Webinar on Legal and Financial Matters in Horizon 2020 for new NCPs

Welcome!

We will start the webinar 12:00 CET.

The presentation slides and recording will be published on http://www.ncpacademy.eu/ in due time after the webinar.
Legal and Financial Matters in Horizon 2020 for new NCPs

Webinar
6th March 2018

Morten Gylling, DAFSHE, NCP Academy Partner
Melanie Büscher, Brain2Business, former NCP
Who are we?

• NCP since 2015 – Legal/Finance and MSCA
• Has worked with FPs since 2010
• Loves giving participants subtle hints on what procedures could be a bit too creative with regards to EU.

• NCP from 2007 to 2017 – mostly Legal/Finance
• Since October 2017: own company as certified facilitator and trainer
• Enjoys discussing EU rules and reporting requirements.
How new are you?
Winning a H2020 grant is almost like winning the lottery. But not when it comes to spending the money...
What are we going to talk about?

- Types of projects
- Reimbursement rates
- Type of costs
- Roles and responsibilities in the consortium
- Legal obligations
- Electronic procedures and reporting
- Summary and good advice
# Horizon 2020 Structure

<table>
<thead>
<tr>
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<tbody>
<tr>
<td>The European Research Council</td>
<td>Leadership in Enabling and Industrial Technologies (LEIT) (Information and Communications Technologies, Nanotechnologies, Space)</td>
<td>Health</td>
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<tr>
<td>Future and Emerging Technologies</td>
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<td>Bioeconomy</td>
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<tr>
<td>Marie Skłodowska – Curie Actions</td>
<td></td>
<td>Energy</td>
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<tr>
<td>Research Infrastructure</td>
<td>Access to risk finance</td>
<td>Transport</td>
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<td></td>
<td>Innovation in SMEs</td>
<td>Climate Action</td>
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<td>Inclusive societies</td>
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<td>Secure societies</td>
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Specific Challenge: Tens of millions of people live in forced displacement, many of them in protracted refugee and displacement situations for long periods of time and even generations. This is often accepted, albeit reluctantly, as a semi-permanent state of affair given that return as a solution to forced displacement rarely takes place. The situation affects life trajectories of displaced people and poses multiple challenges for social, economic, urban and environmental services and for local investments and labour markets.

Scope: Proposals should investigate the medium and long-term socioeconomic dimensions of forced displacement when forcibly displaced persons constitute an urban and mining sector or settle in unprotected and underprepared urban settings. They should also consider the psychosocial dimensions of forced displacement and gender-related issues. Through comparative research inside and outside Europe on reception and settlement strategies and their impact on livelihoods, proposals should assess medium and long-term trends and impacts and analyze opportunities and challenges for displaced people and for hosting communities as well as the potential for and resistance to the incorporation of displaced persons. They should also assess existing and historical practices and develop solutions to ease the pressure on hosting communities. The interface between responses to refugee emergencies, local integration and development should be explored, including testing of innovative practices to foster dialogue and build trust and resilience among refugees and host communities alike.

The Commission considers that proposals requesting a contribution from the EU in the order of EUR 3 million would allow this specific challenge to be addressed appropriately. Nonetheless, this does not preclude submission and selection of proposals requesting other amounts.

Expected Impact: The action will identify solutions for protracted displacement situations, also in the framework of the EU Partnership Agreements and of the United Nations and the EU migration and refugee compacts. By mapping the dynamics of interactions between the displaced and the host community and bringing it to the attention of policymakers, it will enhance policy responses to integration needs.

Type of Action: Research and Innovation action
# Types of actions indicated in the WP

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## Focus today:
- Research and Innovation Actions
- Innovation Actions
- Coordination and Support Actions

- Health
- Bioeconomy
- Energy
- Transport
- Climate Action
- Inclusive societies
- Secure societies
One project — one funding rate….. almost!

<table>
<thead>
<tr>
<th>Research and Innovation Action</th>
<th>Direct costs 100 %</th>
<th>Indirect costs 25 % flat rate</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Coordination and Support Action</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>All activities and all beneficiaries</td>
<td>100 euros</td>
<td>25 euros</td>
<td>125</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Innovation Action</th>
<th>Direct costs 70 % (100%)</th>
<th>Indirect costs 25 % flat-rate</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Profit beneficiaries</td>
<td>70 euros</td>
<td>17,5 euros</td>
<td>87,5 euro</td>
</tr>
<tr>
<td>Non-profit beneficiaries</td>
<td>100 euros</td>
<td>25 euros</td>
<td>125 euro</td>
</tr>
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Types of costs

• Actual costs: 1 euro spent = 1 euro reimbursed.
  • Example: personnel costs, travel costs

• Unit costs: predefined rate for a certain unit (hour/month etc.)
  • Example: access to research infrastructure

• Lump sums:
  • Example: SME instrument phase 1

• Flat rates:
  • Example: overheads
3 - Budget

<table>
<thead>
<tr>
<th>No</th>
<th>Participant</th>
<th>Country</th>
<th>(A) Direct personnel costs €</th>
<th>(B) Other direct costs €</th>
<th>(C) Direct costs of sub-contracting €</th>
<th>(D) Direct costs of providing financial support to third parties €</th>
<th>(E) Costs of in-kind contributions not used on the beneficiary’s premises €</th>
<th>(F) Indirect Costs ( =0.25(A+B-E) )</th>
<th>(G) Special unit costs covering direct &amp; indirect costs €</th>
<th>(H) Total estimated eligible costs ( =\sum_{i=A}^{K}(F_{i}+G_{i}) )</th>
<th>(I) Reimbursement rate (%)</th>
<th>(J) Max. EU Contribution € ( =H \times I )</th>
<th>(K) Requested EU Contribution €</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Danish Agency For Science And</td>
<td>DK</td>
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<td>100</td>
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Types of costs

A. **Personnel costs**: salary for the beneficiaries’ employees.

B. **Subcontracting**: third party (company) carrying out project activities.

C. **Other direct costs**: travels, equipment, consumables, goods and services.

D. **Financial support to third parties**: only relevant for a few projects. Cascade funding – many small amounts for limited activities.

E. **In-kind contributions**: use of third party’s lab or employees.

F. **Indirect costs**: 25% flat rate of most of the costs above.

G. **Special unit costs**: only clinical studies, energy efficient measures and research infrastructure calls.
Roles and responsibilities in the consortium
Grant Agreement – Annex 1 & 2

H2020 Programme

Multi-Beneficiary
General Model Grant Agreement

(H2020 General MGA — Multi)

Version 1.1
14 October 2017

Disclaimer
This document is aimed at assisting applicants for Horizon 2020 Funding, in the evaluation of the text. The final text of the actual wording and definitions is contained in the颗粒 funding agreement. The legal wording of the grant agreement is that which is copied in the appendix for each annex.
The Consortium Agreement
Question to participants

When your clients ask you what their obligations are when they participate in a H2020 project, what do you tell them?
The obligations of the beneficiaries

All beneficiaries have full responsibility for implementing the action and complying with the Grant Agreement.

All beneficiaries are jointly and individually liable for the technical implementation of the action as described in Annex 1.
The obligations of the beneficiaries

Each beneficiary is responsible for their own financial statements and their compliance with the rules on eligibility of costs.

In addition: some administrative requirements, in particular with regards to transparency.
The beneficiaries must inform the Commission about major changes in their organisation (LEAR = Legal Entity Appointed Representative).
The beneficiaries must inform the coordinator about circumstances that could affect the implementation of the action significantly.
The beneficiaries must provide input to the financial statements and periodic reports to the coordinator in good time.
The beneficiaries must provide information to the Commission if requested to do so.
The information must always be:
- Concise, correct and complete
- In the right format
- Submitted before the deadline

In other words: Transparency!!
Questions to participants

With regards to these obligations, is there anything that surprised you?
Coordinators have some more obligations

The coordinator must monitor that the action is implemented properly.

The coordinator must act as the intermediary for all communications between the beneficiaries and the Commission.
The coordinator must request and review any documents or information required by the Commission.

In particular, the coordinator must verify their completeness and correctness before passing them on to the Commission.

The coordinator must also submit the deliverables and reports to the Commission.
The coordinator must ensure that all payments are made to the other beneficiaries without unjustified delay.
The coordinator must inform the Commission of the amounts paid to each beneficiary, when required.
The coordinator may not delegate the previously mentioned tasks to any other beneficiary or subcontract them to any third party.
Quality check of the documents – how to?

Financial Statements:
• verify consistency with the action tasks
• verify their completeness and correctness
Financial Statements:

• But NOT the eligibility of costs

• Each beneficiary remains responsible for the cost it declares (both with regards to whether eligible and verifiable).
Other reports/ deliverables

• Are they complete?
• In the right format?
• Is the information provided related to the action?
Internal organisation: Consortium agreement

Concerns mainly the “governance” of the project

- Confidentiality
- Voting rules
- Division of tasks
- Distribution of project budget
- Distribution of intellectual property rights
- Liabilities
- ...
What if...

• Changes in work plan?
• Budget redistribution needed?
• Someone wants to leave?
• Someone new has to get in?
• Someone is not performing?
• ...

➔ There is flexibility
➔ In some, but not all cases, the consortium needs to amend their Grant Agreement
Question to participants

Based on what you have heard just now, what pieces of advice do you have for new coordinators?
Other legal obligations

Intellectual Property Rights

• Must be addressed in the Consortium Agreement
  • What kind of results are expected?
  • How will background and results be organised and managed?
  • How will joint ownership be treated?
  • How will results be protected?
  • How will results be made available and disseminated to the public?
  • How will results be exploited?
Other legal obligations

Communication and dissemination

• Scientific and non-scientific publications
• Conferences
• Networking events and business fairs
• Project websites
• Communication material (such as posters, leaflets)
• Social Media
• Open Access
Other legal obligations

Remember EU emblem and acknowledgement:

NCP Academy
Training National Contact Points

THENCPACADEMY
Brings together Horizon 2020 NCP Coordinators and Legal and Financial NCPs
Implements training on cross-cutting issues for National Contact Points
Addresses quality standards and good practice
Significantly enhances the performance of NCPs

LATESTTWEETS

This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 633563.
Participant Portal is key!
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Participant Portal is key!
NCP Advice for Participant Portal

• Get your own access so that you become familiar with the portal
• Play around with the search topic functions
• Play around with the proposal submission functions
• Check out the NCP training areas
• Check out the reference documents, in particular templates!
• Read the H2020 Online Manual
Thanks for your participation

If you have any questions, please use the chat feature in the lower left corner of your screen.
Q&A session

The presentation slides and recording will be provided on http://www.ncpacademy.eu in due time.
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