

<https://sciencebusiness.net/sites/default/files/inline-files/7-WP-Widening-ERA-January-2021.pdf>

<https://widening.vaa.gov.lv/>

#HorizonEU

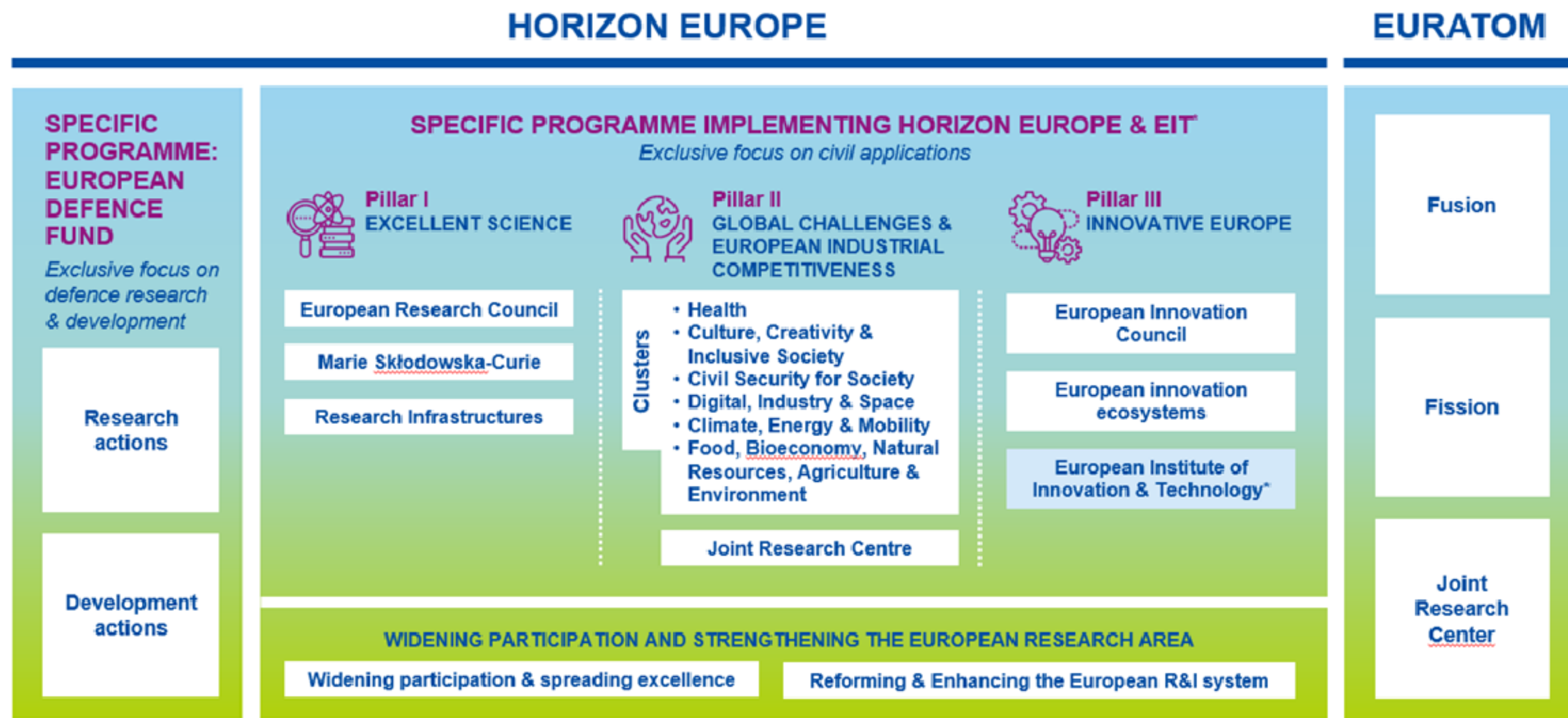
# HORIZON EUROPE

**Kas Jauns  
Apvārsnis  
Eiropa  
Widening  
sadaļā?**

08.04.2021

# About Horizon Europe

Horizon Europe supports research and innovation through Work Programmes, which set out funding opportunities for research and innovation activities.



\* The European Institute of Innovation & Technology (EIT) is not part of the Specific Programme

# Widening in Horizon Europe

## Novelties for Widening under Horizon Europe:

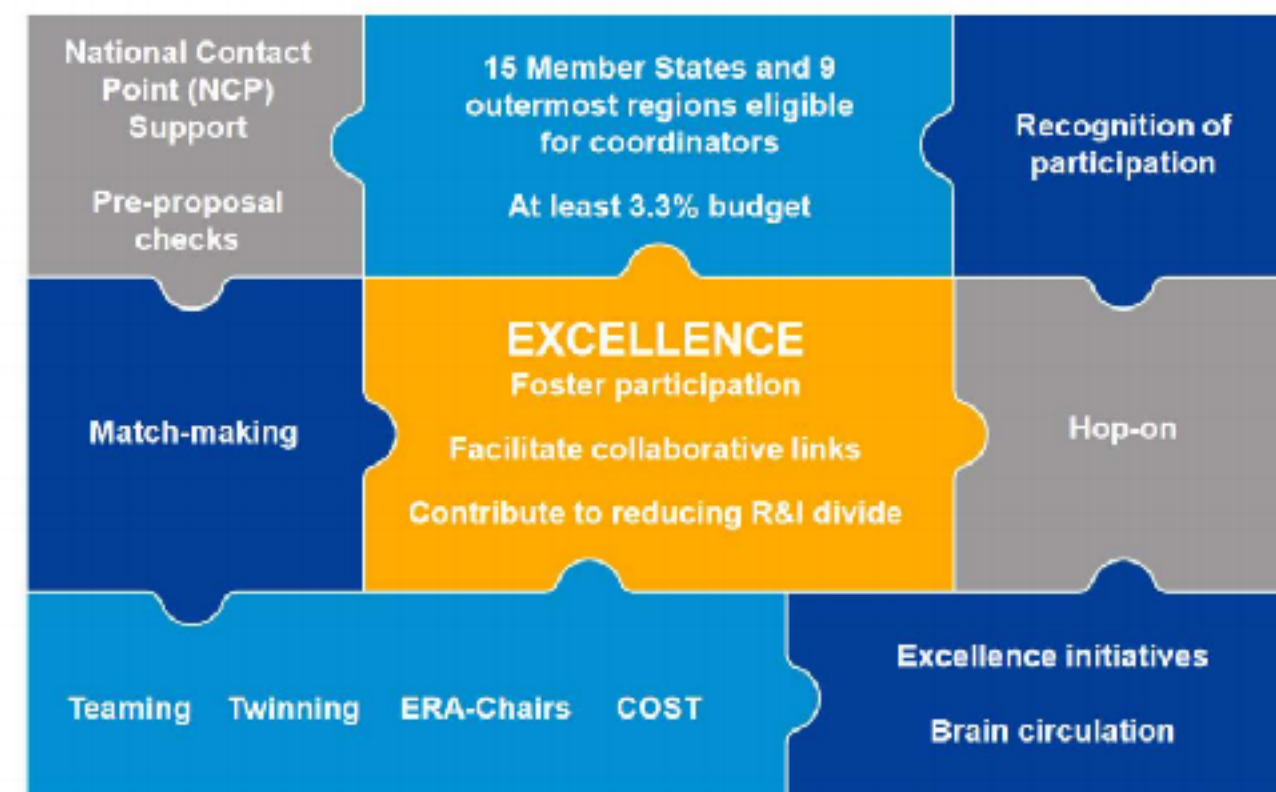
- Full alignment with **new ERA strategic priorities**
- **Continuation of core widening instruments** Teaming, Twinning and ERA Chairs with some improvements in response to lessons learnt
- **Research cost for CSA eligible** under Teaming, Twinning and ERA Chairs
- More emphasis on **developing research management capacities**
- **Full Integration of COST** under widening, 80% of actions must have significant widening dimension
- **Fixed list of eligible Member States** to host the main beneficiary (EU13 + PT + EL) + Associated Countries
- **EU Outermost Regions** fully eligible to host the co-ordinator
- ➔ Full implementation of “**Advancing Europe**” package with a number of additional support schemes to boost participation of less research performing countries
- More integrated policy approach and **enhanced synergies** with regional policy, transnational missions, regional smart specialisation strategies etc.

# Widening countries in HE

**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.



## Widening participation/spreading excellence



# Horizon Europe – Widening package

Actions in WP	Consortium structure	Target group and scale of operation	Policy objectives
Teaming	Main beneficiary + 1 or 2 strategic advanced partners	Single centre of excellence to be modernised or created, relevant at national scale	Develop light houses and role models to stimulate reforms of national R&I system, increase level of excellence of national R&I system, mobilise new investments
Twinning	Main beneficiary and focused network of partnering organisations	Individual institutions and small network of advanced partnering institutions. Institutional scale with European outreach	Develop excellence in a chosen R&I domain for the main beneficiary with the help of twinning partners, increase visibility of main beneficiary and upskill its staff
ERA Chairs	Mono-beneficiary host organisation with optional single partner organisation	Excellent individuals and their teams, institutional scale	Excellent scientists and their teams to become game changers at institutional level, develop new research strands and raise level of excellence
Excellence hubs	Group of 2 or 3 place based innovation ecosystems based on the quadruple helix approach	Research institutions, firms, local/regional government, societal actors, local regional scale with cross border dimension	Foster innovation excellence in place based (local/regional) innovation ecosystems, improve science business linkages, regional dimension of widening, <b>bottom-up approach</b>
Excellence Universities	Network of European Universities, co-ordinates by university from widening country	Universities at European Level	Support transformation of HE institutions towards excellence and international profile

# Widening Participation & Strengthening the European Research Area:

optimising strengths & potential for a more innovative Europe

## Widening Participation and Spreading Excellence

- Teaming
- ✓ • Twinning
- ✓ • ERA Chairs
- COST
- Support to NCPs
- Brain circulation
- ✓ • Excellence initiatives:
  - a. Excellence initiatives
  - b. European Excellence Initiative for HEIs
- ✓ • Hop-on


## Reforming and enhancing the European R&I system

- Scientific evidence & foresight
- Open Science
- Policy Support Facility
- Attractive researcher careers
- Citizen science, Responsible Research & Innovation
- Gender equality

Expected adoption April end - Start of May

<https://www.youtube.com/watch?v=dt8PZ2nGF7A&feature=youtu.be>

YouTube <sup>LV</sup> Search



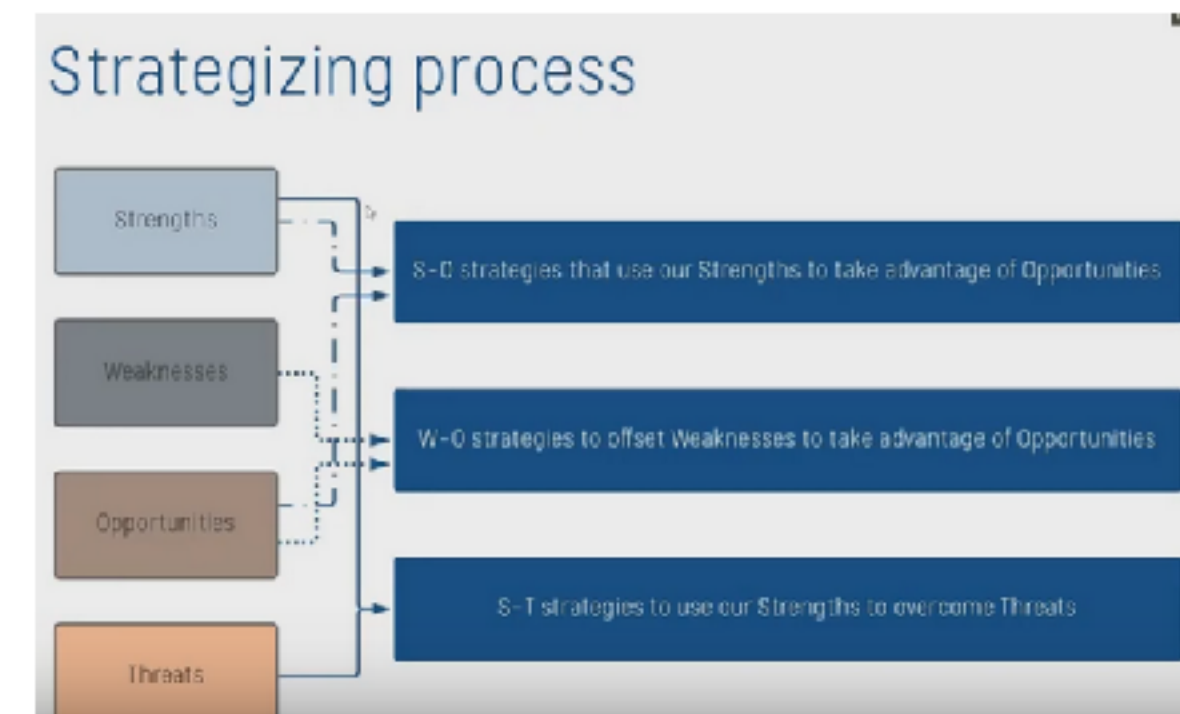
Tõnis Eerme

- CEO of Tech & Space
  - focus on the European Space Agency's tenders
- Ex-Invent Baltics
- Innovation management business since 1999

2:20 / 2:01:35

Reverse engineering of the Estonian ERA Chair 'miracle'

Unlisted



<https://www.ncpwidenet.eu/events/>

The key objectives of this part are the following:

1. Encourage institutional reforms and transformation processes of R&I systems at national and regional level in widening countries in line with ERA principles
2. Mobilise national investments in R&I capacity in widening countries
3. Raise the level for excellence of R&I actors in widening countries in partnership with outstanding European and international institutions ('win-win situation')
4. Increase the number of participations and the success rate of widening actors in research and innovation projects in other parts of Horizon Europe (notably in pillars 2 and 3)
5. Promote the creation of new innovation ecosystems and the upscaling of existing ones by a set of measures, which include, among other, place based and international collaboration between academia and business in widening countries
6. Foster brain circulation, including inter-sectoral mobility for researchers and innovators and turn it into brain gain for widening countries

## 2 – HORIZON-WIDERA-2021-TWINNING-02 -Twinning

To prevent further disparities, maximize investment in R&D and enhance economic growth, Horizon Europe is taking relevant actions under Widening participation and spreading excellence objective. Twinning actions are one of the main instruments of this objective.

KPI Twinning aims to enhance networking activities between the research institutions of the Widening countries and internationally-leading counterparts at EU level by linking it with at least two research institutions from two different Member States or Associated Countries. Therefore, building on the huge potential of networking for excellence through knowledge transfer and exchange of best practice between research institutions and partners. Twinning actions intend to help raise the research profile of the institution from the Widening country as well as the research profile of its staff including a special focus on strengthening the research management and administrative skills of the coordination institution from the Widening country.



**Expected Outcomes:** Projects are expected to contribute to the following outcomes:

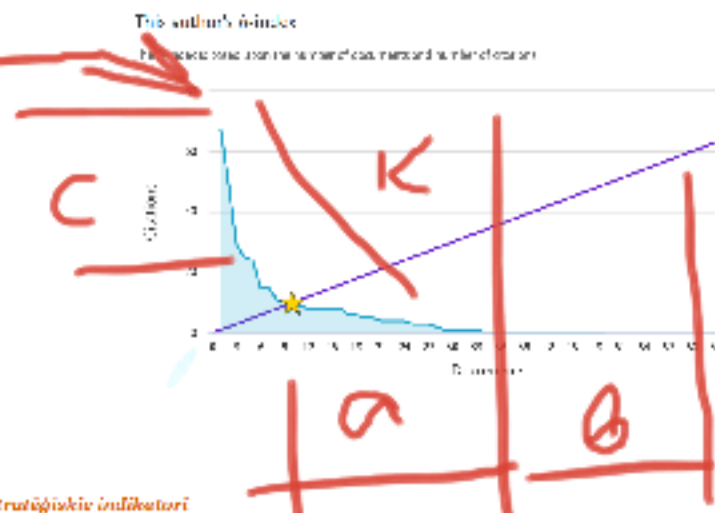
KPI

- Improved excellence capacity and resources in Widening countries enabling to close the still apparent research and innovation gap within Europe.
- Enhanced strategic networking activities between the research institutions of the Widening countries and at least two internationally-leading counterparts at EU level.
- Raised reputation, research profile and attractiveness of the coordinating institution from the Widening country and the research profile of its staff.
- Strengthened research management capacities and administrative skills of the staff working in institutions from the Widening country.
- Improved creativity supported by development of new approaches, increased mobility (inwards and outwards) of qualified scientists.

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Target group (To whom?)	Reason to address the group (Why?)	Message (What?)	Channel
Scientists, research institutions, research students and researchers that can contribute to research and innovation within the widening countries, EU research projects, and EU-UK research projects, and EU-UK researchers as well as the Academic and research community meeting leaders who make decisions about the future of the widening countries and researchers as well as science communication and involve personnel within widening and research institutions	Knowledge of the EU research projects and the widening countries and the role of the widening countries in the current issues and needs of the industry	What plans, where to, how, and what resources, equipment, useful collaborations, research leaders	Workshops, seminars, webinars, project calls, meetings, webinars, webinars, ppt, webinars, ppt
Industry, research, research institutions, research students and researchers	The value of R&D for innovation and the widening countries and the role of the widening countries in the current issues and needs of the industry	Science, technology and innovation opportunities and the widening countries and the role of the widening countries in the current issues and needs of the industry	Workshops, seminars, webinars, project calls, meetings, webinars, webinars, ppt, webinars, ppt



6. Strategiskis indikatori

Indikator	2020	2021	2022	2023
<b>Pasaucis</b>				
Galvenais pasākējuma indikators: 2020	100	100	100	100
Galvenais pasākējuma indikators: 2021	100	100	100	100
Galvenais pasākējuma indikators: 2022	100	100	100	100
Galvenais pasākējuma indikators: 2023	100	100	100	100
<b>Personāls</b>				
Personāla profils: 2020	100	100	100	100
Personāla profils: 2021	100	100	100	100
Personāla profils: 2022	100	100	100	100
Personāla profils: 2023	100	100	100	100
<b>Atbalsts</b>				
Atbalsta profils: 2020	100	100	100	100
Atbalsta profils: 2021	100	100	100	100
Atbalsta profils: 2022	100	100	100	100
Atbalsta profils: 2023	100	100	100	100

### Scope:

Twinning aims to enhance networking activities between the research institutions of the Widening countries and internationally-leading counterparts at EU level by linking it with at least two research institutions from two different Member States or Associated Countries. Therefore, building on the huge potential of networking for excellence through knowledge transfer and exchange of best practice between research institutions and partners.

Twinning proposals will have to clearly outline the scientific strategy for stepping up and stimulating scientific excellence and innovation capacity in a defined area of research as well as the scientific quality of the partners involved in the twinning exercise. This scientific strategy should include arrangements for formulating new (or ongoing) joint research project(s) in the scientific area of choice and describe how Twinning will take this research to a new stage, by enlarging its scope and/or the research partnership. If relevant, any links with sustainable development objectives are to be outlined.

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Such a strategy should include a comprehensive set of activities to be supported. These should include at least a number of the following: short-term staff exchanges; expert visits and short term on-site or virtual training; workshops; conference attendance; organisation of joint summer school type activities; dissemination and outreach activities. As far as appropriate these activities should take into account the gender equality plans of the participants.

Proposals should also focus on strengthening the research management and administration skills of the coordinating institution from the Widening country. This should take the form of a dedicated work package or task, placing emphasis to specific activities, in view of helping the staff of the coordinating institution to improve their proposal preparation and project management/administration skills. If not yet in place, setting up/upgrading a research management/administration unit within the coordinating institution would be beneficial. This will be achieved by fully utilising the experience and best practices of the internationally leading partners and is expected to be a concrete deliverable of the Twinning exercise.

In general, costs relating to administration, networking, coordination, training, management travel cost are acceptable under Twinning projects. In addition to the above mentioned costs, research, consumables and small equipment costs become eligible and they could constitute up to 30% of the requested funding. This will open opportunities for integrating smaller research projects and by this strengthening the commitment and the engagement of the twinning partners.

The Twinning proposals should illustrate quantitatively and qualitatively the expected potential impact of the twinning exercise within the coordinating institution (and possibly at regional/national level) based on indicators like expected future publications in peer reviewed journals, collaboration agreements with businesses, intellectual property, new innovative products or services.

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It should be explained how the leading scientific institutions in the partnership will contribute in terms of provision of access to new research avenues, creativity and the development of new approaches, as well as acting as a source for increased mobility (inwards and outwards) of qualified scientists and young researchers including doctoral candidates.

The benefits for the internationally leading scientific institutions and the way they would materialise through the partnership should be substantiated.

The research part of the project must be presented by a dedicated work package and plan including the scientific objectives, tasks and roles of the partner. At least 70% of the research activities must take place at the premises of participants from widening countries notably the co-ordinator

Expected Outcomes: Projects are expected to contribute to the following outcomes:

- Excellent and sustainable place based innovation ecosystems in widening countries in relevant domains of cutting-edge science and innovation;
- Long term joint R&I strategies underpinned by concrete action plans of European relevance;
- Common investment plans for R&I including infrastructures leveraging national, regional and European fund as well as private capital in a synergetic manner;
- R&I pilot projects alongside a joint strategy and in line with regional and national strategies notably regional innovation strategies for smart specialisation (RIS3);
- New competencies and skills for researchers, entrepreneurs and professionals in R&I intensive domains;
- Strengthened linkages between science and business;
- Poles of attraction for talents in catching up regions;
- Improved knowledge transfer and development of entrepreneurial skills
- Better use of existing research infrastructures as far as applicable
- Uptake of innovative technologies;
- New business opportunities especially for SMEs and new employment.



Expected Outcomes: Projects are expected to contribute to the following outcomes:

At system level:

- Increase in number of R&I talents moving to host organisations in Widening countries
- Increase in international, interdisciplinary and intersectoral mobility of researchers and innovators
- Strengthening of Widening countries' human capital base in R&I with more entrepreneurial and better trained researchers and innovators
- Better communication of R&I results to society
- Better quality and capacity of research and innovation contributing to Europe's competitiveness and growth
- Improved excellence capacity and resources in Widening countries and close the still apparent research and innovation gap within Europe

At organisation level:

<https://sciencebusiness.net/sites/default/files/inline-files/7-WP-Widening-ERA-January-2021.pdf>

- Research excellence of the institution in the specific fields covered by the ERA grant holder.
- Increased attractiveness of the institution for internationally excellent and mobile researchers.
- Creation of a permanent and excellent research group in the chosen scientific field with a spill-over effect on the institution;
- Improved capability to succeed in competitive research funding in the EU and globally, at least, in the fields of choice;
- Greater contribution to the knowledge-based economy and society

### Scope:

Progress towards more and better links between research and innovation actors across European Research Area and beyond is a requirement if Europe as a whole is to capitalise on excellence from across the continent. To foster brain circulation for researchers and innovators the intervention point of the ERA Chairs actions is attracting in a sustainable manner outstanding scientists and innovators to universities or research organisations in catching up countries and regions. This measure of “brain gain” and creation of pockets of excellence will impact on the culture and performance of host institutions.

The leadership of the ERA Chair holder and the creation of a permanent and excellent research group in the chosen scientific field will ensure excellence, visibility and better integration in the European Research Area, as well as fostering competitiveness in research funding and promoting institutional reforms aligned with ERA priorities.

Research organisations located in widening countries interested in establishing an ERA Chair shall submit a proposal with the prospective ERA Chair holder who should be an outstanding researcher and/or innovator in the chosen scientific domain. The scientific field can be any domain of research and innovation addressed under the Treaty on the Functioning of the European Union<sup>9</sup>. The institution in the Widening country shall be the coordinator and can opt between a joint application with the legal entity currently employing the future ERA Chair or submitting a proposal as a single applicant. For the former, partner institutions can be located in any country (including countries outside the EU) except the country of the coordinator and ERA Chair holders can be citizens of any country in the world.

Proposals should include a CV in Europass form<sup>10</sup> of the future ERA Chair holder and detail the scientific and technical support he/she will provide to the coordinator and how the proposed activities will upgrade from the current situation. If there is a partner institution proposals should outline any additional support to be provided by it to the coordinator.

**Jauna, bet  
paliekošā!**

**Vai mēs zinām  
personu un  
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Proposals should also describe any relevant investments of the coordinator in research projects, facilities and infrastructures and how those will be achieved and/or a better use of the installed research capacity (in particular of EU co-funded research infrastructures & facilities). Existing or foreseen arrangements for compliance with ERA priorities<sup>11</sup> including the European Charter for Researchers & Code of Conduct for the Recruitment of Researchers<sup>12</sup> are to be outlined in the proposal .

ERA Chair holders should be excellent researchers and/or innovators in the chosen field of research<sup>13</sup>. They should establish a research team fully integrated in the coordinator's institution to significantly improve its research performance in the scientific domain of choice and to be more successful in obtaining competitive funding. The ERA Chair holder should have a position within the organisation/university, allowing her/him to make appropriate resource allocation decisions, supervise team members and freely apply for research funding. When this is compatible with the nature of the coordinator, he/she is expected to take on some teaching duties.

To allow for the determination of the commitment of the future ERA Chair holder and of the coordinator institution, proposals shall include: 1) a letter signed by the prospective ERA Chair holder expressing his/her commitment to the proposal and willingness to take on the underlying tasks and obligations; 2) a letter from the head of the coordinator institution committing to the proposal and stating that the ERA Chair holder is to receive adequate support to take on her/his tasks and duties including, for example, access to research facilities, supervision of researchers, teaching duties (if any) and capacity to apply freely to national and international funding.

The ERA Chair holders might move on a temporary or permanent basis to the coordinator's premises. To this end, secondments or any other legal arrangements (e.g., leave without pay, sabbatical licences) are possible including part-time work and multiple stays. All contractual arrangements and the timeline of ERA Chairs stays at the coordinator should be indicated in the proposal as well as the salary, travel and daily allowances and/or other perks to be offered. If, at any stage, the preferred option is an employment contract, the future contractual arrangements with the coordinator should be detailed.

The composition, levels of remuneration and timeline of implementation of the ERA Chair holder research team should be indicated and the appointment of team members must follow an open, transparent and merit-based recruitment process **with no more than 50% of the team** appointees having previous contractual links with the coordinator. In all instances, the assessment of candidates is to be conducted by an international recruitment panel led by

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the ERA Chair to be outlined in proposals. Specific attention shall be paid to gender equality objectives, in line with the organisations' commitments through their adopted gender equality plan.

To ensure the sustainability of the action, the ERA Chair research team should have conditions to thrive after the end of the Horizon Europe funding. This should be clearly demonstrated in the proposal and include the appointment of the leader of the newly created research group on a permanent basis within the coordinator organisation (to which the ERA Chair holder might apply) during the initial 2/3 of the duration of the grant. This is to be conducted through an open recruitment procedure to be monitored by the European Commission.

Grants can have a duration of up to five years and cover expenses related to the ERA Chair holder and a number of team members (e.g. their salaries, recruitment costs<sup>14</sup>, administrative costs, travel and subsistence costs) and research costs up to 10% of the EU contribution. . Costs to be claimed by a partner institution should be mainly linked to personnel seconded to the coordinator. The grant will also provide a contribution towards measures aimed at facilitating structural changes in the institution (e.g. costs for trainings, meetings, publications and managing Intellectual Property Rights (IPR)).

For grants awarded under this topic and type of action, the following cost categories will be ineligible costs:

- Infrastructure costs;

ERA Chairs will be implemented as a Coordination and Support action (CSA) evaluated in a single-stage evaluation procedure under Horizon Europe with grants up to 2.5 million € involving a university or a research organisation established in a Widening country as monobeneficiary or as coordinator if the proposal is submitted in partnership with the legal entity employing the prospective ERA Chair holder.

#### 4. Hop-On scheme

The Hop-on scheme enables an additional participant from a Widening country to join existing consortium and an ongoing project. The main idea of the scheme was agreed on 29 March 2019 by the Council as an activity aimed at supporting legal entities from low R&I performing Member States joining already selected collaborative projects. The scheme helps to achieve the Inclusiveness ambition of the future ERA policy by involving research

The Hop-on classical scheme integrates participants from widening countries to a running project ex-post during the second year of the implementation while topping up with costs for that additional participant. These costs may be paid as a lump sum and cannot exceed 5% of the project budget. This will happen on a voluntary basis without affecting the freedom of choice for the consortium.

#### 5. Integrating scheme

This pilot scheme will offer an integration prime (a lump sum) on the grounds of Article 125 of the Financial Regulation (FR) as an incentive - to consortia under HE Pillar 2 for the additional efforts needed to integrate one or more partners from widening countries.

##### Expected outcomes:

The scheme contributes to the objectives of widening.

##### Scope:

The integrating scheme will foster the participation of entities from widening countries as full partners in Horizon Europe proposals and projects. It will allow topping up the budget of a proposal by a maximum of 5% through a lump sum prime, which will support mentoring and capacity building activities for the widening participants throughout the project life.

Financing is based on the achievement of results measured by reference to previously set milestones or through performance indicators. The achievement of the milestone should be evidenced by a simple activity report annexed to the first periodic report of the project.

