

Input Paper: Research and Development (R&D) partnerships of the European Union



























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Research and Development (R&D) partnerships of the European Union



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The present R&D funding environment in the European Union is complicated and finding your way through it is time-consuming. Cooperation between the European Union and Member States takes place within the scope of

various partnerships. The goal is to reduce fragmentation and contribute to the solution of the problems highlighted in the Europe 2020 strategy ¹.

Prior experience has demonstrated that partnerships guarantee the more active participation of Member States and other stakeholders, and they increase the levering effect of European financing mechanisms and cohesion between scientific research and innovation. It's essential that existing partnerships remain open to newcomers after their establishment, if these newcomers meet the conditions set for the initial participants.

This overview gives insight about EU partnerships which are partly funded from the budget of Horizon 2020 (2014-2020).

Participation in the EU Partnerships sets certain conditions for the participating countries. Domestic cooperation with various partners and funding bodies must be coordinated and planned. In Annex 1, we present the Strategic Framework for Estonia's participation in the EU Research, Development and Innovation Partnerships as example.

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¹ http://ec.europa.eu/europe2020/europe-2020-in-a-nutshell/index_en.htm

Table of Contents

Joint programmes based on TFEU Article 185 (former Article 169)	6
ERA-NET Cofund	9
Joint Programming Initiative (JPI)	11
Joint Technology Initiatives (JTI)	13
Contractual Public-Private Partnerships (cPPPs)	16
European Innovation Partnerships (EIP)	17
Annex 1	18

Joint programmes based on TFEU Article 185 (former Article 169)









Joint programmes based on TFEU Article 185 (former Article 169) are thematic joint programmes between Member States in which the European Commission also participates as a financier (the Member States and the Commission contribute 50% of the programme's budget). The participating partner countries jointly cover the maintenance expenses of the secretariats working for the joint programme.

During joint programmes, several joint calls for research, innovation or mobility projects are announced. The Terms of Reference of participation are agreed on before every call and the participation criteria are set out in them

Five joint programmes have been established to date:

- The **purpose** of the **European & Developing Countries Clinical Trials Partnership** (EDCTP2) is to accelerate the development of vaccines and medicines against HIV/AIDS, tuberculosis and malaria. EDCTP2 issues grants for clinical research and supports networking and activities aimed at increasing capability, and it develops the capacity and sustainability of developing countries in this area. The main schemes for supporting EDCTP are integrated projects, grants for advanced scientists, projects initiated by Member States and networks of centres of excellence. Training in ethics is also supported.

The programme's **budget** from the side of the European Commission is 683 million euros and the 16 participating Member States will add the same amount.

The European Economic Interest Grouping (EEIG-EDCTP), which is the legal entity for the implementation of the programme and the management of financing govern the activities of the EDCTP2. The EEIG consists of: a) the General Assembly, where all Member States participate and the European Commission is represented, and b) the Secretariat, which is the executive body that deals with daily governance. The structure outside the EEIG consists of the Advisory Board, which consists of independent scientific experts, who advise the EDCTP about strategic planning.

- The **purpose** of **Active Assisted Living (AAL)** is to create better living conditions for the aged using information and communication technology (ICT).² A project call on the topic of active and healthy ageing is organised in the area of ICT every year. Special emphasis is placed on the inclusion of industry partners (in particular, SMEs). The managed joint programme of AAL is used to finance the joint projects of countries, which must have at least three participating countries and involve small and medium-sized enterprises, research institutions and organisations representing the target group. The timetable for launching the outcomes of the project on the market is up to three years after the end of the project.

The **budget** of the project provided by the European Commission is 175 million euros and the participating Member States should add an equivalent amount. A contribution of 350 million euros is also expected from industry. The total planned budget is therefore 700 million euros.

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² Ambient Assisted Living (2008-2013) follow-up programme

The highest body of the AAL is the **General Assembly**, which consists of the representatives of all partner countries. The General Assembly meets at least three times a year. The General Assembly elects a board of directors, which is the official legal representative of the AAL and responsible for its staff, contracts and budgeting. The board of directors is assisted by the Secretariat, which is based in Brussels, and the coordinators of partner countries. The AAL engages with an Advisory Board for advice, which consists of outstanding specialists of business, innovative technology, science or politics.

- Programme for supporting R&D-performing SMEs (EUROSTARS-2)

The **objective** of Eurostar is to guarantee financing and support for R&D-performing enterprises (in particular SMEs).

Eurostars projects must be market-based: their maximum duration may not exceed three years and the outcomes of the project should be ready for launching on the market within two years of the end of the project. Projects in the areas of biomedicine or medicine are an exception where clinical research must start within two years after the end of the project. A prerequisite for applying for support is that at least two R&D-performing projects from different countries that have joined the Eurostars programme participate in the project (form a consortium). The project is controlled by the SME that involves others in the project: an SME, research institution, university and/or large company. An R&D-performing SME is an SME where at least 10% of full-time employees are engaged in the areas of R&D or an equivalent percentage of the company's turnover is used for research and development.

The Eurostars 2 programme is nationally financed, its **total budget** is 1.14 billion euros; the European Commission contributes 287 million euros (from the budget of Horizon 2020) and the participating states (33 EUREKA members) guarantee the remaining 861 million.

Three bodies guarantee the governance of Eurostars:

The **Eurostars High Level Group (HLG)**, which consists of the representatives of participating states and the European Commission, governs the programme. The EUREKA states that do not participate in Eurostars have the status of a special observer. The function of the HLG is to supervise all of the activities and the implementation of the programme.

The **Eurostars Advisory Group (EAG)**, which consists of National Project Coordinators (NCP). The function of the EAG is to advise the Secretariat and members of the HLG in all issues concerning Eurostars. The NCPs advise applicants in their countries. The European Commission participates in the meetings of the EAG as an observer.

The **EUREKA Secretariat** is the implementing entity of the joint programme. The Secretariat prepares the calls and assessment of proposals, monitors ongoing projects and synchronises activities. The Secretariat also distributes the funding received from the European Commission. Up to two calls for proposals per year are planned.

- European Metrology Research Programme (EMRP)

The main **objective** of the EMRP is to support the broader integration of national programmes of research and development in the area of metrology. The European Association of National Metrology Institutes (Euramet) is responsible for the development and implementation of the programme. Membership in Euramet is open to:1) National Metrology Institutes (NMIs) of member states of the European Union and of the European Free Trade Association; 2) NMIs of other European states that fulfil the following criteria: traceability routes to the SI identified and in operation for the last three years; participation in international comparisons; participation in EURAMET projects; 3) the Institute of the European Commission that operates in the area of metrology.

Joint calls consisting of two stages are declared during the programme. The members or associates of Euramet can participate in joint calls. If another organisation wants to participate, they can do so subject to the consent of the other project participants and the Chairman of the Technical Committee.

The project is **funded** by the European Commission with 300 million euros (from the Horizon 2020 budget) and with an equivalent amount from partner states via the European Association of National Metrology Institutes.

The management structure of the EURAMET is as follows: The General Assembly (GA) is the highest authority and decision-making body, where all partner states are represented. The institutes applying for membership have observer status. The Board of Directors is responsible for governance and strategic direction, while the twelve Technical Committees coordinate the technical work of EURAMET. Every Member State can appoint a contact person to each Committee. Associates can also appoint their contact persons. The EMPIR Committee is the decision making body for all matters concerning the programme. Each member participating in the programme has one representative. The Research Council communicates with stakeholders in the research and policy issues of the programme. The Secretariat, which supports the managing bodies, is located in Braunschweig.

- The joint Baltic Sea research and development programme BONUS

The **objective** of the programme is to obtain data for the implementation of the programmes of the Baltic Marine Environment Protection Commission HELCOM, the EU Marine Strategy Directive and the numerous national, regional and European policy programmes for sustainable development. The programme is primarily aimed at strengthening the ecosystem of the Baltic Sea and, to a lesser extent, support is also given to projects focused on the development of innovative technological solutions.

The institutional organisers of the programme are BONUS EEIG, who represents ten research-funding organisations from nine Baltic Sea countries - Denmark, Estonia, Finland, Germany, Latvia, Lithuania, Poland, Russia and Sweden. Separate contracts have been entered into for the participation of Russian scientists. In addition to partners, many other funding institutions have been involved in financing innovation projects (e.g. the Environmental Investments Centre from Estonia).

The European Commission has promised to contribute **50 million euros** from 2010 to 2017. The participating Member States have promised to pay an equivalent amount. In-kind contributions are also allowed if access is granted to research infrastructure and the amount does not comprise a significant share of the monetary support.

The management structure of BONUS is as follows: the Steering Committee is the highest decision-making body, which is formed of representatives from the national funding institutions. The Steering Committee convenes approximately three times a year and decides on the budget and strategic activities. The Advisory Board consists of scientists of high international standing and representatives of relevant stakeholders. The Advisory Board members assist the BONUS Secretariat by providing independent advice, guidance and recommendations regarding scientific and policy-related issues. The BONUS Forum is composed of the representatives of the relevant ministries of the nine Baltic Sea countries that coordinate the areas of environment, transportation, agriculture, forestry and research in their countries. The Forum convenes once a year. The Forum of Project Coordinators is composed of coordinators of ongoing projects and assists the Secretariat in matters dealing with the scientific coordination of projects. The BONUS Secretariat was established in 2007 to organise the management of the joint programme. The member fees and the Finnish Ministry of Education fund the BONUS Secretariat.

Read more: http://ec.europa.eu/programmes/horizon2020/en/area/partnerships-industry-and-member-states

ERA-NET Cofund

ERA-NET Cofund under Horizon 2020 is designed to support public-public partnerships, including joint programming initiatives between Member States, in their preparation, establishment of networking structures, design, implementation and coordination of joint activities as well as Union topping-up of a transnational call for proposals, which is based on the merger of the former ERA-NET and ERA-NET Plus actions and is implemented by using 'programme co-fund actions'.

The main and compulsory activity of the ERA-NET Cofund under Horizon 2020 is implementation of the joint call for proposals co-funded by the European Commission (EC) that leads to the funding of transnational research and/or innovation projects (one co-funded call per Grant Agreement). In addition to the co-funded joint call for proposals, consortia may carry out other joint activities, including organise calls that are funded with the money of partners. The rate of EC co-funding for ENA-NET COFUND is 33% or the same as for the RP7 ERA-NET Plus measure.

The duration of the ERA-NET COFUND is five years. During this time, the consortium of partner organisations has to prepare and organise a call for proposals co-funded by the EC and an assessment of the submitted proposals, and to fund the project strictly on the basis of the ranking prepared according to the assessment results, supervise the implementation of the projects and guarantee that the final payment is made to the person that completed the project in a timely manner. The duration of projects is three years and no extension is allowed. The European research networks will not be supported from the Coordination and Support Action (CSA) during the period of Horizon 2020, as only networking will be supported.

Networks of various research-funding organisations may submit proposals within the scope of the topics, incl. Joint Programming Initiatives (JPI) declared by the European Commission for the ERA-NET COFUND measures for the organisation of joint calls with the top-up funding from the EC. The winning consortia start preparing the joint calls.

The minimum **budget** of a joint call is 5 million euros (includes the contribution of the EC). The share of the European Commission in total funding is 33%. This co-funding is directed towards the joint funds of the consortium, and the consortium decides jointly on how to use the money. Therefore, the partners that organise the joint call cannot automatically consider it to be additional co-funding for their budgets. If other activities are associated with a joint call, the European Commission presumes that each partner's costs during these activities are 29,000 euros + 25percentage overheads, and compensates 33% of 11,962.50 euros of them. Up to 10% of the top-up can be used to carry out calls in which the EC participates, on the condition that the partners have repaid the amount for funding projects by the end of ERA-NET.

Ukraine has experience of participation in different ERA-NETs. Ukraine has participated in three ERA-NETs during the period of EU 7th Framework Programme. Namely: Networking on Science and Technology in the Black Sea Region - BS-ERA.NET (National Information Centre for Ukraine-EU ST Cooperation at Kyiv State Centre for Scientific, Technical and Economic Information), Towards integrated European marine research strategy and programmes - SEAS-ERA (Kyiv State Centre for Scientific, Technical and Economic Information UA), European Phytosanitary Research Coordination II- EUPHRESCO (Ukrainian Academy of Agrarian Sciences). During Horizon 2020 Ukraine is involved in two ERA-NET Cofund activities. Namely: Establishing the European Geological Surveys Research Area to deliver a Geological Service for Europe – GeoERA

(State Research and Development Enterprise State Information Geological Fund of Ukraine), and **The European network for observing our changing planet - ERA-PLANET** (Space Research Institute under NAS and National Space Agency of Ukraine). Here Ukraine will receive the fist experience in participating in joint calls as funder.

Read more: https://www.era-learn.eu/



Joint Programming Initiative (JPI)



The **aim** is to coordinate between states and jointly plan research programmes that require broader cooperation and more resources.

Suitable Joint Programming areas have been identified by a High Level Group on Joint Programming (the GPC from the French "Groupe de Programmation Conjointe"), consisting of nominees from Member States and of the European Commission.

From there on, the participation of Member States in each initiative is "à la carte", based on voluntary commitments leading to partnerships composed of variable groups of countries. For each initiative, participating countries started by:

- developing a shared vision;
- defining a Strategic Research Agenda (SRA) and SMART objectives (Specific, Measurable, Achievable, Relevant and Time-Bound); and
- Preparing for implementation of the SRA by analysing the options, assessing expected impacts and defining the best mix of instruments to be used.

The following joint programming initiatives are currently ongoing:

- Alzheimer and other Neurodegenerative Diseases
- Agriculture, Food Security and Climate Change
- A Healthy Diet for a Healthy Life
- Cultural Heritage and Global Change
- Urban Europe Global Urban Challenges, Joint European Solutions
- Connecting Climate Knowledge for Europe (CliK'EU)
- More Years, Better Lives the Potential and Challenges of Demographic Change
- Antimicrobial Resistance Water Challenges for a Changing World
- Healthy and Productive Seas and Oceans

Ministries, research-funding institutions and research institutions can be **members of JPI.** This means that there may be several members from the same country in JPI. The outputs of the activities of JPI may be the common strategies of partner countries, joint calls for research projects, 'fine-tuning' of national research, cooperation with other research initiatives.

Some initiatives have determined a non-refundable participation fee for the management of its activities. This varies for different initiatives. AMR and HDHK, for example, do not charge membership fees. JPIs try to use various funds for financing their activities at regional, national and European levels, which include human resources, research infrastructure, etc. This includes:

- national research financing resources, institutionalised investments, in-kind contributions (human resources, research infrastructure)
- resources of structural funds
- grants
- establishment of research networks and associations (covering the entire innovation chain)
- Creation of open access mechanisms to knowledge and data.

The European Commission supports the joint programming process in different ways:

- declares calls for supporting activities to help manage JPI (within the scope of Horizon 2020 calls)
- launches possible additional measures to support the strategic research plan of the JPI
- connecting the JPIs to various international activities and organisations, where the Commission represents the EU
- Informs the Council and the European Parliament about the activities of JPI.

Calls for projects are funded based on the virtual "common pot" model. The budget is compiled by the countries participating in the call for proposals. Countries finance their own participants - every country finances their participants in successful projects and covers the administrative expenses they have incurred from their own funds. Therefore, the researchers are not funded directly by the initiative, but only by the relevant funding organisations of these countries. *Everyone considers their budgetary limitations when doing so.*

Read more: http://ec.europa.eu/research/era/joint-programming-initiatives en.html

http://www.jpi-oceans.eu/sites/jpi-oceans.eu/files/public/news-images/Joint%20Programming%20Initiatives_general%20cover%20folder_gatefold-A4_DEF.pdf

http://www.jpi-oceans.eu/sites/jpi-oceans.eu/files/public/news-images/Joint%20Programming%20Initiatives JPIS%20sheet-A4 DEF.pdf

Joint Technology Initiatives (JTI)



The **aim** of Joint Technology Initiatives is to join forces with the private sector and Member States to achieve the results the state or company could not achieve on its own. The implementation of strategic development plans prepared because of cooperation between industry and the public sector and supported within its scope. They are primarily European industry driven research programmes.

The package covers investments for **22 billion euros** for the next seven years, whilst the 8 billion euros from the Horizon 2020 programme is topped up by 10 billion euros from industry and approximately 4 billion euros from Member States. This guarantees funding for large, long-term and risky scientific research and innovation initiatives. **Cooperation projects** and **coordination and support measures** are funded, and **procurement** is declared for some activities.

Open calls for projects are organised every year and they consist of either one or two stages. Different funding instruments can also be combined. Information about the various JTI calls is accessible on the EU Participant Portal: http://ec.europa.eu/research/participants/portal/desktop/en/home.html

The following JTIs will be created within the scope of Horizon 2020:

Aviation and air transport (Clean Sky 2), the aim of which is to increase the competitiveness of the European aviation industry whilst reducing emissions and noise at the same time. The **budget** of the CS2 JTI is 4 billion euros, where the contribution of the European Commission is 1.755 billion euros (paid from the budget of Horizon 2020), industrial partners contribute 2.245 billion and the in-kind contribution of aviation industry enterprises is 1 billion. Self-financing by partners is 50%, 25% for associates and 25% for project participants. CS2 JTI is a **joint undertaking**, the Governing Board of which consists of representatives of the European Commission and the aviation sector. 40% of the funds are prescribed for the founding members of CS2, who implement the technical programme and contribute to the activities during the entire period. 30% is allocated to core partners, who are selected in the open calls held at the start of the programme and who thereby become full members of the joint undertaking. The remaining 30% of the budget is allocated to the joint calls held once a year. **Estonia** does not participate in this initiative.

The **goal** of the **Innovative Medicines Initiative (IMI2)** is to support the development of better and safer medicines for patients. The **budget** of IMI2 is 3.276 billion euros where 1.638 billion euros is covered by the European Commission (from the Horizon 2020 budget). The European Federation of Pharmaceutical Industries and Associations (EFPIA) will commit 1.425 billion euros and, in addition, other life science industries and organisations may contribute a further 213 million euros if they decide to join IMI2 as members or as partners in

individual projects. IMI2 JTI is a joint undertaking, and the European Commission and the EFPIA are equally represented on its Governing Board. The Governing Board adopts funding decisions in joint calls.

The goal of Fuel Cells and Hydrogen (FCH) is to accelerate the development and introduction of fuel cells and hydrogen elements. The budget of FCH2 is 1.3 billion euros, including the expected contribution from the European Union of up to 665 million euros, and the other half will be covered by partners - 665 million euros. which consists of both in-kind contributions and additional activities. The activities of FCH2 are managed by a Governing Board, which consists of representatives of the European Commission, industry and the research community. The Governing Board makes funding decisions. Open calls for proposals are held, and procurement is declared for some activities.

The goal of Electronic Components and Systems (ECSEL) is to keep Europe at the forefront in the area of electronic components and systems and reduce the time it takes until production starts. The estimated **budget** is 5 billion euros where 1.18 billion euros is covered by the European Commission (from the Horizon 2020 budget) and the participating Member States contribute an equivalent amount. The industrial partners that participate in joint calls are expected to contribute at least 2.34 billion euros. ECSEL is a joint undertaking, the Governing Board of which consists of private members (ARTEMISIA, AENEAS, and EPO) and representatives of Member States, Associated States and the European Commission. The Governing Board makes funding decisions. Open calls are used to implement the work plan. The funding rate of JTI ECSEL projects depends on the activity type (basic research, applied research, development) or the type of ownership of the participating institution (public, SME, large company). ECSEL effectively continues the activities of two former JTIs - JTI ARTEMIS (embedded systems) and JTI ENIAC (nano-electronics).

The goal of Bio-Based Industries (BBI) is to develop new competitive bio-based value chains, which compensate for the need for fossil fuels and have a strong impact on the development of rural life. The budget is 3.7 billion euros, with 975 million euros coming from the European Commission (from the Horizon 2020 budget) and the Bio-Based Industries Consortium (BIC) covering the majority of the remainder. The full members of BIC are industrial partners, i.e. large companies, SMEs, clusters, and associated members are technology organisations, universities, associations and technology platforms.

The goal of the Single European Sky ATM Research (SESAR) is to completely overhaul European airspace and its air traffic management (ATM). It hopes to achieve the following far-reaching goals by 2024:

- a) trebling capacity, which would reduce delays on land and in air;
- b) increasing the security level tenfold:

c) Reducing the environmental impact of each flight by 10%; d) reducing the costs of air traffic management by 50%.

The members of SESAR divide in founding members (EU and Eurocontrol), members (NORACON Consortium) and associated members (recommended SESAR members). Estonia does not participate in this initiative. Open calls are mainly organised within the scope of this partnership. Procurement is declared for some activities.

The main activities of stages one and two of the SESAR JU (funded from the 7th Framework Programme of the EU) end on 31 December 2016. The estimated cost of the whole project until 2013 was 2.1 billion euros, which was split equally between the European Commission (7th Framework Programme), Eurocontrol and the industry.³ The **budget** of the European Union has come from the Horizon 2020 programme since 2014. Activities will be expanded until 2024. The SESAR budget from 2014-2020 is 1.6 billion euros, which will again be divided between three parties (the European Commission, Eurocontrol, industry). 100 million of the budget is allocated to scientific research and is fully covered by the European Commission. 1.2 billion euros is allocated for applied research. 300 million euros is allocated for extensive demonstration activities.

³ Eurocontrol is an intergovernmental organisation the membership of which consists of 40 Member States and the European Commission. Its goal is to support the Member States in guaranteeing safe, efficient and environmentally-friendly air traffic in the European region.

An Administrative Board guarantees the governance of SESAR. The Administrative Board consists of the members of SESAR, representatives of the armed forces, users of public airspace, aero-navigation service providers, equipment manufacturers, and representatives of airports, organisations representing people working in the ATM sector, representatives of research institutions and the research community.

The **goal** of **Rail** (Shift²Rail) is to use new technological solutions to modernise European railways, reduce operating and infrastructure costs and create new business opportunities for the European rail industry. SHIFT²RAIL helps us develop and implement the policy of the European Union and the Strategic Rail Research Agenda of the ERRAC (the European Rail Research Advisory Council.

The estimated **budget** of the S2R JU is at least 920 million euros (from 2014-2020). The maximum contribution of the European Commission (from the Horizon 2020 budget) is 450 million euros. The rail sector must contribute 470 million euros. In addition to Horizon 2020, funding may come from the other facilities of the EU (e.g. the Connecting Europe Facility).

All stakeholders are involved in the **decision-making process**. The Governing Board is responsible for making strategic decisions.

There are two advisory bodies: the Scientific Committee and the States Representatives Group. The European Commission and the European industrial partners have equal voting rights.

Read more: http://ec.europa.eu/programmes/horizon2020/en/area/partnerships-industry-and-member-states

Contractual Public-Private Partnerships (cPPPs)



















Manufacturing plays a key role in the European economy. In the context of policy, the priority areas are jobs and growth, Digital Single Market, Energy Union with climate change policy, open innovation and open science. The contractual Public-Private Partnerships (cPPPs) were launched under Horizon 2020 in all mentioned priority areas. The partnerships will leverage more than 6 billion euros of investments to be allocated through calls for proposals under Horizon 2020. Each euro of public funding is expected to trigger additional investments of between 3 and 10 euro to develop new technologies, products and services, which will give European industry a leading position on world markets.

cPPPs are meant for research and innovation in the manufacturing, construction, process industry and automotive sectors. cPPPs are based on multi-annual roadmaps for R&I activities, which were produced by the private partners through a widely open consultation process. They are implemented through normal calls for proposals under H2020 with the standard rules and procedures. At a moment, nine cPPPs are in operation:

- Factories of the Future (FoF)
- Energy-efficient Buildings (EeB)
- European Green Vehicles Initiative (EGVI),
- Sustainable Process Industry (SPIRE),
- Advanced 5G Network Infrastructure (5G)
- Robotics
- Photonics
- High Performance Computing
- Big Data Value

Information: http://ec.europa.eu/research/industrial_technologies/ppp-in-research_en.html

European Innovation Partnerships (EIP)



The European Innovation Partnership is a new concept created with the Innovative Union initiative of the Europe 2020 strategy. Its **goal** is to deal with the deficiencies, bottlenecks and obstacles found in the European research and innovation system that hold back the development and launch of good ideas, incl. underfunding, outdated legislation, lack of standards and market fragmentation.

First, EIPs are the platforms that influence the content of the working programmes of Horizon 2020. Five EIPs have been created so far:

- Raw Materials
- Water
- Active & Healthy Ageing
- · Agricultural Sustainability and Productivity
- Smart Cities and Communities

The EIPs are not independently funded; instead, they gather their resources from various EU, national and private sources. Although innovation partnerships are not direct funding instruments, they are very important in developing the content of the Horizon 2020 working programme. The European Commission has implied that funds will be allocated to innovation partnerships in the future.

Read more: http://ec.europa.eu/research/innovation-union/index en.cfm?pg=eip

Annex 1

Estonian Research, Development and Innovation Strategy 2014-2020 Implementation programme "Knowledge-based Estonia" for 2014-2017

ANNEX 2

ADOPTED

by Order No. 61

of the Government of the Republic

of 5 February 2015

Strategic framework for Estonia's participation in the research, development and innovation partnerships of the European Union

One of the key goals of the Estonian Research, Development and Innovation (RDI) Strategy 2014-2020 "Knowledge-based Estonia" is to ensure that Estonia remains active and visible in international scientific cooperation. Estonia's participation in the research, development and innovation (RDI) partnerships of the European Union (EU), which contribute to transnational cooperation and help to tackle the challenges faced by our country and the world, makes the latest achievements in research and innovation to scientists and entrepreneurs, opens up new opportunities for cooperation and provides access to world-class research infrastructure.

Compared to the previous framework programmes, the new EU framework programme Horizon 2020 puts greater emphasis on supporting a range of public-public, and public-private partnerships. As participation in EU R&D partnerships requires substantial co-financing from member states' own sources, Estonia has to prioritize and select the initiatives to which national support will be allocated. **This strategic framework document determines the principles of state participation in partnerships, describes the decision-making process for making the selection, and outlines the tasks of the various stakeholders.** The framework encompasses joint programmes based on Article 185 of the Treaty on the Functioning of the European Union, Joint Programming Initiatives (JPI), Joint Technology Initiatives (JTI), the Knowledge and Innovation Communities (KIC) of the European Institute of Innovation and Technology, FET (Future and Emerging Technologies) partnerships, objects (incl. European Research Infrastructure Consortia (ERIC)) on the roadmap of the European Strategy Forum on Research Infrastructures (ESFRI), European Innovation Partnerships (EIP) and ERA-NET joint calls.

Principles and preconditions for participating in the research and development partnerships of the EU

The Estonian government provides financial support for participating in scientific cooperation initiatives that further the overall objectives related to the needs of the Estonian society and economy and to RDI, incl. the establishment of favourable preconditions for the improvement of the living standard, education, cultural development and continuity of the Republic of Estonia.

The partnerships eligible for participation shall be selected using the following criteria:

- Participation contributes to the tackling of socio-economic problems for which Estonia's own resources are insufficient and which require international cooperation in order to be solved;
- Participation furthers the objectives of the sectoral development plan, facilitates rapid development in the sector, drives further development or enables implementing changes with notable qualitative impact;
- Participation furthers the objectives related to the development of the society, economy and science, and facilitates capacity building of research and development institutions and institutions of higher education to serve the interests of the society and economy;
- Participation is necessary for the development of competencies and supports internationalisation and research excellence.

Preconditions for participation:

- Estonia has adequate capabilities and capacities (in academic, business and/or government sector) for successful participation in research and development partnerships of the EU;
- Generally, the precondition for joining the European Strategy Forum on Research Infrastructures (ESFRI) objects is that the research infrastructure is included on the list of the Estonian Research Infrastructure Roadmap.
- Initiatives, which are aimed at coordinating the RDI activities between countries and require the availability of
 the relevant national action programme, will be supported if the respective activity has been planned as part
 of research activities of the ministry responsible for the sector.

Decision-making process and functions of parties

The decisions to finance participation in EU partnerships are based on the Programme of Participation in EU Partnerships (in Estonian *Osaluskava*). The Programme of Participation includes an overview of the current situation (partnerships and specific projects where Estonia participates) accompanied by an assessment of the effectiveness of participation up to date as well as proposals for new initiatives, including the envisaged resources and involved institutions.

The Programme of Participation will be developed in accordance with the period of the current RDI Strategy. The Programme of Participation will be reviewed and adjusted annually (in line with the budgeting process) or, where necessary, more frequently, taking into account the expiring and new research partnerships and the financial possibilities.

Participation in initiatives entailing extraordinary large-scale (exceeding the budget forecast) and long-term (beyond the period of the current strategy) commitments will be approved by a decision of the Government of the Republic in consultation with the Research and Development Council.

Decision-making process for participation in the research and development partnerships of the EU

- 1. The Estonian Research Council (Eesti Teadusagentuur, ETAg) consolidates and transmits information on EU RDI partnerships to the sectoral ministries and makes such information available to research institutions and Enterprise Estonia, which forwards it to enterprises.
 - 2. Submission of proposals for participation in partnerships:
- 2.1. Sectoral ministries make a selection based on the objectives and needs of their government areas and submit their proposals to ETAg. In selecting, the ministries commit to cover entirely or partly (for instance, using co-financing from ETAg) the expenses arising from participation.
 - 2.2. Research institutions submit justified proposals and participation requests to ETAg.
- 2.3. For initiatives requiring the participation of enterprises, Enterprise Estonia submits consolidated proposals to ETAg:
- 3. ETAg consolidates the proposals, draws up a proposal for Programme of Participation in view of the participation criteria and the available funding, and submits this proposal to the Committee on Research Policy for review.
- 4. Annually or, where necessary, more frequently, the Committee on Research Policy reviews the proposal for Programme of Participation drawn up by ETAg, advises on strategic selection, and adopts an advisory opinion on the Programme. For extraordinary large-scale proposals, the Committee on Research Policy may hold an unscheduled meeting and adopt an advisory opinion on the proposal.
- 4.1. A proposal for participation in initiatives entailing extraordinary large-scale (exceeding the budget forecast) and long-term (beyond the time frame of the current strategy) commitments accompanied by the proposal from the Committee on Research Policy will be submitted by the sectoral ministry to the Government of the Republic in consultation with the Research and Development Council.
 - 5. Approval of decisions to participate in partnerships:
- 5.1. The Board of ETAg approves the Programme of Participation and ensures its availability to the public. Continuously updated information on the contents and status of joint research initiatives of the EU is available on

the web site of ETAg. ETAg together with the Estonian institutions participating in the partnerships will be responsible for the implementation of the Programme of Participation.

5.2. The Government of the Republic approves participation in extraordinary (large-scale/long-term) initiatives by means of a decision. All large-scale or long-term initiatives will be planned in the framework of the national budget strategy.

Financing of participation in partnerships

Participation in EU partnerships will be financed from the state budget funds, structural funds or other means available to the ministries responsible for the sector.

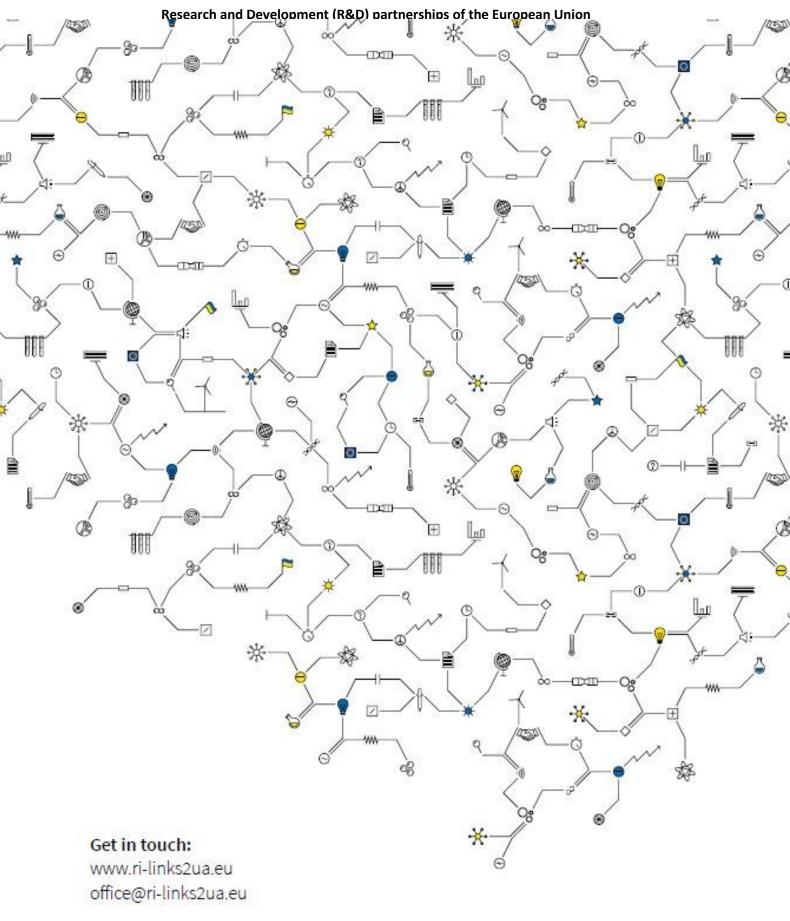
ETAg will (co-)finance participation only in initiatives, which are approved by ETAg Board as part of the Programme of Participation, or initiatives approved by the Government of the Republic.

Sectoral ministries will envisage in their budgets (full or partial) financing of participation in initiatives within their scope. The detailed work arrangements for the participation in the initiatives will be coordinated between ETAg, relevant ministries and related parties.

In case it is possible to participate in negotiations on the financing conditions for initiatives at the EU level, Estonia will prefer financing conditions which are transparent and based on objective criteria which take into account the size of countries, foster the participation of countries, and ensure the fair distribution of costs (for instance giving preference to GDP-based methods for calculating the participation fee).

Monitoring of the Programme for Participation

The Government of the Republic, the Research and Development Council and the Committee on Research Policy will be provided with an overview within the annual report on the RDI Strategy.



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