International Cooperation in H2020

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H2020 National Contact Point for NMBP
International Cooperation Strategy
Enhancing and focusing EU international cooperation in research and innovation

- Tackling global societal challenges
- Supporting external policies
- International Cooperation Mainstreamed across Horizon 2020
  - Strengthen excellence and competitiveness
Areas of Action

International cooperation in Horizon 2020

Expanding global multilateral initiatives

Reinforcing the partnership with Member States

Intensifying synergies with EU external policies

Improving framework conditions

Multi-annual roadmaps
Associated countries: participations in Horizon 2020

- Switzerland, 37%
- Norway, 23%
- Israel, 17%
- Turkey, 9%
- Serbia, 4%
- Iceland, 3%
- Ukraine, 2%
- MK
- BA
- MD
- SE
- AL
- F
- TN
Non-associated third countries: participations in Horizon 2020

USA, 28%

China, 9%

Australia, 5%

South Korea, 4%

Canada, 6%

Brazil, 4%
Evolution from FP7 to Horizon 2020 (collaborative projects only)
Early signals of positive effect of international cooperation flagships launched in WP 2018 and of efforts to extend dedicated H2020 co-funding mechanisms:

Non-associated third country entities’ participation in collaborative actions:

<table>
<thead>
<tr>
<th>Year</th>
<th>2014</th>
<th>2015</th>
<th>2016</th>
<th>2017</th>
<th>(40% of) 2018</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2.05%</td>
<td>2.66%</td>
<td>2.57%</td>
<td>2.31%</td>
<td>3.58%</td>
</tr>
</tbody>
</table>

Non-associated third countries’ contributions to entities in collaborative actions:

<table>
<thead>
<tr>
<th>Year</th>
<th>2014</th>
<th>2015</th>
<th>2016</th>
<th>2017</th>
<th>(40% of) 2018</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>26</td>
<td>47</td>
<td>65</td>
<td>113</td>
<td>€ 56 million</td>
</tr>
</tbody>
</table>

EU funding of international participants stable at around 1%:

EU contribution to non-associated third country entities in collaborative actions:

<table>
<thead>
<tr>
<th>Year</th>
<th>2014</th>
<th>2015</th>
<th>2016</th>
<th>2017</th>
<th>(40% of) 2018</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1.0%</td>
<td>0.9%</td>
<td>0.9%</td>
<td>0.7%</td>
<td>1.0%</td>
</tr>
</tbody>
</table>
International Cooperation in H2020

- Contributions to Global Multilateral Initiatives, notably in the areas of health, food, energy and the environment (€ 150-200 million per year)

- Article 185 Initiatives with significant international cooperation dimension: EDCTP2 (€ 683 million), PRIMA (€ 220 million)

- 11% of participations in Marie Skłodowska-Curie Actions are from non-associated third countries
  - Highest in Research and Innovation Staff Exchange part: 29%
  - 18% of all (5367) grantees of Individual Fellowships are incoming fellows applying from non-associated third countries (2014-17)
  - 542 Global Fellowships (2014-17)

- While only 12% of H2020 collaborative actions include entities from non-associated third countries, 30% of the publications produced by H2020 collaborative actions include authors from a non-associated third country – and these are on average more highly-cited than H2020 publications without third country authors
Draft WP 2020: International Cooperation

- International participation strongly encouraged in an increasing number of topics calling for collaborative action as an important means to maximise impact

- Notable target topics and countries:
  - Africa: global health, food and nutrition security
  - China: food production, biotech, energy, natural resources, urbanisation
  - Series of bilateral cooperation (US, Canada, Japan etc.) on Clean Energy
  - Targeted, multi-lateral cooperation on:
    - Seas & Oceans
    - Automated Driving (US, Japan, Korea etc.)
    - Aviation (Russia, US, Japan, Canada, Brazil etc.)
    - Arctic
    - Research Infrastructures: Integrating Activities

- International cooperation policy actions, including extension of the ENRICH network with focus on innovation in India and in Africa
Openness to the world will be reflected in three flagships:
1. one in nanosafety;
2. one on global health care;
3. and one biotechnology for the environment.
It will further be served by inviting multilateral cooperation in more topics, notably in the area of catalysis for the circular economy.
GOVERNANCE, SCIENCE-BASED RISK ASSESSMENT AND REGULATORY ASPECTS

Nanosafety issues are global and, therefore, international collaboration is strongly encouraged. In particular, all projects in this area are expected to collaborate with similar projects under the established scheme of Communities of Research with the USA NNI programme 8 and/or to include direct participation of relevant USA entities.

In particular, all projects in this area are expected to collaborate with similar projects under the established scheme of Communities of Research with the USA NNI programme 8 and/or to include direct participation of relevant USA entities. In addition, participation from countries actively involved in the work of OECD-WPMN, the NanoSafety Cluster and the NANoREG project (e.g. South Korea, Brazil, Canada, Australia, China, Japan, South Africa) is strongly encouraged.
NMBP-15-2020: Safe by design, from science to regulation: multi-component nanomaterials (RIA)

• For this topic the parallel calls scheme is envisaged with the USA-NNI. Resulting projects should establish close cooperation mechanisms. Legal, policy making and Responsible Research and Innovation aspects should be integrated in the proposal.

• In line with the strategy for EU international cooperation in research and innovation (COM(2012)497), international cooperation is particularly encouraged.
3.1. SUSTAINABLE PROCESS INDUSTRY (SPIRE)

Topics under SPIRE will support the European industry towards improved integration of industrial operations leading to better valorisation of energy and material streams, sustainable raw materials and enhanced performance and efficiency of particularly high energy-intensive processes. In line with the strategy for EU international cooperation in research and innovation (COM(2012)497), international cooperation may be particularly appropriate in some areas of the Sustainable Process Industry, in particular with Eastern Partnership countries (Ukraine, Moldova, Georgia, Armenia, Azerbaijan and Belarus).
1.1 OPEN INNOVATION TEST BEDS

• Open Innovation Test Beds are physical facilities, established in at least three Member States and Associated Countries, offering technology access and services. The objective of Open Innovation Test Beds is to bring nanotechnology and advanced materials within the reach of companies and users in order to advance from validation in a laboratory (TRL 4) to prototypes in industrial environments (TRL 7). These test beds will allow European industry and SMEs to develop leadership in nanotechnologies and advanced materials across the whole value chain with significant impact on jobs creation and growth.

Open Innovation Test beds will be able to provide services also to SMEs of Third Countries
2.2 BIOTECHNOLOGY

These biotechnology topics will support European industry through the continued development of cutting-edge biotechnologies, new biotechnologies for the global challenge of environmental protection and breakthrough solutions to transform industrial processes using environmentally friendly and sustainable methods outcompeting conventional alternatives.

CE-BIOTEC-08-2020: New biotechnologies to remediate harmful contaminants (RIA)
CE-BIOTEC-08-2020: New biotechnologies to remediate harmful contaminants (RIA)

- Environmental pollution is a major global issue affecting natural resources and the environment in generic terms and creating important concerns for human health in particular. Pollutants resulting from human action are detrimental to ecosystems at different functional levels, representing an important economic load for society.

- This topic is part of the EU-China flagship initiative on Biotechnology for Environment and Human Health, which will promote substantial coordinated and balanced research and Innovation cooperation between the EU and China. China-based legal entities have to apply for funding under the Chinese co-funding mechanism with the National Natural Science Foundation of China.
Topics for international cooperation

The work programme (WP) for years 2018 - 2020 will focus on moving to a greener, more resource efficient and climate resilient economy in sync with the natural environment, demonstrating a strong commitment to supporting the UN’s Sustainable Development Goals (SDGs) and targets of the COP21 Paris Agreement (PA).

One of the measures Commission is implementing to tackle overall and thematic specific issues in this WP is focused on the reinforcement of international cooperation across both calls and topics with a strong international dimension, especially to ensure the follow-up and implementation of the COP21 PA.

The topics with the special emphasis on the international cooperation are highlighted in the table below. For details please consult WP.
Call “Greening the economy in line with the SDGs” H2020-SC5-2018-2019-2020

This call focuses on moving to a greener, more resource efficient and climate-resilient economy in sync with the natural environment, demonstrating a strong commitment to supporting the UN’s Sustainable Development Goals (SDGs).

The topics in this part of the call contribute to the focus area ‘Connecting economic and environmental gains - the circular economy’.

<table>
<thead>
<tr>
<th>Calls</th>
<th>International Cooperation</th>
<th>Type of Action</th>
<th>Deadlines</th>
</tr>
</thead>
<tbody>
<tr>
<td>CE-SC5-07-2020: Raw materials innovation for the circular economy:</td>
<td>International cooperation is encouraged. Subtopics: a) Sustainable processing and refining</td>
<td>IA</td>
<td>05.02.2020 (1)</td>
</tr>
<tr>
<td>sustainable processing, reuse, recycling and recovery schemes</td>
<td>of primary and/or secondary raw materials; b) Recycling of raw materials from end-of-life</td>
<td></td>
<td>03.09.2018 (2)</td>
</tr>
<tr>
<td></td>
<td>products; c) Recycling of raw materials from buildings and infrastructures; d) Advanced</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>sorting systems for high-performance recycling of complex end-of-life products; e)</td>
<td></td>
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<tr>
<td></td>
<td>Sustainable metallurgical processes</td>
<td></td>
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<td></td>
<td><strong>Attention:</strong> this topic located in the work programme <strong>“Cross-Cutting Activities”,</strong></td>
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<td></td>
<td>Call Competitive, low carbon, and circular industries.</td>
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<tr>
<td>SC5-10-2019-2020: Raw materials innovation actions: exploration and</td>
<td>International cooperation is encouraged, Subtopics: c) Mining pilots (2020); d)</td>
<td>IA</td>
<td>13.02.2020 (1)</td>
</tr>
<tr>
<td>Earth observation in support of sustainable mining</td>
<td>Pilots on substitution of critical and scarce raw materials (2020)</td>
<td></td>
<td>03.09.2020 (2)</td>
</tr>
<tr>
<td>CE-SC5-25-2020: Understanding the transition to a circular economy</td>
<td>International cooperation is encouraged, in particular with <strong>Africa</strong>.</td>
<td>RIA</td>
<td>13.02.2020 (1)</td>
</tr>
<tr>
<td>and its implications on the environment, economy and society</td>
<td></td>
<td></td>
<td>03.09.2020 (2)</td>
</tr>
<tr>
<td>SC5-27-2020: Strengthening international collaboration: enhanced</td>
<td>International cooperation is strongly encouraged. International participants should explore</td>
<td>RIA</td>
<td>13.02.2020 (1)</td>
</tr>
<tr>
<td>natural treatment solutions for water security and ecological quality</td>
<td>the possibility to apply for co-funding under their national governments. <a href="http://ec.europa.eu">http://ec.europa.eu</a></td>
<td></td>
<td>03.09.2020 (2)</td>
</tr>
<tr>
<td>in cities</td>
<td>research/participants/docs/h2020-funding-guide/cross-cutting-issues/international-cooperation_en.html#support-non-eu-countries</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Thank you very much for your attention,
Martina
How do Third Countries participate in H2020?
A double strategy...

1. General Openness
   Horizon is fully open to all the world

2. Targeted Actions
   Based on common interest and mutual benefits
1- General Openness:

Horizon 2020 is fully open to participation from all over the world

Automatic Funding

- Member States (including overseas departments and overseas territories)
- Associated Countries
- Emerging Economies and Developing Countries

H2020 Programme

Funding of applicants from non-EU countries & international organisations

Version 2.0
22 September 2016

Disclaimer:
This document is aimed at assisting applicants for EU Funding. It shows the full range of provisions that may be applied to the type of grant agreement and is provided for information purposes only. The legally binding grant agreement will be the one signed by the parties for the action.


Full list of all the automatically eligible for funding applicants
**Third Countries Automatically funded**

| Afghanistan, Algeria, American Samoa, Angola, Argentina, Armenia, Azerbaijan |
| Bangladesh, Belarus, Belize, Benin, Bhutan, Bolivia, Botswana, Burkina Faso, Burundi |
| Cambodia, Cameroon, Cape Verde, Central African Republic, Chad, Chile, Colombia, Comoros, Congo (Democratic People’s Republic), Congo (Republic), Costa Rica, Côte d’Ivoire, Cuba |
| Djibouti, Dominica, Dominican Republic |
| Ecuador, Egypt, El Salvador, Eritrea, Ethiopia |
| Fiji |
| Gabon, Gambia, Georgia, Ghana, Grenada, Guatemala, Guinea, Guinea-Bissau, Guyana |
| Haiti, Honduras |
| Indonesia, Iran, Iraq |
| Jamaica, Jordan |
| Kazakhstan, Kenya, Kiribati, Korea (Democratic People’s Republic), Kosovo*, Kyrgyz Republic |
| Lao, Lebanon, Lesotho, Liberia, Libya |
| Madagascar, Malawi, Malaysia, Maldives, Mali, Marshall Islands, Mauritania, Mauritius, Micronesia, Moldova, Mongolia, Morocco, Mozambique, Myanmar |
| Namibia, Nauru, Nicaragua, Niger, Nigeria |

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| Pakistan, Palau, Palestine, Panama, Papua New Guinea, Paraguay, Peru, Philippines |
| Rwanda |
| Samoa, Sao Tome and Principe, Senegal, Serbia, Seychelles, Sierra Leone, Solomon Islands, Somalia, South Africa, South Sudan, Sri Lanka, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, Sudan, Suriname, Swaziland, Syrian Arab Republic |
| Tajikistan, Tanzania, Thailand, Timor-Leste, Togo, Tonga, Turkmenistan, Tuvalu |
| Uganda, Uruguay, Uzbekistan |
| Vanuatu, Venezuela, Vietnam |
| Yemen |
| Zambia, Zimbabwe |

(*This designation is without prejudice to positions on status and is in line with UNSCR 1244/99 and the ICI Opinion on the Kosovo declaration of independence.*)
No automatic funding for everyone!

BRIC + Industrialized Countries + High Income Countries

Participants from other countries only funded in exceptional cases:

- when provision is made in the call text (e.g. ENG-GLOB-08-2017)
- bilateral agreement (e.g. Health challenge – NIH)
- when the Commission deems it essential (case by case assessment)
Matching Funds

Countries with jointly agreed co-funding mechanism covering most or all thematic areas:
Matching Funds

Countries with jointly agreed co-funding mechanism covering **selected thematic areas:**

Australia  India  Japan
Matching Funds

Countries with co-funding by a region:

Canada  Québec

Brazil
Matching Funds

Countries without jointly agreed co-funding mechanism:

- USA
- New Zealand
### 4 ways for US researchers to participate in Horizon 2020

<table>
<thead>
<tr>
<th>I. Standard Horizon 2020 Terms</th>
<th>II. Article 143 “International Partners”</th>
<th>III. Regular 3rd party (e.g. subcontract or legal link, EU definition)</th>
<th>IV. EU-U.S. Implementing Arrangement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Considered as:</td>
<td>U.S. as International Partner - Specific third party linked to one (or more) beneficiaries</td>
<td>Third Party (linked to beneficiary either via subcontract (Art. 13) or legal link (Art. 14))</td>
<td>EU as Beneficiary - U.S. as “Research Partner” to the project</td>
</tr>
<tr>
<td>Form of funding:</td>
<td>EU funding from Horizon 2020 in exceptional cases possible and SCs</td>
<td>EU partner funded via H2020, U.S. partner brings own funding</td>
<td>Payment for service (subcontract) or funding for task possible (legal link) from linked beneficiary</td>
</tr>
<tr>
<td>Agreement with funding organisations:</td>
<td>H2020 Grant Agreement</td>
<td>No legal obligation to sign an agreement, but U.S. international partner must be named in Grant Agreement</td>
<td>EU Partner: Grant Agreement, U.S. Partner: Subcontract or legal link with beneficiary</td>
</tr>
<tr>
<td>Agreement in consortia:</td>
<td>Consortium Agreement in accordance with H2020 regulations</td>
<td>Can sign MoU or alternative agreement, U.S. partner has responsibility for specific task</td>
<td>Specific service/task (subcontract) or task (legal link 3rd party) defined in contract between H2020 partner and U.S. entity; no further information on project data than that regarding assigned service or task is provided</td>
</tr>
<tr>
<td>Form of Reporting:</td>
<td>In accordance with H2020 regulations (and via Participant Portal)</td>
<td>EU partner in accordance with H2020 regulations and can report about U.S. International Partner with U.S. in accordance with US funding organization but reports to EU partner</td>
<td>Subcontractor is paid via invoice to linked beneficiary, EU beneficiary receives money from H2020</td>
</tr>
</tbody>
</table>

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**BILAT USA 4.0** receives funding from the European Union's Horizon 2020 Programme under grant agreement No. 840468.
ARTICLE 14a — IMPLEMENTATION OF ACTION TASKS BY INTERNATIONAL PARTNERS

OPTION 1: 14a.1 Rules for calling upon international partners to implement part of the action

The following international partners may implement the action tasks attributed to them in Annex 1:

- [name of the entity (short name)], international partner of [short name of the beneficiary]
- [name of the entity (short name)], international partner of [short name of the beneficiary]
- [name for more international partners]

The costs of the international partners are estimated in Annex 2 but:

- will not be reimbursed and
- will not be taken into account for the calculation of the grant.

The beneficiaries must ensure that the Agency, the Commission, the European Centre of Auditors (ECA) and the European Anti-Fraud Office (OLAF) can exercise their rights under Articles 22 and 23 also towards their international partners.

The beneficiaries must ensure that their obligations under Articles 16, 17, 20, 30(a), 30(b), 33, 35, 36 and 38 also apply to their international partners.

14a.2 Consequences of non-compliance

If a beneficiary breach any of its obligations under this Article, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

OPTION 2: Not applicable.

International partners do not need to have a (capital or legal) link to the beneficiary (but they may have one).

Characteristics of implementation by international partners:

- International partners perform their action tasks directly. They do NOT sign the GA (and are therefore not beneficiaries).
- The beneficiary remains responsible towards the Commission/Agency for the action tasks performed by its international partner.
- International partners perform their action tasks without receiving EU funding, i.e. their costs are NOT eligible for reimbursement under the grant. Therefore, they will not be subject to financial checks, reviews or audits.

The costs of the international partners are estimated in Annex 2 (to get an overview of the overall project budget). But this is for information purposes only, the international partners are not required to report on their costs.
International cooperation "Open to the world"

Horizon 2020 is Open to the World. This means that participants from all over the world, regardless of their place of establishment or residence, can participate in most of the calls of Horizon 2020. Furthermore, in many cases, the EU will fund at least partly the participation of the international partners (see below).

Encouraging International Cooperation

In addition to this general openness of most Horizon 2020 calls to non-EU researchers, many calls particularly encourage cooperation with non-EU partners. All calls are published in bi-annual "Work Programmes" and can be found in the International cooperation topic page.
2- Targeted Actions

• R&I projects with participation from Third countries is required

• Softer form of cooperation such as networking between projects

• Joint initiatives
Targeted Actions – Joint initiatives

- **Coordinated calls**: launched and evaluated in parallel in EU and Third country
- **Joint calls**: launched, evaluated, selected and funded by EU and Third country
- Specific initiatives requiring joint funding (*ERA-NETs, JPIs, JTIs*)
- Contribution from EU to funding programmes from third countries
Thank you very much for your attention,
Martina