

1. A single set of rules



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.

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3. 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"

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4. 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

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

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.



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6. Forms of funding - I

WE KEEP

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



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7. 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.**

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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

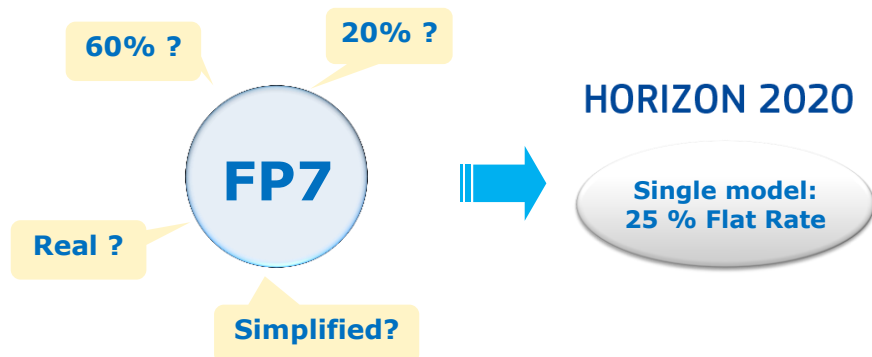
- ✓ **Wider acceptance of average personnel costs**
- ✓ **Acceptance of supplementary payments**
for non-profit organisations of up to 8000 euros/year/person
- ✓ **Simplifying participation for SMEs**
- ✓ **Less requirements for time records**
- ✓ **...and more in the Horizon 2020 Grant Agreement**



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10. Single indirect cost model



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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



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12. 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**

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13. Specific procedures - II

SME Instrument:

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



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14. 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 Regulation!**
→ Commission's audits up to two years after payment of the balance
→ Audit strategy focused on risk and fraud prevention

Extrapolation → New Financial Regulation will apply

Guarantee Fund → Continuity with FP7

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15. International Cooperation - I

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.**



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16. International Cooperation II

Funding

- ✓ **Third country identified in the Work Programme or**
- ✓ **participation deemed by the Commission essential in the action or**
- ✓ **when provided under a bilateral scientific and technological agreement**



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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;



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18. 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.

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19. 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)

✓ **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

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Thank you very much for your attention!

Find out more:

www.ec.europa/research/horizon2020

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