



# Horizon 2020 Advanced Training Workshop

## December 5, 2017 - morning

**Organised by :** NCP Brussels, NCP Academy, NCP Japan

**Venue:** the Delegation of European Union to Japan, Tokyo, Japan



The Brussels Enterprise Agency  
NCP Academy – Partner



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# Greetings and introduction



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## Brief introduction by Tania VAN LOON

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The aims of today's training  
The NCP Academy  
"European Lab" methods



tv1@impulse.irisnet.be



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## The agenda

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- Welcome and introduction
- Setting up the frame: Horizon 2020 & **Third Countries participation**
- H2020 legal aspects
- H2020 financial aspects
- H2020 collaborative project management
- Available resources (including partnering)
- Administrative procedures for Coordinated projects
- Administrative procedures for MSCA actions
- Conclusions

Informal exchanges, Q/A, exercises



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# Introduction of participants



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# Setting up the frame : Horizon 2020 and Third Countries participation



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## What is Horizon 2020



- European Framework programme for Research & Innovation
- Started 01/01/2014 for 7 years
- 78.6 billion €
- Collaborative projects with European dimension
- Support European research excellence and leadership

### A core part of Europe 2020, Innovation Union & European Research Area:

- Responding to the economic crisis to invest in jobs and growth
- Addressing people's concerns about their livelihoods, safety and environment
- Strengthening the EU's global position in research, innovation and technology



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## Three priorities or “pillars”



- Future and Emerging Technologies (FET)
- Marie S. Curie actions (MSCA)
- Frontier Research

- Nanotechnologies, advanced materials & processing
- ICT
- Space
- Access to risk finance & SMEs



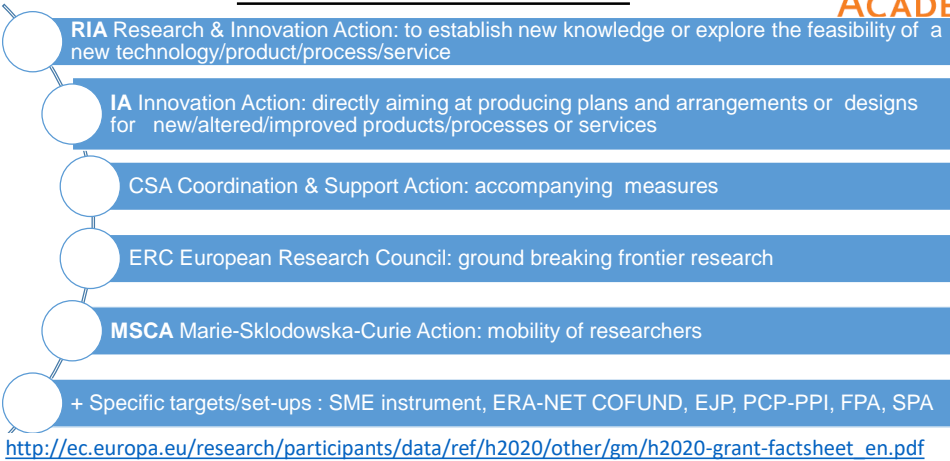
- Health
- Food, agriculture, maritime & bio-economy
- Energy
- Climate action / environment
- Transport
- Inclusive, innovative & reflective societies
- Secure societies



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# Types of actions



**Focus today: collaborative (RIA/IA), coordinated calls, MSCA (ITN/RISE)**



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# Why it is so popular in the EU



- **Generous funding rates**  
+ 25% flat rate for indirect costs
- **Time-to-grant max. 8 months**  
**5 evaluation + 3 contract preparation**
- **No paper:** e-communication & e-reporting
- Official documents in English (and usual shared language between most Partners)

**Complements national R&I funding schemes (synergies encouraged)**

Max reimbursement rate	All types of legal entities	Non-profit organisations
Research & Innovation	100%	100%
Innovation	70%	100%

**Non-profit':** by its legal form or with a legal or statutory obligation not to distribute profits to its shareholders or individual members



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## What about non-EU countries



- **Participants from anywhere in the world can take part... but are not always funded**
- **Individual researchers from any country in the world** seeking the opportunity to work in Europe for a certain period of their career can apply for funding through the [European Research Council](#) and the [Marie Skłodowska-Curie actions](#)

## Country eligible for funding or not ?

### Automatically eligible for funding

- **Member States**
- **Associated Countries**  
16 now (including Norway, Turkey...)  
[http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/hi/3cpart/h2020-hi-list-ac\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/3cpart/h2020-hi-list-ac_en.pdf)
- **Developing countries**  
130 (Afghanistan to Zimbabwe)  
[http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2016-2017/annexes/h2020-wp1617-annex-a-countries-rules\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2016-2017/annexes/h2020-wp1617-annex-a-countries-rules_en.pdf)

Industrialised countries and emerging economies **need to find own funding**

### Exceptionally, eligible for EC funding IF

- **bilateral agreement** between that country and the EU
- the country is **explicitly identified** in the relevant work programme and call for proposal as being eligible for funding
- their participation is **deemed essential** for carrying out the action by the European Commission

# How can Japan be involved in collaborative projects ?



- **“Beneficiary not receiving EU funding”**  
*EC contribution = zero*
- **“Beneficiary receiving EU funding”**  
*When deemed essential by the EC*
- **“International Partner” with national funding through “Coordinated call”**  
*When cooperation with Third Countries is encouraged*
- “Regular” Third Party  
*Affiliated/legal link to a Beneficiary, Sub-contractor (executing some Tasks, Contractor (selling equipment, goods or services)*
- Japanese corporation legally established in EU (Beneficiary)  
*Operational and financial capacity !*

## Specific rules for each type of role and set-up



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# How can Japan be involved in MSCA?



**Non-EU organisations** can participate as additional partners in ITNs (to gain experience outside Europe during their training)

ITN Innovative Training Networks	IF Individual Fellowships	RISE Research & Innovation Staff Exchange
<b>What does is offer?</b> High quality research training delivered through interdisciplinary networks, industrial doctorates or joints doctorates	<b>What does is offer?</b> Opportunities to work on personal research projects by moving between countries and possible sectors to acquire new skills.	<b>What does is offer?</b> The exchanges of staff members involved in research and innovation to develop sustainable collaborative projects and the transfer of knowledge
<b>Who applies?</b> International networks of research organizations from the academic and non-academic sectors	<b>Who applies?</b> Individual researchers together with the host organizations	<b>Who applies?</b> International networks of research organizations from the academic and non-academic sectors
<b>Who is funded?</b> Researchers at doctoral level (less than 4 years of full time research experience and no doctoral degree)	<b>Who is funded?</b> Postdoctoral researchers	<b>Who is funded?</b> Researchers, technical administrative and managerial staff of any nationality and at all career levels

RISE can be within or beyond Europe. In **worldwide partnerships**, academia-to-academia exchanges are permitted

**Nationality of researchers** is irrelevant



<http://ec.europa.eu/programmes/horizon2020/en/h2020-section/marie-sklodowska-curie-actions>  
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## How to grasp opportunities ?

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### Overview of the funding project life cycle

<https://youtu.be/b5rib94nbgE>

Strict **rules and deadlines applicable to ALL**  
**NOT a tender** (important for IP rights)

### Flagged topics for international cooperation

[https://ec.europa.eu/research/participants/portal/desktop/en/opportunities/h2020/flags/international\\_cooperation.html#c.topics=flags/s/IntlCoop/1/1&+callDeadline/desc](https://ec.europa.eu/research/participants/portal/desktop/en/opportunities/h2020/flags/international_cooperation.html#c.topics=flags/s/IntlCoop/1/1&+callDeadline/desc)

### Currently 22 topics were cooperation with Japan is encouraged

[http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020\\_localsupp\\_japan\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020_localsupp_japan_en.pdf)



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## Collaborative projects with co-funding mechanism

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### Currently 2 forthcoming coordinated topics (ICT call)

Ministry of Internal Affairs and Communication (MIC) and the National Institute of ICT of Japan (NIST)

- **EUJ-01-2018** Advanced technologies (Security/Cloud/IoT/BigData) for a hyper-connected society in the context of Smart City
- **EUJ-02-2018** 5G and beyond

### Co-funding mechanism

- Ex Japan Science and Technology Agency (JST) funds  
**SU-DRS-2018-2019-2020** Technologies for first responders  
[http://www.jst.go.jp/sicp/announce\\_eujoint\\_04\\_GeneralInfo.html](http://www.jst.go.jp/sicp/announce_eujoint_04_GeneralInfo.html)

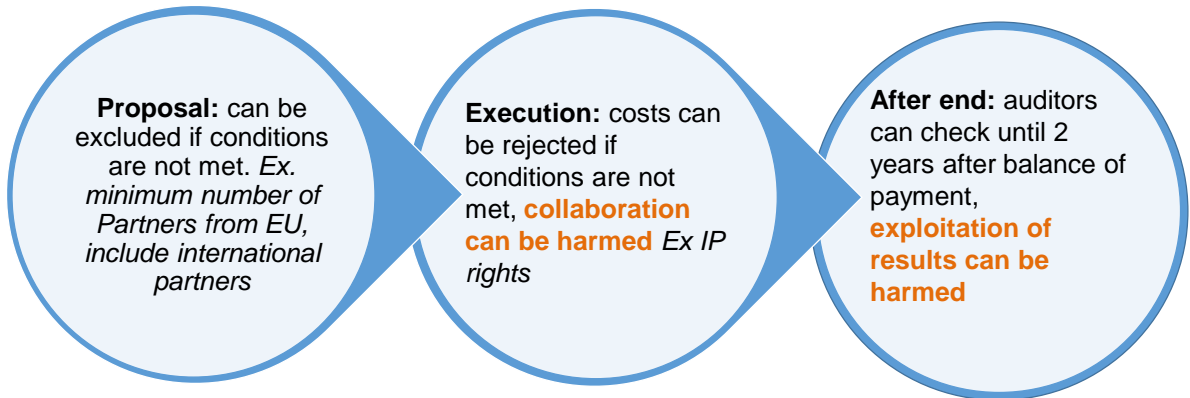


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## Why the rules are important ?



**Not only financial issues at stake**



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## Why the rules are important ?



**One set of rules** with small number of exceptions

Multi-beneficiaries (Collaborative, MSCA RISE/ITN) or Mono-beneficiaries (MSCA IF)

[http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference\\_docs.html](http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html)

**“No negotiation”**

Proposals are evaluated as submitted

Some contractual conditions are standardized and imposed on **ALL**

**(even if you do not sign the Grant Agreement)**

Some contractual conditions will be **asked by your European Partner**

**Anticipate and reduce risks**



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**ACADEMY**  
Training National  
Contact Points







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Horizon 2020 legal aspects



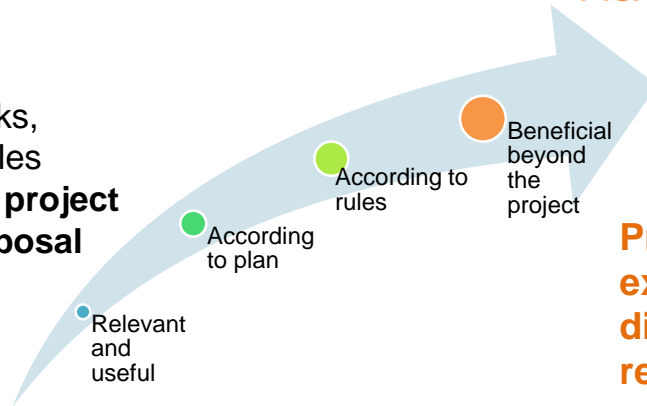
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## Key legal aspects



Work Packages, Tasks,  
Planning & Deliverables  
**If selected: execute project  
as described in proposal**



**Protect,  
exploit &  
disseminate  
results**

Even third parties / **international partners not receiving  
funding** must comply with some basic rules



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## If your organisation is Sub-contractor



**Sub-contractor = conducts tasks**  
**Eligible cost = price, no indirect cost**

**The (EU) Beneficiary using a Sub-contractor must follow the following rules:**

- **Mention that there will be sub-contracting in the proposal/Annex 1**
- **Select Sub-contractors according to**  
**No conflict of interest**  
**Best value for money**
- *Ensure that the majority of the research and development work done by the subcontractor(s) is located in the EU Member States or associated countries*



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## If your organisation is Contractor

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**Contractor sell equipment, services or goods to a Beneficiary (NOT action tasks)**

**Eligible cost = price + 25% indirect cost**

**The (EU) Beneficiary using a Contractor must follow the following rules:**

- **NO mention in Annex 1**
- **Select Contractors according to**  
**No conflict of interest**  
**Best value for money**



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## If your organisation is an International Partner

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**NOT Beneficiary, NO signatory of the Grant Agreement, perform tasks**

**Named in Grant Agreement**

**Budget must be provided for information**

**Cost not reimbursed, not considered in grant calculation**

**NOT subject to financial reporting or financial checks/audits**

**International Partner has obligations of**

- Record-keeping (on the scientific and technical implementation)
- Technical reporting
- Avoiding conflicts of interest
- Maintaining confidentiality
- Promoting the action and give visibility to the EU funding



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## Provide visibility to the EU funding

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This project has received funding from the European Union's Horizon 2020 research & innovation programme under grant agreement n° 633563



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## If your organisation is a Partner

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**Beneficiary, Signatory of the Grant Agreement, perform tasks**

**Named in Grant Agreement**

**Budget must be provided**

**Cost reimbursed, considered in grant calculation**

**Subject to financial reporting or financial checks/audits**

**All obligations apply (as any other Partner such as EU or Associated)**

- Grant Agreement
- Consortium Agreement
- National laws and regulations
- Internal rules of your organisation



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## Partners commit to RRI



### ETHICS

Ensuring research integrity, and science & society



### GENDER EQUALITY

Promoting human resources in research for attaining gender balance



### GOVERNANCE

Providing instruments to foster shared responsibility in R&I practices



### OPEN ACCESS

Guaranteeing access to scientific knowledge to boost R&I



### PUBLIC ENGAGEMENT

Fostering collaborative and multi-actor processes in R&I



### SCIENCE EDUCATION

Increasing the knowledge and skills of citizens in order to promote scientific vocations and participation

[www.rri-tools.eu](http://www.rri-tools.eu)



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## Governance: recruitment and working conditions of researchers



(EU) Partners must implement the principles set out in the Commission Recommendation on the **European Charter** for Researchers and the **Code of Conduct** for the Recruitment of Researchers 48, in particular regarding:

- **working conditions;**
- **transparent recruitment processes based on merit,** and
- **career development.**

The beneficiaries must ensure that **researchers and third parties involved in the action are aware of them**



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# Beneficial beyond the project



- **General principles for Researchers and for Research Institutions/Funders** to ensure that the nature of the **relationship between researchers and employers or funders** is conducive to successful performance in generating, transferring, sharing and disseminating knowledge and technological development, and to the career development of researchers  
**Ex non-discrimination, working conditions, supervision, mobility...**  
<https://euraxess.ec.europa.eu/jobs/charter/european-charter>

- **Code of Conduct for Research Integrity (new: ALLEA)**

<http://www.allea.org/allea-publishes-revised-edition-european-code-conduct-research-integrity/>

- **Reliability** in ensuring the quality of research, reflected in the design, the methodology, the analysis and the use of resources.

- **Honesty** in developing, undertaking, reviewing, reporting and communicating research in a transparent, fair, full and unbiased way.

- **Respect** for colleagues, research participants, society, ecosystems, cultural heritage and the environment.

- **Accountability** for the research from idea to publication, for its management and organisation, for training, supervision and mentoring, and for its wider impacts.



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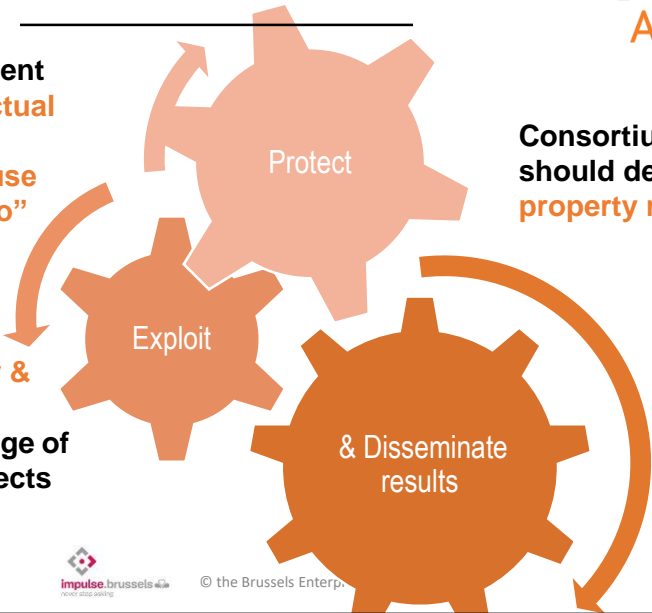
# Beneficial beyond the project



**The Grant Agreement imposes a contractual obligation to the Beneficiaries to “use their best efforts to”**

**Consortium Agreement should define intellectual property rights management**

**Exploitation strategy & channels**  
**Convert the knowledge of publicly-funded projects into socio-economic benefits**



**Open access to publications & data**



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# Open Access to Data



- Open Access to Research Data  
Obligation to deposit data + metadata + tools / instruments to validate results presented in **scientific publications**
- **Data Management Plan** describes the data management life cycle for all data sets that will be collected, processed or generated by the research project  
*[1st version within 6 months after project start]*

## Why open access ?

<https://www.youtube.com/watch?v=o-OyGDCbu88>

[http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/open-access-data-management/data-management\\_en.htm](http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/open-access-data-management/data-management_en.htm)



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# Rules and precautions on IP management



Purpose		Access to background	Access to results
Implementation	of project	Royalty-free, unless otherwise agreed by participants before their accession to the grant agreement	Royalty-free
Exploitation	of owned results	Subject to agreement, access rights must be granted under fair and reasonable conditions (which can be royalty-free).	

**Provide access rights to background & results so that other Partners can conduct R&I and exploit results**



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## Exploitation strategy

### Many possible ways

- Use results in further research activities
- Contribute to new/on-going standardisation activities
- Develop and create new services/products for commercial exploitation



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## Why IP is important for Third Country Partners

### EU viewpoint:

**(EU) Beneficiaries must make arrangements with (Sub-)contractors and International Partners that could claim rights to results**

**Examples (third parties that may claim rights):** academic institutions in countries that have a kind of 'professor's privilege' system (according to which researchers may have some rights to the results of university research)

**Examples (arrangements):** transferring ownership to the beneficiary; granting access rights to the beneficiary with a right to sub-license.

## Why IP is important for Third Country Partners

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### Third Country viewpoint:

- Protecting their own IP rights
- Envisage future exploitation of results

This is defined in

- Consortium Agreement or other written arrangement: **obligation** for Collaborative projects
- Coordination Agreement: **obligation** for Coordinated calls
- Partnership Agreement: **recommendation for** MSCA ITN/RISE



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## Dissemination strategy

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Design in line with the **exploitation strategy and according to Partners' roles**

- Scientific and non-scientific publications  
**Peer-reviewed journal articles should be Open Access**  
= on-line access to scientific information that is free-of-charge for the reader
- Conferences, networking events, business fairs
- Project website, leaflets, posters, social media

[http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management/dissemination-of-results\\_en.htm](http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management/dissemination-of-results_en.htm)



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## Communication = promotion

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Provide targeted information to multiple audiences (including the media and the public)

### Strategic and effective communication plan during the whole project

- Objectives (e.g. *What impact is intended? What reaction or change is expected from the target audience?*)
- Targeted and adapted to audiences beyond the project's own community
- Pertinent messages (e.g. *How does the project relates to our daily lives?*)
- Uses the right medium and means (e.g. local, regional, national, EU-wide level, one-way exchange such as website or two-way such as school visit)
- **Proportionate to the project scale**

[http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management/communication\\_en.htm](http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management/communication_en.htm)



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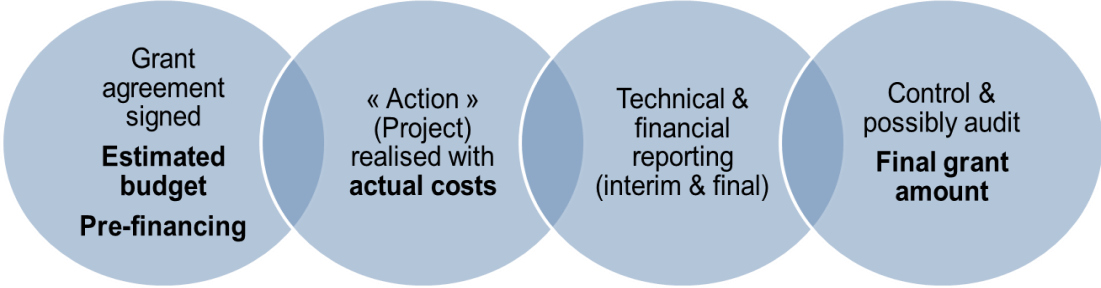

# Horizon 2020 financial aspects




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## The link between money & rules



**Actual grant is based on the actual costs**  
Pre-payments do not guarantee final grant amount

 **RISK** of grant reduction → involve bookkeeping, top & financial management



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## Final Grant amount can be reduced

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- If **less actual eligible costs** than budgeted  
(If more actuals than budgeted: total is capped)
- To ensure the **non-profit rule**
  - Income generated by the project
  - Financial or in-kind contributions given by third parties for the project
- If **improper implementation** / breach of other obligations
  - **Technical analysis** by the EC  
work performed vs activities defined in project
  - **Financial analysis** by the EC (and external audit)  
financial rules



**Check progress regularly**



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## Eligible costs must be cumulatively...

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- **Actually incurred (REAL,** not estimated, budgeted, imputed)
- Incurred **during the project duration**  
Except costs for drafting and submitting final report (+60 days)
- Entered as eligible costs **in the estimated budget** under the relevant budget category (OR file a request for amendment)
- **Connected and essential to the project**
- **Identifiable and verifiable**  
Except indirect costs
- According to the national accounting rules and beneficiary's **usual accounting practice**
- Comply with national laws on taxes, labor and social security
- Sound financial management, economy and efficiency



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# Main categories of costs



Personnel costs

- Define and stick to **ONE calculation of productive hours** (Option 1: 1720h/year)
- Calculate hourly rate based on **personnel costs of last closed financial year** and number of productive hours
- Keep records of hours spent/person/WP/task (**signed Time Sheets**)
- **Special cases: in-house consultants & SME owner without a salary**
- Temporary workforce is NOT personnel cost but Other direct cost

Other direct costs  
Sub-contracting (tasks)

- Select by **fair, transparent and efficient process**
- Ensure « **best value for money** » or if appropriate « lowest price » and **avoid conflicts of interest**
- **KEEP original supporting docs**
- They can also be audited -> ensure this clause is included in your contracts

Indirect cost

- Calculated as **25% \* (Personnel costs + Other direct costs)**
- **NO** supporting docs



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# Estimate the budget & EC contribution



Workload\*  
personnel  
cost  
partner 1

Workload\*  
personnel  
cost  
partner 2

Etc

All sub-  
contracts  
of partner  
1

All sub-  
contracts  
of partner  
2

Etc

Travel &  
other  
direct  
costs of  
partner 1

Travel &  
other  
direct  
costs of  
partner 2

Etc

Total personnel cost

Total subcontracting

Total other direct costs

Total indirect cost  
(calcul.)

→ Total budget

→ Total EC contribution = total budget \* reimbursement rate/participant

Third Country partner (not receiving funding): reimbursement rate = 0



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## Why is it important for everyone



### For the (EU) **Partners with EU funding**

- Coordinator and the Partners need this funding to execute the project
- Risk of losing (part of the) funding if the technical work is not done properly or if the financial rules are not followed
- Risk of stopping the project
- *Reliability, partners relations*

### For **the Third Country Partners without EU funding**

- Risk of stopping the project
- Risk of losing own investment or national funding
- *Reliability, partners relations*



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# Main differences between Collaborative and MSCA budgeting



- Collaborative = (mostly) based on **actual costs**
- MSCA ITN / IF / RISE = based on **unit costs**
- Living allowance applies a **country correction coefficient**  
**WP2018-2020**: modification  
→ increase by 5% of the living and top-up allowances



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# MSCA actions budgeting



Item	Researcher unit cost (person/month)			Institutional unit cost (person/month)	
	Living allowance *	Mobility allowance	Family allowance	Research, Training, Networking	Management costs
ITN	3110	600	500	1800	1200
IF	4650	600	500	800	650
RISE	(2000)			1800	700

Automatically applicable
Partially applicable
Not applicable

Which **funding opportunities for Third Country (TC) partners** ?

- Beneficiaries seconding staff members to TC **can transfer total or part** of the EU contribution to the TC partners (institutional cost)  
Important to define financial rights and obligations
- Japanese researchers can get researcher unit cost ITN / IF (**automatic**)



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## Currency of financial report

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- All **reporting must be done in €**
- Beneficiaries with account in € use their own usual practices to convert
- Beneficiaries without account in € use daily euro exchange rate is published in the C series of the Official Journal of the European Union  
[http://www.ecb.europa.eu/stats/policy\\_and\\_exchange\\_rates/euro\\_reference\\_exchange\\_rates/html/index.en.html](http://www.ecb.europa.eu/stats/policy_and_exchange_rates/euro_reference_exchange_rates/html/index.en.html)
- If no daily rate: use monthly using the average of the monthly accounting rates over the corresponding reporting period, using the currency converter on the Commission's website  
[http://ec.europa.eu/budget/contracts\\_grants/info\\_contracts/infoeuro/index\\_en.cfm](http://ec.europa.eu/budget/contracts_grants/info_contracts/infoeuro/index_en.cfm)



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## Financial control after the project

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- Beneficiaries can undergo financial checks, reviews, audits and investigations
- Beneficiaries using **Sub-contractors, Contractors, International Partners or other Third Parties** must ensure that the Commission/Agency, the European Court of Auditors (ECA) and the European Anti-Fraud Office (OLAF) can exercise their rights under Articles 22 and 23 (**checks, reviews, audits and investigations**)



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## Third Country viewpoint

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**Collaborative project as Partner** (e.g. when mentioned in call, deemed essential)

- Follow all financial rules as other (EU) partners

**Collaborative projects as International Partner**

- Know why sometimes difficult for EU/AC Partners
- Secure some minor funding (ex **travel costs of experts**)
- Agree with EU Beneficiary on financial conditions

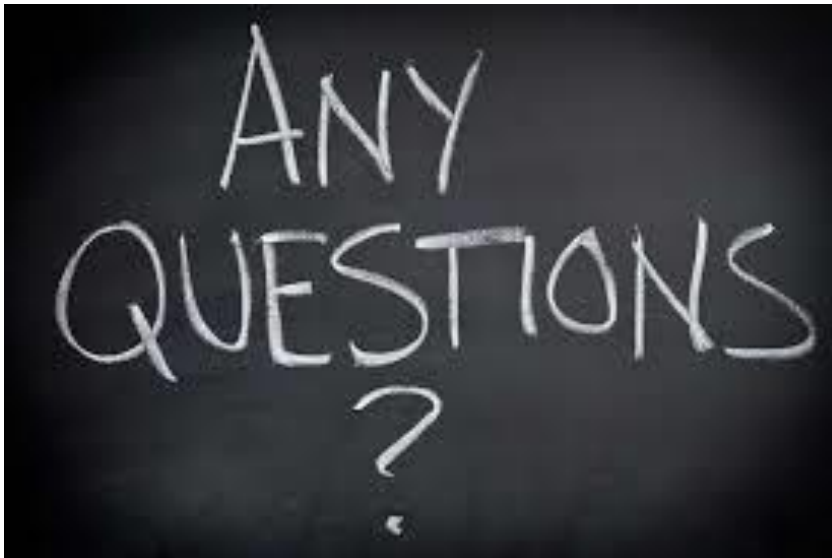
**MSCA**

- Can secure more than the automatic minimum foreseen in ITN / IF
- Agree with EU Beneficiary on financial conditions



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