

UKRO Webinar

International Cooperation in Horizon Europe

UKRO webinars

- All participants **will be muted** for the duration of the webinar.
- A **chat function (for technical issues)** is available and will be monitored by colleagues
- Please use the formal **Q&A function to submit questions.**
- You can **‘up vote’ your favourite questions.**
- Any **unanswered questions should be addressed directly with individual European Advisors** after the session.
- A link to **slides and video recording will be posted on the event page** after the webinar.

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 - International Cooperation in Horizon Europe – The basics
 - The Africa Initiative
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 - Sanctions and other restrictive measures

Horizon 2020

International Cooperation - A look back

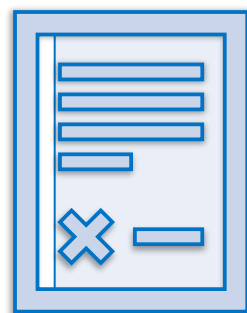
International Cooperation in H2020



Share of participation:
4,13%



Share of EU contribution
to TC participants: **0,8%**



Share of grant
agreements with at least
one TC participant: **9,23%**

Find out more about UK collaboration with non-EU countries in our dedicated [article series](#) on the UKRO Portal

International Cooperation in H2020 - Most active TCs

Country	H2020 Participations	%	H2020 Net EU Contribution	%
United States	2,011	28.7%	€ 129,449,126	25.8%
China	606	8.6%	€ 5,081,429	1.0%
Canada	459	6.5%	€ 15,988,376	3.2%
Australia	355	5.1%	€ 11,454,761	2.3%
South Africa	297	4.2%	€ 57,746,298	11.5%
Brazil	251	3.6%	€ 15,549,467	3.1%
Argentina	237	3.4%	€ 9,171,943	1.8%
Japan	218	3.1%	€ 5,323,486	1.1%
Russia	213	3.0%	€ 14,011,820	2.8%
India	190	2.7%	€ 4,242,500	0.8%
Chile	148	2.1%	€ 8,787,907	1.8%
Kenya	130	1.9%	€ 28,925,979	5.8%
South Korea	115	1.6%	€ 2,441,388	0.5%
Colombia	94	1.3%	€ 8,789,976	1.8%
Mexico	92	1.3%	€ 1,074,554	0.2%
Morocco	84	1.2%	€ 6,848,132	1.4%
Taiwan	84	1.2%	€ 904,617	0.2%
New Zealand	75	1.1%	€ 2,636,419	0.5%

Horizon Europe

Global Approach to Research & Innovation

Global Approach to Research & Innovation

- [Published](#) in May 2021
- Underpins international dimension of Horizon Europe
- Through it, the EU plans to take a leading role in supporting international R&I partnerships and in delivering innovative solutions to green, digital, health and innovation challenges.
- Identifies countries (USA, China, Canada...) and regions (African Union, LAC, ASEAN) of particular importance EU's cooperation in R&I.

WHAT IS THE AIM OF THE GLOBAL APPROACH TO RESEARCH AND INNOVATION (R&I)?

To preserve openness in research and innovation international cooperation while promoting a level playing field and reciprocity underpinned by fundamental values.

To strengthen multilateral partnerships to deliver new solutions to green, digital, health and innovation challenges.



Global Approach to Research & Innovation – Guiding principles

Commitment to openness and values in research & innovation

- Researchers and innovators should be free to operate within a supportive environment based on values and principles such as academic freedom, research ethics and the respect of human rights.

Pursuit of a level playing field and reciprocity

- Balanced approach to better safeguard EU interests, values and boost its resilience, while maintaining wide openness to cooperation.

Pooling global efforts to tackle global challenges

- Global cooperation is necessary to tackle effectively global challenges such as pandemics, or the climate and biodiversity crises.

Modulating cooperation with third countries

- Based on mutual and EU interests, levels of reciprocity, a level playing field, and the respect for fundamental rights and shared values.

Horizon Europe - Implementation of the Global Approach



The most internationally open research programme in the world



Association possible for countries anywhere in the world, based on criteria



Accelerate sustainable development in low & middle-income countries



Strategically targeted actions



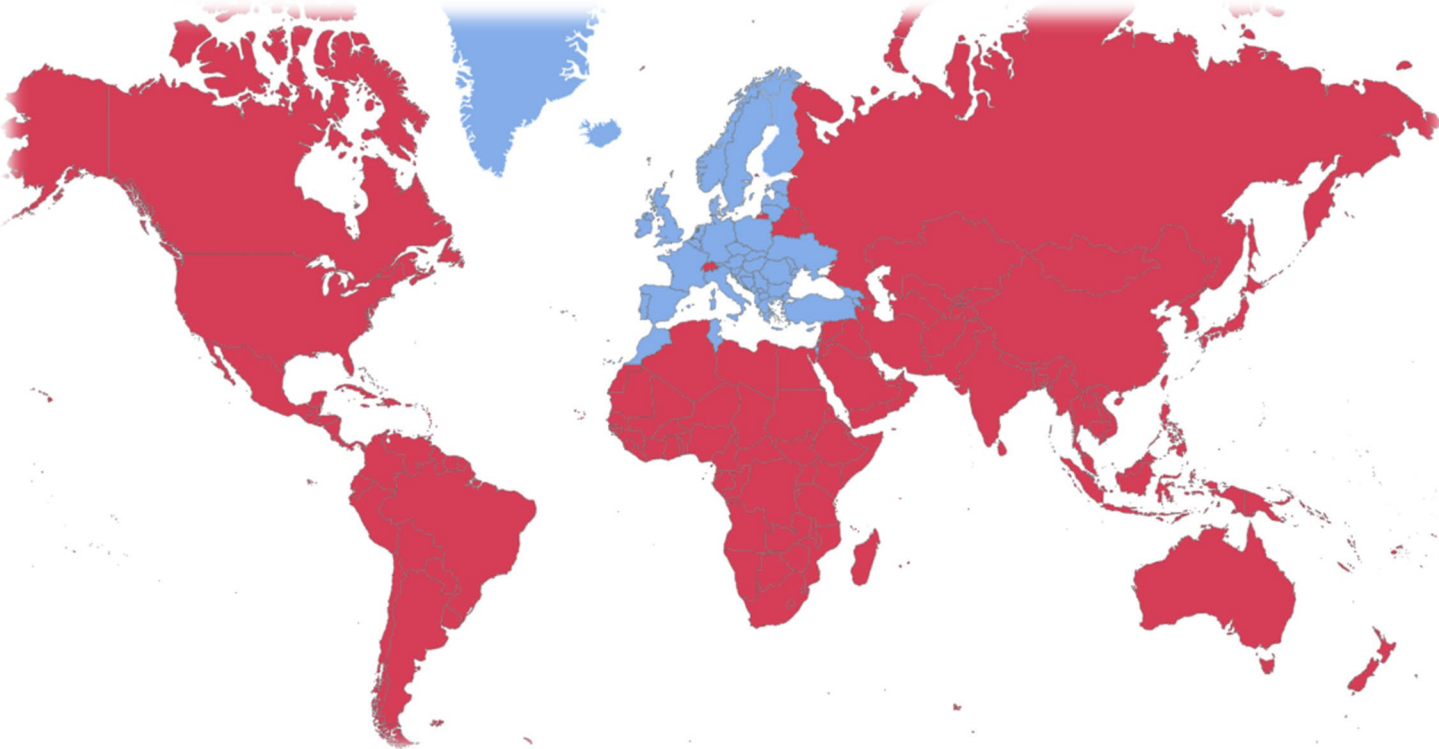
Safeguarding EU interests

International Cooperation

The basics

What is international cooperation?

- In Horizon Europe, international cooperation refers to collaboration with organisations based in the so-called 'third countries' (that are neither EU Member States nor Associated Countries).



International Cooperation in Horizon Europe

General openness of Horizon Europe to international participation

- Like in H2020, there is no part dedicated solely to International Cooperation – INCO is a cross-cutting priority
- In principle, entities from all over the world can take part in Horizon Europe collaborative projects
- Researchers and innovators of any nationality can apply for mono-beneficiary grants (e.g. ERC, MSCA)



Targeted international cooperation actions

- Actions flagged on F&T Portal as being specifically relevant for international cooperation
- Targeted actions with key partners on strategic thematic areas



International Cooperation in 2021/2022

- **More than 200 call topics** are particularly relevant for international cooperation. This is around 25% of total number of topics
- **Around 85 call topics** target (encourage or, in few cases, require) cooperation with specific third countries or regions
- Most often targeted geographies are **Africa, Japan, USA, Canada, South Korea, Australia, China, India, the LAC region and the southern Mediterranean**
- New €350 million transversal '[Africa Initiative](#)' – collection of topics that focus on collaboration with African countries in four priority areas

Who is eligible for funding?

- The [Programme Guide](#) includes a list of countries eligible for funding.



EU Member States and their OCTs

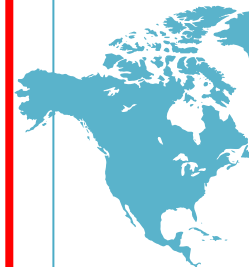


Associated Countries



Third Countries: Most [Low and Middle Income Countries](#) (except for BRIC, Mexico, Chile, etc.)

Automatically eligible to receive EU funding



Third countries: Developing economies (BRIC, Mexico, Chile...) and industrialised countries

Funding only in exceptional cases

Changes to the list of eligible countries

Removed from the list

- American Samoa, Chile, Mauritius, Palau, Panama, Seychelles, St. Kitts and Nevis and Uruguay.

Added to the list

- Equatorial Guinea

Moved to the group of countries associated to Horizon Europe

- Kosovo, Morocco and UK

H2020: National funding programmes for TCs not eligible for EU funding

- Countries with jointly agreed co-funding mechanism covering most or all thematic areas: [China](#), [Hong Kong & Macao](#), [Republic of Korea](#), [Mexico](#), [Russia](#), [Taiwan](#), [Brazil](#), [Canada](#)
- Countries with jointly agreed co-funding mechanism covering selected thematic areas: [Australia](#), [India](#), [Japan](#)
- Countries with co-funding by a region: [Canada \(Quebec\)](#)
- Countries without jointly agreed co-funding mechanism: [New Zealand](#), [USA](#)

Currently no information about similar mechanisms in Horizon Europe

NEW! Organisations from TC without EU funding

- Option for beneficiaries not receiving EU funding discontinued.
- Only organisations eligible for funding can be beneficiaries. In all other cases, they will need to be third parties.
- Organisations from third countries not eligible for funding will need to become Associated Partners, unless they are exceptionally eligible to receive Horizon Europe funding in the following cases:

Funding is exceptionally provided under a bilateral agreement (currently only EU-US agreement for Cluster 1 'Health')

The WP (call/topic text) explicitly mentions such possibility; or

The Commission deems the participation of an organisation essential for the project because it can provide access to critical expertise, data, infrastructures, or geographical areas.

Including organisations from ineligible TC in projects

Is the organisation based in an eligible TC mentioned in the Programme Guide?



Does the Work Programme (call/topic text) explicitly mention exceptional funding for this country/organisation?



Is the organisation based in the USA and is it applying for funding under one of the Cluster 1 calls?



Is the organisation's participation essential for the project (e.g. access to data, expertise, etc.) and does it require funding?



If YES to any question: Can be beneficiary.

If NO to all questions: Must be Associated Partner

Including organisations from ineligible TC in projects – Budget table

			Estimated expenditure							Estimated income						
										Requested EU contribution			Revenues	Other sources of financing		Total estimate d income
			Estimated eligible costs							EU contribution to eligible costs			Income generated by the action	Financial contributions	Own resource s	
										A. Personnel costs/€ (a1)	B. Subcontracti ng costs/€ (b)	C. Purchase costs				
No	Participant name	Country			C.1 Travel and subsistence/€ (c1)	C.2 Equipm ent/€ (c2)	C.3 Other goods, works and services /€ (c3)								(s)=(n) +(o)+(p)+ (q) + (r)	
1	Participant 1	NL														
2	Participant 2	LB														
	Affiliated Entity	LB														
3	Participant 3	DE														
	Associated Partner	AR														
Total																

Restrictions on participation

- The Work Programme can restrict participation of organisations based in countries that are not EU MS/AC.
- Such restrictions existed already in Horizon 2020 and continue in the new programme, for example, in the EIC Accelerator scheme or ERC frontier research grants.

Restrictions on participation of organisations based in third countries



- **NEW in Horizon Europe!**
- The Work Programme can exclude organisations based in AC from certain calls for proposals to protect the Union's strategic assets, interests, autonomy or security.
- This is quite exceptional and can be done only in duly justified cases.

Restrictions on participation of organisations based in certain Associated Countries



- **NEW in Horizon Europe!**
- To protect the Union's strategic assets, interests, autonomy or security, the Work Programme may also exclude from individual calls for proposals organisations based in EU MS/AC, if they are directly or indirectly controlled by third countries or by legal entities from such third countries.

Restrictions on participation of organisations based in EU Member States/Associated Countries, but controlled by other countries



Most restrictions in CL3 (Security) and CL4 (Digital, Industry and Space).

NEW: Declaration of Ownership and Control

- Required for organisations (beneficiaries, affiliated entities, subcontractors, etc.) participating in a bid where restrictions on participation of organisations based in EU Member States/Associated Countries, but controlled by other countries apply.
 - Exception! Public bodies (automatically considered as controlled).
- Includes a number of questions about the ownership structure and corporate governance, as well as commercial/financial links with other organisations that could constitute control over the entity.
- Must be submitted by the coordinator as part of the application (collated into a single file).

OWNERSHIP CONTROL DECLARATION

To be filled in by the project participants as part of the application. All declarations must be assembled by the coordinator and uploaded in a single file in the Portal Submission System.

For EDF, associated partners do not have to submit the declaration; for all other programmes, all participants (beneficiaries, affiliated entities, subcontractors and associated partners) must fill out the form. Entities that are validated as public bodies by the Central Validation Service do not have to fill in the form but will automatically be considered as controlled.

Supporting documents do not have to be provided at application stage, but will be requested later on. You will receive a notification asking you to upload the documents to your PIC account in the Portal Participant Register (My Organisation > Modify Organisation > Documents > + > New document > document type 'Ownership/Control').

⚠ The supporting documents should reflect the situation at the moment you sign this declaration. Please be aware that additional evidence may also be requested later on, in case there are open questions about your ownership/control status.

⚠ Please note that the information in this declaration may be reused in case you apply to other EU calls that have ownership/control restrictions.

DECLARATION OF OWNERSHIP AND CONTROL

Participant

Legal name: _____

PIC: _____

Legal Registration Number: _____

Place of establishment: (country of registration; full address) _____

Headquarters

Location of global headquarters/head office: (full address) _____

Location of the executive management structure: (if different from the location of global headquarters/head office; full address) _____

'Executive management structure' means a body appointed in accordance with national law, and, where applicable, reporting to the chief executive officer, which is empowered to establish the strategy, objectives and overall direction, and who oversees and monitors management decision-making.

Listed, subsidiary or controlled

Supporting documents: report/minutes of the last three shareholders meetings, for each of the listed companies.

Are you listed on a stock exchange? Yes/No _____

Are you a subsidiary of a listed company? Yes/No _____

Are you controlled by a listed company? Yes/No _____

If the reply is YES to any of these three questions, please provide:

Which stock exchange? _____

Legal name of the listed company _____

Share of the float in the total outstanding shares: _____

Horizon Europe

Africa Initiative

Africa Initiative in Work Programme 2021/22

- Immediate outcome of the first ever EU-AU R&I Ministerial Meeting (July 2020).
- Will strengthen long-term cooperation in finding solutions to enhance global public health, socio-economic development and recovery from the COVID-19 pandemic.
- +30 topics worth €350 million focused on EU-Africa R&I cooperation, responding to four joint policy priorities:



Public Health



Green Transition



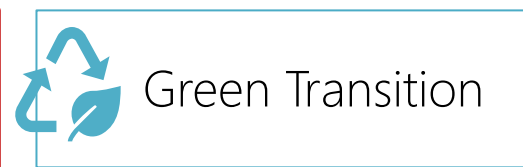
Innovation &
Technology



Capacities for
Science

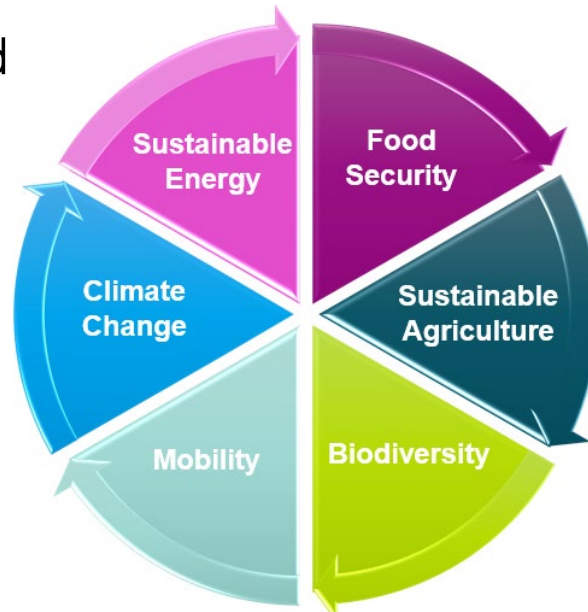
Africa Initiative in Work Programme 2021/22

- Research on poverty-related diseases (CL1)
- EDCTP3: EU–Africa Global Health Partnership proposal
 - Evolution from a public-public to a public-private partnership
 - Proposed EU contribution €800 million, plus leverage of €400 million expected from other sources

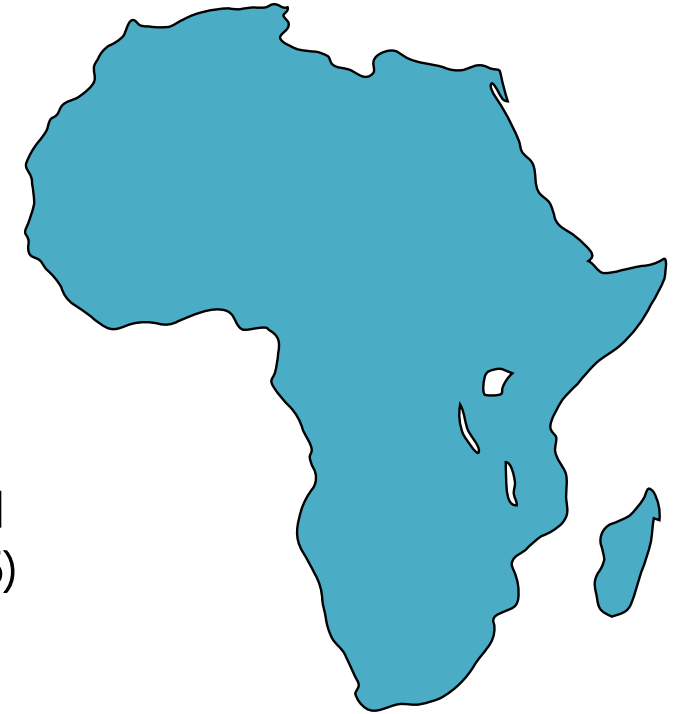


Africa Initiative in Work Programme 2021/22

Climate change and sustainable energy (CL 3-5)



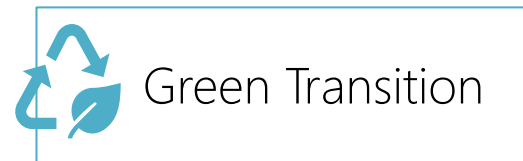
Food, Nutrition Security and Sustainable Agriculture (CL6)



Africa Initiative in Work Programme 2021/22

Examples of R&I areas:

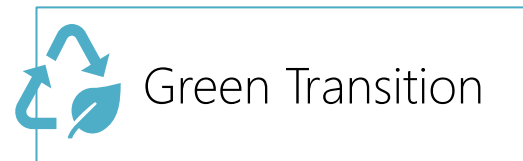
- Raw materials value chains (CL4)
- Research infrastructures (RI)
- Support to Innovation Partnerships (Widening)



Africa Initiative in Work Programme 2021/22

Examples of R&I areas:

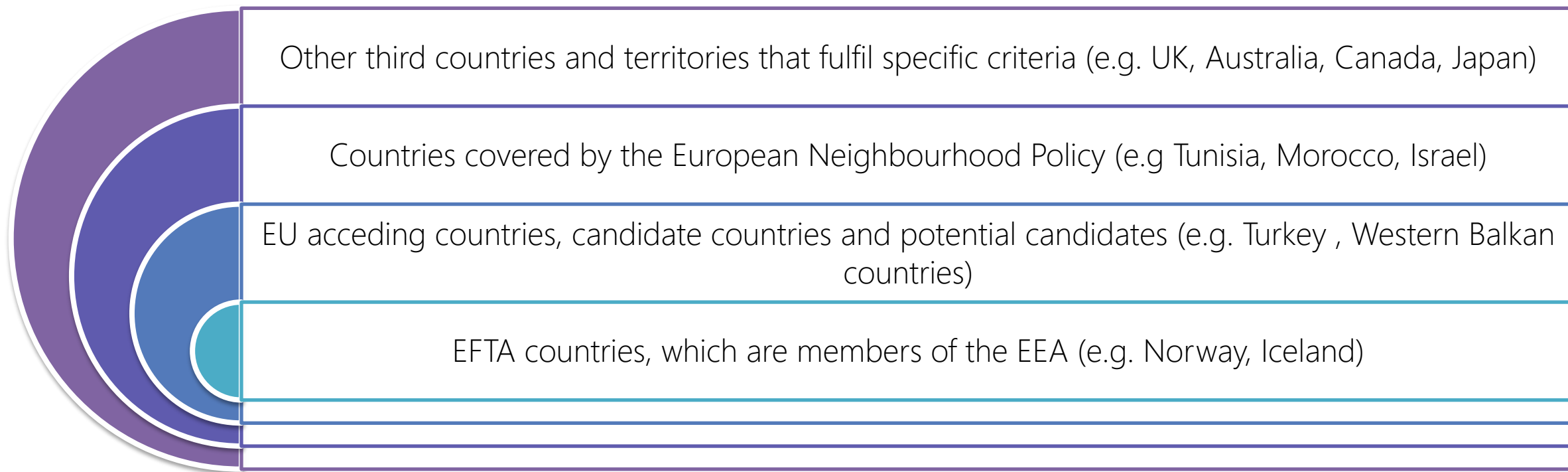
- Global governance (CL2)
- Public policies for sustainable development (CL2)
- Research ethics & new technologies (Widening)



Horizon Europe

Association of non-EU countries

Association policy



- Allows for association of any country in the world, if it shares EU values and has good R&I capacity.
- Exact modalities of association (payments, scope, etc.) will be agreed individually with each country.

(Candidate) Associated Countries

Horizon 2020

- Albania, Armenia
- Bosnia and Herzegovina
- Faroe Islands, Georgia
- Iceland, Israel
- Moldova, Montenegro
- North Macedonia, Norway
- Serbia, Switzerland
- Tunisia, Turkey
- Ukraine

Horizon Europe

- **Previously associated to Horizon 2020**

Albania, Armenia, Bosnia and Herzegovina, Faroe Islands, Georgia, Iceland, Israel, Moldova, Montenegro, North Macedonia, Norway, Serbia, Tunisia, Turkey, Ukraine.

- **New Associated Countries**

Kosovo, Morocco, United Kingdom

- **Previously associated to Horizon 2020, but currently not associated to Horizon Europe**

Switzerland

(Candidate) Associated Countries – State of play

Agreement signed and ratified

- Iceland, Norway

Agreement signed and pending ratification

- Armenia, Moldova, Turkey, Ukraine

Negotiations concluded; agreement pending signature

- Albania, Bosnia and Herzegovina; Faroe Islands, Georgia, Israel, Kosovo, Montenegro, North Macedonia, Serbia, Tunisia, UK

Negotiations ongoing

- Morocco

Exploratory talks

- Canada (at least two rounds have already taken place following a recent summit in Brussels)

Negotiations stopped

- Switzerland

Current situation of Switzerland in Horizon Europe

- See [UKRO's article](#) for latest information.
- Switzerland will be **treated as a non-associated third country** for the submission of project proposals in Horizon Europe and other related programmes and initiatives.
- Swiss Government (SERI) will provide funding for Swiss participants in projects.
- 'Associated Partner' is the default status for Swiss organisations not receiving EU funding on collaborative projects.
- Detailed advice on Swiss participation in MSCA projects is available from [Euresearch](#).



Horizon Europe

Sanctions and other restrictive measures

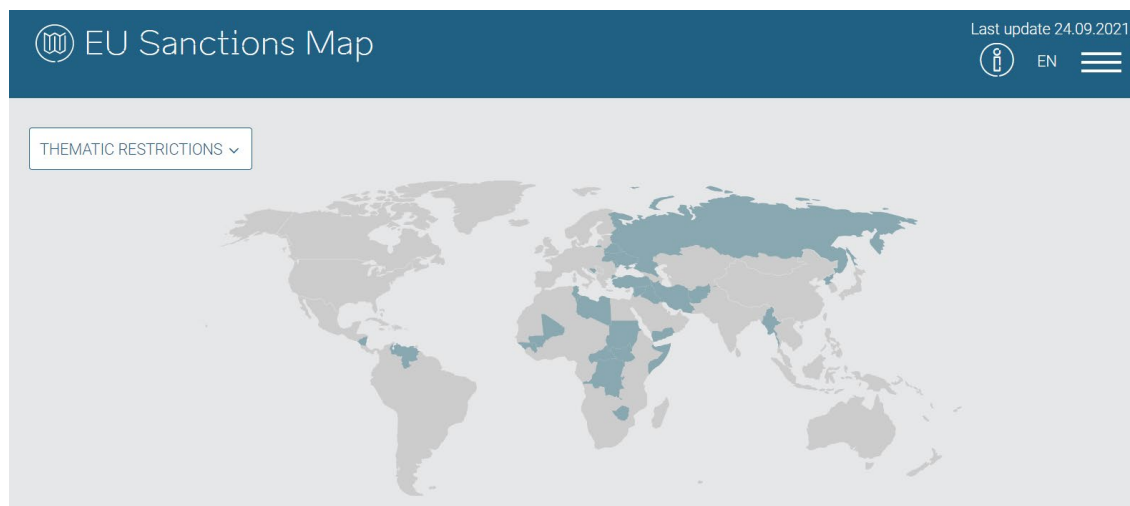
Sanctions in Horizon Europe

- Organisations and individuals subject to EU financial sanctions are precluded from participating in Horizon Europe projects as both beneficiaries and third parties:
- *"...entities subject to [EU restrictive measures](#) under Article 29 of the Treaty on the European Union (TEU) and Article 215 of the Treaty on the Functioning of the EU (TFEU)¹¹ and entities covered by Commission Guidelines [No 2013/C 205/0512](#) are NOT eligible to participate in any capacity in Horizon Europe actions..."*

p.14 of the [Horizon Europe Programme Guide](#)

- This applies to both beneficiaries, as well as third parties such as affiliated entities, associated partners, third parties providing in-kind contributions, subcontractors or even recipients of financial support to third parties (EU funding is cascaded by the beneficiaries through competitions, etc.)

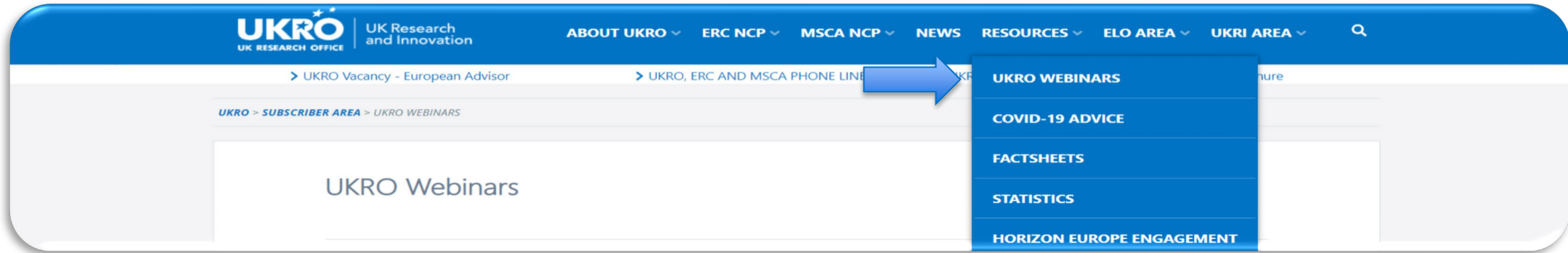
Sanctions in Horizon Europe - Responsibilities of the applicants



- When preparing an application for a project with non-EU countries, the applicants should consult the [EU Sanctions Map](#) and other official EU documents to ensure that none of the entities/individuals engaged in the future Horizon Europe project is subject to EU financial sanctions.
- Also check for other types of sanctions that apply to a particular country (e.g. export of dual use goods, etc.)

Thank you

Upcoming UKRO webinars



- [ERC 2022 Proof of Concept Call: Virtual Q&A](#)
 - Thursday 18 November (10:00 – 12:00 GMT)
- [Gender Equality Plans in Horizon Europe](#)
 - Thursday 2 December 2021 (10:00-12:00 GMT)
- [How to Mobilise for EU Missions In Horizon Europe](#)
 - Thursday 9 December 2021 (10:00-11:00 GMT)