



ERA-NET Cofund under Horizon 2020

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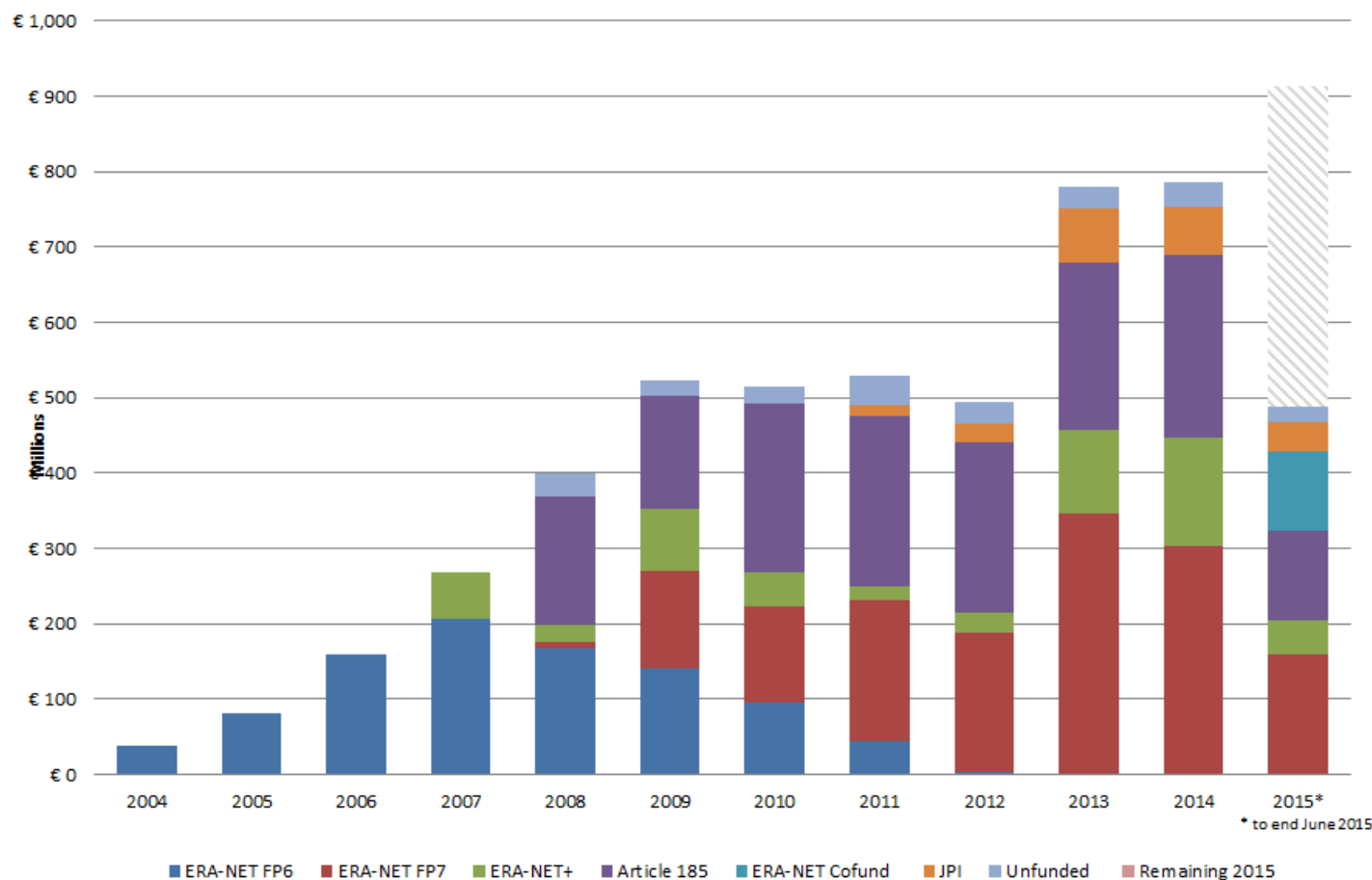
DG Research & Innovation

Dir. B – Open Science and Open Innovation

Unit B2 – Open Science and ERA Policy

*Research &
Innovation*

Investment in Public-Public Partnerships (P2P) within EU policy framework



ERA-NET Cofund in WPs 2014 until 2017

	2014		2015		2016		2017	
	€M	no	€M	no	€M	no	€M	no
Excellent Science								
Future and Emerging Technologies					18,0	2	5,0	1
Industrial Leadership								
ICT			6,0	1				
Nano, Materials, Biotech and Manufacturing			12,5	1	30,0	3		
Societal challenges								
Health, demographic change and wellbeing	27,4	4	15,0	3			5,0	1
Food security, agriculture, marine, bioeconomy	5,0	1	15,0	3	35,0	5	29,0	5
Secure, clean and efficient energy	36,8	3	36,3	4	45,8	5	31,0	4
Smart, green and integrated transport					10,0	1		
Climate action, environment, resource efficiency and raw materials	18,2	2	51,0	3	13,0	3	25,0	3
Europe in a changing world – inclusive, innovative and reflective Societies	5,0	1	5,0	1	5,0	1	5,0	1
Science with and for society					5,0	1		
Total	92,4	11	140,8	16	161,8	21	100,0	15



FP6: ERA-NET

Funding of costs related to the coordination of national research programmes, 100% reimbursement rate for coordination and management costs



FP7: ERA-NET and ERA-NET Plus

ERA-NET: as under FP6
ERA-NET Plus: co-funding of a single joint call for trans-national proposals, 33% reimbursement rate for the costs of funding the projects



Horizon 2020: ERA-NET Cofund

Co-funding of a single joint call for trans-national proposals, in addition other joint activities including other joint calls without Union co-funding, 33% reimbursement rate



ERA-NET Cofund – main features

ERA-NET Cofund: implementation of a co-funded joint call for proposals (compulsory, one co-funded call per Grant Agreement)*

EU contribution: mainly a proportional contribution to total public funding of the joint call

Additional EU contribution to coordination costs on the basis of a unit costs for additional activities including additional calls without top-up funding

Stable reimbursement rate: ERA-NET Plus reimbursement rate from FP7 (33%) applies

Co-funded calls: proposal evaluation and selection according to Horizon 2020 standards

* ERA-NETs based on a Coordination and Support Action (CSA) are no longer possible. Only in exceptional cases it might be considered to support the preparation and structuring of specific emerging P2Ps that demonstrate clear European added value.



Who can participate ?

- **Eligibility conditions ERA-NET Cofund similar to ERA-NET under FP7.**
- Participation is limited to entities that can fully participate in joint calls and other actions between national and regional programmes.
- Participants in ERA-NET Cofund actions must be research funders: legal entities owning or managing public research and innovation programmes.
- **Programme Owners** are typically national/regional ministries/authorities responsible for defining, financing or managing research programmes carried out at national or regional level.
- **Programme Managers** are typically research councils or funding agencies or other national or regional organisations that implement research programmes under the supervision of the programme owners. Their participation has to be mandated by the national/regional authorities in charge (normally the responsible Ministry).
- Only in addition to the minimum conditions, and if justified by the nature of the action, **programmes funded by other entities** (international programmes, foundations or other non-public programmes) may participate.

A. Implementation of a single joint call (MS contribution in cash)

- Call for proposals organised by national/regional funding agencies
- Activities: call preparation, implementation and follow-up
- **Eligible costs:** financial support paid to third parties

B. Implementation of a single joint call (MS contribution in cash) and additional activities

- Call and activities as in A.
- Additional joint activities including additional joint calls without Union top-up funding.
- **Eligible costs:** financial support paid to third parties and coordination costs for additional activities (unit costs per beneficiary per year).

C. Implementation of a single joint call (MS contribution in kind)

In exceptional cases

- Call for proposals organised by governmental research organisations
- Beneficiaries carry out the projects resulting from the call themselves
- **Eligible costs:** costs of trans-national projects on the basis of Horizon 2020 rules
- In-kind contributions: non-reimbursed expenditure



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Commission

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Co-funded call: Rules for providing support to or implementation of trans-national projects

(Important: these are conditions for costs to be eligible!)

The beneficiaries must

provide financial support to trans-national projects

or

implement such projects (partially or fully) themselves

The proposals/projects must

- be **transnational projects** (at least two independent entities from two different EU Member States or associated countries)
- be selected following a joint transnational **call for proposals, two-step procedure**
- be evaluated in step 2, with the assistance of at least **three independent experts**, on the basis of excellence, impact, quality and efficiency of the implementation
- be ranked according to the evaluation results, and **selected in the order of the ranking list(s)**



Co-funded call – conditions & deliverables

After the end of the evaluation the consortium must submit to the Commission the following:

- (a) the ranking list(s) of the projects;
- (b) the observers' report on the evaluation;
- (c) the joint selection list of the projects to be funded, and
- (d) from each consortium partner participating in the joint call, a formal and duly signed commitment on availability of funds for the selected projects.

In addition:

- a) After the **end of evaluation** information on each project selected for funding (data on each participant and abstracts of the project proposal),
- b) At the **end of the action**: information on each funded project (data on each participant and overview of results).

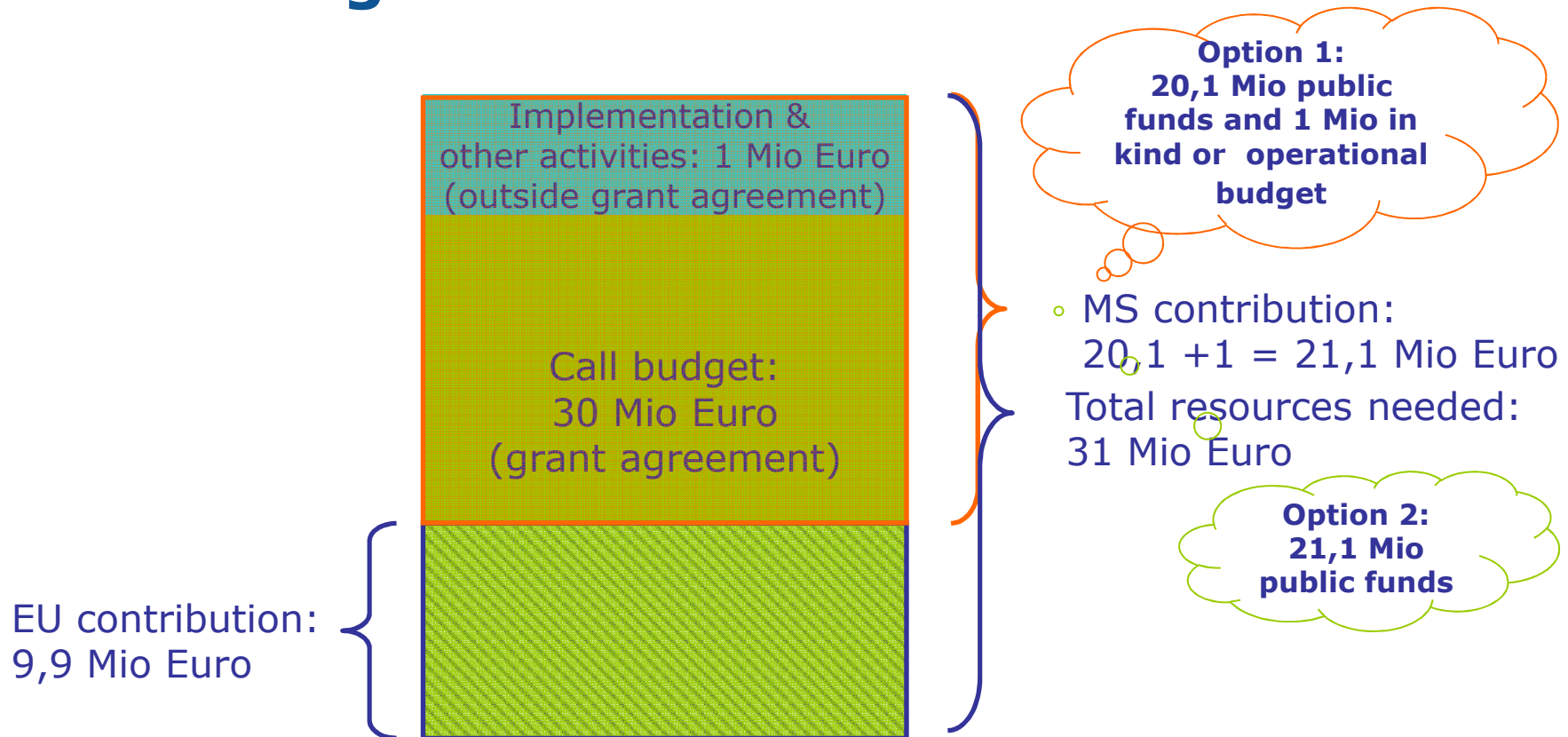
Important: The conditions for call implementation for the co-funded call do not apply to additional calls without Union top-up funding.



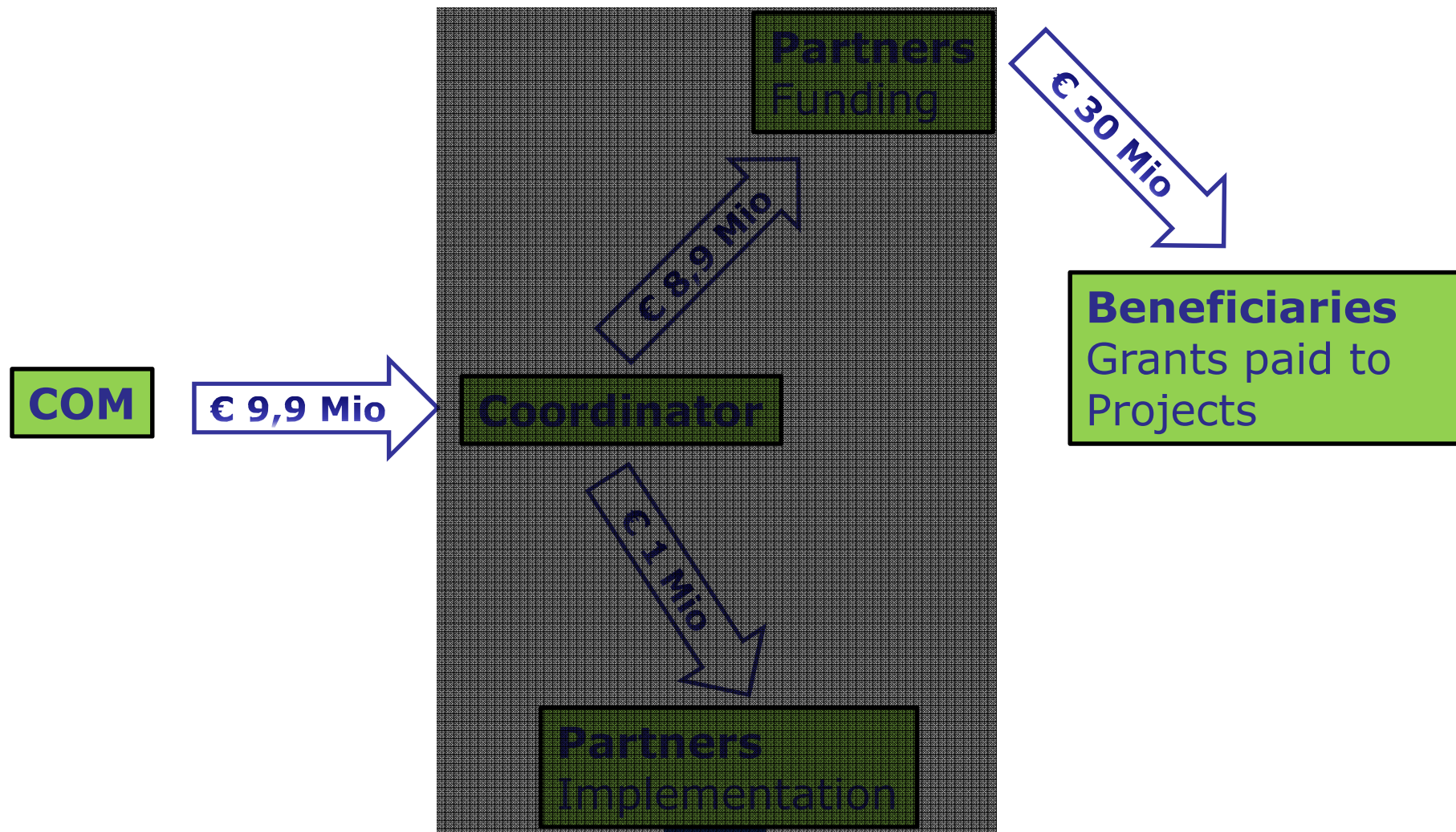
Co-funded call – practical issues

- **Choice of the funding mode** to ensure selection according to ranking
 - good practice: mixed mode
 - real common pot: possible
- Use of **step 1 to balance requested and available funding**
- Possibility to use **more than one call topic**
 - dedicated budgets per topics, multiple ranking lists or
 - use expert panel to adjust scores and create single ranking list
- Only **proposals with identical scores at the threshold of available funding** may be selected according to the availability of funds in order to maximise the number of selected projects.
 - choice of half scores / vs. full scores
- **Independent expert as observer**: appointed by the consortium, to assess the conformity of the implementation of the joint call and, in particular, review the proper implementation of the independent international peer review and the establishment of the ranking list of trans-national projects.
- Possibility of **centralised management** of grant agreements
- Important: structural funds and financial instruments can be used, but do not qualify for top-up funding
- **Make use of good practice documented by ERA-LEARN!**

Financing of the co-funded call



Example: cash-flow





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- Call and activities as in A.
- **Additional joint activities including additional joint calls without Union top-up funding.**
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ERA-NET Cofund: optional additional activities

- ERA-NET Cofund consortia **may carry out other activities in addition** to the call receiving top-up funding.
- **Option is normally defined in the call text**, e.g.: *"Proposers are encouraged to implement other joint activities including additional joint calls without EU co-funding"*.
- **Activities have to be related to the coordination of public research and innovation programmes** and should focus on the preparation and implementation of joint activities including additional calls without Union top-up funding (**typical ERA-NET FP7 activities**).
- **Additional partners might be involved** which do not participate in co-funded calls.
- The coordination cost for the other activities takes the form of a **unit cost per beneficiary year** and is limited to those beneficiaries that carry out activities that go beyond the co-funded call.
- Proposers have to **demonstrate the appropriateness of the overall coordination costs** for the proposed additional activities.



ERA-NET Cofund: unit costs for additional activities

- Based on historical data of a representative sample (around 30%) of the 71 ERA-NET projects under FP6 (Coordination costs declared and approved for the final payment).
- 7% indirect costs were deducted, extreme amounts were excluded
- Resulting average amount of direct costs for coordination is EUR 29 783., which includes marginal costs for subcontracting of around 4,5%
- **Unit costs for coordination costs per beneficiary per year: EUR 29 000**
- The flat rate of 25% for indirect costs under Horizon 2020 is applied as well as the reimbursement rate applicable to ERA-NET actions (normally 33%).

- **Maximum reimbursement per beneficiary per year of EURO 11 962,50.**
- **Annex WP H2020:** Union contribution to coordination costs for additional activities should not exceed 20% of the total Union contribution to the project.
- Beneficiaries carrying out the trans-national project themselves cannot claim coordination costs.

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ERA-NET Cofund MGA – forms of costs

A. direct costs related to trans-national projects

A.1 Direct costs of providing financial support to third parties implementing trans-national projects

A.2 Direct costs for the implementation of trans-national projects by the beneficiaries

A.2.1 Direct personnel costs for the implementation of trans-national projects by the beneficiaries

A.2.2 Direct costs of subcontracting for the implementation of trans-national projects by the beneficiaries

A.2.3 Other direct costs for the implementation of trans-national projects by the beneficiaries

ERA-NET
"cash"

ERA-NET
"in-kind"

B. direct coordination costs for of additional activities (unit cost)

C. indirect costs (25% flat rate) (excluding support to third parties, subcontracting etc.)

Important documents for proposers

ERA-NET Co-fund provisions

- Grant Agreement and Annexes
- Annotated GA
- Annex to the WP 2016/17
- Proposal submission forms and templates
- Guidelines, FAQ

Preparation for the launch of the first calls

- Additional promotion via ERA-LEARN 2020
- Launching event 16 January 2014, Brussels webstreaming and slides online <http://ec.europa.eu/research/era/era-net-cofund-h2020-infoday2014.htm>



ERA-NET Cofund

Proposal preparation



Template Part B

Please include distinct work packages on:

A. Activities related to the co-funded call and the consortium management

- Management
- Preparation and launch of the co-funded call
- Evaluation and proposal selection for the co-funded call (including a detailed description of the call implementation in compliance with the ERA-NET Grant Agreement and on how proposal selection according to the ranking list(s) will be ensured)
- Follow-up and monitoring of projects resulting from the co-funded call
- Communication, Exploitation and Dissemination of the results

B. Additional activities

If applicable, include further work package(s) on any other joint activities including other joint calls without Union co-funding that are planned. Proposers have to demonstrate the appropriateness of the overall coordination costs for the proposed additional activities.

Template Part B

Do not fill in the parts in grey
Consistency with the financial forms (part A)

Participant number	Country – short name	(a) Initial national call contribution [€]	(b) indicative possible additional national call contribution (optional) [€]	(c) Requested EU Contribution [€]	Minimum total call budget [€] (a + c)	Maximum total call budget [€] (a + b + c)
Total						

Template Part B

Table 3.3 Summary of Work package participation and number of years with coordination costs

Participant number	Short name	Participation in Work Packages					Number of years for which coordination costs are declared on the basis of unit costs
		A. Co-funded call and management			B. Additional activities		
		WP1	WP2	...	WP N-1	WP N	
		Y/N	Y/N	Y/N	Y/N	Y/N	
		Y/N	Y/N	Y/N	Y/N	Y/N	
		Y/N	Y/N	Y/N	Y/N	Y/N	
		Y/N	Y/N	Y/N	Y/N	Y/N	
Total							

Template Part B

Table 4.1: → Description of participants and participating programmes¶

Name of organisation¶		□	
Short name¶	□	Country¶	□
Brief description of the legal entity¶			
¶			
□			
Identification of the role:¶			
Programme Owner and Manager¶		Y/N¶	
Programme Owner¶		Y/N¶	
Programme Manager¶		Y/N¶	
In case you are a Programme Manager, please name the respective Programme Owner or public authority that is providing the mandate for your participation.¶			
Identify and describe the research programme(s) with which you participate, the main programme objectives, and any previous experience and participation.¶			
□			
Main tasks attributed the proposed action and the previous experience relevant to those tasks¶			
¶			
□			
Short profile of staff member(s) who will be undertaking the work¶			
¶			
□			
Do your national funding rules specify a maximum amount of financial support to a third party? ¹ ¶		Y/N¶	
If yes, please insert the maximum amount [Euro]:¶		□	
Criteria for determining the exact amount under national funding rules¶			
<i>Please insert the reference (e.g. weblink) to the criteria for determining the exact amount under national funding rules.</i> ¶			
Please specify the maximum amount of financial support to a third party and the criteria for determining the exact amount under national funding rules ² .¶			
□			
Does the participant envisage that part of its work is performed by a linked third parties ³ .¶		Y/N¶	
<i>If yes, describe the third party, the link of the participant to the third party, and describe and justify the foreseen tasks to be performed by the third party</i> ¶			
Does the participant envisage the use of in-kind contribution provided by third parties (Articles 11 and 12 of the Model Grant Agreement)¶		Y/N¶	
<i>If yes, describe the third party and their contributions.</i> ¶			
□			



ERA-NET Cofund

**Grant preparation
and reporting**



ERA-NET Cofund Model Grant Agreement (MGA)

MGA ERA-NET Cofund deviates from the General MGA in:

- Article 3 (duration of the action: 60 months)
- Article 5.2 (ERA-NET Cofund specific forms of costs)
- Article 6.2 (ERA-NET Cofund specific conditions for eligibility)
- *Article 8, 10, 11, 12, 13 (reference to 'transnational projects' instead of 'action')*
- Article 15 (provisions for support to or implementation of trans-national projects for the co-funded call)
- *Article 16 (provision on access to research infrastructures not applicable)*
- Article 19 (ERA-NET Cofund specific deliverables)
- Article 20.1 – 20.5 (ERA-NET Cofund specific reporting provisions)
- Article 21.1 – 21.3, 21.5 (ERA-NET Cofund specific payment provisions)
- Annex 2: Model for the estimated budget for the action
- Annex 4: Model for the financial statement
- Annex 7: Model for the commitment on availability of funds
- Annex 8: Model for the statement on the use of the previous pre-financing instalment

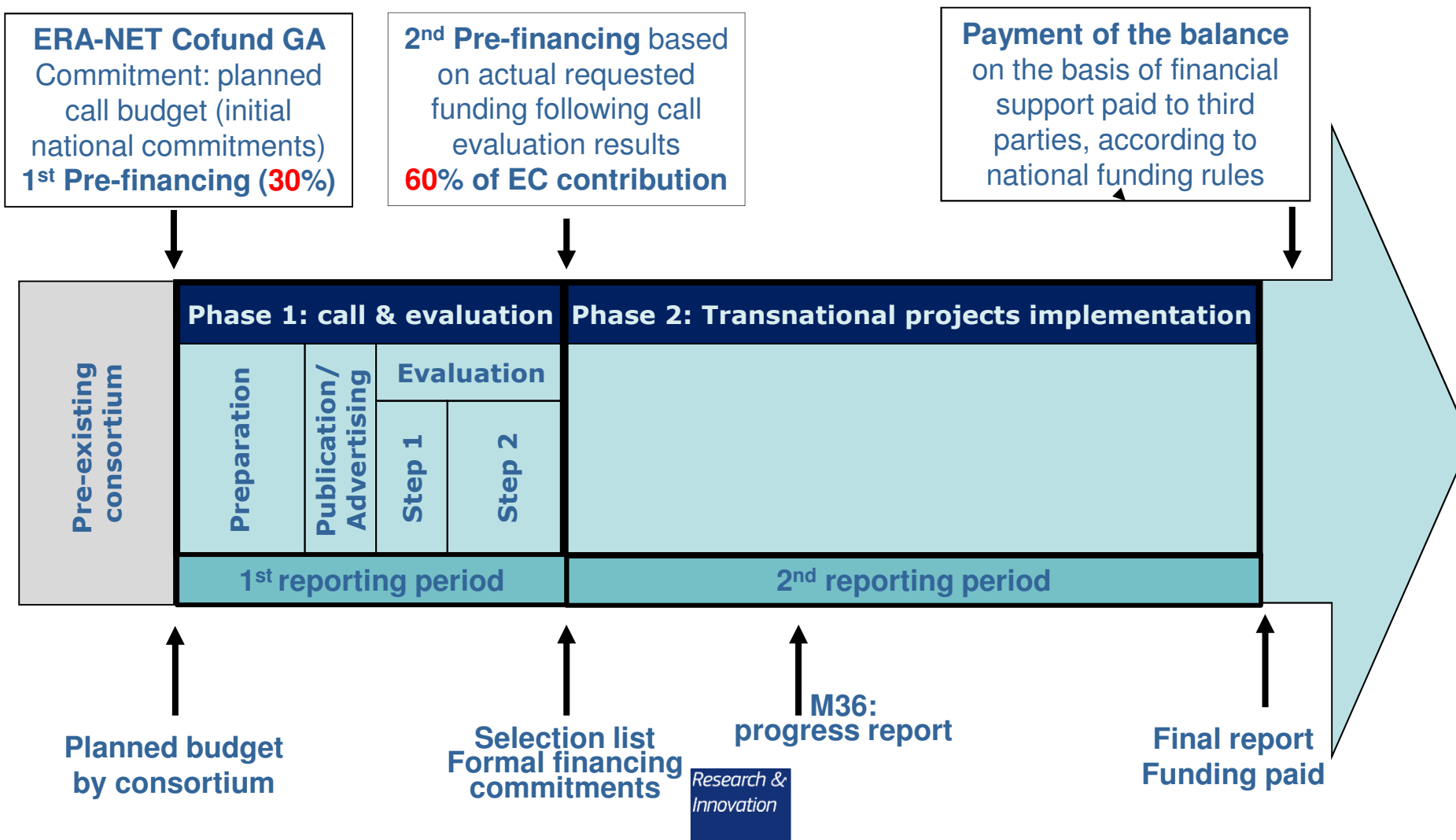


Participant declaration (similar to FP7)

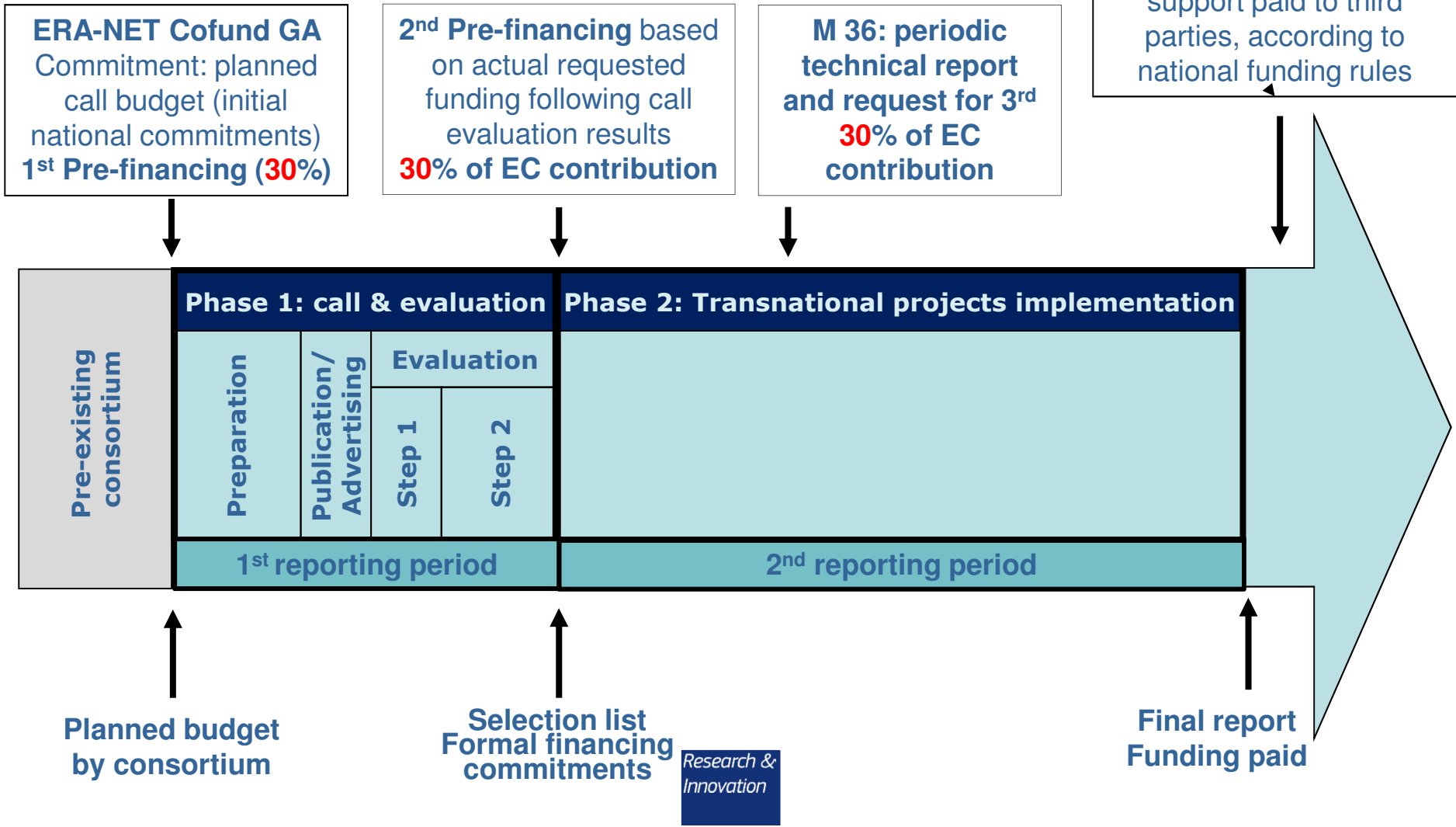
During the preparation of the Grant Agreement, each participant in an ERA-NET Cofund action is required to:

- Identify the research programme(s) with which it participates in the respective ERA-NET,
- Identify its role (Programme Manager or Programme Owner),
- Provide confirmation as a Programme Manager which is not a Programme Owner, that it is mandated to manage the relevant programme and participate in the action,
- Confirm that they will provide information needed on the programme and its implementation to a central information platform on Public-Public Partnerships under Horizon 2020.

Default: 2 reporting periods



Option: 3 reporting periods





ERA-NET Cofund – Payments / Reporting

**Default: two reporting periods
two pre-financing payments (30% / 60%)**

**At the end of
RP1
(after end of
evaluation)**

- **periodic technical report**
- the **ranking list(s)** of the projects
- the **observers' report** on the evaluation
- the **joint selection list of the projects to be funded**
- from each beneficiary participating in the joint call, a formal and duly signed **commitment on availability of funds**
- a statement on the **use of the previous pre-financing instalment**

**Additional
requirements**

- **After the end of the evaluation:** information on each project selected for funding (data on each participant and abstracts of the project proposal).
- **At the end of the action:** information on each funded project (data on each participant and overview of results).



Annex 7: Commitment on availability of funds

COMMITMENT ON AVAILABILITY OF FUNDS FOR THE ERA-NET COFUND ACTION FOR [INSERT GRANT AGREEMENT REFERENCE: NUMBER, TITLE OF THE ACTION AND ACRONYM]

(To be filled out by each beneficiary participating in the cofounded call)

The undersigned [Name of the authorised representative]:

- declares that [Name of beneficiary] can commit and make available national/regional resources totalling EUR [insert amount] to fund its assigned share of the transnational projects of the joint selection list, based on the indicated amounts of planned funding.

National contributions, without Union contribution!

Name and signature

Date and stamp

Annex 8: Statement on the use of the previous pre-financing instalments

STATEMENT ON THE USE OF THE *[FIRST][SECOND]* PRE-FINANCING INSTALMENT

(To be filled out by the coordinator)

The undersigned [Name of the authorised representative]:

- declares that [...] % of the *[first][second]* pre-financing instalment of EUR [insert amount] paid for [insert grant agreement reference: number, title of the action and acronym] have been used,
- declares that this is based on substantiated data (bank slip/treasury account) provided by each beneficiary,
- certifies that the information contained in the periodic report is full, reliable and true, and is substantiated by adequate supporting documentation that will be produced upon or in the context of checks, reviews, audits and investigations,
- requests a *[second][third]* pre-financing payment of EUR [insert amount] for [insert grant agreement reference: number, title of the action and acronym].



Lessons learned from the first calls under Horizon 2020

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Proposal preparation

- Proposals that were pre-checked on technical issues by the Commission Services had normally only minor problems.
 - Don't think the evaluators or the Commission take things for granted that you consider as so evident that you don't need to write them down.
 - Consortia: explain why certain countries are not in.
 - Budgets: foresee reserve amounts in excess of what is needed to justify Union contribution.
 - Do not include internal arrangements (financial issues, subcontracting etc.).
 - Learn from the best and don't be ashamed to copy(the technical parts ...).
- use the checklist yourself!!!**
... and don't come to us last minute!



Grant preparation

- Limited time to grant – make sure partners have their contributions ready (in particular participant declaration).
- Start to work early on the Consortium Agreement (best already during proposal preparation).
- New partners can in principle still be added (until the call publication, no extra Union contribution), but discuss early with PO.
- All entities that contribute to the call have to be partners in the GA!
- Fixed start date allows to time launch of call independent of contractual start date..., but remember the Commission needs to approve call text before publication.
- Internal check list for approval call text under preparation ...



Reporting

- First ERA-NETs from 2014 have submitted RP1 reports
- IT not yet fully adapted to ERA-NET Cofund (templates etc.), work in progress.
- Important: obligation to submit data on selected projects, standard template, make sure you collect data in the right format and structure via your submission system.
- DG RTD is working on defining an audit strategy for ERA-NET Cofund and tailor made forms for certificate of financial statement etc. – but not needed before 2019 ...

Attention: 20% cap for unit costs applies to the final Union contribution!



Key policy issue

Evidence on impacts of
ERA-NET, their activities
and the projects they are
funding ...



Thank you for your attention!
Any questions?

Contact

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DG Research & Innovation

Unit B2 – Open Science and ERA Policy

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