



Spreading Excellence and Widening Participation

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A graphic for the Horizon 2020 program. It features a stylized globe of the Earth in the center, surrounded by a bright blue glow and radiating light rays. The word "HORIZON 2020" is written in large, white, sans-serif capital letters across the bottom of the image, with the globe acting as the letter "O" in "HORIZON".

HORIZON 2020

Background

- Disparities in research and innovation performance: barrier to competitiveness, growth and jobs across Europe
- 09/2011 paper analysing the reasons some countries experience low participation in the EU FPs still valid:
 - insufficient national R&D investments
 - lack of synergies between national research systems and the EU research landscape
 - system learning effects
 - reduced access to international networks
 - problems with information, communication and training



The Widening Package under H2020

Measures in Horizon 2020 under **Spreading Excellence and Widening Participation**:

- Teaming (**institution** building)
- 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 in H2020 ~ **€ 800 million**

Widening in H2020 vs. R&I divide

H2020 is a competitive programme - **excellence** is the key evaluation criterion

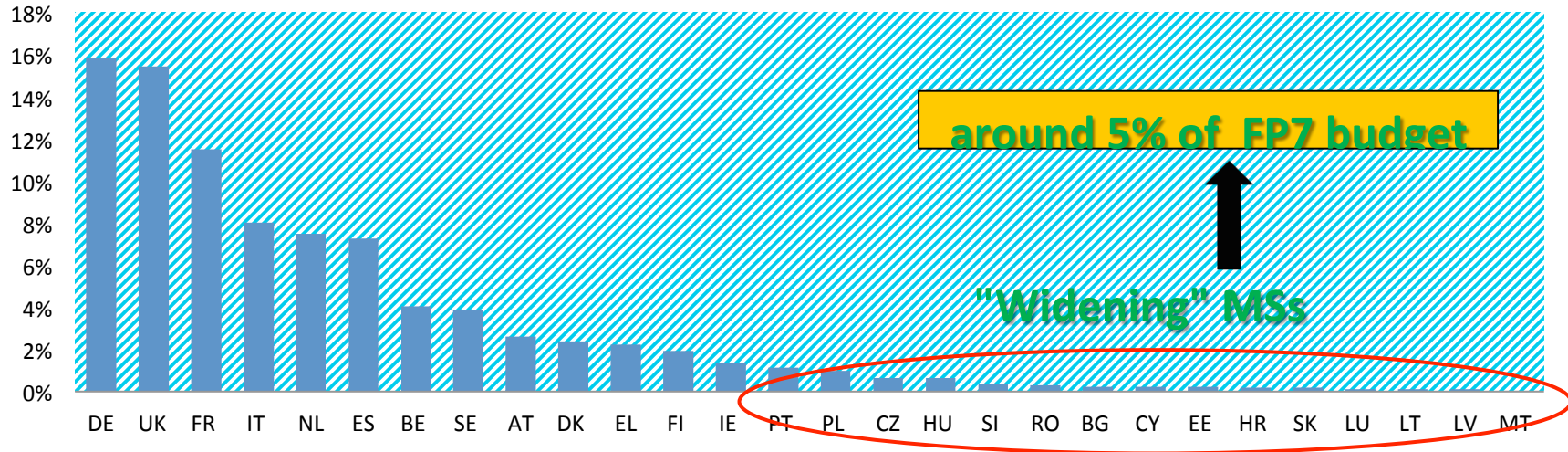
SEWP pillar represent small percentage of the overall H2020 budget – aims to help addressing the issue but significant action is **also** needed elsewhere:

- ❖ Structural reforms of the national R&I systems needed to raise efficiency and quality
- ❖ Sufficient national R&I investments
- ❖ Appropriate use of the funding available through ESIF/IPA funds for R&I
- ❖ Increased effort in networking, communication and training

Overall: Recognised as a serious and complex issue of **shared responsibility!**

FP7 country participation

FP7 Budget Share per country %



Specific eligibility criteria for WIDENING

- Particular political objectives of WIDENING 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" or "Widening" Countries:

MS: Bulgaria, Croatia, Cyprus, Czech Republic, Estonia, Hungary, Latvia, Lithuania, Luxembourg, Malta, Poland, Portugal, Romania, Slovakia and Slovenia

AC: Albania, Bosnia and Herzegovina, Faroe Islands, Former Yugoslav Republic of Macedonia, Moldova, Montenegro, Serbia, **Turkey** and Ukraine



WIDENING

- **Teaming**
- **Era Chairs**
- **Twinning**

Teaming objective in H2020

- Creation of new (or significant upgrade of existing) Centres of Excellence in low R&I performing or "Widening" countries

The Partnership: 2 parties in each Teaming project

- (1) the COORDINATOR from a "Widening" country (must be a national/regional authority, research funding agency, university or res. organisation)
- (2) a university or res. organisation with an international reputation in R&I excellence (from all EU28 or AC)

➤ *Implementation in 2 Phases*



Teaming: Scheme Design

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

Proposals (Phase 1):

- Demonstrate the long-term science and innovation strategy of the future Centre
- Outline how this strategy broadly fits with the RIS3 of the Widening country
- Demonstrate that the project is based on a true joint venture between the parties

Phase 2: Subject to the quality of the Business Plan (converted to a proposal), and the financial commitment for the project from other sources, the Commission may provide further substantial financial support for the **first steps of implementation** of the Centre

Proposals (Phase 2):

- Business Plan (converted to a proposal) with robust financial commitments (national/ESIF/private funds)
- **IMPORTANT: Access to Phase 2 is only available to those proposals already supported in Phase 1!**



Teaming under the 2016-17 WP

Phase 1 Call : Business Plan for a Centre of Excellence (CoE)

Budget: €12 million
Call publication: 14 October 2015
Call opening: 28 July 2016
Call deadline: 15 November 2016
Project Size: €400,000 (eligibility condition)
Project Duration: 12 months (eligibility condition)
Funding for: Business Plan
Implementation: Coordination and Support Action

Phase 2 (Restricted) Call in 2018: Start-up/Implementation of the CoE

Project size & duration: ~ €15 million & 5-7 years
Implementation: Coordination and Support Action
Funding for: Substantial support for the start-up phase of the CoE (administrative, personnel and operational costs as well as very limited support for equipment and consumables)

➤ More information for Phase 2 in the future 2018 Work Programme

Teaming 2014 Call: key stats

- **167** eligible proposals submitted from 20 countries (15 MS & 5 AC)
- Requested budget: **€73.8M** with €11.85M foreseen in the WP
- Average requested EU contribution per proposal: **€ 430.000**
- **31** proposals selected for funding from 14 "Widening" countries
- Most funded proposals in the area of **Physics & Chemistry** and **Medicine & Life Sciences**
- **Frequent 'advanced' partners** in proposals: DE (136) and UK (67)
- **Successful 'advanced' partners** - DE (21), AT (6), FI (6)

Teaming: Analysis of proposals by country

	Member States	Proposals received	Proposals funded	Advanced partners (proposals received)
1	Bulgaria	11	2	AT, BE, DE, DK, HR, HU, IL, IT, SE
2	Croatia	6	0	AT, BE, CH, DE, ES, FR, IT, NL, UK
3	Cyprus	14	3	AT, CH, DE, ES, EL, FR, IL, IT, NL, PT, SE, UK
4	Czech Republic	10	3	AT, DE, CH, IT, UK
5	Estonia	5	2	ES, FI, UK
6	Hungary	9	3	AT, BE, DE, ES, NL, UK
7	Latvia	7	1	AT, CH DE, DK, ES, FI, FR, IT, NL, SE
8	Lithuania	3	1	DE, DK, FR, FI, IE, SE, UK
9	Luxembourg	1	0	FR
10	Malta	5	1	DE, NL
11	Poland	19	3	BE, CZ, DE, DK, EL, FI, FR, LU, NL, SE, SL
12	Portugal	9	4	AT, BE, DE, NL, UK
13	Romania	24	1	AT, BE, CH, CZ, DE, DK, ES, IE, FR, IL, IT, HU, NL, PT, SE, UK
14	Slovakia	13	4	AT, BE, DE, EL, ES, IE, IT, FI, FR, NL, SK, UK
15	Slovenia	11	2	AT, CH, DE, ES, FR, IT, SE
	Total MS	147	30	
	Associated Countries			
1	Albania	1	0	ES
2	Faroe Islands	1	0	DE, UK
3	Montenegro	1	0	IT, SL, RS
4	Serbia	15	1	CZ, DE, EL, ES, IE, IT, NL, PL, SL, UK
5	Turkey	2	0	AT, DE, EL, IT
	Total AC	20	1	
	Grand Total	167	31	



Teaming phase 2 results

10 projects from

Countries
BG
CY
CZ
2 HU
LV
PT
RS
SI
SK
Total 10

Teaming: Lessons learned

Successful proposals marked by:

- Clear objectives / vision /excellence, engaging strategically in a path of innovative growth
- Well-chosen, carefully structured partnership & strong engagement from parties
- Long term science and innovation strategy
- Broad alignment with national/regional Smart Specialisation Strategies
- Long term financial commitments from relevant authorities
- Clear strategy on handling resources

For the next call proposers should:

- Clarify better their vision
- Make clear pointers to integration with medium to long term growth strategies
- Have clear plans on organisational and resource related issues



ERA Chairs - Objectives

Objectives of the action:

- Bring high quality researchers and managers (**the ERA Chair and his/her team**) to universities and other research organisations with the potential for research excellence.
- Institutions should implement structural changes to achieve excellence on a sustainable basis.

Participants

- One single applicant (mono-beneficiary action) located in a Widening country.



ERA Chairs: Proposal Design & Impact

Proposals:

- Bottom-up approach but connected with the ERA Chair holder expertise to fully capitalise on his/her presence;
- Include measures to foster ERA priorities (open recruitment, peer review, gender balance, Charter & Code);
- Include a plan to increase Research Capacity - if infrastructures foreseen present a strategy for funding (including possible use of ESIF funding).

Expected Impact:

- Increased attractiveness of institution and region for excellent researchers;
- Research excellence in the fields covered by the ERA Chair;
- Improved capability of the institution to succeed in competitive research funding;
- Institutional changes to comply with ERA priorities.



ERA Chairs: The ERA Chair holder

- The ERA Chair should be an outstanding researcher and research manager with a proven record of leadership;
- The ERA Chair appointment must follow an open and merit-based recruitment process - to be subjected to monitoring by the European Commission;
- ERA Chair holder should be appointed in a full time position but part-time arrangements are possible;
- The institution should ensure autonomy for the Chair and his/her team;
- ERA Chairs can be of any nationality;



ERA Chairs: Costs & Call 2017 details

Eligible Costs:

- 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 (minor part of budget and duly justified);
- The grant will not cover infrastructures and research costs!

ERA Chairs Call 2017:

Budget: €33.91 million

Call publication: 14 October 2015

Call opening: 12 April 2017

Call deadline: **15 Nov 2017**

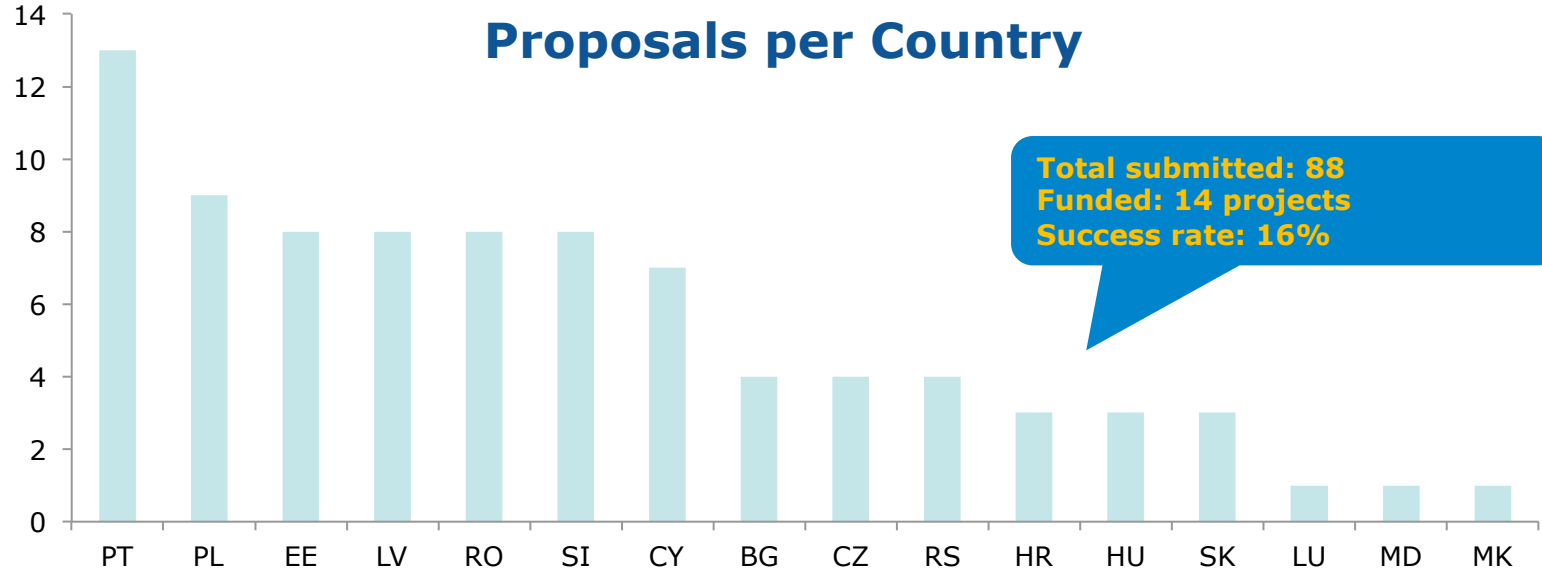
Project Size: up to €2.5 million (eligibility condition)

Project Duration: up to 5 years (eligibility condition)

Implementation: Coordination and Support Action

ERA Chairs: 2014 call statistics

Proposals per Country



ERA Chairs 2014 call – Successful proposals

Institution Country	Proposals per Country in the main list
PT	4
EE	4
CY	2
PL	2
HR	1
RO	1
Total	14



ERA Chairs: Lessons learned

Lessons learned for future calls:

- Clearly define objectives towards institutional changes
- Demonstrate the role and autonomy of the ERA Chair holder
- Work Packages should be consistent and contribute to an overall Action Plan
- Management structures need to be well defined and simple.



Twining: Aim, Objectives & Partnership

Aim of the action:

Strengthen a defined field of research in a university or research organisation from a Widening country by linking it with at least two internationally-leading research institutions in other Member States or Associated Countries.

Main objectives:

- Enhance the S&T capacity of the institutions-Focus on institution in Widening country
- Raise the research profile of the institution and of its research staff

The Partners: (Minimum Conditions)

- **ONE** institution located in a "Widening" MS/AC (**COORDINATOR**)
- A **minimum of TWO** additional partners from two different MS or AC other than the country of the coordinator.

Twinning: Proposal Design & Impact

Proposals:

- Scientific strategy for excellence and innovation in a defined area of research;
- Outline the scientific quality of the partners;

Activities supported:

- Short term staff exchanges; expert visits and short-term training; workshops; conference attendance; dissemination and outreach activities.

Expected Impact:

- Research excellence, in particular, in the selected field of research;
- Improved capability to succeed in competitive research funding;
- Enhanced reputation, attractiveness and networking;
- The expected potential impact of the project illustrated by a number of indicators.

Twinning: Costs & Call 2017 details

Eligible Costs:

- Coordination and networking;
- Joint activities;
- Dissemination and outreach activities.

Infrastructure, equipment & research costs will NOT be funded.

Twinning Call 2017:

Budget: €20 million

Call publication: 14 October 2015

Call opening: 11 May 2017

Call deadline: **15 November 2017**

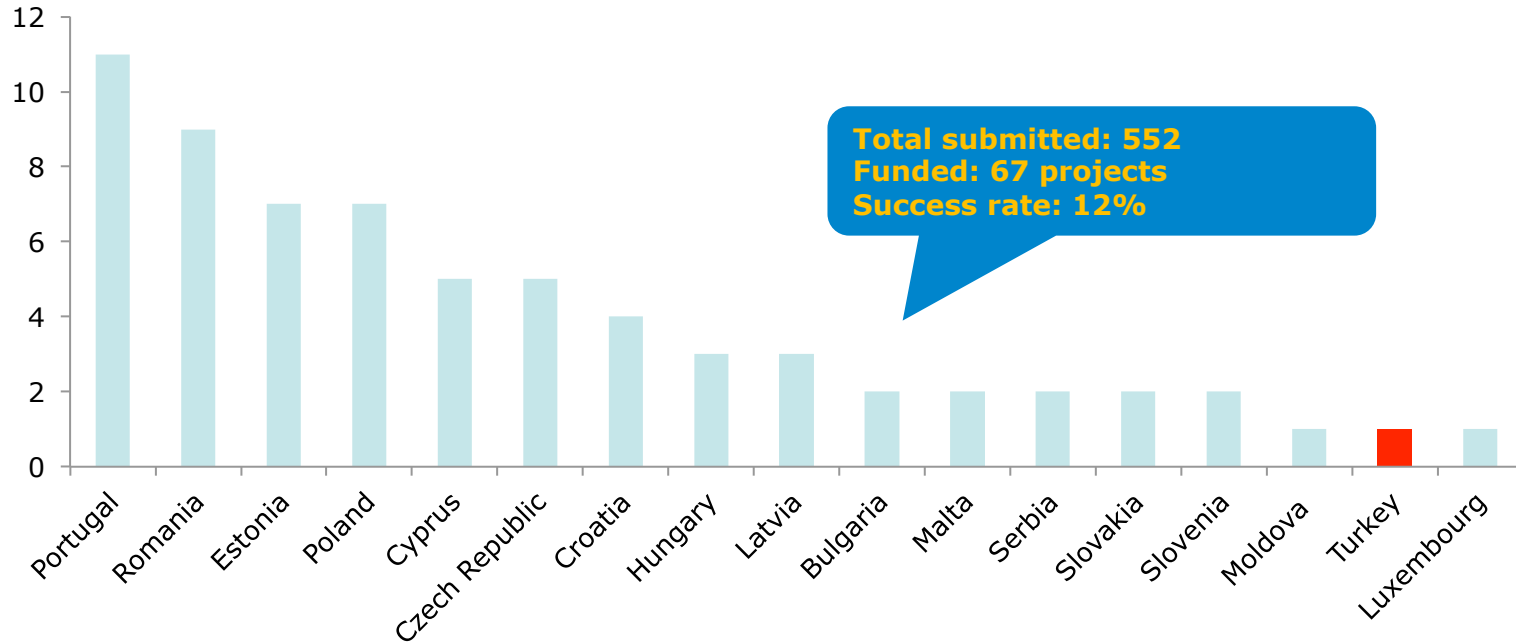
Project Size: up to €1 million (eligibility condition)

Project Duration: up to 3 years (eligibility condition)

Implementation: Coordination and Support Action

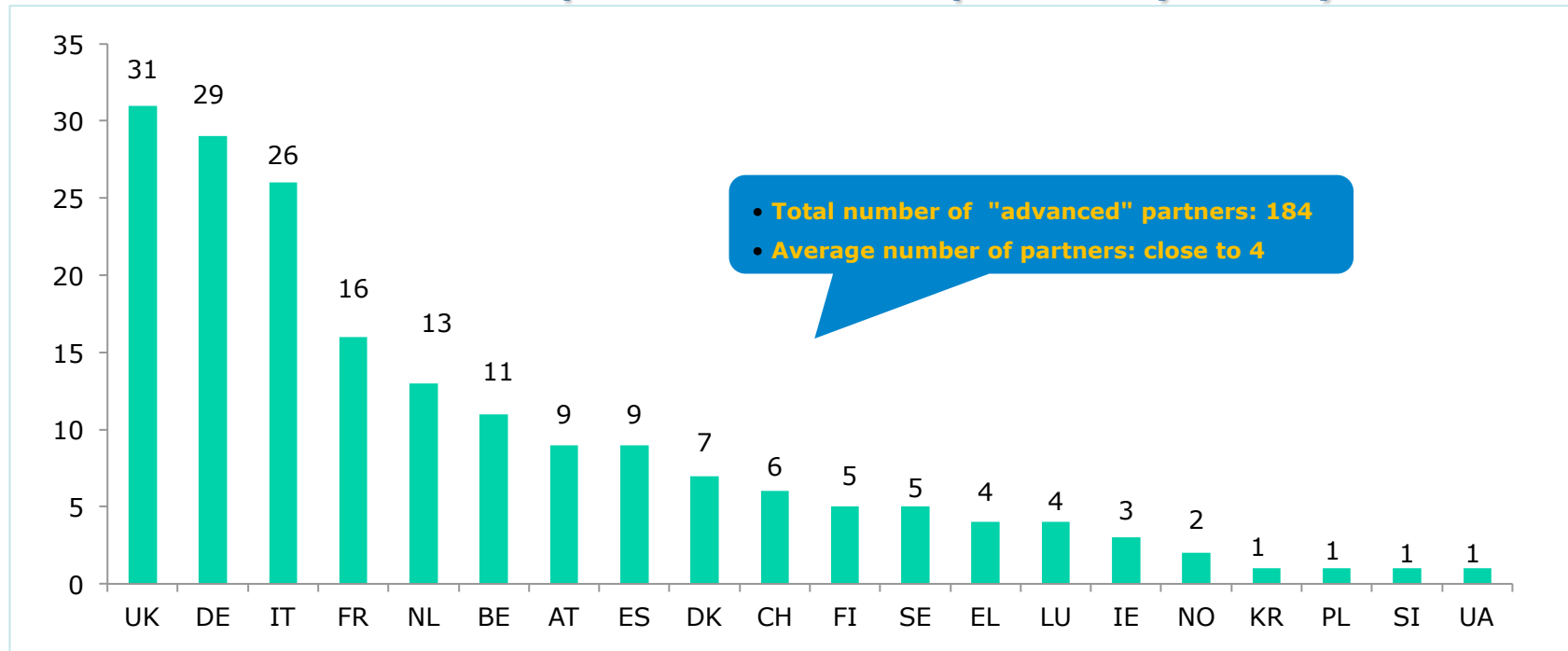
Twinning: 2015 call statistics

Successful Proposals: country of coordinator



Twinning: 2015 call "advanced" partners

Successful Proposals: "advanced" partners by country





Twinning: Lessons learned

Lessons learned for future calls:

- Clear definition of the scientific strategy towards excellence in the relevant research field;
- Better illustration of the scientific qualities of "advanced" partners and their added value to the project;
- Outline the expected impact of the twinning exercise on the institution in the Widening country (and even at the national/regional level) based on specific indicators.

Learn more:

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

http://europa.eu/rapid/press-release_IP-15-3885_en.htm

<http://ec.europa.eu/research/index.cfm?pg=newsalert&year=2015&na=na-090213>

Thank you for your attention

