



ERA-LEARN Workshop Implementation of co-funded European Partnerships

27 April 2023, 9:30 CET

The workshop will cover:

- **Status of European Partnerships**

- **Governance and implementation** of European co-funded Partnerships

 - Implementations criteria for co-funded Partnerships

 - Lessons learned and good practices

 - Synergies with Partnerships, Third and Widening Countries involvement

 - In-kind contribution and participation of RPOs/ Firewall

- **Financial and call management**

 - Requirements for co-funded Partnerships

 - Lessons learned and good practices

 - Distribution EC financial contribution, monitoring of budget spent

 - Call management and gap filling

The workshop will not cover:

- **Synergies with Cohesion Policy Funds** (dedicated ERA-LEARN webinar on 10 May, <https://www.era-learn.eu/news-events/events/synergies-with-cohesion-policy-funds>)
- Discussions on **Partnership process 2nd strategic Plan**
- Issues on **impact/ uptake** of research results/ valorisation activities, dissemination

All slides will be available asap at: <https://www.era-learn.eu/news-events/events/implementation-of-co-funded-european-partnerships-1>

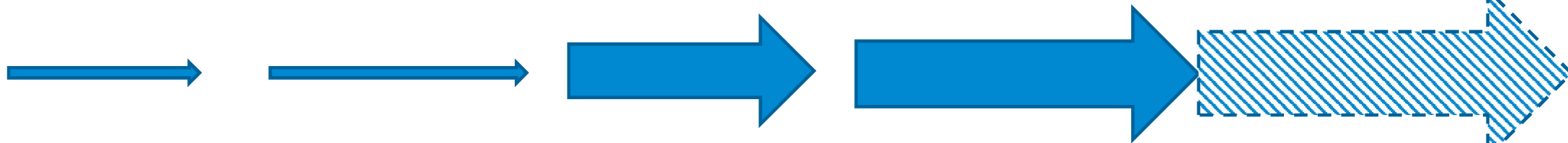
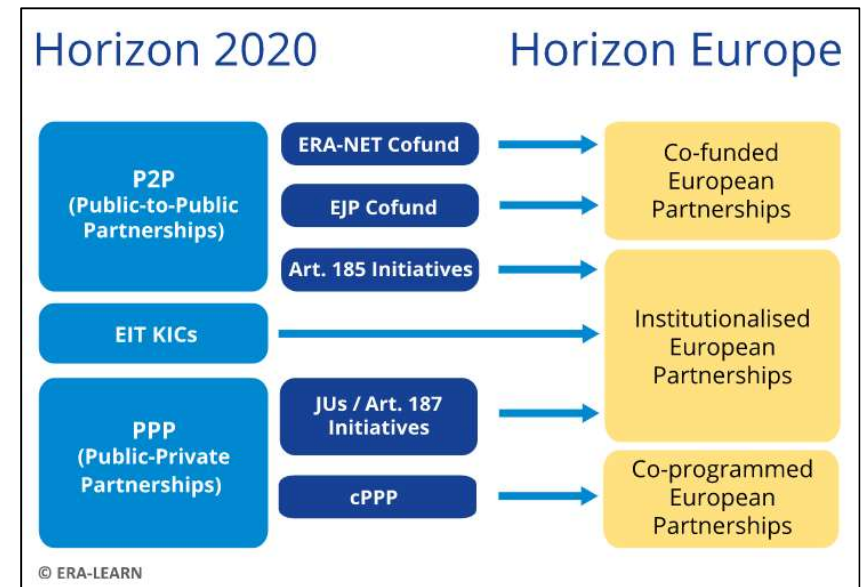


ERA-LEARN: central information hub for European Partnerships

27 April 2023

ERA-LEARN: service provider & facilitator

- consortium of funding organisations and analysts
- expanding the scope
 - ... from ERA-NET (FP7) to JPI ...
 - ... to Horizon 2020 ERA-NET Cofund and EJP ...
 - ... to European Partnerships under Horizon Europe ...
- supporting the transition of Partnerships from Horizon 2020 to Horizon Europe
- **next phase starting 1 July 2023!**



2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027
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Central information hub: the ERA-LEARN portal <https://www.era-learn.eu>



ERA-LEARN reaches out to all stakeholders:

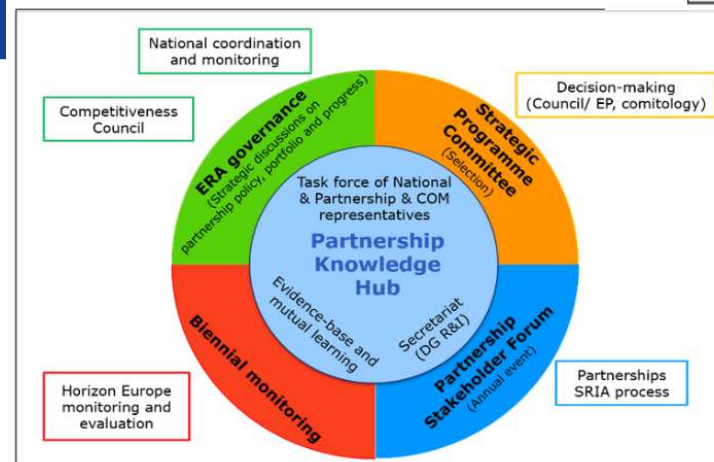
- Policy level
- Network administrators
- Researchers



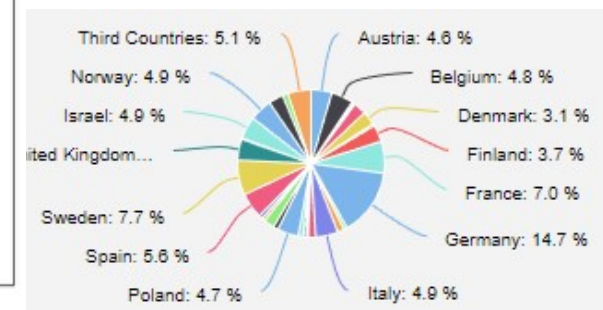
Partnerships in a nutshell

Background information on Partnerships:

- Strategic Coordinating Process
- Annual Reports
- Country Reports
- Facts and Figures

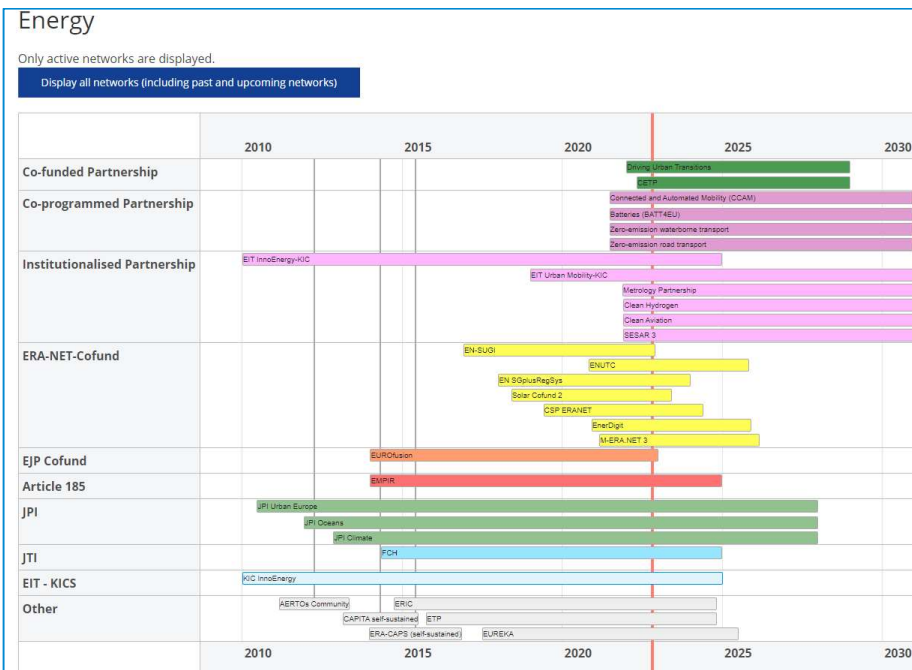


Strategic Coordinating Process (Graphic: European Commission)



Partnership network database – overview of all former and new Partnerships

- overview on all Partnerships (format, topic...) including predecessors
- individual country's participation
- call calendar: joint calls launched by the Partnerships
- upcoming calls for Partnerships in HE work programmes



France cooperation overview: projects

Show map | Show report

France is involved in 2041 projects.

Show cooperations in

Networks | **Calls** | Projects

Filter by funding framework ▾ | Filter by partnership format ▾

Coordinator	Participant
● CHIST-ERA III (Horizon 2020)	● AXIS (Horizon 2020)
● CHIST-ERA IV (Horizon 2020)	● AquaticPollutants (Horizon 2020)
● E-Rare-3 (Horizon 2020)	● BiodivClim (Horizon 2020)
● ERA-HDHL (Horizon 2020)	● BiodivERSA3 (Horizon 2020)
● ERA4CS (Horizon 2020)	● BiodivRestore (Horizon 2020)
● FLAG-ERA II (Horizon 2020)	● BiodivScen (Horizon 2020)
● FLAG-ERA III (Horizon 2020)	● BlueBio (Horizon 2020)
● FOSC (Horizon 2020)	● CONCERT (Horizon 2020)
● LEAP-AGRI (Horizon 2020)	

Joint Calls Calendar

Please note: The database of joint calls and funded projects is depending on data received by the networks. Please contact us to display your calls: office(at)era-learn.eu, or submit your own call



Horizon Europe Calls for Partnerships

Home / Explore Partnerships / Horizon Europe Calls for Partnerships / 2024: Partnership related Horizon Europe calls

2024: Partnership related Horizon Europe calls

Overview of planned Horizon Europe calls for Co-funded European Partnerships and planned calls to establish new collaborations. These calls will be launched in the Funding & Tender opportunities Portal of the EC.

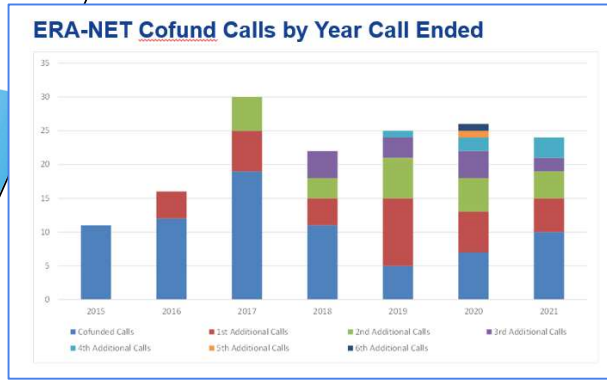
The Work Programmes are available for download.

Title / Call Identifier	Type of Action	Budget	Call closure
Cluster 1: Health			
Pandemic preparedness and response: Maintaining the European partnership for pandemic preparedness/HORIZON-HLTH-2024-DISEASE-08-12	Coordination and Support Actions	2ME	11 April 2024
European Partnership: One Health Anti-Microbial Resistance/HORIZON-HLTH-2024-DISEASE-09-01	Programme Cofund Actions	100 ME	11 April 2024
Cluster 5: Climate, Energy and Mobility			
Africa-EU CO-FUND action/HORIZON-CLS-2024-D3-01-09	Programme Cofund	10 ME	16 Jan 2024

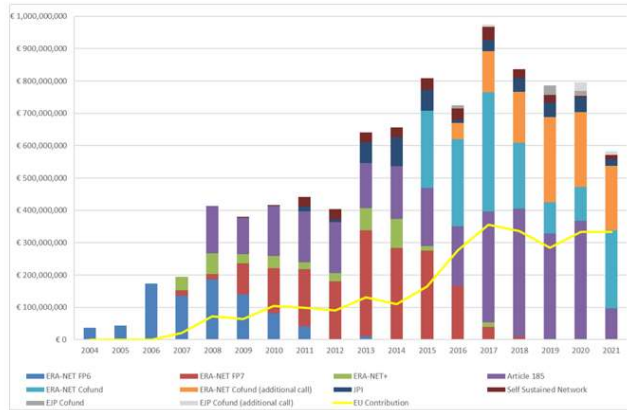


Annual Report on Public-Public Partnerships

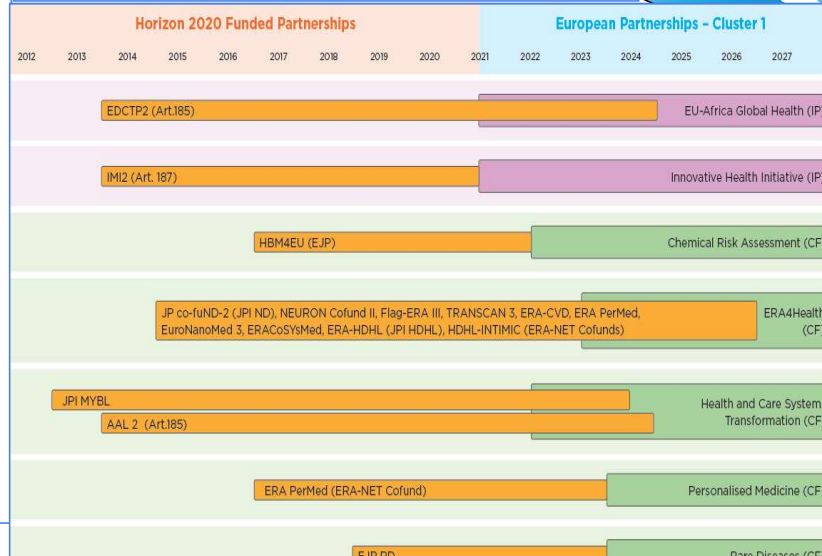
- published since 2015
- detailed analysis, overall trends, good practice examples
- **2022 report will be published May 2023**
- ... relies on data quality!



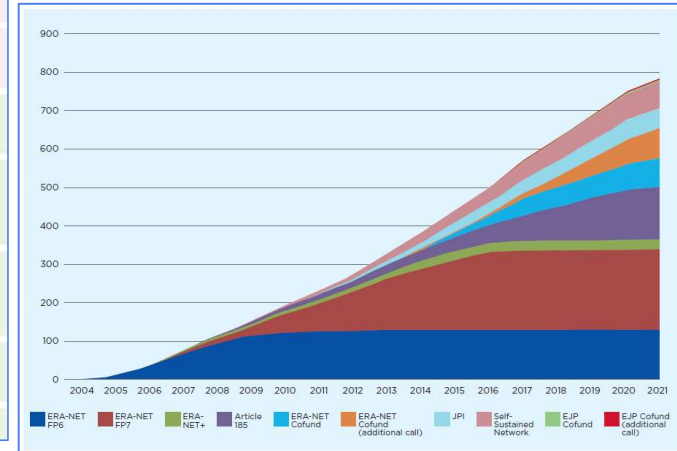
National Joint Call Commitment (with EU Contribution for co-funding of calls overlaid) for all Calls closed 2004-2021, by Network Type



Transition to European Partnerships



Cumulative Number of Transnational Projects Funded



Supporting the practical implementation of Partnerships

Partnerships in a Nutshell | Explore Partnerships | **Support for Partnerships** | Documents | News and Events

GOVERNANCE, ADMINISTRATION & LEGAL BASE	IMPLEMENTING JOINT CALLS	ADDITIONAL ACTIVITIES & CROSS CUTTING ISSUES	PARTNERSHIPS IN HORIZON EUROPE AND HORIZON 2020
Governance structure and committees	Call planning & preparation	Alignment	Co-funded European Partnerships
Agreements	Submission	Coherence & Collaboration	ERA-NET Cofund
Financial Issues	Evaluation	Foresight	European Joint Programme Cofund (EJCofund)
Responsible Research & Innovation	Funding of Projects	Openness & Transparency	
Monitoring and Assessment			

guiding material
manuals and tools

examples of good practice

- on governance models and legal issues
- on the implementation of joint calls
- on additional activities carried out by the Partnerships

In this section ERA-LEARN brings you the implementation of European Partnerships governance structures of European Partnerships where these structures are regulated.

We furthermore want to support you with what is behind the idea of responsible Partnerships. Finally, monitoring and evaluation in Horizon Europe. Thus, some good practice examples are provided.

Support for Partnerships

Home / Support for Partnerships / Implementing Joint Calls

Implementing Joint Calls

We have compiled the following guidelines to provide the Partnerships with a sound basis for the implementation of transnational calls for proposals. Information, practical examples and templates. Click on one of the more:

Additional Activities & Cross Cutting Issues

Home / Support for Partnerships / Additional Activities & Cross Cutting Issues / Coherence & Collaboration

Coherence & Collaboration

Horizon Europe orients R&I partnerships towards the achievement of policy impacts with the expectation that they take a systematic and transformational approach to the achievement of objectives. This means that partnerships need to exploit synergies with other relevant R&I initiatives, including between themselves, and reflect this in their governance models and joint actions.

Taking appropriate actions to ensure coherence and engage in collaboration are therefore important functions for Partnerships. **Coherence** can be defined as the quality of being logical and consistent, the quality of forming a unified whole. **Collaboration** can be envisaged on two main levels:

1. Exploiting **synergies** between European Partnerships and with other EU R&I initiatives to their mutual benefit in achievement of objectives and policy impacts
2. Demonstrating coordinated efforts with respect to the new Commission priorities and/or the UN Sustainable Development Goals

Options for collaboration

- Exploiting synergies with other programmes

Related Files

[Report: Coherence and Synergies of candidate European Partnerships under Horizon Europe](#)

- Alignment
- Coherence & Collaboration
- Foresight
- Openness & Transparency
- Societal and Market Uptake
- Strategic Research and Innovation Agendas
- Synergies with the Cohesion Policy Funds
- Other Additional Activities

ERA-LEARN: interaction with community

<https://www.era-learn.eu/news-events/events>

❖ annual large events

- Annual Partnership Stakeholder Forum (Nov 2023)

❖ workshops on specific issues

- Implementing co-funded Partnerships (April 2023)
- Synergies with Cohesion Policy Funds (May 2023)
- Monitoring & Evaluation framework (June 2023)



Events

Home / News and Events / Events / European Partnership Stakeholder Forum - One-year review of European Partnership Initiatives in Horizon Europe

European Partnership Stakeholder Forum - One-year review of European Partnership Initiatives in Horizon Europe

Date: 15/11/2022 - 16/11/2022

On 15 and 16 November 2022 the European Commission launched together with ERA-LEARN its first European Partnership Stakeholder Forum. The Forum focused on the review of the first year of partnerships and, in particular, how they can contribute to the twin green and digital transitions, as well as increasing Europe's resilience.

Agenda & video recordings

Day 1 15 November, 2022



Related Files



[Summary Results of the 1st European Partnership Stakeholder Forum 2022](#)

[Edit](#)

The first Partnership Stakeholder Forum, organised by ERA-LEARN in collaboration with the European Commission brought together more than 250 on site participants, w ...

[More ...](#) +

[Download](#)



[Biennial Monitoring Report \(BMR\) 2022 on partnerships in Horizon Europe](#)

ERA-LEARN: interaction with community

- register to our news alert:

<https://www.era-learn.eu/newsletter>



Welcome to the ERA-LEARN NEW newsletter!

31/03/2023

Implementation of co-funded partnerships: In-kind activities and in-kind contributions

In a note for the attention of the Strategic Programme Committee, DG Research & Innovation has provided guidance on in-kind contributions. The term "In-kind contribution" is described as non-financial assets that are being put at the disposal of a partnership and which can be used both in the context of external calls (e.g. a research infrastructure) or of in-kind activities (e.g. a dataset for use in a common R&I programme).

[Read more](#)

31/03/2023

Updated version of the draft Annotated Model Grant Agreement

An updated version of the draft Annotated Model Grant Agreement has been published on the EC Funding & tender opportunities portal. On p. 313-317 (updated Annex 5 for Co-funded Partnerships) the specific rules for Co-funded Partnerships are now explained in more detail, including information on the involvement of Research Performing Organisations (RPOs) (Information barrier/ firewall) or on the joint selection list (identical



Implementation criteria for Co-funded European Partnerships

ERA-LEARN Workshop 27 April 2023

HEU Work Programmes & Legal Base

Legal base and application process

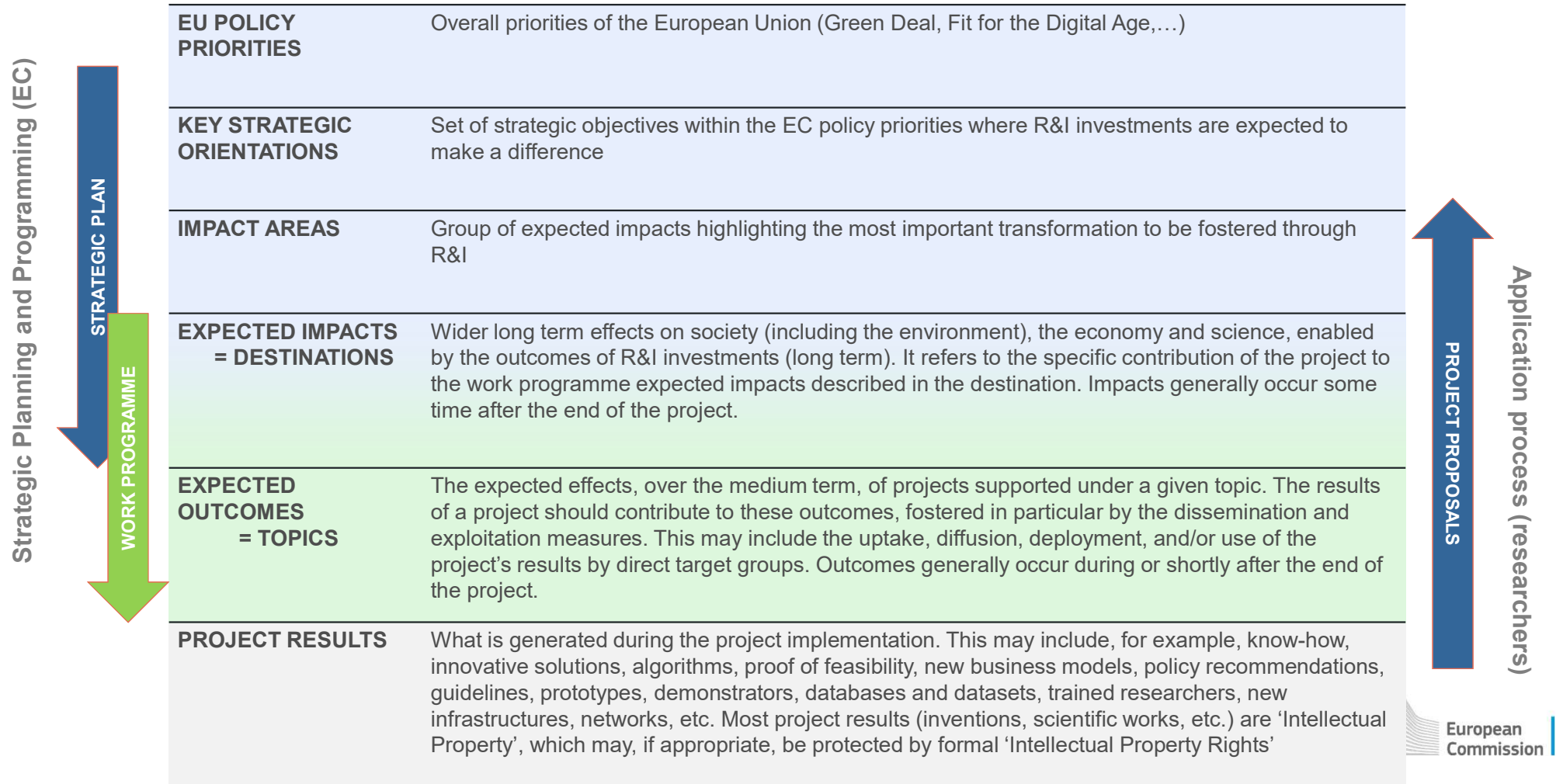
- The legislative base for European Partnerships is provided by the [Horizon Europe Framework Programme Regulation](#), the [HEU Specific Programme Decision](#) and the [EU Financial Regulation](#).
- Co-funded Partnerships are identified in the [HEU Strategic Plan](#) and are funded through topics in open calls in HEU work programmes that result in grant agreements between the granting authority and the consortium implementing the Partnership. The grant agreement is based on the [HEU Model Grant Agreement](#), which contains some specific rules for co-funded partnerships. There is also an [annotated version of the MGA](#), which provides more details on certain provisions.
- Calls / topics are published on the [Funding and Tenders Portal](#) and may contain specific conditions that complement and / or supersede those specified in the [General Annexes](#) or model grant agreement of HEU.

HEU work programmes

- HEU work programmes are composed of *Destinations*, which contain *Calls*, which in turn contain *Topics*.
- The *Destinations* contain *Expected Impacts*, which are linked to the Impact Areas and Key Strategic Orientations of the Strategic Plan.
- The *Topic* text will contain *Expected Outcomes*, *Scope* and *Specific Conditions*
- In general proposals should contribute to [one, several or all] the *Expected Impact(s)* in the destination, by contributing to all of the *Expected Outcomes* in the topic text.
- The *Scope* describes what should be addressed to meet the Expected Outcomes.
- The *Specific Call / Topic Conditions* are requirements for the proposal e.g. funding rate, FSTP limit



Link between policy priorities and project results



Co-fund checklist – General

General issues

Has the correct template for Programme Cofund Actions / Top-up proposals been used? [Proposal Template]

Is the duration of the action sufficient to allow for all projects funded through support to third parties to be fully implemented?

Sufficient time is needed because these actions include call preparation, launch of the call, proposal submission and evaluation, the selection decision, and full implementation of the selected transnational projects. If during implementation there are justifiable delays, the consortium may request an extension.

Does the project plan include distinct work packages for the activities related to the co-funded call (if applicable) and/or additional activities (if applicable)? [PT]

In the case of a co-funded call(s), does the project plan include a dedicated deliverable(s), with the following elements: [PT]

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

Does the proposal include a clear and realistic exit-strategy and measures for phasing-out from the Framework Programme funding. (PT, HEU Regulation)

Co-fund checklist – Joint Calls

JOINT CALLS	
Does the consortium select projects following a single joint transnational call for proposals? [MGA]	
Do the requirements of the joint call(s) require trans-national project, i.e. at least two independent legal entities from two different Member States or Associated Countries or one legal entity from a Member State or Associated Country and one legal entity from a non-associated third country (not receiving financial support)? [MGA/AGA]	
Does the consortium foresee to publish the joint call(s) on the Funding and Tenders portal and the beneficiaries' websites? [MGA/AGA]	
Does the consortium keep the joint call(s) open for at least 2 months? [MGA]	
Does the consortium make the selection through a two-step procedure, with	Step 1: eligibility check / review at national or trans-national level and
Step 2: single international peer review? [MGA]	
A two-step procedure is necessary to ensure that only entities that are eligible for funding under the national funding rules are invited to Step 2 and that consortia can balance the requested funding and available funding per participating Member State and associated country between Steps 1 and 2.	
In Step 2, does the consortium evaluate proposals with the assistance of at least three independent experts per proposal? [MGA]	
In Step 2, does the consortium evaluate proposals on the basis of the Horizon Europe award criteria? [MGA]	
Will the selection procedure be followed by an independent expert observer, who must make a report? [MGA]	
Will proposals be ranked according to the evaluation results? [MGA]	
Will the selection of trans-national projects ('joint selection list') be based on the order of the ranking list (or the ranking lists, if there are different topics)? [MGA]	
Does the consortium foresee at the end of the evaluation of the co-funded call and at the end of the project deliverables with details about the co-funded projects? (template allowing for transfer to Commission IT system) [HE]	
Does the proposal specify the maximum amount of financial support to a third party (grant beneficiaries under national funding rules) and the criteria for determining the exact amount under national funding rules? [PT/AGA]	

Proposals, Evaluation and GAP

Proposals

- Consortia apply to the topics using a specific proposal form ([Standard Co-fund Proposal Form](#), [Standard Co-fund Top-up Proposal Form](#)). The forms also contain specific criteria for the Partnerships, which will form part of the evaluation.
- Proposals should address the topic text, including expected outcomes, scope and expected impacts of the destination.
- They should conform with specific call / topic conditions and be in line with the various elements outlined in the co-fund checklist.

Evaluation of Co-fund and Top-up

Proposals are evaluated based on standard HEU criteria (Excellence, Impact and Implementation)

They follow the EU rules on evaluating open calls.

The [Standard briefing slides for evaluators](#) in HEU give a good overview of the evaluation process:

- Independent Experts – impartiality, objectivity, accuracy and consistency
- Evaluations are confidential and experts should declare any potential conflict of interest
- Each criteria is scored from 1 – 5 with 3 being the threshold. Proposals must score above threshold on all criteria to pass the evaluation.
- ESR is provided to the consortium at the end of the evaluation

As outlined in the Top-up Proposal Form the evaluation of Top-up Proposals will, in general, focus on the additional elements compared to the original proposal.



Interpretation of scores

0

The proposal **fails to address the criterion** or cannot be assessed due to missing or incomplete information.

1

Poor. The criterion is inadequately addressed, or there are serious inherent weaknesses.

2

Fair. The proposal broadly addresses the criterion, but there are significant weaknesses.

Below threshold

3

Good. The proposal addresses the criterion well, but a number of shortcomings are present.

4

Very Good. The proposal addresses the criterion very well, but a small number of shortcomings are present.

5

Excellent. The proposal successfully addresses all relevant aspects of the criterion. Any shortcomings are minor.

Above threshold

Grant Agreement Preparation / Top-up Amendment

In general HEU has a *'no-negotiation'* approach during GAP. Since only proposals that are mature and ready to be implemented should pass evaluation, changes in GAP are generally limited. Consortium should propose changes only in very exceptional / limited cases.

- This is without prejudice to changes required due to ethics or security review; changes to ensure conformity with applicable financial and legal rules (including the 'co-fund checklist' for Co-funded Pships); corrections of clerical errors / clear inconsistencies; removal / change of participants for certain reasons. Therefore consortia may be asked to update some elements to bring them into conformity with the relevant requirements.
- Co-fund actions have an exemption to this rule, which means that in certain cases the granting authority can insist that issues identified in the ESR are addressed before grant signature.

It is worth noting that for technical reasons the 'Top-up' amendment is such that it will require more manual updating of Sygma by the consortium and project officers than a standard GAP.

The HEU [Online Manual](#) is a good resource for GAP.

Governance and implementation of co-funded European Partnerships

Overview of lessons learned and good practices

27. April 2023

ERA-LEARN support for the implementation of co-funded European Partnerships

<https://www.era-learn.eu/support-for-partnerships>

Partnerships in a Nutshell	Explore Partnerships	Support for Partnerships	Documents	News and Events
GOVERNANCE, ADMINISTRATION & LEGAL BASE	IMPLEMENTING JOINT CALLS	ADDITIONAL ACTIVITIES & CROSS CUTTING ISSUES	PARTNERSHIPS IN HORIZON EUROPE AND HORIZON 2020	
Governance Models of Horizon Europe Partnerships	Call planning & preparation	Alignment	Co-funded European Partnerships	
Agreements	Submission	Coherence & Collaboration	ERA-NET Cofund	
Financial Issues	Evaluation	Foresight	European Joint Programme Cofund (EJP Cofund)	
Monitoring and Assessment	Funding of Projects	Openness & Transparency		
Responsible Research & Innovation	After the Call	Societal and Market Uptake		
		Strategic Research and Innovation Agendas		
		Synergies with the Cohesion Policy Funds		
		Other Additional Activities		

Governance models of co-funded European Partnerships

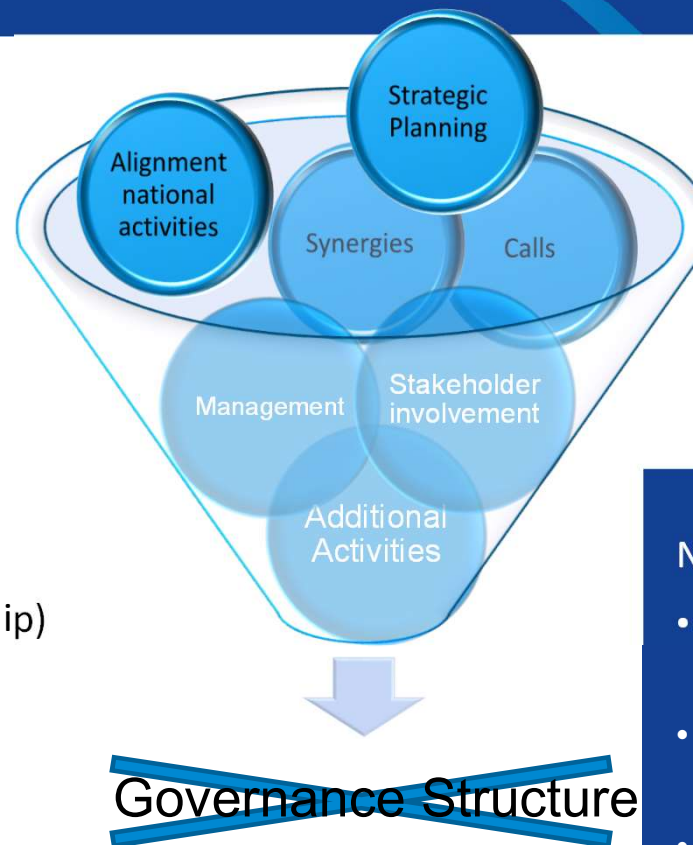
Partnership approach in HE requires governance arrangements reflecting

- general governance functions
 - involvement of partners, countries, other actors according to different functions and decision procedures
 - specific dedicated core tasks, e.g. coordination, call management, alignment with national/ regional programmes
 - input from independent bodies/ additional actors for better steering the strategic programming
- specific HE-criteria for European Partnerships
 - impact-oriented approach
 - synergies with other Partnerships and Missions/ Coordination with other R&I initiatives
 - openness/ transparency
 - internationalisation
 - ensure flexibility of implementation and to adjust to changing policy, societal and/or market needs
 - involvement of relevant stakeholders

Governance models of co-funded European Partnerships

Approach / support ERA-LEARN

- Comparison of governance models and functions used by H2020 networks and HE Partnerships
- Identify bodies and functions with specific relevance for EP used by networks
- Analysis by function on ERA-LEARN website
- Accompanied with example (DUT Partnership)

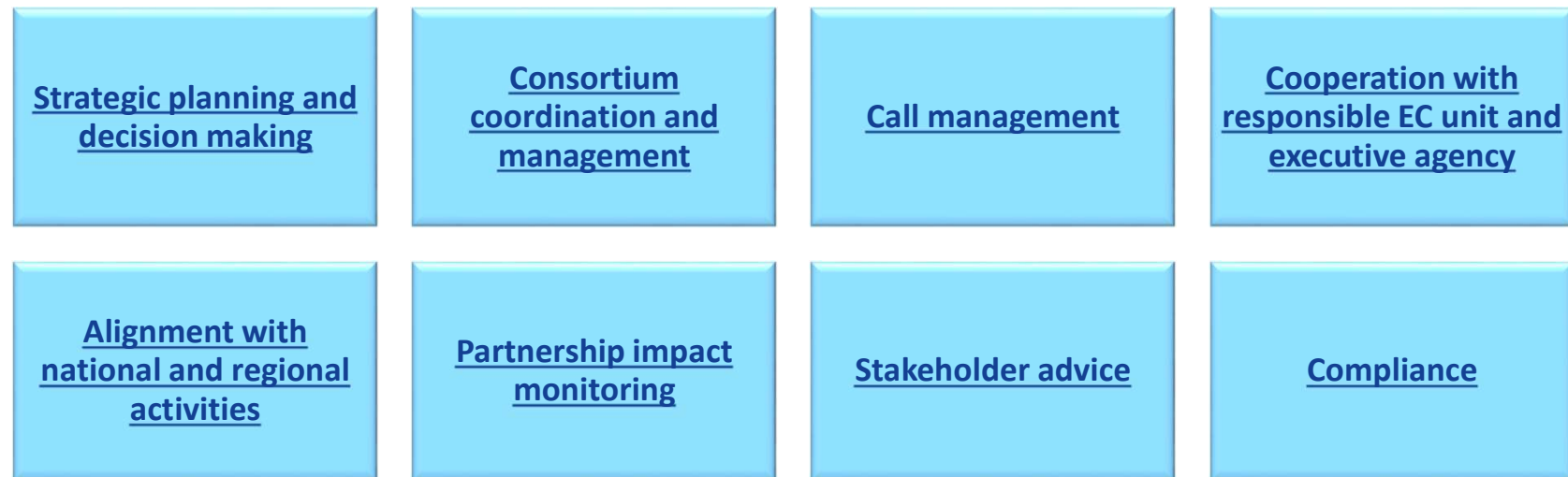


No „one-size fits all“ model

- Partnerships have different backgrounds and cultures/ habits
- Different terms are used for a bodies with identical functions
- ERA-LEARN guidelines refer to governance functions.

Governance functions

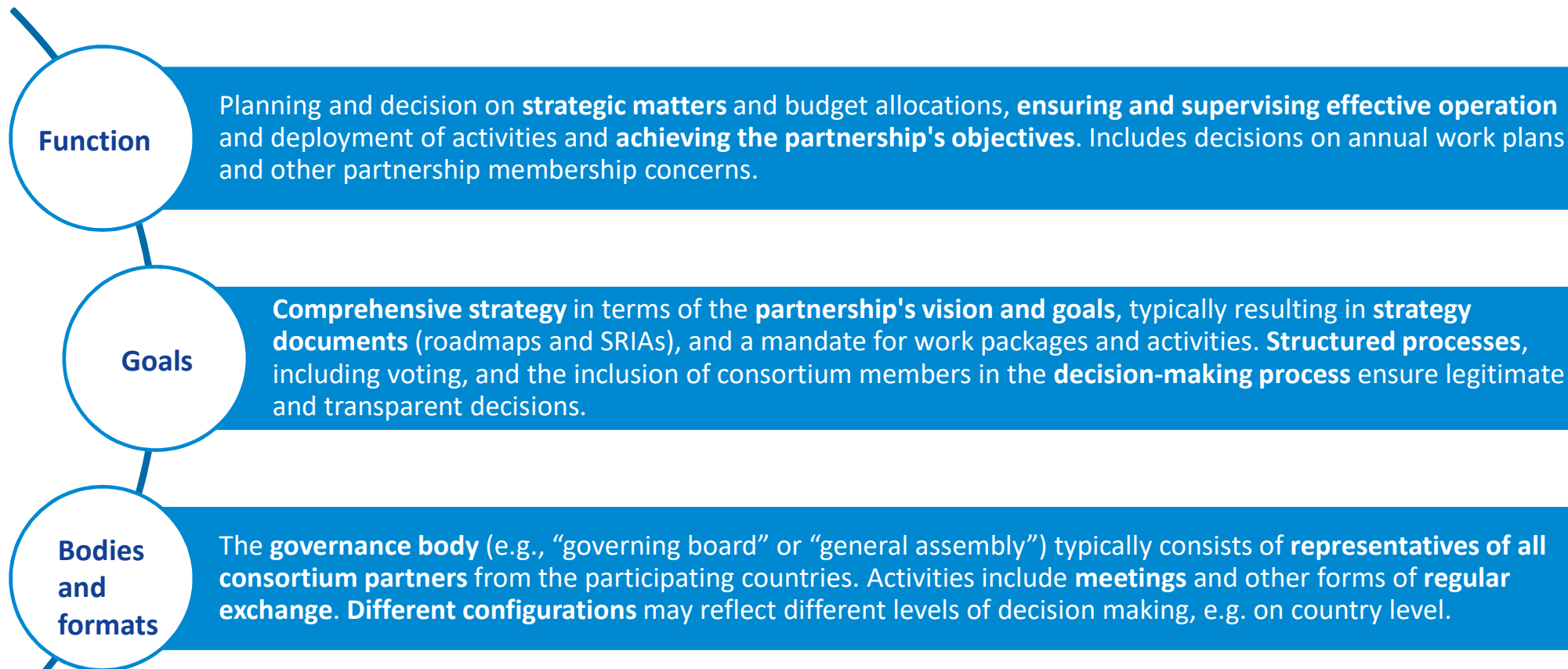
The “core” governance



The collaboration governance



Example: Strategic planning and decision making



Example: Coordination with other European partnerships, missions, and R&I initiatives

Function

Building relationships and **fostering synergies** with existing structures.

Goals

Increasing **mutual awareness** and recognition of planned work and results achieved, fostering the **exchange of learnings** and building **competencies across partnerships**, and enabling cooperation to identify and achieve synergies.

Bodies and formats

Specific bodies could be a “partnership board”, or a “coordination group”. Specific tasks can be defined in the work plan to **determine ways for optimizing interaction** and methods for **strengthening cooperation**, e.g., joint foresight exercises, joint calls, joint action plans, or alignment of SRIAs.

Overview of lessons learned and good practices

Conflict of interests / Participation of RPOs/ Firewalls

27/04/2023

External

Conflicts of interest arising within calls for proposals between applicants and assessors

Must be dealt with according to standard Col management principles (specific policy and tools to be developed within the Partnership : what type of relationship, how many years, declaration documents, etc.)

Should be extended to Partnership staff handling applications, as appropriate

Partnership-related

Conflicts of interest arising due the composition of the Partnership and nature of participating organizations

⇒ RPO or dual organizations (both RFO & RPO) at stake, essentially in transnational calls for proposals

⇒ possibly other activities & other type of actors. Access to information or influence on implementation

⇒ Not entirely new (dual organisations or RPO already involved in funding actions under H2020)

⇒ Concept of Partnerships called for extra involvement of stakeholders, and thus calls for extra guidelines

Relevant types of participants should be listed in proposal (and GA)

- Cf proposal form annex “support to third Parties” => new guidelines available
- Parties that might apply and benefit from Partnership activities must be listed, their activities precisely defined & described

Activities should be separated and access to information denied

=> Governance organized around WP (or pillars) separated by “firewalls”: organizations participating in some WP should have no access to work done and information exchanged in some of the other WP (typically call topics, evaluation process content, monitoring aspects, etc.)

⇒ Additionally internal information barriers must be set up within relevant organizations: organisational separation (staff working in different divisions, locations, etc.) + limited digital access rights, separate IT systems used, etc., + any other internal mitigation element described

⇒ Put to evaluation

In calls and activities

- ⇒ Participation of organizations that may apply must be stated in opportunity notifications, for sake of transparency
- ⇒ redress procedures set up (covering perceived Col)

Advisory ethical board

If any => May be consulted over specific configurations, activities, or situations



Driving Urban Transitions to a sustainable future



The DUT Partnership

- A public-public partnership, co-funded by 28 European countries and the European Commission
- DUT Consortium of 60+ partners
 - National and regional R&I funders
 - National or regional authorities and agencies dealing with urban policy
 - Research performing and other organisations as strategic partners
- approx. 450 Mio indicative budget for 2022-2028
 - DUT Call 2022 provides more than Euro 70mill



The DUT Transition Pathways

integrated approaches for urban transformations and
entry points towards urban climate neutrality and sustainability



**Positive Energy
Districts and
Neighbourhoods**
transforming the urban
energy system



**Circular Urban
Economies**
an integrated approach
for urban greening and
circularity transitions

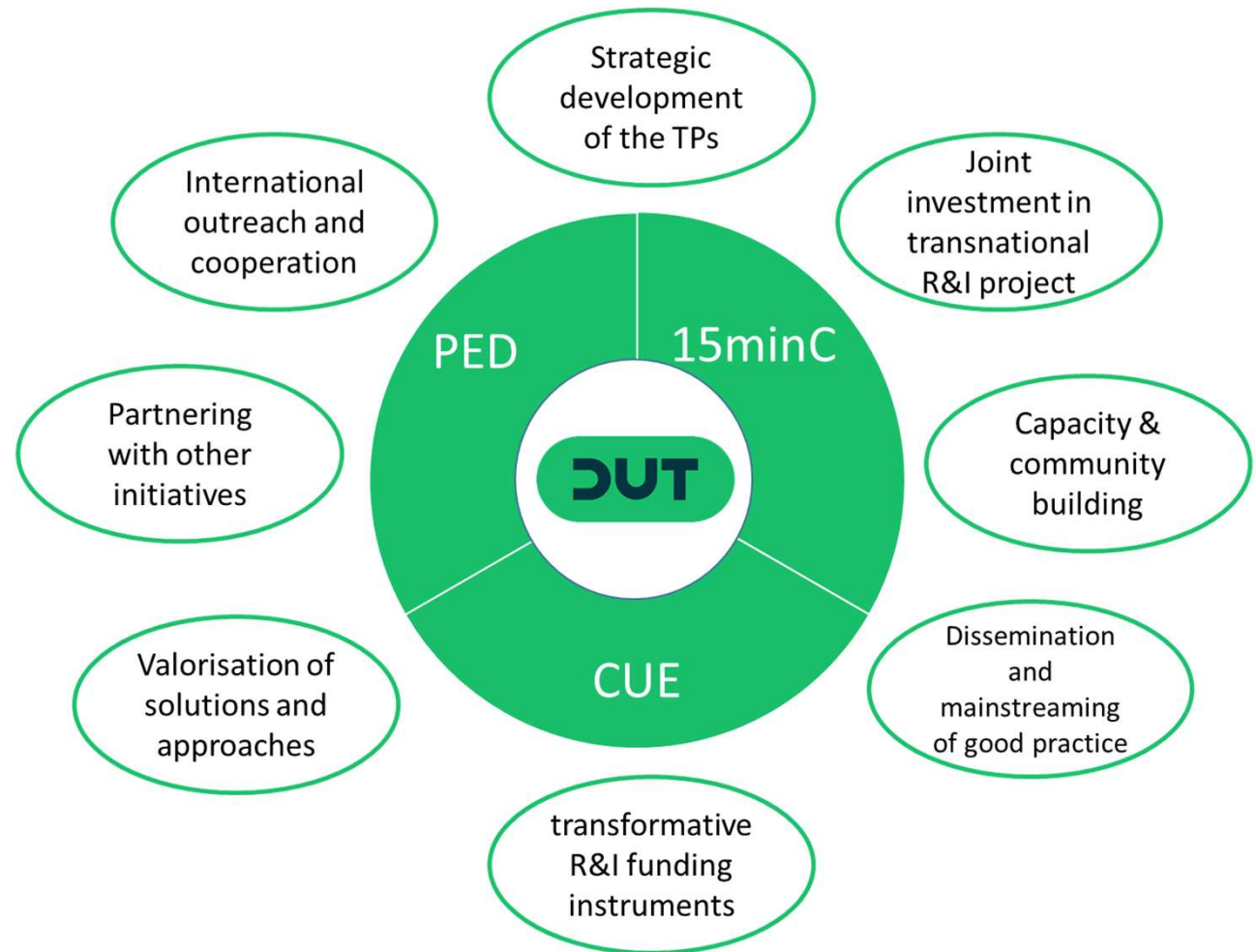


15-minute Cities
rethinking the urban
mobility system and
space

DUT Portfolio

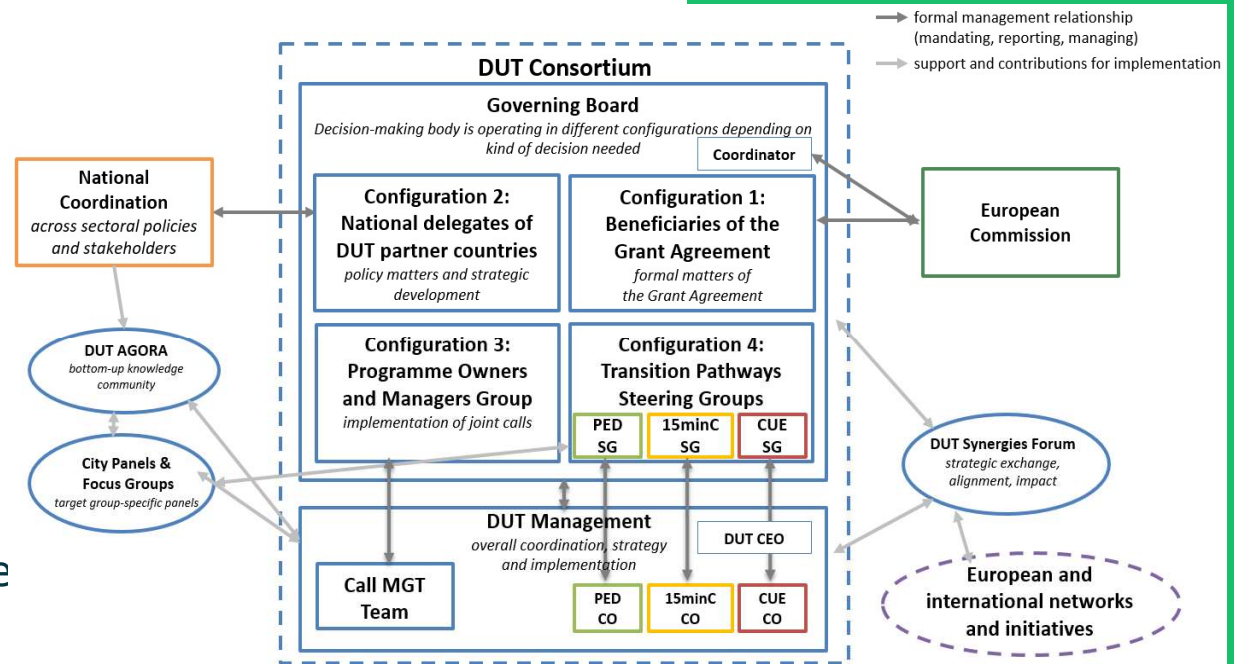
A comprehensive set of measures to

- create evidence with and for cities and urban actors and
- enhance impact of R&I investments for local action

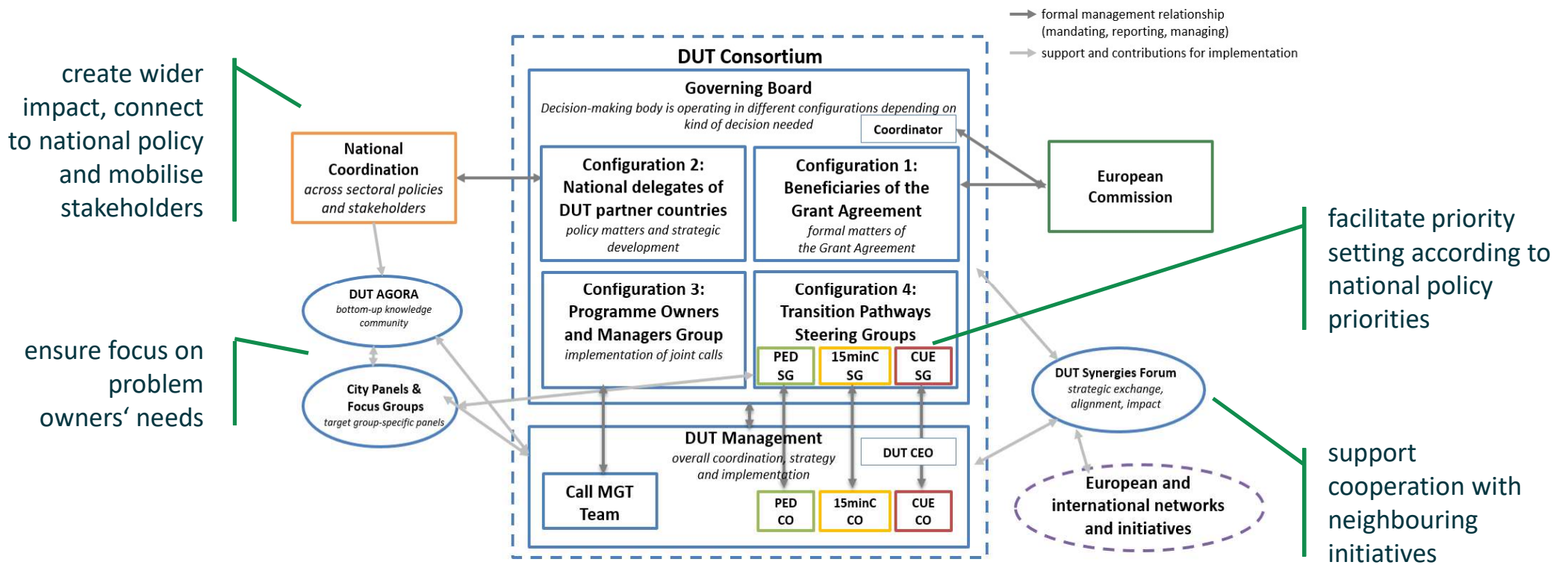


DUT Governance

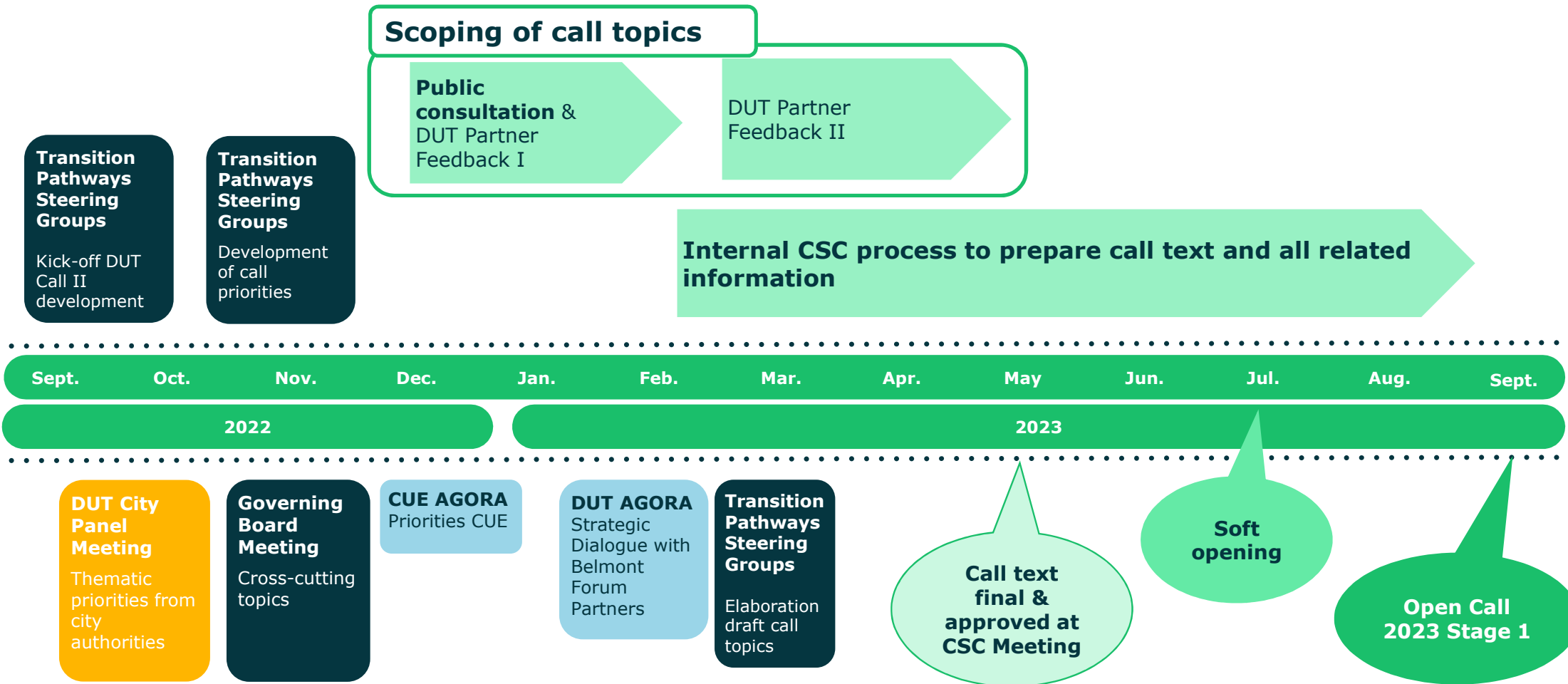
- specific configurations for decision making allowing to acknowledge different roles of DUT partners
- dedicated bodies to support strategic development and comprehensive programme management
- formats and interfaces to cooperate with neighbouring initiatives and stakeholders



Key Elements of the DUT Governance



Call Preparation Process



Synergies with...

Cities mission

- Strategic priority of DUT partners to align with cities mission – national coordination
- Engagement in and/or coordination of related mission projects (e.g. national mission implementation)

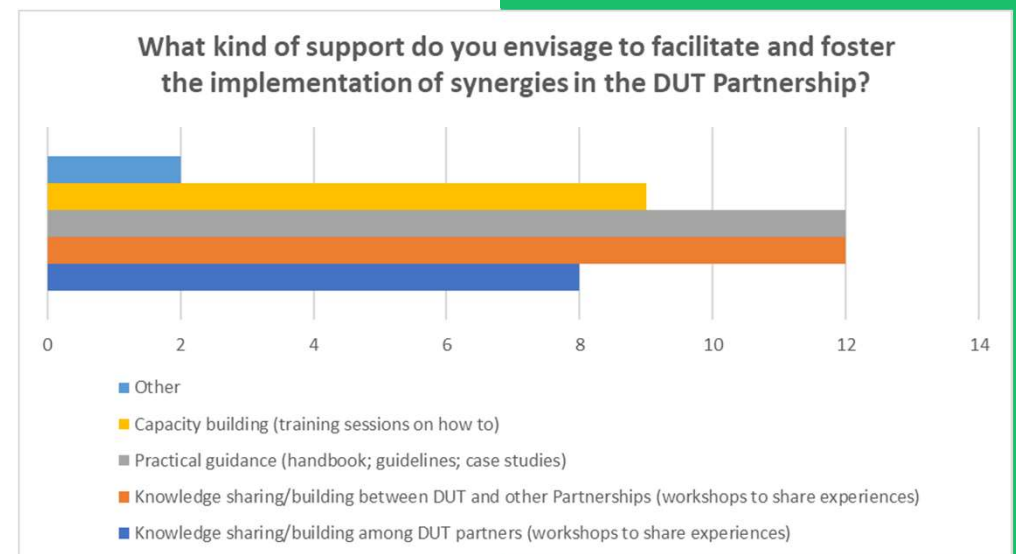
Other partnerships

- DUT partners are involved in several partnerships – coordination on national level
- Cooperation and alignment with neighbouring partnerships as part of Transition Pathway development

- Alignment of call topics and priorities – consideration in strategic priorities and call development processes
- Joint efforts on community building and strategic exchanges of projects and experts – AGORA, consultations, workshops

Involvement of Regions

- Highly relevant to connect to regional policy
- Models for participation
 - Through regional R&I funds
 - Partners for bringing results into implementation
 - Managing regional innovation eco-systems for implementation
- Identified barriers for engagement
 - Administrative burdens and lack of procedures and know how
 - Conflicting regulatory frameworks, funding rates or different types of beneficiaries
 - Missing strategic links between involved authorities and decision making bodies



International Outreach & Widening

- **On partnership level:** Governance model that is encouraging new partners to join and assess their options in participating
 - Open consultations and co-design of strategies to offer all interested organisations opportunities to engage
 - Emphasis on national coordination and community building to successfully participate in DUT and its calls
 - Ensure that partners from non-associated countries contribute to the overall coordination costs
- **On call level:** Models for dealing with over-/undersubscriptions are needed
 - Option to add a new partner to the consortium between stage 1 and stage 2 application from a not highly oversubscribed partner country:
Any consortium invited to the second stage can invite one additional co-applicant from a specified list of funding agencies and ministries
 - Results not available yet, but indication that this approach results in additional use of available national budgets
 - It is planned to extend this model for the DUT 2023 call to allow adding more than 1 new partner to the consortium

DUT Contribution to European Policies



Cities Mission

European Policies

Mobility

Energy
SET Plan

Environment
& Circularity

Urban Agenda for
the EU

DUT

Capacity building,
experimentation
and evidence for
cities and urban
actors



National
coordination &
transformative R&I
funding
instruments



Common
strategies and
frameworks in key
areas for urban
transitions



Mobilisation and
engagement of
stakeholders
across Europe



Uptake of visible
and tangible R&I,
peer-to-peer
learning



Driving Urban Transitions to a Sustainable Future

European Partnership under Horizon Europe



www.dutpartnership.eu
info@jpi-urbaneurope.eu



Co-funded by
the European Union



Sustainable Blue
Economy Partnership

Sustainable Blue Economy Partnership

In-kind contributions & Participation of RPOs/ Firewall

ERA-LEARN Webinar on 'Implementation of co-funded
European Partnerships'
27 April 2023



The Sustainable Blue Economy Partnership will design, steer and support a just and inclusive transition to a regenerative and circular blue economy.

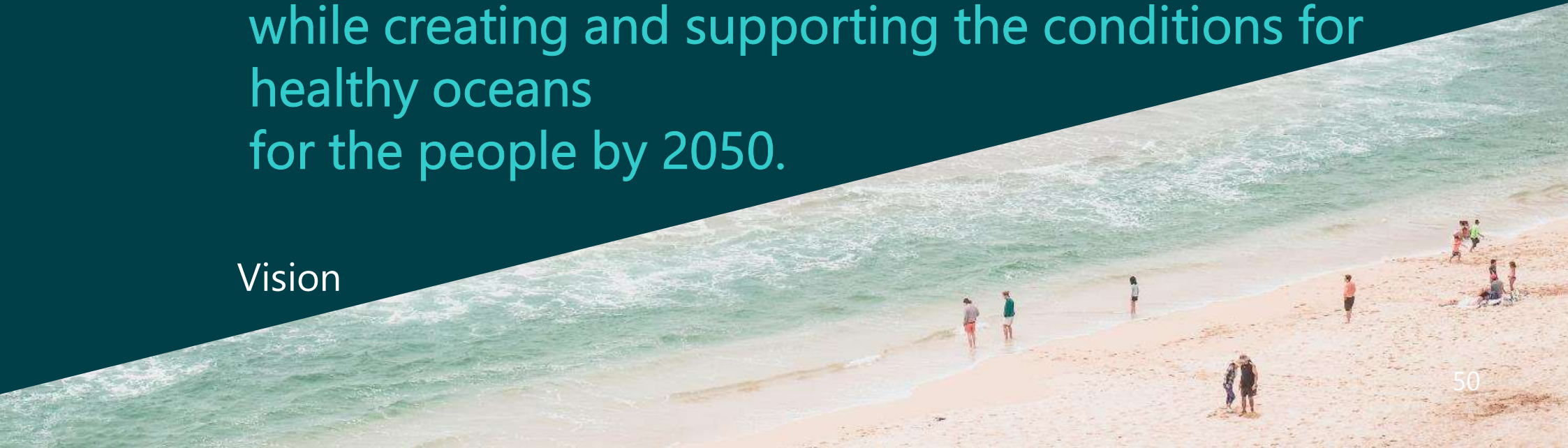
Vision





The Sustainable Blue Economy Partnership aims to boost the transformation towards a climate-neutral, sustainable, productive and competitive blue economy by 2030, while creating and supporting the conditions for healthy oceans for the people by 2050.

Vision





The Sustainable Blue Economy Partnership will deliver solutions to enable the European Green Deal and Digital Europe strategies and ultimately support the UN Sustainable Development Goals.

Policy context



Icons by: FreePik



About

60 partners, 25 countries
+ European Commission

Pooling research and innovation investments and aligning national programmes at pan-European scale taking into consideration the sea-basin (Mediterranean, Black Sea, Baltic and North Sea) and Atlantic Ocean dimension



Quick facts and figures

▶ Planned investments over **7 years**:

450 million euro (MS/AC + EC)

- ▶ MS / AC in kind contribution = 36% of the total (in cash + in kind)
- ▶ 6 co-funded calls for R&I proposals + additional activities
- ▶ focus on priority areas of intervention



Sustainable Blue Economy Partnership



CO-CREATION

cross-regional
cross-sectoral
cross-disciplinary

COMMUNITY BUILDING

CAPACITY ENHANCEMENT

Icons by: Juicy_fish



Mandate to connect and co-design

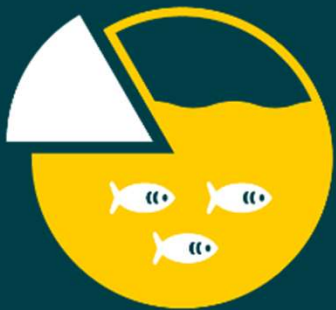
- ▶ National > Regional > European > Global level
- ▶ Synergies with other European Partnerships and the Mission Restore our Ocean and Waters
- ▶ Interaction across disciplines from hard science to social sciences and humanities
- ▶ Uptake of perspective, opportunities and planned actions by the public and private sectors, decision makers, disciplinary communities and society at large
- ▶ Alignment of different funding streams including structural funds, recovery and resilience package
- ▶ In cash / in kind synergy



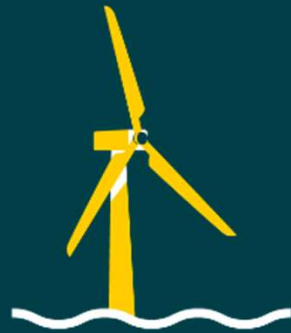
Intervention areas

How to realise with ONLY using calls?

The five Intervention areas below will be the basis for the first call



Development and validation of **Digital Twins** of the Ocean at sub-sea-basin scale



Blue generation **marine structures**



Planning and managing **sea uses**



Healthy '**Blue Food**' under a '**One Health**' approach



Enabling the green transition of '**Blue Food**' production



In kind contributions



- ▶ Delivering on the strategy requires mobilisation of all resources and investments
- ▶ Shared use of infrastructure provides us a unique opportunity considering the unequal distribution across Europe and the seabasins
- ▶ It is estimated that EC, MS and AC invest "roughly":
 - ▶ 2 billion Euros on oceans research annually (excluding private investments)
 - ▶ 1.2 billion Euros on data gathering (key to feed policy)
- ▶ How can we mobilise all these investments in line with ERA to overcome important fragmentations needed to deliver on policy objectives (MSFD, etc...)?



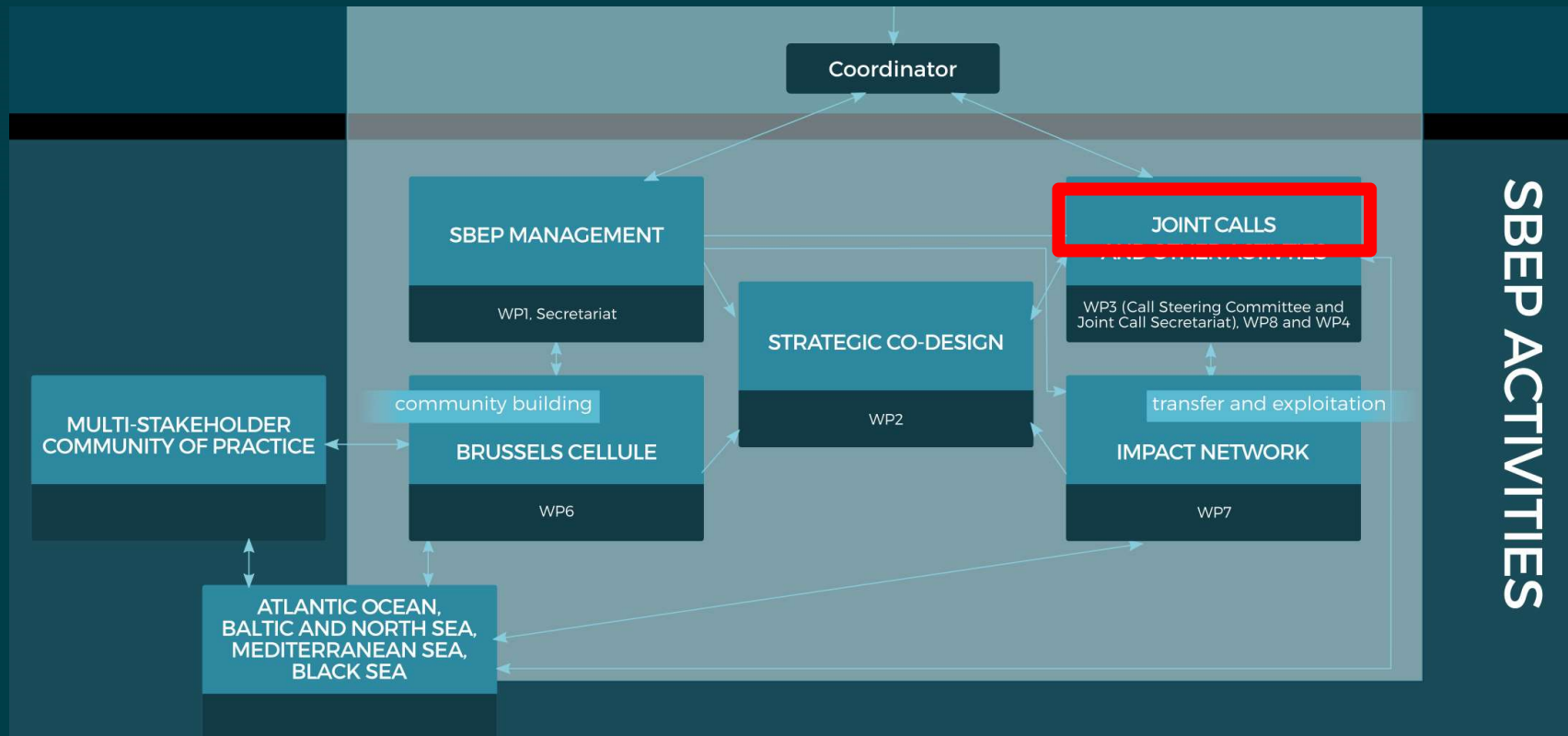
In kind contributions cont.



- ▶ Mobilizing infrastructures such as research vessels, observing systems, platforms, wave tanks, high performing computer centres and of datasets
- ▶ Making the ERA stronger, ensuring access across Europe & delivering impact
- ▶ Making the system appealing for Research Infrastructures owners including Research Performing Organizations, regional authorities and private companies
- ▶ Guaranteeing the transparency and accessibility (according to the provisions set in Annex 5 to the Horizon Europe Annotated Grant Agreement)



Participation of RPOs / Firewalls





Shared use of infrastructures

To RPO Infrastructure is a key factor a "carrot" to mobilise projects, thus;

- ▶ Shared use must be tailored in a manner that makes it attractive to the infrastructure providers i.e. more attractive than embedding it in the project phase of a call



We see 3 possible ways to pursue – There could be others

1. Embed the infrastructure/in-kind within the 5 intervention areas
2. Approach the infrastructure use from a data user perspective
3. Through a Coordination and Support Action





Way 1 – Embedded in the Intervention areas

- ▶ Impact orientation implies we need to approach our activities with a wider perspective than through only calls; *What do we want to achieve, How to get there; including "tools" calls, models, infrastructure, stakeholder engagements, legal barriers,..*
 - Problem is firewall, ex. Digital Twin how to develop the concept without engaging the infrastructure providers of data from the outset, informing them on what we need?



Way 2

Approach the infrastructure use from a data need perspective

- ▶ Develop a separate "program" within the Partnership, involve the governmental data users bringing in infrastructure data provides with governmental responsibilities and in line with the "FAIR" principles
 - ▶ Overcomes the "Firewall"
 - ▶ Limits the possibilities for instance to bring in infrastructure from research owners being organised as private entities
 - ▶ Provides flexibility in that data needs can be an iterative process on identifying and adapting to new needs as actions evolve as well as provides a long-term planning horizon where this is needed for infrastructure provides (ex. Use of vessels)



Way 3 - Through a Coordination and Support Action

- ▶ Embedding impact driven implementation plan with actions embedding infrastructures from the outset
- ▶ This disconnects the partnership from the challenges of the firewall allowing involving the infrastructure providers to contribute hereby embedding it in the design of the program
- ▶ Provides very little flexibility to being responsive as actions evolve and reduces the certainty of impact
- ▶ Is this an option for the 2nd wave of partnerships? It is too late for our partnership



How to move forward

- ▶ Build on:
 - ▶ the note for the attention of the Strategic Programme Committee (SPC) on the implementation of co-funded partnership and possible follow ups
 - ▶ relevant updates of the Annotated Grant Agreement
 - ▶ models implemented in other frameworks such as the European Research Infrastructure Consortia with reference to the set-up of dedicated In-Kind Committees to report and value the investments and the allocated resources
- ▶ Exchange with other Partnerships > towards a portfolio of different models to develop virtuous combination of in kind and in cash according to the different needs



How to move forward

- ▶ Develop a focus webinar together with EC Executive Agencies in order to have a clear and unique interpretation of the applicable rules and possibly finalize tailored operational guidelines / informative package
- ▶ Consult countries according to their respective priorities and available in-kind contributions
- ▶ Amend the Partnership Grant Agreement accordingly to release the EC contribution in the next two years (deadline Feb 2024)



Sustainable Blue
Economy Partnership

sbep@mur.gov.it

www.bluepartnership.eu, [@BlueEconomyEU](#)



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EUROPEAN PARTNERSHIP



HORIZON EUROPE

THE EU
RESEARCH & INNOVATION
PROGRAMME
2021 – 2027



*Research and
Innovation*

Financial management in Co-funded European Partnerships

- *Short overview of basic construction of co-fund budget*
- *Specifics on two important issues: in-kind contributions, conflict of interest*

Important background:

Horizon Europe Model Grant Agreement

Horizon Europe Annotated Grant Agreement

https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/aga_en.pdf



Basic construction of a co-fund

- Typically two blocks of activities:

- ✓ *Transnational calls for proposals*
- ✓ *Internal activities ('in-kind')*

- **Transnational calls for proposals:**

- ✓ Clear guidelines for implementation, see previous presentation
- ✓ Major cost category: Financial Support to Third Parties (FSTP) [D.1]
- ✓ Other cost categories can be used to cater for eg administration of the call (personnel cost [A] eg)

- **Internal/in-kind activities:** anything that is not a transnational call for proposals: coordination of in-house R&I or development of a common data set



In kind contributions

- Both transnational calls and in house activities can make use of **in kind contributions**
- In kind contributions are **non financial assets** which are put at the disposal of the partnership: this can be anything from the secondment of an employee to the use of a research infrastructure
- The **cost of an in kind contribution can be included in the partnership budget** by the beneficiary using it
- The **cost needs to be charged according to the cost categories that are involved**, eg depreciation cost for a research infrastructure [C.2], equipment cost for use of infrastructure [C.3], personnel cost for infrastructure operators [A], personnel cost for seconded staff [A], internal invoicing [D.2] etc.



as the variety of in kind contributions is very broad, it is not possible to provide detailed guidance that covers every possible application; the general rule is that **all eligible cost categories in the Horizon Europe Model Grant Agreement** can be used to cover the cost of in kind contributions: **check the AGA!**



Conflict of interest

- Relevant for those partnerships where beneficiaries also want to participate in the transnational calls
- Basic principle: a beneficiary (or any of its departments) that wants to participate in a transnational call can not be involved in the design of the call
- Guidance provided on participants portal:
 - ✓ Propose a clear **list of beneficiaries** (or which department of a beneficiary, where applicable) **that will have the responsibility of preparing and implementing the co-funded call**;
 - ✓ **Identify the beneficiaries** (or other departments of the same beneficiary) **which can apply for funding** under the co-funded call for proposals; and
 - ✓ Provide further details about any specific **'information barriers'** and any other measures to be put in place to avoid potential conflicts of interest or unequal treatment of applicants.
- To note: the feasibility of these measures is part of the evaluation process



Thank you!

HorizonEU

HorizonEUPartnerships

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

https://ec.europa.eu/info/research-and-innovation/funding/funding-opportunities/funding-programmes-and-open-calls/horizon-europe/european-partnerships-horizon-europe_en

<https://www.era-learn.eu/>



Lessons learned and recommendations for the distribution of EC contribution

27 April 2023

Co-funded European Partnerships: financial management in practice/ 1

- the **total EC contribution** will be calculated as a percentage of the **total eligible reported costs**
- EC funding is at a **constant rate** (here: typically 30%)
- to create costs **eligible for co-funding**, the financial administration of a co-funded European Partnership must **comply with the EC rules** for any **Horizon Europe** action:
 - costs have to be reported in line with the categories indicated in the budget table of the Grant Agreement (Annex 2), i.e. personnel costs (A), subcontracting (B), purchase costs (C), costs for providing financial support to third parties (D1), indirect costs (E)

Co-funded European Partnerships: financial management in practice / 2

- optional **internal agreements on the distribution of the EC contribution** are not required by the EC Grant Agreement; instead, these need to be defined in the **Consortium Agreement**
 - the **consortium can decide** to apply **different funding rates**, e.g.
 - **higher (>30%) funding rates** e.g. for the implementation of coordination and other project activities (e.g. increased workload provided by the call secretariat or task leaders for the benefit of the whole partnership)
 - at the same time **lower (<30%) funding rates** to the funding of trans-national research projects (cost category D1). This requires increased national/regional contributions to still receive the EC contribution foreseen in the GA as the reported costs needs to be the same.
 - The **distribution** will be carried out according to **internal agreements**.
- ! But: keep in mind that different internal funding rates may increase the **complexity & management efforts**.

Distribution of EC contribution: guiding principles & recommendations

- Keep it **as simple as possible**
- Apply the **same reporting structure** (cost categories) internally and towards the EC
- options:
 - adapt internal funding rates based on cost categories – e.g. lower funding rate in category D1 (financial support to third parties), higher funding rate for categories A,B,C
 - alternative: adapt funding rates based on activities/work packages
 - establish a **reserve fund** to be able to cover **unforeseen** funding gaps, e.g. because of less EC funding than expected due to lower reported costs. Option: set aside the EC funding for indirect costs as a reserve fund.

Example 1: internal funding rates based on types of activity

Activities	Costs			EC funding (30% funding rate)			internal distribution of EC funding			
	Core partners	Partners in some activities	Partners in calls only	Core partners	Partners in some activities	Partners in calls only	Core partners	Partners in some activities	Partners in calls only	
Coord /Mgt.	500 000 €			150 000 €			500 000 €			internal funding rate 100%
activity A	100 000 €	500 000 €		30 000 €	150 000 €		100 000 €	500 000 €		internal funding rate 100%
activity B	300 000 €	200 000 €		90 000 €	60 000 €		300 000 €	200 000 €		internal funding rate 100%
etc.
co-funded call	30 000 000 €	3 000 000 €	50 000 000 €	9 000 000 €	900 000 €	15 000 000 €	9 000 000 €	900 000 €	15 000 000 €	funding rate 30% does not work
Total	30 900 000 €	3 700 000 €	50 000 000 €	9 270 000 €	1 110 000 €	15 000 000 €	9 900 000 €	1 600 000 €	15 000 000 €	
	84 600 000 €			25 380 000 €			26 500 000 €			-1 120 000 € deficit
co-funded call	30 000 000 €	3 000 000 €	50 000 000 €	9 000 000 €	900 000 €	15 000 000 €	8 400 000 €	840 000 €	14 000 000 €	internal average funding rate max. 28% due to other activities funded at 100% (note: individual funding rates can be agreed depending on gap filling mode)
Total	30 900 000 €	3 700 000 €	50 000 000 €	9 270 000 €	1 110 000 €	15 000 000 €	9 300 000 €	1 540 000 €	14 000 000 €	
	84 600 000 €			25 380 000 €			24 840 000 €			540 000 € reserve budget

! Reported costs must be the same – otherwise reduced EC contribution.

Example 2: internal funding rates based on cost categories / 1

suggestions/options:

- internal funding rate 100% for cost categories A, B, C
 - A: personnel costs
 - B: subcontracting
 - C: purchase costs (travel, other goods and services, equipment)
- internal funding rate 0% (suggested) for cost category E (indirect costs)
 - can be used as a reserve fund and released at end of project duration
- internal funding rate <30% for cost category D1 (financial support to third parties)

Example 2: internal funding rates based on cost categories / 2

Real costs and reporting to EC

	Purchase costs					Financial support to third parties/€ (actual costs)	Indirect costs/€	Total eligible costs/€	corresponding requested EU contribution/€	theoretical funding rate
	Personnel costs/€	Subcontracting costs/€	Travel and subsistence/€	Equipment/€	Other goods, works and services/€					
Ben. 1	830 000	8 000 000	40 000	500 000	500 000		467 500	10 337 500	3 101 250	30%
Ben. 2	2 000 000	1 000 000	20 000	20 000		12 000 000	510 000	15 550 000	4 665 000	30%
Ben. 3	130 000		40 000				42 500	212 500	63 750	30%
.....	15 401 000	-	1 122 500	-	2 100 000	232 800 000	4 655 875	256 079 375	76 823 813	30%
Total	18 361 000	9 000 000	1 222 500	520 000	2 600 000	244 800 000	5 675 875	282 179 375	84 653 813	30%

Use of EC contribution: internal agreements for reimbursements

	Purchase costs					Support for FCTP adjusted to internal agreements (mixed mode)	Indirect costs/€	Reserve fund	Total internally agreed EC funding allocation/€	real funding rate
	Personnel costs/€	Subcontracting costs/€	Travel and subsistence/€	Equipment/€	Other goods, works and services/€					
Ben. 1	830 000	8 000 000	40 000	500 000	500 000	-	-		9 870 000	95%
Ben. 2	2 000 000	1 000 000	20 000	20 000		3 000 000	-		6 040 000	39%
Ben. 3	130 000		40 000				-		170 000	80%
.....	15 401 000	-	1 122 500	-	2 100 000	48 247 550	-		66 871 050	26%
Total	18 361 000	9 000 000	1 222 500	520 000	2 600 000	51 247 550	-	1 702 763	84 653 813	30%
funding rate	100%	100%	100%	100%	100%	21%	0%			

Co-funded calls: financial flexibility needed – use mixed funding mode

- use parts of EC financial contribution to cover funding needs in the selection list
- avoid agencies blocking the selection list

Nr	proposal ID	Proposal acronym	requested funding	Evaluation score	EC top-up needed to fill gap	Agency 1	Agency 2	Agency 3	Agency 4	Agency 5	Agency 6	Agency 7
1	A1	Test Projec	838394	13,5	0	0	0	0	0	0	0	0
2	A2	Test Projec	660000	13,5	0	0	0	0	0	0	0	0
3	A3	Test Projec	645000	13,5	0	0	0	0	0	0	0	0
4	A4	Test Projec	1520920	13	-973 064	0	-203 544	0	0	0	0	-769 520
5	A5	Test Projec	377125	13	-973 064	0	-203 544	0	0	0	0	-769 520
6	A6	Test Projec	648500	13	-973 064	0	-203 544	0	0	0	0	-769 520
7	A7	Test Projec	376762	13	-973 064	0	-203 544	0	0	0	0	-769 520
8	A8	Test Projec	515428	12,5	-973 064	0	-203 544	0	0	0	0	-769 520
9	A9	Test Projec	900000	12,5	-973 064	0	-203 544	0	0	0	0	-769 520
10	A10	Test Projec	1158765	12,5	-973 064	0	-203 544	0	0	0	0	-769 520
11	A11	Test Projec	571260	12,5	-973 064	0	-203 544	0	0	0	0	-769 520
12	A12	Test Projec	815000	12,5	-973 064	0	-203 544	0	0	0	0	-769 520
13	A13	Test Projec	337313	12,5	-973 064	0	-203 544	0	0	0	0	-769 520
14	A14	Test Projec	1162000	12,5	-1084 832	0	-203 544	0	0	0	0	-769 520
15	A15	Test Projec	575430	12,5	-1084 832	0	-203 544	0	0	0	0	-769 520
16	A16	Test Projec	694969	12,5	-1084 832	0	-203 544	0	0	0	0	-769 520
17	A17	Test Projec	611800	12,5	-1084 832	0	-203 544	0	0	0	0	-769 520
18	A18	Test Projec	462969	12,5	-1248 790	0	-203 544	0	0	-163 094	0	-769 520
19	A19	Test Projec	331172	12,5	-1379 962	0	-203 544	0	0	-163 094	0	-769 520
20	A20	Test Projec	645000	12	-1484 962	0	-203 544	0	0	-163 094	0	-769 520
21	A21	Test Projec	530081	12	-1684 954	0	-203 544	0	0	-163 094	0	-769 520

Co-funded calls: mixed mode - distribution of EC contribution

the consortium **can decide** to replace the uniform EC funding rate by a **dynamic allocation of the EC contribution according to needs –mixed-mode**

→ **avoid gaps in the selection list**

Example: variety of funding rates in practice

beneficiary	funding requested by selected research groups	EC funding rate	EC contribution	available national funding	internally agreed allocation of EC contribution (example)	resulting internally agreed funding rate
ben. A	€ 500.000	30%	€ 150.000	€ 200.000	€ 300.000	60%
ben. B	€ 500.000	30%	€ 150.000	€ 800.000	€ 75.000	15%
ben. C	€ 500.000	30%	€ 150.000	€ 300.000	€ 200.000	40%
ben. D	€ 500.000	30%	€ 150.000	€ 400.000	€ 100.000	20%
ben. E	€ 500.000	30%	€ 150.000	€ 500.000	€ 75.000	15%
Total	€ 2.500.000	30%	€ 750.000	€ 2.200.000	€ 750.000	30%

Lessons learned

- each beneficiary must be familiar with the Horizon Europe reporting rules (e.g. time sheets for personnel costs, ...) – this is in particular relevant for newcomers
- all costs need to be eligible and correctly reported in the EC portal
- any internal rules should be as simple as possible and clearly described in the Consortium Agreement
- any internal rules should fit the scope and activities of the particular Partnership
- costs under category D1 include total funding transferred to the selected transnational projects
- a mixed funding mode is recommended to cover funding gaps; avoid agencies running out of money and blocking the ranking list to avoid a reduced EC contribution
- the Partnership should closely monitor their actual costs to see if a detrimental situation appears
- use a reserve fund for unexpected situations

RARE DISEASES PARTNERSHIP

-

distribution & monitoring of budget

Lessons learned from the European Joint Programme on Rare Diseases

EJP RD coordinator
INSERM, France

ERA-LEARN Workshop on Implementation
of Co-funded Partnerships
27 of April 2023, online

RD PARTNERSHIP: FROM INCEPTION TO IMPLEMENTATION

- **INFORM & PREPARE:**
 - at least two webinars on understanding of in kind and in cash contributions
 - Individual meetings with interested countries (based on preliminary analysis of national landscape)
 - Detailed concept paper, SRIA and at least two 2-days meetings organised to prepare the Partnership
- **DEFINE CONTRIBUTIONS/COMMITMENTS:**
 - No single national institution that is responsible for the the management of rare diseases
 - Request for Letter of Intent specifying possible contributions per activity (signed by the head of the organisation/institution)
- **REFINE & FINALISE COMMITMENTS**
 - During the WP writing ensure and maximise the alignment between proposed contributions of involved (future) beneficiaries and final activities
- **AGREE ON THE INTERNAL REIMBURSEMENT RATES:**
 - RD Partnership reimbursement rate is 50%
 - The Partnership will encompass competitive calls and intense “in house” research and capacity building activities requiring both in cash and in kind contributions
 - EJP RD budget distribution model will be applied to:
 - Maximise the participation of all relevant stakeholders including the ones with lower capacity to cover the requested 50% (e.g. patient advocacy organisations, charities, some institutions from under-represented countries)
 - Maximise the overall budget of the Partnership depending on the type of activity



EUROPEAN CLINICAL RESEARCH NETWORK FOR RARE DISEASES

*RD Clinical Research Infrastructure
Data exploitation hub
Diagnostic research support
COA/PCOMs support
Biostatistical guidance
Clinical trials support
IN HOUSE RESEARCH PROJECTS
Possibility of clinical trials*



COMPETITIVE RESEARCH FUNDING AND SUPPORT

*Joint Transnational Calls,
Networking
Fellowships for young researchers*



Rare Diseases Partnership



TRANSVERSAL SUPPORT SERVICE

*Mentoring service
Data integration
Capacity building
Ethics & regulatory support
Acceleration hub*



COORDINATION, STRATEGY, GOVERNANCE

*Public-private collaboration
Maximisation of national alignment & contributions
Joint multi-stakeholder strategy
Patients as drivers*



**Why do we plan to use EJP RD
as a model for budget
distribution?**



**+2300
people**

**35 participating
countries**

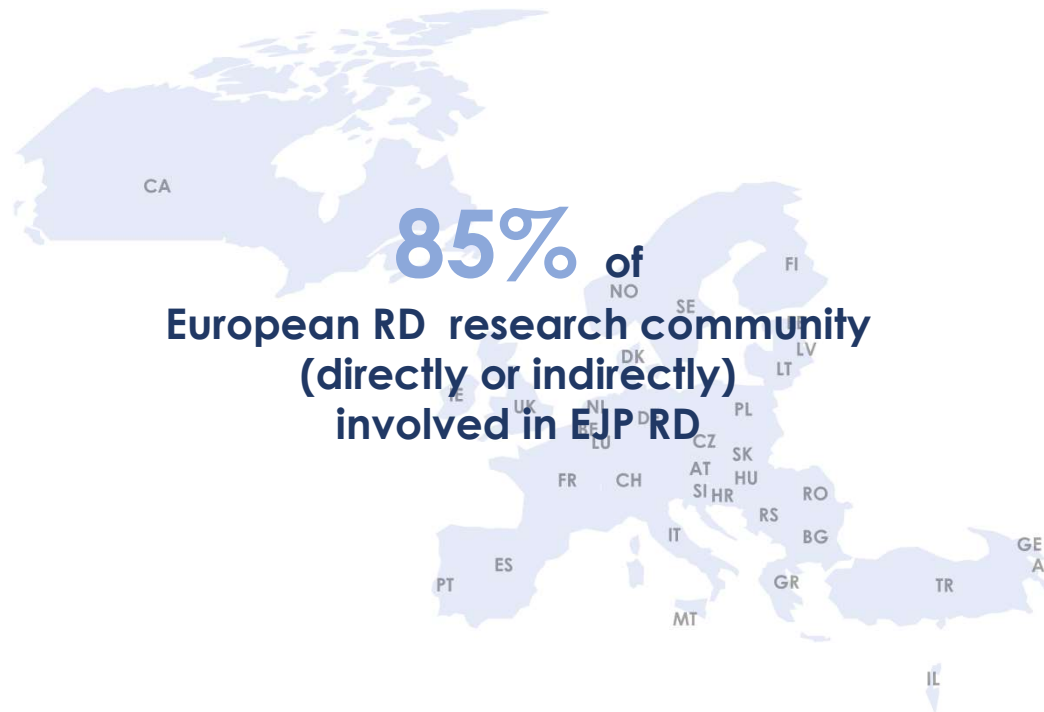
26 EU MS, 7 associated (AM, CH, GE, IL, NO, RS, TK), UK and CA

ALL 24 ERNs

**101 M€
Budget**

Union contribution: 55 M€ (70% reimbursement rate)

EJP RD in numbers



94 beneficiaries

- 10 hospitals
- 13 research institutes
- 31 research funding bodies/ministries
- 29 universities/hospital universities
- 5 EU infrastructures
- 5 charities/foundations
- EURORDIS

+ 47 linked third parties
+100% associated networks



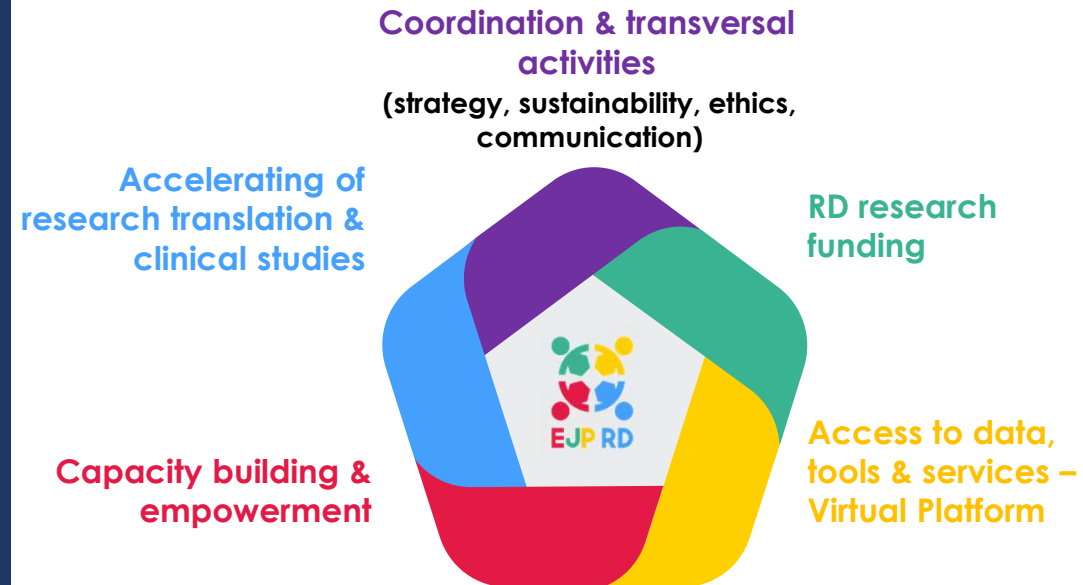
European Joint Programme on Rare Diseases – objectives & structure

Main objective:

Create a research and innovation pipeline "from bench to bedside" ensuring rapid translation of research results into clinical applications and uptake in healthcare for the benefit of patients

Mode of action:

Large programme that integrates existing infrastructures, trainings, funding programmes and tools, expands them and develops new essential ones to offer harmonized (and centralized) RD research ecosystem that is easy to use for scientists and produces benefits for patients in the most efficient way



- The EJP RD Grant Agreement states the reimbursement rate of max. **70% for the project as a whole**. However, specific so called “internal” reimbursement rates were set for different type of activities and agreed by the partners. These internal reimbursement rates were already communicated in the EJP RD proposal and confirmed through the signature of the Framework Consortium Agreement.
- **IMPORTANT:** the internal reimbursement rates are only for EJP RD partners and are disregarded by the EC that reimburses the whole project at 70% max.

- In EJP RD, the **in-kind contribution is calculated based on the type of activity in which the beneficiary is involved, in practice per Work-package**. The calculation is based on an agreed percentage of reimbursement from the European Union. The eligible costs not funded by the EU is considered as in-kind contribution
- The percentage of in kind contribution was defined **depending on the beneficiaries financial capacities**
- The **in kind calculation is applied to overall sum** attributed (internally) to the partner that includes merged PM and other costs

Coordinated by



EJP RD BUDGET SHARE

(INTERNAL REIMBURSEMENT RATES)

COORDINATION
& TRANSVERSAL ACTIVITIES

INTEGRATIVE RESEARCH STRATEGY

SUSTAINABILITY

ETHICAL & REGULATORY

COMMUNICATION

9 M€
100%
reimb.rate

1

33% + 100% reimb.rate

16 M€ - EC
40 M€ - MS

FUNDING –
OPEN CALLS

COORDINATED
ACCESS TO DATA &
SERVICES

70% reimb.rate

17.5 M€ - EC
8 M€ - MS

2

3

80-90% reimb.rate

6 M€ - EC
1 M€ - MS
CAPACITY
BUILDING &
EMPOWERMENT

4

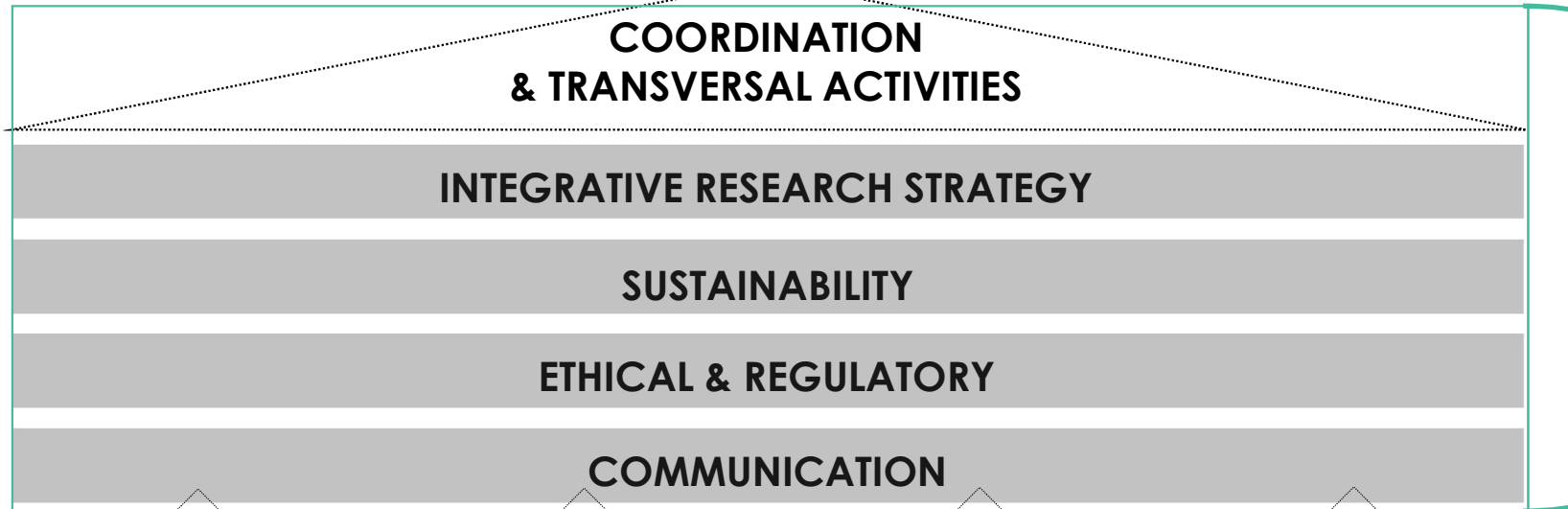
ACCELERATING
TRANSLATION OF
RESEARCH & CTs

70% reimb.rate

6.65 M€ - EC
2.85 M€ - MS



In-kind contribution per pillar



1

FUNDING

In cash contribution!

2

COORDINATED ACCESS TO DATA & SERVICES

30% in-kind contribution

3

CAPACITY BUILDING & EMPOWERMENT

10-20% in-kind contribution

4

ACCELERATING TRANSLATION OF RESEARCH & THERAPY DEVELOPMENT

30% in-kind contribution



EJPRD

EJP RD – THE USE OF IN CASH CONTRIBUTIONS AS MAJOR BUDGETARY “RESOURCE”

COORDINATION
& TRANSVERSAL ACTIVITIES

INTEGRATIVE RESEARCH STRATEGY

SUSTAINABILITY

ETHICAL & REGULATORY

COMMUNICATION

1

FUNDING

2

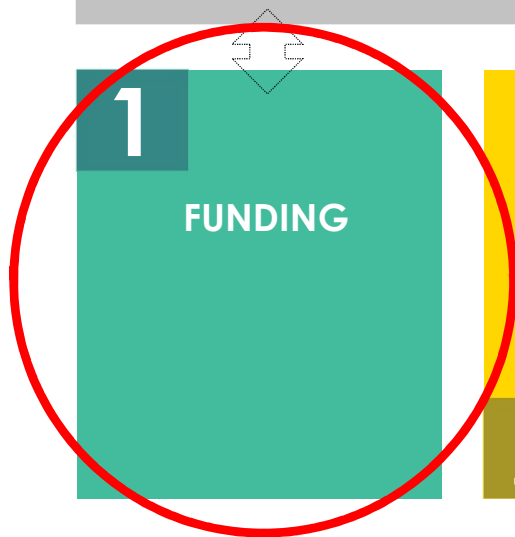
COORDINATED
ACCESS TO
DATA &
SERVICES

3

CAPACITY
BUILDING &
EMPOWERMENT

4

ACCELERATING
TRANSLATION
OF RESEARCH &
THERAPY
DEVELOPMENT



EJP RD – THE USE OF IN CASH CONTRIBUTIONS AS MAJOR BUDGETARY “RESOURCE”

- Initial in cash commitment of about 40 M€
- Eligible to receive 70% of reimbursement → 28 M€
- Consortium agreed that only 10 M€ will go back to finance joint transnational calls
- Additional 3.5 M€ were agreed to be used to finance Networking Support Scheme (100%) and Rare Diseases Research Challenges
- 1 M€ was dedicated to finance participation of Patient Advocacy Organisation in research projects (100%)
- The remaining budget (around 13 M€) was used to cover the costs of other activities in the EJP RD project that could not generate the required 30% of in kind contribution



WHAT WE CAN DO BETTER IN THE RD PARTNERSHIP

The approach to in kind contributions!

- In EJP RD, the **in-kind contribution is calculated based on the type of activity in which the beneficiary is involved, in practice per Work-package**. The calculation is based on an agreed percentage of reimbursement from the European Union. The eligible costs not funded by the EU is considered as in-kind contribution. In kind contributions of the partners are directly linked with their activities in the project
- In the RDP in kind contributions may go beyond the direct activity of a partner since they contribute to the programme as a whole. Thus they become a source of budget (same as in cash contributions) to generate reimbursement that can be then distributed → generated in kind contribution may be higher than the direct return of budget to specific organisation/institution

MONITORING OF BUDGET

- TWO BUDGET TABLES:
 - the **financial part of the DoA** validated by the EC
 - **Internal redistribution** of budget (validated by the consortium and Annexed to the Consortium Agreement)
- ANNUAL REPORTING:
 - Detailed financial report **submitted to the COORDINATION** → must be check and validated; if needed CoO request revision.
 - Only **VALIDATED reports are submitted to the EC**
- REDISTRIBUTION OF FUNDS:
 - Includes **reimbursement of eligible costs** (as agreed within the internal redistribution of budget) + “**pre-payment**” of some % of the costs expected to be incurred during the forthcoming year
 - Budget is verified and assigned per partner. If partner **underspend** they **do not receive any additional budget**
 - The budget is revised annually and if a partner **does not participate**/accomplished foreseen tasks it may be decided to **shift their budget to another partner or another activity**

MONITORING OF COSTS RELATED TO FUNDED PROJECTS IMPLEMENTED BY RPOs PARTICIPATING IN THE EJP RD

The Firewall principles apply but in addition:

- Funding agencies scan proposals to detect any participation of a RPO involved in the EJP RD
- Additional check is being done to verify if the applying teams and PIs are the same as in the EJP RD
- In case of “simple” RPO participation no further monitoring is being done (if different research units/Pis etc.)
- In case the same teams participate in EJP RD and perform “in house” research activities the proposal is being scanned for possible double funding/similar activities and such project (if selected for funding) is closely monitored

IN SUMMARY

- The “internal reimbursement rates” model functions well and allows on higher level of flexibility and participation of different types of partners in the activities of the partnership
- It requires close monitoring and annual report checking by the coordination (possible additional costs) BUT until now all our financial reports were accepted with very minor request for clarification and none of the costs were rejected
- The in cash contributions are considered as main source of direct costs generating reimbursement but the in kind contributions can also be profitable as long as they are carefully prepared and should be also monitored
- The preparatory meetings with interested countries were highly beneficial and facilitated the definition of commitments

THANK YOU

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Follow us on social media



[@EJPRarediseases](https://twitter.com/EJPRarediseases)



The EJP RD initiative has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement N°825575



biodiversa+
European Biodiversity Partnership

Call management: experience sharing

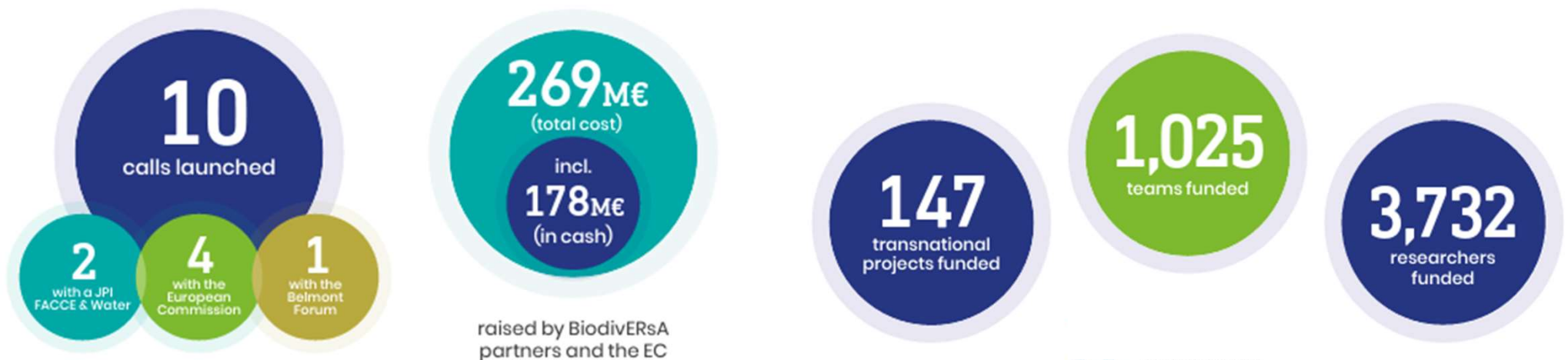
Biodiversa+ Chief Executive Officer, FRB, France

27 April 2023



Where do I speak from?

- **Biodiversa+** : the **European biodiversity Partnership** co-funded by the European Commission under Horizon Europe
- **Supporting excellent research on biodiversity with an impact for policy and society**
- Officially launched on 1 October 2021 for a 7 years duration
- Jointly developed by BiodivERsA and the European Commission (DG Research & Innovation and DG Environment) – **building on the BiodivERsA experience (2008-2021)**



The Biodiversa+ membership



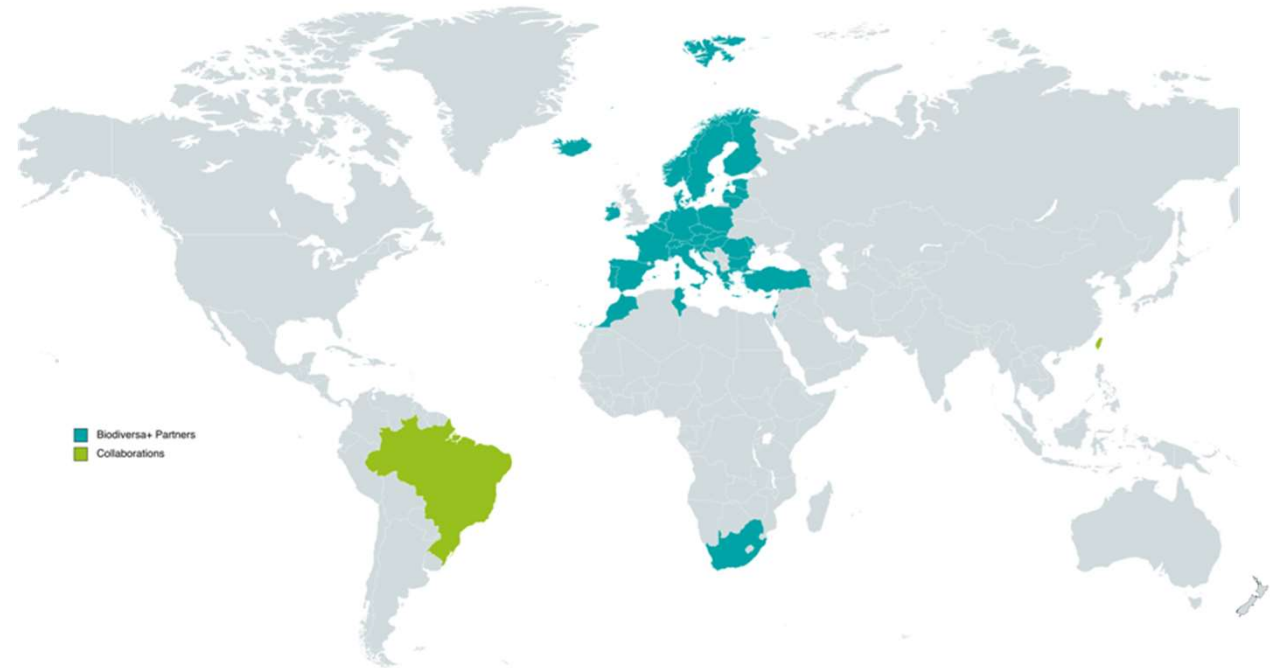
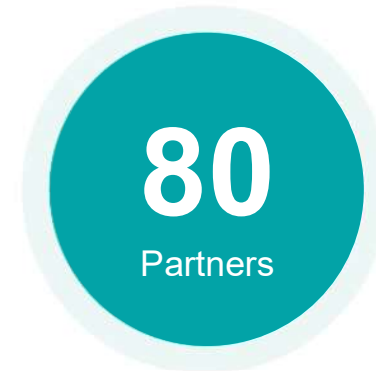
Research actors

- Ministries in charge of research
- Research funding organisations

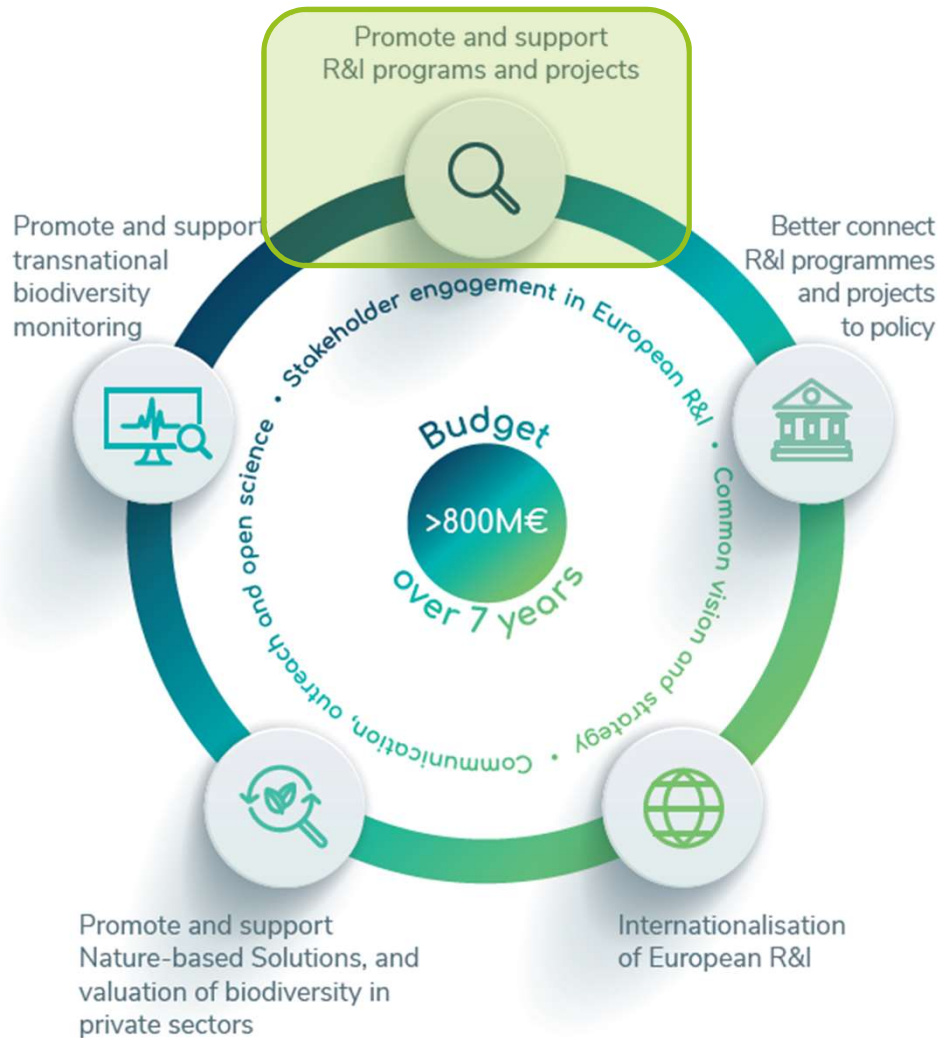


Policy actors

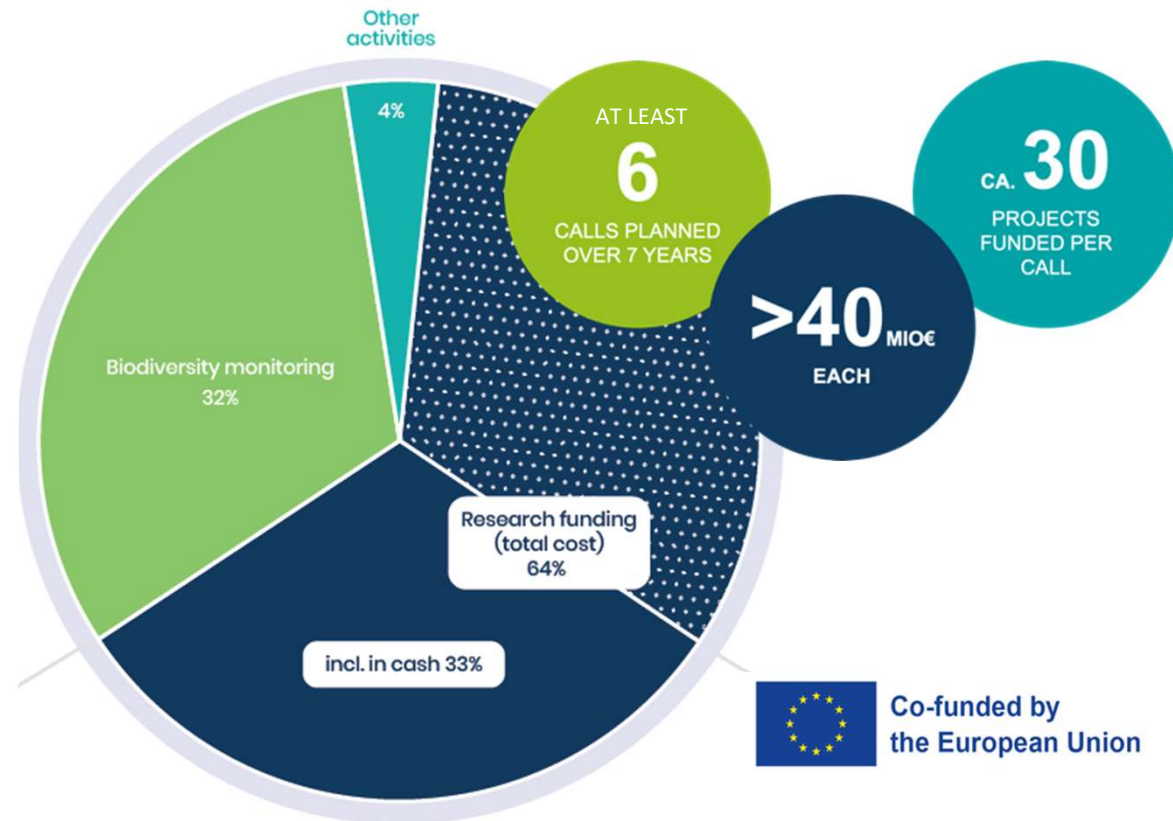
- Ministries in charge of environment
- Environment protection agencies



Our objectives in terms of research funding



Budget of >800 Mio € over 7 years,
 combining in-cash and in-kind resources from its Partners
 and including 165 Mio € by the European Commission



Call management | **The call text development process**



General timeline and major steps for our call text development

Pre-scoping exercise

- Outcomes of Biodiversa+ activities
- Mobilisation of experts (WS)

Expert scoping WS

- Second draft call text circulated to the CSC & EC and open for comments

Launch of the call

- Publication of the call text

Jan
Y-n

Q1
Y-n

April
Y-n

May
Y-n

Sept
Y-n

Call text drafting

- By a few key experts
- 1st draft call text circulated to the CSC & EC and open for comments

CSC meeting

- Adoption of the call text

Call management | **Main procedures**



The Call Memorandum of Understanding

- **Key document detailing the procedures to be applied** in the call
 - Signed by all Organisations participating in the call
 - Include a core MoU, with the main processes to be followed and funding model and more detailed annexes for applicants, the Call Secretariat, the Evaluation Committee
 - Non legally binding document
- Completed by annexes related to the **processing of personal data**
 - Joint Controller Agreement
 - Standard Contractual Clauses

Call management governance

- **Call Secretariat**
 - Two partners involved (a main one, and another one in support)
- A Call Steering Committee (**CSC**)
- Funding Organisations Contact Points (**FCP**)
- **Independent Evaluation Committee (EvC)**
- Independent observer [**EC rule**] who will report on the process to EC

Important: cf. Code of Conduct related to Conflict of interest, confidentiality and non-disclosure

- CSC and FCP cannot be applicant in a proposal submitted within the Partnership's calls.
- All information are confidential. Only the EvC composition will be made public at the end of the evaluation process.

General call timeline

	June Y-n	Pre-announcement of the call	
	Sept. Y-n	Official launch of the call → The call text must be sent at least 30 days before the official launch of the Call to EC → The call needs to remain open min. 60 days → The Call must be published on the EC tender portal	
	Sept. Y-n	CSC meeting to appoint the co-Chairs	
Step 1:	Nov. Y-n	Deadline for submitting pre-proposal	
	Nov. Y-n	CSC meeting to appoint the EvC	
	Dec. Y-n	1 st eligibility check & CSC meeting to decide on the final eligibility decision	
	Jan./ Feb. Y-n+1	1 st EvC meeting → Results of the first EvC meeting	
	Feb. Y-n+1	CSC meeting to decide on proposals invited in Step 2 → Results of the eligibility check and selection decisions sent to applicants	
Step 2:	April Y-n+1	Deadline for submitting full proposals	
	April Y-n+1	2 nd eligibility check & CSC meeting to decide on the final eligibility	
	Jun./ Jul. Y-n+1	2 nd EvC meeting → Ranked list of proposals established by the EvC	
	Mid/Late Sept. Y-n+1	CSC meeting: Recommendation for funding projects	Allow the use of Y-n+1 and Yn+2 budgets
	1 Dec. Y-n+1	Earliest possible start of funded projects	
1 Apr. Y-n+2	Latest possible start of funded projects		

The Biodiversa+ evaluation process

STEP 1

Eligibility check

- At the Call level
- At the FO level

Evaluation Committee (EvC)

- Each pre-proposal is assessed by:
- **2 scientific members** among the EvC
 - **2 policy/management members** among the EvC

STEP 2

Eligibility check

- At the Call level
- At the FO level

External reviewers

- Each full proposal should be preferably reviewed by:
- **2 scientific external reviewers**
 - **1 p/m external reviewer**

Evaluation Committee (EvC)

- Each full proposal is assessed by:
- **2 scientific members** among the EvC
 - **2 p/m members** among the EvC

The evaluation Criteria

STEP 1: pre-proposal stage

For scientific EvC members:

- **Fit to the scope of the call (yes/no)**
- **Novelty of the research (scores from 1 to 5; threshold: 3)**

For policy/management EvC members:

- **Impact (scores from 1 to 5; threshold: 3)**

STEP 2: full-proposal stage

For scientific EvC members and external reviewers:

- **Excellence (scores from 1 to 5; threshold: 3.5) / weight 7**
- **Quality and efficiency of the implementation (scores from 1 to 5; threshold: 3) / weight 3**

For policy/management EvC members and external reviewers:

- **Impact (incl. expected policy and/or societal impact and approach to stakeholder engagement) (scores from 1 to 5; threshold: 3) / weight 6**

Proposals that do not meet one of the threshold(s) during EvC meetings won't be ranked nor considered for funding

Mandatory criteria

The establishment of the ranking list

Funding Organisation #1
Funding Organisation #2
Funding Organisation #3

...

Funding Organisation #N



Co-funding from the
European
Commission (EC)



One joint Call

With one single joint (international) evaluation

One ranking list

➤ Funding of the best top projects



Important: NO NATIONAL PRE- OR POST- SELECTION

After funding decision:

- Each funding organisation directly funds its own national/regional teams and establish their contracts
- The EC funding is distributed through the funding organisations eligible to EC funding
- Try to have research teams within one project starting at the same date

Step 1: ranking and invitation to step 2

- Proposals are ranked according to their final score and attributed within **three groups**:
 - “A” very favourable for invitation to Step 2;*
 - “B” could be invited to Step 2;*
 - “C”, not favourable for invitation to Step 2*

The **CSC agrees on the proposals invited to step 2** following the grouping made by the EvC.

Guidelines to decide on the number of proposals invited to Step 2

- The CSC should invite a sufficient number of proposals to step 2 to give them a fair chance of being funded
- The expected financial pressure for some funding organisations or undersubscription rate
- Feasibility of the evaluation process for the Call Secretariat to keep the evaluation process manageable

Step 2: ranking and recommendation for funding

- Proposals are ranked according to their final score
 - The EvC ranks as many projects as possible;
 - yet around the funding threshold, the EvC can decide to equally rank proposals with a same final score that it considers of equal quality

NB | Sometimes, real interest in equally ranking proposals around the funding threshold if considered of equal quality

Around the threshold	Option 1		Option 2		Involved countries
	Final scores	Ranking	Final Scores	Ranking	
Project 20	11.5	20	11.5	20	France*, Germany*, Greece
Project 21	11.5	21	11.5	20	France*, Germany*, Israel, Spain
Project 22	11.5	22	11.5	20	Latvia, Portugal, Sweden

- If **option 1** chosen by EvC, the CSC will **fund only 19 projects**
- If **option 2** chosen by EvC, the CSC may **fund 20 projects** (incl. Project 22 but not 20 & 21)

*Countries with **NO MORE** funds available after the 19th project

- CSC funding meeting | Agreement on the proposals to be recommended for funding - as many as possible - **strictly following the ranking list established by the EvC (EC rule)**

Call management | **Guidelines for applicants**



Types of projects funded

➤ Average size of collaborative research projects

- **Medium size projects**
- **1.2 – 1.5M€** (on average)
- **7 Partners from different countries** (on average; minimum is 3)



good opportunity to be part of bigger transnational research projects and to join forces with other teams



!/ Each Funding Organisation funds its own national / regional research Partner

→ Applicants are strongly advised to approach their respective Funding organisation Contact Point to make sure they respect all the eligibility criteria and rules (e.g. eligible budget items etc.)



Types of projects funded

Overall, projects are expected to:

- Be **scientifically excellent**
- Be **multi-disciplinary**, where relevant
- Demonstrate a **transnational added value**
- **Engage stakeholders**
- **Demonstrate political / societal relevance**

!! Expectations at the level of the whole project, and not at the level of each research Partner **!!**



Specific assessment criteria to evaluate these

Resources to help applicants

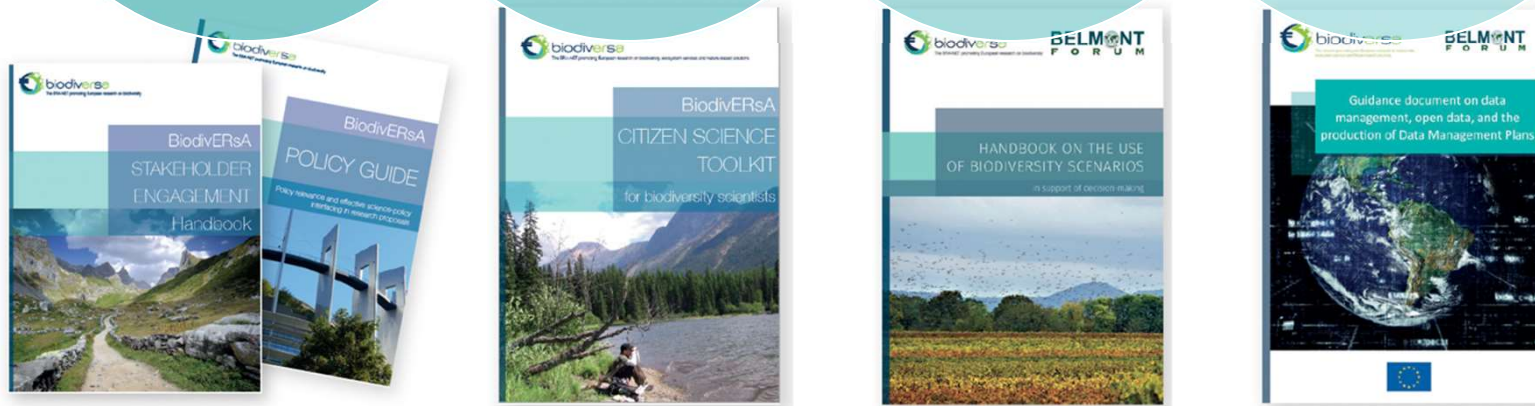
Guides on **stakeholder engagement & policy relevance** of research

Toolkit on **citizen science**

Handbook on the use of **biodiversity scenarios**

Guide on **data management**

The Partner Search Tool



Call management | Funding model & how to deal with under/over-subscription ?



The Biodiversa+ call funding model

Objective: Allow the maximum number of high quality projects to be funded

“Mix-mode” funding model for the use of EC contribution, with:

- **High percentage on a pro rata basis (85%) – “top-up”**, i.e. the EC contribution to support research will be mainly allocated pro rata to the Funding Organisations, based on their respective actual contributions
- **And a “flexibility” common pot (15%)**, i.e. the EC contribution will also be put into a “flexibility” common pot that will be used to close the gaps of funding within the ranking list.
!/! Funding Organisations first have to fulfil their initial commitments before accessing the common pot

The Call Steering Committee (CSC) can adjust the EC top-up allocation between the pro-rata & common pot during the CSC funding meeting if this allows to fund a higher number of projects.

Average
top-up rate:
27%

Funding model : how to avoid under & over-subscription

Flexibilities to be explored as needed:

- Have a realistic budget reserved as compared to the size of the research community
- Define maximum amount of funding per proposal or per team
- In case of too high financial pressure:
 - Increase of budget
 - Budget cuts
 - Some FO may be able to fund foreign teams (e.g. via subcontracting, via the release of (part) of their respective virtual common pot, etc.);

These levels of flexibility will be explored

- before the launch of the call
- after the first evaluation step
- after the final evaluation of the full proposals

The issue of undersubscription

- A Funding Organisation does not have to spend all the funds that have been provisionally reserved, if the funding request by its applicants is lower than its reserved budget
 - Undersubscription is problematic as it might compromise your funding target in a call

How to deal with undersubscription?

- Based on previous experience, a **low success rate is often related to low participation rate**
 - **Raise awareness** on the call in countries with small research communities as early as possible
 - Propose **capacity building** activities
 - Try to help as much as possible to link research communities (**networking**)
 - Work with the concerned Funding Organisations early on, and possibly with NCPs
- Discussion on **implementation of measures between Step 1 and Step 2** to deal with risks of undersubscription
 - Between Step 1 and Step2, favour proposals with Partners depending on Funding Organisations that were less successful (only if in the same ranking group)
- In Biodiversa+, set-up of a **dedicated working group** to think how to improve success from lower successful countries

A few take home messages

- Importance to prepare **all evaluation steps well in advance**
- **Oversubscription risk:**
 - Importance to establish **right level of funding** from the start (matching the size of the research community) and the definition of appropriate funding rules
 - **Even more important for countries not eligible for EC funding** (as they cannot benefit from the common pot)
 - Let the CSC know as early as possible the outcomes of evaluation at Step 2 to give them time to be prepared for the CSC funding decision meeting
- **Undersubscription risk** should not be underestimated
 - The **mobilization** of research community early enough is key
 - Might be useful to better work with NCP networks
- **More and more challenging:**
 - Manage calls where a high number of proposals are submitted (>200)
 - While keeping a reasonable success rate



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Events: <https://www.era-learn.eu/news-events/events>

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