Horizon Europe guarantee guidance

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Please direct any questions on the guarantee guidance to eugrantsfunding@ukri.org

www.ukri.org/HorizonEU
Horizon Europe guarantee guidance

On 29 November 2021, the government announced a new scheme that guarantees funding for successful, eligible applicants to Horizon Europe grant awards regardless of the outcome of the UK’s efforts to associate to Horizon Europe.

The UK government has stated that its priority remains association to Horizon Europe, as both the UK and the EU agreed under the Trade and Cooperation Agreement last year, and that it stands ready to formalise UK association. However, ongoing delays in this process have led to uncertainty for researchers, businesses and innovators based in the UK.

The guarantee is a short-term measure intended to address the delays in the formalisation of the UK’s association to Horizon Europe. To provide reassurance, the government has guaranteed funding for all eligible, successful applicants to Horizon Europe calls with final submission deadlines on or before 31 December 2022.

Calls that are part of the Marie Skłodowska-Curie Actions (MSCA) or European Research Council (ERC) schemes will be covered by individual calls launched on the Joint Electronic Submission (Je-S) system after the results of the original EU calls are announced. All other eligible Horizon Europe calls will be covered by the Innovation Funding Service (IFS) system.

Please note that there is one IFS guarantee funding application route for all EU collaborative R&D calls except 2022 and 2023 KICs. In applying you will be asked to select the EU call through which you have been successful.

The Je-S and IFS calls do not have set closing dates and are intended to remain open until all eligible applicants who wish to apply for the guarantee have had the chance to do so. For detailed guidance on how to apply, please see the Horizon Europe guarantee notice and guidance page.

If you have any queries about the scope of the guarantee, please contact us at EUGrantsFunding@ukri.org.

Funding overview
The guarantee funding is delivered through UK Research and Innovation (UKRI) and this notice provides guidance on eligibility, scope and what you need to do to receive funding if eligible.

As stated in ‘Questions and Answers on the UK’s Participation in Horizon Europe’ (European Commission), UK entities are already eligible to apply ahead of the UK’s formal association to Horizon Europe while the UK is in the process of associating. The UK government continues to encourage UK researchers to take advantage of this opportunity.
However, UKRI and the UK government are aware that successful UK applicants may be unable to access funding from the EU if the formalisation process of the UK’s membership of Horizon Europe has not been completed by the time they are required to sign a grant agreement with the EU.

In this scenario, for grant awards with final submission deadlines on or before 31 December 2022, the UK government has committed to provide funding for all successful eligible UK bids. Funding will be made available in pounds sterling.

The funding guarantee will be delivered by UKRI with payments made quarterly in arrears as standard, with the exception of projects carried out under the European Institute of Innovation and Technology (EIT) Knowledge and Innovation Communities (KICs) 2021 Business Plans, where UK entities have already incurred costs in 2021. These 2021 EIT-KIC projects will be funded through two payments, one on registration of the project and a second payment once assurance checks on final project spend have been completed.

**Scope of the guarantee**

This guarantee is intended to support all Horizon Europe awardees for excellent science, research and innovation who submitted to calls with a final submission deadline date on or before December 2022 in the event that they cannot sign a grant agreement with the European Commission or delegated party because the UK’s association has not been formalised in time, and therefore cannot receive funding.

Both for mono-beneficiary and multi-beneficiary grants, this funding will be provided for the lifetime of the grant, subject to UKRI terms and conditions.

Previous versions of this guidance included a list of calls in the annex, but this has been replaced by a comprehensive commitment to include all Horizon Europe calls with a final submission deadline date on or before 31 December 2022 (as shown on the [EC Funding and Tenders Portal](https://ec.europa.eu/). For calls with multiple separate deadlines, applications submitted to those deadlines that fall on or before 31 December 2022 will be eligible. For two-stage calls, only a final submission deadline on or before 31 December is considered to be in scope.

The UK government has stated that it continues to monitor the situation closely and may consider whether it is appropriate to change the scope of the guarantee, in which case it will provide updated guidance.

**EIT-KICs**

The guarantee also covers the costs of EIT-eligible activities delivered by UK participants of the KICs that would otherwise have been covered by grant funding awarded by EIT. The guarantee applies retrospectively for EIT-eligible activities where relevant costs were incurred in calendar year 2021. The call for this element of the guarantee has now closed.
Additionally, the guarantee also covers costs incurred in 2022 and 2023 for EIT-KIC activities delivered by UK participants where these costs would otherwise have been covered by grant funding awarded by EIT. For the costs of 2022 activities, access to funding under the guarantee opened on 23 May 2022. This part of the guarantee will cover costs incurred in the calendar year 2022 only. For the costs of 2023 activities, access to be funding under the guarantee will open in 2023.

For EIT KIC guarantee funding, the guarantee only replaces grant funding that would have been awarded by EIT. It does not replace funding from non-EIT sources or loans and does not cover activities that involve a ‘success fee’ on completion. In addition, it does not cover funding under arrangements that place share-transfer or other equity conditions on UK partners. For such cases, relevant KICs would need to remove these conditions for funding to be capable of falling within the scope of the guarantee.

COST Actions
The UK remains a full member of the European Co-operation on Science and Technology (COST) Association and, subject to its usual rules, UK applicants are eligible to participate and receive funding in its interdisciplinary research networks (COST Actions) irrespective of the UK’s association to Horizon Europe. As a result, UK participants in COST Actions are eligible for reimbursements via COST in the usual way and COST Actions are therefore not covered by this guarantee.

Eligibility
Successful UK applicants will be eligible to register with UKRI for the Horizon Europe guarantee if:

- They are a UK-based organisation and a member of a consortium which has received notification of a successful proposal evaluated under a Horizon Europe call with a final submission deadline date on or before 31 December 2022 and which meets the required European Commission eligibility criteria to deliver the project.

or

- They are a UK-based organisation or researcher who has received notification of a successful proposal evaluated under a mono-beneficiary Horizon Europe call with a final submission deadline date on or before 31 December 2022.

or

- They are a researcher who has received notification of a successful ERC proposal with a UK host institution for an ERC call with a final submission deadline date on or before 31 December 2022.

or

- They are a researcher who has received notification of a successful ERC proposal for an ERC call with a final submission deadline date on or before 31 December 2022 with a non-UK host institution and wishes to move their grant to a UK host institution before having signed the Grant Agreement.
They are a UK-based organisation which has carried out a project under a KIC 2021, 2022 or 2023 Business Plan and they have incurred relevant costs during these calendar years

and

They are ineligible to receive funding from Horizon Europe because they were unable to sign the grant agreement as an applicant from an Associated Country due to the UK’s association status not being formalised in time (as per guidance issued by the European Commission: ‘Questions and Answers on the UK’s Participation in Horizon Europe’).

If the UK’s association had been formalised in time, they would have been able to sign the grant agreement as an applicant from an Associated Country and would have received funding from Horizon Europe or a delegated party.

The requirements set out elsewhere in this document will also need to be met, and additional terms and conditions will apply, including (without limitation) onboarding checks, award holder reporting requirements and the application of currency exchange rates.

What do I need to do to receive funding if eligible?

In order to receive funding through the guarantee, your grant details will need to be submitted to UKRI systems, in order for UKRI to provide you with a UK grant. For most grant types, registration will be via Innovate UK’s Innovation Funding Service (IFS), while funding of ERC and MSCA grants will be provided via the Joint Electronic Submissions (Je-S) system.

For multi-beneficiary grants for current calls, the call on the IFS system will remain open and applicants will select their Horizon Europe call from a drop-down menu. Note that UKRI will only accept and process applications which include a grant agreement listing the UK partner as an Associate Partner and signed by at least the Commission and the coordinator.

Specific guidance on how to apply for ERC, EIT KICS, MSCA and all other guarantee funding can be found on the Horizon Europe guarantee notice and guidance page.

Since applications will have been evaluated through the European Commission’s trusted peer review systems, no further application quality assessment will be undertaken by UKRI.

For EIT-KICs, UKRI systems closed for 2021 grants in April 2022. For 2022 grants, UKRI systems opened in May 2022; for 2023 grants UKRI systems will open in 2023. You will need to provide additional supporting information from your KIC, details of which are given in Q&A section below.

Once registration of an eligible Horizon Europe grant with UKRI is complete, awardees will receive an offer of funding from UKRI. Payments will be made directly to each UK beneficiary organisation.
Terms of the guarantee
As set out above, in addition to the provisions of this document, further terms and conditions will apply to the Horizon Europe guarantee, including (without limitation) onboarding checks, award holder reporting requirements and the application of currency exchange rates. Further details may be found in the Q&A below and the additional material published alongside this guidance. The full terms and conditions for the grants to be hosted on IFS are published alongside this document for reference. UKRI reserves the right to modify any of the terms and conditions of the Horizon Europe guarantee.
Technical questions and answers
Questions regarding the guarantee announcement

1. Should I still apply for Horizon Europe calls that are outside of the scope of the guarantee?
Yes. As stated in ‘Questions and Answers on the UK’s Participation in Horizon Europe’ (European Commission), UK entities are already eligible to apply ahead of the UK’s formal association to Horizon Europe. The UK government states that it is committed to securing association and continues to encourage UK researchers to take advantage of this opportunity. The guarantee is primarily aimed at those who have reached the Grant Agreement Preparation phase of their application and cannot sign their EU grant agreement.

2. What funding is covered on successful projects?
100% of the applied-for EU eligible costs will be paid (i.e., 100% of the requested EU contribution to eligible costs), subject to exchange rate and any reduction in tasks undertaken by the UK participants in the process of finalising the EU grant agreement. This includes, for example, the costs of financial reporting to UKRI and costs requested for PhD studentships. In general, the amount that can be requested from UKRI is capped at the value originally requested by the UK applicant in the original Horizon Europe proposal.

3. Are UK participants still able to lead consortia?
The European Commission has published clear guidance that during the application process UK participants should be treated as if the UK were already associated to Horizon Europe. This means that they can apply for funding and participate in and lead consortia for collaborative projects. If the European Commission formalises the UK’s association before a grant agreement must be signed, then UK participants on that grant will be funded by the European Commission and will be able to fulfil their role as lead or participant as set out in their proposal.

While Horizon Europe regulations generally require a participant to be based in a Member State or an Associated Country in order to lead a project, UK participants in successful consortia should follow the guidance of the European Commission on eligibility, project roles and signing the grant agreement.

4. What happens to projects that have already been submitted by UK participants while they are being treated as an Associated Country if there is an extended delay to the UK formalising their association?
As stated in ‘Questions and answers on the UK’s participation in Horizon Europe’ (European Commission), UK entities are already eligible to apply ahead of the UK’s formal association to Horizon Europe, and the UK Government expect the European Commission to continue evaluating these applications.

If UK applicants to calls eligible for the guarantee reach a point where they are required to sign the grant agreement before the EU has formalised the UK’s association, then the process to follow will depend on the nature of the European grant applied for:
Consortium-style grants
For consortium-style grants, the guarantee is in place to fund eligible UK participants’ roles in these projects. The European Commission may require a UK partner to change the status of their participation to ‘Associated Partner’.

Associated Partners implement action tasks without receiving EU funding and do not sign the grant agreement. While Associated Partners are not required to have a capital or legal link to a specific beneficiary, the other beneficiaries in the consortium take on the responsibility (through consortium agreements or contractual arrangements) to ensure proper implementation of the Associated Partners’ elements of the project, as well as compliance with specific obligations of the grant agreement which are extended to Associated Partners. The UK partner will be required to provide proof of the successful grant to UKRI and undertake the steps outlined in this document, and UKRI will provide the UK partner’s share of the funding under the guarantee.

Mono-beneficiary-style grants
For mono-beneficiary-style grants, eligible UK entities will provide proof of success in the evaluation process to UKRI and undertake the steps outlined in this document, and UKRI will provide the entity with funding under the guarantee.

5. What happens if the European Commission stops evaluating applications for my call?
While the UK is in the process of concluding its association status, the European Commission allows entities in the UK to apply for Horizon Europe funding as if the UK were an Associated Country, which the European Commission has made clear in ‘Questions and answers on the UK’s participation in Horizon Europe’ (European Commission). It states that: “The first calls for proposals are expected to be published before UK association enters into force. The General Annexes attached to the main Horizon Europe work programme (2020-2021), as well as the ERC and EIC work programmes (to which the General Annexes will apply once the latter are adopted), will ensure that UK applicants are treated as if the UK is an Associated Country throughout the process, from admissibility and eligibility to evaluation, up until the signature of grant agreements. However, grant agreements can only be signed once the association has come into force.”

6. If successful UK applicants have to become Associated Partners in their project consortium, do they still sign a grant agreement with the European Commission or delegated party?
Associated Partners implement action tasks without receiving EU funding and do not sign the grant agreement. While Associated Partners are not required to have a capital or legal link to a specific beneficiary, the other beneficiaries in the consortium take on the responsibility (through consortium agreements or contractual arrangements) to ensure proper implementation of the Associated Partners’ elements of the project, as well as compliance with specific obligations of the grant agreement which are extended to Associated Partners.
7. For calls open to Third Countries, will UK participants funded through the guarantee be required to provide the European Commission with reports against deliverables in the grant agreement?

If the EU has not formalised the UK's association at the point where the grant agreement must be signed, then the status of the UK participants on the grant would change to 'Associated Partner'. Associated Partners implement action tasks without receiving EU funding and do not sign the grant agreement, meaning that they have no direct obligation to provide reports against deliverables. The beneficiaries in the consortium will have responsibility for submitting deliverables to the EU and, depending on the tasks to be delivered by the Associated Partner, would agree the Associated Partner’s expected contribution to reporting through consortium agreements or contractual arrangements.

8. What post-award reporting will be required for the UKRI guarantee grant?

For grants hosted by Innovate UK’s IFS system (except 2021 KICs grants), a Monitoring Officer will be appointed to the project in line with standard practice. The Monitoring Officer may request to meet with the project team at regular intervals (typically quarterly) to monitor the progress of the UK’s partner’s contribution to the project against the stated deliverables. Only reports on the UK partner’s activities will be required; the details of this will depend on the individual project needs and will be discussed with the appointed Monitoring Officer. UKRI will take into account reports provided to the EU project consortium wherever available to minimise duplication of reporting requirements. A final report of the UK partner’s contribution to the project will also be required at the end of the project.

For 2021 KICs grants, financial checks only will be carried out to verify costs incurred in 2021. For 2022 and 2023 KICs grants, a Monitoring Officer will be appointed as described above.

For MSCA and ERC guarantee grants, hosted via Je-S, grant holders will be expected to report research outcomes through Researchfish. Grants may fall under the regular programme of assurance checks carried out on Research Council grants. UKRI reserves the right to carry out additional monitoring as required. However, no UKRI Innovate UK Monitoring Officers or project officers will be assigned to these awards, even those which are part of EU consortia (MSCA Doctoral Networks, Staff Exchanges and COFUND guarantee grants). UK partners in MSCA consortia awards funded by UKRI under the guarantee are expected to contribute to REA post-award monitoring requirements as required.

9. What will happen to awards where the eligibility of the consortium is compromised in the event that the UK is unable to associate to Horizon Europe?

The minimum eligibility requirements for a consortium, including the number of Member State or Associated Country participants, are conditions set out by the European Commission in the legal agreements of Horizon Europe and are specific to the type of call. The eligibility of any individual consortium is therefore a decision for the European Commission to make, and projects should follow guidance from the
European Commission.

10. Will my guarantee funding be jeopardised if my consortium reallocates the EU funding originally assigned to my UK institution to fund additional activities?
For consortium-style projects, the guarantee will fund UK participants for the activities that were assigned to them as a beneficiary in the original proposal that are still assigned to them as an Associated Partner in the final signed EU grant agreement. Guarantee funding will only be reduced if the UK participant is no longer performing an activity it was assigned in the original proposal.

11. How can UK participants in successful projects submit their funding request to UKRI?
Procedures will vary depending on the call and will make use of existing systems and processes used by UKRI. For most grant types, registration will be via Innovate UK’s Innovation Funding Service (IFS). Funding of ERC and MSCA Grants will generally be provided via the Joint Electronic Submissions (Je-S) system. Further details may be found in the Horizon Europe guarantee notice and guidance page once the call opens.

12. What exchange rate will be accepted to convert the EUR grant to GBP?
The Euro value of the grant must be converted to pounds sterling and the UKRI grant under the guarantee will be for a pound sterling value. For grants signed by the Commission before 31st December 2022, a maximum exchange rate of £1: €1.160354 will be accepted, which reflects the average exchange rate between January 2021 (at the start of the Horizon Europe programme) and October 2021. Payments will then be made on the basis of the GBP grant value.

UKRI will update the exchange rate for grants signed by the Commission after 1st January 2023 until 31st December 2023 and this rate will be calculated based on the 2022 average daily spot rate and announced in October 2022.

UKRI may change the GBP grant value in response to significant fluctuations in international exchange rates by applying an exchange rate that is different to the one it initially applied, but it shall not:
   i. do so more frequently than once in a 12-month period; or
   ii. apply any such change retrospectively to affect payments already made.

13. Will proposals submitted to UKRI be re-evaluated/reassessed?
Since applications will have been evaluated through the European Commission’s trusted peer review systems, no further application quality assessment will be undertaken by UKRI. Organisational validation and due diligence checks will be carried out in line with UKRI business as usual processes.

14. How will grant payments via UKRI be made?
Grants will be funded in pounds sterling. UKRI will typically make payments quarterly in arrears in line with standard processes.
For grants hosted on IFS, payment will be made based on claims according to Innovate UK standard processes, where evidence of expenditure incurred and defrayed in the claim period will be required. The level of independent oversight required will depend upon the total grant value of the UKRI guarantee grant provided (not the total original EU grant value):

<table>
<thead>
<tr>
<th>Value of Grant</th>
<th>Independent Accountant Report (IAR) Requirement for HE projects</th>
</tr>
</thead>
<tbody>
<tr>
<td>Up to £100k</td>
<td>None</td>
</tr>
<tr>
<td>£100k to £500k</td>
<td>Last claim only</td>
</tr>
<tr>
<td>£500k to £2M</td>
<td>First and last claims</td>
</tr>
<tr>
<td>More than £2M</td>
<td>First and last claims, and annually</td>
</tr>
</tbody>
</table>

For grants hosted on Je-S/Siebel systems payment will be made via profiled payments according to Research Council standard processes.

15. How long will it take for the grant offers to be issued after submission?
For grants hosted on IFS the anticipated turnaround time is around 30 days, if all the required information is submitted correctly. The process may take up to 90 days if additional information is required, depending on how quickly the additional information is provided. UKRI will always aim to prioritise those whose requested grant start date is due soonest, as far as possible. For Je-S grants the anticipated time to grant offer is around 7 weeks; again, those looking to start their awards soonest will be prioritised, as far as possible.

16. What happens to my grant if the UK formally associates to Horizon Europe after the UKRI guarantee has been applied to my project?
UK participants who have received a UKRI grant under the guarantee will remain on the UKRI grant for the lifetime of the grant, subject to UKRI terms and conditions.

17. Will UK-based Affiliated Entities be covered by the guarantee?
Yes, costs for UK-based Affiliated Entities in consortia will be covered by the guarantee in the same way as costs for beneficiaries. The EU will treat UK-based Affiliated Entities as Associated Partners if the UK doesn’t associate in time, and they will be covered by the guarantee.

18. What is the closing date for the UKRI guarantee funding routes?
The guarantee systems will remain open indefinitely. This includes both IFS- and Je-S-hosted calls. If any of the calls need to be closed for operational reasons, guarantee funding applicants will be given due notice.

19. Can I access the UKRI guarantee if I am on a reserve list for EU funding?
Applications for the guarantee will ask for proof that your application has been invited to Grant Agreement Preparation (GAP) process by the EU. Even if your grant was originally placed on a reserve list, if you subsequently receive an invite to the GAP process, you can apply for the guarantee. The guarantee will not fund reserve list applications that have not been invited to the GAP process.
20. Can I move parts of my grant applied for outside of the UK to the UK and claim funding from the guarantee?
If you are part of a multi-beneficiary consortium that is eligible for the guarantee and wish to relocate some of your project tasks to the UK (e.g. a researcher is moving to a UK institution and wants to take their part of the grant with them or a partner withdraws from the project and the UK partner is best placed to replace them), then this may be possible, providing the following conditions are met:
1. You must first contact UKRI (EUGrantsFunding@ukri.org), provide details of the situation and receive agreement in principle for the move.
2. The EU project must not yet have started or incurred any costs.
3. The proposed movement of tasks to the UK must not render the EU project ineligible.
4. The value of funding requested for the tasks moved to the UK must not be more than the budget assigned to those tasks in the original EU proposal (unless specifically approved by UKRI).

If these conditions are met, then you will need to provide a copy of the original EU proposal and an amended EU grant agreement with the tasks removed from the original beneficiary and reassigned to a new or existing UK Associated Partner. This must be accompanied by a covering letter explaining why the tasks are being relocated to the UK and confirming that the new UK host is willing to accept the additional tasks.

21. What should I do if asked for proof of the guarantee commitment?
This document states the eligibility conditions and sets out the process to be undertaken to receive funding from UKRI. This document should be used as evidence of the guarantee in the first instance.

22. Can I claim costs for travel and accommodation for the kick-off meeting of a project if the travel has been booked before the UKRI guarantee grant start date?
Costs incurred in booking travel and accommodation before the UKRI guarantee grant start date for a kick-off meeting will be eligible.

Specific questions for grants hosted on the Innovation Funding Service (IFS)

23. What start date will I be able to enter onto IFS?
You will be required to enter a future date into the start date section on IFS initially, although UKRI can manually adjust this if required. If your project has already started at time of submission to UKRI, you will be asked to note the actual start date of the project. The Grant Offer Letter will be issued listing this date as the project start date and using the duration entered in Application Details. We recommend that you wait until you receive the Grant Offer Letter before you start incurring costs against the grant, and if costs are incurred before this point, it is at your own risk.

24. What if our EU grant’s start date comes before we can expect to receive funding from UKRI?
The expected processing time through the IFS calls will be a maximum of 90 days. There is scope for this to be faster, but that will be the maximum. The processing
team will do their best to prioritise those with sooner start dates, but this will be
dependent on the volume of grants in total.

25. **My project includes more than one UK partner. Do we need to submit our
details separately or as one application for funding?**
Please submit your details separately in IFS; each participant registered on the
signed EU grant agreement as a separate Associated Partner will receive a separate
grant from UKRI. UKRI will link multiple grants from the same EU grant together for
monitoring purposes, i.e., the same Monitoring Officer will be assigned to look after
all the UK components of the same EU project.

26. **Are Co-funded European Partnerships within the scope of the guarantee?**
Calls to form Co-funded European Partnerships with final submission deadlines on
or before 31 December 2022 are within the scope of the guarantee. However, given
the more complex nature of the grant agreement, please contact UKRI
(eugrantsfunding@ukri.org) letting us know the UK partners involved so that we can
arrange a call to discuss the details.

27. **Are calls run by Joint Undertakings within the scope of the guarantee?**
Joint Undertakings calls with a final submission deadline date on or before 31
December 2022 and where UK entities are eligible to apply but cannot receive
funding while the UK is not associated, are within the scope of the guarantee.

28. **Are calls run by the European Partnership on Metrology within the scope of
the guarantee?**
The European Partnership on Metrology calls with a final submission deadline date
on or before 31 December 2022 are within the scope of the guarantee.

**EIC Accelerator/Transitions/Pathfinder awards**

29. **Are EIC Accelerator and single applicant EIC Transition awards within
scope for the guarantee?**
Yes, eligible successful UK applicants to EIC Accelerator and EIC Transition calls
with a final submission deadline date on or before 31 December 2022 are covered
by the Horizon Europe guarantee. If the awardee is unable to proceed with signing
the grant agreement for their EIC award, proof of success in the EC evaluation
process will need to be submitted to UKRI which will provide funding under the
guarantee.

NB. The specific call for the 2021 calls has now closed, but awardees who did not
get to submit to this call can submit to the general Horizon Europe Guarantee IFS
call instead.

30. **Are EIC Pathfinder awards and multi-beneficiary EIC Transition awards
within scope for the guarantee?**
Yes, funding for eligible UK applicants involved in eligible consortia successfully
evaluated under EIC Pathfinder or EIC Transition calls with a final submission
deadline date on or before 31 December 2022, who are unable to proceed with
signing a grant agreement with the European Commission, is within scope for the
guarantee. The final signed grant agreement, listing the UK partner as an Associated Partner, will need to be submitted to UKRI, which will provide funding under the guarantee to enable continued participation in the project.

NB. The specific call for the 2021 calls has now closed, but awardees who did not get to submit to this call can submit to the general Horizon Europe Guarantee IFS call instead.

**EIT-KIC awards**

31. I was unable to sign a grant agreement and/or receive funds for an approved EIT-KIC project during 2021 and have incurred costs ‘at risk’.

How quickly will I receive the guarantee funding?
The UKRI call to register your 2021 EIT-KIC project has now closed. Once your submission has been validated you will receive a payment of 50% of your claim upfront. You will be able to claim the remainder of the funding once you have completed financial reporting to your KIC and they have verified your incurred costs. You will need to submit this verification to UKRI alongside your claim to receive the balance.

32. Does the guarantee cover EIT-KIC activities where costs are incurred in 2022 or 2023?

Eligible UK participants involved in EIT-KIC activities with costs being incurred in 2022 or have been approved for 2023 are covered by the guarantee, provided that Third Country participation is allowed.

This covers the costs of EIT-eligible activities delivered by UK participants where these activities have been included in 2022 or 2023 KIC Business Plans and the costs would otherwise have been covered by grant funding awarded by EIT. For the 2022 costs of these activities, access to funding under the guarantee opened in May 2022. For costs incurred in 2023, UKRI will open a separate call next year when you will be able to register your project. This part of the guarantee will cover costs incurred in the calendar years 2022 and 2023 only.

33. What supporting documents will I need to provide to UKRI when registering for funding under the guarantee for EIT-KIC activities carried out in 2022 or 2023?

You will need to submit the following supporting documents:

- **A letter from your KIC confirming the details of your project/activities.** A template letter that must be used for this purpose has been provided to each of the KICs by UKRI. Your KIC will fill in the template and give you a signed copy to submit when registering your project. (For information, you can see the 2022 template letter and you can download it if you need to share it with your KIC; a new template will be provided for 2023). It is recommended that you contact your KIC to confirm that they will provide this supporting letter before applying for EIT-KIC projects.

- **A 2022 or 2023 grant agreement between you and the KIC and/or an alternative proof of success.** Suitable alternative evidence could include an
official letter or email from the KIC confirming that your project was accepted as part of the 2022 or 2023 business plan for your KIC.

- If your KIC has removed ‘success fee’, share-transfer or other equity conditions in order for your claim to be within scope of the guarantee, you will need to submit confirmation of the details of this from your KIC.

34. I am participating in a multi-year EIT-KIC project, how will guarantee funding be administered?
In line with EIT-KIC processes, the guarantee covers costs by calendar year. The UKRI call for EIT-KIC projects where costs were incurred during 2021 closed in April 2022. For costs incurred in 2022, you can register your project along with supporting documents in UKRI systems from 23 May 2022. For costs incurred in 2023, UKRI will open a separate call next year when you will be able to register your project.

35. I received ‘exceptional status’ from EIT for my participation in an EIT-KIC project. Do I need to claim anything under the guarantee?
No, the guarantee only covers projects that have not been able to receive funding from the EU. You should continue with your project as normal and receive funds from EIT.

36. Are operational costs for running an EIT-KIC Co-Location Centre (or equivalent) eligible for funding under the guarantee?
The guarantee covers funding for UK partners carrying out activities that have been successfully approved by EIT-KICs and which meet the eligibility criteria set out in the guidance. Operational costs for running an EIT-KIC Co-Location Centre or regional office based in the UK are not covered by the guarantee.

Specific questions for calls hosted on Joint Electronic System (Je-S)
37. Why are the Je-S calls being hosted by the Engineering and Physical Sciences Research Council (EPSRC)?
Due to system constraints, EPSRC will be formally hosting these awards on behalf of UKRI on Je-S. EPSRC will not be involved in the processing of the awards and any queries should be directed to EUGrantsFunding@ukri.org and not to EPSRC.

38. What will my MSCA/ERC guarantee grant be referred to as?
The guarantee will use the scheme and call names given in the following table. For the purposes of applying for UK visas, the Je-S scheme names will be included on the list of approved schemes for the Global Talent Visa, where appropriate.

<table>
<thead>
<tr>
<th>Call</th>
<th>Je-S Scheme Name</th>
<th>Je-S Call Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>ERC Starting Grant</td>
<td>UKRI Frontier Research Guarantee</td>
<td>Horizon Europe Guarantee ERC Starting Grants (invite only)</td>
</tr>
<tr>
<td>ERC Consolidator Grant</td>
<td></td>
<td>Horizon Europe Guarantee ERC Consolidator Grants (invite only)</td>
</tr>
</tbody>
</table>
### 39. What start date will I be able to enter onto Je-S?

You will be required to enter a future date into the start date section on Je-S initially, however UKRI can manually adjust this if required. Please email EUgrantsfunding@ukri.org with your justification if you need to do so.

The anticipated time to grant offer is up to 7 weeks from the date of submission; we will aim to prioritise those looking to start their awards soonest, as far as possible. We recommend that you wait until you receive the Grant Offer Letter before you start incurring costs against the grant, and if costs are incurred before this point it is at your own risk.

### 40. Do I have to wait for my award letter in order to apply for my Global Talent Visa for my ERC or MSCA project?

The endorsing bodies have agreed that the written confirmation of an MSCA/ERC grant required to apply for the Global Talent Visa can be the same documents that you submit to the UKRI guarantee, allowing you to apply for your Global Talent Visa before you receive your UKRI award letter. The advice is:

“If you have received your successful MSCA Postdoctoral Fellowship or ERC grant results in the following 2021 calls (HORIZON-MSCA-2021-PF-01 Postdoctoral Fellowship; ERC-2021-STG Starting Grant; ERC-2021-AdG Advanced Grant; ERC-2021-CoG Consolidator Grant) but don’t have a Grant Agreement because you are

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submitting your grant details to UKRI in order to receive funding through the Horizon Europe guarantee, then you can submit the following documents with your Global Talent visa endorsement application: either a) a copy of the European Research Executive Agency GAP invitation letter and a copy of the grant proposal (which contains the individual researcher’s name); or b) a copy of your UKRI Guarantee Grant Offer Letter.”

European Research Council (ERC) awards

41. Are ERC grants within the scope of the guarantee?
Yes, the guarantee will provide funding for all eligible successful awardees of ERC Calls with a final submission deadline date on or before 31 December 2022. This guarantee will allow awardees to receive the full value of their funding and continue their research in the UK. Awardees do not need to move abroad to an EU Member State or to an Associated Country to Horizon Europe to access this funding.

42. Will my ERC guarantee grant be portable?
Grants funded through the UK guarantee will be portable within the UK according to UKRI standard terms and conditions. Awardees of ERC Starting, Consolidator and Advanced grants through calls with a final submission deadline date on or before 31 December 2022 who applied to be hosted outside the UK may move their project to the UK and be funded through the guarantee, subject to two conditions:
   i. They have not signed an ERC grant agreement to be hosted elsewhere.
   ii. They can demonstrate through submission of a host institution letter that a UK research organisation is prepared to host them for the lifetime of the grant.

Applicants who have applied to be hosted outside the UK and wish to move their project to a UK institution are advised to contact us at EUGrantsFunding@ukri.org before applying.

43. What terms and conditions will be attached to my ERC guarantee grant?
The UKRI research grant terms and conditions will be attached to these grants (available to view here), with a small number of additional conditions, which will be listed in the specific call guidance. The additional terms will be the same for Starting, Consolidator and Advanced guarantee grants. As noted above, no pre-financing will be paid on these grants.

44. What documentation will I need to provide to UKRI to access funding for my successful ERC Starting/Consolidator/Advanced/Proof of Concept grant?
The Je-S form has been made as simple as possible to complete. You will need to complete some details about the project for administrative purposes only. The information submitted will not be reassessed by any peer reviewers for scientific merit. You will need to submit PDF copies of:
   • The original ERC proposal
   • The confirmation that the proposal was successful
   • The evaluation summary report
• A completed cost conversion tool (a template will be available to download for specific calls once the calls have opened on Je-S)

45. Will PhD studentships applied for on my original ERC proposal be covered by the guarantee?
Yes, PhD students will be covered by the guarantee.

46. I applied for the additional funding, which was approved by the ERC. Will this be covered by the guarantee?
Yes, the total funding approved by the ERC will be paid through UKRI’s guarantee process. The additional funding will be wrapped into the overall award and paid on the same profiled schedule as the rest of the grant.

47. What documentation will I need to provide to UKRI to access funding for my successful ERC Starting/Consolidator/Advanced/Proof of Concept grant?
As well as filling in the Je-S form you will need to submit PDF copies of:
• The original ERC proposal
• The confirmation that the proposal was successful
• The evaluation summary report
• A completed cost conversion tool (template available to download on the website alongside this guidance document)

Marie Skłodowska-Curie Actions (MSCA) awards

48. What will the funding rate of my MSCA grant be?
Grants will be funded in pounds sterling by profiled payments based on UKRI standard processes. The total grant value will be based on the total value assigned to the UK participant in the original MSCA grant (calculated as the total applicable MSCA unit costs for the full grant duration multiplied by the UK country correction coefficient), taking into account the exchange rate. UKRI will typically make payments quarterly in arrears.

49. What terms and conditions will apply to the guarantee MSCA grants?
UKRI’s standard research grant terms and conditions will apply (available to view here), with additional conditions which will be given in the specific call guidance.

50. Will the guarantee still require that “Contributions for the recruited researcher” be paid to the fellow/student in full?
The guarantee will still require that the full value of the unit costs under the heading “Contributions for the recruited researcher” in the original MSCA proposal (i.e., Living Allowance, Mobility Allowance, Family Allowance, Long-Term Leave Allowance, Special Needs Allowance) is paid to the student/fellow by the end of their studentship/fellowship.

51. If, over the course of my MSCA grant, I become eligible for the family allowance, can I add this to my guarantee grant?
Yes, you will need to provide evidence to UKRI to indicate that you are now eligible for the family allowance. You will need to provide a verification letter from your host organisation to indicate that you have become eligible. The additional allowance would then be added for the remainder of your grant.

If you need to add the family allowance to your grant, please submit a generic change request through Je-S. Please refer to the Je-S help text for how to do this.

52. Will the MSCA Special Needs Allowance still be offered under the guarantee?
Yes, you can claim this either at the start of your grant when you submit your details to UKRI, or during the lifetime of your grant if your situation changes.

If you need to add a special needs allowance to your grant, please submit a generic change request through Je-S. Please refer to the Je-S help text for how to do this.

53. Will my host institution receive long-term leave allowance for my MSCA guarantee grant if I take maternity/paternity/parental/sick/special leave?
Yes, following UKRI terms and conditions, which state that within the announced grant cash limit, the Grant may be used to meet the costs of extending the Grant to cover a period of sick leave for staff supported within the original grant period. At the end of the Grant Period, UKRI will reimburse you for any additional net sick leave costs that cannot be met within the announced Grant cash limit, except where you have already recovered these costs by claiming Statutory Sick Pay from HMRC. This will be payable only for the percentage of time that the staff are contracted on the Grant. Documentation will need to be provided to indicate the length of leave taken and the extension cannot exceed this duration.

Further information regarding maternity/paternity/parental/sick/special leave can be found in the UKRI's standard research grant terms and conditions: UK research and innovation fEC grants: standard terms and conditions of grant

54. Will the UK Guarantee require that essential costs for living and working in the UK are covered from the institutional unit contributions in the same way that MSCA does?
Yes, the UK Guarantee will require that costs required for MSCA fellows to have the right to work and live in the UK are covered from the institutional unit contributions, such as visa costs and the NHS surcharge.

MSCA Postdoctoral Fellowships
55. Will the guarantee cover MSCA Global Postdoctoral Fellowships?
The UK Horizon Europe guarantee will cover MSCA Global Fellowships that have their return phase hosted by a UK institution in the original proposal.

56. Can I delay the start date of my UKRI Postdoctoral Fellowship guarantee grant?
UKRI will allow a latest start date of 1st September 2023. Further delay may be permitted on a case-by-case basis, with approval from UKRI.

57. If we apply for the UKRI Postdoctoral Fellowship guarantee grant with a specified start date for the fellow, is it possible to change that start date? This is possible and may be permitted on a case-by-case basis, with approval from UKRI.

In order to request this, you should submit a generic change request through Je-S. Please refer to the Je-S helptext for how to do this.

58. Can I change my UKRI Postdoctoral Fellowship guarantee grant to a part-time arrangement and extend its duration? Yes, you can apply for a no-cost extension to your UKRI Postdoctoral Fellowship to extend the duration of the grant and you can then reduce the percentage of working time spent on the grant accordingly to fit that increased duration.

59. Can UKRI Postdoctoral Fellowship/Doctoral Network guarantee funding be used to cover the costs incurred on secondments or placements to UK or non-UK institutions? Will it cover the costs for the outgoing host for Global fellowships? Yes, all of these costs are eligible under the UK guarantee. This includes costs for secondments which are specifically set out in the original proposal and secondments where the details are determined during the lifetime of the grant.

MSCA Doctoral Networks

60. If the projects are funded through the guarantee, will it be possible for UK beneficiaries to transfer some of the UKRI funding to cover project-wide activities? These costs will be eligible under the guarantee, provided that proof of payment can be provided in line with UKRI’s standard terms and conditions. UKRI would expect your research organisation to keep an adequate record for your own internal auditing procedures.

61. Can UKRI guarantee funding be used towards the costs of going on secondment, including making payments to the secondment host directly to cover their related costs? Yes, this includes secondments which are specifically set out in the original proposal and secondments where the details are determined during the lifetime of the grant.

62. Will the MSCA mobility rule (i.e., the fellow should have spent less than 1 of the last 3 years in the UK) apply for UK participants in Doctoral Networks funded by the guarantee? Yes, the standard MSCA mobility rule will apply.

General definitions and information on Associated Partner status

63. What is an ‘Associated Country’?
An Associated Country is a country that is not a Member State of the EU but has a formal agreement with the EU detailing the terms of its association to a European framework programme. Sixteen countries associated to Horizon 2020, and it is likely a similar number will associate to Horizon Europe. Entities from associated countries are eligible to participate in most elements of the programme under the same conditions as entities from Member States, with a few limited exceptions.

64. What is a ‘Third Country’ and ‘Third Country participation’?
All countries that are neither an EU Member State nor an Associated Country are referred to as non-associated ‘Third Countries’. Non-associated Third Countries have no agreements to associate to the EU Framework Programme. Participants from non-associated Third Countries are able to participate in some areas of the programme, predominantly in collaborative calls as Associated Partners, although they are not generally eligible to receive funding from the programme unless this is explicitly mentioned as an exception in the call documentation.

65. What is an 'Associated Partner’?
Associated Partners implement action tasks without receiving EU funding. They cannot lead a consortium, and do not sign the grant agreement. One example of this is where legal entities participate in a Horizon Europe grant but are not based in a Member State or Associated Country. While Associated Partners are not required to have a capital or legal link to a specific beneficiary, the other beneficiaries in the consortium take on the responsibility (through consortium agreements or contractual arrangements) to ensure proper implementation of the Associated Partners’ elements of the project, as well as compliance with specific obligations of the grant agreement that are extended to Associated Partners.

66. What is the last legal signature date?
The ‘last legal date for signing the grant agreement’ refers to Article 31 of the EU’s Regulation Establishing Horizon Europe document:

"The following periods shall apply [...] for signing grant agreements with applicants, a maximum period of eight months from the final date for submission of complete proposals”.

This is the last date by which the Commission must sign the Grant Agreement. The Commission may choose to set a Grant Signature Date that is earlier than this last legal date, but they may not postpone beyond it. This applies to all calls except ERC and MSCA, for which the dates provided in the Work Programmes are used.

67. When do I become an Associated Partner?
Following successful evaluation, the Commission will notify you of your success and invite you to begin the process of grant agreement signature. If the UK has not completed association to Horizon Europe when the grant agreement signature is imminent, your organisation could participate in the project as an Associated Partner (i.e., no longer classed as a beneficiary) as long as the topic you are responding to allows Third Country participation.
You should notify your coordinator and the Commission project officer that you would like to participate as an Associated Partner. The Commission will acknowledge this, and you will no longer be part of the grant agreement signature process. However, the coordinator should keep you up to date on the progress of the grant agreement signature.

68. How do I become an Associated Partner?
As an Associated Partner you do not sign the grant agreement, but you do sign the consortium agreement. You will need to accept certain Articles from the grant agreement (see the paragraph below) which should be inserted into the consortium agreement.

The grant agreement Articles that apply to Associated Partners are as follows:
- Article 11 (proper implementation)
- Article 12 (conflict of interests)
- Article 13 (confidentiality and security)
- Article 14 (ethics)
- Article 17.2 (visibility)
- Article 18 (specific rules for carrying out action)
- Article 19 (information)
- Article 20 (record-keeping).

You will also need to accept that the bodies mentioned in Article 25 can exercise their rights towards you.

The Model Grant Agreement gives further details at Article 9.1 (p39-40)

You should ask the coordinator to insert the provisions of Article 9.1 into the consortium agreement and say that they apply to you. Note that any financial provisions in the consortium agreement do not apply to you and you should ask the coordinator to exclude you from those provisions.

Many projects use the DESCA Model Consortium Agreement although your coordinator may have a different format.

The consortium agreement will be signed prior to the signature of the grant agreement. Once the grant agreement is signed the project can begin.

69. Can I continue to be the project Coordinator if I have to become an Associated Partner?
No. In order to be the coordinator of a project, a legal entity must sign the grant agreement. Only entities eligible for funding can sign the grant agreement. You will need to discuss this with your EC Project Officer and your consortium and agree that an existing partner or a new partner will take on this role. The funding allocation within the consortium should then be adjusted accordingly.