Horizon 2020
Work Programme for Research & Innovation
2018-2020

International cooperation: administrative, financial and practical aspects of involving non-EU or non-associated partners

SPEAKERS

Christine VAN WUNNIK
SLIDO moderator
Alessia PIETROSANTI
Giulio PATTANARO
EASME - UNIT B2 H2020 Environment and Resources

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Sli.do

- Please, take out your smartphones and open any web-browser
- Go to www.slido.com
- Enter the event code, which is #H2020SC5
- Select the room "International cooperation"
- Type in your question
Sli.do

- Is your organization a beneficiary of an FP7 or Horizon 2020-funding?
Content

1. Horizon 2020: open to the world
2. What do we mean by ‘international cooperation’?
3. International cooperation in the SC5 Calls 2019
4. Eligibility for funding of international partners
5. Participation without funding for international partners
6. Q&A
1. Horizon 2020: open to the world

International cooperation contributes to:
• Tackling global challenges
• Advancing science
• Capturing knowledge flows
• Increasing impact

International cooperation is a cross-cutting priority of H2020.
Content

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2. **What do we mean by ‘international cooperation’?**
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2. What do we mean by ‘international cooperation’?

EU Member States & Associated Countries with the rest of the world

• 28 EU Member States

Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, United Kingdom.

• 16 Countries associated to Horizon 2020:

Albania, Armenia, Bosnia and Herzegovina, Faroe Islands, Former Yugoslav Republic of Macedonia, Georgia, Iceland, Israel, Moldova, Montenegro, Norway, Serbia, Switzerland, Tunisia, Turkey, Ukraine.
Sli.do question

In which country is your organisation established as a legal entity?

1. EU Member State
2. Horizon 2020 Associated State
3. Third country
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3. International cooperation in SC5 Calls 2019

- All topics are open to international cooperation
- Topics encouraging international cooperation (8)
- Topics with international cooperation as an eligibility and admissibility condition (4)
Topics encouraging international cooperation

• SC5-09-2018-2019: New solutions for the sustainable production of raw materials
• SC5-10-2019-2020: Raw materials innovation actions: exploration and Earth observation in support of sustainable mining
• SC5-13-2018-2019: Strengthening international cooperation on sustainable urbanisation: nature-based solutions for restoration and rehabilitation of urban ecosystems
• SC5-21-2019-2020: ERA-NET Cofund action for climate action, environment, resource efficiency and raw materials
• LC-CLA-02-2019: Negative emissions and land-use based mitigation assessment
• LC-CLA-05-2019: Human dynamics of climate change
• LC-CLA-06-2019: Inter-relations between climate change, biodiversity and ecosystem services
• LC-CLA-07-2019: The changing cryosphere: uncertainties, risks and opportunities
• CE-SC5-08-2019: Raw material policy support actions for the circular economy
Topics with international cooperation as an eligibility and admissibility condition

- SC5-13-2018-2019: Strengthening international cooperation on sustainable urbanisation: nature-based solutions for restoration and rehabilitation of urban ecosystems
  Sub topic b) Strengthening EU-CELAC collaboration
- LC-CLA-05-2019: Human dynamics of climate change
  Sub topic a) Climate services for Africa
- LC-CLA-07-2019: The changing cryosphere: uncertainties, risks and opportunities
- CE-SC5-08-2019: Raw material policy support actions for the circular economy
  Sub topic c) Responsible sourcing of raw materials in global value chains
Content

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4. Eligibility for funding of international partners

Automatically eligible for funding in SC5

- Associated countries - participate in Horizon 2020 under the same conditions as EU Member States.

- Developing countries – legal entities in some 130 developing countries are automatically eligible for funding. The full list of these countries is provided in Annex A of the Horizon 2020 Work Programmes.

- International European interest organisations.
4. Eligibility for funding of international partners

Not automatically eligible for funding in SC5

• International organisations

• Participants from industrialised countries and emerging economies.

In exceptional circumstances, international organisations and entities in industrialised and emerging economies can receive EU funding if:

- a provision in the Work Programme
- a provision under a bilateral S&T agreement
- Commission deems participation essential for carrying out the action.
4. Eligibility for funding of international partners

How to demonstrate that participation is essential?

• The partner provides same information as the others, among which:

• Part B, Section 3.3 - explain why its activities are essential to the project on the basis of:
  – outstanding competence/expertise
  – access to research infrastructure
  – access to particular geographical environments
  – access to data

• Table 3.2, risk for implementation → convincing mitigation measure in case participant is not accepted for funding.
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5. Participation without funding for international partners

- Participating in the consortium without requesting EU budget
- Becoming the international partner of one of the beneficiaries (article 14a of the grant agreement)
Participating in the proposal without requesting EU budget

Full partners that will be validated and sign the contract

Part A

• Full partner details
• Indicate the estimated costs/category – EU Requested Contribution = 0€
(The identification of the costs could help securing budget through national mechanisms)

Part B

• Section 3 – indicate roles in the work plan (contribution to tasks) and the consortium + explain how the activities of the partner will be funded and from which sources
• Table 3.2: risk for implementation –> convincing mitigation measure in case the funding for participation from other sources cannot be secured
• Section 4.1 – description of the partner.
Becoming the international partner of one of the beneficiaries

Links to one of the beneficiaries, does not sign the contract

"INTERNATIONAL PARTNERS"

- Linked to Partner B
- Participant Identification Code (PIC number)
- Not Signatory of the GA
- Own (non EU) Budget
- Action Tasks in the Project
- No financial reporting
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6. Questions?

- Sli.do - #H2020SC5
- If your question is not addressed during this session, please contact the [Research Enquiry Service](#).
Useful sources of information

• Horizon 2020 – online manual – section ‘international cooperation’
• Annex A to the 2018-2020 work programme - List of countries eligible for funding
• Article 14.a) implementation of action tasks by international partners in the Horizon 2020 annotated model grant agreement, p. 151
• Network of Horizon 2020 National Contact Points (also established in non-EU and non-Associated Countries)
• Participant portal partner search
Additional information on **grant agreement article 14.a)** Implementation of action tasks by international partners
Implementation of action tasks by an international partner (article 14.a)

**CONSORTIUM**

**PARTNER B**

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**INTERNATIONAL PARTNER**

*INCREASED OPENNESS TO THE WORLD*

- Any legal entity established in a non-associated third country which is not automatically eligible for EU funding

- **does not sign Grant Agreement**

- **No EU funding**
Implementation of action tasks by an international partner (article 14.a)

"INTERNATIONAL PARTNERS"

- Signatories of the GA
- May receive EU funding
- **Partner B** has one International Partner

**International Partner:**
- Linked to Partner B
- Participant Identification Code (PIC number)
- Not Signatory of the GA
- No EU funding
- Own (non EU) Budget
- Action Tasks in the Project
- No financial reporting
Implementation of action tasks by an international partner (article 14.a)

Part B

Section 4: Members of the consortium

4.2. Third parties involved in the project (including use of third party resources)

Please complete, for each participant, the following table (or simply state "No third parties involved", if applicable):

<table>
<thead>
<tr>
<th>Question</th>
<th>Y/N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the participant plan to subcontract certain tasks (please note that core tasks of the project should not be sub-contracted)</td>
<td></td>
</tr>
<tr>
<td>If yes, please describe and justify the tasks to be subcontracted</td>
<td></td>
</tr>
<tr>
<td>Does the participant envisage that part of its work is performed by linked third parties?</td>
<td></td>
</tr>
<tr>
<td>If yes, please 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</td>
<td></td>
</tr>
<tr>
<td>Does the participant envisage the use of contributions in kind provided by third parties (Articles 11 and 12 of the General Model Grant Agreement)</td>
<td></td>
</tr>
<tr>
<td>If yes, please describe the third party and their contributions</td>
<td></td>
</tr>
<tr>
<td>Does the participant envisage that part of the work is performed by International Partners?</td>
<td></td>
</tr>
<tr>
<td>If yes, please describe the International Partner(s) and their contributions</td>
<td></td>
</tr>
</tbody>
</table>
Implementation of action tasks by an international partner (article 14.a)

In addition:

Part B

• **Section 3** – indicate roles in the work plan (contribution to tasks) + explain how the activities of the partner will be funded and from which sources

• **Table 3.2**

  - risk for implementation -> convincing mitigation measure in case the funding for participation from other sources cannot be secured
Implementation of action tasks by an international partner (article 14.a)

• The international partner must **NOT be eligible for funding**, i.e. be established in a third country not listed in General Annex A to the Main Work Programme.

• The international partner does **NOT sign the GA and they are NOT beneficiaries**; it therefore has no direct obligations under the grant agreement (but its beneficiaries must to ensure that its complies with certain key obligations).

• The international partner may be used to implement any of the action tasks.

• The international partner must be **named** in Article 14a and their action tasks and estimated costs must be set out in Annexes 1 and 2 already at the moment of the GA signature (or if the international partner is added later, through an amendment; *see Article 55*).
Implementation of action tasks by an international partner (article 14.a)

• **The beneficiary** remains responsible towards the Commission/Agency for the action tasks performed by its international partner.

• The **beneficiary** must make special arrangements regarding results produced by the international partners (in order to be able to fully comply with their obligations under the GA; see Article 26.3).

• **The beneficiary** must ensure that its international partner complies with certain key (non-financial) obligations:

  Thus, they must ensure that the Commission/Agency, the European Court of Auditors (ECA) and the European Anti-Fraud Office (OLAF) can exercise their rights under Article 22 to verify the proper implementation of the action tasks and that the Commission/Agency has the right to make an evaluation of the impact of the action under Article 23.
Implementation of action tasks by an international partner (article 14.a)

Obligations that must be extended to international partners:

- Record-keeping obligations (on the scientific and technical implementation; see Article 18.1.1)
- Technical reporting (in the required language; see Article 20.3(a), 20.4(a) and 20.7)
- Avoiding conflicts of interest (see Article 35)
- Maintaining confidentiality (see Article 36)
- Promoting the action and give visibility to the EU funding (see Article 38).