



HORIZON 2020

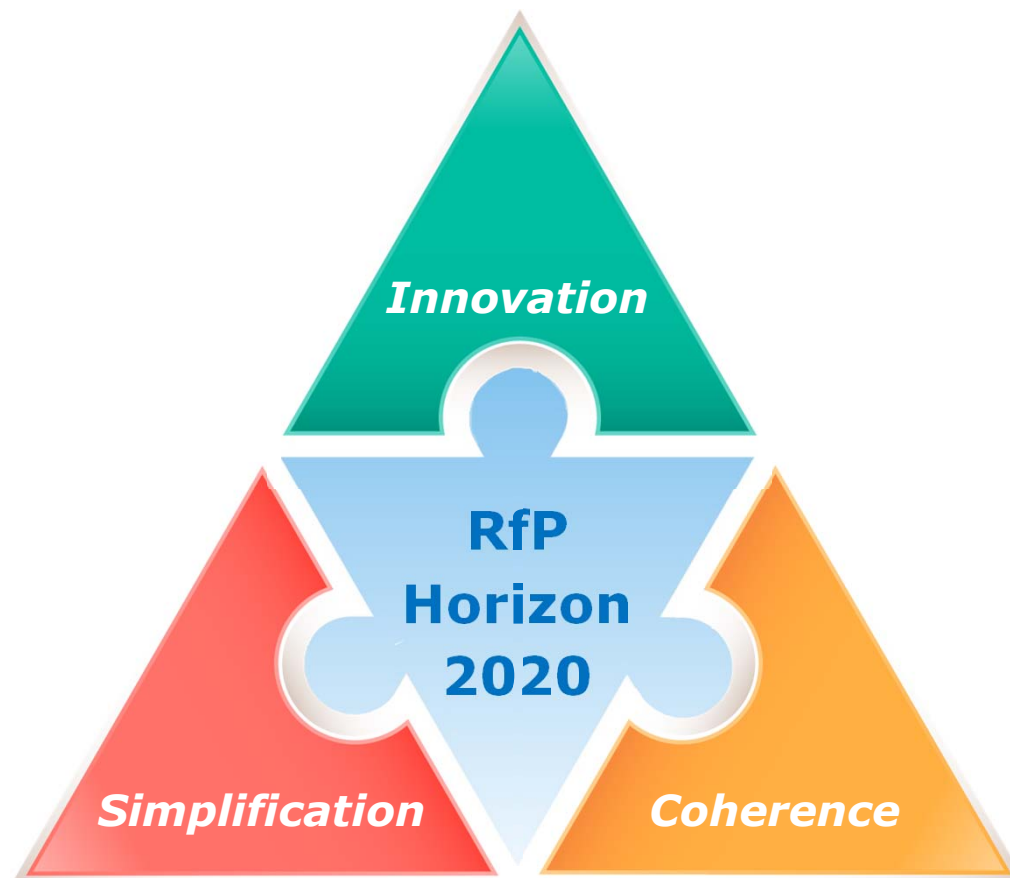
Rules for Participation and Dissemination And Model Grant Agreement

DG Research and Innovation

*Research and
Innovation*

Rules for participation: Three main objectives

**Innovation,
Simplification
and Coherence**



A single set of rules



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

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.**

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.**



Status of Switzerland

EU and Switzerland agreed on Partial Association to Horizon 2020 = **Pillar III: Societal Challenges of H2020 Not covered**

This means

- Participation in multi-beneficiary projects above minimum number
- Coordination by Swiss partners possible
- **Costs of Swiss partners covered by national funding**

1 Nov 2014: System for requesting national funding is operational (www.h2020.ch)

Budget table in the proposal: requested EC funding = 0

Time to grant: speeding up the process - *I*

A maximum TTG of 8 months

5 months
for informing all applicants
on scientific evaluation

8 months
for signature of GA

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.

The screenshot shows the homepage of the European Commission's Research & Innovation Participant Portal. The header includes the European Commission logo and the text 'RESEARCH & INNOVATION Participant Portal'. A navigation bar contains links for 'HOME', 'FUNDING OPPORTUNITIES', 'HOW TO PARTICIPATE', 'EXPERTS', and 'SUPPORT', along with 'LOGIN' and 'REGISTER' buttons. The main content area features a welcome message and two columns of information: 'About the Participant Portal' and 'Using the Participant Portal'. The 'Using the Participant Portal' section lists actions for guest users (searching for funding opportunities, downloading guidance, and contacting support) and registered users (personalized services for proposal submission and project management). At the bottom, there are six icons representing different portal functions: 'WHATS NEW', 'FUNDING OPPORTUNITIES', 'HOW TO PARTICIPATE?', 'WORK AS AN EXPERT', 'ACCESS MY PERSONAL AREA', and 'INFORMATION AND SUPPORT'.

Instruments available in SC1 WP

Grants

- ✓ **Collaborative Research and Innovation actions**
- ✓ **Coordination and Support actions**
- ✓ **Programme co-fund**
- ✓ **ERA-NET co-fund**

Instruments available in SC1 WP

Specific instruments targeting innovation

- **Pre-commercial procurement**
- **Procurement of innovative solutions**
- **Inducement prize:
The Birth Day Prize**
- **SME Instrument**
- **Fast Track to Innovation Pilot**
- **Financial instrument: InnovFin Infectious Diseases Pilot centralised management structure**



Instruments available in SC1 WP

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**

Grant amount calculation

Step 1 — Application of reimbursement rates to eligible costs

Total approved eligible costs (*actual costs, unit costs, flat-rate and lump sum costs, if any*) X reimbursement rate (*100 % for research actions*)

Step 2 — Limit to the maximum grant amount

The grant amount obtained in Step 1 is capped at the maximum grant amount set out in the GA

The grant amount following Steps 1 and 2 is the lower of the two amounts.

Step 3 — Reduction due to the no-profit rule

Profit of the action = Grant amount obtained in Step 2 + Receipts – Total eligible costs of the action

If Profit > 0 → grant amount obtained in Step 2 is reduced

If Profit < or = 0 → grant amount obtained in Step 2 is not reduced

Step 4 — Reduction due to improper implementation or breach of other obligations under the GA at the payment of the balance

Final grant amount is the lower of the following two amounts:

Amount obtained following Steps 1 to 3 ⇔ Amount obtained in Step 4

Forms of costs

Actual costs

- Costs actually incurred, identifiable and verifiable, recorded in the accounts, etc.
 - **NEW:** non-deductible VAT paid is also eligible

Unit costs

- A fixed amount per unit determined by the Commission. Examples: SME owners' unit cost /clinical trials if in the proposal.
- For average personnel cost (based on the usual accounting practices)

Flat rate

- A percentage to be calculated on the eligible costs (indirect costs 25% of direct costs)

Unit costs

Purpose - Scope

Based on Commission Decision C(2014) 1393¹

Unit costs are:

- a fixed reimbursement amount
- for each study subject enrolled
- in a given centre
- calculated according to a **defined methodology**
- based on historical costs of the **beneficiary/third party**
- for the entire funding period of an action.

[NOT a flexible tool, adjustments during the time course of an action are not possible.]

¹ http://ec.europa.eu/research/participants/data/ref/h2020/other/legal/unit_costs/unit%20costs_clinical_studies.pdf

Unit costs

Task, Direct cost categories	Resource per patient/subject	Costs in year N-1 Benef. ^a 1 (short name)	Costs in year N-1 Benef. ^a 2 (short name)
Task No. 1			
Blood sample			
(a) Personnel costs: - Doctors			
- Other Medical Personnel	Phlebotomy (nurse), 10 minutes	8,33 EUR ^b	11,59 EUR ^b
- Technical Personnel	Sample Processing (lab technician), 15 minutes	9,51 EUR ^b	15,68 EUR ^b
(b) Costs of consumables:	Syringe	XX EUR	XX EUR
	Cannula	XX EUR	XX EUR
	Blood container	XX EUR	XX EUR
(c) Costs of the medical equipment:	Use of -80° deep freezer, 60 days	XX EUR	XX EUR
....	Use of centrifuge, 15 minutes	XX EUR	XX EUR
(d) Services			
Task No. X			
...			
...			
Total amount:		XX EUR	XX EUR

Unit costs

Unit cost component 'personnel costs' (3)

- **Average hourly cost** for Doctors/ Other medical and Technical personnel

Total personnel costs

1720 X FTE

- **Total personnel costs** = (Actual salaries + actual social security contributions + actual taxes and other costs included in the remuneration, provided they arise from national law or the employment contract or equivalent appointing act) for the **specific personnel category** (e.g. **all** doctors of a hospital) based on **historic costs** of year N-1 (certified or auditable documentation)
- [see conditions set out in Article 6.1.A.1 of the model Horizon 2020 grant agreement]
- **FTE** = number of full-time equivalent for the personnel category for year N-1
- 1720 = Working hours per year, **fixed rat**

Grants Single FLAT RATE for indirect costs

Simplifying project management and removing recurrent errors.

**Single model:
25 % Flat Rate**

Reimbursement rate

**One action (project) =
One rate**

- ✓ For all beneficiaries and activities in the grant.
- ✓ Defined in the Work Programme:

Up to 100 % of the eligible costs
for
Research and innovation actions
Coordination and support actions

10. 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



Controls and Audits

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

CFS
[Certificate for
Financial Statements]

- 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

Grant Agreement



Some novelties

HORIZON 2020

- ✓ A single document with all provisions
- ✓ Terminology: terms and meanings defined in the Financial Regulation except for those terms specific to H2020
- ✓ On-line explanations for each part of the grant
- ✓ Simplified wording revised by a specialised service of the Commission

Electronic Communication for the management of the Grant Agreement

Electronic signature

- *Of the Grant Agreement*
- *Of the Amendments*
- *Financial Statements and Technical reports*

Communication between the Commission and the beneficiaries

- *Through the Participant Portal*
- *Electronic-only submission of reports as a general rule*

PARTICIPANT PORTAL

Unique entry point

<http://ec.europa.eu/research/participants/portal>

Information available on the **participant portal** includes **all you have to know** about our programmes and about submitting a proposal

The screenshot shows the top section of the Participant Portal website. At the top right, there are links for (A-Z), Sitemap, About this site, Contact, Legal Notice, Search, and a language dropdown set to English. The main header features the European Commission logo and the text 'RESEARCH & INNOVATION Participant Portal'. Below this is a navigation bar with links for HOME, FUNDING OPPORTUNITIES, HOW TO PARTICIPATE, EXPERTS, and SUPPORT, along with a search bar and LOGIN/REGISTER buttons. The main content area is titled 'Horizon 2020 Funding' and includes a sub-header 'Starting from 1/1/2014'. It contains a list of EU programmes and sections for 'Non-registered users' and 'Registered users' with their respective actions. At the bottom, there is a row of six icons representing different portal features: 'WHAT'S NEW?', 'FUNDING OPPORTUNITIES', 'HOW TO PARTICIPATE', 'WORK AS AN EXPERT', 'MY PERSONAL AREA', and 'INFORMATION AND SUPPORT'. The footer includes '© European Communities' and links for HORIZON 2020, RESEARCH ON EUROPA, CORDIS, and OLAF.



Research and Innovation



Participant portal – a one-stop shop

- Call topics
- NCPs
- Expert registration
- Documents
- Project officers' list for questions
- FAQs
- Rules for participation
- Upload project reports

The screenshot shows the Horizon 2020 Participant Portal website. At the top, there is a navigation bar with the European Commission logo and the text 'RESEARCH & INNOVATION Participant Portal'. Below this is a search bar and links for 'HOME', 'FUNDING OPPORTUNITIES', 'HOW TO PARTICIPATE', 'EXPERTS', and 'SUPPORT'. A 'LOGIN' and 'REGISTER' button is also present. The main content area features a banner for 'Horizon 2020 Funding Starting from 1/1/2014'. Below the banner, there is a section titled 'On this site you can find and secure funding for research & innovation projects under the following EU programmes:' with a list of programmes: '2014-2020 Horizon 2020 - research and innovation framework programme' and '2007-2013 7th research framework programme (FP7) and Competitiveness & Innovation Programme (CIP)'. There are two columns of user actions: 'Non-registered users' (search for funding, read the H2020 Online Manual & download the legal documents, check if an organisation is already registered, contact our support services or check our FAQs) and 'Registered users' (submit your proposal, sign the grant, manage your project throughout its lifecycle). At the bottom, there is a row of six icons representing different sections: 'WHAT'S NEW?', 'FUNDING OPPORTUNITIES', 'HOW TO PARTICIPATE', 'WORK AS AN EXPERT', 'MY PERSONAL AREA', and 'INFORMATION AND SUPPORT'. The footer contains the text '© European Communities' and 'HORIZON 2020 RESEARCH ON EUROPA CORDIS OLAF'.

<http://ec.europa.eu/research/participants/portal>



HORIZON 2020

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

Find out more:
www.ec.europa/research/horizon2020

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