



ADOPTION OF THE INITIATIVE AGAINST MASS IMMIGRATION AND ITS IMPACT ON SWISS PARTICIPATION IN HORIZON 2020

Information as of 12 September 2014

The State Secretariat for Education, Research and Innovation (SERI) will post regular updates on the status of Horizon 2020:

- Switzerland and the EU have agreed on a partial association, which will provisionally come into effect on 15 September 2014 and initially run until the end of 2016. An agreement to that effect has yet to be signed by the Federal Council but is expected to be signed by both sides in December 2014.
- This partial association allows researchers in Switzerland to again participate as associated and equally entitled partners in all activities under the first pillar of Horizon 2020, comprising ERC grants, Marie Skłodowska-Curie Actions, Future and Emerging Technologies (FET) and research infrastructures, from 15 September 2014. Researchers in Switzerland will also be able to participate as associated partners in the programme section on Spreading Excellence and Widening Participation. As associated partners, researchers in Switzerland will again receive direct funding from the EU.
- For all other Horizon 2020 calls (second and third pillar) Switzerland remains a third country entity. In these programme areas Swiss partners can still join European collaborative projects, however they will not be entitled to any direct funding from the EU for their part. As a result of the outcome of the popular vote of 9 February 2014 on the mass immigration initiative, the European Union continues to reject Switzerland's full association to the Horizon 2020 package.
- On 25 June 2014, the Federal Council therefore decided to make arrangements for transitional measures. The State Secretariat for Education, Research and Innovation (SERI) will provide direct funding to researchers in Switzerland, whose participation in collaborative projects under Horizon 2020 are not funded by the European Commission. SERI will provide information on the necessary procedures from November 2014 on the www.h2020.ch website.
- The Confederation is also financing an alternative to the ERC Starting und Consolidator Grants implemented by the Swiss National Science Foundation (SNSF) as the first two ERC calls for 2014 already closed before 15 September. However, researchers from Switzerland will be able to participate fully in the third ERC call (ERC Advanced Grants) as equally entitled researchers and, if successful, will receive funding from Horizon 2020.
- From 2017 Switzerland will either be fully associated to Horizon 2020 or it will be able to participate in the whole programme only as a third country. Just which of these scenarios will come about depends on the continuation of the free movement of persons in Switzerland and their extension to Croatia.
- The Federal Council wishes to emphasise that Switzerland holds a leading position in Europe in the field of education and research. The Federal Council is continuing to coordinate efforts, also in its contacts with the EU, to implement the decision of the Swiss electorate in a manner that serves the interests of Swiss and other European nationals affected by the agreement. The stated aim remains Switzerland's full association to Horizon 2020 from 2017.

FURTHER INFORMATION

A) 7TH FRAMEWORK PROGRAMME

- Switzerland's association to the EU's 7th Framework Programme (FP7) is not affected by the latest developments in relations between Switzerland and the EU.
- The bilateral agreement of 2007 between Switzerland and the EU regarding Switzerland's participation as an associated state in FP7 remains valid in full until all projects under FP7 have effectively been concluded.
- The financing of project from Switzerland in FP7 by the European Commission is assured until the end of the research project.
- This applies in particular for the FET Flagship Human Brain Project, which is financed from the FP7 budget in the ramp-up phase until spring 2016.

B) HORIZON 2020: Conditions for participation and recommendations for applicants

An overview of the structure and various programme areas of Horizon 2020 can be found on the [SERI website](#) or the website of the [European Commission](#).

All open calls are published on the [Horizon 2020 Participant Portal](#). [Euresearch](#) offers advice and support to researchers in Switzerland wishing to submit projects.

B.1 Participation under associated status

- As of 15 September 2014 researchers in Switzerland will again be able to participate in all calls under the first pillar of Horizon 2020 (Excellent Science) and „Spreading Excellence and Widening Participation“ under associated status.
- This means that project applications submitted in Brussels will be evaluated and, if successful, also funded directly from Brussels.
- The first pillar comprises all calls from the European Research Council (ERC), the Marie Skłodowska-Curie Actions to promote mobility, Future and Emerging Technologies (FET) and research infrastructures. The programme section on Spreading Excellence and Widening Participation includes the Teaming and Twinning instruments.
- To compensate for this year's ERC Starting and Consolidator Grants, the calls for which went out in the spring, the Swiss National Science Foundation put in place a Temporary Backup Scheme as an alternative for applicants from Switzerland for 2014. Full information can be found on the [SNSF website](#).

B.2. Participation under third country status

- For all calls for projects under the second and third pillars of Horizon 2020 (Industrial Leadership and Societal Challenges), Swiss applicants are considered as participants from a third country.
- This means that Swiss researchers in these programme areas can submit project applications along with European partners and can also coordinate them. The Swiss part of the project will also undergo regular evaluation from Brussels. However, participants from third countries do not receive direct funding from the EU.
- However, despite the changed circumstances SERI strongly recommends that project partners from Switzerland (including businesses and SMEs in particular) join international consortia so as to be able to participate in calls in the second and third pillars.

- In planning a project submission, Switzerland's third country status should be taken into account as follows:
 - An application should respect the rule regarding the minimum number of consortium partners from 3 institutions from 3 different EU member states or associated states (not including Switzerland).
 - According to the conditions for participation in Horizon 2020, projects can also be coordinated by researchers from third countries as long as they have their own funding which also covers the coordination costs. Swiss research institutions can therefore retain their coordinator role. It may however be worthwhile checking in the consortium whether another institution in an EU member state or associated state would be willing to assume that role.
- Project partners are expressly reminded that excellence is the sole evaluation criterion for Horizon 2020, and that there is no discrimination whatsoever against research applications with Swiss project partners (this would in fact be an express breach of the evaluation rules).
- The Federal Council decided on 25 June 2014 that researchers and institutions in Switzerland that are involved in Horizon 2020 collaborative projects approved by the European Commission would be funded directly by the Confederation. Switzerland participated in a similar project-specific manner in the framework programme from 1992-2004. On 12 September 2014 the Federal Council approved the revised Ordinance on Measures for Swiss Participation in the European Union Framework Programmes in the field of Research and Innovation. This will come into force on 1 October 2014, providing the federal government with the legal basis for the direct funding of Swiss project partners in Horizon 2020 projects ("project-specific participation"). Swiss project partners are recommended to keep the overall budget of their collaborative project within the financial limits approved by the EU (including the Swiss contribution, even if this is not funded by the EU).
- More details on the project-specific funding of Swiss project partners by SERI will shortly be made available on www.h2020.ch. Information on the precise procedure, together with the required forms will be available from November 2014. In principle, the funding of Swiss project partners will be based on a contract between the project partner concerned and SERI, which in turn is based on a positive evaluation of the research project by the EU. Cuts in the overall project budget will apply analogously to the Swiss project partners in collaborative projects. SERI assumes that it will be possible to fund in full all Swiss project partners involved in Horizon 2020 collaborative projects for which calls were issued in 2014. Advance guarantees of funding will not be given.

B.3 Information from the European Commission

- Information of 12 September 2014:
http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020-hi-swiss-part_en.pdf

C. CONTACT

- Questions concerning the submission of research proposals:
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- Questions concerning the transitional measures of the Swiss National Science Foundation:
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HORIZON 2020

Switzerland's participation 2014–2016

Excellent Science (EUR 24.4bn)

- European Research Council EUR 13.1bn
- Future and Emerging Technologies EUR 2.7bn
- Marie-Sklodowska-Curie Actions EUR 6.1bn
- Research Infrastructures EUR 2.5bn

Industrial Leadership (EUR 17bn)

LEIT = Leadership in enabling and industrial technologies

- ICT
- Nano, new materials
- Biotechnology
- manufacturing and processing
- Space

EUR 13.5bn

- Access to Risk Finance EUR 2.9bn
- Innovation in SMEs EUR 0.6bn

Societal Challenges (EUR 29.7bn)

- Health EUR 7.5bn
- Food EUR 3.9bn
- Energy EUR 6bn
- Transport EUR 6.3bn
- Climate EUR 3bn
- Inclusive Societies EUR 1.3bn
- Security EUR 1.7bn

Spreading Excellence (EUR 0.8bn)

Science for Society (EUR 0.5bn)

European Institute of Innovation and Technology (EIT) EUR 2.7bn

Joint Research Centre (JRC) EUR 1.9bn

Euratom EUR 1.6bn

Switzerland's participation in Horizon 2020 (As of: 15.09.2014)

CH Association (Sept. 2014 -Dec. 2016)

CH participation as third country

No CH participation