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European Union

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NOTE

From: Presidency
To: Delegations

No. prev. doc.: 10051/21 RECH 315

Subject: DRAFT Council Conclusions on the Global approach to Research and Innovation - Europe's strategy for international cooperation in a changing world
- Presidency text

Delegations will find attached the new Presidency text on the "draft Council conclusions on Global approach to Research and Innovation - Europe's strategy for international cooperation in a changing world" with a view to the Research Working Party meeting on 15 July 2021.

Changes compared to doc. 10051/21 are marked in **bold underline** and ~~striketrough~~.

Draft Council Conclusions on the Global approach to Research and Innovation – Europe's strategy for international cooperation in a changing world

THE COUNCIL OF THE EUROPEAN UNION,

RECALLING

- The Joint Communication to the European Parliament and the Council on strengthening the Union's contribution to rules-based multilateralism¹, ~~where~~ **which describes** the Union's strategic priorities, values and the Team Europe approach ~~have been set~~ in order to advance the Union's role in promoting a **rules-based** global multilateral system that is 'fit for purpose'¹;
- The United Nations 2030 Agenda for Sustainable Development Goals, adopted by all United Nations Member States in 2015, which presents a blueprint for addressing the key social, educational and healthcare challenges in a global partnership, while tackling climate change, preserving our ~~oceans~~ **natural resources as a basis for life, and which is** ~~forests~~ strongly reflected² within the political priorities of the Union, including the European Green Deal, Digital Transition and the European way of life.
- The Paris Agreement, adopted on 12 December 2015, as the leading legally binding international treaty on climate change, which provides the impetus for the ambitious plans of the Union as set within the Green Deal, which in turn represents a significant part of the Union's efforts in international research and innovation (R&I) cooperation.
- **The Council Conclusions on the new European Research Area (ERA)² calling on the Commission and Member States to consider international cooperation as a priority ERA action.**

~~— [SFIC opinion on the EC communication].~~

¹ JOIN (2021)3 final of 17 February 2021.

² **Doc. 13567/20.**

PART 1: GENERAL OBSERVATIONS

1. WELCOMES the Commission's Communication on the Global Approach to Research and Innovation "Europe's strategy for international cooperation in a changing world" as timely and appropriate, as a policy framework to help shape the Union's future engagement with international partners in research and innovation, as the geopolitical dimension of the ERA; WELCOMES the [work] of the Strategic Forum for International S&T Cooperation (SFIC) on this Communication as part of the European Research Area Committee (ERAC); and REAFFIRMS the Union's commitment to ~~take the lead in~~ maintaining openness in international R&I cooperation for enhancing quality of research in the Union, while ~~promoting~~ pursuing a level playing field and ~~reciprocity~~ reciprocal openness in research and innovation, in cooperation with all partner countries, based on shared fundamental values and principles;
 - 1a. UNDERLINES the need for a permanent dialogue between the Commission, the Council and the Member States in designing, conducting and evaluating approaches and actions of international cooperation in research and innovation with the objective of maximising the impact of the external action of the Union, achieving a more consolidated engagement with third countries, enhancing established relationships and avoiding duplication of efforts;
2. STRESSES the indispensable role of the stakeholders of the ERA, ~~i.e. researchers,~~ research performing organizations, research funders, research infrastructures, and their European and international alliances, businesses and industry in ~~practising~~ and fostering international R&I cooperation at Union and Member State level; ACKNOWLEDGES the need for the Union and the Member States to provide a ~~safe~~ supportive international environment (i.e. policy and legal framework), where such cooperation will flourish freely and in line with the core values and interests of the Union; ~~and RECALLS the Bonn Declaration on Freedom of Scientific Research, adopted on 20 October 2020, where the freedom of scientific research was recognized as a visible common norm guiding the Union and the Member States in their research and innovation policy dialogue with international partner countries; [moved to point 6a]~~

3. EMPHASISES the need for the Union to maintain and develop **rules-based** multilateral cooperation and dialogue in addressing the key global social, environmental, health, digital and economic challenges, where R&I should provide a pivotal role; RECALLS the Azores Declaration on All Atlantic research & innovation for a sustainable ocean, ~~adopted in the Azores on~~ **of 4 June 4th 2021**, as ~~an important message about the~~ **the most recent example of multilateral** scientific cooperation between partners on both sides of the Atlantic ~~and common achievements for the benefit of the All Atlantic community and people, so that they can trust science and its use for them and for building a sustainable future;~~ and RECOGNIZES the respective bilateral, multilateral and international efforts and activities of the Member States ~~in this respect;~~
4. UNDERLINES the importance of maintaining the position of the Union as an attractive, **inclusive and supportive** environment for researchers, **academics**, entrepreneurs and students around the world; ~~RECALLS the importance of actions in the framework of the European Research Council and the Marie Skłodowska-Curie Actions for the excellence of frontier research and of attracting research talent globally;~~ ACKNOWLEDGES knowledge creation, sharing and its ~~fair distribution~~ **wide dissemination** for the benefit of society, and autonomous research institutions, as indispensable elements contributing to a trustworthy environment of the global R&I arena; ~~;~~ **[partly moved to point 14]**
5. ~~SUPPORTS that the global approach is to be implemented through:~~
- ~~○ mobilising science, technology and innovation to accelerate sustainable and inclusive development, and the transition to resilient, knowledge-based societies and economies in low and middle income countries;~~
 - ~~○ modulating Union bilateral cooperation in R&I to make it compatible with Union interests and values and to strengthen the Union's open strategic autonomy; and~~
 - ~~○ initiatives modelled on a Team Europe approach, which combine actions by the Union, financial institutions and Member States to maximise the effectiveness and impact of the actions; [moved to point 9a]~~

6. NOTES that ~~this policy~~ **the new global** approach should also ~~inform~~ **feed into** the international dimension of the Union's framework programme for R&I - Horizon Europe - as the central framework of the Union for nurturing and facilitating international R&I cooperation, **which includes an extended association policy that offers to third countries the closest possible R&I cooperation with the Union;**

PART 2: KEY PRINCIPLES and VALUES

- 6a. WELCOMES** the Bonn Declaration on Freedom of Scientific Research, adopted on 20 October 2020, where the freedom of scientific research was recognised as a visible common norm guiding the Union and the Member States in their research and innovation policy dialogue with international partner countries, **as well as the Statement on Academic Freedom annexed to the Rome Ministerial Communiqué of 19 November 2020 and the Magna Charta Universitatum, approved on 12 March 2020;** [*moved from point 2*]
7. UNDERLINES that the ~~EU~~**Union**'s global approach to R&I must be built on the principles of openness, **rules-based multilateralism, shared priorities,** facilitation of knowledge transfer, **and** exchange of ideas, ~~and leading by example~~; HIGHLIGHTS that it must also ~~be in line with the principle of reciprocity~~, respect of Union values, ~~upholding the Union's~~ **and** interests **and the principle of reciprocity,** and **uphold** the global standards in the field of intellectual property; to this end, CALLS on the Commission and the Member States to follow the guiding principle "as open as possible, as closed as necessary" in future relations and negotiations with global partners;
8. RECOGNISES freedom of scientific research; pursuit of scientific excellence; research ethics and integrity; societal **and environmental** responsibility; gender equality, diversity and inclusiveness; open data and open science; **the free circulation of researchers and knowledge;** sustainable research careers; standards and evidence-~~informed~~-based policy making as key principles and values of the ~~EU~~ **Union** and its R&I ecosystem;

9. EMPHASISES the Union's commitment to ~~lead by example in facilitating~~ **uphold** the key principle of openness in international R&I cooperation, while promoting Union's **shared** values, securing **the** Union's interests, **including building research and innovation leadership and competitiveness**, and enhancing Union's ~~open~~ strategic autonomy **while preserving an open economy** by creating a level playing field with international partner countries;

9a. [*moved from point 5*] SUPPORTS that the global approach is to be implemented through:

- mobilising science, technology and innovation to accelerate sustainable and inclusive development, and the transition to resilient, knowledge-based societies and economies in low and middle-income countries;
- ~~modulating~~ **tailoring** Union bilateral cooperation in R&I, **underpinned by foresight studies**, to make it compatible with Union **values and** interests ~~and values~~ and to strengthen the Union's ~~open~~ strategic autonomy **while preserving an open economy**; and
- initiatives **developed together with the Member States** modelled on a Team Europe approach, which combine actions by the Union, financial institutions and Member States, **on a voluntary basis**, to maximise the effectiveness and impact of the actions;

PART 3: KEY ACTIONS

10. ACKNOWLEDGES the need to further develop the ~~EU~~ **Union's** principles and values for R&I, ~~based on the work of the Expert Group on the ERA Forum for Transition~~; and CALLS on the Commission and the Member States to engage ~~in this context~~ in a co-design process involving future ERA governance bodies ~~with an aim to reach consensus~~ and to present ~~its~~ **the** results to the Council by **the beginning of** 2022 ~~in line with the proposed Team Europe approach~~; CALLS on the Commission and the Member States to take stock ~~on~~ **of** first progress and promote these principles and values in a multilateral dialogue involving key international partners to take place in 2022, in order to promote and establish the ~~EU~~ **Union** as a key player in developing a global research and innovation policy dialogue;

- ~~11. INVITES the Commission to revise with Member States the European Code of Conduct for Research Integrity and the Global Code of Conduct for Research in Resource Poor Settings;~~
12. ~~NOTES that limitations may be imposed to participation of non-EU countries in specific Horizon Europe calls in applicable circumstances to protect~~ **RECALLS, when implementing Article 22(5) of Horizon Europe for actions related to** the Union's strategic assets, interests, autonomy or security; ~~STRESSES the need to fully~~ **and timely** involve the Member States **in accordance with the comitology procedure** ~~in defining such circumstances and applying such limitations in line with the comitology procedures; and ENCOURAGES the Commission in this respect to seek from countries associated to Horizon Europe assurances of meeting the necessary requirements~~ **eligibility conditions for enabling their participation in these Horizon Europe calls; and STRESSES the need to acknowledge in this process the long-standing research and innovation cooperation under the previous research framework programmes with some partner countries;**
13. ENCOURAGES the Commission to further ~~exploit~~ **strengthen R&I** cooperation with non-EU countries, either through association to Horizon Europe or through other forms of cooperation **such as co-funding arrangements;** **ENCOURAGES the Commission to finalise swiftly the agreements associating third countries to Horizon Europe, paying particular attention to the countries in the Union's immediate vicinity;**
- 13a.** CALLS on the Commission to ensure the greatest involvement of the Council in accordance with Article 218 of TFEU in the process of negotiating agreements associating third countries to Horizon Europe; **and RECALLS in this context the statement made by the Council upon the adoption of the Horizon Europe Regulation³;**
- 13b.** **INVITES the Member States and the Commission to consider setting up or fostering actions open to researchers whose freedom of scientific research is under threat in third countries;**

³ **Doc. 6692/21 ADD1**

14. RECALLS that interpersonal relations and networks, as well as investment in researchers' skills and careers and supporting brain circulation, are fundamental to enhancing the Union's **attractiveness to research talent and its** role in international R&I cooperation; and CALLS on the Commission to further ~~exploit~~ **utilise** the potential of ~~different mobility schemes~~ **relevant Union actions** and programmes⁴ **including the Marie Skłodowska Curie Actions, European Research Council, European Innovation Council, European Cooperation in Science & Technology (COST) programme, ERASMUS+ and EURAXES**~~to this end;~~
[partly moved from point 4]
15. UNDERLINES the importance of openness and international cooperation in Research Infrastructures for the advancement of science, science diplomacy, tackling the global challenges and increasing access to excellence; RECOGNISES the need for further development and implementation of the Global Research Infrastructure framework; and ENCOURAGES the European Strategy Forum on Research Infrastructures (ESFRI) and the Commission to support activities of Research Infrastructures to this end; **WELCOMES the efforts of the Joint Research Centre of the Commission to open the access to their laboratories as a good example in this respect;**
16. CONSIDERS that international R&I cooperation is an integral part of the renewed ERA, but also a significant part of the European Higher Education Area (EHEA) and the European Education Area (EEA) and that reasonable synergies in their external dimensions need to be achieved in order to fully harness the potential of knowledge within the Union; STRESSES in this regard the **need to strengthen the** international potential of **the** European Universities **Initiative and the Knowledge and Innovation Communities (KIC) of the European Institute of Innovation and Technology (EIT)**; and INVITES the current and future Presidencies of the Council to advance together with the **Member States and the** Commission such synergies;

⁴ ~~Marie Skłodowska Curie Actions, European Research Council, Erasmus+~~

- 16a. STRESSES the importance of seeking synergies with the Union's external action programmes, such as the Neighbourhood, Development and International Cooperation Instrument (NDICI-Global Europe) and the Instrument for Pre-Accession Assistance (IPA), especially in terms of capacity building activities in partner countries in the field of higher education, research and innovation;**
17. ~~CALLS on~~ **WELCOMES the intention of** the Commission to continue developing guidelines on dealing with foreign interference in **close** consultation with Member States, **respecting their competences**, and the research and higher education stakeholders; following their completion, INVITES the Commission to support their **voluntary** implementation by research organisations and higher education institutions;
18. TAKES NOTE of the Commission's intention to prepare the targeted roadmaps for international R&I cooperation with ~~non-EU~~ **a number of non-associated third** countries with a strong research and innovation base; CALLS for ~~early and~~ continuous involvement of the Council in preparation and follow-up of these roadmaps with a view ~~of~~ **to** approving them as non-binding instruments;
19. SUPPORTS the intent of the Commission to develop a code of practice on smart use of intellectual property by 2022, which should help **higher education institutions** ~~universities~~, research organisations, ~~and~~ businesses **and other R&I actors** recognise the risks and ethical **questions** ~~dilemmas~~ in international R&I cooperation and manage knowledge assets in open and global R&I systems;

20. RECOGNISES the need to further strengthen the Union's role in existing multilateral R&I partnerships and alliances⁵ as key instrument for building on the cooperation with likeminded international partners; and INVITES the Commission to consult with the Member States and seize the Council in accordance with the relevant procedures in establishing such partnerships including beyond the areas of ~~tw~~ **the green transition, digital transformation** and health, in particular to ~~pursue~~ **tackle common societal challenges faced by the Union, as well as to pursue** the United Nations Sustainable Development Goals;
21. INVITES the ~~European~~ Commission to continue to pursue cooperation with the Americas, notably by implementing the commitments undertaken at the EU-Canada and EU-US summits of 14th and 15th June 2021 respectively, and by stepping up cooperation with Latin America and the Caribbean, taking full advantage of the new EU-CELAC strategic roadmap 2021-2023 for the implementation of the Action Plan on Science, Technology and Innovation;
22. INVITES the Commission to implement relevant R&I actions from the Joint Communications regarding the Eastern Partnership, the renewed partnership with the Southern Neighbourhood and the strategy with Africa⁶ **such as joint innovation agendas**; and **RECALLS its conclusions of 16 April 2021 on an EU Strategy for cooperation in the Indo-Pacific where the cooperation in the field of research, innovation and digitalisation should be advanced**;

⁵ The Commission's Communication examines the following: the All-Atlantic Ocean Research Alliance, Mission Innovation, Group on Earth Observations (GEO), International Bioeconomy Forum, Intergovernmental Panel on Climate Change (IPCC), Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES), International Resource Panel (IRP) as an appropriate, non-exhaustive list of alliances in the field of Green transition.

⁶ JOIN(2020) 7 final, JOIN(2021) 2 final and JOIN (2020) 4 final

23. INVITES the ~~European~~ Commission, together with the African Union Commission and Member States on both sides, to develop a joint EU-AU **Research and** Innovation Agenda to support **the building of research capacities and** the translation of research output, including from the Horizon Europe ‘Africa Initiative’ into socio-economic **and environmental** benefits in line with agreement reached at the 2020 EU-AU Ministerial meeting; **EMPHASISES the need to reinforce R&I capacity building and uptake activities in synergy with NDICI-Global Europe, on the example of the African Research Initiative for Scientific Excellence (ARISE) pilot project;** CALLS for synergies between EU-AU and EU-Southern Neighbourhood cooperation to produce a stronger impact on economic development, ~~and~~ job creation **and environmental preservation;** and WELCOMES the development of joint Research and Innovation roadmaps in view of a Ministerial meeting of the Union for the Mediterranean in 2022;
24. INVITES the Commission in close cooperation with the Member States to also continue pursuing multilateral cooperation within initiatives such as PRIMA, **BANOS,** Blue Med and **Arctic and** Black Sea Cooperation **and taking stock of the lessons learnt to adapt and expand as necessary their possible future scope and activities;** and RECOGNISES their significance in the context of science diplomacy;
25. CALLS for a common regional approach to relations with the Western Balkans; and VIEWS further developments in international R&I cooperation as an important step towards their integration in the Union; in this light, CALLS on ~~the Commission~~ **all parties concerned** to **advance towards the signature** ~~swiftly finalise the negotiations~~ of the Joint declaration on a Western Balkans agenda on innovation, research, education, culture, youth and sport **– a key element on innovation for the Economic and Investment Plan;**

26. ~~ENCOURAGES~~ **CALLS on** the Commission to ~~leverage the Team Europe approach~~ **cooperate closely with the Member States** in continuing the negotiations on a joint roadmap with China to establish agreed framework conditions and guiding principles for cooperation to reach a level playing field and reciprocity, while respecting fundamental values, high **standards of ethics** ~~ethical~~ and ~~science~~ **scientific** integrity ~~standards~~; and, in this respect, RECOGNISES the indispensable efforts and the activities of the R&I Knowledge Network on China (EU-KNoC) **and the importance of continuing this work**;
27. CALLS on the Commission and the European External Action Service to develop a European Science Diplomacy Agenda, in close consultation with the Council, to explore designating science focal points and to ensure adequate capacities for science in Union delegations, foster cooperation with Member States' science counsellors in third countries, to consider involving representatives of the rotating Presidency in joint steering committee meetings, based on bilateral agreements between the Union and third countries, and to report to the Council on their progress by 2023, INVITES the Commission and the Member States to explore setting-up of an appropriate mechanism for cooperation in the field of Science Diplomacy in line with the recommendation of SFIC⁷ and other relevant expert organisations⁸.
28. TAKES NOTE that the governance and monitoring modalities **in the area of international cooperation** should be articulated in the Council conclusions on ERA governance by the end of 2021; and LOOKS FORWARD to the international conference in early 2022, where a first review of progress and strengthened coordination between the Commission and the Member States in implementing the global approach will take place as well as the launch of a multilateral dialogue involving key international partners on shared fundamental principles and values in international R&I cooperation.

⁷ See ERAC-SFIC 1357/20

⁸ e.g. Tools for an EU Science Diplomacy (2017) or "Using science for/in diplomacy for addressing global challenges" (S4D4C)