



Fit for Health

Support to **SMEs & Researchers**
in **FP7 Health-oriented projects**

Horizon 2020 Participation Rules

5 September 2013 | Bucharest

Rocio Escolano | APRE

www.fitforhealth.eu

- Horizon 2020 – Participation Rules
- International cooperation

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HORIZON 2020

Rules for Participation

COHERENT **SIMPLE**

INNOVATIVE

COHERENT

SIMPLE INNOVATIVE

1. A SINGLE SET OF RULES

- Covering all research programmes and funding bodies
- Aligned to the Financial Regulation, coherent with other new EU Programmes.

2. ONE PROJECT - ONE FUNDING RATE.

- Maximum of 100% of direct costs (except for actions close to market, where a 70% maximum will apply)
- Indirect eligible costs: a flat rate of 25% of direct eligible costs

3. SIMPLE EVALUATION CRITERIA

- *Excellence – Impact - Implementation*



4. NEW FORMS OF FUNDING

- *Aimed at innovation: pre-commercial procurement, inducement prizes, dedicated loan and equity instruments.*

5. INTERNATIONAL PARTICIPATION: *better protecting EU interests.*

6. 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.*

7. 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.*

8. IMPROVED RULES ON INTELLECTUAL PROPERTY

- *Tailor-made IPR provisions for new forms of funding;*
- *A new emphasis on open access to research publications.*



Beyond the Rules: further simplified provisions in the Grant Agreement and implementing procedures to facilitate access to Horizon 2020 (eg. common IT platform).



- **A single programme** bringing together three separate programmes/initiatives*
- **More innovation**, from research to retail, all forms of innovation
- **Focus on societal challenges** facing EU society, e.g. health, clean energy and transport
- **Simplified access**, for all companies, universities, institutes in all EU countries and beyond.

* The 7th research Framework Programme (FP7), innovation aspects of Competitiveness and Innovation Framework Programme (CIP), EU contribution to the European Institute of Innovation and Technology (EIT)

One Project - One Funding Rate



ONE PROJECT = ONE RATE

Same rate for all beneficiaries and all activities in the grant.

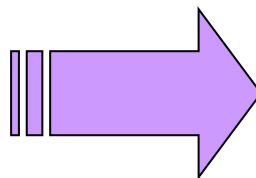
- ✓ The applicable rate will be fixed in the Work Programme:
- ✓ Up to **100 % of the eligible costs** for R&D projects;
- ✓ Limited to 70% for 'close to market' activities, except for **non-profit organisations, where the grant may reach 100% (PGA)!**

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% (***)

Commission

Council PGA

Single model:
20 % Flat Rate



Single model:
25 % Flat Rate

Art. 24 PGA:

" 1. Indirect eligible costs shall be determined by applying a flat rate of 25% of the total direct eligible costs, excluding 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, as well as financial support to third parties.

2. By way of derogation from paragraph 1, indirect costs may be declared in the form of a lump sum or scale of unit costs when provided for in the work programme or work plan."

Evaluation criteria applicable to Research for the benefit of specific groups proposals		
S/T QUALITY	IMPLEMENTATION	IMPACT
“Scientific and/or technological excellence (relevant to the topics/activities addressed by the call)”	“Quality and efficiency of the implementation and the management”	“Potential impact through the development, dissemination and use of project results”

Sole criterion for
ERC frontier
research

Council: The criterion of impact may be given a higher weighting for proposals for close-to-market actions.

R&D projects

Funding rate: 100%

Research&Development
activities (including
clinical trials)

Close to market projects

Funding rate: 70%/100%

Demo&Innovation
activities

YES - Third countries legal entities and international organisations may participate to Horizon 2020

- **Restrictions in the work programme:**
 - conditions for the participation of legal entities from Member States in the third country's programmes are prejudicial for the Union's interest
 - security

YES – Third countries legal entities and international organisations can receive EU funding if:

- The third country is identified in the Work Programme
- The participation of the entity in the action deems essential
- The funding is provided under a bilateral scientific and technological agreement.



1. Financial Viability Check - reduced burden of Analysis

2. Ex-post Audit

- strategy focus on risk and fraud prevention
- representative sample

3. Guarantee Fund maintained

4. **New Financial Regulation!!!**

<http://eurlex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2012:298:0001:0096:EN:PDF>



IPR Rules on exploitation and dissemination of results are built on the basis of FP7 provisions – balance between legal security and flexibility.

Results

- Ownership for the participant that generates the result
- Default joint ownership regime maintained
- Protection Exploitation - best efforts obligation
- Transfer and exclusive licences outside the Union/Associated Countries –EC right to object if EU funding; prior notification in grant agreement
- Dissemination: new emphasis on open access

Access Rights

- Participants in the same action for implementation/ exploitation purposes (MS/AC).
- EU for non-commercial, policy related purposes

Specific Cases

- Tailor made provisions in the grant agreement: security, ERC frontier research, SME instrument, mobility, support, KICs, etc.

Example: RTD project in FP7

Participant short name	Funding rate for RTD %	Indirect costs method	RTD		Demonstration (50% reimbursement)		Management (100% reimbursement)		Other (100% reimbursement)		Total costs	EU contribution
			Direct costs	Indirect costs	Direct costs	Indirect costs	Direct costs	Indirect costs	Direct costs	Indirect costs		
University A	75	60%	100	60			100	60	100	60	480	440
Foundation B	50	20%	100	20	100	20					240	120
University C	75	Simplified	100	46							146	109.5
SME D	75	60%	100	60	100	60			100	60	480	360
Enterprise E	50	Real	100	104	100	104					408	204
SME F	75	Real	100	78	100	78			100	78	534	405
Total			600	368	400	262	100	60	300	198	2288	1589.5

Example: RTD project in Horizon 2020

Participant short name	Estimated eligible costs		Total costs	EU contribution (100%)
	Direct costs	Indirect costs (25%)		
University A	100	25	125	125
Foundation B	100	25	125	125
University C	100	25	125	125
SME D	100	25	125	125
Enterprise E	100	25	125	125
SME F	100	25	125	125
Total	600	150	750	750

Example: Demonstration project in FP7

Participant short name	Funding rate for RTD %	Indirect costs method	RTD		Demonstration (50% reimbursement)		Management (100% reimbursement)		Other (100% reimbursement)		Total costs	EU contribution
			Direct costs	Indirect costs	Direct costs	Indirect costs	Direct costs	Indirect costs	Direct costs	Indirect costs		
University A	75	60%	100	60			100	60			320	280
Enterprise B	50	20%			100	20					120	60
University C	75	Simplified	100	46	100	46					292	182.5
SME D	75	60%			100	60					160	80
Enterprise E	50	Real			100	104					204	102
SME F	75	Real			100	78					178	89
Total			200	104	500	308	100	60			1274	713.5

Example: Close-to-innovation actions in Horizon 2020

Participant short name	Estimated eligible costs		Total costs	Requested EU contribution (70%)
	Direct costs	Indirect costs (25%)		
University A	100	25	125	87.5
Enterprise B	100	25	125	87.5
University C	100	25	125	87.5
SME D	100	25	125	87.5
Enterprise E	100	25	125	87.5
SME F	100	25	125	87.5
Total	600	150	750	525



- Horizon 2020 – Participation Rules
- International cooperation



- **Need to access knowledge** produced outside Europe and gain access to new markets
- **Need to promote** Europe as an **attractive location** and **partner** for research and innovation
- **Need to join forces** globally to tackle **global challenges**

Associated Countries

- 14 Associated countries
- Legal entities participate on the same basis those from MS
- Countries represented as observers on committees – 'comitology'

Science and Technology Agreements

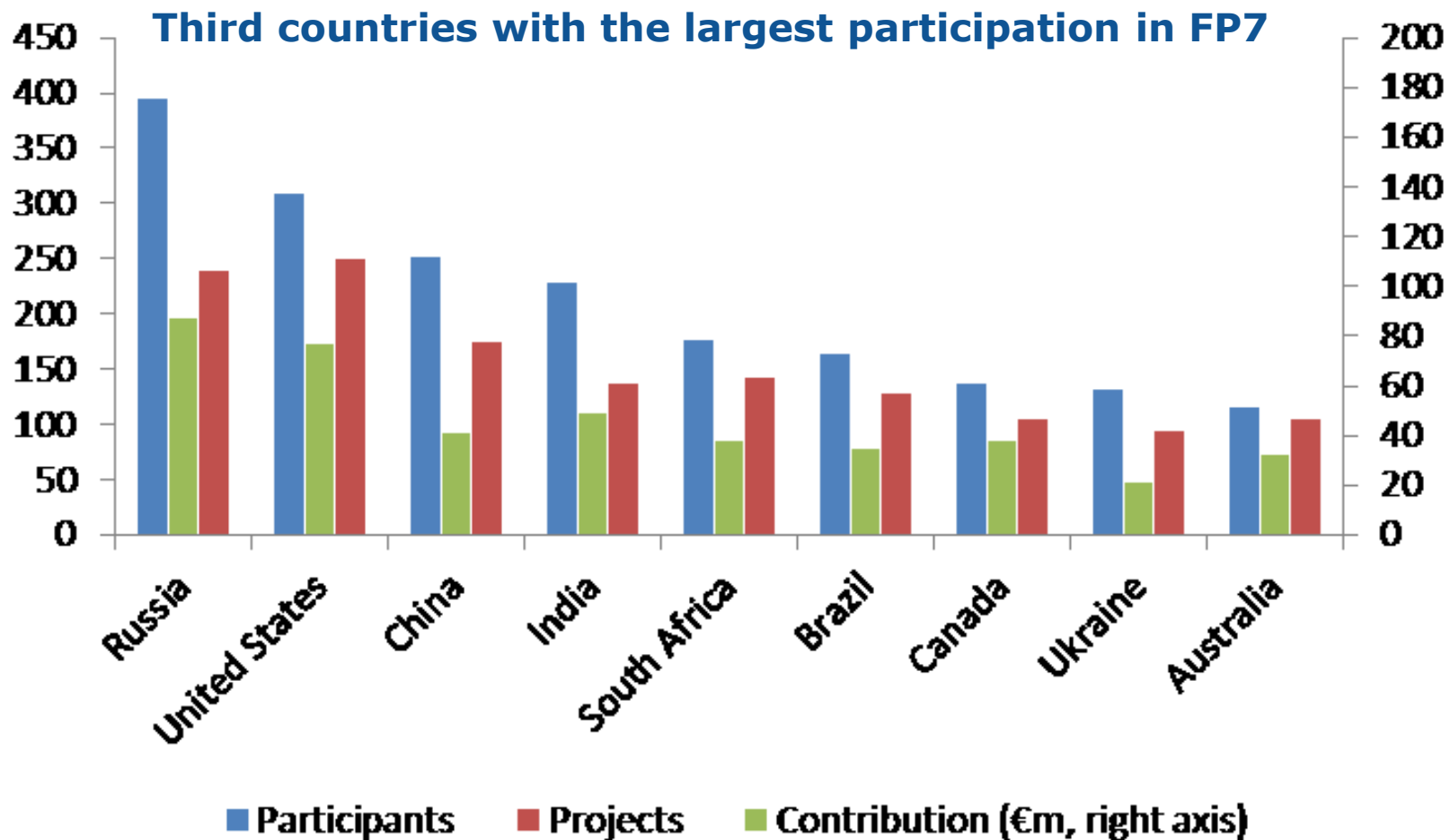
- 20 S&T agreements to FP
- Regular (annual) meetings between both sides
- Areas and mechanisms of cooperation; management; IPR



Other Agreements

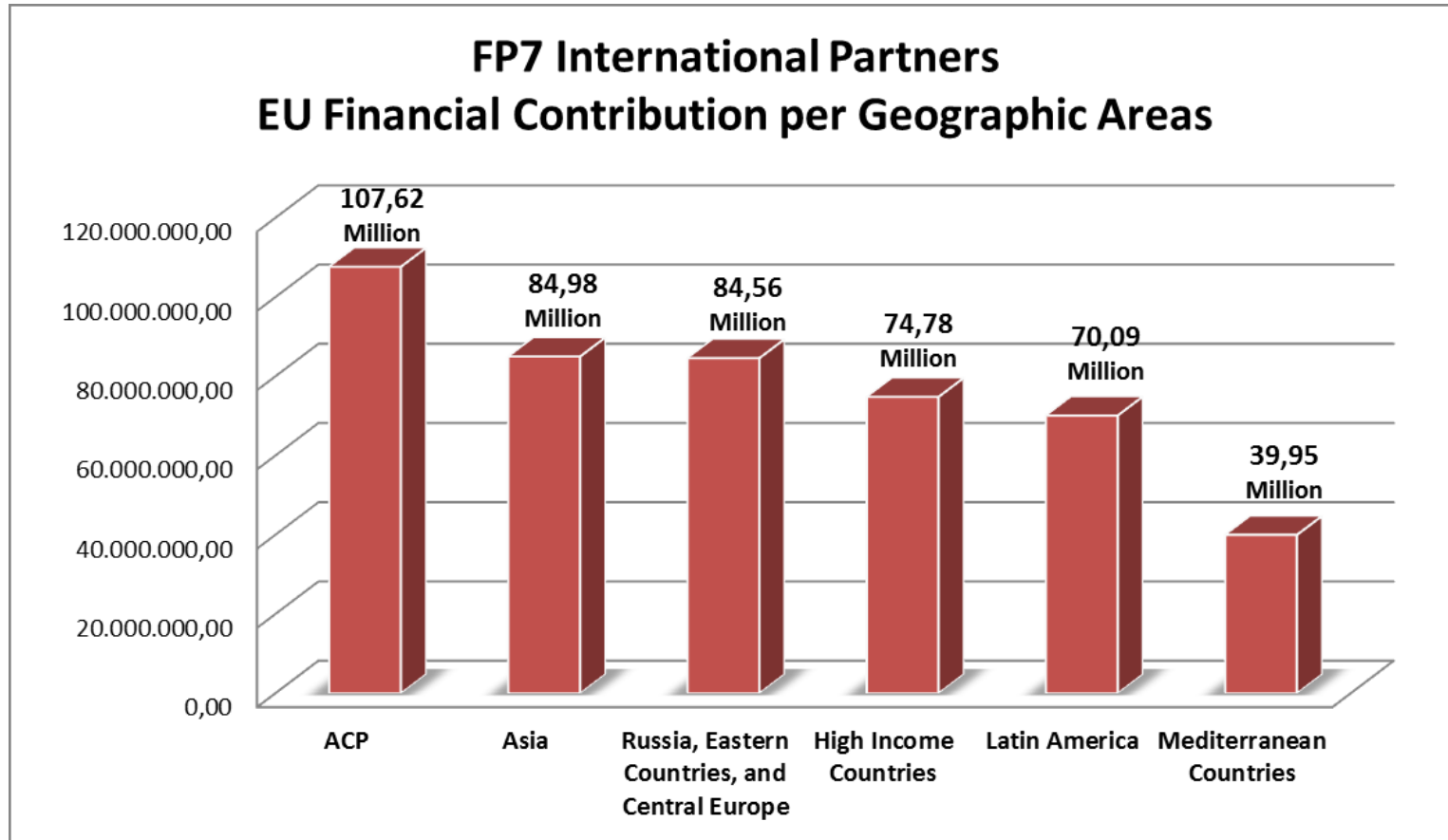
- Research and Innovation as a part of broader international policies
- Regional agreements: ASEAN, EaP, LAC, etc.

Third Countries Participation



Mr. Gediminas Ramanauskas
 International Cooperation Directorate - DG for Research and Innovation

FP7 funding for international partners



Mr. Gediminas Ramanauskas
International Cooperation Directorate - DG for Research and Innovation

What is the proposed strategic approach for Horizon 2020?

Communication entitled

**'ENHANCING AND FOCUSING EU
INTERNATIONAL COOPERATION IN
RESEARCH AND INNOVATION: A
STRATEGIC APPROACH'**

(COM(2012) 497)



<http://ec.europa.eu/research/iscp/index.cfm?pg=strategy>

New strategy for international cooperation in research and innovation

EU needs to engage **more actively and strategically** in international cooperation:

- Three main **objectives**:
 - ✓ Strengthen the Union's **excellence and attractiveness** in research and innovation as well as its industrial and economic **competitiveness**
 - ✓ Tackle global **societal challenges**
 - ✓ Support the Union's **external policies**
- Combining **openness** with better **targeted actions**
- Strengthened partnership with **Member States**
- Stronger contribution of research and innovation to **external policies of the Union**

- **Openness:**

- Horizon 2020 open to participation from across the world
- Revision to the list of countries which receive automatic funding

- **Targeted actions:**

- Thematic: identifying areas for international cooperation on the basis of the Union's policy agenda
 - Differentiation by countries/regions to target partners for cooperation
- multi-annual roadmaps for cooperation with key partners

- Starting point: **Horizon 2020** societal challenges and enabling technologies
- **Identify areas** based on analysis of a set of criteria of the EU and potential partners:
 - Research and innovation **capacity**
 - **Access to markets**
 - Contribution to **international commitments**, e.g. MDG
 - **Frameworks in place** to engage in cooperation



- **Enlargement and neighbourhood countries, and EFTA**
 - Focus on alignment with the ERA
 - Support enlargement and neighbourhood policies (support to developing a common 'Knowledge and Innovation Space')
- **Industrialised countries and emerging economies**
 - Focus on competitiveness
 - Tackle global challenges
 - Business opportunities and access to new markets
- **Developing countries**
 - Support development policy by building partnerships contributing to sustainable development
 - Address relevant challenges (e.g. poverty-related diseases, energy and food security, biodiversity)

- **Policy instruments**
 - more strategic use of S&T agreements with key third countries
 - strategic partnerships
 - increased synergies across the Commission, more visibility for STI in general cooperation frameworks
- **Funding instruments**
 - collaborative projects (third country participation required and/or taken into account in evaluation)
 - networking between existing projects
 - joint initiatives of Union and third countries: coordinated calls, contribution of Union to third country/international organisations, ERA-Net
- **Information gathering:** Research & Innovation Observatory (multiple sources: ERAWATCH, OECD, UNESCO, EEAS Delegations and Counsellors,...)

- General opening of Horizon 2020, but with more restricted approach to automatic funding
- Targeted activities with scale and scope to achieve impact
- Multi-annual roadmaps for key partner countries/regions
- Stronger partnership with Member States
- Common principles for conduct of international cooperation
- Stronger role for Union in international organisations and multilateral fora
- Strengthened implementation, governance, monitoring and evaluation



<http://ec.europa.eu/research/iscp/index.cfm?lg=en&pg=strategy>



The screenshot shows the website's header with the European Commission logo and the title "RESEARCH - International Cooperation". A navigation menu on the left includes links for Home, News feed, Newsletter, Policy framework (with "Strategy" selected), Countries, Regions, Funding, Current Calls, Projects, Publications, Destination Europe, Links, FAQs, and Enquiries. The main content area features a section titled "EU International Strategy for Research and Innovation" with a graphic showing a globe and a DNA helix. Below this, a text block explains the policy framework adopted on 14 September 2012. A list of communication documents in various languages and sizes is provided, followed by a "Questions and answers" section with four bullet points.

European Commission
RESEARCH - International Cooperation

European Commission > Research & Innovation > International Cooperation > Policy framework > International Strategy

Home
News feed
Newsletter
Policy framework
Strategy
Countries
Regions
Funding
Current Calls
Projects
Publications
Destination Europe
Links
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Enquiries

EU International Strategy for Research and Innovation

Global Challenges
International Cooperation
Innovation Opportunities

The policy framework for international cooperation in research and innovation

On 14 September 2012, the Commission adopted a Communication entitled **'Enhancing and focusing EU international cooperation in research and innovation: a strategic approach'** (COM(2012) 497). The Communication sets out a new strategy for international cooperation in research and innovation, in particular with a view to implementing Horizon 2020. The Communication is accompanied by a Staff Working Document providing further background information and analysis.

Communication
BG 263 KB, CS 205 KB, DA 60 KB, DE 117 KB, EL 257 KB, EN 110 KB, ES 113 KB, ER 115 KB, IT 116 KB, LT 211 KB, LV 222 KB, MI 216 KB, NL 116 KB, PL 222 KB, RO 239 KB, SK 199 KB, SL 190 KB, SV 110 KB

Questions and answers

- What are the core principles of the new strategy?
- Why a new strategy?
- How will priority areas and partners be selected for targeted activities?
- What instruments will be used to implement the strategy?
- What are the next steps?

Questions?





Thank you!

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