



# Spreading Excellence and Widening Participation in Horizon 2020

High Level Conference on "Teaming for Excellence"

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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 set against a blue background with a glowing horizon line and radiating light rays.

HORIZON 2020

# Background

- Disparities in R&I excellence and innovation performance: barrier to competitiveness, growth and jobs across Europe
- Some countries are experiencing 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

# WIDENING PARTICIPATION under H2020

New set of measures in Horizon 2020 under **Spreading Excellence and Widening Participation**:

- Teaming for Excellence (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**

# Widening Participation: Eligibility Criteria (1)

## Why?

- Political objective of Widening in H2020
- H2020 calls for a targeted approach to help participants with low R&I performance
- H2020 Framework & Specific Programme legislation: "low performing RDI Member States and regions"

## How?

Eligibility Criterion: **The Composite Indicator of Research Excellence**

A Composite indicator of four variables:

- Highly cited **publications** of a country as a share of the top 10% most cited publications normalised by GDP
- Number of world class **universities** (in top 250) and public research institutes (in top 50) in a country normalised by population
- **Patent** applications per million population
- Total value of **ERC grants** received divided by public R&D performed by the higher education and government sectors

## Widening Participation: Eligibility Criteria (2)

- **Origin:** Developed by DG RTD & JRC, part of the IU progress at country level 2013 publication & included in the ***IU Competitiveness Report 2013***.
- **Definition:** "A composite indicator developed to measure the research excellence in Europe, meaning the effects of the European and national policies on the modernisation of research institutions, the vitality of the research environment and the quality of research outputs in both basic and applied research."
- **Threshold:** MS below 70% of the EU average
- **"low RDI performing" Member States for Widening actions:** Latvia, Croatia, Lithuania, Malta, Slovakia, Romania, Luxembourg, Poland, Bulgaria, Estonia, Portugal, Slovenia, Cyprus, Czech Republic and Hungary
- **"low RDI performing" Associated Countries:** The same eligibility criteria apply for Associated Countries to H2020

	Composite indicator of research excellence 2010
EU27 average	47,9
EU27 70% threshold	33,5
<b>Member States below 70% of the EU27 value</b>	
Latvia	11,5
Croatia	12,2
Lithuania	13,9
Malta	17,5
Slovakia	17,7
Romania	17,8
Luxembourg	19,8
Poland	20,5
Bulgaria	24,7
Estonia	25,9
Portugal	26,5
Slovenia	27,5
Cyprus	27,8
Czech Republic	29,9
Hungary	31,9
<b>Member States above 70% of the EU27 value</b>	
Greece	35,3
Spain	36,6
Ireland	38,1
Italy	43,1
France	48,2
Austria	50,5
United Kingdom	56,1
Belgium	59,9
Germany	62,8
Finland	62,9
Sweden	77,2
Denmark	77,7
Netherlands	78,9

Source: DG Research and Innovation - Economic Analysis Unit

Data: Eurostat, DG JRC - ISPRA

# TEAMING FOR EXCELLENCE

# Teaming for Excellence (1)

## Objective:

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

## The Partnership: 2 parties in each Teaming project

- (1) the participant organisation (**COORDINATOR**) from a low performing Member State or Associated Country (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 (from all EU28 or AC)

# Teaming for Excellence (2)

## Design of the action (in 2 stages):

**Stage 1:** Funding of 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 (Stage 1): Need to demonstrate the long-term science and innovation strategy of the future Centre based on a SWOT analysis

**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

- Proposals (Stage 2): Business Plan (Stage 1 deliverable) with robust financial commitments (from national/cohesion funds)

# Teaming for Excellence (3)

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

Budget: €11.85M  
Call deadline: 17 September 2014  
Project Size: €200,000 - €500,000  
Project Duration: 12 months  
Deliverable: Business Plan

## In 2016: ("Stage 2") Start-up/Implementation of the Centre of Excellence

Budget: €80-90M  
Project Size: €15-20M  
Project Duration: ~5 years

Funding for: Substantial support for the start-up & implementation phase (salaries, other operational and administrative costs, small equipment)

- In conjunction with financial support from national/cohesion funding (infrastructure costs and large equipment)

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

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

# Teaming for Excellence (4)

## Key Success Factors:

- Well-chosen, carefully structured partnership & strong engagement from parties
- Long term vision (at least 10-15 years) & long term financial commitment nationally (at least €40-50 M) from the outset
- Coordinator: Both strong in project management & strong in mobilising national/Cohesion funding
- Full autonomy in decision-making for the newly established/upgraded Centre is a must for sustained excellence
- Alignment with the national/regional Smart Specialisation Strategy: National/Regional authorities need to have finalised or be in the final stages of preparation of their S3 by autumn 2014
- Synergies with Cohesion Funding: Need to foresee appropriate funding from Cohesion Policy for the establishment of the Centre at Stage 2 of Teaming projects

**Thank  
you for  
your  
attention**

**Robert-Jan Smits**