



Policy Instruments to Widening Participation and Ensuring Synergies

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The Horizon 2020 logo, featuring a globe in the center of the word "HORIZON" and the year "2020". The globe is a small, detailed representation of Earth, showing continents and oceans. The background is a blue gradient with light rays emanating from behind the globe, creating a sense of depth and focus.

HORIZON 2020

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**



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

The Partnership:

the COORDINATOR from a "Widening" country (must be a national/regional authority, research funding agency, university or res. organisation)

university or res. organisation with an **international reputation in R&I excellence** (from all EU28 or AC)



Phase 2: Subject to the quality of the Business Plan, 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 (Phase 1 deliverable) with robust financial commitments (national/ESIF/IPA/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)

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

Teaming under the 2016-17 WP

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 call – main novelties

- FPA/SGA concept dropped
- Standard call in Phase 1 – Restricted call in Phase 2
- Clarity in WP on organisation type for the coordinator >> EC to provide a template of a letter of intent in case coordinator not a public authority
- Broad alignment with RIS3 or equivalent growth strategy (ACs) – Specific evaluation sub-criterion under Excellence
- IPA II mentioned explicitly as a potential source of complementary funding for Phase 2 (Associated Countries)



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 :

- 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**.



Bottom-up approach but connected with the **ERA Chair holder expertise** to fully capitalise on his/her presence;

foster **ERA priorities** (open recruitment, peer review, gender balance, etc.);

increase **Research Capacity** - if infrastructures foreseen present a strategy for funding (including possible from use of **ESIF funding**).

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: 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** for **infrastructures and research costs!**

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

ERA Chairs: Lessons learned

- 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



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.

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.



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.



Eligible Costs:

- Coordination and networking;
- 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: 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.

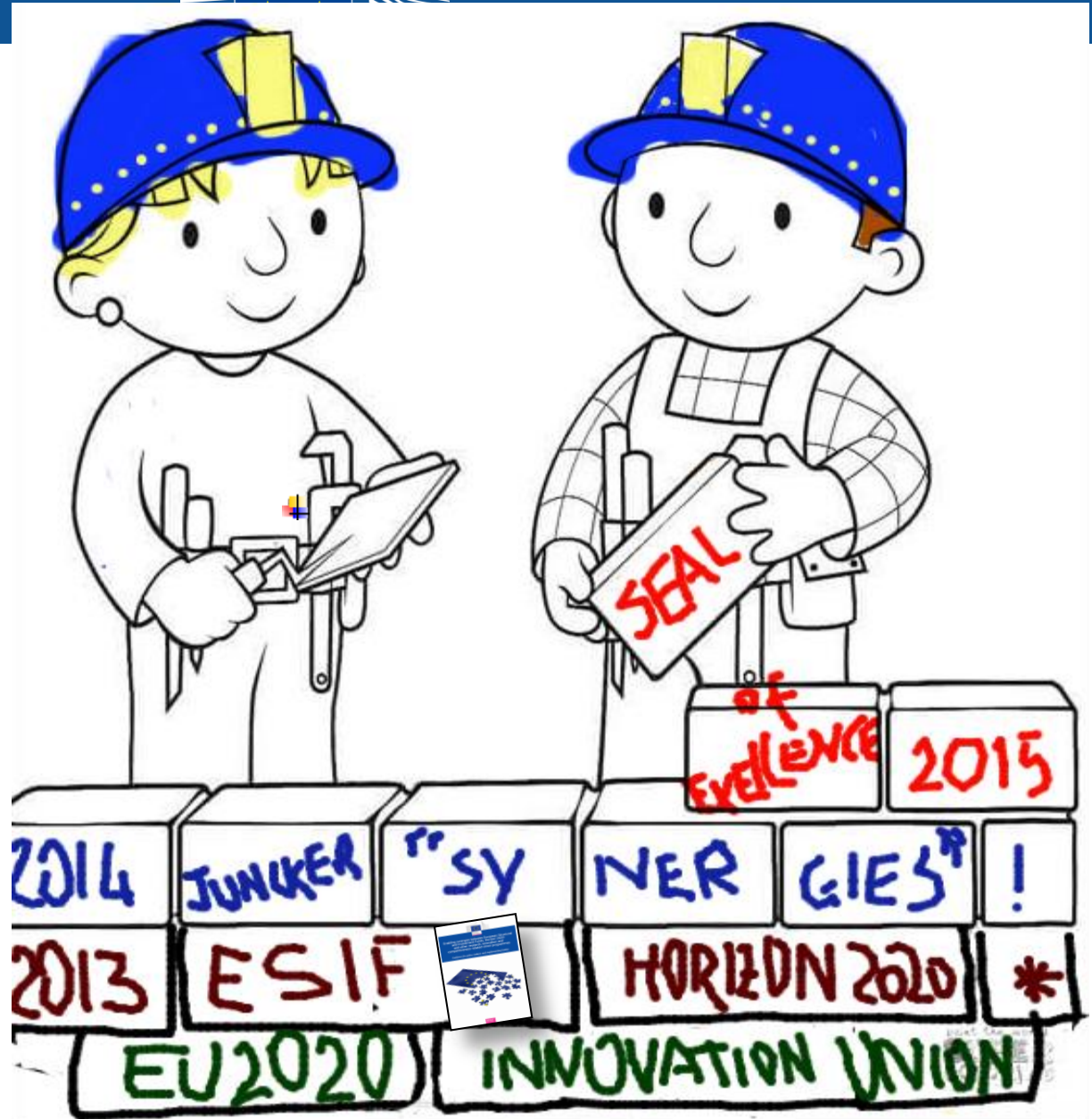


**BUILDING
SYNERGIES
TO MAXIMISE
QUANTITY,
QUALITY AND
IMPACT OF
RESEARCH AND
INNOVATION
INVESTMENTS
FOR JOBS AND
GROWTH**

**POLITICAL
MANDATE ->**

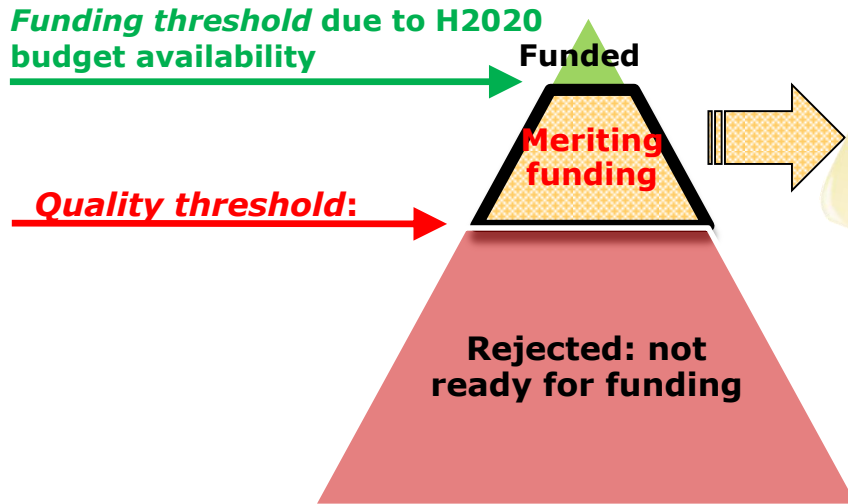
LEGAL BASIS ->

COMMITMENT ->





Horizon 2020 evaluation:



Excellent proposals receive the SEAL OF EXCELLENCE certificate



Pilot using the SME Instrument

- ✓ Close to intervention logic of ESIF authorities
- ✓ Single company
- ✓ Small scale R&I actions
- ✓ Close to market

Regions/MS taking-up 'seal of excellence' proposals:

- ✓ Benefit from pre-screening by H2020
- ✓ Make the most of a unique, high quality evaluation process
- ✓ Better use the resources
- ✓ Invest on high local impact proposals

FEATURES OF THE CERTIFICATE



The SEAL OF EXCELLENCE:

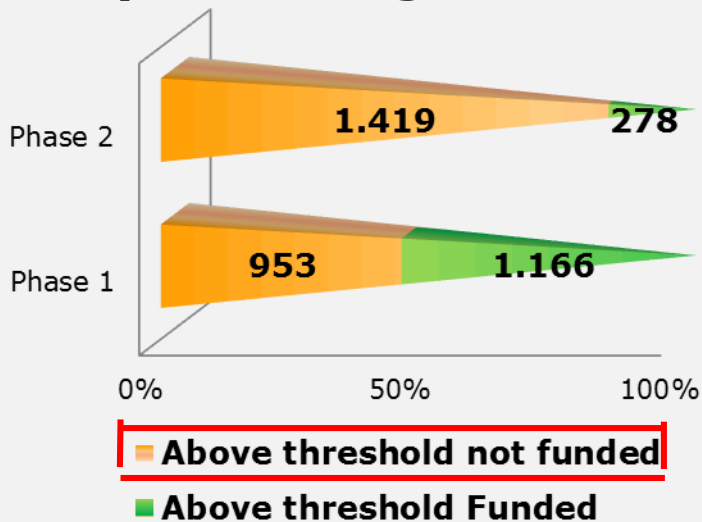
- Awarded to ALL** qualifying SME instrument **PROPOSALS**
- Downloadable** only by the SME/s from 'My area' in Participants Portal
- Informs**
- Builds reputation**
- Explains**
- Shows political committment**
- Fraud-proof**
- Accompanying letter**

The SME INSTRUMENT AND THE SEAL: Who - When

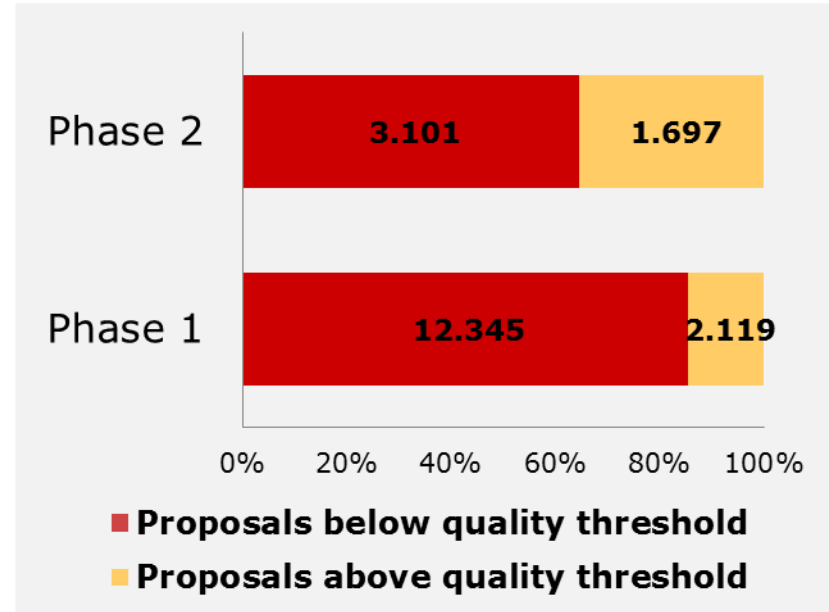


Highly popular: 14 464 (Phase 1); 4798 (Phase 2)

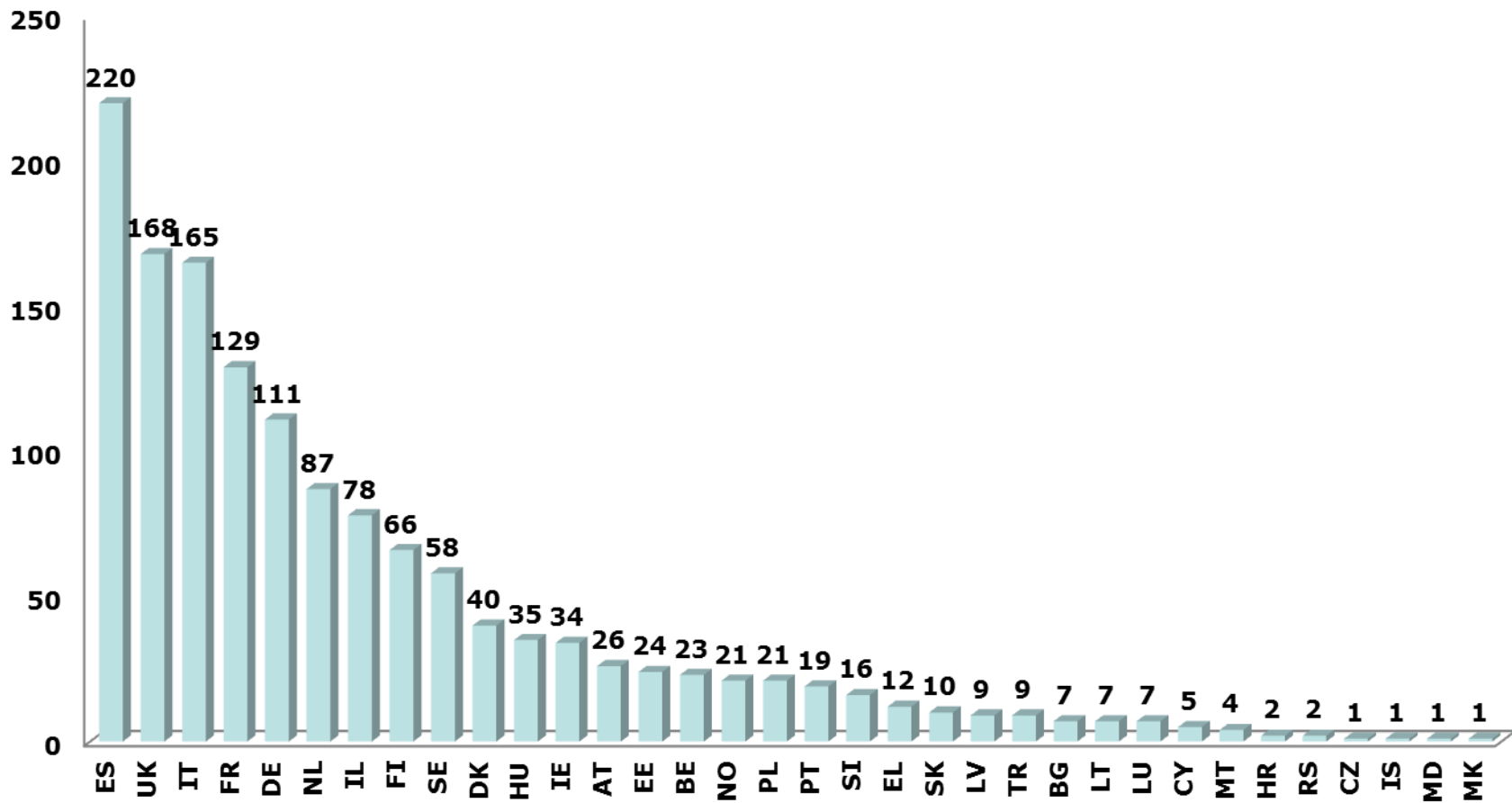
Many deserving, few funded:



Very Competitive:



More than 2300 are NOT funded (these have by now all received the Seal of excellence)



■ PHASE 2 seals - total (included Nov. Cut-off)

SMEs and THE SEAL

***SMEs usually welcome the Seal and understand its value.
Expectations have to be managed.***

- > A great opportunity, but process just starting: be patient!
- > No guarantee of 'automatic' alternative funding and/or to the funding intensity of H2020 / No to be used for DOUBLE FUNDING
- > Search pro-actively
- > Voluntary (no obligation!)
- > Make available to the funder ALL documents at your disposal (Full Proposal, Evaluation Summary Report,...)
- > DIVERSIFY your search for funding, in terms of sources (public (ESIF or own resources) / private) and type (grants / financial instruments)

KEY MESSAGES TO ALTERNATIVE FUNDING SOURCES

(ie: Managing authorities, national/regional agencies, private foundations, banks, VCs, business angels)

- > Great opportunity to exploit H2020 first-class evaluation system : leading to gain time, use resources efficiently in a period of scarce resources and increase R&I performance and impact at local level
- > Keep the process as simple as possible: no need to re-evaluate the content
- > Different support can be provided: grants/loans/guarantee/... general support
- > The Commission services support funding bodies interested in taking up these projects, through the **COMMUNITY OF PRACTICE**



The COMMUNITY OF PRACTICE (CoP):

- ✓ **Purpose:** Exchange of know-how on the best ways to implement the 'seal of excellence' approach through ESIF
- ✓ **Creation:** by the Commission in July 2015 following the presentation of the 'Seal' concept at EGESIF meeting
- ✓ **Membership:** on voluntary basis, restricted to National or Regional authorities that have a funding power and other Funding Agencies for Innovating SMEs (including private banks and investors) **committing to set up 'Seal-friendly' schemes**
- ✓ **Working Methods:** Regular meetings + IT platform SINAPSE

FOR JOINING : e-mail [RTD-SEAL-OF -EXCELLENCE@ec.europa.eu](mailto:RTD-SEAL-OF-EXCELLENCE@ec.europa.eu)



> **Membership as of March 2016: 134 members from 24 MS**

> Members only at **national level** (MSs):

CY; DK; EE; EL; FI; HR, HU, IE, LT; LV; NL, PL; RO; SE; SI; SK

Both national and regional level: AT (Carintia, Lower Austria); **BE** (Flander); **CZ** (South Moravia); **DE** (NRWestphalia, Berlin, Sachsen-Anhalt, NiederSachsen); **ES** (Aragon, Asturia, Galicia, Cantabria, Andalucia, Catalonia); **FR** (Centre, Alsace; Loire; Basse Normandie, Bretagne); **IT** (Puglia, Umbira, Piemonte, Trentino, Abruzzo, Emilia Romagna, Calabria, Lazio, Sicilia, Trentino); **PT** (Azore); **UK** (Scotland, Northern Ireland - Wales)

> HORIZON 2020 ASSOCIATED COUNTRIES (**NO**)

> PRIVATE FOUNDATIONS (IT) ; Funding agencies



CURRENT 'Seal'-friendly actions:

- **Targeted calls for 'Seal proposals' Phase 1**
(very soon: Lombardy, Spain, Vinnova-Sweden; Norway, ..)
- **Support service package for 'seal proposals'**
(Tekes-Finland , Norway,...)
- **Calls to support Phase 2 (grant/financial instruments)**
(soon: Italy nat. OP Southern regions, Lombardy, Poland, Trento, Cyprus..)

Links and documents

- **SYENRGIES and SEAL OF EXCELLENCE WEBSITE:**
<http://ec.europa.eu/research/regions/>
- **MORE INFO: email to:** RTD-seal-of-excellence@ec.europa.eu
- **Guide for authorities on synergies between ESIF and Horizon2020 and other EU programmes:**
<http://ec.europa.eu/research/participants/portal/desktop/en/opportunities/other/index.html>
- **Horizon 2020 regulations & rules for participation,**
http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html
- **Evaluation procedure of the SME Instrument**
http://ec.europa.eu/research/participants/portal/desktop/en/funding/sme_participation.html



Thank you for your attention!

DG Research & Innovation

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