



European Joint Programme and ERA-NET Co-fund Actions under Horizon 2020 – a primer

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Today's Agenda

- *Understanding the history of H2020 Cofund Instruments*
- *ERA-NET Cofund and EJP*
- *EJP – Implementation of the action*

Have I seen this before?

*18 months after July 2014 – RadWaste Management Joint Programming
Info session – Brussels*

Continuous workshops under JOPRAD

Still issues to clarify/specific audience





WHAT ARE WE TALKING ABOUT?

Programme co-fund under H2020 Rules for Participation:

*'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 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'*

*Includes the following **funding instruments**:*

- **European Joint Programme ('EJP') Cofund**
- **ERA-NET Cofund**
- Marie Skłodowska-Curie
- Pre-commercial procurement – Public procurement of innovative solutions (PCP-PPI)



WHAT ARE WE TALKING ABOUT?

"Grant" \neq Joint Programming Initiatives or JPIs, which are not grants but (structured) umbrella policies

"Supplementing" = specified co-finance rate

Research and innovation "Programme"

"Programmes" should be understood as entire research programmes, or parts of such programmes, or similar initiatives having the following characteristics:

- be strategically planned
- be financed or managed (and possibly partly implemented) directly by national or regional public bodies, or by structures closely related (e.g. agencies)

So yes, "joint programming" in a wider sense



ERA-NET Cofund – gradual evolution of a funding instrument

- FP6 and FP7 ERA-NET: Focus on supporting coordination of programmes (CSA-like instrument) – **71+81 GAs**
 - MS agree and fund joint calls/programmes
 - EU funding only for coordination – 100%
- FP7 ERA-NET+: Focus shifts to joint call launch and top-up mechanism – **23 GAs**
- H2020 ERA-NET Cofund
 - Refinement and continuation of FP7 ERA-NET+; top-up of joint call + unit costs for additional activities – **27 GAs and counting**



European Joint Programme Cofund – built on the needs of a specific research area

- *Fusion research moving from a matrix of Contracts of Association and other legal instruments towards a massive, grant-based, beneficiary-centered programme – **EUROFusion EJP with EUR 857 million budget** (55% funding)*
- *EJP instrument design included basic elements of previous structure: e.g. the Annual Work Plan of activities*

... now an open funding instrument

... but need to further define preconditions for use





Eligibility

*Three (ERA-NET)/Five (EJP) legal entities from different Member States or associated countries
"owning or managing national research and innovation programmes"*

- **'Programme owners'**, typically national ministries/regional authorities responsible for defining, financing or managing programmes carried out at national or regional level
- **'Programme managers'** such as research councils or funding agencies or other entities - not necessarily public – that implement national or regional research and innovation programmes under the supervision of the programme owners

The principle is that participants are those able to direct national funding and/or manage a national research programme – mandated by the government



Eligibility cont'd

WHY "PROGRAMME OWNERS OR MANAGERS"?

Because effectively the Commission is entrusting budget implementation tasks to beneficiaries that run the ERA-NET cofunded call or the EJP financial support to third parties

BUT for EJP, if justified by the nature of the action, programmes funded by other entities (international programmes, foundations or other non-public programmes) may participate - in addition to the minimum conditions

These additional/specific eligibility criteria appear in the Commission Work Programme



European
Commission

ERA-NET in H2020 – main features

ERA-NET Cofund: implementation of a co-funded joint call for proposals (compulsory, **one** co-funded call per Grant Agreement)

EU contribution: mainly a proportional contribution to total public funding of the joint call

Additional EU contribution to coordination costs on the basis of a unit costs for additional activities including additional calls without top-up funding

Stable reimbursement rate: ERA-NET Plus reimbursement rate from FP7 (33%) applies

Co-funded calls: proposal evaluation and selection according to Horizon 2020 standards



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



EJP in H2020 - Activities and Objectives:

The main activity of the action is the implementation of a joint programme of activities to attain objectives common to Horizon 2020, ranging from research and innovation to coordination and networking activities, including training activities, demonstration and dissemination activities, support to third parties etc.

The funding can be used to enhance and expand the activities of existing coordinated programmes or create new ones, provided they aim at attaining the objectives of a European transnational joint-programme established by the EJP consortium.

- **Wide range of possible activities**
- **Direct consortium activities and/or (single or multiple) calls for proposals for financial support to third parties**
- **Level of ambition of the participants in the proposed action to pool national resources are evaluated under the Excellence criterion**
- **Critical mass in terms of proposed overall budget, maturity and degree of integration in the proposed research area are evaluated under the Impact criterion**



EJP in H2020 – Policy preconditions:

- A publicly funded research community that already collaborates well together and intends to engage in a complex and coherent *programme* of joint activities beyond standard projects
- Ambitious overall budget (**e.g.** minimum EUR20-50 million EU contribution leveraged at 50% funding) with clear commitment by MS
- A (pre-)agreed roadmap, or at least a clear goal- / project-oriented approach with clear objectives
- Strong quasi-permanent management and internal programme monitoring structures
- Possibly, and where the sector allows it, long-term ambition to create permanent transnational legal structures i.e. beyond a grant-based framework, possibility of Art. 185 (where the Treaties allow it)



HOW? Standard EJP H2020 Model Grant Agreement ...

- Actual costs, possibility of unit costs (already adopted for EURATOM-Fusion)
- Flat rate of 25% of eligible direct costs for indirect costs
- Implementation of the action by the beneficiaries
 - Subcontracting, purchase of goods and services
 - Third parties making available resources
 - Linked third parties
 - Financial support to third parties
- Reporting, payment and audit
- *with certain modifications ...*



HOW? Specific EJP Provisions

- Fixed 5-year duration (Article 3) with 12-month reporting periods (Article 20.2)
- Fixed reimbursement rate indicated in the Work Programme – Article 5.2
- *Annual Work Plan to be submitted with proposal and as deliverable prior to each successive reporting period* – Article 19 and Annex 7
- Possibility of two pre-financing payments (e.g. to provide adequate float in case of very large programmes), and associated conforming modifications in guarantee fund retention and reporting – Articles 21.1, 21.2, 21.5, 20.2.a and Optional Annex 8



EJP - Annual Work Plan – Annex 7

The Annual Work Plan is a key part of the proposal and regular deliverable for the implementation of the EJP on a rolling basis. It provides a detailed description of activities for the initial and each successive twelve-month periods of the EJP, as the action develops in line with the objectives and description of work agreed under Annex 1.

The programmed activities are those planned to be carried out in full or simply initiated during the relevant twelve-month reporting period.

Depending on the detail of Annex 1, it is not excluded that sections of Annex 1 and the Annual Work Plan contain the same information.

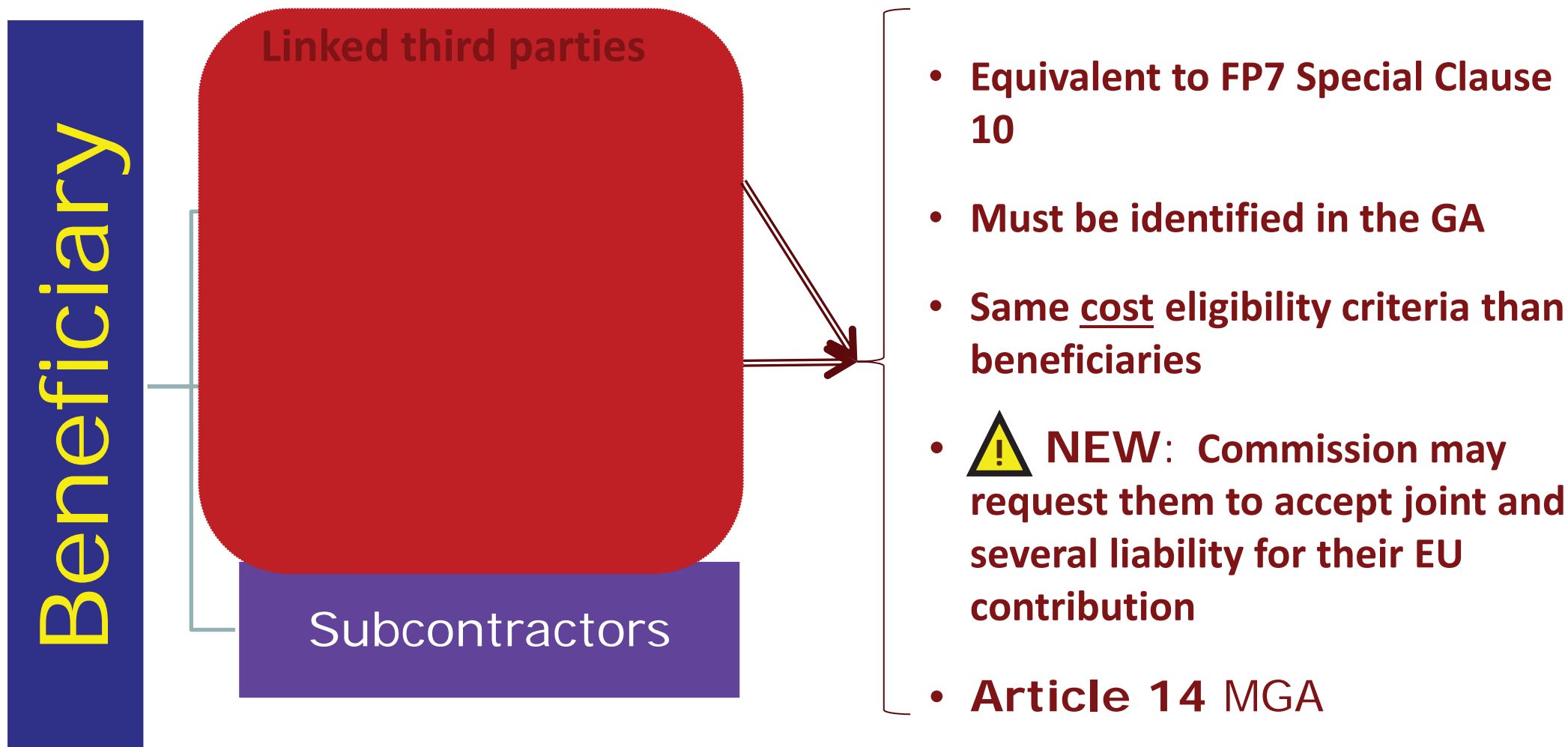
- **At proposal stage:**

Annual Work Plan based on Annex 7 submitted together with Description of the Action (Annex 1)

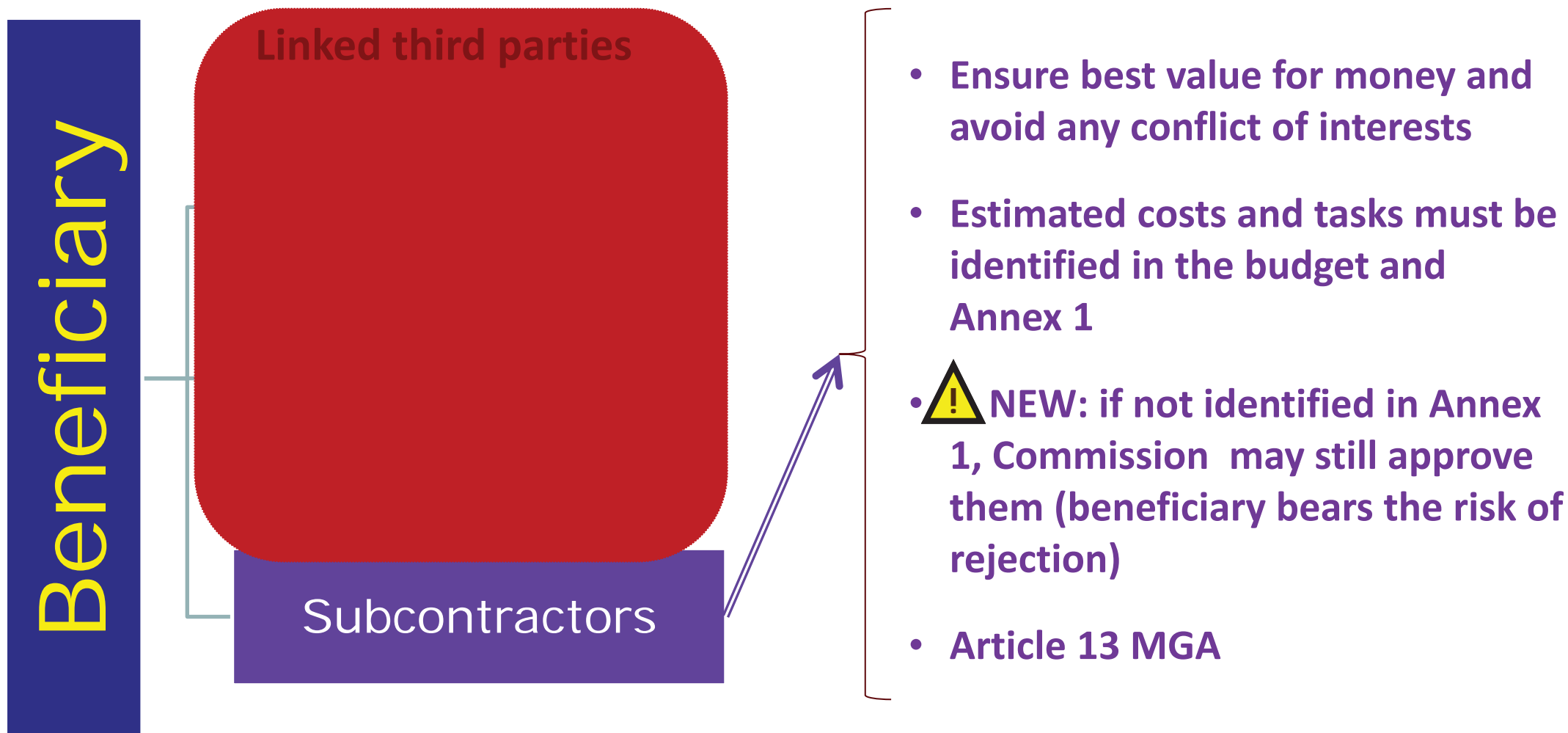
- **During the life of the EJP – specific deliverable:**

The coordinator must submit the Annual Work Plan **90 days before the end of each reporting period**, for approval by the Commission – accompanied by a summary progress report on the current activities

Linked Third Parties



Subcontractors



OTHER Third Parties

Beneficiary



Contracts
necessary for the
implementation

Contributions in
kind

- For the purchase of goods, works or services
- Ensure best value for money and avoid any conflict of interests
- **Article 10 MGA**
 - Free of charge or against payment are eligible costs if they meet the eligibility conditions
 - Must be set out in Annex 1
 - **⚠ NEW:** if not identified in Annex 1, Commission may still approve them (beneficiary bears the risk of rejection)
- **Articles 11 & 12 MGA**

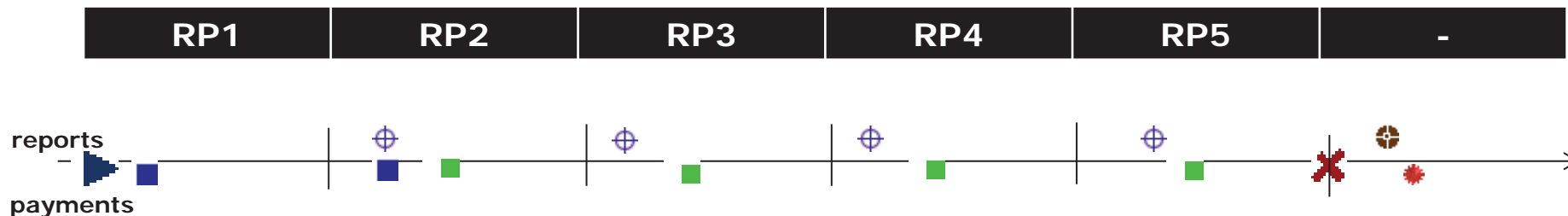


EJP Financial Support to Third Parties – Cascading Grants

- **Financial support to third parties may be a primary aim of the European Joint Programme or necessary to achieve its objectives** 
 - **Conditions in Annex 1**
 - Maximum amount of financial support for each third party (may exceed EUR 60 000 for each third party if necessary to achieve the objectives of the EJP)
 - Criteria for calculating the exact amount of the financial support
 - The different types of activity that qualify for financial support, on the basis of a closed list
 - The persons or categories of persons that may receive financial support, and
 - The criteria for giving financial support
-  As this is effectively delegation of management of EU budget, restrictive interpretation – must be included in **Commission Work Programme**

EJP - Illustrative Payment Schedule

- Prefinancing provides float
- Interim and final payments against reports for the previous reporting period
- Prefinancing + total interim payments \leq 90% max GA amount
- Guarantee fund retention of 5%



- **Estimated pre-financing payments (first pre-financing after GA signature)**
- ⊕ Interim report deadlines (payment of previous reporting period) – 60 days from end of reporting period
- Estimated interim payment – 90 days from receiving the periodic report + possible suspension due to analysis of reports
- ⊕ Final report deadline
- * Final payment, clearance of pre-financing and guarantee fund retention restitution

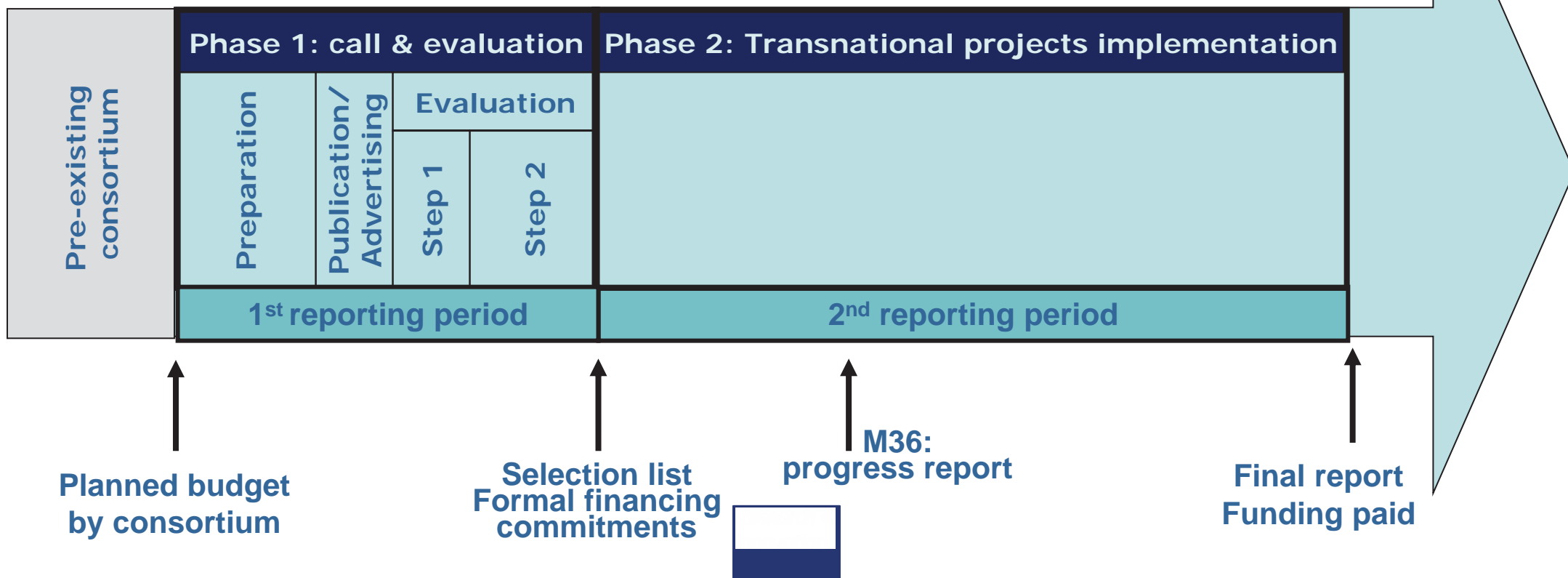


ERA-NET Default: 2 reporting periods

ERA-NET Cofund GA
Commitment: planned call budget (initial national commitments)
1st Pre-financing (10%)

2nd Pre-financing based on actual requested funding following call evaluation results
80% of EC contribution

Payment of the balance on the basis of financial support paid to third parties, according to national funding rules





Summing up

ERA-NET

EJP

- **An established joint programming instrument (FP6 to H2020)**
 - Wealth of documentation and experience
- **Co-funding of a single call for proposals**
 - Can be implemented internally (in-kind)
 - Consortium may launch non-cofunded calls
- **33% funding rate**
 - Top-up of total funding to selected projects (or of own costs)
- **5 years/two reporting periods**
 - e.g. 12 (call for proposals) + 48 months (underlying project implementation)

- **A new H2020 instrument**
 - In pilot phase in EURATOM WP2014-2015
 - Policy preconditions
- **Wide variety of activities**
 - Primarily internal implementation
 - Possibility of multiple calls for cascading grants (if indicated as objective of the action)
- **Up to 70% reimbursement rate**
 - To be fixed in the Work Programme
- **5 years/5 reporting periods**
 - Annual programming and reporting cycle



Participant Portal -

<http://ec.europa.eu/research/participants/portal/desktop/en/home.html>

Horizon 2020 Documents

http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html

Horizon 2020 On-line Manual

<http://ec.europa.eu/research/participants/portal/desktop/en/funding/guide.html#>

Questions? Research Enquiry Service

<http://ec.europa.eu/research/enquiries>





**Thank you very much
for your attention!**



**Find out more:
[www.ec.europa/research/
horizon2020](http://www.ec.europa/research/horizon2020)**