Spreading Excellence and Widening Participation
2016-17 calls: Teaming, Twinning and ERA Chairs

HORIZON 2020: OPPORTUNITIES FOR COOPERATION 26.9.2016 – Adeline KROLL

Llubjana, 26/09/2016
Background

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

- Some countries experience low participation in the EU Framework Programmes because of:
  - 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

FP7 Budget Share per country %

"Widening" MS
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
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
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, 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/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></th>
<th>Proposals received</th>
<th>Proposals funded</th>
<th>Advanced partners (proposals received)</th>
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<tbody>
<tr>
<td><strong>Member States</strong></td>
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<tr>
<td>1 Bulgaria</td>
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<td>AT, DE, CH, IT, UK</td>
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<tr>
<td>5 Estonia</td>
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<td>ES, FI, UK</td>
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<tr>
<td>6 Hungary</td>
<td>9</td>
<td>3</td>
<td>AT, BE, DE, ES, NL, UK</td>
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<tr>
<td>7 Latvia</td>
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<td>8 Lithuania</td>
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<td>9 Luxembourg</td>
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<td>0</td>
<td>FR</td>
</tr>
<tr>
<td>10 Malta</td>
<td>5</td>
<td>1</td>
<td>DE, NL</td>
</tr>
<tr>
<td>11 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>12 Portugal</td>
<td>9</td>
<td>4</td>
<td>AT, BE, DE, NL, UK</td>
</tr>
<tr>
<td>13 Romania</td>
<td>24</td>
<td>1</td>
<td>AT, BE, CH, CZ, DE, DK, ES, IE, FR, IL, IT, HU, NL, PT, SE, UK</td>
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<tr>
<td>14 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>15 Slovenia</td>
<td>11</td>
<td>2</td>
<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>1 Albania</td>
<td>1</td>
<td>0</td>
<td>ES</td>
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<tr>
<td>2 Faroe Islands</td>
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<td>0</td>
<td>DE, UK</td>
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<tr>
<td>3 Montenegro</td>
<td>1</td>
<td>0</td>
<td>IT, SL, RS</td>
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<tr>
<td>4 Serbia</td>
<td>15</td>
<td>1</td>
<td>CZ, DE, EL, ES, IE, IT, NL, PL, SL, UK</td>
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<tr>
<td>5 Turkey</td>
<td>2</td>
<td>0</td>
<td>AT, DE, EL, IT</td>
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<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: 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
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:** 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

Proposals per Country

Total submitted: 88
Funded: 14 projects
Success rate: 16%
ERA Chairs 2014 call – Successful proposals

<table>
<thead>
<tr>
<th>Institution Country</th>
<th>Proposals per Country in the main list</th>
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<tbody>
<tr>
<td>PT</td>
<td>4</td>
</tr>
<tr>
<td>EE</td>
<td>4</td>
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<tr>
<td>CY</td>
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<tr>
<td>PL</td>
<td>2</td>
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<tr>
<td>HR</td>
<td>1</td>
</tr>
<tr>
<td>RO</td>
<td>1</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>14</strong></td>
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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: 66 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
Adeline KROLL