



# Spreading Excellence and Widening Participation in Horizon 2020

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HORIZON 2020

A graphic for Horizon 2020 featuring a globe of the Earth in the center, surrounded by a blue, glowing horizon line. The text "HORIZON 2020" is written in large, white, sans-serif capital letters across the middle of the image.

# **Content:**

**1. Background**

**2. Specific eligibility criteria for Widening actions**

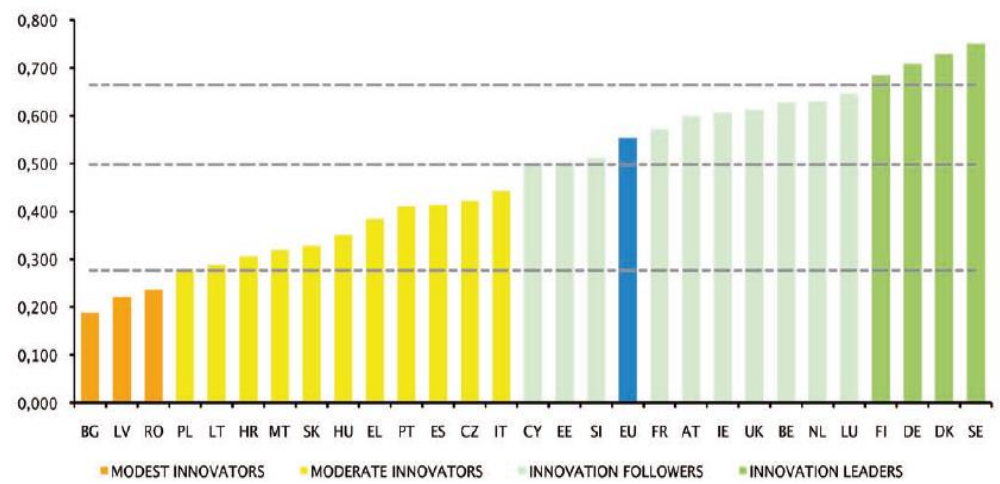
**3. Synergies with Cohesion Policy**

**4. Presentation of Widening actions (Teaming, Twinning, ERA Chairs, PSF, COST)**

# Background

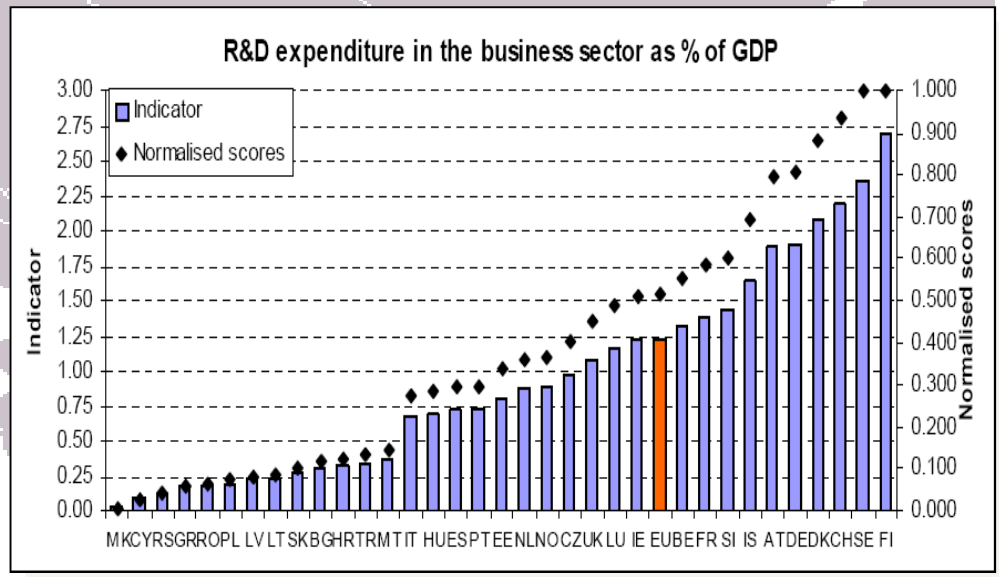
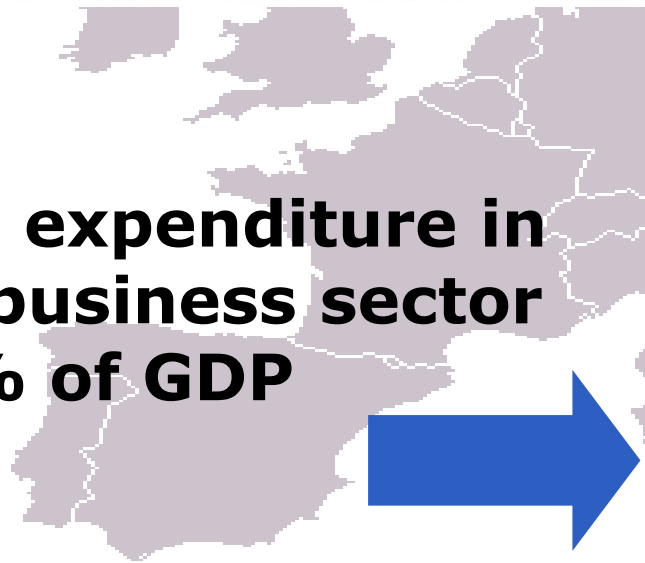
- Disparities in R&I excellence and performance >>> barrier to competitiveness, growth and jobs across Europe;
- Some countries are experiencing low participation in the EU Framework Programmes;
- Disparities due to structural issues, such as:
  - insufficient national RDI investment,
  - lack of synergies between certain countries national research systems and EU research landscape,
  - insufficient capacities,
  - reduced access to international networks.

Figure 3: EU Member States' innovation performance



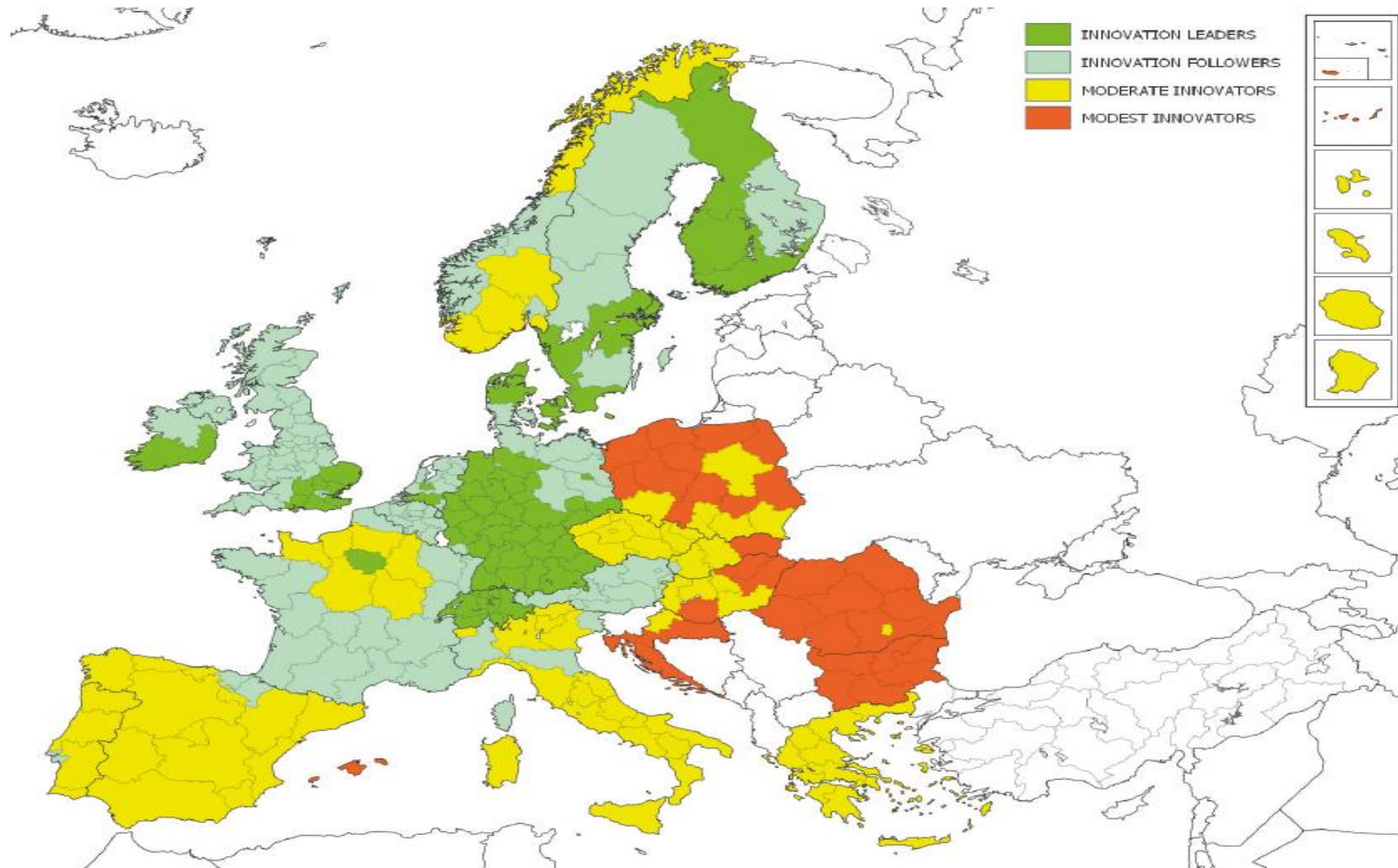
Note: Average performance is measured using a composite indicator building on data for 25 indicators going from a lowest possible performance of 0 to a maximum possible performance of 1. Average performance reflects performance in 2011/2012 due to a lag in data availability.

# R&D expenditure in the business sector as % of GDP



# The Innovation Divide

Figure 2: Regional performance groups RIS 2014



Map created with Region Map Generator

# WIDENING PARTICIPATION in H2020

Following an intensive political debate on widening participation in the Framework Programme, a new set of measures was introduced in Horizon 2020 under the separate specific objective:

**"Spreading Excellence and Widening Participation"  
(WIDESPREAD)**

# Specific eligibility criteria for WIDESPREAD

- Particular political objectives of WIDESPREAD in H2020
- Necessitate a targeted approach to help those participants with low performance in R&I
- H2020 legal text >>"low performing RDI Member States and regions"

Eligibility Criterion: **The Composite Indicator of Research Excellence**

- Threshold: MS below 70% of the EU average

**"low RDI performing" Member States for Widening actions:** Latvia, Croatia, Lithuania, Malta, Slovakia, Romania, Luxembourg, Poland, Bulgaria, Estonia, Portugal, Slovenia, Cyprus, Czech Republic and Hungary.

**"low RDI performing" Associated Countries:** The same eligibility criteria apply for Associated Countries to H2020



# Synergies with Cohesion Policy

H2020 will help to reduce disparities and the R&I divide but:

Challenges need to be primarily addressed at national and regional level and through other instruments, such as Cohesion Policy funding.

Key to Synergies between R&I and Cohesion Policy in 2014-2020:

- ✓ *Thematic Concentration*
- ✓ *Smart Specialisation - ex-ante conditionality*



# Thematic concentration in ESIF

- Significant funding from European Regional Development Fund must be **concentrated on 4 of 11** Thematic Objectives:
  - research, technological development and innovation;
  - access to, and use and quality of, ICT;
  - competitiveness of SMEs;
  - shift towards a low-carbon economy in all sectors.
- The **level of concentration** in the 4 Thematic Objectives:
  - 50% in less developed regions (GDP per capita <75% of EU average);
  - 60% in transitional regions (GDP per capita 75-90%);
  - 80% in more developed regions (GDP per capita >90%).

# Smart Specialisation Strategies

Smart Specialisation Strategies are:

- A tool to set out national or regional priorities for investments in R&I for growth and jobs, which **take account of the current or emerging strengths**;
- A required element for planning future ESIF investments through role as '**ex ante conditionality**' for R&I funding.

# Overview of measures under **WIDESPREAD in H2020**

- Teaming for Excellence (CoEs)
- Twinning (institutional networking)
- ERA Chairs (bringing excellence to institutions)
  
- NCPs (information, communication, support)
- Policy Support Facility (support for R&I Policy design)
- COST ( stimulating cross border science networks)

Total Budget for WIDESPREAD in H2020 ~ **€ 800 million**

# Teaming for Excellence

Creation of new (or significant upgrade of existing) Centres of Excellence in low performing Member States and regions;

## The Partners - 2 parties in each Teaming project:

(1) the participant organisation (**COORDINATOR**) from a low performing Member State (for example a research agency at national or regional level, or a regional authority);

(2) an institution of research and innovation excellence (public or private) or a consortium of such institutions (from all EU28 or AC);

# Teaming for Excellence

## Design of the action (in 2 stages):

Stage 1: Funding for the development of a Business Plan for the new/upgraded Centre of Excellence facilitated by a teaming process with a leading counterpart in Europe

Stage 2: Subject to the quality of the Business Plan, and a commitment of the Member State (e.g. support via Cohesion Policy Funds), the Commission may provide further substantial financial support for the first steps of implementation of the Centre.

Proposals (Stage 1): Need to demonstrate the long-term science and innovation strategy of the future Centre based on a SWOT analysis

Proposals (Stage 2): Business Plan (Stage 1 deliverable) with robust financial commitments (from national/ESIF funds)

# Teaming for Excellence

## Call 2014 ("Stage 1"): Business Plan for a Centre of Excellence (CoE)

Budget: € 11.85M

Call deadline: 17 September 2014

Project Size: €200.000 - €500.000 per proposal

Project Duration: 12 months

Deliverable: Business Plan of the CoE

## In 2016: ("Stage 2") Start-up/Implementation of the CoE

Budget: ~ € 80-90 M

Project Size: €15-20M

Project Duration: ~ 5 years

Funding for: Substantial support for the start up & implementation phase of the CoE (salaries, other operational and administrative costs, small equipment)

Implementation: Specific Grant Agreement established under a Framework Partnership Agreement (Coordination and Support Action)

**Total Budget for Teaming in H2020: ~ € 270 M**

# Teaming for Excellence

## **Key Success Factors:**

- Well-chosen, carefully structured partnership & strong engagement from both parties
- Long term vision (at least 10-15 years) & long term financial commitment nationally (at least €40-50 M) from the outset
- Coordinator: Both strong in project management & strong in mobilising national/Cohesion funding
- New CoE: Eventual autonomy in decision-making is a must for sustained excellence
- Alignment with the national/regional Smart Specialisation Strategy: National/Regional authorities need to have finalised or be in the final stages of preparation of their S3 by autumn 2014
- Synergies with Cohesion Funding: Need to make appropriate conditional "space" in ESIF OPs to secure possible funding for Stage 2 (OPs are expected to be submitted to the EC in summer 2014)





# Timeline for Teaming

- **11 December 2013:** WIDESPREAD-1 2014 Teaming Call published
- **26 February 2014 :** Infoday for Widening NCPs
- **25 March 2014 :** High Level Conference on Teaming (Warsaw,PL)
- **May 2014:** Call submission system opens (EC IT system)
- **April 2014:** Submission of PAs (ESIF) by Member States
- **Summer 2014:** Submission of OPs (ESIF) by Member States
- **Spring-Autumn 2014:** Finalisation of National/Regional S3s
- **17<sup>th</sup> September 2014:** Teaming Call deadline
- **February 2015:** Evaluation outcome to applicants
- **May 2015:** Signature of GA & start of Stage 1 Teaming projects



# Twinning

## **What?**

Strengthening a defined field of research of a **knowledge institution** in a **low performing** Member State or region through linking with at least **two internationally-leading counterparts** in Europe.

## **How?**

**Proposals:** Will have to outline the scientific strategy for stepping up and stimulating scientific excellence and innovation capacity in a defined area of research as well as the scientific quality of the partners involved in the twinning exercise

## **Funding for:**

- expert visits and short-term on-site or virtual training;
- workshops & conference attendance;
- organisation of joint summer school type activities;
- dissemination and outreach activities.

Equipment & researchers' salaries will NOT be funded.



# Twinning

## The Partners

- **ONE** institution located in a Low Performing MS/region (**COORDINATOR**)
- A minimum of **TWO** additional partners from two different Member States or Associated Countries.

## Call 2015 Details:

Budget: ~ € 65 M

Call publication date: 2 July 2014

Call deadline: Spring 2015

Project Size: €1 M per proposal

Project Duration: 3 years

Type of action: Coordination and Support Action

**Total Budget for Twinning in H2020: ~ € 100 M**

# ERA Chairs – Objectives of the action

- Bring high quality researchers and managers to universities and other research organisations **with the potential for research excellence.**
- Institutions should implement **structural changes** to achieve excellence on a sustainable basis.

# ERA Chairs – Proposal design

- In **any scientific domain** of research and innovation but expected to be in line with regional/national **strategies for smart specialisation**.
- Shall comprise measures to foster compliance with **ERA priorities** (open recruitment, peer review, gender balance, innovative doctoral training).
- Include a plan to increase **Research Capacity**: measures for better use of the installed research capacity; description of any necessary investments in facilities and infrastructures and present a strategy to mobilise support for them (including possible support from Cohesion funds -ESIF).

# ERA Chairs - Expected Impact

- Increased attractiveness of institution and region for **excellent researchers**
- **Research excellence** in the fields covered by the ERA Chair
- **Increase participation** of the institution in Horizon 2020 and other internationally competitive funding programmes
- Institutional changes to comply with **ERA priorities**
- Contribution to regional and/or national **smart specialisation strategies**, including obtaining support where appropriate from European Structural and Investment Funds.



# ERA Chairs – the ERA Chair holder

- The ERA Chair holder should be an **outstanding researcher and research manager** with a proven record of leadership
- The appointment of an ERA Chair holder must follow an **open and merit-based recruitment process**, and will be subject to monitoring by the European Commission
- ERA Chair holder shall be designated as a **full time position** or equivalent contractual arrangement
- The institution should ensure **autonomy** for the Chair and his/her team
- ERA Chairs can be of **any nationality**



# ERA Chairs - Eligibility Criteria

- As for the other measures under Widening, applicant organisations shall be established in eligible Members States and Associated countries indicated in the Work Programme
- One **single applicant** (mono-beneficiary action)
- EU contribution not to exceed a **maximum of EUR 2,5 million** for up **to 5 years**
- EU contribution is limited to a **maximum of 90% of total** estimated budget

# ERA Chairs - Budget

- ┌ - **Salaries** of ERA Chairs and his/her team
- ┌ - Contribution towards measures aimed at facilitating structural changes at the institution
  - **ERA priorities**
  - **Costs including training, meetings, publication and patenting costs, equipment (in duly justified cases), etc**

The grant is not a measure to fund research *per se* and will **not cover research costs!**

# ERA Chairs Calls

• **A total of 3 calls are foreseen during Horizon 2020 with a total budget of €240 million**

**Provisonal call deadlines: 2014; 2017 and 2019**

• **Widespread 2-2014: 1st Call Open since 11 December 2013!**

**Call deadline: 15 October 2014**

**EU contribution: maximum of EUR 2,5 million for up to 5 years**

**Funding scheme: CSA-SA (Supporting Action)**

# ERA Chairs – FP7 Pilot Call

- To test the measure a pilot call was set up in FP7 under the Capacities 2012-13 WP
- Call was largely oversubscribed (111 submissions) – original budget doubled to EUR 24 million
- Results of successful proposals were announced in February 2014 (11 proposals funded)

FP7 Pilot Call similar to H2020 2014 call with 2 key differences:

- Eligible institutions needed to be located in convergence regions
- Maximum one successful proposal per country was funded

# Policy Support Facility (PSF)

**SCOPE:** To improve the design and implementation of R&I policies by offering (voluntary basis) services & expert advice to policymakers at national/regional level:

1. An innovation database of R&I policy case studies
2. an innovation helpdesk to guide/support users (either through the innovation database or by helping them to formulate a policy support request)
3. innovation missions to address specific policy-support requests
4. dissemination activities, incl. newsletters and events for policy mutual learning

**Budget Split:** (50% SC6 & 50% Widening)

Actions under WIDENING: *target "low RDI performing MS" through dedicated policy support/on site missions/ dissemination activities*

# Stimulating cross-border science networks through COST

- COST = established, bottom-up, open networking framework facilitating breakthrough scientific developments; it contributes to connecting "pockets of excellence" throughout Europe and making them visible to others;
- In Horizon 2020, COST will in addition play a mobilising role especially for near neighbour countries;

**Budget Split:**(50% SC6 & 50% Widening)

## **COST WIDENING:**

- Within the traditional COST Actions new elements will foster widening: dedicated Working Groups on inclusiveness & excellence, reinforcement of Training Schools; increased number of Short Term Scientific Missions and new "Mentoring Missions";
- In addition specific complementary measures for "widening" are foreseen (coordination of National Coordinators, communication and outreach);

# Synergies under **WIDESPREAD**

## Teaming:

- R&I Strategy of the future CoE should fit in with the Smart Specialisation Strategy of the MS/region
- National/ESI Funds commitment needed for rolling out the future CoE

## Twinning

Alignment with the objectives of the Smart Specialisation Strategy of the MS/region is encouraged

## ERA Chairs:

- Selected field of ERA Chair to be in line with the objectives of the Smart Specialisation Strategy of the MS/region
- Research capacity aspect to be funded from ESI Funds



## Conclusion:

### **3- fold approach in the EU to close the R&I Divide, spread excellence and widen the participation:**

- Action at national/regional level (including through Cohesion Policy)
- Action through WIDESPREAD in H2020
- Synergies between H2020 and Cohesion Policy

Learn more:

**Horizon 2020 Participant Portal:**

**<http://ec.europa.eu/research/participants/portal/desktop/en/opportunities/index.html>**

**Cohesion policy (2014-20)**

**[http://ec.europa.eu/regional\\_policy/what/future/index\\_en.cfm](http://ec.europa.eu/regional_policy/what/future/index_en.cfm)**

**Thank you for your  
attention!**



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