



Management and knowledge of European research model and promotion of research results

1. Introduction to the European Union and major policies

Alessia D'Orazio

Scientific Officer - Ufficio INFN Bruxelles

Servizio Fondi Esterni

alessia.dorazio@lnf.infn.it

Corso di dottorato - 29May-1 June 2017, Università di Bari

The European Union



The European Union

The European Union (EU) is NOT a federation (like the United States).
NOR is it simply an organisation for co-operation between governments (like the United Nations).

The European Union is unique.

The countries that make up the EU
(its Member States - MS)

- ♦ remain independent sovereign nations
- ♦ they delegate some of their decision-making powers to shared institutions which they themselves have created, so that decisions on specific matters of joint interest can be made democratically at European level



A short history of the EU

http://europa.eu/about-eu/eu-history/index_en.htm

On **9 May 1950**, **Robert Schuman** - French foreign minister, proposed the creation of an organised Europe, as a prerequisite for the maintenance of peaceful relations. This proposal, known as the "*Schuman declaration*", *is considered to be the beginning of the creation of the present European Union.*

10 historical steps

1951: The European Coal and Steel Community is set up by the six founding members.

1957: The same six countries sign the Treaties of Rome, setting up the European Economic Community (EEC) and the European Atomic Energy Community (Euratom).

1973: The Communities expand to nine member states and introduce more common policies.

1979: The first direct elections to the European Parliament.

1981: The first Mediterranean enlargement.

1992: The European single market becomes a reality.

1993: The Treaty of Maastricht establishes the European Union (EU).

2002: The euro comes into circulation.

2007: The EU has 27 member states.

2009: The Lisbon Treaty comes into force, changing the way the EU works.

The European Union: 28 Member States - 508M people



Member States of the
European Union



Candidate countries and
potential candidates

The European Union: 28 Member States

- ♦ Austria
- ♦ Belgium
- ♦ Bulgaria
- ♦ Croatia
- ♦ Cyprus
- ♦ Czech Republic
- ♦ Denmark
- ♦ Estonia
- ♦ Finland
- ♦ France
- ♦ Germany
- ♦ Greece
- ♦ Hungary
- ♦ Ireland

- ♦ Italy
- ♦ Latvia
- ♦ Lithuania
- ♦ Luxembourg
- ♦ Malta
- ♦ Netherlands
- ♦ Poland
- ♦ Portugal
- ♦ Romania
- ♦ Slovakia
- ♦ Slovenia
- ♦ Spain
- ♦ Sweden
- ♦ United Kingdom

The European Union symbols



The European Flag: circle, symbol of unit, of 12 stars on blue background

The European Anthem: “Ode of Joy” from The Ninth Symphony by Ludwig van Beethoven



The European Motto: **United in the diversity**
through the EU, Europeans are united in effort to promote peace and prosperity,
and that the multiplicity of cultures, traditions and languages in Europe is its major asset.

The European official currency: Euro is the common currency in 19 out of 28 EU countries



The Europe day: 9 May every year celebrates peace and unity in Europe. The date marks the anniversary of the historical '[Schuman declaration](#)'.

The Treaties

1952

The European Steel and Coal Community

1958

The treaties of Rome:
The European Economic Community
The European Atomic Energy Community (EURATOM)

2009

Treaty of Lisbon

1987

The European Single Act: the Single Market

2003

Treaty of Nice

1999

Treaty of Amsterdam

1993

Treaty of European Union – Maastricht

The EU is based on the rule of law. This means that the foundation of all its activities are treaties adopted voluntarily not democratically by all Member States.

For example, if a given policy area is not mentioned in the Treaty, Commission cannot propose legislation on this area

Year indicates Entered into force date

The Treaties

1952

The European Steel and Coal
Community

1958

The treaties of Rome:
The European Economic
Community
The European Atomic Energy
Community
(EURATOM)

2009

Treaty of Lisbon

1987

The European Single
Act: the Single Market

2003

Treaty of Nice

1999

Treaty of
Amsterdam

1993

Treaty of European
Union
– Maastricht

The treaty is a binding agreement between the Member States of the EU. It sets out the objectives of the EU, the principles of the functioning of EU institutions, decision making and the relationship between the EU and its Member States

Year indicates Entered into force date

The Treaty of Lisbon

The primary objective of the Lisbon Treaty is to improve the operation of the European Union



The Treaty will make the European Union:

- More efficient** Simpler processes, full-time president for the Council, etc.
- More democratic** Stronger role for the EU Parliament and national parliaments, "Citizens initiative", Charter of Fundamental Rights, etc.
- More transparent** Clarifies who does what, greater public access to documents and meetings, etc.
- More united on the world stage** High Representative for Foreign Policy, etc.
- More secure** New possibilities to fight climate change and terrorism, secure energy supplies, etc.

Signed in December 2007 – enter into force in 2009 when ratified by all 27 EU countries.

The European Institutions



The EU Institutions

http://europa.eu/about-eu/institutions-bodies/index_en.htm

European Council (summit)

**3 main decision-making
bodies of the EU**

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

Three key players



The European Parliament

- voice of the people

Antonio Tajani, President of the European Parliament



The European Council and the Council

- voice of the Member States

Donald Tusk, President of the European Council



The European Commission

- promoting the common interest

Jean-Claude Juncker, President of the European Commission

The European Parliament

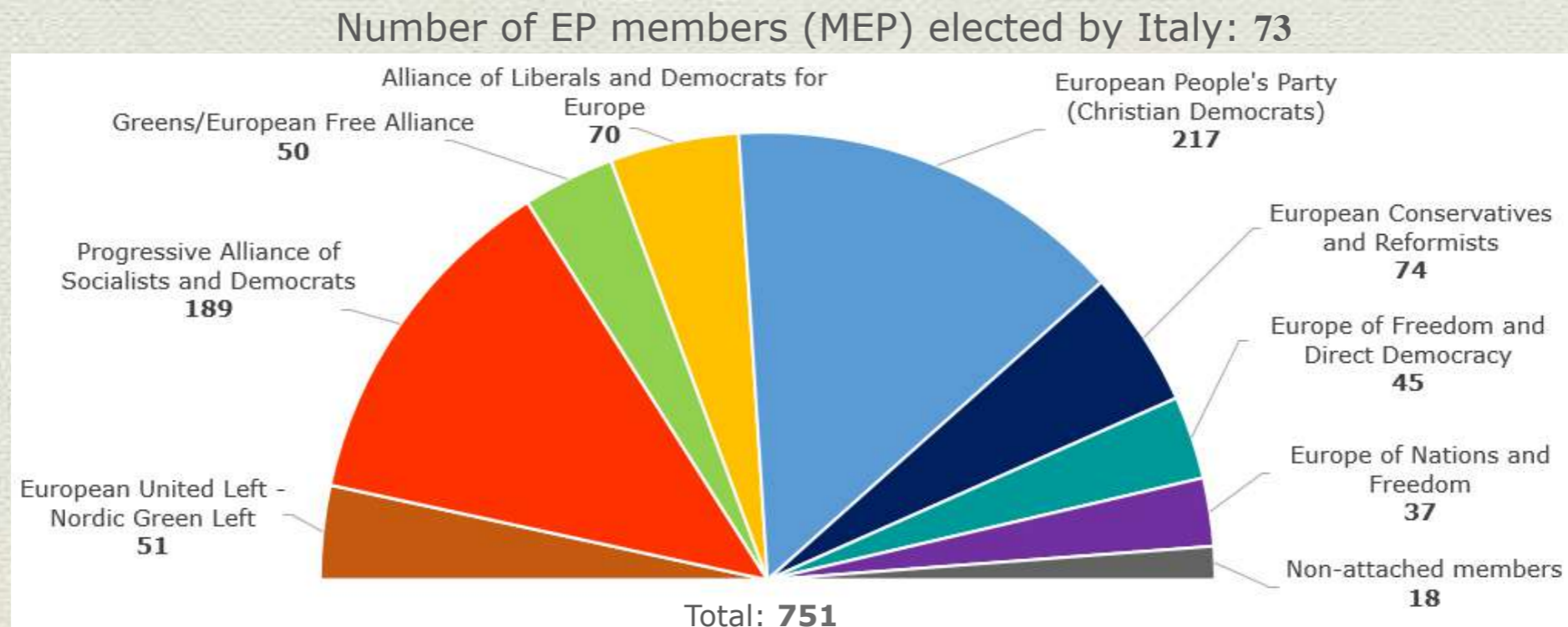
<http://www.europarl.europa.eu/portal/en>

- ◆ Directly-elected EU body (every 5 years)
- ◆ Legislative and budgetary responsibilities along with the Council of EU
- ◆ Functions of political control and consultation
- ◆ Supervision of European Commission
- ◆ Election and approval of members of the EU Commission and Commission President



The EU Parliament composition

- ♦ The number of [MEPs](#) for each country is roughly **proportionate to its population**, but this is by degressive proportionality: no country can have fewer than 6 or more than 96 MEPs and the total number cannot exceed 751 (750 plus the President)
- ♦ MEPs are grouped by [political affiliation](#), not by nationality.



The Council of the EU (or Council of Ministers)

<http://www.consilium.europa.eu/en/home/>

- ♦ One minister for each EU country
- ♦ Presidency: rotates every six months
- ♦ Decides EU laws and budget together with EU Parliament
- ♦ Manages the common foreign and security policy



The Council of the EU (or Council of Ministers)

There are **10 Council configurations**, covering the whole range of EU policies:

- ♦ Agriculture and Fisheries
- ♦ Competitiveness (internal market, industry, research and space)
- ♦ Economic and Financial Affairs (ECOFIN)
- ♦ Education, youth, culture and sport
- ♦ Employment, Social Policy, Health and Consumer Affairs
- ♦ Environment
- ♦ Foreign Affairs
- ♦ General Affairs
- ♦ Justice and Home Affairs (JHA)
- ♦ Transport, Telecommunications and Energy

The Council of the EU (or Council of Ministers)

Not to be confused with:

- ♦ [European Council](#) - quarterly summits, where EU leaders meet to set the broad direction of EU policy making
 - ***Members:** Heads of state or government of EU countries, European Commission President, High Representative for Foreign Affairs & Security Policy
 - ***Role:** Defines the general political direction and priorities of the European Union
- ♦ [Council of Europe](#) - not an EU body at all (47 countries members)
 - *regional intergovernmental organisation whose stated goal is to promote human rights, democracy, and European unity by fostering cooperation on legal, cultural, and social issues



The European Commission

http://ec.europa.eu/index_en.htm

28 independent members (Commissioners), one from each EU country

- ♦ **Executive organ**
- ♦ Exclusive right of initiative for legislative proposals
- ♦ Ensures the correct implementation of legislation, administers the budget and is **responsible for framework and promotion programmes**
- ♦ Guardian of the treaties: monitors compliance with EU laws and brings cases of possible non-compliance before the European courts
- ♦ Represents the EU on the international stage



The European Commission



European
Commission



**JEAN-CLAUDE
JUNCKER**

PRESIDENT



**FRANS
TIMMERMANS**

FIRST VICE-PRESIDENT
*Better Regulation, Interinstitutional Relations,
Rule of Law and the Charter of Fundamental Rights*



**FEDERICA
MOGHERINI**

VICE-PRESIDENT
HIGH REPRESENTATIVE
of the Union for Foreign Affairs and Security Policy



**ANDRUS
ANSIP**

VICE-PRESIDENT
Digital Single Market



**MAROŠ
ŠEFČOVIČ**

VICE-PRESIDENT
Energy Union



**VALDIS
DOMBROVSKIS**

VICE-PRESIDENT
*Euro and Social Dialogue
Financial Stability,
Financial Services
and Capital Markets Union*



**JYRKI
KATAINEN**

VICE-PRESIDENT
*Jobs, Growth, Investment
and Competitiveness*



**GÜNTHER
OETTINGER**

*Budget &
Human Resources*



**JOHANNES
HAHN**

*European Neighbourhood
Policy and Enlargement
Negotiations*



**CECILIA
MALMSTRÖM**

Trade



**NEVEN
MIMICA**

*International Cooperation
and Development*



**MIGUEL ARIAS
CAÑETE**

Climate Action and Energy



**KARMENU
VELLA**

*Environment, Maritime
Affairs and Fisheries*



**VYTENIS
ANDRIUKAITIS**

Health and Food Safety



**DIMITRIS
AVRAMOPOULOS**

*Migration, Home Affairs
and Citizenship*



**MARIANNE
THYSSEN**

*Employment, Social Affairs,
Skills and Labour Mobility*



**PIERRE
MOSCOVICI**

*Economic and Financial Affairs,
Taxation and Customs*



**CHRISTOS
STYLIANIDES**

*Humanitarian Aid
and Crisis Management*



**PHIL
HOGAN**

*Agriculture
and Rural Development*



**VIOLETA
BULC**

Transport



**ELŻBIETA
BIENKOWSKA**

*Internal Market, Industry,
Entrepreneurship and SMEs*



**VĚRA
JOUROVÁ**

*Justice, Consumers
and Gender Equality*



**TIBOR
NAVRACSICS**

*Education, Culture, Youth
and Sport*



**CORINA
CREȚU**

Regional Policy



**MARGRETHE
VESTAGER**

Competition



**CARLOS
MOEDAS**

*Research, Science
and Innovation*



**JULIAN
KING**

Security Union

European Commission 2014-19

#teamJunckerEU

EC: Directorates-General and services

The Commission is divided into several departments and services.

The Commission services deal with more general administrative issues or have a specific mandate, for example fighting fraud or creating statistics.

The departments are known as [Directorate-Generals](#) (DGs). Each DG is classified according to the policy it deals with.

Each DG covers a specific policy area or service such as External Relations or Translation and is under the responsibility of a European Commissioner. DGs prepare proposals for their Commissioners which can then be put forward for voting in the college of Commissioners.

Usually the DGs are referred to by their abbreviations

EC: Directorates-General

[Agriculture and Rural Development \(AGRI\)](#)

[Budget \(BUDG\)](#)

[Climate Action \(CLIMA\)](#)

[Communication \(COMM\)](#)

[Communications Networks, Content and Technology \(CNECT\)](#)

[Competition \(COMP\)](#)

[Economic and Financial Affairs \(ECFIN\)](#)

[Education and Culture \(EAC\)](#)

[Employment, Social Affairs and Inclusion \(EMPL\)](#)

[Energy \(ENER\)](#)

[Environment \(ENV\)](#)

[Eurostat \(ESTAT\)](#)

[Financial Stability, Financial Services and Capital Markets Union \(FISMA\)](#)

[Health and Food Safety \(SANTE\)](#)

[Humanitarian Aid and Civil Protection \(ECHO\)](#)

[Human Resources and Security \(HR\)](#)

[Informatics \(DIGIT\)](#)

[Internal Market, Industry, Entrepreneurship and SMEs \(GROW\)](#)

[International Cooperation and Development \(DEVCO\)](#)



EC: Directorates-General

Interpretation (SCIC)

Joint Research Centre (JRC)

Justice and Consumers (JUST)

Maritime Affairs and Fisheries (MARE)

Migration and Home Affairs (HOME)

Mobility and Transport (MOVE)

Neighbourhood and Enlargement Negotiations (NEAR)

Regional and urban Policy (REGIO)

Research and Innovation (RTD)

Secretariat-General (SG)

Service for Foreign Policy Instruments (FPI)

Taxation and Customs Union (TAXUD)

Trade (TRADE)

Translation (DGT)



Usually the DGs are referred to by their abbreviations

The EU Institutions

http://europa.eu/about-eu/institutions-bodies/index_en.htm

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

The Court of Justice

28 independent judges, one from each EU Member States

- ♦ Ensure EU law is interpreted and applied the same in every EU country
- ♦ Ensure countries and EU institutions abide by EU law
- ♦ Settles **legal disputes** between national governments and EU institutions
- ♦ It can also, in certain circumstances, be used by **individuals, companies or organisations** to take action against an EU institution



The Court of Auditors

**EU's independent external auditor: collegiate body of 28 Members
one from each EU country**

- ♦ It does not have legal powers, but works to improve the EU Commission's management of the EU budget and reports on EU finances
- ♦ Check EU funds are collected and used correctly
- ♦ Help improve EU financial management
- ♦ Can audit any person or organisation dealing with EU funds



The EU Institutions

http://europa.eu/about-eu/institutions-bodies/index_en.htm

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

The Financial bodies

The financial bodies

The European Central Bank (ECB)

- ♦ Manages the euro and ensure prices stability
- ♦ Conducts EU economic & monetary policy
- ♦ Supervises that banks are safe
- ♦ Works independently from governments

Mario Draghi

President of the Central Bank



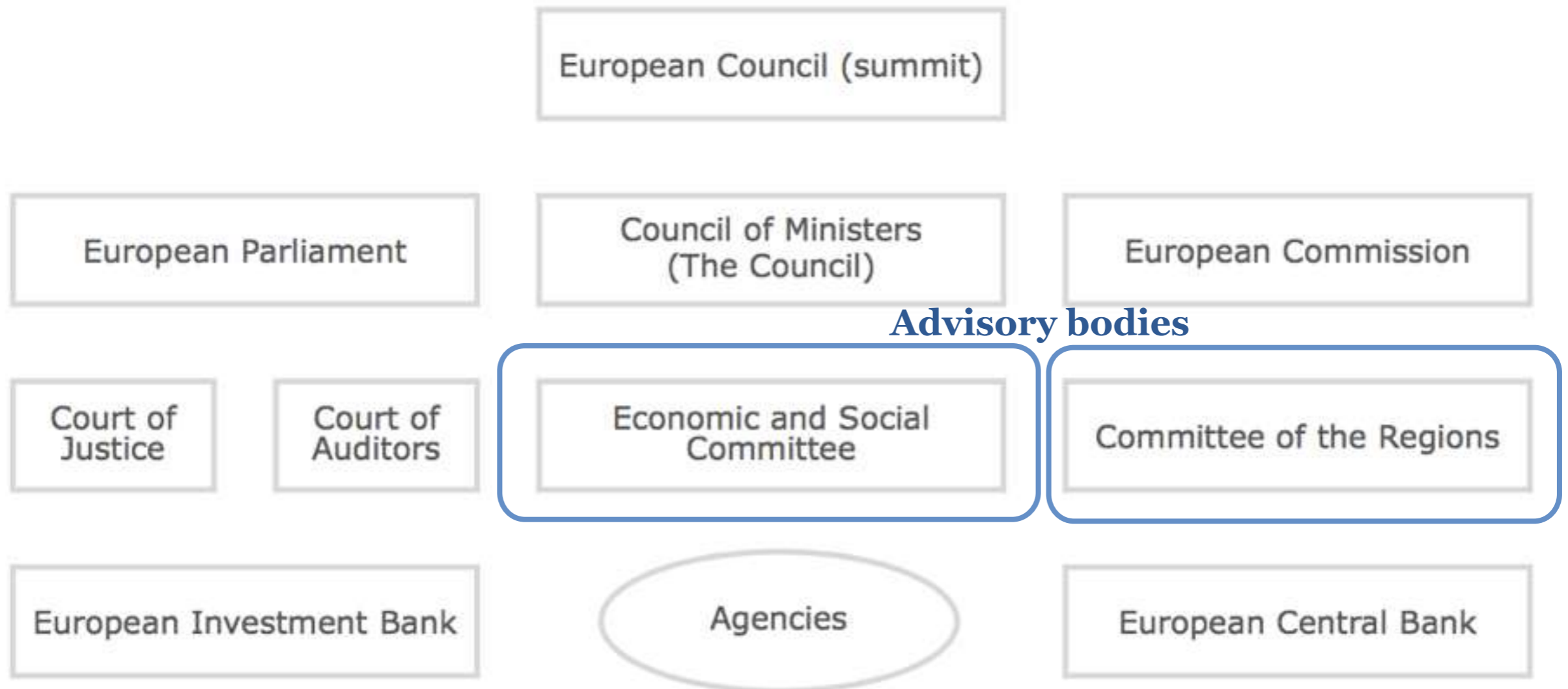
The European Investment Bank (EIB)

- ♦ Provides funding for projects that help to achieve EU aims, both within and outside the EU
- ♦ None of the money comes from the EU budget
- ♦ It is an independent body, collaborating with the EU institutions



The EU Institutions

http://europa.eu/about-eu/institutions-bodies/index_en.htm



The European Economic and Social Committee (EESC)

EU advisory body comprising representatives of workers' and employers' organisations and other interest groups (353 members)

- ♦ Consultative role
 - ✦ Issues opinions on EU issues to the EU Commission, the Council of the EU and the EU Parliament, thus acting as a bridge between the EU's decision-making institutions and EU citizens
- ♦ Institutional forum for dialogue and consultation (new law and policies)
- ♦ Promotion of European values, participatory democracy and the role of civil society organisations



European Economic and Social Committee

The Committee of the Regions (CoR)

EU advisory body composed of locally and regionally elected representatives coming from all 28 Member States (353 members)

- ♦ Represents sub-national authorities (i.e. regions, counties, provinces, municipalities and cities)
- ♦ CoR must be consulted by EU Institutions when drawing up legislation on matters concerning **local and regional government**
- ♦ Promotes the involvement of local government in EU matters



The EU Institutions

http://europa.eu/about-eu/institutions-bodies/index_en.htm



Agencies and other EU bodies

http://europa.eu/about-eu/agencies/index_en.htm

EU agencies are **distinct bodies** from the EU institutions – separate legal entities set up to perform specific technical, scientific or administrative tasks under EU law

They are divided in 4 groups:

- ♦ **Decentralised agencies** carry out technical, scientific or managerial tasks that help the EU institutions make and implement policies
- ♦ **Executive agencies** help the EU Commission to **manage EU programmes**
- ♦ European Atomic Energy Community Treaty (EURATOM) agencies created to coordinate national nuclear research programmes
- ♦ **European Institute of Innovation and Technology (EIT)**: independent EU body which seeks to promote Europe's ability to develop new technologies, by pooling its best scientific, business and education resources



EU Executive Agencies

Executive Agencies are set up for a limited period of time by the EU Commission to manage specific tasks related to EU programmes (ex. evaluation process, signing project agreements, financial management, monitoring of projects: intermediate and final reports, communication with beneficiaries, on the spot controls)

- ✦ Education, Audiovisual and Culture Executive Agency ([EACEA](#))
- ✦ Executive Agency for Small and Medium-sized enterprises ([EASME](#))
- ✦ European Research Council Executive Agency ([ERCEA](#))
- ✦ Consumers, Health, Agriculture and Food Executive Agency ([CHAFAEA](#))
- ✦ Research Executive Agency ([REA](#))
- ✦ Innovation & Networks Executive Agency ([INEA](#))

How are EU laws made?

Citizens, interest groups, experts: discuss, consult



EU Commission: makes formal proposal



EU Parliament and Council of Ministers: decide jointly



National or local authorities: implement



EU Commission and Court of Justice:
monitor implementation



How is the EU funded?

EU has **3 main sources of revenue** are:

- ♦ a small percentage of **gross national income** (usually around 0.7%) contributed by all EU countries - the largest source of budget revenue. The underlying principles are solidarity and ability to pay – though the amount may be adjusted to avoid over-burdening particular countries.
- ♦ a small percentage of each EU country's standardised **value-added tax** revenue, usually around 0.3%.
- ♦ a large share of **import duties** on non-EU products (the country that collects the duty retains a small percentage).

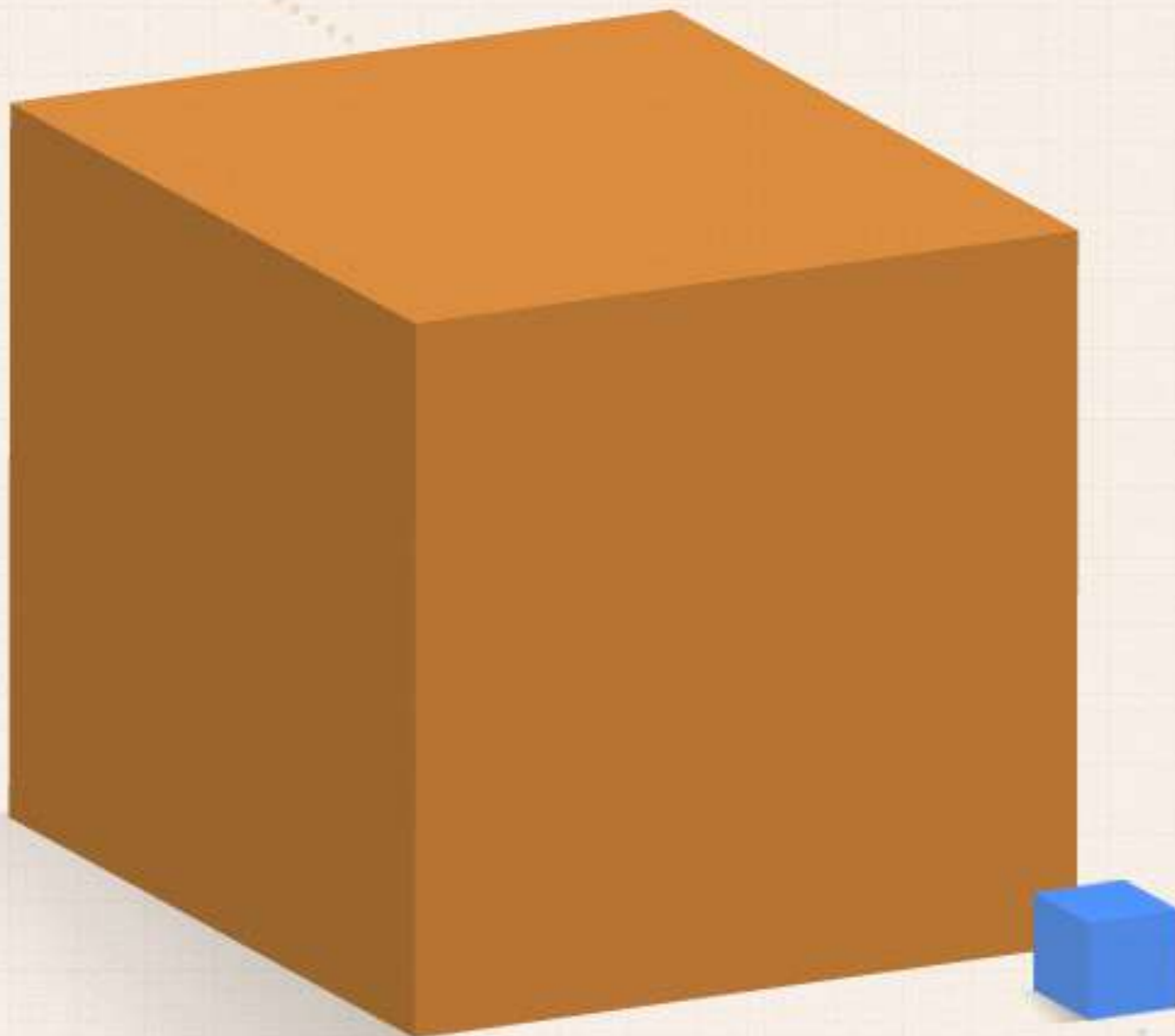
The EU also receives income tax from EU staff, contributions by non-EU countries to certain EU programmes and fines on companies that breach EU rules and regulations.

HOW MUCH WE SPEND ON BUDGET IN THE EUROPEAN UNION ?

IN 2011

Total general government expenditure of EU member states (National budgets)

6,211 billion



EU budget
129.3 billion



Sources
European Parliament, European Commission, Eurostat

MultiAnnual Financial Framework (MFF) 2014-2020

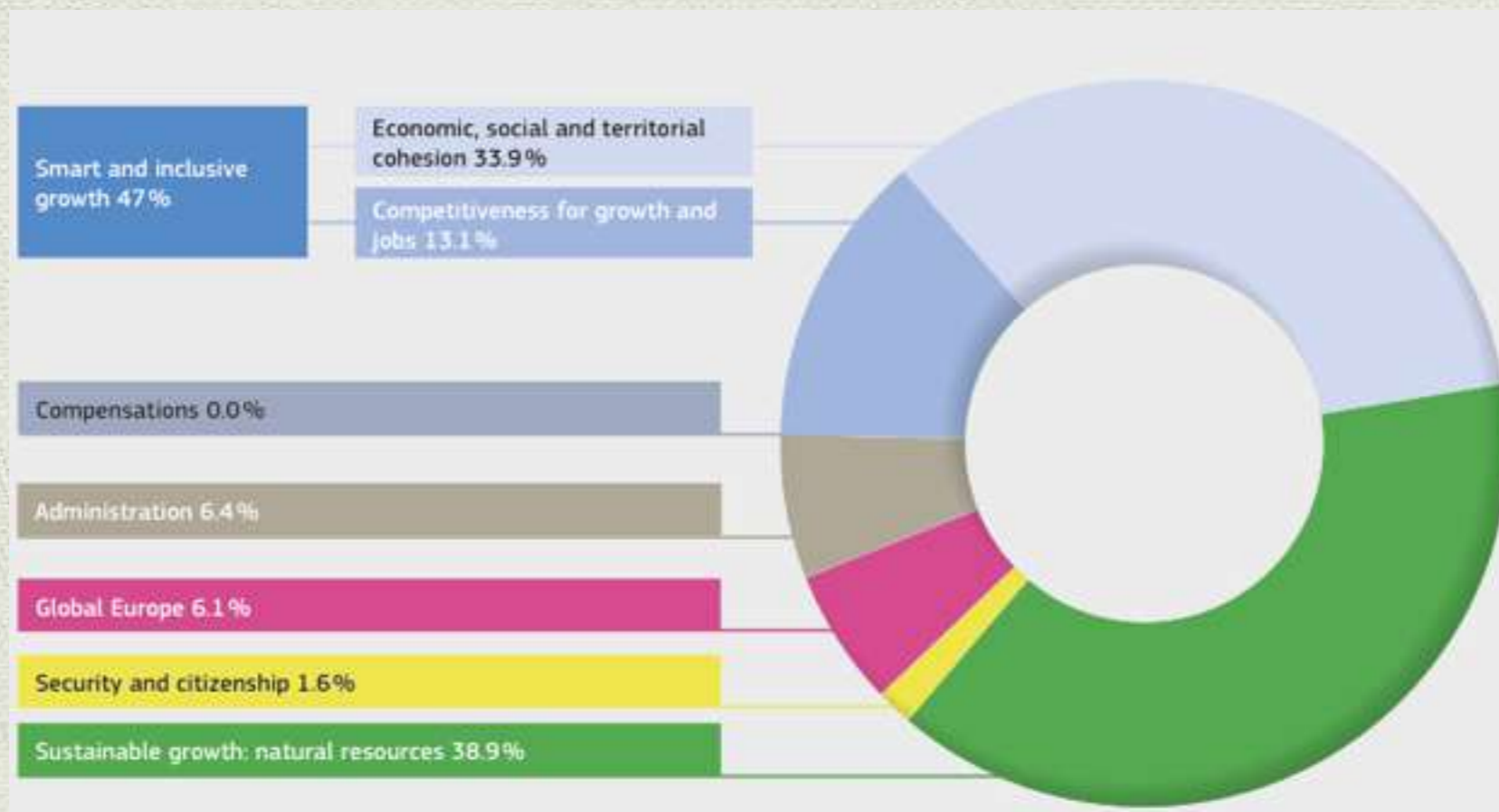
http://ec.europa.eu/budget/mff/introduction/index_en.cfm

The MFF lays down the maximum annual amounts ('ceilings') which the EU may spend in different political fields ('headings') over a certain period (at least 5 years).

The MFF 2014-2020 **is not** the budget of the EU for seven years.

It provides a framework for financial programming and budgetary discipline by ensuring that EU spending is predictable and stays within the agreed limits.

The “real budget” is approved every year ([how is the budget decided?](#))



MFF 2014-2020

(in 2014 prices)

Commitment appropriations		2014	2015	2016	2017	2018	2019	2020	Total 2014-2020
1	Smart and inclusive growth	63 973	66 813	69 304	72 342	75 271	78 752	82 466	508 921
1a	Competitiveness for growth and jobs	16 560	17 666	18 467	19 925	21 239	23 082	25 191	142 130
1b	Economic, social and territorial cohesion	47 413	49 147	50 837	52 417	54 032	55 670	57 275	366 791
2	Sustainable growth: natural resources	59 303	59 599	59 909	60 191	60 267	60 344	60 421	420 034
	Of which: market related expenditure and direct payments	44 130	44 368	44 628	44 863	44 889	44 916	44 941	312 735
3	Security and citizenship	2 179	2 246	2 378	2 514	2 656	2 801	2 951	17 725
4	Global Europe	8 335	8 749	9 143	9 432	9 825	10 268	10 510	66 262
5	Administration	8 721	9 076	9 483	9 918	10 346	10 786	11 254	69 584
	Of which: administrative expenditure of the institutions	7 056	7 351	7 679	8 007	8 360	8 700	9 071	56 224
6	Compensations	29	0	0	0	0	0	0	29
Total commitment appropriations		142 540	146 483	150 217	154 397	158 365	162 951	167 602	1 082 555
As a percentage of GNI		1.03%	1.02%	1.00%	1.00%	0.99%	0.98%	0.98%	1.00%
Total payment appropriations		135 866	141 901	144 685	142 771	149 074	153 362	156 295	1 023 954
as a percentage of GNI		0.98%	0.98%	0.97%	0.92%	0.93%	0.93%	0.91%	0.95%
Margin available		0.25%	0.25%	0.26%	0.31%	0.30%	0.30%	0.32%	0.28%
Own Resources Ceiling as a percentage of GNI		1.23%	1.23%	1.23%	1.23%	1.23%	1.23%	1.23%	1.23%

(EUR million —
current prices)

European strategy: Europe 2020

http://ec.europa.eu/europe2020/index_en.htm

http://ec.europa.eu/europe2020/pdf/europe_2020_explained.pdf



Why a European Strategy?

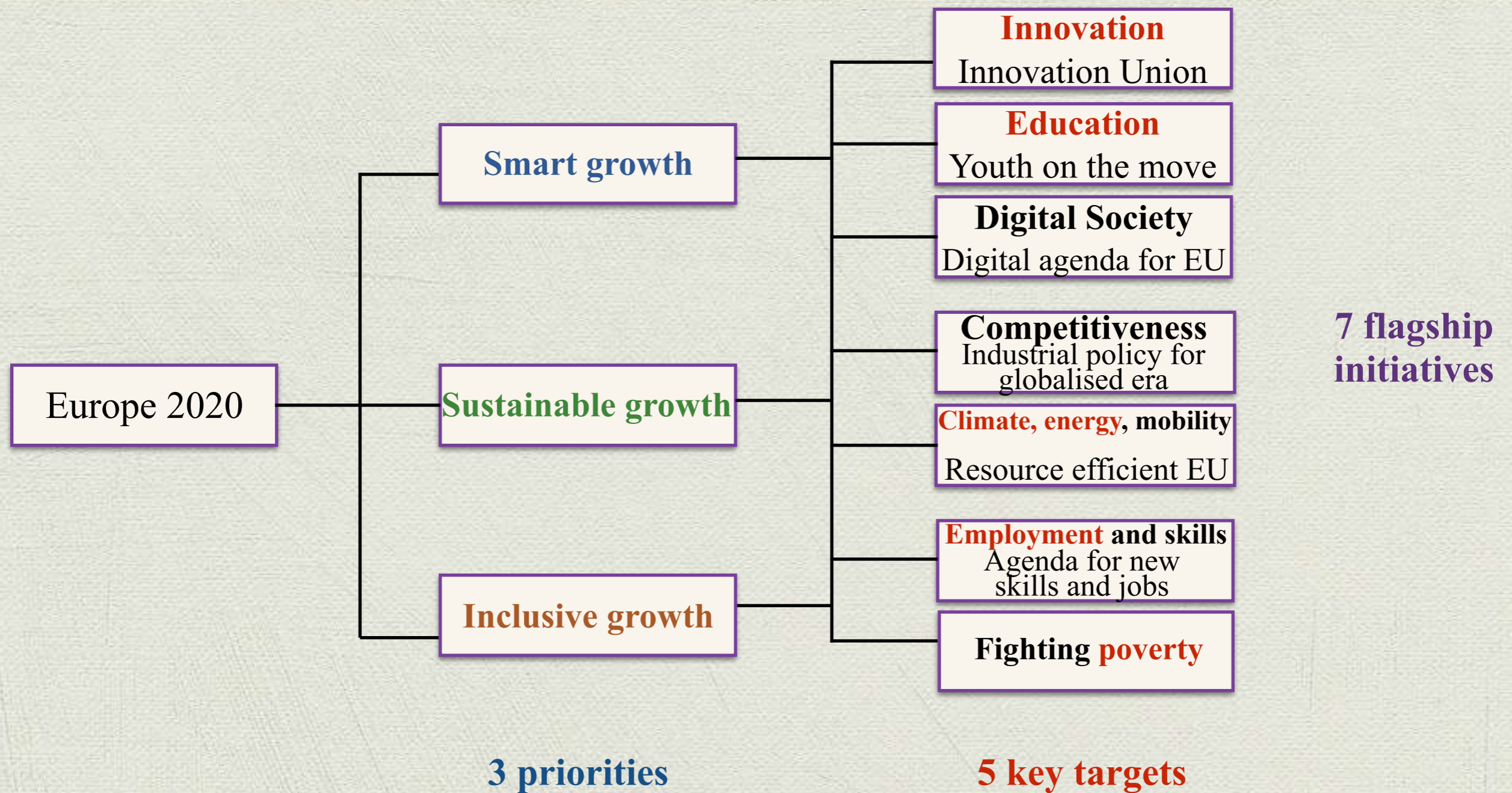
- ♦ **Economic interdependence:** crisis showed need for joint EU responses and more economic policy coordination if EU is to weigh in global fora
- ♦ **The political momentum within the EU is clear:** problem analysis on urgency and need for more economic policy coordination is shared
- ♦ **Only the EU gives us the critical mass to have impact:**
 - Activate all policy areas and levers in an integrated way
 - Exchange best practice

Europe 2020: EU after the crisis

- ♦ **Europe needs to be back on track** : our “short term” priority is a successful exit from the crisis
- ♦ **Whilst taking a long-term vision**: where Europe should be in 2020 – no time to waste to face challenges
- ♦ Therefore, a new strategy “Europe 2020” to return to growth, but not same – unsustainable – growth, rather:
 - * ‘smart’, sustainable and inclusive growth
 - * translating into high employment and social & territorial cohesion



Europe 2020: overview



Europe 2020: priorities

Europe 2020 is the EU's **ten-year strategy (2010-2020) for social and economic development**, to reinforce economic policy cooperation with a view to promoting sustainable growth in the EU

Three **key priorities** for growth supported through action at EU and national level

Smart growth

fostering knowledge, innovation, education and digital society

Sustainable growth

making EU production greener and more resource efficient while boosting competitiveness

Inclusive growth

fostering a high-employment economy delivering social and territorial cohesion

Europe 2020: the key targets

Five headline targets at the EU level, which MS then reflected in their national targets, to be achieved by 2020

Employment

Raise employment rate of population aged 20-64 from current 69% to at least 75%

Education

- ♦ Reduce the rates of early school leaving below 10% (current 15%)
- ♦ Increase 30-34 year-old people completing third level education from 31% to at least 40%

Research and Development Innovation

- ♦ **Achieve target of investing 3% of EU's GDP in R&D**

in particular by improving the condition for R&D investments by the private sector, and develop a new indicator to track innovation

GDP=Gross domestic product: it is a broad measurement of a nation's overall economic activity

Europe 2020: the key targets

Climate change and Energy sustainability

- ♦ Reduce greenhouse gas emission by at least 20% compared to 1990 level
- ♦ Increase renewables energy consumption to 20%
- ♦ Achieve 20% increase in energy efficiency

Fighting poverty and social exclusion

20 million less people should be at risk of poverty or social exclusion

Europe 2020: 7 flagship initiatives

Seven flagship initiatives to catalyse progress under each priority theme

Innovation Union

- ♦ To improve framework conditions and access to finance for R&I
- ♦ To strengthen innovation chain
- ♦ To boost level of investment throughout the EU

Youth on the Move

- ♦ To enhance performance of education systems
- ♦ To reinforce international attractiveness of EU's higher education
- ♦ To facilitate the entry of young people to the labour market

Digital agenda for EU

<https://ec.europa.eu/digital-single-market/en>

- ♦ To speed-up roll-out of high-speed internet
- ♦ To reap benefit of digital single market for households and firms

Smart growth

Europe 2020: 7 flagship initiatives

Resource Efficient Europe

To help decouple economic growth from use of resources by

- ♦ decarbonising our economy
- ♦ increasing use of renewable sources
- ♦ modernising our transport sector
- ♦ promoting energy efficiency

Industrial policy for globalisation era

- ♦ To improve business environment, notably for Small and Medium Enterprises (SME)
- ♦ To support development of strong and sustainable industrial base able to compete globally

Sustainable growth

Europe 2020: 7 flagship initiatives

Agenda for new skill and jobs

To modernise labour market by

- ♦ facilitating labour mobility
- ♦ facilitating development of skills throughout lifecycle
- ♦ Increase labour participation
- ♦ Better match labour supply and demand

EU Platform against poverty

- ♦ To ensure social and territorial cohesion
- ♦ benefits of growth and jobs widely shared
- ♦ people experiencing poverty and social exclusion enabled to live in dignity and take an active part in society

Inclusive growth

EU Levers for growth

The full range of EU policies and instruments must be used more effectively to achieve the Europe 2020 goals.

This includes cross-cutting policies and **tools** such as:

- ♦ **Single market**

Growth and job creation depend on healthy, well connected markets, where competition and consumer access stimulate business and innovation.

- ♦ **External policy instruments**

It includes trade and international **macroeconomic policy** coordination, assertive and effective participation in international fora (such as the G20), external aspects of various internal policies, building of strategic relationships with emerging economies

- ♦ **EU funds**

Europe 2020: governance

- ♦ Lead role for the **European Council**
- ♦ Extend **partnership** to regions, social partners & civil society
- ♦ Commission and European Council monitoring
 - 1.) **Thematic** - combining priorities and headline targets
 - 2.) **Country** - Member States strategies to meet targets
 - ... based on international comparison
- ♦ Country-specific recommendations & policy warnings
- ♦ **Simultaneous reporting** under Europe 2020 and Stability and Growth Pact (SGP), but keeping instruments separate & maintaining SGP integrity



Europe 2020: regional/local level

- ♦ Depending on division of competencies, regional and local levels play an important role in Europe 2020 area (e.g. employment policies, education, entrepreneurship, fiscal sustainability, climate/energy, social inclusion)
- ♦ Regions must acknowledge **EU priorities**
- ♦ These priorities then set in **regional context**
- ♦ Creation of a regional 2020 Strategy
- ♦ **Identification** of actions to be integrated into Structural Funds programme
- ♦ **Reporting** of progress towards Strategy Objectives



The Cohesion Policy

Cohesion policy is one of the key instruments to realise the Europe 2020 goals:

- ♦ It **targets all regions and cities** in the European Union in order to support job creation, business competitiveness, economic growth, sustainable development, and improve citizens' quality of life.
- ♦ It is a policy in its own right that **aims to reduce the existing regional disparities** and to promote harmonious development of all the regions in the EU
- ♦ It provides the necessary investment framework and strategy to meet EU agreed growth goals



Coherence, effectiveness and performance

- ♦ **Comprehensive investment strategy:** aligned with Europe 2020 objectives
- ♦ **Coherence** with National Reform Programmes
- ♦ **Coordination:** cohesion policy, rural development, maritime & fisheries funds
- ♦ **Focus on results and performance:** Objectives and indicators to measure progress towards Europe 2020 targets
- ♦ **Effectiveness:** introduction of a performance framework
- ♦ **Efficiency:** reinforcement of administrative capacity
- ♦ **Ex-ante conditionality:** ensuring conditions for effective investment are in place (Smart Specialisation for Research and Innovation Investments)
- ♦ **Macro-economic conditionality:** alignment with new economic governance

Performance: Ex-ante conditionality

- ♦ MS and regions to fulfil conditions closely linked to the **thematic objectives** of the policy
- ♦ If not fulfilled, definition of precise actions and deadlines
- ♦ Possibility for the Commission to suspend all or part of interim payments at the moment of the adoption of programmes
- ♦ **If conditions not fulfilled within deadlines, suspension of payments**

The Cohesion Policy: priorities

The Cohesion Policy has set **11 thematic objectives** supporting growth for the period 2014-2020.

EUROPE 2020

Smart

Sustainable

Inclusive

1. Research, technological development and innovation
2. Information and Communication Technologies (ICT)
3. Competitiveness of SMEs
4. Shift toward a low-carbon economy
5. Climate change adaptation and risk prevention and management
6. Protection of the environment and resource efficiency
7. Sustainable transport and key network infrastructure
8. Employment and labour mobility
9. Social inclusion and combating poverty
10. Education, skill building and life-long learning
11. Institutional capacity and efficient public administration

The method: Programming, Partnership and Shared Management

Common Strategic
Framework

EU level

Partnership
Agreement

National level

Operational
Programmes(OP)

National/Regional level

in conjunction with EC

Management of
programmes/
Selection of
projects

A **managing authority** to implement the operational programme, and a monitoring committee to oversee it.

Monitoring/
Annual
reporting

A **certification body** to verify the statement of expenditure and the payment applications before their transmission to the Commission.

An **auditing body** for each operational programme to supervise the efficient running of the management and monitoring system.

Cohesion Policy 2014-2020

The reforms agreed for the **2014-2020 period** are designed to **maximise the impact** of the available **EU funding**.

OVERALL EU 2014-2020 BUDGET

€1 082 billion

67.5%

Other EU policies
Agriculture
Research
External
Etc.

€730.2 billion



32.5%

COHESION POLICY

€351.8 billion

Cohesion Policy delivers Europe 2020 Strategy

Smart

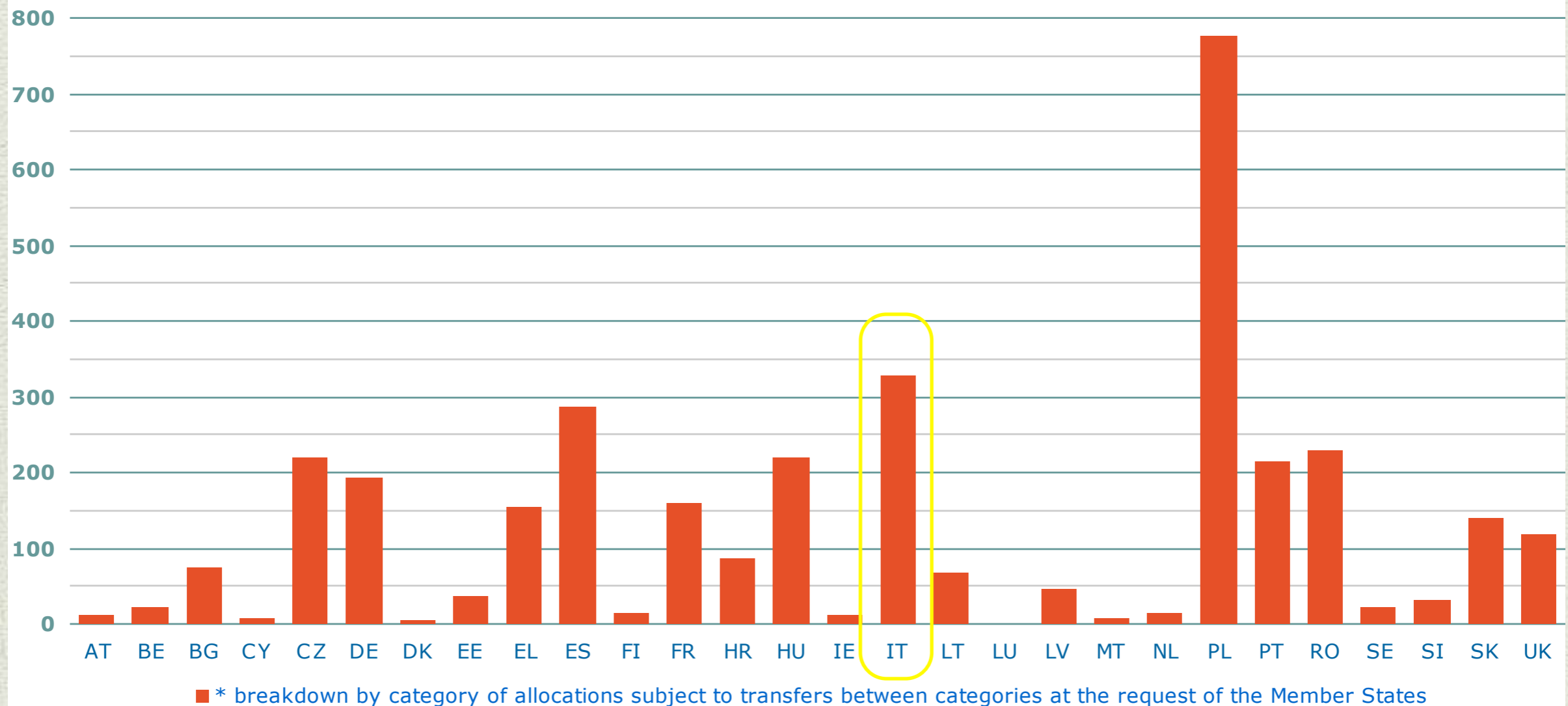
Sustainable

Inclusive

GROWTH

Cohesion Policy 2014-2020: budget allocations per MS

Total EU allocations of cohesion policy 2014-2020* (billion €, current prices)



Europe 2020 strategy: needs for review

- ♦ Europe 2020 strategy, adopted in 2010, had set ambitious objectives that are far from being met.
- ♦ The program included a mechanism of “mid-term review” to adjust the policies. It was supposed to take place at the end of 2015 (postponed in 2016)
- ♦ In addition, **Europe 2020 needs to be brought in line with the Political Guidelines of the Juncker Commission.**

Juncker Commission: 10 political priorities

In middle 2014, Juncker presented a set of '[political guidelines](#)' focussing on **ten policy areas** in which EU could make a difference:

1. The investment plan: a new boost for **jobs, growth and investment**
2. A connected **digital single market**
3. A resilient **energy union** with a forward-looking **climate** change policy
4. A deeper and fairer **internal market** with stronger industries
5. A **deeper and fairer economic and monetary union**
6. A reasonable and **balanced free trade agreement with USA**
7. An area of **justice and fundamental rights** based on mutual trust
8. A new policy on **migration**
9. Europe as a **stronger global actor**
10. A European Union of **democratic change**

https://ec.europa.eu/priorities/index_en



Research & Innovation Policies



Innovation Union Policy

http://ec.europa.eu/research/innovation-union/index_en.cfm

The Innovation Union is the Europe 2020 flagship priority **aiming to improve conditions and access to finance for research and innovation in Europe**, to ensure that innovative ideas can be turned into products and services that create growth and securing Europe's global competitiveness.

The Innovation Union commits the EU to increase investment in research to 3% of its GDP by 2020 (2% in 2010). Studies indicate that such investment could create 3.7 million jobs and increase annual GDP by €795 billion by 2025.



This is achieved by:

- ♦ Focusing on innovations that address the major societal challenges identified in Europe 2020;
- ♦ Pursuing a broad concept of innovation;
- ♦ Involving all actors and all regions in the innovation cycle.

Innovation Union Policy

The Innovation Union plan contains over thirty actions points corresponding to the following objectives:

- ♦ Promoting excellence in education and skills development
- ♦ Delivering the European Research Area
- ♦ Focusing EU funding instruments on Innovation Union priorities
- ♦ Promoting the European Institute of Innovation and Technology (EIT) as a model of innovation governance in Europe
- ♦ Enhancing access to finance for innovative companies
- ♦ Creating a single innovation market
- ♦ Promoting openness and capitalising on Europe's creative potential
- ♦ Spreading the benefits of innovation across the Union
- ♦ Increasing social benefits
- ♦ Pooling forces to achieve breakthroughs: European Innovation Partnerships
- ♦ Leveraging our policies externally
- ♦ Reforming research and innovation systems
- ♦ Measuring Progress

The Innovation Union actions

1. Training researchers

2. University ranking system

3. Developing new curricula

4. ERA Framework

5. European Research infrastructures

6. Programmes focusing on EU2020

7. Involvement of SMEs in R&I

8. Forum on Forward Looking Activities

9. EIT to expand its activities

10. New financial instruments for private finance

11. Free Venture Capital funds

12. Cross-border matching of innovative firms

13. Review of State aid R&D&I

14. EU Patent

15. Screening of key regulatory frameworks

16. Modernise standard-setting

17. Pre-commercial and public procurements

18. Eco-innovation action plan

19. European Design Board

20. Open access

21. Knowledge transfer

22. European market for patents and licensing

23. Safeguard of IPRs

24. Smart Specialisation

25. Focus on Innovation in the next Structural Funds

26. European Social innovation pilot

27. Research programmes on public sector and social innovation

28. Partners consultation on knowledge economy

29. European Innovation Partnerships

30. Policies for researchers to reside in Europe

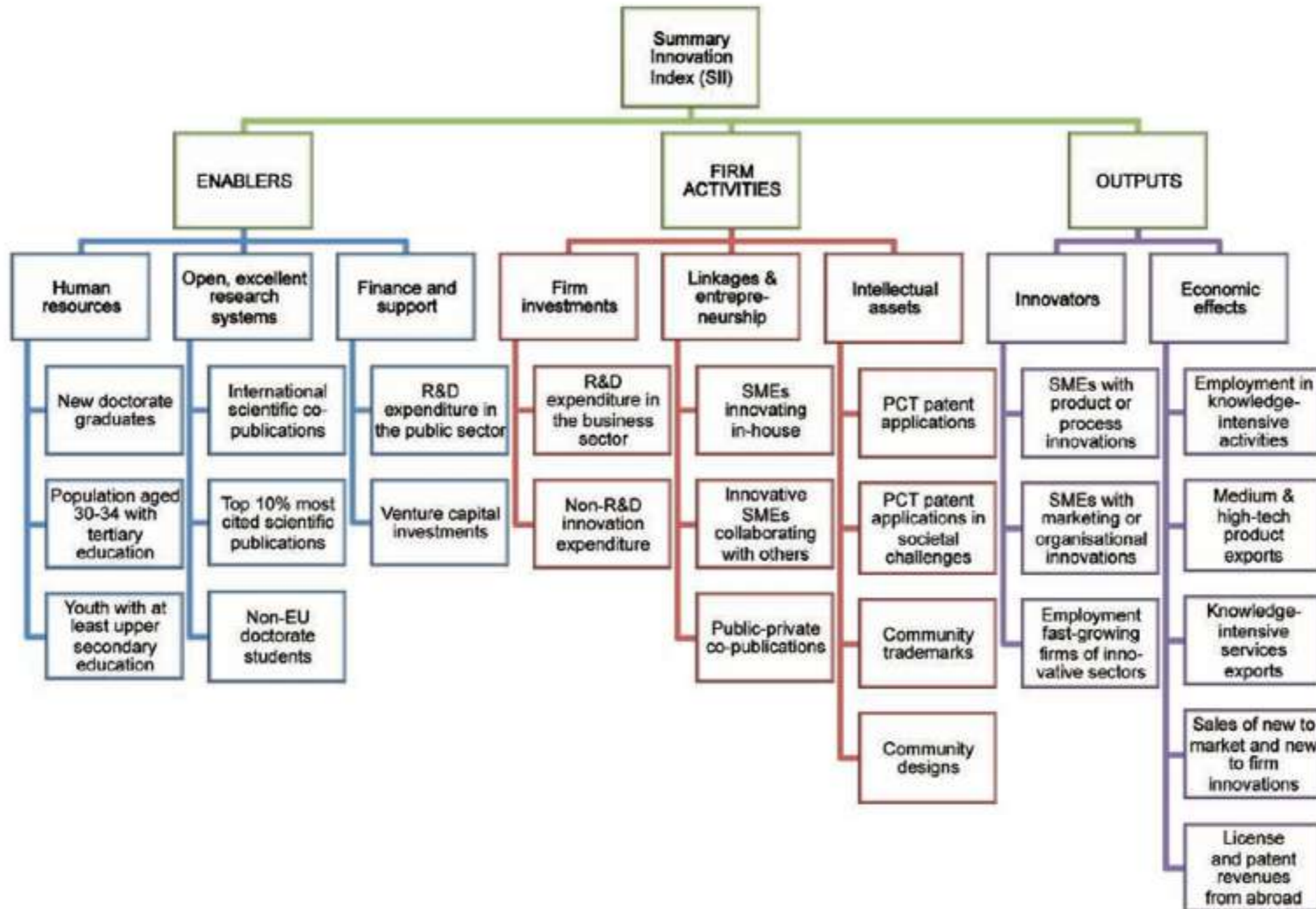
31. Scientific cooperation with third countries

32. International agreements on research infrastructures

33. MS to carry out self assessments

34. New indicator for fast-growing companies and monitoring

Measurement framework of the Innovation Union scoreboard



Research&Innovation Cohesion Policy 2014-2020

Introduction of ex-ante conditionalities to ensure that the necessary conditions for effective support are in place.

For research and innovation:

The existence of a national or regional research and innovation strategy for smart specialisation in line with the National Reform Programme (Annex 1 of the Innovation Union Communication)

- ♦ to leverage private research and innovation expenditure
- ♦ complies with the features of well-performing national or regional research and innovation systems

Smart Specialisation Strategy (S³)

- ♦ 'Knowledge for Growth' expert group (DG RTD) launched concept in the framework of ERA;
- ♦ Problem: fragmentation/imitation/duplication of public R&D investments;
- ♦ Stresses role for all regions in the knowledge economy, if they can identify comparative advantages in specific R&I domains/clusters (not just winning sectors);
- ♦ Challenges: Smart specialisation has to embrace the concept of open innovation, not only investment in (basic) research.

The S3 does not equal the Operational Programme for the implementation of the funding, but is a **strategic framework that should guide and align European, national, regional and private investments in the region or member states.**

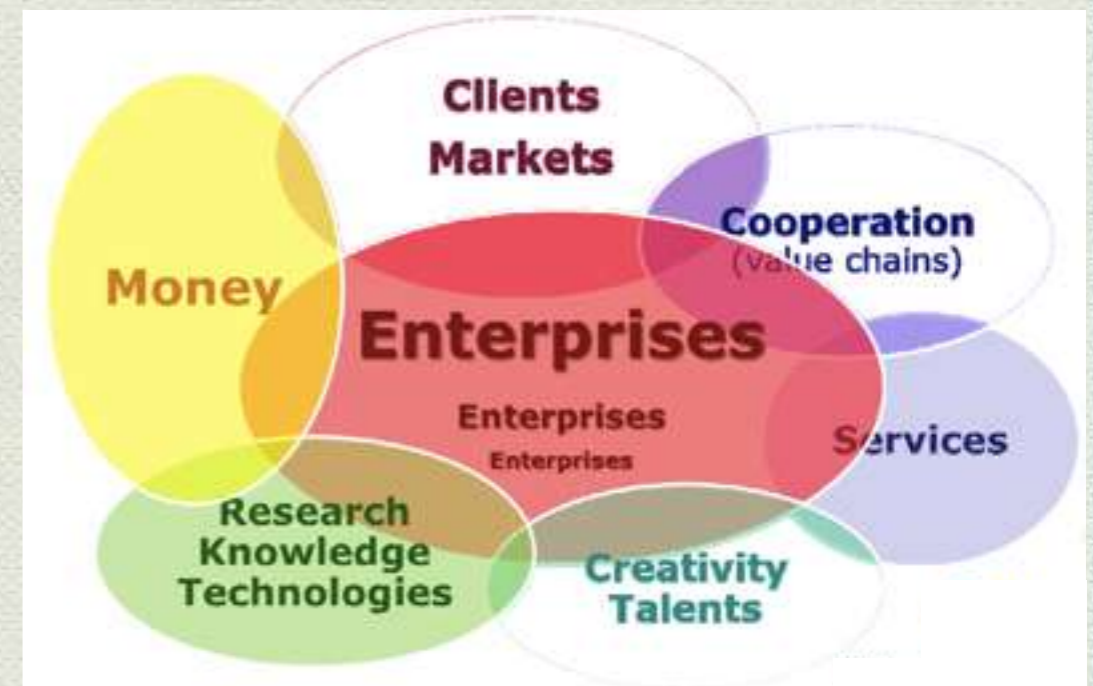


The Commission has set up a [Smart Specialisation Platform](#) to provide assistance and run pilots with interested regions.

Smart Specialisation Strategy (S³)

An agenda for economic transformation:

- ♦ **(Tough) Choices:** select few priorities on the basis of international specialisation and integration on international value chains
- ♦ **Competitive (Constructed) Advantage:** mobilise talent by matching RTD + innovation and business needs & capacities
- ♦ **Critical Mass:** provide arenas for related variety/cross-sectoral links which drive specialised technological diversification
- ♦ **Collaborative Leadership:** efficient innovation systems as a collective endeavour based on public-private partnership



R&D&I: Innovation and Cohesion policy objectives

EU R&D and Innovation Policy	EU Cohesion Policy
differences	
<p>Based largely on individual R&D and innovation Projects of a pre-competitive nature aiming at advancing knowledge and fostering innovation for growth and jobs, including but not exclusively frontier research (also co-funding national and regional programmes)</p>	<p>Based on multiannual Programmes aiming at increased to reduce regional disparities, including through close to the market competitive R&D and innovation efforts</p>
<p>Awarded directly to final beneficiaries (firms, public and private R&D centres and Universities, including national and regional governments in certain cases – Art. 185, ERA-NET etc.)</p>	<p>Awarded through shared management exclusively to national and regional public intermediaries</p>
<p>Through transnational competitive calls addressed to international groupings through peer review based on excellence criteria</p>	<p>Non competitive attribution addressed to regional players based on strategic planning negotiation (however calls possible at national or regional level)</p>
synergies and complementarities	
<p>Horizon 2020 will focus on tackling major societal challenges, maximising the competitiveness impact of research and innovation (Industrial leadership) and raising and spreading levels of excellence in the research base</p>	<p>Cohesion policy will focus on galvanising smart specialisation that will act as a capacity building instrument, based on learning mechanisms and the creation of critical skills in regions and Member States.</p>

European Research Area (ERA)

http://ec.europa.eu/research/era/index_en.htm

ERA was launched by the European Commission in 2000, with the idea of developing attractive opportunities for researchers within Europe. Today, ERA is at the heart of the EU 2020 Strategy and of the Innovation Union (IU) where it can help contribute to growth and jobs.

ERA is composed of research and development activities, programmes and policies with a transnational angle. The national research systems of the Member States, funded from national tax revenues, remain as they are. They are however encouraged to be more open to each other and the world, more inter-connected and more inter-operable.



The Legal basis of ERA is found in Article 179 of the [Treaty on the Functioning of the European Union](#)

What are ERA priorities?

- ♦ **More effective national research systems** that include increased competition within national borders and sustained investment in research;
- ♦ **Transnational cooperation and competition** which define and implement common research agendas on challenges, raise quality through Europe-wide open competition, and construct and run key research infrastructures on a pan-European basis;
- ♦ **An open labour market for researchers** so as to ensure the removal of barriers to researcher mobility, training and attractive careers;
- ♦ **Gender equality and gender mainstreaming in research** to end the waste of talent and to diversify views and approaches in research and to foster excellence;
- ♦ **Optimal circulation, access to and transfer of scientific knowledge including via digital ERA** to guarantee access to and uptake of knowledge by all.

Where do we stand now?

- ♦ The 2014 ERA Progress Report : The ERA partnership has made good progress in delivering ERA
- ♦ The goal for 2014 has been achieved. The conditions are in place for a fully functioning ERA:
 - ❖ Member States are gradually adopting ERA supportive policies (NRPs)
 - ❖ Stakeholders are showing continued support for ERA agenda
 - ❖ EU Commission
 - included ERA in the European Semester
 - provides funding for ERA initiatives through Horizon 2020
 - leads by example on ERA priorities through Horizon 2020

ERA remains a gradual process and **it is now up to MS to implement the ERA reforms and make ERA work**



Outcomes of the 2014 ERA Progress Report

http://ec.europa.eu/research/era/eraprogress_en.htm

Successes and Obstacles

Most successful areas:

- ◆ Competitive funding is increasing in Member States
- ◆ Higher than the EU average in 2/3 of the MS
- ◆ More than a half of MS implement Digital ERA
- ◆ Much progress on Open Access and Knowledge Transfer

Biggest remaining obstacles:

- ◆ Inertia prevents alignment of national research agendas: EU approach is needed to tackle societal challenges
- ◆ Discrepancies in the ways ERA is implemented at MS level (i.e. national specificities, smart specialisation priorities): no common ERA approach
- ◆ Gender imbalance remains: waste of talents and future skills
- ◆ Still wide disparities to open recruitment practices: hinders mobility



ERA Future Challenges

♦ Implementing ERA at EU and national level

- ❖ MS to develop ERA Roadmap by mid-2015 to address remaining bottlenecks through
- ❖ Exploit synergies by aligning national research strategies and pooling funding to tackle societal challenges
- ❖ Further synchronise national and EU roadmaps for Research Infrastructures
- ❖ Enhance International Cooperation as cross-cutting activity

♦ Involve new stakeholders in the Stakeholder Organisations (SHO) Platform

- ♦ Maximise benefits of R&I for society (tighter integration of RRI, Science 2.0, Smart Specialisation in ERA policy objectives)
- ♦ Continued support by the EU Commission through H2020, through targeted and cross-cutting measures, such as the pension fund for researchers



Opening up an ERA of Innovation

We are moving into a world of **open innovation** and **user innovation**. A world where the digital and physical are coming together. A world where new knowledge is created through global collaborations involving thousands of people from across the world and from all walks of life.

ERA and Innovation Union

- **First chapter was about** create the physical ERA (physical cooperation and mobility of researchers in different countries, and the flow of knowledge across national borders) and bringing together research and innovation
- Time to open the next chapter: **must focus on opening up our research and innovation systems and bringing together the physical and digital**

Opening up an ERA of Innovation

Three major challenges:

1. Too rarely succeeding in getting research results to market.
2. Although Europe generates more scientific output than any other region in the world, in some areas we fall behind on the very best science.
3. Europe punches below its weight in international science and science diplomacy.

In order to overcome these three challenges I see three strategic priorities:

Open Innovation

involving far more actors in the innovation process, creating the right ecosystems, increasing investment, and bringing more companies and regions into the knowledge economy

Open Science

movement to make scientific research, data and dissemination accessible to all levels of an inquiring society, amateur or professional.

Openness to the World

need for new horizons in times when knowledge, people and capital are becoming global goods that are going where they find the best possible environment to deliver the best results