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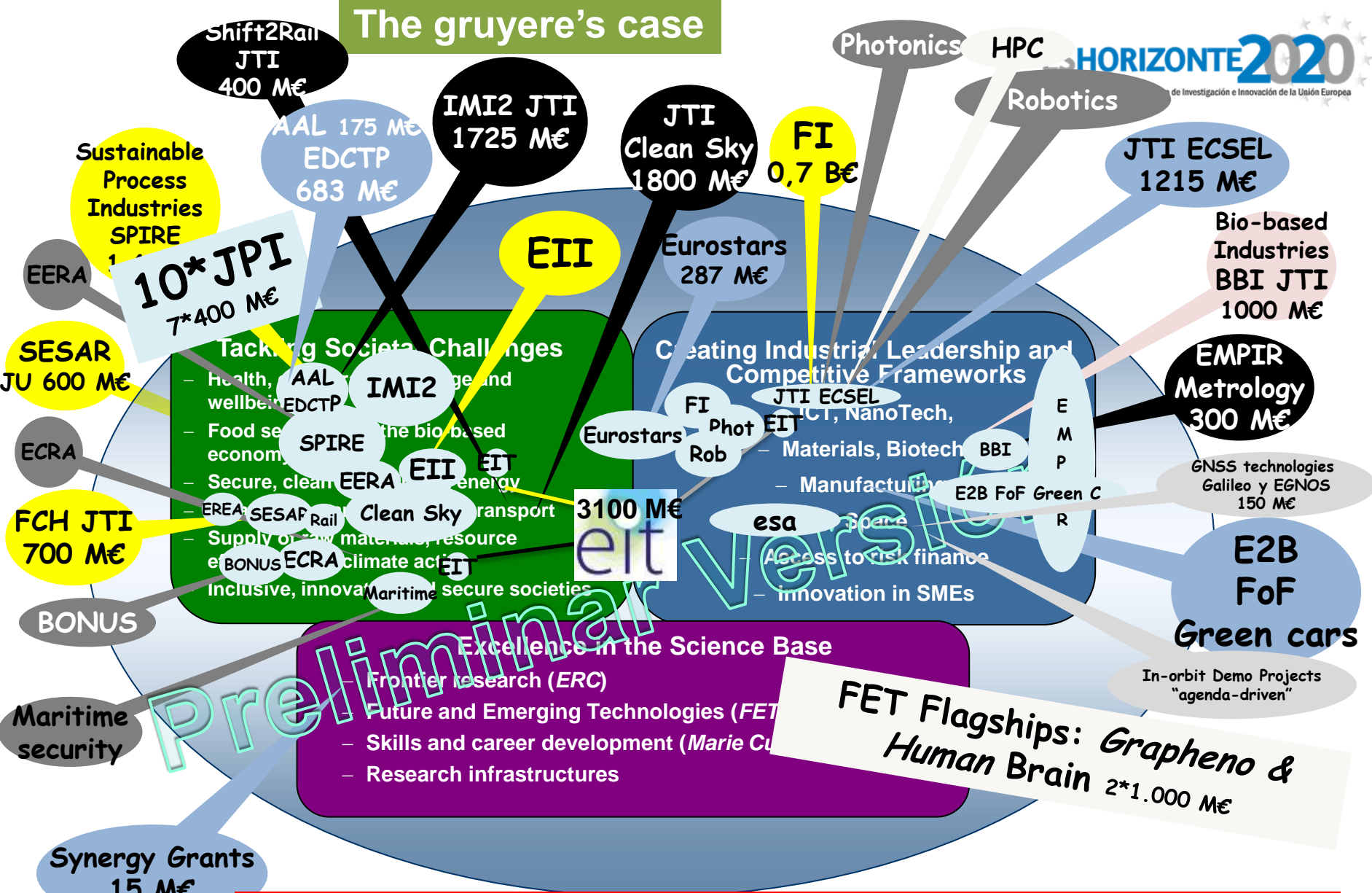
Shift2Rail: Dialogue on the Future of Rail Research & Innovation



Spanish Institutional Vision: Public Private Partnerships in Horizon Europe

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The gruyere's case



+EIP Health, Raw materials, Agro, Water, Smart Cities...

Scope (What are we talking about?)

Partnership approaches	Public-public partnerships (P2P)	Public-private partnerships (PPP)	EIT-KICs	FET Flagships
Implementation modes	ERA-NET, EJP Cofund, Article 185, JPI	cPPP, Article 187	Grant agreements, Framework Partnership Agreements (FPA)	
Partnership initiatives	66 active ERA-NETs , 4 EJP Cofund Actions , 6 Art. 185 initiatives, 10 JPIs	cPPP (10): FoF, EeB, EGVI, SPIRE, 5G, HPC, Robotics, Phonotics, Data, Cybersecurity JTI (6): IMI, Clean Sky, FCH, ECSEL, BBI, S2R (EuroHPC forthcoming)	KICs (6): Energy, Climate, ICT, Health, Raw Materials, Food	Flagships (2): Graphene and Human Brain (Quantum forthcoming)
	86	16	8	2

[Lista completa](#)

Interim Review H2020 for JTIs

OVERARCHING CONCLUSION

While still early for JUs to demonstrate tangible project outputs, **JUs are on track to deliver against the set objectives...**

- effectively **managed to engage the major actors** in R&I in the respective industrial sectors
- have shown their potential as **important drivers** for strengthening Europe's **competitiveness** and responding to **major socio-economic challenges**
- demonstrated **efficiency improvements** in comparison to FP7
- **leveraged private funding** that is close to or exceeds set targets

Despite...

- A number of shortcomings that need to be addressed by the JUs and the Commission services in order to improve their functioning, ensure delivery of solid output and objectively assess impact



CHALLENGES

- ➔ to revisit and **re-define the Key Performance Indicators**
- ➔ to reach **a wider range of stakeholders** through broadening memberships both in the governance structures and in project consortia
- ➔ **for stronger interaction** between Governing Boards and advisory bodies (States' Representatives Groups and Scientific Committees)
- ➔ **to align better** the JU activities with national, regional policies in particular with Smart Specialization priorities
- ➔ to address **SME** participation and still low **EU-13**
- ➔ to **improve communication** and, in particular, **dissemination** of project results



...and partnerships in FP9?





New approach to European partnerships: overview

New generation of objective-driven and more ambitious partnerships in support of agreed EU policy objectives

Key features

- **Simple architecture and toolbox**
- **Coherent life-cycle approach**
- **Strategic orientation**

Co-programmed

Based on Memoranda of Understanding / contractual arrangements; implemented independently by the partners and by Horizon Europe

Co-funded

Based on a joint programme agreed by partners; commitment of partners for financial and in-kind contributions & financial contribution by Horizon Europe

Institutionalised

Based on long-term dimension and need for high integration; partnerships based on Articles 185 / 187 of TFEU and the EIT-Regulation supported by Horizon Europe



Partnerships: what is the new approach?

- Only support partnerships if there is evidence that they are **more effectively** achieving policy objectives than Horizon Europe alone, and provide significant added value, joint actions going beyond joint calls
- **Fewer** partnerships with **higher** impacts (more with less - rationalisation)
- Trigger **additionality** and directionality of public and private R&I investments across Europe
- Showcase **added value** of European wide cooperation beyond 'EU' actions. So, not just calls for proposals
- Improve **coherence** between partnerships and Horizon Europe, also the missions
- Contribute to higher **openness** of Europe's R&I ecosystems

Partnerships: what are the new features?

- Selection of partnerships of Horizon Europe, 'necessity test' why partnerships are the best option to achieve policy objectives compared to other instruments
- Common and coherent **framework** of criteria along the life cycle of partnerships, across all pillars, even across programmes and other regulations (e.g. EIT, DEP, space)
- Programme co-fund actions allow for a **broad scope of joint actions** to respond to specific needs of partnerships
- Allow a **broader set of actors** to participate, in particular foundations
- Unified **umbrella** branding to improve visibility
- **Time limited** with conditions for phasing-out the Programme funding

Potential renewal of existing partnerships

- Provisions of Horizon Europe apply to **all** European partnerships, new and renewed ones
- The draft **strategic R&I plan** will identify areas that require partnerships
- After that, finalise the proposal for the new regulatory framework for EIT/KICs
- In addition, candidates for institutionalised partnerships, notably **Article 185 and 187 initiatives**, should be sufficiently advanced to allow formal consultation of Member States in early 2019
- **Other partnerships** implemented via the work programmes 2021-2022 should be known by summer 2019



ERAC Working group on Partnerships

https://www.era-learn.eu/documents/erac_efficiency

- Diciembre 2017-Noviembre 2018
- To reduce the complexity of the partnerships landscape and improve its openness, transparency and coherence with EU-level, national regional R&I policies and programmes.
- A new systemic and strategic approach to R&I partnerships is needed, that encompasses all Partnerships



ERAC Working group on Partnerships: Structure

- 1. Propose **criteria** for selecting EU-R&I partnerships and, as applicable, Member State, industry and other stakeholder (e.g. foundations) participation in those partnership initiatives;
- 2. Identify options for **rationalising** the current EU R&I partnership landscape and for optimising the coherence between partnerships within the EU R&I policy framework;
- 3. Advise on the design of a long-term **strategic coordinating process** for the selection, governance, monitoring and phasing out from FP co-funding of EU R&I partnership initiatives;
- 4. Identify measures to increase the **efficiency** of partnerships' implementation

ERAC Working group on Partnerships: Criteria Framework, Recommendations

- The criteria framework should be applied to all partnership :
 - Selection:
 - Implementation:
 - Monitoring:
 - Phasing-Out:
- All R&I partnerships should be subject to the agreed criteria framework and corresponding KPIs
- All R&I partnerships should be included in the overall FPs monitoring and evaluation framework
- Better access to projects funded by R&I partnerships, in particular Article 187 initiatives.

ERAC Working group on Partnerships: Rationalisation, Recommendations

- Clear intervention logics for partnership initiatives under FP9, on the basis of the three forms of partnerships (co-programmed, co-funded and institutional)
- Limit the number of labels/instruments

ERAC Working group on Partnerships: Strategic Coordinating Process, Recommendations

- The strategic coordinating process for R&I partnerships must be part of the overall design of the strategic programming process for HEU;
- MS/AC must provide adequate input to the strategic coordinating process;
- Strong ownership and clear position in governance from all partners

ERAC Working group on Partnerships: Improving Efficiency, Recommendations

- A broader use of non-binding forms, such as memorandum of understandings (MoU) in Public-Private Partnerships (**PPPs**)
- Introduce in all partnerships, measures to actively engage a broader set of relevant actors (revised membership policies in JU in particular for **SMEs**)
- A more targeted use of communication campaigns and other measures to improve participation rates of **newcomers**
- Member States and Associated Countries must be better involved in the preparation and implementation of Public-Private- Partnerships;

Our Vision for JTIs in HEU

- Continuation of JTIs
 - New features:
 - Openness
 - Rules for participation
 - Availability of results
 - Communication
 - Participation of Member States/Associated Countries
- Continuation of S2R
 - It is the right moment

El Caso Shift2Rail

UNIFE como promotor, la cronología según UNIFE...

Coordinated by:



- 2009:** UNIFE assembles rail industry leaders to evaluate future R&I investment
- 2010:** Industrial leaders decide for a step change approach in R&I collaboration, increasing their investment and opting for the creation of a strong Joint Technology Initiative (JTI)
- 2012 (July):** SHIFT²RAIL JTI proposal submitted to the European Commission
- 2012 (October):** UNIFE, as coordinator, receives feedback of European Commission
- 2013 (January):** SHIFT²RAIL Addendum to initial Proposal submitted to the European Commission
- 2013 (January):** Communication from the European Commission accompanying the publication of the Fourth Railway Package makes explicit reference to SHIFT²RAIL as promoting rail as a transport mode by enabling step-change innovations in the sector.



2013 (February): Transport Commissioner and Vice President Siim Kallas acknowledges SHIFT²RAIL as a key step in achieving the transport goals set by the European Commission, declaring at the UNIFE/CER European Railway Awards: "Work is continuing on a joint industry-Commission research platform—SHIFT²RAIL, which will be a key element in driving innovation in the years to come. Many details have still to be finalised, but I am committed to working with you to deliver this"

http://www.shift2rail.org/wp-content/uploads/2013/07/S2R_Factsheet_EN_G_A5_Web2.pdf



2014 (JUNIO): Adopción Shift2Rail

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 - It is the right moment
 - Core team may change

SESAR 2020

SESAR JU Public Private Partnership:

Founding members: European Commission,
Eurocontrol

Los Miembros pueden cambiar

Industry

SESAR

SESAR 2020

15 entities, which represent more than
30 companies

- AENA (Aeropuertos Españoles y Navegación Aérea)
- AIRBUS S.A.S.
- ALENIA Aeronautica S.p.A.
- DFS (Deutsche Flugsicherung GmbH)
- DSNA (Direction des Services de la Navigation Aérienne)
- ENAV S.p.A.
- FREQUENTIS AG
- HONEYWELL INTERNATIONAL INC.
- INDRA Sistemas S.A.
- NATMIG (North European ATM Industry Group)
- NATS (EN ROUTE) Ltd
- NORACON (Northern European and Austro Control Consortium)
- SEAC (SESAR European Airports Consortium)
- SELEX S.I. (Selex Sistemi Integrati S.p.A.)
- THALES Group

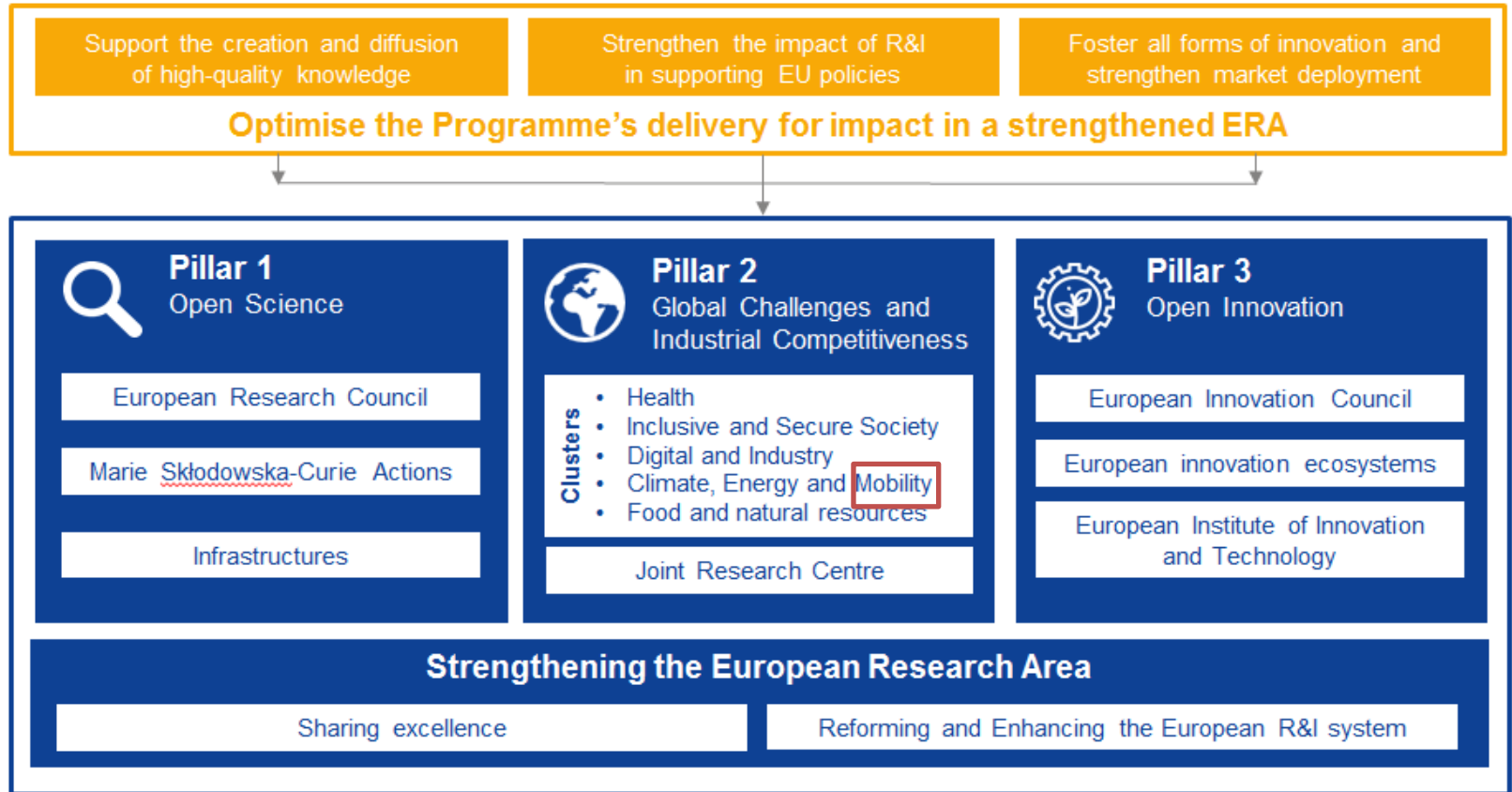
<http://ec.europa.eu/transport/modes/air/news/doc/2014-07-09-sesar/call-for-membership-sesar-2002.pdf>

The **19** (nineteen) **entities** pre-selected as SJU Candidate Members...
Phase 1 of the Membership Accession Process

1. Airbus SAS	11. Thales Air Systems SAS
2. Alenia Aermacchi SpA	12. B4 Consortium
3. AT-One	13. Coopans
4. Dassault Aviation SA	14. Frequentis SESAR Partners
5. Deutsche Flugsicherung GmbH (DFS)	15. Honeywell International Inc
6. Direction des Services de la Navigation Aérienne	16. North European ATM Industry Group (NATMIG AS)
7. Entidad Publica Empresarial (ENAIRE)	17. SEAC - SESAR European Airports Consortium
8. Ente Nazionale Assistenza al Volo (ENAV)	18. Selex ES Spa
9. INDRA Sistemas S.A	19. Skyguide, Swiss Civil and Military Air Navigation Services Ltd
10. NATS (En Route) Plc	

<http://www.sesarju.eu/newsroom/all-news/candidate-members-preselected-sesar-2020>

...Is there life besides S2R?



+ info sobre programas y ayudas
para la
internacionalización de la I+D+I española

www.eshorizonte2020.es - www.cdti.es



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