



Policy Instruments to Widening Participation and Ensuring Synergies

S2E event, Warsaw, 27/04/2016

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The Horizon 2020 logo, featuring a globe in the center with the text "HORIZON 2020" in large, white, sans-serif capital letters. The globe is positioned between the letters "O" and "N" of "HORIZON". The background is a blue gradient with light rays emanating from behind the globe.

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**

Teaming

- 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, 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)

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 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)

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	

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, etc.);
- Include a plan to increase **Research Capacity** - if infrastructures foreseen present a strategy for funding (including possible from 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** for **infrastructures and research costs!**

ERA Chairs Call 2017:

Budget: €33.91 million

Call publication: 14 October 2015

Call opening: 12 April 2017

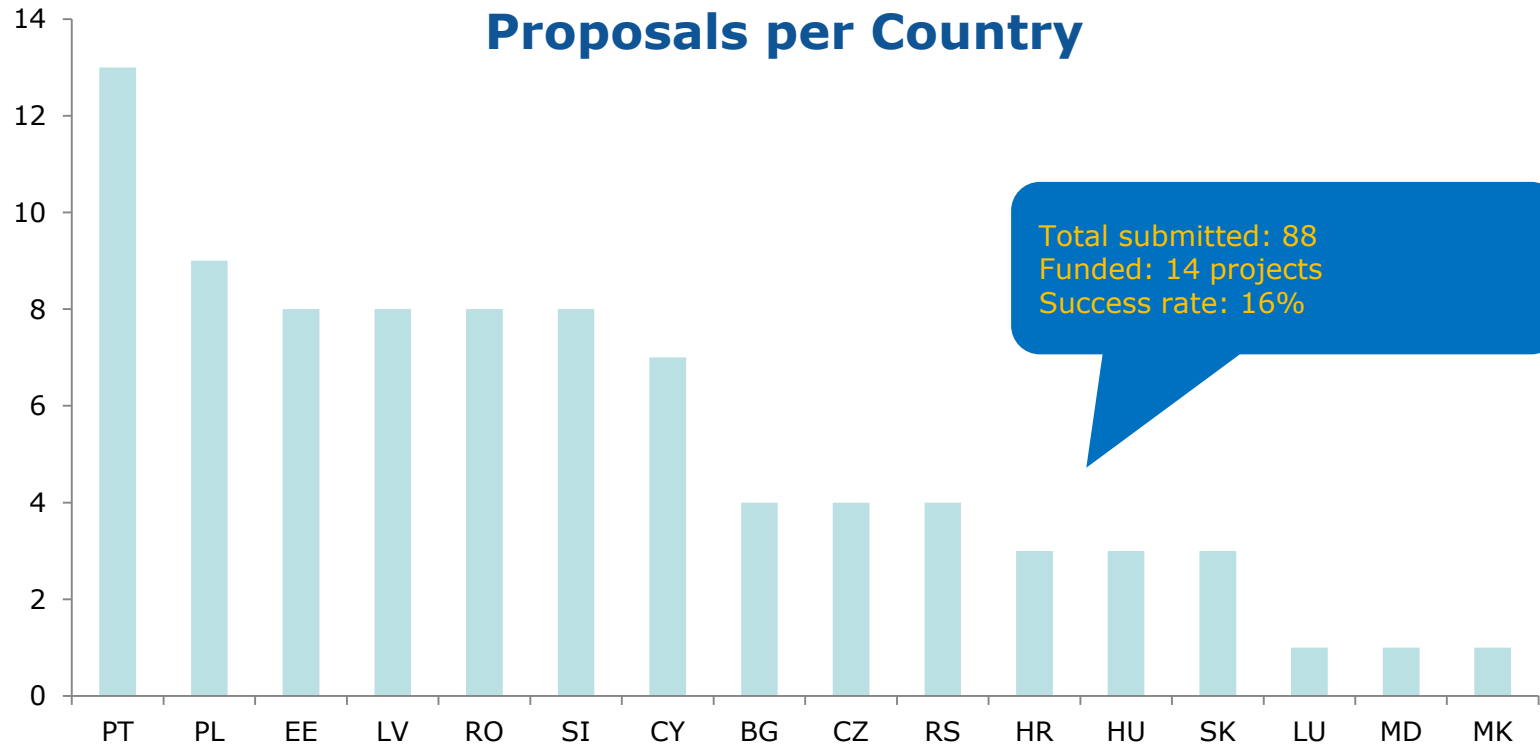
Call deadline: 5 October 2017

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

Project Duration: up to 5 years (eligibility condition)

Implementation: Coordination and Support Action

ERA Chairs: 2014 call statistics



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**.

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;
- Dissemination and outreach activities.

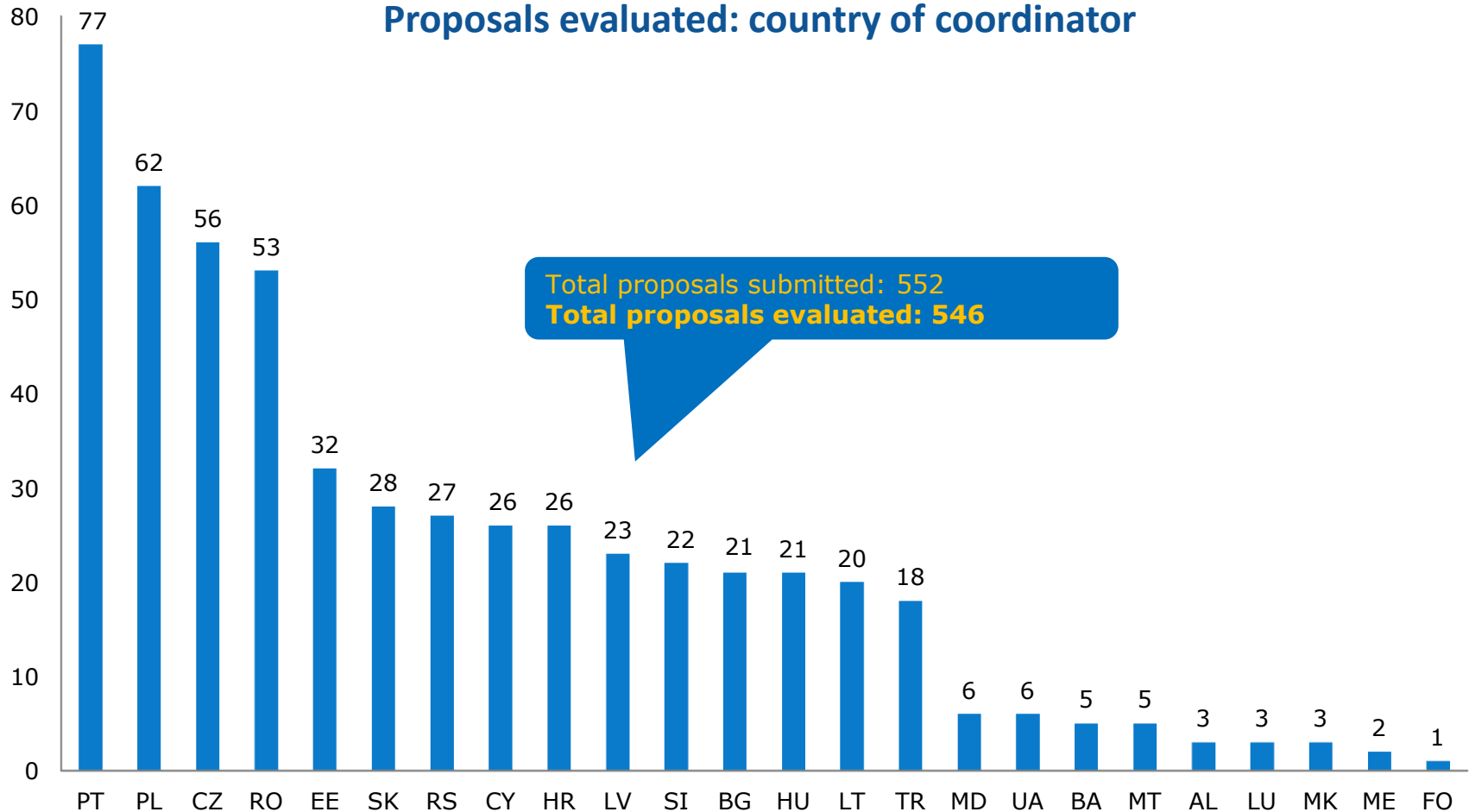
Infrastructure, equipment & research costs will NOT be funded.

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

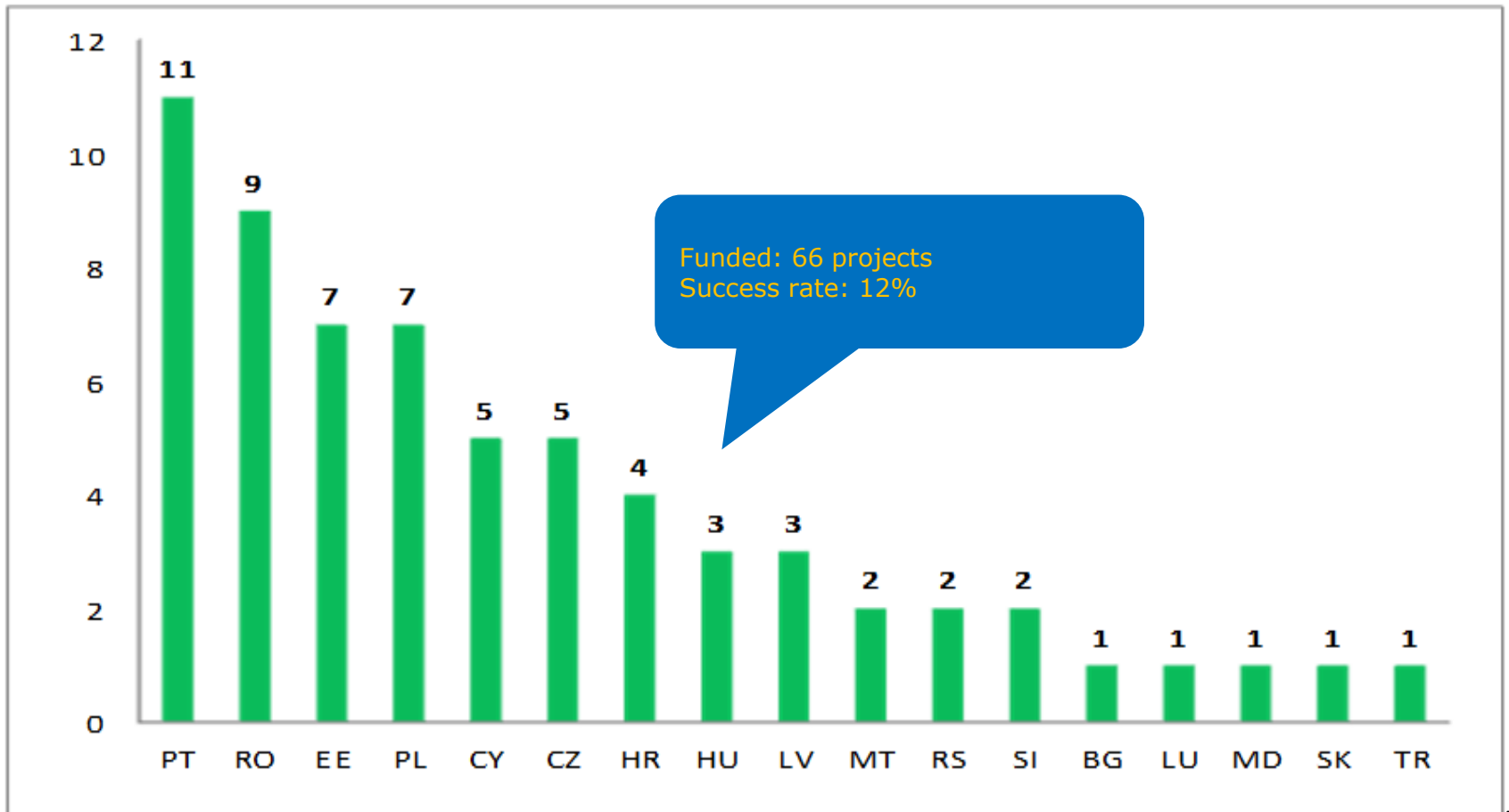
Twinning: 2015 call statistics

Proposals evaluated: country of coordinator



Twinning: 2015 call statistics

Successful Proposals: country of coordinator



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.

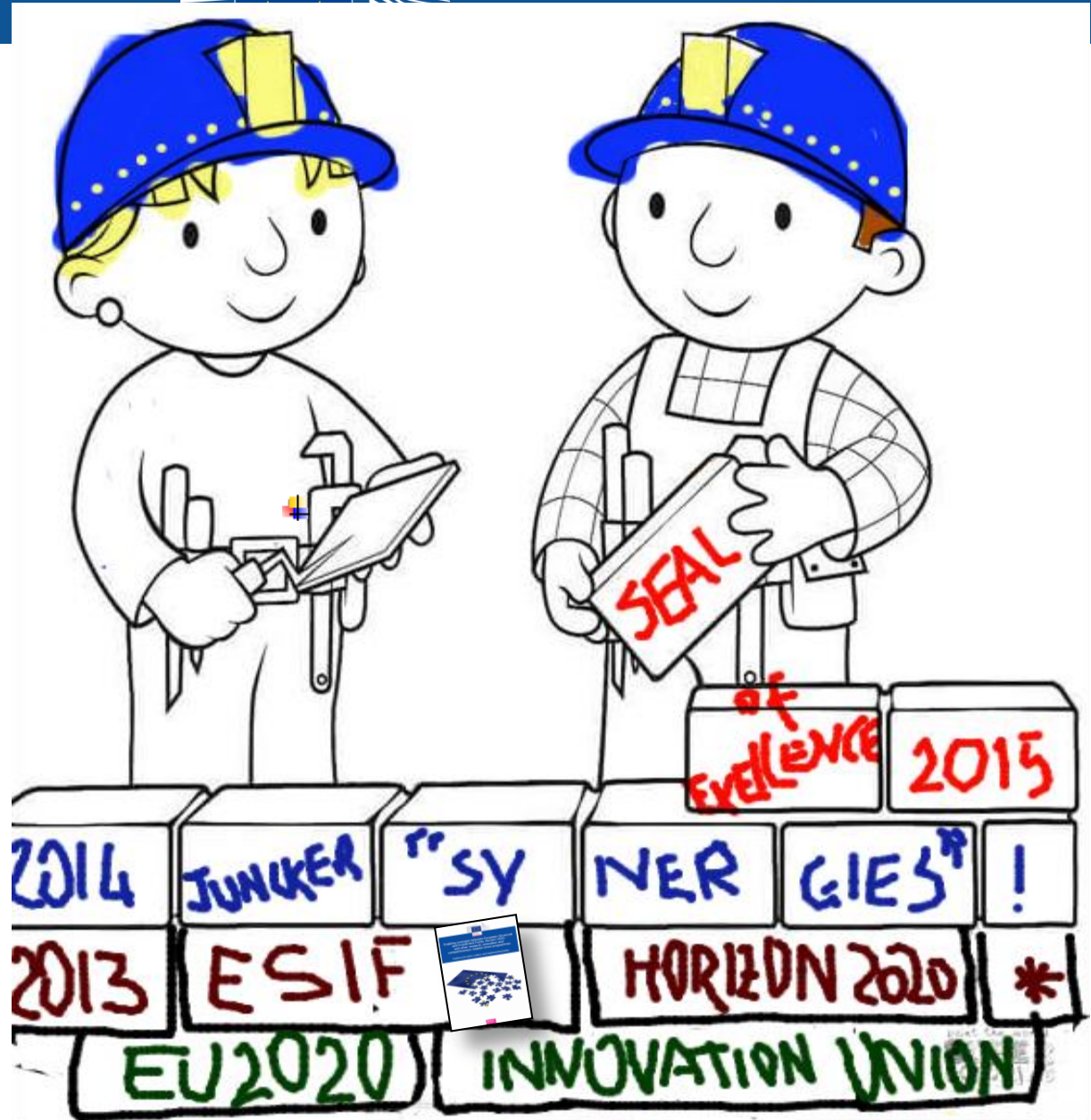


**BUILDING
SYNERGIES
TO MAXIMISE
QUANTITY,
QUALITY AND
IMPACT OF
RESEARCH AND
INNOVATION
INVESTMENTS
FOR JOBS AND
GROWTH**

**POLITICAL
MANDATE ->**

LEGAL BASIS ->

COMMITMENT ->

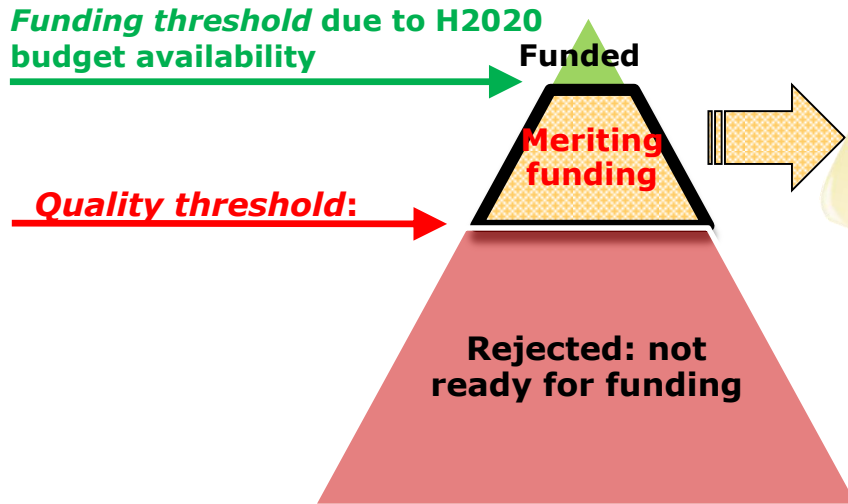


THE SEAL OF EXCELLENCE

Key Features



Horizon 2020 evaluation:



Excellent proposals receive the SEAL OF EXCELLENCE certificate

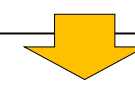


Pilot using the SME Instrument

- ✓ 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:

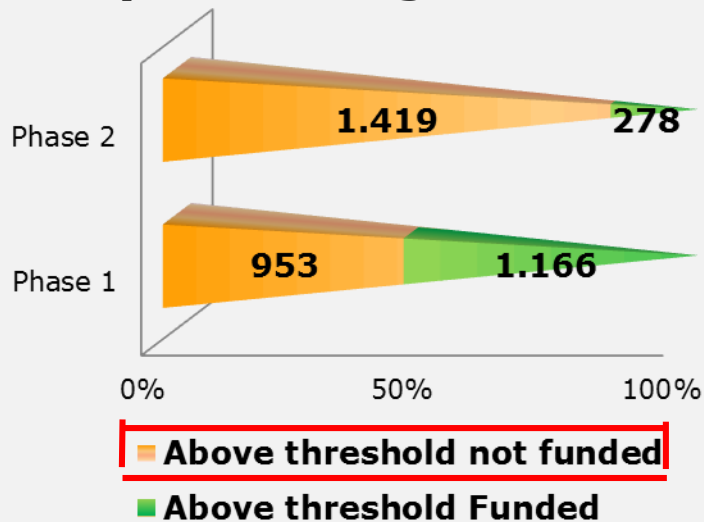
- Awarded to ALL** qualifying SME instrument **PROPOSALS**
- Downloadable** only by the SME/s from 'My area' in Participants Portal
- Informs**
- Builds reputation**
- Explains**
- Shows political committment**
- Fraud-proof**
- Accompanying letter**

The SME INSTRUMENT AND THE SEAL: Who - When

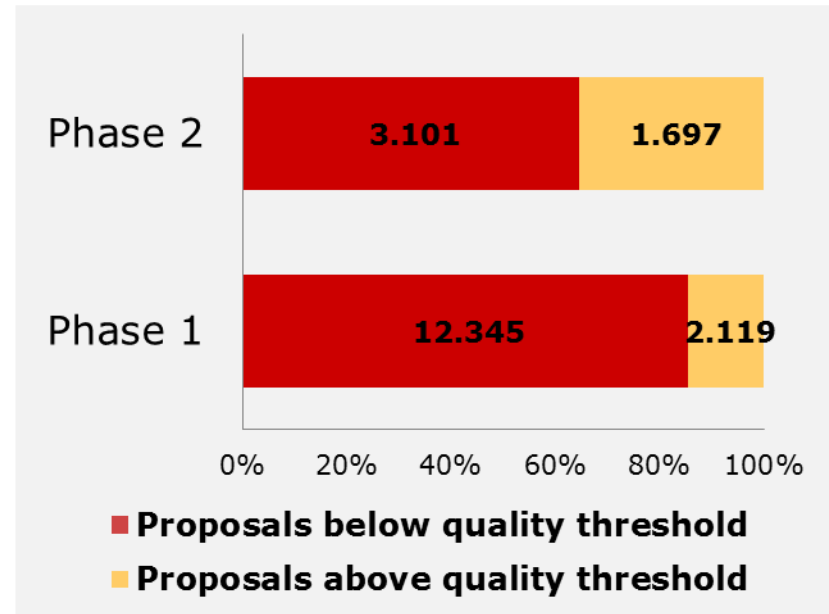


Highly popular: 14 464 (Phase 1); 4798 (Phase 2)

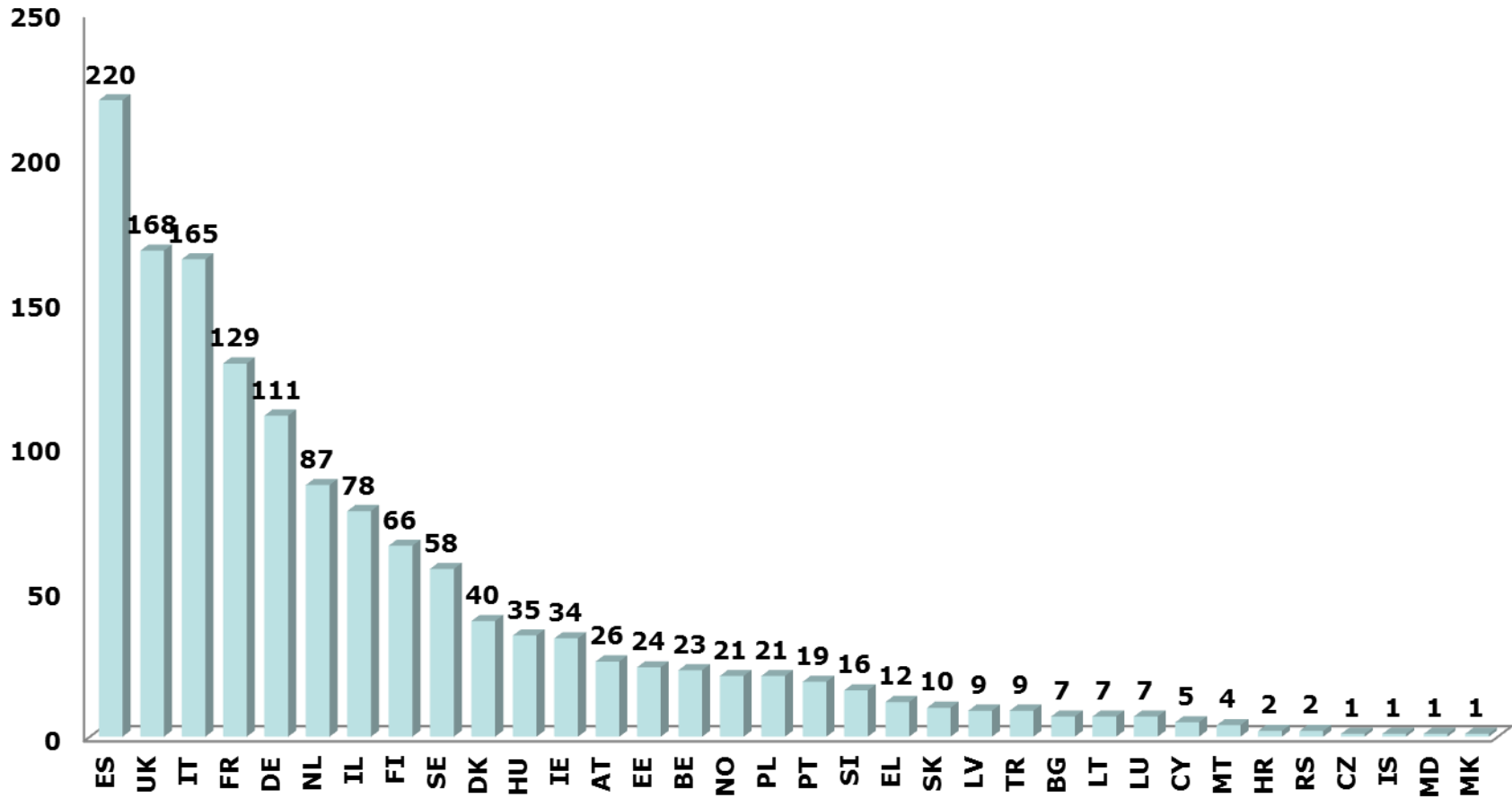
Many deserving, few funded:



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)

- > SoE are excellent projects, not left-overs from Horizon 2020 (strict criteria, international panel, transparent and competitive evaluation)
- > 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

- **RAISED INTEREST**
- **INDUCED RECIPROCAL KNOWLEDGE**
- **FAVOURED CROSS-FERTILISATION**
- **CONCRETE ISSUES -> CONCRETE SOLUTIONS:**
 - CALL DESIGN -> **clarity and simplification (DG REGIO)**
 - INFORMATION GAP -> **aggregated data available on request**
 - STATE AID -> **discussion channel with DG COMP opened**

NB: Funding of Seal of excellence proposals under ESIF (and compliance with State rules) IS POSSIBLE! We try to make it even smoother



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..)



NORWAY

The national fallback will require SMEs to apply for the SMEI and score above threshold to be eligible for the national scheme. The national scheme will only fund enterprises above the threshold which do not receive EU-funding to minimize administrative cost and to avoid a new application for the national fallback. SMEs only need to forward the SMEI application documents from the European level. The national scheme will perform a check that the applicants satisfy the criteria for financing. As the national support scheme is based on the grants will be provided as defined in the national regulations accordingly. The SMEs will

receive a maximum grant rate EUR 50.000 and the same level of coaching as they would have been if funded from SMEI. The coaching services will be provided by the Enterprise Europe Network as well as by the advisory apparatus of Innovation Norway.

Finland

Finnish proposals with the Seal of Excellence will receive support from TEKES

Tekes - the Finnish Funding Agency for Innovation recognizes the Seal of Excellence as a proof of an innovative business venture with a very high potential. Tekes actively scrutinizes the Finnish SMEs which have received the Seal. On a case-by-case basis, it seeks to build a tailor-made national funding and service package which can in the best possible manner substitute for the Horizon funding.

Italy

The Region of Lombardy issues vouchers for SMEs that were positively evaluated (but not funded) under Phase 1 of the Horizon 2020 SME Instrument

The Region of Lombardy issues vouchers with the value of €25 000 for those SME applicants that were positively evaluated in Phase 1 of the SME instrument under Horizon 2020 but not funded due to budgetary reasons. Such SMEs from the Lombardy Region are encouraged to apply under a SME Voucher R&I Call at regional level, submitting the same SME Instrument - Horizon 2020 proposal and related Evaluation Summary Report provided by the European Commission.



- **CONTINUE STRONG COMMUNICATION CAMPAIGN:**
 - EEN 8/02; SME NCPs 17/02; thematic NCPs, S2E events, etc.
 - EURADA, ERRIN, Business Europe and other stakeholders
- **MONITORING PROGRESS:** feedback from SMEs & MAs
- **EXPLORING TO EXPAND TO OTHER ACTIONS: Widening (TEAMING, ERA CHAIR), MSC, ERC proof of concept,**

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

HORIZON 2020