



HORIZON 2020

**Research and Innovation
Rules of Participation
International Strategy**

2014-2020

Speaker's name



The Multiannual Financial Framework 2014-2020: European Council conclusions, 8 February 2013

- **Key challenge:** stabilise the financial and economic system while taking measures to create economic opportunities

1. Smart & inclusive growth (€451 billion)



1. Sustainable growth, natural resources (€373 billion)
2. Security and citizenship (€16 billion)
3. Global Europe (€58 billion)
4. Administration (€61.6 billion)



**TOTAL
€960 billion**

What is Horizon 2020

- ✓ **Research and innovation funding programme (2014-2020); 79 billion budget (in current prices)**
- ✓ **A core part of Europe 2020, Innovation Union & European Research Area:**
 - Responding to the economic crisis to invest in future jobs and growth
 - Addressing people's concerns about their livelihoods, safety and environment
 - Strengthening the EU's global position in research, innovation and technology

Working under the logo of three main priorities



Priority 1. Excellent science funding (€ million, 2014-2020)*

<i>European Research Council (ERC)</i> Frontier research by the best individual teams	13 095
<i>Future and Emerging Technologies</i> Collaborative research to open new fields of innovation	2 696
<i>Marie Skłodowska-Curie actions (MSCA)</i> Opportunities for training and career development	6 162
<i>Research infrastructures (including e-infrastructure)</i> Ensuring access to world-class facilities	2 488

* All funding figures in this presentation are subject to the pending Multiannual Financial Framework Regulation by the EP and the Council

Priority 2. Industrial leadership funding (€ million, 2014-2020)

<p><i>Leadership in enabling and industrial technologies (LEITs)</i> (ICT, nanotechnologies, materials, biotechnology, manufacturing, space)</p>	<p>13 557</p>
<p><i>Access to risk finance</i> Leveraging private finance and venture capital for research and innovation</p>	<p>2 842</p>
<p><i>Innovation in SMEs</i> Fostering all forms of innovation in all types of SMEs</p>	<p>616 + complemented by expected 20% of budget of societal challenges + LEITs and 'Access to risk finance' with strong SME focus</p>

Priority 3. Societal challenges funding (€ million, 2014-2020)

Health, demographic change and wellbeing	7 472
Food security, sustainable agriculture and forestry, marine and maritime and inland water research and the Bioeconomy	3 851
Secure, clean and efficient energy *	5 931
Smart, green and integrated transport	6 339
Climate action, environment, resource efficiency and raw materials	3 081
Inclusive, innovative and reflective societies	1 310
Secure societies	1 695
<i>Science with and for society</i>	<i>462</i>
<i>Spreading excellence and widening participation</i>	<i>816</i>

* Additional funding for nuclear safety and security from the Euratom Treaty activities (2014-2018)

International cooperation

International cooperation is crucial to address many Horizon 2020 objectives

- ✓ Science is increasingly global
- ✓ International Cooperation for excellence, competitiveness, facing global challenges and contributing to external policies

Principle of general opening: the programme is the most open funding programme in the world

Targeted activity

- ✓ Partner countries or regions in topics in a Call for proposals

Dedicated measures to support the **international cooperation strategy**

- ✓ in the 'Inclusive, innovative and reflective societies' challenge

Enhancing and focusing EU international cooperation in research and innovation - a new strategic approach





International Cooperation: General Opening

Participation

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

Restrictions for entities:

- **Under sanctions in specific countries**
- **If in the work programme**
 - ✓ For reciprocity reasons
 - ✓ For security reasons



International Cooperation: Targeted actions

- **International cooperation as part of strategic planning for each part of Horizon 2020**
- **Area for cooperation and partner country/region specified upfront**
 - *Third country participation encouraged*
 - *Third country participation required*
 - *Joint calls*
 - *Coordinated/synchronised calls*
- **Areas identified based on a set of criteria to ensure common interest and mutual benefit:**
 - *Research and innovation excellence*
 - *Framework conditions/access to markets*
 - *Contribution to international commitments*
 - *Frameworks to engage in cooperation and lessons learned*

Tailored to countries/regions (enlargement, neighbourhood, industrialised and emerging countries, developing countries)

- **Roadmaps** for international cooperation with international partners (to be published in 2014)

Cooperation at Programme Level

Joint Calls

- Used for specific actions (e.g. identified through Joint Steering Committees)
- One call, one evaluation, two contracts

Synchronized / Coordinated calls

- Used for specific actions (e.g. identified through Joint Steering Committees)
- Paired calls, linked evaluations, two contracts

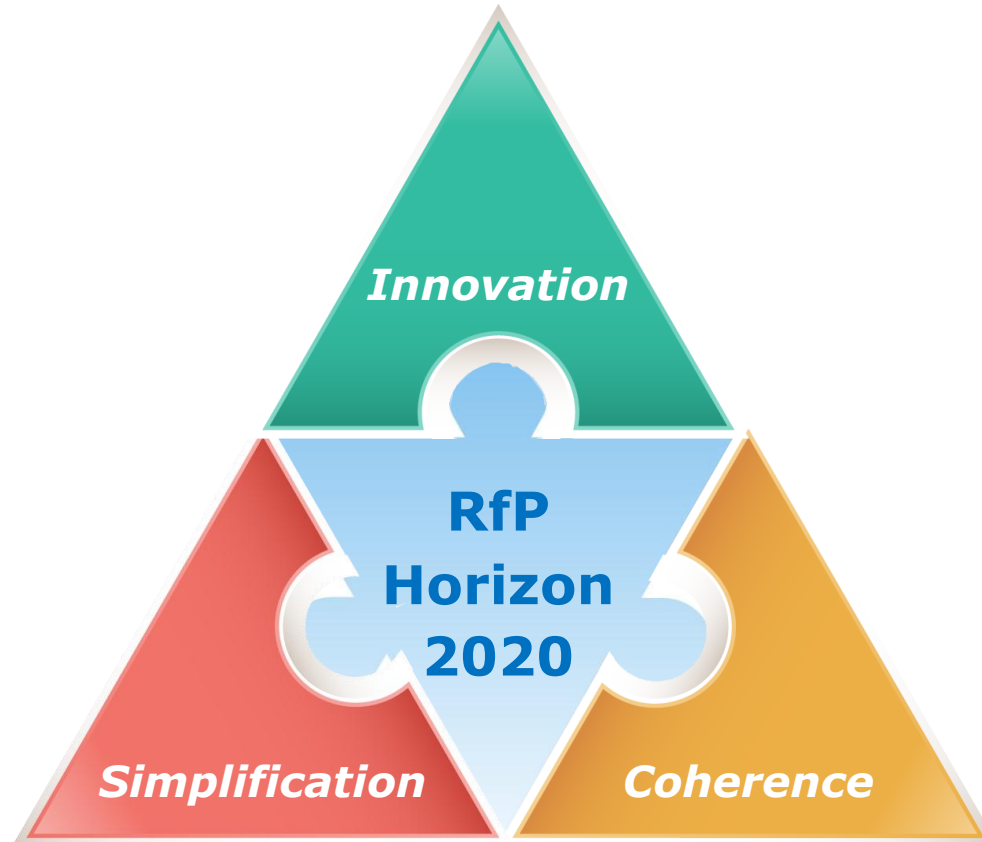
Programme-level coordination (multilateral)

- Funding Agencies share and agree priorities for implementing through their own programmes



European
Commission

Rules for participation





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

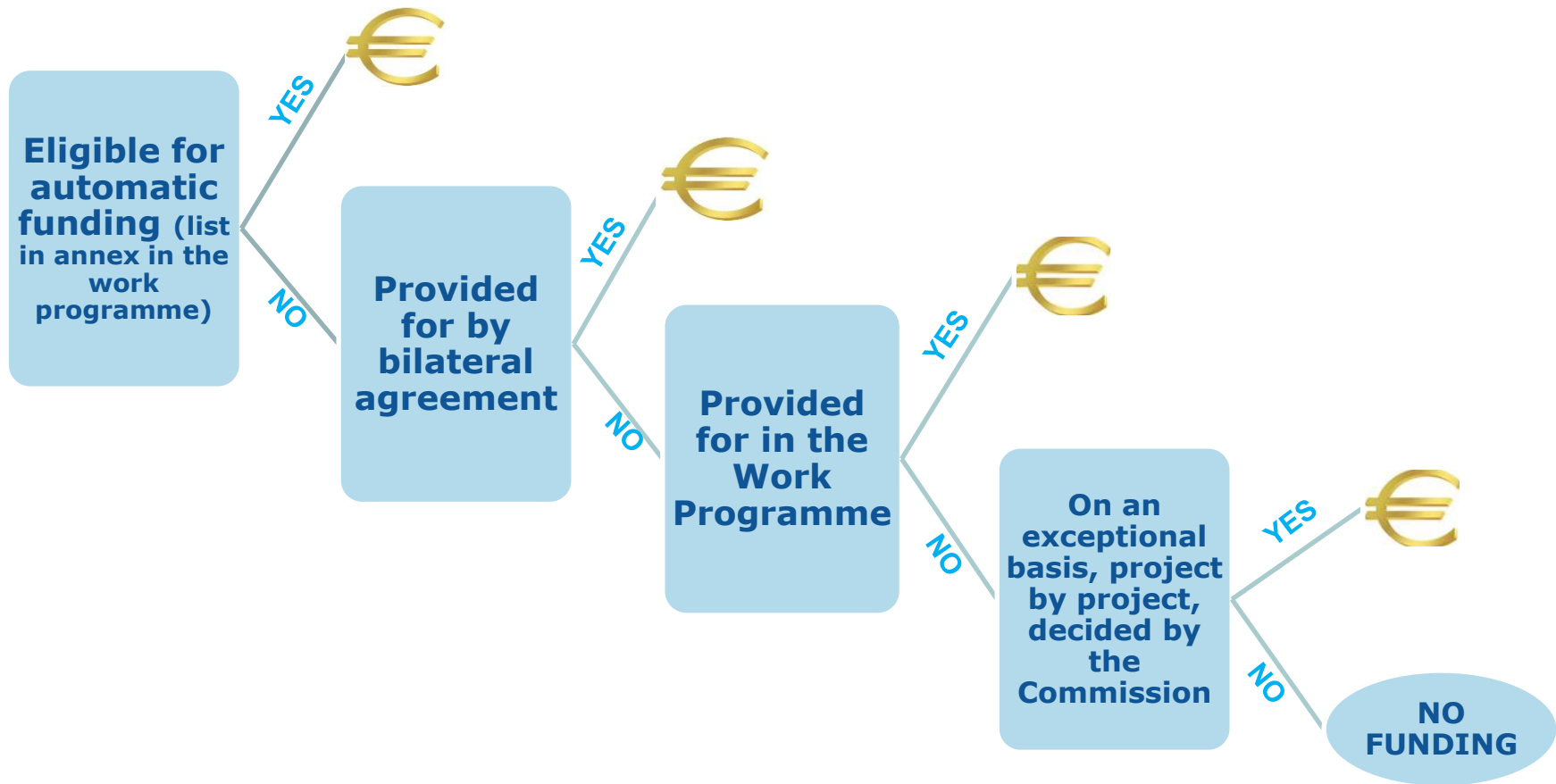
International Organisations

- *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)*



European
Commission

Eligibility for Funding



Forms of funding - *I*

WE KEEP

- ✓ Use of Grant Agreements
- ✓ Actual costs

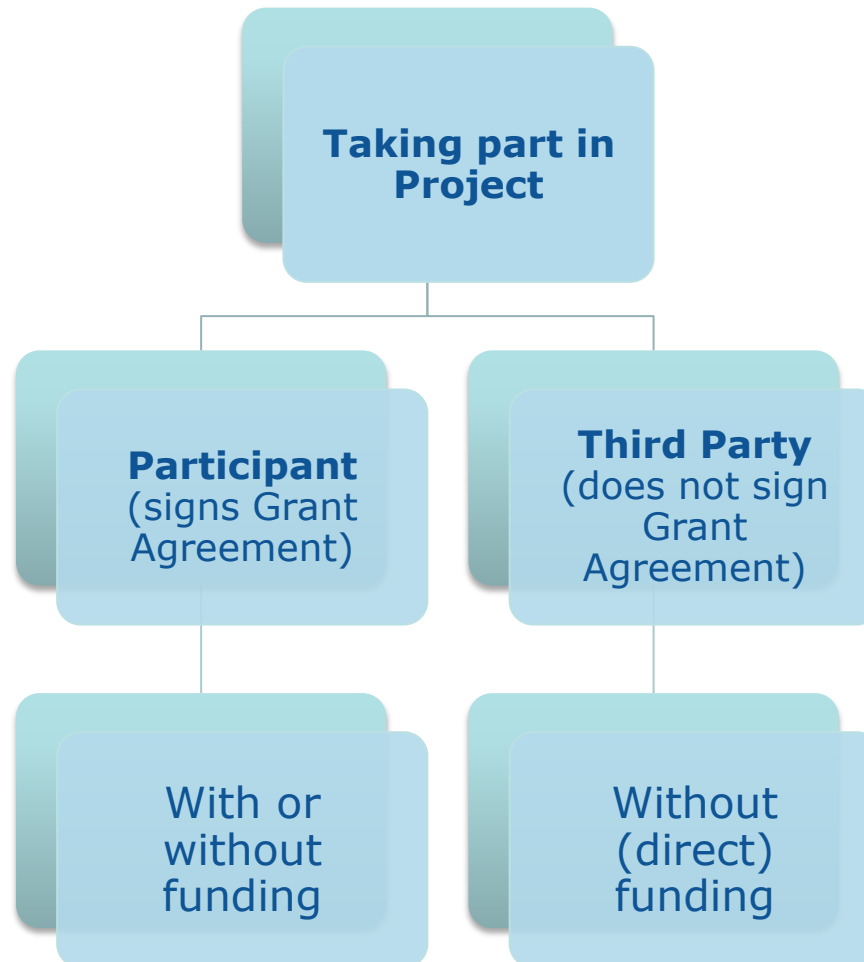


Forms of funding - *II*

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.**

Possibilities for taking part



Third Party Participation



do not sign Grant Agreement but sign private Agreement with one or more of the full participants

The participant for which the third party carries out work must ensure that it is possible to exercise its IPR rights (e.g. Access)

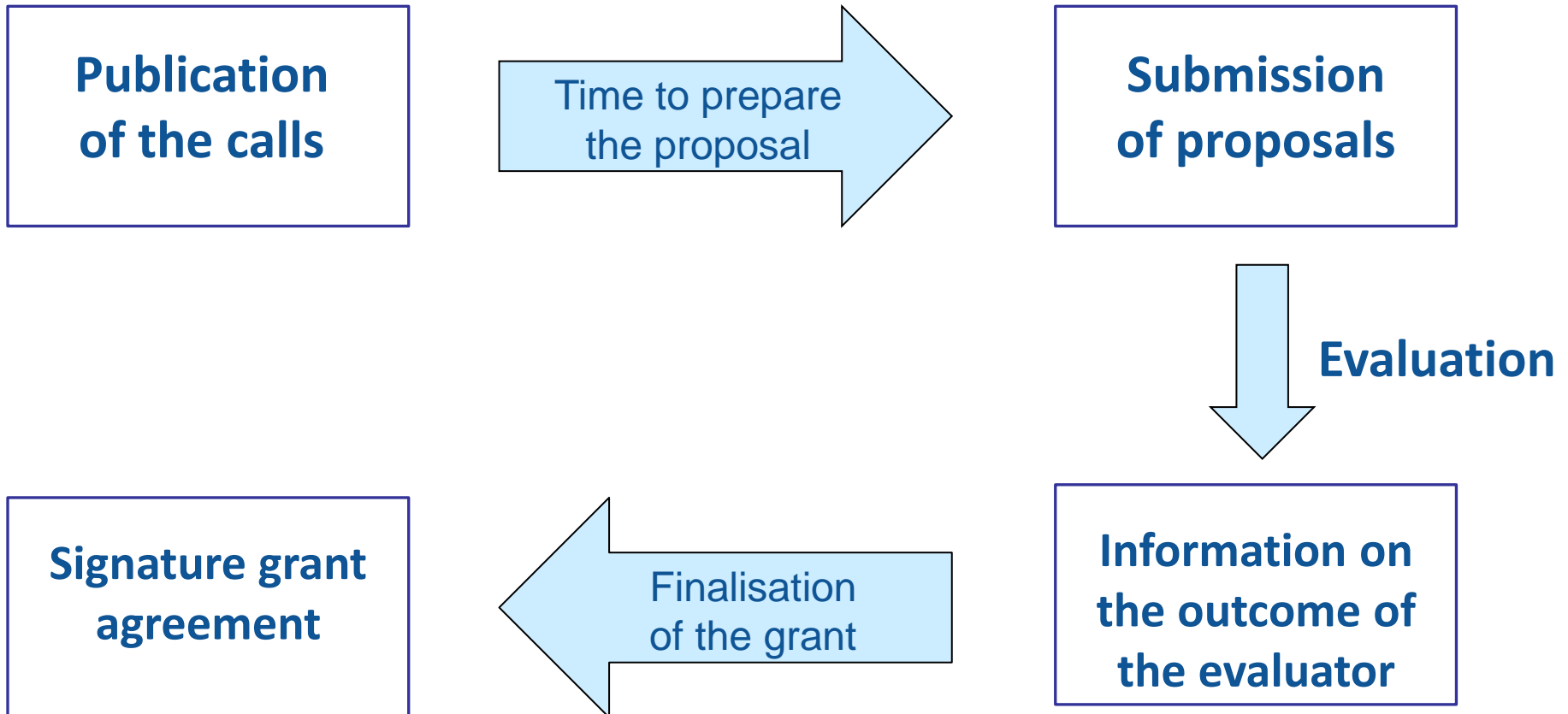


The work to be carried out by the third party shall be identified in the grant agreement

Some costs incurred may be claimed



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



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RESEARCH & INNOVATION
Participant Portal

European Commission > Research & Innovation > Participant Portal > Home

HOME FUNDING OPPORTUNITIES HOW TO PARTICIPATE EXPERTS SUPPORT LOGIN REGISTER

Welcome to the Research and Innovation Participant Portal

About the Participant Portal:

The Participant Portal is your entry point for the electronic administration of EU-funded research and innovation projects. It hosts services for managing proposals and projects throughout their lifecycle.

The Participant Portal supports activities funded mainly by the following EU programmes:

- 7th Framework Programme for Research and Technological Development (FP7)
- Competitiveness and Innovation Framework Programme (CIP)

Using the Participant Portal:

As a guest user, browse the public pages to:

- search for funding opportunities
- download guidance and legal documents
- search for the participant identification code (PIC) of an organisation
- contact the FP7 support services and browse the FAQ for guidance on the Participant Portal tools

As a registered user, benefit from personalised services for proposal submission, negotiation, and project management.

WHAT'S NEW FUNDING OPPORTUNITIES HOW TO PARTICIPATE? WORK AS AN EXPERT ACCESS MY PERSONAL AREA INFORMATION AND SUPPORT

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%).

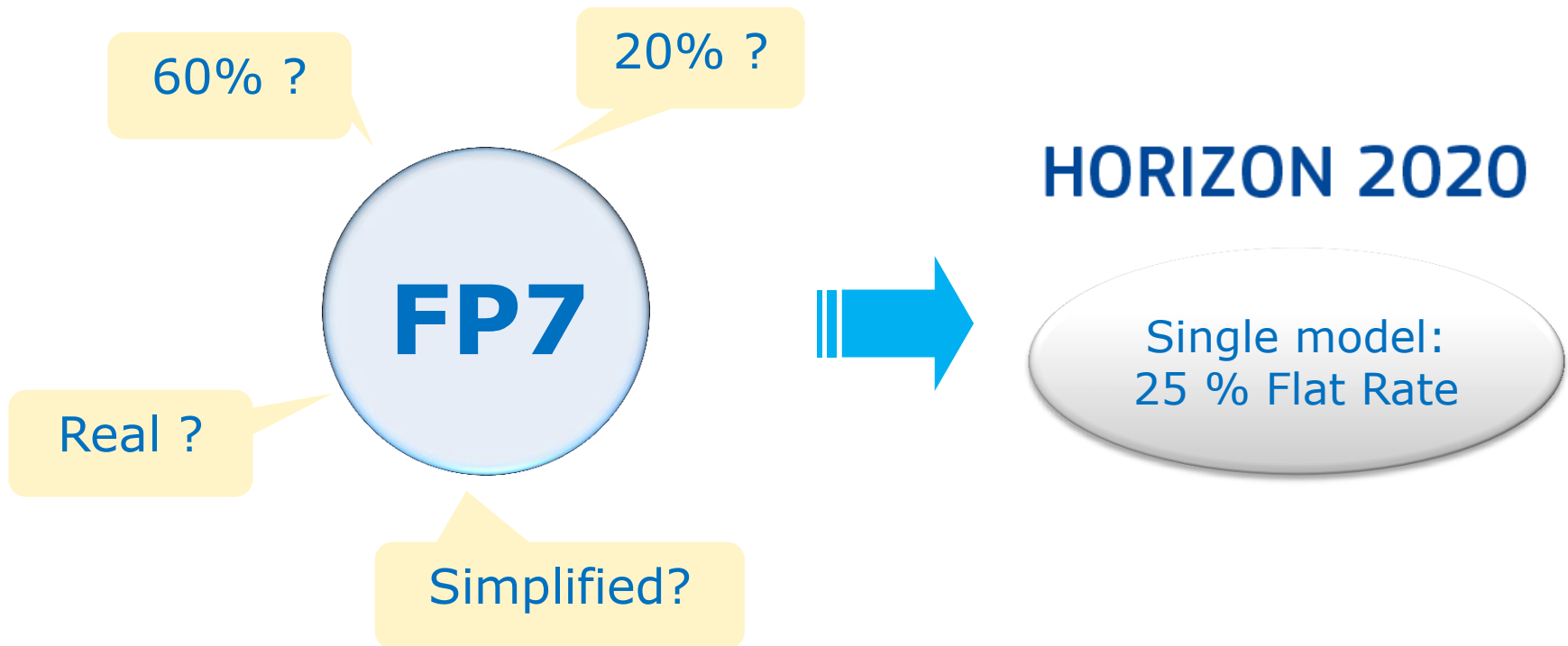
Cost reimbursement

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

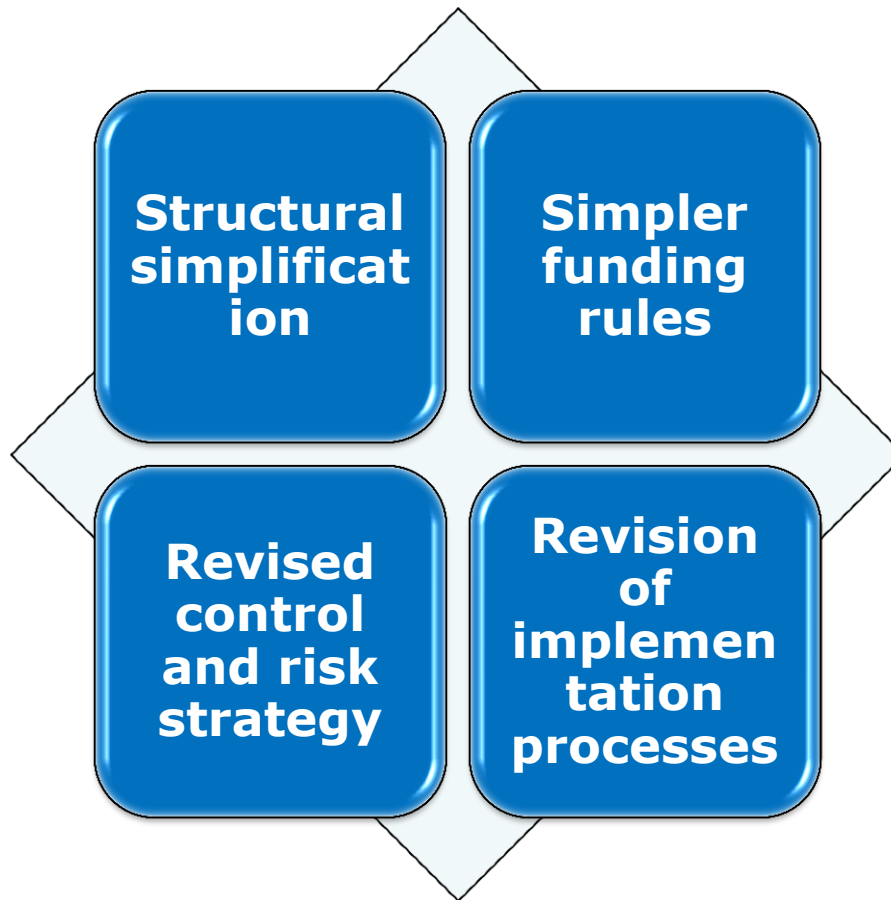
What is **NEW**

- ✓ **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

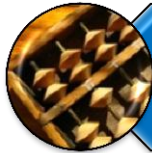
Revision of implementation processes

- **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