

# How will social sciences and humanities help to cross boundaries in the ERA?

**NORFACE 2009 Conference**

**Anneli Pauli – DG Research – European Commission**

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# 1. From Ljubljana to Lund, the ERA vision for 2020

# Basics of the development of the European Research Area (ERA)

*The ERA concept combines: a European "internal market" for research, where*

- researchers, technology and knowledge freely circulate;*
- there is effective European-level coordination of national and regional research activities, programmes and policies;*
- initiatives implemented and funded at European level.*

## Ljubljana Process – April 2008

- We need to develop a well-organised partnership between the Member States, Associated States and the Commission to exchange information and to steer all initiatives in a coherent way.
  - A common long-term vision for the future of ERA as the basis for our future actions and initiatives
  - Better governance, notably with better political steering at the ministerial level, is needed.

## ERA Vision 2020 - Competitiveness Council of 2/12/08

*“By 2020, all actors fully benefit from the ‘Fifth Freedom’ across the ERA: free circulation of researchers, knowledge and technology. The ERA provides attractive conditions and effective and efficient governance for doing research and investing in R&D intensive sectors in Europe. It creates strong added value by fostering a healthy Europe-wide scientific competition whilst ensuring the appropriate level of cooperation and coordination. It is responsive to the needs and ambitions of citizens and effectively contributes to the sustainable development and competitiveness of Europe.”*

## Lund Declaration - Competitiveness Council of 9/7/09

- “European research must focus on the Grand Challenges of our time moving beyond current rigid thematic approaches. This calls for a new deal among European institutions and MS, in which European and national instruments are well aligned and cooperation builds on transparency and trust.”
- “Identifying and responding to Grand Challenges (*Eco-efficient society, global warming, tightening supplies of energy, water and food, ageing societies, public health, pandemics and security*) should involve stakeholders from both public and private sectors in transparent processes taking into account the global dimension (*The European Knowledge Society*).”
- “Meeting the Grand Challenges also requires the following:
  - Strengthening frontier research initiated by the research community itself.
  - Taking a global lead in the development of enabling technologies such as biotechnology, information technology, materials and nano-technologies.”

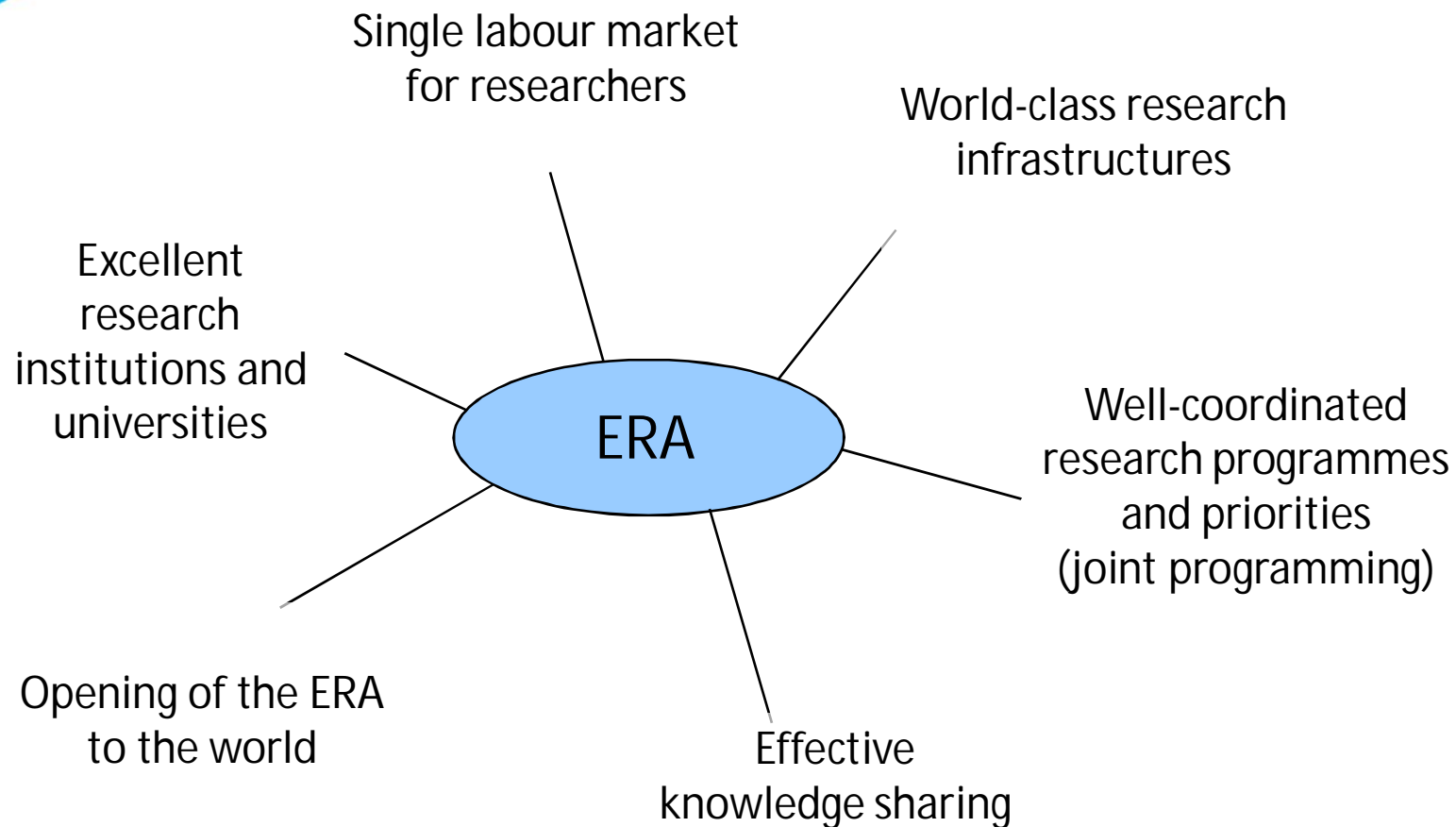


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## 2. Update on the five ERA initiatives

# ERA building blocks



## 1. A European Partnership for Researchers

- Open recruitment and portability of grants
- Meeting social needs of mobile researchers (security, supplementary pension rights,...)
- Attractive employment and working conditions
- Enhancing training, skills and experience of researchers
- ☞ Member States to plan/act at national level based on common objectives
- ☞ Steering Group for Human Resources Mobility (SGHRM)
- 4 Working groups
  - Social Security and Pension Rights
  - Working Condition (incl. recruitment)
  - Training, Skills, Industry/Academia Relations
  - Monitoring and Indicators
- ☞ MS reporting in 2009 and Commission assessment in 2010

## 2. Towards Joint Programming (JP) in Research - 1

### Key Challenges :

- Science and Technology must contribute to solving major societal challenges
- Benefits not optimised due to compartmentalisation of public research funding in the EU
- National research programmes have their place... but are not equipped to tackle major European societal problems by themselves

### Response to challenges :

- Commission Communication on Joint Programming in research and Council Conclusions (2008)
- **Member States engaging in a process:**
  - Voluntary and on the basis of variable geometry
  - ...based on a common vision on how to address major societal challenges
  - ...in the definition, development and implementation of common strategic research agendas

# Update on ERA Initiatives

## 2. Towards Joint Programming in Research -2

- MS are identifying major societal challenges for which they are willing to define common strategic research agendas
- Joint Programming Initiatives (JPIs) will combine existing research programmes and instruments, or build new ones; then define common SMART objectives and implement common research actions
- ☞ The GPC (*Groupe de Programmation Conjointe – High Level Group on JP*) is consulting at national level to identify, by end 2009, broad topics for JPIs
- ☞ Commission already proposed in July 2009 to launch Health Policy actions and a JPI on Neurodegenerative Diseases (especially Alzheimer's disease)
- ☞ Task Forces of MS and Research organisations will tackle Framework Conditions (Foresight, Peer Review, Cross border research funding, Evaluation of JPIs, IPR and Open access).

## CRITERIA FOR IDENTIFYING "MATURE" JPIs

Council Conclusion on Joint Programming, 2/12/08	Template for presenting JPIs to the GPC, June 2009
<i>2A. Theme addresses EU or global challenge</i>	1a. JPI Addresses EU or global Challenge
<i>2B. The theme is sufficiently focused</i>	1b. Theme of JPI is sufficiently focused
<i>1. ... sufficient &amp; effective MS commitment;</i>	2a. Commitment from Member States
	2b. Do proposing MS develop Common Vision?
<i>2C. Clear and realistic objectives...</i>	3. SMART Objectives to address the Challenge
5A. JP has potential for good public RTD	4. Key research questions addressed by JPI
5A. Benefits for EU citizens & competitiveness	5a. JPI has benefits & impact for EU citiz. & compet.
3. Added value to current RTD (Nat. & EC)	5c. JPI brings added value to current RTD
5B. Higher efficiency & impact of public R&D	5d. JPI increases RTD efficiency & impact
4. Involvement of regional, national & EU stakeholders + private sector, scientific communities & funding agencies	5e. JP approach is the most appropriate means to facilitate collaboration at European level
SSH in the ERA -	5f. JPI would contribute to overcome legal & practical barriers for transn. cooperation

## CRITERIA FOR IDENTIFYING "MATURE" JPIS

Council Conclusion on Joint Programming, 2/12/08	Template for presenting JPIS to the GPC, June 2009
	6a. JPI involves participating countries
4. Involvement of regional, national & EU stakeholders + private sector, scientific communities & funding agencies	6b. JPI involves relevant regional, national, <b>international</b> and EU stakeholders, including, where appropriate, the private sector
	6c. Adequate human, scientific and technical resources are available for JPI implementation
	6d. Availability of existing & new infrastructure
	6e. Indication of MS contributions
	6f. Indication of approximate duration
	6g. Indication of milestones to be reached
	6h. Indication of possible future governance ( <b>management</b> ) structure
<i>5C. Involves area's key public initiatives</i>	6i. Indication of implementing agencies
	6j. Indication of openness to additional MS
SSH in the ERA	<b>7. New criterion: JPI is considered "mature"</b>

# Joint Programming in Research - 5

## General Timetable

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- ◆ **From 13/2 to 4/12/09** 7 Meetings of Joint Programming Group
  - ◆ **Throughout 2009** Consultation of Stakeholders by Member States, proposals to GPC
  - ◆ **End 2009** Identification of Joint Programming themes by the group, **for the December 2009 Council**
- Commission prepares proposal for Council Recommendation on the basis of themes identified by the Joint Programming Group (e.g. Neurodegenerative diseases-7/09)***
- ◆ **2009-2010** Council adopts Recommendation, launching the selected Initiatives
- Setting up of management structures, development of visions, drafting of the Strategic Research Agendas, pooling the resources, analysis of the potential of existing instruments or the need for new ones. Commission supports as deemed necessary.***
- ◆ **... by end 2010** **Implementation.** Launch of first joint activities, first report to Council

## 3. World-class Research Infrastructures

- Integration of existing Research Infrastructures
- ESFRI roadmap for new Infrastructures (12/08 update)
- New Community legal framework for a European Research *Infrastructure* Consortium (*ERIC*) providing legal personality to ease the setting up of EU Research Infrastructures (Valid as of 28/8/09)
- ☞ Implement the ESFRI roadmap (national support)
- ☞ Continue developing a Research Infrastructures policy at EU level
- ☞ Guidelines for setting-up and managing ERICs

## 4. Opening the ERA to the world

- Council adopted a "*Strategic European Framework for International S&T Cooperation*"
  - based on a long term partnership between the MS and the European Community
  - aiming for a more coordinated approach between MS and the EC activities
- ☞ Strategic Forum for International Cooperation (SFIC), where Member states & Associated Countries + the EC collaborate to identify common priorities vis-à-vis 3<sup>rd</sup> countries and international fora.
- ☞ Task Force on Information Sharing
- ☞ Task Force on Priority Setting/ Global Challenges

## 5. Knowledge Transfer and IP Management

- Commission Recommendation and Code of Practice on Intellectual Property and Knowledge Transfer were adopted in April 2008
- Council Resolution adopted in May 2008
- ☞ CREST Working Group on Knowledge Transfer following-up implementation of the IP Charter
- ☞ Knowledge transfer forum discussing implementation of the IP Code of Practice



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### 3. Social Sciences and Humanities in the European Research Area

# SSH in Framework Programmes - 1

FP5 : SSH at the heart of FP5 addressing major challenges

- Healthy Ageing, City of Tomorrow, Innovation, Social Exclusion...

☞ Real contribution, but SSH were often an “add-on”

FP6 : socio-economic impact as a key evaluation criteria

☞ Integrate natural & engineering sciences with social, economic and human science dimension

☞ Need for more foresight and SWOT analysis for defining priorities in work programmes and major projects

## Framework Programme 7 : "T shaped approach"

- Socio-economic impact evaluation criteria across all of FP7 priority Themes;
- and specific SSH priorities (620 M€ budget) :
  - Growth, employment and competitiveness in a knowledge society
  - Combining economic, social and environmental objectives in a European perspective
  - Major trends in society and their implications
  - Europe in the world
  - The citizen in the European Union
  - Socio-economic and scientific indicators + Foresight activities

- Foresight exercises on universities in FP6 invited to rethink the role of universities and the functions of researchers and teaching staff
- Beyond the legislative and technical requirements for the 5th freedom (knowledge circulation in Europe), it is important to understand the cultural and intellectual boundaries and barriers
  - ☞ How do ideas and scholars move in Europe? (ESSE project).
- More SSH analysis of the framework conditions for cooperation and coordination of researchers in all scientific domains is needed

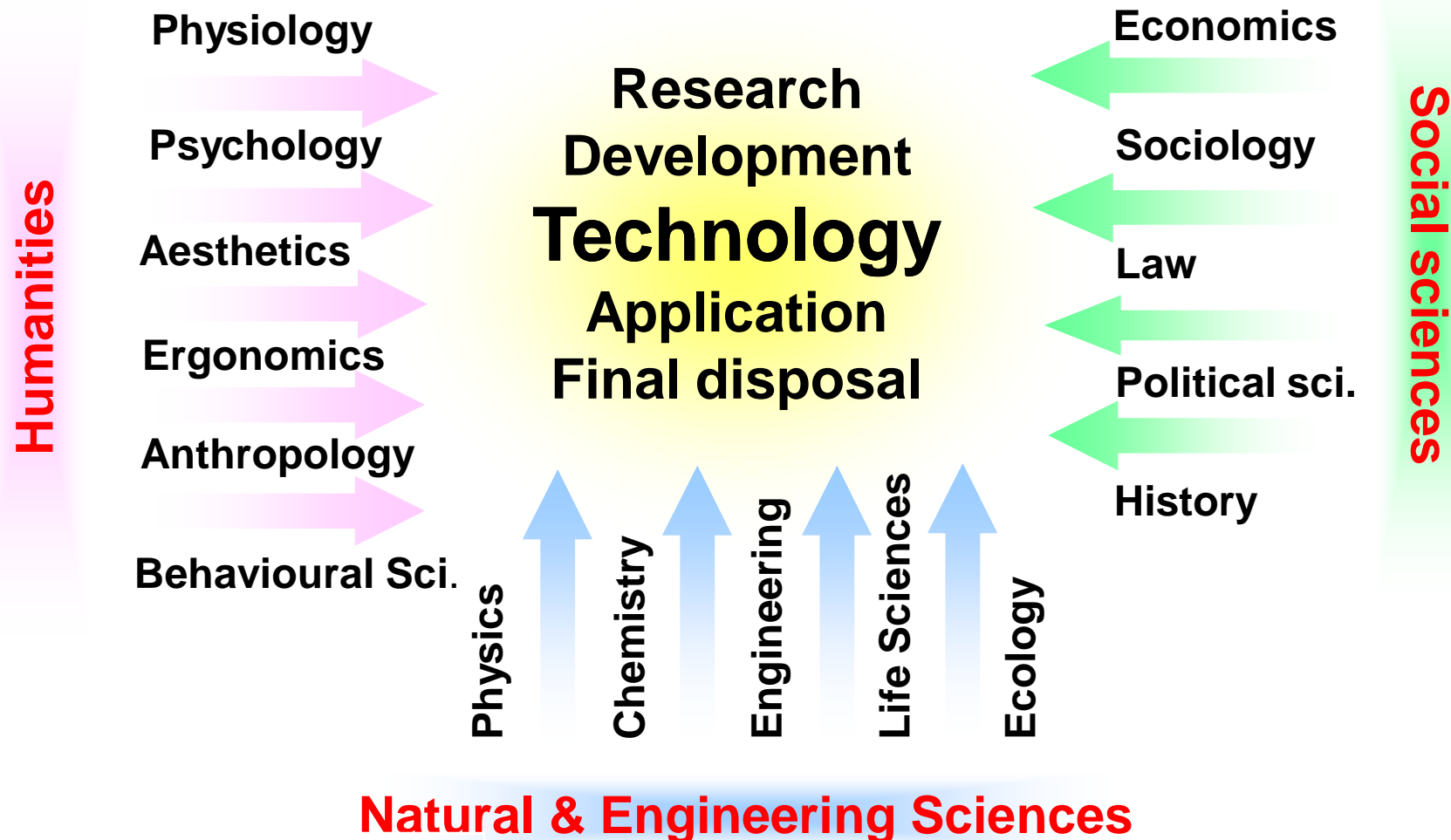
# SSH in ERA - Joint Programming - 1

Several European countries have identified SSH priorities for their National Research Areas (NRAs):

- Denmark : The “Research 2015” exercise, road mapped future priorities for DK research. A majority of “soft” societal challenges (Healthcare, Education, Knowledge production, People and Societal design) as opposed to “hard, sectorial”, more traditional areas.
- Finland : Tekes Focus Areas - New identities, Ethical consumption, Crowd-sourcing... Acad. of Finland ‘09-’12 research programme - “Public Health Challenges”
- Latvia, Lithuania and Luxembourg all have as main research priority the notion of “National identity” and/or “How to define and take advantage of small country identities in a globalising world”.
- ERA-NET NORFACE : Joint Calls on “Re-emergence of Religion as a Social Force in Europe” and “Migration in Europe”
- ERA-NET HERA : Joint Calls on “Cultural Dynamics: Inheritance and Identity” and “Humanities as a Source of Creativity and Innovation”

# SSH in ERA - Joint Programming - 2

Consider potential social, economic, political & cultural processes & impacts in research programmes

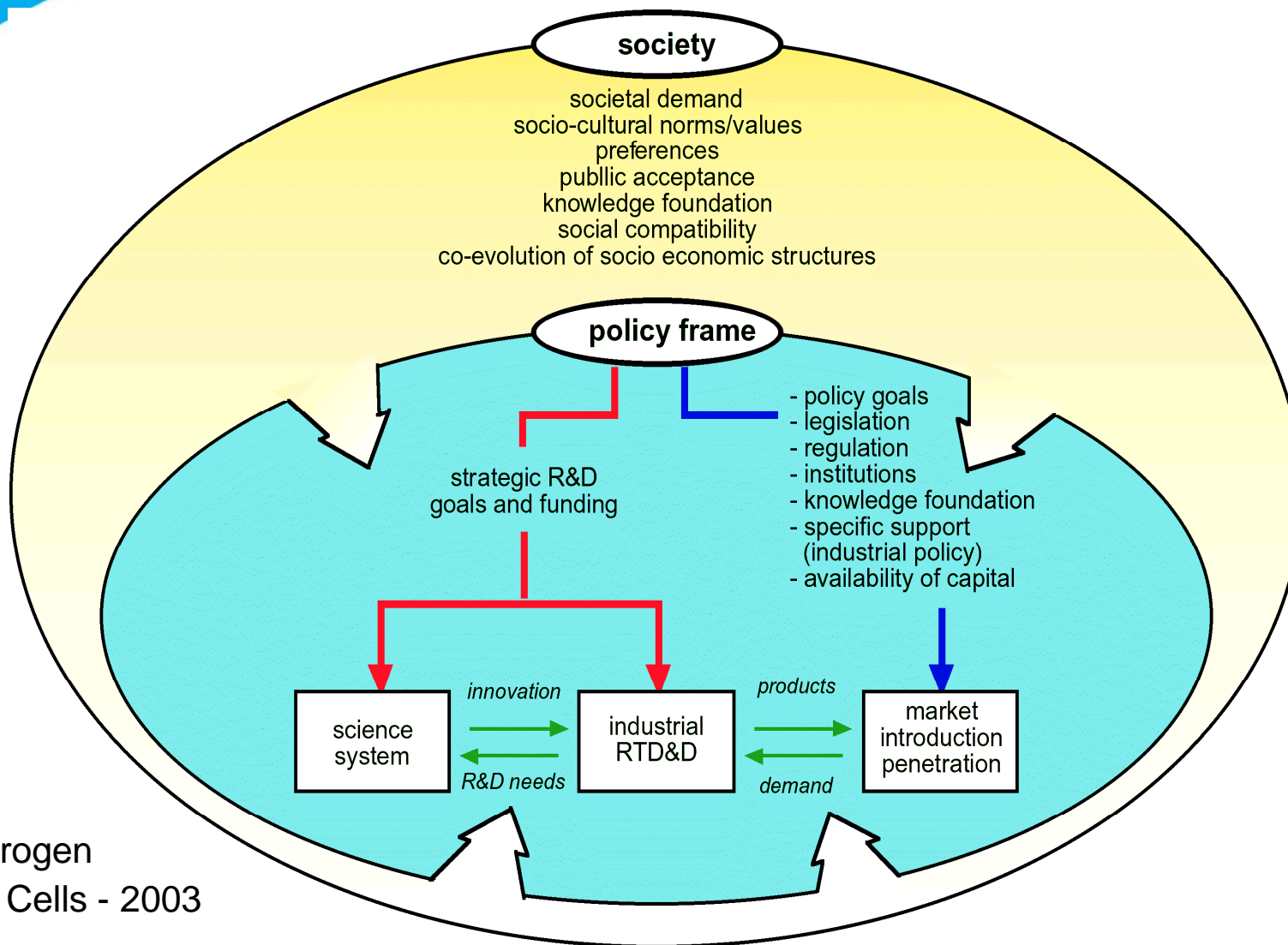


Adapted from Horvat (2009)

## Consider Forward Looking Activities:

- Forward Looking makes us cross intellectual boundaries. Forward Looking essential to steer the ERA to develop already identified areas for Joint Programming (JP) AND to feed thoughts about new areas for Joint Programming Initiatives.
- Forward-Looking also has to cross national boundaries. However, less than 10% of the 850 Foresight and Forward Looking exercises undertaken in the EU this decade had a cross-national dimension

# SSH in ERA - Joint Programming - 4



ETP Hydrogen and Fuel Cells - 2003

# SSH in ERA - Opening to the world - 1

- International cooperation in research is above all a political and cultural matter. SSH disciplines can offer a lot in building meaningful international links.
- A partnership between the MS and the EC:
  - ☞ Cross national boundaries
  - ☞ Strengthen common approaches
- A partnership between the MS/EC and third countries:
  - ☞ Tackle Challenges affecting specific regions
  - ☞ Need for cooperation inside specific regions / countries

- Examples of dedicated actions launched through the WP 2010 SSH:
  - *topic for Latin American & Caribbean in with at least 5 LAC countries on social & economic uses of environment*
  - *SICA (Specific International Cooperation action) for China on Understanding urbanisation trends and processes in contemporary China*

## SSH in ERA - Opening to the world - 3

- Cooperation in SSH with China is excellent example of what EU MS - the EC are doing together & with China :
  - On going European Community – China Science and Technology Agreement and its annual EC-MoST Steering Committee meetings
  - China Bilateral agreements with EU MS
  - ERA-NET (CO-REACH) to better coordinate approaches and programmes vis-à-vis China
  - Active network of S&T Counsellors of EU MS and EC based in Beijing
  - Guiding principles: Commission Communication on international cooperation (9/08) and Council conclusions (12/08).

## CO-REACH SS pilot call

- 11 EU partners + CASS
- 5 priority themes, jointly selected
- projects duration: 2 years
- EU virtual common-pot ~1,8M€  
(+ CASS ~ 150k€)
- Dec 2008: 82 full proposals eligible
- External EU and CN reviewers
- 14 proposals selected for funding
- call reveals a keen interest in Sino-European collaboration in SS.

## EC SICA WP 2010

- Thorough discussions with CO-REACH and Chinese main interlocutor (MoE)
- Closed coordination with China looked for (Coordinated Calls)
- Chinese budget not mobilised =>SICA launched 30 July 09, deadline: 2 February 10, evaluation in May 10, first grant agreements to be signed in November 10
- maximum requested EU contribution MEUR 2.7

Close coordination between  
RTD and Co-Reach members  
to define the pilot call and the  
SICA topics

# SSH in ERA - Conclusion

- ERA is to reinforce partnerships and cooperations of various kinds. It helps to cross national boundaries.
- There are many other less obvious boundaries that also need to be understood and sometimes challenged.
- SSH can be a natural ally across ERA rather than another “technical” or “thematic” area.
- The horizontal nature of SSH has been underestimated and underutilised – SO FAR...

*« Tell me, and I will forget »*

*« Show me, and I will remember »*

*« Involve me, and I will understand »*

*B. Franklin (1706 - 1790)*



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