



THE EU FRAMEWORK PROGRAMME
FOR RESEARCH AND INNOVATION

HORIZON 2020

Rules for Participation and Dissemination relevant for the Energy Challenge

(source: Alexandros IATROU - DG RTD – K.7)



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I. Simplification and Coherence – Main Principles

- **A single set of rules**
- **A single funding rate per project**
- **A single indirect cost model**
- **Further simplification efforts**

A single set of rules



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

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)

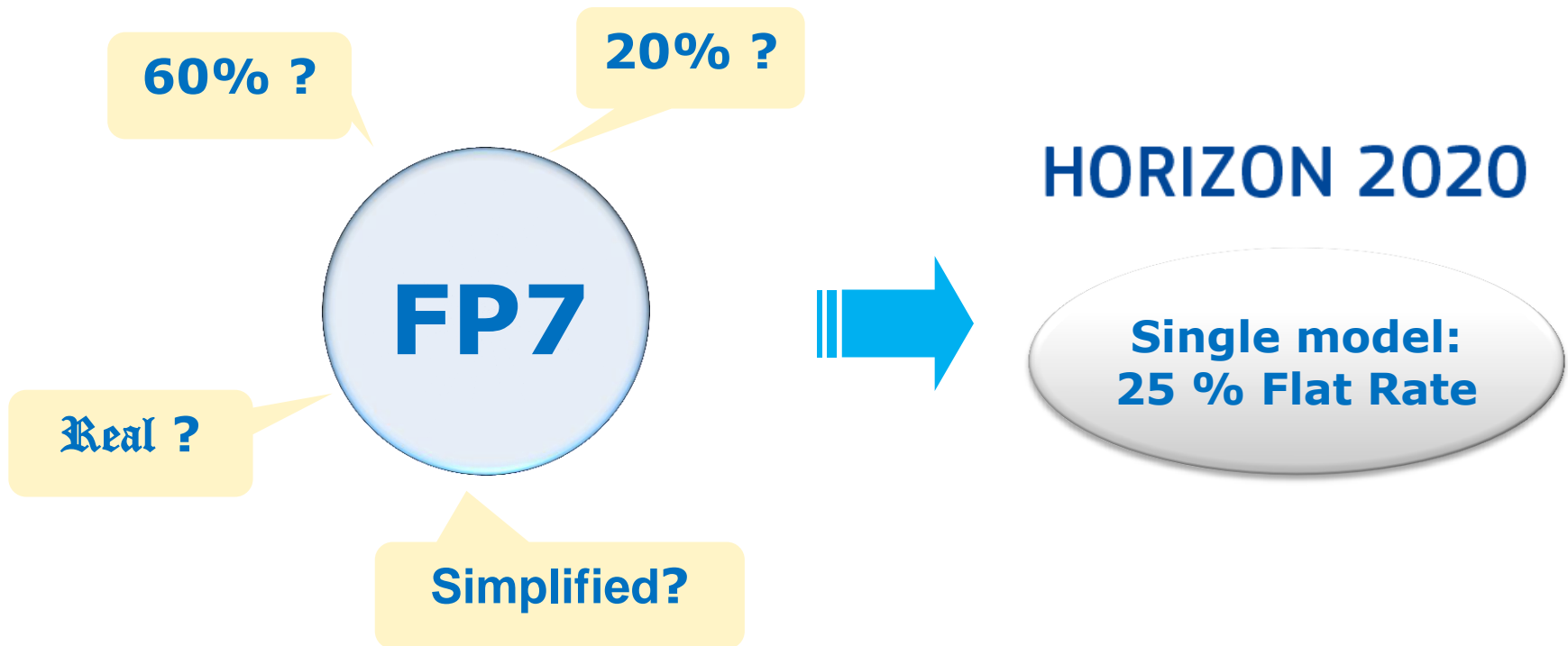
Research and Innovation

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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%)
 - Specific reimbursement rates for programme co-fund actions

Single indirect cost model



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



Other Simplification Efforts

Similar evaluation criteria with FP7

- Excellence – Impact – Quality and efficiency of the action

Simpler time-recording requirements

- No time-sheets for personnel working full time on a single project

Fewer Certificates on Financial Statements and fewer but targeted audits

- CFS only if total amount of the grant for the beneficiary as reimbursement of actual costs or average personnel costs is \geq EUR 325.000 at the time of the payment of the balance
- Audit strategy focused on risk and fraud prevention

Controls and Audits

Financial viability → Restricted to coordinators for projects \geq €500 k€

Audit certificates [→ Only for final payments/per beneficiary /for actual costs \geq €325 000 €
→ Optional Certificates on average personnel costs

Ex-post audits [→ Provisions in **Horizon 2020 Regulations!**
→ Commission's audits up to two years after payment of the balance
→ Audit strategy focused on risk and fraud prevention

Guarantee Fund → Continuity with FP7

II. Innovation = What is new?

- **Basic principles remain**
- **Types of actions and forms of funding**
- **Specific Instruments**
- **Importance of Work Programme**
- **International Participation and IPR**

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

Number of participants, nature of participants (e.g. ERA-NET, EJP)

Forms of funding

WE KEEP

- ✓ **Use of Grant Agreements**
- ✓ **Actual costs**



What is **NEW**

- ✓ **Specific provisions targeting innovation:**
 - pre-commercial procurement
 - procurement of innovative solutions
 - 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**

Types of Actions relevant for the secure, clean and energy efficiency challenge

Research and Innovation Actions v. Innovation Actions (through collaborative projects)

Coordination and Support Actions (through calls for proposals or to identified beneficiaries)

Other Types of Actions

- SME Instrument
- Financial Instruments
- Prizes
- Procurement (studies, conferences, specific services)

Intellectual Property Rights

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



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

✓ **Specific provisions:**

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



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

Find out more:

www.ec.europa/research/horizon2020

The importance of the Work Programme

Work Programme may:

- Restrict eligibility of participants from third countries (e.g. security concerns, reciprocity)
- Introduce additional eligibility criteria
 - Number of participants, type of participant and place of establishment
- Lay down further details for the application of the award criteria, and specify weighting and thresholds – see general annexes
- Specify third countries that are eligible for funding
- Specify the funding rate for an action
- Specify that lump sums or scale of unit costs can be used for an action (subject to prior separate Commission Decision)
- Identify beneficiaries for grants without a call for proposals