The EU Framework Programme for Research and Innovation

HORIZON 2020

SEWP and Seal of excellence: fostering synergies

Workshop "Aligning implementation of RIS3 and H2020 Funding across research priorities"

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Head of Unit
Brussels, 9 March 2017
Fostering synergies with ESIF: 
the example of TEAMING
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 country participation

FP7 Budget Share per country %

around 5% of FP7 budget

"Widening" MS
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
Widening in H2020 vs. R&I divide

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

SEWP pillar represent small 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**!
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 (minimum conditions):** 2 parties in each 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) **not** from the country of the coordinator

- **Implementation in 2 Phases**
Teaming Phase 2

Extract from the WP 2016-17 Phase 2: "Subject to the 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" (1%) support for equipment and consumables."

Synergies with ESIF: Teaming is a unique instrument that promotes synergies as it encourages the deployment of ESIF to cover the complementary funding for non H2020 costs of the CoE (i.e. infrastructure).
Teaming Phase 2
FIRST 10 FUNDED PROJECTS
Key success factors

- Scientific and innovation potential of the CoE
- Growth impact for the CoE for the country/region
- Long term self-sustainability of the CoE
- Alignment with RIS 3 - Comparative advantages maximised (EVALUATION CRITERIA PH1)
- Long term financial commitments from relevant authorities (EVALUATION CRITERIA PH2)
- Solid partnership and strong engagement of partners
- Full autonomy in decision making for the new CoE
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/](https://rio.jrc.ec.europa.eu/)
SEAL OF EXCELLENCE CERTIFICATES: NUMBERS AND DISTRIBUTION
<table>
<thead>
<tr>
<th>Phase</th>
<th>Date</th>
<th>Total submitted</th>
<th>Above threshold</th>
<th>% of submitted</th>
<th>Funded</th>
<th>Funded as % of above threshold</th>
<th>SoE - Above threshold not funded</th>
<th>SoE - above threshold not funded as % above threshold</th>
<th>Success rate</th>
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<tr>
<td>Phase 1</td>
<td>18/06/2014</td>
<td>2,658</td>
<td>317</td>
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<td>155</td>
<td>49%</td>
<td>162</td>
<td>51%</td>
<td>6%</td>
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<td>237</td>
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<td>61</td>
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<td>251</td>
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<td>53%</td>
<td>156</td>
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<td>365</td>
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<td>183</td>
<td>50%</td>
<td>9%</td>
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<tr>
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<td>09/11/2016</td>
<td>2,030</td>
<td>364</td>
<td>18%</td>
<td>176</td>
<td>48%</td>
<td>188</td>
<td>52%</td>
<td>9%</td>
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<td>Overall Phase 1</td>
<td></td>
<td>22,455</td>
<td>3,498</td>
<td>16%</td>
<td>1,864</td>
<td>53%</td>
<td>1,634</td>
<td>47%</td>
<td>8%</td>
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<tr>
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<td>09/10/2014</td>
<td>578</td>
<td>132</td>
<td>23%</td>
<td>60</td>
<td>45%</td>
<td>72</td>
<td>55%</td>
<td>10%</td>
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<td>180</td>
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<td>74</td>
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<td>106</td>
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<td>12%</td>
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<tr>
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<td>230</td>
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<td>16%</td>
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<tr>
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<td>5%</td>
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<td>373</td>
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<td>33</td>
<td>9%</td>
<td>340</td>
<td>91%</td>
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<td>425</td>
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<td>30</td>
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<td>395</td>
<td>93%</td>
<td>3%</td>
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<tr>
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<td>03/02/2016</td>
<td>553</td>
<td>208</td>
<td>38%</td>
<td>47</td>
<td>23%</td>
<td>161</td>
<td>77%</td>
<td>8%</td>
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<tr>
<td>Phase 2</td>
<td>14/04/2016</td>
<td>969</td>
<td>450</td>
<td>46%</td>
<td>48</td>
<td>11%</td>
<td>402</td>
<td>89%</td>
<td>5%</td>
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<tr>
<td>Phase 2</td>
<td>15/06/2016</td>
<td>1,189</td>
<td>582</td>
<td>49%</td>
<td>56</td>
<td>10%</td>
<td>526</td>
<td>90%</td>
<td>5%</td>
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<td>Phase 2</td>
<td>13/10/2016</td>
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<td>710</td>
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<td>51</td>
<td>7%</td>
<td>659</td>
<td>93%</td>
<td>4%</td>
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<tr>
<td>Overall Phase 2</td>
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<td>8,921</td>
<td>3,647</td>
<td>41%</td>
<td>480</td>
<td>13%</td>
<td>3,167</td>
<td>87%</td>
<td>5%</td>
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<tr>
<td>Total</td>
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<td>31,377</td>
<td>7,145</td>
<td>29%</td>
<td>2,344</td>
<td>33%</td>
<td>4,801</td>
<td>67%</td>
<td>7%</td>
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</table>
SME INSTRUMENT:

HIGHLY POPULAR AND COMPETITIVE SCHEME

MANY DESERVING, FEW FUNDED...
PROPOSALS AWARDED WITH THE 'SEAL OF EXCELLENCE' (EU28)
SME Instrument - Phase 1

Includes all cut-offs until November 2016

Administrative Boundaries: © EuroGeographics © UN-FAO © Turkstat
Cartography: Eurostat — IMAGE, 20/12/2016
MAPPING SOE PHASE 2 DISTRIBUTION

PROPOSALS AWARDED WITH THE 'SEAL OF EXCELLENCE' (EU28)
SME Instrument - Phase 2

Includes all cut-offs until November 2016

Administrative Boundaries: © EuroGeographics © UN-FAO © Turkstat
'Seal of Excellence' proposals by Topic

Until November 2016 cut-off

- ICT: 873 proposals
- Biotechnology: 487 proposals
- Low Carbon/Energy: 377 proposals
- Nanochemistry: 363 proposals
- Transport: 278 proposals
- Environment/Raw materials: 232 proposals
- Agri-Food: 159 proposals
- Security: 167 proposals
- Business models: 110 proposals
- Space: 6 proposals
- Blue Growth: 9 proposals

Phases:
- Phase 1
- Phase 2
MAPPING OF SEAL OF EXCELLENCE SUPPORT SCHEMES
STATE OF PLAY OF SOE ALTERNATIVE FUNDING SCHEMES
SCHEMES TO FUND SEALs

**Cyprus:**

2nd Opportunity; A national scheme for SME Instrument Phase 1 and 2, MSCA and ERC SoE holders; ESIF; IT tool for applications' submission under final stage of development;

_Expect to fund: 8 MSCA, 4 ERC, 10 Phase 1 and 2 Phase 2._

**Italy:**

→ **Friuli-Venezia-Giulia** scheme for SoE holders through calls for Innovation, Cooperation and Partnerships.

→ **8 regions in the South**: Scheme for phase 2 SoE holders; Revolving fund; managed by the Ministry of Economic Development; The first call published in June 2016 and closed last October.

→ **Piemonte**: Scheme for phase 2; ESIF; Integrate SoE support in the most similar call, that is the Innovation cluster measure; Feedback on this first «soft» support will serve as a basis to decide possible new forms of support; The scheme targets SMEs but also large enterprises collaborating with SMEs; Single applicants or consortia (companies outside Piemonte are eligible); Grant; Min budget per project: 300k€ (600k€ if a large enterprise involved).
MORE SCHEMES...

→ **Marche region:** Regional grant for SME's who received the Seal; holders from Phase 2 can apply; ESIF; Eligibility criteria:
  - SME’s must be set up in Marche Region;
  - Project should be in line with the regional S3;
  - Only project of SME Instrument Phase 2 that received the Seal of Excellence.
The grant will be: 45% for small and micro enterprises; 35% for medium enterprises.

→ **Lombardy region:** Voucher call; Regional funds; already **financed 15 phase 1** projects and 2-4 phase 1 and 2 already received through a broader call extra budget as award.

**Spain**
→ PYME 2015 and 2016; National funds; already **financed phase 1, 189** SoE holders.
→ Madrid region: Scheme for phase 2; Verification of state aid rules.
AND MORE…

**France:**
→ **Ile-de-France:** Scheme for projects with a label from Regional Clusters and Seal holders; Submission period: October 2016 - 31 January 2017; Results expected by the end of the year.

**Slovenia**
→ Scheme for **Phase 1** (published) for all past cut offs; 35 000 €; 15 applications received. **Phase 2** (envisaged publication: June 2017).

**Sweden:**
→ Vinnova with a scheme for **Phase 1** – Runner up – with **28 Seals already financed**; National funds; A consideration to fund **phase 2** from ESIF financial instruments later this year.
AND MORE…

Czech Republic

→ **A national scheme** by the Technology Agency in Czech Republic will run for **phase 1** SoE holders within the GAMMA scheme; national funds; first call is expected end of March 2017 and close at the beginning of May 2017. The projects will receive 55% of the whole amount, which is approximately 39 000€. Results of the call will be published at the end of May 2017. Budget available for 40 projects.

→ **New Brno scheme** under consideration for **phase 1**: companies from South Moravian region that received 12.00 – 12.99 points will have the possibility to apply for funding. Funding won't be automatic: A hearing with experts will take place who they will decide in each case if the project is to be funded or not. Still in process of negotiation with the City of Brno.

→ **OP RDE**: Pre-final stage of a call to support **MSCA-IF projects**. Call expected in April 2017; Focused on projects from MSCA-IF calls in 2015 and 2016, which are on no-money lists. The programme authorities will use the Seal principle but they are planning to support all projects from no-money list and not only those that have received the seal (it is a wider group than the seals).
Poland

→ A support scheme for **Phase 1** is under development by the Polish Agency for Enterprise Development (PARP); Two pilots are planned: 1st to cover all 2014-2016 cut-offs; 2nd pilot to cover only two cut-offs in 2017; 35 potential applicants; P1: March 2017; P2: September 2017.

Norway & Hungary: Schemes for **phase 1**.

Work in progress

UK – Scotland, interest expressed by Belgium (Flanders) for phase 1, Trento, Lombardy for a phase 2 scheme, Sweden for phase 2, Finland will explore the opportunities that may be offered by the European Fund for Strategic Investments, Greece is preparing a scheme for phase 1& 2 and Lithuania. Slovakia is finalizing the Call for proposal to support the successful Teaming project but support in this call will be available also for the projects with Seal of Excellence. The call expected the following weeks.
COMMUNICATION ACTIVITIES

• **New website**
• **Newsletter to promote YOUR schemes!**
• **YouTube videos**
SOCIAL MEDIA

• Don't hesitate to share!
• Posts via @EU_H2020 & #SealofExcellence
Thank you
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

<table>
<thead>
<tr>
<th>Action</th>
<th>Year</th>
<th>Type</th>
<th>Budget (M)</th>
<th>EU Grant Size (M)</th>
<th>Proposals</th>
<th>Projects</th>
<th>Success rate</th>
<th>Duration</th>
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<tbody>
<tr>
<td>Teaming Phase 1</td>
<td>2014</td>
<td>FPA</td>
<td>14,2</td>
<td>0.2 - 0.5</td>
<td>169</td>
<td>31</td>
<td>18%</td>
<td>1 year</td>
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<tr>
<td>Teaming Phase 2</td>
<td>2016</td>
<td>CSA</td>
<td>135</td>
<td>15</td>
<td>31</td>
<td>10</td>
<td>33%</td>
<td>5-7 years</td>
</tr>
<tr>
<td>ERA chairs</td>
<td>2014</td>
<td>CSA</td>
<td>33,6</td>
<td>max 2.5</td>
<td>88</td>
<td>14</td>
<td>16%</td>
<td>5 years</td>
</tr>
<tr>
<td>Twinning</td>
<td>2015</td>
<td>CSA</td>
<td>66,24</td>
<td>1</td>
<td>553</td>
<td>67</td>
<td>12%</td>
<td>3 years</td>
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## 2016-17 Calls Overview

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<tr>
<th></th>
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<tbody>
<tr>
<td>Opening</td>
<td>28 July 2016</td>
<td>12 April 2017</td>
<td>11 May 2017</td>
</tr>
<tr>
<td>deadline</td>
<td>15 Nov 2016</td>
<td>5 Oct 2017</td>
<td>15 Nov 2017</td>
</tr>
<tr>
<td>Budget</td>
<td>EUR 12 million</td>
<td>EUR 34 million</td>
<td>EUR 20 million</td>
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<tr>
<td>Info to applicants</td>
<td>Mar-Apr 2017</td>
<td>Mar 2018</td>
<td>Mar-Apr 2018</td>
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<tr>
<td>Grant size</td>
<td>EUR 400 000</td>
<td>EUR 2.5 million</td>
<td>EUR 1 million</td>
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<tr>
<td>Grant duration</td>
<td>12 months</td>
<td>60 months</td>
<td>Up to 36 months</td>
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<td>Type of Grant</td>
<td>CSA</td>
<td>CSA</td>
<td>CSA</td>
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</table>
Teaming Phase 2 call stats

- Project duration: 5-7 years
- Total Budget: 140 EUR million
- Project size: up to 15 million
- 20 experts (plus 5 rapporteurs)
- 5 experts per proposal
### Statistics - country of coordinator

<table>
<thead>
<tr>
<th>Country</th>
<th>Proposals</th>
<th>Retained for funding</th>
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<tbody>
<tr>
<td>1 BG</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>2 CY</td>
<td>3</td>
<td>1</td>
</tr>
<tr>
<td>3 CZ</td>
<td>3</td>
<td>1</td>
</tr>
<tr>
<td>4 EE</td>
<td>2</td>
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<tr>
<td>5 HU</td>
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<td>2</td>
</tr>
<tr>
<td>6 LT</td>
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<td>7 LV</td>
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<td>8 MT</td>
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<tr>
<td>11 RO</td>
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<tr>
<td>12 RS (AC)</td>
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<td>1</td>
</tr>
<tr>
<td>13 SI</td>
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<td>1</td>
</tr>
<tr>
<td>14 SK</td>
<td>4</td>
<td>1</td>
</tr>
</tbody>
</table>

| Total   | 30*       | 10                   |

- * Even though 31 proposals participated in Phase 1, one proposal did not submit to Phase 2
- Successful Proposals from 9 different countries
- Higher success rates for Hungary, Latvia, Serbia
- 6 upgraded & 4 new CoE
Successful proposals: "advanced" partners

- Total number of "advanced" partners: 16

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<th># Partners</th>
<th># Projects</th>
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<td>1</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Budget to widening partners (80%)</th>
<th>€111,082,892,25</th>
</tr>
</thead>
<tbody>
<tr>
<td>Budget to non widening partners (20%)</td>
<td>€28,755,173,75</td>
</tr>
</tbody>
</table>
Successful proposals: Thematic domain