

La seconda fase del programma europeo FCH 2 JU Il bando 2014

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FAST Piazzale Morandi 2



Associazione italiana idrogeno e celle a combustibile



Un po' di storia

European Commission:

- Proposal for a Regulation: 10 July 2013

European Parliament:

(Committee of Regions & Economic and Social Committee):

- ITRE Committee: 23 January 2014
- EP Plenary vote: 15 April 2014

Council of the European Union:

- Adoption: 6 May 2014

Official Journal

- Publication: 7 June 2014 (No 559/2014)
- Entering into force (20 days after publ.): 27 June 2014

Official launch

- 9 July 2014



Obiettivi della FCH 2 JU

Reduction of production costs of long lifetime FC systems to be used in transport applications

Increase of the electrical efficiency and durability of low cost FCs used for power production

Transport

Industrial applications

Residential CHP

Feed to electricity grid

Reduce the use of critical raw materials

Existing natural gas, electricity and transport infrastructures

By-product from Chemical Industry

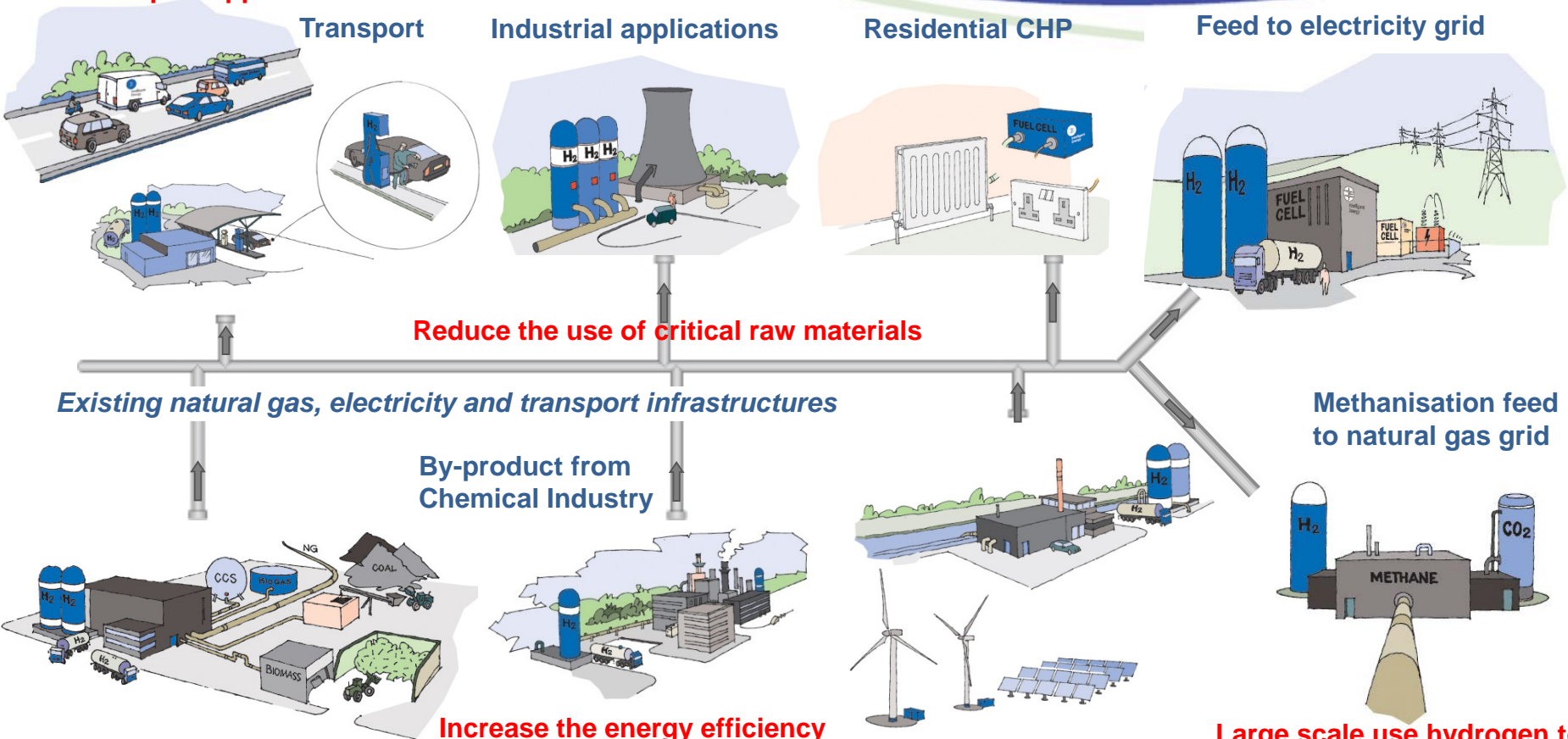
Methanisation feed to natural gas grid

Natural gas, biogas, coal, biomass

Increase the energy efficiency of low cost production of hydrogen from water electrolysis and renewable sources

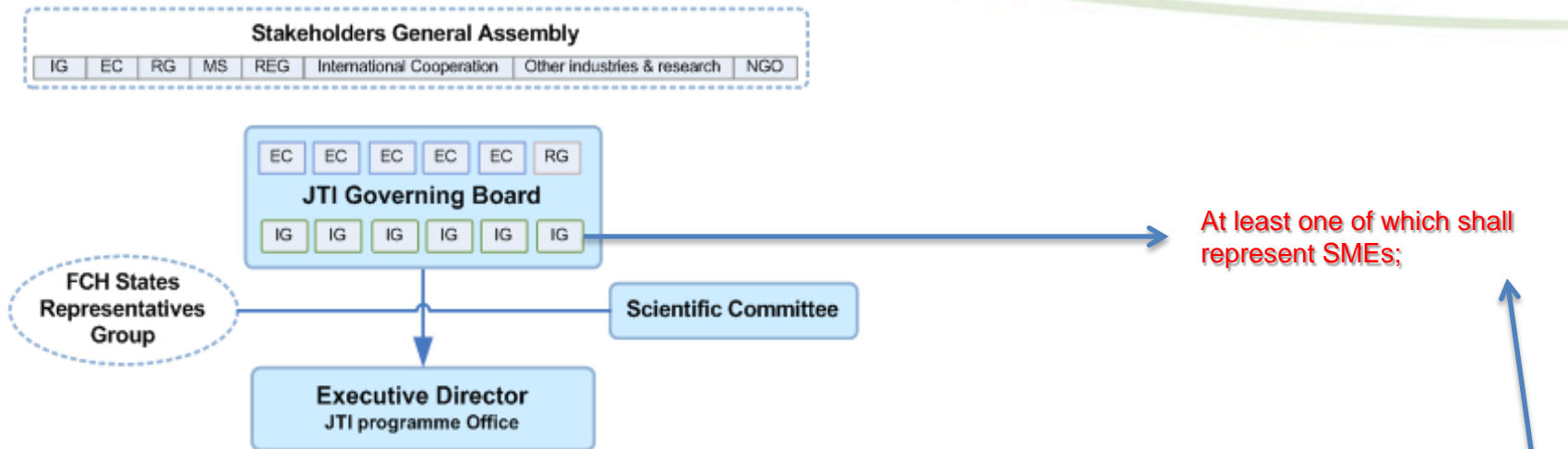
Renewable generation, storage and 'buffering'

Large scale use hydrogen to support integration of renewable energy sources into the energy systems



FCH JU Stakeholders

Members of the FCH 2JU: no change Bodies and composition

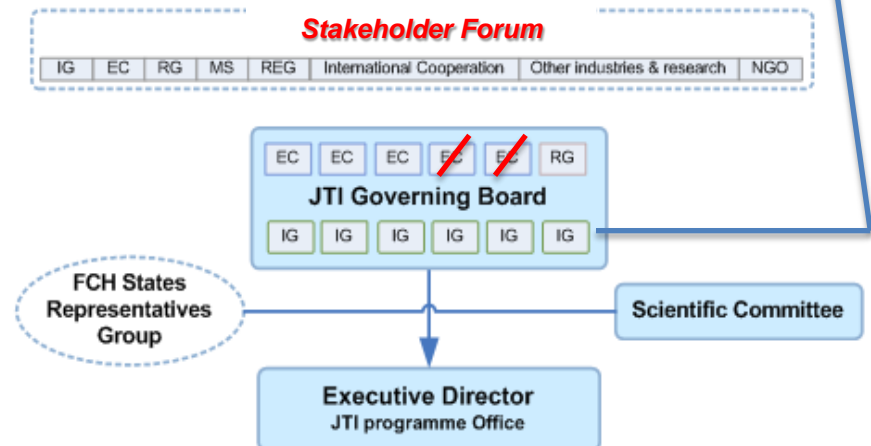


GB voting rights:

The Union shall hold **50 %** of the voting rights. The voting rights of the Union shall be indivisible. The Industry Grouping shall hold **43 %** of the voting rights and the Research Grouping **7 %** of the voting rights. The Members shall use their best efforts to achieve consensus. Failing consensus, the Governing Board shall take its decisions **by a majority of at least 75 % of all votes**, including the votes of those who are absent.

GB meetings: at least twice a year

Observers: SRG* and SC Chair have the right to attend meetings, take part in GB deliberations, but shall have no voting rights



States Representatives Group

The SRG shall also provide information to and **act as an interface** with the FCH 2 JU on:

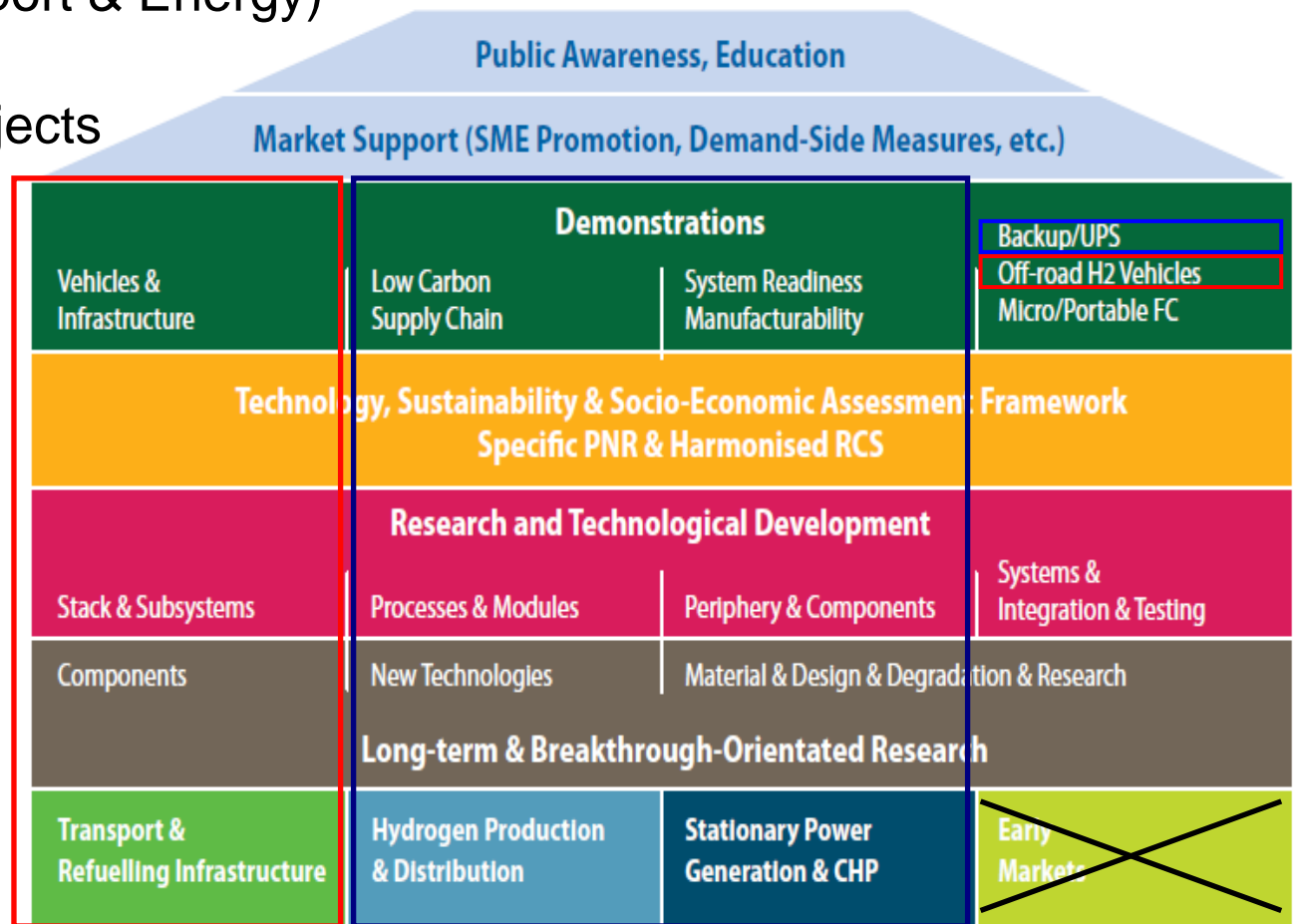
- the status of relevant national or regional research and innovation programmes and identification of potential areas of cooperation, including deployment of FCH technologies to allow synergies and avoid overlaps;
- specific measures taken at national or regional level with regard to **dissemination events**, dedicated technical workshops and communication activities;
- The SRG may, **on its own initiative**, issue recommendations or proposals to the Governing Board on technical, managerial and financial matters as well as on annual plans, in particular **when those matters affect national or regional interests**.

Activity areas Vs Pillars

MAIP (FP7): 5 Activity Areas

MAWP (Horizon 2020):

- 2 Pillars (Transport & Energy)
- Cross-cutting
- Overarching projects



Transport pillar

- Technologies for Transportation Systems
 - Road Vehicles
 - Car & Bus demonstration projects
 - Improvement of fuel cell
 - APUs for trucks or recreational vehicles
 - Two wheelers under discussion
 - Non-road mobile vehicles and machinery
 - Deployment of Forklifts and material handling vehicles
 - Refuelling infrastructure
 - Maritime, rail and aviation application
 - APUs for different applications and propulsion for boats

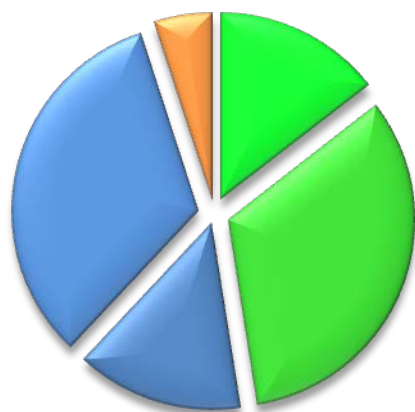
Energy pillar

- Technologies for Energy Systems
 - Hydrogen production from renewable electricity
 - Large green hydrogen production systems compatible for (smart) grid integration
 - Large scale hydrogen storage and injection of hydrogen in the natural gas grid
 - Re-electrification
 - Hydrogen production with low carbon footprint from other resources and waste hydrogen recovery
 - Fuel cell systems for combined heat and/or power on industrial, local, domestic scales and small applications
 - Hydrogen storage, handling and distribution

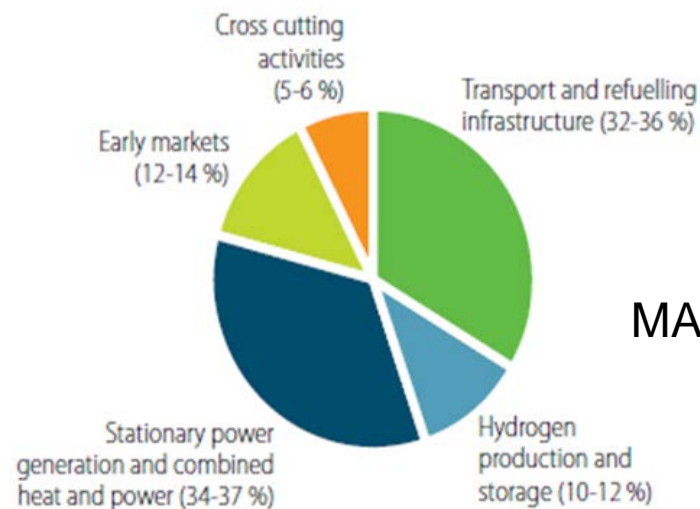
- Overarching Projects
- Cross-cutting research activities
 - Social acceptance and public awareness
 - Education and training
 - Safety
 - Pre-Normative Research
 - Building databases for environmental, economical, socio-economic subjects
 - Identification and development of financial mechanisms to support market introduction
 - Support portable applications & other niche market fuel cell solutions
 - Socio-economic research to determine environmental and societal impact
 - Recycling of FCH technologies
 - Other supporting activities

Budget distribution

Funding distribution	Research and Innovation		Innovation		Total	
Transports Systems	94 (± 5)	14.5%	213 (± 10)	33%	307	47.5%
Energy Systems	94 (± 5)	14.5%	213 (± 10)	33%	307	47.5%
Cross-cutting activities					32	5%
Total	192	29%	426	66%	646	100%



- Transports Systems R&I
- Transports Systems I
- Energy Systems R&I
- Energy Systems I
- Cross-cutting activities



Experts? Registration as expert for H2020 AND JTIs

Call identifier: H2020-JTI-FCH-2014-1

Total budget : EUR 93 million

Publication date: 09 July 2014

Deadline: 06 November 2014

General Annexes to the Work-Plan 2014 *(based on H2020 RfP**)*

- Eligibility and admissibility conditions (Annexes B and C)
- Types of action and funding rates (Annex D)
- Technology readiness level (TRL) (Annex E)
- Evaluation criteria, scoring and threshold (Annex F)

	No. of topics	Type of action*	Indicative budget (mill EUR)
TRANSPORT PILLAR	6	RIA/IA	10
	1	IA	32
ENERGY PILLAR	8	RIA	16
	3	IA	25,5
OVERARCHING PROJECTS	1	IA	5
CROSS-CUTTING ISSUES	3	CSA/RIA	4,5
Total call			93

Additional condition for participation in some topics:
at least one constituent entity of the Industry Grouping or Research Grouping should be among the participants

Proposals are required to provide a
draft plan for exploitation and dissemination of results!

*RIA= Research and Innovation Action; IA= Innovation Action; CSA= Coordination and Support Action

** RfP= Rules for Participation



H2020 - Rules for participation

H2020 Rules for Participation



Three main objectives:

Innovation, Simplification and Coherence

(single set of rules, funding rates, indirect cost model etc)



Single set of rules

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

FP7

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% (***)

(*) Research and technological development includes scientific coordination.

(**) For beneficiaries that are non-profit public bodies, secondary and higher education establishments, research organisations and SMEs.

(***) The reimbursement of indirect eligible costs, in the case of coordination and support actions, may reach a maximum 7% of the direct eligible costs, excluding the 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.

(****) Including research for the benefit of specific groups (In particular SMEs)

Research and Innovation

HORIZON 2020

One project = One rate

- For all beneficiaries and all activities in the grant
- Applied to the sum of direct and indirect costs (eligible costs)
- Defined in the Work Programme / Work Plan:
- Up to 100 % of the eligible costs
- but limited to a maximum of 70 % for innovation projects (exception for non-profit organisations – maximum of 100%)
- Flag for non-profit organisation often blank → automatically transformed into NO ... but participant may decide to switch to 100% himself during proposal submission → PO verification will be needed before submitting the list of selected proposals

Other Simplification Efforts

Similar evaluation criteria with FP7

- Excellence – Impact – Quality and efficiency of the action

Simpler time-recording requirements

- No time-sheets for personnel working full time on a single project

Fewer Certificates on Financial Statements and fewer but targeted audits

- CFS only if total amount of the grant for the beneficiary as reimbursement of actual costs or average personnel costs is \geq EUR 325.000 at the time of the payment of the balance
- Audit strategy focused on risk and fraud prevention

Financial viability

- Restricted to coordinators for projects \geq €500 k€

Audit certificates

- 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 Regulations!**
- Commission's audits up to two years after payment of the balance
- Audit strategy focused on risk and fraud prevention

Guarantee Fund

- Continuity with FP7

Single Indirect Cost Model

New funding model – what impact on EU contribution?

HORIZON 2020

FP7

Single model:
25 % Flat Rate

60% ?

20% ?

Real ?

Simplified?

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
Real indirect costs	100	20	120	75%	€ 90
HORIZON 2020	Direct costs	Indirect costs	Total costs	% EU contribution	EU contribution
100/25 Funding	100	25	125	100%	€ 125



Time to Grant

Speeding up the process

A maximum TTG of 8 months

5 months
for informing all applicants
on scientific evaluation

3 months
for signature of GA

Some exceptions apply, including complex actions or where requested by applicants

Grant Preparation rather than negotiation:

- Each proposal evaluated 'as it is', not as 'what could be'
- Final GA based to maximum extent possible on Part B of the proposal

Legal entity validated in parallel

No more paper:

e-communication & e-signature of grants

Minimum conditions:

Standard collaborative actions (R&IA and IA)

At least three legal entities each established in a different Member State or an Associated Country

Coordination and support actions

One legal entity established in a Member State or in an Associated Country

Additional Conditions:

In the work plan: Number of participants, nature of participants etc (GB approval needed)

For AWP2014: “participation of at least one beneficiary from IG or RG in the consortium” introduced in some topics as eligibility criterion

Forms of Funding:

We keep the Grant Agreements

Research and Innovation Actions, RIA – NO RfP definition but description in the WP annexes

actions with Research and Development activities at the core of the project intending to establish new scientific and technical knowledge and/or explore the feasibility of a new or improved technology, product, process, service or solution

- *may include basic and applied research, technology development and integration, testing and validation on a small-scale prototype in a laboratory or simulated environment*
- *may contain closely connected but limited demonstration or pilot activities aiming to show technical feasibility in a near to operational environment*

•up to 100% funding rate

"Pure" Innovation Actions, IA – Definition of Rules for participation

"Innovation action" means an action 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"

•up to 70% funding rate (100% for non-profit legal entities)

Overlaps

'**prototyping**', '**testing**', '**demonstrating**' and '**piloting**' not specific to innovation activities; they are also used to describe research and development activities (100% funding);

•In the case of a **Research and Innovation action**, these activities are undertaken on a small scale prototype, in a laboratory or simulated environment

•**Innovation projects** may include limited research and development activities.

Type of project expected, funding and Technology Readiness Level scale indicated in the WP topics

Coordination and Support Action

Actions consisting primarily of accompanying measures such as standardisation, 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.

- up to 100% funding rate

The importance of the Annual Work Plan

Annual Work Plan, AWP may:

Introduce additional eligibility criteria (on a topic basis)

- *Number of participants, type of participant (IG/RG members) and place of establishment*

Lay down further details for the application of the award criteria, and specify weighting and thresholds – normally in general annexes

Specify third countries that are eligible for funding (e.g. developed third countries)

- *Less-developed countries are **automatically eligible for funding** (See Annex A of the General Annexes) – list of 135 countries*

Restrict eligibility of participants from third countries (e.g. security concerns, reciprocity)

Specify the funding rate for an action (**up to**... 100% or 70%)

Identify beneficiaries for grants without a call for proposals

Intellectual Property Rights, IPR

We keep:

Ownership

- for the participant who generates results,
- joint-ownership only in specific circumstances

Protection

where appropriate

Exploitation

General obligation to exploit the results

Dissemination

principle maintained

Transfer and exclusive licences outside the EU/Associated Countries

the grant agreement may foresee right to object if a participant has received funding (Attention when US affiliates for example)

Access rights

for implementation and for exploitation purposes
(also for affiliated entities established in MS/AC)



What is **NEW:**

Additional exploitation/dissemination obligations

(as a separate document requested by the Annual work plan, AWP)

Open access (OA): obligatory for scientific publications

Each beneficiary must ensure OA to all peer-reviewed scientific publications relating to its results:

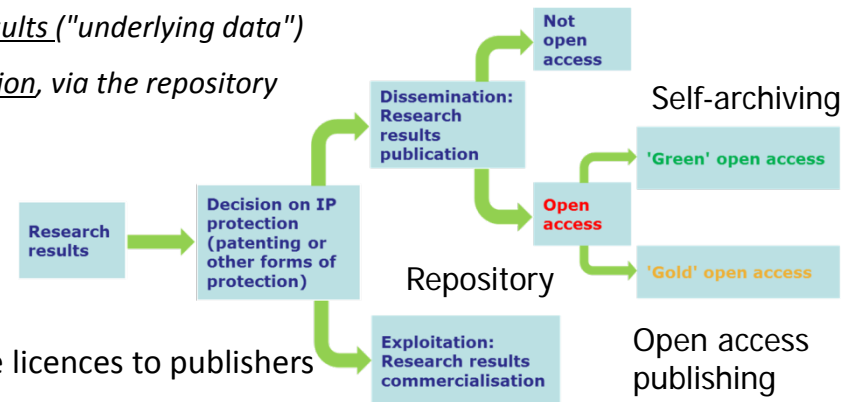
- Deposit a machine-readable copy of the published version or final peer-reviewed manuscript accepted for publication in a repository of the researchers choice (possibly OpenAIRE compliant)
- Ensure OA on publication or at the latest within 6 months
- Aim to deposit at the same time the research data needed to validate the results ("underlying data")
- Ensure OA to the bibliographic metadata that identify the deposited publication, via the repository

Costs for OA publishing:

Eligibility of OA publishing costs during the grant (as in FP7)


Licencing:

Encouragement to authors to retain their copyright and grant adequate licences to publishers



Pilot on Open Research Data – FCH2 JU is not part of it !

FCH JU projects can participate on a voluntary basis...



Proposals submission and evaluation

Proposal submission - Participant Portal

Funding Opportunities

NEW more ergonomic and user-friendly Participant Portal

Funding Opportunities page gives a short overview of the information and some **priority highlights** of H2020 - left hand menu: go directly to the **calls** of specific parts of H2020 or click on "Search topics" and **search** funding opportunities just with free **keywords**, **without having to know the structure of the programme**

The screenshot shows the homepage of the Research & Innovation Participant Portal. The header includes the European Commission logo, the text "RESEARCH & INNOVATION Participant Portal", and navigation links: (A-Z) Sitemap, About this site, Contact, Legal Notice, and a language selector set to English. A "BETA VERSION 4" badge is visible. Below the header is a navigation bar with links: HOME, FUNDING OPPORTUNITIES, HOW TO PARTICIPATE, EXPERTS, and SUPPORT. A LOGIN and REGISTER button is also present. The main content area features a large welcome message: "Welcome to the Research and Innovation Participant Portal". Below this, there are two columns of information. The left column, titled "About the Participant Portal:", explains that the portal is the entry point for EU-funded research and innovation projects, managed throughout their lifecycle. It also states that the portal supports activities funded by the 7th Framework Programme for Research and Technological Development (FP7) and the Competitiveness and Innovation Framework Programme (CIP). The right column, titled "Using the Participant Portal:", lists actions for guest users (search for funding opportunities, download guidance, search for PIC, contact FP7 support) and registered users (personalised services for proposal submission, negotiation, and project management). At the bottom, there is a row of six icons with labels: "WHAT'S NEW", "FUNDING OPPORTUNITIES", "HOW TO PARTICIPATE?", "WORK AS AN EXPERT", "ACCESS MY PERSONAL AREA", and "INFORMATION AND SUPPORT". The footer includes "RESEARCH ON EUROPA", "CORDIS", and "© European Communities".

The screenshot shows the "Funding Opportunities" page of the Research & Innovation Participant Portal. The header is identical to the homepage. The main content area is titled "Funding Opportunities" and includes a "FUNDING GUIDE" button. Below the title, it says "Find the European Union funding opportunities and search for new or closed calls, grouped by the following programmes:". A list of programmes is provided: Horizon 2020 - EU research funding from 2014, Seventh Framework Programme (FP7), Competitiveness and Innovation Framework Programme (CIP), and other research and innovation programmes. Below this, a section titled "What the Funding Opportunities page covers:" lists three main programmes: Seventh Framework Programme (FP7) Calls, Horizon 2020 - EU research funding from 2014, and Competitiveness and Innovation Framework Programme (CIP) Calls. Each programme has a brief description of its scope and objectives. At the bottom, there is a "Search" section with a text input field and a "Search" button. The footer includes "RESEARCH ON EUROPA", "CORDIS", and "© European Communities".

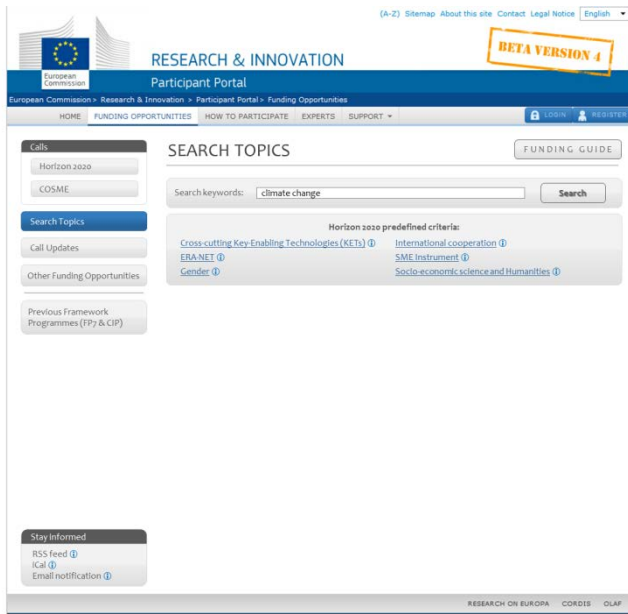
Participant Portal Calls

Calls are presented as clickable "cards" that lead to the call details.

When landing on the page the user will see all the open calls in the order of their publishing dates (possibility to see forthcoming and open calls when filtering accordingly) The user can also filter calls by programmes and themes)

Newcomers:

searching for call topics by **free keywords without having to know the structure of the programme**



Principles

Getting started

- A call is a list of distinct, separate topics
- **A proposal is submitted to one and only one topic**
- A topic is linked to one and only one call (the same topic applicable in two years will be considered as two distinct topics)
- A topic can have only one deadline

First access to the system from each **Topic's page**,
by selecting the **Type of action**

Draft and submitted proposals to be accessed from
the **"My Proposals"** page

European Commission

RESEARCH & INNOVATION

Participant Portal

MY AREA HOME FUNDING OPPORTUNITIES HOW TO PARTICIPATE EXPERTS SUPPORT

My Organisation(s)
My Proposal(s)
My Project(s)
My Notification(s)
My Expert Area

My Proposals

This page provides a list of all proposals relating to you as a participant, as follows:

- proposals you have initiated or submitted as a Coordinator/Principal Investigator, or
- proposals you have contributed to as a project participant

You can view, edit or download your draft or submitted proposals, depending on the proposal status and the deadline of the relevant call.

To initiate a new proposal, access the Funding Opportunities menu, go to the page of the call that you want to apply for, and enter the Electronic Proposal Submission section.

LEGEND [ED] Edit Draft [VD] View Drafted [VS] View Submitted [DE] Delete Proposal

Show 10 entries

PROGRAM	CALL	FUNDING SCHEME	PROPOSAL ID	ACRONYM	STATUS	REMAINING TIME	ACTIONS
FP7	FP7-HEALTH-2013-INNOVATION-2	CP-FP	SEP-200017815	Testelek_CAP_HNO	Submitted	0	[VS]
FP7	FP7-FS-TEST	CSA-CA	SEP-200017827	SEP test Agnes	Draft	57	[ED] [DE]
FP7	FP7-2012-ICT-FI	CP-IP	SEP-200017922	yuhgbvf	Submitted	0	[VS]
FP7	FP7-2012-ICT-FI	CP-IP	SEP-200017923	hgfd	Submitted	0	[VS]
FP7	ERC-2013-SyG	ERC-SyG	SEP-200025714	test 1	Draft	0	[VD] [DE]
FP7	FP7-ICT-2012-ICT-FI	CP-FP-INFO	SEP-200026011	test ahn	Draft	11	[ED] [DE]

Wizard Flow

Access Rights

Enhanced access rights,
enabling the read-only rights to proposals

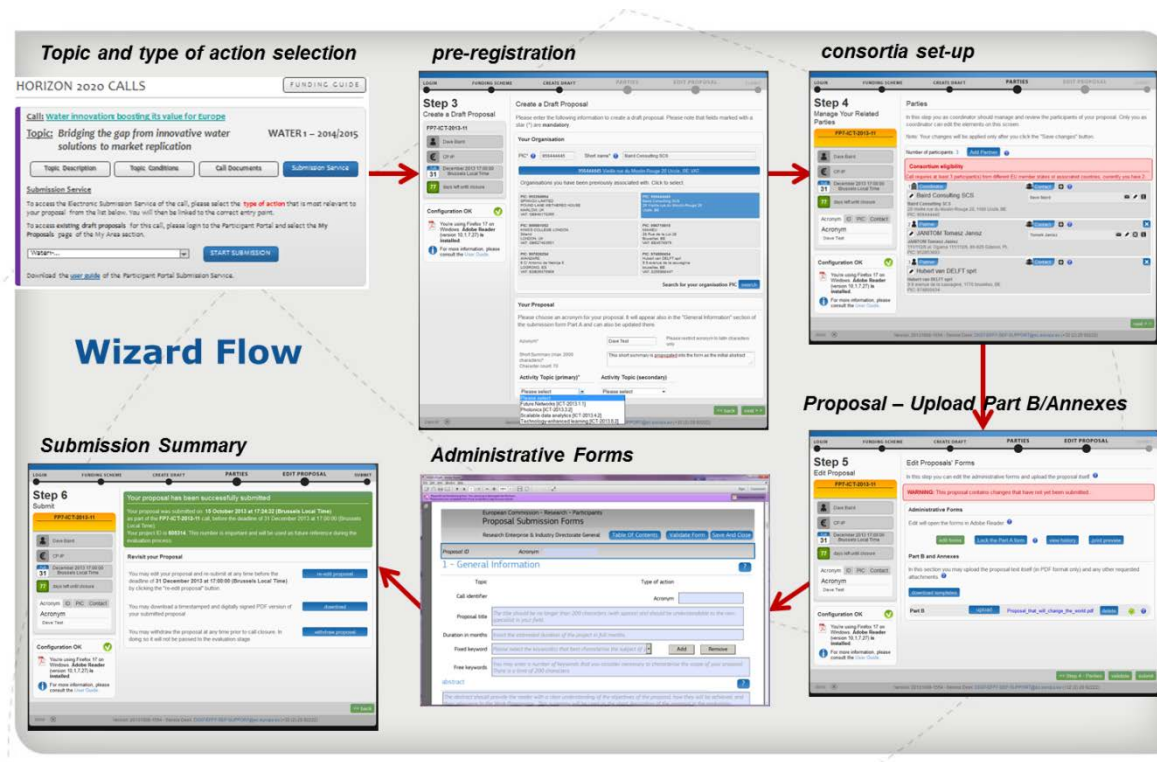
Full access (= coordinator contact or participant contact) or read-only rights (= team member) for any contact person
of the proposal.

Rights to be managed in the Submission tool until call closure, after that in the Participant Portal

All contact persons receive access rights and
are listed in Part A:

Main contact persons with full details;
other contacts with minimum data;

Authorized representative data
is not required in the proposals



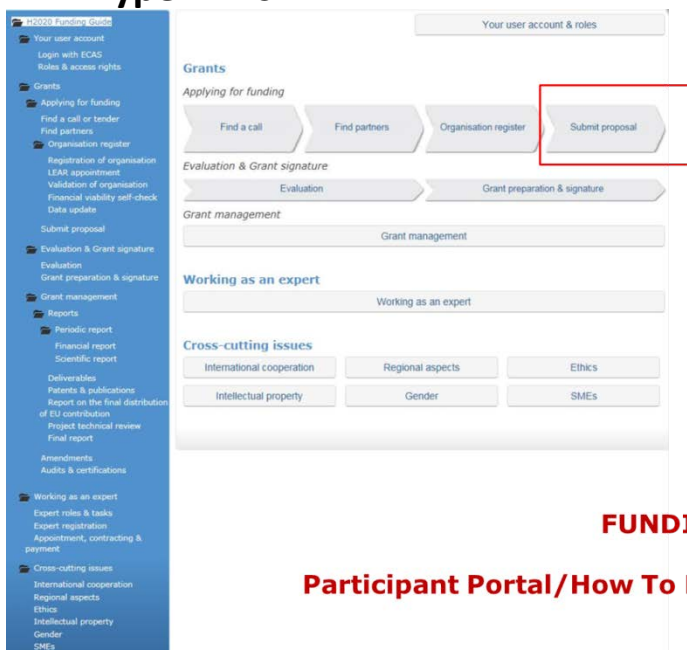
Part A

- General information
Abstract, panel and fixed keyword (if relevant),
New: declarations, checklist questions
- Participants and contact persons: data is read-only from the Organisation Registry (URF/PDM)
- Budget table – specific per action types
- **New:** Ethics Issues Table: structured, reference to Part B
- **Call specific questions:** limited set of specific questions related to the call (**IG/RG membership!**)
- The system offers validation checks & any problems are listed at the end of the administrative part.

Part B and Annexes

- Templates per calls/topics – downloadable from the system!
- Page limit may apply per attachments. The check is based on pages of the pdf document.
- Watermark to be applied to mark the pages above the limit
- General constraints: 10 MB, PDF
- The complete proposal package receives an e-receipt upon submission.
- **New:** Separate template for the **'Plan for exploitation and dissemination of results'!**
(if applicable, possibility to include additional activities and/or investments along the project to increase impact of results, as part of beneficiaries' business plans)

- Call and Topic-related official documents are available from the call/topic page of the Participant Portal
- New reference point: Guidelines on submission and evaluation
- Online help: Funding Guide on the Participant Portal
- Embedded guidance text in the forms: ghost text or fixed guidance behind the question marks; hyperlinks



FUNDING GUIDE

Participant Portal/How To Participate

1 - General Information

Section 1 provides basic data on the proposal. It can be filled in by contacts of the coordinator. Other participants may view this section only. Read-only parts are marked in blue.

Topic	Type of action
Call identifier	Acronym <input type="text"/>
Proposal title	<input type="text"/>
Duration in months	<input type="text"/>
Fixed keyword	<input type="text"/> <input type="button" value="Add"/> <input type="button" value="Remove"/>
Free keywords	<input type="text"/>

abstract

The abstract should provide the reader with a clear understanding of the objectives of the proposal, how they will be achieved, and their relevance to the Work Programme. This summary will be used as the short description of the proposal in the evaluation process and in communications to the programme management committees and other interested parties. It must therefore be short and precise and should not contain confidential information.

The abstract should provide the reader with a clear understanding of the objectives of the proposal, how they will be achieved, and their relevance to the Work Programme. This summary will be used as the short description of the proposal in the evaluation process and in communications to the programme management committees and other interested parties. It must therefore be short and precise and should not contain confidential information. Please use plain typed text, avoiding formulae and other special characters. If the proposal is written in a language other than English, please include an English version of the proposal abstract in the Description of work. There is a limit of 2000 characters (with spaces).

- Calls are **challenged-based**, and therefore more open to innovative proposals
 - *Calls are less prescriptive - they do not outline the expected solutions to the problem, nor the approach to be taken to solve it*
 - *Calls/topics descriptions allow plenty of scope for applicants to propose innovative solutions of their own choice*
- There is a **greater emphasis on impact**, in particular through each call/topic impact statements
 - *Applicants are asked to explain how their work will contribute to bringing about the described impacts*
 - *During the evaluation, the experts are asked to assess this potential contribution.*
- Proposals may be both inter-disciplinary and cross-sectoral in nature to tackle specific challenges

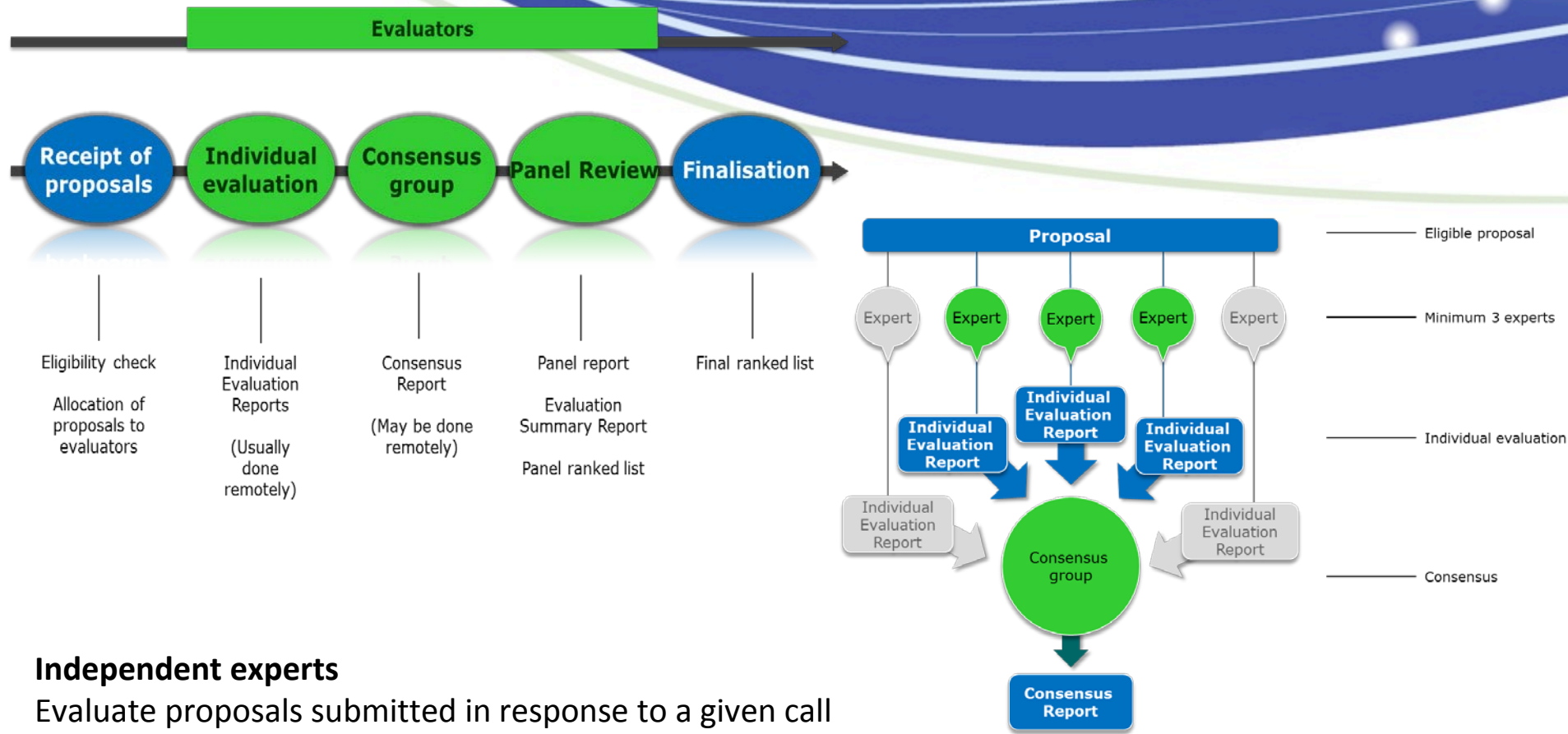


- **Substantial support to activities** such as prototyping and testing, demonstrating and piloting, first market replication - establishing technical and economic viability in (near) operational environments
- **Piloting new forms and sources of innovation**
extending beyond technological and research-based innovation
- **Leveraging and boosting engagement of industry**
- When the experts evaluate a proposal, they need to take into account **innovation activities** in the targeted innovation actions as well as in research and innovation actions
- **Cross-cutting issues** are fully integrated in the work plan (WP):
 - *Gender dimension in the content of R&I - a standard question on relevance of sex/gender analysis is included in proposal templates*
 - *The new strategic approach to international cooperation consists of a general opening of the WP and targeted activities across all relevant Horizon 2020 parts (the approach to providing 'automatic funding' to third country participants is restricted & the experts should check requests for 'exceptional funding')*
 - *Other cross-cutting issues such as science education, open access to scientific publications, ethics, standardisation ... may also be included in the WP*



- **No grant negotiation phase!**
- What does this mean for the evaluation of proposal?
 - **The experts evaluate each proposal as submitted**
not on its potential if certain changes were to be made
 - **The experts do not recommend substantial modifications**
such as change of partners, additional work packages, significant budget or resources cut, additional scientific activities to strengthen the concept, trans-disciplinary aspects not appropriately covered...
 - **If the experts identify significant shortcoming, they must reflect those in a lower score for the relevant criterion**
Proposals requiring substantial modifications are not expected to pass the relevant thresholds
- Is there a margin for making some recommendations?
 - Minor and specific corrections to be implemented without negotiation, e.g. timing of work package...
 - Obvious clerical errors

Overview of the Evaluation Process & Role of independent experts



Independent experts

Evaluate proposals submitted in response to a given call

They are responsible for carrying out the evaluation of the proposals themselves

The experts are not allowed to delegate the work to another person!

Significant funding decisions will be made on the basis of their advice (including third countries eligibility for funding)

Admissibility and eligibility checks

- **Admissibility is checked by the FCH JU:**

- Readable, accessible and printable
- Completeness of proposal presence of all requested forms
- Plan for exploitation and dissemination of results (unless otherwise specified in the WP)

new
Page limits: Clearly set out in electronic system; excess page marked with a watermark

- **Eligibility should already have been checked by the FCH JU:**

- Minimum number of partners as set out in the call conditions
- “Out of scope” - a proposal will only be deemed ineligible in clear-cut cases
- Other criteria may apply on a call-by-call basis as set out in the call conditions (IG/RG membership)

- **However, if the experts spot an issue relating to eligibility when evaluating a proposal, they should inform the FCH JU**

- There are **three evaluation criteria**:
 - Excellence (relevant to the topic of the call)
 - Impact
 - Quality and efficiency of the implementation
 - Applicants are not required to provide detailed breakdown of costs
- The criteria are adapted to each type of action, as specified in the WP

- **The experts read the proposal and evaluate it against the evaluation criteria**
 - without discussing it with anybody else
 - as submitted - not on its potential if certain changes were to be made
 - look at the substance – some proposals might be handicapped by language difficulties, other deceptively well written
- **The experts disregard excess pages which are marked with a watermark**
- **The experts check to what degree the proposal is ‘in scope’ of the call/topic**
 - If marginally relevant to the [call/topic], they must reflect this in a lower score for the Excellence criterion
- **The experts complete an Individual Evaluation Report (IER)**
 - give their view on whether each applicant has the necessary basic operational capacity to carry out the activity(ies) for which they are responsible
 - **based on the information provided (i.e. CV; relevant publications or achievements; relevant previous projects...)**
 - give comments and scores for all evaluation criteria (scores must match comments)
 - do not recommend substantial modifications
- **The experts then sign and submit the form in the electronic system**

- **The experts give a score of between 0 and 5 to each criterion based on their comments**
 - Half-marks can be used
 - The whole range of scores should be used
 - Scores must pass *thresholds* if a proposal is to be considered for funding
- **Thresholds apply to individual criteria...**

The default threshold is 3 (unless specified otherwise in the WP)
- **...and to the total score**

The default overall threshold is 10 (unless specified otherwise in the WP)



For Innovation Actions (IA), the criterion Impact is given a weight of 1.5 to determine the ranking

Attention when ranking IA and R&IA projects in the same list

Proposals with identical total scores

- For each group of proposals with identical total scores, the panel considers **first proposals that address topics that are not already covered by more highly-ranked proposals**
- The panel then orders them according to:
 - **first**, their score for Excellence,
 - and **second**, their score for Impact
 - [for Innovation actions, first their score for Impact and second for Excellence]**
- If there are ties, the panel takes into account the following factors:
 - First, the size of the budget allocated to SMEs
 - Second, the gender balance of personnel carrying out the research and/or innovation activities
- If there are still ties, the panel agrees **further factors** to consider:
 - e.g. synergies between projects or contribution to the objectives of the call or of Horizon 2020
- The same method is then applied to proposals that address topics that are already covered by more highly-ranked proposals

Innovation in H2020 IT Tools

Electronic signature (experts and grants)/
Electronic cost statements for experts
electronic FEL/BA creation for experts



Common back-office
for Grant
Management



Common back-office for experts



Electronic workflow tool



Common back-office for
management of audits



Horizon 2020



Participant Portal integrated services



No e-mail



No mail



No blue ink signature



Coherent



Transparent



Integrated



Improved services


Proposal

Legal entity data

Grant Preparation

Financial reporting

Scientific reporting



Part D : Validation of beneficiaries and Financial Viability Check (FVC)

The validation process

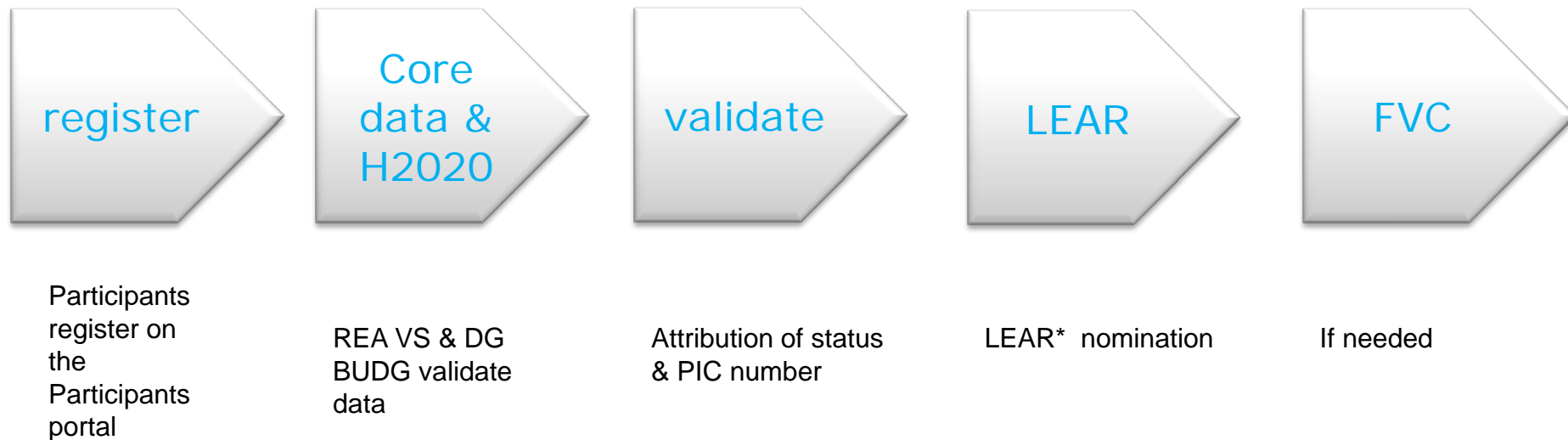
- Before a proposal can be submitted, all participants should register their organisational details in the URF (Unique Registration Facility) in the [Research Participant Portal](#) (PP), where they will be assigned a temporary Participant Identification Code (PIC) (entities validated under FP7 can keep their valid status and PIC).
- This temporary PIC will then follow the validation workflow in PDM (Participant Data Management tool), the back office tool of the URF. The validation of a participant is unique and valid throughout the entire H2020 programme. During the validation of a legal entity, the validation services verify the (i) legal existence, (ii) the status of an applicant against H2020 Rules for Participation and (iii) Financial Viability Check (if required).
- The communication with participants takes place via the URF functional mailbox (REA-URF-VALIDATION@ec.europa.eu) or via the Participant Portal, where participants can upload their documents directly in URF. Relevant information and supporting documents are then stored in the PDM database and in ARES.

The validation process (cont'd)

The validation services (VS) work in close collaboration with:

- the beneficiaries, who send documents (e-mail/URF)
- the LEAR (Legal Appointed Representative), who requests corrections/modifications (via URF)
- the operational unit/entity who informs VS of priorities
- DG BUDG, who creates the LEF (Legal Entity File) and the BAF (Bank Account File) (VS are single contact point)

Process overview



LEAR nomination is mandatory and supporting document must be submitted in paper; LEAR must notify the EU of changes in legal data/status; submit FVC (financial viability check) documents if required; nominate persons who act as legal representatives; nominate persons who sign FS

H 2020 category validation



validate

Public law body

Private law body

International Organisation

International Organisation of European Interest

Second and Higher Education Establishment

Non-profit Organisation

Research Organisation (self-declaration)

SME (=> SME questionnaire accessible on the Participants'Portal)

Legal Entity Appointed Representative (LEAR)



LEAR

LEAR nomination is mandatory and supporting document must be submitted in paper;

LEAR's mandate:

- notifies the EU of changes in legal data/status;
- submits FVC documents if required;
- nominates persons who act as legal representatives;
- nominates persons who sign FS

Financial Viability Check (FVC)



FVC

FVC takes place after legal validation is completed

The financial capacity is checked if:

- ✓ The beneficiary is a (non-public) coordinator
- ✓ The requested maximum grant amount for the action is ≥ 500.000 €

How is financial viability assessed?

The assessment is done by checking that it:

- has sufficient liquidity
- is able to cover its short-term commitments
- is financially autonomous
- is solvent - capable of covering its medium and long-term commitments;
- is profitable - generating profits, or at least with self-financing capacity. (This condition does not apply to private individuals).

Practical aspects

If the organisation's financial viability has to be assessed:

- it will be informed in due time of the exact process and the official contact persons.
- it will have to provide - if not already available - its financial information and relevant supporting documents covering the last closed financial year.

The FCH will carry out a financial analysis on the last closed financial year.

In other cases (i.e. for entities that are not coordinators or for coordinators where the requested FCH funding is below the threshold), the financial viability will be checked only if there are justified grounds to doubt it.

Specific cases:

For entities that are financially guaranteed by another legal entity, it is the financial viability of the other legal entity that will be checked. This entity has to assume joint liability for all debts. Ad hoc guarantees (covering, for instance, only your participation to EU project(s)) cannot be accepted.

- Financial viability will normally be considered positive (i.e. ‘good’ or ‘acceptable’), if you obtain a minimum of 4 points.

	Insufficient	Weak	Acceptable	Good
Result of FVC	0	1-3	4-5	6-10

Exceptions:

Irrespective of the above results, your financial viability will always be considered 'weak' if:

- an audit report on your entity's accounts was issued with serious qualifications (see section 3.1)
- you are a newly established entity that has not yet closed any accounts
- there were substantial financial findings relating to your financial capacity in an audit of the Commission/FCH or the Court of Auditors or an OLAF investigation within the last two years
- you have been involved in serious administrative errors or fraud
- you are subject to pending legal procedures or judicial proceedings for serious administrative errors or fraud
- you are subject to an attachment order
- you are subject to a significant recovery order for an outstanding amount issued by the Commission/FCH, on which the payment is significantly overdue.

Actions in case of not positive result:

- If the result of the financial viability check is "insufficient", the applicant cannot participate (unless duly justified grounds)
- For other cases (audit report with serious qualification; substantial financial findings relating to the financial capacity of a legal entity following a financial audit carried out in the last 2 years) and for “weak” FVC result, the following protection measures shall be considered:
 - A legal entity with a "weak" financial capacity shall not be accepted as a coordinator. This legal entity will nonetheless be able to be a participant.
 - Any legal entity with a "weak" financial capacity may be subject to a reinforced monitoring during the implementation of the project and/or systematic initiation of audit or review

Participants' Guarantee Fund (PGF)

FCH 2 JU is covered by the Participants' Guarantee Fund (PGF)

Art. 32 § 1 of the H 2020 rules of participation

The Fund is established to cover risks associated with the non recovery of sums due to the Union under actions financed through grants.

Art. 32 § 5

Participants make a contribution of 5% withheld from the pre-financing which is returned to the participants at the end of the project with the final payment.

The Fund is considered as sufficient guarantee under the Financial Regulation

As a consequence:

-no additional financial guarantee or security will be accepted from participants or imposed on them, such as reduction of pre-financing for a particular participant, trust accounts, financial guarantees, etc

But rules for pre-financing will change (especially for Innovation Actions) –
Homogeneous distribution of financial through the reporting periods + 5% of pre-financing +10% for the end of the project



Part E : The FCH 2 JU Grant Agreement

The FCH 2 JU GA

1. Structure of the grant agreement
2. Costs
 - a) Forms of costs
 - b) Personnel costs
 - c) Infrastructure
 - d) Indirect costs
3. Third parties
4. Receipts
5. Reporting
6. Payments
7. Controls and audits
8. IPR & dissemination

Structure of the GA

FCH 1 GA

- Core part: GA parameters
- Annex 2 : General Conditions
- Special clauses
- Annex 1: DoW
- Annex 3 (form A): accession
- Annex 4(form B): new beneficiary accession
- Annex 5 (form C): financial statements
- Annex 6 (form D and E):
 - Form D: terms of ref. CFS
 - Form E: terms of ref. for cert. on methodology

FCH 2 GA

•GA

- Annex 1: Description of the action
- Annex 2: Estimated budget

•Annex 3: Accession Forms, 3a & 3b

•Annex 4: Financial statements

- Annex 5: terms of ref. CFS
- Annex 6: terms of ref. for cert. on methodology

Structure of the GA

H2020 Grant Agreement

Chapter 1: General

- Single article: subject of the agreement

Chapter 2: Action

- Action, duration and budget

Chapter 3: Grant

- Amount, reimbursement rates, eligible costs

Chapter 4: Rights and obligations

- To implement the action: resources, in-kind contributions, subcontracts
- Grant administration: reporting, payments, audits
- Background and results: access rights, protection of results, exploitation, dissemination
- Others: gender equality, ethics, confidentiality

Chapter 5: Division of roles

- Roles and responsibilities, internal arrangements

Chapter 6: Rejection, reduction, penalties, termination, etc

- Rejection, reduction, recovery and penalties
- Suspension and termination of the action

Chapter 7: Final provisions

- Accession, entry into force, amendments, applicable law



Thank you for your attention !

Further info :

- FCH JU : <http://fch-ju.eu>
- NEW-IG : <http://www.new-ig.eu>
- N.ERGHY : <http://www.nerghy.eu>