



PLATFORM

ERA-NET Cofund instrument and topics

(recalling key points from the Cofund Info day 16 Jan,
using slides of Joerg Niehoff, EC DG RTD).



European Research Area



EUROPEAN COMMISSION
DIRECTORATE GENERAL FOR RESEARCH & INNOVATION
Directorate B – Innovation Union and European Research Area
B.2 – ERA Policy and Reforms

Agenda

Horizon 2020: ERA-NET Cofund Infoday

16 January 2014

Charlemagne Rue de la Loi 170, B-1049 Brussels
Room Alcide de Gasperi (**GASP**)

Plenary session I

Welcome

Peter Droell, Acting Director - Innovation Union and European Research Area

Introduction Horizon 2020 and Public-Public Partnerships

Fabienne Gautier, Acting Head of Unit – ERA Policy and Reforms

ERA-NET and JPIs and their calls

Elisabeth Bertrand

ERA-NET Cofund actions

Joerg Niehoff

WP 2014/15 and ERA-NET call topics 2014 overview

Elisabeth Bertrand

Plenary session II

Proposal preparation, submission and evaluation

Joerg Niehoff

Grant preparation and reporting

Joerg Niehoff

Synergies with Structural Funds

Joerg Niehoff

NETWATCH

Karel Haegeman, JRC IPTS

ERA-LEARN

Roland Brandenburg, FFG

Final session with question and answers

Presentation ERA-NET Cofund actions by Jörg NIEHOFF

The presentation covered:

- The Definition of ERA-NET and Programme Cofund in the legal documents of Horizon 2020
- Who can participate?
- The different types of ERA-NET Cofund actions
- The co-funded call
- The other activities of an ERA-NET
- The financing of the ERA-NET

Type of action used for ERA-NET: Programme Cofund

(Rules for participation, Article 2 – Definitions)

(16) 'programme co-fund action' means an action funded through a grant **the main purpose of which is supplementing individual calls or programmes** funded by entities, other than Union funding bodies, managing research and innovation programmes.

A programme co-fund **action may also include complementary activities** of networking and coordination between programmes in different countries;

FP6: ERA-NET

Funding of costs related to the coordination of national research programmes, 100% reimbursement rate for coordination and management costs



FP7: ERA-NET and ERA-NET Plus

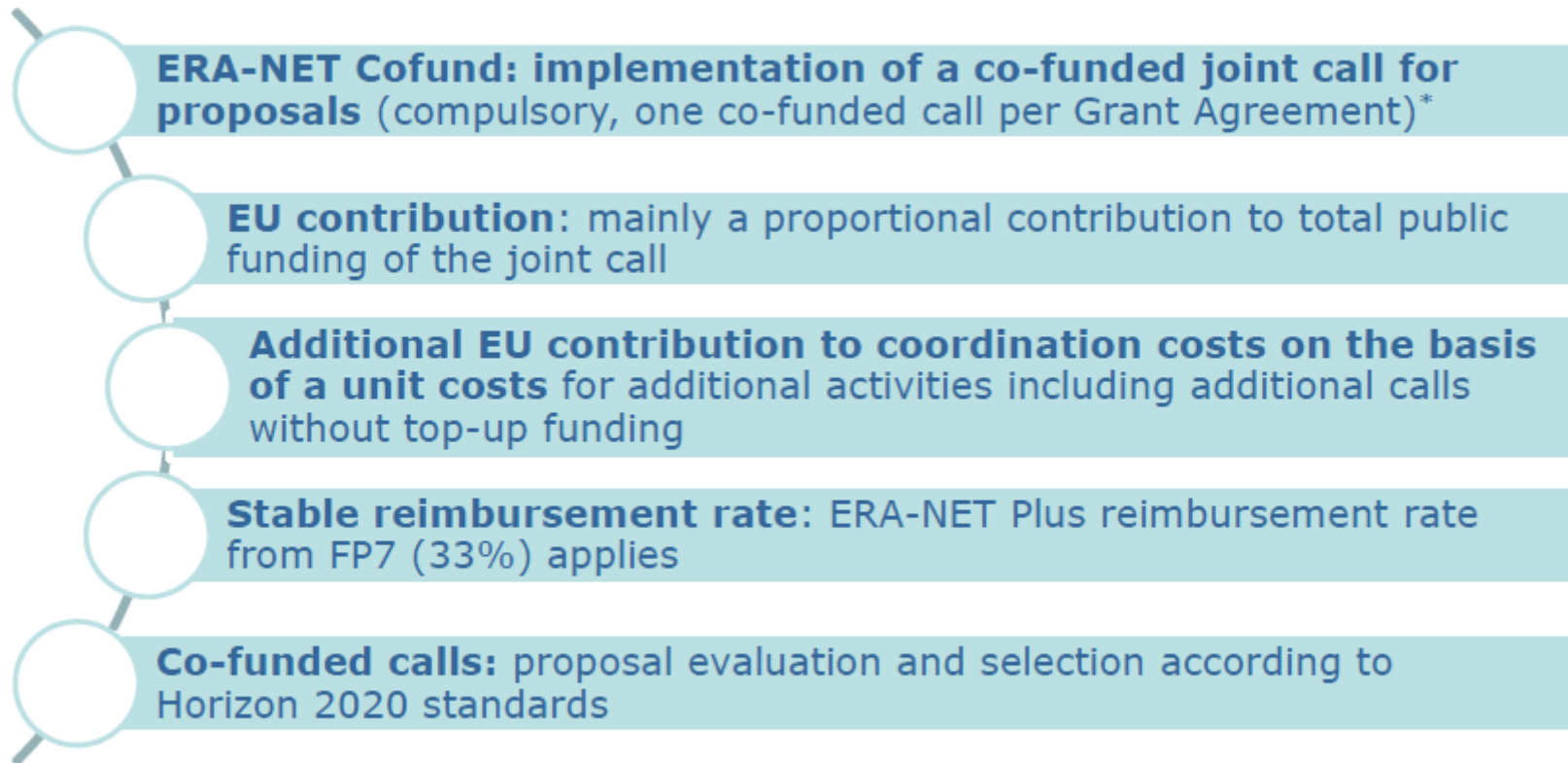
ERA-NET: as under FP6
ERA-NET Plus: co-funding of a single joint call for trans-national proposals, 33% reimbursement rate for the costs of funding the projects



Horizon 2020: ERA-NET Cofund

Co-funding of a single joint call for trans-national proposals, in addition other joint activities including other joint calls without Union co-funding, 33% reimbursement rate

ERA-NET Cofund – main features



* ERA-NETs based on a Coordination and Support Action (CSA) are no longer possible. Only in exceptional cases it might be considered to support the preparation and structuring of specific emerging P2Ps that demonstrate clear European added value.

Who can participate ? (I)

- **Eligibility conditions ERA-NET Cofund similar to ERA-NET under FP7.**
- Participation is limited to entities that can fully participate in joint calls and other actions between national and regional programmes.
- Participants in ERA-NET Cofund actions must be research funders: legal entities owning or managing public research and innovation programmes.
- **Programme Owners** are typically national/regional ministries/authorities responsible for defining, financing or managing research programmes carried out at national or regional level.
- **Programme Managers** are typically research councils or funding agencies or other national or regional organisations that implement research programmes under the supervision of the programme owners. Their participation has to be mandated by the national/regional authorities in charge (normally the responsible Ministry).

A. Implementation of a single joint call
(MS contribution in cash)

- Call for proposals organised by national/regional funding agencies
- Activities: call preparation, implementation and follow-up
- **Eligible costs:** financial support paid to third parties

B. Implementation of a single joint call and additional activities
(MS contribution in cash)

- Call and activities as in A.
- Additional joint activities including additional joint calls without Union top-up funding.
- **Eligible costs:** financial support paid to third parties and coordination costs for additional activities (unit costs per beneficiary per year).

Co-funded call: Rules for providing support to or implementation of trans-national projects

(Important: these are conditions for costs to be eligible!)

The beneficiaries must

provide financial support to trans-national projects

or

implement such projects (partially or fully) themselves

The proposals/projects must

- be **transnational projects** (at least two independent entities from two different EU Member States or associated countries)
- be selected following a joint transnational **call for proposals, two-step procedure**
- be evaluated in step 2, with the assistance of at least **three independent experts**, on the basis of excellence, impact, quality and efficiency of the implementation
- be ranked according to the evaluation results, and **selected in the order of the ranking list(s)**

Co-funded call – conditions & deliverables

After the end of the evaluation the consortium must submit to the Commission the following:

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

In addition:

- a) After the **end of evaluation** information on each project selected for funding (data on each participant and abstracts of the project proposal),
- b) At the **end of the action**: information on each funded project (data on each participant and overview of results).

Important: The conditions for call implementation for the co-funded call do not apply to additional calls without Union top-up funding.

Co-funded call – practical issues

- **Choice of the funding mode** to ensure selection according to ranking
 - good practice: mixed mode
 - real common pot: possible
- Use of **step 1 to balance requested and available funding**
- Possibility to use **more than one call topic**
 - dedicated budgets per topics, multiple ranking lists or
 - use expert panel to adjust scores and create single ranking list
- Only **proposals with identical scores at the threshold of available funding** may be selected according to the availability of funds in order to maximise the number of selected projects.
 - choice of half scores / vs. full scores
- **Independent expert as observer**: appointed by the consortium, to assess the conformity of the implementation of the joint call and, in particular, review the proper implementation of the independent international peer review and the establishment of the ranking list of trans-national projects.
- Possibility of **centralised management** of grant agreements
- **Make use of good practice documented by ERA-LEARN!**

ERA-NET Cofund: optional additional activities

- ERA-NET Cofund consortia **may carry out other activities in addition** to the call receiving top-up funding.
- **Option is normally defined in the call text**, e.g.: *"Proposers are encouraged to implement other joint activities including additional joint calls without EU co-funding"*.
- **Activities have to be related to the coordination of public research and innovation programmes** and should focus on the preparation and implementation of joint activities including additional calls without Union top-up funding (**typical ERA-NET FP7 activities**).
- **Additional partners might be involved** which do not participate in co-funded calls.
- The coordination cost for the other activities takes the form of a **unit cost per beneficiary year** and is limited to those beneficiaries that carry out activities that go beyond the co-funded call.
- Proposers have to **demonstrate the appropriateness of the overall coordination costs** for the proposed additional activities.

A. Implementation of a single joint call
(MS contribution in cash)

- Call for proposals organised by national/regional funding agencies
- Activities: call preparation, implementation and follow-up
- **Eligible costs:** financial support paid to third parties

B. Implementation of a single joint call
(MS contribution in cash)
and additional activities

- Call and activities as in A.
- Additional joint activities including additional joint calls without Union top-up funding.
- **Eligible costs:** financial support paid to third parties and coordination costs for additional activities (unit costs per beneficiary per year).

C. Implementation of a single joint call
(MS contribution in kind)

In exceptional cases

- Call for proposals organised by governmental research organisations
- Beneficiaries carry out the projects resulting from the call themselves
- **Eligible costs:** costs of trans-national projects on the basis of Horizon 2020 rules
- In-kind contributions: non-reimbursed expenditure

Co-funded call: Rules for providing support to or implementation of trans-national projects

(Important: these are conditions for costs to be eligible!)

The beneficiaries must

provide financial support to trans-national projects

or

implement such projects (partially or fully) themselves

The proposals/projects must

- be **transnational projects** (at least two independent entities from two different EU Member States or associated countries)
- be selected following a joint transnational **call for proposals, two-step procedure**
- be evaluated in step 2, with the assistance of at least **three independent experts**, on the basis of excellence, impact, quality and efficiency of the implementation
- be ranked according to the evaluation results, and **selected in the order of the ranking list(s)**

ERA-NET Cofund with institutional funding

- Beneficiaries in the Grant Agreement: Governmental research organisations (as "*programme managers*"), nominated by the respective ministry/public authority ("*programme owners*") to participate in the ERA-NET
- Call is an internal competition between consortia of the participating organisations
- Eligible costs: expenditure of the beneficiaries for the implementation of the transnational projects (H2020 conditions, direct costs plus 25% flat rate for indirect costs)
- Main differences compared to the classical cash-based ERA-NET:
 - Ensure selection according to ranking list: additional "guarantee" amount instead of mixed mode financing model
 - Step 1 of the Call pre-identifies specific topics for which proposals can be submitted → Proposals compete for the best topics
 - (normally) no grant agreement for the individual projects → has to be reflected in the consortium agreement

**Examples: iMERA+ (ERA-NET Plus on metrology research)
ÆRTOs (ERA-NET for governmental research organisations)**

Combinations of cash / in-kind contributions?

- **Strongly advised: strategic choice between the two models**, depending on the research area and the underlying national programmes.
→ **will normally be specified in the workprogramme**
- A **combination of cash and in-kind contributions** in the same ERA-NET Cofund actions may be reasonable for the following two scenarios:
 - (a) The governmental research organisations open the call to other entities, for which they have to set aside a certain amount in cash. They therefore implement the projects only partially themselves, another part is implemented by third parties that receive financial support.
 - (b) Some participating states participate via institutional funding of governmental research organisations and others fund the same type/area of research programmes via open calls for proposals.
- **Discouraged:** cash and in-kind contributions (funding agencies and governmental research organisations participating) from the same country.
 - Need to exclude the institutional participants from applying to the cash part
 - Complexity of implementation (possible conflict of interest in the consortium, complex funding modes needed, problem of consortia with some partners having a grant agreement with a funder, and others not etc.)

A look backwards: user recommendations at previous events and situations under H2020

- Call implementation is the core activity and important linking element for consortia, with ERA-NET plus clearly as incentive, but complexity of contractual implementation → **Emphasis on co-funding of calls**
- Other activities: equally important, need to keep networks alive and provide networking budget for all partners → **consortia decide**
- Need for more flexible type of ERA-NETs, allowing users to adapt it according to their needs and evolve on their way
→ **Flexibility to define activities beyond co-funded calls**
- Partners/ associated partners to join in for specific activities/periods of time → **Variable geometry for activities over the duration**
- Continuous funding for networking a reduced level to give long term perspective → **Unit costs for networking**
- Simplify and limit reporting requirements → **Default 2 RP, single financial report**
- Strong preference for costs reimbursement: Output based for the call and unit costs for networking → **Approach chosen under H2020**



Summary: main differences compared to FP7

- Compulsory element of the co-funded call
- Flexibility for the consortium to decide on the financing of the call budget and its implementation and management
- Large degree of flexibility for consortia to decide on additional activities
- Simplified reimbursement of costs with unit costs for additional activities
- Possibility to use ERA-NET for institutional programmes / in-kind contributions
- Tailor-made Model Grant Agreement, annexes, forms, proposal templates (see afternoon presentations)
- Simplified reporting with 2RP and a single financial reporting

Thank you for your attention

Tour de table in break out to collect questions you would have for Jörg, we'll send those after the meeting and distribute the answers to all of you.

Contact

Jörg Niehoff

joerg.niehoff@ec.europa.eu

DG Research & Innovation
Unit B2 – ERA Policy and Reforms

Research &
Innovation
