



HORIZON EUROPE
THE NEXT EU RESEARCH & INNOVATION
PROGRAMME (2021 – 2027)

Strengthening the European Research Area

#HorizonEU

From "Widening"
to "Sharing Excellence"

IGLO meeting - Brussels 4 September 2018
Magda De Carli, DG RTD, Unit B.5
Head of Unit



Research and
Innovation

Horizon 2020

Spreading Excellence and Widening Participation ("Widening")



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

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 ~ **€ 900 million**

Teaming in H2020

Objective:

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

The Partnership: 2 parties in each Teaming project

- (1) the COORDINATOR from the "Widening" country
- (2) an institution with an international reputation in R&I excellence (from all EU28 or AC)

➤ **Implementation in 2 Phases**

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 & Activities

Proposals:

- Scientific **strategy for excellence and innovation** with proposed formulation of joint **new/ongoing research project(s)** in a defined area of research ;
- Outline the scientific qualities of the **partners**;
- Focus on promoting **early stage researchers** (dedicated Work Package).

NEW
MEM

NEW
MEM

Activities supported:

- Short term staff exchanges; expert visits and short-term training; workshops; conference attendance; dissemination, networking and outreach activities.

Infrastructure, equipment & research costs (except for training) will **NOT** be funded.

ERA Chairs - Objectives

Objectives of the action:

- Create the appropriate conditions and 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 in the field of research but connected with the ERA Chair holder expertise to fully capitalise on his/her presence;
- Measures to foster structural changes for excellence including compliance with 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).

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, **minor part of budget for equipment and consumables**;
- The grant will not cover infrastructure costs.

Widening call 2014-2017 results

	Proposals submitted	Projects funded	Call Success Rate	Project Size
Twinning 2015	552	67	12%	€1 mil.
Twinning 2017	482	30	6%	€1 mil.
ERA Chairs 2014	89	14	16%	€2.5 mil.
ERA Chairs 2017	100	13	13 %	€2.5 mil
Teaming Phase 1 2017	208	30	14%	€0.4 mil.
Teaming 1&2 combined (2014+2016 calls)	169	11	6.5%	€15 mil. €0.5 mil.
TOTAL/ AVERAGE SUCCESS RATE	1604	165	10%	-

Budget Breakdown – Widening vs. non-Widening

Budget Distribution	Widening	Non-Widening
ERA Chairs 2014	34.024.659 €	0
ERA Chairs 2017	32.454.580 €	0
Twinning 2015	31.669.789 €	34.612.125 €
Twinning 2017	13.900.000 €	15.800.000 €
Teaming Phase 1 2014	8.205.160€	5.888.968 €
Teaming Phase 2	111.082.892 €	28.755.173 €
Teaming Phase 1 2017	6.866.673 €	5.019.595 €
TOTAL	238.203.753€	90.075.861 €
% budget distribution	73%	27%

Widening calls 2018-20

Topics (Type of Action)	2018 Budget (EUR million)	2019 Budget (EUR million)	2020 Budget (EUR million)	Deadlines
WIDESPREAD-01-2018-2019 (Teaming 2)	103.00	111.00		15 Nov 2018
WIDESPREAD-03-2018 (Twinning)	30.00			15 Nov 2018
WIDESPREAD-04-2019 (ERA Chairs)		30.00		15 Nov 2018
WIDESPREAD-05-2020: Twinning			tbc	tbc
WIDESPREAD-06-2020: ERA Chairs			tbc	tbc
Overall indicative budget	133.00	141.00	119.00	



1- Moving to => Sharing Excellence

Impact Assessment annex 8-6, Lamy advice

Lessons of Horizon 2020 ('Spreading Excellence and Widening Participation'):

- Add 'seed money' for research cost;
- Improve the sustainability of the actions;
- Reinforce the institution building component: practical training for administrative staff on project proposal preparation and management;
- Add focus on the branding of the beneficiaries to strengthen their international reputation;
- Improve communication of actions toward regional/national authorities;
- Continue and improve the National Contact Point network with some more focused activities (events in eligible territories).



2- Moving to => Sharing Excellence

Impact Assessment annex 8-6, Lamy advice

Lessons of Horizon 2020 ('Spreading Excellence and Widening Participation'):

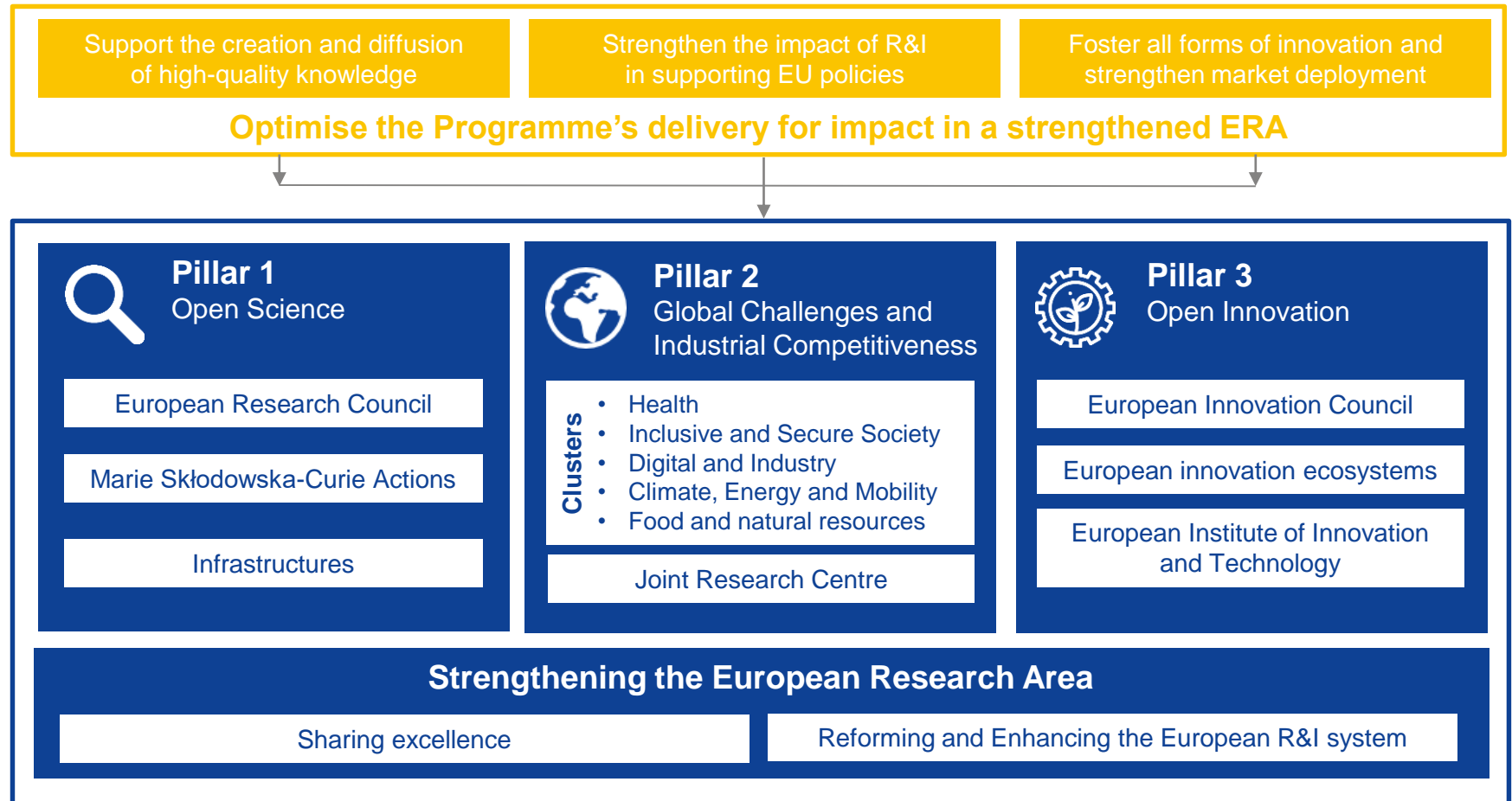
- EU 13 has a lower rate of participation and success compared to EU15 but
- The dichotomy is not clear and
- The two groups are not homogeneous from within
- **Positive impact of current actions** e.g.: ERA Chair and Twinning substantially increased the **attractiveness of the institution**, Teaming has leveraged significant amounts from SF, COST actions demonstrated effectiveness in including excellent researchers from low R&I performing countries
- Some improvements are needed

Horizon Europe: Strengthening the European Research Area

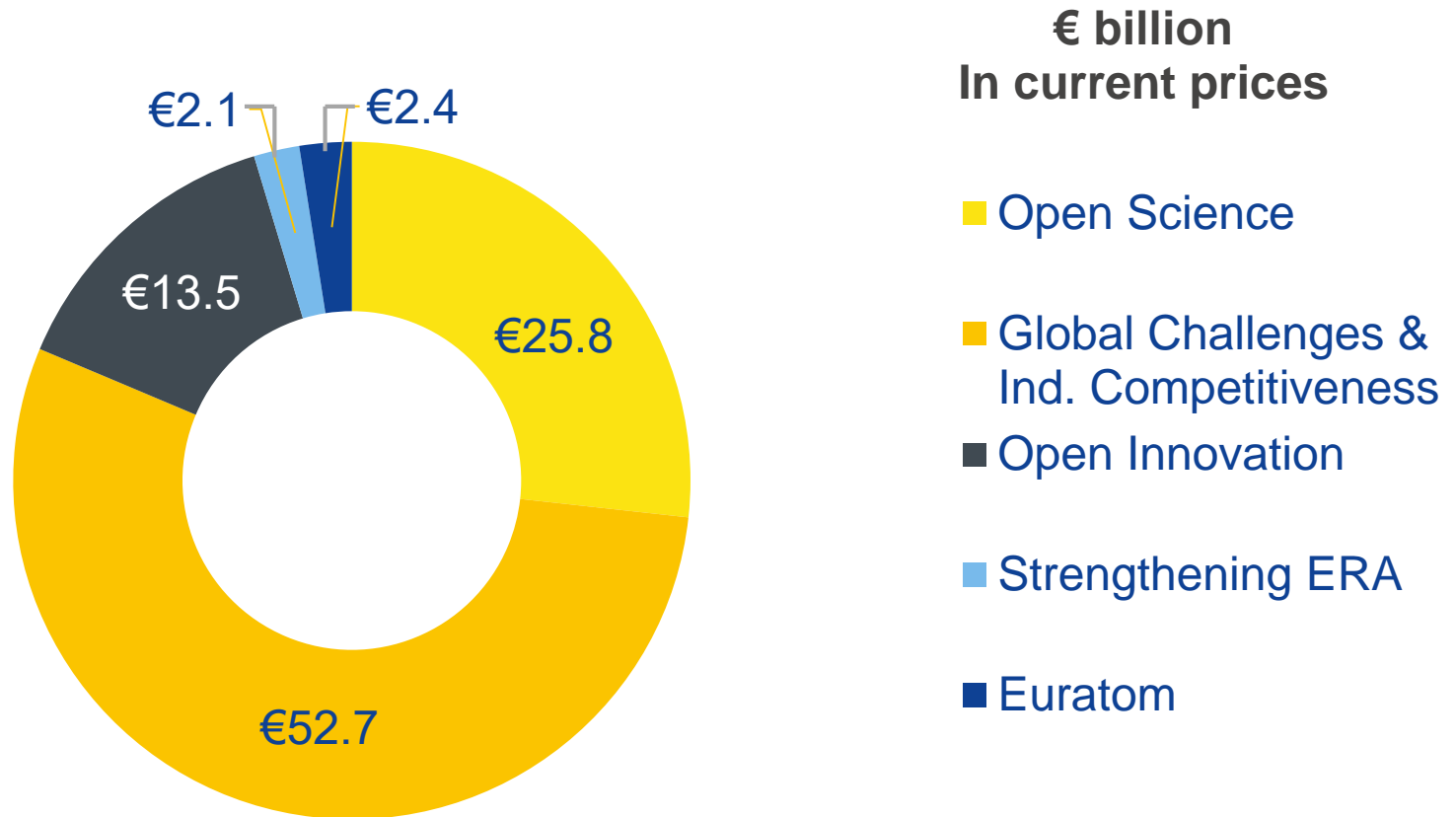
"Sharing Excellence"



Horizon Europe: evolution not revolution



Budget: €100 billion*



* This envelope includes EUR 3.5 billion allocated under the InvestEU Fund.



WHY STRENGTHENING ERA?

- Much progress in developing the European Research Area, but still fragmented Research and Innovation in Europe, with some areas experiencing too slow progress (ERA Progress Report 2016).
- Europe needs to raise the bar on quality and impact of Research and Innovation. Change and reforms in Research and Innovation are needed to create impacts on productivity, economic growth, job creation and well-being.
- Through ERA, knowledge and a highly skilled workforce circulate freely and researchers benefit from attractive careers. The demand for highly skilled people is increasing and also changing.
- Thus: Optimise Horizon Europe delivery for increased impact within a strengthened and revitalised European Research Area.

Strengthening the European Research Area

Sharing excellence

- Teaming
- Twinning
- ERA Chairs
- COST

Reforming and enhancing the EU research and innovation system

- Evidence base
- Foresight
- Policy Support Facility
- Scientific input to policy making
- Programme implementation
- Open Science
- Career environments, skills and links to the Higher Education Area
- Citizen science
- Gender equality
- Ethics
- International cooperation

Sharing Excellence: WHY?

Objective: "Reducing disparities in R&I performance by sharing knowledge and expertise across the EU (...) fully exploit the potential of Europe's talent pool by maximising and sharing the benefits of research and innovation across the Union"

- Strengthening S&I base is an inclusive process where all EU countries need to be on board and be engaged
- R&I divide is more nuanced BUT disparities in Europe persist
- Problems identified in 2011 have different degrees of intensity but represent still important challenges
- "SHARING excellence" means *shared responsibility* ...
-but also *shared benefit!*

Sharing Excellence: HOW? Key features

- **Build on Horizon 2020 experience and lessons learnt**
- **'Widening'/'Sharing excellence' core actions to continue with improvements**
- **Increased budget (from 800M€ to 1,7b€) and Ring-fenced – following MS position papers and requests by R&I community**
- **Eligibility Indicator**→ "will address the dimensions of overall economic performance (GDP), research performance and innovation performance in a combined manner normalised to the size of the related countries"
- **Outermost Regions** eligible on the basis of Art. 349 TFEU
- Link to **Smart Specialisation** Strategies priorities
- **Sharing excellence 'toolbox':** Not only **Core actions** ...

Sharing excellence: CORE ACTIONS

Teaming

- Institution building
- Establish/upgrade Centre of Excellence in eligible countries
- Game changer through strong partnership



Twinning

- Institutional networking
- Strengthen a university / research organisation from an eligible country in a defined field
- Link to internationally-leading research inst. from other MS or AC



ERA Chairs

- Bringing excellence to institutions
- Support universities / research organisations attract talents through outstanding researcher and research manager
- Implement structural changes



+ COST: European Cooperation in Science and Technology, offering low hurdle access to R&I networking, capacity building and career development support to researchers

Sharing Excellence: NOVELTIES

For the three core actions (Teaming, Twinning , ERA chairs)

- *"will facilitate **specific research elements** customised to the particular needs of the action"*
- Strengthen research management skills (soft measure)
- Ensure sustainability via stronger plan (soft measure)

For COST

- EC Funding totally from "Sharing excellence"
- *"80% of the total COST budget devoted to actions fully aligned to the objectives of this intervention area"*

Possible additional measures under Sharing Excellence :

"Activities may also be established to foster brain circulation right across ERA"

- *... and "And better use of existing research infrastructures in the target countries through mobility of researchers and innovators"*

TOWARDS FP9

INDICATIVE TIMELINE

2018	
January-March	<ul style="list-style-type: none"> • 10 January - 9 March, Public consultation on EU funds in the area of investment, research & innovation, SMEs and single market. Replies to be taken into account for designing comprehensive proposals for the post -2020 Multiannual Financial Framework and for the next generation of financial programmes • 11 January: Communication on the interim evaluation of Horizon 2020, which outlines its views on how the impact of a successor research and innovation investment programme could be maximized, was adopted • 24 January: The High-Level Group of 15 leading innovators published report: Europe is back: Accelerating breakthrough innovation • 22 February: Professor Mariana Mazzucato presented report: Mission-oriented research & innovation in the European Union • 12 March: informal dinner with Research Ministers on missions in FP9
April	<ul style="list-style-type: none"> • Call for feedback on missions on the basis of the report by Professor Mariana Mazzucato open until 3 April 2018, https://ec.europa.eu/eusurvey/runner/482a79de-3fad-17e1-c60d-2e4418c1a95d
May-July	<ul style="list-style-type: none"> • 2 May: adoption of the comprehensive proposal for the future Multiannual Financial Framework beyond 2020 • Early June: adoption of the FP9 package • 16-17 July: informal Competitiveness Council – Focus on the novel elements in FP9
August-December	<ul style="list-style-type: none"> • 28 September: formal Competitiveness Council – Progress Reports
2019	
	<ul style="list-style-type: none"> • European Parliament elections, appointment of the new Commission • EP and Council negotiations and eventual adoption of the FP9 proposal • First WP development for the FP9
2021	
	Launch of the 9th Framework Programme

Thank you!

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Participant Portal

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