



Bridging the Gap

Unit B5

Spreading Excellence, Widening Participation
Science with and for Society



WIDESPREAD 2017: ERA Chairs & Twinning

Rules of Participation and Call Management

Patricio Ortiz de la Torre
REA.B5 - Head of Sector

NOT LEGALLY BINDING



European
Commission

Agenda

- *REA*
- *Work Programme*
- *Call Management*
- *Grant Management*



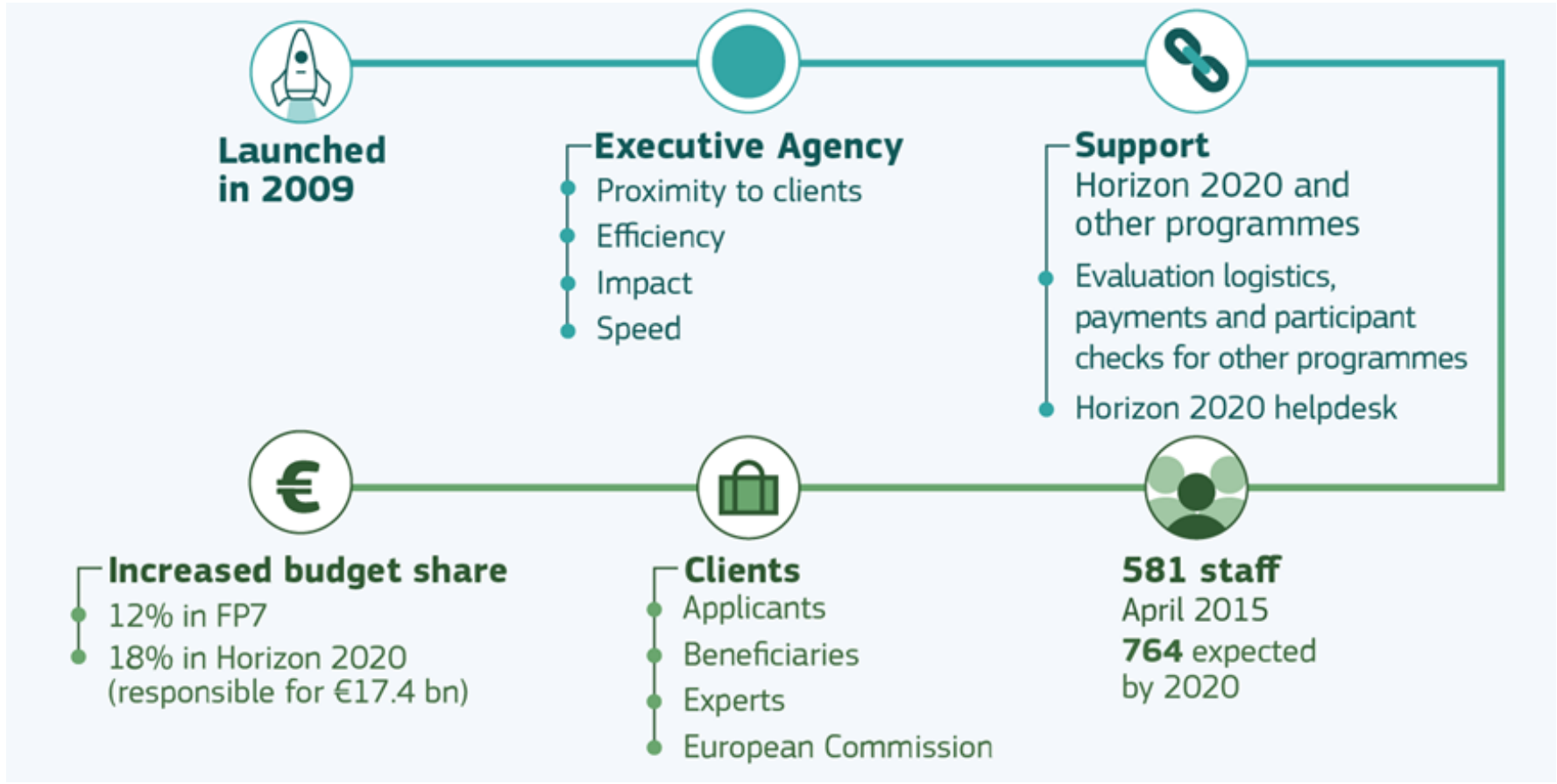
**European Commission
DG Research**

- **Definition of policies**
- **Drafting of Work Programme**

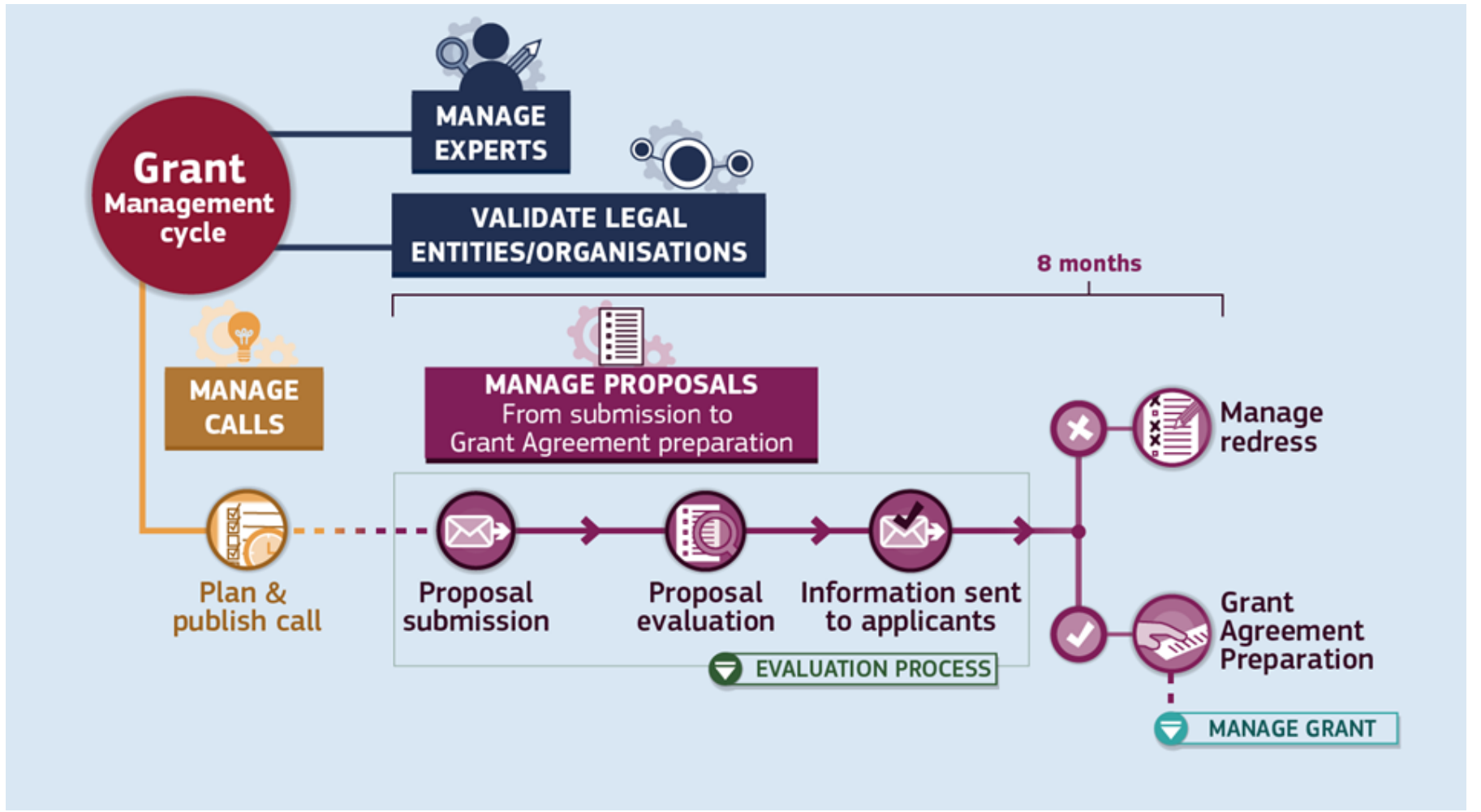
**Research Executive
Agency**

- **Implementation of calls for proposals**
- **Management of funded projects**

REA: Key facts



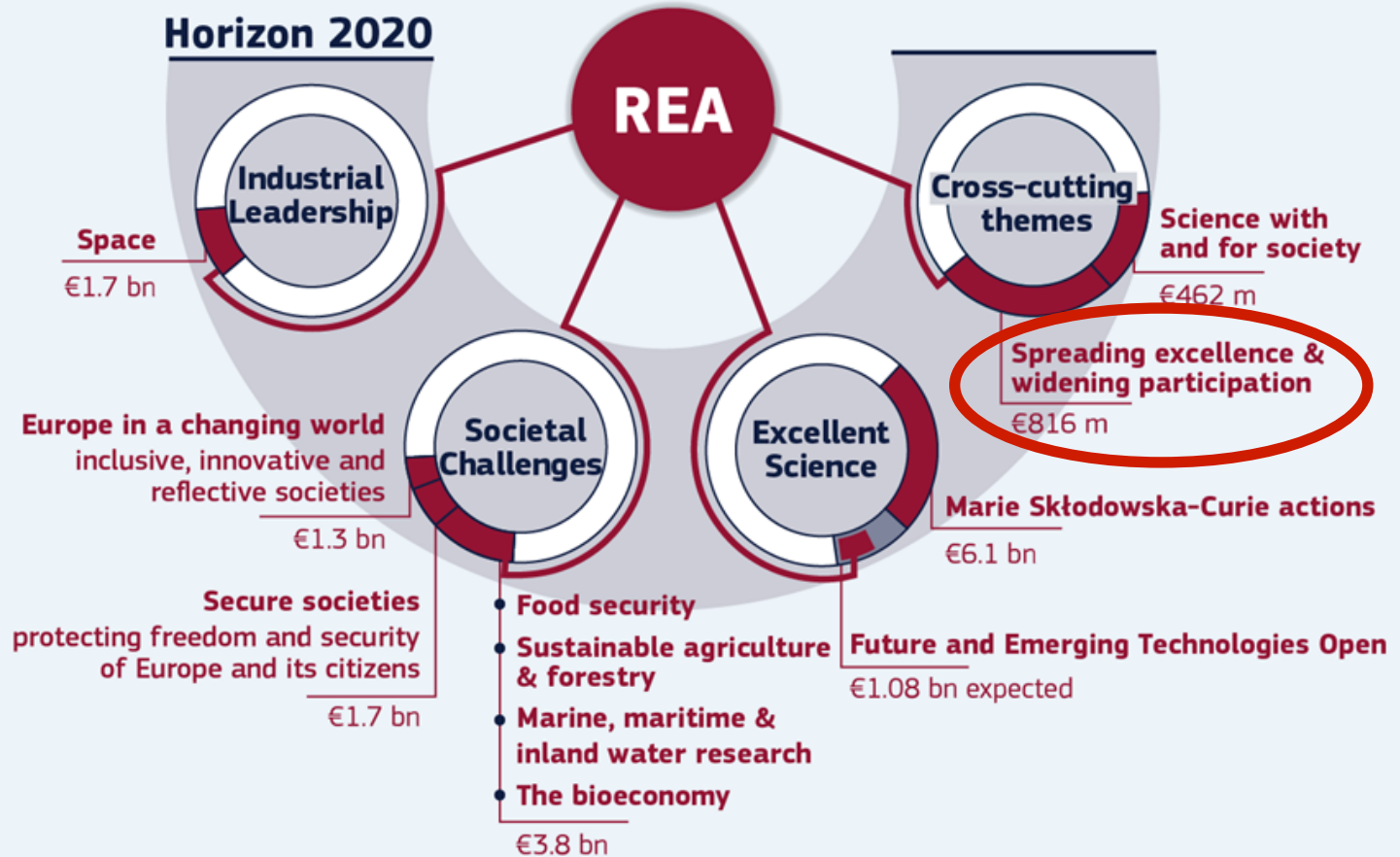
REA: Services



REA responsibilities H2020 (2014-2020)



REA manages €16.958 billion
of Horizon 2020's €77 billion budget.



Widening Participation



New set of measures in Horizon 2020 under the separate specific objective "**Spreading Excellence and Widening Participation**" (**WIDESPREAD**):

- 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 in H2020 ~ **€ 816 million**

Work Programme



EN

Horizon 2020

Work Programme 2016 - 2017

15. Spreading Excellence and Widening Participation

Important notice on the second Horizon 2020 Work Programme

This Work Programme covers 2016 and 2017. The parts of the Work Programme that relate to 2017 (topics, dates, budget) have, with this revised version, been updated. The changes relating to this revised part are explained on the Participant Portal.

(European Commission Decision C(2016)4614 of 25 July 2016)

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Horizon 2020

Work Programme 2016 - 2017

20. General Annexes

(European Commission Decision C(2016)4614 of 25 July 2016)

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** (**eligibility condition**).

ERA Chairs: Call 2017



ERA Chairs Call 2017:

| | |
|-------------------|---|
| Budget: | €33.91 million |
| Call publication: | 14 October 2015 |
| Call opening: | 12 April 2017 |
| Call deadline: | 5 October 2017 |
| Project Size: | up to €2.5 million (eligibility condition) |
| Project Duration: | up to 5 years (eligibility condition) |
| Implementation: | Coordination and Support Action |

Eligible Costs:

✓ Salaries of ERA Chairs and his/her team and recruitment, administrative, travel and subsistence costs.

✓ Contribution towards measures aimed at facilitating structural changes at the institution:

- ✓ costs for trainings, meetings, publications and patenting costs
- ✓ equipment (**minor** part of budget and duly justified)

Ineligible costs:

- ✗ Infrastructures
- ✗ Research costs (incl. consumables)

Twinning: Objectives



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 linked institutions: Focus on institution from Widening country
- Raise the research profile of the institution and of its research staff

The Partners: Minimum 3 participants (**eligibility condition**)

- **ONE** institution located in a "Widening" MS/AC (**COORDINATOR**)
- **At least two** internationally-leading research intensive counterparts from two different **MS or AC** other than the country of the coordinator.

Twinning: Call 2017



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

Eligible Costs:

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

Ineligible costs:

- ✗ Infrastructures,
- ✗ Equipment,
- ✗ Research costs (including consumables)

Tentative Call Planning



Call deadline
15 November 2017

Evaluation

End December – Mid January **Remote**
Early February 2018 **Central**

Grant preparation

March – June 2018

Grant agreements
July 2018

Work Programme: General Annexes



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Horizon 2020

Work Programme 2016 - 2017

20. General Annexes

(European Commission Decision C(2016)4614 of 25 July 2016)

General Annexes - Eligible for Funding (1/2)



A. List of countries eligible for funding

1- the **28 MS**

2- the **Associated Countries** :

- ✓Iceland
- ✓Norway
- ✓Albania
- ✓Bosnia and Herzegovina
- ✓the former Yugoslav Republic of Macedonia
- ✓Montenegro
- ✓Serbia
- ✓**Turkey**
- ✓Israel
- ✓Moldova
- ✓Switzerland
- ✓Faroe Islands
- ✓Ukraine
- ✓Tunisia
- ✓Georgia
- ✓Armenia

Associated Countries:

http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/3cpart/h2020-hi-list-ac_en.pdf

General Annexes – Eligible for Funding (2/2)



3- List of **third countries** as in Annex A.

4- **International European interest organisations** (the majority of whose members are MS or AC, and whose principal objective is to promote scientific and technological cooperation in Europe)

5- Legal entities established in countries not listed above will be eligible for funding when such funding is explicitly foreseen in the call / topic.

6- In addition, legal entities established in countries not listed in Annex A and international organisations (IOs) will be eligible for funding:

- ✓ When funding for such participants is provided for under a **bilateral scientific and technological agreement** or any other arrangement between the EU and an international organisation or a third country;
- ✓ When the Commission deems participation of the entity **essential for carrying out the action** funded through Horizon 2020 (outstanding competence and expertise, access to unique know-how, access to research infrastructures, access to geographical environments, involving key partners in emerging markets, access to data, etc.)

General Annexes – Admissibility



B. Standard admissibility conditions and related requirements

- ✓ **Readable, accessible and printable**
- ✓ **Completeness** of proposal: presence of all requested forms
- ✓ Inclusion of a **plan for exploitation and dissemination** of results
- ✓ **Page limits** will apply:

Part A (fill-in on-line): Sections 1 to 5

Part B (upload 2 pdf):

1- First pdf file – Sections 1-3

- Evaluation criteria

Limit: **50** for CSAs

2- Second pdf file – Sections 4-5: No page limit

3.2 Management structure and procedures

- Describe the organisational structure and the decision-making (including a list of milestones (table 3.2a))
- Explain why the organisational structure and decision-making mechanisms are appropriate to the complexity and scale of the project.
- Describe, where relevant, how effective innovation management will be addressed in the management structure and work plan.

⚠ Innovation management is a process which requires an understanding of both market and technical problems, with a goal of successfully implementing appropriate creative ideas. A new or improved product, service or process is its typical output. It also allows a consortium to respond to an external or internal opportunity.

- Describe any critical risks, relating to project implementation, that the stated project's objectives may not be achieved. Detail any risk mitigation measures. Please provide a table with critical risks identified and mitigating actions (table 3.2b)

3.3 Consortium as a whole

⚠ The individual members of the consortium are described in a separate section 4. There is no need to repeat that information here.

- Describe the consortium. How will it match the project's objectives? How do the members complement one another (and cover the value chain, where appropriate)? In what way does each of them contribute to the project? How will they be able to work effectively together?
- If applicable, describe the industrial/commercial involvement in the project to ensure exploitation of the results and explain why this is consistent with and will help to achieve the specific measures which are proposed for exploitation of the results of the project (see section 2.3)
- Other countries: if one or more of the participants requesting EU funding is based in a country that is not automatically eligible for such funding (entities from Member States of the EU, and Associated Countries and from one of the countries in the exhaustive list included in [General Annex A of the work programme](#) are automatically eligible for EU funding), explain why the participation of the entity in question is essential to carrying out the project

3.4 Resources to be committed

⚠ Please make sure the information in this section matches the costs as stated in the budget table in section 3 of the administrative proposal forms, and the number of person/months, shown in the detailed work package descriptions.

Please provide the following:

- a table showing number of person/months required (table 3.4a)

General Annexes – Operational Capacity



- **Description of Participants (Part B - Section 4): needed to assess operational capacity** of each participant (General Annex B):
 - ✓ A **curriculum vitae** or description of the profile of the persons who will be primarily responsible for carrying out the proposed research and/or innovation activities;
 - ✓ A list of up to **five relevant publications**, and/or **products, services** (including widely-used datasets or software), or other **achievements** relevant to the call content;
 - ✓ A list of up to **five relevant previous projects** or **activities**, connected to the subject of this proposal;
 - ✓ A description of any **significant infrastructure** and/or any major items of **technical equipment**, relevant to the proposed work;
 - ✓ A description of any **third parties** that are not represented as project partners, but who will nonetheless be contributing towards the work (e.g. providing facilities, computing resources)

General Annexes – Eligibility



C. Standard eligibility criteria

- **Minimum number of partners** as set out in the call conditions
- Be **in scope**
- **Other criteria** may apply on a call-by-call basis as set out in the **call conditions**

D. Types of action: specific provisions and funding rates

E. Specific requirements for innovation procurement (PCP/PPI) supported by Horizon 2020 grants

F. Rules of Contest (RoC) for Prizes



Coordination & Support Action (CSA)

- Actions consisting primarily of accompanying measures such as
 - standardisation, **dissemination**, awareness-raising and **communication, networking**, coordination or support services, policy dialogues and mutual learning exercises and studies, including design studies for new infrastructure, and
 - may also include complementary activities of strategic planning, networking and coordination between programmes in different countries
 - **No funding to research!**
 - Up to 100% of eligible costs



H. Evaluation

- ...remain the same (i. e. Excellence, Impact, Quality & efficiency of the implementation)
- Some fine-tuning of the 'aspects to be taken into account' to improve clarity, for example:
 - Impact – better signalling of **work programme 'expected impacts'; communication** aspects separated out
 - Implementation – reference to **resources being in line** with objectives; and **all partners have valid role**
- The proposal template reflects the criteria, and provides further guidance (e.g. on draft plan for dissemination and exploitation)



I. Budget flexibility

J. Classified Information

K. Financial support to third parties

General Annexes - Evaluation Criteria (CSA)



| Excellence (to the extent that the proposal addresses the WP topic) | Impact | Quality and efficiency of the implementation |
|---|--|--|
| <ul style="list-style-type: none"> • Clarity and pertinence of the objectives; • Soundness of the concept, and credibility of the proposed methodology; • Quality of the proposed coordination and/or support measures. | <ul style="list-style-type: none"> • The extent to which the outputs of the project would contribute to each of the expected impacts mentioned in the work programme under the relevant topic; • Quality of the proposed measures to: <ul style="list-style-type: none"> • Exploit and disseminate the project results (including management of IPR), and to manage research data where relevant. • Communicate the project activities to different target audiences | <ul style="list-style-type: none"> • Quality and effectiveness of the work plan, including extent to which the resources assigned to work packages are in line with their objectives and deliverables; • Appropriateness of the management structures and procedures, including risk and innovation management; • Complementarity of the participants and extent to which the consortium as whole brings together the necessary expertise; • Appropriateness of the allocation of tasks, ensuring that all participants have a valid role and adequate resources in the project to fulfil that role. |

General Annexes: Scoring and Ranking (1/2)



Scores and Thresholds:

- Each criterion scored out of **5**
- Individual threshold of **3**
- Overall threshold of **10**

Ranking Rules:

- The procedure for setting a priority order for proposals with the same score is given in **part H of the General Annexes.**

(cf. General Annexes H.)

General Annexes: Scoring and Ranking (2/2)



- For each group of proposals with identical total scores the panel orders them according to:
 - First, their score for **EXCELLENCE**,
 - And second, their score for **IMPACT**
- If there are ties, the panel takes into account the following factors:
 - First, the size of the **budget** allocated to **SMEs**
 - Second, the **gender balance** of **personnel carrying out the research** and/or innovation activities
- If there are still ties, the panel agrees further factors to consider:
 - e.g. synergies between projects or contribution to the objectives of the call or of Horizon 2020
- The same method is then applied to proposals that address topics that are already covered by more highly-ranked proposals

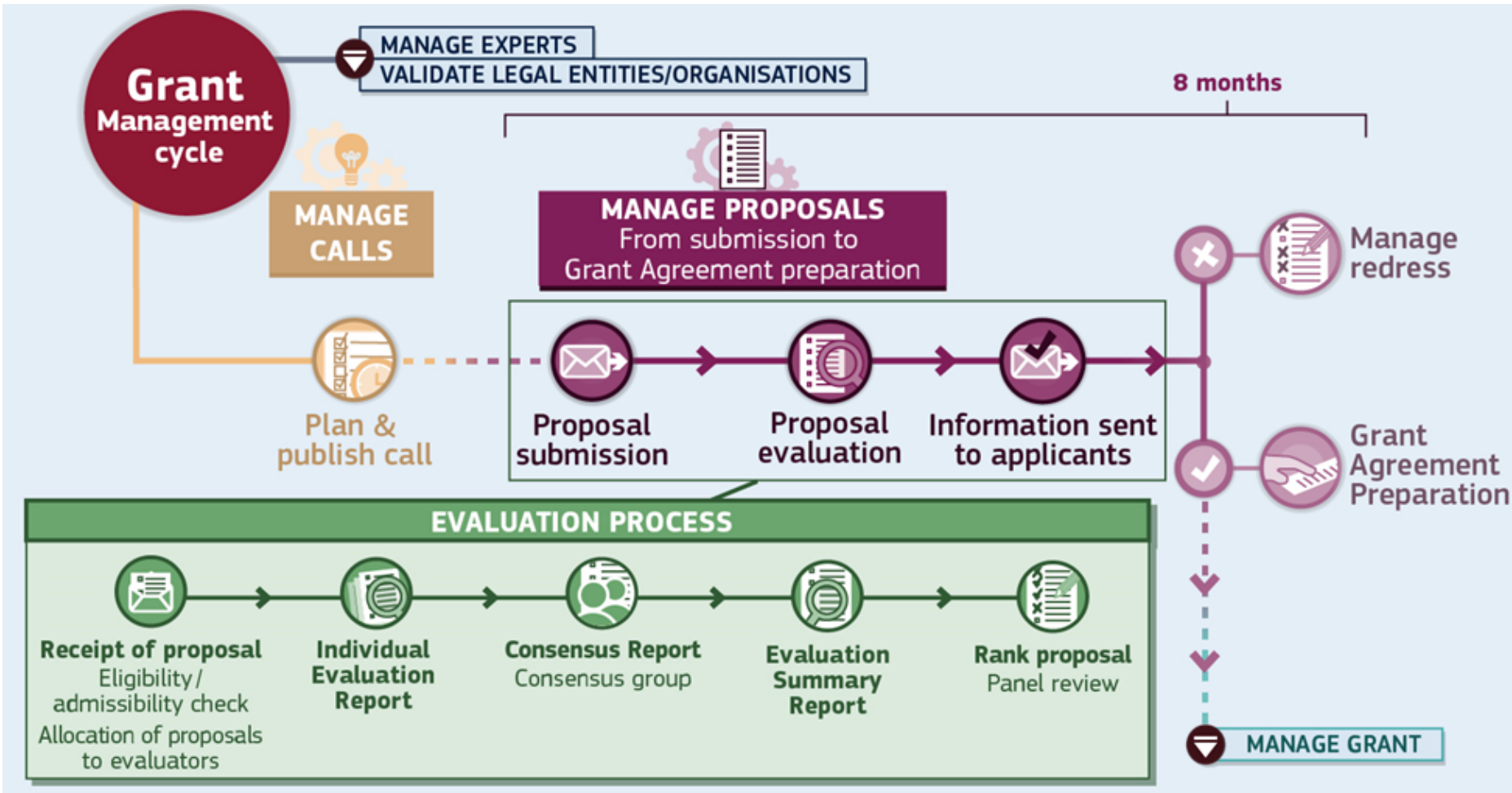


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Agenda

- *REA*
- *Work Programme*
- ***Call Management***
- *Grant Management*

REA's services




The Participant Portal



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

(A-Z) [Sitemap](#) [About this site](#) [Contact](#) [Legal Notice](#) [English](#) ▾



RESEARCH & INNOVATION

Participant Portal

European Commission > Research & Innovation > Participant Portal > Home

HOME FUNDING OPPORTUNITIES HOW TO PARTICIPATE EXPERTS SUPPORT ▾ [LOGIN](#) [REGISTER](#)

Horizon 2020 Funding

Starting from 1/1/2014

On this site you can find and secure **funding** for research & innovation projects under the following EU programmes:

- **2014-2020** Horizon 2020 - research and innovation framework programme
- **2007-2013** 7th research framework programme (FP7) and Competitiveness & Innovation Programme (CIP)

Non-registered users

- search for funding
- read the funding guide & download the legal documents
- check if an organisation is already registered
- contact our support services or check our FAQs

Registered users

- submit your proposal
- sign the grant
- manage your project throughout its lifecycle



WHAT'S NEW?



FUNDING OPPORTUNITIES



HOW TO PARTICIPATE



WORK AS AN EXPERT



MY PERSONAL AREA



INFORMATION AND SUPPORT

RESEARCH ON EUROPA CORDIS OLAF

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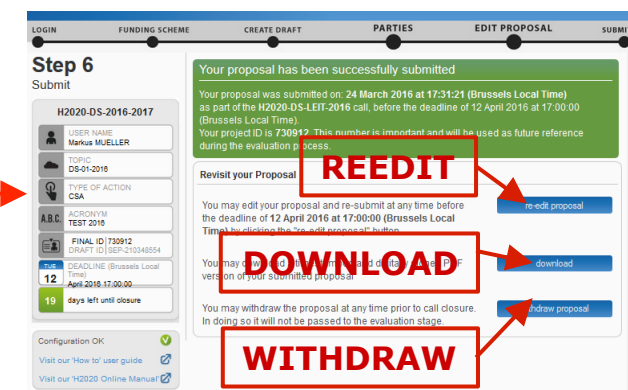
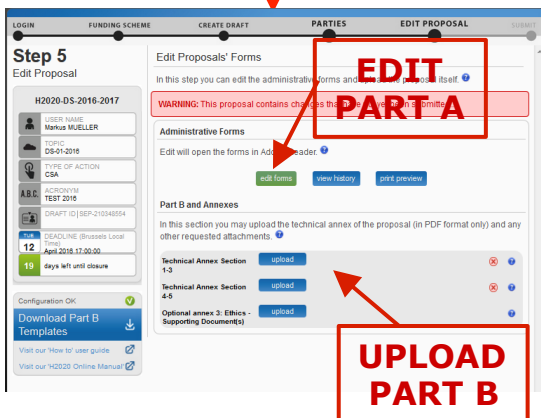
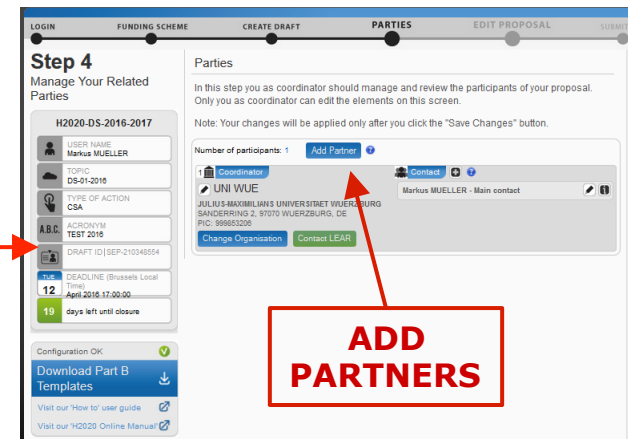
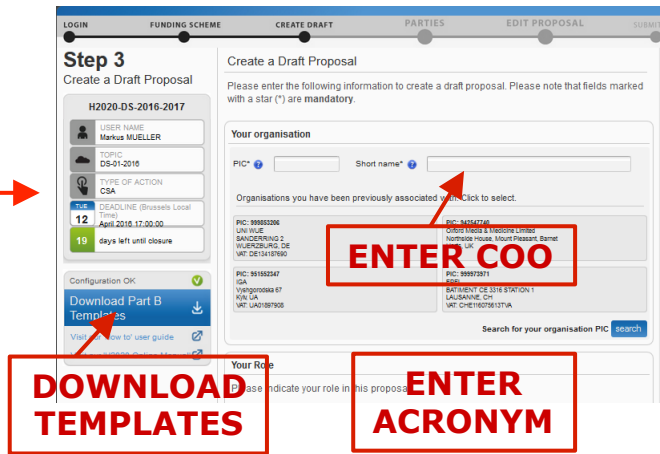
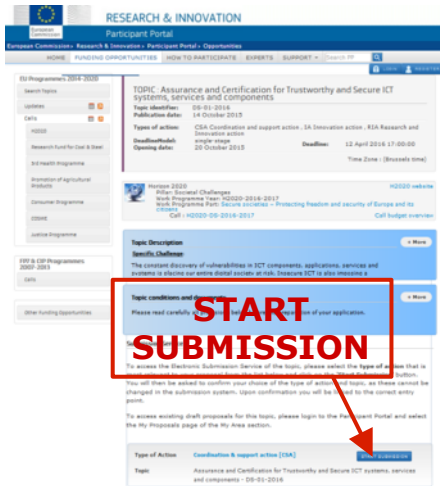
Proposal Submission -



2: Topic/Funding Scheme

3: Create Draft

4: Parties



5: Edit Proposal

5: Edit Proposal

6: Submit!!!!

The Proposal Template – Short Overview



you must use the **official template** for the part B

- **Part A** (fill-in on-line): Sections 1 to 5
- **Part B** (upload 2 pdf):
 - 1- First pdf file – **Sections 1-3:**
 - **Section 1: Excellence**
 - **Section 2: Impact**
 - **Section 3: Implementation**

Limit: 50 pages for CSA
 - 2- Second pdf file – **Sections 4-5:**
 - **Section 4: Members of the consortium** (operational capacity)
 - **Section 5: Ethics** (in addition to the self-assessment of part A)

No page limit

Attention Points

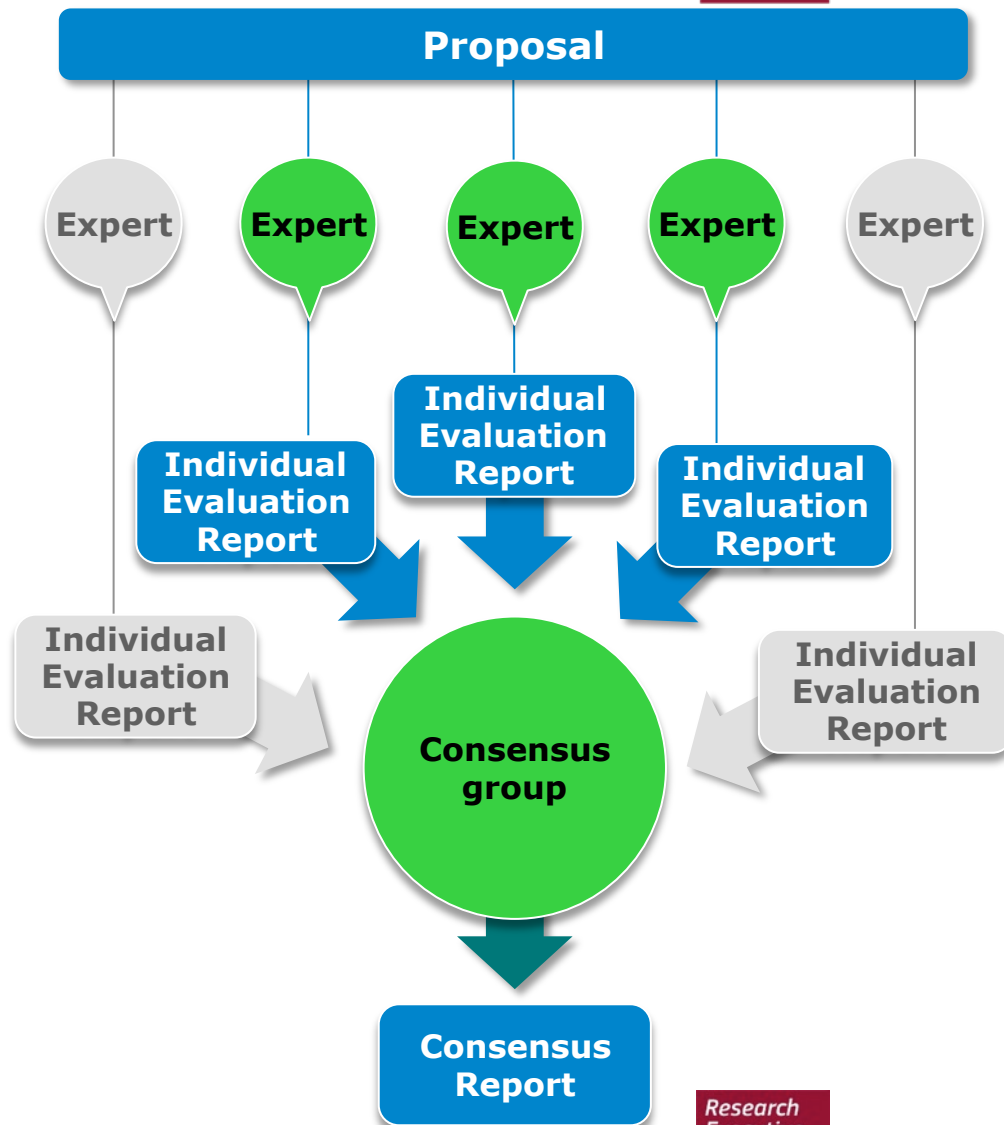


- **Respect the page limits:** excess pages will be watermarked and disregarded by the evaluators.
- **Note:** All **tables** must be **included** within this limit. **Minimum font size** allowed is **11 points**. The **page size** is **A4**, and all **margins** (top, bottom, left, right) should be at least **15 mm** (not including any footers or headers).
- **Note:** Relevant **information for Sections 1-3 cannot be moved to sections 4-5 or elsewhere.**

- **Submit on time:**
- **Complete the submission, including all checks, well before the deadline** to avoid last-minute technical problems, human errors, time-delay in uploading, ...
- **Note:** Until the deadline you **can always reedit and resubmit**

Evaluation Process – How does it work?

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Eligible & admissible proposal

Minimum 3 experts

Individual evaluation

Consensus Meetings

Definition of Scores



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The proposal **fails to address the criterion** or cannot be assessed due to **missing or incomplete** information.

1

Poor. The criterion is inadequately addressed, or there are serious inherent **weaknesses**.

2

Fair. The proposal broadly addresses the criterion, but there are significant **weaknesses**.

3

Good. The proposal addresses the criterion well, but a number of **shortcomings** are present.

4

Very Good. The proposal addresses the criterion very well, but a small number of **shortcomings** are present.

5

Excellent. The proposal successfully addresses all relevant aspects of the criterion. Any **shortcomings** are minor.



- Only proposals that comply with the **ethical principles and legislation** may receive funding
- For **proposals above threshold** and considered for funding, an **ethics screening** and, if necessary, an ethics assessment is **carried out by independent ethics experts** in parallel with the scientific evaluation or soon after
 - Proposals involving the use of human embryonic stems cells automatically undergo an ethics assessment
- For those proposals in which one or more ethical issues have been identified, the experts will assess whether the ethics issues are adequately addressed
- The ethics experts will produce an **ethics report** and give an opinion on the proposal, including:
 - granting ethics **clearance** (or not)
 - **recommending the inclusion of 'ethics requirements'** in the grant agreement, or
- recommending a **further Ethics Assessment** and/or an Ethics Check or Audit

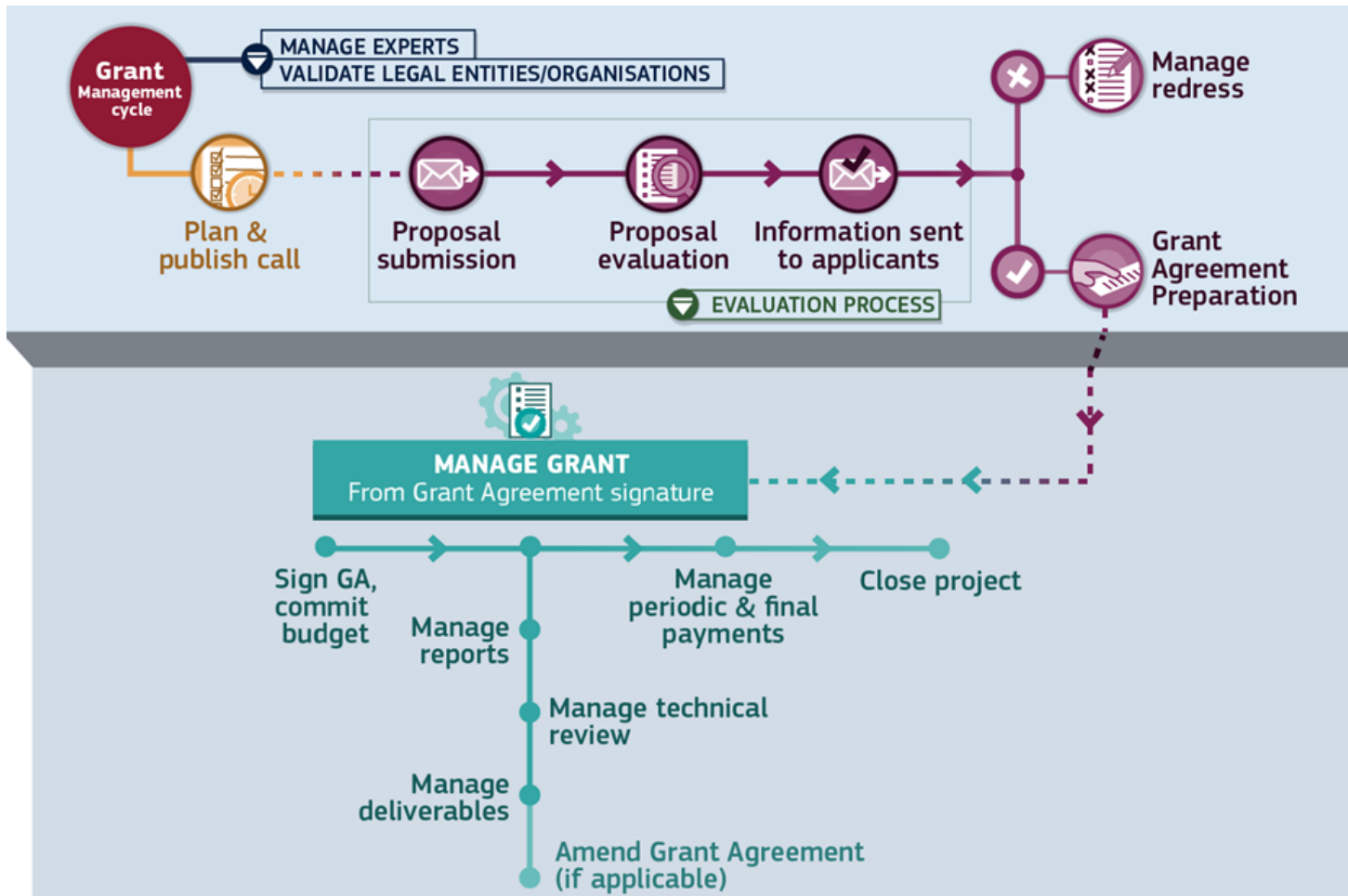


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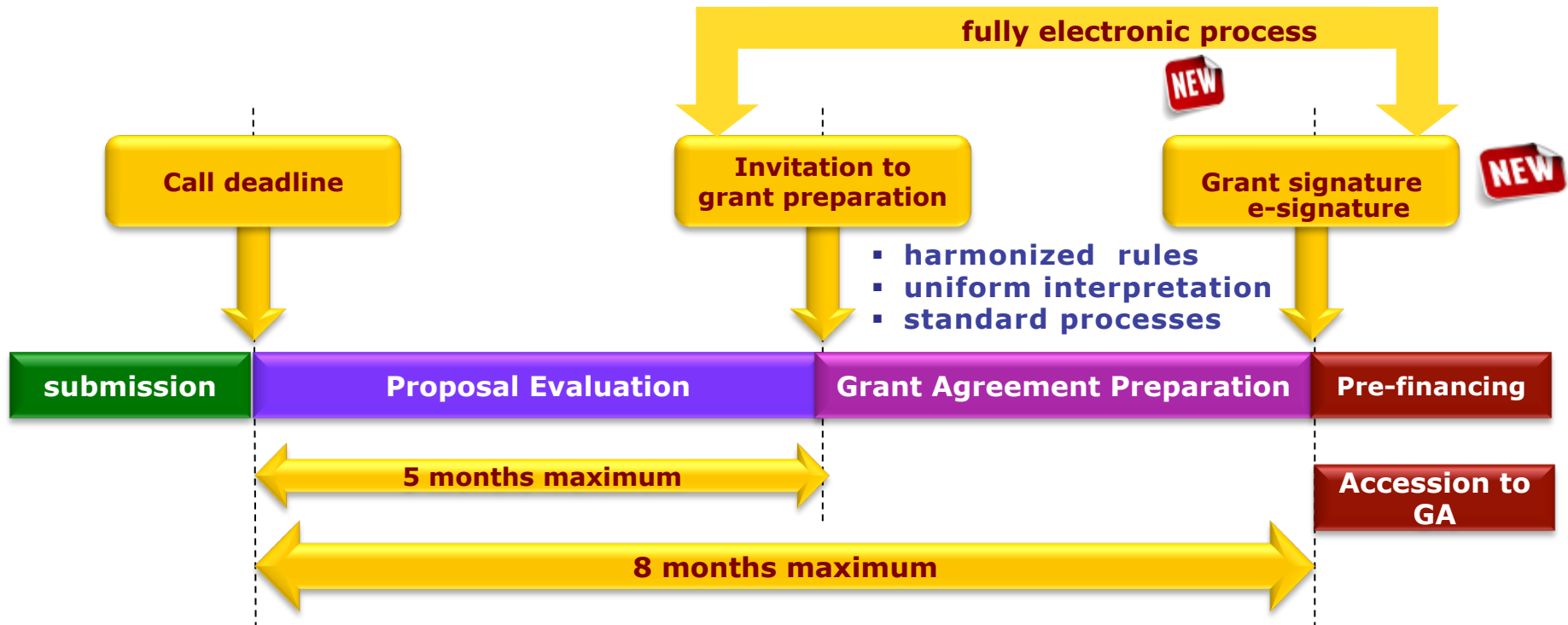
Agenda

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REA's services



Grant Agreement Preparation (GAP)



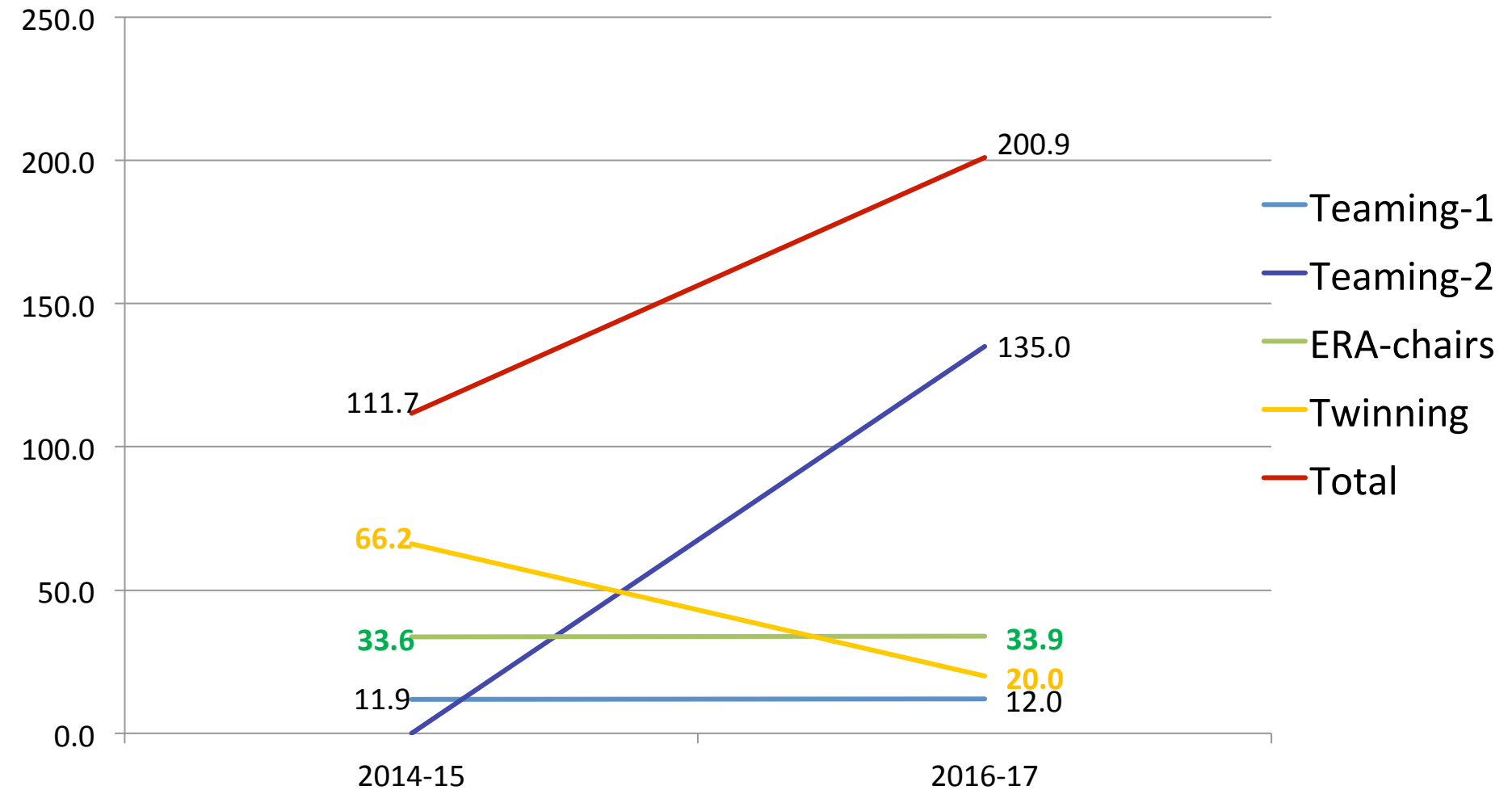
- Maximum **five months** from call closure date - until the date of informing applicants about the outcome of proposal evaluation
- Maximum **eight months** from call closure - until the signature of the grant agreement

Applications and success rates



| Action | Year | type | Budget (M) | Size | Proposals | Projects | Success rate |
|-------------------|------|------|------------|---------|-----------|----------|--------------|
| ERA chairs | 2014 | CSA | 33,6 | max 2.5 | 88 | 14 | 16% |
| Twinning | 2015 | CSA | 66,24 | 1 | 553 | 66 | 12% |

SEWP Budget 2014/15 – 2016/17





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Additional Information

WP 2016-17 (update due April 2017):

http://ec.europa.eu/research/participants/data/ref/h2020/wp/2016_2017/main/h2020-wp1617-sewp_en.pdf

CSA Proposal Template:

http://ec.europa.eu/research/participants/data/ref/h2020/call_ptef/pt/2016-2017/h2020-call-pt-csa-2016-17_en.pdf

Participant Portal:

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





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**Thank you for your
attention!**

Questions?

Research
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