Horizon 2020

REMINDER kick-off meeting

Oxford, 12-13 January 2017

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Inclusive, Innovative and Reflective Societies

European Commission

Research Executive Agency

Presentation

1. **REA**
2. **H2020 / Migration and mobility**
   - Migration and mobility research in FP7 and H2020
   - Related projects
   - Migration-related topics WP2017 SC6
3. **Grant management**
   - Reports and deliverables
   - Reviews
   - Amendments
4. **Payments**
5. **Audits**
6. **Data Management Plan**
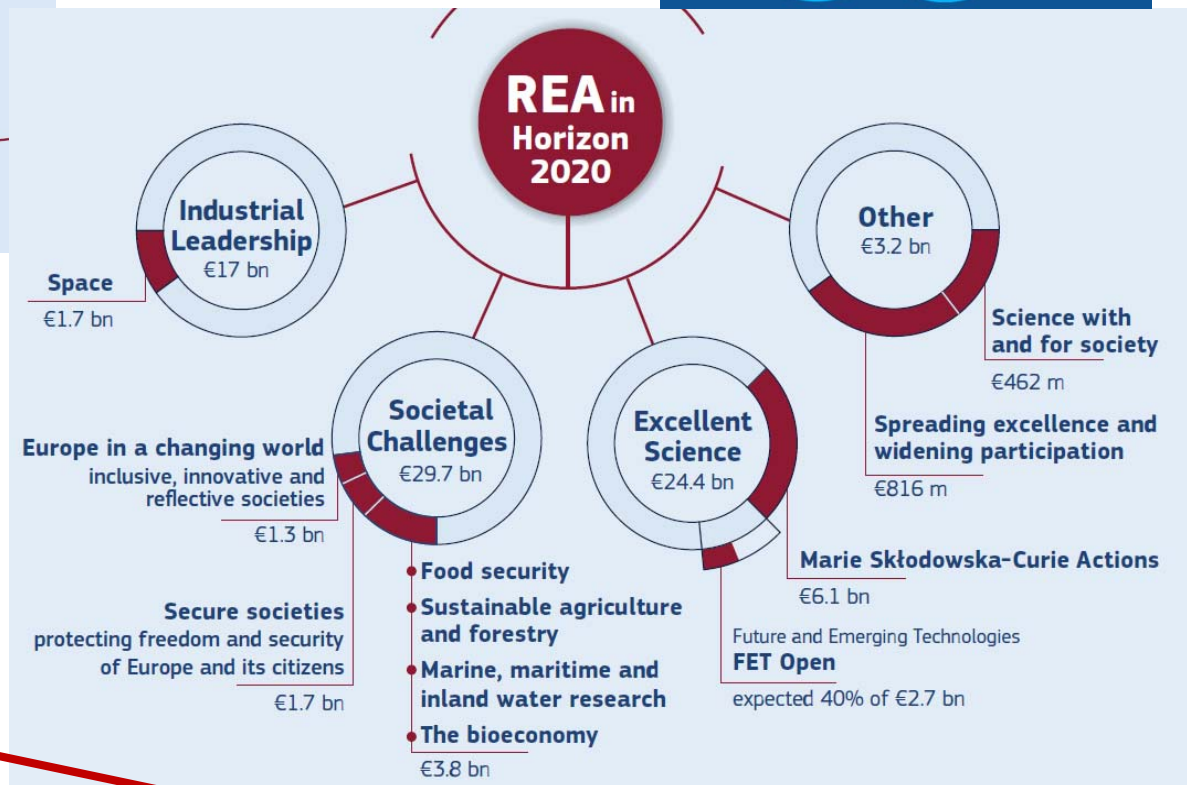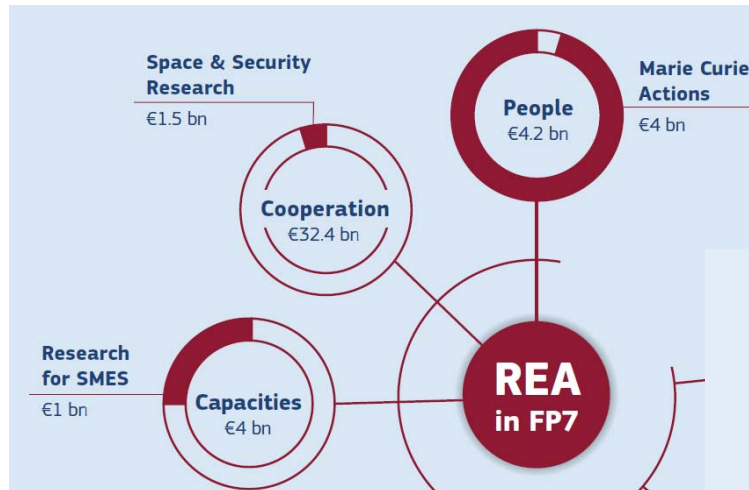7. **Communication, dissemination** and **exploitation**

REA – Research Executive Agency

*The **REA** is a funding body of the EC*

It has the mission to assist the Commission in achieving the objectives of the Research Framework Programmes and the EU strategies to foster growth by supporting research and innovation.

Operational since mid-2009, it implements a large part of the Horizon 2020 and FP7 Framework Programmes

REA

REA in FP7

- Space & Security Research €1.5 bn
- People €4.2 bn
- Marie Curie Actions €4 bn
- Cooperation €32.4 bn
- Research for SMES €1 bn
- Capacities €4 bn

- 22% Industrial Leadership
- 38% Societal Challenges
- 32% Excellent Science
- + EIT, JRC, Widening, SwfS 8%

REA in Horizon 2020

- Industrial Leadership €17 bn
- Space €1.7 bn
- Societal Challenges €29.7 bn
  - Europe in a changing world inclusive, innovative and reflective societies €1.3 bn
  - Secure societies protecting freedom and security of Europe and its citizens €1.7 bn
  - Food security
  - Sustainable agriculture and forestry
  - Marine, maritime and inland water research
  - The bioeconomy €3.8 bn
- Excellent Science €24.4 bn
  - Marie Skłodowska-Curie Actions €6.1 bn
  - Future and Emerging Technologies FET Open expected 40% of €2.7 bn
- Other €3.2 bn
  - Science with and for society €462 m
  - Spreading excellence and widening participation €816 m

Unit B3 – Inclusive, Innovative and Reflective Societies

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The REA Unit B3 aims at making European societies more INCLUSIVE, INNOVATIVE and REFLECTIVE

Unit B3 launches calls for proposals and funding research and innovation projects for:

- *promoting smart, sustainable and inclusive environments and growth to overcome the economic crisis*

- *building resilient, inclusive, participatory, open and creative societies taking into account migration, integration and demographic change*

- *enhancing Europe's role as a global actor, notably regarding human rights and global justice*

- *exploring new forms of innovation, such as social innovation and creativity*

- *preserving the European cultural heritage*

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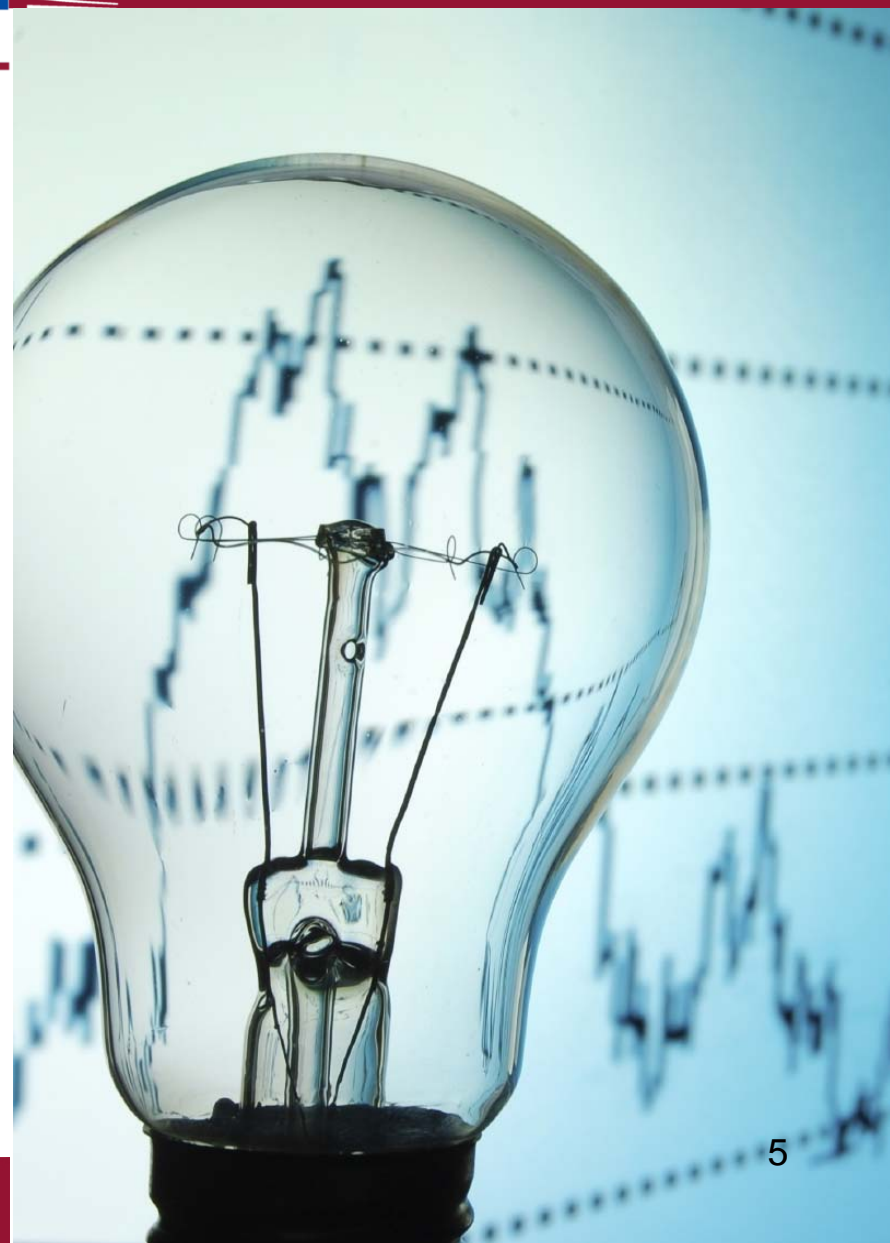
Migration and mobility research in FP7 and H2020

Seventh Framework Programme for Research and Development → Theme Socio-economic Sciences and Humanities

Projects on migrants' integration, trans-nationalism, temporary/circular migration, gender relations, migration and development, data on flows and statistical modelling, diversity, and economic impact of immigration (among the most recent ones: TEMPER; EURA-NET; DIVERCITIES; NEUJOBS, etc.).

Horizon 2020 → Societal Challenge 6 «Europe in a changing world – Inclusive, Innovative and Reflective Societies» - see next slide

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Related projects

Socio-economic research on migration and mobility in H2020

GEMM - Growth, Equal Opportunities, Migration and Markets - http://gemm2020.eu/

September 2015 – August 2018

The project looks into: obstacles to the successful incorporation of migrants in the labour market and in particular to the attraction and retention of highly-skilled migrants; migration-related drivers of growth; ethnic inequality in the labour market

YMOBILITY - Youth mobility: maximising opportunities for individuals, labour markets and regions in Europe - http://www.ymobility.eu/

March 2015 – February 2018

YMOBILITY aims at identifying and quantifying the main types of international youth mobility in the EU; understanding determinants of international mobility; analysing individual outcomes (employability and careers) and territorial outcomes for the regions of both origin and destination.

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Related projects

Socio-economic research on migration and mobility in H2020

MOVE - Mapping mobility – pathways, institutions and structural effects of youth mobility in Europe - http://move-project.eu/

May 2015 – April 2018

The projects looks into how the mobility of young people can be 'good' both for socio-economic development and for individual development of young people, and what are the factors that foster/hinder such beneficial mobility.

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Related projects

Socio-economic research on migration and mobility in H2020

Projects with an international dimension on (or touching upon) migration:

GLOBUS - Reconsidering European Contributions to Global Justice
https://www.globus.uio.no/

GLOBUS critically assesses the EU's impact on justice in a global system characterised by uncertainty, risk and ambiguity. WP3 on Migration and Global Justice.

FEUTURE - The Future of EU–Turkey Relations. Mapping Dynamics and Testing Scenarios http://www.feuture.eu/

WP6 is about Migration drivers.

MEDRESET- A comprehensive, integrated and bottom-up approach to reset our understanding of the Mediterranean space, remap the region and reconstruct inclusive, responsive and flexible EU policies
http://www.medreset.eu/

WP7 Migration and Mobility in the Euro-Mediterranean space

Migration-related topics – H2020 Societal Challenge 6 - Work Programme 2017 (closed)

REV-INEQUAL-13-2017: Research on employability, skills and labour market integration of migrants;

ENG-GLOBALLY-03-2017: The European Union and the global challenge of migration;

ENG-GLOBALLY-10-2017: Migration and asylum systems;

CULT-COOP-12-2017: The significance of cultural and core values for the migration challenge

Call closed – new projects due to start end of 2017 - beginning of 2018

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Useful reading

https://ec.europa.eu/research/social-sciences/index.cfm?pg=policies&policyname=migration-mobility

Review of policy-relevant results of EU-funded research on migration (FP7-SSH and H2020-SC6)

Research on Migration:
Facing Realities and Maximising Opportunities

A Policy Review

Research & Innovation Projects in support to European Policy

Migration and Mobility

Complete project synopsis of migration-related projects

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Grant management

1. **Reports and deliverables**

2. *Reviews*

3. *Amendments*

KNOW THE RULES!

Monitoring Project Implementation

✓ *The Commission/Agency must monitor the activities of the projects in order to assess and verify:*

- ✓ **that the beneficiaries implement the project as described in Annex 1 of the Grant Agreement (GA) (Description of the action – DoA).**

- ✓ **the eligibility of the costs claimed.**

✓ *In order for the Commission/Agency to verify that the project is implemented properly, the beneficiaries must submit any information requested, and in particular the **deliverables and reports** detailed in the GA.*

Project Officers monitor projects. External experts may assist.

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Project Reporting

✓ <u>Deliverables</u> (as described in DoA)

✓ <u>Periodic Report</u> (to be submitted within 60 days following the end of each reporting period)

   ✓ *Periodic technical report*

   ✓ *Periodic financial report*

✓ <u>Final Report</u> (in addition to the periodic report for the last reporting period)

   ✓ *Final technical report – summary for publication*

   ✓ *Final financial report - CFSs*

Electronic submission via the Participant Portal.

Grant Agreement number: [insert number] [insert acronym] [insert call/sub-call identifier]

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014

Such breaches may also lead to any of the other measures described in Chapter 6.

ARTICLE 19 — SUBMISSION OF DELIVERABLES

19.1 Obligation to submit deliverables

The coordinator must submit the 'deliverables' identified in Annex 1, in accordance with the timing and conditions set out in it.

19.2 Consequences of non-compliance

If the coordinator breaches any of its obligations under this Article, the [Commission][Agency] may apply any of the measures described in Chapter 6.

ARTICLE 20 — REPORTING — PAYMENT REQUESTS

20.1 Obligation to submit reports

The coordinator must submit to the [Commission][Agency] (see Article 52) the technical and financial reports set out in this Article. These reports include the requests for payment and must be drawn up using the forms and templates provided in the electronic exchange system (see Article 52).

20.2 Reporting periods

The action is divided into the following 'reporting periods':

- RP1: from month 1 to month [X]
[- RP2: from month [X+1] to month [Y]
- RP3: from month [Y+1] to month [Z]
[same for other RPs]
- RPN: from month [N+1] to [the last month of the project].]

20.3 Periodic reports — Requests for interim payments

The coordinator must submit a periodic report within 60 days following the end of each reporting period.

The periodic report must include the following:

(a) a 'periodic technical report' containing:

(i) an explanation of the work carried out by the beneficiaries;

(ii) an overview of the progress towards the objectives of the action, including milestones and deliverables identified in Annex 1.

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Periodic report - technical report

Part A

- ✓ **Publishable summary**
- ✓ **Deliverables, milestones, risks, etc.**
- ✓ **Answers to the questionnaire (H2020 KPI*)**

*Information entered in the IT tool through the **Continuous Reporting** module.*

Part B – narrative part

- ✓ **Explanation of the work carried out by the beneficiaries and overview of progress**
- ✓ **Update of the plan for exploitation and dissemination of results**
- ✓ **Explanations on deviations from DoA**

*Submitted in a PDF through the **Periodic Reporting** module.*

* Key Performance Indicators

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Periodic financial report

➢ **Individual financial statements**

  ➢ All eligible costs should be declared even if there are above the initial budget (Annex 2)

  ➢ Other costs: Explanation of major cost items if the amount exceeds 15% of personnel costs

  ➢ Linked third parties have separate financial statements

  ➢ Costs incurred in previous period can be declared (provided they have not been declared before)

  ➢ Delayed submission can be postponed to next financial report

☝ The explanation of the use of resources should be consistent with the costs

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Final report (additional)

➢ **Final technical report (generated by IT system)**

 ➢ Summary of publication (overview of the results and their exploitation and dissemination)

 ➢ Conclusion on the project and its socio economic impact

➢ **Final summary financial statement (automated)**

➢ **Certificate on financial statement (if necessary)**

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Certificate on financial statement (CFS)

> ## Only if needed (threshold)
> > Beneficiary/linked third party requesting a total financial contribution of EUR 325.000 (or more) as reimbursement of actual costs and unit costs (including average personnel costs)

> ## Only at final reporting stage
> > 1 CFS for the whole duration of the action or separate CFS per period issued by an external auditor

☝ Costs based on lump sums, flat rates (indirect costs) or unit costs are not counted for the CFS threshold

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REPORTING: What if.....?

The consortium is late: no reports on time

☞ The Commission/Agency will send a reminder

☞ The payment deadline is suspended

☞ If still not submitted after 30 days, the Commission/Agency may terminate the grant agreement !

One beneficiary is late: its report is not ready

☞ The Coordinator may decide to submit the reports without that beneficiary

☞ Beneficiary's costs will be considered 'zero' for this reporting period, but it can declare its costs with the next reporting period

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The Commission / Agency analyses the reports and:

🙂 The reports are complete and satisfactory, we can proceed to payment

😐 The reports are incomplete / further information is needed:

☞ Commission/Agency requests information to coordinator

☞ Payment deadline is suspended

☹ In exceptional cases the Commission / Agency may:

☞ Reject the reports giving justification

☞ Suspend the payments for one or more beneficiaries

☞ Terminate the grant

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Project reporting

| End of reporting period | Within 60 days | Revisions and explanations | Within 90 days |

Technical DELIVERABLES

Periodic REPORT

FORM C's

Comments from Project Officer and Financial Officer – corrective actions may be requested

Submission of revised version of report and/or Form C's

More than 1 iteration may be necessary!

REVIEW REPORT

ALL documents received, correct and accepted

(Technical) REVIEW

Assessment by the financial officer

PAYMENT

Consortium ⬌ **REA – Project Officer**

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Grant management

1. Reports and deliverables

2. **Reviews**

3. Amendments

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Reviews

➢ **Projects are monitored by REA with the assistance of external reviewers / monitors**

➢ **Planned at the end of each reporting period**
   ➢ Usually the review takes place 2 or 3 weeks after the submission of the Periodic Report (and deliverables)
   ➢ It usually entails a meeting with (part of) the consortium

➢ **Present work carried out, main achievements and the use of resources**
   ➢ Participation of the coordinator and WP leaders
   ➢ To be discussed on a case-by-case basis

Contact the PO early to prepare the agenda
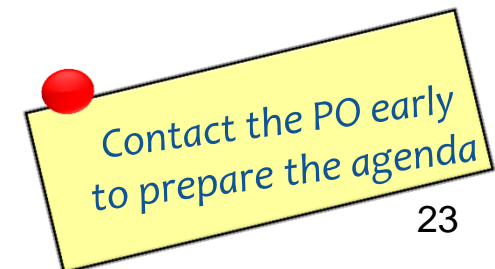
Grant management

1. *Reports and deliverables*

2. *Reviews*

3. *Amendments*

Amendments

- ➤ **Submitted by coordinators**

- ➤ **Amendment request should include:**

  - ➤ Reasons for amendment
  - ➤ Appropriate supporting documents

- ➤**45 days for the REA to agree or disagree**

Amendment or information procedure?

Amendment	Information procedure
• Removal of a beneficiary; • Addition of a beneficiary; • Change of beneficiary due to partial takeover; • Adding or removing a linked third party; • Change concerning a beneficiary/linked third party not receiving EU funding; • Change of coordinator; • Change of bank account for payments; • Change of the action title and/or acronym • Change of starting date, action duration or reporting periods; • Re-start of project after suspension of the action implementation; • Change to Annex 1 (action tasks, in-kind contributions, subcontracts, linked third parties); • Change to Annex 2 (significant change, new cost, specific costs categories);	• Budget transfers between beneficiaries or categories; • Change of name, address or other legal date (beneficiaries and linked third parties); • Short names and person authorised to represent the beneficiary • Change of beneficiary due to universal takeover.

More questions about Grant Management?

H2020 COORDINATORS' DAY
All presentations available at:

http://ec.europa.eu/research/participants/data/ref/h2020/other/events/2016-02-24/h2020-coordinators-day-agenda_en.pdf

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Payments

1. *Pre-financing*

2. *Interim payment/s*

3. *Payment of the balance*

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1- Pre-financing payment

When	• Within 30 days from the signature of the grant or 10 days before the starting date, whichever is the latest
How much	• Usually = Maximum grant amount/ number of periods • Retention 5% of maximum grant for Guarantee Fund
Characteristics	• It remains property of the EU until the payment of the balance

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2- Interim payment

When	• 90 days from reception of periodic reports
How much	• EU contribution corresponding to the eligible costs incurred in the reporting period • Limit = 90 % of the maximum grant amount
Characteristics	• Upon approval of reports • Based on accepted eligible costs and applicable reimbursement rates • Ineligible costs will be rejected and not taken into account for the payment

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Disclaimer: Information not legally binding

3- Payment of the balance

When	• 90 days from reception of final reports
How much	• Reimburses the remaining part of the eligible cost incurred • Includes the release of the Guarantee Fund (GF)
Characteristics	• **If Σ payments made < final grant amount:** *payment* • **If Σ payments made > final grant amount:** *recovery* → first by offsetting with GF released, if not enough, by a recovery order • If applicable: receipts & reduction of the grant will be taken into account to determine the final grant amount

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Audits

1. *Why audits*

2. *Most common errors*

3. *Who does what*

4. *Consequences*

Why do we do audits?

The Commission/Agency may — at any moment — check any aspect relating to the grant.

During the project or at any time up to 2 years after the final payment.

It can be a direct audit (with the Commission's own staff) or an indirect audit (with external persons or bodies appointed by the Commission).

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Financial issues – consequences of errors

Identified errors <u>may</u> lead to

- Recovery of the undue amount.

- Penalties.

- Suspension of payments or termination of the contract.

- Reputational damage.

- Financial losses.

Open Research Data Pilot

1. Requirements

Data Management Plan

- Required for all projects participating in the extended ORD pilot (1st version to be submitted by month 6)

- Should include information on:

  1. **The handling of research data during & after the end of the project**
  2. **Type of data collected, processed and/or generated**
  3. **Methodology & standards applied**
  4. **Open access and sharing options**
  5. **How data will be curated & preserved (including after the end of the project)**

REFERENCE: *http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/open-access-data-management/data-management_en.htm*
GUIDELINES: *http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-data-mgt_en.pdf*

Public

1. *Visibility of EU funding, art 27*

2. *Dissemination, art. 29*

3. *Communication, art. 38*

4. *Exploitation, art. 28*

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Acknowledgement of EU funding (Art. 27 and Art. 38.1.2)

1. Use EU emblem

   High-resolution emblems are available here
   http://europa.eu/about-eu/basic-information/symbols/flag/

2. Use text as indicated in GA

   This project has received funding from the [European Union's Horizon 2020 research and innovation programme][Euratom research and training programme 2014-2018] under grant agreement No [number].

Dissemination vs Communication

Dissemination: inform about the <u>results</u> of the actions/project (reports, deliverables)

Communication: inform about your <u>actions/activities **AND** your results</u>

Participative communication

Interaction   *vs.*   *Broadcasting*

The audiences become partners in the communication process:

- message definition: telling their stories, giving their views

- message dissemination: acting as multipliers of shared messages

Communication

"The **beneficiaries must**

promote the action and its results,

by providing **targeted** information

to **multiple audiences** (including the media and the public)

in a **strategic** and **effective** manner."

Good communication

✓ *starts at the outset of the action and continues throughout its entire lifetime*

✓ *is strategically planned*

✓ *identifies and sets clear communication objectives*

✓ *is targeted and adapted to audiences that go beyond the project's own community*

✓ *chooses pertinent messages*

✓ *uses the right medium and means*

Dissemination

*"**Each beneficiary must**

disseminate its results

by disclosing them **to the public**

by **appropriate means** (other than those resulting from protecting or exploiting the results),

including in **scientific publications** (in any medium)."*

+ Open access to scientific publications

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"Communicating EU Research & Innovation - Guidance for project participants - "

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

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'Communicating EU Research & Innovation
– a guide for project participants', 2012

'Communicating research for evidence-based
policymaking', 2010

Exploitation of results

Obligation to exploit the results by:

(a) using them in further research activities (outside the action);

(b) developing, creating or marketing a product or process;

(c) creating and providing a service, or

(d) using them in standardisation activities.

*…..and finally…. plan already your project **sustainability!***

Thank you