Getting Ready for Framework 9

COURSE PRESENTER

Dr. Seán McCarthy
Getting Ready for Framework 9

PRESENTER

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EARMA Conference 18th April 2018

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CONTENTS

1 The Formal Process for Preparing FP9
2 Trends Influencing the Design of Framework 9
3 From Horizon 2020 to Framework 9
4 How to Participate in EU Decision Making (Lobby)
5 Research Support Services for Framework 9

Content based on information available on 1st April 2018
The official name of the next programme has not yet been agreed. For this course we are using the title ‘Framework 9’ (FP9). This may change.
Preparing for Framework 9

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<tbody>
<tr>
<td>FP7</td>
<td>Horizon 2020</td>
<td>FP9</td>
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Work Programme
Call 5 | Call 6 | Call 7 |
Preparation of Framework 9

Why Get Ready for FP9?

<table>
<thead>
<tr>
<th>Strategy</th>
<th>European Research and Innovation Strategy 2021+</th>
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</thead>
<tbody>
<tr>
<td>Structure</td>
<td>Understand the Structure and Rules of FP9</td>
</tr>
<tr>
<td>Evaluation</td>
<td>Understand Evaluation Processes and Criteria</td>
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EU Policies and Funding Programmes

EU TREATY

Innovation Policy
Horizon 2020
Social Policy
Social Funds
Education Policy
Erasmus Plus
Cultural Policy
Creative Europe
Regional Policy
European Structural + Investment Fund
Joint Programming (National Funding)

From Policy to Programmes to Projects

Politicians
1. Strategic Phase (2017-2019)

EU Policy


European Commission

Researchers

3. Implementation (Work Programmes) (2021-2027)

* Participating in the Decision Making Process
How EU Policy + Programmes are Prepared

The Politicians

Council of Ministers
European Parliament

2. Co-Decision
3. FP9 ‘Adopted’

European Commission

1. FP9 ‘Proposal’*

Researchers

* Content + Rules

Draft Proposal for FP9 (April 2018)

Pillar I Open Science

ERC (European Research Council)
MCSA (Marie Skłodowska-Curie Actions)
Research Infrastructures

Pillar II Global Challenges


Pillar III Open Innovation

EIC (European Innovation Council)
Innovation Ecosystems

Strengthening the European Research Area
**Time Schedule for the Preparation of FP9***

- **2018**
  - MFF and FP9 Proposals (2 May and 6 June 2018)
  - Program Planning
  - Strategic Phase
  - Implementation

- **2019**
  - Calls for FP9
  - Adoption of FP9
  - Vote on MFF/FP9
  - European Parliament Elections (May 2019)

- **2020**
  - Reading by Council and Parliament (‘Co-Decision’)

- **2021-2027**
  - FP9

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**Presidencies of the Council**

- **2018**
  - MFF and FP9 Proposals (May 2018)
  - UK Leaves the EU (March 2019)
  - Reading by Council and Parliament

- **2019**
  - Calls for FP9
  - Adoption of FP9
  - Vote on MFF/FP9
  - European Parliament Elections (May 2019)

- **2020**
  - FP9

- **2021**
  - EARMA Conference

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*(Assuming no delays! MFF (Multi Financial Framework))
CONTENTS

- The Formal Process for Preparing FP9
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From Framework 1 to Framework 9

- FP1 84-87
- FP2 87-90
- FP3 91-94
- FP4 94-98
- FP5 98-02
- FP6 02-06
- FP7 07-14
- H2020 14-2020
- FP9

- €3.75bn
- €5.4bn
- €6.6bn
- €13bn
- €15bn
- €18bn
- €53bn
- €77bn
- €100 bn?

4 Year Programmes
- 12 Member States
- 15
- 25
- 7 Year Programmes
- 27
- 28
- 27
Innovation

Green Paper on Innovation

Open Innovation (Henry Chesbrough)

Innovation on the agenda

“Impact” “Impact” “Impact”

EIT (European Institute for Innovation and Technology)

Innovation Hubs

Towards a European Research Area (2000)

Towards a European Research Area

ERAnets Article 185 ERAnet cofund Joint Programming Initiatives FET Flagships Marie Curie Cofund European Partnership Initiatives?
ERC (European Research Council)

Increased focus on ‘Impact’ Pillar II and III

Financial Crisis (2008)

Lund Declaration (2009)

Societal Challenges

EU 2020 Strategy

EIP (European Innovation Partnerships)
Juncker Plan (2015)

Juncker Plan (2015)


FP7  Horizon 2020  FP9

Real Impact

“economically viable projects with real added value”

+ “smart and efficient use of European funds”

Commissioner Moedas

New Commissioner Moedas


FP7  Horizon 2020  FP9

Open Science - Open Innovation - Open to the World

European Innovation Council (EIC)
UN Sustainable Development Goals (SDG)

(17 Goals, 169 Targets)


FP7 Horizon 2020 FP9

“Increase share of H2020 funds allocated to SDG oriented projects”*

“62% of Marie Curie budget (2014-2015) were awarded to projects related to Sustainable Development”

(WP 2018-2020)

*(Lamy Report 2017)

UN Sustainable Development Goals

GOAL 1: No Poverty
GOAL 2: Zero Hunger
GOAL 3: Good Health and Well-being
GOAL 4: Quality Education
GOAL 5: Gender Equality
GOAL 6: Clean Water and Sanitation
GOAL 7: Affordable and Clean Energy
GOAL 8: Decent Work and Economic Growth
GOAL 9: Industry, Innovation and Infrastructure
GOAL 10: Reduced Inequality
GOAL 11: Sustainable Cities and Communities
GOAL 12: Responsible Consumption and Production
GOAL 13: Climate Action
GOAL 14: Life Below Water
GOAL 15: Life on Land
GOAL 16: Peace and Justice Strong Institutions
GOAL 17: Partnerships to achieve the Goal
BREXIT/Trump (Populism)

“Stimulate co-design/co-creation through citizen involvement” (EC)

“Society at large must be an integral R&I partner”*

“Society should become a ‘Living Lab’”*

*(Lamy Report 2017)

Mid-Term Review of Horizon 2020(2017)

“Strengthen Science, Industrial Leadership and Societal Challenges”

“Adopt a mission-oriented, impact focused approach to address global challenges” (Lamy Report)

“Topics should be more Open and Bottom-up”

*(Lamy Report 2017)
CONTENTS

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Bottom-Up versus Top-Down Programmes

**Bottom-Up**
(Non-prescriptive)

- Researcher free to submit any proposal idea
- Examples in Horizon 2020
- ERC, Marie Curie, SME Instrument..

**Top-Down**
(Prescriptive)
(Predetermined Priorities)

- ‘Topics’ define Scope of the Proposal Ideas
- Examples in Horizon 2020
- Pillar II Industrial Leadership
- Pillar III Societal Challenges
- Who wrote the Topic? (Topic Intelligence)
### Top-Down Programmes (FP7-H2020-FP9?)

<table>
<thead>
<tr>
<th>Programme</th>
<th>Describe</th>
<th>Details</th>
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<tbody>
<tr>
<td><strong>FP7</strong></td>
<td>‘Topics’ very specific Evaluators: Selected based on well defined expertise Proposal limited to ideas that fit the topic</td>
<td></td>
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<tr>
<td><strong>H2020</strong></td>
<td>‘Topics’ very broad (e.g. Renewable Energy) Increased number of proposals – most ideas fit Selecting Evaluators difficult</td>
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<tr>
<td><strong>FP9?</strong></td>
<td>Topics more ‘Bottom-up’ More proposals submitted? Criteria for selecting evaluators?</td>
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Framework 9 Funding (Proposal May 2018)

Pillar I
Open Science
(Bottom-up)

Pillar II
Global Challenges
(Top Down Programme)

Pillar III
Open Innovation
(Bottom-up)

Structural Funds
Public Procurement of Innovation

Technology Readiness Level

‘Science Push’
‘Technology Push’
‘Demand Pull’

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EIC (European Innovation Council)
EIT (European Institute of Innovation and Technology)
ERC (European Research Council)
ERC-POC (ERC Proof of Concept)
ESFI (European Fund for Strategic Investment)
FET (Future and Emerging Technologies)
FTI (Fast Track to Innovation)
JPI (Joint Programming Initiatives)
MC (Marie Curie)
MC-IF (Marie Curie Individual Fellowships)
MC-ITN (Marie Curie Innovation Training Networks)
PPP (Public Private Partnerships)
PPP-CP (Contractual PPPs)
PPP-JTI (Joint Technology Initiatives)

Acronyms

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CONTENTS

The Formal Process for Preparing FP9
Trends Influencing the Design of Framework 9
From Horizon 2020 to Framework 9

How to Participate in EU Decision Making (Lobby)

Lobbying = monitoring or influencing?

“You are liable to have more influence if you can get together with a bigger grouping of people who can provide a unified view”

Graham Stroud (European Commission)

Lobby Groups for Research and Innovation

Technology Readiness Level

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<td>Open Science</td>
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<td>Pillar II</td>
<td>Global Challenges</td>
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LERU
EUA
Nobel Lobbyists
Fundamental Research Centres

KETs
Technology Platforms
EIPs
PPP
KICs

Industry + Enterprise Development Agencies
Financial Bodies
Lobbying for Framework 9

Increase Budget FP9 2017

Distribution of Funding
Pillar I (Open Science)
Pillar II (Global Challenges)
Pillar III (Open Innovation)

Policy 2018, 2019

European Commission

Pillar II (Global Challenges)
Ensure Topic is in WPs
(2020-2021, 2022-2024..)

2019*

Identify Topics
Submit Proposals

Call

Researchers

*First Workprogrammes
Call = Call for Proposals
WP Work Programmes

Effectiveness of ‘Lobbying’ for FP9

2017 2018 2019 2020 2021-2027

Planning FP9 Formal Process Calls for FP9 FP9

EARMA Conference

Effectiveness of Lobbying (Influencing or Monitoring)
CONTENTS

The Formal Process for Preparing FP9
Trends Influencing the Design of Framework 9
From Horizon 2020 to Framework 9
How to Participate in EU Decision Making (Lobby)
Research Support Services for Framework 9

Different Organisations in Research + Innovation

<table>
<thead>
<tr>
<th>Technology Readiness Level</th>
<th>Customers</th>
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<td>1</td>
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<tr>
<td>Fundamental Research Centres</td>
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<td>Universities</td>
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<td>Uni. of Applied Science</td>
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<td>Research Technology Organisations</td>
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<td>Research Intensive Companies</td>
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<td>High Tech Companies</td>
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<td>Low Tech</td>
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<td>No Tech</td>
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Framework 9 Funding Strategy (Universities)

Framework 9 Funding Strategy (RTOs)

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Support Needed for Framework 9

‘Filling in the Forms’ | ‘High Level Support’
---|---
**Content**
- Part B
  - Evaluation Criteria?
  - Evaluation Process?
  - Profile of Evaluators?
  - Level 2 Support

- Part A
  - New Rules?
  - New Forms?
  - New Procedures?
  - Level 1 Support

**Rules**
- Level 3 Support
- Streamlining Processes
  - Templates
  - Sample Proposals
  - Guidelines
  - Process Analysis
  - Level 4 Support

Research Support Services (2018-2021)

<table>
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<tr>
<th>2018</th>
<th>2019</th>
<th>2020</th>
<th>2021-2027</th>
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<tbody>
<tr>
<td>Preparing FP9</td>
<td>Calls for FP9</td>
<td>FP9</td>
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- Research Groups
- Funding Strategy
- Lobby Strategy
- Networking Strategy*
- Topic Intelligence*

- Monitoring
  - Rules
  - Procedures
  - Forms
  - Evaluation Process
  - Evaluation Criteria
  - Topics in Pillar II
    (Global Challenges)

- Supporting Researchers
- Rules (Level 1,3)
- Content (Level 2,4)

* Top Down Programmes
Getting Ready for Framework 9

Next Open Courses

Getting Ready for Framework 9
Location of Course: Hotel Leopold, Brussels
Date: Friday, 15th June 2018 (9:30 to 13:00)
Details: [www.hyperion.ie/course4715.htm](http://www.hyperion.ie/course4715.htm)

How to Write a Competitive Proposal for Horizon 2020
Location of Course: Hotel Leopold, Brussels
Date: Thursday, 14th June 2018 (9:30 to 13:00)
Details: [www.hyperion.ie/course4714.htm](http://www.hyperion.ie/course4714.htm)

Booking details on [www.hyperion.ie](http://www.hyperion.ie)

Hyperion Courses

**Designer and Presenter of Courses: Dr. Seán McCarthy Hyperion Ltd.**

Hyperion specialises in the development of training courses for Researchers and Research Support Staff in Universities and Research Centres. Since 1990, over 76,000 people have participated in Hyperion Training courses in 29 Countries.

Hyperion provides training courses to 74 of the top 100 Universities and Research Centres in Horizon 2020.

**Getting Ready for Framework 9**
Target Audience: Individuals responsible for planning European research strategies in Universities, Research Centres and Research Intensive Companies
Location of Course: Brussels, Friday 15th June 2018
Next Open Course: Brussels, Friday 15th June 2018

**How to Write a Competitive Proposal for Horizon 2020**
Target Audience: Researchers, Research Managers and Newly Appointed H2020 Support Staff
Location of Course: In-house courses held on-site
Next Open Course: Brussels, Thursday 14th June 2018

**How to Write the Impact of a Horizon 2020 Proposal**
Target Audience: Researchers and H2020 Support Staff
Location of Course: In-house courses held on-site

Details of all courses on [www.hyperion.ie](http://www.hyperion.ie)

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- [LinkedIn - Sean McCarthy Hyperion](http://www.linkedin.com/in/seanmcCarthy)

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