

Guidance to IHI project Coordinators: Associated Partners ‘case b’

External document

Document version: 1.1

Last update: 03/04/2025

CHRONOLOGY AND LIST OF REVIEWS

Version	Date	Change	Page
1.0	20 June 2024	First version	NA
1.1	March 2025	Revision of section ‘3.2 During GAP or Amendment’ section	6-10

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1. Purpose

The purpose of this guidance document is twofold:

- to provide the **definition** and the general **characteristics** of an Associated Partner ‘case b’ and to highlight the main differences with the other types of participants.
- to assist the IHI project Coordinators on the **steps to follow in ‘Sygma’ IT tool (Funding and Tenders Portal)** on the addition of an Associated Partner (AP) ‘case b’ during the Grant Agreement Preparation (GAP) and Amendment (AMD) process.

2. Definition and general characteristics of an Associated Partner ‘case b’

Background and purpose

Under the Horizon Europe legal basis, legal entities that are not eligible to receive EU funding cannot participate as either beneficiaries (unless deemed essential) or affiliated entities (except in IHI calls 1 to 3) in a Horizon Europe grant.

The concept of “**Associated Partner case b**” was therefore developed to enable those IHI JU private members’ affiliated entities that are established outside the EU and HE’s associated countries¹ (i.e, not eligible for EU funding) to still participate and provide financial and/or in-kind contributions to IHI JU projects.

Additionally, the Associated Partner ‘case b’ approach provides a simplification measure for IHI JU private members that have affiliated entities (established within or outside the EU/HE’s associated countries) as Associated Partners ‘case b’ do not need to go through a PIC² validation process and their project reporting can be centralised by the designated Beneficiary.

The general characteristics of an Associated partner ‘case b’ are the following:

- They implement action tasks but cannot receive EU funding;
- They must have a (capital or legal) link with a private member or a contributing partner who is participating as beneficiary in the IHI grant (the ‘designated beneficiary’);
- They can contribute financial and or in-kind contribution (FC, IKOP);
- They can contribute IKAA if the entity is a private member and if the additional activities are incurred in EU or Associated countries (see [IHI guidelines on IKAA](#) for IHI private members);
- They do not have access to the project details in the Funding and Tenders Portal but are linked to the project via a designated beneficiary;
- They must comply with the costs’ eligibility conditions (Article 6 of the HE MGA);
- They have obligations regarding the reporting of their contributions via the designated beneficiary;
- They may be established inside or outside the EU;
- They shall provide a Certification of costs (CCS) at the end of the project in case the reported contribution (IKOP + FC) exceeds the threshold of EUR 430.000.

¹ https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/list-3rd-country-participation_horizon-euratom_en.pdf

² 9-digit Participant Identification Code (PIC)

The below table summarizes the main differences (characteristics and budget/reporting) between an **affiliated entity**, an **Associated Partner ‘case a’** and an **Associated Partner ‘case b’**³.

General characteristics

General characteristics	Affiliated entity ³	Associated Partner case A ³	Associated Partner case B
1. Can be established in the EU/ HE's associated country	Yes	Yes	Yes
2. Can be established outside the EU/ HE's associated country	Yes, from IHI Call 1-3 Not for IHI Call 4 onwards	Yes	Yes
3. Sign the grant agreement	No	No	No
4. Sign the Declaration of Honour ('DoH')	Yes	No	No
5. Must have a validated PIC before grant signature	Yes	No, a declared PIC is sufficient	No, a declared PIC is sufficient
6. Must have a validated LEAR	Yes	No	No
7. Can receive EU funding if eligible	Yes	No	No
8. Can work on action tasks	Yes	Yes	Yes
9. Activities described in the DoA	Yes	Yes	Yes
10. Must have a legal/financial link with another Beneficiary	Yes	No	Yes
11. Must be a constituent or affiliated entity of a private member of IHI JU or a contributing partner	No	No	Yes
12. Can contribute IKOP, FC	Yes (only if private member or contributing partner)	No	Yes
13. Can contribute IKAA	Yes (only if private member)	No	Yes (only if private member) and IKAA is incurred in EU or Associated Countries.

³ For definition and explanation of Affiliated Entity and **Associated Partner ‘case a’**, please refer to [IHI Guide for Applicants](#)

Budget and Reporting characteristics

Budget/Reporting	Affiliated entity	Associated Partner case A	Associated Partner case B
<i>In Proposal:</i> Must be encoded in proposal budget in EC IT tool (reflected in Part A)	Yes	Yes (only financial contribution and/or own resources can be encoded)	Yes, and must be encoded as affiliated entity
<i>In Proposal:</i> Must be encoded in Annex to the budget	Yes (as Beneficiary receiving funding/IHI private member/IHI contributing partner)	Yes (as Associated partner)	Yes (as IHI private member or IHI contributing partner, but not as Associated partner)
<i>In funded Project:</i> Must be encoded in the project budget ('financial information' tab)	Yes	No	Yes, included in the estimated budget of the designated Beneficiary (one single row for the entities together)
<i>In funded Project:</i> Must be encoded in 'Associated Partners' tab	No	Yes	Yes
<i>In funded Project:</i> IKOP/FC must be encoded in 'JU contribution' tab	Yes, only if the affiliated entity is a private member or a contributing partner	N.A	Yes (one separate row for the AP case b and the designated beneficiary)
<i>In funded Project:</i> IKAA (if any) must be encoded in 'JU contribution' tab	Yes, only if the affiliated entity is a private member	N.A	Yes, only if the associated partner case b is a private member
<i>In Reporting:</i> Must report its costs after each project period	Yes, financial statement created and submitted by the main beneficiary in the tool (based on blue-ink signed financial statement provided by the affiliated entity)	No	Yes, included in the financial statement of the designated Beneficiary
<i>In Reporting:</i> Must report its IKOP/FC after each project period in the 'JU contribution' tab	Yes, only if the affiliated entity is a private member or a contributing partner	N/A	Yes, each associated partner case b listed separately
<i>In Reporting:</i>	Yes, only if the affiliated entity is a private member	N/A	Yes, only if the associated partner case b is a private

Must report its IKAA (if any) by 31 May each year in the IKAA Report form.	(the IKAA reporting can be done by the main entity)		member (the IKAA reporting can be done by the main entity)
At project end: Must provide a Certification of an external auditor to certify all reported costs	Yes, if threshold of EUR 430,000 reached by the entity	No	Yes, if threshold of EUR 430,000 reached by the entity

3. Addition of an Associated Partner ‘case b’ in a Consortium

3.1 From Proposal to Grant Preparation (GAP)

During the proposal stage, all affiliates of IHI JU private members and/or IHI JU contributing partners should be specified as affiliated entities (AE) as per Horizon Europe definition.

After the proposal is selected, the list of beneficiaries and affiliated entities is automatically migrated to the SyGMA tool in the ‘Beneficiaries’ section of the relevant project.

During GAP, affiliates of IHI private members and IHI contributing partners not requesting funding can keep the affiliated entity status or decide to participate as associated partners ‘case b’. If they are based outside the EU/HE associated countries, they must participate as associated partners ‘case b’. On the contrary, if these entities request IHI funding, they must participate as affiliate entities.

Note that IHI private members and/or IHI contributing partners who intend to participate as associated partners ‘case b’ do not need to sign the DoH and do not need to have a validated PIC (a declared PIC is sufficient). See general characteristics listed above.

In SyGMA, while affiliated entities need to be listed in the ‘Affiliated Entities’ section of the concerned Beneficiary, associated partners (case b) **need to be removed from the general ‘Beneficiaries’ section** and be listed in the ‘Associated Partners’ section.

Please follow instructions below to add an associated partner ‘case b’.

3.2 During GAP or Amendment

An update is needed in 3 different places

1. In SyGMA (via the Fundings and Tenders Portal)
2. In the Annex 1 - Description of the Action (via the Fundings and Tenders Portal)
3. In the SOFIA tool

Here are the 6 steps to follow by the IHI project Coordinator to add an Associated Partner ‘case b’:

In SyGMA (via the Fundings and Tenders Portal)

1. Add the entity in the ‘**Associated Partners**’ tab.

Note that an Associate Partner 'case b' does not necessarily need to have a VALIDATED PIC. Therefore, a PIC that has status '*DECLARED*' is sufficient.

In the example below, the new AP 'case b' is named 'IHI-TEST' and has been added to the 'Associated Partners' tab.

Associated Partners

Number	Role	Short Name	Legal Name	Country	PIC	PIC Status	Start date	End date	Status
24	AssoPart	IHI-TEST	IHI-TEST	DE	8787756	VALIDATED			Active

- In the 'Associated Partners' tab, in '**Partner Summary**' section, specify the beneficiary to which the Associated Partner 'case b' has a capital/legal link (i.e., the designated beneficiary). The designated beneficiary will be in charge, at a later stage, of reporting the costs incurred and the activities carried-out by the Associate Partner 'case b' in the periodic report (see [guidance](#) and [recording](#) on the reporting requirements for IHI projects).

In the example below, the new AP 'case b' is associated with the beneficiary 24.

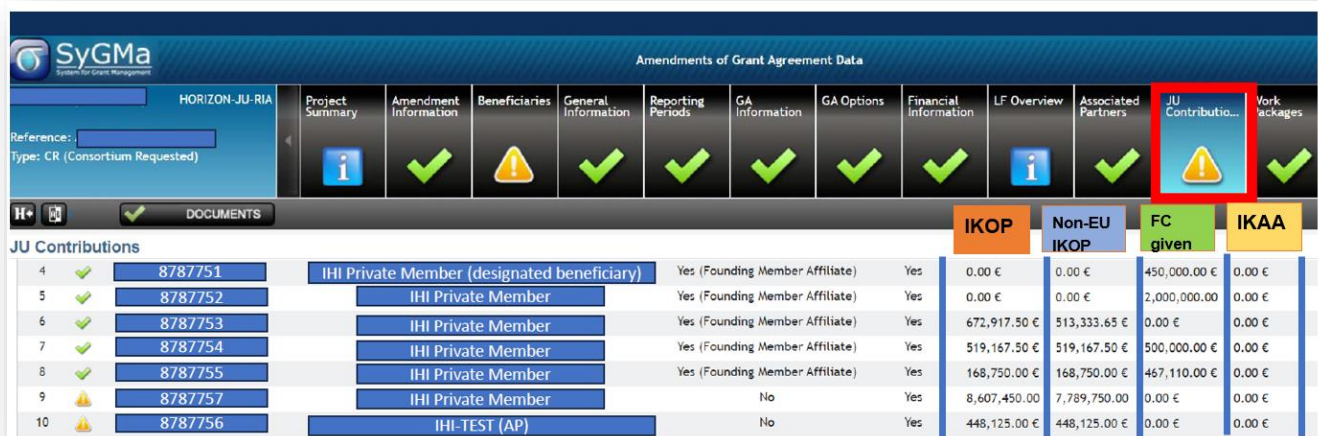
Partner Summary

Legal entity type: Private entity
 Legal entity qualification: For profit
 SME
 NGO: No
 Civil society: No
 Research organisation: No
 Secondary/higher education: No
 International organisation: No
 Int. EU research org.: No
 Ownership control status:
 Gender equality plan:
 Operating grants: No
 Personnel unit cost: No
 Country group: MS
 Department(s) carrying out the work:
 Associated with: 24

3. Add the entity and its contribution to the project in the '**JU Contribution**' tab.

The 'JU contribution' tab should list all IHI private members and IHI contributing partners (if any) involved in the project, whether they participate as Beneficiary, Affiliated Entity or Associated Partners 'case b'. Each entity should be listed separately.

In the example below, the new AP 'case b' named 'IHI-TEST' and its IKOP (EUR 448,125) have been added in the 'JU contribution' tab. The new AP 'case b' has a capital and/or legal link with the designated beneficiary (which does not contribute IKOP to the project but plans to give financial contributions).



	IKOP	Non-EU IKOP	FC given	IKAA
4	8787751	IHI Private Member (designated beneficiary)	Yes (Founding Member Affiliate)	Yes
5	8787752	IHI Private Member	Yes (Founding Member Affiliate)	Yes
6	8787753	IHI Private Member	Yes (Founding Member Affiliate)	Yes
7	8787754	IHI Private Member	Yes (Founding Member Affiliate)	Yes
8	8787755	IHI Private Member	Yes (Founding Member Affiliate)	Yes
9	8787757	IHI Private Member	No	Yes
10	8787756	IHI-TEST (AP)	No	Yes

4. In the '**Financial Information**' tab, include the costs of the Associated Partner 'case b' into the estimated budget of the designated beneficiary. The estimated costs of both entities together should be specified in the estimated budget of the designated beneficiary.

In the example below, the total cost for both entities together is specified in the estimated budget of the designated beneficiary in the 'financial information' tab and amounts to EUR 448,125 (as in this particular case, the designated beneficiary does not contribute IKOP to the project but only Financial Contribution (FC)).



(f) Total costs (a1 + a2 + b + c1 + c2 + c3 + d2 + e)	448,125.00 €
▼ Estimated EU contribution	
▼ EU contribution to eligible costs	
(g) Maximum EU contribution (100% * f)	448,125.00 €
(h) Requested EU contribution	0.00 €
(m) Maximum grant amount (h)	0.00 €

In the Annex 1 - Description of the Action (DoA)

5. Identify the Associated Partner 'case b' under the task(s) it contributes to (in the Work Package description). Also, incorporate the staff effort of the Associated partner 'case b' into the effort of the main beneficiary it is associated with for each WP, as relevant (no need to specify staff effort for the Associated Partner 'case b' separately).

In the SOFIA tool

6. Update the information for any new participant(s) in **the project participant list in the SOFIA tool** (<https://sofia.ih.europa.eu>). Detailed instructions on the steps to follow can be found in SOFIA. For AP 'case b', it is necessary to specify if the participant is a Private Member (including its affiliation to EFPIA/COCIR/MedTechEurope/EuropaBio) or a Contributing Partner.

a. During Grant Preparation Phase (GAP)

The project Coordinator should update the information on Membership in the SOFIA tool as soon as the GAP is submitted to IHI JU. This will allow the entities whose Membership status is 'No' in the 'JU Contribution' tab (see screenshot below) to be correctly reflected **before** the grant agreement is signed. Once SOFIA is updated, the project Coordinator should submit it to IHI and inform the IHI Scientific Officer of the project accordingly via the communication tool in the Funding and Tenders Portal.

In the example below, the Membership of the new AP 'case b' and another IHI Private Member of the ongoing GAP appear as 'No' because the information is not yet updated in the Sofia tool.

Amendments of Grant Agreement Data											
Project Summary	Amendment Information	Beneficiaries	General Information	Reporting Periods	GA Information	GA Options	Financial Information	LF Overview	Associated Partners	JU Contribution	Work Packages

JU Contributions											
IHI JU Membership status											
4		8787751	IHI Private Member (designated beneficiary)	Yes (Founding Member Affiliate)	Yes	0.00 €	0.00 €	450,000.00 €	0.00 €		
5		8787752	IHI Private Member	Yes (Founding Member Affiliate)	Yes	0.00 €	0.00 €	2,000,000.00 €	0.00 €		
6		8787753	IHI Private Member	Yes (Founding Member Affiliate)	Yes	672,917.50 €	513,333.65 €	0.00 €	0.00 €		
7		8787754	IHI Private Member	Yes (Founding Member Affiliate)	Yes	519,167.50 €	519,167.50 €	500,000.00 €	0.00 €		
8		8787755	IHI Private Member	Yes (Founding Member Affiliate)	Yes	168,750.00 €	168,750.00 €	467,110.00 €	0.00 €		
9		8787757	IHI Private Member	No	Yes	8,607,450.00 €	7,789,750.00 €	0.00 €	0.00 €		
10		8787756	IHI-TEST (AP)	No	Yes	448,125.00 €	448,125.00 €	0.00 €	0.00 €		

b. During an Amendment (which includes the addition of a new AP 'case b')

The project Coordinator should update the information on Membership in the SOFIA tool as soon as the Amendment is signed.

After the amendment is signed by both parties, the project Coordinator will receive an automatic notification by email with the request to update the information related to the newly added associated Partner case b in the project participant list in the SOFIA tool (<https://sofia.ih.europa.eu>). For an AP 'case b', the project Coordinator needs to specify in the SOFIA tool if the entity is a Private Member (including its affiliation to EFPIA/COCIR/MedTechEurope/EuropaBio) or a Contributing Partner. Once SOFIA is updated, the project Coordinator should submit it to IHI and inform the IHI Scientific Officer of the project accordingly via the communication tool in the Funding and Tenders Portal.