



# Funding Opportunities for US researchers in Horizon 2020

BILAT  USA 2.0

The logo for BILAT USA 2.0 is a diamond shape divided into four quadrants. The top-left quadrant is blue with white stars, the top-right is blue with yellow stars, the bottom-left is red with white stars, and the bottom-right is white with red stars.

Webinar

incontact

The logo for 'incontact' features the word 'in' in a black, lowercase, sans-serif font, followed by 'contact' in a blue, lowercase, sans-serif font. A black arc connects the top of the 'i' to the top of the 'c'.

BILAT USA 2.0 / Incontact 2020

22 January 2014

Olaf Ripken

National Contact Point for International Cooperation (6th Challenge)

PT-DLR / EU Bureau of the Federal Ministry of Education and Research

# Content

- I. Introduction to Horizon 2020 and its structure
- II. Participation in Horizon 2020 – legal and financial aspects
- III. International Cooperation and funding opportunities for US researchers

# Horizon 2020 - The new Framework Programme for Research and Innovation

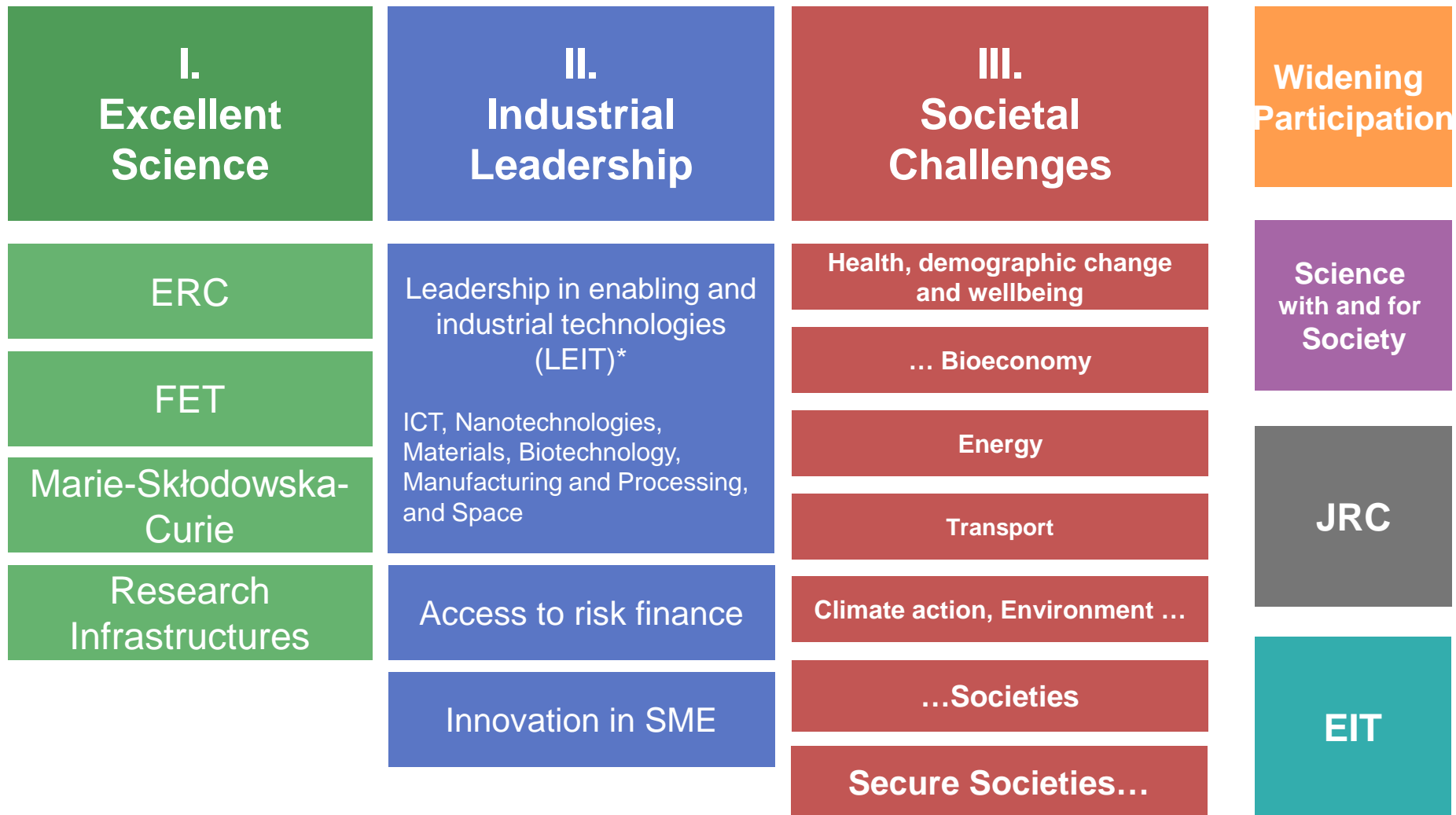
- **World's largest funding programme** for research and innovation – about 77 billion euro (2014 - 2020)
- **Combines the formerly separate funding programmes** for R&I (FP7, EIT, CIP)
- Stronger **focus on innovation**: closing the gap between knowledge and market, stronger participation of SMEs
- Orientation on **Societal Challenges**
- **Simplification**
- also many opportunities for **cooperation with non-European** partners

## Participation in Horizon 2020 - Why?

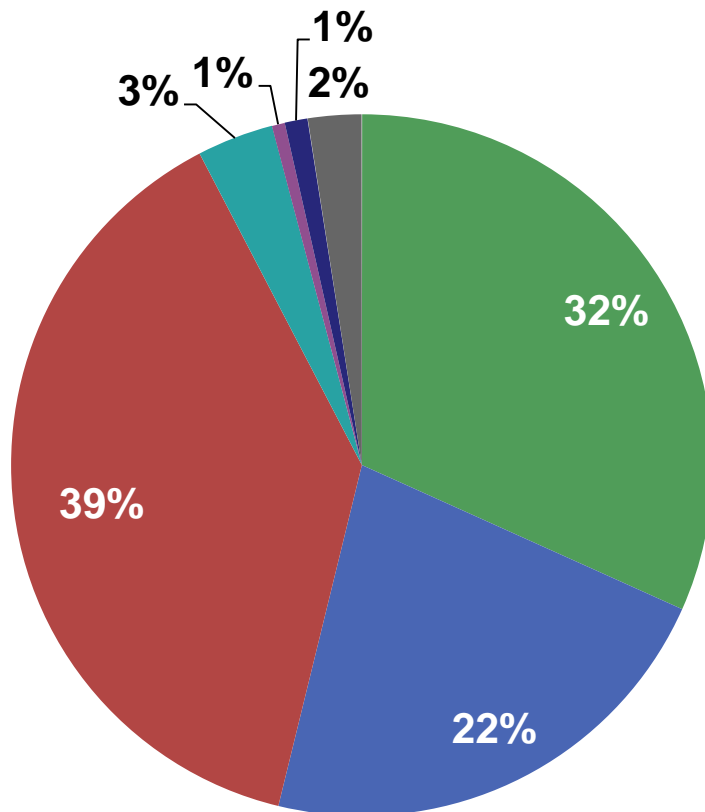
**A unique opportunity to share knowledge, experience and facilities across Europe and beyond:**

- Finance a R&I project
- Participate in ambitious scientific projects
- Improve international network
- Access to knowledge and know-how of pan-European/international consortia
- Increase visibility of results in academia & business
- Create new business opportunities
- etc.

# Programme Structure of Horizon 2020



## Budget allocation of Horizont 2020



- I Excellent Science 24.441 Mio. EUR
- II Industrial Leadership 17.016 Mio. EUR
- III Societal Challenges 29.679 Mio. EUR
- EIT 2.711 Mio. EUR
- Science with and for Society 462 Mio. EUR
- Widening Participation 817 Mio. EUR
- JRC Non-nuclear 1.903 Mio. EUR

## Part I – Excellent Science

- **European Research Council (ERC):** support the most talented and creative individuals and their teams to carry out frontier research
- **Future and Emerging Technologies (FET):** fund collaborative research to open up new and promising fields of research and innovation
- **Marie Skłodowska-Curie Actions:** provide mobility of researchers; focus on training and career development
- **Research infrastructures:** ensure Europe has world-class research infrastructures (including e-infrastructures) accessible to all researchers in Europe and beyond

## Part II – Industrial Leadership

- **Leadership in enabling and industrial technologies (LEIT):** Research and innovation in areas of particular relevance for the competitiveness of the industry (ICT, Nanotechnology, Materials, Biotechnology, Manufacturing and Processing and Space)
- **Access to risk finance:** debt facility and equity facility in order to leverage yet further private high-risk research and innovation (R&I) investments
- **Innovation in SME:** dedicated support for SME in three different stages covering the whole innovation cycle (feasibility part, demonstration and testing, commercialisation phase)



## Part III – Societal Challenges

- 7 specific objectives which aim to contribute to solve important societal challenges of the Union
  - **Policy driven:** reflect the political priorities and societal challenges of the Europe 2020 strategy
  - **Critical mass** of knowledge and resources in order to deal with the societal challenges
- Largest budget share of 38,53% (about 26,5 billion EUR)
- **Interdisciplinary** approach
- Entire cycle from basic research to market uptake
- Strong **output orientation**

### III. Societal Challenges

1. Health, Demographic Change and Wellbeing

2. Food Security, Sustainable Agriculture and Forestry, Marine and Maritime and Inland Water Research and the Bioeconomy

3. Secure, Clean and Efficient Energy

4. Smart, Green And Integrated Transport

5. Climate action, Environment, Resource Efficiency and Raw Materials

6. Europe In A Changing World –  
Inclusive, Innovative And Reflective Societies

7. Secure Societies –  
Protecting Freedom And Security Of Europe And Its Citizens

# Content

- I. Introduction to Horizon 2020 and its structure
- II. Participation in Horizon 2020 – legal and financial aspects**
- III. International Cooperation and funding opportunities for US researchers

## Participation in H2020 in a nutshell - I

- Applications in response to calls for proposals – published in a 2-year work programme with 18 separate parts (exception ERC)
- Calls are either
  - “top down“ : topics defined
  - or “bottom-up“: proposers suggest the topics themselves
- consortia of different project participants (majority) or individual researchers/organisations

## Participation in H2020 in a nutshell - II

- Gate to H2020 = Participant Portal with information on calls, relevant documents, submission of proposals + project management (<http://ec.europa.eu/research/participants/portal>)
- Applications in general in English
- Fixed deadlines or cut-off-dates
- Time to grant in general max. 8 months: submission of proposal - evaluation by independent experts – conclusion of grant agreement

## Requirements for participation

- Collaborative projects: three independent legal entities - each of these shall be established in a **different** Member State or associated country
- **Exceptions:**
  - Calls of the European Research Council (ERC),
  - Marie-Skłodowska-Curie Actions
  - Coordination and support Actions
  - The SME-Instrument, when the action has a clear European added value
  - Programme co-fund actions
  - In justified cases provided for in the work programme or work plan

# Eligibility for Funding - EU 28 and Associated Countries



## Associated Countries: (foreseen)

- Turkey
- Macedonia (FYR)
- Serbia
- Montenegro
- Bosnia & Herzegovina
- Switzerland
- Israel
- Albania
- Republic of Moldova
- Iceland
- Norway
- Faroe Islands

## Eligibility for Funding – third countries

- Horizon 2020 is open to participation of researchers from **third countries** (neither member state, nor associated country)
- automatic funding for legal entities identified in the work programme

### 3 country groups → Differences regarding funding

EU enlargement countries + countries of the European Neighbourhood policy	in general eligible for funding
Developing countries	
Industrialised countries and emerging economies	only funded in exceptional cases

- Industrialised countries: US, Canada, Australia, South Korea, etc.
- Emerging economies: Brazil, Russia, India, China and Mexico



## Exceptional cases for funding....

Participants from industrialised countries and emerging economies are eligible for funding if

- Specific provision in the call text
- provided for under a bilateral scientific and technological **agreement** or any other **arrangement**
  - Specific arrangement for US partners to be eligible for funding in “Health, demographic change and well-being”
- the participation is deemed **essential for carrying out** the action (case by case assessment)

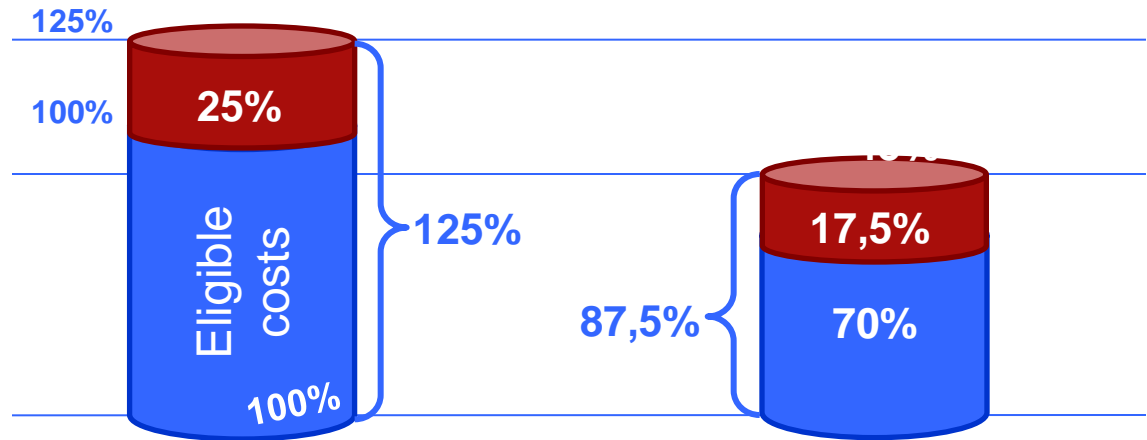
# Funding rates in Horizon 2020

## Simplified:

One funding rate per project

## Reimbursement:

**Actual costs** (personell costs, subcontracting, travel costs, equipment, etc.)



**research and innovation actions**

Close-to-market activities („innovation actions“), but non-profit legal entities 100 %

$$\begin{aligned}
 & (100\% \text{ direct eligible costs} \\
 & + 25\% \text{ overhead flat rate}) \\
 & \times 100\% \text{ funding rate} \\
 \hline
 & = \underline{125\%} \text{ EC-contribution}
 \end{aligned}$$

$$\begin{aligned}
 & (100\% \text{ direct eligible costs} \\
 & + 25\% \text{ overhead flat rate}) \\
 & \times 70\% \text{ funding rate} \\
 \hline
 & = \underline{87,5\%} \text{ EC-contribution}
 \end{aligned}$$

# Content

- I. Introduction to Horizon 2020 and its structure
- II. Participation in Horizon 2020 – legal and financial aspects
- III. International Cooperation and funding opportunities for US researchers**

## International Cooperation in Horizon 2020 - objectives

- Three main **objectives**:
  - Strengthen the Union's **excellence** in research and innovation + **competitiveness**
  - Tackle **global societal challenges**
  - Support the **Union's external policies**

## Implementation of international cooperation in Horizon 2020

**I. General openness for the participation of  
partners from third countries**

**II. Targeted international cooperation actions**

**+**

**Horizontal international cooperation activities**

## I. General openness for the participation of partners from third countries

Chances for international cooperation in many areas of Horizon 2020

- Minimum conditions for **collaborative research** (Societal Challenges, LEIT, FET, etc.): three independent legal entities from three different EU Member States or Associated Countries
  - In addition possible to involve various **partners from third countries**
- **More possibilities** for partners from third countries particularly in the European Research Council, Marie Skłodowska-Curie Actions, etc.

## II. Targeted international cooperation actions

- Calls where the participation of third country entities is encouraged
- Joint initiatives (and financing) with international partners
  - coordinated/joint calls, ERA-NETs , contribution of Union to third country programme, etc.

## Horizontal international cooperation activities

- Part of Societal Challenge 6 “Europe in a changing world” (Successor to FP7 Capacities INCO programme)
- Horizontal support for mainstreaming of international cooperation across Horizon
  - Promotion of general opening towards international partners
  - Support development of targeted international cooperation actions
  - Identify and eliminate obstacles to international cooperation
- 2014-15: Australia, **USA**, Brazil, Russia, China, South Africa, Ukraine, Southern Mediterranean, Eastern Partnership, Black Sea, Middle East, Africa



## International Cooperation in FP7 (2007-2013)

- 5 % third country participations (in absolute numbers)
  - Most successful partner countries (in : Russia, **USA**, China, India, South Africa and Brazil)
  - financial contributions only slightly over 2 % of the FP7 budget
  - Success rates of industrialized countries in comparison quite high
- **US partners** – more than 450 participations, 76 million euro financial contributions - particularly successful
- in the thematic areas Health + ICT + Food, Agriculture, Fisheries and Biotechnology + Energy
  - in the ERC and Marie Curie as host country

# incontact

- INCONTACT – Promoting international cooperation in Horizon 2020  
[www.ncp-incontact.eu](http://www.ncp-incontact.eu)
- BILAT USA 2.0: <http://www.eusscienceandtechnology.eu/>
- European Commission: International Scientific Cooperation Policy:  
[http://ec.europa.eu/research/iscp/index\\_en.html](http://ec.europa.eu/research/iscp/index_en.html)
- European Commission: Participant Portal  
<http://ec.europa.eu/research/participants/portal>

Olaf Ripken; EU Bureau of the BMBF;  
0049 228 3821-1963; Olaf.Ripken@dlr.de