

Work package 2

Deliverable: D2.3 Outline of the BANOS Programme's Implementation

Lead organization: BONUS EEIG / ANR, Task Leaders: Minna Ulvila, Claude Yven

Submitted by: Andris Andrusaitis, Coordinator of BANOS CSA
(andris.andrusaitis@bonuseeig.fi)

Submission date: 18 December 2020

The main outcomes

- The new scientific knowledge and know-how as defined in the Baltic and North Sea Strategic (marine and maritime) Research and Innovation Agenda (BANOS SRIA) is planned to be generated in a series of transnational projects. Depending on their objectives and beneficiaries, the projects may be of different types (an indicative and open typology list presented).
- The projects would be selected in competitive calls for proposals. Calls of different types are envisaged (indicative and open typology list is presented).
- The calls are expected to be integrated/coordinated within the Sustainable Blue Economy Partnership work programme as much as possible. However, arranging complementary Baltic and North Sea Research and Innovation Programme (BANOS) -specific calls is possible if the participating states conclude that such are necessary to sufficiently cover the BANOS SRIA.
- The projects integrated into the Sustainable Blue Economy Partnership would be financed under common co-financing provisions of the Partnership. The complementary projects resulting from the BANOS-specific calls would have to be financed exclusively from national sources supplemented where possible by funding originating from, for example, ESIFs as a part of national contribution.
- The tasks of the BANOS implementation structure would include:
 - a) Coordination of actions with the Sustainable Blue Economy Partnership and other relevant partnerships
 - b) Arranging BANOS SRIA updates
 - c) Management of calls including organizing independent evaluation of proposals
 - d) Supervision of projects including scientific reporting and implementation monitoring
 - e) Implementation of a number of programme-level impact-enabling actions (indicative open list provided).
- The BANOS implementation structure would be sustained by collecting management compensations or membership fees from the BANOS members. BANOS may also receive EU funding through the Sustainable Blue Economy Partnership, depending on its implementation structure and governance.

To be cited as: Ulvila M., C. Yven, M. Sirendi, K.A. Koho, A. Andrusaitis (2020). Outline of the BANOS Programme's Implementation. BANOS CSA/D2.3.

Authors: Minna Ulvila, Claude Yven, Meelis Sirendi, Karoliina A. Koho, Andris Andrusaitis

Contact: minna.ulvila@bonuseeig.fi

This work has been carried out by the *Baltic and North Sea Coordination and Support Action (BANOS CSA)* project funded from the European Union's Horizon 2020 Research and Innovation Programme under grant agreement No. 817574.

Description of task: (i.e. as in the Description of Work)

For agreeing the funding models of the future programme it is crucial to know the national research and innovation funding landscape and the variety of funding modalities within countries and NFIs (requests for own funding, grants, full cost versus additional cost systems, indirect cost rates, loans, eligibility and payment conditions and schedules etc.). These need to be known in detail for designing and agreeing the funding models and mechanisms. Besides committed and additional cash contributions, reaching of the ambitious goals of the new programme will necessitate mobilising in-kind contributions provided free of charge by the participating member states. There is a need to define what kind of in-kind contributions, and how much by each country can be allocated to the programme.

Based on the information from the above tasks, the funding model(s), mechanisms and principles and the financial structures will be designed and agreed by all countries involved. As a part of this task, participation mechanisms for the beneficiaries representing non-participant member states will be elaborated. The task should provide alternative scenarios as regards participation of non-EU countries and the most appropriate instruments to ensure optimal EU participation. This task will also produce recommendations for long-term sustainability strategy of the future programme. It is expected that the work on this complex task will continue throughout the whole implementation of the action (M1-M36). The progress of this task will be reviewed by the Forum of Programme Managers (FPC) and the outputs signed off by the BANOS CSA Steering Committee according to order they get produced.

Contents

1	Executive summary	4
2	Introduction.....	5
3	European Blue Economy Partnership as a primary implementation vehicle of BANOS.....	6
4	The core action: generation of new knowledge and innovation.....	7
4.1	Transnational calls for selecting BANOS research and innovation projects	7
4.2	Funding of BANOS research and innovation projects	8
4.3	Management of BANOS research and innovation projects.....	9
5	Other BANOS actions	9
6	Conclusions.....	10

1 Executive summary

The Baltic and North Sea Research and Innovation Programme's Strategic Research and Innovation Agenda (BANOS SRIA) will be implemented mainly by research and/or innovation projects selected through transnational competitive calls for proposals. The specificities of the calls may vary and the calls may be arranged either by the central management of the BANOS Programme or through the future European Partnership for a climate neutral, sustainable and productive Blue Economy (from here on referred to as Sustainable Blue Economy Partnership or simply as Partnership). Each call for proposal will be planned and decided separately and there may be several call planning processes running concurrently or sequentially.

The BANOS SRIA is likely to be primarily implemented through the activities of the Sustainable Blue Economy Partnership. As such, some of the calls may be co-funded both from national and Community sources. In addition to the Partnership activities, some Baltic Sea and North Sea relevant complementary activities that fall outside the scope of the Partnership SRIA, may be implemented as separate 'BANOS Programme only' activities. Such BANOS activities would be funded by national money only, and/or supplemented with funding of other EU funding programmes, such as the European Maritime and Fisheries Fund (EMFF), the Programme for Environment and Climate Action (LIFE) and relevant INTERREG programmes funded by the European Regional Development Fund (ERDF) .

The management of the BANOS research and innovation projects are anticipated to be a combination of centralized and decentralized processes. The technical call management and projects' scientific assessment is arranged by central management, whereas contractual arrangements with projects and financial reporting lies with the national/regional funding institutions.

In addition to implementing the core actions of the programme, a wide range of additional activities are foreseen - such as collaboration with relevant initiatives within the Sustainable Blue Economy Partnership, communication, dissemination and stakeholder activities, promoting human capacity building etc. - which in turn play a critical role in determining not only the level of scientific integration but also impact and added value of the whole programme.

The funding for the programme's centralized management and for the additional activities needs to be planned separately and on the multiannual basis. The funding can be arranged by collecting management compensations or membership fees from BANOS members. In addition, different kind of in-kind contributions by participating countries can be considered.

2 Introduction

The overall objective of the Baltic and North Sea Coordination and Support Action (BANOS CSA) work package 2 *Implementation modalities* is to create the conditions (governance, management, financial, legal aspects and administration) for an effective implementation of the future, joint Baltic and North Sea Strategic (marine and maritime) Research and Innovation Agenda (BANOS SRIA¹). The aim is to develop efficient, transparent and legally robust mechanism and tools to achieve a sound level of management by using the experience gained by the BONUS Art. 185 Programme and the best practices of similar initiatives.

According to the original plan (Description of Action, DoA), the BANOS CSA task 2.2 ‘Agreeing on funding models and instruments’ consists of three closely associated deliverables: 1) ‘Report on national funding landscape and modalities’ (D2.2, delivery month 8; updated in month 24), 2) ‘Agreement on the implementation instrument’ (D2.3, delivery month 18) and 3) ‘Agreement on programme funding principles including in-kind contributions provided free of charge’ (D2.5, delivery month 25). It should be noted that the BANOS CSA proposal as well as the DoA were compiled with presumption that the BANOS Programme will be implemented according to the TFEU Art 185 similar to the ongoing BONUS Programme. However, due to the uncertainty caused by considerable changes in the P2P partnership instruments in the next research and innovation programme Horizon Europe compared to its predecessor, this funding instrument will not materialize as an option for the future BANOS Programme. Therefore, as such, a clear need to modify the contents and timings of deliverables within Task 2.2 has become evident. For this reason, the title of D2.3 has been modified to a more general one ‘Outline of the BANOS Programme’s implementation’ delivery month 26, and respectively, D2.5 to ‘Options for appropriate programme’s funding principles including in-kind contributions provided free of charge’ with delivery month 30. These deliverables now also include an introduction of a so-called ‘stand-alone programme’ option – based on contribution by the participating member states and associated countries - for the future BANOS Programme. Yet this does not exclude options to implement substantial part of the BANOS SRIA within future European Sustainable Blue Economy Partnership nor applying/ implementing the BANOS SRIA using other EU funds (EMFF, INTERREG, etc.).

Within task 2.2 the deliverable D2.2 ‘Report on national funding landscape and modalities’ was submitted in June 2019 (delivery month 8) and subsequently updated in October 2020 (delivery month 24). The report provided valuable information on existing national research and innovation funding landscape in the BANOS region and the variety of existing modalities within the respective countries and the national funding institutions. This document is the second deliverable of the task 2.2. It outlines the set of actions that is foreseen to constitute the future BANOS Programme and touches upon the ways of implementation of these actions to the best of our knowledge at the time of its completion. The outcomes of work on this deliverable will serve as a basis for the other deliverables within the BANOS CSA WP2, mainly D2.5 ‘Analysis of options for appropriate programme’s funding principles including in-kind contributions provided free of charge’. (Figure 1). Within Task 2.1, implemented in parallel to Task 2.2, the optimal form of the ‘operational management structure’ capable of running the foreseen actions is selected (D2.1) and the package of legal documentation that is needed to launch a DIS is drafted (D2.4). Finally, in line with the legal documentation of the DIS, the internal regulations (bylaws) to be followed by BANOS members (D2.6) need to be drafted and finalized. In order to make the programme’s implementation mechanisms operational, the necessary model agreements

¹ BANOS CSA Deliverable 1.5 Final draft of the proposed new, joint Baltic and North Sea Research and Innovation Programme’s Strategic Research and Innovation Agenda (BANOS SRIA)

to be concluded amongst different actors of the future programme have to be drafted (Task 2.3, D2.7) and the programme's online management tool developed (Task 2.4, D2.10).

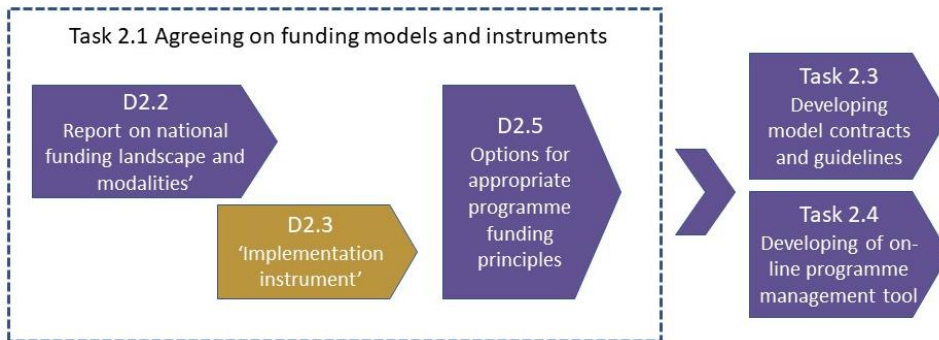


Figure 1.² The workflow in WP2 to create the conditions for an effective implementation of the future, joint BANOS SRIA.

3 European Sustainable Blue Economy Partnership candidate as a primary implementation vehicle of BANOS

The next research and innovation framework programme of the European Union for 2021-2027 – Horizon Europe – is currently being developed. Based on current information/understanding, the ERA-NET Co-fund scheme of Horizon 2020 will be discontinued under Horizon Europe, and the EU's programme level R&I funding will be channeled through fewer and larger initiatives/entities than in earlier framework programmes. Instead, Horizon Europe supports European Partnerships with EU member states and associated countries, the private sector, foundations and other stakeholders³. There will be three types of European Partnerships within Horizon Europe:

- Co-programmed European Partnerships: based on memoranda of understanding and/or contractual arrangement between the Commission and private and/or public partners
- Co-funded European Partnerships using a programme co-fund action: based on grant agreement between the Commission and the consortium of partners, resulting from a call for proposals for a programme co-fund action in the work programme of Horizon Europe. Research funders and other public authorities at the core of the consortium, possible also to include foundations and international partner.
- Institutionalized European Partnerships: partnerships where the EU participates in research and innovation funding programmes that are undertaken by EU countries. This includes so-called TFEU Art 185 and Art 187 programmes.

The BANOS CSA consortium, and particularly BONUS EEIG as the coordinator, is actively contributing to the development of future Sustainable Blue Economy partnership⁴ for which the envisaged implementation mode is a co-funded European Partnership. The implementation of Sustainable Blue Economy partnership is proposed to be based on the 'common partnership's strategic research and innovation agenda' (Partnership

² This figure could be further elaborated to comprehensively present the logic of WP2

³ https://ec.europa.eu/info/horizon-europe-next-research-and-innovation-framework-programme/european-partnerships-horizon-europe_en

⁴ https://ec.europa.eu/info/files/climate-neutral-sustainable-and-productive-blue-economy_en

SRIA), which is currently under development⁵ and largely based on SRIAs of regional seas' initiatives, thus having a high relevance to the content of the BANOS SRIA. The annual work programmes of the Sustainable Blue Economy Partnership are going to be jointly planned by all the partnership members in dialogue with the European Commission. Certain parts of the Partnership SRIA are planned to be implemented by the participating member states and associated countries with alignment of national funds, others co-funded with EU contribution, in addition to the funds of the partners. The partnership intends to deploy a range of instruments, including joint calls for research and innovation (R&I) proposals, joint public procurement, knowledge hubs, synthesis calls, policy labs, research infrastructure sharing and cooperation, hackathons and prize competitions etc.

The operational management of the Sustainable Blue Economy Partnership implementation is expected to be supported by JPI Oceans and regional seas' initiatives. The proposal for implementing the Partnership has been developed and planned by the drafting team consisting representatives from member states and JPI Oceans (serving as a secretariat).

If realized, the Sustainable Blue Economy Partnership will also arrange joint actions, for example related to knowledge transfer and data disseminations, as well as competitive calls with themes relevant to the future BANOS Programme.

In addition to the Sustainable Blue Economy Partnership, the BANOS Programme and its SRIA are likely to have a high relevance to number of other European Partnerships, which are currently under development. Collaboration with these Partnerships may be used as an additional implementation mechanism of the BANOS SRIA. These Partnership candidates include (in no particular order): Zero Emission Waterborne Transport Partnership, Rescuing Biodiversity Partnership, Water4All Partnership, European Partnership for Chemicals Risk, Clean Energy Transition Partnership, European Partnership Innovative SMEs, Animal Health Partnership, Safe and Sustainable Food System Partnership and European Partnership for a Circular bio-based Europe.

4 The core action: generation of new knowledge and innovation

In the core are the research and/or innovation projects which will be used as the main tool to implement the BANOS Programme and its SRIA. Methods of selecting, managing and funding projects implementing the BANOS SRIA are described in the following chapters.

4.1 Transnational calls for selecting BANOS research and innovation projects

Research and innovation projects implementing the BANOS SRIA will be selected through transnational, competitive calls for proposals. Coordination with the Sustainable Blue Economy Partnership will be achieved through alignment of annual and multi-annual work programmes with the partnership members in dialogue with the European Commission. The calls will vary in general differing in their main purpose, R&I implementers addressed and, to certain degree, expected size and duration of projects, specific financing mechanisms as well as application and project implementation rules. The topical content of the BANOS calls will be formulated so that the whole BANOS SRIA is covered during the years of implementing BANOS. Specific themes to be included in each call will be defined in work plans published by the BANOS management in

⁵ http://jpi-oceans.eu/sites/jpi-oceans.eu/files/public/Blue%20partnership/Blue%20Economy%20Partnership%20SRIA_Draft%20for%20Consultation.pdf

coherence with the work plans of the Sustainable Blue Economy Partnership. Each call will be announced by publishing a specific call fact sheet in an open media.

Types of the BANOS calls could include⁶:

- calls for primary research projects
- calls for knowledge review and synthesis projects
- calls for disruptive innovation projects at early levels of technological readiness level (TRL)
- calls for projects supporting scale-up and commercial advancement of innovation at more mature TRL
- calls for projects supporting dissemination to stakeholders and promoting citizen science⁷ and ocean literacy

The future BANOS calls of different types could be arranged separately or combined in mutually supplementing groupings.

The process of the transnational calls' funding planning could be, for example, as follows:

- 1) Confirming relevant themes/topics of the call based on the BANOS SRIA, and identifying the national funding institutions interested in participating in specific calls (iterative process in dialogue with BANOS members and management, decided by BANOS government body)
- 2) Identifying collaboration possibilities with respective EU funding programmes (EMFF, LIFE, Interreg) and either aligning with work programmes of direct/regional management or negotiating with local/regional authorities
- 3) Collecting commitments from funding institutions, followed by contractual arrangement of participating countries (call specific)
- 4) Detailed planning of the call, including schedule, budget, participation rules, etc.; followed by launching and management of the call and thereafter management of the successful projects

There may be several 'call funding' planning processes running concurrently or (partly) sequentially.

Further call details, selection procedures and other related details will be presented in BANOS CSA deliverable 2.9. *Set of guidelines for the joint Baltic and North Sea Research and Innovation Programme's (BANOS) implementation* (task 2.3 Model contracts and guidelines) due in M36.

4.2 Funding of BANOS research and innovation projects

Taking into account that the possibilities for the EU R&I co-funding to the future BANOS Programme are most probably limited to the actions that are implemented through the Sustainable Blue Economy Partnership, and possibly Missions⁸, the BANOS SRIA is likely to be primarily implemented as part of the Partnership. This way some of the BANOS R&I themes – embedded in the Sustainable Blue Economy SRIA - can be funded either with national funding by the participating countries only or co-funded with funding from EU sources and from participating countries.

⁶ This list is open; new types can be added, merged etc.

⁷ D4.8 Report proposing measures stimulating 'citizen science' by the new programme (T4.7, M36)

⁸ Missions are a part of the Horizon Europe framework programme. Each mission – five in total - is a mandate to solve a pressing challenge in society within a certain timeframe and budget. (https://ec.europa.eu/info/horizon-europe-next-research-and-innovation-framework-programme/missions-horizon-europe_en)

However, in order to be able to implement the BANOS SRIA in its full scope, some complementary activities, including calls of R&I themes that fall outside the scope of the Partnership SRIA, may be organized by the BANOS management based on national money only. Alternatively, some of the complementary activities could be funded by other European funding instruments, such as Structural and Investments Funds (ESIF).

Above all, the other EU funding programmes may be considered as a supplementary funding sources in some specific thematic areas. These are, in particular, the European Maritime and Fisheries Fund (EMFF), the Programme for Environment and Climate Action (LIFE) and the relevant INTERREG programmes funded by the European Regional Development Fund (ERDF). These funds could be arranged through direct management by the Commission directorates-general (DG MARE, DG ENV, DG REGIO) or shared management by member states.

The possible forms of collaboration with EU funds are:

- joint transnational calls of specific themes
- using other EU funding as national contribution at the call level
- arrangements for enabling smooth transition from research project towards markets
- clustering activities
- training activities

More detailed planning of the collaboration and possible co-funding with above mentioned EU funding schemes is included in the BANOS CSA deliverable *D2.8 Report of new forms of cooperation and co-funding mechanisms with initiatives financed by ESIF and other sources* due in M36.

4.3 Management of BANOS research and innovation projects

The operational management of the BANOS funded research and innovation projects should be a combination of centralized and decentralized processes. The following tasks should be managed centrally:

- arranging and managing joint calls (call preparation and launch, organizing proposal submission and evaluation)
- following and assessing projects' scientific and/or technical reporting
- developing and maintaining IT tools for call and project management (EPSS)
- collecting overall financial and statistical data for information purposes.

The responsibility of contractual arrangements of funding (e.g. grant agreements with beneficiaries) and detailed projects' financial reporting lies with the national/regional funding institutions.

5 Other BANOS actions

As demonstrated by BONUS Art 185, a successful transnational, policy-driven programme requires, in addition to projects, a number of additional actions which in turn play a critical role in determining not only the level of scientific integration but also impact and added value of the whole programme nationally, regionally and at European and wider international levels. Such actions include:

- coordinating collaboration with relevant initiatives within the Sustainable Blue Economy Partnership through involvement in planning the annual work programmes of the partnership
- promoting and organizing mobility among the R&I project partners
- facilitating infrastructure sharing

- arranging thematic clustering of R&I projects
- promoting open science⁹ and open data¹⁰, and enhancing citizen science and ocean literacy as appropriate
- enhancing human capacity building¹¹ in the blue economy sector in line with the EU Blue Growth Strategy
- arranging systematic updates of the BANOS SRIA
- preparing implementation plans for decision by the BANOS programme's governing body
- collecting impact indicators at programme level and arranging programme level impact assessment
- implementing the programme level communications, dissemination, and stakeholder engagement strategy¹² and providing central guidelines and support to the project level equivalent
- coordinating collaboration and aligning actions with appropriate 'sister' initiatives: e.g. European regional seas initiatives, joint programming initiatives as well as other relevant funding streams: e.g. EU's EMFF, LIFE, INTERREG etc.
- arranging international R&I collaboration, e.g. with Russian Federation

In order to achieve these actions, a well-functioning and cost-efficient central implementation structure (DIS¹³) is needed. For that purpose, the funding for the programme's centralized management needs to be planned separately and on the multiannual basis. For instance, the funding could be arranged by collecting management compensations – certain percentage of the funding by participating funding institutions – or membership fees from BANOS members. In addition, BANOS members could invest to the programme management by in-kind contributions, such as providing office facilities or human resources. The funding mechanisms will be further elaborated in the BANOS CSA deliverable D2.5.

6 Conclusions

The BANOS SRIA is foreseen to be implemented through a series of transnational research and innovation projects selected in competitive calls for proposals. The primary vehicle for organizing and managing calls for proposals will be the Sustainable Blue Economy Partnership, but in order to be able to implement the BANOS SRIA in its full scope some complementary activities may be organized by BANOS management based on national funding or supplemented with other EU funding sources. In addition to arranging the R&I calls and managing the funded projects, implementation of BANOS programme will entail a number of programme-level impact enabling actions.

The management of the BANOS research and innovation projects should be a combination of centralized and decentralized processes where operational call and project management is carried out by centralized BANOS management and contractual and financial arrangements by respective national funding institutions. The funding for the programme's centralized management and for the additional activities needs to be planned separately and on the multiannual basis.

⁹ D4.5 Report proposing programme-level strategies supporting firm establishing of 'open science' (T4.4, M36)

¹⁰ D4.7 Report proposing new programme's data strategy and mechanisms for its implementation (T4.6, M25)

¹¹ D4.4 Report proposing strategies in support of human capacity building and skill's development (T4.3, M31)

¹² D3.5 Communications strategy (T3.5, M14)

¹³ DIS is being elaborated in BANOS CSA D2.1

The possible collaboration forms and mechanisms with other EU funding instruments – EMFF, LIFE, INTERREG – need to be considered/designed in detail when the planning of the BANOS programme implementation becomes topical.¹⁴

The options for funding principles and mechanisms of the BANOS programme and the rules and tools of the BANOS implementation will be described in more detailed in deliverable D2.5 ‘Analysis of options for appropriate programme funding principles including in-kind contributions provided free of charge’ and within task T2.3 ‘Developing model contracts and guidelines’.

¹⁴ Evaluated further in deliverable 2.8. Report on new forms of cooperation and co-funding mechanisms with initiatives financed by ESIF and other sources (T2.5, M36)