This project is co-financed by the
European Union and the Republic of Turkey
Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından
finanse edilmektedir

Horizon 2020:
Project Management

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OUTLINE

01 **INTRODUCTION TO H2020 PROJECT MANAGEMENT**

- Role of the Project Manager,
- H2020 PM Cycle,
- H2020 project MNG structure,
- Role of partners

02 **PLANNING PHASE**

- Grant Agreement
- Consortium Agreement

03 **A) EXECUTION/ IMPLEMENTATION**

- Consortium Management
- Time Management
- Contract and financial management incl. reporting
- Project Monitoring
- Examples of MNG Tools

04 **B) EXECUTION/ IMPLEMENTATION**

- Risk mitigation & Conflict Management
- Data management/ Data Management Plans

05 **C) EXECUTION/ IMPLEMENTATION**

- Exploitation

06 **D) EXECUTION/ IMPLEMENTATION**

- CROSS- CUTTING ISSUES
  - Ethical Issues

07 **PROJECT CLOSURE**

- Technical and Financial Reporting
- Project Review & Evaluation

00 BEFORE WE START...

Information about administrative issues

- Awareness about the legal, administrative and financial requirements – H2020 Funding Guide – Look for Updates!
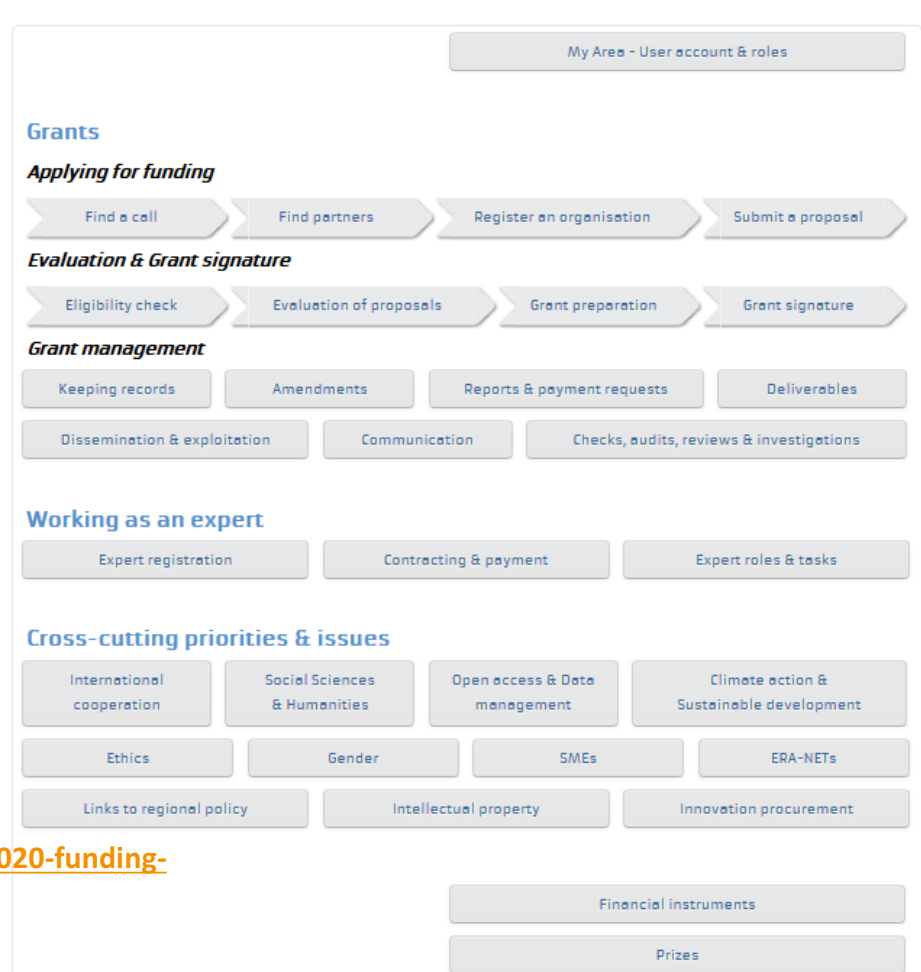
http://ec.europa.eu/research/participants/docs/h2020-funding-guide/index_en.htm

Terminology

H2020:

EC GLOSSARY
http://ec.europa.eu/research/participants/portal/desktop/en/support/reference_terms.html

IPR HELPDESK:
https://www.iprhelpdesk.eu/glossary/a

GENERAL PM TERMINOLOGY:

https://www.smartsheet.com/complete-glossary-project-management-terminology

INFO provided in following slides

- Is for information purposes only

- For updates and detailed information follow the H2020 participant portal and H2020 Guidelines

Sources:

- Different FP7/H2020 funded projects
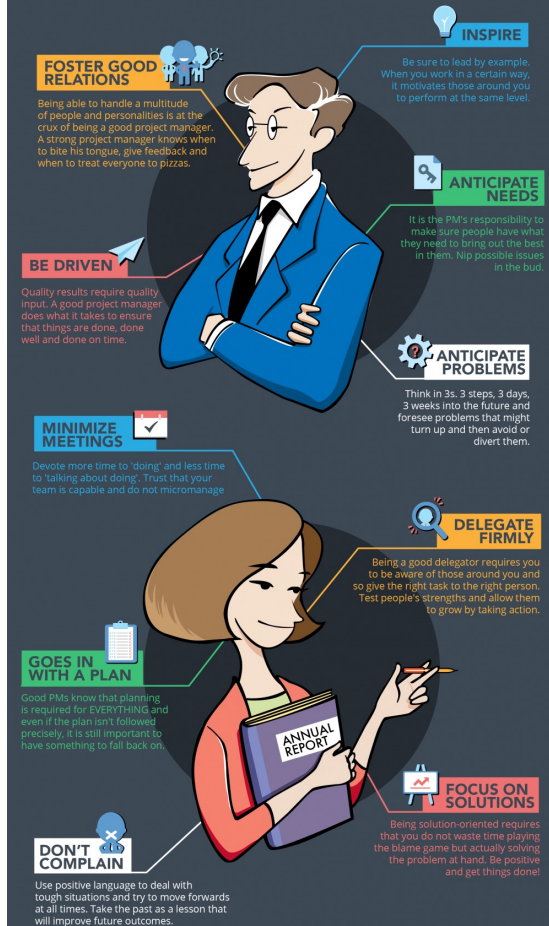
- H2020 participant portal

- European Commission

- Etc.

TEAM WORK

Source: PINTEREST

10 CHARACTERISTICS of a GOOD PROJECT MANAGER

Finding a good project manager is a rarity. If you know one or are lucky enough to work for one, watch carefully to see these characteristics in their practice and character.

INSPIRE
Be sure to lead by example. When you work in a certain way, it motivates those around you to perform at the same level.

FOSTER GOOD RELATIONS
Being able to handle a multitude of people and personalities is at the crux of being a good project manager. A strong project manager knows when to bite his tongue, give feedback and when to treat everyone to pizzas.

ANTICIPATE NEEDS
It is the PM's responsibility to make sure people have what they need to bring out the best in them. Nip possible issues in the bud.

BE DRIVEN
Quality results require quality input. A good project manager does what it takes to ensure that things are done, done well and done on time.

ANTICIPATE PROBLEMS
Think in 3s. 3 steps, 3 days, 3 weeks into the future and foresee problems that might turn up and then avoid or divert them.

MINIMIZE MEETINGS
Devote more time to 'doing' and less time to 'talking about doing'. Trust that your team is capable and do not micromanage

DELEGATE FIRMLY
Being a good delegator requires you to be aware of those around you and so give the right task to the right person. Test people's strengths and allow them to grow by taking action.

GOES IN WITH A PLAN
Good PMs know that planning is required for EVERYTHING and even if the plan isn't followed precisely, it is still important to have something to fall back on.

FOCUS ON SOLUTIONS
Being solution-oriented requires that you do not waste time playing the blame game but actually solving the problem at hand. Be positive and get things done!

DON'T COMPLAIN
Use positive language to deal with tough situations and try to move forwards at all times. Take the past as a lesson that will improve future outcomes.

Learn how to apply your good project management skills to grow as a professional.

✓Taskworld™
www.taskworld.com

Resources
http://blog.taskworld.com/10-characteristics-good-project-manager/

8 Key Values of Project Managers

01 Leadership skills
A project manager should be able to motivate and inspire team members to achieve common goals

02 Problem solver
Should come up with a solution or find a workaround if there are any roadblocks in a project

03 Effective communication
90% of time during a project goes in communicating with stakeholders and the team members

04 Cultural awareness
A culturally aware project manager can avoid miscommunication and conflicts in a team

05 Being an optimist
Embracing change to bring new ideas and innovate during the project lifecycle is the hallmark of a good project manager

06 Credibility
Prior work experience and deep industry knowledge build the credibility of the manager and enable him / her to receive respect and support

07 Digitally-savvy
Staying updated with the latest Project Management tools and techniques that optimize workflow will set apart a project manager determined to succeed

08 Knowledge of other frameworks
Having knowledge of Agile, Program and Portfolio management will be of immense value down the line

Source: PINTEREST

15 Project Management Terms you Should Know

Project management profession which is the most sought after profession in the whole world has a huge knowledge base. In fact, there are multiple project management methodologies that enterprises rely on to complete the projects in a successful manner. Project management approaches such as the PMBOK, PRINCE2, Agile, Kanban etc have certain project management terms that every project manager or project team members should be aware of.

1. Objective
If the project objective is not defined properly, then it becomes difficult for project team members to align themselves to the project. During the project kick-off meeting define the metrics and show them what is that they have to achieve.

2. Deliverable
Deliverable is a tangible outcome that is produced by the project in its lifecycle. The project creates internal or external deliverables which is produced as a consequence of executing the project.

3. Goals
Project goals provide you the focus required to develop a roadmap to fulfill the project objective. The goals should be SMART (Specific, Measurable, Achievable, Relevant and Time-bound).

4. Resources
Get your project resources on board in the form of people, capital, tools, space, time etc. Without proper resource allocation, successful completion of projects is a difficult prospect.

5. Project Team
Your project team is the most important resource of all. Select your team based on their individual capabilities with regards to skills and experience to achieve at the highest level.

6. Decisions
There should be transparency about decision making in a project. Be clear about who can take what decisions which needs to be vetted by the project committee to take quick decisions.

7. Debates
Analyze a situation from different angles and encourage your project team to find multiple solutions and choose the best. Initiate a healthy debate to explore new opportunities and to make an informed decision.

8. Deadline
Time is one the most critical resources in your project, your team should adhere to the project deadlines to complete. If time is wasted it will eat up more resources to complete the same work.

9. Explore
Explore new avenues and every option available. Understand the advantages and disadvantages, and come up with the best possible project plan that adds the most value for both customer and the enterprise.

10. Constraints
Constraints are something that is outside the control of the project and need to be managed effectively. Resource constraints may arise in the middle of the project when the dates / timelines get stretched.

11. Priorities
Analyze a situation from different angles and encourage your project team to find multiple solutions and choose the best. Initiate a healthy debate to explore new opportunities and to make an informed decision.

12. Milestones
Milestones are related to schedules which signify completion of a major project deliverable. In fact, it is used as a project checkpoint to validate how the project is progressing.

13. Red Flags
Enterprise should create an environment where employees raise issues if there is something wrong in the project. Project teams should come together to solve problems and give their real and unbiased opinions.

14. Accountability
In the end, project team members who are accountable for their work is what gets the project completed. Teams can share their workload, but individuals in a project team are responsible for getting their tasks completed.

15. Critical Path
The term critical path refers to the longest duration path through the work plan. If an activity gets delayed in the critical path by couple of days, the entire project gets delayed by couple of days. So make sure you identify the critical path throughout the project lifecycle.

Source: PINTEREST

www.invensislearning.com

invensis Global Learning Services

TÜBİTAK

01 **INTRODUCTION TO H2020 PROJECT MANAGEMENT**

- Role of the Project Manager,
- H2020 PM Cycle,
- H2020 project MNG structure,
- Role of partners

Project Management in H2020 projects

Project management -> is the application of knowledge, skills, tools and techniques to project activities in order to meet the project objectives (PMBOK)

16 Popular Project Management METHODOLOGIES

XP? CCPM? PRiSM?

If you're new to Project Management, the number of different methodologies (and acronyms) can be mind-boggling.

We've broken 16 common project management methodologies into bite-sized pieces to help you choose the best approach for your next project.

ADAPTIVE PROJECT FRAMEWORK (APF)

Improves the project at every stage by learning from the previous stage's results. By defining project goals and regularly reviewing project scope, managers can deliver the highest possible business value for the customer.

AGILE

Adapts to change, capitalizes on trends, and creates a dynamic team through collaboration and flexibility. Stakeholders review the project at each stage so teams can make the right adjustments, creating high-quality products that meet customer need.

BENEFITS REALIZATION

Defines success as achieving a desired benefit. If clients want to increase sales by 15% and hire you to develop new CRM software, the project isn't complete until sales are up 15% - even if you deliver the desired CRM on time and within budget.

CRITICAL CHAIN PROJECT MANAGEMENT (CCPM)

Avoids project delays by identifying a "critical chain" of tasks, reserving resources for those tasks. Since schedules are built around resource availability the project timeline may be longer, but there's less chance of missing important deadlines.
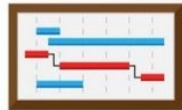
CRITICAL PATH METHOD (CPM)

Determines your project's shortest timeline so you can adjust to shifting deadlines. By identifying the project's most essential tasks, you can estimate completion dates, dependencies, milestones, and deliverables. And compare what *should* be happening with what *is* happening every day.

EVENT CHAIN METHODOLOGY (ECM)

Helps recognize and plan for potential risks. Monte Carlo Analysis and Event Chain Diagrams help determine the probability of certain risks and their potential impact. Visualizing the relationship between external events and project tasks helps create realistic plans.

EXTREME PROGRAMMING (XP)

Features short development cycles, frequent releases, and open communication with stakeholders. Teams focus on collaboration and efficiency, writing the simplest possible code to produce the desired feature, avoiding burnout and low-quality deliverables.

KANBAN

Produces a slow and steady stream of deliverables through continuous workflow. Managers often use a whiteboard or sticky notes to represent progress and uncover process problems. By understanding where time is wasted, teams can improve productivity.

TO DO | IN PROGRESS | DONE

LEAN

Delivers high-value, high-quality work with less manpower, money, and time. Lean cuts waste by eliminating bottlenecks, focusing on customer value, and continually improving processes. Use Lean to cut budgets, meet quick deadlines, and get big results with a small team.

LEAN SIX SIGMA

Combines Lean's efficiency with Six Sigma's statistics-based process improvement. By defining how work actually gets done, teams eliminate waste and focus on delivering the highest possible value to clients.

PRISM (PROJECTS INTEGRATING SUSTAINABLE METHODS)

Blends project planning with environmental sustainability measures. Want to go green? PRiSM is for you. Reduce energy, waste management, and distribution costs, all while reducing your environmental footprint.

PRINCE2 (PROJECTS IN CONTROLLED ENVIRONMENTS)

Ensures that every project has business justification and will contribute value. Planning begins by identifying a clear need, targeted customer, realistic benefits, and accurate cost assessment.

PROCESS-BASED PROJECT MANAGEMENT

Guarantees every project furthers the company's mission. Before project kick-off, the plan is analyzed to see if it will live up to the mission statement; if not, all strategies and goals are adjusted. Every action adds value to an organization's strategic vision.

SCRUM

Emphasizes productivity, focus and collaboration so teams can build high-quality deliverables quickly and adapt to change easily. Teams work in short sprints for maximum efficiency, plus they can test new iterations quickly and fix mistakes right away.

SIX SIGMA

Improves processes and product quality by reducing defects or bugs. A rating of "six sigma" means that 99.99966% of what's produced is defect-free. By examining the entire production process, you can find possible improvements even before defects appear.

WATERFALL

Breaks projects down into a series of sequential tasks. With clearly defined goals and a set timeline, teams work through tasks in order, completing each one before moving on to the next in line. And extensive planning means accurate timelines and budgets.
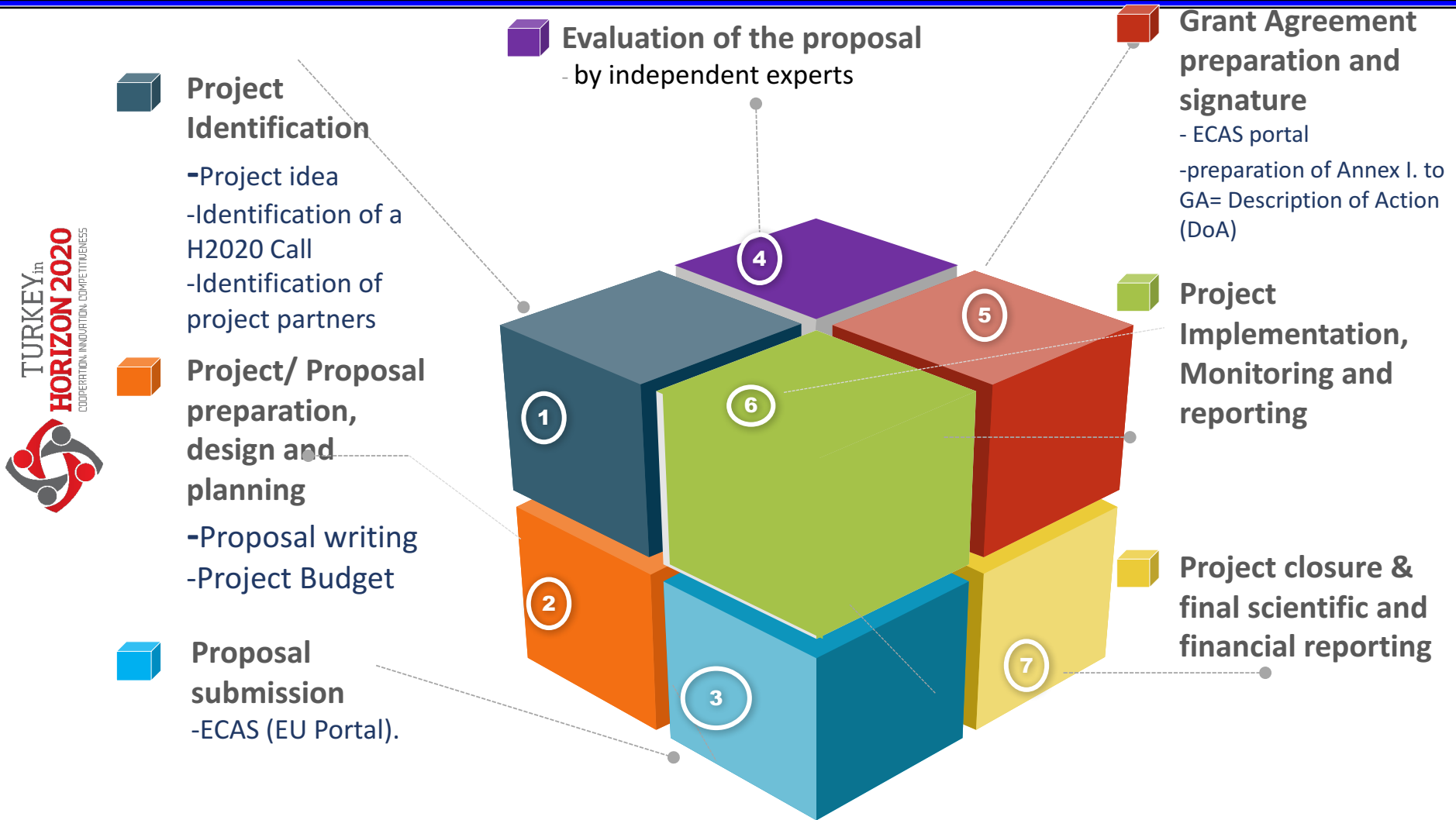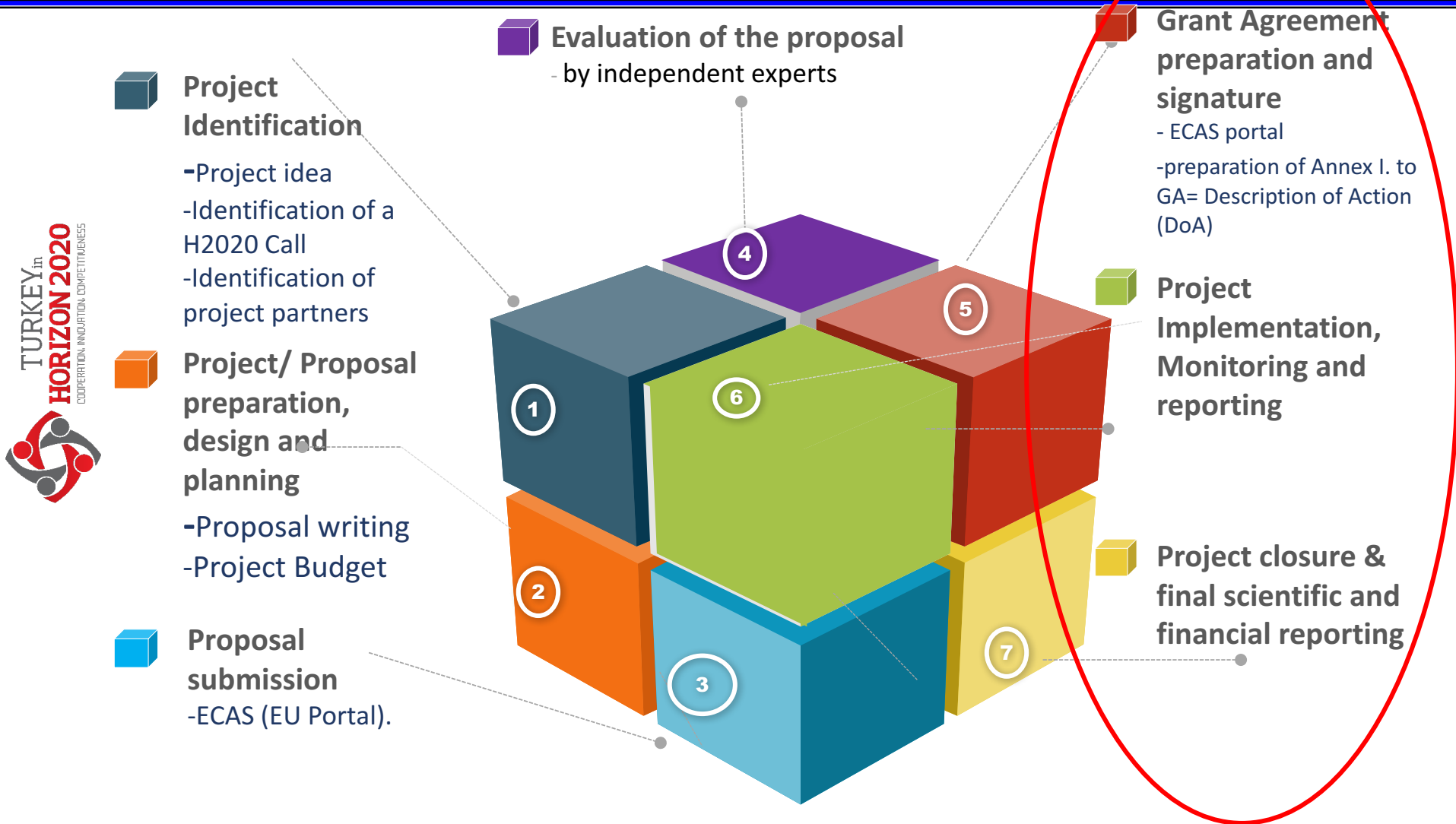
Project Management Cycle in H2020 Projects

Initiation

- Project Idea
- Finding appropriate call
- short project outline
- Consortium building
- Overall Budget
- HR

Planning

- Proposal writing (objectives, impact, draft exploitation plan, identification of risks, MNG plan, etc.)
- Budget Planning
- Project Submission & Evaluation
- Grant Agreement preparation
- Consortium Agreement
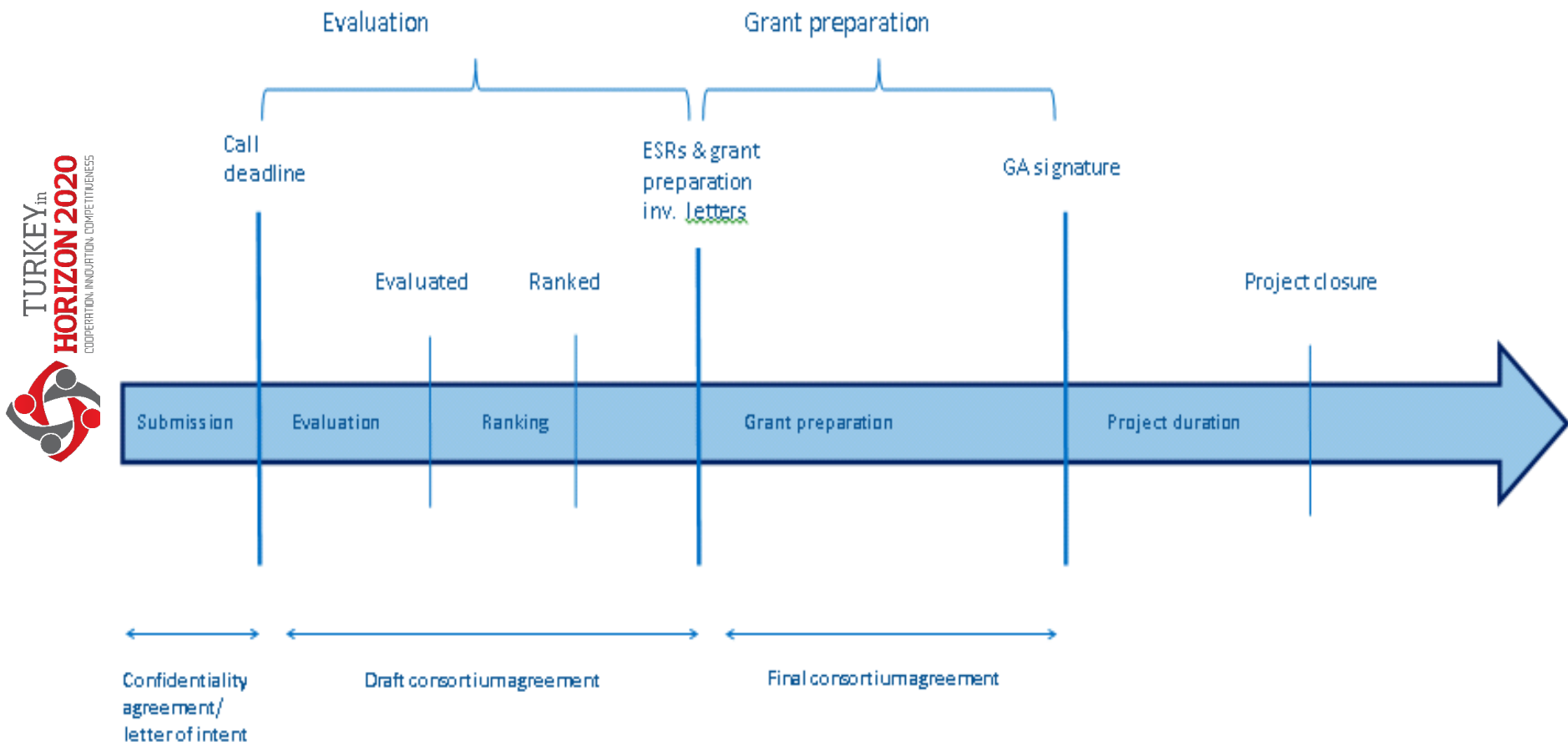- Ethical Compliance

Execution/ Implementation

- Consortium Management incl. Internal communication
- Time Management
- Communication with EC
- Contract and financial Management
- Monitoring (workflow, Impacts, exploitation, IPR and QA)
- Risk Management
- Data Management
- Exploitation
- Ethic
- Financial Management & Periodic reporting
- Liaison with other initiatives and projects

Closure

- Submission of al deliverables, dissemination, exploitation of project results, identification of potential short-term, medium-term and long term impact
- Final technical reporting
- Final financial reporting
- Sustainability of results (exit plan)
- Project Review & Evaluation

TURKEY in HORIZON 2020
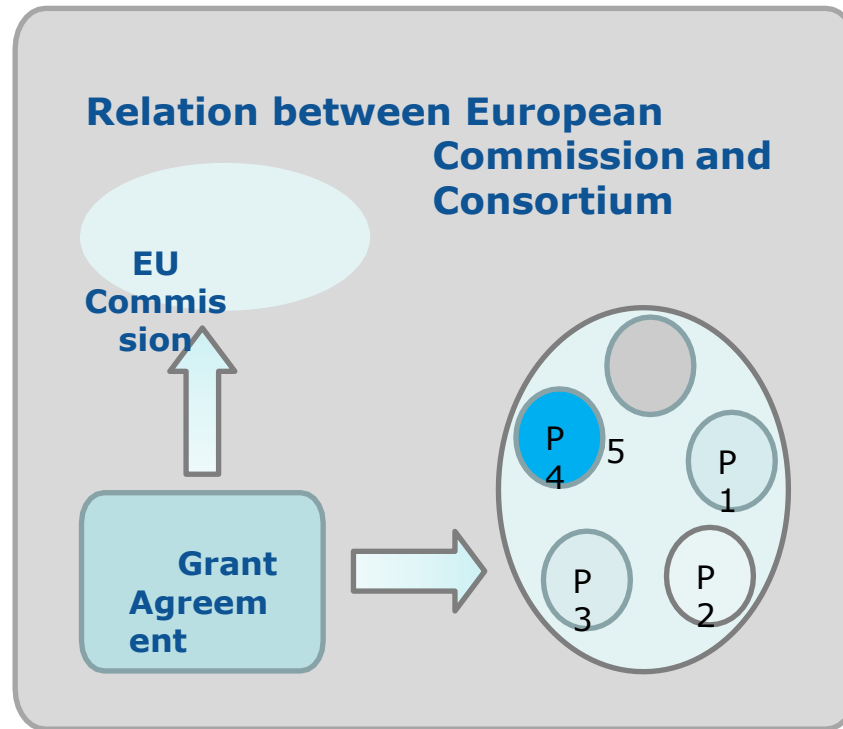COOPERATION. INNOVATION. COMPETITIVENESS

CFCU CENTRAL FINANCE & CONTRACT UNIT

IDI

TÜBİTAK

PM Cycle in H2020 projects - Extended

Evaluation of the proposal
- by independent experts

Grant Agreement preparation and signature
- ECAS portal
-preparation of Annex I. to GA= Description of Action (DoA)

Project Identification

-Project idea
-Identification of a H2020 Call
-Identification of project partners

Project/ Proposal preparation, design and planning

-Proposal writing
-Project Budget

Proposal submission
-ECAS (EU Portal).

Project Implementation, Monitoring and reporting

Project closure & final scientific and financial reporting

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1

2

3

4

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6

7

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Objectives of project management

- Ensure the correct execution of the project's work plan including its adaptation to necessities that may occur during the project

- Guarantee efficient communication within the consortium

- Assure the overall coordination of all activities among the project partners

- Lead project steering with the objective to implement the project in a smooth and consolidated way, involving the partnership and also external stakeholders

- Enabled timely reporting to the European Commission and the administrative and financial management of the project

Project Managament Structure in H2020

EXAMPLE
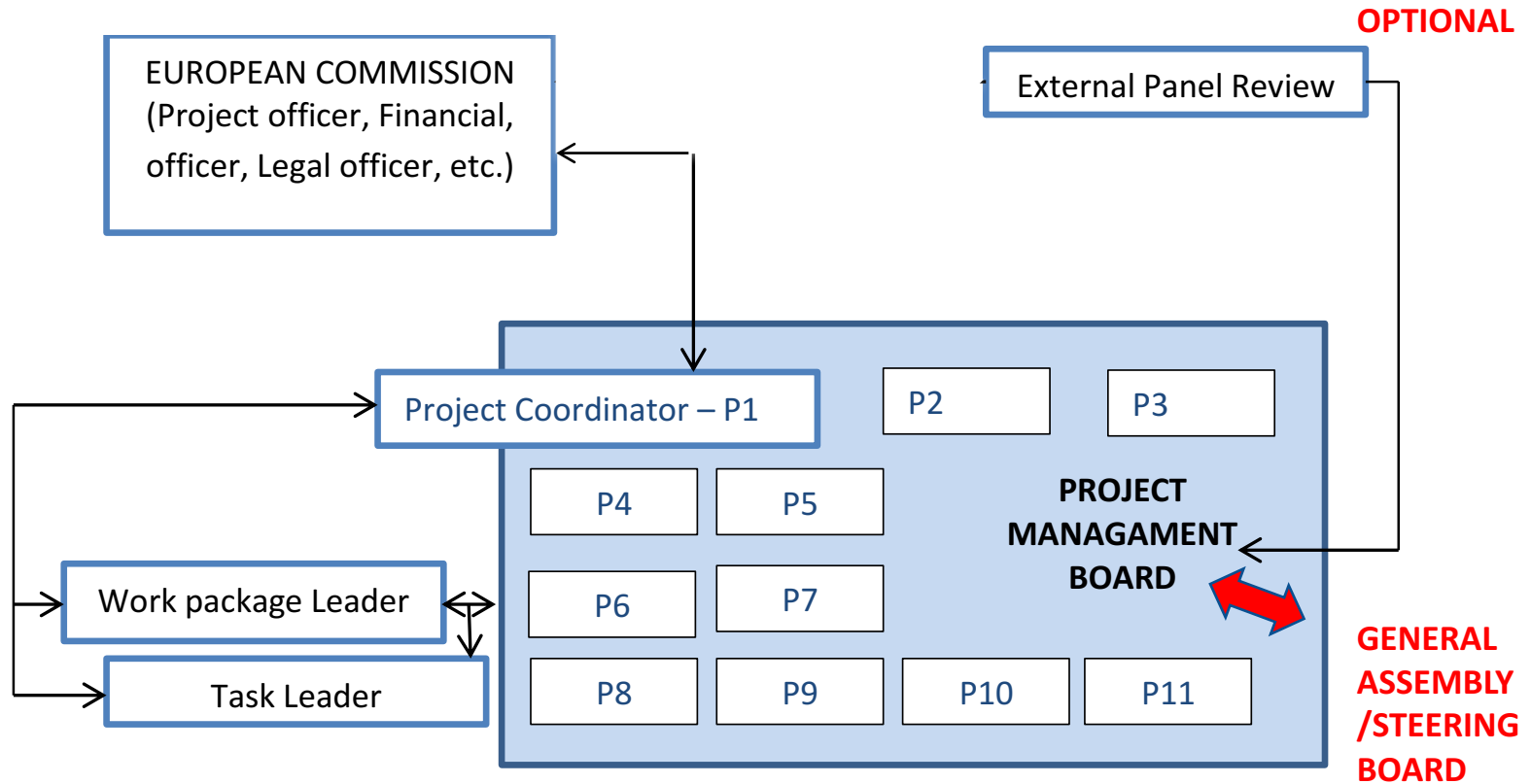
Roles of project participants

- **Each of the project partners can have different roles.**

- **Roles are defined in the project work-plan description**

All project partners :

- Should **fulfil their tasks duly, timely and according to the distribution of work specified in Annex** I or amended by the decisions of the General Assembly

Project Management Board / General Project Assembly/ Steering Board

=> Main decision-making body

Members: all project partners, chaired by the Coordinator

Main tasks:

- To review project implementation and progress of work
- To approve the deliverables before submission to the EC
- To share knowledge on project implementation and to provide suggestions for its further development based on the project outcomes, input from the ERP (optional)
- To decide upon adaptations of the Annex I and consortium budget
- In case an activity can not be implemented, making a priority list for the future possible activities and deciding on the option based on criteria of efficiency, feasibility, impact and relevance
- To tackle problems, delays and resolve conflicts

Coordinator

- Responsible for overall project management

- Intermediary between the project and EC

- Ensures communication with the ERP

- Monitors compliance of the partners with their obligations

- Collects, reviews and submitts information on the progress of the project, reports and other deliverables to the EC

- Admnisters the financial contribution of the EC and fulfills financial tasks

- Transmits on time documents and information connected with the project

- Chairs the PMB meetings, proposes decisions and monitors the implementation of the project

  - **Scientific Coordinator**
  - **Administrative and Financial Coordinator**

Work package Leaders

➢ **responsible for the overall coordination of the WP, supervision of the tasks, activities, milestones as well as the related deliverables**

- preparing a draft periodic plans for the WP tasks to be approved at the PMB meetings
- reporting to the coordinator and to PMB
- organising communication within the respective WP and, together with the Coordinator and other WP Leaders, across WPs
- presenting the WP conclusions, decisions, results and deliverables at external meetings
- taking, in agreement with the Task Leaders, decisions at the WP level
- analysing and documenting any Default of a party in relation to the own WP activities and preparing a respective proposal for an action plan to the Coordinator

Task Leaders

- responsible for the timely implementation of the activities in the task and the reporting to the WP Leader

- are taking, in agreement with the concerned WP Leader, decisions at the task level

Deliverable Leaders

- responsible for the timely and final write-up of the deliverables

- coordinate the work on the deliverable and report to the Task Leader, the WP Leader and the Coordinator

- need to comply to the official deadlines for the submission of the deliverable for the Quality Assurance and to the European Commission

External Review panel (ERP) – optional body

Rational:

To establish the external review panel (e.g.<u>3 senior external experts</u>) to monitor the quality of project deliverables and internal materials of the project.

ROLE:

Quality Assurance of the project deliverables and activities

02 **PLANNING PHASE**

- Grant Agreement
- Consortium Agreement

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Overview: GA & CA

1. Grant Agreement (GA)

Relation between European Commission and Consortium

EU Commission

Grant Agreement

P4 5

P1

P3

P2

European IPR Helpdesk

Grant Agreement Preparation Phase

The importance of Grant Agreement Preparation Phase

➲ gather legal, administrative and financial information from all prospective beneficiary (project participant);

➲ make sure the <u>Description of the Action </u>(DoA, Annex 1 to the grant agreement) and the <u>Estimated budget </u>for the action (Annex 2) match the proposal as well the ethics review report or/and the security scrutiny report;

➲ establish <u>the key points </u>of the grant agreement (when the project starts, reporting periods, amount of pre-financing, need for consortium agreement, and, if applicable, ethical issues, third parties linked to the beneficiaries, in-kind contributions provided by third parties, subcontracting);

➲ verify the financial capacity

Grant Agreement Preparation Phase

When a H2020 proposal is successful..

-The Coordinator of the consortium receives the 'Evaluation Summary Report' and the Letter/ Invitation for the grant preparation phase.

-An EC Project Officer is assigned to be responsible for the preparation phase

↘ 3 weeks after: deadline for the submission of the grant agreement data, including annexes. The Coordinator needs to indicate changes/amendments, if any, in the future Description of the Action (Annex 1 of the future Grant Agreement) and justify the reason(s).

↘ 5 weeks after: Following the assessment of the submitted version of the grant agreement data (by the EC PO), Coordinator will have to submit the final version taking into consideration all requirements highlighted by the Project Officer.

↘ 6 weeks after: deadline for the electronic signature of the participants' declarations of honour.

↘ **7 weeks after:** deadline for all consortium partners (LEAR) to electronically sign the grant agreement on behalf of their entity.

Grant Agreement Preparation Phase
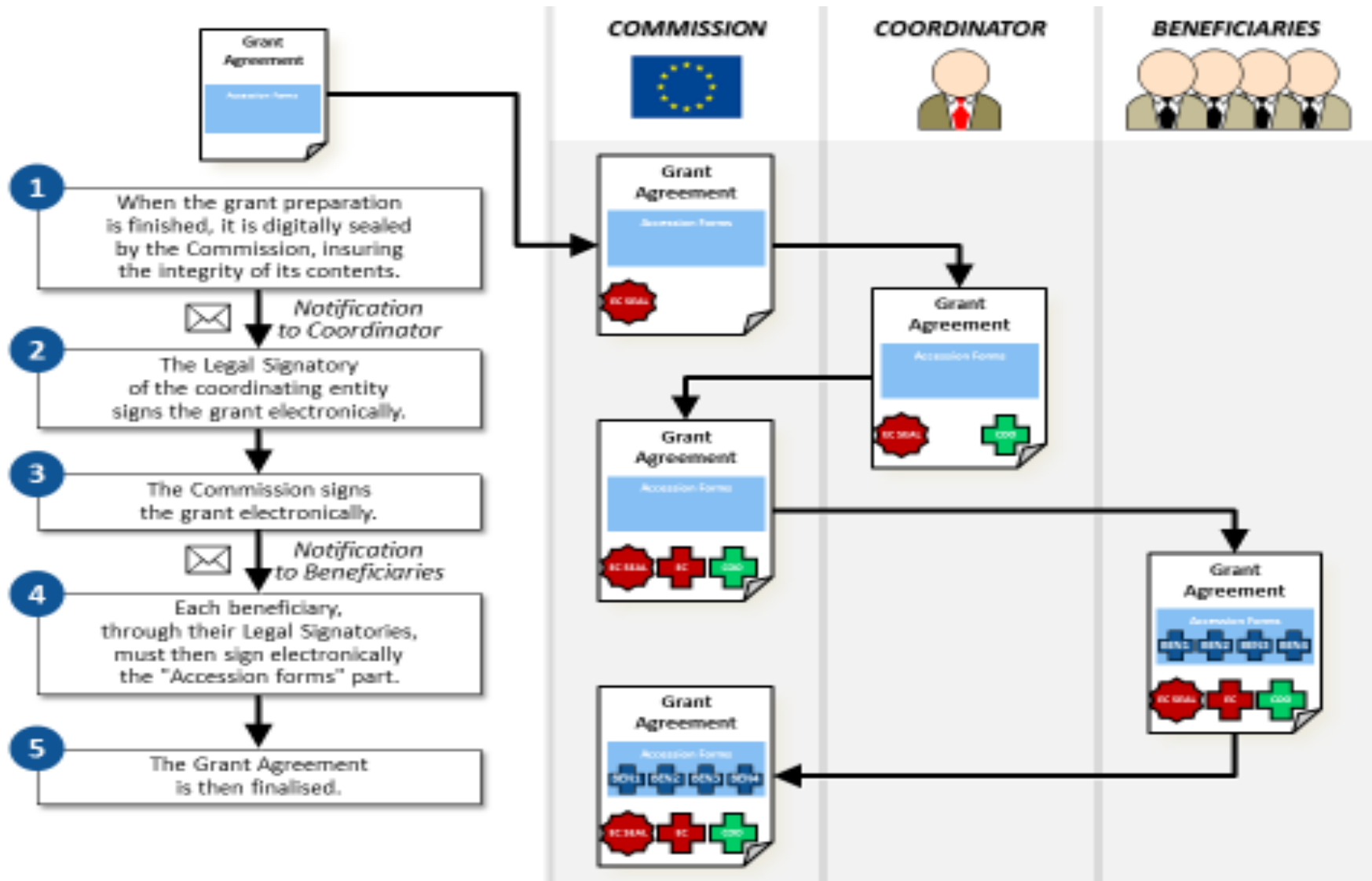
Grant Agreement Preparation Phase

Remarks

- Failure to respect the <u>deadlines</u> indicated will be considered as a wish not to enter into, or continue with, the grant preparation and, therefore, to withdraw your proposal;

- The entire grant preparation process, including communication with the Commission and the subsequent signature of the Grant Agreement , shall be carried out EXCLUSIVELY through the Participants Portal Grant Management Service / <u>EU Login (ex ECAS)</u>;

- Some information related to the legal and financial status of participants is <u>read-only</u> and may only be updated by the Legal Entity Appointed Representative (LEAR) of the concerned entity (E.g. Declaration of honour, signature of grant agreement)

✓ Further information: H2020 Online Manual on the Participant Portal

Grant Agreement Preparation Phase

Important "Roles" and Participant Portal User Rights for the Grant Agreement Preparation Phase;

✓ For the coordinating organisation:

- - Primary coordinator contact (PCoCo)
- - Legal entity appointed representative (LEAR)
- - Project Legal signatory (PLSIGN)

✓ For other beneficiaries:

- - Participant contact (PaCo)
- - Legal entity appointed representative (LEAR)
- - Project Legal Signatory (PLSIGN)

2. Consortium agreement

an agreement that project participants conclude between themselves for the implementation of the project in Horizon 2020.

CA allows the participants to determine the detailed administrative and management provisions necessary to carry out their project. Within this agreement, parties also outline the rights and responsibilities of each member of the consortium concerning intellectual property. This agreement cannot contradict or negate the provisions established by the Grant Agreement or the Rules for Participation.

Consortium Agreement (CA)

Regulates the relation between consortium partners (= participants)

P5

P1

P4

Consortium Agreement

P2

P3
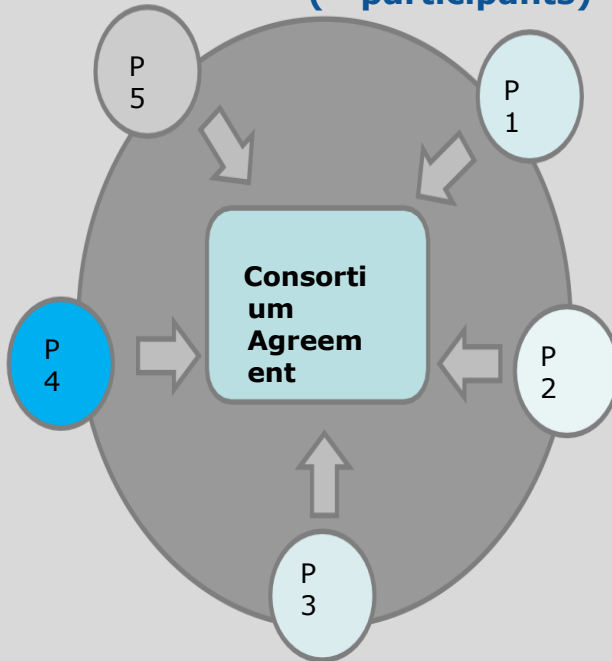
No binding template

But several models exist !

So far:
DESCA
EUCAR
MCARD

Characteristics

- *It is a private agreement between the beneficiaries and does not involve the EC (which, however, provides guidance).*

- *Deals with the rights and obligations of the beneficiaries amongst themselves.*

  Examples: internal organisation, distribution of EU funding, additional rules on IPR, settlement of disputes, etc.

- *In principle to be concluded before signing the Grant Agreement*
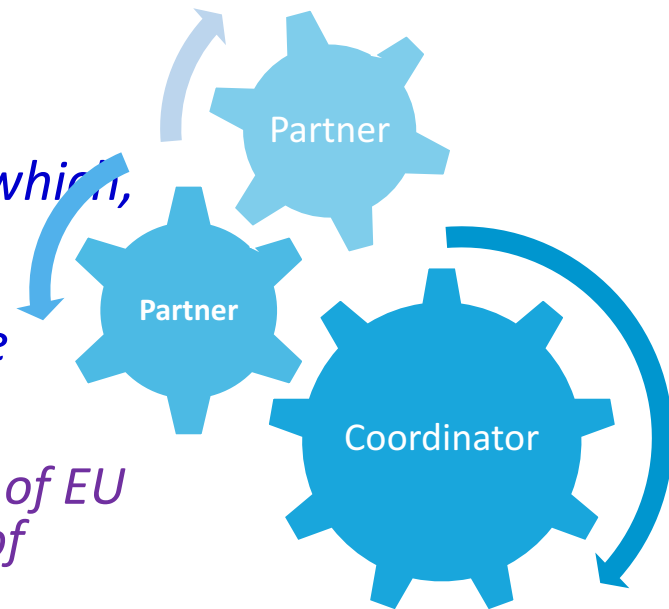
Source: EC

What should the CA include?

- Designation of the parties (beneficiaries)

- Preamble (context and purpose, identify the project clearly)

- Definitions (do not repeat nor deviate from those included in the GA and RfP!)

- Subject (description of the work to be done – this may refer to the description of the action)

- Technical provisions (project schedule, etc. if relevant in the CA - do not forget provisions addressing any substantial changes in the work foreseen!)

- Managerial provisions (management bodies and respective tasks, decision-making processes)

- Financial provisions complementing those already included in the GA (payments, costs, changes to financial plans)

- **Provisions on IPR, exploitation and dissemination.** These must be flexible and support both the cooperation between the parties and a sound implementation of the project, while encouraging protection, exploitation and dissemination.

- General provisions (entry into force, duration and termination, amendment procedure, **confidentiality**, breach and liability, survival, law and jurisdiction, signatures...)

Source: European IPR Helpdesk

03 | **A) EXECUTION/ IMPLEMENTATION**

- **Consortium Management**
- **Time Management**
- **Contract and financial management incl. reporting**
- **Project Monitoring**
- **Examples of MNG Tools**

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1. Consortium management

includes the provision of **regular management updates** (internal communication) and the **organisation of consortium web conferences** (every 3-4 months; using GoToMeeting), the **project knowledge management** (making use of the website and cloud-services) and the **organisation of General Assemblies** and **HR**.

Time management

To ensure that the tasks start and finish according to the project work plan and that the project deliverables are submitted to EC in due time.

=> All the projects activities needs to be carefully planned already in the proposal stage!

EXAPLE

WP/Task	LEAD	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36
WP1	ZSI																		D1.5																		D1.4, D1.5
T1.1	ZSI			D1.2																																	D1.1
T1.2	ZSI																		D1.3																		
T1.3	ZSI																																				
T1.4	ZSI																																				
2	UB																																				
T2.1	UB			D2.1																																	
T2.2	Nesta								D2.2																						D2.2						
T2.3	TUM											D2.4													D2.4												D2.4
T2.4	UB					D2.3													D2.3						D2.5						D2.3						
WP3	TUM																																				
T3.1	TUM																		D3.1																		
T3.2	TUM											D3.2							D3.2																		D3.2
T3.3	UNI Graz											D3.3							D3.3																		
T3.4	TUM																		D3.4																		D3.4
T3.5	ISAS CR																		D3.5																		
WP4	ZSI																																				
T4.1	ZSI					D4.1																															
T4.2	ZSI																								D4.2												D4.3
T4.3	ZSI																		D4.4												D4.4						
WP5	ISAS CR																																				
T5.1	ISAS CR																		D5.5																		D5.5
T5.2	OKF					D5.2																															D5.2
T5.3	UB																		D5.3																		D5.3
T5.4	CENIT																														D5.4						D5.1
WP6	Ecsite																																				
T6.1	Ecsite			D6.1																																	
T6.2	Ecsite					D6.2																															
T6.3	Ecsite																																				D6.3
T6.4	Ecsite											D6.5.3													D6.5.2												D6.4, D6.5, D6.5.1, D6.5.2, D6.5.3
						M1			M2			M3							M4						M5						M6						M7

3. Contract and financial management incl. Periodic Reporting to EC

- This activity includes **contractual and financial management of the project**, including monitoring of the implementation and controlling of the budget planned and its modifications.

- Based on detailed budget planning any modifications needs to be duly recorded and adapted as needed.

4. Project Monitoring

Includes monitoring of:

- Workflow

- Impacts

- Exploitation

- IPR issues related to the project

- RRI issues

- Quality Assurance (QA) of project results and outputs

Work Package/Task Management

❑ Each **Work Package** aims to implement one or more of the project`s objectives.
Work Package Description should include;

   ↘ information on the methodology for the implementation of activities;

   ↘ quantified information in order to monitor the progress;

   ↘ enough detail to justify the proposed resources to be allocated;

   ↘ resources should be in line with their objectives and deliverables;

The number of work packages should be proportionate to the scale and complexity of the project.

❑ **Task Leader** is responsible for the implementation of the activities within the Task and almost always for the timely preparation of the Deliverable (Deliverable Leader).

❑ **Deliverables** are the outputs to be produced under a certain Project`s activity.

❑ **Milestones** are actions in the project during which important decisions are made.

❑ **Dissemination** (sharing research results with potential users - peers in the research field, industry, other commercial players and policymakers) and **exploitation** (using results for commercial purposes or in public policymaking).

Financial/Resources Management

<u>Keeping records</u>
Beneficiaries must keep records and other supporting documents in order to prove *the proper implementation* of the Project.

<u>a. Administrative Records</u>
- ✓ Consortium agreement (and amendments)
- ✓ Grant agreement (and amendments)

<u>b. Scientific Records</u>
- ✓ Progress reports
- ✓ Records of meetings (Agendas, LoP)

<u>c. Financial Records</u>
Direct costs are directly linked to the activities in the project, such as;
1. Personnel costs (Time sheets)
2. Travel costs (Tickets/ Hotel invoices/ Boarding Pass/ Invitation Letter/ Agenda)
3. Equipment (Depreciation)
4. Subcontracting (major/minor)

Indirect costs (or Overhead) cannot directly linked to the activities in the project, such as;
1. Photocopies
2. Phone bills, heating, electricity etc.

PERT Chart

- used to schedule, organize, and coordinate tasks within a project

- illustration of dependencies

Some other examples

WP1 SETTING UP THE SCENE

T1.1: SETTING UP THE METHODOLOGICAL FRAMEWORK
T1.2: COLLECTION OF DATA ABOUT CURRENT PROCEDURES, RRI PRACTICES, CHALLENGES AND BARRIERS IN EU28, H2020 AC AND INTERNATIONAL PARTNERS
T1.3: ANALYSIS OF PROMISING PRACTICES TO DEVELOP GOOD PRACTICE STANDARDS

WP5 PROJECT MANAGEMENT AND COORDINATION

T5.1: CONSORTIUM MANAGEMENT AND COORDINATION
T5.2: CONTRACT AND FINANCIAL MANAGEMENT
T5.3: REPORTING, COMMUNICATION WITH EC AND LIAISON WITH OTHER INITIATIVES AND PROJECTS

WP2 JOINT ASSESMENT

T2.1: SETTING UP THE STRUCTURE AND CONTENT OF THE RAINdROp JOINT ASSESSMENT
T2.2: ASSESSMENT OF CURRENT PROCEDURES, RRI PRACTICES CHALLENGES AND BARRIERS AT EACH OF PARTICIPATING INSTITUTIONS
T2.3: FACILITATINGTHE LEARNING AND UPTAKE OF THE RESULTS

WP4 COMMUNICATION, DISSEMINATION, EXPLOITATION AND INTERNATIONALISATION

T4.1: COMMUNICATION AND DISSEMINATION
T4.2: PROJECT WEBSITE PLATFORM
T4.3: INTERNATIONALISATION, AND DISSEMINATION ON INTERNATIONAL LEVEL
T4.4: EXPLOITATION AND SUSTAINABILITY OF PROJECT RESULTS

WP3 IMPLEMENTATION OF RRI PLANS AT EACH CONSORTIUM MEMBER & MONITORING

T3.1: DEVELOPMENT OF THE INDIVIDUAL RRI ACTION PLANS
T3.2: IMPLEMENTATION OF RRI ACTION PLANS
T3.3: EXTERNAL MONITORING AND EVALUATION OF THE IMPLEMENTATION

- **Paid tools**

- **Free tools**

The decision to use online tools depends on your preferences!

ETC...

TRELLO – FREE TOOL - Example

Financial MNG Tool - Example

Content and time management tool - Example

04 **B) EXECUTION/ IMPLEMENTATION**

- **Risk mitigation & Conflict Management**
- **Data management/ Data Management Plans**

Project Management Cycle in H2020 Projects

Initiation

- Project Idea
- Finding appropriate call
- short project outline
- Consortium building
- Overall Budget
- HR

Planning

- Proposal writing (objectives, impact, draft exploitation plan, identification of risks, MNG plan, etc.)
- Budget Planning
- Project Submission & Evaluation
- Grant Agreement preparation
- Consortium Agreement
- Ethical Compliance

Execution/ Implementation

- Consortium Management incl. Internal communication
- Time Management
- Communication with EC
- Contract and financial Management
- Monitoring (workflow, Impacts, exploitation, IPR and QA)
- Risk Management
- Data Management
- Exploitation
- Ethic
- Financial Management & Periodic reporting
- Liaison with other initiatives and projects

Closure

- Submission of al deliverables, dissemination, exploitation of project results, identification of potential short-term, medium-term and long term impact
- Final technical reporting
- Final financial reporting
- Sustainability of results (exit plan)
- Project Review & Evaluation

1.Risk mitigation and conflict management

- In a project lifetime it can be anticipated that **issues arise which could put both the quality and timing of content at risk.**

- **Risks and potential solutions needs to be identified** as early as possible to ensure successful and timely completion of the project.

- In the event of **deviations from the project's work plan**, the Commission needs to be informed by the Project Manager without delay. As part of the internal communication activities, the Coordinator is responsible for risk and conflict management.

RISK MANAGAMENT - IMPLEMENTATION

OBJECTIVE:

to mitigate any risk that could potentially harm project's products and values.

Project Manager (RISK MANAGER):

- *defines the process and techniques for the evaluation and control of potential risks, focusing on their precautionary diagnosis and handling.*

RISK ANALSIS	RISK MANAGAMENT
- Identification of a risk - Assessment of its importance and the evaluation of whether the risk level is higher than the risk that could be accepted for the project. - In case a risk exceeds the acceptable levels, a risk analysis activity is instantiated that defines the required actions in order to set the risk within acceptable levels	Involves the planning of the required activities to handle the risk, the re-distribution of resources, the evaluation of the results, as well as ensuring the stability of the new status

IDENTIFICATION OF RISKS:

Description of risk	Level of likelihood	WPs involved	Proposed risk mitigation measures

2. DATA MANAGEMENT PLANNING (DMP)

Data management planning is the process of planning, describing and communicating the activities carried out during the research lifecycle in order to:

- *Keep sensitive data safe*
- *Maximise data's reuse potential*
- *Support longer-term preservation*

Research funders (and other bodies) often ask for a short statement/plan to be submitted alongside grant applications. In general, they want to know:

- ✓ *What kinds of data will be created, and how*
- ✓ *How will the data be documented and described?*
- ✓ *Are there ethical or Intellectual Property issues?*
- ✓ *What are the arrangements for data sharing and reuse?*
- ✓ *What is the strategy for longer-term preservation?*

Source: Foster project

Data Management Plans

A DMP is a brief plan to define:

- how the data will be created

- how it will be documented

- who will be able to access it

- where it will be stored

- who will back it up

- whether (and how) it will be shared & preserved

DMPs are often submitted as part of grant applications, but are useful whenever researchers are creating data.

Research data lifecycle

CREATING DATA: designing research, DMPs, planning consent, locate existing data, data collection and management, capturing and creating metadata

RE-USING DATA: follow- up research, new research, undertake research reviews, scrutinising findings, teaching & learning

ACCESS TO DATA: distributing data, sharing data, controlling access, establishing copyright, promoting data

PROCESSING DATA: entering, transcribing, checking, validating and cleaning data, anonymising data, describing data, manage and store data

ANALYSING DATA: interpreting, & deriving data, producing outputs, authoring publications, preparing for sharing

PRESERVING DATA: data storage, back- up & archiving, migrating to best format & medium, creating metadata and documentation

CREATING DATA

PROCESSING DATA

RE-USING DATA

ANALYSING DATA

GIVING ACCESS TO DATA

PRESERVING DATA

Source:

Elements of a Data Management Plan

Data set reference and name	*Identifier for the data set to be produced.*
Data set description	***Description of the data that will be generated or collected, its origin*** *(in case it is collected),* ***nature and scale and to whom it could be useful, and whether it underpins a scientific publication****. Information on the existence (or not) of similar data and the possibilities for integration and reuse.*
Standards and metadata	*Reference* ***to existing suitable standards of the discipline****. If these do not exist, an outline on how and what metadata will be created.*
Data sharing	*Description of* ***how data will be shared, including access procedures, embargo periods (if any), outlines of technical mechanisms for dissemination and necessary software and other tools for enabling re-use, and definition of whether access will be widely open or restricted to specific groups.*** *Identification of the repository where data will be stored, if already existing and identified, indicating in particular the type of repository (institutional, standard repository for the discipline, etc.).* *In case the dataset cannot be shared, the reasons for this should be mentioned (e.g. ethical, rules of personal data, intellectual property, commercial, privacy-related, security- related).*
Archiving and preservation	*Description of the* ***procedures that will be put in place for long- term preservation of the data****. Indication of how long the data should be preserved, what is its approximated end volume, what the associated costs are and how these are planned to be covered.*

Source:

Timing the DMP

- Note that the Commission does NOT require applicants to submit a DMP at the proposal stage (see next slide).
- A DMP is therefore NOT part of the evaluation.
- DMPs are a deliverable for those in the pilot (due by month 6).

- Note thatthe Commission requires updates. A DMP is a living or "active" document.

Source:

Proposal phase

Where relevant*, H2020 proposals can include a section on data management which is evaluated under the criterion 'Impact'.

- What types of data will the project generate/collect?

- What standards will be applied?

- How will this data be exploited &/or shared/made accessible for verification and reuse?

    - If data cannot be made available, why not?

- How will this data be curated and preserved?

Your data management policy should reflect the current state of consortium agreements on RDM.

* For "Research and Innovation actions" and "Innovation Actions

http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-data-mgt_en.pdf

Initial DMP (at 6 months)

The DMP should address the points below
on a dataset by dataset basis:

- Dataset reference and name

- Data set description

- Standards and metadata

- Data sharing

- Archiving and preservation (including storage
  and backup)

See Annex 1 at:
http://ec.europa.eu/research/participants/data/ref/h2020/
grants_manual/hi/oa
_pilot/h2020-hi-oa-data-mgt_en.pdf

Scientific research data should be easily (DTP –month 6):

1. Discoverable
Are the data discoverable and identifiable by a standard mechanism e.g. DOIs?

2. Accessible
Are the data accessible and under what conditions e.g. licenses, embargoes?

3. Assessable and intelligible
Are the data and software assessable and intelligible to third parties for peer-review? E.g. can judgements be made about their reliability and the competence of those who created them?

4. Useable beyond the original purpose for which it was collected
Are the data properly curated and stored together with the minimum software and documentation to be useful by third parties in the long-term?

5. Interoperable to specific quality standards
Are the data and software interoperable, allowing data exchange? E.g. were common formats and standards for metadata used?

See Annex 2 at:
http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-data-mgt_en.pdf

05 C) EXECUTION/ IMPLEMENTATION

- **Exploitation**

Project Management Cycle in H2020 Projects

Initiation

- Project Idea
- Finding appropriate call
- short project outline
- Consortium building
- Overall Budget
- HR

Planning

- Proposal writing (objectives, impact, draft exploitation plan, identification of risks, MNG plan, etc.)
- Budget Planning
- Project Submission & Evaluation
- Grant Agreement preparation
- Consortium Agreement
- Ethical Compliance

Execution/ Implementation

- Consortium Management incl. Internal communication
- Time Management
- Communication with EC
- Contract and financial Management
- Monitoring (workflow, Impacts, exploitation, IPR and QA)
- Risk Management
- Data Management
- Exploitation
- Ethic
- Financial Management & Periodic reporting
- Liaison with other initiatives and projects

Closure

- Submission of al deliverables, dissemination, exploitation of project results, identification of potential short-term, medium-term and long term impact
- Final technical reporting
- Final financial reporting
- Sustainability of results (exit plan)
- Project Review & Evaluation

1. Exploitation in H2020 funded projects

H2020 funded projects are obliged (GA) to exploit and impact the market:

> **"The dissemination and transfer of knowledge is a key added value of European research actions, and measures shall be taken to increase the use of results by the research community, industry, policy makers and society"**
>
> **Rules for Participation**

> *Article 43 - **Exploitation and dissemination of results** "Each participant that has received Union funding shall use its best efforts to exploit the results it owns, or to have them exploited by another legal entity, in particular through the transfer and licensing of results in accordance with Article 44."*
>
> *Rules for participation and dissemination in "Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020) - TITLE III - RULES GOVERNING THE EXPLOITATION AND DISSEMINATION OF RESULTS*

Source: EC and Haivisio

DISSEMINATION-EXPLOITATION&VALORIZATION

In projects funded under H2020 beneficiaries have the obligation to define the expected results and their strategy for exploitation and dissemination.

Key terms:

Dissemination:
Means trough which research results are presented to the public

RESULTS:
All results which are generated under the project – whether or not protectable

Exploitation:
Utilisation (direct/indirect) of results in research activities, which are not part of the project, as well as utilisation for further development, creation and marketing of a product or process.

Valorization:
Use, for socio-economic purposes, of the results of research financed by public authorities. It represents society's direct and indirect return on the public sector's investment in research and development

Source: EC and Haivisio

PROJECT OUCOMES:

The first key element in exploitation is to have a **clear description of all project outcomes**, products, services and knowledge generated within the project, that could potentially be exploited:

- ❑ Products
- ❑ Services
- ❑ Prototypes
- ❑ Guidelines
- ❑ Software
- ❑ Methodology….

Source: EC and Haivisio

MARKET ANALYSIS

THE CONCEPT

Market Analysis is an essential aspect on Exploitation. Exploitation needs a market, a buyer of our product/service/technology

Market Analysis helps to identify which is our market and which are the most suitable media to reach it.

MARKET = CUSTOMERS/END USERS.

Source: EC and Haivisio

Who are they?

What do they need? How do they make their buying decisions?

How is the environ- ment?

Target group

How do we reach them with your Marketing and Sales Messages?

It's price a must?
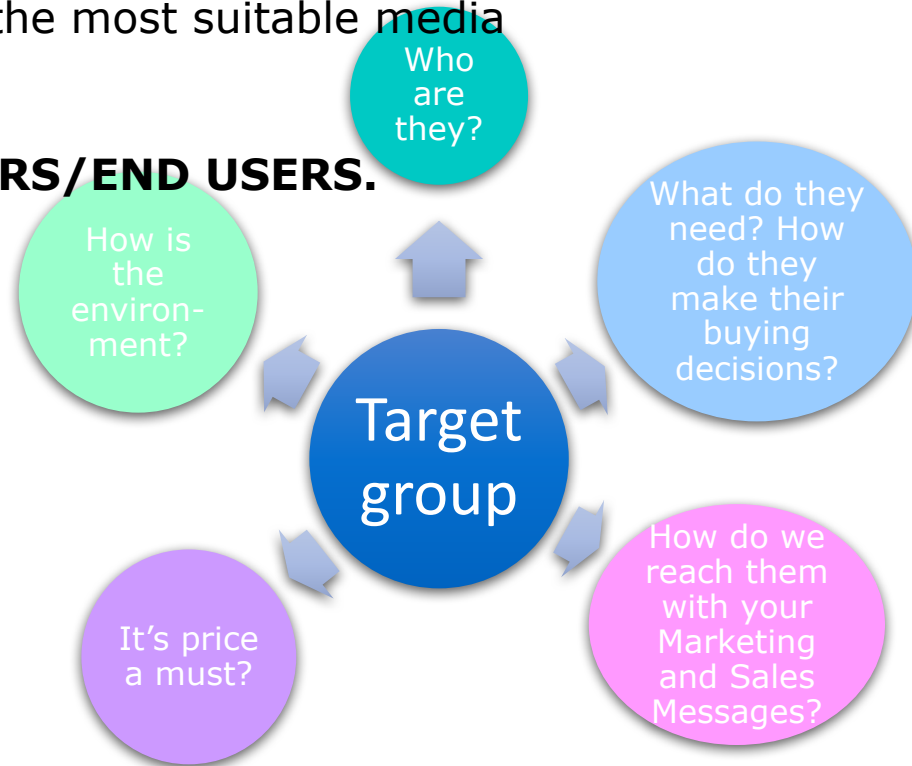
INTELLECTUAL PROPERTY ISSUES

Intellectual Property Rights are usually included in the Consortium Agreement of the project, which clarifies the relationship among the project partners.

It is always advisable to **clarify the ownership of results** within the consortium once they have been created, **before the partners start setting up exploitation strategies!**

Source: EC

IP MANAGAMENT

- Which knowledge are we exchanging?
- Under which conditions?
- Who will be the owner of the results?
- What happens in cases of joint ownership?
- Who and how will exploit the results?
- How are we protecting confidential information?
- How are we going to share the revenues?

IPR	TYPE OF OUTCOME
Patent	New inventions
Utility model	New inventions
Trade Marks	Distinctive signs
Industrial Design	Appearance of products
Copyright	Literary, artistic and scientific works
Confidentiality	Confidential business information/trade secrets

Source: Ramocki, J., "Intellectual Property in Horizon 2020 – overview with a focus on comparison with FP7", European IPR Helpdesk Bulletin, N°11, October - December 2013:
http://www.iprhelpdesk.eu/sites/default/files/newsdocuments/IPR_Bulletin_No11-1.pdf

INTELLECTUAL PROPERTY ISSUES - RISKS

Lack of Support along the project development: (2)

Conflict of Interest among the partners: (1)

Changes in the final phase of the project: (3)
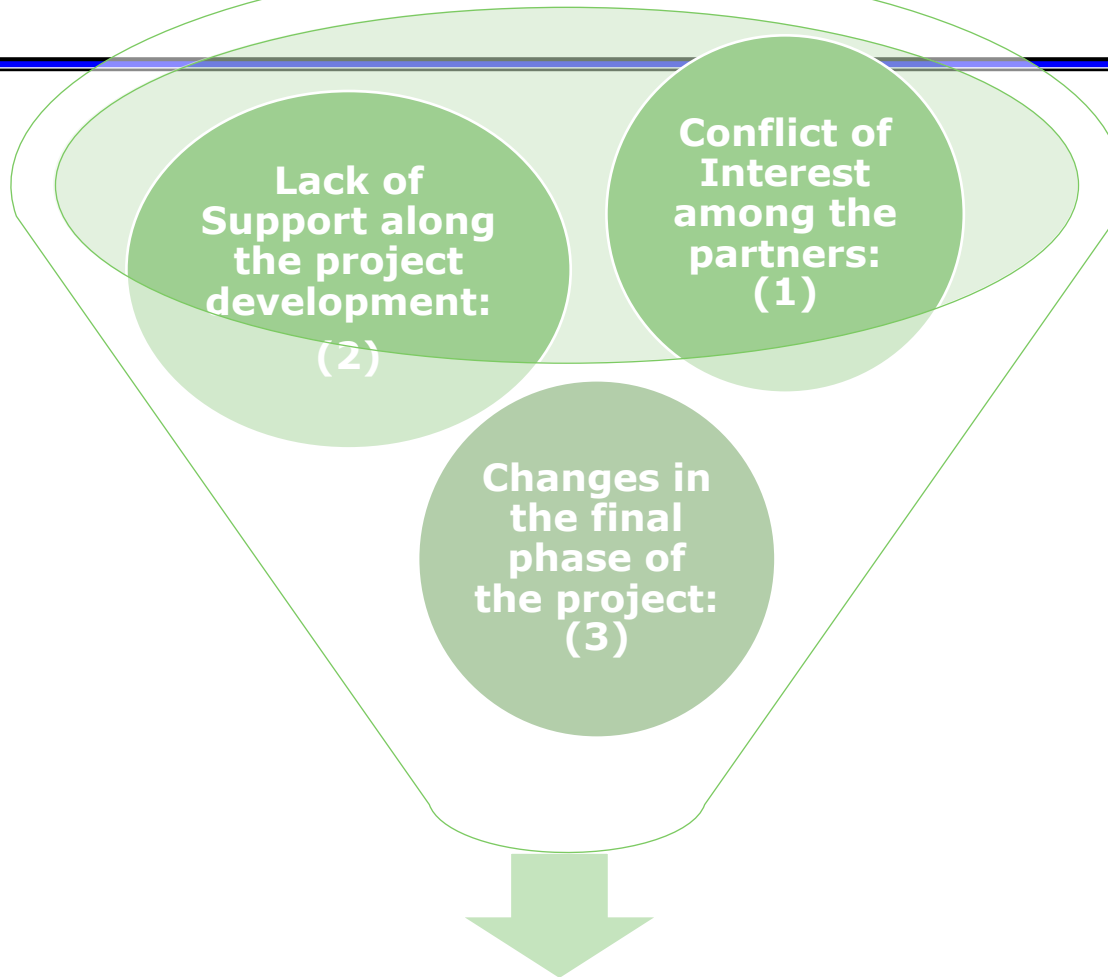
The Consoritum Agreement is the best way to prevent these type of Risks. It stablishes conditions concerning IP and way-out rules

THE EXPLOITATION PLAN

SUMMARY

Outcomes	Technology Readiness Level / Time	IPR	Commercialisation Channels	Target Groups
• Prototype • Product • Service • Software • Methodology • Documents	• TRL3 – TRL4 - Applied Research – Long Time to Market • TRL5 - TRL6 – TRL7 - Pilot Industrial Scale – Medium time to Market • TRL8 – TRL9 – Manufacturing – Short Time to Market	• Patent • Trademark • Utility Model • Copyright • NDA – Non Disclosure Agreement • Industrial Design	• Consultancy • Licencing • Spin-off • Assignment • Joint-Venture Agreement	• Associations • Hospitals • Public Bodies • Private Companies • End Consumers • …

Source: EC and Haivisio

06 **D) EXECUTION/ IMPLEMENTATION**

- **CROSS- CUTTING ISSUES**
  - **Ethical Issues**
  - **RESPONSIBLE RESEARCH AND INNOVATION**

International cooperation	Social Sciences & Humanities	Open access & Data management	Climate action & Sustainable development
Ethics	Gender	SMEs	ERA-NETs
Links to regional policy	Intellectual property	Innovation procurement	

Cross-cutting issues

- International cooperation
- Social Sciences & Humanities
- Open access & Data management
- Climate action & Sustainable development
- Ethics
- Gender
- SMEs
- ERA-NETs
- Links to regional policy
- Intellectual property
- Innovation procurement

Project Management Cycle in H2020 Projects

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- Ethic
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- Liaison with other initiatives and projects

Closure
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- Final financial reporting
- Sustainability of results (exit plan)
- Project Review & Evaluation

Ethics Appraisal

The Ethics Appraisal procedure concerns **all activities funded** in Horizon 2020.

The aim is to ensure that the provisions on ethics in **H2020 regulation** and in the **Rules for Participation** are respected.

It is also complementary with the article 34 of the **Grant Agreement** on "Ethics".
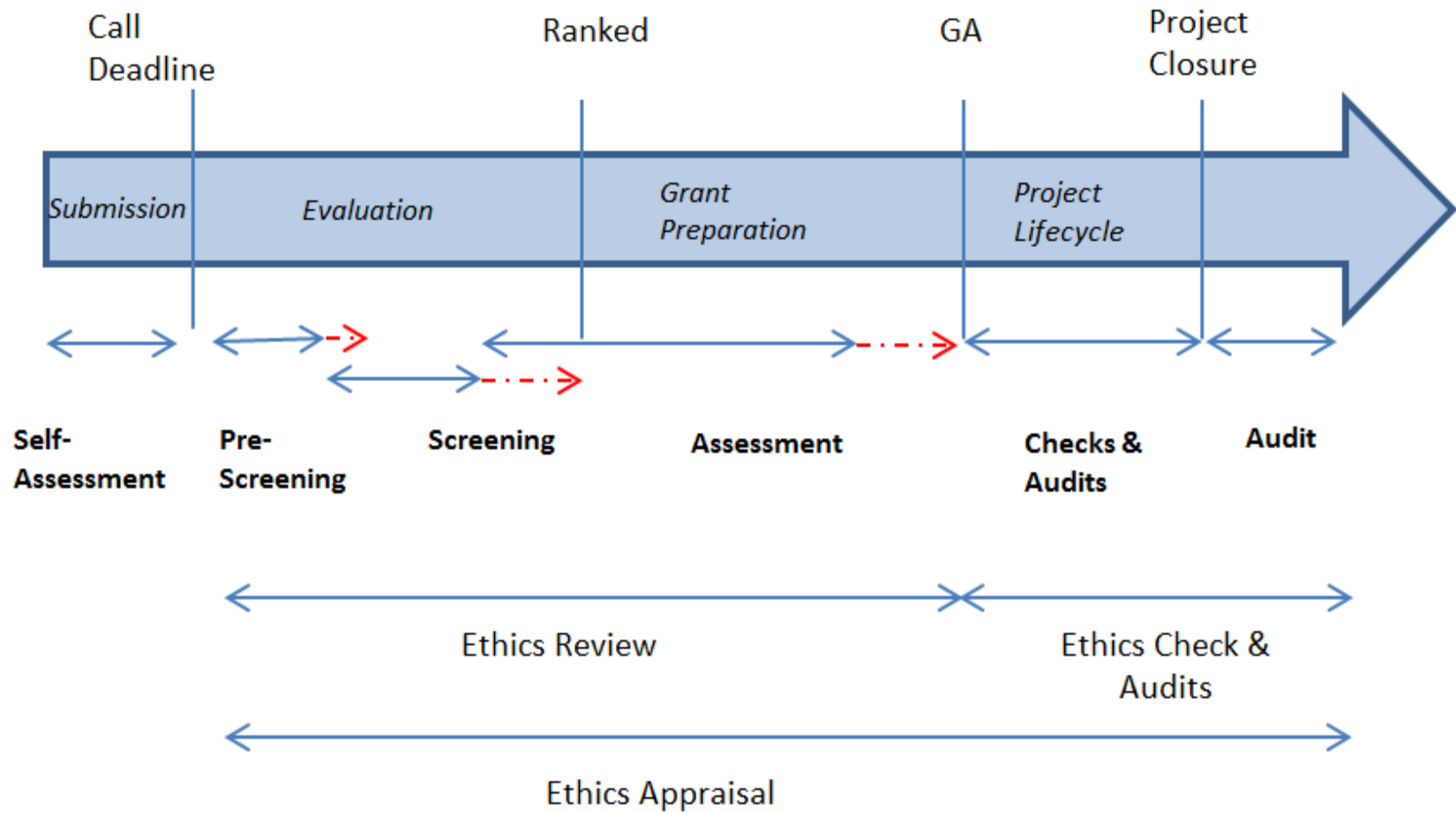
ETHICS APPRAISAL STEPS

1. Ethics **Self-Assessment (PROPOSAL)**

2. The Ethics **Review** (before the finalisation of GA)

      i) An Ethics Screening;
      ii) An Ethics Assessment.

3. The Ethics **Check** and **Audit** (for selected projects, after the signature of the GA) - **IMPLEMENTATION**

ETHICS APPRAISAL FOCUS

The main areas that are addressed during the Ethics Appraisal procedure include:

1. Human Protection (including the study participants and the researchers)

2. Animal Protection and Welfare

3. Data protection and privacy

4. Environment protection

5. Third countries

6. Dual use

7. Misuse/Malevolent use of research results

H2020 regulation: Article 19 "Ethical principles"

1.   All the research and innovation activities carried out under Horizon 2020 **shall comply with ethical principles and relevant national, Union and international legislation**, including the Charter of Fundamental Rights of the European Union and the European Convention on Human Rights and its Supplementary Protocols.

Particular attention shall be paid to the principle of proportionality, the right to privacy, the right to the protection of personal data, the right to the physical and mental integrity of a person, the right to non-discrimination and the need to ensure high levels of human health protection.

2.   Research and innovation activities carried out under Horizon 2020 shall have **an exclusive focus on civil applications**.

H2020 Regulation: Article 19 "Ethical principles"

3.	The following fields of research **shall not be financed**:

(a)	research activity aiming at human cloning for reproductive purposes;

(b)	research activity intended to modify the genetic heritage of human beings which could make such changes heritable

(c)	research activities intended to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.

4.	**Research on human stem cells, both adult and embryonic, may be financed**, depending both on the contents of the scientific proposal and the legal framework of the Member States involved. No funding shall be granted for research activities that are prohibited in all the Member States. No activity shall be funded in a Member State where such activity is forbidden.

5.	The fields of research set out in paragraph 3 may be reviewed within the context of the interim evaluation set out in Article 26(1) in the light of scientific advances.

Rules for Participation: <u>Article 13 </u>"Ethics Review

1. The Commission shall **systematically carry out ethics reviews for proposals raising ethical issues**. This review shall verify the respect of ethical principles and legislation and, in the case of **research carried out outside the Union**, that the same research would have been allowed in a Member State.

2. The Commission shall make the process of the ethics review **as transparent as possible** and ensure that it is carried out in a timely manner avoiding, where possible, resubmission of documents.

<u>Recital 9</u>

…. Actions should be in conformity with …. **ethical principles**, **which include** avoiding any breach of **research integrity**.

Grant Agreement (GA): Article 34 "Ethics"

34.1 **General obligation** to comply with ethical principles

The beneficiaries must **carry out the action in compliance with**:

(a)   **ethical principles** (including the highest standards of research integrity — as set out, for instance, in the European Code of Conduct for Research Integrity — and including, in particular, avoiding fabrication, falsification, plagiarism or other research misconduct), and

(b)   **applicable** international, EU and national **law**.

Funding will be granted for activities carried out outside the EU **only if the same activities are allowed by any Member State**.

The beneficiaries must ensure that the activities under the action have an **exclusive focus on civil applications**.

The beneficiaries must ensure that the activities under the action do not:
Same exclusions than in the Regulation

Grant Agreement (GA): Article 34 "Ethics"

34.2 **Activities raising ethical issues**

Activities raising ethical issues **must comply with the ethics requirements set out in Annex I**.

Before the beginning of an activity raising an ethical issue, **the coordinator must submit** (see Article 50) to the Commission copy of:

(a)   **any ethics committee opinion** required under national law, and

(b)   **any notification or authorisation** for activities raising ethical issues required under national law.

If these documents are not in English, the coordinator must also submit an English summary of the submitted opinions, notifications and authorisations (containing, if available, the conclusions of the committee or authority concerned).

If these documents are **specifically requested for the action**, the request must contain an explicit reference to the action title. The coordinator must submit a declaration by each beneficiary concerned that all submitted documents specifically cover the action tasks.

07 **PROJECT CLOSURE**

- Technical and Financial Reporting
- Project Review & Evaluation

Project Management Cycle in H2020 Projects

Initiation	Planning	Execution/ Implementation	Closure
• **Project Idea** • **Finding appropriate call** • **short project outline** • **Consortium building** • **Overall Budget** • **HR**	• **Proposal writing** (objectives, impact, draft exploitation plan, identification of risks, MNG plan, etc.) • **Budget Planning** • **Project Submission & Evaluation** • **Grant Agreement preparation** • **Consortium Agreement** • **Ethical Compliance**	• **Consortium Management incl. Internal communication** • **Time Management** • **Communication with EC** • **Contract and financial Management** • **Monitoring (**workflow, Impacts, exploitation, IPR and QA**)** • **Risk Management** • **Data Management** • **Exploitation** • **Ethic** • **Financial Management & Periodic reporting** • **Liaison with other initiatives and projects**	• **Submission of al deliverables, dissemination, exploitation of project results, identification of potential short-term, medium-term and long term impact** • **Final technical reporting** • **Final financial reporting** • **Sustainability of results** (exit plan) • **Project Review & Evaluation**

1. Reporting (Technical)

$\rightarrow$ Only electronic submission

Two types of reporting;

Continuous Reporting: Deliverables, Amendments etc.

Regular Reporting:

- Periodic report (Technical report overview: progress, achievements, differences from work plan + Continuous reporting, Financial report - Individual financial statement from each beneficiary + Periodic summary financial statement) ''Explanation of use of resources'' ;

- Final report (within 60 days of the end of the final reporting period- covers whole project period: Final technical report (publishable summary of the entire project which includes overview of the results and their exploitation and dissemination, conclusions, socio-economic impact of the project), Final financial report (final summary financial statement created automatically by the electronic exchange system, consolidating the individual financial statements for all reporting periods)

Technical Report

PART A – STRUCTURED FORMS

The structured web-forms of Part A can be found **in the continuous reporting module** of the grant management system. You can update this information at any time during the life of the project. If you click on the below list of the forms, you will find a detailed desciption of the different sections leading you to the continuous reporting page of the Online Manual.

The structured tables include:

- summary for publication

- Deliverables

- Milestones

- Ethical Issues (if applicable)

- Critical implementation risks and mitigation measures

- Dissemination & exploitation of results

- Impact on SMEs

- Open Research Data

- Gender

- Science with and for Society [only for projects under this strand]

- Energy [only for projects under societal challenge 3 "Secure, clean & efficient energy"]

- Infrastructure [only for projects under "Infrastructure"]

PART B — REPORT CORE

Any beneficiary can contribute to the narrative part, download the word version of the Part B template from the grant management system, complete it and upload it as a pdf document under the Report Core tab.

⚠️ *There is no page limit per work package - but your report should be **concise and readable**. Avoid duplicating any text.*

1. Explanation of work & Overview of progress

Detail here your work carried out per WP, give an overview of your project results towards the objective (including summary of deliverables and milestones) and a summary of exploitable results (with an explanation about how they can/will be exploited).

If you have received EU funding and plan to exploit the results it generated mainly in non-EU countries not associated with Horizon 2020 - indicate how the funding will benefit Europe's overall competitiveness.

If applicable

2. Update of exploitation & dissemination plan

Say whether the plan described in Annex 1 (Description of the Action – DoA) needs to be updated, and give details.

3. Update of data management plan

Say whether the plan in Annex 1 (DoA) needs to be updated and give details.

4. Follow-up of recommendations & comments from previous review(s)

Include the list of recommendations and comments from previous reviews and explain what action you have taken on each.

5. Deviations from Annex 1 (DoA)

International cooperation	Social Sciences & Humanities	Open access & Data management	Climate action & Sustainable development
Ethics	Gender	SMEs	ERA-NETs
Links to regional policy	Intellectual property		Innovation procurement

Cross-cutting issues

- International cooperation
- Social Sciences & Humanities
- Open access & Data management
- Climate action & Sustainable development
- Ethics
- Gender
- SMEs
- ERA-NETs
- Links to regional policy
- Intellectual property
- Innovation procurement

If applicable to your project

Regular Reporting:

- **Periodic Financial report** Individual financial statement from each beneficiary + Periodic summary financial statement) "Explanation of use of resources"

- **Final Financial report** (within 60 days of the end of the final reporting period- covers whole project period (**final summa**ry financial statement created automatically by the electronic exchange system, consolidating the individual financial statements for all reporting periods)

Financial Report

You can fill in your financial statement in structured forms in the grant management system (under *Financial Statement drafting*).

Individual financial statements

Beneficiaries and **linked third parties** must fill these in and submit them to the Commission, as part of the periodic report.
They will be combined automatically by the system into a **consolidated financial statement**.

⚠️ If you fail to do so, your **costs will be considered 'zero'** for this reporting period (though you can declare them in the next reporting period).

Reporting (Financial)

Form C Contents;
1) Direct personnel costs/Labour
2) Other direct costs /Travel, Other
3) Direct costs of subcontracting/Subcontract
4) Indirect costs

→Unique flat rate of 25% for indirect costs
→Individual financial statement from each Beneficiary

Characteristics of H2020 funding

- Maximum EC contribution can not be exceeded

- Only eligible costs can be reimbursed

- Beneficiaries indicate and claim direct and indirect costs
  - indirect costs are covered by a single 25% flat-rate applied to the direct costs

- Reported costs can include VAT if VAT is non-refundable for your legal entity

- Partners do not have to submit timesheets, invoices to EC

- Consortia receive pre-financing at the project start and further payments following the acceptance of interim and final reports.

Direct costs	Indirect costs
– Directly attributed to project: personnel, travels, subcontracting etc. – Eligible costs will be reimbursed 100%	– Not identifiable as directly attributed to the project – fixed 25% flat-rate indirect costs for all beneficiaries (upon direct costs except subcontracting)

Forms of eligible costs

Actual costs

- Costs actually incurred, identifiable and verifiable, recorded in the accounts, etc.
  - NEW: non-deductible VAT paid is also eligible

Unit costs

- A fixed amount per unit determined by the Commission Example: SME owners' unit cost
- For average personnel cost (based on the usual accounting practices – with or without COMUC)

Lump sum

- A global amount to cover one or several cost categories Example: Phase 1 of the SME instrument

Flat rate

- A percentage to be calculated on the eligible costs Example: 25 % flat rate for indirect costs

European Commission

CFCU

TÜBİTAK

Eligible Personnel Costs

- Actual costs (‚actual' hourly rate)

- Calculation of personnel costs:

> **Hourly rate (basic remuneration) x hours worked for the project**
> **+ additional remuneration only for non-profit entities**

- Staff must be directly hired by the beneficiary

- Staff must work under the sole technical supervision and responsibility of the beneficiary

- Permanent or temporary personnel

- Only costs of actual hours worked on the project are eligible

- Timesheets/time-recording methods (meeting the requirements of the EC) necessary
  - Only the hours worked for the action need to be documented
  - Personell working exclusively for the action: no time sheets needed (confimation by beneficary suffices)

- Personnel costs should reflect total remuneration: Salaries + social security charges + taxes + other mandatory costs (+ additional remuneration for non-profit entities)

Subcontracting

Definition: *‚a contract for the purchase of goods, works or services that are **identified in Annex 1** as **action tasks**.'*

Characteristics:

- Financial motivation for taking over an action task
- Subcontract is based on business conditions (price includes a profit margin)

Eligibility criteria:

- Best price-quality ratio oder lowest price („three offers")
- Public procurers must observe public procurement law
- Reasons, tasks and GUESSd costs must be indicated in GA
- No indirect costs on subcontracting!

Other issues:

- The responsibility lies fully with the beneficiary
- Intellectual property generated by the subcontractor must revert to the beneficiary

Costs of other goods and services

- Examples for 'other goods': costs of purchasing scientific publications, dissemination costs (e.g. open access, conference fees for presenting project-related research)

- Examples for ‚services': Certificate on the Financial Statements, translations, printing costs, catering (no ‚action tasks' – similar to ‚minor tasks'/FP7)

- Best price-quality ratio or lowest price („three offers")

- Public procurers must observe public procurement law

- 25 % indirect costs on costs of services and other goods

- The responsibility lies fully with the beneficiary

- Intellectual property generated by the service provider must revert to the beneficiary

Ineligible costs

- If they do not meet the general and specific eligibility criteria;

- Costs related to return on capital or return generated by an investment;

- Debt and debt service charges;

- Provisions for future losses or debts;

- Interest owed;

- Currency exchange losses;

- Deductible VAT (if VAT is recoverable under the national VAT system for your organisation);

- Costs incurred during the suspension of the implementation of the action;

- Costs declared under another EU or Euratom grant.

Financial Reporting

- Amounts in financial statements/reporting should be given in EUR
  - For beneficiaries/linked third parties with accounting records in a currency other than the Euro, conversion of costs recorded in their accounts by one of the following:
    - daily euro exchange rate is published in the C series of the Official Journal of the European Union for the currency in question:
      - use the average of the daily exchange rates published over the corresponding reporting period.
      - To calculate this rate, the beneficiaries may use the editable charts on the ECB website 48.
    - if NO daily euro exchange rate is published:
      - use the average of the monthly accounting rates over the corresponding reporting period, by using the currency converter on the Commission's website

- Supporting documents must be kept up to 5 years after the end of the project/'balance payment'.

  - Partners do not have to submit timesheets, invoices to EC, but keep them in case of an needed Certificate of the Financial Statements (CFS; only required for funding ≥ 325,000 Euro) or an audit.

Third parties: basics

⇨ **What is a third party?**

↳ A legal entity which carries out work of the action, supplies goods or provide services for the action, but which <u>did not sign the grant agreement</u>

⇨ **What types of third parties?**

1. Third parties directly carrying out part of the work described in Annex 1
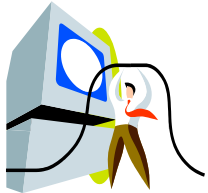
2. Other third parties providing resources, goods or services to the beneficiaries for them to carry out the work described in Annex 1

3. Third parties receiving financial support (money) from the beneficiary as part of the action. <u>Only when authorised in the call</u>

Third parties

Types of third parties	CHARACTERISTICS						
	Does work of the action	Provides resources or services	What is eligible?	Must be indicated in Annex 1	Indirect costs	Selecting the third party	Articles
Linked third party	**YES**	**NO**	**Costs**	**YES**	**YES**	Must be affiliated or have a legal link	**Article 14**
Subcontractors	**YES**	**NO**	**Price**	**YES**	**NO**	Best value for money, avoid conflict of interest	**Article 13**
Third party providing in-kind contributions	**NO**	**YES**	**Costs**	**YES**	**YES**	Not used to circumvent the rules	**Articles 11 and 12**
Contractors	**NO**	**YES**	**Price**	**NO**	**YES**	Best value for money, avoid conflict of interest	**Article 10**
Financial support to third parties	**Only if allowed in the call** The beneficiaries' activity consists in providing financial support to the target population		**YES**	**NO**	According to the conditions in Annex 1	**Article 15**

Financial Reporting Periods - EXAMPLE

- Month 1-9: **first interim reporting** (reporting to ZSI: month 10 – November 2016)

- Month 1-18: **first reporting to the EC** (reporting to ZSI: month 19 – August 2017)

- Month 19-28: second interim reporting (reporting to ZSI: month 29 – May 2018)

- Month 19-36: final reporting to the EC (reporting to ZSI: month 37 – February 2019)

- Financial statements for reporting to the EC should be prepared by all partners individually
  - Are processed electronically via Participant Portal (SYGMA)

Internal Financial Reporting

- Basis for official reporting

- Overview on the progress of work

- Financial information + input for progress report
    - Template for progress report
    - Financial Overview tool
        - Budget overview by reporting periods & budget lines
        - Overview of hourly rates and resulting personnel costs
        - Subcontracting costs
        - Travel costs
        - Other goods and services
        - Financial Statement – automatic calculation

How to fill in your Financial Statement...

1. Connect to the Participants Portal (http://ec.europa.eu/research/participants/portal/)
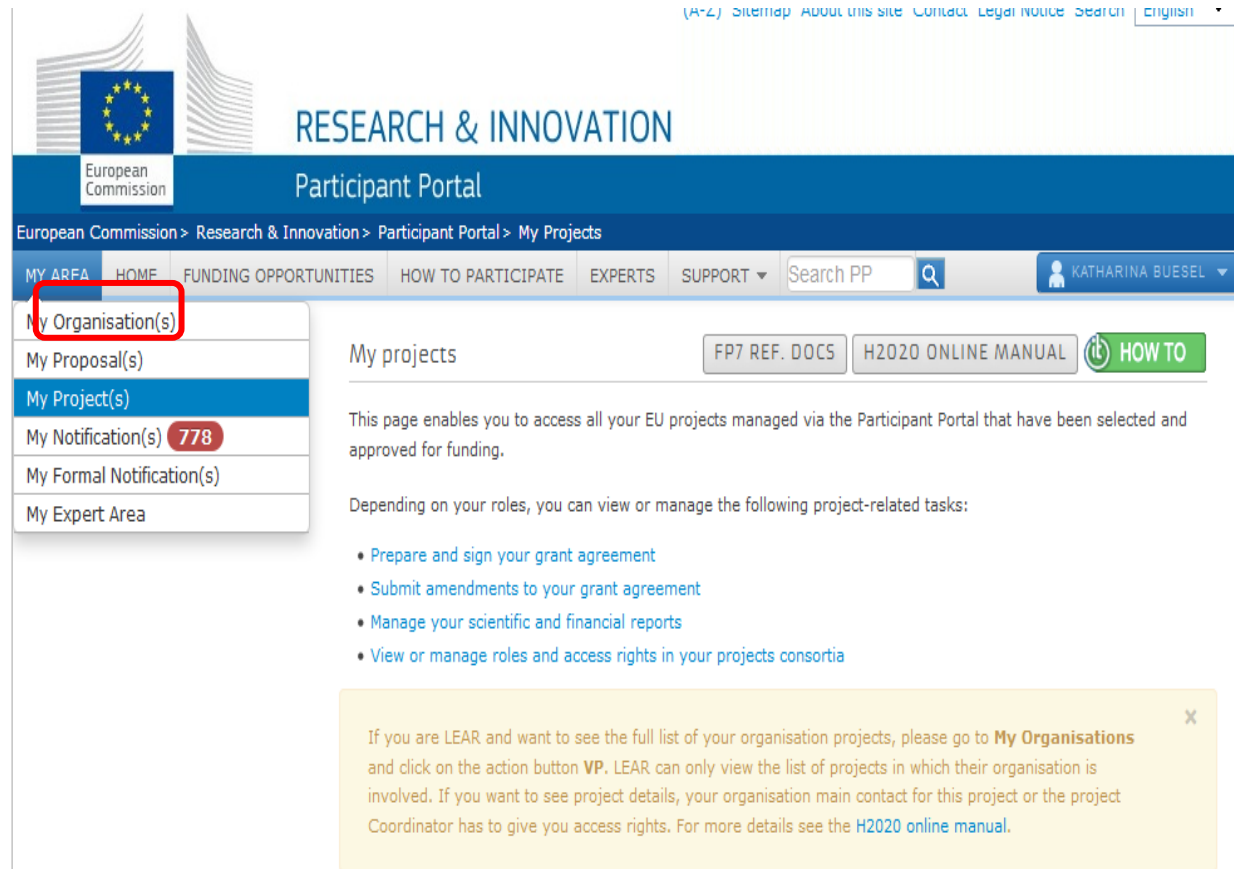
2. Log in:
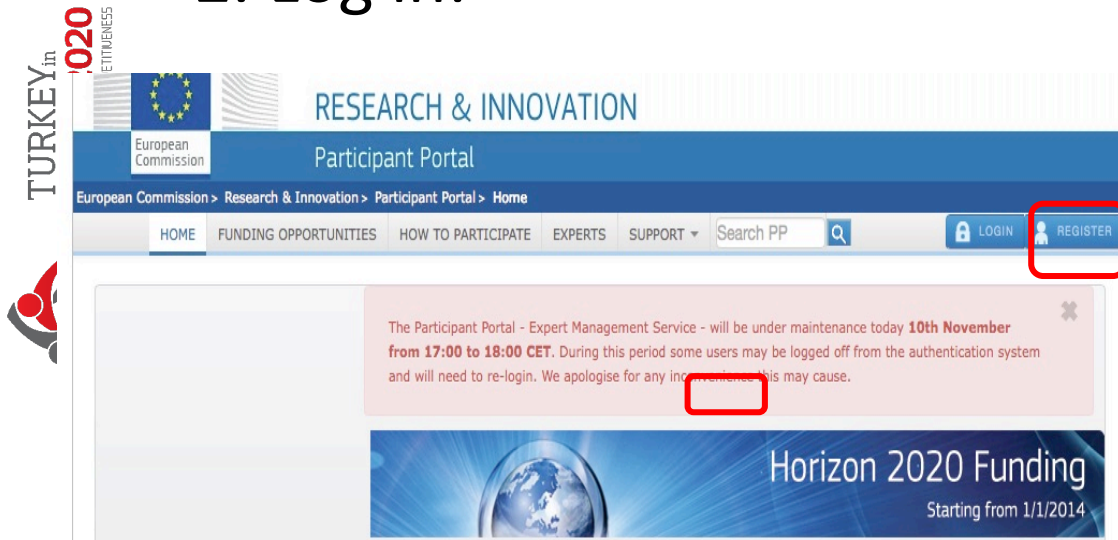
How to fill in your Financial Statement…

3. Go to "My projects":

How to fill in your Financial Statement...

4. Go to "your project" and click on "MP":
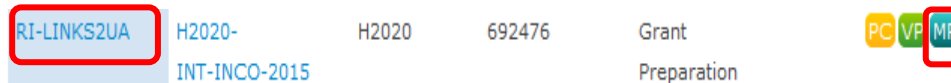
5. Click on "Financial Statement" for your organisation (only visible shortly before interim and final reporting is due!):
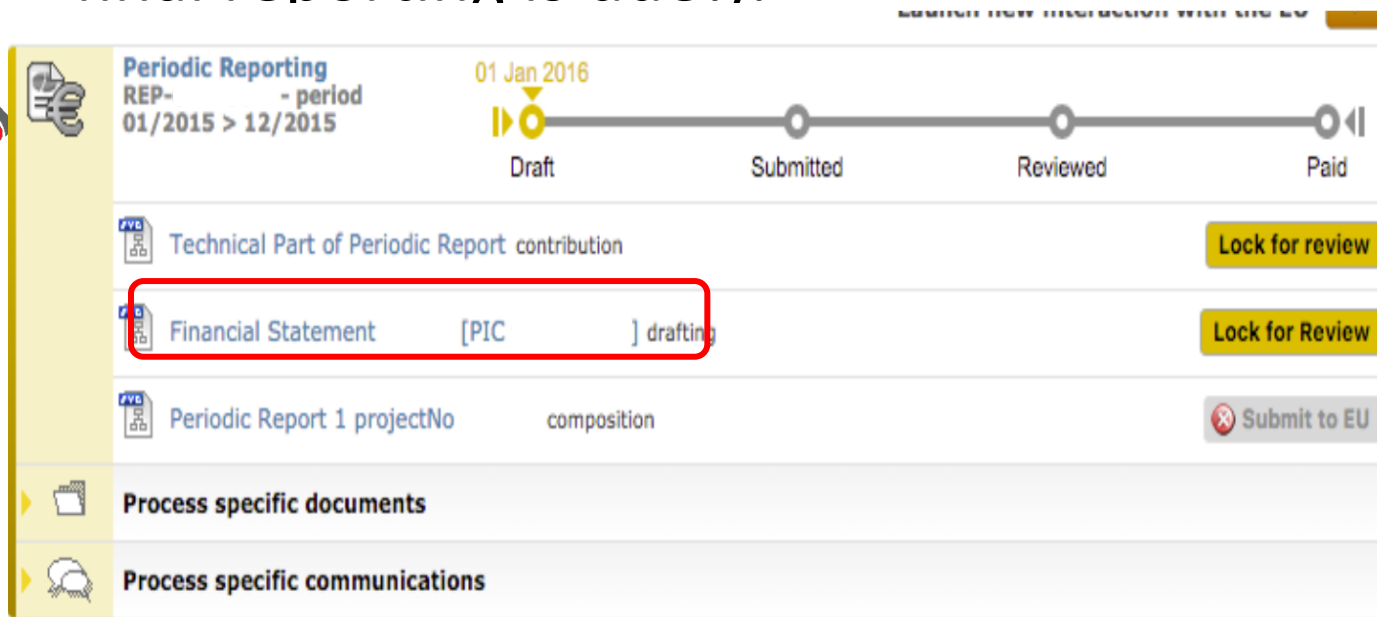
Resources

✓Horizon 2020 Online Manual
http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/grant-management/communication_en.htm

✓Annotated GA
http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf

✓Brochure "Communicating EU Research & Innovation"

http://ec.europa.eu/research/participants/data/ref/h2020/other/gm/h2020-guide-comm_en.pdf

✓Science communication Event –   24 July 2016
http://ec.europa.eu/research/conferences/2016/scicomm2016/index.cfm?pg=programme

✓Video tutorials
https://www.youtube.com/playlist?list=PLvpwIjZTs-Lhe0wu6uy8gr7JFfmv8EZuH

Useful links

- Horizon Magazine also on Facebook
- Success stories
- Facebook Innovation Union
- Twitter @EUScienceInnov #H2020
- Futuris
- Publications

THANK YOU FOR YOUR ATTENTION!

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