[CFP01] Kick-off Meeting: Preparation of Grant for Partners

KOM Sessions on
24 & 27 July 2015 and 3 August 2015

Innovation Takes Off

www.cleansky.eu
1. Background for the Grant Preparation Phase
2. Timeline to GAP Signature
3. Practical Aspects of GAP Preparation
   1. GAP Preparation Process
   2. Actors involved
   3. SyGMA Tool for Grant Prep Phase
   4. Grant Preparation Report
5. Legal Framework
5. Admin & Financial Aspects
6. Conclusion
7. Reference Documents
8. Q&A
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The **Grant Preparation** is used to align and agree the Partner activities based on the content of the proposal and the subsequent modifications and clarifications between the JU, the winning entity, and the Topic Manager [TM] on behalf of the IADP/ITD (SPD).

Items to be addressed:

- **Description of Action (DoA)** – modifications or clarifications (e.g. incorporating ESR)
- **Deliverables & Milestones** (including reports)
- **Implementation Agreement or Accession to an existing Consortium Agreement with the IADP/ITD** (including e.g. IPR aspects)

The JU will lead/coordinate this phase so that the interests of the applicant and IADP/ITD are duly considered and signature of the GAP can be achieved in a timely way.
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## Timeline to GAP Signature

<table>
<thead>
<tr>
<th>GAP Preparation Phase</th>
<th>Dates</th>
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<tbody>
<tr>
<td>Planning</td>
<td></td>
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<tr>
<td>Info Letters (incl. ESRs) + Invitation Letters</td>
<td>17/07/2015</td>
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<tr>
<td>Kick-off event via Webex</td>
<td>24/07/2015, 27/07/2015, 03/08/2015</td>
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<td>Gate Reviews for Grant Preparation*</td>
<td>30/09/2015</td>
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<tr>
<td>Closure of Grant Preparation Phase with signature of Grant Preparation Report</td>
<td>30/10/2015</td>
</tr>
<tr>
<td>GAP signature</td>
<td>GAP signed**</td>
</tr>
<tr>
<td></td>
<td>27/11/2015</td>
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</tbody>
</table>

*Preliminary draft of the Grant Preparation Report available with specific highlight of issues preventing the timely closure of the Grant Preparation Phase

**No blocking point identified for the Accession to the Consortium Agreement / Implementation Agreement [mandatory at signature of GAP] maximum 30 days after GAP signature.
Deadlines and Delays

- Grant Preparation Phase to be completed within 3 months from receipt of the invitation letter
- Deadlines as captured in the timeline towards Grant signature (see slide 6) shall be strictly respected

In case of delays

- Applicants may request extensions to deadlines defined for grant preparation only in exceptional and duly justified cases. Request for extension shall be written and must be proportionate to initial deadlines.
KOM Agenda

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Maximum **five months** from call closure date - until the date of informing applicants about the outcome of proposal evaluation

Maximum **eight months** from call closure - until the signature of the grant agreement
H2020 GAP – Process Overview

**Fully electronic process**

- Participant Portal
  - harmonized rules
  - uniform interpretation
  - standard processes

**a time-bound process**

- Invitation to grant preparation
- Grant Agreement Preparation
- Prefinancing
- Accession GA

Committed to make it **simpler** and **quicker**
Grant Preparation Phase aims at the technical alignment of the DoA [i.e. DoW under FP7] and which includes:

- **Part A**: Work plan tables such as Milestones, Deliverables, etc.
- **Part B**: Description of Action

Part A and Part B of the DoA are merged automatically by the submission system.

→ **Only PDF files** shall be uploaded in SyGMA

**Important**: applicants shall use the templates provided by the IT tool [i.e. SYGMA] since structural information will then be extracted automatically from the system.

The timeline to be considered is three months from receipt of the invitation letters to arrive to the Grant Signature.
1. Background for the Grant Preparation Phase
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Practical Aspects of GAP Preparation Phase: Actors involved

- **GAP Initiation**
  - Proposal Coordinator
  - Clean Sky JU Project Officer
  - Topic Manager

1. **Technical Alignment**
   [discussion and agreement] + Grant Prep Report;

2. **IA or Accession to SPD Consortium Agreement**

**Internal Consortium Agreement**

![Diagram showing the relationships between Coordinator, p1, p.., px, Internal Consort. Agreem., PO, Supervision role, GAP Initiation, Assessment of GAP Output, Proposal Coordinator, Clean Sky JU Project Officer, Topic Manager.]

!! **Legal relationships between ITD/IADP and the consortium to be defined ASAP**
Framework of Cooperation

• Close cooperation between the Topic Manager and the selected Partner to execute the work and implement the action under the Grant Agreement for Partner
  [Ref. Clean Sky 2 Grant Agreement for Partner Model]

• By acceding the existing Consortium Agreement of the ITD/IADP or by negotiating and signing an Implementation Agreement between private Member and Partner(s)
  [Ref. Consortium Agreements between Leaders available on CS website]
  [Ref. Clean Sky 2 Implementation Agreement Model]

• Mutual Access Rights Regime
  – The Topic Manager and the selected Partner shall grant mutual access rights under the same conditions to the background for implementing their own tasks under the action and for exploiting their own results. Specific provisions will be laid down in the Model Grant Agreement for Partners
Role of Proposal Coordinator

• Acts as the **single point of contact** between participants and the JU for the respective proposal

• Responsible for the **overall planning** of the proposal e.g.
  – Set the project start date;
  – Check the proposal details;
  – Define the budget;
  – Check the reporting periods;
  – Prepare the DoA (Annex 1 of the GA);

• Responsible for **building up the consortium** e.g.
  – Verify PIC for beneficiaries / linked third parties;
  – Provide bank details;
  – Implement the result of the financial capacity check, if applicable;
  – Prepare and sign the Internal Consortium Agreement

• Provides **MoM of any technical sessions** organized with a view to align the technical content of the proposal with the Topic Manager
Role of Topic Manager

• The Topic Manager is the **private Member** (either a "Leader" or a "Core Partner"), responsible for the topic in the call for proposals;

• May **organize technical sessions** under the supervision of the CSJU to align the work content and the implementation of the activities to the objectives and needs of the ITD/IADP high level tasks:
  – Review and agree the modification of the DoA with the Proposal Coordinator

• **Provide timely feedback/opinion to the JU** agreement on the proposed DoA, completion of Grant Preparation Report; etc.

• If applicable, negotiate and sign an **Implementation Agreement** with the Proposal Coordinator and beneficiaries.
Role of the JU

WHAT?

• Collect the necessary grant agreement data from participants
• Ensure consistency between the proposal and the grant agreement
• Check that any relevant and applicable comments in the evaluation summary report (ESR), the ethics review report, or the security scrutiny report are taken into account
• Check that private coordinators are financially viable and include protective measures if required
• Check for early warning system (EWS) issues
• Check if a consortium agreement is required
• Approve the Grant Preparation Report as proposed by Coordinator and TM
• Agree the project start date
  – **Duration of the project**: in order to avoid multiple amendments, the JU highly recommends to anticipate a period of 4 to 6 months for the closure of the projects (incl. issuance of reports, dissemination, etc.)
• Define reporting periods
• Calculate the amount of pre-financing
Role of the JU

WHO? **CSJU Project Officer** is the single point for projects assigned to him

- Closely follow the grant preparation phase and monitor progress
- Monitor time-to-grant (TTG) and check that established deadlines are met
- For legal, financial, or administrative issues, the PO will consult colleagues in the relevant administrative unit of the service (e.g. UAF) if and as necessary
- Responsible for the assessment, validation and approval of reports and deliverables (e.g. Grant Prep Report; Annex 1; Annex 2 GAP)
- May request MoM of any technical sessions organized to align technical content of the proposal between selected Partner(s) and Topic Managers
Practical Aspects of GAP Preparation Phase: Project Implementation in 4 steps

Clean Sky JU Project Officer

**Deliverables & Reports**
- Reports (pdf)
- + Cost Claims

Proposal Coordinator

Topic Manager

Agreement on Output (doc/HW/SW) & Reports (no Cost Claim!)

CSJU organises “Reporting WS”
Practical Aspects of GAP Preparation Phase: Project Implementation in 4 steps

**STEP 1**

- **Proposal Coordinator**
- **Clean Sky JU Project Officer**
- **Topic Manager**

CSJU organises “Reporting WS”

* Deliverables Reports (pdf) + Cost Claims

Agreement on Output (doc/HW/SW) & Reports (no Cost Claim!)
Practical Aspects of GAP Preparation Phase:
Project Implementation in 4 steps

STEP 2

Clean Sky JU Project Officer

*Deliverables Reports (pdf) + Cost Claims

Proposal Coordinator

Agreement on Output (doc/HW/SW) & Reports (no Cost Claim!)

Topic Manager

CSJU organises “Reporting WS”
Practical Aspects of GAP Preparation Phase: Project Implementation in 4 steps

- **STEP 3**
  - Agreement on Output (doc/HW/SW) & Reports (no Cost Claim!)
  - "Reporting WS"


deliverables & reports

*Deliverables Reports (pdf) + Cost Claims*
Practical Aspects of GAP Preparation Phase: Project Implementation in 4 steps

**STEP 4**

Clean Sky JU Project Officer

*Deliverables Reports (pdf) + Cost Claims*

Proposal Coordinator

Agreement on Output (doc/HW/SW) & Reports (no Cost Claim!)

CSJU organises “Reporting WS”

Topic Manager
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   3. Participant Portal: Tool for Grant Prep Phase
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Tool for Grant Prep Phase
Electronic-only grant management

- E-only: paper-free process endorsed by e-signature
- Based on "Chain of trust" enabling e-signature
- Identity and Access Management (IAM)
- Roles enabling e-signature

The **minimum configuration** is:
- 1 LEAR per organisation
- The Primary Coordinator Contact
- 1 Participant Contact per beneficiary
- 1 Legal Signatory per organisation
- 1 Financial Signatory per organisation
Tool for Grant Prep Phase
Electronic-only grant management

- Declaration of honour
  the coordinator and each beneficiary, signed by the LSIGN (i.e. LEAR under FP7)

- The Grant Agreement
  - first the coordinator, by the LSIGN
  - second the EU EC/Agency

- Accession Forms
  each beneficiary - by the LSIGN
Tool for Grant Prep Phase
Electronic-only grant management

IT system suite for grant management

Tool for Grant Prep Phase
Electronic-only grant management

EUROPEAN COMMISSION AUTHENTICATION SERVICE (ECAS)

What is ECAS?
ECAS is the European Commission Authentication Service. It allows users to access a wide range of Commission information systems, using a single username and password. Once you log in, ECAS will remember you as long as you keep your browser open. During that time, you won’t have to identify yourself again, no matter how many online services of the Commission you access.

Where are you from?
Welcome to the European Commission Authentication Service (ECAS).
Choose the institution or body for which you want to log in. Choose "External" if you don’t work for a European institution or body. Choose "W+7" if you have a special external account composed of w and 7 digits.
If you aren’t sure, select the "I don’t know?" option for help.
Tool for Grant Prep Phase
Electronic-only grant management

EUROPEAN COMMISSION AUTHENTICATION SERVICE (ECAS)

ECAS authenticates your identity on European Commission websites

research requires you to authenticate

Username or e-mail address
Password
- Remember my username
- Warn me each time an application asks for my identity
- View my ECAS account details after logging in

LOGIN!

Lost your password?
Create an account | Help

Log in with your
IT system suite for grant management

Tool for Grant Prep Phase
Electronic-only grant management

IT system suite for grant management

RESEARCH & INNOVATION

Participant Portal

My Project(s)

My Organisation(s)

My Notification(s)

My Formal Notification(s)

My Expert Area

My projects

FP7 REF. DCOS 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.
SyGMa Tool for Grant Prep Phase
Electronic-only grant management

IT system suite for grant management
IT system suite for grant management
Tool for Grant Prep Phase
Electronic-only grant management

IT system suite for grant management
Step by step process in Sygma explained on the Participant Portal of the European Commission:

• TM to create an ECAS account
• Coordinators to grant read-only access to the project in the Participant Portal to the TM
ECAS Account

What is ECAS?
ECAS is the European Commission Authentication Service. It allows users to access a wide range of Commission information systems, using a single username and password. Once you log in, ECAS will remember you as long as you keep your browser open. During that time, you won't have to identify yourself again, no matter how many online services of the Commission you access.

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If you aren't sure, select the "I don't know?" option for help.
ECAS Account

ECAS authenticates your identity on European Commission websites.

Log in with your

[Image of login interface]

Lost your password? Create an account | Help
Access to the Participant Portal (PP)

On this site you can find and secure funding for projects under the following EU programmes:

- **2014-2020 Horizon 2020**: research and innovation framework programme
- **2007-2013** 7th research framework programme (FP7) and Competitiveness & Innovation Programme (CIP)
- Research Fund for Coal & Steel, COSME, 3rd Health Programme, Consumer Programme

For non-registered users:
- search for funding
- read the H2020 Online Manual & download the legal documents
- check if an organisation is already registered
- contact our support services or check our FAQs

For registered users:
- submit your proposal
- sign the grant
- manage your project throughout its lifecycle
- register as expert advising the Commission
The Participant Portal Grant Management Service will be under maintenance Friday 24th of July from 07:50 until 08:30. We are sorry for any inconvenience this might cause.

My projects

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Your proposal has been successfully submitted

Your proposal was submitted on 31 March 2016 at 16:12:00 (Brussels Local Time) as part of the H2020-CS2-CFP01-2014-01 call, before the deadline of 31 March 2015 at 17:00:00 (Brussels Local Time).

Your project ID is 686783. This number is important and will be used as future reference during the evaluation process.

Revisit your Proposal

The facility to re-edit is not available for this call.

You may download a timestamped and digitally signed PDF version of your submitted proposal.

The facility to withdraw is not available for this call.
Manage project

Proposal Management & Grant Preparation
686783 - MALET

- 31/03/2015
- Submitted
- Informed
- Invited
- Prepared
- Signed
- Paid

Grant agreement data preparation

GA Declaration - 686783 - 999976202 signature

Process specific documents

686783-MALET-ESR Evaluation Result...

Process specific communications

- EU requested data on 17.07.2015 17:57
- EU requested declarations on 17.07.2015 17:57
- EU ranked the proposal and invited to prepare grant data on 17.07.2015 17:57
- EU registered the proposal on 31.03.2015 00:00
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1. Grant Preparation Report
2. Scope of Evolution of the Proposal
3. GAP Structure and Annexes
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3. GAP Structure and Annexes
<table>
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<th>Call Reference:</th>
<th>H2020-CS2-CfP01-2014-01</th>
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<td>Type of Action:</td>
<td>IA or RIA</td>
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<tr>
<td>Topic Identification Code:</td>
<td>JTI-CS2-CfP01-XXX-0X-0X</td>
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<tr>
<td>Topic Title:</td>
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<tr>
<td>Proposal Number/ Acronym:</td>
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<tr>
<td>Proposal Title:</td>
<td></td>
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<tr>
<td>CS2 JU Project Officer:</td>
<td></td>
</tr>
<tr>
<td>Topic Manager [Name and Company]:</td>
<td></td>
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<tr>
<td>Proposal Coordinator [Name and Company]:</td>
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<tr>
<td>Date of end of preparation:</td>
<td>DD/MM/YY</td>
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<tr>
<td>Total eligible costs foreseen for the Action</td>
<td>k€</td>
</tr>
<tr>
<td>---------------------------</td>
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<tr>
<td>Maximum JU funding for the Action</td>
<td>k€</td>
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<td>Planned total project duration [incl. adequate tech margin + timeline for closure]</td>
<td>NN Mos</td>
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<td>Envisaged start date of activities (please select the option applicable):</td>
<td>DD/MM/YY</td>
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<tr>
<td>• First day of the month after signature of GAP [by default]</td>
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<tr>
<td>• Fixed start date [after completion of grant preparation i.e. GAP Prep Report signed and revised Part B]</td>
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⚠️ Until the entry into force of the GAP, all costs incurred are under applicants’ risks.

[1] Earliest date is the first day of the month after submission of the signed report accompanied with revised Part B.
1. Description of the Action – Part B.I of the Proposal

• **OPERATIONAL WAY TO PROCEED: TECHNICAL SESSIONS DATES AND PLACES**
  [The Technical Sessions are scheduled under the supervision of the CSJU. Minutes of the Meetings may be sent to PO upon their request.]

• **TECHNICAL ALIGNMENT OF THE WORK CONTENT**
  The Grant Preparation Phase will consist of summarizing – *as appropriate* – the main changes between Part B of the Proposal and the Description of Action (DoA, as foreseen post grant preparation phase) in terms of main strategy, work content, key deliverables and milestones and master plan. Any deviations with the proposal as evaluated by the experts should be duly justified with respect to the objectives of the ITD/IADP/TA part of the Programme being the grant complementary to the ITD/IADP/TA.

• **FUNDING & BUDGET PROFILE**
  If applicable, report any change(s) in budget / other costs / subcontracting and contracts as initially described in the proposals and as described in the Description of Action (DoA) and provide justifications

• **ANNEX 1 GAP - DoA**
  Outcome of the grant preparation covering key technical activities, milestones and deliverables, plus WBS and work shares among the beneficiaries and third parties (where applicable) in the GAP’s term of duration. Highlight any substantial change compared to the proposal with its justification.
Grant Preparation Report
2. Changes in Consortium

• Reporting any change(s) in the applicant composition as consortium/cluster (where applicable) with a short justification (e.g. withdrawal of any entity, legal entity changes, transfer of rights, mergers/acquisitions occurred during grant preparation, change of coordinator, addition of new partners / linked third parties, third parties making resources available in the action)

• Report any linked third parties carrying out part of the work (affiliates to a beneficiary) listed under Article 14 of GAP and included into the Work Plan.

• Report any third parties making resources available (see Articles 11 and 12 of the GAP)

- Completion of the Consortium Agreement: DD/MM/YY

Report on any pending issues or outstanding actions
3. **Consortium Agreement of the ITD/IADP or Implementation Agreement:**

- Type of agreement to be used under the ITD/IADP call/topic [please tick the relevant option]:
  - [ ] Consortium Agreement
  - [ ] Implementation Agreement

- Accession to the Consortium Agreement of the ITD/IADP³ or completion of the relevant Implementation Agreement: **DD/MM/YY**

- Report on any pending issues or outstanding actions
Approval of CS2 JU Project Officer is essential!
1. Grant Preparation Report
2. Scope of Evolution of the Proposal
3. GAP Structure and Annexes
Grant Preparation Report: Scope of Evolution of the proposal

Your proposal is taken "as is"

- The Grant Agreement (GA) is prepared on the basis of the proposal selected for funding
- Proposals are evaluated on their merit and not on their potential

BUT this does not mean "no change at all"

- Changes to meet legal and/or financial requirements (eligibility)
- Changes that are necessary:
  - Requirements resulting from ethics review or security scrutiny
  - Due to removal of a participant (if agreed)
  - Correction of clerical errors and obvious inconsistencies
  - Evolution in the overall technical strategy of the ITD/IADP
Grant Preparation Report:
Scope of Evolution of the proposal

- Budget Accommodation **only if** downward;
- Max. value corresponds to amount as proposed in the proposal;
- No change allowed during project execution

Chapter 5 “Grant” of H2020 AGA (pp. 24 and 316)
Milestones and Deliverables

• For each active Work Package, at least 1 deliverable per reporting period

• By default the first deliverable is a Report on the signature of the Consortium Agreement or the Implementation Agreement:
  – Document stating the successful conclusion of the CA with, in annex, Front page and last page of the CA showing the signatures of each party involved in the GAP Prep Phase
  – to be uploaded on Participant Portal
  – The JU will carefully monitor any delay in delivery of this “D0”

• List of Milestones & Deliverables to be defined with Topic Manager
The following items should be provided to the Project Officers by 30/09:

1. First draft of the **Grant Preparation Report**;
2. Feedback on the critical items identified as possible showstopper(s) for the Closure of Grant Preparation Phase
3. Confirmation of type of agreement i.e. Consortium Agreement or Implementation Agreement

   Note that **no** Consortium Agreement or Implementation Agreement is necessary to proceed with GAP Initiation and with the start of technical activities. **However, report on the signature of the CA or IA should be defined as the first project deliverable.**
1. Grant Preparation Report
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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, charter and code of conduct for researchers, 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

Disclaimer: Information not legally binding
Horizon 2020 model Grant Agreement: Annexes

- **Annex 1:** Description of the action
- **Annex 2:** Estimated budget
- **Annex 3:** Accession Forms, 3a & 3b
- **Annex 4:** Financial statements
- **Annex 5:** Certificate on the financial statements
- **Annex 6:** Certificate on the methodology

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1. List of beneficiaries (either one or more)
2. Third Parties
3. Internal Consortium Agreement (CA)
4. Implementation Agreement or Accession to the ITD/IADP CA
5. Intellectual Property Rights
1. List of beneficiaries (either one or more)
2. Third Parties
3. Internal Consortium Agreement (CA)
4. Implementation Agreement or Accession to the ITD/IADP CA
5. Intellectual Property Rights
List of beneficiaries includes Coordinator + beneficiaries

Appears in the preamble of the GA (before the articles)
Legal Framework

1. List of beneficiaries (either one or more)

2. Third Parties

3. Internal Consortium Agreement (CA)

4. Implementation Agreement or Accession to the ITD/IADP CA

5. Intellectual Property Rights
Third Parties carrying out work in the action

LINKED THIRD PARTIES TO THE BENEFICIARIES

- Implement part of the action and fill in the costs statement
- Must be identified in the grant agreement (GA)
- Will appear in Article 14 of the GA
- Do not sign the grant agreement
- Affiliated entities or third parties with a legal link
- Tasks set out in Annex I to the GA, estimated costs set out in Annex II to the GA
- Option: a joint and several liability (Annex III a) may be requested by the JU

Declaration of joint & several liability will be requested by the JU if:

- Weak FVC of the beneficiary AND linked third parties account for ≥ 50% of the JU contribution of the beneficiary
- Declaration may be proposed by the beneficiary and its linked third parties if a joint and several liability is in scheme (e.g. in case of clusters where the beneficiary who signs wishes to have the third parties to be liable up to their amount of JU funding in the action)

If requested, the beneficiary must submit the Declaration in order to accede to the grant agreement.
Third Parties carrying out work in the action

SUBCONTRACTING

- Listed in Article 13 of the grant agreement
- If necessary to implement the action, the beneficiaries may award subcontracts covering the implementation of certain action tasks described in Annex I
- Ensure the best value for money (!) and avoid any conflict of interests (!) keep a file to document the choice of the contractor against best value for money
- The estimated costs and tasks of the subcontractors must be identified in the Annex II and Annex I to the GA. If not they may be declared non eligible unless exceptionally accepted by the JU with the technical report.
“Contracts” for the provision of goods, works or services to a beneficiary

- Article 10 of the grant agreement
- Do not carry out tasks/work in the action, they only provide to a beneficiary some goods, works or services which are necessary for him to implement the action (e.g. catering services, creation of a website, purchase of computers, hiring IPR consultants, etc.)
- Do not have to be identified in Annex I to the GA but the price for these contracts will be declared as “other direct costs” in the Annex II
Differences between other contracts (Article 10) and subcontracts (Article 13)

<table>
<thead>
<tr>
<th>Article 10</th>
<th>Article 13</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contracts to purchase goods, works or services</td>
<td>Subcontracts</td>
</tr>
<tr>
<td>• These contracts do not cover the implementation of action tasks, but they are necessary to implement action tasks by beneficiaries.</td>
<td>• Subcontracts concern the implementation of action tasks; they imply the implementation of specific tasks which are part of the action and are described in Annex 1.</td>
</tr>
<tr>
<td>• Do not have to be indicated in Annex 1.</td>
<td>• Must be indicated in Annex 1.</td>
</tr>
<tr>
<td>• The price for these contracts will be declared as ‘other direct costs’ — column D in Annex 2 — in the financial statement; they will be taken into account for the application of the flat-rate for indirect costs.</td>
<td>• The price for the subcontracts will be declared as ‘direct costs of subcontracting’ — column B in Annex 2 — in the financial statement; they will not be taken into account for the application of the flat-rate for indirect costs.</td>
</tr>
</tbody>
</table>
1. List of beneficiaries (either one or more)
2. Third Parties
3. **Internal Consortium Agreement (CA)**
4. Implementation Agreement *or* Accession to the ITD/IADP CA
5. Intellectual Property Rights
CA is mandatory

- Article 41.3 of the CSJU multi-beneficiary model grant agreement for partners
- Private agreement between the beneficiaries only [non-involvement of the JU]
- Definition of rights and obligations of the beneficiaries amongst themselves e.g. internal organisation, distribution of JU funding, additional rules on IPR, settlement of disputes, etc.
- To be concluded before signing the GA (in principle)
1. List of beneficiaries (either one or more)
2. Third Parties
3. Internal Consortium Agreement (CA)
4. Implementation Agreement or Accession to the ITD/IADP CA
5. Intellectual Property Rights
Implementation agreement (IA) or Accession to an existing SPD Consortium Agreement (CA)

- Article 41.4, the beneficiaries must agree on the technical implementation of the action within the IADP/ITD/TA either by acceding to the IADP/ITD/TA CA or by signing a bilateral IA with the topic manager, covering among others:
  - rights and obligations of the parties;
  - efficient decision making processes;
  - organisation and coordination of the work;
  - division of roles and responsibilities;
  - exploitation and dissemination of results;
  - liability;
  - settlement of disputes.

- To be concluded before signing the GA (in principle)
- In the course of the implementation of the project, the JU will seek the opinion of the Topic Manager on the technical implementation of the activities, reports, deliverable.
1. List of beneficiaries (either one or more)
2. Third Parties
3. Internal Consortium Agreement (CA)
4. Implementation Agreement or Accession to the ITD/IADP CA
5. Intellectual Property Rights
Intellectual Property Rights – H2020 rules

Definition of IPR regime under the responsibility of Topic Manager and Partner(s)

✓ Ownership
  – For the beneficiary who generates results,
  – Joint-ownership only in specific circumstances (joint ownership agreement or CA)

✓ Protection
Where appropriate if results will be commercially or industrially exploited (e.g. patent, industrial design, etc.)

✓ Exploitation
General obligation to exploit the results (beneficiaries receiving JU funding shall take appropriate measures to exploit the results either by themselves or by other beneficiaries / third parties by transferring ownership or through licencing)

✓ Dissemination
General obligation to disseminate (Article 37 of the GA i.e. security – related obligations) and the limitations resulting from the chosen form of the protection of the results

NB: exploitation and dissemination subject to close monitoring and detailed reporting on actions taken
✓ **Visibility of the JU funding**

Always use the JU logo and the EU emblem and standard sentence in the grant in all dissemination actions and all equipment / machinery / demos under the project.

✓ **Access rights**

- for implementation and for exploitation purposes (also for affiliated entities established in an EU Member State/ Associated Country)
- for the EU under all parts of the programme limited to non-commercial and non-competitive use
- for the ITD/IADP/TA beneficiaries must give access to their background and results to the Topic Manager (Article 25.5 and 31.6 indicates the conditions under which these obligations apply). The access right is mutual/reciprocal vis-à-vis the beneficiaries for what needed to implement its action)
Transfer and (exclusive) licences outside the Union/Associated Countries

- Each beneficiary may transfer ownership of its results unless they are prohibited by provisions of the Article 37 of the GA (security-related obligations). Beneficiary must ensure that obligations regarding the results apply to the new owner.
- Beneficiary may grant licences to their results.
- Exclusive licences may be granted only if all other beneficiaries have waived their access rights (Article 31 of the GA).
- Option: the grant agreement may foresee right to object by the JU a transfer of ownership or the exclusive licensing of results to the third party established in a non-EU country not associated with the H2020.
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2. Timeline to GAP Signature
3. Practical Aspects of GAP Preparation
   1. GAP Preparation Process
   2. Actors involved
   3. SyGMA Tool for Grant Prep Phase
   4. Grant Preparation Report
4. Legal Framework
5. Admin & Financial Aspects
6. Conclusion
7. Reference Documents
8. Q&A
Admin and Financial Aspects

- Steps in SYGMA
- Pre-financing Principles
- Guarantee Fund
Admin and Financial Aspects

• Steps in SYGMA
  • Pre-financing Principles
  • Guarantee Fund
The following elements are checked automatically via Sygma within the grant preparation workflow:

- PICs
- LEAR
- Bank details of the coordinator
- Financial Viability Check (FVC) of the coordinator
Main steps to be done via Sygma are:

- **Beneficiaries (incl. Coordinator):**
  - Assignment of roles for coordinators / beneficiaries (LEAR / signatories)
  - Appointment of legal signatories
  - Sign declaration of Honour
  - Enter the PIC of linked third party

- **Coordinator only:**
  - Set the project start date
  - Verify PIC for beneficiaries / linked third parties
  - Check the proposal’s details
  - Define the budget
  - Check the reporting periods
  - Provide bank details
  - Implement the result of the financial capacity check, if applicable
  - Prepare and sign the consortium agreement
  - Prepare the DoA, Annex 1
Admin and Financial Aspects

- Steps in SYGMA
- Pre-financing Principles
- Guarantee Fund
**Admin & Financial Aspects**

**Pre-financing, Payments, Guarantee Fund**

<table>
<thead>
<tr>
<th><strong>One Pre-financing</strong></th>
<th><strong>Time-to-Pay</strong></th>
<th><strong>From</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>30 days</td>
<td>From: entry into force or from 10 days before the starting date</td>
</tr>
</tbody>
</table>

- No standard amount (or percentage) for the pre-financing payment. In principle, up to 100% of the average JU funding per period for actions with at least two reporting periods (e.g. 50% PF for a 2 periods GA)
- Retention 5 % of maximum grant for the **Guarantee Fund**

<table>
<thead>
<tr>
<th><strong>Interim Payments</strong></th>
<th><strong>Time-to-Pay</strong></th>
<th><strong>From</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>90 days</td>
<td>From reception of periodic report</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Payment of the Balance</strong></th>
<th><strong>Time-to-Pay</strong></th>
<th><strong>From</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>90 days</td>
<td>From reception of final reports</td>
</tr>
</tbody>
</table>
Admin and Financial Aspects

- Steps in SYGMA
- Pre-financing Principles
- Guarantee Fund
H2020: A new Participant Guarantee Fund (PGF) called ‘The Fund’ was established in order to ensure more efficient management and better coverage of the risks associated with the amounts due and not reimbursed by defaulting participants (Reg. n°1290/2013 – “Rules of participation”(RP)).
**Release of the amount retained for ‘the Fund’**

The amount due will be deducted from the amount of the Fund released.

If the resulting amount:

- is positive -> it will be paid to the coordinator
- is negative -> it will be recovered.

If the total amount of earlier payments is lower than the final validated contribution, the *JU* will pay the balance within 90 days from receiving the final report.

The released amount of ‘the Fund’ shall be paid in full to the coordinator together with the amount due for the balance.
The participants' contribution to the Fund will be deducted from the initial pre-financing. At the end of the action the amount contributed to the Fund will be released and returned to the participants, via the coordinator.

**Example:**

JU contribution (GA) 100,000 €

Contribution to the Fund 5 % 5,000 €

Initial pre-financing 45 % 45,000 €

Paid to coordinator 40,000 €

Paid to the Guarantee Fund 5,000 €
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Conclusion

• **TM** is focused on “technical part DoA” ...
  • Dissemination and Exploitation
  • Gender issue

• **Flexibility** (tailoring to the case) is more than important:
  • **Starting date** (eligibility of cost) is a challenge ... in case of Fixed Starting date before GA comes into power
  • Check “cash flow” against expected payments ... to minimize risk of project failure...
    • Reporting periods could be of different duration as a remedy...
  • In case of “no financial records” or weak Financial Viability either amount of pre-financing or a collateral would be agreed/negotiated
  • Ideally if Reporting periods corresponds to important milestones
Subcontracting (also described in DoA) ... do not forget:

- Only minor topics
- No IPR (Intellectual Property Rights)
- Impossible between members of the consortium (Wind Tunnel Test is the exception)

Misunderstandings and challenging items:

- **Reporting periods** in Grant Preparation Report ... it is intended as an input to Grant Agreement (independently from reporting to TM)
- **Legal relationships between the project consortium and ITD** ... usually Legal Departments are involved – start work on it a.s.a.p.
- **Documents/Guidelines** (and templates) are available in published CSJU Calls or CORDIS ... in case of difficulties please contact PO
- for more than 1 beneficiary the project consortium agreement is to be concluded ... agreement with an ITD/IADP is not enough
Main items (not exhaustive)

• TM to create an account in ECAS [if no existing account] and Coordinator to grant access to TM to Participant Portal
• Contact TM and establish meeting schedule (cc PO !)
• Agree/confirm Deliverables, Milestones and Budget
• Upload documents into the system
• If needed ask for PIC
• Set up your Consortium Agreement asap (where applicable)

Main milestones

• Draft of GAP preparation on 30/09: via upload of updated DoA
• Final GAP preparation on 30/10
KOM Agenda

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Reference documents

- CSMM
- CS2 Rules for submission for Partners
- CSJU Work Plan and General Annex
- CS2 Model GAP
- Horizon 2020 Annotated Grant Agreement
- CS2 model Implementation Agreement
- CS2 Rules for submission for Partners
- CS2 Financial Regulation
- H2020 Guide for Grant Agreement Preparation

-END-
KOM Agenda

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Thank you for your participation!

Questions can be sent to

Info-Call-CFP-2014-01@cleansky.eu

Innovation Takes Off

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