



Horizon 2020

NMC 2013, what to expect?

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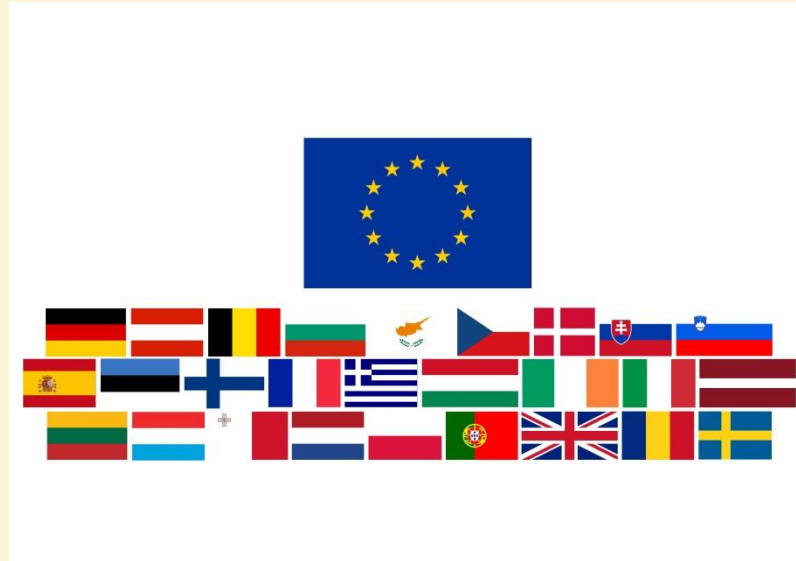
Topics

Part I: Policy context

Part II: From FP7 to H2020

Part III: Strategy towards H2020

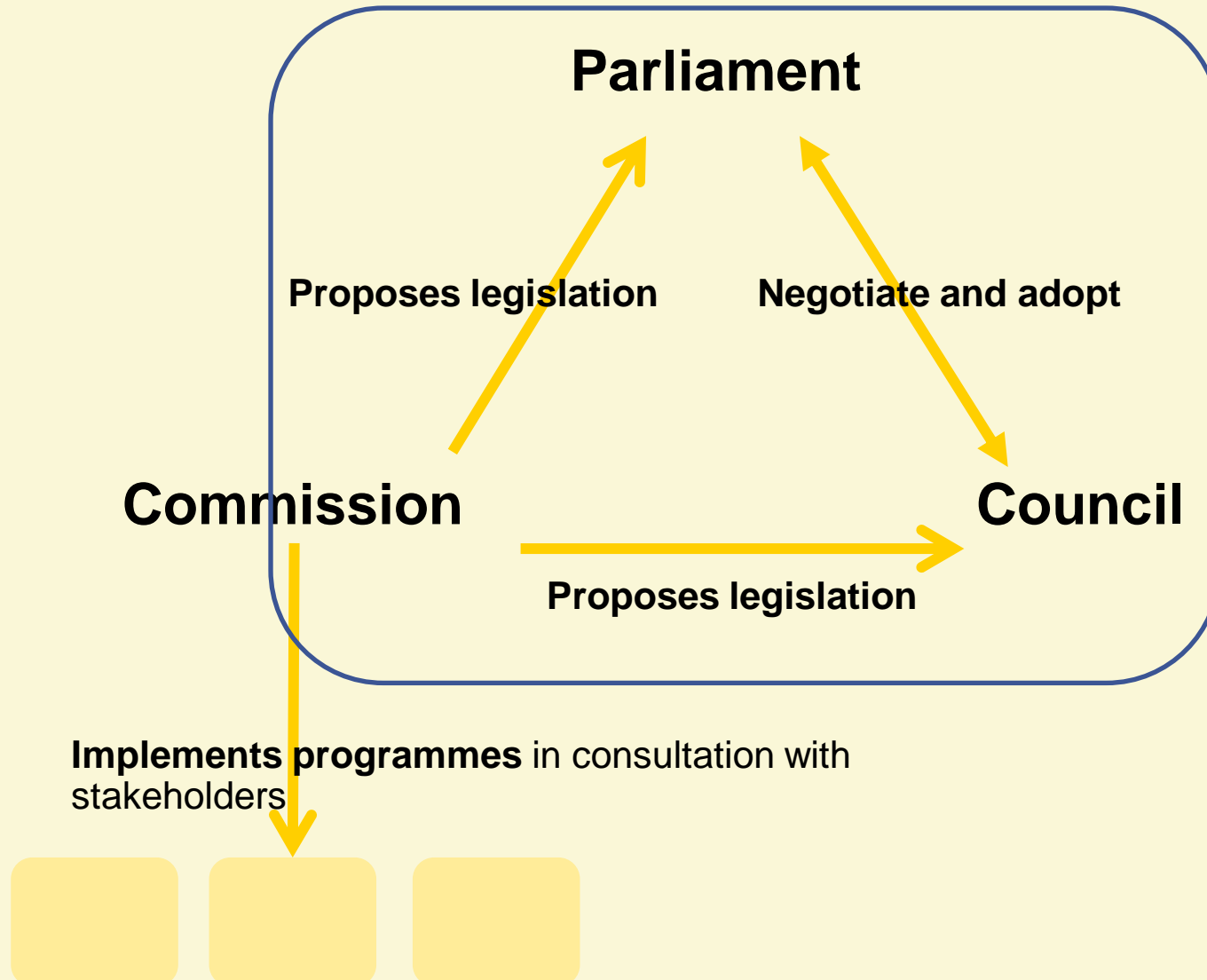
Part V: Lobbying or influencing or monitoring



PART I: EU POLICY CONTEXT

EU Institutions and their competences

From Green to White papers to official legislation / policy adoption and translation into work programmes and calls



EU Policy Development Cycle

~ 10 Year Policy Cycles

- Europe 2020
- Innovation Union

7 Year Programme Cycles

- FP7
- H2020

1/3 Year Strategic Programmes
1/2 year Work Programmes

- WP Health
- WP NMP etc

Europe 2020: 3 priorities, 7 flagship initiatives, 5 targets

A strategy for smart, sustainable and inclusive growth

- **Innovation:**
Innovation Union
- **Education:**
Youth on the move
- **Digital Society**
A Digital Agenda for Europe

- **Climate, Energy, Mobility**
Resource efficient Europe
- **Competitiveness**
An industrial policy for the globalisation era

- **Employment and Skills**
An Agenda for new skills and jobs
- **Fighting Poverty**
European Platform against Poverty

Employment rate, R&D investment, climate change, renewable energy and energy efficiency, education and social inclusion/poverty

EU 2020: 7 Flagships

Smart Growth:
knowledge and
innovation
economy



**Sustainable
growth:** greener
and competitive
economy



Inclusive growth:
high employment,
knowledge people
and social and
territorial cohesion



Europe 2020: 5 EU Targets

(translated in national and regional ones)

By 2020:

- **75 % (now 69) employment rate** (% of population aged 20-64 years)
- **3% (now 1,8) Investment in R&D** (% of EU's GDP)
- **“20/20/20” climate/energy targets met** (incl. 30% emissions reduction if conditions are right)
- **< 10% (now 15) early school leavers** & **min. 40% (now 31) hold tertiary degree**
- **20 million less people (now 80) should be at risk of poverty**



PART II: FROM FP7 TO H2020

FP7 programmes and instruments

	Cooperation	People <i>Marie Skłodowska-Curie Actions (MSCA)</i>	Ideas European Research Council (ERC)	Capacities
Goals	Transnational cooperation on defined themes	Encourage mobility and research careers	<ul style="list-style-type: none"> • Frontier research • Foster scientific excellence 	Enhance research and innovation capacities
Programmes & Instruments	<ol style="list-style-type: none"> 1. Health 2. Food, agri. and fisheries; bio-tech. 3. ICT 4. Nanotechs. 5. Energy 6. Environment 7. Transports 8. SSH 9. Space 10. Security 	<p><i>Consortium driven:</i></p> <ul style="list-style-type: none"> • Initial training networks (multi-partner, EID, IDP) • IAPP • IRSES <p><i>Individual Grants:</i></p> <ul style="list-style-type: none"> • IEF • CIG • IOF • IIF <p>Other</p> <ul style="list-style-type: none"> • COFUND • Specific actions 	<ul style="list-style-type: none"> • Starting grants • Consolidator grants • Advanced grants • Synergy grants • Proof of concepts 	<ol style="list-style-type: none"> 1. Research Infrastructures (RI) 2. Support for SMEs 3. Regions of Knowledge 4. Research potential 5. Science and societies 6. Coherent dev. research policies 7. Inter. Coop.

Horizon 2020: three pillar structure

	Excellent Science	Industrial Leadership	Societal Challenges
Goals	<ul style="list-style-type: none"> • Support excellence • Consolidate ERA 	<ul style="list-style-type: none"> • Support SME • Innovation 	<ul style="list-style-type: none"> • Tackle challenges • Policy priorities
Programmes	Marie Skłodowska-Curie Actions	Key and Enabling Technologies <ul style="list-style-type: none"> • ICT • Nanotechnologies • Advanced mat. • Biotechnologies • ... 	<ol style="list-style-type: none"> 1. Health 2. Agriculture and the bio-economy 3. Clean energy 4. Transport 5. Climate change and raw materials 6. Inclusive, innovative and secure societies
	European Research Council (ERC)		
	Research Infrastructure	Access to risk finance	
	Future and Emerging Technologies (FET)	Innovation in SME	

H2020 Excellent Science: specific objectives

	Marie Skłodowska-Curie Actions	European Research Council	Research Infrastructures	FET
Indicator	Circulation of researchers and number of MSCA PhD candidates	<ol style="list-style-type: none"> 1. publications among top 1% 2. # policy measures inspired 	# of RI made accessible by EU support	<ol style="list-style-type: none"> 1. # publications in high cited journals 2. # patents
Current	<ul style="list-style-type: none"> • 50'000, 20% PhDs 	<ol style="list-style-type: none"> 1. 0.8% 2. 20 	<ul style="list-style-type: none"> • 650 	<ol style="list-style-type: none"> 1. Not applicable 2. Not applicable
Targeted	<ul style="list-style-type: none"> • 65'000, 40% PhDs 	<ol style="list-style-type: none"> 1. 1.6% 2. 100 	<ul style="list-style-type: none"> • 1000 	<ol style="list-style-type: none"> 1. 25 per €10 million 2. 1 per € 10 million

H2020 Societal Challenges: Specific objectives

	Global objectives		
Indicator	<ul style="list-style-type: none">• # Publications	<ul style="list-style-type: none">• # Patents	<ul style="list-style-type: none">• # of pieces of legislation referring to activities supported in the area of the Societal Challenges
Current	<ul style="list-style-type: none">• FP7: >8000	<ul style="list-style-type: none">• FP7: > 150	<ul style="list-style-type: none">• Not applicable
Targeted	<ul style="list-style-type: none">• 20 per €10 million	<ul style="list-style-type: none">• 2 per €10 million	<ul style="list-style-type: none">• 1 per €10 million

H2020 Industrial Leadership: Specific objectives

	Key Enabling Technologies	Innovation in SMEs	Access to risk finance
Indicator	# patent applications	1. Share of participating SMEs introducing new innovations	# investments mobilised via debt financing and venture capital
Current	<ul style="list-style-type: none"> New 	<ul style="list-style-type: none"> New 	<ul style="list-style-type: none"> New
Targeted	<ul style="list-style-type: none"> 3 per €10 million 	<ul style="list-style-type: none"> 50% 	<ul style="list-style-type: none"> €100 million investment per €10 million EU contribution



SIMPLE EVALUATION CRITERIA

Excellence – Impact - Implementation (Excellence only, for the ERC)

Evaluation criteria H2020

- H2020: Only 3 evaluation criteria are proposed to streamline and consolidate those in place in FP7, where the RfP defined two separate sets of criteria with a total of 6 different main criteria.
- H2020 Evaluation Criteria:
 - Excellence,
 - Impact and
 - Quality & efficiency of the implementation
- The criteria are detailed against the objectives and priorities included in the WP, including weighting and thresholds and other indicators meaningful at the level of the individual project, and subject to the Specific Programme

FP7	Scientific & Technological Excellence	Implementation	Impact	Training	Transfer of Knowledge	Researcher / Principal Investigator
Cooperation	5	5	5			
Capacities	5	5	5			
MC – ITN	5	5	5	5		
MC- IAPP/IRSES	5	5	5		5	
MC individual (IEF, IOF, CIG, IIF)	5	5	5	5		5
ERC	ABC					ABC

H2020	Excellence	Impact	Implementation
Societal Challenges	•	•	•
Key enabling technologies	•	•	•
Excellent Science Base:	•	•	•
MC- ITN	•	•	•
MC secondments (from 2 to 1 scheme)	•	•	•
MC – Individual (from 4 to 1 scheme)	•	•	
ERC	•		

PART III: STRATEGY FOR H2020

Horizon 2020: three pillar structure

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Map funding opportunities

- Identify your research lines and opportunities
- Assess novelty, development etc
- Identify potential H2020 funding
- Make a mix of individual and multi-partner funding
- Map these along a timeline of 5 to 10 years
- Balance national versus international visibility
- Initiate collaboration networks
- Set up new research lines through individual / multi-partner funding

What do you need?

- Track record
- Personnel
- Funding:
 - National – International
 - Individual – Consortia
 - Research – Education – Infrastructure
 - Basic – Applied research
 - Research field: limitation or not?

Country	Total	Advanced	Starters
FR	35	15	20
UK	26	9	17
IT	25	8	17
DE	24	10	14
IL	17	10	7
CH	16	11	5
ES	9	4	5
DK	7	5	2
BE	6	-	6
HU	6	6	
Fi	5	2	3
NL	5	3	2
AT	4	3	1
NO	3	1	2
CZ	2	1	1
EL	2	1	1
SE	2	-	2
EI	1	-	1
TR	1	1	-

ERC, PE1

Country success

2007-2012

Starters and
Advanced

ERC in a nutshell

- Frontier research proposal in any field of science, engineering and scholarship (except nuclear energy). High-risk/high-gain research
- **Independent** (to establish, to consolidate or is established) as PI
- Any nationality and age
- Host institution in an EU Member State or an Associated Country
- Grants are portable (when justified) but apply with the right Host Institute

Starting	Consolidator	Advanced
PhD 2 to 7 (MD 4-9) years prior to publication date call	PhD 7 to 12 (MD 9-14) years prior to publication date call	Active research record past 10 years
1.5 M euro	2.0 M euro	2.5 M euro
€ 0.5 M extra*	€ 0.75 M extra*	€ 1.0 M extra*

*When moving into Europe as PI OR/AND purchase of major equipment OR/AND access to large scale research infrastructures

PART IV: LOBBYING

“Participating in the decision-making process”:

- Calls
- Structural changes
- Other

Lobbying in Brussels ..., but where?

EU	Stakeholder Groups	National
<ul style="list-style-type: none"> • Commission officials 	<ul style="list-style-type: none"> • Technology Platforms 	<ul style="list-style-type: none"> • Civil servants
<ul style="list-style-type: none"> • Working Groups 	<ul style="list-style-type: none"> • European Associations 	<ul style="list-style-type: none"> • Brussel based offices: UKRO, Nether, Swisscore, etc
<ul style="list-style-type: none"> • Advisory Groups 	<ul style="list-style-type: none"> • Scientific leaders 	
<ul style="list-style-type: none"> • <i>Programme Committee</i> 		<ul style="list-style-type: none"> • <i>Programme Committee</i>
<ul style="list-style-type: none"> • <i>European Parliament</i> 		<ul style="list-style-type: none"> • <i>European Parliament</i>
<ul style="list-style-type: none"> • <i>Council</i> 		<ul style="list-style-type: none"> • <i>Council</i>

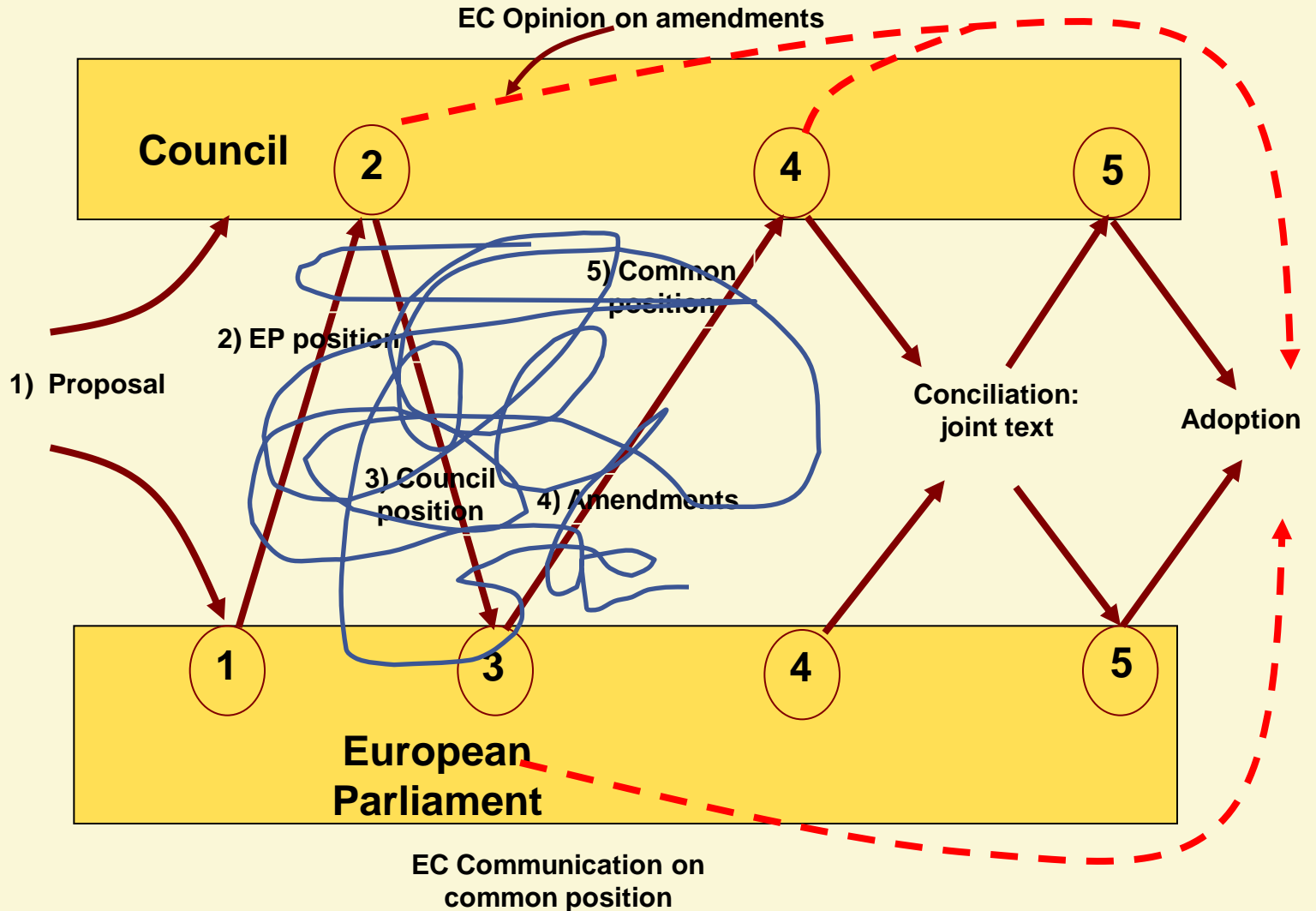
Success depends on representativeness of “your” group and the level of unification of the vision presented

Ordinary Legislative Procedure (former co-decision)

Stakeholder consultation
(Ended December 18 2009)

European Commission
H2020

FP7 evaluations
FP7 Interim review
etc



Parliament

Lots of support, but some serious issues:

Little agreement on what innovation means & major questions:

- a) pre-commercial public procurement
- b) inducement prices
- c) financial instruments

Clearer definitions and ways to measure scientific excellence & guarantees all participants participate in all three pillars

Simplifying application procedures under H2020 for new member states.
Commission sticks to excellence as sole criterion

EIT not ambitious enough

Serious doubts on:

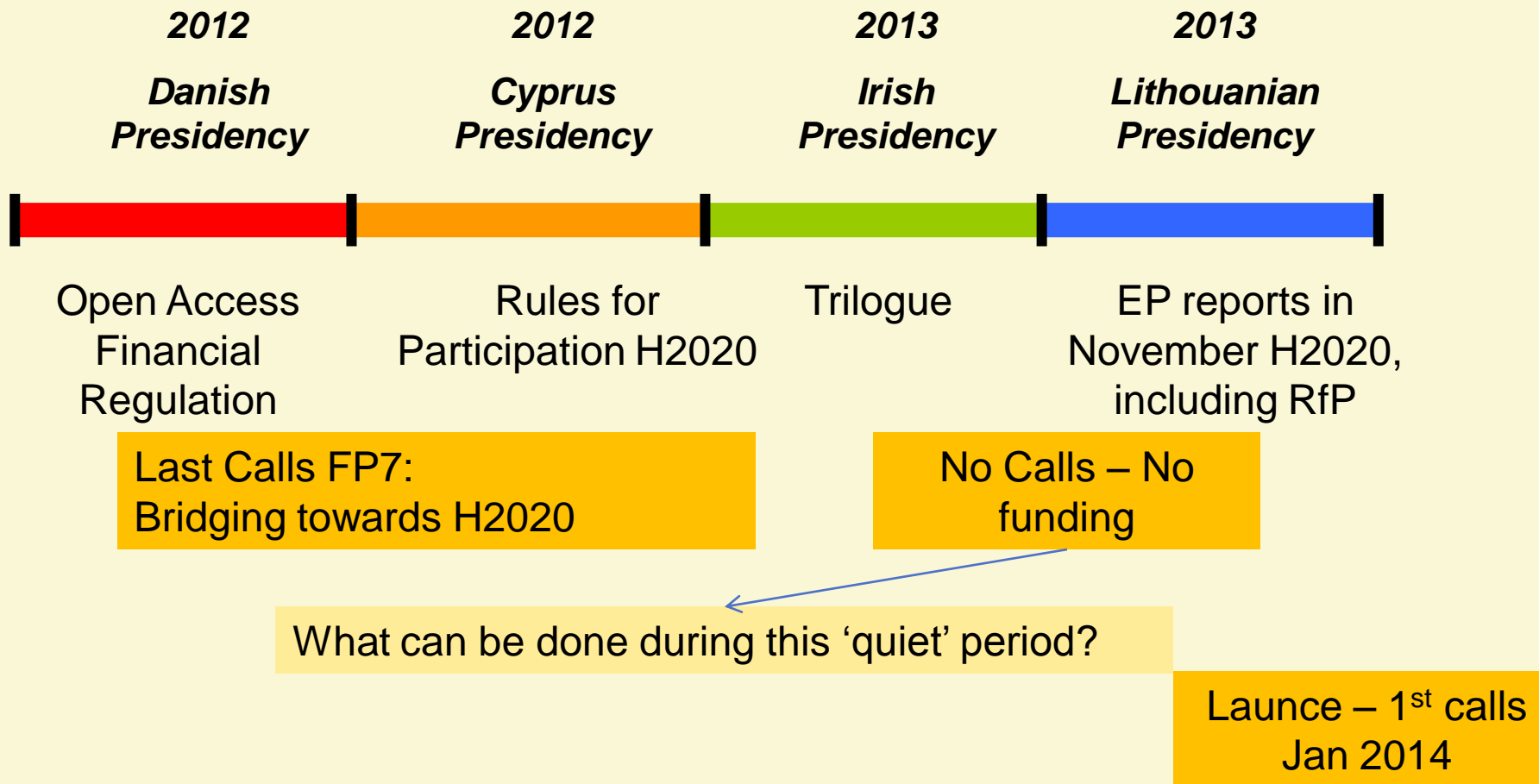
- a) single funding rate
- b) two reimbursement rates (100% versus 70%)
- c) opt-out provision (EIT & JTIs)
- d) provisions IPR along FP7 will service innovation

Council

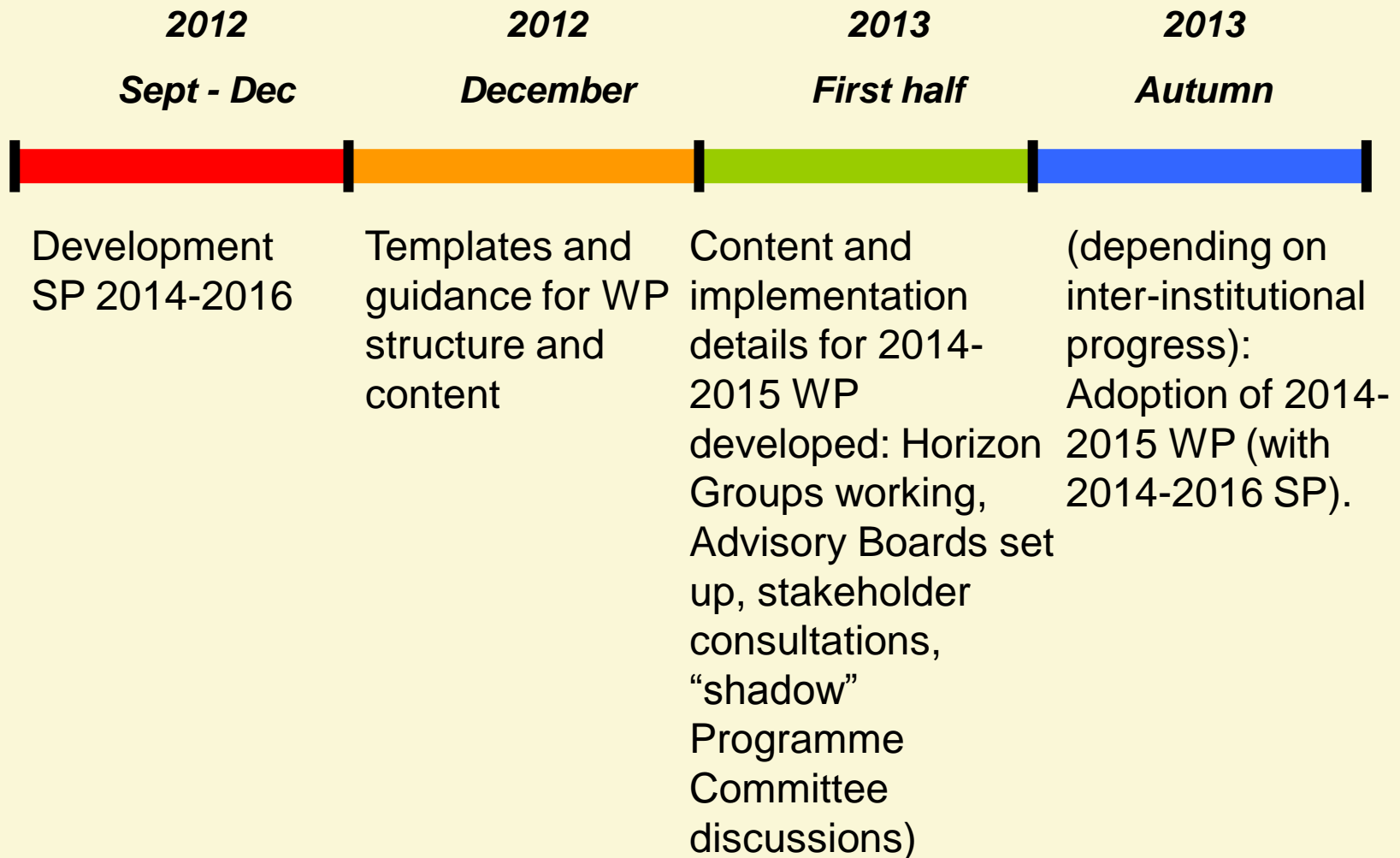
Wide support, but some serious issues:

- Big discussions about budget (MFF) with strong country divergence:
 - a) 15% budget cut, or
 - b) More serious cuts
- Programme committees with 17 subgroups, not just one and less power to Advisory boards
- Target 15% for SME not high enough, 20% asked
- Doubts about simplification: eligibility VAT, 100/70 and low level of overhead (25% of direct costs)
- Synergies between Horizon 2020 and structural funds

Towards H2020



Implementation H2020



H2020 work programme

	2012	2013	2014	2015	2016	2017	2018	2019	2020
L o b b y H 2 0 2 0 ?			Strategic Programme						
			Work Programme 1		Strategic Programme				
	Calls published on basis of WP '14		Ad hoc financing decision '15		Work Programme 2		Strategic Programme		
					Calls published on basis of WP '16		Ad hoc financing decision '17		Work Programme 3
						Calls published on basis of WP '18		Ad hoc financing decision '19	
								Work Programme 4	
								Calls published on basis of WP '20	

The strategic programme spans 3 years, with a rolling review every two years. Work programme cycle revisions and calls for proposals may vary, depending on the nature of the community of potential applicants.

Influencing 3-year Strategic Programmes and 2-year Work Programmes

Rolling 2-year reviews of the Strategic Programme. The work programme mirrors the strategic programme, updated over the same 2-year cycle

- Reviews follow consultation and expert advice
 - Horizon Groups,
 - Advisory Boards to be set up,
 - Open stakeholder consultations,
 - “shadow” Programme Committee discussions
 - European Technology Platforms
 - Workshops, expert group etc
 - Consultation with other EC directorates

Interpretation Issue note: H2020 Work Programme, Oct 2012

Nature of the lobby process

EU lobbying is direct and of a technical/scientific nature

- is **welcome** when pro-active and constructive
- is (first) **about giving** and (then) benefiting
- can help make **your voice** heard
- contributes to shaping **European Research Area** (know the policies)

Vertical lobbying

Commissioner

Director General

Directorate
Director

Unit:
Head of Unit

Chef de Dossier



Thank you

Read more on this website with a great overview on all EU funding:
<http://www.eustrainingsite.com/2014-2020.php?id=106#euf>