LOMBARDY FOUNDATION FOR BIOMEDICAL RESEARCH

SCHEMA DI FINANZIAMENTO ERA-NET CO-FUND IN H2020

Il ruolo delle regioni negli ERANET

PRO-M.I.S

ROMA - Ministero della Salute

16-17 APRILE 2018

Gianni D'Errico
European Funding Officer

PROGRAMMA 16 APRILE 2018

- Obiettivi e descrizione dello strumento ERANET
- Attività previste
- *Applicant* e Consorzio
- Regole generali di partecipazione
- Documenti e contenuti

P2Ps UNDER THE EUROPEAN COMMISSION FRAMEWORK PROGRAMME FOR R&D&I

Public to Public Partnerships (P2Ps) hanno lo scopo di promuovere coordinamento e collaborazione tra attività di ricerca a livello nazione e regionale. Le P2Ps allineano strategie nazionali e regionali aiutando ad aumentare efficacia ed efficienza di investimenti pubblici in Ricerca. P2Ps prevedono un'ampia varietà di azioni congiunte, come bandi transnazionali e alter forme di collaborazione. Le reti P2P includono ERA-NETs, Iniziative ex. Articolo 185 e Joint Programming Initiatives (JPIs).

Public to Public Partnerships - P2Ps

Joint Programming Initatives
Art. 185 Initiatives
ERA-NET Scheme
European Joint Programme Cofund (EJP Cofund)

TIPOLOGIE DI P2Ps

JPIs

Joint Programming is a structured and strategic process whereby Member States agree, on a voluntary basis and in a partnership approach, on common visions and Strategic Research Agendas (SRA) to address major societal challenges. On a variable geometry basis, Member States commit to Joint Programming Initiatives (JPIs) where they implement together joint Strategic Research Agendas

Art. 185

Article 185 of the Treaty on the Functioning of the European Union (TFEU) enables the EU to participate in research programmes undertaken jointly by several Member States, as well as in the structures created for the execution of such joint programmes. Article 185 initiatives represent the closest integration of national and EU programmes thus far.

EJP Cofund

The European Joint Programme Cofund (EJP Cofund) is a new type of instrument introduced in Horizon 2020 in 2016, previously used in the context of Euratom. The main purpose is the implementation of a joint programme of activities, mainly direct research and innovation activities (through calls for proposals resulting in financial support to third parties), but also allowing coordination and networking activities, including training activities, demonstration and dissemination activities. The total duration of the action is fixed at 5 years

ERA-NET

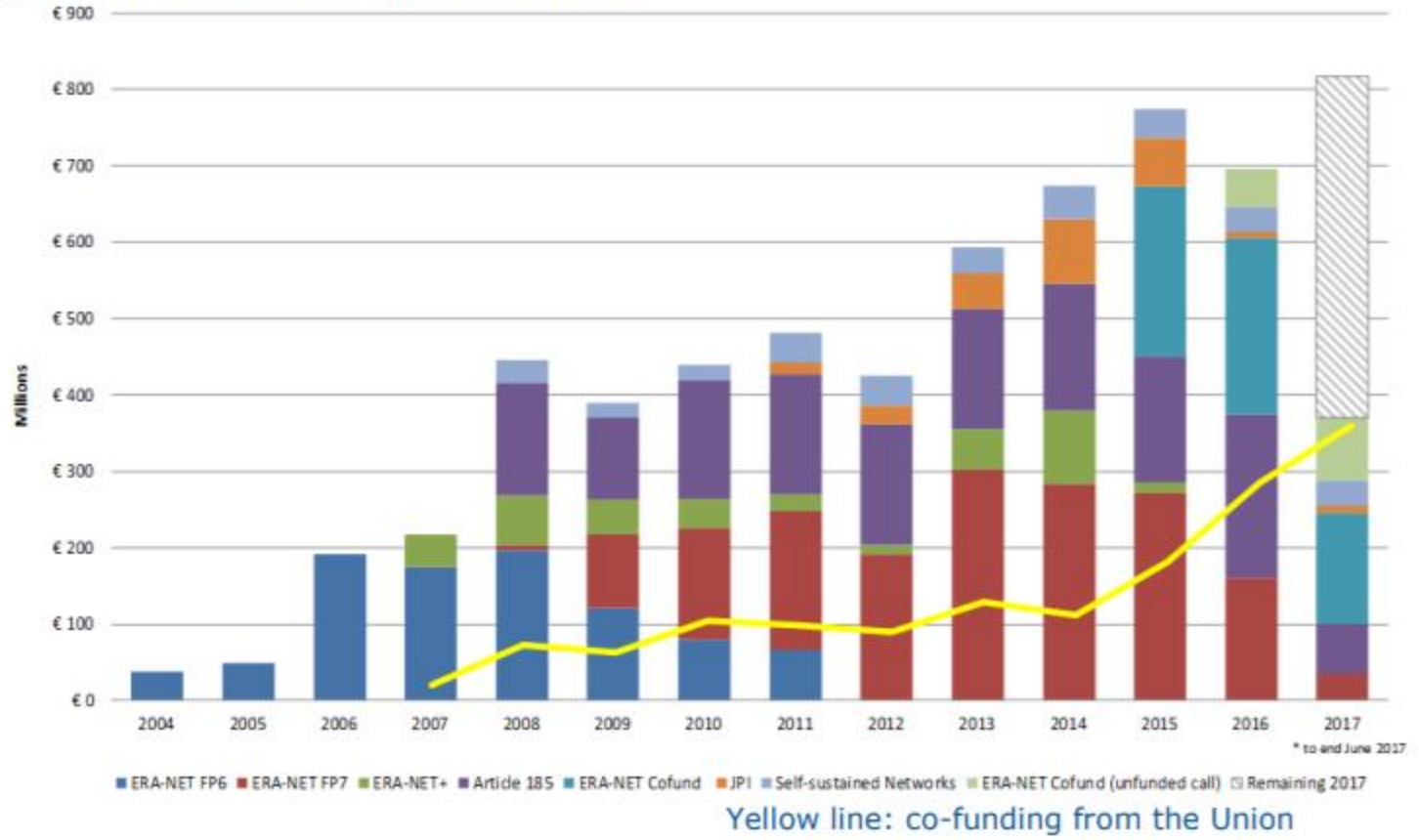
The ERA-NET instrument under Horizon 2020 supports public-public partnerships in preparing, implementing and coordinating joint activities by financing coordination activities of national / regional programmes as well as topping up national contribution to joint calls.

TIPOLOGIE DI P2Ps

P2Ps, since their introduction in FP6 have created an amazing ecosystem. From the initial 71 ERA-NETs created in FP6, a total of more than 260 networks have now been supported during the past fifteen years. Currently there are 98 active networks and in addition to the 28 EU Member States, a total of 13 Associated Countries and 29 Third Countries participate in P2P calls. This is impressive considering that the initial participants were 14 EU Member States and 2 Associated Countries in 2004. The EU support of P2Ps across the different FPs has increased significantly, from €380 million in FP6 (2.1% of the FP6 budget) to €802 million (1.4% of FP7 budget) in FP7 and to approximately €2.500 million in Horizon 2020 (around 3.1% of the budget). This investment has mobilised national contributions that have increased exponentially over the years despite the recent financial crises, i.e. €1,250 million under FP6 to an estimated €6-8 billion until the end of Horizon 2020.

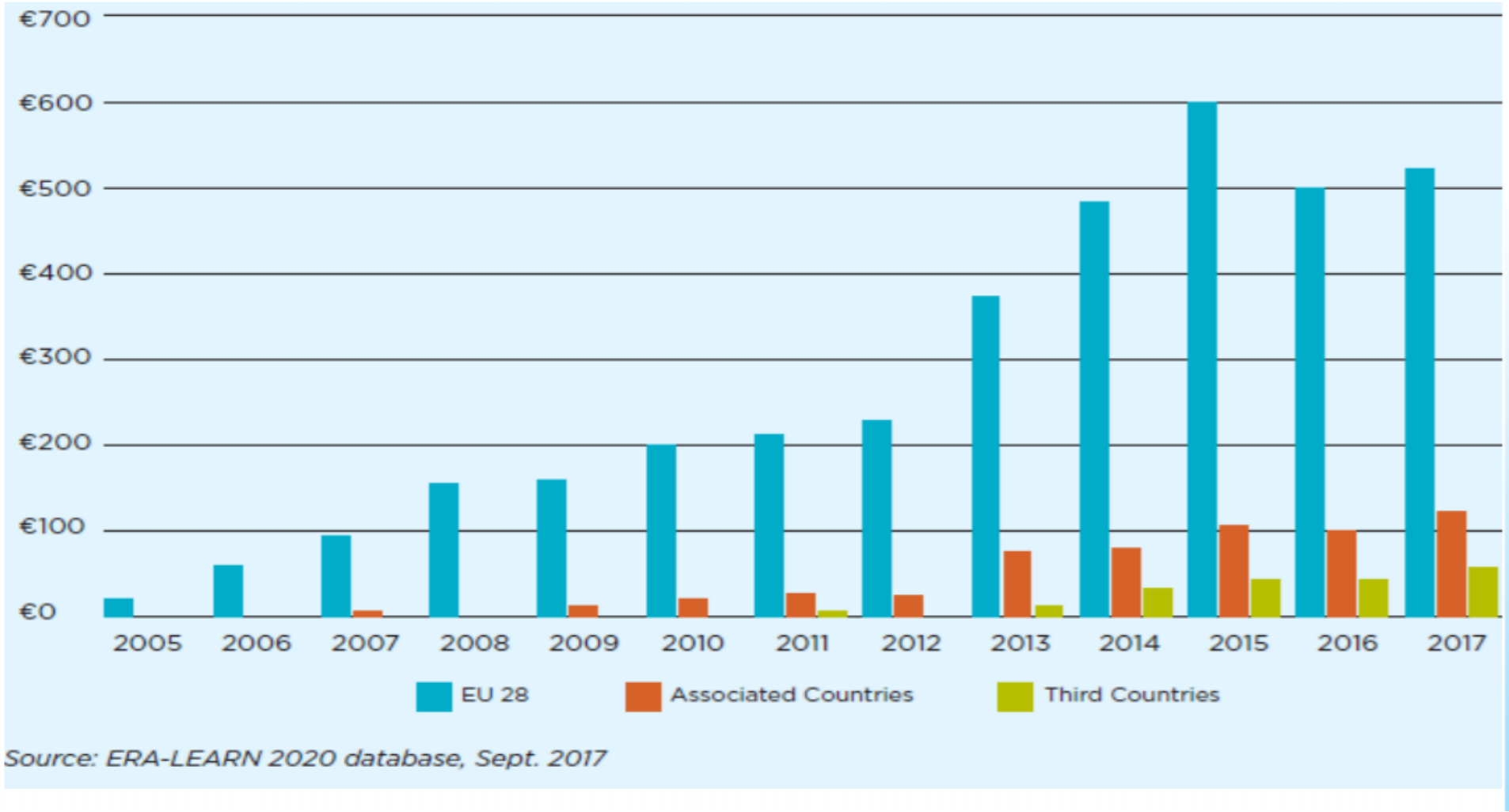
P2PS INVESTMENTS OVER THE YEARS

Figure 2: Annual national investment in P2Ps



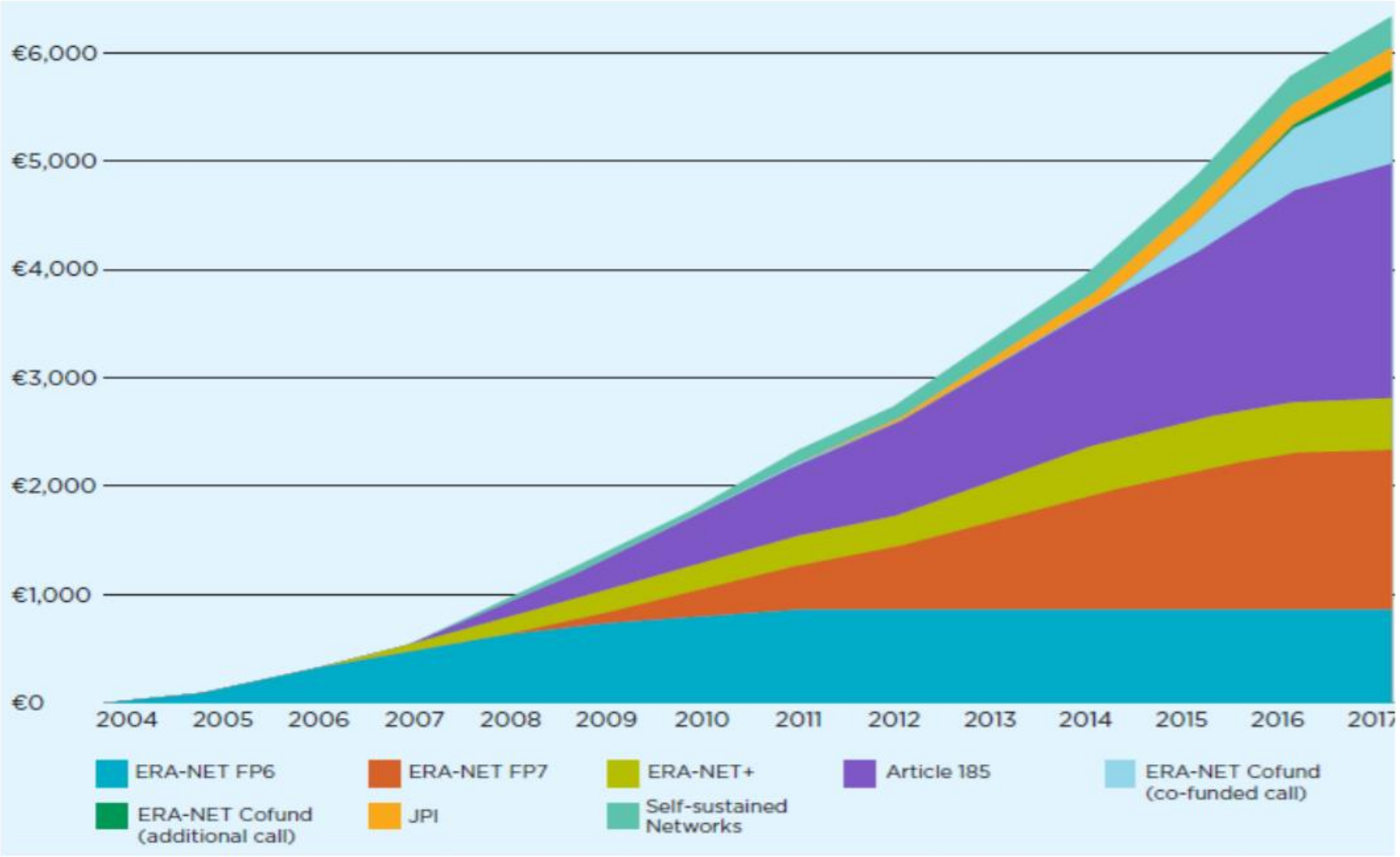
Source: ERA-LEARN Third Annual Report on Public-Public Partnerships

P2Ps INVESTMENTS OVER THE YEARS



Source: ERA-LEARN 2020 database, Sept. 2017

P2Ps INVESTMENTS OVER THE YEARS



ITALY

Country

Italy

Show map | Show cooperations | Show report

No of networks involved	174 networks
No. of networks involved as a coordinator	9 networks
No. of Joint Calls involved in	242 Joint Calls
No. of organisations involved in networks	76 organisations
No. of funded projects	588 funded projects
Basic characterisation of the research system	RIO Link

JOINT ACTIVITIES

Mapping national/trans-national activities

Example 1 BiodivERsA Strategic analysis
BiodivERsA has used the BiodivERsA database to analyse selected features of the European funding landscape for biodiversity research. Since obtaining extensive information on all the competitive funding sources in a given country is hardly reachable, BiodivERsA mainly focused on the funding derived from the Framework programme at the European scale, and on BiodivERsA's funding agencies at the national one; these represent major players in funding research within their countries. Though such an analysis does not allow for a complete cross-country comparison, it can still elucidate some major trends in the funding of biodiversity research in Europe.

Example 2 Map of Clusters and Competence Centers M-Era.net Consortium
This mapping aims to support the transnational networking of clusters and competence centres in the thematic areas of M-ERA.NET by providing national/regional companies and research groups with a database to find matching partners for their business and research.

Foresight and Common vision

Example 1 JPI Oceans

The case study "**JPI Oceans Explores the Potential of Foresight Exercises**" shows how a participatory, stakeholder involving foresight process can serve as a tool to identify future research needs, challenges and solutions. The case study in particular presents the conceptualisation of strategic and thematic foresight plus insights into the implementation of a test run in the field of microplastics.

JOINT ACTIVITIES

Additional Joint calls

ERA-NET Cofund: 1 cofunded call with EC top-up funding is mandatory. In addition the networks can always decide to implement further joint calls without EC top-up funding. These calls are among the most frequently implemented joint activities.

Example 2 JPND annual calls

JPND is implementing the priorities identified in its research strategy through a range of large-scale programmatic initiatives. JPND intends to launch Calls for proposals each year to address high priority areas in neurodegenerative disease research. Since 2011, it has launched 7 calls for proposals that were not cofounded by the European Commission. The six first calls have enabled the pooling of 60 M€ across member countries.

JOINT ACTIVITIES

Research Infrastructures

Example 1

JPI Oceans' Shared Research Vessel

The German Federal Ministry of Education and Research offered to share the use of its newly built research vessel RV SONNE during 118 days to support the transnational research project "Ecological Aspects of Deep-Sea Mining" launched by JPI Oceans in January 2015. This transnational research project aims to assess the ecological impacts that could arise from commercial mining of deep-sea minerals called polymetallic nodules. The cost-effective joint use of research infrastructure has facilitated the development of a common understanding and integration of national research activities around a common scientific objective. It has also enabled more effective collective European contributions to international policy-making.

Example 2

E-Rare Research Infrastructure Search facility

A rare diseases related European Research Infrastructures search function is available online at the E-Rare Web-portal.

JOINT ACTIVITIES

Widening Participation

Example 1

TRANSCAN2:offers some examples of 'inclusiveness' measures (not exclusively addressing EU13):

a) exchange/mobility schemes of individual researchers/ professionals in order to bring new expertise to an existing multidisciplinary translational team,
b) recruitment of individual researchers/professionals in order to cover expertise and "knowhow" unavailable in the existing team,
c) exchanges/mobility of researchers (especially young researchers) between teams and countries participating in the project to foster a multi-disciplinary approach in research,
d) short term training of scientists, as well as operational staff,
e) technical workshop referring to the scientific work planned in the project,
f) short training (1 or few weeks) of several partner teams.

TRANSCAN2 also includes a specific task focused on developing a strategy to improve the partners' success in the joint call.

JOINT ACTIVITIES

Up-take of research results

Example 1 JPI Climate Guidelines on Open Knowledge Policies

The case study "**JPI Climate Guidelines on Open Knowledge Policies**" provides information on the process of establishing and disseminating open Knowledge Policies within a JPI. JPI Climate is among the first JPIs contributing to the development of Open Knowledge policies in the area of Joint Programming. The JPI Climate Guidelines on Open Knowledge summarize a set of policy recommendations geared at both internal (i.e. JPI Climate governance) and external (i.e. JPI Climate network activities) level. The Guidelines provide a solid basis for kicking-off Open Knowledge guidelines in other JPIs.

Example 2 The OpenAire Platform

OpenAire aims to establish an open and sustainable scholarly communication infrastructure responsible for the overall management, analysis, manipulation, provision, monitoring and cross-linking of all research outcomes (publications, related datasets, software and services) across existing, planned and future repositories. OpenAire supports the H2020 vision of open access for scientific publications and provide a central e-infrastructure and service in H2020.

JOINT ACTIVITIES

Internationalisation (activities related to extending cooperation to third / non-EU countries)

Example 1

Urban Europe "Towards a Joint Call with China"

The overall objective of the supporting activities presented is to facilitate "preparation of common ground". Key supporting activities include desk research on the current development of smart cities in China as well as previous and current bilateral cooperation between the involved funding agencies with China. A more in-depth consultation process on the European side was also carried out to obtain detailed information regarding the experience and the expectation of working with China on smart cities.

Example 2

JPI Water Mapping Beyond Europe report

As a starting point, the Water JPI has mapped research and innovation activities (from funding to execution) in seven priority countries with which further collaboration could be sought: Brazil, Canada, China, India, South Africa, the United States and Vietnam. See the Mapping Beyond Europe report.

JOINT ACTIVITIES

Monitoring and evaluation/assessment activities both in relation to the network itself or the co-funded projects

Example 1 **JPND Monitoring and Evaluation**

JPND has established a monitoring and evaluation framework to develop indicators of success for JPND and to monitor the merits of the new Joint Programming approach to performing neurodegenerative disease research on the European level. The framework, fully integrated as an element of JPND, was created as a deliverable of the JUMPAHEAD action. It includes a set of performance indicators and a questionnaire for participating countries to investigate attitudes and opinions towards the JPND initiative.

Example 2 **M-ERA-Net Assessment Report**

M-ERA.NET has an excellent database, with a lot of well selected data compiled from call operation, proposal evaluation, and from beneficiaries during the lifetime of M-ERA.NET. In addition, data is used in this report which was compiled during the operation of M-ERA.NET predecessors MATERA and MNT-ERA.NET, or displayed in their final assessment reports.1 Furthermore, a SWOT workshop and two web surveys – directed at M-ERA.NET work members and at beneficiaries and proposers – were performed to complete the data base for this assessment.

ERA-NET COFUND

ERA-NET Cofund under Horizon 2020 is designed to:

- ✓ support public-public partnerships, including joint programming initiatives between Member States,
- ✓ establishment of networking structures
- ✓ design, implementation and coordination of joint activities as well as Union topping-up of a trans-national call for proposals.

It is based on the merger of the former ERA-NET and ERA-NET Plus actions and is implemented by using ‘programme co-fund actions'. It allows for programme collaboration in any part of the entire research-innovation cycle.

NB:*The main and compulsory activity of the ERA-NET Cofund under Horizon 2020 is the implementation of the* ***co-funded joint call for proposals*** *that leads to the funding of trans-national research and/or innovation projects (one co-funded call per Grant Agreement).*

PERCORSO DI ERA-PERMED

CSA: PerMed (2013-2015)

- 27 partners
  - Including Industry, Researchers, Funders and Ministries

→ **Main output: Strategic research and Innovation Agenda (SRIA, 2015) with 5 Challenge Groups**

1- Developing Awareness and Empowerment
2- Integrating Big Data and ICT Solutions
3- Translating Basic to Clinical Research and Beyond
4- Bringing Innovation to the Market
5- Shaping Sustainable Healthcare

5 Action Item Groups

CSA: ICPerMed Secretariat (2016-2020) Support for ICPerMed

- 4 countries: Germany (coordination), France, Italy (Health Ministry), Spain

ICPerMed (2016-2020)

- **28 countries partners (**Also regions and 6 countries as observers)
- **European Commission**
  - First main output: **Action Plan** (Actionable Research and Support Activities)

Close connection

ERAPerMed

- **2017-2021**
- **Tool to enable funding in PM**

ERA-NET-Cofund **2018**

ERA-NET Cofund – 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

Activities related to the co-funded call and the consortium

Management

- Preparation and launch of the co-funded call
- Evaluation and proposal selection for the co-funded call (including a detailed description of the call implementation in compliance with the ERA-NET Grant Agreement and on how proposal selection according to the ranking list(s) will be ensured)
- Follow-up and monitoring of projects resulting from the co-funded call
- Communication, Exploitation and Dissemination of the results

Additional activities

If applicable, include further work package(s) on any other joint activities including other joint calls without Union co-funding that are planned. Proposers have to demonstrate the appropriateness of the overall coordination costs for the proposed additional activities

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CHI PUO' PARTECIPARE

ERA PerMed – 32 Members from 22 countries

COORDINATION: National Institute of Health Carlos III, Spain

Austrian Science Fund

The Canadian Institutes of Health Research

Quebec Research Funds, Canada

Ministry of Science and Education of Croatia

Innovation Fund of Denmark

Estonian Research Council

Estonian Ministry of Social Affairs

Academy of Finland

The French National Research Agency

The Federal Ministry of Education and Research of Germany

The German Aerospace Centre e.V.

The Federal Ministry of Health of Germany

Saxon State Ministry for Higher Education, Research and the Arts

National Research, Development and Innovation Office of Hungary

Health Research Board of Ireland

Chief Scientist Office, Ministry of Health of Israel

Italian Ministry of Health

Lombardy Regional Foundation for Biomedical Research, Italy

State Education Development Agency of Latvia

National Research Fund of Luxemburg

Research Council of Norway

National Centre for Research and Development of Poland

Executive Agency for Higher Education, Research of Romania

Development and Innovation Funding

Ministry of Education, Science and Sport of Slovenia

Center for Industrial Technology Development, Spain

Department of Health – Generalitat de Catalunya, Spain

Regional Government of Navarre, Spain

Swedish Research Council

Fonds National de la Recherche Scientifique, Wallonie, Belgium

#ERAPerMed

CHI PUO' PARTECIPARE

Participants in ERA-NET Cofund actions must be **research funders**: legal entities owning or managing public research and innovation programmes other than Union funding bodies (see definition of "programme co-fund action" –Art 2.1.16 of Regulation 1290/2013 on H2020 Rules for participation).

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 owner (**FRRB**).

In the normal cash based ERA-NET **research institutions** cannot be partners. In the very specific case of an ERA-NET based on institutional programmes of governmental research organisations, with in kind contributions from their block funding, they can participate. They cannot claim coordination costs for additional activities. They have to be mandated by e.g. their ministry as programme owner.

CHI PUO' PARTECIPARE

Programmes funded by other entities (international programmes, foundations or other non-public programmes) may participate in case it is justified by the nature of the action, and only if the minimum conditions for participation are fulfilled by the entities participating in the joint trans-national call for proposals (three independent legal entities from three different Member States or associated countries).

A **state/province within a country** can participate in the ERA-NET and it is treated the same as if a member state participates. There is no problem for **a number of regions from the same country** to participate in the same ERA-NET action provided that the minimum conditions for participation are met.

As concerns **international organisations**, only international European interest organisations (as defined under Art 2.1.12 of the H2020 Rules for participation) are automatically eligible for funding from the Union budget. Other international organisations can only be exceptionally funded, under the same conditions as those applicable to legal entities established in third countries (see Art 10.2 of the H2020 Rules for participation).

FUNDING PRINCIPLES

Is there a minimum and maximum amount for the EU contribution?

There are no minimum or maximum amounts for ERA-NET actions. The Work Programme and PP topic pages normally specify indicative amounts for the Union contributions that are considered adequate for addressing the respective challenge. These are normally at least Euro 5 million. In any case, the requested amount should be duly justified in the proposal by the contributions from Participating States.

Is there a requirement for a minimum commitment from the Member States jointly of the consortium?

Yes, the joint commitment that is necessary to request the proportional Union contribution published in the H2020 Work programme and its calls. The consortium members should also be careful and make sure that everyone makes a realistic contribution that is in line with the expected requested funding from proposers of each country.

FUNDING PRINCIPLES

What is the exact process and financing principles for an ERA-NET based on in-kind contributions?

The call is normally based on a **call for proposals** resulting in grants to third parties.

The projects resulting from the co-funded call are carried out by the ERA-NET partners themselves. The in-kind contributions are the resources allocated as direct expenditure in the selected transnational projects that are not reimbursed by the Union contribution, but financed by each beneficiary out of their institutional funding.

The possibility to submit an ERA-NET based on in-kind contributions is described in the call text. Any ERA-NET based on in-kind contributions from institutional funding of governmental research organisations will be on the basis of a previous discussion between the Commission services and the ministries/their research organisations.

MODELLI PRINCIPALI

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**

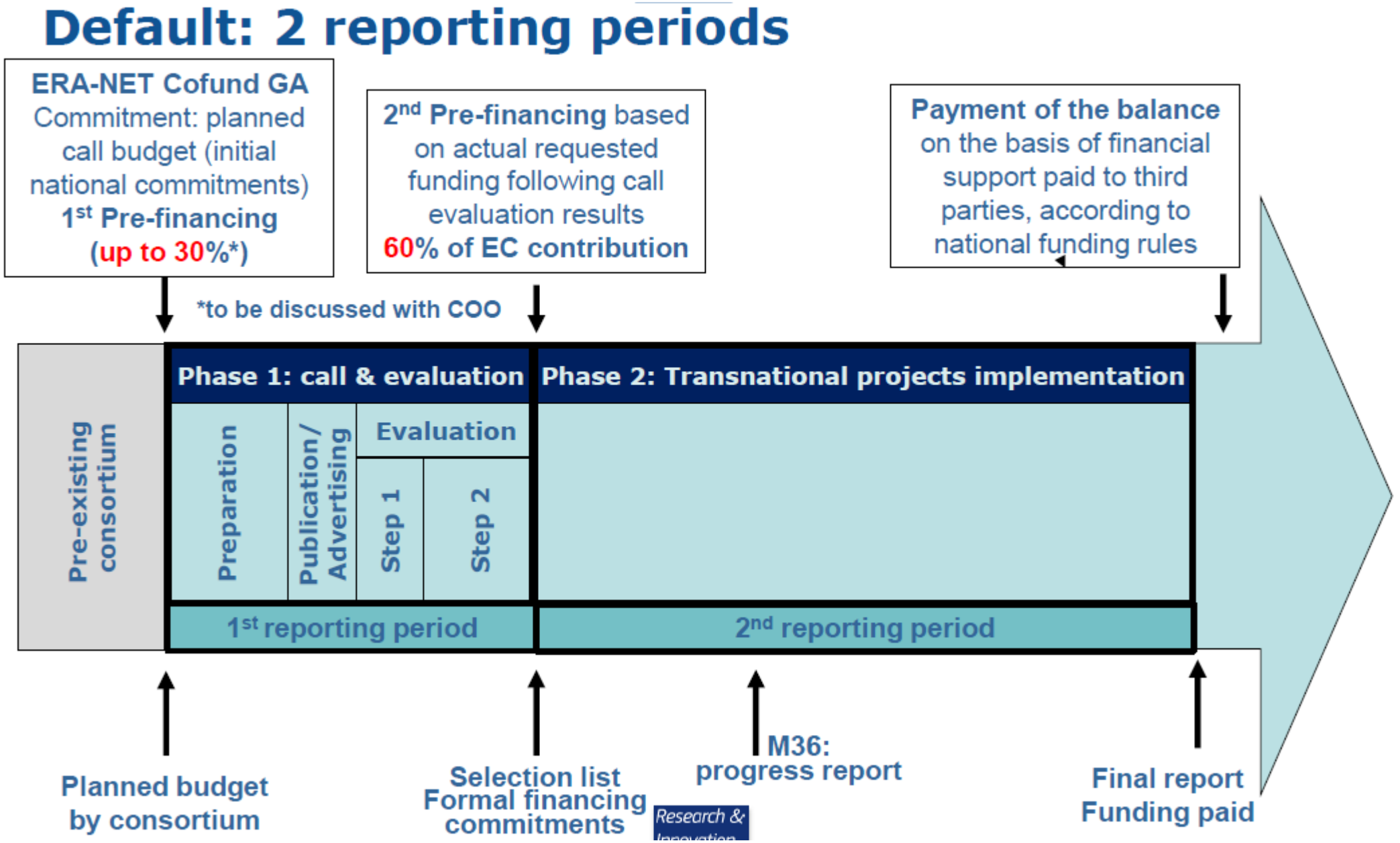
- Call and activities as in A.
- Additional joint activities including additional joint calls without Union top-up funding.
- **Eligible costs:** financial support paid to third parties and coordination costs for additional activities (unit costs per beneficiary per year).

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

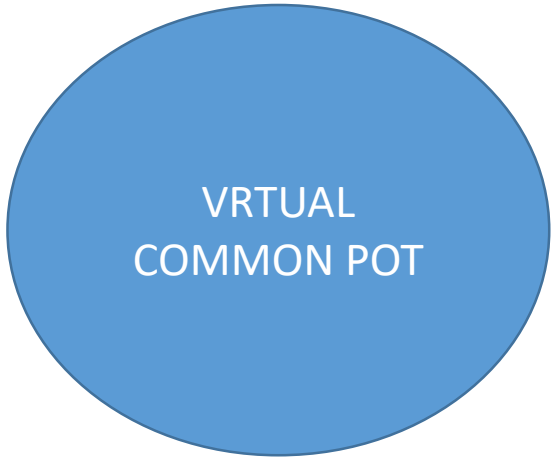
In exceptional cases

- 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

PREPARATION PROCESS AND REPORTING



VIRTUAL COMMON POT Vs REAL COMMON POT



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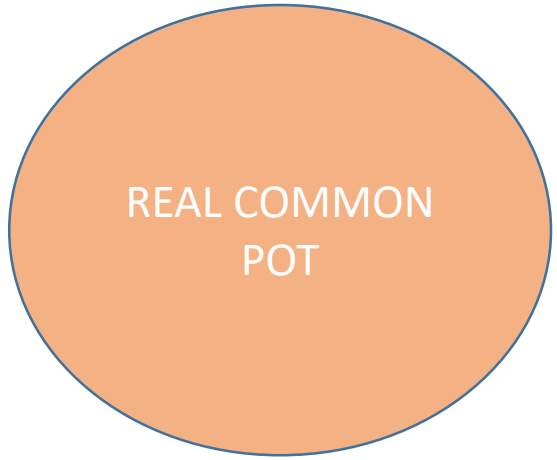

Funding agencies make available financial resourses only to finance their national and/or regional researcher in network of applicants

Funding agencies pool their national/regional financial resourses to a common and centrally administrated budget

MIXED MODE

A blend of the above described typologies of fundin, requiing a joint ranking list as the evaluation results

Template Part B

Please include distinct work packages on:

A. Activities related to the co-funded call and the consortium management

- Management
- Preparation and launch of the co-funded call
- Evaluation and proposal selection for the co-funded call (including a detailed description of the call implementation in compliance with the ERA-NET Grant Agreement and on how proposal selection according to the ranking list(s) will be ensured)
- Follow-up and monitoring of projects resulting from the co-funded call
- Communication, Exploitation and Dissemination of the results

B. Additional activities

If applicable, include further work package(s) on any other joint activities including other joint calls without Union co-funding that are planned. Proposers have to demonstrate the appropriateness of the overall coordination costs for the proposed additional activities.

Table 3.3: Summary of national/regional call contributions

Participant number	Country – short name	(a) Initial national call contribution [€]	(b) indicative possible additional national call contribution (optional) [€]	(c) Requested EU Contribution [€]	Minimum total call budget [€] (a + c)	Maximum total call budget [€] (a + b + c)
Total						

Table 3.3 Summary of Work package participation and number of years with coordination costs

Participant number	Short name	Participation in Work Packages					Number of years for which coordination costs are declared on the basis of unit costs
		A. Co-funded call and management			B. Additional activities		
		WP1	WP2	...	WP N-1	WP N	
		Y/N	Y/N	Y/N	Y/N	Y/N	
		Y/N	Y/N	Y/N	Y/N	Y/N	
		Y/N	Y/N	Y/N	Y/N	Y/N	
		Y/N	Y/N	Y/N	Y/N	Y/N	
Total							

Template Part B

Name of organisation			
Short name		**Country**	
Brief description of the legal entity			
Identification of the role:			
Programme Owner and Manager			Y/N
Programme Owner			Y/N
Programme Manager			Y/N
In case you are a Programme Manager, please name the respective Programme Owner or public authority that is providing the mandate for your participation:			
Identify and describe the **research programme(s)** with which you participate, the main programme objectives, and any previous experience and participation;			
Main tasks attributed the proposed action and the previous experience relevant to those tasks			
Short profile of staff member(s) who will be undertaking the work			
Do your national funding rules specify a maximum amount of financial support to a third party?[1]			Y/N
If yes, please insert the maximum amount [Euro]:			
Criteria for determining the exact amount under national funding rules			
Please insert the reference (e.g. weblink) to the criteria for determining the exact amount under national funding rules.			
Please specify the maximum amount of financial support to a third party and the criteria for determining the exact amount under national funding rules[2].			
Does the participant envisage that part of its work is performed by a linked third parties[3].			Y/N
If yes, describe the third party, the link of the participant to the third party, and describe and justify the foreseen tasks to be performed by the third party			
Does the participant envisage the use of in-kind contribution provided by third parties (Articles 11 and 12 of the Model Grant Agreement)			Y/N
If yes, describe the third party and their contributions			

Participant declaration (similar to FP7)

During the preparation of the Grant Agreement, each participant in an ERA-NET Cofund action is required to:

- Identify the research programme(s) with which it participates in the respective ERA-NET,
- Identify its role (Programme Manager or Programme Owner),
- Provide confirmation as a Programme Manager which is not a Programme Owner, that it is mandated to manage the relevant programme and participate in the action,
- Confirm that they will provide information needed on the programme and its implementation to a central information platform on Public-Public Partnerships under Horizon 2020.

Annex 2: Model for the estimated budget
(simplified for presentation)

MODEL ANNEX 2 FOR ERA-NET COFUND

ESTIMATED BUDGET FOR THE ACTION

	Estimated eligible* costs (per budget category)						EU contribution		
	A. Costs related to trans-national projects		B. Direct coordination costs of additional activities		C. Indirect costs	Total costs	Reimbursement rate %	Maximum EU contribution **	Maximum grant amount
	A.1 Direct costs of providing financial support to third parties	A.2 Direct costs for the implementation of trans-national projects by the beneficiaries							
Form of costs***	Actual	Actual	Unit ⓧ		Flat-rate ⓑ				
			29 000 EUR/year		25%				
	(a)	(b)	No units	Total (g)	(h) = 0,25 *((f)+(g))	(i) = (a)+(f)+(g)+(h)	(j)	(k)	(l)
Beneficiary 1									
Beneficiary 2									
...									
Total Consortium									

ERA-NET Cofund – Payments / Reporting

Default: two reporting periods
two pre-financing payments (30% / 60%)

At the end of RP1 (after end of evaluation)	• **periodic technical report** • the **ranking list(s)** of the projects • the **observers' report** on the evaluation • the **joint selection list of the projects to be funded** • from each beneficiary participating in the joint call, a formal and duly signed **commitment on availability of funds** • a statement on the **use of the previous pre-financing instalment**
Additional requirements	• **After the end of the evaluation**: information on each project selected for funding (data on each participant and abstracts of the project proposal). • **At the end of the action:** information on each funded project (data on each participant and overview of results).

Annex 7: Commitment on availability of funds

COMMITMENT ON AVAILABILITY OF FUNDS FOR THE ERA-NET COFUND ACTION FOR [INSERT GRANT AGREEMENT REFERENCE: NUMBER, TITLE OF THE ACTION AND ACRONYM]

(To be filled out by each beneficiary participating in the cofounded call)

The undersigned [Name of the authorised representative]:

- declares that [Name of beneficiary] can commit and make available national/regional resources totalling EUR [insert amount] to fund its assigned share of the transnational projects of the joint selection list, based on the indicated amounts of planned funding.

Name and signature

Date and stamp

Commission

Grant preparation

- Limited time to grant – make sure partners have their contributions ready (in particular participant declaration).
- Start to work early on the Consortium Agreement (best already during proposal preparation).
- New partners can in principle still be added (until the call publication, no extra Union contribution), but discuss early with PO.
- All entities that contribute to the call have to be partners in the GA!
- Fixed start date allows to time launch of call independent of contractual start date…, but remember the Commission needs to approve call text before publication.
- Internal check list for approval call text under preparation …

DOCYMENTI E CONTENUTI

CHECK ERA-PERMED PRESENTATION!!

FONDAZIONE REGIONALE PER LA RICERCA BIOMEDICA

Regione Lombardia

THANKS FOR YOUR ATTENTION

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