Webinar: Preparing co-funded European Partnerships

Moderation: Jan-Arne Eilertsen (ERA-LEARN)

Time	Topic	Speaker
	Moderation: Jan-Arne Eilertsen (ERA-LEARN)	
9:30-13:00	Welcome & Introduction	Minna Wilkki (Head of unit, EC RTD.A.4) Jan-Arne Eilertsen (ERA-LEARN) Roland Brandenburg (ERA-LEARN)
	Policy & Governance	Andrei Linţu, Maria Leek (EC RTD.A.4) Daria Julkowska (EJP RD)
	Financial Governance	Andrei Linţu (EC RTD.A.4) Maria Bianco, Roland Brandenburg (ERA-LEARN)
	Cofunded calls and other activities	Andrei Linţu (EC RTD.A.4) Effie Amanatidou (ERA-LEARN)
	Questions & Answers	Christiane Wehle (ERA-LEARN) and all speakers
	Closing	Jan-Arne Eilertsen (ERA-LEARN)

Scope of this webinar: Support the preparation of co-funded Partnerships

We will present & discuss:

- ➢ Strategic Coordination Process
- ➢ Status of Model Grant Agreement and templates
- ➢ Eligible Costs and In Kind Contribution
- ➢ Use of EC funding
- ➢ Co-funded Calls and other Activities

We will NOT discuss:

- x Co-Programmed and Institutionalised Partnerships
- x Detailed Contents of individual proposals (consortium composition, how to join a partnership, ..)
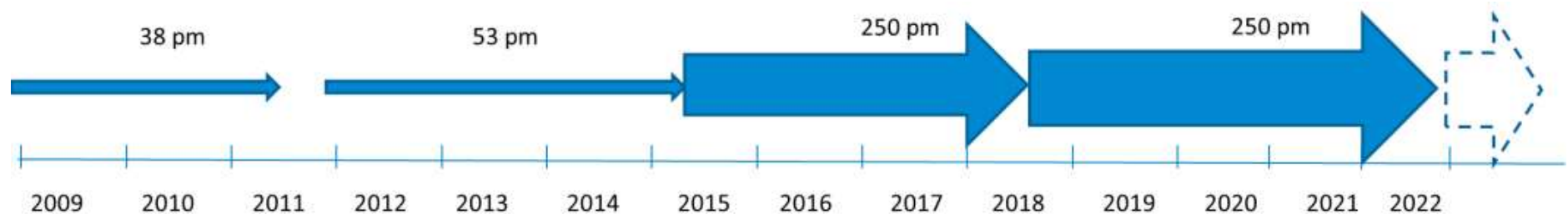
ERA LEARN

Introduction to ERA-LEARN

Who we are and what we do

Roland Brandenburg (ERA-LEARN)

ERA-LEARN: 12 years of support for Partnerships

- consortium of funding organisations and analysts

- supporting the Partnerships community since 2009

- expanding … from FP7 ERA-NET to JPI …
  … to Horizon 2020 ERA-NET Cofund and EJP …
  … to Horizon Europe European partnerships …

- expanding our efforts
  from a 38 pm project in 2009
  to a 250 pm project in 2018

	Country	Organisation	Organisation long
1	(AT)	FFG	Austrian Research Promotion Agency
2	(AT)	AIT	Austrian Institute of Technology
3	(DE)	DLR	DLR Project Management Agency
4	(DE)	VDI/VDE-IT	VDI/VDE Innovation + Technik GmbH
5	(FI)	AKA	Academy of Finland
6	(IT)	MIUR	Ministry of Education, University and Research
	(IT)	CNR	CONSIGLIO NAZIONALE DELLE RICERCHE
7	(NO)	RCN	Research Council of Norway
8	(UK)	OPTIMAT	Optimat Ltd
9	(UK)	UNIMAN	Manchester Institute of Innovation Research
10	(GR)	AMANATIDOU	Amanatidou Efthymia
11	(PL)	NCN	National Science Centre

38 pm   53 pm   250 pm   250 pm

2009 2010 2011 2012 2013 2014 2015 2016 2017 2018 2019 2020 2021 2022
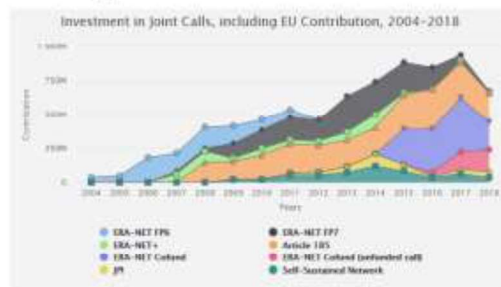
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ERA-LEARN: service provider

- central information hub: the ERA-LEARN portal www.era-learn.eu
- databases:
  - ➢ networks, countries, organisations
  - ➢ joint calls, funded projects
  - ➢ thematic information
- guidance & toolkits
  - ➢ joint activities
  - ➢ support impact assessments –RIPE toolkit
  - ➢ identify and spread good practise for specific common challenges
    (e.g. widening and inclusiveness, internationalisation)

Thematic clustering of ERA partnerships

Materials

Facts and figures

Investment in Joint Calls, including EU Contribution, 2004-2018

- ERA-NET FP6
- ERA-NET+
- ERA-NET Cofund
- JPI
- ERA-NET FP7
- Article 185
- ERA-NET Cofund (unfunded call)
- Self-Sustained Network

R&I Partnership Evaluation (RIPE) Toolkit

1. Planning
2. Doing
3. Using

Joint Activities

Next to the implementation of joint calls, a variety of joint activities are carried out by the different P2P consortia. ERA-LEARN introduces categories of these activities and illustrates these with examples from different P2P-networks.

FACCEJPI

Example FACCE JPI Strategic Research Agenda

The Strategic Research Agenda of the Joint Programming Initiative on Agriculture, Food

JPI Climate

Example JPI ClimateStrategic Research and Innovation Agenda
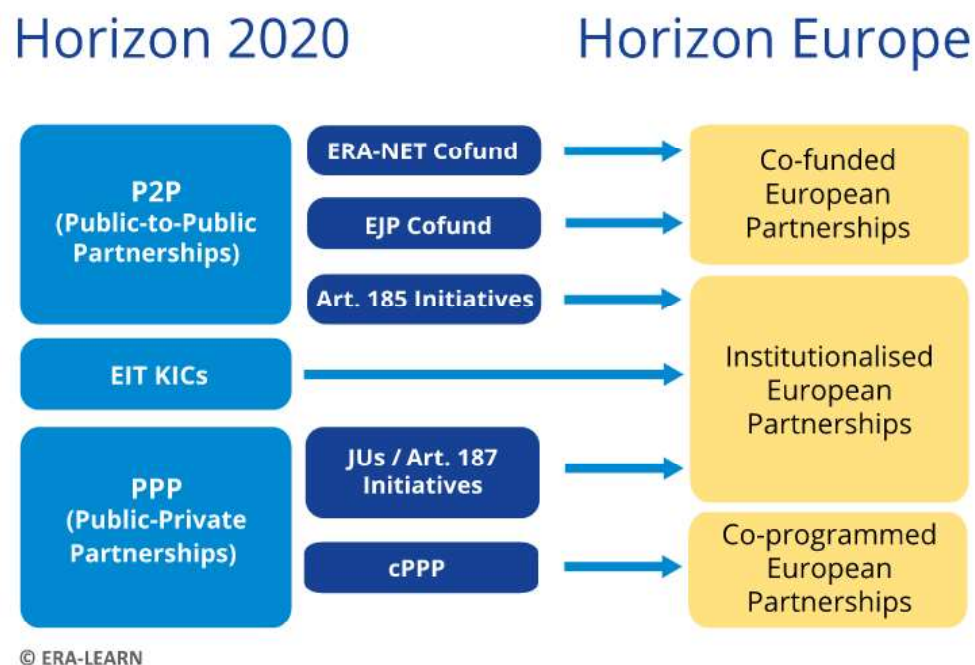
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ERA-LEARN: facilitator

interaction with the Partnerships community:

- monthly news alert
- country reports
- annual report on partnerships
- events
  - annual large events since 2009
  - training workshops on specific issues

ERA-LEARN: main goals 2018-2022

➢ support the transition of Partnerships from Horizon 2020 to Horizon Europe:

▪ interact closely with the Partnerships community and facilitate a dialogue among stakeholders

▪ provide the Partnerships community with evidence and guidance

© ERA-LEARN

Visit the ERA-LEARN Portal

https://www.era-learn.eu

New approach to European Partnerships

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

Key Features

- Strategic orientation
- Simple architecture and toolbox
- Common set of criteria for the life-cycle (Horizon Europe regulation Article 8 and Annex III)

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 and implemented by partners; commitment of partners for financial and in-kind contributions

INSTITUTIONALISED
Based on long-term dimension and need for high integration; partnerships based on Art 185/187 of TFEU and the EIT legal acts for 2021-2027

European Commission

Overview of 49 candidate European Partnerships

PILLAR II - Global challenges & European industrial competitiveness

PILLAR III - Innovative Europe

CLUSTER 1: Health	CLUSTER 4: Digital, Industry & Space	CLUSTER 5: Climate, Energy & Mobility	CLUSTER 6: Food, Bioeconomy, Agriculture, …	EIT	SUPPORT TO INNOVATION ECOSYSTEMS
Innovative Health Initiative	Key Digital Technologies	Clean Hydrogen	Circular Bio-based Europe	InnoEnergy	Innovative SMEs
Global Health Partnership	Smart Networks & Services	Clean Aviation	Rescuing Biodiversity to Safeguard Life on Earth	Climate	
Transformation of health systems	High Performance Computing	Single European Sky ATM Research 3	Climate Neutral, Sustainable & Productive Blue Economy	Digital	
Chemicals risk assessment	European Metrology (Art. 185)	Europe's Rail		Food	
ERA for Health	AI-Data-Robotics	Connected and Automated Mobility (CCAM)	Water4All	Health	
Rare diseases*	Photonics	Batteries	Animal Health & Welfare*	Raw Materials	
One-Health Anti Microbial Resistance*	Made in Europe	Zero-emission waterborne transport	Accelerating Farming Systems Transitions*	Manufacturing	
Personalised Medicine*	Clean steel – low-carbon steelmaking	Zero-emission road transport	Agriculture of Data*	Urban Mobility	
Pandemic Preparedness* *Co-funded or co-programmed*	Processes4Planet	Built4People	Safe & Sustainable Food System*	Cultural and Creative Industries	
	Global competitive space systems**	Clean Energy Transition			
		Driving Urban Transitions			

CROSS-PILLARS II AND III

European Open Science Cloud

■ Institutionalised Partnerships (Art 185/7)
■ Institutionaised partnerships / EIT KICs
■ Co-Programmed
■ Co-Funded

* Calls with opening dates in 2023-24
** Calls with opening dates not before 2022

European Commission

Co-funded European Partnership

- Relevant **current actions**: European Joint Programme and ERA-NET Cofund;

- **Legal form:** Grant Agreement (programme co-fund action) signed between a consortium of beneficiaries and the Commission;

- **Implementation**: Member States design a common programme to be implemented under their responsibility. It pools national funding/resources with co-funding from the Union.

- **Estimated EU contribution to the 16 co-funded partnerships**: EUR 2.2 billion

- Calls and evaluations are organised centrally, beneficiaries in selected projects are funded at national level

- **Important to** define ex-ante:

  ➢ Types of partners needed to form the partnerships (consortium);

  ➢ Stakeholders providing input (e.g. priority setting) ← **role of ministries!**

  ➢ Stakeholders and target groups that are addressed/ involved by the activities implemented.

European Commission

Co-funded European Partnerships - Key principles

- EU co-funding is at a constant rate [typically 30%, in exceptional cases 50%] per grant agreement and is generated by eligible costs

- Each consortium agrees internally on how the EU cofounding is best used / distributed internally (similar to ERA-NET Cofund / EJP Cofund actions in Horizon 2020)

- To create eligible costs for co-funding, the financial management of co-funded European Partnerships will be in line with the rules for financial management for any Horizon Europe action.

- This applies to all contributions, including cash contributions (in Horizon 2020 they were listed under cost category financial support to third parties)

- All Co-funded European Partnerships will have corresponding topics in the Horizon Europe work programme

European Commission

Co-funded European Partnerships

Strategic Coordinating Process for partnerships

MARIA LEEK

Strategic Coordinating Process: Political context

The Council has insisted on creating strategic coordinating process for partnerships since 2017. The rationale is to ensure the early involvement of Member States in the preparation, implementation and strategic oversight of partnerships, to make sure that the new principles are being applied, and to maximise the impact of joint investments made through partnerships.

Key political documents regarding the Strategic Coordinating Process (in chronological order)):

- **Council conclusions** **"From the Interim Evaluation of Horizon 2020 towards the ninth Framework Programme"** (2017)

- **ERAC recommendations** on the requirements for the set-up of a strategic coordinating process for the selection, implementation, monitoring and phrasing out of R&I partnerships (based on **ERAC Ad-hoc working group on partnerships, 2018**)

- **Article 4a of the draft Horizon Europe Specific Programme**: "*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.*"

- **Transitional Forum for R&I Partnerships** to prepare for the launch of the Strategic Coordinating Process in 2021

- **Council Conclusions on the New European Research Area** (2020): "*Calls on the Commission to ensure the timely launch of the Strategic Coordinating Process for Partnerships.*"

European Commission

Strategic Coordinating Process for Partnerships: Objectives

The overall goal of the strategic coordinating process is to support an evidence-based policy for partnerships and a strategic vision of the landscape. It should allow a consolidated view on the progress made by partnerships.

Concretely it aims to:

1. Support **Community Building** and mutual learning across partnerships;

2. Raise **Visibility** and strengthen stakeholder communication and consultation;

3. Provide policy makers and partnerships with the **Evidence Base**;

4. Prepare **Strategic Discussions** on key policy issues;

5. Ensure a **Feedback Loop** from Member States and Partnerships on the portfolio evolution, implementation, monitoring and evaluation.
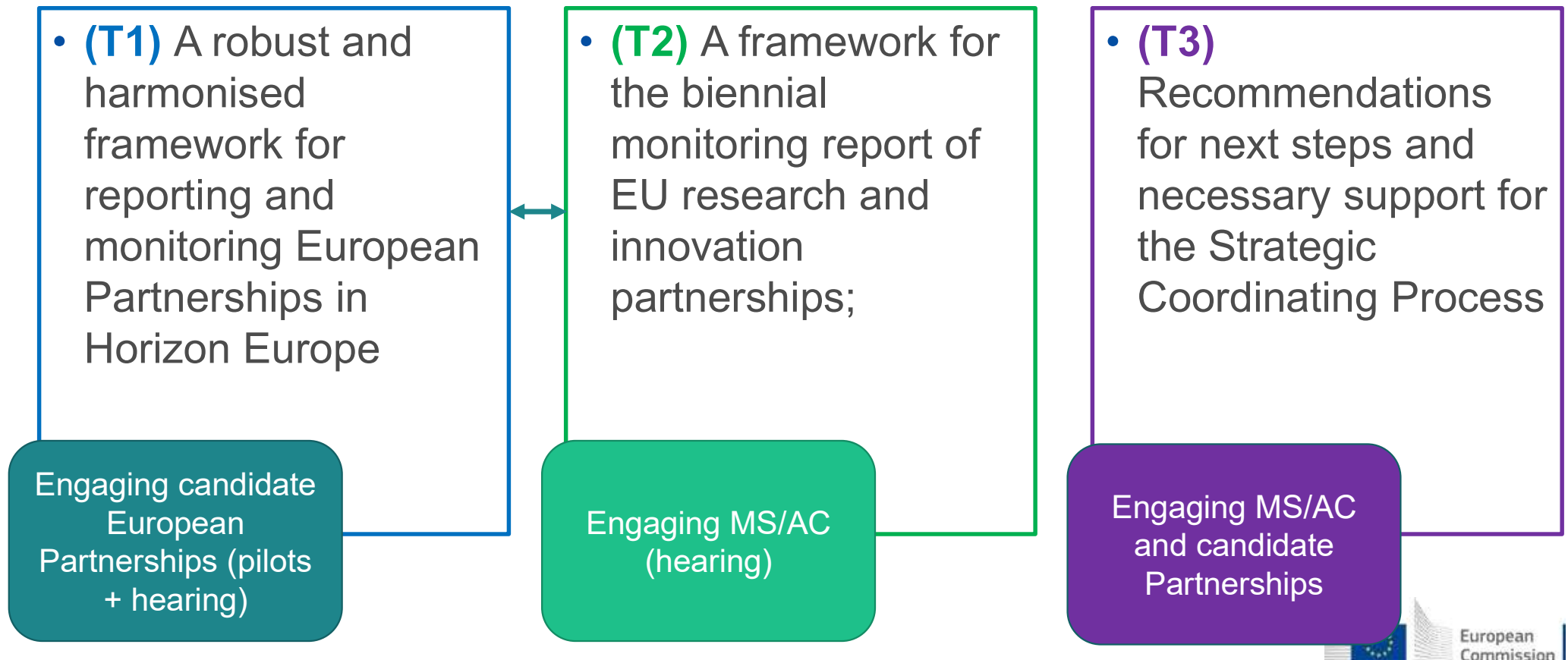
→ The achievement of these 5 objectives will be driven by the Partnership Knowledge Hub!

European Commission

Strategic Coordinating Process for Partnerships: Different elements

- The monitoring of European Partnerships and other R&I partnerships of European relevance will be a main visible output of the Forum.

- Independent expert group (Jan 2021 – June 20211)

- Implemented via COM informal expert group (TBC)
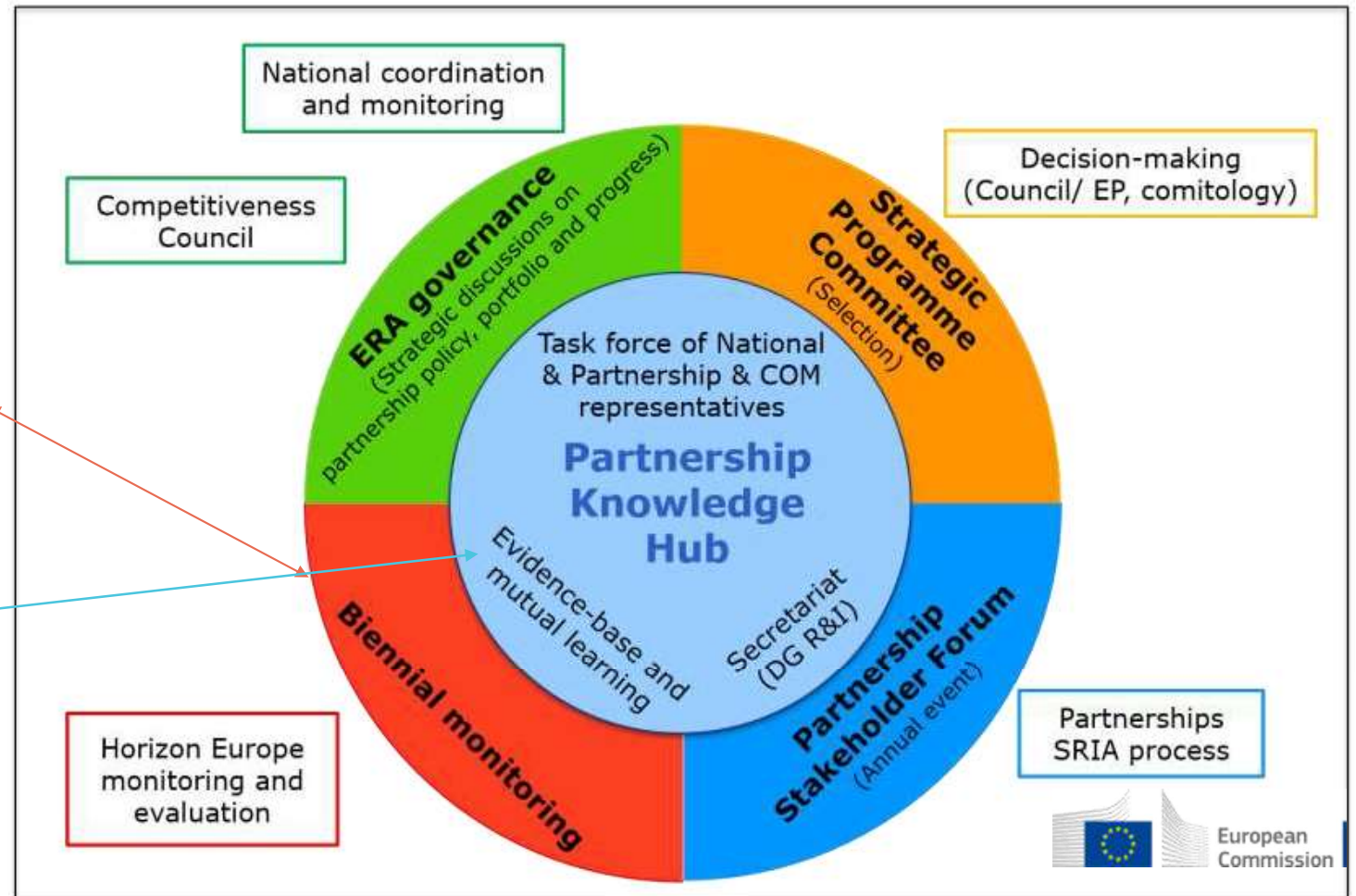
Independent Expert Group (E03738) in support of strategic coordinating process: objectives

- **(T1)** A robust and harmonised framework for reporting and monitoring European Partnerships in Horizon Europe

- **(T2)** A framework for the biennial monitoring report of EU research and innovation partnerships;

- **(T3)** Recommendations for next steps and necessary support for the Strategic Coordinating Process

Engaging candidate European Partnerships (pilots + hearing)

Engaging MS/AC (hearing)

Engaging MS/AC and candidate Partnerships

European Commission

European Partnerships – drivers for synergies

- Horizon Europe expects partnerships to take a "***systemic approach in the achievement of the objectives***", including "***to ensure coordination with other relevant R&I initiatives***".

- Coordinated preparation of Partnerships → **Allows to agree collaborations and synergies** *ex ante*

- June-October 2020: [mapping of coherence & synergies](#) → agreement on priorities within / between clusters

- The final agreements will be reflected in the **Strategic R&I Agendas**

- New opportunities for using Cohesion policy funds in co-funded and institutionalised partnerships (HE Article 11).
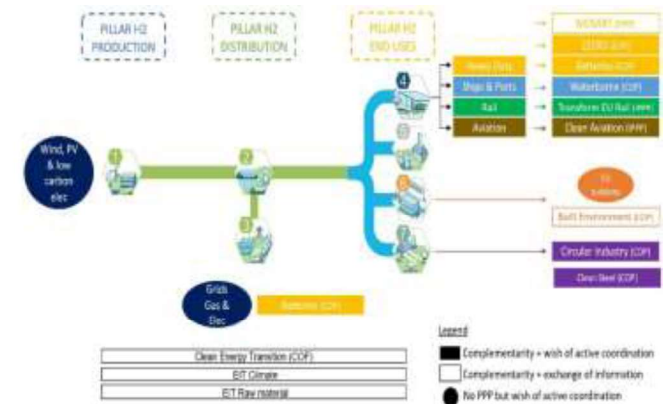
*Example:
Intervention logic of clean hydrogen*

European Commission

Co-funded European Partnerships

Proposal submission & evaluation

Proposal submission & evaluation

- **Call topics** for programme co-fund actions for the implementation of the Co-funded European Partnerships included in the Horizon Europe Work Programme 2021/2;

  - All topics will have a close date of publication (foreseen right after the adoption of the WP)

  - All topics will have close deadlines for call closure (minimum three months after call publication)

- **Submission** of proposals in 2021 (2022), launch of partnerships with signature of Grant Agreement (submission plus 8 month).

- The **evaluation** of all co-funded European Partnerships will be organized jointly

  - A number of horizontal, partnership experts will be contracted to evaluate each co-funded European Partnership – to ensure consistency across actions

- Q4/2021: **launch** of co-funded European Partnerships (signature Grant Agreement with a consortium of national research funders)

- In duly justified cases it is possible to have retroactive / fixed starting dates

European Commission

Co-funded European Partnerships

Proposal & annual work plan templates and monitoring indicators

European Commission

# Proposal & annual work plan templates and monitoring indicators

- Templates still in preparation – official launch the same time as the Work Programme publication

    - Reporting templates (Project Officer report)

    - Proposal templates, Annual Work Plan template

    - Newer / additional elements if needed

- Official guidance and more details will be published in the Annotated Grant Agreement

- Annual Work Plan

    - First Annual work plan is submitted together with the proposal

    - Every consecutive year a new Annual Work Plan is submitted to the Commission / Executive agency

    - The yearly Annual Work Plans are accepted by the Commission / Executive agency and the consortium continues their work

European Partnerships: monitoring criteria

a) *A monitoring system **in line with the requirements set out in Article 45** to **track progress towards specific policy objectives**, deliverables and key performance indicators allowing for an assessment over time of achievements, impacts and potential needs for corrective measures;*

b) ***Periodic dedicated reporting*** *on quantitative and qualitative leverage effects, including on committed and actually provided financial and in-kind contributions, visibility and positioning in the international context, impact on research and innovation related risks of private sector investments;*

c) *Detailed information on the evaluation process and results from all calls for proposals within partnerships, **to be made available timely and accessible in a common e-database**.*

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

KEY ELEMENTS FOR HORIZON EUROPE MONITORING
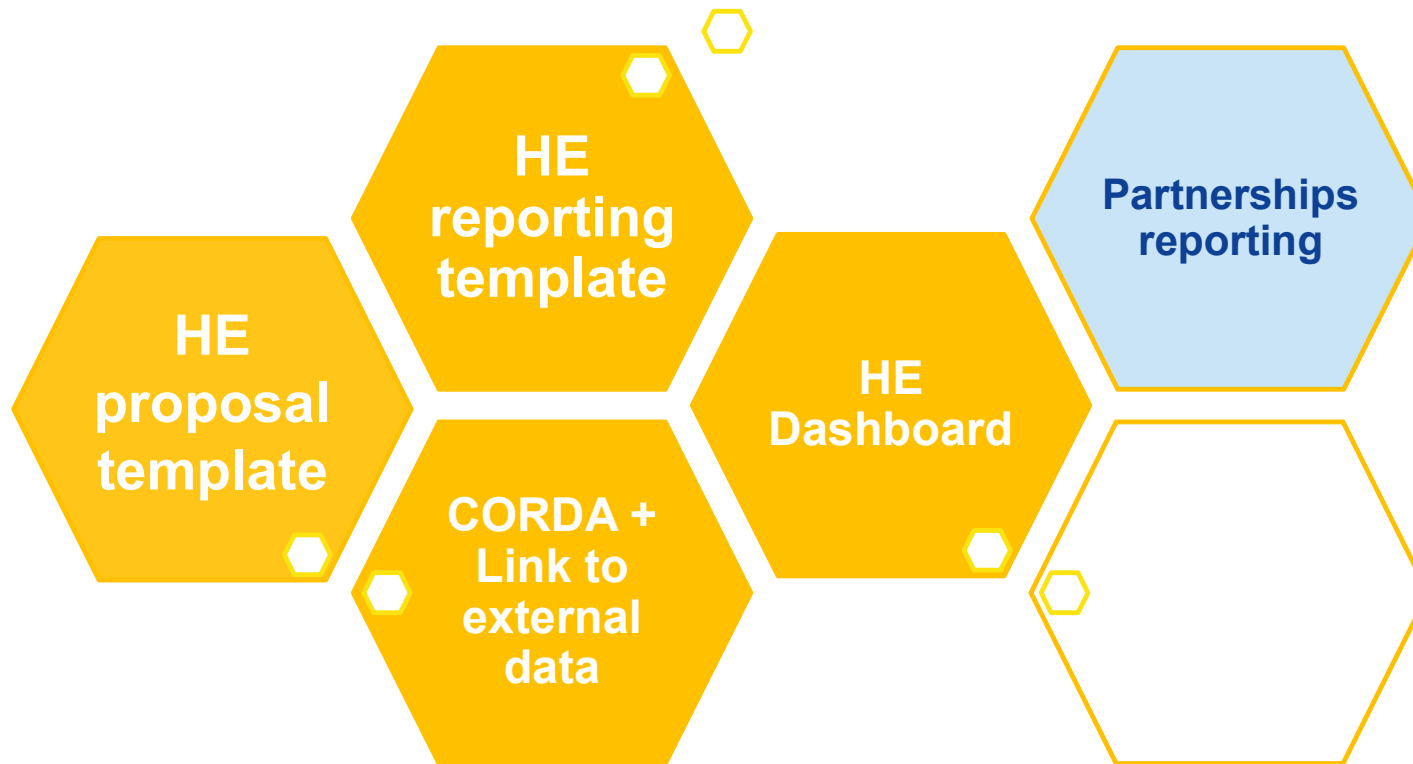
HORIZON EUROPE PARTNERSHIPS - INDICATORS

	1. HE Key Impact Pathways (project level)	2. European Partnership (programme level)	3. Functioning of the partnership. (incl. criteria)
INSTITUTIONAL (Art 187)	Art187 Automatic, COM IT tools Art 185 Metrology	To be developed by partnerships (COM in collaboration with partners). Supported by the expert group.	
CO-FUNDED & INSTITUTIONAL (Art 185)	Own reporting (national IT systems) but with data import into EC systems		To be developed by the expert group (common to all)
CO-PROGRAMMED	Automatic, COM IT tools	Important to avoid unnecessary overlaps with 1 & 3	

Biennial monitoring report of EU R&I Partnerships and Horizon Europe evaluations

European Commission

KEY IMPACT PATHWAYS ON HORIZON DASHBOARD? PARTNERSHIP FILTER

Co-funded European Partnerships

Beneficiaries which are receiving financial support to third party – Conflict of interest avoidance

Beneficiaries which are receiving financial support to third party – Conflict of interest avoidance

In case a direct beneficiary to the signed co-funded Grant Agreement also applies to calls to third parties organized by the partnership (i.e. in case a beneficiary is both research funder and research performer):

The consortium should implement all points below:

- The consortium should identify the beneficiaries which might apply for funding under the co-funded call for proposals

- The consortium should explain the measures taken or to introduce additional measures to mitigate the risk of, perception of, or de facto conflict of interest or unequal treatment of applicants

- The consortium should reflect all these measures fully in their description of activities for the preparation and implementation of the co-funded call as well as in relation to the monitoring of the trans-national projects

- These measures should be implemented by demonstrating that information is kept non-accessible to other members of the consortium (or the departments concerned, in case a beneficiary is both research funder and research performer) that might apply to the co-funded call

- These measures should include a procedure, which ensures the independent and fair treatment of complaints related to the call, in particular for complaints relating to unequal treatment of applicants

European Commission

Example:

Consortium administration in EJP Rare Diseases

Daria Julkowska, coordinator EJP Rare Diseases

Coordinated by
Inserm
La science pour la santé
From science to health

EJP RD in numbers

1200
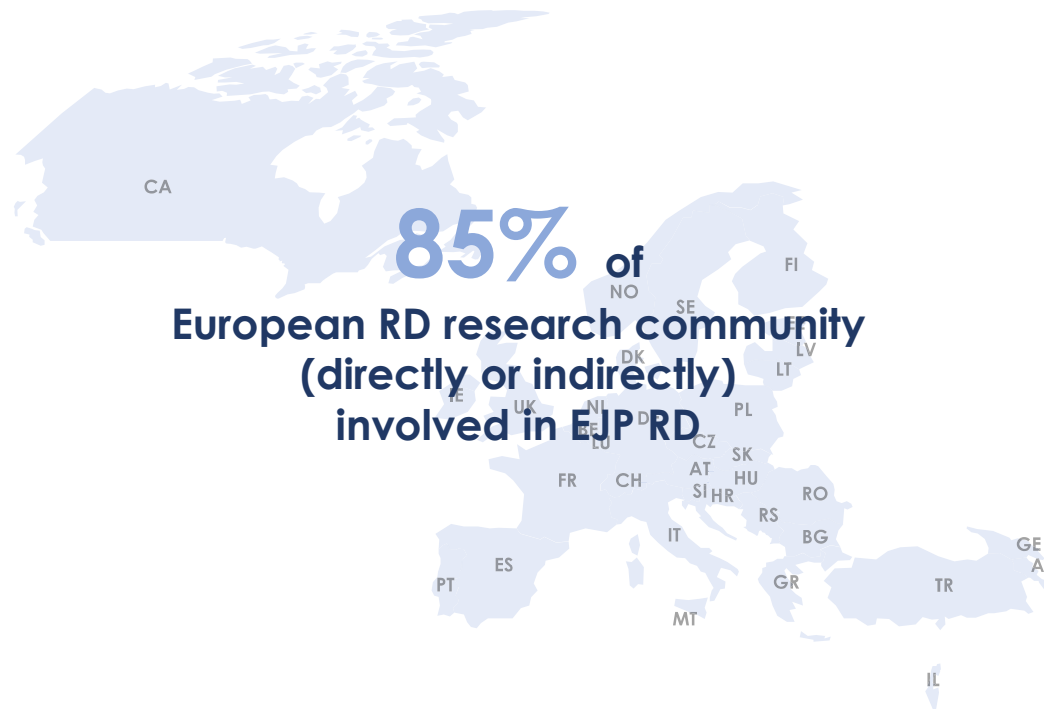**people**
1050 Scientifics
150 Admin

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

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

85% of
European RD research community
(directly or indirectly)
involved in EJP RD

CA
FI
NO
SE
DK LV
LT
IE
UK NL
LU PL
BE CZ
FR CH AT SK
SI HU
HR RO
IT RS
BG
ES GR TR GE
PT AM
MT
IL

87
beneficiaries
9 hospitals
12 research institutes
31 research funding
bodies/ministries
24 universities/hospital universities
5 EU infrastructures
5 charities/foundations
EURORDIS patients

+ 52 linked third parties
+100% associated
networks

EURORDIS
RARE DISEASES EUROPE
eatris
elixir
INFRAFRONTIER
European
Reference
Networks
ECRIN
EUROPEAN CLINICAL RESEARCH
INFRASTRUCTURE NETWORK
BBMRI-ERIC®
gateway for health

Setting up the consortium

Use your SRIA to define criteria for partners

Do not hesitate to analyse what exists = is relevant = you want it on board

If needed, use Letter of Intent and Letter of Commitment obligation (for partners & LTPs)

Make sure that in the choice of your partners you DO NOT forget representatives of society/patients and ensure relevant representation of EU13 countries

To officialise the process, if possible, ask for support of the European Commission → sending of information to national representations in Brussels

As the future coordinator, make sure you have relevant support from your respective ministry and Programme Committee representative → they will be key in negotiations

If the selection of partners is not top-down (directly proposed by the ministries) set up a "selection committee" composed of experts that will help you in evaluation of relevance of applying institutions

Governance
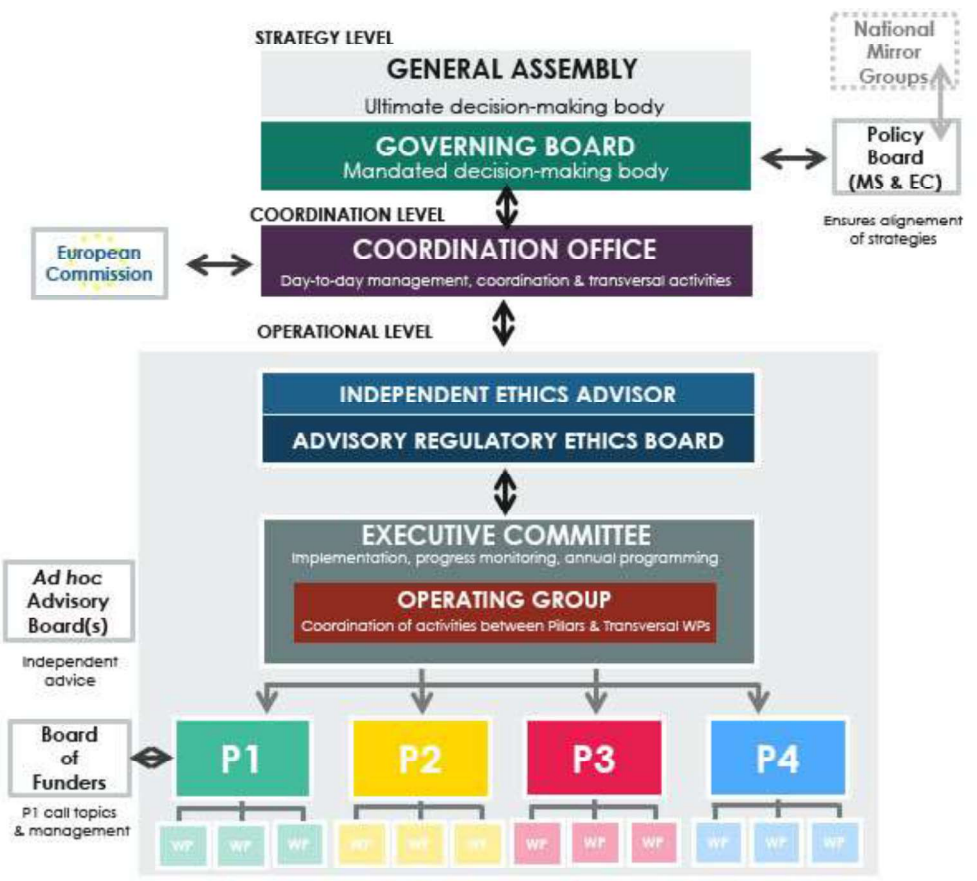
- Keep it simple and define clear distinction of responsibilities between different bodies (GA, ExCom, Operating Group)

- If not involved directly, get engage with policy makers (ministries, EC, representatives of industry and society) through an external body → Policy Board + National Mirror Groups

- If implementing open calls for projects make sure to have a "fire-wall" process and independent Board of Funders and Scientific/Advisory Board

- Make sure that you have a transparent decision-making process, even if sometimes it may require "procedural" validation (the coordinator should not decide in the name of the consortium)

Management

- Depending on the size of the consortium, a **highly qualified coordination team** is key! → make sure that it includes people with good knowledge of: project management, financial & administrative, communications, ethics & regulatory and the topic of your partnership

    e.g. EJP RD currently involves over 130 institutions, which translates to 1200 people working on the programme. We have 5 project managers, 1 financial/administrative officer, 1 communication officer, 1 project assistant – all FULL TIME!

- **Equip yourself with central management system** (e.g. MS Teams) to be able to share & work on documents centrally and in secure manner, organise conferences, launch surveys, workshops, etc.

- **Clear procedures/processes & support** is needed to ensure efficiency and transparency. Creation of dedicated toolboxes (e.g. for calls for project), training materials for partners (e.g. for financial issues or central management system, use of available tools) and rules that apply to all partners (e.g. good practices for travel costs, organisation of events, publications) are helpful for smooth management and also create a pool of references for everybody.

- **Be efficient in…waiting**: applying changes, initiating new collaborations requires validation (of GA/EC/institutional administration/etc.) → **be aware of the time** these procedures take to include it in your planning and activities + **facilitate** as much as possible their advancement.

- **Be prepared** for lots of administrative work (that never stops): only the preparation of the annual technical & financial report and annual work plan take several months within a year. In addition, big consortia and relative flexibility of the partnership instrument may induce regular need for amendments!

- **Set aside budget** dedicated to cover the **costs of independent ethics/regulatory advisor** that accompanies the project

Co-funded European Partnerships

Eligible Costs: what is new in Horizon Europe compared with Horizon 2020

European Commission

Eligible Costs: what is new in Horizon Europe compared with Horizon 2020

- Activities must be defined & agreed in the Annual Work Plan and the signed Grant Agreement
- For the cost for financial support to third parties to be eligible, all call conditions need to be followed

Horizon 2020 cost categories	Horizon Europe cost categories
Unit costs	~~Unit costs~~

Financial Support to Third Parties	Direct costs
	• A. Personnel costs
	• B. Subcontracting costs
	• C. Purchase costs
	   • C.1 Travel and subsistence
	   • C.2 Equipment
	   • C.3 Other goods, works and services
	• D. Other cost categories
	   • D.1 Financial support to third parties

Indirect costs (reimbursed at the flat-rate of 25%, *only applied to unit costs*)	E. Indirect costs (reimbursed at the flat-rate of 25% of the *eligible direct costs cat. A-C*)
Certificate on Financial Statements	Certificate on Financial Statements

Eligible costs – conditions

No matter their nature, all costs have to comply with the Model Grant Agreement eligibility rules:

(i)   they must be actually incurred by the beneficiary

(ii)   they must be incurred in the period set out in Article 4 (with the exception of costs relating to the submission of the final periodic report, which may be incurred afterwards; see Article 21)

(iii)   they must be declared under one of the budget categories set out in Article 6.2 and Annex 2

(iv)   they must be incurred in connection with the action as described in Annex 1 and necessary for its implementation

(v)   they must be identifiable and verifiable, in particular recorded in the beneficiary's accounts in accordance with the accounting standards applicable in the country where the beneficiary is established and with the beneficiary's usual cost accounting practices

(vi)   they must comply with the applicable national law on taxes, labour and social security and

(vii)   they must be reasonable, justified and must comply with the principle of sound financial management, in particular regarding economy and efficiency

Co-funded Partnerships
Synergies with Cohesion Policy funds

Maria Bianco (ERA-LEARN)

Analysis of synergies

Sequential
(up/down-stream)
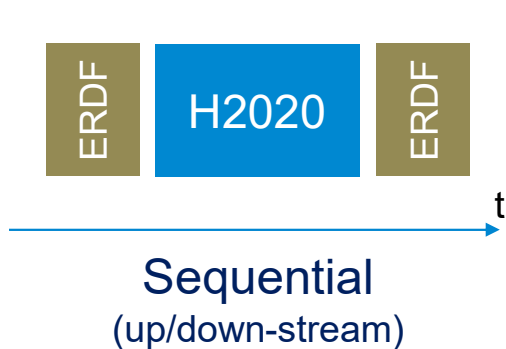
Creation of pre-condition and eco-system facilitating the participation in a EP or when it provides resources for follow up of funded projects through EP calls

Parallel/Cumulative

Supporting a parallel or complementary activity related to EP funded projects.
HE Regulation Art.15(4)
CPR Art. 21

Combined/Integrated

Cohesion policy funds are used within the work plan of a EP and counts as a partner/national contribution.
HE Regulation Art.15(3)

Alignment of S3 is fundamental for maximizing the Cohesion Policy funds impact

Combined (Integrated) synergies

HE Regulation Art.15(3)

"Alternative, combined, cumulative funding and transfers of resources" :

"Financial contributions under programmes co-financed by the **ERDF,** the **ESF+,** the **EMFF** and the **EAFRD may be considered as a contribution of the participating Member State** to European Partnerships under points (b) and (c) of Article 10(1) of this Regulation, provided Article 106 and other applicable provisions of Regulation (EU) Common Provision Regulation...+ and the fund-specific regulations are complied with."

A country participates in a call launched by a consortium of National Funding Bodies in a co-funded European Partnership.

It participates with a programme/priority that is co-financed by the ERDF (e.g. 50% national funds and 50% ERDF for this priority).

The National Funding Body reports the costs of providing financial support (funding paid to its beneficiary) with a value of € 100 to Horizon Europe, and receives a funding of 30% from Horizon Europe;

The remaining 70% could be paid out of the cohesion programme/priority :

- **30% Union funding from Horizon Europe**

- **35% national funding**

- **35% Union funding from ERDF**

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Combined (Integrated) Synergies in Co-funded Partnerships

Co-funded European Partnerships with in-cash contributions from cohesion policy funds to finance projects resulting from joint calls for transnational proposals:

- Funding rules of the participating operational programme apply for the regional/national contribution;

- Horizon Europe contributions is transferred via coordinator to managing authority and used as a additional funding for the projects resulting from the calls;

- Eligible costs of funding the projects are reported to COM, and reimbursed.

Co-funded European Partnerships with in-kind contributions:

- Partners (beneficiaries in the programme co-fund action implementing the European Partnership) carry out activities;

- Eligible costs of implementing activities are **reported and partially reimbursed** by the Horizon Europe contribution;

- The non-reimbursed costs can be covered by an **operational programme**.

(also possible with cumulative synergies)

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Improvement of synergies in Horizon Europe

Integrated Synergies and State Aid regulation

Under the conditions specified in Articles 25c or 25d of the draft GBER-amendment, **co-funded research and development projects may benefit from Horizon Europe eligible costs and funding rates**

-> no need to be subject to a separate State aid assessment and notification.

The GBE Regulation should be approved on June 2021 with retroactive effectiveness.

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Pathway for Synergies

- **Open dialogue with European Partnership consortia**: Managing Authorities and National/Regional Stakeholders should identify R&D priorities in compliance with S3 priorities and planning of appropriate cohesion policy funds measures;

    Joining consortia in planning phase. Two options for including regional actors:

    § Formal partner that contributes to the partnership (beneficiary in the grant agreement)
    § "associated" to certain activities (triggered by the partnership) without being a formal partner

- **Align** national and regional **Smart Specialization Strategies (S3)** and include **provisions in OPs** that enable parallel/alternative and complementary funding among different EU and national programmes;

- Coordinate with **National representatives** for coordinating national and regional commitments to European Partnerships to join

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Practical use of EC funding: concept of internal arrangements

Roland Brandenburg (ERA-LEARN)

Co-funded European Partnerships: financial management in practice

- the total EC contribution will be calculated as a percentage of the **total eligible costs**

- to **create eligible costs for co-funding**, the financial administration of a co-funded Eur. Partnership must comply with the EC rules for any Horizon Europe action.

- each **consortium agrees internally** on how the EU contribution is used best and distributed internally -same principle as for Horizon 2020 ERA-NET Cofund and EJP Cofund actions!

- each consortium agrees on the **allocation of the EC contribution to each activity and beneficiary** (which can result in an unequal distribution to beneficiaries/activities).

➢ **Recommendation: <u>Keep it simple</u>!**

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What is new under Horizon Europe

H2020 ERA-NET Cofund

- cost categories:
    - unit costs
    - financial support to third parties
- consortium agreed on the use of EC funding ("black box")
    - to cover the implementation costs (call secretariat, evaluation….)
    - to fill gaps in the ranking list of the cofunded call

Horizon Europe cofunded Partnerships

- cost categories:
    - A. Personnel costs
    - B. Subcontracting costs
    - C. Purchase costs
    - C.1 Travel and subsistence
    - C.2 Equipment
    - C.3 Other goods, works and services
    - D. Other cost categories
    - D.1 Financial support to third parties
- consortium is allowed to agree on the use of EC funding
    - to cover the implementation costs (call secretariat, evaluation….)
    - to fill gaps in the ranking lists of cofunded calls
    - to cofund other joint activities with different internal funding rates

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The PAST: H2020 ERA-NET COFUND – the black box scheme

EC-Funding for Transnational Projects

EC contribution

nat/reg. contribution to 1 cofunded call

EC top-up

nat/reg. contribution to 1 cofunded call

black box

unit costs & EC contribution not needed for project funding used e.g. for call preparation, implementation, other activities
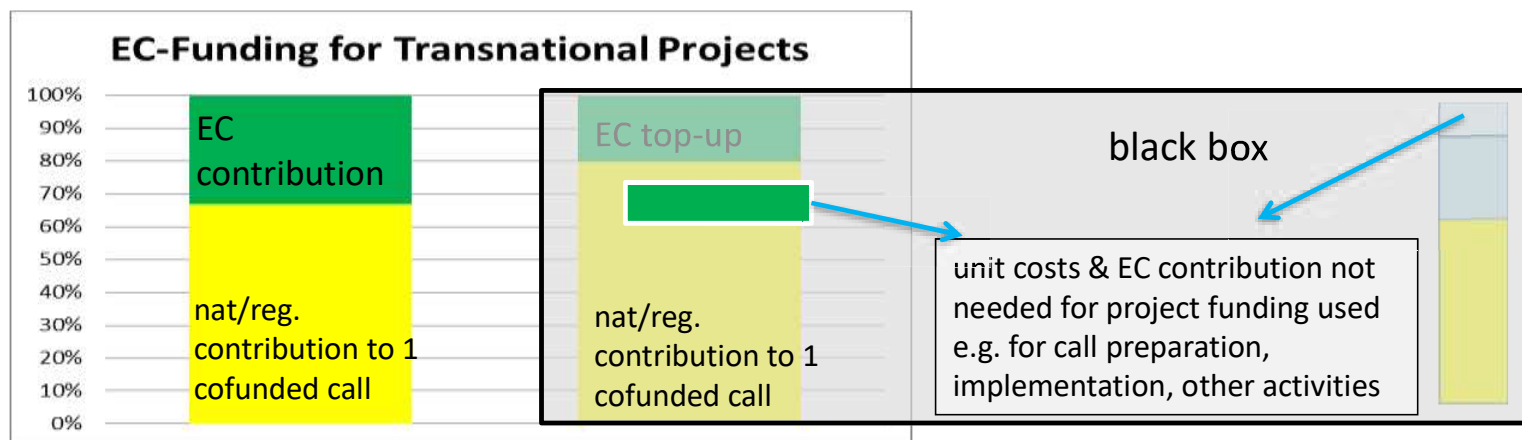
Implementation of joint activities covered by unit costs; EC top-up
funding also available to cover implementation costs if nat./reg. funding
in cofunded call sufficiently high.

Example:

	€	%	€	%
Nat/reg funding for transnational projects	6.700.000	67%	7.500.000	75%
EC top-up funding for transnational projects	3.300.000	33%	2.500.000	25%
Total	10.000.000	100%	10.000.000	100%
	Implementation costs		800.000	

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concept of internal arrangements:
co-funded calls

Cofunded calls: allocation/distribution of EC funding

- The total EC contribution is calculated as a percentage of the total eligible costs.

- Therefore, if the actual eligible costs are for any reason lower than the foreseen amount defined in the GA, the **EC contribution will be reduced accordingly**.

- In order to ensure full use of the EC contribution in individual calls and for all calls collectively, the consortium needs to ensure **sufficient reserve amounts** for national call contributions (H2020 experience: around 20%).

- Since the response to a transnational call is unforeseeable (depending on the success of national applicants in calls) and the ranking list needs to be followed according to the EC rules, it is in the interest of all consortium members to **agree on a flexible distribution of the EC contribution**.

- **Mixed funding mode**: a part of the call budget is used as a virtual pot while another part is used as a real common pot. The mixed mode has proven to be instrumental in following the ranking list.

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Balancing budgets: avoid unused funding

joint call <u>without EC cofunding</u> available for gap-filling:

- oversubscribed vs undersubscribed national budgets

- example: only 61% of the total available national/regional funding could be used because of unbalanced budgets
  → could be avoided with flexible gap filling
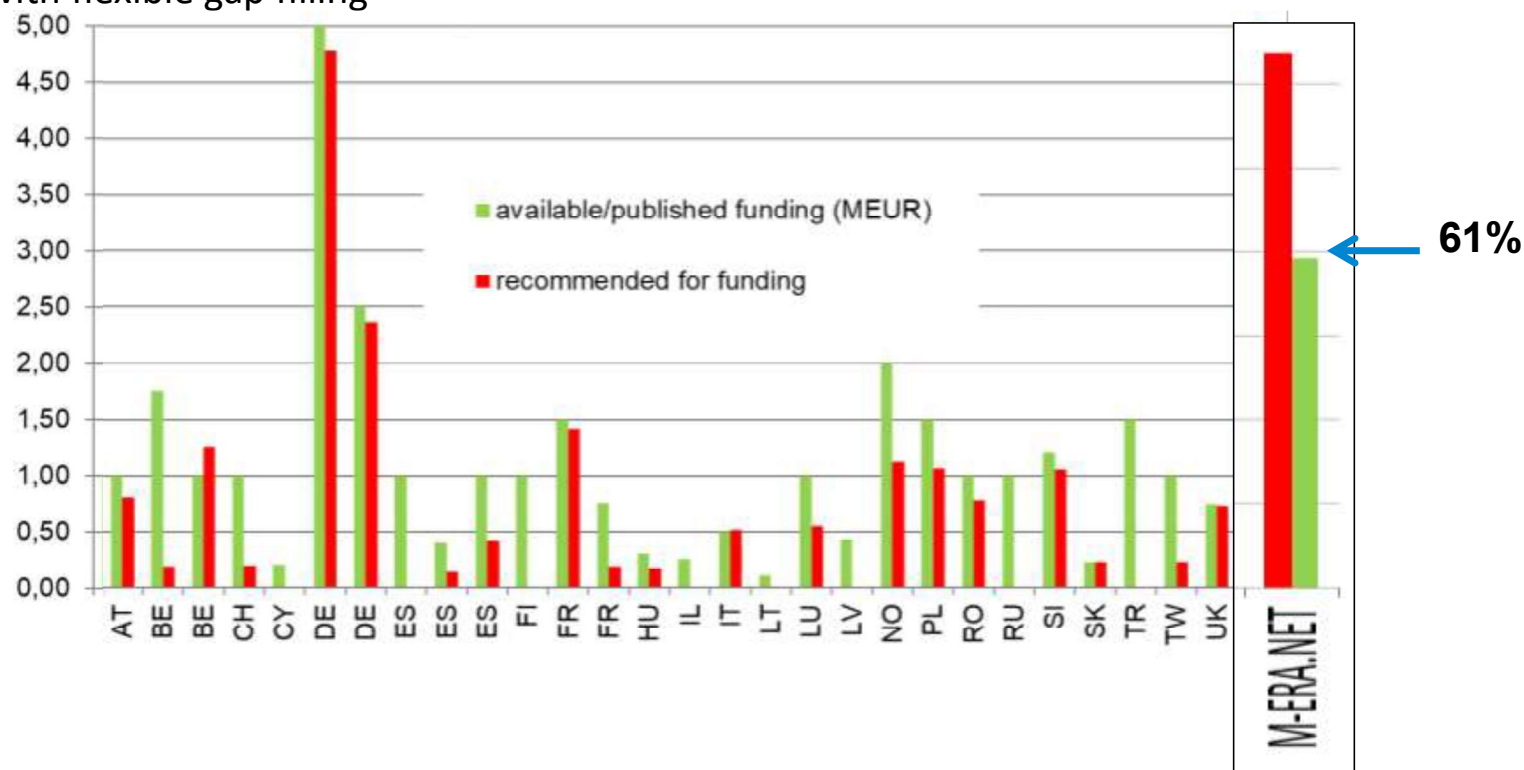
Fill gaps in the ranking list with EC top-up funding

- to avoid agencies running out of funding and blocking the ranking list:

Nr	proposal ID	Proposal acronym	requested funding	Evaluation score	EC top-up needed to fill gap	Agency 1	Agency 2	3	Agency 4	Agency 5	Agency 6	Agency 7
1	A1	Test Projec	838394	13,5		0		0	0	0	0	
2	A2	Test Projec	660000	13,5		0		0	0	0	0	
3	A3	Test Projec	645000	13,5		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 0	0	-203 544	0	0	0	0	-769 520
13	A13	Test Projec	337313	12,5	-973 06	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 83	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

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Cofunded calls: allocation/distribution of EC funding

- rules laid down in Annex 5 to the Model Grant Agreement (e.g. selection procedure and criteria: calls open 60 days, Horizon Europe selection criteria, single trans-national call, two-step procedure, measures to avoid potential conflict of interest, ranking according to evaluation results, independent observer)

- the consortium decides on the allocation of the EC top-up funding

Example: **flexible allocation of EC funding for efficient filling of gaps in ranking list** → variety of funding rates

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%

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Practical experience: funding modes

mixed mode (most frequent case):

- lot of experience -used by the majority of ERA-NET Co-fund networks
- part of the available EC top-up (typically 30-50%) used as a "**balancing pot**" for gap filling; some networks even increased the percentage for balancing purposes to **fund as many projects as possible** from the ranking list; the rest allocated to funding organisations based on a fixed percentage
- the consortium decides which proportion is likely to **deliver the most convenient result** (=max. number of funded proposals AND individual return)
- mixed mode enables national/regional programme owners to retain substantial autonomy and **control of their own national/regional budgets** and funding decisions while a part of the budget is dedicated to **funding the proposals with the highest quality**.

real common pot (rare):

- used by a few ERA-NET Co-fund networks –delivers **longest selection list**
- no fixed individual return rate, could be 0%

fixed return (rare):

- fixed percentage of top-up funding for each national budget
- still **substantial risk** in the ranking list -small budgets will still be small budgets/bottlenecks even with EC top-up

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**concept of internal arrangements:
other joint activities**

Other activities: internal allocation/distribution of EC funding

- EU funding is at a constant rate [typically 30%, in exceptional cases 50%] per grant agreement and is generated by eligible costs (joint calls and other **activities described and agreed in GA and annual work plan**)

- a consortium can decide to allocate the EC contribution to the planned activities differently which can result in **different funding rates for different activities**.

- Example:

Activity	eligible costs	EC funding rate	EC contribution	internally agreed funding rate	internal allocation of EC contribution	in-kind contribution
Coordination/Management	€ 250.000	30%	€ 75.000	100%	€ 250.000	-
Capacity Building	€ 550.000	30%	€ 165.000	18%	€ 100.000	€ 450.000
Monitoring/Impact Assessment	€ 700.000	30%	€ 210.000	14%	€ 100.000	€ 600.000
etc.	...	30%	...	...	...	...
Total	€ 1.500.000		€ 450.000		€ 450.000	€ 1.050.000

- **But: different internal funding rates for different activities will increase the complexity → management efforts will be higher**
- **Recommendation: <u>Keep it simple</u>!**

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Example: annual planning of costs and internal distribution of EC funding

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: indivual 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
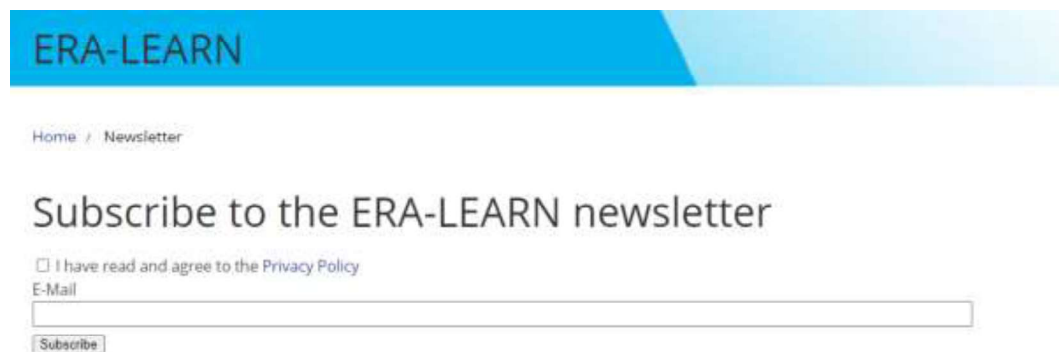
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Further information

Initial set of information on the ERA-LEARN web portal:

https://www.era-learn.eu/support-for-partnerships/governance-administration-legal-base/financial-issues

➢ further information/guidelines to be developed.

Keep in touch: https://www.era-learn.eu/newsletter

Draft Factsheet Financial Management for co-funded European Partnerships

Supporting document on the financial management with concrete examples for the calculation.

More ... +

Download

Co-funded European Partnerships

Co-funded calls – Criteria, procedures

Co-funded calls – Criteria, procedures I

When implementing financial support to third parties in Co-funded Partnerships, the beneficiaries must respect the following conditions:

- **avoid** any **conflict of interest** and comply with the principles of transparency, nondiscrimination and sound financial management

- for the types of activity and categories of persons that will be supported:

  - for multi-beneficiary projects (including multi-participant projects): the projects supported must be transnational, involving at least two independent legal entities from two different EU Member States or associated countries as recipients of the financial support and may also include legal entities established in a non-associated third countries not receiving financial support

  - for mono-beneficiary projects (multi-participant projects): the projects supported must be transnational, involving one legal entity established in an EU Member State or associated country as recipient of the financial support and one legal entity established in a non-associated third country not receiving financial support

Co-funded calls – Selection Procedure & Criteria I

- **publish** open calls **widely** (including on the Funding & Tenders Portal and the beneficiaries' websites)

- keep **open** calls open for at least **two months**

- **inform** recipients of call updates (if any) and the **outcome of the call** (list of selected projects, amounts and names of selected recipients)

- **measures to avoid potential conflicts of interest** or unequal treatment of applicants must be ensured (notably through appropriate communication / exchange of information channels and independent and fair complaints procedures)

- use the following selection criteria: the standard Horizon Europe award criteria (**Excellence**, **Impact** and **Quality and efficiency of the implementation**)

European Commission

Co-funded calls – Selection Procedure & Criteria II

- use the following selection procedures:

  - projects must be selected following **joint transnational call(s) for proposals**

  - beneficiaries must make the selection through a **two-step** procedure:

    - Step 1: review at **national** or transnational level (including national eligibility checks)

    - Step 2: single **international peer review (**standard Horizon Europe award criteria **)**

  - and in Step 2:

    - proposals must be evaluated with the assistance of at least **three independent experts**

    - proposals must be **ranked** according to the **evaluation results** and the selection must be made on the basis of this ranking

    - the selection procedure must be followed by an **independent expert observer**, who must make a report.

European Commission

Co-funded European Partnerships

Co-funded calls – Data management / data structure

Co-funded calls – Data management / data structure I

- All European Partnerships will need to establish a monitoring system that can track progress towards objectives, impacts and key performance indicators. (Horizon Europe legal base)

- In order to simplify and standardise this at the level of the individual projects funded by the partnerships , the **data on proposals, selected projects**, their outcomes and results will need to be **integrated in the central IT** tools (eGRANTs Data Warehouse, dashboard).

- It will require that co-funded European Partnerships under Horizon Europe **develop** / **adjust** own (central) IT tools **to common data standard**, ensure that IT tools are fit for purpose, and run a pilot programme prior to the launch of the first call.

- Our **team will contact all co-funds** to be started Q4 2021 / Q1 2022 to present the current version of the IT solution and support implementation of data transfer pilot

Co-funded calls – Data management / data structure II

- The data structure contains, for each call launched under a co-funded European Partnership

  - Detailed proposal level information

  - More detailed project level information

  - Each participant will need to have a Horizon Europe PIC (temporary PIC accepted)

  - Some additional fields to ensure coverage of the Key Impact Pathways

- Data exchange to be done automatically (not using XLS files) once the interface between the databases at Commission and co-funded European Partnership level is set up

- Data exchange will include automatic data quality checks – incorrect data will not be accepted

European Commission

Useful sources of information

1. **European partnerships webpage** on europa.eu:

✓ Here you will find all the published partnership proposals

✓ Report on coherence and synergies

✓ Infographics

2. **www.era-learn.eu**

#HORIZONEU

Thank you!

https://ec.europa.eu/info/horizon-europe/european-partnerships-horizon-europe_en
RTD-EUROPEAN-PARTNERSHIPS@ec.europa.eu

European Commission

Other Activities

Effie Amanatidou (ERA-LEARN)

Overview planned activities

What is planned in the Draft Co-Fund proposals 2020

- Management
- Strategic development - Foresight
- Stakeholder Engagement
- Internationalisation
- Monitoring and Impact Assessment
- Communication/Dissemination
- Policy recommendation
- Specific Activities of the network

Foreseen in Draft Work Programmes Horizon EUROPE

Activites should be in line with the expected outcome

Example DUT (HORIZON-CL5-2021-D2-01-16):

- Setting-up of a **multi-stakeholder community of practice** to facilitate science-policy-business-society dialogues and sharing of experiences;

- Pursuing **communication and dissemination measures** to make R&I results accessible for all stakeholder groups;

- Preparation of **methodologies, guidelines, references and tools** for replication and **mainstreaming of good "practice";**

- **Clustering of projects and synthesising of R&I results**;

- **Setting-up a knowledge hub**, organising training activities, fostering ULLs and experience sharing on new approaches and solutions to support capacity building among urban actors;

- Addressing **standardisation, certification** or, wherever necessary, legislative issues;

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Examples

Clustering of projects and synthesising

- NORFACE/DIAL programme, https://dynamicsofinequality.org/

Strengthening the innovation potential

- BONUS, https://www.bonusportal.org/programme: dedicated call;

- ACT, http://www.act-ccs.eu/about-us: call with two strands separating TRL levels

Knowledge hubs

- JPI FACCE taken up by several others, https://www.faccejpi.net/web/show/id=13363255/langid=110099

Widening / inclusiveness activities

- ERA-LEARN report on inclusiveness, https://www.era-learn.eu/documents/era-learn_inclusiveness-in-european-r-and-i-partnership-programme.pdf

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ERA-LEARN Portal: Documents (insert ‚knowledge hub' in the search phrase)

ERA-LEARN Portal: Documents (insert ‚stakeholder' in the search phrase)

ERA-LEARN Portal: Support for Partnerships

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

Information available on ERA-LEARN Website

Responsible Research & Innovation

https://www.era-learn.eu/support-for-partnerships/governance-administration-legal-base/responsible-research-innovation

Monitoring and Assessment

https://www.era-learn.eu/support-for-partnerships/governance-administration-legal-base/monitoring-and-assessment .

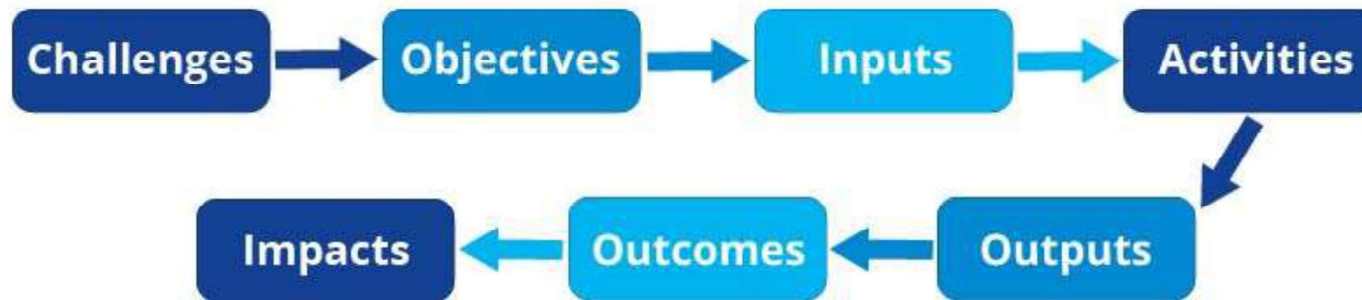**Country reports** (insert 'country report' in the search phrase)
https://www.era-learn.eu/documents/documents-listing

Stakeholder engagement (insert 'stakeholder' in the search phrase)
https://www.era-learn.eu/documents/documents-listing

Knowledge Hub (insert 'knowledge hub' in the search phrase)
https://www.era-learn.eu/documents/documents-listing

Activities are part of the Logic Frame

Logic Frame

Guiding questions for identifying what are the activities of a partnership
Which objectives will each activity try to achieve?
How will they be complementing each other to lead to multiplying effects?

https://www.era-learn.eu/support-for-partnerships/governance-administration-legal-base/monitoring-and-assessment/r-i-partnership-evaluation-toolkit-ripe/carrying-out-the-evaluation-of-partnerships-in-r-i/building-the-logic-frame

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Thank you.