

Horizon Europe: UK Participation and UK Horizon Europe Guarantee Scheme

Slides happily shared!

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UK Research
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Horizon Europe and UK Association Process

- [Horizon Europe](#) is the EU's Research and Innovation funding programme and runs from 2021-2027
- Horizon Europe has an [agreed budget of €95.5Bn](#) plus Associated Country contributions (Associated Countries are Countries that have signed an agreement with the EU which means that organisations from the Associated Country can receive Horizon Europe funding, and take part in and coordinate projects)
- In Dec 2020, the [UK-EU Trade and Cooperation Agreement \(TCA\)](#) set out that the **UK will Associate to Horizon Europe**
- However, there have been some delays and **the UK association has not been completed yet**
- **The UK is currently a 'candidate Associated Country'** and is listed as a country in the process of association in the European Commission's [List of Participating Countries in Horizon Europe](#)
- On 24 March the UK and EU formally adopted the 'Windsor Framework' on the Northern Ireland protocol
 - The [UK government press release](#) includes "The UK will continue to work with the EU in a range of areas including research collaboration"
 - The [UK-EU joint statement](#) includes "Union Programmes: They noted the openness of both sides to take forward discussions on association in the coming weeks"
- The timing for the next steps is not known



What will UK Association Mean?

- UK entities will have **equivalent participation rights** to those from Member States
 - **Only two very rare** exceptions:
 - The equity fund part of the European Innovation Council (EIC) Accelerator, as the UK decided not to take part in this. The UK can still take part in the rest of the EIC, including the grants part of the EIC Accelerator.
 - Work Programme level exclusions occasionally occur but only in exceptional and justifiable cases (e.g. some security, space and quantum call topics)
- UK entities **can participate in and lead projects as coordinator**
(currently whilst the UK is a candidate Associated Country: UK can coordinate on proposals, but can not coordinate at the award stage)
- UK organisations will **receive funding from Horizon Europe**

Status of UK Association and UK Guarantee (as at 27 March 2023)

- The UK is currently a ‘candidate Associated Country’ in the process of association to Horizon Europe
- **At the Horizon Europe application stage:** As stated in the [European Commission’s Q&A on UK Participation in Horizon Europe](#) UK organisations are fully eligible to APPLY for Horizon Europe funding as a beneficiary as if they are from an Associated Country. **UK organisations must request EU funding on the Horizon Europe Proposal.** UK organisations can be coordinator on proposals. UK organisations can lead work packages and tasks.
- **At the Horizon Europe award stage:**
 - **If the UK association has been completed by then:** UK organisations will be funded by the European Commission for the amount requested in the original Horizon Europe Proposal. UK organisations can coordinate projects. UK organisations can lead work packages and tasks.
 - **If the UK association has not been completed by then:**
 - **UK organisations can continue in consortium to do the work outlined in the proposal.** UK organisations **can** lead work packages and tasks. UK organisations **cannot** be the coordinator, so if the proposal had a UK coordinator, a different coordinator would need to be assigned.
 - UK organisations change status to ‘associated partners’ in the EU consortium. UK organisations do not sign the Grant Agreement, but can (and normally do) sign the Consortium Agreement. UK organisations don’t count towards the eligibility conditions for the minimum number of countries in a Horizon Europe project.
 - **UK organisations will not (normally) be funded by the European Commission.**
 - **The UK government has [guaranteed funding](#) for successful applicants to Horizon Europe,** who are unable to sign grant agreements with the EU prior to formalisation of the UK’s association to the programme. The guarantee is currently for proposals with a Horizon Europe submission deadline before the end of June 2023. For those applying with later deadlines, please note that the scope of the guarantee is regularly reviewed, and the UK government has repeatedly made an overarching commitment* that there will be no gap for UK organisations which are part of successfully evaluated Horizon Europe proposals. There is no further peer review for the UK Guarantee because the European Commission has reviewed the proposals already. As at 2 March 2023 [over 1,763 UK Horizon Europe Guarantee Grants have been issued worth >£882 million.](#)



It is a requirement of the UK Guarantee that UK applicants have been included on the original Horizon Europe grant proposal as a ‘beneficiary’ requesting funding from Horizon Europe with a defined budget

*[Horizon Europe Guarantee scheme extension to support UK R&D](#) (Mar23) & [UK Government Research and Development Roadmap](#) (p43) & [UK Government Policy Paper](#) (Jul22)

Useful European Commission Guidance on UK Participation

The [European Commission's Q&A on UK Participation in Horizon Europe](#)

confirms **UK eligibility to apply to Horizon Europe** prior to formalisation of the UK Association and states:

“The UK is expected to become an associated country to...Horizon Europe. The UK will therefore have the same rights and obligations as other countries associated to the Programme.”

“UK applicants are treated as if the UK is an associated country throughout the process, from admissibility and eligibility to evaluation, up until the preparation of grant agreements.”

(UK NCP comment: **This means that UK organisations can and should request funding on Horizon Europe proposals**)

“However, grant agreements can only be signed if the association has come into force. The same treatment is also granted to any applicants from other associated countries currently engaged with the European Commission in an active process of association.”

Useful UK Government Documents

UK Government Research and Development Roadmap (July 2020, page 43)

- “During any gap, we would provide funding to UK partners who are successful in bidding to programmes open to third country participation”
- “If we do not formally associate to Horizon Europe... We will make funding available to allow UK partners to participate in European schemes open to third countries”

UK Government Policy Paper (July 2022)

- “the **Horizon Europe Guarantee** – If we are unable to associate, we will fund applications that are submitted to a Horizon Europe funding call with an EU final call deadline date before the point of non-association, are successful in the EU evaluation and meet the eligibility criteria of the guarantee. This includes those where grant signature dates fall beyond the end of 2022. This would pick up where the current guarantee has left off, so there is no gap, and no eligible successful applications would go unfunded”
- “**Third Country* Participation** - Around two-thirds of Horizon Europe calls are open to UK researchers and companies as Third Country applicants, as part of consortia with at least 3 other applicants from EU member states or associated countries, provided they bring their own funding. As this is a priority for businesses and researchers, **the government will fund all eligible UK entities participating in any such consortia signing grant agreements before 31 March 2025**. The government will consider our approach to funding for Third Country Participation beyond this date and make an announcement by October 2024”

Horizon Europe Guarantee scheme extension to support UK R&D (6 March 2023)

- “The extension will ensure that eligible, successful UK applicants will continue to be guaranteed funding, supporting them to continue their important work in research and innovation. **The guarantee will be in place to cover all Horizon Europe calls that close on or before the end of June 2023**. Eligible, successful applicants to Horizon Europe will receive the full value of their funding at their UK host institution for the lifetime of their grant.”
- “Last year, the government set out details of **transitional measures**, which will be implemented in the event the measures need to be pursued. **The publication confirmed that transitional measures would pick up where the current guarantee has left off, so there will be no funding gap, and no eligible successful applications would go unsupported.**”

The UK and EU formally adopted the ‘Windsor Framework’ on the Northern Ireland protocol (24 March 2023)

- **UK government press release** includes “The UK will continue to work with the EU in a range of areas including research collaboration”
- **UK-EU joint statement** includes “EU Programmes: They noted the **openness of both sides to take forward discussions on association in the coming weeks**”

*A Third Country is a country that is not an EU Member State or Associated Country

Tips

- **UK organisations should continue to apply as a beneficiary from an Associated Country (not an Associated Partner) and ask for money from the European Commission (EC) on their Horizon Europe Proposals**

It is important that UK organisations request EC funding on Horizon Europe Proposals for two reasons:

- **If the UK does associate by the time the consortium reaches the award stage**, then EC will fund the UK organisation the amount of money requested on the proposal.
 - ⚠ If the UK organisation has not requested any money on the original Horizon Europe proposal, the UK organisation will not get EC funding!
- **If the UK association is not complete by the time the consortium reaches the award stage**, the UK organisation can apply to the UK guarantee. The maximum grant from the UK guarantee is normally the amount of EC funding requested on the original Horizon Europe proposal.
 - ⚠ If the UK organisation has not requested any money on the original Horizon Europe proposal, then they will not be eligible for the UK government guarantee and will not get UK government funding!
- **Coordination:** UK organisations can be coordinator at the application stage. However if the UK association is not formalised by the award stage the (admin) coordination would need to be passed to a different participant. Applicants may wish to have a back-up plan for which non-UK organisation would take over (admin) coordination if needed. The UK can still lead scientific work/work packages and tasks.
- **Eligibility Criteria:** At the Horizon Europe application stage UK organisations count towards the minimum eligibility requirements. However if the UK association is not formalised by the award stage the UK would not count towards the minimum requirements. **Therefore suggest consortia have 1 MS + 2 MS or non-UK AC without needing to count the UK.**

UK Success in Horizon Europe Health Cluster

2021 Health Calls

- **~105 successful participations** (~8% of total successful participations for all countries)
- **~ €61 million to UK proposals on 'main list'** (~8% of total budget for all countries)

2021 & 2022 Health Calls*

- **22% success rate for proposals with UK participants** (higher than 18% success rate across all proposals)

Most Important Points To Remember...

- UK applicants and their collaborators should keep applying to Horizon Europe
- On Horizon Europe proposals UK organisations should:
 - be treated as a beneficiary from an Associated Country
 - must request funding from the EU/Horizon Europe
- Horizon Europe evaluation is not affected by the current situation
 - The European Commission and evaluators treat the UK as an Associated Country during the application and evaluation process
 - For the 2021 and 2022 Health Calls: 22% success rate for proposals with UK participants* (higher than 18% success rate across all proposals)
- The UK government has [guaranteed funding](#) for successful applicants to Horizon Europe

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Thank you



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Questions?

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