



# Horizon 2020

## Rules for Participation and Instruments

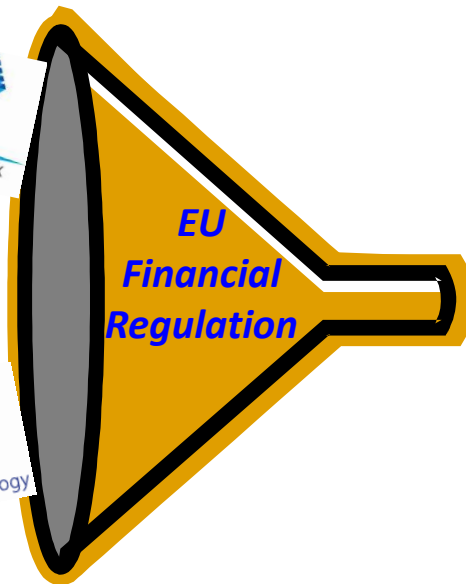
**Thomas Skordas – Kostas Glinos**

[Thomas.Skordas@ec.europa.eu](mailto:Thomas.Skordas@ec.europa.eu)

[Konstantinos.Glinos@ec.europa.eu](mailto:Konstantinos.Glinos@ec.europa.eu)

DG CONNECT, European Commission

# Rules for Participation: A SINGLE SET OF RULES



## **SINGLE SET OF RULES** *for Horizon 2020*

- Covering all research programmes and funding bodies (art. 185 initiatives, art. 187 initiatives, CIP, EIT)...
- ...but flexible to accommodate specificities where needed.
- In accordance to the new Financial Regulation and its Delegated Act.
- Coherent with the rules of the other EU programmes.
- Also applicable to Euratom.

# Rules for Participation: what's new?

## **SIMPLER RULES FOR GRANTS**

- broader acceptance of participants accounting practices for direct costs, flat rate for indirect costs, no time-sheets for personnel working full time on a project, possibility of output-based grants

## **FEWER, BETTER TARGETED CONTROLS AND AUDITS**

- Lowest possible level of requirements for submission of audit certificates without undermining sound financial management
- Audit strategy focused on risk and fraud prevention

## **IMPROVED RULES ON INTELLECTUAL PROPERTY**

- Tailor-made IPR provisions for new forms of funding
- A new emphasis on open access to research publications

**NEW FORMS OF FUNDING** aimed at innovation: SME instrument, pre-commercial procurement, prizes, dedicated loan and equity instruments

*Beyond the Rules:* further simplified provisions in the Grant Agreement and implementing procedures to facilitate access to Horizon 2020 (eg. common IT platform).

# Forms of funding

- **Grants**
  - ✓ Direct financial contribution by way of donation in order to finance an action
- **Prizes**
  - ✓ Financial contribution given as reward following a contest
- **Procurement**
  - ✓ Supply of assets, execution of works or provision of services against payment
- **Financial instruments**
  - ✓ Equity or quasi-equity investments; loans; guarantees; other risk-sharing instruments

# GRANTS

## Conditions for participation

- **Minimum conditions**
  - For standard collaborative actions
    - At least, 3 legal entities, each established in different MS/AC
  - For SME Instrument, programme co-fund, CSA
    - 1 legal entity established in a MS/AC
  - For Fast Track to Innovation
    - Max. 5 participants
- **Additional conditions**
  - To be set out in the Work Programme (i.e. number of participants, type of participants, etc.)

# Evaluation of Proposals

**EXCELLENCE**

**IMPACT**

**Quality and efficiency  
in the IMPLEMENTATION**

**Sole criterion for ERC  
frontier research**

**Higher weighting  
for innovation actions**

## **(1) Award criteria**

➔ The 3 above - Details, Weightings and thresholds to be laid down in the WP

## **(2) Selection Criteria**

### **– Operational capacity (no specific provisions)**

*Applicants must have the professional competencies and qualifications required to complete the proposed action or work programme: it may be assessed on the basis of specific qualifications, professional experience and references in the field concerned.*

### **– Financial capacity**

- Only coordinator of actions equal or superior 500 K€, except specific cases
- No verification for public bodies , entities guaranteed by MS or AC and higher and secondary education establishments

# Award criteria

## (Research and Innovation; Innovation Actions)

### 1. Excellence

- Clarity of the objectives;
- Soundness of the concept, including transdisciplinary considerations;
- Credibility of the proposed approach;
- Progress beyond the state of the art.

### 2. Impact: [...] contribution to:

- The expected impacts listed in the work programme
- Enhancing innovation capacity and integration of new knowledge;
- Strengthening the competitiveness and growth of companies by developing innovations meeting the needs of European and global markets;
- ...measures to, disseminate and exploit the project results,... communication.

### 3. Quality and efficiency of implementation

- Coherence and effectiveness of work plan, ... allocation of tasks, resources;
- Competences, experience and complementarity of the individual participants, as well as of the consortium as a whole;
- Appropriateness of the management structures and procedures...risk management.



# Scoring/weights/thresholds

- As in FP7 each criterion scored out of 5; individual threshold of 3; overall threshold of 10
- Unlike FP7, for Innovation Actions and SME instrument...
  - impact criterion weighted by factor of 1.5
  - Impact considered first when scores equal



# Horizon 2020

## Simplified Funding Model

### ■ 1 reimbursement rate by action

- For all beneficiaries and all activities in the grant
- The applicable rate is defined in the WP: Up to 100% for RTD actions; Up to 70% for innovation and programme co-fund actions (non-profit entities up to 100%)

### ■ 1 method for calculation of **indirect costs**:

- Flat rate of 25% of total direct costs, excluding subcontracting, costs of third parties and financial support to third parties

### ■ Reduced **time to Contract**: 5+3 months

- *SME Instrument* → Phase 1: 2+1 months; Phase 2: 4+2 months

### ■ Audit Certificates on **financial statements**:

- Only for final payments when total EU contribution claimed on the basis of actual costs + average personnel costs  $\geq$  325,000 EUR

### ■ Certificates on the methodology

- Optional certificates on average personnel costs

### ■ Ex-post audits

- Audits limited to 2 years after payment of the balance

# Cost Reimbursement – Personnel Costs

- ✓ **Wider acceptance of average personnel costs** (now under unit costs)  
*Broadening the basic conditions for acceptance of average personnel cost accounting practices (including cost-centre approaches).*
- ✓ **Acceptance of supplementary payments** for non-profit organisations of up to 8000 Euro/year/person
- ✓ **Simplifying participation for SMEs**  
*Providing in the Rules for a unit cost system for SME owners and physical persons without a salary.*
- ✓ **Less requirements for time records**  
*No time records for researchers working exclusively on the project.*
- ✓ **Simplified provisions on annual productive hours**  
*Two options: 1720 hours or usual cost accounting practice subject to a minimum threshold.*

# Other instruments


- **SME Instrument (1 SME or consortium of SME)**
  - Implemented via a single management structure
  - Continuously open call; organised around 3 rounds
    1. lump sum to explore technical feasibility and commercial potential of a new idea
    2. grants to perform R&I with a particular focus on demonstration activities
    3. support measures and networking actions for helping exploitation of outcomes
- **Fast Track to Innovation**
  - For innovation actions related to any technology field under LEIT and SC
  - Open calls with 3 cut-off dates per year, 6 months between cut-off date and grant signature
  - Pilot to be launched in 2015
  - Max. 3M €; max. 5 participants; no comitology

# Guide to the presence of ICT in H2020

- **Comprehensive coverage of all three H2020 pillars**
- **Detailed list of calls and topics**

Find out more:

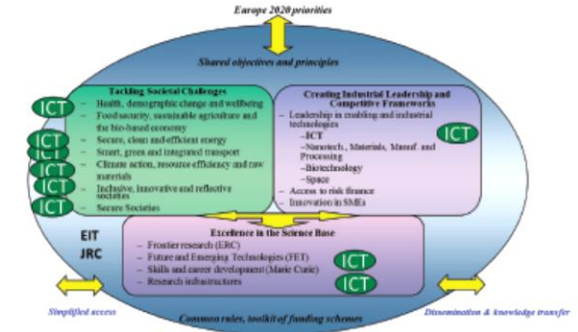
- [ec.europa.eu/research/horizon2020](http://ec.europa.eu/research/horizon2020)
- **The Participant Portal (to be revamped soon):**  
[ec.europa.eu/research/participants/portal/page/home](http://ec.europa.eu/research/participants/portal/page/home)



## A guide to ICT-related activities in WP2014-15

### ICT in H2020 – an Overview

As a generic technology, ICT is present in many of the H2020 areas. This guide is designed to help potential proposers find ICT-related topics across the different parts of H2020.



The diagram illustrates the presence of ICT in H2020 across various pillars and objectives. It is structured as follows:


- Europe 2020 priorities** (top)
- Shared objectives and principles** (middle)
- Tackling Societal Challenges** (left):
  - Health, demographic change and wellbeing
  - Food security, sustainable agriculture and the bio-based economy
  - Secure, clean and efficient energy
  - Smart, green and integrated transport
  - Climate action, resource efficiency and raw materials
  - Inclusive, innovative and reflective societies
  - Secure Societies
- Creating Industrial Leadership and Competitive Frameworks** (right):
  - Leadership in enabling and industrial technologies
  - ICT
  - Nanotech, Materials, Manuf. and Processing
  - Bio-technology
  - Space
  - Access to risk finance
  - Innovation in SMEs
- Excellence in the Science Base** (bottom):
  - Frontier research (ERC)
  - Frontier and Emerging Technologies (FET)
  - Skills and career development (Marie Curie)
  - Research infrastructures

Additional elements in the diagram include: EIT JRC, Simplified access, Common rules, model of funding schemes, and Dissemination & knowledge transfer.

In work programme 2014-15, ICT-related topics are covered as follows:

- Advanced research to uncover radically new technological possibilities and ICT contributors to research and innovation are addressed in the 'Excellent science' part of the work programme, respectively under 'Future and Emerging Technologies' and 'European research infrastructures' ('infrastructures');
- Research and innovation activities on generic technologies either driven by industrial roadmaps or through a bottom-up approach are addressed in the 'Leadership in enabling and industrial technologies' (LEIT) part of the work programme, under 'information and communication technologies';
- Multi-disciplinary application-driven research and innovation leveraging ICT to tackle societal challenges are addressed in the different 'Societal challenges'.

The figures above and below provide synthetic overviews of the presence of ICT in Horizon 2020.



## ΣΑΣ ΕΥΧΑΡΙΣΤΟΥΜΕ!

**Θωμάς Σκορδάς**

Τμηματάρχης, τμήμα Φωτονικής (DG CONNECT)

[Thomas.Skordas@ec.europa.eu](mailto:Thomas.Skordas@ec.europa.eu)

**Κώστας Γληνός**

Τμηματάρχης, τμήμα Ηλεκτρονικών Υποδομών (DG CONNECT)

[Konstantinos.Glinos@ec.europa.eu](mailto:Konstantinos.Glinos@ec.europa.eu)

**Για περισσότερες πληροφορίες, επισκεφτείτε τις ιστοσελίδες**

→ Ορίζοντας 2020: <http://ec.europa.eu/research/horizon2020/>

→ ICT in Horizon 2020: <http://ec.europa.eu/digital-agenda/en/science-and-technology>