

FAQs EU HORIZON 2020 Project at the University of Vienna

1.) At Application Stage

Q. What is HORIZON 2020?

A. Horizon 2020 (H2020) is the EU Research & Innovation programme with nearly €80 billion of funding available over 7 years (2014 to 2020; see at [Research & Innovation webpage of the European Commission](#) and at the [FFG](#), which hosts the Austrian NCP for H2020 Programme).

Q. How do I find a Call?

A. Please check the EU research [Participant Portal \(Funding Opportunities\)](#) webpage; search for calls, find proposal templates, information & documentations, and submit your proposal. You can find the H2020 Manual under this [link](#).

Q. How do I register and then log into the Participant Portal (PP)?

A. Access to the Participant Portal is based on an individual [ECAS account](#). ECAS stands for the European Commission's Authentication Service. It provides single sign-on across a large number of Commission information systems.

Q. How do I register for the EC application system?

A. For each call under H2020, an [Electronic Submission Service](#) for the specific call is made available only for the short period between the opening and the deadline of the particular calls. (Please check the specific H2020 [Call website](#)).

Q. What is the PIC (Participation Identification Code) of the University of Vienna?

A. **999866883**. The University is already registered with that PIC. Please note: basic data of the University are already in the EU [Participant Portal](#) system when using the PIC (such as the legal form, non-profit organisation, public body, research organisation, higher or secondary education establishment, Academic Sector, status of the organisation, legal entity, Legal Entity Appointed Representative (LEAR) etc.).

Q. What is the NACE code?

A. Main area of activity (NACE code): Higher secondary education (NACE 85.3).

Q. What is the University's VAT nr?

A. ATU37586901.

Q. What is the legal name and address of the University?

A. Universität Wien, Universitätsring 1, 1010 Vienna, Austria.

Q. What is the short name?

A. UNIVIE.

Q. What is the legal form of the University?

A. legal entity under public law.

Q. What is the internal authorisation process at the University of Vienna?

A. For a project with a funding/costs volume ≥ 100.000 Euro (the University's share), you will need the authorisation from the [Rectorate](#) (currently Heinz Faßmann, Vice Rector for Research & Career Development) via the [University Office for Research Services & Career Development](#). (Please note that due to internal regulations, a project with a funding volume ≥ 400.000 Euro will need to be authorised and signed by two members of the Rectorate). Please submit (electronically) your application 2 weeks prior deadline to the [University Office for Research Services & Career Development](#). If the funding volume < 100.000 Euro then the Dean (Vice Dean) of your Faculty may authorise your application. We would ask that, independent of the funding volume, you inform the Faculty about the submission of the proposal.

Q. Who is the Contact Person?

A. In the administrative forms, the 'Person in Charge of the Proposal' is usually the Principal Investigator (PI) (or the Project Manager). For all ERC applications, a contact person at the Host Institution is also required. Here please name (as research coordinator) Amy Radlberger or Helmut Schaschl, both with the email address eu.fsib@univie.ac.at and phone number +43-1-427718228.

Q. Do I need to sign a confidentiality agreement during proposal preparation?

A. Particularly with collaborative projects, future participants may wish to exchange information about their respective methods of work, scientific achievements etc. Some of this information may be confidential and should be protected. Therefore, it may be necessary or advisable to sign a confidentiality agreement before initiating substantial negotiations regarding the proposal preparation and the future work. The **technology transfer office** will assist you with this. Please contact techtransfer@univie.ac.at if you have any questions or for further information.

Q. Which costs do I need to include in my proposal?

A. You can include all the standard direct costs that apply to any research grant: staff costs (in accordance to the Collective Bargaining Agreement for University Staff (Kollektivvertrag), consumables, equipment, travel, costs for open access publications, subcontracting and audit. Staff costs need to be valorised with 2-3% over the project lifetime. Non-recoverable VAT is now an eligible cost. An external audit, i.e. a Certificate on the Financial Statement (CFS), is obligatory at the end of the project if the funding of the direct costs is > 325.000 Euro: please calculate approx. 1,25% of the direct costs under 'other direct/other goods and services costs' for an audit. Under H2020, you can also include the costs of permanent academic staff, but you should be aware that these costs will only be paid on the basis of an appropriately completed timesheet. You also need to include indirect costs (overheads) which is a flat rate of 25% of the direct costs (excluding subcontracting costs). Please note: if you apply, or have successfully applied for equipment, keep in mind that only depreciation costs will be reimbursed (details on depreciation rates used at the University can be provided by the [University Office for Accounting and Finance](#)). Full financing must be assured and planned in advance. Please note: in the MSCA flat rate costs categories are used (and may lead to a funding gap; therefore please contact the [University Office for Research Services & Career Development](#) in due time).

Q. If my project is successful, what will I actually receive?

A. The EU Commission will reimburse projects at 100% of all costs; i.e. the total of direct

costs (100% funding rate) plus indirect costs (25% funding rate). Please note, under the MSCA funding scheme flat rates apply.

2.) At Contract Preparation & Grant Signature Stage

Q. What is the Identity and Access Management (IAM) or role management in the Participant Portal (PP)

A. The role management of the PP assures that its personalised services after log-in correspond to each user's specific role in the proposals submitted to H2020 calls. Each person has to register for an [ECAS](#) account. The unique identifier for a physical person is the (University) e-mail address used for the creation of the PP (ECAS) account. Depending on their [role in a project](#), users can have access to grant preparation, [see Role management changes in brief at this link](#).

Q. What Roles need to be added to H2020 Participant Portal (grant management)?

A. The EC only approves/modifies the 'top' role in the project consortium, i.e., the **Primary Coordinator Contact (PCoCo)** who will then grant access rights to the project to the contact persons of other participating/beneficiary organisations, i.e., the role as **Participant Contact (PaCo)** (if not, please ask your coordinator to give you access to the project). In addition, the **PaCo** can appoint further roles to the project within their own organisation such as **Team/Task Members** (with read-only rights). To do that go to the *My Projects* page under the *My Area* section, select *Project Consortium (PC)*; click the yellow button), select *Edit Roles* and then *Add Roles*. Each beneficiary needs also to select **Project Legal Signatory (PLSIGN)** and the **Project Financial Statement Signatory (PFSIGN)** (see FAQs below); these roles for the University are already in the EU Participant Portal specified by the **Legal Entity Appointed Representative (LEAR)** of the University (if not, then please contact the [LEAR](#)).

Q. Who is the Legal Representative/ Legal Signatory (LSIGN)/ Project Legal Signatory (PLSIGN) and is authorised to sign Grant/Consortium Agreement?

A. Currently, **Heinz Faßmann** (Vice Rector)/or the Dean of your Faculty (if the funding volume is < 100.000 Euro; if the Dean is not yet in the system please contact the LEAR – see FAQ above). In the EU Participants Portal you need to be linked, by the coordinator, to the specific H2020/EU project then you can choose/tick the PLSIGN (the given email in the system for the University of Vienna PLSIGN (Heinz Faßmann) is eucontract-univie@univie.ac.at).

Q. Who is the alternative authorised representative/ PLSIGN to sign Grant/Consortium Agreement

A. Heinz Engl (Rector) (or the Vice Dean, if the funding is < 100.000 Euro).

Q. Who has the role of Financial Statement Authorised Signatory (FSIGN) and the role of Project Financial Statement Signatory (PFSIGN)?

A. The role of FSIGN and PFSIGN is currently held by [Bettina Filz](#) and [Michaela Seywald](#) from the University Office for Accounting and Finance. FSIGNs are persons authorised to sign financial statements in EU grants on behalf of their organisation. In the EU Participants Portal you need to be linked to the EU project then you can choose/tick the PFSIGNs.

Q. What are the bank details of the University of Vienna for EU projects?

A. Account number: 00000 675 447, Bank sorting code (BLZ): 32000
 BIC: RLNWATWW, IBAN (Currency: EURO): AT08 3200 0000 0067 5447
 Bank: Raiffeisenlandesbank NÖ-Wien AG, Friedrich-W.-Raiffeisen-Platz 1, A-1020 Vienna, Austria.

Q. What is the purpose of EU Grant Agreement Preparation?

A. The purpose of this phase is to finalise the details of the work (i.e., Description of Action (DoA)/Annex I) to be carried out under the Grant Agreement (GA) within the associated project budget, as well as to establish the legal and financial information needed to finalise the GA. The University Office for Research Services & Career Development, if required, will support and advise you in legal and financial matters of your H2020 project.

Q. Can I sign the Grant Agreement myself?

A. No, it will be signed by the legal representative(s) of the University, currently by the Vice Rector, Heinz Faßmann (or as second alternative legal representative by Rector Heinz Engl, or, if the funding is < 100.000 Euro by the Dean/Vice-Dean). Please send all documents in due time to the [University Office for Research Services & Career Development](#).

Q. What is the difference between the Grant Agreement and the Consortium Agreement?

A. The Grant Agreement is the principal agreement between the EC and the grant holder (University). For multi-partner projects the grant holder is always the Coordinator and the consortium partners bind themselves to the terms of the Grant Agreement by signing the Accession Form. The Consortium Agreement however is signed solely between the consortium partners and addresses the issues not covered in the Grant Agreement. In case of conflicting terms, the Grant Agreement shall always overrule the Consortium Agreement.

Q. Why do we need a Consortium Agreement?

A. An effectively drafted Consortium Agreement can, and should, fulfill multiple purposes within a project that will help to ensure that the process of producing project deliverables and the achievement of project outcomes are made as efficient as possible. It should not be viewed as simply a piece of administrative paperwork to be completed as an afterthought to the main work of the project – it should be completed in advance of that work and serve to underpin the process. In particular, the Consortium Agreement is meant to cover such issues between the consortium partners as the management structure, liabilities, reporting, budget, workplans, publication regulations, intellectual property (IP) ownership, access rights, dispute resolution and commercialisation regulations. The EC requires concluding a Consortium Agreement in most cases to avoid time-consuming disputes during or after the project. For IP related issues you may also contact the techtransfer@univie.ac.at.

Q. For an EU project, when should we draw up and sign our Consortium Agreement?

A. The Consortium Agreement is deemed to have been concluded before the signature of the Grant Agreement between the Commission and the project coordinator. Therefore, the Consortium Agreement should be drafted as early as possible in the project development process. As already noted, a well drafted Consortium Agreement can play a key role in the project process by providing a coherent framework for operational development by the project team. It also requires the project partners to think carefully, at an early stage, about what they see their role

within the project as being, and, if appropriate, where they would like it to go in the future. If the creation of a Consortium Agreement is left until later in the project process, it may become increasingly difficult to obtain agreement from project partners as to their respective responsibilities and future ambitions for project outcomes and deliverables.

Q. Is there an official model Consortium Agreement provided by the EC?

A. There is no official model of a consortium agreement issued by the Commission. However, with the beginning of the FP7, various contract models made their appearance, namely DESCAs, IMG4, IPCA and EUCAR. The University Office for Research Services & Career Development generally recommends the DESCAs model. However, the precise content of a Consortium Agreement will vary according to the nature and scope of the project at issue. Therefore, project partners should, wherever possible, avoid the approach of simply adopting a basic template and ‘filling in the blanks’, as this approach may well fail to address important issues specific to that individual project, or type of project. It is essential that each of the project partners spend adequate time assessing the construction of the Consortium Agreement in order to work through and understand the implications of the terms chosen, as regards their particular participation in the project. Please contact the [Legal Advisors at the University Office for Research Services & Career Development](#) at an early stage for custom-made consortium agreements or adaption of the DESCAs-contract model to the respective project.

Q. Can I sign the Consortium Agreement myself?

A. No, it will be signed by the legal representative(s) of the University. The Departments, Institutes or Principal Investigators (PIs) cannot legally bind the University, and all contracts should state the University as the contracting party, not the Department/Institutes or the PI. A signature from anyone other than authorised representative(s) of the University may make a contract invalid. All contractual paperwork should be sent therefore to the [Legal Advisors at the University Office for Research Services & Career Development](#).

Q. What are the key issues for the University of Vienna in a Consortium Agreement?

A. Your Legal Advisor will endeavour to get the best possible terms to ensure fair voting rules on consortium matters; fair sharing of revenue between joint creators of intellectual property; minimal delays to publication of results and appropriate protection of background intellectual property that you bring to the project.

Q. I would like to withdraw from my EU project, how do I do that?

A. Almost all Consortium Agreements will have a section dedicated to withdrawal procedures. In case the Consortium Agreement does not provide these guidelines, the EC Contract terms can be followed. As a general rule, the other Consortium partners would need to give their (unanimous) approval for your withdrawal, which shall not be unreasonably withheld.

3.) At Post Award Stage

Q. Where can I find guidance for implementing and managing an EU research grant?

A. Please find detailed information for project management at the University at the internal website “[Services for External Funding](#)” (intranet - you need to log-in with your email address and password). The [University Office for Accounting and Finance](#) assists you in [implementing](#) a

project (e.g. to get the internal order number), in financial reporting and/or in accounting. The financial statements (Forms C) will have to be signed electronically and transmitted exclusively via the Participant Portal. The roles of **FSIGN & PFSIGN of the University of Vienna** are held currently by [Bettina Filz](#) and [Michaela Seywald](#) from the University Office for Accounting and Finance.

Q. How to employ personnel?

A. For employment related issues you may contact the [Human Resources Department](#). We advise you to get in contact with the [Human Resources Department](#) as soon as possible in order to initiate the employment contract. Please contact them and/or check their website (or the intranet '[Drittmittelservices](#)') to request necessary forms for the employment contract and information about the Kollektivvertrag (salary scales)/ taxes/ health insurance/ visas etc. Please note that personnel who are not employed full-time on an EU grant need to have time sheets in order to claim their costs.

Q. What are the rules regarding audit?

A. The audit certificate is called a [Certificate of Financial Statement](#) (CFS) and is only required at the end of the project, if cumulative expenditure of the direct costs exceeds €325.000. For audits please contact in due time the [University Office for Accounting and Finance](#); this department can provide you also with a list of external auditors for EU projects.

Q. What is the method of funding and how does this affect my budget?

A. Your EC budget is a total that cannot be exceeded. The EC contribution consists of one single pre-financing payment at the start of each project followed by interim payments and a final payment.

Q. What are the VAT rules of HORIZON 2020 grants?

A. Non-recoverable VAT (Mehrwertsteuer, MWST) is an eligible cost under H2020.

Q. What are eligible and non-eligible costs within H2020 projects?

A. **To be eligible for refund costs must be:** actual (“real, not estimated”), economic (best value for money) and necessary for the project, incurred during the duration of the project, recorded in the accounts (or third parties), excluding non-eligible costs, not give rise to profit. **Non eligible costs are:** interests owed, exchange losses, debt and debt service charges, excessive or reckless expenditure, any costs which do not meet the conditions to be eligible costs.

Q. What are the new Open Access requirements under Horizon 2020?

A. All projects which are funded or cofunded by Horizon 2020 are required to ensure free of charge online access for any user to scientific publications relating to its results. In some cases, this also applies to the research data. These costs are also eligible under Horizon 2020. In addition, under Horizon 2020, in some areas (e.g., FET, ERC, MSCA some Societal Challenges) beneficiaries will be required to deposit the research data generated by the project in a research data repository and enable third parties to access this data free of charge. There are two main routes which can be followed for enabling open access to **publications: Self archiving** (also referred to as green open access) means that the published article or the peer-reviewed manuscript is archived (deposited by the author/or representative) in an online repository before or after its publication. Sometimes an embargo period is set by the publisher; or **Open access publishing** (also referred to as gold open access) means that an article is immediately provided in

open access mode as published. This method often incurs an additional fee. Open access fees during the lifetime of the project are eligible under Horizon 2020 and should be included in your costs at proposal stage. It is however currently not possible to fund fees which are incurred after the project has finished and this may be an additional cost to you. These fees could be funded for example from the remaining project overheads. If you prefer self-archiving, then please be aware that you must ensure Open Access to the publication within 6 months of depositing the final peer-reviewed manuscript in a repository. For the Social Sciences & Humanities this is extended to 12 months. In the database SHERPA-RoMEO <http://www.dini.de/wiss-publizieren/sherparomeo>, all available information concerning the conditions for an open access publication is available for many journals and publishers. The University has an Open Access Office who can advise and support you on all issues regarding Open Access: <http://openaccess.univie.ac.at/home/open-access-office/>. The University is also part of the OpenAIRE initiative <https://www.openaire.eu/> which also has a huge amount of useful information on Open Access, including FAQs and offers a repository for research data. Please contact Gerda McNeill: openaireaustria@univie.ac.at.

H2020 – major types of actions

Type	Code	Funding	Typical Duration	Aim of Action
Research & Innovation Action	RIA	100%	36-48 months	Collaborative research & development project (≥ 3 entity)
Innovation Action	IA	100%*	30-36 months	Collaborative innovation project (≥ 3 entity) to plan/design/produce processes, products & services - activities close to the market
Coordination & Support Action	CSA	100%	12-36 months	Accompanying measure activities, studies, networking (≥ 1 entity)
Marie Skłodowska Curie Actions	MSCA	100%	depends on the type	Training and career development - for further details see the MSCA FAQs
European Research Council grants	ERC	100%	60 months	Support excellent PIs and their research teams (usually 1 entity)

* Funding rate for the University.

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2016	monatlich			jährlich		
	Brutto-Sätze	Brutto-Brutto: § 26	Brutto-Brutto: § 27	Brutto-Sätze	Brutto-Brutto: § 26	Brutto-Brutto: § 27
AssistentIn PostDoc (ab 8 Jahre)	€ 3,978.30	€ 6,134.26	€ 6,120.26	€ 55,696.20	€ 72,280.17	€ 72,112.17
UnivAssistentIn PostDoc (bis 8 Jahre)*	€ 3,590.70	€ 5,550.74	€ 5,536.74	€ 50,269.80	€ 65,277.87	€ 65,109.87
UnivAssistentIn Praedoc (ab 3 Jahre)*	€ 3,203.30	€ 4,967.51	€ 4,953.51	€ 44,846.20	€ 58,279.18	€ 58,111.18
AssistentIn Praedoc (bis 3 Jahre)*	€ 2,696.50	€ 4,204.54	€ 4,190.54	€ 37,751.00	€ 49,123.43	€ 48,955.43
Sekretariat**	€ 1,921.50	€ 3,037.79	€ 3,023.79	€ 26,901.00	€ 35,122.43	€ 34,954.43
LaborantIn**	€ 1,921.50	€ 3,037.79	€ 3,023.79	€ 26,901.00	€ 35,122.43	€ 34,954.43
Student. MitarbeiterIn***	€ 960.75	€ 1,591.39	€ 1,577.39	€ 13,450.50	€ 17,765.72	€ 17,597.72
* ohne Anrechnung von tätigkeitsbezogenen Vorerfahrungen bei 40h Beschäftigung						
** bei Einstufung in VerwGr IIIa						
*** ~ max. Beschäftigungsausmaß von 20h/Woche						
bei FWF-Projekten gelten die FWF-Personalkostensätze siehe:				http://www.fwf.ac.at/de/forschungsfoerderung/personalkostensaetze/		