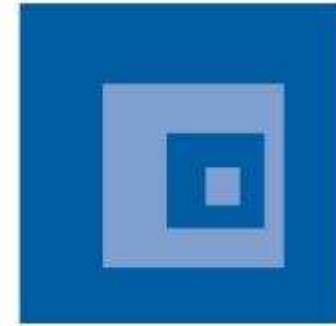


APRE

Agenzia per la Promozione  
della Ricerca Europea



# Horizon 2020

*Regole di partecipazione*

BRUNO MOURENZA

*Horizon 2020*

*Punto di Contatto Nazionale*

*SALUTE*

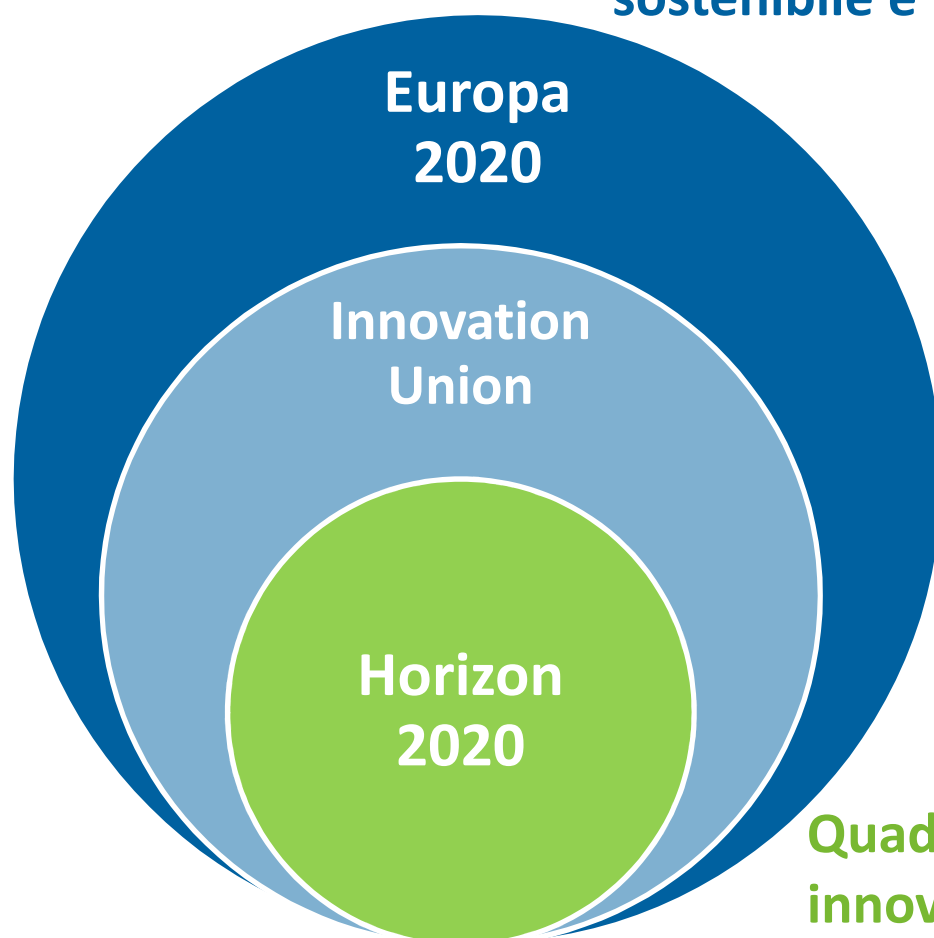


Horizon 2020  
European Union Funding  
for Research & Innovation





## Strategia per una crescita intelligente, sostenibile e inclusiva



Iniziativa faro di sostegno alla  
ricerca e all'innovazione

Quadro strategico comune su ricerca e  
innovazione (2014- 2020)



# H2020/ The Three Pillars



# Struttura del programma

## Excellent Science

- **European Research Council**
  - Frontier research by the best individual teams
- **Future and Emerging Technologies**
  - Collaborative research to open new fields of innovation
- **Marie Skłodowska Curie actions**
  - Opportunities for training and career development
- **Research infrastructures** (including e-infrastructure)
  - Ensuring access to world-class facilities

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- **Leadership in enabling and industrial technologies**
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  - Fostering all forms of innovation in all types of SMEs

## Societal Challenges

- **Health, demographic change and wellbeing**
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Spreading Excellence and Widening Participation

Science with and for society

Joint Research Center (JRC)



1° PILLAR

# EXCELLENT SCIENCE





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## Excellent Science /2

Per sostenere le migliori idee e sviluppare competenze, per fare dell'Europa un polo di attrazione per i migliori ricercatori mondiali

**European Research Council:** progetti di ricerca di frontiera

**Future and Emerging Technologies:** ricerca nelle aree più promettenti nel campo delle tecnologie di domani; **(Science)**

Azioni **Marie Skłodowska-Curie** per attrarre e sostenere ricercatori e la loro mobilità;

**Infrastrutture di Ricerca** adeguate, meno care e diffuse in Europa.



2° PILLAR

# INDUSTRIAL LEADERSHIP







# Struttura del programma

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# Industrial Leadership/2

Per incoraggiare investimenti in R&I in Europa, promovendo alcune priorità per ogni forma di business

- **Leadership in enabling and industrial technologies** - soprattutto Key enabling technologies (Information and Communication Technologies (ICT), Nanotechnologies, Advanced materials, Biotechnology, Advanced Manufacturing and Processing) & Space;
- **Access to finance** per aziende innovative, strumenti finanziari in partenariato con l'European Investment Bank; Debt instrument & Equity instrument
- **Innovation in SME**  
Support to innovative SMEs



# Industrial Leadership/2

## Razionale:

- Gli investimenti strategici nelle tecnologie-chiave (es. tecnologie industriali avanzate, microelettronica) rafforzano l'innovazione nei settori già maturi e in quelli emergenti
- L'Europa ha bisogno di attrarre ulteriori investimenti privati in ricerca e innovazione
- L'Europa necessita di un numero maggiore di PMI innovative capaci di stimolare la crescita e creare posti di lavoro



3° PILLAR

# SOCIETAL CHALLENGES





# Struttura del programma

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## Societal challenges/2

### Razionale:

- Le preoccupazioni condivise dai cittadini e dalla società e gli obiettivi politici dell'agenda europea (clima, ambiente, energia, trasporti, ecc) non possono essere affrontati o raggiunti senza innovazione
- Le soluzioni brillanti derivano da collaborazioni multidisciplinari, dove giocano un ruolo di primo piano anche le scienze sociali e umane
- Le soluzioni promettenti devono essere testate, dimostrate e progressivamente sviluppate





# REGOLE DI PARTECIPAZIONE





## UNICO SET DI REGOLE PER HORIZON 2020

- a copertura di tutti i programmi di ricerca/iniziative di finanziamento (art.185 e art.187, CIP, EIT, etc...)
- in linea con il nuovo **Regolamento finanziario dell'UE (Regulation n.966/2012)**
- coerente con le regole degli altri programmi di finanziamento EU applicabile anche ad EURATOM





## Soggetti giuridici partecipanti (art.6)/ eleggibilita' per il finanziamento (art.9)

### CHI PUO' PARTECIPARE?

- **Qualsiasi soggetto giuridico**, universita' o centro di ricerca stabilito in uno stato membro o associato\* o in un paese terzo
- **JRC** (Joint Research Centre)
- **Organizzazioni internazionali di interesse EU**
- **Organizzazioni internazionali** e soggetti stabiliti in **paesi terzi** in aggiunta alle condizioni minime

\*Albania, Bosnia-Herzegovina, CroaZia, FYR Macedonia, Islanda, Israele, Liechtenstein, Montenegro, Norvegia, Serbia, Svizzera, Turchia

### CHI PUO' RICEVERE IL FINANZIAMENTO?


- **Qualsiasi soggetto giuridico**, universita' o centro di ricerca stabilito in uno stato membro o associato o in un paese terzo
- **JRC** (Joint Research Centre)
- **Paesi ICPC**
- Organizzazioni **internazionali** di interesse EU

**Organizzazioni internazionali** e soggetti stabiliti in **paesi terzi non ICPC** solo eccezionalmente se previsto dal WP/accordo bilaterale oppure se essenziale per l'azione

Possibilita' di **Joint Call** con i paesi terzi e le Org. Internazionali



## DEFINIZIONI (art.2)



**SEVENTH FRAMEWORK PROGRAMME**

Qualsiasi persona fisica o giuridica, creata sulla base del diritto nazionale/comunitario/ Internazionale  
 Purché dotata di personalità giuridica

N.A.

'LEGAL ENTITY'



'NON-PROFIT LEGAL ENTITY'



Ammessa la partecipazione di **soggetti giuridici sprovvisti di personalità giuridica** purché previsti equivalenti meccanismi di attribuzione della responsabilità contrattuale e finanziaria a carico dei rappresentanti legali

**NEW**

Un **soggetto giuridico** che legalmente non distribuisce i profitti tra i suoi membri o azionisti





## Condizioni minime di partecipazione (art.8)

**3 SOGGETTI GIURIDICI** indipendenti stabiliti in  
3 diversi stati membri o associati

### **1 SOLO PARTECIPANTE**

ERC, SME Instrument, Azioni Co-fund, CSA, Azioni A  
Supporto Della Mobilita' E Della Formazione Dei  
Ricercatori(Marie Curie)



**CONDIZIONI AGGIUNTIVE**: possono essere previste nel work programme  
(n. di partecipanti, tipologie di partecipanti, etc...)



- Research and Innovation action
- **Innovation action** **NEW**
- Coordination and Support Actions
- Programme Co-funding Actions
- Pre-Commercial Procurement (PCP)
- Public Procurement of Innovative Solutions (PPI)
- **PRIZES** **NEW**



## DEFINIZIONI (art.2)



**Attività di Dimostrazione**  
(Rimborsata al 50%)



HORIZON 2020

NEW

**INNOVATION ACTION,**  
caratterizzata da attività' di  
prototipizzazione, test,  
dimostrazione, piloting,  
validazione, etc...finalizzate alla  
definizione/produzione/design  
di nuovi prodotti e processi.

***PHC 20 – 2014: Advancing active and healthy  
ageing with ICT: ICT solutions for independent  
living with cognitive impairment***

- **Single Stage** (15<sup>th</sup> April 2014)
- **Budget:** 10 mill EUR
- **EU contribution:** 2/3 mill EUR (70%)



## PREMI

- **Recognition prizes** (Nobel Prize, DG INFSO's "ICT Prize", ...) = riconoscimento di meriti scientifici già raggiunti
- **Inducement Prizes** = competizione che 'induce' al raggiungimento di un obiettivo specifico (Ortieg Prize, Ansari X-Prize, ...). L'importo del premio non è legato al costo di realizzo dell'obiettivo

## INNOVATION ACTION SPECIFIC PROCEDURES

### B. SME INSTRUMENT

- Implemented just by one Agency (**EASME** - Executive Agency for Small and Medium-sized Enterprises).
- Addressed to all kind of **innovative SME's** willing to growth, develop and internationalize. In general, **Bottom-Up approach**.
- **Only SMEs** allowed to apply for funding and support (1 SME or consortium of SMEs)



- **Oriented to the market:** Close-to-Market activity; funded up to 70% or up to 100% if research activities are predominant.
- **“Societal challenges”** and **“LEIT”**
- **Continuously open call** with several cut-off dates per year: First cut-off for Phase 1 around June 2014; first cut-off for Phase 2 in autumn 2014.

## Topics SME Instrument in SC1 – Health, demographic change and wellbeing 2016-2017

*SMEInst-05-2016-2017 - Supporting innovative SMEs in the healthcare biotechnology sector*

*SMEInst-06-2016-2017 - Accelerating market introduction of ICT solutions for Health, Well-Being and Ageing Well*







# SME Definition

- ❑ Engaged in an economic activity
- ❑ < 250 employees
- ❑ Annual turnover  $\leq$  € 50 Millions or annual balance sheet total  $\leq$  € 43 Millions
- ❑ Autonomous



## Definition:

[http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/index\\_en.htm](http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/index_en.htm)

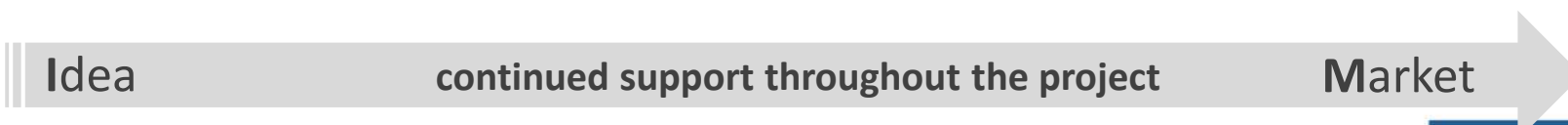
## Guide to EU definition of SME:

[http://ec.europa.eu/enterprise/enterprise\\_policy/sme\\_definition/sme\\_user\\_guide\\_it.pdf](http://ec.europa.eu/enterprise/enterprise_policy/sme_definition/sme_user_guide_it.pdf)





# SME INSTRUMENT





# SME Instrument in H2020

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# SME Instrument

## Phase 1: Concept and feasibility assessment

Input: Idea/Concept:  
"Business Plan 1"  
(~ 10 pages)  
10% budget

Activities:  
Feasibility of concept  
Risk assessment  
IP regime  
Partner search  
Design study  
Pilot application  
etc.

10% success

Output: elaborated  
"Business plan 2"

Lump sum: 50.000 €  
~ 6 months

~2 months evaluation

## Phase 2: R&D, demonstration, market replication

Input: "Business plan 2"  
plus description of  
activities under Phase 2 (~  
30 pages)  
88% budget

Activities:  
Development, prototyping,  
testing, piloting,  
miniaturisation, scaling-up,  
market replication,  
research

30-50%  
success

Output: "investor-ready  
Business plan 3"

1-3 (5) M€ EC funding  
~ 12 to 24 months

~4 months evaluation

## Phase 3: Commercialisation

Promote instrument as  
quality label for successful  
projects  
Facilitate access to private  
finance

Support via networking ,  
training, information,  
addressing i.a. IP  
management, knowledge  
sharing, dissemination

SME window in the EU  
financial facilities (debt  
facility and equity facility)  
Possible connection to PPC  
(and PPI?)

No direct funding



# REGOLE DI FINANZIAMENTO



[www.apre.it](http://www.apre.it)



## Criteri di selezione e attribuzione (art. 14)



### 3 CRITERI

Criterio 1  
**Eccellenza**

Criterio 2  
**Impatto**

Criterio 3  
**Qualità e  
 efficienza  
 dell'attuazione**

- Possibili bandi con **procedura di presentazione a due step**
- **Eccellenza**, unico criterio per le azioni erc
- Peso ponderato criterio **'impatto'** nelle innovation action



# Types of collaborative projects

## R&D projects

Basic research, applied research, technology development and integration, and testing e validation on a small scale prototype in a laboratory or simulated environment

## Close to market projects

Prototyping, testing, demonstrating, piloting, large - scale product validation and market replication



# Types of collaborative projects

## R&D projects

Funding rate: 100%

## Close to market projects

Funding rate:  
70%/100%





# FINANZIAMENTO DELL'AZIONE (Art. 22)



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% (***)



HORIZON 2020

NEW

## UNICA % DI RIMBORSO PER PROGETTO, SENZA DISTINZIONE TRA BENEFICIARI

- fino al **100%** dei costi eleggibili per progetti R&S (cd. **RESEARCH & INNOVATION action**)
- fino al **70%** per progetti dimostrativi cd. **INNOVATION action** (fatta eccezione per organismi no-profit, finanziabili fino al 100%)



## COSTI INDIRETTI (Art. 29)



- ✓ STANDARD FLAT RATE (20%)
- ✓ SPECIAL FLAT RATE (60%)
- ✓ SIMPLIFIED METHOD or ACTUAL INDIRECT COSTS



HORIZON 2020

NEW

### UNICO TASSO FORFETARIO DEL 25% DEI COSTI DIRETTI

(ECCEPPO I SUBCONTRATTI E COSTI DELLE RISORSE MESSE A DISPOSIZIONE DA TERZI CHE NON VENGONO UTILIZZATE NEI LOCALI DEL BENEFICIARIO, NONCHÉ DEL SOSTEGNO FINANZIARIO A TERZI)




## Funding rates

Cost Category	Funding
<b>Direct costs</b>	Research & Development: max. 100%  Close-to-market actions: max. 70% <b>Exception:</b> Close-to-market actions for non-profit legal entities: max.100%
<b>Indirect costs</b> <b>Flat rate</b>	Flat rate: <b>25%</b> of total direct costs

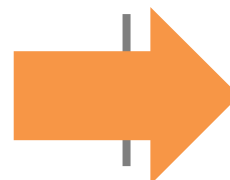




## Valorizzazione e diffusione dei risultati (art. 40)



**'OPEN ACCESS' ALLE  
PUBBLICAZIONI SCIENTIFICHE:  
CLAUSOLA SPECIALE 39** (specifica  
per le tematiche AMBIENTE,  
ENERGIA; SALUTE, ICT, SSH,  
INFRASTRUTTURE, SIS



**NEW**

**OBBLIGO DI 'OPEN ACCESS' ALLE  
PUBBLICAZIONI SCIENTIFICHE**  
(sia **GREEN** che **GOLD** Open Access)  
DISCIPLINATO DALLE CONDIZIONI  
GENERALI DEL GRANT AGREEMENT.  
ELEGGIBILITA' DEI COSTI RELATIVI



## TEMPISTICA

NEW

**ESITO DELLA VALUTAZIONE = 5 MESI** DALLA SOTTOMISSIONE della PROPOSTA

**FIRMA DEL GRANT AGREEMENT = 3 MESI** DALLA COMUNICAZIONE DEGLI ESITI DELLA VALUTAZIONE (fatta eccezione per i progetti ERC, dove l'elevato numero di proposte presentate potrebbe richiedere un'estensione)



## EX POST AUDITS



ENTRO **CINQUE ANNI**  
DALLA FINE DEL  
PROGETTO



ENTRO **DUE ANNI** DAL  
PAGAMENTO FINALE

