Spreading Excellence and Widening Participation

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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 %**

- **around 5% of FP7 budget**
- "Widening" MSs

### FP7 country participation

<table>
<thead>
<tr>
<th>Country</th>
<th>FP7 Budget Share</th>
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<tbody>
<tr>
<td>DE</td>
<td>18%</td>
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<td>UK</td>
<td>16%</td>
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<td>FR</td>
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<td>IT</td>
<td>12%</td>
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<td>NL</td>
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<td>ES</td>
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<td>MT</td>
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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

<table>
<thead>
<tr>
<th>Member States</th>
<th>Proposals received</th>
<th>Proposals funded</th>
<th>Advanced partners (proposals received)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bulgaria</td>
<td>11</td>
<td>2</td>
<td>AT, BE, DE, DK, HR, HU, IL, IT, SE</td>
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<tr>
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<tr>
<td>Cyprus</td>
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<td>3</td>
<td>AT, CH, DE, ES, EL, FR, IL, IT, NL, PT, SE, UK</td>
</tr>
<tr>
<td>Czech Republic</td>
<td>10</td>
<td>3</td>
<td>AT, DE, CH, IT, UK</td>
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<tr>
<td>Estonia</td>
<td>5</td>
<td>2</td>
<td>ES, FI, UK</td>
</tr>
<tr>
<td>Hungary</td>
<td>9</td>
<td>3</td>
<td>AT, BE, DE, ES, NL, UK</td>
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<tr>
<td>Latvia</td>
<td>7</td>
<td>1</td>
<td>AT, CH, DE, DK, ES, FI, FR, IT, NL, SE</td>
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<tr>
<td>Lithuania</td>
<td>3</td>
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<td>DE, DK, FR, FI, IE, SE, UK</td>
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<tr>
<td>Luxembourg</td>
<td>1</td>
<td>0</td>
<td>FR</td>
</tr>
<tr>
<td>Malta</td>
<td>5</td>
<td>1</td>
<td>DE, NL</td>
</tr>
<tr>
<td>Poland</td>
<td>19</td>
<td>3</td>
<td>BE, CZ, DE, DK, EL, FI, FR, LU, NL, SE, SL</td>
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<tr>
<td>Portugal</td>
<td>9</td>
<td>4</td>
<td>AT, BE, DE, NL, UK</td>
</tr>
<tr>
<td>Romania</td>
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<td>1</td>
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</tr>
<tr>
<td>Slovakia</td>
<td>13</td>
<td>4</td>
<td>AT, BE, DE, EL, ES, IE, IT, FI, FR, NL, SK, UK</td>
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<tr>
<td>Slovenia</td>
<td>11</td>
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<td>AT, CH, DE, ES, FR, IT, SE</td>
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<tr>
<td><strong>Total MS</strong></td>
<td><strong>147</strong></td>
<td><strong>30</strong></td>
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<tr>
<td><strong>Associated Countries</strong></td>
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<tr>
<td>Albania</td>
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<td>0</td>
<td>ES</td>
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<tr>
<td>Faroe Islands</td>
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<td>DE, UK</td>
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<td>Montenegro</td>
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<td>IT, SL, RS</td>
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<tr>
<td>Serbia</td>
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<td>Turkey</td>
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<td>AT, DE, EL, IT</td>
</tr>
<tr>
<td><strong>Total AC</strong></td>
<td><strong>20</strong></td>
<td><strong>1</strong></td>
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<tr>
<td><strong>Grand Total</strong></td>
<td><strong>167</strong></td>
<td><strong>31</strong></td>
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Teaming phase 2 results

10 projects from

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<tr>
<th>Countries</th>
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<td>CY</td>
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<tr>
<td>CZ</td>
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<tr>
<td>2 HU</td>
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<td>LV</td>
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<td>PT</td>
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<tr>
<td>RS</td>
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<td>SI</td>
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<td>SK</td>
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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

Total submitted: 88
Funded: 14 projects
Success rate: 16%
<table>
<thead>
<tr>
<th>Institution Country</th>
<th>Proposals per Country in the main list</th>
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</thead>
<tbody>
<tr>
<td>PT</td>
<td>4</td>
</tr>
<tr>
<td>EE</td>
<td>4</td>
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<tr>
<td>CY</td>
<td>2</td>
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<td>PL</td>
<td>2</td>
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<tr>
<td>HR</td>
<td>1</td>
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<tr>
<td>RO</td>
<td>1</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>14</strong></td>
</tr>
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</table>
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.
**Twinning: 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

Total submitted: 552
Funded: 67 projects
Success rate: 12%
Twinning: 2015 call "advanced" partners

Successful Proposals: "advanced" partners by country

- Total number of "advanced" partners: 184
- Average number of partners: close to 4
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:

Horizon 2020 Participant Portal: 

Teaming 2014 Call press release: 

ERA Chairs 2014 Call press release: 

Thank you for your attention