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.

...ETC
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

(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
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
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 ≥ 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)
ΣΑΣ ΕΥΧΑΡΙΣΤΟΥΜΕ!

Θωμάς Σκορδάς
Τμηματάρχης, τμήμα Φωτονικής (DG CONNECT)
Thomas.Skordas@ec.europa.eu

Κώστας Γληνός
Τμηματάρχης, τμήμα Ηλεκτρονικών Υποδομών (DG CONNECT)
Konstantinos.Glinos@ec.europa.eu

Για περισσότερες πληροφορίες, επισκεφτείτε τις ιστοσελίδες