

## **Questions & Answers**

Call for proposals 2023 HORIZON-ER-JU-2023

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Q	For Innovation Actions, what is	As stated in the Amended EU-Rail Work Programme
1	the funding rate for profit	2023-2024 (section 2.3.8.1 Conditions of the calls and
	organizations?	calls management rules), "the EU-Rail 2023 Call will follow
	0	the rules of the European Union's Horizon Europe
		framework programme and in particular the Horizon
		Europe rules for participation as well as the General
		Annexes to the HE Work Programme 2023-2024, which
		apply, unless specified otherwise, to EU-Rail calls for
		proposals". According to the Horizon Europe Work
		Programme 2023-2024 General Annexes, page 30, the
		maximum Horizon Europe funding rates for an Innovation
		action for profit organizations is up to 70% and for non-
		profit legal entities up to 100%.
		In particular - as stated in the Amended EU-Rail Work
		Programme 2023-2024 -, for the sole Innovation Action
		•
		for the EU-Rail call for proposals 2023 "EU-Rail SESAR
		Synergy: Integrated air and rail network backbone for a
		sustainable and energy efficient multimodal transport
		system" (section 2.3.8) the funding rate for profit
		organizations has been set-up at maximum 70% funding
		rate.



		In the specific conditions under each of the topics in the EU-Rail call 2023 there is no lower funding rate applied.
Q 2	<ol> <li>What about Swiss partners participating as Associated Partner in a project/call through a Consortial Agreement?</li> <li>If so, can we receive a copy of the respective Grant Agreement including Annexes for our Swiss funding authorities?</li> </ol>	<ol> <li>In accordance with Article 22(1) of the <u>HE Regulation</u>, "any legal entity, regardless of its place of establishment, including legal entities from non-associated third countries or international organizations, is eligible to participate (whether it is eligible for funding or not), provided that the conditions laid down in the Horizon Europe Regulation are met, along with any other conditions laid down in the specific call topic".</li> <li>Nevertheless, all exploratory talks regarding the association of Switzerland to the next generation of EU programmes are currently on hold. In the meantime, Switzerland cannot be considered a candidate associated country in Horizon Europe. It should be considered a non- associated third country. As a matter of consequences, legal entities established in Switzerland are not eligible for funding, except if provided for in the specific call conditions, or if their participation is considered essential for implementing the action by the granting authority.</li> <li>The EU-Rail call for proposals included in Amended EU- Rail Work Programme 2023-2024 does not foresee any specific call conditions for legal entities established in Switzerland. Therefore legal entities established in Switzerland. Therefore legal entities established in Switzerland. Therefore legal entities established in Switzerland could participate in the EU-Rail call for proposals 2023 as "associated partners" (in the meaning of Articles 2 and 9.1 of the Model Grant Agreement - Lump Sum Grants) without the right to charge costs or claim contributions: they may not charge contributions to the action (no lump sum contributions) and the costs for their tasks are not eligible (may not be included in the estimated budget in Annex 2).</li> <li>More information about the participation of Swiss entities in Horizon Europe can be found in the Founding and Tender Portal under FAQ.</li> <li>The Grant Agreement templates are already present in the F&amp;T Portal under the section "<i>Topic Conditions and </i></li></ol>



Q	How and under which conditions	We confirm that in accordance with the Amended
3	can partners/members from the	Europe's Rail Work Programme 2023-2024 and the call
	JU consortium participate in a	conditions (section 2.3.8-Type of call: Open), the EU-Rail
	proposal or collaborate to a	calls for proposals 2023 are open to all eligible entities
	project? Does this reduce their	according to Horizon Europe rules for participation. There
	already allocated budget in the	are no restrictions apart from those laid down in Horizon
	JU? What is the funding rate?	Europe Work Programme General Annex B.
		Please note that there is no EU budget allocated to the
		members of the JU, although EU-Rail Private Members
		have committed a minimum in-kind (i.e., in-kind
		contributions for operational activities and in-kind
		contributions for additional activities) and cash
		contribution to the JU
		As indicated in the <u>Amended Europe's Rail Work</u>
		Programme 2023-2024 (under Conditions for the Call-
		Specific Conditions-Indicative budget) for each call topic,
		"applicant Private Members (as defined in Article 2(5) of
		Council Regulation (EU) 2021/2085) of the EU-Rail part of
		consortia responding to this topic should provide in-kind
		contributions to additional activities to be declared via the
		template model available on the F&T Portal. The amount
		of total in-kind contributions (i.e., in-kind contributions for
		operational activities and in-kind contributions for
		additional activities) should be no less than 1.26352 times
		the funding request, in aggregate, of these applicant
		Private Members. Any discrepancy shall be well and duly
		justified.
		<i>In this respect, the grant agreements will set, in principle,</i>
		annual deliverable on in-kind contributions for the
		projects selected under this topic, as well as mandatory
		reporting requirements, for those applicants who are
		Private Members of EU-Rail".
		Regarding your question on the funding rates, as stated in
		the Amended EU-Rail Work Programme 2023-2024
		(section 2.3.8.1 Conditions of the calls and calls
		management rules), "the EU-Rail 2023 Call will follow the
		rules of the European Union's Horizon Europe framework
		programme and in particular the Horizon Europe rules for
		participation as well as the General Annexes to the HE
		Work Programme 2023-2024, which apply, unless
		specified otherwise, to EU-Rail calls for proposals". As in
		the specific conditions under each of the topics in the EU-
		Rail call 2023 there is no lower funding rate applied, the
		EU-Rail call for proposals 2023 does not put a lower limit



		to the maximum Horizon Europe funding rates (see "Form of grant, funding rate and maximum grant amount" of Annex G of the HE Work Programme 2023-2024).
Q 4	Are proposals that include members of the JU awarded higher scoring by the evaluators due to the additional financial resources they will bring to the project?	Please note that the EU indicative budget defined for each of the topics referred in the Amended EU-Rail Work Programme 2023-2024 (under Annex VII – Call for proposals 2023 - Conditions for the Call - Specific Conditions - Indicative budget) has been set by EU-Rail to be sufficient to cover the activities requested in the topic text. The independent external evaluators will be asked to evaluate the proposal against the call text requirements. The indicative EU budget for each topic is also indicated on the Funding and Tenders portal in the section "budget overview" (under the link <u>Funding &amp; tenders</u> ).
		activities beyond the call text requirements, those are not part of the call for proposals award criteria announced in the Amended EU-Rail Work Programme 2023-2024 (Annex VIII – 2023 Call for proposals – Evaluation Criteria) and therefore are not in principle taken into consideration for the scoring in accordance with Part D of the Horizon Europe Work Programme 2023-2024 General Annexes (award criteria, scores and weighting).
Q 5	Is there a connection between the calls and CNOSSOS-EU?	In accordance with the Amended EU-Rail Work Programme 2023-2024 (Annex VII – Call for proposals 2023 - HORIZON-ER-JU-2023-EXPLR-01: NOISE AND VIBRATIONS - Scope section of the topic - Noise in curves) is expected that the applicant will conduct research activities, aiming at addressing the prediction and noise reduction around in urban areas, to improve the EU- CNOSSOS curve noise factor. You will find further information on the Funding & Tender Opportunities Portal (under the link <u>Funding &amp; tenders</u> ).
Q 6	I have a question regarding in-kind contribution and the definition of Private Members. If I understand it well, the reporting of 1,26 times more work is basically equals to the 70% support rate? In the last presentation it was the number ADDITIONAL 1,26 EUR to every EUR EU contribution, is that	Please be informed that for 1€ of JU contribution, the EU- Rail Private Member shall contribute in addition of 1.263€ (this is an aggregate multiplier for the Founding Members, comprising in-kind contributions for operational activities and in-kind contributions for additional activities). This independently on the funding rate on the eligible costs. For more details about the contribution of an EU-Rail Private Member please refer to Q n°3.



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	correct? In my understanding it should be 1,26	
Q 7	Can Swiss Partners also lead a project?	For the status of Switzerland and legal entities established in Switzerland in the Horizon Europe Programme please refer to answer to Q2 and the Founding and Tender Portal under <u>FAQ</u> .
		As regards the question on Swiss Partners, in accordance with Articles 2 and 9.1 of the Model Grant Agreement - Lump Sum Grants), associated partners (such as legal entities established in Switzerland) do not become party to the Grant Agreement (GA), do not sign the GA and do not receive EU funding (i.e.: they may not charge contributions to the action (no lump sum contributions) and the costs for their tasks are not eligible (may not be included in the estimated budget in Annex 2). Therefore, associated partners cannot lead the project (as "consortium coordinator").
		Nevertheless, associated partners are mentioned in the GA and can implement important parts of the action, as they perform action tasks directly. They can become work package leaders in collaborative projects and must implement the action tasks attributed to them in Annex 1 (in accordance with Article 11 of the GA.) The GA names them and defines their role (rights and obligations). More information on "associated partners" is provided in the <u>HE Annotated Grant Agreement (AGA)</u> .
Q 8	It seems, that some topics in the call have similarities to topics which are already addressed in the ongoing calls of the FP projects, e.g., FP 4. How will a collaboration between the topics be granted and controlled, to be sure that there will be no duplication of work but a good cooperation and complement the topics? And if yes how official interfaces between the projects planned for this?	As specified in section 2.3.8.1 of the Amended EU-Rail Work Programme 2023-2024, in order to facilitate the contribution to the achievement of the EU-Rail objectives, the options regarding 'linked actions' of the EU-Rail Model Grant Agreement and the provisions therein, is enabled in the corresponding EU-Rail Grant Agreements. In accordance with <u>the amended Work Programme 2023-</u> 2024, the information regarding complementarities is specified in the "Linked Projects" section in each of the Call topics. E.g., the action that is expected to be funded under the HORIZON-ER-JU-2023-EXPLR-02: FUTURE METRO SYSTEMS will be complementary to the following actions:
		-FP1 - MOTIONAL (GA 101101973) -FP2 - R2DATO (GA 101102001) -FP3 - IAM4RAIL (GA 101101966)



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		Note that this obligation does not entail a specific legal agreement to be put in place and that the list is non- exhaustive, as additional Linked Projects may follow at a later stage of the programme implementation to complement the activity. Please refer to the Funding & Tender Portal for further information (Funding & tenders).
Q 9	For the call 'HORIZON-ER-JU- 2023-EXPLR-04 Disruptive Asset Management Solutions including urban use cases', the call wording states: 'Activities are expected to be at TRL 4/5, higher TRL are possible'. Please clarify which of the following this means: 1) the project must reach TRL 4/5 by the end of the project, or 2) the project technology should start at TRL 4/5 and be increased to a higher TRL during the project.	Please be informed that in the time-frame consideration of the project duration, the applicants should consider the expectations stemming from the call conditions to achieve a Technology Readiness Level (TRL) 4/5, or higher by the end of the JU-funded project. For more detailed information see Horizon Europe Work Programme 2023 - 2024 - General Annexes - Annex B - Technology Readiness Levels - for a guide to the TRL definitions and criteria to be used.
Q 1 0	Maybe I have wrongly read the information anyway it seems to me that the budget for the call mentioned in the subject (rail and aviation synergy call) in the press release is said to be 7 million Euro, while in the text of the call is indicated 5 million Euro. Could you explain?	<ul> <li>The budget for topic HORIZON-ER-JU-2023-FA1-SESAR can be found on the <u>Funding and Tenders portal</u> in the section "budget overview".</li> <li>The information relative to the budget can also be found in the Amended EU-Rail Work Programme 2023-2024 (Annex VII- Call for proposals 2023) (page 154) under "Indicative budget" as follows: <i>The total indicative EU budget for this specific topic is EUR 5 million</i>.</li> <li>7.1 million euros is the expected potential total project costs, as this topic is defined an Innovation Action with up to 70% funding on the eligible costs. This is also indicated in the <u>AWP 2023-2024</u> (section 2.3.8 Calls for proposals) on page 57.</li> </ul>
Q 1 1	I am contacting you as I couldn't attend yesterday's info day on the rail-related calls for proposals but would be interested in knowing more about it. Is there the possibility for you to share with	Please be informed that the Call for Proposals 2023 is published on Europe Rail's website ( <u>Europe's Rail Call for</u> <u>Proposals 2023 is open for submissions - Europe's Rail</u> ). In the EU-Rail web site you can also find the <u>Europe's Rail</u> <u>Info Day 2023</u> that took place on 4 October 2023 where



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	me the presentation you delivered, or any video you may have made regarding the info day? Also, I would really appreciate if you could provide the link to the eligibility criteria to participate.	you can find the presentation and recording of the session. Information about the admissibility and eligibility criteria can be found on the Funding & Tenders Portal ( <u>Funding &amp;</u> <u>tenders</u> .
Q 1 2	In the coming months, some partners will prepare a proposal for the Europe's Rail NVH call. I have one administrative question: do you know if Europe's rail core members (DB, Alstom, etc.) can take part in this call or is it reserve to others (university, engineering companies, etc.).	Please refer to the answer provided in Q3. We confirm that in accordance with the <u>Amended Europe's Rail Work</u> <u>Programme 2023-2024</u> and the call conditions, the JU calls for proposals are open to all eligible entities according to Horizon Europe rules for participation. There are no restrictions apart from those laid down in Horizon Europe Work Programme General Annex B.
Q 1 3	Our researchers are interested in the joint call with SESAR. We were wondering how the rules for financing work here. We are aware that when we join EU-Rail calls of exploratory research, we have to increase our IKAA for the flagship projects. But we are not sure if this applies also for the call with SESAR as we are not only member of EU-Rail but also member of SESAR. Can you explain us, what we need to consider in terms of budget?	Please refer to the answer provided in Q1 about the funding rate for the call topic "HORIZON-ER-JU-2023-FA1-SESAR: EU-Rail SESAR Synergy: Integrated air and rail network backbone for a sustainable and energy efficient multimodal transport system". EU-Rail did not lower the funding rate on the eligible cost, in these activities implementing Flagship Area 1, to achieve the leverage effect established in the SBA normally applied to Flagship Projects, this means that the maximum Horizon Europe funding rate in this Innovation Action topic is 70% for profit entities and 100% for non-profit. In your question you indicate that you are both member of EU-Rail and of SESAR 3 JU. Should you join a possible consortium submitting a proposal to answer to this topic, you submit it either as a member of EU-Rail or a member of SESAR 3 JU or a mix of both, that you will need to specify in the budget table information on "Estimated Members' contribution indicative value per member". This remains your choice, in function of the type of activities you plan to undertake in your proposal. In case of mix participation of your company as private member of EU-Rail and SESAR, in the table "ESTIMATED MEMBERS'CONTRIBUTIONS-INDICATIVE VALUE PER MEMBER - Joint call EU-RAIL & SESAR - PROJECT ACRONYM" you may select and duplicate your company's name (member X) for both EU-Rail and SESAR. Like this



EU-Rail will have the information of the estimated Member's contribution for both EU-Rail and SESAR JU.
Please take note that the call topic indicates the requirement of a "Target a balanced participation of entities from both the rail and aviation sector. The contribution brought by those entities is also expected to be insofar as possible balanced between the rail and aviation stakeholders. The applicants can justify a different approach for the correct implementation of the action."
Additionally, as indicated in the Specific Conditions section of the HORIZON-ER-JU-2023-FA1-SESAR topic call, the following applies:
Applicant Private members of EU-Rail: Should provide in-kind contributions (i.e., in-kind contributions for operational activities and in-kind contributions for additional activities) of an amount should be no less than 1.263 times the funding request, in aggregate, of the applicant Private Members. Any discrepancy shall be well and duly justified.
SESAR 3 JU Members other than the Union: will report their IKOP and IKAA as per standard guidance, with no impact on the evaluation procedure. In accordance with SESAR 3 JU standard guidance, the total in-kind Contributions of other members are indicative only (and corresponds at least to the un-funded part of the grant amount, i.e., the IKOP).
Please take note that the applicant Private Members should fill the in the budget table information on "Estimated Members' contribution indicative value per member", with provides the IKOP and IKAA for each Member (aggregated, of the applicant Private Member).
Finally, the Amended Europe's Rail Work Programme 2023-2024 (under Annex VII – Call for proposals 2023 – Specific Conditions – Indicative budget), describes the expected amount of total in-kind contributions (i.e., in-kind contributions for operational activities and in-kind contributions for additional activities) and condition that only applies to applicants that are Private Members (as defined in Article 2(5) of Council Regulation (EU) 2021/2085 and listed in Annex II) of EU-Rail part of consortia responding to this topic.



		For the conditions that apply to the in-kind contributions of funding members of SESAR it should therefore be minimum the in-kind contribution for operational activities (IKOP). However, the table made available for this call also allow you to foresee additional activities contributions should that be necessary or envisaged. It is to be noted that the IKAA for SESAR3 JU Members is based on the implementation of the adopted IKAA plan (plan adopted in N-1 and to be reported in N+1). Which means that the SESAR3JU will consider in priority for its reporting purpose, also for the additional activities associated to this call, the estimates provided by its Members in the IKAA plan.
Q 1 4	We would appreciate, if you could inform us about the steps required for our entity to be part of the Europe's rail partnership.	EU-Rail was established by the Council Regulation (EU) No 2021/2085 of 19 November 2021 establishing the Joint Undertakings under Horizon Europe (the "Single Basic Act" or the SBA) which entered in force on 30 November 2021. In accordance with article 87(1) of the SBA, the members of EU-Rail are: (a) the Union, represented by the Commission, (b) the 25 Founding Members listed in Annex II of the Regulation and (c) the associated members. As announced in the Amended Europe's Rail Work Programme 2023-2024 (section 1.1) EU-Rail intends to launch during the first half of 2024 a call for expression of interest with a view to selecting Associated members in accordance with Article 7 of the SBA, after having performed an in-depth review of the areas where such type of membership would bring added value to the R&I Programme. For the definition of an "associated member" please refer to Article 2(3) of the SBA. As
		indicated in Article 6(3) of the SBA, in order to become an associated member of EU-Rail, a letter of commitment shall be signed detailing the scope of the membership in terms of content, activities and its duration, as well as the associated members' contributions to the joint



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		undertaking, including an indication of the envisaged additional activities referred to in Article 11(1), point (b) of the SBA.
		Please note that in order to participate to the activities of the Programme of EU-Rail you do not need to become a member of the partnership. Our Programme it is implemented through grants and tender which are open to all eligible economic actors. In particular for this open EU-Rail call 2023-01 we confirm that in accordance with the <u>Amended Europe's Rail Work Programme 2023-2024</u> and the call conditions, the JU calls for proposals are open to all eligible entities according to Horizon Europe rules for participation. There are no restrictions apart from those laid down in Horizon Europe Work Programme General Annex B.
Q 1 5	Does the condition, "Applicant Private Members of the EU-Rail part of consortia responding to this topic should provide in-kind contributions to additional activities to be declared via the template model available on the F&T portal. The amount of	In accordance with the Article 11(1) of the <i>Council</i> <i>Regulation (EU) 2021/2085 of 19 November 2021</i> <i>establishing the Joint Undertakings under Horizon Europe</i> (the " <u>Single Basic Act</u> "), only the Private Members of the JU are requested to deliver in-kind contributions, both in a form of in-kind contributions to operational activities (IKOP) and in-kind contributions to additional activities (IKAA).
	total in-kind contributions (i.e., in- kind contributions for operational activities and in-kind contributions for additional activities) should be no less than 1.26352 times the funding request, in aggregate, of these applicant Private Members. Any discrepancy shall be well and duly justified." , apply to participants that are	There are two types of Private Members under the Europe's Rail Joint Undertaking – Founding Members and Associated Members (cf. Article 87 of the Single Basic Act). The Founding Members acceded to the Europe's Rail Joint Undertaking based on the Letter of Commitments submitted by the interested entities in December 2021. Annex II to the Single Basic Act lists the Founding Members of the JU. Currently, there are no Associated Members of the EU-Rail Joint Undertaking.
	<ul> <li>apply to participants that are partially owned by one or more Private members?</li> <li>In other words, a beneficiary that is (partly) owned by one or more Private Members of ERJU or there are legal links between them, does need to in-kind contribute to</li> </ul>	In accordance with Articles 2(10), 11, 28 and 89 of the Single Basic Act, the only manner for IKOP or IKAA to be accounted for other than by the JU Private Member or constituent entity, would be as an Affiliated Entity to the JU Private Member or its constituent entity, sustaining a capital or legal link as indicated in Art 187(1)(b) of the Financial Regulation.
	the project in Exploratory Research?	In accordance with article 2(8) and (10) of the SBA, each Private Member or its constituent entities can agree to distribute the objective of in-kind contributions to the JU (i.e., in-kind contributions for operational activities and



in-kind contributions for additional activities) and among itself and its affiliated entities (AEs). Therefore, it is up to the Private Member to decide if the affiliated entity is contributing to its in-kind contribution to the JU. In accordance with the Grant Agreement, Affiliated Entities of a Private EU-Rail Member can in turn participate as direct beneficiaries, affiliated entities or or subcontractors to contribute to the action implementation and subsequently access the EU funds, provided they meet the HE eligibility conditions. The costs incurred by the entities affiliated to a JU Member independently on the way they would participate in the project proposal -would be taken into account and later accounted by the JU as Member contribution to the JU if confirmed by the JU Member as part of their own in-kind contributions. For more information about how those inkind contribution should be budgeted into the proposal, please refer to the Q13.

In accordance with of article 1(5) of the EU Financial Regulation 2018/1046 and article 7 of the Grant Agreement, an 'affiliated entity' of an EU-Rail Private Member can participate in the proposal (and in the consequent Grant Agreement) as a direct beneficiary. In this case the 'affiliated entity' of an EU-Rail Private Member will be formal party to the Grant Agreement (i.e.: as beneficiary must sign the Grant Agreement) and have full responsibility for implementing the action properly and for complying with the obligations under the Grant Agreement (see Article 11).

In case of a participation as affiliated entity in the project proposal, please be informed that as stated in Article 2(46)-Definitions) of the Horizon Europe Regulation, 'affiliated entity' means an entity as defined in Article 187(1) of the EU Financial Regulation 2018/1046. Affiliated entities are entities that satisfy the eligibility criteria, do not fall within one of the situations referred to in Articles 136(1) and 141(1) of the EU Financial Regulation and have a link with the beneficiary, in particular, a legal or capital link, which is neither limited to the action nor established for the sole purpose of its implementation. They participate in the action with similar rights and obligations as the beneficiaries (obligation to implement action tasks and right to charge costs and claim contributions) but they do not become party to the Grant Agreement (do not sign the GA). If a Grant beneficiary wishes to involve an entity as affiliated to that beneficiary in the project without having any legal



		link, it must have at least a capital link to be involved as an Affiliated entity.
Q 1 6	Dear Europe's Rail Call Helpdesk, Concerning the call HORIZON-ER- JU-2023-EXPLR-01 NOISE AND VIBRATIONS, can an EU-RAIL Private Member participate as a subcontractor to a consortium member? If an EU-RAIL Private Member can participate as a subcontractor to a consortium member, are there in- kind contributions (i.e., in-kind contributions for operational activities and in-kind contributions for additional activities) to be provided no less than 1.263 times the amount received by the EU-RAIL Private Member as subcontractor?	The EU-Rail 2023 Call will follow the rules of the European Union's Horizon Europe framework programme and in particular the Horizon Europe rules for participation as well as the General Annexes to the HE Work Programme 2023-2024, which apply to EU-Rail calls for proposals. Therefore, an EU-Rail Private Member of the JU can participate in the call and in the topic HORIZON-ER-JU- 2023-EXPLR-01 NOISE AND VIBRATIONS either as a consortium member (i.e.: direct beneficiary), as an affiliated entity of a consortium member or as subcontractor. In case the EU-RAIL Private Member participate as a subcontractor, the standard Horizon Europe and Grant Agreement rules on subcontracting (best value for money etc.) must be respected. As regards the in-kind contributions for a EU-RAIL Private Member of the JU participating as a subcontractor, please note that regardless of whether you participate as direct beneficiary, affiliated entity or subcontractor in the consortium submitting a proposal responding to the JU call 2023 and in particular the topic HORIZON-ER-JU- 2023-EXPLR-01 NOISE AND VIBRATIONS, as an EU-Rail Private Member, you should confirm it in the proposal by filling in the excel file Annex 1 of part B "estimated Member's contribution". This will be compared against the commitments made in the Letter of Commitment by the JU Private Members. This confirmation should also be provided to the JU by the JU Private Member itself. For more information about the estimated members' contributions, please refer to the Q13.