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WORKING PAPER

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WORKING DOCUMENT

From:	GPC Secretariat
To:	ERAC (GPC)
Subject:	European partnerships - state of play of preparation and next steps: powerpoint presentation

Delegations will find attached a PowerPoint presentation regarding item 2 on the agenda of the GPC plenary meeting of 20 September 2019.

European Partnerships

#HorizonEU

State of play of
preparation
and next steps



Strategic Coordinating Process for R&I Partnerships

Objectives

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

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

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

Functionalities

Consultation
(selection phase)

Evidence base
(biennial monitoring)

Portfolio development
(foresight)

Strategic discussion

Strategic Configuration Programme Committee

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

European Partnerships and strategic planning

- Candidates for European Partnerships have been identified as part of the strategic planning;
- Ares for possible institutionalised Partnerships based on Article 185/7 have been identified in the Annex Va of the Regulation;
- The Project Team of Commissioners for Innovation and Competitiveness endorsed in March 2019 the next steps of preparation (start of IA work, engagement with stakeholders, based on the criteria of Horizon Europe);
- Work within and across clusters has resulted in a consolidated portfolio of 44 candidates for European partnerships;
- For each partnership candidate services have prepared a fiche that builds the basis for the next steps of preparation, and the structured consultation of member States;
- List of 44 partnership candidates is part of the Orientation towards the Strategic R&I plan (Annex 7).

Structured Consultation of MS on European Partnerships

Aim: To gather early input of Member States on the portfolio and all individual partnership candidates, ensuring transparent and evidence-based selection of partnerships, rationalising and reforming the landscape and maximising their impacts.

It complements the strategic planning of Horizon Europe, ensuring a coherent overall approach.

- **6 June:** Input from all Member States (+ NO and IS) on the 44 fiches for partnerships candidates received;
- Feedback was analysed, report drafted, validated by services;
 - **Structure:** Key issues for further discussion, overall analysis, analysis per partnership;
- **20 June:** submission of the draft report to the Shadow Strategic Configuration of the Programme Committee (shadow SPC);
- **27 June:** discussion on the 44 candidates and additional priorities proposed
- **12 September:** additional candidates proposed by MS during consultation and the way forward

→ **Information will feed into the Impact Assessment for partnership candidates based on Article 185 or 187 TFEU, and the preparation of all partnerships.**

Ongoing discussions on additional candidates proposed

- A number of additional priorities received strong support from delegations to be implemented as a European Partnership.
- Shadow SPC meeting 27 June:
 - future discussion would be limited to 8 (instead of 25)
 - additional time over summer to develop fiches and provide priorities.
- Shadow SPC meeting 12 September with tentative conclusions, for validation at the next meeting on 24 October:
 - Two additional partnership candidates more or less ready to be added: Smart and sustainable cities; One health/AMR;
 - Three additional partnership candidates require more work before a judgement can be made: Forestry; European Geo-surveys; Waterborne transport;
 - Three partnership candidates are important but rather in view of the next strategic planning process by 2024: social transformations; brain health; materials and production;
 - Commission raised reservations on the envisaged partnership for cultural heritage with the invitation to deeply revisit the concept and vision, for post 2024 - to be confirmed.

Future of current JPIs and ERA-NETs

- Existing networks such as JPIs or ERA-NETs are not European Partnerships in the sense of those proposed in the legal base for Horizon Europe, they do not pre-suppose a financial or other commitment from the EC/Horizon.
- But: many current networks are highly relevant for future partnerships.
- In addition: Programme level collaboration between Member States and their R&I programmes can be supported under “Strengthening the European

Reforming and enhancing the EU Research and Innovation system:

*... Such support may take the form of **Coordination and Support Actions** (CSAs) in a **bottom-up and competitive way to support programme level collaboration between research and innovation programmes** of Member States, Associated Countries and civil society organisations such as foundations, on **priorities of their choice**, with a clear focus on the implementation of transnational joint activities including calls. It will be based on clear commitments from participating programmes to pool resources and ensure complementarity between activities and policies with those of the Framework Programme and relevant European Partnership Initiatives.*

➔ Allows to support (no co-funding!) Joint Programming Initiatives or ERA-NETs outside the portfolio of European Partnerships under Horizon Europe.

European Partnerships: implementation modes (I)

	Co-Programmed	Co-Funded	Institutionalised
Partners (other than the Union)	Suited to partnerships with private and/or public partners, including foundations and international partners	Suited to partnerships involving public authorities, with research funders (or governmental research organisations) and other public authorities at the core of the consortium. Possibility to include foundations and international partners etc.	Article 185: Member States Article 187: private and/or public partners, including Participating States, foundations and international partners EIT-KICs: 'partner organisation' may include private and public partners
Establishment	Based on memoranda of understanding and/or contractual arrangements between the Commission and the partners	Based on a Grant Agreement between the Commission and the consortium of partners, resulting from a call for proposals for a programme co-fund action in the Work Programme of Horizon Europe	Article 185: Decision by Council and European Parliament Article 187: Decision by Council (<i>and EP</i>) EIT-KICs: Framework partnership agreements and grant agreements between the EIT and the KIC, resulting from a call for proposals under the EIT

European Partnerships: implementation modes (II)

	Co-Programmed	Co-Funded	Institutionalised
Main characteristics	<p>Commitments are not legally binding, but political/ best efforts</p> <p>Allows more flexibility during implementation (to evolve composition of partners, objectives, activities)</p> <p>Best suited to partnerships addressing broader communities, medium term priorities, and where there is a need for flexibility</p> <p>Commission: approves priorities (calls) that are implemented with Union contributions (comitology)</p>	<p>Commitments are ensured through the Grant Agreement</p> <p>Allows more flexibility during implementation (to evolve composition of partners, objectives, activities)</p> <p>Best suited to partnerships that rely on pooling national programmes and policies with Union policies and investments</p> <p>Commission approves annual work programme of the consortium, covering all activities and resources</p>	<p>Legally binding commitments</p> <p>Limited flexibility (as it is difficult to change core objectives, partners, commitments, which require amending legislation)</p> <p>Best suited to partnerships addressing long term challenges and priorities that tend to go beyond a single MFF, stable partners and substantial commitments for contributions from all partners that other forms of partnerships would not allow</p> <p>Article 185/7: Commission approves annual work programme of the initiative, covering all activities and resources</p> <p>EIT-KICs: EIT approves activities and resources of the KICs</p>

European Partnerships: implementation modes (III)

	Co-Programmed	Co-Funded	Institutionalised
Effort for preparation, setting-up, and implementation	Relatively low effort for the setup and implementation compared to the other forms of European Partnerships	Moderate effort for their set-up and implementation compared to institutionalised European Partnerships	High effort for their preparation and set-up, including the establishment of dedicated entities for their implementation
Union contribution	Implemented in calls for proposals published in the Work Programme Horizon Europe (comitology procedure)	Implemented by the consortium of partners in activities under their responsibility, including calls for proposals	Article 185/7: managed and implemented by structures created for their implementation EIT-KICs: implemented by the consortium of partners in activities under their responsibility
Partners contributions and their management	In-kind and/or financial contributions agreed in the work plan. Typically only in-kind contributions from private partners	In-kind and/or financial contributions Financial contributions from Member States are typically used for calls for transnational projects	Article 185: financial contributions and, if relevant in-kind contributions Article 187: financial but typically mainly in-kind contributions EIT-KICs: In-kind and/or financial contributions

European Partnerships: implementation modes (IV)

	Co-Programmed	Co-Funded	Institutionalised
Common characteristics	<p>All partnerships have to fully comply with the criteria, including phasing out of FP funding:</p> <ul style="list-style-type: none">▪ All partnerships allow synergies with other EU funding programmes▪ The Commission is committed to provide equal support and political visibility to all European partnerships▪ Their implementation is based on annual work programmes or equivalents		

Co-programmed European Partnerships

- Most relevant current types of actions: Contractual PPPs;
- Based on a roadmap / Strategic Research and Innovation Agenda, agreed with the Commission Services;
 - ➔ need to be specific about objectives, expected impacts and milestones
- Partners implement their commitments (activities/contributions, investments) under their responsibility;
- Union contribution is implemented via the Horizon Europe Work programmes (comitology);
- Partners provide input on the drafting of the respective parts of the Work programme;
- Templates for contractual arrangement / memoranda of understanding will need to be developed.

Co-funded European Partnerships

- Most relevant current types of actions: EJP Cofund, ERA-NET Cofund;
- Broad range of activities that can be implemented;
- Funding rate: 30%, in justified cases up to 70%
Consideration can be e.g.:
 - Main element financial support to third parties: lower reimbursement rate;
 - Main element activities directly implemented by beneficiaries: higher reimbursement rate;
- Based on a grant agreement, 5-7 years duration;
- Implementation based on annual work plans;
- Core of partners: programme owners/managers, others in addition;
- Important: define for each co-funded ex-ante what types of partners are needed to form the partnerships (consortium), and which ones will be addressed/involved by the activities implemented (third parties).

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.**”

Co-programmed partnerships – step by step

1. *Partnership fiche* resulting from strategic planning describes Partnership from COM perspective (confirmed/commented by Member States during consultation);
2. **Partnership proposal** is further developed together with partners, based on common guidance/template;
3. **Strategic R&I Plan** includes the Partnership in the list of co-programmed/co-funded European Partnerships [New Commission];
4. [agreement on **budgetary provisions** for the partnerships in the portfolio]
5. **Contractual arrangements / MoUs** are prepared
6. In parallel:
 - further work of the partners to **prepare the programme** and
 - develop the **Strategic Research and Innovation agenda/roadmap**
7. **Partners input** to the drafting of respective parts of the work programme
8. **Launch of the European Partnership**
9. **Adoption of the work programme** (comitology) and publication of the calls

Co-funded partnerships – step by step

1. *Partnership fiche* resulting from strategic planning describes Partnership from COM perspective (confirmed/commented by Member States during consultation);
2. **Partnership proposal** is further developed together with partners (Member States), based on common guidance/template;
3. **Strategic R&I Plan** includes the Partnership in the list of co-programmed/co-funded European Partnerships [New Commission];
4. [agreement on **budgetary provisions** for the partnerships in the portfolio]
5. **Call topic** for the respective work programme Horizon Europe is prepared and discussed with the Programme Committee
6. In parallel:
 - further work of the partners to **prepare the programme** and
 - develop the **Strategic Research and Innovation agenda/roadmap**
7. **Adoption of the work programme** (comitology) and publication of the call
8. **Submission of a proposal** for a co-fund action, evaluation, GA preparation
9. **Launch of the European Partnership**, preparation and launch of activities, including e.g. calls for proposals

Tentative timeline and process for the preparation of Article 185/187 initiatives

3 May – 27 June:	<i>Structured consultation of Member States (as part of strategic coordinating process)</i>
June:	<i>Launch of the Interservice Steering Group for European Partnerships, Start Impact Assessment work (coordinated study)</i>
30 July:	<i>Publication of draft Inception Impact Assessments</i>
Early September:	Launch Open Public Consultation on potential future European Partnerships based on A185/187
24-26 September:	European R&I Days (policy discussion and validation with stakeholders, covers all Partnerships)
End of 2019:	Submission of Impact Assessment drafts to Regulatory Scrutiny Board
Early 2020:	Adoption of Commission proposals for Article 185/187 initiatives
Early 2021:	Launch of first wave of European Partnerships under Horizon Europe (all types)

- Co-programmed and co-funded partnerships will be identified in the Strategic Plan and follow the planning of work programmes
- NB! Not all European Partnerships have to be ready and launched in 2021!