

# European Partnerships

#HorizonEU

**Shadow SPC  
Horizon Europe  
Workshop 22 January**



# Draft Agenda

## 1. Welcome and Introduction

## 2. Crash-course on European Partnerships

- Co-programmed
- Co-funded
- Institutionalised based on Article 185/187 TFEU

## 3. Discussion on specific issues

- Commitments from Participating States and national governance / organisation
- Memoranda of Understanding for Co-programmed Partnerships with Member States
- Communication and information on European Partnerships

## 4. Information on specific issues

- Contributions from private partners
- Full integration of data on proposals, projects and results in CORDA
- Forum for R&I Partnerships

## 5. Next steps

- Indicative timeline
- ERA-LEARN Workshop on 8/9 March

## 6. Any other business

# Information on forms of European Partnerships

- A. Co-programmed
- B. Co-funded
- C. Institutionalised based on Article 185/187 TFEU

## Examples for candidates with MS as partners

- A. Co-programmed: European Open Science Cloud
- B. Co-funded: Chemical Risk Assessment
- C. Institutionalised based on Article 185/187 TFEU
  - Article 185: Metrology
  - Article 187: Key Digital Technologies



# 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

# 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)

## 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>

## 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](#)

# Common for all European Partnerships

- **Strategic orientation:** Priorities are defined as part of the strategic planning of Horizon Europe;
- **Necessity test for European Partnerships**, compared to traditional calls:
  - **Directionality:** based on agreed objectives and expected impacts that are underpinned by Strategic Research and Innovation Agendas / Roadmaps;
  - **Additionality:** commitments from partners to mobilise and contribute resources and investments;
- **Common set of criteria** along their life-cycle, defined in the Horizon Europe regulation (and the draft criteria framework);
- **Union contribution:** clearly defined at the outset for the full duration of the initiative.

➔ **In their implementation and certain features they differ, with the co-programmed being the most simple to prepare and implement, and the institutionalised the most complex.**

# A. Co-programmed European Partnerships

# A. Co-programmed European Partnerships (I)

- Most relevant **current types of actions**:  
Contractual Public-Private-Partnerships under Horizon 2020;
- **Legal form**: Contractual Arrangement / Memoranda of Understanding, signed between representatives of the partners and the Commission;
- **Who signs typically**:
  - For the European Commission: the Commissioner responsible;
  - The partners: organised in one (or more) associations representing their members (industry, research organisations etc.) ;
  - Member States: high-level representative of the respective national ministry / administration;
- **Content** of the Contractual Arrangement / Memoranda of Understandings: objectives, key performance and impact indicators, and outputs to be delivered, as well as the related commitments for financial and/or in-kind contributions.  
➔ **dedicated agenda point in the afternoon**



# A. Co-programmed European Partnerships (II)

- **Scope:** Based on a Roadmap / Strategic Research and Innovation Agenda (SRIA), agreed with the Commission Services;
- **Commitments and Contributions:**
  - European Commission: Union budget is implemented in the Horizon Europe Work Programme;
  - Partners (including Member States): implement their commitments and contributions under their responsibility;
- **Annual Work Programme/Activity Plan:** Roadmap/SRIA is each year translated into agreed priorities and activities necessary to achieve objectives:
  - 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, including transnational calls for proposals.

# A. Co-programmed European Partnerships (III)

## Financial and in-kind 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 financial contributions

### 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 in-kind contributions.

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

# A. Co-programmed European Partnerships (IV)

## Who does what?

- **Partners provide input** (priority setting) to COM services for the drafting of the respective parts of the Annual Work Programme, and can apply to the open calls for proposals;
- **Commission adopts Annual Work Programme** (comitology involving the Programme Committee) and implements the calls with its executive agencies;
- **Partners implement their commitments** (activities/contributions, investments) under their responsibility and report on these;
- **Association provides back-office** with important functionalities;
- In case of co-programmed partnerships with **Member States**: consider the need for a **Coordination and Support Actions** to support the preparation and implementation of MS activities (back-office).

# A. Co-programmed European Partnerships (V)

## Governance features to be considered:

- **Internal governance** of the partners (other than the Union);
- **Overall governance** including Commission services and representatives of major stakeholders / other partnerships etc.
- **Stakeholder forum;**
- **Scientific Advisory Board;**
- **Etc.**

## Openness and transparency:

- Calls of the Partnership financed by the Union: by default fully open, as standard Horizon Europe calls,
- Ensure involvement and consultation of relevant stakeholders (beyond partners) and Member States in the development/ validation of Roadmaps/SRIA and the annual priority setting.

## **B. Co-funded European Partnerships**

## B. Co-funded European Partnerships (I)

- Most relevant **current types of actions**:  
European Joint Programme (EJP) Cofund and  
ERA-NET Cofund under Horizon 2020;
- **Legal form**: Grant Agreement (Programme co-fund Action) signed between a consortium of beneficiaries and the Commission (executive agency);
- **Who is partner (beneficiary) in the grant agreement?**
  - Legal entities that implement the activities and produce costs that are eligible under the grant agreement;
  - Core of the consortium: Programme owners/managers (nominated by participating states);
  - Others in addition.
- **Important**: define for each co-funded ex-ante:
  - Types of partners are needed to form the partnerships (consortium);
  - Stakeholders that provide input (e.g. priority setting);
  - Stakeholders and target groups that are addressed/ involved by the activities implemented.

## B. Co-funded European Partnerships (II)

### Features of the Grant Agreement (still under development):

- Duration 5 – 7 years;
- Implementation based on Annual work plans/programmes submitted as draft to COM as deliverable, subject to approval (with / without modifications);
- Funding rate 30% [in justified cases up to 70%];
- Funding based on Horizon Europe eligible costs, including financial support to third parties;
- Calls under Co-funded European Partnerships: implemented on the basis of rules agreed by the partners (e.g. common rules , or otherwise national funding rules, including eligible costs of their beneficiaries).

**Important: Formal contributions to the partnership can only be made by the beneficiaries in the grant agreement**

## B. Co-funded European Partnerships (III)

### Horizon Europe definition programme co-fund action

“programme co-funding action’ means an action to provide **multi-annual co-funding** to a programme of activities established and/or implemented by **entities managing and/or funding research and innovation programmes**, other than Union funding bodies. Such a programme of activities may support networking and coordination, research, innovation, pilot actions, and innovation and market deployment actions, training and mobility actions, awareness raising and communication, dissemination and exploitation, any relevant financial support, such as grants, prizes, procurement, as well as Horizon Europe blended finance or a combination thereof. **The programme co-fund action may be implemented by those entities directly or by third parties on their behalf.**”

### Where can they be used? Identified in Horizon Europe:

- Co-funded European Partnerships, Marie-Slodowska-Curie co-fund, Infrastructures, Innovation Eco-System



# B. Co-funded European Partnerships (IV)

## Which models can be used?

- 1. Research and Innovation activities addressed by calls for proposals**
    - Core partners are national research funding organisations;
    - Main component as under today's ERA-NETs is the "Financial support to third parties"  
→ **financial contributions from MS;**
    - Possibility to have some call topics with, and others without co-funding.
  - 2. Research and Innovation activities directly implemented by the beneficiaries in the Grant Agreement**
    - Core partners are governmental (research) organisations (example: EJP Zoonoses, EJP Human Biomonitoring);
    - Main component are activities carried out by the beneficiaries;  
→ **in-kind contributions from MS**
    - In case of R&I activities, good practice: internal competitive calls;
    - Possibility to have some calls opening up to external expertise.
  - 3. In exceptional cases: Hybrid approach, involving research funders and governmental (research) organisations as core partners**
    - more complex to prepare and implement (example: EJP Rare Diseases)  
→ **Attention: Beneficiaries cannot be at the same time a third party to the action (Financial Regulation).**
- **Guidance to be developed**

# B. Co-funded European Partnerships (V)

## Preparation: step-by-step

- At the core of the preparation: National research funders/governmental research organisations and national ministries
- Core tasks:
  - **further elaboration of the partnerships proposal** (in close collaboration/co-creation with COM services)
    - ➔ necessary to agree on the objectives, expected impacts, compliance with partnership criteria etc.
  - preparation of the **Strategic Research and Innovation Agenda**, and the process that will allow to identify the topics in work plans.
- On that basis: preparation of the **Horizon Europe call text for a programme co-fund action** implementing the European Partnership, subject to comitology and COM decision adopting the WP.
- Consortium of research funders prepares and submits the **proposal for a co-fund action** (including the draft annual work plan year 1), subsequent, evaluation, Grant Agreement preparation
- Launch of the European Partnership, preparation and launch of activities, including e.g. calls for proposals
- Annual work plans subject to COM approval.

## B. Co-funded European Partnerships (VI) Governance

The consortium has to describe in their proposal the governance for the Partnership (on the basis of prior discussions and agreement with COM)

- **Internal governance of the consortium** (consortium management, including the preparation of the draft annual work plan)
- **External governance with a steering/governing board**, where for example Ministry representatives, COM and if appropriate others organisations have a seat (providing advise and guidance endorsing the annual draft work plan, subject to approval/request for modification by COM)
- **Other elements**, as appropriate, e.g. stakeholder forum, scientific advisory board, deployment board ....

**Important: clearly identify the relevant national representatives that can ensure the initiative is well embedded in the national policies and priorities, and ensure national commitments and contributions.**

# B. Co-funded European Partnerships (VII)

## Openness and transparency:

- Calls of the Partnership:
  - Can in principle be open as Horizon Europe calls, if agreed by the partners;
  - In the past: funding mostly limited to legal entities from countries that contribute with funding to the call (based on national funding rules), eligibility for (un-funded) participation should always be possible;
- Ensure involvement and consultation of relevant stakeholders (beyond partners) and Member States in the development/ validation of Roadmaps/SRIA and the annual priority setting.

# C. Institutionalised Partnerships based on Article 185/7

# C. Institutionalised Partnerships based on Article 185/7 (I)

- **Legal basis:** Article 185 and Article 187 of the TFEU, requires the preparation and adoption of a Commission proposal (including ex-ante impact assessment)
- **Article 185:**
  - Decision of European Parliament and Council
  - Implementation Structure: designated by Member States
- **Article 187:**
  - Council Regulation
  - Implementing Structure: Joint Undertaking (Union Body)
- **Reminder:** Areas for possible institutionalised European Partnerships (based on Article 187 and 185 TFEU) are identified in Annex Va of the Horizon Europe regulation

## C. Institutionalised Partnerships based on Article 185/7 (II)

### Specific Horizon Europe provisions:

- Implemented only where other parts of the Horizon Europe programme, including other forms of European Partnerships **would not achieve the objectives or would not generate the necessary expected impacts**, 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 and/or in-kind contributions from partners other than the Union, will at least be equal to 50% and may reach up to 75% of the aggregated European Partnership budgetary commitments.
- Compulsory financial contributions from partners other than the Union.

**Important: Rules for Participation of Horizon Europe apply by default, any (well justified) derogation has to be identified in the basic act.**

# C. Institutionalised Partnerships based on Article 185/7 (III)

## Financial and in-kind contributions from Member States

### a) Financial contributions - examples

- National/regional contributions to the funding of projects resulting from transnational calls for proposals
- National/regional contributions to the administrative costs of the implantation structure

### b) In-kind contributions - examples

- Governmental research performing organisation in the partnership is implementing R&I activities that are financed by its institutional funding:
- Costs of implementing these activities can be counted as in-kind contributions.

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



# C. Institutionalised Partnerships based on Article 185/7 (IV)

## Governance:

- **Defined in the basic act;**
- **Article 185:** COM observer in the governance structure;
- **Article 187:** COM holds 50% of the votes;
- Possibility to define necessary bodies (Stakeholder forum; Scientific Advisory Board; etc.).

## Openness and transparency:

- Calls of the Partnership financed by the Union: by default fully open, as standard Horizon Europe calls;
- Ensure involvement and consultation of relevant stakeholders (beyond partners) and Member States in the development/ validation of Roadmaps/SRIA and the annual priority setting.

# Important additional features

- Coherence and coordination among European Partnerships
- Synergies with Cohesion funds
- International cooperation

# Coherence and coordination between European Partnerships

## *How to ensure coherence and coordination?*

- During the preparation phase:
  - 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 by the Union!

# European Partnerships and cohesion funds

**Council proposed wording:** [“Financial contributions stemming from ESIF shall be allowed and considered as a national contribution.”]

## A hypothetical example on the intention – for further discussion in Council

- A country participates in a call launched by a consortium of NFBs in a co-funded or institutionalised 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);
- A beneficiary applies successfully to the call as part of a transnational consortium and receives a grant agreement from the NFB (e.g. a contribution of 100 for a project with total eligible costs of 200, according to national rules applicable under this priority);
- The NFB reports the costs of providing financial support with a value of 100 to Horizon Europe, and received a funding of 30 from Horizon Europe;
- The remaining 70 would be payed out of the cohesion programme/priority;
- If a priority is co-financed at 50% from ERDF, the funding of the project could be finally composed of:
  - 30% Union funding from Horizon Europe
  - 35% national funding
  - 35% Union funding from ERDF

**Important:** participation at programme/priority level required (with predefined ratio of national and ERDF contributions)

# European Partnerships and international cooperation: Associated Countries

Associated 3 <sup>rd</sup> Countries	Partner	Eligible for participation in projects	Eligible for funding in projects
<b>Co-programmed</b>	In principle yes, subject to policy considerations	Yes	Yes
<b>Co-funded</b>	Yes	Yes, if the country participates and contributes to the call in question, or if call provisions allow for unfunded participation	Yes, if the country participates and contributes to the call in question, or if call provisions allow for funded participation
<b>Article 185</b>	Yes, as participating state	By default yes, unless derogations in the basic act or in the Annual Work Programme limit eligibility for participation	By default yes, unless derogations in the basic act or in the Annual Work Programme limit eligibility for funding
<b>Article 187</b>	In principle yes, subject to policy considerations (for both private partners, and where applicable, as participating state)	By default yes, unless derogations in the basic act or in the Annual Work Programme limit eligibility for participation	By default yes, unless derogations in the basic act or in the Annual Work Programme limit eligibility for funding

# European Partnerships and international cooperation: non-associated 3<sup>rd</sup> countries

Non-associated 3 <sup>rd</sup> Countries	Partner	Eligible for participation in projects	Eligible for funding in projects
<b>Co-programmed</b>	In principle yes, subject to policy considerations	Yes	Yes, if listed in Annex to WP or funded participation necessary
<b>Co-funded</b>	Yes (but only receiving Union contribution , if listed in Annex to WP or special provisions in call text)	Yes, if the country participates and contributes to the call in question, or if call provisions allow for unfunded participation	Yes, if the country participates and contributes to the call in question, or if call provisions allow for funded participation
<b>Article 185</b>	By default no, only if foreseen in the basic act and subject to conclusion of international agreement (as in PRIMA)	By default yes, unless derogations in the basic act or in the AWP limit eligibility for participation	By default yes for countries listed in the Annex to the WP, unless derogations in the basic act or in the AWP limit eligibility for funding
<b>Article 187</b>	In principle yes, subject to policy considerations (for both private partners, and where applicable, as participating state (subject to international agreement)	By default yes, unless derogations in the basic act or in the AWP limit eligibility for participation	By default yes, unless derogations in the basic act or in the AWP limit eligibility for funding

## Discussion on specific issues

- A. Commitments from Participating States and national governance / organisation
- B. Memoranda of Understanding for Co-programmed Partnerships with Member States
- C. Communication and information on European Partnerships

# A. Commitments from Participating States and national governance / organization (I)

**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.



# A. Commitments from Participating States and national governance / organization (II)

**Article 185/187 initiatives** with Member State participation:

- National commitments (typically from national ministries) before COM proposal is adopted.

**Co-programmed European Partnership** with Member States:

- National commitments (typically from national ministries) at the moment of concluding the “Contractual arrangements /MoUs” and adopting Annual Work Programme Horizon Europe.

**Co-funded European Partnership :**

- Indicative national commitments (typically from national ministries) at the moment of including the topic for the Programme-co-fund action supporting the Partnerships in the draft Annual Work Programme Horizon Europe;
- Confirmation of commitments with the submission of the proposal.

# A. Commitments from Participating States and national governance / organization (II)

## Guiding questions for discussion

- What is the current status of discussions on commitments and contributions at national level?
- Could you consider a single commitment per MS for all its planned participations?
- How do you deal with partnerships that require commitments and contributions from a broader range of national ministries/administrations?
- What are difficulties you are expecting, how can COM best support you?

## Important, beyond the formal commitment to contribute to partnerships:

- Resources necessary at national level to participate in the partnerships and their preparation;
- National governance structures.

➔ Also addressed under agenda point on “Forum for R&I Partnerships”

## **B. Memoranda of Understanding for Co-programmed Partnerships with MS**

# Basis for the future Memoranda of Understanding

Commission services have started to work on an a template for future Contractual Arrangements / Memoranda of Understanding, taking into account:

- The signed **cPPP contracts** under Horizon 2020 (all based on a common template)
- Adapted to the provisions specific to a Co-Programmed partnership under the new **Criteria framework**
- Based on the **principles for European Partnerships**, as laid down in Annex III of the proposal for a Regulation for Horizon Europe

# Overall comparison with the cPPPs

## Previous cPPPs (H2020)

- Used for partnerships with **industry**
- Contractual arrangements signed with the **association** representing the private partners
- **Association provides back-office** with important functionalities

## Co-Programmed partnerships (HE)

- Possibility to use co-programmed Partnerships:
  1. with **Member States**,
  2. with **private partners**
- Assumption: dedicated **arrangements by type of partner** (Private, MS) but based on a common approach
- Proposal for Co-Programmed partnerships with MS: Signature of Memoranda of Understanding between **MS representatives** (appropriate level) and Commissioner
- Need to provide resources for the preparation and implementation of MS activities (**back-office**)

# Comparison with H2020 – new provisions

## No new major changes in sections:

- Considerations
- General objectives
- Specific objectives
- Application of arrangement

## New provisions in sections:

- Activities and investments
- Governance/openness
- Commitments and contributions
- Monitoring and reporting

# Member States: Activities and investments

**Need to clarify what are the activities from Participating States that can be included and can be covered by the MoU that implement the SRIA/Roadmap:**

1. Transnational calls resulting in projects being funded (R&I, Innovation etc.)
2. National calls resulting in projects being funded (R&I, Innovation etc.);
3. R&I activities of (governmental) Research Organisations
4. Other activities at national/regional level that contribute to the achievement of objectives and expected impacts.
5. ...

**Partners own activities to be agreed in Annual Activity Plan/Work Plan**

# Governance – new elements

**Openness** - Partners / States commit to put in place measures that ensure:

1. open and transparent processes for **consulting** all **partners** and other relevant **stakeholders** on the identification of Partnership's priorities
2. **ways for new partners / countries to get involved** in the Partnership, including an open policy to membership
3. all interested **stakeholders** should be **adequately informed on the functioning of the Partnership**



# Commitments and contributions – new elements

- Parties / States give **commitments on future contributions** (in Annex)
- Need to put in place **measures** ensuring that **contributions committed are provided on time**
- Also foresee a **corrective measures** for the case when **a contribution is not received**, for example:
  1. compensation by other Parties / States
  2. inclusion of further Parties / States in the Partnership
  3. scaling down or winding down of the Partnership

# Monitoring and reporting – new elements

- Monitoring system will report on a continuous basis on:
  1. inputs (financial and/or in-kind contributions of partners for their own activities),
  2. activities (including Partners activities),
  3. outputs (including assessing the partner activities),
  4. results (including the exploitation or scaling-up of projects, as well as partners activities)
- Report “**impact cases**” - to identify the most promising projects/activities and find broader financing possibilities for them
- Report annually on the Partnership’s progress towards the expected scientific, economic and societal **impacts** (along HE Key Impact Pathways) and agreed **KPIs**

## C. Communication and information on European Partnerships

- *Existing:*
  - Shadow SPC as entry point (CIRCABC)
  - ERA-LEARN webpage (<https://www.era-learn.eu/>)
- *Work in progress:*
  - Accessibility to info and public documents via the official website of the EU for Horizon Europe
  - Contacts for European Partnerships

# Contacts for European Partnerships

**Aim:** Ensure transparency of their preparation and provide interested stakeholders with the possibility to reach out to Commission Services and partners for the preparation of the European Partnerships;

**Issue:** requires individual consent to disclose personal data (General Data Protection Regulation);

**Status:** request has been launched to all COM staff (including request to reach out and identify a contact for the partners);

**Communication:** to (other) staff of the European Commission; representatives of Member States or national/regional organisations or private partners or associations involved in preparing a Partnership and of organisations interested in joining a Partnership or contributing to its priority setting and activities, plus publication on EU website.

→ **First data to be made available by the end of January, to be updated as information comes in.**

# C. Communication and information on European Partnerships

*Key elements/ structures in the future :*

- **Horizon Europe Programme Committees (*strategic vs thematic*)**

**Annex III of Horizon Europe *Specific Programme (PGA)*** contains provisions on the *Information to be provided by the Commission in accordance with Article 12(6)* including *Information on the execution of the Horizon Europe budget, including information ... on commitments and payments for all European Partnerships, including KICs.*

- **NCP structure**
  - **Forum for R&I Partnerships** (key mechanism: biennial monitoring)
  - NB! Calls of partnerships should be accessible via Funding and tenders portal
  - Individual partnerships will establish communication channels incl. webpages.
- **How do you plan to communicate opportunities of European Partnerships at national level? What are your information needs?**
- **How to best structure information on Partnerships in the future? How can we avoid overlaps/ gaps?**

## **Information on specific issues**

- A. Contributions from private partners
- B. Full integration of data on proposals, projects and results in CORDA
- C. Forum for R&I Partnerships

## A. Contributions from private partners

*The following slides are being used for discussion with the private side in Article 187 initiatives, but many features could also be applied in co-programmed partnerships with industry.*

*Discussion are ongoing, and at this stage no decision on any feature has been taken.*

# Contributions from private partners in Article 187 initiatives

## Key principles

- Strive towards a framework that allows JUs to effectively deliver on the objectives and increased ambitions, notably more impact;
- Standardise as much as possible to ensure efficiency and comparability across initiatives, but allow sufficient flexibility in their scope of activities needed to achieve their objectives, going beyond the traditional calls for proposals.



# Contributions from private partners

## Guiding principles resulting from the new policy approach and the Horizon Europe regulation (common understanding):

- Increase contributions and commitments in a qualitative and quantitative manner;
- Systemic approach across all Article 187 initiatives that is accountable, supports the openness of initiatives and is coherent, transparent, and fair;
- Provide positive incentives to make meaningful contributions, in particular in the funded projects, and avoid as much as possible negative impacts (“taxation”/penalisation of non-partners);
- Avoid affecting negatively the attractiveness of the initiative to non-members and newcomers, nor discourage companies from becoming a member and playing an active role in the partnership;
- Ensure that private partners are able to fulfil their commitments;
- Legal basis: Financial contributions are compulsory, but primarily covering administrative costs, and the costs of Coordination and support and other non-competitive activities, that are defined ex-ante.

# Contributions from private partners

- Any institutionalised partnership is required to comply with the legal provisions, resulting in Partners having to contribute the equivalent of 100 – 300% of the Union contribution (comparison Horizon 2020 JUs a broad range between 50 and more than 250%).
- This requirement applies only to the partners, and the provisions of the basic act have to clearly define them, but also ensure that partners can deliver against these requirements (leverage effect for partners contributions).
- At the same time, it should be clear that the overall “leverage effect” of the partnerships in terms of mobilising additional investments goes beyond the notion of in-kind and financial contributions from Partners.

# Contributions from private partners

1. Open calls will be the principle.
2. Increase in-kind contributions at project level by only partially reimbursing eligible costs.  
*[actively promoted by a number of industries involved in current JUs]*
3. Simplify reporting by accounting for in-kind contributions based on “eligible costs minus reimbursed costs”.
4. Limit the scope of additional activities that allow to account for in-kind contribution.
5. Define a minimum fixed percentage for financial contributions, and allow current practice for additional financial contributions to operational costs to continue.

## **B. Full integration of data on proposals, projects and results in CORDA**

# Current Situation

- Data on *Public-Private Partnerships* (Article 187, cPPPs) is available in eCorda; (except EuroHPC and ECSEL – nationally funded part);
- Available data on *Public-Public Partnerships* (Article 185, ERA-NET and EJP co-fund) – imported in eCorda, however:
  - **Dataset incomplete**
  - **Data Quality issues**
  - **Problems attributing unique identifiers to beneficiaries**
- No Partnership / EIT data available on Dashboard
  - **Data quality issues & missing data**

# Complete data on proposals, projects and results from European Partnerships

The provisions for European Partnerships (Article 8, Annex III) require integrating in eCorda (and Cordis) data on proposals and selected projects for all calls for proposals launched under partnerships under Horizon Europe.

Having this data is key in:

- Assessing impacts of the future European Partnerships and the underlying activities, individually and collectively;
- Assessing the effectiveness of the new policy approach (compared to traditional calls under the Framework Programme);
- Identify weaknesses in the implementation, e.g. insufficient openness and accessibility of partnerships;
- Support exploitation and valorisation of results, and in particular provide input to policy making for the Commission Services and, to the extent possible, national administrations.

# Relevant European Partnership candidates with likely MS participation

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

***In addition: R&I partnerships between MS without Union co-funding!***

DG RTD has started work to define the scope, business processes, mandatory and supplementary (national) data requirements; identify any necessary adaptation of IT tools, and possible additional support needed (e.g. linked to PIC validation).

# Complete data on proposals, projects and results from European Partnerships

## Next steps and milestones (draft)

- DG Research and Innovation to prepare **input paper**;
- **ERA-LEARN Workshop** on 9/10 March with a dedicated session on data management;
- **Definition of data structure**, on the basis of the Horizon Europe IT system specifications, and necessary additional data fields (mid-2020);
- Definition of **reporting data** on funded projects throughout their life-cycle that have to be collected by each partnerships centrally;
- Development of necessary **IT tools to allow automated import** and update of data (including quality control);
- **Partnerships: adopt own (central) IT** tools to common data standard;
- **Certification of IT** tools (fit for purpose?);
- **Further pilots** with ongoing H2020 initiatives;
- **Up-and running and tested** before any European Partnership launches its first calls.



## C. Transitional Forum for R&I Partnerships

- Part of (operationalizing) the “strategic coordinating process”
- Until the end of 2020: a Transitional Forum prepares and provides recommendations on the future Forum, including:
  - Scope and structure of **monitoring** of EU R&I Partnerships
  - **Foresight** activities
  - Tasks, form, resources and governance of **future Forum**
  - **National preparedness** (incl. a survey on the status of preparations and guidance needed)
- Draft deliverables will be presented to ERAC (Plenary meetings: March, Sept & Dec.)

# Context – strategic coordinating process

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

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

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

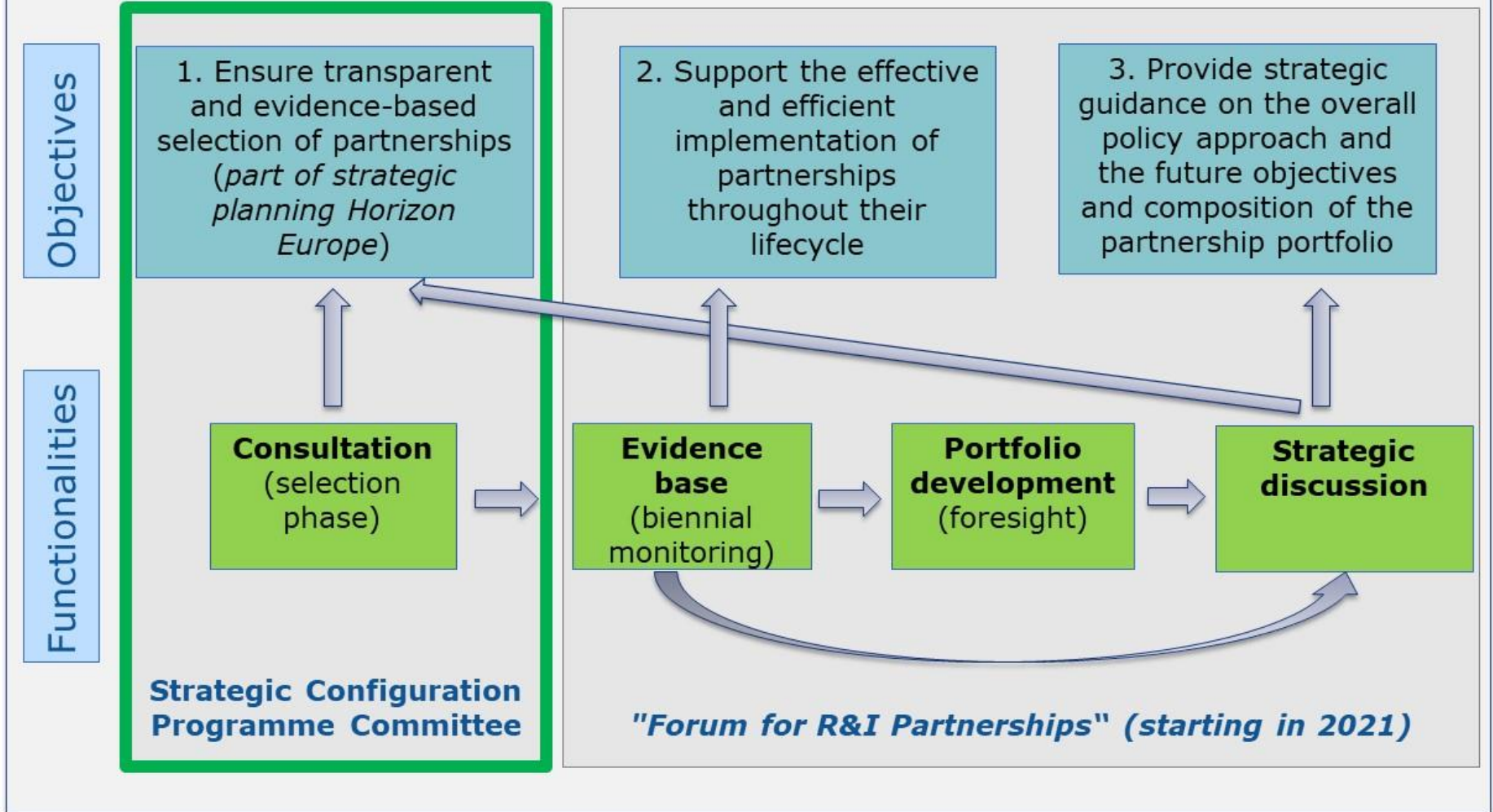
**Horizon Europe Regulation (common understanding)**: general provisions for establishing European Partnerships (recitals, Article 8) and criteria (Annex III) + areas for A187/5 Partnerships (Annex Va)

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

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

# Context

## Strategic Coordinating Process for R&I Partnerships



## Next steps

- Indicative timeline
- ERA-LEARN Workshop on 9/10 March

# Status of preparation: Strategic Planning & portfolio for European Partnerships

- Orientations towards the first Strategic Plan for Horizon Europe are finalised (Dec 2019). It includes in total 49 Partnership candidates, including 5 additional ones
  - One Health/AMR
  - Smart Cities and Communities
  - Waterborne
  - Geological Services
  - EIT-KIC Cultural and Creative Industries

## Key elements for the next steps:

- Finalisation and adoption of **Strategic Plan** Horizon Europe
- ➔ Need for clarity: For which European Partnerships candidates adoption of legislative proposals (Article 185/7), and which should be implemented as Co-programmed/Co-funded and included in the Strategic Plan?
- Progress on **MFF** negotiations
- ➔ Without political agreement on budgetary envelope for Horizon Europe: No budget allocation to candidate European Partnerships, no COM proposals for Article 185/7 initiatives.

# 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

# Further elaboration of European Partnership candidates

- Commission services responsible for individual initiatives have started discussions with potential partners and stakeholders to further elaborate the **partnership proposals**;
- Focus on those that are to be launched in 2021/22;
- Preparatory work based on the guidance [document/template](#);
- RTD.A4 organising regular meetings (per cluster) to review progress, provide feedback and identify bottlenecks;
- Key element for all future European Partnerships will be a Strategic Research and Innovation Agenda / roadmap that builds on the partnership proposal.

## Timing for Partnership proposals for the WP 2021/2:

- First versions by **December/ January** for consolidated feedback.
- Consolidated, agreed versions by the **February/ March** to confirm candidates in view of the Strategic Plan and to inform the first budgetary discussions

# Practical next steps

## Proposal guidance and template

### **1 General information**

- 1.1 Draft title of the European Partnerships
- 1.2 Lead entity (main contact)
- 1.3 Commission services (main contact)
- 1.4 Summary

### **2 Context, objectives, expected impacts**

- 2.1 Context and problem definition
- 2.2 Common vision, objectives and expected impacts
- 2.3 Necessity for a European Partnership
- 2.4 Partner composition

### **3 Planned Implementation**

- 3.1 Activities
- 3.2 Resources
- 3.3 Governance
- 3.4 Openness and transparency



# Indicative timeline

February/March 2020:	Further elaboration of draft partnerships proposals
March 2020:	Hearings with the Regulatory Scrutiny Board on the ex-ante Impact Assessments for the Article 185/7 initiatives
Q2 2020:	Adoption of the Strategic Plan (tbc)
June 2020:	Adoption of COM proposals for Article 185/7 initiatives and start of negotiations
September 2020:	R&I days
Q2 – Q4/2020:	Definition of call topics for co-programmed and co-funded European Partnerships for the Horizon Europe Work Programme 2021/2
Q4/2020 - Q1/2021:	Adoption of Horizon Europe Work Programme 2021/2
Q1/2021:	Adoption of basic acts for Article 185/7 initiatives by Council (and European Parliament)

# Co-programmed partnerships

## **Launch of European Partnerships in 2021 or 2022:**

- 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

## **Launch of European Partnerships in 2023 or 2024:**

- Partnerships calls (Union contribution) included in the Horizon Europe Work Programme 2023/4
- Contractual arrangements to be signed before adoption of Work Programme 2023/4

# Co-funded partnerships

## Launch of European Partnerships in 2022 or 2023:

- 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).

## Launch of European Partnerships in 2024 or 2025:

- Call topics for programme co-fund actions for the implementation of the Co-funded European Partnerships included in the Horizon Europe Work Programme 2023/4;
- Submission of proposals in 2023 (2024), launch of partnerships with signature of Grant Agreement (submission plus 8 month).

# ERA-LEARN Workshop on 9/10 March

## The workshop aims to:

- 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.

## The workshop is on invitation only, with

- Partnerships: 1-2 representatives from each that involves Member States as partners;
- Member States: 1-2 representatives per country from national ministries;
- Major national research funders: 1 representative per organization (identified together with ERA-LEARN);
- Commission Services: Thematic ones in charge of the individual preparation, and horizontal services.

# ERA-LEARN Workshop on 9/10 March

## Draft Agenda

### 9 March 2020

- 12h00 – 13h00 Registration, optional light lunch
- 13h00 – 18h00 Plenary, parallel workshops
- 18h00 – 20h00 Reception

### 10 March 2020

- 09h00 – 13h00 Parallel workshops, plenary
- 13h00 – 14h00 Optional light lunch
- 14h00 – 17h00 Workshop Data integration – compulsory for the representatives of Partnerships with MS under preparation

Deadline for pre-registration: 31 January

Confirmation and detailed agenda: mid-February

# ERA-LEARN Workshop on 9/10 March

**Tentative list of topics for parallel / break-out session, final selection to be defined by Mid-February, preparation of one-page background documents per session:**

- Governance
- Consortium management (financial management)
- SRIA/roadmap
- Synergies
- Compliance with Horizon Europe requirements (Annex III, criteria (openness, transparency...))
- Financial support to third parties under programme co-fund actions
- Commitments and contributions
- KPIs and their monitoring
- ...

# Any other business