



# Horizon 2020

## Public-public partnerships and the ERA-NET instrument

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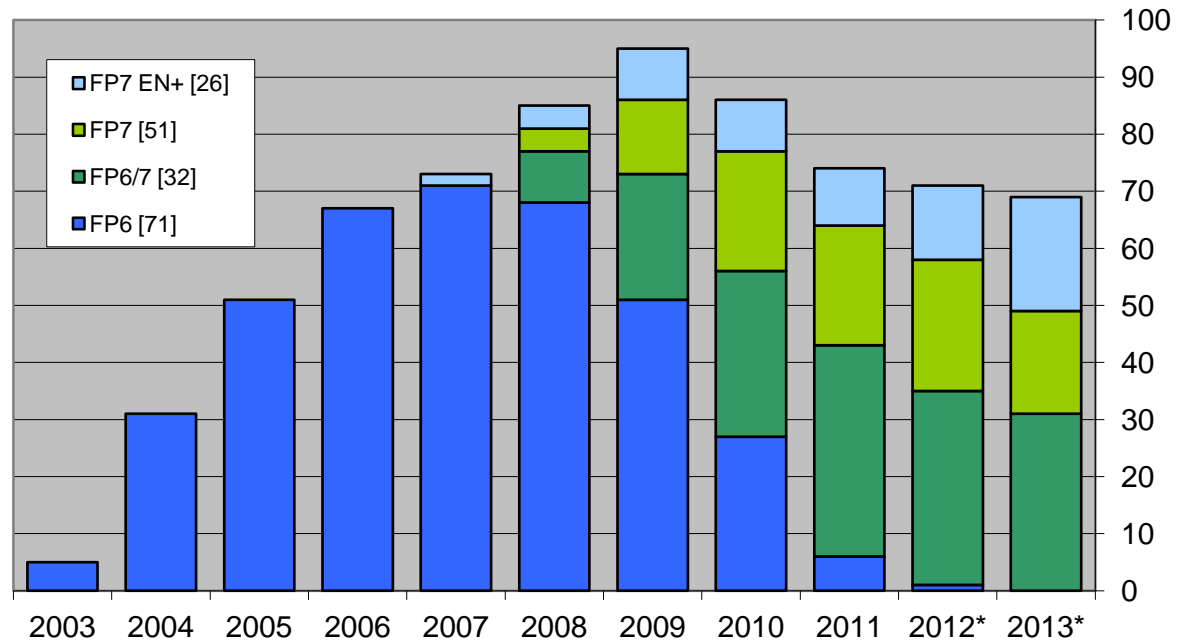
DG Research & Innovation  
European Research Area  
Unit B4 - Joint Programming

*Research &  
Innovation*

# ERA-NET landscape: from FP6 to FP7

- In total 122 different ERA-NETs (154 contracts) will be funded under FP6 and FP7
- 32 of the original 71 FP6 contracts have received further funding for coordinating their activities under FP7
- 51 ERA-NETs have started under FP7 on topics that were not covered under FP6
- In addition, 26 ERA-NET Plus actions receiving top-up funding for their calls will be funded

Active ERA-NET and ERA-NET Plus actions

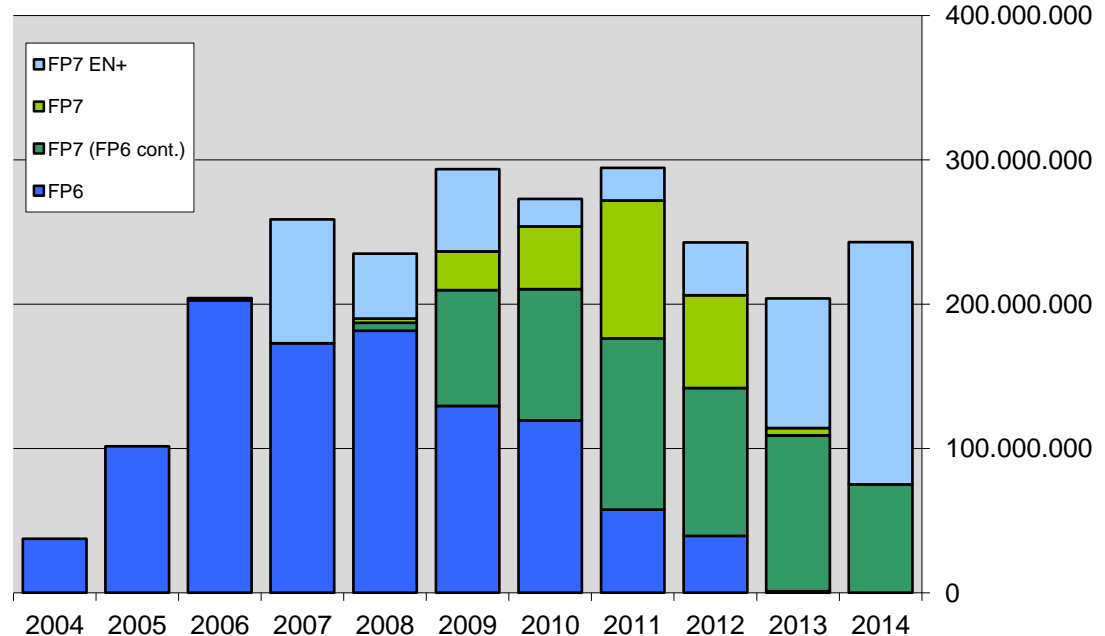


\*Figures for 2012/13 are estimates

# ERA-NET landscape: from FP6 to FP7

- The public funding of research by ERA-NET and ERA-NET plus actions has been growing steadily since the first calls in 2004 and adds currently up to **€ 290 Million per year**.
- Those ERA-NETs that have started under FP7 with a completely new topic have so far only raised call budgets of € 170 Million (10%) but have now started to mobilise substantial call budgets with currently 1/3 of the total budget of the 2011 calls.

Total public funding per year [€]

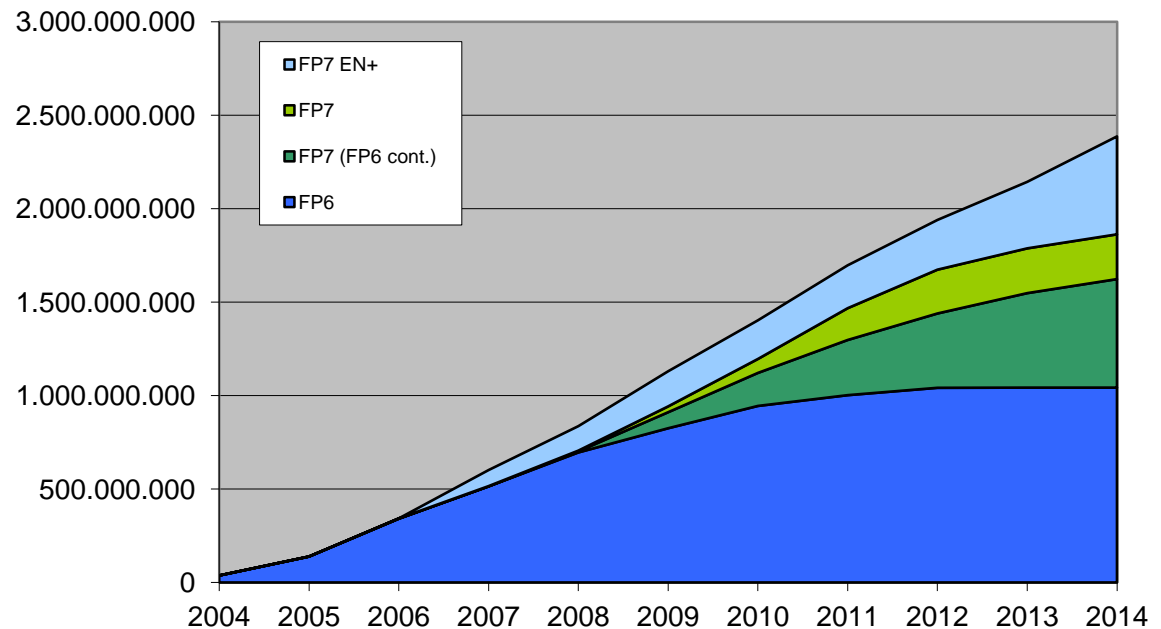


\*Figures for 2012-2014 are estimates for currently planned calls

## ERA-NET landscape: from FP6 to FP7

- The current total call budgets including the planned calls 2004 – 2014 amounts to € 2.400 Million.
- 90% of all public funding of calls has been generated by ERA-NETs that started under FP6 and their successors.
- The average size of projects funded by ERA-NET and ERA-NET plus actions is € 780.000 (median: €690.000).
- An estimated total of 2200 – 2500 projects have been funded by ERA-NET and ERA-NET plus actions in the period from 2004 – 2011.

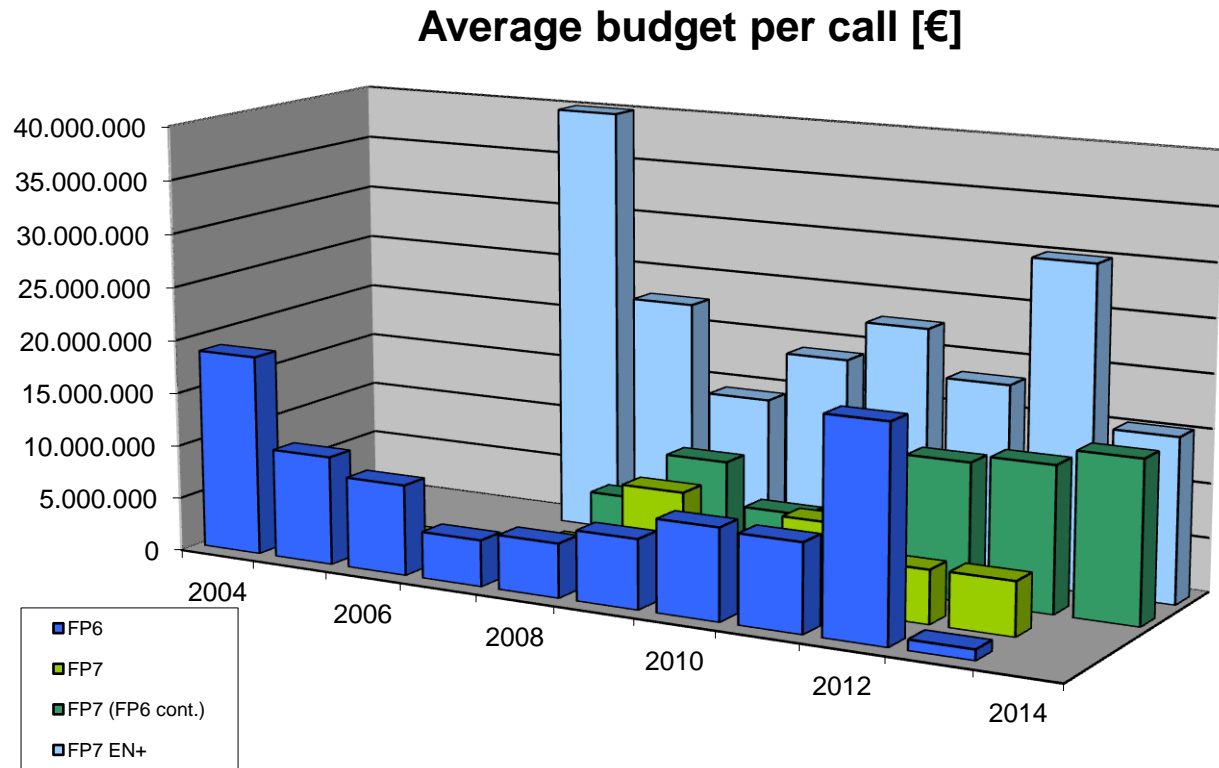
Aggregated public funding [€]



*\*Figures for 2012-2014 are estimates for currently planned calls*

# ERA-NET landscape: from FP6 to FP7

- The average budget of all ERA-NET calls is € 7 Million.
- The ERA-NET Plus instruments results in substantially larger average calls budgets of € 22 Million.

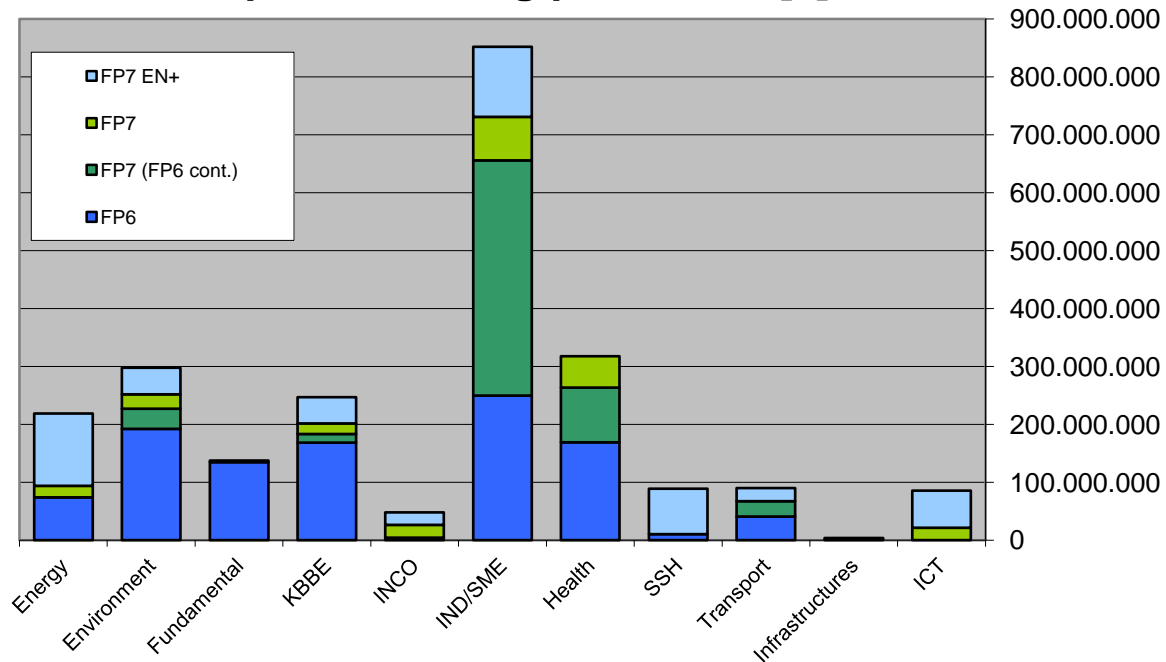


*\*Figures for 2012-2014 are estimates for currently planned calls*

# ERA-NET landscape: from FP6 to FP7

- The total public funding realised per Theme reaches € 850 Million for Industrial Technologies and SMEs (of which approximately € 100 Million result from horizontal ERA-NETs) and around € 250 - 300 Million for the Themes Environment, KBBE and Health.
- ICT, Energy and Social Sciences benefit particularly from the ERA-NET Plus activities.

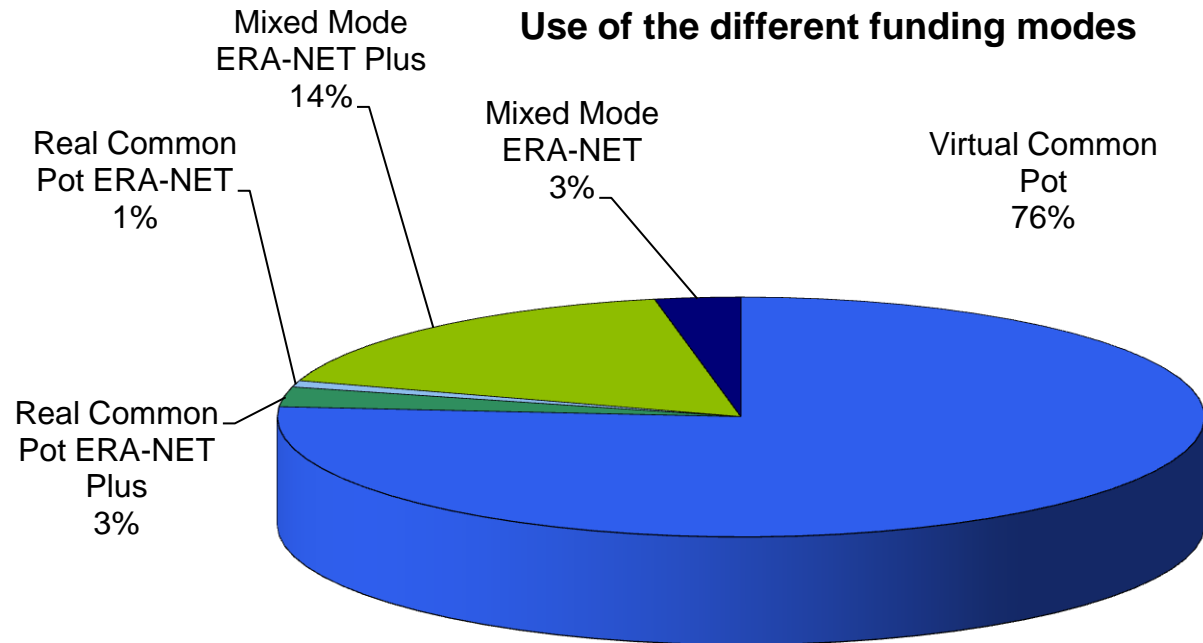
**Total public funding per Theme [€]**



*\*Figures for 2012-2014 are estimates for currently planned calls*

# ERA-NET landscape: from FP6 to FP7

- The most frequently used funding mode is the virtual common pot with more than 75% of all call budgets.
- ERA-NET Plus actions rely on either the mixed mode (87%) or the real common pot (13 %).
- Outside the ERA-NET Plus calls these funding modes are scarcely used (< 1%), mainly for fundamental research or public procurement actions.



# Public-public partnerships in Horizon 2020

## (Art.20 Commission Proposal)

1. Horizon 2020 shall contribute to the strengthening of public-public partnerships where actions at regional, national or international level are jointly implemented within the Union.  
**Particular attention shall be paid to joint programming initiatives between Member States.**
  
2. Public-public partnerships may be supported either within, or across, the priorities set out in Article 5(2), in particular through:
  - (a) an ERA-NET instrument ....
  - (b) Union participation in programmes undertaken by several Member States in accordance with Article 185 TFEU.

...



# ERA-NET Horizon 2020

(Art.20 Commission Proposal)

- (a) an ERA-NET instrument **using grants** to support public-public partnerships in their preparation, establishment of networking structures, design, implementation and coordination of joint activities as well as **topping up of individual joint calls** and of actions of a transnational nature;

For the purposes of point (a), top-up funding shall be conditional on a significant level of **prior financial commitments** of the participating entities to the joint calls and actions. The ERA-NET instrument may include an **objective to harmonise rules and implementation modalities of the joint calls and actions**. It may also be used in order to prepare for an initiative pursuant to Article 185 TFEU.

## Relation to JPIs

<i>Case</i>	<i>JPI</i>	<i>Commission EU 2020</i>	<i>Comment / Conditions</i>
1	MS <b><u>launch joint activity</u></b> independent from H2020	Only supports coordination of the JPI through a Coordination and Support Action	"Ideal" functioning mode of JPIs used in 1 <sup>st</sup> joint calls in Neurodegenerative diseases and Agriculture and Climate Change
2	MS <b><u>launch joint activity</u></b> and <b><u>request Commission support</u></b>	Area does <b><u>correspond to a specific FP priority</u></b>	<b><u>Possible Commission support through ERA-Net instrument</u></b> if : 1. Action has EU Added Value (i.e. sufficient number of MS involved) 2. Action Considers using Framework Conditions
3	MS wish to <b><u>integrate their research programmes</u></b> from the <b><u>scientific, financial</u></b> and <b><u>management</u></b> point of view.	Area does <b><u>correspond to a specific FP priority</u></b>	<b><u>Possible Commission support through Art.185</u></b> if : - JPI has demonstrated capacity for significant collaboration - Necessary scale and scope - Clear financial commitments of the participating countries, inclusion in national planning

# Boundary conditions for the future ERA-NET scheme

- Implemented based on grants by using programme co-fund actions
  - ➔ **specific actions, using mainly cascading of financing**
- Horizon 2020 rules for participation do not apply to the calls launched by ERA-NETs
  - ➔ **national rules for funding can be maintained**
- Possibility for grants to named beneficiaries and framework partnership agreements
  - ➔ **possibility to simplify implementation, e.g. not via open calls**

## Situation FP7 vs. Horizon 2020

- **FP7 ERA-NET:** CSA, coordination and management 100%
  - **FP7 ERA-NET Plus:** CSA, 33% contribution to the total call budget, no funding for management and coordination
  - **Horizon 2020:**
    - “Programme co-fund action”, call with top-up funding compulsory, any other activities of networking and coordination complementary
    - one funding rate per action/project e.g. 33% as in FP7 ERA-NET
- ➔ **No future ERA-NET without one substantial call with top-up funding**
- ➔ **No possibility for substantial reimbursement of costs related to coordination and management**

## Consortia take responsibility for content and financing

- Each consortium organises itself internally for the duration of the action (work programme, management) and decides on **necessary resources/costs and how they are financed.**
- They can choose between:
  - Only implementation and follow-up of the call that receives top-up funding or, **in addition**
  - Implementation of other activities and joint actions including additional calls without top-up funding they wish to implement as a network.

# Flexible use of the ERA-NET

## 1. Only call with top-up funding

As in the simplified ERA-NET Plus in FP7, Member States implement only the joint call including call preparation, implementation and follow-up.

## 2. Call and additional activities

Member States implement a single call with Commission top-up funding and develop other joint activities including calls without top-up funding under their own responsibility.

## 3. Multiple calls in an variable geometry

Large initiatives with major strategic research agendas might propose a series of call topics for which Commission top-up could be provided. Topics to be inserted in the yearly Work Programme of a Challenge or in successive years of a given Challenge and allow research funders to work in a variable geometry on selected topics.

# Scenarios for implementation

## **1. Real costs for call funding and networking**

## **2. Only output based (ERA-NET Plus FP7)**

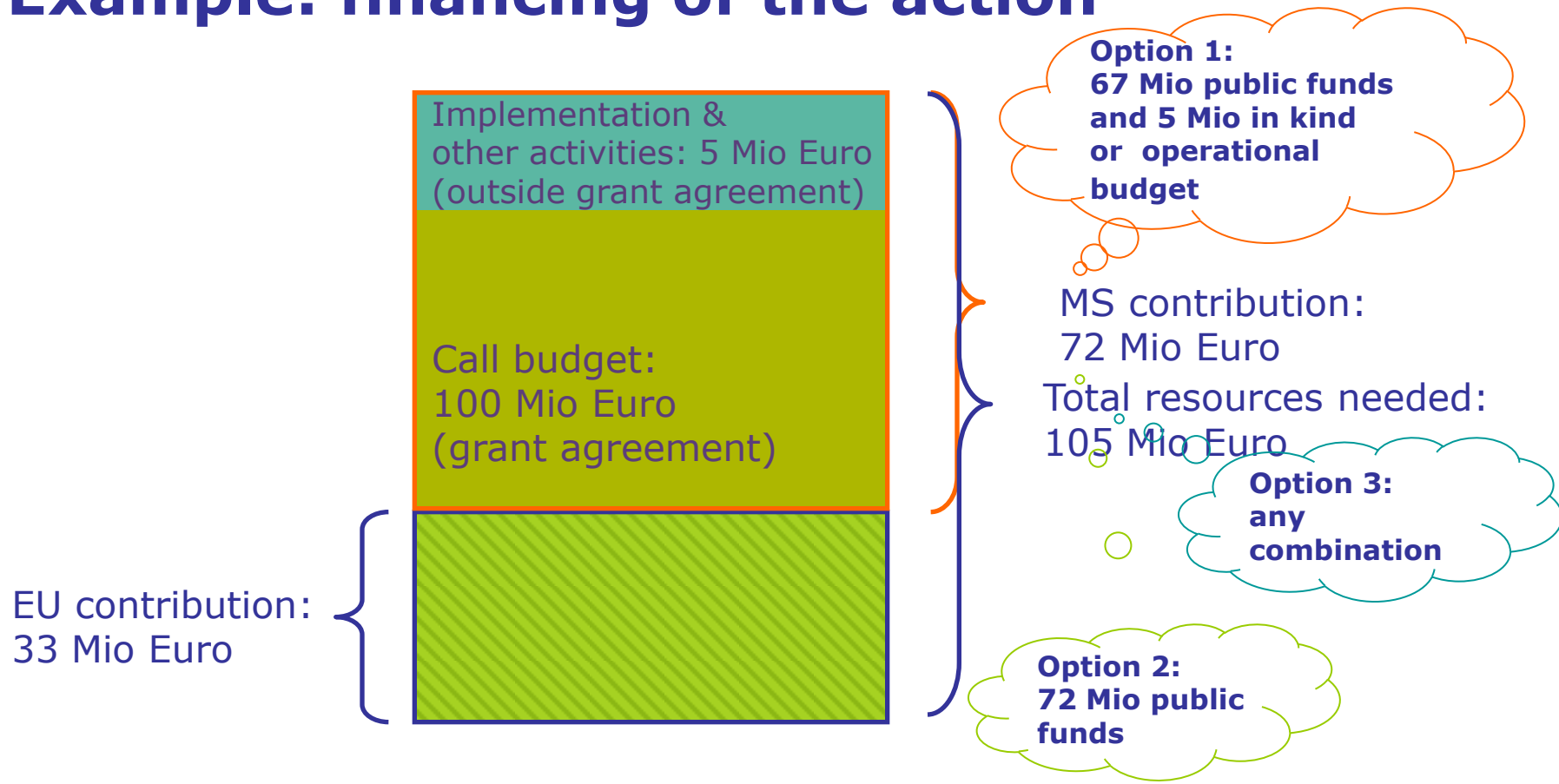
Reference for the EU contribution the total public funding (only eligible cost) of the call that receives top-up funding,

## **3. Output based for the call & scale of unit for networking**

Reference for the EU contribution the total public funding of the call that receives top-up funding.

In addition a fixed amount per partner per year as a contribution to the costs of other activities

## Example: financing of the action





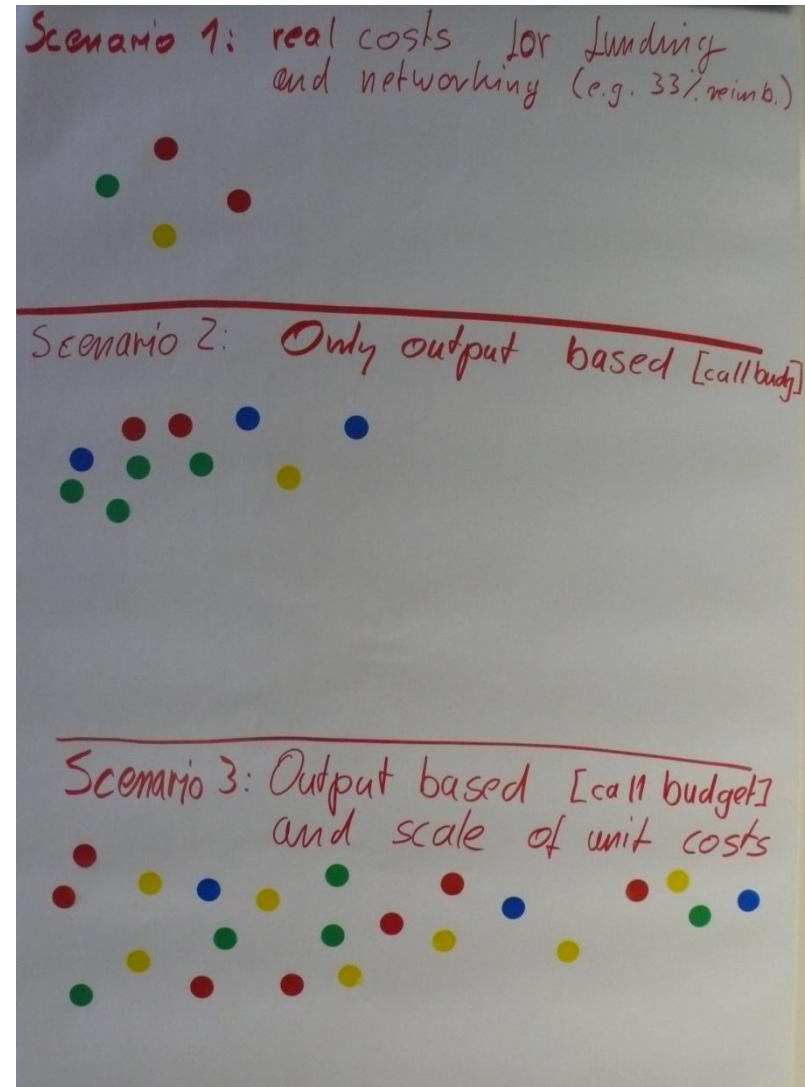
# User feedback?

## **ERA-NET (call only)**

→ FP7 ERA-NET Plus model

## **ERA-NET (call and networking)**

→ FP7 ERA-NET Plus model  
for the call and scale of  
unit costs for networking



# ERA-NET Horizon 2020 - openness

## Partners in the grant agreement:

- **Only call with top-up funding**  
Research funders contributing to the call budget (costs  $\neq$  0)
- **Call with top-up funding and other activities**  
Other activities: GA open to additional programme managers/owners (costs  $\geq$  0) → **Yes**

## Participation of research funders in calls and other activities:

- **Call with top-up funding:**  
Open to other research funders (not GA) at their own cost? → **Yes**
- **Other calls and other activities**  
Open to other programme managers/owners (not in GA) at their own costs? → **Yes**

**Participation of researchers in proposals submitted to the call?**  
→ **Keep flexible!**

## ERA-NET Horizon 2020 – Other issues

- **Harmonised rules and implementation modalities** (model: same conditions as for ERA-NET Plus under FP7)
- **Substantial level and total volume of funding** (e.g. 33% of the total call budget, EU contribution per call €5 - €50 Mio)
- **Possibility to include institutional funding**
- **New implementation modalities** (Framework Partnerships)

## Include institutional funding

- A large share of public funding is institutional funding and remains mostly untapped for research coordination.
- The new ERA-NET instrument should allow targeted actions with institutional funding in ERA-NET calls under the condition of competition, transparency, opening up of calls.

- ➔ **How to define/select eligible programmes/organisations?  
(proposal: mandated by national/regional Ministries)**
- ➔ **Basis for calculation of in-kind contributions as a reference for top-up funding?  
(proposal: Horizon 2020 rules).**

## Governance / topic selection

- Future actions need to be well defined (topics, target groups, expected results) and clearly demonstrate European added value to justify the EU contribution.
- Potential topics for the different objectives and challenges have to be identified in close collaboration with Member States and existing networks (ERA-NETs, JPIs, Mirror groups of ETPs, SCAR ...).
- Forward looking exercise for possible topics and related budgets with a choice between those topics that Member States implement jointly without Commission participation and those that are feed into the Commission proposal for the work programmes and subsequent discussion and validation with the Programme Committee as ERA-NET topics with top-up funding.

## Support measures

- ERA-LEARN and NETWATCH have established valuable services for the community of research funders active in ERA-NETs, Art.185 initiatives and JPIs.
- Towards Horizon 2020 there is a need to prepare follow-up activities for these initiatives that take into account future user needs, changes in the implementation, a possible integration into a single initiative and the long-term sustainability.
- The future system should actively support the preparation, implementation, monitoring and impact assessment (including self-evaluation of actors) of all P2P under Horizon 2020.

# Thank you for your attention!

## Any questions?

### **Contact**

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