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## **Assessment of NOVEL Approaches to Alignment**

**Case Study No.2 – ERA-NET Cofund ‘The European network for observing our changing planet’ (ERA-PLANET)**

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**Lead contractor for this deliverable:** AIT

**Contributors:** MIUR, UNIMAT, INRA



## ABSTRACT

This case study examines the key features, outputs as well as the overall strengths and limitations of the **ERA-NET Cofund action named ‘The European network for observing our changing planet’ (short: ERA-PLANET)**. The main activity within **ERA-NET Cofund actions** is the **implementation of a co-funded joint call** for proposals that leads to the funding of trans-national research and/or innovation projects. The ERA-Planet is supported by the European research organisations of the Copernicus network and the Group on Earth Observations. **The unique character of ERA-Planet is that national programmes and funding stems from institutional in-kind of 36 research performing organisations.** Together, they organise one joint call with a call budget of 61 Mill EUR.

The case shows the following **strengths** of this novel approach in ERA-NET Cofund actions:

- Pooling established research performers in earth observation within ERA-Planet to have an impact on European Environment Policies
- Within ERA-Planet, a partial alignment of the research strategy by research performers and binding commitment of funding joint projects could be reached
- ERA-Planet supports transnational alignment of institutional research funding and the implementation of joint research
- ERA-Planet demonstrates that the allocation of large budgets in in-kind ERA-NET Cofund actions are possible

However, limitations of this new approach could also be found based on the proposal phase and the starting phase of ERA-Planet:

- Proposal preparation for in-kind ERA-NET Cofund action was time-consuming as it was the first ERA-NET Cofund of this type and many framework conditions and processes within the research organisations had to be defined
- 67% of national institutional in-kind are difficult to guarantee for some research performing organisations
- Limited knowledge at the national ministries on in-kind ERA-NET Cofund actions hinders application process

ERA-Planet demonstrates that an in-kind ERA-NET Cofund can be applied for by research performing organisations. However, ERA-Planet has only started to become operational in 01/2016. A real assessment of strengths and weaknesses can only be done later. Even though ERA-Planet could serve as a showcase for research alliances that want to trigger joint research implementation (with or without Cofunds)

The ERA-Planet case is addressed to the following reader groups:

- **Coordinators of P2P** who aim to assess the potential of aligning national research funding at the level of research performers (Universities, Research and Technology Organisations) against the P2P aims
- **Scientific directors of research performing organisations** who aim to learn about the opportunities to align institutional in-kind funding on transnational level and receive EC Top-up funding
- **Coordinators of national research programmes at RTDI ministries** who aim to become aware of the potential of national research programmes alignment in research performing organisations
- **Policy makers at the European Commission** who aim to learn about how to support transnational alignment of institutional in-kind in the future

The case study builds on the ERA-LEARN 2020 “Definition and Typology of Alignment”, and relies on a review of existing literature and targeted interviews. The case is part of a series investigating NOVEL approaches towards alignment of research performing organisations across Europe in research funding and research implementation.

## ACKNOWLEDGEMENTS

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## 1. Introduction

This case study examines the key features, outputs and overall strengths and weaknesses of a specific alignment modality, namely the ERA-Planet (Long Title: The European network for observing our changing planet). **ERA-Planet is an ERA-NET Cofund action** (for definition see Annex 1) **with a novel approach: it is an exceptional case because Member States contribution is institutional in-kind funding of national research performing organisations** (e.g. universities, Research and Technology Organisations) in the field of earth observation.

### Facts

**Title:** ERA-NET Cofund 'The European network for observing our changing planet' (ERA-Planet)<sup>1</sup>

**Partners:** 35 research performing organisations from 16 countries, 3 new partners under evaluation (see Annex 2)

**Coordination:** Italian National Research Council (CNR), Institute of Atmospheric Pollution Research, IT

**Call Budget:** 61 Mill EUR (50 Mill EUR national in-kind contribution and 11 Mill EUR EC Top-up)

**Call Management:** One call with four topics, two-stage call, one project per topic will be funded

**Duration:** 01/01/2016 - 31/12/2020 (5 years)

ERA-Planet has only started its activities in 2016. This case study describes the preparation phase of the joint call. This includes the consortium building during the proposal phase, the development of a joint call management, the development of a suitable funding model and the establishment of an appropriate governance structure.

Considering the potential of alignment of research funding available in research performing organisations, other P2P networks can learn from the analysis of key activities, first outputs, strengths and limitations of ERA-Planet.

## 2. Key features of the ERA-Planet

### 2.1 Objectives, activities and expected impact of ERA-Planet

ERA-Planet was initiated by two networks of the earth observation community: (1) the European members of the Group on Earth Observations (GEOs) and (2) the Copernicus network. The overarching objective of ERA-PLANET is to strengthen the European Research Area in the domain of earth observation in coherence with the participation to Group on Earth Observation and the Copernicus network.

The **specific objectives** of ERA-Planet with respect to alignment are:

- to **coordinate national research programmes for an effective transfer of knowledge** for the benefit of scientists, policy makers, business and society at national and European level
- to **align national and international research programmes** (e.g. contribute to the next Strategic Plan of the Group on Earth Observations 2016-2025)
- to **coordinate the European research performing organisations** in earth observation to reinforce the European role in international GEO network

**Activities within** ERA-PLANET are:

- to **prepare and launch a two-stage joint transnational call** structured along four call topics
- to **fund 4 projects** according to a priority list set by external experts
- to **monitor funded projects** and to report progress accordingly
- to **develop a strategic research agenda to reinforce the ERA** and to coordinate the cross- and inter-cooperation of European and national programmes in both key and selected earth observation domains.

**Expected impacts** of ERA-Planet are:

- **strengthen** the European leadership within the forthcoming GEO 2015-2025 Work Plan
- **coordinate and integrate** major European research and innovation programmes on earth observation
- **maximise** value and benefits of earth observation spending through the improvement of shared architectural components and related information infrastructures
- **foster** a wider exploitation and use of information derived from earth observation for the benefit of citizen's daily life

<sup>1</sup> <http://eraplanet.meteo.noa.gr>

- **support** effective implementation of environmental policies
- **improve and select** effective environmental indicators for different end-users

## 2.2 Consortium building and proposal development for ERA-Planet

As ERA-Planet followed a novel approach using an ERA-NET Cofund action with Member States contribution in form of institutional in-kind, a critical step was to attract research performing organisations to join the ERA-Planet. According to the coordinators experience, it was quite problematic to attract and convince research performing organisations to participate in this new type of joint action. During the preparation phase of the proposal, **four main challenges** needed to be addressed:

1. **Agreement on four research topics:** The scientific directors of the research performing organisations needed to find agreement on four call topics, starting from eight topics. Already funded topics by H2020 or by other transnational networks were avoided. For the research performing organisations, the four research topics were essential to decide on their participation of the ERA-Planet. The final call topics had a broad scope to meet every partners expectations and needs (Smart Cities and Resilient Societies, Resources Efficiency and Environmental Management, Global Changes and Environmental Treaties, Polar Areas and Natural Resources). The discussion on call topics was intensive and time-consuming and took about one year.
2. **Understanding of the financial mechanisms** in ERA-NET Cofund actions: The active researchers and the scientific directors of research performing organisations needed to understand the functioning and the financial mechanisms of the in-kind ERA-NET Cofund action. This took time for the coordinator as well as for the partner.
3. **Receiving the mandate to participate in ERA-NET Cofund action:** The European Commission allows programme owners (mainly national ministries) and programme managers (mainly research funders) to participate in ERA-NET Cofund actions. If research performers are partners in an ERA-NET Cofund action, they are considered to be programme managers. ERA-NET Cofund rules define, that each programme manager who participates in an ERA-NET Cofund needs an official mandate of the respective programme owner. Research performers in ERA-Planet needed an official mandate letter from their respective national ministries (mainly national science ministries). According to the coordinators experience, some national ministries were not familiar with this novel approach in ERA-NET Cofund actions (although national contact points should be) and had difficulties to understand this approach and give an appropriate, correct and complete mandate to the research performing organisations. It was a tremendous effort of the participating research performers and the proposal coordination team to provide national ministries with the necessary information and finally provide the mandate letter. It took time to review mandates at the coordinators level and EC level, some mandates needed to be revised. Spending this time and effort was certainly one of the success factors to eventually develop a comprehensive proposal of 35 partners. However, some research performing organisations were still not able to participate because they were not able to get the mandate from their national authorities.
4. **Guarantee the national funding:** For some research performing organisations, e.g. universities, it was difficult to guarantee and demonstrate the national research budget (67% of the call budget is national research funding, only 33% come from the EC), e.g. due to annual budget plans. Internal process of research performers needed adaptation to participate in ERA-Planet. According to coordinators experience, especially smaller research performers had difficulties to guarantee the national Cofund. Large public research organisations were less affected by this problem.

The proposal preparation was started about a year before the submission deadline. Preparation time was suitable and needed. In the following, the steps and milestones in the proposal preparation phase are described.

- Three coordinating meetings took place targeting these aims:
  - 1. Meeting: Information meeting and collection of interested research performing organisations
  - 2. Meeting:
    - Preparation of communication material (website, leaflet) to publish the intention to have an in-kind ERA-NET Cofund action to the earth observation community and attract additional partners for the ERA-Planet

- Building a 'management and writing team' of four experts for the proposal (coordinators+3 others)
  - 3. Meeting: Final consensus building on the four research topics
- Officials of the European Commission were present in all meetings, their presence was essential, because they provided clarification on the financial mechanisms
- Coordinator had a close look on all interested research performing organisations and only selected reliable partners

The governance structure and the management of ERA-Planet follow standard modes (for details see Annex 3 and Annex 4).

The ERA-Planet partners decided to open the possibility for new partners to get in because the goal is to assure a wide representation of European research performers, expertise and countries. For the time being (status June 2016), the eligibility of three new partners is checked. New partners are eligible to EU top up funding, these new partners are regular partners so have the same rights and possibilities of other partners.

### **2.3 Call Management and Project types**

**Main features of the Call Management in ERA-Planet** (for details see Annex 5)

- One call text with four call topics
- Two-stage evaluation procedure
  - Stage 1: evaluation by Steering Committee of ERA-PLANET (which comprises all WP Leaders and the Coordinator) with support of External Experts
  - Stage 2: Independent expert evaluation managed by an independent evaluation agency
- The expert evaluation will be conducted by an independent evaluation agency, which will be selected by a tendering process (national or European research evaluation agency)
- Time to contract is 14,5 months

#### **Insight: Selection of the Independent Evaluation Agency**

- Preparation of the tender for the selection of the Independent Evaluation Agency (IEA) by the WP Leader in charge of the Call. The text of the Call has to be approved by the Steering Committee of ERA-PLANET (which comprises all WP Leaders and the Coordinator).
- Approval of the tender to be launched by the General Assembly (all ERA-Planet partners)
- Launch of the tender by one WP Leader following standard public rules for public procurement (budget indication about 40,000 EUR) and report to the General Assembly on the IEA candidates
- General Assembly will select the IEA
- WP Leader will prepare the contract for the IEA
- Tasks of the IEA:
  - Management of all tasks related to proposal submission during the two-stage submission and selection process
  - Selection of the reviewers' panels from the EC central data base for the evaluation of the proposals related to the four topics
  - Ensuring composition of the consortia is in line with the EU regulations (e.g., that at least two independent entities from two different EU Member States or Associated Countries are members)
  - Ranking of the proposals submitted for each topic
- Submission of the evaluation report for each submitted proposal to the Steering Committee.
- The process to launch a tender for an IEA takes at least 6 months

#### **Projects in ERA-Planet**

The aim of the transnational call is to fund one project per research topic, in total are four projects funded. Project size is expected to be 12-15 Mill EUR (including EC Top-up funding). Projects need to add value to the respective research topic, especially support the implementation of the GEO work plan, and need to be ambitious, high level, innovative, transnational and multi-disciplinary. Due to the specialties of the ERA-NET

Cofund or transnational calls in general, proposal development will certainly be more difficult than in H2020 (e.g. limited choice of partners, limited funding for each partner, display of institutional in-kind in a specific form dedicated to EC requirements).

## **2.4 Funding Model and Common Pots**

### **Call budget**

The call budget is 61 Mill EUR (50 Mill EUR institutional in-kind contribution of the research performers and 11 Mill EUR EC Top-up). In the proposal for the ERA-NET Cofund action, the in-kind contribution was presented already, generally supported by the mandate of programme owners to the research performers. However, within the negotiation phase of the four selected projects, all partner need a certified statement that they are able to provide the in-kind contribution for the project.

### **Coordination and Management Costs**

Coordination and management costs are not eligible in ERA-NET Cofund actions. Within the consortium agreement, all partner agreed to take 4% (440,000 EUR) from the EC-Top-up for coordination of the ERA-Planet.<sup>2</sup> However, the coordination and management costs in the proposal phase are not covered.

### **Common Pots**

In all ERA-NET Cofund actions, the partners need to agree on a funding mode of the transnational call, meaning the way in which to fund the projects. At first, they must agree on the way national funding is distributed. Usually, each ERA-NET Cofund partner funds their own participant; this is called virtual common pot. Additionally, partners need to agree how to share the EC Top-up funding. Some ERA-NET Cofunds agree to a real common pot, others agree to distribute the EC Top-Up funding proportionally to the national funding (virtual common pot). In ERA-Planet, it is planned to work with a virtual common pot for EC Top-up funding: 100% of Top-up funding is distributed in proportion to national in-kind. For each project submitted to the 2. stage of the call, the national funding must be guaranteed, meaning it is not possible that a partner runs out of national funding. This allows EC Top-up funding to be best put in a virtual common pot.

### **Contracts**

The ERA-Planet partners have concluded a regular H2020 grant agreement with the EC for the ERA-Planet. This grant agreement includes rules of project evaluation, reporting requirements and the maximal EC top-up funding for transnational projects. Apart from that, the ERA-Planet partners have concluded a Consortium Agreement regulating the activities in ERA-Planet. Winning projects will negotiate the grant agreement with the ERA-Planet. Additionally, consortium agreements have to be concluded within projects.

## **3. Principal joint actions and outputs of ERA-Planet with respect to alignment**

The official start of ERA-Planet was January 2016. Figure 1 illustrates the alignment outputs of ERA-Planet according to the stages of the research programming cycle (developed in the alignment typology in ERA-LEARN 2020<sup>3</sup>) and thereby shows that the ERA-Planet is a well-suited action to align transnational activities on the level of research funding and implementation.

Joint Actions and outputs in ERA-Planet with respect to alignment are:

- Identification of four call topic interesting for 35 research performers
- Development of a call management process for an in-kind ERA-NET Cofund and launch a two-stage joint transnational call structured along four call topics
- Development of funding model pooling national budgets from research performers with EC Top-up funding
- Funding and implementation of four transnational research projects according to a priority list set by external experts with a planned volume of 61 Mill EUR
- To monitor funded projects and to report project progress in a common mode

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<sup>2</sup> For administrative reason the amount of coordination cost taken away from the EC Top-Up will be replaced by national budget to meet the requirement of max. 33% reimbursement of project costs by the EC.

<sup>3</sup> ERA-LEARN 2020 (2015): Deliverable 4.1- Report on the Definition and Typology of Alignment. [https://www.era-learn.eu/alignment/definition-typology/D4.1\\_ReportontheDefinitionandTypologyofAlignment\\_INRA\\_final\\_Nov2015.pdf](https://www.era-learn.eu/alignment/definition-typology/D4.1_ReportontheDefinitionandTypologyofAlignment_INRA_final_Nov2015.pdf)

- To develop a strategic research agenda to reinforce the ERA and to coordinate the cross- and inter-cooperation of European and national programmes

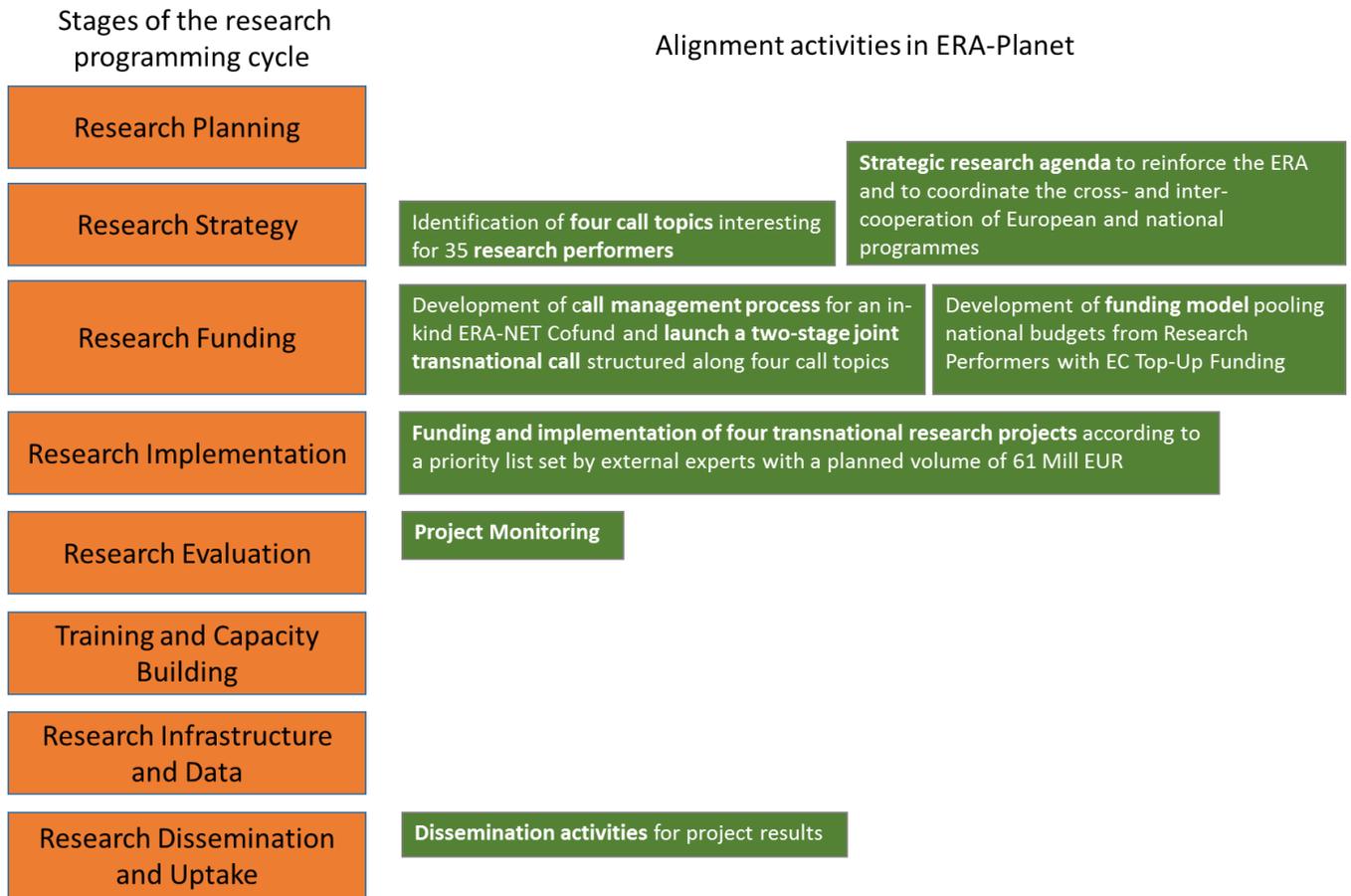


Figure 1 Alignment at different stages of the research programming cycle in ERA-Planet, own compilation

Beyond that, preliminary outputs of ERA-Planet can be described as follows:

- The EC was open to support this ‘experiment’ to provide EC Top-up funding under an ERA-NET Cofund action on the basis of national institutional in-kind, although the ERA-NET Cofund action is originally designed for a transnational call financed by research funding agencies. Additionally, the EC was supportive in the proposal development phase to make the mechanisms in ERA-NET Cofund actions understandable to the research performers.
- The establishment of the cooperation between high level scientific directors of large European research performers and the agreement on joint call topics is one step towards alignment. The partnership could be basis for the continuation of joint research activities or could be extended in the future towards other joint actions.
- The development of a sophisticated call management and evaluation process of projects in an in-kind ERA-NET Cofund action acceptable by the scientific directors could serve as an example for future calls (also within other networks).
- Reaching an agreement between scientific directors of the research performers to go through an external evaluation process for their internal projects to assure a high quality of projects is an achievement of ERA-Planet.
- Projects in ERA-Planet are intended to be large (12-15 Mill EUR), because only one project per call topic will be funded. Projects can go beyond pure joint research actions and integrate summer schools, training, mobility of researchers, share joint infrastructure, collect new data etc. The project design is up to the project consortium.

#### 4. Overall strengths and key achievements of this instrument with respect to alignment

This part summarises the strengths and achievements of the ERA-Planet with respect to alignment.

##### ***Alignment of research funding and joint research implementation***

The ERA-NET Cofund action is a tool that supports alignment of research funding and joint research implementation. The ERA-Planet showed that the ERA-NET Cofund action can go beyond the alignment of research funding stemming from research funding organisations, but can also be used as a tool to align institutional research funding at research performers level. This experiment may stimulate other research alliances active in P2P to use this tool (e.g. European Energy Research Alliances or Urban Europe Research Alliance).

##### ***Large budgets in in-kind ERA-NET Cofund actions possible***

National contribution of research performers in ERA-Planet is 50 Mill EUR. EC Top-up available is about 11 Mill EUR. The national budgets could release an even higher EC Top-up. ERA-Planet reveals that research performers are able to mobilise much more research funding for alignment than research funding organisations do in average (e.g. in comparison to the call budgets in Joint Programming Initiatives).

##### ***Alignment of parts of the research strategy of research performers and binding commitment of funding joint projects***

Scientific directors of research performers agree on four joint research topics, which means they align part of their research strategy and interests in the future, which is already one of the outputs. Additionally, they commit to fund joint research based on institutional in-kind contributions.

##### ***Impact on European Environmental Policy and its Implementation***

ERA-Planet intends to have an influence on the European Research Strategy on Earth Observation and an impact on European Environmental Policies, while joining forces on the transnational level and coordinate research and policy needs. Additionally, the aim of ERA-Planet is to increase the impact of European Environmental Policies on global level.

#### 5. Overall limitations of this instrument with respect to alignment

This part summarises the limitations and challenges of the ERA-Planet with respect to alignment.

##### ***Proposal preparation for in-kind ERA-NET Cofund action is time-consuming***

According to ERA-Planet coordinator, the preparation of an ERA-NET Cofund proposal takes time, because the research performing organisations need to understand the framework and functioning of the in-kind ERA-NET Cofund action as this is an exceptional case. Proposal development took about one year and needed an engaged coordinator and management team. However, the coordination costs for proposal development must be shared among partners.

##### ***ERA-NET Cofund is only one instrument for alignment and it is limited to alignment of research funding and implementation***

Considering alignment actions of research performing organisations along the entire research programming cycle, the in-kind ERA-NET Cofund are only one of many tools to support alignment. It is focused on the alignment of research funding and joint research implementation, but it supports the development of research strategies or knowledge transfer activities only to a limited extent. The focus of an ERA-NET Cofund action is the funding of joint projects. Only in the context of so-called 'additional activities' strategic development or extended knowledge transfer activities can take place.

##### ***For some research performing organisations, 67% national institutional in-kind are difficult to guarantee***

The ERA-NET Cofund offers a 33% reimbursement. However, for some research performers this share of reimbursement is not very attractive as national funding agencies or H2020 provides up to 100% reimbursement. Additionally, some performers, especially universities, have difficulties to guarantee the national funding (67%) due to internal administrative procedures and budget time-plans. Some research performers were not able to participate in ERA-Planet, because national processes were not supporting ERA-NET Cofund actions (see Section 2.2).

##### ***Limited knowledge of in-kind ERA-NET Cofund actions at the national ministries***

The in-kind ERA-NET Cofund action is an exceptional case. During the proposal phase, it revealed that National Contact Points at national ministries were sometimes not aware of this exceptional case. Specific knowledge was not available and support for applications was very limited. Due to little national support, it was difficult for some research performers to join the ERA-Planet. In these cases, the coordinator of the ERA-Planet provided additional

information and supported the research performers. However, support from external organisations is no substitute for the support of National Contact Points.

## **6. Conclusions: Key success factors of ERA-Planet and transferability to other P2Ps**

This part summarises the success factors in developing the ERA-Planet. The success factors are described in a way they can serve as lessons learnt and transferred to other P2Ps.

### ***Balancing openness to partners across Europe but also ensuring the selection of reliable partners***

The preparation of communication material (leaflet, website, conferences, etc.) to publish and promote the in-kind ERA-NET Cofund action on earth observation helped to build a network of 35 research organisations with a national institutional budget of 50 Mill EUR. However, the coordinator of ERA-Planet was selective in the choice of partners. Only reliable partners could join the 'experiment'. Balancing openness towards additional partners on the one hand, and select reliable partners on the other hand, was a way towards a successful proposal for ERA-Planet within one year.

### ***Support from EC officials in the proposal phase***

The EC officials were very important in the preparation phase of the proposal, because they provided clarification on the financial mechanisms of ERA-NET Cofund actions. Especially research performers who had no strong support from their national ministries in understanding the ERA-NET Cofund actions benefited from the support of the EC (and the coordinator).

### ***Building a strong coordination team***

The ERA-Planet proposal could be developed within one year due to a strong and reliable coordination team. Moving from a coordinator to a coordination team was an essential step to manage the preparation work of the ERA-Planet. As the costs for proposal coordination are not covered, the coordination team had to ensure sufficient in-kind resources. Since the ERA-Planet become operational, coordination costs are covered by the consortium via EC Top-up funding.

## REFERENCES

### Literature

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European Commission (2016) : General Annexes to the Work Programme 2016/17 and additional specific provisions for ERA-NET Cofund. [http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2016-](http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2016-2017/annexes/h2020-wp1617-annex-ga_en.pdf)

[2017/annexes/h2020-wp1617-annex-ga\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2016-2017/annexes/h2020-wp1617-annex-ga_en.pdf) and [http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2016\\_2017/annexes/h2020-wp1617-annex-d-eranet-cofund\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2016-2017/annexes/h2020-wp1617-annex-d-eranet-cofund_en.pdf)

### Presentations

Presentations at the Kick-Off Meeting: <http://eraplanet.meteo.noa.gr/index.php/event/kickoff-meeting/>

### Consulted websites

ERA-Planet: <http://eraplanet.meteo.noa.gr/>

Group on Earth Observations <https://www.earthobservations.org/index.php>

Copernicus: <http://www.copernicus.eu/>

### Interviews

PIRRONE, Nicola, CNR, ERA-Planet Coordinator, interview 2016-05-25

### **ANNEX 1: Description of ERA-NET Cofund actions**

The European Commission (EC) supports the achievement and functioning of the European Research Area (ERA). ERA-NET Cofund actions under H2020 are designed to support public-public partnerships (P2Ps) in coordination of joint activities. The main and compulsory activity within **ERA-NET Cofund** actions is the **implementation of the co-funded joint call** for proposals that leads to the funding of trans-national research and/or innovation projects (one co-funded call per Grant Agreement). EC programme cofunds (also called EC Top-up funding) are given to enable Member States **to align their national funding to implement joint research**. The reimbursement rate for ERA-NET Cofund is 33%, meaning the EC provides 1 EURO EC Top-up funding for each 2 EURO provided on national level for transnational research and innovation projects. ERA-NET Cofund actions allow for national programme collaboration in any part of the entire research-innovation cycle.

For more information see:

[http://ec.europa.eu/research/era/era-net-in-horizon-2020\\_en.htm](http://ec.europa.eu/research/era/era-net-in-horizon-2020_en.htm)

<https://www.era-learn.eu/manuals-tools/p2p-in-h2020>

**ANNEX 2 Partners in ERA-Planet**

Country	Affiliation	Acronym
AT	INTERNATIONALES INSTITUT FUER ANGEWANDTE SYSTEM ANALYSE	IIASA
CH	PAUL SCHERRER INSTITUT	PSI
CH	UNIVERSITE DE GENEVE	UNIGE
CZ	USTAV VYZKUMU GLOBALNI ZMENY AV CR VVI	UVGZ
CZ	MASARYKOVA UNIVERZITA - RESEARCH CENTRE FOR TOXIC COMPOUNDS IN THE ENVIRONMENT	MU
DE	ALFRED-WEGENER-INSTITUT HELMHOLTZ- ZENTRUM FUER POLAR- UND MEERESFORSCHUNG	AWI
DE	FRIEDRICH-ALEXANDER-UNIVERSITAT ERLANGEN NURNBERG	FAU
DE	FORSCHUNGSVERBUND BERLIN E.V.	FVB
DE	FORSCHUNGSZENTRUM JÜLICH GMBH	FZJ
DE	HELMHOLTZ-ZENTRUM POTSDAM DEUTSCHES GEOFORSCHUNGSZENTRUM	GFZ
DE	HELMHOLTZ-ZENTRUM GEESTHACHT ZENTRUM FÜR MATERIAL- UND KÜSTENFORSCHUNG	HZG
DE	MUSEUM FÜR NATURKUNDE - LEIBNIZ-INSTITUT FÜR EVOLUTIONS- UND BIODIVERSITÄTSFORSCHUNG AN DER HUMBOLDT-UNIVERSITÄT ZU BERLIN	MfN
DE	SENCKENBERG GESELLSCHAFT FÜR NATURFORSCHUNG	SGN
DE	LEIBNIZ INSTITUT FUER TROPOSPHAERENFORSCHUNG e.V.	TROPOS
DE	HELMHOLTZ-ZENTRUM FUER UMWELTFORSCHUNG GMBH	UFZ
DK	AARHUS UNIVERSITET	AU
EE	EESTI MAAULIKOOL	EULS
ES	CENTRO NACIONAL DE INFORMACION GEOGRAFICA	CNIG
ES	CENTRO DE INVESTIGACION ECOLOGICA Y APLICACIONES FORESTALES	CREAF
FI	ILMATIETEEN LAITOS	FMI
FI	HELSINGIN YLIOPISTO	UHEL
FR	CENTRE NATIONAL DE LA RECHERCHE SCIENTIFIQUE	CNRS
GR	IDRYMA IATROVIOLOGIKON EREUNON AKADIMIAS ATHINON	AoA
GR	ARISTOTELIO PANEPISTIMIO THESSALONIKIS	AUTH
GR	NATIONAL CENTER FOR SCIENTIFIC RESEARCH "DEMOKRITOS"	NCSR
GR	NATIONAL OBSERVATORY OF ATHENS	NOA
IT	CONSIGLIO NAZIONALE DELLE RICERCHE	CNR
IT	ISTITUTO SUPERIORE PER LA RICERCA AMBIENTALE	ISPRA
IT	UNIVERSITA DELLA CALABRIA	UNICAL
IT	UNIVERSITA' DEGLI STUDI DI PADOVA	UNIPD
RO	ROMANIAN SPACE AGENCY	ROSA
SE	CHALMERS TEKNISKA HOEGSKOLA AB	CHALMERS
SE	IVL SVENSKA MILJÖINSTITUTET AB	IVL
SE	STOCKHOLMS UNIVERSITET	SU
SI	JOŽEF STEFAN INSTITUT	JSI
UA	SPACE RESEARCH INSTITUTE	SRI

### ANNEX 3 Governance Structure in ERA-Planet

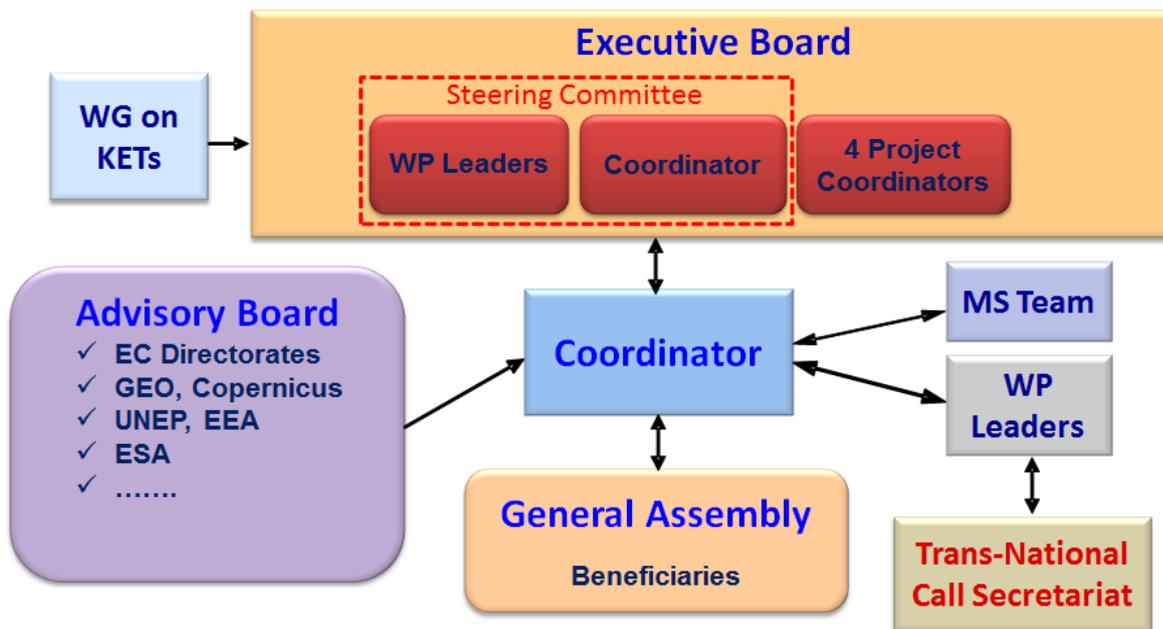


Figure 2 Governance Structure in ERA-Planet

Source : ERA-Planet Presentation at the Kick-Off Meeting

#### General Assembly

Shall consist of the Coordinator, a co-Coordinator and of one representative of each Party  
Decision making body responsible for the overall direction and follow-up of the Consortium Agreement

#### Executive Board

Shall consist of the Coordinator, the co-Coordinator, the Work Package Leaders and co-Leaders, Programme Owners and, once approved, the Trans-national Project coordinators

Proposes on key issues on policy objectives, dissemination strategy and resource allocation.

#### Advisory Board

Shall consist of the Coordinator, a co-Coordinator and representatives of European Commission Directorates-General and services, of other European interest organisations

Shall provide non-binding strategic advice to the management of the project

- Review the quality and relevance of the scientific and technical information being used by the project;
- Review Trans-national Projects;
- Provide science advice as requested by the Project coordination.

#### Joint Call Secretariat

Is appointed and chaired by one Work Package Leader

Shall lead the coordination and management activities regarding the Joint Call

- Manage the Call for the selection of the Independent Evaluation Agency (IEA),
- Submit to and receive from the Executive Board a feedback on the IEA selection;
- Make sure that the IEA execute the management of the Joint Call for Projects,
- Prepare reports on its activity;
- Assist the four selected consortiums (and their coordinators) in the negotiation phase of the projects.

#### Coordinator

- Is the legal entity acting as the intermediary between the Parties and the European Commission
- Shall perform all tasks assigned to it as described in the Grant Agreement and in the Consortium Agreement

Management Support Team

- Is appointed and chaired by the Coordinator
- Shall manage day-by-day activity of the Consortium and maintain contacts with Work Package Leaders, European Commission, the Coordinators of the four funded projects

Work Package and Task Leaders

- Shall manage the whole Work Package in coordination with the different Task Leaders and ensure full coverage of the Work Package activities

### ANNEX 4 Management of ERA-Planet in Work Packages

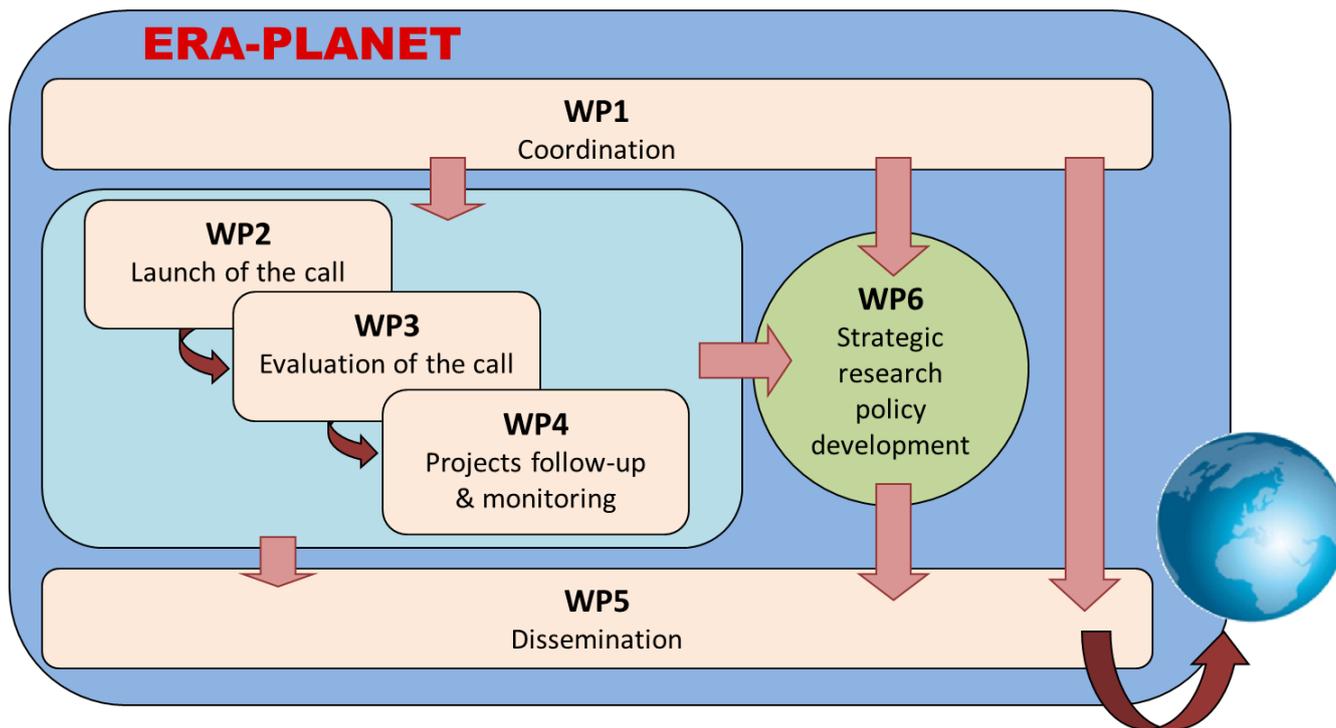


Figure 3 Management of ERA-Planet in Work Packages

Source : ERA-Planet Presentation at the Kick-Off Meeting

## ANNEX 5 Call Management in ERA-Planet

Table 1 Call Management in ERA-Planet

ERA-Planet call management	
<b>Call Text and documents</b>	Call text is written by all WP leaders in ERA-Planet General Assembly approves the call text
	One WP Leader will prepare all relevant information on the evaluation
<b>Call Opening and submission of Pre-Proposals</b>	Call will be published on the website and promoted within the research performing organisations
	Pitch meeting for research performing organisations and special sessions at conferences
	Pre-proposals are a short mapping of ideas, 3-4 pages focusing on the expertise and major ideas and provide an overview of new topics emerging at the European level Preliminary budget indication
	Call is open for 3 months
<b>Stage 1 Evaluation</b>	Many proposals per topic are expected
	Pre-proposals will be reviewed and prioritised by ERA-Planet Coordinator + WP leaders+ external experts
	Evaluators favour partners to merge ideas Invitation to major consortia to prepare full-proposals, also new partners are allowed Only pre-proposals where all entities are eligible for funding under the national programmes involved are invited to Stage 2.
	Evaluation takes 3,5 months
	Only after evaluation of stage 1, budget availability per topic will be indicated
<b>Cash-Call for full proposals</b>	Call for full-proposal submission
	Call open for 4 months
<b>Selection of external experts</b>	A detailed guide for proposals evaluation will be prepared by the WP Leader in ERA-Planet for the Independent Evaluation Agency
	Independent Evaluation Agency selects external experts for evaluation
<b>Stage 2 Evaluation</b>	Only few, at least one proposal per topic is expected
	Eligibility check is shared responsibility of ERA-Planet coordinator and WP leader
	Full-proposals will be evaluated and ranked by three external experts, selected by the Independent Evaluation Agency Experts will be selected via the EU expert database Evaluation and ranking of proposals will be based on H2020 criteria
	Stage 2 evaluation takes 4 months
<b>Funding Decision</b>	Funding recommendation according to ranking list will be approved by the General Assembly 4 projects will be funded, one project per research topic