Introduction to Horizon 2020

Dr Ailidh Woodcock
European Advisor, UK Research Office
Ailidh.Woodcock@bbsrc.ac.uk
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University of Sheffield
<table>
<thead>
<tr>
<th>Start</th>
<th>End</th>
<th>Session</th>
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<tr>
<td>10:00</td>
<td>10:10</td>
<td>Introduction from John Derrick</td>
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<td>11:20</td>
<td>11:30</td>
<td>Break</td>
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<td>11:30</td>
<td>12:10</td>
<td>Building Consortia and Networks</td>
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<td>12:10</td>
<td>12:50</td>
<td>Lunch</td>
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<td>12:50</td>
<td>13:30</td>
<td>Expectations around impact in H2020</td>
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<td>13:30</td>
<td>14:20</td>
<td>How to Involve Industry Partners in Proposals</td>
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<td>14:20</td>
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<td>Break</td>
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<td>14:30</td>
<td>16:00</td>
<td>Surgery Sessions</td>
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Overview

• UKRO Services

• EU Referendum

• Horizon 2020
  – Overview
  – Basics on Participation
  – Consortium Building and Finding Information

• H2020 WP 18-20

• Interim Evaluation

• ‘Framework Programme 9’
UK Research Office

The Office, our mission and services
About us

• UKRO is the office of the seven UK Research Councils in Brussels and delivers a subscription-based advisory service for around 150 research organisations in the UK and beyond.

• UKRO also provides National Contact Point services on behalf of the UK Government.

• Our mission is to maximise UK engagement in EU-funded research, innovation and higher education
The team

• 14 staff in Brussels including eight European Advisors
Our daily work

• **UKRO services:** offering a wide range of quality services to help subscribers and sponsors make informed decisions on participating in EU programmes.

• **Policy work:** supporting UK input into European research policy development and implementation.

• **Brussels liaison:** establishing and maintaining contacts with the European Institutions and other major Brussels stakeholders in research and innovation.
Our suite of services

- **UKRO Portal**: always up to date with the latest in EU funding and policy
- **Enquiry service and your dedicated European Advisor**: individual support and advice, all year round
- **Annual visit**: a tailored event for your institution
- **Meeting room**: a venue in Brussels – free of charge
- **Specialist training courses, focus groups and information events**: providing in-depth insight into EU programmes
- **Annual conference for European officers**: the latest information on programmes and policies presented by European Commission staff, and other speakers
- **UK National Contact Points for the Marie Curie Actions and the European Research Council (ERC)**
UKRO Portal – sign up today at www.ukro.ac.uk

Whether you are a researcher, European liaison officer or research manager/administrator – you can sign up for free to stay up-to-date with the latest news, opportunities and insight into European funding

• Tailored news articles on EU funding and policy
• UKRO Factsheets on Horizon 2020 and other funding streams
• Email alert function and search engine with refiners and tags
• Daily or weekly alerts - personalise your account to best meet your needs!
UKRO Factsheets on the Portal

Designed to give UKRO sponsors and subscribers a quick overview - yet all the details they need on EU funding schemes.

UKRO Horizon 2020 Condensed
Future and Emerging Technologies (FET)

What is FET?
Future and Emerging Technologies (FET) will support frontier research: alternative ideas, concepts or paradigms of a risky or non-conventional nature.
FET will form one of the four components of the Excellent Science Pillar and will comprise FET Open, FET Proactive (including the implementation of part of the High Performance Computing (HPC) strategy) and FET Flagships. Through the inclusion of FET in Excellent Science, the European Commission is hoping to foster innovative and ambitious ideas, and to speed up technology.

What will be funded?
While FET in FP7 was part of ICT, the scheme will be rolled out to all scientific areas under Horizon 2020.

FET Open
- will fund early-stage joint science and technology projects.
FET Open will operate on a bottom-up basis with regular deadlines for collecting proposals.
Projects are likely to be characterized by long-term vision, novelty, high-risk and interdisciplinarity, and target scientifically ambitious and foundational breakthroughs.
Your European Advisor

• All subscribers have a named contact at UKRO

• Contact your European Advisor with questions on EU funding programmes and EU research and innovation policy

• Help with legal and financial questions

• Advice on the best funding stream for your research project

• General advice on proposal writing
Annual visit

• Bespoke annual visit to your institution by your UKRO European Advisor

• Programme is agreed with the European Liaison Officer (ELO)

• Sessions can cover a variety of subjects and are tailored to each audience
UKRO Conference

- 2-day event for EU policy and networking
- Key event for European Liaison Officers, European research managers, Research Councils and policy makers
- High-level European Commission and other speakers
UKRO National Contact Points

• Advice on the European Research Council and the Marie Skłodowska-Curie Actions

• Websites
  – www.ukro.ac.uk/erc
  – www.ukro.ac.uk/mariecurie

• Helpdesk
  – erc-uk@bbsrc.ac.uk; Phone: 0032 2289 6121
  – mariecurie-uk@bbsrc.ac.uk; Phone: 0032 2 230 0318
EU Referendum and Implications
• Currently, the UK is still an EU Member State

• This means it has the same rights and obligations as all other 27 Member States, including the participation in EU funding programmes

• The UK continues to be a full member state during the negotiation process, with all the rights and obligations

• Details on how the UK can participate after an exit need to be determined during the negotiations following the triggering of Article 50
Treasury Statement 13 August 2016

• UK Treasury guarantees EU Funding for UK researchers beyond the date the UK leaves the EU:
  – “...where UK organisations bid directly to the European Commission on a competitive basis for EU funding projects while we are still a member of the EU, for example universities participating in Horizon 2020, the Treasury will underwrite the payments of such awards, even when specific projects continue beyond the UK's departure from the EU”.

• UKRO understands that eligibility for the guarantee extends to proposals submitted before the UK’s exit, not just to grants signed.

• UK universities and research organisations should therefore continue to apply for EU funding through mechanisms such as Horizon 2020 while the UK remains a member of the EU.
"The referendum result has no immediate effect on those applying to or participating in Horizon 2020. UK participants can continue to apply to the programme in the usual way. The future of UK access to European science funding will be a matter for future discussions. Government is determined to ensure that the UK continues to play a leading role in European and international research."

- BEIS invites anyone who is experiencing problems when engaging with EU funding following the EU referendum to report issues to research@beis.gov.uk using the template provided.
• Statement 4 July 2016: “...until the UK leaves the EU, EU law continues to apply to and within the UK, both when it comes to rights and obligations. This includes the eligibility of UK legal entities to participate and receive funding in Horizon 2020 actions."

• The Commission explicitly briefs evaluators in their guidance: “Experts should not evaluate proposals with UK participants any differently than before.”
Q: “Should project coordinators of Horizon 2020 proposals dedicate a part of their proposal to addressing the potential risks as a consequence of the UK Referendum?

A: No. At this stage, any speculation on the consequences for the Horizon 2020 action of a withdrawal of the UK from the EU will not be taken into account in the evaluation.”

What happens next?

- The future status of the UK in Horizon 2020 depends on the wider Art.50 negotiations.

**EU Member States**
- Full rights in Horizon 2020
- All parts of the programme

**Associated Countries**
- Non-EU countries paying into the Programme’s budget to be treated equally to Member States (full rights)
- All parts of the programme

**Third countries**
- Default status (no specific requirements to be met)
- Can participate in many parts of the programme (excl. SME Instrument, FTI, etc.)
- Eligibility for funding depends on GDP
- Only countries in [Annex A](#) can receive funding automatically
UK Research Office activities

**Continued delivery of usual UKRO services**

- Enabling funding managers to make informed decisions about applying for funding and engaging in policy dialogue
- **Tackling uncertainty**: Provision of clear, consistent information in a transparent way
- UKRO Annual Conference 30 June, 1 July

**Facilitation role**

- Gathering questions (and feedback) on behalf of UK Government
- Disseminating key messages, official statements and providing a platform for subscribers, wider research community and stakeholder organisations
- Continued liaison and engagement activities
Resources

Universities UK FAQ page on Brexit
http://www.universitiesuk.ac.uk/policy-and-analysis/brexit/Pages/brexit-faqs.aspx

UKRO website (public announcements)
www.ukro.ac.uk
Horizon 2020

An overview
Horizon 2020 overview

• The EU's funding programme for research and innovation
  – Covering the **entire cycle from research to innovation** – from basic research to bringing ideas to the market

• Runs for seven years from 2014 – 2020

• Almost €80 billion of funding

• Structured around three pillars including a wide range of different funding schemes

• Focus on societal challenges EU society is facing (e.g. health, clean energy, food security, integrated transport)

• Opportunities for individual researchers and groups of researchers, including individual grants, funding for European collaborative research, mobility, close to market activities
Horizon 2020 structure

Excellent Science
- European Research Council (ERC)
- Future and Emerging Technologies (FET)
- Marie Skłodowska-Curie Actions (MSCA)
- Research Infrastructures

Industrial Leadership
- Leadership in Enabling and Industrial Technologies (LEIT) - ICT, NMBP, Space
- Access to Risk Finance
- Innovation in SMEs

Societal Challenges
- Health and Wellbeing
- Food security
- Transport
- Energy
- Climate action
- Societies
- Security

Widening Participation; Science with and for Society, Mainstreaming of Social Sciences and Humanities (SSH) and ICT, Fast Track to Innovation

European Institute of Innovation and Technology (EIT)
EURATOM
Joint Research Centre (JRC)
Key features

• Two-year work programmes with calls for proposals
• Bottom-up and top-down opportunities
• In general broad topics and openness for a range of approaches
• Mainstreaming of SSH, ICT, international co-operation
Policy foundation

• New Commission agenda for jobs, growth, fairness and democratic change (2015-2020)

• 10 new priority areas – none of these directly refer to R&I, but...

• ...R&I is seen as major drivers to stimulate and leverage investment, finding new solutions and knowledge.
Horizon 2020

The 2016/17 Work Programme
2016/17 Work Programme

- 2017 part of the Work Programme was published in July 2016
- Consist of 20 parts, covering the different parts of Horizon 2020
- Separate ERC and EURATOM work programmes
- General annexes include, for example, information on the list of countries eligible for funding, standard eligibility criteria, types of actions, TRL, evaluation criteria, open access
What is new in 2017?

- 50 calls - about €8,5 billion
- Open access to research data
- Some new calls/prizes announced, including on migration
- Update articles on each area available on the UKRO Portal
Horizon 2020

The basics on participation
Horizon 2020 – is it for me?

• Variety of instruments available (individual grants, funding for collaboration, prizes...)

• What is the scale of funding required?

• What form of funding do you need?

• Does your project idea have European Added Value (required in most cases)?
Who is eligible?

All 28 EU Member States:

- Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, United Kingdom
Who is eligible?

• **Overseas Countries and Territories (OCT) linked to the Member States**
  – Anguilla, Aruba, Bermuda, Bonaire, British Virgin Islands, Cayman Islands, Curaçao, Falkland Islands, French Polynesia, Greenland, Montserrat, New Caledonia, Pitcairn Islands, Saba, Saint Barthélémy, Saint Helena, Saint Pierre and Miquelon, Sint Eustatius, Sint Maarten, Turks and Caicos Islands, Wallis and Futuna

• **Associated Countries:**
  – Norway, Albania, Bosnia and Herzegovina, the former Yugoslav Republic of Macedonia, Montenegro, Serbia, Turkey, Israel, Moldova, Switzerland, Faroe Islands, Ukraine Tunisia, Georgia and Armenia.

• **Third countries (whether they can receive funding depends on GDP/list in WP)**
Third countries – eligibility and funding

- Only less developed economies (countries mentioned in Annex A to the WP) are **automatically eligible** for EU funding.

- Developed and developing economies, such as the USA, Canada, Australia, New Zealand, BRIC, Mexico, etc. will no longer automatically qualify for EU funding.

![Map of the world showing eligibility and funding](image-url)
Third countries – eligibility and funding

• Exceptionally, funding for partners from countries that no longer qualify for EU funding may be provided in the following cases
  – Under the existence of a bilateral agreement specifying such funding i.e. EU-US agreement for Societal Challenge 1;
  – When such funding is explicitly mentioned in the call text or topic; and
  – When Commission deems participation of an entity essential for the success of the project due to its expertise, access to data, etc.
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<th>Types of action</th>
<th>Description</th>
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<td><strong>Research and innovation actions (RIA)/ Innovation actions (IA)</strong></td>
<td>‘Traditional’ multi-national, multi-partner collaborative projects</td>
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<tr>
<td><strong>Coordination and support actions (CSA)</strong></td>
<td>Actions consisting primarily of accompanying measures, e.g. standardisation, dissemination, networking</td>
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<td><strong>SME instrument</strong></td>
<td>SMEs only – research can be subcontracted to HEIs</td>
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<td><strong>ERA-NET Cofund actions</strong></td>
<td>Programmes run by network of national funders in specific field, part-funded by the EU from Horizon 2020. Issue calls for proposals in their own funding regimes.</td>
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<td><strong>European Joint Programme (EJP) Cofund actions</strong></td>
<td>Action designed to support coordinated national research and innovation programmes</td>
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<tr>
<td><strong>Pre-Contractual Procurement (PCP) actions</strong></td>
<td>Public sector buys R&amp;D to steer development of its solutions to its needs</td>
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<tr>
<td><strong>Public Procurement of Innovative Solutions (PPI) actions</strong></td>
<td>Public sectors acts as launching customer/early adopter/first buyer for innovative products and services</td>
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<td><strong>Prizes</strong></td>
<td>All or nothing specific competitive calls – content varies</td>
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<td><strong>plus ERC frontier research actions and training and mobility actions (including MSCA)</strong></td>
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Participation criteria

• In most cases the minimum criteria are three legal entities each of which established in a different Member State or associated country

• Exceptions to the rule: ERC, MSCA, prizes...

• Open access to publications and open research data (previously open data pilot)

• Ethics, research integrity
Funding in Horizon 2020

• Basic model for research projects
  – 100% direct costs +
  – 25% indirect costs (overhead)
• Basic model for “innovation” projects
  – 70% direct costs +
  – 25% indirect costs
For Universities involved in innovation projects: 100% direct costs

• Same model applies for ERC and for Coordination and Support projects
• Some calls different – e.g. inducement prizes
• Marie Sklodowska-Curie Actions – unit costs
Horizon 2020
Work Programme 18-20
and Interim Evaluation
Work Programme 2018-2020

• Strategic programming sets priorities for the last three years of Horizon 2020 on the basis of legislation, outcomes of the Horizon 2020 interim evaluation and MFF mid-term review, consultations and Commission priorities
• Expect full description of topics for 2018-2019, with more of an outlook for 2020
• Commission’s preference is for the next programming period to cover 2018-2020 with a three-year Work Programme, to protect the budgets
• Member States normally prefer 2+1 option, as it allows for better alignment of priorities for funding with emerging challenges, such as economic and migration crises
Member State representatives discuss the contents of the draft Work Programme at Programme Committee (PC) meetings for the different areas of H2020.

**Strategic Programming Process for WP 2018-2020**

- **Early 2016**
  - Stakeholder consultations (online, ETPs, JTIs...)
- **Mid 2016**
  - Expert Advisory Group reports published
- **End 2016**
  - Scoping papers discussed by PC, leading to first draft of WP
- **Jan-May 2017**
  - PCs discussing detailed WP content
- **Summer 2017**
  - Commission inter-service consultation + further discussions in PCs
- **Late 2017**
  - Publication of Work Programmes
WP 2018-2020 - What is already available?

• Advisory Group reports (details of the advisory groups on the Commission website) such as:
  – SC1 (health)
  – SC5 (climate)
  – SC6 (societies)
  – SWAFs

• Consultations
  – Consultations on Strategic Programming for 2018-2020 are now closed
  – Reports on consultations on mathematics, SWAFS, SC6, SC5 and the Energy Union are available

• Links to information on WP preparation in some areas on Commission web page

• European Commission published scoping papers for the 2018-2020 Work Programme in December 2016
  – First drafts of the Work Programmes are being developed by the European Commission at present
WP 2018-2020

• More emphasis on achieving impact

• Bigger calls and topics, which are going to be more mission-oriented with better linkages between impact at topic, call and programme level

• Four new focus areas expected (in the areas of sustainable development/climate, digitisation, the circular economy and security). For these calls, topics are coordinated between different societal challenges and we can expect bigger budgets and a mission-oriented approach.

• Joint calls to tackle low international cooperation
2018-20 Work Programmes – How about UK participation?

• HMT statement provides underwrite for applications submitted until the UK leaves the EU

• Arrangements beyond this point will be part of the Article 50 negotiations

• Different scenarios are possible (association, third country)

• Questions/concerns – please let UKRO know so they can be fed back to BEIS throughout the year.
Horizon 2020 Interim Evaluation

- "By 31 December 2017, and taking into account the ex-post evaluation of the Seventh Framework Programme to be completed by 31 December 2015 and the review of the EIT, the Commission shall carry out, with the assistance of independent experts, selected on the basis of a transparent process, an interim evaluation of Horizon 2020, its specific programme, including the European Research Council (ERC), and the activities of the EIT".

- Will look at progress against Horizon 2020 objectives, impact achieved, relevance of measures, efficiency and use of resources, EU added value

- To include Joint Technology Initiatives, Fast Track to Innovation

- Will take into account FP7 ex-post evaluation

Responses from the Department of Business, Energy and Industrial Strategy (BEIS) and Research Councils UK are available on the UKRO Portal engagement page. They will be made publicly available when the European Commission publish the responses.

Other written contributions to the interim evaluation included statements published by the European University Association, the European Association of Research and Technology Associations (EARTO), the European Association of Research Managers and Administrators (EARMA), Digital Europe, the Max Planck Society, Science Europe and the League of European Research Universities (LERU).
Horizon 2020 Interim Evaluation

• Will look at:
  – Effectiveness - do the effects correspond to the objectives?
  – Efficiency - were the impacts (benefits) achieved at a reasonable cost?
  – Relevance - do the objectives correspond to the needs?
  – Coherence - interventions do not contradict others with similar objectives
  – EU-added value - additional value from EU activities, compared to what could be achieved at other levels

Dec 2016:
Start of the High Level Group (HLG) on H2020 Interim Evaluation

Oct/Dec 2016:
On-line stakeholder consultation

May 2017:
Publication of Staff Working Document

June 2017:
Publication of HLG Report; stakeholder conference

Oct 2017:
Publication of Commission Communication
• Issues
  – Support for innovation, in particular market-creating innovation and high-potential scale-up firms (European Innovation Council)
  – Improving framework conditions, in particular the availability of venture capital (Fund of Funds)
  – Closing the innovation gap (Widening)
  – Taking account of urgent challenges (Asylum and migration)
  – Streamlining and simplification as a continuous challenge

• Chair of HLG announced as Pascal Lamy, Professor Emeritus of the Jacques Delors Institute and a former Director-General of the World Trade Organisation and European Commissioner for Trade

• Other members of the HLG also announced, and includes representation from the UK - https://ec.europa.eu/research/evaluations/index_en.cfm?pg=hlg
How can you engage?

- Stay up to date with policy developments via the UKRO Portal

- Respond to consultations, which, when open, will be listed on the UKRO Engagement page: https://www.ukro.ac.uk/subscriber/Pages/engagement_opportunities.aspx

- What would you like to see in “FP9” – what should stay, go, new ideas...
Looking ahead

- Results of the **FP7 ex-post evaluation** published November 2015
- These will feed into the Horizon 2020 mid-term review
- **H2020 interim evaluation** started in the autumn of 2015 and must be completed by the end of 2017
- **European Innovation Council**
- Results of the review feed into the planning for “FP9”, “Horizon 2027”, ...?
Beyond Horizon 2020

“Framework Programme 9”

- Horizon 2020 interim evaluation (ongoing) will provide input to the development of the next Framework Programme (working title FP9)
- Stakeholder consultation expected to open in July 2017
- EU Budget (MFF) - Commission proposal on the next financing period (2021-?) expected in December 2017
- FP9 proposal should follow soon after (Q1 2018)
- Goes through ordinary procedure (EP/Council)

The future of the UK’s participation in framework programmes:
- To be negotiated and decided...
- UKRO will keep subscribers informed with latest updates.
Thank you for your attention

Dr Ailidh Woodcock
European Advisor
UK Research Office (UKRO)
Email: Ailidh.Woodcock@bbsrc.ac.uk
Tel: +32 2 286 90 56