

Synergies between FP7, the CIP and Cohesion Policy Funds

Plenary Session on Areas of Synergies

Lecturer: Manfred Horvat

Position: Rapporteur, Synergies Expert Group

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Outline

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The Synergies Expert Group (SEG)

- 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

(Details see Annex)

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).

Working methods

- 6 meetings between October 2010 and April 2011
- Document analyses
- Presentations of and discussions with
 - Commission services (DG RTD, DG REGIO, DG ENTR, DG EAC)
 - ESFRI, EIB
- Group discussions
- Substantive written comments and inputs
- Drafting of the report with several feedback loops
- Final Report 1st June 2011

Approach taken

- Following the 'innovation systems' approach
- Considering the 'location-based dimension' of innovation
- Orienting the different rationalities of the programmes regarding objectives, target groups and instruments towards the EU common objectives

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. This does not mean that the distinct programmes have to merge, become similar or 'dominate' (or duplicate) each other. They can continue to be different but at the same time they should aim to jointly contribute to converging objectives.



Policy contexts

- 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
 - Key role of research and innovation
 - EU Budget Review
 - Common Strategic Frameworks

Main issues

- The fragmentation of innovation policies at EU level
- The sub-optimal coordination at European, national and regional level, both within and between these levels
- A lack of common strategies in accordance with the orientations of Europe 2020
- A lack of a coherent and interacting governance structures
- Weak complementarities and compatibilities as well as interoperability of policies and programmes
- A lack of instruments for pooling of European and national funds
- Poor communication, coordination and cooperation between actors and stakeholders at all levels.

Current programming period (i)

Recommendations

- Test possibilities of the interoperability of programmes and instruments
- When strengthening innovation consider possible impacts on the formation of European project partnerships and clarify limitations defined by EU Competition Rules and WTO Rules
- Explore the potential of 'new financial instruments' and wider use of EIB for funding of innovation activities. Improve the access to finance for innovative SMEs and promote the use of Risk Sharing Finance Facility (RSFF) funds for public research and technology transfer initiatives
- 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 and learn from the experiences in the ICT area
- Monitor the development of EIT KICs and test their possible catalytic function for translating FP7 and other research results into innovation
- ‘Seal of excellence’: Consider positively evaluated FP7 projects that are not funded because of budgetary limitations for funding from Structural Funds
- Exploit Structural Funds for innovative public procurement and demonstration
- Improve communication and cooperation between different bodies for advice, implementation, monitoring as well as information and assistance (NCPs, EEN)
- 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:

- Common Strategic Framework for Research and Innovation (CSFRI)
- Common Strategic Framework for Cohesion Policy (CSFCP)



Next programming period (ii)

CSFRI & CSFCP: Clear objectives and profiles

- CSFRI will work at EU level and will be oriented towards promoting **excellence**, addressing grand societal challenges, and supporting competitiveness, based on competitive project selection procedures applying international peer review
- The part of CSFCP related to research and technological development, innovation and entrepreneurship will work at regional level and will focus on '**capacity building**' where **national and regional relevance** will play a major role too.



Next programming period (iii)

Principles 1

- **Interoperability** of the two Frameworks, improved **communication**
- **Excellence** as a general principle of orientation of all future schemes related to research and innovation. Also future actions in the CSFRI supporting innovation in the regions should privilege excellence as their primary selection criterion
- Making a reality of the **knowledge triangle** between education, research and innovation and promoting the **Triple Helix** of government authorities, industry and research institutions in order to provide favourable frameworks and eco-systems for innovation at EU, national and regional level
- **Smart specialisation**: regions developing their specific strengths
- **International peer review**
 - For competitive project selection in CSFRI
 - In CSFCP: where appropriate, e.g. for assessing regional research and innovation strategies, evaluation of Research Infrastructures and Regional Partner Facilities, major initiatives for human resource development for research

Next programming period (iv)

Principles 2

- **Simplification**
- **Interoperability** of the two frameworks in the areas of research and innovation:
 - Designing compatible rules & procedures, coherent application formats and evaluation criteria; synchronised roadmaps and administrative cycles
 - CSFCP accepting 'Seal of excellence' for positively evaluated CSFRI projects
 - Allowing projects to be funded from different sources - CSFRI, CSFCP, others
 - Offering optimal access through common entry points
- Improve **communication, coordination and cooperation** between committees and advisory bodies; meetings between different committees (such as ERAC and COCOF)

Next programming period (v)

Key recommendations 1

- Clearly indicate share of funds supporting innovation and related activities
- Introduce a Small Business and Innovation Research Scheme (“SBIR” Programme)
 - A certain percentage of research and innovation budget at EU level and EU Member States level should be allocated only to innovative SMEs.
 - Two possible options for the implementation of SBIR Programme:
 - Organised at EU level and implemented by the European Commission;
 - Organised by the EU Member States and Associated Countries and the Commission provides co-funding for such national or regional schemes
- Offer CIP functions across the CSFRI; enhancing the innovation and entrepreneurial culture in Europe; establish inter-DG steering group
- EIT and the catalytic functions of KICs should provide testbeds for new approaches towards exploitation of research results and innovation

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, CSFRI should support the general policy development, feasibility studies and the networking between and the open access to RIs and will also support the operations based on peer review
 - At regional level, CSFCP (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 – on voluntary base - a ‘performance reserve’ for awarding excellent performance of regions implementing their research and innovation strategies
- CSFCP to support capacity building offering ‘staircases to excellence’
- Focus CSFCP on clusters as favourable eco-systems for innovation; foster streamlining of EU cluster schemes
- Use CSFCP for the modernisation of universities and research organisations – infrastructure, equipment, human resource development
- Support KIC co-location centers in convergence regions

Next programming period (viii)

Key recommendations 4

- Launch a unified EU technology licensing process enhancing the commercialization of RTD 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 CSFCP funding 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 CSFCP
 - 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 CFSCP
 - 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 research and innovation activities in a new global context
- Close coordination and cooperation of the two Common Strategic Frameworks CSFRI and CSFCP oriented towards the objectives of the Europe 2020 and Innovation Union will contribute to
 - Reinforcing excellence,
 - Coping with Grand Challenges, and
 - Promoting European competitiveness
- CSFRI and CSFCP working together in complementary ways will present an important European competitive advantage – the Commission as ‘facilitator’ and the Member States and regions as the main actors

**Thank you very much for your
attention!**

Prof. Manfred Horvat

Rapporteur of the Synergies Expert Group

manfred.horvat@gmx.net

**for the Synergies Expert Group
chaired by Prof. Frans van Vught**

Members of the Synergies Expert Group 1

- **Frans van Vught (Chair)**, President of the European Center for Strategic Management of Universities, Former Rector and President of the University of Twente, The Netherlands; Member of the Board of the European Institute of Technology Foundation; Honorary professor at the universities of Melbourne and Twente; The Netherlands
- **Manfred Horvat (Rapporteur)**, Honorary professor at the Vienna University of Technology; Former Director of the Austrian Research Promotion Agency (FFG), Division for European and International Programmes (EIP); Member in several EC Expert Groups; Austria
- **Helena Acheson**, New member of Technopolis; Former Head of Division for Science, Technology & Innovation Policy & STI Awareness Programmes at FORFAS, Ireland
- **Dan Andree**, Special Advisor, Swedish Ministry of Education and Research and VINNOVA; Chair of Working Group on ERA Instruments, European Research Area Committee (ERAC); Sweden
- **Anton Anton**, Vice-Rector for Research at the University of Civil Engineering, Bucharest (since 2008); former Secretary of State, Ministry of Education, Research and Youth, President of the National Authority for Scientific Research (NASR); Romania
- **Guy Clause**, Director for Convergence and Environment at European Investment Bank (EIB), Luxembourg
- **Giovanni Colombo**, ; Adjunct Professor, Politecnico di Torino; Member of the European Commission's Strategic Advisory Board on Competitiveness and Innovation (STRABO); Member of the Executive Committee of the EIT Governing Board; Former CTO, Telecom Italia LAB and Head of long-term research, Telecom Italia; Italy
- **Erzebet Dobos**, President of the Hungarian Investment and Trade Agency, Hungary

Members of the Synergies Expert Group 2

- **Michel Gaillard**, Research Director in CNRS (1976/2009) ; until April 2009: Chef du bureau « Affaires européennes » de la direction de la stratégie à la direction générale de la recherche et de l'innovation, ministère chargé de l'enseignement supérieur et de la recherche ; représentant de la France au CREST; France
- **Jana Kolar**, Director General, Science Directorate of the Ministry for Higher Education, Science and Technology, Slovenia
- **Eleni Marianou**, Secretary General of the Conference of Peripheral and Maritime Regions of Europe (CRPM), Greece
- **Helena L. Nilsson**, R&D Director, Regional Development, Region Västra Götaland, Sweden
- **Peter Oakley**, Associate Director TWI Ltd, Member of EARTO; United Kingdom
- **Tea Petrin**, Professor of economics and entrepreneurship at the University of Ljubljana; Former Minister for Economic Affairs and later Minister of the Economy in Slovenia; Chair of the European Cluster Policy Group (ECPG); Slovenia
- **Carlo Rizzuto**, Chairman of ELETTRA Research Infrastructure, Trieste; Former Chairman of European Strategy Forum for Research Infrastructures (ESFRI); Italy
- **Olle Sternberg**, Managing Director, Chalmers Innovation Fund, Sweden

