



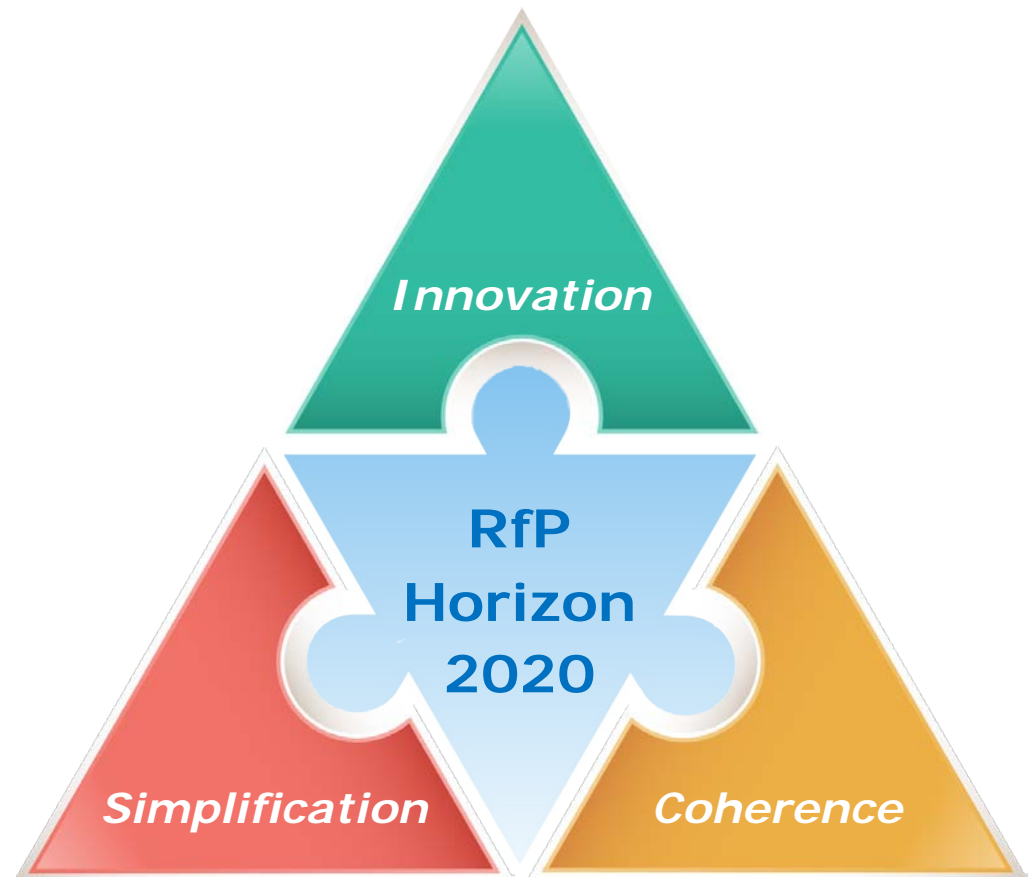
HORIZON 2020

Rules for Participation and Dissemination And Model Grant Agreement

DG Research and Innovation

Rules for participation: Three main objectives

**Innovation,
Simplification
and Coherence**



1. A single set of rules



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

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

2. Conditions for Participation

Minimum conditions

- ✓ **Standard collaborative actions**

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

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

One legal entity established in a Member State or in an Associated Country.

Additional Conditions

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

3. Evaluation of proposals



- ✓ **ERC** frontier Research actions ➡ only EXCELLENCE
- ✓ **Innovation actions** ➡ higher weighting for "IMPACT"

4. Time to grant: speeding up the process - /

A maximum TTG of 8 months

5 months

for informing all applicants
on scientific evaluation

3 months

for signature of GA

Some exceptions apply

5. Time to grant: speeding up the process - //

How to speed up the process

- ✓ **No more 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.



6. Forms of funding - /

WE KEEP

- ✓ Use of Grant Agreements
- ✓ Actual costs



7. Forms of funding - //

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.**

8. A single funding rate

FP7

Maximum reimbursement rates	Research and technological development activities (*)	Demonstration activities	Other activities
Network of excellence	50% 75% (**)		100%
Collaborative project(****)	50% 75% (**)	50%	100%
Coordination and support action			100% (***)

(*) Research and technological development includes scientific coordination.

(**) For *beneficiaries* that are *non-profit public bodies*, secondary and higher education establishments, *research organisations* and *SMEs*.

(***) The reimbursement of indirect eligible costs, in the case of coordination and support actions, may reach a maximum 7% of the direct eligible costs, excluding the direct eligible costs for subcontracting and the costs of resources made available by third parties which are not used on the premises of the *beneficiary*.

(****) Including research for the benefit of specific groups (in particular SMEs)

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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%).



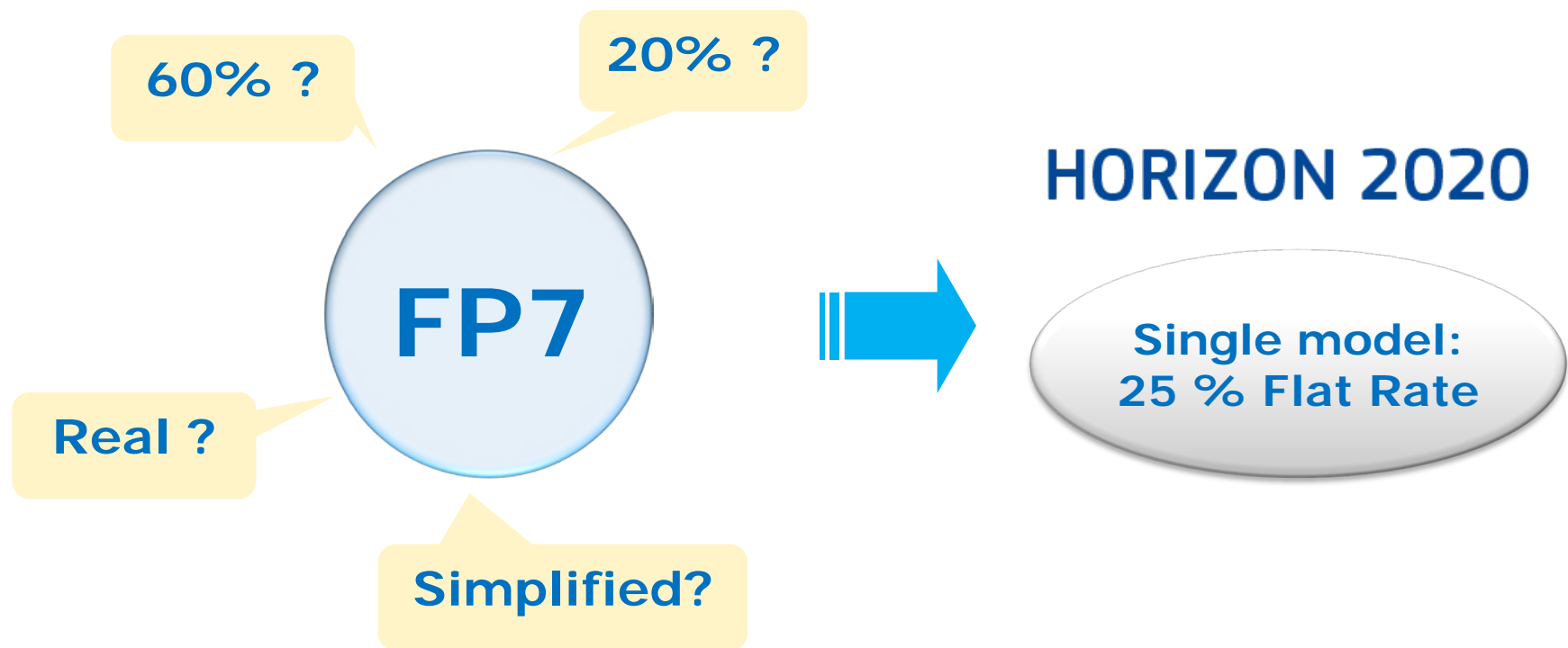
9. Cost reimbursement

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**



10. Single indirect cost model





11. New funding model: what impact on the EU contribution?

An example

FP7	<i>Majority of HES & RTOs</i>	Direct costs	Indirect costs	Total costs	% EU contribution	EU contribution
Flat-rate	(60%)	100	60	160	75%	€ 120

HORIZON 2020	Direct costs	Indirect costs	Total costs	% EU contribution	EU contribution
100/25 Funding	100	25	125	100%	€ 125



12. Specific procedures - /

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

13. Specific procedures - //

SME Instrument:

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



14. Controls and audits: Ex-ante

Financial viability

- ⇒ Most beneficiaries exempt from detailed analysis; only systematic check for coordinators when requested EU funding for the project is \geq EUR 500 000

Certificates

- ⇒ **Certificate on the financial statements:** Only for final payments when total EU contribution claimed by the beneficiary on the basis of actual costs + unit costs for average personnel \geq EUR 325.000
- ⇒ **Certificate on the methodology:** Optional for average personnel costs (now under unit costs)

14. Controls and audits: Ex-post

Ex-post audits

- ⇒ Audits of the Commission limited to two years after the payment of the balance

Extension of audit findings

- ⇒ Former "extrapolation" (FP7) now included in the MGA
- ⇒ In the case of systemic or recurrent errors, irregularities, fraud or breach of obligations

15. International Cooperation - /

Participation

Open for all legal entities established in third countries and for international organisations.

Restrictions only possible if introduced in the work programme.

- ✓ For reciprocity reasons;
- ✓ For security reasons.



17. 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;



18. Intellectual Property Rights - //

✓ **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.

19. Intellectual Property Rights - ///

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)

✓ Access rights:

- for the Union under all parts of the programme and,
- for MS under 'Secure societies',

✓ Specific provision:

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

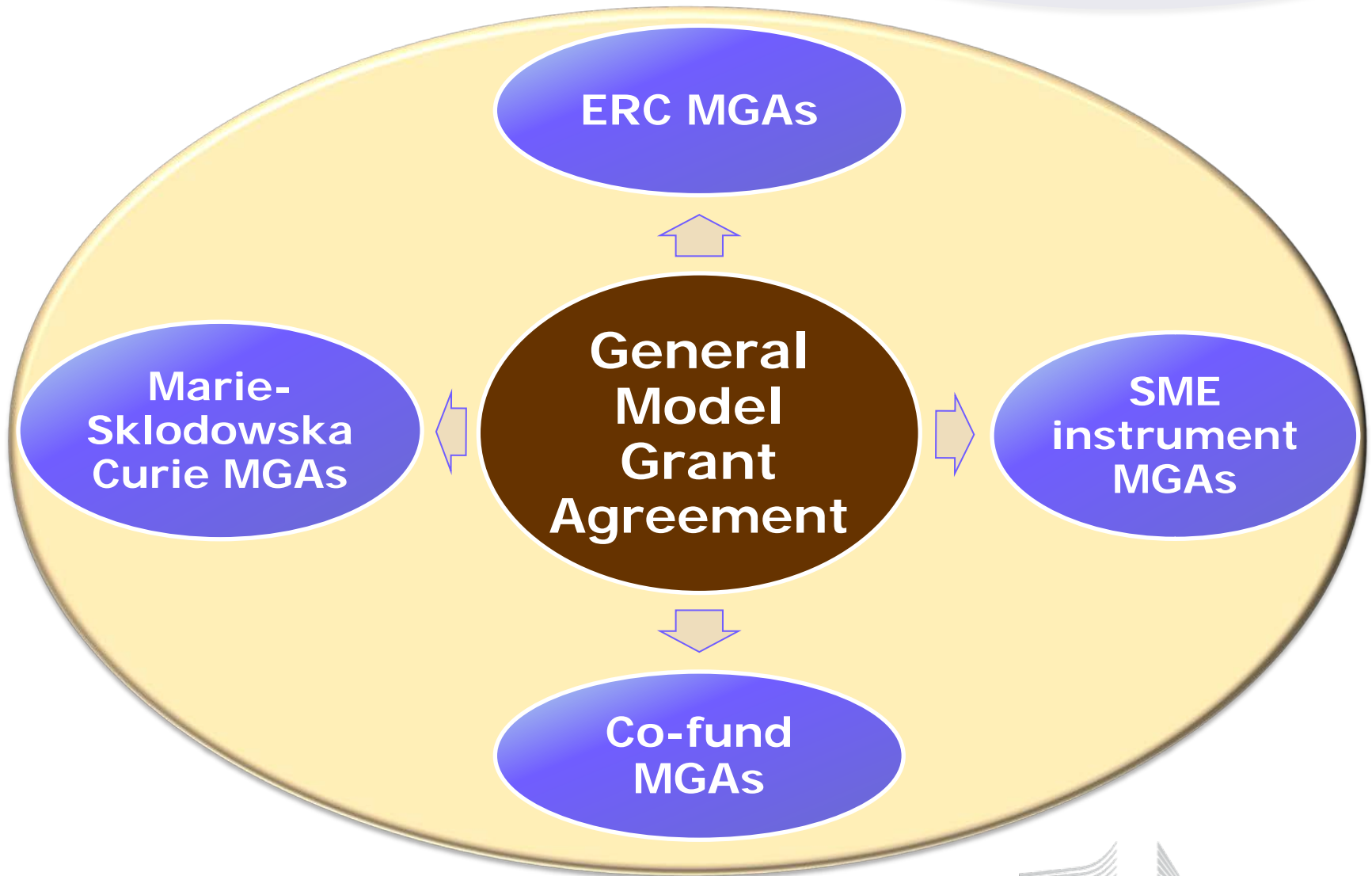
The background of the slide features a vibrant blue space-themed illustration. On the left, a transparent sphere containing a map of Europe is shown, with bright blue light rays emanating from it. Below this sphere, the horizon of the Earth is visible. The right side of the image is filled with a starry space background and abstract, flowing blue lines that suggest a sense of motion and innovation.

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Model Grant Agreement

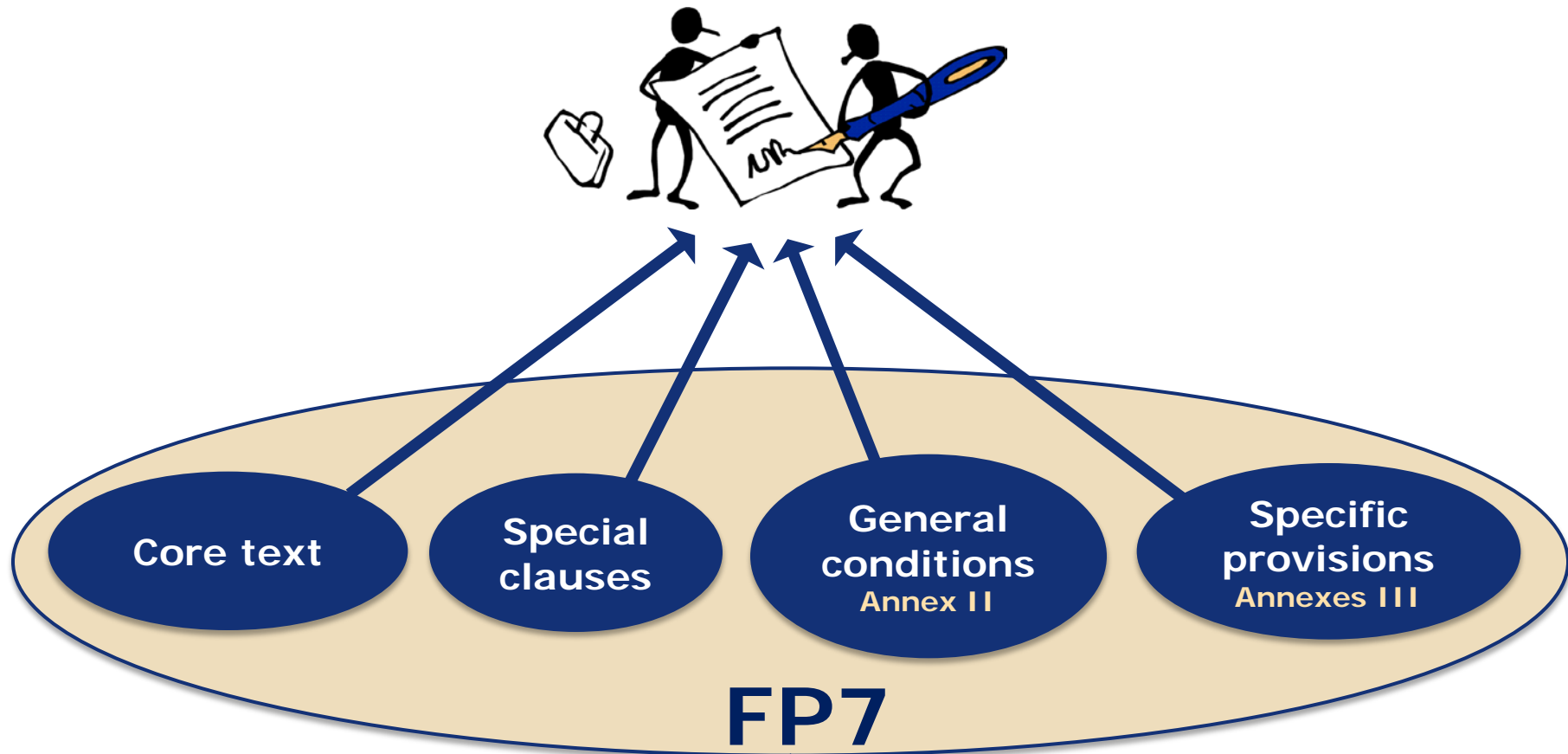
Horizon 2020 model Grant Agreement:

Specific models



Horizon 2020 model Grant Agreement:

A single document with all provisions



Horizon 2020 model Grant Agreement:

Annexes to the grant



Annex 1: Description of the action

Annex 2: Estimated budget

Annex 3: Accession Forms, 3a & 3b

Annex 4: Financial statements

Annex 5: Certificate on the financial statements

Annex 6: Certificate on the methodology

Horizon 2020 model Grant Agreement:

Electronic communication

Electronic signature

- *Of the Grant Agreement*
- *Of the Amendments*
- *Financial Statements and Technical reports*

Communication between the Commission and the beneficiaries

- *Through the Participant Portal*
- *Electronic-only submission of reports*

ADDITIONAL INFO:

Participant Portal

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



Horizon 2020 Documents

http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html



Horizon 2020 On-line Manual

<http://ec.europa.eu/research/participants/portal/desktop/en/funding/guide.html#>



Questions? *Research Enquiry Service*

<http://ec.europa.eu/research/enquiries>



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**Thank you very much
for your attention!**

Find out more:

<http://ec.europa.eu/programmes/horizon2020/>