



Spreading Excellence and Widening Participation

**Research Working Party Presentation
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A graphic for the Horizon 2020 program. It features a blue background with a glowing horizon line. In the center, a globe of the Earth is shown, with light rays emanating from it. The word "HORIZON" is written in large, white, sans-serif capital letters, with the globe acting as the letter "O". To the right of "HORIZON", the year "2020" is written in the same style.

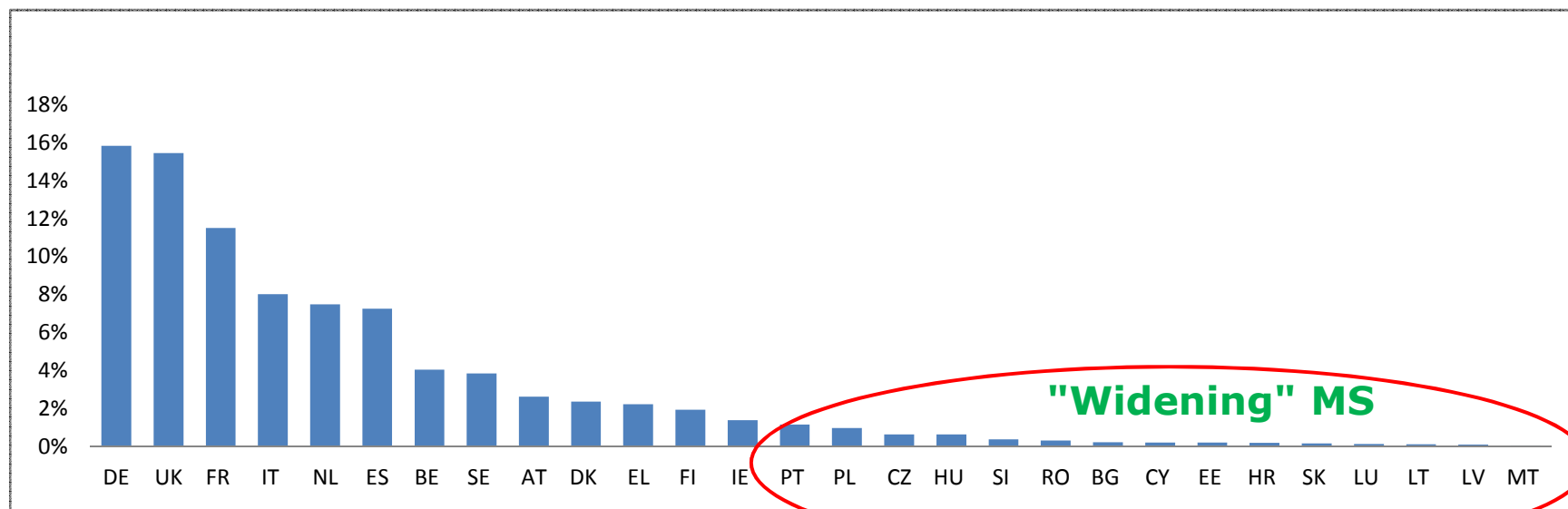
HORIZON 2020



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 Budget Share per country %





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**



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: 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

Phase 2

Subject to the quality of the Business Plan, and 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 support for equipment and consumables.

➤ Access to Phase 2 only available to those proposals already supported in Ph 1!



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/>



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
Teaming Phase 1	<u>2014</u>	FPA CSA	14,2	0.2 - 0.5	169	31	18%	1 year
Teaming Phase2 (forecast)	<u>2016</u>	CSA	135	15	31	9	29%	5-7 years
ERA chairs	<u>2014</u>	CSA	33,6	max 2.5	88	14	16%	5 years
Twinning	<u>2015</u>	CSA	66,24	1	553	66	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



WP 2018-20 – Strategic programming

Widening strategic programming process draws on 3 sets of inputs:

1. Views of Widening Advisory Group: 3 meetings held in February/April/May 2016 – Final report delivered in June;
2. External Stakeholders' Consultation: Targeted lunch debate took place on 17 June;
3. Experience in-house (and REA) in implementing the first Widening calls

Draft scoping paper is being finalised- Only minor changes expected for ERA Chairs/Twinning.



The broader issue of Widening in H2020

H2020 is a competitive programme - **excellence** is the key evaluation criterion

SEWP pillar only a tiny 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!**

Next steps: In-depth analysis (quantitative & qualitative) during the **H2020 interim evaluation** and follow up discussions.

Thank you for your attention

