



FCH2 JU under Horizon 2020 rules

- Rules for Participation
- Ethics
- IPR



www.fch.europa.eu

Lionel Boillot
Project Manager Transport Applications

Changes in the Rules for Participation – H2020 Annexes

Innovation Simplification Coherence

From FP7 to H2020

- A single set of rules
- Simpler rules for grants
- New balance between trust and control
- 3 evaluation criteria: Excellence – Impact – Implementation



Your benefits:

- Shorter time-to-grant: 8 months from call deadline
- Grant Agreement Preparation rather than negotiation
- Proposal format ready for quick grant preparation
- Paper-less: e-communication & e-signature of grants

Call identifier: H2020-JTI-FCH-2016-1

Total budget : EUR 117.5 million

Publication date: 19 January 2016

Deadline: 03 May 2016

Annual Work Plan *AWP 2016*



General Annexes to H2020

- List of countries eligible and rules for funding (Annex A)
- Admissibility and eligibility conditions (Annexes B and C)
- Types of action and funding rates (Annex D)
- Technology readiness level (TRL) (Annex G)
- Evaluation rules (Annex H)

AWP may introduce additional eligibility criteria:

- Type of participant - IG/RG members
- Budget limit

List of countries and rules for funding – Annex A

Participation “Open to the World”

- Open for all legal entities established in third countries and for international organisations



Funding is provided for legal entities established in:

- Member States and countries associated to H2020
- A list of countries: Afghanistan, Algeria, ... , Zambia, Zimbabwe
- Any other country:
 - **If** third country identified already in the Annual Work Plan or
 - **If** when provided under a bilateral scientific and technological agreement or
 - **If** participation deemed by the FCH2 JU essential in the action

Assessed by
experts during
evaluation !

Admissibility and eligibility conditions - Annexes B-C

A proposal is

Admissible when:

- Submitted in the electronic submission system “SEP” in time
- Readable, accessible and printable
- Complete:
 - Evidence of **operational capacity**
 - Include **draft plan** for the exploitation and dissemination of the results

Respect page limit !

Eligible when:

- In line with the topic
- Complies with:

+ Additional Conditions in the AWP !!

RIA and IA →	<u>At least three legal entities</u> each established in a different Member State or Associated Country. All three legal entities shall be independent of each other.
CSA →	<u>At least one legal entity</u> established in a Member State or in an Associated Country

Types of Actions – Annex D

■ RIA - Research and Innovation Actions

Actions primarily consisting of activities aiming to establish new knowledge and/or to explore the **feasibility of a new or improved technology**, product, process, service or solution. For this purpose they may include **basic and applied research**, technology development and integration, testing and validation on a small-scale prototype in a laboratory or simulated environment.

funding rate
max. **100%**

■ IA- Innovation Actions

Actions primarily consisting of **activities directly aiming at producing plans and arrangements or designs for new, altered or improved products, processes or services**. For this purpose they may include prototyping, testing, demonstrating, piloting, large-scale product validation and market replication.

funding rate
max. **70%***

*Funding 100% for non-profit legal entities

■ CSA - Coordination and Support Action

Actions consisting primarily of **accompanying measures** such as **standardization, dissemination, awareness-raising and communication, networking, coordination** or support services, policy dialogues and mutual learning exercises and studies, including design studies for new infrastructure and may also include complementary activities of strategic planning, networking and coordination between programmes in different countries.

funding rate
max. **100%**

Technology readiness levels (TRL) – Annex G

According to MAWP: mainly $TRL \geq 3$
(*basic research under other EU programmes*)

TRL 1 – basic principles observed

TRL 2 – technology concept formulated

TRL 3 – experimental proof of concept

TRL 4 – technology validated in lab

TRL 5 – technology validated in relevant environment

TRL 6 – technology demonstrated in relevant environment

TRL 7 – system prototype demonstration in operational environment

TRL 8 – system complete and qualified

TRL 9 – actual system proven in operational environment

RIA

IA



- **Selection criteria**

- **Financial Capacity:**

Requested EU contribution for the action is $\geq 500.000\text{€}$



Coordinator completes a self-assessment at the proposal stage

- **Operational capacity:**

Indicated by the experts

Based on the information available at the time of the evaluation of the proposal, do all the partners in this proposal possess the basic operational capacity to carry out the proposed work?

→ If No, please list the concerned partner(s), the reasons for the rejection, and the requested amount

- **Award criteria, scores and weighting**

- **Evaluation procedure**



Next presentation

Capacity and appropriate resources

The beneficiaries must have the appropriate resources to implement the action

If it is necessary to implement the action, they may however:

- **Purchase** goods, works and services – best value for money basis
- Use **subcontracting** to implement action tasks – best value for money basis
- Call upon “**Linked Third Parties**” to implement action tasks
- Use **in-kind contributions** (resources) provided by third parties against payment or free of charge



All major costs, third party involvement and subcontracting must be indicated in the proposal

Background

"A proposal which contravenes ethical principles or any applicable legislation [...] may be excluded from the evaluation, selection and award procedures at any time." Art. 13 – H2020 RfP

Ethics Self-Assessment

- All proposals must describe ethical issues raised & how they will be addressed
- Ethics part: part A in SEP + part B section 6
- Each applicant is responsible for:
 - identifying any potential ethical issues
 - handling ethical aspects of their proposal
 - detailing how they plan to address them in detail

Guidelines

[How to complete your ethics self-assessment](#) guide

Think of:

- Personal data
- Third countries
- Environment & Health and Safety
- Dual use
- ...

Intellectual Property Rights, IPR Exploitation and dissemination

- **Same principles as in FP7**

for: ownership, protection, exploitation & dissemination

- **Open access to publications**

Obligation to provide open access to scientific publication

- **Access rights**

- **Access rights of affiliates**

For *background* (art. 25.4) and for *results* (art. 31.4)

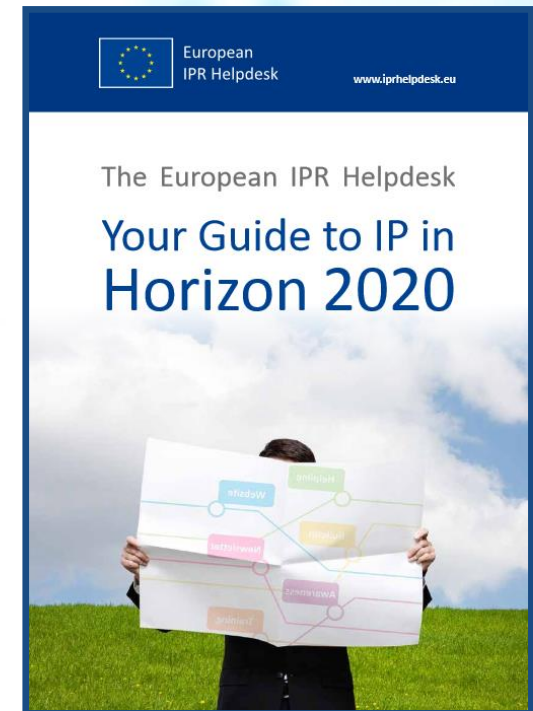
Under 'fair and reasonable conditions'

- **Access rights of the EU institutions**

For *results* (art. 31.5)

For developing or implementing EU policies/programmes

Royalty-free, non exclusive, limited to non-commercial / non-competitive use



Additional exploitation/dissemination obligations (as a separate document requested by the AWP)

- Research Enquiry Service

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

- H2020 documents in Participant Portal

http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html

- Ethics in Participant Portal

http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/ethics_en.htm

- IPR in Participant Portal

http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/intellectual-property_en.htm

- European IPR Helpdesk

<https://www.iprhelphdesk.eu/>



Fact Sheet

IP Management in Horizon 2020:
at the proposal stage