
Horizon 2020: Project Management

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OUTLINE

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- H2020 PM Cycle,
- H2020 project MNG structure,
- Role of partners

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PROJECT CLOSURE

- Technical and Financial Reporting
- Project Review & Evaluation

00

**BEFORE WE
START...**

Information about administrative issues

- Awareness about the legal, administrative and financial requirements – [H2020 Funding Guide – Look for Updates!](#)

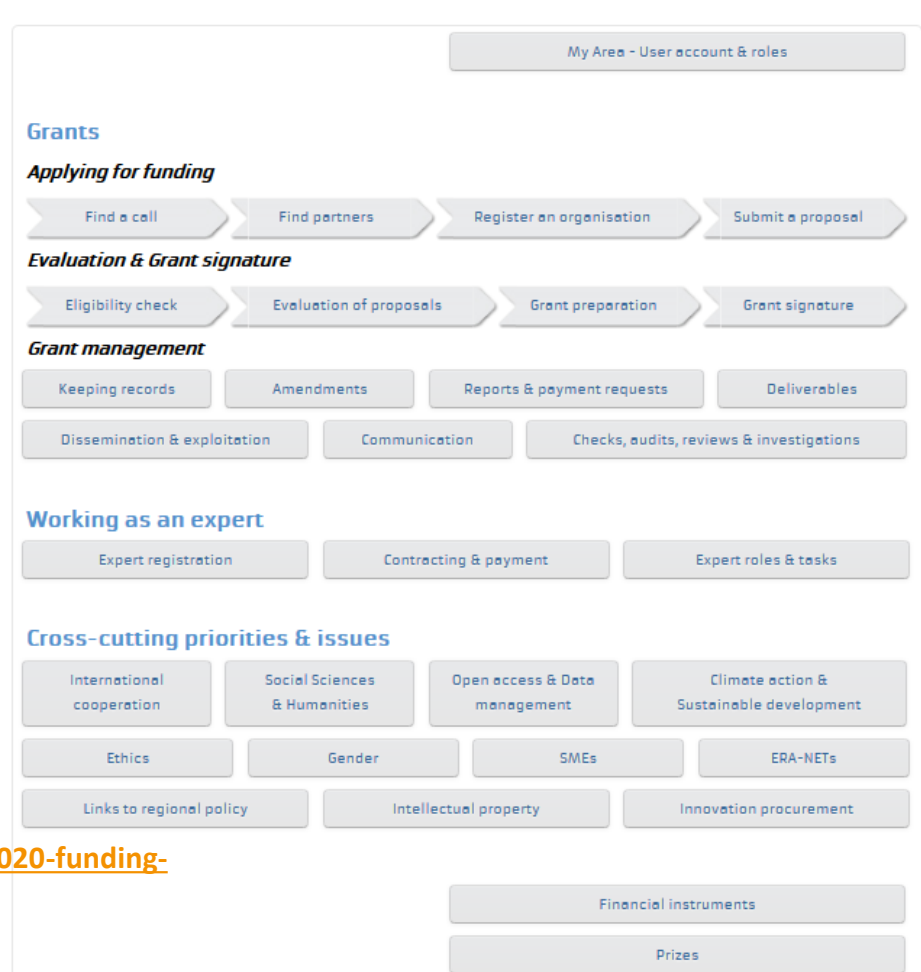


EUROPEAN COMMISSION
Directorate-General for Research & Innovation

Grants Manual - Section on:
Proposal submission and evaluation
(sections III.5, III.6, IV.1, IV.2)

Version 1.4
28 May 2015

http://ec.europa.eu/research/participants/docs/h2020-funding-guide/index_en.htm



Terminology

H2020:

EC GLOSSARY

http://ec.europa.eu/research/participants/portal/desktop/en/support/reference_terms.html

IPR HELPDESK:

<https://www.iprhelpdesk.eu/glossary/a>

GENERAL PM TERMINOLOGY:

<https://www.smartsheet.com/complete-glossary-project-management-terminology>

15 Project Management Terms you Should Know

Project management profession which is the most sought after profession in the whole world has a huge knowledge base. In fact, there are multiple project management methodologies that enterprises rely on to complete the projects in a successful manner. Project management approaches such as the PMBOK®, PRINCE2, Agile, Kanban etc have certain project management terms that every project manager or project team members should be aware of.

<p>If the project objective is not defined properly, then it becomes difficult for project team members to align themselves to the project. During the project kick-off meeting define the metrics and show them what is that they have to achieve.</p>	<p>Objective</p>  <p>1</p>	<p>Deliverable</p>  <p>2</p>
<p>Deliverable is a tangible outcome that is produced by the project in its lifecycle. The project creates internal or external deliverables which is produced as a consequence of executing the project.</p>		
<p>Goals</p>  <p>3</p>	<p>Project goals provide you the focus required to develop a roadmap to fulfill the project objective. The goals should be SMART (Specific, Measurable, Achievable, Relevant and Time-bound).</p>	
<p>Resources</p>  <p>4</p>	<p>Project Team</p>  <p>5</p>	<p>Your project team is the most important resource of all. Select your team based on their individual capabilities with regards to skills and experience to achieve at the highest level.</p>
<p>Get your project resources on board in the form of people, capital, tools, space, time etc. Without proper resource allocation, successful completion of projects is a difficult prospect.</p>	<p>Decisions</p>  <p>6</p>	<p>There should be transparency about decision making in a project. Be clear about who can take what decisions which needs to be vetted by the project committee to take quick decisions.</p>

<p>Analyze a situation from different angles and encourage your project team to find multiple solutions and choose the best. Initiate a healthy debate to explore new opportunities and to make an informed decision.</p>	<p>Debates</p>  <p>7</p>	<p>Deadline</p>  <p>8</p>
<p>Time is one the most critical resources in your project, your team should adhere to the project deadlines to complete. If time is wasted it will eat up more resources to complete the same work.</p>		
<p>Explore</p>  <p>9</p>	<p>Explore new avenues and every option available. Understand the advantages and disadvantages, and come up with the best possible project plan that adds the most value for both customer and the enterprise.</p>	
<p>Constraints</p>  <p>10</p>	<p>Priorities</p>  <p>11</p>	<p>Analyze a situation from different angles and encourage your project team to find multiple solutions and choose the best. Initiate a healthy debate to explore new opportunities and to make an informed decision.</p>
<p>Constraints are something that is outside the control of the project and need to be managed effectively. Resource constraints may arise in the middle of the project when the dates / timelines get stretched.</p>	<p>Milestones</p>  <p>12</p>	<p>Milestones are related to schedules which signify completion of a major project deliverable. In fact, it is used as a project checkpoint to validate how the project is progressing.</p>
<p>Red Flags</p>  <p>13</p>	<p>Accountability</p>  <p>14</p>	<p>Critical Path</p>  <p>15</p>
<p>Enterprise should create an environment where employees raise issues if there is something wrong in the project. Project teams should come together to solve problems and give their real and unbiased opinions.</p>	<p>In the end, project team members who are accountable for their work is what gets the project completed. Teams can share their workload, but individuals in a project team are responsible for getting their tasks completed.</p>	<p>The term critical path refers to the longest duration path through the work plan. If an activity gets delayed in the critical path by couple of days, the entire project gets delayed by couple of days. So make sure you identify the critical path throughout the project lifecycle.</p>

Source: PINTEREST

INFO provided in following slides

- Is for information purposes only
- For updates and detailed information follow the H2020 participant portal and H2020 Guidelines

Sources:

- Different FP7/H2020 funded projects
 - H2020 participant portal
 - European Commission
 - Etc.
-



TEAM WORK

Source: PINTEREST

8 Key Values of Project Managers



Source: PINTEREST

01

INTRODUCTION TO H2020 PROJECT MANAGEMENT

- **Role of the Project Manager,**
- **H2020 PM Cycle,**
- **H2020 project MNG structure,**
- **Role of partners**

Project Management in H2020 projects

Project management -> is the application of knowledge, skills, tools and techniques to project activities in order to meet the project objectives (PMBOK)

16 Popular Project Management METHODOLOGIES

XP? CCPM? PRISM? If you're new to Project Management, the number of different methodologies (and acronyms) can be mind-boggling.

We've broken 16 common project management methodologies into bite-sized pieces to help you choose the best approach for your next project.



ADAPTIVE PROJECT FRAMEWORK (APF)

Improves the project at every stage by learning from the previous stage's results. By defining project goals and regularly reviewing project scope, managers can deliver the highest possible business value for the customer.



BENEFITS REALIZATION

Defines success as achieving a desired benefit. If clients want to increase sales by 15% and hire you to develop new CRM software, the project isn't complete until sales are up 15% - even if you deliver the desired CRM on time and within budget.



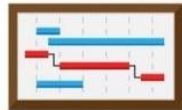
AGILE

Adapts to change, capitalizes on trends, and creates a dynamic team through collaboration and flexibility. Stakeholders review the project at each stage so teams can make the right adjustments, creating high-quality products that meet customer need.



CRITICAL CHAIN PROJECT MANAGEMENT (CCPM)

Avoids project delays by identifying a "critical chain" of tasks, reserving resources for those tasks. Since schedules are built around resource availability the project timeline may be longer, but there's less chance of missing important deadlines.



CRITICAL PATH METHOD (CPM)

Determines your project's shortest timeline so you can adjust to shifting deadlines. By identifying the project's most essential tasks, you can estimate completion dates, dependencies, milestones, and deliverables. And compare what *should* be happening with what is happening every day.



EVENT CHAIN METHODOLOGY (ECM)

Helps recognize and plan for potential risks. Monte Carlo Analysis and Event Chain Diagrams help determine the probability of certain risks and their potential impact. Visualizing the relationship between external events and project tasks helps create realistic plans.



EXTREME PROGRAMMING (XP)

Features short development cycles, frequent releases, and open communication with stakeholders. Teams focus on collaboration and efficiency, writing the simplest possible code to produce the desired feature, avoiding burnout and low-quality deliverables.

KANBAN

Produces a slow and steady stream of deliverables through continuous workflow. Managers often use a whiteboard or sticky notes to represent progress and uncover process problems. By understanding where time is wasted, teams can improve productivity.



LEAN

Delivers high-value, high-quality work with less manpower, money, and time. Lean cuts waste by eliminating bottlenecks, focusing on customer value, and continually improving processes. Use Lean to cut budgets, meet quick deadlines, and get big results with a small team.



LEAN SIX SIGMA

Combines Lean's efficiency with Six Sigma's statistics-based process improvement. By defining how work actually gets done, teams eliminate waste and focus on delivering the highest possible value to clients.



PRINCE2 (PROJECTS IN CONTROLLED ENVIRONMENTS)

Ensures that every project has business justification and will contribute value. Planning begins by identifying a clear need, targeted customer, realistic benefits, and accurate cost assessment.



PRISM (PROJECTS INTEGRATING SUSTAINABLE METHODS)

Blends project planning with environmental sustainability measures. Want to go green? PRISM is for you. Reduce energy, waste management, and distribution costs, all while reducing your environmental footprint.



PROCESS-BASED PROJECT MANAGEMENT

Guarantees every project furthers the company's mission. Before project kick-off, the plan is analyzed to see if it will live up to the mission statement; if not, all strategies and goals are adjusted. Every action adds value to an organization's strategic vision.



SCRUM

Emphasizes productivity, focus and collaboration so teams can build high-quality deliverables quickly and adapt to change easily. Teams work in short sprints for maximum efficiency, plus they can test new iterations quickly and fix mistakes right away.



SIX SIGMA

Improves processes and product quality by reducing defects or bugs. A rating of "six sigma" means that 99.99966% of what's produced is defect-free. By examining the entire production process, you can find possible improvements even before defects appear.

WATERFALL

Breaks projects down into a series of sequential tasks. With clearly defined goals and a set timeline, teams work through tasks in order, completing each one before moving on to the next in line. And extensive planning means accurate timelines and budgets.

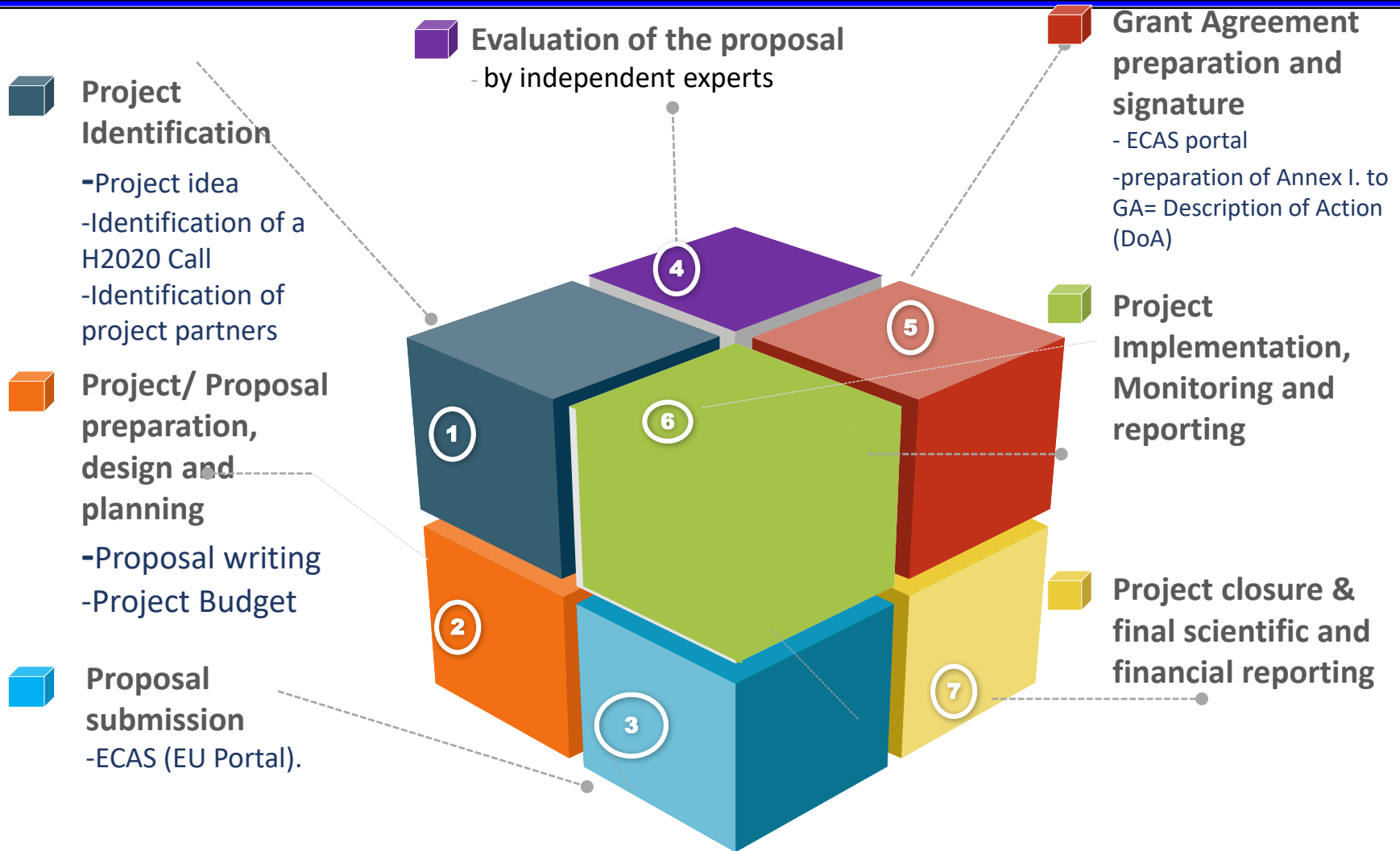


Source: PINTEREST

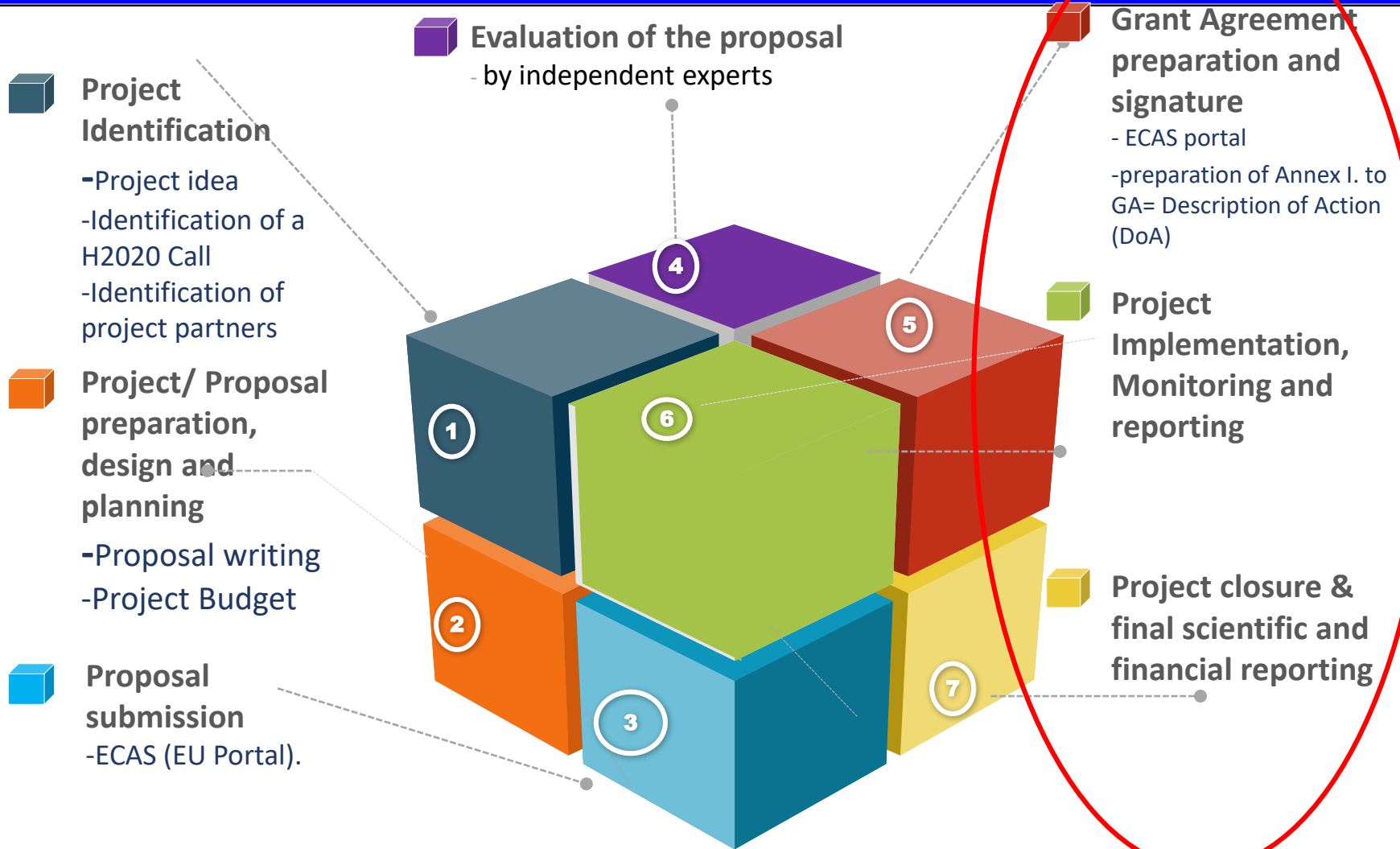
Project Management Cycle in H2020 Projects



PM Cycle in H2020 projects - Extended



PM Cycle in H2020 projects - Extended

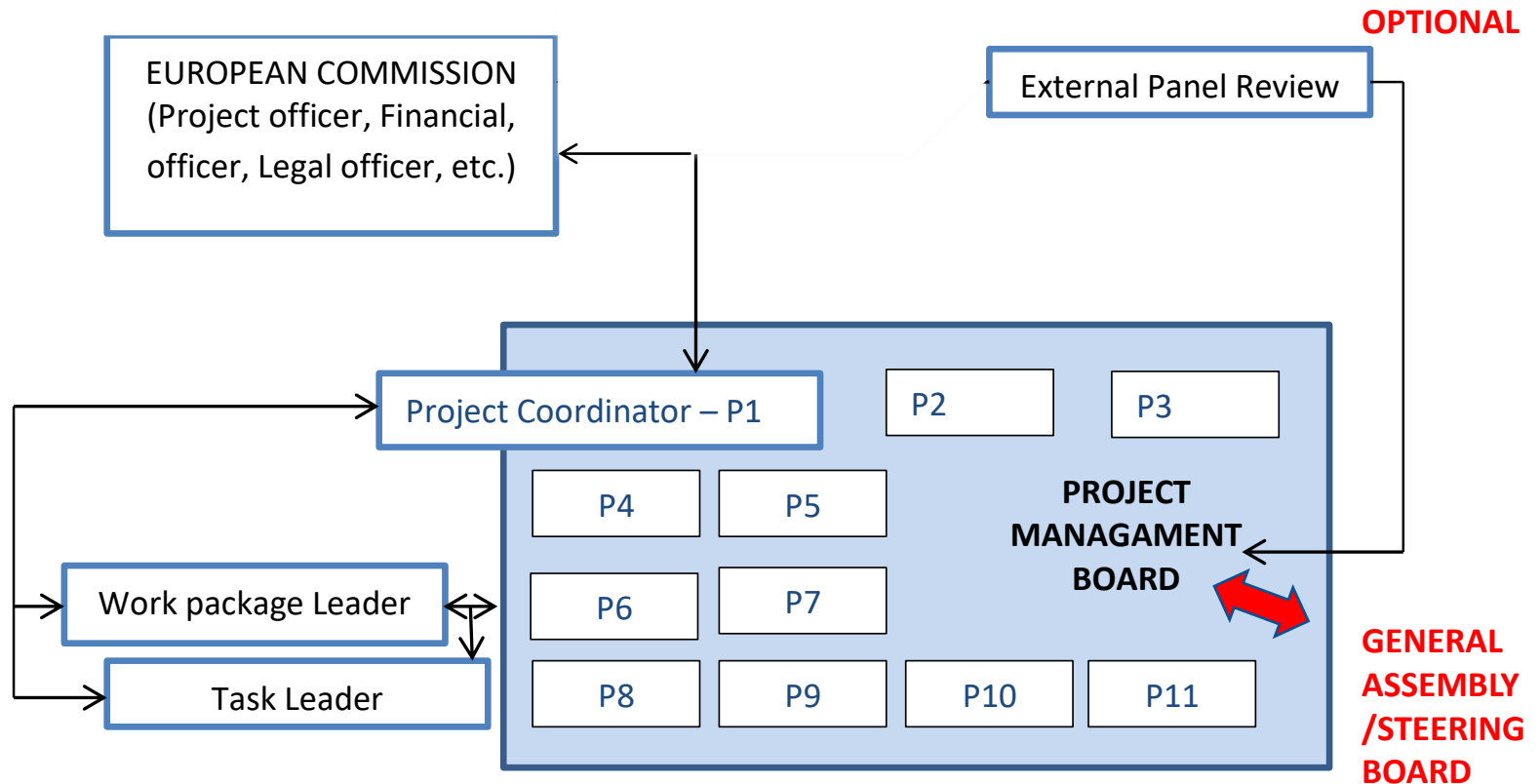


Objectives of project management

- Ensure the **correct execution of the project's work plan** including its adaptation to necessities that may occur during the project
- Guarantee **efficient communication** within the consortium
- Assure the **overall coordination of all activities** among the project partners
- Lead **project steering with the objective to implement the project in a smooth and consolidated way**, involving the partnership and also external stakeholders
- Enabled **timely reporting to the European Commission** and the administrative and financial management of the project

Project Managament Structure in H2020

EXAMPLE



Roles of project participants

- Each of the project partners can have different roles.
- Roles are defined in the project work-plan description

All project partners :

- Should fulfil their tasks duly, timely and according to the **distribution of work specified in Annex I** or amended by the decisions of the General Assembly

Project Management Board / General Project Assembly/ Steering Board

=> Main decision-making body

Members: all project partners, chaired by the Coordinator

Main tasks:

- To review project implementation and progress of work
 - To approve the deliverables before submission to the EC
 - To share knowledge on project implementation and to provide suggestions for its further development based on the project outcomes, input from the ERP (optional)
 - To decide upon adaptations of the Annex I and consortium budget
 - In case an activity can not be implemented, making a priority list for the future possible activities and deciding on the option based on criteria of efficiency, feasibility, impact and relevance
 - To tackle problems, delays and resolve conflicts
-

Coordinator

- Responsible for overall project management
 - Intermediary between the project and EC
 - Monitors compliance of the partners with their obligations
 - Collects, reviews and submits information on the progress of the project, reports and other deliverables to the EC
 - Administers the financial contribution of the EC and fulfills financial tasks
 - Transmits on time documents and information connected with the project
 - Chairs the PMB meetings, proposes decisions and monitors the implementation of the project
-
- **Scientific Coordinator**
 - **Administrative and Financial Coordinator**
-

Work package Leaders

- responsible for the overall coordination of the WP, supervision of the tasks, activities, milestones as well as the related deliverables
 - preparing a draft periodic plans for the WP tasks to be approved at the PMB meetings
 - reporting to the coordinator and to PMB
 - organising communication within the respective WP and, together with the Coordinator and other WP Leaders, across WPs
 - presenting the WP conclusions, decisions, results and deliverables at external meetings
 - taking, in agreement with the Task Leaders, decisions at the WP level
 - analysing and documenting any Default of a party in relation to the own WP activities and preparing a respective proposal for an action plan to the Coordinator
-

Task Leaders

- responsible for the timely implementation of the activities in the task and the reporting to the WP Leader
 - are taking, in agreement with the concerned WP Leader, decisions at the task level
-

Deliverable Leaders

- responsible for the **timely and final write-up of the deliverables**
 - coordinate the work on the deliverable and report to the Task Leader, the WP Leader and the Coordinator
 - need to comply to the official deadlines for the submission of the deliverable for the Quality Assurance and to the European Commission
-

External Review panel (ERP) – optional body

Rational:

To establish the external review panel (e.g. 3 senior external experts) to monitor the quality of project deliverables and internal materials of the project.

ROLE:

Quality Assurance of the project deliverables and activities



02

PLANNING PHASE

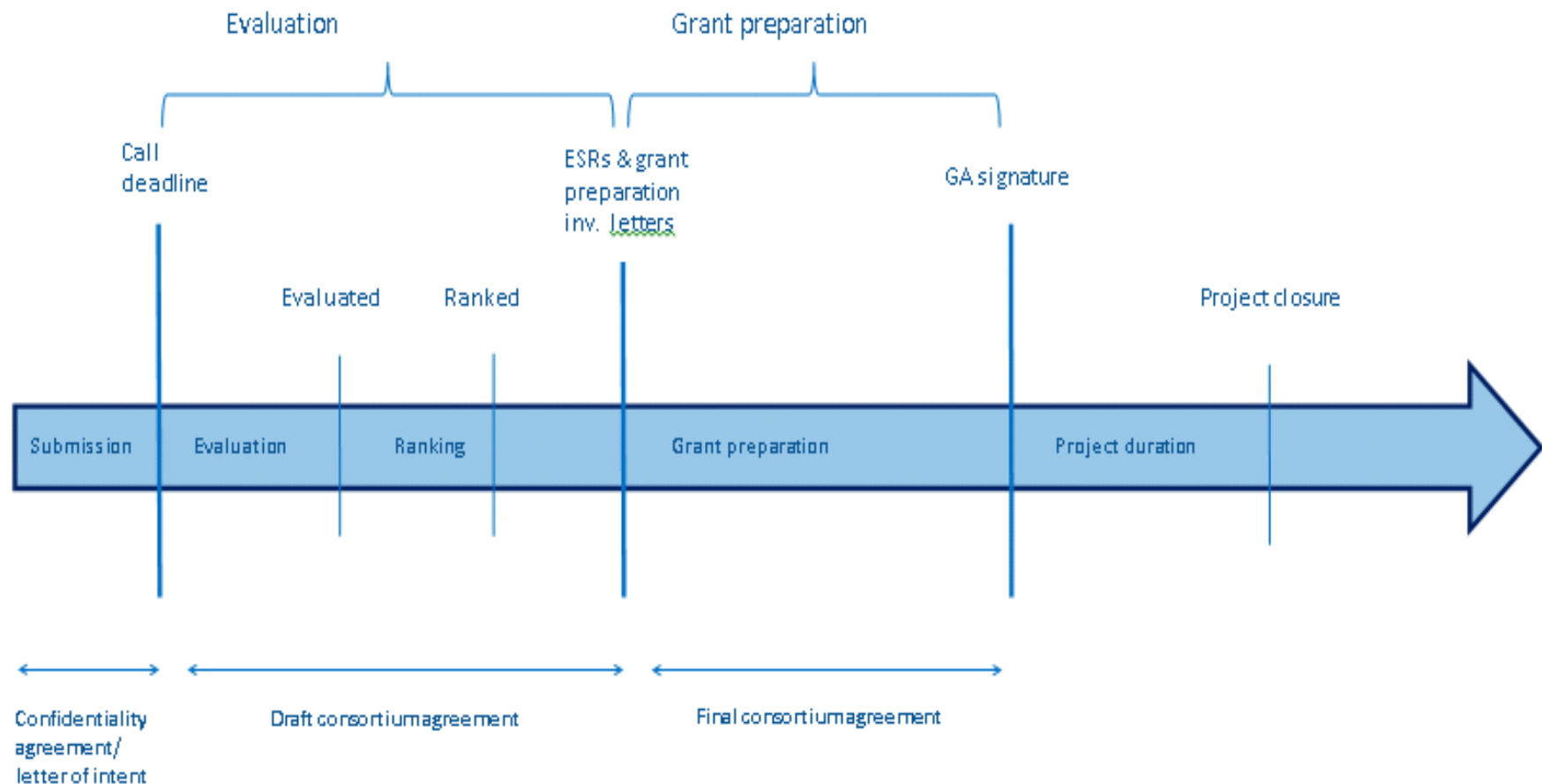
- **Grant Agreement**
- **Consortium Agreement**

Project Management Cycle in H2020 Projects

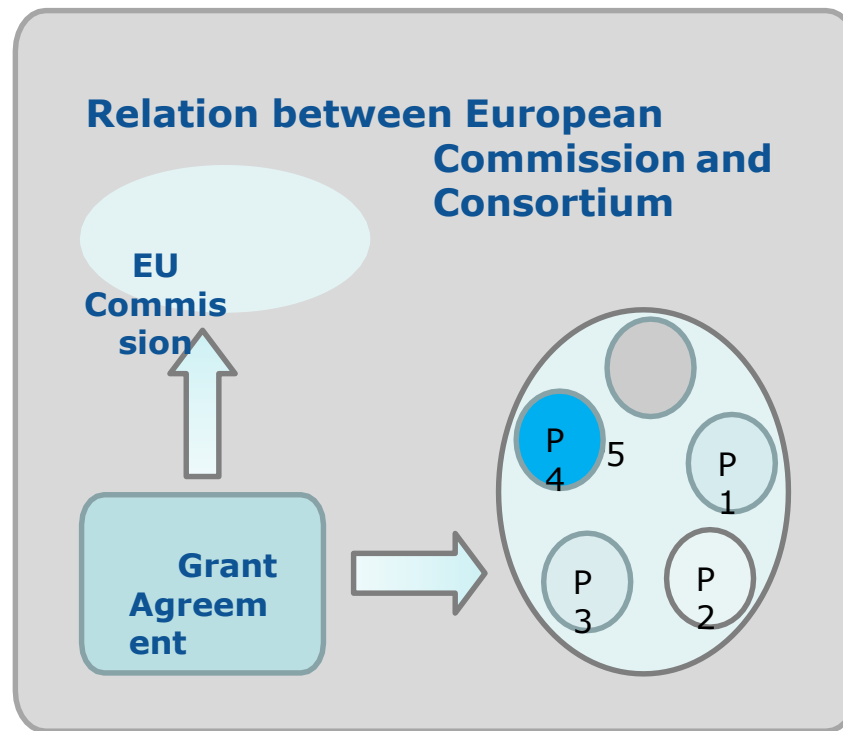


Overview: GA

Consortium agreement



1. Grant Agreement (GA)



Source: E

Grant Agreement Preparation Phase

The importance of Grant Agreement Preparation Phase

- ➡ gather legal, administrative and financial information from all prospective beneficiary (project participant);
- ➡ make sure the Description of the Action (DoA, Annex 1 to the grant agreement) and the Estimated budget for the action (Annex 2) match the proposal as well the ethics review report or/and the security scrutiny report;
- ➡ establish the key points of the grant agreement (when the project starts, reporting periods, amount of pre-financing, need for consortium agreement, and, if applicable, ethical issues, third parties linked to the beneficiaries, in-kind contributions provided by third parties, subcontracting);
- ➡ verify the financial capacity

Grant Agreement Preparation Phase

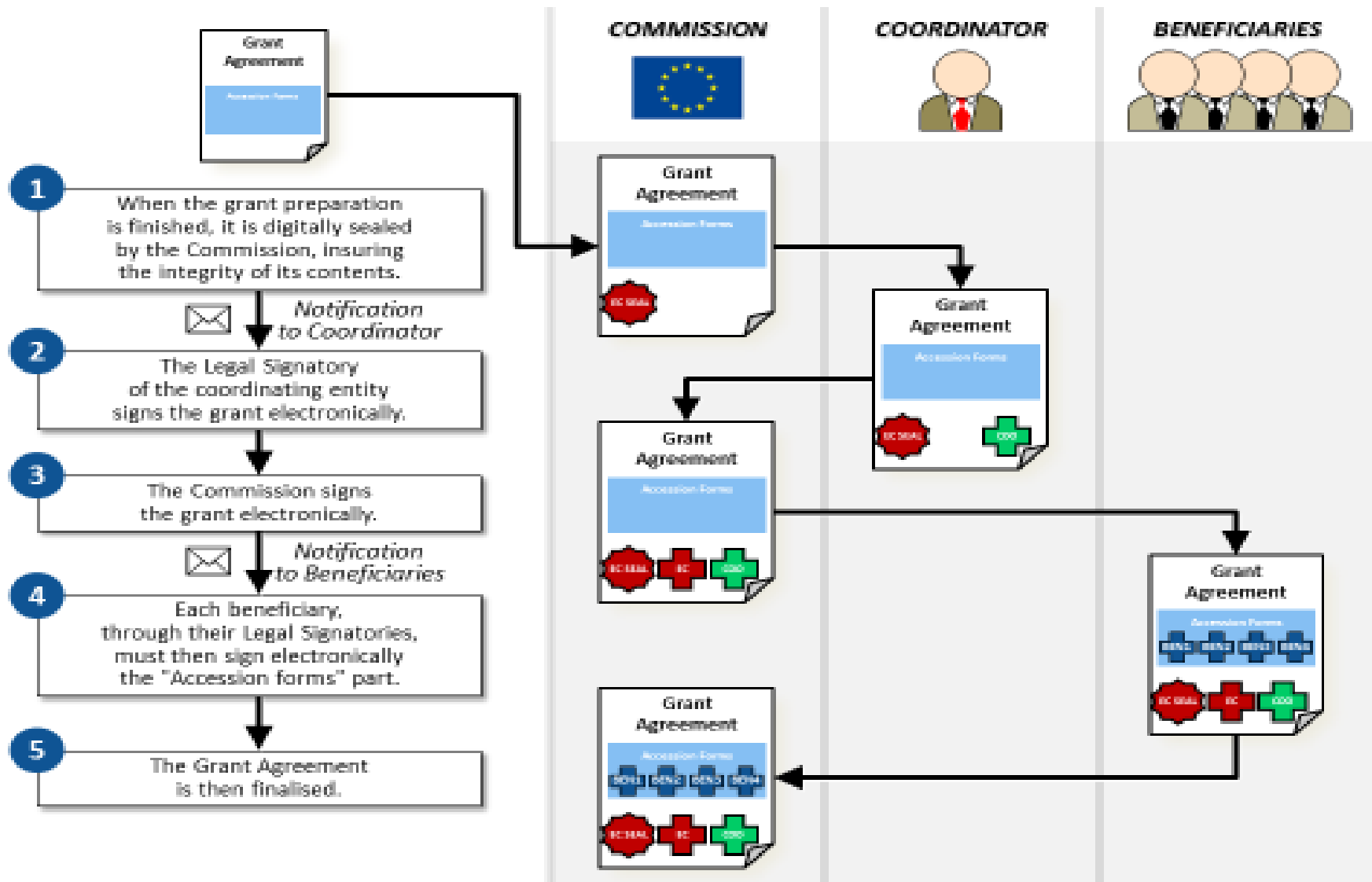
When a H2020 proposal is successful..

-The Coordinator of the consortium receives the 'Evaluation Summary Report' and the Letter/ Invitation for the grant preparation phase.

-An EC Project Officer is assigned to be responsible for the preparation phase

- **3 weeks after**: deadline for the submission of the grant agreement data, including annexes. The Coordinator needs to indicate changes/amendments, if any, in the future Description of the Action (Annex 1 of the future Grant Agreement) and justify the reason(s).
 - **5 weeks after**: Following the assessment of the submitted version of the grant agreement data (by the EC PO), Coordinator will have to submit the final version taking into consideration all requirements highlighted by the Project Officer.
 - **6 weeks after**: deadline for the electronic signature of the participants' declarations of honour.
 - **7 weeks after**: deadline for all consortium partners (LEAR) to electronically sign the grant agreement on behalf of their entity.
-

Grant Agreement Preparation Phase



Grant Agreement Preparation Phase

Remarks

- Failure to respect the deadlines indicated will be considered as a wish not to enter into, or continue with, the grant preparation and, therefore, to withdraw your proposal;
- The entire grant preparation process, including communication with the Commission and the subsequent signature of the Grant Agreement , shall be carried out EXCLUSIVELY through the Participants Portal Grant Management Service / EU Login (ex ECAS);
- Some information related to the legal and financial status of participants is read-only and may only be updated by the Legal Entity Appointed Representative (LEAR) of the concerned entity (E.g. Declaration of honour, signature of grant agreement)

✓ Further information: H2020 Online Manual on the Participant Portal

Grant Agreement Preparation Phase

Important “Roles” and Participant Portal User Rights for the Grant Agreement Preparation Phase;

- ✓ For the coordinating organisation:
 - - Primary coordinator contact (PCoCo)
 - - Legal entity appointed representative (LEAR)
 - - Project Legal signatory (PLSIGN)

 - ✓ For other beneficiaries:
 - - Participant contact (PaCo)
 - - Legal entity appointed representative (LEAR)
 - - Project Legal Signatory (PLSIGN)
-

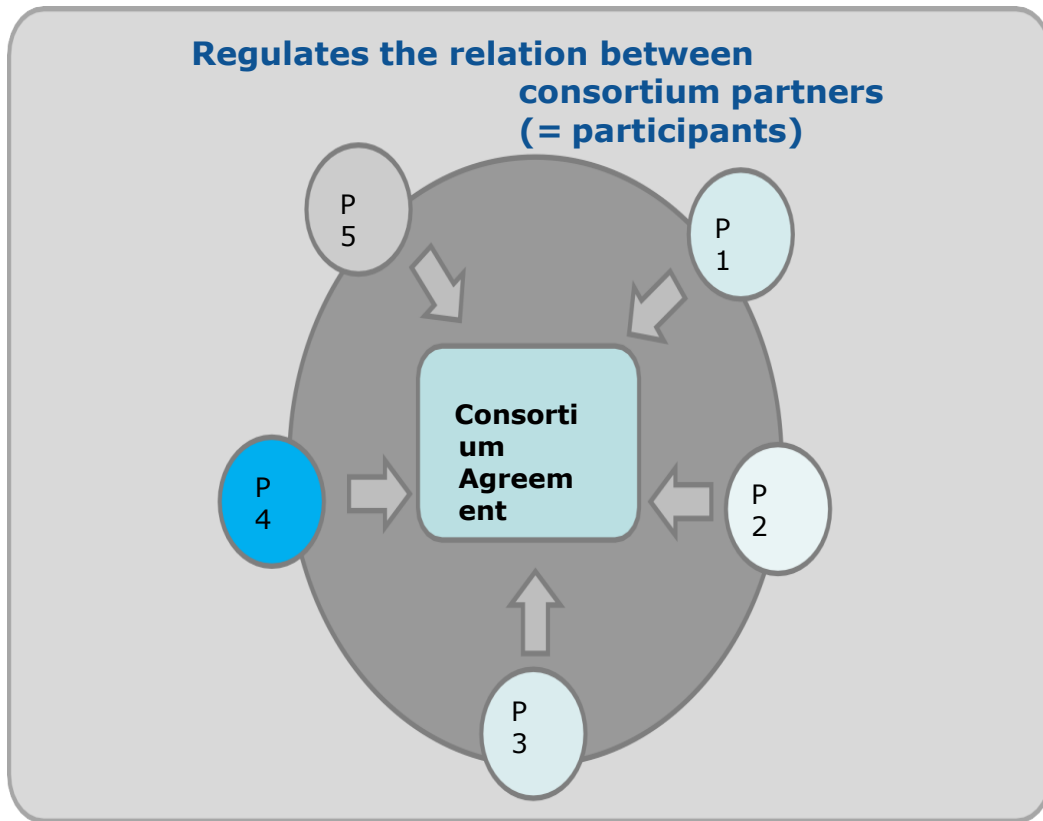
2. Consortium agreement

an agreement that project participants conclude between themselves for the implementation of the project in Horizon 2020.

CA allows the participants to determine the detailed administrative and management provisions necessary to carry out their project. Within this agreement, parties also outline the rights and responsibilities of each member of the consortium concerning intellectual property. This agreement cannot contradict or negate the provisions established by the Grant Agreement or the Rules for Participation.



Consortium Agreement (CA)



No binding template

But several models exist !

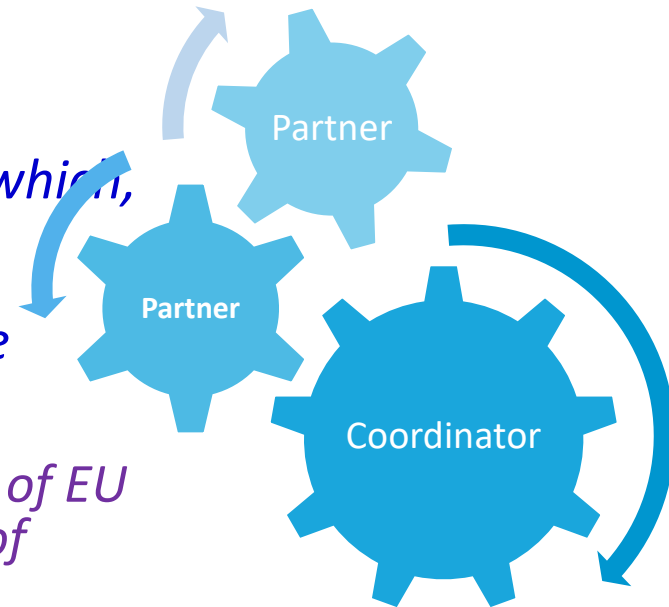
So far:
DESCA
EUCAR
MCARD

➤ Characteristics

- *It is a private agreement between the beneficiaries and does not involve the EC (which, however, provides guidance).*
- *Deals with the rights and obligations of the beneficiaries amongst themselves.*

Examples: internal organisation, distribution of EU funding, additional rules on IPR, settlement of disputes, etc.

- *In principle to be concluded before signing the Grant Agreement*



What should the CA include?

- Designation of the parties (beneficiaries)
- Preamble (context and purpose, identify the project clearly)
- Definitions (do not repeat nor deviate from those included in the GA and RfP!)
- Subject (description of the work to be done – this may refer to the description of the action)
- Technical provisions (project schedule, etc. if relevant in the CA - do not forget provisions addressing any substantial changes in the work foreseen!)
- Managerial provisions (management bodies and respective tasks, decision-making processes)
- Financial provisions complementing those already included in the GA (payments, costs, changes to financial plans)
- **Provisions on IPR, exploitation and dissemination.** These must be flexible and support both the cooperation between the parties and a sound implementation of the project, while encouraging protection, exploitation and dissemination.
- General provisions (entry into force, duration and termination, amendment procedure, **confidentiality**, breach and liability, survival, law and jurisdiction, signatures...)

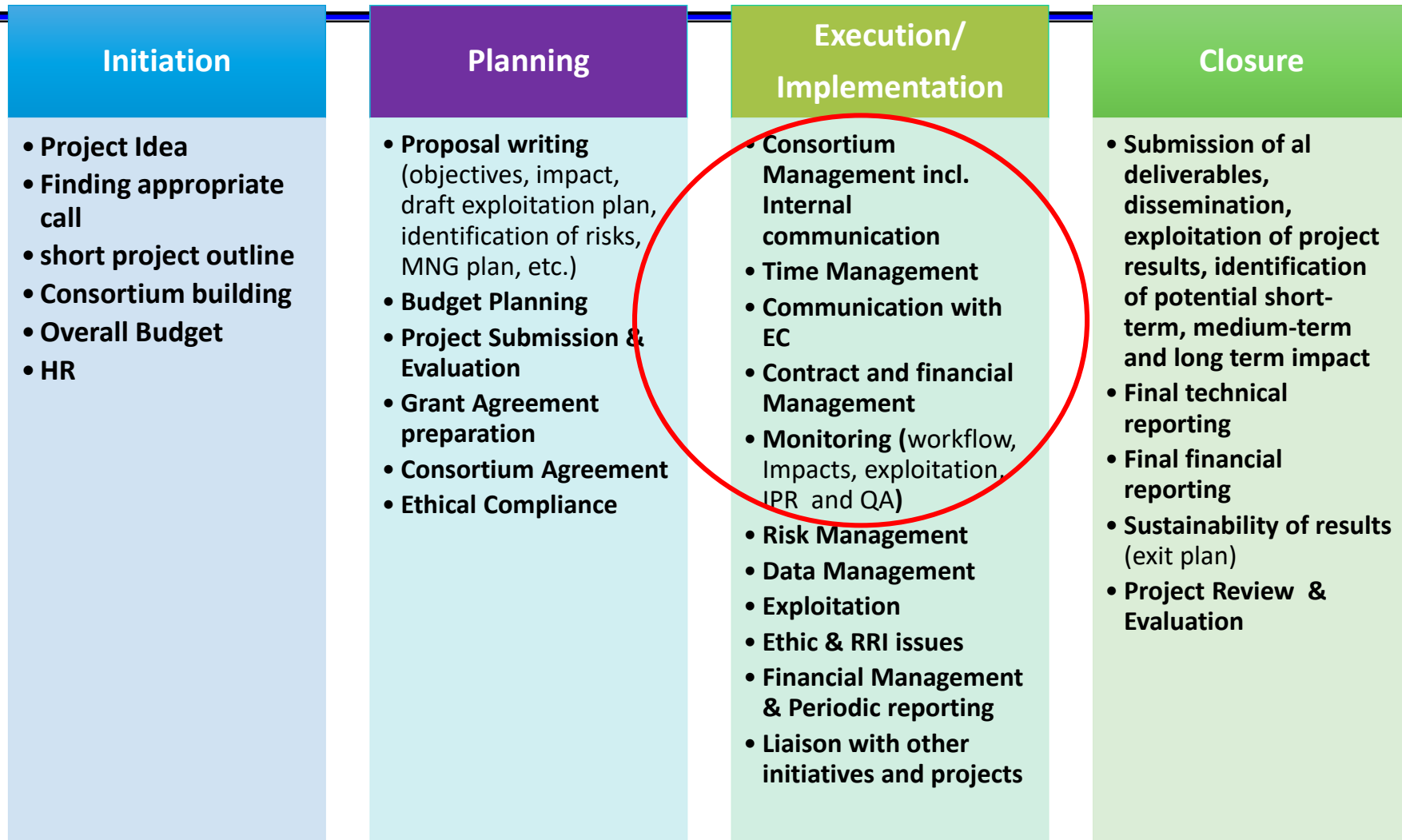


03

A) EXECUTION/ IMPLEMENTATION

- **Consortium Management**
- **Time Management**
- **Contract and financial management incl. reporting**
- **Project Monitoring**
- **Examples of MNG Tools**

Project Management Cycle in H2020 Projects



1. Consortium management

includes the provision of **regular management updates** (internal communication) and the **organisation of consortium web conferences** (every 3-4 months; using GoToMeeting), the **project knowledge management** (making use of the website and cloud-services) and the **organisation of General Assemblies and HR**.

Time management

To ensure that the tasks start and finish according to the project work plan and that the project deliverables are submitted to EC in due time.

=> All the projects activities needs to be carefully planned already in the proposal stage!

EXAPLE

WP/Task		Year 1												Year 2												Year 3												
	LEAD	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	
WP1	ZSI																		D1.5																		D1.4, D1.5	
T1.1	ZSI			D1.2															D1.5																		D1.1	
T1.2	ZSI																		D1.3																			
T1.3	ZSI																																					
T1.4	ZSI																																					
2	UB																																					
T2.1	UB			D2.1																																		
T2.2	Nesta									D2.2																				D2.2								
T2.3	TUM											D2.4												D2.4													D2.4	
T2.4	UB					D2.3													D2.3					D2.5						D2.3								
WP3	TUM																																					
T3.1	TUM																							D3.1														
T3.2	TUM											D3.2												D3.2													D3.2	
T3.3	UNI Graz											D3.3												D3.3														
T3.4	TUM																							D3.4													D3.4	
T3.5	ISAS CR																							D3.5														
WP4	ZSI																																					
T4.1	ZSI					D4.1																																
T4.2	ZSI																								D4.2													D4.3
T4.3	ZSI																		D4.4											D4.4								
WP5	ISAS CR																																					
T5.1	ISAS CR																		D5.5																		D5.5	
T5.2	OKF					D5.2																															D5.2	
T5.3	UB																		D5.3																		D5.3	
T5.4	CENIT																													D5.4							D5.1	
WP6	Ecsite																																					
T6.1	Ecsite			D6.1																																		
T6.2	Ecsite					D6.2																																
T6.3	Ecsite																																					D6.3
T6.4	Ecsite																																					D6.4, D6.5,D6.5 1, D6.5.2, D6.5.3
						M1				M2			M3						M4						M5											M6		M7

3. Contract and financial management incl. Periodic Reporting to EC

- This activity includes **contractual and financial management of the project**, including monitoring of the implementation and controlling of the budget planned and its modifications.
 - Based on detailed budget planning any modifications needs to be duly recorded and adapted as needed.
-

4. Project Monitoring

Includes monitoring of:

- Workflow
 - Impacts
 - Exploitation
 - IPR issues related to the project
 - RRI issues
 - Quality Assurance (QA) of project results and outputs
-

Work Package/Task Management

- ❑ Each **Work Package** aims to implement one or more of the project's objectives.

Work Package Description should include;

- information on the methodology for the implementation of activities;
- quantified information in order to monitor the progress;
- enough detail to justify the proposed resources to be allocated;
- resources should be in line with their objectives and deliverables;

The number of work packages should be proportionate to the scale and complexity of the project.

- ❑ **Task Leader** is responsible for the implementation of the activities within the Task and almost always for the timely preparation of the Deliverable (Deliverable Leader).
- ❑ **Deliverables** are the outputs to be produced under a certain Project's activity.
- ❑ **Milestones** are actions in the project during which important decisions are made.
- ❑ **Dissemination** (sharing research results with potential users - peers in the research field, industry, other commercial players and policymakers) and **exploitation** (using results for commercial purposes or in public policymaking).

Financial/Resources Management

Keeping records

Beneficiaries must keep records and other supporting documents in order to prove *the proper implementation* of the Project.

a. Administrative Records

- ✓ Consortium agreement (and amendments)
- ✓ Grant agreement (and amendments)

b. Scientific Records

- ✓ Progress reports
- ✓ Records of meetings (Agendas, LoP)

c. Financial Records

Direct costs are directly linked to the activities in the project, such as;

1. Personnel costs (Time sheets)
2. Travel costs (Tickets/ Hotel invoices/ Boarding Pass/ Invitation Letter/ Agenda)
3. Equipment (Depreciation)
4. Subcontracting (major/minor)

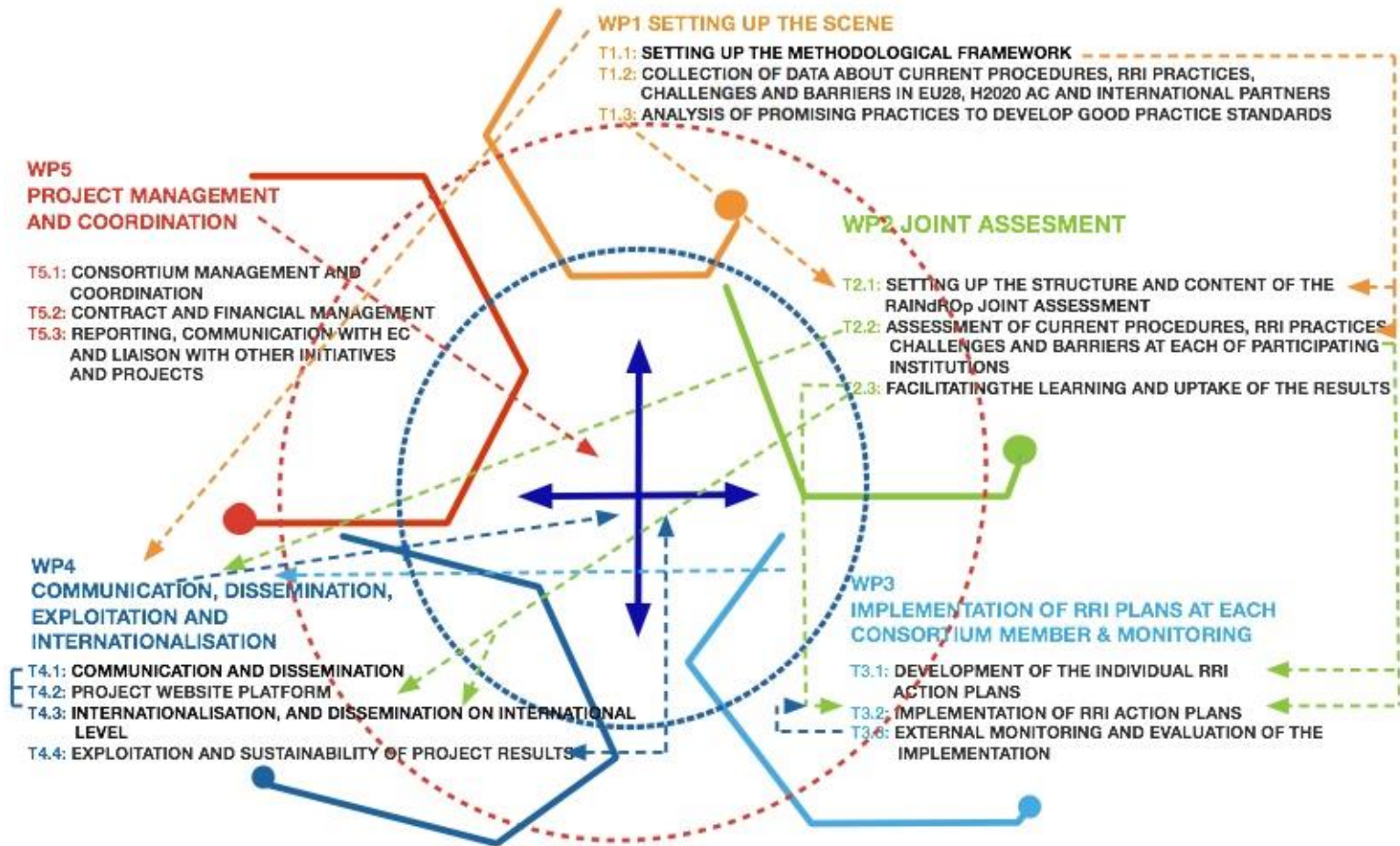
Indirect costs (or Overhead) cannot directly linked to the activities in the project, such as;

1. Photocopies
2. Phone bills, heating, electricity etc.

PERT Chart

- used to schedule, organize, and coordinate tasks within a project
 - illustration of dependencies
-

Some other examples



5. online management TOOLS - examples

- **Paid tools**
- **Free tools**

The decision to use online tools depends on your preferences!



Microsoft



ETC...

TRELLO – FREE TOOL - Example

The screenshot displays a Trello workspace titled "Branding/Design Projects" by user Sisarina. The interface features a top navigation bar with the Trello logo, search, and user profile icons, along with "Notifications" and "Boards" links. The workspace contains several boards, each representing a different design project:

- Brochure Board:** Includes cards for "Initial Brochure" (1 card, Jan 13), "Brochure 1st Rev", "Brochure 2nd Rev", "Brochure Client Approval", and "Brochure Final Files".
- Business Card Board:** Includes cards for "Business Card 1st Rev" (4 cards), "Business Card 2nd Rev", and "Business Card Final".
- Letterhead Board:** Includes cards for "Letterhead (1) Initial", "Letterhead 1st Revisions", "Letterhead 2nd Revisions", and "Letterhead Final (Word)".
- Website Design Board:** Includes cards for "Website Design (see Web Design)" and "Website Design (see Web Design)".

Each board has an "Add card" button at the bottom. The right sidebar provides additional functionality:

- Members:** A list of team members with avatars and initials (F2, GK, JS).
- Board:** Options to view the "Board Profile", "Add List", "Filter Cards", and "View Archived Items".
- Activity:** A log of recent actions, such as "left Business Card (1) Initial" (an hour ago) and "Business Card (1) Initial" (added by Melanie Spring, an hour ago).

Financial MNG Tool - Example

B3											
A	B	C	D	E	F	G	H	I	J	K	L
	Name of your organisation:			planned (without indirect costs)	reported 1st official reporting period	indirect costs 1st official reporting period	reported 2nd official reporting period	indirect cost 2nd official reporting period	overall budget spent (without indirect costs)	remaining amount of PC as of now (without indirect costs)	
Personnel costs											
WP 1 International Knowledge exchange to support the integration of Ukraine into ERA				16,012.50	60.00	15.00	0.00	0.00	60.00	15,952.50	
WP 2 Widening, promoting and encouraging Ukrainian participation in Horizon 2020				2,100.00	30.00	7.50	0.00	0.00	30.00	2,070.00	
WP 3 Governance of Ukrainian participation in Horizon 2020				6,825.00	30.00	7.50	0.00	0.00	30.00	6,795.00	
WP 4 Innovation Support				1,050.00	0.00	0.00	0.00	0.00	0.00	1,050.00	
WP 5 Dissemination, Exploitation and Quality Assurance				4,200.00	0.00	0.00	0.00	0.00	0.00	4,200.00	
WP 6 Project Management and Coordination				525.00	0.00	0.00	0.00	0.00	0.00	525.00	
SUM				30,712.50	120.00	30.00	0.00	0.00	120.00	30,592.50	
Other costs											
WP 1 International Knowledge exchange to support the integration of Ukraine into ERA				0.00	50.00	12.50	0.00	0.00	50.00	-50.00	
WP 2 Widening, promoting and encouraging Ukrainian participation in Horizon 2020				0.00	0.00	0.00	0.00	0.00	0.00	0.00	
WP 3 Governance of Ukrainian participation in Horizon 2020				300.00	0.00	0.00	0.00	0.00	0.00	300.00	

Overview

Personnel costs period1

Personnel costs period2

Other costs period1

Other costs period2

[illegible]

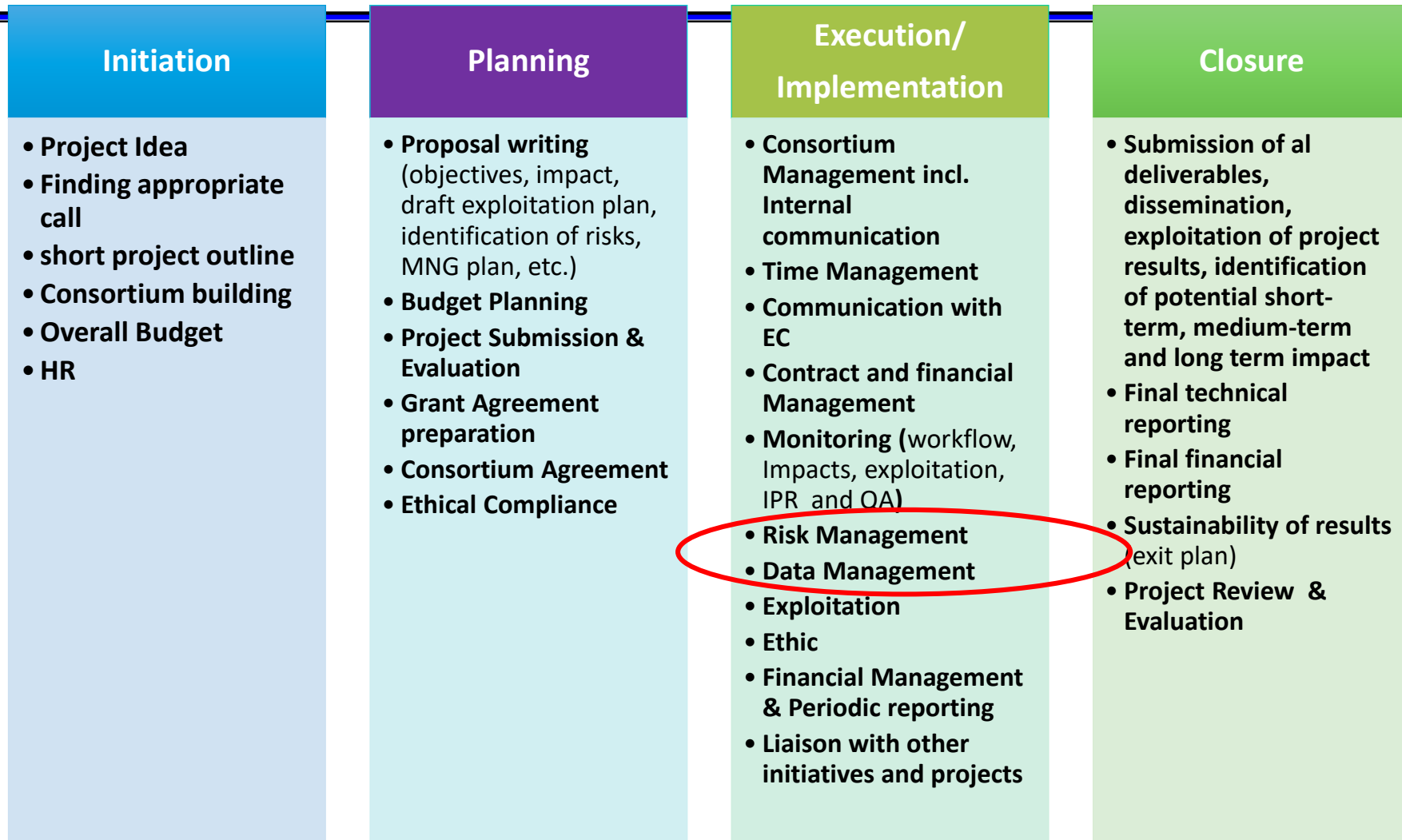


04

B) EXECUTION/ IMPLEMENTATION

- **Risk mitigation & Conflict Management**
- **Data management/ Data Management Plans**

Project Management Cycle in H2020 Projects



1. Risk mitigation and conflict management

- In a project lifetime it can be anticipated that **issues arise which could put both the quality and timing of content at risk.**
 - **Risks and potential solutions needs to be identified** as early as possible to ensure successful and timely completion of the project.
 - In the event of **deviations from the project's work plan**, the Commission needs to be informed by the Project Manager without delay. As part of the internal communication activities, the Coordinator is responsible for risk and conflict management.
-

RISK MANAGAMENT - IMPLEMENTATION

OBJECTIVE:

to mitigate any risk that could potentially harm project's products and values.

Project Manager (RISK MANAGER):

- *defines the process and techniques for the evaluation and control of potential risks, focusing on their precautionary diagnosis and handling.*

RISK ANALYSIS	RISK MANAGAMENT
<ul style="list-style-type: none">• Identification of a risk• Assessment of its importance and the evaluation of whether the risk level is higher than the risk that could be accepted for the project.• In case a risk exceeds the acceptable levels, a risk analysis activity is instantiated that defines the required actions in order to set the risk within acceptable levels	<ul style="list-style-type: none">• Involves the planning of the required activities to handle the risk, the re-distribution of resources, the evaluation of the results, as well as ensuring the stability of the new status

IDENTIFICATION OF RISKS:

Description of risk	Level of likelihood	WPs involved	Proposed measures	risk	mitigation
---------------------	---------------------	--------------	-------------------	------	------------



2. DATA MANAGEMENT PLANNING (DMP)

Data management planning is the process of **planning, describing and communicating the activities carried out during the research lifecycle** in order to:

- *Keep sensitive data safe*
- *Maximise data's reuse potential*
- *Support longer-term preservation*

Research funders (and other bodies) often ask for a short statement/plan to be submitted alongside grant applications. In general, they want to know:

- ✓ *What kinds of data will be created, and how*
- ✓ *How will the data be documented and described?*
- ✓ *Are there ethical or Intellectual Property issues?*
- ✓ *What are the arrangements for data sharing and reuse?*
- ✓ *What is the strategy for longer-term preservation?*

Source: Foster project

Data Management Plans

A DMP is a brief plan to define:

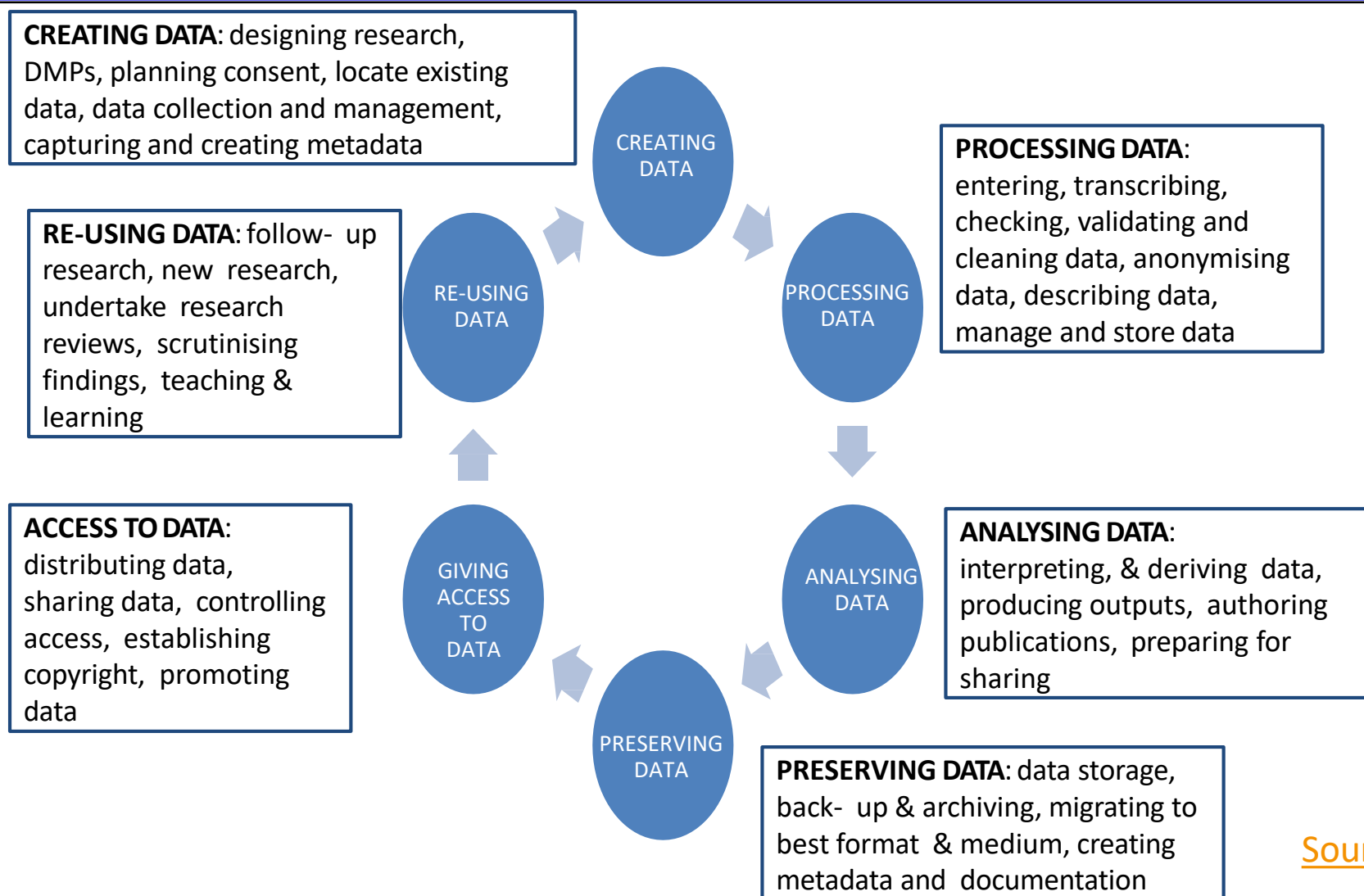
- how the data will be created
- how it will be documented
- who will be able to access it
- where it will be stored
- who will back it up
- whether (and how) it will be shared & preserved

DMPs are often submitted as part of grant applications, but are useful whenever researchers are creating data.

Source:



Research data lifecycle



Elements of a Data Management Plan

Data set reference and name	Identifier for the data set to be produced.
Data set description	Description of the data that will be generated or collected, its origin (in case it is collected), nature and scale and to whom it could be useful, and whether it underpins a scientific publication. Information on the existence (or not) of similar data and the possibilities for integration and reuse.
Standards and metadata	Reference to existing suitable standards of the discipline. If these do not exist, an outline on how and what metadata will be created.
Data sharing	Description of how data will be shared, including access procedures, embargo periods (if any), outlines of technical mechanisms for dissemination and necessary software and other tools for enabling re-use, and definition of whether access will be widely open or restricted to specific groups. Identification of the repository where data will be stored, if already existing and identified, indicating in particular the type of repository (institutional, standard repository for the discipline, etc.). In case the dataset cannot be shared, the reasons for this should be mentioned (e.g. ethical, rules of personal data, intellectual property, commercial, privacy-related, security- related).
Archiving and preservation	Description of the procedures that will be put in place for long- term preservation of the data. Indication of how long the data should be preserved, what is its approximated end volume, what the associated costs are and how these are planned to be covered.

?

Source:



Timing the DMP

- Note that the Commission does NOT require applicants to submit a DMP at the proposal stage (see next slide).
- A DMP is therefore NOT part of the evaluation.
- DMPs are a deliverable for those in the pilot (due by month 6).
- Note that the Commission requires updates. A DMP is a living or “active” document.

Source:



Proposal phase

Where relevant*, H2020 proposals can include a section on data management which is evaluated under the criterion 'Impact'.

- What types of data will the project generate/collect?
- What standards will be applied?
- How will this data be exploited &/or shared/made accessible for verification and reuse?
 - If data cannot be made available, why not?
- How will this data be curated and preserved?

Your data management policy should reflect the current state of consortium agreements on RDM.

* For “Research and Innovation actions” and “Innovation Actions

http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-data-mgt_en.pdf

Initial DMP (at 6 months)

The DMP should address the points below on a dataset by dataset basis:

- Dataset reference and name
- Data set description
- Standards and metadata
- Data sharing
- Archiving and preservation (including storage and backup)

See Annex 1 at:

[http://ec.europa.eu/research/participants/data/ref/h2020/
grants_manual/hi/oa
_pilot/h2020-hi-oa-data-mgt_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-data-mgt_en.pdf)

Scientific research data should be easily (DTP –month 6):

1. Discoverable

Are the data discoverable and identifiable by a standard mechanism e.g. DOIs?

2. Accessible

Are the data accessible and under what conditions e.g. licenses, embargoes?

3. Assessable and intelligible

Are the data and software assessable and intelligible to third parties for peer-review? E.g. can judgements be made about their reliability and the competence of those who created them?

4. Useable beyond the original purpose for which it was collected

Are the data properly curated and stored together with the minimum software and documentation to be useful by third parties in the long-term?

5. Interoperable to specific quality standards

Are the data and software interoperable, allowing data exchange? E.g. were common formats and standards for metadata used?

See Annex 2 at:

http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-data-mgt_en.pdf

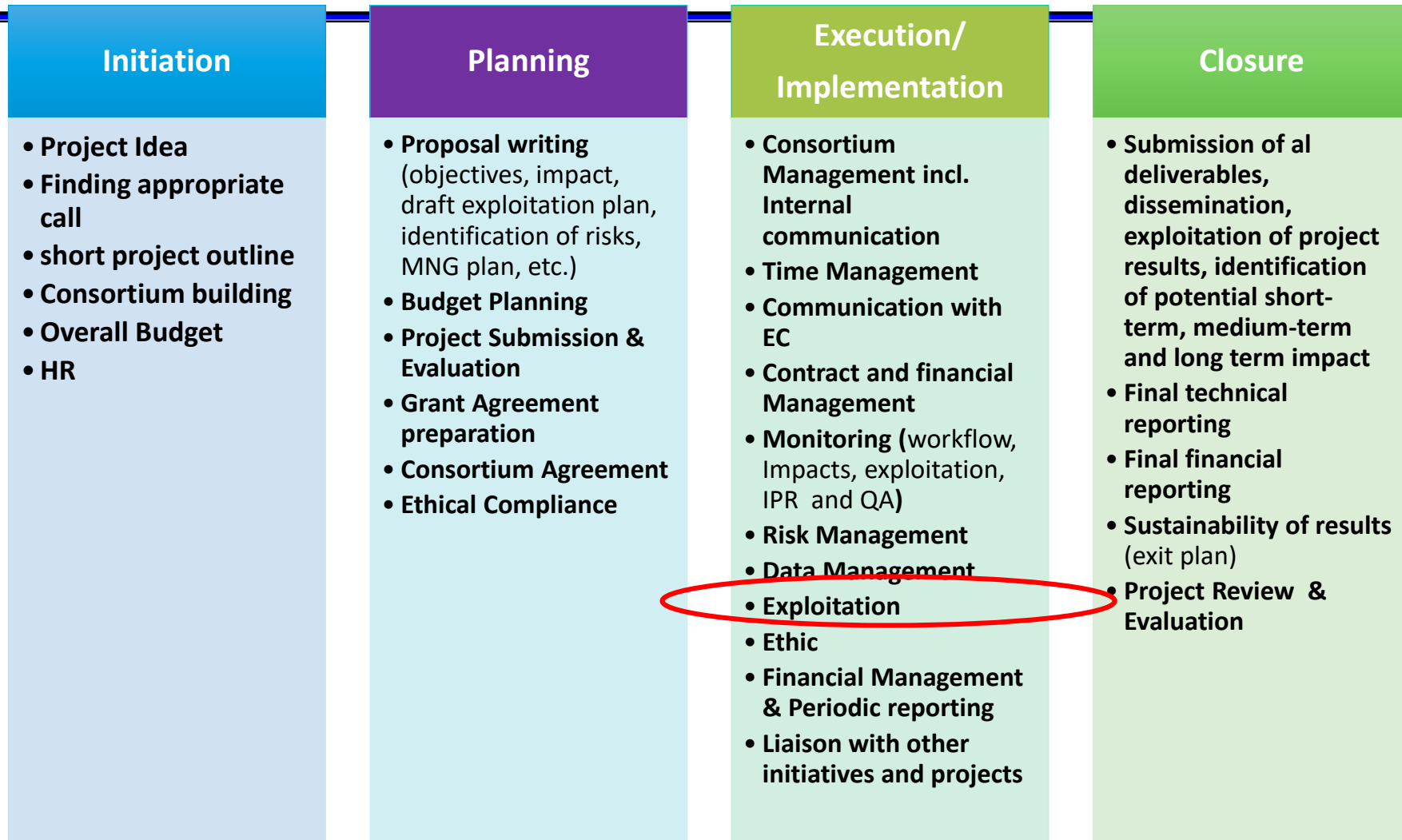


05

C) EXECUTION/ IMPLEMENTATION

- **Exploitation**

Project Management Cycle in H2020 Projects



1. Exploitation in H2020 funded projects

H2020 funded projects are obliged (GA) to exploit and impact the market:

"The dissemination and transfer of knowledge is a key added value of European research actions, and measures shall be taken to increase the use of results by the research community, industry, policy makers and society"

Rules for Participation

Article 43 - Exploitation and dissemination of results

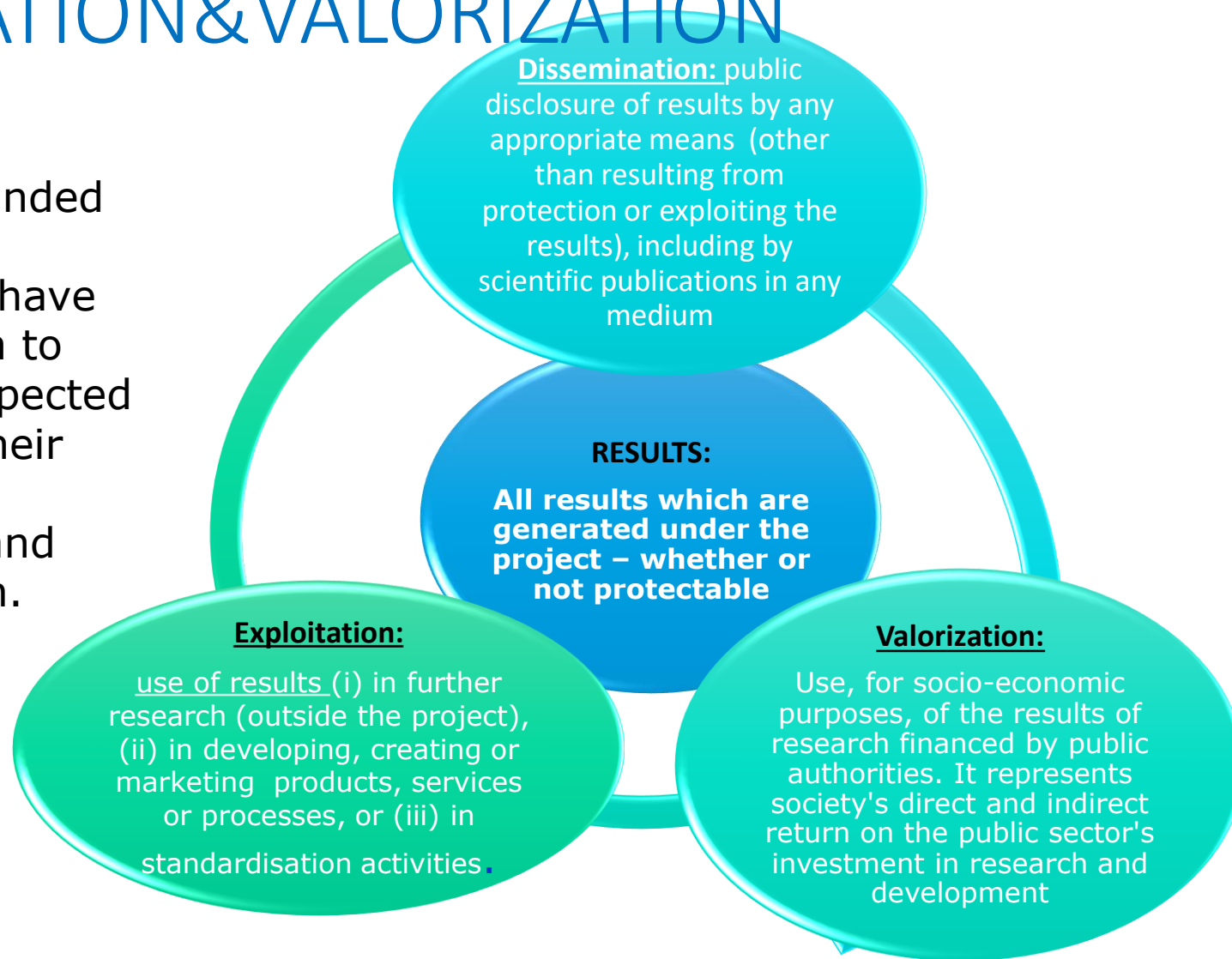
"Each participant that has received Union funding shall use its best efforts to exploit the results it owns, or to have them exploited by another legal entity, in particular through the transfer and licensing of results in accordance with Article 44."

Rules for participation and dissemination in "Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020) - TITLE III - RULES GOVERNING THE EXPLOITATION AND DISSEMINATION OF RESULTS

DISSEMINATION- EXPLOITATION&VALORIZATION

In projects funded under H2020 beneficiaries have the obligation to define the expected results and their strategy for exploitation and dissemination.

Key terms:



PROJECT OUCOMES:

The first key element in exploitation is to have a **clear description of all project outcomes**, products, services and knowledge generated within the project, that could potentially be exploited:

- ☐ Products
- ☐ Services
- ☐ Prototypes
- ☐ Guidelines
- ☐ Software
- ☐ Methodology....

Source: EC and Haivisio

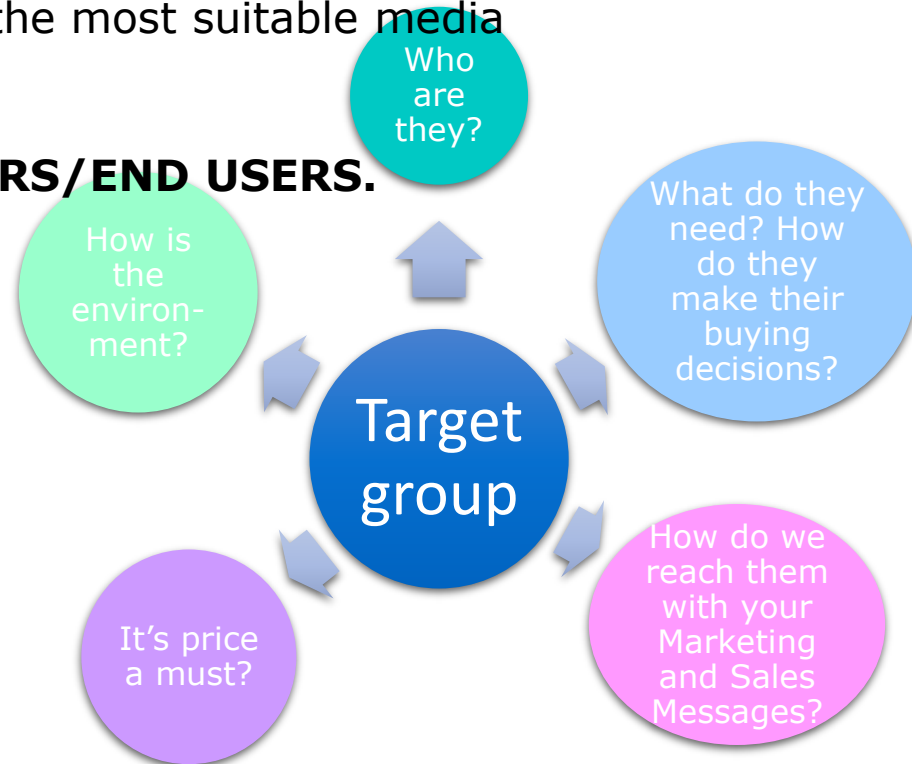
MARKET ANALYSIS

THE CONCEPT

Market Analysis is an essential aspect on Exploitation. Exploitation needs a market, a buyer of our product/service/technology

Market Analysis helps to identify which is our market and which are the most suitable media to reach it.

MARKET = CUSTOMERS/END USERS.



Source: EC and Haivisio

INTELLECTUAL PROPERTY ISSUES

Intellectual Property Rights are usually included in the Consortium Agreement of the project, which clarifies the relationship among the project partners.

It is always advisable to **clarify the ownership of results** within the consortium once they have been created, **before the partners start setting up exploitation strategies!**

Source: EC

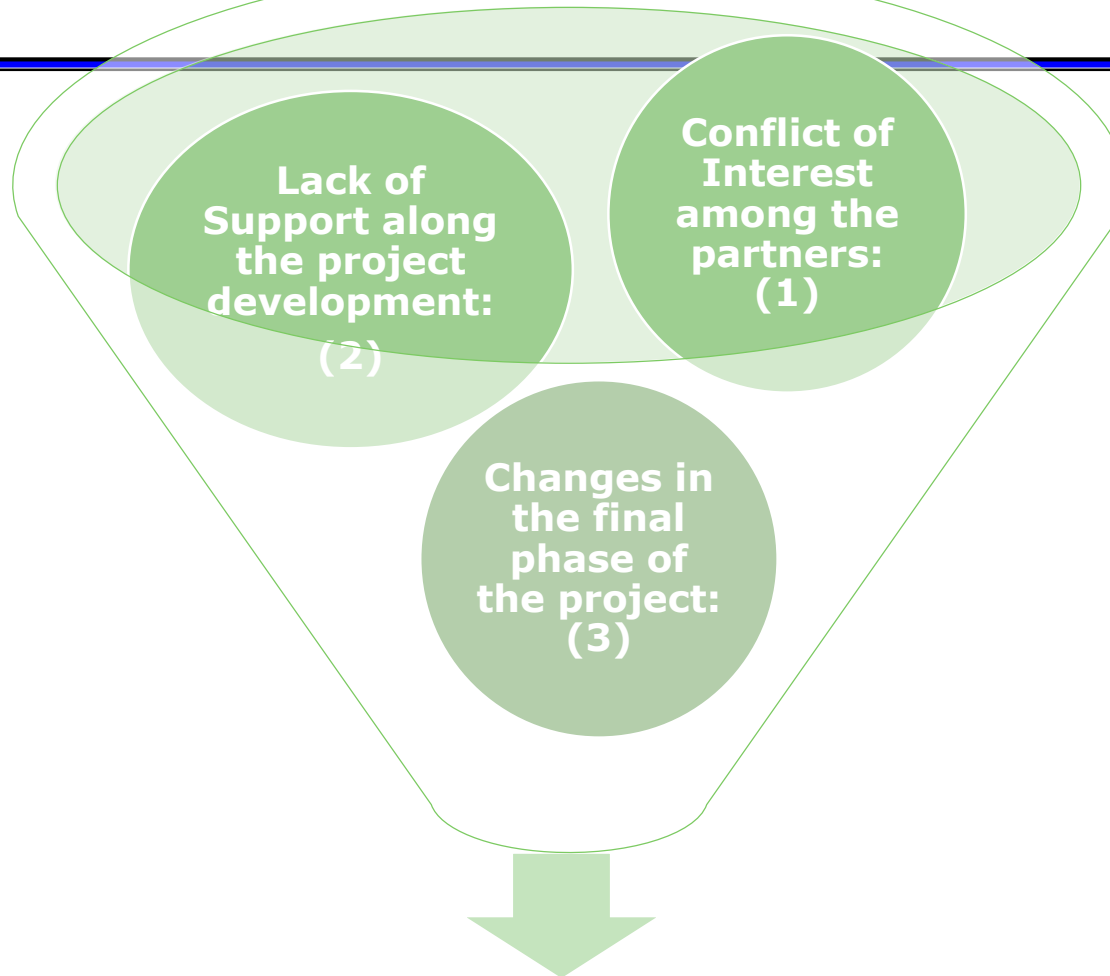
IP MANAGAMENT

- Which knowledge are we exchanging?
- Under which conditions?
- Who will be the owner of the results?
- What happens in cases of joint ownership?
- Who and how will exploit the results?
- How are we protecting confidential information?
- How are we going to share the revenues?

IPR	TYPE OF OUTCOME
Patent	New inventions
Utility model	New inventions
Trade Marks	Distinctive signs
Industrial Design	Appearance of products
Copyright	Literary, artistic and scientific works
Confidentiality	Confidential business information/trade secrets

Source: Ramocki, J., "Intellectual Property in Horizon 2020 – overview with a focus on comparison with FP7", European IPR Helpdesk Bulletin, N°11, October - December 2013:
http://www.iprhelphdesk.eu/sites/default/files/newsdocuments/IPR_Bulletin_No11-1.pdf

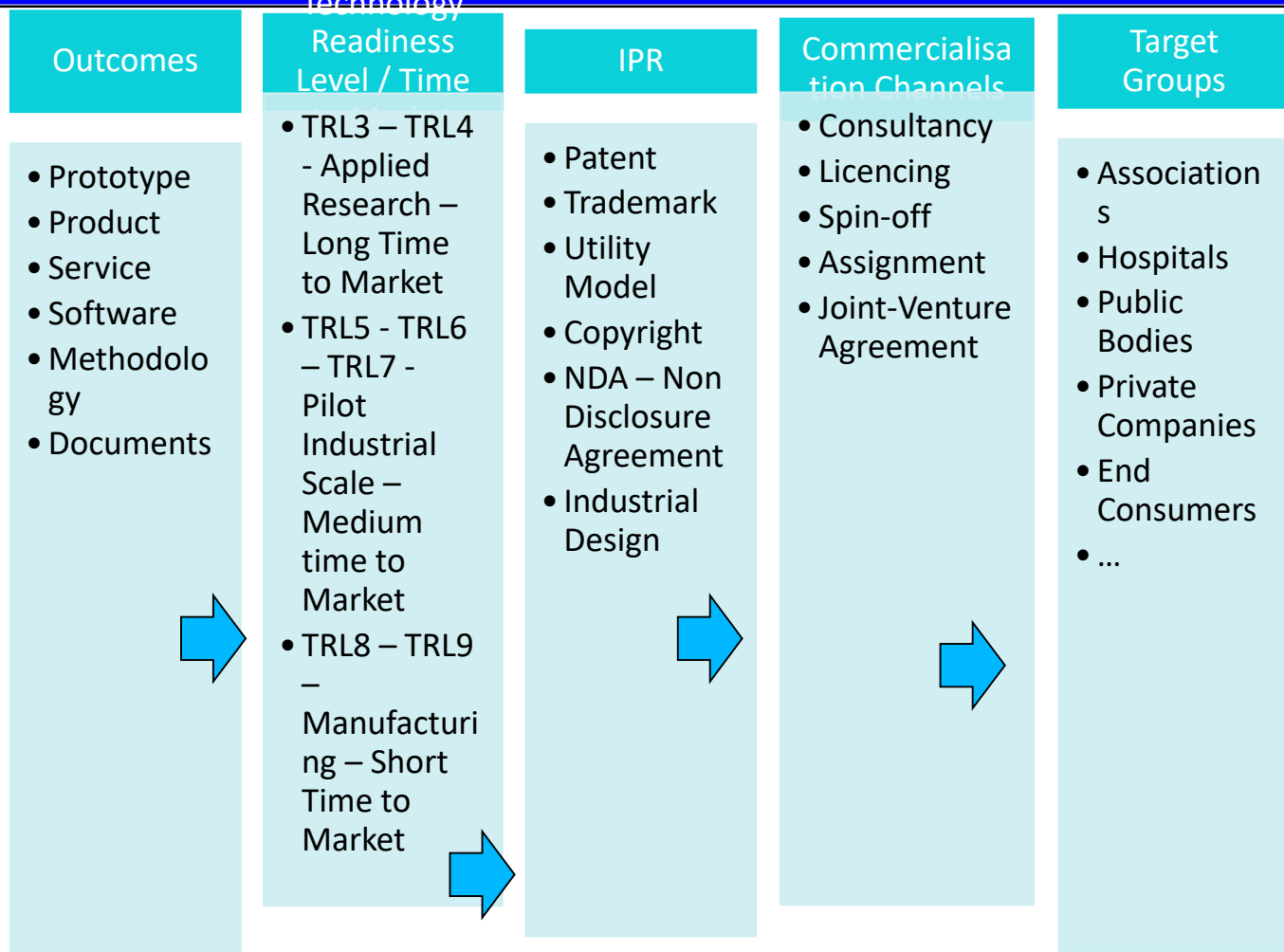
INTELLECTUAL PROPERTY ISSUES - RISKS



The Consortitum Agreement is the best way to prevent these type of Risks. It stablishes conditions concerning IP and way-out rules

THE EXPLOITATION PLAN

SUMMARY





06

D) EXECUTION/ IMPLEMENTATION

- **CROSS- CUTTING ISSUES**
 - **Ethical Issues**
 - **RESPONSIBLE RESEARCH AND
INNOVATION**

International
cooperation

Social Sciences
& Humanities

Open access &
Data management

Climate action &
Sustainable development

Ethics

Gender

SMEs

ERA-NETs

Links to regional policy

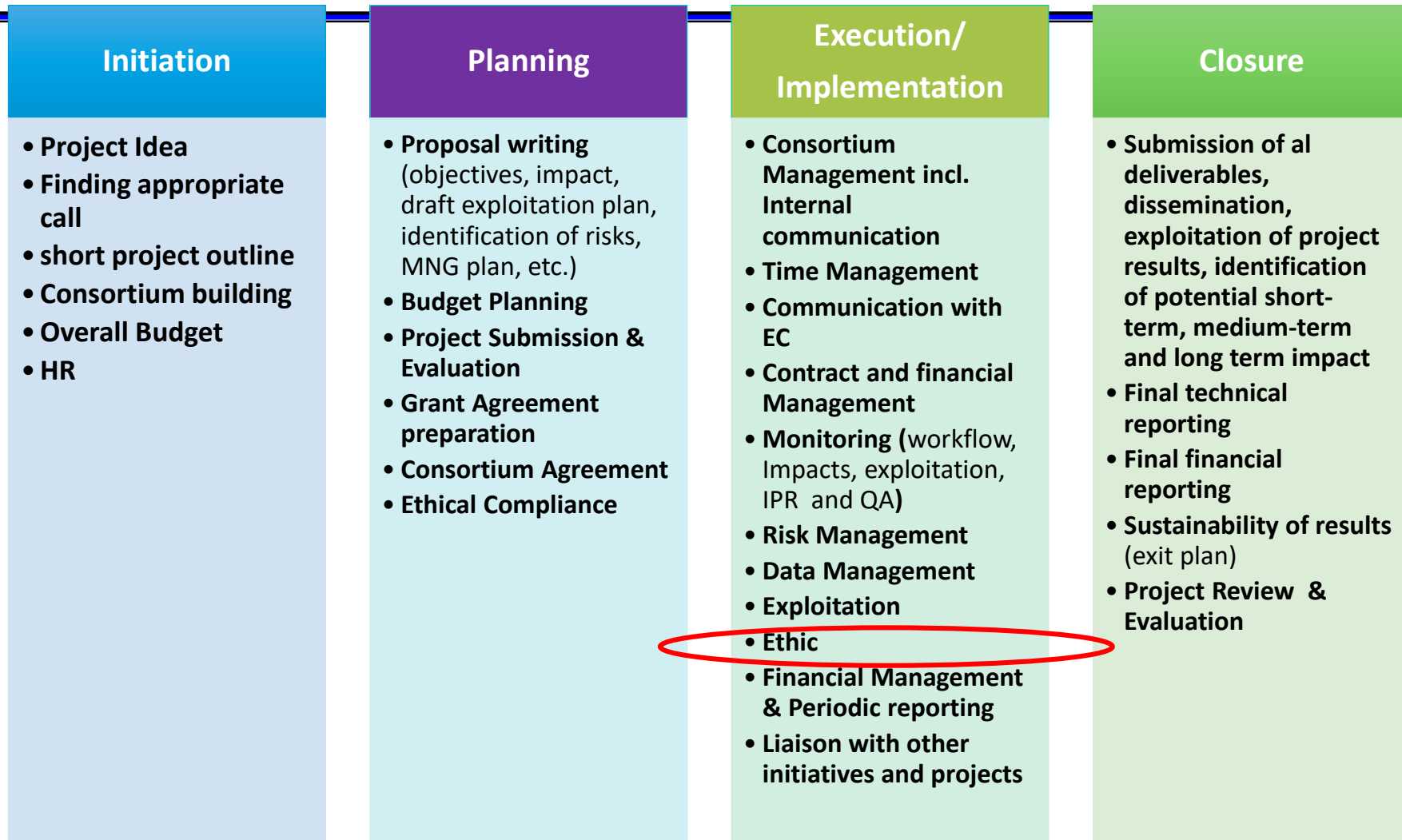
Intellectual property

Innovation procurement

Cross-cutting issues

- [International cooperation](#)
- [Social Sciences & Humanities](#)
- [Open access & Data management](#)
- [Climate action & Sustainable development](#)
- [Ethics](#)
- [Gender](#)
- [SMEs](#)
- [ERA-NETs](#)
- [Links to regional policy](#)
- [Intellectual property](#)
- [Innovation procurement](#)

Project Management Cycle in H2020 Projects

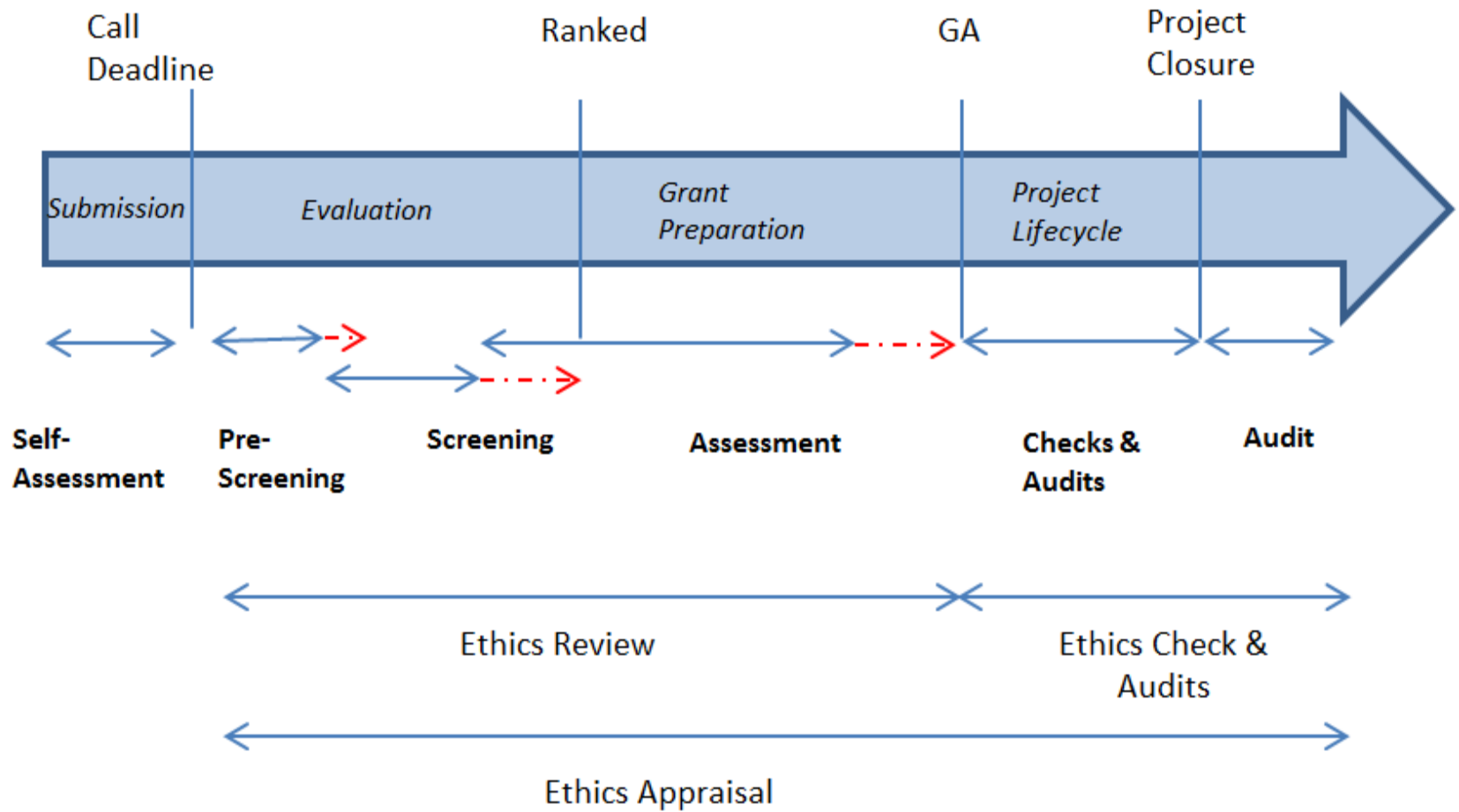


Ethics Appraisal

The Ethics Appraisal procedure concerns **all activities funded** in Horizon 2020.

The aim is to ensure that the provisions on ethics in **H2020 regulation** and in the **Rules for Participation** are respected.

It is also complementary with the article 34 of the **Grant Agreement** on "Ethics".



ETHICS APPRAISAL STEPS

1. Ethics **Self-Assessment (PROPOSAL)**
2. The Ethics **Review** (before the finalisation of GA)
 - i) An Ethics Screening;
 - ii) An Ethics Assessment.
3. The Ethics **Check** and **Audit** (for selected projects, after the signature of the GA) - **IMPLEMENTATION**

ETHICS APPRAISAL FOCUS

The main areas that are addressed during the Ethics Appraisal procedure include:

1. Human Protection (including the study participants and the researchers)
2. Animal Protection and Welfare
3. Data protection and privacy
4. Environment protection
5. Third countries
6. Dual use
7. Misuse/Malevolent use of research results

H2020 regulation: Article 19 "Ethical principles"

1. All the research and innovation activities carried out under Horizon 2020 **shall comply with ethical principles and relevant national, Union and international legislation**, including the Charter of Fundamental Rights of the European Union and the European Convention on Human Rights and its Supplementary Protocols.

Particular attention shall be paid to the principle of proportionality, the right to privacy, the right to the protection of personal data, the right to the physical and mental integrity of a person, the right to non-discrimination and the need to ensure high levels of human health protection.

2. Research and innovation activities carried out under Horizon 2020 shall have **an exclusive focus on civil applications**.

H2020 Regulation: Article 19 "Ethical principles"

3. The following fields of research **shall not be financed**:
 - (a) research activity aiming at **human cloning for reproductive purposes**;
 - (b) research activity intended to **modify the genetic heritage of human beings** which could make such changes heritable
 - (c) research activities intended to **create human embryos solely for the purpose of research or for the purpose of stem cell procurement**, including by means of somatic cell nuclear transfer.
4. **Research on human stem cells, both adult and embryonic, may be financed**, depending both on the contents of the scientific proposal and the legal framework of the Member States involved. No funding shall be granted for research activities that are prohibited in all the Member States. No activity shall be funded in a Member State where such activity is forbidden.
5. The fields of research set out in paragraph 3 may be reviewed within the context of the interim evaluation set out in Article 26(1) in the light of scientific advances.

Rules for Participation: Article 13 "Ethics Review"

1. The Commission shall **systematically carry out ethics reviews for proposals raising ethical issues**. This review shall verify the respect of ethical principles and legislation and, in the case of **research carried out outside the Union**, that the same research would have been allowed in a Member State.
2. The Commission shall make the process of the ethics review **as transparent as possible** and ensure that it is carried out in a timely manner avoiding, where possible, resubmission of documents.

Recital 9

.... Actions should be in conformity with **ethical principles, which include** avoiding any breach of **research integrity**.

Grant Agreement (GA): Article 34 "Ethics"

34.1 **General obligation** to comply with ethical principles

The beneficiaries must **carry out the action in compliance with:**

- (a) **ethical principles** (including the highest standards of research integrity — as set out, for instance, in the European Code of Conduct for Research Integrity — and including, in particular, avoiding fabrication, falsification, plagiarism or other research misconduct), and
- (b) **applicable** international, EU and national **law**.

Funding will be granted for activities carried out outside the EU **only if the same activities are allowed by any Member State**.

The beneficiaries must ensure that the activities under the action have an **exclusive focus on civil applications**.

The beneficiaries must ensure that the activities under the action do not:
Same exclusions than in the Regulation

Grant Agreement (GA): Article 34 "Ethics"

34.2 Activities raising ethical issues

Activities raising ethical issues **must comply with the ethics requirements set out in Annex I.**

Before the beginning of an activity raising an ethical issue, **the coordinator must submit** (see Article 50) to the Commission copy of:

- (a) **any ethics committee opinion** required under national law, and
- (b) **any notification or authorisation** for activities raising ethical issues required under national law.

If these documents are not in English, the coordinator must also submit an English summary of the submitted opinions, notifications and authorisations (containing, if available, the conclusions of the committee or authority concerned).

If these documents are **specifically requested for the action**, the request must contain an explicit reference to the action title. The coordinator must submit a declaration by each beneficiary concerned that all submitted documents specifically cover the action tasks.

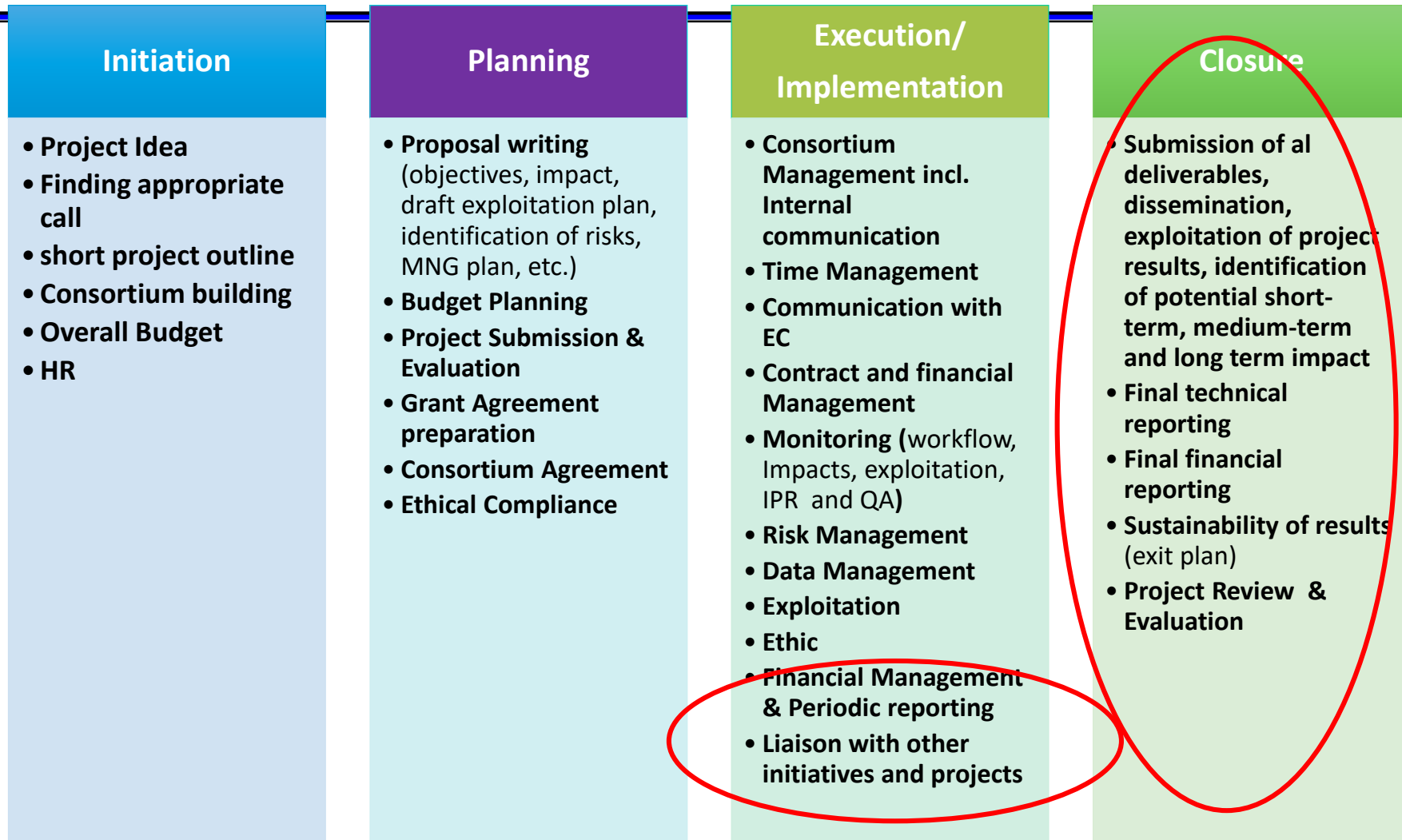


07

PROJECT CLOSURE

- **Technical and Financial Reporting**
- **Project Review & Evaluation**

Project Management Cycle in H2020 Projects



1. Reporting (Technical)

→ Only electronic submission

Two types of reporting;

Continuous Reporting: Deliverables, Amendments etc.

Regular Reporting:

- **Periodic report** (Technical report overview: progress, achievements, differences from work plan + Continuous reporting, Financial report - Individual financial statement from each beneficiary + Periodic summary financial statement) “Explanation of use of resources” ;
- **Final report** (within 60 days of the end of the final reporting period- covers whole project period: Final technical report (publishable summary of the entire project which includes overview of the results and their exploitation and dissemination, conclusions, socio-economic impact of the project), Final financial report (final summary financial statement created automatically by the electronic exchange system, consolidating the individual financial statements for all reporting periods)

Technical Report

PART A – STRUCTURED FORMS


The structured web-forms of Part A can be found **in the continuous reporting module** of the grant management system. You can update this information at any time during the life of the project. If you click on the below list of the forms, you will find a detailed description of the different sections leading you to the continuous reporting page of the Online Manual.

The structured tables include:

- [summary for publication](#)
- [Deliverables](#)
- [Milestones](#)
- [Ethical Issues](#) (if applicable)
- [Critical implementation risks and mitigation measures](#)
- [Dissemination & exploitation of results](#)
- [Impact on SMEs](#)
- [Open Research Data](#)
- [Gender](#)
- [Science with and for Society](#) [only for projects under this strand]
- [Energy](#) [only for projects under societal challenge 3 "Secure, clean & efficient energy"]
- [Infrastructure](#) [only for projects under "Infrastructure"]

PART B – REPORT CORE

Any beneficiary can contribute to the narrative part, download the word version of the [Part B template](#) from the grant management system, complete it and upload it as a pdf document under the Report Core tab.

 *There is no page limit per work package - but your report should be **concise and readable**. Avoid duplicating any text.*

1. Explanation of work & Overview of progress

Detail here your work carried out per WP, give an overview of your project results towards the objective (including summary of deliverables and milestones) and a summary of exploitable results (with an explanation about how they can/will be exploited).

If you have received EU funding and plan to exploit the results it generated mainly in non-EU countries not associated with Horizon 2020 - indicate how the funding will benefit Europe's overall competitiveness.

If applicable

2. Update of exploitation & dissemination plan

Say whether the plan described in Annex 1 (Description of the Action – DoA) needs to be updated, and give details.

3. Update of data management plan

Say whether the plan in Annex 1 (DoA) needs to be updated and give details.

4. Follow-up of recommendations & comments from previous review(s)

Include the list of recommendations and comments from previous reviews and explain what action you have taken on each.

5. Deviations from Annex 1 (DoA)

International
cooperation

Social Sciences
& Humanities

Open access &
Data management

Climate action &
Sustainable development

Ethics

Gender

SMEs

ERA-NETs

Links to regional policy

Intellectual property

Innovation procurement

Cross-cutting issues

- International cooperation
- Social Sciences & Humanities
- Open access & Data management
- Climate action & Sustainable development
- Ethics
- Gender
- SMEs
- ERA-NETs
- Links to regional policy
- Intellectual property
- Innovation procurement

If applicable to your project



2 Financial Reporting

Regular Reporting:

- **Periodic Financial report** Individual financial statement from each beneficiary + Periodic summary financial statement "Explanation of use of resources"
 - **Final Financial report** (within 60 days of the end of the final reporting period- covers whole project period (**final summary** financial statement created automatically by the electronic exchange system, consolidating the individual financial statements for all reporting periods)
-

Financial Report

You can fill in your financial statement in structured forms in the grant management system (under *Financial Statement drafting*).



Individual financial statements

Beneficiaries and **linked third parties** must fill these in and submit them to the Commission, as part of the periodic report.

They will be combined automatically by the system into a **consolidated financial statement**.

⚠ If you fail to do so, your **costs will be considered 'zero'** for this reporting period (though you can declare them in the next reporting period).

SyGMA - System for Grant Management - Windows Internet Explorer

Grant Management Project Periodic Report

Project 55555 ABC R&I test project
HORIZON 2020
Period No: 1 Duration (months): 6
Reporting Period : [01/07/2014 - 31/12/2014]

Beneficiary 1: Test account
Legal Name: Test account legal entity
PIC: 999777555 State: VALIDATED
Legal Address: ABC street, BBB city, AAA country

Financial Statements

slide to select beneficiary

Financial Statement

Financial information from contact

No contribution requested? ☐ Yes ☒ No

Financial Statements

Period	Adjustment	Requested Contribution
01/07/2014 - 31/12/2014 (Period No "1")	No	100,000.00 €

Financial Statement for period "1" (01/07/2014 - 31/12/2014)

Eligible costs:

Cost Category	Total	Actions
a) Direct personnel costs declared as actual costs	30,000.00 €	[A]
b) Direct personnel costs declared as unit costs (average costs)	0.00 €	[A]
d) Direct costs of subcontracting	65,000.00 €	
e) Direct costs of providing financial support to third parties	0.00 €	
f) Other direct costs	3,000.00 €	[A]
h) Indirect costs (= 0.25 * (a + b + f + o))	8,000.00 €	
j) Total costs (= a + b + d + e + f + h)	106,000.00 €	
k) Receipts	0.00 €	
m) Maximum EU contribution (100%)	106,000.00 €	
n) Requested EU contribution	100,000.00 €	
z) Requested EU contribution eligible for CFS	106,000.00 €	

Additional Information for indirect costs:

Use of costs of in-kind contributions not used on premises? (a) ☐ Yes ☒ No

Reporting (Financial)

Form C Contents;

- 1) Direct personnel costs/Labour
 - 2) Other direct costs /Travel, Other
 - 3) Direct costs of subcontracting/Subcontract
 - 4) Indirect costs
-
- Unique flat rate of 25% for indirect costs
 - Individual financial statement from each Beneficiary

Characteristics of H2020 funding

- Maximum EC contribution can not be exceeded
- Only eligible costs can be reimbursed
- Beneficiaries indicate and claim direct and indirect costs
 - indirect costs are covered by a single 25% flat-rate applied to the direct costs
- Reported costs can include VAT if VAT is non-refundable for your legal entity
- Partners do not have to submit timesheets, invoices to EC
- Consortia receive pre-financing at the project start and further payments following the acceptance of interim and final reports.

Direct costs	Indirect costs
<ul style="list-style-type: none">– Directly attributed to project: personnel, travels, subcontracting etc.– Eligible costs will be reimbursed 100%	<ul style="list-style-type: none">– Not identifiable as directly attributed to the project– fixed 25% flat-rate indirect costs for all beneficiaries (upon direct costs except subcontracting)

Forms of eligible costs

Actual costs

- Costs actually incurred, identifiable and verifiable, recorded in the accounts, etc.



W: non-deductible VAT paid is also eligible

Unit costs

- A fixed amount per unit determined by the Commission Example: SME owners' unit cost
- For average personnel cost (based on the usual accounting practices – with or without COMUC)

Lump sum

- A global amount to cover one or several cost categories Example: Phase 1 of the SME instrument

Flat rate

- A percentage to be calculated on the eligible costs Example: 25 % flat rate for indirect costs

Eligible Personnel Costs

- Actual costs (,actual' hourly rate)

- Calculation of personnel costs:

Hourly rate (basic remuneration) x hours worked for the project

+ additional remuneration only for non-profit entities

- Staff must be directly hired by the beneficiary
- Staff must work under the sole technical supervision and responsibility of the beneficiary
- Permanent or temporary personnel
- Only costs of actual hours worked on the project are eligible
- Timesheets/time-recording methods (meeting the requirements of the EC) necessary
 - Only the hours worked for the action need to be documented
 - Personell working exclusively for the action: no time sheets needed (confirmation by beneficiary suffices)
- Personnel costs should reflect total remuneration: Salaries + social security charges + taxes + other mandatory costs (+ additional remuneration for non-profit entities)

Year:

lo:

Name of the person working on the action:

Type of personnel

(see Art. 6.2.A Grant Agreement)

	DAY	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	Total
Reference e.g. work package																																	
Total Hours																																	

Short description of the activities carried out in the month:

Signed (name of the person
working for the action):

Date:

Signature:

Signed (name of the supervisor):

Date:

Signature:

Subcontracting

Definition: *„a contract for the purchase of goods, works or services that are **identified in Annex 1 as action tasks.**“*

Characteristics:

- Financial motivation for taking over an action task
- Subcontract is based on business conditions (price includes a profit margin)

Eligibility criteria:

- Best price-quality ratio or lowest price („three offers“)
- Public procurers must observe public procurement law
- Reasons, tasks and costs must be indicated in GA
- No indirect costs on subcontracting!

Other issues:

- The responsibility lies fully with the beneficiary
 - Intellectual property generated by the subcontractor must revert to the beneficiary
-

Costs of other goods and services

- Examples for 'other goods': costs of purchasing scientific publications, dissemination costs (e.g. open access, conference fees for presenting project-related research)
 - Examples for 'services': Certificate on the Financial Statements (**cumulative requested EU contribution is EUR 325 000 or more**) translations, printing costs, catering (no 'action tasks' – similar to 'minor tasks'/FP7)
 - Best price-quality ratio or lowest price („three offers“)
 - Public procurers must observe public procurement law
 - 25 % indirect costs on costs of services and other goods
 - The responsibility lies fully with the beneficiary
 - Intellectual property generated by the service provider must revert to the beneficiary
-

Ineligible costs

- If they do not meet the general and specific eligibility criteria;
 - Costs related to return on capital or return generated by an investment;
 - Debt and debt service charges;
 - Provisions for future losses or debts;
 - Interest owed;
 - Currency exchange losses;
 - Deductible VAT (if VAT is recoverable under the national VAT system for your organisation);
 - Costs incurred during the suspension of the implementation of the action;
 - Costs declared under another EU or Euratom grant.
-

Financial Reporting

- Amounts in financial statements/reporting should be given in EUR
 - For beneficiaries/linked third parties with accounting records in a currency other than the Euro, conversion of costs recorded in their accounts by one of the following:
 - daily euro exchange rate is published in the C series of the Official Journal of the European Union for the currency in question:
 - use the average of the daily exchange rates published over the corresponding reporting period.
 - To calculate this rate, the beneficiaries may use the editable charts on the [ECB website 48](#).
 - if NO daily euro exchange rate is published:
 - use the average of the monthly accounting rates over the corresponding reporting period, by using [the currency converter on the Commission's website](#)
- Supporting documents must be kept up to 5 years after the end of the project/'balance payment'.
 - Partners do not have to submit timesheets, invoices to EC, but keep them in case of an needed Certificate of the Financial Statements (CFS; only required for funding $\geq 325,000$ Euro) or an audit.

Third parties: basics

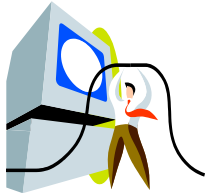
⇒ What is a third party?

↳ A legal entity which carries out work of the action, supplies goods or provide services for the action, but which did not sign the grant agreement

⇒ What types of third parties?



1. Third parties directly carrying out part of the work described in Annex 1



2. Other third parties providing resources, goods or services to the beneficiaries for them to carry out the work described in Annex 1



3. Third parties receiving financial support (money) from the beneficiary as part of the action. Only when authorised in the call

Third parties

Types of third parties	CHARACTERISTICS						
	Does work of the action	Provides resources or services	What is eligible?	Must be indicated in Annex 1	Indirect costs	Selecting the third party	Articles
Linked third party	YES	NO	Costs	YES	YES	Must be affiliated or have a legal link	Article 14
Subcontractors	YES	NO	Price	YES	NO	Best value for money, avoid conflict of interest	Article 13
Third party providing in-kind contributions	NO	YES	Costs	YES	YES	Not used to circumvent the rules	Articles 11 and 12
Contractors	NO	YES	Price	NO	YES	Best value for money, avoid conflict of interest	Article 10
Financial support to third parties	<u>Only if allowed in the call</u> The beneficiaries' activity consists in providing financial support to the target population			YES	NO	According to the conditions in Annex 1	Article 15

Financial Reporting Periods - EXAMPLE

- Month 1-9: **first interim reporting** (reporting to ZSI: month 10 – November 2016)
- Month 1-18: **first reporting to the EC** (reporting to ZSI: month 19 – August 2017)
- Month 19-28: second interim reporting (reporting to ZSI: month 29 – May 2018)
- Month 19-36: final reporting to the EC (reporting to ZSI: month 37 – February 2019)
- Financial statements for reporting to the EC should be prepared by all partners individually
 - Are processed electronically via Participant Portal (SYGMA)

Internal Financial Reporting

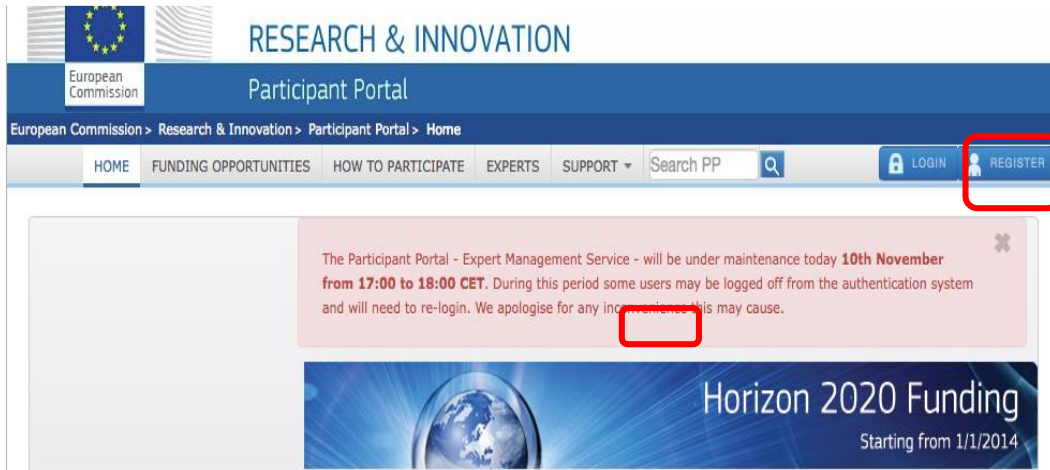
- Basis for official reporting
 - Overview on the progress of work
 - Financial information + input for progress report
 - Template for progress report
 - Financial Overview tool
 - Budget overview by reporting periods & budget lines
 - Overview of hourly rates and resulting personnel costs
 - Subcontracting costs
 - Travel costs
 - Other goods and services
 - Financial Statement – automatic calculation
-

How to fill in your Financial Statement...

1. Connect to the Participants Portal

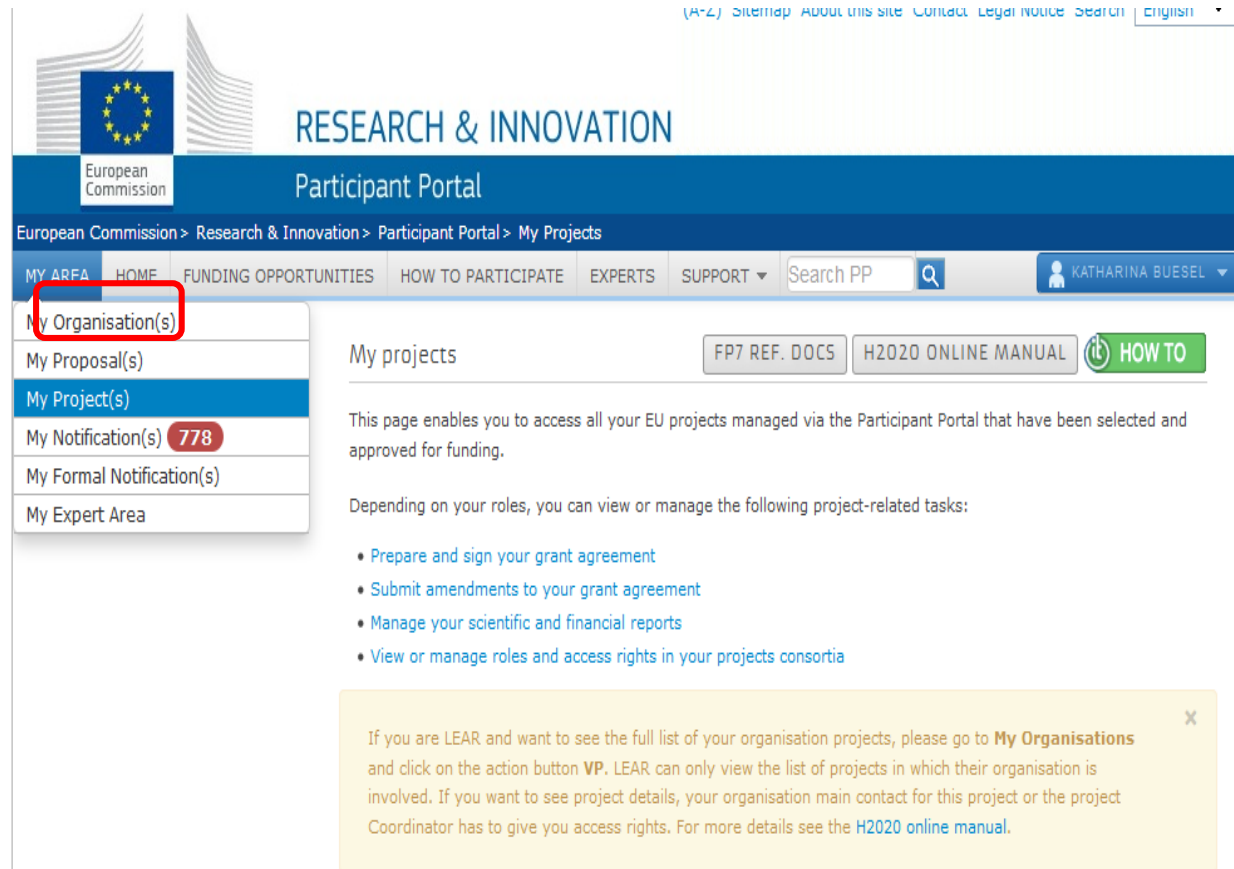
(<http://ec.europa.eu/research/participants/portal/>)

2. Log in:



How to fill in your Financial Statement...

3. Go to “My projects”:



The screenshot shows the European Commission Research & Innovation Participant Portal. The top navigation bar includes links for (A-Z), Sitemap, About this site, Contact, Legal notice, Search, and a language dropdown set to English. The main header features the European Commission logo and the text 'RESEARCH & INNOVATION Participant Portal'. Below this, a breadcrumb trail reads 'European Commission > Research & Innovation > Participant Portal > My Projects'. The left sidebar contains a menu with the following items: 'MY AREA' (highlighted with a red box), 'HOME', 'FUNDING OPPORTUNITIES', 'HOW TO PARTICIPATE', 'EXPERTS', 'SUPPORT', and a search bar. The 'MY AREA' dropdown is open, showing 'My Organisation(s)', 'My Proposal(s)', 'My Project(s)' (highlighted in blue), 'My Notification(s)' with a red badge showing '778', 'My Formal Notification(s)', and 'My Expert Area'. The main content area is titled 'My projects' and includes buttons for 'FP7 REF. DOCS', 'H2020 ONLINE MANUAL', and a 'HOW TO' button. The text states: 'This page enables you to access all your EU projects managed via the Participant Portal that have been selected and approved for funding.' Below this, it says: 'Depending on your roles, you can view or manage the following project-related tasks:' followed by a list of tasks: 'Prepare and sign your grant agreement', 'Submit amendments to your grant agreement', 'Manage your scientific and financial reports', and 'View or manage roles and access rights in your projects consortia'. At the bottom, a yellow information box contains text for LEAR users, advising them to go to 'My Organisations' and click on the 'VP' button to view projects, and mentioning the 'H2020 online manual' for more details.

European Commission > Research & Innovation > Participant Portal > My Projects

MY AREA HOME FUNDING OPPORTUNITIES HOW TO PARTICIPATE EXPERTS SUPPORT Search PP KATHARINA BUESEL

My Organisation(s)

My Proposal(s)

My Project(s)

My Notification(s) 778

My Formal Notification(s)

My Expert Area

My projects

FP7 REF. DOCS H2020 ONLINE MANUAL HOW TO

This page enables you to access all your EU projects managed via the Participant Portal that have been selected and approved for funding.

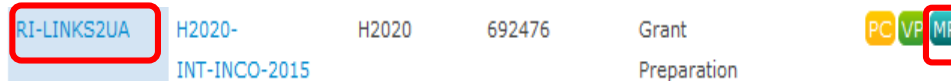
Depending on your roles, you can view or manage the following project-related tasks:

- Prepare and sign your grant agreement
- Submit amendments to your grant agreement
- Manage your scientific and financial reports
- View or manage roles and access rights in your projects consortia

If you are LEAR and want to see the full list of your organisation projects, please go to **My Organisations** and click on the action button **VP**. LEAR can only view the list of projects in which their organisation is involved. If you want to see project details, your organisation main contact for this project or the project Coordinator has to give you access rights. For more details see the [H2020 online manual](#).

How to fill in your Financial Statement...

4. Go to “your project” and click on “MP”:



5. Click on “Financial Statement” for your organisation (only visible shortly before interim and final reporting is due!):

A screenshot of the 'Periodic Reporting' interface. The top section shows a timeline with four stages: 'Draft', 'Submitted', 'Reviewed', and 'Paid'. The 'Draft' stage is active, indicated by a yellow circle and a date '01 Jan 2016'. Below the timeline, there is a list of items. The first item is 'Technical Part of Periodic Report contribution' with a 'Lock for review' button. The second item is 'Financial Statement [PIC] drafting', which is highlighted by a red rectangle, with a 'Lock for Review' button. The third item is 'Periodic Report 1 projectNo composition' with a 'Submit to EU' button. At the bottom, there are two expandable sections: 'Process specific documents' and 'Process specific communications'.

Resources

✓Horizon 2020 Online Manual

http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management/communication_en.htm

✓Annotated GA

http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf

✓Brochure "Communicating EU Research & Innovation"

http://ec.europa.eu/research/participants/data/ref/h2020/other/gm/h2020-guide-comm_en.pdf

✓Science communication Event – 24 July 2016

<http://ec.europa.eu/research/conferences/2016/scicom2016/index.cfm?pg=programme>

✓Video tutorials

<https://www.youtube.com/playlist?list=PLvpwIjZTs-Lhe0wu6uy8gr7JFfmv8EZuH>



Useful links

- [Horizon Magazine](#) also on [Facebook](#)
 - [Success stories](#)
 - [Facebook Innovation Union](#)
 - [Twitter @EUScienceInnov](#) [#H2020](#)
 - [Futuris](#)
 - [Publications](#)
-



THANK YOU FOR YOUR ATTENTION!

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