

HORIZON EUROPE -INTERNATIONAL COOPERATION-

Ralf König

FFG – Austrian Research Promotion Agency
Department European and International Programmes

International Cooperation in Horizon Europe

Content

- **Openness of Horizon Europe for participation of third countries**
- **Association of third countries to Horizon Europe**
- **Access of third countries to Horizon Europe funding**
- **Co-funding mechanisms (CFM) by third countries**
- **Performance (statistics & projects) of selected third countries in EU framework programmes**
- **Information sources**

International Cooperation in Horizon Europe

Openness of Horizon Europe

HORIZON EUROPE // 2021 - 2027 // €95.5 billion

- The most internationally open research programme in the world.
- A unique international R&I funding programme of such scale and scope.
- Actively encourage international cooperation.
- Strategically targeted actions with key partners (countries & regions).
- Association to Horizon Europe is possible for countries anywhere in the world, but based on (certain and strict) criteria.
 - *Association of a third country to Horizon Europe is not a prerequisite for participation in the programme*
 - *Associated Countries benefit more or less in the same way as EU Member States*
- Restriction for participation of third countries in exceptional cases, for actions related to Union strategic assets, interests, autonomy or security.

International Cooperation in Horizon Europe

Openness of Horizon Europe

General openness to international participation

- Entities in almost all countries of the world can take part in collaborative R&I projects.
- Almost any project consortium can include a third country partner (with or without EU-funding).
- Opportunities for researchers of all nationalities and legal entities globally.
Researchers and innovators of any nationality can apply for individual grants (Marie Skłodowska Curie Fellowships, ERC Grants).
- Entities from almost all low-middle income countries (LMIC) are automatically eligible for funding.

Targeted international cooperation actions

- Strategically targeted actions specifically relevant for international cooperation.
- Targeted actions with key partners (countries & regions) on specific thematic areas.

International Cooperation in Horizon Europe

Basics

- Horizon Europe continues to encourage and stimulate cooperation with non-EU countries.
- Horizon Europe is one of the key instruments to implement Europe's strategy for international cooperation in a changing world: “*The Global Approach to Research and Innovation*”.
- Most Horizon Europe calls (or call topics) are open to participants from non-EU countries (non-associated third countries).
- However in some calls (call topics) participation from non-EU countries can be limited in order to safeguard the EU’s strategic assets, interests, autonomy or security.
- Limitations or conditions may also be applicable to the participation of legal entities established in an eligible country but which are controlled directly or indirectly by an ineligible country [Horizon Europe Regulation: Article 22(5)].

International Cooperation in Horizon Europe

Basics

- Horizon Europe also includes targeted actions with key partners from non-EU countries, including (e.g.) the development of the Africa initiative that will draw on topics across the clusters of pillar II of Horizon Europe.
 - 396 call topics (300 closed, 32 open, 64 forthcoming) on the “Funding & tender opportunities” portal are **addressing international cooperation**
 - 74 call topics (55 closed, 8 open, 11 forthcoming) on the “Funding & tender opportunities” portal are **addressing cooperation with Africa**
 - 37 call topics (19 closed, 3 open, 15 forthcoming) on the “Funding & tender opportunities” portal are addressing cooperation with the Mediterraneans
- International cooperation opportunities are also offered by the Horizon Europe Partnerships & Missions.

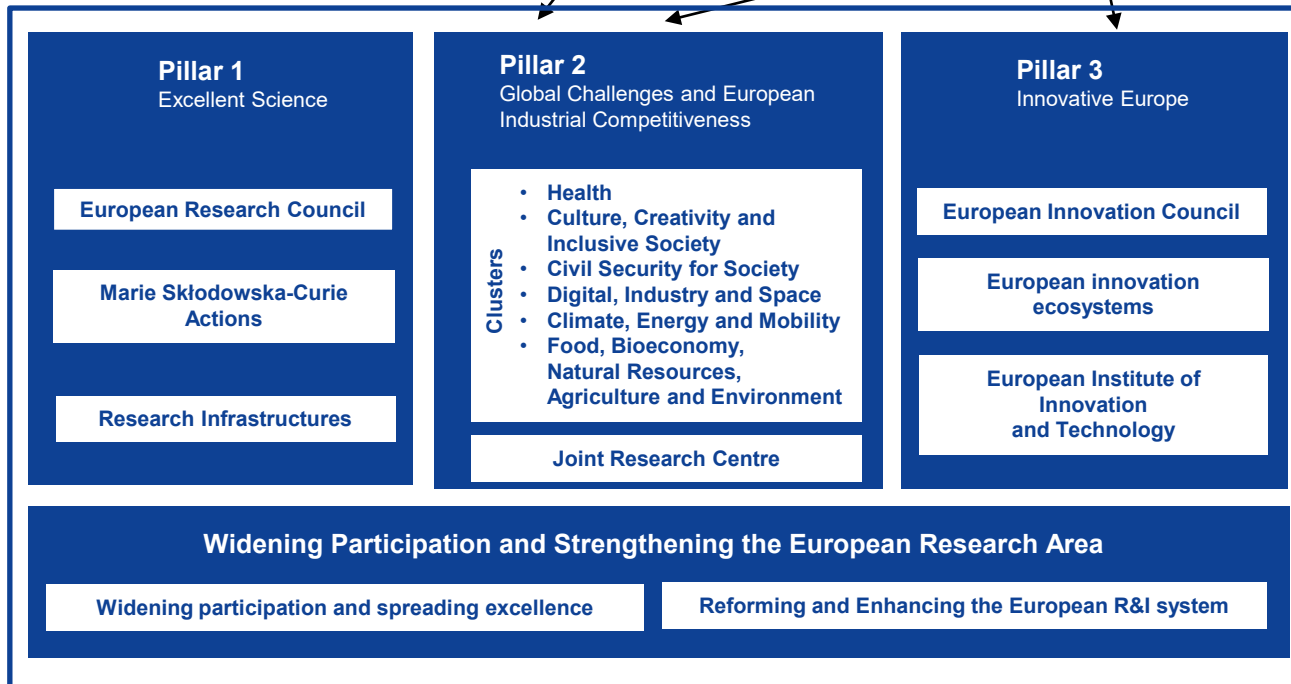
International Cooperation Opportunities in Horizon Europe

EU-Missions

- Adaptation to climate change
- Cancer
- Ocean and waters
- Climate-neutral and smart cities
- Soil

EU-Partnerships

- Co-programmed
- Co-funded
- Institutionalised



International Cooperation in Horizon Europe

Association to Horizon Europe

- **Association to Horizon Europe** is covered in the [Horizon Europe Regulation 2021/695](#)
- **Association is the closest form of cooperation** in R&I for non-EU countries
(legal entities from associated countries can participate under equivalent conditions as legal entities from the EU Member States, unless specific limitations or conditions are laid down in the work programme and/or call/topic text)
- Participation in the world's largest R&I programme (EUR 95.5bln) **on equal terms with entities of EU Member States**
- **For the first time, any like minded country with strong R&I capacity** (and shared common values with Europe) can associate (e.g. [New Zealand](#); further will follow)
- **Associated countries' entities are eligible for funding and can coordinate projects**
- Access to European partnerships
- Participation in programme governance structure and in discussions on priority topics for different calls in (as members/observers in the Programme Committees)
- Benefit from support services, e.g. the network of **National Contact Points (NCPs)**

Association to Horizon Europe

Four categories^[1] of countries eligible for association

a) Members of the European Free Trade Association (EFTA) which are Members of the European Economic Area (EEA)

→ Iceland, Liechtenstein and Norway (**but not Switzerland!**)

b) Accessing Countries, Candidate Countries* & Potential Candidates**

* Albania, Bosnia and Herzegovina, Moldova, Montenegro, North Macedonia, Serbia, Turkey, Ukraine

** Georgia, Kosovo (designation is without prejudice to positions on status, and is in line with UNSCR 1244/1999 and the ICJ Opinion on the Kosovo declaration of independence)

c) European Neighbourhood Policy (ENP) Countries

Eastern Partnership: Armenia, Azerbaijan, Belarus, Georgia, Moldova, Ukraine

Southern Neighbourhood: Algeria, Egypt, Israel, Jordan, Lebanon, Libya, Morocco, Palestine, Syria, Tunisia

[1] Horizon Europe Regulation | Article 16 - Third countries associated to the Programme

Association to Horizon Europe

Four categories of countries eligible for association

- d) (Other) third countries and territories that fulfil a set of criteria related to their economic, political and research and innovation systems:**
- a good capacity in science, technology and innovation;
 - commitment to a rules-based open market economy, including fair and equitable dealing with intellectual property rights, respect of human rights, backed by democratic institutions;
 - active promotion of policies to improve the economic and social well-being of citizens.

Association to Horizon Europe

Association agreements which have started to produce legal effects

Country Category Horizon Europe Regulation (EU) 2021/695	Horizon Europe Association Agreements Status					
	Exploratory Talks (Exp.)	Negotiations Ongoing (Ongoing)	Negotiations Concluded (C)	Signed (S) Adopted (A)	Provisional Application (PA)	Entry into Force (F)
(a) EEA/EFTA States						
Iceland				A: 24 September 2021		F: 24 September 2021
Norway				A: 24 September 2021		F: 24 September 2021
(b) Acceding Countries, Candidate Countries and Potential Candidate Countries						
Albania			C: 06 September 2021	S: 10 February 2022		F: 30 May 2022
Bosnia and Herzegovina			C: 17 September 2021	S: 22 December 2021	PA: 11 January 2022	
Kosovo*			C: 30 July 2021	S: 06 December 2021		F: 24 February 2022
Montenegro			C: 6 September 2021	S: 06 December 2021		F: 06 December 2021
North Macedonia			C: 30 August 2021	S: 06 December 2021	PA: 10 December 2021	
Serbia			C: 7 September 2021	S: 06 December 2021	PA: 06 December 2021	
Turkey			C: 25 August 2021	S: 27 October 2021		F: 18 November 2021
(c) European Neighbourhood Policy Countries						
Armenia			C: 16 September 2021	S: 10 November 2021		F: 11 February 2022
Georgia			C: 17 September 2021	S: 07 December 2021	PA: 07 December 2021	F: 01 February 2022
Israel			C: 08 October 2021	S: 06 December 2021		F: 06 December 2021
Moldova			C: 10 September 2021	S: 27 October 2021	PA: 27 October 2021	F: 16 December 2021
Morocco		Ongoing				
Tunisia			C: 01 October 2021	S: 29 March 2022		F: 09 June 2022
Ukraine			C: 31 August 2021	S: 12 October 2021		F: 09 June 2022
(d) Other Third Countries and Territories						
Faroe Islands			C: 08 October 2021	S: 24 May 2022	PA: 24 May 2022	
United Kingdom						
Canada	Closed: 06 April 2022	Ongoing				
New Zealand	Closed: 23 March 2022	Ongoing				
South Korea	Ongoing					
Japan	Ongoing					

* This designation is without prejudice to positions on status, and is in line with UNSCR 1244/1999 and the ICJ Opinion on the Kosovo declaration of independence

Association to Horizon Europe

Updates* on the association process of “third countries” to Horizon Europe



- **United Kingdom** (transitional arrangement | applicable for the entire Programme except EIC Fund)
- **New Zealand** (transitional arrangement | applicable for Pillar II as from the Work Programmes 2023 onwards)
- **Morocco** (transitional arrangement | applicable for the entire Programme)
- **Switzerland**
(current status: non-associated third country; legal entities established in Switzerland are currently not covered by the transitional arrangement)
- **Canada** (negotiations are in advanced stages)
- **Japan** (exploratory talks have been closed in September 2022)
- **South Korea** (exploratory talks are progressing)
- **Australia**
- Singapore ?

* https://research-and-innovation.ec.europa.eu/news/all-research-and-innovation-news/updates-association-third-countries-horizon-europe-2021-12-21_en

Horizon Europe Regulation

Article 16 | Third countries associated to the Programme

1. The Programme shall be open to association of the following third countries (associated countries):
 - (a) Members of the European Free Trade Association, which are members of the EEA, in accordance with the conditions laid down in the Agreement on the European Economic Area;
 - (b) acceding countries, candidate countries and potential candidates, in accordance with the general principles and general terms and conditions for the participation of those countries in Union programmes established in the respective framework agreements and Association Council decisions or similar agreements and in accordance with the specific conditions laid down in agreements between the Union and those countries;
 - (c) European Neighbourhood Policy countries, in accordance with the general principles and general terms and conditions for the participation of those countries in Union programmes established in the respective framework agreements and Association Council decisions or in similar agreements and in accordance with the specific conditions laid down in agreements between the Union and those countries;
 - (d) third countries and territories that fulfil all of the following criteria:
 - (i) a good capacity in science, technology and innovation;
 - (ii) commitment to a rules-based open market economy, including fair and equitable dealing with intellectual property rights, respect of human rights, backed by democratic institutions;
 - (iii) active promotion of policies to improve the economic and social well-being of citizens.

2. Association to the Programme of each of the third countries under point (d) of paragraph 1 shall be in accordance with the conditions laid down in an agreement covering the participation of the third country to any Union programme, provided that the agreement:
 - (a) ensures a fair balance as regards the contributions and benefits of the third country participating in the Union programmes;
 - (b) lays down the conditions of participation in the Union programmes, including the calculation of financial contributions to individual programmes, and their administrative costs;
 - (c) does not confer on the third country any decision-making power in respect of the Union programme;
 - (d) guarantees the rights of the Union to ensure sound financial management and to protect the Union's financial interests.

The contributions referred to in point (b) of the first subparagraph of this paragraph shall constitute assigned revenues in accordance with Article 21(5) of the Financial Regulation.
3. The scope of association of each third country to the Programme shall take into account an analysis of the benefits for the Union and the objective of driving economic growth in the Union through innovation. Accordingly, with the exception of EEA members, acceding countries, candidate countries and potential candidates, parts of the Programme may be excluded from an association agreement for a specific country.
4. The association agreement shall, as far as possible, provide for the reciprocal participation of legal entities established in the Union in equivalent programmes of associated countries in accordance with the conditions laid down in those programmes.
5. The conditions determining the level of financial contribution shall ensure a regular automatic correction of any significant imbalance compared to the amount that entities established in the associated country receive through participation in the Programme, taking into account the costs in the management, execution and operation of the Programme. The allocation of the financial contributions shall take into account the level of participation of the legal entities of the associated countries in each part of the Programme.

Horizon Europe Regulation

Article 22 | Legal entities eligible for participation

- (4) Coordination and support actions may be implemented by one or more legal entities, which may be established in a Member State, associated country or, **in exceptional cases, in another third country**
- (5) **For actions related to Union strategic assets**, interests, autonomy or security, the **work programme may provide that the participation can be limited to legal entities established only in Member States or to legal entities established in specified associated or other third countries in addition to Member States.** Any limitation of the participation of legal entities established in associated countries which are EEA members shall be in accordance with the terms and conditions of the Agreement on the European Economic Area.
For duly justified and exceptional reasons, in order to guarantee the **protection of the strategic interests of the Union and its Member States**, the work programme may also exclude the participation of legal entities established in the Union or in associated countries directly or indirectly controlled by non-associated third countries or by legal entities of non-associated third countries from individual calls for proposals, or make their participation subject to conditions set out in the work programme.
- (6) Where appropriate and duly justified, the work programme may provide for eligibility criteria in addition to those set out in paragraphs 2 to 5 to take into account specific policy requirements or the nature and objectives of the action, including the number of legal entities, the type of legal entity and the place of establishment.

International Cooperation in Horizon Europe

Who is eligible for funding?



SPECIFIC CASES

- Affiliated entities established in countries eligible for funding
- International Organisations (IO):
 - International European research organisations are eligible for funding
 - Other IO are not eligible (only exceptionally if participation is essential)
 - IO in a MS or AC are eligible for funding for Training and Mobility Actions and when announced in the call conditions
- EU Bodies



NON-EU COUNTRIES

- Countries associated to Horizon Europe (AC)
- Low and Middle Income Countries (LMIC)
- Other Countries when announced in the call topic or exceptionally if their participation is essential

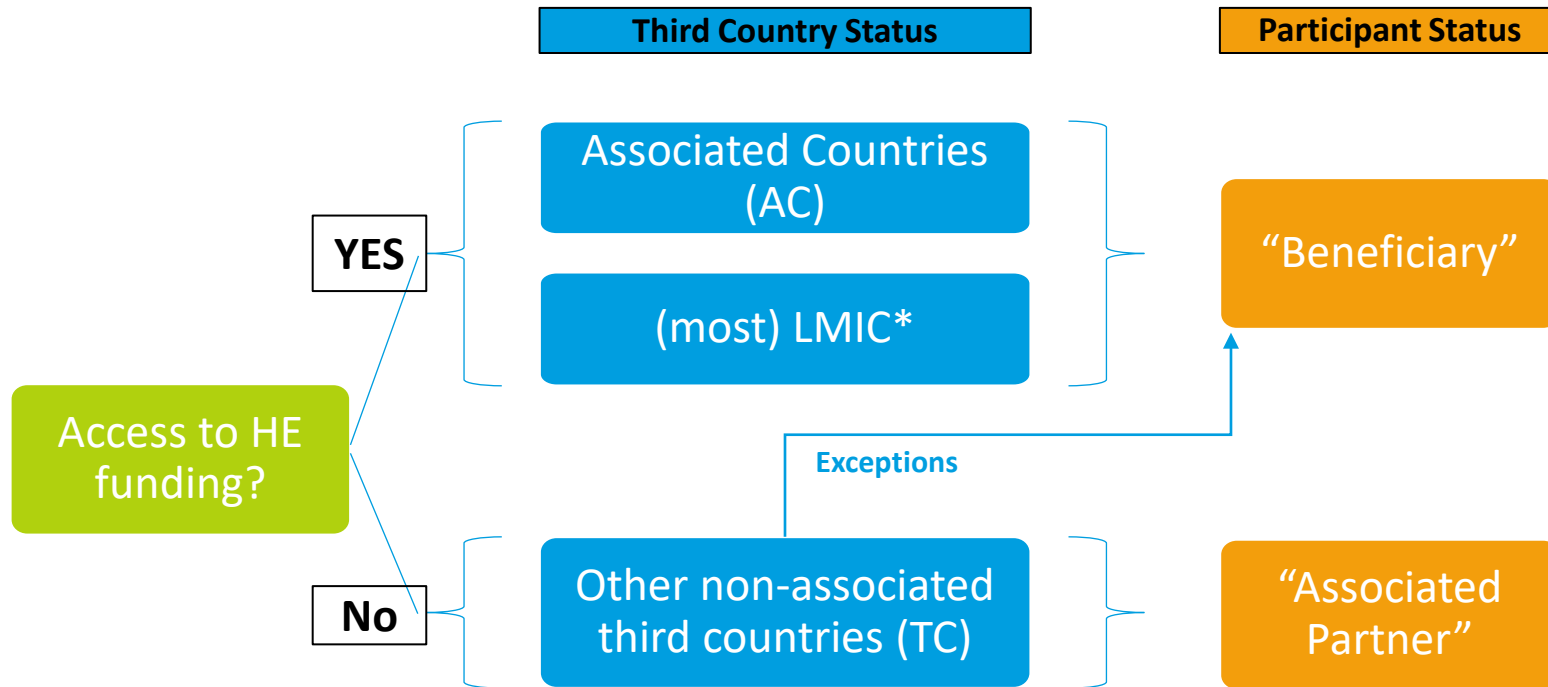


EU COUNTRIES

- Member States (MS) including their outermost regions
- The Overseas Countries and Territories (OCTs) linked to the MS

International Cooperation in Horizon Europe

Access to Horizon Europe funding



International Cooperation in Horizon Europe

Access to Horizon Europe funding

- Most Horizon Europe calls are open to participants from non-associated (third) countries and international organisations, unless specific limitations or conditions are laid down in the work programme and/or the call or call topic text.
→ *be aware that a non-EU country can be excluded from specific calls or call topics.*
- Moreover, some Horizon Europe calls are particularly relevant for international cooperation, encouraging* or even requiring** the participation of legal entities from non-associated non-EU countries in the funded actions.
 - * *In order to achieve the expected outcomes, international cooperation is encouraged, in particular with Japan and the United States but also with other relevant strategic partners in third countries.*
 - * *Legal entities established in non-associated third countries may exceptionally participate in this Coordination and support action.*
 - ** *Proposals must include at least two participants from Japan, China, the Republic of Korea and/or African countries non-associated to Horizon Europe.*
- Participants from non-associated non-EU countries can take part in Horizon Europe actions — but not always with funding (but exceptions* exist).
 - * *Due to the scope of this topic, legal entities established in non-associated third countries are exceptionally eligible for Union funding..*
- Participants from almost all low- to middle-income countries* (LMIC**) are automatically eligible for funding.

* The World Bank: [The world by income](#)

* The World Bank: [World Bank Country and Lending Groups](#)

** LMIC | Low- to Middle-Income Countries → see "[List of Participating Countries in Horizon Europe](#)"

International Cooperation in Horizon Europe

Access to Horizon Europe funding

- Participants from other countries (i.e. countries that are neither EU Member States nor countries associated to Horizon Europe, nor LMIC's → **USA, Japan, Singapore, China, etc.**) are not automatically eligible for funding and therefore usually have to participate at their own cost. They can however receive **exceptional funding**, if:
 - their country is explicitly identified in the work programme and call for proposals as being eligible for funding
 - the granting authority (→ EC) considers that their participation as a beneficiary is essential for implementing the project, for example in view of their:
 - outstanding competence/expertise
 - access to particular research infrastructures
 - access to particular geographical environments
 - access to particular data
- In addition, a number of non-EU/non-associated countries that are not automatically eligible for funding have made specific provisions for national co-funding mechanisms for their participants in Horizon Europe projects (see "**Horizon Europe Complementary funding mechanisms in third countries**").

International Cooperation in Horizon Europe

International (European) Organisations

- **International European research organisations are automatically eligible to receive funding from Horizon Europe.** International European research organisations are defined as international organisations, the majority of whose members are EU Member States or associated countries, and whose principal objective is to promote scientific and technological cooperation in Europe. **International European research organisations shall be deemed to be established in a Member State other than the ones in which other legal entities participating in the action are established.**
- For ERC frontier research actions, training and mobility actions and when provided for in the work programme, international organisations with headquarters in a Member State or associated country **shall be deemed to be established in that Member State or associated country , and thus automatically eligible for funding from Horizon Europe.**

International Cooperation in Horizon Europe

Status of entities from non-EU countries in Horizon Europe proposals



- If the entity will be eligible for funding (see “[List of Participating Countries in Horizon Europe](#)”), then this entity can be included as a “Beneficiary” in the proposal (if it is not stated otherwise in the specific call topic you apply to).
- But an entity from a country in view of association* (see “[List of Participating Countries in Horizon Europe](#)”), can solely be a “Beneficiary” when the association agreement is signed for that country before the grant agreement signature. If this is not the case, then the status of this entity cannot be “Beneficiary” but will have to be changed to “Associated Partner” (*see next slides*) and this entity can consequently:
 - not receive EU-funding and
 - can not be a coordinator of the consortium.

** Until association agreements start producing legal effects either through provisional application or their entry into force, “transitional arrangements” may apply if provided for in the particular Horizon Europe Work Programme. The transitional arrangements apply with regard to the following countries and legal entities established in these countries, with which association negotiations are being processed or where association is imminent: Morocco, New-Zealand, United Kingdom*

International Cooperation in Horizon Europe

Associated Partner (AP) Status: Characteristics

- AP established in a third country which is not eligible for EU funding
- AP can implement significant parts of the project but receives no EU funding
- AP can participate in collaborative projects (unless the call specifically excludes Third Countries)
- AP activities and budget must be specified in the proposal
- AP do not sign the grant agreement, thus cannot be a coordinator
- AP can act as work package leader
- AP must be registered in the participant register (PIC number) but will not be validated
- AP can sign the consortium agreement or similar agreement
- AP has to be listed in Article 9.1 of the EC grant agreement

International Cooperation in Horizon Europe

Associated Partner (AP) Status: Characteristics*

WHAT YES

- implementation of significant parts of the project together with the main participants of the consortium (beneficiaries and their affiliated entities)
- lead work packages
- PIC number

Legal & Admin

- Article 9.1 of the grant agreement includes definitions and obligations toward the EC
- activities and tasks of the AP must be listed in the proposal and in Annex I of the grant agreement
- AP budget must be inserted under „Financial contribution

WHAT NOT

- signature of the grant agreement
- role of coordinator of the Horizon Europe project
- EU direct funding for costs reimbursement
- access to the project on the Sygma platform

UP TO THE CONSORTIUM

- signature of the consortium agreement
- signature of an additional agreement with the consortium (describing amongst others, the obligations of the AP and the handling of IPR issues)

International Cooperation in Horizon Europe

Co-Funding Mechanisms (CFM) – What?

CFM

- is an arrangement put in place by a non-associated third country funding body
- provides financial support to its (national) legal entities to participate in Horizon Europe actions
- concerns third countries that are not automatically eligible for funding from Horizon Europe

International Cooperation in Horizon Europe

Co-Funding Mechanisms (CFM) – Who?

The (third) country decides on the CFM modalities:

- available budget, co-financing level
- selection of certain priority topics/ HE programme parts for co-funding
- conditions for participation (type of entity, eligibility)
- evaluation process (or not)

International Cooperation in Horizon Europe

Co-Funding Mechanisms (CFM) – How?

- Third Country prepares its CFM usually based on prior policy dialogues with the EC
 - Identification of the relevant thematic/ policy areas
 - Co-funding modalities
 - Appointment of a national funding body
- Third Country informs the EC by letter (addressed to DG for R&I) of its CFM with the description of the modalities in annexes
- Third Country sets up a website with information for potential participants

International Cooperation in Horizon Europe

Co-Funding Mechanisms (CFM) – Role of the EC?

- EC takes no legal commitment in the CFMs
 - Evaluation of proposals by EC independent from national evaluations in CFM

- EC provides support, facilitates and raises awareness
 - Support during set-up of CFM
 - Guide on CFM on the F&T Portal
 - Information events

International Cooperation in Horizon Europe

Co-Funding Mechanisms (CFM) – Countries*

- Australia
- Brazil
- Canada
- China
- India
- Japan
- Mexico
- Monaco
- New Zealand
- (South) Korea
- Switzerland

THANK YOU FOR YOUR ATTENTION!

Ralf König
European and International Programmes

Austrian Research Promotion Agency
Sensengasse 1, 1090 Vienna, Austria

T +43 (0) 5 77 55 – 4601

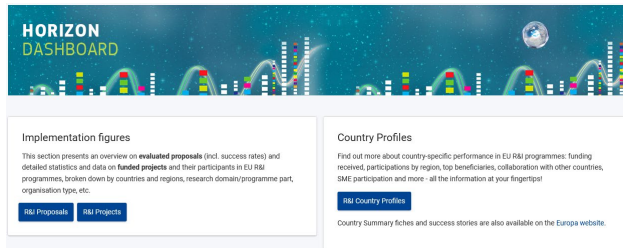
ralf.koenig@ffg.at
www.ffg.at

International Cooperation in EU Framework Programmes

Statistic Sources

- **Horizon Dashboard**

<https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/opportunities/horizon-dashboard>



- **Horizon 2020 country profile**

<https://webgate.ec.europa.eu/dashboard/extensions/CountryProfile/CountryProfile.html>

- **FFG EU-Performance Monitor**

<https://www.ffg.at/Monitoring>

<https://www.ffg.at/Monitoring/Portfolio>

<https://eupm.ffg.at/ui/login/>

International Cooperation in FP7, H2020 & Horizon Europe

Horizon Dashboard — EU Research and Innovation data at your fingertips



Funding & tender opportunities

Single Electronic Data Interchange Area (SEDIA)

Navigation bar with a home icon and the following menu items: SEARCH FUNDING & TENDERS, HOW TO PARTICIPATE, PROJECTS & RESULTS, WORK AS AN EXPERT, SUPPORT.



Implementation figures

This section presents an overview on **evaluated proposals** (incl. success rates) and detailed statistics and data on **funded projects** and their participants in EU R&I programmes, broken down by countries and regions, research domain/programme part, organisation type, etc.

R&I Proposals

R&I Projects

Country Profiles

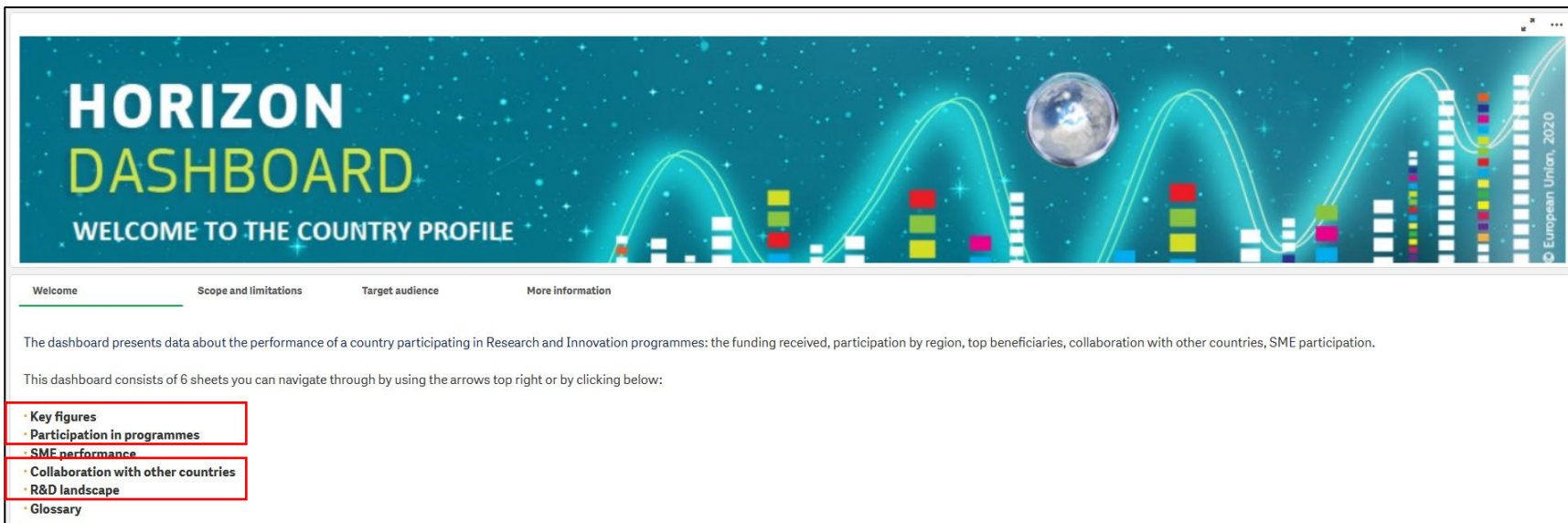
Find out more about country-specific performance in EU R&I programmes: funding received, participations by region, top beneficiaries, collaboration with other countries, SME participation and more - all the information at your fingertips!

R&I Country Profiles

Country Summary fiches and success stories are also available on the Europa website.

International Cooperation in FP7, H2020 & Horizon Europe

Horizon Dashboard — R&I Country Profile



The screenshot shows the 'Horizon Dashboard' interface for a country profile. The header features the text 'HORIZON DASHBOARD' in white and yellow, and 'WELCOME TO THE COUNTRY PROFILE' in white. Below the header is a navigation bar with four tabs: 'Welcome', 'Scope and limitations', 'Target audience', and 'More information'. The main content area contains a paragraph explaining the dashboard's purpose and a list of six sheets. The first four sheets are highlighted with red boxes: 'Key figures', 'Participation in programmes', 'SME performance', and 'Collaboration with other countries'. The last two sheets are 'R&D landscape' and 'Glossary'.

HORIZON DASHBOARD
WELCOME TO THE COUNTRY PROFILE

Welcome Scope and limitations Target audience More information

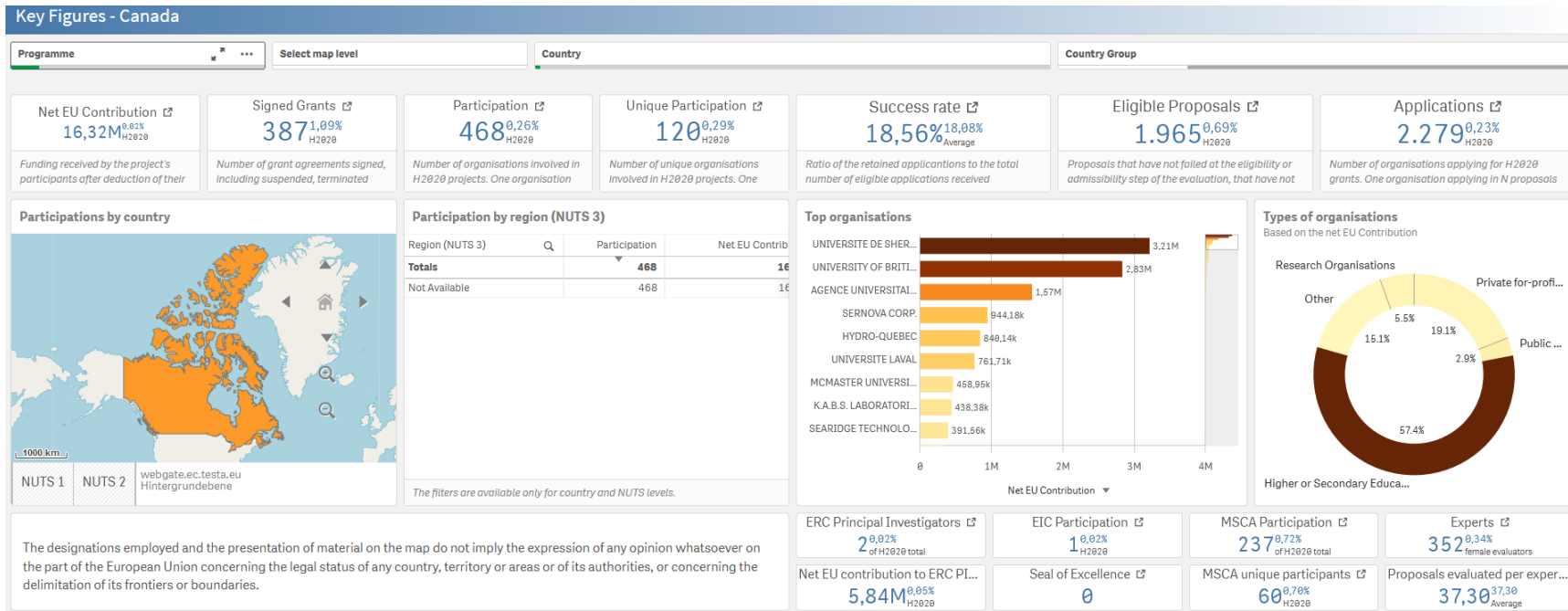
The dashboard presents data about the performance of a country participating in Research and Innovation programmes: the funding received, participation by region, top beneficiaries, collaboration with other countries, SME participation.

This dashboard consists of 6 sheets you can navigate through by using the arrows top right or by clicking below:

- Key figures
- Participation in programmes
- SME performance
- Collaboration with other countries
- R&D landscape
- Glossary

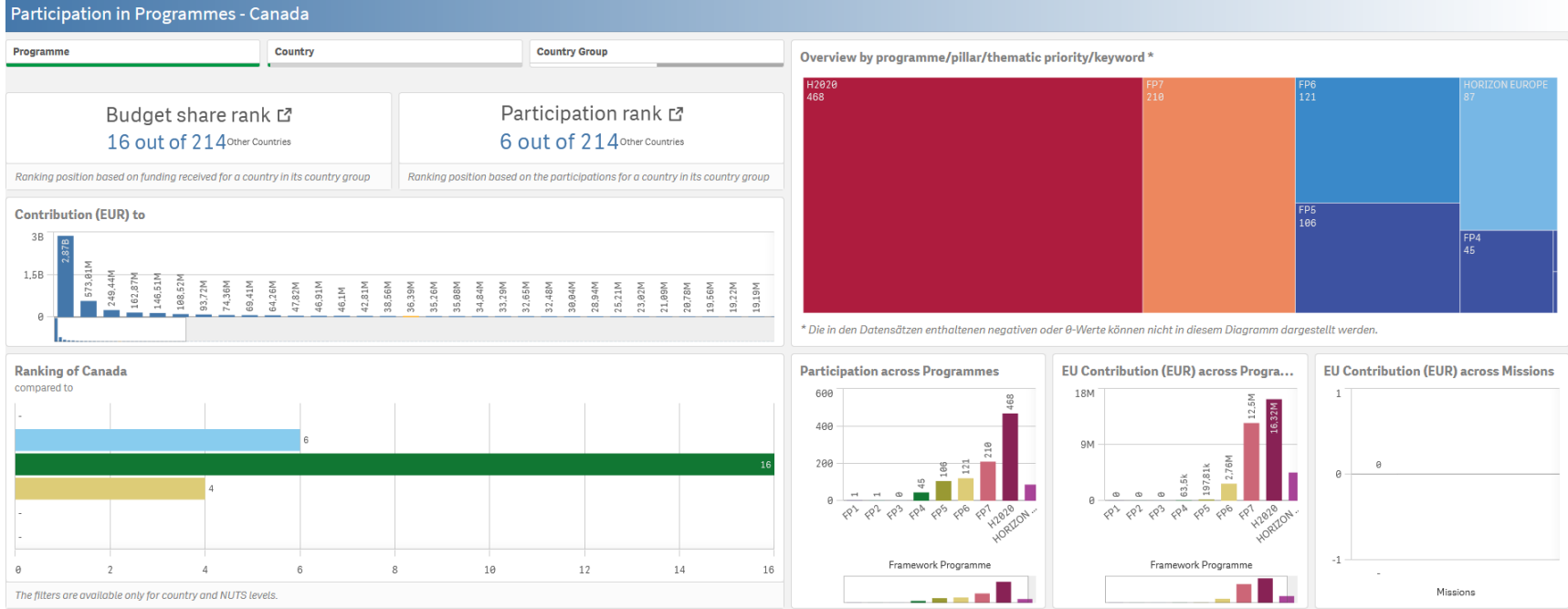
International Cooperation in FP7, H2020 & Horizon Europe

Horizon Dashboard — R&I Country Profile | Key Figures | H2020 | Canada



International Cooperation in FP7, H2020 & Horizon Europe

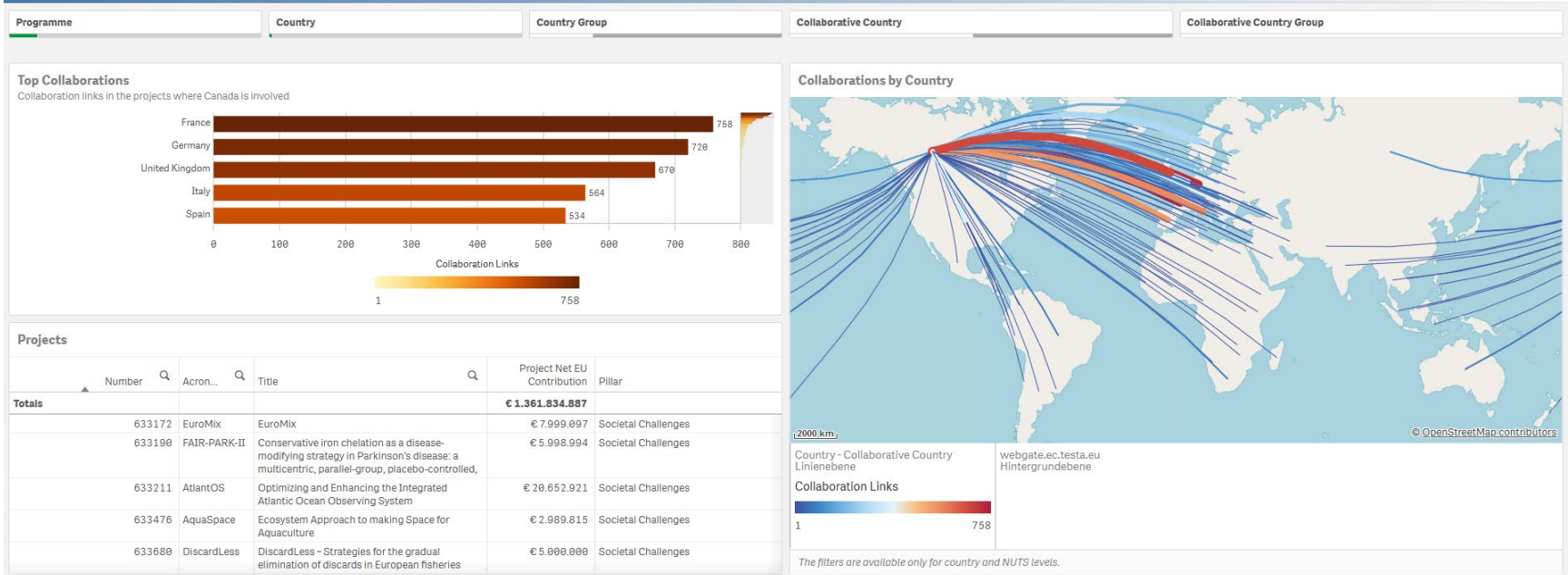
Horizon Dashboard — R&I Country Profile | Participation in programmes | FP1-FP7, H2020, HEU | Canada



International Cooperation in FP7, H2020 & Horizon Europe

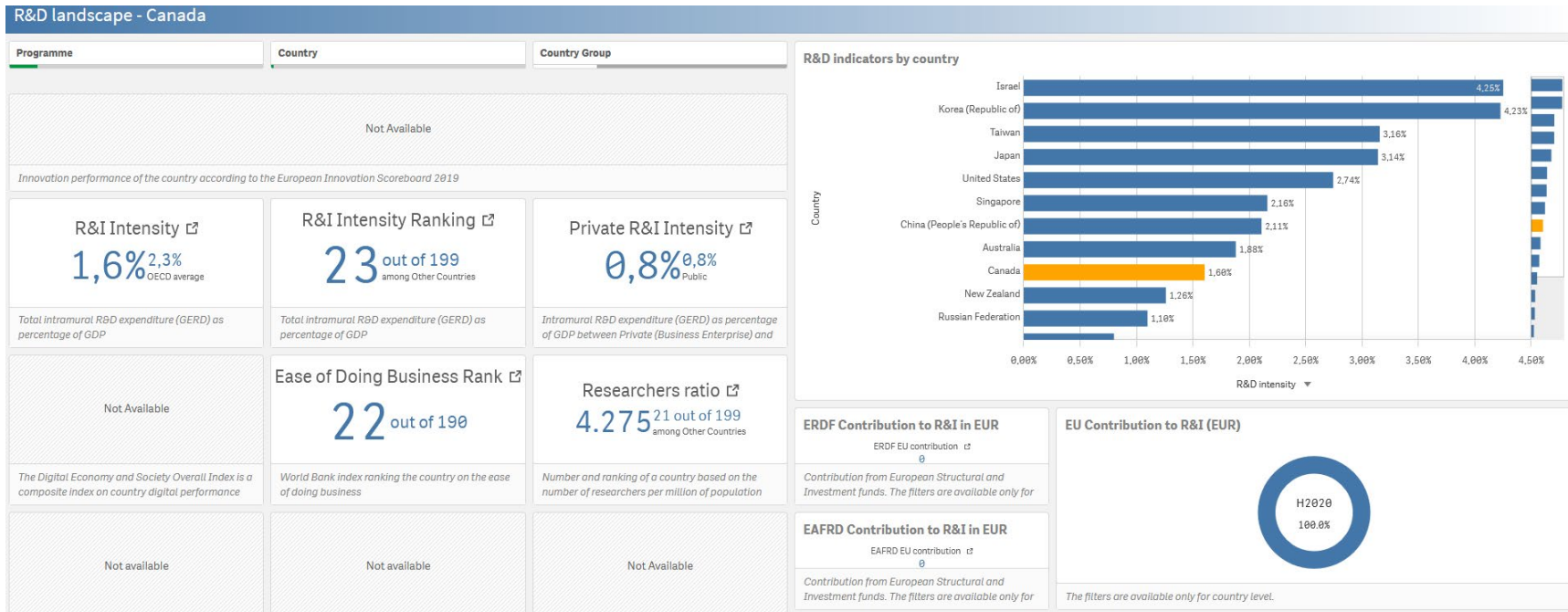
Horizon Dashboard — R&I Country Profile | Collaboration with other countries | H2020 | Canada

Collaboration with other countries - Canada



International Cooperation in FP7, H2020 & Horizon Europe

Horizon Dashboard — R&I Country Profile | R&D landscape | H2020 | Canada



International Cooperation in FP7 & H2020

Third Country Performance | Comparison

	HORIZON 2020				FP7			
	BETEILIGUNGEN	RANG	FÖRDERUNG	RANG	BETEILIGUNGEN	RANG	FÖRDERUNG	RANG
Drittstaaten gesamt	7.205		515.635.186		5.067		603.029.817	
United States	2.021	1	121.484.684	1	564	1	86.398.657	1
China (People's Republic of)	609	2	4.990.162	22	386	3	35.315.766	4
Canada	470	3	15.482.864	5	210	7	12.503.259	12
Australia	358	4	11.205.167	10	204	8	12.639.115	10
South Africa	308	5	61.399.032	2	245	5	34.676.933	5
Brazil	262	6	15.907.488	4	224	6	31.955.160	6
Argentina	251	7	9.011.990	13	116	13	14.428.783	8
Japan	219	8	5.707.611	20	122	11	9.193.565	15
Russian Federation	217	9	14.121.095	7	556	2	73.293.999	2
India	191	10	4.242.500	27	287	4	38.586.602	3
Chile	151	11	9.627.794	12	67	15	9.176.809	16
Kenya	138	12	31.038.620	3	77	14	12.478.885	13
Korea (Republic of)	115	13	2.441.388	43	67	16	1.943.765	52
Colombia	95	14	8.881.406	15	51	20	6.120.772	21
Mexico	92	15	1.074.554	65	120	12	12.542.739	11
Morocco	89	16	7.877.214	16	131	9	13.662.447	9
Taiwan	85	17	904.617	68	40	28	390.475	86
New Zealand	77	18	2.636.419	39	51	21	4.327.803	27
Belarus	65	19	2.897.699	36	55	17	3.916.790	30
Ghana	61	20	13.197.302	8	54	18	7.797.442	18

Vertragsdaten EC: 1/2022; Darstellung FFG
Datenstand H2020: 4.1.2022; Datenstand FP7: 30.4.2021

International Cooperation in Horizon Europe

Third Country Performance | Comparison

New: in HE currently
in the category of
non-associated third
countries

Staat	BEWILLIGTE BETEILIGUNGEN	BEWILLIGTE FÖRDERUNG	ANTEIL AN ALLEN BETEILIGUNGEN	ANTEIL AN ALLEN FÖRDERUNGEN	BETEILIGUNGEN IN VERTRÄGEN	FÖRDERUNG IN VERTRÄGEN
Schweiz	869	144.752.918	2,4%	0,9%	714	36.684.745
United States	279	9.977.735	0,8%	0,1%	307	8.464.672
China (People's Republic of)	100	644.987	0,3%	0,0%	104	423.088
South Africa	82	23.636.586	0,2%	0,2%	71	21.011.380
Canada	78	3.370.948	0,2%	0,0%	75	1.836.433
Australia	70	327.087	0,2%	0,0%	74	248.340
Kenya	56	14.538.907	0,2%	0,1%	46	10.472.505
Japan	49	512.600	0,1%	0,0%	45	335.125
Brazil	37	727.660	0,1%	0,0%	40	470.624
Morocco	23	3.607.863	0,1%	0,0%	18	2.071.663
Nigeria	22	4.793.011	0,1%	0,0%	19	4.853.385
Uganda	21	5.734.872	0,1%	0,0%	17	4.859.088
Thailand	20	3.351.180	0,1%	0,0%	19	2.939.930
Ghana	18	4.139.843	0,1%	0,0%	18	3.856.908
Korea (Republic of)	17	160.152	0,0%	0,0%	15	137.153
Argentina	15	1.801.092	0,0%	0,0%	17	375.091
Chile	15	477.900	0,0%	0,0%	14	137.500
Burkina Faso	14	2.668.446	0,0%	0,0%	10	1.999.655
Cameroon	13	2.009.309	0,0%	0,0%	9	1.350.677
Tanzania (United Republic of)	13	2.214.431	0,0%	0,0%	10	1.972.686
India	12	871.073	0,0%	0,0%	10	971.798
Egypt	11	2.022.572	0,0%	0,0%	8	1.469.813
Russian Federation	11	101.250	0,0%	0,0%	0	0
Rwanda	11	1.193.276	0,0%	0,0%	9	910.188
Vietnam	11	1.266.137	0,0%	0,0%	9	649.500
Colombia	10	2.152.122	0,0%	0,0%	8	1.701.616
Lebanon	10	3.204.740	0,0%	0,0%	11	3.094.340
Senegal	10	2.141.741	0,0%	0,0%	10	2.136.252
Taiwan	10	444.862	0,0%	0,0%	6	0

International Cooperation in FP7, H2020 & Horizon Europe

EU-funded research projects involving (selected) Third Countries

■ Algeria

- [FP7](#)
- [Horizon 2020](#)
- [Horizon Europe](#)

■ Argentina

- [FP7](#)
- [Horizon 2020](#)
- [Horizon Europe](#)

■ Australia

- [FP7](#)
- [Horizon 2020](#)
- [Horizon Europe](#)

■ Brazil

- [FP7](#)
- [Horizon 2020](#)
- [Horizon Europe](#)

■ Canada

- [FP7](#)
- [Horizon 2020](#)
- [Horizon Europe](#)

■ Chile

- [FP7](#)
- [Horizon 2020](#)
- [Horizon Europe](#)

■ China

- [FP7](#)
- [Horizon 2020](#)
- [Horizon Europe](#)

■ Egypt

- [FP7](#)
- [Horizon 2020](#)
- [Horizon Europe](#)

■ India

- [FP7](#)
- [Horizon 2020](#)
- [Horizon Europe](#)

■ Japan

- [FP7](#)
- [Horizon 2020](#)
- [Horizon Europe](#)

■ Jordan

- [FP7](#)
- [Horizon 2020](#)
- [Horizon Europe](#)

■ (South) Korea

- [FP7](#)
- [Horizon 2020](#)
- [Horizon Europe](#)

International Cooperation in FP7, H2020 & Horizon Europe

EU-funded research projects involving (selected) Third Countries

■ Mexico

- [FP7](#)
- [Horizon 2020](#)
- [Horizon Europe](#)

■ Morocco

- [FP7](#)
- [Horizon 2020](#)
- [Horizon Europe](#)

■ New Zealand

- [FP7](#)
- [Horizon 2020](#)
- [Horizon Europe](#)

■ South Africa

- [FP7](#)
- [Horizon 2020](#)
- [Horizon Europe](#)

■ Switzerland

- [FP7](#)
- [Horizon 2020](#)
- [Horizon Europe](#)

■ Tunisia

- [FP7](#)
- [Horizon 2020](#)
- [Horizon Europe](#)

■ Ukraine

- [FP7](#)
- [Horizon 2020](#)
- [Horizon Europe](#)

■ United States

- [FP7](#)
- [Horizon 2020](#)
- [Horizon Europe](#)

International Cooperation in Horizon Europe

Information Sources: General

- **Europe's global approach to cooperation in research and innovation: strategic, open, and reciprocal [18.05.2021]**
https://ec.europa.eu/commission/presscorner/detail/en/ip_21_2465
<https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52021DC0252>
https://ec.europa.eu/commission/presscorner/detail/en/QANDA_21_2466
<https://op.europa.eu/en/publication-detail/-/publication/b3913570-cd83-11eb-ac72-01aa75ed71a1/language-en/format-PDF/source-214473665>
- **International cooperation, strategy, partner countries and regions, funding, project results, documents and news**
https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/europe-world/international-cooperation_en
- **Horizon Europe | List of Participating Countries [01.04.2023]**
https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/list-3rd-country-participation_horizon-euratom_en.pdf
- **Horizon Europe | Programme Guide | Chapter “8. International cooperation and association” [01.04.2023]**
https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/programme-guide_horizon_en.pdf
- **Horizon Europe Work Programme 2023-2024 | 13. General Annexes | Chapter “B — Eligibility”**
https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/wp-call/2023-2024/wp-13-general-annexes_horizon-2023-2024_en.pdf
- **Horizon Europe Regulation [28.04.2021]**
<https://eur-lex.europa.eu/eli/reg/2021/695/oj>
<https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32021R0695>

International Cooperation in Horizon Europe

Information Sources: General

- **Why and how to participate to Horizon Europe for international researchers [September 2022]**
<https://research-and-innovation.ec.europa.eu/system/files/2022-10/Why%20and%20how%20to%20participate%20to%20Horizon%20Europe%20for%20international%20researchers.pdf>
- **International cooperation - From Horizon 2020 to Horizon Europe [February 2019]**
<https://op.europa.eu/en/publication-detail/-/publication/51f3a94a-4dd1-11ed-92ed-01aa75ed71a1/language-en/format-PDF/source-285831493>
- **Tackling R&I foreign interference - Staff working document [January 2022]**
<https://op.europa.eu/en/web/eu-law-and-publications/publication-detail/-/publication/3faf52e8-79a2-11ec-9136-01aa75ed71a1>
- **Horizon Europe | Programme Guide | Chapter “8. International cooperation and association” [01.04.2023]**
https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/programme-guide_horizon_en.pdf
- **Horizon Europe Work Programme 2023-2024 | 13. General Annexes | Chapter “B — Eligibility”**
https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/wp-call/2023-2024/wp-13-general-annexes_horizon-2023-2024_en.pdf

International Cooperation in Horizon Europe

Information Sources: Association of Third Countries

- **Updates on the association of third countries to Horizon Europe**

https://research-and-innovation.ec.europa.eu/news/all-research-and-innovation-news/updates-association-third-countries-horizon-europe-2021-12-21_en
https://research-and-innovation.ec.europa.eu/document/download/2221464d-4591-423b-ada7-a8b004e2343c_en?filename=ec_rtd_horizon-europe-aa-status.xlsx

- **List of Participating Countries in Horizon Europe [01.04.2023]**

https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/list-3rd-country-participation_horizon-auratom_en.pdf

- **Horizon Europe Programme Guide | Chapter 8. International cooperation and association [01.04.2023]**

https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/programme-guide_horizon_en.pdf

- **Horizon Europe Regulation [28.04.2021]**

<https://eur-lex.europa.eu/eli/reg/2021/695/oj>
<https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32021R0695>

International Cooperation in Horizon Europe

Information Sources: Associated Partner Status (≠ Associated Country)



European Commission

- EU Grants | AGA Annotated Grant Agreement | EU Funding Programmes 2021-2027 [01.04.2023]
 - Article 9.1 | Associated partners (page 137)
https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/aga_en.pdf

FFG – Austrian Research Promotion Agency

- Kosten von Dritten in Horizon Europe
<https://www.ffg.at/europa/heu/recht-finanzen/dritte> | https://www.ffg.at/europa/akademie/helpyourself_dritte
 - Associated Partner (Art. 9.1 GA)
https://www.ffg.at/sites/default/files/allgemeine_downloads/europaeische_und_internationale_programme/programmdokumente/AssociatedPartner_bf.pdf
<https://www.youtube.com/watch?v=bl7cSVHUcQU>

Euresearch (Switzerland)

- Swiss Participation in Horizon Europe | Definition of Associated Partner [16.11.2022]
https://www.euresearch.ch/en/app/core/action/service/table/section_asset/id/1037/service/app_euresearch_inputtype_file_service_protectedfilesystemproxy/inputtype/file/lang/en/derivative/original/lm/1668674155/
- Associated Partners in Horizon Europe | Definition of Associated Partner [14.03.2022]
https://www.euresearch.ch/en/app/core/action/service/table/section_asset/id/475/service/app_euresearch_inputtype_file_service_protectedfilesystemproxy/inputtype/file/lang/en/derivative/original/lm/1647269790/
- How to Add Associated Partners to a Proposal on the Funding & Tenders Portal [06.03.2023]
https://www.euresearch.ch/en/app/core/action/service/table/section_asset/id/925/service/app_euresearch_inputtype_file_service_protectedfilesystemproxy/inputtype/file/lang/en/derivative/original/lm/1678105767/

International Cooperation in Horizon Europe

Information Sources: Third Country Websites & Fact Sheets (1/3)

■ **Algeria**

https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/europe-world/international-cooperation/algeria_en

■ **Argentina**

https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/europe-world/international-cooperation/argentina_en

■ **Australia**

https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/europe-world/international-cooperation/australia_en
<https://research-and-innovation.ec.europa.eu/system/files/2022-08/Australia%20Country%20page.pdf>

■ **Brazil**

https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/europe-world/international-cooperation/brazil_en
<https://research-and-innovation.ec.europa.eu/system/files/2022-08/Brazil%20Country%20page.pdf>

■ **Canada**

https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/europe-world/international-cooperation/canada_en
<https://research-and-innovation.ec.europa.eu/system/files/2022-08/Canada%20Country%20page.pdf>

■ **Chile**

https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/europe-world/international-cooperation/chile_en

■ **China**

https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/europe-world/international-cooperation/china_en
<https://research-and-innovation.ec.europa.eu/system/files/2022-10/China%20Country%20page-Oct2022.pdf>

Source: European Commission | [International Cooperation](#)
(Strategy, partner countries and regions, funding, project results, documents and news)

International Cooperation in Horizon Europe

Information Sources: Third Country Websites & Fact Sheets (2/3)

■ Egypt

https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/europe-world/international-cooperation/egypt_en

■ India

https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/europe-world/international-cooperation/india_en
<https://research-and-innovation.ec.europa.eu/system/files/2022-08/India%20Country%20page.pdf>

■ Japan

https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/europe-world/international-cooperation/japan_en
https://research-and-innovation.ec.europa.eu/system/files/2022-08/ec_rtd_japan-country-page.pdf

■ Jordan

https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/europe-world/international-cooperation/jordan_en

■ (South) Korea

https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/europe-world/international-cooperation/korea_en
<https://research-and-innovation.ec.europa.eu/system/files/2022-08/Korea%20Country%20page.pdf>

■ Mexico

https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/europe-world/international-cooperation/mexico_en
<https://research-and-innovation.ec.europa.eu/system/files/2022-08/Mexico%20Country%20page.pdf>

■ Morocco

https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/europe-world/international-cooperation/morocco_en

Source: European Commission | [International Cooperation](#)
(Strategy, partner countries and regions, funding, project results, documents and news)

International Cooperation in Horizon Europe

Information Sources: Third Country Websites & Fact Sheets (3/3)

■ **New Zealand**

https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/europe-world/international-cooperation/new-zealand_en
<https://research-and-innovation.ec.europa.eu/system/files/2022-08/New%20Zealand%20Country%20page.pdf>

■ **South Africa**

https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/europe-world/international-cooperation/south-africa_en

■ **Switzerland**

https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/europe-world/international-cooperation/switzerland_en

■ **Tunisia**

https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/europe-world/international-cooperation/tunisia_en

■ **Ukraine**

https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/europe-world/international-cooperation/ukraine_en
<https://op.europa.eu/en/publication-detail/-/publication/143be8b9-a3b2-11ed-b508-01aa75ed71a1>
<https://op.europa.eu/en/publication-detail/-/publication/7821391a-a3b3-11ed-b508-01aa75ed71a1>

■ **United States**

https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/europe-world/international-cooperation/united-states_en

Source: European Commission | [International Cooperation](#)
(Strategy, partner countries and regions, funding, project results, documents and news)

International Cooperation

Information Sources: Other

- **Research and innovation strategy 2020-2024**
https://ec.europa.eu/info/research-and-innovation/strategy/strategy-2020-2024_en
- **Strategic plan 2020-2024 – Research and Innovation**
https://commission.europa.eu/publications/strategic-plan-2020-2024-research-and-innovation_en
https://commission.europa.eu/system/files/2020-11/rtd_sp_2020_2024_en.pdf
- **Strategic plan 2020-2024 – International Cooperation and Development**
https://commissions.europa.eu/publications/strategic-plan-2020-2024-international-cooperation-and-development_en
https://commission.europa.eu/system/files/2020-10/devco_sp_2020_2024_en.pdf
- **A stronger Europe in the world | Reinforcing our responsible global leadership**
https://commission.europa.eu/strategy-and-policy/priorities-2019-2024/stronger-europe-world_en
 - **Global Gateway**
https://commission.europa.eu/strategy-and-policy/priorities-2019-2024/stronger-europe-world/global-gateway_en
 - **EU's development policy**
https://international-partnerships.ec.europa.eu/index_en
 - **Africa-EU partnership**
https://international-partnerships.ec.europa.eu/policies/africa-eu-partnership_en
 - **European Neighbourhood Policy and Enlargement Negotiations**
https://neighbourhood-enlargement.ec.europa.eu/index_en
 - **Relations with partners around the world | European External Action**
https://www.eeas.europa.eu/_en

International Cooperation

Information Sources: Other Cooperation & Funding Opportunities

- **European Commission DG Research and Innovation (RTD)**

https://commission.europa.eu/about-european-commission/departments-and-executive-agencies/research-and-innovation_en

- **Research and innovation**

- Funding opportunities in research and innovation

https://research-and-innovation.ec.europa.eu/funding/funding-opportunities_en

- Funding programmes and open calls

https://research-and-innovation.ec.europa.eu/funding/funding-opportunities/funding-programmes-and-open-calls_en

- **European Commission DG International Partnerships (INTPA)**

https://commission.europa.eu/about-european-commission/departments-and-executive-agencies/international-partnerships_en

- **International Partnerships**

https://international-partnerships.ec.europa.eu/index_en

- **Policies**

https://international-partnerships.ec.europa.eu/policies_en

- **Global Gateway**

https://international-partnerships.ec.europa.eu/policies/global-gateway_en

https://international-partnerships.ec.europa.eu/policies/global-gateway/global-gateway-overview_en

https://commission.europa.eu/strategy-and-policy/priorities-2019-2024/stronger-europe-world/global-gateway_en

- **Countries**

https://international-partnerships.ec.europa.eu/countries_en

- **Funding and technical assistance**

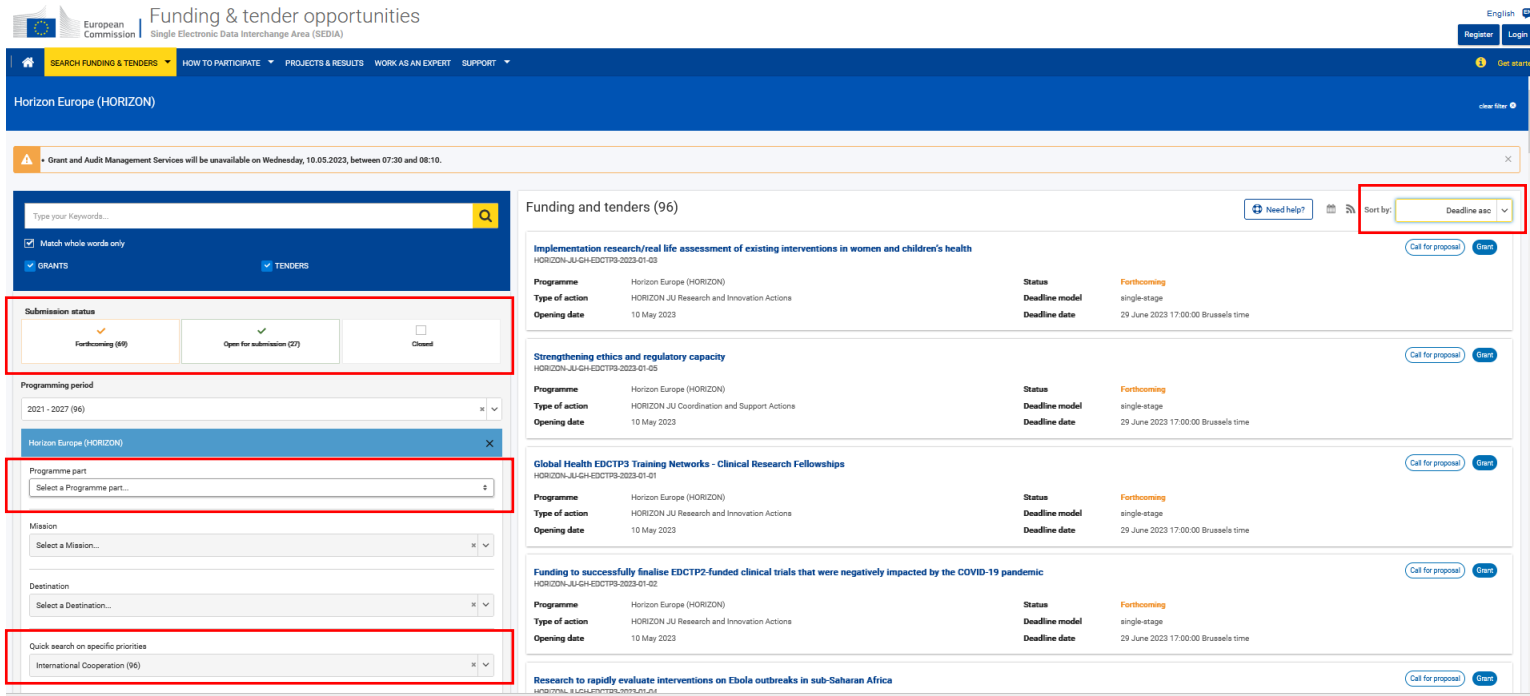
https://international-partnerships.ec.europa.eu/funding-and-technical-assistance_en

- **Global Europe: Neighbourhood, Development and International Cooperation Instrument**

https://international-partnerships.ec.europa.eu/funding-and-technical-assistance/funding-instruments/global-europe-neighbourhood-development-and-international-cooperation-instrument_en

International Cooperation in Horizon Europe

Information Sources: Call topics with international dimension



The screenshot shows the Horizon Europe funding and tenders portal. The page is titled "Funding and tenders opportunities" and "Horizon Europe (HORIZON)". The main content area displays a list of funding opportunities, each with a title, programme, type of action, opening date, status, deadline model, and deadline date. The list includes:

- Implementation research/real life assessment of existing interventions in women and children's health** (Horizon Europe (HORIZON), 10 May 2023, Forthcoming, single-stage, 29 June 2023 17:00:00 Brussels time)
- Strengthening ethics and regulatory capacity** (Horizon Europe (HORIZON), 10 May 2023, Forthcoming, single-stage, 29 June 2023 17:00:00 Brussels time)
- Global Health EDCTP3 Training Networks - Clinical Research Fellowships** (Horizon Europe (HORIZON), 10 May 2023, Forthcoming, single-stage, 29 June 2023 17:00:00 Brussels time)
- Funding to successfully finalise EDCTP2-funded clinical trials that were negatively impacted by the COVID-19 pandemic** (Horizon Europe (HORIZON), 10 May 2023, Forthcoming, single-stage, 29 June 2023 17:00:00 Brussels time)
- Research to rapidly evaluate interventions on Ebola outbreaks in sub-Saharan Africa** (Horizon Europe (HORIZON), 10 May 2023, Forthcoming, single-stage, 29 June 2023 17:00:00 Brussels time)

The left sidebar contains filters for submission status, programming period, programme part, mission, destination, and quick search on specific priorities. The right sidebar shows a search bar and a "Sort by" dropdown menu set to "Deadline asc".

ANNEX - LEGAL INFORMATIONS #1

- **Regulation (EU) 2021/695 of the European Parliament and of the Council of 28 April 2021 establishing Horizon Europe**
<https://eur-lex.europa.eu/legal-content/EN/ALL/?uri=CELEX:32021R0695>
 - **Page 2: (8)** ...Reciprocity in open science should be encouraged in all **association and cooperation agreements with third countries**.
 - **Page 2: (10):** The conception and design of the Programme should respond to the need for establishing a critical mass of supported activities throughout the Union, encouraging excellence-based participation of all Member States, and **through international cooperation**, ...
 - **Page 2: (11)** Activities supported under the Programme should contribute towards the achievement of the Union's objectives, priorities and international commitments.
 - **Page 4: (24)** The pillar 'Global Challenges and European Industrial Competitiveness' should ... also through **international cooperation and science diplomacy**.
 - **Page 5: (33)** ...to **strengthen international cooperation and reinforce openness to third countries'** participation; and to continue simplification based on implementation experiences of Horizon 2020.
 - **Page 8: (50)** The Programme should **promote and integrate cooperation with third countries and international organisations and initiatives** based on the Union's interests, mutual benefits, international commitments, science diplomacy and, as far as possible, reciprocity. **International cooperation** should aim to **strengthen the Union's excellence in R&I, attractiveness, capacity to retain best talents and economic and industrial competitiveness**, to **tackle global challenges including the SDGs** by following the principles of the 2030 Agenda and the Paris Agreement, and to **support the Union's external policies**. An approach of **general openness to international participation** and **targeted international cooperation actions** should be followed, including through appropriate **eligibility for funding of entities established in low to middle-income countries**. The Union should aim to **conclude international cooperation agreements** in the field of R&I with third countries. At the same time, **association of third countries**, in particular for collaborative parts to the Programme, should be promoted, in accordance with **association agreements** and focusing on **added value for the Union**. **When allocating associated countries' financial contributions to the Programme, the Commission should take into account the level of participation of legal entities of those third countries in the different parts of the Programme**.

ANNEX - LEGAL INFORMATIONS #2

- **Regulation (EU) 2021/695 of the European Parliament and of the Council of 28 April 2021 establishing Horizon Europe**
<https://eur-lex.europa.eu/legal-content/EN/ALL/?uri=CELEX:32021R0695>
 - **Page 10: (62)** Third countries which are members of the European Economic Area (EEA) may participate in Union programmes in the framework of the cooperation established under the Agreement on the European Economic Area(21), which provides for the implementation of the programmes on the basis of a decision adopted under that Agreement. Third countries may also participate on the basis of other legal instruments.
 - **Page 12: (73)** In accordance with the objectives of international cooperation as set out in Articles 180 and 186 TFEU, the participation of legal entities established in third countries and of international organisations should be promoted, based on mutual benefits and the Union's interests. The implementation of the Programme should be in conformity with the measures adopted in accordance with Articles 75 and 215 TFEU and should be in compliance with international law.

For actions related to Union strategic assets, interests, autonomy or security, it should be possible for participation in specific actions of the Programme to be limited to legal entities established only in Member States or to legal entities established in specified associated or other third countries in addition to Member States.

Any exclusion of legal entities established in the Union or in associated countries directly or indirectly controlled by non-associated third countries or by legal entities of non-associated third countries should take into account the risks the inclusion of such entities would represent, on the one hand, and the benefits that their participation would generate, on the other hand.

ANNEX - LEGAL INFORMATIONS #3

- **Regulation (EU) 2021/695 of the European Parliament and of the Council of 28 April 2021 establishing Horizon Europe**
<https://eur-lex.europa.eu/legal-content/EN/ALL/?uri=CELEX:32021R0695>
 - **Article 2 | Definitions**

(15) 'international European research organisation' means an international organisation, the majority of whose members are Member States or associated countries, whose principal objective is to promote scientific and technological cooperation in Europe;

(28) 'classified information' means European Union classified information as defined in Article 3 of Decision (EU, Euratom) 2015/444 as well as classified information of Member States, **classified information of third countries with which the Union has a security agreement** and classified information of international organisation with which the Union has a security agreement;
 - **Article 7 | Principles of the Programme**

4. The Programme shall ensure the effective promotion and **integration of cooperation with third countries and international organisations and initiatives based on mutual benefits**, the **Union interests**, international commitments and, where appropriate, **reciprocity**.
 - **Article 14 | Open science**

2. The principle of **reciprocity in open science shall be promoted and encouraged in all association and cooperation agreements with third countries**, including agreements signed by funding bodies entrusted with the indirect management of the Programme.
 - **Article 20 | Security**

1. Actions carried out under the Programme shall comply with the applicable security rules and in particular rules on the protection of classified information against unauthorised disclosure, including compliance with any relevant Union and national law. In the case of research carried out outside the Union using or generating classified information, it shall also be necessary that, in addition to the compliance with those requirements, a **security agreement shall have been concluded between the Union and the third country in which the research is to be conducted**.

- **Regulation (EU) 2021/695 of the European Parliament and of the Council of 28 April 2021 establishing Horizon Europe**
<https://eur-lex.europa.eu/legal-content/EN/ALL/?uri=CELEX:32021R0695>
 - **Article 39 | Exploitation and dissemination**

6. ...If the plan provides for the exploitation of the results primarily in **non-associated third countries**, the legal entities shall explain how that exploitation is still to be considered to be in the **Union interest**.
 - **Article 40 | Transfer and licensing**

4. Where justified, the grant agreement shall provide for the right for the Commission or the relevant funding body to object to transfers of ownership of results, or to grants of an exclusive licence regarding results, if:

 - the beneficiaries which generated the results have received Union funding;
 - **the transfer or licensing is to a legal entity established in a non-associated third country**; and
 - the transfer or licensing is **not in line with Union interests**.
 - **Article 41 | Access rights**

7. Unless otherwise agreed by the beneficiaries, they shall also grant access to their results and, subject to any restrictions referred to in paragraph 3, to their background to a legal entity that:

 - a) is established in a Member State or associated country;
 - b) **is under the direct or indirect control of another beneficiary, or is under the same direct or indirect control as that beneficiary, or is directly or indirectly controlling that beneficiary**; and
 - c) needs the access to exploit the results of that beneficiary, in accordance with the beneficiary's exploitation obligations

ANNEX - LEGAL INFORMATIONS #5

- **Regulation (EU) 2021/695 of the European Parliament and of the Council of 28 April 2021 establishing Horizon Europe**
<https://eur-lex.europa.eu/legal-content/EN/ALL/?uri=CELEX:32021R0695>
- **Article 54 | Protection of financial interests of the Union**
Where a **third country** participates in the Programme by means of a decision adopted pursuant to an international agreement or on the basis of any other legal instrument, **the third country shall grant the necessary rights and access required for the authorising officer responsible**, OLAF and the Court of Auditors to comprehensively exercise their respective competences. In the case of OLAF, such rights shall include the right to carry out investigations, including on-the-spot checks and inspections, as provided for in Regulation (EU, Euratom) No 883/2013.

ANNEX - LEGAL INFORMATIONS #6

- **Regulation (EU) 2021/695 of the European Parliament and of the Council of 28 April 2021 establishing Horizon Europe**
<https://eur-lex.europa.eu/legal-content/EN/ALL/?uri=CELEX:32021R0695>
 - **ANNEX II | EUROPEAN INSTITUTE OF INNOVATION AND TECHNOLOGY (EIT)**
 - **2.4. Synergies and value added within the Programme**
(g) building strategic alliances with key innovation actors at Union and international level, and support to KICs to develop collaboration and linkages with key Knowledge Triangle partners from **third countries**, with the aim of opening new markets for KICs'-backed solutions and attract financing and talents from abroad. Participation of **third countries** shall be promoted with regard to the **principles of reciprocity and mutual benefits**.
 - **ANNEX IV | SYNERGIES WITH OTHER UNION PROGRAMMES**
 - **12. Synergies with the Neighbourhood, Development and International Cooperation Instrument (NDICI) and the Instrument for Pre-accession Assistance (IPA III)** shall ensure that:
(b) the Programme's R&I activities, with the **participation of third countries and targeted international cooperation actions**, seek alignment and coherence with parallel market uptake and capacity-building actions strands under the NDICI and IPA III, based on joint definition of needs and of areas of intervention.

ANNEX - LEGAL INFORMATIONS #7

- **Regulation (EU) 2021/695 of the European Parliament and of the Council of 28 April 2021 establishing Horizon Europe**

<https://eur-lex.europa.eu/legal-content/EN/ALL/?uri=CELEX:32021R0695>

- **Article 16 | Third countries associated to the Programme**

Article 16	
Third countries associated to the Programme	
1.	The Programme shall be open to association of the following third countries (associated countries):
(a)	Members of the European Free Trade Association, which are members of the EEA, in accordance with the conditions laid down in the Agreement on the European Economic Area;
(b)	acceding countries, candidate countries and potential candidates, in accordance with the general principles and general terms and conditions for the participation of those countries in Union programmes established in the respective framework agreements and Association Council decisions or similar agreements and in accordance with the specific conditions laid down in agreements between the Union and those countries;
(c)	European Neighbourhood Policy countries, in accordance with the general principles and general terms and conditions for the participation of those countries in Union programmes established in the respective framework agreements and Association Council decisions or in similar agreements and in accordance with the specific conditions laid down in agreements between the Union and those countries;
(d)	third countries and territories that fulfil all of the following criteria:
(i)	a good capacity in science, technology and innovation;
(ii)	commitment to a rules-based open market economy, including fair and equitable dealing with intellectual property rights, respect of human rights, backed by democratic institutions;
(iii)	active promotion of policies to improve the economic and social well-being of citizens.

2. Association to the Programme of each of the third countries under point (d) of paragraph 1 shall be in accordance with the conditions laid down in an agreement covering the participation of the third country to any Union programme, provided that the agreement:

- (a) ensures a fair balance as regards the contributions and benefits of the third country participating in the Union programmes;
- (b) lays down the conditions of participation in the Union programmes, including the calculation of financial contributions to individual programmes, and their administrative costs;
- (c) does not confer on the third country any decision-making power in respect of the Union programme;
- (d) guarantees the rights of the Union to ensure sound financial management and to protect the Union's financial interests.

The contributions referred to in point (b) of the first subparagraph of this paragraph shall constitute assigned revenues in accordance with Article 21(5) of the Financial Regulation.

3. The scope of association of each third country to the Programme shall take into account an analysis of the benefits for the Union and the objective of driving economic growth in the Union through innovation. Accordingly, with the exception of EEA members, acceding countries, candidate countries and potential candidates, parts of the Programme may be excluded from an association agreement for a specific country.

4. The association agreement shall, as far as possible, provide for the reciprocal participation of legal entities established in the Union in equivalent programmes of associated countries in accordance with the conditions laid down in those programmes.

5. The conditions determining the level of financial contribution shall ensure a regular automatic correction of any significant imbalance compared to the amount that entities established in the associated country receive through participation in the Programme, taking into account the costs in the management, execution and operation of the Programme. The allocation of the financial contributions shall take into account the level of participation of the legal entities of the associated countries in each part of the Programme.

ANNEX - LEGAL INFORMATIONS #8

- **Regulation (EU) 2021/695 of the European Parliament and of the Council of 28 April 2021 establishing Horizon Europe**

<https://eur-lex.europa.eu/legal-content/EN/ALL/?uri=CELEX:32021R0695>

- **Article 22 | Legal entities eligible for participation**

Article 22

Legal entities eligible for participation

1. Any legal entity, regardless of its place of establishment and including legal entities from non-associated third countries or international organisations, may participate in actions under the Programme, provided that the conditions laid down in this Regulation have been met together with any conditions laid down in the work programme or call for proposals.

2. Except in duly justified cases where the work programme otherwise provides, legal entities forming a consortium shall be eligible for participation in actions under the Programme provided that the consortium includes:

(a) at least one independent legal entity established in a Member State; and

(b) at least two other independent legal entities each established in different Member States or associated countries;

3. ERC frontier research actions, EIC actions, training and mobility actions or programme co-fund actions may be implemented by one or more legal entities, provided that one of those legal entities shall be established in a Member State or associated country on the basis of an agreement concluded in accordance with Article 16.

4. Coordination and support actions may be implemented by one or more legal entities, which may be established in a Member State, associated country or, in exceptional cases, in another third country.

5. For actions related to Union strategic assets, interests, autonomy or security, the work programme may provide that the participation can be limited to legal entities established only in Member States or to legal entities established in specified associated or other third countries in addition to Member States. Any limitation of the participation of legal entities established in associated countries which are EEA members shall be in accordance with the terms and conditions of the Agreement on the European Economic Area. For duly justified and exceptional reasons, in order to guarantee the protection of the strategic interests of the Union and its Member States, the work programme may also exclude the participation of legal entities established in the Union or in associated countries directly or indirectly controlled by non-associated third countries or by legal entities of non-associated third countries from individual calls for proposals, or make their participation subject to conditions set out in the work programme.

6. Where appropriate and duly justified, the work programme may provide for eligibility criteria in addition to those set out in paragraphs 2 to 5 to take into account specific policy requirements or the nature and objectives of the action, including the number of legal entities, the type of legal entity and the place of establishment.

7. For actions benefiting from amounts under Article 15(5), the participation shall be limited to a single legal entity established in the jurisdiction of the delegating managing authority, except if otherwise agreed with that managing authority.

8. Where indicated in the work programme, the JRC may participate in actions.

9. The JRC, international European research organisations and legal entities created under Union law shall be deemed to be established in a Member State other than the ones in which other legal entities participating in the action are established.

10. For ERC frontier research actions, training and mobility actions and when provided for in the work programme, international organisations with headquarters in a Member State or associated country shall be deemed to be established in that Member State or associated country. For other parts of the Programme, international organisations other than international European research organisations shall be deemed to be established in a non-associated third country.

ANNEX - LEGAL INFORMATIONS #9

- **Regulation (EU) 2021/695 of the European Parliament and of the Council of 28 April 2021 establishing Horizon Europe**

<https://eur-lex.europa.eu/legal-content/EN/ALL/?uri=CELEX:32021R0695>

- **Article 23 | Legal entities eligible for funding**

<i>Article 23</i>
<p style="text-align: center;">Legal entities eligible for funding</p> <p>1. Legal entities shall be eligible for funding if they are established in a Member State or an associated country. Only legal entities established in the jurisdiction of the delegating managing authority shall be eligible for funding for actions benefiting from amounts under Article 15(5), except if otherwise agreed by that managing authority.</p> <p>2. Legal entities established in a non-associated third country shall bear the cost of their participation. However, a legal entity established in low to middle income non-associated third countries and, exceptionally, other non-associated third countries, shall be eligible for funding in an action if:</p> <ul style="list-style-type: none">(a) the third country is identified in the work programme adopted by the Commission; or(b) the Commission or the relevant funding body considers that the participation of the legal entity concerned is essential for implementing the action. <p>3. Affiliated entities are eligible for funding in an action if they are established in a Member State, an associated country or in a third country identified in the work programme adopted by the Commission.</p> <p>4. The Commission shall make available on a regular basis to the European Parliament and to the Council information concerning the amount of the Union's financial contributions provided to legal entities established in associated and non-associated third countries. As regards associated countries, that information shall also include information on their financial balance.</p>

ANNEX - LEGAL INFORMATIONS #10

- **Council Regulation (EC) No 139/2004 of 20 January 2004 on the control of concentrations between undertakings (the EC Merger Regulation)**

<https://eur-lex.europa.eu/eli/reg/2004/139/oj>

Article 3 | Definition of concentration

2. Control shall be constituted by rights, contracts or any other means which, either separately or in combination and having regard to the considerations of fact or law involved, confer the possibility of exercising decisive influence on an undertaking, in particular by:

- (a) ownership or the right to use all or part of the assets of an undertaking;
- (b) rights or contracts which confer decisive influence on the composition, voting or decisions of the organs of an undertaking.

3. Control is acquired by persons or undertakings which:

- (a) are holders of the rights or entitled to rights under the contracts concerned; or
- (b) while not being holders of such rights or entitled to rights under such contracts, have the power to exercise the rights deriving therefrom.

Article 3

Definition of concentration

1. A concentration shall be deemed to arise where a change of control on a lasting basis results from:

- (a) the merger of two or more previously independent undertakings or parts of undertakings, or
- (b) the acquisition, by one or more persons already controlling at least one undertaking, or by one or more undertakings, whether by purchase of securities or assets, by contract or by any other means, of direct or indirect control of the whole or parts of one or more other undertakings.

2. Control shall be constituted by rights, contracts or any other means which, either separately or in combination and having regard to the considerations of fact or law involved, confer the possibility of exercising decisive influence on an undertaking, in particular by:

- (a) ownership or the right to use all or part of the assets of an undertaking;
- (b) rights or contracts which confer decisive influence on the composition, voting or decisions of the organs of an undertaking.

3. Control is acquired by persons or undertakings which:

- (a) are holders of the rights or entitled to rights under the contracts concerned; or
- (b) while not being holders of such rights or entitled to rights under such contracts, have the power to exercise the rights deriving therefrom.

4. The creation of a joint venture performing on a lasting basis all the functions of an autonomous economic entity shall constitute a concentration within the meaning of paragraph 1(b).

5. A concentration shall not be deemed to arise where:

- (a) credit institutions or other financial institutions or insurance companies, the normal activities of which include transactions and dealing in securities for their own account or for the account of others, hold on a temporary basis securities which they have acquired in an undertaking with a view to reselling them, provided that they do not exercise voting rights in respect of those securities with a view to determining the competitive behaviour of that undertaking or provided that they exercise such voting rights only with a view to preparing the disposal of all or part of that undertaking or of its assets or the disposal of those securities and that any such disposal takes place within one year of the date of acquisition; that period may be extended by the Commission on request where such institutions or companies can show that the disposal was not reasonably possible within the period set;

- (b) control is acquired by an office-holder according to the law of a Member State relating to liquidation, winding up, insolvency, cessation of payments, compositions or analogous proceedings;

- (c) the operations referred to in paragraph 1(b) are carried out by the financial holding companies referred to in Article 5(3) of Fourth Council Directive 78/660/EEC of 25 July 1978 based on Article 54(3)(g) of the Treaty on the annual accounts of certain types of companies(6) provided however that the voting rights in respect of the holding are exercised, in particular in relation to the appointment of members of the management and supervisory bodies of the undertakings in which they have holdings, only to maintain the full value of those investments and not to determine directly or indirectly the competitive conduct of those undertakings.