Challenges of Widening countries in the Creation and Implementation of the European Partnerships
Information

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<tr>
<th>Project no.</th>
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<td>ERA-LEARN 2020</td>
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1. Executive summary

This report presents the results of an ERA-LEARN survey on some of the early organisational and national experiences in the creation and implementation of the European Partnerships (EPs). The EPs are initiatives introduced in Horizon Europe (HE) that aim to address global challenges and industrial modernisation, through joint actions of the Member States and other stakeholders including foundations and the private sector. There are three types of Partnerships: Co-funded, Co-programmed and Co-institutionalized.

The goal of the survey was to collect information about the challenges and opportunities facing national and regional stakeholders in EU Members States and Associated Countries, in the process of development and implementation of the partnerships. The survey was conducted in the period between July and October 2022 and was completed by 61 organisations - 35 from Widening countries (including 3 Associated Countries and the Azores, Portugal’s Outermost Region) and 26 from non-Widening countries. The largest number of responses came from R&I funding organisations, policy makers (including ministries and regional governments) and non-university research organisations. Amongst the types of partnerships, the Co-funded ones were the most represented in the responses. This survey, however, cannot be considered representative of any of these groups and can only show some indication of the experience from setting up the first wave of the new partnerships. In particular, the goal of this survey was to show the experience of Widening countries in comparison to the non-Widening countries.

The survey shows that for most Research Performing Organisations (RPOs) and some Research Funding Organisations (RFOs), participation in a partnership is often motivated by the organisation’s interests and priorities. The mission and the goals of the organisation, the interests and the capacity of the research community are reasons for entering a partnership – especially for RFOs from Widening countries. Several respondents from RFOs from Widening and non-Widening countries also note their previous experience was in programmes and networks that were predecessors of HE Partnerships.

According to the survey results, 9 out of 35 organisations from Widening countries take leading roles in the EPs, but there are no organisations from this group of countries among the

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1 For more information see: https://www.era-learn.eu/partnerships-in-a-nutshell/european-partnerships/general-information

2 Widening countries in Horizon Europe involve Member States: Bulgaria, Croatia, Cyprus, Czech Republic, Estonia, Greece, Hungary, Latvia, Lithuania, Malta, Poland, Portugal, Romania, Slovakia, Slovenia and Outermost Regions: French Guiana, Guadeloupe, Martinique, Mayotte, Reunion Island and Saint-Martin (France), Azores and Madeira (Portugal), and the Canary Islands (Spain), as well as Associated Countries, i.e. Albania, Armenia, Bosnia and Herzegovina, Faroe Islands, Kosovo, Moldova, Montenegro, Morocco, North Macedonia, Serbia, Tunisia, Turkey and Ukraine.
Partnership coordinators. In contrast, in the case of non-Widening countries 11 out of 26 claim to lead tasks or Work Packages. The main reason that the organisations from Widening countries do not take more active roles in the EPs is a lack of staff. Those who do take leading roles – in both groups of countries – appreciate the opportunity to include their national priorities in the Partnership strategy and to closely participate in the decision-making process, as well as the possibility for mutual learning, and strengthening the international profile and visibility of their organisation. The chance to develop national strategies and drive national developments through participation in a partnership is also seen as an advantage.

The most serious challenge indicated with reference to the overall implementation of the EPs, not only for those who take the leading roles, is the lack of sufficient personnel needed to be actively involved in the preparation and implementation of the European Partnerships. Again, this is emphasised by organisations from Widening countries. The respondents noted that the management of such a big instrument poses a great challenge, due to diverse priorities of the partner organisations. Another difficulty is the novelty of the instrument which implies a heavy administrative workload and establishment of new guidelines and procedures. In comparison with H2020 ERA-NET Cofunds, the European Partnerships are seen as complex programmes involving a wider range of participating organisations with different goals and priorities.

Widening countries also point out their lack of experience in collaborating with different national stakeholders within the country and defining national priorities to be included in the strategic agendas adopted by the partnerships. Research Performing Organisations (RPO) participating in the EPs acknowledge that lack of clear rules regarding conflict of interest in external calls for proposals organised by these partnerships. In the case of the external calls addressed to a wide range of researchers, potential applicants from these RPOs are not allowed to apply to avoid conflict of interests. This is seen as a missed opportunity for the research community from these organisations. Moreover, the necessity to avoid conflicts of interest in the EPs, can result in excluding the participating RPOs not only from the calls for proposals, but also from other activities aiming at preparation of partnership thematic priorities.

Finally, RPOs, mostly those from Widening countries, see low success rates in calls for proposals organised by Partnerships as a challenge and they attribute it to the lack of sufficient administrative support from their research offices.

Most organisations from both Widening and non-Widening countries across all types of survey respondents learn about the European Partnerships from the official EC documents; many also reach out to national contact points and participate in dedicated webinars. For almost 70% of the respondents from Widening countries the EP coordinator is the main source of information, whereas for the non-Widening countries this share falls down to ca. 40%. Non-Widening countries are those who more often seek advice from EC officers, which is due to the fact that they act as EP coordinators. Widening countries, who do not have the roles of EP coordinators, emphasise the need for assistance from EC officers. When asked about the support and information needed to enhance the process of preparing and implementing the Partnership, organisations from both groups of countries acknowledge the necessity to improve national
coordination. Efforts both at the EU and national levels are required. More guidance is also needed by both Widening and non-Widening countries on financial issues and the governance of the partnerships as well as agreements related to EP implementation.

The majority of respondents agree that Widening measures are adopted in the partnerships. These measures, which are not defined by the EC, are implemented as a bottom-up approach and address the Openness and Transparency principle, which has been introduced by the EC as a criterion for assessing the EPs. Among the most often selected Widening activities are inviting organisations from this group of countries to join the partnership and including incentives for involving organisations from the Widening countries in proposals submitted under the joint calls. Survey participants also acknowledge that inclusiveness is an important priority for a partnership and dedicated webinars to engage with research or stakeholder communities from Widening countries are organised.

Horizon Europe allows and promotes synergies between the funding provided by the Framework Programme and European Research and Development Fund (ERDF) or in the case of Associated Widening countries – the Instrument for Pre-Assessment Assistance (IPA). Special guidelines with possible solutions are also offered by the EC. This potential is not yet fully exploited by the Member States. According to the survey, only 14 organisations out of 61 (including 12 from Widening countries) establish synergies between different sources of funds. Nine of these respondents (including 7 from Widening countries) note that availability of these funds facilitated their decision to participate in the Partnership. The ERDF and IPA funds are primarily used to fund projects selected in the calls for proposals. They are also allocated for purchasing or gaining access to R&I equipment or infrastructure.

To sum up, the survey results demonstrate that the main challenge facing both Widening and non-Widening countries is the lack of personnel necessary to gain necessary knowledge and expertise to create and implement the European Partnerships. In addition, the novelty of the instrument, its administrative complexity and the large number of participating organisations representing different sectors is seen as an issue. The respondents see the need for clear guidelines, including on the roles of research performing organisations in the Co-funded Partnerships and administrative support from the EC, as well as necessity of coherent and stable rules. The engagement of Widening countries in the European Partnerships, as in H2020 partnerships, is less active than that of non-Widening ones. The former do not appear as coordinators in any types of partnerships due to lack of sufficient capacity and personnel. Widening countries also acknowledge a lack of sufficient experience in selecting national priorities and organising national consultations in view of contributing to the development of the SRIAs, in the area tackled by a given partnership. Therefore, although according to the survey, Widening countries are invited to join the partnerships, this opportunity is not fully exploited due to the reasons listed above. More efforts are needed at the national level, with the support of the EC, with regards to capacity building, training and employing staff who can enhance participation of this group of countries in the EPs. Perhaps more explicit EC prescriptions for involving Widening countries in the EPs can be included in the partnership application process.
It can be considered by the EC to make the adoption of Widening measures, including those promoting Widening countries in calls for proposals, an obligatory requirement for the partnerships. These measures proved successful in the H2020 partnerships, such as ERA-NET Cofunds and EJPs\(^3\). Indicators promoting the inclusion of Widening countries on the programme and funded project levels can also be introduced to the partnership monitoring and assessment process, to stimulate greater participation of this group in the EPs. Finally, training programmes for staff involved in developing and implementing partnerships on the national and European level can be organised by the Member States with support from the EC.

\(^3\) For more information please see the ERA-LEARN report on Inclusiveness in European R&I Partnership Programmes.
This report presents the results of the ERA-LEARN survey on the European Partnerships. The goal of the survey was to learn about the experience of national stakeholders involved in the European Partnerships. We wanted to examine the challenges and benefits of various stakeholders’ participation in these types of programmes and explore matters such as:

- Criteria for selection of partnerships by participating members states
- Roles of participating organisations
- Measures supporting participation of Widening countries
- Learning needs of participating organisations
- Use of Cohesion Policy Funds

A special focus of this survey was to investigate participation of Widening countries in the European Partnerships, although responses were gathered also from non-Widening country organisations to mark differences.

**Widening countries in Horizon Europe**

**EU Member States**
Bulgaria, Croatia, Cyprus, Czechia, Estonia, Greece, Hungary, Latvia, Lithuania, Malta, Poland, Portugal, Romania, Slovakia, Slovenia

**Associated Countries**
Albania, Armenia, Bosnia and Herzegovina, Faroe Islands, Georgia, Iceland, Kosovo, Moldova, Montenegro, Morocco, North Macedonia, Serbia, Tunisia, Turkey and Ukraine

**Outermost Regions**
French Guiana, Guadeloupe, Martinique, Mayotte, Reunion Island and Saint-Martin (France)
Widening countries are those with low performance in previous Framework Programmes. The Widening EU Member States involve the EU13 together with Greece and Portugal, whose threshold of research excellence based on the Widening indicator is lower than 70% of EU28 performance in research and innovation. In order to widen participation of lower performing countries, the EU implemented Widening measures in Horizon 2020. Activities serving this group of countries has also been deployed in Horizon Europe in the Horizontal Pillar: Widening Participation and Strengthening the European Research Area. The EC has also introduced the Openness and Transparency principle according to which Partnerships should demonstrate openness towards all relevant partners and stakeholders already in the process of the programme design and remain open to newcomers and interested parties throughout its lifetime. One important component of the openness and transparency principle is sharing excellence and widening participation in all pillars of Horizon Europe, including the Partnership instrument\(^4\). However, the EC has not defined exact measures or indicators serving the inclusion of Widening countries. Such measures are deployed by the EPs as a bottom-up approach.

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### 2.1. European Partnerships

European Partnerships are initiatives whose goal is to address global challenges and industrial modernisation through joint actions of the Member States and other stakeholders, including foundations and the private sector. The European Partnerships evolved from the H2020 Partnerships; these included Public-to-Public Partnerships (ERA-NET Cofunds, EJP Cofunds and Art. 185 initiatives), EIT KICs and Public-Private Partnerships (JUs/Art. 187 Initiatives and cPPPs)\(^5\).

With a budget of over EUR 8 billion from Horizon Europe for the period 2021-2030, the European Partnerships will strive to develop close synergies with national and regional programmes, boost innovation in working towards a common goal and provide socio-economic impacts\(^6\).

The Partnerships are grouped in 5 areas:

- Health

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\(^4\) More information [here](https://www.era-learn.eu/support-for-partnerships/additional-activities/openness-inclusiveness-transparency).


\(^6\) The full list of the European Partnerships and more information about their goals and participating organisations can be found [here](https://research-and-innovation.ec.europa.eu/funding/funding-opportunities/funding-programmes-and-open-calls/horizon-europe/european-partnerships-horizon-europe_en).
Digital, industry and space

Climate, energy and mobility

Food, bioeconomy, natural resources, agriculture and environment

Partnerships across themes

The first report presenting an overview of the new Partnerships’ landscape and establishing the basis for assessing their progress in future reports, namely ‘Performance of the European Partnerships: Biennial Monitoring Report 2022 on Partnerships under Horizon Europe’ (BMR 2022), was published in May 2022.
3. Experiences of national and regional stakeholders involved in the European Partnerships

The ERA-LEARN survey on the European Partnerships was conducted between July-October 2022. It was circulated among National and Regional Contact Points of the Member States and Associated Countries, as well as other national and regional stakeholders, such as research funding organisations and ministries of science. The survey was completed by 61 organisations involved in the European Partnerships – 35 from Widening countries (including 3 Associated Countries and 1 Outermost Region) and 26 from non-Widening countries. The largest number of responses was submitted by France, Poland, Slovakia and Hungary (see Chart 1). In addition, interviews were conducted with 3 survey respondents in order to clarify the information about the challenges facing research performing organisations and developing national agendas in the partnerships identified by the respondents.

The responses of this survey, however, cannot be considered representative of any of the above mentioned groups of respondents. They can only provide indications of the first experiences of setting up new partnerships. In particular, the goal of this survey was to show the experience of Widening countries in comparison to the non-Widening.

![Chart 1 Countries represented by organisations participating in the survey](chart1)
The statistics show that the largest number of responses came from Research and Innovation Funding Organisations (RFOs), Policy Makers (including ministries and regional governments) and Non-university Research Organisations (Chart 2). When we look at membership of the organisations in the EPs – the most represented group was the Co-funded Partnership, which was selected 232 times by the responding organisations, whereas Institutionalised Partnerships were identified 51 times and Co-programmed 47. The top-ten among the Partnerships represented by the responding organisations are presented in Table 1.

Table 1 Participation in European Partnerships

<table>
<thead>
<tr>
<th>Partnership</th>
<th>Number of respondents participating in the Partnership</th>
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<tbody>
<tr>
<td>Rescuing Biodiversity to Safeguard Life on Earth</td>
<td>20</td>
</tr>
<tr>
<td>Safe &amp; Sustainable Food System</td>
<td>20</td>
</tr>
<tr>
<td>Water4All</td>
<td>20</td>
</tr>
<tr>
<td>Clean Energy Transition</td>
<td>19</td>
</tr>
<tr>
<td>Accelerating Farming Systems Transitions</td>
<td>17</td>
</tr>
<tr>
<td>Driving Urban Transitions</td>
<td>17</td>
</tr>
<tr>
<td>Climate Neutral, Sustainable &amp; Productive Blue Economy</td>
<td>16</td>
</tr>
<tr>
<td>Personalised Medicine</td>
<td>16</td>
</tr>
<tr>
<td>Animal Health &amp; Welfare</td>
<td>15</td>
</tr>
<tr>
<td>ERA for Health</td>
<td>13</td>
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3.1. Criteria for selection of the Partnerships

The largest number of the responding organisations indicate that their decision on joining a Partnership is based on the organisation’s interest and priorities, this includes topics relevant to their activities. This response is submitted mostly by universities and non-university research organisations (Research Performing Organisations, RPOs) both from Widening and non-Widening countries but also by some national and regional RFOs, from both groups of countries.

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### Widening and non-Widening countries

Criteria for joining partnerships

- Organisational interests and goals and thematic relevance
- National or regional priorities and decision of the relevant ministry
- Previous experience in H2020 partnerships – predecessors of EPs
- Access to international partners and networks
- Available budget and personnel (only Widening countries)
The second most popular reason for joining a Partnership are national priorities, including Smart Specialisation Strategies. This criterion is mostly mentioned by RFOs and sectoral ministries from Widening countries. Participation in the EPs is motivated by the regional priorities and needs of stakeholders relevant for the Regional Government or regional RFOs participating in the survey. Responding organisations, in particular RFOs from Widening countries and to a lesser degree RFOs from non-Widening ones also indicate that critical mass, interest, demand and capacity of their community, as well as available infrastructure, matter when entering an initiative. Several RFOs from both group of respondents also acknowledge that previous experience in ERA-NET programmes or networks that were predecessors of European Partnerships is an important factor and influence their entry to the initiative. The success rate in previous calls is also taken into account when making the decision to participate. It is acknowledged by all types of respondents that participation in a partnership brings benefits for the research community, such as added value of international collaboration, strengthening excellence of researchers and opportunity for conducting multi and interdisciplinary research.

Only two survey participants from Widening countries indicate that their decision on joining the Partnerships was based on the available budget and staff. Possible synergies with other R&I co-financing systems were also mentioned once as one of the criteria. One RFO from an associated Widening country admits that there is no strategy behind the choice of the EP. Finally 3 RFOs from Widening countries describe more complex strategies which involve analyses of the interests of their research communities, participation in H2020 partnerships and consultation among national stakeholders.

3.2. Roles of participating organisations

This survey results show that from the 36 funding organisations from Widening countries only 9 act as work-package or task leaders in the European Partnerships. In the case of non-Widening countries, this number is higher, as 11 out of 26 take leading roles. It must be emphasised that there is no organisation from a Widening Country among the coordinators of the European Partnerships. This shows that there is still a lack of leading roles among this group of countries. Similar results were shown by the ERA-LEARN survey on inclusiveness in 20197.

When asked about the reasons for not acting as leaders, respondents – both from Widening and non-Widening countries – mostly emphasise the lack of personnel and administrative complexity of the instrument. Some sectoral ministries indicate that in their case more active involvement is not feasible due to lack of capacity or no direct involvement in the partnership on the operational level, as day-to-day operations are delegated to RFOs or research performing organisations. Several organisations representing all type of respondents mention that due to

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7 Please see: ERALearn report on Inclusiveness in R&I Partnership Programmes, p. 10.
the novelty and complexity of the instrument they still need more information or experience to consider taking a leading role. Some of them joined a partnership at a later stage and were not involved in the application process or were a newcomer to an existing partnership. A few respondents from both Widening and non-Widening countries, representing national policy makers and an RFO from Widening countries mentioned that they are small entities and only lead sub-tasks. Among single responses we can find national and internal barriers and an assumption that the coordinator’s role is usually given to a “larger” country.

Organisations that pursue the roles of leaders provide the following reasons for taking leadership:

Advantages of taking leadership roles in partnerships:

― Participation in the decision making process and influencing the partnership strategy and priorities
― Mutual learning and better understanding of the EP instrument
― Strengthening international cooperation and networking opportunities on the partnership level
― Developing national strategies and driving new developments in national priorities through participation in the EP
― Strengthening an organisation’s international profile and increasing its international visibility

Among smaller number of responses we can find also the following: building capacity of the organisation’s staff, mobilising the research community in the area and meeting the needs of European public policies, and the possibility of direct interactions with European agencies.
3.3. Challenges facing participating organisations in the European Partnerships

The biggest challenge in the process of implementing a partnership indicated by all respondents, frequently raised by the WP and task leaders, is the lack of personnel. Limited and at times unstable staff are the most problematic issue for Widening countries. Several respondents from RPOs and sectoral ministries from Widening acknowledge the lack of staff experienced in project management. It is also noted that participation in multiple partnerships are a strain on organisational resources.

Another issue is the large number of organisations involved in the EPs. Communication within such large consortia is reported as challenging by organisations from non-Widening countries more actively involved in leading Work Packages. It is emphasised that coping with different priorities and different partner involvement can pose a challenge. It is also noted that within such large consortia focused on the implementation of various tasks – from project funding, engaging with civil society, to implementing policy goals – it is at times difficult for each partner to grasp and follow the partnership goals at these different levels and to understand this instrument.

Complex administrative procedures and heavy workload are mostly seen as an issue by non-Widening countries. This can be due to the fact that organisations from these countries are involved more actively in coordinating activities in the Partnerships and are responsible for developing relevant procedures. The novelty of the instrument and a necessity to establish new procedures and operational guidelines is mentioned by the respondents. It is noted that a leap from reasonably manageable ERA-NET programmes to very complex partnerships pose considerable difficulties and more continuity is expected in the Framework Programmes. Survey respondents mostly from non-Widening countries, express the need for coherent rules within the same types of partnerships, clear implementation guidelines and templates for required documents. Newcomers to the partnership, such as regional government authorities, find it difficult to comprehend complex rules and the ‘language’ of the partnership documentation.

There are doubts regarding the role of Research Performing Organisations (RPO) in the Co-funded EPs. On one hand, these organisations have the knowledge in a given thematic area and contribute to setting the strategic research agendas of the partnerships. However, they need a closer collaboration with ministries, as the latter are responsible for shaping national priorities and strategies in a given area. Several respondents state that the roles of RPOs should be more clearly defined by the EC. The lack of clear EC guidelines regarding conflicts of interest (CoI) is particularly emphasised by the RPOs from non-Widening countries. In some cases, RPOs participating in Partnerships are excluded from applying to external calls for proposals addressed to the wide research community, issued by these Partnerships, due to CoI. This is seen as a huge loss for the research community from these organisations. Furthermore, the necessity to manage and avoid conflicts of interest within the partnerships,
can lead to excluding the participating RPOs not only from activities directly focused on organisation of the calls but also those contributing to the preparation and implementation of partnership thematic priorities. It is also mentioned that rules on CoI differ from partnership to partnership, even within those belonging to the same type. This double role of RPOs – as active participants who shape strategic agendas of the EPs but, on the other hand, as researchers whose natural role is to apply for funding and carry out research projects – poses a significant challenge.

Respondents from both group of countries see a challenge of involving regional and national stakeholders representing different sectors in the partnerships. RFOs from Widening countries also express their limited experience in the identification of relevant stakeholders, communicating with them and coordinating national feedback to the partnership’s strategy. Harmonisation of thematic policies and strategies of different national actors proves a challenge not only for these organisations but also for some RPOs and state agencies from non-Widening countries. Some RFOs and RPOs from Widening countries also note that getting formal support and engagement of national or regional entities can be a difficult task. The need and ambition to establish an adequate national coordination is acknowledged by quite a few Widening countries in the country fiches of the Biennial Monitoring Report 2022 on Partnerships in Horizon Europe. Some of these countries are in the process of forming national coordination mechanisms, involving different national stakeholders or have already introduced them, in order to facilitate more strategic participation, aligned with national priorities⁸.

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### Challenges facing Widening countries in the EPs

- Lack of personnel incl. need for experienced staff
- Budgetary issues
- Defining national priorities and alignment of partnership goals with national agendas
- Involvement of national and regional stakeholders
- Lack of success in calls for proposals
- Administrative complexity of the EPs

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⁸ For more information, please see: Biennial Monitoring Report 2022 on Partnerships in Horizon Europe.
Budgetary issues are also among frequent challenges encountered by all respondents. Survey participants mention a limited budget that must cover ambitious tasks and allocate funding for calls for research projects. They also recognise the challenge of long-term budget planning given the unexpected dynamics of the partnership. Limited financial resources for projects selected in calls for proposals are also indicated by sectoral ministries and funding agencies from Widening countries. Lack of resources is in some cases supplemented by Recovery and Resilience Facility. However, this solution entails additional challenges, such as financial reporting. Both RFOs and RPOs from Widening countries note that even high efforts invested in the implementation of partnerships do not guarantee success in the calls for proposals, which can be discouraging and result in a lower motivation for participation. Internal procedures in Widening countries, such as one-year budget plans, can also impede participation in partnership and the full use of available resources, their allocation and exploitation.

Low success in calls for proposals are reported as challenging by the RPOs from Widening countries. The lack of success is attributed to the shortage of research staff and to insufficient administrative personnel at research offices. One RFO from a non-Widening country also mention that raising interest of research communities is an issue, due to complex requirements included in call documents. It is also noted that SMEs are not familiar with the complex EU grant systems, which limits their chances for success in calls for proposals.
3.4. *Widening measures in the European Partnerships*

Widening in partnerships can be defined as an approach in building and implementing a Partnership, which promotes involvement of funding organisations representing Widening countries and implements measures supporting their research communities in calls for proposals. Widening measures in partnerships are bottom-up activities that are not defined by the EC, however, they realise the Openness and Transparency principle introduced by the Commission in Horizon Europe\(^9\).

The majority of respondents indicate that measures supporting Widening\(^10\) are implemented in the EPs. It is acknowledged that Widening countries are invited to join partnerships and as many as 11 respondents mention that the Widening is among the explicit goals of the partnership. A big number of survey participants also note that priorities of the partnerships include priorities of Widening countries. The same number indicate that calls for proposals organised by the EPs include incentives for Widening countries, however fewer partnerships adopt selection criteria (in the case of *ex-aequo* proposals), in calls promoting Widening countries. A smaller number of respondents also state that organisations from this group of countries are involved in core network positions. It is also mentioned that measures to support Widening are offered by the EP coordinators, however, it happens that due to national regulations Widening countries cannot use them.

Representatives from Widening countries were asked in the survey if they deploy any national activities that support their participation in the EPs. Among the most popular measure we can find are: providing support and mentoring offered to researchers when applying for grants in the calls organised by the EPs and the use of the Cohesion Policy funds. One organisation mentions the establishment of a forum gathering national organisations participating in the European Partnerships, with a goal to monitor national participation in the EPs.

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\(^9\) For more information, please see information about *Openness and Transparency on the ERA-LEARN website.*

\(^10\) The list of measures is based on the material on the catalogue of Widening activities used in the ERA-LEARN survey on inclusiveness and presented in the ERA-LEARN Report on Inclusiveness in European R&I Partnership Programmes.
3.5. **Synergies with the Cohesion Policy (or Instrument for Pre-Accession Assistance) funds**

Horizon Europe allows and promotes synergies between the funding provided by the Framework Programme and the European Regional and Development Fund (ERDF). The latter supports the development of Member States and the reduction of regional disparities and serves as an instrument to support Widening countries. Over the years a continuous effort has been deployed by the EC in fostering synergies and in 2022 specific guidelines were offered to support synergies and thus fulfill the priority of promoting innovative and smart and sustainable economic transformation and fostering excellence in research and innovation\(^\text{11}\). In the case of non-EU Member States, the Instrument for Pre-Accession Assistance (IPA) has been offered by

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\(^{11}\) For more information please see: [Draft COMMISSION NOTICE Synergies between Horizon Europe and ERDF programmes](#).
the EU to support reforms in the enlargement region with financial and technical assistance since 2007\textsuperscript{12}.

Synergies with Cohesion Policy (or IPA) funds are established by 14 (11 from Widening and 3 non-Widening countries) out of all 62 responding organisations. It is worth emphasising that 9 of these respondents (including 7 from Widening countries) acknowledge that the availability of these funds facilitated their decision to participate in the partnership. These funds are primarily used for funding of projects selected in the calls for proposals. They are also earmarked for purchase or access to R&I equipment or infrastructure.

![Figure 4 Information about synergies with Cohesion Policy (or IPA) funds](image)

Respondents, declaring implementation of synergies with Cohesion Policy (or IPA) funds, use the following administrative solutions:

- Complementary funding, e.g. between ERDF and Recovery and Resilience Facility (RRF)
- Integrated funding: ERDF has been allocated within the EP budget as national funding

\textsuperscript{12} Please check: \url{https://neighbourhood-enlargement.ec.europa.eu/enlargement-policy/overview-instrument-pre-accession-assistance_en}. The current beneficiaries are: Albania, Bosnia and Herzegovina, Kosovo, Montenegro, North Macedonia, Serbia and Turkey.
Sequential and parallel funding: the administration is planning a complementary set of measures underpinning various financing programs in order to ensure the constant promotion of international RDI projects.

Alternative funding: the ERDF has been allocated for funding the Seal of Excellence holders.

Responding organisations that do not use the Cohesion Policy Funds have been asked how they would use this source of funding, if available. Most of them would allocate it to increase the budget available for funding projects and for financing human resources development (this option is especially relevant for Widening countries). Thus, the survey indicates that organisations participating in partnerships have identified the need for the development of the capacity of staff involved in the EPs. This means that the possibility of developing synergies with the European Social Fund is needed to facilitate the involvement in the partnerships. Finally, purchasing or access to research equipment or infrastructure also proved relevant for the survey participants.

On the total respondents only a small share (22%) confirm that some kind of synergies with structural funds have been implemented, including the sequential and parallel synergies which do not involve the direct participation in a European Partnership.
4. Support and information needed in the EP preparation and implementation process

The survey shows that both Widening and non-Widening countries present similar needs when it comes to the EC and national support in the process of preparing and implementing the partnership. There is a clear need to develop and improve structures to support national coordination. This response is mostly specified by funding organisations and policymakers. Policy support is seen as an important factor in national efforts; however, EC assistance is also seen as relevant. What is worth highlighting from the survey results is that dedicated EC officers providing advice relating to the European Partnerships would be especially important for Widening countries. This is due to the fact that organisations from these countries are not in direct contact with EC staff dealing with EPs, as they do not act as partnership coordinators.

![Figure 5 Support expected by the participants of the European Partnerships](image-url)
Both Widening and non-Widening countries indicate that financial support from the EC, including resources to cover personnel costs, would be appreciated. The need for personnel is mentioned a few times in this section as well. Several respondents see a necessity for simplification of administrative procedures in the process of the EP implementation and harmonisation of the EP structure and governance models. A need for practical information and guidelines – prepared in a reader friendly manner – is also expressed.

The survey respondents were asked about information on the EPs that was missing from the available sources. The most popular response, given by all types of responding organisations from Widening and non-Widening countries, is the need for more guidelines regarding financial issues. The second most frequent response is the need for more information about governance structure, this is expressed most often by RFOs and RPOs from both groups of countries. Among the Widening countries there are 13, mostly RFOs and RPOs that seek more guidance on synergies with the Cohesion Policy Funds. Respondents from both groups of countries, again mostly RFOs and RPOs, are interested in additional sources of information on agreements related to EP management. Finally Widening countries, among which there are 6 RPOs and 3 ministries, acknowledge missing information on impact. Several respondents from this group also see a need for additional information sources on monitoring and assessment. A few respondents from non-Widening countries mention that timely information would be appreciated, as this would enable them to express an interest in joining the partnership. Two respondents would appreciate more information about in-kind contributions.

![Figure 6: Support expected by the participants of the European Partnerships](Figure.png)
For both groups of countries and across all types of respondents, EC official documents are the most common sources of information about the EPs. Both Widening and non-Widening countries seek information about the EPs from National Contact Points and by participating in dedicated webinars. For all type of respondents from Widening countries, direct contact with the EP coordinators is also the most important way of gaining information about the EPs, whereas non-Widening – mainly RFOs and RPOs mention this source slightly more seldom. The ERA-LEARN website is also indicated as a source of information – mostly by RFOs from non-Widening and Widening countries and several RPOs from the latter. Moreover, EC officers are more often contacted by organisations from non-Widening countries – usually RPOs and RFOs. As mentioned earlier, this is due to the fact that EP coordinators who come only from this group of countries are more often in direct contact with EC officers. Additional contacts providing information to the survey respondents are members of networks which are the predecessor of the EPs and national stakeholders, such as ministries, or scientific networks – the latter in the case of RPOs.

Figure 7 Information about the EPs missing from the available sources

Information about EPs missing from the available sources

<table>
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<tr>
<th>Category</th>
<th>Non-Widening Countries</th>
<th>Widening Countries</th>
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<td>Agreements related to the EP management</td>
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<td>Synergies with the Cohesion Policy (or IPA) funds</td>
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<td>13</td>
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<tr>
<td>Governance structures and committees</td>
<td>11</td>
<td>15</td>
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<tr>
<td>Financial issues</td>
<td>14</td>
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</table>
Figure 8 Sources of information about the EPs
5. Conclusions

The ERA-LEARN survey on the institutional experiences of national stakeholders involved in the European Partnerships proves that this new instrument introduced in Horizon Europe is seen as an opportunity but also as a challenge by participating organisations. Participation in the partnership is recognised as a tool to pursue national priorities and to develop strategic agendas in an area tackled by a partnership. It is also appreciated as a learning experience and opportunity to support national R&I communities.

A number of issues that require support both at the national and EC level has been identified by the respondents. They include lack of or insufficient skilled workers necessary to develop and implement the partnership. This challenge is particularly acknowledged by Widening countries. The respondents also emphasise the novelty and complexity of the instrument and the size of the consortia involved in the partnerships, which can number up to 200 partners. Additional challenges pointed out by Widening countries are related to a lack of experience in collaborating with stakeholders at the national level and building national agendas to be incorporated in the partnership strategy. However, non-Widening countries also see a need for improving their structures that are needed to support national coordination. Therefore, sharing experience and best practices in this regard, supported by the EC, would be highly recommended.

Both groups of respondents recognise a need for support from the EC; a need for clear and user-friendly guidelines on the administrative procedures and regulations, including an unambiguous definition of the role of research performing organisations. In addition, Widening countries emphasised a need for greater assistance from EC officers. More guidance is needed on financial issues and governance of the partnerships as well as agreements related to EP implementation.

The survey also proves that although Widening measures are used in the European Partnerships, Widening countries are still reluctant to take leading roles in the EPs and there is no partnership coordinator from this group countries. The complexity of the instrument and the large number of partners involved, which is raised even by coordinators of H2020 partnerships from non-Widening countries, require experienced and stable personnel. This means that the limited capacity of the Widening countries hinders them from taking leaderships roles, let alone the roles of partnership coordinators. Perhaps synergies with ESIF funds, which are not yet fully exploited, would be a tool for training and engaging staff. Horizon Europe Partnerships are much bigger and more complex than the standard ERA-NET Cofunds in H2020 and even in the previous Framework Programme only four of those were coordinated by Widening countries (three by Poland and two by Portugal). Keeping that in mind, one recommendation is to
consider organisation of training programmes for staff involved in developing and implementing partnerships on the national and European level, with support from the EC.

Perhaps more explicit EC prescriptions for involving Widening countries in the EPs can be included in the partnership application process. The EC could consider making the adoption of Widening measures, including those promoting Widening countries in calls for proposals, an obligatory requirement for the partnerships. These measures proved successful in the H2020 partnerships, such as ERA-NET Cofunds and EJPs\textsuperscript{13}. Finally, indicators promoting the inclusion of Widening countries on the programme and funded project level can also be introduced to the partnership monitoring and assessment process, to stimulate greater participation of this group in the EPs.

\textsuperscript{13} For more information please see the ERA-LEARN report on Inclusiveness in European R&I Partnership Programmes.
6. Literature

Biennial Monitoring Report 2022 on partnerships in Horizon Europe

Inclusiveness in European R&I Partnership Programme

Special Report 15/2022 by the European Court of Auditors

Synergies between Horizon Europe and ERDF programmes (Draft Commission Notice)
### 7. List of survey respondents

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<td>Fundo Regional para a Ciência e Tecnologia</td>
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Additional interviews were conducted with French Ministry for Ecological Transition and Territory Cohesion, INRAE and Polish Green Building Council.
8. Survey template
ERA-LEARN Survey on national experience in European Partnerships

ERA-LEARN survey on the national experience in Horizon Europe Partnerships

With this survey we would like to learn about the experience of national stakeholders involved in the European Partnerships. Our goal is to investigate challenges and benefits of various stakeholders' participation in these types of programmes and explore matters such as:

- Criteria for selection of partnerships by participating member states
- Roles of participating organisations
- Type of stakeholder involvement
- Measures supporting participation of Widening and less performing countries
- Learning needs of participating organisations
- Use of Cohesion Policy Funds

A special focus of this survey is to investigate participation of the Widening and less performing countries in the European Partnerships. Enhancing participation of this group of countries is highlighted by the EU in the Openness and Transparency principle. One important component of this principle is to strengthen the European Research Area through Sharing Excellence and Widening Participation in all pillars of Horizon Europe, and through the Partnership instrument. With this survey we want to find out what measures supporting inclusion of the Widening Countries have been implemented and learn more about the roles of this group of countries in the European Partnerships.

---

Widening Countries in Horizon Europe:

EU Member States
Bulgaria, Croatia, Cyprus, Czechia, Estonia, Greece, Hungary, Latvia, Lithuania, Malta, Poland, Portugal, Romania, Slovakia, Slovenia
Associated Countries
Albania, Armenia, Bosnia and Herzegovina, Faroe Islands, Georgia, Kosovo, Moldova, Montenegro, Morocco, North Macedonia, Serbia, Tunisia, Turkey and Ukraine

Outermost Regions
French Guiana, Guadeloupe, Martinique, Mayotte, Reunion Island and Saint-Martin (France)
Azores and Madeira (Portugal)
Canary Islands (Spain)

---

Your response to this survey is very important to properly diagnose the engagement of both Widening and non-Widening Countries in the European Partnerships. Completing this survey requires providing data regarding your organisation’s participation in Horizon Europe’s Partnerships and may involve internal consultations in your organisation. A special emphasis in this survey is put on the Openness and Transparency and participation of the Widening Countries the European Partnerships. Based on the results of this survey we plan to prepare a report on the first experience of national stakeholders in the European Partnerships. This report will also include best practices and recommendations for the Widening & non-Widening Countries and the European Commission which can serve to enhance participation of Widening Countries in the European Partnerships and thus strengthen the European Research Area.

For more information about the ERA-LEARN actions related to enhancing Widening Countries’ participation in partnerships, please consult our website: Openness & Transparency — ERA-LEARN

The survey is **open until September 15th, 2022**. You can save your responses and return to it later. In order to finalise your survey, please click "submit".

Thank you for completing the survey!

For any questions please contact:
Malwina Gębalska, National Science Centre, Poland, ERA-LEARN consortium
malwina.gebalska@ncn.gov.pl
Please note that with the survey we want to learn about institutional and national experience in the European Partnerships. Therefore we expect one response per organization.

Please click here to download and overview the Survey as PDF. However, please note that the Survey should be completed online.

1. Personal information

First name

Last Name

Organisation

Position

Email

2. What type of organisation do you work for?

- Research funding organisation
- University / higher education institution
- Non-university research organisation
- Company
- NGO
- Policy maker
- Other (please specify)
3. Your country

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4. Please select the Horizon Europe European Partnership(s) (EP) your organisation (plans to) participate(s) in (more than one option can be chosen):

- Accelerating Farming Systems Transitions: European Partnership accelerating farming systems transition: agroecology living labs and research infrastructures

- AI-Data-Robotics: European Partnership on Artificial Intelligence, Data and Robotics

- Animal Health & Welfare: European Partnership for Animal health (PAH)

- Batteries (BATT4EU): European Partnership for an Industrial Battery Value Chain

- Built4People: People-centric sustainable built environment (Built4People)

- Chemicals risk assessment: European partnership for the assessment of risks from chemicals (PARC)

- Circular Bio-based Europe: European Partnership for a Circular bio-based Europe

- Clean Aviation: European Partnership for Clean Aviation

- Clean Energy Transition: European Partnership for Clean Energy Transition

- Clean Hydrogen: European Partnership on Clean Hydrogen

- Clean steel – low-carbon steelmaking: European Partnership for Clean Steel - Low Carbon Steelmaking

- Climate Neutral, Sustainable & Productive Blue Economy: European Partnership for a climate neutral, sustainable and productive Blue Economy

- Connected and Automated Mobility (CCAM): European Partnership on Connected and Automated Driving (CCAM)
Driving Urban Transitions: European Partnership – driving urban transitions to a sustainable future (DUT)

EIT Climate-KIC

EIT Cultural and Creative Industries-KIC: EIT Cultural and Creative Industries-KIC

EIT Digital-KIC

EIT Food-KIC

EIT Health-KIC

EIT InnoEnergy-KIC

EIT Manufacturing-KIC

EIT Raw materials-KIC

EIT Urban Mobility-KIC

ERA for Health: European Partnership - ERA for Health Research

Europe’s Rail: European Partnership for transforming Europe’s rail system

European Open Science Cloud: European Open Science Cloud (EOSC) Partnership

European Partnership on Metrology: European Partnership on Metrology

Global competitive space systems: European Partnership for Globally competitive Space Systems

Global Health Partnership: European Partnership for EU-Africa Global Health

High Performance Computing: European Partnership for High Performance Computing

Innovative Health Initiative: European Partnership for Innovative Health

Innovative SMEs: European Partnerships Innovative SMEs

Key Digital Technologies: European Partnership for Key Digital Technologies (KDT)

Made in Europe: European Partnership Made in Europe
One-Health Anti Microbial Resistance: European Partnership for One Health/AMR Antimicrobial Resistance (AMR)

Pandemic Preparedness: European Partnership on Pandemic Preparedness

Personalised Medicine: European Partnership for Personalised Medicine

Photonics: European Partnership for Photonics

Processes4Planet: Processes4Planet – Transforming the European Process Industry for a sustainable society

Rare diseases: European Partnership on Rare Diseases

Rescuing Biodiversity to Safeguard Life on Earth: European Partnership for rescuing biodiversity to safeguard life on Earth

Safe & Sustainable Food System: European Partnership for Safe and Sustainable Food Systems

Single European Sky ATM Research 3: European Partnership for Integrated Air Traffic Management (ATM)

Smart Networks & Services: European Partnership for Smart Networks and Services

Transforming health and care systems: European partnership on transforming health and care systems

Water4All: European Partnership Water Security for the Planet (Water4All)

Zero-emission road transport: European Partnership – Towards zero-emission road transport (2ZERO)

Zero-emission waterborne transport: European Partnership on zero-emission waterborne transport
5. What are the criteria for selecting EPs in your organisation?


6. Is your organisation engaged as a Work Package (WP) or Task leader in any of the EPs you selected?

- Yes
- No

7. Why is your organisation not engaged as Task or WP leader?  **Only shown if "no" in question 6.**


Is your organisation WP or Task Leader in the following partnership:
[question('piped title')] Only shown if "yes" in question 6.

☐ WP leader (if applicable, please name the WP):

☐ Task leader (if applicable, please name the Task):

☐ Neither

8. What are the expected benefits for taking a WP or task leader’s role in the EP? Only shown if "yes" in question 6.


9. What are the expected challenges for taking a WP or task leader’s role in the EP? Only shown if "yes" in question 6.


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10. Please select other partners/stakeholders from your country (planned to be) involved in the Horizon Europe EPs (More than one option can be selected):

- Research funding organisations
- Universities / higher education institutions
- Non-university research organisations
- Companies
- NGOs
- Policy makers
- Others (please specify)

11. What are the greatest challenges your organization faces in building and implementing your participation in a EP?

12. Are there any national instruments supporting your organisation’s participation in the EPs? Only shown to Widening Countries.

- Yes
- No
13. Please describe the instrument(s)  *Only shown to Widening Countries.*

14. What support at the national level do you need in order to successfully prepare and implement your participation in the EP? (More than one option can be selected)

- [ ] policy support
- [ ] additional sources of information
- [ ] structures needed to support national coordination
- [ ] other, please specify
15. What information is in your opinion missing from the available sources/documents about the EPs that would help your organization with preparing and implementing its participation in EPs? (More than one option can be selected)

- Governance structures and committees
- Agreements related to the EP management
- Financial issues
- RRI
- Monitoring and Assessment
- Synergies with the Cohesion Policy Funds
- Impact
- Openness and Transparency
- Other - please specify

16. What are your sources of information about the EPs? (More than one option can be selected)

- EC official documents
- EC officers
- ERA-LEARN website
- EP coordinator
- National Contact Point
- Dedicated webinars
- Other - please specify
17. What kind of support would you expect from the EC in terms your organisation’s participation in EPs? (More than one option can be selected)

☐ policy support
☐ additional sources of information
☐ dedicated EC officers
☐ structures needed to support national coordination
☐ Other - please specify

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18. What measures supporting inclusiveness/widening are (planned to be) adopted in the EPs of which you are a member? (More than one option can be selected)

☐ Organisations from Widening Countries are actively involved in our EP (personal invitations, brokerage or kick-off events, etc. are organised in order to enhance their participation in the EC) (if yes please describe the planned measures)

☐ Organisations from Widening Countries are involved in core network positions (WP-Lead, Task-Lead, etc.) (if yes please name the tasks and/or WPs)

☐ Inclusiveness is an explicit priority/goal in our programme (if yes please describe planned measures)

☐ Goals of the Partnership and its activities include priorities and interests of the Widening Countries (if yes pleased describe these priorities)

☐ Calls for proposals include incentives to involve partners from the Widening Countries (if yes please specify the planned measures) (option: N/A should be added)

☐ Call selection criteria prioritises projects involving the Widening Countries (if yes please specify) (option: N/A should be added)

☐ Dedicated activities are organised/planned in order to involve research or stakeholder communities in the Widening Countries (if yes please describe the planned measures)

☐ Other - please specify


19. Please provide additional details to the measures you have selected above:

20. Have you established synergies in co-financing the Partnership from Cohesion Policy Funds?

   ☐ Yes
   ☐ No

21. How will you use the Cohesion Policy Funds within the EP participation? (More than one option can be chosen) Only shown if "yes" in question 20.

   ☐ increase allocation for funding projects
   ☐ purchase or usage of R&I Equipment funded by Cohesion Policy Funds
   ☐ access to R&I infrastructures (ESFRI and/or ERIC and/or National and Regional R&I Ecosystems) through purchase of R&I services
   ☐ Other - please specify

[Box to write additional details]
22. What is the administrative solution undertaken to allow for synergy between Cohesion Funds and the EP funded within the EU Framework Programme?

Only shown if "yes" in question 20.

23. Has the availability of Cohesion Policy Funds addressed to national/local priorities oriented your decision to participate in the EPs?

- Yes
- No

Only shown if "yes" in question 20.

24. If Cohesion and Policy Funds was available to you, how would it reinforce your participation in the EP? (More than one option can be chosen)

- [ ] increase allocation for funding projects
- [ ] human resources development
- [ ] purchase of R&I Equipment
- [ ] access to R&I infrastructures (ESFRI and/or ERIC and/or National and Regional R&I Ecosystems)
- [ ] measures for supporting follow up and market deployment of R&I results
- [ ] Other - please specify

Only shown if "no" in question 20.
25. Do you have other comments referring to your organisation’s participation in the EPs?


26. Are you interested in receiving information about the results of this survey?
   ○ Yes
   ○ No

Thank You!

Thank you for participating in this ERA-LEARN survey. For any questions or comments, please contact Malwina Gębalska, National Science Centre, Poland email: malwina.gebalska@ncn.gov.pl. A confirmation has been sent to the email address you have provided at the beginning of this survey.

Your answers have been saved and you can close this window.
Imprint

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