Beyond the Science: Building a Colloborative Proposal under Horizon 2020
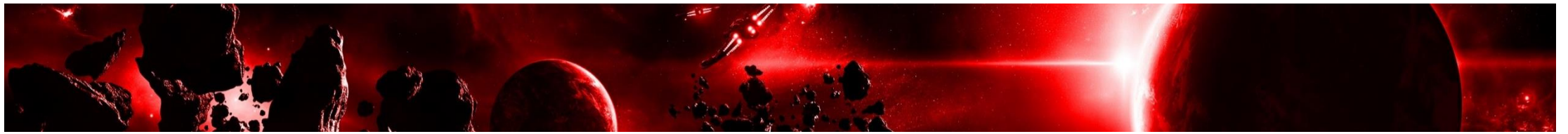
BEYOND THE SCIENCE

Building a Collaborative Proposal under Horizon 2020
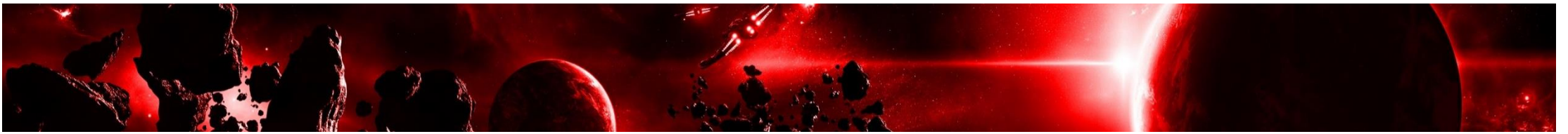
EARMA

Annual Conference 2016

Torben
Hansen

Tiffany Blackman
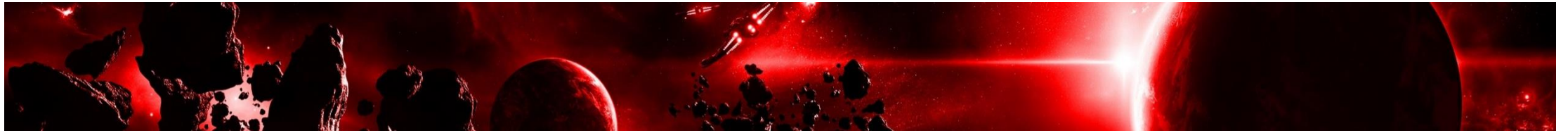Jennifer Ponting

Karl
Kerschbaum

PURPOSE: why we explore

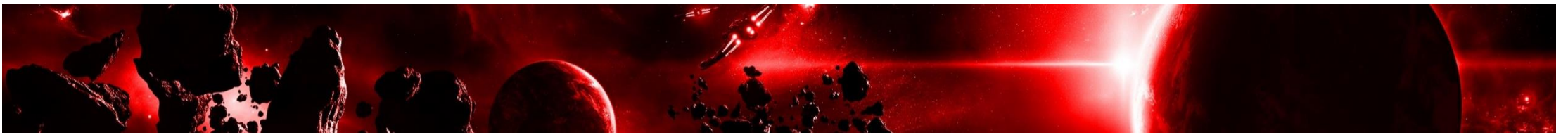Through specific suggestions and real examples, this session provides:

- Methods to coordinate third-party partners and address their concerns.
- Recommendations for coordination activities at each stage.
- Additional tools for coordination (e.g., budget templates, fillable reporting forms, etc.)

BtS
H2020

OUTLINE: what we will explore

PROPOSAL: building blocks

AWARD: keep talking

POST AWARD: running smoothly
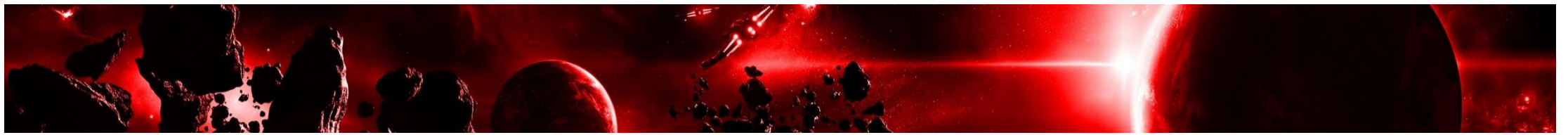
PROPOSAL: Finding Funding

BtS H2020

PROPOSAL: finding funding

The overarching principle of Horizon 2020 is collaboration:

- Most Horizon 2020 opportunities ask for a participation of at least 3 legal entities (universities, SMEs, industry etc.) from 3 different EU *Member Countries* or *Associated Countries.*

- In addition, participants from any other country in the world can be included referred to as *Third Countries.*

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PROPOSAL: finding funding

- EU *Member States*.
- *Associated Countries* (15) – they participate in Horizon 2020 under the same conditions as Member States.
- *Developing Countries* (130) may participate and are automatically eligible for funding.
- *Third Country Participants*: any country/territory that is not one of the following:
  - ➢ an EU country; or
  - ➢ an overseas country or territory linked to an EU country.

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H2020
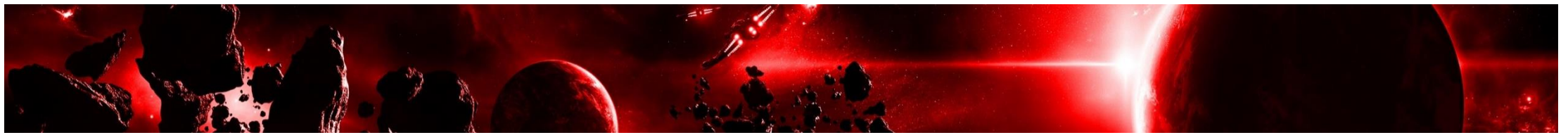
PROPOSAL: finding funding

Who _qualifies_ for funding under current rules in H2020?

Legal entity/Natural Person who…
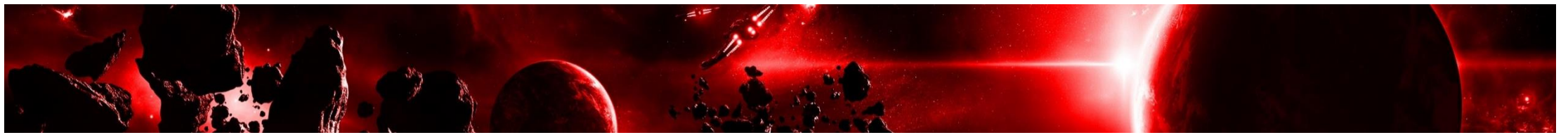
1.

Call	Topics
Digital Security: Cybersecurity, Privacy and Trust (DS-2015-1)	The role of ICT in Critical Infrastructure Protection (DS-03-2015)
	Secure Information Sharking (DS-04-2015)
	Trust eServices (DS-05-2015)

3.

Established in
a. A EU member-state
b. An associated country
c. One of the third countries automatically eligible for funding

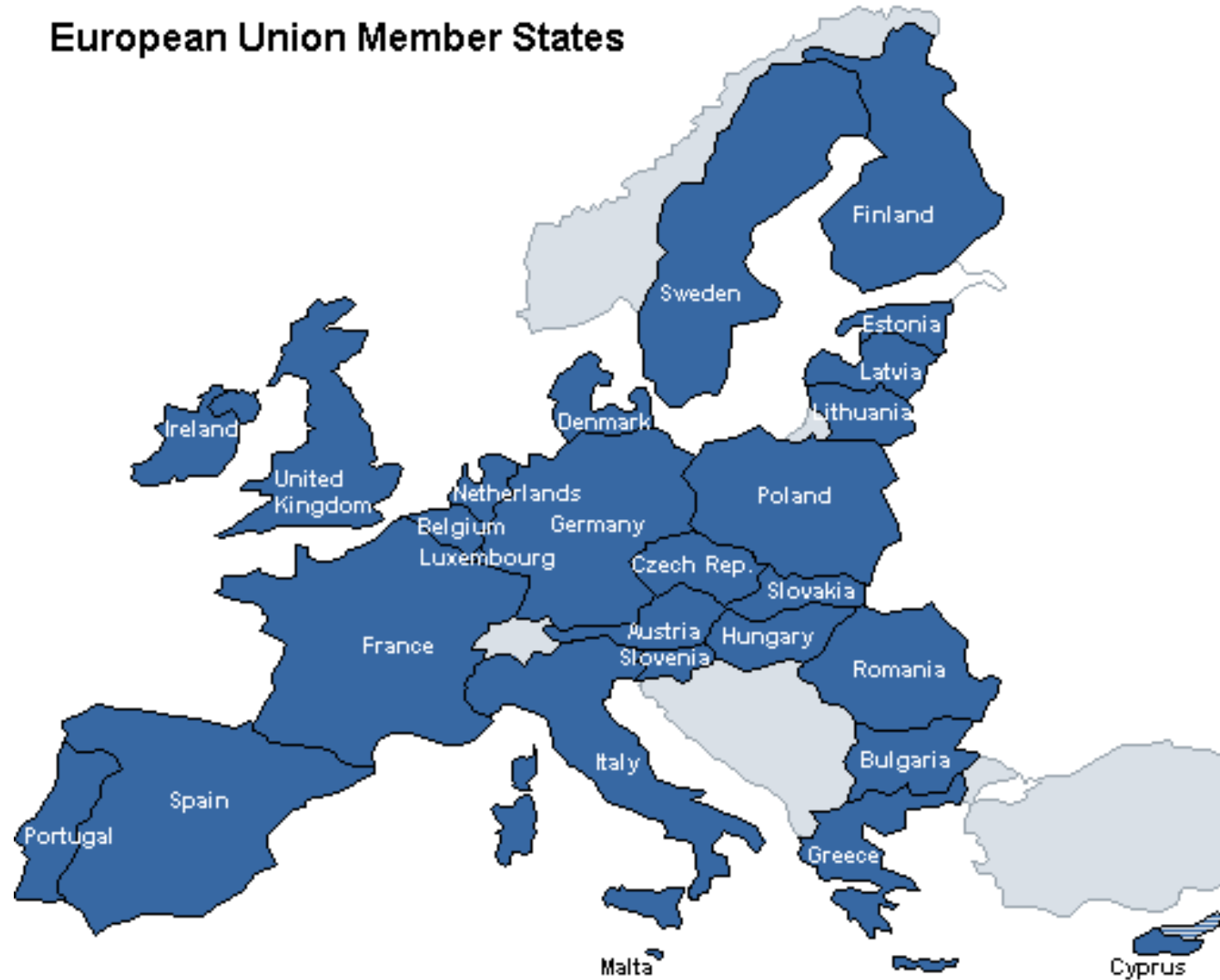Topic specifically mentions eligibility OR EU/third-country bilateral agreement exists.
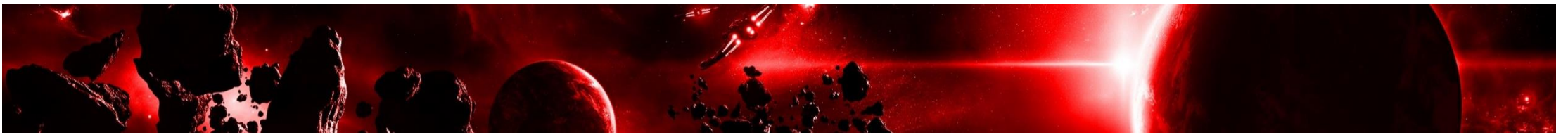
"When the Commission deems participation of the entity essential for carrying out the action funded through Horizon 2020" (Annex A)

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European Union Member States

PROPOSAL: finding funding

Switzerland:

- Is considered an Associated Country for all projects in "Excellent Science" pillar; the actions under the specific objective "Spreading excellence and widening participation"; and the Euratom Programme

- May also participate with a status of *Third Country* under other Horizon 2020 priorities that are not listed above.
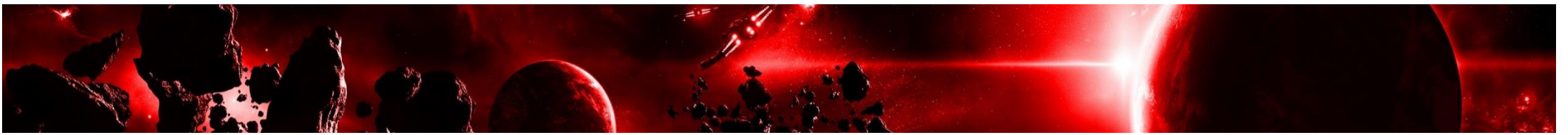
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PROPOSAL: finding funding

USA:

- Is considered a Third Country for all projects

- May qualify for funding

  - if the USA is explicitly identified in the relevant work programme and call for proposal as eligible or

  - their participation is deemed by the European Commission to be essential for carrying out the action.

  - when participating in the health programme on the basis of a reciprocal EU - US/NIH arrangement

    - ➤ US-partners are eligible for funding for all calls under the Societal Challenge 'Health, demographic change and well-being'.
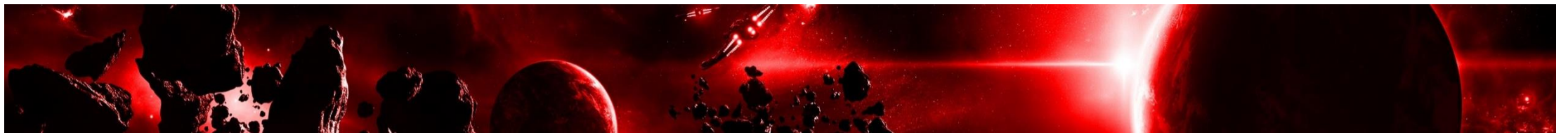
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PROPOSAL: finding funding

Recommendations:

- Leverage existing or reciprocal Research Partnerships
- Consider Hosting a MSCA Fellow

- Participating is not just about funding but rather engaging on a global stage. Be aware as a new participant that the administrative learning curve is high.
- Be honest with your partners and collaborators about your knowledge of EU grants.

Types of applications: CSA, RIA, IAs, MSCAs (This session will presume you are applying for a RIA)

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PROPOSAL: finding funding

Resources:

➤ Participant Portal (REALLY!!)
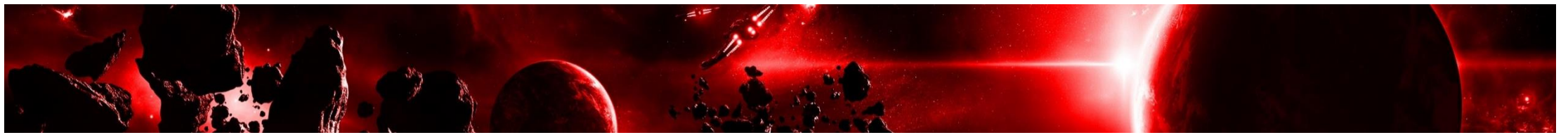➤ Contact your National Point of Contact Network
➤ EURAXESS
➤ Bilat 4.0
➤ Other

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H2020

PROPOSAL: getting organized

First things first – make sure to speak the same "language":

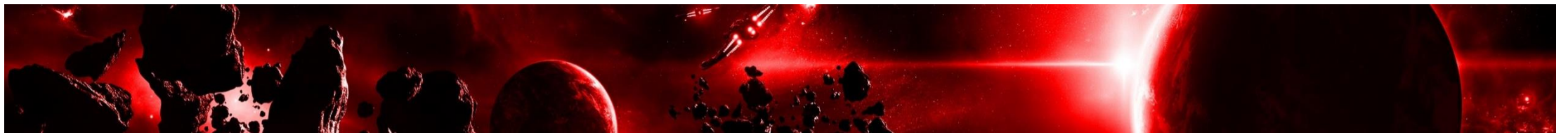| What EU calls it (H2020)	What it might be called in third countries
Beneficiary (participant)	Partner/collaborator/
Grant Agreement	Notice of Award (USA)/contract
Co-funding	Cost sharing/matching
Indirect costs	Overhead
Consortium agreement	Collaboration agreement/ Multi-institutional agreement
Legal signatory	Authorised signatory
Third party	Subrecipient
'Partner' (see next slide)	?

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H2020

PROPOSAL: getting organized

Coordinators:

- Figure out who should be your main PoC. We recognize many people need to be involved, but it gets chaotic. Tell main PoC that all internal approvals and persons should be coordinated.
- Either hand out templates or give access in PIC portal. If access may need to hand-out or educate novice user of system.
- Set internal deadlines. Give guidance notes.

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H2020

PROPOSAL: getting organized

Beneficiary/Participant:

- Ask questions! If you don't understand your requirements, make sure the coordinator knows.
- Listen to your Coordinator: not all Partners.
- Make sure you push for budget early.

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CASE STUDY

Harvard Global Faculty H2020 Onboarding

EU Grants: Award Documentation

Grant Agreement
- Standard Forum
- Negotiated between EU & Coordinator
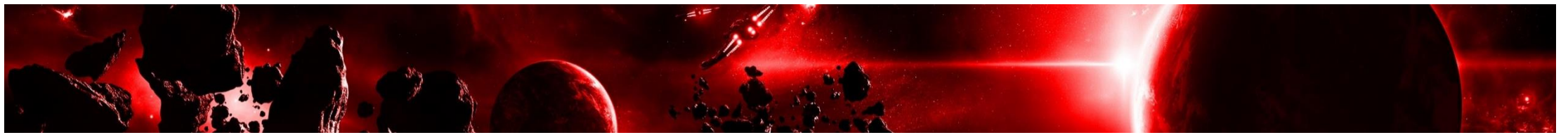- Signed by all beneficiaries (A2.5)

Consortium Agreement
- Binds the consortium of all partners
- Signed by all beneficiaries
- EU does not sign

Important Considerations: Timesheets

- All working time must be recorded at all times for **EVERYONE** on a monthly basis by an appropriate time-sheet system in order to justify the *DIRECT* relation between salaries/fringe and the project.

- Most impacted population is Faculty

- Time sheet data requirements:
  - Hours need to be broken out by:
    - ✓ Work Package
    - ✓ Cost Category
    - ✓ Non-productive or non-EU work hours

5

Case Study: Training/Onboarding

1. Training for Faculty and Researchers

2. Horizon 2020 Boot Camp for *all* involved in the Project

3. Specific Horizon 2020 Training for Departmental Research Administrators

4. Core Group of Pre/Post Experts in Central Administration that handle all questions and financial reporting related to the Award

5. Maintain constant communication with Lead Beneficiary Research Administrators

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H2020

PROPOSAL: building blocks

European Commission
Research & Innovation - Participant Portal
Proposal Submission Forms

Horizon 2020

Call: H2020-FETPROACT-2016-2017
(FET Proactive – Boosting emerging technologies)

Topic: FETPROACT-01-2016

Type of action: RIA
(Research and Innovation action)

Proposal number: 732248

Proposal acronym: EVOPLEX

Deadline Id: FETPROACT-2016

Table of contents

Section	Title	Action
1	General information	
2	Participants & contacts	
3	Budget	
4	Ethics	
5	Call-specific questions	

Part A

administrative information; ethics checklist; budget; additional information (open data, previous submitted proposal, etc.)
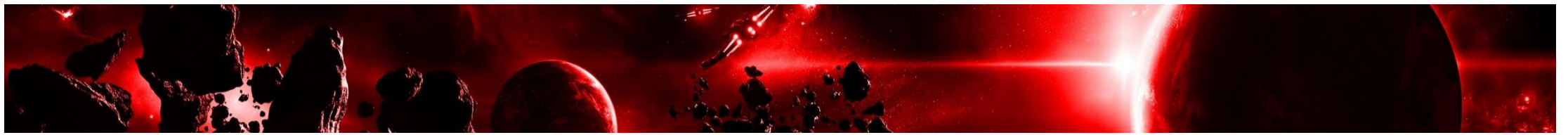
Part B

Section 1 Excellence
Section 2 Impact
Section 3 Implementation
Section 4 Members of the Consortium (description of partners)
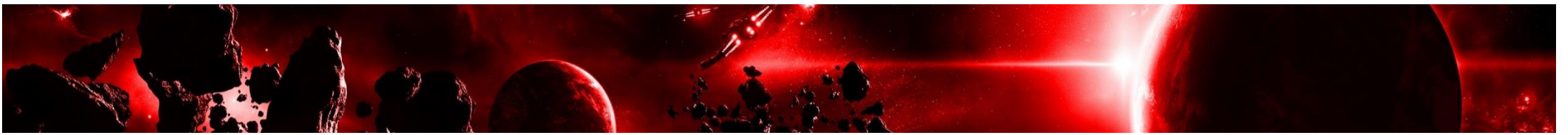*Section 5 Ethics and Security*

70 pages max

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PROPOSAL: building blocks

The "Rules" for proposal development can be found in the H2020 Annotated Model Grant Agreement (AGMA).

Annex 1, Part A···p. 83
Annex 1, Part B···p. 123
Annex 2, Budget ···p. 197

Two key questions:
Who *qualifies* for funding?
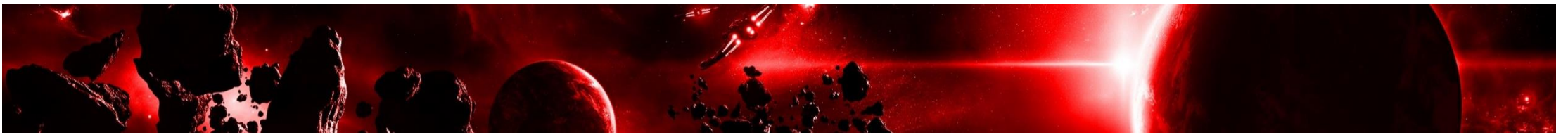Who *will obtain* funding?

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H2020

PROPOSAL: building blocks

What does it mean to be "_essential_"?

From an official briefing of evaluators RISE 2015 [emphasis as in source]:

- Partner has competences/expertise that **no organization** in any MS/AC has

- Transfer of knowledge needed for the project <u>can only be done by secondments from TC to MS/AC</u>

If the exceptional contribution is <u>requested</u> by the applicants, <u>the evaluators must give their opinion</u> (Y/N) in the Consensus Report'
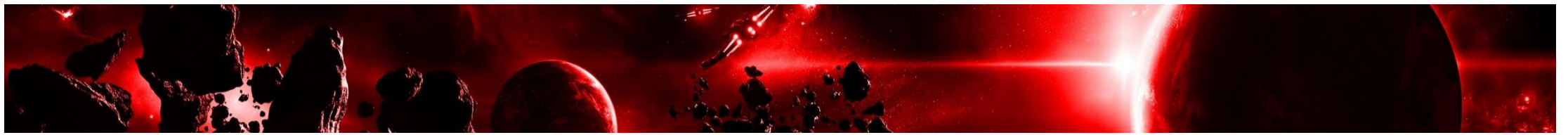
PROPOSAL: building blocks

"*Essential*" is ultimately an EC decision which involves many factors.

Take-away: Discuss this early in proposal development.

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PROPOSAL: building blocks

Third Country Focus: US Participation

- US institutions can <u>participate</u> unless directly excluded in the given topic.

- US institutions are automatically eligible for funding in SC1.

- US institutions are eligible for funding, if it is specifically stated in a topic text.

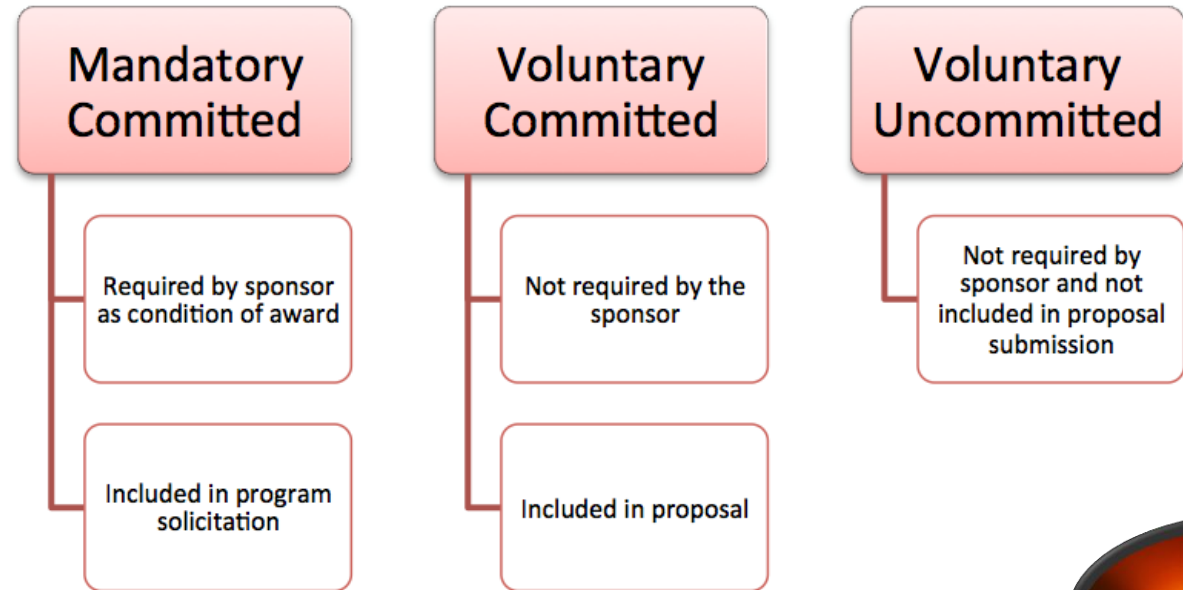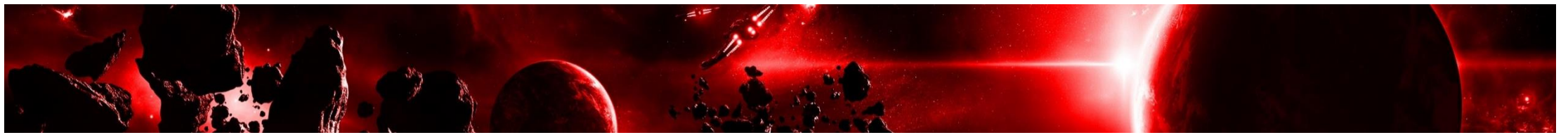- In all other cases, the 'essential clause' applies.

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PROPOSAL: building blocks

Third Country Focus: US Participation

If US entity
participating
without requesting
EC funding

=

COST SHARE

BtS
H2020

PROPOSAL: building blocks

Quick Start Guide for EU grants for third-country participants

BILAT 2.0 (soon to release BILAT 4.0)

www.euussciencetechnology.eu

BILAT USA 2.0

Horizon 2020 Guide for US researchers

A Guide to US participation in the European Union's Framework Programme for Research and Innovation (2014-2020)

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PROPOSAL: building blocks
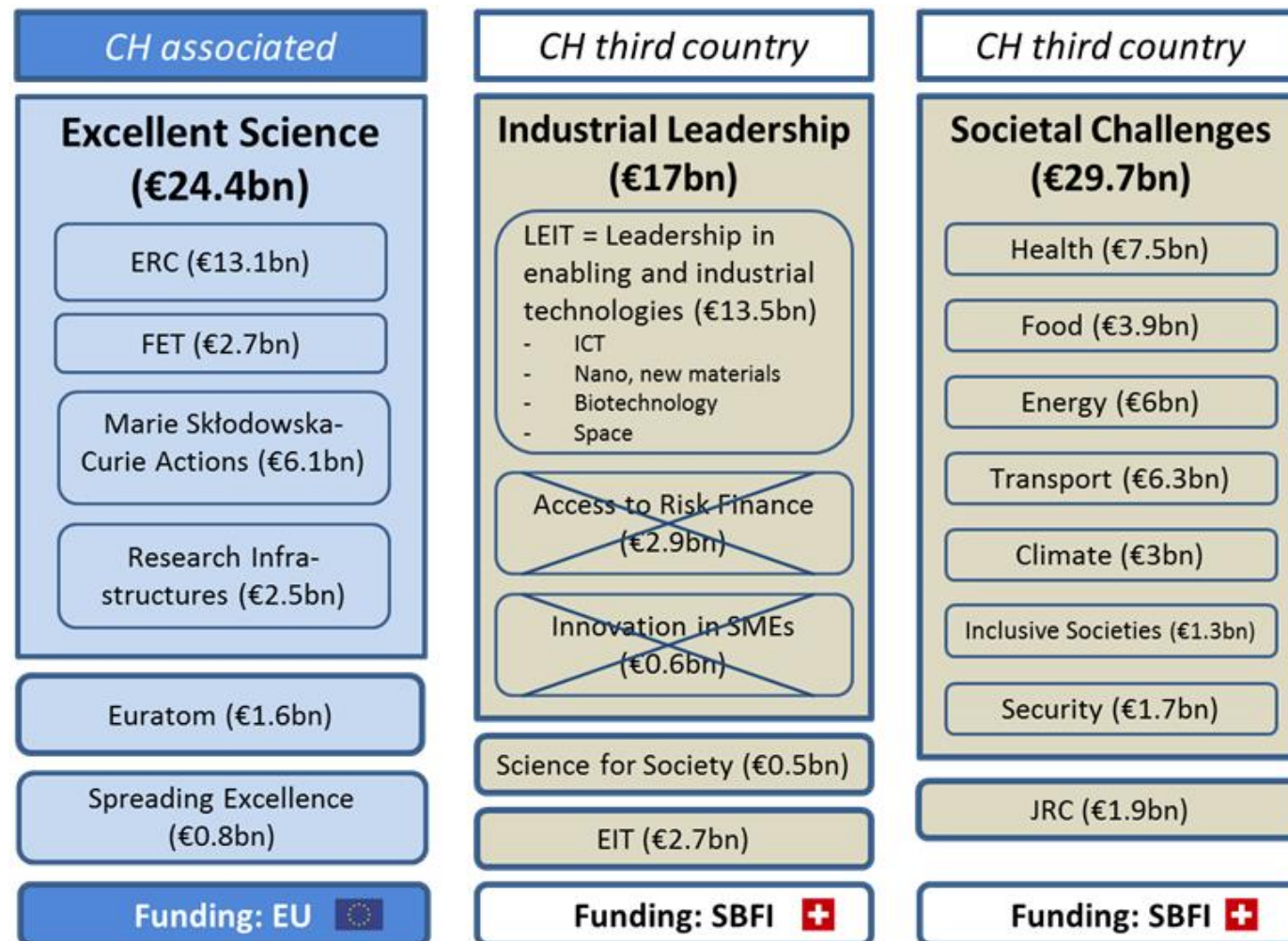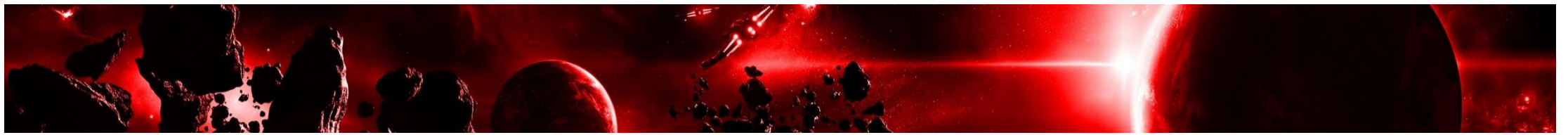
Third Country Focus: Swiss Participation

Partial Association for *all* calls in 2016

CH associated

Excellent Science (€24.4bn)
- ERC (€13.1bn)
- FET (€2.7bn)
- Marie Skłodowska-Curie Actions (€6.1bn)
- Research Infra-structures (€2.5bn)
- Euratom (€1.6bn)
- Spreading Excellence (€0.8bn)

Funding: EU

CH third country

Industrial Leadership (€17bn)
- LEIT = Leadership in enabling and industrial technologies (€13.5bn)
  - ICT
  - Nano, new materials
  - Biotechnology
  - Space
- Access to Risk Finance (€2.9bn)
- Innovation in SMEs (€0.6bn)
- Science for Society (€0.5bn)
- EIT (€2.7bn)

Funding: SBFI

CH third country

Societal Challenges (€29.7bn)
- Health (€7.5bn)
- Food (€3.9bn)
- Energy (€6bn)
- Transport (€6.3bn)
- Climate (€3bn)
- Inclusive Societies (€1.3bn)
- Security (€1.7bn)
- JRC (€1.9bn)

Funding: SBFI

BtS H2020

PROPOSAL: building blocks

Send out budget templates early!

   -Coordinators should hand out budget/Partners should ask for it

    - Once you have the template, two methodologies:

1. Set cap for TOTAL AMOUNT, e.g., 125K Euro per institution (works on proposals with similar beneficiary actions) **FASTER**

2. Set cost types , e.g., each beneficiary should have 2 trips /year to London, each beneficiary should give between 1-2 PM total, each beneficiary should budget for certain supplies, etc.

Set expectations about effort/person months. Make it clear for the partners which Work Packages they will be performing on.

BtS

H2020
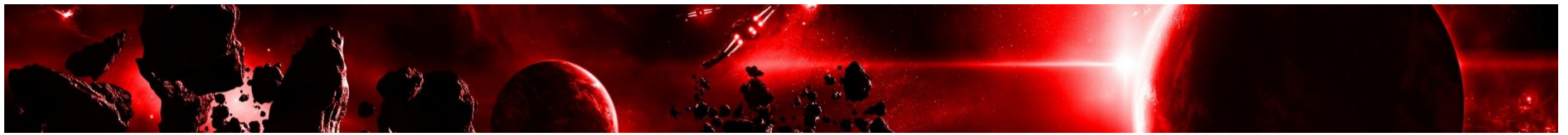
PROPOSAL: building blocks

PART B

- While scientists/researchers will write much of these sections, it is beneficial for an administrator to review and ensure the technical narrative accounts for "essential nature" of any third-country participants who are leveraging that designation.

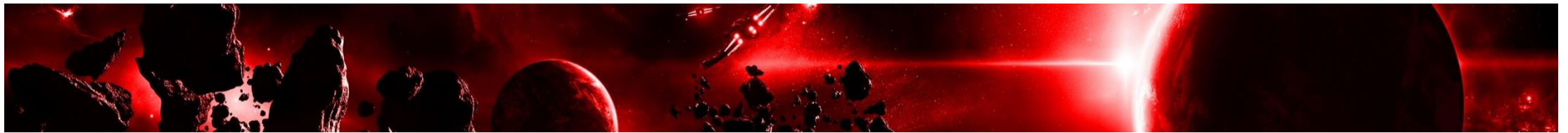- Highlight the rationale of uniqueness in research and impact.

"Technical" Sections that must align with the budget and partner descriptions:

Part B, Section 3 (Work Plan Descriptions)
Part B, Section 4 (Description of Partners)

BtS
H2020
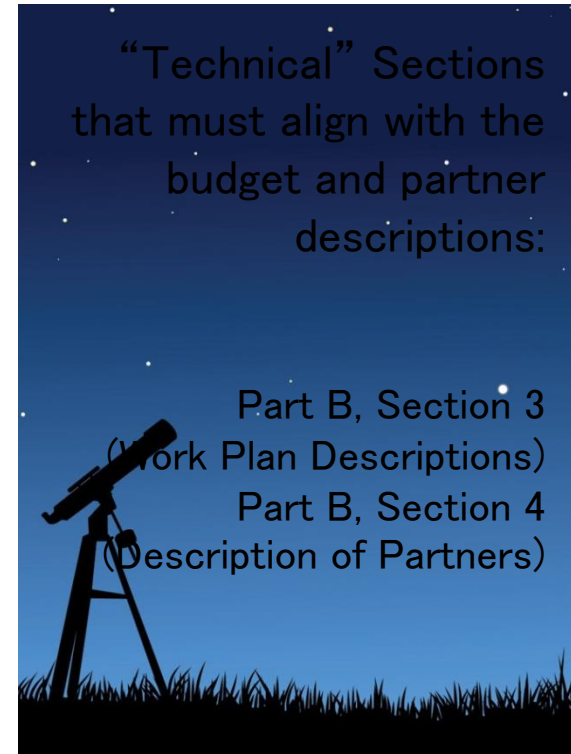
CASE STUDY

EU Budget Template
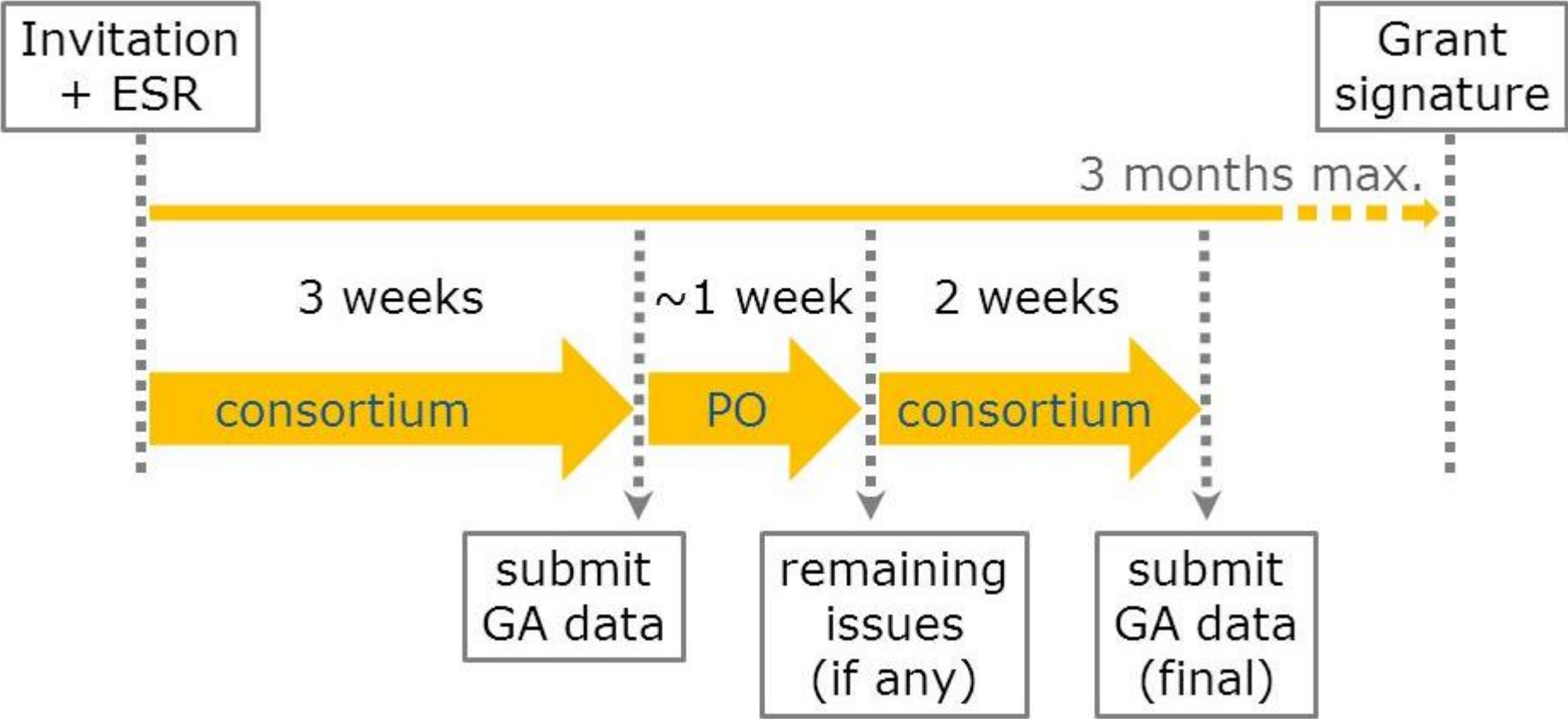With Local Currency Conversion
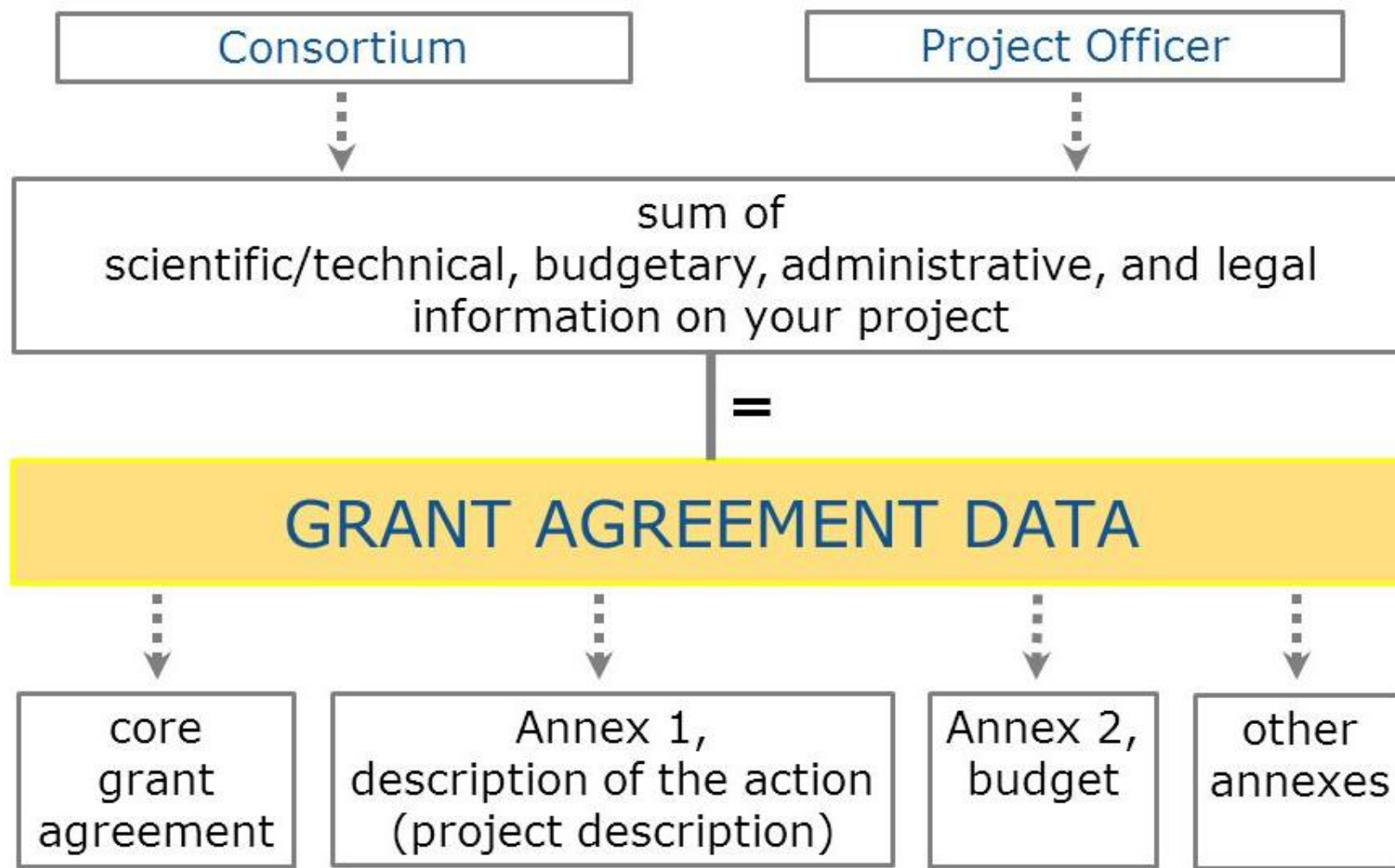
CASE STUDY: budget template

BtS H2020

AWARD: keep it together

AWARD: keep it together

AWARD: keep it together

Mandatory beneficiary validation and appointment of a LEAR
(only needed if the proposal is invited to contract negotiation)

Validation of organisation
- Provide information about legal status and finances (by email)
- For SMEs, an assessment of SME status is necessary
- EC will evaluate legal and financial stability

LEAR (Legal Entity Appointed Representative)
- To be appointed by legal representative of the organisation
- Original, signed documents to be sent by courier
- Once appointed, no other original signatures or paper documentation is needed for the project!

AWARD: keep it together

Possible Changes to your project:

- Successful proposals are expected to be mature and ready to be implemented (no substantial changes allowed)
- Necessary changes:
    - Ethics review or security scrutiny
    - Removal or Replacement of participant
    - Change of administrative aspects (e.g. SME status)
- Optional changes:
    - obvious errors or inconsistencies
    - Shortcomings identified by the experts in the ESR

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H2020

AWARD: keep it together

Get prepared within
the Consortium
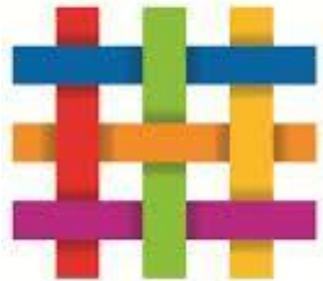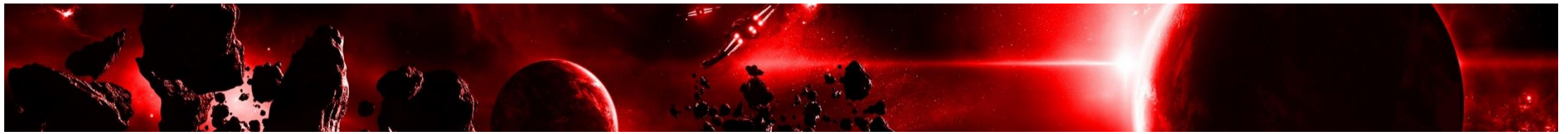
AWARD: keep it together
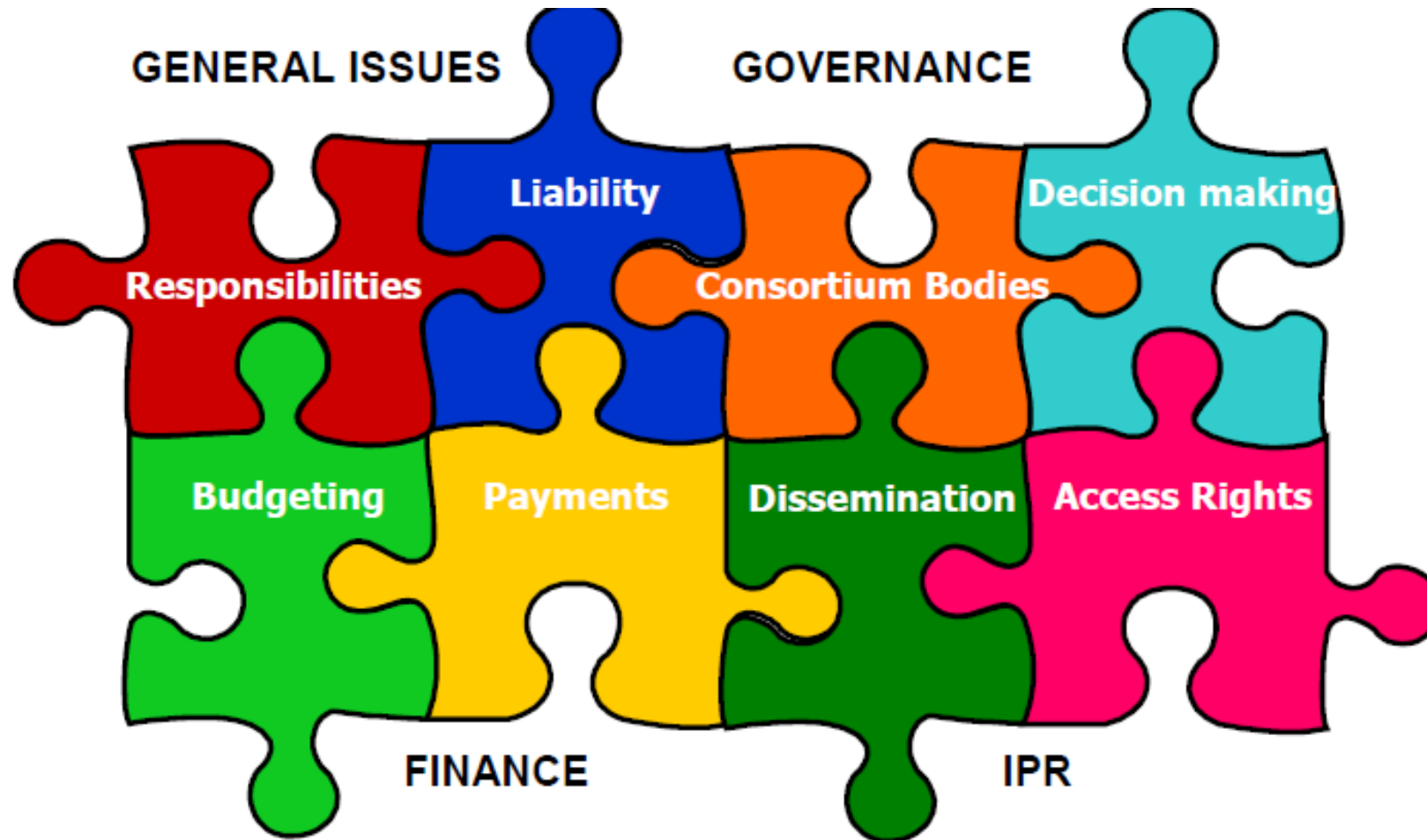
AWARD: keep talking

Invite for the kickoff – meeting

(Date after project start – eligible cost)

BtS H2020

AWARD: keep talking

PARTICIPANT PORTAL H2020 – Online Manual

main steps to finalize the signature of your grant agreement:
1. Enter & submit grant data
    1. Entering legal, administrative & financial data
    2. Pre-financing
    3. Preparing the Description of the Action (DoA), Annex 1
2. Ethics review (ethics screening & assessment)
3. Security scrutiny
4. Signing the grant agreement

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H2020

AWARD: keep talking

data imported from proposal

CASE STUDY

EURONET
Prof. Dr. med. Markus Müller, ETH Zürich

Coordinator (RIA, Health)
15 partners incl. Industry, SME, US-partner, coordinated in CH

EURONET: every beneficiary

- edit / add roles
  (last possibility for validation)
- download documents
- fill in / correct GA data
- check internal processes
  (registration form, confirmation
  of PI, archiving documents)
- Declaration of Honour
- Signature Accession to GA

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H2020

EURONET: every beneficiary

EU GrantsAccess folder index:
- CA
- ESR
- Finance
- GAP (confirmation budget)
- Proposal
- Vertrag (confirmation GA)
- Ethics

EURONET: coordinator

Vorgehen bewilligte H2020 Projekte ETH

1. Wenn die Information über ein bewilligtes Proje
   Zugang zum Portal verlangen.
   UZH = grants@forschung.uzh.ch
   ETH = grants@sl.ethz.ch

Rollen vergeben

2. Im Participant Portal mit grants@sl.ethz.ch / gra
   Projekt auf gelben Projektkonsortium-Button „P

   PC VP MP

Edit Roles – Add Roles anwählen:
- Proposed Legal Authorized Signatory – A
- Project Financial Signatory, je alle Konta

- PRIMUS INTER PARES
- inform all beneficiaries about the Grant Agreement Preparation
- Negotiate/sign CA
- collect banking information
- sign the GA on behalf of the consortium

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H2020

EURONET: coordinator

Vorgehen bewilligte H2020 Projekte ETH

1. Wenn die Information über ein bewilligtes Proje
   Zugang zum Portal verlangen.
   UZH = grants@forschung.uzh.ch
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   Projekt auf gelben Projektkonsortium-Button „P

   PC VP MP

Edit Roles – Add Roles anwählen:
- Proposed Legal Authorized Signatory – A
- Project Financial Signatory, je alle Konta

Internally:
- recruit and train project manager
- set up finance system
- update project wiki/intranet
- template emails:
  - information
  - negotiation CA
- Deadlines

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H2020

EURONET: tricky partners

- Art. 9 GA: beneficiaries not receiving EU funding
- Third country beneficiaries "deemed essential"
- Industry
- SME (validated/not validated)

POST-AWARD: running smoothly

A very <u>brief</u> overview of *what and how* European coordinators (and support staff) should inform their third country participants.

Main message:

"Don't panic"

(Hitchhikers guide to Galaxy, p. 27)

POST-AWARD: running smoothly

First things first – make sure to speak the same "language":

What EU calls it (H2020)	What it might be called in third countries
Beneficiary (participant)	Partner/collaborator/
Grant Agreement	Notice of Award (USA)/contract
Co-funding	Cost sharing/matching
Indirect costs	Overhead
Consortium agreement	Collaboration agreement/ Multi-institutional agreement
Legal signatory	Authorised signatory
Third party	Subrecipient
'Partner' (see next slide)	?

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H2020

POST-AWARD: running smoothly

You can scare the researchers by asking them to read <u>all</u> the financial rules found in the H2020 rules for participation and the Model Grant Agreement.

(HINT: This is highly unlikely to occur.)

OR…

BtS
H2020

POST-AWARD: running smoothly

ADDRESS the High Level Issues:

- The budget is an upper limit to what you can to get, <u>it is not what you are entitled to get</u>
- You must be economical, no frills allowed
- Only actual costs incurred during the life time of the project will be covered by the EU
- You can't charge extra just because the EU are paying
- Must document your expenses according to the rules and your normal accounting practices, otherwise risk no reimbursement
- Not allowed to spend anything on work not directly related to the project
- You can't in any legal way end up getting more money than you spend
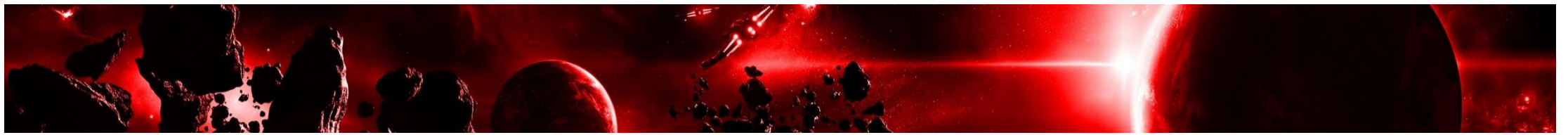- Any earnings the project might have are deducted from your claims
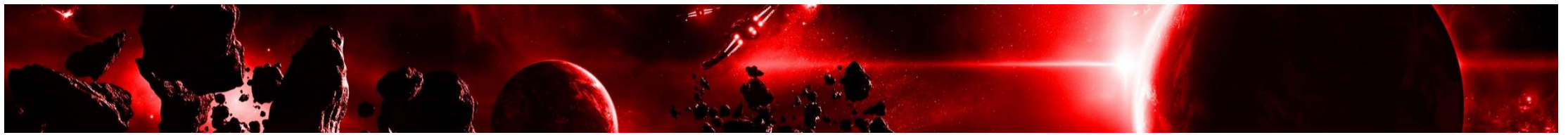
POST-AWARD: running smoothly

Three ways to take part in a H2020 project:

Task Role	Write and sign letter of commitment	Beneficiary validation and LEAR	Sign Grant Agreement and Consortium Agreement	Financial reporting	Scientific reporting	Time recording
Beneficiary with funding	-	X	X	X	(X)	X
Beneficiary without funding	-	X	X	-	(X)	-
'Partner' without funding	X	-	-	-	-	-

(Advice: Make sure to submit a letter of commitment from the "partner" at application phase; if partner not included in the Consortium Agreement, make bilateral or multilateral agreements about rights and obligations, any IP issues included)

BtS
H2020

POST-AWARD: running smoothly
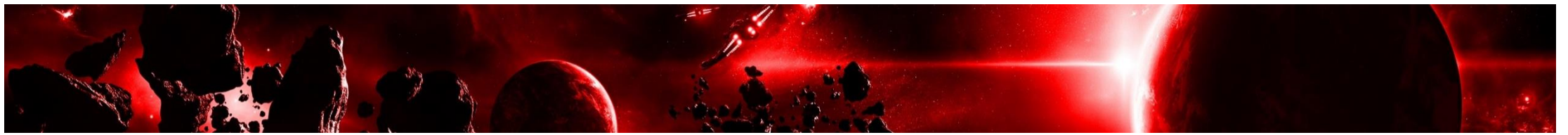
Day-to-day administration to be expected (only beneficiaries WITH funding)

Time-recording

- Employees working 100% on the project = One full-time declaration needed (no timesheets)
- Employees working less than 100% on the project = Timesheets for the project (monthly) + <u>usual practice of time recording in the organisation (so no need to invent something new!!)</u>

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POST-AWARD: running smoothly

Day-to-day administration to be expected (only beneficiaries WITH funding)

Keep records of expenditure 5 years after final payment
- All costs defined in Grant Agreement are eligible
- Most costs directly related to project are eligible (make sure it is clearly reflected in the application)
- Usual accounting procedures of the organisation must be used (again – use what is routine)

BtS H2020

POST-AWARD: running smoothly

Financial reporting and audit (only beneficiaries from third countries with funding)

Cost Category	Total	Actions
a) Direct personnel costs declared as actual costs	0.00 €	R
b) Direct personnel costs declared as unit costs (average costs)	0.00 €	R
d) Direct costs of subcontracting	0.00 €	
e) Direct costs of providing financial support to third parties	0.00 €	
f) Other direct costs	0.00 €	R
h) Indirect costs (= 0.25 * (a + b + f - o))	0.00 €	
j) Total costs (= a + b + d + e + f + h)	0.00 €	
m) Maximum EU contribution (100%)	0.00 €	
n) Requested EU contribution	0.00 €	

CASE STUDY

Timesheet Template

And

Guidance

CASE STUDY: timesheets

Timesheet for ACRONYM	
Type of Contract	
Acronym	
Contract Number	
Partner	
Person carrying out the work	
Category (Scientist, technician...)	

The undersigned certifies having devoted [HOURS] hours in the month of [MONTH] YEAR

Distribution of these hours (by work package)

Work Package No	Work package title	Hours
W1		
W2		
W3		
W4		
W5		
W6		
W7		
W8		
W9		
W10		
Total		

I certify that all the recorded hours have been devoted solely to work on the [ACRONYM] project and that none of the hours have been reimbursed or covered by any other source.

Signature of the person carrying out the work, place, date

Name	Signature	Date of Signature	Place

I certify that all the recorded hours have been devoted solely to work on the [ACRONYM] project and that none of the hours have been reimbursed or covered by any other source.

Signature of person in charge of scientific issues

Name	Signature	Date of Signature	Place

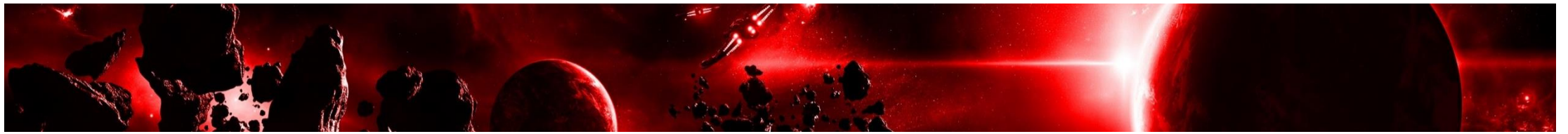BtS H2020
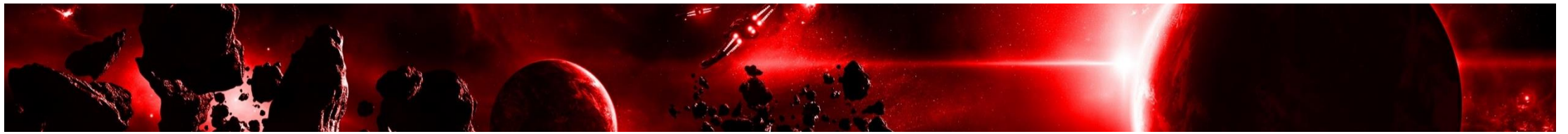
CASE STUDY: timesheets

Familiarize third countries beneficiaries with the rules on personnel costs and tracking – <u>Grant Agreement Article 6.2, section A.</u>

The EU algorithm goes like this:
Hourly rate multiplied with <u>actual hours that can be verified </u>spend working directly for the project = what the beneficiary can claim

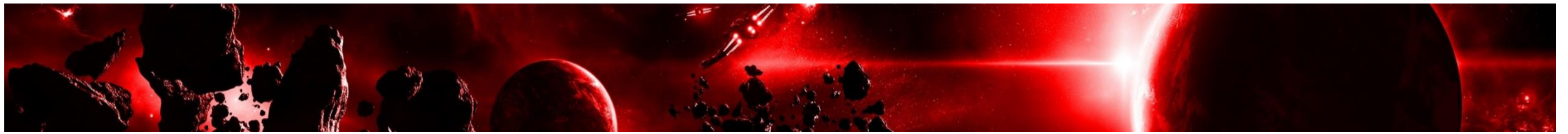Ex: Professor at UCPH cost 100 € per hour. If he works 100 hours on a project = UCPH can claim 10,000 €

BtS
H2020

CASE STUDY: timesheets

Avoiding timesheets?

1) work 100% of your time on the H2020 project

OR

2) do not claim any personnel costs

BtS H2020

CASE STUDY: timesheets

Professors are not paid by the hour, so leg work is needed.

We need to know the ANNUAL cost incurred by the institution (not what the professor puts in her pocket) = "Actual annual personnel cost" (Personnel department will know it)

We also need "Annual productive hours" (not billable hours or total workable hours etc.)

EU allows you to use one of three methods to calculate 'Annual productive hours' :
1. Use a fixed number of 1,720 hours/year for full time employment
2. 'Individual annual productive hours' (only an option if employment contract/national law/collective labour agreement enables you to determine annual workable hours)
3. 'Standard productive hours' (that is if your institution have a general standard according to normal accounting practice)

Advice – try to make beneficiaries calculate budgets based on actual personnel costs or at least a REALISTIC average for staff categories
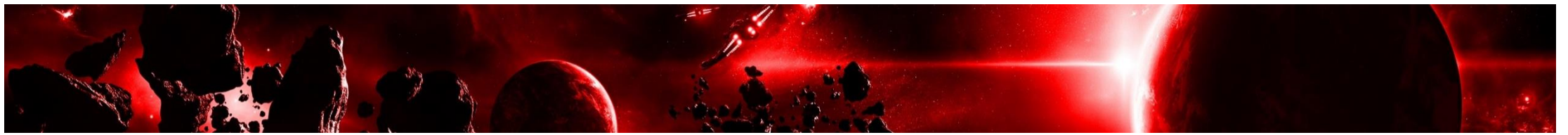
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H2020
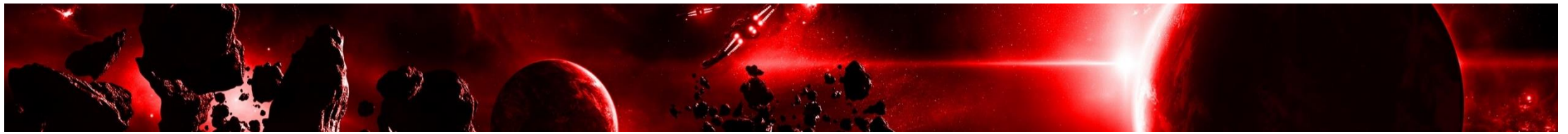
CASE STUDY: timesheets

Calculation of one person-year (full time employment)	Standard work hours per day (regulated by Danish labour agreements and national law)	Hours (Days X daily hours)
37 h/ week for 52 weeks = 260 days	7,4	1,924
Minus 6 weeks vacation = 30 days	7,4	- 222
Minus 9 bank holidays = 9 days	7,4	- 67
Minus absence (average) = 10,4 days	7,4	- 77
Equals total annual <u>productive time</u> = 41,8 weeks/209,2 days	=	**1,558**

So in the end we can now calculate hourly rates, multiply it with the figures from all the timesheets, and then we are ready to fill in the form C = get the money.
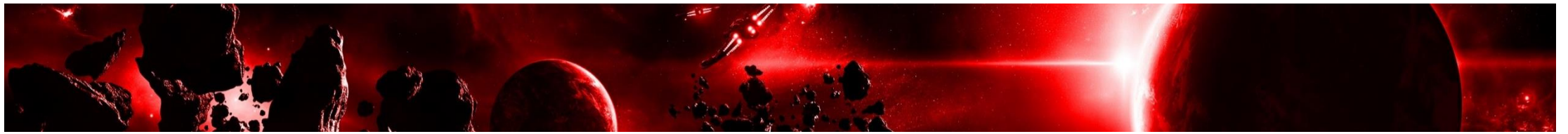
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CONCLUSION: parting words

All the Hard Work is Worth the Effort!!

- Encourages an internationalization strategy
- "Incubator" for new collaborations
- Gate to international top research
- Reputation building tool

BtS
H2020

QUESTIONS?

Coaches will depart from 19.00 for the Conference Dinner at LTU from the Conference Hotels:

-   Comfort Arctic
-   Elite
-   Quality
-   Savoy

The dress code for a Swedish Mid Summer Celebration is white with flowers in the hair for ladies ! (Optional)

Return coach transfers to Lulea City Centre will be from 23.00