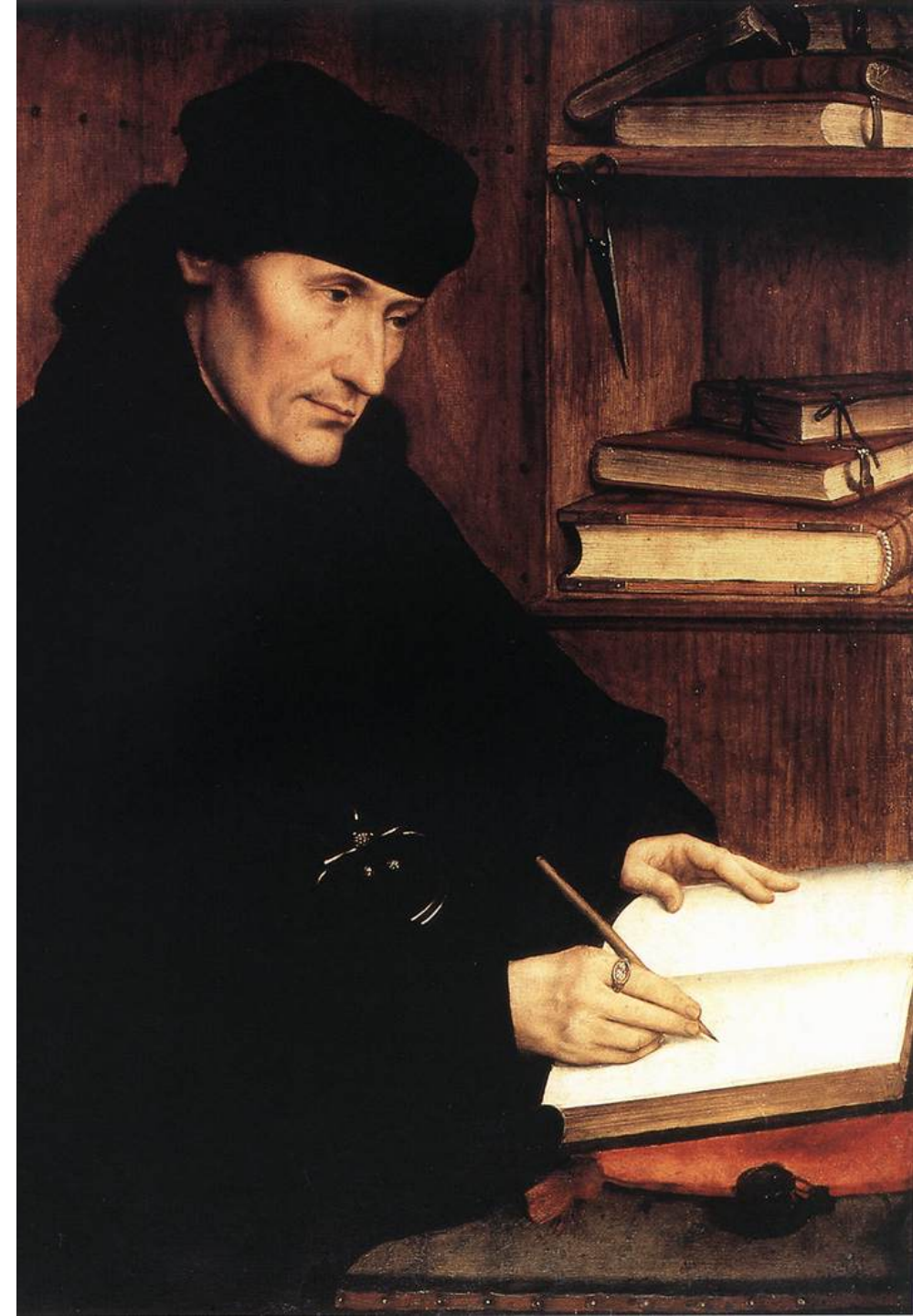
ERASMUS + (2014-2020)

What is it?

- EU's programme to support education, training, youth and sport in Europe

- Budget: € 14.7 billion

- To provide opportunities for over 4 million Europeans to study, train and gain experience

ERASMUS + (2014-2020)

General and specific aims

- Contribute to the Europe 2020 strategy for growth, jobs, social equity and inclusion, as well as the aims of ET2020, the EU's strategic framework for education and training.

- Erasmus+ also aims to promote the sustainable development of its partners in the field of higher education, and contribute to achieving the objectives of the EU Youth Strategy.

- Reducing unemployment, especially among young people

- Promoting adult learning, especially for new skills and skills required by the labour market.

- Encouraging young people to take part in European democracy

- Supporting innovation, cooperation and reform

- Reducing early school leaving

- Promoting cooperation and mobility with the EU's partner countries

ERASMUS + (2014-2020)

For whom

- Mostly European students, but not only!

- It merges seven prior programmes (education, training, youth, sport, Lifelong Learning, Youth in Action and five international co-operation programmes): opportunities for a wide variety of **individuals** and **organisations**

- Erasmus Mundus programme: oriented towards globalising European education & open to non-Europeans

- More information: Erasmus+ yearly Programme guide & Erasmus + Project Results Platform

ERASMUS + (2014-2020)

Opportunities for organisations

- Key Action 1: Learning mobility of individuals
- Key Action 2: Innovation and good practices (*develop the education, training, and youth sectors through five main activities*)
- Key Action 3: Support for policy reform (*participation of young people in democratic life*)
- Jean Monnet: *Teaching, research, and policy debate on the EU and its policies*
- Sport

Opportunities for individuals

- Students
- Staff (teaching & training)
- Trainees
- Young people
- Youth workers

ERASMUS + (2014-2020)

What type of support does Erasmus+ provide for

- Grants for a wide range of actions,

- Including the opportunity for:
  - students to undertake work placements abroad
  - teachers and education staff to attend training courses

ERASMUS + (2014-2020)

Participation

- 9 million people have participated to the Erasmus programme since its creation

- Spain is the country that allowed most people to participate: more tan 40.000/ year

- Countries receiving most students: Spain, Germany

- More than 4.000 higher education institutions participate to Erasmus across 37 countries

More than 30 years of Erasmus higher education exchanges

3000 — 1987/88
51 700 — 1992/93
86 000 — 1997/98
124 000 — 2002/03
182 700 — 2007/08
267 500 — 2012/13
286 000 — 2014/15
312 900 — 2015/16
325 800 — 2016/17
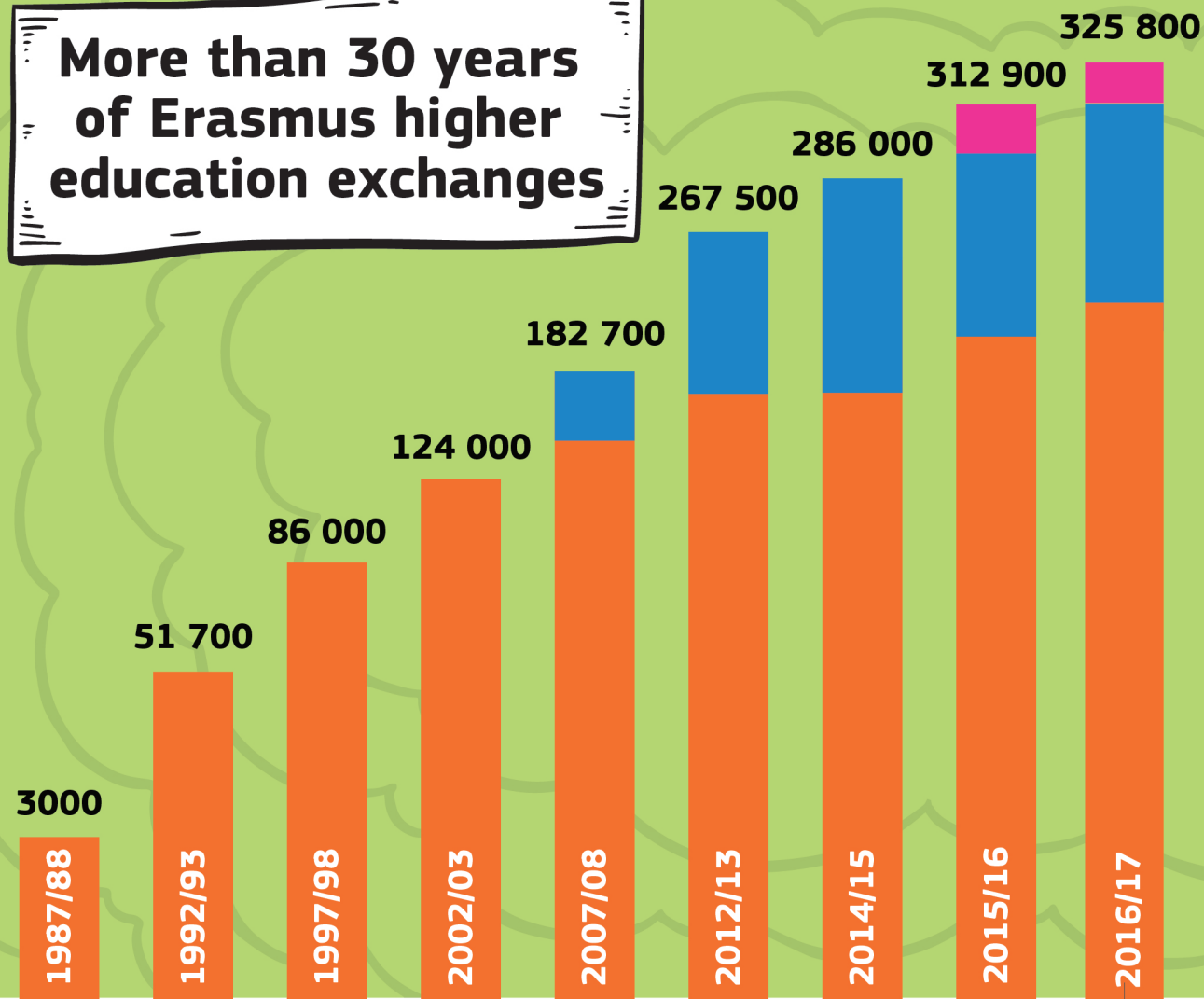
STUDENTS MOVING BETWEEN PROGRAMME COUNTRIES*

+

TRAINEES MOVING BETWEEN PROGRAMME COUNTRIES*

STUDENTS MOVING FROM/TO PARTNER COUNTRIES*

*The 33 Erasmus+ Programme Countries are the 28 EU Member States, Iceland, Liechtenstein, Norway, the former Yugoslav Republic of Macedonia and Turkey. Partner countries are all other countries in the world.

© European Commission, 2018

How international was Erasmus+ in 2017?
Cooperation with Partner Countries*

1 556 scholarships for students from **128** nationalities to take part in **100** Erasmus Mundus Joint Master Degree programmes

34 000 student and staff exchanges

5 600 new university exchange agreements between Programme Countries* and the rest of the world

149 new projects for higher education cooperation between universities from Programme Countries and others throughout the rest of the world

*In 2017, there were 33 Erasmus+ Programme Countries: the 28 EU Member States, Iceland, Liechtenstein, Norway, the former Yugoslav Republic of Macedonia and Turkey. Partner Countries were all other countries in the world.

NEXT ERASMUS + PROGRAMME (2021-2027)

- € 30 billion budget (still under negotiation)
- More inclusive, more simple to apply, more funding
- Quote from rapporteur Milan ZVER (EPP, SI), during the debate in the European Parliament plenary:

"Our aim is to make the new Erasmus+ programme more user-friendly and inclusive, accessible and fair for all groups of young people and adults, regardless of their economic situation and other circumstances.

Erasmus + does not only allow participants to study and train abroad, it also helps to strengthen European identity and improves employment opportunities. It gives participants the knowledge and skills to enrich their personal and professional lives.

I believe that investing in Erasmus is investing in the future of the EU. I again call on the European Commission and the Member States to support a threefold increase in the budget in the trialogue."

ERASMUS… A CULTURAL PHENOMENON

- For many Europeans: first experience in living and studying abroad

- "Erasmus generation"

- Strengthen European solidarity

- Mixing of Europeans: more then ¼ of Erasmus participants have met their life partner

ERASMUS… A CULTURAL PHENOMENON

Find out more:

- Film "L'auberge espagnole", by Cédric Klapisch

- Book "Jannat K Patte" (*Leaves of Heaven*), by Pakistani novelist Nimra Ahmed

- Cafébabel: online public forum based on the participatory journalism

PART II: PRACTICAL OVERVIEW OF POLICY INFLUENCE IN BRUSSELS AND DEVELOPING A NEW EU RESEARCH FRAMEWORK PROGRAMME

A. Introduction

B. The "Brussels bubble" and EU decision-making

C. EU institutions involved in EU decision-making and the decision-making process

D. A case-study : negotiations of the next EU Research Framework Programme "Horizon Europe"

A. INTRODUCTION

- What do they have in common?
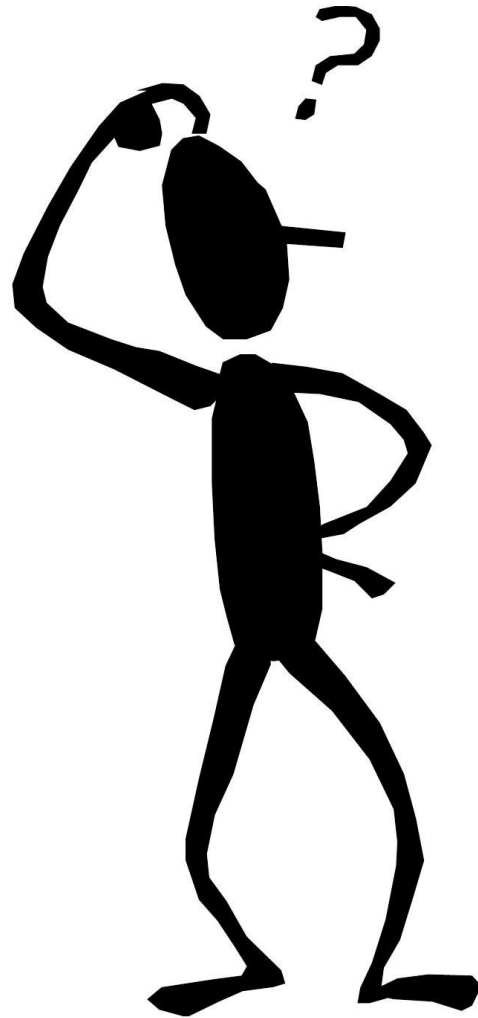
A. INTRODUCTION

A. INTRODUCTION

What is lobby?

Definition:

- *to conduct activities aimed at influencing public officials and especially members of a legislative body on legislation*
- *to promote (something, such as a project) or secure the passage of (legislation) by influencing public officials lobby a bill through Congress*
- *to attempt to influence or sway (someone, such as a public official) toward a desired action lobbying senators for tax reform*

https://www.merriam-webster.com/dictionary/lobby

B. THE BRUSSELS BUBBLE AND EU DECISION-MAKING

Nationalities represented in Washington D.C. (ca.170) and Brussels (ca.180)

International embassies in Washington (180) and Brussels (200)

Lobbyists in Washington (13,000) and Brussels (11,865)

B. THE "BRUSSELS BUBBLE" AND EU DECISION-MAKING

- Transparency International   https://transparency.eu/
- Integrity Watch https://www.integritywatch.eu/
- EU Transparency Register https://ec.europa.eu/transparencyregister/public/homePage.do

C. EU INSTITUTIONS INVOLVED IN EU DECISION-MAKING AND THE DECISION-MAKING PROCESS

The EU institutions

European Council (summit)

European Parliament

Council of Ministers (The Council)

European Commission

Court of Justice

Court of Auditors

Economic and Social Committee

Committee of the Regions

European Investment Bank

Agencies

European Central Bank

C. EU INSTITUTIONS INVOLVED IN EU DECISION-MAKING AND THE DECISION-MAKING PROCESS

- Standard procedure to pass laws is called "**co-decision**": European Parliament and Council of the EU have the same power

EU legislative procedure - the triangle of power

European Commission
(Main Executive Body)
"Promoting the common interest"

Proposes / executes legislation

European Parliament
(Co-deciding power)
"Voice of the people"

Pass legislation

Council of the EU
(Co-deciding body)
"Voice of the Member States"

Committee of the Regions
Advisory body representing
Europe's **regional** and local authorities

European Economic and Social Committee (EESC)
Advisory body representing workers' and employers' organisations

Advisory roles

C. EU INSTITUTIONS INVOLVED IN EU DECISION-MAKING AND THE DECISION-MAKING PROCESS

How EU laws are made

Citizens, interest groups, experts: discuss, consult

⬇

Commission: makes formal proposal

⬇

Parliament and Council of Ministers: decide jointly

⬇

National or local authorities: implement

⬇

Commission and Court of Justice: monitor implementation

More in detail…

- Law-making in the EU (2:45)

- The EU-decision-making process (0:36)

D. A CASE STUDY: NEGOTIATIONS AND LOBBY FOR THE NEXT EU RESEARCH FRAMEWORK PROGRAMME:

A. EU research framework programme (FP) processes: the programme lifecycle

B. Timeline

C. Development of Horizon Europe

D. In the meantime…

A. THE FP PROCESSESES

- In 35 years – 8 framework programmes for research and innovation

- A lifecycle has been designed and streamlined to include four phases

- The adoption of the FP has also been synchronized with the Multi-annual Financial Framework

Figure 1 – Lifecycle of the framework programme
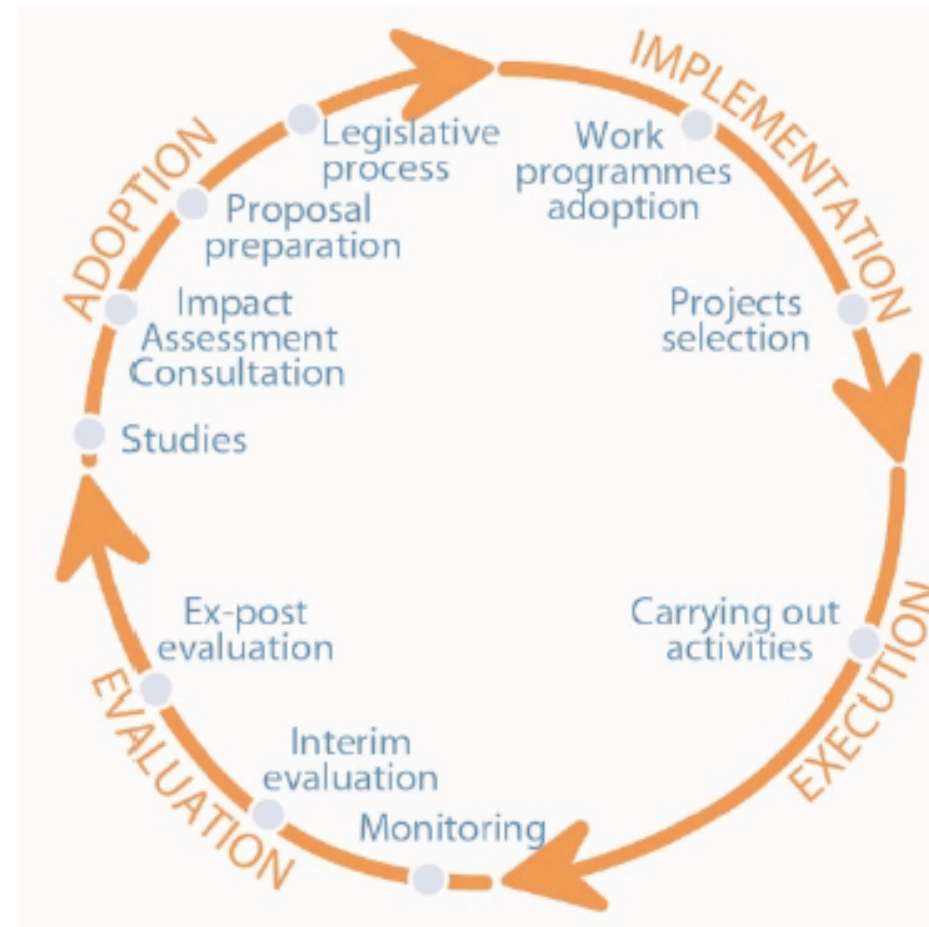
Source: EPRS.

A. THE FP PROCESSESES

- In three of the four phases the EU institutions are involved: adoption, implementation and evaluation

- National Parliaments and other stakeholders are involved too

Figure 1 – Lifecycle of the framework programme
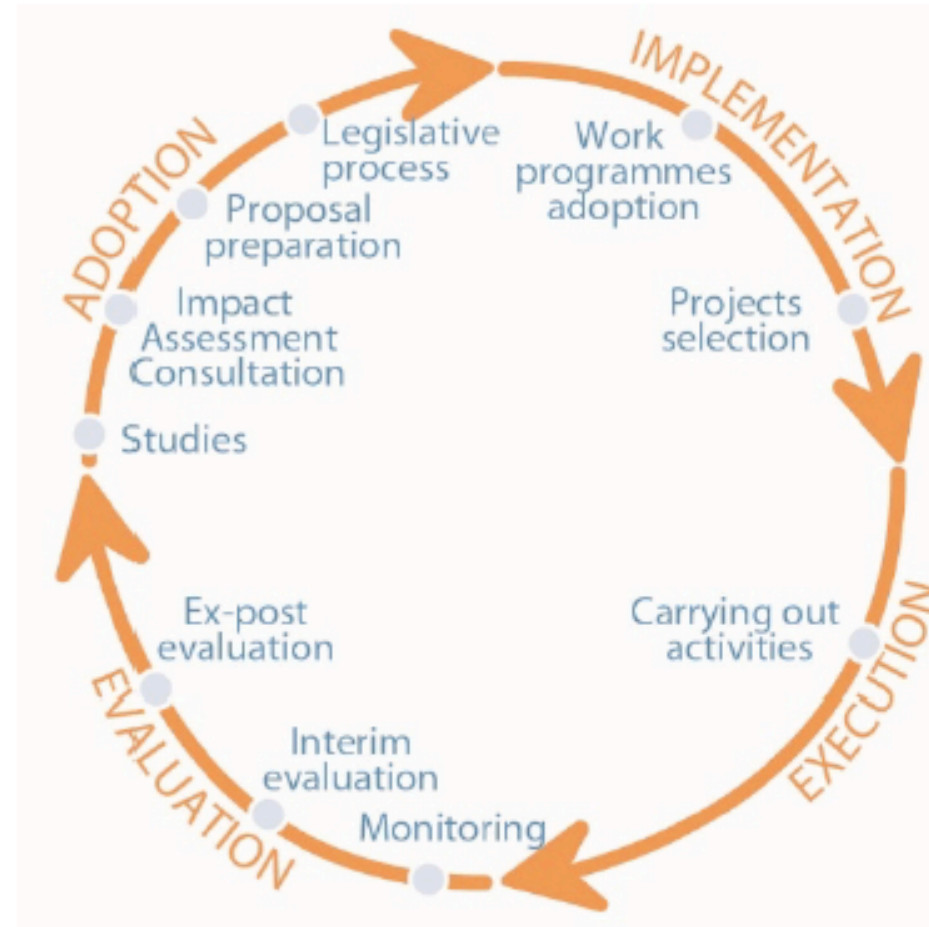
Source: EPRS.

A. THE FP PROCESSESES

The Treaty on the Functioning of the European Union (TFEU) requires the adoption of **three pieces of legislation** to establish a framework programme (Articles 182-183 TFEU):

1. A **regulation** establishing the framework programme that <u>defines the scientific and technological objectives</u> to be achieved, indicates the broad lines of activities and fixes the maximum overall amount and the detailed rules for Union financial participation in the programme.

2. A **decision** establishing each of the <u>specific programmes implementing the FP</u> that define the detailed rules for implementation, fix their duration and provide for the means deemed necessary for each specific programme.

3. A **regulation** that determines the <u>rules for the participation</u> of undertakings, research centres and universities, and lays down the rules governing the <u>dissemination of research results</u>.

A. THE FP PROCESSESES

- Regulations and decisions are adopted either by the Council of the EU and the European Parliament under the **ordinary legislative procedure (*co-decision*)** or by the Council following **consultation** with the European Parliament

Piece of legislation	Type	Article TFEU	Procedure
Framework programme (FP)	Regulation	182(1)	Ordinary legislative procedure
Specific programmes	Decision	182(3)	Consultation procedure
Rules for participation and dissemination	Regulation	183	Ordinary legislative procedure
Public-public partnerships	Decision	185	Ordinary legislative procedure
Joint undertakings	Regulation	187	Consultation procedure
European Institute for Innovation and technology (EIT)	Regulation	173(3)	Ordinary legislative procedure
Strategic agenda of the EIT	Decision	173(3)	Ordinary legislative procedure

Source: EPRS based on EUR-Lex.

A. THE FP PROCESSESES

- Focus: on the proposal for a **Regulation**

- Legal basis: art. 182.1 TFEU

- Ordinary legislative procedure

Proposal for a regulation of the European Parliament and of the Council establishing Horizon Europe – the framework programme for research and innovation, laying down its rules for participation and dissemination

Committee responsible:	Industry, Research and Energy (ITRE)	COM(2018) 435
Rapporteur:	Dan Nica (S&D, Romania)	7.6.2018
Shadow rapporteurs:	Christian Ehler (EPP, Germany)	2018/0224(COD)
	Evžen Tošenovský (ECR, Czech Republic)	
	Lieve Wierinck (ALDE, Belgium)	Ordinary legislative
	Neoklis Sylikiotis (GUE/NGL, Cyprus)	procedure (COD)
	Jakop Dalunde (Greens/EFA, Sweden)	(Parliament and Council
	Rosa D'Amato (EFDD, Italy)	on equal footing –
	Barbara Kappel (ENF, Austria)	formerly 'co-decision')
Next steps expected:	Relaunch of trilogue negotiations	

Commission proposal / National parliaments' opinions / EESC and/or CoR opinion(s) / Committee vote / Voted in plenary / Trilogue / Voted in plenary / Trilogue / Second reading / Adoption
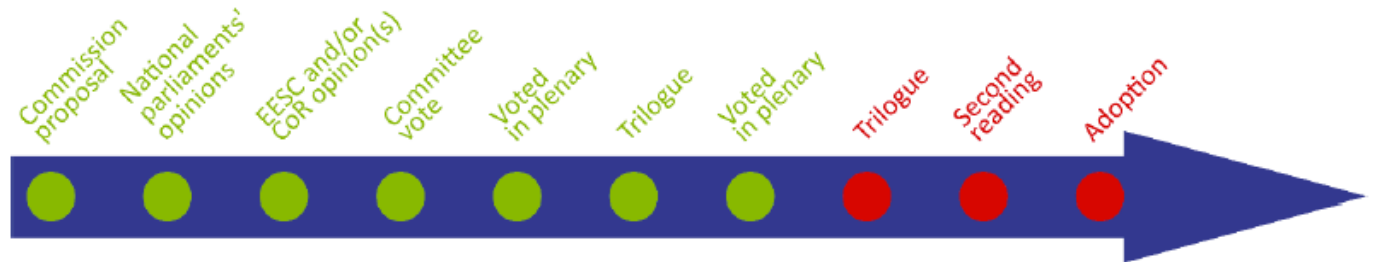
Source: EPRS

B. TIMELINE FOR THE NEXT EU RESEARCH FP (HIGHLIGHTS)

- **2015-2017**: preparations for the next Framework Programme proposal

- **2018**: European Commission propsals for the next EU Budget (MFF 2021-2027) and Horizon Europe

- **2018-2019**: opinions by National Parlaments, stakeholders & political negotiations (EP and Council)

- **2020**: finalising negotiations (EU Budget and other topics), development of FP first work programmes

- **1 January 2021**: launch of Horizon Europe (desired)

Evaluation of the previous framework programmes:

- Final evaluation of the seventh framework programme (FP7) in 2015

- Mid-term evaluation of Horizon 2020 (2014-2020) in 2016-2017

Expert studies and advisory groups to reflect on issues that emerged from the mid-term evaluation of H2020 (*e.g. economic rationale for public support for R+I, foresight studies, investing in the future we want*) in 2017

TIMELINE IN DETAIL: EVALUATION

B. TIMELINE IN DETAIL: ADOPTION

- Early 2018: EC
  public consultation on EU funds in the area of research & innovation and
  call for feedback on research and innovation missions

- 2 May 2018: The Commission adopted its **proposal for the next EU long-term budget** (MFF): **€1,135 billion** in commitments, equivalent to 1.11% of the EU27's gross national income . It will be the first EU Budget with 27 Member States

The size of the EU budget as a percentage of gross national income (GNI)

Commitments ceiling in % EU GNI

Period	Commitments ceiling	EDF
Average 1993-1999	1.25 %	0.03 %
Average 2000-2006	1.09 %	0.02 %
Average 2007-2013	1.12 %	0.03 %
Average 2014-2020	1.00 %	0.03 %
Average 2014-2020 EU-27*	1.13 %	0.03 %
2021-2027**	1.11 %	0.03 %
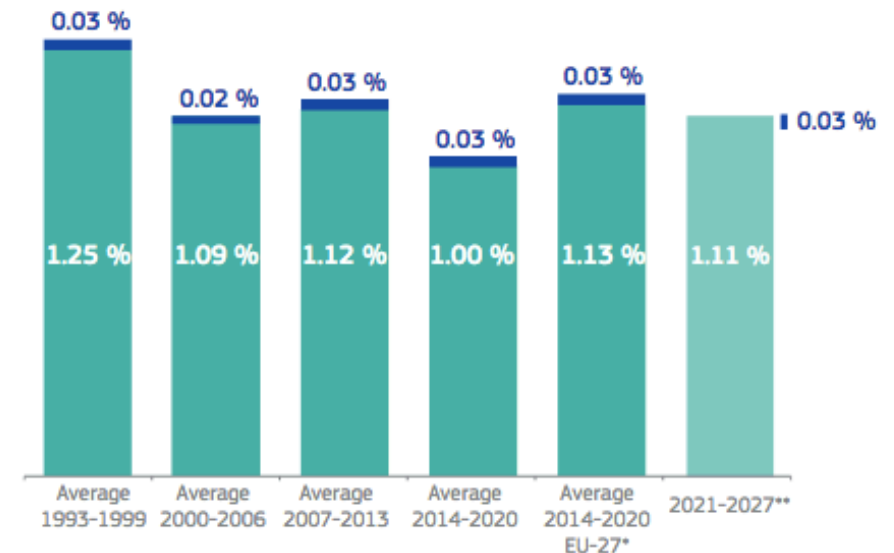
■ Commitments ceiling in % EU GNI

■ European Development Fund

(*) 2014-2020 estimated commitments (UK expenditure excluded) in % EU27 GNI
(**) European Development Fund integrated ("budgetised")

Source: European Commission

B. TIMELINE IN DETAIL: ADOPTION

- 7 June 2018: The Commission adopted its **proposal for Horizon Europe** **(FP9)**, which contains:

    - **The HEu framework programme, including its rules for participation and dissemination** (COM(2018) 435)

    - A specific programme to implement Horizon Europe (COM(2018) 436)

    - A research and training programme under the Euratom Treaty complementing Horizon Europe (COM(2018) 437)

- Proposed budget of € 94,1 billion

- Video on the objectives of Horizon Europe (2:23)

B. TIMELINE IN DETAIL: ADOPTION

Reactions to the Commission proposal:

- Advisory Committes: CoR and EESC (October 2018)

- National Parliaments largely supported the proposal

- Stakeholders' views: e.g. technology platforms, European University Associtation, European Association of Craft and Medium-Sized Enterprises, Eurodoc, etc. For example:

    - 13 university associations jointly advocated for more budget for Horizon Europe (€ 160 billion)

    - YERUN position paper for the 9th Framework Programme

Yerun
Young European Research Universities

A Research & Innovation Agenda for a Global Europe: Priorities & Opportunities for the 9th Framework Programme
—
A Position Paper by the Young European Research Universities Network

REACTIONS TO THE COMMISSION PROPOSAL:

- Again, in July 2019, 15 university associations called for an ambitious Horizon Europe budget

- E.g. Twitter campaigns like #EUInvestInKnowledge

B. TIMELINE IN DETAIL: ADOPTION

Legislative process:

- European Parliament: plenary adopted **amendments** to the proposal (12.12.2018) & provided the mandate to enter into the informal negotiations (trilogue) with the Council

- Council: most delegations welcomed the proposal but a number of **issues** were raised (sept. 2018); partial general approach reached on 30 November 2018 – not covering the budget to align the negotiations with the EU budget

- Trilogue meetings between EP and Council began in January 2019

- The EU institutions reached a provisional agreement on the content of Horizon Europe on 20 March 2019. The EP endorsed the provisional agreement on 17 April 2019 (1st reading)

C. DEVELOPMENT OF HORIZON EUROPE

- Following the political agreement reached by European Parliament and Council in spring 2019, the Commission has begun a **strategic planning process**.

- The result of the process will be set out in a multiannual Strategic Plan to prepare the content in the work programmes and calls for proposals for the first 4 years of Horizon Europe.

- The process will identify, among other things:

  - Key areas for research and innovation support and their targeted impact

  - European partnerships

  - 5 Mission areas (*new!*)

  - Areas of international cooperation

PRELIMINARY STRUCTURE OF HORIZON EUROPE

Pillar 1
Excellent Science

- European Research Council
- Marie Skłodowska-Curie Actions
- Research Infrastructures

Pillar 2
Global Challenges and European Industrial Competitiveness

Clusters
- Health
- Culture, Creativity and Inclusive Society
- Civil Security for Society
- Digital, Industry and Space
- Climate, Energy and Mobility
- Food, Bioeconomy, Natural Resources, Agriculture and Environment

Joint Research Centre

Pillar 3
Innovative Europe

- European Innovation Council
- European innovation ecosystems
- European Institute of Innovation and Technology

Widening Participation and Strengthening the European Research Area

- Widening participation and spreading excellence
- Reforming and Enhancing the European R&I system

C. DEVELOPMENT OF HORIZON EUROPE

Online co-design consultations

- Shape the priorities of the Horizon Europe programme by completing the Horizon Europe co-design consultation (I) and the implementation consultation (II)

Co-design in the European Research and Innovation Days

- European Research and Innovation Days, 24-26 September 2019

Other open consultations on 12 institutionalised partnerships

- Open until 6 November

C. DEVELOPMENT OF HORIZON EUROPE

- Two public consultations with each their orientations documents (towards 1. the Strategic Plan, and 2. towards the Implementation Strategy)

- Spanish Stakeholder workshop on Horizon Europe implementation: 9 October 2019

  - Aim: discuss concrete aspects of the implementation of the FP and share the conclusions with the European Commmission

  - Very specific topics to be discussed:

    - Proposal submission, evaluation and selection

    - Model Grant Agreement

    - Lump Sums

    - Control strategy: ex-ante and ex-post controls

    - Project reporting

IN THE MEANTIME…

- New European Parliament since July 2019

- President-elect Ursula von der Leyen has nominated her future colleagues, which have to be approved by the European Parliament

- Next European Commission as from 1 November 2019 (in principle)

- The Bulgarian Mariya Gabriel has been nominated for the portfolio of " Innovation and Youth", which includes Research, Innovation and Education (> *Mission Letter*)

- Brexit or no Brexit?

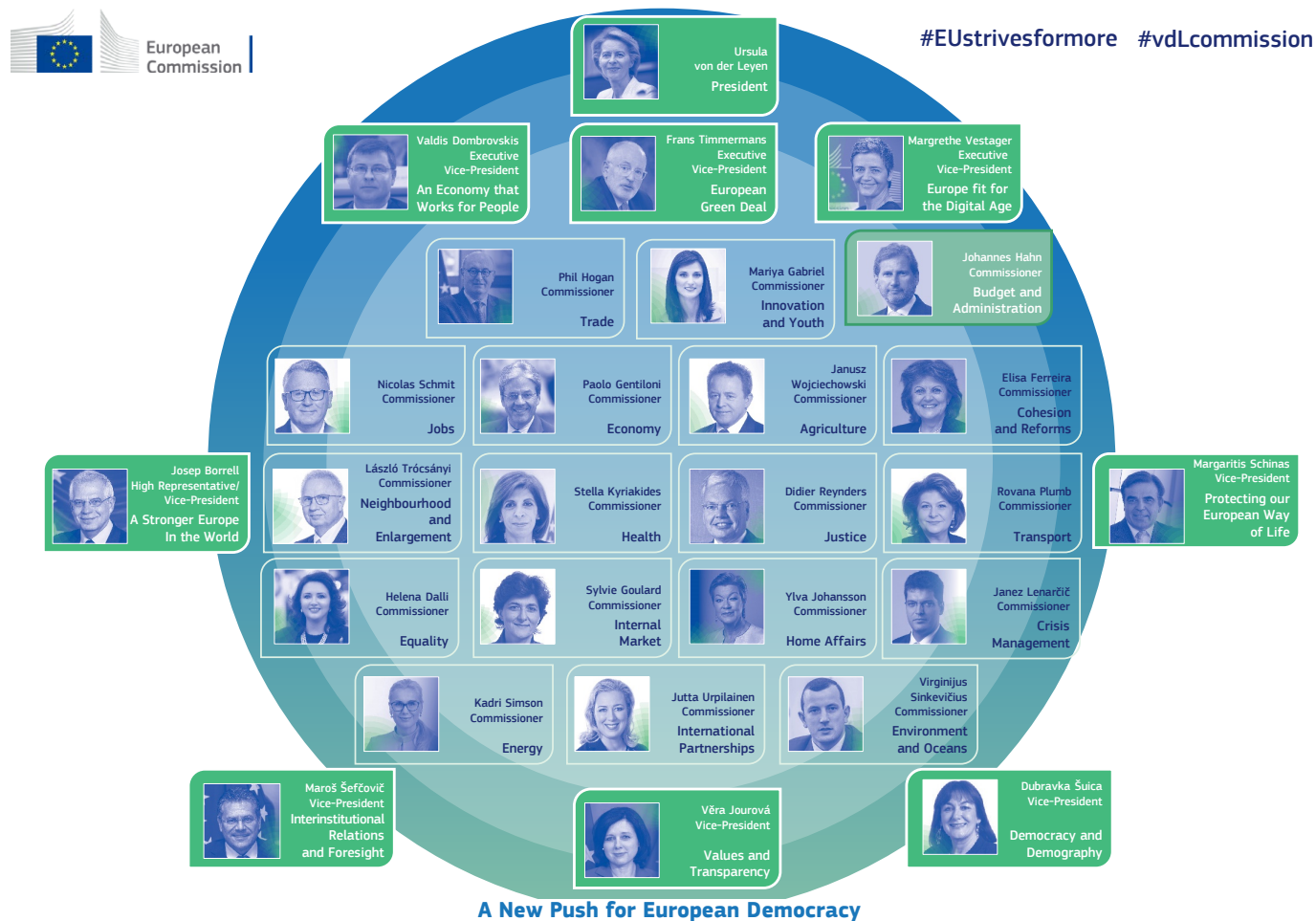**European Commission Candidates 2019-2024**

Ursula von der Leyen (Germany) PRESIDENT

Frans Timmermans (The Netherlands) EXECUTIVE VP FOR GREEN DEAL

Josep Borrell (Spain) VP & HR FOR FOREIGN AFFAIRS & SECURITY POLICY

Margrethe Vestager (Denmark) EXECUTIVE VP FOR DIGITAL AGE & COMPETITION

Johannes Hahn (Austria) BUDGET & ADMINISTRATION

Kadri Simson (Estonia) ENERGY

Paolo Gentiloni (Italy) ECONOMY

Elisa Ferreira (Portugal) COHESION & REFORM

Didier Reynders (Belgium) JUSTICE

Jutta Urpilainen (Finland) INTERNATIONAL PARTNERSHIP

Valdis Dombrovskis (Latvia) EXECUTIVE VP & ECONOMY & SOCIAL AFFAIRS

Rovana Plumb (Romania) TRANSPORT

Mariya Gabriel (Bulgaria) INNOVATION & YOUTH

Sylvie Goulard (France) INTERNAL MARKET

Virginijus Sinkevičius (Lithuania) ENVIRONMENT & OCEANS

Maroš Šefčovič (Slovakia) INTERINSTITUTIONAL RELATIONS & FORESIGHT

Stella Kyriakides (Cyprus) HEALTH

Margaritis Schinas (Greece) MIGRATION

Nicolas Schmit (Luxemburg) JOBS

Janez Lenarčič (Slovenia) CRISIS MANAGEMENT

Dubravka Šuica (Croatia) VP DEMOCRACY & DEMOGRAPHY

László Trócsányi (Hungary**) NEIGHBOURHOOD & ENLARGEMENT

Helena Dalli (Malta) EQUALITY

Ylva Johansson (Sweden) HOME AFFAIRS

Věra Jourová (Czech Republic) VP FOR VALUES & TRANSPARENCY

Phil Hogan (Ireland) TRADE

Janusz Wojciechowski (Poland) AGRICULTURE

EPP · S&D · ERC · Renew Europe · The Greens/EFA

* The UK has officially confirmed that it will not nominate a candidate
** The European People's Party (EPP) membership of Hungarian party Fidesz was suspended on March 2019.

euobserver

IN THE MEANTIME…

European Commission

#EUstrivesformore   #vdLcommission

Ursula von der Leyen — President

Valdis Dombrovskis — Executive Vice-President — An Economy that Works for People

Frans Timmermans — Executive Vice-President — European Green Deal

Margrethe Vestager — Executive Vice-President — Europe fit for the Digital Age

Phil Hogan — Commissioner — Trade

Mariya Gabriel — Commissioner — Innovation and Youth

Johannes Hahn — Commissioner — Budget and Administration

Nicolas Schmit — Commissioner — Jobs

Paolo Gentiloni — Commissioner — Economy

Janusz Wojciechowski — Commissioner — Agriculture

Elisa Ferreira — Commissioner — Cohesion and Reforms

Josep Borrell — High Representative/ Vice-President — A Stronger Europe In the World

László Trócsányi — Commissioner — Neighbourhood and Enlargement

Stella Kyriakides — Commissioner — Health

Didier Reynders — Commissioner — Justice

Rovana Plumb — Commissioner — Transport

Margaritis Schinas — Vice-President — Protecting our European Way of Life

Helena Dalli — Commissioner — Equality

Sylvie Goulard — Commissioner — Internal Market

Ylva Johansson — Commissioner — Home Affairs

Janez Lenarčič — Commissioner — Crisis Management

Kadri Simson — Commissioner — Energy

Jutta Urpilainen — Commissioner — International Partnerships

Virginijus Sinkevičius — Commissioner — Environment and Oceans

Maroš Šefčovič — Vice-President — Interinstitutional Relations and Foresight

Věra Jourová — Vice-President — Values and Transparency

Dubravka Šuica — Vice-President — Democracy and Demography

A New Push for European Democracy

THANK YOU FOR YOUR ATTENTION!

QUESTIONS?

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