UKRO Annual Visit

University of Kent, 19/11/2018
Andreas Kontogeorgos
European Advisor, UKRO
UK Research Office

The Office, Our Mission and Our Services
Where We Are

- Brussels City Centre
- Gare du Midi (Eurostar)
- European Quarter
- UKRO Building
About UKRO

Mission

- To maximise UK engagement in EU-funded research, innovation and higher education activities

Our office

- Based in Brussels
- European office of the UK Research Councils
- Delivers subscription-based advisory services for around 150 research organisations in the UK and beyond
- Also provides ERC and MSCA National Contact Point services on behalf of the UK Government
Our daily work

UKRO services:
We offer a wide range of quality services to help subscribers and Research Councils make informed decisions about participating in EU programmes.

Policy work:
We support effective UK input into European research, innovation and higher education policy development and implementation.

Brussels liaison:
We establish and maintain contacts within the European Institutions and other major Brussels stakeholders in research and innovation.
UKRO Portal – sign up today at www.ukro.ac.uk

Whether you are a researcher, European liaison officer or a research manager/administrator, you can sign up for free to stay up-to-date with the latest news, opportunities and insights 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 with 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
- Visiting Early Career Researchers
- Innovative Training Networks
- People: non-EU/non-Heisenberg Fellows
- High Potential Talent
- To support high-level/long-term research
- Visiting Research
- Capacity Building
- Advanced Training and Novel Training Formats

FET Proactive
- Emerging and Novel Ideas
- Emerging Themes and Communities
- Exploratory, High-Risk, High-Potential
- Cross-sectoral Projects
- Human Brain Project

FET Flagships
- Grand Challenges
- Big Science
- Common Research Agendas
- Strong Scale Initiative
- Interdisciplinary EIT Challenges
- Rare Diseases
- Human Brain Project
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 (project implementation)

• Advice on the best funding stream for your research project

• General advice on proposal writing
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

• UKRO NCPs on social media

LinkedIn
Twitter
Continued UK engagement in Horizon 2020
Referendum and Brexit

- Referendum on the UK’s membership of the EU took place on 23 June 2016
- Article 50 invoked on 29 March 2017
- Negotiation period 2 years from 29 March 2017
EU programmes
2014-2020

UK Participation
Current situation and key facts

• The UK is still an EU Member State and continues to be until the end of the negotiations and the formal exit.

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

• The exact details on how the UK can participate after the UK exits the EU are determined during the negotiations.
Exit negotiations

Research and innovation
UK Government’s guiding principles for exiting the EU

• Research and innovation is a priority in the UK’s negotiating principles (no. 10 out of 12):

  • **10. Ensuring the United Kingdom remains the best place for science and innovation** states that the Government "will seek agreement to continue to collaborate with our European partners on major science, research, and technology initiatives."

    “…there may be some **specific European programmes in which we might want to participate.** If so, and this will be for us to decide, it is reasonable that we should make an appropriate contribution…”

    "**We will continue to attract the brightest and the best to work or study in Britain** – indeed openness to international talent must remain one of this country’s most distinctive assets – but that process must be managed properly so that our immigration system serves the national interest."

Source: [UK Government Guiding Principles for Existing the EU](https://www.gov.uk/guidance/uk-government-guiding-principles-for-existing-the-eu) (17 January 2017)
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<th>Event</th>
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| **Joint Report**<br>(December 2017) | • Sets out political agreement  
• Financial settlement + participation in Horizon 2020 and other EU programmes  
• UK participants eligible to bid for Horizon 2020 calls and uninterrupted flow of funding for lifetime of projects. |
| **Withdrawal Agreement**<br>(in progress) | • Translates the agreement of the Joint Report into legal text  
• Aim is to reach an agreement on the final text in the autumn. |
| **European Council**<br>(June 2018) | • Welcomed further progress on finalising Withdrawal Agreement |
| **UK Government White Paper**<br>(July 2018) | • Sets out the UK Government’s proposals for legislation that will implement the Withdrawal Agreement in UK law |
| **Future relationship**<br>(post 2020) | • Negotiated in parallel to Withdrawal Agreement  
• Several papers have been published including UK position on FP9 and Framework for UK/EU Partnership for S&I |
| **Deal reached on the Withdrawal Agreement**<br>(14 November 2018) | • Based on the Joint Report from December 2017  
• Covers all elements of the UK’s withdrawal from the EU: citizens’ rights, the financial settlement, a transition period, etc. including participation in Union Programmes in 2019-2020 |
Exit negotiations

UK participation in EU programmes

including Horizon 2020
Continued UK participation

• Joint Report EU negotiators/UK Government (8 December 2017) – financial settlement.

“Following withdrawal from the Union, the UK will continue to participate in the Union programmes financed by the MFF 2014-2020 until their closure.”

• This means that UK entities should have continued eligibility to participate in Horizon 2020 as one of the programmes financed by the MFF (EU Budget).
• Technical details to be established during the negotiation.
• Nothing is agreed until everything is agreed.
UK Government key messages and Q&A

• Government Horizon 2020 Q&A published in March 2018, update in August 2018
• UKRO works closely with BEIS – many queries from the community included.
• Key messages:

Until the date when the UK leaves the EU, it remains a Member State, with all the rights and obligations that entails. This means that UK entities are eligible to participate in all aspects of the Horizon 2020 programme while we remain a member of the EU.

The Government’s priority remains ensuring the draft Withdrawal Agreement is finalised. This would mean that UK Horizon 2020 participants and projects would be unaffected by EU exit.

The Government’s Underwrite Guarantee and the Post EU Exit Guarantee Extension remain in place in the event that commitments made in the Joint Report are not met.
Implementation and Post implementation period

**Withdrawal Agreement**
- Covers the UK’s withdrawal from the EU
- Includes the UK’s involvement in activities under the EU Budget 2014-2020 and therefore Horizon 2020 for the remainder of the programme.

**Science and innovation accord**
- Would form part of the UK’s future partnership with the EU. **The UK wishes to explore association in research and innovation programmes, including Horizon Europe and the Euratom Research and Training Programme.**
UK Government Q&A – Withdrawal Agreement

Will UK beneficiaries in existing projects continue to receive EU funding?

Will UK Participants continue to be able to bid for Horizon 2020 after EU Exit?

Full participation in Horizon 2020 for the lifetime of the programme/projects + uninterrupted flow of EU funding

Will UK participants be eligible to participate in and coordinate Horizon 2020 consortia?

How about individual (e.g. monobeneficiary) grants?
On 14 November, the European Commission and the UK reached a deal on the terms of the Article 50 Withdrawal Agreement, based on the Joint Report from December 2017.

It covers all elements of the UK's withdrawal from the EU: citizens' rights, the financial settlement, a transition period, etc. including participation in Union Programmes in 2019-2020.

The European Council will meet on 25 November to approve the deal.

“ARTICLE 137

The United Kingdom's participation in the implementation of the Union programmes and activities in 2019 and 2020

1. In accordance with Part Four, the Union programmes and activities committed under the multiannual financial framework for the years 2014-2020 ("MFF 2014-2020") or previous financial perspectives shall be implemented in 2019 and 2020 with regard to the United Kingdom on the basis of the applicable Union law.”
Other scenarios

UK Government guarantees
Other scenarios

• Priority remains to finalise Withdrawal Agreement, meaning that Horizon 2020 participants and projects would be unaffected by Brexit.
• Government is planning for every eventuality.
• Two major components of no deal planning:
  
  **Underwrite Guarantee** (August 2016): for all successful UK bids submitted before exit, for the lifetime of the projects

  **Post EU Exit extension to the Guarantee** (July 2018): extends the guarantee to cover all successful collaborative bids to Horizon 2020 involving UK entities in a no deal scenario
UK Government Underwrite Guarantee

UK Government Statement 13 August 2016

• 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”

• Applies to proposals submitted before the UK formally exits.
• The UK expects that the underwrite guarantee will not be needed, as the intention is to successfully conclude the Withdrawal Agreement.
• This remains valid until a formal deal has been reached.
## Underwrite Guarantee

**Guarantees funding for all successful UK bids submitted before exit**

| Who is eligible?                              | • UK participants that receive Horizon 2020 funding, or have submitted a bid and are notified of their success after exit, for the lifetime of their projects.  
                                           | • Continued participation of UK entities in Horizon 2020 projects after exit in a no deal scenario would depend on details of third country participation. |
|----------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Does it cover all types of projects?         | • The guarantee covers any Horizon 2020 funding which was awarded to a UK participant after a successful competitive bid.                                                                                 |
| How about two-stage processes?              | • Yes, provided the first stage is submitted prior to the UK’s exit.                                                                                                                             |
| Eligibility?                                 | • More clarification here is needed and questions/concerns are being fed back to BEIS.  
                                           | • UK entities would in any case still be eligible as third country participants.  
                                           | • UK Government is considering further measures that could be taken to support UK research and innovation in a no deal scenario.                                                                 |
Post EU Exit Guarantee Extension

UK government extended the guarantee to cover all successful collaborative bids to Horizon 2020 involving UK entities up until the end of the programme.

**How can I reassure EU partners?**

- **Statement laid** in Parliament in July 2018
- Represents a commitment by UK Government to fund UK portion of bids in case of a successful application to Horizon 2020
- Funding for the lifetime of projects, even if these last beyond 2020.

**What is the difference between the Underwrite Guarantee and the Extension?**

- Extends beyond proposals submitted before UK EU exit until the end of Horizon 2020.

**What parts of the programme would UK applicants have access to?**

- In no deal scenario UK applicants would be able to apply to and participate in all Horizon 2020 calls open to third country participation from the date of exit.
- Currently, third country participants participate in and lead consortia in Horizon 2020 projects.
UKRO continues to update BEIS on questions/comments received by the community. Not all can be fully answered, in particular where it comes to no deal scenarios, but it is important questions are logged so they can be taken into account.

- Eligibility/mono-beneficiary grants in a no deal scenario?
- Evaluation/assessment of bids under the Post EU Exit Guarantee Extension?

UK Government has acknowledged that continuity in approach will be important. More details are expected to be made available.

- How will the guarantee be delivered?

Details to be made available in due course.
Technical notices

• Issued by the UK Government in August 2018
• Detailing the considerations and contingencies that have been prepared in the unlikely event of the UK leaving the European Union without a final Withdrawal deal being agreed.

• Technical notice on Horizon 2020
  – Complements the Government Q&A
  – Provides information on the Horizon 2020 underwrite guarantee, the extension to the guarantee and how the UK Government’s plans to support UK research and innovation will work in practice.

• Other notices are available on EU funded programmes, Nuclear Research, Erasmus+ and a range of other subjects.
Other EU programmes

UK participation
Other EU funding programmes

• The Joint Report refers to “Union programmes financed by the MFF 2014-2020”, which covers programmes outside of Horizon 2020.

• Currently, there are no additional official UK Government Q&As available on other EU programmes.

• The National Agency for Erasmus+, the Creative Europe Desk UK, the LIFE UK National Contact Point, Enterprise Europe Network (EEN), and COST maintain update pages regarding Brexit and UK Participation. The NHS European Office has dedicated resources looking at Brexit and the NHS.
• On 14 November, the European Commission and the UK reached a deal on the terms of the Article 50 Withdrawal Agreement, based on the Joint Report from December 2017.

• It covers all elements of the UK's withdrawal from the EU: citizens' rights, the financial settlement, a transition period, etc. including participation in Union Programmes in 2019-2020

“The United Kingdom's participation in the implementation of the Union programmes and activities in 2019 and 2020

1. In accordance with Part Four, the Union programmes and activities committed under the multiannual financial framework for the years 2014-2020 ("MFF 2014-2020") or previous financial perspectives shall be implemented in 2019 and 2020 with regard to the United Kingdom on the basis of the applicable Union law.”

• The European Council will meet on 25 November to approve the deal.
• The UK Government has stated its commitment to continuing full participation in the Erasmus+ programme up until it exits the EU.

• Based on the joint report (8 December) and remembering that “nothing is agreed until everything is agreed”, in principle the UK will continue to benefit from all EU programmes, including Erasmus+, until the end of the current EU budget plan (2014-2020).

• The UK Government has underlined that it values international exchanges.
• In the unlikely event of a ‘no deal’ scenario, the Government guarantee remains valid.

• Successful Erasmus+ applications which are submitted while the UK is still a Member State, even if they are not approved until after we leave, can continue beyond the point of exit.

• The guarantee applies to funding allocated to UK organisations, whether in applications submitted to Brussels (centralised) or to a National Agency (decentralised), whether or not the UK is the lead partner.
The UK Government has issued a technical note on Erasmus+ in the case of a no-deal scenario.

This confirms:

– Underwriting Erasmus+ funding for all successful bids submitted while we are still in the EU. This arrangement is dependent on reaching agreement with the EU that UK organisations can continue to be eligible to participate in Erasmus+ projects and;

– Funding for successful bids will continue for the lifetime of those particular projects

– You will still be able to bid for new funding until 2020, if we reach an agreement with the EU that UK organisations can participate in Erasmus+ projects post-exit after the UK has left the EU.
A message was posted on the COST Association website on 30 June 2016 following the referendum, and remains valid;

“The UK referendum and a potential future Brexit will have no direct impact on the COST programme. The COST programme is run by an independent, intergovernmental organisation, of which the UK has been a full member since the programme was created in 1971. And this status is independent from European Union membership.

There are no consequences to be expected, neither with regard to the organisation of the Open Call, nor with regard to our COST Actions.”

COST Association, 30 June 2016
• **Article 6** in the **COST statute** officially guarantees the continued Full Member status of the UK to COST (even in case of a ‘no deal’ scenario):

**ARTICLE 6 – COST FULL MEMBER**

(1) COST Full Membership is open to every European State that fulfils all of the following conditions:

   (i) adoption of the European Research Area;
   (ii) adoption of the democratic principles and European values as defined by the Council of Europe;
   (iii) associated to at least two consecutive EU Framework programmes;
   (iv) adequate participation or ability of adequate participation in COST activities, i.e. successful participation in at least 5% of running COST Actions covering different fields and disciplines.

The condition provided for in article 6, (1), (iii) of the present Statutes is not applicable to every European State that has COST Full Member status on 1 January 2016, provided that said European State agrees to pay a GDP based share for its participation in COST Actions and other COST activities in the case of third country status to the EU Framework programme.

• As the UK has been a full COST member since 1971, full member status will continue to apply to the UK, even after Brexit.
EU programmes post 2020

UK relations with the EU on research and innovation post EU exit
• The UK Government has stated that the UK remains committed to ongoing collaboration with the EU.

• Plan for future relationship was set out in a white paper which proposes a cooperative accord with the EU on science and innovation.

• UK wishes to explore association to research and innovation programmes, including Horizon Europe, Euratom, JET and ITER.
Framework for UK-EU Partnership in science, research and innovation

• Published in May 2018 it is part of a series produced by the UK Brexit negotiating team for discussion with the EU on a future partnership in R&I.

• It also looks at precedents for bilateral S&T agreements and outlines in more detail the vision for a science and innovation pact with the EU, which includes access to the relevant EU programmes among others.

• The UK Government will discuss this framework with the EU and aim to conclude it alongside the Withdrawal Agreement later this year.

PM May deliver her speech on science and the UK’s Industrial Strategy at Jodrell Bank on 21 May:

"The United Kingdom would like the option to fully associate ourselves with the excellence-based European science and innovation programmes – including the successor to Horizon 2020 and Euratom R&T.

It is in the mutual interest of the UK and the EU that we should do so. Of course such an association would involve an appropriate UK financial contribution, which we would willingly make. In return, we would look to maintain a suitable level of influence in line with that contribution and the benefits we bring. The UK is ready to discuss these details with the Commission as soon as possible."

Published on 12 July 2018, the white paper outlines UK ambitions for a future relationship post-Brexit.

Contains a list of areas for future ‘accords’ where science and innovation is listed as an area for future collaboration.

There is a dedicated chapter on the Science and Innovation accord that restates the intention to have a future relationship that “provides for UK participation in EU research funding programmes” (see below).

“...establishing cooperative accords for science and innovation, culture and education, development and international action...so that the UK and the EU can continue to work together in these areas, including through EU programmes, with the UK making an appropriate financial contribution;”

https://tinyurl.com/yadxn98k
Science and Innovation ‘Accord’

• Commits UK to a collaboration that is underpinned by “shared principles of scientific excellence, openness to the world and European added value.”

• The UK therefore proposes that the future relationship:
  – provides for UK participation in EU research funding programmes;
  – enables continued cooperation through joint participation in networks, infrastructure, policies and agencies which are to the UK’s and the EU’s joint benefit; and
  – establishes channels for regular dialogue between regulators, researchers and experts.

• The UK wishes to ‘explore’ association in research and innovation programmes, including Horizon Europe, the Euratom Research and Training Programme, the Joint European Torus (JET) project and ITER.
• The accord should also allow the UK and the EU to discuss and agree the UK’s participation in other programmes in the future.

• UK will seek to participate in specific policies and networks which benefit businesses, researchers, citizens and patients across the UK and the EU, including:
  – the European Reference Networks
  – the European Research Infrastructure Consortia, two of which are currently hosted in the UK, the European Social Survey and INSTRUCT.

• Outlines the requirement for ‘suitable’ UK involvement through representation at strategic fora and committees.
A number of the other ‘accords’ also contain ambitions and objectives that are relevant to Research and researcher mobility:

1. Culture and education accord

- should provide for UK participation in EU programmes, and allows UK institutions to be partners, associates, or advisers to EU projects and vice versa;
- facilitates continued UK membership of EU cultural groups and networks;
- the UK is ‘open to exploring’ participation in the successor scheme to ERASMUS+ and continued involvement in Creative Europe.
2. ‘Space’ accord

- The UK and the EU should develop new arrangements for cooperation on space that support European security and mutual prosperity.

- The UK proposes that the future relationship includes a space accord that:
  - provides for UK participation in EU strategic space projects; and
  - establishes channels for regular dialogue between the UK and the EU on space policy.

- The UK and the EU should continue to cooperate on the development and operation of EU space programmes, including Galileo and Copernicus, and ensure the eligibility for UK entities to compete for all programme contracts.
Next steps

• Seek to conclude the Article 50 negotiations in autumn 2018;
• Both the Withdrawal Agreement and the framework for the future relationship will form a joint ‘package’;
• ‘nothing is agreed until everything is agreed’ where neither document can be considered final until both are;
• Once the UK and the EU have reached agreement there will be a debate in both Houses of the UK Parliament;
• If the House of Commons agrees, the Withdrawal Agreement will have legal effect in the UK;
• The European Parliament must then also give its consent to the conclusion of the Withdrawal Agreement;
• Ambition to agree both documents by October 2018 in order to give sufficient time for their respective Parliaments to give their approval before the UK leaves the EU on 29 March 2019.
Outlines how continued collaboration in science and innovation is an important part of the UK’s future partnership with the EU.

"the UK will seek to agree a far-reaching science and innovation agreement with the EU that establishes a framework for future collaboration."

Programmes the UK would welcome discussion with the EU on are in particular:
- The Research and Innovation (R&I) Framework Programmes;
- The Space programmes;
- Nuclear R&D and
- Defence R&D.

Source: Future Partnership Paper on Science and Innovation (6 September 2017)
What the European Commission has said…

Guidance and statements relating to Horizon 2020 and UK participation
• 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.”

The Commission explicitly covers the outcome of the UK referendum in the guidance for evaluators:

Commission guidance for coordinators

Note in the 2018-20 Horizon 2020 Work Programme

- Stresses UK legal entities' eligibility to fully participate and receive funding in Horizon 2020.
- States that eligibility criteria must be complied with for the entire duration of the grant.
- The UK Government has stressed that they are working on concluding the Withdrawal Agreement which would mean UK participants should be unaffected for Horizon 2020 projects.
- In a no deal scenario, the Underwrite Guarantee has been put in place to ensure continued funding for UK beneficiaries.
- UK participants would continue be eligible to take part in calls open to third country participation.
Lamy Group Report on Horizon 2020 Interim Evaluation

• European Commission’s independent High Level Group on maximising the impact of EU Research & Innovation Programmes (Lamy Group) published its report 'LAB – FAB – APP: Investing in the European future we want'.

• Makes 11 recommendations, including: No. 10: Make international R&I cooperation a trademark of EU research and innovation.

• Also states:
  • 'The UK has one of the strongest science bases of all European countries. A positive cooperation model (e.g. based on mutual investment) should be established, so that the UK remains part of the European Research Area.'
‘While you remain part of the European Union, the Horizon 2020 programme is fully open to you. Please keep taking part. Keep collaborating with your European partners. Keep welcoming researchers from other EU countries into your universities and research teams…’

‘the message from the researchers in other Member States is clear. They want to continue working with their partners in the UK. To build on the relationships that have been developed over the last 40 years. As the Lamy group put it in their report, Working together in the future is "an obvious win-win".'
Future EU Programmes

Multiannual Financial Framework 2021-2027
• Simplification of the funding landscape in the next MFF led to consolidation of the existing EU programmes.

• Several new programmes (e.g. Digital Europe), reflecting new priorities of the EU will be created.

• Future programmes will have separate legal bases and potentially also new rules for participation, although no revolutionary changes are expected.

• Duration of the multiannual programmes is normally the same as of the MFF, but in some cases can be shorter.

• The policy goals pursued by other programmes (in particular in ICT, agriculture and fisheries, health, transport, energy, defence and many other sectors) will in many cases be supported by R&I actions under Horizon Europe.

• **New section on UKRO Portal with descriptions and legal texts:**
  https://www.ukro.ac.uk/subscriber/Pages/future_eu_programmes.aspx
EU funding for R&I

Looking ahead
Evaluation and future planning

- Results of the **FP7 ex-post evaluation** in 2015

- **Interim evaluation** must be completed by the end of 2017

- White Paper: Future of Europe

- Results of the review feed into the planning for “Horizon Europe”
Commission published a White Paper 'Future of Europe: Reflections and scenarios for the EU27 by 2025'

The paper sets out 5 possible scenarios:
1. Carrying on
2. Nothing but the Single Market
3. Those Who Want More Do More
4. Doing Less More Efficiently
5. Doing Much More Together

5 reflection papers also accompany the White Paper.

The European Commission will examine responses to the White Paper and reflection papers and present its proposals around the middle of 2018.
Commission is obliged to conduct the Interim Evaluation of Horizon 2020 by end of 2017.

Interim evaluation includes separate assessment of the EIT, JTIs and Art.185 initiatives

Results published on 29 May 2017 (SWD) with separate reports for EIT, JTIs and Art.185 initiatives expected by the end of 2017.

Five criteria for Interim Evaluation:

- Relevance
- Efficiency
- Effectiveness
- Coherence
- EU added value
Interim Evaluation – Main findings (1)

- Attractive to a wide range of stakeholders
- Involving some of the best institutions in the world
- Generating scientific breakthroughs (e.g. 71% of ERC projects made scientific breakthroughs)
- Large-scale oversubscription
- Producing innovations & competitiveness
  - More private sector participations than FP7
  - Funded projects ~40% more likely to be granted patents; patents are of higher commercial value than peers'
- Supporting business and SMEs
  - €13 billion private funds leveraged
Interim Evaluation – Main findings (2)

- Fairly flexible and able to address emerging challenges (e.g. migration)
- Increased coherence with other initiatives
  - e.g. with Structural Funds through the Seal of Excellence
  - Important tool to help implement the UN Sustainable Development Goals
- Consortia attract twice as many researchers from other EU countries than nationally-funded projects
- 83% of projects would not go ahead without EU funding!
- Conclusions:

  Attractive  Well-performing  Underfunded
Interim Evaluation – Room for improvement

- Greater need for impact-focused, mission-oriented approach
- Strategic challenges and objectives are not always clearly translated in specific calls and topics
- Low involvement of civil society
- Low participation of international partners from third countries and EU-13 countries
- Relatively slow progress on spreading excellence in Europe
- Need to have data and publications even more openly accessible
Interim Evaluation – Room for improvement

- Greater need to support breakthrough, market-creating-innovation
- Gender equality and the embedding of Social Sciences and Humanities
- €60 billion more needed to fund all above-threshold proposals
- Need to further simplify (rationalise) R&I funding landscape
- Strengthening of synergies with ESIF & other EU funding
- Comprehensiveness of evaluation feedback should be improved
- Targets for expenditure on sustainable development and climate action are not yet met
Lamy Group Report on Horizon 2020 Interim Evaluation

- European Commission’s independent High Level Group on maximising the impact of EU Research & Innovation Programmes (Lamy Group) published its report: 'LAB – FAB – APP: Investing in the European future we want'.

- In the preface, Pascal Lamy, Chair of the High Level Group, explains that:

>'To shape our future together, we need to imagine, invent and create. We need research (“Labs”), innovation (competitive fabrication (“Fabs”)) and applications for the benefit of all (“Apps”).
The report makes 11 recommendations:

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<th>Recommendation</th>
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<td>Prioritise research and innovation in EU and national budgets.</td>
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<td>Build a true EU innovation policy that creates future markets.</td>
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<td>Educate for the future and invest in people who will make the change.</td>
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<td>Design the EU R&amp;I programme for greater impact.</td>
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<td>Adopt a mission-oriented, impact-focused approach to address global challenges.</td>
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<td>Rationalise the EU funding landscape and achieve synergy with structural funds.</td>
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<td>Simplify further.</td>
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<td>Mobilise and involve citizens.</td>
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<td>Make international R&amp;I cooperation a trademark of EU research and innovation.</td>
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<td>Capture and better communicate impact.</td>
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The European Commission is expected to react to the recommendations of the High Level Group in a Communication due to be adopted in Autumn 2017.
‘Horizon Europe’
Formerly: Framework Programme 9
What has fed into Horizon Europe development?

- **Interim Evaluation of Horizon 2020**
- **Lamy Group Report**
- **Bohemia Foresight Study**
- **Economic rationale for public R&I funding** (analysis of impact on growth and jobs)
- **Public online consultation on FP9**
- **Mission-Oriented Research & Innovation in the EU.** Report from Professor Mariana Mazzucato
- **Europe is back: Accelerating breakthrough innovation** Recommendations for the European Innovation Council (EIC)
- **Communication on a New, Modern Multiannual Financial Framework** post-2020

[Horizon Europe Page on the H2020 Website](#)
Main discussions on FP9

- Suggestion to keep current 3 Pillar structure
- Move from broad societal challenges to more focused and targeted missions
- Establish a European Innovation Council
- Introduction of Defence Research
- Excellence vs widening participation
The Commission’s proposal for a 100 billion euro research and innovation funding programme for seven years (2021-2027):

- strengthen the EU's scientific and technological bases
- boost Europe's innovation capacity, competitiveness and jobs
- deliver on citizens' priorities and sustain our socio-economic model and values.

Additional 4.1 billion euro are proposed to be allocated for defence research

"With growing international competition, Europe needs to act urgently on research and innovation. The proposed €100 billion for the next EU research and innovation programme would be a huge boost."

Carlos Moedas, Commissioner, 15/05/2018
• Suggested Programme name is ‘Horizon Europe’

• Current assumption is that the new programme will also cover a 7 year period

• Public stakeholder consultation on FP9 now closed.

• Commission proposal for next budget period published in May 2018.

• Horizon Europe proposal will follow in June.

• Goes through so-called ‘ordinary legislative procedure’ (EP/Council – see below)

• €100bn proposed for Research & Innovation
2017

- **April-May** - Delphi survey to gain insights on future technologies, societal issues, and R&I practices based on the scenarios.
- **July** - ‘LAB-FAB-APP’ report of Pascal Lamy’s High Level Group published
- **October** – Bohemia and Delphi Analysis and policy recommendations
- **December** – EC Communication rounding-off the Interim Evaluation

2018

- **Jan-March** – FP9 Public Consultation
- **May** – Initial Multiannual Financial Framework
- **6 June** – Horizon Europe Proposal

2019

- **European Parliament elections**
- **New College of Commissioners**
- **Ongoing** – Trilogue Discussions

2020

- **Ongoing** – Trilogue Discussions
- **Ongoing** – preparation of implementation arrangements, including the Model Grant Agreement (MGA)
- **Horizon Europe due for adoption and potential first calls to open!**

National, regional, organisational and other stakeholder position papers published
Next steps

Ongoing

Parliament and Council negotiations on Union budget 2021-2027, including budget for Horizon Europe

From 7 June

Parliament and Council negotiations on the basis of the Commission proposal for Horizon Europe

2nd half 2018/2019

Strategic planning to prepare first work programmes under Horizon Europe, including co-design of missions and setting up of partnerships

1 January 2021

Envisaged start of Horizon Europe
EU Added-Value in Horizon Europe

EU must do better at turning scientific excellence into economic success by:

• Innovation-friendly regulation and financing

• Becoming a frontrunner in breakthrough and disruptive market-creating innovation

• Reconnecting R&I with citizens through EU-wide research and innovation missions
Specific objectives of the Programme

- Support the creation and diffusion of high-quality knowledge
- Strengthen the impact of R&I in supporting EU policies
- Foster all forms of innovation and strengthen market deployment

Optimise the Programme’s delivery for impact in a strengthened ERA

**Pillar 1**
Open Science

- European Research Council
- Marie Skłodowska-Curie Actions
- Infrastructures

**Pillar 2**
Global Challenges and Industrial Competitiveness

- Health
- Inclusive and Secure Society
- Digital and Industry
- Climate, Energy and Mobility
- Food and natural resources
- Joint Research Centre

**Pillar 3**
Open Innovation

- European Innovation Council
- European innovation ecosystems
- European Institute of Innovation and Technology

**Strengthening the European Research Area**

- Sharing excellence
- Reforming and Enhancing the European R&I system
Horizon Europe - Proposed distribution of budget

- Open Science: 34%
- Global Challenges & Ind. Competitiveness: 49%
- Open Innovation: 12%
- Strengthening ERA: 3%
- Euratom 2021-2025: 2%
Open Science: reinforcing and extending the excellence of the Union's science base

**European Research Council**
- Frontier research by the best researchers and their teams

**Marie Skłodowska-Curie Actions**
- Equipping researches with new knowledge and skills through mobility and training

**Research Infrastructures**
- Integrated and inter-connected world-class research infrastructures
## Global Challenges & Industrial Competitiveness

<table>
<thead>
<tr>
<th>Clusters</th>
<th>Implemented through usual calls, missions &amp; partnerships</th>
<th>Budget (€) Bilion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Health</td>
<td>Health throughout the life course; Environmental and social health determinants; Non-communicable and rare diseases; Infectious diseases; Tools, technologies and digital solutions for health and care; Health care systems</td>
<td>7.7</td>
</tr>
<tr>
<td>Inclusive and Secure Societies</td>
<td>Democracy; Cultural heritage; Social and economic transformations; Disaster-resilient societies; Protection and Security; Cybersecurity</td>
<td>2.8</td>
</tr>
<tr>
<td>Digital and Industry</td>
<td>Manufacturing technologies; Digital technologies; Advanced materials; Artificial intelligence and robotics; Next generation internet; High performance computing and Big Data; Circular industries; Low carbon and clean industry; Space</td>
<td>15</td>
</tr>
<tr>
<td>Climate, Energy and Mobility</td>
<td>Climate science and solutions; Energy supply; Energy systems and grids; Buildings and industrial facilities in energy transition; Communities and cities; Industrial competitiveness in transport; Clean transport and mobility; Smart mobility; Energy storage</td>
<td>15</td>
</tr>
<tr>
<td>Food and Natural Resources</td>
<td>Environmental observation; Biodiversity and natural capital; Agriculture, forestry and rural areas; Sea and oceans; Food systems; Bio-based innovation systems; Circular systems</td>
<td>10</td>
</tr>
<tr>
<td>Joint Research Centre</td>
<td>supports European policies with independent scientific evidence and technical support throughout the policy cycle</td>
<td>2.2</td>
</tr>
</tbody>
</table>
Open Innovation: stimulating market-creating breakthroughs

**European Innovation Council**
- Support to innovations with breakthrough and market creating potential

**Innovation Ecosystems**
- Connecting with regional and national innovation actors

**EIT**
- Bringing key actors (research, education and business) together around a common goal for nurturing innovation
Strengthening the European Research Area: optimising strengths & potential for a more innovative Europe

Sharing Excellence

- Teaming (institution building)
- Twinning (institutional networking)
- ERA Chairs bringing excellence to institutions
- COST

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

€ 1.7 billion - N.B Budget Doubled!

€ 0.4 billion
European Innovation Council within Horizon Europe

**EIC Pathfinder**

- Will focus on *transformational* change rather than incremental advances, by providing **financial support** to risky cutting-edge research projects aimed at developing innovation opportunities.

- The Pathfinder will support the **early-stages of scientific and technological research and innovation**, potentially radical innovative technologies of the future.

- Open to **all sciences and disciplines** and encourage unconventional collaborations.

- The Pathfinder will encourage **bottom-up proposals** and may support the emergence of spin-offs or involve existing SMEs, preparing take-up by the Accelerator (below).

**EIC Accelerator**

- The Accelerator will aim to foster the **translation of knowledge to the market** and the rapid scale-up of companies to market deployment.

- Will support and follow-up on other parts of Horizon Europe, including EIC Pathfinder, spin-offs from Pillar 2, Co-investment with Thematic Platforms (including JTIs), ERC Proof of Concept scheme, Start-ups emerging from EIT's KICs and Spin-offs.
Horizon Europe - Novelties

• Support breakthrough innovation

• Extended openness to association and international cooperation via Open Science Policy

• Create more impact through mission-orientation and citizens' involvement (see below)

• Strengthen international cooperation/ New approach to Partnerships

• Rationalise the funding landscape
Horizon Europe Implementation

- Continued principle of a single set of rules with further improvements
- Improved evaluations based on experience
- Stable funding model
- Further simplification of real reimbursement model (e.g. broader acceptance of usual cost accounting practice)
- Increased use of simplified forms of grants where appropriate (lump sums)
International Cooperation helps achieve greater impact in solving global challenges by aligning actions with other nations and regions of the world and by inviting partners from across the world to join EU action.

- General opening for international participation

- Intensified targeted actions (flagship initiatives, joint calls, etc.)

- Extended openness to association
  - Third countries with good capacity in science, technology and innovation
  - Taking into account objective of driving economic growth in Europe through innovation
Open Science in Horizon Europe

• Encouraging uptake of Open Science practices through funding, including for activities to enhance researcher skills in Open Science and support reward systems

• FAIR (findable, accessible, interoperable, re-usable) and Open Data: research data is open by default (with opt-out possibilities) and a data management plan is an obligation for all projects

• Open Access to publications: no reimbursement of article processing charge (APC) for publications in hybrid journals

• Monitoring system to ensure compliance with Horizon Europe provisions
New approach to EU Partnerships

- A new generation of objective-driven and more ambitious partnerships in support of agreed EU policy objectives are planned to be set up.

- Key features:
  - Simple architecture and toolbox
  - Coherent life-cycle approach
  - Strategic orientation

**Co-programmed**
Based on MoUs / contractual arrangements; implemented independently by the partners and by Horizon Europe

**Co-funded**
Based on a joint programme agreed by partners; commitment of partners for financial and in-kind contributions and integration of activities, while Horizon Europe also makes a financial contribution

**Institutional**
Based on long-term dimension and need for high integration, partnerships based on Articles 185 / 187 of the TFEU and the EIT-Regulation will be set-up and supported by Horizon Europe
Other R&I Funding Programmes Under MFF

Erasmus – proposed budget of €30 billion

- Erasmus is the Union's programme for education, training, youth and sport and aims to equip people with new knowledge and skills through study, traineeships, apprenticeships, youth exchanges, teaching, training, youth work and sport activities all over Europe and beyond.

Digital Europe Programme – proposed budget of €9.2 billion

- Digital Europe is a new programme dedicated to the digital transformation of public services and businesses, by boosting frontline investments in high-performance computing and data, artificial intelligence, cybersecurity and advanced digital skills, as well as large-scale deployment of digital technologies across European economic sectors.
Other R&I Funding Programmes continued...

Creative Europe – €1.85 billion
- Creative Europe is the EU programme that supports European culture, including media actions. The overarching aim of Creative Europe is to sustain open, inclusive and creative societies and to strengthen the competitiveness of the cultural and creative sectors, boosting growth and job creation.

European Space Programme – proposed budget of €16 billion
- The Space programme finances the deployment and exploitation of European space infrastructures and related services.

LIFE – proposed budget of €5.45 billion
- LIFE is the EU Programme for the Environment and Climate Action. It focuses on developing and implementing innovative ways to respond to environment and climate challenges. Programme will be structured around two fields of actions: Environment and Climate Action.
Mission-Oriented in Horizon Europe
**Background**

- Working definition of a ‘mission’ = ‘Assignment given for a portfolio of R&I actions to achieve measurable results for a given impact within a set timeframe’.

- They will aim at collaboration and EU level activity, with impact expected within a timeframe beyond individual topics or projects.

- Easy to communicate, to ‘capture the imagination’ and to involve the public (co-design/co-creation).

- Open to all actors in the R&I chain (e.g. cities) providing for experimentation; and implemented through non-prescriptive calls for proposals leading to funding for a range of projects.

- Professor Maria Mazzucato (UCL) is lead advisor on how to define a ‘mission’ and how the approach will be implemented.

- N.B – Missions are not the same as ‘clusters’. There may be many more or many less!
Latest Thinking

- Missions will not receive a separate budget, this would come from the global challenges with many different challenges potentially contributing to one single mission.

- There is potential to start with a small amount of missions (amounting to 10% of the challenges budget) and to scale this up during implementation to 20-30%.

- Mission co-design will be part of Horizon Europe strategic planning process and involve Commissioners, MEPs, different Commission DGs, then Member States before drafting of work programmes begins.

Three phases of design:

I. Identification of a limited number of broad mission areas (3-5, e.g. cancer or infectious diseases, oceans, security etc.) by end of 2018.

II. Within the areas, potential missions would then be co-designed (involving experts and end-users, consultations and shadow programme committees during 2019).

III. First Horizon Europe work programme would cover two years and include the first missions, these would run alongside normal calls.
Implementation of missions:

- Missions ‘board’ to be set up
- Members would be appointed on a personal basis, mixture of personalities and end-users, experts and Commission representatives. Member States can make nominations.
- Top experts to be recruited by executive agencies for 3-5 years to look after missions

Calls within missions:

- As non-prescriptive as possible
- No detailed calls but four “topics” –for example one for projects, partnerships, public procurement and prizes respectively
- Partnership topic open for new and existing partnerships
- CSAs could be used to link projects under each mission

Evaluation of projects/activities under missions:

- By selected experts, briefed by the mission manager
Proposes **five criteria for selecting missions** and places particular emphasis on public engagement at all stages:

I. Bold, inspirational with societal relevance  
II. Targeted, measurable and time-bound  
III. Ambitious but realistic  
IV. Cross-sectoral, cross-disciplinary, across-actors  
V. Promote multiple, bottom-up solutions

- Confirms that the approach would be **not to have a single project but a portfolio of instruments**.

- Provides example missions:
  
  I. Climate Change: 100 Carbon Neutral Cities by 2030  
  II. Clean Oceans: A Plastic-Free Ocean  
  III. Citizen Health and Wellbeing: Decreasing the Burden of Dementia (halving the human burden by 2030).