



H2020 – Registration & Validation of organisations

Focused Group Training – H2020 Legal & Financial issues

Ankara 10 November 2017

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Eligibility for funding

3rd countries (= not EU Member States)

Associated countries (AC):

Iceland, Norway, Albania, Bosnia and Herzegovina, the former Yugoslav Republic of Macedonia, Montenegro, Serbia, Turkey, Israel, Moldova, Switzerland, Faroe Islands, Ukraine, Tunisia, Georgia, Armenia

Automatically eligible for EU funding

Industrialised countries and Emerging economies:

- Countries with jointly agreed co-funding mechanism covering most or all thematic areas:
China, Hong Kong & Macao, Republic of Korea, Mexico, Russia, Taiwan
- Countries with jointly agreed co-funding mechanism covering selected thematic areas:
Australia, India, Japan
- Countries with co-funding by a region:
Brazil, Canada
- Countries without jointly agreed co-funding mechanism:
New Zealand, USA

EU funding under conditions:

- *Foreseen in call*
- *Existence of bilateral agreement*
- *Deemed necessary*

Developing countries:

~ 130 other countries

Automatically eligible for EU funding

- Status of United Kingdom (UK)?

Outline of the Presentation

1. Registration

2. Validation

3. Documents for validation

4. The LEAR

5. Financial Viability Check

6. Messages and documents via PP

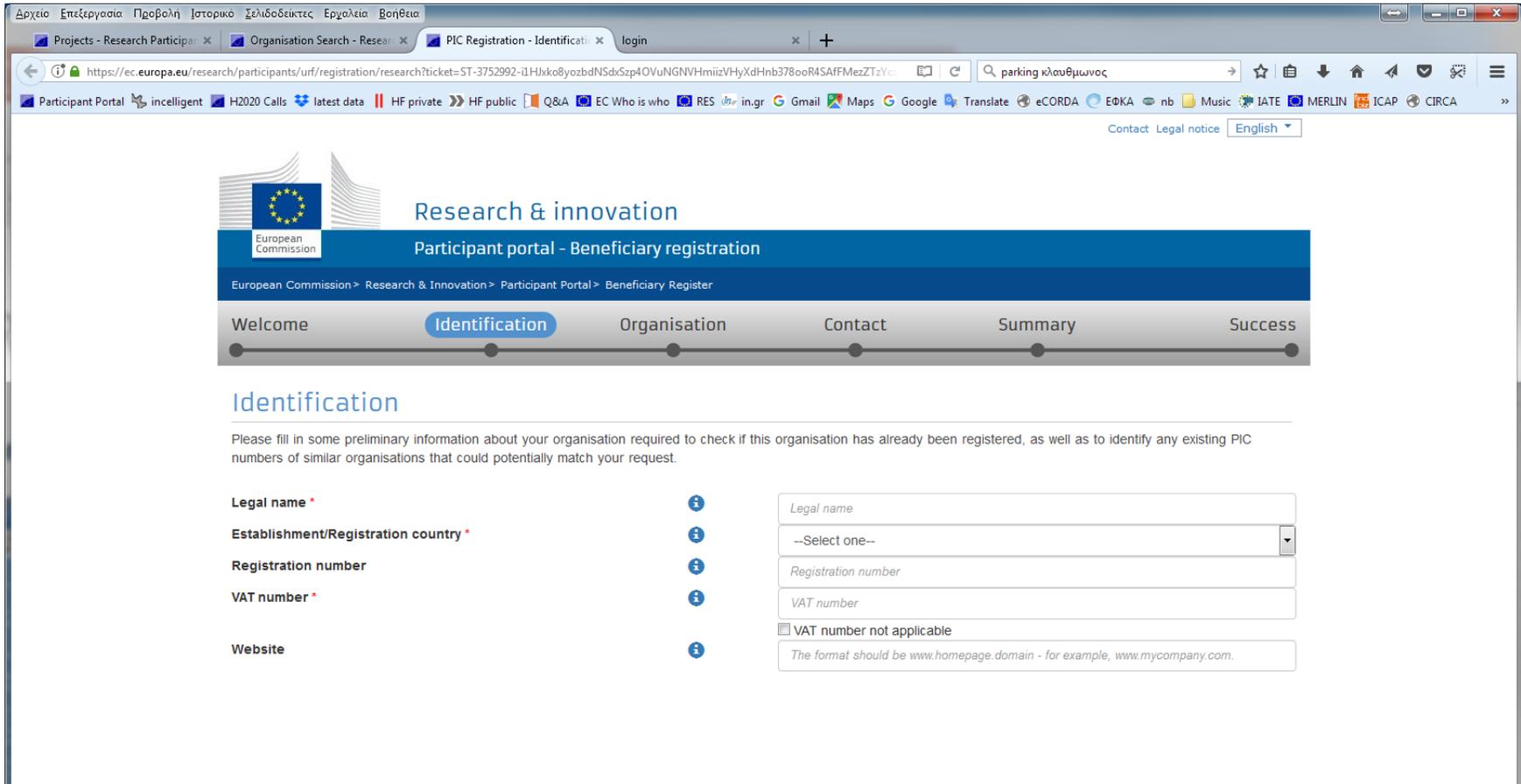
7. Guidance Documents

1. Registration (1)

- Takes place in the H2020 **Participant Portal** (PP)
<http://ec.europa.eu/research/participants/portal/>
- To access the PP an entity first needs to create an European Commission Authentication Service (**ECAS**) account
- The user may search to check if the entity does not **already exist** in the database, and avoid therefore unnecessary duplicated registration

1. Registration (2)

Welcome page

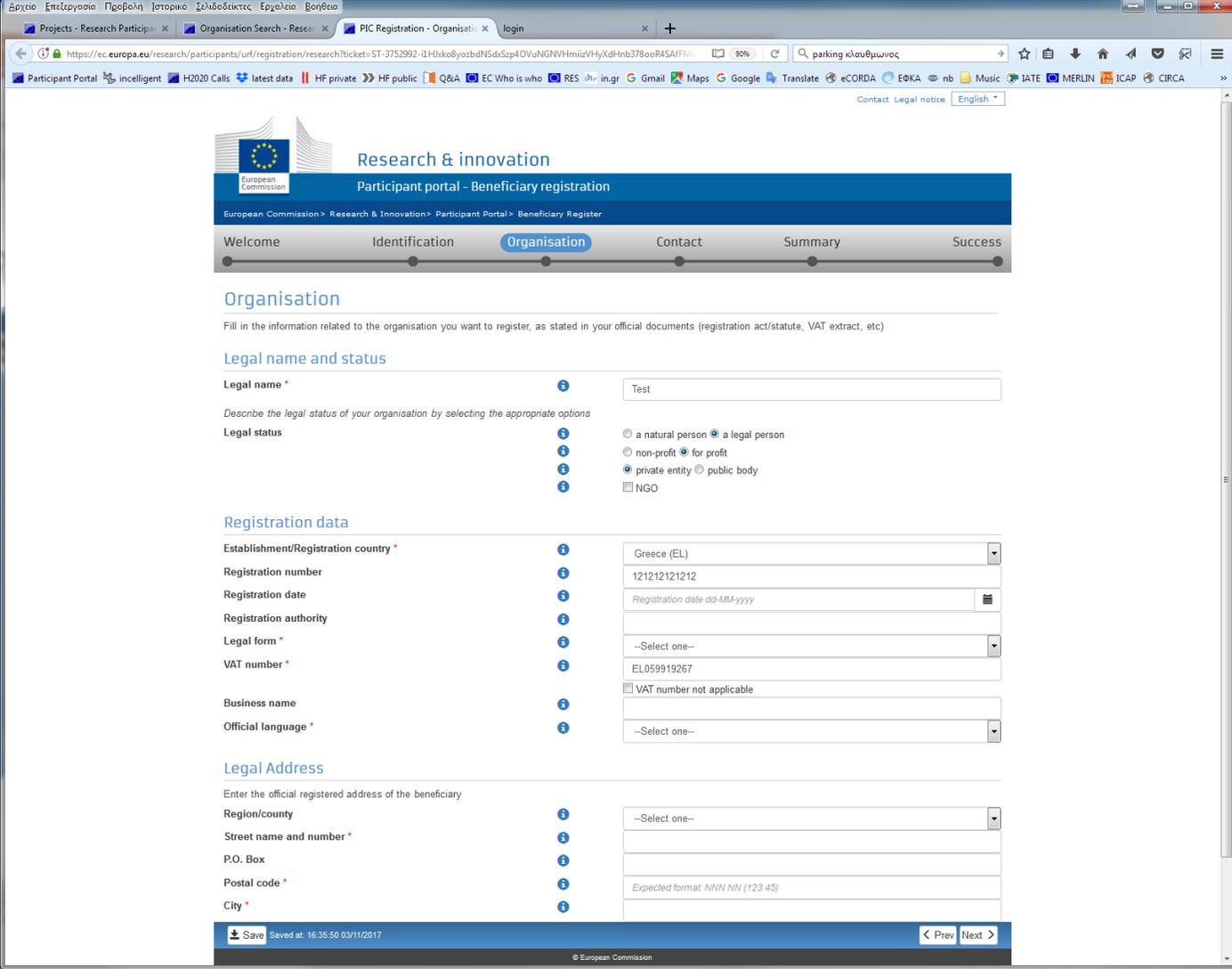


The screenshot shows a web browser window displaying the 'Participant portal - Beneficiary registration' page. The page features a navigation bar with the following steps: Welcome, Identification (active), Organisation, Contact, Summary, and Success. The 'Identification' section is titled 'Identification' and includes the following text: 'Please fill in some preliminary information about your organisation required to check if this organisation has already been registered, as well as to identify any existing PIC numbers of similar organisations that could potentially match your request.'

The form fields are as follows:

- Legal name ***: Text input field with placeholder 'Legal name'.
- Establishment/Registration country ***: Dropdown menu with placeholder '--Select one--'.
- Registration number**: Text input field with placeholder 'Registration number'.
- VAT number ***: Text input field with placeholder 'VAT number'.
- VAT number not applicable**: A checkbox option.
- Website**: Text input field with placeholder 'The format should be www.homepage.domain - for example, www.mycompany.com.'

1. Registration (3)



Αρχείο Επεξεργασία Προβολή Ιστορικό Σελιδοδείκτης Εργαλεία Βοήθεια

Projects - Research Participa x Organisation Search - Rese x PIC Registration - Organisat x login

https://ec.europa.eu/research/participants/ur/registration/research/tickets-ST-3752992-1IHjko8yozbndN5dsZp4OVuNGNVHmiizVHyXdHnb378ooR4SAFFM parking κούμπιουνο

Participant Portal incelligent H2020 Calls latest data HF private HF public Q&A EC Who is who RES in.gr Gmail Maps Google Translate eCORDA EOKA nb Music IATE MERLIN ICAP CIRCA

Contact Legal notice English

 **Research & innovation**
Participant portal - Beneficiary registration

European Commission > Research & Innovation > Participant Portal > Beneficiary Register

Welcome Identification **Organisation** Contact Summary Success

Organisation

Fill in the information related to the organisation you want to register, as stated in your official documents (registration act/statute, VAT extract, etc)

Legal name and status

Legal name *

Describe the legal status of your organisation by selecting the appropriate options

Legal status

a natural person a legal person
 non-profit for profit
 private entity public body
 NGO

Registration data

Establishment/Registration country *

Registration number

Registration date

Registration authority

Legal form *

VAT number *

VAT number not applicable

Business name

Official language *

Legal Address

Enter the official registered address of the beneficiary

Region/county

Street name and number *

P.O. Box

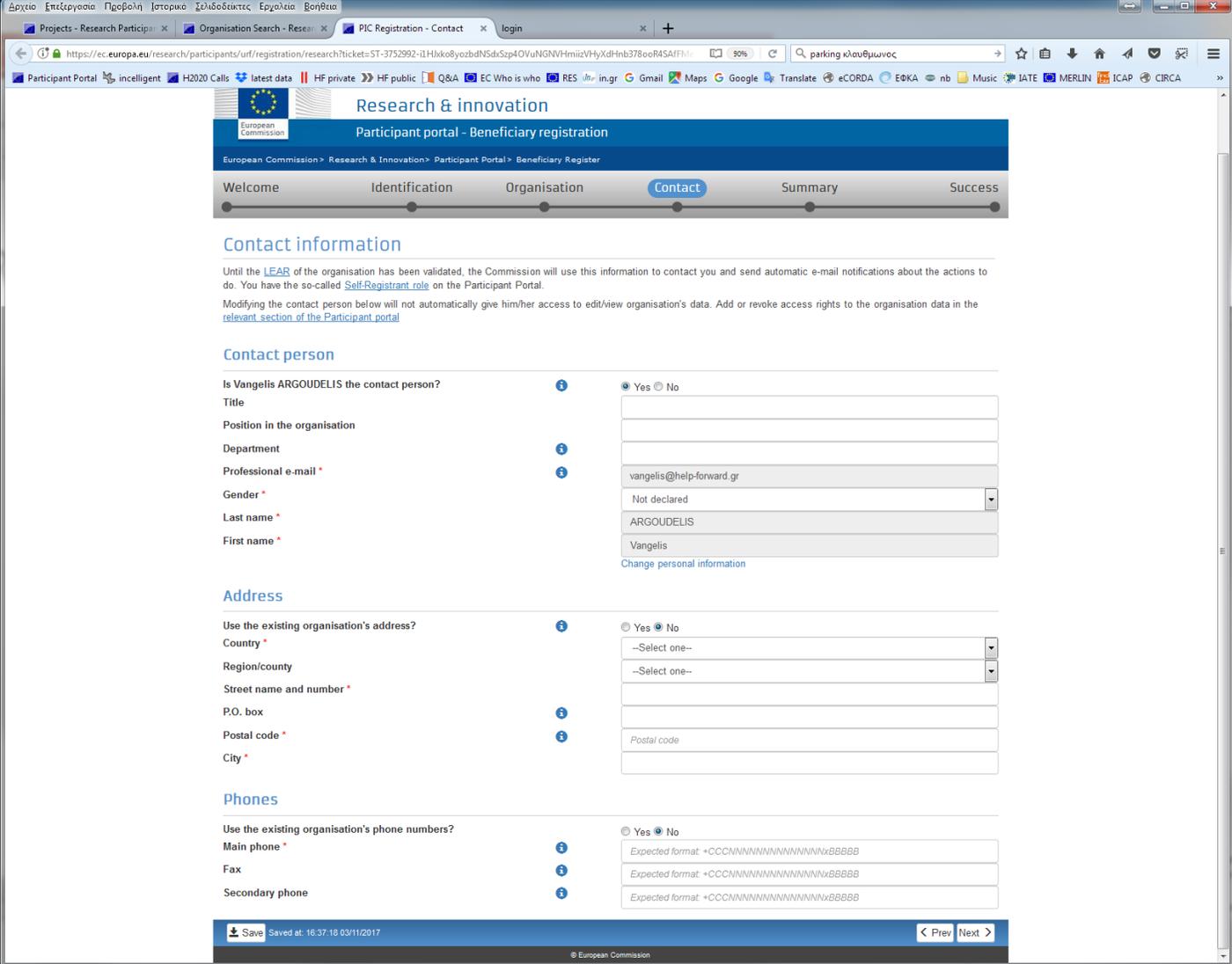
Postal code *

City *

Save Saved at: 16:35:50 03/11/2017

© European Commission

1. Registration (4)



Δοχείο Επεξεργασία Προβολή Ιστορικό Σελιδοδείκτης Εργαλεία Βοήθεια

Projects - Research Particip... Organisation Search - Rese... PIC Registration - Contact login

https://ec.europa.eu/research/participants/ur/registration/research?ticket=ST-3752992-11Hxko8yozbndNSd5Sep4OVuNGNNHmitVHyXdlHnb378ooRASAfM...

Participant Portal incelligent H2020 Calls latest data HF private HF public Q&A EC Who is who RES ultra in.gr Gmail Maps Google Translate eCORDA ΕΦΚΑ nb Music IATE MERLIN ICAP CIRCA

Research & innovation
Participant portal - Beneficiary registration

European Commission > Research & Innovation > Participant Portal > Beneficiary Register

Welcome Identification Organisation **Contact** Summary Success

Contact information

Until the [LEAF](#) of the organisation has been validated, the Commission will use this information to contact you and send automatic e-mail notifications about the actions to do. You have the so-called [Self-Registrant role](#) on the Participant Portal.

Modifying the contact person below will not automatically give him/her access to edit/view organisation's data. Add or revoke access rights to the organisation data in the [relevant section of the Participant portal](#)

Contact person

Is Vangelis ARGOUDELIS the contact person? Yes No

Title

Position in the organisation

Department

Professional e-mail *

Gender *

Last name *

First name *

[Change personal information](#)

Address

Use the existing organisation's address? Yes No

Country *

Region/county

Street name and number *

P.O. box

Postal code *

City *

Phones

Use the existing organisation's phone numbers? Yes No

Main phone *

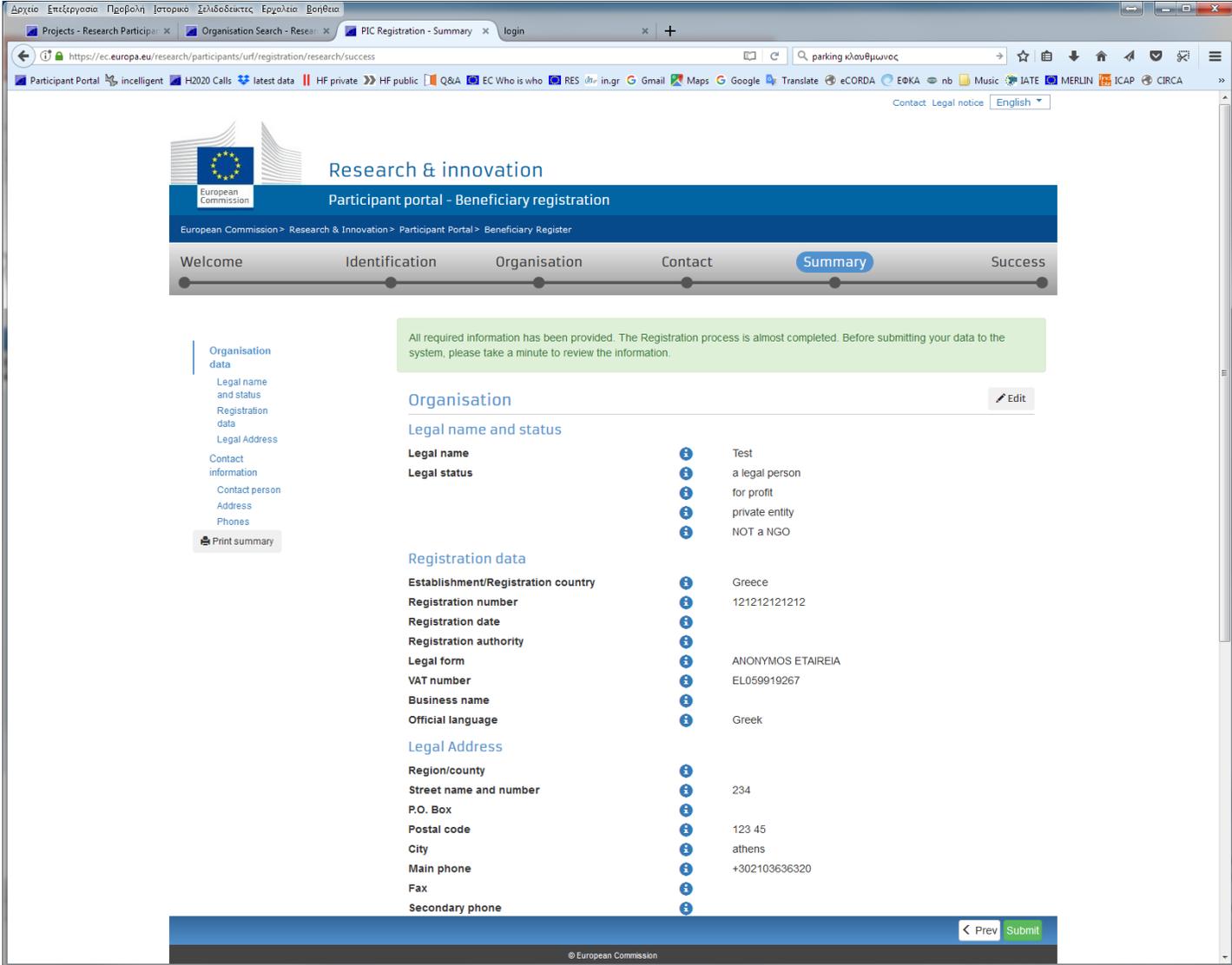
Fax

Secondary phone

Save Saved at: 16:37:18 03/11/2017 [Prev](#) [Next](#)

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1. Registration (5)



Projects - Research Participa... Organisation Search - Resea... PIC Registration - Summary x login

https://ec.europa.eu/research/participants/urfi/registration/research/success

Participant Portal incelligent H2020 Calls latest data HF private HF public Q&A EC Who is who RES in.gr Gmail Maps Google Translate eCORDA EOKA nb Music IATE MERLIN ICAP CIRCA

Contact Legal notice English

European Commission
Research & innovation
Participant portal - Beneficiary registration

European Commission > Research & Innovation > Participant Portal > Beneficiary Register

Welcome Identification Organisation Contact **Summary** Success

All required information has been provided. The Registration process is almost completed. Before submitting your data to the system, please take a minute to review the information.

Organisation [Edit](#)

Legal name and status

Legal name	Test
Legal status	a legal person
	for profit
	private entity
	NOT a NGO

Registration data

Establishment/Registration country	Greece
Registration number	121212121212
Registration date	
Registration authority	
Legal form	ANONYMOS ETAIREIA
VAT number	EL059919267
Business name	
Official language	Greek

Legal Address

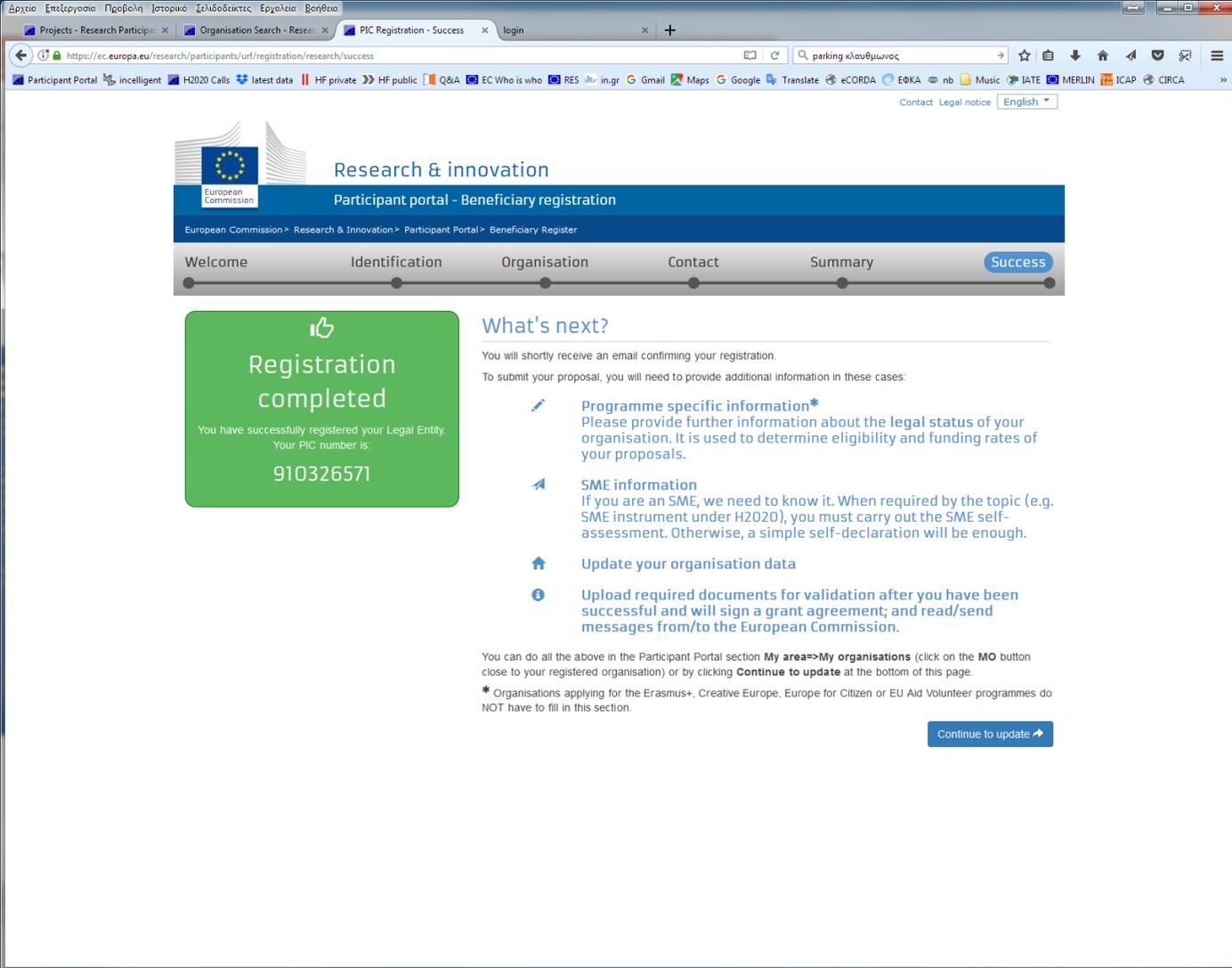
Region/country	
Street name and number	234
P.O. Box	
Postal code	123 45
City	athens
Main phone	+302103636320
Fax	
Secondary phone	

Print summary

< Prev Submit

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1. Registration (6)



The screenshot shows a web browser window displaying the 'PIC Registration - Success' page on the European Commission's Participant Portal. The page title is 'Participant portal - Beneficiary registration'. A progress bar at the top indicates the current step is 'Success', with previous steps being 'Welcome', 'Identification', 'Organisation', and 'Contact'. A large green box on the left contains the text 'Registration completed' and 'You have successfully registered your Legal Entity. Your PIC number is: 910326571'. To the right, under the heading 'What's next?', there are instructions and a list of required actions: 'Programme specific information*', 'SME information', 'Update your organisation data', and 'Upload required documents for validation after you have been successful and will sign a grant agreement; and read/send messages from/to the European Commission.' A 'Continue to update' button is located at the bottom right.

Registration completed
You have successfully registered your Legal Entity.
Your PIC number is:
910326571

What's next?
You will shortly receive an email confirming your registration.
To submit your proposal, you will need to provide additional information in these cases:

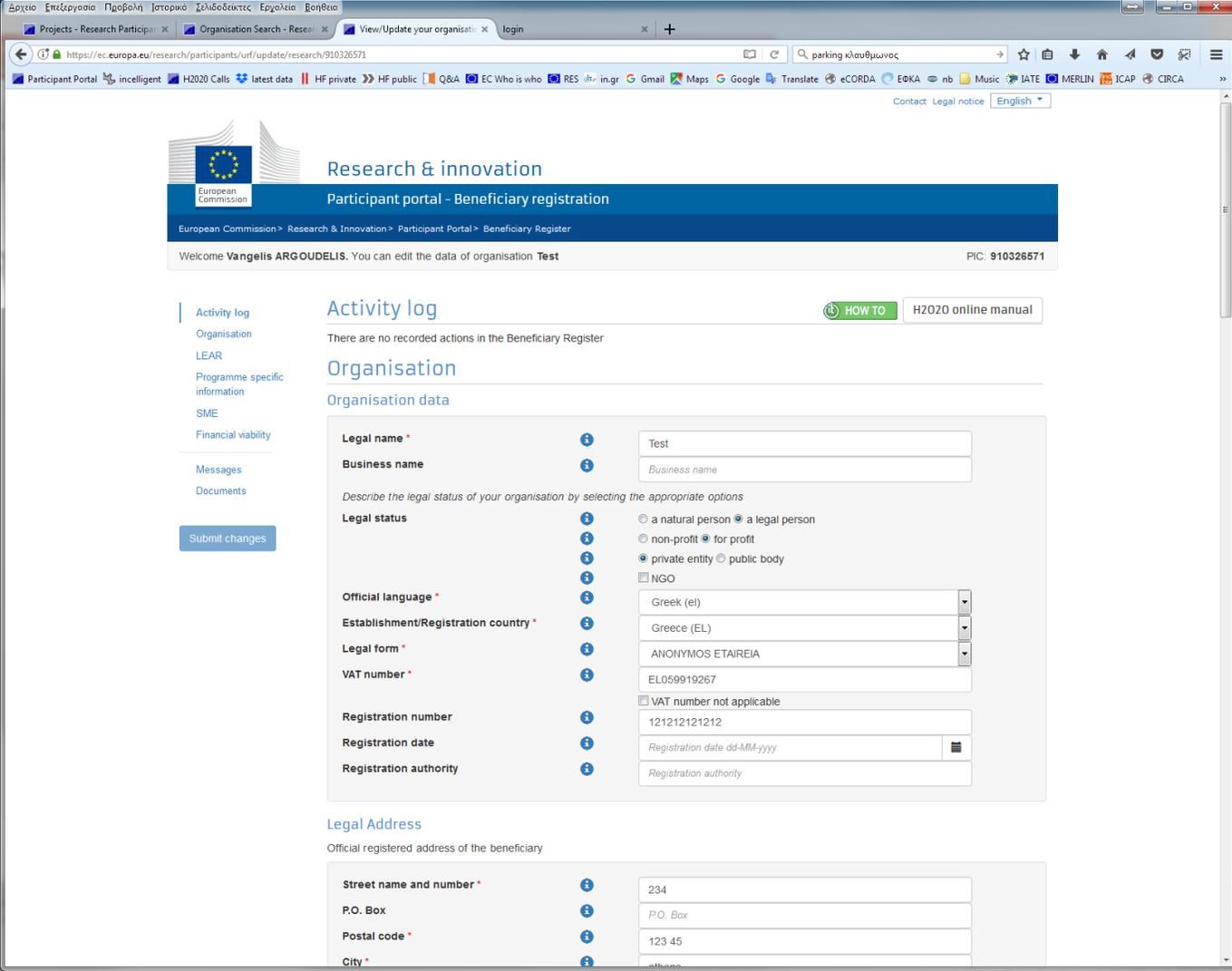
- Programme specific information***
Please provide further information about the legal status of your organisation. It is used to determine eligibility and funding rates of your proposals.
- SME information**
If you are an SME, we need to know it. When required by the topic (e.g. SME instrument under H2020), you must carry out the SME self-assessment. Otherwise, a simple self-declaration will be enough.
- Update your organisation data**
- Upload required documents for validation after you have been successful and will sign a grant agreement; and read/send messages from/to the European Commission.**

You can do all the above in the Participant Portal section **My area**⇒**My organisations** (click on the **MO** button close to your registered organisation) or by clicking **Continue to update** at the bottom of this page.

* Organisations applying for the Erasmus+, Creative Europe, Europe for Citizen or EU Aid Volunteer programmes do NOT have to fill in this section.

[Continue to update](#)

1. Registration (7)



The screenshot shows the 'Beneficiary registration' page for an organisation named 'Test'. The page includes a navigation menu on the left, an activity log, and a main form for entering organisation details.

Organisation data

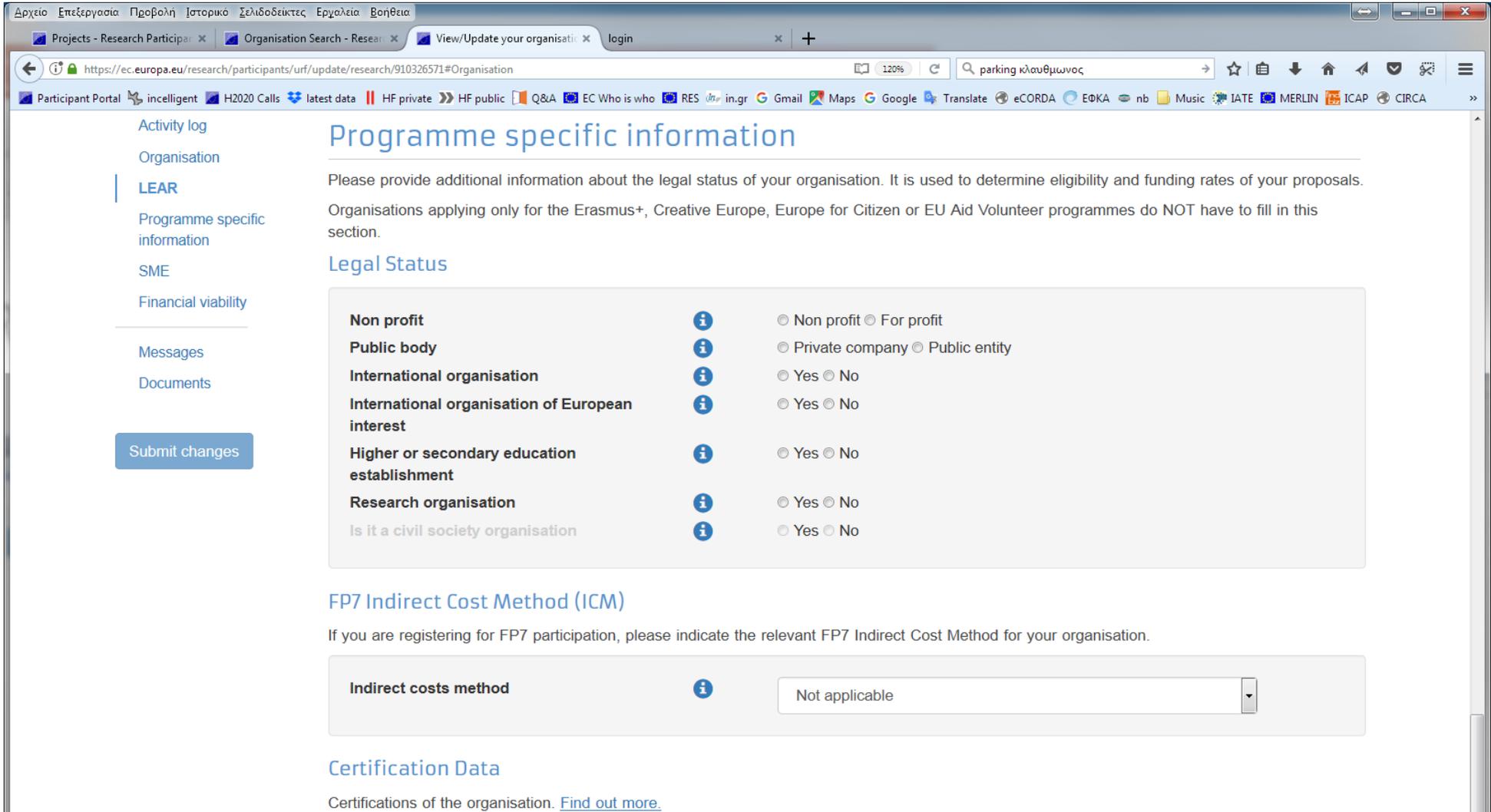
Legal name *	Test
Business name	Business name
Legal status	<input type="radio"/> a natural person <input checked="" type="radio"/> a legal person <input type="radio"/> non-profit <input checked="" type="radio"/> for profit <input checked="" type="radio"/> private entity <input type="radio"/> public body <input type="checkbox"/> NGO
Official language *	Greek (el)
Establishment/Registration country *	Greece (EL)
Legal form *	ANONYMOS ETAIREIA
VAT number *	EL059919267
	<input type="checkbox"/> VAT number not applicable
Registration number	1212121212
Registration date	Registration date dd-MM-yyyy
Registration authority	Registration authority

Legal Address

Official registered address of the beneficiary

Street name and number *	234
P.O. Box	P.O. Box
Postal code *	123 45
City *	athens

1. Registration (8)



The screenshot shows a web browser window with the URL <https://ec.europa.eu/research/participants/urf/update/research/910326571#Organisation>. The page is titled "Programme specific information" and contains the following sections:

- Activity log**
- Organisation**
- LEAR**
- Programme specific information** (selected)
- SME**
- Financial viability**
- Messages**
- Documents**
- Submit changes** (button)

Programme specific information

Please provide additional information about the legal status of your organisation. It is used to determine eligibility and funding rates of your proposals. Organisations applying only for the Erasmus+, Creative Europe, Europe for Citizen or EU Aid Volunteer programmes do NOT have to fill in this section.

Legal Status

Non profit		<input type="radio"/> Non profit <input type="radio"/> For profit
Public body		<input type="radio"/> Private company <input type="radio"/> Public entity
International organisation		<input type="radio"/> Yes <input type="radio"/> No
International organisation of European interest		<input type="radio"/> Yes <input type="radio"/> No
Higher or secondary education establishment		<input type="radio"/> Yes <input type="radio"/> No
Research organisation		<input type="radio"/> Yes <input type="radio"/> No
Is it a civil society organisation		<input type="radio"/> Yes <input type="radio"/> No

FP7 Indirect Cost Method (ICM)

If you are registering for FP7 participation, please indicate the relevant FP7 Indirect Cost Method for your organisation.

Indirect costs method 

Certification Data

Certifications of the organisation. [Find out more.](#)

1. Registration (9)

- Activity log
- Organisation
- LEAR
- Programme specific information**
- Legal Status
- FP7 ICM
- Certification
- SME
- Financial viability
- Messages
- Documents

Submit changes

SME

Provide information about your SME status. Carry out the **SME Self-Assessment** below or provide the **SME Self-Declaration** (Yes/No). When using the Self-Declaration, please check the [Commission definition of SMEs](#) before. The SME Self-Assessment is mandatory for some actions, like the SME instrument topics, for which the SME status is an eligibility criterion.

For more information on the SME instrument, see the [Online Manual](#).

SME information is NOT obligatory if you are applying only for the Erasmus+, Creative Europe, Europe for Citizen or EU Aid Volunteer programmes.

SME Self-Assessment

In some Horizon 2020 calls (specified in the topic conditions and submission system) the SME Self-Assessment is mandatory and the lack of it may block your submission. Find additional information about the SME Self-Assessment on the [IT HOW TO wiki](#).

Start SME self assessment

SME Self-Declaration

If the SME Self-Assessment is not necessary in your case (e.g. for the Education, Audio-visual and Culture programmes), use the declaration below.

I declare my organisation as

SME Non SME

as from

Registration date dd-MM-yyyy



Financial viability

You might be requested to provide additional financial information. In this case you are asked to upload the most recent closed financial statements of your organisation containing the balance sheet and profit & loss accounts and contingent explanatory notes. Note that if you are requesting more than 750K the financial statements must be fully audited (signed) by an approved (chartered) external auditor. [Find out more.](#)

No financial data has been requested.

Messages

Read messages of your organisation and send messages to the EC ValidationServices.

You don't have any messages

New message

Documents

Read and upload documents of your organisation. Please ensure their quality. Maximum allowed document size is 6Mb. Updates take immediate effect after you have clicked on "Submit for processing"

[Find out more on how to submit a document.](#)

You don't have documents to display

Add document

1. Registration (10)

TEST

We first need to know if Test has closed and approved annual accounts, or if Test is an enterprise recently created with no closed annual accounts yet.
Does Test have closed and approved annual accounts?

Yes No

Do the last closed and approved annual accounts show a turnover generated by Test's activity?

Yes No

You are now required to insert financial data related to the last closed accounting period.
If **Test** is part of a group, you may use the consolidated accounts of the group.

Please enter data from the last closed accounting period

Will you use consolidated accounts?
 Yes No

Individual accounts

Date of closure of the accounts

Staff Headcount

Currency in which the business plan is drafted

Annual turnover

Annual balance sheet total

Glossary

Annual balance sheet total

Business plan

The business plan is a realistic bona fide declaration in which the entity indicates financial projections concerning the profit-and-loss account, balance sheet and forecasted staff headcount of the company. It also includes a narrative part describing the core activity of the company and its expected market position. These are the minimal requirements of the business plan. It is essential that the business plan covers the entire period (financial years) necessary for the entity to develop its business until it delivers a good or a service on a given market. In other words, it should cover all the periods necessary for the entity to generate turnover.

[\(Article 2 to the Annex to the SME Definition\)](#)
[More details User Guide, page 13](#)

Companies with closed accounts but no turnover yet

Consolidated Accounts

Currency

Currency in which the accounts are recorded / closed.

Date of closure

The Date of closure for the accounting period

Economic activity

Investment in Research and Development (R&D)

Investor

Legal person

Parent company

Percentage

Public body

Staff headcount

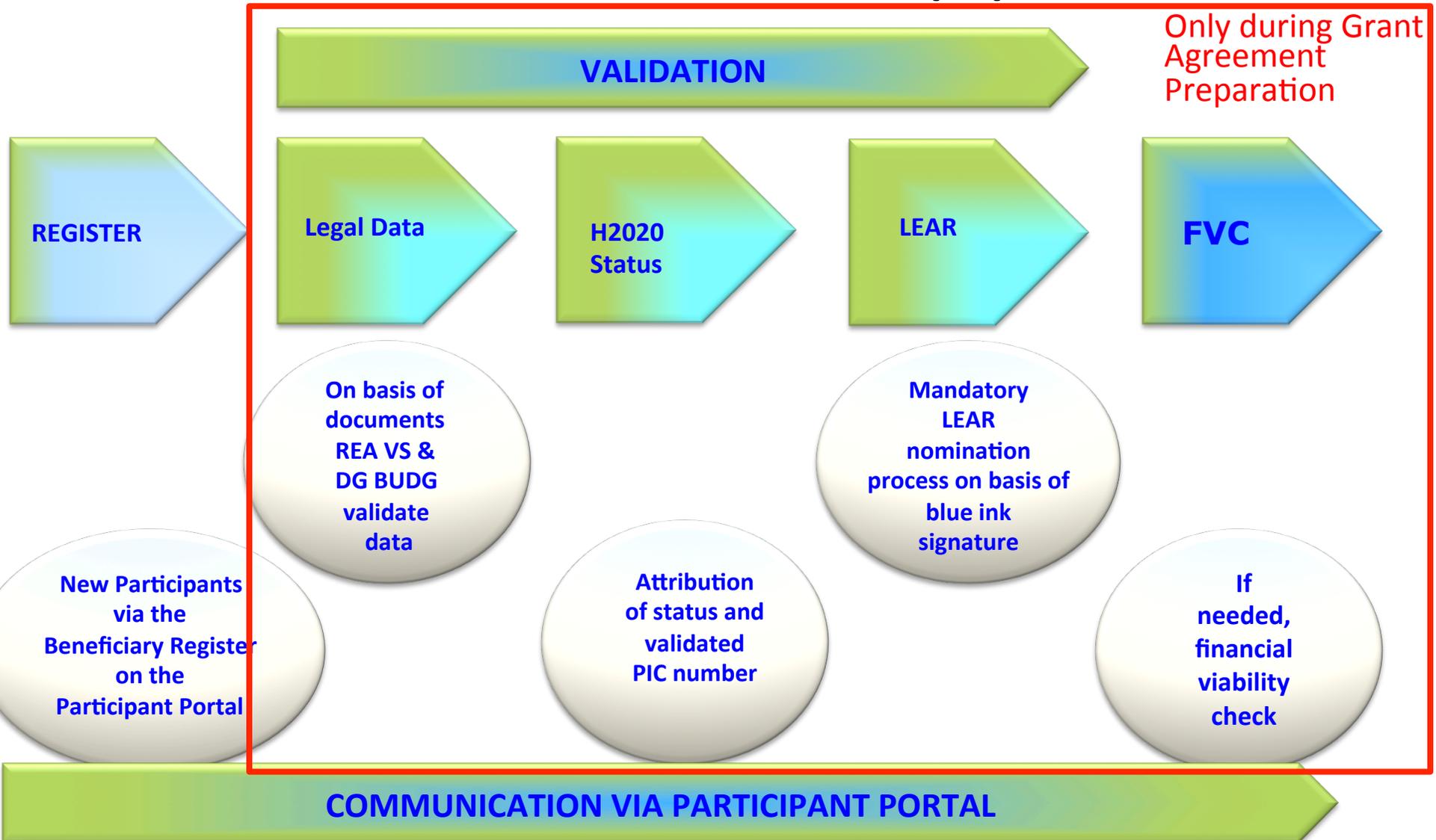
The 'staff' headcounts covers full-time / part - time / temporary and seasonal staff. It includes

- (a) employees;
- (b) persons working for the enterprise being subordinated to it and deemed to be employees under national laws;
- (c) owners-managers;

1. Registration (11)

- Entity is registered and automatically gets a **Participant Identity Code (PIC)** number
- This PIC can be used to submit any **proposal** in the EPSS
- Validation of the data to be done by the EU in the future **ONLY** when preparing Grant Agreement

2. Validation (1)



2. Validation (2)

- Validation is **unique and valid** throughout H2020.
 - 40.000 FP7 validated entities are migrated into H2020.
 - 21.000 entities validated in H2020.
- During validation the validation service (REA) **verifies**: (i) legal existence, (ii) H2020 status of an applicant, (iii) Extended Mandate of the LEAR and (iv) financial viability (when required)
- Validation is required for all entities participating in H2020 Grant Agreements as **beneficiaries (AND linked 3rd parties)**

2. Validation (3)

Validation is generally performed on the basis of **supporting documents**.

- **Main** documents required for Validation:
 - Legal entities form (duly completed and signed)
 - VAT extract (if applicable)
 - Copies of Registration extract (for private organisations), law/decree (for public entities), Treaty (for international organisations)
 - Copies of Statutes (if entity declares non-profit status)
- Documents uploaded in the Participant Portal (**pdf**) by the LEAR
- EU may request **additional** documents if needed

2. Validation (4)

Large notion of legal entity

An entity without legal personality can be assimilated to a legal entity and obtain its own PIC, if:

The conditions of the EC Financial Regulation are met:

**Capacity of its representatives
to undertake legal obligations
on behalf of the entity**



**Financial and operational
capacity of the entity
equivalent to that of a legal
person**

Also **Natural persons** can participate as Beneficiaries (new in H2020)

2. Validation (5)

Research organisations:

- Validation no longer based on supporting documents but on self-declaration. However, non-profit status has to be met and verified by the REA VS.

Non-profit organisations:

- Definition: "a legal entity which, by its legal form, is non-profit making AND/OR which has a statutory obligation not to distribute profits to its shareholders or individual members "

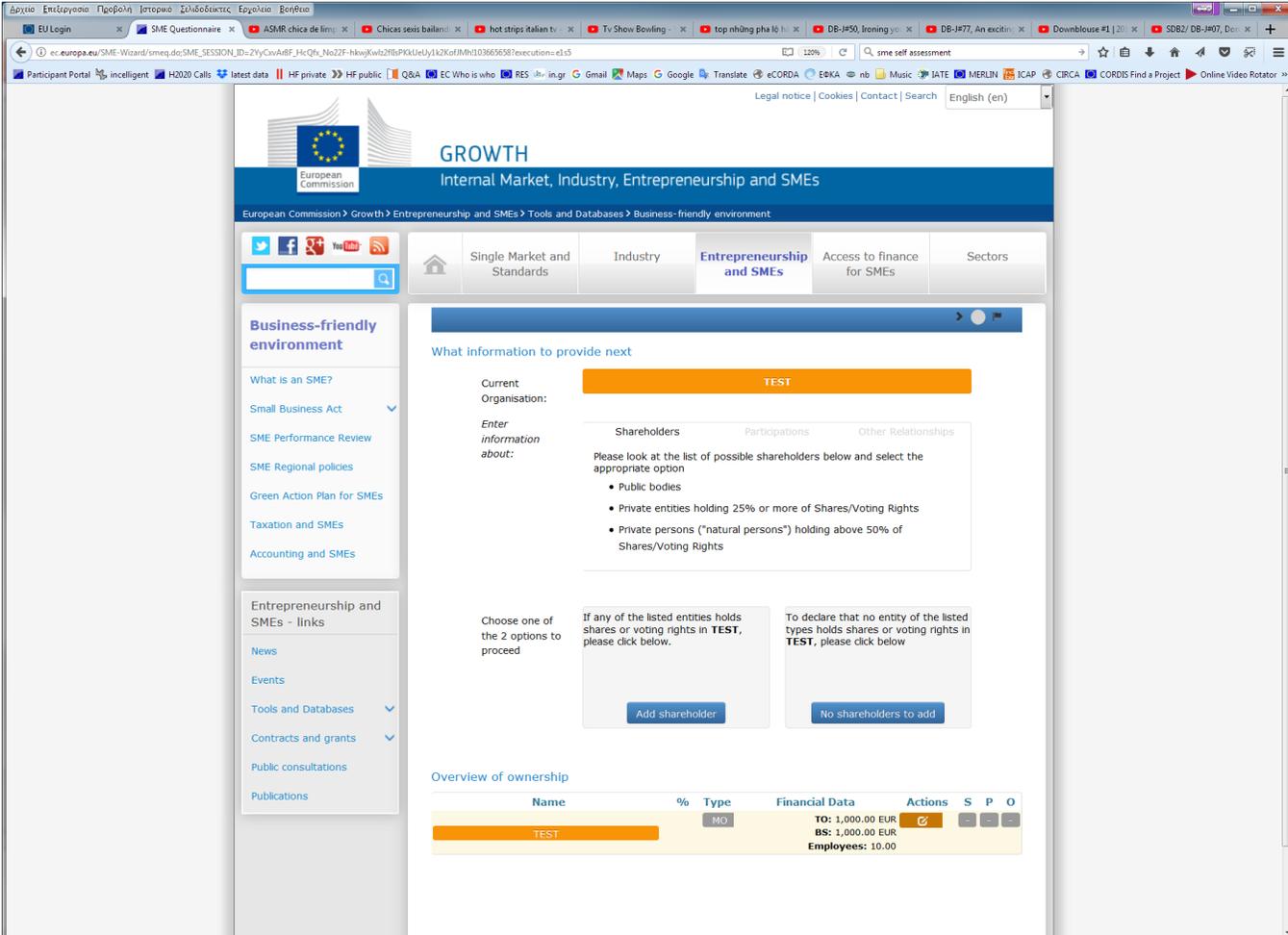
2. Validation (6)

SME status via the Web-based SME questionnaire

- SMEs fill out a web based questionnaire on the PP to determine whether they qualify as an SME or not.
- Ex-post checks of the status will be carried out by the REA on a random basis and/or upon request of the operational services.

2. Validation (7)

SME self-assessment questionnaire:



The screenshot shows the 'SME self assessment' page on the European Commission's 'GROWTH' portal. The page is titled 'What information to provide next' and features a 'TEST' button for the current organization. Below this, there are sections for 'Enter information about:' which includes 'Shareholders', 'Participations', and 'Other Relationships'. A list of possible shareholders is provided, with instructions to select the appropriate option. The list includes 'Public bodies', 'Private entities holding 25% or more of Shares/Voting Rights', and 'Private persons ("natural persons") holding above 50% of Shares/Voting Rights'. There are two buttons: 'Add shareholder' and 'No shareholders to add'. At the bottom, there is an 'Overview of ownership' table.

Name	%	Type	Financial Data	Actions	S	P	O
TEST		MO	TO: 1,000.00 EUR BS: 1,000.00 EUR Employees: 10.00				

4. The LEAR (1)

- The LEAR (Legal Entity Appointed Representative):
 - (i) Manages the **legal and financial data** of the organisation and notifies the EU about changes in legal data/status;
 - (ii) Submits **FVC** documents if required;
 - (iii) **Nominates** in the PP the persons who act as legal representatives
 - (iv) **Nominates** in the PP the persons who sign financial statements.
- All LEARs registered under FP7 have been **re-appointed** in H2020 (due to the "extended LEAR mandate)

4. The LEAR (2)

Documents required for LEAR's appointment:

- Letter of Appointment (duly signed by legal representative)
- Roles and Duties (duly signed by LEAR and legal representative)
- Declaration of Consent (duly signed by legal representative)
- Copies ID card of the LEAR and ID card of the legal representative
- Proof of nomination of the legal representative

Until today: **ORIGINAL** documents to be sent by post

Soon: **ONLY SCANNED** pdf documents to be uploaded (and original kept for ex post audit)

4. The LEAR (3)

Next steps:

1. REA VS **checks** if all documents are in place
2. Either requests **corrections** OR **approves** the LEAR appointment
3. **PIN** code is sent by email or SMS (if mobile provided)
4. LEAR account **activated** and operational

5. Financial Viability Check (1)

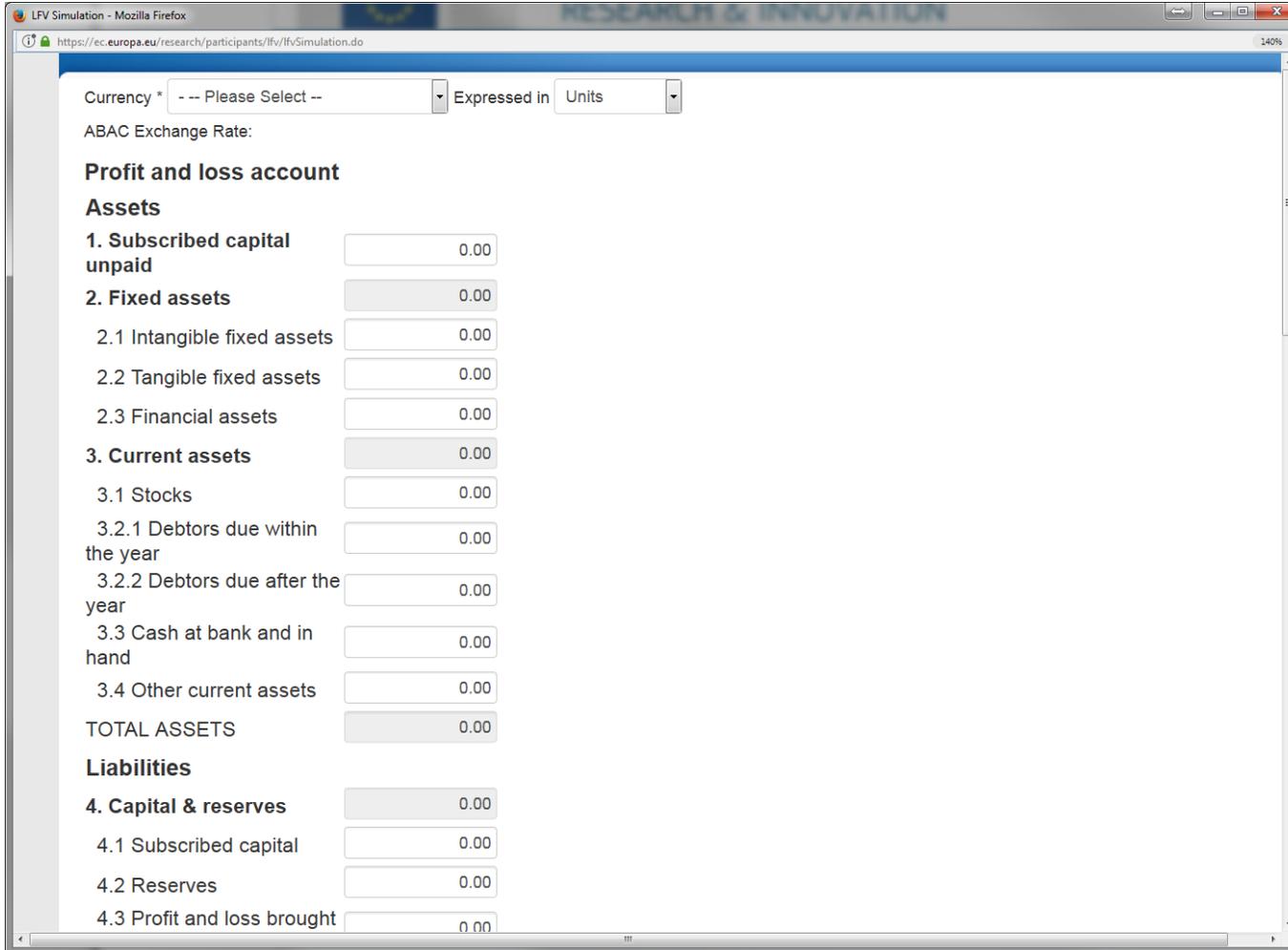
- In general, the financial capacity is checked if:
 - The beneficiary is a **coordinator**, and
 - The requested EU **funding** for the project is $\geq 500\ 000$ EUR.
- Applicants for mono-beneficiary grants are not considered as "coordinators"
- Upon request by the Authorising Officer, a financial viability check can be performed on any participant

5. Financial Viability Check (2)

- The FVC assessment for successful applicants is carried out by the REA via the data uploaded by participants in the Beneficiary Register.
Result: **Weak** | **Acceptable** | **Good**
- At proposal level, coordinators are asked to declare that they have **self-checked** their Financial Capacity using the FVC self-check tool (result displayed online)
- If **weak**: Final decision taken by the **Authorising Officer** for each individual project

5. Financial Viability Check (3)

Financial Viability self-check tool



LFV Simulation - Mozilla Firefox
https://ec.europa.eu/research/participants/lfv/lfvSimulation.do

Currency * -- Please Select -- Expressed in Units

ABAC Exchange Rate:

Profit and loss account

Assets

1. Subscribed capital unpaid	0.00
2. Fixed assets	0.00
2.1 Intangible fixed assets	0.00
2.2 Tangible fixed assets	0.00
2.3 Financial assets	0.00
3. Current assets	0.00
3.1 Stocks	0.00
3.2.1 Debtors due within the year	0.00
3.2.2 Debtors due after the year	0.00
3.3 Cash at bank and in hand	0.00
3.4 Other current assets	0.00
TOTAL ASSETS	0.00

Liabilities

4. Capital & reserves	0.00
4.1 Subscribed capital	0.00
4.2 Reserves	0.00
4.3 Profit and loss brought	0.00

The result of the FVC self-check is not binding for the EC

6. Messages and documents via PP (1)

All documents can be uploaded in the Portal.

Documents

Read and upload documents of your organisation. Please ensure their quality. Maximum allowed document size is 6Mb. Updates take immediate effect after you have clicked on "Submit for processing"

[Find out more on how to submit a document.](#)

Add document

Select a file * Δεν επιλέχθηκε αρχείο.

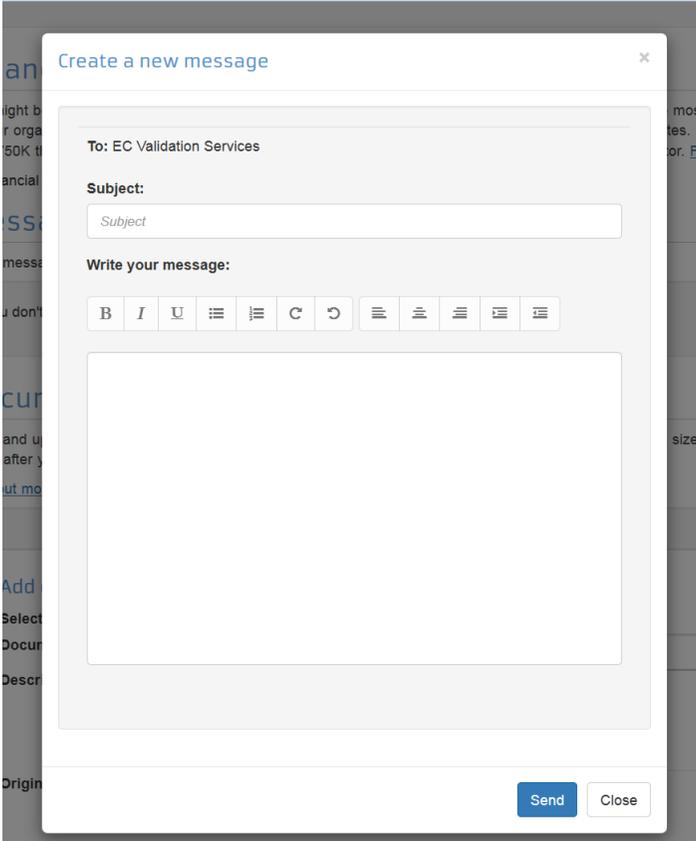
Document type *

Description

Original language

6. Messages and documents via PP (2)

- Messages can be exchanged via the Participant Portal and they can be seen in the system.
- Messages from the REA VS may also be sent as email to the participant.



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Select

Docur

Descr

Origin

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tes. H
or. F

size

Create a new message

To: EC Validation Services

Subject:

Subject

Write your message:

B I U [List] [Link] [Unlink] [Undo] [Redo] [Indent] [Outdent]

Send Close

7. Guidance documents

↳ Participant Portal

↳ How to participate

↳ Reference Documents

↳ Guidance

↳ **Section on beneficiary registration,
validation and financial viability check**

ALSO:

[Beneficiary Register User's Guide](#)