

European Partnerships

Status of preparation

#HorizonEU



Joerg Niehoff, DG RTD, 15 May 2019

Lessons Learned

from Horizon 2020 Interim Evaluation



Support breakthrough innovation



Create more impact through mission-orientation and citizens' involvement



Strengthen international cooperation



Reinforce openness



Rationalise the funding landscape



Key Novelties

in Horizon Europe

European Innovation Council

R&I Missions

Extended association possibilities

Open science policy

New approach to Partnerships



New approach to partnerships: why?

Impact Assessment annex 8-5

- Need to **rationalise** the European R&I partnerships landscape
- Need to improve the **openness** and transparency of R&I partnerships
- Need to **link** the R&I partnerships to future EU R&I missions and/or strategic priorities



New approach to partnerships: why?

Impact Assessment annex 8-5 – current partnership landscape

Partnership approaches	Public-public partnerships (P2P)	Public-private partnerships (PPP)	EIT-KICs*	FET Flagships**
Implementation modes	ERA-NET-Cofund, EJP Cofund, Article 185, Joint Programming Initiative (JPI)	Contractual Arrangement (cPPP) Article 187	H2020 Grant agreements for different types of actions Framework Partnership Agreements (FPA)	
Currently active R&I Partnerships (Horizon 2020)	a) ERA-NETs: ~70 b) EJP Cofund: 5 c) Article 185: 6 d) JPIs***: 10	a) JUs: 7 (+HPC) b) cPPPs: 10	a) KICs: 6 (+ 2 until 2020)	a) FET-Flagships: 2 (+Quantum)
Financial contribution from H2020, estimated)	2.500 M€ (3,1% of H2020 budget)	13.450 M€ (17,5% of H2020 budget)	2.400 M€ (3,1% of H2020 budget)	1.000 M€ (1,3% of H2020 budget)

*EIT-KICs: Knowledge and Innovation Communities (KICs) of the European Institute for Innovation and Technology (EIT)

**FET-Flagships: Flagships of the Future and Emerging Technologies programme (FET)

*** JPIs: Joint Programming Initiatives are no EU level instruments but included here as they receive EU support via ERA-NETs and/or CSAs

European partnerships: overview

New generation of objective-driven and more ambitious partnerships in support of agreed EU policy objectives

Key features

- **More strategic and impact driven**
- **Simple architecture and toolbox**
- **Coherent life-cycle approach**
- **Rationalisation and reform of existing landscape**

Co-programmed

Based on Memoranda of Understanding / contractual arrangements; implemented independently by the partners and by Horizon Europe

Co-funded

Based on a joint programme agreed by partners; commitment of partners for financial and in-kind contributions & financial contribution by Horizon Europe

Institutionalised

Based on long-term dimension and need for high integration; partnerships based on Articles 185 / 187 of TFEU and the EIT-Regulation supported by Horizon Europe

European Partnerships: what is new?

- Deliver on global challenges (SDGs) and industrial modernization, through concerted R&I effort with the Member States, private sector, foundations, other stakeholders
- Only support partnerships if there is evidence that they are **more effectively** achieving policy objectives than traditional calls
- Common and coherent **framework** of criteria along the life cycle of partnerships, across all pillars, even across programmes and other regulations (e.g. EIT, DEP, space)
- Allow a **broader set of actors** to participate
- Unified **umbrella** branding to improve visibility
- **Time limited** with conditions for phasing-out the Programme funding
- Improve **coherence** between partnerships and the rest of Horizon Europe, also the missions, but also with other EU and national initiatives
- Contribute to higher **openness** of Europe's R&I ecosystems

Outcome of inter-institutional negotiations

Main changes compared to COM proposal:

- a) Reduce the minimum participation of MS in Article 185 from 50% to 40%;
- b) Narrow down, for Article 185/7, the scope of financial contributions from partners, their use and the way they are managed;
- c) Ensure access to data on proposals, projects and evaluations for all partnerships, in a common IT tool;
- d) Introduce a capping of budgets for all partnerships in pillar II (majority of budgets implemented with action outside partnerships);

Areas for institutionalised partnerships (Article 185/187) defined in an Annex to the FP regulation.

Strategic coordinating process for partnerships introduced, as part of strategic planning.

European partnerships: provisions

Regulation

- Recitals 16 and 17
- Definition 3
- Article 8
 - typology
 - conditions
- Annex III: Partnerships, with criteria for
 - Selection
 - Implementation
 - Monitoring
 - Evaluation, phasing-out and renewal
- Annex Ia: areas for possible institutionalised European Partnerships (based on Article 187 and 185 TFEU)

Specific Programme

- Article 4a: Identification of co-funded and co-programmed partnerships in the Strategic Plan
- Strategic coordinating process for European Partnerships

Impact assessment: annex 8-5

Horizon Europe documents:

Common understanding on the Framework Programme

<https://data.consilium.europa.eu/doc/document/ST-7942-2019-INIT/en/pdf>

Corrigendum on Annex III :

<https://data.consilium.europa.eu/doc/document/ST-7942-2019-COR-1/en/pdf>

PGA on the Specific Programme:

<https://data.consilium.europa.eu/doc/document/ST-8550-2019-INIT/en/pdf>

Co-funded European Partnerships

- Based on the “programme Cofund action” – Grant Agreement
- Most relevant current types of actions: EJP Cofund, ERA-NET Cofund
- Broad range of activities that can be implemented
- Funding rate: 30%, in justified cases up to 70%
Consideration can be e.g.:
 - Main element financial support to third parties: lower reimbursement rate
 - Main element activities directly implemented by beneficiaries: higher reimbursement rate
- 5-7 years duration
- Implementation based on annual work plans
- Core of partners: programme owners/managers, others in addition
- Important: define for each co-funded ex-ante what types of partners are needed to form the partnerships (consortium), and which ones will be addressed/ involved by the activities implemented (third parties)

In addition: support under the ERA part

Reforming and enhancing the EU Research and Innovation system:

... Such support may take the form of **Coordination and Support Actions** (CSAs) in a **bottom-up and competitive way to support programme level collaboration between research and innovation programmes** of Member States, Associated Countries and civil society organisations such as foundations, on priorities of their choice, with a clear **focus on the implementation of transnational joint activities including calls**. It will be based on **clear commitments from participating programmes to pool resources and ensure complementarity between activities and policies** with those of the Framework Programme and relevant European Partnership Initiatives.

Reminder: Annual event 2017

Options for the future of P2Ps

- Scenario 1: Business as usual
- Scenario 2: Discontinuation
- Scenario 3: Coordinated funding (only CSA support)
- Scenario 4: Joint Funding (only co-funding on selected Union priorities)
- Scenario 5: **Integrated approach (4&5)****
→ Identified as preferred scenario

Scenario 5 in practice (I)

1. Support to Member States to coordinate their programmes and funding:

- Instrument used: Coordination and support actions (CSA), covering only the coordination costs of P2Ps, no cofunding of national programmes;
- Not limited to FP priorities;
- Allowing a broad range of activities;
- One central call per year, ensuring an open, competitive process selecting a limited number of networks per year;
- Creating strong leverage effects on national investments (factor 15-20, based on FP7 experiences) and efficiency gains compared to uncoordinated national funding;
- Flexibility for using implementation modalities and synergies with other Union programmes (ESIF), financial instruments or public procurement.

Scenario 5 in practice (II)

2. Joint funding in support of Framework Programme objectives

- Cofunding of few, selected P2Ps in areas of high relevance for Framework Programme /Union priorities, where co-investments and policy collaboration with MS is necessary to achieve impacts that FP action alone cannot achieve;
- 1 simple and flexible cofund instrument in FP9, applicable also to foundations, instead of 2 now;
- Use of Article 185 only if justified vis-à-vis Cofund: MS need to be fully committed to strong integration over a long period of time; broad political endorsement needed;
- Clear sunset clauses for Union participation to be integrated from the beginning.

Scenario 5 in practice (III)

3. Increase coherence and efficiency of implementation

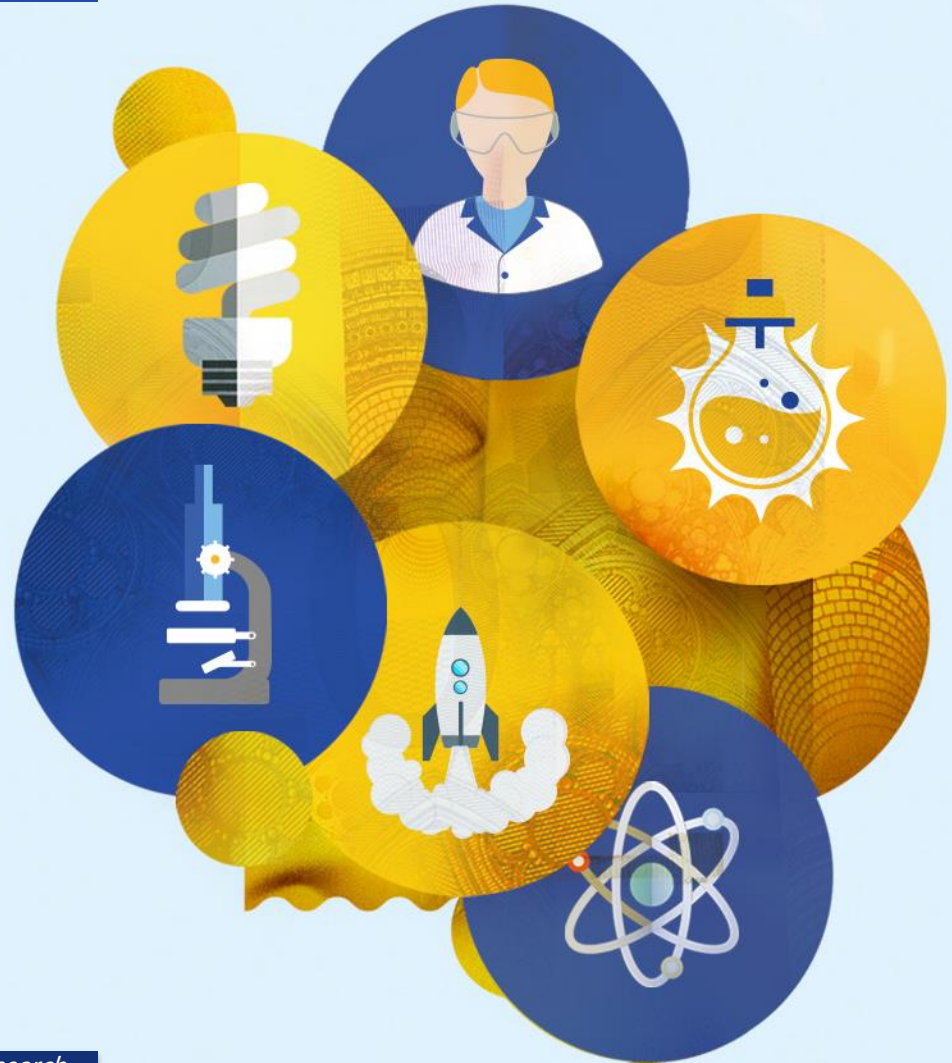
- Rationalise the current landscape of P2Ps towards fewer and broader initiatives;
- Increase coherence between P2Ps, other partnerships and Framework Programme activities, national and European policies;
- Explore broader use of a single set of rules;
- Explore single implementation structure approach;
- Explore more centralised use services (proposal submission and evaluation, grant management);
- Explore integration of project data in eCorda and Cordis;
- Etc.

→ Approach under Horizon Europe (after negotiation) very much in line with the emerging preferred scenario in 2017!

European Partnerships

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Strategic planning and
Strategic coordinating
process for Partnerships



Strategic Planning of Horizon Europe

(...) the implementation of the Specific Programme shall be facilitated by a multiannual Strategic Plan of research and innovation activities, also promoting consistency between the work programmes, EU priorities and national priorities.

- **May 2019** : presentation to the Shadow PC of an orientation document to prepare the web based public consultation by igniting a collective discussion
- **Summer 2019** : web based public consultation on the key drivers of the first strategic plan of Horizon Europe
- **September 2019** : elaboration of a discussion document in view of the co-design sessions of the R&I days
- **24 – 26 September 2019** : R&I days co-design sessions
- **Autumn 2019** : Under the responsibility of the new European Commission, elaboration of the draft implementing act establishing the First Strategic Plan
- **Autumn 2019 – Early 2020** : discussion and adoption of the draft
- **Q1 2020** : Start of the drafting of the Work Programmes Horizon Europe

Context – strategic coordinating process

1.12.2017: Council Conclusions calls on COM and MS to jointly establish a long-term strategic coordinating process

17.05.2018: ERAC recommendations on the requirements for the set-up of a strategic coordinating process, importantly:

*"The strategic coordinating process should function as an **entry point** for setting up new R&I partnerships. It can only be of advisory character providing qualitative input, **without duplicating and circumventing any existing decision making processes at EU and national level**, namely the Commissions' right of initiative, comitology or funding decisions at national level. "*

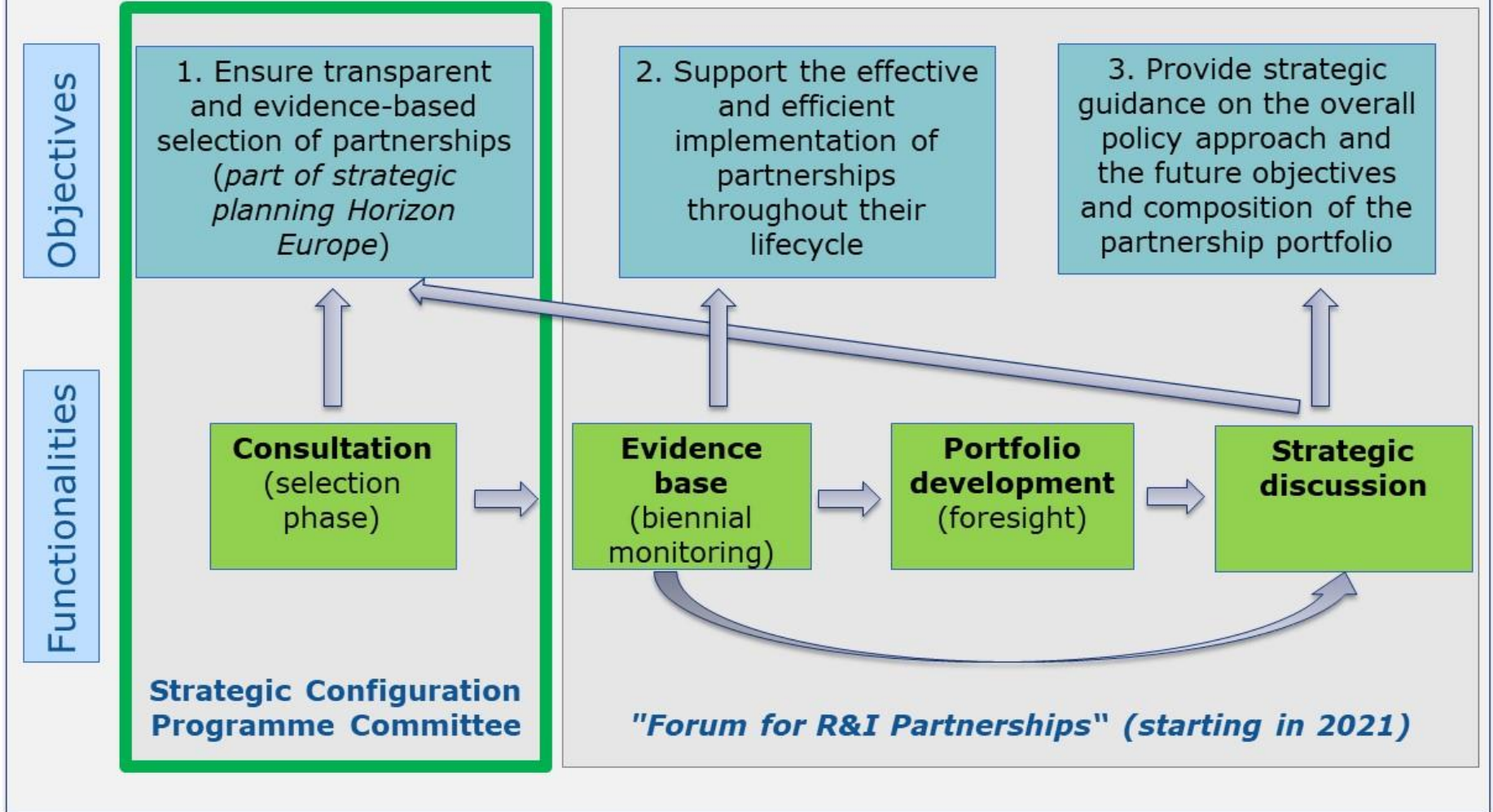
Horizon Europe Regulation (common understanding): general provisions for establishing European Partnerships (recitals, Article 8) and criteria (Annex III) + areas for A187/5 Partnerships (Annex Va)

Specific Programme (PGA): Partnerships and the Strategic Plan (Article 4a):

"The strategic planning process shall be complemented by a strategic coordinating process for European Partnerships, with participation of Member States and the Commission on equal footing. It shall function as an entry point for foresight analysis, analysis and advice on the portfolio development, possible setup, implementation, monitoring and phasing out of R&I partnerships and be guided by a comprehensive criteria framework, based on Annex III of the Horizon Europe Regulation."

Context

Strategic Coordinating Process for R&I Partnerships



Structured MS consultation - process and timeline

- 3 May 2019:** Roadshow in the shadow Strategic Configuration PC, with an overview on all current 44 candidates for European Partnerships identified so far, and short presentations/discussion on those potentially based on Article 185/187;
- 6 May 2019:** Submission of detailed fiches (44) for candidates of European Partnerships to the shadow SPC; Launch of the MS consultation
- 28 May:** Feedback by MS on portfolio and individual (44) candidates
- Early June:** Analysis of feedback by RTD.A and supported by services in charge of the respective candidates, critical points for discussion with Shadow SPC identified
- 13 June:** Submission of draft report to Shadow SPC
- 27 June:** meeting in the shadow SPC with a dedicated point on European Partnerships to **discuss key issues identified**

→ Feedback by 28 May will inform the IA work for Article 185/7 initiatives, adjust the current portfolio and support the preparatory work for all European Partnerships

Rationalisation and reform

ERAC recommendations 6 December 2018: *"ERAC calls on the Commission and Member States / Associated Countries to jointly apply the identified rationalisation strategies, so that from the beginning of the next Framework Programme onwards, fewer, more coherent and strategic R&I partnerships with significant impacts will be achieved."*

Horizon Europe Regulation (common understanding): *"European Partnerships shall be established for addressing European or global challenges only in cases where they will more effectively achieve objectives of Horizon Europe than the Union alone and when compared to other forms of support of the Framework programme."*

- ➔ **Strategic Planning is based on identifying agreed Union priorities, and expected impacts (not activities) that can be translated into priorities for the Strategic R&I plan, including those that are best addressed by a Partnership approach**
- ➔ **COM services started with a much higher number of ideas, condensed as the result of intensive work between DGs**
- ➔ **Continued co-funding of H2020 partnerships not an objective per-se**
- ➔ **ERA part of Horizon Europe allows for CSA support to existing or new collaboration between MS programmes**
- ➔ **Around 25 Cofunds continue until 2023 - 2025**

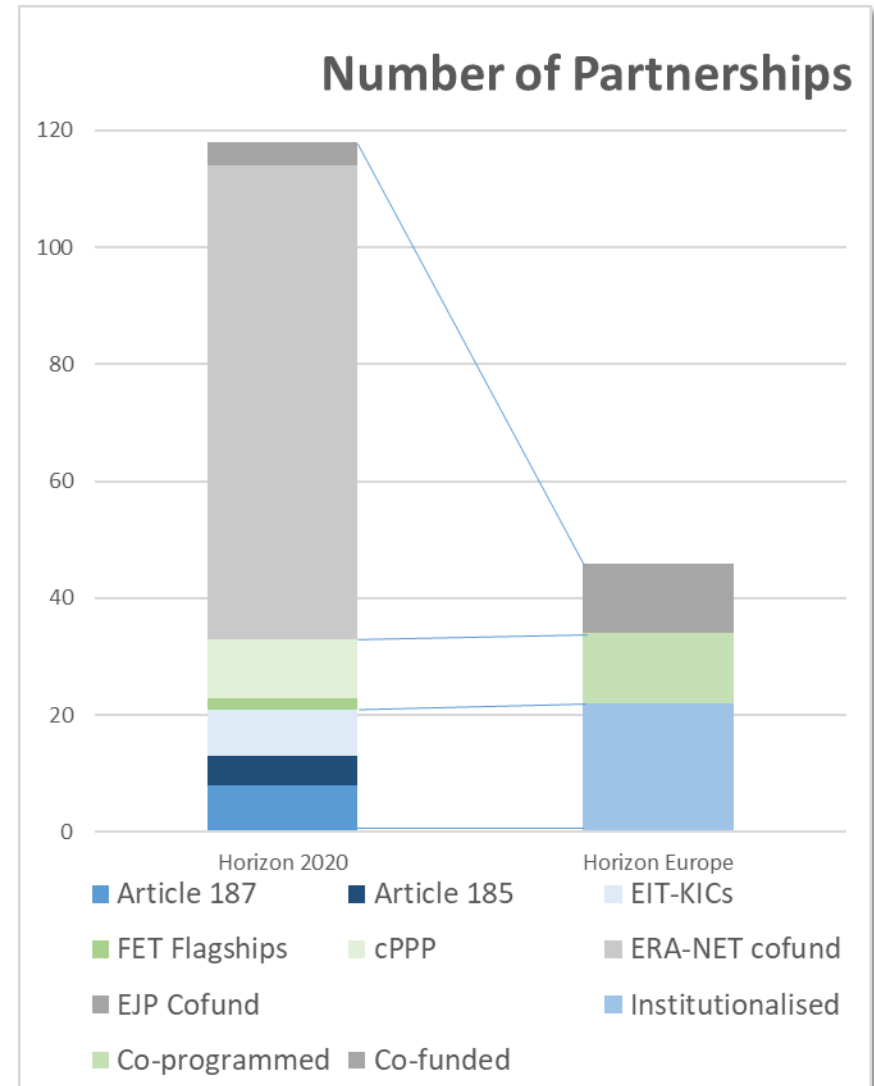
Emerging Partnership portfolio Horizon Europe

Rationalisation and reform achieved so far:

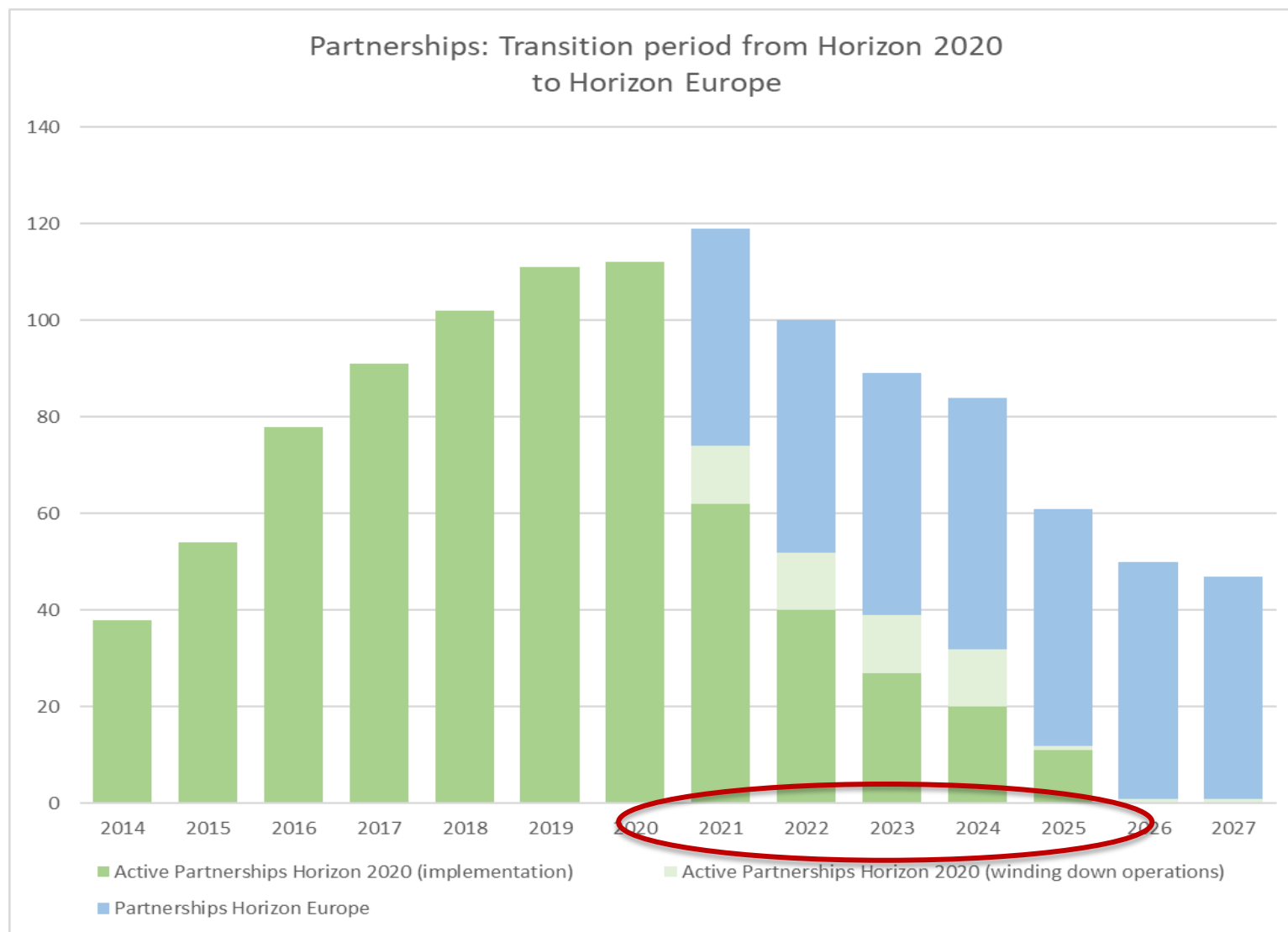
- Reduction from >120 (of all types) to currently 45;
- 6 new topics;
- 28 reformed continuations;
- 11 mergers and reforms;
- 35 partnership candidates in Pillar II;
- 11 partnership candidates outside pillar II (9 EIT-KICs, SMEs, Open Science Cloud).

EU contributions/budgets:

- To be decided at a later stage following the overall MFF and Horizon Europe budgetary envelopes;
- To be determined once there are agreed objectives, and clear commitments from partners.



Transition towards Horizon Europe



Coherence and complementarity

Background: ERAC conclusions:

<https://www.era-learn.eu/documents/wk-14345-2018-init-en.pdf>

COM proposal for the criteria Framework:

https://era.gv.at/object/document/4375/attach/Item_5_2_-_Proposal_by_the_Commission_on_the_Draft_criteria_Framework_for_European_Partnerships_under_Horizon_Europe.pdf

[_Proposal by the Commission on the Draft criteria Framework for European Partnerships under Horizon Europe.pdf](https://era.gv.at/object/document/4375/attach/Item_5_2_-_Proposal_by_the_Commission_on_the_Draft_criteria_Framework_for_European_Partnerships_under_Horizon_Europe.pdf)

Coherence and complementarity: European Partnerships need to be designed and implemented in a way that ensures coherence among partnerships, and between partnerships and Framework Programme activities, other EU action and national/sectorial action. This coherence should be demonstrated at the level of objectives and impacts sought, partners involved and activities implemented. Complementarity ensures added value and synergies between R&I initiatives while avoiding unnecessary duplication.

- ➔ ERA-LEARN draft thematic reports map the existing partnerships under Horizon 2020, and their main activities
- ➔ Allows to identify current partnerships and their main activities that are relevant for increasing coherence and complementarity
- ➔ Identify potential for better collaboration
- ➔ Can prepare the ground for set-up and implementation for Horizon Europe Partnerships

Key issues for the ERA-LEARN workshop

- The interactive workshops are designed to help preparing the transition towards the new policy approach for partnerships
- Focus: increasing coherence and complementarity among partnerships and with the Framework Programmes.
- Will require a re-design of programming and implementation of activities.
- More openness to a broader range of actors including closer interaction between public and private actors.
- Be practical - how to address collaboration and coordination between related partnerships in practice? Today, and tomorrow!
- Which are the most relevant activities where coordination and collaboration makes sense?
- What lessons can be drawn that support a better design of partnerships and their activities under Horizon Europe?



Thank you

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<http://ec.europa.eu/horizon-europe>