

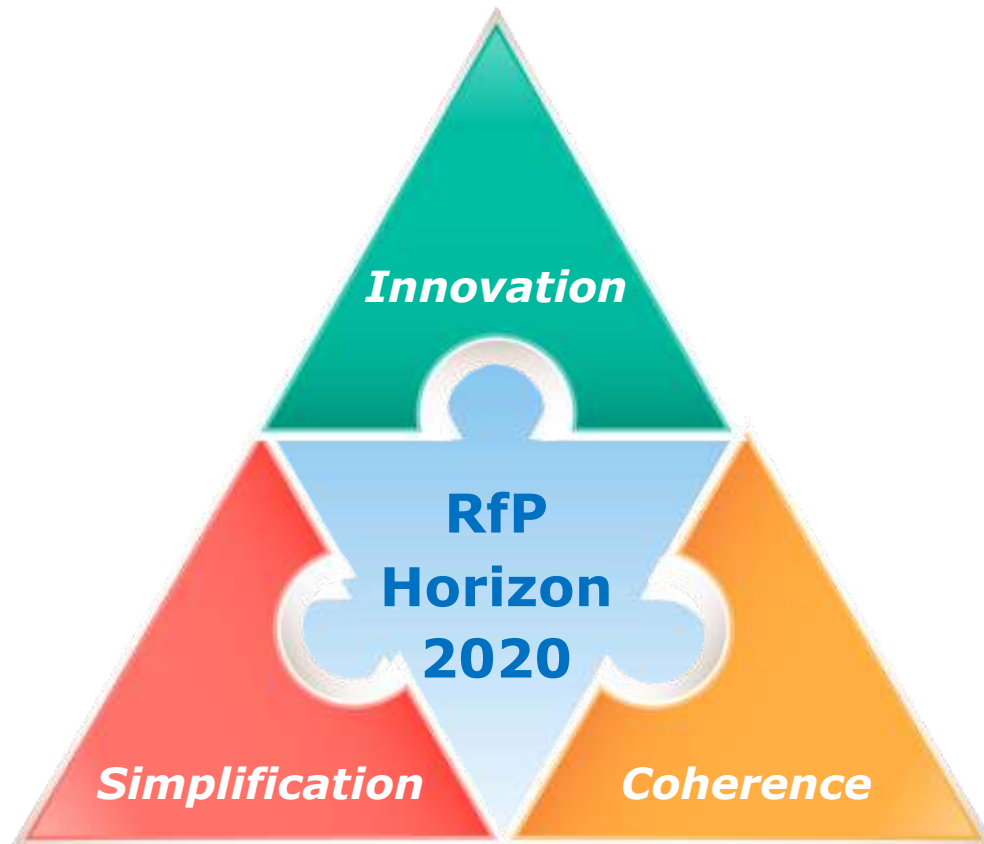


HORIZON 2020

Rules for Participation

2014-2020







European
Commission

A single set of rules



**EU Financial
Regulation**
**Specific rules
for participation**

- Covering all H2020 research and innovation actions
- Keeping flexibility where needed.

Conditions of Participation in Projects

Minimum conditions

- ✓ **Collaborative actions**

At least three legal entities each established in a different Member State or Associated Country;

- ✓ **ERC, SME instrument, programme co-fund, coordination and support, training and mobility actions:**

At least one legal entity established in a Member State or in an Associated Country.

Additional Conditions

- ✓ **In the work programme or work plan.**

Funding of international participants

Horizon 2020 is **open to participation** from across the world

Automatic funding

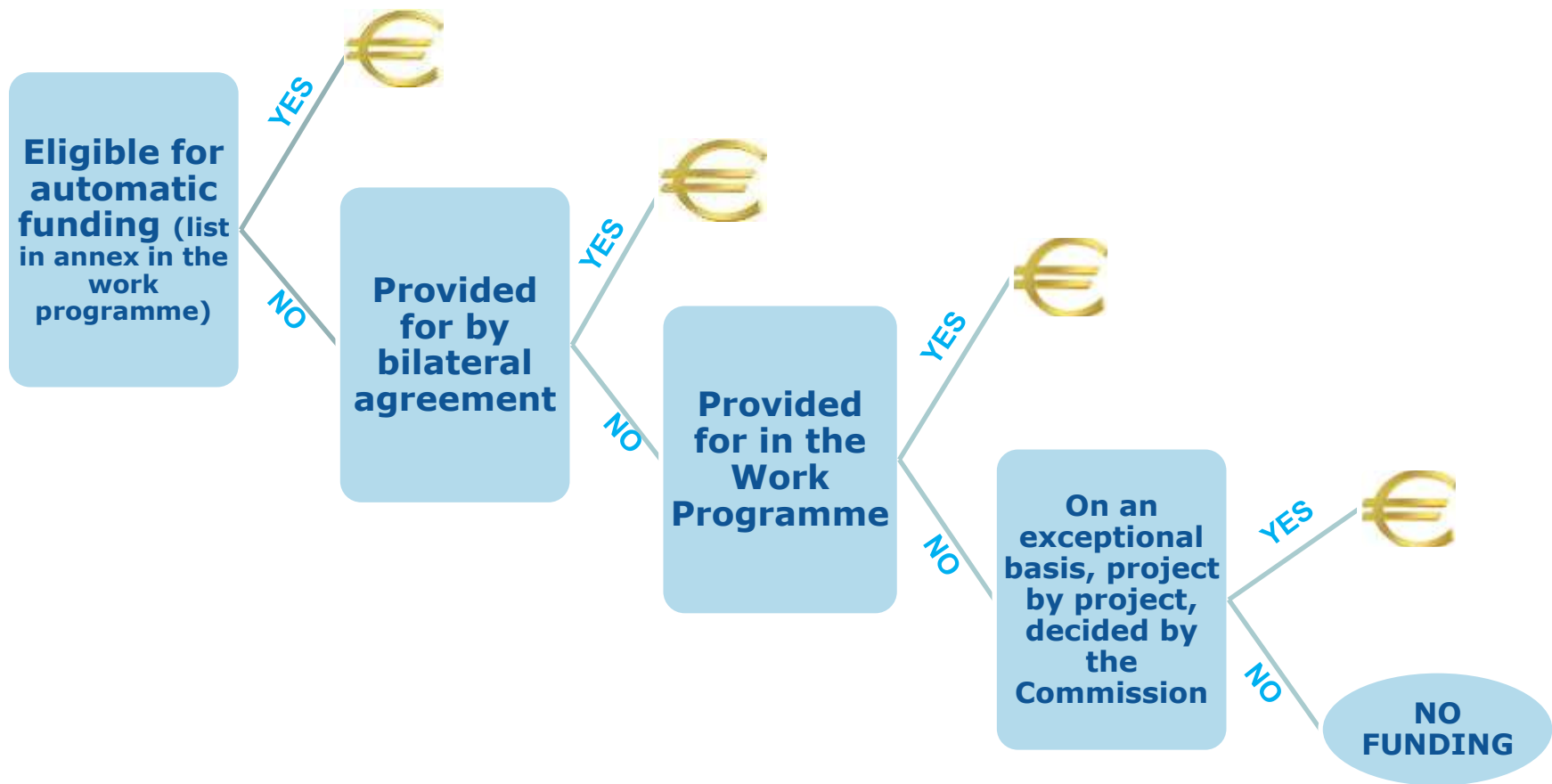
- *Member States – including their overseas departments and overseas countries and territories (OCT) linked to Member States*
- *Associated Countries*
- *Exhaustive list of countries in annex to work programme – (low or medium per-capita income or relatively low GDP)*

Participants from other countries funded in exceptional cases

International Organisations

- *International European interest organisations*
- *In other cases:*
 - *Where there is a bilateral agreement in force*
 - *Where the Commission deems funding essential (case by case assessment)*

Eligibility for Funding



Forms of funding - *I*

WE KEEP

- ✓ Use of Grant Agreements
- ✓ Actual costs

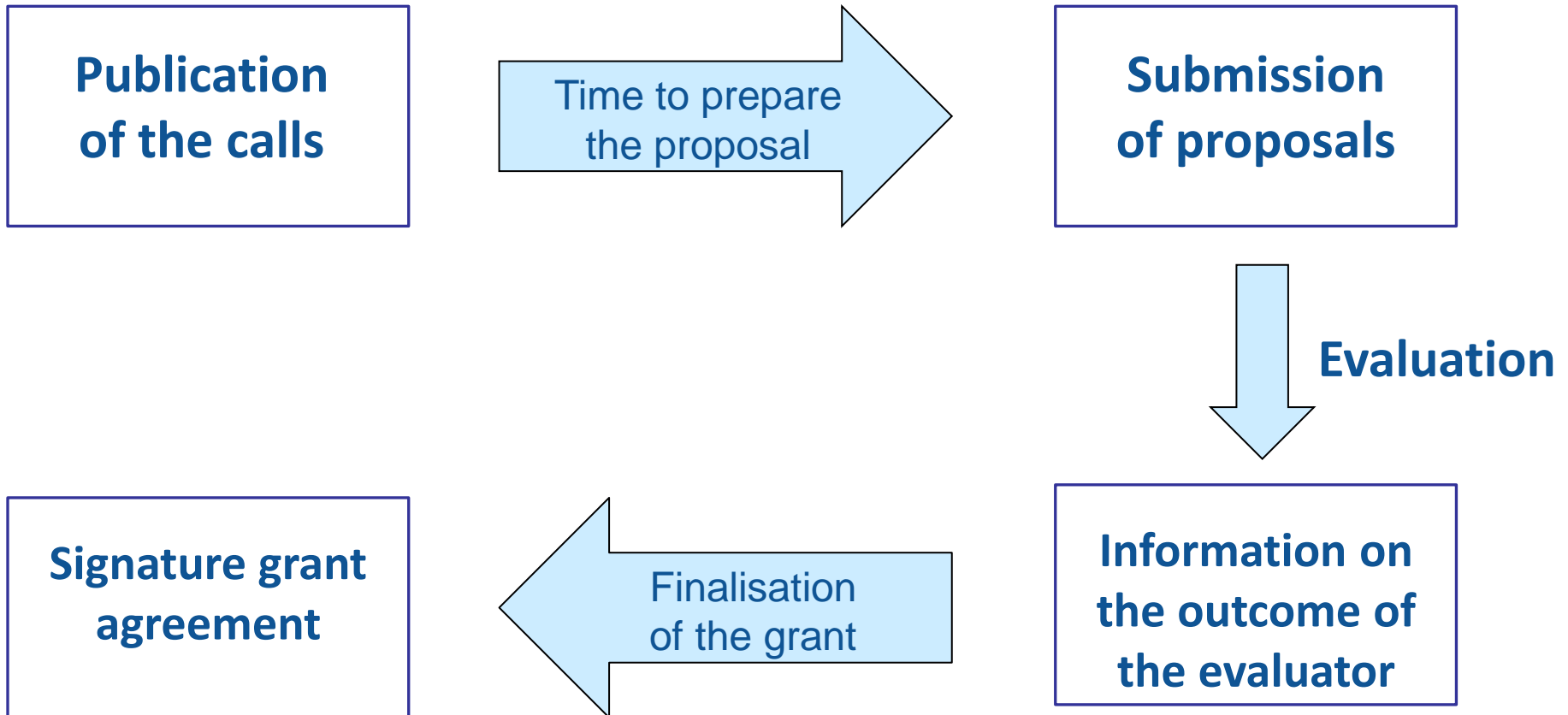


Forms of funding - *II*

What is NEW

- ✓ **Specific provisions targeting innovation:**
 - pre-commercial procurement,
 - procurement of innovative solutions
 - and inducement prizes.
- ✓ **Financial instruments:**
 - a debt financial instrument,
 - a financial instrument providing equity finance for R&I, etc.
- ✓ **Possibility of output-based grants (lump-sums per project).**
- ✓ **Enhanced use of other lump-sums, flat rates and unit costs.**

From Call to Grant



Evaluation of proposals

STANDARD AWARD CRITERIA

EXCELLENCE

IMPACT

QUALITY &
EFFICIENCY
OF THE ACTION

- ✓ **ERC** frontier Research actions >> only EXCELLENCE
- ✓ **Innovation actions** >> higher weighting for "IMPACT"
- ✓ Weightings published in work programme

Time to grant: speeding up the process - I

A maximum TTG of 8 months

5 months
for informing all applicants
on scientific evaluation

3 months
for signature of GA

Some exceptions apply

Time to grant: speeding up the process - II

Speeding up the process

✓ No substantive negotiations

- ✓ each proposal evaluated 'as it is', not as 'what could be';

✓ Legal entity validated in parallel

✓ No more paper

- ✓ e-communication & e-signature of grants



One project = One rate

**For all beneficiaries
and all activities in
the grant.**

Defined in the Work Programme:

Up to 100 % of the eligible costs;

but limited to a maximum of 70 %
for innovation projects (exception
for non-profit organisations -
maximum
of 100%).

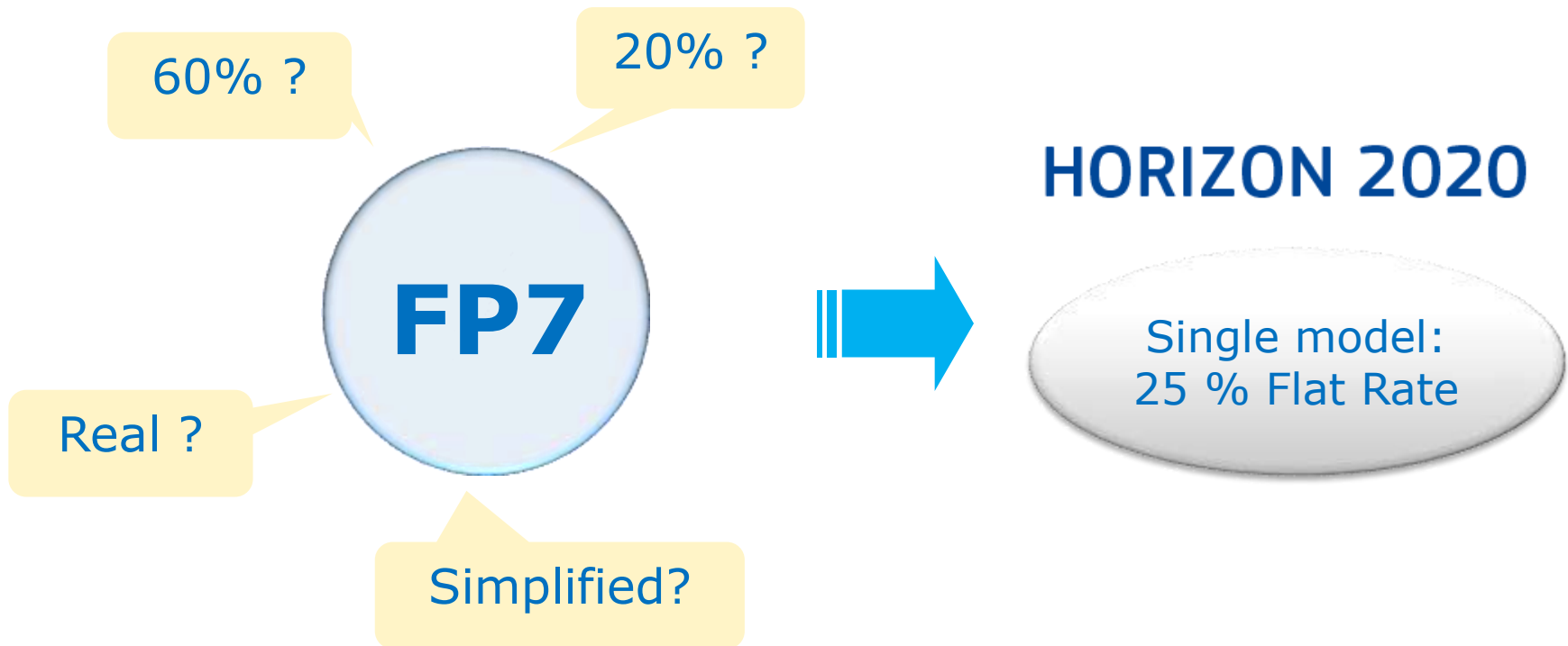
Cost reimbursement

Personnel costs

- ✓ **Wider acceptance of average personnel costs**
- ✓ **Acceptance of supplementary payments**
for non-profit organisations of up to 8000 euros/year/person
- ✓ **Simplifying participation for SMEs**
- ✓ **Less requirements for time records**
- ✓ **...and more in the Horizon 2020 Grant Agreement**



Single indirect cost model



Specific procedures - *I*

Fast Track to Innovation Pilot:

To be launched in 2015, with the following features

- ✓ **maximum of 5 partners/ maximum €3 M per project**
- ✓ **Bottom-up approach**
- ✓ **Continuously open call with three cut-off dates per year**
- ✓ **Time to grant not exceeding 6 months**
- ✓ **Covering all fields across LEITs (Leadership in Enabling and Industrial Technologies) and Societal Challenges**

Specific procedures - *II*

SME Instrument:

- ✓ **Implemented via single centralised management structure**
- ✓ **Bottom-up approach**
- ✓ **Continuously open call**
- ✓ **Only SMEs eligible for participation**



Intellectual Property Rights - I

We keep

- ✓ **Ownership**
 - for the participant who generates results,
 - joint-ownership only in specific circumstances
- ✓ **Protection**
 - where appropriate
- ✓ **Exploitation**
 - General obligation to exploit
- ✓ **Dissemination**
 - principle maintained



Intellectual Property Rights - II

- ✓ **Transfer and exclusive licences outside the Union/Associated Countries**
 - the grant agreement may foresee right to object if a participant has received Union funding

- ✓ **Access rights**
 - for implementation and for exploitation purposes (also for affiliated entities established in MS/AC)

- ✓ **Tailor-made provisions in the MGA for:**
 - security-related activities,
 - ERC frontier research,
 - SME instrument,
 - mobility,
 - support,
 - KICs, etc.

Intellectual Property Rights - III

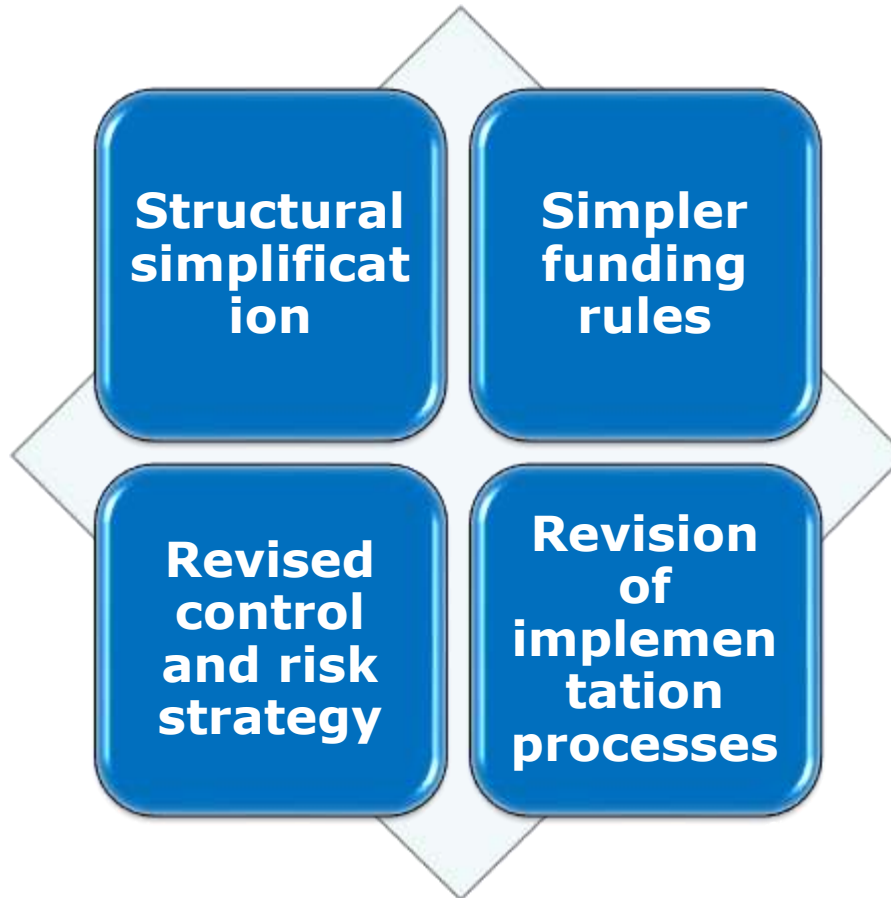
What is **NEW**

- ✓ **Additional exploitation / dissemination obligations**
(in the work programme)
- ✓ **Open access:**
 - obligatory for scientific publications and,
 - to research data (in appropriate areas and when foreseen in the work programme; possibility to opt-out)
- ✓ **Access rights:**
 - for the Union under all parts of the programme and,
 - EU for MS under 'Secure societies',
- ✓ **Specific provision (There are no longer 'special clauses')**

The objective of such additional exploitation obligations is to justify how the Union funding will benefit Europe's overall competitiveness (reciprocity principle).

 - for pre-commercial public procurement and
 - for procurement of innovative solutions

Horizon 2020 - Simplification along four dimensions



Structural simplification

- **Programme architecture:** Integration of FP7, CIP,EIT in one programme H2020
- **Fewer legal acts:** H2020, Euratom; Rules for Participation; one Specific Programme (before: 12 legal acts)
- **Coherent set of rules** applicable to all actions; deviations only if duly justified
- **Common toolkit** of funding schemes

Revised control and risk strategy

- **Extension of the guarantee fund** to all actions under H2020 (provided they apply the Rules for Participation)
- **Reduction of ex-ante checks:** financial capacity check only for coordinators and $\geq 500k$; only one certificate on financial statements at project end (threshold € 325 000, excluding flat rates and lump sums)
- **Ex-post audit strategy:** integrated governance leading to reduced audit burden; focus on risk-based audits and fraud detection; expectation: max. 7% of beneficiaries audited

Revision of implementation processes

- **Single IT platform** for all EU research and innovation funding
- **Overhaul of practical processes and requirements** for proposal submission, negotiation, reporting etc.
- **Review** of guidance documents, support services
- Revised comitology, no vote on selection of projects - grant implementation in “mode ordonnateur”

Consequences



major simplification of legal entity validation



simpler budgeting



more flexibility in ongoing projects



shorter time-to-grant



lower risk of errors

Research and Innovation Participant Portal

<http://ec.europa.eu/research/participants/portal/desktop/en/home.html>



HORIZON 2020

**Thank you
for your attention!**

Find out more:
www.ec.europa.eu/horizon2020