



**ERA Thematic Dossier on
Social Sciences and Humanities
(SSH) in Horizon 2020**

March 2017

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0 Introduction and Objectives

In the programme structure of Horizon 2020, the European Framework Programme for Research and Innovation for the years 2014 to 2020, the social sciences and humanities (SSH) occupy a very different position than in the previous research funding programmes of the European Commission. While they were still a separate programme line in the seventh Framework Programme, they are now seen as a research approach that cuts across the logic of the individual disciplines in all three pillars of Horizon 2020 designed to contribute social science and humanities aspects and provide the appropriate answers. The main objective is to promote interdisciplinarity in European research in order to better meet current societal, scientific and political challenges.

This Thematic Dossier takes a closer look at the role of SSH in Horizon 2020. It focuses on SSH-flagged topics for consortia projects, i.e. the thematic fields where a social science and humanities approach is explicitly desired. From the beginning of Horizon 2020, the European Commission presented the newly introduced SSH-flagged topics as a contribution towards more trans- and interdisciplinary projects involving the SSH and especially as an additional submission option for SSH communities within Horizon 2020.

The observations in the following pages are guided by these questions: To what extent is the objective of Horizon 2020, namely to integrate the social sciences and humanities in all relevant topics, put into practice? How do the Austrian institutions perform in this regard? What recommended courses of action can be derived from the stocktaking for the relevant work steps at the European and national level?

1 Executive Summary

For the first time, the disciplines of the social sciences and humanities (SSH) are integrated across all three pillars of Horizon 2020, the European RTI Framework Programme 2014–2020. To make the SSH visible to applicants as a requested contribution in consortia projects, the European Commission has introduced the (SSH) flagging of topics. This is designed to promote SSH integration and thus the interdisciplinarity within projects, specifically in pillar 3, the Societal Challenges.

The result from the years 2014 and 2015 is not very satisfactory: The integration of expert knowledge from the social sciences and humanities (SSH) in all relevant topics to solve societal challenges can be considered as not sufficiently successful, neither quantitatively nor qualitatively.

The European monitoring reports on the integration of the SSH show that **SSH-flagged topics** are integrated in the programme lines to different degrees, but overall to a minor extent. Only 33% of the topics are flagged, which of course means that 67% of the topics do not include the social sciences, economics and the humanities. This is of concern, especially with regard to the Societal Challenges pillar. In more than half of the advertised topics in all seven of the defined societal challenges, the integration of the SSH is not considered necessary. Even in the SSH-flagged topics, SSH partners are represented in less than 80% of the projects. On a positive note, the percentage of projects with SSH participation in the two years under consideration has increased, a trend that will hopefully continue in the coming years.

The **quality** of SSH integration, which is categorised in the monitoring reports as "none – weak – fair – good", is also not satisfactory: In 28% (2014) and 21% (2015) of the projects, the contribution of the SSH partner organisation was below 10%, low enough to be categorised as "none". Overall, integration has improved in year on year comparison (increase in "fair" and "good" ratings).

The **budget** for the SSH partners is also low: In the years 2014 and 2015, only around 6% and 5%, respectively, of the total budget of all calls went to SSH partners - a reduction of 40 million euros in funding for SSH partners. In addition to the fact that in the Horizon 2020 pillars 2 and 3, the overall budget for all calls and partners was reduced by 257 million euros, the main reason is that the budget share for SSH-flagged topics went down from 28% in 2014 to 24% in 2015.

A special role for SSH research is played by the sixth societal challenge, inclusive, innovative and reflective societies, hereinafter referred to as **SC6 Inclusive Societies**. Even though of all societal challenges, SC6 Inclusive Societies is allocated by far the lowest budget, SSH partners nonetheless receive at least 30% of the budget through this programme line. In addition to the low allocation of funding to SC6 Inclusive Societies (2014: total of 114 million euros, 2015: total of 127.1 million euros), it also has an above average fixed budget of around 25% for "other actions". Moreover, ICT and innovation-focused fields account for a significant proportion of the budget.

There is a reason why the SC6 Inclusive Societies is often perceived as a melting pot for the funding of all manner of subject areas. Regardless of this, it continues to be the central programme line for consortia projects with "classic" social science topics and with correspondingly high SSH participation, both quantitatively and qualitatively. The appeal of the topics and the difficult role of SSH in other programme lines lead to significant

over-subscription and an extremely low success rate (7.1%) in the SC6 Inclusive Societies.

Given these difficult parameters on a European level, the following can be said about **Austrian performance:**

Austria's share in the allocated Horizon 2020 funding volume is 563.8 million euros, i.e. 2.9%. In 2014/2015, some 20 million euros related to SSH-flagged topics went to Austrian SSH research organisations.

Compared with the benchmark countries of Belgium, the Netherlands, Sweden and Denmark, Austria is clearly ahead of Sweden and Denmark and just as clearly behind the Netherlands and Belgium as measured by project participation of SSH partners. In 2014, Austria had a total of 40 participations and was in good 8th place (among the EU-28), and ranked 9th in 2015 (with 34 participations).

With three SSH coordinators each, Austria provides 4% and 5% of all SSH coordinators in the years 2014 and 2015, respectively. Compared with Austria's overall share of Horizon 2020 coordinators of 2.5%, this is a good result.

17 of 64 Austrian SSH institutions were successful for the first time in a framework programme for research in the Horizon 2020 calls of 2014 and 2015. Traditionally, non-university research institutions have a high number of participations in SSH-relevant topics.

In the SC6 Inclusive Societies programme line, Austrian research partners (i.e. SSH and non-SSH) are represented with 46 participations, three of which as project coordinators. The low success rates in SC6 Inclusive Societies also apply to Austria (9.3%), even though the Austrian success rate in the SC6, as in many other programme lines, is above the EU average.

Finally, it should be noted that several factors are crucial for good SSH integration, such as:

- Early integration of the SSH organisations in the work programmes
- Maintaining the visibility of SSH topics by flagging them
- Ensuring that the evaluation panel has SSH expertise
- Continuing the annual EC monitoring for SSH integration

The programme delegates can play an important role with regard to all the mentioned points and take advantage of their good position in the different committees to strengthen the importance of the SSH in the European research landscape.

A much better balance must be found for the organisation of the **next programme period**, both with regard to societal challenges and the integration of the SSH. This calls for a continued dual strategy in SSH promotion that aims to improve the visibility of SSH topics in the various programme lines and increases participation options (flagging of calls) and the quality of the participation. With regard to the SC6 Inclusive Societies, the winner-takes-all effect for the classic social science topics should be eliminated and the high over-subscription of the programme line should be counteracted by increasing the budget for the consortia projects. As far as the Austrian GSK research community is concerned (GSK: "*Geistes-, Sozial- und Kulturwissenschaften*" = Humanities, Cultural Studies and Social Sciences), greater national funding is encouraged in order to both counteract the wasting of resources in the form of non-approved applications at EU level and to offer GSK disciplines more networking options on a European level.

2 Data Sources

The report relies on data from the EU's eCORDA¹ database as processed by EU-PM for the FFG cockpit report (as at 30/09/2016)² and on analyses of the two monitoring reports of the European Commission on the integration of SSH in Horizon 2020 for the years 2014 and 2015. These data sources form the basis for chapters 3 and 4. The data records for SSH in national and multilateral funding programmes vary, which is why they are dealt with only descriptively (chapter 5).

Like the two monitoring reports of the European Commission we focus on transnational consortia projects in pillar 2 and pillar 3 of Horizon 2020. In these two pillars the social sciences and humanities (SSH) are to play an important role through the introduction of the so-called SSH-flagged topics (cf. section 3.2). We will also look at the Austrian performance in the programme lines ERC, MSCA and research infrastructures of pillar 1.³

In the Horizon 2020 diagram below (fig. 1), the programme lines discussed in this Thematic Dossier are highlighted in **bold**. The programme lines associated in principle with SSH-flagged topics are **blue**.

Fig. 1: Structure of Horizon 2020 with the SSH-relevant (blue) programme lines and those discussed in the Thematic Dossier (bold)

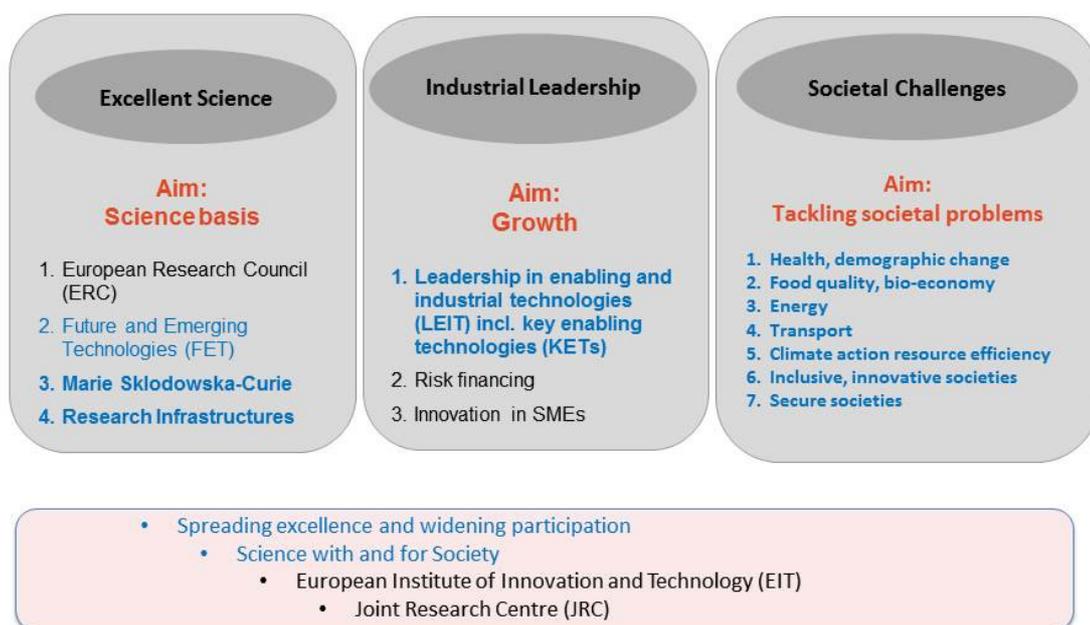


Diagram: FFG

¹ See also: <https://webgate.ec.europa.eu/eCORDA/index.cfm> .

² Cockpit report with data from 30/09/2016, Vienna, 10 November 2016: https://www.ffg.at/sites/default/files/allgemeine_downloads/Monitoring/H2020/ffg_eupm_h2020_cockpitbericht_0ktober_2016.pdf.

³ There are no SSH-flagged topics in the ERC programme line, but one of three evaluation domains is dedicated to the SSH (cf. chapter 5).

2.1 EC monitoring reports on the integration of the social sciences and humanities (SSH) in Horizon 2020

The European Commission has already published two monitoring reports on the "Integration of Social Sciences and Humanities in Horizon 2020: Participants, Budgets and Disciplines".⁴ The reports are based on the projects in SSH-flagged topics funded in the years 2014 and 2015⁵ in pillar 3 and parts of pillar 2, i.e. the LEIT programmes. The focus here is on the actual SSH partners⁶, how much of the budget they receive and in which programmes they are successful. The main issue is the extent to which the SSH as cross-cutting topics are in fact integrated in Horizon 2020.

The monitoring reports are very qualitative in their approach and are based on data from the funded project proposals in SSH-flagged topics. In addition, the EC uses the following **definitions**:

- **SSH partners:** Consortium partners (institutions) where 66% or more of the experts listed as taking part in the project have expertise in the area of SSH and contribute this expertise to project activities.
- **SSH budget:** The sum of grant amounts going to SSH partners under SSH-flagged topics.
- **Discipline prevalence:** An SSH discipline is counted as such if at least one expert in the project has the relevant SSH expertise and contributes this expertise to project activities; a discipline can also be represented by several experts. While in the monitoring report for 2014 the number of people who are experts in a discipline is irrelevant, the 2015 report counted the number of experts per discipline (see also the next dimension). The report also distinguished between experts in research and experts in project related communication & project management (non-research activities).
- **Quality of SSH integration:** It aggregates the performance of each project along four dimensions and associated thresholds, assessing whether:

⁴ <https://ec.europa.eu/programmes/horizon2020/en/news/integration-social-sciences-and-humanities-horizon-2020-participants-budget-and-disciplines>; and <https://ec.europa.eu/programmes/horizon2020/en/news/integration-social-sciences-and-humanities-horizon-2020-participants-budget-and-disciplines-2nd>; the second monitoring report on SSH integration in H2020 with calls for proposal data for 2015 was published shortly before this Thematic Dossier was completed (in February 2017).

⁵ The English subtitle of the two reports is: "Monitoring report on SSH-flagged projects funded in 2014 under Societal Challenges and Industrial Leadership." However, the term "SSH-flagged projects" is misleading, because only the topics and not the associated projects are flagged; instead, it should be: projects within SSH-flagged topics.

⁶ "SSH partner" is a term defined in the EC monitoring reports for a research institution where 66% of the experts in the project have an SSH background. If it is primarily about the researchers themselves, we prefer the term SSH research actors.

- the percentage of SSH partners is more than 10%;
- the budget going to SSH partners is over 10%;
- contributions from the SSH are well integrated in the project abstract, keywords, working programmes and deliverables (2014) / the percentage of person-months of SSH partners is over 10% (2015);
- the SSH input was provided by at least two (different) SSH disciplines.⁷

In line with these dimensions, each project was evaluated according to the **quality of SSH integration** and was allocated to one of the four categories:

None	The threshold was not reached in any of the four dimensions
Weak	The threshold was reached in one dimension
Fair	The threshold was reached in two or three dimensions
Good	The threshold was reached in all four dimensions

As soon as a partner has 66% SSH expertise it is counted as an SSH partner, regardless of the quality of SSH integration. The categories "none" and "weak" SSH integration are included in the analyses.

The data of the EC monitoring reports enable a distinction to be made between SSH and non-SSH research actors within the SSH-flagged topics. This means that statements can be made about the extent, distribution and quality of the SSH.

⁷ In the 2015 monitoring report, analyses for a 20% threshold were also performed, but these are not considered here (cannot be compared with 2014). For other adjustments, see <https://ec.europa.eu/programmes/horizon2020/en/news/integration-social-sciences-and-humanities-horizon-2020-participants-budget-and-disciplines-2nd>, p. 14ff, Methodology.

3 Horizon 2020 and the Social Sciences and Humanities (SSH)

The social sciences and humanities (SSH) cluster of disciplines is best translated into the German "Sozial-, Wirtschafts- und Geisteswissenschaften" (Social Sciences, Economics and Humanities), which is a better translation for the SSH disciplines than GSK for "Geistes-, Sozial- und Kulturwissenschaften" (Humanities, Cultural Studies and Social Sciences), which is often used in Austria. This report primarily uses the acronym SSH as it is used in the mostly English-language sources.

3.1 What are the SSH in Horizon 2020?

The English acronym SSH stands for "social sciences and humanities". It covers a number of disciplines which are often grouped differently and sometimes even referred to differently.

This report employs the definition of SSH as used in Horizon 2020. The figure below (Fig. 2) provides an overview of how the European Commission represents the SSH in the Participant Portal, the digital submission portal etc. for the European RTI Framework Programme Horizon 2020:

Fig. 2: List of SSH disciplines

List of SSH disciplines

Social sciences, education, business and law

Social and behavioural sciences: economics, economic history, political science, sociology, demography, anthropology (except physical anthropology), ethnology, futurology, psychology, geography (except physical geography), peace and conflict studies, human rights.

Education science: curriculum development in non-vocational and vocational subjects, educational policy and assessment, educational research.

Journalism and information: journalism, library and museum sciences, documentation techniques, archival sciences.

Business and administration: retailing, marketing, sales, public relations, real estate, finance, banking, insurance, investment analysis, accounting, auditing, management, public and institutional administration.

Law: law, jurisprudence, history of law.

Humanities and the arts

Humanities: religion and theology, foreign languages and cultures, living or dead languages and their literature, area studies, native languages, current or vernacular language and its literature, interpretation and translation, linguistics, comparative literature, history, archaeology, philosophy, ethics.

Arts: fine arts, performing arts, graphic and audio-visual arts, design, crafts.

The list is adapted from the UNESCO International Standard Classification of Education (ISCED 2011).

Source: H2020 Online Manual, Participant Portal⁸

The SSH research fields are represented in the European research landscape to varying degrees (cf. section 4.6).

⁸ http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/ssh_en.htm#listSSH

3.2 SSH-integrated / SSH-flagged topics

The structure of the European research and innovation programme Horizon 2020 is determined by three main pillars whose programme lines have a common goal: Pillar 1, Excellent Science, serves to create a solid scientific base in the European Union; the primary objective of Pillar 2, Industrial Leadership, is growth; and Pillar 3, Societal Challenges, is mission-oriented and aims to solve societal challenges.

The main thing – and this is new in H2020 compared to the previous framework programmes – is that the social sciences and humanities (SSH) are regarded as cross-sectional topics in all three programme pillars and in cross-cutting programme lines, in the form of so-called SSH-flagged topics. The SSH-flagged topics are calls that expressly require participation of the social sciences, humanities and economics. In the Participant Portal these calls are presented across many different programme lines.

The goal of this cross-sectional strategy is that the SSH, due to their multidimensional nature, create social benefits in all societally relevant fields, i.e., generate new knowledge, support evidence-based policies, develop core competences and contribute to social as well as technological issues.

Indications that the SSH are more important now than they used to be include the following: The questionnaire about the public stakeholder evaluation of the European Commission on Horizon 2020⁹ (open from 20/10/2016 to 15/01/2017) includes items about the success of the integration of SSH in Horizon 2020 calls. The application forms and evaluation guidelines also address the issue of interdisciplinarity. The online manual of the Participant Portal warns that applications for SSH-flagged topics without sufficient SSH-related research content and expertise will receive a lower evaluation score.¹⁰ For calls that expressly require an interdisciplinary approach or the inclusion of SSH aspects in the research, these aspects must also be taken into account by the evaluators of the Commission and the agencies.

In addition to the different scales of the programme lines in general, when it comes to the uneven distribution of SSH-flagged topics between the programme lines, SC6 (Inclusive, Innovative and Reflective Societies, hereinafter referred to as SC 6 Inclusive Societies) stands out in particular, featuring almost exclusively SSH-flagged topics.

⁹ This consultation takes place in the light of the interim evaluation of Horizon 2020 to be carried out by the European Commission by the end of 2017.

http://ec.europa.eu/research/consultations/interim_h2020_2016/consultation_en.htm

¹⁰ "A proposal without a sufficient contribution/integration of SSH research and competences will receive a low evaluation score", see <https://ec.europa.eu/research/participants/portal/desktop/en/support/faqs/faq-938.html>

3.3 SC6 Inclusive Societies and "SSH-integrated" as an area of tension in Horizon 2020 – history of origin

Originally, the European Commission proposed the structure of Horizon 2020 without the current SC6 Inclusive Societies. Pillar 3 included six societal challenges. SC6 was then called Inclusive, Innovative and Secure Societies. As far as the social sciences and humanities are concerned, the proposal of the European Commission merely mentioned that they should be included in the Societal Challenges pillar. The proposal attracted strong criticism, both from security research and the SSH research areas, and ultimately from the European Parliament.

In October 2011 – i.e. before the political decisions regarding Horizon 2020 – an open letter, "Europe needs a large Social Science and Humanities-centred research programme to tackle its 'Societal Challenges'" received¹¹ almost 26,000 signatures. The letter called for a separate Societal Challenge with a clear focus on SSH research and the inclusion of SSH research in all Societal Challenges in the third pillar of Horizon 2020.

The European Commission repeatedly pointed out that requesting a programme line that addresses specific research disciplines is not feasible or not compatible with the structure of Horizon 2020:

The priority "Societal challenges" should increase the effectiveness of research and innovation in responding to key societal challenges by supporting excellent research and innovation activities. Those activities should be implemented using a challenge-based approach which brings together resources and knowledge across different fields, technologies and disciplines. Social sciences and humanities research is an important element for addressing all of the challenges.¹²

The Commission's line of argument is quite understandable. At the same time, all Societal Challenge largely draw on the relevant topics and disciplines of the predecessor programmes of the 7th Framework Programme. These continuities are visible, although the stronger integration of innovation promotion in Horizon 2020 also applies to the third pillar.

Pillar 3 now consists of seven Societal Challenges. The originally proposed SC6 Inclusive, Innovative and Secure Societies was split into two programme lines, namely SC6 Europe in a changing world – inclusive, innovative and reflective societies (or "SC6 Inclusive Societies" for short) and SC7 Secure societies – Protecting freedom and security of Europe and its citizens (or "SC7 Security" for short). Within Horizon 2020, SC6 is the de facto successor to the SSH programme within the preceding framework programme, which was called SSH – Socio-Economic Sciences and Humanities. Horizon 2020 thus technically no longer has a programme line that includes the SSH in its title; nevertheless, SC6 Inclusive Societies primarily addresses the SSH research community.

In 2014 the European Commission (EC) levelled some criticism at the implementation of the SC6 Inclusive Societies. In March that year, the European Sociological Association (ESA), the European Confederation of Political Science Association (ECPA), the European

¹¹ <http://www.eash.eu/openletter2011/>

¹² http://ec.europa.eu/research/participants/data/ref/h2020/legal_basis/sp/h2020-sp_en.pdf

Educational Research Association (EERA), the European Association of Social Anthropologists (EASA) and the European Consortium for Humanities Institutes and Centres (ECHIC) wrote a joint letter to the then EU Commissioner for Research, Innovation and Science, Máire Geoghegan-Quinn.¹³ The letter criticised what the authors considered an alarmingly small share of SSH research funding in SC6 Inclusive Societies as not being in line with the Specific Programme¹⁴. They also claimed that the implementation of the SSH mainstreaming policy with the help of SSH-flagged topics was too narrow, constituted a utilitarian approach to SSH research and would not meet the self-imposed requirements of the European Commission.

In April 2014, Science Europe¹⁵ wrote a letter to Commissioner Geoghegan-Quinn criticising the quality of the integration of SSH-relevant calls in the 2014–15 work programmes of the Societal Challenges. They claimed that SSH research was not addressed in 75% of the relevant calls in 2014–2015.¹⁶ For 2015, and even more so for the subsequent work programmes, they demanded a better integration of SSH aspects in calls, and better instructions for evaluators regarding the integration of SSH research in calls and applications.

Within the SC6 programme committee, where the delegates of the Member States negotiate the various work programmes with the Commission, the topic of SSH integration has been discussed since the beginning of Horizon 2020. The programme committee of SC6 Inclusive Societies has no legal competence for SSH integration, as this lies with the strategic programme committee (because SSH integration is a cross-cutting topic). However, the Commission considers the delegates in this programme committee obvious points of contact due to their expertise, their strong involvement in the national SSH research communities and their affiliation to SSH departments in the ministries or SSH research funding agencies. Moreover, the SSH issue is generally part of the area of responsibility of the national SC6 delegates. Since the beginning of Horizon 2020, the representatives of the Member States have been critical about the actual implementation of SSH integration.

The discussion of SSH integration has been accompanying Horizon 2020 from its beginning with varying intensity and is still ongoing as this report is completed. The debate about the future inclusion of SSH research in the 9th EU-RTI framework programme is slowly getting off the ground. This Thematic Dossier aims to make a contribution to this (see chapter 6, Recommendations for Action).

3.4 The importance of the SC6 Inclusive Societies programme line for the SSH community

The SC6 (inclusive, innovative and reflective societies) programme line is an essential strand for the funding of social science and humanities research, and to this day it is the programme line that clearly addresses these research communities.

¹³ <http://www.afsp.msh-paris.fr/activite/2014/lettersshcommunity110314.pdf>

¹⁴ http://ec.europa.eu/research/participants/data/ref/h2020/legal_basis/sp/h2020-sp_en.pdf

¹⁵ Science Europe is an umbrella association of organisations which funds and carries out research. Their cooperation in Science Europe is designed to strengthen the European research landscape and illustrate the importance of research for progress and innovation in Europe, cf. <http://www.scienceeurope.org/>.

¹⁶ http://www.scienceeurope.org/wp-content/uploads/2014/05/Letter_Science_Europe_WP2015_Challenges.pdf

Genuine SSH-specific research approaches are almost exclusively addressed within SC6. Topics that are in this form only funded in SC6 include research aimed at overcoming the economic crisis, social inequality, education, European identity and the position of Europe in a global environment, as also the broad topic of migration. Other programme lines on the other hand (if SSH plays any role at all) tend to address economic aspects, the application of technologies and scientific research or they are about policies in certain areas of technology.

Most of the calls issued by SC6 Inclusive Societies expressly require research logics which are conditional on the participation of research communities from the SSH and where the projects can generally not be carried out without key support from the SSH. This is a main difference from the approach of the SSH as a cross-cutting subject in the SSH-flagged topics. SC6 Inclusive Societies includes calls that are reminiscent of the SSH programme in FP7 and, in line with the stronger innovation orientation, topics from innovation research that call for a high degree of specific SSH expertise. Exceptions are some calls with a strong ICT dominance (information and communication technologies), which have so far not included clear formulations concerning solid integration or successful transdisciplinarity with the SSH.

SC6 Inclusive Societies employs, roughly speaking, three main lines:

1. Topics that address research communities in the social sciences and economics and, to a lesser degree, the humanities and cultural studies. In the European Commission, these topics are coordinated by Unit B.6 – Open and Inclusive Societies in the Directorate-General for Research (DG RTD). Topics related to embedding the European Union in a global environment are also regularly addressed, such as conflicts in the immediate vicinity of the European Union or Europe and on international research cooperation (so-called INCO projects; however, this topic is now dealt with centrally by the "Service Facility in Support of the Strategic Development of International Cooperation in Research and Innovation" for the European Commission).
2. Information and communications technology (ICT), based on DG CONNECT, i.e. the Directorate-General Digital Single Market – Digital Economy and Society, managed by Directorate H, Digital Society, Trust and Cyber Security. Cultural heritage as an ICT-based topic is also managed by this DG.
3. Innovation research, managed by DG RTD, Directorate-General B, Open Science and Open Innovation. Here, the focus is on the range of topics covering innovation and economic growth, including e-government or public sector innovation including ICT.

The often cited impression of the SC6 Inclusive Societies as a melting pot for the funding of all manner of disparate subject areas in Horizon 2020 still applies today, as the following examples illustrate:

- To this day, the SC6 Inclusive Societies with around 25% of "other actions" have a higher than average "fixed budget" percentage.¹⁷

¹⁷ The "other actions" budget is allocated in the form of public procurement (e.g. for awards, conferences) or for funding experts and platforms for specific policy-relevant topics and is not available for projects and thus not part of competitive research funding.

- Like in the other Societal Challenges, ICT topics are integrated in the SC6 Inclusive Societies, and account for a significant share of the budget. Most of these ICT topics are not SSH-flagged. At the beginning of the programme period, many saw them as something extraneous that drives the programme line towards technology funding – although the SC6 Inclusive Societies has a significantly lower budget than all other

Societal Challenges. A lack of successful integration of SSH in the calls managed by DG CONNECT was most sorely felt during the first two-year work programme in 2014–2015. SSH-led proposals for such calls are lacking to this day.

- Calls for projects in the field of innovation research have also come under critical scrutiny by the programme committee because of their narrow focus, such as on entrepreneurship.
- The parts of the work programme that address social science, economics and sometimes the humanities have also been regularly discussed by the programme committee. For many, the approach to the growth paradigm used in investigating the impact of the economic crisis in Europe was too traditional and not open enough. Conversely, social inequality topics were included in the work programmes only as a result of pressure from the Member States in the programme committee. The same applies with regard to a greater range of calls for projects in the field of humanities that are not directly linked to technology application via ICT.

The SSH are thus treated ambivalently within H2020. On the one hand, they are recognised as a central perspective for all societal challenges in order to develop sustainable solutions. On the other hand, the SC6 Inclusive Societies programme line in particular, where social science research is carried out primarily (and to a high quality), is on a low budget and overloaded with many other topics. While emphasising the commitment to interdisciplinarity, disciplinary isolation appears to prevail.

In the programme period 2018–2020, for example, the originally discussed focus area on the general topic of migration was not implemented for the final work programme. According to the European Commission, this is because it was not possible to pool the necessary budgetary funds from different Societal Challenges. Calls for projects concerning migration and the refugee crisis will now be launched exclusively by the SC6 work programme.

This is yet another example of the fact that certain topics such as the economic crisis and migration (regardless of their political poignancy and the challenges they represent for society) are not supported by other programmes within Horizon 2020 (despite efforts to bring about an integrated research approach in the Societal Challenges). This also emphasises the importance of the SC6 Inclusive Societies.

There is thus a discrepancy between expectation and reality. The introduction of the SSH-flagged topics does not appear to promote the integration of SSH to the desired extent. This will also be shown in the following chapter and, where possible, documented with figures.

4 Austrian Performance in Horizon 2020 in 2014 and 2015

4.1 Budget overview

The funding volume for Horizon 2020 for the whole period (2014–2020) is 77.2 billion euros. As at 30 September 2016, 19.6 billion euros had been allocated, which is 25% of the budget. The figure below (Fig. 3) shows the planned and already allocated funding amounts to all countries by programme line of the three pillars of H2020 (columns one to three) and by other topics and programmes (column four). The figure also shows the different budgets allocated to the individual programme lines as discussed in chapter 3. With around 1.3 billion euros, the SC6 Inclusive Societies is the societal challenge with the lowest allocated budget.

Fig. 3: Horizon 2020 budget in million euros by programmes and progress

PILLAR 1 EXCELLENT SCIENCE		PILLAR 2 INDUSTRIAL LEADERSHIP		PILLAR 3 SOCIETAL CHALLENGES		CROSS-CUTTING TOPICS AND PROGRAMMES	
Total budget	24.232,10	Total budget	16.466,50	Total budget	28.629,60		
Approved funding	6.702,09	Approved funding	4.527,45	Approved funding	7.419,05		
Budget share	27,7%	Budget share	27,5%	Budget share	25,9%		
Frontier research funded by the European Research Council (ERC)		Leadership in enabling and industrial technologies		SC1: Health, demographic change and wellbeing		Spreading Excellence and Widening Participation	
Total budget	13.094,80	Total budget	13.035,00	Total budget	7.256,70	Total budget	816,50
Approved funding	3.474,33	Approved funding	4.454,27	Approved funding	1.621,98	Approved funding	162,21
Budget share	26,5%	Budget share	34,2%	Budget share	22,4%	Budget share	19,9%
Future and emerging technologies		Access to risk finance		SC2: Food security, sustainable agriculture and forestry, marine maritime and inland water research and the Bioeconomy		Science with and for Society	
Total budget	2.585,40	Total budget	2.842,30	Total budget	3.707,70	Total budget	444,90
Approved funding	570,38	Approved funding	8,20	Approved funding	874,17	Approved funding	105,54
Budget share	22,1%	Budget share	0,3%	Budget share	23,6%	Budget share	23,7%
Marie Skłodowska-Curie actions		Innovation in SMEs		SC3: Secure, clean and efficient energy		Non-Nuclear direct actions of the JRC	
Total budget	6.162,30	Total budget	589,20	Total budget	5.688,10	Total budget	1.855,70
Approved funding	1.939,41	Approved funding	64,98	Approved funding	1.692,90	Approved funding	0,00
Budget share	31,5%	Budget share	11,0%	Budget share	29,8%	Budget share	0,0%
European research infrastructures, including e-Infrastructures		Industrial Leadership - cross-cutting theme		SC4: Smart, green and integrated transport		European Institute of Innovation and Technology (EIT)	
Total budget	2.389,60	Total budget	0,00	Total budget	6.149,40	Total budget	2.383,00
Approved funding	717,97	Approved funding	0,00	Approved funding	1.588,71	Approved funding	0,00
Budget share	30,0%	Budget share	-	Budget share	25,8%	Budget share	0,0%
				SC5: Climate action, environment, resource efficiency and raw materials		EURATOM	
				Total budget	2.956,50	Total budget	2.374,00
				Approved funding	895,89	Approved funding	512,76
				Budget share	30,3%	Budget share	21,6%
				SC6: Europe in a changing world - Inclusive, innovative and reflective societies			
				Total budget	1.258,50		
				Approved funding	329,33		
				Budget share	26,2%		
				SC7: Secure societies – Protecting freedom and security of Europe and its citizens			
				Total budget	1.612,70		
				Approved funding	416,08		
				Budget share	25,8%		

Source: FFG cockpit report with eCORDA data as at 30/09/2016, p. 3

Austria's share of the already allocated funding volume is 563.8 million euros, i.e. 2.9%. The discussion below shows that only a fraction of this benefits SSH researchers and SSH topics.

4.2 Funding volume for SSH partners

First, let's take a look at the kinds of amounts we are talking about specifically when it comes to SSH participation and SSH researchers and organisations. The monitoring reports of the European Commission provide information. The underlying data of the EC monitoring report on the integration of SSH in Horizon 2020 are the funded projects in the SSH-flagged topics of the 2014 and 2015 calls in pillar 3 and the LEIT programmes of pillar 2.

The figures below show the budgets which demonstrably went to SSH partners¹⁸ in consortia projects under SSH-flagged topics in **2014** (Fig. 4) and **2015** (Fig. 5).

¹⁸ According to the definition in the EC monitoring report: SSH partners are consortium partners (institutions) where 66% of the experts mentioned in the project proposal have an SSH background.

Fig. 4: Budget for SSH-flagged topics and for SSH partners in 2014 (in million euros)

Budget allocated to SSH-flagged topics and to SSH partners (million €)							
Horizon 2020 parts	Total budget 2014 calls	Budget allocated to SSH-flagged topics	Budget going to SSH partners	Share of budget going to SSH partners under SSH-flagged topics	Share of budget going to SSH partners out of the total call budget	Budget going to Austrian SSH partners	Share of budget going to Austrian SSH partners out of budget all SSH partners
SC1	589	275	33	12%	6%	2,20	6,6%
SC2	293	104	29	27%	10%	0,52	1,8%
SC3	583	94	21	22%	4%	1,65	7,8%
SC4	539	226	21	9%	4%	2,09	9,9%
SC5	306	124	16	13%	5%	0,00	0,0%
SC6	114	83	70	84%	61%	2,59	3,7%
SC7	205	79	28	36%	14%	0,63	2,2%
Total SC	2629	985	218	22%	8%	9,69	4,4%
LEIT-ICT	710	100	13	13%	2%	0,93	6,9%
LEIT-NMBP	533	21	3	16%	1%	0,94	27,3%
LEIT-SPACE	130	17	1	7%	1%	0,29	24,6%
Total LEIT	1373	138	18	13%	1%	2,15	11,9%
Total	4002	1123	236	21%	6%	11,84	5,0%
Total ex. SC6	3887	1041	166	16%	4%	9,25	5,6%

Source: Data analysis of the EC monitoring report 2014, columns on Austrian participation: FFG analysis

Fig. 5: Budget for SSH-flagged topics and for SSH partners in 2015 (in million euros)

Budget allocated to SSH-flagged topics and to SSH partners (million €)							
Horizon 2020 parts	Total budget 2015 calls	Budget allocated to SSH-flagged topics	Budget going to SSH partners	Share of budget going to SSH partners under SSH-flagged topics	Share of budget going to SSH partners out of the total call budget	Budget going to Austrian SSH partners	Share of budget going to Austrian SSH partners out of budget all SSH partners
SC1	590	135	26	19%	4%	0,44	1,7%
SC2	179	85	12	14%	7%	0,55	4,5%
SC3	619	88	13	15%	2%	2,00	15,7%
SC4	268	75	27	36%	10%	1,11	4,1%
SC5	329	172	16	9%	5%	0,43	2,7%
SC6	127	92	61	67%	48%	1,87	3,1%
SC7	200	38	13	34%	7%	0,57	4,3%
Total SC	2312	685	168,5	25%	7%	6,97	4,1%
LEIT-ICT	819	195	28,5	15%	3%	1,84	6,4%
LEIT-NMBP	510	8	0,2	2%	0%	0,00	0,0%
LEIT-SPACE	104	0	0	0%	0%	0,00	0,0%
Total LEIT	1433	203	28,7	14%	2%	1,84	6,4%
Total	3745	888	197,2	22%	5%	8,81	4,5%
Total ex. SC6	3618	796	136	17%	4%	6,94	5,1%

Source: Data analysis of the EC monitoring report 2015, columns on Austrian participation: FFG analysis

The budget for 2015 was lower than for 2014. The share for the SSH partners in the overall call budgets also dropped from 6% to 5%. In 2015 the SSH partners thus received around 39 million euros less in total. Generally speaking, there is variation between the programme lines as well as in annual comparison. In both years, however, the SC6 Inclusive Societies stands out: The budget that goes to SSH partners within this SC is 30% of the total budget allocated to all SSH partners in the programmes and SSH-flagged topics under consideration.

The drop in the overall budget and the budget share for SSH partners in annual comparison is also reflected in the **figures for Austria**: The funding volume for Austrian SSH partners fell by more than two million euros from 11.84 million euros in 2014 to 8.81 million euros in 2015. The share of their funding volume also decreased from 5% to 4.5%. At the same time, the influence of the SC6 Inclusive Societies on the budget share for Austrian SSH partners remained constant (0.6 percentage points in both years). Whereas in other programme lines, both in pillar 2 and pillar 3, there were clear shifts in budget flow. Overall, 5% or 4.5% share in the SSH funding volume for Austrian partners constitute good performance, given that Austria's share in the total funding budget for Horizon 2020 is at 2.9% (FFG cockpit report, November 2016¹⁹).

Merged into one diagram, the relative budgets for Horizon 2020 (all 2014 + 2015 calls: total of 7,747 million euros, SSH-flagged topics: 2,011 million euros, SSH partners: 433.2 million euros; incl. SC6) are as follows:

Fig. 6: Budget for all 2014+2015 calls (yellow), of which SSHft (green), of which SSH research stakeholders (red)



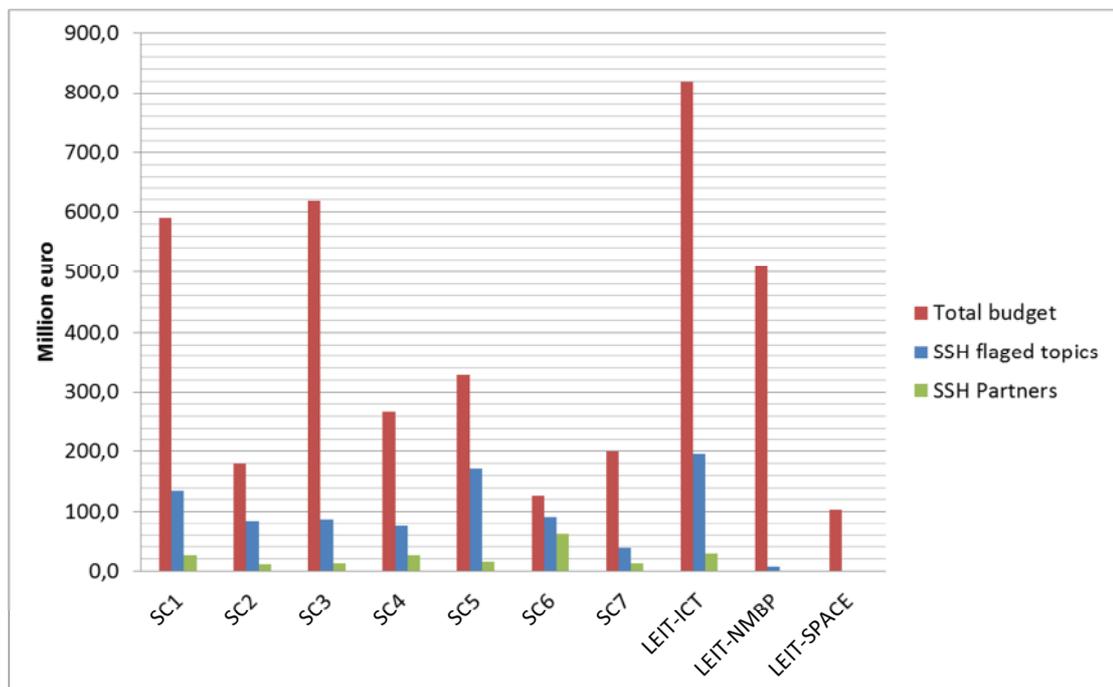
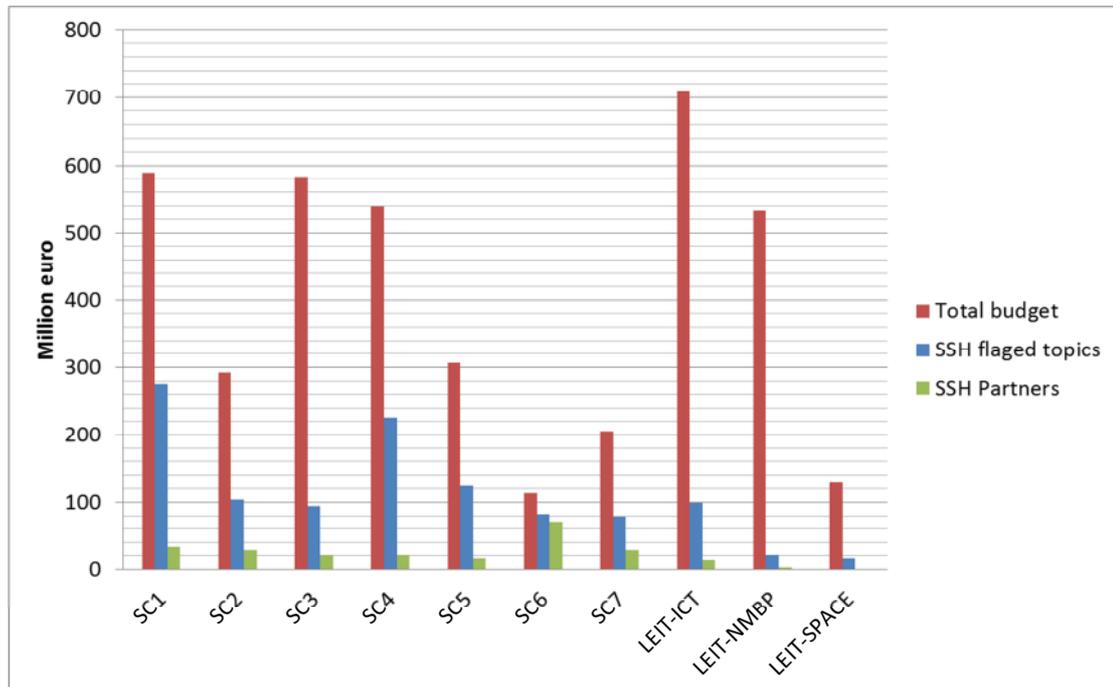
Source: Data analysis of the EC monitoring reports 2014 and 2015, diagram: FFG

The share of the budget that went to the SSH partners as part of the **2014 and 2015** calls is thus minuscule. If you take away the SC6 Inclusive Societies programme line, which primarily comes under SSH, then the integration of SSH in the other research fields is even lower. No major changes can be expected for the subsequent years 2016 to 2018 if they are not already being considered in the work programme.

¹⁹ Cockpit report based on data as at 30/09/2016, Vienna, 10 November 2016
https://www.ffg.at/sites/default/files/allgemeine_downloads/Monitoring/H2020/ffg_eupm_h2020_cockpitbericht_oktober_2016.pdf

The following figures show the distribution of total call budgets, SSH-flaged topics and SSH partners across the individual programme lines:

Fig. 7: Budget distribution for all calls, for SSH-flaged topics and for SSH partners in 2014 (top) and 2015 (bottom)



Source: Data analysis of the EC monitoring reports 2014 and 2015

This shows that in the individual programme lines funding budgets are allocated to SSH partners to varying degrees. This is also due to the different proportions of SSH-flagged topics in the programme lines. If you only look at the Societal Challenges programme lines, the share of SSH-flagged topics in the 2014 and 2015 calls was 40%. This means that as much as 60% of the topics of the mission-oriented programme lines with a strong interdisciplinary orientation are classified as not relevant for SSH from the outset.

A breakdown into pillars for 2015 shows that a total of 2,312 million euros were approved **in pillar 3**, 685 million euros of which for SSH-flagged topics. Only 25% of this amount went to SSH partners (168.5 million euros), compared to 7% (2014: 8%) based on the total approvals in H2020 for pillar 3.

Overall, for **pillar 2** the distribution of funding for SSH partners is even more unfavourable. Here only 14% of the funding in SSH-flagged topics goes to SSH research organisations, which is only 2% of the total funding budget. In 2015, LEIT-ICT stands out from the three LEIT programme lines, in that 15% of the budget in SSH-flagged topics goes to SSH partners, which however accounts for only 3% of the total budget. In 2014, LEIT-NMBP was well ahead of the other LEIT programme lines. A closer look at the budget share in SSH-flagged topics, however, reveals that this accounts for only 1% of the overall budget.

With pillar 2 and pillar 3 taken together, funding for SSH partners in 2015 only made up **5%** of all funding in H2020 (which is even one percentage point lower than in 2014; despite the slight increase in the percentage of funding for SSH partners in SSH-flagged topics from 21% in 2014 to 22% in 2015). If SC6 Inclusive Societies is subtracted from the budget because of its specific significance for the SSH, then the budget share for SSH partners decreases by one percentage point to 4%.

A total of 61 million euros of project funding went to SSH partners in 2015 under the SC6 Inclusive Societies programme line. Although SC6 Inclusive Societies is allocated significantly less funding than the other challenges, this amount is still **almost one third of all funding** that was allocated to SSH partners in SSH-flagged topics in 2015.

Integrating the SSH by flagging topics as particularly relevant to SSH was successful only to a very minor extent. In very few cases are SSH research stakeholders actually being funded in the SSH-flagged topics. The call for more interdisciplinary research to solve societal challenges is difficult to put into practice this way. The plan to attract more attention to SSH-relevant calls seems to make sense. The extent to which this constitutes a further development from the seventh framework programme is however debatable.

Something else became clear: SC6 Inclusive Societies is the only programme line where the SSH (where mentioned) are in fact represented and also reflected in the budget.

Key points:

- The funding that went to SSH partners in pillar 2 and pillar 3 taken together was only **5%** of all H2020 funding in 2015, which constitutes a decline of one percentage point compared with 2014. When pillar 3 is considered separately, this share is 8% (2014: 7%), and for pillar 2 only 1% (compared with 2% in 2014).
- Without SC6 Inclusive Societies, the share of funding for SSH partners in pillar 2 and pillar 3 drops to **4%** (same percentage as in 2014).
- 70 million euros of funding in 2014 and 61 million euros in 2015 for SSH partners in SC6 Inclusive Societies make up around 30% of all funding for SSH stakeholders in pillar 2 and pillar 3 together.
- In 2015, the total budget available for the pillars 2 and 3 was 250 million euros less than in 2014. At the same time, the budget share for SSH-flagged topics also dropped from 28% to 24%. For the SSH partners, this meant a decrease in funding of almost 40 million euros.
- The funding volume for Austrian SSH partners – in line with the general decline in funding in 2015 – fell by more than two million euros from 11.84 million euros in 2014 to 8.81 million euros in 2015. In addition, the funding volume for Austrian SSH partners dropped from 5% to 4.5%.

4.3 SSH-flagged rarely means SSH-integrated – on the quality of SSH integration

Flagging a topic as being relevant for SSH issues does not necessarily mean that SSH partners are in fact involved in a project or involved to an adequate extent. The EC monitoring reports also provide results for the **quality of the integration**. The way quality is measured in the monitoring reports was already discussed in chapter 2. For each project with identified SSH partners (at least 66% of the work contributed by a project partner was performed by SSH experts), SSH integration (none, weak, fair, good) is verified based on four dimensions: share of SSH research partners, budget share of SSH research partners, SSH identifiable in relevant project texts and deliverables (2014)/share of person months of SSH research partners (2015), SSH input from at least two disciplines. Figure 8 illustrates the specific role of SC6 Inclusive Societies, which includes the quality of SSH integration:

Fig. 8: Quality of SSH integration 2014 (left) and 2015 (right)

Quality of SSH integration 2014					Quality of SSH integration 2015				
Horizon 2020 parts	None	Weak	Fair	Good	Horizon 2020 parts	None	Weak	Fair	Good
SC1	23%	17%	30%	30%	SC1	13%	8%	21%	58%
SC2	10%	15%	20%	55%	SC2	43%	7%	14%	36%
SC3	30%	6%	28%	36%	SC3	25%	2%	30%	43%
SC4	34%	18%	30%	18%	SC4	0%	0%	9%	91%
SC5	50%	19%	15%	15%	SC5	47%	3%	13%	38%
SC6	0%	0%	0%	100%	SC6	0%	0%	3%	97%
SC7	13%	13%	17%	57%	SC7	0%	0%	18%	82%
LEIT-ICT	53%	3%	12%	32%	LEIT-ICT	20%	12%	18%	50%
LEIT-NMBP	29%	14%	14%	43%	LEIT-NMBP	67%	0%	0%	33%
LEIT-SPACE	57%	0%	29%	14%	LEIT-SPACE	0%	0%	0%	0%
Total	28%	11%	21%	40%	Total	21%	5%	17%	57%
Total ex. SC6	32%	12%	24%	32%	Total ex. SC6	25%	6%	19%	50%

Source: Data analysis of the EC monitoring reports 2014 and 2015²⁰

What stands out in SC6 Inclusive Societies is that in 2014 SSH integration was rated as good throughout, i.e. the threshold was reached in all four areas in which quality was measured. This programme line is thus not at all typical. Although in 2015, SC4 Transport and SC7 Security also show high levels of good SSH integration, namely 91% and 82% of the projects, SC6 Inclusive Societies, at 97%, falls slightly below the top value of the previous year. However, to see the overall picture, both years must be considered. Overall, SSH integration has significantly improved. The percentage of projects with good integration performance in SSH-flagged topics increased from 40% to 57% on average in all programme lines. If we take away SC6 Inclusive Societies, this applied only to 32% of projects in 2014, and 50% in 2015.

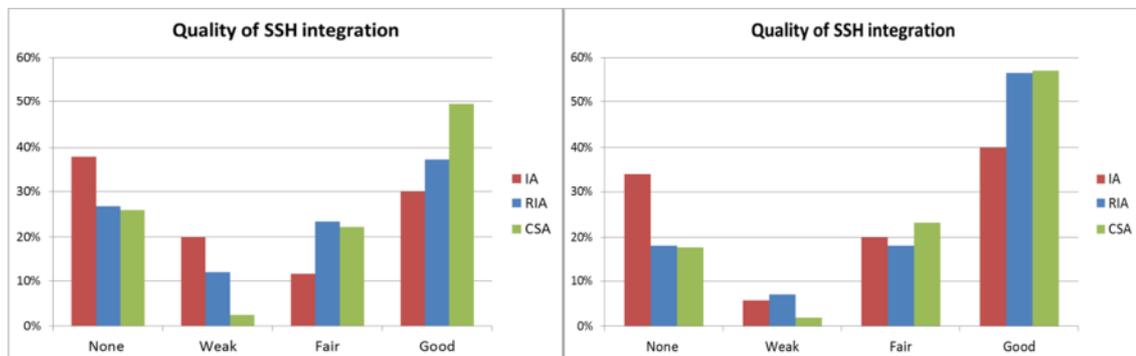
The fact that many projects in the SSH-flagged topics show poor SSH integration is a disappointment. In 2014, the European Commission assigned 28% of projects, and in 2015 21% of projects, to the "none" category; this cannot be classed as successful integration of the SSH in the H2020 programme lines under discussion here.

Both monitoring reports come to similar conclusions on the basis of these findings: much greater attention must be paid to the social sciences and humanities in the definition of the work programmes. This must be reflected in the number of topics with SSH-flagging. Most importantly, the calls must be worded in such a way that the central role of SSH expertise becomes apparent and the SSH research actors actually feel they are the intended audience (see the relevant recommendation for action in chapter 6).

The table below refers to a link between funding instrument and quality of SSH integration:

²⁰ The monitoring reports for the 2015 calls also include evaluations regarding the 20% threshold (top: 10% threshold as in 2014); these are not taken into consideration for lack of comparison.

Fig. 9: Quality of SSH integration by instrument in projects with SSH-flagged topics in 2014 (left) and 2015 (right).



Source: Data analysis of the EC monitoring reports 2014 and 2015

The relevant funding instruments here are Research and Innovation Actions (RIA), Innovation Actions (IA) and Cooperation and Support Actions (CSA). RIAs are roughly equivalent to classic transnational consortia research projects. Innovation Actions are closer to the market and are often interested in the development of technologies and their market launch, which is why they are often more business-oriented. CSAs have a supporting character, they create links between the relevant stakeholders and are also suitable for policy development.²¹

The diagram shows that the quality of SSH integration is best in CSAs and worst in Innovation Actions. The increase in SSH integration quality can be traced in all three instruments, but most clearly in CSAs and especially RIAs.

FP7 already had CSAs with participating SSH stakeholders in programme lines other than the SSH programme. The results for 2014 and 2015 suggest a level of continuity to FP7, both with regard to the type of call and the potential applicants. In contrast, Innovation Actions are a new instrument in H2020, where the integration of SSH research is quite difficult – note the high percentage of projects without any SSH integration in this instrument. In addition, there is no positive tradition from FP7 here, which is why there are no transdisciplinary networks that could be activated in H2020. The quality of SSH integration has significantly improved in the RIAs in particular; other changes are conceivable over the course of H2020.

Key points:

- In 2014, only SC6 Inclusive Societies is the only programme line where all projects show good integration, i.e. the threshold is reached in all four dimensions of the SSH quality definition. In 2015, 97% of the projects in this programme line show good SSH integration.
- 28% (2014) and 21% (2015) of all approved projects in the SSH-flagged topics do not show any SSH integration (without SC6 Inclusive Societies 32% and 25%).
- Overall, the quality of SSH integration has improved from 2014 to 2015.

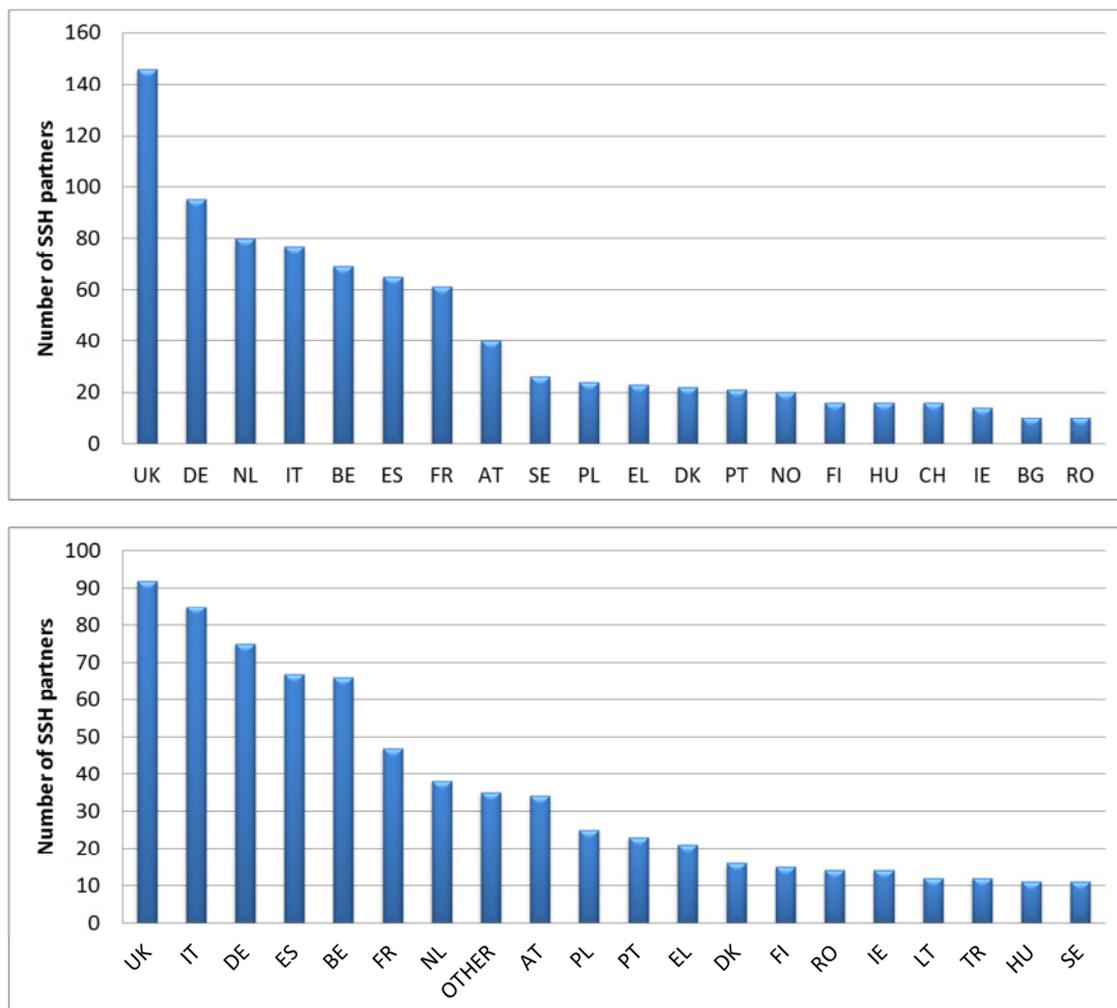
²¹ For more information about funding instruments, see "types of action" at http://ec.europa.eu/research/participants/data/ref/h2020/wp/2014_2015/annexes/h2020-wp1415-annex-ga_en.pdf.

- The quality of SSH integration depends on the funding instrument used. The increase in SSH integration quality can be traced in all three instruments, and most clearly in CSAs and especially RIAs.

4.4 Performance of Austrian SSH partners compared with other countries

The number of SSH partners per country in projects funded under SSH-flagged topics (see Fig. 10 below) for 2014 and 2015 is very much in line with the relative sizes of the Member States of the European Union.

Fig. 10: Number of SSH partners per country in projects funded under SSH-flagged topics, 2014 (top) and 2015 (bottom) calls



Source: Data analysis of the EC monitoring reports 2014 and 2015

Large countries with large populations such as Germany, the United Kingdom, Italy, Spain and France with large research infrastructures, organisations and universities are at the top of the list of SSH stakeholders. If we compare Austria with benchmark countries such as the Netherlands, Belgium, Sweden and Denmark, then Austria – with a total of 74 SSH partners participating in SSH-flagged topics in 2014 and 2015– is significantly ahead of

Sweden and Denmark with 37 and 38 participations, respectively, but significantly behind the Netherlands and Belgium, who have joined the big players with 118 and 135 participations. Overall, Austria is in good 8th place (with 40 participations) in 2014 and in 9th place (with 34 participations) in 2015.

In 2015 the big lead enjoyed by the United Kingdom in the year before became smaller. 146 participations of SSH partners was a record result in 2014, with Germany following with comparatively small numbers of participants, namely 92, in 2nd place. It is impossible to know the extent to which this downward trend will continue in view of the upcoming Brexit. The future RTI framework programmes will have to take this development into consideration. For SSH research stakeholders and in fact for all research stakeholders, a functioning working relationship with the United Kingdom is important.

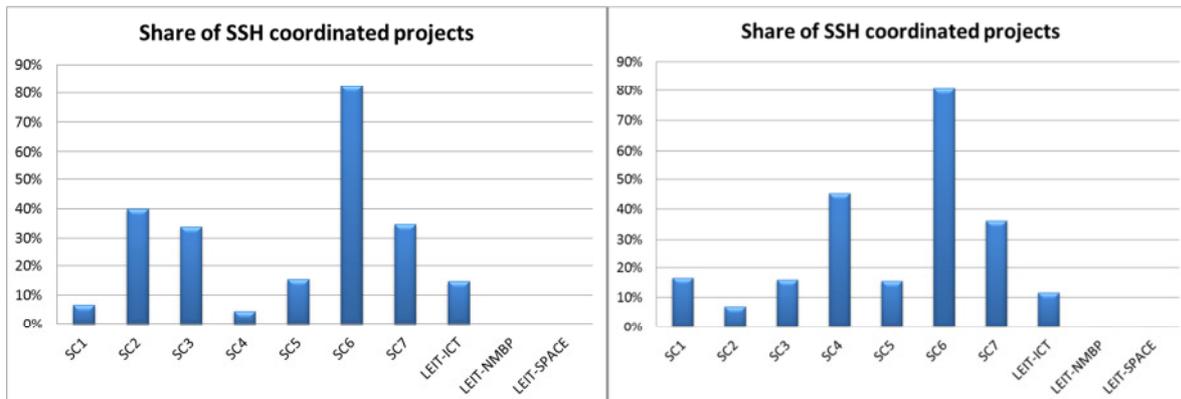
Key points:

- With 40 participations of SSH partners in SSH-flagged topics in 2014 and 34 participations in 2015, Austria is in eighth and ninth place, respectively. This is in line with Austria's position in Horizon 2020 in general, where Austria is also in ninth place by number of participations (cf. cockpit report November 2016, p.19).
- Compared with the benchmark countries, Austria is clearly ahead of Sweden and Denmark and clearly behind the Netherlands and Belgium.
- What stands out is the high number of SSH partners from the United Kingdom, but the distance to the other countries with high levels of participation has dropped significantly in 2015.
- In view of the upcoming Brexit, the importance of research partnerships with UK partners must be taken into consideration in order to find a long-term solution.

4.5 SSH coordinators by programme line and Austria's contribution

Having the lead in a consortia project means having considerable influence over the project design. If a project in SSH-flagged topics is also coordinated by an SSH research partner, it is safe to assume that social science expertise does indeed play an important role in the research project. It is therefore interesting to see how SSH coordinators are distributed across programme lines.

Fig. 11: Diagram – proportion of SSH coordinators in projects funded under SSH-flagged topics by programme line (SCs and LEIT) – 2014 (left) and 2015 (right)



Source: Data analysis of the EC monitoring reports 2014 and 2015

Fig. 12: Table – proportion of SSH coordinators in projects funded under SSH-flagged topics by programme line (SCs and LEIT) – 2014 (left) and 2015 (right)

Horizon 2020 parts	Projects funded under SSH flagged topics	Projects coordinated by SSH partners	Share SSH coordinators
SC1	60	4	7%
SC2	20	8	40%
SC3	53	18	34%
SC4	44	2	5%
SC5	26	4	15%
SC6	34	28	82%
SC7	23	8	35%
Total SC	260	72	28%
LEIT-ICT	34	5	15%
LEIT-NMBP	7	0	0%
LEIT-SPACE	7	0	0%
Total LEIT	48	5	10%
Total	308	77	25%
Total ex. SC6	274	49	18%

Horizon 2020 parts	Projects funded under SSH flagged topics	Projects coordinated by SSH partners	Share SSH coordinators
SC1	24	4	17%
SC2	14	1	7%
SC3	44	7	16%
SC4	11	5	45%
SC5	32	5	16%
SC6	36	29	81%
SC7	11	4	36%
Total SC	172	55	32%
LEIT-ICT	60	7	12%
LEIT-NMBP	3	0	0%
LEIT-SPACE	0	0	0%
Total LEIT	63	7	11%
Total	235	62	26%
Total ex. SC6	199	33	17%

Source: Data analysis of the EC monitoring reports 2014 and 2015

The table once again highlights the important role of SC6 Inclusive Societies for the SSH: 82% (2014) and 81% (2015) of SC6 projects in SSH-flagged topics were in fact coordinated by SSH partners. In all other programme lines, the proportion of SSH coordinators is well below 50% (and 0% in two LEIT programme lines). When looking at pillar 2 and 3 together, only 25% and 26% of projects have an SSH coordinator. If you subtract SC6, the figures are only 18% and 17%.

In addition, the EC monitoring reports tell us which countries the SSH project coordinators come from. The figures for Austria are as follows: Austrian SSH partners coordinated three projects – both in 2014 and in 2015. Austria thus provided 4% and 5% of all SSH coordinators in these years. In 2014, Germany (with a share of 19%) has most of the SSH coordinators, followed by the Netherlands and the UK with 13% each. In 2015, the UK was in the lead with 19%, followed by Germany with 16% and Spain, Italy and Belgium with 13% each.

In 2014, two of the Austrian SSH project coordinators are to be found in SC3 Energy and one in SC6 Inclusive Societies. In 2015 the three SSH project coordinators were active in SC3 Energy, SC4 Transport and SC6 Inclusive Societies. The projects and their lead partners are:

Fig. 13: Austrian SSH coordinators in projects funded under SSH-flagged topics in 2014 and 2015

SC	Calls 2014	Project name	Austrian SSH coordinator
SC3 Energy	Energy Efficiency	URBAN LEARNING Integrative energy planning of urban areas: collective learning for improved governance	TINA VIENNA
SC3 Energy	Competitive low-carbon energy	BioEnergyTrain	ESEIA European Sustainable Energy Innovation Alliance
SC6 Inclusive Societies	Overcoming the Crisis: New Ideas, Strategies and Governance Structures for Europe	EMU_SCEUS The Choice for Europe since Maastricht. Member States' Preferences for Economic and Financial Integration	University of Salzburg, Department of Political Science and Sociology
SC	Calls 2015	Project name	Austrian SSH coordinator
SC3 Energy	Energy Efficiency	SEFIPA Sustainable Energy Financing Platform in Austria	ÖGUT Austrian Society of Environment and Technology
SC4 Transport	Mobility for Growth	PROSPERITY Prosperity through innovation and promotion of Sustainable Urban Mobility Plans	FGM-AMOR Austrian Mobility Research
SC6 Inclusive Societies	Cultural Heritage and European Identities	TRACES Transmitting Contentious Cultural Heritages with the Arts: From Intervention to Co-Production	Alpen-Adria Universität Klagenfurt, Institute of Culture, Literature and Music

Source: Data analysis of the EC monitoring reports 2014 and 2015

However, given the small number of cases, this should be interpreted with caution and can only be understood as approximate.

What stands out here is that the Austrian SSH coordinators are often not research institutions but rather organisations with a focus on dissemination or communication (e.g. Tina Vienna), or they are stakeholder platforms or umbrella organisations (e.g. ESEIA and ÖGUT). In general, this is also true for the SSH project partners, and is also reflected in the quantitative data.

Key points:

- In SC6 Inclusive Societies, 82% (2014) and 81% (2015) of the projects funded under SSH-flagged topics are in fact coordinated by SSH partners.
- In all other programme lines the proportion of SSH coordinators is significantly below 50%.
- SSH coordinators are often not research institutions, but rather organisations in the area of communication or stakeholder platforms.
- Austria provides the SSH coordinator in three projects in 2014 (two in SC3 Energy, one in SC6 Inclusive Societies) and in three projects in 2015 (one each in SC3 Energy, SC4 Transport and SC6 Inclusive Societies) – i.e. 4% of all SSH coordinators in both years.

4.6 SSH partners by disciplines and successful Austrian SSH research stakeholders

The collective term "social sciences and humanities" covers a large number of disciplines, which are however represented to varying degrees in the European research landscape.

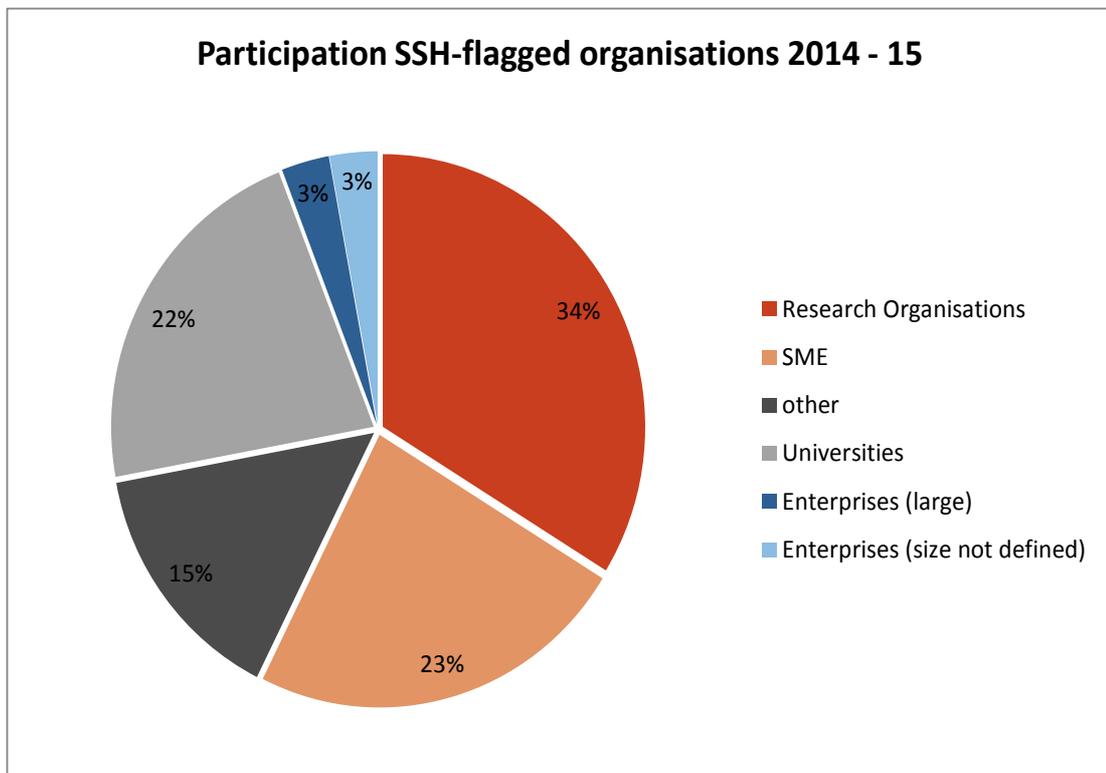
According to the EC monitoring report for 2015, economics and business comprise the largest proportion in the SSH-flagged topics: economics, business and marketing make up 37% in total. Political science, public administration and sociology have a share of over 10% each. Humanities and cultural studies are primarily addressed by SC6 Inclusive Societies and have very low participation rates.

Based on the definition²² of the European Commission, a total of 31 Austrian SSH research organisations were involved in consortia projects of pillars 2 and 3 with 38 participations in 2014, and 33 institutions with 39 participations in 2015. 17 of the 64 Austrian SSH research organisations did not receive any funding under the FP6 or FP7.

When considering participation by type of organisation, the following picture emerges:

²² SSH partners: Consortium partners (institutions) where 66% or more of the experts listed as taking part in the project have expertise in the area of SSH and contribute this expertise to project activities (cf. section 2).

Fig. 14: Participation of Austrian SSH research organisations in the years 2014 and 2015 by type of organisation



Source: Data analysis of the EC monitoring reports 2014 and 2015, Austria-specific analysis and diagram: FFG

In this group we see a high proportion of non-university research organisations from Austria; in view of the traditionally strong participation of these research stakeholders in the EU framework programme, this is not surprising. The represented universities include the universities of Vienna, Graz and Salzburg as well as the Medical University of Vienna, the two universities of technology in Vienna and Graz and the University of Natural Resources and Life Sciences. This shows that SSH expertise is embedded in very different types of universities. The group of organisations in the category "other" includes some policy-focused organisations that are also addressed in Horizon 2020.

Key points:

- The SSH disciplines are represented to very different degrees. In 2015, the biggest proportion of SSH expertise comes from economics and business (37%), followed by political science, public administration and sociology (10% each).
- Humanities and cultural studies are represented to a very small extent.
- 17 of 64 Austrian SSH research institutions were successful in a European research framework programme for the first time (not in FP6 and FP7).
- Traditionally, Austrian non-university research institutions have a high number of participations in SSH-relevant topics.
- In Austria, various types of universities (also from fields like technology, medicine, natural resources and life sciences) have SSH expertise.

4.7 The role of SC6 Inclusive Societies for the Austrian research stakeholders

This section will compare SC6 Inclusive Societies with the other Societal Challenges and discuss Austrian performance in SC6.

Fig. 15: Austria in the Societal Challenges compared with all countries

	APPROVED PARTICIPATIONS	OF WHICH IN COORDINATING ROLE	APPROVED FUNDING (AUSTRIA)	APPROVED FUNDING (TOTAL)	AUSTRIAN SHARE IN TOTAL FUNDING	SUCCESS RATE OF PARTICIPATIONS (AUSTRIA)	SUCCESS RATE OF PARTICIPATIONS (TOTAL)
Societal Challenges	614	76	228.308.858	7.419.050.711	3,1%	18,1%	15,2%
SC1 HEALTH	86	12	37.557.247	1.621.981.981	2,3%	11,7%	11,0%
SC2 FOOD	47	4	9.503.605	874.168.372	1,1%	16,3%	18,9%
SC3 ENERGY	155	22	72.148.943	1.692.896.067	4,3%	19,5%	15,6%
SC4 TRANSPORT	170	24	60.921.720	1.588.710.534	3,8%	42,4%	30,5%
SC5 CLIMATE CHANGE	72	5	21.368.899	895.886.066	2,4%	20,1%	20,1%
SC6 SOCIETY	46	3	12.987.186	329.332.420	3,9%	9,3%	7,1%
SC7 SECURITY	38	6	13.821.258	416.075.271	3,3%	11,8%	10,7%

Source: eCORDA data as at 30/09/2016, diagram: FFG

According to the cockpit report from November 2016 (based on data as at end-September 2016), Austrian research institutions have **46 participations** in projects **of the SC6 Inclusive Societies programme line** (this is based on all topics, SSH-flagged and not SSH-flagged). This is only 7% of all Austrian participations in the Societal Challenges (with a total number of 614 participations); only SC7 Security has fewer participations, namely 38.

Despite the low level of participation in SC6 Inclusive Societies, Austria benefits from above-average **funding** in this Societal Challenge. With almost 13 million euros so far, the budget share is 3.9%, significantly above the funding average for Austrian research institutions in the Societal Challenges, which is at 3.1% (percentage-wise the second most successful Societal Challenge after SC3 Energy with 4.3%).

The **success rate** in SC6 Inclusive Societies is very low: SC6 has one of the lowest success rates for H2020 applicants. Depending on the call, there are significant fluctuations, and average values are only significant to a certain extent for individual submissions. Nonetheless, the success rate for Austrian participations in SC6 Inclusive Societies (9.3%) is only half the average value across all Societal Challenges (18.1%).

Compared with all countries, Austria is clearly above the average, both with regard to all Societal Challenges (all countries: 15.2%) and SC6 Inclusive Societies (all countries: 7.1%).

Traditionally, the Austrian non-university research organisations were also strong in the "classic SSH topics" in previous European RTI funding programmes. Experience from advisory activities indicates a decline in participations in SC6 Inclusive Societies. One of the reasons for the loss of interest in some cases is the somewhat lower number of attractive calls in the classic social science fields. In any case, there is greater international competition for these topics without there being additional available budgets. SSH-flagged topics outside of SC6 – especially when it comes to content – are no substitute.

For the 9th RTI framework programme starting in 2021, it would be important for the SSH to put an end to the negative continuity of low success rates and the discrepancy between available budget and demand for SSH topics. The 9th framework programme should enable SSH communities to have success rates that are economically viable. A programme line with recognisable relevance for SSH communities or with a focus on research topics that call for a major involvement of SSH communities is of relevance to a future RTI framework programme because it is the only way to create an effective and visible critical mass of SSH expertise (cf. the relevant recommendations for action in chapter 6).

Key points:

- Austria has 46 participations in the SC6 Inclusive Societies programme line. Three projects in SC6 are coordinated by Austria.
- With a 3.9% share in the total budget, Austrian performance in SC6 is successful.
- SC6 Inclusive Societies has one of the lowest success rates in terms of participation (7.1%). The same is true for Austria (9.3%), although Austria is above average.
- In the long term, the strong oversubscription of SC6 Inclusive Societies may lead to lower interest on the part of the Austrian SSH community.
- The extremely low success rates in SC6 Inclusive Societies means a waste of resources.
- A much better balance must be found for the contentual design of the next programme period, both with regard to societal challenges and to SSH integration.

5 Other SSH-Relevant Horizon 2020 Programme Lines and National and Multilateral Funding Programmes

5.1 Austria's performance in pillar 1 – scientific excellence of Horizon 2020 with a focus on SSH stakeholders

The programme lines in pillar 1 (scientific excellence) ERC (European Research Council), MSCA (Marie Skłodowska-Curie Action) and research infrastructures with focus on the Austrian SSH participations will be examined below. Furthermore, the ERA Thematic Dossier on Human Resources is available for the programme lines ERC and MSCA²³.

5.1.1 Austria's SSH performance in the ERC

In H2020 in the ERC a number of major changes were made to the allocation of the budget within the ERC domains. In the FP7, a fixed percentage of the respective call budget was allocated for each of the three ERC evaluation domains (most recently 44% for Physical Sciences and Engineering/PE, 39% for Life Sciences/LS, 17% for Social Sciences and Humanities/SSH). With the launch of H2020, the fixed allocation formula was abolished. The call budget that is available for every ERC evaluation panel is now allocated proportionally and purely on a demand basis.

The ERC has no restrictions at all when it comes to choosing a research topic. However, the principal investigators have to assign the application to one of 25 peer review evaluation panels responsible for different topics. If the project is very interdisciplinary, then two panels can be selected. The ERC panels are each allocated to one domain: Physical Sciences and Engineering/PE – 10 panels; Life Sciences/LS – 9 panels; and Social Sciences and Humanities/SSH – 6 panels.

Until now, applicants from Austria managed to obtain 63 ERC grants in Horizon 2020 (data as at September 2016). 11 of these grants went to the Social Sciences and Humanities (see Fig. 16), which is 17.4% of all ERC grants in Horizon 2020 so far obtained for Austria. This figure is significantly below the average of all countries taken together (21%). Within the German-speaking region, Austria is well ahead of Germany with an SSH share in all ERC grants of 11.4% and Switzerland with 7%. The countries with the highest SSH share in ERC projects (and at least 10 SSH projects) include Ireland (37.9%), the Netherlands (34.6%), the UK (33.3%) and Italy (27.6%).

²³ https://www.ffg.at/sites/default/files/downloads/page/2016_02_29_hr_dossier_0.pdf

Fig. 16: Austrian ERC grants in 2014–2016

Domain SH2: The Social World, Diversity, Institutions and Values					
<i>Grant</i>	<i>Call year</i>	<i>Project acronym</i>	<i>Project name</i>	<i>Host institution</i>	<i>Division/ Department/ Institute</i>
Starting	2015	RESPONSIVENESS	The Microfoundations of Authoritarian Responsiveness: E-Participation, Social Unrest and Public Policy in China	University of Vienna	Department of East Asian Studies
Domain SH3: Environment, Space and Population					
Starting	2014	DecentLivingEnergy	Energy and emissions thresholds for providing decent living standards to all	International Institute for Applied Systems Analysis (IIASA)	International Institute for Applied Systems Analysis (IIASA)
Consolidator	2015	INCLUDE	Indigenous Communities, Land Use and Tropical Deforestation	Modul University Vienna GmbH	Department of Public Governance and Sustainable Development
Domain SH4: The Human Mind and Its Complexity					
Starting	2014	NewEat	Transdiagnostic views on eating disorders and obesity and new approaches for treatment	Paris Lodron University of Salzburg	Department of Psychology
Domain SH5: Cultures and Cultural Production					
Starting	2015	MORALIST INTL	Moral conservative traditionalists, Russian Orthodoxy and Transnational Alliances: towards a political theory of moral conflicts.	University of Innsbruck	Department of Sociology
Consolidator	2014	9 SALT	Reassessing Ninth Century Philosophy. A Synchronic Approach to the Logical Traditions	University of Vienna	Department of Byzantine and Modern Greek Studies
Starting	2015	HUNAYNNET	Transmission of Classical Scientific and Philosophical Literature from Greek into Syriac and Arabic	Austrian Academy of Sciences	Institute for Medieval Research, Division of Byzantine Research
Starting	2016	STRUCTURALISM	The Roots of Mathematical Structuralism	University of Vienna	Department of Philosophy
Domain SH6: The Study of the Human Past					
Starting	2014	AYURYOG	Entangled Histories of Yoga, Ayurveda and Alchemy in South Asia	University of Vienna	Department of South Asian, Tibetan and Buddhist Studies
Advanced	2014	Hyksos Enigma	The Enigma of the Hyksos	Austrian Academy of Sciences	Institute for Oriental and European Archaeology
Starting	2015	VAMOS	The value of mothers to society: responses to motherhood and child rearing practices in prehistoric Europe	Austrian Academy of Sciences	Institute for Oriental and European Archaeology

Source: eCORDA data as at 30/09/2016 and ERC statements

5.1.2 Austria's SSH performance in MSCA

The evaluation of MSCA applications within the actions IF (Individual Fellowships), ITN (Innovative Training Networks) and RISE (Research and Innovation Staff Exchange) is carried out by eight scientific panels, with the SOC panel (Social Sciences and Humanities) and the ECO panel (Economic Sciences) being considered (particularly)

relevant for the social sciences. For this reason, the proportion and the role of these two panels in the relevant MSC actions was analysed. (Source: EC 09/2016)

Participations

A total of 1,219 proposals from Austrian institutions were submitted within the three MSCA actions IF, ITN and RISE, 149 (=12.2%) of which in the SOC and ECO panels. 189 proposals were approved, 21 (=11%) of which in the SOC and ECO panels. Compared with the participations of all countries within the SSH, the proportion of submitted and approved participations from Austria was just under average (14% for submissions, 16.5% for participations).

Funding

Grant agreements in the amount of 42.6 million euros have been concluded for Austria to date within the three MSCA actions IF, ITN and RISE. 3.6 million euros, or 8.4% of this amount, was allocated to SSH topics. Here, Austria is clearly below the average with regard to the proportion of funding for the SSH, which is at 14.3% for all countries.

5.1.3 Austria's SSH participations in ESFRI projects of the research infrastructures (INFRA) programme

SSH is one of seven domains used by the European Commission to classify projects in INFRA. Generally speaking, the natural science and technical disciplines dominate in the research infrastructures programme, but there is also a significant proportion of life sciences projects.

The aim of the research infrastructures programme is to interlink existing national research infrastructures and to develop new trans-European structures. The ESFRI (European Strategy Forum on Research Infrastructures) is an important strategic tool in this context. It promotes the scientific integration of Europe and the internationalisation of European research. Competitive and open access to high-quality research infrastructure will further enhance and improve European research.

Austrian SSH stakeholders are involved in the following ESFRI projects:

CESSDA – Consortium of European Social Science Data Archive <http://cessda.net/>,
AT partner: AuSSDA – The Austrian Social Science Data Archive, a cooperation of the universities of Vienna, Graz and Linz, <https://www.aussda.at>

CLARIN ERIC²⁴ – European Research Infrastructure for Language Resources and Technology <https://www.clarin.eu/>;
AT partner: [Austrian Centre for Digital Humanities](#), consisting of a broad Austrian consortium coordinated by the Austrian Academy of Sciences.

DARIAH ERIC – Digital Research Infrastructure for the Arts and Humanities, <http://www.dariah.eu/>;
AT partner: [Austrian Centre for Digital Humanities](#), consisting of a broad Austrian consortium coordinated by the Austrian Academy of Sciences.

ESS ERIC – European Social Survey, <http://www.europeansocialsurvey.org/>;
AT partner: Institute for Advanced Studies (IHS)

²⁴ International organisational form: ERIC (European Research Infrastructure Consortium) – https://ec.europa.eu/research/infrastructures/index_en.cfm?pg=eric

SHARE ERIC – Survey of Health, Ageing and Retirement in Europe, <http://www.share-project.org/contact-organisation/share-eric.html>;
AT partner: University of Linz

5.2 COST

Alongside Horizon 2020, COST is one of the main pillars for the funding of European research cooperation and therefore an essential element of the European research area. Thematically open research networks are promoted through COST actions, which in turn enables mutual exchange and better coordination of research activities including the dissemination of results. COST also provides the valuable opportunity to get younger researchers involved in the networks and to use tailored activities to encourage their continuing training.

GSK participation in COST:

15.6% of all current COST actions involve GSK topics (46 of 295 current COST actions). Austrian organisations are involved in 73.9% of the 46 COST actions in the field of GSK (34 of 46 actions). In the past 5 years at least, no COST network within the SSH was submitted by an Austrian organisation in a leading role.

To find COST actions in GSK fields with Austrian participation, go to:

<https://www.ffg.at/europa/cost/bereiche-at/social>

<https://www.ffg.at/europa/cost/bereiche-at/humanities>

<https://www.ffg.at/europa/cost/bereiche-at/isch>

5.3 National and multilateral funding programmes with SSH relevance

The following section takes a look at the two national funding agencies, the Austrian Science Fund (FWF) and the Austrian Research Promotion Agency (FFG). Both funding agencies are also involved in transnational coordination activities like ERA-NETs and Joint Programming Initiatives.

ERA-NETs and Joint Programming Initiatives (JPIs) support the coordination of national and regional central research areas and funding programmes on defined topics in Europe. They offer joint calls, to which RTI stakeholders can submit transnational projects. The two initiatives are designed to complement Horizon 2020.

The Joint Programming Initiatives (JPIs) with their mission-oriented approach are generally very open to SSH integration.

5.3.1 National funding programmes and ERA-NETs of the FWF

The FWF is the biggest funding body for Austrian basic research at a national level. In 2015, the FWF approved funding in the amount of 199.3 million euros, 44.4% of which went to the natural sciences and technology, 35.4% to biology and medicine and 20.2% to the humanities and social sciences (GSK).

Fig. 17: FWF funding in the humanities and social sciences (2014 and 2015)

Funding approved: Humanities and Social Sciences (EUR million)				
Specialist field	2014	Share in FWF total (2014)	2015	Share in FWF total (2015)
501* Psychology	4,1	2,0%	2,1	1,0%
502* Economics	3,7	1,8%	2,0	1,0%
503* Educational science	0,2	0,1%	0,4	0,2%
504* Sociology	1,6	0,8%	1,9	0,9%
505* Law	1,1	0,5%	1,2	0,6%
506* Political science	0,7	0,3%	1,7	0,8%
507* Human geography, regional geography and urban planning	0,1	0,03%	0,5	0,2%
508* Media and communications science		0,0%	0,3	0,2%
509* Other social sciences	2,8	1,4%	2,7	1,4%
601* History and archaeology	10,2	5,0%	7,8	3,9%
602* Literature and language studies	8,3	4,1%	8,8	4,4%
603* Philosophy, ethics and religion	3,6	1,8%	3,4	1,7%
604* Aesthetics, art history and cultural studies	4,4	2,2%	6,3	3,1%
605* Other humanities	1,6	0,8%	1,2	0,6%
n.a.			0,07	0,03%
Total Humanities and Social Sciences	42,1	20,7%	40,2	20,2%
Total FWF	203,7	100,0%	199,3	100,0%

Source: FWF Annual Report 2015, p. 42

The FWF Annual Report 2015 addresses the question of GSK funding. In the publications of the FWF, funding share is generally equated with a discipline's research strength. Linguistics and literature studies as well as history (including archaeology) stand out considerably. Cultural studies also tend to attract a higher share. The funding share of all other disciplines is significantly lower.

As far as research approach is concerned (basic, bottom-up research), however, FWF funding corresponds more closely to the approaches of ERC and MSCA in pillar 1 of H2020.

This is also reflected in the funded disciplines, which mostly fall under the humanities. Historical studies are most strongly represented, followed by linguistics and literature studies.

A direct quantitative comparison between H2020 and the FWF on the level of disciplines is not possible because the allocation systems differ.

The FWF is involved in numerous ERA-NETs. Compared with the allocation of total FWF funding mentioned above, the focus in ERA-NET participation has shifted strongly in favour of the natural sciences and technology as well as biology and medicine. The reason is most likely the greater range of ERA-NET calls.

In Horizon 2020, the FWF has so far participated in two ERA-NETs within the networks HERA²⁵ and NORFACE²⁶, which focus on GSK topics: HERA JRP III Uses of the Past 2016–2019 and NORFACE Dynamics of Inequality Across the Life-course.

5.3.2 National funding programmes and Joint Programming Initiatives of the FFG

The Austrian Research Promotion Agency (FFG) with its differentiated range of offers has adequate instruments for the various needs of companies, research institutes and universities. The portfolio covers everything from low-level programmes that facilitate entry into continuous research and innovation activities to the promotion and funding of cutting-edge research and centres of excellence. Cooperation between science and industry as well as human resources is also increasingly being promoted.

The FFG programme portfolio is open to all disciplines, including GSK. The relevance of a project for the programme objectives plays a key role. As in Horizon 2020, integration of GSK research stakeholders is also important at a national level.

The following FFG funding programmes have a strong GSK component:

The national security research programme KIRAS is aimed at increasing security for all members of society. This calls for an integrative approach that is not exclusively based on technological solutions, but also on methodologies employed by the social sciences and humanities. It is therefore necessary to take into consideration social issues in all aspects of security research. The participation of a GSK partner (or a GSK representative as subcontractor) is therefore a formal requirement for all cooperative R&D projects.

In addition to KIRAS, the national programme "ICT of the future: benefit – Demographic Change" and the multilateral programme "AAL – Active and Assisted Living" are particularly relevant for GSK research stakeholders. The aim here is to research and develop products and services that help the elderly to live an independent life in their own home for as long as possible. The programmes are designed to improve the usability and applicability of the developed products and services and increase society's acceptance of active and assisted living (AAL) as well as stimulating new business models and marketing concepts.

Another programme focusing on the integration of GSK stakeholders is the Smart Cities Demo Programme. The vision here is to create a Smart City or a Smart Urban Region where technical and social innovations are intelligently deployed and combined in order to maintain or improve the quality of life of future generations.

Other thematically open programmes classified as relevant for GSK are only mentioned briefly here. They include long-established programmes like COIN, BRIDGE, COMET and the innovation voucher programme as well as newly developed programmes such as the Impact Innovation Programme (pilot), Young Innovators Austria start-up fellowship (planned) and R&D infrastructure (pilot completed).

²⁵ <http://heranet.info/>

²⁶ <https://www.norface.net/>

In addition to the national programme portfolio, the FFG also manages the two JPIs relevant for GSK stakeholders, More Years Better Lives (MYBL) and Urban Europe.

"More Years, Better Lives - The Potential and Challenges of Demographic Change" is designed to improve the coordination and collaboration between European and national research programmes related to demographic change. Areas affected by demographic change cover a wide range of research fields and policy issues such as health, social welfare, education & learning, work & productivity, housing, urban & rural development and mobility; see https://www.ffg.at/europa/jpi_mybl.

The main focus of JPI Urban Europe is on the improvement of sustainability in urban regions. The transition to a sustainable and liveable urban future is addressed in the individual calls and the additional activities of JPI Urban Europe. Mission- and demand-orientation, trans- and interdisciplinarity are the main working principles for achieving and ensuring socio-technological innovations; see <https://www.ffg.at/europa/jpi/urban-europe>.

6 Recommendations for Action

The analysis of the status quo and the interpretation of available data lead to the following recommendations for action for the strategic planning of the European and national research funding programmes:²⁷

Societal challenges require SSH-relevant questions and calls for proposals.

Only around 40% of the topics in the societal challenges are labelled (as SSH-flagged topic) as being of particular relevance for SSH research stakeholders. This means that as much as 60% of the topics are not labelled as relevant for SSH. This is in contradiction to the aim of examining societal challenges scientifically. Societal challenges call for socially relevant questions to be taken into consideration. In addition, the social relevance of research is becoming increasingly important for the legitimisation of public funds. So far, this development is not reflected enough in the H2020 calls. The focus of research on societal challenges and innovation should therefore increasingly entail an integration of social science and humanities issues. Simply choosing an aspirational terminology is not enough.

Tying SSH funding to emerging key themes at an early stage and planning them jointly.

Interdisciplinary research into complex societal challenges requires the integration of many different research approaches. For this reason, research also must be allowed to politically shape social developments and not exclusively focus on technological and economic applications. The integration of the topic of migration into European research funding may serve as an example of badly functioning joint planning. Although topics are approached with dedication, over the course of the negotiations their significance drops enormously for budget reasons. Societal issues are therefore not sufficiently considered or addressed.

Further strengthening Austria's good position in European programme committees through cooperation of delegates. Strengthening the SSH together.

Austria's delegates play an active role in many programmes. By paying attention to the early integration of SSH stakeholders when designing the work programmes in the formulation of the call texts, they can make a valuable contribution to improving the general conditions for the SSH research community. The results of the EC monitoring reports refer to this aspect. Improved SSH participation means that the community has to be addressed by the work programmes (wording, topics, questions). The labelling of topics as SSH-relevant (SSH-flagged topics) has to be expanded, and the call topics have to be formulated appropriately.

Of course, the evaluation of the project proposals also plays an important role. The online manual of the Participant Portal warns that applications for SSH-flagged topics without sufficient SSH-related research content and expertise will receive a lower evaluation score. Not just the selection of evaluators, but also briefing the evaluators on the significance of social science and humanities questions for researching societal challenges takes on a central importance.

The Austrian delegates should strengthen their good position in the various committees by cooperating with delegates from other Member States (forming alliances).

²⁷ Whenever we talk about European and international contexts, we will continue to use the acronym SSH, and when we talk about Austria, the Austrian acronym "GSK" for humanities, cultural studies and social sciences is used.

The Austrian delegation of SC6 Inclusive Societies should make its Austrian colleagues in the Societal Challenges and the LEIT programme more aware of the SSH (as a cross-cutting topic). Specifically, they should examine the work programme drafts for SSH integration and, together with the responsible delegates, aim to integrate SSH aspects at an early stage. They should also ensure that the quality of SSH expertise within the evaluation panels is safeguarded and if necessary improved.

Making improved data on Austrian SSH funding organisations available.

We urgently recommend that the annual EC monitoring report on SSH integration in Horizon 2020 continues to be published. However, detailed information about national SSH research stakeholders should also be made available to the Member States in order to be able to perform detailed analyses of national participation. Informing all programme committees about the findings from the monitoring reports is also considered important. The funded projects with SSH participation should also be made more visible at the national level.

A dual strategy of SSH funding is needed.

Integration also requires a counterpart in the form of visible topics, within which primarily SSH research stakeholders can work together. The dual strategy (to ensure independent, classic SSH research topics on the one hand, and to enable meaningful and ambitious integration between STEM and SSH-relevant research approaches on the other) should therefore be taken into consideration in the development of the 9th research framework programme. European research funding in this context should always focus on topics that are of benefit to Europe.

Putting an end to the winner-takes-all effect in the sixth societal challenge – SC6 Inclusive Societies. More budget for consortia projects.

With 1.3 billion euros, SC6 Inclusive Societies has the lowest budget of all Societal Challenges. Just under one quarter is allocated to "other actions". This means that a large proportion of the funding of a programme line that already has a low budget cannot be raised competitively in consortia projects. Then there is the considerable number of topics within SC6 Inclusive Societies that focus mainly on information and communication technology and on innovation research.

This results in significant oversubscription and an extremely low likelihood of funding for project proposals. The extremely low success rate (7.1%) results in frustration on the part of the submitting institutions and demotivates them to respond to other calls for proposals. Such a huge disparity between submitted and approved funding applications is difficult to justify economically. It has not yet been possible to offset this development with the introduction of SSH-flagged topics. In FP9, and also nationally, a higher budget for GSK-relevant research funding is therefore needed.

Europe is facing major societal challenges. In the future, the humanities and social sciences must therefore be taken into consideration accordingly in priority setting. Furthermore, the Austrian representatives in the relevant committees should urge for a stronger integration of the SSH in all programme lines, starting with the wording of the programmes.

Making GSK-relevant topics more visible and expanding funding opportunities.

The funding structure of the FWF shows that 20% of its funding budget goes to the GSK community, giving it a clear presence within the Austrian research landscape. The funding portfolio of the FFG is also open to GSK researchers and could gain in significance in the future. As the FFG's statement on the GSK strategy of the Federal Ministry of Science, Research and Economy (BMWFW) shows, several FFG programmes are already of relevance to GSK stakeholders, such as KIRAS and benefit/AAL, BRIDGE and COMET, and their role is to be strengthened further in the future (cf. ministerial council presentation, 8 November 2016).

What is still missing nationally, however, is a funding line for cooperative research, development and innovation projects for GSK-relevant research issues, similar to SC6 Inclusive Societies in Horizon 2020. Expanding the funding portfolio to include a national GSK funding programme would be desirable for the Austrian research institutions specifically in view of integrability at an EU level.

While making the submission options for interdisciplinary research projects visible to the GSK community is certainly worthwhile and beneficial, this cannot compensate for the lack of a thematic programme with a dedicated GSK focus.

7 List of Abbreviations

CSA	Cooperation and Support Action
ERIC	European Research Infrastructure Consortium
EC	European Commission
FET	Future and Emerging Technologies
FFG	Austrian Research Promotion Agency
FP6	6 th Framework Programme
FP7	7 th Framework Programme
FP9	9 th Framework Programme
RTI	Research, Technology and Innovation
FWF	Austrian Science Fund
GSK	Humanities, Cultural Studies and Social Sciences (<i>Geistes-, Sozial- und Kulturwissenschaften</i>)
H2020	Horizon 2020
IA	Innovation Action
ICT	Information and Communication Technology
JPI	Joint Programming Initiatives
LEIT	Leadership in Enabling and Industrial Technologies
RIA	Research and Innovation Action
SSH	Social Sciences and Humanities
SSHFT	SSH-flagged Topics
STEM	Science, Technology, Engineering and Mathematics

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