



The EU Framework Programme for Research and Innovation

# HORIZON 2020

**SEWP and Seal of excellence: fostering synergies**

**Workshop "Aligning implementation of RIS3 and H2020  
Funding across research priorities"**



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**Head of Unit**  
**Brussels, 9 March 2017**

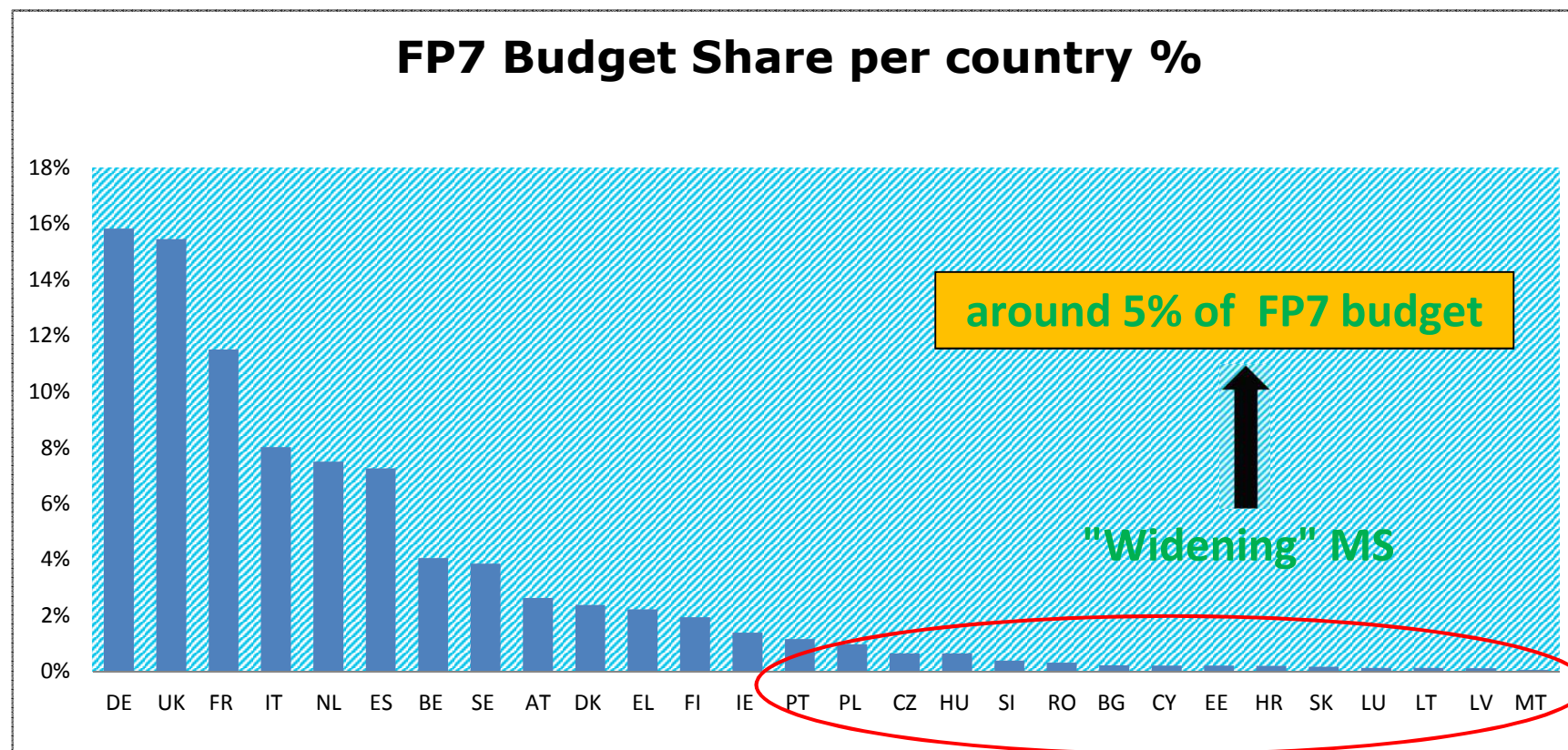


# **Fostering synergies with ESIF: the example of TEAMING**

# Background

- **Disparities in research and innovation performance: barrier to competitiveness, growth and jobs across Europe**
- **September 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**

# FP7 country participation



## 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, Armenia, Bosnia and Herzegovina, Faroe Islands, Former Yugoslav Republic of Macedonia, Georgia, Moldova, Montenegro, Serbia, Tunisia, Turkey and Ukraine



# 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 funds for R&I
- ❖ Increased effort in networking, communication and training

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



# Teaming in H2020

## Objective:

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

The Partnership (**minimum conditions**): 2 **parties** in each 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) not from the country of the coordinator

➤ **Implementation in 2 Phases**





## Teaming Phase 2

**Extract from the WP 2016-17 Phase 2:** *"Subject to the financial commitment for the project from other sources, the Commission may provide substantial financial support (max. €15 million) for the first steps of implementation (5-7 years) of the Centre covering administrative, personnel and operational costs as well as "minor" (1%) support for equipment and consumables."*

**Synergies with ESIF:** Teaming is a unique instrument that promotes synergies as it encourages the deployment of ESIF to cover the **complementary funding** for non H2020 costs of the CoE (i.e. infrastructure).

# **Teaming Phase 2 FIRST 10 FUNDED PROJECTS**



## **Key success factors**

- **Scientific and innovation potential of the CoE**
- **Growth impact for the CoE for the country/region**
- **Long term self-sustainability of the CoE**
- **Alignment with RIS 3 - Comparative advantages maximised (EVALUATION CRITERIA PH1)**
- **Long term financial commitments from relevant authorities (EVALUATION CRITERIA PH2)**
- **Solid partnership and strong engagement of partners**
- **Full autonomy in decision making for the new CoE**



## ERA Chairs

### 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.



## Twinning

### Objectives of the action :

- Strengthen a defined field of research in a university or research organisation from a Widening country by linking it with internationally-leading research institutions
- 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.



## **COST & Widening**

- Agreement on **Inclusiveness Target Countries (ITC)** aligned with Horizon 2020 **Widening countries**
- Contractual commitment to invest at least 50% of Horizon grants at the benefit of the research communities in ITC
- Capacity building e.g. by empowering ITC researchers to take over leadership roles such as actions chairs, vice-chairs, leading working groups
- Awareness raising and information campaigns (info days and workshops)
- Regular monitoring and reporting system
- CSO working group on Excellence and Inclusiveness
- Exchange of best practices and community building with beneficiaries of other widening instruments



## **POLICY SUPPORT FACILITY (PSF)**

Objective: Help MS "improve the design, implementation and evaluation of R&I policies"

On-demand services offered:

- (1) Peer Reviews of national R&I systems
- (2) Specific support to countries
- (3) Mutual learning exercises
- (4) PSF knowledge centre: <https://rio.jrc.ec.europa.eu/>

An orange ribbon-style logo with the text "SEAL OF EXCELLENCE" in white, flanked by two small white stars.

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# SEAL OF EXCELLENCE CERTIFICATES: NUMBERS AND DISTRIBUTION







		Total submitted	Above threshold	% of submitted	Funded	Funded as % of above threshold	SoE - Above threshold not funded	SoE - above threshold not funded as % above threshold	Success rate
Phase 1	18/06/2014	2,658	317	12%	155	49%	162	51%	6%
Phase 1	24/09/2014	1,943	237	12%	178	75%	59	25%	9%
Phase 1	17/12/2014	2,362	320	14%	259	81%	61	19%	11%
Phase 1	18/03/2015	1,569	251	16%	149	59%	102	41%	9%
Phase 1	17/06/2015	2,029	342	17%	128	37%	214	63%	6%
Phase 1	17/09/2015	1,872	336	18%	122	36%	214	64%	7%
Phase 1	25/11/2015	2,055	316	15%	175	55%	141	45%	9%
Phase 1	24/02/2016	1,995	330	17%	174	53%	156	47%	9%
Phase 1	03/05/2016	2,005	320	16%	166	52%	154	48%	8%
Phase 1	07/09/2016	1,938	365	19%	182	50%	183	50%	9%
Phase 1	09/11/2016	2,030	364	18%	176	48%	188	52%	9%
Overall Phase 1		22,456	3,498	16%	1,864	53%	1,634	47%	8%
Phase 2	09/10/2014	578	132	23%	60	45%	72	55%	10%
Phase 2	17/12/2014	629	180	29%	74	41%	106	59%	12%
Phase 2	18/03/2015	613	230	37%	37	16%	193	84%	6%
Phase 2	17/06/2015	962	357	37%	44	12%	313	88%	5%
Phase 2	17/09/2015	960	373	39%	33	9%	340	91%	3%
Phase 2	25/11/2015	1,090	425	39%	30	7%	395	93%	3%
Phase 2	03/02/2016	553	208	38%	47	23%	161	77%	8%
Phase 2	14/04/2016	969	450	46%	48	11%	402	89%	5%
Phase 2	15/06/2016	1,189	582	49%	56	10%	526	90%	5%
Phase 2	13/10/2016	1,378	710	52%	51	7%	659	93%	4%
Overall Phase 2		8,921	3,647	41%	480	13%	3,167	87%	5%
Total		31,377	7,145	29%	2,344	33%	4,801	67%	7%

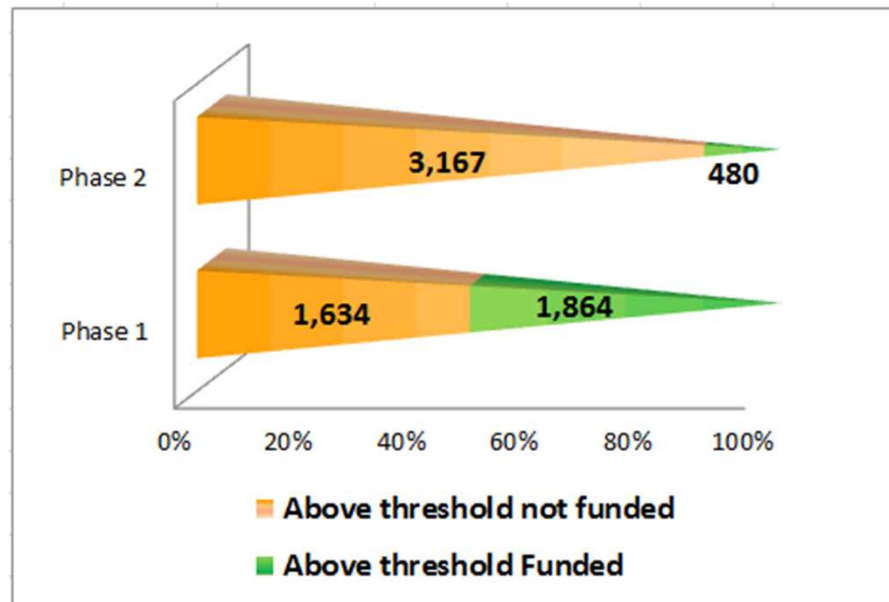
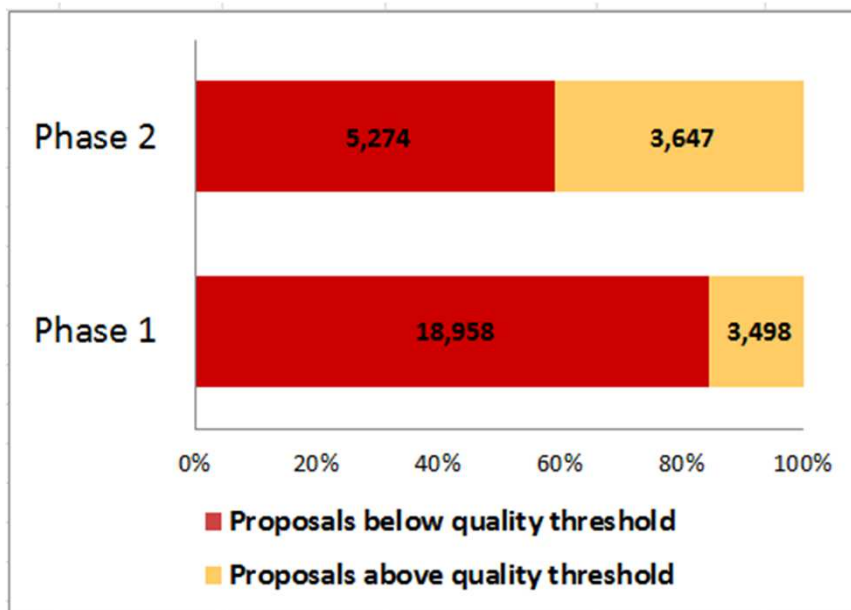
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## SME INSTRUMENT:

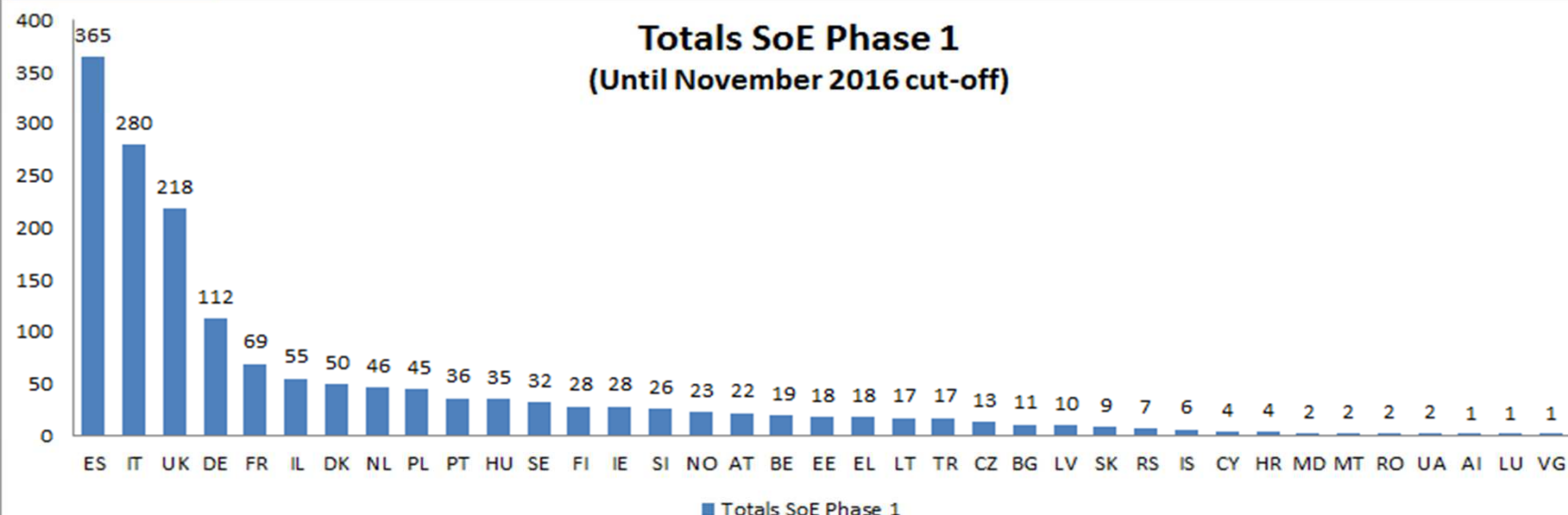
**HIGHLY POPULAR AND COMPETITIVE SCHEME**

**MANY DESERVING, FEW FUNDED...**

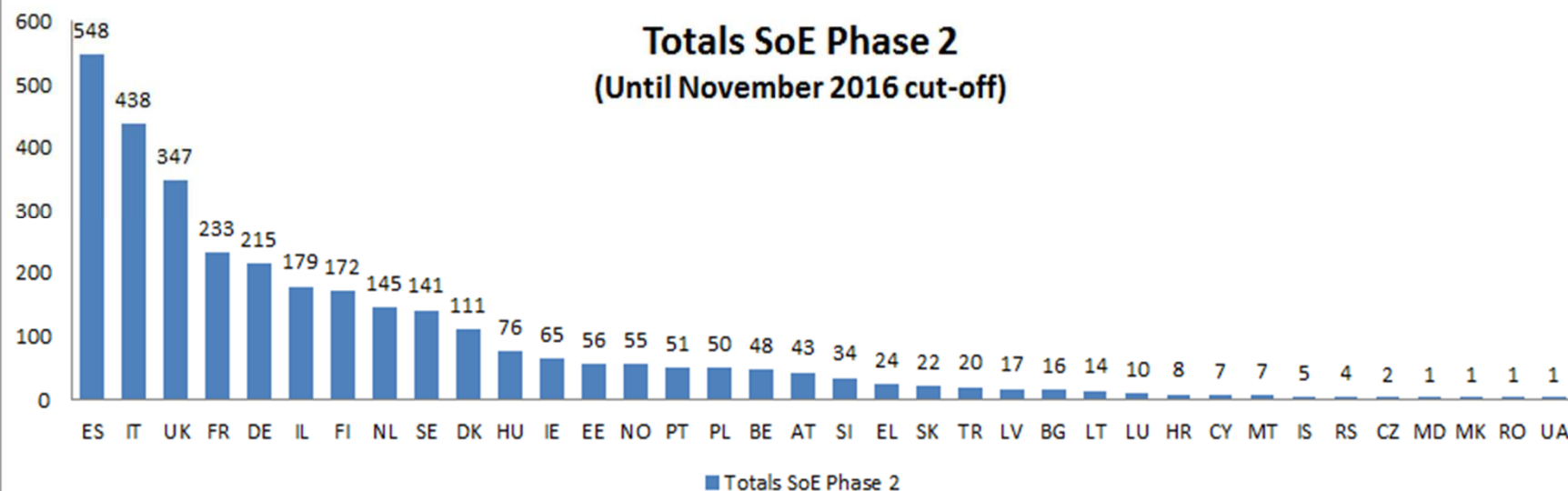




### Totals SoE Phase 1 (Until November 2016 cut-off)



### Totals SoE Phase 2 (Until November 2016 cut-off)



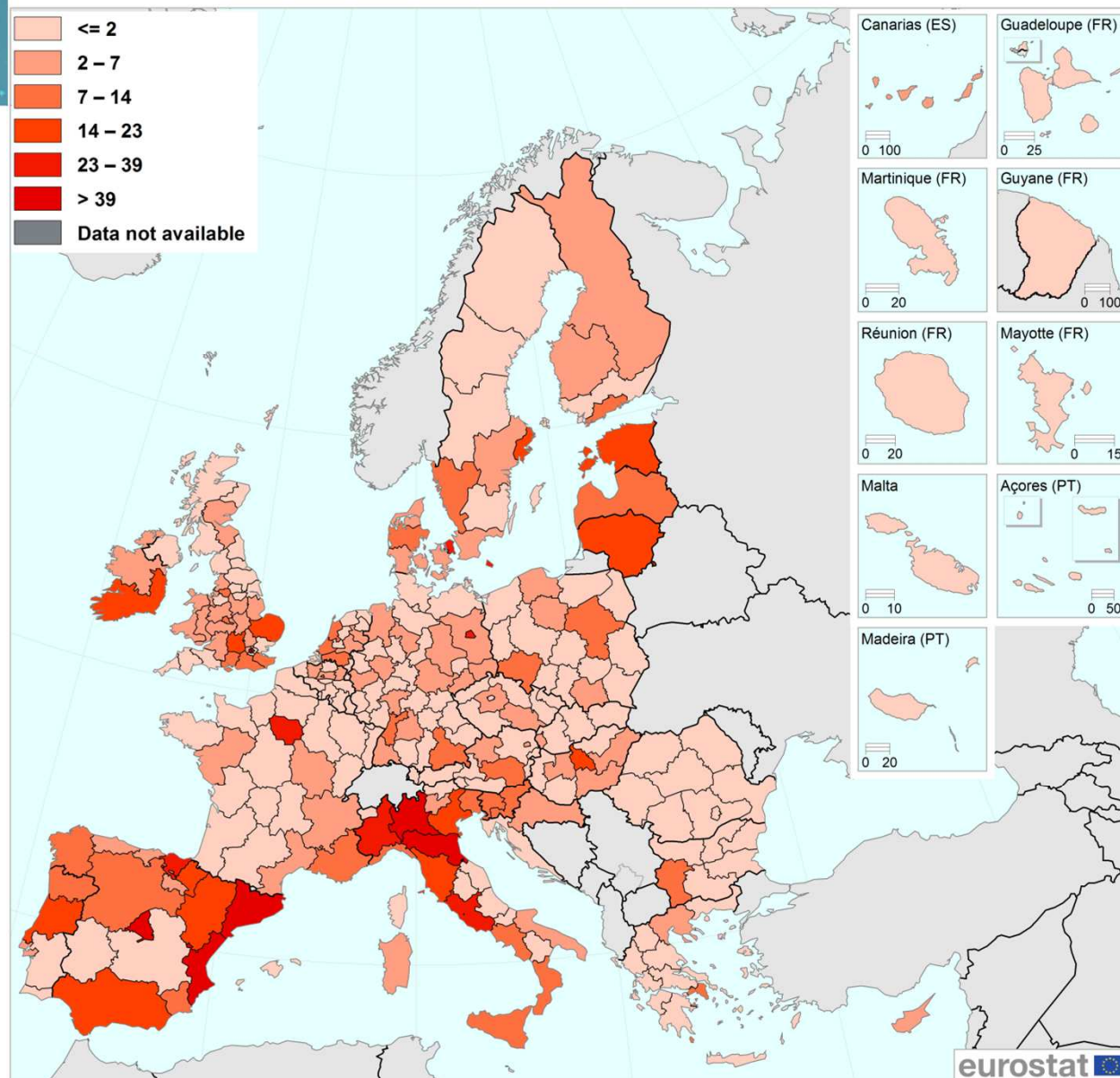


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# MAPPING SOE PHASE 1 DISTRIBUTION

## PROPOSALS AWARDED WITH THE 'SEAL OF EXCELLENCE' (EU28)

SME Instrument - Phase 1



Includes all cut-offs until November 2016

Administrative Boundaries: © EuroGeographics © UN-FAO © Turkstat  
Cartography: Eurostat — IMAGE, 20/12/2016

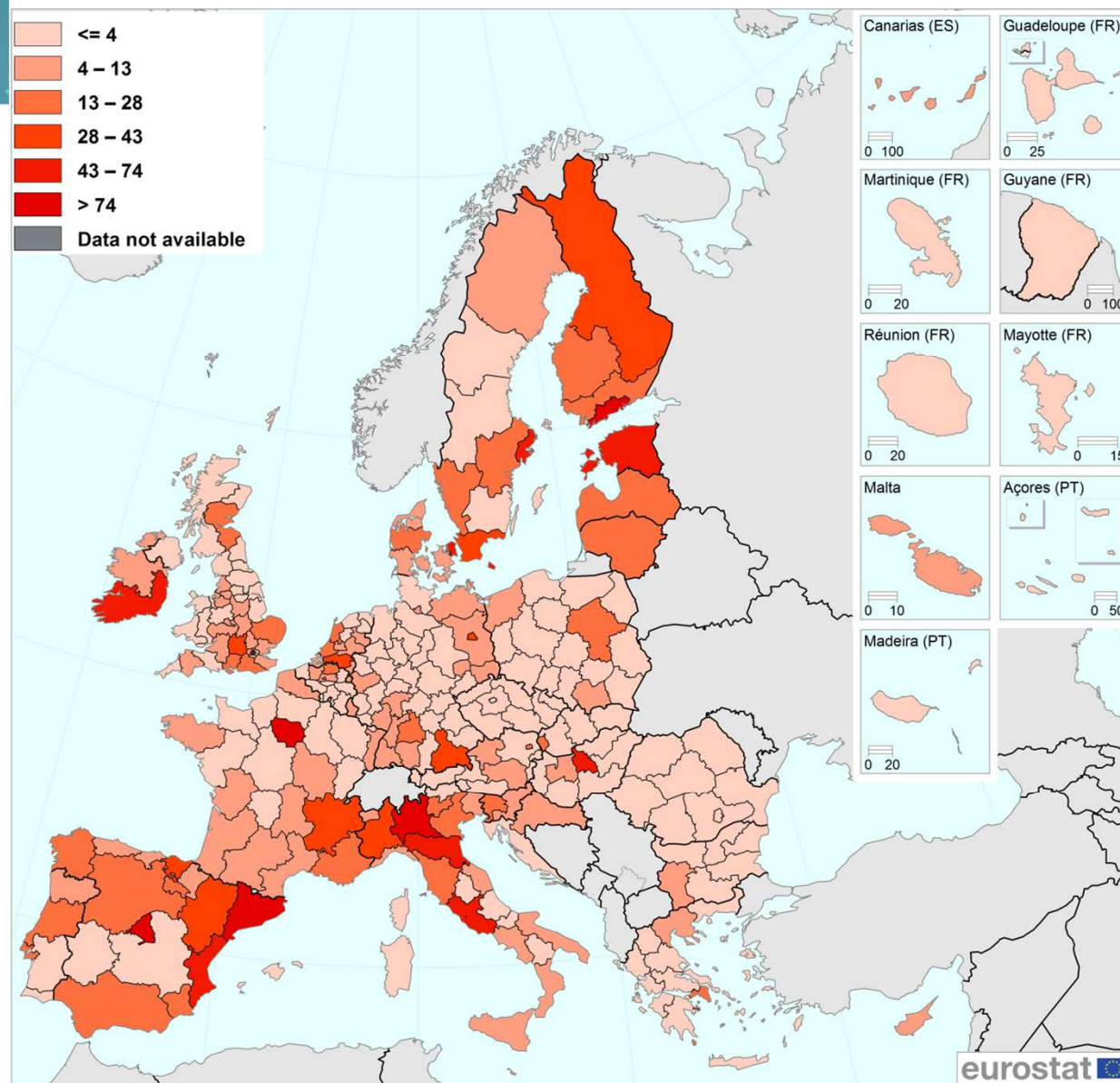
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# MAPPING SOE PHASE 2 DISTRIBUTION

## PROPOSALS AWARDED WITH THE 'SEAL OF EXCELLENCE' (EU28)

SME Instrument - Phase 2



Includes all cut-offs until November 2016

Administrative Boundaries: © EuroGeographics © UN-FAO © Turkstat

Cartography: Eurostat — IMAGE, 20/12/2016

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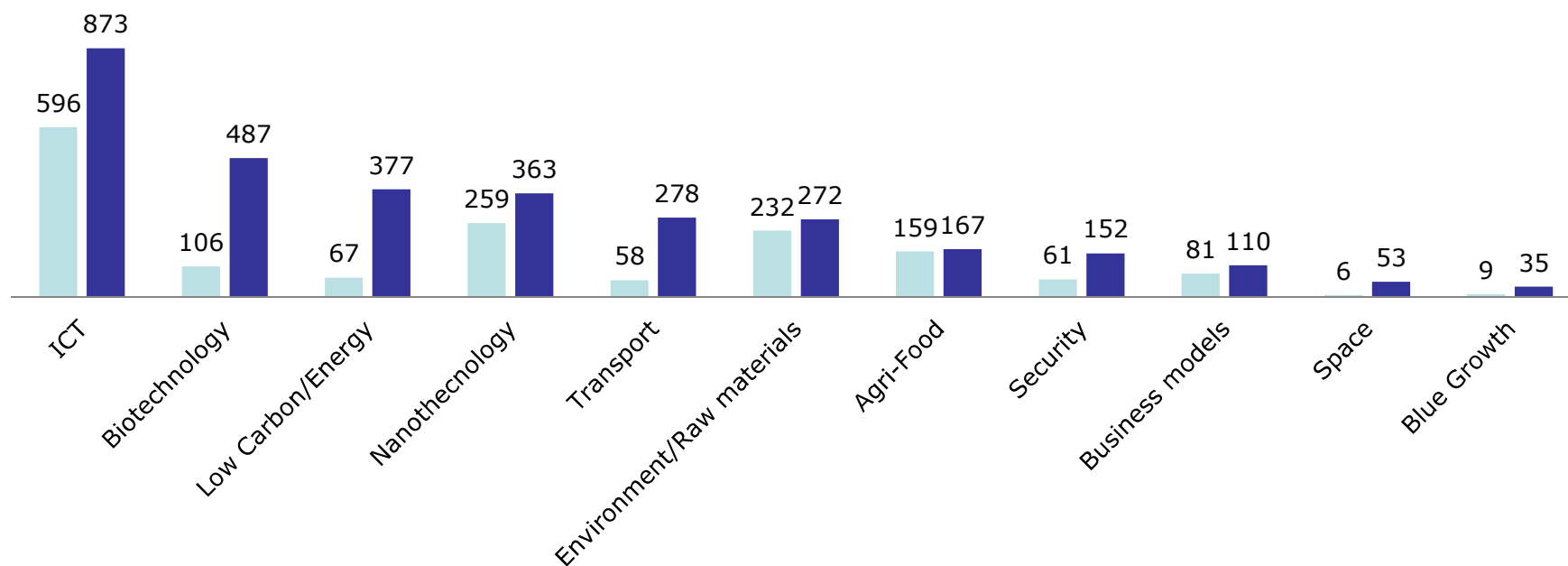
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## 'Seal of Excellence' proposals by Topic

Until November 2016 cut-off

Phase 1 Phase 2



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# MAPPING OF SEAL OF EXCELLENCE SUPPORT SCHEMES



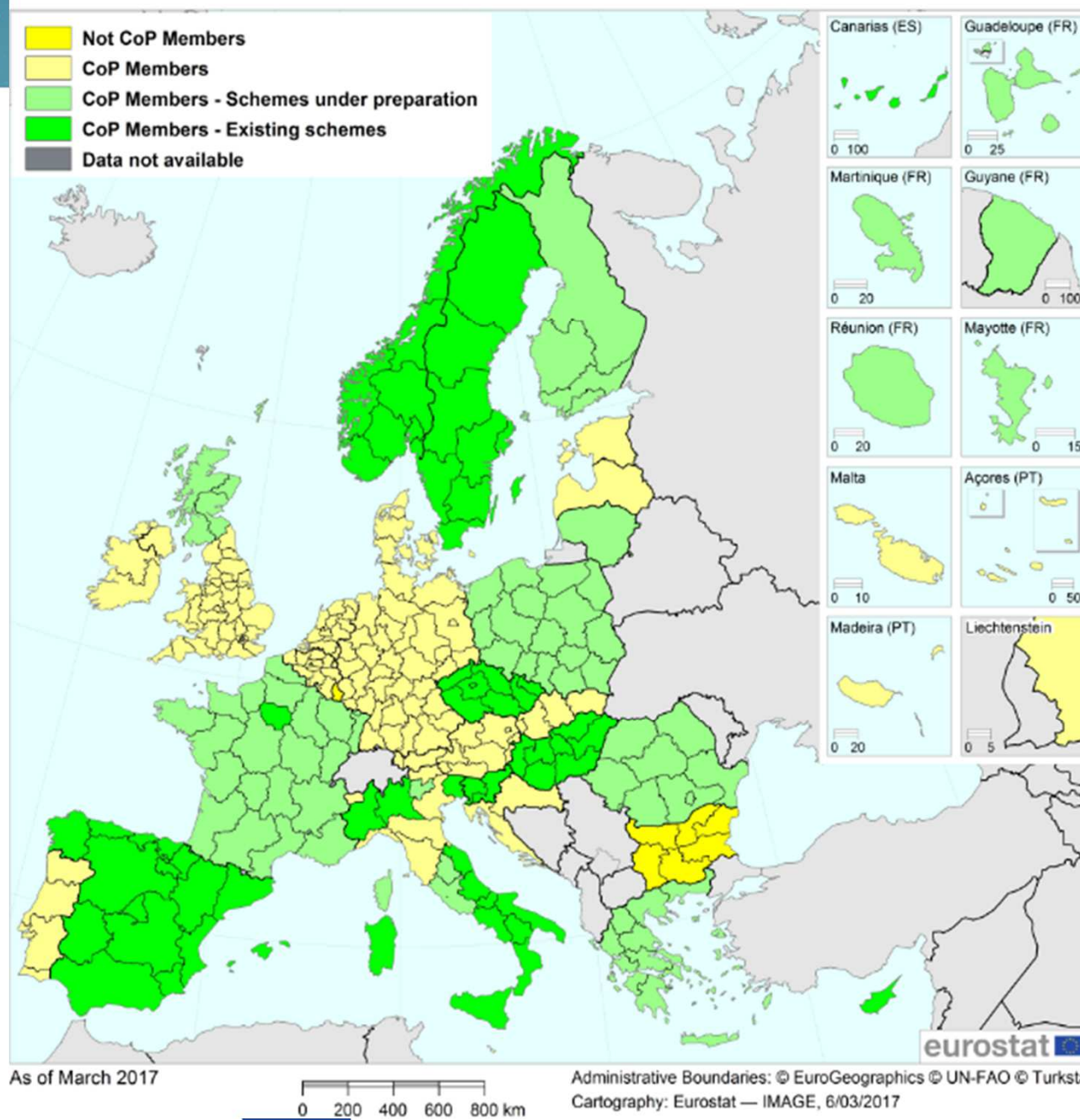


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# STATE OF PLAY OF SOE ALTERNATIVE FUNDING SCHEMES

## 'Seal of Excellence' Community of Practice (CoP)

State of play of SME Instrument alternative funding schemes







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# SCHEMES TO FUND SEALS

## Cyprus:

**2<sup>nd</sup> Opportunity;** A national scheme for SME Instrument Phase 1 and 2, MSCA and ERC SoE holders; ESIF; IT tool for applications' submission under final stage of development;  
**Expect to fund: 8 MSCA, 4 ERC, 10 Phase 1 and 2 Phase 2.**

**NEW!**

## Italy:

→ **Friuli-Venezia-Giulia** scheme for SoE holders through calls for Innovation, Cooperation and Partnerships.

→ **8 regions in the South:** Scheme for phase 2 SoE holders; Revolving fund; managed by the Ministry of Economic Development; The first call published in June 2016 and closed last October.

→ **Piemonte:** Scheme for phase 2; ESIF; Integrate SoE support in the most similar call, that is the Innovation cluster measure; Feedback on this first «soft» support will serve as a basis to decide possible new forms of support; The scheme targets SMEs but also large enterprises collaborating with SMEs; Single applicants or consortia (companies outside Piemonte are eligible); Grant; Min budget per project: 300k€ (600k€ if a large enterprise involved).

**NEW!**

**NEW!**





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## MORE SCHEMES...

→ **Marche region:** Regional grant for SME's who received the Seal; holders from Phase 2 can apply; ESIF; Eligibility criteria:

- SME's must be set up in Marche Region;
- Project should be in line with the regional S3;
- Only project of SME Instrument Phase 2 that received the Seal of Excellence.

**NEW!**

The grant will be: 45% for small and micro enterprises; 35% for medium enterprises.

→ **Lombardy region:** Voucher call; Regional funds; already **financed 15 phase 1** projects and 2-4 phase 1 and 2 already received through a broader call extra budget as award.

### Spain

→ PYME 2015 and 2016; National funds; already **financed phase 1, 189** SoE holders.

→ Madrid region: Scheme for phase 2; Verification of state aid rules. **NEW!**





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## AND MORE...

### France:

→ **Ile-de-France:** Scheme for projects with **a label from Regional Clusters and Seal holders**; Submission period: October 2016 - 31 January 2017; Results expected by the end of the year.

**NEW!**

### Slovenia

→ Scheme for **Phase 1** (published) for all past cut offs; 35 000 €; 15 applications received. **Phase 2** (envisaged publication: June 2017).

**NEW!**

### Sweden:

→ Vinnova with a scheme for **Phase 1** – Runner up – with **28 Seals already financed**; National funds; A consideration to fund **phase 2** from ESIF financial instruments later this year.





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## AND MORE...

**NEW!**

- **A national scheme** by the Technology Agency in Czech Republic will run for **phase 1** SoE holders within the GAMMA scheme; national funds; first call is expected end of March 2017 and close at the beginning of May 2017. The projects will receive 55% of the whole amount, which is approximately 39 000€. Results of the call will be published at the end of May 2017. Budget available for 40 projects.
- **New Brno scheme** under consideration for **phase 1**: companies from South Moravian region that received 12.00 – 12.99 points will have the possibility to apply for funding. Funding won't be automatic: A hearing with experts will take place who they will decide in each case if the project is to be funded or not. Still in process of negotiation with the City of Brno.
- OP RDE: Pre-final stage of a call to support **MSCA-IF projects**. Call expected in April 2017; Focused on projects from MSCA- IF calls in 2015 and 2016, which are on no-money lists. The programme authorities will use the Seal principle but they are planning to support all projects from no-money list and not only those that have received the seal (it is a wider group than the seals).





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## AND MORE...

### Poland

**NEW!**

→ A support scheme for **Phase 1** is under development by the Polish Agency for Enterprise Development (PARP); Two pilots are planned: 1st to cover all 2014-2016 cut-offs; 2nd pilot to cover only two cut-offs in 2017; 35 potential applicants; P1: March 2017; P2: September 2017.

Norway & Hungary: Schemes for **phase 1**.

### Work in progress

**UK – Scotland**, interest expressed by Belgium (**Flanders**) for phase 1, **Trento, Lombardy** for a phase 2 scheme, **Sweden** for phase 2, **Finland** will explore the opportunities that may be offered by the European Fund for Strategic Investments, **Greece** is preparing a scheme for phase 1& 2 and **Lithuania. Slovakia** is finalizing the Call for proposal to support the successful Teaming project but support in this call will be available also for the projects with Seal of Excellence. The call expected the following weeks.

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European  
Commission

# COMMUNICATION ACTIVITIES

- New website
- Newsletter to promote YOUR schemes!



- YouTube videos



VIDEO: See how the **#SealofExcellence** helped this Czech **#SME** to find alternative funding! [youtube.com/watch?v=QfCxSN...](https://www.youtube.com/watch?v=QfCxSN...)  
**#H2020**



**The Seal of Excellence – A story from the Czech Republic**  
When Jan Neuman, co-founder of NenoVision, applied for Horizon 2020's SME Instrument he passed the quality threshold but was not selected for funding. Instead...  
[youtube.com](https://www.youtube.com)





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#SealofExcellence

## SOCIAL MEDIA

- *Don't hesitate to share!*
- *Posts via @EU\_H2020 & #SealofExcellence*



**Luis Guerra CDTI** @LGuerra\_CDTI · 20h

Flying yo Dublin for our last peer learning Wshop of #SMESealing. Looking x ways yo add tangible value to the #SealofExcellence.



**KPK PB UE** @kpk\_pl · 14 Nov 2016

Warsztaty dotyczące #sealofexcellence w ramach projektu #inno\_lab z udziałem @NAUKA\_GOV\_PL @MR\_GOV\_PL @NCBR\_pl @parpgovpl @kpk\_pl



**Secapp**  
@secapp\_fi

Secapp got a "Seal of Excellence" from @EU\_Commission in the area of Open Disruptive Innovation Schemes. #publicsafety #communication



**Cluster Marche** @Cluster\_Marche · Feb 17

#sealofexcellence Nuovi aiuti alle imprese marchigiane @UnivPoliMarche @RegioneMarcheIT univpm.it/Entra/Engine/R...



**Fieldify.io** @GetFieldify · Aug 4

We proudly announce that Fieldify recieved a #SealofExcellence by the @EU\_Commission: [goo.gl/veQ5wa](https://goo.gl/veQ5wa)





HORIZON 2020



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Thank you





## PSF & Widening Countries

### Peer Reviews:

- Peer Review of Hungary, Moldova, Ukraine and Latvia
- **Specific Support:**
  - Malta: Best tools to monitor and evaluate the implementation of the national R&I strategy
  - Slovenia: Internationalisation of science and higher education policies, and on impact of R&I investments
  - Slovakia: Framework conditions for start-ups/High Growth Innovative Enterprises
  - Romania: How to design and implement reforms for stimulating innovative entrepreneurship
  - Lithuania: How to increase value added of innovation in traditional industries and attract investments in science and innovation

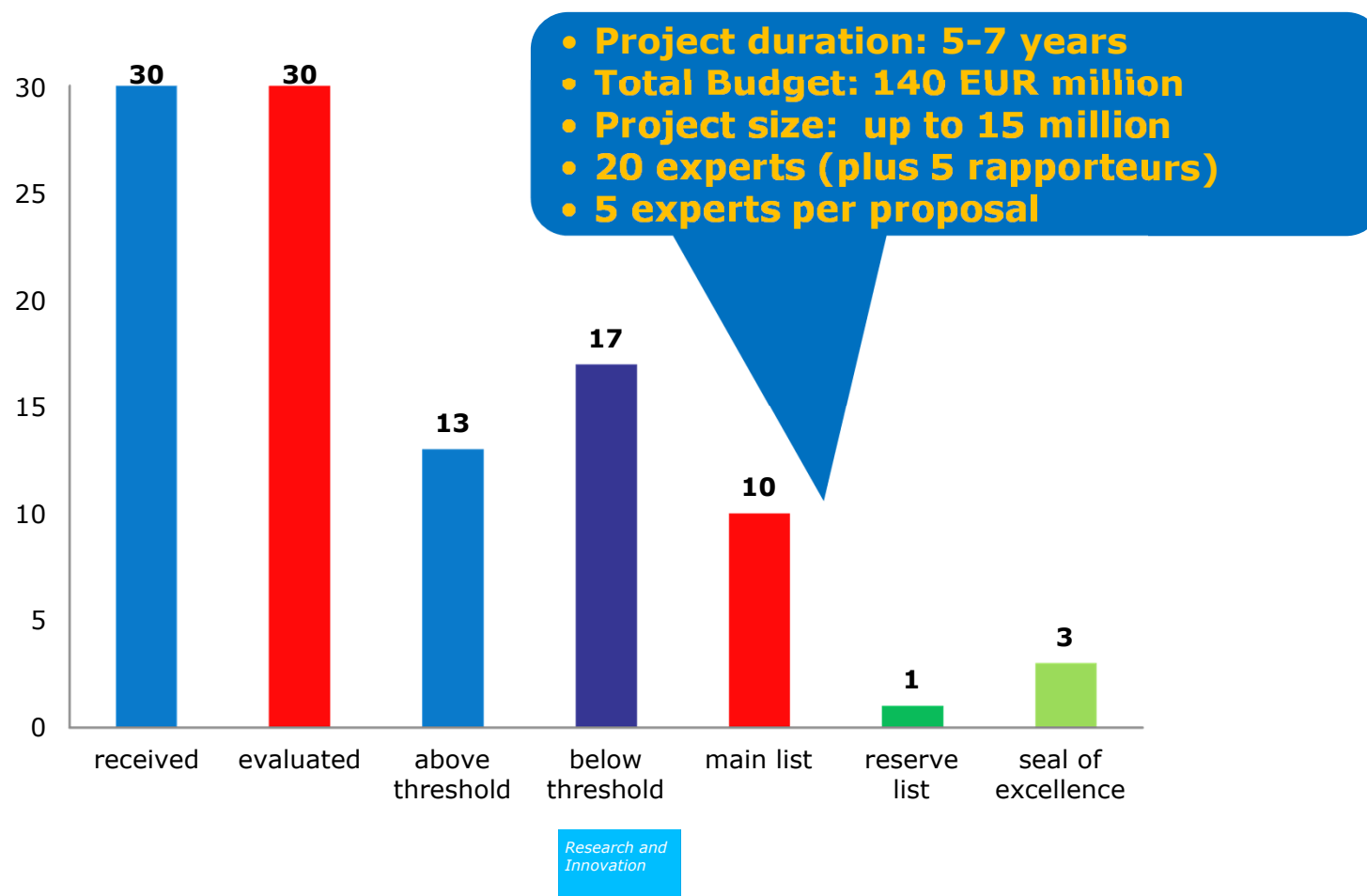
## 2014-15 Calls - State of Play

Action	Year	Type	Budget (M)	EU Grant Size (M)	Proposals	Projects	Success rate	Duration
<b>Teaming Phase 1</b>	<u>2014</u>	FPA CSA	14,2	0.2 - 0.5	169	31	18%	1 year
<b>Teaming Phase 2</b>	<u>2016</u>	CSA	135	15	31	10	33%	5-7 years
<b>ERA chairs</b>	<u>2014</u>	CSA	33,6	max 2.5	88	14	16%	5 years
<b>Twinning</b>	<u>2015</u>	CSA	66,24	1	553	67	12%	3 years

## 2016-17 Calls Overview

Action (call identifier)	Teaming Phase 1 WIDESPREAD-04-2017	ERA Chairs WIDESPREAD-03-2017	Twinning WIDESPREAD-05-2017
Opening	28 July 2016	12 April 2017	11 May 2017
deadline	15 Nov 2016	5 Oct 2017	15 Nov 2017
Budget	EUR 12 million	EUR 34 million	EUR 20 million
Info to applicants	Mar-Apr 2017	Mar 2018	Mar-Apr 2018
Grant size	EUR 400 000	EUR 2.5 million	EUR 1 million
Grant duration	12 months	60 months	Up to 36 months
Type of Grant	CSA	CSA	CSA

# Teaming Phase 2 call stats



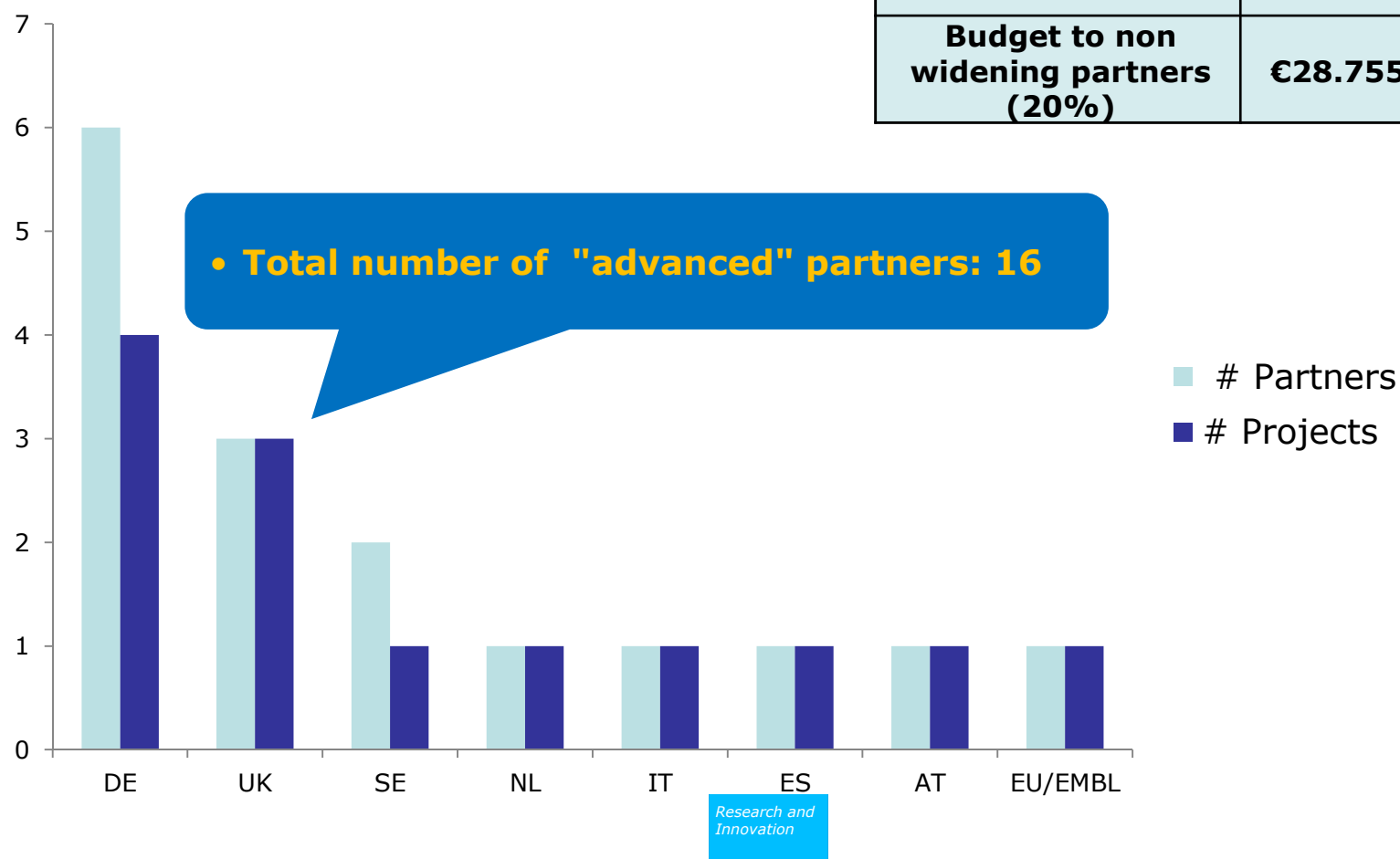
## Statistics - country of coordinator

	Country	Proposals	Retained for funding
1	BG	2	1
2	CY	3	1
3	CZ	3	1
4	EE	2	0
5	HU	2	2
6	LT	1	0
7	LV	1	1
8	MT	1	0
9	PL	3	0
10	PT	4	1
11	RO	1	0
12	RS (AC)	1	1
13	SI	2	1
14	SK	4	1
	<b>Total</b>	<b>30*</b>	<b>10</b>

- \* Even though 31 proposals participated in Phase 1, one proposal did not submit to Phase 2
- Successful Proposals from 9 different countries
- Higher success rates for Hungary, Latvia, Serbia
- 6 upgraded & 4 new CoE

# Successful proposals: "advanced" partners

Budget to widening partners (80%)	€111.082.892,25
Budget to non widening partners (20%)	€28.755.173,75



# Successful proposals: Thematic domain

