

## Potential Scenarios for EU-LAC Collaboration in Health Research

### SCENARIO 1: BUSINESS AS USUAL

#### 1. Funding instruments and volume estimation

##### Seventh Framework Programme for Research and Development (FP7): International Cooperation on Health

International Cooperation in Health follows three main strategies:

- General opening of all topics to any country in the world
- Specific International Cooperation Actions (SICA)
- Programme level cooperation on coordinated topics with certain countries

FP7 is made up of 4 main blocks of activities forming 4 specific programmes: Cooperation, Ideas, Capacities and People

**Cooperation Programme:** Priority given to the following activities:

- Biotechnology, generic tools and technologies for human health;
- Translating research for human health;
- Optimising the delivery of health care to European citizens;

Volume estimation: a total of € 6.1 billion over the duration of FP7 on the Health theme

**Capacities Programme:** use and development of research infrastructures, while enhancing the innovative capacities of SMEs to benefit from research. Within the capacities programme the main activities of international cooperation range from:

- Bi-regional coordination of Science and Technology cooperation: To support S&T international policy dialogue: INCO NET Projects.
- Bilateral coordination of S&T with those countries that signed S&T agreements with the Union: Bilateral projects.
- National programmes coordination and activities concerning international S&T cooperation: ERA net and ERA net plus.

Volume estimation: a total of € 180 million over the duration of FP7 on International Cooperation Activities

##### Horizon 2020 - The Framework Programme for Research and Innovation (Successor of FP7)

Horizon 2020 (2014-2020) will focus on the resolution of six societal challenges. The focus on health will be on health, demographic change and wellbeing: The challenge is to improve the life-long health and wellbeing of all while maintaining economically sustainable care systems. Will focus on disease prevention through the development of effective preventive tools (e.g. vaccines), effective health and disease surveillance and preparedness, and effective screening programmes.

Volume estimation: a total of € 80 billion over the duration of Horizon 2020 and a total of € 8,033 million for the health theme.

##### The Iberoamerican Program of Science and Technology for Development (CYTED)

The Area of health brings together various Ibero-American programmes such as biomedicine, health and wellbeing technologies, biotechnology, fundamental biology, pharmacy and fine chemistry and traditional medicine.

The area objectives are improve the general health conditions of the Ibero-American population through strengthening the use and development of modern technology and innovations in areas relating to



infectious diseases, public health and epidemiology, medical biotechnology, chronic and degenerative diseases and medicines, which meet the multiple needs arising from the diverse environments and development levels found in the different countries.

#### Twinning of projects between FP7 and Third Countries

This mechanism implies the twinning of related projects stemming respectively from FP7 and similar programmes from third countries signatories of bilateral agreement with the EC.

Both parties, EC-FP7 and the counterpart third country agency agree to support a limited amount of expenses for twinning activities (e.g. meetings, short term staff exchanges, exchanges of information and materials). The cost of these expenses is estimated at 1% of the total project value; equal amounts would be provided from each side.

The EC could ask to its project co-ordinators, during contract negotiations, to reserve this part of the budget for twinning with related projects supported by the third country R&D programme. In its turn, the third country agency would also reserve similar funds for its project co-ordinators to link with FP co-ordinators.

The twinning of project activity was developed in Canada, Argentina and New Zealand.

## **2. Actions in terms of projects, infrastructures and human resources**

### Seventh Framework Programme for Research and Development (FP7): International Cooperation on Health Cooperation Programme

Main Results on FP7- Health (first FP7 five calls 2007-2010):

- European Participation: Total EU projects: 6617 projects
- Latin American and Caribbean Participation: Total LAC projects: 72 projects

The HEALTH-NCP-NET: It is the network of officially appointed Health National Contact Points (NCPs) and Contact Points in International Cooperation Partner Countries (ICPC CPs).

The objective of HEALTH-NCP-NET is to improve NCP services under FP7, providing a more consistent NCP support that will finally result in a higher quality of submitted proposals from applicants. HEALTH-NCP-NET activities are mainly benchmarking, networking, transnational brokerage events and the training programme.

Volume estimation: EUR 2.251.465

#### **Capacities Programme**

BILATs running projects:

- ABEST: Argentinean Bureau for Enhancing Cooperation with the European Community in the Science, Technology and Innovation Area.
- B.Bice: New Brazilian Bureau for Enhancing the International Cooperation with European Union
- CHIEP: Strengthen Chilean European Science and Technology Partnerships.
- UEMEXCYT: Bureau for EU-Mexican Science and Technology Cooperation

INCO NET running projects:

- EULARINET: European Union-Latin American Research and Innovation Networks.
- EUCARINET: European Union-Caribbean Network.
- ENLACE: Enhancing scientific cooperation between EU and Central America.

ERA NET running projects:

- EULANEST: The European - Latin American Network for Science and Technology

Upcoming projects

It is expected that the new BILAT, INCO NETs and ERA NETs projects support the activities of the SOM Thematic Working Groups to implement the JIRI.

BILATs: New phases of the Bilat projects (Liaison Offices ABEST, B.Bice, CHIEP and UEMEXCYT)



INCO NET: ALCUE NET: Latin America, Caribbean and European Union Network on Research and Innovation. (Under negotiation). The ALCUE NET project is expected among others, to operate as a technical support structure to the JIRI. The project will provide statistical information, impact assessments, and organizational work in order to facilitate the launching of joint activities.

ERA NET: Future ERA-NET with Latin America and the Caribbean: Under discussion. One of the activities will be developed in order to streamline results JIRI WG and ongoing thematic activities such as EU-LAC HEALTH

### **3. Governing structures and mobilising potential**

The general Governance structure of a project consortium shall comprise the following Consortium Bodies<sup>1</sup>:

- General Assembly as the ultimate decision-making body of the Consortium
- Executive Board as the supervisory body for the execution of the Project which shall report to and be accountable to the General Assembly
- The Coordinator is the legal entity acting as the intermediary between the Parties and the European Commission. The Coordinator shall, in addition to its responsibilities as a Party, perform the tasks assigned to it as described in the EC-GA and this Consortium Agreement.
- The Management Support Team assists the Executive Board and the Coordinator.
- External Expert Advisory Board: appointed and steered by the Executive Board. Shall assist and facilitate the decisions made by the General Assembly.

### **4. Values and principles**

International Cooperation in FP7: Health follows three main strategies:

- General opening of all topics to any country in the world
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International Cooperation in Horizon 2020

International cooperation with third countries is necessary to address effectively many specific objectives defined in Horizon 2020. This is the case in particular for all the societal challenges addressed by Horizon 2020, which need to be tackled at the global level. International cooperation is also essential for frontier and basic research in order to capture the benefits from emerging science and technology opportunities. Promoting the international mobility of researchers and innovation staff is crucial for enhancing this global cooperation.

The aim of international cooperation in Horizon 2020 will be to strengthen the Union's excellence and attractiveness in research, to tackle global challenges jointly and to support the Union's external policies. Horizon 2020 will continue with the principle of general openness, while encouraging reciprocal access to third country programmes. In addition, a range of targeted actions will be implemented taking a strategic approach to international cooperation on the basis of common interest and mutual benefit and promoting coordination and synergies with Member States activities.

### **5. Contribution to JIRI and SOM**

Health was included as a priority area by the JIRI, but at this moment no related SOM working group has been proposed and created.

During the last SOM meeting it was established that EULAC HEALTH, as an FP7 health research platform project involving partners from both regions, could serve as a potential precursor for an additional thematic

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<sup>1</sup> Following DESCA model. The simplified FP7 Model Consortium Agreement ([www.DESCA-FP7.eu](http://www.DESCA-FP7.eu)). Version 3.0, March 2011



bi-regional working group. In order to do that, mechanisms will be explored to open participation to new partners.

A “Concept Note for EU-LAC S&T SOM on Health” was presented by EULAC Health as a proposal and generally supported. The proposal focused on health as “an area of great potential for EU-LAC cooperation”. This potential is determined by the presence in both regions of capacities to address diseases of common interest, and the likelihood of multiplying their performance by collaborating with each other and coordinating their initiatives.

SOM Cross cutting Group (funding instruments)

The group had explored the availability of instruments for supporting research and innovation, which have been discussed with the co-leaders of the thematic working groups.

## **SCENARIO 2: SEVERAL INDEPENDENT INITIATIVES**

In this scenario, a series of initiatives are launched in different areas and with different instruments and models. There would be ERA-nets, INCO-nets, bilateral agreements covering a variety of initiatives ranging from projects to collaborative programmes for collaboration between research institutions or mobility of researchers and capacity building. Each initiative would have its own governance. The general features are exposed in the table:

### **1. Funding instruments and volume estimation**

In general, initiatives in this scenario would operate either under the “virtual common pot” scheme, meaning that each participating research group is funded by its national agency, or under an international development cooperation scheme. There is no transfer of funds between countries in the first scheme, except indirectly if the European Commission tops up in an ERA-net. In the international cooperation model, there is a transfer of funds from donor to recipient country.

#### *ERA-nets.*

A number of ERA-nets or INCO-nets would be launched, each covering a specific scientific area. International consortia are required for all project proposals, which undergo evaluation by an international panel.

In most favourable situation, there would be an ERA-net (or similar) in each of a number of research areas identified as suitable for EU-LAC cooperation. They potentially could be Health services research, chronic diseases, infectious diseases, mental health, cancer, etc., as seen in the document “Synthetic review of research priority areas”.

Taking into account the median volume of existing ERA-nets, we could foresee it to be in the range between 10 and 30 million euros (M€). European Commission contribution could top up 1/3 of funding. Funding could be provided with grants under a competitive call, or by peer reviewed coordination of institutional scientific plans and in kind contribution.

#### *Bilateral or multilateral agreements in research.*

Bilateral agreements between the European Commission (EC) and individual LAC countries would be promoted, covering projects to be funded by the EC and the country, mostly under the framework programme. That could amount up to several M€ per year.

Bilateral agreements between European and LAC countries would also be promoted using a variety of instruments. A possibility would be the creation of research networks (such as CYTED or similar) which require low investments, but would open the door to further collaboration under the EU framework programme or projects under a virtual common pot scheme, or even give way to a new ERA-net.

Bilateral agreements between research institutions can be reached, by which a stable collaboration can be promoted with relative low investments. These sort of institutional relations entail a long term commitment that facilitates common planning, and collaboration in international calls, as well as reinforcing the policy influence of institutions. Agreements between institutions could also give way to networking of institutions beyond just bilateral relations. As in some ERA-nets, the contribution of each partner would be in kind, and the common plans can be evaluated by an international panel.

Networks or institutional twinning can be funded from research programmes or from development programmes.

## **2. Research activities in terms of projects, infrastructures and human resources**

Scenario 2 would allow performing collaborative projects in several research fields. These are the most frequent output of ERA-nets.

Also human resources programmes such as capacity building or mobility schemes could be included in the initiatives, either under the framework programme (Marie Curies), or in the plans of research networks, and of course in the case of institutional collaboration.

It could also mutually facilitate access to infrastructures in both regions, provided adequate funding and limited to the purposes of the ERA-nets, but most easily in institutional agreements.

## **3. Governing structures and mobilising potential**

Scenario 2 assumes a decentralised governance of several initiatives. There would be a follow up by the SOM, but not an integrated planning or monitoring.

In each of the above mentioned modalities of collaboration, a governance model is required. Taking ERA-nets as examples is sufficient to describe them. Each ERA-net requires its own governing structure, usually composed by a management board and a scientific advisory board. In addition, some centralized secretariat is needed, and also a number of specific task forces formed by members of the management board (MB), to address mapping activities, definition of specific actions such as peer review, discussion of eligibility criteria, coordination of national contributions, evaluation, etc.

Scientific advisory board defines a scientific agenda to be addressed by the ERA-net upon the initial proposal of the MB. They contribute to define peer review procedures and the selection of evaluators.

A series of ERA-nets could in the best of situations mobilize DG RTD and DG CONNECT but is not likely to count on DG DEVCO from the EC.

The participation of low and middle income countries would remain to be explored in scenario 2. These countries could benefit from participating even making a low contribution, or the EC could cover them.

## **4. Values and principles**

Scenario 2 would promote initiatives basically defined according to the scientific fields addressed, and the value of EU-LAC cooperation. Societal challenges would be implicit in the definition of these initiatives.

Transparency and co-property are also values of this scenario, to the extent that participating countries would have to contribute with their own resources. Solidarity would remain to be explored as explained before.

## **5. Contribution to JIRI and SOM**

Scenario 2 would entail a progress as compared to the current situation of EU-LAC collaboration. Scenario 2 introduces some order in this collaboration, and clear and ambitious operational instruments and means.

Scenario 2 would require following a number of separate initiatives, and does not provide for a single umbrella that could be taken as the operational side of JIRI. Scenario 2 would let the modality of participation for low and middle income countries undetermined.

The basic features of Scenario 2.

Functions		Models in scenario 2		
		ERA-nets	Bi or multilateral initiatives	Cooperation for development
Policy governance	Funding	Cash (virtual common pot) In kind	Cash (if between funding agencies) In kind (if between research institutions)	Transfer of funds
	Governing structure	Management board Scientific advisory board	Similar fewer actors	Similar fewer actors
	Values & principles	Cooperation Transparency Co-property Scientific productivity	Cooperation Transparency Co-property Scientific productivity	Solidarity
	Contribution to JIRI & SOM	Progress	Progress	To be explored
Governance of research	Research activities	Projects Mobility Capacity building	+ access infrastructures	Mainly capacity building
	Peer review	Independent international panel	Independent international panel or in house	In house

## **SCENARIO 3: EUROPE-LATIN AMERICA AND THE CARIBBEAN INSTITUTIONAL BODY FOR HEALTH RESEARCH (EULAC IBHeRe)**

### **1. - GENERAL INFORMATION**

#### **Objectives**

- The **Europe-Latin America and the Caribbean Institutional Body for Health Research (EULAC IBHeRe)** will have as a main objective to facilitate researchers' collaboration, networking, human capacity building and joint use of research infrastructures, for common interest health research areas between both regions.

It will be accomplished by the coordination and integration of existing EU and LAC bilateral and regional health research programmes towards a **Joint Health Research Programme (JHRP)** between the two regions:

- Participation in common research and human capacity building programmes implemented by the **Joint Health Research Programme (JHRP)**.
- Participation in research infrastructures created by the implementation of the **JHRP**.
- Cooperation with other intergovernmental programmes (Horizon2020, CYTED, EUREKA, etc.).

#### **Promoters/Participants**

- The **Promoters** (*before the establishment of the body*) / **Participants** (*after the body is operative*) of this initiative will be the EU and the LAC countries represented by Ministries, Funding Agencies, etc., together with representatives of supranational funding institutions (EC, etc.).

#### **Typical Activities**

- The main activity will be related to Joint Calls with a broad variety of different grant types:
  - Collaborative Research Projects.
  - Coordination and Support Actions.
  - Researcher Mobility Grants, Senior Fellowships, etc.
  - Infrastructure specific grants.
  - SMEs specific grants, etc.

#### **End-users**

- The end users will be all types of research entities (academia, industry, etc.) from countries participating of both regions.

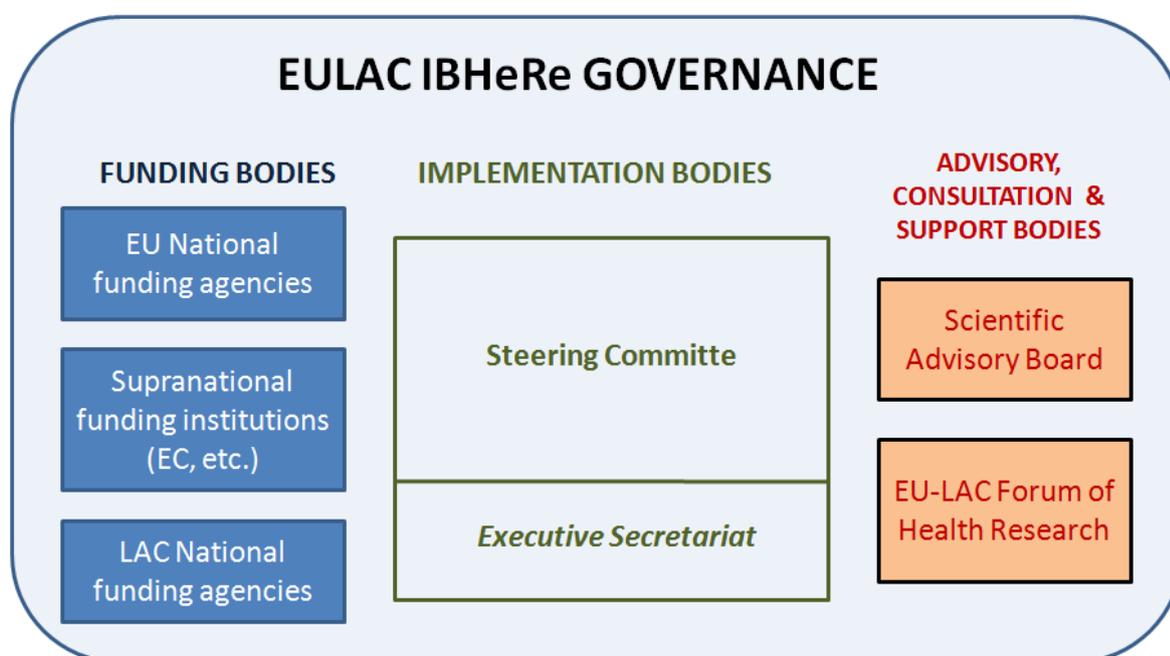
### **2.- GOVERNANCE**

#### **Legal structure**

- The establishment of a dedicated implementation structure (the **EULAC IBHeRe**) will be required.
- The legal structure and the functioning of the body will be decided by the promoter/participating EU LAC countries.

### Management

- The **EULAC IBHeRe** will be responsible for the entire programme management (i.e. the implementation of the joint research programme).
- **Decision Making Bodies** (*some ideas*):
  - **Steering Committee:** It will be the highest decision-making body of EULAC IBHeRe. The Steering Committee will consist of representatives from the national funding institutions that are members of EULAC IBHeRe. The Steering Committee will meet 2-3 times a year and will decide on the **budget** and **strategic activities**.
  - **Executive Secretariat:** The Executive Secretariat will conduct the day-to-day activities:
    - Main administrative, legal and financial centre of **EULAC IBHeRe**.
    - Launches Calls for Proposals.
    - Monitors and Evaluate (M&E) the supported research activities (projects, etc.).



### 3.- BUDGETARY ISSUES

#### Funding sources

- Existing bilateral research programmes undertaken jointly by EU and LAC countries.
- Existing EU Developmental Cooperation programmes with LAC countries, related to health research.
- EC participation from Horizon 2020 and other supranational Programmes.
- Contributions of EU and LAC countries in cash or in kind.

#### Orientative Budget size

- 100 M€ per year (?).

#### 4.- PREPARATION, SET-UP AND IMPLEMENTATION STEPS

##### Criteria for the new initiative

- **Relevance** to EU-LAC research collaboration.
- **Pre-existing basis** (*existing or envisaged research programmes or national/regional budgets that can be committed*) and **critical mass** (*size and the number of existing bilateral /supranational programmes*).
- EU-LAC **added value**.
- **Strong commitment** by countries/supranational institutions of both regions.

##### Formal steps for the set-up process

- Proposal from the Commission.
- Decision of the European Parliament and the Council.
- Decisions of the participant countries.
- Etc.

##### Preparatory & Implementation phases

- Common work-plan, sound governance structure, fixed national financial contributions, clear evaluation criteria and procedures, clear deliverables, solutions for the liability issue, etc.
- A stepwise approach (starting with a normal **ERA-NET** followed by an **ERANET+** Call) could be a possibility.
- Specific support actions as **EULAC-Health** project could be utilized for the preparation phase.

##### Implementation Phase

- **ERA-NETs** might be used for the preparation phase.
- **EC Article 185** Initiatives (ex Art. 169 of the EC Treaty, *see Annex 1*) are in principle designed for EU members only but they could be expanded to make room to other countries interested.

#### 5. - CONTRIBUTION TO THE EU-LAC JOINT INITIATIVE FOR. RESEARCH AND. INNOVATION (JIRI)<sup>2</sup> AND TO THE EU-LAC SENIOR OFFICIALS MEETING (SOM)<sup>3</sup>

- **Scenario 3** represents a very ambitious and innovative scenario for EU-LAC health research collaboration within the JIRI global framework.

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<sup>2</sup>More information on JIRI: [http://ec.europa.eu/research/iscp/pdf/alcue\\_som\\_2010\\_en.pdf](http://ec.europa.eu/research/iscp/pdf/alcue_som_2010_en.pdf)

<sup>3</sup>More information on SOM: <http://ec.europa.eu/research/iscp/index.cfm?lg=en&pg=eulac>

**Annex 1: ARTICLE 185 INITIATIVES (ex Art. 169 of the EC Treaty)**

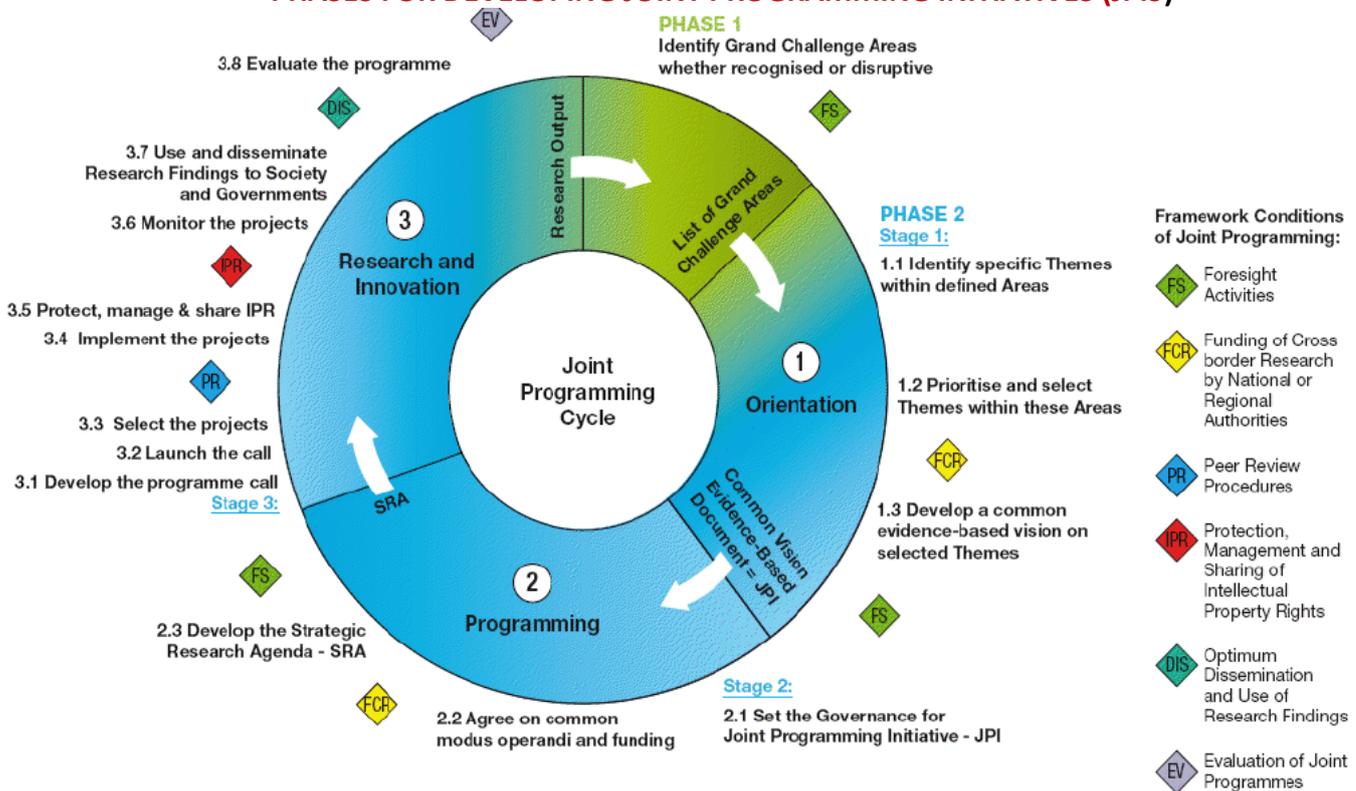
Article 185 of the EC Treaty states that "in implementing the multi-annual framework programme, the Community may make provision, in agreement with the Member States concerned, for participation in research and development programmes undertaken by several Member States, including participation in the structures created for the execution of those programmes."

In practical terms, measures under Article 185 foresee the participation of the EC in the joint implementation of (parts of) research and development national programmes. Implementing Article 185 in the FP7 implies that the participating EU Member States integrate (rather than simply coordinate) their research efforts by defining and committing themselves to a joint research programme, in which the EC promotes the voluntary integration of scientific, managerial and financial aspects. The Community provides financial support to the joint research programme, by cofunding the efforts from national/regional budgets/ programmes.

The basic criteria for the selection of proposals according to Article 185 are as follows:

- Involvement of a sufficient number of Member States to obtain a significant structuring effect and critical mass.
- Topic of great interest to the Community and fitting in with the thematic priorities of the Framework Programme.
- Principle of co-funding by the Member States and the Community, and principle of additionality are respected; significant European added value.
- Article 185 is the only way the project could be implemented.

**PHASES FOR DEVELOPING JOINT PROGRAMMING INITIATIVES (JPIS)<sup>4</sup>**



<sup>4</sup> EC (2010). Voluntary Guidelines for Framework Conditions on Joint Programming [http://ec.europa.eu/research/era/docs/en/voluntary\\_guidelines.pdf](http://ec.europa.eu/research/era/docs/en/voluntary_guidelines.pdf).