

Webinar on Widening in Partnerships

Wednesday, April 28th, 2021

Moderator:

Michael Dinges, Austrian Institute of Technology, ERA-LEARN



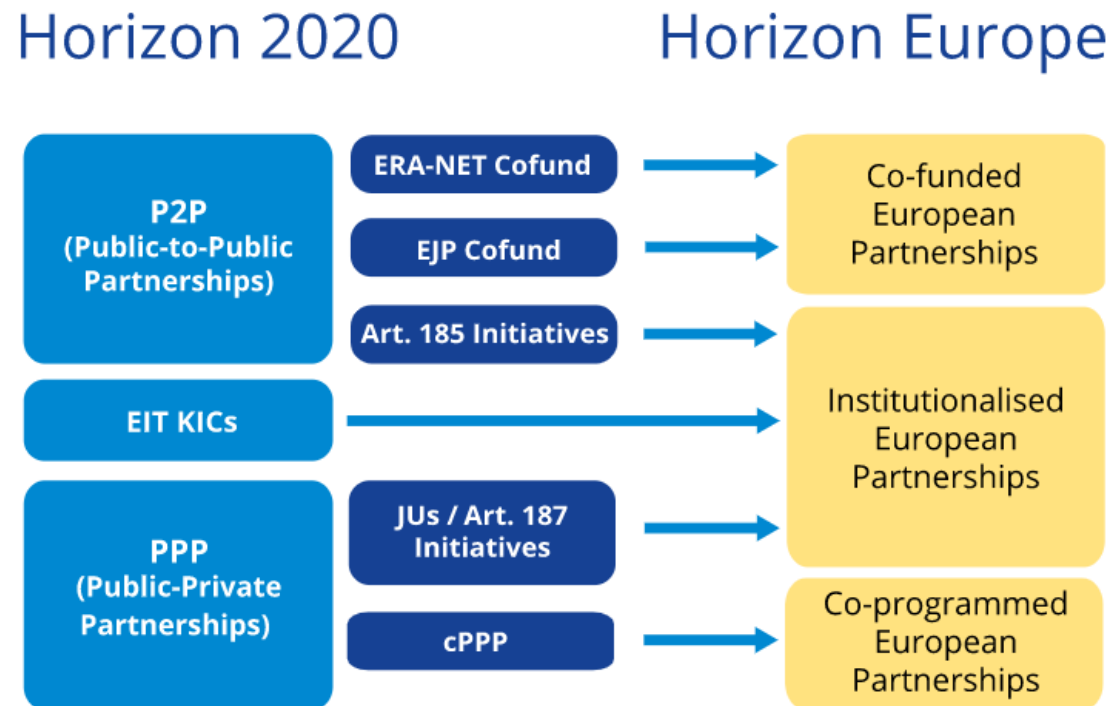
Introduction to ERA-LEARN

Who we are and what we do

Roland Brandenburg, FFG

ERA-LEARN: main goals 2018-2022

- support the transition of Partnerships from Horizon 2020 to Horizon Europe:
 - interact closely with the Partnerships community and facilitate a dialogue among stakeholders
 - provide the Partnerships community with evidence and guidance

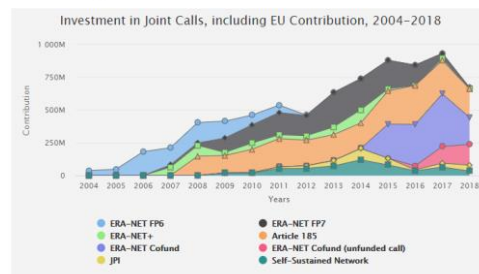


ERA-LEARN: service provider

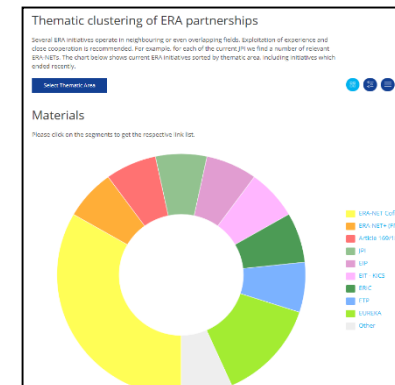
- central information hub: the ERA-LEARN portal www.era-learn.eu
- databases:
 - networks, countries, organisations
 - joint calls, funded projects
 - thematic information
- material, guidance & toolkits
 - joint calls & other joint activities
 - support impact assessments
 - good practice for specific common challenges
 - reports
- interaction with community
 - newsletter
 - events



Facts and figures



R&I Partnership Evaluation (RIPE) Toolkit



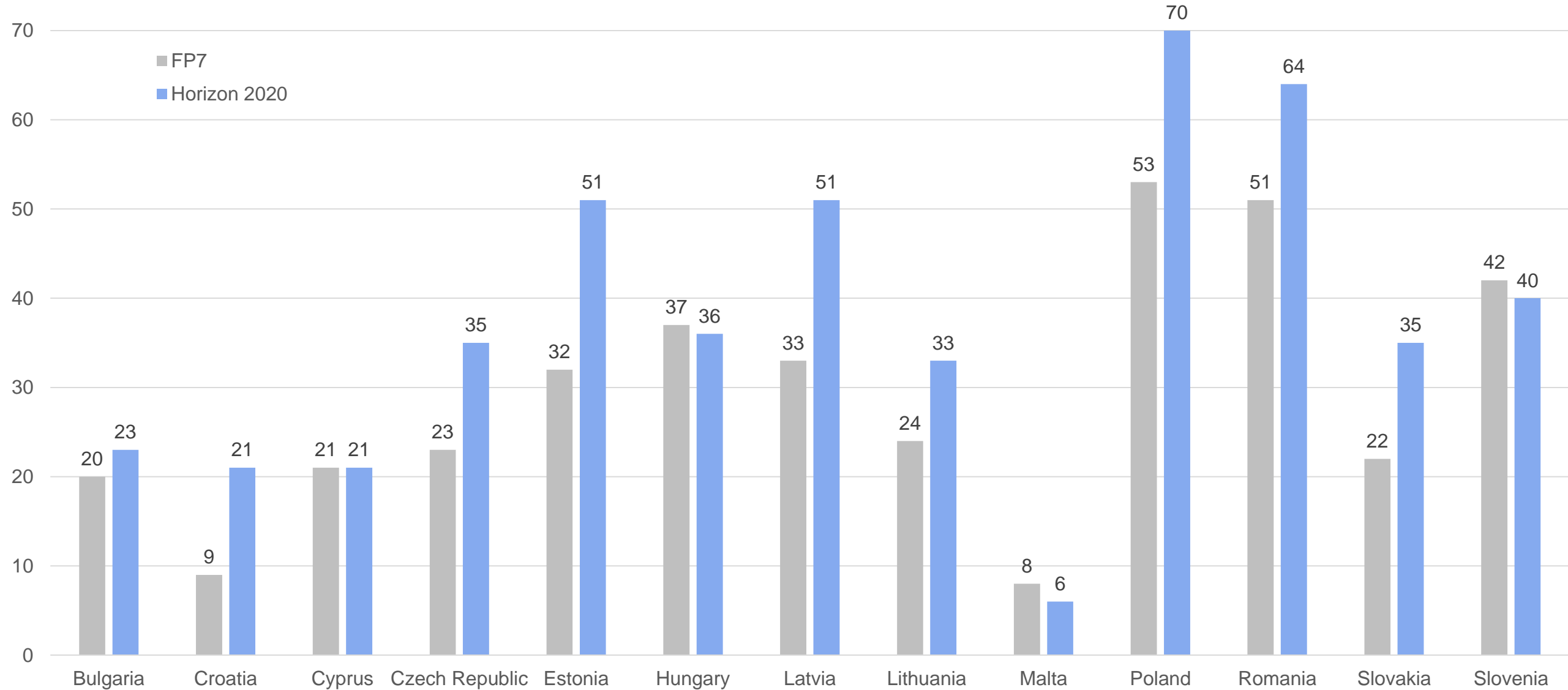
Some figures from the database

Disclaimer

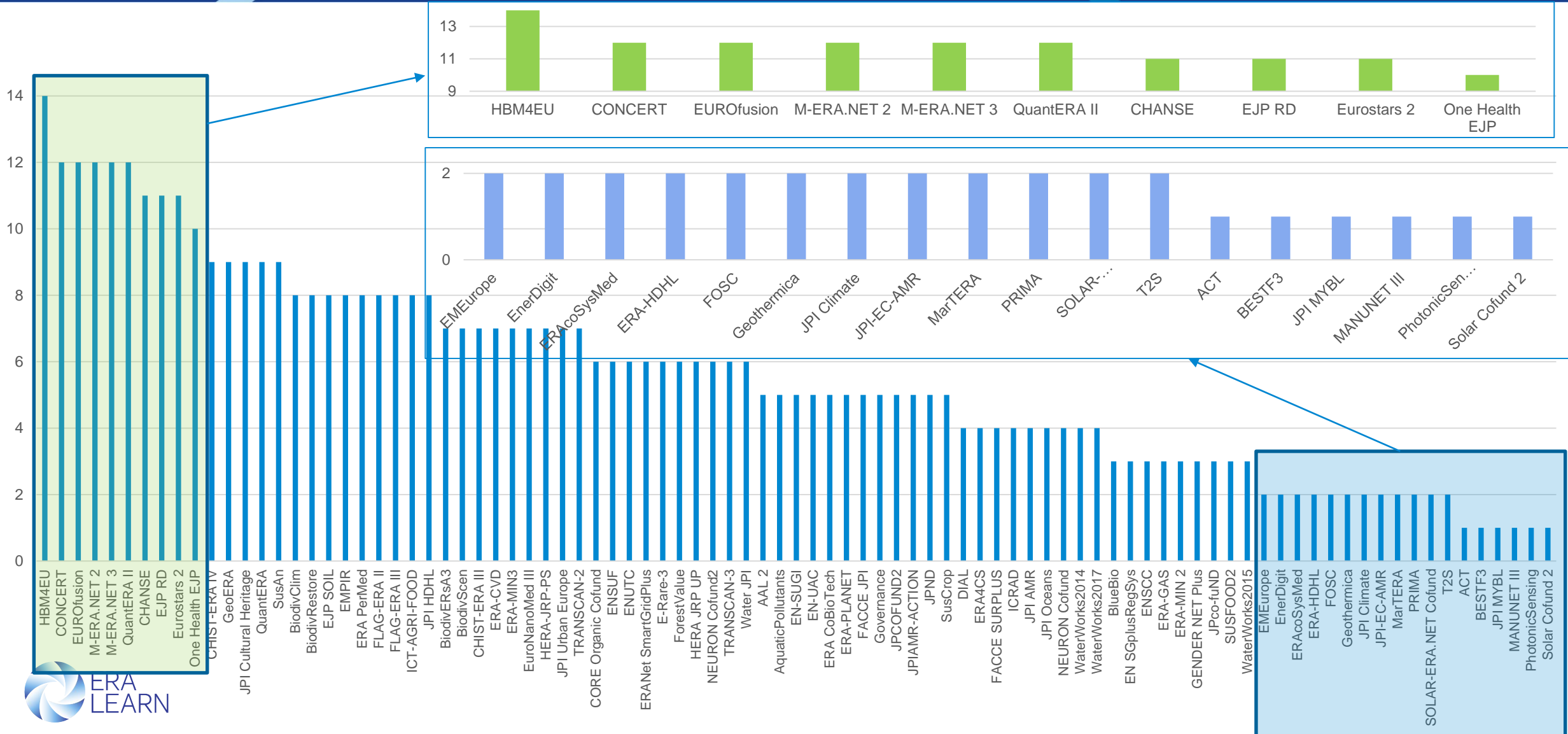
please consider:

- the ERA-LEARN database of calls and projects relies on data supplied by networks! we try to collect everything but there could be gaps – please support
- graphs show preliminary data –some H2020 networks are still ongoing
- currently (April 2021) 5800 funded projects with 31800 research group participations
- some networks could/should be seen as one –e.g. some JPIs have launched several ERA-NET Cofund networks which have separate database entries
- nevertheless, trends with respect to countries and framework programmes are obvious

Networks: participations of EU-13 funding orgs. in Public-Public Partnerships

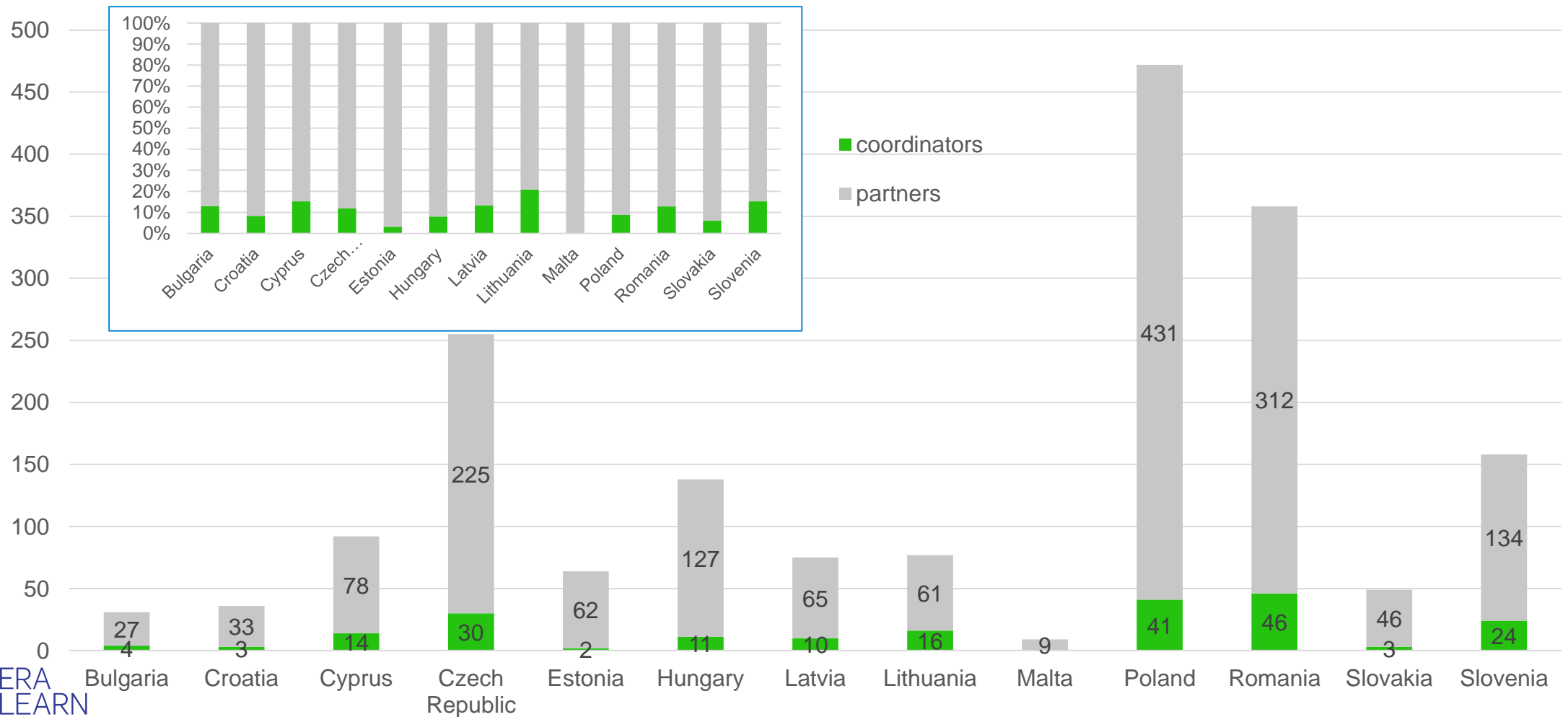


Networks: participations of EU-13 funding orgs. in H2020 partnerships + JPI



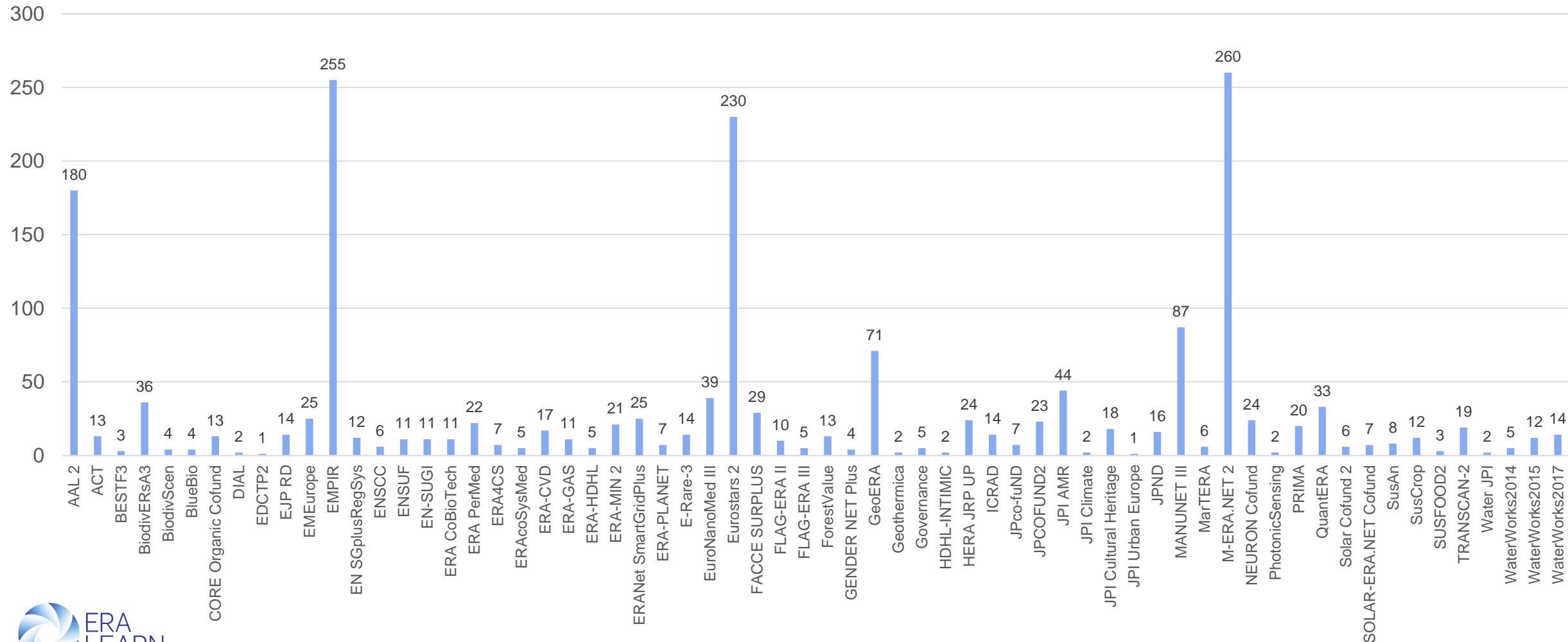
RTD projects funded from joint calls: participations of EU-13 research groups

EU-13 research groups in projects funded from joint calls (H2020 networks + JPI)

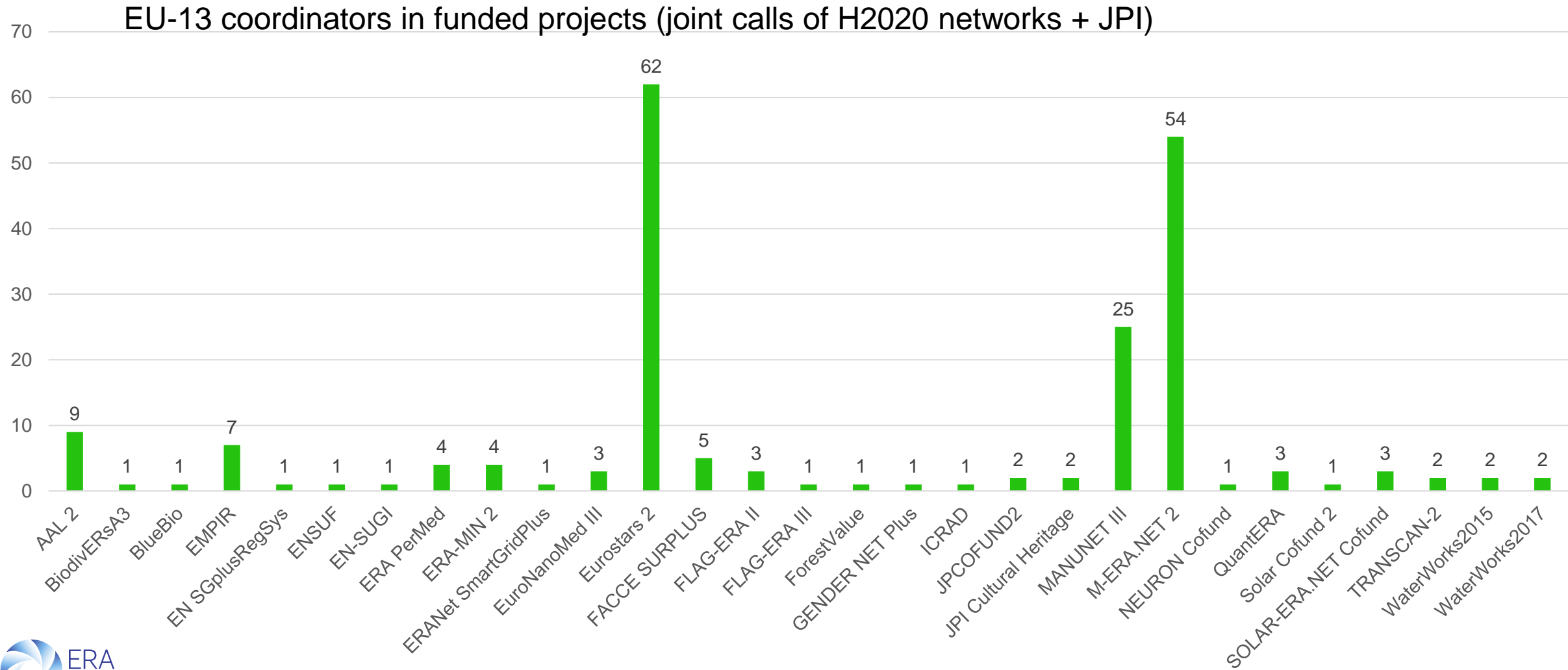


RTD projects funded from joint calls: participations of EU-13 research groups in

EU-13 research groups in projects funded from joint calls (H2020 networks + JPI)

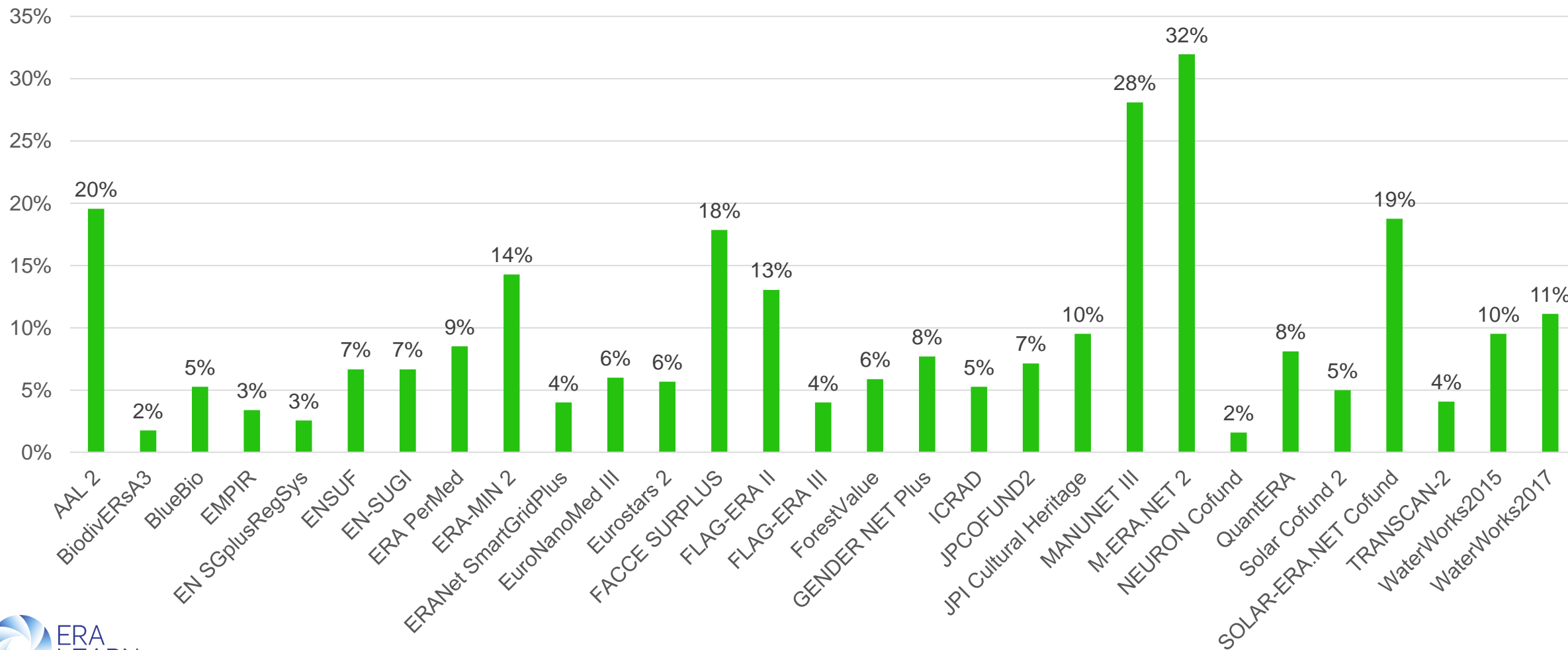


RTD projects funded from joint calls: EU-13 coordinators



RTD projects funded from joint calls: share of EU-13 coordinators

coordinators in funded projects: share of EU-13 countries (H2020 networks + JPI)



Conclusions

- participation in H2020 networks at similar level as FP7
- wide variety of EU-13 participations in networks but average involvement is medium
- also wide variety of participation and success of EU-13 research groups in calls & funded RTD projects
- most networks have only low numbers of participations but some networks are especially successful with including EU-13 countries – up to 30% of coordinators from EU-13 countries
- room for improvement and lessons to be learned

Widening and inclusiveness in R&I Partnerships

Malwina Gębalska, National Sciences Centre,
CHANSE coordinator, ERA-LEARN

Member States that do not reach the threshold of research excellence based on the Widening indicator, which is set at 70% of EU28 performance in research and innovation.

Member States:

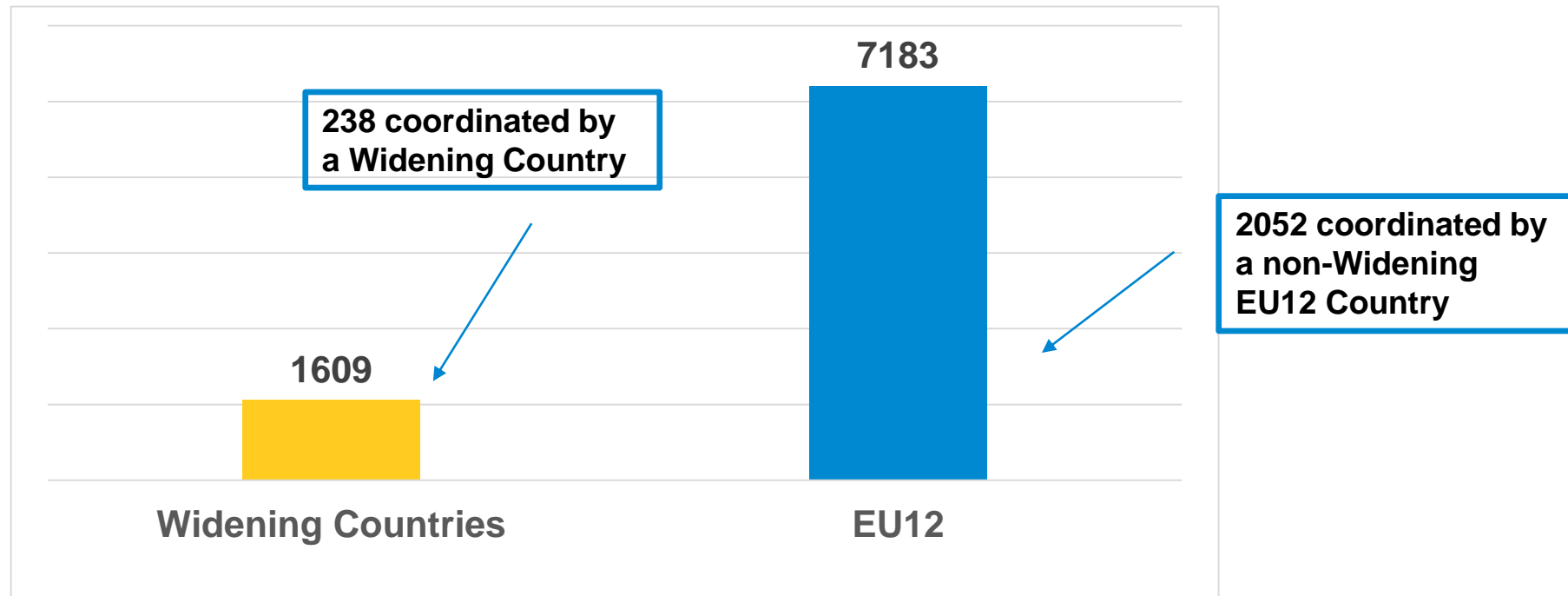
Bulgaria, Croatia, Cyprus, Czech Republic, Estonia, Hungary, Latvia, Lithuania, Luxembourg, Malta, Poland, Portugal, Romania, Slovakia and Slovenia

Associated Countries:

Albania, Armenia, Bosnia and Herzegovina, Faroe Islands, North Macedonia, Georgia, Moldova, Montenegro, Serbia, Tunisia, Turkey and Ukraine

Non-Widening EU Member States = EU12: Austria, Belgium, Denmark, Finland, France, Germany, Greece, Ireland, Italy, Netherlands, Spain, Sweden

Number of country participations of Widening Countries and EU12 in calls for proposals, funded within European Partnership R&I calls

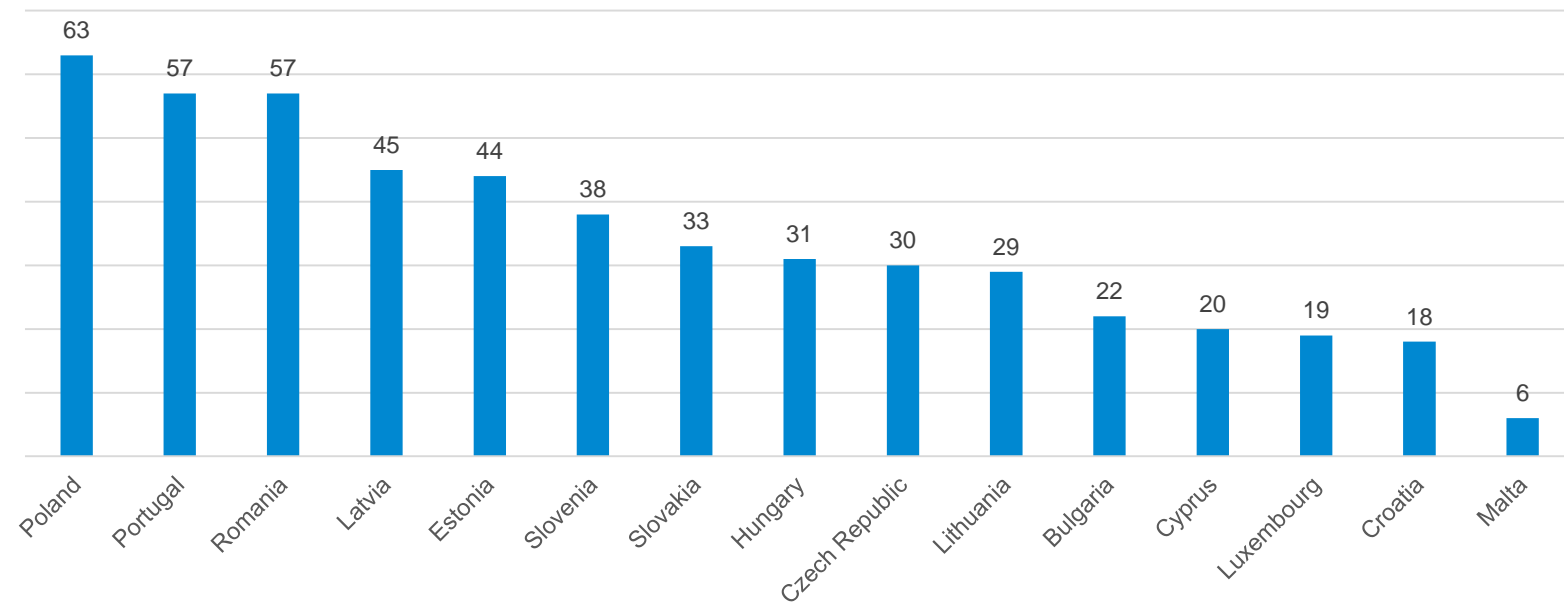


Source: ERA-LEARN database, April 2021

**Widening Country
average: 34**

EU12 average: 64

Number of programmes per Widening Country



Source: ERA-LEARN database, April 2021

- ✓ MAIN GOAL: collect information on measures introduced by H2020 ERA-NET Cofund and EJP Cofund programmes to enhance participation of less performing/Widening countries

- ✓ What is inclusiveness?

- an approach in building partnerships, which promotes involvement of funding organisations representing less performing research communities, and implements measures supporting these research communities in calls for proposals

ERA-NET Cofund

Main goals:

- ✓ Co-funded call (national allocations + EC top-up)
- ✓ Additional activities: additional calls, developing research agendas, spreading excellence, international cooperation, supporting early career researchers, etc. (supported by EC unit costs)

EJP Cofund

Joint programme of activities:

- ✓ call(s) for proposals
- ✓ research and innovation projects
- ✓ coordination and networking activities
- ✓ training activities, demonstration and dissemination activities, support to third parties, etc.

Call open for **trans-national projects** involving at least two independent entities from two different EU Member States or Associated Countries.

2-step evaluation procedure:

- Step 1: review at national or trans-national level
- Step 2: single international peer review.

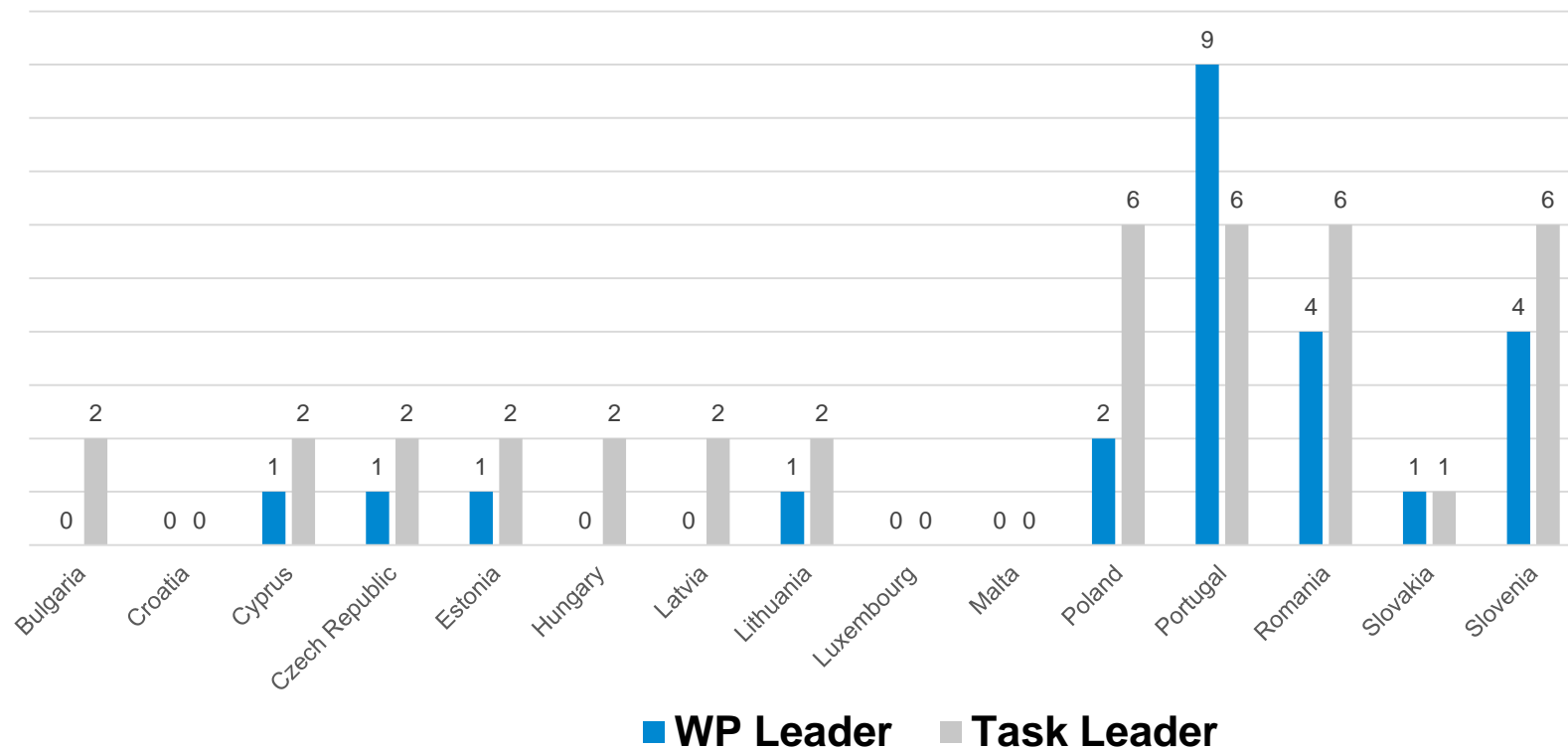
Call criteria:

- Excellence;
- Impact;
- Quality and efficiency of the implementation.

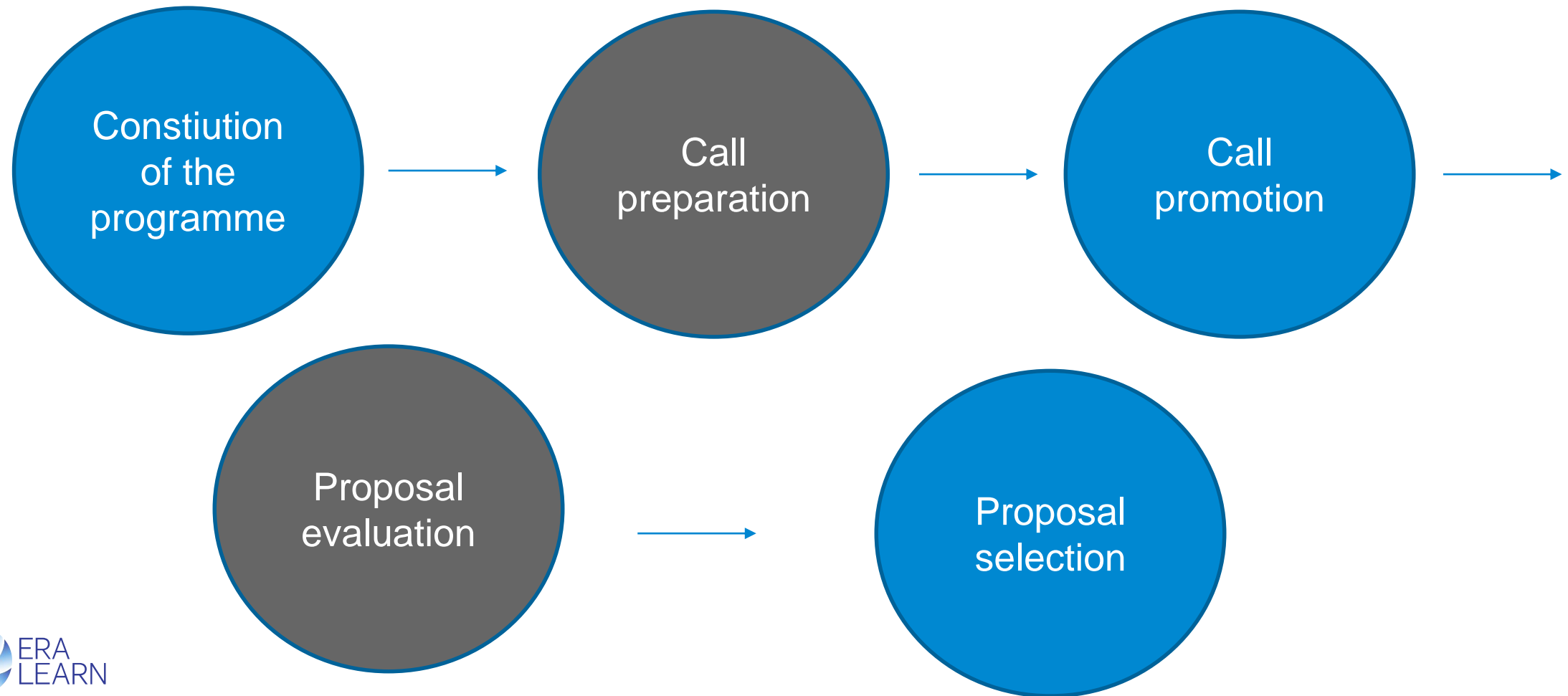
- ✓ Survey open from **June 5th – September 16th 2019**
- ✓ Sent to: 66 programmes' coordinators
- ✓ Completed by: **41 respondents** (39 ERA-NET Cofunds, 2 EJPs) – only 2 coordinators from Widening Countries
- ✓ Closed and open questions
- ✓ Results presented in: ***ERA-LEARN Report on Inclusiveness In European R&I Partnership Programme***

https://www.era-learn.eu/documents/era-learn_inclusiveness-in-european-r-and-i-partnership-programme.pdf

Funding organisations from Widening Countries: Work Package and Task Leaders



Only 5 out of 84 H2020 partnership programmes are coordinated by a Widening Country – Poland and Portugal



- ✓ Ensure wide representation of countries in your network, build new partnerships with less performing countries
- ✓ Involve representatives of research funding organisations from less performing countries in core network positions (Work Package or Task Leaders)
- ✓ Plan dedicated tasks supporting less performing countries involved in the network



Constitution of the programme

- ✓ Promote geographical balance and spreading excellence by including relevant encouragements in call documents (Widening Countries, inclusiveness, geographical balance, diversity)
- ✓ Allow larger research consortia in applications with less performing countries involved
- ✓ Use structural funds
- ✓ Encourage research consortia qualified to the full proposal stage to add partners from underrepresented countries facing the risk of budget underspending

OUTLINE PROPOSAL

FULL PROPOSAL



Call preparation phase

- ✓ Provide online partnering tools for potential applicants
- ✓ Organize matchmaking or brokerage opportunities for applicants
- ✓ Organize activities to inform and encourage the research community in less performing countries



Call promotion phase

- ✓ Involve experts and reviewers from less performing countries in proposal evaluation process
- ✓ Implement a “wild-card” rule
- ✓ Encourage budget flexibility
- ✓ Post-evaluation widening



Proposal evaluation phase

Adapt selection criteria to promote less performing countries or countries with a risk of budget underspending, without compromising on excellence

The selection decision of the projects to be recommended for funding to the national/regional research funding organisations has to follow the ranking list. If at a given rank in the list not all ex aequo proposals can be selected, the following criteria will be applied:

- ✓ *The output of the call, i.e. the overall funding, should be maximised;*
- ✓ ***The projects involving partners from the widening countries should be prioritised;***
- ✓ *If possible, each funding organisation funds at least one project*



Proposal selection phase

- ✓ Cofund mechanism: more projects = more projects with Widening Countries funded
- ✓ Unit costs also for Widening Countries
- ✓ Mutual learning across ERA
- ✓ Equal participation across all countries
- ERA-NET Cofund and EJP do not include any widening mechanisms (7 responses)

MORE:

- applications from Widening Countries
- full proposals with Widening Countries involved
- funded project involving Widening Countries
- research funding organisations (RFO) from Widening Countries involved in the programme
- active RFOs → better call dissemination

- ✓ Involve Widening Countries in the early stages of programme implementation
- ✓ Reach out to scientific communities
- ✓ **Widening measures can help less performing research communities in non-Widening Countries**
- ✓ **Use a set of widening actions, systematic approach is recommended**
- ✓ EU top-up: helps fund more project (=more projects with Widening Countries)

73% of all programme coordinators
wants to introduce pro-inclusiveness measures
in future programmes

Measures to be implemented mirror those already
implemented by the programmes

- ✓ Openness and Transparency - an important criterion in building impact of European partnerships
- ✓ Enhancing participation of less performing research communities
- ✓ Excellence and diversity of expertise in funded research is crucial for strengthening the European Research Area

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Narodowe Centrum
Badań i Rozwoju



Krajowy Punkt Kontaktowy
PROGRAMÓW BADAWCZYCH UE

Widening in Horizon Europe and European Partnerships

kpk.gov.pl
ncbr.gov.pl



Fundusze
Europejskie



Rzeczpospolita
Polska



Narodowe Centrum
Badań i Rozwoju

Unia Europejska
Europejskie Fundusze
Strukturalne i Inwestycyjne



New budget 3,3% of HE

The overall budget for the Widening participation and spreading excellence strand of the "Widening participation and strengthening the European Research Area" part of Horizon Europe should be **at least 3.3% of the overall Horizon Europe budget**.

This budget should mainly benefit legal entities in the widening countries.

HE Common Understanding Regulations - Art. 32 Eligible costs

Widening – Horizon Europe –
beneficiaries

Renewed group of countries and Outermost Regions

Widening countries”/ “low R&I performing countries” means those countries where legal entities need to be established in order to be **eligible as coordinators** under ‘widening participation and spreading excellence’ strand of the Widening Participation and Strengthening ERA’ part of Horizon Europe. From the EU Member States, these countries are **Bulgaria, Croatia, Cyprus, Czech Republic, Estonia, Greece, Hungary, Latvia, Lithuania, Malta, Poland, Portugal, Romania, Slovakia and Slovenia**, for the whole duration of the Programme. For associated countries, the list of eligible countries will be defined based on an indicator and published in the Work Programme. On the basis of Article 349 TFEU, legal entities from **Outermost Regions** will be also fully eligible as coordinators under this strand.

HE Common Understanding Regulations - Art. 2 Definitions



New selection criterion

The Programme shall assist widening countries to increase participation in Horizon Europe and to promote broad geographical coverage in collaborative projects, including through spreading scientific excellence, boosting new collaborative links, **stimulating brain-circulation** as well as through the implementation of Articles 20(3) and 45(4). Those efforts shall be mirrored by proportional measures by Member States, including on setting attractive salaries for researchers, with the support of Union, national and regional funds. **Particular attention shall be paid to geographical balance**, subject to the situation in the field of research and innovation concerned, evaluation panels and in bodies such as boards and expert groups, without undermining the excellence criteria.

HE Common Understanding Regulations - Art. 6a Principles of the Programme

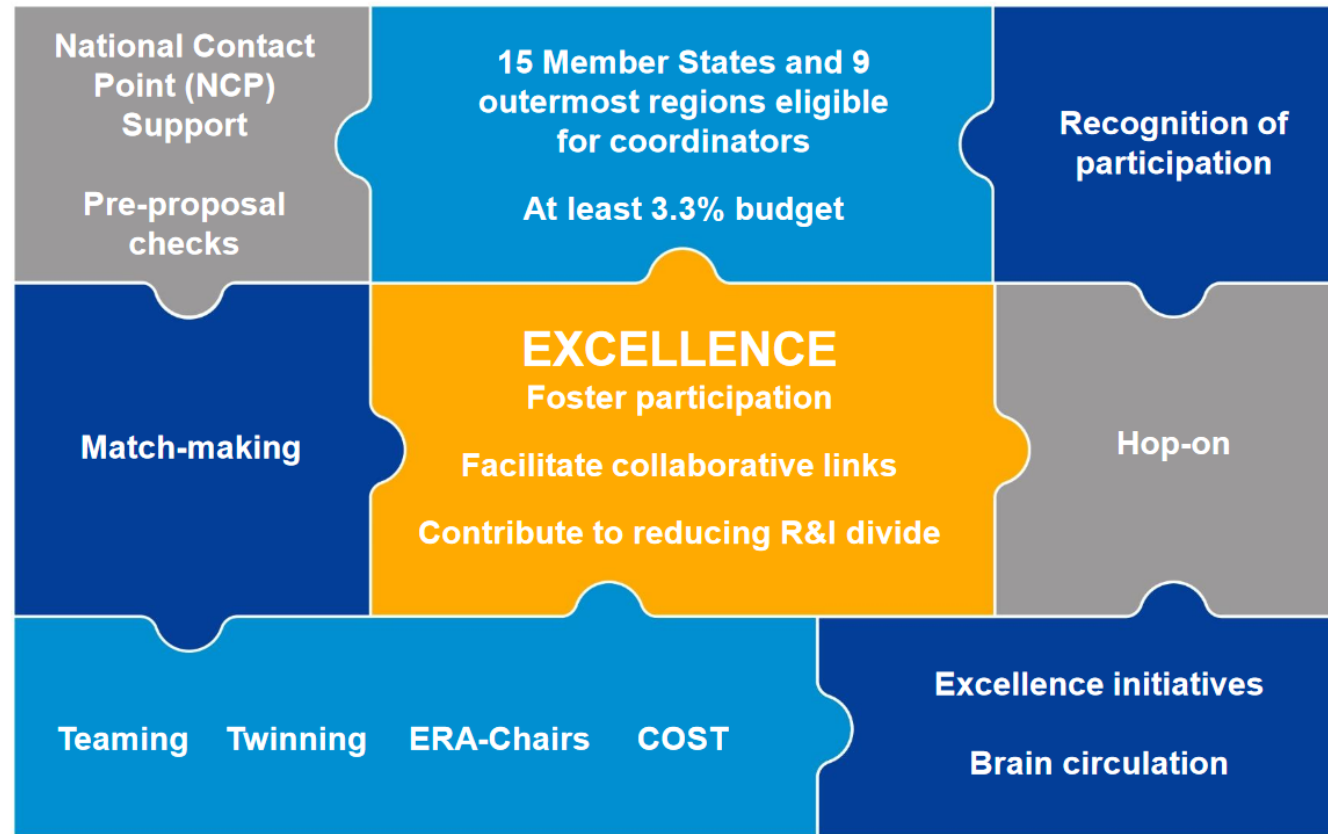
R&I activities eligible under Widening CSA actions

Coordination and support action' means an action contributing to the objectives of the Programme, *excluding research and innovation activities, except when undertaken under the component "widening participation and spreading excellence" of the part "Widening Participation and strengthening the European Research Area"*; and bottom-up coordination without co-funding of research activities from the EU that allows for cooperation between legal entities from Member States and Associated Countries in order to strengthen the European Research Area;

HE Common Understanding Regulations - Art. 2 Definitions



Widening participation/spreading excellence



Widening – Horizon Europe – What for Partnerships?

Specified in General Annexes:

- Group of Widening countries
- Priority order of proposals based on geographical diversity
- Hop-on facility
- Widening friendly topics*

Priority order of proposals – rules indicated in General Annexes to Horizon Europe apply to **co-funded and co-programmed Partnerships*** i.e.:

- priority order for ranking proposals will be determined, taking into consideration the objectives of the specific topic.
- In the absence of special arrangements specified in the specific call conditions, this method may include, *inter alia* and if necessary, any further prioritisation based on **geographical diversity** (after gender)

**unless otherwise indicated in specific call conditions*

Geographical diversity - number of EU Member States or Associated Countries represented in the proposal, not otherwise receiving funds from projects higher up the ranking list (and if equal in number, then by budget).

Institutionalised European Partnerships - have their own work programmes and are not covered as such by the main work programme General Annexes.

Widening – Horizon Europe – Hop-on facility

Call conditions:

- ❑ Implementation early 2022, budget of 40 million Euros, 80 projects; expected support per project 0,2 – 0,5 milion Euros
- ❑ Applies to Reasearch and Innovation Actions under Pillar II

*The proposal must be submitted by the co-ordinator of a consortium funded under Pillar 2 of Horizon Europe with a **valid grant agreement that does not have any participant from a country eligible to host the co-ordinator under the Widening component (Widening country).** The proposal must include the accession of one additional partner from a widening country.*

*The Hop On Facility integrates one additional participant from a Widening country to an ongoing project under Pillar 2 while **topping up a relevant task or work package and the cost incurred by the additional participant.** This will happen on a voluntary basis without affecting the freedom of choice for the consortium and the principle of excellence. **The Hop On Facility is open to all topics under Pillar 2.** Applications with activities that contribute to the policy objective of the transition towards a green and digital economy are especially encouraged.*

Widening – Horizon Europe



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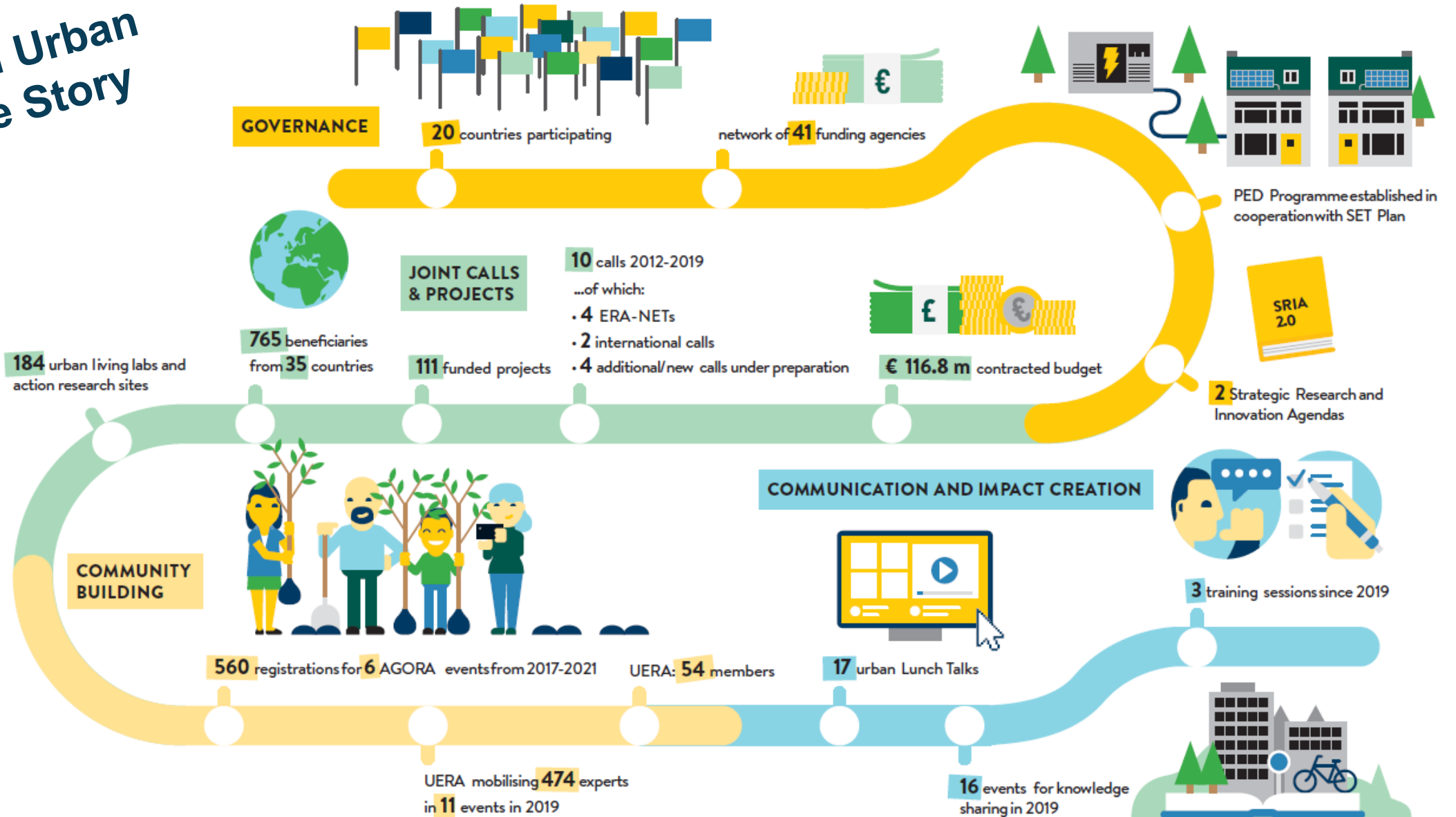
JPI Urban Europe's Approach to Widening Participation

Margit Noll
Chair of JPI Urban Europe Management Board
margit.noll@ffg.at

28 April 2021



The JPI Urban Europe Story



From the JPI Urban Europe Network of 2018...

Countries that joined JPI Urban Europe as full members, observers or occasional co-funders of joint calls

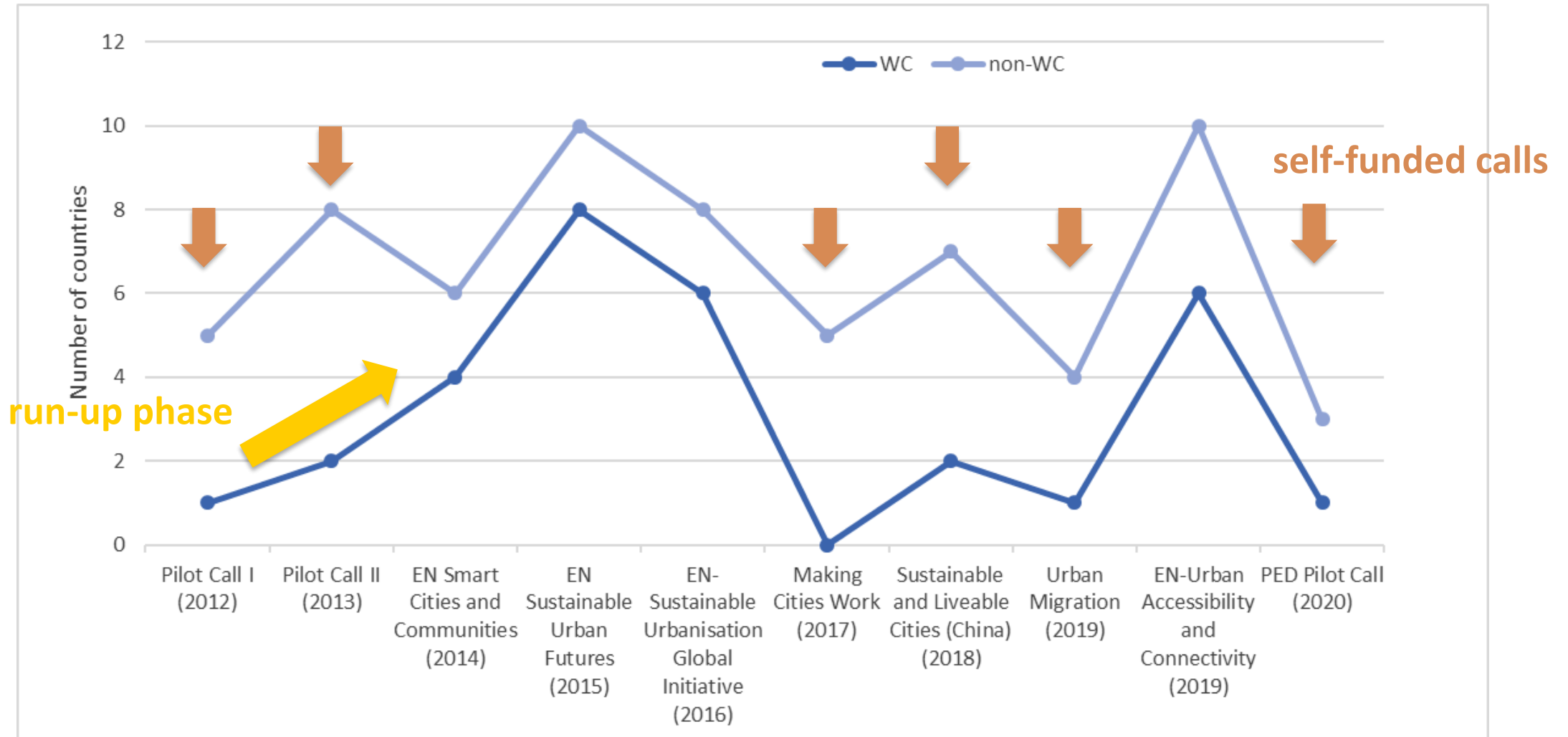


...Towards a Partnership Consortium in 2021

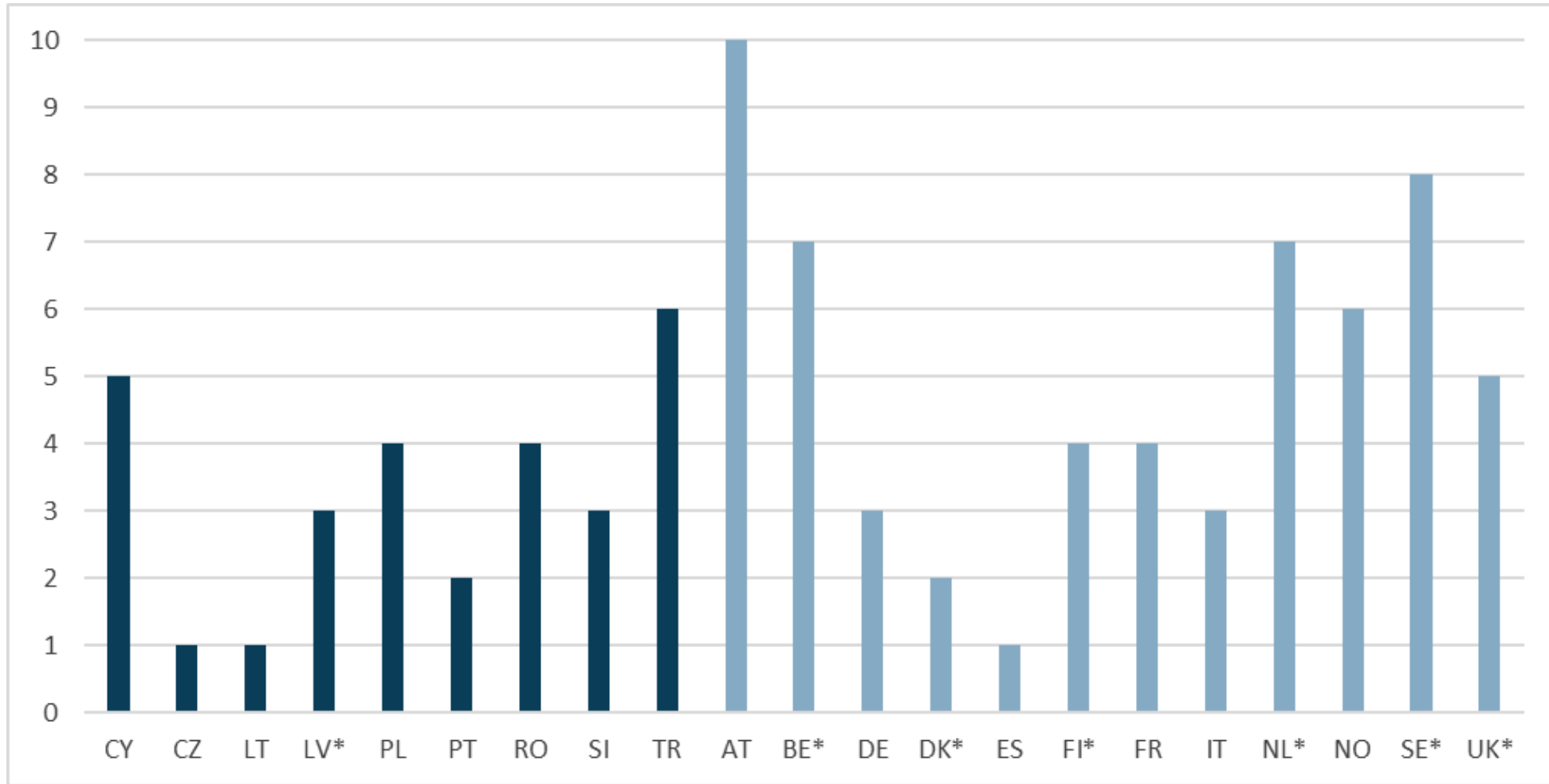
Countries that indicated financial commitments for the DUT partnership



Countries Participating in Joint Calls, 2012-2020

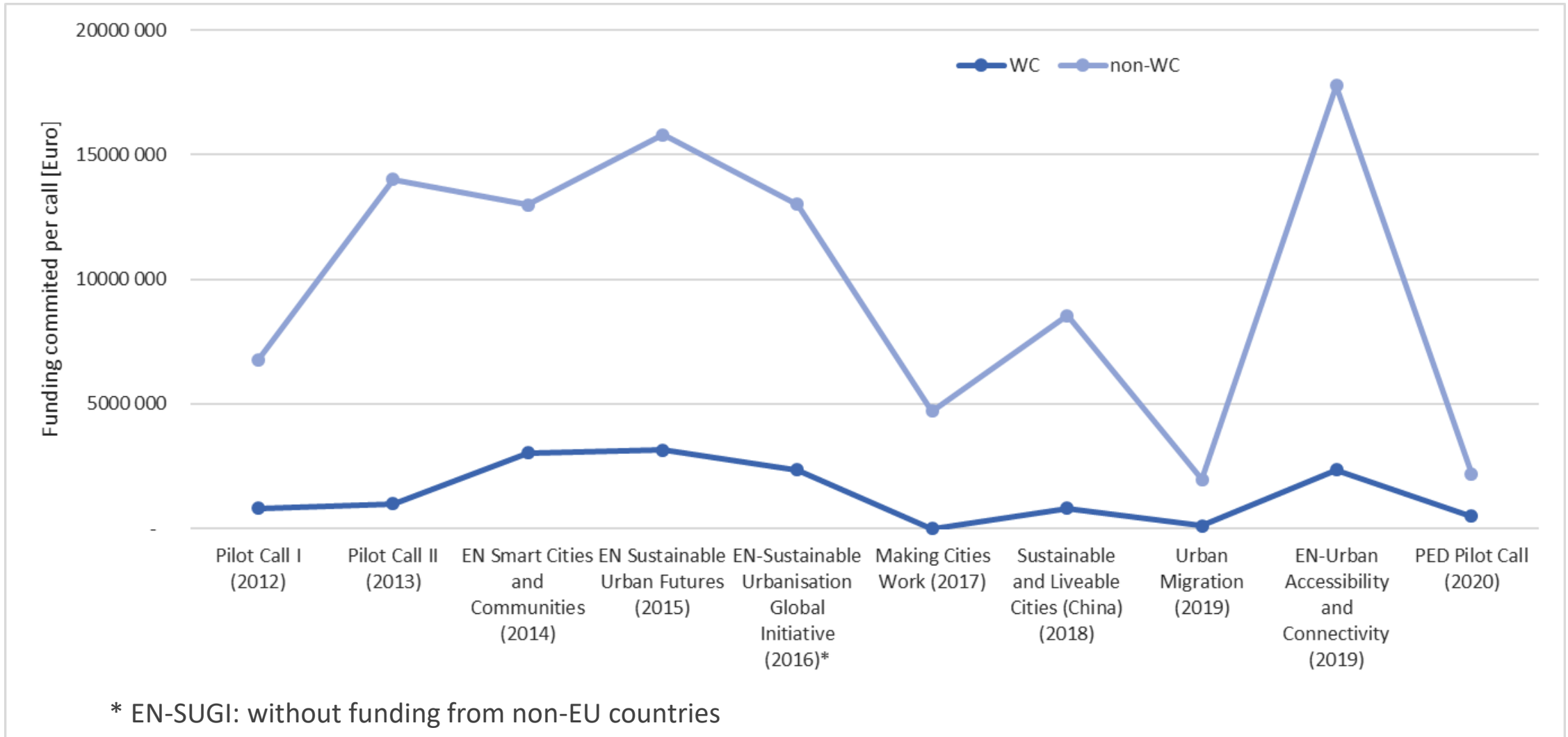


Number of Calls Countries Have Been Participating, 2012-2020

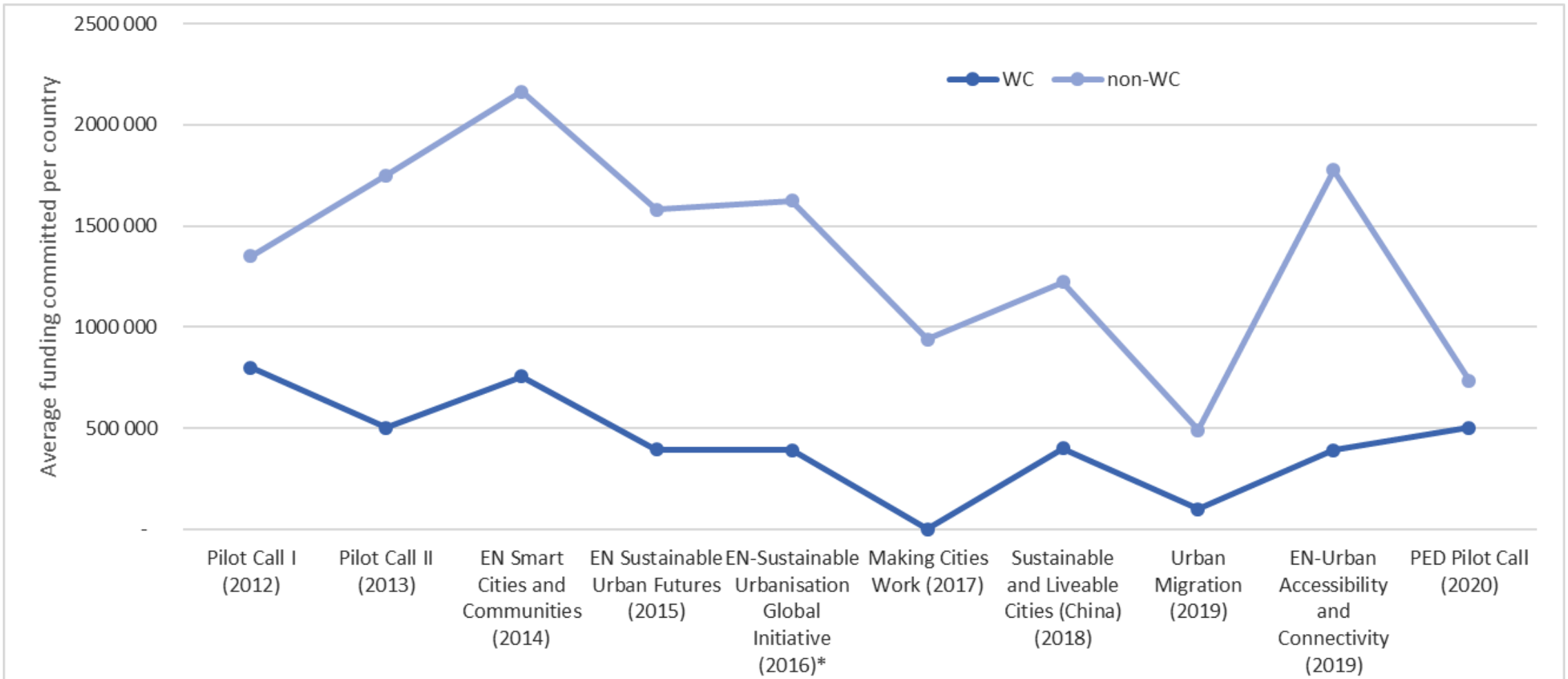


* countries with more than 1 agency participating in joint calls

Total Funding Committed per Call, 2012-2020



Average Funding Committed per Call, 2012-2020



* EN-SUGI: without funding from non-EU countries

Conclusions from JPI Urban Europe

- WC show similar pattern in call engagement than non-WC countries
- Co-funding is important to cover extra management and coordination efforts or provide a formal framework for transnational cooperation
- WC budgets are significantly lower than budgets of non-WC*
- Success rates of WC are lower by trend due to a mix of reasons, e.g. lower budgets, lower participation in consortia, high oversubscription in some (non-WC) countries

* Absolute budget figures should be compared with caution, they strongly depend on the selected instruments and eligibility criteria, e.g. PhD grants or funding for academia vs mandatory cooperation of business, research and/or other stakeholders

JPI Urban Europe Actions Towards Widening Countries

- Individual missions to WC to establish policy dialogues
- AGORA stakeholder platform supporting stakeholder mobilisation in WC
- The Urban Europe Research Alliance as a networking opportunity
- National consultations to strengthen alignment with national policies
- Analysis of call framework conditions to develop common ground
- Mobilisation of regions to connect to structural funds

Widening and Alignment

Definition and typology of alignment

“Alignment is the strategic approach taken by Member States to modify their national programmes, priorities or activities as a consequence of the adoption of joint research priorities in the context of Joint Programming, with a view to implement changes to improve the efficiency of investment in research at the level of Member States and the European Research Area.”

High Level Group for Joint Programming GPC

→ Alignment actions strongly impact the opportunities and success of widening measures of partnerships!

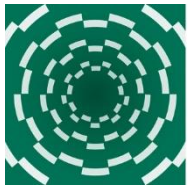
Barriers to Participate in JPI Urban Europe*

- Opportunities to align thematics and priorities between the national strategy and JPI Urban Europe
- Lack of national research budgets for tackling societal challenges
- The level of flexibility the funding agency has in selecting thematics, instruments and eligibility of different kinds of organisations
- Limited human resource to strongly engage in both JPI UE and its funding agency working group, support national community building, etc.
- The structure of the national funding system – having several agencies with a specific focus, may allow for dedicated resources for JPI Urban Europe
- The national governance system, size and maturity of the national research community, and the height and structure of national R&I budget

* based on a survey among members of the JPI Urban Europe Funding Agencies Working Group

Conclusions for Widening Participation

- It is a long-term process, not just implementing a single joint action
- Advancement of national R&I systems and instruments towards challenge-driven approaches is needed
- Engagement of policy actors in transnational strategy processes right from the start
- Resources to engage in partnerships are key to enhance the added value
- Mobilisation of national and regional communities towards transnational cooperation



Research
Council of
Lithuania

Widening in transnational research projects

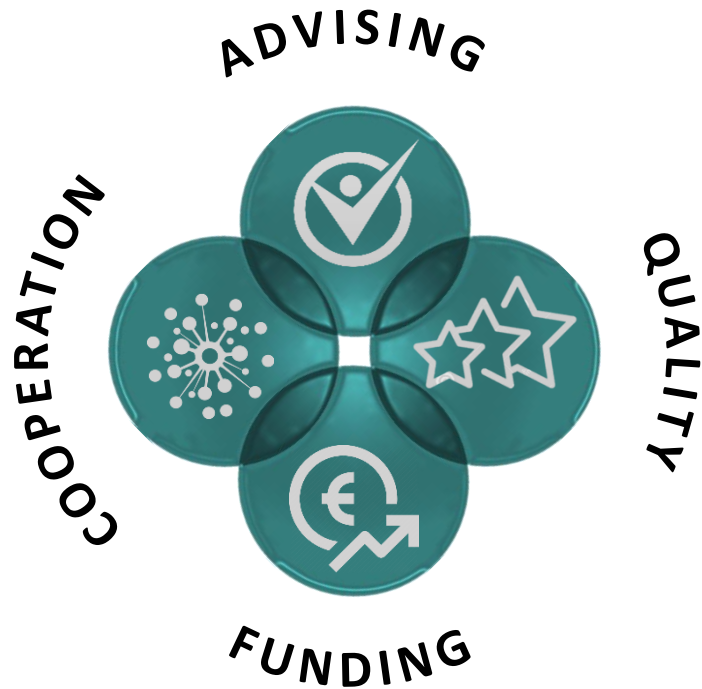
Živilė Ruželė, Lithuanian Research Council

ERA-LEARN Webinar on Widening in Partnerships

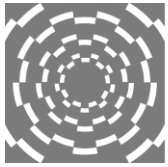
April 28th, 2021



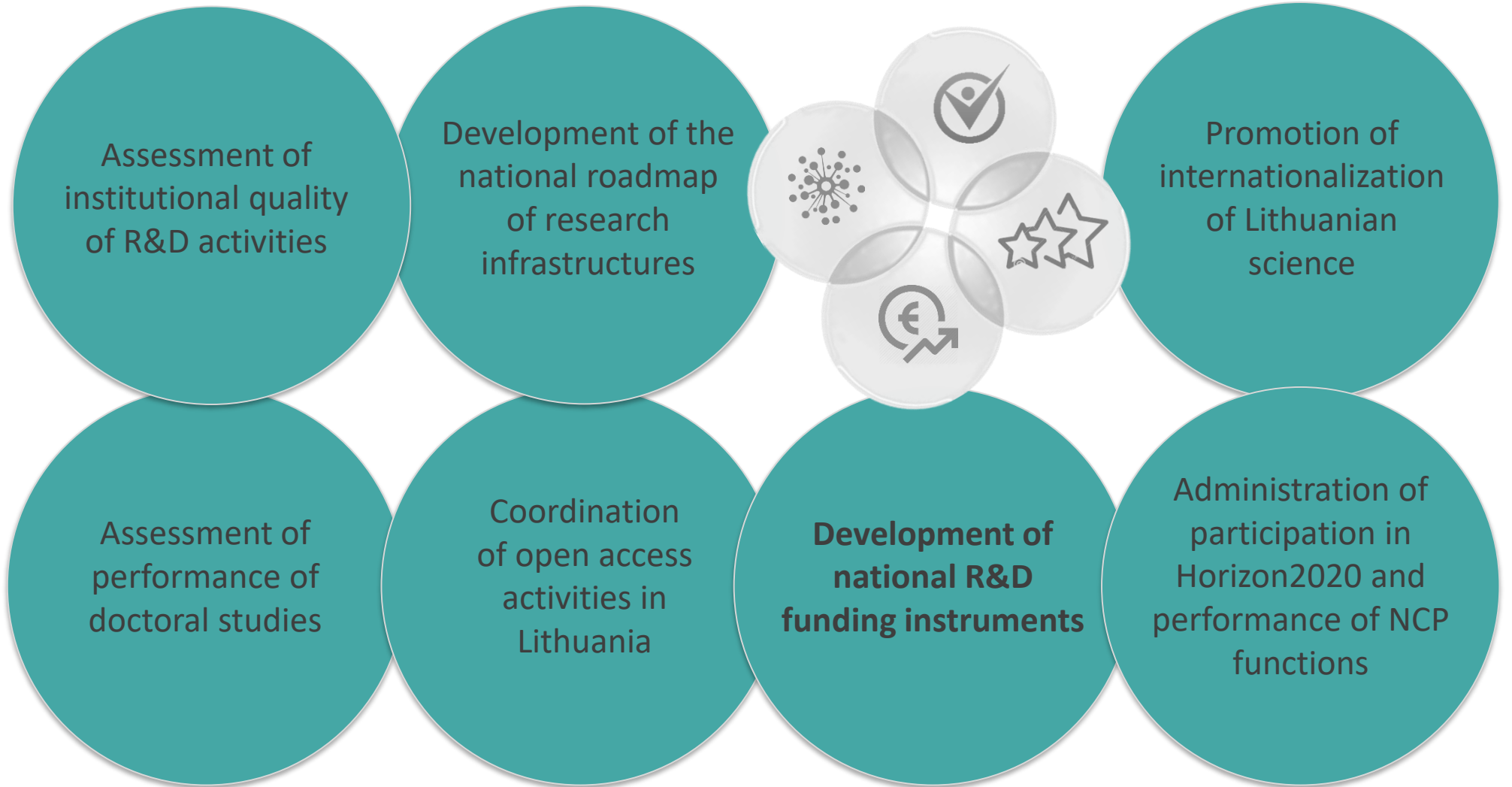
Main responsibilities



- Delivering R&D policy and scientific advice
 - Provides expert advises to the Parliament and the Government of the Republic of Lithuania on R&D policy aspects and training of researchers
- Ensuring R&D quality
 - Performs the evaluation of R&D activities and PhD studies in research institutes and universities
 - Carries out an assessment of activities of Lithuanian research and higher education institutions and the long-term R&D programmes in research institutes
- Providing competitive R&D funding
 - Executes competitive R&D funding from the state budget, EU instruments, cooperation programmes and other funding sources
- Fostering trans-national and international R&D cooperation
 - Promotes integration into the ERA, supports networking activities and participation in the EU and international R&D initiatives



Range of activities





Guidelines on international cooperation for 2016–2020

to achieve better involvement in the international research community and jointly address global challenges

to enhance quality, efficiency and impact of Lithuanian research and its competitiveness on the international level

to improve access to international research infrastructures and other sources of knowledge

Membership in Science Europe and ESAF organisations



2020-2021

- In **2020** the Council participated in **12** international coordination initiatives under the H2020 schemes
- joined **3** new ERA-NET COFUNDS:
CHANCE
JPIAMR-ACTION
JPI URBAN EUROPE: ENUTC
- In **2021** there are **9** ongoing JTC

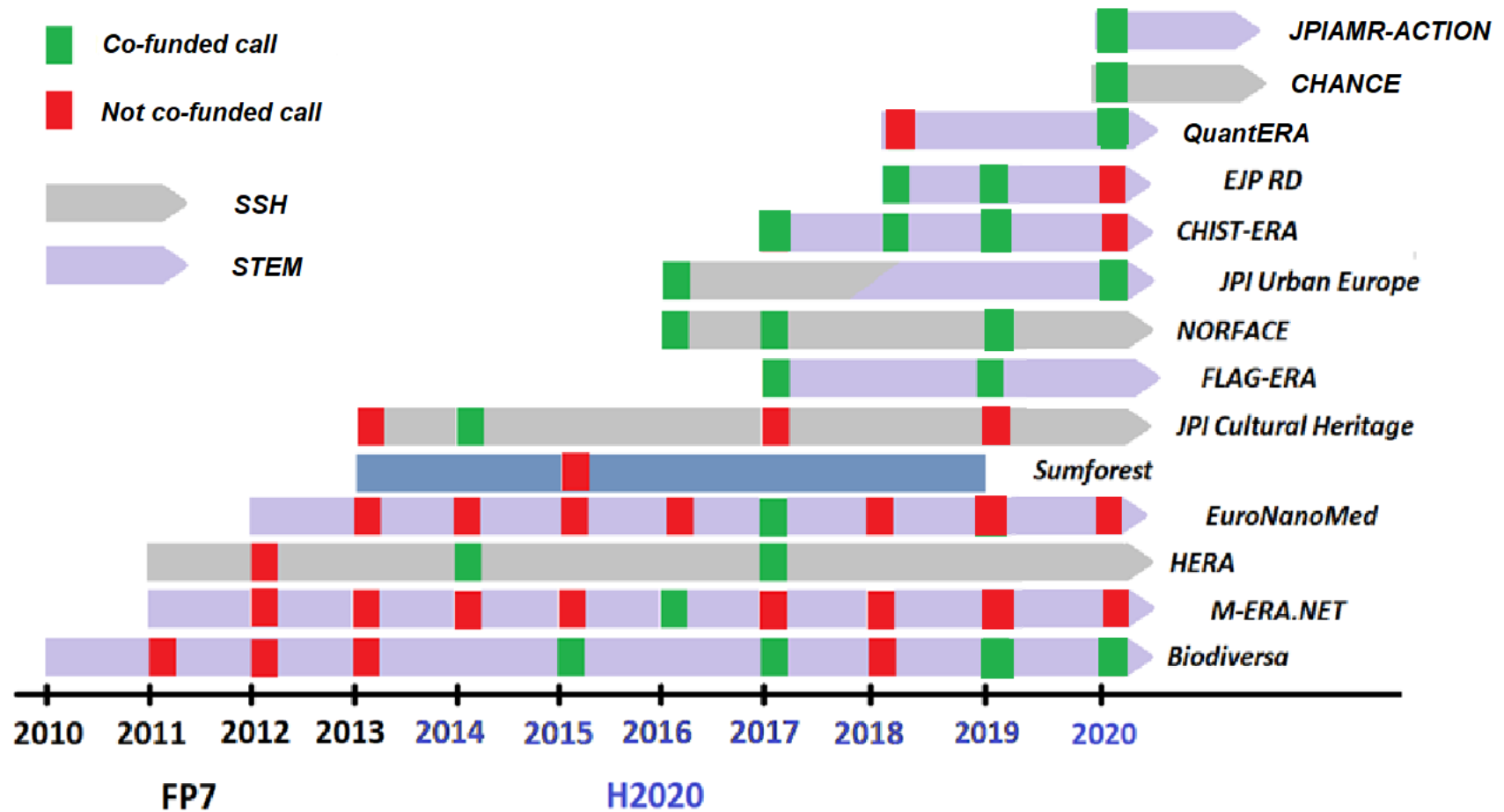


Funding for participation in coordination programmes 2010-2019

- BIODIVERSA
- BONUS
- CHIST-ERA
- ENSUF
- EuroNanoMed
- EJP on Rare Diseases
- FLAG-ERA
- HERA
- JPI on Cultural Heritage
- M-era.Net
- NORFACE
- QuantERA
- SUMFOREST



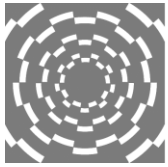
Transnational partnerships





Funded projects from JTC

Programme	Calls total	Funded projects		
		Ended	Ongoing	Total
QuantERA	1	-	-	-
EJP RD	2	-	2	2
CHIST-ERA	3	-	-	-
JPI Urban Europe	1	1	-	1
NORFACE	3	-	-	-
FLAG-ERA	2	-	1	1
JPI Cultural Heritage	4	1	1	2
Sumforest	1	2	-	2
EuroNanoMed	7	2	2	4
HERA	2	-	-	-
M-ERA-NET	8	7	8	15
Biodiversa	7	1	1	2
Total projects:				29



Principal



Allow the larger consortium if widening country is part of it



Involve the partner from underrepresented country in the full-proposal stage



Apply ex aequo criteria – priority for consortium with Widening partner (-s)



Information

- *For the applicants (call text)*
- *For the coordinators in the 2nd stage about the process*

Inclusion options

- *Initiative from the national funding agency/ministry*
- *Initiative from the coordinator of the preproposal invited to prepare a full proposal*

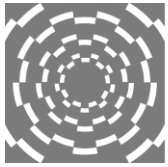


Important Inclusion of new research teams is not mandatory

The new teams included should bring an added value and expertise to the projects

The final decision to take a new research team on board will be taken by the project consortium

Respect confidentiality of content of (pre)proposals / names of researchers



LT participation in JTC EJP RD

Call Year	Pre-proposals	Invited pre-proposals to 2nd stage	Full-proposals	Project funded
2019	7	0	1	Unveiling the role of glutamate in dopamine transporter deficiency syndrome (URGENT)
2020	1	0	1	Genetic therapy for <i>EYS</i> - and <i>USH2A</i> associated retinal dystrophy (GET-READY)
2021 (ongoing)	7	5		



Widening principle

- ❖ 12 consortia out of 30 used it
- ❖ 8 projects selected for funding incl. 10 teams
- **Total Budget increase: 1.75 mio€**
 - Countries/Regions: Hungary, Lithuania, Luxemburg, Tuscany, Turkey



Research
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