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Supporting the preparation of future European Partnerships

Crash Course on European Partnerships

Joerg Niehoff, DG Research and Innovation

Objective of the workshop

- Support the preparation of future European Partnerships with Member States.

- Present the current state of preparation of European Partnerships;

- Identify critical issues and bottlenecks related to governance, commitments, coherence, synergies, development of Strategic Research and Innovation Agendas, management of data on calls, projects and other activities;

- Support the development of common approaches across partnerships, ensuring mutual learning and exchange of good practice to ensure the delivery of impacts.

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Outline

- *What are European Partnerships?*

- *How are they identified and prepared?*

- *What are important features you need to be aware off?*

- *Questions & Answers*

New approach to partnerships: why?

Impact Assessment annex 8-5 – current partnership landscape

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

*EIT-KICs: Knowledge and Innovation Communities (KICs) of the European Institute for Innovation and Technology (EIT)
**FET-Flagships: Flagships of the Future and Emerging Technologies programme (FET)
*** JPIs: Joint Programming Initiatives are no EU level instruments but
included here as they receive EU support via ERA-NETs and/or CSAs

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European Partnerships - definition

*"European Partnerships are initiatives where the EU together with private and/or public partners **commit to jointly support** the development and implementation of a **programme of research and innovation activities**. The **partners** could represent industry, universities, research organisations, bodies with a public service remit at local, regional, national or international level or civil society organisations including foundations and NGOs."*

New approach to European partnerships: overview

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

Key features

- **Simple architecture and toolbox**
- **Common set of criteria**
- **Coherent life-cycle approach**
- **Strategic orientation**

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

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

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

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European partnerships: provisions

Regulation

- Recitals 16 and 17

- Definition 3

- Article 8
  - typology
  - conditions

- Annex III: Partnerships, with criteria for
  - Selection, Implementation, Monitoring,
    Evaluation, phasing-out and renewal

- Annex Va: areas for possible
  institutionalised European Partnerships (based on Article 187 and 185 TFEU)

Specific Programme

- Article 4a: Identification of co-funded and co-programmed partnerships in the Strategic Plan

- Strategic coordinating process for European Partnerships

Impact assessment: annex 8-5

In addition: Draft Criteria Framework for European Partnerships

All provisions in a nutshell and additional Information: ERA-LEARN

Horizon Europe documents:

Common understanding on the Framework Programme

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

Corrigendum on Annex III :

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

PGA on the Specific Programme:

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

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Common for all European Partnerships

- **Strategic orientation:** to make a considerable contribution to achieving EU policy priorities (e.g. Green deal, Europe fit for digital age) and related strategies (e.g. Circular Economy Action Plan)

- **Common set of criteria** along their life-cycle, defined in the Horizon Europe regulation Article 8 & Annex III.

- **Key conditions for launching a partnership:**
  - Ex-ante demonstration of **directionality** (partner's common strategic vision, underpinned by <u>Strategic Research and Innovation Agenda/Roadmap</u>)
  - Ex-ante demonstration of **additionality** (long-term <u>commitment</u> from partners to mobilise and contribute resources and investments)

- **Annual Work Programme**: translation of Roadmap/SRIA into annual priorities and activities

- **Systemic approach**: portfolio of activities that goes beyond collaborative R&I projects

- ➔ **The main differences are in the legal form and implementation, with the Co-programmed being the most simple, and the Institutionalised the most complex.**

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Co-programmed European Partnerships

"Division of labour"

- Most relevant **current actions**: Contractual Public-Private-Partnerships (cPPP)

- **Legal form:** Contractual Arrangement / MoU (signed between representatives of the partners and the Commission)

Implementation:

➢ Union budget is implemented in the Horizon Europe Work Programme.

➢ Partners implement their commitments and contributions under their responsibility.

Activities and contributions have to be agreed in the Annual Work Plan (to ensure they are in the scope of the partnership)

➢ European Commission: call topics for the necessary range of actions (R&I, Innovation actions, CSA, prizes ….)

➢ Partners: their own activities and investments;

➢ If Member States: nationally financed R&I, Innovation activities, and any other activity considered necessary, incl. transnational calls for proposals.

Association or support via CSAs provide back-office with important functionalities

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Co-funded European Partnership

"Integrated programme with distributed implementation"

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

- **Legal form:** Grant Agreement (<u>programme co-fund action</u>) signed between a consortium of beneficiaries and the Commission (executive agency);

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

- Funding rate 30% [in justified cases higher];

- Calls and evaluations are organised centrally, beneficiaries in selected projects are typically funded at national level (on the basis of rules agreed by partners).

- **Important to** define ex-ante:
  - Types of partners are needed to form the partnerships (consortium);
  - Stakeholders that provide input (e.g. priority setting) ← **role of ministries!**
  - Stakeholders and target groups that are addressed/ involved by the activities implemented.

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Institutionalised European Partnerships

"Integrated programme with centralised implementation"

- **Legal basis**: Article 185 and Article 187 of the TFEU – requires the
  - preparation and adoption of a **Commission proposal** (incl. ex-ante impact assessment)
  - a Decision of European Parliament and Council (Article 185and EIT) / Council Regulation (Article 187)
- **Implementation by dedicated** structures created for that purpose (designated by Member States or Union body, such as Joint Undertaking)
- Rules for Participation of Horizon Europe apply by default
- Specific provisions in Horizon Europe set higher requirements, e.g.
  - Implemented only *if other forms of Partnerships would not achieve the objectives*, and *if justified by a long-term perspective and high degree of integration*;
  - Central management of all financial contributions (except in duly justified cases);
  - Article 185 initiatives: Mandatory participation of at least 40% of MS;
  - Financial contributions from partners other than the Union is required.

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Preparation of European Partnerships

Completed:

- Strategic Planning: identification of priorities to be addressed by partnerships to achieve objectives (**44 initial candidates**)

- Structured consultation of Member States on the portfolio:
Orientations towards the first Strategic Plan → **additional 5 candidates were included**

Ongoing:

- Impact Assessment work for Article 185/7 candidates
→ **which candidates will be implemented as Institutionalized?**

- Further elaboration of proposals for Partnerships in co-creation between partners and Commissions services → **ensure ambition and fit with Commission priorities**

- Drafting of COM proposal for Article 185/7 initiatives

- Drafting of the MoU templates (co-programmed) / Model Grant Agreements (co-funded)

Broader elements:

- Finalisation/adoption of Horizon Europe Strategic Plan
→ **needs to identify co-programmed/ co-funded European Partnerships**

- New Commission's priorities → **influences definition of partnership' objectives**

- Remaining negotiation of HE legal base → **synergies & associations**

- Progress on MFF negotiations → **budgetary envelope for Horizon Europe**

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Portfolio of candidates for European Partnerships (49)

HEALTH
EU-Africa Global Health
Innovative Health Initiative
Chemicals Risk Assessment
Fostering an ERA for Health research
Large-scale innovation and transformation of health systems in a digital and ageing society
Personalised Medicine
Rare Diseases
One Health AMR

DIGITAL, INDUSTRY AND SPACE
High Performance Computing
Key Digital Technologies
Smart Networks and Services
AI, data and robotics
Photonics Europe
Clean Steel - Low Carbon Steelmaking
European Metrology
Made in Europe
Carbon Neutral and Circular Industry
Global competitive space systems
European Geological Service

PILLAR III AND CROSS-PILLAR
EIT Climate KIC
EIT Health
EIT Manufacturing
EIT Food
EIT InnoEnergy
EIT Manufacturing
EIT Raw Materials
EIT Digital
EIT Urban Mobility
EIT Cultural and Creative Industries

Innovative SMEs

European Open Science Cloud (EOSC)

CLIMATE, ENERGY AND MOBILITY
Transforming Europe's rail system
Integrated Air Traffic Management
Clean Aviation
Clean Hydrogen
Built environment and construction
Towards zero-emission road transport
Mobility and Safety for Automated Road Transport
Batteries
Clean Energy Transition
Sustainable, Smart and Inclusive Cities and Communities
Smart and zero-emission waterborne transport

FOOD, BIOECONOMY, NATURAL RESOURCES, AGRICULTURE AND ENVIRONMENT
Accelerating farming systems transition
Animal health: Fighting infectious diseases
Environmental Observations for a sustainable EU agriculture
Rescuing biodiversity to safeguard life on Earth
A climate neutral, sustainable and productive Blue Economy
Safe and Sustainable Food System for People, Planet & Climate
Circular bio-based Europe
Water4All: Water security for the planet

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European Partnership candidates with planned MS participation (subject to ongoing discussions)

- EU-Africa Global Health
- Chemical Risk Assessment
- ERA for Health Research
- Innovation & transformation of health systems
- Personalized medicine
- Rare diseases
- One Health/AMR
- Key Digital Technologies
- EuroHPC
- European Metrology
- Geological services

- Clean energy transition
- Sustainable, Smart and Inclusive Cities and Communities
- Sustainable farming
- Animals & Health
- Agriculture of data
- Biodiversity
- Blue economy
- Food Systems for People
- Water 4 All
- Innovative SMEs
- European Open Science Cloud

Next milestones

April: start publication of draft partnerships proposals

➔ **Aim: transparency of information; better coherence & synergies; plan commitments**

May/June: EC letter on commitments to national governments

- Which ones you will participate?

- Contacts (lead and other Ministries involved)

- Tentative commitment (in kind and financial contribution)

Before launch/ adoption of COM proposals:

- Strategic Research and Innovation Agenda/roadmap

- "Ex-ante demonstration of the partners' long term commitment"
  (HE legal base, Annex III)

September: Earliest possible adoption of proposals for Article 185/7 initiatives (tbc)

➔ **Subject to progress on MFF negotiations**

22 – 24 September: R&I days in Brussels with Partnerships on stage

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Commitments and contributions

Horizon Europe Regulation: European Partnerships are based on commitment of the partners for financial and/or in-kind contributions.

Selection stage:

- Ex-ante demonstration of the partners' long term commitment, including a minimum share of public and/or private investments.

Implementation:

- Commitments, for financial and/or in-kind contributions, from each partner in accordance with national provisions throughout the lifetime of the initiative.

Contributions from Participating States:

- Co-programmed: financial and/or in-kind;
- Co-funded: financial and/or in-kind;
- Institutionalised based on Article 185/7: financial and/or in-kind, BUT a share of contributions in the form of financial contributions.

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Contributions from Member States

a) Financial contributions:

- Example: MS organise transnational (or national) calls for proposals;

- National/regional funding payed to applicants (beneficiaries) count as <u>financial contributions.</u>

b) In-kind contributions

- Example: research performing organisation in the partnerships is implementing R&I activities that are financed by its institutional funding;

- Costs of implementing these activities can be counted as <u>in-kind contributions;</u>

- In co-funded Partnerships: costs of implementing direct activities minus Union funding can be counted as <u>in-kind contributions.</u>

➔ Important: Activities have to be agreed in the Annual Work Plan/activity plan to ensure that they are in the scope of the partnership.

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Coherence and coordination between European Partnerships

How to ensure coherence and coordination?

- During the preparation phase:
  - Identify necessary links among Partnerships (including EIT-KICs)
  - Careful assessment of proposals and SRIAs to ensure that division of labour and interfaces are clear
- On an annual basis:
  - Collaboration between relevant partnerships in their definition of annual priorities / call topics
  - Steering by COM services that support the preparation and approve the Annual Work Plans

Can research priorities be covered by more than one partnerships, or by Horizon Europe calls and Partnerships?

- In principle yes, e.g. according to TRLs, specific research fields, objectives etc.
- Partnerships with MS: ensure coordination with other partnerships and avoid duplication
- Reminder: not all calls of the partnerships need to be co-funded be the Union!

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European Partnerships in the WP 2021/2

Co-programmed European Partnerships:

- Partnerships calls (Union contribution) included in the Horizon Europe Work Programme 2021?2

- Contractual arrangements to be signed before adoption of Work Programme 2021/22

Co-funded European Partnerships:

- 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;

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

Strategic coordinating process for European Partnerships

1.12.2017: Council Conclusions calls on COM and MS to jointly establish a long-term strategic coordinating process
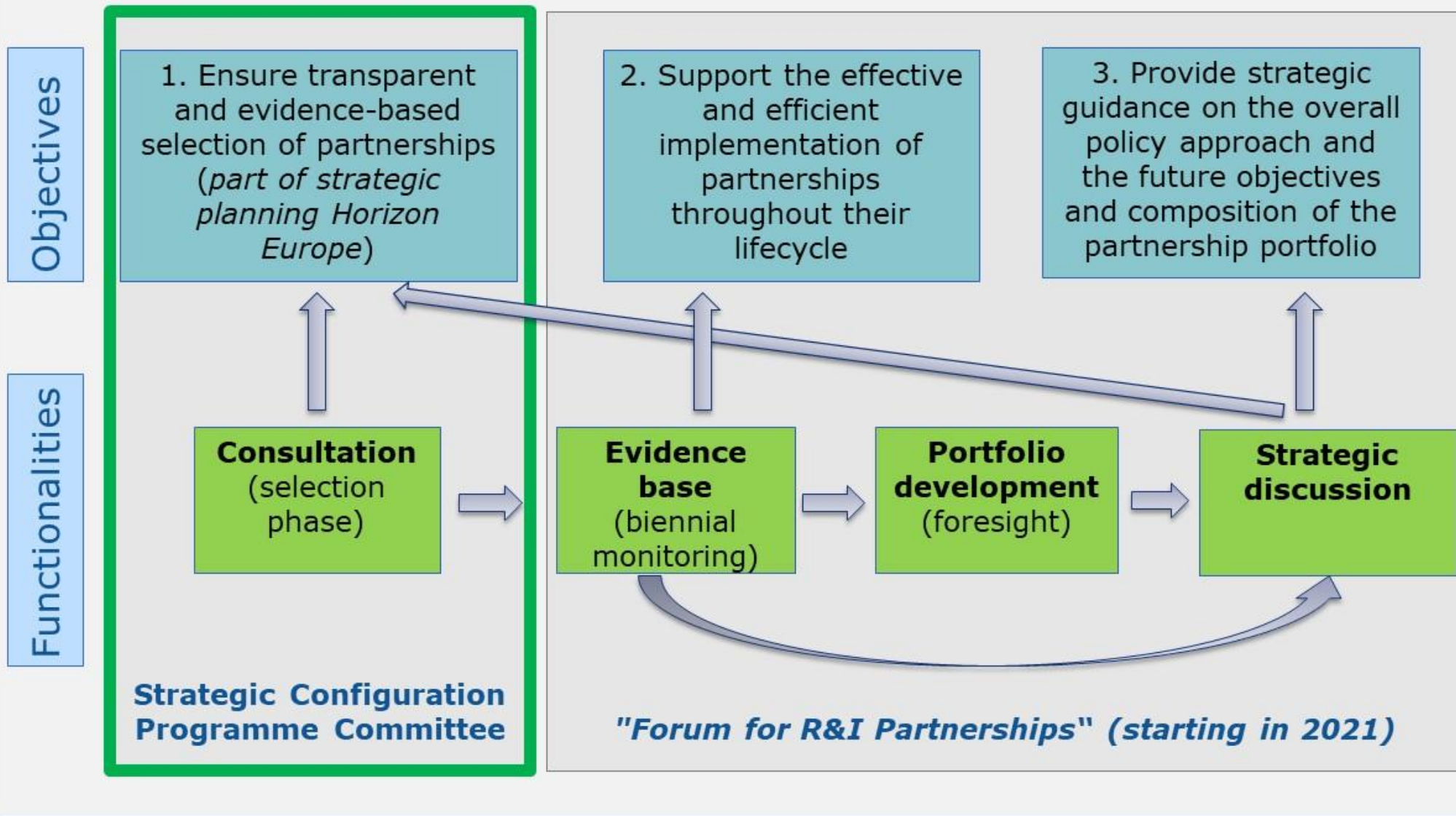
17.05.2018: ERAC recommendations on the requirements for the set-up of a strategic coordinating process, importantly:

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

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

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

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Strategic Coordinating Process for R&I Partnerships

Objectives

Functionalities

1. Ensure transparent and evidence-based selection of partnerships (*part of strategic planning Horizon Europe*)

2. Support the effective and efficient implementation of partnerships throughout their lifecycle

3. Provide strategic guidance on the overall policy approach and the future objectives and composition of the partnership portfolio

Consultation (selection phase)

Evidence base (biennial monitoring)

Portfolio development (foresight)

Strategic discussion

Strategic Configuration Programme Committee

"Forum for R&I Partnerships" (starting in 2021)

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Communication and information

Existing:

- Shadow Strategic Configuration of the Horizon Europe Programme Committee (CIRCABC, expert register webpage)
- ERA-LEARN webpage

Work in progress:

- Accessibility to info and public documents via the official website of the EU for Horizon Europe
- Contacts for European Partnerships (Commission services and partners)

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Comments? Questions?