H2020 rules for participation, new instruments, evaluation criteria

Disclaimer: H2020 Regulations are not yet adopted by the legislator. Any information contained in this presentation is legally not binding
• What changes

• Funding and participation rules

• Proposal Submission

• Call Evaluation

• Grant Preparation
• **What changes**

• **Funding and participation rules**

• **Proposal Submission**

• **Call Evaluation**

• **Grant Preparation**
What changes

**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
What changes

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 (e.g. common IT platform).
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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
• **Minimum conditions**
  
  • For **standard collaborative actions**
    • At least, 3 legal entities, each established in different MS/AC
  
  • For **SME Instrument, Coordination and support action, European Research Council grants**
    • 1 legal entity established in a MS/AC

• **Additional conditions**
  
  • To be set out in the Work Programme (i.e. number of participants, type of participants, etc.)
Eligibility for funding

- Entities established in MS or associated countries or third country identified in the WP
- Entities created under Union law
- International European interest organisation
- Other entities may receive funding if:
  - participation is essential or
  - such funding foreseen in bilateral arrangement between the Union and third country/international organisation
Simplified Funding Model

• **1 reimbursement rate** by action (same rate for all beneficiaries and all activities):
  • Up to **100%** for Research and Innovation actions
  • Up to **70%** for innovation (non-profit entities up to 100%)
  • Up to **70%** for PCP co-fund, **33%** for ERANET co-fund, **20%** for PPI co-fund

• **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
  • If provided in WP, lump sum or unit costs
Simplified controls and audits

• **Audit certificates**
  - 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
Other simplifications

- Acceptance of supplementary payments for non-profit organisations of up to 8000 Euro/year/person
- 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).
- Less requirements for time records
  No time records for researchers working exclusively on the project.
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H2020 Calls

Call and all necessary documentation are published on the Participant Portal

http://ec.europa.eu/research/participants/portal/page/home

- User friendly Participant Portal
- Easy to find funding opportunities
Welcome to the Research and Innovation Participant Portal

About the Participant Portal:

The Participant Portal is your entry point for the electronic administration of EU-funded research and innovation projects. It hosts services for managing proposals and projects throughout their lifecycle.

The Participant Portal supports activities funded mainly by the following EU programmes:

- 7th Framework Programme for Research and Technological Development (FP7)
- Competitiveness and Innovation Framework Programme (CIP)

Using the Participant Portal:

As a guest user, browse the public pages to:

- search for funding opportunities
- download guidance and legal documents
- search for the participant identification code (PIC) of an organisation
- contact the FP7 support services and browse the FAQ for guidance on the Participant Portal tools

As a registered user, benefit from personalised services for proposal submission, negotiation, and project management.
Electronic Submission

Electronic Submission System accessed from the call page

- ECAS password
- PICs for all partners
- Prepare proposal,
  - On-line for structured part - Part A
  - Upload non-structured part – Part B - pdf file(s)
- Submit the proposal!
- Validation checks
- Complete submission, before the 17h00 deadline

Submission failure rate = + 1%
Only reason for failure; waiting till the last minute
  Technical problems
  Panic-induced errors (uploading the wrong proposal)
  Too late starting upload, run out of time
Structured Part A – online  1/2

Section 1

• Title, acronym, objective etc.
• Fixed and free keywords
• 2000 character proposal abstract
• previous/current submission
• Declarations

Section 2 (one form per partner)

• Participant Identification Code (PIC) compulsory!
• Department
• Dependences
• Contact information
• Other contact information
Structured Part A – online 2/2

Section 3

- *Cost and requested grant details*

### 3 - Budget

<table>
<thead>
<tr>
<th>Participant</th>
<th>(A) Direct personnel costs/E</th>
<th>(B) Other direct costs/E</th>
<th>(C) Sub-contracting costs/E</th>
<th>(D) Costs of providing financial support to third parties/E</th>
<th>(E) Costs of contributions provided by third parties which are not used on the beneficiary’s premises/E</th>
<th>(F) Indirect Costs/E (=0.25(A+B))</th>
<th>(G) Total estimated eligible costs/E (=A+B+C+D+F)</th>
<th>(H) Reimbursement rate</th>
<th>(I) Max. amount of the grant / € (=\text{G*H})</th>
<th>(J) Requested amount of the grant / €</th>
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</thead>
<tbody>
<tr>
<td>Total</td>
<td>0</td>
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</tr>
</tbody>
</table>

Section 4

- *Ethics' questionnaire*

Section 5

- *Call specific questions: clinical trial, Stage 2, SME Instruument, ERC calls, MC calls, ERA-NET PCP-PPI*
Unstructured (Part B) - pdf file(s)

Based around evaluation criteria:

• **Excellence**
  • Eg. Objectives, concept, progress beyond state-of-art...

• **Impact**
  • Eg. Potential impact (*incl. with reference to WP*); measures to maximise impact (*dissemination, communication, exploitation*)

• **Implementation**
  • Including **work packages descriptions**
  • Information on third parties and subcontractors

Template supplied by the submission system (.rtf)
Submission in H2020

- Self check for SME status, financial viability
- Proposal unstructured part closely matching criteria
- Aligned with Grant Agreement “Description of Work”
- Simpler but tougher page limits
  - 70 pages for RIA and IA
  - 50 pages for CSA
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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

• Other thresholds, weighting may be specified in work programme!
Selection of proposals

All above threshold proposals in each topic are listed in descending order of overall score.

We select proposals starting from the top of the list, until the available budget is exhausted.

So, ranking of proposal is very important.

If score are tied then ranked to fill gaps in WP, according to excellence (RIA) or impact first (IA), SME participation.
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Process to grant and signature of GA

• **Time to Grant**
  • 8 months
    • *5 months for informing* applicants on outcome of scientific evaluation
    • *3 months for signature* of GA = grant finalisation process

• Remarks :
  • Little negotiation and less possibility for correcting shortcomings.
Consortium

- Coordinator = principal point of contact with EU
- Consortium agreement
  - compulsory (exception: see WP)
  - Rights and obligations
  - Internal organisation
  - Distribution of EU funding
  - IPR provisions
  - Internal disputes
  - Liability, confidentiality, indemnification
Thank you for your attention!
Questions?

Disclaimer: legally not binding