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European Union

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NOTE

From:	Presidency
To:	Delegations
No. prev. doc.:	10609/21 RECH 342
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 6 September 2021.

Changes compared to doc. 10609/21 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 multilateralism, which describes the Union’s strategic priorities, values and the Team Europe approach 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 natural resources **environment, including oceans and seas**, as a basis for life, and which is strongly reflected within the political priorities of the Union, including the European Green Deal, ~~D~~**igital T**ransition and the European way of life~~;~~;
- ~~The~~ Paris Agreement, adopted on 12 December 2015, as the leading legally binding international treaty on climate change **and** ~~which provides the impetus for the ambitious plans of the Union as set within the~~ **European** Green Deal **that the Union has set in committing to it**, which in turn represents a significant part of the Union’s efforts in international research and innovation (R&I) cooperation~~;~~;
- ~~The~~ Council ~~C~~onclusions on the new European Research Area (ERA)² calling on the Commission and Member States to consider international cooperation as a **one of the main** priority **areas for joint** ~~ERA~~ action~~;~~;

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

² **13567/20.**

- the Union strategic approach on international cooperation in R&I and its subsequent reports³;

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 R&I ~~research and innovation~~, and 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 and Innovation Committee (ERAC); and REAFFIRMS the Union's commitment to maintain openness in international R&I cooperation to further strengthen the ~~for enhancing~~ quality of research in the Union, while pursuing a level playing field and balanced reciprocal openness in R&I ~~research and innovation~~, in cooperation with all partner countries, based on shared fundamental values and principles;
- 1a. UNDERLINES the need for a permanent, close and constructive engagement ~~dialogue~~ between the Commission, the Council, and the Member States and the European External Action Service as appropriate, including through early advice from the ERA-related advisory structure, in designing, implementing ~~conducting~~ and evaluating approaches and actions of international R&I 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, avoiding duplication of efforts, including with the Programme Committee for the Specific Programme implementing Horizon Europe, and exchanging information on policies and ideas to prevent undesirable transfer of knowledge and foreign interference in R&I ~~research and innovation~~;

³ COM (2012) 497, COM(2014) 567, COM(2016) 657, SWD(2018) 307

2. STRESSES the indispensable role of the stakeholders of the ERA, ~~i.e.~~ **including** research performing organisations **and individuals**, research funders ~~businesses and~~ **funding organisations and businesses** and their European and international alliances, ~~businesses and~~ research infrastructures; **and** industry in practising and fostering international R&I cooperation at Union and Member State level; **and** ACKNOWLEDGES the need for the Union and the Member States to provide a supportive international environment (i.e. policy and legal framework **and support instruments**), where such cooperation will flourish freely and in line with the core values and interests of the Union;
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, **as well as gender balance and inclusiveness**, where R&I should ~~play provide~~ a pivotal role; RECALLS the **Valletta Declaration on Strengthening Euro-Mediterranean Cooperation through Research and Innovation of 4 May 2019 and the Azores Declaration on All-Atlantic R&I research & innovation for a Sustainable Ocean of 4 June 2021**, as ~~the most recent~~ examples of **a global approach to international R&I** cooperation ~~between partners on both sides of the Atlantic~~; and RECOGNISES the respective bilateral, multilateral and international efforts and activities of the Member States;
4. UNDERLINES the importance of **reinforcing** ~~maintaining~~ the position of the Union as an attractive, inclusive, ~~and~~ supportive **and gender-balanced** environment for researchers, academics, entrepreneurs and students around the world; ACKNOWLEDGES knowledge creation, sharing and its wide dissemination **of knowledge** for the benefit of society, and autonomous research institutions, as indispensable elements contributing to ~~an~~ **trustworthy** environment of **trust in** the global R&I arena;
6. NOTES that the new global approach should also 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~~ **a chance for the** closest possible R&I ~~cooperation~~ **partnership** 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~~ **in which** the freedom of scientific research was recognised as a visible common **value informing** ~~norm~~ guiding the Union and ~~its~~ the Member States in their **R&I** ~~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;
7. UNDERLINES that the Union’s global approach to R&I must be built on the principles of openness, rules-based multilateralism, shared **values and** priorities, facilitation of knowledge ~~transfer~~ **circulation** and exchange of ideas; HIGHLIGHTS that it must also respect Union values and interests and, **as far as possible**, the principle of reciprocity, and uphold the global standards in the field of intellectual property; to this end, CALLS **ON** ~~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; **impact-driven R&I**; research ethics and integrity; societal and environmental responsibility; gender equality, diversity and inclusiveness; **openness, including** open data and open science; the free circulation of researchers and knowledge; sustainable research careers; standards and evidence-informed policy making as key principles and values of the Union ~~and its R&I ecosystem~~ **in international R&I cooperation**;
9. EMPHASISES the Union’s commitment to uphold ~~the key principle of~~ openness in international R&I cooperation, ~~while~~ **to promote** ~~promoting~~ **the** Union’s shared values, **to secure** ~~securing~~ the Union’s interests, including building **R&I** ~~research and innovation~~ leadership and competitiveness, **to strengthen measures for countering foreign interference**, and ~~enhancing~~ **to reinforce the** Union’s strategic autonomy while preserving an open economy, **including** by creating a level playing field with international partner countries;

9a. 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, **including** in low and middle-income countries;
- tailoring Union bilateral cooperation in R&I **in an open manner**, underpinned by foresight studies, to **align** ~~make it compatible~~ with Union values and interests and to strengthen the Union's 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 Union's **key** principles and values for **international R&I cooperation**; and CALLS **ON** ~~on~~ the Commission and the Member States to engage in a co-design process **to this end** ~~involving future ERA governance bodies and~~ **for the Council** to ~~present~~ **examine** the results ~~to the Council~~ by the beginning of 2022; **and** CALLS **ON** ~~on~~ the Commission and the Member States to ~~take stock 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 Union as a key player in developing a global **R&I** ~~research and innovation~~ policy dialogue;

12. RECALLS, when implementing Article 22(5) of Horizon Europe for actions related to the Union's strategic assets, interests, autonomy or security **during the examination of the work programmes,** the need to fully ~~and timely~~ involve the Member States **in a timely manner** in accordance with the comitology procedure **or, as appropriate, in accordance with the governance provisions of the legal acts setting up the institutionalised European partnerships;** ENCOURAGES the Commission to ~~seek from~~ **engage proactively with** countries associated to Horizon Europe **in obtaining** assurances of meeting the eligibility conditions for participation in Horizon Europe calls; and STRESSES the **potential of** ~~need to acknowledge in this process the long-standing~~ **R&I research and innovation cooperation with countries associated** under the previous ~~research~~ **Union** framework programmes **in facilitating this process** ~~with some partner countries;~~
13. ENCOURAGES the Commission to further strengthen **international** 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~~ **due** attention to ~~the~~ countries in the Union's immediate vicinity;
- 13a. CALLS **ON** ~~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 Regulation⁴;
- 13b. INVITES the Member States and the Commission to consider setting up or fostering actions **or tools open available** to researchers whose freedom of scientific research is under threat in third countries, **respecting fully the excellence principle;** and **ENCOURAGES the Commission to integrate a reference about respecting freedom of scientific research in the agreements associating third countries to Horizon Europe;**

⁴ **6692/21 ADD1**

14. RECALLS that interpersonal relations and networks, as well as investment in researchers' skills and careers and supporting brain circulation, **including addressing brain drain**, 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 utilise the potential of relevant Union actions and programmes including the Marie Skłodowska Curie Actions, **the** European Research Council, **the** European Innovation Council, **the Knowledge and Innovation Communities (KIC) of the European Institute of Innovation and Technology (EIT)**, **the** European Cooperation in Science & Technology (COST) programme, ERASMUS+ and **the** EURAXESS **network**;

14a. INVITES the Commission and the Member States to apply the European Code of Conduct for Research Integrity and the Global Code of Conduct for Research in Resource Poor Settings;

15. UNDERLINES the importance of openness and international cooperation in ~~R~~research ~~inf~~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 ~~R~~research ~~inf~~infrastructures to this end; **and** WELCOMES the efforts of the **Commission's** 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 **such synergies** together with the Member States and the Commission ~~such synergies~~;

- 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. WELCOMES the Commission's 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 and the Member States to support their voluntary implementation application of these guidelines by their research funding and performing organisations and higher education institutions, including by targeted training, provision of information on the state of play of freedom of scientific research or raising awareness of potential risks; and INVITES the Commission to facilitate mutual policy learning among Member States, taking account of Union research results in the area of countering foreign interference in research and higher education;
18. ~~TAKES NOTE of~~ WELCOMES the Commission's intention to prepare the targeted roadmaps for international R&I cooperation with ~~a number of~~ key non-associated third countries with a strong R&I ~~research and innovation~~ base; and CALLS FOR ~~for~~ continuous involvement of the Council in the preparation and follow-up of these roadmaps, which should reflect shared values and principles, balanced reciprocity and a level playing field as a prerequisite for closer cooperation, with a view to approving them as non-binding instruments;
19. SUPPORTS the Commission's intention ~~of the Commission~~ to develop a voluntary code of practice on smart use of intellectual property by 2022, which should help higher education institutions, research performing and funding organisations, businesses and all other R&I actors to recognise the risks and identify mitigation measures ~~ethical questions~~ in international R&I cooperation and manage knowledge assets in open and global R&I systems, ensuring that the EU interest is pursued;

20. RECOGNISES the need to further strengthen the Union's role in existing multilateral R&I partnerships and alliances⁵ as a 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 the green transition, digital transformation and health, in particular to tackle common societal challenges faced by the Union, as well as to pursue the United Nations Sustainable Development Goals;
21. INVITES the 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-Pacific⁷, where ~~the~~ cooperation in the field of research, innovation and digitalisation should be advanced;

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

⁷ **7914/21**

23. INVITES the 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 the agreement reached at the 2020 EU-AU Ministerial meeting; EMPHASISES the need in this context for ~~to reinforce R&I capacity building and uptake activities in~~ synergy with NDICI-Global Europe, ~~on~~ following the example of the African Research Initiative for Scientific Excellence (ARISE) pilot project; CALLS FOR ~~for~~ synergies between EU-AU and EU-Southern Neighbourhood cooperation to produce a stronger impact on economic development, job creation and environmental preservation; and ~~WELCOMES~~ LOOKS FORWARD to the development of joint R&I ~~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, BlueMed, 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;

24a. INVITES the Commission to develop, together with the Member States and the Eastern Partnership (EaP) countries, a joint EU-EaP innovation agenda supporting the dissemination and use of R&I results;

25. CALLS FOR ~~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 ~~on~~ all parties concerned to advance towards the signature of the Joint ~~d~~Declaration on a Western Balkans agenda on innovation, research, education, culture, youth and sport, as – a key ~~element~~ contribution on innovation in the context of ~~for~~ the Economic and Investment Plan;

26. CALLS ~~ON~~^{en} the Commission to 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, ~~and~~ scientific integrity and intellectual property rights; 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, safeguarding the principle of Union strategic autonomy;
27. CALLS ~~ON~~^{en} the Commission and the European External Action Service to develop a European Science Diplomacy Agenda and to present it to, ~~in close consultation with the~~ Council, to explore designating science focal points in order ~~and~~ to ensure adequate capacities for science in Union delegations, to 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 2023⁷; INVITES the Commission and the Member States to explore setting-up ~~of an~~ appropriate mechanisms⁸ for cooperation in the fields⁹ of Science and cultural Diplomacy in line with the recommendation of SFIC⁸ and other relevant expert organisations⁹; HIGHLIGHTS the importance of integrating the Global Approach in R&I in the Union's external action;
28. TAKES NOTE that the governance and monitoring ~~modalities~~ procedures in the area of international R&I 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, following 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 will be launched.

⁸ See ERAC-SFIC 1357/20

⁹ e.g. Tools for an EU Science Diplomacy (2017) or 'Using science for/in diplomacy for addressing global challenges' (S4D4C), JOIN (2016) 29 final.