Spreading Excellence and Widening Participation in Horizon 2020

NCPs FOR LEIT – NMP+B SEMINAR
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Content:

1. Background on the R&I Divide

2. Specific eligibility criteria for Widening actions

3. Presentation of measures under WIDESPREAD in H2020

4. Synergies with Cohesion Policy

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Background

• Currently national / regional disparities in research excellence and innovation performance, hamper competitiveness, business growth and employment creation.

• A number of countries are experiencing low participation in the EU Framework Programmes;

• Disparities due to structural issues, such as:
  - insufficient national RDI investment,
  - lack of synergies between certain countries national research systems and EU research landscape,
  - insufficient capacities,
  - reduced access to international networks.
Investing in R&D pays off!

[Graph showing correlation between average R&D investment and GPD growth]
The EU Member States Cyprus, Estonia, Latvia, Lithuania, Luxembourg and Malta are not included in the RIS analysis. Group membership shown is that of the IUS. Map created with Region Map Generator.
WIDENING PARTICIPATION in H2020

Following an intensive political debate on widening participation in the Framework Programme, a new set of measures was introduced in Horizon 2020 under the separate specific objective:

"Spreading Excellence and Widening Participation" (WIDESPREAD)
Specific eligibility criteria for WIDESPREAD

• Given the particular political objectives of the "Spreading Excellence and Widening Participation" part of H2020 a targeted approach in terms of eligibility is needed to help those participants with low performance in R&I

• H2020 legal texts refer to "low performing RDI Member States and regions"

• A Composite Indicator that measures Research Excellence (capped at the 70% of the EU average) was chosen to define which Member States will be considered as “low RDI performing” for Widening actions:

• “low RDI performing” Member States: Latvia, Croatia, Lithuania, Malta, Slovakia, Romania, Luxembourg, Poland, Bulgaria, Estonia, Portugal, Slovenia, Cyprus, Czech Republic and Hungary.
Overview of main measures under WIDESPREAD in H2020

- Teaming for Excellence (CoEs)
- Twinning (institutional networking)
- ERA Chairs (bringing excellence to institutions)

Total Budget for WIDESPREAD in H2020 ~ €800 million
Teaming for Excellence

What?
Creation of new (or significant upgrade of existing) Centres of Excellence in low performing Member States and regions

How?

Proposals: Need to demonstrate the long-term science and innovation strategy of the future Centre based on a SWOT analysis

Stage 1: Funding for the development of a Business Plan for the new Centre of Excellence facilitated by a teaming process with a leading counterpart in Europe

Stage 2: Subject to the quality of the Business Plan, and a commitment of the Member State (e.g. support via Cohesion Policy Funds), the Commission may provide further substantial financial support for the first steps of implementation of the Centre.
Teaming (2)

The Partners - 2 parties in each Teaming project:

(1) the participant organisation (COORDINATOR) from a low performing Member State (for example a research agency at national or regional level, or a regional authority);

(2) an institution of research and innovation excellence (public or private) or a consortium of such institutions;
Teaming (3)

Call 2014 ("Stage 1"): Business Plan for a Centre of Excellence (CoE)

**Budget:** €11.85M  
**Call deadline:** 17 September 2014  
**Project Size:** €200,000 - €500,000 per proposal

**Project Duration:** 12 months  
**Deliverable:** Business Plan of the CoE

**2016: ("Stage 2") Implementation of the CoE**

**Budget:** ~ € 80-90 M  
**Project Size:** €15-20M  
**Project Duration:** 5-7 years  
**Funding for:** Substantial support for the implementation phase of the CoE

**Implementation:** Specific Grant Agreement established under a Framework Partnership Agreement (Coordination and Support Action)

**Total Budget for Teaming in H2020:** ~ € 270 M
**Twinning**

**What?**
Strengthening a defined field of research of a knowledge institution in a low performing Member State or region through linking with at least two internationally-leading counterparts in Europe.

**How?**

**Proposals:** Will have to outline the scientific strategy for stepping up and stimulating scientific excellence and innovation capacity in a defined area of research as well as the scientific quality of the partners involved in the twinning exercise.

**Funding for:**
- expert visits and short-term on-site or virtual training;
- workshops & conference attendance;
- organisation of joint summer school type activities;
- dissemination and outreach activities.

Equipment & researchers' salaries will NOT be funded.
Twinning (2)

The Partners

• **ONE** institution located in a Low Performing MS/region (**COORDINATOR**)

• A minimum of **TWO** additional partners from two different Member States or Associated Countries.

Call 2015 Details:

**Budget:** ~ € 64 M  
**Call publication date:** 2 July 2014  
**Call deadline:** 2 December 2014  
**Project Size:** €1 M per proposal

**Project Duration:** 3 years

**Type of action:** Coordination and Support Action

Total Budget for Twinning in H2020: ~ € 100 M
Twinning (3)
Examples from FP7-Research Potential (REGPOT)

- **OPENGENE (REGPOT-2009):** the Estonian Genome Center of Tartu (Estonia) has built successful networks with key partnering organisations on genomics from UK, the Netherlands, Finland and Germany.

- **STRONGER (REGPOT-2011):** the Pasteur Institute of French Guiana strengthened transdisciplinary research on infectious diseases. Partnerships with France, UK, USA, Brazil.

✧ FP7 REGPOT eligibility – Convergence Regions only
**ERA Chairs**

**What?**
To bring high quality researchers and managers (ERA Chairs and their team) to universities and research organisations (in low performing MS and regions) with the potential for research excellence to help them implement structural changes to achieve excellence on a sustainable basis.

**Proposal Design:**

- Proposals can be **in any scientific domain** of research and innovation but expected to be in line with regional/national strategies for smart specialisation.

- Shall comprise measures to foster **compliance with ERA priorities** (open recruitment, peer review, gender balance, innovative doctoral training).

- Include a plan to increase **Research Capacity**: measures for better use of the installed research capacity; description of any necessary investments in facilities and infrastructures and present a strategy to mobilise support for them (including possible support from ESI Funds).
ERA Chairs (2)

**Funding for:**
- Salaries of ERA Chair and his/her team.
- Support for measures aimed at structural changes in the institution (Possible costs that could be funded: trainings, meetings, publication and patenting costs, equipment)

**Call 2014 Details:**

- **Budget:** ~ € 34 M
- **Call deadline:** 15 October 2014
- **Project Size:** max €2.5 M per proposal

- **Project Duration:** 5 years

- **Type of action:** Coordination and Support Action (Mono-Beneficiary)

**Total Budget for ERA Chairs in H2020:** ~ € 240 M
ERA Chairs – FP7 Pilot Call

• To test the measure a pilot call was set up in FP7 under the Capacities 2012-13 WP
• Call was largely oversubscribed (111 submissions) – original budget doubled to EUR 24 million
• Results of successful proposals will be announced in February 2014

FP7 Pilot Call similar to H2020 2014 call with 2 key differences:

➢ Eligible institutions needed to be located in convergence regions
➢ Maximum one successful proposal per country can be funded
Synergies with Cohesion Policy

H2020 will help to reduce disparities and the R&I divide **but**: Challenges need to be *primarily* addressed at national and regional level and through other instruments, such as Cohesion Policy funding.

**Key to Synergies between R&I and Cohesion Policy in 2014-2020:**

- **Smart Specialisation - ex-ante conditionality**
- **Thematic Concentration**
The Synergies and Smart Specialisation Matrix

| HORIZON 2020 TOP DOWN RESEARCH AND INNOVATION PRIORITIES | THEMATIC CONCENTRATION FOR MORE ADVANCED FOR ALLOCATING 80% OF THE ERDF MONEY FOR 4 OBJECTIVES: R&I, ICT, SME COMPETITIVENESS AND LOW CARBON ECONOMY | THEMATIC CONCENTRATION FOR LESS ADVANCED REGIONS FOR ALLOCATING 50% OF THE ERDF MONEY FOR 4 OBJECTIVES: R&I, ICT, SME COMPETITIVENESS AND LOW CARBON ECONOMY |
| EXCELLENCE | SMART SPECIALISATION EX-ANTE CONDITIONALITY based on a SWOT analysis to concentrate resources on a limited set of research and innovation priorities in compliance with the NRP; measures to stimulate private RTD investment; a monitoring and review system; a framework outlining available budgetary resources for research and innovation; a multi-annual plan for budgeting and prioritisation of investments linked to EU research infrastructure priorities (European Strategy Forum on Research Infrastructures - ESFRI) |}

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Synergies under WIDESPREAD

Teaming:

• R&I Strategy of the future CoE should fit in with the Smart Specialisation Strategy of the MS/region
• National/ESI Funds commitment needed for rolling out the future CoE

Twinning

Alignment with the objectives of the Smart Specialisation Strategy of the MS/region is encouraged

ERA Chairs:

• Selected field of ERA Chair to be in line with the objectives of the Smart Specialisation Strategy of the MS/region
• Research capacity aspect to be funded from ESI Funds
3-fold approach in the EU to close the R&I Divide, spread excellence and widen the participation:

- Action at national/regional level (including through Cohesion Policy)
- Action through WIDESPREAD in H2020
- Synergies between H2020 and Cohesion Policy
NCPs and possible links with the LEIT NMP+B Programme

• A CoE in the NMP+B sector could be created/upgraded under **Teaming** if NMP+B falls within the S3 priorities of a region/country
• **Twinning** can take place between institutions located in more and less performing countries/ regions in the area of NMP+B establishing specific networking activities to increase the awareness and exposure level of the involved researchers in the particular field
• An **ERA Chair** and its team specialising in an area of NMP+B can bring sustainable excellence in the particular field in the institution located in the less performing country /region
• Liaise with the **Widening NCPs** (planned infoday - end February) to discover more details as well as opportunities for synergies.
Thank you for your attention