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Joint Programming Initiatives: Chances and Challenges for new tool in the ERA

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Background

2

- Findings are based on project for the Committee for Science and Technology Policy (CSTP) of the OECD "Multilateral Governance of STI for Global Challenges"
 - Comparison of international cooperation in science, technology and innovation
 - Case studies: **Joint Programming Initiatives (JPI) FACCE**, CGIAR, Global Health Program the Gates Foundation, GEO IAEA, IAI, IEA
- First hand experience in the set-up of the JPI URBAN EUROPE by supporting the Austrian Government since 2009
 - Identification of themes for JPIs
 - Set-up of the governance structure
 - Support in writing the Strategic Research Agenda
 - Set-up of a international and national stakeholder process

Content

3

- European Research Area (ERA)
- Introduction of the Joint Programming Initiative (JPI)
- Existing ERA instruments and the JPI
- Challenges of the JPI

European Research Area (ERA)

4

- 85% of all public R&D funding is programmed on national level
- EU aims on alignment, opening and integration of national R&D programmes and policies (see Lisbon Agenda, Ljubjana Process, Europe 2020)
- To build an ERA the following actions should be taken (Green Paper 2007)
 - Jointly identifying major challenges that go beyond the national capacity
 - Developing common framework conditions to increase the efficiency
 - Establishing joint research programmes (combining EU, national and industry funding)
 - Building on existing experience to improve programme coordination
 - Exploiting the potential of intergovernmental research organisations

Introduction of the JPI I

Set-up on European Level

- Strategic approach for integration of national research programmes is needed (ERA-NET Review 2006)
- 2008 European Council set up a group for Joint Programming (GPC) consisting of MS to establish JPIs according to its communication

Aim of JPIs

- Participating MS design a joint research programme to tackle major societal challenges (e.g. urbanisation, climate change)
- Oriented basic research, applied / industrial research, experimental development
- Research should transform into tangible benefits for society and economy

Participation and Commitment

- MS initiative with voluntary participation
 - Long-term commitment needed
 - Intensive participation of stakeholders on European, national and regional level required
 - EC only supportive role
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Introduction of the JPI II

Themes

- JPI themes (societal challenge) are proposed by interested MS, European Council only agrees

Set-up and implementation on JPI level

- JPIs develop a common vision
- Vision translates into Strategic Research Agenda
- Implementation of SRA: MS orient their program in a common manner

Selected Examples

- Neurodegenerative Diseases/Alzheimer's
- Cultural heritage
- Urban Europe
- Climate knowledge for Europe (CliK'EU)

Governance and Framework Conditions (FC)

- EU bodies developed recommendation for framework conditions and governance structures, but non-binding
- Allowing each JPI to have its own governance structure and FC

Funding

- MS fund joint activities, no EU funding, some JPIs receive a funds from CSA

Duration

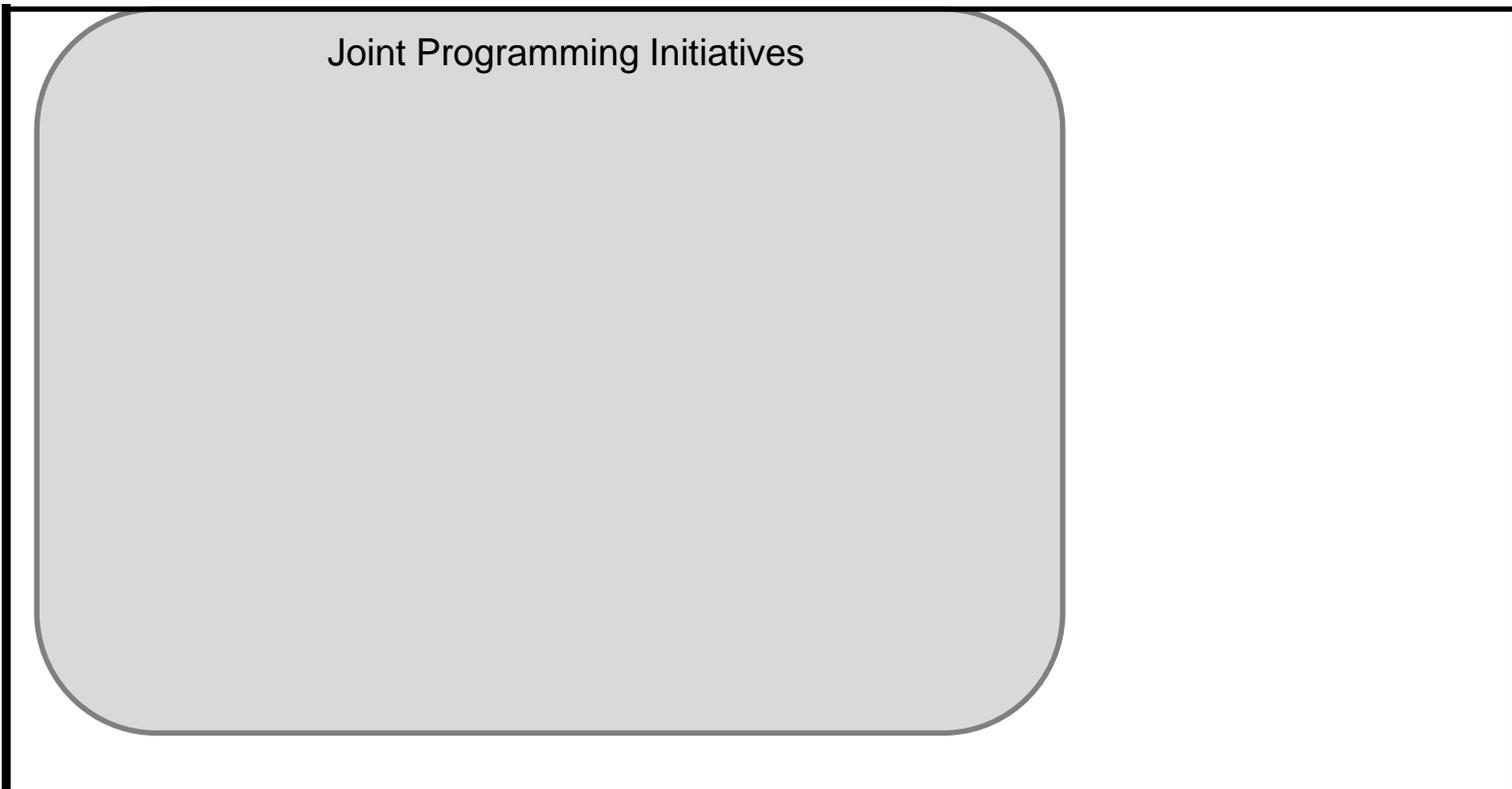
- Long preparation phase (ca. 2-3 years), running time: couple of years

National and Regional Programmes

Joint Programmes

Joint R&D-related activities (e.g. joint calls, conferences)

Alignment of national programmes



Cooperation

Capacity

Joint Research Centre (JRC)

Ideas

People

7th Framework Programme of the European Commission

Basic Research



Applied Research



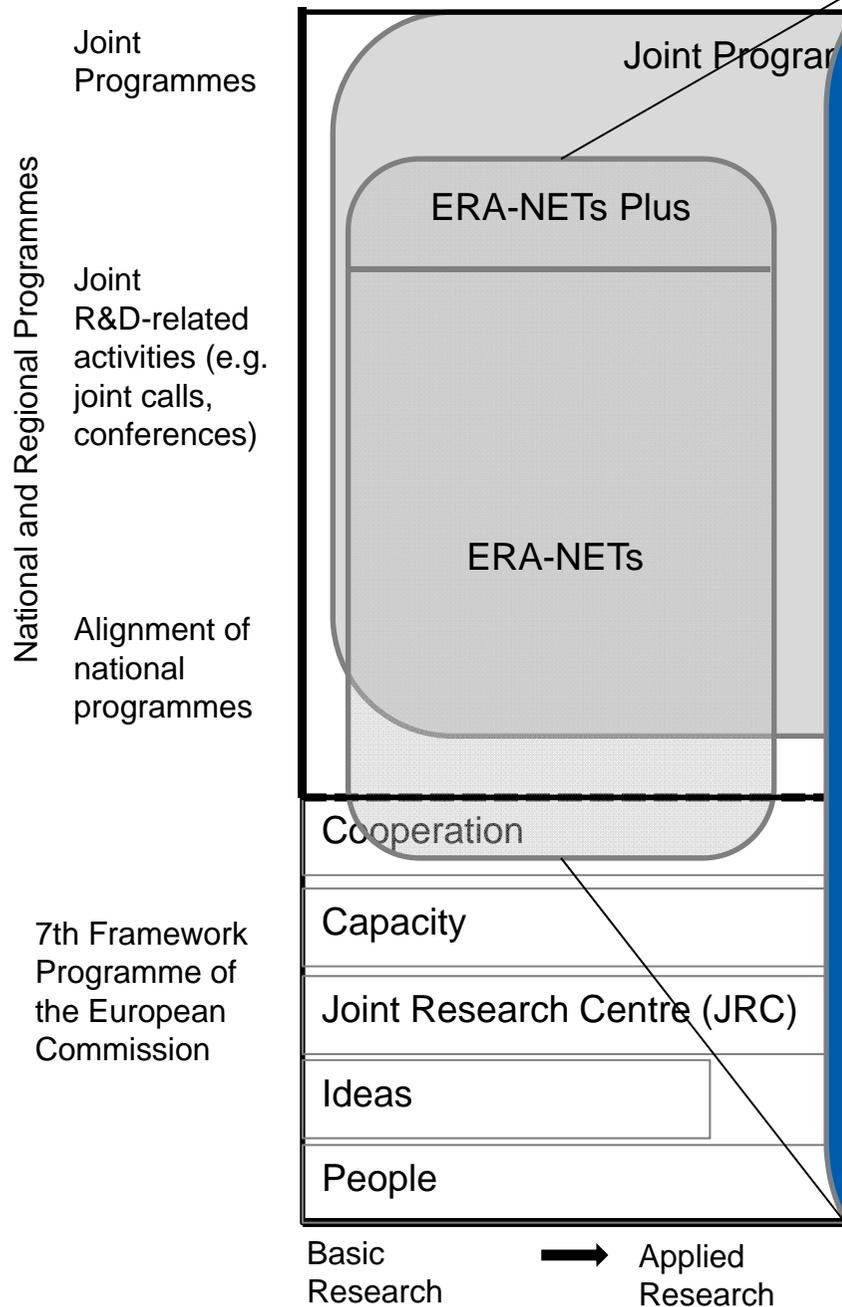
Development



Innovation



Deployment



ERA-NETs (Plus)

- Framework (testing area) for programme managers and owners to coordinate their activities (already in 2002)
- Focus on basic and applied research activities
- Funding from the EU (CSA and topping up in ERA-NETs Plus)
- Over 100 ERA-NETs, small and relatively short-term
- Mostly joint calls, hardly joint programmes

How do JPIs differ?

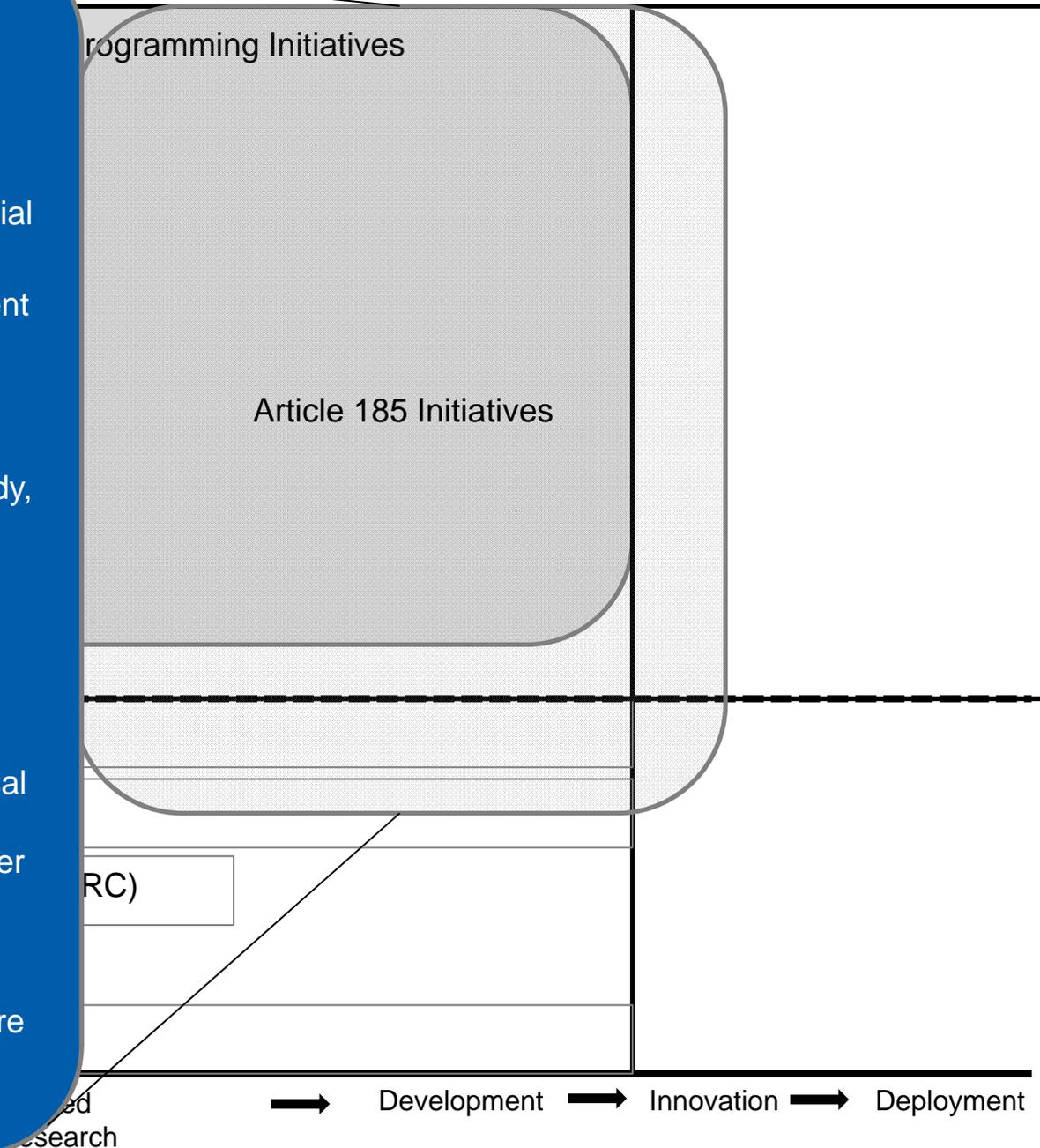
- Strategic approach on solutions for societal challenges (critical mass needed)
- Coverage from basic research to experimental development and innovation
- Set-up of true joint programmes
- Intensive stakeholder involvement more useful due to scale and long-term orientation
- MS initiative with high commitment
- No EU funding recipient

Article 185 Initiatives

- Coordination of national research programmes and policies in strategic research areas (e.g. Baltic Sea Research, Metrology)
- Strong EU influence and substantial financial support
- Strong and irreversible commitment of MS
- Formal dedicated and legal structure
- 8-9 months until EC proposal ready, long implementation phase
- Joint programmes and calls, researcher mobility grants, etc.

How do JPIs differ?

- Themes are a result of MS discussion instead of EC proposal
- No EU funding involved
- JPIs require intensive stakeholder involvement, the impact of interaction is lower in 185 Initiatives
- No formal organisational structure
- Shorter set-up and implementation phase



JTIs

- Framework for cooperative research in technological fields of key importance for EU competitiveness
- Organisation in a public-private partnership
- Founding members: MS, EC, non-profit industry associations, SMEs, research organisations
- 50% of funding from industry
- Research development, implementation, deployment
- 5 JTIs, e.g. in the area of medicine, IT, air transport

How do JPIs differ?

- encounters grand societal challenges, less industry-driven
- no industry funding needed, but strong involvement of manifold stakeholders (e.g. cities, society)
- no legal entity needed

Programming Initiatives

Joint Technology Initiatives

Basic Research



Applied Research



Development



Innovation



Deployment

Specificities of JPIs

- Thematic focus on grand societal challenges (pooling resources)
- True joint programmes
- Potential for real common pots
- Intensive stakeholder integration
- MS are in the driving seat
- Strong commitment of MS needed

Challenges for JPIs I

The process of identification of ‘grand societal challenges’ suited for JPIs so far was rather unsystematic

- No clear procedure
- Definition of themes was hardly evidence or foresight based, policy makers had a strong influence
- Themes have a wide range of scope and concreteness

Challenges for JPIs II

The involvement of stakeholders needs to be enforced

- JPIs should integrate stakeholders already from the beginning (e.g. thematic setting of JPIs) → no clear procedure
- Identification of stakeholders on regional, national and European level is problematic due to broad thematic focus
- Complex task to get a coherent view from different stakeholders
- Stakeholders integration in governance structure often unclear

Challenges for JPIs III

Establishing of stable long-term, high-level joint programmes based on common budget solutions is one of the greatest challenges

- So far only joint calls with shared pots
- Real common pot solution difficult to realise
- Trust is needed, experience in Nordic countries exists

Challenges for JPIs IV

15

Other challenges

- The participation between MS differs quite significantly
- Among JPIs there exist heterogeneity of governance structures and framework conditions
- Establishing JPIs requires highest commitment and stability of MS
- Limited interaction between JPIs

Thank you for your attention!

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